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APPENDIX A

REQUEST FOR PROPOSALS

FOR

CASE MANAGEMENT SYSTEMS SOFTWARE

APPENDIX A DRAFT FUNCTIONAL REQUIREMENTS

This appendix contains preliminary functional requirements of the courts. It is included in order to provide an example of the types of features the courts would like to see in the new system. This list is not all inclusive and will serve only as a starting point for the cross court team that will develop the functional requirements for the project.

A.1 FUNCTIONS, SUBFUNCTIONAL GROUPINGS, AND SUBFUNCTIONS

Appendix A is organized under twenty-one major Functions. The Functions and their respective Subfunctional Groupings are:

A.2 Case

- Case Initiation
- Indexing
- Data Entry

A.3 Register of Actions, Docketing & Related Recordkeeping

- Register of Actions and Docketing
- Recordkeeping

A.4 Scheduling

- Schedule Creation
- Ticklers and Other User Alerts and Prompts

A.5 Document Generation and Processing

- Sub functions

A.6 Calendaring

- Calendar Creation
- Calendar Management

A.7 Hearings

- Sub functions

A.8 Case Disposition and Post Disposition

- Sub functions

A.9 Case Close

- Sub functions

A.10 Accounting - General

- Sub functions

A.11 Accounting - Front Counter and Cashiering

- Funds Collection
- Receipt Generation
- Bookkeeping

A.12 Accounting -Business Office

- Account Management
- Funds Transfer, Distribution, and Disbursement
- Updates to Accounts and Other Records
- Summaries

A.13 Accounting - General Ledger

- Sub functions

A.14 Case File and Property Management

- File Tracking
- File Archiving and Destruction
- Exhibit Management and Tracking

A.15 Security

- Sub functions

A.16 Reporting and Statistical

- Reporting and Utilities
- Statistics
- Management Information

A.17 General System and User Requirements

- General System Requirements
- Printing
- Interfaces

A.18 Table Creation and Maintenance

- Subfunctions

A.19 E-filing**A.20 Imaging****A.21 Work Queues****A.22 Collections**

- Major Features and Functions
- Joint and Several Case Processing
- Restitution
- Payments
- Data Collection
- On-line Inquiries
- Reports and Output

A.1.2 Module Codes

Associated with each subfunction are one or more module codes that indicate the module(s) for which the subfunction is required. Module codes include the following:

- Adop (adoptions)
- Civil (limited & general jurisdiction civil)
- Crim (criminal)
- Fam (family law)
- MH (mental health)
- Prob (probate)
- SmCl (small claims)
- Dep (juvenile dependency)
- Del (juvenile delinquency)
- Tr (adult traffic / minor offense)
- Trln (juvenile traffic & informal)
- Acctg (accounting)
- Col (collections)
- All

A.2 CASE

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

Subfunctions: Within the Case Initiation, Indexing and Data Entry Function, the subfunctions are grouped into Case Initiation, Indexing and Data Entry.

A.2.1 Case Initiation

New cases are entered into the case management system so that information and filings (e.g., complaints, petitions) regarding the case can be recorded, retained, retrieved, used to generate forms and other documents, and combined with information from other cases to develop reports on court activity. These entries conform to locally-used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, basic case information). Other than indexing, which is covered in Section A.2.2, the most basic case initiation activities are to give the case an identifier and a case title.

Subfunction	Module
A.2.1.1 Generate/enter case number using administrator-defined format for each case type and/or court location. Support current case numbering systems. Automatically assign next case number with ability to override.	All
1.2.3 Allow manual input of a case number.	Crim Tr
1.2.4 Include a mechanism for correcting erroneously assigned case numbers with a warning to prevent errors and duplicate case numbers. Maintain an audit trail on case number overrides.	All
A.2.1.2 Capture and provide ability to track data elements for case initiation, including but not limited to: <ol style="list-style-type: none"> 1. Date filed. 2. Case number (system to assign next number automatically) by case type and/or court location with ability to override. 3. Agency case/ID number. 4. Citation number (Juvenile). 5. Court location and geographical location information. If applicable, automatically associate the DMV court code for the court location of a case. 6. Jurisdiction. 7. Complex case designation. 8. Differential case management indicator (Fast Track). 9. Priority case designation. 10. Case type. 11. Special case designations specifically within case type (reimbursable cases, drug court case, complex civil litigation, etc.) 12. Nature (complaint/petition type and case category), as defined by court user. Including, but not limited to case types/ nature codes that conform to the State’s Civil Cover Sheet and Judicial Branch Statistical Information System (JBSIS) Reports. 13. Jury/Non-jury case designation. 14. Number of children. 	All

Subfunction	Module
<ul style="list-style-type: none"> 15. Time estimate (e.g., number of hours and days). 16. Fee/fee waived/dollar amounts (default fee based on fee type or prayer amount with ability to override default). 17. Type of remedy (e.g., monetary, non-monetary, punitive). 18. Prayer amount. 19. Provide ability to capture user-defined range (e.g., \$10,000 or \$10,000 and under, capture over \$25,000 or \$25,00 and under) to link field with default fee. 	
<ul style="list-style-type: none"> 20. Venue/zip code. 21. Reason code for venue (Small Claims). 22. Party data, based on case type, (accommodate long names; allow unlimited litigants per case; allow for separate fields for business names, last name, first name, middle name, and suffix, if applicable). 23. Name of subject person for case title and petitioner data (Probate). 24. AKA last name, AKA first name, AKA middle name, AKA suffix (allow for unlimited entries). When applicable, maintain DMV as the source. 25. Fictitious business name (accommodate long names; allow unlimited entries per case). 26. Person/party identifier, if applicable. 27. Party type, including AKAs and DBAs, and former DBAs 28. Party / role for each case given multiple cases that the party may be involved in. 29. Preferred method of contact for party indicator. 30. Party address, city, state and zip code (allow for multiple entries and link with effective dates; provide format for domestic and international addresses; and provide ability to make fields confidential). 31. Party mailing address, city, state and zip code (allow for multiple entries and link with effective dates; provide format for domestic and international addresses; and provide ability to make fields confidential). 32. Party telephone number (allows for multiple numbers per party and link with effective dates; provide format for domestic and international numbers). 33. Party e-mail address (allows for multiple addresses; link with effective date). 34. Party fax number (link with effective date). 35. Attorney data, including relationship to party and attorney type. 36. Attorney State Bar Association number as primary attorney identifier and a secondary identifier, when applicable. 37. Attorney mailing address, city, state and zip code (allow for multiple 	

Subfunction	Module
<p>entries and link with effective dates; provide format for domestic and international addresses).</p> <p>38. Pro per indicator, when applicable.</p> <p>39. Flag to indicate court-appointed attorney, when applicable</p> <p>40. Custody Status data field (The values for this status data field: in custody, bailed out, released OR. Note: Vendor, do not bid the interface with the Sheriff System).</p> <p>41. Social Security number.</p> <p>42. Driver License number.</p> <p>43. Driver License State.</p> <p>44. Ethnicity and other demographics, based on defined case types.</p> <p>45. Data for Party within Case: Descriptive information for purposes of warrant issuance (scars, marks, tattoos).</p> <p>46. Date of birth.</p> <p>47. Sex.</p> <p>48. Hair color.</p> <p>49. Eye color.</p> <p>50. Height.</p> <p>51. Weight.</p> <p>52. Other physical descriptors.</p> <p>53. Hearing date.</p> <p>54. Event status, date, time, location.</p> <p>55. Provide ability to default to assigned department.</p> <p>56. Location/branch/district and/or other locally defined court identifier.</p> <p>57. Assigned judicial officer.</p>	
<p>58. Assigned division/department number.</p> <p>59. Premises address (Unlawful Detainer cases).</p> <p>60. Confidential status, as defined by case type.</p> <p>61. Authorized representative designation (Small Claims).</p> <p>62. Fictitious business name declaration (Small Claims).</p> <p>63. Name of parents/guardians/relatives of minor.</p> <p>64. Issuing agency.</p> <p>65. Violation date.</p> <p>66. Violation/charge number, subdivision, and code (allow for unlimited number of violations).</p> <p>67. Counts under charges/allegations.</p> <p>68. Violation class.</p>	<p>Crim TR Del Dep Crim TR Del Dep</p>

Subfunction	Module
69. Violation type (e.g., correctable, construction zone, pedestrian, bicycle).	
70. Allegations (allow for unlimited number of allegations).	Crim TR Del Dep Dep
71. Petition, life number (juvenile dependency child id#) for each child in a case.	Dep
72. Vehicle information (e.g., license number, state, make, model, body style, year and color).	Crim
73. Vehicle owner responsibility data.	TR
74. Approximate speed.	
75. Maximum speed.	
76. Gang affiliations.	
77. Last name and first name of detaining/issuing officer.	
78. Badge number of officer (Juvenile).	
79. Agency and division of officer (Juvenile).	
80. Last name, first name, middle name, suffix of minor children.	
81. Date of birth of minor children.	
82. Social Security number of minor children.	
83. Attorney of minor children.	
84. Last name, first name, middle name, suffix of interested party.	
85. Address of interested party.	
86. Telephone number of interested party.	
87. Type of interested party.	
88. Attorney of interested party.	
89. Case interpreter indicator and language	
A.2.1.3 Capture the reason for initiation (e.g., new filing, transferred from another county).	All
A.2.1.4 Provide ability to use existing party name and existing person/party ID, if applicable, for cross-complaints/subsequent petitions/filings if name already entered in the original complaint/petition. Track all cross/subsequent petitions filed. Provide ability to track to the litigant level (e.g., answer filed for litigant 1).	All
A.2.1.5 Integrate attorney data into the filing process to avoid re-keying; link with attorney table.	All
A.2.1.6 Accept electronically transmitted for batch of individual case data from other agencies/programs for the purpose of case creation and document production.	All

Subfunction		Module
A.2.1.7	When accepting new cases filed by other agencies/programs (e.g., District Attorney, Department of Children and Family Services), check for an existing case. Display an alert on the screen if matches are found, and generate an exception report listing possible matches.	Fam Dep Del Trln
1.2.8	Allow cases to be initiated with minimal information. Allow cases to be initiated with case bail and bonds information.	All
1.2.9	Allow cases to be updated with additional information.	All
1.2.10	Warn when cases are incomplete. Track incomplete cases.	Civ Crim SmCl Tr Del
FR1.6	Track frequent filers. Allow for expeditious data entry of frequent filer information.	Civ SmCl
FR1.3	Track designated vexatious litigants. Warn operators of designated vexatious litigants.	Civ SmCl Prob
A.2.1.8	Prompt user when a party already exists based on user-defined criteria (across litigation types) that relate to new case. Allow user to initiate a search for duplicate parties and attorneys and to transfer party information into current case to avoid additional data entry. Provide ability to enable/disable this feature.	All
A.2.1.9	Create groups or related cases (e.g., several tort cases filed against same defendant by different plaintiffs, multiple-plaintiff asbestos cases) from single or multiple filings such that initial and subsequent entries can be applied to each case in the group. Include class actions and multiple filers.	All
A.2.1.10	Generate a locally-defined case title or caption (e.g., short phrase that identifies case and includes the plaintiff, defendant and other party types) from party names and other information. Include a name standardization routine for conformity.	All
A.2.1.11	Generate and assign separate party identifiers (e.g., party number) for multiple party types.	All
A.2.1.12	Provide ability to generate and assign a person identification number across case categories. Provide ability to enable/disable this feature.	All
A.2.1.13	Establish relationships between cases, case categories, and court types (e.g., small claims), locations, and departments.	All

Subfunction	Module
A.2.1.14 Provide ability to assign cases automatically according to user-defined criteria (e.g., random selection, by case number suffix, etc.) to any of the following: <ol style="list-style-type: none"> 1. Judge 2. Courtroom 3. Judge and Courtroom Allow an operator with the appropriate security level to override the assignment.	All
FR1.4 Allow an operator to invoke online display or filing rules and procedures, expert system or hypertext assists.	All

A.2.2 Indexing

The index, which is created at case initiation, is maintained throughout the life cycle of a case to allow users to look up cases or parties and view index information (e.g., party's name, role in the case, attorney, case number, date filed) and a cross reference to other parties in the case. Users who may know some basic information on a specific case or party can access the index to look up the case number or other case information. When the system returns multiple matches, the index helps users find the specific case or party they are seeking and then retrieve basic information from the index on that case or party.

After accessing the index, users often need more information about the specific case, the parties in that case, and related cases and parties. The index capability, therefore, should allow users easy interfaces with other parts of the system such as docketing, scheduling, calendaring, and accounting to provide potentially all information on that case and related cases. The index capability should also interface with the inquiry and report generation capabilities for more varied displays and reports.

Subfunction	Module
A.2.2.1 Create and maintain a locally-defined index that contains case information (e.g., each party name, role in case, attorney; case type; case number; date filed; Social Security number, agency case number; cross information and cross-reference to other parties in case). Refer to new California Rule of Court, January 2003 for specific information on what is allowable for public access to court records.	All
A.2.2.2 Permit database look-up by a choice of fields or combination thereof (e.g.,	All

Subfunction	Module
<p>party name, party role, case filed date range in ascending or descending order, location).</p> <ol style="list-style-type: none"> 1) Party name (e.g., full name, last name, partial name, AKAs, DBAs). 2) Party type. 3) Attorney/firm name (e.g., full name, last name, partial name, AKAs, DBAs). 4) Bar number. 5) Person identification number. 6) Name of minor/sibling/co-minor. 7) Date of birth of minor/sibling/co-minor. 8) Social security number of minor/sibling/ co-minor. 9) Name of parents of minor/sibling/co-minor. 10) Name of guardian of minor/sibling/co-minor. 11) Name of relative of minor/sibling/co-minor. 12) AKA names of minor/sibling/co-minor. <p>Once index search is completed, link case record from party/attorney/record selected and provide ability to display and/or print results. Provide ability to further drill down to specific information. Return user to original index search result screen without requiring another search.</p>	
A.2.2.3 Provide Soundex/phonetic search functionality.	All
A.2.2.4 Provide wild card search functionality.	All
A.2.2.5 From the index screen, allow easy access and navigation to other parts of the system such as docketing, scheduling, calendaring, and accounting.	All
A.2.2.6 Provide ability to cancel search.	All

A.2.3 Data Entry

Subfunction	Module
A.2.3.1 Provide ability to update/edit/correct/void/delete data entry information and related data based on user security level. Update register of actions/docket and index.	All
A.2.3.2 Provide ability to update/edit/correct/void/delete data entry information and related data from district to district and jurisdiction to jurisdiction, based on user security level. Update register of actions. Produce an audit trail.	All
A.2.3.2 Provide ability to update/edit/correct/void/delete data entry information and related data from district to district and jurisdiction to jurisdiction, based on user security level. Update register of actions. Produce an audit trail.	
A.2.3.3 Allow authorized user correction of individual or groups of cases when data entry error occurs.	All

Subfunction		
A.2.3.4	Identify required entry fields.	All
A.2.3.5	Provide data validation on a field-by-field basis, eliminating the need to complete an entire screen of data entry prior to validation.	All
FR9	Allow for the edit of party and corporate names against user defined formats and translation rules to assure that entries are consistent and accurate.	
A.2.3.6	Make free-format, miscellaneous (Post-It note feature) entries that: 1) Update the register. 2) Do not update the register.	All
A.2.3.7	Provide for unlimited free-format capabilities on actions/codes where data is carried over to notices/forms and to registers/calendars.	All
A.2.3.8	Provide ability to enter case information in a free-form format with no character length limitations, including but not limited to: 1) Minutes. 2) Actions. 3) Rulings. 4) Judgments. 5) Orders. 6) Verdicts. 7) Hearings. 8) Miscellaneous/generic entries. Allow data to carry over to appropriate forms/notices.	All
A.2.3.9	Provide users with ability to update or back out of a screen at any point before the entry is saved or committed.	All
A.2.3.10	Provide ability to link related cases and update all cases deemed related (including scheduling, noticing, and minute order production).	All
A.2.3.11	Provide additional tables for data entry and storage for designated case types that require their own confidential data. Access is to be assigned based on user security level (e.g., legal research notes, family mediation).	Adop Fam Prob Dep Del

A.3 REGISTER OF ACTIONS, DOCKETING AND RELATED RECORDKEEPING FUNCTIONS

Description: The activities associated with entering the following information in the register of actions or dockets: (1) a document (e.g., complaint, petition, answer, cross complaint) has been filed; (2) a filed document (e.g., demurrer, motion) is the basis for placing a case on the court’s

calendar for a hearing or other review; or (3) the judgments entered, orders entered, or other activity that has occurred at the hearing or other review.

The register of actions or docket is the primary chronological, historical record of the case. Relevant functions include: (1) recording in a register of actions or docket the results of events (e.g., dates, parties, and other information on initial filings, pleadings, calendared matters, and dispositions; dates and other issuance information on notices, summons, civil warrants and other documents generated by the system; dates and outcomes of hearings; and post disposition activities) based on the documents filed and financial transactions during the life of the case; (2) maintaining the register of actions or docket; (3) maintaining records used in the docketing function; and (4) producing related outputs.

Subfunctions: Within the Register of Actions, Docketing, and Related Recordkeeping Function, the subfunctions are grouped into Register of Actions and Docketing, and Recordkeeping.

A.3.1 Register of Actions and Docketing

When the system creates the register of actions or docket using entries made during case initiation and supplemented by subsequent user entries, the register of actions/docket receives information on the initial filing and basic case information such as case number, case type, case category, case status, case title or style, parties, attorneys, and docket-related events. As the case progresses and events are completed, summary information about events (e.g., filings, hearing results, requests for execution, dispositions) is entered into the register or docket.

Subfunction	Module
A.3.1.1 Maintain case information as the official court record in accordance with state and local statutes or rules.	All
A.3.1.2 Provide the ability to display and print all or some of the information in the register/docket, based on user-defined criteria, including but not limited to: 1) Chronological or reverse chronological order. 2) Summary or detailed register/docket. 3) Specific date range. 4) Specific events.	All
A.3.1.3 Allow users to return to the point in the register from which the user had selected the detail register/docket entry.	All
A.3.1.4 Create register/docket entries and update the register of actions/docket, based on occurrence of specific events that can be completely or partially transferred from another function during case initiation and subsequent user entries. Maintain the filing or event date associated with each entry.	All

Subfunction		Module
A.3.1.5	Apply a single event or a specific change to multiple registers/dockets, parts of registers/dockets, or groups of cases as if they were a single register/docket or case (e.g., correction of fee entry causes fee distribution amounts to be modified, transfer group of cases to another division) and vice versa. Include user ID, date and time of change in the audit trail. Generate appropriate notice.	Adop
A.3.1.6	Create register/docket entry based on the electronic data transmission from other functions and/or systems (e.g., Create docket entry automatically when documents are filed or other events, notices, warrants, and orders are captured by the system).	All
A.3.1.7	Link and display information on register/docket entries for events related to current register/docket entry (e.g., opposition motion would be linked to original motion filed; new motion filed would be linked to all pending motions in case, with information displayed on factors involved and pending decisions). Link and display related events with appropriate register/docket entry.	All
A.3.1.8	Allow users to insert a specific event or action at a specific location in the register/docket.	All
A.3.1.9	Permit deletion/voiding of specific register/docket entries and all related data with explanation based on security level. Record on audit trail.	All
FR1.8	The application distinguishes between the received, lodged, and filed dates of documents. The application provides a means to enter these fields but it should not be mandatory.	All

A.3.2 Recordkeeping

Subfunction		Module
A.3.2.1	Provide association and substitution of attorney capabilities.	All
A.3.2.2	<p>Provide case consolidation capabilities:</p> <ol style="list-style-type: none"> 1. Merge multiple case numbers into a lead/master case number. 2. Enter dispositions on non-lead case numbers and restrict further entry, except for user at appropriate security level. 3. Deconsolidate cases. 4. Update case status on the underlying cases and the lead/master case. 5. Copy each complaint/petition and parties from the underlying cases to the lead/master case. 6. Copy minute order entry across consolidated/related cases. 7. If judgment exists, copy each judgment record. 	All

Subfunction		Module
	<ol style="list-style-type: none"> 8. If outstanding trust exists, copy each trust record and corresponding trust detail and create audit trail. 9. Move future hearings from underlying cases to lead/master case. 10. Enter dates older than complaint/petition date in lead/master case. 11. Copy any and all entries from underlying cases to the lead/master case. 12. Cross-reference/consolidate cases across litigation type. 13. Copy and print lead/master case register of action that will distinguish lead/master complaint/petition from underlying complaints/petitions and also distinguish lead/master actions/minutes from action/minutes on underlying cases. 	
FR2.3	Allow operators to unconsolidated cases.	
A.3.2.3	Provide case transfer capabilities: <ol style="list-style-type: none"> 1. Transfer in/out of county or from district-to-district. 2. Transfer from one court location to another 3. Flag case appropriately. If transferred in, count as pending; if transferred out, count as a disposition. 4. Generate transfer notice. 	All Dep
A.3.2.4	Provide case reclassification capabilities: <ol style="list-style-type: none"> 1. Reclassify from limited to general jurisdiction and vice versa. 2. Flag case appropriately so it is counted correctly. 3. Generate reclassification notice (CCP 403.020) 	Civ SmCl
A.3.2.5	Provide case coordination capabilities: <ol style="list-style-type: none"> 1. Coordinate in/out of county or from district-to-district. 2. Flag case appropriately so it is not included in pending count. 3. Generate coordination notice. 4. Allow court to track time and fees and calculate expenses for reimbursement. 	Civil Prob Fam Dep
FR2.6	Support entry of an unlimited number of notes regarding a case, which can be viewed by staff members with the appropriate security level.	All
A.3.2.6	Provide the ability to make all or specified information inaccessible on sealed cases; reflect sealing order on the register.	All
FR2.7	Cross-reference cases. Enable multiple external case numbers or tracking codes assigned to a case.	All

Subfunction	Module
A.3.2.7 Assign/maintain internal file numbers for designated matters.	Adop Fam Prob Dep Del
A.3.2.8 Automatically assign new internal file number when case is referred from the courtroom if internal case number does not exist. Cross-reference court case file number.	Adop Fam Prob Dep Del
A.3.2.9 Record fee waiver requests. Enter and track full or partial fee waiver information for each filing of each associated party. <ol style="list-style-type: none"> 1. Track due date for fee payment. 2. Track party filing waiver for future reference and/or collections. 3. Report overall amounts waived; include negative distribution. 4. Link to any fee-generating document. 5. Link to judgment, writ of execution, and satisfaction of judgment functions. 	Adop Civil Fam Prob SmCl Del
A.3.2.10 Enter and track bankruptcy and stay orders; prevent judgments while party in bankruptcy; stop collections when in post judgment status; flag to identify that case and/or party is in bankruptcy.	Civil Fam SmCl
A.3.2.11 Enter and track jury fees on a case: <ol style="list-style-type: none"> 1. Track depositor. 2. Amount per case and date deposited. 3. Refunds/applied to earned jury fees/release to State. 	Civil Prob
A.3.2.12 Enter and track trust deposits on a case: <ol style="list-style-type: none"> 1. Track depositor. 2. Amount per case and date deposited. 3. Distribution. 	Civil Fam Prob SmCl
A.3.2.13 Enter and track sanctions on a case: <ol style="list-style-type: none"> 1. Track sanctions ordered against attorneys and parties <ul style="list-style-type: none"> – amount per case. – amount per party. – amount per attorney. 2. Process time payments for sanctions. 	Civil Fam Prob SmCl Dep

Subfunction	Module
A.3.2.14 Enter and track reporter’s fees that are reimbursable from the State system.	Civil Fam Prob
A.3.2.15 Enter request for entry of default and defaults. Provide ability to reject requests for entry of default/default judgment and capture reason for rejection.	Civil Fam
A.3.2.16 Enter and track ADR information about proceeding. Nominate, then select or randomly assign potential neutral according to Section A.1600 of the California Rules of Court. Define conflicts of interest based on relationship of potential neutral to parties to the case. Track neutral.	Civil Fam Prob
A.3.2.17 Enter and track multiple petitions via a single case number.	Adop Fam MH Probate Dep Del
A.3.2.18 Maintain the following case information, including but not limited to: 1. Guardian type (relative, non-relative). 2. Contested (Y/N). 3. Estate Value. 4. Social Security Number (SSN) of Guardian/conservator, Ward/conservatee and spouse. 5. Guardianship/Conservatorship Private Professional Conservator (PPC). 6. Date of birth. 7. Date of death. 8. Letters issued (with due dates and pending status for all reports due). 9. Inventory and appraisal due date, received date, status. 10. Bond/cash deposit. 11. Court investigator. 12. Next Investigation event, date and time. 13. Nursing homes and hospitals cross-referenced by ward/conservatee and guardian/conservator. 14. Fee billing data	Prob

Subfunction	Module
<ul style="list-style-type: none"> - Date of service per fee schedule. - Description of service rendered. - Hours billed. - Location of service. - Total paid per order. - Mileage. 	
<p>15. Blocked account information</p> <ul style="list-style-type: none"> - Name of depository. - Dollar amount of deposits and withdrawals. - Dates of deposits and withdrawals. 	
<p>A.3.2.19 Enter and track the following guardianship/ conservatorship auditor information, including but not limited to:</p> <ol style="list-style-type: none"> 1) Action code and date. 2) Court ordered due date. 3) Guardian/conservator name. 4) Report type. 5) Guardian/conservator number. 6) Due date. 7) Extension date. 8) Date audit received. 9) Audit fee. 10) Audit date. 11) Audit time. 12) Auditor. 13) Status (e.g., pending). 14) Previous status date. 15) Non-compliance codes. 16) Status posting date. 17) Unlimited audit notices. 	Prob
<p>A.3.2.20 Enter and maintain the following party information, including but not limited to:</p> <ol style="list-style-type: none"> 1) Guardian education. 2) Credit check. 3) Social Security number. 4) Marital status. 	Prob

Subfunction	Module
5) Race. 6) Relationship to guardian/conservator. 7) Place of birth. 8) Secondary address and telephone. 9) Notes/comments. 10) Data letter sent.	
A.3.2.21 Provide ability to delete an entire case and/or renumber the case based on user level, and produce an audit trail. Provide warning if financial information is associated with the case.	All
A.3.2.22 Provide ability to strike a complaint/petition and cross complaint (partial/entire).	All
A.3.2.23 Provide ability to void a filing. Should also be able to reverse the void.	Adop Civil Fam Prob SmCl

A.4 SCHEDULING FUNCTION

Description: The activities associated with scheduling upcoming events, maintaining and displaying information on scheduled events, and monitoring adherence to schedules. Scheduling contrasts with docketing in that scheduling addresses events that are not yet calendared and have not happened, while docketing addresses completed activities.

Courts schedule the following two basic types of events: (1) when a case is filed, courts may set deadlines for specific events (e.g., first answer); (2) as the case progresses, other deadlines are established for submission of documents (e.g., affidavits) and the completion of other actions (e.g., submission of exhibits). These deadlines – often in accordance with standard time intervals – define the schedule within which the case moves to disposition. Courts also schedule trials and other judicial proceedings (e.g., motion hearings, conferences aimed at pretrial settlement) and events such as mediation or arbitration.

Subfunctions: Within the Scheduling Function, the subfunctions are grouped into Schedule Creation, and Ticklers and Other User Alerts and Prompts.

A.4.1 Schedule Creation

Guidelines must be established regarding issues such as what to schedule, what conditions trigger scheduling, and how to schedule multiple entities (e.g., events, parties, cases) that relate to each other. The system should automate the scheduling process for future hearings and events.

Subfunction	Module
A.4.1.1 Create and maintain a schedule, including but not limited to: 1. Judicial officers. 2. Staff (e.g., mediators, facilitators). 3. Court facilities (e.g., courtroom).	All
A.4.1.2 Make uniform changes to schedules for user-designated time periods. Assign holidays to calendars for judges, courtrooms, departments and resources.	Fam Prob Dep
A.4.1.3 Automatically schedule events and groups of events based on user-defined rules such as business rules, legislation and/or other local rules of court, and link with ticklers as defined by user (e.g., after case filed, set deadlines for service of summons, return of service, and filing of answer). Allow for hearings to be scheduled at the time of filing. Alert clerk when quotas have been filled. Provide ability to override/modify. Generate appropriate notice.	All
A.4.1.4 Allow for automatic scheduling of events based on a Judge's or department's predefined daily workload consisting of the category, type, and number of events that can be scheduled at one time slot per day, as well as minimum and maximum number of days in the future that an event can be scheduled. Consider the holidays, weekends, dark courtrooms and other criteria. Provide ability to override/modify with appropriate security.	All
A.4.1.5 Identify and display available court calendar events and dates within defined criteria and suggested future hearing dates according to hearing types, orders, etc. Schedule future hearings accordingly. Provide ability to override/modify with appropriate security.	All
A.4.1.6 When scheduling, alert the user to all outstanding hearing dates in any of the court departments. This alert should be configured as "optional" by case type.	All
A.4.1.7 Allow multiple cases and events to have same scheduled date, time and department. Allow multiple events to be scheduled for the same date, time and department.	All
A.4.1.8 Prompt user to schedule cases/parties/minors related to the case being scheduled. Provide ability to schedule related cases/parties/minors in a single operation when applicable and group them together on the calendar.	All
A.4.1.9 Apply specific change to multiple schedules for group of cases as if group were single case.	All
A.4.1.10 Schedule maximum number of cases according to event type (e.g., hearing) and user-defined time period before the scheduled event. Provide ability to override/modify with appropriate security.	All
A.4.1.11 Generate alert when approaching maximum number of events normally permitted on schedule.	All

Subfunction	Module
A.4.1.12 Continue scheduled events to future date. Calculate and display continuance number for each event, reason for continuance and party requesting continuance. Display continued from date. Provide the ability to automatically limit the number and length of continuances based on business rules. Allow for ability to override limited number and length of continuances.	All
A.4.1.13 When a subsequent pleading/petition is filed, schedule case for original judicial officer/department unless an affidavit has been filed. Provide for the capability to specify a judicial officer/department “for all purposes” when scheduling/calendaring.	All
A.4.1.14 Allow for unlimited changes of available appointment dates, times, and durations.	Fam Prob Dep
A.4.1.15 Reschedule, delete, and/or vacate hearing or event and capture reason.	All
A.4.1.16 Reserve date and time of specified events for cases.	Civil Fam SmCl
A.4.1.17 Link/display specified parties, party type, and attorneys to scheduled event.	All
A.4.1.18 From the courtroom, provide the ability to electronically refer a case to, and schedule an appointment with, a Family Law Mediator/Child Custody Evaluator/Facilitator.	Fam Dep
A.4.1.19 Allow appointment setting to include the following information: 1. Appointment day, date, and time.	Fam Prob Dep
<ol style="list-style-type: none"> 2. Name of parties and attorneys. 3. Party that is requesting, changing or canceling appointment. 4. Telephone numbers of parties (business and home) and attorneys. 4. E-mail address of parties/attorneys. 5. Fax number of parties/attorneys. 6. Other persons. 7. Types of mediation appointments: examples include, but are not limited to, child custody, grandparent visitation, guardianship, conservatorship, dependency. 8. Names of children. 9. Birth dates of children. 	

Subfunction	Module
10. Ages of children. 11. Appointed mediator, if available. 12. Previous mediator. 13. Previous date of mediation (allow multiple dates). 14. Temporary Restraining Orders filed. 15. Court interpreter. 16. Special conditions: shuttle mediation, co-mediation, separate mediation appointments.	
A.4.1.20 Schedule, reset, continue, cancel, and track parties' appointments for Family Law Mediation, Mediation, Orientation, Child Custody Evaluations and Facilitator.	Fam Prob Dep
A.4.1.21 Set appointments based on the schedule of mediators/conciliators/facilitators and/or location schedules.	Fam Prob Dep
A.4.1.22 Maintain and display information on scheduled events, persons and court facilities (e.g., courtroom) and provide ability to print each schedule upon user request (e.g., next scheduled event, all scheduled events, judicial officer's calendar by day). Interface with register/docket to view past events.	All
A.4.1.23 Provide the ability to generate and print schedules, case lists, reports, and notices according to user-defined time frames.	All
A.4.1.24 Assign and re-assign individual cases and groups of cases randomly as follows: <ol style="list-style-type: none"> 1) According to pre-defined rules (e.g., by case category, by case status, by hearing type, by judge rotation policies, by judge caseload balancing policies) and time periods. 2) According to existence of specific conditions (e.g., conflict of interest). 	All
A.4.1.25 Transfer the pending caseload of an attorney/ research attorney / probate attorney to another attorney in a single function. Transfer should update various data fields in addition to creating minute orders.	Fam MH Prob Dep Del

A.4.2 Ticklers and Other User Alerts and Prompts

The system should generate ticklers, other alerts, and prompts to inform users of impending or expired schedule deadlines, of completed scheduled events, and of required scheduling actions that relate to the current activity.

Subfunction	Module
A.4.2.1 Provide tickler capability. Identify events coming due or overdue, periods about to expire or expired (e.g., first answer due), completed events, events of which user should be aware based on locally-defined needs (e.g., approaching maximum number of continuances). Prompt or notify users. Initiate proper functions (e.g., generate notice regarding potential default).	All
A.4.2.2 Allow user to define case flags including, but not limited to the following: 1) CCP 170.A. 2) Recusals. 3) Vexatious litigants. 4) Warrants. 5) User-defined. 6) Attorney status. 7) Non-stipulation. 8) Age of case in number of days. 9) Submitted case flag. 10) No future hearing dates scheduled.	All
A.4.2.3 Prompt user to schedule pre-defined related cases (e.g., other complaints regarding same problem).	All
A.4.2.4 Conduct locally-defined checks to ensure case should be accepted by court and display results (e.g., link with vexatious litigant file and to Non-Sufficient Fund (NSF) file).	All
A.4.2.5 Provide validation routines to warn against entering actions before prerequisite actions have been fulfilled. Block action only where appropriate. Schedule must allow for ex-parte or “walk-ins” to be added to calendar and for confidential cases.	All
A.4.2.6 Verify/validate requirements for filing of answers, requests for trial setting, requests for entry of default, and judgments. Reject based on deficiencies and/or untimeliness. Record deficiencies, and print notice listing deficiencies.	Civil Fam
A.4.2.7 Track document service, return of service, re-service if necessary, and any other events.	All
A.4.2.8 Provide indicators and/or warnings including, but not limited to, cross	SmCl

Subfunction	Module
complaint filed, small claims case where prayer exceeds the jurisdictional amount, two small claims filings by same party where prayer exceeds a designated amount in a calendar year, and small claims case where same party has filed more than a specified number of cases in the previous 12 months. Link with case initiation.	
A.4.2.9	Create, maintain, display and print administrative or clerk’s calendar that shows all cases with action pending within specific date range (e.g., shows upcoming events to help clerk with work prioritization and management). Update calendar when pending actions completed.
All	

A.5 DOCUMENT GENERATION AND PROCESSING

Description: The activities associated with generating, distributing, and tracking documents that notify persons of past and upcoming events and other court actions. The categories of documents in this section are (1) those that typically require service in-person or by mail such as summons or complaints that the court helps litigants complete and serve, and (2) those that do not require service such as notices and letters to inform persons of scheduled or canceled hearings.

Many of these documents contain court seals and standard text into which the text and data that pertain to a specific case are inserted and signatures are affixed. The case management system allows users to create, store, and maintain forms – or templates – that contain standard, “boilerplate” text and may be imaged to permit court seals and signatures. When users need to complete one of these forms, the system accesses the appropriate template and the user inserts the text and data for a given case. The documents may be generated automatically following a specific event (e.g., notices to specific parties and participants when hearings are scheduled) or result from a user entry (e.g., civil bench warrants), and they may be either printed and distributed manually, or distributed electronically.

A.5.1 Subfunctions

Subfunction	Module
A.5.1.1	Allow users to create and maintain files of templates and standard text, including entire paragraphs, and use files to create official court documents by inserting text into templates (e.g., DMV abstracts, warrants). Allow users to create other documents consisting of only text.
FR2.4	Allow worksheet templates and checklists to be: <ol style="list-style-type: none"> 1. User defined. 2. Retrieved by document type. 3. Retrieved by hearing type. 4. Edited online. 5. Automatically update case records accordingly.
A.5.1.2	Relate each template and text to documents and court events in which they are used.
All	

Subfunction	Module
A.5.1.3 Provide capability to retrieve information(e.g., judgment information, addresses of attorneys, parties, and participants who should receive specific documents) from various locations in system and database to facilitate the preparation of the document with minimal data entry required.	All
A.5.1.4 Automatically generate notices/orders/documents with ability to override. When required, notify appropriate parties that filings, pleadings, and other documents have been received and accepted. Update register of actions/docket.	All
A.5.1.5 Generate completed forms and notices, including but not limited to the following: <ol style="list-style-type: none"> 1. Abstract of Judgment. 2. Assignment Notice re: Bench Officer/ Courtroom. 3. Bail Forfeiture Notice. 4. Bond status, including forfeiture, exoneration, reinstatement, fees due for reinstatement, summary judgment, or nay notice required based on the case status or case entries. 5. Certificate of Satisfaction of Judgment. 6. Claim of Right to Possession. 7. Clerk's Application. 8. Clerk's Certificate of Service. 9. Clerk's Notice of Default on Appeal. 10. Clerk's Notice of Entry of Judgment. 11. Court Report of Adoption. 12. Customized forms/letters. 13. Declaration of Mailing. 14. Defendant's Claim and Order. 15. DL-30 form. 16. Entry of Judgment Worksheet. 17. Final Status Conference Worksheet. 18. Hold re: issuance. 19. Hold re: recall. 20. Judgment After Trial De Novo on Appeal. 21. Law and Motion worksheet. 22. Mandatory Settlement Conference/Worksheet. 23. Minute Order and Clerk's Notice. 24. Minute Order Small Claims Appeal-Trial De Novo. 25. Minutes - Civil Trial. 26. Minutes - Jury Trial. 27. Minutes - Juvenile. 28. Miscellaneous Minutes. 29. Motion for Time Payments/Clerk's Notice form. 30. Motion to Vacate Judgment/Clerk's Notice form. 31. Multipurpose motion/Clerk's Notice form. 32. Declaration of Non-Military Service/Request for Dismissal/ Request to 	All

Subfunction	Module
<p>Reset.</p> <p>33. Notice of Appeal/Notice of Filing Notice of Appeal.</p> <p>34. Notice of Appointment.</p> <p>35. Notice of Assignment.</p> <p>36. Notice of Continuance re: Hearing/Trial.</p> <p>37. Notice of Entry of Judgment.</p> <p>38. Notice of Hearing.</p> <p>39. Notice of Transfer.</p> <p>40. Notice of Trial De Novo/Hearing.</p> <p>41. Notice of Trial/Hearing.</p> <p>42. Notice of Unlawful Detainer Filing.</p> <p>43. Notification of Dependency.</p> <p>44. Notification of Subsequent Action.</p> <p>45. Nunc Pro Tunc Order.</p> <p>46. Order of Dismissal.</p> <p>47. Order of Referral - Arbitration.</p> <p>48. Order on Clerk's Application.</p> <p>49. Order on Motion for Time Payments.</p> <p>50. Order on Motion to Vacate Judgment.</p> <p>51. Order re: Claim of Exemption.</p> <p>52. Order to Appear for Examination.</p> <p>53. Order to Show Cause Questionnaire/ Worksheet forms.</p> <p>54. Order Staying/Recalling Writ.</p> <p>55. Plaintiff's Claim and Order.</p> <p>56. Reassignment form re: Bench Officer/ Courtroom.</p> <p>57. Receipt for Record.</p> <p>58. Reject forms.</p> <p>59. Request for Audit Information.</p> <p>60. Statement of Rights Notice.</p> <p>61. Status Conference Questionnaire/ Worksheet forms.</p> <p>62. Trial Setting Conference/Worksheet.</p> <p>63. Verdict.</p> <p>64. Waiver of Court Fees and Costs.</p> <p>65. Waiver of Court Fees and Additional Costs.</p> <p>66. Warrant/hold re: Issuance.</p> <p>67. Warrant/hold re: Recall.</p> <p>68. Writ of Execution/Possession/Sale.</p>	
<p>A.5.1.6</p> <p>Provide ability to generate the appropriate numbers of notices, orders and other documents, and address to only applicable parties: All or selected parties including active parties, third parties, and interested parties who are not party to action and need no disposition. Generate a single notice for attorneys who represent multiple parties.</p> <p>Produce a file copy listing the names and addresses of all parties noticed.</p>	<p>All</p>

Subfunction	Module
A.5.1.7 Merge names and addresses into standard notices, letters, and forms. Provide ability to add, modify and delete names and addresses.	All
A.5.1.8 Provide ability to mask confidential information on notices and other documents.	All
A.5.1.9 Provide ability to distribute data and documents electronically via electronic mail and fax (e.g., documents to be served to process server; notices and other non-served documents to litigants and attorneys; notices; warrants) and to receive responses electronically (e.g., return of service).	All

A.6 CALENDARING FUNCTION

Description – The activities associated with the creation of calendaring matters including the generation, maintenance, and manual and electronic distribution of court calendars for each type of hearing (e.g., jury trial, non-jury trial, motion hearing) or settlement conference. ADR events, such as mediation and arbitration, have also been included as part of the calendaring function. Calendaring, therefore, encompasses all proceedings in which arguments, witnesses, and evidence are considered by a judicial officer or administrative body in court events.

Calendaring has two connotations. First, it refers to the placement of a matter within a single case or a group of cases treated as a single case. Second, the calendar refers to a list of all matters that will be heard or considered by the court. From another perspective, the calendar can be characterized by a particular case type or category (e.g., law and motion), all matters set for a particular courtroom on a given day or over a range of days, or all matters set for all judicial officers of a trial court on a given day or over a range of days.

Subfunctions: Within the Calendaring Function, the Subfunctions are grouped into Calendar Creation and Calendar Management.

A.A.1 Calendar Creation

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

Subfunction	Module
<p>A.A.1.1 Generate, display, maintain and print calendars as follows:</p> <ol style="list-style-type: none"> 1. Provide case information defined by users on the creation/generation of calendars in multiple formats. 2. Generate individually or in batch according to various sort criteria. 3. Base content and format on scheduling information for each type of hearing (e.g., jury trial, non-jury trial, motion, conference, etc.) or mixed hearings (e.g., motions and settlement conferences). 4. Generate for single or multiple sessions, for a specific day or range of days (e.g., daily, weekly, monthly), as specified by user. 5. Generate calendar number when specified. 6. Maintain calendar number when specified. 7. Allow order by case number (e.g., descending from old case prefix number), by hearing type, by alpha index, and by charges filed as defined by user. <p>Provide interfaces to other parts of system to access other types of information.</p>	All
<p>A.A.1.2 Generate, maintain, display, and print administrative or clerk's calendar that shows all cases with action pending within a specific date range (e.g., shows upcoming events to help clerk with intra-office work prioritization and management), and update calendar when pending actions completed.</p>	All
<p>A.A.1.3 Display, generate, maintain and print a calendar with an option to show all past or future events scheduled or to show designated events for a case in addition to the hearing for which the calendar was printed.</p>	All
<p>A.A.1.4 Automatically delete specific scheduled future events when appropriate requirements are met (e.g., delete future calendars when entire case is dismissed).</p>	All
<p>A.A.1.5 Provide ability to move cases between calendars in mass or by selected items, by case type, date range, division/department, etc.).</p>	All
<p>A.A.1.6 Display or print a list of matters that were previously scheduled, but have been taken off calendar.</p>	All
<p>A.A.1.7 Append calendar with "Add-On" cases. Provide ability to sequentially assign a calendar number based on last calendar number assigned.</p>	All
<p>A.A.1.8 Provide ability to move cases between calendars in mass or by selected items, by case type, date range, division/department, etc.</p>	All
<p>A.A.1.9 Transfer easily and quickly between scheduling, calendaring, and other parts of system when creating calendars (e.g., to view information on other cases, parties, and participants).</p>	All

A.A.2 Calendar Management

Between the time the calendar is created and the hearing date, the system is utilized to perform various calendaring functions, such as finalizing the calendar at a prescribed cut-off point, printing the calendar, distributing it, and producing summary reports.

Subfunction	Module
A.A.2.1 Provide ability to distribute calendars: 1. Electronically to other agencies, Internet, kiosks and other public posting media. 2. To designated printers. 3. To designated terminals.	All
A.A.2.2 Mask confidential items on specified calendars (e.g., calendars available to the public).	All
A.A.2.3 Display related cases/cross-reference information and hearing date on calendar across litigation types.	All

A.7 HEARING FUNCTION

Description - The activities associated with recording the results of calendared events and notifying parties of court decisions. In the context of this document, calendared events include all proceedings in which arguments, witnesses, or evidence are heard by a judicial officer or administrative body. This encompasses court events, such as trials and motion hearings, conferences aimed at pre-trial settlement and ADR events, and appointments with special court services units (e.g., Family Law Mediation, Child Custody Evaluations, Facilitator, Probate Investigations).

Minute entries and court orders reflect judicial findings and hearing results. A minute entry may generate another activity, event or document.

Subfunctions - The hearing subfunctions accommodate various types of hearings and ADR events (e.g., jury trial, non-jury trial, motion hearing, mediation, arbitration).

A.7.1 Subfunctions

Subfunction	Module
A.7.1.1 Relate individual judges and groups of judges and staff to courtrooms, locations, departments, court staff (e.g., clerk, reporter, bailiff), and case management tracks over permissible assignment time frames as defined by user (e.g., in court with rotating judge assignments, a specific judge hears small claims cases in a particular courtroom during a given month).	All
A.7.1.2 Track the attendance of parties at hearings and appointments.	All
A.7.1.3 Provide for minute entry functionality and storage.	All

Subfunction		Module
A.7.1.4	Provide for producing real-time minute orders in high and low volume courtrooms using macros, pre-defined codes, and/or free-form text, or other means.	All
A.7.1.5	Provide for word processing capability for minute order production from within the program. Provide the ability to import text from an external document.	All
A.7.1.6	Produce worksheets, calendars, and other documents suitable for on-line, rapid, in-court minute entry.	All
A.7.1.7	Generate, display and print worksheets, calendars, and other documents suitable for manually recording minutes.	All
A.7.1.8	Provide that basic information, such as courtroom staff, case name, complaint/petition caption/description and party names (e.g., petitioner and attorney) automatically carry over to the minute order.	All
A.7.1.9	Provide a method for the clerk to view, print preview, and modify sections of the minute order and/or the entire minute order, page by page, prior to committing and/or printing the minute order.	All
A.7.1.10	Create one or multiple minute orders for multiple parties and hearings calendared on the same day. Allow for automatic continuation and/or disposition of those hearing events where minutes will not be entered.	All
A.7.1.11	Create the original minute entry and save as an unmodifiable record and cross-reference it to any updates.	All
A.7.1.12	When the original minute order is brought up, notify the user that there is an order that amends the order that is being viewed.	All
A.7.1.13	Provide for Nunc Pro Tunc processing (e.g., amend, strike, add or otherwise modify a record of the Court).	All
A.7.1.14	Create, maintain, and transfer bench notes (e.g., judge's notes and comments for use with calendar) for viewing by designated parties in accordance with local rules and statutes.	All
A.7.1.15	Provide the ability to produce a tentative ruling/probate note.	All
A.7.1.16	When a motion is scheduled, allow system to retrieve tentative ruling/probate note information and incorporate into the minute order entry. Provide ability to view electronically.	Civil Fam MH Prob Dep Del
A.7.1.17	Link Motion to Tax with Cost Bill and provide ability to modify or strike items listed on the Cost Bill.	Civil Fam SmCl
A.7.1.18	Record an event outcome for each party/petition on calendar.	All
SD376	Provide clerk with the ability to record disposition and referral information.	All
A.7.1.19	Electronically refer cases from the courtroom to Family Law Mediation/Child Custody/ Facilitator/Probate Investigator/Dependency Mediation units. Transfer pertinent case information.	Fam Prob Dep

A.7.1.20	<p>Perform calculations, including but not limited to:</p> <p>Date of jurisdiction based on date and method of service. Default date based on date of jurisdiction. Total costs, fines and fees. Support amount based on user-defined requirements (e.g., Dissomaster functionality). Amount of daily interest on judgments and child/spousal/family support amounts not paid.</p> <p>Number of days detained on current and prior petitions.</p> <p>Date marital status terminates.</p> <p>Display results.</p>	All
A.7.1.21	<p>Enter and track information, including but not limited to:</p> <p>Mediators/ Investigators/Probate Investigator/Dependency /Facilitators assigned to each evaluation/investigation. Orders and orders after hearing. Support data. Restraining order data. Placement of ward/conservatee. Detention status. Bail amounts. Guardianship/conservatorship review order information. Guardianship/conservatorship rights over person, estate, or both.</p>	All
A.7.1.22	Record and track terms and conditions of probation. Provide for probation violation capabilities.	Del TrIn TR Del
A.7.1.23	<p>Allow for issuance of warrants/attachments:</p> <p>When a case has not yet been filed When a case already exists.</p>	Civil Fam SmCl Dep Del

A.8 CASE DISPOSITION AND POST-DISPOSITION FUNCTIONS

Description: The activities associated with disposing of all or part of a case (e.g., petitions, complaints) or individual parties in a case due to a judgment, order, mediation, arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation.

It should be noted that in Family Law, Probate, Mental Health, and Juvenile matters, the disposition of complaints and petitions does not always constitute a disposition of the case.

The judgment form created at case disposition contains information such as judgment amount, debtor information, creditor information, and payment provisions. Exchange of judgment information may occur with (1) other governmental units at the federal, state, and local levels (e.g., sheriff for garnishments and court orders); (2) private organizations (e.g., credit reporting companies and collection agencies); and (3) other users (e.g., attorneys, litigants). During the post-judgment period, unless follow-up action is required, courts normally track judgment payments reactively as information becomes available (e.g., in memoranda of credit or garnishment of return).

A.8.1 Subfunctions

The disposition subfunctions could apply to entire cases, individual parties, individual petitions or individual causes of action or cross-actions.

Subfunction	Module
A.8.1.1 Dispose of entire cases, parties, minors, complaints, and cross-complaints, individually or in mass. Provide ability to dispose of all charges, allegations, enhancements.	All
A.8.1.2 Record disposition type (i.e., type of judgment) including those involving entire cases, individual parties, minors, and cross complaints.	All
A.8.1.3 Provide ability to enter a different disposition for each minor on a case.	Dep
A.8.1.4 Process information (e.g., update register/docket and other records) and produce documents for dispositions (i.e., judgments) by trial, mediation, arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation.	All
<p>A.8.1.5 Allow judgment information to be entered for/against one or more parties. Block the entry of a judgment if entire case is disposed. Provide ability to enter and generate all judgment types, including but not limited to:</p> <ol style="list-style-type: none"> 1. Bail Forfeiture. 2. Claim and Delivery. 3. Confession of Judgment. 4. Court Trial. 5. Default Judgment by Court/Clerk. 6. Failure to Appear. 7. Joint Debtor. 8. Jury Trial. 9. Labor Commission. 	Civil Fam SmCl

Subfunction	Module	
<ol style="list-style-type: none"> 10. Mechanics Lien. 11. Sister State. 12. Employment Department Summary Judgment. 13. Stipulation/Judgment. 14. Summary Judgment - Civil. 15. Judicial Arbitration. 16. Various Verdicts. 17. Worker’s Compensation Judgment. 18. Contested Judgment. 19. Default. 20. Provide ability to track and maintain sentence information. 21. Maintain and track all types of sentences and terms of probation for each party and each charge within a case. 22. Capture and track if sentence is consecutive or concurrent to other charge(s) in the case or other case(s). 		
A.8.1.6	<p>Allow for multiple judgments in cases involving multiple parties.</p> <p>Provide the ability to maintain separate disposition for each party/defendant and for each charge/cause of action.</p>	<p>Civil Fam SmCl Dep</p>
A.8.1.7	<p>Provide ability to vacate, set aside, amend or otherwise modify judgments and dismissals of complaints and/or cross complaints. Update records.</p>	All
A.8.1.8	<p>Provide ability to maintain, display and print the original and subsequent dispositions and judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party.</p>	<p>Adop All</p>
A.8.1.9	<p>Enter and track post-judgment documents including, but not limited to, the following:</p> <ol style="list-style-type: none"> 1. Abstracts. 2. Partial and Full Acknowledgments of Satisfaction of Judgment. 3. Appeals. 4. Declaration of Accrued Interest. 5. DL-30. 6. Memorandum of Costs. 7. 8. Application for Order and Appearance for Examination (ORAPS). 9. Renewals of judgment. 	<p>Civil Fam SmCl</p>

Subfunction	Module
<ul style="list-style-type: none"> 10. Writs of Execution/Possession. 11. Writ returns. 12. Track post-disposition events (e.g., writs, abstracts, enforcement requests, satisfactions). 13. Provide capability to notate partial work service completion. 14. Provide ability to capture abstract errors and/or exceptions for processing. 15. Provide tracking for abstracts to indicate that an abstract was sent, what was on the abstract, the date the abstract was sent. 	
<p>A.8.1.10 Process information and produce documents on post-judgment/disposition activities (e.g., writ of execution, abstract of execution).</p>	All
<p>A.8.1.11 For judgments, writs of execution, abstracts, DL-30s, calculate the following by party and apply credits, additional costs, and/or interest:</p> <ul style="list-style-type: none"> 1. Principal/rent damages. 2. Exemplary damages. 3. Punitive damages. 4. Attorney fees/calculation of attorney fees. 5. Costs. 6. Interest - computed/installments. 	Civil SmCl Fam
<p>A.8.1.12 Permit multiple writs per party, where appropriate, and track and control the number of writs issued to each county per person; track and control writ returns (e.g., partials, wrong county, ability to enforce, etc.).</p>	Civil Fam SmCl
<p>A.8.1.13 Track appeals, including but not limited to:</p> <ul style="list-style-type: none"> 1. Track by case or specific orders. 2. Generate appeal transcript. 3. Index appeal transcript in chronological and alphabetical order. 4. Process appeals before judgment. 5. Calculate dates from judgments and other case events. 6. Provide noticing functions. 7. Track and generate time lines associated with appeals. 8. Record results of appeals. 9. Track parties, appellate attorneys and attorney fees. 10. Calculate and track age based on days under the court's control, based on filing dates and appellate decisions. 11. Store receipt for records on the appeal. 12. Calculate fees for transcripts and store payments for transcripts. 	All

Subfunction	Module	
13. Record number of volumes. 14. Record the name of the staff person assigned to appeal. 15. Generate list of reporters and dates of assignment. 16. Provide designation of record functionality. 17. When an appeal, or an "augment" to an appeal or a writ is filed, print all case documents relevant based on set business rules. Sequential page numbering must be provided for on each printed page of case output, and corresponding index must be generated. An augment will require a new index and the page numbering of case printout, which will start over at page 1 and include only the data required by the augment. System algorithms should be used to assist in determining what information is to be included (i.e., chain through continued hearings) on appeal packets. 18. Print case index, both alphabetically and chronologically, for appeals and transfer purposes.		
A.8.1.14	Provide ability to electronically transmit records to the Department of Motor Vehicles (DMV) and to update DMV records.	Del TrIn
A.8.1.15	Provide ability to electronically transmit records to the Department of Justice (DOJ). Collect and electronically transfer sentencing and post-sentencing data to the California Department of Justice (DOJ). Meet the requirements as specified in the State of California, Department of Justice, Electronic Disposition Reporting Manual.	Del TrIn
A.8.1.16	Provide ability to electronically transmit records to the California Youth Authority (CYA), Human Services Agency (HAS), Dependent Children's Advocates (DCA), and other agencies as needed.	Del TrIn

A.9 CASE CLOSE FUNCTION

Description: The activities associated with final closure of a case.

Case closure normally occurs when the case is disposed, which usually means the court has issued a final order disposing all parties and all issues and has statistically closed the case. However, case closure and disposition may be separate. Case closure seldom causes a case to be removed from the case processing system and placed in an archive file. Cases are archived according to state and local records management policies, and at this point the case becomes operationally closed. The Case Close Function addresses statistical closure, not the operational closure (i.e., the closure that relates to archiving).

Subfunctions - The case close subfunctions would either be performed separately in the Case Close Function or in a continuum consisting of the Disposition Function and the Case Close Function.

A.9.1 Subfunctions

Subfunction	Module
A.9.1.1 Receive information from Disposition Function and record reason for closure (e.g., case disposed after trial, ADR such as mediation or arbitration, settlement, transfer to another jurisdiction, or consolidation).	All
A.9.1.2 Close case (e.g., update register/docket; generate required forms, notices, reports for that case).	All
A.9.1.3 Provide ability to reopen closed cases. System should recognize/maintain the prior/original case.	All
A.9.1.4 Generate overall case closure reports (e.g., cases closed over specific period with reason closed and other information such as uncollectible obligation balance).	All
A.9.1.5 Provide ability to automatically close conservatorship/guardianship cases in event of death of conservatee/ward after final accounting is filed and approved by Court.	Prob

A.10 ACCOUNTING - GENERAL FUNCTIONS

The following accounting subfunctions are common to all of the subsequent accounting systems (11-13) and/or cannot be categorized in one of these sections.

A.10.1 Subfunctions

Subfunction	Module
A.10.1.1 Comply with generally accepted accounting principles (GAAP) for governmental entities and accounting procedures and State Court Financial Procedures.	All
A.10.1.2 Provide appropriate security for all accounting functions.	All
A.10.1.3 Allow users with the appropriate security level to enter adjustments to any data supplied automatically by system (e.g., funds distributed according to pre-determined formula): For individual transactions. At a collective fund level.	All
A.10.1.4 Support reversal of payment for returned item (NSF) in case financial history. Generate automated notice to payee/defendant with added approved fees.	All
A.10.1.5 Transfer funds from one case to another case or between accounts in a given case (e.g., to rectify error in which jury fees posted in court reporter fund).	All

A.10.1.6	Support multiple trust fund types (e.g., monies held in trust that may be disbursed upon court order or for services rendered). Perform accounting (e.g., post trust fund transactions to case; track receipts, disbursements for multiple parties, account status; accrue interest; process refunds and forfeitures). Allow for the establishment of multiple trust fund accounts. Track trust fund moneys until they are distributed.	All
A.10.1.7	Calculate compound and simple interest. Calculate accrued interest.	All
A.10.1.8	Provide the ability to spread block interest received on interest bearing accounts down to the subsidiary case level.	All

A.11 ACCOUNTING – FRONT COUNTER AND CASHIERING FUNCTION

Description: This section covers the functions performed at the cashiering station at the front counter in the clerk's office where litigants and their representatives submit payments required by the court.

Subfunctions - The subfunction groups are Funds Collection, Receipt Generation, and Bookkeeping.

A.11.1 Funds Collection

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

Subfunction	Module
<p>A.11.1.1 Permit payment to be accepted for cases filed, but not docketed completely (e.g., all data such as party names, not entered into system). Record payment by entering minimal amount of data (e.g., case number or title, name of party submitting payment, date of payment, nature of payment) as precursor to full register/docket entry.</p> <p>Allow an operator, at any point in the accounting period, to: Refund bail overpayments; Refund exonerated payments; Forfeit bail amounts; Reinstate bail amounts; Apply bail amount to payment for case.</p>	All
<p>A.11.1.2 Accept payments by various methods (e.g., cash, check, credit card, fee waiver, E-commerce, electronic funds transfer) or any combination.</p>	All
<p>A.11.1.3 Accept payments by electronic funds transfer from established accounts, while debiting accounts to cover court expenses.</p>	All
<p>A.11.1.4 Assign a fee to either a case, a party, or both.</p>	All
<p>A.11.1.5 Allow users with the appropriate security level to modify the established fee or waive fees as ordered on a case.</p>	All
<p>A.11.1.6 Compute fees based on occurrence of specific events (e.g., initial filing, motion filing).</p>	All
<p>A.11.1.7 Associate fees with non-parties (e.g., from couriers, media, third parties) 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).</p>	All
<p>A.11.1.8 Record fees, other monies collected, and related information (both case related and non-case related).</p>	All
<p>A.11.1.9 Accept multiple types of payments in a single transaction (e.g., cash, check).</p>	All
<p>A.11.1.10 Accept multiple payments for a single case with ability to process as either a single payment or separate payments.</p>	All
<p>A.11.1.11 Accept single payment for multiple cases with ability to process separately for each case.</p>	All
<p>A.11.1.12 Identify existence of fee waivers or deferrals. Display message (e.g., indigent, governmental waiver), and process appropriately (e.g., case filed but waiver deferred pending judicial review).</p>	All
<p>A.11.1.13 Permit payments to be voided and re-entered before daily balancing with proper security provisions.</p>	All
<p>A.11.1.14 Process a deposit that acts as a guarantee for payment of support.</p>	Fam Acctg
<p>A.11.1.15 Calculate bail, fines, penalty assessments, and other fees identified by city or law enforcement agency (LEA).</p>	TrIn Acctg

Subfunction	Module
A.11.1.16 Calculate clerk's transcript fees (pages per document) and generate notices. Calculate attorney's fees (Clerk's Judgment), jury, reporter, electronic recording, witness, and other required deposits.	Adop Civil Fam Prob SmCl TrIn
A.11.1.17 Provide ability to integrate case information with fiscal service billing process for Child Custody Evaluations.	Fam Acctg

A.11.2 Receipt Generation

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

Subfunction	Module
A.11.2.1 Generate and print receipts with proper identifiers (e.g., court locations, and addresses), based on collections with user option to receive single or multiple copies.	All
A.11.2.2 Provide ability to generate and distribute electronic receipts for electronic payments.	All
A.11.2.3 Generate sequential receipt numbers in a format to be defined by the user, prohibiting manual override of system receipt number.	All
A.11.2.4 Prevent cases from sharing receipt numbers; payments for multiple filings should receive one receipt number per case. Do not allow duplication of receipt number between locations.	All
A.11.2.5 Generate and print multiple receipts from one financial transaction covering multiple payments for multiple cases or purposes (e.g., attorney files and pays fees for several cases in one trip to courthouse).	All
A.11.2.6 Generate and print either a single receipt or multiple receipts from one financial transaction covering multiple payments for a single case (e.g., attorney files and pays fees for pleading, forms, and copies for given case in one trip to courthouse).	All
A.11.2.7 Permit receipts to be re-printed (e.g., if printer malfunctions during printout), with same receipt numbers, with appropriate security level.	All
A.11.2.8 Permit flexibility in dimensions (size) of receipt.	All
A.11.2.9 Provide ability for automatic check endorsement.	All

A.11.3 Bookkeeping

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

Subfunction	Module
A.11.3.1 Record and maintain front-counter bookkeeping information on receipts and disbursements (e.g., payor, payee, receipt number, case number, purpose of payment or disbursement). This should be available from information already entered into the system and not re-entered at this point.	All
A.11.3.2 Provide secure password for each cashier. Should be configurable by court.	All
A.11.3.3 Print cashier identifier code on all transactions (e.g., receipts, reports).	All
A.11.3.4 Compute totals, list transactions, receipt numbers, and balance for each cash drawer, each register, and each cashier.	Acctg
A.11.3.5 List contents of each drawer (e.g., cash, checks, credit card receipts, and money orders).	Acctg
A.11.3.6 Print summary for each cashier, including totals for each type of payment (e.g., cash, checks, credit cards receipts, fee waivers, money orders).	Acctg
A.11.3.7 List any discrepancies between payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment.	Acctg
A.11.3.8 Permit individual cashiers to open and close cashier sessions multiple times in the same day (e.g., when several cashiers work different shifts at same register).	Acctg
A.11.3.9 Allow users with the appropriate security level to close out any cashier's session.	Acctg
A.11.3.10 Suspend cashiering operations multiple times during day (e.g., close without balancing to permit lunch and other breaks).	Acctg
A.11.3.11 Permit transactions that arrive after cashier closed-out to be entered as transaction for next day.	Acctg
A.11.3.12 Print system-wide daily cash receipts journal.	Acctg

A.12 ACCOUNTING - BUSINESS OFFICE

Description: This section covers the back office financial recordkeeping and related functions, such as maintaining account records, conducting funds transfer and other financial transactions; and producing reconciliations, statements, reports, and other documents.

Subfunctions – The back office subfunction groups are Account Management; Funds Transfer, Distribution, and Disbursement; Updates to Accounts and Other Records; and Summaries. This group of subfunctions addresses the activities associated with maintaining accounts, identifying and alerting users to abnormal conditions and producing supporting documentation, maintaining cross references to records external to the system, and maintaining code translation tables that pertain to accounting.

A.12.1 Account Management

Subfunction		Module
A.12.1.1	Maintain financial parts of case files and registers/dockets (e.g., payments received, liabilities with linkage to accounts receivable in finance, etc.).	All
A.12.1.2	Debit accounts established by attorneys to cover court expenses, and credit attorney accounts based on electronic funds transfers from attorney bank accounts, debiting attorney credit card accounts, and on-line checks.	Acctg
A.12.1.3	Credit attorney accounts based on electronic fund transfers from attorney bank accounts. Debit attorney credit card accounts and on-line checks.	Acctg
A.12.1.4	Maintain standard tables for court costs and fees.	All
A.12.1.5	Maintain all current and previous fee tables with start and end dates, keeping a historical record to process previously waived fees.	All
A.12.1.6	Track accounts receivable and sanctions (per case and cumulative) for all case categories based on user-defined criteria, including but not limited to the following: Case number. Case type. Case disposition date. Disposition date. Date payment/sanction ordered. Name of Attorney/Party/Entity . Dollar amount per case. Dollar amount per party. Payment due date. Payment amount and date. Summary totals of report.	Adop Civil Fam Prob SmCl Acctg
A.12.1.7	Generate Pending Receivable/Sanction report for all payments/sanctions ordered and full payment not received, including: 1. Age from receivable/sanction order date no payment received. 2. Information should be same as Receivable/Sanction report. 3. Age breakdown should be: < 1 month 1 < 2 months 2 < 3 months 3 < 4 months	Adop Civil Fam Prob SmCl Acctg

Subfunction	Module
<p>4 < 5 months 5 < 6 months 6 < 7 months 7 < 8 month 8 < 9 months 9 < 10 months 10 < 11 months 11 < 12 months >12 months</p> <p>4. Summary totals by columns.</p>	
<p>A.12.1.8 Generate Receivables/Sanctions Disposition report for all receivables/sanctions granted and full payment received, including:</p> <p>All information as Receivable/Sanction report. Payment received information and date received. Aging of sanctions from date of sanction. Date of full payment.</p>	<p>Adop Civil Fam Prob SmCl TrIn Acctg</p>
<p>A.12.1.9 Track guardian/conservator fees based on user-defined criteria, including but not limited to the following:</p> <ol style="list-style-type: none"> 1. Case number. 2. Date payment ordered. 3. Name of Guardian/Conservator. 4. Dollar amount. 5. Dollar amount per party. 6. Payment amount and date. 7. Total fees in user-specified time range. 8. Variance. 	<p>Prob</p>
<p>A.12.1.10 Provide ability to apply installment payments for receivables and sanctions. Support collection of restitution payable to a victim, including assessment of interest, monthly billing and disbursement from trust when payments are received.</p>	<p>Adop Civil Fam Prob SmCl Acctg</p>
<p>A.12.1.11 Generate notices and produce correspondence such as payment notices, dunning letters, and interest statements.</p>	<p>Adop Civil Fam Prob SmCl Acctg</p>
<p>A.12.1.12 Track bail, bail bond company, bail exonerations, and bail forfeitures. Track code section or summary judgments on a bail bond company when bail has been forfeited (Penal Code §1306).</p>	<p>Civil Fam Prob</p>

Subfunction	Module
	SmCl TrIn Acctg

A.12.2 Funds Transfer, Distribution, and Disbursement

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

Subfunction	Module
A.12.2.1 Record funds received from other local, state, and private units (e.g., court ordered payments such as state tax intercepts to recover previously waived fees).	All
A.12.2.2 Place hold on disbursements.	Acctg
A.12.2.3 Provide information for disbursement of undistributed or unclaimed moneys (e.g., jury fees posted on settled cases, unreturned checks for moneys paid by court). Update ledgers, and produce reports.	All
A.12.2.4 Electronically authorize and transfer collected fees to other units and agencies (e.g., appellate court for appealed cases).	All
A.12.2.5 Compute parts of fees to be distributed to multiple local and state units according to user-defined formula (e.g., portion of fees for county parks, county library, other purposes), and permit distribution formula override by appropriate authority.	All
A.12.2.6 Compute parts of fees to be distributed to multiple local and state units according to user-defined formula and distribute these monies electronically (e.g., portion of fees for county parks, county library, other purposes).	All
A.12.2.7 Compute penalty assessment and other fees and assessments associated with violations.	TrIn Acctg
A.12.2.8 Distribute payments to the appropriate fund codes based on violation and citation city.	TrIn Acctg
Allow for fine distribution formulas to be predicated upon factors like: 1. Combination of location and agency; 2. Enhancement factors; 3. Special assessments that may affect bail calculation.	
A.12.2.9 Produce report showing distribution formula, moneys distributed to other local and state units over specific period, and how formula was used to compute distributions.	Acctg

Subfunction		Module
A.12.2.10	Initiate, print, reprint, and disburse sequentially numbered checks. Stop issuance on checks, void checks. Identify and process outstanding checks. Report on checks that have cleared, and record checks on check register based on appropriate security level.	All
A.12.2.11	Initiate, print, and disburse refund checks, individually or cumulatively, over specific periods (e.g., for filing fees collected in error). Record checks on check register.	Adop Civil Fam Prob SmCl TrIn Acctg

A.12.3 Updates to Accounts and Other Records

This group of subfunctions addresses the activities associated with processing financial transactions, calculating charges and producing bills for amounts owed the court, and processing bank deposits.

Subfunction		Module
A.12.3.1	Post case-related receipts to accounting records and register of actions/docket; associate receipts with proper case, account, or case activity.	All
A.12.3.2	Post case-related disbursements to accounting records and register of actions/docket; associate disbursements with proper case, account, or case activity.	All
A.12.3.3	Display or print lists of transactions (e.g., receipts, disbursements, interest accruals listed by fee type or chronologically) for specific cases and accounts over specific periods (e.g., monthly for life of case).	Adop Prob SmCl TrIn Acctg
A.12.3.4	Record changes to accounting records that result from court orders (e.g., order for refund of jury fees), and modify appropriate records.	Civil Fam Prob SmCl TrIn Acctg
A.12.3.5	Post interest accruals to accounting records (e.g., interest accrued daily to	Civil

Subfunction	Module
overall account and posted to individual trust accounts at end of month). Associate accruals with proper account, and produce notice of accrued interest.	Fam Prob SmCl TrIn Acctg
A.12.3.6	Apply corrections without changing or deleting transactions or records, and store adjusting financial entries (e.g., bank adjustments for errors or bad checks). Modify amounts due with proper authorization.
	Adop Civil Fam Prob SmCl TrIn Acctg
A.12.3.7	Post non-case related receipts to accounting records, and associate receipts with proper account.
	Acctg
A.12.3.8	Post non-case-related disbursements to accounting records, and associate disbursements with proper account.
	Acctg
A.12.3.9	Accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and produce account statements.
	All
A.12.3.10	Create payment schedule. Apply payments received to scheduled amount due, and produce reports on overdue amounts (e.g., for previously waived fees).
	All
A.12.3.11	Calculate and record bank deposits.
	Acctg

A.12.4 Summaries

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

Subfunction	Module
A.12.4.1	For specific periods produce separate reports that list the following: <ol style="list-style-type: none"> 1. Cases for which fees received, no fees received, fees waived, no fees due. 2. All adjustments to accounts. 3. Accounts receivable or payable for each case.
	Adop Civil Fam Prob SmCl

Subfunction	Module
	TrIn Acctg
A.12.4.2 List bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited.	Acctg
A.12.4.3 Print bank deposit slips for specific banks and/or agencies (e.g., auditor controller).	Acctg
A.12.4.4 Provide the following functionality for user-defined periods: <ol style="list-style-type: none"> 1. Compare court record of checks with bank record of checks. 2. Produce list of discrepancies, outstanding checks, and current court and bank balances. 3. Reconcile bank accounts. 4. Produce report giving discrepancies for all reconciliations. 	Acctg
A.12.4.5 Produce list of items that remain open for accounts that carry a balance forward from one period to next period.	Acctg
A.12.4.6 Produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period.	Acctg
A.12.4.7 Produce pre-check register and check register over specific period.	Acctg
A.12.4.8 Total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits.	Acctg
A.12.4.9 Produce summary reports for each cash drawer, cash register, and cashier.	Acctg
A.12.4.10 Produce report containing information on fees waived and associated payments.	Adop Civil Fam Prob SmCl TrIn Acctg
A.12.4.11 Produce report showing financial status and history (e.g., information on transactions, account balances, discrepancies) for each account.	Acctg
A.12.4.12 Generate other periodic financial reports based on various criteria, including account aging, audit trail, and journal reports.	Acctg

Subfunction		Module
A.12.4.13	Produce lists arranged according to user-defined criteria for any type of financial transaction (e.g., fees received by date, fee type, or party; receipts by reason for payment or by party).	Acctg
A.12.4.14	Provide Financial Audit processing capabilities for guardians/conservators (funds received and expended).	Acctg
A.12.4.15	Maintain online audit checklists for guardianship/conservatorship cases.	Acctg
A.12.4.16	Provide online tracking for guardianship/conservatorship Financial Audits and Initial and Annual/Biennial Review Investigations.	Prob Acctg
A.12.4.17	Provide ability to ensure financials are filed biannually based on letters of guardianship/ conservatorship dates.	Prob Acctg
A.12.4.18	Establish due dates for conservatorship/ guardianship audits as set by court orders.	Prob
A.12.4.19	Track and ensure that annual accountings are filed based on the date that letters of conservatorship/guardianship were issued.	Prob
A.12.4.20	Provide ability to track guardian/conservator fees to date, including but not limited to the following: <ul style="list-style-type: none"> 1. Case number. 2. Guardian's/Conservator's name. 3. Total fees paid to date. 4. Total fees current year or other period. 5. Variance. 6. Sort on any of the above fields or combination. 	Prob Acctg

A.13 ACCOUNTING - GENERAL LEDGER FUNCTION

Description – This section covers the general and subsidiary ledger functions.

A.13.1 Subfunctions

Subfunction		Module
A.13.1.1	Create and maintain system-defined and user-customized chart of accounts.	Acctg
A.13.1.2	Maintain journal and, if appropriate, subsidiary ledger for each account by	Acctg

Subfunction	Module
posting debits, credits, and adjusting entries.	
A.13.1.3	Reconcile and balance all accounts.
A.13.1.4	Create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts.
A.13.1.5	Provide the ability for a year-end close.
A.13.1.6	Maintain a back-up archive.

A.14 CASE FILE AND PROPERTY MANAGEMENT FUNCTION

Description: The activities associated with (1) creating, managing, tracking, archiving, and disposing of hard-copy, electronic, and imaged case files; and (2) receiving, tracking, and returning or destroying exhibits and other property.

Case files must be tracked from the time the case is initiated until the files are destroyed. For hard-copy files, this means tracking their physical location as active, inactive, archived, and destroyed.

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

Subfunctions – Within the File and Property Management Function, the subfunctions are grouped into File Tracking, File Archiving and Destruction, and Exhibit Management and Tracking.

A.14.1 File Tracking

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

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

Subfunction	Module
A.14.1.1 Generate and print labels and bar codes for court case files.	All
A.14.1.2 Track the physical location of case files with information, including but not limited to: Name of person receiving file. Location of person. Contact number and/or address. System date and time. Comments.	All
A.14.1.3 Maintain audit trail of case file location with information for file tracking.	All
A.14.1.4 Provide search alert features.	All
A.14.1.5 Maintain record of the location (e.g., storage facility, location in facility, reel number, and location on reel or volume) for hard-copy and electronic archived files.	All

A.14.2 File Archiving and Destruction

In accordance with local and state rules for record retention, both physical and electronic case files pass from active to inactive status, are eventually archived, and are ultimately destroyed or purged. Many courts retain summary information on the case in active storage to help access the complete file if necessary.

Subfunction	Module
A.14.2.1 Process files according to local and state rules for archival, destruction or final transfer to storage facility.	All
A.14.2.2 Identify cases that can and cannot be destroyed.	All
A.14.2.3 Identify cases to be archived and later destroyed. Create an archive database with the ability to restore a case back into the active database. Allow inquires, updates, and queries to the archive database without having to restore cases back to the active database (e.g., issue rejects, writs and other post-judgment entries). Support generation of box lists and related processing and location tracking.	All
FT5.3 Allow system administrator to migrate data to secondary or offline storage, purge data while retaining index entries, restore migrated data.	All
A.14.2.4 Generate and print reports showing archived, destroyed, and transferred cases.	All

A.14.3 Exhibit Management and Tracking

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

Subfunction	Module
<p>A.14.3.1 Provide ability to capture, track, generate and print exhibit/record information as well as a user -defined report, including but not limited to the following:</p> <ol style="list-style-type: none"> 1. Name of person who receives exhibit/record. 2. Name of person/party submitting exhibit/record. 3. Received date and time. 4. Case number. 5. Case type. 6. Case title. 7. Type of hearing. 8. Date of hearing. 9. Location of hearing. 10. Party associate with exhibit/record. 11. Exhibit identifier. 12. Exhibit type. 13. Value/amount, if applicable. 	
<ol style="list-style-type: none"> 14. Exhibit description and notes, if applicable. 15. Location, current location and sub-location (shelf), date and time issued, and location date and time received. 16. Date marked for identification. 17. Date received into evidence. 18. Case disposition and date. 19. Exhibit disposition method and date. 20. Disposable/non-disposable exhibits. 21. Exhibit clerk. 22. Notes/Narrative. 23. Marked and received date. 24. Sealed/Not sealed. 25. Party that submitted exhibit. 26. Appeal period. 27. Appeal status. <p>Allow relevant information to be transferred to the appropriate programs to facilitate the preparation of documents with minimal data entry.</p>	All
<p>A.14.3.2 Generate and maintain an exhibit/record number or other identifier in a user-defined format.</p>	All
<p>A.14.3.3 Generate and print user-defined exhibit/record labels. Provide ability to include bar codes.</p>	All

Subfunction	Module
A.14.3.4 Generate, display and print exhibit/record lists and receipts by the following criteria, including but not limited to: Party. Exhibit types. Hearing and time range. Location/courtroom. Case number. Cross-reference case number.	All
A.14.3.5 Allow user to re-mark exhibits from one event to another and from one case to another. Link with date and user. Maintain an audit trail of transactions.	All
A.14.3.6 Track and flag exhibits/records: Association with multiple cases. Change in status (e.g., subpoenaed record becomes an exhibit). Return of exhibit/record/property. Disposal of exhibit/record/property.	All
A.14.3.7 Flag for disposition or destruction all exhibits related to a case with a disposition at user-defined intervals.	All
A.14.3.8 Generate, display and print the following: Destruction notices and associated authorizations. Notice to reclaim exhibit or property. Report of all exhibits flagged for destruction, within a case or date range. Report of all exhibits destroyed within a case or by date range.	All
A.14.3.9 Allow user to display and print the following: Exhibit history list. On-line exhibit lists. List of cases ineligible for destruction. List of cases with exhibits ineligible for destruction. List of exhibits within a case that are eligible or ineligible for destruction. Appeal period.	All
A.14.3.10 List subpoenaed record information as part of a calendar preparation list.	All

A.15 SECURITY FUNCTION

Description – The activities associated with ensuring the integrity of the case management system, its data, and its documents during normal operations and after a system failure or outage.

The Court must maintain security under three general categories and numerous levels within each category. Category 1 will be the most complex and will grant groups of users access to each object and determine the level of access to that object.

Category 1 – For court users, the system, data, and documents must be protected from unauthorized access and erroneous entry.

Category 2 – For official users outside the court who frequently submit filings and need information from the system (e.g., attorneys of record, selected governmental agencies), there must be protection from access to unauthorized parts of the system, from submission of erroneous data and documents, and from direct entry of data and documents.

Category 3 – For unofficial users (e.g., the public), there must be protection from any access that goes beyond viewing non-restricted parts of the system’s data and documents.

To protect the system and database from unauthorized access, local and remote log-on and password protection restrict access to the case processing system. Database security at the file and record levels prevents unauthorized users from viewing, adding, modifying, or deleting specific records. Carefully designed input edits improve data quality and integrity by checking data entered into the system.

A.15.1 Subfunctions

Subfunction	Module
FT1.3 Enable system administrator to add, delete, modify data regarding users and their associated security levels. Require only a single user ID for multiple sessions or for concurrent access to multiple screens and windows.	All
A.15.1.1 Allow designated users to define, maintain, and control level of access on authorizations (e.g., access authorization tables).	All
A.15.1.2 Provide user security at different levels with appropriate audit trails, including but not limited to the following: <ol style="list-style-type: none"> 1. Inquiry, modify and/or update/delete capabilities. 2. Override capabilities. 3. Maintain security table. 4. Applications/subsystem. 5. Screen/transaction/program. 6. Record. 7. Field. 	All
A.15.1.3 Restrict local and remote access to functions and permissible operations (i.e., view, add, change, delete) on case types, case categories, files, parts of files, and system functions, devices, locations, users and groups of users.	All
A.15.1.4 Provide case-by-case access only to detailed data for public access in keeping with emerging court standards.	All

Subfunction	Module
A.15.1.5 Allow users to change their own passwords. Allow system administrator to change user passwords.	All
A.15.1.6 Prompt user to change password based on user-defined time frames and by security level.	All
A.15.1.7 Maintain user profiles by various criteria, including, but not limited to the following: <ol style="list-style-type: none"> 1. User ID. 2. User name. 3. User title and/or role. 4. Location. 5. IP address. 6. Default printer - location/address. 7. Date of last update. 8. Security level. 	All
A.15.1.8 Allow authorized personnel to: <ol style="list-style-type: none"> 1. Quickly re-activate a user security profile. 2. Delete/de-activate users and retain history. 3. Prevent the use of deleted/de-activated user IDs when adding new users. 	All
FT5.4 Log all transactions, based on administrator-defined parameters, which can be traced to an individual user.	All
A.15.1.9 Provide audit trails that show which users, workstation locations, and network addresses are logged on to system during specified period.	All
A.15.1.10 Provide the ability for the system to log-off any user after an administrator-defined period of time or security parameters defined at both the agency level and the user role level. Allow users with the appropriate security level to disable system log-off.	All
A.15.1.11 Generate, display, and print security report, listing active/inactive users by location, level, and other criteria.	All
A.15.1.12 Ability to move around freely within a case and between screens once security has been verified.	All

A.16 REPORTING AND STATISTICAL FUNCTIONS

Description – These reports provide caseload, caseflow, and workload statistics and other court financial, operations, and management information.

Subfunctions – The subfunctions are Reporting and Statistics.

A.1A.1 Reporting

Some management reports are pre-programmed in the case management system, and some are generated on an ad hoc basis. As used in this section, the term “reports” includes outputs to display devices and to extract files for transfer to other systems or Internet posting as well as the standard printed output.

Subfunction		Module
A.1A.1.1	Include a report writer utility that allows the user to extract needed data from multiple files and create reports as well as ad hoc reports in a flexible, user-defined format.	All
FT3.2	Allow for generation of reports using any data in the database tables. Provide the ability to create relationships between tables.	All
A.1A.1.2	Provide ability to maintain different versions of ad hoc report programs.	All
FT3.4	The report generation facility should allow an operator to save queries by name, retrieve queries by name or long description, allow an operator to define private or shared access to stored queries.	All
A.1A.1.3	Produce reports as printed reports, displays, or extract files. Provide ability to transmit electronically.	All
A.1A.1.4	Capture and track locally-defined milestone events (e.g., initial filing, first answer, settlement conference) for a specific case or groups of cases giving more flexible Caseflow information than is available in standard statistical reports (e.g., elapsed time between user-specified events). Produce reports that permit monitoring conformance to time and other performance standards and tracking criteria (e.g., American Bar Association Time to Disposition Standards, case age, case status, judge, exceptional cases such as complex litigation).	All
A.1A.1.5	List all cases that have been continued over specific period according to various criteria (e.g., party) and give supporting overall information (e.g., number per case, per department, per attorney, per requester, where granted).	All
A.1A.1.6	Capture and track duration of trials and hearings by user specified criteria such as courtroom, whether jury or non-jury, and how estimated duration of trial compares with actual duration.	All
A.1A.1.7	Provide the ability to create an appellate index (e.g., alphabetical/numeric) of all and/or specified records pertaining to that file, which is modifiable by the user. Relate to clerk’s computed transcript fees.	All
A.1A.1.8	Produce various detail and summary reports giving register/docket contents for specific cases and groups of cases by case and party (e.g., chronological list of all or some events such as filings, summaries of related cases for specific party, case summary sheets).	All

Subfunction		
A.1A.1.9	Produce reports on current and previous judge assignments (including specific cases, case types, case categories), recusals, challenges, hearing results, reassignments, and disqualifications with reasons where appropriate.	All
A.1A.1.10	Track workload (e.g., number of appointments scheduled, number of entries made) processed by individual staff members. Provide reports based on user-defined criteria.	All
A.1A.1.11	Produce billing reports and notices.	Fam Prob
A.1A.1.12	Produce reports identifying amounts owed and waived for each person or organization (e.g., fee waivers for specific parties, balance due on attorney accounts, amounts due as result of attorney sanctions).	All
A.1A.1.13	For Mediations and Evaluations, capture and report key outcome variables related to mediation, mediation orientation, and investigations to a database/spreadsheet.	Fam Prob
A.1A.1.14	Produce reports on Attorney appointments and related costs (e.g., Reappointments, reviewed by Attorney name and by case number).	Fam MH Prob Dep Del
A.1A.1.15	Produce caseload reports by attorney that list cases and hearing dates for active and/or inactive cases.	Fam MH Prob Dep Del
A.1A.1.16	List and give supporting information (e.g., party such as debtor or creditor, date of judgment, amount of judgment) on all cases with open judgments.	Adop Civil Fam Prob SmCl
A.1A.1.17	List and give supporting information (e.g., case number, party name, dates warrant issued and served, bail amount) on all cases with open warrants.	Civil Fam SmCl Dep Del

A.1A.2 Statistics

As a by-product of case processing, the system produces statistics for local use and to satisfy the reporting requirements of the judicial branch and state agencies. The statistical reports generally fall into three categories: caseload, caseflow, and workload.

Caseload reports - statistics for each case type and, in many instances, case category (e.g., tort, contracts, real property rights, small claims within the civil case type) for a specific time period on the number of cases pending at the beginning of the period, the number of cases filed or reopened during the period, the number of cases disposed or stayed (e.g., delayed or otherwise removed from the court’s control) during the period, and the number of cases pending at the end of the period. The reports also may provide further detail such as percent of total caseload filed, disposed cases as percent of filings, manner of disposition).

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

Workload analysis - statistics for each case type and case category, trends (e.g., changes in numbers and percentages of filings to dispositions, percentage changes in filings in successive reporting periods and successive years, percentage changes in manner of disposition), and resources associated with case processing.

Subfunction	Module
A.1A.2.1 Generate, display, print, and electronically transfer statistical, financial and case information for judicial branch, state and other relevant agencies. Provide information to fulfill mandatory state reporting requirements that complies with the Judicial Branch Statistical Information System (JBSIS) standards: generates required statistical reports for each case type; conforms to electronic reporting and data standards as defined in the current JBSIS manual; and track and age cases (e.g., civil cover sheet, delay reduction). Support current Judicial Council reporting requirements in a format approved by Judicial Council.	All
A.1A.2.2	All

Subfunction	Module
<p>Generate all user-defined management and statistical reports, including but not limited to the following:</p> <ol style="list-style-type: none"> 1. Judicial Council. 2. Judicial Branch Statistical Reporting System (JBSIS). 3. Trial Readiness. 4. Case Aging. 5. Case Pending. 6. Case Inventory. 7. Case Processing. 8. Employee Workload Report. 9. Unit reports (e.g., Mediation, Guardianship, and Conservatorship Investigation). 	
<p>A.1A.2.3 Track statistics for:</p> <ol style="list-style-type: none"> 1. Caseload reports. 2. Caseflow reports. 3. Workload analysis. 4. Financial management and operations reports. 5. User-defined occurrences (e.g., failure to appear, non-compliance). 	All
<p>A.1A.2.4 Support differential case management (i.e., different categories of cases are processed differently such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases), ADR, and other case management methods.</p>	Civil Fam
<p>A.1A.2.5 Provide ability to suspend aging on a case (remove) and resume aging on a case (restore). Link with appropriate case aging reports and with register of actions.</p>	Adop Civil Crim Fam SmCl
<p>A.1A.2.6 Provide capability to enter and track conformance to time standards as maintainable business rules (e.g., answer due 30 days after service to defendant) including modifications (e.g., move from one case management track to another), overrides, and suspension of time counting under certain conditions (e.g., suspend mental health classification). By case type or sub-case type, for each expected event, provide the capability to define parameter data to be used to calculate due dates, delinquency dates, etc.</p>	All
<p>A.1A.2.7 Verify data sent to judicial branch and state agencies using techniques such as aggregate totals.</p>	All
<p>A.1A.2.8 Provide ability to download statistical data to a spreadsheet program and database program.</p>	All

A.17 GENERAL SYSTEM AND USER REQUIREMENTS

Description – This system describes general system and user requirements.

Subfunctions – The subfunctions are General System Requirements, Printing, and Interfaces.

A.17.1 General System Requirements

Subfunction		Module
FT5.1	Use a non-proprietary relational database management system (RDBMS).	All
A.17.1.1	System is event and table driven.	All
FT1.2	Provide an effective “from” and “to” capability for tables (e.g., code tables, fee schedules, address tables). Maintain a history of records or values.	
FT1.4	System administration should be documented. Application-level tools should be provided. System backup can be unattended or performed while system is active.	All
A.17.1.3	System will: <ol style="list-style-type: none"> 1. Provide a global Data Dictionary with English definitions. 2. Facilitate (with specific tools) data conversion to a number of common formats such as ASCII, Excel, Access, Oracle, etc. 3. Be “open” with no unnecessarily proprietary and restrictive components and options. 	All
FT3.3	Provide online query access to the data dictionary.	All
A.17.1.4	Utilize the latest version of word processing software where appropriate and a high level of word processing functionality (e.g., wrap around feature, spell check, different fonts, ability to cut, copy, and paste between all applications, underline, bold, italics, print preview).	All
A.17.1.5	Application is designed with database referential integrity enforced. Changes made on a primary data element in one file must follow set rules so that the data is modified in other related files, validation is enforced within and across tables, etc.	All
A. 17.1.6	Provide a Graphic User Interface (GUI). Provide a Windows-type environment for client multi-tasking and concurrent access to other applications; provide pull-down menus/windows throughout the system.	All
A. 17.1.7	Provide consistent use of function keys, or point-and-click devices to invoke a function, minimizing keystrokes; provide quick method to access any screen or transaction, via command line tool bar, pull-down menus, function key, alt-key, etc.	All
FT2.6	Allow all common transaction and display screens to be uniformly controlled by mouse or keyboard.	All

Subfunction	Module
<p>A.17.1.8 Provide consistent data entry fields and presentation for all applications including:</p> <ol style="list-style-type: none"> 1. Required fields to be entered. 2. Default values. 3. Required specific values in fields. 4. Unique fields. <p>Ability to perform online review of data entered.</p>	All
<p>A.17.1.9 Provide consistent, common screen formats that display the following:</p> <ol style="list-style-type: none"> 1. Screen name/description. 2. System name/description. 3. User ID. 4. Function keys/command keys/alt-keys that apply to current screen. 5. Where multiple screens exist and if applicable, ability to display screen (or page) number of displayed screen (or pages (e.g., page 1 of 5). 	Adop Civil Fam MH
<p>A.17.1.10 On all screens, validate entry of coded fields against the appropriate code table. If invalid entry made, several responses should occur, but not be limited to the following:</p> <ol style="list-style-type: none"> 1. Highlight and/or freeze the field. 2. Display appropriate error message. 3. Display pop-up or pull-down window containing the valid entries (code and code description) for the field. Pop-up or pull-down windows of valid field entries should be scrollable and searchable by code value or partial description. 4. Select valid entry and return to screen without losing data. 5. Provide ability to suppress the pull-down function if there are too many values associated with a field. 	All
<p>A.17.1.11 Provide tools to generate user-defined, customized screens, forms, notices and reports.</p>	All
<p>FT5.2 The application entity relationships should support case consolidation capabilities.</p>	All
<p>FT1.1 Incorporate configurable interaction between application components for generating forms and notices. Provide selection lists for values.</p>	All

Subfunction	Module
<p>A.17.1.2 Provide the demonstrated ability to interoperate with an electronic filing, document management and distribution systems to support functions including but not limited to:</p> <ol style="list-style-type: none"> 1. Move designated data from electronic filing system to case management system. 2. Support storage (including indexing or an equivalent capability) of electronic forms and other documents. 3. Support the markup and annotation of electronic or imaged documents by users with the appropriate security level while maintaining the original documents as unalterable images. 4. Support the ability to maintain the confidentiality of individual imaged documents that are indexed against the case management system. 	All
A. 17.1.12 Validate information received from other systems and Internet.	All
A. 17.1.13 Display error messages on last line of screen and/or a pop-up window, with the ability to easily clear an error message and continue with entry.	All
A. 17.1.14 Provide error routines that notify users, in common English, of the nature of the error.	All
A.17.1.15 Provide online help for all functions and definitions for all fields (e.g., what is expected as valid data for each field); provide context-sensitive help facility via function key or icon from any screen. Allow system administrator to define and modify help text.	All
FT2.4 Allow operator to invoke a list of pertinent values and translations for any validated field. Return selection lists positioned according to characters that have been entered. Selection lists should be capable of being filtered for logically correct entries and sorted through user-defined parameters. Display records in ascending and descending order.	All
FT2.5 Allow an operator to scroll forward and backward when multiple cases/records are displayed, select entries, drill down for more detail, return to prior location in the list.	All
A.17.1.16 Allow default data fields (e.g., today's date).	All
A. 17.1.17 Allow user with the appropriate security level to override default data.	All

Subfunction	Module
A. 17.1.18 When multiple pages exist within a screen, provide a quick method to page forward, backward, or scroll, including, but not limited to the following: <ol style="list-style-type: none"> 1. Page up/down keys. 2. Function keys. 3. Mouse. Jump to a particular point in the data, by date or by other type of sorting factor (alphabetically).	All
A. 17.1.19 Allow users to progress from one inquiry screen to another, retaining current case information, without returning to the menu.	All
A. 17.1.20 Provide ability carry case information forward from screen to screen without re-entry of data.	All
FT2.2 Allow an operator to interrupt work in mid-transaction and resume the interrupted transaction.	All
A. 17.1.21 Provide a quick method to erase or cancel the screen entry prior to update (e.g., a refresh key).	All
A. 17.1.22 Maximize the use of colors, reverse video, and audible tones to help users process information.	All
A.17.1.23 Log dates in MM/DD/CCYY format and times in A.M./P.M. format.	All
A.17.1.24 Provide type-ahead capability.	All
A.17.1.25 Provide ability to use: <ol style="list-style-type: none"> 1. Upper and lower case letters. 2. Customized forms. 	All
A.17.1.26 Comply with performance criteria: <ol style="list-style-type: none"> 1. Simple transactions - maximum response time of 3 seconds. 2. Complex transactions - maximum response time of 7 seconds. 	All
A.17.1.27 Update system information in real time with each transaction.	All
A.17.1.28 Broadcast messages and information about system updates.	All
A.17.1.29 Allow court personnel or other authorized individuals to access the Court's system from remote terminals or PCs outside the Court and County-wide are network with appropriate security.	All
A.17.1.30 Allow for mass entry capability, (e.g., single data entry to update appropriate multiple cases). Provide a means for updating multiple cases with a single transaction or in a single step.	All

Subfunction		Module
A.17.1.31	Provide for importing all or selected transactions of a case when transferring a case from one jurisdiction to another.	All
A.17.1.32	Perform utility functions (e.g. copy information such as register/docket entries and parties from one case to another).	All

A.17.2 Printing Functions

Subfunction		Module
A.17.2.1	Support screen print capabilities.	All
A.17.2.2	Support duplex printing.	All
A.17.2.3	Provide the ability to print all tables.	All
A.17.2.4	Provide the ability to print all screens relating to a single data entry transaction through a single request.	All
A.17.2.5	Provide ability to print in background while user continues to use the system.	All
A.17.2.6	Allow printer default to be set by users.	All
A.17.2.7	Designate the number of copies to print for each notice, with the ability for the user to override the designated number.	All
A.17.2.8	Place items on hold and provide ability to delete items from print queue.	All
A.17.2.9	Allow user to cancel print jobs at any time during the printing process.	All
A.17.2.10	Provide ability to route print jobs from one printer queue to another.	All
A.17.2.11	Print documents individually or in batches.	All
A.17.2.12	Provide ability to view documents online before printing.	All
A.17.2.13	Provide ability to display, selectively edit where appropriate, and print information, including but not limited to the following: <ol style="list-style-type: none"> 1. Print single record. 2. Print group of records. 3. Print all records. 4. Print all except specific records. 5. Print actions for a single date. 6. Print by date range. 7. Print highlighted selection. 8. Print screen. 9. Print page. 10. Print records based on user-defined criteria. 	All
A.17.2.14	Provide ability to reprint system output.	All

Subfunction		
A.17.2.15	Print headers and footers on any documents as defined by users.	All
A.17.2.16	Print Court’s logo and seal on reports and forms.	All
A.17.2.17	Provide capability when printing reports including but not limited to the following: <ol style="list-style-type: none"> 1. Determine/display length of report prior to printing. 2. Specify page ranges. 	All

A.17.3 Interfaces and Conversions

Subfunction	Module	
FT4.1	Include a means for index conversion.	All
FT4.2	Produce data in commonly requested formats for commercial subscribers.	All
FT4.3	Interface with third party software or other court management systems via standard API.	All
A.17.3.1	Provide API and database access to interface with other Court programs, County justice agencies (e.g., Department of Children Services and Family Services, Probation, Sheriff’s Department, County Counsel, District Attorney, Public Defender, Department of Mental Health, PACE), Proactive Information Exchange (PIX) and other county message processors, and State agencies (e.g., Court of Appeals, Department of Motor Vehicles).	All
A.17.3.2	Provide facility to allow specified screens and/or reports to be accessible to personnel in other County agencies with the ability to view and print various documents (e.g., minute orders).	All
A.17.3.3	Provide the ability to receive via message processor or direct update the following types of case-related information from other agencies: <ol style="list-style-type: none"> 1. Demographic data. 2. Name. 3. Birth records. 4. Address data. 5. Character data. 6. Gang data. 7. Arrest data. 8. Booking charges. 9. Probation data. 10. Warrant data. 11. DA charge data. 12. Public Defender data. Department of Children and Family Services data. (Los Angeles)	Crim Fam Dep Del TrIn

Subfunction		Module
A.17.3.4	Provide the ability to enter, update and make available to other agencies for inquiry purposes the following types of Juvenile case-related information: <ol style="list-style-type: none"> 1. Demographic data. 2. Birth records. 3. Court petition. 4. Delinquency minute order. 5. Dependency minute order. 6. Court calendar. 7. Warrant. 8. Conditions of probation. 9. DA charge data. 	Dep Del TrIn
A.17.3.5	Provide the ability to interface with relevant agencies for the following types of financial-related information: <ol style="list-style-type: none"> 1. Payment information. 2. Trust information. 3. NSF information. 4. Refund information. 	Civil Fam Prob SmCl TrIn Acctg
FT4.1	Provide batch and interactive access to outside agencies, including the Department of Motor Vehicles and the Department of Justice.	All
FT4.7	Support multiple video monitors for displaying court calendar information throughout the courthouse.	
FT2.3	Provide specific, user-friendly interfaces by the public, attorneys, law and justice agencies. Comply with the applicable Judicial Council standards or rules for user access.	

A.18 TABLE CREATION AND MAINTENANCE

A.18.1 Subfunctions

Subfunction		Module
A.18.1.1	Maintain the following information for tables, including but not limited to: <ol style="list-style-type: none"> 1. Table ID. 2. Table description/name. 3. Code. 4. Code description/value. 5. Beginning and end date of code activation, including future dates. 6. Permissions. 7. Messages to users regarding changes and updates. 8. Unlimited entries. 	All

Subfunction	Module
A.18.1.2 Maintain and properly use code translation tables defined by user. Associate date fields with all tables so that a historical record can be maintained. Ability to activate, inactivate, and link to user ID and creation/modification date.	All
A.18.1.6 Allow designated staff to define codes and system configurations, using online tables.	All
A.18.1.8 Allow user to enter free-format code description.	All
A.18.1.9 Provide for user-defined code tables that are dynamically integrated into the application, such that, new table values, new rows or changed values entered by users are immediately available for selection.	All
A.18.1.10 Insert and remove code entries at any time, with field for appropriate annotations based on an appropriate security level, tied with audit trail.	All
A.18.1.3 Provide the ability to sort and select by the following criteria: 1. Active/inactive indicator. 2. Security level. Provide ability to produce a report.	All
A.18.1.7 Provide ability for all code tables to: 1. Search by code and go directly to the corresponding code entry and description. 2. If no match, the entry with the next greater code will display. 3. Search by key word. 4. Search by partial description.	All

Subfunction	Module
<p>A.18.1.4 Provide user-updatable tables with update/delete capabilities, including but not limited to the following:</p> <ol style="list-style-type: none"> 1. Case types. 2. Case categories. 3. Clerks. 4. Judicial/Hearing Officers. 5. Court reporters. 6. Court locations/districts/departments/ divisions. 7. Attorneys. (Allow mass updates from a daily file transfer from the State Bar Association.) 8. Address of courtrooms/departments. 9. Address of courthouses. 10. ADR providers (e.g. arbitrators, mediators). 11. Party types. 12. Action/event codes. 13. Venue/zip codes for case types. 14. Security. 15. Accounting distribution codes/fees. 16. Bail tables. 17. Telephone numbers. 18. Gang affiliation. 	All
<p>A.18.1.5 Maintain historical versions and records for all tables, including fee tables. Include “effective from” and “effective to” date/time stamp for tables, bail and fee schedules. Maintain active history and accurate work-in-process information for cases based on the data that was in effect at the time the case was processed.</p>	All

A.19 E-FILING

Description: The activities associated with filing document electronically.

Subfunction	Module
FT4.6 Process electronic filing conforming to Judicial Council standards.	All
FT4.5 Support an API for electronic filing as specified by the Judicial Council.	All

A.20 IMAGING

Description: The activities associated with imaging.

Subfunction	Module
FR1.8 Recognize a document identifier as related to an imaging system.	All

A.21 WORK QUEUES

Subfunction	Module
FR2.2 CMS itself must know status changes or events (case data) that will cause a re-routing of work to a different process, department or person. Include an embedded workflow facility that can conditionally route or evenly distribute work among operators.	All
FR2.1 Display a queue or other online tracking mechanism for filings awaiting completion. Display pending filings in priority or arrival sequence.	All

A.22 COLLECTIONS

A.22.1 Major Features and Functions

Sub function	Module
A.22.1.1 Provide automated processing of payments and collections activity:	
1. Directly (Court ordered; i.e., Paid forth with)	
2. When default -Collector Activity (process through collections)	
A.22.1.2 Ability to process new accounts and intake for:	
1. Formal probation -adult and juvenile	
2. Traffic	
3. Juvenile care costs	
4. Civil assessments	
5. Conditional probation (summary)	
A.22.1.3 Ability to establish miscellaneous collection accounts for:	
1. Probate	
2. Guardianship	
3. Other	
A.22.1.4 Ability to process charges and credits and identify components for fines and fees, etc.	
A.22.1.5 Provide breakdown of account balance by fines, fees and restitution	
A.22.1.6 Provide term of probation on all cases by number of months	
A.22.1.7 Provide violation code and description with account balance detail	
A.22.1.8 Ability for Time for Fine adjustments (docket codes) to trigger no cash credit/time for fine adjustment of fines only (i.e., delete fine. amounts only)	
A.22.1.9 Provide soundex on all search screens	

A.22.1.10	Ability to establish minimum restitution distribution amounts
A.22.1.11	Ability to prompt for check number if payment made by check
A.22.1.12	Ability to specify denominations for cash payments to verify cash received
A.22.1.13	<p>Ability to collect and distribute money for traffic violations and court costs</p> <ol style="list-style-type: none"> 1. Ability to collect and distribute fines, forfeitures and penalties 2. Automatic distribution to the collection division(s) 3. Automatically update collections information when a request for time to pay is granted 4. Automatically update docket when a collections payment is made 5. Ability to support accounts receivable functions as follows: 6. Ability for accounts receivable to be established and automatically update collections information 7. Ability to support payment terms 8. Ability for due dates to be automatically adjusted
	<ol style="list-style-type: none"> 9. Automatically adjust distributions with sentence modifications (adds/deletes/jail sentence, etc.) 10. Ability to automatically generate notices to defendants 11. Discharge of accountability
A.22.1.14	<p>Ability to support trust accounts as follows:</p> <ol style="list-style-type: none"> 1. Ability to establish "trust accounts 2. Ability for refunds to be electronically generated 3. Ability to maintain depositor information 4. Ability to distribute trust amounts to associated cases
A.22.1.15	Ability to automatically assign client number when packaging cases
A.22.1.16	<p>Ability to enter client/case notes and classify by an action code and associate the following information:</p> <ol style="list-style-type: none"> 1. Action code 2. Narrative (free form) 3. Result code 4. Date work 5. Pending data (follow-up date) 6. Collector ID
A.22.1.17	Ability to establish standard or "canned" comments for establishment process (i.e., juvenile care costs)
A.22.1.18	Ability to produce notify notes (alert notes) to alert actions needed on case; reason why Collector wants to see client, etc.
A.22.1.19	Ability for case comments to follow case at all times

A.22.1.20	Ability to scroll forwards and backwards in free form collections information to review comments
A.22.1.21	Ability to display violations
A.22.1.22	Ability to search notes by action code
A.22.1.23	Ability to print notes/comments by action codes
A.22.1.24	Ability to change case assignments with appropriate supervisor security
A.22.1.25	Ability to maintain before and after images of changes for audit purposes
A.22.1.26	Ability to track next due date on cases
A.22.1.27	Ability to display detailed payment history
A.22.1.28	Ability to search cases by: <ol style="list-style-type: none"> 1. Name 2. Case number 3. Address 4. Drivers license number 5. Incident number
A.22.1.29	Ability to sort collector work queue by: <ol style="list-style-type: none"> 1. High balance 2. Cases expire date 3. Referral date 4. Case follow-up date
A.22.1.30	Include collector's name and extension number on payment screen and receipt
A.22.1.31	Include claim number and date of loss in victim check voucher:
A.22.1.32	Ability for case number to be printed on check voucher to victim
A.22.1.33	Ability to view letters
A.22.1.34	Ability to prevent changes to letters
A.22.1.35	Ability to display collector account activity by status code
A.22.1.36	Ability to adjust/modify Arrears
A.22.1.37	Ability to package cases based on meeting all criteria, and not to package cases if information does not match: <ol style="list-style-type: none"> 1. Name 2. Drivers license number 3. Address 4. Date of birth 5. Social Security number
A.22.1.38	Ability to verify for correct code if cash is posted and, check number is entered

A.22.1.39	Provide automated cashiering functions and posting of payments by payment code source: <ol style="list-style-type: none"> 1. Over-the-counter 2. Mail-in
A.22.1.40	Provide on-line cash drawer capability to progress payments
A.22.1.41	Ability to print payment receipts

A.22.2 Joint and Several Case Processing

Sub function	Module
A.22.2.1	Provide automated Joint and Several processing
A.22.2.2	Ability to link joint and several cases after they have been established
A.22.2.3	Provide joint & several codes (N -No, y- Yes, C - Court Pending, etc.)
A.22.2.4	Ability to link cases for all responsible parties/co-defendants by: <ol style="list-style-type: none"> 1. Client number 2. Victim number 3. Case number 4. Name (soundex) 5. Address 6. Social Security Number 7. Date of Birth 8. Drivers license number 9. Any combination of the above
A.22.2.5	Ability to automatically copy victim information to other co-defendants/incidents
A.22.2.6	Ability to track each crime/incident to juvenile case number if minors involved (formal and summary)
A.22.2.7	Ability for all joint and several cases (co-defendants) to be automatically updated if one case is modified
A.22.2.8	Ability to link cases by client number, juvenile number or incident number
A.22.2.9	Provide referring organization field

A.22.3 Restitution

Sub function	Module
A.22.3.1	Provide automated restitution processing and tracking of collections/payments
A.22.3.2	Ability to establish restitution as determined by Probation Officer

		Module
A.22.3.3	Ability to process restitution accounts with fine and restitution charges	
A.22.3.4	Provide automated edit to ensure Court stipulation amount equals the total amount of victim loss	
A.22.3.5	Provide automated collections/payments audit capabilities and features; including exception reports	
A.22.3.6	Ability to assign cases to collectors by: <ol style="list-style-type: none"> 1. Last name 2. Conviction type (PC- Penal Code, VC -Vehicle Code, etc.) 	

A.22.4 Payments

Sub function	Module
A.22.4.1	Ability to notify user of non-sufficient funds (NSF) and not to accept personal check
A.22.4.2	Ability to specify a refund to person or place
A.22.4.3	Ability to default “Y” for receipt
A.22.4.4	System to display check number on payment screen detail

A.22.5 Data Collection and File Maintenance

Sub function	Module
A.22.5.1	Ability to maintain collections activity comments and display the following information <ol style="list-style-type: none"> 1. Case number 2. Client number 3. Client name 4. Date (multiple) 5. Action Code (multiple) 6. Comments (multiple) 7. Referring organization (multiple) 8. User ID (multiple)
A.22.5.2	Ability to maintain collections charges and display, the following information: <ol style="list-style-type: none"> 1. Account number 2. Organization 3. Case/Client name/number 4. Indicators <ol style="list-style-type: none"> a) Cancel

Sub function	Module
<ul style="list-style-type: none"> b) CAN NSD c) Non-sufficient funds d) Refund e) Suspense f) Prepaid g) Trust funds h) Court adjustment i) Posting error indicator 	
<ul style="list-style-type: none"> j) Est. errors k) Transfer funds 5. Transaction number 6. To organization 7. To account 8. Memo warrant number 9. Warrant date 10. Victim number 11. Amount to be charged 12. Account balance 13. Charge components (multiple) 14. Available amount (by component) 15. Balance amount (by component) 	
A.22.5.3	<p>Ability to maintain credit information and display the following:</p> <ul style="list-style-type: none"> 1. Account number 2. Organization 3. Case/Client name 4. Indicators <ul style="list-style-type: none"> a) Posting error b) Court Adjustment c) Time for fine d) Fine deletion e) Est. errors 5. Warrant number 6. Warrant date 7. Time for fine balance 8. Amount 9. Transaction number 10. Account balance

Sub function	Module
<ul style="list-style-type: none"> 11. Component (multiple) 12. Component dollars paid (multiple) 13. Component balance (multiple) 	
A.22.5.4	Ability to add additional source order codes
A.22.5.5	Ability to maintain client/collector information and display the following:
	<ul style="list-style-type: none"> 1. Case number 2. Client number 3. Case/Client name 4. Social Security number 5. Sex 6. Date of birth 7. Client address 8. Client telephone number 9. Message telephone number
	<ul style="list-style-type: none"> 10. Business name 11. Business address 12. Business telephone number 13. Juvenile name 14. Term 15. Probation Officer 16. Comment date (multiple) 17. Comments (multiple) 18. Pending date (multiple) 19. Referred amount 20. Status 21. Other balance 22. Court date 23. Net payments amount 24. Monthly payment amount 25. Fine balance 26. Fee balance 27. Other fines amount/due dates 28. Restitution balance 29. Current balance 30. Arrears amount 31. Collector ID/Extension

Sub function	Module
<p>A.22.5.6 Ability to maintain victim information and display the following information:</p> <ol style="list-style-type: none"> 1. Victim number 2. Victim name 3. Address 4. Home telephone number 5. Business telephone number 6. Established amount 7. Balance 8. Amount paid 9. Last paid date 10. Case number 11. Co-defendant information (multiple) 12. Date of loss 13. Policy information 14. Undistributed funds to victim 15. Explanation of loss 	
<p>A.22.5.7 Ability to maintain package information and display the following:</p> <ol style="list-style-type: none"> 1. Package number 2. Number of accounts 	
<ol style="list-style-type: none"> 3. Referring organization 4. Referring case number 5. Name 	
<ol style="list-style-type: none"> 6. Alias 7. Date of birth 8. Social Security Number 9. Drivers license number 10. Home address 11. Home telephone number 12. Business address 13. Business telephone number 14. Status 15. Collector ID 16. Monthly payment amount 17. Balance 	
<p>A.22.5.8 Ability to maintain account balance detail and display the following:</p> <ol style="list-style-type: none"> 1. Referring organization 	

Sub function	Module
<ol style="list-style-type: none"> 2. Referring case number 3. Name 4. Referred amount 5. Status 6. Payments 7. Charges 8. Credits 9. Current balance 10. Monthly payment amount 11. Next due date 12. Arrears amount 13. Pre-paid amount 14. Partial payment 15. Component detail 16. Component amount (multiple) 17. Over 01/30/60/90 days (multiple) 	

A.22.6 On-line Inquiries

Sub function	Module
A.22.A.1 Ability to view detailed collections information on-line	
A.22.A.2 Ability to display the following by Collector: <ol style="list-style-type: none"> 1. Collector name 2. Case status code 3. Organization code 4. Defendant name 5. Payment amount 6. Current balance 7. Pending date 	
A.22.A.3 Provide on-line victim payment history	

A.22.7 Reports and Output

Sub function	Module
A.22.7.1 Ability for collections to run ad hoc cashier reports	
A.22.7.2 Ability to create and maintain standard letter formats	
A.22.7.3 Automatically generate letters based upon case status, collection activity and	

Sub function	
	user-defined parameters for default amounts, etc.
A.22.7.4	<p>Ability to automatically refer cases based upon user- defined periods and generate tape or electronic transfer to the Franchise Tax Board Court Ordered Debt Collections for:</p> <ol style="list-style-type: none"> 1. Formal Probation cases 2. Civil assessments 3. Other (user-defined)
A.22.7.5	Provide automated Contract For Payment Form
A.22.7.6	<p>Provide edit lists based on user-defined tolerances:</p> <ol style="list-style-type: none"> 1. Dollar amount 2. Date of payment arrangement 3. Other (user-defined)
A.22.7.7	<p>Payment arrangement notices</p> <ol style="list-style-type: none"> 1. Automate forms used at time of interview directly out of court or during client's financial evaluation, including: <ol style="list-style-type: none"> a. Automatic transfer of data (name, case number, amount due, etc.) b. Provide monthly payment amount and beginning date c. Generate form for signatures d. Automatic update of payment arrangement information in collection file <ol style="list-style-type: none"> I. New monthly payment amount II. Payment start date III. User ID for who approved the arrangement e. Generate docket code regarding payment arrangement agreement f. Automatically generate notice and update case information g. Automatically generate a list of temporary payment arrangement cases and not lose case information h. Ability to display financial evaluation appointments and outcome
A.22.7.8	<p>Memorandums to the Court</p> <ol style="list-style-type: none"> 1. Automate court forms upon completion of financial evaluation: <ol style="list-style-type: none"> a. Generate information from automated payment arrangement notices onto collections recommendation form for a court hearing b. Automatically generate docket entry with payment arrangement information ~

Sub function
<p>A.22.7.9 Juvenile Care Cost Memorandums</p> <ol style="list-style-type: none"> 1. Automate forms used upon completion of a financial evaluation which has been ordered by the judge or upon request of the parent/legal guardian 2. Include information from automated payment arrangement to be documented on a collections recommendation form: <ol style="list-style-type: none"> a. Upon payment arrangement, generate recommendation notice for juvenile care cost
<ol style="list-style-type: none"> b. Generate docket entry if judge requests a financial review c. Generate docket entry if parent or guardian does not have ability to pay juvenile care costs or public defender fees and calendar line for ruling d. Generate docket entry of disputed payment recommendations and proposed payment arrangement and calendar line for juvenile court hearing - <p>A.22.7.10 Summary Probation Violation of Probation Declaration</p> <ol style="list-style-type: none"> 1. Automate forms completed by collectors referring a case back to court due to nonpayment of restitution or fine <ol style="list-style-type: none"> a. Ability to automatically generate and distribute Violation of Probation (VOP) forms b. Automatically notate/update collections information that a VOP form has been generated and distributed and who completed the request c. Automatically generate docket entry of the VOP filed, its date and who filed it

APPENDIX B

REQUEST FOR PROPOSALS

FOR

CASE MANAGEMENT SYSTEMS SOFTWARE

APPENDIX B DRAFT NON-FUNCTIONAL REQUIREMENTS

This section includes the non-functional requirements that the Court has stipulated for the new case management system. In addition to the requirements described in this section, Vendors shall consider details in Section V of this RFP related to the current computing infrastructure, number of court locations and number of case filings per location when evaluating the requirements for the system.

B.1 OPERATING ENVIRONMENT**B.1.1 Client Platform**

Client applications shall be operable on the following hardware/software platform:

- (a) Microsoft Windows 98/NT/2000/XP workstation
- (b) Intel Pentium II 400 mHz CPU or better; 64 MB RAM; 10 GB hard disk; 10/100 Mb network card
- (c) Web browser that supports the following specifications: HTML 3.2+, ECMA Script, XML 1.0+

B.1.2 Server Platform

Server applications shall be operable on one of the following operating systems:

- (a) Sun Solaris
- (b) IBM AIX
- (c) Microsoft Windows 2000 Server
- (d) RedHat Linux

B.1.3 Database Platform

The system shall use Oracle as the primary relational database management system.

B.2 ARCHITECTURAL CONSTRAINTS**B.2.1 Standards Compliance**

The requirements related to standards compliance include:

- (a) The system shall be developed using industry standards and APIs when available as opposed to proprietary solutions.
- (b) The system shall communicate over the Court's LAN/WAN using the TCP/IP protocol.

B.2.2 General Design

The requirements related to the design of the system include:

- (a) The system design shall be object-oriented.
- (b) Object-oriented concepts (e.g., encapsulation, information hiding, state retention, object identity, messages, classes, inheritance, polymorphism, genericity) shall be used appropriately throughout the design.
- (c) Standard UML notation shall be used to document the design.
- (d) The system design shall partition presentation, business logic and persistence objects into separate tiers.
- (e) End users shall access the system through a Web browser. Installation and configuration of client applications shall be minimal.
- (f) Use of stored procedures and triggers to implement business logic in the persistence tier shall be avoided if the system's performance requirements can be achieved by other means.

B.2.3 Enterprise Component Architecture

The system shall consist of reusable software components and services that leverage the enterprise component architecture platform's system-level services to simplify application programming and allow the components to be customized to use resources available in the environment in which they are deployed. Further, the components and services shall use the APIs provided by the platform to implement database, transaction, naming and directory, and messaging functionality. Finally, the collaborating components shall communicate across well-defined interfaces provided by the platform.

B.2.4 Enterprise Component Architecture Platform

The system shall use either Sun's J2EE or Microsoft's .NET platform.

B.2.5 Storage Architecture

The requirements related to the storage architecture include:

- (a) The Vendor shall provide a data dictionary that describes all aspects of the system's data model. The data dictionary shall be maintained within a database modeling tool (e.g., AllFusion Erwin Data Modeler).
- (b) The database shall be designed to enforce referential integrity.
- (c) The system shall prevent incomplete or incorrect data from being processed and prevent information from being processed in the wrong sequence.

- (d) The database design shall avoid database features (e.g., stored procedures) that limit the ability to extract data from the system using third-party reporting tools.
- (e) If the Vendor determines that a separate database is required to support the system's reporting requirements, the system shall update this separate database in real time to keep the data used for reporting purposes synchronized with the production system.
- (f) Any action that requires modifying the contents of the database shall occur in real time as opposed to occurring during a batch update process.

B.3 OTHER REQUIREMENTS

B.3.1 System Management

The requirements related to systems management include:

- (a) The system shall include a comprehensive set administrative tools to monitor applications, systems, and resources; set configuration parameters; and manage and deploy changes to the system.
- (b) The system shall provide users the ability to remotely monitor and administer all system devices using industry-standard protocols (e.g., SNMP).
- (c) The system shall integrate with an industry-standard application management and performance monitoring solution (e.g., Tivoli, Unicenter, BMC).

B.3.2 Backup and Recovery

The system shall provide backup and recovery procedures for all data maintained by the system. System administrators shall be able to schedule an unattended backup of the system while the system remains operational. The backup and recovery procedures shall be clearly documented.

B.3.3 Availability

The system shall be available 24 hours a day, 7 days a week. The system shall not be designed to require regular downtime for any type of maintenance.

B.3.4 Security

The requirements related to the security of the system include:

- (a) The system shall provide strict security controls to prevent unauthorized use of the system and its data by limiting access to privileged application functionality, data records, and data elements where appropriate.
- (b) The system shall encrypt sensitive data (e.g., credit card numbers) prior to storing the data in the database.

- (c) If multiple instances of the system are deployed, each Court's data must reside in separate logical databases, which are secured independently of one another.
- (d) The following properties pertaining to password controls shall be configurable by privileged users of the system:
 - (i) Password length
 - (ii) Password composition
 - (iii) Password encryption of the network
 - (iv) Frequency of password change
 - (v) Frequency of password reuse
 - (vi) Number of login failures after which the user will be denied access to the system
- (e) The system shall provide users the ability to generate reports containing details regarding failed login attempts. The details shall include the user identification and the time.
- (f) The system shall terminate sessions after a specific period of inactivity from the user.
- (g) The system shall maintain a transaction audit trail of all changes to sensitive data.
- (h) The system shall interoperate with VPNs, proxies and firewalls
- (i) The system shall interoperate with an industry-standard directory service that supports the LDAP protocol.
- (j) The system shall support 256-bit encryption of session traffic when accessing any National Crime Information Center (NCIC) data, as this level of encryption is required by NCIC.
- (k) The system shall not impede the database or operating system's security provisions that protect system data from being accessed by unauthorized users from outside the application.

B.3.5 Performance

The system shall provide transaction response times that are comparable to "best in class" enterprise applications under similar usage scenarios. More specific performance goals for different aspects of the system will be enumerated during detailed requirements analysis for the project.

B.3.6 Scalability

The system's capacity in terms of concurrent user sessions, transaction processing and data storage shall be adequate for the Court's environment and usage scenarios detailed in Section V of this RFP. The system shall scale to handle future demands by adding parallel resources (or by other means) without requiring modification to the design of the system.

B.3.7 Usability

The requirements related to the usability of the system include:

- (a) The system shall use function keys, accelerators and mnemonics consistently throughout the application.
- (b) The system shall allow users to quickly navigate from any screen to any other screen within the application.
- (c) The system shall use scroll bars, page up/down keys and arrow keys consistently throughout the application to scroll content in tables and edit controls.
- (d) The system shall disable input fields that are not currently available to the user. Disabled input fields shall be visually distinguishable from enabled input fields.
- (e) Key combinations used to navigate between input fields shall follow standard Microsoft Windows conventions (i.e., Tab and Shift-Tab).
- (f) Where applicable, the system shall allow users to select values from a list rather than entering the value manually.
- (g) Pop-up windows shall minimally obscure the parent window.
- (h) Error messages shall be written in user, rather than technical, terms and shall explain how to recover from the error.
- (i) The system shall employ tooltips, also referred to as balloon help, on all input fields to further describe the purpose of the input field.
- (j) The system shall use visual indicators and audible alerts to provide feedback to the user. The system shall allow users to enable or disable these feedback mechanisms.
- (k) The system shall perform printing functions in the background to allow users to perform other tasks concurrently.
- (l) The system shall be fully navigable using either the mouse or keyboard.
- (m) Icons for common system functions shall be used consistently throughout the application.
- (n) The system shall provide auto-complete capabilities when typing within an input field.
- (o) All data entry screens shall visually distinguish required input fields from optional input fields.
- (p) Input fields shall be auto-populated with default values, if a default value has been assigned.

- (q) The system shall provide users the ability to review the all data entered on multiple-page data entry screens prior to submitting the data.
- (r) Data entry screens shall be formatted consistently throughout the application. Each data entry screen shall include the name of the system, the name/description of the screen, the user's ID, a list of function keys/commands that apply to the screen, and the screen number for multiple-page data entry screens (e.g., Page 1 of 3).
- (s) Invalid entries that have been entered in an input field shall be visually distinguishable to the user. The system shall also position the cursor on the input field to facilitate easy correction of the entry.
- (t) Data entry screens shall clearly indicate how to proceed to complete each task.

B.3.8 Interoperability

The requirements related to the interoperability of the system include:

- (a) The system shall provide the ability to interface and integrate with external systems via industry-standard protocols (e.g., XML-RPC, SOAP).
- (b) The system shall support the ability to export data to XML and delimited ASCII text files to allow the data to be used in other systems.
- (c) The system shall be able to create EBCDIC format data files that can be transmitted via tape or CD media to facilitate integration with the Department of Justice.
- (d) The system shall support LU 6.2/APPC for batch, or 3270 terminal emulation mode and the LU2/APPC protocol for online processing, to facilitate integration with the Department of Motor Vehicles (DMV).
- (e) The system shall use LegalXML to represent specific types of data for which standards have been defined.
- (f) The system design shall be flexible enough to meet integration requirements with
 - (i) workflow, document management, forms, and imaging and digital recording applications,
 - (ii) public access and electronic filing/publishing applications,
 - (iii) financial and cashiering applications, and
 - (iv) human resources applications.

B.3.9 Accessibility

The system shall allow Court personnel and other authorized users to access the system from outside the Courts' LAN/WAN. Connections shall be established via the Secure Sockets Layer (SSL) and HTTPS. 128-bit encryption shall be used for session traffic. Reasonable response times are expected over 56k connections. Therefore, consideration should be given to the size of presentation assets such as Web pages and graphics. Further, user confirmation shall be required before downloading large assets over a remote connection.

B.3.10 Compatibility

The system, and its security implementation, shall be compatible with third-party reporting tools (e.g., Crystal Reports).

B.3.11 Maintainability

Values for table driven functionality shall be modifiable by privileged users of the system without requiring database administration or programming skills.

B.3.12 Business Rules and Workflow Capabilities

The system shall be designed around a case management system framework that can be tailored to the Court's specific business processes by configuring business rules and workflow parameters. Non-programmer staff shall be able to perform these configuration tasks without recompiling the system.

B.3.13 Programming Languages

The system shall be developed using modern object-oriented programming languages, which by industry standards are suitable for developing systems comparable to the CMS described in this RFP.

B.3.14 Design and Development Tools

The system shall be designed and developed using current generation tools. The project shall leverage visual modeling tools that integrate analysis and design activities with actual code development (e.g., Rational Rose).

B.3.15 Documentation

The Vendor shall provide the following documentation as well as any documentation mandated by the methodologies described in Section I of this RFP:

- (a) End-user documentation (includes online help system and printed manuals)
- (b) (End-user documentation shall explain how to achieve all tasks within the system. The online help system shall be consistently implemented throughout the application and include context-sensitive help capabilities. The online help system and printed manuals shall be modifiable by the Court to facilitate the ability to add local policy information.
- (c) System Administration procedures
- (d) Installation procedures

APPENDIX C

REQUEST FOR PROPOSALS

FOR

CASE MANAGEMENT SYSTEMS SOFTWARE

**APPENDIX C SAMPLE FORM: PROFESSIONAL SERVICES AGREEMENT–
PHASE ONE**

This Professional Services Agreement (the “Agreement”), dated as of _____, 2003 (the “Effective Date”), is entered into by and between _____, (“Contractor”) a _____ corporation having a place of business at _____ (“Contractor”), and the Administrative Office of the Courts (“AOC”).

WHEREAS, the AOC published a Request for Proposal, dated [____ *date* _____], and Addenda Numbers _____ (collectively, the “RFP”) for Case Management Systems Software, a copy of which is attached and incorporated as Exhibit A;

WHEREAS, the RFP contemplates that the work will be implemented in two phases; the Assessment and Analysis Phase (Phase One), and the Design, Develop, and Deploy Phase (Phase Two);

WHEREAS, the Contractor submitted a response to such RFP, and has represented that it is qualified and capable of providing the services specified in the RFP;

WHEREAS, the Contractor has been selected to perform the Phase One services requested in the RFP.

NOW THEREFORE, in consideration of the representations and agreements contained herein, the parties hereby covenant and agree as follows:

C.1 COMPONENTS OF THE AGREEMENT

C.1.1 Component Parts and Precedence of Documents. The following documents, and each and every provision in their entirety, are attached and incorporated as part of this Agreement:

Exhibit A: AOC RFP dated _____, including Addenda Nos. ____ through ____

Exhibit B: Statement of Work

Exhibit C: List of AOC–Provided Resources

Exhibit D: Schedule of Deliverables

Exhibit E: Pricing Schedule and Hourly Rates

The documents are intended to be the complete Agreement, but in the event of any conflict, omission or inconsistency between the provisions in the documents, the order of precedence shall be in the order listed above.

C.2 SCOPE OF SERVICES

C.2.1 Rendition of Services. The Contractor agrees to furnish the AOC with all the services, materials and equipment and perform any and all work to provide Phase One Services in accordance with the terms and conditions of this Agreement.

C.2.2 Scope of Services. The scope of the Contractor's services to the AOC will consist of those services, materials, equipment and work as described in Sections 1.3.2 and 1.3.3 of Exhibit A, as supplemented by Exhibit B, "Statement of Work."

C.2.3 Status Reporting. The Contractor will provide written status reports, prepared using such application software as the AOC may request, to the AOC every two (2) weeks while performance of the Phase One Services is in progress, containing such information as the AOC may reasonably request.

C.2.4 Status Meetings. At least every two (2) weeks, the Contractor shall hold status meetings or status conference calls, at the AOC's option, in order to review the status of the Contractor activities. Such meetings and calls will be conducted at such times as are mutually agreed and, if status meetings are requested by the AOC, the meetings shall be held at the AOC offices located at 2233 North Ontario Street, Suite 100, Burbank, CA 91504. Each party shall prepare for and attend such status meetings at their own expense.

C.2.5 Provision of Resources. Except where this Agreement specifically provides otherwise, or as more particularly described in Exhibit C, "List of AOC-Provided Resources," the Contractor is responsible for providing any and all facilities, assets, and resources (including personnel, facilities, equipment, and software) necessary and appropriate for delivery of the Phase One Services and to meet the Contractor's obligations under this Agreement. Assets to which access is being provided for use by the Contractor (including equipment, software licenses and third party service contracts) are provided on an "as is, where is" basis, and the AOC does not provide the Contractor any representations or warranties regarding such assets.

C.3 SCHEDULE OF DELIVERABLES

C.3.1 Delivery. The Contractor shall complete and deliver to the AOC any Deliverable(s) owed to the AOC pursuant to Exhibits A and B in accordance with the time periods set forth in Exhibit D, "Schedule of Deliverables."

C.3.2 Acceptance. The parties acknowledge and agree that the purpose of this Agreement is the development of a detailed Project Plan and pricing for the subsequent design, development, testing and deployment of a case management software system. Each Deliverable provided by the Contractor to the AOC will be subject to the AOC's review and acceptance. Notwithstanding any provision of this Agreement, nothing in this Agreement limits or restricts the AOC's discretion in selecting the Phase Two contractor in accordance with the terms set forth in the RFP.

C.4 PAYMENT TERMS

C.4.1 **Compensation.** The AOC agrees to pay the Contractor a fixed lump sum price of _____ (\$_____) for the performance of the Phase One Services. Said sum shall include labor, materials, equipment, taxes, insurance, subcontractor costs, travel expenses, profit, overhead and all other costs and expenses incurred by Contractor.

C.4.2 **Fees and Invoice.** Contractor will invoice the AOC upon completion of all Deliverables for Phase One services. The AOC will not make any advance payment for services. The Contractor will invoice the AOC in accordance with Exhibit E, "Pricing Schedule and Hourly Rates ." Contractor's invoice shall contain a description of the work performed, the persons performing said work, the number of hours worked by personnel classification and applicable hourly rates, and any expenses. The applicable hourly rates, by personnel classification, as set forth in Exhibit E, shall remain in effect for the duration of the Phase One engagement.

C.4.3 **Payment.** Payment will be made net sixty (60) days of the AOC's receipt of a correct, itemized invoice from the Contractor submitted after acceptance in accordance with the terms hereof by the AOC of the Services and Deliverables covered under such invoice.

C.4.4 **Taxes.** The AOC is exempt from federal excise taxes and no payment shall be made for any personal property taxes levied on the Contractor or on any taxes levied on employee wages. The AOC shall pay only for any state or local sales, services or similar use taxes that apply to the services rendered under this Agreement.

C.5 TERM AND TERMINATION

C.5.1 **Effective Date.** The Agreement will be effective upon execution by the Contractor and the AOC.

C.5.2 **Term.** The term of this Agreement shall commence as of the Effective Date and shall continue, unless sooner terminated as provided herein, until final completion of the Phase One services and acceptance of the Phase One Deliverables, in accordance with Exhibit D.

C.6 SERVICE OF NOTICE

Any notice required or permitted to be given by this Agreement shall be deemed given when personally delivered to recipient thereof or mailed by registered or certified mail, return receipt requested, postage prepaid, to the appropriate recipient thereof, in the case of the Contractor at the business address specified in its proposal, and in the case of the AOC, at 2233 North Ontario Street, Suite 100, Burbank, CA 91504, or at any other address which either party may subsequently designate in writing to the other party.

Each party hereby appoints the individual listed opposite its name to act as its initial agent for service of process relating to any such action:

AOC: Administrative Office of the Courts
455 Golden Gate Avenue, Fifth Floor
San Francisco, CA 94102-3660
Attn: _____

Copy to: Office of the General Counsel
455 Golden Gate Avenue, Fifth Floor
San Francisco, CA 94102-3660
Attn: _____

Contractor: _____

C.7 COUNTERPARTS

This Agreement may be executed in one or more counterparts, each of which shall be deemed an original, but taken together, all of which shall constitute one and the same Agreement.

C.8 ENTIRE AGREEMENT

This Agreement constitutes the entire agreement and final understanding of the parties with respect to the subject matter hereof and supersedes and terminates any and all prior and/or contemporaneous negotiations, representations, understandings, discussions, offers and/or agreements between the parties, whether written or verbal, express or implied, relating in any way to the subject matter hereof.

IN WITNESS WHEREOF, and intending to be legally bound hereby, the parties have caused this instrument to be duly executed as of the date first written above.

CONTRACTOR

JUDICIAL COUNCIL OF CALIFORNIA,
ADMINISTRATIVE OFFICE OF THE
COURTS

By: _____

By: _____

Its: _____

Its: _____

By: _____

By: _____

Its: _____

Its: _____

Approved as to form:

Approved as to form:

SAMPLE FORM: PROFESSIONAL SERVICES AGREEMENT – PHASE TWO

This Professional Services Agreement (the “Agreement”), dated as of _____, 2003 (the “Effective Date”), is entered into by and between _____, (“Contractor”) a _____ corporation having a place of business at _____ (“Contractor”), and the Administrative Office of the Courts (“AOC”).

WHEREAS, the AOC published a Request for Proposal, dated [____ *date* ____], and Addenda Numbers _____ (collectively, the “RFP”) for Case Management Systems Software, a copy of which is attached and incorporated as Exhibit A;

WHEREAS, the RFP contemplates that the work will be implemented in two phases; the Assessment and Analysis Phase (Phase One), and the Design, Develop, and Deploy Phase (Phase Two);

WHEREAS, the Contractor was selected to perform the Phase One services, and has represented that it is qualified and capable of providing the Phase Two services specified in the RFP;

WHEREAS, the Contractor has been selected to perform the Phase Two services requested in the RFP.

NOW THEREFORE, in consideration of the representations and agreements contained herein, the parties hereby covenant and agree as follows:

C.9 COMPONENTS OF THE AGREEMENT

C.9.1 Component Parts and Precedence of Documents. The following documents, and each and every provision in their entirety, are attached and incorporated as part of this Agreement:

Exhibit A: AOC RFP dated _____, including Addenda Nos. ____ through ____

Exhibit B: Statement of Work

Exhibit C: List of AOC–Provided Resources

Exhibit D: Schedule

Exhibit E: Acceptance Standards

Exhibit F: Pricing Schedule and Hourly Rates

The documents are intended to be the complete Agreement, but in the event of any conflict, omission or inconsistency between the provisions in the documents, the order of precedence shall be in the order listed above.

C.10 SCOPE OF SERVICES

C.10.1 Rendition of Services. The Contractor agrees to furnish the AOC with all the services, materials and equipment and perform any and all work to provide Phase Two Services in accordance with the terms and conditions of this Agreement.

C.10.2 Scope of Services. The scope of the Contractor's services to the AOC will consist of those services, materials, equipment and work as described in Sections 1.3.2 and 1.3.4 of Exhibit A, as supplemented by Exhibit B, "Statement of Work."

C.10.3 Status Reporting. The Contractor will provide written status reports, prepared using such application software as the AOC may request, to the AOC every two (2) weeks while performance of the Phase Two Services is in progress, containing such information as the AOC may reasonably request.

C.10.4 Status Meetings. At least every two (2) weeks, the Contractor shall hold status meetings or status conference calls, at the AOC's option, in order to review the status of the Contractor activities. Such meetings and calls will be conducted at such times as are mutually agreed and, if status meetings are requested by the AOC, the meetings shall be held at the AOC offices located at 2233 North Ontario Street, Suite 100, Burbank, CA 91504. Each party shall prepare for and attend such status meetings at their own expense.

C.10.5 Provision of Resources. Except where this Agreement specifically provides otherwise, or as more particularly described in Exhibit C, "List of AOC-Provided Resources," the Contractor is responsible for providing any and all facilities, assets, and resources (including personnel, facilities, equipment, and software) necessary and appropriate for delivery of the Phase Two Services and to meet the Contractor's obligations under this Agreement. Assets to which access is being provided for use by the Contractor (including equipment, software licenses and third party service contracts) are provided on an "as is, where is" basis, and the AOC does not provide the Contractor any representations or warranties regarding such assets.

C.11 SCHEDULE

C.11.1 Delivery. The Contractor shall complete and deliver to the AOC any Deliverable(s) owed to the AOC pursuant to Exhibits A and B in accordance with the time periods set forth in Exhibit D, "Schedule."

C.11.2 Acceptance. All Contractor-supplied technology, software, services and other deliverables supplied under this Agreement shall conform to the provisions of Section 4.11(3) of Exhibit A and such other acceptance standard specified by the AOC and set forth in Exhibit E.

C.12 PAYMENT TERMS

C.12.1 Compensation. The AOC agrees to pay the Contractor a sum not to exceed _____ (\$ _____) for the performance of the Phase Two Services. Said sum shall include labor, materials, equipment, taxes, insurance, subcontractor costs, travel expenses, profit, overhead and all other costs and expenses incurred by Contractor. A breakdown of the sum-not-to-exceed amount by task is set forth in Exhibit F.

C.12.2 Fees and Invoice. The Contractor will invoice the AOC for Phase Two services in accordance with Exhibit F, "Pricing Schedule and Hourly Rates," upon completion of each Deliverable and acceptance by the AOC. Contractor's invoice shall contain a description of the work performed, the persons performing said work, the number of hours worked by personnel classification and applicable hourly rates, and any expenses. The applicable hourly rates, by personnel classification, as set forth in Exhibit F, "Pricing Schedule and Hourly Rates," shall remain in effect for the duration of the Phase Two engagement. The AOC will not make any advance payment for services. The AOC may withhold ten percent of each invoice until receipt and acceptance by the AOC of all Services and Deliverables.

C.12.3 Payment. Payment will be made net sixty (60) days of the AOC's receipt of a correct, itemized invoice from the Contractor submitted after acceptance in accordance with the terms hereof by the AOC of the Services and Deliverables covered under such invoice.

C.12.4 Taxes. The AOC is exempt from federal excise taxes and no payment shall be made for any personal property taxes levied on the Contractor or on any taxes levied on employee wages. The AOC shall pay only for any state or local sales, services or similar use taxes that apply to the services rendered under this Agreement.

C.13 TERM AND TERMINATION

C.13.1 Effective Date. The Agreement will be effective upon execution by the Contractor and the AOC.

C.13.2 Term. The term of this Agreement shall commence as of the Effective Date and shall continue, unless sooner terminated as provided herein, until final completion of the Phase Two services and acceptance of the Phase Two Deliverables, in accordance with Exhibit D.

C.14 SERVICE OF NOTICE

Any notice required or permitted to be given by this Agreement shall be deemed given when personally delivered to recipient thereof or mailed by registered or certified mail, return receipt requested, postage prepaid, to the appropriate recipient thereof, in the case of the Contractor at the business address specified in its proposal, and in the case of the

AOC, at 2233 North Ontario Street, Suite 100, Burbank, CA 91504, or at any other address which either party may subsequently designate in writing to the other party.

Each party hereby appoints the individual listed opposite its name to act as its initial agent for service of process relating to any such action:

AOC: Administrative Office of the Courts
455 Golden Gate Avenue, Fifth Floor
San Francisco, CA 94102-3660
Attn: _____

Copy to: Office of the General Counsel
455 Golden Gate Avenue, Fifth Floor
San Francisco, CA 94102-3660
Attn: _____

Contractor: _____

C.15 COUNTERPARTS

This Agreement may be executed in one or more counterparts, each of which shall be deemed an original, but taken together, all of which shall constitute one and the same Agreement.

C.16 ENTIRE AGREEMENT

This Agreement constitutes the entire agreement and final understanding of the parties with respect to the subject matter hereof and supersedes and terminates any and all prior and/or contemporaneous negotiations, representations, understandings, discussions, offers and/or agreements between the parties, whether written or verbal, express or implied, relating in any way to the subject matter hereof.

IN WITNESS WHEREOF, and intending to be legally bound hereby, the parties have caused this instrument to be duly executed as of the date first written above.

CONTRACTOR

JUDICIAL COUNCIL OF CALIFORNIA,
ADMINISTRATIVE OFFICE OF THE
COURTS

By: _____

By: _____

Its: _____

Its: _____

By: _____

By: _____

Its: _____

Its: _____

Approved as to form:

Approved as to form:

APPENDIX D

REQUEST FOR PROPOSALS

FOR

CASE MANAGEMENT SYSTEMS SOFTWARE

APPENDIX D REQUIRED PROPOSAL FORMS

D.1 PRICING PAGE

A. Phase One Fixed Fee:

Provide the Fixed Fee broken down into the following Components:

Phase One Professional Services: \$ _____.

Estimated Expenses Not to Exceed: \$ _____.

Total Fixed Fee for Phase One: \$ _____.

B. List any Court Provided Resources that are assumed in the Phase One Fixed Fee (e.g., office space, computers, software, network connectivity, telephones, etc.) (Use additional pages if needed.)

C. Professional Services Hourly Rates by Role/Level:

Role/Level	Hourly Rates
Executive	
Senior Manager	
Project Manager	
Business Analyst	
Senior Consultant	
Programmer/Analyst	
Technical Writer	
Consultant	

List annual escalation percentage, if any, for Years Two, Three and Four of the engagement: _____

These hourly rates shall remain in effect for the duration of Phase One Services, and if award is made, for the duration of Phase Two Services.

NOTE: THIS PRICE QUOTE SHALL CONFORM WITH THE PROVISIONS LISTED UNDER SECTION 3.5, COST PROPOSAL FORMAT AND CONTENT. IN ADDITION TO THIS PRICING PAGE, PROPOSER OR SHALL SUBMIT ALL OTHER INFORMATION REQUESTED UNDER THAT SECTION.

The undersigned proposer submits this Pricing Page and binds itself to the prices and hourly rates indicated upon contract award.

Name under which business is conducted: _____

Business address: _____

Telephone number: (_____) _____ Facsimile number: (_____) _____

MANDATORY SIGNATURE(S):

IF SOLE OWNER, sign here:

I sign as sole owner of the business named above:

IF PARTNERSHIP, one or more partners sign here:

The undersigned certify that we are partners in the business named above and that we sign this contract proposal with full authority so to do:

IF CORPORATION, two corporate officers sign here:

The undersigned certify that they sign this contract proposal with full and proper authorization so to do:

Corporate name: _____

By: _____ Title: _____

By: _____ Title: _____

Incorporated under the laws of the State of _____

IF JOINT VENTURE, officers of each participating firm sign here:

The undersigned certify that they sign this contract proposal with full and proper authorization so to do:

Joint Venture name composed of: _____

By: _____ Title: _____

By: _____ Title: _____

D.2 DISABLED VETERANS BUSINESS ENTERPRISE FORM:

Propser Name: _____

RFP Project Title: _____

RFP Number: _____

The State’s goal of awarding of at least three percent (3%) of the total dollar contract amount to Disabled Veterans Business Enterprise (DVBE) has been achieved for this Project. *Check one:*

Yes _____ (Complete Parts A & C only)

No _____ (Complete Parts B & C only)

“Contractor’s Tier” is referred to several times below; use the following definitions for tier:

0 = Prime or Joint Contractor;

1 = Prime subcontractor/supplier;

2 = Subcontractor/supplier of level 1 subcontractor/supplier

PART A – COMPLIANCE WITH DVBE GOALS

Fill out this Part ONLY if DVBE goal has been met; otherwise fill out Part B.

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT

(a) PRIME CONTRACTOR

Company Name: _____

Nature of Work _____ Tier: _____

Claimed Value: DVBE \$ _____

Percentage of Total Contract Cost: DVBE _____%

SUBCONTACTORS/SUBCONTRACTOR/PROPOSERS/SUPPLIERS

1. Company Name: _____
 Nature of Work: _____ Tier: _____
 Claimed Value: _____ DVBE \$. _____

 Percentage of Total Contract Cost: DVBE _____%

2. Company Name: _____
 Nature of Work: _____ Tier: _____
 Claimed Value: _____ DVBE \$ _____

 Percentage of Total Contract Cost DVBE _____%

3. Company Name: _____
 Nature of Work: _____ Tier: _____
 Claimed Value: _____ DVBE \$ _____

 Percentage of Total Contract Cost DVBE _____%

GRAND TOTAL: DVBE _____%

PART B – ESTABLISHMENT OF GOOD FAITH EFFORT

Fill out this Part ONLY if DVBE goal will not be met but you have made a good faith effort to meet such goal.

INCOMPLETE DOCUMENTATION MAY RESULT IN DISQUALIFICATION FROM FURTHER PARTICIPATION IN SELECTION PROCESS FOR THIS CONTRACT

1. List contacts made with personnel from state or federal agencies, and with personnel from DVBEs to identify DVBEs.

<i>Source</i>	<i>Person Contacted</i>	<i>Date</i>

- List the names of DVBE's identified from contacts made with other state, federal, and local agencies.

<i>Source</i>	<i>Person Contacted</i>	<i>Date</i>

- If an advertisement was published in trade papers and/or papers focusing on DVBEs, attach proof of publication.

<i>Publication</i>	<i>Date(s) Advertised</i>

- Solicitations were submitted to potential DVBE contractors (list the company name, person contacted, and date) to be subcontractors. Solicitation must be job specific to plan and/or contract.

<i>Company</i>	<i>Person Contacted</i>	<i>Date Sent</i>

- List the available DVBEs that were considered as subcontractors or suppliers or both. (Complete each subject line.)

<i>Company Name:</i>	
<i>Contact Name & Title:</i>	
<i>Telephone Number:</i>	
<i>Nature of Work:</i>	

<i>Reason Why Rejected:</i>	
------------------------------------	--

<i>Company Name:</i>	
<i>Contact Name & Title:</i>	
<i>Telephone Number:</i>	
<i>Nature of Work:</i>	
<i>Reason Why Rejected:</i>	

<i>Company Name:</i>	
<i>Contact Name & Title:</i>	
<i>Telephone Number:</i>	
<i>Nature of Work:</i>	
<i>Reason Why Rejected:</i>	

CERTIFICATION *(to be completed by Proposer)*

I hereby certify that I have made a diligent effort to ascertain the facts with regard to the representations made herein and, to the best of my knowledge and belief, each firm set forth in this bid as a Disabled Veterans Business Enterprise complies with the relevant definition set forth in section 1896.61 of Title 2, and section 999 of the Military and Veterans Code, California Code of Regulations. In making this certification, I am aware of section 10115 *et seq.* of the Government Code that establishes the following penalties for State Contracts:

Penalties for a person guilty of a first offense are a misdemeanor, civil penalty of \$5,000, and suspension from contracting with the State for a period of not less than thirty (30) days nor more than one (1) year.

Penalties for second and subsequent offenses are a misdemeanor, a civil penalty of \$20,000 and suspension from contracting with the State for up to three (3) years.

**IT IS MANDATORY THAT THE FOLLOWING BE COMPLETED ENTIRELY;
FAILURE TO DO SO WILL RESULT IN IMMEDIATE REJECTION.**

<i>Firm Name of Proposer:</i>	
<i>Signature of Person Signing for</i>	

Proposer	
Name (printed) of Person Signing for Proposer	
Title of Above-Named Person	
Date	

PART C – CONTRACT AMOUNT CERTIFICATION

To be filled out by ALL proposers.

I hereby certify that the “Contract Amount,” as defined herein, is the amount of \$_____. I understand that the “Contract Amount” is the total dollar figure against which the DVBE participation requirements will be evaluated.

Firm Name of Proposer	
Signature of Person Signing for Proposer	
Name (printed) of Person Signing for Proposer	
Title of Above-Named Person	
Date	

D.3 VENDOR CERTIFICATION FORM:

I certify that neither _____ (Bidder) nor any of its proposed subcontractors are currently under suspension or debarment by any state or the federal government agency, and that neither it, nor any of its proposed subcontractors are tax delinquent with the State of California. I have listed all contracts with government or commercial customers that have been terminated for cause or default by any government or commercial customer during the five years preceding submission of this proposal.

I acknowledge that if _____ (Bidder) or any of its subcontractors subsequently are placed under suspension or debarment by a local, state or federal government entity, or if _____ (Bidder) or any of its subcontractors subsequently become delinquent in California taxes, our proposal may be disqualified.

Signature

Printed Name

Title

Date