Attachment 2

North Dakota Case Management System Findings and Budget Recommendations: Draft Report

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I. EXECUTIVE SUMMARY

The North Dakota State Court Administrator's Office (SCAO) will seek a legislative appropriation to upgrade or replace the current iSeries-based court case management system Unified Court Information System (UCIS). To this end, it contracted with the National Center for State Courts (NCSC) to review the business and technological environment of the District Courts. In generic terms, UCIS is a case management system, so it will be referred to as a "CMS".

A premise of this review is that the NCSC did not have any preconceived ideas about the course that the state should take. The NCSC sought all opinions available and considered the long term as well as the short term for what the state should do.

The NCSC makes the following general findings that support its specific recommendations:

- The state's court CMS is not in a crisis at the moment but the SCAO should seek a replacement or enhancement as soon as possible to prevent a crisis that will likely occur in the next few years if the current situation persists.

- The state's court CMS, despite it deficiencies, is stable, reasonably capable and well-liked among clerks, judges, and court administrators. It does not, however, meet the users' general expectations about up-to-date applications, and its deficiencies are numerous and they require users to perform numerous workarounds to get the desired results. Some desirable results are available only with significant use of user or programming resources.

- From a technology point of view, the iSeries computer platform may face lack of support by IBM in the medium time frame beginning (approximately five to eight years), but there are risks in continuing the present course, primarily in terms of ability to attract staff expertise in the iSeries programming language. The iSeries technology platform was introduced by IBM in 1988 as the AS/400, so at the age of 18, it is an aging technology platform. Industry trends are toward Intel processors and Windows or Linux operating systems, fully relational databases and Web-based applications. Programmers able to program the iSeries will be increasingly difficult to find and retain.

The NCSC obtained current market information on enhancing or replacing the state's court CMS, and those findings and analysis are set forth in this report, along with cost data for several recommended alternatives.

The NCSC recommends that the SCAO give primary consideration to acquiring one of the iSeries software development toolsets, and secondary consideration to acquiring a replacement CMS from among the candidates identified, for the following reasons:

- Given the success of the current court CMS and software tools available, the NCSC recommends the enhancement approach because it offers the greatest benefits to the North Dakota courts for the money to be spent. The ten-year total cost of ownership with this approach is approximately $600,000-800,000.
- The CMS replacement alternative will cost many times more than the enhancement approach and may not fit as well with existing business practices as enhancing the current CMS. The ten-year total cost of ownership with this approach is approximately $4-8 Million.

The NCSC's recommendations, in summary, are as follows:

- Among the candidates for enhancing the state's court CMS, the NCSC recommends one of the following software tools, in the following priority order: LANSA, BCD, and ASNA. These software development tools will convert portions or all of the iSeries code to a more mainstream programming language. This approach provides a path for migration from the iSeries computer platform to a Windows platform sooner or later, at a time deemed appropriate by the SCAO. With a more modern software development environment, SCAO programming staff will be more productive and easier to retain.

- Among the candidate for replacing the state's court CMS, the NCSC recommends Justice Systems, Inc., Sustain, and Infocom Systems. This approach includes a conversion of legacy data, some amount of customization, implementation, training, and maintenance. The main criteria were total cost of ownership over a ten-year period, and the amount of flexibility in configuring the system.

II. FINDINGS AND ANALYSIS

The National Center for State Courts (NCSC) is providing this report of findings, analysis and recommendations to the North Dakota State Court Administrator's Office (SCAO). It responds to the question of whether the SCAO should seek enhancement or replacement of the current iSeries-based court case management system Unified Court Information System (UCIS), generically a case management system (CMS). This report provides the estimated cost information of the hardware, software, and services that is required as part of the solution. The SCAO is seeking information for formulating a budget request to the Legislature for the 2007-2008 biennium.

Findings and analysis by the NCSC are based on several visits to the State, including interviews in nine regional court locations, and interviews of state agencies whose systems interface with UCIS or are planned to do so. These visits and interviews took place the weeks of May 22-26, June 6-9 and June 19-23, 2006.

The current state court CMS has a number of limitations regarding functionality and ease of use which users consider more or less serious and significant. The iSeries-based system has been customized and enhanced over the years and performs many if not most of the functions that users require, but not always in the most effective ways. The SCAO must balance the current stability and limitations of the CMS with the desires of users for more user-friendly functions and need for a long-term computer platform strategy.

UCIS does not have a master name file; as a result, persons are added to the file in traffic, criminal and civil cases without clear indications whether that person is already in the system. Whether the SCAO adopts the approach of enhancing or replacing its aging UCIS, the SCAO's staff must continue working toward identifying and merging person records in the data files.

The findings below identify the factors that should drive the state's needs in enhancing or replacing its CMS.

A. FINDINGS

1. CURRENT UCIS SYSTEMS ENVIRONMENTS

The SCAO's UCIS operates on an IBM iSeries model 810 which is configured with the following:

- 2466 processor (1020 CPW, maximum interactive)
- 8GB memory
- 175GB usable disk (50% utilized)

The iSeries operates using the operating system OS/400 V5R3. Its database is the IBM DB2 UDB.

The UCIS application is programmed using the RPG ILE (Integrated Language Environment).

The SCAO owns five Citrix servers that provide UCIS access to 250 thin client hardware devices, as if UCIS were a Web-based application. This is about 60% of the 365 users who operate UCIS at 65 sites. There are approximately 124 non-court users who access UCIS.

Maintenance on the iSeries computer costs approximately $12,000 per year

2. CURRENT BUSINESS PROCESSES

NCSC staff analyzed business functions of UCIS according to the categories, and to the degree of specificity, of the Consolidated Case Management Functional Standards Ver 0.10 Exposure Draft dated 11/11/2005. These case management functional standards are intended to cover all major functions of case management (though it is not an exhaustive list), and they include the following major business functions:

1. Case Initiation and Indexing
2. Docketing
3. Scheduling
4. Document Creation and Tracking
5. Calendaring
6. Hearings
7. Disposition
8. Post Disposition Compliance and Execution
9. Receipt Accounting
10. Bookkeeping Accounting
11. Records Management
12. Configuration Maintenance, Security, and Integrity
13. Management Reporting.

UCIS compliance with these functional standards was observed from demonstrations by users and SCAO staff. The list was included in the Request for Information in **Appendix A** which was sent to potential vendors on July 3, 2006. Percentage compliance is shown below:

UCIS Compliance with Court CMS Functional Standards (Appendix A)

Yes	135	34%
No	185	47%
Partial	73	18%
? Unknown	4	1%
Totals	397	100%

This functional evaluation was intended as a reference point, because they may include functions deemed by some courts to be neither necessary nor desirable. Counter-balancing the apparent low compliance was the number of interviews in which court staff and judges said that they are generally happy with the function of UCIS. There were, however, specific and repeated (from site to site) complaints of the inadequacy of UCIS in a number of areas.

3. INTERFACES AND INTEGRATION AMONG SYSTEMS

The UCIS system currently has external interfaces to a number of state and local systems. The list is set forth in **Appendix B**. The recommended solution must have a strategy for continuing the existing interfaces and for implementing new interfaces using any number of standardized methods, including XML, SOAP, and Web Services, and transport protocols including HTTP, HTTPS, FTP, SMTP, etc.

4. DATA AND PROGRAMS NO LONGER IN USE OR NO LONGER NEEDED

The NCSC did not find data or programs no longer in use or no longer needed. There are menu items available to users, however, that are no longer used because most UCIS functions are under menu items 1 and 2 on the main menu. Clerks and judges are trained to use specific menu items and ignore the others.

There were significant gaps in the data and programs that required court staff to work around the gaps with other tools, such as hand-written lists and spreadsheets, an issue addressed later in this report.

5. OPPORTUNITIES TO IMPROVE EFFICIENCIES IN BUSINESS PROCESSES

Comments elicited in group settings during site visits, and over-the-shoulder viewing of clerks performing routine case management tasks, revealed a number of areas where improved functions would increase staff productivity and improved management of judicial and other resources. Current data structures, screen navigation, and lack of management information available from UCIS, result in the following opportunities to improve efficiencies in business processes:

- Scheduling is performed on paper, and then the clerk transfers the hearing dates to the system
- A scheduling clerk must consult several sources of information (UCIS, Microsoft Outlook, paper calendars) in order to determine the whereabouts of a judge on a particular day, or the availability of a particular courtroom for a hearing or trial.
- [continue the list from site visit notes for final report]

6. CURRENT AND NEW TECHNOLOGY AND BUSINESS REQUIREMENTS

Some features and functions that would provide additional value in UCIS include the following:

Feature	Benefit
1. Better ability to assign multiple security levels	More specialized security levels allow for more customization of the amount of data provided to a class of user (public, law enforcement, prosecutor, clerk with specific job function, child support, etc.).
2. Graphical user interface for easier navigation by infrequent users and for quick updating of data	Occasional and infrequent users find a graphical user interface easier to learn and use.
3. Database redesign to a) normalize the database, and b) provide structural changes needed	A master name index and other structural improvements will enable more effective queries and management reporting.
4. Create "real" date fields from separate MM, DD, YYYY fields (included in #3)	Standard date attributes will promote more effective software maintenance.
5. Better ad hoc reporting abilities (easier to achieve with completion of #3)	The ability of supervisors and administrators to obtain more information about a given issue will enable them to manage more effectively.
6. Create Soundex search and wild card search (linked with #3)	The ability to search names with Soundex and wild cards will make searches more effective.
7. Better integration of financial management functions with case management functions (linked with #3)	Better integration of financial and case management will make staff performing money-related functions more productive by eliminating workarounds.
8. Graphical output (WYSIWYG reports, notices, documents, merge documents, etc.)	Previewing documents before printing and better ability to customize documents will streamline document production and eliminate the overhead of maintaining extraneous Word documents.
9. Calendar enhancements (Calendar as a graphical-type calendar, not a list of dates)	A state-of-the-art automated calendar will keep judges and staff better informed and require less work by staff to maintain.
10. Scheduling of resources/conflict calendar (linked with #8)	Integrating judicial, staff and courtroom resources with the calendar will make allocation more transparent and effective.
11. "Process screens" to enable easier completion of a given process, i.e. criminal judgment screen to simplify the process of completing in-court criminal judgments	Specialized screens for a variety of functions will make staff more productive by eliminating having to navigate through a number of screens in a certain order to accomplish a function.
12. E-delivery of output (email notices, etc.)	Integration of email with case management will streamline the task of notifying parties who have agreed to email notification.

7. SYSTEM ADMINISTRATION MANAGEMENT PROCESSES

System administration of UCIS is handled well by the SCAO. Feedback obtained during site visit indicated that the SCAO is responsive to hardware needs and application software issues. The SCAO operates a help desk and an issue tracking system, and three UCIS

programmer/analysts and three network analysts are available to diagnose and fix software, hardware and network issues.

The SCAO operates and maintains the iSeries server on which UCIS runs and all of the PCs in the courthouses. Users access UCIS in two methods: directly between the user's PC and the application; and through Citrix when a minimum of data is transferred between the user's PC and the application, for communications efficiency. Direct connection is needed for administrative purposes, such as maintaining a PC presence for local diskettes, for sound cards, and for the interface to the digital recording system. The SCAO has five Citrix servers for 250 thin client hardware devices that are clerks' computers.

The SCAO purchases network connectivity from the State executive branch which operates the network infrastructure for UCIS. For redundant storage, the State IT group has implemented another data center in Mandan to achieve physical separation from primary resources, but that does not include redundant processing on a fail-over iSeries computer.

Network reliability is good because the State has implemented an ATM dual-Sonet network, with T1 connectivity to all courthouses, up to and including the router. If a courthouse has video-conferencing capability, there is a 2nd T1 line.

8. CURRENT SKILL LEVELS AND FUTURE SKILL LEVELS

The SCAO has nine IT staff: one manager, one help desk analyst, three network analysts, one trainer/documentation writer, and three programmer/analysts. The SCAO uses an outside contractor firm to perform limited project management and programming tasks for selected large projects where such assistance is needed.

The SCAO's IT employees have managed, with the assistance of contractors, to provide a reasonably functional CMS to the state's clerks, judges and court administrators, and to expand its use to all District Courts and a number of municipal courts. This is a tribute to their hard work and ingenuity in making it work. UCIS is by no means a perfectly functioning CMS; it requires users to use a significant number of manual and automated methods like spreadsheets and Microsoft Word forms, outside the system, to perform their work.

In terms of network access to UCIS and the operating system infrastructure, the SCAO's computer environment is up to date. In June 2006, for example, the SCAO staff upgraded to Active Directory.

From a staffing point of view, the biggest long-term concern is the availability of programmers who know and are willing to use the programming language required to maintain and extend UCIS, a version of RPG. This programming language is still taught in some community colleges, but the pool of people able to use it is shrinking over time. The recommended solution should address this issue by offering an alternative.

9. OPTIONS TO REPLACE OR ENHANCE UCIS

Two options were considered to improve the SCAO's case management system: enhance it or replace it.

The enhancement option would enhance UCIS with additional features and functions that will prolong the life of the iSeries application, provide additional value through improving staff productivity and provide a path to a different computer platform. Some features and functions that would provide additional value in UCIS include the12 items described under paragraph A.6, "Current and New Technology and Business Requirements" above.

The replacement option would involve a commercial off-the-shelf (COTS) product or custom development. Some features, functions and additional requirements sought include the following:

1. A graphical user interface
2. Web-based access (some or all deployment may be achieved with Citrix)
3. Keyboard-only entry and reasonably quick response time for production data entry
4. Electronic filing (e-filing) capability
5. Configuration flexibility
6. Role-based security
7. A fully relational database
8. Financial management with double-entry accounting
9. Interface to FileNet electronic document management system (EDMS)
10. Bi-directional external interface capabilities (XML-capable)
11. Standard reports
12. Ad-hoc reporting capability
13. Multi-jurisdictional capability
14. Online context-sensitive help.
15. Use the court's current personal computer and network infrastructure, and Microsoft Office 2003.
16. Propose a relational data base management system that holds a significant market share and uses the SQL query language.
17. Propose server hardware and support software to run the new CMS.
18. Deploy either as a web-based application or via Citrix, or using both approaches
19. Interface with the systems identified in **Appendix B**
20. An implementation and training plan.
21. A vendor's standard warranty coverage and time period.
22. A vendor's standard maintenance and support plan, including the cost for three years of future maintenance costs following the warranty period.

The vendors who responded to the Request for Information are set forth in **Appendix C**. Four vendors proposed to enhance UCIS, and eight vendors proposed to replace it.

B. ANALYSIS OF ALTERNATIVES

1. WHAT COURTS NATIONWIDE ARE DOING IN REGARD TO CMS

The most comprehensive review of statewide case management automation to that time, published in 1994, found that 65% of systems were in-house developed; 18% were commercial packages, and 18% were custom developed under contract.[1] No more-recent data has been compiled by the NCSC or anyone else.

Since 1994, for states that (a) developed their statewide court automation system in-house or (b) had them custom developed, the trend has been toward commercial off-the-shelf (COTS) systems, and a smaller trend toward having a system custom-developed for them by a third party. The trend toward COTS reflects a number of factors: the availability of capable COTS systems; competition in the market that spurred increases in features at reduced prices; the increasing costs of developing and maintaining CMS applications in-house; rapid changes in the technologies involved in databases, software development environments, computer hardware, and communications, to name a few; and rising expectations of users who increasingly demanded software applications that met their needs. The trend toward a custom-developed reflects the desire to have a system that matches business practices and also confidence in third-party development with COTS-like features. In short, the trends in statewide court automation have mirrored all of the factors active in software applications in other sectors of the economy and other disciplines.

Moving a state's case management system to a COTS platform is often the right approach, given the variety of reasons motivating it. A compilation of recent COTS case management system acquisitions is set forth in the table below:

CMS Procurements	Award Date	Price	Winner
Delaware Court CMS	03/30/2004	$10.6 Million	ACS
Florida Miami-Dade Clerk of the Circuit & County Courts	12/1/2005	$4.1 Million	Tyler Technologies
Iowa Judicial CMS Application Development	12/12/2002	$3 - 5 Million	Cisco, Inc.
Michigan Macomb County Integrated Court System	09/02/2003	$6.1 Million	Maximus
New Hampshire Trial Court CMS	04/28/2004	$1.9 Million	Tyler Technologies
Rhode Island Court Civil CMS	11/25/2002	$5.6 Million	ACS
Texas Dallas County District Courts CMS	07/29/2004	$2.5 Million	Tyler Technologies

The NCSC is not privy to the reasons that the jurisdictions above made the choices they did, nor to the specific factors that led to the decisions.

Jurisdictions that have used the custom system development approach include McLean County, Illinois (TRW/Northrop Grumman), Polk County, Florida (NewVision Systems), and Broward County, Florida (Infocom Systems). The vendors expect to "productize" the systems

[1] *The Challenging Voyage to Statewide Court Automation*, by J. Douglas Walker, National Center for State Courts, 1994, p. 11.

that result and market them as COTS. Custom development is, in fact, the origin of a number of the current COTS case management systems available.

2. CONSIDERATIONS IN THE DECISION TO ENHANCE OR REPLACE THE CMS

Generally speaking, in selecting whether and how to enhance or replace its CMS, a jurisdiction will consider, among others, the following factors:

- Difficulty – Is the jurisdiction unified administratively, and is there a consensus supporting the move to a new CMS?
- Cost – Is the cost counter-balanced by the quantifiable benefits expected, and will the CMS avoid obsolescence as long as hoped? How much will maintenance costs increase over a period of years?
- Fit with existing business practices – Does the CMS have enough functionality for users to rely on it primarily to perform their work? Is the structure provided by the CMS compatible with business practices? How much software customization is needed before go-live?
- Flexibility – Is the CMS package flexible enough to accommodate local practices, and "open" enough to adapt enough to new needs?
- Interfaces – Does the CMS interface easily, or at all, with a variety of external systems? How brittle or flexible are interfaces? Are vendor services required to manage interfaces or can internal IT staff perform those functions?
- Vendor performance – Does the vendor have successful customer references? Can the vendor successfully manage the conversion of legacy data, customization, and implementation? Will the vendor be able to support continuing changes to the CMS as business needs change? Is there a process or user community with clout to persuade the vendor to make specified changes?
- Contract issues – Can the contracting jurisdiction structure the procurement to allow it to back out and recoup its payments if necessary?

Every project has some amount of risk, and the contracting jurisdiction needs to protect itself from foreseeable risks, such as vendor non-performance, cost overruns, and ability to fit operational needs to the structure provided by the CMS.

3. CMS ENHANCEMENT COSTS IN RFI PROPOSALS

A summary of the RFI responses received for North Dakota from iSeries vendors to enhance UCIS is set forth in **Appendix D.**

Three vendors proposed software development toolsets to be used to eliminate the RPG programming language and facilitate enhancing and extending the application. One vendor proposed professional services using the RPG programming language to enhance the application.

Cost considerations are a major consideration for North Dakota. Therefore, the price information for the three iSeries toolsets was developed to show a total cost of ownership (TCO) over a ten-year period, the presumed lifespan of a software application. The TCO includes, most

commonly, the software license, training, ten years of maintenance support, and a number of labor hours needed to enhance the application.

As the enhancement option, the ten-year TCO ranges from approximately $600,000 to $800,000. Two-year estimated budget amounts are set forth in the Recommendations section IV.

4. CMS REPLACEMENT COSTS IN RFI PROPOSALS

A summary of the RFI responses received for North Dakota from CMS vendors to replace UCIS is set forth in **Appendix E**, which is labeled "Confidential and Proprietary" to reflect the rights asserted by the CMS vendors submitting information.[2]

Because the RFI was not a procurement vehicle, the CMS functionality of the vendors' proposals was not examined closely. Because all of the systems were implemented in a court in some form, it was assumed that, at a high level, they would all perform the functions needed in North Dakota.

The RFI stressed the importance of vendors submitting an estimate for a data conversion from UCIS to their system. Seven of eight vendors responded with estimates.

Cost considerations are a major consideration for North Dakota. Therefore, the CMS price information was developed to show a total cost of ownership (TCO) over a ten-year period, the presumed lifespan of a software application. The TCO includes, most commonly, the software license, training, data conversion, and nine years of maintenance support. Some vendors provided a range of values for various components of their estimates.

As the replacement option, the ten-year TCO ranged from a low of about $3.5 million to a high of $12 million. Two-year estimated budget amounts are set forth in the Recommendations section IV.

III. RECOMMENDATIONS

The NCSC recommends two general approaches: enhancing the state court's CMS using an iSeries software development toolset; and replacing the current CMS with a commercial off-the-shelf (COTS) product or custom-developed court CMS. The SCAO must make the ultimate choice, after considering the pros and cons of each alternative.

A. ENHANCING THE STATE COURT'S CMS

1. SOFTWARE DEVELOPMENT TOOLSETS

The NCSC recommends that the SCAO give primary consideration to planning to acquire one of the iSeries software development toolsets set forth in **Appendix D**, and hire contracting help to perform the UCIS enhancement work. This recommendation is based upon the following factors:

[2] One of the leading CMS vendors, Tyler Technologies, did not respond to the RFI.

- The UCIS CMS has been customized in many respects to the functions of the courts in North Dakota over a period of many years. It is a stable software application, for the most part.
- The UCIS CMS operates on an iSeries platform that is stable and relatively low cost. All three software development toolsets produce code that can operate on a different hardware and software platform, including Windows, Unix and Linux. Depending on the application enhancement timeframe adopted, the application would be able to run on a different platform in a range of six months to one year. This ability to convert part of all of UCIS to operate on another platform in the foreseeable future will allow the SCAO to preserve its investment in the iSeries machine as long as the hardware is operable, but also allow it to move to a different computer platform.
- The desired enhancements can be obtained at a significantly lower cost than acquiring a replacement CMS and converting existing data to it. All three software development toolsets provide the ability to give users a graphical user interface or, alternatively, to give high-intensity data entry users a keyboard-oriented interface best adapted to that purpose.
- All three software development toolsets provide an up-to-date software development environment, allowing the software development staff to move away from the current RPG development as the application is enhanced and converted.
- SCAO staff are currently and foreseeably occupied with planned enhancements to UCIS, and that work would have to be postponed if their efforts were dedicated to enhancement work using the new software development toolset. Contracting help may be provided by the vendor of the software development toolset selected.

Converting part or all RPG code to a different software development environment is a common strategy and tactic among iSeries shops which are faced with the same issues as the SCAO. Software companies have developed products to address this need of the iSeries community. Two of the three toolsets considered claim to have thousands of customers who had needs similar to the SCAO's. The NCSC checked references of the toolset vendors, and their claims were substantiated.

A software development toolset is particularly attractive to small and midsized iSeries shops where the development staff is typically under half of a dozen programmers, like the SCAO which has three. In the iSeries market, in terms of programmers and development, approximately 70 to 80 percent of the shops have five programmers or less. In such shops, the programmers manage the system, they do software updates, and they make all the changes. For them, accepting a new software development toolset is a means of becoming more productive when making big changes to the system, because such a toolset offers advantages over the traditional RPG programming environment.

The NCSC's final report will provide a cost/benefit analysis, ROI analysis and business case for its recommendations, and will provide a suggested implementation work plan. Such planning will assist the SCAO in going forward with a plan to implement its choice of NCSC recommendations in terns of project scope and timeline, and will offer specific answers to the following questions:

- How much staff time needs to be allocated to continuing UCIS maintenance during the enhancement period?
- Which of the 12 enhancements have priority by virtue of being the most important?
- Would the enhancements be rolled out in phases? How long would it take to complete all of the enhancements?

The NCSC recognizes that the SCAO would need an online help documentation tool to provide users with a description of how the enhanced application works. The trainer would have a big job of documenting application functionality as they are completed, as there is always a rush of work near the end of the enhancement project as many items are wrapped up at once.

2. SCENARIO #1 – SCAO STAFF PERFORMING ENHANCEMENT WORK

Scenario #1 would place SCAO staff in a leading, active role architecting the enhanced UCIS. This assumes that SCAO staff would be able to take a leading, active role by either delaying development of enhancements to UCIS or outsourcing enhancement development to a third-party contractor. The SCAO is in a position to assess the situation and choose whether or not it should select this scenario.

All three SCAO developers would be trained in the new development tool and would be performing the bulk of the enhancement work with the help of vendor contractors who are experts in the tool, and possibly supplemented by contracted staff either to perform maintenance or participate in enhancements.

There are several challenges in this approach:

- Maintenance work would continue to be required during the enhancement period. This work cannot be ignored, and it would either distract SCAO programmers from their enhancement work or require assistance by third-party developers.
- New development on the application is currently underway and may not easily be put on hold during the enhancement period.
- Architecting the enhancements requires a high degree of foresight, skills and experience. In order for this approach to succeed, the programming staff would have to be able to adapt to the new programming paradigm and be willing to learn by trial and error. If the prospect of this is overwhelming, it may be better to consider Scenario #2 and put them in a consulting role to vendor experts who already know the tool well and have done similar redevelopment work before and know many of the pitfalls.
- Of the two scenarios, Scenario #1 is the higher risk but possibly lower-cost approach. Considering the scope of the enhancements, and the ever-present possibility of staff turnover in midstream, the SCAO IT manager would have to assess and estimate the project risk and the timelines of delivering the enhancements.
- User documentation would need to be upgraded significantly over current levels. Getting an online help documentation tool would be essential, but a staffing issue is whether the current trainer would be able to learn the online help documentation tool,

quickly comprehend the changes to UCIS, document them, and train users.

Once the enhancements were completed, the SCAO staff would maintain the code and perform additional enhancements as needed.

3. SCENARIO #2 –CONTRACTOR STAFF PERFORMING ENHANCEMENT WORK

Scenario #2 would place the software tool vendor in the leading role architecting the enhanced UCIS and doing much of the development work. At the time of the project scope is set, the vendor and the SCAO would collaborate to determine the functional requirements, and appropriate priorities and phasing of the requirements, at which time the scope of work and the budget would be established, and a project plan would be delivered. The SCAO project manager/liaison, programmers, the trainer and the help desk would be more or less involved in different phases of enhancement.

The SCAO would name a project manager to do liaison with the vendor lead person throughout the enhancement project. For estimating purposes, project management tasks may average at least ¼ time during development, though heavier at the front and the end. Further, once the preliminary design was completed, SCAO programmer/analysts and the trainer would develop user acceptance test (UAT) scenarios and protocols ("test suite") and conduct parallel testing. Also, they would be involved in helping identify business rules and workflow rules, and participate in data cleanup.

The SCAO programmer/analysts (and perhaps the project manager) would be trained to use the vendor software development toolset during the enhancement project. Once the enhancements were completed, the SCAO staff would maintain the code and perform additional enhancements as needed.

4. SOFTWARE TOOL VENDOR LANSA

Over 7,000 organizations have enhanced and developed iSeries applications using LANSA's software development tools. LANSA is a development environment for generating applications on multiple computer platforms, and offers an entire family of integrated software development tools. The main feature of the LANSA environment is the RDML (Rapid Development and Maintenance Language) language, and its latest major update is LANSA 2005. RDML is classified as a 4GL (4th generation computing language). It originated on the AS400, but now runs on several platforms including iSeries, MS Windows, Unix, and Linux. In its first release in 1987, RDML was known as lambda.

RDML is a highly productive language using a centralized object-based data dictionary called the LANSA Repository. A Windows-XP style Integrated Development Environment (IDE) simplifies the maintenance of LANSA objects within the LANSA Repository. RDML code interacts with files at an object layer, and a Repository field object encapsulates data and applies logic and rules to it. The Repository enables inputting business rules including validation logic and referential integrity on a file. This allows for consistent update regardless of the interface used to update the data.

RDML closely follows the syntax of CL, or Control Language. CL is the "scripting language" equivalent of the OS/400 operating system. One line of RDML source can produce 10 to 200 lines of 3GL source code. In recent years RDML has been extended to become RDMLX, an optional extended set of capabilities and syntax for the LANSA repository and RDML language. This new LANSA 2005 version of the language has extra features, commands, types, and functions that are used in component development. RDML, on MS Windows, integrates with ActiveX.

The structure of RDML allows it to produce 3GL source in multiple languages including; RPG ILE, Visual C/C++, HTML, XML, WML and Java. The visual IDE generates much of the needed code through a wizard technology LANSA refers to as “templates,” and a developer does not need to go below the generated code level. This technology allows a trained programmer to produce applications for multiple interfaces and on multiple platforms with little or no retraining.

The NCSC checked LANSA’s references who confirm that the language is easy to learn and is a powerful tool for enhancing and extending iSeries applications. The Cook County Circuit Court in Chicago used LANSA’s RDML and Repository to develop the court's Juvenile Enterprise Management System (JEMS) from scratch. JEMS is an integrated justice information system which ties law enforcement to six county agencies with responsibility for juvenile justice and child protection in one application. The systems tracks child court date, arrest date thru adulthood, foster care information, etc. Through consulting with Cook County, LANSA staff already are familiar with the court case management environment, and the LANSA RFI response was the most complete among the three iSeries tool providers in showing an understanding of case management.

LANSA provided a detailed project plan and proposed to perform the CMS enhancements identified in the RFI during a six-month period.

5. SOFTWARE TOOL VENDOR BCD

Over 1,200 organizations have developed iSeries Web applications using WebSmart, BCD's iSeries Web application development tool, during its 30+ years on the market. BCD has signed a distribution agreement in which IBM will issue WebSmart and Catapult, its automated report and document distribution tool, through its iSeries Try and Buy program.

WebSmart’s Windows based IDE auto-produces ILE CGI programs which provide dynamic web content via the HTTP or the Apache server running on the iSeries. The generated programs are automatically written in RPG/ILE. WebSmart JSE (Java Servlet Edition) uses the same IDE but generates Java Servlets. Developers can choose where and how to deploy their apps – targeted as CGI on iSeries, as Java Servlets on iSeries or as Java Servlets on other platforms, such as NT, UNIX or LINUX from a single development effort.

WebSmart includes templates, custom-designed wizards and over 100 free routines to build Web applications. WebSmart supports service-oriented architecture, Web services, extensible markup language, e-mail, and output to Microsoft Excel, and includes built-in change

management and interfaces to CM tools. WebSmart also includes unlimited developer seats and requires no-seat licenses for end users.

BCD provided customer testimonials that are enthusiastic about the WebSmart product. BCD claims that 70% of its customers do not require a training class because the product is easy to learn and use.

BCD proposed that SCAO programmers after training and working with BCD consulting services, could complete the enhancements identified in the RFI during a period of six to 12 months, probably closer to six than to 12.

6. SOFTWARE TOOL VENDOR ASNA

ASNA's Monarch™ transforms iSeries programs and applications originally written in ILE RPF or RPG/400, into native Microsoft .NET applications on Microsoft Windows Server 2003, and off the iSeries platform. RPG code is transformed into ASNA Visual RPG for .NET (AVR) which results in 100% Microsoft Intermediate Language (MSIL)-compliant code which can then be extended to create component applications and Web services. Applications can be modified using Microsoft Visual Studio 2003/2005 tools like C# or with AVR. Although the migrated applications run on a Microsoft platform, organizations can then choose to either leave their data on the iSeries servers or migrate it also to the Microsoft SQL Server database.

AVR for .NET is an RPG compiler for Microsoft's .NET platform that is a superset of the RPG programming language already in use by programmers, enabling programming teams to build sophisticated, feature-rich applications quickly. AVR enables RPG programmers to modernize existing RPG applications and extend RPG applications to .NET while continuing to program with a familiar, RPG-like syntax. ASNA points out that, according to Forester, a recent survey of U.S. corporate IT departments shows a majority (56 percent) intend to develop the majority of their future technology using .NET.

ASNA joined Microsoft in founding the Midrange Alliance Program, a strategic initiative to help enterprises worldwide reduce the risks and high cost of maintaining, extending and migrating aging IBM midrange systems. The alliance establishes the technical foundation for these enterprises to efficiently move to .NET and includes ASNA products as cornerstone enabling technologies.

Using AVR.NET, developers become productive in all aspects of .NET framework because it is faster to learn new technologies when both language and database access are already mastered. Moreover, the.NET Framework abstracts away complexities of Web applications, Web services, and XML to further enhance developer productivity.

ASNA proposed that SCAO staff perform the migration of the SCAO iSeries code. ASNA does not perform installations of software or solutions themselves. Typically the staff of the organization who buys the ASNA software suite performs the work themselves or uses a third party consulting firm, perhaps an off-shore firm. However, ASNA has many state and local government clients who use the ASNA product suite for modernization, extension or migration of their applications.

B. REPLACING THE STATE COURT'S CMS

1. CONSIDERATIONS FOR REPLACING THE STATE COURT'S CMS

The NCSC recommends secondary consideration to planning to acquire one of the COTS court CMS packages set forth in **Appendix E**. This recommendation is based upon the following factors:

- The SCAO would be joining the majority trend of jurisdictions and states employing this approach to modernizing the court CMS.
- More than likely, a COTS court CMS will meet <u>most</u> of the state's needs without significant customization.[3]

One of the recommendation criteria was the ten-year total cost of ownership (TCO) of each of the systems, including all one-time and continuing costs. Because the RFI was not a procurement vehicle, the cost estimates are merely estimates, not contractually binding.

Other criteria in evaluating CMS vendors included experience in statewide implementation, the apparent ability to interface with external systems, and the apparent need for customization of the core software which reflects the flexibility of the core software to adapt to a jurisdiction's needs.

The leading candidates are set forth in following sections with highlights of their proposals.

2. CMS BY JUSTICE SYSTEMS, INC. (JSI)

JSI proposed implementation of FullCourt® *Enterprise* for rollout into the courts of the State of North Dakota. An Internet browser-based product, FullCourt *Enterprise* is designed to take advantage of new technologies and new methods for collecting, storing and presenting court case information. It is a scalable, n-tiered application designed to support concurrent use by multiple courts and agencies.

JSI's responses to the Functional Matrix show that the CMS has already incorporated much of the functionality sought by the SCAO—an indication that JSI is knowledgeable in the needs and requirements of courts in general, and capable of addressing the special needs of the State of North Dakota in particular.

JSI's CMS has been successfully utilized in the states of Kansas, Montana, Wyoming and Idaho. Thus they have dealt with data conversion and other aspects of a statewide implementation.

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[3] One unique North Dakota case management requirement is the "Deemed as a misdemeanor" procedure described in a SCAO memo dated May 7, 2002. Depending on the architectural flexibility of a COTS court CMS, this requirement may have to be hard-coded or it may be configured. Other unique requirements will likely be discovered.

JSI's FullCourt® *Enterprise* provides the industry-standard configuration processes necessary for assigning users to system roles, setting up roles to define access rights to data and system modules, setting up data elements for use in pick lists, and defining basic business parameters which are used in processing such as fine and fee distribution rules, register of actions automated entry events, bond conditions of release, and statutes. It does not appear to incorporate workflow into its architecture, though workflow has not yet become mainstream.

3. CMS BY SUSTAIN TECHNOLOGIES, INC. (SUSTAIN)

Sustain proposed its Web-based case management system, called eCourt, using the Java2 Enterprise Environment (J2EE) platform, an industry standard for developing enterprise applications. Users only need a web browser on their desktops. Sustain is in the process of migrating an Illinois court to eCourt and expects to complete this process in the very near future.

Sustain leases its CMS so there are no large initial capital investments. The court pays an annual fee based primarily on the number of users, all accessing the software on the same central system. The five or seven-year lease agreement may be extended; we will provide a number of option years. Users in other agencies who have only read-only access would pay one-half the annual fee per user.

Since its founding in 1984, Sustain has supported both its earlier DOS court case management version and Justice Edition, which is Windows-based with a SQL database. Sustain is licensed in ten states and three countries, including two of the largest courts in North America – Los Angeles Superior Court and Toronto, Ontario, Canada, 16 other California courts and statewide in about 100 courts in Georgia.

Sustain's eCourt appears to go beyond industry-standard table-driven configuration, providing additional kinds of configuration and therefore flexibility. Its configurable features include:

- Work Queues. eCourt provides the ability to configure work queues. Individual or group work queues can be set up to handle any number of tasks. The workflow engine and business rules will route work to the appropriate work queues. Each task of the work queue can be assigned (i) the minimum/maximum number of items to be worked on and (ii) timeframes/deadlines before notification of the supervisor. Since some actions are driven by the receipt of documents, etc., many required actions can be accomplished automatically in the workflow process. For example, any "trigger" can automatically schedule events based on pre-defined criteria and then send notices.

- Business Rules Engine/Manager. At the heart of any reliable workflow system is a business rules engine. As court business and workflow processes change, business rules can be configured to support nearly all types of data validation and automated transactions. This provides not only the flexibility to create "statewide" business rules, but also to create any and all "local rules" as set forth by administrators.

- Calendar Management and Event Scheduling. From case initiation to disposition, eCourt allows administrators to configure the manner in which cases move through the system. To us, this process is very similar to supply-chain management in which all resources are optimized to produce the most efficient results possible. These resources include the availability of personnel, equipment, space, conflict control, calendar management, event outcomes, etc. If configured logically, the workflow will result in a calendaring system in which all participants will be assembled at the proper times and places, within the constraints of resources, the availability of the participants, and the requirements of due process.

4. CMS BY INFOCOM SYSTEMS SERVICES, INC. (INFOCOM)

Infocom proposed a customized design of a court CMS based on the SCAO's requirements, to be developed using modern technologies and case management components already proven in their other solutions. Infocom's proposal made the following points:

- Does not force SCAO to bend its business processes to meet a COTS system's requirements
- No need for gap analysis -- effort and cost avoided
- Automatically generates significant user buy-in and confidence -- user interaction from conception to installation and acceptance.
- Drastically reduces time needed for software development because of re-use of proven components and concepts.

Infocom's design includes an event-driven architecture using state-of-the-art technologies of a Business Rules Processor and Workflow Manager. These allow case flow to adapt to events as they actually occur. Exceptions to normal case flow are handled 'in-flight' and continue to be tracked within the system. They also facilitate central monitoring of work in process and serve as an automatic tickler mechanism.

Infocom offers complete configurability by the SCAO's System Administrator, including the key components of the business process – events, business rules. With this architecture, the system is adaptable to SCAO's evolving business processes without requiring any change in the software, and the costs associated with change. Case-flow, functions, forms and reports are configurable for each court, judge, and case type. This reduces the time needed for start-up and for continuing training of employees, and delivers consistent service to the public

Infocom has delivered case scheduling components to three judicial circuits in Florida, and proven the success of its Business Rules Processor and Workflow Manager. Its technology for handling transactions is demonstrated in its other customer reference of J. P. Morgan Invest in Boston, for whom Infocom developed an Automated Trading System for Brokerages. The system runs 24x7 and virtually unattended. The original contract called for system capacity to handle 3,000 stock trades per day. As transaction volumes grew, the system was scaled up and out using multiple processors and more servers, without any changes to the original software. In April 2000, when the stock market crashed, the system handled 50,000 stock trades that day without a glitch.

IV. PROPOSED BUDGET FOR RECOMMENDED SOLUTIONS

A. CMS ENHANCEMENT COST ESTIMATES

If the SCAO decides to enhance the state court's CMS, it should seek a legislative appropriation of approximately $550,000 - 700,000 in the first biennium for software and third-party services to enhance the current iSeries-based court CMS to a new software development environment that also paves the way for migration to a different hardware platform some time in the future. In biennia thereafter, the SCAO would need to request approximately $50,000 for software maintenance ($25,000 per year).

The SCAO will need an online help documentation tool to provide users with a description of how the enhanced application works. RoboHelp has been the industry standard for a dozen years, but other packages are available. A list of alternative online help documentation tools is set forth in **Appendix F**. The cost of software and training is less than $3,500 for the first biennium ($3,000 for the software and $500 for software maintenance in the second year). In biennia thereafter, the SCAO would need to request approximately $1,000 for software maintenance ($500 per year).

B. CMS REPLACEMENT COST ESTIMATES

If the SCAO decides to replace the state court's CMS with a commercial off-the-shelf (COTS) product or custom development, it should seek a legislative appropriation of approximately $3.5 - 4.0 Million for the first biennium and approximately $600,000 in each biennium thereafter for software maintenance ($300,000 per year).

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

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
1.3.8 Utilize Person Information	Person (parties and participants) information is entered and associated with the case. Information includes identifers from external sources and assigned by the court, contact information, and demographic information.	Partial	Yes to 1st requirement. Only external identifier is DL
1.3.9 Enter Reason for Initiation	Enter the reason for initiation (e.g., new filing, transferred from another jurisdiction, reopened or remanded case, counter or cross claims, de novo appeal according to local procedures).	Yes	
1.3.9.1 Notes	[Discrepency] Reasons defined may mix two concepts. Should not be charge or cause.	?	[requirement unclear]
1.3.10 Support Additional or External Identifiers	Capture, assign, or allow entry of other identifiers (e.g., of other courts such as juvenile or domestic relations; prosecutor; corrections, law enforcement, and domestic relations service providers; other agencies; real estate parcels) and establish relationship with case participants.	No	
1.3.10.1 Notes	[Notes] Cases may be related or associated.	Yes	
1.3.11 Group Cases	[If related case] Create groups of related cases, defendant, parties and participants (e.g., several incidents filed against same defendant, party, multiple defendants, or multiple parties involved in same incident) from single or multiple filings such that initial and subsequent entries can be applied to each case, defendant, party, or participant in group.	No	
1.3.12 Assign Cases	Assign cases to court type, judge, location, department, and courtroom AND/OR other appropriate entities based on established relationships in conjunction with the Scheduling Function.	No	
1.3.13 Generate Acknowledgments	Generate receipt or notification for appropriate attorney, parties, and participants that case filing received and accepted, and give them assigned case number (notice, including electronic acknowledgment, would apply primarily when case transferred from another jurisdiction or filed electronically).	Yes	
1.4 Use Case Specification: Type Case			
1.4.1 Identify Case Type	Identify case type based upon charging document or petition.	No	Assume this means the system recognizescase type (?)
1.4.2 Enter Charge Category	[If charging documents] Enter each charge, petition, and count based on charging documents.	Yes	
1.4.3 Identify Lead Charge	Identify the lead charge, if appropriate, among group of charges for a given defendant (e.g., the most serious of charges) or the primary case type.	?	
1.4.4 Enter Dispute Category	[If pleading documents] Enter each dispute category based on pleading.	No	
1.4.5 Identify Primary Dispute Category	Identify the dispute category. This function is primarily to identify cases for statistical categorization and case management differentiation.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
1.5 Use Case Specification: Person Information			
1.5.1 Special Requirements	Provide the ability to capture multiple sets of demographic, descriptive, or informational data (where appropriate) on the same person or business (e.g. one person may use two or more social security numbers, dates of birth, names, or sets of address data; or a business may have both a legal name and a trade	No	No master name index
1.5.2 Capture Person Contact and Identifier Information	In docket or register of actions, enter or associate name and contact information (and demographic information where applicable) for all persons involved in the case (See also Indexing Function).	Yes	
1.5.2.1 Alternative Flows	Enter origin of oversight, placement, detention status.	No	
1.5.2.2 Special Requirements	For defendant records provide discrete fields for first name, last name, middle initial, suffix (i.e., Sr., Jr., III), and title; accommodate hyphenated names, aliases (AKAs), doing business as (DBAs), pro pers, and corporate names.	Yes	No title, no aliases, no DBAs
1.5.3 Search for Existing Name	Prompt user when persons already exist that relate to new case, followed by user-initiated search for duplicate persons that user can transfer into current case if appropriate to avoid unnecessary data entry (e.g., using party names, addresses, and other identifiers noted above).	Yes	
1.5.3.1 Alternative Flows	If a name is found the user should have ability to pull in information found, or choose to utilize different information.	No	
1.5.3.2 Special Requirements	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions).	No	
1.5.4 Merge Data for a Person	Provide for the ability to ensure that only appropriate sets of data exists for each person (i.e., various identifiers for given person must be correlated), and allow for merge and unmerge of files containing information on the same person.	No	
1.5.5 Assign Person Identifiers	Generate or assign a separate person identifier for each plaintiff, defendant, and party and enter the corresponding contact information.	Yes	
1.5.6 Capture Demographic Data	Capture demographic, descriptive, or informational data (where appropriate).	Yes	
1.5.7 Associate Person Information to the Case	Prompt or allow entry for associated persons and entities to the case. The system shall be able to generate or capture unique identifiers for the associated persons such as attorneys. The system shall also be able to capture the role or reason the person is associated with the case.	Yes	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
1.6 Use Case Specification: Initial Case Processing			
1.6.1 Identify Process Category	Cases categories may require differential processing this should be identified.	No	
1.6.2 Note Time-Sensitive Filing	Record if time-sensitive filing that requires rapid action (e.g., restraining order, stay request, ex-parte filing).	No	Restraining order and protection order gets a next hearing date
1.7 Use Case Specification: Indexing			
1.7.1 Create Index	Create and maintain locally-defined index that (1) contains at least index information on parties, defendants, juveniles, their families, or other parties (e.g., each defendant, juvenile, or other associated party name, and where needed the date of birth, race, ethnic group, sex, role in case, external identifiers, social security number, drivers license number, referral source, referral reason and petition allegation, and whether party has an attorney); (2) contains index information on cases either subordinate to or linked to persons (e.g., case type; court type and location; case number, petition number, and other identifiers; date filed; and cross reference to other parties in case (e.g., other party named in case title or style)), (3) permits database look up by a choice of keys (e.g., party name, party role, case filed date range) and, if record found, (4) permits retrieval and display of index information, (5) permits easy interfaces with other parts of case processing system as noted below.	Partial	(1) Name search of parties only, then examine each to see if it's the desired one. (2) No (3) No (4) No (5) No
1.7.2 Index Search and Retrieval	1) Permit search and retrieval of index information by identifying a specific defendant, juvenile, or other party name, date of birth, party role, court type or location, case or party identifier, case filed date range, and where necessary by race, ethnic group, and sex. 2) The subfunction also should permit a user, after eliminating other cases or parties that satisfy original look-up, to obtain index information by selecting from list of matching cases or parties or by using search keys noted above (e.g., user requests list of parties named Smith, system returns list of Smiths, and allows user to select the desired Smith from list by clicking on proper line or entering proper keys).	No	
1.7.3 Comprehensive Name Search	Permit name search on various combinations of a person's or party's name (e.g., full name, last name only, part of first or last name).	No	
1.7.4 Index Updating Based on Events	Permit updating of index based on occurrence of specific case events (e.g., motions filed, dispositions decided).	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
1.7.5 Report Index Information	Extract, print, or otherwise produce (with appropriate security restrictions) index information arranged according to various components of index (e.g., party, defendant, juvenile, case number, case status).	No	
2. Business Function: Docketing			
2.3 Use Case Specification: Docket Creation and Maintenance			
2.3.1 Maintain Basic Case Information	Provide access to, maintain, and supplement information originally entered during case initiation in docket or register of actions including information on initial filing and basic case information.	Yes	
2.3.2 Maintain Person Information	Maintain information on all (multiple) persons (parties, defendants, juveniles, participants, and attorneys) in a case such as personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.	Partial	
2.3.2.1 Alternative Flows	Enter origin of oversight, placement, detention status.	No	
2.3.2.2 Notes	[Notes] Maintain case information as official court record in accordance with state statutes and state and local rules.	Yes	
2.3.3 Capture and Maintain Docket Entries for Events	Capture, maintain, and output information (e.g. document title and identifier, filing party, fees received, and dates) on filings (paper and electronic) and other completed events not previously in system (e.g. party added or deleted, participant added or deleted, motion filed, program referral, or hearing date set); capture disposition of events where appropriate (e.g. ruling in motion).	Yes	Text-based no pick lists - Completeness depends on user
2.3.4 Retrieve and Associate Documents	Permit user to associate and retrieve electronic documents by identifying them on each detailed list of docket events (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document (e.g., motion that was filed). Also permit user to maintain and output index of manual paper documents.	No	
2.3.5 Create Docket Entry for Events Originating in Another Function	Create docket entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function (e.g such as warrants, motions granted and other served or completed documents).	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
2.3.5.1 Notes	[Technical Requirement] Permit, with proper authorization (e.g. supervisor approval), deletion of specific docket entries and all related data (e.g. deletion of pleading and fee information causes related docket and accounting information, where applicable, to be deleted). [Technical Requirement] Allow easy data entry of multiple filings that apply to single case or related cases.	Partial	No audit trail or controls, system is wide open
2.3.6 Apply Change to Multiple Dockets	[If changes made] Apply a specific change to multiple dockets, parts of dockets, or groups of cases as if they were a single docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, change of Judge Smith's courtroom causes all records containing old courtroom number to be changed to new courtroom number, transfer group of cases to new judge when former judge retires or conflict arises, transfer group of cases to another division).	No	
2.3.7 Create Multiple Docket Entries from a Single Event	[If single event has multiple entries] Allow single event to create multiple docket entries (e.g., event is hearing; docket entries are attorney withdrawal and hearing results).	No	
2.3.8 Create Docket Entry for Electronic Documents	Create docket entry based on electronic documents distributed by other functions (e.g., notices, warrants, orders).	No	
2.3.9 Special Case Processing	[If special processing requirements] Enter, maintain, and display or print information on special case processing requirements or orders (e.g. sealed case or document, suppressed indictment, child abuse or domestic violence case affecting law enforcement registries).	No	
2.4 Use Case Specification: Maintain Case Associations			
2.4.1 Maintain Person Information	Maintain information on all (multiple) persons (parties, defendants, juveniles, participants, and attorneys) in a case such as personal information, relationship, status including dismissals, current addresses, address histories, voice and facsimile telephone numbers, e-mail addresses.	Partial	Text-based no pick lists - Completeness depends on user
2.4.1.1 Special Requirements	Inform user when situations exist for persons in new case that user should be aware of (e.g., criminal charges or restraining orders against a parent, attorney conflict of interest) and identify situation to extent information in system (see Scheduling and Juvenile Court Support functions).	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
2.4.2 Maintain Multiple Case Relationships	Maintain, or be able to construct in a manner that requires minimal user action, information and relationships on multiple cases, judges, attorneys, defendants, parties and participants (e.g., designate lead attorney, transfer group of cases or parties from one judge or hearing date to another in single transaction).	No	
2.4.3 Maintain Judge Assignment History	Maintain and print or display history of changes in judge assignment including those by challenges (e.g., preemptory challenge) and showing present and former judges and reasons for change.	Yes	
2.4.4 Maintain Attorney Assignment History	Maintain and print or display history of attorney changes for specific case, defendant, or party with reasons for the change.	Partial	Reason that attorney is "Inactive" may be in text
2.4.5 Maintain Attorney Information	Enter, change, or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive.	Partial	Not for groups of cases, no dates unlesstext entered
2.4.6 Maintain Attorney Affiliation	Maintain information on law firms, prosecutors, and associate attorneys and firms (e.g., to permit mail to be sent to each attorney in a firm, to list all cases being handled by a specific firm or attorney).	No	
2.4.7 Maintain Addresses	Maintain multiple current and historical addresses, with beginning and ending dates and address sources for each party, participant, and attorney in individual and related cases.	No	
2.5 Use Case Specification: Link Related Information			
2.5.1 Link Related Docket Entries	Link and display information on docket entries for events related to current docket entry (e.g., when respondent files motion that opposes previously filed motion of petitioner, respondent's motion would be linked to original petitioner's motion filed and new motion filed would be linked to all pending motions in case with information displayed on who filed motions, factors involved, and pending decisions).	No	
2.5.2 Track and Link Charges	Integrate and coordinate with Case Initiation and Indexing Function to track all charges (initial and modified) and to link charges to proper defendant, juvenile, case and incident.	No	
2.5.3 Link and Display Relationship Reports	Link and display or produce reports on relationships of specific cases, judge, attorneys, parties, defendants, participants, and organizations to allow the system to define, redefine, and modify relationships and reassign linkages as needed.	No	
3. Business Function: Scheduling			
3.3 Use Case Specification: Resource Assignment			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
3.3.1 Assign Judges to Case Management Tracks – Rotate judge assignments	Assign individual judges, other judicial officers, and groups of these officials to case management tracks over permissible assignment time frames or for individual events (e.g., in court with rotating judge assignments).	Partial	Judge assignment is Performed manually case by case and recorded in the system
3.3.2 Relate Judges/Staff to Facilities/Court Organization	Relate individual judges or groups of judges and court staff to courtrooms, locations, and departments	No	
3.3.3 Relate Judges to Staff	Relate individual judges, other judicial officers, and groups of these officials to department staff (e.g., reporter, bailiff; judge, other judicial officer also may be considered staff).	No	Staff assignment is Performed manually case by case and not recordedin the system
3.3.4 Assign Case Categories to Departments	Assign specific case categories to specific departments according to user-defined case-department rules	No	
3.3.5 Provide Automatic Resource Scheduling	Assign and reassign individual and groups of judges and other judicial officers using one or more of the following methods: randomly, according to predefined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies including setting a maximum number of events), according to existence of specific conditions (e.g., conflict of interest, disqualification), according to dates and times specific judges available to hear specific matters (e.g., motions on Wednesday afternoon).	Partial	Judge assignment can be done in the system, but often handled manually
3.3.6 Assign Related Cases	Assign related cases, as designated by user, to same judge (e.g., multiple complaints regarding same problem or person)	Yes	Performed manually case by case
3.3.7 Case Reassignments	[If make reassignments] Reassign an individual or group of cases from one judge, other judicial officer, or department to another as a single user action (e.g., judge retires or moves to appellate court).	Yes	Performed manually case by case
3.4 Use Case Specification: Schedule Events			
3.4.1 Special Requirements	Automatically close the tickler if conditions are met	No	Performed manually case by case
3.4.2 Allow Transfer of Scheduling Data	Allow automated transfer of selected participants scheduling data in order to schedule court events. (e.g. police officers' schedules)	No	
3.4.3 Assign Events to a Schedule	Schedule events and groups of events according to statutory and locally mandated time standards for cases	Yes	Performed manually case by case
3.4.3.1 Alternative Flows	Allow automatic scheduling of the next logical event based upon the outcome of the currently scheduled event (e.g. the entry of a continuance as the disposition of a hearing should automatically schedule the next hearing).	No	

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3.4.4 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Text-based no pick lists - Completeness depends on user
3.4.5 Schedule Multiple Cases for Same Date and Time	[If multiple cases] Allow multiple cases and events to have same scheduled date and time (e.g., multiple complaints regarding same problem or multiple incarcerated defendants to be heard together).	Yes	Performed manually case by case
3.4.6 Schedule Maximum Number of Cases	[If single case] Allow to schedule up to maximum number of cases for specific, user-specified time interval by event (e.g., hearing) type, judge, and other criteria.	Yes	
3.4.7 Schedule Groups of Related Cases	[If related cases] Schedule groups of related cases as if group were a single case (e.g., multiple defendants involved in same incident, Title IV-D cases, dismissal hearings).	No	
3.4.8 List Cases Waiting to be Scheduled	[If non-related cases] Schedule an event from list of cases to be scheduled for specific date, date range, judge, other judicial officer, courtroom, and other entities	No	
3.4.9 Deliver Scheduled Court Dates	Support automated generation and delivery of scheduled court dates to the court's institutional partners (e.g. police and prosecutor) as well as the cancellation or modification of those court dates	No	
3.5 Use Case Specification: Schedule Changes			
3.5.1 Identify Scheduling Conflicts	Identify, display, and suggest resolutions to scheduling conflicts, allowing user overrides and rescheduling with appropriate security and data integrity	No	
3.5.2 Suggest Resolutions	Suggest availability/resolutions to scheduling conflicts	No	
3.5.2.1 Notes	[Technical Requirement] Record pertinent information regarding schedule overrides or changes (e.g., initiator, date, reason).	No	
3.5.3 Provide Manual Schedule Override	[If accept resolution] Provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations, exceed maximum number of cases for specific time interval, and schedule events at times other than those set automatically	Yes	
3.5.3.1 Notes	[Technical Requirement] During manual scheduling and rescheduling display other future events for that case.	No	
3.5.4 Modify Related Records	[If deny resolution] When schedules change, modify records of all related parties, participants, calendars, docket entries, case status, and other data and functions	Yes	Performed manually case by case

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3.5.5 Apply Change to Multiple Schedules	Apply specific change (e.g., reschedule cases to be heard by judge who is sick, cancel future events when case dismissed) to multiple schedules for group of cases as a single user action	No	
3.5.6 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Performed manually case by case
3.6 Use Case Specification: Schedule Management			
3.6.1 Produce Schedule of Cases with Action Pending	Create, maintain, and output administrative or clerk's schedule that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update this schedule when pending actions completed	Yes	
3.6.2 Generate Docket Entry	Generate docket entry based on scheduled and completed events as appropriate (see Docketing Function).	Yes	Performed manually case by case
3.6.3 Report Nonconformance to Business Rules	[If nonconformance] Provide mandatory exception reporting when scheduled events and groups of events do not conform to statutory and local mandated time standards and other established business rules	Yes	
3.6.3.1 Special Requirements	1. Track conformance to time standards including modifications, overrides, and suspension of time counting under certain conditions (e.g., by automatic assignment, on-line edits or alerts, management reports and could include modifications and overrides such as moving from one case management track to another, overriding requirement that response due in 30 days and manually entering 60 days).	Partial	Management report - Docket Currency
3.6.3.1 Special Requirements	2. Support differentiated case management methods (e.g., schedule events within various sets of differential case management rules, schedule plea agreement conferences, master calendar, individual calendar).	Yes	Performed manually case by case
3.7 Use Case Specification: Produce and Track Schedules			
3.7.1 Track Schedule Modifications	Track and output schedule modifications (e.g., judge or mediator's schedule's, or courtroom reassignments) over specific period.	No	
3.7.2 Include Case Age in Displays	Include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards).	No	
3.7.3 Produce Schedules	Produce upon user request (including ability to reproduce, redisplay, or reprint) schedules for various events, hearing types, dates, and facilities (e.g. mediator's, arbitrator's schedule by day).	Partial	By date for a judge/location (public calendar and private calendar)

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3.7.4 Output Schedules for Case Participants	Print or display schedules for various persons (e.g. other judicial officers; attorneys; other participants such as law officers, domestic relations service providers, child support agencies, child welfare agencies, other governmental agencies if their schedules in system), event and hearing types, dates, and facilities (e.g., courtrooms) for each time interval within specific period	No	
3.8 Use Case Specification: Ticklers and Prompts			
3.8.1 Provide Tickler Capability	Provide tickler capability based on schedules and statutory requirements: identify events coming due or overdue, periods about to expire or expired (e.g., guardianship accounting due, answer or response due, bail forfeiture due), events of which user should be aware based on locally defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre-sentence investigation); prompt or notify users; and initiate proper functions (e.g., generate statutorily required notice regarding termination of support on approaching birthday when child becomes an adult, unless special conditions exist that nullify termination, such as physically handicapped person; generate notice regarding approaching speedy trial deadline; schedule hearing).	Partial	Some ticklers are automatically generated (civil time standards), and some are user-generated (criminal time standards). Ticklers may not be specific, so user has to open the tickler. Ticklers are not automatically removed when an event is canceled or a case is closed.
3.8.2 Provide Visual Reinforcement	Provide user-activated or -deactivated visual reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees tickler message	Partial	Green is active color, blue is history. User may leave them green rather than moving them to history because user has to go to another screen to do that.
3.8.3 Provide User Control of Tickler	Allow users to define structure, content, frequency, and intrusiveness of ticklers, alerts, and prompts	No	
3.8.4 Report Due Events	Generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria (e.g., termination of support on approaching birthday when child becomes an adult, and special conditions that nullify termination, such as person physically handicapped).	Partial	Events on specific date
3.8.5 Alert User to Non-Public Record	Generate alert when displaying cases or portions of cases that are not public record (e.g., adoption cases, which are considered confidential) or otherwise require user notification	No	

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3.8.6 Alert User to Unavailable Scheduling Factors	Generate alert when judges, other judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors unavailable	No	
3.8.7 Identify Completed Events	Identify completed events (i.e., all tasks associated with multi-task event must be complete for event to be complete) and prompt users when further action required	No	
3.8.8 Prompt Related Case Scheduling	Prompt user to schedule pre-defined related cases (e.g., other petitions regarding same problem) and prerequisite events (see Case Initiation and Indexing Function and Docketing Function in which relationships are defined to system-some automatically and some manually)	No	
3.8.9 Alert User to Maximum Events	Generate alert when approaching maximum number of events normally permitted on schedule (e.g., based on differential case management category, case type, case category).	Yes	
3.8.10 Alert User to No Next Event	Alert clerk when case filed or displaying pending cases with no scheduled next event	No	
3.8.11 Provide Supervisor Control of Alerts	Allow supervisor at appropriate level to turn alerts on and off	No	
3.8.12 Provide Defined Action or Inaction Alerts	Generate alerts for defined actions or inactions (e.g., when a scheduled payment is not made, when an error is made such as when a pleading is submitted for a closed case or when the event does not comply with system processes).	Partial	Ledger Card Report shows delinquent payments
4. Business Function: Document Creation and Tracking			
4.3.1 Generate Pre-Formatted Documents	1) Generate miscellaneous documents (e.g., for re-scheduled and canceled events, plaintiff claims forms, for bail or bail reinstatement, postponement of proceedings due to pre-trial intervention, protection or custody, follow-up letters such as requests for completed Title IV-D forms, and other types of forms). 2) Generate pre-formatted documents or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents received and accepted, particularly when a document is filed electronically (see also Multifunction Capabilities and Integration and Case Initiation and Indexing Function).	Partial	1) Yes 2) No
4.3.2 Create Special Notices	[If special notice] Create special notices (e.g., judge or other judicial officer assignment, courtroom change, attorney change, schedule change, notices to non-participants, other courtesy notices) when requested	Partial	Many special notices generated outside of UCIS with Word

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4.3.3 Include All Parties on Notices	In cases with multiple active parties, provide option to include show names and primary (e.g., as designated by party or attorney) addresses of all other active parties and attorneys on notice to specific active party, and show names and primary addresses of all active parties on file copy of notice.	Yes	
4.3.3.1 Special Requirements	Provide capability to enter, store, and retrieve postal and electronic mail address (and other information pertaining to), all "person data types" who should receive specific documents from various locations in system and database as if, from user perspective, they were in same record	Partial	Retrieves postal but not email addresses
4.3.4 Consolidate Notices	[If one attorney for multiple defendants] In cases with multiple active parties, generate single notice for attorney who represents multiple parties.	No	
4.3.5 Distribute Documents Electronically	Distribute documents electronically in accordance with state and local statutes, rules, and procedures (see Docketing Function and Configuration Maintenance, Security and Integrity Function).	No	
4.3.5.1 Notes	[Technical Requirement] Allow user to designate or override computer selection of recipients of the above documents.	No	
4.3.6 Provide Document Workflow Tracking Information	Record and report the status of pertinent information regarding all documents sent or served and track document service and follow-up activities including type of process, recipient, method of service, date of service, return of service, proof or certificate of service, failed service, re-service if necessary, any other events, and status information (e.g., pick up order tracking working with justice interface).	Yes	Requires user-set tickler
4.3.7 Utilize Served Documents Tracking	[If warrant] Activities associated with issuing and tracking the service of warrants and other court orders	Yes	
4.4 Use Case Specification: Served Documents Tracking			
4.4.1 Transmit Served Documents	Send warrants and other served documents (e.g., subpoenas), to appropriate agency with request for acknowledgement of receipt.	Partial	Warrants only, and no request for acknowledgement of receipt
4.4.2 Receive Served Documents	Receive, acknowledging receipt of, warrants and other served documents (e.g., subpoenas), from appropriate agencies	Yes	Performed manually case by case
4.4.3 Receive Return of Service	Receive return of service on warrants and other served documents (e.g., subpoenas).	Partial	Receive notice of warrant service through teletype interface
4.4.4 Reconcile Documents	Facilitate warrant reconciliation with appropriate agency maintaining state criminal history repository	Yes	Performed manually case by case
4.5 Use Case Specification: Document Printing			

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4.5.1 Process Court Documents by Event	Automatically print, store and docket court documents based on court events	No	
4.5.2 Provide Group Document Processing	Perform document generation, print, and distribution functions for group of related cases as if group were single case	No	
4.5.3 Suppress Printing of Confidential Information	[If includes confidential information] Suppress or exclude user-designated confidential information in documents (e.g., mask out confidential addresses for notices sent to specific persons).	No	
4.5.4 Provide Flexible Document Printing	[If does not include confidential information] Select printer and be able to print documents individually (including ability to reprint) or in batches in local courts or central location as scheduled or when requested.	Yes	
4.5.5 Print Notices in Multiple Languages	Print defendant notices in multiple languages (e.g. English, Spanish).	No	
4.6 Use Case Specification: Document Utilities			
4.6.1 Support Output Templates and Standard Text	In conjunction with Docketing and Related Recordkeeping Function, allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., civil warrants with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., some types of notices).	Yes	Generates state-mandated and locally customized documents, but tool is inflexible.
4.6.2 Maintain Standard Text Files and Relate to Events	Maintain files of standard text and use to create entire documents or to insert text into boilerplate court forms; relate each group of text to document(s) and court event(s) in which they are used (same as the above sub-function, except there are no output templates, which would necessitate imaging).	Yes	Generates state-mandated and locally customized documents, but tool is inflexible.
4.6.2.1 Special Requirements	Provide ability to override document entries made using the templates and standard text noted above. Provide ability to create customized templates and integrate with user defined word processing packages.	No	
4.6.3 Relate Templates to Court Events	Relate each output template and text noted above to document(s) and court event(s) for which they are used	No	
4.6.4 Create and Support Electronic Forms and Documents	Create electronic forms and other documents noted above; distribute documents and receive responses (e.g., return of service) electronically (see Multi-Function Capabilities and Integration).	No	
5. Business Function: Calendaring			
5.3 Use Case Specification: Calendar Creation			

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5.3.1 Arrange Information into Calendar Format	1)Provide flexibility with respect to calendar content and format (e.g. case or detention status shown with calendar). 2) Produce summary calendar information view for a given person, location, or event (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar) and provide interface to other parts of system to access other types of information (e.g., on related cases or participants) (see Management Reporting Function). 3) Create for output, with calendar, summary of user-designated past and future scheduled events, docket events, or related cases and persons	Partial	1) Limited flexibility for calendarcontent and format. 2) Summary calendar by judge showing most of items named, but no access to other types of case information. 3) ?
5.3.2 Suppress User-Designated Information	Suppress inclusion of user-designated confidential information in calendars (e.g., mask out information, such as juvenile victim name in child abuse proceedings) (see Configuration Maintenance, Security Integrity Function).	Partial	Restricted cases do not show juvenile respondents.
5.3.3 Include Nature of Proceeding on Calendar	Record and output nature of proceeding for each case on calendar (e.g., motion to dismiss, evidentiary hearing or review hearing to consider change of placement for neglected child).	Yes	Performed manually case by case
5.3.4 Create and Maintain Notes	Create and maintain judge and other user notes (i.e., notes and comments for use with the specific judge's or other user's calendar) for user's viewing only in accordance with local rules and statutes (see Configuration Maintenance, Security and Integrity Function).	Yes	Judge notes not used by some judges because not user-friendly
5.4 Use Case Specification: Calendar Distribution			
5.4.1 Produce Batch and Individual Calendars	Distribute calendars electronically and to the public on the Internet where allowed by rule (e.g., jury manager, court reporters, criminal support units, and CJ agencies).	No	
5.4.2 Distribute Calendars Electronically	Produce calendars individually (e.g., for a judge or courtroom) or by batch (e.g., for posting throughout courthouse) according to various criteria including date, judge, or courtroom	Yes	Undesired that individual charges print instead of the one case they are associated with
5.4.2.1 Notes	[Technical Requirement] Allow users to reprint selected portions of a calendar and insert add-ons without reprinting the entire calendar.	No	
5.4.2.2 Special Requirements	Print individually or in groups; in multiple locations or central location.	No	
6. Business Function: Hearings			

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6.3 Use Case Specification: Record and Format Proceedings			
6.3.1 Generate Manual Recording Worksheet	Optionally create a document suitable for manually recording minutes (e.g., worksheet, check-off list, working calendar).	No	
6.3.2 Capture Record of Court Proceedings	Enter, store, document, and display or print (batch or individually) preliminary and final proceeding records, including informal proceedings when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules	Partial	Only individually, not batch
6.3.2.1 Special Requirements	1) Provide for minute entry suitable for multiple case and multiple-defendant situations using one of methods noted below. 2) Provide user-defined format for real-time, in-court entry of minutes and entry of minutes after judicial proceedings. 3) Provide edits and prompts with real-time minute entry capability (see Scheduling and Security and Data Integrity functions).	No	
6.3.3 Enter Courtroom Activity	Enter, store, and display or print courtroom activity recorded on calendar or worksheet	Yes	Performed manually case by case
6.3.4 Update Records	1) Capture information for each party associated with a hearing including check-in date and time, when hearing began and ended, when party called into hearing, whether party actually appeared in hearing (e.g., may have been outside courthouse when called). 2) Use minute information captured in court proceedings (e.g., information on judgments, attorney withdrawals, adjournments, continuances, and cancellations) to update records on cases, parties, defendants, juveniles and other persons, allegations, and pleadings throughout system (e.g., working with Docketing Function for docket updates, Scheduling Function for rescheduling of hearing, Document Creation and Tracking Function for notice creation, Calendaring Function to place on future calendar when scheduled, Accounting functions for monetary judgment data, and other functions).	Partial	Text-based no pick lists - Completeness depends on user
6.4 Use Case Specification: Create and Distribute Court Orders			
6.4.1 Create Court Orders	Create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time	Yes	Not user-friendly

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6.4.1.1 Alternative Flows	Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).	Yes	
6.4.2 Approve Court Orders	Judge manually or electronically approves court orders	Partial	Manual function, as in paper-based
6.4.3 Distribute Court Orders	1) Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket. 2) Distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available.	Partial	1) Manually only 2) No
6.4.4 Utilize Pre-Trial Services	[If pre-trial] The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).	No	
6.4.5 Utilize Pre-Sentence Investigation	[If pre-sentence] The pre-sentence investigation unit conducts and reports on investigations used by the court to set sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.	No	Function of State Probation & Parole Department
6.5 Use Case Specification: Pre-Trial Services			
6.5.1 Order Pre-Trial Services	Send request for pre-trial services with associated case and defendant information and internal investigation (see Docketing Function).	Yes	Manual function, as in paper-based
6.5.2 Process Pre-Trial Research Results	Receive results of research on defendant (prior arrests and convictions, aliases, duplicate identifiers) to docket and related individual records (see Docketing Function).	Yes	
6.5.3 Order Release Conditions	Produce order for conditions of release	Yes	
6.5.4 Utilize Bail Management	[If bail] This subfunction includes the activities associated with bail management (e.g. collecting bail money, and producing receipts and reports).	Yes	
6.5.5 Receive Non-compliance Information	[If no bail] Receive information regarding non-compliance of pre-trial intervention or supervision requirements	Yes	Manual function, as in paper-based

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6.5.6 Identify Court Intervention Cases	Provide the ability to designate which cases need to be seen by court intervention agency.	No	
6.6 Use Case Specification: Bail Management			
6.6.1 Administer/Terminate Bail	Bail termination information is added to the bail record in appropriate cases.	Yes	Text-based no pick lists - Completeness depends on user
6.6.2 Enter Bail Release	Information required by the court regarding bail release is entered into the record.	Yes	Text-based no pick lists - Completeness depends on user
6.6.3 Generate and Maintain Bail Register	A register documenting bail-related payments and activities is generated, for a period of time designated by the user	Yes	Requires user-set tickler
6.7 Use Case Specification: Pre-Sentence Investigation			
6.7.1 Transmit Referrals	Send information on adult referrals for pre-sentence report (see Hearings Function).	Yes	Manual function, as in paper-based
6.7.2 Receive Pre-Sentence Investigation Information	Receive pre-sentence information electronically or contents of report (e.g., date ordered, date returned, results, extension requests) (see Hearings Function).	No	
6.7.3 Identify Court Intervention Cases	Provide the ability to designate which cases need to be seen by court intervention agency.	No	
7. Business Function: Disposition			
7.3 Use Case Specification: Dispose Case			
7.3.1 Record Disposition	1) Record disposition and sentence (if applicable) for entire case and each count or allegation of each charge including those involving entire cases, individual, families, multiple issues, individual parties, multiple and/or cross referenced cases, and cross petitions;	Yes	
7.3.1 Record Disposition	2) where applicable, prompt to dispose of all charges as a single user action (e.g. compute and enter credit for time served or excludable into sentence imposed for each combination of charge and defendant; compute and enter monetary penalties (e.g., fines, fees, restitution) based on sentence imposed for each combination of charge and defendant; 3) compute and enter non-monetary provisions (e.g., work program, restitution by services) based on sentence imposed for each combination of charge and defendant in accordance with state and local statutes, rules, or procedures;	Partial	2) Requires a number of steps 3) Yes

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7.3.1 Record Disposition	4) link charges and fine or restitution amounts; 5) enter other details of sentence (e.g., whether consecutive or concurrent, conditions for probation) for each charge and defendant;	Yes	
7.3.1 Record Disposition	6) compute and enter fine or monetary restitution based on sanctions imposed on each person; 7) enter non-monetary provisions (e.g., community work service hours) based on sanctions imposed on each person; associate monetary and non-monetary restitution with specific victim(s)).	Yes	
7.3.1 Record Disposition	The system should have the ability to utilize court room activity information that was acquired during hearings		
7.3.1.1 Special Requirements	1) Populate appropriate fines based on violation and local business rules and allow for clerk override. 2) Provide capability of establishing a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories paid to state and county criminal justice agencies. 3) Automatically populate appropriate fees/costs (not fines) based on violation and allow for clerk override.	Partial	1) No 2) Yes 3) Yes
7.3.2 Distribute Disposition Documents Externally	Distribute disposition documents noted above electronically or manually to recipients external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections) and internally to be entered in docket.	Yes	Manual function, as in paper-based
7.3.3 Update Disposition, and Sentence Information	Maintain and produce disposition, and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences, and reason for closure for each charge (e.g., ultimate resolution for case due to trial, ADR such as mediation, dismissal, withdrawal, conference, transfer out to another jurisdiction, transfer for criminal prosecution, diversion, or consolidation).	Yes	Manual function, as in paper-based
7.3.4 Update Judgment Indexes	Create, display or print, and maintain separate judgment indexes (i.e., judgment book) that show original and subsequent judgments (e.g., containing judgment entry and expiration dates, amounts, modifications, satisfactions, judge or other judicial officer) by case and party	No	
7.3.5 Maintain Separate Disposition and Judgment Information	1) Create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party. 2) Allow for multiple judgments in cases involving multiple parties	Yes	

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7.3.6 Utilize Case Closure	[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).	Partial	Non-comprehensive function because not distinguish between "disposed" and "closed" - payments may remain outstanding, ticklers not automatically deleted
7.4 Use Case Specification: Case Closure			
7.4.1 Record Reason for Closure	Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, consolidation nolo contendere, or bail forfeiture) when all locally defined business rule conditions are met.	Yes	Text-based no pick lists - Completeness depends on user
7.4.2 Process Notification of Compliance	Receive and process information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules.	Yes	Text-based no pick lists - Completeness depends on user
7.4.2.1 Alternative Flows	Coordinating consolidated cases would only occur at disposition, not post disposition.	No	
7.4.3 Coordinate Consolidated Cases	Establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions	Yes	Not user-friendly
7.4.4 Close Case	Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).	Yes	
7.4.5 Generate Case Closure Reports	1) Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance and other information, such as community work service hours completed). 2) This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).	Partial	1) Yes 2) No

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7.4.5.1 Special Requirements	Provide the ability to reopen a previously closed case.	Yes	
7.5 Use Case Specification: Disposition Maintenance Support			
7.5.1 Track Changes in Identifiers	Track changes in modified or amended charges from point of arrest or initial filing through completion of sentence while remaining linked to incident for disposition tracking purposes	No	
7.5.2 Track Changes in Charges	Track changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes	No	
7.5.3 Track Changes in Dismissed Charges	Track pleas entered and their verdicts [sic - judgments].	Yes	
7.5.4 Track Pleas	Coordinate and track changes in case numbers (e.g., for cases transferred to general jurisdiction court), individual identifiers (e.g., across courts, criminal support units, CJ agencies, and non-justice agencies), and other identifiers	No	
7.5.5 Identify Inactive Cases	Identify inactive cases to process for disposition according to business rules and groups of cases (e.g., no activity for 6 months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).	Yes	Requires user-set tickler
7.5.6 Update Group as if Single Case	Update each case in group of disposed (e.g., dismissed) cases as if group were single case (see also Docketing Function).	No	
8. Business Function: Post Disposition Compliance and Execution			
8.3 Use Case Specification: Defendant Compliance and Judgment Execution			
8.3.1 Initiate Post Judgment Activities	Receive objections to execution by any party or case participant, per rule of court (e.g. 10 days after initial judgment is issued).	Yes	Text-based no pick lists - Completeness depends on user
8.3.2 Utilize Create and Distribute Court Orders	[If party initiated] This function provides for the user defined creation and distribution of court orders resulting from hearings and other judicial proceedings, real time or at any time during the life of a case	Yes	Not user-friendly
8.3.3 Record Objections and Post Judgment Motions	[If court initiated] Objections as well as any additional post judgment motions are recorded	Yes	Text-based no pick lists - Completeness depends on user

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8.3.4 Produce Compliance Documents	1) Process information and create documents (e.g., court orders such as revocation of probation, reduction of sentence, writ of execution and abstract of judgment for unpaid assessments) on post-judgment or post-conviction activities (e.g., in response to requests for execution with information on monetary and non-monetary judgments including parties, monetary and non-monetary awards, pertinent dates, assignees, payments, credits, withdrawal of guilty plea or orders resulting from violation of probation, failure to pay fine); 2) enter and update records when judgments vacated or amended (e.g., due to bankruptcy, consolidation, waiver, party deceased) (see Bookkeeping Function).	Partial	1) Yes 2) Amended judgments overwrite original judgments; Bankruptcy recorded only after completed, not during pendency.
8.3.5 Process Requests for Execution of Judgment	[If civil law case] Process requests for execution of judgments and establish cross references for each execution subfunction below to judgment index and judgment screen	Partial	Process requests, but not judgment index
8.3.6 Track Sentence Compliance	[If criminal law case] Track sentence compliance and modifications (see Disposition Function).	Yes	
8.3.7 Record Compliance Results	Record fully, partially, and non-satisfied executions (e.g. All obligations satisfied).	No	
8.3.7.1 Special Requirements	Update each case in group of cases for which execution requested as if group was a single user action (e.g., same judgment terms and execution requirements for each case in group).	No	
8.3.8 Distribute Post-Conviction Documents	Distribute post-conviction documents noted above electronically or manually to external recipients (e.g., law enforcement, driver programs, and corrections) in accordance with state and local statutes, rules, or procedures, and internally to be entered in docket.	No	
8.3.9 Utilize Case Closure	[If case closed] This function supports the activities associated with the final closure of a case (i.e., case status becomes "closed"). These activities may be part of case disposition; however, this document addresses the Case Close Function separately from the Disposition Function to accommodate the instances when the two functions are separate (e.g. due to law, court policy regarding probation, or because cases may be considered disposed upon receipt of judgment forms prepared by defense attorneys but not officially closed until final orders are received).	Partial	Non-comprehensive function because not distinguish between "disposed" and "closed" - payments may remain outstanding, ticklers not automatically deleted
8.4 Use Case Specification: Create and Distribute Court Orders			
8.4.1 Create Court Orders	Create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time.	Yes	

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8.4.1.1 Alternative Flows	Create orders resulting from out-of-the-courtroom events to be signed by judge in informal setting (e.g., ex parte protective custody orders signed in the judge's chambers) (see Hearings, Adjudication, and Disposition Function for orders that relate directly to formal, calendared event).	Yes	
8.4.2 Approve Court Orders	Judge manually or electronically approves court orders.	Partial	Manual function, as in paper-based
8.4.3 Distribute Court Orders	1) Electronically or manually distribute court orders resulting from hearings and other judicial and ADR events externally (i.e., outside the court) and internally for entry into the docket. 2) Distribute court orders resulting from hearings and other judicial proceedings based upon participant's preference (e.g., mail, fax, email) if multiple distribution methods are available.	Partial	1) Manually only 2) No
8.4.4 Utilize Pre-Trial Services	[If pre-trial] The pre-trial services unit typically conducts research on defendants (e.g., indigent status, prior arrests and convictions, aliases, risk assessment, verification of employment, verification of residence and length of habitation, alcohol and drug screening and testing) for the purpose of recommending pre-trial conditions of release. This unit may also administer pre-trial intervention programs, including diversion used by the court for specific purposes (e.g., alcohol and drug programs).	No	
8.4.5 Utilize Pre-Sentence Investigation	[If pre-sentence] The pre-sentence investigation unit conducts and reports on investigations used by the court to set sentences. In part this investigation will also include pertinent information on foreign nationals and illegal aliens. In some jurisdictions this may include a pre-plea investigation.	No	Function of State Probation & Parole Department
8.5 Use Case Specification: Case Closure			
8.5.1 Record Reason for Closure	Receive information from Disposition Function and record or prompt for reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, consolidation nolo contendere, or bail forfeiture) when all locally defined business rule conditions are met.	Yes	Text-based no pick lists - Completeness depends on user
8.5.2 Process Notification of Compliance	Receive and process information on defendants who have completed installment payments, probation or any programs administered by probation, detention or any programs administered by corrections, or other programs that would result in case closure under local and state rules.	Yes	Text-based no pick lists - Completeness depends on user

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8.5.2.1 Alternative Flows	Coordinating consolidated cases would only occur at disposition, not post disposition.		[delete this - not stated as a requirement]
8.5.3 Coordinate Consolidated Cases	Establish cross references and adjust identifiers between consolidated cases for docketing, scheduling, notice generation, and other functions.	Yes	Not user-friendly
8.5.4 Close Case	Close case either manually or automatically (e.g., change status to closed; update docket; generate required forms, notices, reports for that case).	Yes	
8.5.5 Generate Case Closure Reports	1) Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance and other information, such as community work service hours completed). 2) This may be an automated feature in alerting when a case is attempted to be closed and business rules suggest it should not be. Prompt user to dispose of open charges on a single case before case can be closed. Identify activities and conditions that can prevent case from being closed (e.g. outstanding or open charge, un-sentenced guilty charge, unpaid fines).	Partial	1) Yes 2) No
8.5.5.1 Special Requirements	Provide the ability to reopen a previously closed case.	Yes	
9. Business Function: Receipt Accounting			
9.3 Use Case Specification: Funds Collection			
9.3.1 Special Requirements	1) Provide the capability to track cases and accounts which have been placed on a payment plan. 2) Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).	Partial	1) Yes 2) No
9.3.2 Accept Payments for Fully or Partially Docketed Cases	Permit payment to be accepted for cases filed but not docketed completely (e.g., all data not entered into system) and recorded by entering minimal amount of data (e. g., case number, case type, case category, case style or title, name of person submitting payment, date of payment, nature of payment) as precursor to full docket entry. Also includes payment preceding filing of citation.	Yes	
9.3.3 Accept Range of Payment Methods	Accept full, partial, and installment payments by various methods (e.g., cash, check, credit card, debit card, fine and fee waiver, draw down or escrow amounts, electronic funds transfer).	Partial	OK for cash, check, fine and fee waiver

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9.3.3.1 Special Requirements	Support a variety of payment methods from attorneys and law firms, such as electronic funds transfer from draw-down or escrow accounts pre-established by attorneys and law firms (e.g., credit card accounts, bank accounts, general-purpose funds deposited with clerk), and debit draw-down accounts to cover court expenses (e.g., for specific case, general expenses) (see Multi-Function Capabilities and Integration, Accounting - Bookkeeping Function).	No	
9.3.4 Utilize Establish Payment Plan	[If payment plan]	Yes	
9.3.5 Accept Multiple Payment Type per Transaction	[If full payment received] Accept multiple types of payments in single transaction (e.g., cash, check).	No	
9.3.6 Accept Multiple Payments for Single Case	Accept multiple cost and fee payments for single case with capability to process as either single payment or separate payments.	No	
9.3.7 Accept Single Payment for Multiple Cases	Accept single payment for multiple cases with capability to process separately for each case.	No	
9.3.8 Allow Receipt of Unidentified Payments	Allow the receipting of unidentified payments, and allow the assignment of previously receipted unidentified payments to a specific obligation.	No	
9.3.9 Utilize Funds Processing	Once funds have been accepted, this subfunction allows for processing and allocation of funds in accordance with subfunctions of Bookkeeping Accounting (Section 10).	Yes	
9.4 Use Case Specification: Establish and Maintain Payment Plans			
9.4.1 Special Requirements	1) Provide the capability to track cases and accounts which have been placed on a payment plan. 2) Provide the ability to change status within the collection process (e.g. defendant is moved from collection to payment plan).	Partial	same as 9.3.1
9.4.2 Capture Financial Information	Capture, update, and display financial information (e.g. income, assets, monthly expenses, etc) for the defendant which will help determine a payment plan.	No	
9.4.3 Establish a Payment Plan	Establish a payment plan for one or more cases.	Yes	
9.4.3.1 Notes	[Technical Requirement] Provide the ability to establish payment plans with variable terms and amounts.	Partial	New plan overrides old plan
9.4.4 Print Payment Coupons	Print payment plan remittance identifiers (e.g. coupons).	No	
9.4.5 Generate a Late Payment Notice	[If late payment] Automatically generate a late payment notice according to local business rules.	No	
9.4.6 Update Register of Actions	Automatically update the register of actions for each late payment notice generated.	No	

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9.4.6.1 Notes	[Technical Requirement] Provide the ability to remove a case from a payment plan without deleting the payment plan for other cases. [Technical Requirement] Provide the ability to add a case to an existing payment plan.	Partial	1) No 2) Yes
9.5 Use Case Specification: Funds Processing			
9.5.1 Associate Payments with Cases and Persons	Associate payment with proper cases and persons when moneys collected (see Bookkeeping Function).	Yes	
9.5.1.1 Special Requirements	Permit person, with proper authority, to override pre-established funds distribution priorities.	Yes	
9.5.2 Process Fees Associated with Non-Parties	[If fees associated with non-parties] Properly allocate fees associated with non-parties (e.g., from couriers, media, general draw-down accounts) that may or may not be case related (e.g., for forms, document copies, certified copies) and process appropriately (e.g., not docketed if not related to specific case).	No	
9.5.3 Record Information on Payments and Other Transactions	[If fees associated with parties] Record information on payments and other transactions including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, and related information (case related and non-case related).	Partial	Receipt shows only payee, payment amount
9.5.4 Transfer Funds Between Accounts	Transfer funds from one case to another case or between accounts in a given case with proper audit trail (see Bookkeeping Accounting Function).	No	
9.6 Use Case Specification: Receipt Generation			
9.6.1 Generate and Print Receipts with Appropriate Information	Generate, display, and print receipts with proper identifiers (e.g., payee, fee, fine, or restitution code, court location and address) and supporting information (e.g., amount assessed, reason for assessment, amount collected, installment or partial payment plan and status, balance due) based on collections with user option to receive single or multiple copies.	Partial	Receipt shows only payee, payment amount
9.6.2 Generate Electronic Receipts	[If electronic payment] Generate and distribute electronic receipts for electronic payments (see Multi-Function Capabilities and Integration).	No	
9.6.3 Generate Sequential Receipt Numbers	[If non-electronic payment] Generate and print (or reprint) receipts with unique, locally defined, sequential receipt numbers.	Partial	Unable to reprint receipt without payment applying again
9.6.4 Generate Multiple Receipts for Single Payment Made for Multiple Cases	[If payment for multiple cases] Generate and print (or reprint) multiple receipts from one financial transaction covering payment for one or more purposes for multiple cases (e.g., an attorney files and pays various fees for several cases in one trip to courthouse).	No	

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

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10.3.4 Post Interest Accruals	Post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts), and associate accruals with proper bank account.	No	
10.3.5 Total and Reconcile Receipts to Calculate Bank Deposits	Total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits (see Receipt Accounting Function).	No	
10.3.5.1 Alternative Flows	Could be deposited into separate accounts prior to deposit.	No	
10.3.6 Calculate and Record Bank Deposits	Calculate and Record Bank Deposits.	No	
10.3.7 List Bank Deposits by Group	List bank deposits in various groupings (e.g., totals for cash, check, credit and debit card).	No	
10.3.8 Print Bank Deposit Slips	Print (or reprint) bank deposit slips for specific banks and time periods.	No	
10.3.9 Reconcile Court and Bank Balances	For specific periods: compare court record of checks with bank record of checks; create list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; create report giving discrepancies for all reconciliations.	No	Done at state office
10.3.10 Reconcile Bank Statements Electronically	[If electronic bank statement] Receive bank statements and reconcile bank accounts electronically (see Multi-Function Capabilities and Integration).	No	
10.3.11 Utilize Bank Account Reporting	[If paper bank statement] Bank Account Reporting refers to the generation of statements and other reports produced from bank account management (e.g. financial transaction lists, deposit list, and open item list).	No	
10.4 Use Case Specification: Create New Account			
10.5 Use Case Specification: Bank Account Reporting			
10.5.1 Produce Financial Transaction Lists	Produce, for display or print, detailed and summary lists of financial transactions (e.g., receipts, disbursements, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case) (see also Management Reporting Function).	No	
10.5.2 Print Cash Receipts Journal	Print (or reprint) system-wide daily cash receipts journal.	Yes	
10.5.3 Produce Open Item List	Produce list of items that remain open for accounts that carry balance forward from one period to next period.	Partial	Criminal uses ledger card, civil uses receipt inquiry (non-integrated)
10.6 Use Case Specification: Dishonored Payment Management	A process that should include but not be limited to identifying and processing dishonored payments (e.g. NSF checks, credit card payments, counterfeit currency).	No	

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10.7 Use Case Specification: Draw-Down Case Account Management			
10.7.1 Special Requirements	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).	Yes	Not user-friendly
10.7.2 Establish a Debit Account	Establish account against which entities can prepay for future case and non-case services.	No	
10.7.3 Debit Accounts of Authorized Organizations	Debit accounts established by authorized organizations to cover court expenses, and credit organizations' accounts based on electronic funds transfers from their bank accounts, debits from their credit card accounts, and on-line check writing (see Multi-Function Capabilities and Integration).	No	
10.7.4 Monitor Account Balances	Identify instances when balances in draw-down accounts are low and accounts require additional funds, and send notices.	No	
10.7.4.1 Special Requirements	Allow users to specify that refunds will be credited to draw down accounts (e.g. pre-paid fees for services not ultimately used).	No	
10.7.5 Produce Transaction Reports	Provide reports showing transactions on draw-down accounts over user-specified period.	No	
10.8 Use Case Specification: Maintain Case Account Financials			
10.8.1 Special Requirements	Allow flexible, user-defined and -maintained account structure that permits funds to be defined and allocated to appropriate fund accounts (e.g. for city, county, state, court, and to handle surcharges).	Yes	Not user-friendly
10.8.2 Compute and Display Costs and Fees Based on Events	Compute and display costs and fees based on occurrence of specific event (e.g., initial filing, motion filing, warrant issuance).	Yes	
10.8.3 Utilize Establish Case Accounts and Payments	This function establishes individual case and party accounts when fees are initially received for cases (e.g. single party account in case with single or multiple parties or multiple party accounts for each case) (see Section 9, Receipt Accounting). This function may create payment schedules, collect payments, apply payments to scheduled amounts due (e.g. amount in judgment), and produce reports on overdue amounts.	Yes	
10.8.4 Accrue Charges to Case Based on Events	Accrue charges to case based on occurrence of specific events (e.g., motion filed), apply debits and costs to accounts (e.g., attorney and media accounts), and create account statements.	No	
10.8.5 Identify and Process Fee Waivers and Deferrals	Identify existence of fee waivers or deferrals, display message (e.g., indigent, governmental waiver), process appropriately (e.g., case filed but waiver deferred pending judicial review).	Partial	Identifies fee waivers only

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10.8.6 Record Financial Changes Resulting from Court Orders	Record changes to accounting records that result from court orders (e.g., change in monthly restitution or support payment amount) and modify appropriate records.	Yes	Text-based no pick lists - Completeness depends on user
10.8.6.1 Special Requirements	Provide capability to adjust receivables when directed by court order (e.g. abatement by death).	Yes	
10.8.7 Maintain Tables for Costs, Fees, and Fines	Maintain standard tables for court costs, fees, and fines.	Yes	
10.8.8 Preserve Transactions While Applying Corrections	Apply correcting entries without changing or deleting previously-recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization.	No	
10.8.9 Utilize Post Transactions	This function provides for posting financial transactions to case accounts.	Yes	
10.8.10 Utilize Generate Case Account Reports	1) This subfunction includes generating case account reports including periodic (e.g. daily, weekly, monthly) reports or displaying a showing of financial status, and history (e.g. information on transactions, account balances, discrepancies, adjustments) for each specified case, party, or fund account (see also Section 13, Management Reporting). 2) Other periodic financial reports generated include reports based on various criteria including at minimum account aging, audit trail, and journal reports (Section 13, Management Reporting). 3) This subfunction also generates and prints invoices, produces correspondence, and generates accounting notices.	Partial	1) Ledger Card Report shows delinquent payments 2) No 3) No
10.9 Use Case Specification: Establish Case Accounts and Payments			
10.9.1 Establish a Case Account	Establish a case account upon first payment of fees or fines.	Yes	Criminal uses ledger card, civil uses receipt inquiry (non-integrated)
10.9.2 Maintain and Track Individual Case Accounts and Balances	Maintain and track various types of individual case or party accounts and balances by case, due date, and party (a few accounts, such as attorney draw-down accounts and funds held short-term by clerk, are case processing; many installment and pay-through accounts are court support; most other accounts, such as trusts and most escrow accounts, are financial).	Partial	Track criminal fines & restitution and civil fees only - no pass-throughs or trust accounts
10.9.3 Allow Flexible Payment Methods	Allow payment of costs, fees, and other charges assessed to specific person in a case by variety of methods (e.g., manual, electronic funds transfer, attorney draw-down account debit, and pay through).	Partial	OK for cash, check, fine and fee waiver

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

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

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10.12.6 Utilize Distribution Account Management	Distribution Account Management includes managing the distribution account by posting receipts, computing fees, initiate, print, and disburse checks or electronic funds transfers, produce a pre-check register, and apply payments to proper account or activity.	Partial	Not user-friendly
10.13 Use Case Specification: Distribution Account Management			
10.13.1 Provide Reports for Disbursement of Undistributed Moneys	Provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unreturned checks for moneys paid by court, jury fees posted for settled cases), update ledgers, and produce reports (e.g., for each check not cleared over specific period).	Yes	
10.13.2 Compute Fee Distributions by Formula	Compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, and other purposes).	Yes	
10.13.2.1 Special Requirements	Permit distribution formula override by appropriate authority.	Yes	
10.13.3 Post Non-Case-Related Receipts and Disbursements	Post non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account.	Partial	Ad hoc, inconsistent handling provided
10.13.4 Produce Allocation Formula Report	Produce report showing allocation formula for disbursing moneys to other local and state units over specific period, moneys disbursed, and how formula was used to compute allocation.	?	
10.13.5 Produce Pre-Check Register	Produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period.	Yes	
10.13.6 Process Checks	Initiate, print, and disburse checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions.	Yes	
10.13.7 Apply Installment Payments to Proper Account or Activity	Apply installment payments to proper account or activity and display balance (e.g., to fees or to owed restitution, support, or alimony).	Yes	
10.13.8 Allow Multiple Pay-through Cost Assessments	Allow multiple pay-through cost assessments to be specified for each case.	No	
10.14 Use Case Specification: Financial Administration			
10.14.1 Produce Case-Based Financial Reports	For specific periods: produce separate reports showing (1) cases and defendants for which payments (e.g., fees, fines, restitution) collected, no payments collected, fees waived, no payments due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case or defendant.	Partial	1) Yes 2) ? 3) ?
10.14.2 Produce Report of Fines and Fees Waived	Produce report containing information on fines and fees waived, and associated payments.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
10.14.2.1 Special Requirements	1) Provide flexible schema of user privileges for accessing information and creating adjusting financial entries (see Security and Data Integrity Function). 2) Produce lists arranged according to user selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, party).	No	
10.14.3 Generate Pay File	Generate pay file of check numbers and amounts and send to bank.	?	
10.15 Use Case Specification: General Ledger Maintenance			
10.15.1 Maintain General Ledger	Maintain general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.	No	
10.15.2 Provide Customizable Chart of Accounts	Create and maintain system-defined and user-customized chart of accounts.	No	
10.15.3 Maintain Account Journals and Ledgers	Maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries.	No	
10.15.4 Reconcile and Balance Accounts	Reconcile and balance all accounts.	No	
11. Business Function: Records Management			
11.3 Use Case Specification: File Tracking			
11.3.1 Generate Indicators for Files	Generate indicators (e.g., color coded icon) to indicate restricted-access files (e.g., psychological evaluations).	Yes	
11.3.2 Maintain Tracking Information About Destroyed Files	Maintain status, last location, and history of destroyed files.	Yes	
11.3.3 Flag Electronic Version When Manual File Lost	Flag electronic file when corresponding hard-copy file is reported lost, and display alert to electronic record user.	Yes	
11.4 Use Case Specification: Paper File Tracking			
11.4.1 Generate Case File Labels	Generate labels for paper case files, with the capability of including barcodes (see also Case Initiation and Indexing Function).	Partial	No barcode capability
11.4.2 Generate Indicators for Paper Files	Generate indicators (e.g., color coded labels) to indicate restricted-access files (e.g., police reports, juvenile or domestic relations interview notes, psychological profiles) and to provide information on placeholders for checked-out paper files.	No	
11.4.3 Maintain Audit Trail	Maintain and print or display audit trail of each case file location with information similar to that noted above for file tracking, in addition to length of time file checked out (see also Docketing Function).	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
11.4.4 Maintain Location for Archived Files	Maintain location (e.g. storage facility, location in facility, disc or reel number, and location on reel) for archived files.	No	
11.4.5 Maintain Tracking Information About Destroyed Files	Maintain status, last location, and history of destroyed files.	No	
11.5 Use Case Specification: File Archival and Destruction			
11.5.1 Special Requirements	Permit override of system-supplied data (e.g., archival, destruction, and transfer dates) with supervisor approval.	No	
11.5.2 Identify Cases for Archiving/Destruction	Identify cases to be archived or destroyed.	Yes	
11.5.3 Process Cases for Archival	[If archive] Process files according to local and state rules for becoming archived, or transferred to storage facility to be retained permanently.	Yes	
11.5.3.1 Special Requirements	Permit access to inactive and archived files and documents for information and to restore to active status (see reopened cases in Case Initiation and Indexing Function).	Yes	
11.5.4 Retain Information	Identify and retain summary information (e.g., indexes, key elements of case history from inactive, archived, destroyed, or purged case or defendant files), in accordance with local rules, as needed for related cases or defendants that remain active (see Docketing Function).	Yes	
11.5.5 Maintain Case Aging Information	Automatically suspend and resume aging of cases for storage and retention.	No	
11.5.6 Process Files for Destruction	[If destroy] Process files according to local and state rules for becoming destroyed.	Yes	
11.5.7 Destroy Files	Destroy Case Files.	Yes	
11.5.8 Generate Reports for Archived/Destroyed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been archived and destroyed or transferred.	Yes	
11.5.9 Update Active Records for Archived/Destroyed Files	Interface with the Docketing Function to update records of cases or defendants related to cases transferred to inactive, archived, destroyed, or purged status.	No	
11.6 Use Case Specification: File Expunging and Sealing			
11.6.1 Identify Cases for Expunging or Sealing	Identify cases to be expunged or sealed.	No	
11.6.2 Expunge Case Files	[If expunge] Expunge files when ordered by the court.	No	
11.6.3 Seal Case Files	[If seal] Seal files when ordered by the court.	No	
11.6.4 Send Notices of Expunged and Sealed Cases	Send notice of expungements, sealed cases, and special access information to all appropriate agencies.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
11.6.5 Generate Reports for Expunged or Sealed Files	Generate, display, and print (or reprint) reports showing information on files and documents that will be or have been expunged or sealed.	No	
11.6.6 Update Active Records for Expunged or Sealed Files	Interface with the Docketing Function to update records of cases or defendants related to cases transferred to inactive or purged status.	No	
11.7 Use Case Specification: Exhibit and Evidence Management			
11.7.1 Record Receipt of Exhibits	Record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence, and location), generate tag for exhibits and other property, relate to specific case, generate receipts.	No	
11.7.2 Generate Identifiers	Generate exhibit and property numbers or other locally defined identifiers.	No	
11.7.3 Generate Property Lists	Print or display lists of exhibits and other property according to case, party, and other parameters.	No	
11.7.4 Track Location and Status of Exhibits	Track location and status of exhibits and other property.	No	
11.7.5 Generate Exhibit Notices	Generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed (see Document Creation and Tracking Function).	Yes	
11.7.6 Record Return, Disposal, or Destruction of Property	Record return, disposal, or destruction of exhibits and other property.	No	
11.8 Use Case Specification: Document Management			
11.8.1 Special Requirements	1) Support manipulation and maintenance of electronic or imaged documents (e.g., to produce documents that include parts of several electronic or imaged documents; see also Document Generation and Processing Function). 2) Provide retrieval of specific document directly from other parts of system (e.g., docket) without intermediate steps (e.g., without scrolling through document list to select given document). 3) Support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range). 4) Support input, output, storage (including indexing or an equivalent capability), and search and retrieval of individual and multiple electronic and imaged documents based on user-defined criteria (e.g., by case number or date range).	No	Documents are being scanned into FileNet, but retrieval through case management system not available yet

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
11.8.2 Provide Electronic Document Viewing	Provide capability to control electronic document viewing such as toggling between views of several different documents and document resizing.	No	
11.8.3 Interface with Separate Document Management System	Provide capability to interface with document management system that is separate from case processing if case processing system excludes document management capabilities.	Yes	
11.8.4 Use Same Document Management System for Imaging	Provide capability to use same document management system for imaging if imaging included in overall case processing.	No	
11.8.5 Provide Document Management Security	Provide equivalent security for contents of document management system, as it exists elsewhere in the case processing system (see Configuration Maintenance, Security and Integrity Function). Access to case images should be controlled through the case management system.	Partial	Access to images has security levels, but not tied to case management system
11.8.6 Store and Output Documents Maintained in the System	Provide ability to save, store, and output any document maintained in the system without requiring the data to be reprocessed.	No	
11.9 Use Case Specification: Reporting and Utility			
11.9.1 Enter Report Screen	Enter into either the pre-defined system report or ad hoc report screen.	Partial	Not user-friendly
11.9.2 Set Reporting Parameters	[If ad hoc report] Set user-defined reporting parameters.	No	
11.9.3 Allow for Merge of Files	[If standard report] Allow for merge of files containing information on same defendant.	Partial	Not user-friendly
11.9.3.1 Notes	[Technical Requirement] Provide the ability to display an alert when merge of files will affect multiple records.	No	
11.9.4 Generate File Management Reports	Generate reports on file management activities including lists of active, inactive, archived, merged, and purged files (e.g., to assist in annual file inventory).	No	
11.9.4.1 Notes	[Technical Requirement] Display information on system and equipment (e.g., printer) malfunctions if information available	Yes	
11.9.5 Display/Print Documents	Display any printed output, print any screen display, and print any document individually or in a group, when scheduled or on request.	No	
12. Business Function: Configuration Maintenance, Security and Integrity			
12.3 Use Case Specification: Security Access Requirements			

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
12.3.1 Special Requirements	Allow users easy interfaces with other parts of system such as docketing, scheduling, calendaring, accounting, and case support functions for, potentially, all related case and financial information (i.e., on specific case, person data types and on other cases related to specific person data types) and with the inquiry and report generation capabilities for more varied displays and reports. If there are multiple components, the components must be able to exchange data efficiently adhering to integrity requirements (e.g. off the shelf software, and modularized components). For example, evidence management software should be able to interface with docketing.	Partial	The menu system provides access to most functions, but user cannot generally navigate from functiion to function without backing out to menu level. Components not well integrated.
12.3.2 Provide Secure Passwords	The system should provide both operating system and application and data base level passwords to control access.	Yes	
12.3.3 Control Access and Privileges on User-Maintained Authorizations	According to user identification and password authentication control access and similar privileges; including privileges for specific groups of users based upon user role and task requirements, and access to specific types of data (e.g., access authorization tables).	Yes	Only three security roles, would like more granularity
12.3.4 Provide Flexible Restrictions on Access and Restrictions	Restrict local and remote access to and permissible operations (i.e., view; add; change; delete; seal; and expunge) on case types, case categories, files, parts of files, electronically received files and data, system functions from and to other system functions, device (e.g., terminals, PCs, printers) locations, users, and groups of users.	No	
12.3.5 Restrict Local and Remote Access via Flexible Criteria	Restrict local and remote access to certain cases (e.g., with information on children), classifications of cases (e.g., sealed cases), and parts of cases (e.g. juvenile information, addresses, social security numbers, medical and treatment information, child abuse, and psychological profiles) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders.	Partial	Case type "R" for restricted, used for sensitive case types
12.3.6 Provide Additional Security for Public Access	Provide user access privileges and authorization for public access.	Yes	
12.3.7 Provide Security for User Notes	Provide and maintain security access control for user notes based upon user identification and authorization.	Yes	Clerks can see judges' notes bu public cannot
12.3.8 Suppress Output of Confidential Information	[If confidential information] Suppress inclusion of user-designated confidential data elements in notices, calendars, court minutes, and other documents (e.g., mask out confidential addresses for notices sent to specific persons) (see also Document Creation and Tracking Function, Calendaring Function, Hearings Function, and Disposition Function).	Yes	Case type "R" for restricted, used for sensitive case types

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
12.3.9 Allow Limited Access to Normally Inaccessible Information	[If no confidential information] Allow special, limited access to certain types of otherwise inaccessible cases and data (e.g., sealed cases with identifiers removed) for analysis or other specific research purposes.	No	
12.4 Use Case Specification: Security Maintenance			
12.4.1 Provide Audit Trail of User Activities	Provide audit trails that show which users and workstation addresses logged onto the system, when they logged on, and what parts of system and database they accessed (e.g., to prevent browsing) during specified period; permit audit trails to be stored, archived, and purged.	No	
12.4.2 Permit Authorized User Correction of Data Entry Errors	Allow authorized user correction of individual or groups of cases when data entry error occurs (e.g., renumber group of cases if error occurs when entering group of new cases numbered sequentially and error in first case entered causes numbers of subsequently entered cases to be changed).	Yes	
12.4.3 Provide Audit Trail of File Additions, Modifications, and Deletions	Maintain and display or print audit trail of file additions, modifications, corrections, and deletions (e.g. filings entered into docket, and electronically received documents) including who made entry, when entry made, whether date entered and date filed differ (see also Docketing Function).	No	
12.4.3.1 Special Requirements	Provide security for electronic interfaces and information exchanges with outside systems and networks.	No	
12.5 Use Case Specification: Data Integrity			
12.5.1 Special Requirements	Ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests, highlight errors). In order to prevent loss of data at any time the system should permit file backups as well as disaster recovery.	Partial	1. No 2. Yes
12.5.2 Ensure Integrity of Electronically Transmitted Data	Ensure each document and its contents sent by user (e.g., attorney) is either electronically authenticated or matches with that same document and its contents received by court for electronically filed cases and other information received electronically so that court is referencing and retrieving correct information.	No	
12.5.3 Merge Data for a Person	Provide for the ability to ensure that only appropriate sets of data exists for each person (i.e., various identifiers for given person must be correlated), and allow for merge and unmerge of files containing information on the same person.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
12.5.4 Perform Locally Defined Edits	Perform locally defined edit and data validation checks such as content of individual data fields (e.g., proper format for a date) and relationship of data field to other data (e.g., date of answer or response after date filed).	No	
12.5.5 Produce Transaction Statistics	Produce statistics on transactions received, transactions accepted, and transactions rejected over specific time period.	No	
12.6 Use Case Specification: Rule Driven Behavior			
12.6.1 Maintain Code Translation Tables	Populate and maintain code translation tables defined by an authorized administrator.	Partial	Type codes and offense codes not used consistently
12.6.2 Provide and Maintain Input Templates	Maintain file of input templates available to users to create input documents and, as necessary, associated cover sheets and relate each template to court event(s) (e.g., to correlate templates with events).	No	
12.6.3 Display Template Forms	Provide capability to print or display template forms with and without entered data.	No	
12.6.4 Determine Charge Severity Hierarchy	Allow the user management team to determine the charge severity hierarchy.	No	
12.6.5 Employ Conditional Statements	Permit the user management team to employ (if, then) and (if, then, unless) conditional statements in event generation.	No	
12.6.6 Define Sequence of Events	Allow the user management team to define the sequence of events in any case track for differentiated case management.	No	
12.6.7 Populate Fines	Populate appropriate fines based on violation and local business rules and allow for clerk override.	Yes	
12.6.8 Establish Priority Ranking for Funds	Provide capability of establishing a priority ranking for funds collected, funds paid out, and for reconciliation of all fund categories distributed as provided by ordinance, order, or law.	Partial	Applies payments to oldest amount owed, but process not transparent
13. Business Function: Management Reporting			
13.3 Use Case Specification: Operations Information and Statistical Reporting	As a by-product of producing information for operations for day-to-day case processing, the system produces statistics for local use that satisfy the reporting requirements of the judicial branch, state agencies, and the federal government. These statistics appear in reports that are either produced locally by the case processing system or at the state level.	Partial	Provides some docket currentcy information
13.3.1 Reports Currently Used in North Dakota	Standard Reports Currently Used in North Dakota	Partial	No definitive list compiled
13.3.2 CourTool Measure 2 - Clearance Rate	The number of outgoing cases as a percentage of the number of incoming cases.	No	
13.3.3 CourTool Measure 3 - Time to Disposition	The percentage of cases disposed or otherwise resolved within established time frames.	No	

Consolidated Case Management Functional Standards Ver 0.10 11/11/2005	Functional Requirement Description	UCIS Compliance	UCIS Notes & Comments
13.3.4 CourTool Measure 4 - Age of Active Pending Caseload	The age of the active cases pending before the court, measured as the number of days from filing until the time of measurement.	No	
13.3.5 CourTool Measure 5 - Trial Date Certainty	The number of times cases disposed by trial are scheduled for trial	No	
13.3.6 CourTool Measure 6 - Collection of Monetary Penalties	Payments collected and distributed within established timelines, expressed as a percentage of total monetary penalties ordered in specific cases	No	
13.4 Use Case Specification: Management Information and Statistical Reporting	While management reporting is a mandatory capability for every case processing system, the specific management reports needed by a given court depend on local rules and highly personalized management styles.		
13.4.1 Standard North Dakota Forms and Notices	See ATTACHMENT B - Standard Forms and Notices Currently Used in North Dakota	Yes	
14. Unique North Dakota Functions			
14.1 Felony Deemed as Misdemeanor under N.D.C.C §12.1-32-02(9)			
14.1.1 Reminder During Sentencing if Offense Meets Criteria of N.D.C.C §12.1-32-02(9)	When entering a sentence of less than one year for a felony charge, with conditions of probation, an additional screen will come up reminding the user that the offense needs to be reduced to a misdmeanor.	Yes	Procedure described in memo dated May 7, 2002
14.1.2 Reminder During Probation Revocation if Offense Meets Criteria of N.D.C.C §12.1-32-02(9)	When entering probation revocation on a felony that had been deemed a misdemeanor, an additional screen will come up reminding the user that the offense needs to be be increased to a felony.	No	
14.2 Multi-jurisdictional Functions			
14.2.1 Separate Municipal from District Court Data	Provide a view of municipal court data separate from district court data	No	
14.2.2 Combine Municipal Court and District Court Data	Provide option to combine municipal and district court data in a view	No	

APPENDIX B: UCIS INTERFACES

Currently, UCIS interfaces with systems in the following agencies:

Agency	Incoming or Outgoing Data
North Dakota Department of Transportation Drivers License system	Incoming, biweekly, Drivers License data for lookups Outgoing, dispositions, suspensions and reversals
North Dakota Bureau of Criminal Investigation (BCI)	Outgoing, text of protection orders Incoming, date of service via teletype
North Dakota Highway Patrol	Incoming, nightly, citations and UCIS creates cases Outgoing, dispositions
North Dakota Health Department	Outgoing, divorce decree information
Council on Abused Women's Services	Incoming, web-based petitions for protection orders
Bismarck Police Department	Incoming, ordinance violations
Grand Forks State's Attorney	Incoming, criminal case information Outgoing, disposition information
Grand Forks Police Department	Incoming, ordinance violations
Minot Police Department	Incoming, ordinance violations
Digital Recording system (VIQ CourtFLOW)	Outgoing, case information

The SCAO is in the process of interfacing UCIS with FileNet.

The state is in the process of implementing a new State's Attorney's system statewide, provided by New Dawn Technologies.

The SCAO also supports other systems including export of case management data to a SQL Server data warehouse, a stand-alone Jury Management System, a stand-alone Supreme Court docketing system, Web servers, email, and several administrative systems. Only the data warehouse has a direct interface with UCIS.

APPENDIX C: VENDORS RESPONDING TO REQUEST

iSeries Vendor	RFI Response	URL
Enterprise Solutions Inc.	Yes	www.esi-nd.com
Advanced Systems Concepts		http://www.asc-iseries.com
ARCAD Software		http://www.arcadsoftware.com
ASAP BPCS Pros		www.bpcspros.com
ASNA	Yes	http://www.asna.com
BCD	Yes	www.bcdsoftware.com
Bytware		http://www.bytware.com
California Software		www.californiasoftware.com
IBM		http://www.ibm.com
Lansa	Yes	www.lansa.com
Linoma Software		http://www.linomasoftware.com
MicroStrategy		http://www.microstrategy.com
ProData Computer Services		http://www.prodatacomputer.com
Quadrant Software		http://www.quadrantsoftware.com
Quest Software		http://www.quest.com
Symtrax		http://www.symtrax.com
T.L. Ashford		http://www.tlashford.com
WorksRight Software		http://www.worksright.com
eBI Synetics Group, Inc.		http://www.rpgtoj2ee.com/

If email address is blank, there was an inquiry box on the website

CMS Vendor	RFI Response	URL
ACS	Yes	www.acs-inc.com/gs
Advanced Computer Technologies		www.actinnovations.com
AMA JUSTECH Division of SAIC	Yes	www.amaltd.com
AmCad	Yes	www.integrated-courts.com
Asynchrony Solutions		www.asolutions.com
BearingPoint		www.BearingPoint.com
Canyon Solutions Inc.		www.canyonsolutions.com
CIBER Inc.		www.ciber.com
Computing System		www.csisoft.com
Creative Data Solutions, Inc.		www.CDSCourts.com
EDS		www.eds.com/industries/justice/
GBS Computer Solutions		www.gbscorp.com
Icon Software Corp		www.iconsoftware.net
Infocom Systems Services, Inc.	Yes	www.infocomsystems.com

ISD Corporation		www.isd-corp.com
JUSTICE SERVED		www.justiceserved.com
Justice Systems Inc.	Yes	http://www.justicesystems.com/
Levare, Inc.		www.levare.com/Center_Court.htm
LT Court Tech LLC		www.lt-holdings.com
Magic Software Enterprises		www.magicsoftware.com
Maximus-Justice Solutions	Yes	www.maximus.com
New Dawn Technologies	Yes	www.justware.com/court.htm
Omni Court (SAS)		www.southernautomated.com
Premier Data Services		www.premierdata.com
Professional Computer Software Services, Inc.		www.pcssinc.com
PROWARE		www.proware.com
RADgov, Inc.		www.radgov.com
Sierra Systems		www.sierrasystems.com
SoftTec, Inc.		www.softtec.com
Softworks Solutions Inc.		www.softworksis.com
Spartan Technology Solutions, Inc.		www.spartantechnology.com
SUSTAIN Technologies, Inc.	Yes	www.sustain.net
System Innovators, Inc.		www.systeminnovators.com
Tyler Technologies		http://www.tylertechnologies.com/Odyssey/home.asp
WorkGroup Designs, Inc.		www.wgdi.net

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APPENDIX D: SUMMARY OF iSERIES TOOL PRICE INFORMATION

Total Cost of Ownership (TCO) Comparison, Ten Years

ASNA			**BCD**			**LANSA**		
LABOR, hourly rate			LABOR, hourly rate			LABOR, hourly rate		
	$110	Contractor		$110	Contractor		$148	LANSA staff
HOURS			HOURS			HOURS		
	4,000	$440,000		4,000	$440,000		3,300	$474,800
Project Travel		$13,600	Project Travel		$13,600	Project Travel		$13,600
Software licenses and training		$125,700	Software licenses and training		$33,250	Software licenses and training		$133,400
Maintenance Year 1		$17,800	Maintenance Year 1		$8,454	Maintenance Year 1		$13,050
Maintenance Year 2		$18,334	Maintenance Year 2		$8,877	Maintenance Year 2		$13,442
Maintenance Year 3		$18,884	Maintenance Year 3		$9,321	Maintenance Year 3		$13,845
Maintenance Year 4		$19,451	Maintenance Year 4		$9,787	Maintenance Year 4		$14,260
Maintenance Year 5		$20,034	Maintenance Year 5		$10,276	Maintenance Year 5		$14,688
Maintenance Year 6		$20,635	Maintenance Year 6		$10,790	Maintenance Year 6		$15,129
Maintenance Year 7		$21,254	Maintenance Year 7		$11,329	Maintenance Year 7		$15,582
Maintenance Year 8		$21,892	Maintenance Year 8		$11,896	Maintenance Year 8		$16,050
Maintenance Year 9		$22,549	Maintenance Year 9		$12,490	Maintenance Year 9		$16,531
Maintenance Year 10		$23,225	Maintenance Year 10		$13,115	Maintenance Year 10		$17,027
Total Maintenance		$204,057	Total Maintenance		$106,334	Total Maintenance		$149,604
TCO TEN YEARS		**$783,357**	**TCO TEN YEARS**		**$593,184**	**TCO TEN YEARS**		**$757,804**
* Assume 3% annual increase after Year 1			* Assume 5% annual increase after Year 1			* Assume 3% annual increase after Year 1		

Two-year budget amount	$615,434	**Two-year budget amount**	$504,181	**Two-year budget amount**	$648,292

ASNA

Product	License Type	License Fee	Annual Maintenance
ASNA AVR	Per workstation	$3,500	$1,500 first license $500 per license thereafter
ASNA DataGate	Per server processor	$4,000, With minimum of 2-proc server	20% of list price
ASNA Monarch (includes 1 Collector, 1 Cocoon and 1 set of migration agents	Per Workstation and iSeries/i5	$75,000	20% of list price
Training for AVR	NA	$2,750 Per class per developer	NA

Average configuration	$125,000		
LICENSE FEE			
Assume four workstations	Number	License Fee	Total License Fee
ASNA AVR	4	$3,500	$14,000
ASNA DataGate	1	4000	$4,000
ASNA Monarch (includes 1 Collector,	5	$75,000	$75,000
Training for AVR	4	2750	$11,000
Training out-of-pocket expenses (estimated)			$1,700
Unspecified extras			$20,000
Software licenses and training			$125,700
MAINTENANCE			
ASNA AVR	4	$500	$2,000
ASNA DataGate	20%	$4,000	$800
ASNA Monarch	20%	$75,000	$15,000
1st year of maintenance			$17,800

LABOR, hourly rate		
$110		
HOURS		
4,000		**$440,000**
Project Travel		**$13,600**
Software licenses and training		**$125,700**
Maintenance Year 1		17,800
Maintenance Year 2		18,334
Maintenance Year 3		18,884
Maintenance Year 4		19,451
Maintenance Year 5		20,034
Maintenance Year 6		20,635
Maintenance Year 7		21,254
Maintenance Year 8		21,892
Maintenance Year 9		22,549
Maintenance Year 10		23,225
Total Maintenance		**$204,057**
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS		**$783,357**
* Assume 3% annual increase after Year 1		3%
Maintenance as a % of license fee		17%

BCD

	Discounted Price	List Price
WebSmart - Interactive Development Environment (IDE), unlimited developers	$8,150	$8,150
WebSmart – web application server module (WAS) unlimited web usage in a single partition, runs on your Apache server	$7,400	$7,400
Clover, web report writer and user query tool. Includes SmartCharts for executive dashboards and KPI's	$10,000	$10,000
Clover, Less a 40% discount to WebSmart customers	($4,000)	
	$21,550	$25,550
TRAINING		
4 day WebSmart class ($1,500/day) for up to 10 students	$6,000	
Out-of-pocket expenses (estimated)	$1,700	
	$7,700	$7,700
Software licenses and training		$33,250

MAINTENANCE		
Annual maintenance is 18% of list price, 3 months free warranty. Maintenance will not increase more then 5% per year. This includes all product updates and unlimited calls to our technical support group.		
	$4,599	
Nexus Web Portal, Free with annual maintenance of $2,295	$2,295	
RPG /DDS to web conversion tool, Free with annual maintenance of $1,560	$1,560	
Total Maintenance	$8,454	

LABOR, hourly rate		
	$110	
HOURS		
	4,000	**$440,000**
Project Travel		**$13,600**
Software licenses and training		**$33,250**
Maintenance Year 1		$8,454
Maintenance Year 2		$8,877
Maintenance Year 3		$9,321
Maintenance Year 4		$9,787
Maintenance Year 5		$10,276
Maintenance Year 6		$10,790
Maintenance Year 7		$11,329
Maintenance Year 8		$11,896
Maintenance Year 9		$12,490
Maintenance Year 10		$13,115
Total Maintenance		**$106,334**
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS		**$593,184**

* Assume 5% annual increase after Year 1	5%
Maintenance as a % of license fee	18%

LANSA

Estimated Cost of Acquisition		
Hardware	No additional hardware is expected to be required. LANSA proposes that the SCAO's iSeries (AS/400) host	0
Software Licensing	3 seats of Visual LANSA, LANSA for Web	72,500
Fees	1 server-license for LANSA Integrator.	
	These licenses will support development and post-delivery maintenance of the system by LANSA and/or the SCAO.	
Training	2 weeks On-site Training + User Doc + System Doc + Parallel Phase Support + additional Support estimated at $5000/month for first 4 months after go-live	57,500
Training Travel	Training two weeks ($1700/wk)	3,400
Software licenses and training		133,400
Estimated Development Cost		
Analysis/Design	Services related to the Project Scope to be conducted as the first stage of the project.	27,300
Development	Database, Web Interface, all Functionality, 60 Letters, System Testing, User Acceptance Testing, Go Live	381,500
Vendor Project Management	Meetings, Task Tracking, Updates of MPP, Risk Management, Communications, etc.	64,500
Project Travel	Estimate 8 person-weeks of travel -- (2 Scope Meetings, 2 ad-hoc , 4 at parallel phase ($1700/wk)	13,600
Labor subtotal		486,900
Total Estimate		**620,300**
Estimated Annual Cost of Ownership		
Software License Fees	18% annual maintenance on Software Licensing mentioned above.	13,050
Support Contract Fees	No annual fee. The need for application support should drop-off after 4 months, hence the costs are included	0
Other Recurring Costs or Expenses		0
Estimated Annual Total		**13,050**

LABOR, hourly rate		
	$148	
HOURS		
	3,300	**$474,800**
Project Travel		$13,600
Software licenses and training		**$133,400**
Maintenance Year 1		13,050
Maintenance Year 2		13,442
Maintenance Year 3		13,845
Maintenance Year 4		14,260
Maintenance Year 5		14,688
Maintenance Year 6		15,129
Maintenance Year 7		15,582
Maintenance Year 8		16,050
Maintenance Year 9		16,531
Maintenance Year 10		17,027
Total Maintenance		**$149,604**
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS		**$757,804**
* Assume 3% annual increase after Year 1		3%
Maintenance as a % of license fee		18%

APPENDIX E: SUMMARY OF CMS PRICE INFORMATION

Total Cost of Ownership (TCO) Comparison, Ten Years

	Type of Solution	Total Cost of Ownership for Ten (10) Years (Low)	Total Cost of Ownership for Ten (10) Years (High)	Annual maintenance fee	Maintenance as a % of license fee	Estimated Data Conversion Cost
ACS	COTS	$8,317,928	same	$313,333	25%	$350,000
AmCad	COTS	$12,261,600	same	$400,000	20%	Unknown
Infocom	Custom	$7,235,800	same	$426,384	15%	$34,560
JSI	COTS	$3,373,866	$6,172,732	$150,000 to $300,000	12%	$100,000 to $250,000
Maximus	COTS	$7,058,125	same	$262,500	15%	$450,000
New Dawn	COTS	$5,992,919	same	$287,500	18%	$40,000
SAIC	COTS	$5,747,732	same	Unknown	Unknown	$1,000,000
Sustain	COTS	$3,975,899	$4,199,899	$276,128	Unknown	$300,000

Sorted by Ten-Year Total Cost of Ownership (TCO)

		TOC Low	TOC High	Maint	Maint %	Est. Data Conversion
JSI	COTS	$3,373,866	$6,172,732	$150,000 to $300,000	12%	$100,000 to $250,000
Sustain	COTS	$3,975,899	$4,199,899	$276,128	Unknown	$300,000
SAIC	COTS	$5,747,732	same	Unknown	Unknown	$1,000,000
New Dawn	COTS	$5,992,919	same	$287,500	18%	$40,000
Maximus	COTS	$7,058,125	same	$262,500	15%	$450,000
Infocom	Custom	$7,235,800	same	$426,384	15%	$34,560
ACS	COTS	$8,317,928	same	$313,333	25%	$350,000
AmCad	COTS	$12,261,600	same	$400,000	20%	Unknown

Two-year Budget Amount

		Two-Year Low	Two-Year High
ACS		$5,531,666	same
AmCad		$9,061,600	same
Infocom		$3,330,504	same
JSI		$2,000,000	$3,425,000
Maximus		$4,853,125	same
New Dawn		$3,280,679	same
SAIC		$3,000,000	same
Sustain		$1,160,540	$1,360,540

ACS	
Project Components	Project Costs
Application Software	$1,250,000
Project Management	$500,000
Installation	$30,000
Training	$200,000
Consulting & Implementation	$350,000
Data Conversion	$350,000
Customizations & Interfaces	$1,900,000
Hardware & Database Software	$325,000
Maintenance Year 1	$313,333
Maintenance Year 2	$313,333
Maintenance Year 3	$313,333
Maintenance Year 4 *	$322,733
Maintenance Year 5	$332,415
Maintenance Year 6	$342,387
Maintenance Year 7	$352,659
Maintenance Year 8	$363,239
Maintenance Year 9	$374,136
Maintenance Year 10	$385,360
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$8,317,928
Maintenance (3 years)	$940,000
Annual maintenance fee	$313,333
* Assume 3% annual increase after Year 3	3%
Maintenance as a % of license fee	25%
Two-year budget amount	$5,531,666

AmCad	
Phase 1 - SCAO Investment for Development AiCMS™	$2,000,000
Phase 2 - SCAO Investment Deployment to Target Seven-(7) Counties; Includes one-(1) from each Tier Group	$1,501,800
Phase 3 - SCAO Investment Deployment to Remaining Counties price of remaining costs:	$5,159,800
Maintenance - Year 2	$400,000
Maintenance - Year 3	$400,000
Maintenance - Year 4	$400,000
Maintenance - Year 5	$400,000
Maintenance - Year 6	$400,000
Maintenance - Year 7	$400,000
Maintenance - Year 8	$400,000
Maintenance - Year 9	$400,000
Maintenance - Year 10	$400,000
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$12,261,600
AmCad is offering a no charge license, with only payments for services to implement each court	
Maintenance as a % of license fee	20%
Two-year budget amount	$9,061,600

Infocom

Cost Element Description	Cost
Analysis, Design, Development, Installation	$2,842,560
Data Conversion	$34,560
Train – the Trainer Training	$27,000
Maintenance Year 2	$426,384
Maintenance Year 3	$439,176
Maintenance Year 4	$452,351
Maintenance Year 5	$465,921
Maintenance Year 6	$479,899
Maintenance Year 7	$494,296
Maintenance Year 8	$509,125
Maintenance Year 9	$524,399
Maintenance Year 10	$540,130
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$7,235,800

Annual Maintenance after 1-year warranty @ 15% of software cost	15%
Assume 3% increase increase after Year 2	3%

Two-year budget amount	$3,330,504

JSI

Project Components	General Project Costs		
	Total One-Time Costs		Total Recu
	Low	High	Low
Logistics, Planning and Project Mgmt	$150,000	$175,000	$0
Design, Implementation and Mods	$125,000	$250,000	$0
Training and Installation*	$75,000	$250,000	$0
Data Conversion	$100,000	$250,000	$0
Software (CMS only)	$1,250,000	$2,000,000	$0
Infrastructure/Network	TBD	TBD	$0
Annual Maintenance	$0	$0	$150,000
Travel	$150,000	$200,000	$0
Maintenance Year 2	$150,000	$300,000	
Maintenance Year 3	$ 154,500	$ 309,000	
Maintenance Year 4	$ 159,135	$ 318,270	
Maintenance Year 5	$ 163,909	$ 327,818	
Maintenance Year 6	$ 168,826	$ 337,653	
Maintenance Year 7	$ 173,891	$ 347,782	
Maintenance Year 8	$ 179,108	$ 358,216	
Maintenance Year 9	$ 184,481	$ 368,962	
Maintenance Year 10	$ 190,016	$ 380,031	
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$3,373,866	$6,172,732	

Assume 3% increase increase after Year 2	3%
Maintenance as a % of license fee	12%

	Low	High
Two-year budget amount	$2,000,000	$3,425,000

rring Costs
High
$0
$0
$0
$0
$0
$0
$300,000
$0

Maximus		
Project Components	General Project Costs	
	One-Time Costs	On-Going Costs
Budgetary Estimate for Hardware/Network Infrastructure, and 3rd Party Software (1)	$134,000	$20,000
CourtView Enterprise License Fee (2)	$1,750,000	$0
CourtView - Annual Fee for 2nd Tier Support & Software Maintenance (3)	$262,500	$262,500
Business Analysis (4)	$72,000	$0
Software Modifications (5)	$500,000	$0
Interfaces (6)	$297,000	$0
Project Management (7)	$420,000	$0
Technical Training (8)	$12,000	$0
Training (Train-the-Trainer Model) (9)	$400,000	$0
Live Support (10)	$30,000	$0
Data Conversion (11)	$450,000	$0
Estimated Travel Expenses (12)	$250,000	$0
Maintenance Year 2	$275,625	
Maintenance Year 3	$275,625	
Maintenance Year 4	$275,625	
Maintenance Year 5	$275,625	
Maintenance Year 6	$275,625	
Maintenance Year 7	$275,625	
Maintenance Year 8	$275,625	
Maintenance Year 9	$275,625	
Maintenance Year 10	$275,625	
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$7,058,125	$282,500
Maintenance as a % of license fee	15%	
Assume 5% increase increase after Year 2	5%	
Two-year budget amount	$4,853,125	

New Dawn		
500 client workstation license	JustWare Court	$1,625,000
1 server license	JusticeBroker	$5,995
	Total Software: $1,630,995.00	
3rd Party		
500 concurrent licenses	Citrix Advanced with Terminal Services **	$208,000
** *The Citix solution is only necessary if JustWare 4.6 is implemented for the project. New Dawn recommends consulting with your local Citrix provider in order to receive better pricing.*		
The timeline of this project may warrant the use of New Dawn's upcoming release, JustWare 5.0, which is entirely .NET, Smart Client and only requires a Windows workstation with the 2.0 .NET Framework.		
4 server licenses	MS SQL Server Per Processor Embedded Runtime	$19,600
2 document author licenses	Document Author Software (JDA)	$750
	Total 3rd Party: $228,350.00	
Services		
32 hours	Document Author Training - Online	$5,120
	JusticeBroker Installation	$720
8 hours	JusticeBroker Training - Online	$1,280
	Project Management	$82,080
8 hours	Citrix Installation and Setup	$720
** *The Citix solution is only necessary if JustWare 4.6 is implemented for the project.*		
The timeline of this project may warrant the use of New Dawn's upcoming release, JustWare 5.0, which is entirely .NET, Smart Client and only requires a Windows workstation with the 2.0 .NET Framework.		
	JustWare Installation	$720
40 hours	JustWare Administrator Training	$6,400
32 hours	JustWare Report Author Training - Online	$5,120
560 hours to train all end users	JustWare End User Training	$89,600
520 hours for go-live assistance	JustWare Go Live Assistance	$83,200
250 hours	Document and Report Services	$21,250
	Total Services: $296,210.00	
Custom Development		
	JusticeBroker Adapter ** estimates only**	$400,000
	Data Conversion ** estimates only **	$40,000
	Total Custom Development: $440,000.00	
Support		
	JusticeBroker Adapter Support	$100,000
	JusticeBroker Support and Upgrades	$1,499
	JustWare Support and Upgrades**	$287,500
** *JustWare support provide for version releases including major releases such as the upcoming .NET Smart Client JustWare 5.0 release.*		
	Total Support: $388,999.00	

	Total Proposal Cost: $3,091,554.00	
Maintenance Year 2		$ 296,125
Maintenance Year 3		$ 305,009
Maintenance Year 4		$ 314,159
Maintenance Year 5		$ 323,584
Maintenance Year 6		$ 333,291
Maintenance Year 7		$ 343,290
Maintenance Year 8		$ 353,589
Maintenance Year 9		$ 364,196
Maintenance Year 10		$ 375,122
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS		$5,992,919
Maintenance as a % of license fee		18%
Assume 3% increase increase after Year 2		3%
Two-year budget amount		$3,280,679

SAIC	
The State of North Dakota, SCAO Request For Information regarding a Statewide Court Management System does not contain the detailed specifications and scope of work definition necessary to develop an accurate pricing. SAIC is therefore unable to provide a price estimate at this time. However, as a point of reference, our engagement with the Maryland AOC including modifications, conversions, maintenance and training have amounted to approximately $3M. The breakout of these costs were as follows:	
Software, installation, setup, maintenance (1st year) and training	$1,000,000
External Interface connectors	$700,000
Data Conversion (22 disparate court applications)	$1,000,000
Maintenance after 1st year (per year)	$300,000
Maintenance Year 3	$309,000
Maintenance Year 4	$318,270
Maintenance Year 5	$327,818
Maintenance Year 6	$337,653
Maintenance Year 7	$347,782
Maintenance Year 8	$358,216
Maintenance Year 9	$368,962
Maintenance Year 10	$380,031
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS	$5,747,732
Maintenance as a % of license fee	UNKNOWN
Assume 3% increase increase after Year 2	3%
Two-year budget amount	$3,000,000

Sustain					
No one-time license fee, rather an annual lease					
Annual fee includes read-only users at half price-- 124		365 court users	427		
	Users	Annual License Fee Per User	Annual fee for number of users above	Maximum Annual Fee for up to 500 Users	
	1 – 100	$ 700.00		$70,000	
	101 – 200*	$ 790.00		Up to 149,000	
	201 – 500	$ 646.67	$ 276,128	Up to 343,000	
3%	*Assume CPI to left				
				Amount Min	**Amount Max**
	Initial system replacement	First year fee	Annual fee Year 1	$ 276,128	$ 276,128
		Use CPI to add	Annual fee Year 2	$ 284,412	$ 284,412
		Use CPI to add	Annual fee Year 3	$ 292,944	$ 292,944
		Use CPI to add	Annual fee Year 4	$ 301,733	$ 301,733
		Use CPI to add	Annual fee Year 5	$ 310,785	$ 310,785
		Use CPI to add	Annual fee Year 6	$ 320,108	$ 320,108
		Use CPI to add	Annual fee Year 7	$ 329,711	$ 329,711
		Use CPI to add	Annual fee Year 8	$ 339,603	$ 339,603
		Use CPI to add	Annual fee Year 9	$ 349,791	$ 349,791
		Use CPI to add	Annual fee Year 10	$ 360,285	$ 360,285
	Services		FROM TRACKS BELOW	$ 210,400	$ 234,400
	Options and alternatives		Included	0	0
	Custom programming itemized by application		Included	0	0
	Maintenance after one year warranty period expires, if applicable		Included	0	0
	Installation		Included	0	0
	Training			$ 300,000	$ 300,000
	Other one-time or recurring costs (Data conversion)			$ 300,000	$ 500,000
Cost of server for application server					
Application server software cost					
Maintenance on server and software (application server)					
TOTAL COST OF OWNERSHIP FOR TEN (10) YEARS				$ 3,975,899	$ 4,199,899
	Maintenance as a % of license fee	Unknown			
Tracks	**Classification**			**Days Min**	**Days Max**
A	Facilities and Organization			12	12
B	Calendars and Scheduling			16	16
C	Workflow	Assume 5 days ea., Min 1, Max 3 screens		30	40
D	Case Management	Assume 5 days ea., Min 1, Max 3 screens		31	41
E	Minutes, Searches, Notices and Reports			72	72

F	Cashiering and Accounting			26	26
G	Public Access, Data Exchange and Interfaces	Assume 10 days ea., Min 1, Max 3 adapters		41	51
H	Training – completed as Tracks progress				
I	Conversions – see separate plan				
J	Document management			35	35
				263	293
		Assume daily rate	$ 800	$ 210,400	$ 234,400
				Amount Min	Amount Max
	Two-year budget amount			$ 1,160,540	$ 1,360,540

APPENDIX F: ONLINE HELP AUTHORING TOOLS

1. AuthorIT

AuthorIT reduces costs through fast professional publishing, reduced training and automatic organization-wide document consistency and control. AuthorIT's excellent template system removes the time consuming task of formatting documents, freeing authors to focus more time and energy on the document's most important facet, the content. Using AuthorIT's secure and extremely powerful collaborative environment, authors and publishers can edit and maintain documents without duplications or risking version integrity.

Workgroup license – 3 X $699 per license = $2,097.00
1 year of maintenance plan (includes tech support and upgrades) = $398.43
Total cost = $2,495.43
Enterprise license – 3 X $899 per license = $2,697.00
1 year of maintenance plan = $512.43
Total cost = $3,209.43
http://www.author-it.com/index.php?page=home

2. Macromedia RoboHelp

Macromedia RoboHelp is the most widespread package for creating online help. It helps users create professional Help systems and documentation for desktop and web-based applications. Its Help systems include Help topics, Table of Contents, Index, Glossary, and more.
Upgrade from $499. Full from $999.
http://www.adobe.com/products/robohelp/
RoboHelp X5 - HTML-Based Help (3 days) – Prices and course length may vary. Check with your local training center for this information.

3. Doc-to-Help

Doc-To-Help® for Word 2006 v2 empowers you to author or import documentation in Microsoft® Word to create online Help systems and professional printed manuals. Produce these Help systems in virtually any popular format including HTML Help, Cross-Platform HTML-based Help, JavaHelp, WinHelp, Help 2.0, and printed documentation.
Gold Support Subscription - Full Version $929.95
http://www.doctohelp.com/
Introductory Online Course Training $599.00
Intermediate Online Course Training $249.00
Advanced Online Course Training $249.00

4. MadCap Flare

MadCap Flare is the most versatile Help authoring tool on the market. In addition to generating an innovative new kind of cross-browser, cross-platform Help, MadCap Flare will generate a new help format designed specifically for .NET application developers,

Microsoft's new help format for Windows Vista (when released by Microsoft), Microsoft HTML Help (.chm), and printed documentation.
$799.00
http://www.madcapsoftware.com/products/flare/home.asp
Onsite Training – The training is $1299 per day for 3 days. The travel expenses are settled after the fact with the trainer which would either be coming from Boston or Atlanta. We require a minimum of 5 students to have a trainer onsite.

5. WebWorks ePublisher Pro for Word

WebWorks ePublisher Pro for Word is the XML-based, integrated online publishing solution for Microsoft Word users, featuring Dynamic Previews, automatic graphics conversion, point-and-click output customizatiion, and GUI-based advanced configurations for Help systems. Delivers 14 online formats including online Help, Web formats, PDF, XML, and content for portable devices. WebWorks ePublisher Pro is the fastest, easiest way to create professional Help systems and online content -- today and into the future.
$1,783.99
http://www.webworks.com/solution/buy.aspx#phone
Webinars @ $300 each, or two-day on-site training.