

**APPENDIX B-03 – APPELLATE
COURT FUNCTIONAL
SPECIFICATION REQUIREMENTS**

Table of Contents

APPENDIX B-03 – APPELLATE COURT DMS REQUIREMENTS SPEC	1
1.0 Introduction	2
1.1 Current System Overview.....	2
1.2 Context Diagram	3
1.3 Objective	4
1.4 Background	4
1.5.2 Current ACCMS Document Storage Size Trend	6
1.6 Assumptions	7
1.6.1 Assumptions	7
2.0 Use Cases	10
2.2 Sample ACCMS Use Cases - See Appendix B-01 Technical Requirement	12
2.3 Sample DMS Use Cases - See Appendix B-01- Technical Requirement	13
3.0 Specifications - See Appendix B-01- Technical Requirement	17
3.1 Roles, Work Groups And Security	17
3.1.1 Approach.....	17
3.1.2 Roles – SAMPLE ROLES –ADDITIONAL ROLES MAY BE DETERMINED ..	18
3.2 Workflows.....	19
3.3 Screens	19
Sample DMS File Structure	20
3.4 DMS Workgroup Structure	21
3.5 Interfaces	21
ACCMS Document link interface	21
3.6 Conversions for existing electronic case records	22
3.6.1 DMS Court Folder Creation	22
3.6.2 DMS Court Division Folder Creation	23
3.6.3 DMS case Folder Creation	24
3.6.4 ACCMS case documents	25
3.6.5 ACCMS case document Deletion	26
5.0 References	28
5.1 Glossary	28
5.2 Abbreviations.....	29
5.3 Acronyms	29

1.0 Introduction

The case management process for the California Appellate Courts and Supreme Court has traditionally been a paper intensive process requiring the collection, transfer and storage of large volumes of paper documents. The gradual introduction of computer technology is now transitioning the physical paper documents to electronic formats. For the California Appellate Courts and Supreme Court this transition is being accomplished by the implementation of ACCMS and e-filing (electronic submission of court documents by third parties).

Both the physical paper process and the electronic process present several issues for the Courts:

1. Retrieval of case documents
2. Storage of the case documents and costs associated with this storage
3. Creation and update management of case documents
4. Transfer of case documents between Courts
5. Court access to case documents from remote locations
6. Public access to case documents

The California Appellate Courts and Supreme Court have recognized that it is paramount that the Courts address these issues immediately to insure that the Courts can continue to operate in an efficient and economical manner for the people of California. To address the above listed issues, the Courts have determined that the integration of a DMS with ACCMS would be the appropriate solution.

1.1 Current System Overview

All of the Appellate Courts and the Supreme Court are using ACCMS as their operational case management tool. Almost all, and by mid-2017 all, courts will be using e-filing. Documents are loaded into ACCMS by various means:

1. Electronic loading from Superior Court CCMS systems
2. Manual scanning and loading of case documents received by the Clerks
3. E-filing of documents from the Parties to the Court
4. Creation of orders/notices/opinions by the Courts and attached to ACCMS by the Clerks

Only the published document is attached to the ACCMS Case file. There is no revision history capture, work notes captured, or emails regarding the case captured.

1.2 Context Diagram

1.2.1 Current System

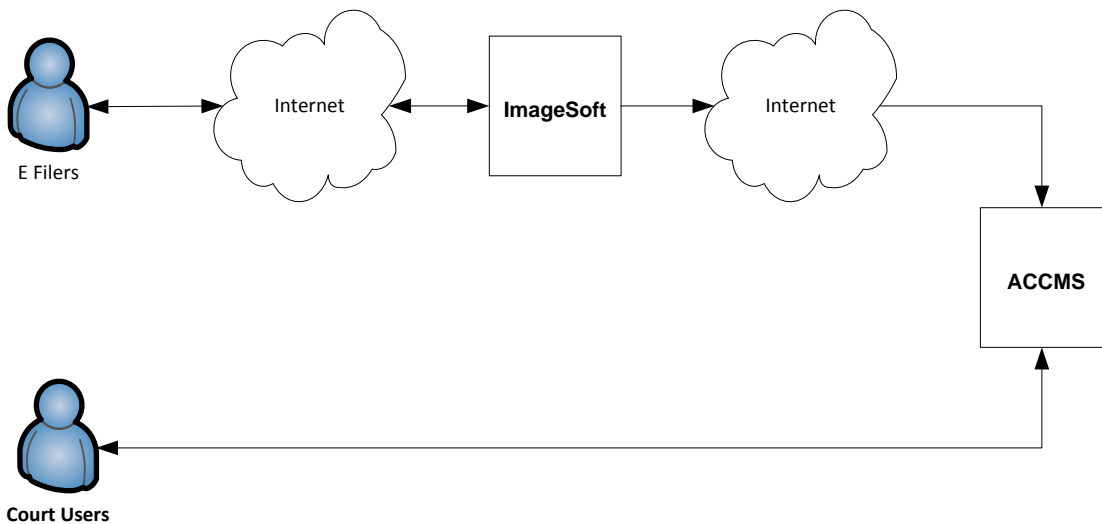


Figure 1.4.1

1.2.2 Proposed System

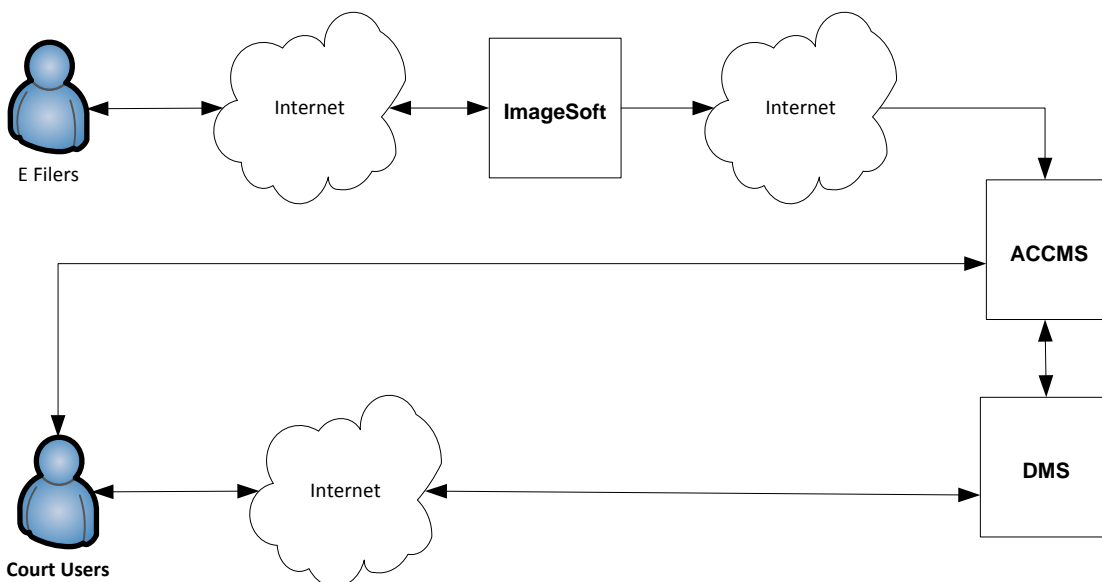


Figure 1.4.2

1.3 Objective

The objective of this document is to present a compilation of the business requirements for a DMS as gathered from onsite interviews of the 6 California Appellate Courts and the California Supreme Court.

1.3.1 In Scope

- Development of sample “As-Is” swim lanes for the Appellate Courts
- Creation of the DMS Business Requirements for the Appellate Courts
- Creation of the DMS Business Functional Specifications for the Appellate Courts

1.3.2 Out of Scope

- Requirements for any other entity than the Appellate Courts
- Any design of components or technical solutions
- Costing estimates
- Integrations to any other tool, product or application other than ACCMS and EFSP (Electronic Filing Service Provider)

1.4 Background

The case management process for the California Appellate Courts and Supreme Court has traditionally been a paper intensive process requiring the collection, transfer and storage of large volumes of paper documents. The gradual introduction of computer technology is now transitioning the physical paper documents to electronic formats. For the California Appellate Courts and Supreme Court this transition is being accomplished by the implementation of ACCMS and e-filing (electronic submission of court documents by third parties).

Both the physical paper process and the electronic process present several issues for the Courts:

- Retrieval of case documents
- Storage of the case documents and costs associated with this storage
- Creation and update management of case documents
- Transfer of case documents between Courts
- Court access to case documents from remote locations
- Public access to case documents

The California Appellate Courts and Supreme Court have recognized that it is paramount that the Courts address these issues immediately to insure that the Courts can continue to operate in an efficient and economical manner for the people of California. To address the above listed issues, the Courts have determined that the integration of a DMS with ACCMS would be the appropriate solution.

1.5 ACCMS – APPELLATE COURT CASE MANAGEMENT SYSTEM

The Appellate Court Case Management System (ACCMS) was developed for the Supreme Court and the District Courts of Appeal. This court case management system provides detailed information on each appellate case, including case characteristics, parties, attorneys, court reporters, lower court case information, financial transactions, docket entries for past events and scheduled future actions, briefing, conferencing, calendaring, and disposition.

1.5.1 Current ACCMS Document Storage Size

The following table shows the total document storage needed by court:

Court	Total Storage Size (Terabytes)
1st DC	.83
2nd DC	1.71
3rd DC	1.16
4th DC Div 1	.66
4th DC Div 2	.55
4th DC Div 3	.28
5th DC	.83
6th DC	.72
Supreme Court	.22
Totals	6.96

The storage sizes are expected to increase over time for the next several years as more documents are electronically collected and attached to each case. Currently, all attached documents represent approximately 55% of the Total ACCMS storage.

1.5.2 Current ACCMS Document Storage Size Trend

The following represents the storage size (allocated) trending for the last four years:

ACCMS SAN Storage Growth in 4 Years			
Q4 2012 in TB	Q4 2013 in TB	Q4 2014 in TB	Q4 2015 in TB
2.8	3.1	6.5	13.5

Operationally, there are currently six instances of the ACCMS databases in use that comprise the 13,5 TB allocation figure, those are:

1. ACCMS Production
2. ACCMS Production Reporting
3. ACCMS Staging
4. ACCMS Staging Reporting
5. BCV (DR)
6. BCV (Backup)

It should also be noted that Table 1.5.1 represents only one instance of storage for all documents actual consumed storage, not allocated.

1.5.3 Current Number of ACCMS Cases

The following table represents the current number of cases in ACCMS for each court:

Court	Number of Cases
1st DC	100,460
2nd DC	272,066
3rd DC	82,228
4th DC Div 1	68,692
4th DC Div 2	66,162
4th DC Div 3	48,215
5th DC	62,333
6th DC	43,842
Supreme Court	23,504
Totals	767,502

1.6 Assumptions

1.6.1 Assumptions

#	Assumption	Impact
1	Document storage requirements will continue to increase	E-filing is still being rolled out to several Courts, transcripts and Reporter’s documents are increasingly being received as electronic files. This means that our current electronic storage size, as represented in Appendix B, is just a fraction of what the Courts steady state storage need will be in the future.
2	The existing ACCMS and e-filing functionality will not be negatively impacted by the proposed integration of a DMS	The integration of a DMS cannot degrade current response times for document related activities such as attaching a document to ACCMS or displaying a document from ACCMS.
3	Authorized Users will be available to participate as requested, in documentation (Business Requirements, Functional Specification, User Acceptance Testing (UAT) Test Cases/Scripts, and User Manual) reviews, collaborative design sessions, and UAT throughout the duration of the project.	If Authorized User availability to participate is limited or constrained, delivery of the project would be delayed and costs would be increased.
4	The DMS will not replace the e-filing application	The current e-filing application will continue to function as it does today and will not be replaced by the DMS. The DMS may provide additional Stamping features for a document received by the e-filing application after the document is stored in the DMS. The e-filing system will not be modified to store directly into the DMS.
5	There is no legal/technical obstacle preventing Authorized User access to case documents remotely	If we cannot provide remote access, this eliminates a key feature that a DMS can provide and degrades its value to the Courts

6	All ACCMS documents will be migrated to the DMS	Reduce ACCMS storage costs
7	ACCMS Templating will remain in ACCMS	Current Template functionality will remain in ACCMS. However, over time, this functionality may move to the DMS.
8	The Business is ready to deploy the DMS	The Appellate Courts are in a state of readiness to deploy the DMS. There are no additional hardware needed to be purchased at the Appellate Courts to support the DMS.
9	Configurability of the DMS	Although the Appellate Courts perform the same functions, how they accomplish those functions is different between the Appellate Courts, between the chambers, and between the staff originations and members of each Appellate Court. The DMS must be able to provide maximum flexibility in allowing each Appellate Court to configure how they will perform their tasks for each document.
10	Single Instance of the DMS	One instance of the DMS will support the needs of the Appellate Courts
11	Administrative Support	Each Appellate Court will need to have at least two members of their existing court staff sufficiently trained to preform Administrative support. The JCC will also have to have at least two members trained to provide Administrative and Security functional support to the Appellate Courts.
12	Funding	There will be funding to support both the implementation of the DMS and its ongoing maintenance and support.
13	Local office equipment	No additional scanning or other equipment will be needed at the Appellate Courts to support the DMS.

1.6.2 Risks

#	Risk	Impact
1	Document Display Time	Adding a DMS application and new storage solution to manage documents may increase display time when displaying the document via the ACCMS Link.
2	Access Security for Remote devices	Having court case documents downloaded to personal electronic devices of members of the Appellate Courts on unsecured/encrypted devices has a potential for unwanted release of this information to the public.
3	Insufficient network bandwidth for internet connections	Adding a DMS will probably increase network traffic at the courts as more documents are created, stored, and updated by more court personnel. This may impact response times to all Enterprise applications. Additionally, all internet access for all courts is funneled through the JCC network which will make this a choke point that needs to be expanded. Primary access for most court users will be via Internet access.

2.0 Use Cases

The following sample use cases are to be the basis for developing the DMS implementation. (See Appendix B-01 Technical Requirement.)

2.1 General Usage

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.

2.2 Sample ACCMS Use Cases - See Appendix B-01 Technical Requirement

The following use cases cover the behavior expected from ACCMS when integrated with a DMS. It is expected that conversion of existing case documents into the DMS will have already been performed.

Use Case Scenario ACCMS1 – Creation of a DMS Case Folder

All new cases are opened in the ACCMS system. When a new case is opened in ACCMS, a matching DMS Case Folder needs to be created.

Use Case Scenario ACCMS2 – Attaching a case document to ACCMS

When a clerk attaches a document to an ACCMS case, the document should be stored in the matching DMS Case Folder with the Link in ACCMS pointing to the DMS document.

Use Case Scenario ACCMS3 – Opening a case document in ACCMS

When an Authorized User opens an attached document in an ACCMS case, the document should be opened from the DMS Case Folder and be under the security access, check-in/check-out and version controls of the DMS.

Use Case Scenario ACCMS4 – Attaching a DMS created document to ACCMS

When an Authorized User creates a document in the DMS Case Folder and it is a document required to be part of the ACCMS Case record the document should be able to be attached to the appropriate ACCMS Case record.

Use Case Scenario ACCMS5 –DMS Working Case (Doghouse) creation from ACCMS

The Doghouse folder contains all the documents for a fully briefed case. When the Doghouse is created in ACCMS, a Working Case Folder needs to be created in the DMS Case folder. The Working Case Folder should have a copy of all the Doghouse documents. This Working Case Folder is an area where the Courts will do the majority of their collaboration activities for document creation. Changes/updates made to documents in the Working Case Folder will not change the original document in the DMS Case Folder. Additional documents can be added to the Working Case Folder subsequent to its creation.

2.3 Sample DMS Use Cases - See Appendix B-01- Technical Requirement

The following use cases cover the behavior expected from the DMS when integrated with ACCMS. IT is expected that conversion of existing case documents into the DMS will have already been performed.

Use Case Scenario DMS1 – Creating an Authorized User in the DMS

Part of the initial implementation of the DMS will be the creation of Court Administrators. This will be done by the DMS Administrator. Once the Court Administrators are created, they need to add all members of the court that will need to access documents in the DMS to the DMS with the majority of them having the Role of Authorized Users (AUs).

Use Case Scenario DMS2 – Adding an Authorized User to DMS Workgroups

Authorized Users (AUs) need to be added to DMS Workgroup structures in order for the AU to be able to utilize the features of the DMS as well as have access to court documents stored in the DMS. There should be one main workgroup per Court (required) and many sub workgroups below that main workgroup. In order to be added to a sub workgroup, an AU must first be added to the main workgroup.

Workgroups are a mechanism by which the courts can logically group their members and by which they can control access to various processes in the DMS. Some possible workgroup groupings would be:

- A. Court (this would be a super group containing all employees of a court) – This is a required Group
- B. Division (this would be a super group containing all employees of a Division)
- C. Clerks
- D. Chambers
- E. Central Staff
- F. Panels

The creation of workgroups and their AU members would be at the discretion of the courts.

Use Case Scenario DMS3 – Associating a DMS Workgroup to a Court/Division/Case Level Folder

In order for an Authorized Users (AUs) to access a Court, Division and/or Case level folder they must be a part of a workgroup that has been associated with those folders. The DMS must allow the association of a Workgroup to a Folder. Once a Workgroup is associated to a Folder, the AUs that are a part of that Workgroup should be able to add/change documents in that folder as permitted. A Workgroup can be associated to a individual document as well, only members of that Workgroup can access that document.

Use Case Scenario DMS4 – DMS Court Level Template Folder

A Template folder should be able to be created within a Court or Division Folder. AU's should be able to open copies of templates and save them to other folders. Only Super Users should be able to modify templates. If an AU has a template design they want added to or changed in the Template folder, they need to have the Super User add/change it to/in the folder. Examples of Court Templates are: Various Standard Orders, Notices, Voting sheet, etc.

Use Case Scenario DMS5 – Check-out/check-in and Version Control

The DMS must support check-out/check-in functionality. Only one AU should be allowed to check out a document for editing at a time. If a document is checked out for editing, other AUs should only be allowed to open the document as Read Only. Once checked in, another AU should be able to check out the document for editing.

Version control is used in conjunction with check-out/check-in functionality. When checking in a document, the AU should be asked if this is a minor or major version check in. Default should always be to a minor version. The AU should also have the option of deleting the current checked out version and undoing the check out without overlaying the copy still in the DMS.

The DMS should allow for a preset number of older minor or major versions to be saved. The AU should be able to retrieve an older version of the document without overlaying the current version.

Use Case Scenario DMS6 – Conversion of native document format to pdf

Only non-editable documents should be available for public access. All finalized documents should have a copy converted to pdf and stored in the DMS Case file. These pdf files would be what are eventually displayed or sent to the public.

Use Case Scenario DMS7 – Mark-up of pdf documents

The DMS should provide the capability to mark up a pdf document with stamps and signatures.

The DMS should allow a Super User to add/change/delete Stamps and signatures.

Use Case Scenario DMS8 – Workflow Work Queues

The DMS should allow the creation of standard named work queues for Workgroups and for individual AU's. Workgroups and individual AU's are responsible for managing their own work queues. Entries in a work queue are for documents that need to be dealt with by the Workgroup or AU that the work queue is assigned. A work queue entry can be removed by assigning it to another work queue or by Publishing the Document.

Use Case Scenario DMS9 – Adding items to Work Queues

The DMS should allow for documents to be added to the Work Queue. Adding a document to the work queue can be automated or manual. For the majority of CP processes, adding a document to a Work Queue will be a manual process completed by an AU. Work queues should allow for priority settings for any document added to the work queue. When a document is saved, the AU should have the option to add the document to a Work Queue. If the AU select the Add to Work Queue option, they should be presented with a list of Work Queues to which they can add the document. At assignment time, the AU should be able to set a priority on the document queue item.

Use Case Scenario DMS10 – Work Queue Management

The DMS work queues normally display entries in the order received. The last entry received is placed at the end of the queue. There are some exceptions. First are priority entries which are listed at the top of the queue. The last priority entry received is placed at the end of all other priority entries. The work queue owner can place an entry in front of other entries.

Use Case Scenario DMS11 – Collaboration Process (CP)

The DMS facilitates the CP. The CP is a manually controlled process by AU's for the creation of a single document. It is initiated by an AU creating and saving a draft document. That AU at save time places the draft document into a work queue for another AU. Each AU is responsible for managing their work queues. The CP is completed when either a vote is taken on a document and agreement is reached or the Lead AU (e.g. Authoring Justice) determines that the CP is completed, The result of a CP will typically be a draft document or a document ready to Publish.

Use Case Scenario DMS12 – Publishing a document

The DMS should provide the capability to publish a pdf. This option should be offered when saving a document. By selecting this option, the document should be removed from its last work queue.

Use Case Scenario DMS13 – Transferring a DMS Case File

The DMS should provide the capability to make a complete copy of all Published Case documents only in a DMS Case Folder and create a New DMS Case Folder in another Courts Folder. This functionality is only available to the Court System Administrator. An email notification process is also part of this capability.

Use Case Scenario DMS14 – Direct access to the DMS

Authorized Users should be able to directly access Case Documents in the DMS without first going through ACCMS.

Use Case Scenario DMS15 – Remote access to the DMS

Authorized Users should be able to access the DMS via the internet without using the JCC network. This access should be possible using laptops, tablets, smartphones or other devices that can display documents.

Use Case Scenario DMS16 – Public access to the DMS

The Public should be able to access the DMS Public Facing Case documents via an internet public access without using the JCC network. The Public should be able to print or download Public Facing Case documents for a fee collected by the DMS.

3.0 Specifications - See Appendix B-01- Technical Requirement

3.1 Roles, Work Groups And Security

3.1.1 Approach

The DMS is used to manage all documents created or used by the Courts. Role based security should be used to manage access to the DMS and assign access rights to individuals. There are two main access groups:

1. Courts - Each Court will be allowed to manage access security for their court.
2. Public – the public will be able to only access published Case documents via a Public portal

All Appellate Court members must have a valid role associated with them.

A Workgroup consists of Appellate Court members as determined by the purpose of the Workgroup and the desires of the Appellate Court. An Appellate Court member can be associated with more than one Workgroup.

Security down to the document level will be accomplished through a combination of Workgroups and Role Based security.

A Workgroup can be associated with a Court folder, Division folder, DMS Case Folder, Working Case Folder or Document. Members of that Workgroup can access documents in those folders based on their Role. All Folders and/or Documents must have one or more Workgroups associated with it. If a document has a Workgroup directly associated with it, only those members of that Workgroup can access that document base on their roles whereas those documents in a folder that do not have a specific Workgroup associated with them can be access by all members of the Workgroup(s) associated with that Folder.

3.1.2 Roles – SAMPLE ROLES –ADDITIONAL ROLES MAY BE DETERMINED

Role	Access Rights	Permissions
Public	View only at the Case Level	<ul style="list-style-type: none"> Can view published case documents for this security level May print or download a published case documents
Basic	View only at the Court Level	<ul style="list-style-type: none"> 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
Authorized User	Basic access, plus basic access to report, search, and list functions at the Court Level	<ul style="list-style-type: none"> 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
Court Super User	AU access, plus additional editing and override permissions at the court level only.	<ul style="list-style-type: none"> 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
Court System Admin	Court Super User access, plus access to system functionality and override features at the Court level only.	<ul style="list-style-type: none"> Access to system functionality Approves user access Monitors system for performance and reliability issues Assigns user's group and roles
DMS System Admin	All Courts access and Court System Admin rights, plus access to system functionality and override features.	<ul style="list-style-type: none"> Access to system functionality Approves user access Monitors system for performance and reliability issues Assigns user's group and roles
DMS Security Admin	Access to security features and reports only for all courts	<ul style="list-style-type: none"> Defines access and permission rules for groups and roles Monitors system for security violations

The Super Users should be picked from the Court Clerks, Judicial Assistants, Attorneys, or Judges. There can be as many SU's as needed by a Court.

The Court System Administrators should be picked from the Court Clerks, Judicial Assistants, Attorneys, or Judges. There should be a minimum of two Court Sys Administrators per court.

The DMS Systems Administrators and System Security roles should be at the JCC level within the IT organization.

3.2 Workflows

The Collaboration Process (CP) for the courts does not lend itself to a formalized workflow process. The CP will initially be implemented as a freeform manual work queue assignment process managed by the courts. This provides the greatest amount of flexibility to the courts to utilize the DMS within their current processes.

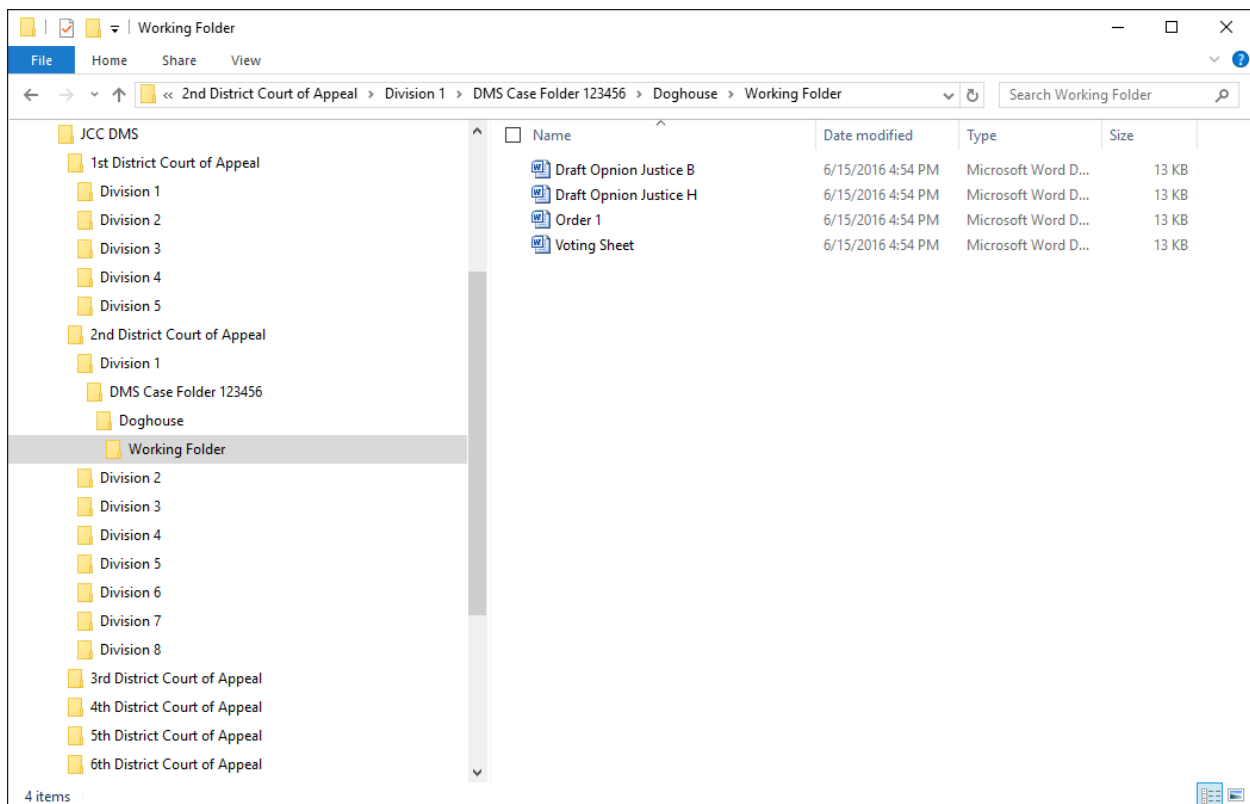
As most DMS offer a formalized workflow process which varies by DMS, the courts will be able to evaluate the specific DMS process to determine over time if there is any applicability to the courts document creation/management processes.

Sample workflows which are included herein provide a basic framework for the type and variety of workflows that will be needed. Not all Appellate Courts will require the same exact workflows but the basic complexity for several key varieties are shown. It is expected that each Court will determine the number of workflows desired. It is expected and additional workflows beyond this set of samples will require additional professional services. Workflow Diagrams are documented in Appendix A of the Business Requirements Specifications for the Appellate Courts Court Document Management System.

3.3 Screens

As a DMS is an existing software product, which will be selected by the Courts, that has various screens which provide functionality needed to store, update and retrieve documents, the following are offered as examples which we need to consider in the selection of the DMS but may have no relationship to how the DMS actually delivers this functionality.

Sample DMS File Structure



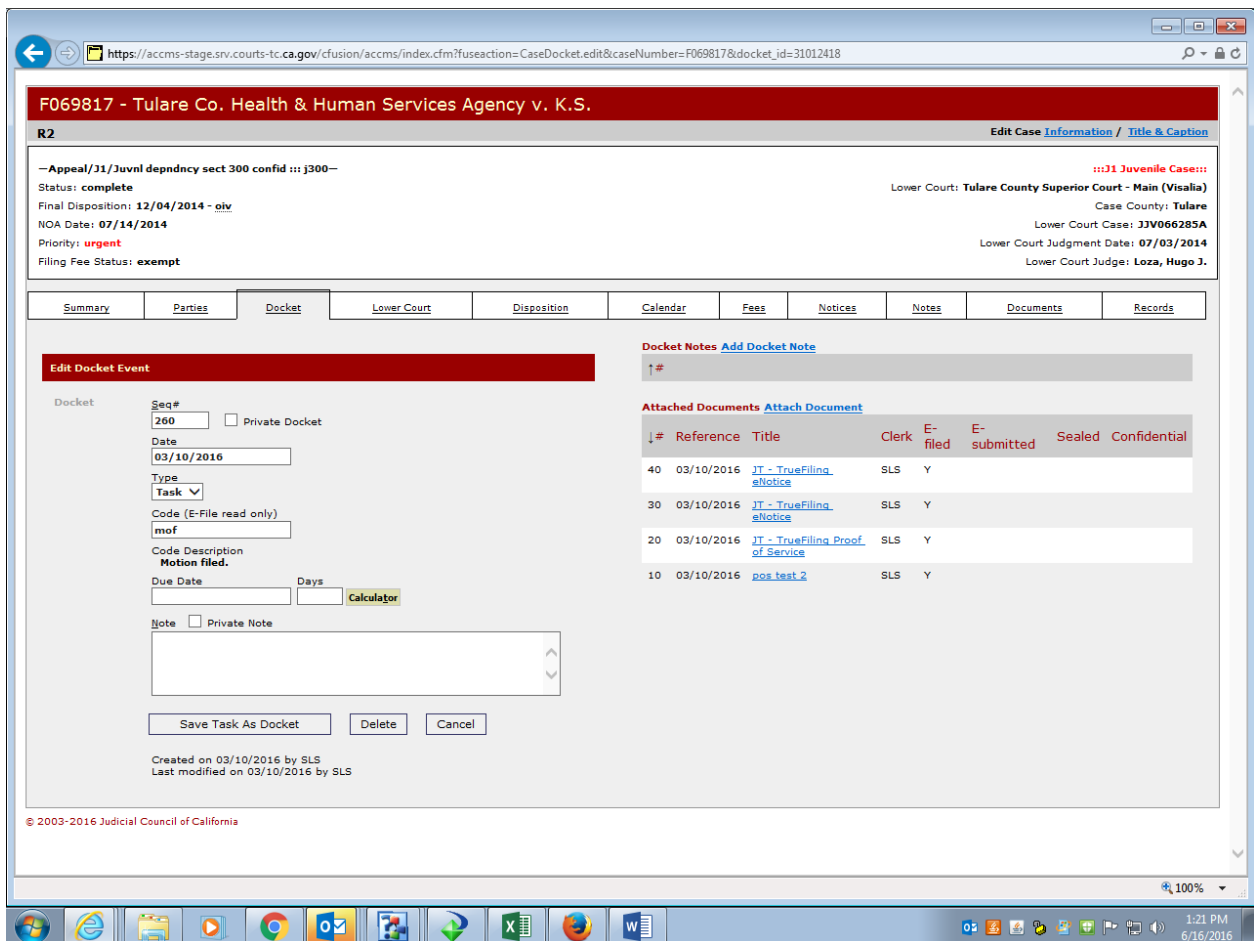
3.4 DMS Workgroup Structure

Workgroups will be hierarchal in structure and will follow a variety of configurations based on the individual court staff’s collaboration tasks. Example 1: Justice Chamber staff which consists of 1 Justice, 1 Judicial Assistant and 2 Staff Attorneys. Example 2: Writ Department Staff which consists of 1 Supervising Writ Attorney, 1 or more Judicial Assistants and 3-7 Staff Attorneys.

3.5 Interfaces

ACCMS Document link interface

When a document is attached to the ACCMS case file, ACCMS will save the document into the appropriate DMS Case Folder and place a link in the ACCMS screen as shown below:



3.6 Conversions for existing electronic case records

3.6.1 DMS Court Folder Creation

Program Information

Interface Type	Batch
Frequency (How often will conversion be run?)	<input checked="" type="checkbox"/> Ad-hoc <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually _____ <input type="checkbox"/> Other: _____
Execution	<input type="checkbox"/> Foreground <input type="checkbox"/> Background <input checked="" type="checkbox"/> Scheduled (Recurring)
Data Type (Check all that apply.)	<input checked="" type="checkbox"/> Master <input type="checkbox"/> Transactional <input type="checkbox"/> Customizing
Source System/Input	Manual Process
Data Destination/Output	DMS
Data Volume Estimate	<input checked="" type="checkbox"/> One-time: _____ 7 folders _____ <input type="checkbox"/> Recurring: _____ records every _____

Detailed Functional Description

Overview	Create DMS Court Folder for each existing Appellate Court and the Supreme Court
Detailed Description/Strategy	The DMS Court Level Folder is the highest level folders within the DMS. All other folders will be sub-folders to Court Folders. As there will only be seven Court level folders, these will be manually created using the DMS provided user access interface.
Assumptions	There will be a one for one match between the Courts and the creation of DMS Court Folders
Prereqs	
Reconciliation Strategy	Review all folders in the DMS to ensure they have been created
Security Considerations (including encryption reqs)	Normal DMS security protocols
Required Configuration	DMS Court Folders to be created based on the selected DMS folder characteristics.

Error Handling/ Correction Reqs	Any errors to be corrected by the IT staff as they occur. Details to be developed as part of the Technical specifications
Data Cleansing Reqs	none
Data Validation Reqs	Insure that the DMS folders are created correctly with appropriate Metadata
Data Dependencies/ Sequencing	none

3.6.2 DMS Court Division Folder Creation

Program Information

Interface Type	Batch
Frequency (How often will conversion be run?)	<input checked="" type="checkbox"/> Ad-hoc <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually _____ <input type="checkbox"/> Other: _____
Execution	<input type="checkbox"/> Foreground <input type="checkbox"/> Background <input checked="" type="checkbox"/> Scheduled (Recurring)
Data Type (Check all that apply.)	<input checked="" type="checkbox"/> Master <input type="checkbox"/> Transactional <input type="checkbox"/> Customizing
Source System/Input	Manual Process
Data Destination/Output	DMS
Data Volume Estimate	<input checked="" type="checkbox"/> One-time: _____ 7 folders _____ <input type="checkbox"/> Recurring: _____ records every _____

Detailed Functional Description

Overview	Create DMS Court Division Folders for each existing Appellate Court that has divisions.
Detailed Description/ Strategy	The DMS Court Division Level Folder is a sub-folder to the Court level folders within the DMS. All other folders will be sub-folders to either the Division or Court Folders. As there will only be eight Division level folders, these will be manually created using the DMS provided user access interface.
Assumptions	There will be a one for one match between the Court Divisions and the creation of DMS Court Division Folders
Prereqs	
Reconciliation Strategy	Review all folders in the DMS to ensure they have been created

Security Considerations (including encryption reqs)	Normal DMS security protocols
Required Configuration	DMS Court Division Folders to be created based on the selected DMS folder characteristics.
Error Handling/ Correction Req	Any errors to be corrected by the IT staff as they occur. Details to be developed as part of the Technical specifications
Data Cleansing Req	none
Data Validation Req	Insure that the DMS folders are created correctly with appropriate Metadata
Data Dependencies/ Sequencing	none

3.6.3 DMS case Folder Creation

Program Information

Interface Type	Batch
Frequency (How often will conversion be run?)	<input checked="" type="checkbox"/> Ad-hoc <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually _____ <input type="checkbox"/> Other: _____
Execution	<input type="checkbox"/> Foreground <input type="checkbox"/> Background <input checked="" type="checkbox"/> Scheduled (Recurring)
Data Type (Check all that apply.)	<input checked="" type="checkbox"/> Master <input type="checkbox"/> Transactional <input type="checkbox"/> Customizing
Source System/Input	ACCMS
Data Destination/Output	DMS
Data Volume Estimate	<input checked="" type="checkbox"/> One-time: _____ Approx 150000+ _____ records <input type="checkbox"/> Recurring: _____ records every _____

Detailed Functional Description

Overview	Create DMS Case Folders for each existing ACCMS Case
Detailed Description/ Strategy	For each case in ACCMS, create a matching DMS Case Folder in the DMS.
Assumptions	There will be a one for one match between ACCMS cases and the creation of DMS Case Folders
Prereqs	

Reconciliation Strategy	Compare ACCMS cases to DMS Case Folders. As each ACCMS case is read for the creation of a DMS Case Folder, add the ACCMS Case number to a reconciliation report. Once all cases have been made into Case Folders, read the DMS case folders in the DMS and add them to the reconciliation report.
Security Considerations (including encryption reqs)	Normal ACCMS security protocols
Required Configuration	DMS Case Folders to be created based on the selected DMS folder characteristics.
Error Handling/ Correction Req	Any errors to be corrected by the IT staff as they occur. Details to be developed as part of the Technical specifications
Data Cleansing Req	none
Data Validation Req	Insure that the DMS folders are created correctly with appropriate Metadata
Data Dependencies/ Sequencing	none

3.6.4 ACCMS case documents

Program Information

Interface Type	Batch
Frequency (How often will conversion be run?)	<input checked="" type="checkbox"/> Ad-hoc <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually _____ <input type="checkbox"/> Other: _____
Execution	<input type="checkbox"/> Foreground <input type="checkbox"/> Background <input checked="" type="checkbox"/> Scheduled (Recurring)
Data Type (Check all that apply.)	<input checked="" type="checkbox"/> Master <input type="checkbox"/> Transactional <input type="checkbox"/> Customizing
Source System/Input	ACCMS
Data Destination/Output	DMS
Data Volume Estimate	<input checked="" type="checkbox"/> One-time: _____ Approx 150000+ _____ records <input type="checkbox"/> Recurring: _____ records every _____

Detailed Functional Description

Overview	Move all ACCMS case documents to the DMS
----------	--

Detailed Description/ Strategy	After the DMS Case Folders have been created for each ACCMS case, select all documents and store them into the appropriate DMS Case Folder. Replace the existing link in ACCMS for each document with a new link pointing to the corresponding document in the DMS Case Folder
Assumptions	<ol style="list-style-type: none"> 1. The ACCMS documents will still remain in ACCMS after this conversion is completed 2. The DMS Case Folders have been created correctly
Prereqs	Successful completion of section 4.7.1
Reconciliation Strategy	Generate a report listing all ACCMS Cases and their attached documents and compare it to a report generated from the DMS for all DMS Case Folders and their documents.
Security Considerations (including encryption reqs)	Normal ACCMS security protocols
Required Configuration	DMS Case documents to be created based on the selected DMS characteristics.
Error Handling/ Correction Req's	Any errors to be corrected by the IT staff as they occur. Details to be developed as part of the Technical specifications
Data Cleansing Req's	n/a
Data Validation Req's	<ol style="list-style-type: none"> 1. Random visual sampling of documents to insure that they have been saved in the DMS Folders correctly 2. Random opening of ACCMS case document links to insure the documents are coming from the DMS
Data Dependencies/ Sequencing	n/a

3.6.5 ACCMS case document Deletion

Program Information

Interface Type	Batch
Frequency (How often will conversion be run?)	<input checked="" type="checkbox"/> Ad-hoc <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Bi-weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually _____ <input type="checkbox"/> Other: _____
Execution	<input type="checkbox"/> Foreground <input type="checkbox"/> Background <input checked="" type="checkbox"/> Scheduled (Recurring)
Data Type (Check all that apply.)	<input checked="" type="checkbox"/> Master <input type="checkbox"/> Transactional <input type="checkbox"/> Customizing
Source System/Input	ACCMS

Data Destination/Output	n/a
Data Volume Estimate	<input checked="" type="checkbox"/> One-time: _____ Approx 150000+ _____ records <input type="checkbox"/> Recurring: _____ records every _____

Detailed Functional Description

Overview	Delete all case documents stored in ACCMS.
Detailed Description/ Strategy	After some period of time up on successful migration of all case documents to the DMS, the ACCMS stored copies of those documents need to be deleted.
Assumptions	<ol style="list-style-type: none"> 1. The DMS Case Folders have been created correctly 2. All ACCMS case documents have been successfully copied to their appropriate DMS Case Folder.
Prereqs	Successful completion of creating DMS Case Folders and ACCMS case documents have migrated.
Reconciliation Strategy	Run a query against the ACCMS database to determine if any documents remain
Security Considerations (including encryption reqs)	Normal ACCMS security protocols
Required Configuration	n/a
Error Handling/ Correction Req	Any errors to be corrected by the IT staff as they occur. Details to be developed as part of the Technical specifications
Data Cleansing Req	n/a
Data Validation Req	n/a
Data Dependencies/ Sequencing	n/a

4.0 Business Specifications

Business Specifications and workflow diagrams are documented in the attached Appendix B3a, Appellate Court Business Specifications.

5.0 References

5.1 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 than 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.

5.2 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.

5.3 Acronyms

Acronym Term	Definition
CP	A Collaboration Process - A common activity done by the Court where 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.