

**Functional Standards Development  
for Automated Case Management Systems  
for *Probation***



Bureau of Justice Assistance



American Probation and Parole Association

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**Functional Standards Development for Automated  
Case Management Systems for Probation**  
by

**American Probation and Parole Association**  
with  
**National Center for State Courts**

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# **Adult Probation Functional Standards**

## **Introduction**

The American Probation and Parole Association (APPA) developed these functional standards to assist adult probation (probation) agencies in implementing effective automated case management systems (CMS). APPA recommends these as national functional standards. These standards are designed to address probation agency processes while also providing the capacity for sharing information with the courts, court support units, criminal justice (CJ) agencies, and non-criminal justice (Non-CJ) agencies. The goals of this process were to create a standardized framework for probation CMS and to set higher standards of performance and functionality for probation agency automated systems. These functional standards are written specifically for adult probation CMS; however, other community supervision agencies (e.g., parole and juvenile probation) may find all or part of these standards useful in developing or enhancing their CMS.

The increased availability of electronically maintained and shared information has placed new demands for standardization on organizations that wish to share and use client and agency information. Prior to this document, there were no guidelines or standards to assist probation agencies in the development, implementation, maintenance, or enhancement of CMS. Each agency faced the daunting and expensive task of identifying its organizational needs, translating those needs into functional requirements for a CMS, and communicating those needs appropriately.

These standards will enable probation agencies to achieve more useful, efficient, and effective automation products, whether through in-house development or procurement from outside vendors. It is critical that an automated CMS take advantage of state-of-the-art technology and thinking to reduce the time needed to design and implement new systems. A CMS will improve the probation work process, accommodate both electronic transfer of and access to information, and allow existing staff more time to spend on the organizational mission.

These functional standards were produced by APPA in collaboration with the National Center for State Courts (NCSC), and were funded under a grant from the Bureau of Justice Assistance (BJA), Office of Justice Programs. The process included the review of existing probation CMS, identification of common elements and innovative practices, and development of draft functional standards. The draft document was reviewed, edited, and enhanced by the Standards Development Team composed of probation practitioners, probation information technology professionals, and vendors of case management software. The Standards Development Team met three times over a period of six months to review and modify the Standards document to specifically reflect and meet the needs of probation agencies. These functional standards are the result of intense scrutiny and meticulous examination from knowledgeable individuals who have field experience with probation CMS and should serve as a valuable resource for those in all stages of the CMS process.

## Purpose

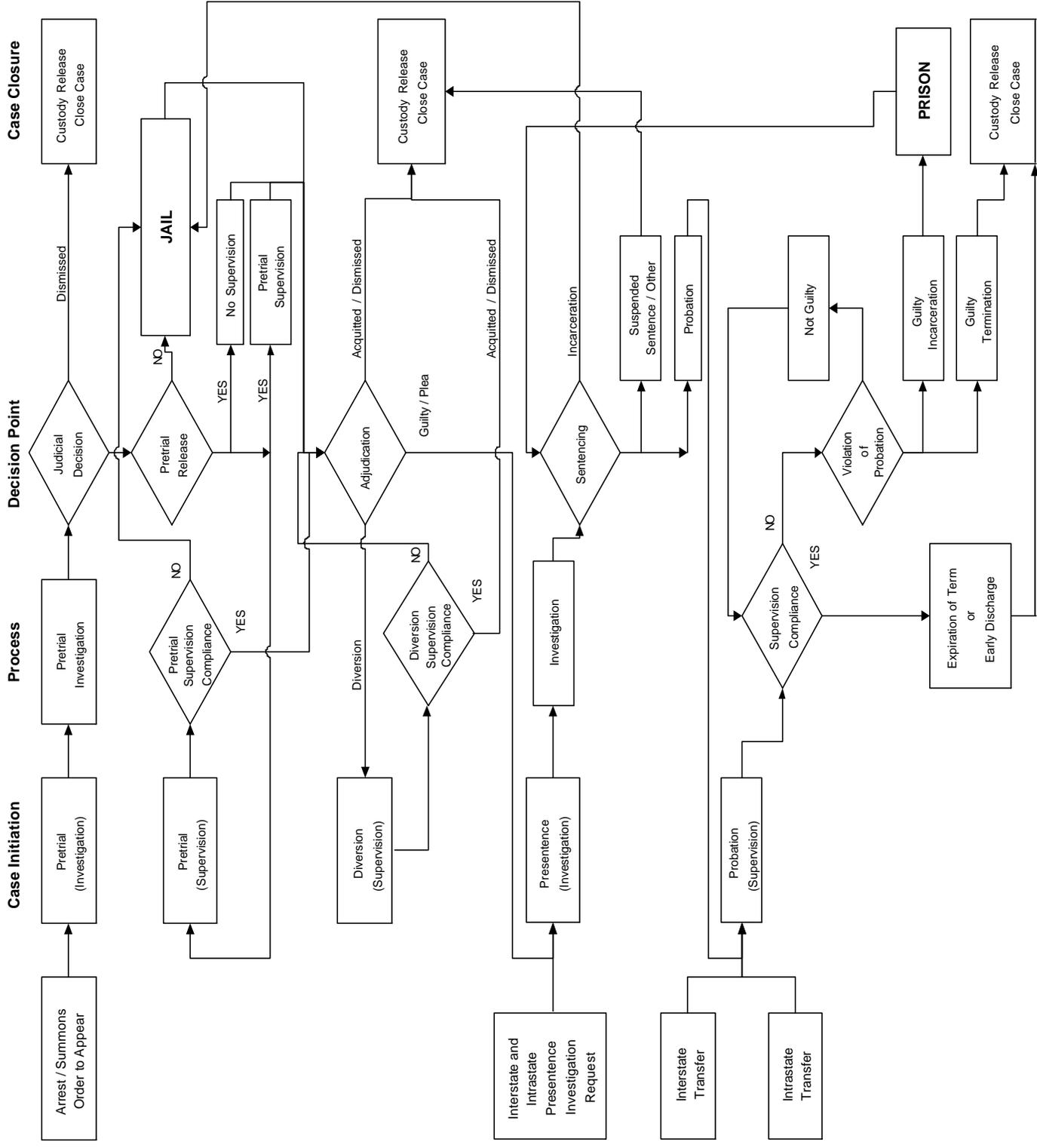
This document provides probation agencies with standards that can be used in developing an automated CMS. Functional standards are included for investigation and supervision functions, as well as for additional services that some but not all probation agencies provide, e.g., collections, pre-trial services, community service, electronic monitoring. When applying these functional standards to a particular organization, they must be reviewed carefully and modified where necessary to meet the specific needs and requirements of the organization. While some specific standards in this document may be directly applicable to CMS development, documentation, and the preparation of a Request For Proposal (RFP), these functional standards cannot be adopted without thorough review and customization to reflect jurisdictional requirements.

Before reviewing and accepting these functional standards, agencies should engage in a planning process to ensure that the CMS is designed to capture all necessary information, transfer information appropriately, generate the required reports, and meet federal, state, and local requirements. The planning process should include the identification of goals and objectives of an automated CMS, as well as the information and processing requirements of stakeholders as they pertain to the probation process. Functional standards should then be adopted or developed as part of the continued planning process, serving as the foundation of the CMS. Appendices are provided to supplement this document and offer some additional resources that may be considered in the planning, design, and implementation of an automated CMS.

In addition to adhering to the probation agency's process, probation CMS should be designed to relate as seamlessly as possible with other CJ agencies to facilitate basic data sharing and processing. Criminal justice systems, including probation CMS, that process information on offenders should be individual-based rather than case-based. The individual and his/her appropriate identification (usually a Personal Identification number [PID], or a State Identification number [SID]) will be the primary processing and tracking method. Using the PID, practitioners will be able to instantly locate all information including court cases involving the individual in question, no matter where that information originated or is maintained.

Every effort has been made to develop these standards to address the needs of the majority of probation organizations. In order to accomplish that goal, we found it necessary to have a clear definition of terms that are used. The definitions for terms used in this document are in Appendix B. Those definitions may not be appropriate for your organization. If that is the case, you will have to change the terms or the definitions to meet your needs. Appendix C provides several websites with resource information and other standards that have been referenced in this document.

The investigation/supervision process addressed by this document is depicted in Figure 1 to serve as a guide to and a reference point for the recommended functional standards.



## Organization of Functional Standards

This document is organized in a hierarchy of functional groups, functions, and standards, with the highest organizational level being the functional group. Functional groups have further been identified as core or ancillary to distinguish the operational processes that are consistently required in all probation organizations (core), from those operations that are performed by some probation organizations (ancillary).

There are two core functional groups:

- Case Processing
- Management

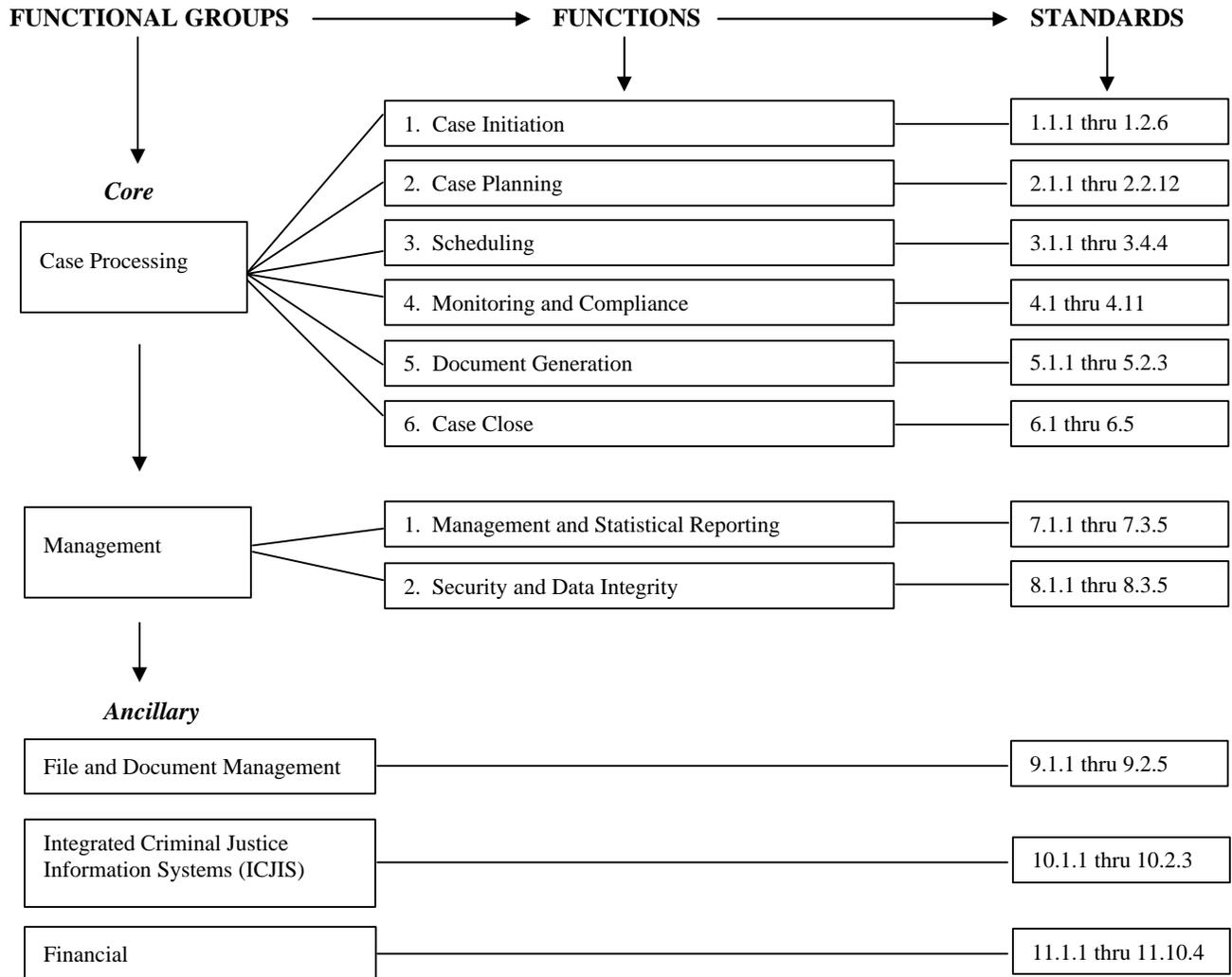
There are three ancillary functional groups:

- File and Document Management
- Integrated Criminal Justice Information Systems (ICJIS)
- Financial

Each core functional group is made up of functions. For example, the Case Processing Functional Group is composed of six functions: case initiation; case planning; scheduling; monitoring and compliance; document generation; and case close. Each of these six functions is further separated into standards. Within the ancillary functional groups, functions are not identified, but standards are enumerated for each ancillary functional group. Standards are intended to identify what operational use should be provided within the CMS, but not how that operation is to be provided. The method for providing the required level of operation is best determined by development experts within the organization's information technology department or a suitable vendor.

Figure 2 illustrates the relationship hierarchy of functional groups, functions, and standards within the context of this document.

**Figure 2**



Each function is described in this document and the description is followed by a list of the data groups that support the function. Following that is the table of standards that compose the operations within that function. The standards are presented in a column format with the first column including an identifying number and a text description of the standard. Standards are then designated as automatic or not and either as core or recommended, as follows:

- Auto (automatic) -- In this column, “**X**” indicates operations and actions that should be self-executing i.e., the action is invoked and performed without user intervention. Standards that are not designated Auto normally are performed entirely or mostly automatically but are invoked manually.
- Core -- In this column, “**X**” indicates capabilities that are required in any CMS. A standard marked Core is denoted as an essential level of functionality.

- Rec. (recommended) -- In this column, “**X**” indicates standards that are recommended but not required. While the operation the standard describes would be helpful, the CMS can be fully functional without inclusion of that standard.

The following table illustrates how the designations of Automatic, Core, and Recommended may be applied to individual standards.

<b>Function (e.g., Case Initiation)</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
1.1.1 standard 1		<b>X</b>	
1.1.2 standard 2	<b>X</b>	<b>X</b>	
1.1.3 standard 3	<b>X</b>		<b>X</b>
1.1.4 standard 4			<b>X</b>

- The first standard (1.1.1) is a required core standard but is not implemented automatically by the CMS: it requires manual intervention.
- The second standard (1.1.2) is self-executing (i.e., automatic) and is required as a core standard.
- The third standard (1.1.3) is self-executing and is a recommended standard.
- The fourth standard (1.1.4) is neither self-executing nor essential (i.e., neither automatic nor core) but is a recommended standard.

### **Other Important Considerations**

When addressing the relationship of the functional standards to system development and procurement of vendor-supplied software, several other topics should be considered.

- With vendor-supplied software, consider the many variations of computing platforms used in CJ agencies and Non-CJ agencies in a specific jurisdiction (where information may be transferred) to ensure maximum communication among agencies.
- A probation organization’s limited budget may permit only infrequent changes in existing computing platforms.
- Open systems architectures (interfaces with other systems, on-going system and database maintenance, and upgrades) should be an objective with the added caveat that the application software does the work, not the hardware platform. If possible, the existing hardware should not dictate or limit the functionality requested in the design or purchase of the CMS.
- The introduction of a new or significantly enhanced CMS should include provisions for user input to the design process, user review and approval of the software product, user training, and system documentation for the information technology staff who are responsible for maintaining the system.

The full-function CMS should allow for a financial element to address fees, fines, restitution, and charges for various services. The allocation of financial functions between CMS and separate financial software systems varies, but most probation agencies handle some collection and

distribution of monies or need to receive information from or send information to an agency designated for collection and distribution.

Most recently, integration has become a goal of CJ agencies, and represents a sharing of criminal justice information. Integration requires more complete and accurate criminal information for public safety agencies. Public safety employees that have personal contact with offenders, such as law enforcement, corrections, and probation personnel, need timely, accurate, and complete information in order to protect the public and themselves. Public safety agencies function most efficiently in an information-sharing environment that includes the courts, CJ agencies, and Non-CJ agencies. With that in mind, information interfaces must exist with law enforcement, prosecution, courts, public defense, and corrections, as well as with specific CJ and Non-CJ agencies that maintain records on domestic violence, child abuse, sex offenders, firearms ownership and usage, victim information, and other similar data.

These functional standards cover the case management operations not only for the probation organization, but also for the exchange of information with other related agencies (i.e., basic integration issues). The integration section includes the information probation organizations receive from and provide to other agencies as part of an Integrated Criminal Justice Information System (ICJIS). These functional standards assume the CMS will be part of an ICJIS, either immediately upon completion or installation, or in the future.

### **Generic or Locally Defined Terms**

There are functions in this document that refer to phrases or terms that may not be in common use or commonly understood in all localities or by all potential vendors. Considerable effort has been made to minimize the use of these terms, and the following table presents phrases or terms used in this document that merit individual local agency attention and definition.

<b>Function number</b>	<b>Generic or Locally Defined Terms</b>
1.1.3, 2.2.6	locally defined format and procedures
1.1.4	separate (multiple) individual identifiers for each offender
1.1.5	locally used probation offender identifiers
1.1.14, 2.1.2	groups of related cases
1.1.15, 2.1.3	hierarchy of offense severity
1.1.16, 2.1.4	ranking of charges
1.1.17, 2.1.5	assessment phase
1.1.19, 1.1.21, 1.1.23, 2.1.7, 3.2.1, 3.2.2, 7.1.3	person data group
1.1.24	key offender personal data
1.1.25, 7.2.2	performance based standards for adult probation and parole
1.2.4	predefined rules
1.2.4	existence of specific conditions
2.2.10	noteworthy activity in case
3.1.2	statutes and local policy
3.2.4	special scheduling needs
3.4.1	locally defined needs

4.2, 4.3, 4.4, 5.1.4, 5.2.2, 6.1, 7.1.2, 7.1.9, 7.2.1, 8.1.6, 8.3.1, 8.3.2, 8.3.3, 11.2.2, 11.8.6	federal, state, and local statutes, rules, or procedures
4.4	toll supervision term
4.11	work actions performed by staff
5.1.1	negotiated data field identifiers
6.1	business rules
7.1.4	user-specified criteria
8.2.2	locally defined edit and data validation
8.2.7	current data exchange standards
9.2.3	seamless integration
10.1.2	mutually agreed upon unique individual identifiers
10.1.9, 10.1.10, 10.1.11	appropriate agency
10.1.12	courts, court support units, CJ agencies, and Non-CJ agencies
10.2.1	other identifiers
11.1.1	Generally Accepted Accounting Principles (GAAP)
11.1.3, 11.1.4, 11.7.6	outside agencies
11.3.3	unique, locally defined sequential receipt numbers
11.5.2, 11.5.3	proper security provisions
11.5.4, 11.7.11	proper authorization
11.7.1, 11.8.1	user-defined and -maintained
11.7.8, 11.8.7	state, local, and private agencies
11.8.5	non-case-related receipts
11.9.3	user-selected criteria

It is important to note that many terms, such as probation, judgment, disposition, and sentence have different meanings in different jurisdictions. The terms as they are used within this document represent their use as reflected by most jurisdictions. Definitions for terms used in this document are in the Glossary. In the event the use of a specific term is not acceptable for use in your organization, simply modify that term to meet your specific requirements.

## **Business Rules**

A fully functional, event-driven CMS schedules future events based on completion of prior events and evokes actions including the production of documents associated with those actions. The functional standards in this document identify some implied actions and functions of event-driven systems that, unless overridden by the user, automatically perform specific tasks within the CMS based on the completion or scheduling of certain events. Examples of these tasks are (1) updating case records and financial records; (2) scheduling future events; (3) generating notices; and (4) computing fees, fines, and restitution.

An event-driven CMS uses tables to provide the ability to enter agency-specific business rules. Rules are interpreted by the CMS, resulting in automatic execution of designated operations. Business rule applications are as follows:

***Standard Number***                      ***Business Rule***

1.1.3, 2.2.6	locally defined format and procedures
1.1.5	locally used probation offender identifiers
1.1.15, 2.1.3	hierarchy of offense
1.1.16, 2.1.4	ranking of charges
1.1.17, 2.1.5	assessment
1.1.25, 7.2.2	performance-based standards
1.2.4	predefined rules
1.2.4	existence of specific conditions
2.2.10	noteworthy activity in case
3.1.2	statutes and local policy
3.4.1	locally defined needs
4.2, 4.3, 4.4, 5.1.4, 5.2.2, 6.1, 7.1.2, 7.1.9, 7.2.1, 8.1.6, 8.3.1, 8.3.2, 8.3.3, 11.2.2, 11.8.6	federal, state, and local statutes, rules, or procedures
6.1	business rules
7.1.4	user-specified criteria
8.2.2	locally defined edit and data validation
8.2.9	current data exchange standards
10.1.2	mutually agreed upon unique individual identifiers
10.2.1	other identifiers
11.1.1	Generally Accepted Accounting Principles (GAAP)
11.3.3	unique, locally defined sequential receipt numbers
11.7.1, 11.8.1	user-defined and -maintained
11.9.3	user-selected criteria

## **CORE FUNCTIONAL GROUPS**

As previously stated, there are two core functional groups that must be included in every CMS: Case Processing and Management. The following section details the functions and standards contained within each.

### **Case Processing Functional Group**

Case processing is the core functional group that consists of the following functions:

- Case Initiation
- Case Planning
- Scheduling
- Monitoring and Compliance
- Document Generation
- Case Close

Whether a probation agency receives a case for pretrial investigation, presentencing investigation and report, or presentencing or postsentencing supervision, the CMS must allow for opening that case, reflecting the activities undertaken with that case (planning, scheduling, monitoring, producing documents), and eventually closing that case. All of these probation activities with a case are addressed as Case Processing.

## **Suggested Data Groups**

The following data groups and their respective data elements are suggested as being applicable to most organizations for the core functional groups. Further definition of these data groups is in Appendix A. In the event a data group is not acceptable for use in your organization, modify using your specific or locally defined data group.

- Person
- Case
- Event
- Financial
- Document and report generation

## **Functions**

### **1. Case Initiation Function**

The case initiation function provides the requirements for the CMS for cases that have been newly assigned, cases that have been transferred in, or closed cases being reopened. The CMS will accommodate entering of new client information and the entry or retrieval of archived or historical information where available. Immediately following the standards for case initiation that apply to all cases, there are some specific additional standards that may be needed for probation agencies that conduct pretrial release programs.

New cases begin with the entry of information into the CMS for the purpose of recording, retaining, or retrieving data as well as generating formal and other documents. New case entries should conform to locally used conventions (e.g., in case numbers, case style or title, local jurisdiction identifiers, basic case information). The most basic case initiation activities are to input an identifier, a description, and other offender identification information that conforms to the standards of the National Crime Information Center (NCIC), as well as establish links to any manual records. The use of identity verification and personal identifiers consistent with NCIC demographics standards listed in the Federal Bureau of Investigation Criminal Justice Information Services, Electronic Fingerprint Transmission Specification (FBI CJIS EFTS) or its subsequently updated publication(s) is desirable and recommended.

Case maintenance is required throughout the life of the case; specific pieces of data and other information related to a particular case must be maintained or be kept up to date. Case information may be updated electronically through the transfer of information from outside sources or may be entered manually. New information that is updated through electronic data exchange must be reviewed and approved at the appropriate level prior to updating.

The CMS must maintain relationships for cases by offender, maintaining a complete transaction history for each case. Information added to or changed in the CMS can be accomplished automatically by the CMS. The capability of establishing and applying such relationships greatly assists users in entering and synchronizing data throughout the system.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Case Initiation – All Cases</b>			
1.1.1 provide for transfer or entry of all charges, custody, and release information for each offender from CJ agency or court		<b>X</b>	
1.1.2 perform utility functions (e.g., copy information such as offender and participants from one case to another, sort outputs such as by offender identifier, copy historical case or offender data to secondary file)		<b>X</b>	
1.1.3 provide for transfer of probation case number for an offender using locally defined format and procedures		<b>X</b>	
1.1.4 provide for separate (multiple) individual identifiers for each offender from originating CJ agency or court	<b>X</b>	<b>X</b>	
1.1.5 provide for locally used probation offender identifiers (e.g., SSN, driver’s license)		<b>X</b>	
1.1.6 prompt user when information has been transferred electronically and user intervention is required	<b>X</b>	<b>X</b>	
1.1.7 provide notification of case information received	<b>X</b>	<b>X</b>	
1.1.8 provide review process of manually or electronically transferred case information		<b>X</b>	
1.1.9 provide case verification status and produce results (e.g., acceptance, non-acceptance, reason)	<b>X</b>	<b>X</b>	
1.1.10 allow entry of reason for initiation (e.g., new case, intra- or interstate transfer, previously closed case that has been reopened)		<b>X</b>	
1.1.11 initiate case upon acceptance of information		<b>X</b>	
1.1.12 generate acceptance or nonacceptance acknowledgement for appropriate sending agencies and other agencies as necessary		<b>X</b>	
1.1.13 prompt user when case(s), defendant(s), offender(s), or victim(s) already exist that relate to new case (e.g., defendant or offender has other cases, aliases), followed by user-initiated search for duplicate offender to avoid redundant data entry	<b>X</b>	<b>X</b>	
1.1.14 link groups of related cases, defendant, offender (e.g., several cases involving the same individual)	<b>X</b>	<b>X</b>	
1.1.15 allow user to designate the nature of the relationship between multiple cases involving the same defendant (e.g., governing sentence, financial obligation, hierarchy of offense severity, consecutive or concurrent sentences)		<b>X</b>	
1.1.16 allow for the ranking of charges		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
1.1.17 allow entry of information gathered during assessment phase, and provide for interactive administration, calculation, and retention of offender assessment instrument		<b>X</b>	
1.1.18 allow for chronological entry of notes by date, time, and author with coding capability as to type of note(s)		<b>X</b>	
1.1.19 allow entry, maintenance, and retention of multiple person data group names (i.e., probation officers, judges, defense attorneys, victims, co-defendants)		<b>X</b>	
1.1.20 allow the computation and entry of probation term and expiration date of probation		<b>X</b>	
1.1.21 allow users simultaneous access to separate cases and person data groups in all parts of the CMS for, potentially, all related person data groups, case, and financial information and with the inquiry and report generation capabilities for more varied displays and reports		<b>X</b>	
1.1.22 permit search on various combinations of specific individual or case identifiers		<b>X</b>	
1.1.23 permit Soundex (or equivalent) name search for all person data groups		<b>X</b>	
1.1.24 provide ability to maintain history of key offender personal data (e.g., residence(s), employment, alias, criminal activity)		<b>X</b>	
1.1.25 provide ability to enter and maintain information in compliance with requirements of the <i>Performance-Based Standards for Adult Probation and Parole Field Service</i> , 4 <sup>th</sup> ed., draft, September 2002, available at <a href="http://www.APPA-net.org">www.APPA-net.org</a>		<b>X</b>	
<b>Case Initiation – Pretrial Services</b>			
1.2.1 provide notification of initiated case with required completion date(s)	<b>X</b>	<b>X</b>	
1.2.2 allow designation of probation officer(s) to tasks associated with a case		<b>X</b>	
1.2.3 provide ability to manually assign and reassign cases to individual or groups of probation officers		<b>X</b>	
1.2.4 assign and reassign cases to individual or groups of probation officers using one or more of the following methods: randomly; according to predefined rules (e.g., by case category, by case status, by probation officer caseload balancing policies); according to existence of specific conditions (e.g., conflict of interest, disqualification)	<b>X</b>		<b>X</b>
1.2.5 allow capability for entry of probation release recommendations and conditions		<b>X</b>	
1.2.6 provide ability to record results of release recommendations and conditions		<b>X</b>	

## 2. Case Planning Function

The case planning function provides functional requirements for the CMS for the routine planning and maintenance of cases. Case planning begins with acknowledging the level of risk presented by the probationer and the court-ordered requirements of supervision. It also includes the determination of effective and efficient supervision strategies that may be employed which will contain or eliminate risks and promote compliance with court orders.

Every new probationer must be oriented to the supervision process, the supervision standards to which they will be held, and the standards that guide the probation monitoring activity. This orientation is necessary to define acceptable behavioral parameters for the probationer.

The conditions of an offender's release may require the provision of services outside the probation organization's area of expertise. It is essential to identify resources available for the effective and efficient monitoring of probationer compliance and to provide referrals to services or treatment, as necessary, to assist the probationer. These referrals may include accessing services such as drug treatment, mental health treatment, drug/alcohol testing, law enforcement collaboration, and financial account information.

Community service may be a condition of release and if it is administered by probation, it is incumbent upon the probation organization to create and maintain a list of all approved community service agencies to which offenders may be assigned and develop a means to account for and record all community service hours performed by the probationer.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Case Planning – All Cases</b>			
2.1.1 prompt user when cases, defendants, offender, or victims already exist that relate to current case (e.g., defendants or offender has other cases, aliases), followed by user-initiated search for duplicate offender to avoid redundant data entry	<b>X</b>	<b>X</b>	
2.1.2 link groups of related cases, defendant, offender (e.g., several cases involving the same individual)	<b>X</b>	<b>X</b>	
2.1.3 allow user to designate the nature of the relationship between multiple cases involving the same defendant (e.g., governing sentence, financial obligation, hierarchy of offense severity, consecutive or concurrent sentences)		<b>X</b>	
2.1.4 allow for the ranking of charges		<b>X</b>	
2.1.5 allow for the maintenance of information gathered during assessment phase, and provide for interactive administration, calculation, and retention of offender assessment instrument		<b>X</b>	
2.1.6 allow for chronological entry of notes by date, time, and author with coding capability as to type of note(s)		<b>X</b>	
2.1.7 allow entry, maintenance, and retention of multiple person data group names (i.e., probation officers, judges, defense attorneys)		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
2.1.8 allow the computation and entry of probation term and expiration date of probation		<b>X</b>	
2.1.9 provide ability to record referrals for services and programs (e.g., counseling, treatment, education, employment)		<b>X</b>	
<b>Case Planning - Maintenance</b>			
2.2.1 provide ability to correct or change current case information		<b>X</b>	
2.2.2 permit single data entry to change information in multiple cases		<b>X</b>	
2.2.3 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)		<b>X</b>	
2.2.4 provide ability to reassign individual or group of cases from one probation officer to another as a single case (e.g., probation officer retires, relocates, or changes job duties)		<b>X</b>	
2.2.5 allow for maintenance and retention of multiple current and historical addresses, with beginning and ending dates	<b>X</b>	<b>X</b>	
2.2.6 provide ability to maintain multiple dates per task as required by locally defined format and procedures (e.g., assigned, due, completed, approved)		<b>X</b>	
2.2.7 maintain transaction history of all changes including identification of approving supervisor	<b>X</b>	<b>X</b>	
2.2.8 create case note entry for electronic documents generated by CMS (e.g., notices, warrants, orders)	<b>X</b>	<b>X</b>	
2.2.9 allow for automatic notification of changes in case and offender status	<b>X</b>	<b>X</b>	
2.2.10 provide ability to create notification of activities or changes in case (e.g., notify probation officer of noteworthy activity in case)			<b>X</b>
2.2.11 provide ability to create, activate, and deactivate case warning functions and notices (e.g., sealed cases, expunged records, warrants)		<b>X</b>	
2.2.12 allow supervisor override (e.g., add, change, delete) of case maintenance functions		<b>X</b>	

### **3. Scheduling Function**

The activities associated with the scheduling of upcoming events, maintaining and displaying information on those scheduled events, and monitoring adherence to schedules are included in this function. The word schedule may be used as a verb, as in “to plan or appoint for a certain time or date,” and also as a noun referring to an agenda of events.”

Probation agencies schedule for the following three basic purposes:

1. Assigning, monitoring, and completing tasks related to specific events (e.g., interviews, compliance verification) beginning with the initiation of an investigation or supervision case and culminating with appropriate reports. Pretrial and presentence investigative reports result most commonly in recommendations to the court, and supervision results in monitoring outcomes and preparing progress reports until the date of discharge.
2. Monitoring deadlines pertinent to the production of information necessary to the adjudication process and the continued monitoring of compliance requirements. This necessitates the ability to track appointments, interviews, and other stipulations of the court. An efficient method for maintaining the specific details of these appointments, including outcomes, is imperative. Other deadlines are established for the submission of documents (e.g., to the court) and the completion of other actions and tasks (e.g., submission of drug test results), as well as probation progress reports. These deadlines often conform to time intervals based on the case type, risk assessment and other indicators used to evaluate the offender. The established time intervals define the schedule within which the case moves toward completion of specific requirements, whether revocation or the actual completion and closing of a probation case.
3. Making staff appointments with judicial officers and appearances at judicial proceedings. Because the probation agency is charged with monitoring the offender's progress, significant weight is placed on hearings performed by the probation officer and that individual's professional opinion regarding the progress of the case. Along with staff appearances at judicial proceedings, documents generated by the CMS that provide evidence of adherence to court directives and compliance with the rigors of the specific remediation or restitution ordered are vital in presenting accurate information on the individual for court support units, courts, CJ agencies, and Non-CJ agencies.

While most probation agencies regard the scheduling of events as administrative activities and not part of the official probation record, these events may initiate an action that is or will become part of the official probation record or the official record of other justice partners such as related entities for court support units, courts, CJ agencies, and Non-CJ agencies. For example, an event that violates time standards because it does not occur by its scheduled deadline may initiate a hearing to determine why the case is out of compliance; the hearing would then be scheduled or placed on a schedule or agenda for supervisory or judicial review, and would become part of the official probation record and possibly part of the official court record.

The Scheduling function covers scheduling with respect to probation event, task deadlines, and judicial proceedings, and it covers the resources required within a CMS to perform and provide the desired level of functionality. In this section, each group of functions is categorized according to whether it typically consists of the setting of "event" (usage as a verb) or the "deadline" itself (usage as a noun).

### **Schedule Creation**

Before considering the people and other resources that will serve as the foundation for schedules, basic rules must be established in the system to guide it in scheduling. These rules address issues

such as what to schedule, what conditions trigger scheduling, and how to schedule multiple entities (e.g., events, person data groups, case reviews) that relate to each other.

### **Person and Resource Assignment**

This section covers functional standards for assignment of people and resources in creating reliable schedules. Most of these functional standards specify fully automatic functions. Short of fully automated systems, the CMS could assist the user in manual assignment by displaying the requisite information.

### **Schedule Management**

The CMS must provide highly flexible, user-defined printouts and displays of scheduling information in various groupings (e.g., by date, probation officer, or location). The system also must accommodate different methods of managing cases (e.g., frequency and intensity of interviews, time requirements for specific types of cases) and provide other support functions.

### **Ticklers, Alerts, and Prompts**

The CMS should generate ticklers, alerts, and prompts to inform users of impending or expired schedule deadlines, of completed schedule events, and of required scheduling actions that relate to the current activity. A tickler provides notification during data entry that required information is missing. An alert notifies that contrary information is being entered and provides the capacity to post a warning or explanatory information. A prompt presents a decision-making opportunity including a list of options for actions. When a probationer meets with staff other than the assigned officer, prompts or alerts should notify the officer assigned to the case of that contact. The notes associated with the contact should also be provided in the prompt or alert. Likewise, the assigned probation officer should be able to enter an alert for other probation personnel regarding issues surrounding a specific probationer (e.g., “Probationer will ask permission to move in with girlfriend – always deny this request.”).

This document focuses on probation case management functional standards; however, there is no implication that these functional standards supersede any other applicable standards such as the National Institute of Standards and Technology (NIST), the NCIC, and other organizations. Other applicable standards should be used to enhance these probation case management functional standards where appropriate.

### **Description of Schedules or Agendas**

Schedules are initiated with basic information regarding the tasks and activities assigned to the probation officer for an investigation or supervision case as it relates to a specific offender. Maintenance of the schedule will allow recording the details of specific activities and tasks such as witness and victim interviews, criminal history research, and monitoring compliance requirements in probation cases.

As these activities and tasks are scheduled, the schedule reflects specific tasks, due dates, and other pertinent information necessary for the probation officer to efficiently plan daily activities. The CMS must allow the probation officer’s schedule to automatically be sent to the appropriate probation supervisor, effectively creating a master schedule or agenda of all probation activities for that particular probation group or agency.

## Description of Ticklers, Alerts, and Prompts

Ticklers, alerts, and prompts are addressed in the scheduling function because it is during the scheduling activities that these operations (ticklers, alerts, and prompts) are initiated by the user's actions and the CMS and are most frequently encountered.

Ticklers provide the capacity to automate (while allowing manual entry and overrides) checklists of tasks, activities, and all pertinent dates for actions that must be performed by the probation officer.

Alerts provide the capacity for bringing an exceptional situation to the immediate attention of the probation officer by showing that exception on the display screen in an invasive or very noticeable manner.

Prompts provide the capacity for bringing a situation to the probation officer's attention by presenting that situation on the display screen and also providing options on that same display screen that the probation officer may select to resolve the problem.

The CMS should generate ticklers, alerts, and prompts to inform users (including individual users and workgroups) of impending or expired schedule deadlines, of completed schedule events, and of required actions that relate to a current activity.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Schedule Creation</b>			
3.1.1 initiate a schedule of future tasks or individual or group events based on occurrence of prior tasks or events (e.g., schedule probation appearance after most recent urinalysis results are available)	<b>X</b>	<b>X</b>	
3.1.2 provide ability to schedule and modify tasks, events, and groups of events according to statutes and local policy		<b>X</b>	
3.1.3 upon the creation of an individual or group schedule, change or modify all related records	<b>X</b>		<b>X</b>
3.1.4 schedule maximum number of cases for specific event types (e.g., interview, based on location, activity, capacity)	<b>X</b>		<b>X</b>
3.1.5 provide ability to resolve schedule conflicts			<b>X</b>
<b>Schedule - Person and Resource Assignment</b>			
3.2.1 provide ability to schedule person data group availability		<b>X</b>	
3.2.2 provide ability to create and maintain availability information on person data groups and resources			<b>X</b>
3.2.3 provide ability to reassign individual or group tasks from one probation officer or group of probation officers to another		<b>X</b>	
3.2.4 permit users to designate cases with special scheduling needs (e.g., interpreter, disabilities)			<b>X</b>

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Schedule - Management</b>			
3.3.1 produce schedules for individuals, events, tasks, dates, and facilities upon user request (e.g., probation officer's schedule by date)		<b>X</b>	
3.3.2 provide schedule that will reflect all tasks, events, and related dates	<b>X</b>	<b>X</b>	
<b>Schedule - Ticklers, Alerts, and Prompts</b>			
3.4.1 provide tickler, alert, and prompt capability, including the ability to identify events coming due or overdue, periods about to expire or expired, and events of which user should be aware based on locally defined needs		<b>X</b>	
3.4.2 allow users to define structure, content, intrusiveness, and frequency with which system displays ticklers, alerts, and prompts including system-defined visual or audio reinforcement (e.g., flashing text, colors on screen, or computer icon) to ensure user sees message			<b>X</b>
3.4.3 provide flexibility with respect to schedule content and format (e.g., according to locally defined specifications)			<b>X</b>
3.4.4 allow supervisor at appropriate level to turn alerts on and off		<b>X</b>	

#### **4. Monitoring and Compliance Function**

Compliance addresses the operation necessary to accomplish tasks associated with both pretrial and post-conviction activities. Compliance monitoring begins when the court orders supervision, continues through an unspecified number of monitored events (requiring compliance reports), and does not end until the case is closed. The Monitoring and Compliance function cannot be presented chronologically relative to other functions. Pretrial and postconviction supervision activities such as meetings, interviews, hearings, conferences, and reviews relate closely to the other functional areas within the CMS but can occur at any point during the supervision process and can occur repeatedly.

Probation agencies administer supervision programs, track activities and conditions of release in a proactive manner, and send reports to the court as required. Efforts to reduce the time required to prepare and distribute these reports must be considered as viable alternatives to the manual processes that are now employed by many probation organizations. Therefore, all electronic methods to share pertinent information between probation and the courts must be considered.

The ongoing compliance and collection activities – independent of the probation supervision function in which they are performed – may include reports to the court that result in the issuance of papers (e.g., warrants and driver's license suspensions), calculating expiration dates, and tracking payments made through the court.

The CMS will be most beneficial if it provides the capacity to track tasks such as posting and accounting for an offender’s hours served or worked, subtracting those hours from the total hours ordered, keeping a running balance of hours still to be served or performed, and showing the hours by offender, officer or agency. The CMS should have the ability to place a monetary value to hours completed for each type of service and each agency.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
4.1 allow for maintenance of case information and document production on demand for supervision activities (e.g., routine reports such as revocation of probation, compliance with court orders)		<b>X</b>	
4.2 distribute supervision documents electronically to other agencies (e.g., courts, court support agencies, CJ agencies, and Non-CJ agencies) in accordance with federal, state, and local statutes, rules, or procedures		<b>X</b>	
4.3 compute and enter credit for time served on the sentence imposed for each charge and offender in accordance with federal, state, and local statutes, rules, or procedures	<b>X</b>	<b>X</b>	
4.4 provide ability to toll supervision term in compliance with federal, state, and local statutes, rules, or procedures, and calculate new end date	<b>X</b>	<b>X</b>	
4.5 compute and enter monetary penalties (e.g., fines, fees, restitution) based on court order	<b>X</b>	<b>X</b>	
4.6 compute and enter non-monetary provisions (e.g., work program, community service, service restitution) based on court order	<b>X</b>	<b>X</b>	
4.7 view all cases and conditions, including financial obligations and community service, for each defendant or offender	<b>X</b>	<b>X</b>	
4.8 provide the ability to track progress, compliance, and completion on referrals for services and programs (e.g., counseling, treatment, education, employment)		<b>X</b>	
4.9 receive information on an offender who has completed installment payments for restitution, fines, fees, or any programs administered by agencies outside the probation agency, or other programs		<b>X</b>	
4.10 provide ability to track substance abuse testing (e.g., drug, alcohol) and results of those tests		<b>X</b>	
4.11 provide ability to document and track work actions performed by staff		<b>X</b>	

## **5. Document Generation**

Document generation refers to the activities associated with producing (i.e., generating, displaying, distributing, and tracking) reports or documents that notify individuals of events and other court actions. To help produce frequently used documents, the CMS allows users to create,

store, and maintain forms - or output templates - that contain standard text, formatting, and a limited number of CMS data fields.

The production of documents could be accomplished through an internal CMS document generation system or by linking the CMS to an external word processing package. When users need to complete one of these forms, they access the appropriate output template into which the user or system inserts the data for a given case. The user may then add appropriate text to complete the document. Documents may be generated automatically following a specific event (e.g., notices to specific individuals when interviews or hearings are scheduled), or they may be user initiated. They may be either printed for manual distribution or distributed electronically.

In the routine operation of a CMS, the reproduction of the original document as it appeared with the original data must be supported. The CMS must provide direct access to the case-related documents.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Document Utilities and Processing</b>			
5.1.1 provide ability to create and maintain a file of templates, including text and negotiated data field identifiers		<b>X</b>	
5.1.2 allow users to create and maintain files of standard (boilerplate) text, including entire paragraphs, and use files to create documents by inserting this standardized text into templates and create other documents consisting of only the standardized text (e.g., brief progress reports, some types of notices)		<b>X</b>	
5.1.3 provide ability to reproduce original documents as they appeared with the original data		<b>X</b>	
5.1.4 provide transaction history or document tracking as appropriate or as required by federal, state, and local statutes, rules, or procedures for documents sent manually or electronically	<b>X</b>	<b>X</b>	
<b>Document Generation</b>			
5.2.1 generate and print documents individually or in scheduled batches		<b>X</b>	
5.2.2 distribute documents electronically in accordance with federal, state, and local statutes, rules, or procedures			<b>X</b>
5.2.3 perform document generation, printing, and distribution functions for a group of related cases as if the group were a single case		<b>X</b>	

## **6. Case Close Function**

The case close function refers to the activities associated with the cessation of probation responsibilities in regard to an individual case. This case close activity may occur at any point during investigation or supervision.

The terminology and policies associated with case closure vary from jurisdiction to jurisdiction. CMS case closure functionality should allow for jurisdictional differences and provide the discretion to close cases based on federal, state, and local statutes, rules, or procedures. In some jurisdictions, policies permit some types of closed cases to be reopened without creating a new case.

Case closure should not cause a case to be removed from the CMS and placed in an archive file. Cases may be archived at some time after closure in accordance with federal, state, and local statutes, rules, or procedures.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
6.1 provide ability to automatically close a case based on business rules in accordance with federal, state, and local statutes, rules, or procedures	<b>X</b>		<b>X</b>
6.2 provide ability to record reason for case closure (e.g., court ordered compliance, provisional compliance, dismissal, death, transfer to another jurisdiction)		<b>X</b>	
6.3 provide ability to prevent case from being closed (e.g. probation requirements not met, failed drug or urinalysis tests, outstanding warrants, unpaid fines) with user override capability		<b>X</b>	
6.4 provide ability to close case (e.g., change status to closed; update all related record-keeping functions; generate required forms, notices, reports for that case)		<b>X</b>	
6.5 provide a facility for reopening previously closed cases retaining previous case closure and current reopening information		<b>X</b>	

## **Management Functional Group**

Management is the core functional group that consists of the following functions:

- Management and Statistical Reporting
- Security and Data Integrity

## **Functions**

### **7. Management and Statistical Reporting Function**

A CMS must produce management information and statistical reports specific to cases and staff workload monitored by the probation organization, including but not limited to offender activities and behavior, compliance with court orders, resource management, staff activities, outcome measures, and financial activities. At minimum, these are the types of statistical functions performed by a CMS and the types of information required to manage and support organizational activities.

There are four mandatory reporting requirements:

1. The CMS must satisfy federal, state, and local statutes, rules, and procedures;
2. Reports must be defined according to federal, state, and local needs;
3. The management reports must be available in detail and summary form;
4. The system must provide the ability for a user-generated, ad hoc reporting system based on a negotiated number of views.

The reports should be by-products of the data contained in the CMS. While the standard output method would be printed reports, summaries of the information should be available through other types of presentations (e.g., graphs, charts) when requested by the user. Any printed information should also be available as an on-line display and as an extracted file for transfer to other systems.

### **Statistics**

Statistics are the by-product of the day-to-day usage of a CMS. The CMS produces statistics incidentally for local use and to satisfy the data and reporting requirements of management and other governmental entities. Recent standards have been drafted to assist with the generation of consistent information. These standards are entitled *Performance-Based Standards for Adult Probation and Parole Field Service*, 4<sup>th</sup> ed., draft, September 2002. The publication is available through APPA and on the APPA website at [www.appa-net.org](http://www.appa-net.org).

Some examples of statistical reports include a caseload report that presents a collection of numerical data for each case type or category (as specified by the probation supervision function and appropriate management) for a specific time period. Workload analysis presents data for each case type, case category, and staff activities (based on historical information and trends) in order to spread the caseload appropriately across probation supervision staff.

### **Management Information**

While management reporting is a mandatory capability for every CMS, the specific management reports needed by a given probation supervision function depend on federal, state, and local statutes, rules, and procedures.

Some management reports are preprogrammed into the CMS, and some are generated on an ad hoc basis. Management must decide which reports are needed on a regular basis, and those reports could be preprogrammed. A CMS should also allow for the ability to export data to create ad hoc reports. The judicious use of exception reports (i.e., data that does not fit the expected pattern) can facilitate proactive case management. Local jurisdictions must carefully evaluate and communicate to the vendor their reporting needs.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Management</b>			
7.1.1 produce summary or detailed information upon request as printed reports, displays, or other required formats (i.e., file extracts, HTML, PDF, XML)		X	
7.1.2 produce information that permits monitoring conformance with performance and offender behavior standards (e.g., warrants) relative to federal, state, and local statutes, rules, or procedures, guidelines, and tracking criteria (e.g., case status, exception cases)		X	
7.1.3 produce detail and summary reports providing activities for specific person data groups		X	
7.1.4 capture and track number and duration of staff activities by user-specified criteria such as assigned staff and type of activity		X	
7.1.5 produce information showing required court appearances or other activities by probation officer		X	
7.1.6 produce report that summarizes scheduled activities (e.g., by probation officer, case, case status, offender, case category)		X	
7.1.7 produce information that permits monitoring of program provider (e.g., drug rehabilitation) assignments, decisions, performance criteria, services, and programs		X	
7.1.8 produce summary status of documents sent or served		X	
7.1.9 provide mandatory exception reporting when scheduled events and groups of events do not conform to federal, state, and local statutes, rules, or procedures		X	
7.1.10 generate overall case closure reports (e.g., cases closed over specific period with reason closed)		X	
<b>Statistics</b>			
7.2.1 satisfy reporting requirements of federal, state, and local statutes, rules, or procedures		X	
7.2.2 produce statistical reports based on <i>Performance-Based Standards for Adult Probation and Parole Field Service</i> , 4 <sup>th</sup> ed., draft, September 2002, available at APPA		X	
<b>Client Documents</b>			
7.3.1 produce detail reports for specific individuals, by case and groups of cases (e.g., offender has multiple cases) with requested data in chronological order		X	
7.3.2 generate person-centered report on offender criminal activity (prior arrests and convictions, aliases, duplicate identifiers)	X	X	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
7.3.3 generate case and offender information on maintenance and administration, release, termination pursuant to court orders, forfeitures, detail and summary status, audit trails, noncompliance with pretrial intervention or supervision requirements, and history (including offender name, case number)	<b>X</b>	<b>X</b>	
7.3.4 produce report on case notes by selected criteria (e.g., date, range, type, author)		<b>X</b>	
7.3.5 produce report identifying financial status for each offender (e.g., fines, fees, restitution) by offender and case		<b>X</b>	

## **8. Security and Data Integrity Function**

The security and data integrity function covers those activities associated with ensuring the security and integrity of the CMS, its data, and its documents during normal operations and after a system failure or outage. The security and integrity of data is accomplished through a combination of features in the CMS application software, the normal computer hardware and system software, and special-purpose hardware and software. This section is intended to guide system administrators and supervisors in the requirements generally included in a system's security and data integrity concerns.

For the purpose of this document security refers to the ability of the CMS to ensure that all data elements and records remain unchanged from unauthorized access or other human intervention including any unauthorized addition, modification, or destruction of data. Certain capacity in the security functions is expected without identifying each operation, such as the need to change passwords routinely (i.e., a predetermined number of days as determined by the system administrator and an automatic "time-out" of the application after a predetermined number of minutes of inactivity).

The system must provide multiple levels of access to the data as determined by the probation organization. Security privileges that should be considered include:

- Read Only
- Read-Write
- Read-Write-Change-Delete
- Supervisory Overrides

These privileges are applicable to the individual, group, and activity levels as determined by each probation organization.

The application software should contain carefully designed input edits to improve data quality and integrity by checking data entered into the system.

In this document integrity refers to the ability of the CMS to ensure that all data elements and records remain unchanged due to any outside influence other than authorized human intervention (e.g., power outage, operating system inconsistencies or problems, data backup and recovery operations). This ensures the integrity of the CMS, its data, and its documents during normal

operations and after a system failure or outage. Integrity is accomplished through a combination of features in the CMS application software, the normal computer hardware and system software, and special-purpose hardware and software.

Consideration must be given to systems that allow customization based on the hardware platform and operating system chosen by the user. As new technologies are developed to increase the level of data integrity, the CMS must be designed to take advantage of or at least allow the use of these improvements.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Security</b>			
8.1.1 allow access based on authorizations defined, maintained, and controlled by users (e.g., probation supervision function determines access levels for individual staff)		<b>X</b>	
8.1.2 provide ability to restrict local and remote access to certain cases, classifications of cases, and parts of cases (e.g., access to sealed cases, victim identification) by specific system functions, users, and groups of users in accordance with rules, statutes, or court orders (includes active, inactive, and archived cases)		<b>X</b>	
8.1.3 provide audit trails and reports that show which users and workstation locations logged on to system during specified period	<b>X</b>	<b>X</b>	
8.1.4 maintain and produce audit trail and reports of file additions, modifications, deletions, and rejected transactions	<b>X</b>	<b>X</b>	
8.1.5 provide secure passwords for users		<b>X</b>	
8.1.6 allow separate security options for creation and maintenance of probation officers' notes for privileged viewing only in accordance with federal, state, and local statutes, rules, and procedures		<b>X</b>	
8.1.7 provide ability for user to designate confidential information such as probation officers' notes and victim and witness information in notices and other documents		<b>X</b>	
8.1.8 suppress inclusion of user-designated confidential information in reports and schedules		<b>X</b>	
<b>Integrity</b>			
8.2.1 provide on-screen prompts, tutorials, and help screens to assist users in the entry of correct information codes		<b>X</b>	
8.2.2 perform locally defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data	<b>X</b>	<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
8.2.3 provide for disaster recovery by system administrator (e.g., reconstruct status of system and its case management and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed and system to be restarted)		<b>X</b>	
8.2.4 provide for internal or external file backups at any time by system administrator	<b>X</b>	<b>X</b>	
8.2.5 ensure clarity of all system-generated messages (e.g., full explanation of inputs that fail edit or data validation tests)	<b>X</b>	<b>X</b>	
8.2.6 allow for merge and unmerge of files containing information on the same offender		<b>X</b>	
8.2.7 ensure that CMS complies with current data exchange standards (e.g., XML)	<b>X</b>		<b>X</b>
8.2.8 provide ability to retrieve and restore archived data upon request		<b>X</b>	
<b>File Archival, Retrieval, and Destruction</b>			
8.3.1 identify cases to be archived and later destroyed in accordance with federal, state, and local statutes, rules, or procedures	<b>X</b>	<b>X</b>	
8.3.2 identify cases to be retained permanently in accordance with federal, state, and local statutes, rules, or procedures		<b>X</b>	
8.3.3 retain information from inactive, archived, destroyed, or purged cases as needed for related cases that remain active and to retain summary information based on federal, state, and local statutes, rules, or procedures (e.g., indexes) on active or inactive files		<b>X</b>	
8.3.4 produce reports showing cases that will be or have been archived, stored, sealed, or expunged		<b>X</b>	
8.3.5 provide ability to seal or expunge files when ordered by the court		<b>X</b>	

## **ANCILLARY FUNCTIONAL GROUP**

The functional group is the highest level of the structure comprising probation operations. The ancillary designation identifies functional groups that describe operations that may not be practiced in every probation department or agency and are thus not necessarily included in every CMS. It is recommended that probation agencies consider adding these Ancillary functional groups and their standards as part of their CMS. Including the File and Document Management and Integrated Criminal Justice Information Systems functional groups will enable a probation organization to utilize their resources more efficiently and effectively. The Financial functional group provides standards for those probation organizations that must provide their own financial services. A financial system may be part of the CMS or tightly integrated as an adjunct application.

The core functional groups (Case Processing and Management) were divided into functions such as case initiation and case planning, and standards were generated for each function. The ancillary functional groups are not divided into functions, and standards have been generated that are applicable at the functional group level. Ancillary functional groups include:

- File and Document Management
- Integrated Criminal Justice Information Systems
- Financial

### **Suggested Data Groups**

The following data groups and their respective data elements are suggested as applicable to most organizations for ancillary functional groups. Further definition of these data groups is in Appendix A. In the event that a data group is not acceptable for use in your organization, please modify with your specific or locally defined data group.

- Person
- Case
- Event
- Financial
- Document and Report Generation

### **9. File and Document Management Functional Group**

This functional group includes creating, storing, managing, tracking, archiving, and disposing of manual, electronic, and imaged case files and managing electronic and imaged documents gathered or created by probation relative to its cases. Within the context of this document, file management includes the tracking of case files stored either manually or on electronic media (e.g., magnetic and optical disk).

Case files must be tracked from the time the case is initiated until the files are destroyed. For manual files, this means tracking their physical location during their entire life cycle as active, inactive, archived, and destroyed files. Since multiple users can access electronic files concurrently with no movement of physical files, tracking the physical location of electronic files is relevant only when their storage medium (e.g., magnetic or optical disk) has been moved to an off-line facility (e.g., separate storage location for disks containing archived records).

These functional standards generally apply to imaged files without delving into the specifics of an imaging operation (e.g., scanning, retrieval, storage), but they do not assume an imaging capability because that is related technology and not a mandatory case management function.

Document management includes the input and output, indexing, storage, search and retrieval, manipulation, maintenance, protection, and purging of electronic and imaged documents. Some document management systems may provide advanced capabilities (e.g., imaged mug shots or photographs and automated fingerprints) in the above functions as well as additional features such as document version control and workflow for document routing to specific workstations. At least rudimentary document management capabilities must exist either in the CMS or in a separate document management system that can interface with the CMS.

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

The normal progression of case files, both electronic and manual, through the case management cycle requires movement from an active to an inactive status. Depending on variations in local rules, the manual files are then archived and, perhaps, stored off-site for an indeterminate amount of time. While files may be stored off-site or simply removed from active status in the case of most electronic files, most probation agencies retain some type of summary or abstract of the case that will provide answers to inquiries or facilitate the retrieval of the entire case file if necessary. When a file, manual or electronic, is ordered expunged, that file must be handled in accordance with state and local statutes, rules, and procedures.

Document management in this section addresses the rudimentary document management capabilities for electronic and imaged documents (with the proviso that these functional standards do not assume an imaging capability) received from sources such as electronic filing, the Internet, local or remote scanners or facsimile machines, and case management and word processing systems. The documents include the internally generated forms, letters, and brief reports.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>File Tracking</b>			
9.1.1 generate identifier labels for manual case files		<b>X</b>	
9.1.2 generate indicators (e.g., color coded labels for manual files) to indicate special status (e.g., restricted access, sex offender)			<b>X</b>
9.1.3 generate indicators (e.g., color coded icons for electronic files) to indicate special status (e.g., restricted access, sex offender)		<b>X</b>	
9.1.4 maintain current location (e.g., storage facility, location in facility, person) for hard copy files		<b>X</b>	
9.1.5 track manual (including multi-volume) case file history from time checked out through each borrower (including those external to probation supervision such as the court) until returned. Information should include location, borrower, date removed, reason file needed, date returned or transferred, and any other necessary information			<b>X</b>
<b>Document Management</b>			
9.2.1 support input, output, storage (including indexing or an equivalent capability), and searching for and retrieval of electronic and imaged documents		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
9.2.2 provide capability to toggle between views of several different documents		<b>X</b>	
9.2.3 provide seamless integration with document management system that is separate from the CMS		<b>X</b>	
9.2.4 provide ability to route and track electronic documents throughout the probation agency			<b>X</b>
9.2.5 provide equivalent security for contents of document management system as exists elsewhere in the CMS		<b>X</b>	

## **10. Integrated Criminal Justice Information Systems (ICJIS) Functional Group**

This section outlines the standards associated with the exchange of information between the CMS, the courts, court support units, CJ agencies, and Non-CJ agencies. Integration allows participating agencies to share offender and case information electronically. It is not necessary that all data be duplicated in each participating agency's computer system, but rather that data be accessible when needed.

In keeping with the approach used throughout this document, this section assumes the CMS is or will be a part of an ICJIS. As the CMS is just one phase in the ICJIS process, all attempts should be made to ensure that the system and interfaces are developed in a manner that will permit the CMS to evolve into an equal partner of a fully functional ICJIS.

With the latest advances in technology, there is an enhanced interest in the exchange of information between justice partners moving toward a paperless environment. Any serious analysis of integration at any level will evaluate the paperless environment as a credible option. Further, there are sound and measurable business reasons to embrace and implement an ICJIS solution. They include the following:

- A simplified non-redundant method of capturing data at the point of origin will save time and resources, and it will improve the accuracy of information for all participating criminal justice agencies, thus allowing time and resources to be deployed appropriately.
- It will provide information to assist in holding defendants or offenders accountable.
- It will improve decision making and increase agency accountability.
- The positive identification of the offender will promote the accurate maintenance of all criminal justice system participants' information.
- A common access, query, and extraction of any agency's data will improve the completeness and timeliness of getting information for the public and to criminal justice partners whose personal safety depends on the receipt of timely and accurate information in the field. This data drives the decision-making process and is invaluable in the allocation of resources.
- A shared data environment will enhance the accuracy and compatibility of data at all agencies.
- The use of electronic funds transfers for the receipt, accounting, and disbursement of fines, fees, and restitution can simplify the previously manual processes and provide for

more timely and accurate audit trails of financial information and funds that must be managed.

### **Information Coordination**

Criminal justice support activities within probation include the court processes, pretrial services, law enforcement, case initiation, presentence investigation, and the ongoing supervision operations within the probation agency. There is a need to exchange information electronically between Non-CJ agencies (e.g., social services) and private organizations (e.g., treatment and program providers) which provide support services. Each participating agency has specific needs with regard to case management that are outside the scope of the CMS.

Although there are individual agency needs supported by multiple and separate systems, the level of integration should be such that the existence of multiple or separate systems is transparent to the user. Examples of some functions that would be integrated are:

- The electronic transfer of information from law enforcement and the courts would allow the establishment of the CMS files on the individual for case initiation.
- Case planning would benefit from the electronic transfer of information between court support units, other CJ agencies, and Non-CJ agencies as necessary.
- Integration would allow the probation agency to electronically transfer pretrial, presentence, violation of probation (VOP), and other reports directly to the courts, court support units, CJ agencies, and Non-CJ agencies as required.
- Automated exchange of scheduling information allows for more efficient resource management for all ICJIS participants.
- The electronic transfer of monitoring and compliance information allows for the creation of documents and sharing of case file information as required between courts, court support units, CJ agencies, and Non-CJ agencies to ascertain offender/defendant compliance/noncompliance.
- Automated exchange of Financial Functional Group data will supply fine, fee, restitution payment, accounts, and other information to ensure proper disbursement of funds received and notification of any payment noncompliance.
- Case close functions operate in conjunction with the computer systems of courts, court support units, CJ agencies, and Non-CJ agencies to establish and notify of completion of sentence.
- The Security and Data Integrity functions interact with all other functions to ensure data validity and integrity.

### **CMS Integration**

The integration of a CMS to other required applications that comprise what is generally considered an ICJIS will require significant analysis and planning to identify the requirements necessary to exchange information electronically. Each CMS function covered in this document should interact with other CMS functions in a completely integrated fashion, with minimal or no manual intervention except when the user executes an override.

In order to implement electronic information exchange, probation agencies must establish exchange procedures (e.g., communications and networks; user computer equipment and

software; interchange computer or “mailbox;” user directories; file or document transfer, email, or both; and message content and naming). The CMS must be compatible with these procedures and should conform to applicable standards agreed upon by the courts, court support units, CJ agencies, and Non-CJ agencies desiring to exchange information electronically.

CMS functions should be automatic to the extent possible, but the system should never be allowed to perform functions that would be contrary to the interest of the probation agency (e.g., automatically clear a warrant when the offender has been arrested without probation user validation).

The integration among multiple agencies requires comparison and matching of the different individual identifiers and other information (e.g., case numbers, personal identifiers). The system should allow for an offender with multiple identifiers to be recognized as the same individual where resulting criminal justice actions can be tracked from initial filing or arrest through completion of sentence.

To successfully implement an ICJIS, participating agencies must agree on a method of uniquely identifying the individual that is consistent with the use of identity verification, and personal identifiers should be consistent with NCIC standards listed in FBI CJIS EFTS or its subsequently updated publication(s), as well as other standards (e.g., XML). Integration should also prevent redundant entry and accommodate audit trail management to ensure the accuracy and completeness of data as well as the ability to locate the agency responsible for data maintenance.

Probation agencies must allow for the distribution of electronic documents and reports (e.g., pretrial and presentence reports, judicial orders, electronic acceptance notices, warrants, other types of notices). While a rudimentary capability would permit the electronic viewing of documents, the recipient may require advanced capabilities (e.g., extracting XML tagged data elements of the CMS for use by courts, court support units, CJ agencies, and Non-CJ agencies).

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>ICJIS Interfaces - General</b>			
10.1.1 initiate case upon acceptance of electronic transfer of information and provide for additional manual data entry	<b>X</b>	<b>X</b>	
10.1.2 allow electronic transfer of information from law enforcement and criminal history repository(ies) based on mutually agreed upon unique individual identifiers	<b>X</b>	<b>X</b>	
10.1.3 allow electronic transfer of warrants and other alerts from and to federal, state, and local law enforcement	<b>X</b>	<b>X</b>	
10.1.4 support electronic transfer (e.g., directly from court, other CJ agencies and Non-CJ agencies) of information, including modification orders, test results, and other documents	<b>X</b>	<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
10.1.5 receive and provide ability to reconcile individual identification information including noncitizen enhanced identification information from each participating criminal justice agency, verify information for case initiation of an offender from the identification perspective of law enforcement, prosecutor, grand jury, court, and defense attorney		<b>X</b>	
10.1.6 allow for multiple numbering and index systems required by different participating criminal justice agencies (e.g., SID, PID, federal, state, and local criminal history numbers, family identification number)		<b>X</b>	
10.1.7 receive documents from court with reply acknowledging receipt	<b>X</b>	<b>X</b>	
10.1.8 receive notice of expunged records, sealed cases, and special access information from all appropriate agencies	<b>X</b>	<b>X</b>	
10.1.9 receive from appropriate agency, credit for time served or excludable based on court order	<b>X</b>		<b>X</b>
10.1.10 receive from appropriate agency, monetary penalties (e.g., fines, fees, restitution) based on court order	<b>X</b>		<b>X</b>
10.1.11 receive from appropriate agency, nonmonetary provisions (e.g., work program, community service, service restitution) based on court order	<b>X</b>		<b>X</b>
10.1.12 provide for the electronic receipt and storage of generated documents (i.e., arrest information, warrants and other served documents, drug test failures, rescheduled and canceled events, defense attorney appointment, and other types of documents) from courts, court support units, CJ agencies, and Non-CJ agencies			<b>X</b>
10.1.13 generate client-centered report on offender criminal activity summary (prior arrests and convictions, aliases, duplicate identifiers)	<b>X</b>		<b>X</b>
10.1.14 generate case and offender information on maintenance and administration, release, termination pursuant to court orders, forfeitures, detail and summary status, audit trails, noncompliance of pretrial intervention or supervision requirements, and history (including offender name, case number)	<b>X</b>	<b>X</b>	
10.1.15 provide ability to transfer statistical and case data to administrative agencies electronically			<b>X</b>
10.1.16 produce statistics on transactions received, transactions accepted, transactions rejected over specific time period	<b>X</b>	<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Audit Trail Management</b>			
10.2.1 track changes in case numbers, individual identifiers, and other identifiers		<b>X</b>	
10.2.2 track changes in modified, amended, or dismissed charges from point of arrest or initial filing through disposition		<b>X</b>	
10.2.3 track and maintain location, reasons for issuance and resolution, and status of all warrants for all defendants or offenders in the CMS		<b>X</b>	

## **11. Financial Functional Group**

### **General Accounting**

This section covers the activities necessary to satisfy the probation agency's responsibilities for the tracking, collection, and disbursement of offenders' financial obligations. These duties may include receipt of funds, posting case-related funds to a case fee record, posting non-case-related funds to other types of records, maintaining account records, billing, producing payment agreements, producing documents required for collection activities, reconciling CMS records to bank accounts, disbursement of funds, and producing documents required to satisfy local, state, and federal auditing agencies.

Organizationally, the accounting functions may be divided between the administrative case processing staff, a finance unit, an adjunct executive branch agency (e.g., county finance), or a court administrative office. Computer systems, in addition to performing the CMS functions prescribed in this document, may support some or all of the accounting functions. These standards address the functions that should be performed in the overall probation agency or the administrative agency supporting the probation supervision function.

Due to the business requirements of most probation agencies and their administrative support agencies, the interface between computer systems must be such that, from the users' perspective, they operate as if they were a single system. The accounting sections given below note only the most significant interfaces within the accounting functions and between the accounting functions and the other case processing functions.

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>Financial - Case Processing</b>			
11.1.1 comply with Generally Accepted Accounting Principles (GAAP) for governmental entities (which implies courts or state must define the applicable GAAP)		<b>X</b>	
11.1.2 provide appropriate security and authorization for all accounting functions including secure passwords for each user		<b>X</b>	
11.1.3 accept electronic documents from outside agencies	<b>X</b>	<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
11.1.4 allow manual entry of case note information upon receipt of notification of fee payment by offender to outside agencies		<b>X</b>	
11.1.5 allow authorized user to adjust or correct any data supplied automatically by system prior to posting (e.g., default entries) and provide audit trail of these transactions		<b>X</b>	
11.1.6 support trust fund (i.e., moneys held in trust that may be disbursed upon court order and probation records adjusted accordingly) and track receipts, disbursements, and the current account status		<b>X</b>	
11.1.7 prevent financial transactions from being dated and posted to closed accounting period		<b>X</b>	
<b>Receipting - Funds Collection</b>			
11.2.1 associate payment with proper case and offender when funds are collected		<b>X</b>	
11.2.2 allow full, partial, and installment payments by various methods (e.g., cash, check, credit card, fee waiver, electronic funds transfer, lock box) in accordance with federal, state, and local statutes, rules, or procedures		<b>X</b>	
11.2.3 allow multiple types of payments in single transaction (e.g., cash, check, credit card, fee waiver, electronic funds transfer, lock box)		<b>X</b>	
11.2.4 allow single payment for multiple cases with capability to process separately for each case		<b>X</b>	
11.2.5 allow transfer of funds from one case to another case or between accounts in a given case with full audit trail		<b>X</b>	
<b>Receipting - Receipt Generation</b>			
11.3.1 generate and produce receipts with proper identifiers (e.g., fee, fine, restitution code; location and address) and supporting information (e.g., amount collected, payment type, installment or partial payment plan, next due date and balance) based on collections with user option to receive single or multiple copies		<b>X</b>	
11.3.2 generate and distribute electronic receipts for electronic payments		<b>X</b>	
11.3.3 generate and print (including ability to reprint) receipts with unique, locally defined, sequential receipt numbers		<b>X</b>	
11.3.4 generate and print (including ability to reprint) multiple receipts from one financial transaction covering payment for multiple cases or purposes		<b>X</b>	
11.3.5 generate and print (including ability to reprint) either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
11.3.6 permit receipts to be reprinted (e.g., if printer malfunctions during printout) with same receipt numbers		<b>X</b>	
<b>Receipting - Cashier Close Out</b>			
11.4.1 maintain front-counter bookkeeping information on receipts (e.g., payer, receipt number, case number, purpose of payment)		<b>X</b>	
11.4.2 compute totals, list transactions, and balance for each cash drawer, register, cashier, and payment type (e.g., fee, fine)		<b>X</b>	
11.4.3 list contents of each drawer (e.g., cash, check, credit card, fee waiver, electronic funds transfer, lock box)		<b>X</b>	
11.4.4 produce summary for each cashier including totals for each type of payment (e.g., cash, check, credit card, fee waiver, electronic funds transfer, lock box)		<b>X</b>	
11.4.5 permit individual cashiers to open and close as needed (e.g., when several cashiers work different shifts at same register during same day)		<b>X</b>	
11.4.6 allow for suspension of cashier operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		<b>X</b>	
11.4.7 permit transactions that arrive after end-of-business-day close-out to be entered as transaction for next day		<b>X</b>	
<b>Receipting - Cashier Management</b>			
11.5.1 list (as required) any discrepancies between payments, receipts, offenders, and cases over specific periods for each cashier for whom summary shows imbalance for any type of payment		<b>X</b>	
11.5.2 permit payments to be voided and corresponding adjusting entries to be made before daily balancing with proper security provisions		<b>X</b>	
11.5.3 allow supervisor to make adjusting entry to correct payment type or amount (e.g., cash, check, credit card, fee waiver, electronic funds transfer), with proper security provisions		<b>X</b>	
11.5.4 prohibit modification of receipt number sequence (except with proper authorization) and provide audit trail of receipt number usage		<b>X</b>	
11.5.5 produce summary reports for each cash drawer, cash register, and cashier		<b>X</b>	

## Accounting - Bookkeeping

This section covers the financial record keeping and reporting functions commonly performed at the end of an accounting period (e.g., monthly) and the ongoing functions associated with period-end activities. These functions include maintaining account, case, and person financial records; conducting funds transfer and other financial transactions; interfacing with receipting activities to exchange account and other financial information; and producing reconciliations, statements, reports, and other documents.

The Bank Account Management functional standards address the activities associated with establishing, maintaining, and tracking bank accounts and performing ancillary tasks such as accruing interest, reconciling accounts, and producing journals and reports. These functional standards address accruing interest only at the level of bank accounts, not at the lower levels of the case, offender, and other accounts subsumed in bank accounts.

The Case Account Management functional standards address the activities associated with establishing, tracking, and maintaining case and offender accounts; establishing payment schedules and processing installment and other types of payments; posting transactions to case and offender accounts; and producing reports and other documents related to case and offender account management.

The Administrative functional standards address the activities associated with generating the various listings and reports that document and coordinate financial activities (e.g., transactions, reconciliations, audit trails) over specific periods (e.g., daily, weekly, monthly, quarterly, annually).

The General Ledger functional standards address the activities associated with maintenance and transfer of financial information between the CMS and the agency that provides administrative support or supervision of the probation agency.

Standards	Auto	Core	Rec.
<b>Bank Account Management</b>			
11.6.1 establish, maintain, and track various types of bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through)		X	
11.6.2 post interest accruals to bank accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts); associate accruals with proper bank account		X	
11.6.3 print system-wide daily cash receipts journal		X	
11.6.4 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, interest accruals, voided transactions listed by type or chronologically) for specific accounts over specific periods (e.g., daily, monthly, for life of case)		X	
11.6.5 calculate and record bank deposits		X	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
11.6.6 list bank deposits in various groupings (e.g., totals for cash, check, credit card, electronic funds transfer) showing account in which funds are to be deposited		<b>X</b>	
11.6.7 print (including ability to reprint) bank deposit slips for specific banks and periods		<b>X</b>	
11.6.8 accommodate reconciliation between probation financial records and bank records for specific periods and produce report giving discrepancies for all reconciliations		<b>X</b>	
11.6.9 produce list of items that remain open for accounts that carry balance forward from one period to next period		<b>X</b>	
11.6.10 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period		<b>X</b>	
11.6.11 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits		<b>X</b>	
11.6.12 receive bank statements and reconcile bank accounts electronically		<b>X</b>	
<b>Case Account Management - General</b>			
11.7.1 allow flexible, user-defined and -maintained account structure that permits funds to be distributed to appropriate victims based on court order (e.g., restitution, joint and several liability)		<b>X</b>	
11.7.2 allow placement of hold on disbursements of received funds (offender payments) until case circumstances are verified (e.g., funds are cleared, victim is located)		<b>X</b>	
11.7.3 compute and produce costs and fees based on occurrence of specific event (e.g., drug testing fees)		<b>X</b>	
11.7.4 maintain standard tables for costs, fees, and fines		<b>X</b>	
11.7.5 account for refund (account adjustment) due to overpayment		<b>X</b>	
11.7.6 share information with outside agencies to coordinate collection of court-ordered payments (e.g., to recover previously waived fees, to initiate tax intercept, lottery winnings)		<b>X</b>	
11.7.7 identify existence of fee waivers or deferrals, display message (e.g., fee waiver or deferral reason)		<b>X</b>	
11.7.8 record funds collected from other state, local, and private agencies for payment of specific case and offender costs and fees		<b>X</b>	
11.7.9 record changes to accounting records that result from court orders (e.g., change in monthly restitution amount) and modify appropriate records		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
11.7.10 post case- or offender-related receipts to accounting records, associate receipts with proper case, offender, and account		<b>X</b>	
11.7.11 apply correcting entries without changing or deleting previously recorded transactions, record and store adjusting financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization		<b>X</b>	
11.7.12 produce detailed and summary lists of financial transactions (e.g., fee, fine, restitution receipts, court cost assessments, fee assessments, monetary judgments, and voided transactions) for specific cases and defendants over specific periods (e.g., daily, monthly, for life of case)		<b>X</b>	
11.7.13 generate and print invoices for and document collection of all moneys		<b>X</b>	
11.7.14 produce documents such as payment notices		<b>X</b>	
11.7.15 mark case or defendant account closed or some other designator (e.g., inactive)		<b>X</b>	
11.7.16 provide capability to adjust receivables (e.g., write off uncollected debt when offender dies)		<b>X</b>	
11.7.17 generate other periodic financial reports based on various criteria including at minimum account aging, audit trail, and journal reports		<b>X</b>	
11.7.18 create payment schedule, collect payments, apply payments collected to scheduled amount due (e.g., amount in judgment), and produce reports on overdue amounts (e.g., for previously waived fees)		<b>X</b>	
11.7.19 identify (i.e., input or compute) and record payment delinquencies, generate alerts when scheduled payments are not made (e.g., for unpaid assessments now due), and take or prompt user to take appropriate action (e.g., refer to collection agency, or notify appropriate court and judge)		<b>X</b>	
11.7.20 provide summary financial status for all cases managed including projected collection amounts in aged trial balance format		<b>X</b>	
<b>Case Account Management - Disbursement</b>			
11.8.1 allow flexible, user-defined and -maintained account structure that permits funds to be disbursed to appropriate case cost types and other accounts (e.g., city, county, state, victims)		<b>X</b>	
11.8.2 allow electronic authorization and disbursement of funds to recipient bank accounts		<b>X</b>	
11.8.3 provide information for disbursement of undistributed, unclaimed, or forfeited moneys (e.g., unredeemed checks for moneys paid), update ledgers, and produce reports (e.g., for each check not negotiated over specific period)		<b>X</b>	

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
11.8.4 produce separate reports for specific periods showing restitution received and moneys disbursed (by recipient) for each case or offender		<b>X</b>	
11.8.5 allow posting of non-case-related receipts and disbursements (e.g., for copies) to accounting records and associate with proper account		<b>X</b>	
11.8.6 allow allocation of all funds received (to be disbursed to appropriate recipient) according to predefined formulas in compliance with federal, state, and local statutes, rules, or procedures		<b>X</b>	
11.8.7 produce report showing allocation formula for disbursing moneys to other state, local, and private agencies over specific period, moneys disbursed, and how formula was used to compute allocation		<b>X</b>	
11.8.8 initiate, print, and disburse sequentially numbered checks periodically or on demand, stop check-printing process, void checks, identify and process outstanding checks, identify and process checks that have cleared, report on above transactions, and record in check register		<b>X</b>	
11.8.9 allow disbursements to be batched to accommodate state and local disbursement frequency (e.g., checks printed immediately, weekly, monthly, only for a minimum amount, only for full amount)		<b>X</b>	
11.8.10 produce pre-check register (to view checks prior to printing register) and check register over specific period		<b>X</b>	
<b>Administrative</b>			
11.9.1 for specific periods: produce separate reports showing (1) cases and defendants for which payments (e.g., fees, fines, restitution) were collected, no payments were collected, fees were waived, no payments were due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case or offender		<b>X</b>	
11.9.2 produce report containing information on fees waived and associated payments		<b>X</b>	
11.9.3 produce ad hoc lists arranged according to user-selected criteria for financial transactions (e.g., fees, fines, and other receipts by date, type, person)		<b>X</b>	
11.9.4 create positive pay file of check numbers and amounts and send to bank			<b>X</b>

<b>Standards</b>	<b>Auto</b>	<b>Core</b>	<b>Rec.</b>
<b>General Ledger</b>			
11.10.1 create and maintain system-defined and user-customized chart of accounts		<b>X</b>	
11.10.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries		<b>X</b>	
11.10.3 reconcile and balance all accounts		<b>X</b>	
11.10.4 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts		<b>X</b>	

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# **Appendix A**

## **Data Groups**

When defining the requirements of an automated CMS it is helpful to define the data structure and show relationships with other information or data. Data groups identify a category of information that is common to both functional groups and functions. These data groups consist of compilations of like information that have a specific relationship, e.g., the person data group identifies any and all of the individuals that can be involved with a case.

Each data group consists of one or more pieces of data that normally would be part of the probation CMS. The data groups listed here may not be a complete list for your jurisdiction and in that case must be modified or expanded to accurately represent your jurisdiction's needs. It is the reader's responsibility to define their organizations' data groups and develop detailed data standards and a comprehensive data dictionary for each probation application during the system definition and design phases.

Although the probation CMS may be initiated as a stand-alone system, the CMS should be able to exchange information with the courts, CJ agencies, and Non-CJ agencies. The Integrated Criminal Justice Information System (ICJIS) Functional Group section provides appropriate ICJIS data groups and functional standards that pertain to the most rudimentary ICJIS interfaces. It is assumed that the probation CMS is or will be a part of an ICJIS that will share information electronically.

The data groups required for the interfaces among the participating criminal justice agencies generally include data that may be passed from one or more of the participating CJ agencies or Non-CJ agencies. Please keep in mind that there will be some standards and data groups that your jurisdiction requires, but are not included in this document (you will have to add them), and some standards and data groups that will not apply to your jurisdiction and therefore must be removed.

The CMS contains information (data groups) that relate to each of the following:

- Person
- Case
- Event
- Financial
- Document and Report Generation

### **Person**

The person data group contains information on persons associated with a case. Listed below are the 10 defined individuals that constitute this group. Information required on each includes name, address(es), phone number(s), and other information appropriate to identify and contact the individual/agency.

- Co-defendant
  - Defendant
  - Defense attorney
  - Judge
  - Offender
  - Participant
  - Probation officer
  - Prosecutor
  - Victim
  - Witness
- Co-defendant -- the individual within a group of two or more individuals alleged to have participated in the commission of a criminal offense.
  - Defendant -- the individual alleged to have committed the criminal offense or the individual adjudicated guilty of a criminal offense. This group includes U.S. citizens, foreign nationals, and illegal aliens.

Data on each offender should include all information necessary to positively identify the individual, with cross references to other pertinent information as required. The use of biometric identifiers and personal identifiers consistent with National Crime Information Center (NCIC) demographics standards listed in FBI CJIS EFTS (Electronic Fingerprint Transmission Specification) or its subsequently updated publication(s) is very desirable. The specifications can be accessed at <http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm>. Additional specifications are available from the Joint Task Force on Rap Sheet Standardization and these can be accessed at <http://www.nlets.org> in the downloads section.

As listed in the FBI CJIS EFTS, these mandatory information fields should be included when known: originating agency identifier, name, sex, race, height, weight, hair color, offense code, (date of offense, warrant, or violation), originating agency case number. In addition, these optional information fields should be included when known: place of birth, date of birth, eye color, skin tone, scars, marks, tattoos, and other characteristics, fingerprint classification, warrant number, court identifier, social security number, FBI number, State Identification Number (SID), Personal Identification Number (PID), and photograph.

Statewide and other jurisdictional identifiers on each offender should be included where available, including: prosecutor, defense attorney, corrections/probation officer; known address(es); custody status; prior arrests, convictions, and other criminal history data; and cross references as appropriate.

- Defense attorney -- the law-trained and licensed individual or firm (including public defenders) charged with the responsibility for protecting the legal rights of the individual defendant or offender. If authorized by law or the court, the term defense attorney may include a nonlawyer citizen acting as attorney-in-fact for the defendant or offender.

Information on each defense attorney should include name, type (e.g., private attorney, public defender), firm name, location(s), email address, telephone and fax numbers, and other information, with cross references to other data or cases as appropriate.

- Judge -- an elected or appointed public official, charged with the responsibility for conducting cases, controlling proceedings, and deciding questions based on statutory law or discretion. (In this document, the term judge includes judges, magistrates, and other judicial officers.)

Include the following information on each judge: identifier, name, assignment, assignment history, status, and other information with cross references to data on other cases.

- Offender (post-adjudication) -- the individual adjudicated and sentenced. This definition includes U.S. citizens, foreign nationals, and illegal aliens. (See Defendant.)
- Participant (including participating CJ agencies and Non-CJ agencies) -- an individual or organization that is a contributor in these processes or proceedings, or provides information or services directly connected to this probation case. These individuals can include court staff as well as personnel from other CJ agencies (e.g., pretrial intervention, pretrial services, law enforcement, corrections), and personnel from Non-CJ agencies (e.g., advocacy groups, employer, credit agency, social services, support units, translator).

Include information on the individual, their organization or both; name, type of participant, address(s), and appropriate cross references to case, other participants, financial, and other information as required.

- Probation officer -- the individual charged with and having the responsibility for conducting investigations of offenders and preparing reports to the court, providing court ordered supervision, maintaining records, and preparing and presenting reports to the court pertaining to the offender's compliance and progress, or lack thereof.
- Prosecutor -- an elected or appointed official, representing the government, and charged with the responsibility of pursuing legal remediation regarding the crime(s) with which the defendant is charged, or for which the offender has been adjudicated and sentenced in a court of law. The term prosecutor may include a private citizen who is authorized to perform this legal function by state law.

Information on each prosecuting attorney should include name, type, government entity, location(s), email address, telephone and fax numbers, and other information, with cross references to other data or cases as appropriate.

- Victim -- the individual(s) alleged to have been harmed by the offender in this case at law.

Information should include name, address(es), phone number, and other information appropriate to identify and contact the individual. Information on victims should be kept in a way that protects confidentiality, especially in cases of domestic violence.

- Witness -- the individual(s) who has information or evidence to present (or has presented) regarding the offender.

Information should include name, address(es), phone number, and other information appropriate to identify and contact the individual.

## **Case**

This data group consists of the court and probation case information, and the specific performance requirements for probation that eventually terminate the case. Information typically included in the case data group includes:

- Case -- includes action that initiated the probation case and maintains information on each case such as case number, type, status, court, and cross references to person and other data.
- Charges -- data on each charge and count within the charge for a given offender including incident information; arresting agency, statute, fingerprint, and other identifiers; offense date, time, and location; arrest, booking, and custody information; fingerprint identifier; modifications; and court case disposition information.
- Conviction -- data on adjudicated charges and counts within each charge for a given offender.
- Sentence -- data on a disposed or adjudicated case resulting from a court decision that identifies the remediation ordered by the judge including restitution, incarceration, suspended sentence, fine, probation, work program, mandatory urinalysis (or other drug testing/screening), sentencing dates, probation stipulations, sentence start date and duration, time served or excludable as of current date, and consecutive or concurrent sentences with respect to other charges and counts.
- Disposition -- data on each disposed or adjudicated case including offender, charge and count, date of disposition, and cross references to other case information.

## **Event**

This data group consists of information on past and future actions in a case and typically includes:

- Interviews -- data on any type of personal contact activity planned or performed by the probation agency regarding individual probationers.
- Violations of probation -- data on compliance failure that leads to VOP or other probation sanction.
- Scheduled events -- data on each scheduled occurrence (interviews, deadlines for submission of documents, scheduled completion of diversion programs, restitution payment dates) including identification of the event; date, time, and location of the event; participants in the event (e.g., defendant, offender, witnesses, translator); security and data integrity requirements; activities initiated by the event (e.g., forms and subsequent events); periods associated with the event (e.g., deadlines for form issuance or initiation of next event); and cross references to case, hearing, and other information.

- Warrants and other served documents such as summonses and subpoenas -- case management applications must allow access to information regarding the specifics and status of all such documents.

## **Financial**

This data group consists of a single, all-inclusive data group: the financial data group. It contains information on financial activities in a case such as payments, financial obligations, and accounting activities including single (e.g., fees, fines) and installment payments (e.g., restitution), payment schedules and plans, payment collection methods, payment satisfaction (e.g., certificates of satisfaction of sentence conditions), general ledger accounting, trust fund accounting, and fund distribution with cross references to case, offender, other participant, disposition, and other activities. Included in the financial data group are:

- Fees -- court ordered fees (e.g., intervention programs, routine urinalysis or other drug testing/screening, electronic monitoring) to be paid by the offender.
- Fines -- court ordered fines (e.g., aggravating circumstances of offense) to be paid by the offender.
- Restitution -- court ordered restitution to be paid and remitted to the victim(s) for adjudicated damages.

## **Document Generation**

This data group consists of information on official court documents received and maintained and probation agency documents created and maintained.

- Orders -- intermediate or final judicial directions and prescribed actions directed to the probation supervision function that specifies action to be taken or compliance required by those parties to perform their duties in regard to the offender.
- Summonses, warrants, subpoenas, and other served documents -- data on each served process (i.e., documents served by law enforcement officer, probation officer, or other authorized process server with return of service) including type of process, recipient, method of service, date of service, return of service, other status data, and cross references to case, participant, and other information.
- Forms and other documents issued or used by probation -- data on each such document (i.e., documents given to an individual or sent by mail with proof or certificate of service such as notices) including type of document, recipient, proof or certificate of service, information on scheduled event, status and status date, and cross references to case, participant, and other information.
- Reports and management information -- detail (e.g., case-by-case) and summary (e.g., aggregate information for all cases in a given category) reports with cross references to all of the above data groups.

## Appendix B

### Glossary

Certain terms are defined here for the purpose of clarity. In the event our use of a specific term is not acceptable for your organization, please modify it with your specific or locally defined term prior to releasing your RFP.

#### Abbreviations

APPA	American Probation and Parole Association
CJ	criminal justice
CMS	case management systems
EFTS	electronic fingerprint transmission specification
FBI	Federal Bureau of Investigation
GAAP	Generally Accepted Accounting Principles
ICJIS	integrated criminal justice information system
NCIC	National Crime Information Center
Non-CJ	non-criminal justice
PID	personal identification number
RFP	request for proposal
SID	state identification number
SSN	social security number
VOP	violation of probation
XML	Extensible Markup Language (data and document exchange tagging)

#### Definitions

**Automated case management system.** An automated case management system provides a method to track the progress of offenders and furnish probation officers with the information needed to manage probation cases and provide management with information necessary to manage staff caseload. Additional information can be maintained on community work programs, counseling programs, and other services in order to provide statistics for administrative purposes.

**Assessment.** To evaluate an offender with respect to public risk, offender needs, and the likelihood of his/her reoffending using a consistent and approved methodology.

**Case.** A single criminal prosecution involving one or more charges linked to one defendant.

**Case close.** Concluding a case (e.g., ceasing probation activity on a case because of any of several possible reasons including satisfaction of all provisions of the court order, the period of supervision has ended, the offender has died, the offender has absconded).

**Case initiation.** Initially entering new cases that have been received, assigned, transferred, or reopened in a case management system.

**Case notes.** The ongoing record of probation activities associated with an offender.

**Caseflow.** The process by which a case moves through probation, represented in Figure 1 of this document.

**Caseload.** The offenders being supervised or managed by a probation officer or probation agency regardless of the number of actual court cases.

**Compliance.** Conformity or fulfillment of all or part of sentence and supervision conditions.

**Conviction.** Data on the guilty adjudication of specified charges and counts within a case for a given offender.

**Custody.** The detention of an individual by lawful process or authority.

**Disposition.** Data on the completion of a case including offender, result, charge and count, and date.

**Document.** Data that is stored on magnetic, optical, or paper-based media that is used to convey that information to one or more individuals.

**Document generation and processing.** Actions in producing, displaying, distributing, and tracking documents.

**Event-driven.** The process by which a manual action or system occurrence detected by a computer application program initiates additional action.

**Fees.** Court-ordered program or court-related monetary penalty (e.g., intervention programs, routine urinalysis) to be paid by the offender.

**File and document management.** Creating, managing, tracking, archiving, and disposing of case information.

**Fines.** Court-ordered monetary penalty associated with the conviction process (e.g., aggravating circumstances of offense) to be paid by the offender.

**Identifiers.** An agreed upon method used to document the identity of an individual (e.g., biometrics), including but not limited to U.S. citizens, illegal aliens, and foreign nationals.

**Interstate compact.** Legal agreement between states that allows for the transfer of probation and parole supervision of offenders to and from those states.

**Intrastate transfer.** The legal movement of supervision of probationers and/or parolees from one jurisdiction to another within a given state.

**Management and statistical reports.** Generation of caseload, risk assessment, workload, and other information required to efficiently manage staff assignments and to report statistical information.

**Orders.** Intermediate or final judicial directions that specify action to be taken or compliance required in regard to the offender.

**Outcomes.** A record of the results of probation intervention with defendants/offenders.

**Participant.** An individual or organization that is a contributor in the processes or proceedings, or provides information or services directly connected to a probation case. These individuals can include court staff as well as personnel from other CJ agencies (e.g., pretrial intervention, pretrial services, law enforcement, corrections), and personnel from Non-CJ agencies (e.g., advocacy groups, employer, credit agency, social services, support units, translator).

**Postsentence.** Data on any type of postconviction activity that occurs after sentencing of an offender (e.g., reduction of sentence, violation of probation, failure to pay fine).

**Presentence investigation.** Conducting an investigation on an offender and reporting information to the court, prosecutor, and defense attorney to inform the parties before the sentencing process.

**Pretrial services.** Conducting and reporting research on defendants, administering preadjudication programs, and conducting preadjudication supervision.

**Probation.**

(1) The conditional release by the court of an offender (a defendant who has been adjudicated guilty of a crime) over whom the court retains jurisdiction.

(2) The agency that has jurisdiction over the offender who has been released with conditions.

(3) The process of overseeing an offender in the community, pre- and postconviction, to monitor activities, enforce court-ordered activities, and engage the offenders in services and programs to achieve prosocial behavior.

**Restitution.** Court-ordered compensation to be paid and remitted to the victim(s) for adjudicated damages.

**Rule based.** Refers to actions or programmatic decisions that occur in the CMS when other specific unprompted actions take place but only if a specific condition is met. Business rules that are held and maintained in a table of rules allows a program to search this table for a set of predetermined conditions and, if those conditions are met, to take certain other actions independently and without user intervention.

**Scheduling.** Assigning dates and times to upcoming events, maintaining and displaying information on upcoming events.

**Security and data integrity.** Establishing access control in order to ensure privacy and integrity and to maximize accuracy of case management systems and their data.

**Sentence.** Data on case identifying remediation ordered by the judge (e.g., restitution, incarceration, public service, suspension, fine, special conditions, probation, work program, mandatory urinalysis).

**State criminal history repository.** The collection of criminal history that contains information on individuals and includes arrests, charges, disposition of previous court cases and adult probation cases.

**Supervision.** The oversight of an offender in the community, pre- and postconviction, to monitor activities, enforce court-ordered activities, and engage the offenders in services and programs to achieve pro-social behavior.

**Toll.** The stopping of the probation clock (e.g., the probationer absconds) and is unsupervised; thus, the term of probation does not move toward completion.

**View.** A preprogrammed display of database information presented in a manner that requires minimal technical expertise on the part of the user.

**Warrant.** A legal order authorizing law enforcement to arrest and detain a person to ensure appearance before the court.

**Workflow.** Information, knowledge, and materials that must be collected, organized, routed, disseminated, and acted upon to deliver any type of product or service. The series of processes that must occur for work to be accomplished.

**Workload.** A method for measuring the time and work of probation officers by assigning point values to probation activities and supervision levels of offenders.

## **Appendix C**

### **Internet Resources**

American Probation and Parole Association: <http://www.appa-net.org/>

Bureau of Justice Assistance, US Department of Justice: <http://www.ojp.usdoj.gov/BJA/>

FBI CJIS EFTS (Electronic Fingerprint Transmission Specification):  
<http://www.fbi.gov/hq/cjisd/iafis/efts70/cover.htm>

Joint Task Force on Rap Sheet Standardization: <http://www.nlets.org> (in the downloads section).

Model RFP: <http://www.search.org/courts/Modelrfp/general/intro.shtml>

National Center for State Courts: <http://www.ncsconline.org/>

Office of Justice Programs, Department of Justice: <http://www.ojp.usdoj.gov/>

Office of Justice Programs Information Technology Initiative: <http://www.it.ojp.gov/>

SEARCH: <http://www.search.org/>