

Deliverables 5.1 & 5.2 Supplemental Use Cases – Case Management System (CMS) and eFiling

Prepared for: State of Tennessee Administrative
Office of the Courts (TN AOC)



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The following use cases highlight a subset of the court processes that respondents must address and demonstrate their solution’s corresponding capabilities.

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Use Case 1: Conduct a Hearing for a Motion

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(4) Communicate with Court Customers / Manage Compliance
Business Capability L1	(4.7) Manage Hearings
Objective	Conduct a court hearing for a motion, ensuring accurate documentation and timely decision-making.
Main Actor(s)	Plaintiff / Plaintiff's Counsel Clerk Judicial Officer Defendant / Defendant's Counsel Court Reporter
Pre-Condition(s)	Plaintiff / Plaintiff's Counsel files motion. Clerk prepares the schedule for the hearings. Court's daily schedule begins.
Post-Condition(s)	Judicial Officer grants the motion, and Court prepares the order.
Steps	<ol style="list-style-type: none">1. Clerk organizes the day's hearings and updates the schedule in CMS. CMS automatically sends notifications to relevant parties about the scheduled hearing.2. Judicial Officer calls court to order and opens the hearing. The CMS updates the status of the hearing to "In Progress."3. Clerk enters the appearances of Plaintiff / Plaintiff's Counsel's and Defendant / Defendant's Counsel, as well as any other participants. Data is entered into CMS in real time, ensuring accurate record-keeping.4. Judicial Officer hears both parties on the motion.5. Judicial decides the motion and grants it. Decision is entered into CMS, and CMS auto-updates the register of actions.6. * Clerk prepares the official court order based on the judicial decision. CMS generates a draft order for review and execution.
Alternate Path(s)	<ol style="list-style-type: none">6. * Instead of Clerk preparing the order, requesting counsel submits a proposed order for judicial review and approval. The proposed order is uploaded to the CMS, where Judicial Officer reviews and signs it (electronically) if approved.

* See Alternate Path

Use Case 2: Schedule a Compliance Appointment

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(4) Communicate with Court Customers / Manage Compliance
Business Capability L1	(4.3) Schedule Compliance Appointments and Court Appearances
Objective	Ensure timely scheduling and notification of compliance appointments to improve adherence to court orders.
Main Actor(s)	Clerk Case Manager Defendant
Pre-Condition(s)	Court order requires Defendant to attend a compliance appointment.
Post-Condition(s)	Defendant (and Defendant's Counsel, if applicable) is notified of the scheduled compliance appointment.
Steps	<ol style="list-style-type: none">1. Clerk receives a court order requiring a compliance appointment and enters order into CMS.2. Case Manager schedules the compliance appointment. CMS suggests available slots and updates the calendar.3. Clerk notifies Defendant (and Defendant's Counsel, if applicable) about the scheduled appointment. CMS sends automated notifications via text, email, and/or mail, depending on Defendant's preference.4. * Defendant (or thru Defendant's Counsel) confirms receipt of the appointment notification. CMS logs the confirmation and updates the appointment status.5. Case Manager prepares the necessary documentation for the appointment. CMS holds and provides the required documents.
Alternate Path(s)	<ol style="list-style-type: none">4. * If Defendant (or thru Defendant's Counsel) requests a change, Case Manager reschedules the appointment. CMS updates the calendar and sends a new notification to Defendant (and Defendant's Counsel, if applicable).

Use Case 3: Collect and Track Fees Through the CMS

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(6) Manage Financials
Business Capability L1	(6.4) Track Financial Obligations
Objective	Efficiently collect and track court fees to ensure accurate financial management and compliance with court orders.
Main Actor(s)	Clerk Defendant
Pre-Condition(s)	Defendant is required to pay court fees as part of a judgment or court order.
Post-Condition(s)	Fees are collected, recorded, and tracked in CMS.
Steps	<ol style="list-style-type: none">1. Clerk enters fee obligation into CMS based on court order. CMS auto-calculates total amount due and if applicable, generates payment schedule.2. Clerk sends Defendant notice detailing fee amount and payment due date. CMS dispatches automated notifications via text, email, and/or mail, which include online payment portal links.3. * Defendant makes a payment with accepted methods (e.g., credit card, electronic check, or cash). CMS interfaces with secure payment gateway to process electronic transactions and records the payment, updating the payment status in real time.4. CMS logs transaction details, updates Defendant account balance, and generates electronic receipt.5. Clerk reviews payment history for compliance with the payment schedule. CMS provides reporting tools and dashboards to track payment history and outstanding balances and generate financial reports.6. Clerk reconciles collected fees with court records. CMS integrates with financial management system(s) to ensure accurate accounting and reconciliation of funds.
Alternate Path(s)	<ol style="list-style-type: none">3. * If Defendant is unable to pay the full amount at disposition, Clerk works with Defendant to set up payment plan. CMS enables Clerk's specification of payment plan terms, automatically updating balances, adjusting due dates, and sending reminders for upcoming and past-due payments.

Use Case 4: Access Data in the CMS Data Repository

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(3) Provide Access to the Court's Information and Services
Business Capability L1	(3.1) Access Person & Case Information
Objective	Allow users to review previously entered information about a case or party.
Main Actor(s)	CMS Internal User (e.g., Clerk, Judicial Officer)
Pre-Condition(s)	Data has been entered, and user is an authenticated, CMS Internal User.
Post-Condition(s)	Data is viewable and auditable.
Steps	<ol style="list-style-type: none">1. * CMS Internal User enters a case number, person name, and/or other value into search.2. User enters additional search parameters (e.g., county, jurisdiction, date range, case type, party type).3. CMS queries local data repository.4. CMS queries TN Data Repository (TnDR) for outside references.5. * CMS displays results on screen in a list view.6. * User can “drill down” into a case to view details and then return to the list to continue workflow.7. CMS updates the audit record to include the search.
Alternate Path(s)	<ol style="list-style-type: none">1. * Case is available on a docket and CMS User clicks into it.5. * CMS displays results that it can export in a variety of file formats.6. * User can update details of an individual case from the same screen and then return to the list to continue workflow.

Use Case 5: State Cost Reimbursement

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(6) Manage Financials
Business Capability L1	(6.1) Perform Accounting / Manage Financials (6.2) Receive & Monitor Revenue Funds
Objective	Receive and track reimbursement of court fees from TN Department of Corrections (DOC) <i>Note: In the State of Tennessee, DOC is responsible for reimbursing clerks for certain fees. The clerk bills the State through a State Cost Bill, for which partial payments may be granted.</i>
Main Actor(s)	Clerk DOC
Pre-Condition(s)	Cost allocations are configured in CMS. Defendant's disposition meets conditions for cost reimbursement (e.g., not guilty, sentenced to prison, et al.).
Post-Condition(s)	Funds received from DOC and allocated.
Steps	<ol style="list-style-type: none">1. Clerk searches CMS for candidate cases meeting reimbursement criteria.2. Clerk confirms attachment of required supporting documents. (System should not allow submittal without necessary supporting documents.)3. Clerk reviews cases marked as "eligible for reimbursement." (System should apply business logic to automatically flag cases where eligibility requirements appear to be met.)4. Clerk runs and reviews trial State Cost Bill of case marked for reimbursement.5. Clerk runs and prints final State Cost Bill and prints supporting documents from CMS electronic case file.6. * Clerk sends the State Cost Bill and supporting documents to DOC.7. * DOC sends a single consolidated check and itemized report to Clerk.8. Clerk enters payment information into CMS.9. CMS allocates payment amount to cases included in State Cost Bill.10. Clerk adjusts individual case amounts to match amount DOC paid, as required.
Alternate Path(s)	<ol style="list-style-type: none">6. * CMS electronically transmits the State Cost Bill and supporting document images through an integration hub to DOC (if integration hub is established).7. * DOC electronically transmits payment and associated through data integration hub to CMS.

* See Alternate Path

Use Case 6: State Litigation Tax Form

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(6) Manage Financials
Business Capability L1	(6.1) Perform Accounting / Manage Financials
Objective	Remit required litigation taxes (e.g., criminal injury compensation, traumatic brain injury, etc.) from Clerk to TN Department of Revenue (DOR)
Main Actor(s)	Clerk Litigant DOR
Pre-Condition(s)	State litigation tax parameters are configured in CMS. Fines / financial penalties have been assessed on a case.
Post-Condition(s)	Monthly State Litigation Tax Form (reports 401 and 414) is created and transmitted to DOR. State litigation taxes are debited from Clerk financials and received by the DOR.
Steps	<ol style="list-style-type: none">1. Litigant pays an assessed fee / financial penalty on a case.2. Clerk receives funds and posts payment in CMS3. CMS calculates taxes (based on individual case type and other attributes, per configurable business rules) and accumulates taxes owed against receipts for a calendar month.4. Clerk requests and reviews trial runs of the State Litigation Tax form prior to the 15th day of the month following the month funds were received.5. * CMS transmits the final State Litigation Tax Form through the Integration Hub to DOR on the 15th day of the month following the month funds were received6. * CMS generates an electronic funds transfer (EFT) from the Clerk to DOR for the total amount shown on the State Litigation Tax form coincident with transmission of the final State Litigation Tax Form
Alternate Path(s)	5, 6. * Clerk manually prints report, mails a check and records the manual activity in CMS. 5, 6. * Clerk retransmits electronic submission of the State Litigation Tax Form if the auto-scheduled transmission fails.

Use Case 7: Department of Safety (DOS) Disposition Reporting

Category	Details
Primary Business Capability Model	CMS
Business Capability L0	(1) Maintain Case, Party, and Participant Records
Business Capability L1	(1.2) Maintain Case Records
Objective	Send case disposition data from court to the TN Department of Safety (DOS).
Main Actor(s)	Clerk
Pre-Condition(s)	CMS case triggers for DOS disposition reporting are established per configurable business rules. Case exists in CMS. Disposition event logged in CMS.
Post-Condition(s)	DOS receives disposition file for processing.
Steps	<ol style="list-style-type: none">1. * Clerk records DOS disposition reporting event (e.g., traffic violation abstract, license suspension, criminal failure to pay, etc.) in CMS.2. Clerk requests a trial DOS disposition report run (on demand).3. Clerk reviews trial DOS disposition report and updates cases in CMS as required.4. * CMS automatically prepares final DOS disposition report file per configurable business rules / time schedule.5. CMS interface automatically transmits DOS disposition report file, via integration hub, to DOS.6. Clerk manually processes any corrections with DOS after report is transmitted.
Alternate Path(s)	<ol style="list-style-type: none">1. * CMS can be also be configured to auto-update the reportable disposition based on other updates made in CMS (e.g., payments).4. * Clerk can also manually request the generation and transmission of a report on-demand.

Use Case 8: File Initiating Document

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(1) eFiling Preparation & Submission
Business Capability L1	(1.1) Prepare Form Filing (1.5) Prepare Non-Form Filing (1.6) Submit Filing
Objective	Allow users to prepare and submit a filing without a pre-existing case.
Main Actor(s)	Filer
Pre-Condition(s)	Filer has established eFiling account. Form templates have been established (for form-based filings).
Post-Condition(s)	Filing is available for clerk review in electronic file manager (EFM).
Steps	<ol style="list-style-type: none">1. Filer logs in to electronic filing service provider (EFSP) with existing eFiling account.2. * Filer navigates to necessary form.3. * Filer completes the form, capturing necessary fields including 'type of case initiation' and case/party data.4. If filing is for an existing party, eFiling system auto-populates additional information about that party.5. Filer attaches necessary documents to the filing, as applicable.6. eFiling validates the filing (e.g., confirms that required fields are complete)7. eFiling calculates filing fee(s) based on case type and other relevant logic/business rules.8. * Filer pays associated fee(s) and submits.9. EFSP sends filing through the EFM for clerk review, and if applicable, EFSP initiates eService.
Alternate Path(s)	<ol style="list-style-type: none">2. * Where no form is present, filer prepares pleading. (If appropriate, discrete data elements such as 'type of case initiation' and case/party data can be tagged with XML within the pleading document.)3. * Filer completes the pleading, indicating the type of case initiated and the case and party data.8. * Filer meets criteria for fee deferral.

Use Case 9: File Subsequent Document(s)

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(1) eFiling Preparation & Submission
Business Capability L1	(1.1) Prepare Form Filing (1.5) Prepare Non-Form Filing (1.6) Submit Filing
Objective	Allow a user to add documents to an existing case.
Main Actor(s)	Filer
Pre-Condition(s)	Filer has established eFiling account. Form templates have been established (for form-based filings). Case has already been established in CMS and is in available in TnDR.
Post-Condition(s)	Filing is available for clerk review in the EFM.
Steps	<ol style="list-style-type: none">1. Filer logs in to EFSP with existing eFiling account.2. * Filer searches for the existing case.3. * Filer navigates to necessary form.4. Filer completes the form, capturing necessary fields including 'type of case initiation'.5. eFiling system brings in additional information about that party and case.6. Filer attaches necessary documents to the filing, if applicable.7. eFiling calculates filing fee(s) based on case type and other relevant data, if applicable.8. Filer pays associated fee(s) and submits.9. EFSP sends the filing through the EFM for clerk review (and EFSP initiates eService if applicable).
Alternate Path(s)	<ol style="list-style-type: none">3. * Where no form is present, filer prepares pleading.4. * Filer completes the pleading.

* See Alternate Path



Use Case 10: Review Subsequent Filing

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(2) eFiling Review & Acceptance
Business Capability L1	(2.3) Reviewing Filing (2.4) Accept Filing (2.5) Reject Filing (2.10) Return Filing for Correction
Objective	Allows Clerk to review, accept, reject, or return an eFiling.
Main Actor(s)	Clerk
Pre-Condition(s)	Case is previously established in CMS and in TnDR. Filing has been submitted for review from EFSP.
Post-Condition(s)	Approved eFiling is submitted to CMS for docketing and other actions.
Steps	<ol style="list-style-type: none">1. * EFM presents a prioritized list of documents for Clerk review based on criteria configurable by the Clerk.2. Clerk reviews queue of incoming eFiling document(s).3. Clerk selects and opens a filing for review.4. Clerk views associated case level information and previous filings sourced from TnDR. (Clerk reviews and confirms filing type and fees and modifies filing type and fees if appropriate.)5. Clerk verifies the fee allocations.6. * Clerk accepts filing.7. * EFM assigns filing date based on configurable business rules.8. EFM applies file stamp(s) to the document(s) based on configurable business rules.9. EFM sends filing ‘envelope’ to respective CMS for update.10. EFM sends acceptance message back to EFSP (so that filer is notified).
Alternate Path(s)	<ol style="list-style-type: none">1. * Clerk searches based on case number, party, and/or other value.6. * Clerk rejects filing and enters reason(s) for rejection.6. * Clerk rejects filing with deficiency, and CMS receives deficiency information to log.6. * Clerk accepts filing with deficiency, and CMS receives deficiency information to log.10. * EFM sends rejection message to EFSP to notify filer of deficiency and need correct and resubmit.

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* See Alternate Path

Use Case 11: File Initiating Document as a Self-Represented Litigant (SRL)

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(1) eFiling Preparation & Submission
Business Capability L1	(1.1) Prepare Form Filing (1.5) Prepare Non-Form Filing (1.6) Submit Filing
Objective	Allow self-represented litigants (SRL), or "pro se litigants" to prepare and submit a filing without a pre-existing case.
Main Actor(s)	Filer (i.e., SRL)
Pre-Condition(s)	Filer has established eFiling account. Form templates have been established (for form-based filings).
Post-Condition(s)	Filing is available for Clerk's review in the EFM.
Steps	<ol style="list-style-type: none">1. Filer logs in to electronic filing service provider (EFSP) with existing eFiling account.2. * Filer navigates to necessary form, with guidance.3. * Filer completes the form, capturing necessary fields, with guidance.4. If filing is for an existing party, eFiling system auto-populates additional information about that party.5. Filer attaches necessary documents to the filing, as applicable, with guidance.6. eFiling validates the filing (e.g., confirms that required fields are complete)7. eFiling calculates filing fee(s) based on case type and other relevant logic/business rules.8. * Filer pays associated fee(s) and submits, with guidance.9. EFSP sends filing through the EFM for clerk review, and if applicable, EFSP initiates eService.
Alternate Path(s)	<ol style="list-style-type: none">2. * Where no form is present, filer prepares pleading, with guidance. (If appropriate, discrete data elements such as these can be tagged with XML within the pleading document.)3. * Filer completes the pleading, with guidance, indicating the type of case initiated and the case and party data.8. * Filer meets criteria for fee deferral.

* See Alternate Path

Use Case 12: Submit Proposed Order

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(2) eFiling Review & Acceptance
Business Capability L1	(2.9) Route Proposed Order
Objective	Allow Filer to provide a draft order for court’s consideration.
Main Actor(s)	Filer Clerk Judicial Officer
Pre-Condition(s)	Filer is submitting a motion (or comparable filing) with an associated proposed order.
Post-Condition(s)	Proposed order is approved order is entered into the record.
Steps	<ol style="list-style-type: none">1. Filer prepares the filing.2. Filer completes document filing process in EFSP.3. Filer attaches a proposed order to the filing.4. eFiling system calculates filing fee(s) based on case type and other logic, data, and/or business rules, as applicable.5. Filer pays associated fee(s) and submits.6. EFSP sends the filing through the EFM for clerk review (and EFSP initiates eService if applicable)7. EFM routes primary document to CMS for docketing; and simultaneously routes the proposed order to CMS without docketing.8. Judicial officer conducts the hearing on the subject motion.9. * If the motion is granted, proposed order is executed.
Alternate Path(s)	<ol style="list-style-type: none">8. * If no hearing is required, step is skipped.9. * If the motion is denied, proposed order is discarded.9. * If the motion is denied, proposed order is modified.

Use Case 13: Defer Fees

Category	Details
Primary Business Capability Model	eFiling
Business Capability L0	(3) Fee Admin & Calculation
Business Capability L1	(3.4) Waive Fees (Fee Deferral)
Objective	Allow Filer to request fee deferral and if Court so orders, to avoid fee payment.
Main Actor(s)	Filer Clerk Judicial Officer
Pre-Condition(s)	Filer is submitting a document requiring fee payment. Court orders and Filer meets criteria for deferral. System has the ability to record non-case events.
Post-Condition(s)	Fee is deferred and queued for final determination of fee payment.
Steps	<ol style="list-style-type: none">1. Filer prepares the filing.2. Filer completes document filing process in EFSP.3. * Filer completes form requesting consideration for fee deferral.4. Filer submits without paying fees.5. EFSP routes Filing, with an outstanding balance, to EFM.6. Clerk reviews EFM fee deferral request.7. * Clerk routes to Judicial Officer to conduct review in CMS and issue a decision.8. Clerk enters decision into CMS.9. CMS routes decision to EFM.10. Filer receives notification of decision for fee deferral via EFSP.
Alternate Path(s)	<ol style="list-style-type: none">3. * Filer may be required to provide proof that fee deferral criteria are met.7. * Clerk determines criteria are met for fee deferral, without judicial review (if permitted by policy).