SEARCH
The National Consortium
for Justice Information and Statistics

Prosecutor Case Management System Functional Requirements

A standardized approach to identify and document functional requirements and application components when procuring a prosecutor case management/tracking system

September 2018

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Acknowledgments

This document was prepared by SEARCH, The National Consortium for Justice Information and Statistics, Leslie Moore, Chair, and David J. Roberts, Executive Director. The project director was Mark Perbix, Director of Information Sharing Programs. Michael Jacobson, Information Sharing Specialist, was the primary author of this document, with the assistance of a group of subject matter experts, referenced below. Twyla R. Putt, Corporate Communications Specialist, edited this document. The National District Attorneys Association provided guidance, subject matter expertise, and support during the development of this document.

This project was supported by Grant No. 2013-DG-BX-K013 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, the Office for Victims of Crime, and the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking. Points of view or opinions in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

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Introduction

Prosecutors rely on technology and information systems to effectively and efficiently fulfill their mission to seek justice in criminal cases — and the key application used is typically a Prosecution Case Management System (PCMS). These systems began to be developed and implemented in the 1970s; in the decades since then, they have evolved into comprehensive and reliable tools. There is now a robust marketplace of PCMS applications that prosecutors can evaluate in the process of acquiring a PCMS for their organization. Selecting a PCMS requires evaluators to have a comprehensive understanding of the functional requirements and operations of a prosecutor's office. Other justice disciplines (courts, law enforcement, corrections, probation) developed functional standards documents to assist these agencies and organizations with defining their requirements and informing the acquisition process. For prosecutors, however, such guidance is limited; this document endeavors to serve as a similar resource for prosecutors.

Purpose

This is a comprehensive reference document for prosecutors and support staff who are in the process of procuring case management and case tracking technology. It identifies and defines the common capabilities and functions required of this technology. Prosecutors, in conjunction with staff and technology support entities, can use this document to assess the specific needs and requirements of their organization; by using this standard approach; they are then able to inform the procurement process.

First, this document looks at the business and organizational needs of prosecutors' offices and how software applications should address those needs. These include key case tracking and management activities (pretrial, trial, post-adjudication), as well as special case types (grand jury, juvenile), support services (discovery, investigations, witness management) and related activities (such as extradition).

Next, it looks at broader technology-oriented requirements that prosecutors need to successfully implement an effective prosecutor case management system (PCMS)—such as system interfaces, records/document management, and security.

With this in mind, a group of subject matter experts (SME)—composed of prosecuting attorneys, victim advocates, program specialists, criminal justice practitioners, and information sharing specialists from around the country—contributed to developing this *PCMS Functional Requirements* document. In addition to SME input, SEARCH evaluated a variety of other documents and resources to identify business and technology functions and capabilities required of a PCMS. These resources included the National District Attorneys Association National Prosecutor Standards,[i] requests for proposals from various local jurisdictions, technical documentation, and other case management system-related research.[ii]

Document Scope

This document identifies and defines the **key functional requirements of a PCMS**. The scope of a PCMS has evolved over time through the introduction of new technologies, capabilities, and requirements. This document is intended to be expansive and inclusive of all potential prosecutorial functional requirements that a PCMS should support and accommodate. It also **touches on the nonfunctional capabilities that support a PCMS**.

PCMSs fall under the wider scope of managing and effectively interacting with the broader justice process. They are only one of many components of the criminal justice system. These systems and the prosecutors who use them benefit from sharing data with other

entities within the justice process to improve their ability to effectively prosecute crime. Likewise, prosecutor data can be helpful to other components of the justice system in helping to fight crime. While this capability is not a functional requirement, per se, all prosecutors should consider it when implementing any technology solution. Section 7a, **Data Exchanges and System Interfaces**, addresses examples of how prosecutors interact with other justice actors.

How to Use This Document

Stakeholders involved in the PCMS procurement process can use the functional and nonfunctional requirements listed herein to determine which apply to their organization. As mentioned, this document is intentionally broad, erring toward over-inclusiveness**.**

Prosecutors and support staff should look at these requirements as a menu they can select from to define, document, and communicate their business needs in a clear and comprehensive manner. Stakeholders can use it to evaluate current capabilities against future needs, and it can serve as input into an acquisition process. The worksheet in **Appendix C, Cross-Reference Matrix,** is a printable matrix of all the functional requirements, as well as nonfunctional requirements, that stakeholders can use to identify mandatory, desired, or optional requirements for their PCMS. **Note:** For purposes of this document, the requirements use these terms:

- "must" for an obligation
- "must not" for a prohibition
- "may" for a discretionary action
- "should" for a recommendation.[iii]

How this Document is Organized

This document is organized into eight sections:

Sections 1 – 3	**The functional requirements that follow the core lifecycle of a case:** • Section 1: Pretrial • Section 2: Trial • Section 3: Post-adjudication
Sections 4 – 7	**The functional requirements related to other operations and responsibilities of a prosecutor's office:** • Section 4: Special case types (e.g., grand jury, juvenile, civil forfeiture) • Section 5: Case support services (e.g., discovery, evidence management) • Section 6: Additional business requirements (e.g., protection orders) • Section 7: Common requirements (e.g., records and document management)
Section 8	**The nonfunctional requirements applicable to all components of the PCMS.** In the context of this document, "nonfunctional requirements" refer to those capabilities relating to system security, performance, availability, and maintainability. These can include security, data administration, application administration, and other technical design and operational considerations.

Each section is further divided into subsections that address more specific tasks or activities within that section; there are 47 total subsections within Sections 1 through 8, as shown in the following table:

SECTION	Functional Requirements							8. Nonfunctional Requirements
	1. Pretrial	2. Trial	3. Post-adjudication	4. Special Case Types	5. Case Support Services	6. Additional Business Requirements	7. Common Requirements	
Subsections	**a.** Case initiation **b.** Initial appearance **c.** In-custody defendants **d.** Preliminary hearing **e.** Arraignment **f.** Pretrial events	**a.** Jury selection **b.** Trial preparation and presentation **c.** Jury instructions **d.** Verdict and finding	**a.** Case disposition **b.** Sentencing **c.** Other post-adjudication events	**a.** Citation/ Infraction **b.** Grand jury **c.** Juvenile **d.** Civil forfeiture **e.** Insufficient funds **f.** Guardianship **g.** Child dependency and neglect **h.** Special prosecution **i.** Appeals	**a.** Discovery **b.** Evidence management **c.** Investigations **d.** Motions **e.** Victim services/ assistance **f.** Restitution and compensation management **g.** Witness management **h.** Diversion/ deferred prosecution	**a.** No contact and protection orders **b.** Warrant reviews **c.** Extradition **d.** Conflict avoidance	**a.** Data exchanges and system interfaces **b.** Records and document management **c.** Workflow management **d.** Time tracking **e.** Data analytics and performance management	**a.** Tiers of security **b.** Data administration, management, and integrity **c.** Reliability and performance **d.** Application administration **e.** Enterprise architecture integration **f.** Business rules **g.** Application user interfaces **h.** Support services

Furthermore, the 39 subsections within Sections 1 through 7 feature a color-coded table that documents in detail the functions and requirements which support that specific task or activity. Each table documents:

- **Business/Organizational** functions (divided into process activities, use cases/user stories, and statutory duties/other obligations)
- **Application** requirements (divided into application capabilities and data exchanges)
- **Data Management** requirements (data needs).

The sample table below illustrates the look and describes the content of each color-coded table in the 39 subsections within Sections 1 through 7:

Business/Organizational	
Process Activities	The steps and/or processes that support the capabilities.
Use Cases / User Stories	A description, presented from a user's point of view, of what the user needs to accomplish for the day-to-day process activities. For these functional requirements, a user is any person in the prosecutor's office who uses the PCMS; it may be an attorney or other staff depending on the use case.
Statutory Duties / Other Obligations	The rules and/or standards used to guide the day-to-day office activities.
Application	
Application Capabilities	The functions that an application must/should perform in order to support the capabilities and operational needs of the agency.
Data Exchanges	Data exchanges that support the needs of the function.
Data Management	
Data Needs	The data requirements needed to support the capability identified in data groups. Appendix D provides the list of data elements within each data group.

NOTE: *General administrative functions*, such as human resources, finance and payroll, are not unique to a prosecutor's office; therefore, this document does not address them. Similarly, this document does not address *technical infrastructure requirements* because, in most cases, these functions are provided by a separate entity within the city, county, or state where the prosecutor's office resides.

Terms and Definitions

The legal profession has many special terms and its own vocabulary. Many of these terms and definitions vary regionally and by state. Likewise, the information technology community has its own language. This document attempts to navigate these differences based on the consensus of the subject matter experts who reviewed this document. Special terms are defined when first used and are included in **Appendix A, Document Terms and Definitions**.

Overview of Prosecutor Case Management Systems

A PCMS is a collection of capabilities contained in one or more software applications that address the functional requirements of a prosecutor's office. Case management and tracking remain the core activities supported with other business service activities—the case support services—to enable prosecutors to work more efficiently and reduce case timelines and backlogs (as shown in the figure 1).

Figure 1

Similarly, technological advancements enable effective information sharing, increased accuracy, and reduced paperwork, and eliminate redundant data entry (as shown in the figure 2). These also contribute to more effective case management and reduced case timelines and backlogs.

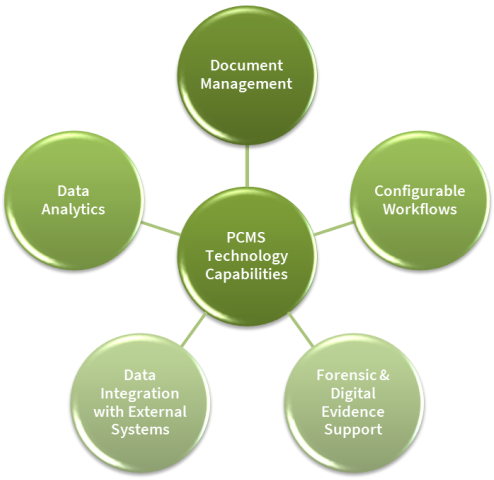


Figure 2

An ideal PCMS satisfies the functional requirements of a prosecutor's office *and* advances efficiency, accuracy, and case management performance. The PCMS efficiently streamlines a prosecutor office's capability to collect, store, retrieve, edit, archive, and view information, records, documents, or files required of prosecutors to fulfill their responsibilities. Additionally, it may support the automated exchange of data with justice partner agencies to support investigations or prosecutions.

While all prosecutors handle criminal cases, and this process is the focus of the first three sections of this document, some prosecutors also handle a variety of other special case types, including certain civil matters. Section 4 addresses these special case types.

Case Tracking and Management: Core Business Activities

A case is the principal unit of work within the prosecution process. It typically encapsulates a single criminal incident, which can have one or more defendants with one or more criminal charges. There are multiple types of cases that may have different case tracking requirements and include different components. Typical case types include:

Felony	A case where the potential sentence upon conviction is incarceration of one year or longer.
Misdemeanor	A case involving less serious crimes generally punishable by fine, penalty, forfeiture, or imprisonment for less than one year in a local or county jail.
Juvenile	A case involving a minor.
Infraction	A case involving a minor offense (e.g., traffic violations) and usually results in a fine.
Special	Special situations or cases, such as use of a Grand Jury, Extraditions, and Appeals, align with these requirements and are addressed in **Section 4, Special Case Types**.

A key design requirement of the PCMS is to determine the organizational structure of the case—whether it tracks single or multiple defendants. The PCMS must be able to collect and organize different case information types, whether users enter case data or it's imported from other sources. It must provide a means to —

- **create a case**
- **update and maintain status and activity information** related to the case
- **accommodate multiple conclusions or outcomes**.

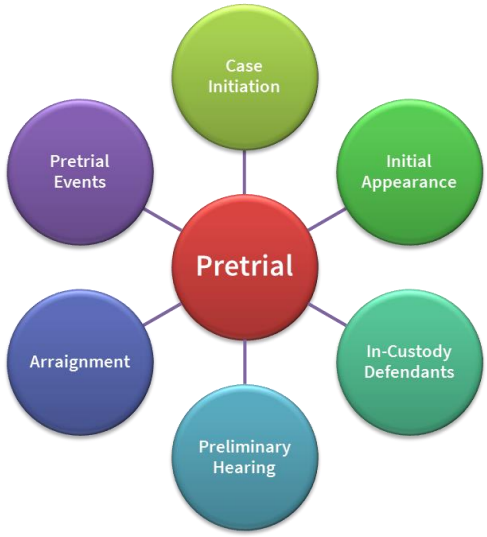
High-level Outline of PCMS Functional/Nonfunctional Requirements

The following table is a high-level outline before we delve into the details. The spokes that radiate from the center represent subsections within each main section. Click on the blue headers to move directly to that section, and use this as your roadmap to this document.

FUNCTIONAL REQUIREMENTS

SECTION 1: PRETRIAL

Pretrial functional requirements are the business functions that take place prior to a trial and include **case initiation** (screening), **initial appearance**, preliminary hearing, **arraignment**, **in-custody defendants**, and **pretrial events** (motions, hearings, conferences, meetings, and other scheduled activities). In states that require the use of a grand jury, the grand jury functions are included in the pretrial phase. The specific activities associated with the pretrial function vary depending on the type of case being prosecuted. The process described in this document follows that of an adult felony case. Other case types (misdemeanors, infractions, juvenile) may follow variations of this process; those variations are documented in **Section 4, Special Case Types**.



SECTION 2: TRIAL

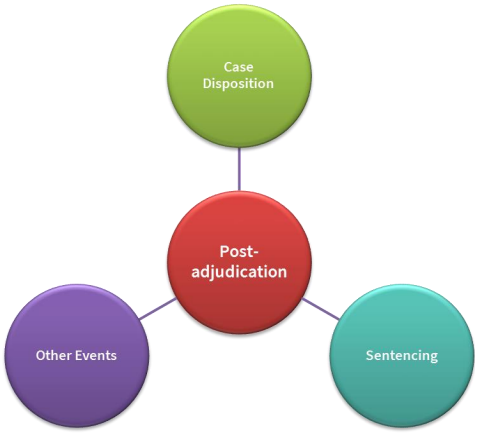
In a criminal trial, a jury or judge examines the evidence presented by a prosecutor to determine whether a defendant has committed a criminal offense. The burden of proof that a prosecutor must exceed is "beyond a reasonable doubt." A trial is the government's opportunity to present evidence and arguments against the defendant. While a defendant has no obligation to present a defense, a trial does allow the defense a chance to refute the government's evidence, and to offer its own evidence or arguments in some cases. After both sides present their closing arguments, the jury or court considers whether to find the defendant guilty or not guilty of the crime(s) charged.

A trial consists of six main parts: 1) jury selection, 2) opening statements, 3) presentation of the prosecution's case, including physical evidence and witness testimony, 4) presentation of the defense case, if any, including potential evidence and testimony, 5) jury instructions, and 6) verdict and finding. The PCMS capabilities needed for the trial include **jury selection**, **trial presentation**, **jury instructions**, and **verdict and finding**.

FUNCTIONAL REQUIREMENTS

SECTION 3: POST-ADJUDICATION

Post-adjudication functions include **dispositions**, **sentence hearings**, and **post-adjudication information sharing and event tracking** (verdict and finding).



SECTION 4: SPECIAL CASE TYPES

The PCMS capabilities needed for special case types include—

- **citations/infractions**
- **grand jury**
- **juvenile cases**
- **civil forfeiture**
- **insufficient funds**
- **guardianship**
- **child dependency and neglect cases**
- **special prosecutions**
- **appeals**

SECTION 5: CASE SUPPORT AND SERVICES

Case support functions are those tasks and activities required to successfully prosecute cases but which fall outside of the case-tracking process. These functions span the entire life of the case and are important to successfully manage the case through its lifecycle. They are:

- **Discovery**
- **Evidence management**
- **Investigations**
- **Motions**
- **Victim services/assistance**
- **Restitution and compensation management**
- **Witness management**
- **Diversion/deferred prosecution**

FUNCTIONAL REQUIREMENTS

SECTION 6: ADDITIONAL BUSINESS REQUIREMENTS

Additional business requirements are prosecutor case management functions and tasks that fall outside the adult criminal and juvenile case prosecution activities. They are:

- **No contact/protection orders**
- **Warrant reviews**
- **Extradition**
- **Conflict avoidance**

SECTION 7: COMMON BUSINESS REQUIREMENTS

Common requirements are those tasks and activities that support functional areas of the prosecutor's office. These capabilities are used throughout the life-cycle of a case to exchange information, and to manage documents, case records, workflow and staffing resources, as well as other prosecution responsibilities. Common requirements include:

- **Data exchanges and system interfaces**
- **Records and document management**
- **Workflow management**
- **Time tracking**
- **Data analytics and performance management**

NONFUNCTIONAL REQUIREMETNS

SECTION 8: NONFUNCTIONAL REQUIREMENTS

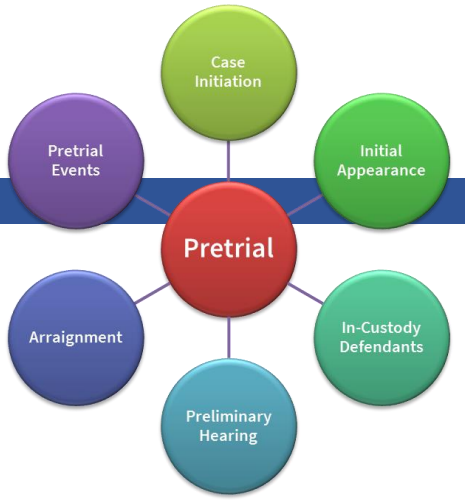
Nonfunctional requirements describe the **capabilities needed to manage the environment of a business system**. These capabilities, which are used by system and database administrators, address the deployed environment of the business application. They are:

- **Tiers of security**
- **Data administration, management, and integrity**
- **Reliability and performance**
- **Application administration**
- **Enterprise architecture integration**

Nonfunctional requirements also describe the **capabilities that are needed to manage the PCMS application**. These capabilities address the business application itself and are used by the application administrator:

- **Business rules**
- **Application user interfaces**
- **Support services**

Section 1: Pretrial



1a. Case Initiation

The case management process in the PCM begins when a criminal case is initiated.

Business/Organizational	
Process Activities	A criminal case usually starts when a prosecutor evaluates a law enforcement case. Such cases consist of all available and relevant information pertaining to person(s) involvement in a criminal incident or event and may include any or all of the following documentation: arrest report, incident report, victim and witness statements, investigative notes, citation, probable cause statement or affidavit, physical evidence, test results, etc. After reviewing all available documentation, the prosecutor determines if there is sufficient evidence to support the filing of charges, what charges will be filed, and that there is a strong likelihood of conviction. For felony cases, prosecutors are the primary legal authority for determining if charges should be filed and the offender prosecuted.[iv] Within the context of this document, the presentation of charges by law enforcement is referred to as ***charge referral***. Once a criminal charge is referred, the prosecutor has authority to determine whether the case should proceed to prosecution. Prosecutors need all relevant and available information about the incident, arrest, and/or warrant in order to make a filing decision. Case initiation ends when the prosecutor files a case in court, diverts a case, or dismisses a case. When filing a case with the court, a prosecutor will use a legal form. The three most common legal forms are **Informations**, **Complaints**, and **Indictments**. An Information is filed in a general jurisdiction court; a Complaint is filed in a limited jurisdiction court; and an Indictment is used to initiate a case by a grand jury. For purposes of this document, these various forms are called ***charging documents***. Depending on the jurisdiction, charges may be filed with the court electronically or on paper. The form of the charging document is dictated by state statute, or the jurisdiction's court rule. If evidence is insufficient to result in the likelihood of conviction, the prosecutor may decline to file charges against the suspect. This is often referred to as a ***no file*** or ***nolle prosequi***. The charging document in a juvenile case may be called a ***petition***.
Use Cases / User Stories	**The case initiation process consists of the following activities. The user —** • Creates a case and enters information to uniquely identify the case. • Enters case participants, then compares and verifies those names based on what is already in the system to reduce redundant information. • Adds charges and counts based on an evaluation of the evidence presented. • Identifies the lead charge, if appropriate, for a given defendant. This is typically the most serious charge. • May place a hold on 1 or more charges in a case.

	• Adds arrest, booking, citation, custody, bail, and bond information for each defendant OR acquires this information electronically from the law enforcement agency or court (from the initial appearance) and verifies the information prior to adding it. • Enters case (user-definable) categorical information. • Enters case information: arrest, in-custody, citation or summons, warrant, or juvenile. • Links related cases, defendants, and participants, and then designates the nature of the relationship between cases. • Enters data to link the defendant, case, and charges to other criminal justice information systems (includes a unique person identifier, and identifiers for arrest, charge, case). • Assigns prosecutors and other office personnel to a case and/or enters all persons associated with a case and indicates their role on the case. **The PCMS includes views to provide users with the information they need to review charges or warrants and decide how to proceed with the case. The user then—** • Needs to ensure case information is current, accurate, and complete before filing. • Creates all documents based on the jurisdiction's procedure. • Files the case with the court within court procedural time constraints.
Statutory Duties / Other Obligations	Based on case category and appearance requirements, the timely filing of cases is required. For example, offenders who are arrested and in custody need to be brought before a judge within a short period of time,[v] and offenders issued a summons are required to appear in court on the date set in the summons.
Applications	

Application Capabilities	**To support case initiation, the PCMS—**
	• Should allow the automated entry of case information from law enforcement and court systems via information exchanges. Furthermore, the PCMS must allow the user to—
	  ○ validate information received electronically.
	  ○ accept/reject information from information exchanges.
	  ○ add identifiers needed to allow dispositions to be associated to the law enforcement criminal history records at the conclusion of the case.
	• Must automatically search itself for pre-existing case records that can be used to identify and link together multiple individuals and events.
	• Must allow the user to merge case or defendant records if duplicates are found.
	• Should automatically notify user if pre-existing case is no longer in warrant status and a court date is set.
	• Should prompt users when cases, defendants, or participants already exist in the system that relate to a new case (e.g., defendants involved in other cases, aliases identified by the Pretrial Services unit), followed by a user-initiated search for pre-existing defendants, participants, and defense attorneys whom the user can apply to the current case, if appropriate, to avoid duplicate data entry (e.g., using participant names, addresses, and other identifiers).

	• Must offer the ability to add and maintain—
	  ○ attorney and staff names and contact information
	  ○ case information
	  ○ state statute and ordinance charges.
	• Should automatically notify prosecutors handling the pre-existing case of any held charges, new charges, or cases related to existing defendants.
	• Should automatically inform prosecutors reviewing a new case if any participants are involved in other cases.
	• Must generate and assign separate identifiers for each defendant or receive identifiers from another criminal justice agency.
	• Must allow the user to capture or allow entry of other identifiers for other case participants (e.g., prosecutor, defense attorney, corrections, law enforcement) and establish relationships of participants to the case.
	• Must generate and assign an internal case number for each case using locally-defined format and procedures (e.g., separate case number for each case the prosecutor reviews).
	• Must be capable of recording and indexing the case by the court-assigned case number.
	• Must associate each defendant with a case and identify potential codefendants and their respective case numbers.
	• Must allow the user to enter each charge and count to produce charging documents.
	• Should allow the user to identify the lead charge, if appropriate, among a group of charges for a given defendant.
	• Must enable data entry of required elements for arrest, booking, citation, bail, and bond information for each defendant OR acquire this information from an existing court case management system to import the data automatically.
	• Should generate a case caption (i.e., a short phrase that identifies each case and includes prosecution and defendant name) from individual names and other information. The case caption is produced from all filing exchanges and documents.
	• Should allow the user to enter reasons for initiation (e.g., new filing, case transferred from another jurisdiction, case bifurcated, previously closed case that has been reopened, de novo appeal, etc.).
	• Must track and provide reports and notifications on case status, defendant status, and charge status.
	• Must track which agency initiated the investigation or referred the charges.
	• Must allow the user to create all documents needed for filing based on the records and document management functionality.
	• Should support electronic filing of charging documents (e.g., complaint, indictment, etc.) and transfer designated data from the PCMS to the court case processing system.
	• Should accept and handle acknowledgement from the court that the case filing was received and accepted or produce an error message if not accepted.

	• Should enable cases to be organized in any manner that supports case management strategies like differential case management (i.e., different categories of cases are processed differently, such as in time-sensitive filings, cases processed under different rules or time standards, specific judicial assignment for specific types of cases) and other case management methods (users enter differential case management parameters and time standards into code translation tables). • Should allow users to designate the nature of the relationship between cases (e.g., codefendants, multiple cases against same defendant). • Should allow a given participant to have multiple roles (e.g., victim and complainant), both within and across cases. • Should support the creation of alerts pertaining to each case and defendant, such as the need for action or time constraint (speedy trial). • Should allow users to defer or decline prosecution based on prosecutor review and decision.
Data Exchanges	Data exchanges that support case initiation include: • Incident reports • Arrest reports • Booking reports • Summons • Evidence reports • Docketing/calendar information • Charge filings
Data Management	
Data Needs	During case initiation, the user will need to enter relevant information that is available, validate information from data exchanges, and match and update existing person information. Data required for case initiation include elements from the following data groups:[vi] • Case • Person • Defendant details • Victim • Witness • Incident • Arrest • Booking • Evidence • Warrant

1b. Initial Appearance

In felony cases, the Initial Appearance is the first time a defendant appears before a judicial officer. (Other terms may be used to describe this event, such as **Advisement**.) At the initial appearance, the court informs the defendant of the charges being brought, the potential penalties, and his or her constitutional rights. These include the right to remain silent, the right to bond, the right to confront and cross-examine witnesses, and the right to be represented by an attorney and the availability of a public defender if the accused cannot afford an attorney. The court may present the defendant with a copy of the formal charging document.

The timing of the initial appearance depends on whether the defendant is in custody. If the defendant is in custody, the initial appearance must occur without significant delay (usually less than 72 hours). For defendants not in custody, the initial appearance may be scheduled at a time that is more convenient for the court. When a defendant is not in custody, the initial appearance may also be combined with other adjudication activities.

For misdemeanors, the Initial appearance is often combined with the arraignment, where the defendant enters a plea, a settlement conference or other pretrial events or activities. During the initial appearance, the judge may order a variety of actions, including setting bail, releasing a defendant from custody, detaining a defendant, ordering fingerprints be taken, appointing counsel to the defendant, setting next court appearance, and judicial assignment.

Business/Organizational	
Process Activities	The PCMS must track the activity and event, participants, locations, schedule, and outcome of the initial appearance. The initial appearance serves these purposes: • Informs the arrestee of criminal charges in a timely manner. • Allows the defendant to enter a plea. • Initiates the court case. • Establishes the need for an attorney. • In some cases, establishes bond and bail conditions. • Schedules further court events.
Use Cases / User Stories	**To carry out these functions, the user—** • Obtains and organizes case information (e.g., charge information, incident and arrest reports, evidence, statements, etc.). • Ensures the defendant has a copy of charges or indictment. • Records the result of the arraignment (in misdemeanor cases, the court may ask the defendant to enter a plea of guilty, not guilty, or no contest to the charges). • Records any bail amount requested and imposed, bail conditions, and any other court-imposed restrictions. • Records and tracks any no contact orders that were imposed. • Schedules events and tracks information on each scheduled event. • Views and updates attorney and staff calendars. • Reviews the court schedules to update attorney and staff calendars. • Complies with speedy trial standards and other deadlines related to case processing.

Statutory Duties / Other Obligations	A prosecutor should be present at the initial appearance and the PCMS must track all information created by the initial appearance.
Applications	

Application Capabilities	**To support initial appearances, the PCMS—**
	• Must track initial appearance information, including the indictment and charge information, along with any supporting evidence and incident/arrest information.
	• Must record:
	  ○ the charges
	  ○ the plea, if entered at initial appearance
	  ○ defendant counsel
	  ○ bail conditions
	  ○ bond status
	  ○ no contact orders
	• Must allow users to record or obtain from the court system all dates of further proceedings, such as the arraignment, preliminary hearings, motions, pretrial conference, and the trial date.
	• Must track the history of case events, including results of the event.
	• Must use or integrate with staff and court calendars in order to create and view events and tasks assigned to individuals.
	• Must provide alerts and notifications to ensure that the users understand who is required at each event, what artifacts (e.g., evidence, testimony, etc.) they need for each event, and when and where each event is to take place. This includes:
	  ○ event status (pending, complete, overdue)
	  ○ logging receipt of documents
	  ○ meetings
	  ○ correspondence
	  ○ work products
	  ○ task assignments
	  ○ deadlines
	  ○ contacts
	• Should include a notice of scheduling conflicts.
	• Should allow changes to events without affecting the historical records of the case.
	• Should track the outcomes of each event.
	• Should track the time remaining before the case must be brought to trial (speedy trial).

Data Exchanges	Data exchanges that support initial appearances include: • Charge filings • Plea agreement (if defendant enters a plea) • Docketing/calendar information • Court minutes

Data Management	
Data Needs	Data required for initial appearances include elements from the following data groups: • Case • Person • Defendant details • Victim • Witness • Events • Bail and bond

1c. In-Custody Defendants

Handling in-custody defendants is a special case of initial appearance in that—

1) the defendant has a constitutional right to appear before a judicial officer regarding his/her detention within a "reasonable" period of time as established by law[vii] and

2) the prosecutor may not be aware of the defendant's charges because the arrest and detention process occurs before the arresting agency has referred charges to the prosecutor for review.

Functional requirements for in-custody defendants are the same as for initial appearance (**Section 1b**, above), except that the time period may be condensed and the case may be initiated by the court in response to the arrest and right to a judicial hearing.

1d. Preliminary Hearing

In felony cases, probable cause must be established in order to have the case proceed to trial. Probable cause can be established several ways. The most common is by preliminary hearing. In many states, felony preliminary hearings are held in the lower courts. Once probable cause is determined, the case is "bound over" to the general jurisdiction or trial court for further proceedings. Other mechanisms for establishing probable cause are the actions of the Grand Jury by Indictment. (See Grand Jury under **Section 4: Special Cases**.) In some states, using a Grand Jury is a requirement; in others, it is not required and is rarely used.

Business/Organizational	
Process Activities	The PCMS must track the activity and event participants, locations, schedule, outcomes, and help the users coordinate the documents and materials required for the preliminary hearing/examination is a proceeding, after a felony charge has been filed by the prosecutor, to determine whether there is probable cause to proceed against the defendant.

Use Cases / User Stories	**To perform these functions, the user—**
	• Obtains and organizes case information (e.g., charging documents, incident and arrest reports, evidence, statements, etc.).
	• Records the results of the plea in cases where the defendant changes his or her plea.
	• Schedules events and tracks information about the preliminary hearing (e.g., deadlines for submission of documents and exhibits, completion of diversion programs), including:
	  ○ event date, time, identification, and location
	  ○ participants in the event (e.g., defendant, victims, witnesses, interpreters)
	  ○ 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)
	  ○ cross-references to case, hearing, and other information
	• Views and updates attorney and staff calendars.
	• Reviews the court schedules to update attorney and staff calendars.
	• Reviews the number of cases/tasks assigned to each employee.
	• Assigns and transfers cases and tasks attorneys and other office staff, based on resource availability, to ensure participation in court events.
	• Manages workloads to ensure that all activities can be completed in a timely and effective manner.
	• Complies with speedy trial standards and other deadlines related to case processing.
	• Prepares for the preliminary hearing — the user may search, view, and print information on each calendared event (i.e., proceedings in which arguments, witnesses, evidence, and exhibits are heard and examined by a judge, including court events such as preliminary hearings, trials, motion hearings, and sentencing hearings, as well as other judicial proceedings, such as conferences aimed at plea agreement), including:

	○ event type ○ scheduled and actual dates and times ○ judge ○ location (e.g., courtroom type and its location) ○ prosecutor, defense attorneys ○ results ○ cross-reference to case, defendant, other participant, and other information
Statutory Duties / Other Obligations	Most states have a court rule or statute that requires a defendant to be notified of charges within a specific amount of time.[viii]
Applications	
Application Capabilities	**To support pretrial events, the PCMS—** • Must track arraignment information, including the indictment and charging documents, along with any supporting evidence and incident/arrest information. • Must collect the plea. • Must track the schedule for each court event per case, per participant. • Must track the history of the preliminary hearing, including results of the hearing. • Must use or integrate with staff and court calendars in order to create and view events. • Must track tasks assigned to individuals. • Must provide alerts and notifications to ensure that the users understand who is required at each event, tasks that need to be completed, what artifacts they need for each event, and when and where each event is to take place. This includes: ○ event status (pending, complete, overdue) ○ logging receipt of documents ○ meetings ○ correspondence ○ work products ○ task assignments ○ deadlines ○ contacts • Should provide notice of scheduling conflicts. • Should allow changes to events without affecting the historical records of the case. • Should track whether a defendant remains in custody and if so, highlight the time remaining before the case must be brought to trial.
Data Exchanges	Data exchanges that support preliminary hearing include: • Supplement reports • Charge filings • Plea agreement (if defendant enters a plea)

	• Docketing/calendar information • Court minutes • Discovery information • Hearing request
Data Management	
Data Needs	Data required for pretrial events include elements from the following data groups: • Person • Case • Defendant details • Events • Charges • Pleas • Witnesses

1e. Arraignment

In a felony case, the arraignment occurs after the preliminary hearing once the case has been bound over to the trial or general jurisdiction court. An arraignment includes the advisement of charges and the entry of a plea. For misdemeanor cases held in a limited jurisdiction court, the arraignment may be held in conjunction with the first appearance. The defendant will enter a plea of guilty, not guilty, or no contest. Provisions such as bail and/or release may be reviewed at the arraignment, even if they have been previously addressed. The court can also schedule further proceedings, such as motions hearings, pretrial/settlement conferences, and setting a trial date.

Business/Organizational	
Process Activities	The PCMS must track the activity and event, participants, locations, schedule, and outcome of the arraignment. The arraignment serves the following purposes: • The judge will explain the charges. • The judge will explain the defendants' rights. • The defendant enters a plea. • In some cases, the court establishes bond and bail conditions. • The court may schedule additional court events.
Use Cases / User Stories	**To perform arraignment functions, the user—** • Obtains and organizes case information (e.g., charging documents, incident and arrest reports, evidence, statements, etc.). • Ensures the court has a copy of charges or indictment. • Records the result of the arraignment when the court will ask the defendant to enter a plea of guilty, not guilty, or no contest to the charges. • Records any bail amount, bail conditions, and any other court-imposed restrictions. • Schedules events and tracks information on each scheduled event. • Views and updates attorney and staff calendars. • Reviews the court schedules to update attorney and staff calendars. • Complies with speedy trial standards and other deadlines related to case processing.
Statutory Duties / Other Obligations	A prosecutor should be present at the arraignment and the PCMS must track all information created by the arraignment.
Applications	

Application Capabilities	**To support arraignments, the PCMS—**
	• Must track arraignment information, including indictment and charge information, along with any supporting evidence and incident/arrest information. As such, the PCMS must:
	  ○ retain identification information for cases filed in limited and general jurisdiction courts.
	  ○ record the charges.
	  ○ record the plea.
	  ○ record defendant counsel.

	○ collect bail conditions. ○ collect bond status. • Must allow users to record or obtain from the court system all dates of further proceedings, such as the arraignment, preliminary hearing, motions, pretrial conference, and the trial date. • Must track the history of case events, including results of the event. • Must use or integrate with staff and court calendars in order to create and view events and tasks assigned to individuals. • Must provide alerts and notifications to ensure that the users understand who is required at each event, what artifacts (e.g., evidence, testimony, etc.) they need for each event, and when and where each event is to take place. This includes: ○ event status (pending, complete, overdue) ○ logging receipt of documents ○ meetings ○ correspondence ○ work products ○ task assignments ○ deadlines ○ contacts • Should include a notice of scheduling conflicts. • Should allow changes to events without affecting the historical records of the case. • Should track the outcomes of each event. • Should track the time remaining before the case must be brought to trial (speedy trial).
Data Exchanges	Data exchanges that support arraignment include: • Charge filings • Plea agreement (if defendant enters a plea) • Docketing/calendar information • Court minutes
Data Management	
Data Needs	Data required for arraignment include elements from the following data groups: • Case • Person • Defendant details • Victim • Witness • Events • Bail and bond

1f. Pretrial Events

Pretrial events cover a range of activities and events that affect the course of a case, e.g., bail hearings, plea negotiations, diversion program evaluations, witness interviews, etc. The PCMS must accommodate collecting and reporting information for the activities and events that could occur before a case moves to trial. These include, but are not limited to:

- Pretrial conferences
- Motion hearings
- Other meetings, court events, and scheduled activities

Business/Organizational	
Process Activities	The PCMS must track the activity and event participants, locations, schedule, outcomes, and help the users coordinate the documents and materials required for the activity or event. Examples of business and organizational capabilities for pretrial events may include: • Pretrial court appearances help ensure the most effective and efficient administration of justice. They allow prosecutors and defense attorneys the opportunity to review evidence and frequently negotiate pleas, explore diversion options, recommended sentences, or prepare for trials. Frequently, these appearances result in motions drafted by the parties to be reviewed by a judge at a pretrial hearing. • Pretrial hearings—e.g., omnibus and motion hearings—enable prosecutors and defense attorneys to file any number of pretrial motions that seek to admit or exclude evidence or otherwise shape the case proceedings. For example, motions to suppress statements or evidence, motions for access to additional discovery, motions for change of venues, etc. The outcome of a case often hinges on the results of these motions and the hearings that accompany them.
Use Cases / User Stories	**To perform these functions, the user—** • Obtains and organizes case information (e.g., charge information, incident and arrest reports, evidence, statements, etc.). • Records the results of the plea, in those cases where the defendant changes his or her plea. • Records any bail and bond amount, bail conditions, and any other court-imposed restrictions. • Schedules events and tracks information on each event (e.g., deadlines for submission of documents and exhibits, completion of diversion programs), including: ○ event date, time, identification, and location ○ participants in the event (e.g., defendant, victims, witnesses, interpreters, defense attorney) ○ creates subpoenas ○ 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) ○ cross-references to case, hearing, and other information

	• Views and updates attorney and staff calendars.
	• Reviews the court schedules to update attorney and staff calendars.
	• Reviews the number of cases/tasks assigned to each employee.
	• Assigns and transfers cases and tasks attorneys and other office staff, based on resource availability, to ensure participation in court events.
	• Manages workloads to ensure that all activities can be completed in a timely and effective manner.
	• Manages tracking, preparation, and redaction of initial discovery.
	• Complies with speedy trial standards and other deadlines related to case processing.
	• Prepares for each event — the user may search, view, and print information on each calendared event (i.e., proceedings in which arguments, witnesses, evidence, and exhibits are heard and examined by a judge, including court events such as preliminary hearings, trials, motion hearings, and sentencing hearings, as well as other judicial proceedings, such as conferences aimed at plea agreement), including:
	  ○ event type
	  ○ scheduled and actual dates and times
	  ○ judge
	  ○ location (e.g., courtroom type and its location)
	  ○ prosecutor, defense attorneys
	  ○ results
	  ○ cross-reference to case, defendant, other participant, and other information

Statutory Duties / Other Obligations	It is the responsibility of the prosecutor to establish and monitor case preparation, timeline management, and coordinating the state's witnesses. The statutory rules related to pretrial events are in place to ensure speedy and fair administration of justice. Therefore, it is important that events are tracked, managed, and recorded.
Applications	
Application Capabilities	**To support pretrial events, the PCMS—** • Must track arraignment information, including the indictment and charge information, along with any supporting evidence and incident/arrest information. • Must collect the plea. • Must collect and track defense counsel. • Must collect, prepare and track discovery. • Must collect and track bail status. • Must track the schedule for each court event per case, per participant. • Must create subpoenas for each witness. • Must track the history of court events per case, including results of the event.

	• Must use or integrate with staff and court calendars in order to create and view events.
	• Must track tasks assigned to individuals.
	• Must provide alerts and notifications to ensure that the users understand who is required at each event, tasks that need to be completed, what artifacts they need for each event, and when and where each event is to take place. This includes:
	  ○ event status (pending, complete, overdue)
	  ○ logging receipt of documents
	  ○ meetings
	  ○ correspondence
	  ○ work products
	  ○ task assignments
	  ○ deadlines
	  ○ contacts
	• Should provide notice of scheduling conflicts.
	• Should allow changes to events without affecting the historical records of the case.
	• Should track whether a defendant remains in custody and if so, highlight the time remaining before the case must be brought to trial.

Data Exchanges	Data exchanges that support pretrial events include: • Supplement reports • Charging filings • Docketing/calendar information • Court minutes • Discovery information • Motions/orders from events • Hearing request
Data Management	
Data Needs	Data required for pretrial events include elements from the following data groups: • Person • Case • Defendant details • Events • Charges • Pleas • Witnesses

Section 2: Trial

2a. Jury Selection

The primary purpose of the jury selection process is to empanel a jury that is representative of the community and does not have personal interests or prejudices for or against a party to the extent that they cannot render a verdict based upon the law and the facts.

Business/Organizational	
Process Activities	**The prosecutor—** • May conduct pre-voir dire investigations of prospective jurors, such as criminal history background checks. • Prepares for voir dire examination and questionnaire. • Manages the voir dire process by qualifying jurors to sit on the panel for the trial. Individual jurors may be challenged for cause or peremptorily and disqualified from the panel.
Use Cases / User Stories	**To perform these functions, the user—** • Requests and receives background checks on prospective jurors. • Prepares voir dire examination. • Manages the voir dire process.
Statutory Duties / Other Obligations	The rules used to guide the day-to-day activities for jury selection are receiving lists of jurors, maintaining privacy of jurors' identities, and investigate jurors.
Applications	
Application Capabilities	To support jury selection, the PCMS must support venire/panel for background investigations of potential jurors, including: names, identifiers, addresses, work history, etc.
Data Exchanges	Data exchanges that support jury selection include: • Jury lists • Criminal histories (i.e., Person Identity Histories)
Data Management	
Data Needs	Data required for jury selection include elements from the following data groups: • Person

2b. Trial Preparation and Presentation

The prosecutor may rely on trial presentation capabilities to control, sort, index, and extract information in support of cases going to trial, including, but not limited to, verbal and written statements, documents, photos, audio, and video materials. Trial presentation capabilities enable the prosecutor to plan, organize, and track testimony.

Business/Organizational	
Process Activities	The steps a prosecutor may perform to prepare for presenting evidence at trial include: • Receive information from law enforcement and other sources. • Import information. • Index, sort, classify, and organize information. • Search for information. • Retrieve information and create reports based on a variety of criteria (by person, date, issue, etc.). • Ad-hoc and on-demand information reporting. • Organize witnesses, evidence, and testimony. • Track introduction of evidence and testimony.
User Cases/ User Stories	**To perform these functions, the user—** • Receives and imports information. • Enters metadata related to the information to index, sort, classify, and organize the information. • Uses search capabilities to retrieve and review information • Uses redaction and track changes as needed to present information to the jury. • Produces reports and presentations from the information based on a variety of predetermined criteria: by person, date, issue, etc. • Creates ad-hoc and on-demand information reports. • Creates presentations of evidence and plans for testimony.
Statutory Duties / Other Obligations	The prosecutor must manage information from electronic discovery or data forensics, and organize and analyze the large quantities of data, documents, photos, video, and audio to develop the best methods to present case materials.

Applications	
Application Capabilities	Trial presentation capabilities are designed to aid in the process of litigation and document review, and generally include databases for organizing, searching, and reviewing discovery evidence and materials, including interview transcripts, produced documents, photos, audio, video, and correspondence for use as evidence or the entry of testimony. **The trial preparation and presentation capabilities must be able to—** • Import data objects from outside sources. • Flag imported information with jurisdictional-defined coding. • Search and retrieve information based on persons, issues, critical documents, documents for production, chronology reports, and witness testimony, and be able to import transcripts. • Add on-demand keywords for persons, issues, etc. The trial presentation software also must be able to run locally on a laptop PC for portability at a trial.
Data Exchanges	Additional data exchanges for trial preparation and presentation may include: • Discovery information • Investigative reports • Evidence (audio, video, images, etc.) • Evidence analytical reports
Data Management	
Data Needs	Data required for trial preparation and presentation include elements from the following data groups: • Case • Person • Defendant details • Incident • Arrest • Victim • Witness • Evidence tracking • Artifact classification criteria: source, date/time, subject, objective

2c. Jury Instructions

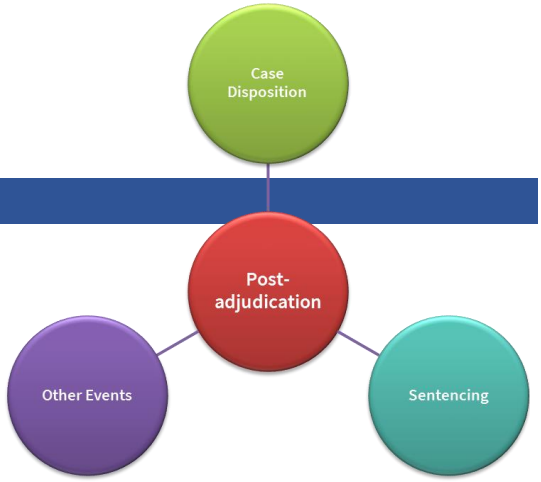
At the conclusion of a jury trial and before a verdict is rendered, the judge will provide jury instructions. Jury instructions are the rules and guidelines the judge gives the jury that include the set of legal standards the jury will need to decide whether the defendant is guilty or not guilty.

Business/Organizational	
Process Activities	Jury instructions are written with input and argument from the prosecution and defense. However, the judge decides what legal standards should apply to the case based on the criminal charges and the evidence presented during the trial. The judge then instructs the jury on relevant legal principles and includes findings the jury will need to make in order to arrive at certain conclusions. The jury instructions also define any crimes the jury may consider based on the evidence presented at trial.
Use Cases / User Stories	**To perform these functions, the user—** • Reviews the charges, evidence, facts, and other artifacts presented during the trial in order to determine what jury instructions should be presented. • Creates proposed jury instructions from templates to provide to the judge to determine what is included in the jury instructions.
Statutory Duties / Other Obligations	The prosecutor provides the judge with recommended jury instructions, to include the charges and legal precedents for each charge.
Applications	
Application Capabilities	The PCMS must provide a template for the jury instructions.
Data Exchanges	No additional data exchanges were identified for this function
Data Management	
Data Needs	Data required for jury instructions include elements from the following data groups: • Person • Case

2d. Verdict and Finding

The verdict is the finding or decision of a jury or the court on one or more charges. The results of a criminal trial—the verdict—are guilty, not guilty, hung jury, or case is dismissed with or without prejudice for each charge. The verdict is recorded in the case file in the PCMS. If the verdict is hung jury, the prosecutor may refile.

Business/Organizational	
Process Activities	The jury is responsible for providing the verdict.
Use Cases / User Stories	The user will record the verdict and findings in the disposition of a case.
Statutory Duties / Other Obligations	The prosecutor should provide sufficient admissible evidence to support a verdict.
Applications	
Application Capabilities	**To support verdict and finding, the PCMS must—** • Track and manage the verdicts of all charges. • Allow the entry and/or import of disposition information, including the verdict.
Data Exchanges	Additional data exchanges may include: • Conviction orders • Court minutes
Data Management	
Data Needs	Data required for verdict include elements from the following data groups: • Person • Case • Charge • Disposition



Section 3: Post-adjudication

3a. Case Disposition

Dispositions are the outcome of the charges filed against a person. In criminal procedure, the judgment by a court or jury resulting in an acquittal of a defendant or a guilty verdict signals the end of the trial stage. Not all cases result in a trial; therefore, the PCMS must track dispositions for each charge and person throughout the case.

Business/Organizational	
Process Activities	Prosecutors are responsible for reporting prosecutor dispositions (and in some jurisdictions, court dispositions) to the state criminal history repository and other criminal justice data systems.

User Cases / User Stories	**To perform these functions, the user—**
	• Will add/edit/import disposition information, including:
	  ○ disposition date
	  ○ disposition description
	  ○ disposition type
	  ○ dispositions for entire case and each count of each charge
	  ○ defendant identifiers
	  ○ arrest event associations, including tracking control numbers assigned by arresting agencies
	  ○ case identifiers
	  ○ court information
	  ○ charge information
	  ○ plea information
	  ○ sentence information
	• Reports dispositions to the criminal history repository.
	• Reports dispositions to all State agencies as required by statute.
	• Reports appropriate firearms disqualifier information to the state or national firearms background check program.

Statutory Duties / Other Obligations	The prosecutor needs to track and record dispositions for each case, each defendant, and each count of each charge.
Applications	
Application Capabilities	**The PCMS must use preassigned data values (codes) from authoritative sources to record dispositions and improve interoperability and data integrity. Examples include:** • Acquittal; acquittal by reason of insanity; acquittal by reason of mental incompetence • Case continued without finding

	• Charge dismissed; charge dismissed due to insanity; charge dismissed due to mental incompetency • Charge still pending due to insanity; charge still pending due to mental incompetency • Guilty plea • Nolle prosequi • No paper • Nolo contendere plea • Convicted • Youthful offender determination • Domestic violence related • Deceased • Deferred disposition • Dismissed-civil action • Found insane; found mentally incompetent • Pardoned • Probation before conviction • Sentence commuted • Adjudication withheld • Mistrial-defendant discharged • Executive clemency • Placed on probation • Paroled • Released from correction supervision **To support the case disposition functions, the PCMS must—** • Record disposition and sentence for entire case, for each count of each charge. • Maintain and produce disposition information that shows, for each case and defendant, original and subsequent charges and dispositions for each count of each charge. • Record date and reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, transfer out to another jurisdiction, consolidation, nolo contendere, etc.). • Provide a capability for re-opening previously closed cases. • Support expungement, sealing, and purging of a case—both a complete case or partial elements of a case.

	The PCMS should prompt the user to update the system with a final disposition to close the case at a later date. In cases where the prosecution results in a conviction and sentence to prison, most prosecutor offices are required to submit a statement of facts about the case.
Data Exchanges	Additional data exchange for dispositions may include: • Conviction orders • Nolle prosequi orders • Court supervision orders • Probation orders • Fine/fee/restitution orders • Orders of commitment to Department of Corrections • Court minutes
Data Management	
Data Needs	Data required for case disposition include elements from the following data groups: • Dispositions • Defendant details • Case • Sentence

3b. Sentencing

A prosecutor participates in the sentencing process to provide information to the court about the defendant, the facts surrounding the commission of the crime, the events that brought the defendant to the sentencing stage, and to ensure that all information provided to the court is accurate.[ix]

Business/Organizational	
Process Activities	Prosecutors should— • Ensure fair sentencing. • Ensure that victims have input into the sentencing decision. • Disclose any known evidence that would mitigate the sentence. • Ensure relevant information from the case is included in the sentencing recommendation, and ensure that the information provided to the court in the form of a presentence investigation report (PSI) is accurate. • Record the sentence.
Use Cases / User Stories	**To perform these functions, the user—** • Reviews similar cases to help define a fair sentence. • Provides evidence, background, and recommendations to the presentence investigation report. • May address the sentencing official to ensure fair sentencing and to see that the victims are not denied their rights. • Tracks sentence recommendations and sentences imposed. • Works with victims to help secure restitution.
Statutory Duties / Other Obligations	Where required by law, the prosecutor must ensure that the rights of victims are upheld during the sentencing process.
Applications	
Application Capabilities	**To support sentencing, the PCMS—** • Should be able to record the presentence investigation. • Must track all sentence information, including terms and conditions, such as restitution, fines, incarceration orders, probation/community correction orders, etc.
Data Exchanges	Data exchanges include: • PSI reports • Final dispositions
Data Management	
Data Needs	Data required for sentencing include elements from the following data groups: • Person • Defendant details • Sentence

3c. Other Post-adjudication Events

After the sentence is imposed, the prosecutor may have additional responsibilities to the victim, the court, and public safety, and be available as a source of information for the probation department and community-based programs. Also, if a defendant does not follow sentence requirements, the prosecutor may reopen the case for further action.

Business/Organizational	
Process Activities	• The prosecutor may be required to provide victims with post-conviction information and restitution. • The prosecutor may need to track the test required for the Sex Offender Registry. • The prosecutor should track and respond, when appropriate, to post-conviction events, motions, and information requests. • If necessary, the prosecutor may need to request a post-adjudication warrant.
User Cases/ User Stories	**To perform these functions, the user—** • Follows up on victim informational and financial needs. • Provides information for post-conviction events. • Will be present for post-conviction hearings. • Should create a post-adjudication warrant if the defendant fails to comply with the sentence. • May file a petition to revoke probation.
Statutory Duties / Other Obligations	If a defendant is placed under the supervision of the probation department or another community-based program, the prosecutor—as a guardian of the public interest in seeing that the court's directives to the defendant are followed—should share information and, where allowed, assist the probation office and other programs in bringing a noncompliant person back before the court.
Applications	

Application Capabilities	**To support post-adjudication events, the PCMS should —**
	• Be able to both generate and track that victims received the proper post-conviction information that may be relevant to them, such as:
	  ○ the ability to request notification of appeals
	  ○ the ability to request the notification of the location and release of prisoners
	  ○ sex offender registration information
	  ○ probation and parole information
	• Track whether the court ordered both DNA and HIV testing and Sex Offender Registration as part of the sentence or disposition.
	• Track the filing, subject, and outcomes of all post-conviction motions in criminal cases, and sentencing after revocation. These include events such as:
	  ○ sanction and contempt motions
	  ○ restitution hearings
	  ○ probation hearings
	  ○ revision hearings

	○ restitution orders ○ writs of habeas corpus ○ sexual predator litigation **The PCMS must be able to —** • Create a post-adjudication warrant request (a post-adjudication warrant is a warrant that is issued after adjudication when a defendant fails to comply with the sentence). • Create the filing for a petition to revoke probation if a defendant violates probation requirements. • Track parole violations and compliance.
Data Exchanges	Additional post-adjudication data exchanges include: • Sentencing and probation violation data.
Data Management	
Data Needs	Data required for other post-adjudication tasks include elements from the following data groups: • Sentence • Victim • Defendant detail • Event • Corrections information ○ agency ○ sentence • Probation and parole information ○ agency ○ sentence

Section 4: Special Case Types

4a. Citation/Infraction

A citation is the allegation of a minor crime or infraction and a notice to appear in court. It usually involves a minor infraction (commonly traffic or local ordinance violations) that usually results in a fine. A citation enables law enforcement to directly charge the offender with a crime and does not require the prosecutor to file the case. A prosecutor may be involved in these cases when the person issued the citation does not plead guilty and the case moves to trial.

Cases initiated by citation follow the same structure as other criminal cases, but the process is simplified. Typically, cases initiated by citation where the defendant pleads not guilty are scheduled for trial and do not require many of the pretrial activities associated with other criminal cases.

4b. Grand Jury

The grand jury is one of the ways that a prosecutor can establish probable cause and proceed with a criminal prosecution. Grand juries are treated here as a special case because, while some states are required to use the grand jury to determine probable cause for all serious/felony cases, it is optional or selectively used in other states for this purpose. The grand jury process is often used in lieu of a preliminary hearing as the means to establish probable cause that a crime was committed and that sufficient evidence exists indicating that the defendant committed that crime.

Prosecutors need the same investigative information as when initiating a case by other means. As part of the investigation, a prosecutor will review evidence gathered by investigators which, in turn, may be presented to a grand jury.

After the prosecutor presents evidence, the grand jury either determines that probable cause exists—commonly referred to as a "true bill"—or that probable cause does not exist—a "no true bill." True bills are filed with the court as an indictment to initiate the case in the general jurisdiction trial or court of similar jurisdiction.

Business/Organizational	
Process Activities	The prosecutor presents evidence and testimony to the grand jury to make a probable cause determination and indict. The steps needed to perform the business functions include case management and tracking functions that assist the prosecutor to present the information to the grand jury for a true bill or no true bill.
Use Cases / User Stories	**To perform these functions, the user—** • Collects and records information to uniquely identify a case, individuals involved with a case, events leading up to charges associated with the case, and supporting materials. • Assigns people to a case and/or enter new persons associated with a case. • Adds the reason for initiating the case.

	• Prepares the case for electronic filling based on court procedure, to file the case with the court as soon as the grand jury indicts. • Provides prosecutors with information needed to present the case to the grand jury. • Presents evidence and testimony to the grand jury seeking a true bill and indictment. The tools to present evidence can be the same as for trial presentation.
Statutory Duties / Other Obligations	The prosecutor conducts grand jury proceedings. The prosecutor will explain the law to the grand jury and present evidence gathered during the investigation. A grand jury has broad power to see and hear almost anything they would like. Therefore, the prosecutor may continue investigations based on the grand jury proceedings. If the defendant is brought before the grand jury, the defendant is not entitled to present evidence or testimony.
Applications	
Application Capabilities	**In addition to the case initiation requirements, to support the grand jury requirements the PCMS must—** • Allow the user to manage juror information. • Allow the user to manage payments for juror service. • Allow the user to add/edit documents associated with the finding of a true bill or no true bill indictment information. • Allow the user to add/edit charges. • Allow the user to add/edit probable cause and indictment information. • Allow the user to change a case status once the grand jury decision is complete. • Enable the user to electronically file the finding of the grand jury with the court. • Enable the user to electronically file the indictment when a true bill is returned.
Data Exchanges	Data exchanges for grant jury may include: • Incident reports • Indictments/grand jury information • Charge filings
Data Management	
Data Needs	Data required for grand jury include elements from the following data groups: • Case • Person • Defendant detail • Charges • Event

4c. Juvenile

Most states require that juveniles be treated differently than adults when involved with the criminal justice process. Prosecutors are often directed to consider the interests and needs of the juvenile with the intent to rehabilitate or deter the juvenile from further criminal activity through counseling, restitution, juvenile rehabilitation efforts, and other programs. In many jurisdictions, it is the prosecutor's responsibility to decide whether the juvenile case should be handled through the juvenile court, diverted to alternative resolution mechanisms, or in the case of more serious offenses, transferred to the adult court.

Business/Organizational	

Process Activities	• Prosecutors receive an incident and/or arrest information from law enforcement with a juvenile suspect.
	• The prosecutor reviews the incident/arrest information and charge recommendations, then evaluates the circumstances of the case to determine if the juvenile should proceed to adult court, juvenile court, or a diversion program.
	• The prosecutor tracks events, hearings, conferences, and diversion program updates.
	• If the juvenile case is referred to adult court, the prosecutor follows the adult criminal case processes.
	• If the juvenile court handles the juvenile case, the prosecutor:
	  ○ prepares a notice of delinquent acts.
	  ○ prepares for the adjudication hearing.
	  ○ tracks and participates in hearings, conferences, responds to motions, manages victim and witnesses, and prepares evidence.
	  ○ presents the case at the adjudication hearing.
	  ○ strives to ensure that the juvenile disposition fits the delinquent act(s).
	  ○ tracks disposition and sentencing.
	• The prosecutor protects juvenile information by limiting access.

Use Cases / User Stories	**To perform these functions—**
	• The user receives incident, arrest, or complaint information.
	• The user needs to —
	  ○ add and modify data and information for each case, participant, and event.
	  ○ convey information and notifications to participants.
	  ○ track and report on hearings, proceedings, and diversion program activities.
	  ○ review and file formal documents.
	  ○ track and report dispositions and sentences.
	  ○ ensure juvenile information and the juvenile are protected through auditing of who accesses information, redaction of information, and access control.
	• The user reviews the information to determine the best course of action for a juvenile: formal charging in juvenile court, referral to adult court, or referral to a diversion program.
	• If the prosecutor decides to charge in juvenile court, the user will manage the case through the standard process of events, with exceptions noted in this section.

	• If the prosecutor decides to prosecute as an adult, the user will work the case through the standard process of events. • If the prosecutor decides a diversion program is best, then the user tracks the progress of the juvenile through the diversion program.
Statutory Duties / Other Obligations	The juvenile processing must reflect the terminology and legal requirements of the juvenile justice process. The prosecutor must protect juvenile records as required by law. Prosecutors may refer juveniles to programs managed by other agencies. In juvenile matters not diverted, the prosecutor assumes the traditional prosecution role. In most jurisdictions, the same rules of evidence employed in adult criminal cases within that jurisdiction apply to juvenile court cases. This approach promotes fairness to both the victim and the community and promotes the rehabilitation of the juvenile.
Applications	
Application Capabilities	**In order to support the business needs for juvenile proceedings, the PCMS must follow the processes outlined in case management (Sections 1 to 3):** • Case initiation • Pre-adjudication • Court events • Adjudication hearing tracking • Witness management • Victim management • Litigation support • Motion support • Disposition • Evidence management • Diversion program support The PCMS must support the additional information security, privacy, and monitoring as required for juvenile cases.
Data Exchanges	Additional juvenile data exchanges include: • Person and recommended actions for diversion programs • Diversion program progress report information
Data Management	
Data Needs	Data required for juvenile proceedings include elements from the case initiation; the user will need to enter relevant information that is available, validate information from data exchanges, and match and update existing person information. Data required for juvenile case initiation include elements from the following data groups: • Case • Person • Defendant detail (juvenile delinquent) • Events • Victim

	• Witness • Incident • Arrest • Booking • Evidence • Warrant Additional data required for juvenile cases: • Additional Parties (Person) • Parents/guardians • Guardian ad litum Presentation of case data and data outputs should reflect the special terminology required by the juvenile justice process, such as identifying the juvenile as a delinquent, not a defendant and not referencing adult penalties associated with specific charges.

4d. Civil Forfeiture

Civil forfeiture, sometimes referred to as civil asset forfeiture, is used in some jurisdictions to disrupt and dismantle criminal enterprises, deprive criminals of the proceeds of illegal activity, deter crime, and restore property to victims. The prosecutor's role is to support the enforcement of statutes that permit the seizure of property used in or obtained as a result of criminal activity.[x]

Business/Organizational	
Process Activities	Prosecutors are required to use asset forfeiture for the recovery of assets to victims of crime, as permitted by law. The prosecutor may need to decide to return or relinquish the forfeiture of property to an owner or interest holder other than the accused.

Use Cases / User Stories	**To perform these functions, the user—**
	• Adds property information to the case file.
	• Receives a request for the property to be returned to the owner and decides whether to return the property based on:
	  ○ establishing that the property was acquired legally and was not known by the owner to be used in the activity that resulted in the forfeiture.
	  ○ understanding that the forfeiture causes hardship on the owner.
	  ○ the property will not be used in future criminal activity or benefit the one whose conduct subjected the property to forfeiture.
	• Documents the return of the property.

Statutory Duties / Other Obligations	The concept that a person should not be allowed to profit from criminal activity is the underlying principle of forfeiture. It is the prosecutor's responsibility to uphold their respective statutory obligations and to serve the claimants by ensuring fair and equitable distribution among the respective claimants. In addition to the restitution aspect, the possibility of deterring further crimes is important.
Applications	
Application Capabilities	**The civil forfeiture functions the PCMS must be able to perform are:** • Manage and track seized property. • Produce receipts for the seized property. • Produce reports of seized property based on cases, defendants and victims. • Creates notifications for the strict filing deadlines.
Data Exchanges	Additional data exchanges may include: • Forfeiture information
Data Management	
Data Needs	Data required for forfeiture include elements from the following data groups: • Person • Property

4e. Insufficient Funds

Insufficient funds are a common, typically minor, criminal activity. Prosecutors may wish to handle these cases in a specialized way, which may include establishing a mechanism to handle restitution payments.

Business/Organizational	
Process Activities	• Provide procedures to merchants to prosecute an insufficient funds case that includes educating merchants on gathering proper identification, requesting payment, and completing an affidavit. • Collect information from the check as evidence. • Initiate a criminal case against the maker of the check, which may include a request for a warrant or issuance of a summons or citation. • Handle minor offenders through a diversion program that emphasizes restitution.
Use Cases / User Stories	**To perform these functions—** • The prosecutor receives a bad check complaint from a merchant and assists the merchant with completing an affidavit and initiating a case against the maker of the check. • The prosecutor requests an arrest warrant and issues a summons or citation to the maker of the check. • Upon arrest, the prosecutor initiates a criminal case against the maker of the check if repayment is not made.
Statutory Duties / Other Obligations	Writing worthless checks is a criminal offense and prosecutors will work with merchants to charge offenders.
Applications	
Application Capabilities	**To support insufficient funds functions, the PCMS—** • Must be able to produce a standard form of the affidavit for insufficient funds. • Should be able to request a warrant from the affidavit for insufficient funds. • Must be able to initiate a case based on information gathered to produce the affidavit for insufficient funds. • Must be able to record and manage restitution payments to multiple victims.
Data Exchanges	Additional data exchanges for insufficient funds cases may include: • Summons • Arrest warrants
Data Management	
Data Needs	Data required for insufficient funds include elements from the following data groups: • Person • Defendant details • Victim • Details concerning the check, the maker of the check, financial institution on which the check was drawn, payee, date, amount, etc. • Notice and demand for payment information: merchant requested payment (oral request information and written request information), dates, certified letter details, partial payment.

4f. Guardianship

Guardianship refers to obtaining the legal means to make decisions for another person. A guardian is the person appointed by the court to make decisions regarding someone else's medical, mental health, and safety needs.

Business/Organizational	
Process Activities	The prosecutor may file requests for temporary guardianships under law at the request of a public agency (e.g., Division of Child Welfare), when a person is in need of the immediate appointment of a guardian, usually to consent to medical or mental health treatment.
Use Cases / User Stories	**To perform these functions, the user—** • Enters person information for each party in the case. • Files for guardianship with the courts. • Tracks hearings related to the case; notifies parties required to attend the hearing, and records the hearing results.
Statutory Duties / Other Obligations	The prosecutor may represent the interests of the public in guardianship cases in jurisdictions where the prosecutor or a public agency is the petitioner. The prosecutor attends all hearings and sees these cases through to their completion.
Applications	
Application Capabilities	**To support guardianship functions, the PCMS must—** • Allow the user to enter case, person, and event information. • Provide the petition forms for the jurisdiction to file for guardianship. • Track and may provide notifications for events related to the case.
Data Exchanges	Data exchanges that support the agency needs include: • Hearing requests • Conference requests • Docketing/calendar information
Data Management	
Data Needs	Data required for guardianship include elements from the following data groups: • Person • Events • Guardianship petition details (custody, abuse/neglect, estate)

4g. Child Dependency and Neglect

It is the role of the prosecutor to ensure that the child is afforded due process and other rights and that the child is protected from further harm.

Business/Organizational	
Process Activities	Referrals typically come from the county's division of child protective services. The prosecutor files a Petition for Protection, citing which statute under state law is the cause for the filing – Neglect, Inadequate Care, Unborn Child, Abandonment, etc. Parties to the case in addition to the child are typically a Guardian Ad Litem, mother, father, and any members of law enforcement who may have been involved. The prosecutor attends all hearings and sees these cases through to their completion.
Use Cases / User Stories	**To perform these functions, the user—** • Enters person information for each party in the case. • Files a Petition for Protection with the courts. • Tracks hearings related to the case; notifies parties required to attend the hearing, and records the hearing results.
Statutory Duties / Other Obligations	The prosecutor represents the interests of the public and betterment of the child in child protective service cases in jurisdictions where the prosecutor is the petitioner.
Applications	
Application Capabilities	**For child dependency and neglect functions, the PCMS must—** • Allow the user to enter case, person, and event information. • Provide the petition forms for the jurisdiction to file with the courts. • Track and provide notifications for all events related to the case.
Data Exchanges	Data exchanges for child dependency and neglect functions include: • Incident reports • Prior child welfare referral information • Hearing requests • Conference requests • Docketing/calendar information
Data Management	
Data Needs	Data required for child dependency and neglect include elements from the following data groups: • Person • Agency (Child Protective Service Agency) • Events (i.e., hearings) • Placement program information

4h. Special Prosecution

A special prosecutor is an attorney from outside of the agency's jurisdiction assigned to handle a given case. A prosecutor may elect to have a special prosecutor assigned, or the court may order that a special prosecutor be assigned to handle the case.

Special prosecutors are used when a conflict exists with having the agency prosecute a given case. A special prosecutor has the same powers as the prosecuting attorney of the jurisdiction, but the scope is limited to a particular case or investigation. The PCMS must be able to track work and manage case activities for cases assigned to outside prosecutors and track work and manage case activities for cases handled by the office on behalf of another jurisdiction. To handle both scenarios, the PCMS must allow prosecutors from outside the jurisdiction to be assigned to a case within the jurisdiction (in the event that a special prosecutor is needed brought in), and the PCMS must allow for the entry of case information from outside the jurisdiction in the event a prosecutor in the office is assigned as a special prosecutor.

Business/Organizational	
Process Activities	• The special prosecutor receives the assignment to work a case outside their jurisdiction. • Special prosecutors discover and receive information using investigative processes, law enforcement resources, and interviews with victims and witnesses. • Special prosecutors may review case information to make charging decisions. • Special prosecutors follow case tracking procedures to initiate a case, file charges, and work the case through conclusion.
Use Cases / User Stories	**To perform these functions, the user—** • Adds and modifies data and information for each case, participant, and event. • Provides information and notifications to participants. • Tracks and reports hearings and proceedings. • Produces or reviews and files documents. • Tracks and reports dispositions and sentences.
Statutory Duties / Other Obligations	A special prosecutor has all the authority and performs all of the functions as the regular prosecutor. The special prosecutor assumes the traditional prosecution role with respect to prosecuting the case. The special prosecutor must follow the rules of evidence from within the jurisdiction assigned. The case should be included in the workload of the jurisdiction of the special prosecutor, but statistically counted in the jurisdiction of the case.
Applications	
Application Capabilities	**The PCMS needs to identify and manage all special prosecution cases** and ensure that enumerations—as well as contact, court, and law enforcement information that may have originated from outside the agency's jurisdiction—can be entered, tracked, maintained, and reported. Special prosecution cases must be protected from unauthorized disclosure, both within and outside of the prosecutor's office.

	The special prosecutor must be able to access and work with the PCMS from outside of the prosecutor's office. The PCMS should follow all applicable standards for investigation and case tracking that includes: • Investigations • Case initiation • Pre-adjudication • Court events • Adjudication hearing tracking • Witness management • Victim management • Litigation support • Motion support • Disposition • Evidence management • Diversion program support The PCMS must provide information security, privacy, and monitoring, including case locking internally within the office.
Data Exchanges	Additional data exchanges for special prosecutions include: • Complete case information from one PCMS to another if a case is turned over from one jurisdiction to another
Data Management	
Data Needs	Data elements required for special prosecution cases, in addition to the data groups from a case within the prosecutor's jurisdiction, include: • Special prosecutor identification, location, and role information. • Support staff information from outside the prosecutor's office. • Case information from outside the jurisdiction.

4i. Appeals

An appeal is the legal process to review a court decision where an error has been perceived to have occurred. Most commonly, appeals occur after a guilty verdict in a trial; however, appeals can occur at any time during a criminal case. Those occurring prior to disposition are called ***interlocutory appeals***.

Business/Organizational	
Process Activities	When an appeal occurs, the prosecutor writes a brief for the appellate court that responds to the issues raised in the appeal. • Prosecutor receives or files a notice of appeal. • Prosecutor prepares a written brief for the reviewing court. • Prosecutor prepares oral arguments. • Prosecutor presents case to reviewing court.
Use Cases / User Stories	**The following activities occur after an appeal has been filed. The user—** • Reviews court records. • Reviews transcripts of court proceedings. • Reviews testimony and statements. • Reviews evidence. • Produces the brief. • Tracks and maintains court events related to the appeal.
Statutory Duties / Other Obligations	Typically, initial appeals are filed with the next higher court in the same system. Appellate courts review appeals from the trial courts. General jurisdiction/trial courts review appeals from limited jurisdiction courts. The appealing party argues the legal basis for the appeal, while the responding party argues against the issues raised in the appeal.
Applications	
Application Capabilities	**For appeals functions, the PCMS must support—** • Transferring the case from the trial prosecutor to the appellate prosecutor. • Identification and tracking of the venue of the appellate court. • Identification and tracking of the appellate prosecutor. • Developing appellate briefs. • Tracking and managing case activities through the appellate process.
Data Exchanges	Additional appellate-related data exchanges may include: • Complete case information from one PCMS to another if a case is turned over from one jurisdiction to another.
Data Management	
Data Needs	Data required for appeals include elements from the following data groups: • Case • Person • Defendant details • Court evidence and testimony • Appellate court information

Section 5: Case Support and Services

5a. Discovery

Discovery is the legal process in which the parties to a case disclose relevant information about the case to each other and must include all case information that is not otherwise "non-discoverable," such as notes and work product. Discovery must include exculpatory evidence. Discovery involves the exchange of any information or evidence a prosecutor intends to use against a defendant during trial. Prosecutors provide the following types of discovery to the defense:

- Crime scene evidence.
- Witness, law enforcement, and defendant statements.
- Police reports: arrest, booking, toxicology, oral statements, etc.
- Existing exculpatory evidence.
- Results of physical testing or examination.[xi]
- Disclosure of witness deals, excessive use of force, untruthfulness, dishonesty, bias, or misconduct of officers.

In a criminal proceeding, the prosecutor routinely provides discovery of case materials to the defense. This exchange of information typically occurs prior to trial but may extend further in the process as evidence surfaces. The discovery management process needs to identify and track the items that are provided as discovery, and who and when the discovery process was performed. Not all materials contained in the casefile are discoverable. Therefore, documents and other case materials need to be categorized as discoverable or non-discoverable (e.g., case notes and other internal work product may not be discoverable). In some states, costs associated with discovery may need to be collected and tracked. In some instances, some materials may need to be redacted to protect privacy and privileged information.

Business/Organizational	
Process Activities	• As case information, evidence and other materials are received or produced, they are categorized as discoverable or non-discoverable. • Case materials are digitized where practical. • Case materials are identified, labeled, and numbered sequentially (Bates Number). • Case materials are reviewed to meet privacy requirements. • Case materials are inventoried with the case in the PCMS and metadata is added about the material. • Case materials are reviewed to determine whether exculpatory evidence is contained in the materials. • A list of potential witnesses and their respective statements are generated by the prosecutor handling the case. • If *Giglio* material is available about any witness intended to be called by the prosecution, that information is included in the discovery. • The defense is notified of available discovery. • Items discovered are recorded, including recipient information and acknowledgement. • Payment is received and recorded where required.
Use Cases / User Stories	**To perform these functions, the user—** • Digitizes and scans physical documents and other printed material. • Uniquely identifies each item, captures metadata about the item, and categorizes it using enumeration lists where practical. • May redact parts of images. Redaction should persist through all subsequent processing and media. • Notifies the defendant and/or counsel of record of the availability of discovery using information contained in the PCMS. • Maintains and updates counsel of record contact information and record multiple notification methods, including mail, email, text, or phone. • Documents the date, time, and manner of each instance of notification or contact. • Documents that a request for discovery has been received and responded to. • Generates a digitized and hardcopies of discoverable materials. • Delivers discovery to the defense using an appropriate method and capabilities to transfer large discovery files (e.g., via email, producing digitized media, or providing a self-service web portal). • Generates *Brady* and *Giglio* disclosures. • Views all cases with pending discovery and navigates to any case with pending discovery.

	• Views all discovery records related to a specific case, including payment records. • Presents to the court all records related to the materials identified as discoverable and received by the defense to demonstrate that discovery has been fulfilled.
Statutory Duties / Other Obligations	• The prosecutor must fully and promptly comply with lawful discovery requests from defense counsel. • The prosecutor must uniquely identify and label all discoverable items. • The prosecutor must uniquely number all document pages contained in the discovery (Bates number). • The prosecutor must disclose the existence of evidence that is potential contraband and make defense aware of it and provide an opportunity to inspect upon request. • The prosecutor must disclose information related to *Brady* and *Giglio* requirements.
Applications	
Application Capabilities	**To support discovery, the PCMS must—** • Enable the user to inventory all items related to a case, record relevant descriptive data about the items, and designate items as either discoverable or non-discoverable. • Integrate discovery processing with the document management and evidence management capabilities. • Enable the production of discovery materials where appropriate, such as digitized evidence or digitized documents, and ensure that these materials cannot be altered. • Track the distribution of discovery items—the system must track all discovery and disclosure items exchanged by description, date/time, and entities that provided the items, and entities that received the items. • Integrate with other case data, such as party information, to eliminate duplicate data entry. • Allow each piece of discovery to be uniquely identified and numbered, if appropriate (Bates numbering or sequential page numbering spanning multiple documents). • Provide the capability to protect specific data elements from discovery. • Provide the capability to obscure or redact portions of images, videos and digitized materials to protect identities. • Provide the ability to track and manage all discovery activities beginning with the request or trigger for discovery through delivery of discovery. Triggers for discovery must be configurable and user-defined. • Make metadata and other data elements associated with the discovery and disclosure process configurable by the appropriate end user. • Allow the discloser of the *Giglio* list related to the case. • Make access to the discovery capabilities controllable by the appropriate end user.

	If using a self-service web portal to support discovery, the PCMS should: • Ensure that discovery information for a case is accessible from the case, as well as through an interface that focuses on performing discovery processing. • Provide a self-service web portal that allows authorized users (parties to the case) access to discovery materials that can be downloaded or otherwise delivered to the requesting party and to make payment for discovery if required.
Data Exchanges	Data exchanges include: • Discovery information • Evidence (audio, video, images, etc.) When sharing discovery information, the exchange needs to include audit information (such as description, date/time, and entities provided the evidence).
Data Management	
Data Needs	Data required for discovery include elements from the following data groups: • Evidence Additional data elements required by the capabilities: • Date received/Inventoried • Additional categorical/metadata information about the item • Bate number range (if applicable) • Person who performed the inventory work, and date/time the work was performed • Data related to discovery notification • Data related to discovery request • Person data group for person receiving the discovery item • Date, time, and method of delivery • Payment amount, date received, and materials discovered.

5b. Evidence Management

The prosecutor works with law enforcement and criminal justice agencies to manage evidence. There are multiple scenarios when prosecutors must maintain control of evidence.

1. During investigation—similar to how a law enforcement agency handles evidence—all evidence and property that the prosecutor collects and examines must be cataloged.
2. During trial, evidence becomes a part of the court case.
3. Evidence must be uniquely identified and inventoried within the PCMS or trial management software.

Business/Organizational	
Process Activities	• The prosecutor receives evidence from the initial investigation, during discovery, or during follow-up investigation and in some cases during a trial. • The prosecutor must manage evidence of any type from any agency. • The prosecutor must ensure the evidence was not tampered with (chain-of-custody) and is shared securely (encrypted).
User Cases/ User Stories	**To perform these functions, the user—** • Receives notice that evidence is in the custody of law enforcement and catalogs it. Upon the receipt of evidence, the user enters unique identifiers, descriptions, and categories, and who provided the evidence when. • Ensures that all evidence is marked and all records (including status) have not been altered. • Shares documents, artifacts, and other material as evidence, physically and electronically. When sharing evidence, the user records how it is shared (electronically, physically, viewed, etc.), who received it, and when it was provided. • Maintains a chain of custody and ensures the security of the evidence. • May redact pieces of evidence to secure information. • Categorizes evidence that is not admissible to prevent using it. • Edits the status of evidence when it is released to the rightful owner. • Tracks the release of evidence for investigation and court purposes. • Creates media and document copies of evidence at the request of the investigator, defense attorney, court, etc. • Approves the destruction of evidence/property at the conclusion of a case.
Statutory Duties / Other Obligations	The prosecutor must manage evidence in a secure, efficient, and reliable manner.
Applications	
Application Capabilities	**To support evidence management, the PCMS must—** • Add and relate evidence to a case. • Enable sharing of appropriate evidence with relevant parties during discovery and maintain a complete chain of custody.

	• Audit any actions to ensure a chain of custody and authenticity. • Accommodate any privacy/redaction needs. • Track date/time received, received by whom, evidence type/description, and provided to another entity (who/when). • Track evidence status, including ready for destruction, and provide an approval for law enforcement to destroy the evidence.
Data Exchanges	Data exchanges include: • Evidence (audio, video, images, etc.) • Evidence analytical reports • Evidence tracking reports, including approval for destruction When sharing evidence information, the exchange needs to include audit information (such as description, date/time, and entities provided the evidence).
Data Management	
Data Needs	Data required for evidence include elements from the following data groups: • Evidence Evidence may also require a chain of custody log: • Item number • Date/time removed • Reason for removal • Removed by • Date analyzed • Analysis results • Analysis methods

5c. Investigations

Investigative capabilities fall into two categories within the prosecutor's office. Investigators may participate directly in the prosecution of a case by conducting witness interviews, managing evidence, and performing other tasks at the direction of the prosecutor. In many jurisdictions, prosecutors also have the authority to initiate investigations of criminal activity. In this latter role, prosecutor investigators may function like a law enforcement agency as the original investigating agency. Examples of this may include the investigation of crimes that span jurisdictional boundaries, such as Internet crimes and child exploitation.

Business/Organizational	
Process Activities	Investigators within the prosecutor's office collect and present evidence to the prosecutor.

Use Cases / User Stories	**To perform these functions, the user—**
	• Collects and maintains evidence, documentation, and statements (see **section 5b, Evidence Management**).
	• Prepares cases for prosecution by organizing evidence, statements, and other materials related to the case.
	• Manages caseloads and investigators' priorities, including:
	  ○ producing case summary reports.
	  ○ producing case aging reports.
	  ○ producing case pending reports.
	  ○ managing investigative notifications and alerts.
	• Produces warrant requests as needed.

Statutory Duties / Other Obligations	The investigator is responsible for evidence and all other materials acquired during an investigation that will be used in a criminal case. Business functions include capturing and storing investigation data, requesting warrants, conducting interviews, producing investigative reports, and initiating criminal charges or amending charges.
Applications	
Application Capabilities	**To support investigative capabilities, the PCMS should—** • Assign investigator(s) to the case. • Monitor/track the case investigative progress, and provide workflow alerts and notifications to persons assigned the case. • Monitor/track evidence. • Create warrant requests. • Limit access to case information for security and privacy.
Data Exchanges	Additional data exchanges include: • Investigative reports • Search warrants
Data Management	
Data Needs	Data required for investigations include elements from the following data groups: • Event • Incident • Evidence • Person • Witness • Victim • Defendant detail • Charge

5d. Motions

Motion practice is an important part of the pretrial, trial, and post-trial stages of a criminal case. A motion is an application to the court made by the prosecutor or defense, requesting that the court decide certain issues related to the case. A motion can affect the trial, courtroom location, defendants, evidence, or testimony. Only judges decide the outcome of motions. Common motions include:

Motion to Dismiss	A request by the defense to ask a judge to dismiss a specific count or the entire case. The basis may be a lack of evidence, the alleged facts not amounting to a crime, improper conduct by law enforcement or the prosecutor, delay or when the destruction of evidence occurred.
Motion to Suppress	A request to have the court exclude certain statements or physical evidence from being introduced as evidence. For example, if police conducted a search without probable cause (in violation of the Fourth Amendment), it may be possible to suppress the evidence resulting from that search.
Motion for Change of Venue	May be made for various reasons, including pretrial publicity. If the local news has covered the case a great deal, it may be necessary to move the trial to another venue to protect the defendant's right to an impartial jury.
Motion to Vacate, Set Aside, or Correct a Sentence	Often successful for the purpose of correcting a clerical error in the sentence.
Motions in Limine	The prosecution or defense may file a motion requesting the court to enter a pretrial ruling on the admissibility of testimony, physical evidence, or evidence of another crime. The proponent of the motion may be either seeking the admission or exclusion of the evidence or testimony in the case.

Business/Organizational	
Process Activities	**Pretrial motions:** To conserve the time of the jury, witnesses and other interested parties, the prosecutor should attempt to have questions regarding: the charges, incident and arrest, the admissibility of evidence or testimony, and venue resolved prior to trial. In addition to saving court time, the pretrial rulings also allow for more efficient pretrial preparation and, where permitted, the appeal of adverse rulings. **During the trial:** Motions are usually made and resolved within the trial setting. **Post-trial motion:** Motions may occur after the jury (or judge, in a bench trial) renders its verdict. At the conclusion of a trial, a prosecutor may need to respond to or file motions based on the outcome of the trial.
Use Cases / User Stories	**To perform these functions, the user—** • Searches, views, and prints information for each motion. • Creates motion documents from templates. • Views and updates attorney and staff calendars for hearings. • Reviews the court schedules to update attorney and staff calendars. • Reviews the evidence, facts, and other artifacts related to the case to prepare motions.

Statutory Duties / Other Obligations	The rules for motions include: • The admissibility of evidence, exhibits, demonstrations, or argument is left to the court for determination. • The history of all related activities should be viewable for a given motion.
Applications	

Application Capabilities	**To support motions, the PCMS—**
	• Must track and manage all facts related to the case.
	• Must track the status of the motion workflow.
	• Must track the schedule for each motion hearing per case, per participant.
	• Should track the history of each motion per case, including results of the event.
	• Should provide alerts and notifications to ensure that the users understand who is assigned to work on the motion, who is required to attend each hearing, what artifacts they need for each hearing, and when and where each hearing is to take place. This includes alerts regarding:
	  ○ hearing status (pending, complete, overdue)
	  ○ logging receipt of documents
	  ○ meetings
	  ○ correspondence
	  ○ work products
	  ○ tasks
	  ○ assignments
	  ○ deadline
	  ○ contacts

Data Exchanges	Data exchanges include documents and document metadata.
Data Management	
Data Needs	Data required for motions include elements from the following data groups: • Person • Case • Event

5e. Victim Services/Assistance

The prosecutor is responsible for preparing victims to participate in the adjudication process, and informing victims about services available to help them deal with their victimization. The prosecutor must convey information to victims (notifications), orient victims to the criminal justice process, provide victim assistance, inform victims about and arrange for compensation, and provide victim protection (including physical protection, protecting the identity of certain victims, and protecting personally identifiable information (PII)).

Business/Organizational	
Process Activities	The activities associated with victim services and assistance include the following. **The prosecutor or victim advocate—** • Explains the various stages of a criminal case to the victim, including potential implications. • Explains the limitations placed on the prosecutor in terms of duties to the victim. • Works with victims to comply with victim rights and notify victims of their rights. • Works with victims to receive forensic interviews, medical exams, and sexual maturity assessments. • Track victim subscriptions to notifications—what notifications each victim opts to receive. • Notifies victims of case progress, acceptance or rejection of charges, return of indictment, or filing of charges. • Notifies victims of pretrial release of defendant. • Notifies victims of post-conviction events. • Makes the victim aware of automated notification systems that inform the victim of case events and any custody changes of a defendant. • Informs the police department with jurisdiction over the victim's address of any special conditions of bail and no contact orders. • Advises the victim of potential remedies to ensure safety, including stay away orders or orders of protection, or no contact orders. • Notifies victims of hearing and trial dates and results. • Works with the victims to prepare for grand jury or in-court testimony. • Notifies victims of sentencing dates and results. • Tracks and monitors victim/defendant interactions. • May notify victims of any proceeding within the knowledge of the prosecutor which does or may result in the defendant no longer being incarcerated, including appellate reversal, parole, release, and escape. • Notifies victims of any other event within the knowledge of the prosecutor that may place the victim at risk. • Assists victims in applying for fees and/or compensation and restitution.

	• May assist the victim with travel arraignments for events that require the victim's presence. • Works with other law enforcement to protect victims' right to privacy, including names, addresses, medical records through redaction, and the use of pseudonyms. • Informs victims of programs available to protect victims of crime from intimidation and harm arising from the victim's cooperation. • Explains the sentencing parameters a defendant may face based on the charges.
User Cases/ User Stories	**To perform these functions, the user—** • Adds victim information and relates victims to case(s), charge(s) and offender(s). • Adds victim statements. • Adds victim subscriptions for notifications. • Relates victims to case events for notifications and subpoenas. • Receives and enters information related to forensic interviews, medical exams, and sexual maturity assessments. • Uses information in the system to convey information and notifications to victims via letter, email, phone, and in person. • Tracks victim referrals. • May manage victim property that may be evidence—track where the property is located, who is in possession of the property, and when it was seen or transferred. • May track victims' application for fees and/or compensation and restitution. • May track victims' transportation and lodging needs and expenses. • Protects victim personal information throughout case progress.
Statutory Duties / Other Obligations	The business rules for victim services and assistance include: • The prosecutor may have legal obligations to provide services to victims, including notification of critical events, the opportunity to participate in trial and disposition strategy, the ability to address the court if a defendant is convicted, the ability to receive compensation and restitution, and receive other support services.
Applications	
Application Capabilities	**Victim services and assistance is ongoing throughout the adjudication process; as such, the PCMS must integrate the victim services with all aspects of the case.** **To support victim services and assistance, the PCMS—** • Must allow users to add and edit victim information—victims should be added to the person data group and linked to case(s), events, and defendants. • Should allow the automated entry of victim information from the law enforcement system via information exchanges. ○ The PCMS should allow the user to accept/reject information.

	• Should allow the automated entry of victim information from other entities for forensic interviews, medical exams, and sexual maturity assessments.
	  ○ The PCMS should allow the user to accept/reject information.
	• Must allow the user to automatically search the PCMS for a pre-existing person record that can be used to identify and link together multiple cases related to the same individual.
	• Must track case information and allow the user to provide notifications to victims.
	  ○ The PCMS should allow users to select what notifications each victim wishes to receive.
	  ○ The PCMS should generate victim letters and electronic notifications.
	• Must allow the user to utilize redaction and/or pseudonyms to protect victim information from being released.
	• Must track services provided to victims—either from the prosecutor or through referral programs.
	• Must track victims' property.
	• Must allow access to victim and case information as required by the victim advocates.
	• Must track expenses related to victim travel and lodging.

Data Exchanges	Data exchanges include: • Incident reports • Forensic reports • Assessments • Victim notifications • Docketing/calendar information
Data Management	

Data Needs	Data required for victim services/assistance include elements from the following data groups:
	• Case
	• Victim
	• Property
	• Events
	• Evidence
	• Disposition
	
	Additional data elements may include:
	• Referral Tracking
	  ○ program/agency/advocate name and identification
	  ○ date referred
	  ○ description

5f. Restitution and Compensation Management

Restitution is intended to restore the victim's loss. Compensation is a separate mechanism to provide some payment for loss resulting from being victimized. Compensation is not paid directly by the defendant to the victim, and the victim may be eligible for compensation whether or not the defendant is convicted. The prosecutor may be responsible for managing either or both restitution and compensation.[xii]

Business/Organizational	
Process Activities	The prosecutor or victim advocate may be responsible for determining the eligibility of a victim to receive compensation, and for tracking restitution and compensation payment and collection activities, including, but not limited to, the following: • The prosecutor gathers and documents information needed for the restitution request. • The prosecutor creates the restitution request. • The prosecutor notifies victims of restitution orders. • The prosecutor collects and disseminates payments. • The prosecutor tracks obligations, amounts paid, and amounts due. • The prosecutor notifies defendants of overdue payments.
Use Cases / User Stories	**To perform these functions, the user—** • Collects and stores restitution request information. • Determines and stores information related to compensation. • Creates the restitution request. • Receives the restitution order. • Collects payments. • Disseminates payments. • Tracks and reports financial statements with the amount paid and amount remaining due, along with the terms of the payment plan. • Establishes and manages victim expectations and obligations with a payment due date report.
Statutory Duties / Other Obligations	The prosecutor should work with courts to establish restitution and compensation for victims and ensure payments are collected and disseminated according to the restitution order consistent with state law.
Applications	
Application Capabilities	**To support restitution and compensation functions, the PCMS—** • Must allow users to add and edit victim and defendant information. • Must allow the users to gather and document restitution materials. • Must assist the user with restitution calculations according to local laws. • Must create the restitution request and allow the user to electronically file the request with the courts.

	• Should allow the automated entry of information from the court case management system via information exchanges. ○ The PCMS should allow the user to accept/reject information. • Should automatically track any obligation or payment plan. • Should generate restitution notifications and both information reports and letters related to the obligation and payment plan. • Should provide a due date calculator to establish and manage any victim expectation or defendant obligation. • Should allow users to query accounts. • Should store and use case-specific data and contact history, and keep track of additional contacts and activity notes. • Should post payment, handle overpayments, adjustments, reversals, and NSF checks. • Should monitor payment history, allocate funds. • Should allow for multiple victims per defendant. • Should track and manage multiple payment plans per case/debtor.
Data Exchanges	Data exchanges include: • Fine/fee/restitution orders
Data Management	
Data Needs	Data required for restitution include elements from the following data groups: • Person • Victim • Property Financial Obligations: • Accounting of payments – by specific case, victim, or defendant • Payment schedule • Payment history

5g. Witness Management

The prosecutor is responsible for preparing witnesses to testify in a case and manage all aspects of their attendance and compensation, if applicable. The prosecutor's office is responsible for keeping witnesses informed of all court events where the witnesses may be required to attend. The prosecutor is responsible for scheduling witness appearances at these events. They also should advise witnesses of their role in the criminal justice process, and provide assistance in applying for witness fees, employer intervention, transportation and lodging, and witness protection.

Business/Organizational	
Process Activities	The prosecutor should communicate with and prepare witnesses for their role in the case and provide assistance to witnesses as needed, including, but not limited to, the following: • The prosecutor notifies witnesses of case progress to the extent the progress affects the witness and the witness needs to be available. • The prosecutor prepares witnesses to give testimony. • The prosecutor notifies witnesses when the defendant is no longer being incarcerated, including appellate reversal, parole, release, and escape. • The prosecutor works with the officer to ensure they are available. • The prosecutor notifies witnesses of any other event that may place the witness at risk. • The prosecutor produces a subpoena requiring the witness be present at a proceeding, hearing, or trial. • The prosecutor provides the defense any exculpatory information about individuals in the case following *Brady* and *Giglio* policies. • The prosecutor assists the witnesses' application for fees and/or compensation. • The prosecutor tracks witness transportation and lodging needs and expenses.
Use Cases / User Stories	**To perform these functions, the user—** • Collects and stores witness contact information. • Collects witness statements and testimony. • Collects and stores *Brady* and *Giglio* information for individuals. • Informs witnesses of case and defendant status, as well as dates and times the witnesses need to appear for hearings, pretrial conferences, testimony, and other events/activities. • Utilizes officer tracking so that subpoenas can be served. • Conveys information and notifications to witnesses via subpoena, letter, email, phone, and in person. • Assists witnesses in applying for fees and/or compensation. • May assist the witness with travel arraignments for events that require the witness be present and track and report compensation for expenses. • Works with other law enforcement to investigate and prosecute any type of witness intimidation, harassment, coercion, or retaliation, including any such conduct or threatened conduct against family members or friends. • Works with other law enforcement to protect witnesses.

Statutory Duties / Other Obligations	The prosecutor should: • Keep witnesses informed of all pretrial hearings where the witnesses are required to attend. • Keep witnesses informed of trial dates and the scheduling of that witness's appearance. • Assist the witness to recover costs and other compensation (expert witness fees). • Protect the witness from the possibility of intimidation and harm arising from a witness's cooperation with law enforcement. The prosecutor needs to provide any exculpatory information about individuals in the case to the defense.
Applications	
Application Capabilities	**To support witness management, the PCMS—** • Must allow users to add and edit witness information—a witness should be added to the PCMS once and linked to case(s), events and defendants. • Must allow users to enter or locate *Brady* and *Giglio* information about individuals in the case. • Should allow the automated entry of witness information from the law enforcement system via information exchanges, including officer schedules. ○ The PCMS should allow the user to accept/reject information. • Must allow the user to automatically search the PCMS for a pre-existing person record that can be used to identify and link together multiple cases related to the same individual. • Should generate witness notifications: The PCMS needs to generate both information letters and subpoenas to witnesses required for trial. The subpoenas should contain all of the relevant information both for the witness and the other evidence to be presented at trial, including agency case number, arrest tracking number, property tag numbers, and any other identifying information for the evidence that a witness must bring to trial. • Should track compensation for expert witnesses—who, date/time, amounts (paid/due), and case associations. • Should track applications for compensation of expenses related to travel and lodging.
Data Exchanges	Data exchanges include: • Incident reports • Witness notifications • Subpoenas • Docketing/calendar information
Data Management	
Data Needs	Data required for witness management includes elements from these data groups: • Person • Event • Evidence • Disposition • Witness

5h. Diversion/Deferred Prosecution

Diversion involves guiding criminal defendants and potential defendants into programs that may not result in a criminal conviction. The purposes of diversion programs are to improve offender outcomes by reducing recidivism and reducing the workload of the judicial system.

Business/Organizational	
Process Activities	The prosecutor should obtain information from appropriate agencies to decide if a diversion program is best for the defendant, victim, and community. The prosecutor must have the criminal history of the potential diversion candidate to determine eligibility in the program. The prosecutor should track diversion program effectiveness.
Use Cases / User Stories	**To perform these functions, the user—** • Gathers information related to the case, defendant, diversion programs, and charges. • Tracks statistics related to diversion programs. • Tracks the defendant's progress within the program.
Statutory Duties / Other Obligations	Prosecutors may have the statutory authority to provide alternatives to prosecution through the use of various forms of diversion.
Applications	
Application Capabilities	The PCMS needs to collect and report all relevant investigative information, personal data, case records, and criminal history information necessary to make diversion decisions about individuals. The PCMS should provide a tracking mechanism for each defendant in a diversion program. The diversion tracking is similar to event tracking, but also requires the PCMS to track: • A signed agreement or court record with the diversion requirements and provisions for the defendant. • A signed waiver of speedy trial. • The diversion program activities to track terms and conditions, compliance, etc.
Data Exchanges	Additional data exchanges include: • Interim dispositions (e.g., assignment to pretrial diversion program, deferred prosecution, etc.) • Diversion program information
Data Management	
Data Needs	Data required for diversion include elements from the following data groups: • Charge • Defendant details Additional data elements may include: • Any special characteristics or difficulties of the offender which often includes results from a validated risk/needs assessment instrument.

	• Whether the defendant is a first-time offender.
	• History that the defendant will cooperate with and benefit from the diversion program.
	• Recommendations from the arresting agency.
	• Victim statements.
	• Diversion statistics—how successful diversion programs are with respect to similarly situated defendants.
	• Diversion program details include:
	  ○ diversion program name/description
	  ○ the reasons for diversion
	  ○ referral dates
	  ○ contact information
	  ○ completion certificate and date

Section 6. Additional Business Requirements

6a. No Contact and Protection Orders

The prosecutor should monitor any protection order to help ensure victim safety. Prosecutors seek and maintain no contact orders in the prosecution of domestic violence cases to protect the victim and their family. For purposes of this document, no contact orders are part of a criminal case where a protection order is a civil proceeding.

Business/Organizational	
Process Activities	• Prosecutors, investigators, or victim advocates interview victims to determine the need for a no contact order. • If required, prosecutors petition the court to issue a no contact order. • Where no contact orders are mandatory, the prosecutor ensures that the protection order is issued.
Use Cases / User Stories	**To perform these functions—** • The user collects victim and defendant information, including any standing protection or no contact orders. • Victim advocates or prosecutors monitor communications and contact between the defendant and victim and if a violation occurs, the prosecutor may add charges, seek an arrest warrant, or request bond revocation.
Statutory Duties / Other Obligations	Prosecutors are responsible for victim safety. Therefore, prosecutors and victim advocates should work with victims to identify and address risk of harm.
Applications	
Application Capabilities	To support no contact and protection order capabilities, the PCMS must allow users to— • Add/modify victim information. • Add/modify defendant information. • Create the documents to file a no contact order. • Track protection and no contact orders.
Data Exchanges	Data exchanges include: • Incident reports • Hearing requests • Motions/orders from hearings
Data Management	

Data Needs	Data required for no contact and protection orders include elements from the following data groups:
	• Person
	• Protection order information
	  ○ date
	  ○ conditions
	  ○ description
	  ○ parties

6b. Warrant Reviews

The prosecutor's office should develop and maintain a system for providing law enforcement with the opportunity for a prompt legal review of application and affidavit for search and arrest warrants before they are submitted to a judicial officer for review and issuance.

Business/Organizational	
Process Activities	• Prosecutor needs to complete warrant reviews in a timely manner, as most warrants are time-sensitive. • Prosecutor needs to track any changes to the application and affidavit to help train law enforcement on the technical requirements to increase the likelihood that the warrant will be approved by the court and hold up to defense challenges.
Use Cases / User Stories	**To perform these functions, the user—** • Receives an application and affidavit for a warrant from law enforcement to review. • Edits and may approve the application and affidavit and returns to law enforcement. • Tracks warrant status. • Includes the warrant in the evidence and discovery for the case, after the warrant is served. • Relates warrant information to a case, person, and events. • Needs to retrieve, edit, and save application and affidavit for warrant information within the case file.
Statutory Duties / Other Obligations	The prosecutor reviews the requirements for issuance of arrest, search, and surveillance warrants in order to provide legal assistance to law enforcement to help ensure that the warrants will be authorized by the court and survive motions to suppress.
Applications	
Application Capabilities	**To support warrant review, the PCMS should—** • Allow users to add and edit warrant information. • Relate warrant information to cases, persons, and events. • Assign reviewers to the warrant. • Assign a time box to each warrant. • Monitor/track the progress, and provide workflow alerts and notifications to persons assigned the warrant review. • Track any suggested edits to the application and affidavit for the warrant.
Data Exchanges	Data exchanges include: • Information warrants • Arrest warrants • Search warrants

Data Management	

Data Needs	Data required for warrant reviews include elements from the following data groups:
	• Person
	• Agency
	• Additional warrant data elements include:
	  ○ probable cause statement
	  ○ location to be searched if a search warrant
	  ○ date/time (when to serve warrant)
	  ○ crime identification
	  ○ evidence sought (search warrant)

6c. Extradition

Extradition is legal process used to return a defendant who has fled to another state, tribal nation, or country to gain custody of the defendant in order to proceed with criminal prosecution. Federal law governs extradition[xiii] from one state to another and governs how that individual is returned to the state having jurisdiction of the crime. Extradition falls under the authority of the governor of a state and the PCMS must support the activities performed by the prosecutor to secure extradition.

International extradition is governed by treaties between nations; however, the process for extradition between nations is similar to that between states.

Business/Organizational	
Process Activities	Prosecutors prepare and review extradition documents required by the governor to complete the extradition process. Prosecutors monitor the process and may arrange for the transport of the offender back to the appropriate jurisdiction. The principal requirements for extradition are as follows: • The offender has been arrested on a valid warrant—an order from the Executive Authority of the demanding state. • A judicial hearing is held in the state having custody of the fugitive. • A waiver of extradition by the fugitive or a judicial finding that the extradition order conforms to all legal requirements. • Custody is to be taken by the demanding state of the fugitive within 30 days.[xiv] • If the demanding state does not take custody within 30 days, the fugitive may be discharged.
Use Cases / User Stories	**Requesting extradition**: • If the person needs to be located, the prosecutor works with law enforcement to issue an interstate warrant (or Interpol red notice for international requests). • The prosecutor prepares an extradition order. • The prosecutor sends the extradition documents to the governor. • The prosecutor monitors the extradition process and, upon execution of the extradition order or governor's warrant, arranges for fugitive transportation. **Receiving an extradition request**: • The prosecutor receives an extradition order/governor's warrant from the appropriate authority. • The prosecutor informs the fugitive of the extradition order, including the underlying criminal charge and that the fugitive has a right to legal counsel. • If the fugitive wishes to contest extradition through a writ of habeas corpus, the fugitive can petition the court for a hearing to contest the order. The prosecutor argues before the court to determine the legality of the order.

Statutory Duties / Other Obligations	A state court analyzes four issues when determining whether to extradite: • Whether the extradition request documents are in order. • Whether the person is charged with a crime in the requesting state. • Whether the person named in the extradition request is the person charged with the crime. • Whether the person is a fugitive from the requesting state.
Applications	
Application Capabilities	**To support the extradition functions, the PCMS—** • Must create the required extradition documentation that may include a charging document or affidavit. • Must manage workload and calendars for extraditions (30-day timeframes). • Must manage hearing information for extraditions. • Should track costs of extraditions.
Data Exchanges	Data exchanges may include: • Relevant case information for the governor's office
Data Management	
Data Needs	Data required for extradition include elements from the following data groups: • Agency • Court • Person • Defendant details • Incident • Custodial status • Criminal history

6d. Conflict Avoidance

Conflicts of interest occur when a prosecutor is related to a defendant, has a financial relationship with the defendant, has a relationship with the judge the case is assigned to, has a relationship with the attorney representing the defendant, has a relationship with a victim or witness in a case, has a relationship with one of the government entities involved in the case, represented the defendant in a previous case, or if the prosecutor cannot administer the law in an objective manner.

Other types of conflicts may arise with other individuals associated with the case. The *Brady* doctrine[xv] is a pretrial discovery rule that requires that the prosecution turn over all exculpatory evidence to the defendant in a criminal case. Additionally, disclosure of agreements with witness, police dishonesty, and access to all information related to the investigation is required under the *Giglio* ruling. The *Brady* and *Giglio* decisions require investigators to inform prosecutors of information that casts substantial doubt upon the accuracy of an officer's testimony or would allow the defense to question the veracity of the witness. The International Association of Chief of Police (IACP) Model Policy on Brady Disclosure Requirements lists examples of material, including "Information that casts doubt on the credibility or accuracy of a witness or evidence" and "An officer's excessive use of force, untruthfulness, dishonesty, bias, or misconduct in conjunction with his/her service as a law enforcement officer."[xvi]

Business/Organizational	
Process Activities	Each prosecutor's office should establish procedures for handling actual, potential, or perceived conflicts of interest. These procedures should include, but are not limited to: • Searching case files for the existence of any conflicts. • Methods to accurately document the manner in which conflicts were handled to ensure public trust and confidence in the prosecutor's office.
Use Cases / User Stories	**To perform these functions, the user—** • Collects detailed information about participants in each case. • Performs conflict checks across cases by searching case files for common participants. • Should cross-reference a *Giglio* list—a list of potential witnesses and other parties with credibility issues—with the witness list and generate the appropriate disclosure. • Discloses exculpatory/conflict information to the defense. If a conflict is found, then the prosecutor may request special counsel.
Statutory Duties / Other Obligations	The prosecutor should decline to participate in a case where he/she has a conflict of interest. The prosecutor is responsible for following *Brady v. Maryland* (1963), which requires the prosecutor disclose exculpatory evidence, and *Giglio v. United States* (1972), which requires the prosecutor provide the defense with any information germane to the credibility of the prosecutor's witnesses.
Applications	
Application Capabilities	**In order to support the conflict of interest business process, the PCMS—** • Must search persons at the time participants are added to a case and provide reports of potential conflicts

	• Must allow the user to enter detailed information related to each participant in a case. • Must allow the user to quickly and easily perform conflict checks for each person added to a case. • Should cross-reference a *Giglio* list so any file a prosecutor is assigned will identify and generate an appropriate disclosure when the witness name is entered into the witness list for the case. • Should provide a report of any potential conflicts, including *Giglio* disclosures.
Data Exchanges	Data exchanges include: • Docketing/calendar information • Case participant information • Investigative and support personnel previously known to have conflicts.
Data Management	
Data Needs	Data required for conflict avoidance include elements from the following data groups: • Person • Case • Event

Section 7: Common Requirements

7a. Data Exchanges and System Interfaces

The PCMS requires functionality to exchange data with external sources to:

1) increase efficiency by reducing the need for redundant data entry
2) decrease the likelihood of human data entry errors
3) use data from the authoritative source, and
4) report data as required by law.

Business needs will determine the exact nature of the information exchanges and should include exchanges with law enforcement and the courts. All information exchanges should be automated whenever possible, and should comply with national standards, such as the Global Reference Architecture (GRA) and National Information Exchange Model (NIEM), whenever possible.

Business/Organizational	

Process Activities	The activities associated with the Data Exchange/System Interface component include:
	• The prosecutor receives daily arrest/booking reports from law enforcement agencies and makes prosecution determinations.
	  ○ If the prosecutor decides to prosecute, a new case is generated and law enforcement charging and related information is transferred to the appropriate fields within the PCMS.
	  ○ If the prosecutor declines to prosecute, the arrest and booking information, along with the declination, is transmitted to the state criminal history repository and referring law enforcement agency.
	• The user requests incident and other investigative reports from law enforcement agencies. The electronic files are sent to the user, and they are attached to the case within the PCMS.
	• The user requests reports from forensic interviews, medical exams, and sexual maturity assessments.
	• The user electronically files charging documents with the courts.
	• The user files amended charges with the courts.
	• The user submits requests for hearings/motions/pretrial conferences to the courts.
	• The user receives case information from the courts (scheduled events, changes in representation, changes in case assignment, dispositions and sentences, etc.)
	• The user submits information regarding defendant participation in a pretrial diversion program to the state criminal history repository.
	• The user receives electronic information, including criminal histories, warrants, protection orders, and sex offender registration status, from the state repository.

	• The user reports appropriate firearms disqualifier information to the state or national firearms background check program. • The user reports certain criminal convictions to various State agencies that license professionals. • The user provides evidence tracking reports and approval to destroy evidence to law enforcement.
Use Cases / User Stories	The user may **receive** the following data electronically: • Incident and arrest reports from law enforcement agencies. • Investigative information from law enforcement agencies. • Information from forensic interviews, medical exams, and sexual maturity assessments. • Booking and arrest information from jail or detention facilities (ABIS). • Citations from law enforcement. • Court filings. • Court case events (e.g., hearings, motions, trials). • Judgment and sentencing information. • Warrant/wanted person information. • Protection order information. • Sex offender registry information. The user **sends** declinations to prosecute to the state criminal history repository and/or referring law enforcement agency. The user **sends** the following information to the referring law enforcement agency and the state criminal history repository: • Charges filed against a defendant • Disposition outcomes that are the responsibility of the prosecutor, such as case declinations, diversion referrals, and diversion completions. The user **sends** the following information to the referring law enforcement agency: • Evidence tracking and destruction notices. The user **sends** the following to the court: • Criminal charges/filing documents. • Requests for hearings/motions/pretrial conferences. • Other eFiling functions supported by courts. The user sends dispositions to all State agencies as required by statute.
Statutory Duties / Other Obligations	The prosecutor is required to make informed decisions that rely on information to ensure that they are based on reliable, accurate data.

Applications	

Application Capabilities	**To support data exchanges and system interfaces, the PCMS—**
	• Must allow the automated entry of information from external sources via information exchanges.
	  ○ The PCMS must allow the user to accept/reject information and communicate that decision/action to external source(s).
	• Must allow users to generate inquiries to internal and external data sources from within the module(s) where such inquiries fit.
	• Must allow users to reuse and/or import data returned from external sources to eliminate redundant data entry.
	• Must provide the capability to electronically send PCMS data to external data sources in a nonproprietary format either automatically (i.e., based on agency rules embedded within the PCMS) or upon the user's request. This includes—
	  ○ electronic filing of charging documents (e.g., complaint, indictment, information, and citation) and transmit designated data (e.g., basic case information) from PCMS to the court case processing system.
	  ○ the filing of amended charges and other documents and provide traceability for when documents were sent and by whom.
	  ○ disposition reporting to the state criminal history repository and appropriate firearms disqualifier information to the state or national firearms background check program.
	  ○ disposition reporting to State professional license agencies as required.
	  ○ evidence tracking and destruction notices.
	• Should use nationally accepted information sharing practices, as provided by the Global Reference Architecture (GRA), the National Information Exchange Model (NIEM), and the Global Federated Identity and Privilege Management (GFIPM).

Data Exchanges	The PCMS must have the capability to **receive** information, including:
	• Law enforcement data from:
	  ○ incident reports
	  ○ arrest reports
	  ○ investigative reports
	  ○ evidence (audio, video, images, etc.)
	  ○ evidence analytical reports
	  ○ forfeiture information
	  ○ warrant service notice
	  ○ booking reports
	  ○ supplement reports
	• Third-party data from entities that provide:
	  ○ forensic interviews
	  ○ medical exams
	  ○ sexual maturity assessments
	  ○ mental health assessments
	• Courts data:
	  ○ indictment/grand jury
	  ○ conviction orders
	  ○ nolle prosequi orders
	  ○ court supervision orders
	  ○ probation orders
	  ○ sentencing and probation violations

	○ fine/fee/restitution orders ○ orders of commitment to Department of Corrections ○ motions/orders for defendant to submit blood specimen ○ motions/orders to register as a sex offender ○ motions/orders from hearings ○ petitions for revocation of sentence ○ petitions for rule to show cause ○ information warrants ○ search warrants ○ arrest warrants ○ arrest warrants recall ○ summons ○ writs of habeas corpus ○ answers to discovery requests ○ court minutes ○ docketing/calendar information ○ discovery information ○ jury lists ○ final dispositions ○ presentence reports • State criminal history repository data: ○ criminal histories (i.e., person identity histories) ○ warrants ○ protection orders ○ sex offender registry status The PCMS must have the capability to **send** information, including: • Law enforcement data: ○ decisions to move forward with prosecution ○ declinations to prosecute • Court data: ○ indictments/grand jury information ○ charge filings ○ hearing requests ○ conference requests ○ citations ○ case assignments (e.g., attorneys assigned to cases) ○ request for dismissal ○ discovery information • State criminal history repository data: ○ declinations to prosecute ○ interim dispositions (e.g., assignment to pretrial diversion program, deferred prosecution, etc.) ○ final dispositions • Additional data: ○ victim notifications ○ witness notifications ○ diversion program information ○ evidence tracking and destruction notices
Data Management	
Data Needs	The PCMS may need the capability to create an information exchange for any and all data elements stored in the PCMS.

7b. Records and Document Management

Many records and documents are created and/or received during the case. The PCMS must provide a robust system for receiving, storing, searching, accessing, and sending case records and documents. The PCMS needs to track who created, accessed, and shared each record or document.

Business/Organizational	
Process Activities	The activities associated with records and document management include the following: • Collect and store information about cases and participants. • Maintain control over physical and electronic case files. • Generate documents to respond to discovery requests. • Generate documents for all court appearances and pretrial conferences. • Receive, catalog/index, and store documents received by the office. • Scan or otherwise transform paper documents into scanned images for inclusion with the electronic case file in the PCMS. ○ Utilize optical character recognition (OCR) capabilities on scanned documents to catalog/index the documents for easy search and retrieval. • Allow access to all documents, records, and images associated with each case by accessing the case in the PCMS. • Seal electronic case files. • Expunge electronic case files. • Search for documents by metadata and by content • Redact individual items in a document • Maintain the criminal code tables
Use Cases / User Stories	**In order to support records and document management, the user—** • Enters data and creates, receives, stores, and indexes documents related to a case. • Creates documents using standardized templates and creates custom documents using MS Word or an equivalent word processor. • Sends and receives documents electronically and automatically log when documents are sent and received. • Accesses predefined and ad hoc reports. • Produces documents and reports in response to discovery requests and redact information as needed (see **Discovery**). • Manages physical files and electronic and non-electronic evidence (see **Evidence Management**). • Revises documents as needed. • Redacts information in the documents as required. • Locks and protects final versions of documents.

	• Digitally authenticates documents with digital signatures and timestamps[xvii] to assure that the electronic document is accurate and credible. • Prints (or reprints) documents and reports individually or in batches. • Manages and tracks physical files maintained by the office using bar codes/RFID or similar technologies. • Searches for existing hard- or soft-copy documents using varied search criteria, including names, numeric identifiers, case numbers, date ranges, case assignments (e.g., court, judge or attorney), phrases within a document, and addresses. • Selects and accesses predefined reports and document templates from a display list. • Reviews documents and audio/video files on screen prior to printing or sending electronically. • Adds metadata about each document or report, whether it is originally created within the office or received from an outside source. • Seals an electronic case file by setting security so that authorized persons only retrieve the case file as needed. • Expunges an electronic case file and purge it from the system based on court orders. • Maintains the criminal code tables, including statute effective and end dates, offense level and class, and statutory qualifiers (the statute table may include nationally recognized codes such as UCR and/or NCIC for data analytics). The user should be able to perform the following activities: • Access templates to create common document types, including: o affidavits o charging documents o interviews o discovery invoices o evidence lists o evidence chain-of-custodies o filing documents o motions o plea agreements o presentence investigation reports o property lists o case summaries (e.g., basic information about the victim, defendant, charges, etc.) o restitution lists o subpoenas o victim correspondence o warrants o witness lists.

Statutory Duties / Other Obligations	The business rules for records and document management include: • Records must be accessible to authorized users according to roles that are managed by the system administrator. • Records must be sharable with external entities. • Records must be secured to prevent unauthorized access and/or tampering, including sealed electronic case files. • Records must be retained and archived in compliance with records retention policies. • When a record is accessed, an audit log entry must be created that indicates who accessed the record when and, in some cases, for what reason. • Records must be able to be purged from the system. • Privileged information must be protected both in the PCMS and in documents received or produced within the PCMS.
Applications	

Application Capabilities	**To support records and documents management functions, the PCMS—**
	• Must allow users to add and edit all case and participant information through a user interface based on appropriate authorization.
	• Must allow users to manage and maintain code tables unique to a given prosecutor's office.
	• Must allow users to share documents from the application and track sent documents from within the case.
	• Must produce predefined reports, including:
	  ○ speedy trial notifications.
	  ○ court events by date, case type, event type, and event location.
	  ○ disposition and sentence reports by attorney, judge, case type.
	• Must integrate with MS Word or an equivalent word processor to support document and report creation.
	• Must integrate with OCR capabilities to support document scanning, indexing, search and retrieval.
	• Must integrate with core functions to provide merging capabilities within the records and document management functions.
	• Must allow users to revise documents after merging.
	• Must provide a means to produce custom or ad-hoc reports.
	• Should allow access using third-party products and tools to all data and information produced, stored, and maintained with the PCMS.
	• Must produce reports that are not alterable by the end user.
	• Must allow users to lock and protect final versions of documents.
	• Must digitally authenticate documents.

	• Must provide electronic acknowledgment and notify appropriate individuals when any part of the case is electronically shared with another entity. • Must allow users to set access controls on individual items in the electronic case file. • Must allow users to protect sensitive data and regulate access to data based upon rules established by the office. • Must clearly identify, distinguish, and protect as appropriate discoverable from non-discoverable items and information contained in the electronic case file. • Must allow the user to redact sections within the document. • Must allow the user to update the criminal code tables in the system. • Must provide the ability for users to create custom and fillable templates for common document types (including but not limited to): o affidavits o charging documents o statements o discovery invoices o filing documents o presentence investigation reports o property lists o case summaries (e.g., basic information on the victim, defendant, charges, etc.) o restitution lists o subpoenas o victim correspondence o warrants o witness lists. • Must allow users to customize documents at the individual office level, i.e., give users the ability to generate documents that are unique to their offices. • Must support digital signatures. • Must allow users to print documents individually (including the ability to reprint) or in batches • Must provide indexing, text-based, and metadata search capabilities for every document. • Must support version control and auditing. • Must allow users to move or copy data or documents from one case to another. • Must provide document management capabilities that support drag-and-drop to and from the repository and other platforms (desktop, personal folders/browser, email). • Must support storage of all industry-standard object types (.docx, .pdf, email, .xlsx, .jpeg, mp3, mp4, etc.). • Must allow users to attach audio and video files to the electronic case file.

	• Must support tracking the location and custodian of physical files using bar code/RFID or similar technology. • Must allow users to access physical file management information. • Must provide a document management-oriented user interface or view that focuses on this functionality, in addition to an electronic case file-specific view. • Should prepopulate fields in documents and reports using information from the PCMS. • Should provide a user interface that allows users to assign tracking technologies to each case and display a list of all files checked out by date, custodian, and case type. • Should provide a report of audit logs for a given case, person, event, or evidence. • Must allow users to seal electronic case files. • Must allow users to expunge electronic case files.
Data Exchanges	See data exchanges and system interfaces section 7a.
Data Management	
Data Needs	Data required for document management include elements from the all data groups.

7c. Workflow Management

The user must be able to manage attorney and staff caseloads and to create customized workflows to support task management. (A workflow is defined as an automated routing and approval process, which can occur with or without user intervention/ interaction.)

The user must be able to create and manage alerts and notifications for all system events (broader than court-scheduled events alone), such as change of assignments, scheduled events, assignment of tasks, etc. For example, when a court-scheduled event is received from the court case management system, the PCMS should automatically record this event in the appropriate case, send notices to case participants as designated by the case manager, and add the event to each individual's calendar. All such events should also include notice of scheduling conflicts. The court events can also trigger internal events and workflow items based on jurisdictionally defined criteria.

Business/Organizational	
Process Activities	The activities associated with the Workflow Management component include the following. **The user—** • Adds events in the PCMS, which are automatically added to appropriate participants' calendars as defined by the case manager. • Assigns and transfers cases and tasks to attorneys and other office staff. • Tracks progress in completing tasks. • Manages priorities to ensure that all activities can be completed in a timely and effective manner. • Creates and manages alerts and notifications for all system events.
Use Cases / User Stories	**The user must be able to—** • Create and manage workflows and calendars. • Create, view and update attorney and staff calendars. • Assign cases and monitor status of assignments. • Review the number of cases/tasks assigned to each employee. • Create and manage alerts and notifications for all system events. • Create, view and update group calendars for predefined groups of employees—e.g., attorneys by division, investigators by division, support staff by division, etc. • Create views of calendars, by date, persons, groups, case types, etc. • Create views that show progress toward completing tasks associated with an individual case—e.g., case filings, responding to discovery requests, conducting victim/witness interviews, submitting document to supervisor for approval, approving documents, entering lab reports, creating evidence log entries, etc. • Create views of and update dashboards showing progress toward completing tasks associated with various case types—e.g., homicides, burglaries, worthless checks, etc. • Create views that show progress toward completing tasks for individual employees. • Create and view reports with charts showing time elapsed between case initiation, closure, and other milestones to help ensure a speedy trial.

Statutory Duties / Other Obligations	The obligations of the prosecutor's office are to ensure each case is tracked and managed as efficiently as possible.
Applications	
Application Capabilities	**The PCMS must support the following workflow management capabilities**: • Authorized individuals must be able to create and manage workflows. • Workflows must support multiple recipients and integrate with task management, where an individual can view all tasks associated with that individual, including tasks assigned to others and tasks assigned to that individual. • Where orchestrated workflows are defined, the history of all related activities should be viewable for a given assignment/task. • Each workflow will include the following data: assigned to, date assigned, status of assignment, and current status date. • Upon completion of a workflow assignment, a notification must be sent to the task assigner. • Participants must be notified of assigned tasks, changes to calendars/ schedules, and other activities as defined by the case manager. • All events should include a notice of scheduling conflicts. • Any changes to staff assignments should not affect historical records —only records going forward. • The workflow ensures that the agency complies with speedy trial standards and other deadlines related to case processing. **To support the Staff Management component, the PCMS—** • Must allow the user to set up automated workflows. • Must allow the user to assign and transfer cases to attorneys and other office staff. • Must allow the user to prioritize cases and assign work based on the case weight (complexity). • Should include a notice of scheduling conflicts for all events. • Must capture information regarding when and to whom tasks are assigned. • Must capture information about the status of each task—e.g., assigned, in progress, completed, overdue, etc. • Must allow the user to view the status of tasks assigned to each employee and predefined employee groups (e.g., attorneys, investigators, etc.) • Must integrate with Microsoft Outlook (or similar calendar application) to allow the user and other authorized staff to view multiple calendars. • Must allow the user to create alerts and notifications of all events, including scheduling changes. • Must provide automated document routing and capture required approvals, including approving person and time/date of approval.

	• Must send automated notifications of task completion/ document approval. • Should alert attorneys and other appropriate staff of upcoming deadlines and documents/events that are overdue.
Data Exchanges	Data exchanges for the workflow management include: • Docketing/calendar information. • Warrant service notice. • Case assignments (e.g., attorneys assigned to cases). • Additional notifications and alerts to persons assigned to each case.
Data Management	
Data Needs	Data required for workflow include elements from the following data groups: • Person • Case • Event • Location • Task

7d. Time Tracking

Time tracking allows prosecutor offices to take an evidence-based approach to managing office resources. It provides capabilities for users to record activities and time spent on those activities and provides reports to managers to understand the time needed to complete activities.

Business/Organizational	
Process Activities	The activities associated with time tracking include the entry and reporting of time spent on case and non-case tasks by each office employee.
Use Cases / User Stories	**The user must be able to—** • Enter time spent on each activity, using categories for various prosecution and non-case-related tasks. • Use the time reporting to create timesheets, and workload and time reports (e.g., hours worked by each employee by case/task type).
Statutory Duties / Other Obligations	The business rules for the time tracking include the need to manage office resources to best use resources and understand the need for additional resources.
Applications	

Application Capabilities	**To support time tracking, the PCMS—**
	• Must allow the user to set up work categories.
	• Must allow the user to enter time for each case and category.
	• Should include the capability for each user to track their time.
	• Must provide time reporting to managers:
	  ○ time per case, include charge severity
	  ○ cases per desk
	  ○ time per activity
	  ○ range of staff level of effort

Data Exchanges	Additional data exchanges include: • Docketing/calendar information
Data Management	
Data Needs	Data required for time tracking include elements from the following data groups: • Person • Event • Task assignments

7e. Data Analytics and Performance Management

Data analytic tools give prosecutors and their criminal justice partners the ability to analyze case management system data to produce a wide variety performance, outcome, and effectiveness measures of their actions. The majority of the requirements described previously in this document emphasize *case-specific functionality*; whereas data analytics provide a longer-term and holistic view of the extent to which their decisions and actions support specific goals, policies, and objectives. Increasingly, data analytic capabilities are becoming a key component in evidence-driven and strategic decision-making.

Prosecutors can analyze the data contained in the PCMS to identify performance trends from both a **process** and **outcome metrics** perspective. From a process perspective, prosecutors can evaluate a variety of case processing metrics: length of time from filing to disposition, average days in trial, and the associated costs, etc. From an outcomes perspective, data can be used to evaluate policies and practices by units or individual prosecutors: how do trial outcomes compare to negotiated pleas, is a policy of no negotiated pleas for repeat DUI offenders followed, etc.

Prosecutors can also benefit from analyzing data derived from outside the PCMS to evaluate broader issues associated with reducing crime: arrest reports, jail records, case referrals, sentences that include defendant demographics, criminal history, mental and behavioral health treatment history, employment, and other datasets can be used to assess a wide range of operational objectives and policy initiatives. This type of analysis provides quantifiable information and can be used to answer the following types of questions:

- What is our conviction rate on felony assault cases in the last year?
- What is the re-offense rate of misdemeanor offenders who completed a pretrial service program?
- What is the average length of time for warrant reviews from each law enforcement agency?
- Which pretrial service/program has the lowest rate of recidivism?

The data derived from these types of questions provide prosecutors with the necessary information to assess their performance relative to their goals. For example,

- conviction rates, sentence lengths, and the success rates of incarceration alternative programs can inform the degree to which offenders are held accountable;
- crime rates, arrests, charge referrals, and sentence data can highlight crime reduction efforts; and
- length of trial preparation and court appearances and associated staff costs can validate the goal-efficient administration of justice.

The PCMS data analytics capability must be able to support a wide variety of performance measures identified by individual prosecutors, as each jurisdiction faces unique challenges and customized approaches for addressing them. The following table provides a high-level description of the most common requirements to satisfy this need.

7e. Business/Organizational	
Process Activities	Data analytics activities include the ability for users to create, execute, and view ad-hoc queries from system data.
Use Cases / User Stories	**The user must be able to—** • Create ad-hoc and multi-tiered queries from specific information in each data group.
Statutory Duties / Other Obligations	Not applicable.
7e. Applications	
Application Capabilities	**To support data analytics, the PCMS—** • Must format and export all case data. • Must allow the user to select, sort, and reorder data elements to query. • Should include the ability to provide visual representations (i.e., graphs, charts, heat maps, etc.). • Should allow a user to save query parameters for future use.
Data Exchanges	Data exchanges should allow: • Import and export of case information on timeframes determined by the prosecutor. • Access to appropriate data by other justice actors.
7e. Data Management	
Data Needs	• All data groups in Appendix D should be available for analytic purposes.

Section 8: Nonfunctional Requirements

Nonfunctional requirements describe the **capabilities needed to manage the environment of a business system**. These capabilities, which are used by system and database administrators, address the deployed environment of the business application. They are:

- Tiers of security
- Data administration, management, and integrity
- Reliability and performance
- Application administration
- Enterprise architecture integration

Nonfunctional requirements also describe the **capabilities that are needed to manage the PCMS application**. These capabilities address the business application itself and are used by the application administrator:

- Business rules
- Application user interfaces

8a. Tiers of Security

The goal of system security is to protect personal identifying information from being compromised. It is the responsibility of the prosecutor to ensure that information is secure and only provided to authorized entities through acceptable means. The PCMS application should be implemented within a secure network with firewalls and network security measures in place. In addition to the physical and transport layer security, the application should allow f**or tiered security.**

At the first tier, the PCMS application needs to be secured from inappropriate access, both from within the organization and by external users. This is generally accomplished through system userids, passwords, and two-factor identifiers—depending upon the criticality or sensitivity of the business application. The PCMS application ideally would integrate with the systems technique of enterprise user identification.

At the second tier, the PCMS application needs to secure the access privileges to services and actions upon data by users. This is generally accomplished by assigning roles to persons, with each role having a set of privileges through a configurable process of user table maintenance. Examples of roles would be application administrators, agency management, agency supervisors, agency prosecutors, agency staff, and general users.

A third tier of security involves the interactions of the PCMS with external systems. Considerations for this security entail endpoint digital public key certificate exchanges and encrypted messages during transport. This ensures that the senders and receivers are legitimate, are current system participants, and adhere to enterprise security policies.

PCMS Security Capabilities offer the ability to—

- ✓ create and assign user accounts
- ✓ create and associate user accounts to PCMS roles
- ✓ create and associate business rules to PCMS roles
- ✓ create and associate PCMS service and data access privileges to PCMS roles
- ✓ integrate with external user identity authentication services

8b. Data Administration, Management, and Integrity

Data administration is the capability to establish and maintain the PCMS's underlying information model, a framework that establishes a data hierarchy of data groups, categories within groups, and elements within categories. (Note: These terms may differ depending on the database platform.) Based on the system's functional characteristics, it should have a "master table" information structure with groups that describe persons, organizations, cases, locations, activities, documents, and events. As an example, a **person group** could be attorneys, with categories of prosecutors and defense attorneys using data elements that describe their name, contact information, jurisdiction, and digital identity. The data administrator should be able to add and maintain these groups and their associated data field characteristics without compromising the integrity of the information model. Data characteristics are both ***physical*** and ***logical***:

Physical characteristics describe the field name, size, and type of data, and associated rules, e.g., "Person First Name," 12 characters long, text data, and the field is required.	**Logical characteristics** describe the relationships between groups, categories, and data elements. For example, a case must be associated with a jurisdiction, and it must have an attorney, a case number, a defendant, and a charge.

Although this document does not detail a PCMS information model, it is critically important for the evaluating team to assess the candidate PCMS application's model against the mandatory and optional functional characteristics of screen designs, document templates, queries, reports, and workflow. This is an extensive task, which should involve both business subject matter experts and technical data administrators.

Data management and integrity practices ensure that data are accurate and protected, and that database referential integrity is ensured. As PCMS functional components are configured, the PCMS should continually validate and ensure that data relationships are accurate and complete. Ideally, validation should occur real-time as components are configured; alternatively, and in addition, the system should generate data validation reports. The PCMS should also be able to generate data relationship diagrams and data dictionary reports based on the configured components.

Data management includes the ability to back-up active databases for redundancy and recovery, and create archive databases for historical recordkeeping. These are generally performed by database administrators at the schema level and system administrators at the program and operating system level. It is important to ensure that back-ups for both the application and database are taken at the same time to facilitate compatible recovery. Too often, back-ups are only taken at the database level and if restored, are likely to be incompatible with the application.

PCMS Data Administration, Management, and Integrity Capabilities offer the ability to—

- ✓ design, configure, and maintain the underlying information model (including user-defined fields)
- ✓ configure and maintain templates for screens, documents, and forms
- ✓ validate the underlying information model and associated templates (preferably real-time during configuration activities)
- ✓ generate data dictionary reports and data relationship diagrams
- ✓ create scheduled and ad-hoc database back-ups, including full, partial, and change-only back-ups
- ✓ restore database back-ups
- ✓ archive data without compromising the integrity of the active data
- ✓ retrieve archived data
- ✓ mark an element as sensitive or confidential to support redaction requirements
- ✓ generate scheduled and ad-hoc data activity and audit logs

Data management may also include capabilities to:

- update case status and information for both individual cases and groups of cases
- create and print reports for multiple cases
- print checks for multiple cases
- merge cases
- merge defendants

8c. Reliability and Performance

Reliability is a coupling of system availability, maintainability, and performance. Reliability is a consideration for, but does not include Disaster Recovery or Business Continuity plans.

System availability measures the time that a system functions without broad outages or component errors, commonly referred to as "bugs." Service level agreements document the PCMS system availability needs for users. System availability is usually expressed and measured in system access "up-time" requirements, time for data updates to take effect, "down-time" requirements for data and application back-ups, and system recovery times in the case of a broad system outage. A broad statement, such as "System should be available 24 hours, 7 days a week," is essentially unrealistic and should be broken down by components, workflow priorities, and critical paths of the business.

Service level agreements also document the PCMS system performance needs for users. ***Performance*** is generally expressed in metrics for online and offline activities response times. Similar to system availability statements, broad performance statements, such as "Response time for all transactions should be less than 3 seconds," are unrealistic. Broad query criteria against large databases will result in long-running queries, whereas a specific query against a key identifier will return faster results. Another aspect of performance is navigation—how long does it take to enter a case? How long does it take to add witnesses to the witness list? How long does it take to navigate to the victim list? Is required information *really* required at entry? Specific statements, such as "A case by jurisdiction query should return results within 5 seconds" or "Entry of mandatory fields of a single-charge new case should take less than 5 minutes" are of more value to measure performance.

Maintainability is the ease and speed with which a system outage or problem can be identified and resolved. Maintainability is usually expressed and measured in "Mean Time to Repair," which includes staff response and resolution times based on severity. Service level agreements document PCMS maintainability through defining problem severity levels. Definitions usually consider the extent of the user impact, the frequency of the problem, and the impact to business processes.

Reliability Capabilities offer the ability to—

- ✓ define measurements and service level agreements for discrete PCMS components
- ✓ measure and collect response times for discrete PCMS components
- ✓ measure and collect system availability for discrete PCMS components
- ✓ log errors
- ✓ create application "dumps" when errors occur
- ✓ define notifications when errors occur
- ✓ send alerts when errors occur

8d. Application Administration

PCMS components and functions should be configurable in order to meet an agency's current requirements and new or changing requirements over time. The PCMS configuration framework should be flexible and customizable, yet maintain application integrity as components are reconfigured. This set of functions allows application administrators the ability to customize features and functionality to meet the needs of the prosecutor's office. This includes custom data fields, data entry screens, interfaces, forms, and reports.

In many cases, the vendor needs to provide user and technical documentation so the agency can administer the application. This documentation should provide guidance and instructions, including:

- The capabilities implemented – the attributes, characteristics and qualities of the system.
- Environmental and architecture requirements – database platform, server requirements, etc.
- How to customize and configurable user-defined fields, forms, and reports.
- How to configure system to system interfaces.
- Manuals for the end-users.

8e. Enterprise Architecture Integration

Many prosecutors' offices rely on county, city or other entities for IT support. This support is frequently approached through an Enterprise Architecture (EA) strategy, which provides sets of reusable standardized services. The EA strategy may dictate that application solutions comply within the standard services. So, in addition to the functional standards, the PCMS solution assessment should include the capability of the PCMS to integrate into the enterprise services.

Enterprise Network Services provide the communication infrastructure between locations, facilities, and systems, as well as connectivity to law enforcement, courts, and other justice services. The PCMS should not require any custom configurations; instead, it should be "network agnostic" and capable of using supported network protocols for security, reliability, functionality, and information sharing.

Enterprise Hosting Services provide the hardware and system software infrastructure—servers, database storage, operating systems—to support the PCMS environment. The PCMS should be capable of operating in a variety of hosted environments, whether local servers, enterprise servers, or cloud-based environments. PCMS user interfaces should be deployable on a variety of devices, e.g. desktops, laptops, and tablets.

Enterprise Data Services provide technology offerings for data storage, access, availability, and security. The database selections likely include mainframe, middleware, and local server databases. Data access services provide query and search capabilities. Data availability services provide data back-up, restore, archive, and recovery capabilities. Data security services provide encryption capabilities for data at-rest and in-motion and protection against malicious actors and data theft.

Enterprise Business Services provide business technology offerings, such as document management, data analytics and visualization, secure financial transactions, and user identity management. Users should closely examine these for compatibility and integration with the PCMS, as they can extend the business productivity and efficiency.

Enterprise Architecture Capabilities offer the ability to—

- ✓ use the enterprise network protocols without customization
- ✓ deploy on the supported enterprise hosting infrastructure
- ✓ deploy on the supported enterprise data technologies
- ✓ deploy on common user devices, including mobile devices
- ✓ leverage and integrate with enterprise business technologies

8f. Business Rules

Business rules define operational logic between data values and processing. They are distinct from field validation rules, which can be validated through the information model. (A simple field validation example is that any "State" field is validated against the "State Abbreviation" table.)

Business rules are used in screen navigations, workflow traversals, query, search and report results, and many other aspects. Business rules and the information model are arguably the most complex design activities for any business application; for a PCMS, given the potential impact upon defendants and the public, they need to be given the utmost attention.

Many business rules are simple:

- *When a defendant is entered, the date of birth must also be entered.*
- *If a driver's license number is entered, the issuing state must also be entered.*

For the date of birth rule, a screen will enforce that a date of birth is entered. As simple as these two unrelated rules seem, if the rules are not designed in conjunction with the information model, problems will arise. The term "when" implies that the data object is required. Hence, a screen navigation rule will enforce that a date of birth is entered. What if the date of birth is unknown? The information model can create an unknown date default, such as 01/01/1900. For a driver's license, the term "if" implies that the data object is optional. However, the issuing state would not be optional if the driver's license number is entered. This could be enforced through the information model, but probably better enforced through the screen navigation template.

Many business rules are complex and inter-related with simple rules:

1. If the defendant is less than 17 years old at the time of the offense, the defendant is a juvenile (simple rule) *but*
2. If the charge is a Class A Felony, *and*
3. There are criminal enhancers, *then*
    - The case and defendant must be handled as an adult matter.

This example needs person and charge data attributes to arise at a decision, but can only be enforced through business logic.

Business Rules Capabilities offer the ability to—

- ✓ create business rules against specific fields
- ✓ create business rules that validate values across multiple rules
- ✓ integrate business rules in the design of screen templates
- ✓ integrate business rules in the design of screen navigation
- ✓ integrate business rules in the design of document forms

8g. Application User Interfaces

Application user interfaces are typically enabled through presentation screens that allow users to use the business functions of the PCMS. These business functions, fully described in the Case Management and Tracking Functional Requirements sections 1 through 7, include capabilities to enter, access, and query data, to participate in workflows, and to review and route documents. The nonfunctional capabilities for application user interfaces allow application administrators to design, configure, and customize the PCMS.

A well-designed user interface is efficient, user-intuitive, and easy to navigate. It should make logical sense in the sequence of activities and create the correct business outputs. Training requirements should be minimal.

Application User Interfaces Capabilities offer the ability to—

- ✓ design fields with user-friendly business names
- ✓ associate business rules with data fields
- ✓ associate fields with screens
- ✓ create conditional field-to-field navigations
- ✓ create a screen-to-screen workflow
- ✓ create conditional screen-to-screen workflows
- ✓ create a person-to-person workflow
- ✓ create conditional person-to-person workflow
- ✓ create notifications when certain events occur
- ✓ create field-level “help” content, e.g. “hover hints”
- ✓ create on-demand training content

8h. Support Services

An event is a detectable or discernible occurrence that has significance for managing the IT infrastructure or delivering the services. The PCMS should provide system administrators with tools to monitor and detect events before they become unplanned interruptions to IT services or a reduction in the quality of service.

1. **System Resilience** – This is the system’s ability to maintain acceptable service levels.
   - The hosting entity or solution provider should take steps to reduce the probability of system failures and unplanned outages (e.g., load balancing servers to prevent overloads, providing redundancies to avoid single points of failure).
   - The hosting entity or solution provider should be able to identify potential vulnerabilities and take steps to address them.
   - The hosting entity or solution provider should be able to detect system problems as they occur and take prompt steps to remediate any issues (e.g., monitoring physical servers and specific applications/services).
2. **Disaster Recovery/Failover** – In the event of manmade and/or natural disasters, the hosting entity or solution provider should have an effective recovery plan to return the system to a steady state in a timely manner with a minimal amount of data loss. The system should have a secondary failover site to allow for continuity of operations until the system can be restored in its primary environment.
3. **User Support** – The PCMS vendor should provide online and phone-based technical assistance services during predetermined hours (e.g., 0700 to 1800 EDT). If patches and upgrades are part of the licensing and/or maintenance agreement, they should be applied outside of normal office hours. All patches and upgrades should be tested prior to deployment in a production environment, and the vendor should be able to roll back any system changes in the event the system becomes unstable or inoperable.

Appendix A: Document Terms and Definitions

A	Adjudication	The act of a court in making an order, judgment, or decree, judicial decision, or sentence.
	Adjudication hearing	A trial for a juvenile offender heard by judges because youthful offenders do not have the right to a trial by a jury of their peers.
	Appeal	Application to a higher court for a reversal of the decision of a lower court.
	Arraignment	A formal reading of a criminal charging document in the presence of the defendant to inform the defendant of the charges and provide the defendant an opportunity to enter a plea.
	Arrest	The act of seizing someone into custody.
	Bail	The release of an accused person, usually on condition that a sum of money be lodged as guarantee they appear in court. The court sets the bail amount and release conditions.
B	Bail Bond	An instrument of indebtedness or written promise signed by an accused and surety agent to ensure the accused will appear in court.
	Brady v. Maryland (1963)	U.S. Supreme Court decision requires that the prosecutor disclose exculpatory evidence.
C	Civil forfeiture	The legal process in which law enforcement officers seize assets; sometimes referred to as “asset forfeiture.”
	Criminal case (Case)	Prosecution by the State of a person or organization, for committing a crime punishable by law.
	Charge	A formal accusation made by a governmental authority asserting that a person committed a crime.
	Charging document	A formal document that contains one or more criminal charges or counts, which can take several forms, including: complaint, indictment, or information.
	Citation	A summons to appear before a court at a specific place and time to answer to specific charges.
D	Defendant	The subject of a criminal, traffic, or infraction prosecution.
	Delinquent	A juvenile defendant.
	Delinquent acts	Juveniles commit “delinquent acts” instead of “crimes,” which may include status offenses.
	Digital signature	A digital signature is contained in a digital certificate, which is an electronic

		document from a certificate-issuing authority that binds together a public key with an identity and can be used to verify a public key belongs to a particular person or entity.
	Digitized signature	A scanned image of a handwritten signature.
	Disposition	Refers to the final determination of a case or issue as determined by a prosecutor or court.
	Docketing	Refers to creating and maintaining a list of judicial proceedings for court schedules.
E	Evidence	The available body of facts or information indicating whether a belief or proposition is true or valid.
	Extradition	Sometimes referred to as "interstate rendition" — one state or nation giving over an individual to another state or nation for purposes of criminal trial or punishment.
G	*Giglio v. United States* (1972)	U.S. Supreme Court ruling that requires the prosecutor to provide the defense with any information related to the credibility of the prosecutor's witnesses.
	Giglio list	A term used to define a list of potential witnesses with credibility issues; it includes both *Brady* and *Giglio* disclosures. For example, a police officer who fabricated evidence in the past or a witness who received deferred prosecution for testimony.
H **I** **J**	Hearing	Opportunities to state facts, seek judgments, or request event changes in court.
	Infraction	A violation or infringement of a law—an infraction is usually used to describe a minor offense.
	Jurisdiction	The geographical boundary within which the prosecutor's authority extends.
	Juvenile	A young person who is the subject of a criminal investigation.
N **O**	Nonrepudiation practices	Methods to ensure that the user is who they say they are; for example, fingerprint authentication, tokens, and digital certificates.
	Offender	An individual who breaks the law.
	Offense	As distinguished from charge. Offense information is related to the law enforcement incident and arrest data underlying the criminal case and includes law enforcement identifiers and elements of the offense, such as the date of offense.
	Omnibus hearing	Pretrial hearing to determine the evidence, including testimony and evidence seized at the time of arrest, does not violate the defendant's rights.

P	Participant	Any individual involved in a case outside of the established roles, such as judge, attorneys, witnesses, victims, defendants, etc. This can include investigators, support staff, interpreters, victim advocates, diversion officials, etc.
	Probable cause	A requirement found in the Fourth Amendment that must usually be met before police make an arrest, conduct a search, or receive a warrant. It is the sufficient reason based upon known facts to believe a crime was committed or that certain person(s) and/or property is connected with a crime.
	Property	A thing or things belonging to someone; possessions collectively.
	Prosecutor	Unless otherwise specifically indicated, means any person or persons performing the prosecution functions—Prosecutor, County Attorney, District Attorney, Special Prosecutor, Prosecutor staff, etc.
R S	Restitution	Recompense for injury or loss.
	Speedy trial	The Sixth Amendment guarantees all persons accused of criminal wrongdoing the right to trial without undue delay.
	Suspect	A person of interest to a criminal investigation.
	Status offense	A noncriminal act that is considered a law violation only because of a youth's status as a minor. It is often resolved at the investigating agency.
V W	Victim	A person harmed, injured, or killed as a result of a crime, accident, or other event or action.
	Witness	A person who sees an event, typically a crime or accident, take place.

Appendix B: Resources

- Alaska Court System, Clerk's Manual Criminal, Sixth Revision March 1998
- American Bar Association, Prosecutor Functions: https://www.americanbar.org/publications/criminal_justice_section_archive/crimjust_standards_pfunc_blk.html
- American Bar Association Prosecutor Standards. Fourth Edition: http://www.americanbar.org/groups/criminal_justice/standards/ProsecutionFunctionFourthEdition.html
- American Probation and Parole Association, Functional Standards Development for Automated Case Management Systems for Probation, September 2003
- Chelan County Washington Prosecuting Attorney Case Management System (PCMS) RFP/Q, Released December 15, 2014
- County of Prince Edward, Virginia, Request for Proposal for a Case Management System RFP13-001
- County of San Luis Obispo (California), Request for Proposal, District Attorney Case Management System, 2012
- Civil forfeiture policy and guidelines: https://www.justice.gov/criminal-afmls/file/839521/download
- Federal Rules of Criminal Procedure, http://www.uscourts.gov/sites/default/files/federal_rules/FRCrP12.1.2014.pdf, December 1, 2014, U.S. Government Printing Office, Washington DC
- FindLaw Criminal Law online resource: http://criminal.findlaw.com/
- FindLaw Juvenile Justice proceedings: http://criminal.findlaw.com/juvenile-justice/how-do-juvenile-proceedings-differ-from-adult-criminal-proceeding.html
- Guardianship: http://www.familylawselfhelpcenter.org/self-help/guardianship/overview
- Law Enforcement Information Technology Standards Council, Standard Functional Specifications for Law Enforcement Records Management Systems, version II
- Montana Criminal Law and Procedure: http://courts.mt.gov/portals/113/library/bar-seminar/docs/criminal-law.pdf
- The National Consortium for State Court Automation Standards, Criminal Functional Standards, 2002
- National District Attorneys Association, National Prosecution Standards. Third Edition with Revised Commentary http://www.ndaa.org/pdf/NDAA NPS 3rd Ed. w Revised Commentary.pdf updated 2009
- Nolo online Legal Encyclopedia: www.nolo.com/legal-encyclopedia
- Oregon State Bar Association, Juvenile Dependency procedures: https://www.osbar.org/_docs/resources/juveniletaskforce/JTFR3.pdf
- Wisconsin Department of Administration, Prosecutor Case Management Solution Request for Information (RFI) 20866-AW-RFI Issued: February 4, 2011

Appendix C: Cross-Reference Matrix

FUNCTIONS	Mandatory	Desired	Optional	In Current PCMS
Pretrial				
Case Initiation				
Initial Appearance				
In-Custody Defendants				
Preliminary Hearing				
Arraignment				
Pretrial Events				
Trial				
Jury Selection				
Trial Preparation and Presentation				
Jury Instructions				
Verdict and Finding				
Post-Adjudication				
Case Disposition				
Sentencing				
Other Post-Adjudication Events				
Special Cases				
Citation/Infraction				
Grand Jury				
Juvenile				
Civil Forfeiture				
Insufficient Funds Cases				
Guardianship				
Child Dependency and Neglect				
Special Prosecution				
Appeals				
Case Support and Services				
Discovery				
Evidence Management				
Investigations				
Motions				
Victim Services/Assistance				

Restitution and Compensation Management				
Witness Management				
Diversion/Deferred Prosecution				
Additional Business Requirements				
No Contact and Protection Orders				
Warrant Reviews				
Extradition				
Conflict Avoidance				
Common Requirements				
Data Exchanges/System Interfaces				
Records and Document Management				
Workflow Management				
Time Tracking				
Data Analytics and Performance Management				
Nonfunctional Requirements				
Tiers of Security				
Data Administration, Management, and Integrity				
Reliability and Performance				
Application Administration				
Enterprise Architecture Integration				
Business Rules				
Application User Interfaces				
Support Services				

Appendix D: Data Management – Data Groups

The following is a list of all data groups and detailed business data elements required of a PCMS.

Agency	**Arrest**	**Bail and Bond**	**Booking**	**Case**
Name	Date/time	Bail amount	**Arrest**	Identifier
Identifier (ORI)	Arrest tracking number (ATN)	Conditions	**Agency**	Name
Location	Arresting (**Agency**)	Bond status	Date/time	Severity (felony, misdemeanor, etc.)
Contact **(Person)**	**Charge**	Bond type (Property, Surety, Case, etc.)	Booking identifier	Status
	Defendant (**Person**)	**Case**	**Defendant details**	Style
	Location	**Court**		**Charge**
		Court dates		**Court**
		Date		Date updated
		Defendant (**Person**)		Filing (**Agency**)
		Fair market value of property		Judge (**Person**)
		Property (**Location**)		Defense attorney (**Person)**
		Property description		Referencing (**Agency**)
		Surety owner (**Person**)		Domestic violence indicator
Charge	**Court**	**Defendant detail**	**Disposition**	**Event**
Count	Identifier (ORI)	Age	**Court**	**Court**
Description	Name	Date of birth	Date	Date
Identifier	Type	Driver license or state-issued ID number (DLN)	Defendant (**Person**)	Name
Severity	Jurisdiction	Ethnicity	Description	Results
Type	**Location**	Eye color	Disposition type	Type
Statute identifier		FBI Universal Control Number (UCN)	Plea information	**Location**
Statute description		Gender	**Sentence**	Time
		Hair color		
		Height		
		Marital status		
		Minor or adult indicator		
		Occupation		
		Passport number		
		Race		
		Physical descriptions		
		Sex		
		Social security number (SSN)		
		State identification number (SID)		
		Weight		
		Custody status		

Evidence	**Incident**	**Location**	**Person**	**Property**
Access by	Defendant **(Person)**	Address	Bar number *optional	Description
Blood alcohol level	**Evidence**	City	Email addresses	Identifier
Date/time access	Gang-related	Latitude and Longitude	**Location**	**Location**
Date/time release	Hate/Bias code	Description	Name	Owner **(Person)**
Discoverable indicator	Incident date	Type	Person role	Type
DUI intoxicant type	Incident description	State	Phone numbers	Value
Evidence description	Incident number	Zip code	Work **(Location)**	
Evidence identifier	**Location**			
Evidence type	Offense attempted/completed			
Seizure **(Location)**	Offense codes			
Measurement	Offense descriptions			
Released to **(Person)**	Offense types			
Submitter **(Person)**	Property type			
	Property value			
	Type of criminal activity			
	Victim			
	Victim statements			
	Weapons used			
	Witness statements			
Sentence	**Task**	**Victim**	**Warrant**	**Witness**
Charge	Assigned to **(Person)**	Age	Affiant	Items to produce
Concurrent or consecutive	Date assigned	**Person**	Affiant **(Agency)**	**Person**
Date	Date due	Race	**Charge**	Relationship with offender
Fees imposed	Description	Relationship with offender	**Court**	Subpoena type
Fines imposed	Status	Sex	Court case number	*Brady/Giglio* indicator
Presentence investigation report		Type of injury	Date issued	*Brady/Giglio* information
Restitution imposed		Type	Judicial officer **(Person)**	
Sentence length for each charge			Narrative	
Sentence sanctions			Subject **(Person)**	
Sentence type for each charge			Subject **(Defendant details)**	
Verdict			Vehicle (plate, make, model, description)	
			Status	

Endnotes

[i] National District Attorneys Association, National Prosecution Standards. Third Edition with Revised Commentary, updated 2009: https://ndaa.org/wp-content/uploads/NDAA-NPS-3rd-Ed.-w-Revised-Commentary.pdf.

[ii] Appendix B provides a list of resources.

[iii] Federal Plain Language Guidelines, Rev. 1, May 2011, at p. 25: https://plainlanguage.gov/media/FederalPLGuidelines.pdf.

[iv] In some jurisdictions, the police may make initial charging decisions when requesting an arrest warrant.

[v] The time differs depending on jurisdiction. The Sixth Amendment to the U.S. Constitution provides that "in all criminal prosecutions, the accused shall enjoy the right to a speedy trial." The U.S. Supreme Court in *County of Riverside v. McLaughlin* (1991) ruled that a suspect arrested without a warrant must appear before a judicial officer and be informed that there is probable cause that a crime has been committed and the individual has committed the crime within 48 hours. However, many states have added statutes, constitutional amendments, or rules of criminal procedure that require an offender in custody to appear in court within 24 hours of being detained, while others may be up to 72 hours.

[vi] Appendix D lists all data groups and detailed business data elements required of a PCMS.

[vii] Federal Rules of Criminal Procedure, December 1, 2014, Rule 5. Initial appearance: http://www.uscourts.gov/sites/default/files/federal_rules/FRCrP12.1.2014.pdf.

[viii] Speedy trial standards: https://www.americanbar.org/publications/criminal_justice_section_archive/crimjust_standards_speedytrial_blk.html Part II.

[ix] Sentencing standards: https://www.americanbar.org/publications/criminal_justice_section_archive/crimjust_standards_pfunc_blk.html Part VII.

[x] Overview of asset forfeiture: http://apps.americanbar.org/buslaw/blt/content/2012/06/article-02-dery.shtml.

[xi] A defense attorney may file a preservation of evidence request (usually it happens at first appearance) with the Court. The moment that is filed, the prosecution and law enforcement is on notice that everything related to the case must be preserved, including 9-1-1 tapes, notes, recordings, etc.

[xii] Restitution and compensation: http://victimsofcrime.org/library/publications/restitution-and-compensation/restitution-toolkit.

[xiii] http://criminal.findlaw.com/criminal-procedure/extradition.html.

[xiv] 18 U.S.C. § 3182 specifies 30 days, but some states may allow longer waiting/holding periods: https://www.gpo.gov/fdsys/pkg/USCODE-2015-title18/pdf/USCODE-2015-title18-partII-chap209-sec3182.pdf.

[xv] *Brady* disclosure: https://en.wikipedia.org/wiki/Brady_disclosure.

[xvi] IACP National Law Enforcement Policy Center, Brady Disclosure Requirements, Model Policy, April 2009.

[xvii] A digital certificate is an electronic document issued by a Certificate Authority (CA). It contains the public key for a digital signature and specifies the identity associated with the key. By default, date and time are included with a digital signature. A digitally-authorized time stamp indicates that the contents of any data file existed at that time and have not changed since then.