Appendix B-3a

for IT-DMS-2016-01-MDS

Business Requirements Specification

FOR

APPELLATE COURTS' DOCUMENT MANAGEMENT SYSTEM

REVISION 1.00

6/30/2016

Judicial Council of California
Administrative Division - Information Technology
455 Golden Gate Avenue, San Francisco, CA 94102-3688

CONTENTS

1.0 Introduction

1.1 REFERENCES

1.1.1 GLOSSARY

Term	Definition
Authorized User	Any user that is authorized to view or edit any document within the DMS.
Collaboration	Multiple Authorized Users working together to create and publish a document.
Appellate Courts	The Supreme Court and the 6 District Courts of Appeal.
DMS Case Documents	Includes any legal pleading or other Appellate Court generated document attached to a case as an official part of the court record plus those internal working documents used by the Appellate Court while working the case.
Doghouse Folder	Both a physical and electronic file. When a case is fully briefed, the clerks create a Doghouse folder that contains all of the case documents. As not all case documents are yet electronic, the physical Doghouse folder may contain more documents then the electronic version in ACCMS
Email Notification	Email message that is sent to notify the user of a required action.
Notification Alert	Email message that reminds the recipient that a pending due date is coming or has been superseded.
Priority	To put things in order of importance. The right to precede others in order, rank, privilege, etc.; precedence.
Public Facing Document	Any document attached to a case in ACCMS except those **not** flagged as (1) private; (2) confidential, (3) sealed or (4) any document that resides in a Confidential case.
Publish	The act of converting an official case pleading or legal document into a Public facing document.
Records Management	For the purposes of this document, Records Management only refers to electronic documents, not physical documents.
Steady State	A system when variables stay constant as time passes
System	Another term referencing the DMS.
Work Queue	A work queue is a list of documents that need to be worked on. A work queue(s) can be assigned to an individual or a workgroup.

1.1.2 ABBREVIATIONS

Abbreviation Term	Definition
DMS	Document Management System
DR	Disaster Recovery
ERM	Enterprise Records Management
IT	Information Technology, Administrative Division
TBD	To Be Determined; this information is still undergoing analysis and review.

1.1.3 ACRONYMS

Acronym Term	Definition
CP	A Collaboration Process - A common activity done by the Court were several entries participate in the creation of a document.
SME	A Subject Matter Expert (SME) is a person who is an expert in a particular area.

2.0 BUSINESS REQUIREMENTS

The following requirements were gathered from face to face interviews with clerks, judicial assistants, attorneys and Justices from all six California District Appellate Courts as well as the California Supreme Court. This is to be considered in conjunction with the main Functional Specifications document.

2.1.1 GENERAL BUSINESS REQUIREMENTS FOR A DMS

To better support the process of addressing appeals, the Courts need a tool that will increase their management of case related documents and collaboration between the clerks, judicial assistants, attorneys and justices in the creation of case documents.

The Courts require a DMS that will allow the grouping of all case related documentation into a DMS folder by Court. Sub-folders will be created within this Court folder. In the case where there are Divisions in a Court, the next level sub-folder would be a Division folder. When a case is created in ACCMS, a DMS Case folder is to be created within either the Court or Division folder. The DMS Case folder will contain all the current documents attached to a case in ACCMS plus all additional documents (emails, letters, votes, notes, etc.) that are used by the Court in making a decision on the case. The DMS Case folder will contain Published Documents (accessible by the Public via some type of Public Portal) as well as all working documents used by the Court in developing their decisions (not accessible by the Public). All documents will be managed using versioning and check-out/check-in controls. When documents are received and the clerks attach them to ACCMS manually or via the e-filing process, that attachment will cause the document to be stored in the DMS Case Folder. The link shown in ACCMS will point to the DMS Case Folder document location. If a document is opened via the ACCMS linkage, it will be controlled by the DMS for check-out/check-in and version control.

The Courts requires the DMS to support a very flexible Collaboration Process (CP). The CP should use work queues that can be assigned to individuals (Authorized Users) or Groups of Authorized Users (Workgroups). The DMS should allow the naming of the work queues by the Authorized Users so that they are meaningful to the Authorized Users for the CP that they are being used. Authorized Users or Groups can have more than one work queue assigned to them. When a document is saved, the DMS should allow for the assignment of that document to someone else's work queue or not. If they chose to assign the document to another AU, then the DMS will present a notification email that will be sent to that new AU indicating that their queue has been updated. The email should also allow for the current owner of the document to enter text in the email as well as adding CC and BCC addresses to the notification email. The CP should also have a voting sheet that allows for the gathering of consensus that the document is complete and ready to move to its next phase.

To support the CP at the time a Doghouse Folder is created in ACCMS, that action will create a Working Case folder (Doghouse) in the DMS Case Folder. This folder will not be accessible to the public. It will contain copies of all the Doghouse documents. Changes to these copies will not change the original document in the DMS Case folder. Authorized Users can add/update emails, letters, votes, notes, etc. into the Working Case Folder. It is in this folder that opinions are drafted and developed through collaboration between the Authorized Users. A document

can be published out of a Working Case Folder. The Working Case Folder must allow each court to manage how opinions are created. Each Justice may have their own copy of a draft opinion to mark up and then have someone merged the various drafts together at the appropriate time or a single draft opinion can be processed in a daisy chain fashion from one justice to the next.

Publishing a document is the act of converting that document into a non-editable format such as a pdf. The use of stamps can be done to a pdf format.

Work queues can also be used for none CP processes.

The DMS should also provide the capability to use templates to initiate the drafting and publishing of documents. Templates should be managed at a Court Folder level. Authorized Users should be able to create templates and add them to the Template folder.

Authorized Users can also gain access to Case documents by going directly to the DMS and opening the document. Again, the DMS will control the document for check-out/check-in and version control. Authorized Users should be able to access the DMS remotely and not have to be logged into the JCC network via VPN.

The DMS should also provide a mechanism to allow the transfer of a copy of the DMS Case Folder to another Court. This would be particularly valuable for cases going to the Supreme Court and their transfer back to the Appeals Court.

Some form of Public Portal should be created using Published Case documents in the DMS. This portal should allow the printing and/or downloading of Public Case Documents. The Portal should be able to handle the collection of fees for printing or downloading a document.

2.1.2 DETAILED BUSINESS DMS REQUIREMENTS – SEE APPENDIX B-01 – TECHNICAL REQUIRMENTS

2.1.3 CONVERSION REQUIREMENTS - – SEE APPENDIX B-01 – TECHNICAL REQUIRMENTS

3.0 AS-IS SWIM LANE DIAGRAMS

In the Appendix there are Swim Lane diagrams represent the high level workflow processes currently performed at each Appellate District Court and the Supreme Court. This information was gathered from onsite meetings with the Clerks, Judicial Assistants, Attorneys, Managing Attorneys, and Justices conducted between April 2016 and June 2016.

3.1 KEY COLLABORATION POINTS

During the interviews, it became clear that there were key collaboration points between multiple entities for the generation of a case document. The following shape diagrams were developed to document these collaboration points:

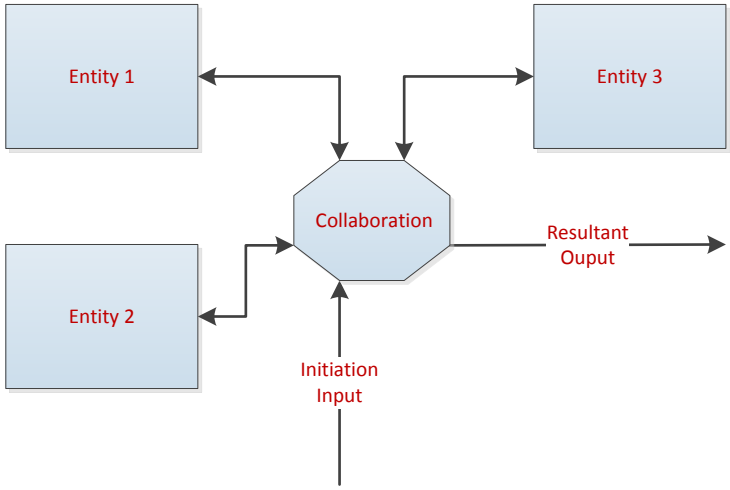


Figure 4.1.a

Figure 4.1.1.a depicts a collaboration process. There is an initiation input which starts the collaboration process. At the time of this input an alert is generated to one of the Entities shown. This alert indicates that collaboration is needed and that the Entity is first to start the collaboration workflow. Once the Entity has completed working on the document, they save the document and have the option to pass the document to the next Entity that needs to work on the document. At the time they select an Entity to work on the document, they will be presented with a notification email to the next Entity. They can add a message to the notification email as well as adding CC and BCC addressees. Once they send the notification email, the recipient Entity will also have a notice added to their DMS work queue in addition to receiving the notification email and the sending Entity will have their work queue entry deleted. The double pointed arrows indicate that an entity may participate in the collaboration multiple times. Once all Entities agree (vote) that the collaboration is completed, there is a resultant output. The DMS will record the vote as a part of the completion of this collaboration effort and make it a part of the DMS Case Folder.

The collaboration process depicted in Figure 4.1.a was found in all of the Courts and there were multiple instances of such collaboration in all of the Courts. What was different about the collaboration in each Court was the variability of collaboration participation. And that also occurred within a specific Court's collaboration from case to case as well. The key takeaway is

that the Workflow engine of the selected DMS must allow for great flexibility in document routing in real time.

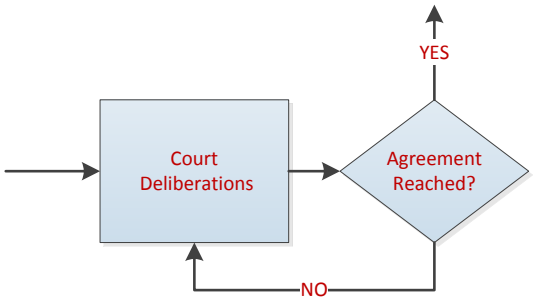


Figure 4.1.b

Figure 4.1.b represents another type of collaboration which was documented for all of the Courts. This is a Do-Until loop. The Diamond shape represents a decision point, until that decision point is satisfied the process is continued. This is a common workflow process and occurs for more than just collaboration work in our swim lane diagrams. We specifically used it for collaboration conducted by an Appeals Court Justice Panel or conducted by the Full Supreme Court as shown in their respective swim lanes in the Appendix.

All collaboration points are color coded, as shown above, in the swim lane diagrams.

4.0 RELIABILITY REQUIREMENTS

4.1 DISASTER RECOVERY

The DMS solution shall support business continuity and disaster recoverability in an event of a disaster within a recovery point objective (RPO) optimally at near zero data loss of 1 hour or at an alternative level agreed to by the customer, and recovery target objective (RTO) of 24 hours.

4.2 SERVICE LEVEL AGREEMENT

There are 4 suggested severity levels for issues that may arise.

Priority Level	Description	Examples
Priority 1(P1):	Operating system, hardware, application, network connection down without alternate route to system	Priority 1 indicates a critical condition where a server, network, or mission critical service or application is down and requires immediate attention.
Priority 2 (P2):	Severely degraded performance or loss of non-critical services affecting multiple end-users, or work around exists for system or network outages.	Priority 2 indicates a server or network is operational but the business is impacted. A non-functional service or application that is important to the business. A problem that impacts 25 or fewer people.
Priority 3 (P3):	Slow or degraded service with single user affected.	Priority 3 indicates that there is limited functionality on a server, a network service, or an application, but that the server or network is still currently operational.
Priority 4 (P4):	Trouble case logged with the Help Desk to report an issue or loss of functionality.	Priority 4 is the standard defaulted priority level. All cases are opened as a Priority 4. The technician working the case based upon the above scenarios and definitions can upgrade this. This is a single user affected and not impacting or disrupting the user's daily tasks.

4.3 USER ACCESS LEVELS

4.3.1 SUGGESTED SYSTEM USER NAME AND ACCESS MATRIX

There will be multiple security levels for the DMS and the appropriate level will be assigned to the user based upon the user's group and role. The security level access and permission specifications will be defined upon documenting the technical specifications.

The system will support these suggested security levels. Additional levels may be identified. The permissions and access restrictions are described as follows:

Level	System User Name	Access	Permissions
1	Public	View only at the Case Level	• Can view published case documents for this security level • May print or download a published case documents
2	Basic	View only at the Court Level	• Can view published case documents for this security level • May not generate reports, perform advanced searches, and use any mailing or email lists • The system should prevent this user from accessing these features
3	Authorized User	All of Level 2's access, plus basic access to report, search, and list functions at the Court Level	• Can perform basic document creation, modifications, print reports, queries, and lists • Create and print ad-hoc reports and queries • Add documents to the Case Folder • Route documents to work queues for the court
4	Super User	All of Level 3's access, plus additional editing and override permissions.	• Can perform both advance and basic document functions • Can create, modify, delete, save, and print reports, ad-hoc reports, queries, ad-hoc queries • Can create, modify, delete, save, and print documents • Can add Authorized Users to their court
5	Court System Admin	All of Level 4's access, plus access to system functionality and override features.	• Access to system functionality • Approves user access • Monitors system for performance and reliability issues

Level	System User Name	Access	Permissions
6	DMS System Admin	All of Level 5's access to all courts, plus access to system functionality and override features.	• Access to system functionality • Approves user access • Monitors system for performance and reliability issues
7	DMS Security Admin	Access to security features and reports only	• Assigns user's group and roles • Defines access and permission rules for groups and roles • Monitors system for security violations

4.4 AUDIT REQUIREMENTS

4.4.1 DESCRIPTION

Auditing is the process of reviewing system event logs to determine the root cause of an incident. Incidents include events such as application failure, corrupted data, unauthorized access, unauthorized disclosure, etc. It is important to understand that event entries in event logs can be enigmatic and individually do not necessarily lead to an understanding of the true root cause of an incident. The best interpretation of a root cause usually comes from review of multiple events across several log files. Therefore, logs are a key component for auditing, accountability, and troubleshooting.

Enable logging to track events on the system/application such as:

- Logins (both successful and failed)
- System/application changes
- User right changes
- All administrative activities
- Hardware and software error and failure events

Where possible:

- Configure the system to store log files to a separate volume other than a system volume.
- Encrypt all log files to prevent unauthorized access to them.
- Configure the system/application to log or replicate events to a log host to prevent tampering.

Monitor:

- Periodically review all logs for unusual or suspicious activity. Such activity includes multiple failed logins in a short period of time, logins after normal business hours, and system or application activity after peak hours, etc.

4.4.2 RETENTION OF SYSTEM LOGS

All system logs will be retained for an amount of time consistent with the Judicial Council IT Department standards. During the retention period, logs must be secured such that they cannot be modified, and only authorized persons can read them. Mechanisms to monitor and log security events must be resistant to exploitation. These exploits may include but are not limited to attempts to disable, modify or delete the logging software or services or the logs themselves.

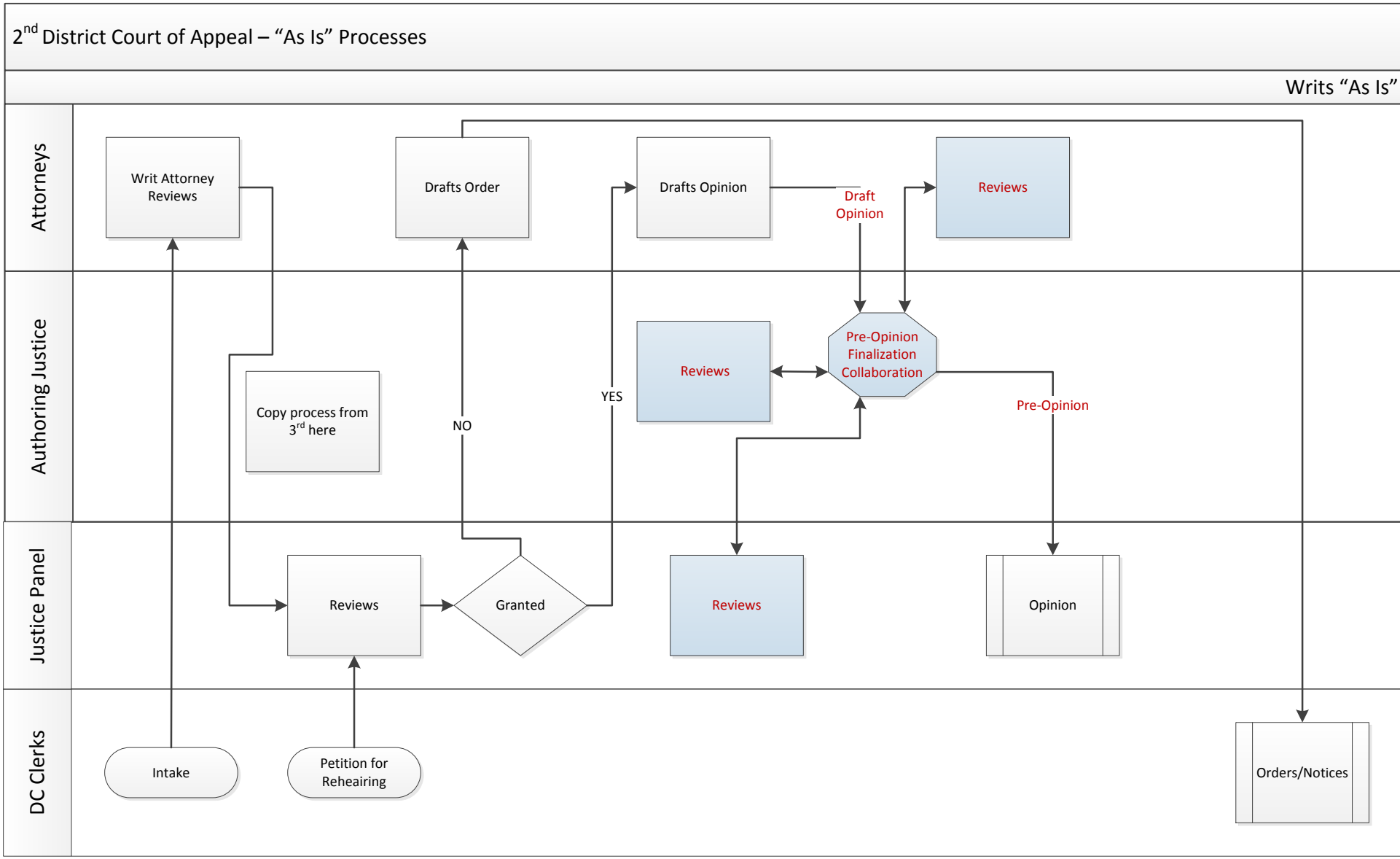
In addition to the logs mentioned above, computer systems handling sensitive or confidential information must securely log all security events. Logs with security relevant events must be retained for a minimum of seven (7) years.

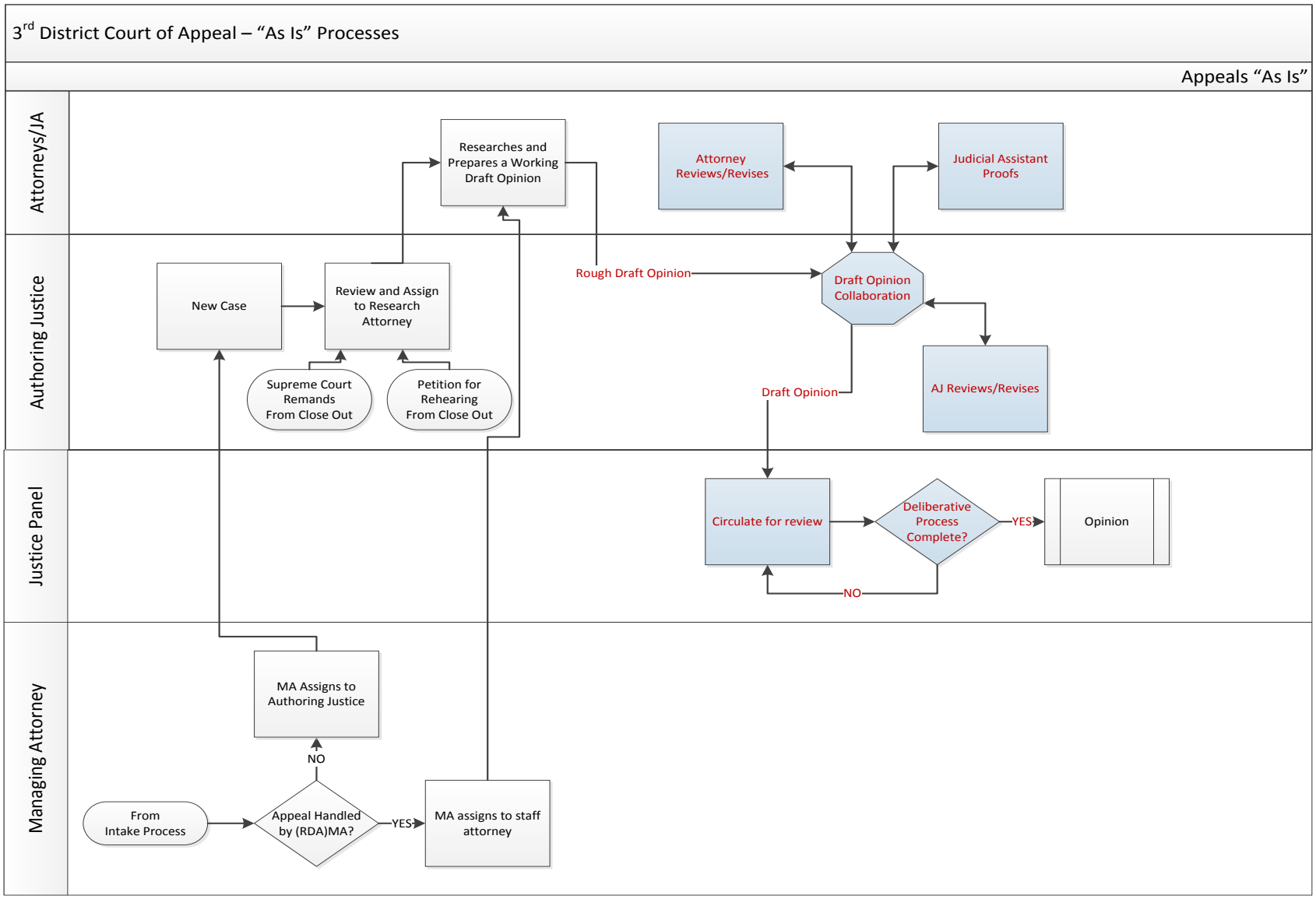
APPENDIX "AS-IS" STATE ANALYSIS

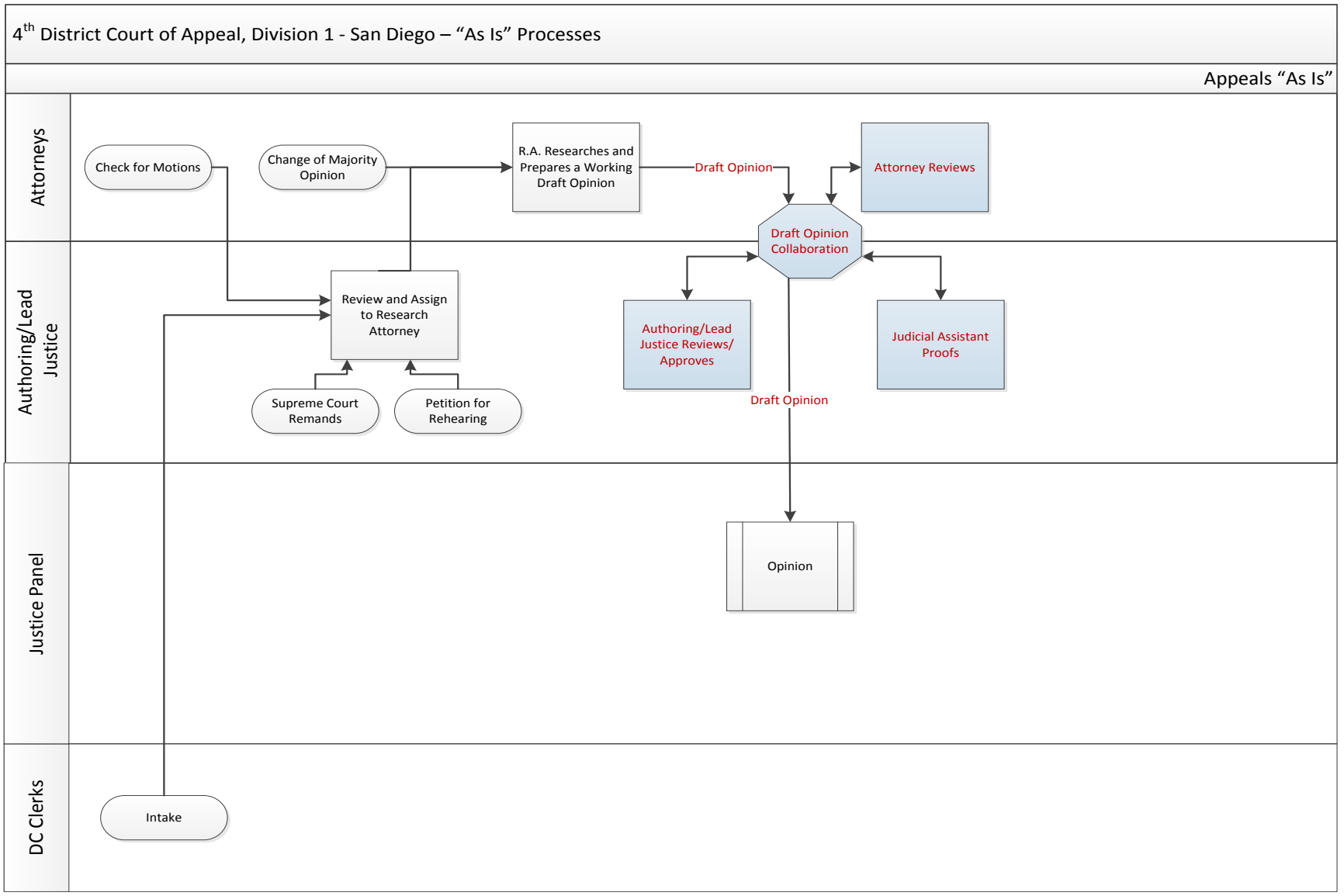
The following "As-Is" diagrams were developed between April, 2016 and June 2016. For each Appellate Court and the Supreme Court, we have listed those individuals that participated in their swim lane development.

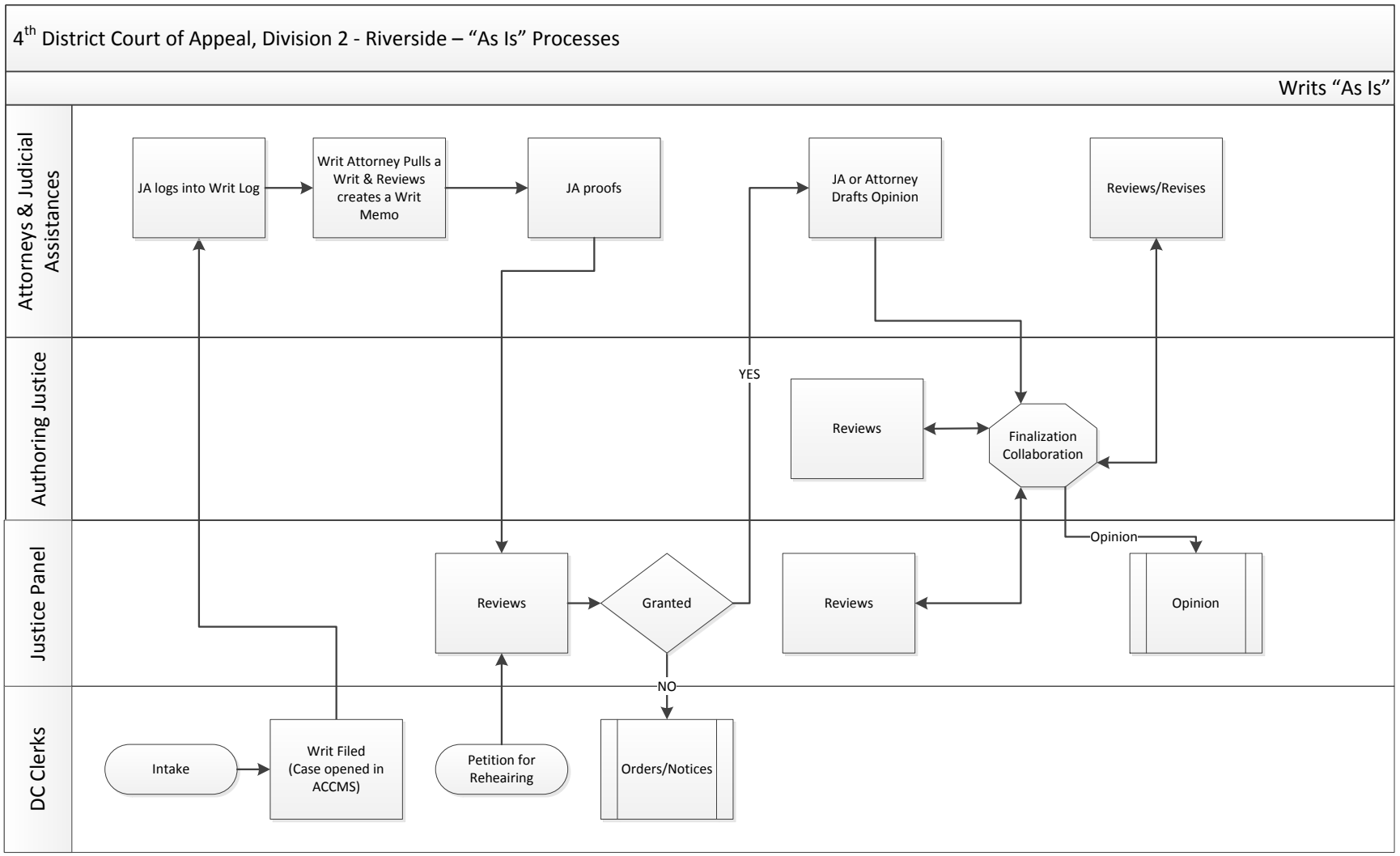
Workflow Diagrams:

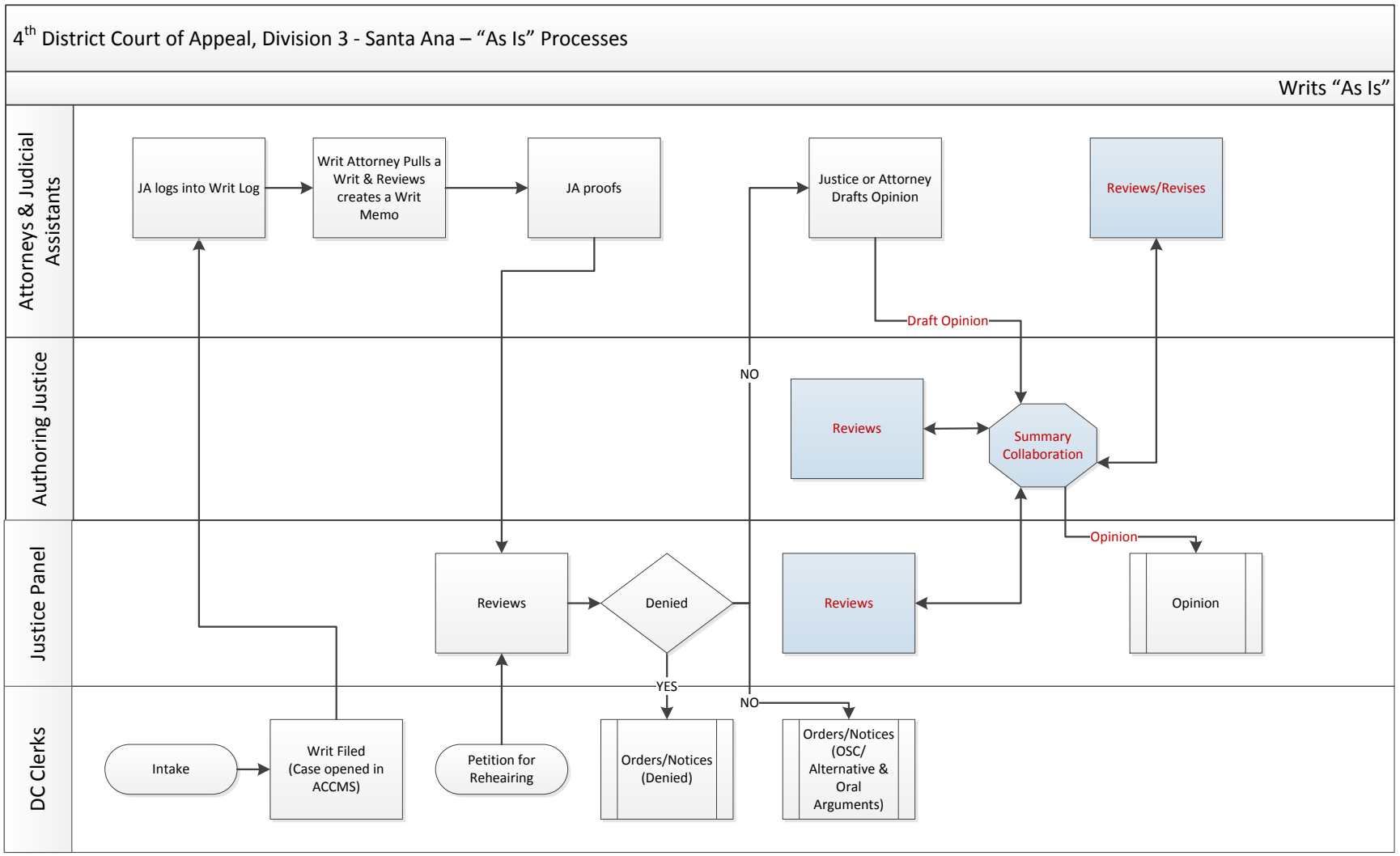
Court Workflow Descriptions
2DCA Writ Process
3DCA Appeal Process
41DCA Appeal Process
42DCA Writ Process
43DCA Writ Process
43DCA Opinion Process
5DCA Case Assignment Process
6DCA Opinion Process
SUPREME COURT Conference Memo Process
SUPREME COURT Intake Automatic Appeals Process

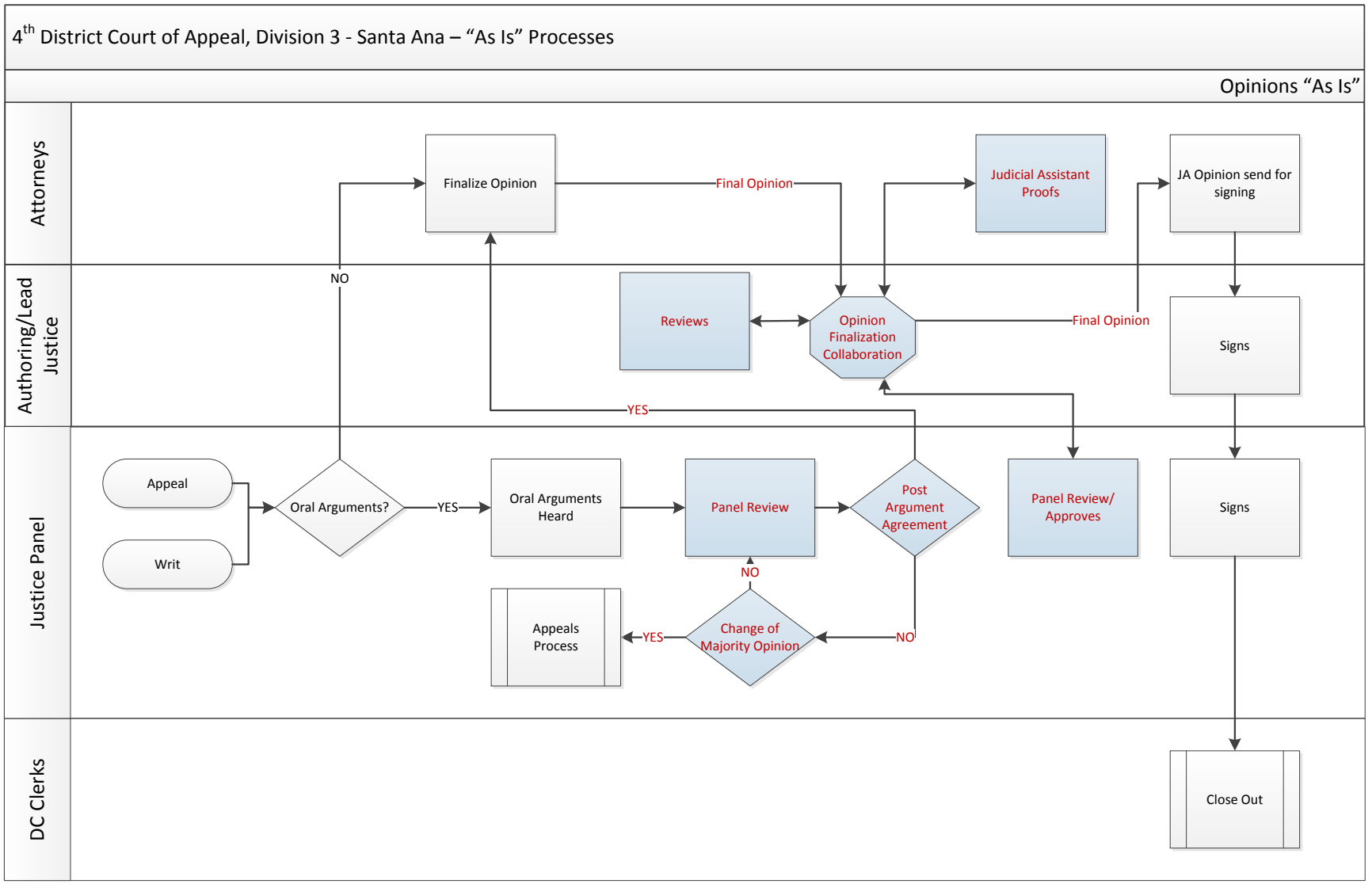

2nd District Court of Appeal – "As Is" Processes
Writs "As Is"
Attorneys
Authoring Justice
Justice Panel
DC Clerks
Writ Attorney Reviews
Drafts Order
Drafts Opinion
Draft Opinion
Reviews
Copy process from 3rd here
NO
YES
Reviews
Pre-Opinion Finalization Collaboration
Pre-Opinion
Reviews
Granted
Reviews
Opinion
Intake
Petition for Reheairing
Orders/Notices

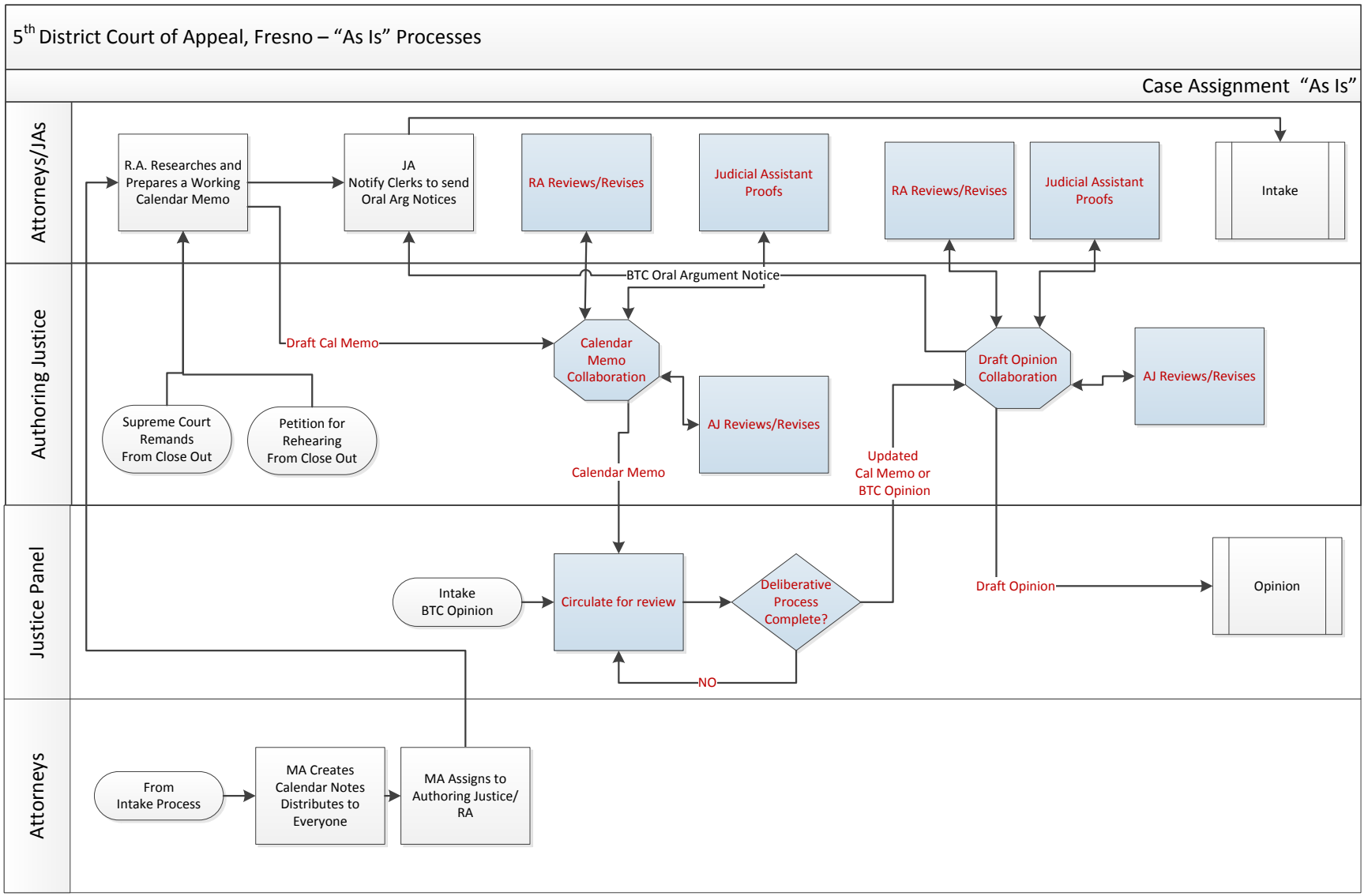

3rd District Court of Appeal – "As Is" Processes
Appeals "As Is"
Attorneys/JA
Authoring Justice
Justice Panel
Managing Attorney
Researches and Prepares a Working Draft Opinion
Attorney Reviews/Revises
Judicial Assistant Proofs
New Case
Review and Assign to Research Attorney
Supreme Court Remands From Close Out
Petition for Rehearing From Close Out
Rough Draft Opinion
Draft Opinion Collaboration
AJ Reviews/Revises
Draft Opinion
Circulate for review
Deliberative Process Complete?
YES
Opinion
NO
MA Assigns to Authoring Justice
NO
From Intake Process
Appeal Handled by (RDA)MA?
YES
MA assigns to staff attorney

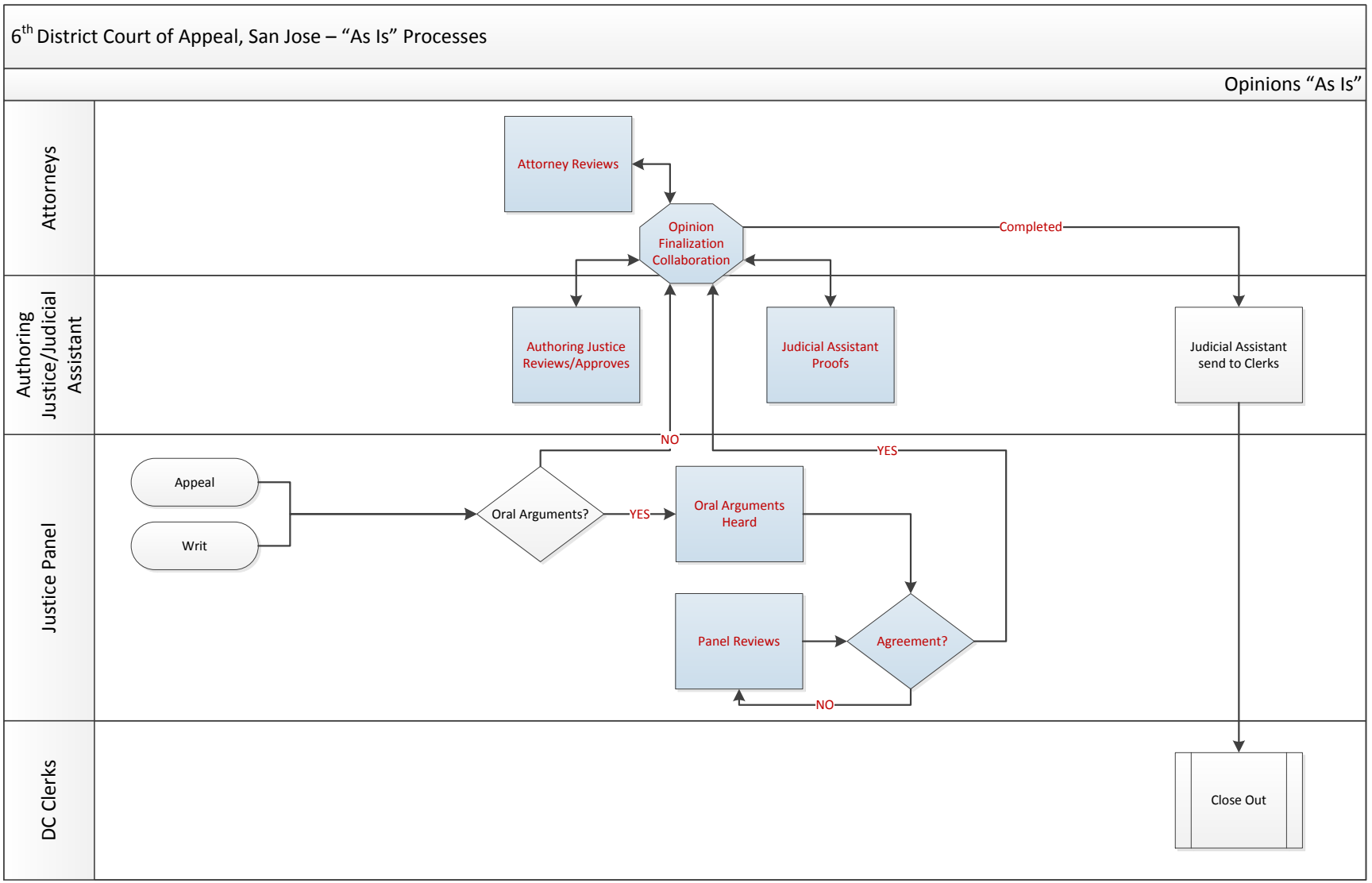

4th District Court of Appeal, Division 1 - San Diego – "As Is" Processes
Appeals "As Is"
Attorneys
Authoring/Lead Justice
Justice Panel
DC Clerks
Check for Motions
Change of Majority Opinion
R.A. Researches and Prepares a Working Draft Opinion
Draft Opinion
Attorney Reviews
Draft Opinion Collaboration
Review and Assign to Research Attorney
Authoring/Lead Justice Reviews/ Approves
Judicial Assistant Proofs
Supreme Court Remands
Petition for Rehearing
Draft Opinion
Opinion
Intake

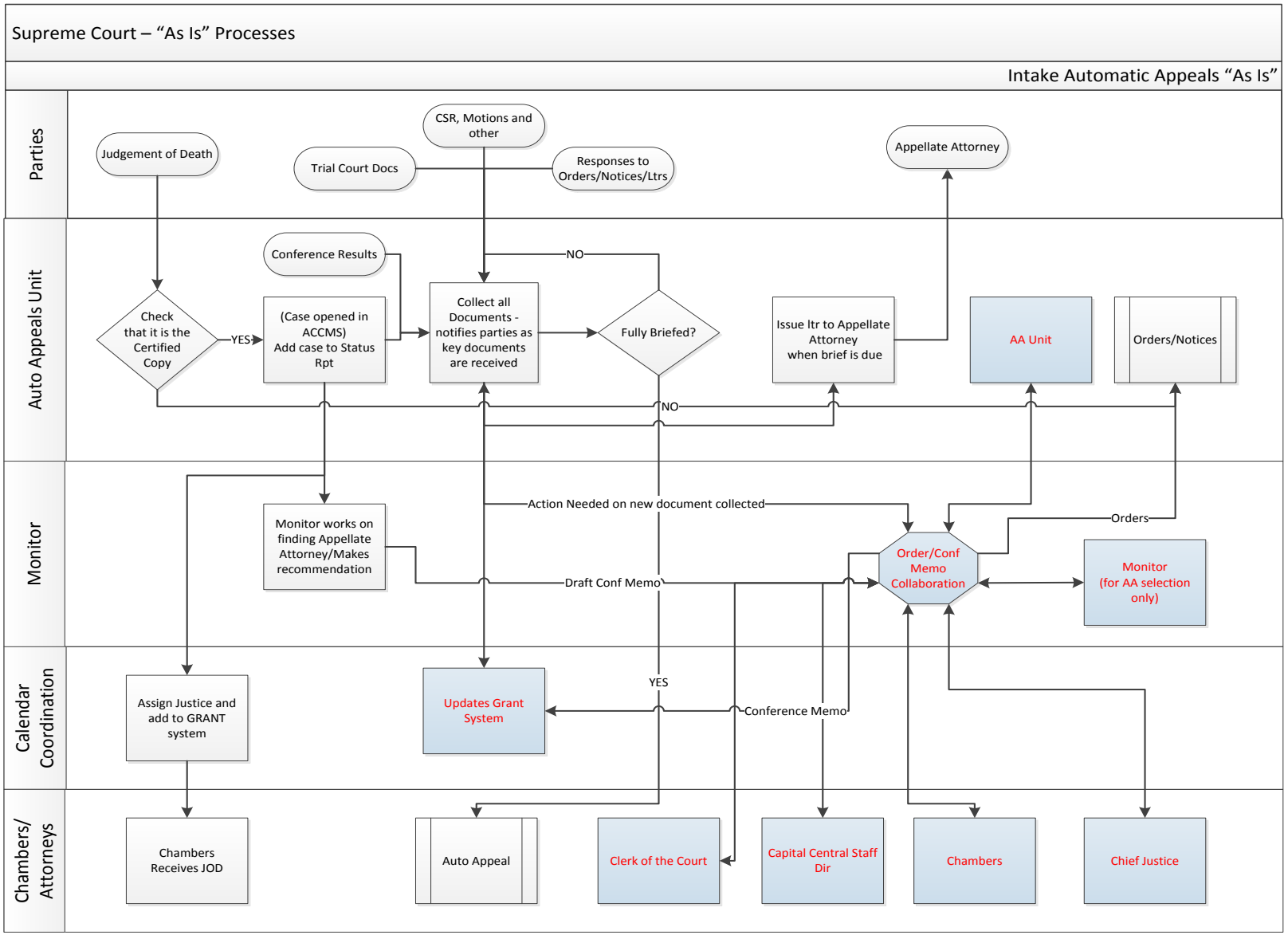

4th District Court of Appeal, Division 2 - Riverside – "As Is" Processes
Writs "As Is"
Attorneys & Judicial Assistances
Authoring Justice
Justice Panel
DC Clerks
JA logs into Writ Log
Writ Attorney Pulls a Writ & Reviews creates a Writ Memo
JA proofs
JA or Attorney Drafts Opinion
Reviews/Revises
YES
Reviews
Finalization Collaboration
Opinion
Reviews
Granted
Reviews
Opinion
NO
Intake
Writ Filed (Case opened in ACCMS)
Petition for Rehearing
Orders/Notices

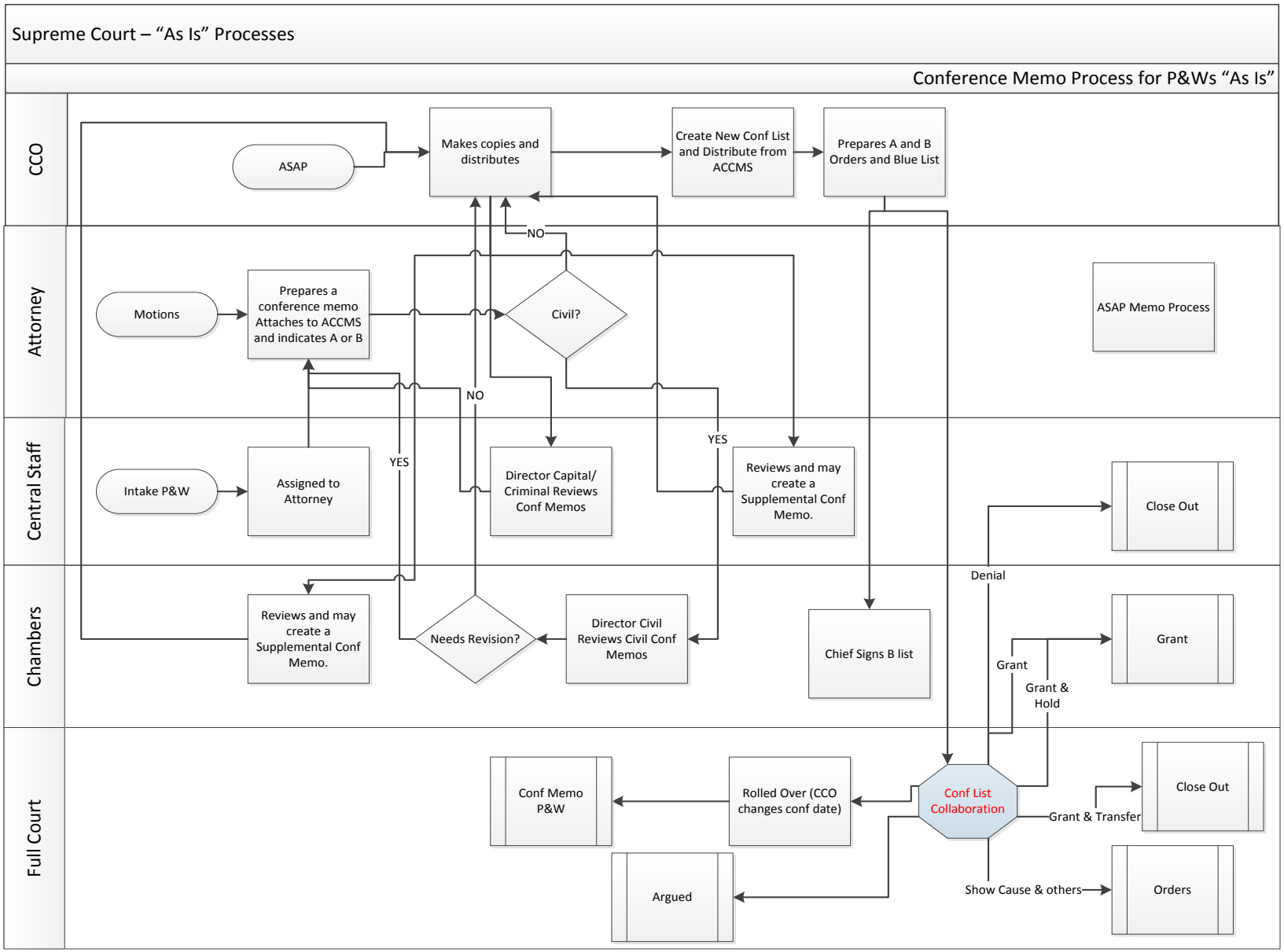

4th District Court of Appeal, Division 3 - Santa Ana – "As Is" Processes
Writs "As Is"
Attorneys & Judicial Assistants
Authoring Justice
Justice Panel
DC Clerks
JA logs into Writ Log
Writ Attorney Pulls a Writ & Reviews creates a Writ Memo
JA proofs
Justice or Attorney Drafts Opinion
Reviews/Revises
Draft Opinion
NO
Reviews
Summary Collaboration
Opinion
Reviews
Denied
Reviews
Opinion
YES
NO
Intake
Writ Filed (Case opened in ACCMS)
Petition for Rehearing
Orders/Notices (Denied)
Orders/Notices (OSC/ Alternative & Oral Arguments)


4th District Court of Appeal, Division 3 - Santa Ana – "As Is" Processes
Opinions "As Is"
Attorneys
Authoring/Lead Justice
Justice Panel
DC Clerks
Finalize Opinion
Final Opinion
Judicial Assistant Proofs
JA Opinion send for signing
NO
Reviews
Opinion Finalization Collaboration
Final Opinion
Signs
YES
Appeal
Writ
Oral Arguments?
YES
Oral Arguments Heard
Panel Review
Post Argument Agreement
Panel Review/ Approves
Signs
NO
Appeals Process
YES
Change of Majority Opinion
NO
Close Out


5th District Court of Appeal, Fresno – "As Is" Processes
Case Assignment "As Is"
Attorneys/JAs
Authoring Justice
Justice Panel
Attorneys
R.A. Researches and Prepares a Working Calendar Memo
JA Notify Clerks to send Oral Arg Notices
RA Reviews/Revises
Judicial Assistant Proofs
RA Reviews/Revises
Judicial Assistant Proofs
Intake
BTC Oral Argument Notice
Draft Cal Memo
Calendar Memo Collaboration
Draft Opinion Collaboration
AJ Reviews/Revises
Supreme Court Remands From Close Out
Petition for Rehearing From Close Out
AJ Reviews/Revises
Calendar Memo
Updated Cal Memo or BTC Opinion
Intake BTC Opinion
Circulate for review
Deliberative Process Complete?
Draft Opinion
Opinion
NO
From Intake Process
MA Creates Calendar Notes Distributes to Everyone
MA Assigns to Authoring Justice/ RA


6th District Court of Appeal, San Jose – "As Is" Processes
Opinions "As Is"
Attorneys
Authoring Justice/Judicial Assistant
Justice Panel
DC Clerks
Attorney Reviews
Opinion Finalization Collaboration
Completed
Authoring Justice Reviews/Approves
Judicial Assistant Proofs
Judicial Assistant send to Clerks
NO
YES
Appeal
Writ
Oral Arguments?
YES
Oral Arguments Heard
Panel Reviews
Agreement?
NO
Close Out


Supreme Court – "As Is" Processes
Intake Automatic Appeals "As Is"
Parties
Judgement of Death
CSR, Motions and other
Trial Court Docs
Responses to Orders/Notices/Ltrs
Appellate Attorney
Auto Appeals Unit
Conference Results
NO
Check that it is the Certified Copy
YES
(Case opened in ACCMS) Add case to Status Rpt
Collect all Documents - notifies parties as key documents are received
Fully Briefed?
Issue ltr to Appellate Attorney when brief is due
AA Unit
Orders/Notices
NO
Monitor
Action Needed on new document collected
Monitor works on finding Appellate Attorney/Makes recommendation
Orders
Order/Conf Memo Collaboration
Monitor (for AA selection only)
Draft Conf Memo
Calendar Coordination
Assign Justice and add to GRANT system
Updates Grant System
YES
Conference Memo
Chambers/ Attorneys
Chambers Receives JOD
Auto Appeal
Clerk of the Court
Capital Central Staff Dir
Chambers
Chief Justice


Supreme Court – "As Is" Processes
Conference Memo Process for P&Ws "As Is"
CCO
Attorney
Central Staff
Chambers
Full Court
ASAP
Makes copies and distributes
Create New Conf List and Distribute from ACCMS
Prepares A and B Orders and Blue List
NO
Motions
Prepares a conference memo Attaches to ACCMS and indicates A or B
Civil?
ASAP Memo Process
NO
YES
YES
Intake P&W
Assigned to Attorney
Director Capital/ Criminal Reviews Conf Memos
Reviews and may create a Supplemental Conf Memo.
Close Out
Denial
Reviews and may create a Supplemental Conf Memo.
Needs Revision?
Director Civil Reviews Civil Conf Memos
Chief Signs B list
Grant
Grant & Hold
Grant
Conf Memo P&W
Rolled Over (CCO changes conf date)
Conf List Collaboration
Close Out
Grant & Transfer
Argued
Show Cause & others
Orders