**RFP Prepared by**

# The Supreme Court of Ohio



Request for Proposals for a Court Case Management
System RFP Number 2011-1

Appendix D – SCO Use Case Narratives

| Use Case Name | Case Initiation |
| --- | --- |
| **Purpose / Objective** | This use case describes the creation of a new case record in the CMS |
| **Actor(s)** | Filing Party, Clerk |
| **Trigger Events** | Filing Party delivers case initiation documents (citation, complaint, application, etc.) to Clerk. Documents can also be received by mail. |
| **Pre-condition(s)** | Courts, case types, subtypes, and issues have been pre-defined in the system. Clerks are associated with specific courts. |
| **Post-Condition(s)** | New case record has been created. |
| **Narrative** | 1. Clerk reviews the filing and validates that filing documents are correctly prepared and associated deposits (if required) are included.<br>    a. Documents are returned to the filer if the submitted documentation is incomplete or inaccurate or if required deposits are not included.<br>2. Clerk file stamps documents.<br>3. Clerk selects a command to initiate a new case in the system.<br>4. System generates a new case record (including unique case number) and provides a screen form for the clerk to enter case details.<br>    a. System defaults to the Court and location of the clerk entering the case.<br>5. Clerk overrides the Court and location if necessary.<br>6. Clerk selects the case type from a list of available case types.<br>7. Clerk enters the case sub-type (if needed) from a list of available case sub-types<br>8. Clerk selects the Issue, if known.<br>9. Clerk records each document received in the docket and fees related to documents.<br>10. Clerk scans each document into the system and associates it with its docket entry, or sets them aside for scanning at a later time.<br>11. Clerk enters the Parties and information about the parties<br>12. System enforces the entry of any mandatory information. |
| **Associated Use Cases** | Party Entry.<br>Judge Assignment.<br>Document Management (hardcopy documents). |
| **Alternative Flow(s)** | Case initiation documentation is electronically filed and reviewed online.<br>Manually assign case number. |
| **Interfaces** | Municipal Court Case Management System<br>Detention Information System<br>Prosecutor Case management system<br>Local law enforcement (e-Citation)<br>e-Filing Service Provider<br>Local document management system |

| Use Case Name | Party Entry |
|---|---|
| **Purpose / Objective** | This use case describes the process of entering new parties on a case. |
| **Actor(s)** | Clerk |
| **Trigger Events** | A new case record has been created or identification of an additional party /participant for the case has occurred. |
| **Pre-condition(s)** | Clerk has already navigated to (or been directed to) a screen to enter parties for the case. |
| **Post-Condition(s)** | Parties, party information and associations are entered for a case. |
| **Narrative** | 1. Clerk opens a case and selects the Party type / role function in the case.<br>2. Clerk enters the name of the party.<br>3. System automatically displays similarly named existing parties in the system and presents a list to the clerk.<br>   a. If the party already exists, the Clerk selects the party from the list.<br>   b. If a new party needs to be created, the system shall provide a template for the clerk to create a new record for the party.<br>4. System presents fields to enter data for selected party type.<br>5. Clerk enters information about the party, including the denoting of any information as confidential.<br>6. System automatically performs a lookup of an attorney's registration number in the Ohio Bar Association Attorney Registry system to verify status, and alerts clerk if not current.<br>7. Clerk enters the association/relationship(s) of the party to other parties in the case.<br>8. System prompts clerk to confirm if additional parties are required or if party entry is complete.<br>9. Clerk responds to prompt by adding another party or by navigating to another function. |
| **Associated Use Cases** | None. |
| **Alternative Flow(s)** | None. |
| **Interfaces** | Ohio Bar Association Attorney Registry |

| Use Case Name | Judge Assignment |
|---|---|
| **Purpose / Objective** | This use case describes the process to assign judges to a new case. |
| **Actor(s)** | Clerk |
| **Trigger Events** | New case record has been created. |
| **Pre-condition(s)** | Judges and Magistrates have been pre-defined in the system. |
| | Conflicts and recusal criteria have been pre-defined in the system. |
| | Automated assignment algorithm criteria have been pre-defined. |
| **Post-Condition(s)** | Judge (and Magistrate, as applicable) has been assigned to the case |
| **Narrative** | 1. Clerk navigates to a screen form to assign judge(s) to the case. |
| | 2. System provides the ability to indicate whether judge assignment for a case is to be automated or if a manual selection will be made. |
| | 3. System provides the ability to identify if the system is to make an automated magistrate assignment to a case. |
| | 4. Clerk selects the assignment method for each official. |
| | 5. System performs automated assignments as indicated. |
| | 6. Clerk confirms automated system assignment(s) or overrides the assignment(s) with a manual selection. |
| |    a. System provides lists of judges and magistrates that is filtered by court to display only those officials which are able to preside over the case |
| **Associated Use Cases** | Case Transfer. |
| **Alternative Flow(s)** | Manual Selection. |
| **Interfaces** | None. |

| Use Case Name | Service and Service Return |
|---|---|
| **Purpose / Objective** | This use case describes the Service and Service Return process. |
| **Actor(s)** | Clerk, Service Provider |
| **Trigger Events** | Complaint has been filed and a new case initiated. <br> Praecipe or summons to appear has been ordered. |
| **Pre-condition(s)** | Parties to received service documents have been entered into the system. <br> The manner in which service documents are to be delivered has been identified by the Plaintiff. <br> Notice(s)/document(s) to be delivered have been provided to Service provider. |
| **Post-Condition(s)** | The service process has been completed, with or without an Answer. |
| **Narrative** | 1. Clerk navigates to a screen form to enter the Service details. <br> 2. Clerk enters party or Attorney requesting the service. <br>     a. Clerk collects additional deposit for Praecipe for Service if required. <br> 3. Clerk identifies the parties to receive the service documents. <br> 4. Clerk selects the method of service. <br>     a. Clerk enters cost on docket if there is a cost associated with the Service provider. <br> 5. Clerk receives Return of Service notice from service provider. <br> 6. Clerk searches for the case by case number or service tracking number (e.g., certified mail tracking number. <br>     a. System displays Service details screen for the case. <br> 7. Clerk enters details about the Return of Service. <br>     a. If service is not perfected, clerk issues a Notice of Failure of Service to requestor. <br> 8. System automatically sets a tickler to be issued to the clerk if no response is entered by the answer due date. |
| **Associated Use Cases** | Answer, Financial Management. |
| **Alternative Flow(s)** | None. |
| **Interfaces** | None. |

| Use Case Name | Answers |
|---|---|
| Purpose / Objective | This use case describes the Answer process in response to a Service. |
| Actor(s) | Clerk, Respondent |
| Trigger Events | Respondent submits an Answer to a Service. |
| Pre-condition(s) | Service has been completed. |
| Post-Condition(s) | The Answer to a Service has been docketed. |
| Narrative | 1. Clerk navigates to the case and selects the Service screen.<br>2. Clerk selects the party from whom the Answer/response is received.<br>   a. If response is a request for extension to Answer, clerk submits request to judge/magistrate for approval.<br>      i. Clerk enters the judge/magistrate's decision regarding the extension request.<br>   b. If response is an Answer to the claim/complaint, cross-complaint and/or Third-Party complaint, the court date is confirmed /scheduled.<br>   c. If the response is an Answer and Counterclaim and/or Third-Party Complaint, clerk adds new parties and/or amends role of existing parties. NOTE: If new Service is required, Clerk initiates the Service process.<br>3. Clerk dockets a Jury Demand request if the Answer includes a Jury Demand.<br>4. System removes any tickler associated with the due date for the Answer. |
| Associated Use Cases | Service and Service Return, Dispositions. |
| Alternative Flow(s) | None. |
| Interfaces | None. |

| Use Case Name | Event Scheduling |
|---|---|
| **Purpose / Objective** | This use case describes the process to schedule events. |
| **Actor(s)** | Clerk, Court Administration |
| **Trigger Event** | Event needs to be scheduled. |
| **Pre-condition(s)** | Event types pre-defined in system.<br>Resources pre-defined in system.<br>Calendars set. |
| **Post-Condition(s)** | Event is scheduled. |
| **Narrative** | 1. Clerk/Court selects a case for which an event needs to be scheduled.<br>2. System displays a list of events that can be scheduled for this case type.<br>3. Clerk/Court selects event to be scheduled.<br>   a. System automatically updates case financials if there is a cost associated with the event.<br>4. Clerk/Court identifies additional resources needed, if any (e.g., interpreter.)<br>5. Clerk/Court selects whether the event is to be scheduled automatically or if manual scheduling will be done.<br>   a. If automated, system presents next available date and time for the event for clerk to accept. Clerk/Court accepts date or chooses to override with a manually selected date.<br>   b. If manual, clerk/court enters a date or range of dates for the event.<br>6. System defaults to the presiding official and associated location for the event.<br>7. Clerk/Court overrides the presiding official and location for the event, if needed.<br>8. Clerk/Court selects the date and time for the event. |
| **Associated Use Cases** | Rescheduling, Change Resource, Financial Management. |
| **Alternative Flow(s)** | None. |
| **Interfaces** | None. |

| Use Case Name | Event Rescheduling |
|---|---|
| **Purpose / Objective** | This use case describes the process for changing the date and/or time of an event |
| **Actor(s)** | Clerk, Court Administration |
| **Trigger Event** | Motion or other request to reschedule has been approved by the court or a change in the case process has occurred. |
| **Pre-condition(s)** | Event has been scheduled. |
| **Post-Condition(s)** | Event is rescheduled. |
| **Narrative** | 1. Clerk/Court Administration opens the case and selects a command to initiate the event rescheduling process.<br>2. System displays all scheduled events for the case.<br>3. Clerk/Court Administration selects the event to be rescheduled.<br>4. System provides a method to select a new date or date range.<br>5. Clerk/Court Administration selects an option for either automated or manual rescheduling.<br>   a. If automated, the system "selects" the first available date and time from within the date range and presents the option for confirmation. System additionally displays a list of other available dates and times within the date range.<br>   b. If manual, the system displays a list of available dates and times within the selected date range.<br>6. Clerk/Court Administration accepts the system selected schedule or selects a specific date and time.<br>7. Clerk/Court Administration enters the reason for the schedule change.<br>8. System prompts clerk/Court Administration to select whether or not to vacate the calendar of the previous schedule to make the time slot available for another case.<br>9. Clerk/Court Administration selects the desired option.<br>10. System prompts clerk/Court Administration to confirm whether all rescheduling is done. |
| **Associated Use Cases** | Event Scheduling, Resource Change |
| **Alternative Flow(s)** | Rescheduling multiple (including all) events on one docket. |
| **Interfaces** | None. |

| Use Case Name | Waivable Appearance |
|---|---|
| **Purpose / Objective** | This use case describes the processing of citations which do not require appearance |
| **Actor(s)** | Offender, Clerk |
| **Trigger Events** | Offender sends payment to court in lieu of a court appearance |
| **Pre-condition(s)** | A citation for an offense that does not require an appearance has been issued and the associated court case has been created.<br><br>Offender has obtained (or otherwise been notified of) the amount of the fine, payment due date and scheduled appearance date. |
| **Post-Condition(s)** | Case is removed from calendar |
| **Narrative** | 1. Offender mails payment into the court or delivers it in person.<br>2. Clerk accesses the system, searches for the case and accesses the financials screen.<br>3. Clerk enters the payment amount and associated information (e.g., payer name, check #) into the system.<br>   a. System shall have the ability to issue an alert if payment by check is made by someone flagged as not being allowed to submit checks.<br>4. System generates a receipt for the payment.<br>   a. System provides clerk the option to select whether the receipt should be printed immediately, at a later time, or not at all.<br>5. System validates that the amount paid corresponds to the amount due.<br>   a. System shall have the ability to issue an alert if payment amount is less than the amount due.<br>   b. System prompts clerk to select next action(s) if payment amount is less than the amount due.<br>6. Clerk enters a guilty plea for each charge.<br>7. System enters a guilty disposition for each charge.<br>8. Clerk removes case from the calendar. |
| **Associated Use Cases** | Financial Management.<br>Event Scheduling. |
| **Alternative Flow(s)** | 1. Payment by check is received (by mail) from an offender on the "no checks" list.<br>2. Payment is submitted online (future) |
| **Interfaces** | IVR system<br>Public access portal |

| Use Case Name | Bond Management |
|---|---|
| **Purpose / Objective** | This use case describes the process for managing bonds posted on a case. |
| **Actor(s)** | Clerk |
| **Trigger Event** | Bond is posted. |
| **Pre-condition(s)** | Offense is bailable. <br><br> Surety companies are defined in the system. <br><br> Standard bond amounts for defined charges are pre-defined in the system. |
| **Post-Condition(s)** | Bond(s) disposition is tracked. |
| **Narrative** | 1. Clerk selects case and selects a "Bond Management" option. <br><br> 2. System displays a list of charges for the case and options to add new bonds to the case or modify existing bonds. <br><br> 3. Clerk selects the charge(s) for which the bond is applicable. <br><br> 4. System automatically populates bond amount if a pre-defined amount has been established. <br><br>    a. System automatically adds Statutory Bond fees to case financials. <br><br> 5. Clerk accepts or modifies bond amount. <br><br> 6. Clerk enters or updates the Surety or person responsible for the bond. <br><br>    a. Clerk enters information on persons posting bond on behalf of the defendant. <br><br> 7. If property is posted as bond, Clerk confirms property information (e.g., tax parcel #, ownership, assessed value) with the Assessor and enters it into the system. <br><br> 8. Clerk enters appropriate information for bonds which have been satisfied and are to be exonerated, or which have not been satisfied and are to be revoked. <br><br>    a. Clerk enters new amount for bonds which are reset. |
| **Associated Use Cases** | Financial Management, Party Management |
| **Alternative Flow(s)** | None. |
| **Interfaces** | Department of Insurance. |

| Use Case Name | Arraignment |
|---|---|
| **Purpose / Objective** | This use case describes the arraignment process. |
| **Actor(s)** | Clerk, Court Administration |
| **Trigger Event** | Arraignment calendar has been set. |
| **Pre-condition(s)** | Criminal charges have been filed and the defendant has been served. |
| **Post-Condition(s)** | Arraignment held and next step identified. |
| **Narrative** | 1. Clerk selects the arraignment calendar and displays the list of cases on the calendar.<br>2. Clerk selects the case.<br>3. Clerk enters the name of the attorney representing the defendant.<br>   a. System provides the ability to indicate if defendant has waived representation.<br>4. Clerk enters the plea.<br>5. Clerk enters the judge's order, including Diversion program if assigned.<br>6. System prompts Court Administration to schedule the next event.<br>7. Clerk repeats steps 2 through 6 for each defendant.<br>8. System prompts clerk to initiate the judge assignment process at that time or later. |
| **Associated Use Cases** | Bond Management.<br>Judge Assignment.<br>Diversion.<br>Event Scheduling. |
| **Alternative Flow(s)** | Defendant is served the criminal charges at the time of the arraignment. |
| **Interfaces** | None. |

| Use Case Name | Diversion Programs |
|---|---|
| Purpose / Objective | This use case describes the process to track an offender's entry into and completion of a Diversion program. |
| Actor(s) | Clerk, Court Administration |
| Trigger Event | Defendant is ordered to enter a Diversion (or Treatment in Lieu) program |
| Pre-condition(s) | Defendant has completed eligibility screening.<br><br>Diversion programs have been pre-defined into the system. |
| Post-Condition(s) | Program status reported to the court has been recorded in the system. |
| Narrative | 1. Clerk navigates to screens used to track an offender's participation in a Diversion program.<br><br>2. System displays a list of all Diversion (or Treatment in Lieu) programs.<br><br>3. Clerk selects the applicable Diversion program(s) to which the offender is ordered into.<br><br>4. System issues an alert to the clerk if the offender has not completed screening for the selected program (or has been determined not eligible.)<br><br>5. Clerk enters program status update(s) reported to the court during the term of participation.<br><br>    a. System prompts Court Administration to schedule the next event if Diversion is unsuccessful. . |
| Associated Use Cases | Event Management |
| Alternative Flow(s) | None. |
| Interfaces | Diversion Program provider information systems. |

| Use Case Name | Resource Change (Temporary) |
|---|---|
| **Purpose / Objective** | This use case describes the process for a temporary change of resources for an event (without rescheduling); resources include presiding officials, locations and others (e.g., interpreters.) |
| **Actor(s)** | Court Administration |
| **Trigger Event** | A change in resource is needed for a scheduled event. |
| **Pre-condition(s)** | Event has been scheduled; resources have been assigned. |
| **Post-Condition(s)** | New resource is assigned. |
| **Narrative** | 1. Court Administration opens the case and selects a command to initiate the event resource modification process.<br><br>2. System shall display all scheduled events for the case.<br><br>3. Court Administration selects the event that requires a new resource.<br><br>4. Court Administration identifies the resource which needs to be changed.<br><br>5. Court Administration selects an option for either automated or manual selection of the resource.<br><br>6. System responds to selected options:<br><br>   a. If automated, the system "selects" an available resource from a pool of resources available to the case and presents the option for confirmation.<br><br>   b. If manual, the system provides the ability to select the new resource from a list that is filtered to display only those options available to the case.<br><br>7. Court Administration accepts the system selected resource or manually selects the resource from the list of available resources.<br><br>8. Court Administration enters the reason for the resource change.<br><br>9. System prompts Court Administration to select whether or not to release the resource to make it available for other use.<br><br>10. System prompts Court Administration to confirm whether all resources changes are done. |
| **Associated Use Cases** | Event Scheduling, Rescheduling. |
| **Alternative Flow(s)** | Changing multiple resources for one or multiple cases concurrently. |
| **Interfaces** | None. |

| Use Case Name | Case Transfer (Permanent Reassignment) |
|---|---|
| Purpose / Objective | This use case describes the process to transfer a case from one judge to another |
| Actor(s) | Clerk |
| Trigger Event | A judge is no longer able to preside over one or more cases |
| Pre-condition(s) | Cases have been assigned. <br> New judge for the case(s) is defined into the system. |
| Post-Condition(s) | New judge is assigned to the case. All actions performed by the previous judge are retained and properly attributed to that judge. |
| Narrative | 1. Clerk selects a command to initiate the case transfer process. <br><br> 2. System displays a screen form for the clerk to select the judge from whom the cases will be transferred. <br><br> 3. Clerk enters the judge whose cases are to be transferred. <br><br> 4. System displays a list of all cases assigned to the selected judge. <br><br> 5. System provides the ability for clerk to select any one, multiple or all case(s) to be transferred. <br><br> 6. System provides the ability for the clerk to select whether the system is to perform an automated assignment or if a manual selection is to be made, for each case individually or for all cases at one time. <br><br> 7. System provides the ability to identify additional judges whom are to be excluded from the automated assignment process. <br><br>     a. If manual assignment, the clerk selects the judge from a list of available judges for that court and case type. <br><br> 8. System prompts clerk to confirm if all transfers are complete. <br><br> 9. Clerk responds to prompt. |
| Associated Use Cases | Judicial Assignment |
| Alternative Flow(s) | New Magistrate additionally needs to be assigned to the case. |
| Interfaces | None. |

| Use Case Name | Case Consolidation |
|---|---|
| Purpose / Objective | This use case describes the process to consolidate multiple cases into one. |
| Actor(s) | Clerk |
| Trigger Event | A motion to consolidate cases has been filed and approved or a decision to consolidate cases has been made |
| Pre-condition(s) | Approved motion or decision to consolidate |
| Post-condition(s) | Cases have been consolidate into one ongoing case which is processed going forward |
| Narrative | 1. Clerk selects a command to initiate the case consolidation process.<br>2. System displays a screen form/template for the clerk to enter the cases to be consolidated.<br>3. Clerk enters the case numbers for the cases which are to be consolidated.<br>4. System prompts clerk to confirm whether or not the oldest case is to be the ongoing case.<br>5. Clerk confirms that the oldest case is to be the ongoing case or selects an alternate case.<br>6. System performs the case consolidation upon confirmation of which case is to be the ongoing case.<br>   a. System moves financial balances of the closing cases to the ongoing case.<br>   b. System links the closing cases with the ongoing case.<br>7. System closes the old cases, including vacating calendars and releasing resources for the cases which are closed. |
| Associated Use Cases | None. |
| Alternative Flow(s) | None. |
| Interfaces | None. |

| Use Case Name | Docket Entry |
|---|---|
| **Purpose / Objective** | This use case describes the process for manually entering actions into the progress docket. |
| **Actor(s)** | Clerk |
| **Trigger Events** | Any case action which requires a docket entry to be made. |
| **Pre-condition(s)** | The action has occurred. |
| | Docket codes have been defined into a table. |
| **Post-Condition(s)** | The docket entry is written (which may trigger subsequent processes.) |
| **Narrative** | 1. Clerk selects case and navigates to the screen for entering docket entries. |
| | 2. Clerk selects applicable docket code from a pre-defined list of codes. |
| | 3. System automatically populates docket entry with pre-defined text for the code. |
| | 4. System automatically updates financial record for the case if there are fees associated with the docket entry. |
| | 5. Clerk enters additional comments to the docket entry, as needed. |
| | 6. Clerk associates the new docket entry with other entries, if applicable. |
| | 7. Clerk associates the new docket entry with a party, if applicable. |
| |    a. Clerk updates or creates Party record if necessary. |
| | 8. Clerk initiates the document management process (e.g., scanning) if the new docket entry is associated with a document. |
| | 9. Clerk manually – or system automatically – initiates the scheduling process if the new docket entry requires an event to be scheduled. |
| | 10. Clerk manually – or system automatically – initiates the Service process if the docket entry requires a formal delivery of a Notice(s), or the Communications process if the docket entry requires notifications. |
| **Associated Use Cases** | Financial Management |
| | Party Management |
| | Document Management |
| | Event Scheduling |
| | Service and Answer |
| | Case Communications |
| **Alternative Flow(s)** | Automated docket entry as a result of another action (e.g., the scanning of a document, payment entered, etc.) |
| | Making the same docket entry for multiple cases. |
| **Interfaces** | Document scanning. |

| Use Case Name | Case Communications |
|---|---|
| **Purpose / Objective** | This use case describes the process for distributing system generated documents or notifications. |
| **Actor(s)** | System Users – Clerk, Judge, others |
| **Trigger Events** | Results of an action or an information request needs to be distributed. |
| **Pre-condition(s)** | Distribution lists (who and how) have been created for specific communications. |
| **Post-Condition(s)** | Document or notification has been sent. |
| **Narrative** | 1. System generates a document or message to be distributed.<br>2. System presents document or message to the user for editing.<br>   a. User modifies the document or message as needed (e.g., edits text, adds signature) and saves it.<br>   b. If the same document is generated for multiple recipients, user shall be able to edit one, selected, or all of the documents at one time.<br>3. System provides user with the ability to modify an existing distribution list or create a new one.<br>   c. User confirms the distribution list or makes changes as needed.<br>4. For electronically distributed communications, system immediately issues the document or message.<br>5. For materials to be printed (and distributed physically), system provides user with the option to print materials immediately or hold for batch printing at a later time.<br>6. If Service is required to deliver materials, user initiates the Service setup process.<br>7. System automatically dockets the distribution of the message or user makes the docket entry manually. |
| **Associated Use Cases** | Service<br>Docket Entry |
| **Alternate Flow(s)** | User creates an ad-hoc message to be distributed to other system users (e.g., a judge's case note which is to be sent to another judge.) |
| **Interfaces** | MS Outlook |

| Use Case Name | Calendar Setup |
|---|---|
| **Purpose / Objective** | This use case describes the process to set up calendars for any court-specific resource. |
| **Actor(s)** | Clerk, Assignment Officer |
| **Trigger Events** | System Implementation |
| **Pre-condition(s)** | Resource categories have been defined (e.g., Judicial Officer, courtroom, holidays, etc.) |
| **Post-Condition(s)** | Calendars for each resource are set. |
| **Narrative** | 1. Clerk selects option to establish a calendar. |
| | 2. System displays a list of resource types for which a calendar can be created. |
| | 3. Clerk selects the resource type. |
| | 4. System displays a screen form to enter specifics about the resources such as name or title, and other descriptive information. |
| | 5. Clerk enters the resource details. |
| | 6. System presents options to associate the resource with other resources (e.g., a judge, a specific courtroom, and an event type.) |
| | 7. Clerk selects associated resources. |
| | 8. System presents options to define resource availability both generically or specifically. |
| | 9. Clerk enters availability. If generic availability periods are defined, clerk additionally enters known blocked-out periods. |
| | 10. System provides the ability to establish scheduling increments (e.g., 15 minute time slots in a block of time.) |
| | 11. Clerk selects increment, if applicable. |
| | 12. System provides options to set session limits for a block of time (e.g., 25 arraignments in a morning timeslot.) |
| | 13. Clerk enters a number to set a session limit, if applicable. |
| |     b. If a session limit is set, system prompts clerk to select whether the limit can be overridden or not when events are scheduled. |
| | 14. Clerk selects an option to allow or prevent overrides to session limits. |
| | 15. Clerk repeats steps 1 through 9 for each resource calendar to be established. |
| **Associated Use Cases** | None. |
| **Alternative Flow(s)** | Calendar Override |
| **Interfaces** | MS Outlook. |

| Use Case Name | Calendar Override |
|---|---|
| **Purpose / Objective** | This use case describes the process to override and/or adjust resource calendars if conflicts occur when scheduling an event. |
| **Actor(s)** | Clerk, Supervisor |
| **Trigger Events** | Adding a new event to the schedule results in a conflict with one or more resources. |
| **Pre-condition(s)** | Calendars have been set. Session limits have been established. Schedule for an event has been specifically selected. |
| **Post-Condition(s)** | Resource conflict is resolved (or event is rescheduled.) |
| **Narrative** | 1. Clerk selects a specific date and time slot to schedule a new event but a conflict condition exists.<br>2. System issues an alert indicating the conflict.<br>   a. If the conflict is due to the event exceeding a pre-defined session limit that can be overridden, the alert includes a prompt for user to confirm the intent to override the session limit and schedule the event.<br>   b. Clerk selects the option to override the limit and schedules the event.<br>   c. If the conflict is due to the event exceeding a pre-defined session limit that cannot be overridden, the alert includes a message stating the reason why the event cannot be scheduled.<br>3. Clerk reviews resource calendar(s) if the session limit cannot be overridden or if the condition is due to a resource conflict.<br>4. Clerk determines if calendar(s) can be changed.<br>5. Clerk adjusts calendar if authorized.<br>   d. If Clerk is not authorized to adjust calendars, a Supervisor with appropriate authority would make the adjustment(s).<br>6. System performs calendar validation and confirms that the adjustments are acceptable or issues an alert indicating an error condition.<br>   e. Clerk or Supervisor resolves any error conditions.<br>7. Clerk schedules the event.<br>8. If calendars cannot be changed, Clerk changes the event schedule. |
| **Associated Use Cases** | Calendar Setup |
| **Alternative Flow(s)** | None. |
| **Interfaces** | None. |

| Use Case Name | Document Management – System Generated Documents |
|---|---|
| **Purpose / Objective** | This use case describes the process of generating and managing system generated documents. |
| **Actor(s)** | Clerk, Judge |
| **Trigger Event** | Event, action or condition occurs that causes the automatic generation of a document or form. |
| **Pre-condition(s)** | Document templates have been created. |
| **Post-Condition(s)** | System generated document is created and ready for distribution. |
| **Narrative** | 1. System generates a document automatically upon the occurrence of defined events, actions or conditions. <br><br>     b. If the document is to be processed at a later time, System stores the document in a work queue. <br><br>     c. If the same document is generated for distribution to multiple persons, System creates individualized versions for each person. <br><br> 2. System displays document for editing. <br><br> 3. User edits and electronically signs the document as appropriate. <br><br>     d. If multiple documents will be edited or signed similarly, System edits or applies the signature to each document. <br><br>     e. System automatically stores images of documents signed electronically. <br><br> 4. System presents user with the ability to print the document, including the option to print immediately or hold for printing at a later time. <br><br>     f. System prints the document or stores the document in a printing queue. <br><br> 5. System presents user with the ability to route the document to other persons for additional processing. <br><br>     g. If the document is to be routed, System presents user with the ability to select the next recipient. <br><br>     h. User selects the recipient. <br><br>     i. System stores the document in a work queue for the next recipient. |
| **Associated Use Cases** | Document Management – Hardcopy documents |
| **Alternative Flow(s)** | System generated document is initiated manually. |
| **Interfaces** | None. |

| Use Case Name | Document Management – Hardcopy documents |
|---|---|
| Purpose / Objective | This use case describes the process for handling hardcopy documents received in the Clerk's office. |
| Actor(s) | Clerk |
| Role(s) | Document review, Filing, Docketing, Scanning |
| Trigger Events | New documents received by the Clerk's office (via personal delivery, mail, or fax.) |
| Pre-condition(s) | Work queue for scanned documents not associated with cases is set up. |
| Post-Condition(s) | Documents have been scanned into the system and linked to their respective cases and docket entries. |
| Narrative | 1. Counter Clerk reviews documents received to determine if fees are required.<br><br>   a. If fees are required and payment is not provided, and if no waiver or deferral exists, Counter Clerk rejects the filing and returns the documents.<br><br>2. Counter Clerk accepts and stamps documents which include appropriate payment (or if waiver or deferral is known to exist) or do not have fees.<br><br>3. If the documents are for a new case, Filing Clerk selects a system command to initiate a new case and enters the case information.<br><br>4. Filing Clerk chooses whether to docket the documents first and then scan, or to scan the documents and docket them afterwards<br><br>   b. If documents are docketed first, Filing Clerk additionally chooses whether to scan documents at the time of docketing or at a later time.<br><br>   c. If documents are scanned first, Filing Clerk additionally chooses whether to docket the documents at the time of scanning or at a later time.<br><br>**DOCKET FIRST and SCAN**<br>5. Clerk selects case and navigates to the case docket.<br><br>6. Clerk selects an option to create a new docket entry.<br><br>7. Clerk selects the docket code appropriate for the document.<br><br>8. System issues a prompt to scan the document or to defer scanning to another time.<br><br>9. Clerk scans the document or selects the option to defer the scanning.<br><br>   d. If document scanning is deferred, System prints a document identification label<br><br>   e. System tracks document identification information with the docket entry.<br><br>10. Clerk repeats steps 5 through 9 for each additional document to be docketed.<br><br>**SCAN FIRST and DOCKET**<br>11. Clerk selects a system command to scan a document.<br><br>12. System prompts Clerk to select a case or to defer docketing until a later time.<br><br>13. Clerk selects the case.<br><br>14. Clerk scans the document.<br><br>15. System creates the docket entry and prompts clerk for additional information.<br><br>   f. If deferral of docketing until a later time had been selected, System creates an entry for the document in a work queue rather than in a docket.<br><br>16. Clerk adds additional information to the docket entry as needed.<br><br>17. Clerk repeats steps 11 through 16 for each additional document to be scanned. |

| Use Case Name | Document Management – Hardcopy documents |
|---|---|
| Associated Use Cases | Docket Entry. |
| Alternative Flow(s) | Document is docketed but is never scanned.<br>Document is scanned but never docketed. |
| Interfaces | Local court document management system(s). |

| Use Case Name | Financial Management – Accounts Receivable (AR) |
|---|---|
| Purpose / Objective | This use case describes the process to manage case and misc. transaction account receivables and payments |
| Actor(s) | Clerk, Payer |
| Trigger Event | Fees/Fines/Costs/Restitution are incurred |
| Pre-condition(s) | Amounts for fees, fines and costs for transactions have been pre-defined in the system. |
| | Allocation among parties has been made (e.g., plaintiff or defendant; individual, joint/several, etc.) |
| | Allocation of priorities for funding disbursement accounts has been pre-defined. |
| Post-Condition(s) | Disbursement accounts funded |
| Narrative | 1. Clerk selects case and navigates to a payment processing screen upon receiving a payment. |
| |     a. System tracks fees, fines, and costs for each transaction and party within a case and for all non-case transactions. |
| |     b. System tracks the accrual of distribution amounts to each disbursement account (both within one case and across all cases. |
| |     c. System tracks a payment due date for each fee/fine/cost incurred. |
| |     d. System generates bills to be sent to appropriate parties if payments are not made within a pre-determined period (Bills are not generated for parties which have approved fee waiver on file.) |
| | 2. Clerk selects the payment method. |
| |     e. System displays fields specific to the payment method. |
| | 3. Clerk enters payment details including payer and account information. |
| | 4. System performs payment validations. |
| |     f. System updates accounting record if payment is accepted. |
| |     g. System provides an option for clerk to generate a bill if payment is not accepted. |
| | 5. Clerk selects an option to set up a payment plan for parties which require one. |
| |     h. System displays payment plan screen with alternative payment options. |
| |     i. Clerk selects payment options (e.g., # payments, or recurring payment amount) |
| |     j. System generates payment plan and receipt with plan details. |
| |     k. System closes out payment plan when obligation is met. |
| | 6. If a payment plan is not offered, the account may be sent to a Collection agency or a court action scheduled. |
| |     l. Clerk flags the account if the account is sent to Collections |
| |     m. Clerk updates the case record with funds collected. |
| | 7. System allocates payments received to disbursement accounts. |
| | 8. Clerk disburses funds to receiving agencies (e.g., Depts. of Revenue, Finance.) |
| |     n. System generates accounting reports as needed. |
| Associated Use Cases | Financial Management – Process Payments |
| | Event Scheduling |
| Alternative Flow(s) | Payment submitted online. |

| Use Case Name | Financial Management – Accounts Receivable (AR) |
|---|---|
| Interfaces | Dept. of Revenue; Dept. of Finance |

| Use Case Name | Financial Management – Process Payments |
| --- | --- |
| **Purpose / Objective** | This use case describes the process of receiving payment for the charges on one case and generating receipts. |
| **Actor(s)** | Clerk, Payer |
| **Trigger Event** | Payment is offered to the Clerk's office. |
| **Pre-condition(s)** | Charges have been assessed. |
| **Post-Condition(s)** | Payment is credited. |
| **Narrative** | 1. Clerk receives payment.<br><br>    b. Payments may be made in person or mailed in.<br><br>2. Clerk selects case and navigates to a payment processing screen upon receiving a payment.<br><br>3. Clerk selects payment method(s).<br><br>    c. System provides screens for entering payment information.<br><br>    d. If multiple payment methods are selected for one payment (e.g., a split payment), system displays the screen forms for each payment method side-by-side.<br><br>4. Clerk enters payment details, including the payment amount, method (cash, check, credit or debit card, or deposit account) and payer information.<br><br>5. If payment is by cash, system calculates change to be provided.<br><br>6. If payment is by check, system verifies that payer has not been flagged for a previous bad check.<br><br>    e. Clerk denies payment by check if the system returns an alert that the payer has been flagged.<br><br>7. If payment is by credit or debit card, clerk (or payer) swipes the card or clerk enters the account information manually.<br><br>    f. System initiates an authorization request to the Supreme Court's payment credit/debit card processing service.<br><br>    g. System alerts clerk to obtain payer signature upon receiving authorization.<br><br>    h. System prints credit/debit card receipt slip<br><br>    i. Clerk denies payment if authorization is not received.<br><br>8. If payment is by withdrawal from a deposit account, system verifies that available funds exist in the account.<br><br>    j. Clerk denies payment if adequate funds are not available.<br><br>9. System generates receipts for accepted payment and tracks receipt number with the case. |
| **Associated Use Cases** | None. |
| **Alternative Flow(s)** | Payment received is to be applied to multiple cases. |
| **Interfaces** | Credit/Debit card authorization service. |

| Use Case Name | Financial Management – Checks |
|---|---|
| Purpose / Objective | This use case describes the process for managing checks that do not clear due to insufficient funds (NSF) |
| Actor(s) | Clerk, Payer |
| Trigger Event | Payment by check is made. |
| Pre-condition(s) | Case has charges to be paid. |
| Post-Condition(s) | Case continues or is suspended due to lack of payment |
| Narrative | **PAYMENT**<br>1. Clerk enters check and payer information.<br>2. System performs check payer verification to identify if payer has been flagged for a previous bad check.<br>    a. System displays a list of potential matches of the payer of people who are flagged for bad checks.<br>    b. Clerk determines if anyone on the list is the payer and denies payment if so.<br>3. Clerk accepts payment if the person is not flagged.<br>**INSUFFICIENT FUNDS PROCESSING**<br>4. Clerk receives notice from bank that a check used for payment of fees has been returned due to insufficient funds.<br>5. Clerk navigates to screen used to look up check payments and enters check information to identify the case for which the payment was made.<br>    c. System displays the case number.<br>6. Clerk selects the case and navigates to a screen used to manage payments.<br>7. Clerk flags the check as bad (NSF)<br>8. System creates and applies reversing financial transactions, including the reduction of disbursement accounts.<br>    d. System allows negative balances in disbursement accounts if the disbursement associated with the check payment had been made and/or the account balance is less than the amount reversed.<br>9. System generates notice to the payer (and to the party for which payment was made if the payer is not a party on the case.) |
| Associated Use Cases | Financial Management – AR (Acct. Receivable)<br>Case Communications |
| Alternative Flow(s) | None. |
| Interfaces | None. |

| Use Case Name | **Financial Management – Deposit Accounts** |
|---|---|
| **Purpose / Objective** | This use case describes the process to manage deposit accounts. |
| **Actor(s)** | Clerk, Deposit account owner |
| **Trigger Event** | Payment is to be made from deposit account |
| **Pre-condition(s)** | Deposit account(s) for the payer are set up. |
| | Clerk has selected the Deposit Account payment method. |
| **Post-condition(s)** | Payment is made |
| **Narrative** | 1. Clerk enters payer information. |
| | 2. System displays a list of deposit accounts available to the payer. |
| | 3. Clerk selects the deposit account to be used for the payment. |
| |     a. System issues an alert if deposit account does not have adequate funds for the payment. |
| |     b. Deposit account owner provides additional funds into the account if needed. |
| |     c. Clerk denies payment if additional funds are not being deposited prior to the payment. |
| | 4. System withdraws funds from the deposit account to pay the charges. |
| | 5. System generates a notice to the account owner informing them of balance and due date for providing funds to increase the balance if the account balance is below a minimum amount. |
| |     d. System issues an alert if account is not brought up to the minimum balance by due date. |
| | 6. Clerk initiates the process to close the deposit account as needed. |
| | 7. System prepares a refund if funds remain in an account to be closed |
| **Associated Use Cases** | Financial Management – AR (Acct. Receivable) |
| | Case Communications |
| **Alternative Flow(s)** | None. |
| **Interfaces** | None. |

| Use Case Name | Applicant/Nominee Validation |
|---|---|
| Purpose / Objective | This use case describes the process to verify that an applicant or nominee for appointment (e.g., as a Trustee) is acceptable based on court records |
| Actor(s) | Applicant, Clerk |
| Trigger Events | An application is filed |
| Pre-condition(s) | None |
| Post-Condition(s) | Applicant or nominee is verified as acceptable or confirmed as not acceptable |
| Narrative | 1. Applicant submits application for appointment or nomination. <br> 2. Clerk timestamps application and dockets receiving it. <br> 3. Clerk scans the application form. <br> 4. Clerk enters the application information. <br> 5. Clerk selects a command to initiate a system review of the person(s) named in the application. <br> 6. System presents a list of potential person matches. <br>    b. System displays any alerts which are associated with each potential match. <br> 7. Clerk determines if the person in the application is one of the individuals on the list created by the system. <br> 8. Clerk reviews information and determines if any information provided should prevent the individual from proceeding in the process. <br>    c. Clerk notifies bailiff (or security officer) if confirmed identity is established for an individual with an outstanding warrant who is present. |
| Associated Use Cases | Multiple (all applications, nominations, etc.) |
| Alternative Flow(s) | Application prepared online or filed electronically. |
| Interfaces | None. |