

## Attachment 1: CMS Capabilities and Scenarios

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### Supreme Court

#### Supreme Court CMS Capabilities

No.	Category	Description of Capability	Included	Note
1	Configuration	Configure searches appropriate to case type		
2	Configuration	Configure data entry and update screens a) By case type b) By event/task		
3	Configuration	Configure ticklers and alerts a) Person-based b) Case-based		
4	Configuration	Provide certain configuration settings that are unique for each user		
5	Configuration	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization.		
6	Configuration	Enable configuring the system to log any or all user activity, including the username, date, time, workstation address and details of all data/events/files viewed, added, edited, and deleted by each user, and to display all user account logs. The expectation is that this capability will be used infrequently.		

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No.	Category	Description of Capability	Included	Note
7	Configuration	Enable configuring user group roles with permissions to view, add, edit, and/or delete the following within each case-type: <ul style="list-style-type: none"> <li>a) Case and person records</li> <li>b) Standardized reports and queries</li> <li>c) Form letters/notices/orders</li> <li>d) Code table records</li> <li>e) Business and workflow rules</li> <li>f) Case notes (and permission to designate them as private or shared with other designated user groups)</li> </ul>		
8	Configuration	Provide keyboard shortcuts and dropdown menus to find/enter all available selections.		
9	Configuration	Enable configuring of the system by adding the following to any table without corrupting pre-existing records: <ul style="list-style-type: none"> <li>a) Values for data fields</li> <li>b) Free text fields</li> <li>c) Formatted data fields</li> <li>d) Calculated fields</li> </ul>		
10	Configuration	Enable configuring any code table records with an effective date range. System determines which table record applies by comparing the effective date range to a designated data-element, system date, or calculated date.		
11	Configuration	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status.		
12	Configuration	Enable configuring an unlimited number of case-types and associate each case-type with the following: <ul style="list-style-type: none"> <li>a) Code tables values</li> <li>b) Docket codes</li> <li>c) Event-types</li> <li>d) Document types generated</li> <li>e) Document types received</li> <li>f) Data fields</li> <li>g) Calendars</li> </ul>		
13	Configuration	Enable configuring a detail participant screen for displaying a participant's multiple occurrences of personal information with date/ time stamp: <ul style="list-style-type: none"> <li>a) Case roles and docket numbers</li> <li>b) Amounts owed</li> <li>c) Person-based alerts</li> <li>d) Addresses</li> <li>e) Phone numbers</li> <li>f) Personal identifiers</li> </ul>		

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No.	Category	Description of Capability	Included	Note
14	Configuration	Enable configuring a case caption format for each case-type (e.g. [plaintiff last name] v. [defendant last name], In re: [juvenile initials], The People of Guam v. [defendant full name]).		
15	Configuration	Enable configuring any number of participant roles (e.g. attorney, friend of the court) and relationships (e.g. attorney/client, mother/child), which may be assigned to participants in the case records. System maintains a history of participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party.		
16	Configuration	Enable configuring each data field with the following, which may vary by case-type: a) Screen label b) Mouse-over text tip c) Security level d) Default value		
17	Configuration	Enable maintaining the list of appointed attorneys from the private attorney panel, and rotate the list once an attorney has been appointed.		
18	Rules Engine	Configure an unlimited number of workflow rules through a table and graphical interface. Each rule includes: a) Trigger b) Response c) Optional prompt (the prompt provides opportunity to complete or cancel the automated response)		

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No.	Category	Description of Capability	Included	Note
19	Rules Engine	Set up the following configurable rule triggers, which may be limited to cases associated with a court or case-type: <ul style="list-style-type: none"> <li>a) Upon entering a specified event-type in a case record</li> <li>b) Upon entering a specified document-type in a case record</li> <li>c) Specified elapsed time following entry of a specified event-type</li> <li>d) Specified elapsed time following entry of a specified document-type</li> <li>e) Specified elapsed time following entry of a specified event-type or document-type, unless another specified event-type or document-type was subsequently entered</li> <li>f) Upon entering a specified claim code</li> <li>g) Specified amount or greater amount on account receivable remaining due for a specified elapsed time or on a specified date</li> <li>h) Upon completion of another specified rule</li> <li>i) Upon attempting to enter data in an incorrect format</li> <li>j) Upon attempting to enter data with an invalid value</li> <li>k) Upon attempting to enter data without first completing another data field or case-event</li> </ul>		
20	Rules Engine	Set up the following responses to occur in response to a triggering event: <ul style="list-style-type: none"> <li>a) Add a fee to a participant's account</li> <li>b) Add an event to a case record</li> <li>c) Add a document to a case record</li> <li>d) Add data to a case record</li> <li>e) Change the status of a case</li> <li>f) Send a document to a specified printer</li> <li>g) Seal a case record or portion of a case record</li> <li>h) Redact a portion of a case record</li> <li>i) Change a security level for a piece of information</li> <li>j) Assign a case to a management track</li> <li>k) Generate a query or report</li> <li>l) Clear a data field</li> <li>m) Fill a data field based upon the value of another data field</li> <li>n) Alert a user or group of users with a screen message or email</li> <li>o) Require another user to provide approval for completing a transaction</li> <li>p) Disable a user account</li> </ul>		
21	Database Structure	Allow re-creation of statistical /financial information for any point in time through all database elements being date- and time-stamped		
22	DMS	Receive scanned images, assign a unique document identifier to each scanned image, and associate the image to a case record contained in the image.		

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No.	Category	Description of Capability	Included	Note
23	DMS	Enable configuring case data for standardized redaction in user screens, electronic transfers, and printouts. For example, social security numbers would always be redacted prior to distributing a copy of a record to the general public. System also allows users to redact information on an ad hoc basis (e.g. by order of a judge).		
24	DMS	System redacts information without destroying the original version of a document. Both the original version and the redacted version are available for access by users with required permission.		
25	DMS	Enable configuring automated redaction by user role.		
26	DMS	Provide for electronic documents: a) Annotation b) Redaction, automatic and manual c) Versioning d) Access only through the CMS, to enforce security roles		
27	Security - Granularity	System prevents each user from accessing records and performing actions, unless the user has a security level at least equal to the security level for the record or action. Enable configuring a security level for the following: a) Each user group b) Each case-type c) Each document-type d) Each event-type e) Each data field f) Each query/report g) Each form letter/notice/order h) Each calendar i) Each user screen j) Each person on sensitive cases (e.g., attorneys assigned to the case)		
28	Security - Sealing	System includes a method for users to seal/unseal: a) An entire case b) A party in a case c) Individual documents within a case		
29	Security - Sealing	Case data will be available to the public, yet maintain the ability to designate cases or documents as sealed, and to designate certain fields, such as personal or sensitive information, as confidential, with a higher security level.		
30	Security - Expunging	Allow users to expunge a case. Allow deleting all personally identifying information for expunged records, but retain litigants' age (in years), race, ethnicity, gender, year of case filing, charges/claims, etc. for reporting summary statistics.		
31	Case Initiation	Affix date and time stamp to filed electronic documents		

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No.	Category	Description of Capability	Included	Note
32	Case Initiation	Record fee amounts due on a case using the fee table to determine the actual amount		
33	Case Initiation	Record that a payment was made, or record waiver of fees		
34	Case Initiation	Account for filing fees paid		
35	Case Initiation	Import information from the Superior C76court case(s) including case number, filing date, and trial court judge		
36	Case Initiation	Data validation for appellate court system is identical to trial court system for common information		
37	Case Initiation	Generate case number and caption		
38	Case Initiation	Flag case with rush status		
39	Case Initiation	Allow a party to have multiple party designations, e.g., petitioner/respondent, cross-petitioner/cross-respondent, counter-petitioner/counter-respondent		
40	Case Initiation	Appropriately link parties and attorneys		
41	Case Initiation	Create electronic case file from documents received electronically and from scanned paper documents		
42	Briefing	Transmit case (data and documents), record, and transcript electronically to and from Superior Court		
43	Briefing	Allow tracking of transcripts, including the due date and the receipt date. System generates reports related to when transcripts are due and whether they have been received.		
44	Briefing	Ability to supplement filings and record on appeal		
45	Briefing	Maintain document status flag, including non-conforming status, reviewed by staff, etc.		
46	Briefing	Maintain case conformance flag, including non-conforming status for any filings or practice		
47	Briefing	Create due dates for subsequent filings (including cross/counter) and other activity based on configurable court business rules, with override		
48	Briefing	Calculate due dates in calendar days by adding the # of days to the start date, and if the due date falls on a weekend or holiday, the system moves the due date to the next business day		
49	Briefing	Create ticklers automatically for document due dates		
50	Briefing	Automatically resolve ticklers for documents filed		
51	Briefing	Track due dates for actions and display approaching deadlines according to configurable court business rules		
52	Briefing	Automatically check conformance with timeframes for filing and alert staff if timeframe has been exceeded		

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No.	Category	Description of Capability	Included	Note
53	Briefing	Update case status automatically, based on filings		
54	Motions	Link all documents filed related to a specific motion		
55	Motions	Maintain and display the status of outstanding motions with case information		
56	Motions	Place electronic documents (or case files) in work queues established for individuals, groups, offices, etc.		
57	Motions	Control the movement of documents between work queues with user-configurable workflow		
58	Motions	Calculate new due date based on number of days granted on Motion for Extension of Time		
59	Oral Argument	Schedule conference, emergency hearing, hearing, oral argument, pre-decisional hearing, trial, and other court events		
60	Oral Argument	Generate notices and orders using case data and system templates controlled by the court		
61	Oral Argument	Publish calendars on the court's web site		
62	Oral Argument	Build agenda/docket for conference		
63	Opinions	Provide method for managing opinion drafting, such as designating a primary author, secondary authors, and reviewers. Permissions may be controlled as necessary to protect confidentially and to enforce role limitations. Information included in this area should be limited to status of draft opinion (i.e., authoring justice, draft opinion stage, and assigned attorney)		
64	Opinions	Display status of draft opinions and orders addressing motions field with dates		
65	Opinions	Allow redaction and annotation of electronic documents in separate layers or separate versions and apply access roles appropriately (e.g., only judge/justice can see his/her annotations, public can only see redacted version)		
66	Opinions	Keep all drafts, comments, and assignments confidential to the court. This should include a feature to allow access to this information to only certain users (i.e., staff attorneys and justices]		
67	Opinions	Maintain multiple versions and histories of all draft decision documents, until final is approved. This should include a feature to allow access to this information to only certain users (i.e., attorney's and justices]		
68	Opinions	Create searchable, secure version of decision/opinion/order, scrubbed of metadata		
69	Opinions	Transmit opinions, upon release, to legal publishers		

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No.	Category	Description of Capability	Included	Note
70	Opinions	Publish released opinions and decisions on court web site		
71	Case Closure	Close case automatically when all actions are complete, no motions are pending, mandate has been issued, etc.		

**Supreme Court Scenarios**

It is recognized that the Offeror’s case management system will not yet have been configured to work for the Guam Judiciary. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Guam. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

1. Show a case initiation in the Supreme Court Clerk’s office
  - a. File, docket, and scan documents
  - b. Accept and record filing fee
  - c. Accept request for fee waiver
  - d. Review and accept trial court data from queue
2. Demonstrate how system handles complex party relationships, e.g., cross appellant, counter respondent
3. Show how system tracks transcript request and receipt
4. File a supplement to the record
5. Establish a briefing schedule
  - a. Accept a motion to extend time
  - b. Show automatic adjustments to briefing schedule
  - c. Demonstrate how the court could modify system business rules if the deadline for receipt of an answer were increased by five days
6. Demonstrate how the system handles non-conforming documents
7. Demonstrate the redaction of a juvenile’s date of birth on an electronic document.
8. Show automatic ticklers for tracking the filing of briefs
9. Demonstrate how the system links multiple filings related to a single motion
  - a. Show how motion status is affected as each document is filed
  - b. Show how motion status is affected as ruling on the motion is received
10. Demonstrate how documents move between work queues for staff review
11. Schedule an oral argument and assign cases to it

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12. Show how documents are generated by the system
  - a. Modify a document template
13. Show how the court would place cases on a conference agenda
14. Demonstrate how the system tracks the opinion drafting process
  - a. Assignment of justice
  - b. Preparation of a dissenting or concurring opinion
  - c. Recording comments and annotating documents (version control)
15. Create a final version of an opinion for publication and mandate

## Superior Court

### Superior Court CMS Capabilities

No.	Category	Description of Capability	Included	Note
1	Configuration	Configure searches appropriate to case type		
2	Configuration	Configure data entry and update screens <ul style="list-style-type: none"> <li>a. By case type</li> <li>b. By event/task</li> </ul>		
3	Configuration	Configure ticklers and alerts <ul style="list-style-type: none"> <li>a) Person name-based</li> <li>b) Person Social Security Number-based</li> <li>c) Case number-based</li> </ul>		
4	Configuration	Provide certain configuration settings that are unique for each user		
5	Configuration	Allow all divisions and units of the Superior Court to have sole access to some “private” data.		
6	Configuration	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization.		
7	Configuration	Enable configuring the system to log any or all user activity, including the username, date, time, workstation address and details of all data/events/files viewed, added, edited, and deleted by each user, and to display all user account logs. The expectation is that this capability will be used infrequently.		
8	Configuration	Enable configuring user group roles with permissions to view, add, edit, and/or delete the following within each case-type: <ul style="list-style-type: none"> <li>a) Case and person records</li> <li>b) Standardized reports and queries</li> <li>c) Form letters/notices/orders</li> <li>d) Code table records</li> <li>e) Business and workflow rules</li> <li>f) Sealed case records</li> <li>g) Indices to sealed case records</li> <li>h) Case notes (and permission to designate them as private or shared with other designated user groups)</li> </ul>		
9	Configuration	Provide keyboard shortcuts and dropdown menus to find/enter all available selections.		

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No.	Category	Description of Capability	Included	Note
10	Configuration	Enable configuring of the system by adding the following to any table without corrupting pre-existing records: <ul style="list-style-type: none"> <li>a) Values for data fields</li> <li>b) Free text fields</li> <li>c) Formatted data fields</li> <li>d) Calculated fields</li> </ul>		
11	Configuration	Enable configuring any code table records with an effective date range. System determines which table record applies by comparing the effective date range to a designated data-element, system date, or calculated date.		
12	Configuration	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status.		
13	Configuration	Enable configuring an unlimited number of case-types and associate each case-type with the following: <ul style="list-style-type: none"> <li>a) Code tables values</li> <li>b) Docket codes</li> <li>c) Event-types</li> <li>d) Document types generated</li> <li>e) Document types received</li> <li>f) Data fields</li> <li>g) Calendars</li> </ul>		
14	Configuration	Enable configuring a detailed participant screen for displaying a participant's multiple occurrences of personal information with date/ time stamp: <ul style="list-style-type: none"> <li>a) Case roles and docket numbers</li> <li>b) Amounts owed: Running total of criminal fines, court cost, and community service. This applies for the running total of all civil monies owed.</li> <li>c) Arrest warrants</li> <li>d) Bail posted and docket numbers</li> <li>e) Probation status and supervising office</li> <li>f) Custody status, location, and place of residence</li> <li>g) Person-based alerts</li> <li>h) Aliases</li> <li>i) Addresses</li> <li>j) Phone numbers</li> <li>k) Personal identifiers</li> </ul>		
15	Configuration	Enable configuring a case caption format for each case-type (e.g. [plaintiff last name] v. [defendant last name], In re: [juvenile initials], The People of Guam v. [defendant full name]): For calendar purposes and juvenile type cases, initials (only) are displayed.		

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No.	Category	Description of Capability	Included	Note
16	Configuration	Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad item, interpreter) and relationships (e.g. attorney/client, mother/child, caseworker/client), which may be assigned to participants in the case records. System maintains a history of participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party.		
17	Configuration	Enable configuring each data field with the following, which may vary by case-type: a) Screen label b) Mouse-over text tip c) Security level d) Default value		
18	Rules Engine	Configure an unlimited number of workflow rules through a table and graphical interface. Each rule includes: a) Trigger b) Response c) Optional prompt (the prompt provides opportunity to complete or cancel the automated response)		
19	Rules Engine	Set up the following configurable rule triggers, which may be limited to cases associated with a case-type: a) Upon entering a specified event-type in a case record b) Upon entering a specified document-type in a case record c) Specified elapsed time following entry of a specified event-type d) Specified elapsed time following entry of a specified document-type e) Specified elapsed time following entry of a specified event-type or document-type, unless another specified event-type or document-type was subsequently entered f) Specified amount or greater amount on account receivable remaining due for a specified elapsed time or on a specified date g) Upon completion of another specified rule h) Upon attempting to enter data in an incorrect format i) Upon attempting to enter data with an invalid value j) Upon attempting to enter data without first completing another data field or case-event		

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No.	Category	Description of Capability	Included	Note
20	Rules Engine	<p>Set up the following responses to occur in response to a triggering event:</p> <ul style="list-style-type: none"> <li>a) Add a fee to a participant's account (e.g. late fee)</li> <li>b) Add an event to a case record (e.g., add "Warrant issued" when judges signs a warrant)</li> <li>c) Add a document to a case record (e.g., add order setting hearing when order is signed)</li> <li>d) Add data to a case record (e.g., add end date of appeal period when judgment is entered)</li> <li>e) Change the status of a case (e.g., Outstanding Warrant" when warrant issued)</li> <li>f) Send a document to a specified printer</li> <li>g) Seal a case record or portion of a case record (e.g., pleading added in juvenile case)</li> <li>h) Expunge a case record or portion of a case record</li> <li>i) Redact a portion of a case record</li> <li>j) Change a security level for a piece of information</li> <li>k) Generate a query or report</li> <li>l) Clear a data field</li> <li>m) Fill a data field based upon the value of another data field</li> <li>n) Alert a user or group of users with a screen message or email</li> <li>o) Require another user to provide approval for completing a transaction (e.g., approve bond refund: Courts and Ministerial to process release of bail/bond, then alert FMD for release of bond)</li> <li>p) Disable a user account (e.g., when user's employment status changes from "Active")</li> </ul>		
21	Database Structure	Allow re-creation of statistical /financial information for any point in time through all database elements being date- and time-stamped		
22	DMS	Receive scanned images, assign a unique document identifier to each scanned image, and associate the image to a case record contained in the image.		
23	DMS	Enable configuring case data for standardized redaction in user screens, electronic transfers, and printouts. For example, social security numbers would always be redacted prior to distributing a copy of a record to the general public. System also allows users to redact information on an ad hoc basis (e.g. by order of a judge).		
24	DMS	System redacts information without destroying the original version of a document. Both the original version and the redacted version are available for access by users with required permission.		
25	DMS	Enable configuring automated redaction by user role.		

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No.	Category	Description of Capability	Included	Note
26	DMS	Provide for electronic documents: <ul style="list-style-type: none"> <li>a) Annotation</li> <li>b) Redaction, automatic and manual</li> <li>c) Versioning</li> <li>d) Access only through the CMS, to enforce security roles</li> </ul>		
27	Security - Granularity	System prevents each user from accessing records and performing actions, unless the user has a security level at least equal to the security level for the record or action. Enable configuring a security level for the following: <ul style="list-style-type: none"> <li>a) Each user group</li> <li>b) Each case-type</li> <li>c) Each document-type</li> <li>d) Each event-type</li> <li>e) Each data field</li> <li>f) Each query/report</li> <li>g) Each form letter/notice/order</li> <li>h) Each calendar</li> <li>i) Each user screen</li> <li>j) Each person on sensitive cases (e.g., attorneys assigned to the case)</li> </ul>		
28	Security - Sealing	System includes a method for users to seal/unseal: <ul style="list-style-type: none"> <li>a) An entire case</li> <li>b) A party in a case</li> <li>c) Individual documents within a case</li> </ul>		
29	Security - Sealing	Designate cases or documents as sealed, and designate certain fields, such as personal or sensitive information, as confidential (with a higher security level). This should include account numbers, minors' names and social security numbers that are in the body of the documents.		
30	Security - Expunging	Allow the expungement of a case. Allow deleting all personal identifying information for expunged records, but retain specific information (e.g., litigants' age (in years), race, ethnicity, gender, year of case filing, charges/claims, etc.) for reporting summary statistics.		
31	Case Initiation	Allow entry of a participant's mailing address for notices and other communications.		
32	Case Initiation	Allow editing the case-type without deleting or re-entering a case. If the new case-type has additional required fields, the user must complete those fields upon changing the case-type. System stores the original and current case-types and date of change.		
33	Case Initiation	Allow creating a copy of a case and editing the copy to facilitate rapid entry of new cases.		

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No.	Category	Description of Capability	Included	Note
34	Docketing	<p>Allow mass case operations by selection of cases to which an action applies with a single transaction.</p> <ul style="list-style-type: none"> <li>a) Enter multiple new cases on a single screen or in a single transaction</li> <li>b) Enter events in multiple cases with a single transaction</li> <li>c) Batch receipt of multiple cases filing fees from a single collection attorney check, increment case number for each one, and auto-fill plaintiff information after the first one</li> <li>d) Reassign a group of pending events from one judicial officer, courtroom, attorney, or date to another</li> <li>e) Reassign a group of cases from one judge or judicial officer, attorney, or interpreter to another, to assume responsibility for them</li> <li>f) Display cases subject to a flagged condition of a certain kind which occurred or failed to occur on a specific date or date range, for mass case processing (e.g., FTA, dismissal for failure of service, payment or compliance due, bail forfeiture due, failure to prosecute a case ripe for dismissal), including docket entries.</li> <li>g) Generate individual documents or groups of documents through mass case processing.</li> <li>h) Identify inactive cases to process for disposition (e.g., no activity for six months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).</li> </ul>		
35	Docketing	Allow a participant to be linked/unlinked with an alias.		
36	Docketing	Allow cases to be cross-referenced to each other, and display the caption and case identifier (hyperlinked) for cross-referenced cases. Linking of cases is dependent upon a minor or defendant's prior history (with the exception of specialty court cases).		
37	Docketing	Allow consolidation/severing of two or more cases. When an event is entered, it appears in all consolidated cases (this distinguishes consolidated cases from cross-referenced cases).		
38	Docketing	Allow access to case notes, based on user role.		
39	Docketing	Allow associating all objections, answers, and other related documents to the initiating document. System displays document relationships.		
40	Docketing	Allow associating all related events. Example: The "motion filed" event is related to its corresponding "order issued" event. Example: Link documents filed that are related to a specific motion.		

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No.	Category	Description of Capability	Included	Note
41	Scheduling	Allow displaying a prompt when a user attempts to schedule an event that overlaps an existing event in another calendar for a case, user, participant, or resource.		
42	Scheduling	Allow searching for the next available date and time when all required users, participants, and resources are available.		
43	Scheduling	Allow a user to define a range of dates and times as a calendar slot (e.g. civil motions, arraignments, relief from abuse hearing), and define the number of cases that may be scheduled in the session. If the limit is exceeded, the system will display a prompt and allow the user to override the limit or to cancel the entry.		
44	Scheduling	Automatically count days and give pre-calculated cut off dates and hearing dates based on bench trial/jury selection and trial date rules.		
45	Scheduling	Allow designation of special needs (e.g., interpreter or other accommodation) for individual cases or participants. Display a prompt about the special needs when a user schedules a case or participant with special needs.		
46	Accounting Configuration	Enable configuring accounts and automating receipt allocation. Configuration may include rules for allocating partial payments according to priority ranking.		
47	Accounting Configuration	Enable configuring any number of statutory fees, surcharges, and assessments by specifying an amount and an effective date range. Configuration may include automated assessment based upon case events.		
48	Accounting Configuration	Enable configuring rules for calculating fees, assessments, and fines based upon a total payment. A fee has a fixed amount.		
49	Accounting Configuration	Allow a user to set post periods for each fiscal year.		
50	Bookkeeping Accounting	Provide dual-entry accounting for financial record keeping.		
51	Bookkeeping Accounting	Enable configuring an unlimited number of types of revenue, escrow, and disbursement accounts.		
52	Bookkeeping Accounting	Allow transmitting and accepting electronic financial transactions (credit/debit cards, ACH transfers, etc.) with the government entities, banking institutions, and collection agencies without manual data entry, and in accordance with PCI standards.		

Attachment 1: CMS Capabilities and Scenarios – Superior Court

No.	Category	Description of Capability	Included	Note
53	Receipt Accounting	Provide the ability to post funds received in payment, update the case record(s), and provide a receipt for all payments received that displays outstanding balance for all cases. Provide the option to create a separate receipt for each case if funds are to be applied to multiple cases. Provide the option to verify receipt information prior to printing.		
54	Receipt Accounting	Process over-payment and under-payment transactions		
55	Receipt Accounting	Process overrings, voids, overages, and shortages		
56	Receipt Accounting	Receive payments in multiple forms, including: electronic funds transfer, electronic check, debit or credit card (in person, via phone or online), check, money order, cash, community service, and credit for time served.		
57	Receipt Accounting	Allow associating transactions to a case when appropriate (e.g. filing fee, fine, bail). System accepts payments without a case association when appropriate (e.g. photo copying fee, record search fee).		
58	Receipt Accounting	Record fee waivers in lieu of paying a required fee.		
59	Receipt Accounting	Reconcile cash amounts by single cashier, multiple cashiers, and by location.		
60	Receipt Accounting	Flag a case (e.g., do not accept payment)		
61	Receipt Accounting	Process a partial or complete refund and provide a receipt reflecting the refund.		
62	Receipt Accounting	Reprint a receipt.		
63	Receipt Accounting	Void receipts, make necessary adjustments to accounts, and note reasons for void.		
64	Receipt Accounting	Make a full or partial adjusting entry, automatically reallocate funds and print Adjusting Entry Receipt.		
65	Receipt Accounting	Process a non-sufficient funds (NSF) check: Reverse payment amount, flag the account, and send notice to payroll		

Attachment 1: CMS Capabilities and Scenarios – Superior Court

No.	Category	Description of Capability	Included	Note
66	Receipt Accounting	Provide payment plans: <ul style="list-style-type: none"> <li>a) Create a new payment plan from an existing payment plan</li> <li>b) Establish a payment plan and link multiple cases to the plan</li> <li>c) Support multiple responsible parties on a single payment plan</li> <li>d) Provide the ability to make adjustments to the payment plan over time and close the plan once all obligations are satisfied</li> <li>e) Allow accepting exceptions to the payment schedule (e.g. larger or smaller payment in a payment period)</li> <li>f) Allow generating reminder notices based upon payment schedules</li> <li>g) Generate a report showing expected payment amounts and dates for a case or all cases for participant</li> </ul>		
67	Accounting Reporting	Provide financial management reports <ul style="list-style-type: none"> <li>a) Daily cash report</li> <li>b) Case receipt register</li> <li>c) Individual account history</li> </ul>		
68	Paper Files and Exhibits	Allow the entry of exhibits in the docket entry, including party submitting and exhibit description. System generates numbers and tags for exhibits, relating them to specific cases and calendar events.		
69	Paper Files and Exhibits	Allow entry of the movement and chain of custody of exhibits in the docket.		
70	Paper Files and Exhibits	Automatically generate notice of hearing to exhibit owners that exhibits are eligible for return in closed cases, or after appeal period has run. System automatically generates lists of unclaimed exhibits after a specified amount of time.		
71	Treatment Court	Initiation -- Record the initiation of the case in drug court and the participant's status in the program.		
72	Treatment Court	Admission/intake -- Record acceptance or rejection of the individual, reason for rejection, if he or she refused to participate, etc., and track releases executed by participants		
73	Treatment Court	Case Management -- Allow docket entries of court hearings.		
74	Treatment Court	Evaluation -- Tabulate data needed for program evaluation (e.g., complex report).		
75	Interfaces	Integrate with email to provide notifications to attorneys and external agencies.		
76	Interface	Allow interfacing with Financial Management Division's accounting software, automatically updating it with transaction data.		

Attachment 1: CMS Capabilities and Scenarios – Superior Court

No.	Category	Description of Capability	Included	Note
77	Interface	Process cash receipt transactions originating from point of sale workstations		
78	Interface	Integrate voice dictation or speech recognition software, such as Dragon Dictate or Microsoft Windows Text to Speech.		
79	Interface	Provide an interface between the court case management system and an interactive voice response system (IVR) to provide case information to individuals over the telephone.		

**Superior Court Scenarios**

It is recognized that the Offeror’s case management system will not yet have been configured to work for the Guam Judiciary. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Guam. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

**Courtroom and Judicial Functions**

***Docketing and Document Generation***

1. Case summary screen civil – display the status of a case at a glance by looking at the docket, navigating to various parts of it.
2. Case summary screen criminal – display the status of a case at a glance by looking at the docket, navigating to various parts of it.
3. Docket a responsive pleading, and associate and index an electronic document to it, and then display the document from the docket entry.
4. Generate a warrant, send it to a judge for review and electronic signature, return it to the clerk for distribution to law enforcement, and automatically docket the issuance of the warrant.
5. Group/link two cases that are not consolidated but are related by defendant.
6. Demonstrate the redaction of the Social Security Number on an electronic document.
7. Identify inactive cases to process for disposition (e.g., no activity for six months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss, extend dates, failure to appear).

***Hearings***

1. Capture docket information for events in a high-volume, in-court environment.
2. Demonstrate tracking of continuances: data entry for docketing a continuance, with reasons for continuance and requesting party, and display the total number of continuances per attorney and party on a case.

### ***Reporting***

1. Demonstrate ad hoc reporting using multiple parameters, such as persons living in a certain zip code and males born within a date range
2. Demonstrate case aging, and judges' disposing rates and percentages.
3. Demonstrate standard reports such as "CourTools" measures of court performance, e.g., for a given period, show the number of outgoing cases as a percentage of the number of incoming cases. Open and close a number of civil, criminal or traffic cases during the period to demonstrate that the clearance rate calculation is working correctly.

### ***Scheduling and Calendaring***

1. Demonstrate printed calendar formats available.
2. Select a displayed calendar slot on the online calendar view for greater detail about the scheduled events for that slot. Have some data available for drilling down to the case level and across case types.
3. When looking for an available date for a hearing, show the next available date for that type of hearing with a slot available.
4. Assign a pro tem judge to replace a judge on a calendar slot.
5. Assign and reassign individual judges to cases and alert the chamber clerk to set a hearing. Show/describe how this affects the case assignment statistics (Attachment 5).
6. Change the status of a case regarding statutory time standards (e.g., criminal defendant requests a continuance and waives speedy trial).
7. Schedule cases in mass (e.g., cases set on a particular day all need to be rescheduled due to a trial). (Also see the "Mass Case Operations" requirements below.)

### **Configuration**

#### ***Configuration – Alerts, Workflow, Business Rules***

1. Demonstrate the user interface for maintaining statute tables.
2. Show the method of quickly selecting/deselecting multiple user role permissions. For example, permissions may be granted by dragging the mouse to select multiple rows in a table and then clicking one check box.
3. Demonstrate the user interface for setting up and maintaining business rules.
4. Configure setting up and maintaining chained events in a workflow, i.e.,
  - a. Late payment
    - 1) Flag the defendant for failure to pay a fine, driven by a flag automatically set based on time a payment was due

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- 2) Assess a late fee for overdue payment and update account
- 3) Display alert “Overdue Account” on person screen
- b. Issue bench warrant
  - 1) Clerk generate a warrant
  - 2) Route the warrant to a judge for signature
  - 3) E-mail the warrant to a law enforcement agency
  - 4) Make docket entries for each action
  - 5) Configure an alert for defined status condition at person level (“Warrant Outstanding”)
5. Demonstrate methods of configuration management.
  - a. Show offense/citation cross-reference look-up to underlying GCA (Guam Code Annotated)
  - b. Set fee payment priorities: (1) fees, (2) restitution, (3) fine.
  - c. Change a fee, as when the law hypothetically changes on June 1, 2010, from \$115 to \$120.
  - d. Set and demonstrate a business rule that requires service within 120 days after the filing of a civil case, or else the case will be dismissed.
    - 1) Case setup: Start a civil case 130 days earlier.
    - 2) Run a query, or demonstrate the tickler or notification that this case needs attention.

### Case Initiation

#### ***Initiate Cases – Traffic***

1. Enter a new citation, with an appearance date 14 (or any other number of) days in the future.
2. Demonstrate the ability to process traffic citations.
  - a. Prior to the demonstration, create three citations with due dates on the demonstration date and issuance dates 14 days before the demonstration
  - b. For citation #1, enter payment by check #1234 received by mail, generate a receipt, display a print preview of the receipt, and show all relevant docket entries
  - c. For citation #2, demonstrate the check-in function when the defendant appears at the traffic counter, and put the defendant on the calendar for a trial
  - d. For citation #3, the defendant has failed to check in, so demonstrate the function (alert, tickler, and/or notification) that tells the clerk that the case should go to warrant status, and show the automated forms and notices that are produced

## Attachment 1: CMS Capabilities and Scenarios – Superior Court

- e. When entering a citation, show the alert that would be displayed that indicates that the court may already have received money for this citation
- f. Attach a citation image to a case
- g. Change the order of charges on a citation

### ***Initiate Cases – Criminal***

1. Enter a new criminal complaint with the “People of Guam” as the plaintiff.
  - a. Search for defendant’s name, by social security number, and by CJIS number (another personal identifier).
  - b. Enter an alias for a person
  - c. Select and add charges and class of offense
  - d. Add agency and officer
  - e. Add bail for each offense
  - f. Add victim
  - g. Designate case for special needs (e.g., interpreter).
  - h. Set custody status to “in custody” based on docket code or service by marshal.
  - i. Schedule the first appearance date. Then, based on a rule set up for a judge, set the arraignment (i.e., Thursday at 10:00 the next week).

### ***Initiate Cases – Civil***

1. General civil - enter a civil case and compute all fees based on filing fee schedule (summons, notices, motions, etc.).
2. Add additional data to the civil case.
  - a. Add person data.
  - b. Add action type of Medical Malpractice.
  - c. Override the default (current) filing date to yesterday’s date (to simulate entering data the day after filing).
  - d. Add \$1,502.00 as the amount of relief sought.
  - e. Add an attorney name for the plaintiff.
  - f. Demonstrate the tickler showing that no hearing has been set in this case.
  - g. Automatically calendar a scheduling conference and set date when proposed scheduling order is due to the court, pursuant to Guam Civil Rules (within ninety (90) days after the complaint is filed – Local Rules for the Superior Court, CVR 16.1(c)(3)).
3. Small Claims – see [www.justice.gov.gu/Small%20Claims/smallclaims.html](http://www.justice.gov.gu/Small%20Claims/smallclaims.html)
  - a. Receipt filing fee of \$30.00 (the sum claimed is \$1,000), plus \$4.00 for summons.

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- b. Add person data for plaintiff and defendant from docket statement.
- c. Select date for hearing 20 - 30 days out.
- d. Put date on court calendar.

### Other Functions

#### *Disposition*

1. In a criminal case with multiple charges and multiple bail amounts:
  - a. Dispose of all charges as a single user action—the defendant enters a guilty plea to all counts. Show disposition of multiple charges and multiple defendants.
  - b. Compute and enter the sentence (three days time served, fine equal to the bail amount of \$350, and 100 hours of community service) with due date for completion of service and payment of fine three months out. Show how the tickler is set for the due date.
  - c. Set up a payment plan for \$350, with three payments over three months after the initial payment
  - d. Receipt a partial payment after one month, and transfer the amount not paid to the final payment.
2. Demonstrate methods or configuration for interpreter management or reference file.
  - a. Input interpreter data fields (name, language, level of training, contact numbers, email addresses and postal address)
  - b. Display calendar showing available interpreter by language type, date, courtroom/location and none scheduled
  - c. Produce Request for Interpreter and log confirmation received from interpreter.
  - d. Capture docket information for interpreter present in hearings which verifies the interpreter is in the courtroom
  - e. Process interpreter requests for payment (including verification through the Financial Management Division).
  - f. Flag/Block interpreter if suspended or unavailable for the time period.
  - g. Generate log for “No Shows,” “Cancellations,” etc.

#### *Post-disposition Compliance and Execution*

1. Display a sentenced case, demonstrating both compliance and noncompliance with payment of fine/fees and conditions (e.g., attendance at driving school), and method of generating a warning letter, which is automatically docketed and scheduled for violation hearing to the chamber clerk.
2. Demonstrate the process for correcting information mis-entered such as wrong disposition, name, charge, etc.

***Receipt Accounting***

1. Receipt a payment on a case, including type of payment, payee, cashier identifier, amount tendered, payment amount, change given, time of payment, location (e.g., mail, counter, or drop box).
2. Accept a single payment for multiple cases.

***Bookkeeping Accounting***

1. Display a person account summary that covers obligations in more than one case, with disbursement accounts.
2. Show how monetary amounts can be converted to non-monetary, e.g., fines to jail time.
3. Demonstrate daily and monthly balancing processes.
4. Demonstrate the accounting corrections process—fees, bail, or assessments posted to wrong case or wrong accounts, backed out and then entered into the correct account. Show the accounting history which results.
5. Demonstrate the bail account management process.

***Records Management***

1. Display the audit trail of demonstration activity.
2. Seal a case.
3. Unseal the case.
4. Seal a document in a case.

**Mass Case Operations**

1. Reassign several cases with the same court event setting from one judicial officer to another.
2. Demonstrate the batch receipt of multiple cases filing fees from a single collection agency check, increment case number for each one, and auto-fill plaintiff information after the first one.
3. Allow user correction of a group of cases when data entry error occurs -- change the filing date of a number of cases entered with the wrong date.
4. Display cases subject to a flagged condition of a certain kind which occurred or failed to occur on a specific date or date range (e.g., failure to appear, dismissal for failure of service, payment or compliance due, bail forfeiture due, failure to prosecute a case ripe for dismissal), and perform mass case processing for that condition.

**Marshals Division**

1. Log receipt of documents for service of process - assume paper copies delivered from C&M - (e.g., document type, date received, date assigned, date due, date to

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- return, hearing date, marshal assigned) -- applicable to both Supreme Court and Superior Court
2. Enter service information for a document (e.g., person/agency being served, date/time of service, attempts to serve, mileage, marshal signature, notary signature)
  3. Display list of documents pending service
  4. Display list of outstanding warrants
  5. Demonstrate how to identify and process in-custody defendants for transport to court events
  6. Enter service information for a writ of execution against money (e.g., post-judgment order to garnish wages, attachment of bank accounts)
  7. Enter return of marshal sale of property sold (e.g., date, marshal assigned, place, case number, plaintiff attorney, highest bidder, amount, receipt number)

## Probation Services Division / CSFC Division / Public Defender

Many of the capabilities are needed in common by the Probation Services Division, the Client Services & Family Counseling Division (CSFC) and the Public Defender Service Corporation (Public Defender and Alternate Public Defender). Probation, CSFC, Public Defender and Alternate Public Defender will each have their own configuration and separate data.

Not all capabilities are needed by all three kinds of units to manage their clients. The table below shows approximately how the capabilities are distributed among the three units.

“Responsible person” in a capability means probation officer, therapist, clinician, attorney, or staff, depending on the organizational context of the capability.

	<b>Probation</b> (Including Drug, Mental Health, and Future Courts)	<b>CSFC</b>	<b>Public Defender Service Corp.</b>
General	X	X	X
Person and Case Information	X	X	X
Case Initiation	X	X	X
Case/Staff Management	X	X	X
Transfer of Probation	X		
Diagnostic and Treatment Info	X	X	
Pretrial Services	X		
Referrals	X	X	X
Case Planning	X	X	
Scheduling	X	X	X
Monitoring and Compliance	X	X	X
Treatment Court	X		

### ***Probation / CSFC / Public Defender CMS Capabilities***

<b>No.</b>	<b>Category</b>	<b>Description of Capability</b>	<b>Included</b>	<b>Note</b>
<b>General</b>				
1	Configuration	Configure searches appropriate to case type		
2	Configuration	Configure data entry and update screens a. By case type b. By event/task		
3	Configuration	Configure ticklers and alerts a. Person-based b. Case-based		
4	Configuration	Provide certain configuration settings that are unique for each user		

Attachment 1: CMS Capabilities and Scenarios – Probation / CSFC / Public Defender

No.	Category	Description of Capability	Included	Note
5	Configuration	Allow all divisions and units of the Superior Court to have sole access to some “private” data.		
6	Configuration	Provide a set of dashboard performance metrics (e.g., CourTool measures) that can be selected by individual users, according to their role in the organization.		
7	Configuration	Enable configuring the system to log any or all user activity, including the username, date, time, workstation address and details of all data/events/files viewed, added, edited, and deleted by each user, and to display all user account logs. The expectation is that this capability will be used infrequently.		
8	Configuration	Enable configuring user group roles with permissions to view, add, edit, and/or delete the following within each case-type: <ul style="list-style-type: none"> <li>a. Case and person records</li> <li>b. Standardized reports and queries</li> <li>c. Form letters/notices/orders</li> <li>d. Code table records</li> <li>e. Business and workflow rules</li> <li>f. Sealed case records</li> <li>g. Indices to sealed case records</li> <li>h. Case notes (and permission to designate them as private or shared with other designated user groups)</li> </ul>		
9	Configuration	Provide keyboard shortcuts and dropdown menus to find/enter all available selections.		
10	Configuration	Enable configuring of the system by adding the following to any table without corrupting pre-existing records: <ul style="list-style-type: none"> <li>a. Values for data fields</li> <li>b. Free text fields</li> <li>c. Formatted data fields</li> <li>d. Calculated fields</li> </ul>		
11	Configuration	Enable configuring any code table records with an effective date range. System determines which table record applies by comparing the effective date range to a designated data-element, system date, or calculated date.		
12	Configuration	Display only relevant/available code table values on data entry screens. For example, criminal codes will not be displayed when working on a civil case; pre-disposition codes will not be displayed when a case is in post-disposition status.		

Attachment 1: CMS Capabilities and Scenarios – Probation / CSFC / Public Defender

No.	Category	Description of Capability	Included	Note
13	Configuration	Enable configuring an unlimited number of case-types and associate each case-type with the following: <ul style="list-style-type: none"> <li>a. Code tables values</li> <li>b. Docket codes</li> <li>c. Event-types</li> <li>d. Document types generated</li> <li>e. Document types received</li> <li>f. Data fields</li> <li>g. Calendars</li> </ul>		
14	Configuration	Enable configuring a detail participant screen for displaying a participant's multiple occurrences of personal information with date/ time stamp: <ul style="list-style-type: none"> <li>a. Case roles and docket numbers</li> <li>b. Amounts owed</li> <li>c. Arrest warrants</li> <li>d. Bail posted and docket numbers</li> <li>e. Probation status and supervising office</li> <li>f. Custody status, location, and place of residence</li> <li>g. Person-based alerts</li> <li>h. Aliases</li> <li>i. Addresses</li> <li>j. Phone numbers</li> <li>k. Personal identifiers</li> <li>l. Current Photo</li> </ul>		
15	Configuration	Enable configuring a case caption format for each case-type (e.g. [plaintiff last name] v. [defendant last name], In re: [juvenile initials], The People of Guam v. [defendant full name]).		
16	Configuration	Enable configuring any number of participant roles (e.g. attorney, case worker, guardian ad litem, interpreter, therapist and relationships (e.g. attorney/client, mother/child, caseworker/client therapist/client), which may be assigned to participants in the case records. System maintains a history of participants, their roles, and their relationships in each case. This creates links that can be followed for system actions, i.e., providing an attorney mailing address for a system-generated document for a particular party.		
17	Configuration	Enable configuring each data field with the following, which may vary by case-type: <ul style="list-style-type: none"> <li>a. Screen label</li> <li>b. Mouse-over text tip</li> <li>c. Security level</li> <li>d. Default value</li> </ul>		

Attachment 1: CMS Capabilities and Scenarios – Probation / CSFC / Public Defender

No.	Category	Description of Capability	Included	Note
18	Rules Engine	Configure an unlimited number of workflow rules through a table and graphical interface. Each rule includes: <ol style="list-style-type: none"> <li>a. Trigger</li> <li>b. Response</li> <li>c. Optional prompt (the prompt provides opportunity to complete or cancel the automated response)</li> </ol>		
19	Rules Engine	Set up the following configurable rule triggers, which may be limited to cases associated with a case-type: <ol style="list-style-type: none"> <li>a. Upon entering a specified event-type in a case record</li> <li>b. Upon entering a specified document-type in a case record</li> <li>c. Specified elapsed time following entry of a specified event-type</li> <li>d. Specified elapsed time following entry of a specified document-type</li> <li>e. Specified elapsed time following entry of a specified event-type or document-type, unless another specified event-type or document-type was subsequently entered</li> <li>f. Specified amount or greater amount on account receivable remaining due for a specified elapsed time or on a specified date</li> <li>g. Upon completion of another specified rule</li> <li>h. Upon attempting to enter data in an incorrect format</li> <li>i. Upon attempting to enter data with an invalid value</li> <li>j. Upon attempting to enter data without first completing another data field or case-event</li> </ol>		

Attachment 1: CMS Capabilities and Scenarios – Probation / CSFC / Public Defender

No.	Category	Description of Capability	Included	Note
20	Rules Engine	<p>Set up the following responses to occur in response to a triggering event:</p> <ul style="list-style-type: none"> <li>a. Add a fee to a participant’s account (e.g. urinalysis test fee when test ordered)</li> <li>b. Add an event to a case record (e.g., add “Warrant Request Review by Supervisor” when probation officer requests a warrant)</li> <li>c. Add a document to a case record (e.g., add order setting hearing when order is signed)</li> <li>d. Add data to a case record (e.g., add probation termination checkpoint to schedule when probation ending date is entered, presumably 30 days before termination)</li> <li>e. Change the status of a case (e.g., “Warrant Requested” when probation officer requests a warrant)</li> <li>f. Send a document to a specified printer</li> <li>g. Seal a case record or portion of a case record (e.g., PSI report)</li> <li>h. Change a security level for a piece of information</li> <li>i. Generate a query or report</li> <li>j. Clear a data field</li> <li>k. Fill a data field based upon the value of another data field</li> <li>l. Alert a user or group of users with a screen message or email</li> <li>m. Require another user to provide approval for completing a transaction (e.g., approve revocation request, violations, progress, restitution, and information reports)</li> <li>n. Disable a user account (e.g., when user’s employment status changes from “Active”)</li> </ul>		
21	Database Structure	Allow re-creation of statistical /financial information for any point in time through all database elements being date- and time-stamped.		
22	DMS	Receive scanned images, assign a unique document identifier to each scanned image, and associate the image to a case record contained in the image.		
23	DMS	Enable configuring case data for standardized redaction in user screens, electronic transfers, and printouts. For example, social security numbers would always be redacted prior to distributing a copy of a record to the general public. System also allows users to redact information on an ad hoc basis (e.g. by order of a judge).		
24	DMS	System redacts information without destroying the original version of a document. Both the original version and the redacted version are available for access by users with required permission.		
25	DMS	Enable configuring automated redaction by user role.		

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No.	Category	Description of Capability	Included	Note
26	DMS	Provide for electronic documents: a. Annotation b. Redaction, automatic and manual c. Versioning d. Access only through the CMS, to enforce security roles		
27	Security - Granularity	System prevents each user from accessing records and performing actions, unless the user has a security level at least equal to the security level for the record or action. Enable configuring a security level for the following: a. Each user group b. Each case-type c. Each document-type d. Each event-type e. Each data field f. Each query/report g. Each form letter/notice/order h. Each calendar i. Each user screen j. Each person on sensitive cases (e.g., attorneys assigned to the case)		
28	Access to All Client Records Not Legally Restricted	Allow access to all case and person data in all parts of the CMS. A probation officer should be able to see (as a person-level alert) that a suspended imposition exists that has been sealed.		
29	Notes Security	Allow responsible persons to see other responsible persons' notes and add notes to their cases, but not modify or delete existing notes.		
30	Security of Notes	Prohibit line staff from seeing responsible persons' notes.		
31	Security - Sealing	System includes a method for users to seal/unseal individual documents within a case. (CSFC)		
<b>Person and Case Information</b>				
32	Person-Based System	Provide a single view for a person in the system, showing all cases linked to the person and multiple Identifications (SSN, DOB, alias, AKA), rather than separate person records for each court case.		
33	Link to All Cases	Link to each court case (including civil and traffic cases) and provide terms and end date of each probation sentence. (Probation and CSFC)		
34	Conflict of Interest	Flag case for conflict of interest (Public Defender Service Corporation)		

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No.	Category	Description of Capability	Included	Note
35	Status Indicators	Provide configurable person and case status indicators appropriate to the unit: Probation: Initiated, Active, Inactive, Closed, Interpreter, Pretrial, Adult Drug Court, Juvenile Drug Court, Family Violence Court, Mental health Court CSFC: Initiated, Active, Inactive, Closed, Interpreter Public Defender Service Corporation: Appointed, Motion for Withdrawal, Withdrawal Granted, Closed, Assertion/Waiver of Speedy Trial, Interpreter, Request for Jury, Adult Drug Court, Juvenile Drug Court, Protection Order		
36	Show All Financial Obligations	Show financial obligations for all cases together and for each case individually. Probation: Fines and costs ordered to be paid through Financial Services Division, both flat amounts for certain types of services; obligations transferred from a criminal to civil proceeding. CSFC: Fees ordered, both flat amounts for certain types of services, and hourly charges by type of service Public Defender: N/A		
37	Show Workload Assessment Information	Show risk level, level of supervision, miles driven, and other factors relevant to workload assessment. (Probation)		
38	Multiple Risk Assessments	Manage multiple clinical and risk assessments for each offender. (Probation and CSFC)		
39	Show All Investigations	Show each pre-sentence and pre-disposition investigation, even if offender was not sentenced to probation, or if offender absconded. (Probation)		
40	Show All Interstate Compact Investigations	Show pre-sentence investigations conducted under the interstate compact, regardless if offender was sentenced to probation. (Probation)		
41	Show All Probation Conditions	Show unique probation conditions for each case for which offender is supervised, to include the Mental Health Court "Terms of Participation". (Probation and CSFC)		
<b>Case Initiation</b>				
42	Automatically Assign and Reassign Cases	Assign and reassign cases to responsible person using one or more of the following methods: randomly; according to predefined business rules (e.g., by case category, by case status, by responsible person according to caseload balancing policies); according to existence of specific conditions (e.g., conflict of interest, disqualification). Supervisor override allowed.		

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No.	Category	Description of Capability	Included	Note
43	Manually Assign and Reassign Cases	Ability to manually assign and reassign cases to responsible person.		
44	Notify Responsible Person of Initiated Case	Provide notification of initiated case to responsible person with required completion dates, if any.		
45	Assign Tasks	Assign responsible person to tasks associated with a case, e.g., reports, violations, client contacts (daily, weekly, monthly), updates, etc.		
46	Case Initiation Reason	Enter reason for initiation (e.g., new case, interstate transfer, previously closed case that has been reopened).		
47	Digital Photographs	Store digital photographs of client.		
48	Initiate Interstate Case	Initiate interstate compact case upon acceptance of information. (Probation)		
49	Acknowledgment of Receipt of Case	Generate acceptance or non-acceptance acknowledgement for appropriate sending agencies and other agencies for interstate compact cases. (Probation)		
50	Nature of Case Relationship	Designate the nature of the relationship between multiple cases involving the same defendant (e.g., governing sentence, financial obligation, predicate offenses, consecutive or concurrent sentences). (Probation)		
51	Risk Assessment Information	Enter information gathered during assessment and provide for interactive administration, calculation, and retention of assessment instrument. (Probation, CSFC)		
52	Notes	Allow for chronological entry of case notes by date, time, and author with coding capability as to type of note.		
53	Text Search of Notes	Provide the ability to do a text search of notes.		
54	Compute Probation Term	Allow the computation and entry of probation term and expiration date of probation. (Probation)		

No.	Category	Description of Capability	Included	Note
55	Mass Case Updates	Allow mass case operations by selection of cases to which an action applies with a single transaction. <ol style="list-style-type: none"> <li>a. Reassign a group of pending events from one responsible person, courtroom, or date to another</li> <li>b. Reassign a group of cases from one responsible person to another, and maintain a history of assignments</li> <li>c. Display cases subject to a flagged condition of a certain kind which occurred or failed to occur on a specific date or date range, for mass case processing (e.g., FTA for appointment, payment or compliance due), including log entries.</li> <li>d. Generate individual documents or groups of documents through mass case processing.</li> <li>e. Identify inactive cases to process for disposition (e.g., no activity for six months) and prompt user regarding appropriate action (e.g., schedule hearing, prepare notice of motion to dismiss/withdraw, extend dates, failure to appear).</li> </ol>		
<b>Transfer of Probation (Probation)</b>				
56	Transfer of Probation Supervision	Create system-generated notes when probation supervision is transferred. (Probation)		
57	Review of Electronic Transfer	Provide review process of manually or electronically transferred interstate compact case information. (Probation)		
58	Verify Electronic Transfer	Provide interstate compact case verification status and produce results (e.g., acceptance, non-acceptance, reason). (Probation)		
<b>Diagnostic and Treatment Information (CSFC)</b>				
59	Treatment Types	Provide treatment type table (e.g., ICP, FVMG, FVWG, SOTG, ICP-SO, Family, Couples, Cooperative Parenting, Biofeedback, Forensic, Psychological, OASIS, LRC, and future treatment programs for all Treatment Courts).		
60	Treatment Outcomes	Provide treatment outcome table for all treatment types (e.g., completed, ICP, FVMG, did not complete).		
<b>Pretrial Services (Probation)</b>				
61	Enter Detention Release Recommendations	Enter detention release recommendations and proposed conditions.		

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No.	Category	Description of Capability	Included	Note
62	Record Detention Release Results	Record results of detention release recommendations and conditions imposed.		
<b>Juvenile Referral</b>				
63	Link Referrals and Cases	Create a link between a referral and a court case after the legal case is filed, if one or more referrals need to be associated with one legal case. (Probation, CSFC)		
64	Number Informal Cases	System automatically creates a number on informal cases. (Probation)		
<b>Case Planning (Probation, CSFC)</b>				
65	Record Referrals for Services	Provide ability to record referrals for services and programs (e.g., counseling, treatment, education, employment, electronic monitoring).		
66	Assign Related Cases to Same Officer	Permit assignment of related cases, as designated by user, to same probation officer and group together on schedule (e.g., consecutive interviews for the same date).		
67	Multiple Task Dates	Maintain multiple dates per task as required by locally defined format and procedures (e.g., assigned, due, completed, approved) and percentage of completion.		
68	Case Plan Changes	Maintain transaction history of all changes to the case plan.		
69	Supervisor Override of Risk Level	Allow supervisor override of risk level determination.		
<b>Scheduling</b>				
70	Automatic Schedule Creation	Initiate and modify schedule of future individual or group events based on occurrence of prior tasks or events (e.g., schedule probation appearance after most recent urinalysis results are available). Allow recurring events to be scheduled and invitations to other staff.		
71	Maintain Person Availability	Create and maintain availability information on persons and resources.		
72	Special Needs	Designate cases with special scheduling needs (e.g., interpreter, disabilities).		
73	Produce Schedules	Produce schedules for individuals, events, tasks, dates, and facilities upon user request (e.g., responsible person's schedule by date).		
74	Include Tasks and Events in Schedule	Provide schedule that reflects all tasks, events, and related dates.		

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No.	Category	Description of Capability	Included	Note
75	Schedule Function Flexibility	Provide flexibility with respect to schedule content and format (e.g., according to locally defined specifications).		
<b>Monitoring and Compliance</b>				
76	Create Notes for Generated Documents	Create case note entry for electronic documents generated by responsible person (e.g., letters, notices).		
77	Alert Responsible Person of Status Change	Automatic notification of changes in case and defendant status or key events (e.g., records check conducted by law enforcement, new arrest) according to local business rules.		
78	Compliance Reports	Update case information and report and query production on demand for supervision activities (e.g., routine reports such as revocation of probation, compliance with court orders). (Probation)		
79	Distribute Reports	Distribute compliance reports manually or electronically to other agencies (e.g., courts, court support agencies, CJ agencies, and non-CJ agencies). (Probation)		
80	Calculate Credit for Time Served	Determine the amount of credit for time served for the sentence imposed for each charge and offender. (Probation)		
81	Toll Supervision Term	Toll supervision term and calculate new end date. (Probation)		
82	Track Progress in Programs	Track progress, compliance (e.g., payment of fines and costs), and completion on referrals for services and programs (e.g., counseling, treatment, education, employment, phases) (Probation, Drug Courts, Mental Health Court, and future treatment courts)		
83	Record Program Completion	Record information on completion of programs administered by agencies outside the Judiciary, or other program providers. (Probation, CSFC, Drug Courts, Mental Health Courts, and future treatment courts)		
84	Monitor Substance Abuse Testing	Establish a daily drug testing schedule, track substance abuse testing (e.g., drug, alcohol) and results of those tests, and produce drug testing reports. (Probation)		
<b>Treatment Court (Probation)</b>				
85	Treatment Case Type	Configure treatment court cases to restrict access.		
86	Initiation	Record the initiation of the case at CSFC or in treatment court and the participant's status in the program.		
87	Admission/ Intake	Record acceptance or rejection of the individual, reason for rejection, if he or she refused to participate, etc., and track releases executed by participants		

No.	Category	Description of Capability	Included	Note
88	Assessment	Capture the results of screenings and assessments, including history of drug use, risk factors, criminal history, health and mental health factors, impairments or disabilities, family factors, living environment, employment, education, and financial resources (Desired).		
89	Case Planning	Maintain treatment plans, supervision case plans, conditions of participation, etc.		
90	Case Management	Track supervision contacts, including home, school, and employment visits by probation officers; and all case manager and third party contacts.		
91	Case Management	Track incentives and sanctions, record program violations and phase changes, and track progress in therapy educational or vocational programs, community service, appointments, units of service, supervision contacts, and community support programs.		
92	Treatment	Track participation in counseling sessions and restrictions imposed on the individual		
93	Ancillary Services	Record referrals for services that are not linked to drug and alcohol treatment		
94	Drug and Alcohol Testing	Record drug and alcohol tests scheduled, administered, and outcomes		
95	Program Exit	Capture graduation and termination data, including program exit questionnaires.		
96	Outcome	Track recidivism and other indicators of the impact of the program (e.g., complex report)		

### ***Probation Scenarios***

It is recognized that the Offeror's case management system will not yet have been configured to work for the Guam Judiciary. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Guam. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

Probation cases are non-court cases similar to non-court cases in Attachment 6. When implemented, probation cases must be initiated by pulling Superior Court CMS data on defendants who are already in the system (except pretrial services intakes who may not be in the system).

1. Receive request for presentence investigation
  - a. Assign probation officer
  - b. Set due date for PSI report

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- c. Search for defendant in system and initiate probation case
  - d. Schedule appointment
  - e. Enter criminal history, notes from interview, risk assessment, and recommendation
  - f. Generate and transmit PSI report to supervisor
2. Receive request for pretrial services intake (defendant in custody, first offense)
  - a. Assign to probation officer
  - b. Search for defendant in system and initiate probation case
  - c. Enter case notes after jail visit
  - d. Generate and transmit release recommendations to supervisor
3. Perform probation intake (no PSI, on probation in another case)
  - a. Search for defendant in system and initiate probation case
  - b. Enter intake information
  - c. Attach image of arrest report
  - d. Take photo and upload to system
  - e. Capture fingerprint and upload to system
  - f. Determine expiration date of probation and set ticklers
  - g. Link with defendant's other active case
  - h. Assign to probation officer
  - i. Schedule appointment(s)
  - j. Enter case notes and proof of probation fee paid
4. Perform probation case planning
  - a. Display probation case summary
  - b. Administer risk assessment and enter recommendation
  - c. Link with defendant's other active cases
  - d. Identify resources and referrals
  - e. Generate referral for services
  - f. Schedule appointments and contact dates, and set ticklers
5. Perform probation case supervision
  - a. Enter contact with defendant
  - b. Update new employment information
  - c. Enter case notes

- d. Enter drug test results (or view test results report attached by service provider)
- e. Generate motion to revoke probation
6. Enter community service work failure to comply
  - a. Update case record with no-show
  - b. Generate notification of non-compliance to probation officer
7. Track due date for compliance with community service (set up tickler to trigger on demo date)
  - a. Check records for compliance
  - b. Generate community service report and automatically docket it in event log, update case record, and send to assigned probation officer
8. Set up a payment plan for \$350 in a case with three payments over three months after the initial payment:
  - a. \$115
  - b. \$105 – Grant a continuance, adding this amount to the 3<sup>rd</sup> payment
  - c. \$100
  - d. \$30
9. Display a sentenced case set up before the demo, demonstrating non-compliance with payment of fine/fees, and generate a warning letter which is automatically docketed
10. Close probation case
  - a. Check case record for compliance
  - b. Remove future dates and active ticklers in case
  - c. Mark case closed

### ***Client Services and Family Counseling (CSFC) Scenarios***

It is recognized that the Offeror's case management system will not yet have been configured to work for the Guam Judiciary. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Guam. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

CSFC cases are non-court cases similar to Judiciary matters in Attachment 6. When implemented, CSFC cases must be initiated by pulling Superior Court CMS data and Probation case data on defendants who are already in the system.

1. Configure CSFC case settings
  - a. Add a referral source

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- b. Set up risk assessment template/tool
- c. Set up document generation template for letter to client
- d. Configure time slots for intakes or child sessions, such as Fridays 9-noon for two clinicians
2. Initiate CSFC case
  - a. Input date of referral
  - b. Search for defendant in system and initiate CSFC case
  - c. Enter source of referral, judge, date, case type, date written order received, processing by client, etc.
  - d. Enter client information (e.g. personal information, demographics, contact, etc.)
  - e. Link with defendant's other active case
  - f. Attach a document to the case brought in by the client
  - g. Attach client photo to case
  - h. Assign to staff clinician
  - i. Schedule appointment(s)
2. Perform intake assessment
  - a. Enter client intake information (e.g., criminal, medical, educational, treatment history, presenting problem)
  - b. Enter psychosocial history, mental status, risk assessment, diagnostic assessment, and treatment recommendations
  - c. Enter hourly charge for a type of service
  - d. Enter due date of counseling assessment and set ticklers, including all hearing dates
  - e. Enter case notes
  - f. Generate an acknowledgment of conditions for the client to sign with a signature pad, and attach the signed document in PFD format to the case
  - g. Complete intake risk assessment
  - h. Update case type (e.g. Molested Child, Adult Perpetrator, Juvenile Perpetrator, Adult Violence Against Partner, etc.)
  - i. Generate assessment and treatment report in PDF format, attach report to case, and log an entry about generation of the report in the case log
  - j. Update client's treatment type (e.g., ICP, FVMG, FWVG, SOTG, ICP-SO, Family, Couples, Cooperative Parenting, Biofeedback, Forensic, Psychological)
  - k. Update client's treatment outcome (e.g., completed ICP, FVMG, did not complete)
3. Show therapist's calendar with appointments

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- a. Set up an individual appointment
- b. Set up a group therapy session, selecting individuals
- c. View calendar by day, week, month, group, individual
3. Mass case processing
  - a. Assign a group of cases from one therapist to another
  - b. Generate a document or reports for a group of cases
  - c. Generate statistics by case types
  - d. Enter individual attendance for members in the same group treatment
  - e. Generate group attendance listing
4. Perform CSFC case planning
  - a. Display CSFC case summary
  - b. Administer assessment and enter recommendation
  - c. Link with defendant's other active cases
  - d. Send a task to a therapist
  - e. Assign client to external resource and input type of service referred
  - f. Generate referral for services to Department of Mental Health and Substance Abuse or other provider in PDF format
  - g. Schedule appointments and contact dates, and set ticklers
  - h. Assign one or more additional therapists to the client's child or other family members
5. Set defendant up for a course of treatment, every Tuesday at 9:00 AM for four weeks, with a tickler to the clinician assigned, including the names of others who will attend
  - a. Record a client coming in for a treatment session
  - b. Enter a case note
  - c. Reschedule an appointment
6. Handle failure to come in (no-show) for appointment or treatment session
  - a. Send alert to therapist
  - b. Update case record with no-show
  - c. Generate a warning letter to the client which is automatically logged
  - d. Generate a letter to court if warning not heeded
7. Generate assessment and treatment report in PDF format, attach report to case, and log an entry about generation of the report in the case log
8. Track due date for compliance with court conditions (set up tickler to trigger on demo date)

- a. Check records for compliance
  - b. Generate completion or termination report in PDF format and automatically docket it in event log, update case record, and send to assigned CSFC supervisor
9. Prepare voucher for services rendered (when implemented, will be transmitted to Financial Management Division).
  10. Demonstrate list of standard reports
  11. Run report showing caseload of therapists
  12. Run report showing attendance
  13. Close CSFC case
    - a. Check case record for compliance
    - b. Remove future dates and active ticklers in case
    - c. Mark case closed

### ***Public Defender Scenarios***

It is recognized that the Offeror's case management system will not yet have been configured to work for the Guam Judiciary. Using the business process documentation that is available as a guide, demonstrate the following capabilities in a manner that best represents current business practices in Guam. Evaluators will take into consideration the fact that these demonstrations may vary from local processes.

Public Defender cases are non-court cases similar to Judiciary matters in Attachment 6. When implemented, public defender cases must be initiated by pulling Superior Court CMS data on defendants who are already in the system.

1. Perform public defender client intake (assume received notification of appointment)
  - a. Search for defendant in Superior Court CMS and initiate public defender case
  - b. Link with defendant's other active cases and co-defendants, and check for conflicts
  - c. Assign to attorney
  - d. Enter intake information and flag case as "Interpreter Needed"
  - e. Take photo and upload to system
  - f. Attach image of arrest report
  - g. Schedule appointment next appointment
  - h. Enter case notes

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2. Configure time slots for attorney appointments, such as 3-5 PM Mondays and Wednesdays
  - a. Show attorney's calendar with appointments
  - b. Set up an individual appointment
  - c. View calendar by day, week, month
3. Handle conflict case
  - a. Mark case as conflict
  - b. Create case note to that effect
  - c. Generate motion to withdraw as attorney, in PDF format
  - d. Send notification to Alternate Public Defender
4. Generate motion to compel discovery in PDF format (when implemented, it will be e-filed)
5. Log appearance of client at appointment at front desk
6. Conduct public defender office interview with client
  - a. Have photo of client pop up when open the case
  - b. Enter contact with defendant
  - c. Add witness name and contact information
  - d. Update new demographic information like new address
  - e. Enter case notes including time spent with client
7. Handle failure to come in for appointment
  - a. Update case record with no-show
  - b. Generate letter to client
8. Mass case processing
  - a. Assign a group of cases from one therapist to another
  - b. Generate a document for a group of cases
9. Demonstrate list of standard reports
10. Run a report showing the caseload of one attorney and all assigned attorneys
  - a. Show a caseload report by type of case (felony or misdemeanor) and offenses charged
  - b. Show caseload report by whether case is pre or post-judgment and length of time since PDSC was appointed

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- c. Show caseload report segregating Adult Drug Court, Diversion, Juvenile Drug Court and clients whose cases are pending results of ongoing mental health treatment (e.g., case on hold until defendant is competent to stand trial)
- 11. Close public defender case
  - a. Remove future dates and active ticklers in case
  - b. Mark case closed