

APPENDIX I

ADRS SYSTEM REQUIREMENTS
AND SPECIFICATION
DOCUMENT

September 30, 2014



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Executive Summary

The Minnesota Office of Lawyers Professional Responsibility (OLPR) uses an internal system called Attorney Discipline Record System (ADRS) to track complaints, complainants, respondents, and many other items related to the disciplinary process. This system is over 20 years old and OLPR would like to develop a new application to replace and enhance the ADRS system functionality.

After a thorough design and analysis project, which included interviews, workflow documentation, and working whiteboard sessions, this specification document for a new ADRS System was created. The analysis identified the following pain points with the current system which need to be addressed in a new system:

- Limited search capabilities
- Difficult to track current status of a case
- Lack of real-time reporting
- Difficult to pull statistical details
- Non-intuitive, out of date icons and user interface
- Many items being tracked in Microsoft Access databases because ADRS doesn't provide the functionality, such as:
 - Probation
 - Rule 5.8
 - Paralegal Case List
 - Trust Account Overdrafts
 - Judgment and Collections
 - Conditional Admission
 - Admonition Index
 - Trust Accounts
 - Random Urine Analysis
 - Miscellaneous
- Not able to work efficiently within the system by having multiple windows open at one time
- Calendaring/task tracking done manually in Outlook
- Case related documents not linked in system

Based on the identification of the current pain points, the new system should implement the following main concepts to make the case management processes more effective and efficient:

Home Screen - that will show each user information that is immediately relevant to him or her. The home screen will be flexible and extendable so it can grow with changing business needs and practices in the future. The new Home Screen will include things like:

- Alerts
- Assigned tasks
- Current cases
- Key performance metrics
- Recent documents
- Search

- Action Bar

Information will be driven to the user based on individual use of the system and on their role.

“Paperless First” Design – The system will be built to support a future “electronic legal records” paradigm that is becoming more the norm with each passing day. All case data and documentation will reside in the system by default.

Eliminate Data Silos – currently many users rely on a number of external data silos and tools to effectively manage their ADRS workloads. The new system will pull all these external tools into the core system, all ADRS related data and functionality reside in one place.

Electronic Workflows –All ADRS related workflows will be managed electronically within the system including all case tracking and related task tracking.

Integrated Documentation – All letters and documentation associated with a case will be linked to the case within the system.

Robust, Modern Search – Users will be able to search broadly for information in the system based on a number of case attributes such as respondent or complainant first name or last name, location, case number, law firm, etc.

Records Management –Rules will manage records retention in the system. Based on these rules and attorney input the system will automatically purge electronic records on a set schedule.

Robust, Real-Time Reporting – Reporting in the new ADRS will include the following capabilities:

- On Demand Reports
- Scheduled Reports
- Key Performance Metrics
- Dashboards

Customizable – users will be able to set preferences in the system to tailor an experience that suits each user best for items such as email alerts, reporting, dashboards, and home page displays.

The future state of the new system will provide users with a seamless experience providing real time information to case data at all stages of the process.

[A Day in the Life](#)

To illustrate how the new system would be used, the following “Day in the Life” scenario of OLPR employees using the future system to coordinate a simple Summary Dismissal (SD) case would look something like this:

The receptionist enters new complaints into the system as they arrive. He or she easily scans the original documents into ADRS to attach them to the new complaint.

The Duty Attorney receives email notifications as the new complaints are created in the system. He or she reviews the list of new Complaints on the “Complaint Review” screen in the system. The Duty Attorney opens them one at a time, reviews any attached electronic documentation, codes them, and saves the updates which clears them from the Complaints Review queue. As a new Summary Dismissal

(SD) case is created email alerts immediately go out to Word Processing to start creating the needed documents.

Word Processing receives the task alert to create the SD document for the case. The document is drafted and a series of notification prompts the Word Processing Supervisor and Duty Attorney to review and edit the document before it is finalized.

The First Assistant Director receives a task notification to sign the new SD document for the case. He goes into ADRS, opens the task, opens the document from the task and reviews it. If it looks good he applies his eSignature and saves the document back to the system.

The Mail Clerk receives a task notification to send out the SD document. She prints the document and complaint, creates the mailings, and sends them out. She marks the Mail Items task as complete, and the case is marked as closed in ADRS.

The new system will provide OLPR staff with efficient workflows that are managed through the system. Individuals within the office will be focused on value added tasks rather than on administrative tasks that can be managed via the system.

The balance of the ADRS System Requirements and Specifications document provides detailed descriptions of High Level Design Specifications, Operational Scenarios, Case Processing Workflows, User Stories, Preliminary Screen Examples, an Entity Diagram, and a High Level Process Flow which will be the guide in developing a new system which will serve the needs of OLPR today and well into the future. .

Document Overview

The design and analysis project identified several key factors that provide the specifications for a system that will provide an effective case management application for OLPR well into the future. This ADRS System Requirements and Specifications document defines the requirements for a system to support the case and complaint processing as well as several related processes at OLPR. The document includes the following sections: State of the Current System, Current Pain Points, New System Requirements, Project Approach, High Level Requirements and Operational Scenarios, Case Processing Workflows, User Stories, Preliminary Screen Examples, and an Appendix containing an Entity Diagram and a High Level Organizational Process Flow

Introduction

The Minnesota Office of Lawyers Professional Responsibility (OLPR) is an agency of the Minnesota Supreme Court established to handle complaints of unprofessional conduct against Minnesota lawyers. It is funded by the annual license fees paid by Minnesota lawyers. OLPR investigates and prosecutes complaints against attorneys warranting professional discipline. In addition to handling complaints against lawyers, the OLPR also does a substantial amount of Continuing Legal Education for lawyers in the area of Professional Responsibility and Legal Ethics. The Director is appointed by the Supreme Court. The office has 12 attorneys, 6 paralegals, one office administrator, 10 support staff, and one law clerk.

The Minnesota Office of Lawyers Professional Responsibility uses an internal system called Attorney Discipline Record System (ADRS) to track complainants, respondents, complaints, and many other items. This system is over 20 years old and OLPR would like to develop a new application to replace and enhance the ADRS system functionality.

A three month project to identify the current system functionality, identify future functionality and enhancements was conducted to determine the current needs of the office and identify ways to bring the use of current technology to enhance the efficiencies of the work conducted within the OLPR office. This document identifies the ADRS System Requirements and Specifications necessary to build a system to meet the current needs as well as support OLPR for the next several decades.

The System Requirements and Specifications document will serve as the roadmap during development of the new system. The process of producing this document was a collaborative effort with OLPR staff and ADRS users to help identify the functionality of the new system. This process consisted of a series of interviews, design sessions, documentation and interactive whiteboard sessions in which screen mock ups with proposed functionality was discussed to determine feasibility and appropriateness to the processing needs.

State of the Current System

Many processes have changed in the office since the ADRS System was initially developed. The system was developed to track complaints through the investigation and disciplinary process. Since the system was developed approximately 20 years ago, technology has also changed significantly, and the needs of the office have changed as well. We found that many individuals were using the system to input data but not necessarily to manage the complaint as it flows through the office. Most of the processing was done on paper via checklists, color coded paper, and manually tracking the file. In many cases, information that needed to be tracked has evolved beyond the capabilities of ADRS and external systems were created to track information that is relevant to the complaint. Often times, Microsoft Access databases or Outlook was used to track information or dates not available in ADRS. Through the discovery process, we identified several pain points that the office staff experiences due to the system not meeting the current business needs.

Current Pain Points

Pain Point	Current Description	Proposed Future State
Limited Search Capabilities	Limited on how and what you can search in the system.	Search by first name, last name, case number, file number, respondent name, complainant name, etc. Including ability to limit and refine search as desired
Difficult to track Current Status	Depends largely on current status tracking via the paper file	Ability to track at a glance the current status/location of the file within the office by viewing the Complaint within the system.
Lack of Just in Time Reporting	Most of the reports are based on custom queries created based on need, or manually assembled reports	Ability to run ad hoc reports based on selected criteria such as date ranges, specific status codes, types of complaints, etc.
Difficult to pull statistical details	Office and individual statistics are used for performance but they have to be gathered via special reports run based on queries	Business Performance dashboards including individual and office statistics accessible either via individual customized pages or via a specific area of the system, also can be run on demand and customized as desired
Not intuitive, out of date icons and user interface	Icons take up a lot of screen real estate, the icons are not consistent with modern icons, which makes the system less intuitive for users	Advanced user interfaces and design standards provide a consistent user experience with other software with which users are familiar. By providing standard images and better use of screen space, the user experience will be significantly improved.
<p>Many items being tracked in Access Databases, such as:</p> <ul style="list-style-type: none"> • Probation • Rule 5.8 • Paralegal Case List • Trust Account Overdrafts • Judgment and Collections • Conditional Admission • Admonition Index • Trust Accounts • Miscellaneous <ul style="list-style-type: none"> ○ Random Urine Analysis 	Many items that need to be tracked have to be manually tracked or kept in databases external to ADRS	The system can be structured to accommodate different case types and tracking simply by status, codes, identifying criteria, etc.

Pain Point	Current Description	Proposed Future State
Not able to work efficiently within the system by having multiple windows open at one time	The system limits what you can view as you have to close one window to open another	Multiple windows can be open so comparison and data can be obtained in multiple locations.
Calendaring/task tracking done manually in Outlook	While the system can assign dates to complaints, there is no tickler or reminder functionality or task list functionality so dates must be tracked outside of ADRS so that follow up will happen	The system can track dates and provide prompts and reminders, in addition to a task list or to-do list so that in real time users know exactly what is due, when, and what items are coming up
Related Documents not linked in system	The supporting documents related to a complaint are stored in a different location.	All related documents supporting a complaint would be linked in the system to the complaint.

After evaluating the current system, the current and future business needs and the required functionality of a system to support the business requirements. Several factors were identified as requirements for an effective and efficient system to support OLPR now and well into the future. Those main factors are detailed in the following section.

New System Requirements

Based on the pain points reported when using the current system, other related details and the desired future state for processing, a new application is being envisioned that would include the following primary design concepts:

Home Screen - When a user logs into the new system they will immediately be greeted by a new personalized “Home Screen” that will show them information that is immediately relevant to them. This is intended to give all users quick access to the data and processes that are most important to them and their role in the overall process. The new Home Screen will include things like:

Alerts – real time informational messages from the system about events that I care about. I can dismiss the alerts or forward them to another user.

Assigned tasks – tasks that have been assigned to me upon which I need to take action. I can view my tasks from here, perform the required action, and close the task.

Current cases – case data that is assigned to me or that I have recently viewed or updated. I can view full case file information from here and make data updates.

Key performance metrics – data points that illustrate team or individual performance metrics. This helps me track day to day how I am doing on my most important performance goals.

Recent documents – quick list of documents that I’ve recently viewed or updated. This allows me quick access to those documents.

Search – users will be able to kick off broad searches directly from the home screen

Action Bar – users will have access to personalized buttons that give them shortcuts to the actions they perform the most often in the system.

Other – other home screen tools will likely be identified over time and can be added to a list of options to customize the Home Screen by role or user. The home screen will be flexible and extendable so it can grow with changing business needs and practices in the future.

Information will be driven to the user based on individual use of the system, and also based on their role. So word processors would potentially see document related history and assignments highlighted on the Home Screen whereas attorneys would see their case list highlighted on the home screen. See the Home Screen wireframe below for more information and examples.

“Paperless First” Design – The system will be built to support a future “electronic legal records” paradigm that is becoming more the norm with each passing day. All file/case data and documentation will live in ADRS by default. All interaction with case data and documentation will be electronic by default. Supplemental documentation that comes in paper form will be scanned into ADRS and associated with the case. By default, paper files will not be created for the majority of ADRS cases that come through the system. There will be options in ADRS to print a case file artifacts when it is needed for court appearances or other external events, but this is expected to be the exception not the rule.

Eliminate Data Silos – currently many users rely on a number of external data silos and tools to effectively manage their ADRS workloads. These data silos include a number of Access databases, Office

documents, Outlook calendaring, and a number of printouts and paper tools. The new ADRS would endeavor to pull all these external tools into the core system, so that all ADRS related data and functionality can live in one place. This will help make case management as a whole more transparent, improve reporting capabilities, eliminate dual data entry and other supplemental tasks, and give the organization a “single source of truth” for case management.

Electronic Workflows – along with eliminating data silos and redundant external tools, the management of all ADRS related workflows will be pulled into the system and managed electronically. This will include the following capabilities:

Tasks – all tasks and to dos will be electronically assigned to users within ADRS. Users will view the tasks in the system, perform the task (normally linked from the task interface) and mark the task as complete in ADRS. The act of marking the task as complete may auto-generate a new task for someone else to perform the next step in the workflow. Paper forms will no longer be required to handle task assignments.

Case Tracking – because all task assignments live electronically in the system, users will be able to check the case in ADRS at any time to see where the process is and who is currently working on tasks for that case. The case and related information will never get “lost” or need to be tracked down.

Integrated Documentation – All letters and documentation associated with a case will be linked to the case in ADRS. Users will be able to see a list of all linked documentation and open a document from within the electronic case record in ADRS. Users will be able to search for documents based on document content or metadata (like case number, complainant, respondent, etc.).

Robust, Modern Search – Users will be able to search broadly for information in ADRS based on a number of case attributes such as respondent or complainant first name or last name, location, case number, law firm, etc. Users will be able to drill into and refine search results to focus in on what they are looking for.

Records Management – Administrators will be able to set up rules to manage records retention in the system. Attorneys will be prompted by electronic tasks to review and approve files to be disposed or retained. Based on these rules and attorney input the system will automatically purge electronic records on a set schedule. Manual purges of data would not be required.

Robust, Real-Time Reporting – Reporting in the new ADRS will include the following capabilities:

On Demand Reports – these will display electronically with an option for printing.

Scheduled Reports – these will be scheduled to run (monthly, quarterly, etc.) and delivered to users via email. The email can include reports attached in PDF or other formats, or with a link to run the report from the system and display it immediately.

Key Performance Metrics – these are data points that illustrate team or individual performance metrics. These metrics will be shown on the Home Screen and other key places in the system.

Dashboards – these are mashup reports in the system that include a number of key performance metrics and reporting data that will paint a picture of some important aspect of the data that is flowing through ADRS.

Customizable – users will be able to set preferences in the system to tailor an experience that suits them best. This would include things like the following:

Whether or not they receive email notifications along with ADRS system alerts.

The ability to select what tools/widgets are displayed on their Home Screen, and what buttons are displayed on the Home Screen “action bar”

The ability to sign up for scheduled reporting

Project Approach

Phases, Features, User Stories

For purposes of defining the work to be done to build the new ADRS system, we have broken the project up into likely phases, features, and user stories. A phase will contain multiple features, which will contain multiple user stories. For purposes of this document, these terms will be defined as follows:

- **Phase** – Broad grouping of development work resulting in a major software release. Note the phases listed below are high level and could be broken into smaller chunks for release planning purposes as desired.
- **Feature** – A broad but distinct set of functionality that the application will support. This often follows a particular business process within the overall flow of the system.
- **User Story** – A description of a small, specific requirement or action that the application will support, including key acceptance criteria. These are intended to define only the requirement, and not what the technical solution will be.

Phases

Following are the recommended phases that should be used to bundle the development of the application functionality.

- **Phase One – Core System:** This will include all functionality that must be present to replace the old system when the new application is launched.
- **Phase Two – Advanced Reporting / Dashboards:** This would include reports, dashboards, and metrics not included in Phase One.
- **Phase Three – Advanced Data Integration:** This would include data integration capabilities to external systems like SharePoint or the Supreme Court eNotices system that are not required for Phase One.

User Characteristics

The following is a description of the target users technical experience levels:

- Experience with a Windows 7 or 8 desktop environment.
- Experience with Microsoft Office Applications
- Thorough knowledge of OLPR and its policies

General Constraints

General constraints of the system include the following:

- Users of the application will be connected to the Local Area Network (LAN)
- The application should be very user friendly
- Application must run on Windows desktops: Windows 7 or newer

High Level Requirements & Operational Scenarios

Current ADRS Technical Environment

Following is a list of technical details regarding the current ADRS application.

- The current ADRS application is built with PowerBuilder 7 and is installed on user desktops.
- The data lives in a SQL Server 2005 Standard Edition x64 (Service Pack 2) environment.
- All servers are hosted remotely and managed by MJC ITD, the Supreme Court IT group
- Currently OLPR users access all ADRS server resources over a 10 MB fiber connection.
- The current SharePoint environment that is used to share some ADRS file data is SharePoint Server 2010 Enterprise. An upgrade to SharePoint 2013 on premises is being considered but a timeline has not been set as of September 2014.

Technical Requirements and Recommendations for the New ADRS

Based on the existing Microsoft Windows based environment at OLPR, the following technologies are recommended in order to minimize the risk of incurring extra costs on the development project. Using the technology stack and design approaches below will help reduce the need to acquire new hardware or software infrastructure and best leverage the existing experience and skills of the support and maintenance teams.

1. Microsoft .NET to develop desktop and middle tier software.
 - a. Any .NET desktop application tools that run well on Windows 7 or 8 could be considered.
 - b. Services should be built to run on Windows 2008 R2 or newer servers.
2. SQL Server for the storage layer. The target SQL Server would be SQL Server 2008 R2 or newer.

Three-Tiered Technical Design

At least a “three tier” design to separate out the storage layer from the communication layer from the presentation layer is strongly recommended. The communication layer should be developed with some kind of services model to easily support building other presentation tools in the future to access the data (web, mobile, etc.).

The following diagram illustrates a three tier application design pattern.



Volume Requirements

The application will need to support approximately 30 to 50 users.

Security Requirements

These are the following high level security requirements for the new application:

- User authentication will be required to access the application. The users’ existing Windows Active Directory domain accounts should be leveraged for authentication if possible. Automated, integrated authentication based on the account logged onto the local domain computer is also preferred.
- Users should have the capability to log out and log in as a different user (mostly for support purposes).
- Currently there are no plans to make the application available outside of the physical Windows network. There are remote access tools available that could be used for this purpose in the future if needed.

- Currently there are no plans to make the application available to users outside of the OLPR organization who are not employees and do not have a Windows account.
- Any sensitive data in the SQL Database should be encrypted. This would include things like social security number, date of birth, or credit card information.

Provide Centralized Multi-User Client/Server Application

The new ADRS v2.0 system should be a Client/Server application with a relational database backend. The new system should allow for multiple simultaneous users. Developing a Client/Server application with a relational database will provide the architecture for a robust system that will handle the volume requirements of this system. The Client/Server architecture will allow for easy integration with external systems and will allow easy addition of external applications in the future (website, mobile, etc.).

Multiple Document Interface

The user should be presented with an easy-to-use Multiple Document Interface (MDI) screen to allow them to have multiple screens, and even multiple instances of the same screen open at the same time

Home Screen

When a user logs into the new system they will immediately be greeted by a new personalized “Home Screen” that will show them information that is immediately relevant to them. This is intended to give all users quick access to the data and processes that are most important to them and their role in the overall process. The new Home Screen will include things like:

- Notifications/Alerts – real time informational messages from the system about events that a user cares about. The user can dismiss the alerts or forward them to another user.
- Assigned tasks – tasks that have been assigned to the user and require action. The user can view the tasks from here, perform the required action, and close the task.
- Current cases – case data that is assigned to the user or that the user has recently updated. The user can view full case file information from here and make data updates.
- Key performance metrics – data points that illustrate team or individual performance metrics. This helps the user track day to day how they are doing on the most important performance goals.
- Recent documents – quick list of documents that the user has recently viewed or updated. This allows the user quick return access to those documents.
- Search – users will be able to kick off broad searches directly from the home screen
- My Buttons – users will have access to personalized buttons that give them shortcuts to the actions they perform the most often in the system.
- Other – other home screen tools will be identified over time and can be added to a list of options to customize the Home Screen by role or user. The home screen will be flexible and extendable so it can grow with changing business needs and practices in the future.

Information will be driven to the user based on individual use of the system, and also based on their role. So for example word processors would potentially see document related history and assignments highlighted on the Home Screen whereas attorneys would see their case list highlighted on the home screen. See the Home Screen wireframe below for more information and examples.

“Paperless First” Design

The system will be built to support a future “electronic legal records” paradigm that is becoming more the norm with each passing day.

- All complaint and case data and documentation will live in ADRS by default.
- All interaction with case data and documentation will be electronic by default.
- Supplemental documentation that comes in paper form will be scanned into ADRS and associated with the case.
- By default, paper files will not be created for the majority of ADRS cases that come through the system.
- There will be options in ADRS to print case file artifacts when needed for court appearances or other external events, but this is expected to be the exception not the rule.

Eliminate Data Silos

Currently many users rely on a number of external “data silos” and tools to effectively manage their ADRS workloads. These data silos partition off important ADRS related data that becomes difficult to access and not tied into the central system. These data silos include a number of Access databases, Office documents, Outlook calendaring, printouts/screenshots, and paper tools.

- The new ADRS will pull these external tools into the core system, so that all ADRS related data and functionality can live in one place.
- This will help make case management as a whole more transparent, improve reporting capabilities, eliminate dual data entry and other supplemental tasks, and give the organization a “single source of truth” for case management.

Electronic Workflows

Along with eliminating data silos and redundant external tools, the management of all ADRS related workflows will be pulled into the system and managed electronically. This will include the following capabilities:

- Key case types and processes will be defined as a “workflow” in ADRS with a number of associated steps.
- Tasks – all tasks and to-dos will be electronically assigned to users within ADRS. Users will view the tasks in the system, perform the task (normally linked from the task interface) and mark the task as complete in ADRS. The act of marking the task as complete may auto-generate a new task for someone else to perform the next step in the workflow. Paper forms will no longer be required to handle task assignments.
- Users will be able to create tasks for themselves or others and attach the tasks to a case.
- Case Tracking – because all task assignments live electronically in the system, users will be able to check the case in ADRS at any time to see where the process is and who is currently working on tasks for that case. The case and related information will never get “lost” or need to be tracked down.

- The system will incorporate a “workflow engine” where the workflows are designed and managed. Administrators will be able to add or remove steps to a workflows using a workflow management interface in the application.

Notifications / Calendaring

In additional to the assignment of tasks, which may be date-driven with a due date, the system will support the concept of system or user generated notifications.

- For example the system may assign a user a notification to be received two days before a task is due, or reminder to create a follow up letter for a complainant in 90 days.
- End users will also be able to create ad hoc notifications that are tied to cases in the system. The reporting platform will provide the ability to run reports against upcoming notifications in order to provide a “calendaring” capability against different kinds of processes that are managed in the system.

Integrated Documentation

All letters and documentation associated with a case will be linked to the case in ADRS.

- Users will be able to see a list of all linked documentation and open a document from within the electronic case record in ADRS.
- Users will be able to search for documents based on document content or metadata (like case number, complainant, respondent, etc.).
- The documents may actually live in an external document management system or on a file server. The important requirement is that the documents are visible and can be opened and edited from within the ADRS application.
- The documents will be created and edited with standard Microsoft Office software, partially to leverage the existing templates and formatting capabilities.
- The document templates will be able to pull some data from ADRS such as case or respondent data to prepopulate key sections.

Robust, Modern Search

Users will be able to search broadly for information in ADRS based on a number of case attributes such as respondent or complainant first name or last name, location, case number, law firm, etc.

- Users will be able to do structured searches against case data, person data, or documents in ADRS.
- Users will be able to drill into and refine search results to focus in on what they are looking for.

Records Management

Administrators will be able to set up rules to manage records retention in the system.

- Attorneys will be prompted by electronic tasks to review and approve files to be disposed or retained.

- Based on these rules and attorney input the system will automatically purge electronic records on a set schedule.
- Manual purges of data would not be required, but will be supported by the system.

Robust, Real-Time Reporting

Reporting in the new ADRS will include the following capabilities:

- On Demand Reports – these will display electronically with an option for printing.
- Scheduled Reports – these will be scheduled to run (monthly, quarterly, etc.,) and delivered to users via email. The email can include reports attached in PDF or other formats, or with a link to run the report from the system and display it immediately.
- Key Performance Metrics – these are data points that illustrate team or individual performance metrics. These metrics will be shown on the Home Screen and other key places in the system.
- Dashboards – these are mashup reports or screens in the system that include a number of key performance metrics and reporting data that will paint a picture of some important aspect of the data that is flowing through ADRS. A “Performance Dashboard” available to all users will be rolled out in an early phase to replace some of the manual performance reporting that is done today.

Customizable

Users will be able to set preferences in the system to tailor an experience that suits them best. This would include things like the following:

- Whether or not they receive email notifications along with ADRS system alerts.
- The ability to select what tools/widgets are displayed on their Home Screen, and what buttons are displayed on the Home Screen “action bar”
- The ability to sign up for scheduled reporting.
- The ability to specify their out of office status and a backup resource.

Data Migration from Old ADRS System

Before the new ADRS system goes live any necessary legacy data from the old system will be imported into the new system. This will be important to allow for the search of all history records within a single system. In cases where there are not direct field to field data mappings between the two systems some data might be stored in supplemental note fields.

Case Processing Workflows

The system will support multiple case types, and each case type will have an associated workflow in the system that defines and coordinates the steps to process that type of case. The workflow descriptions below only capture the steps that are managed in ADRS, and not external steps that may currently support these processes. When a case is converted to a different case type, the system will kick off the workflow for the newly assigned case type.

Note also that the specific workflow steps defined below could change during the development process of the new system. The workflow engine should be built in such way that steps can be easily added or updated with a system maintenance process.

Two types of cases will be supported: complaints and requests. Request cases do not start with a Complaint getting filled out. Request cases will require a unique form to be filled out to initiate their respective workflows.

Supported Case Types / Workflows

Complaint Cases:

1. Complaint Review
2. Summary Dismissal
3. OLPR Investigation
4. DEC Investigation
5. Panel Process
6. Supreme Court Process
7. Complainant Appeal

Request (Non-Complaint) Cases:

1. Reinstatement
2. Resignation
3. Trusteeship

Complaint Review

Defines the process of reviewing new complaints and converting them to a case.

1. Receptionist:
 - a. Receives complaint (by mail, fax or online) and enters it in ADRS to create the complaint record. Flags key data such as: respondent and complainant demographics, repeat complaints, open complaints, probation status, respondent fee status, and respondent counsel on another case.
 - b. If online complaint and waiting for more information, sets status to “waiting for more information”.
 - c. Scans original documents to ADRS and attaches to complaint.
2. System:
 - a. Sets status on the complaint workflow to “Complaint Created” (note: exact status terminology to be determined during the development phase).
 - b. Assigns task and sends alert to Duty Attorney to review the complaint. If online complaint and sending more info a reminder alert is set 14 days later for the Duty Attorney.
 - c. If Respondent is on probation a notification alert is sent to the probations team.
3. Duty Attorney:
 - a. Reviews the complaint in ADRS.
 - b. If necessary, submits a request for more information from one of the complainants.
 - c. When all needed information is received, codes the complaint as OINV (OLPR Investigation), DINV (DEC Investigation) or SDIS (summary dismissal). In rare cases if the complaint is invalid or entered erroneously it may be deleted from the system.
 - d. Converts the complaint to a case.
4. System:
 - a. Sets the new Case Type value on the case based on the Attorney selection.
 - b. Sends out new notification alerts and task alerts based on the new case type/workflow.
 - c. Removes the complaint from the Duty Attorney’s Complaint Review list in ADRS.

Summary Dismissal

Defines the process of dismissing a case without an investigation. This is initiated when an Attorney codes a complaint as an SDIS.

Word Processor:

1. Created SDIS letter and attaches to the case in ADRS. Marks task as complete.

Word Processing Supervisor:

1. Works with Word Processor and Assigned Attorney to review and edit the document until it is finalized. ADRS coordinates task notifications during this process.
2. Marks task as complete.

Letter Signatory:

1. Opens letter from ADRS and works with Word Processing until final edits are complete.
2. Electronically signs the document. Marks task as complete.
3. In some cases may convert to an OINV case.

Mail Clerk:

1. Prints SD document and Complaint from ADRS.
2. Creates mailing and sends out.
3. Marks task as complete.

System:

1. Marks the case as closed and assigns a closed date.

OLPR Investigation

Defines the process of an internal OLPR case investigation. This is initiated when a case is coded as an OLPR Investigation.

Word Processor:

1. Creates notice of investigation letter and attaches to the case in ADRS. ADRS updates status and sends task notification to Office Administrator and OLPR Attorney assigned to the case.

Office Administrator:

1. Works with Word Processor and Assigned Attorney to review and edit the document until it is finalized. ADRS coordinates task notifications during this process.
2. Marks task as complete.

Assigned Attorney:

1. Reviews and electronically signs the notice of investigation letter.
2. System sends task notification to the Mail Clerk.

Mail Clerk:

1. Prints all documents.
2. Creates the mailing and sends it out.

System:

1. Tracks all timestamps on the case and mailing.
2. Sends out task notifications/alerts to Assigned OLPR Attorney.
 - a. Send alert to OLPR Attorney if a response is not received within 14 days.
 - b. 90 Day status letter task notification assigned to OLPR Attorney.

Assigned Attorney:

1. If response to complaint comes in, scan document to ADRS update case. (Or reassign to Paralegal).
2. Optionally, set notification reminders to follow up on the case.

Assigned Attorney:

1. Makes a pre-determination (Admonition, Discipline Not Warranted, Private Probation), or converts to Panel or Supreme Court case. If case is converted to a different case type the new workflow will pick up the case.
2. If Discipline Not Warranted:
 - a. DNW document is created and sent to all parties and the case is closed.
 - b. If the complainant appeals, the case is converted to an Appeal and goes through that process.
3. If Admonition:

- a. Admonition letter sent to respondent.
 - b. 21 day reminder set to allow respondent to appeal.
 - c. If no appeal, the file is closed – letters sent.
 - d. If appealed by respondent:
 - i. Is converted to a Panel case if cannot be resolved.
4. If Private Probation:
- a. OLPR Attorney works with Word Processing to prepare stipulation for probation documents (stipulation and letter).
 - b. Documents are signed by Attorney and Director.
 - c. Mail Clerk copies and sends out the documents.
 - d. When signed stipulation is received from Respondent, OLPR Attorney works with Word Processing to send to Board Chair.
 - e. When signed stipulation comes back from the Board Chair, closing letter is prepared and sent out.
 - f. Computer Clerk does ADRS data entry.
 - g. If this was a DEC case, SharePoint Clerk uploads final decision to the DEC SharePoint site.
 - h. Probation Paralegal tracks probation follow up tasks including reminder letters, reporting, and data entry related to the Probation process.
 - i. When probation is complete, letter is created and sent out.
 - j. Computer Clerk does ADRS data entry noting the completion of the Probation process.

DEC Investigation

Defines the process of a DEC case investigation. These investigations are conducted by the district ethics committees around the state. This is initiated when a case is coded as a DEC Investigation, normally by the Duty Attorney or Assigned OLPR Attorney. A Probation Attorney at OLPR might be consulted during this initial determination process. This is done to offload some cases as appropriate to the DEC groups as the central OLPR office cannot handle all the cases.

Receptionist:

1. Creates physical file if one is needed.
2. If 4th DEC case:
 - a. Picks next available investigator and assigns that person to the case.
 - b. System auto-assigns committee meeting date 55 days from the current date.
 - c. Prints investigator labels and adds to file if needed.
3. Marks task as complete in the system

Word Processor:

1. Creates notice of investigation letter and attaches to the case in ADRS. ADRS updates status and sends task notification to Office Administrator and Duty Attorney assigned to the case.

Office Administrator:

1. Works with Word Processor and Assigned Attorney to review and edit the document until it is finalized. ADRS coordinates task notifications during this process.
2. Marks task as complete.

Duty Attorney:

1. Reviews and electronically signs the notice of investigation letter.
2. System sends task notification to the Mail Clerk.

Mail Clerk:

1. Prints all documents.
2. Creates the mailing and sends it out.

System:

1. Tracks all timestamps on the case and mailing.
2. Sends out task notifications/alerts to DEC Liaison Attorney and the DEC Coordinator.
 - a. Sets 45 day reminder letter due date for all DEC's except 2 and 14.
 - b. Sets date that the DEC report is due. This is 90 days for all districts.

DEC Coordinator:

1. If 4th DEC case:
 - a. Verify screening committee meeting date on the notice of investigation letter.

- b. Enter date the letter was sent. This creates a 90 day reminder that the report is due.
- c. Very SCM (Screening Committee Meeting) date in the system.
- d. Enter follow up task for the SCM meeting.
- e. Enter “not heard at screening active” flag with a reminder letter task.

DEC Volunteer Coordinator:

1. After 45 days may set additional user-defined reminders (notifications).
2. Received DEC report and all investigation files.
3. The following recommendations from the DEC are possible:
 - a. Discipline not Warranted - DEC
 - i. Assigns to OLPR Attorney to review. Task notification is assigned to the attorney. This is **not** the same as being assigned to investigate a case.
 - ii. Attorney reviews the case.
 - iii. If attorney doesn't agree with decision, case is sent to the Director to be assigned to OLPR Attorney for a new OLPR Investigation.
 - iv. *If attorney agrees with decision, DNW letter is sent out and the case is closed.*
 1. DNW is posted for the DEC in SharePoint (or this may be automated).
 - v. If DNW is appealed by the complainant it becomes an Appeal case.
 - b. Admonition
 - i. Case is sent to the director to be assigned to OLPR Attorney for a new OLPR Investigation
 - ii. When investigation is complete the outcomes documents are posted in SharePoint for the DEC.
 - c. Recommend further OLPR Investigation
 - i. Case is sent to the Director to be assigned to OLPR Attorney for a new OLPR Investigation
 - ii. When investigation is complete the outcomes documents are posted in SharePoint for the DEC.
 - d. Recommend Panel proceeding (public discipline)
 - i. Case is sent to the director to be assigned to OLPR Attorney for a new OLPR Investigation to decide if it should go to a Panel.
 - ii. When investigation is complete the outcomes documents are posted in SharePoint for the DEC.

File Clerk:

1. File paper file (if required) when case is closed.

Panel Process

This process is initiated when an existing case is converted to a Panel Process case type. This happens when (1) OLPR investigation creates the charges document to seek public discipline of a respondent or (2) an Admonition has been issued and is appealed by the respondent.

Panel can recommend one of the following:

1. No probable cause – case should be dismissed.
2. Issue a Panel admonition or affirm OLPR admonition.
3. Send to Supreme Court due to:
 - a. Probable Cause
 - b. Find probable cause to revoke a conditional admission agreement.

System:

1. Assigns a new task to the Panel Clerk and send a notification.

Panel Clerk:

1. Receives notification task from ADRS to review the new Panel Investigation.
2. Updates case status and creates tasks and alerts as needed.
3. After contacting the Executive Committee delegate's office, enter the following in ADRS:
 - a. Panel number assigned.
 - b. Assigned panel members are validated and sometimes changed.
 - c. Name of Panel Chair.
4. Monitor the case and create tasks and alerts as needed.
5. Update the case with the Panel determination when it is made.
 - a. Panel Dismissal
 - b. Admonition
 - c. Send to Supreme Court
6. Convert the case to a different case type due to the determination if needed (such as Supreme Court Process).

Supreme Court Process

Describes the process of managing the Supreme Court filing. This process is initiated when a case has been recommended for public discipline by an OLPR Investigation. At any point this process can be ended by filing a stipulation with the Supreme Court.

Supreme Court Litigation Process

OLPR Attorney / Paralegal:

1. Prepare Petition for Disciplinary Action.
2. Attach to case in the system.

Word Processing:

1. Finalize the document.

OLPR Attorney:

1. ESign the document or print and sign paper copy.

Word Processing:

1. Prepare Notice document.

OLPR Attorney and Director:

1. Review Notice in the system.
2. ESign letter or print and sign paper copy.

Panel or Board Chair:

1. If required, sign the Notice document.

Mail Clerk:

1. Prepare mailing of petition and Notice to Supreme Court and Respondent or Respondent's counsel.
2. Sends out by US Mail.

System:

1. Notifies Computer clerk that the documents have been sent.
2. If paper file is required, notifies the file clerk.

Receptionist:

1. When the response comes in, scan into the system and associate with the case.

OLPR Attorney or Paralegal:

1. Request that Word Processing create a Referee Request Letter to the Supreme Court.

Word Processing:

1. Works with creator to create the letter and get it signed.

Mail Clerk:

1. Prints and mails out the letter.

Office Administrator or System:

1. Processes order document back from the Supreme Courts eNotices system.
2. Attachments are uploaded to ADRS and attached to the case.
3. System notifies Computer clerk and others that the order has come in.

Computer Clerk or Paralegal (to be determined)

1. Enters the referee and referee findings due date in the case data in the Supreme Court tab area.
2. System alerts the assigned attorney.

Attorney or Paralegal:

1. Enters referee hearing date once it is set with the referee.
2. Coordinates other documentation and associates it with the case in ADRS as needed.
3. Sets other alerts and tasks as needed.

Assigned Attorney:

1. Receive referee report.

Assigned Attorney or Paralegal:

1. Enter date notice of ordering transcript due.
2. Receive notice of ordering transcript, enter into system the date certification as to transcript due.
3. Receive certificate as to transcript, prepare letter requesting Supreme Court to issue briefing order.

Office Administrator or System:

1. When a briefing order comes in from the Supreme Court via the eNotices system, it is scanned to ADRS and associated with the case.
2. Follow up tasks/calendaring is entered in the system.

Attorney or Paralegal:

1. Coordinates the submission of briefing documents.

Office Administrator or System

1. Process the order for oral argument from the Supreme Court when it come in from the eNotices system.
2. Sets up follow up tasks in ADRS.

Office Administrator or System

1. Receives Supreme Court decision document through the eNotices system.
2. Parses email and attach document to case in the system.
3. System alerts interested parties that decision has arrived.

Word Processing:

1. Prepares closing letters, news release and notice to Board members.

OLPR Attorney and Director:

1. Signs appropriate documents.

Mail Clerk:

1. Prints, copies and mails out mailings.
2. Alert sent to Computer Clerk.

Computer Clerk:

1. Closes the cases.
2. Updates system and MARS.
3. Upload documents to OLPR public website.
4. If probation was ordered, the system will notify the probation team.

Legal Clerk:

1. If required create a Supreme Court mini file and send to the file clerk.
2. Marks task as complete in the system.

File Clerk:

1. Prepares physical file and stores it.
2. Enter physical file location to the case in the system.

SharePoint Clerk or System:

1. Uploads Supreme Court decision document to the correct DEC SharePoint site.

[Supreme Court Stipulation Process](#)

At any point during a Supreme Court process a stipulation might be created, following the process below.

OLPR Attorney / Paralegal:

1. Prepare Stipulation for Supreme Court document.

2. Attach to case in the system.

Word Processing:

1. Finalize the document.

OLPR Attorney:

1. ESign the document or print and sign paper copy.

Director:

1. ESign the document or print and sign paper copy.

Word Processing:

1. Prepare letter.

OLPR Attorney:

1. Review letter in the system.
2. ESign letter or print and sign paper copy.

Mail Clerk:

1. Prepare mailing of stipulation to Respondent or Respondent's counsel.
2. Sends out by US Mail.

System:

1. Notifies Computer clerk that the letter has been sent.
2. If paper file is required, notifies the file clerk.

Receptionist:

1. Receives signed stipulation by US Mail, fax, or hand-delivered.
2. Scans the document into the system and marks task as complete.
3. System notifies OLPR Attorney and Word Processing.

Word Processing:

1. Prepares filing letters to the Supreme Court.

OLPR Attorney:

1. Reviews letters and eSigns, or signs paper letters.

Mail Clerk:

1. Creates mailing of letters and send to Supreme Court. (In future these will be e-filed).
2. Sends copies to Respondent and complainants.

3. System notifies Computer Clerk and File Clerk (if paper filing required).

File Clerk:

1. If required created paper file and stores in the Director's office.
2. Marks task as complete in the system.

Computer Clerk:

1. Updates tasks and events as needed.

Probation Paralegal (Public Probation Process):

1. Tracks follow ups in the system.
2. Prepares reminder letters to Respondent.
3. Receives probation reports and scans them into the system.
4. Tracks UA dates in the system.
5. When the time comes, removes the probation status for the respondent.
6. Prepares probation complete letter.

OLPR Attorney:

1. Review and eSign probation complete letter.

Mail Clerk:

1. Prepare mailing and send out.

File Clerk:

1. If paper file required, files physical letters.

Computer Clerk:

1. Final data entry on the case in the system.
2. MARS data entry.

Complainant Appeal

Describes the process of a complainant appealing any of these determinations: Summary Dismissal, Discipline not Warranted, Admonition, and Private Probation. Appeals must be submitted within 14 days of the case being closed.

This workflow is initiated when the appeal letter or fax is received by the receptionist.

Receptionist:

1. Marks the case as under Appeal in ADRS.
2. Scans the appeal letter into ADRS and associates it with the case.

System:

1. Notifies the Appeals Clerk and Appeals AD that a new appeal has been received.
2. Assigns a task to the Appeals clerk to review the case.

Appeals Clerk:

1. Prepares AP4 or AP7 letter depending on the timeliness of the request.
2. If the request is timely assigns a board member.
3. Updates ADRS and marks task as complete.

Legal Clerk:

1. Scans supporting documents into ADRS and marks task as complete.

SharePoint Clerk:

1. Verifies documents and marks task as complete.

Appeals Clerk:

1. Prepares letters electronically in ADRS and marks task as complete.

Appeals Assistant Director:

1. Signs letters (electronically if possible) and marks task as complete.

Mail Clerk:

1. Prints and mails out letters.

SharePoint Clerk:

1. Uploads Appeal documentation to SharePoint, or this may be automated in the system. Marks task as complete.

Appeals Clerk:

1. If additional correspondence is received during the appeal it is uploaded to SharePoint and scanned into ADRS.
2. When the Appeal decision is received via SharePoint, US Mail, or Fax, it is scanned, uploaded to ADRS and attached to the case.
3. Enters determination and date received in ADRS.
4. If the decision is affirmed:
 - a. Delete the case from SharePoint (this may be automated).
 - b. Mark case as closed in ADRS.
5. If Further Investigation or Admonition is recommended:
 - a. Delete case from SharePoint (this may be automated).
 - b. Case type is changed to OINV, PINV, or whatever is appropriate. This will kick off the workflow for that case type.

Reinstatement

Below is the Reinstatement by Petition process. This is one of the “Request” processes. There are two types:

1. By Petition
2. By Affidavit

Receptionist:

1. Receives reinstatement petition or affidavit via US Mail, fax, or hand-delivered.
2. Enters a new Reinstatement request in ADRS (by filling out the new Reinstatement form).
 - a. Indicate petition or affidavit request.

System:

1. Assigns a task and send to the designated paralegal.

Paralegal:

1. Checks filing fee.
2. Verifies filed with the Supreme Court.

System:

1. Assigns a Task and sends a Notification to the Director.

Director:

1. Assigns to an attorney.

OLPR Attorney:

1. Validate the request.
2. Code the request.

Panel Clerk (if a petition):

1. In ADRS, enter the assigned Panel and Panel Chair name on the Reinstatement request.
2. Make sure case type is “REIN”.
3. Enter respondent’s counsel if needed.
4. Enter Assigned Date.
5. Enter Assigned OLPR Attorney.
6. Create any Tasks or Alerts as needed.
7. Assign Panel members to case.
8. Create Panel reinstatement forms and attach to the case in ADRS.
9. After the Attorney initials the forms, send notice to Minnesota Lawyer Magazine. CC the Office Administrator.

OLPR Attorney:

1. Reviews the request to make sure all requirements are completed.
2. Join Panel hearing with Panel and respondent.

Panel Clerk:

1. When the Panel recommends or denies reinstatement, enters into the system.

Word Processing (If reinstatement approved):

1. Creates reinstatement filing letters for the Supreme Court.

OLPR Attorney:

1. eSigns or physically signs the letters.

Mail Clerk:

1. Creates the mailing and sends it out.

Office Administrator or System

1. Receives Supreme Court Order via eNotices system and scans to the system.
2. System sends out notifications.

Computer Clerk:

1. Final data entry of Supreme Court determination.
2. Closes the case.

Resignation

This happens with a lawyer submits a request to resign from the practice of law in Minnesota.

Receptionist:

1. Gets a copy of the request for resignation by letter.
2. Creates a request for resignation in ADRS.

System:

1. Mark date petition was received.
2. Set the due date in the system.
3. Codes the request as needed.
4. Send out notifications.

Resignation Attorney (currently Tim Burke):

1. Receives request to review the request.
2. Sets alerts and tasks as needed.

Resignation Paralegal:

1. Receives notification that the request has been received.
3. Sets alerts and tasks as needed.

System (automated version) or Office Administrator (today):

1. Receives email from PMACS eNotices system with Supreme Court granting or denying the request.
2. Parses the email and updates the case file.
3. Saves the attachment with the case in ADRS.

System:

1. Sends out alerts to Office Administrator, Computer Clerk, Resignation Attorney and Resignation Paralegal.

Computer Clerk:

1. Closes the case in ADRS
2. Update the MARS database and attach a copy of the order document.

Trusteeship

Occurs when an attorney passes away or abandons their practice and they have open and/or closed client files. Someone makes a request to OLPR to take their client files. The Supreme Court must assign OLPR as the trustee for the lawyer.

Receptionist:

1. Receive a request by mail to do the trusteeship.
2. System will send alerts.

Director:

1. Assigns an Attorney to the case

Assigned Attorney:

1. Reviews the request.
2. Codes the request.
3. Files request for letter to Supreme Court to be appointed as trustee.

Word Processing

1. Works with Attorney and Paralegal to complete the letter.

Mail Clerk:

1. Prints and mails the letter.

System or Office Administrator:

1. Receive Supreme Court Order via eNotices email.
2. Parses the email and attaches the document to the case in ADRS.
3. Codes the case as needed.
4. Sends out alerts.

Office Administrator:

1. Coordinates/delegates the matter inventory process.
2. Codes tasks and alerts in the system as needed.

OLPR Attorney / Word Processing:

1. Sends report to SC that the work on trusteeship is complete.

System or Office Administrator:

1. Receive Supreme Court Order via eNotices email. Closes the process and specifies how long the files must be kept.
2. Parses the email and attaches the document to the case in ADRS.
3. Creates follow up task to purge the files.

4. Case is marked as closed.

User Stories

A user story is a short, simple description of a feature told from the perspective of the person (or actor) who desires the new capability, usually a user or customer of the system. Acceptance criteria are specified with the user story to indicate the conditions by which we can judge if the user story has been successfully implemented in the application. User stories are not intended to describe the technical solution itself, only the needs of the end user. During the development phase of the project, stakeholders and developers analyze and discuss the user stories in detail to validate their accuracy and provide the technical implementation.

The actors and features to be supported by the new system are listed below. Each feature is detailed by a number of user stories. It is understood that these user stories are based on current business processes and needs at OLPR. They could change incrementally before development on the system actually begins. The development team will be expected to review these user stories, validate them, and modify or add to them as needed during the development phase of the project.

As noted in the general description section, the development project is being split into several broad phases. The features listed below are generally being recommended to be slotted into one of the phases. Some features (like reporting) may be implemented across several phases. This is the recommended list of phases:

- Phase One – Core System: This will include all functionality that must be present to replace the old system when the new application is launched.
- Phase Two – Advanced Reporting / Dashboards: This would include reports, dashboards, and metrics not included in Phase One.
- Phase Three – Advanced Data Integration: This would include data integration capabilities to external systems like SharePoint or the Supreme Court PMACS eNotices system that are not required for Phase One.

Actors

The application will support the following key actors. These are all internal OLPR employees. All the actors listed below are expected to use the new ADRS system daily as a primary system and tool to do their work. Non-employees cannot access the system.

Actor Name	Description
Receptionist	Primary responsibility in the system is to receive external requests by phone, mail, email or fax and take some action in the system. These actions are typically to fill out a form to start a process or look up some data to answer questions.
OLPR Attorney	Is responsible for working and monitoring cases of different types as they flow through the organization processes. Needs to be able to effectively collaborate with many other types of users in the organization, as well as external entities. The new ADRS should be the Attorneys' primary tool for managing and working their caseload.
Paralegal	Support the attorneys in the working of the cases. Have their own

Actor Name	Description
	case lists that they need to manage. Some specialize in areas such as probations or trust accounts. All their key data and workflows will live in the new ADRS as well.
Word Processor	Has primary responsibility for generating documents related to case investigations. These are usually created with Microsoft Office software. Need to be able to easily share and collaborate on these documents with Attorneys and others in the organization via the new ADRS system.
Mail Clerk	Coordinates the distribution of internal and external mail at OLPR. Will need to be able to track mail activities in the system as part of case processing workflows.
Computer Clerk	Is one of the more computer savvy users in the organization. Handles many system maintenance and support tasks in the application in a "system admin" role.
File Clerk	Manages the filing, sharing, and disposition of the paper files.
Legal Clerk	Focuses on supporting certain key legal matters.
Panel Clerk	Manages and coordinates the cases that are going through the Panel process.
DEC Volunteer Coordinator	Coordinates all key activities with the DEC committees. Handles a lot of the data and documents that pass back and forth between OLPR and the committees.
Appeals Clerk	Manages and coordinates the cases that are going through the appeals process. .
Appeals Assistant Director	Focuses on and supports the cases that are going through the appeals process.
Director	Manages the overall OLPR organization. Some specific tasks in the case management process will go through the director.

Features

Below is the list of features that the system will support. Each feature will be defined by a group of user stories. These are further defined below in the user story breakout for each feature.

Feature Number	Project Phase	Feature Name	Feature Description
1	1	Utilize Home Screen	Users can access key, relevant information through the default, configurable home screen.
2	1	Enter Complaint	Users can enter complaints to start the case investigation process.
3	1	View and Manage Complaints	Users can view and manage complaints before they are converted to a case.
4	1	Create Case	Users can create a case from a complaint or request.
5	1	Search Cases	Users can search for cases and case data by a number of different factors. Search results can be filtered, viewed, and acted upon.
6	1	Search People	Users can search for people in the system by person attributes or role in the system. Results can be explored and acted upon.
7	1	Search Documents	Users can search all documents that have been uploaded to the system. Results can be filtered and viewed.
8	1	View and Manage Cases	Users can view and manage case data. Users can explore and act on data related to cases such as persons, complaints, comments, rule violations, documents, tasks, alerts, appeals, and more.
9	1	View and Manage Person Data	Users can view and manage person data. This includes persons in all roles in the system such as complainants, respondents, OLPR attorneys, board members, DEC members, referees, and counsel.
10	1	Create and Manage Resignation Requests	Users can create a resignation request in the system, and manage that request until it is closed.
11	1	Create and Manage Reinstatement Requests	Users can create a reinstatement request in the system, and manage that request until it is closed.
12	1	Create and Manage Trusteeship Requests	Users can create a trusteeship request in the system, and manage that request until it is closed.
13	1/2/3	Run Reports	Users can run on demand reports in the system. Users can also receive scheduled reports automatically via email.
14	1	Perform Case Data Expunction	Users can expunge data from the system. This can be automated or done manually.
15	1	Manage Lookup Data	Users can manage a variety of lookup data elements in the system.
16	1	Manage My Settings	Users can manage their own preferences in the system, including things like home screen settings

Feature Number	Project Phase	Feature Name	Feature Description
			and out of office status.
17	1	Manage Workflows	Users can manage workflow settings in the system. This would include adding or removing steps in a workflow.
18	1/2/3	View Dashboards	Users can view shared dashboards in the system.
19	1/2	Create and Publish Reports	Users can create new reports and publish them into the system.
20	1	MARS Integration	The system will receive MARS attorney data on a nightly basis.
21	3	SharePoint Integration	The system can push or pull certain files to or from SharePoint.
22	3	PMACS eNotices Integration	The system can receive and parse email notices and documents from the Supreme Court PMACS notification system.
23	1	Legacy Data Migration	The system will import data from the legacy ADRS system and other supporting systems during the cutover to production procedure.

Utilize Home Screen

Note on user story ID values: ID “1.1” indicates that this is the first defined user story in feature number one.

ID	User Story	Acceptance Criteria
1.1	As a user, I see the data that is most important to me in my role on the home screen, so that I can be as efficient and effective as possible	<ol style="list-style-type: none">1. The home screen loads and displays as soon as I log into the system2. Other windows can be opened while the Home Screen is open3. Data and widgets are targeted to me based on my role4. Data is targeted to me based on my activity in system workflows (typically as tasks and alerts).5. Some widgets will display personal, team, or organization performance metrics.6. Some widgets are “actionable” and will take the users to another screen where they can perform actions.7. Data, widgets, and other screen elements are targeted to me based on my personal configuration of the system.
1.2	As a user, if I am backing up a co-worker who is out of the office, I will see their data on my home screen so that I can cover their workload while they are out.	<ol style="list-style-type: none">1. I see my co-worker’s tasks in my task list if they are out of the office. I may receive task notifications via email as well.2. I see my co-workers alerts in my alerts list if they are out. I may receive alert notifications via email as well.3. The task and alerts widgets will indicate if a given item is being inherited from a co-worker.4. If I click on an actionable item link on the home screen, I will see the full information for that item. For example, clicking a task name in the My Tasks widget will show me the task details window, where I can update and save the task.

Enter Complaint

ID	User Story	Acceptance Criteria
2.1	As a Receptionist, I want to enter a new complaint, so they can be reviewed.	<ol style="list-style-type: none"> 1. All required fields are filled out, such as complainant first name and last name, respondent, probation status, etc. 2. A New complaint is saved in the system. 3. The Complaint Review workflow is initiated in the system for the new complaint. 4. Duty Attorney is notified with an alert that the complaint has been created. 5. The Duty Attorney is assigned a task to review the complaint. 6. If the respondent is on probation, the complaint is flagged by the system and alerts are sent to the probations team.
2.2	As a Receptionist, I want to scan documents into the system to associate them with the complaint.	<ol style="list-style-type: none"> 1. Scanned documents are associated with the complaint, and ultimately with the case when it is created.
2.3	As a Receptionist, I want to indicate that the complainant will be sending more information about the complaint so that the complaint can be processed effectively	<ol style="list-style-type: none"> 1. The complaint is flagged that more information is pending. 2. The system creates reminder alerts and tasks to follow up on the complaint. 3. The complaint will not be shown on the Complaint Review screen by default.

View and Manage Complaints

ID	User Story	Acceptance Criteria
3.1	As a user, I can find open complaints in the system with the Complaint Review screen so that I can process the complaints.	<ol style="list-style-type: none"> 1. Selecting a specific Duty Attorney or "All" duty attorneys will filter the results appropriately. 2. User can filter complaint list to show "Waiting for Info (Mail)". 3. User can filter complaint list to show "Waiting for Info (Online)". 4. Once a complaint is converted to a case it will no longer show on this screen. 5. Complaints against respondents with previous complaints are flagged on the list.
3.2	As a user I can print a list of open complaints from the Complaint Review screen so that I can share the list outside of the system in a paper format.	<ol style="list-style-type: none"> 1. The current view of complaints is printed based on selected filtering criteria.
3.3	As a user, I can filter or sort the complaints list by manipulating the list column headers to make it easier to find specific complaints.	<ol style="list-style-type: none"> 1. The list is sorted based on column header selections. 2. The list is filtered based on column header selections.
3.4	As a Duty Attorney, I can reassign a complaint to a different OLPR Attorney.	<ol style="list-style-type: none"> 1. The case is reassigned to the other attorney. 2. The other attorney receives an alert notification of the complaint assignment. 3. The complaint is removed from the original Duty Attorney's complaint review list. 4. The complaint is added to the new attorney's complaint review list.
3.5	As a Duty Attorney, I can request more information about the complaint when I need more information to process the complaint.	<ol style="list-style-type: none"> 1. The system updates the complaint to a "waiting for information" status. 2. The system creates reminder tasks and alerts to follow up on the request for more information.
3.6	As a Duty Attorney, I can dismiss the complaint with a "summary dismissal" decision when there is not enough information to warrant an investigation.	<ol style="list-style-type: none"> 1. A case is created in the system (although it will not be investigated). 2. System marks the complaint as a summary dismissal, which starts the Summary Dismissal workflow. 3. Alerts and tasks are created to start the Summary Dismissal process.
3.7	As an authorized User, I can delete a complaint when it should be removed from the system.	<ol style="list-style-type: none"> 1. The complaint is completely removed from the system. 2. If the complaint is tied to a case the case must be deleted, which will delete the complaint. 3. The complaint will not show up on any detail or summary reporting views.

ID	User Story	Acceptance Criteria
3.8	As a user, I can export the list of complaints to another file format so I can share it electronically outside of the system.	<ol style="list-style-type: none"><li data-bbox="727 235 1367 298">1. The displayed list of complaints is exported out to another format such as Excel, PDF, or Word.<li data-bbox="727 304 1367 336">2. Exported data is no longer linked to the database.

Create Case

ID	User Story	Acceptance Criteria
4.1	As a Duty Attorney, I can create a case as an OLPR Investigation from a complaint so that the case can be investigated.	<ol style="list-style-type: none">1. Case is created in the system and a case ID is assigned.2. The complaint is associated with the new case.3. The case is marked as an OLPR Investigation case type.4. The OLPR Investigation workflow is initiated on the case. The system sends out the required task and alert notifications.
4.2	As a Duty Attorney, I can create a case as a DEC investigation from a complaint so that it can be assigned to a DEC committee for investigation.	<ol style="list-style-type: none">1. Case is created in the system and a case ID is assigned.2. The complaint is associated with the new case.3. The case is marked as a DEC Investigation case type.4. The DEC Investigation workflow is initiated on the case. The system sends out the required task and alert notifications.

Search Cases

ID	User Story	Acceptance Criteria
5.1	As a user, I can search for case data in the system so that I can find specific information that I am looking for.	<ol style="list-style-type: none"> 1. I can search using “Starts With”, “Contains”, or “Equals” comparison logic. 2. I can search on the following fields: Complainant First Name, Complainant Last Name, Respondent First Name, Respondent Last Name, Complainant Counsel First or Last name, Respondent Counsel First or Last name, Referee First Name, Referee Last Name, Case ID, OLPR Attorney, Case Type, DEC Member First Name, DEC Member Last Name, Supreme Court File #, Attorney ID, and Open or Closed status. 3. Matching results are returned based on my search criteria.
5.2	As a user I can print a list of cases from the Search Cases screen so that I can share the list outside the system in a paper format.	<ol style="list-style-type: none"> 1. The current view of cases is printed based on selected filtering criteria.
5.3	As a user, I can filter or sort the case list by manipulating the list column headers so I can more easily find what I’m looking for.	<ol style="list-style-type: none"> 1. The list is sorted based on column header selections. 2. The list is filtered based on column header selections.
5.4	As a user, I can view and edit case details from the search results so I can quickly view and drill into case data.	<ol style="list-style-type: none"> 1. When I click on a case link the case summary screen is displayed with full functionality.
5.5	As a user, I can view and edit person details from the search results so I can quickly view and drill into person data.	<ol style="list-style-type: none"> 1. When I click on a person link the person summary screen is displayed with full functionality.
5.6	As a user, I can view task details from the search results so I can quickly view and drill into task data.	<ol style="list-style-type: none"> 1. When I click on a task link the task summary screen is displayed in read only mode.
5.7	As a user, I can edit tasks from the search results if the task is assigned to me so that I can quickly access and modify task data.	<ol style="list-style-type: none"> 1. When I click on a task link the task summary screen is displayed in read/write mode.
5.8	As a user, I can export the list of cases to another file format so I can share it electronically outside of the system.	<ol style="list-style-type: none"> 1. The displayed list of cases is exported out to another format such as Excel, PDF, or Word. 2. Exported data is no longer linked to the database.

Search People

ID	User Story	Acceptance Criteria
6.1	As a user, I can search for and find person data in the system so that I can easily find and update the data.	<ol style="list-style-type: none"> 1. I can search using “Starts With”, “Contains”, or “Equals” comparison logic. 2. I can search for people on the following field data: First Name, Middle Name, Last Name, City, Person ID, and Email. 3. Matching results are returned based on my search criteria.
6.2	As a user, I can target specific roles when I do a search.	<ol style="list-style-type: none"> 1. I can select to add or remove these roles from the search results: All People, All Attorneys, Respondents, Complainants, OLPR Attorneys, DEC Members, Board Members, Referees, and Counsel. 2. Matching results and returned based on my search criteria and role selections.
6.3	As a user I can print a list of people from the Search People screen so that I can share the list outside of the system in a paper format.	<ol style="list-style-type: none"> 1. The current view of people is printed based on selected filtering criteria.
6.4	As a user, I can filter or sort the people list by manipulating the list column headers so that I can more easily find the data that I’m looking for.	<ol style="list-style-type: none"> 1. The list is sorted based on column header selections. 2. The list is filtered based on column header selections.
6.5	As a user, I can view and edit case details from the search results so I can quickly view and drill into case data	<ol style="list-style-type: none"> 1. When I click on a case link the case summary screen is displayed with full functionality.
6.6	As a user, I can view and edit person details from the search results so I can quickly view and drill into person data.	<ol style="list-style-type: none"> 1. When I click on a person link the person summary screen is displayed with full functionality.
6.7	As a user, I can export the list of people to another file format so I can share it electronically outside of the system.	<ol style="list-style-type: none"> 1. The displayed list of people is exported out to another format such as Excel, PDF, or Word. 2. Exported data is no longer linked to the database.

Search Documents

ID	User Story	Acceptance Criteria
7.1	As a user, I can search for and find documents in the system.	1. Matching results are returned based on my search criteria.
7.2	As a user, I can open a document and view it from the search results.	1. When I click on a document link in search results the document is displayed.
7.3	As a user, I can filter search results based on document type, Modified Date, or Modified By criteria.	1. When I click on filtering criteria the search results are filtered appropriately.
7.5	As the system, I can access indexed data about the documents to return matches based on document content	1. Search results will be returned based on document content for supported file types.
7.6	As a user, I can open a document and edit it from search results.	<ol style="list-style-type: none">1. Editing will be prevented if I do not have edit permissions.2. Editing will be prevented if the document is locked and no longer editable.3. Any changes I make to the document will be saved back to the system.

View and Manage Cases

The user stories in this section describe most of the “case management” aspects of the system. This is the most crucial and complex part of the system. For this reason, this section is broken down into sub-features.

Case Management – Manage General Case Data

ID	User Story	Acceptance Criteria
8.1	As a user, I can update General case data so that the case investigation and data capture process can proceed.	<ol style="list-style-type: none">1. I can update Case Type, Closed Date, Confidential, or File Location.2. I cannot update Case ID, Respondent, or Opened Date. These fields are controlled by the workflow process and are disabled in the user interface.
8.2	As a user with sufficient permissions, I can change the Case Type of the case.	<ol style="list-style-type: none">1. The current workflow based on the previous case type is cancelled. All pending tasks and alerts are marked as cancelled.2. The new workflow based on the new case type is initiated. Notification tasks and alerts are created for the new workflow.
8.3	As the Assigned Attorney, I can update the Disposition of the case.	<ol style="list-style-type: none">1. Case is updated in the system.2. Disposition Date field is updated in the system.
8.4	As the Assigned Attorney or a System Admin, I can reassign the case to a different OLPR Attorney.	<ol style="list-style-type: none">1. Case is updated in the system.2. Tasks and Alerts that were assigned to the previous OLPR Attorney are reassigned to the new OLPR attorney by the system.
8.5	As a user, I can assign the case to a DEC committee if this is a DEC Investigation.	<ol style="list-style-type: none">1. The DEC field is disabled if the case is not a DEC investigation.2. DEC data is saved to the system.
8.6	As a authorized user, I can delete a case when it should be completely backed out of the system.	<ol style="list-style-type: none">1. The system will ask if all associated data can be deleted. This would include complaints and associated cases, but not person data.

Case Management – Manage Tasks

ID	User Story	Acceptance Criteria
8.7	As a user, I can view current and historical tasks associated with the case so that I can see what has been done on a case and where the case currently is in the process.	<ol style="list-style-type: none"> 1. All tasks related to the case are displayed on the Tasks tab. 2. Current status for each task is displayed. 3. Clicking on a task link will open the Task Summary screen for that task.
8.8	As a user, I can create a new “user-defined” task and associate it with the case so that I can manage the case at a more detailed level than the standard workflows provide.	<ol style="list-style-type: none"> 1. All required fields are filled out on the new Task screen, such as task name, task description, task type, due date, and send alert. 2. New task is created and associated with the case. 3. Any alerts related to the task are created and sent out.
8.9	As a user, I can update my existing tasks that are associated with the case.	<ol style="list-style-type: none"> 1. I can only edit tasks that are assigned to me (unless I am a System Admin). 2. My changes to the task are saved to the system.
8.10	As a user, I can see all tasks from all related cases when reviewing a consolidated case.	<ol style="list-style-type: none"> 1. The “Original Case ID” column in the task list will show what related case the task came from.
8.11	As a user, I can show or hide completed tasks on the task list for the case.	<ol style="list-style-type: none"> 1. If a user has selected to hide completed tasks, those tasks will not be displayed.

Case Management – Manage Documents

ID	User Story	Acceptance Criteria
8.13	As a user I can view a list of documents associated with the case so that I can find all information about the case in one place.	1. The list of documents associated with the case is displayed on the Documents tab of the Case Summary screen.
8.14	As a user I can upload a new document to the system and attach it to the case.	1. The document is associated with the case and is displayed on the Documents tab of the Case Summary screen. 2. Any required document metadata is populated and saved with the document.
8.15	As a user, I can scan a paper document, upload it, and attach it to the case.	1. The document is associated with the case and is displayed on the Documents tab of the Case Summary screen. 2. Any required document metadata is populated and saved with the document.
8.16	As a user, I can upload an email to the system and attach it to the case.	1. The email is associated with the case and is displayed on the Documents tab of the Case Summary screen. 2. Any required document metadata is populated and saved with the document.
8.17	As a user, I can remove a document from the case.	1. The document is no longer displayed on the Documents tab of the Case Summary screen.
8.18	As a user, I can edit a document that is associated with a case.	1. The document is updated in the system.

Case Management – Manage Comments

ID	User Story	Acceptance Criteria
8.19	As a user I can view Comments associated with a case so I can follow an informal, unstructured data feed about the case.	1. Comments are displayed on the Comments tab. 2. The most recent comments are listed at the top.
8.20	As a user, I can add a comment to a case so I can flag it in some way that is not available in the standard case fields.	1. The new comment is saved and shows up on the Comments tab of the case. 2. The author and timestamp of the comment is displayed.

Case Management – Manage Complaints

ID	User Story	Acceptance Criteria
8.21	As a user, I can view complaints and complaint forms associated with a case so I can see the original complaint data that led to the case.	<ol style="list-style-type: none"> 1. All complaints associated with a case are displayed on the Complaints tab. 2. When a complaint link is clicked the complaint form opens and displays the original complaint data. 3. Clicking a person link in the Complaints list will open the Person Summary form for that person.
8.22	As a user I can add an existing complaint (and its associated Case) against the same respondent to the current case to create a "Consolidated Case" so that several complaints can be investigated or decided upon together.	<ol style="list-style-type: none"> 1. The oldest case is marked as the "Primary Case". 2. The Primary Case determines the consolidated case's Opened Date and Case ID. 3. The consolidated case can only be edited when viewing the primary case. All other dependent case screens will be read-only.
8.23	As a user, I can split off a dependent case from a consolidated case so that the case can be investigated or decided upon on its own merits.	<ol style="list-style-type: none"> 1. When a case is split it is no longer associated with the primary case and does not show up on the list of complaints. 2. The split case will need to be processed to finish and close the case.

Case Management – Manage People

ID	User Story	Acceptance Criteria
8.24	As a user I can view all persons who are associated with the case.	<ol style="list-style-type: none"> 1. All persons associated with a case are listed on the People tab. 2. Clicking a Person link on the people tab will display the Person Summary screen for that person.
8.25	As a user I can remove a person from the case	<ol style="list-style-type: none"> 1. The person will no longer be associated with the case. 2. Some persons, such as complainant or respondent are required and cannot be removed on this screen.
8.26	As a user I can add a person to the case	<ol style="list-style-type: none"> 1. The new person will be associated with the case. 2. When adding the person the user must specify the role the person will fulfill on the case. 3. Most persons are added to the case during the case investigation process in other parts of the application.

Case Management – Manage Appeals Data

ID	User Story	Acceptance Criteria
8.27	As a user I can view Appeals data associated with a case.	<ol style="list-style-type: none">1. Appeals data is displayed on the Appeals tab. This includes data fields such as Received Date, Received Format, Envelope Postmark, Appeal Reviewed Date, Board Member, Sent to Board Member Date, Determination Due Date, Determination Outcome, and Determination Received Date.2. If this case is not under appeal the Appeals tab will be disabled.
8.28	As a user, I can update Appeals data associated with a case.	<ol style="list-style-type: none">1. Updated Appeals data is saved by the system.

Case Management – Manage Panel Data

ID	User Story	Acceptance Criteria
8.29	As a user I can view Panel data associated with a case.	<ol style="list-style-type: none">1. Panel data is displayed on the Panel tab. This includes data such as the Panel Number and Panel members.2. If this is not a Panel case the Panel tab will be disabled.
8.30	As a user, I can update Panel data associated with a case.	<ol style="list-style-type: none">1. Updated Panel data is saved by the system.

Case Management – Manage DEC Data

ID	User Story	Acceptance Criteria
8.31	As a user I can view DEC data associated with a case.	<ol style="list-style-type: none">1. DEC data is displayed on the DEC tab.2. If this is not a DEC case the DEC tab will be disabled.
8.32	As a user, I can update DEC data associated with a case.	<ol style="list-style-type: none">1. Updated DEC data is saved by the system.

Case Management – Manage Supreme Court Data

ID	User Story	Acceptance Criteria
8.33	As a user I can view Supreme Court data associated with a case.	<ol style="list-style-type: none">1. Supreme Court data is displayed on the Supreme Court tab. This includes data like the Supreme Court Case #, Referee Name (Entered on People tab), Citation, and Temporary Citation data, disposition.2. If this is not a Supreme Court case the Supreme Court tab is disabled.
8.34	As a user, I can update Supreme Court data associated with a case.	<ol style="list-style-type: none">1. Updated Supreme Court data is saved by the system.

Case Management – Manage Rule Violations

ID	User Story	Acceptance Criteria
8.35	As a user, I can view Rule Violations associated with a case.	1. Rule Violations are displayed on the Rule Violations tab of the case.
8.36	As a user, I can specify a Rule Violation for a case.	1. The Rule Violation will be displayed on the Rule Violations tab.

Case Management – Manage Alerts/Calendar

ID	User Story	Acceptance Criteria
8.37	As a user, I can view the list of Alerts / Reminders that are associated with a case.	1. Alerts / Reminders are displayed on the Alerts / Calendar tab of the case. 2. The list can be filtered to show only upcoming / future alerts.
8.38	As a user, I can add a new “user-defined” Alert / Reminder to a case.	1. All required fields such as Alert title, Details, Users to Notify, Notify Date, Send Email must be completed. 2. The new Alert is added to the case.
8.39	As a user, I can remove an Alert that I created from the case.	1. I cannot remove system generated alerts. 2. My custom alert is removed from the case.
8.40	As a user I can print the list of alerts for the case so that I can share the case schedule in a paper format.	1. The list of upcoming alerts for the case is printed.

View and Manage Person Data

ID	User Story	Acceptance Criteria
9.1	As a user, I can view Person summary data in the system whenever I click a person link in person search or other screens.	1. When the person link is clicked the person summary screen is displayed for that person.
9.2	As a user, I can create a new person in the system as part of another process like setting up a complainant to create a new complaint.	1. All required fields are populated on the new person form, such as first name, middle name, last name, honorific, and suffix. 2. The new person is saved in the system.
9.3	As a user, I can update general person information for non-attorneys.	1. General information like first name, last name, Notes, and suffix are updated in the system. 2. Key Attorney demographics come from MARS and cannot be updated in the system.
9.4	As a user, I can add to or modify the persons role history	1. Role history is displayed on the Role History tab. 2. The user is assigned one of the supported roles such as DEC Member, Board Member, Complainant, etc. 3. Role updates are saved in the system.
9.5	As a user, I can view or modify the person's Contact Info	1. Contact Info is displayed on the Contact Info tab. 2. Updates are saved in the system. 3. Address history is maintained in the system.
9.6	As a user, I can view the person's case history.	1. Cases related to the person in any role are listed on the Case History tab. 2. Case data can be viewed from here by clicking the case link.
9.7	As a user, I can view the person's matter (disciplinary) history if that person is an attorney	1. Matter History is displayed on the Matter History tab. 2. Matter History will be display in different views like Public, Private, All, etc. for quick and easy access. 3. If the person is not an attorney this tab is disabled.
9.8	As a user, I can view the person's MARS data if that person is an attorney	1. MARS data is displayed on the MARS data tab. 2. If the person is not an attorney this tab is disabled.
9.9	As a user, I can update a person's Rule 5-8 Status	1. The data is saved and appropriate alerts are created.
9.10	As a user, I can add a new person as an Attorney to capture non-Minnesota Attorney data.	1. The new person is saved in the database with an Attorney role. 2. The MARS import process will not affect this data (only MN attorney data comes from MARS).

Create and Manage Resignation Requests

ID	User Story	Acceptance Criteria
10.1	As a Receptionist, I can submit a new Resignation Request to start the Resignation Request process so that an attorney can resign from the Minnesota Bar.	<ol style="list-style-type: none"> 1. All required fields are filled out on the form. 2. The new request is saved in the system as a new case. 3. Due date is set in the system. 4. The Resignation Request workflow is started and all notification alerts and tasks have been sent by the system.
10.2	As the designated Resignation Attorney, I can review the request from my case list. .	<ol style="list-style-type: none"> 1. Updates if applied are saved in the system.
10.3	As the designated Resignation Paralegal, I can review the request from my case list. .	<ol style="list-style-type: none"> 1. Updates if applied are saved in the system.
10.4a/b	As the Office Administrator / System, I can update the Resignation case after receiving the Supreme Court decision via the PMACS eNotices system.	<ol style="list-style-type: none"> 1. Case is updated in ADRS. 2. SC decision document is attached to the case in ADRS. 3. The system sends out alert and task notifications. <p><i>NOTE: the automated (b) version of this would be done in Phase 3.</i></p>
10.5	As the Computer Clerk, I can close the case.	<ol style="list-style-type: none"> 1. Case is closed in the system.

Create and Manage Reinstatement Requests

ID	User Story	Acceptance Criteria
11.1	As a Receptionist, I can submit a new Reinstatement Request to start the Reinstatement Request process.	<ol style="list-style-type: none"> 1. All required fields are filled out on the form. 2. Affidavit or Petition request is indicated. 3. The new request is saved in the system as a new case. 4. The Reinstatement Request workflow is started and all notification alerts and tasks have been sent by the system.
11.2	As a Duty Attorney, I can review and update the request from my case list.	<ol style="list-style-type: none"> 1. Updates are saved in the system. 2. The case status is updated and follow up alerts and tasks are created by the system.
11.3	As a Panel Clerk, I can view and update the case.	<ol style="list-style-type: none"> 1. Key data like panel information, Assigned Date, Assigned OLPR attorney, etc. is updated. 2. Reinstatement forms are scanned and attached to the case.
11.4a/b	As the Office Administrator / System, I can update the case after receiving the Supreme Court decision via the PMACS eNotices system.	<ol style="list-style-type: none"> 1. Case is updated in ADRS. 2. SC Order document is attached to the case in ADRS. 3. The system sends out alert and task notifications. <p><i>NOTE: the automated (b) version of this would be done in Phase 3.</i></p>
11.5	As a Computer Clerk, I can make final updates and close the case.	<ol style="list-style-type: none"> 1. Case is closed.

Create and Manage Trusteeship Requests

ID	User Story	Acceptance Criteria
12.1	As a Receptionist, I can submit a new Trusteeship Request to start the Trusteeship Request process.	<ol style="list-style-type: none"> 1. All required fields are filled out on the form. 2. The new request is saved in the system as a new case. 3. The Trusteeship Request workflow is started and all notification alerts and tasks have been sent by the system.
12.2	As a Duty Attorney, I can review the request from my case list and code it for processing.	<ol style="list-style-type: none"> 1. Updates are saved in the system. 2. The case status is updated and follow up alerts and tasks are created by the system.
12.3	As a Duty Attorney, I can reassign the request to a different attorney.	<ol style="list-style-type: none"> 1. The case is reassigned to the selected OLPR Attorney.
12.4	As a Word Processor, I can create the letter to the Supreme Court to apply for trustee status.	<ol style="list-style-type: none"> 1. Letter is created in ADRS and associated with the case. 2. The system sends task and alert notifications to the Assigned Attorney and Word Processing Supervisor based on the workflow configuration.
12.5	As a Word Processor, I can populate the Supreme Court trusteeship application letter template with default data from ADRS so that the correct information is added seamlessly to the document.	<ol style="list-style-type: none"> 1. Default Respondent data is pulled from ADRS to populate the letter template.
12.6	As the Assigned Attorney, I can edit the trusteeship application letter to the Supreme Court to make changes	<ol style="list-style-type: none"> 1. The letter is saved and letter metadata is updated in ADRS. 2. The system sends task and alert notifications to the based on the workflow configuration.
12.7	As the Word Processing Supervisor, I can edit the trusteeship application letter to the Supreme Court to make changes.	<ol style="list-style-type: none"> 1. The letter is saved and letter metadata is updated in ADRS. 2. The system sends task and alert notifications based on the workflow configuration.
12.8	As the Mail Clerk, I can print the trusteeship application letter from ADRS and create the mailing.	<ol style="list-style-type: none"> 1. The letter is printed. 2. The system sends task and alert notifications based on the workflow configuration.
12.9a/b	As the Office Administrator / System, I can update the case after receiving the Supreme Court Order via the PMACS eNotices system.	<ol style="list-style-type: none"> 1. Case is updated in ADRS. 2. SC Order document is attached to the case in ADRS. 3. The system sends out alert and task notifications. <p><i>NOTE: the automated (b) version of this would be done in Phase 3.</i></p>
12.10	As the Office Administrator, I can indicate in ADRS when the data	<ol style="list-style-type: none"> 1. Updated status is saved in the system.

ID	User Story	Acceptance Criteria
	collection process is complete	
12.11	As a Word Processor, I can create the trusteeship complete notification letter to the Supreme Court to indicate that the data collection process for the trusteeship is complete.	<ol style="list-style-type: none"> 1. Letter is created in ADRS and associated with the case. 2. Appropriate data is pulled from ADRS to prepopulate some sections of the letter. 3. The system sends task and alert notifications to the Assigned Attorney and Word Processing Supervisor based on the workflow configuration.
12.12	As the Assigned Attorney, I can edit the trusteeship complete notification letter to the Supreme Court to make changes	<ol style="list-style-type: none"> 1. The letter is saved and letter metadata is updated in ADRS. 2. The system sends task and alert notifications based on the workflow configuration.
12.13	As the Word Processing Supervisor, I can edit the trusteeship complete notification letter to the Supreme Court to make changes.	<ol style="list-style-type: none"> 1. The letter is saved and letter metadata is updated in ADRS. 2. The system sends task and alert notifications based on the workflow configuration.
12.14	As the Mail Clerk, I can print the trusteeship complete notification letter from ADRS and create the mailing.	<ol style="list-style-type: none"> 1. The letter is printed. 2. The system sends task and alert notifications based on the workflow configuration.
12.15a/b	As the Office Administrator / System, I can update the case after receiving the Supreme Court Trusteeship Completion Order via the PMACS eNotices system.	<ol style="list-style-type: none"> 1. Case is updated in ADRS. 2. SC Order document is attached to the case in ADRS. 3. The case is closed with the correct Closed Date. 4. A date is added to the case that specifies how long the files must be kept. 5. The system creates task and alert notifications to purge the files when file disposition date has arrived. <p><i>NOTE: the automated (b) version of this would be done in Phase 3.</i></p>

Run Reports

ID	User Story	Acceptance Criteria
13.1	As a user, I can export a report to other formats such as PDF, Word, Excel, or csv (comma separated values file).	1. The report is saved out to the target file format and save location.
13.2	As a user, I can search a report for a certain term.	1. Matching terms are highlighted on the report.
13.3	As a user, I can subscribe to some reports to receive them via email attachments on a set schedule.	1. The selected report will be delivered on the selected schedule via email attachment.
13.4	As a user, I can run a Mailings report to see what Mailings should go out on a given day.	1. The report is displayed for the selected day.
13.5	As a user, I can run a Scheduling Report to see a list of upcoming events of a selected type.	1. The selected schedule or diary is displayed. Event types would include things like "Waiting for Information Reminders", "Probation Exam Reminders", "DEC Reminder Letters", etc.
13.6	As a user, I can run a Pending Tasks report to see upcoming tasks by different criteria.	1. The report is displayed for the selected criteria.
13.7	As a user, I can run a Monthly Appeals report to view a list of overdue appeals.	1. The report is displayed for the selected criteria.
13.8	As a Paralegal, I can run a Judgments and Collections report to see who hasn't paid on judgment fees yet and payment plan status.	1. The report is displayed for the selected criteria.
13.9	As a Paralegal I can run a Probations report to see a summary of all probate cases.	1. The report is displayed with the following details: <ul style="list-style-type: none"> a. Assigned lawyer and paralegal b. Public or Private status c. Supervised or unsupervised
13.10	As a Probations Paralegal, I can run a Probation Cover Sheet report	1. Report is displayed with summary data for a probations case.
13.11	As a Paralegal, I can run a Trust Account Overdraft Cover Sheet report	1. Report is displayed with cover sheet and form letter.
13.12	As a Paralegal, I can run an Overdrafts Quarterly or Annual report.	1. Report is displayed with overdraft statistics and the actions taken.
13.13	As a Panel Clerk, Attorney, or Paralegal, I can run a Panel Matters Pending report.	1. Report is displayed. 2. Report can be subscribed to with monthly notifications.
13.14	As a Panel Clerk, Attorney, or Paralegal, I can run a Panels Completed report.	1. Report is displayed. 2. Report can be subscribed to with monthly notifications.
13.15	As a Panel Clerk, Attorney, or	1. Report is displayed with cases listed by

ID	User Story	Acceptance Criteria
	Paralegal, I can run a Panels Completed by Decision report.	Supreme Court decision. 2. Report can be subscribed to with monthly notifications.
13.16	As a user, I can run a Cases by Rule Violation report	1. Report is displayed for the specified criteria with counts of cases by rule violation.
13.17	As a user, I can run a DEC Composition report	1. Report is display with committee lawyer / non-lawyer composition statistics.
13.18	As a user, I can run a monthly statistics report.	1. Report displays with key monthly performance statistics.
13.19	As a user, I can run a Quarterly Reports package	1. Quarterly report package is displayed.
13.20	As a user, I can run an Annual Report package	1. Annual report package is displayed.
13.21	As a user, I can run a DEC Summary and Statistics report.	1. Report is displayed.
13.22	As a user, I can run an Expunction Report to see what is due to be removed from the system.	1. Can specify the date from which to calculate the report.
13.23	As a user, I can run an All Pending Cases report.	1. Shows all open cases and who they are assigned to.
13.24	As a user, I can run a Closed Cases report	1. User can specify a date range. 2. Report will show all cases closed within the date range.
13.25	As a user, I can run a Case List report	1. This will show all the cases assigned to a give Attorney or Paralegal
13.26	As a user, I can run a Public Matters Pending report	1. This shows all the cases that are currently with the Supreme Court for hearing or review.
13.27	As a user, I can run a Public Matters Decided report.	1. Shows all public cases that have been closed for the specified date range.
13.28	As a user, I can run a Charged Expected Report	1. Shows list of all matters that have been flagged that charges are expected.
13.29	As a user I can run a DEC Investigations by District report.	1. Shows open cases by assigned DEC.
13.30	As a user I can run a 4 th DEC Pending Cases report	1. Shows all pending cases in the 4 th DEC
13.31	As a user I can run a DEC Investigations Complete report.	1. Will show cases for a specified date range. 2. Can see all cases or for a single DEC.
13.32	As a user, I can run a DEC Rejection Report	1. Shows the rate that the OLPR disposition followed the DEC recommendation
13.33	As a user, I can run a Case Assignment Summary report.	2. Shows cases by attorney assigned to, and the number of cases closed for a given time range.
13.34	As a user, I can run a Case Follow Up Report	1. This report shows case information by attorney to support the 90 day follow up rule

ID	User Story	Acceptance Criteria
		(PP#5) with all complainants. (Note this information would also flow to attorneys as assigned tasks and alerts going forward).
13.35	As a user, I can run DEC Annual reports	1. The report is displayed.

Perform Case Data Expunction

This process removes detailed data but keeps statistical rollup data for reporting purposes.

ID	User Story	Acceptance Criteria
14.1	As the system, I can send a monthly Expunction report to all OLPR Attorneys of data to be deleted.	<ol style="list-style-type: none">1. Report is sent via an alert to all OLPR Attorneys on a monthly schedule.2. Task is assigned to all OLPR Attorneys to review the monthly report.
14.2	As an Attorney, I can mark the cases that I want to be held back from the expunction process.	<ol style="list-style-type: none">1. Selected cases are marked with a hold status.
14.3	As an Attorney, I can sign off on a monthly list for the expunction process.	<ol style="list-style-type: none">1. System records that the attorney has signed off on the list for that month and year.
14.4	As a System Admin, I can run a report to see what attorneys have not yet responded or okayed the list for a given month and year.	<ol style="list-style-type: none">1. The report is displayed.
14.5	As a System Admin, I can run the expunction process for a given month and year.	<ol style="list-style-type: none">1. The process will not run if all attorneys have not responded to the expunction request.2. If all attorneys have responded, the indicated data is cleaned from the system.3. Case detail data is removed, but rolled up statistics data is not removed.

Manage Lookup Data / System Maintenance Settings

ID	User Story	Acceptance Criteria
15.1	As a System Admin, I can set the default Resignation Attorney in the system.	<ol style="list-style-type: none"> 1. The designated attorney is assigned in the system. 2. The designated attorney will get any alerts or tasks targeted for the default Resignation Attorney.
15.2	As a System Admin, I can set the default Resignation Paralegal in the system.	<ol style="list-style-type: none"> 1. The designated paralegal is assigned in the system. 2. The designated paralegal will get any alerts or tasks targeted for the default Resignation Paralegal.
15.3	As a System Admin, I can mark any OLPR employee as out of office in the system, and I can indicate a start date and end date for the out of office period.	<ol style="list-style-type: none"> 1. The designated attorney is marked as out of office. 2. If a start date is indicated, the attorney will automatically be set as out of the office after the start date passes. 3. If an end date is indicated, the attorney will automatically be set as in the office after the end date passes.
15.4	As a System Admin, I can specify or change the backup employee for any OLPR employee in the system	<ol style="list-style-type: none"> 1. The changes to the backup are saved in the system.
15.5	As authorized user, I can set up the Duty Attorney rotation on the system.	<ol style="list-style-type: none"> 1. When new complaints come into the system, they are assigned to the correct Duty Attorney based on the scheduled rotation. 2. If the Duty Attorney is marked in the system as out of office, the new complaints will be assigned to their specified backup.
15.6	As a System Admin, I can specify by role what buttons are shown by default on a user's home screen and in what order they are shown.	<ol style="list-style-type: none"> 1. The list of default button for a given role are saved to the system. 2. When a new user views their home screen the default buttons are displayed in the specified order.
15.7	As a System Admin, I can specify by role what widgets are shown by default on a user's home screen and in what order they are shown.	<ol style="list-style-type: none"> 1. The list of default widgets for a given role are saved to the system. 2. The correct widgets are shown in the correct order by default when a new user views their home screen.
15.8	As a System Admin, I can specify by role what buttons are required on a user's home screen and cannot be removed by the user so that I can make sure that certain buttons are visible to certain roles.	<ol style="list-style-type: none"> 1. The required buttons are shown for all users in a given role.
15.9	As a System Admin, I can specify by role what widgets are required on a user's home screen and cannot be removed by the user so that I can make	<ol style="list-style-type: none"> 1. The required widgets are shown for all users in a given role.

ID	User Story	Acceptance Criteria
	sure that certain widgets are visible to certain roles.	
15.10	As a System Admin, I can review the system error log to help me troubleshoot any issues that may occur in the system.	1. The error log is displayed.
15.11	As a System Admin, I can select to receive an email notification whenever an error is logged by the system so that I have instant awareness of any potential issues that are occurring in the system.	1. The user receives an email with error details whenever the system captures and logs an error.
15.12	As a System Admin, I can add a new user to the system using their Windows login, and specify their role.	1. The user is added to the system. 2. The user is assigned the correct role. 3. The user can access the system with their Windows login account.
15.13	As a System Admin, I can maintain task codes.	1. List of possible workflow tasks and their codes and descriptions are updated.
15.14	As a System Admin, I can maintain event codes	1. List of possible events or reminders is updated including event name and description.
15.15	As a System Admin, I can maintain the list of OLPR Attorneys in the system.	1. The Attorney person record coming from MARS will be flagged as an OLPR Attorney.
15.16	As a System Admin, I can maintain the list of available SCM dates.	1. SCM date list is updated.
15.17	As a System Admin, I can maintain the list of DEC Communities	1. Each Minnesota city is mapped to a DEC committee.
15.18	As an authorized user, I can maintain the list of DEC Members in the system.	1. The members are added to the people database in the system. 2. For DEC members that are attorneys, their person record that came from MARS is flagged as a DEC Member.
15.19	As a System Admin, I can maintain the list of Rules	1. The rules list is updated.

Manage My Settings

ID	User Story	Acceptance Criteria
16.1	As a user, I can select the widgets to show on my home screen to best match my preferences and how I work	<ol style="list-style-type: none"> 1. A User can select up to a set number of “widgets” to show on the home screen. 2. The system will not allow the user to select more than the maximum allowed widgets to display. 3. All widgets will use the same amount of real estate on the screen in a grid pattern. 4. Some widgets will be required and set by my role in the system.
16.2	As a user, I can select the order of the displayed widgets on the screen.	<ol style="list-style-type: none"> 1. The widgets will be displayed in the specified order.
16.3	As a user, I can select the buttons to show on my home screen to best match my preferences and how I work	<ol style="list-style-type: none"> 1. A User can select up to a set number of shortcut “buttons” to show on the home screen. 2. The system will not allow the user to select more than the maximum allowed number of buttons to display. 3. Some buttons will be required and set by my role in the system. 4. All primary screens in the system will be available to select as a shortcut button on the home screen.
16.4	As a user, I can select the order of the displayed buttons on the screen.	<ol style="list-style-type: none"> 1. The buttons are displayed across the top of the screen in the order specified.
16.5	As a user, I can select to show the My Case List widget on my home screen	<ol style="list-style-type: none"> 1. The widget will show an abbreviated version of my case list on my home screen. 2. The case list will include cases that are assigned to me, or cases for which I currently have tasks assigned. 3. I can click a case link to see the Case Summary for that case. 4. I can click a person link to see the Person Summary for that person.
16.6	As a user, I can select to show the My Tasks widget on my home screen	<ol style="list-style-type: none"> 1. The widget will display on my home screen. 2. The widget will show an abbreviated version of My Tasks. 3. I can click any task link to view the task summary screen. 4. I can reassign the task to another user.
16.7	As a user, I can select to show the My Alerts widget on my home screen	<ol style="list-style-type: none"> 1. The widget will display on my home screen. 2. I can dismiss an alert to remove it from the list, change the reminder date to a future date, or forward it to another user.
16.9	As a user, I can select to show	<ol style="list-style-type: none"> 1. The widget will display on my home screen.

ID	User Story	Acceptance Criteria
	the My Recent Documents widget on my home screen	2. The document list will include any documents that I have recently edited or interacted with.
16.10	As a user, I can select to show the My Key Performance Indicators widget on my home screen	<ol style="list-style-type: none"> 1. The widget will display on my home screen. 2. I will see the KPIs that are targeted to me in my primary role.
16.11	As a user, I can specify my out of office status and a backup person to cover for me when I am out.	<ol style="list-style-type: none"> 1. Alerts get routed to the backup. 2. Tasks show up on My Tasks for the backup. 3. My cases show up on the backup person's case list.
16.12	As a user, I can specify a start date and end date for my out of office period.	1. During the out of office period specified by the dates I will be marked as out of office and my tasks and alerts will be routed to my backup.

Manage Workflows

ID	User Story	Acceptance Criteria
17.1	As a System Admin, I can review the list of supported workflows in the system and see what steps are associated with each	<ol style="list-style-type: none"> 1. The list of workflows is displayed. 2. When a workflow is selected, the list of supported steps is displayed.
17.2	As a System Admin, I can edit a workflow to add or remove a step from the workflow template.	<ol style="list-style-type: none"> 1. Workflow changes are applied to running workflows where the updated step can still be applied.
17.3	As a System Admin, I can select steps from a list of step templates to add to a workflow.	<ol style="list-style-type: none"> 1. The selected step is added to the workflow in the indicated location. 2. Step template examples would include “set alert/reminder”, “execute task”, and “update case status”.

View Dashboards

ID	User Story	Acceptance Criteria
18.1	As a user, I can view the general-purpose Performance Dashboard.	<ol style="list-style-type: none"> 1. The dashboard is displayed with key organizational performance metrics.
18.2	As a user with appropriate rights, I can view the Attorney Dashboard for any attorney in the organization.	<ol style="list-style-type: none"> 1. The dashboard is displayed with performance metrics for the selected attorney.
18.2	As an Attorney, I can view my personal Attorney Dashboard to see my own performance metrics.	<ol style="list-style-type: none"> 1. The dashboard is displayed with performance metrics related to the logged on user (who is an attorney). 2. Non-attorneys do not see an option to view the Attorney Dashboard in the system.

Create and Publish Reports

ID	User Story	Acceptance Criteria
19.1	As a System Admin, I can create a new report using ADRS data.	<ol style="list-style-type: none"> 1. The new report can connect to ADRS and display the chosen data. 2. The report can be saved to the local computer disk and rerun later by the System admin.
19.2	As a System Admin, I can publish a newly created report to ADRS so other users can run the report from the Reports menu.	<ol style="list-style-type: none"> 1. The report is available on the Reports menu in the system. 2. End users can successfully run the report.

MARS Integration

ID	User Story	Acceptance Criteria
20.1	As the system, I will receive MARS attorney data on a nightly basis.	<ol style="list-style-type: none"> 1. MARS attorney data is imported into the system data page. 2. MARS attorney data is available from the Person search screen.
20.2	As a Receptionist, I can select an attorney from the MARS data import when I create a new complaint.	<ol style="list-style-type: none"> 1. MARS attorney data can be used to assign a respondent to a new complaint.
20.3	As a user, I can find attorney data from the MARS import in Person search.	<ol style="list-style-type: none"> 1. MARS attorney data is available from the Person Search screen.

SharePoint Integration

ID	User Story	Acceptance Criteria
21.1	As the system, I can post Complaint Appeals files to SharePoint for review by Board members.	<ol style="list-style-type: none"> 1. The files are posted to SharePoint in the correct location.
21.2	As the system, I can post statistics reports out to the DEC SharePoint site for DEC member review.	<ol style="list-style-type: none"> 1. The report files are posted to SharePoint in the correct location.
21.3	As the system, I can retrieve and process incoming DEC report data from the DEC sites in SharePoint.	<ol style="list-style-type: none"> 1. The DEC report files are associated with the correct case in the system. 2. Report metadata such as Investigator, Recommendation, Meeting Date, and Date Received are parsed from SharePoint and saved in ADRS.

PMACS eNotices Integration

ID	User Story	Acceptance Criteria
22.1	As the system, I can receive Resignation Orders from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Resignation Orders are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.
22.2	As the system, I can receive Discipline Orders from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Discipline Orders are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.
22.3	As the system, I can receive Discipline Opinions from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Discipline Opinions are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.
22.4	As the system, I can receive Judgments from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Judgments are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.
22.5	As the system, I can receive Notice of File Assignment Numbers from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Notice of File Assignment Numbers are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.
22.6	As the system, I can receive Non-Discipline Orders from the PMACS system so the email notices do not need to be manually processed.	<ol style="list-style-type: none"> 1. Non-Discipline Orders are saved to the correct Case in ADRS. 2. Appropriate notification alerts and tasks are set by the system.

Legacy Data Migration

ID	User Story	Acceptance Criteria
23.1	As the System, I will import data from the legacy ADRS system during the cutover procedure.	<ol style="list-style-type: none"> 1. Legacy data will be available in the new system for browsing and in search results. 2. Only fields that are needed for long term search and review will be brought into the new system. 3. Some fields that do not have a direct mapping will be saved in special note fields.
23.2	As the System, I will import some data from other systems such as Access databases as needed.	<ol style="list-style-type: none"> 1. Legacy data from other systems will be available in the new application.

Preliminary Screen Examples

The following screen shots are preliminary examples of what the screens may look like. They are not intended as complete definitions of what the application screens will look like they are however intended to provide a good representation of most of the key elements. The application developer will work with ADRS users to define the final screen layouts/contents.

Home Screen

All users will see this screen when they start the application. Here the system will show each user the key information and data that they need on a day to day basis to do their jobs.

The screenshot displays the ADRS V2 Home Screen with a menu bar (Case, Search, Reports, Maintenance, Window, Help) and a sub-menu (ADRS Home Screen). The main content area includes:

- My Buttons:** My Case List, Weekly Summary, Enter Complaint
- My Tasks:** A table with columns Task Name, Task Type, and Due Date. Data includes Task 1 (Review Letter 123, 8/10/2014), Task 2 (Mail Letter 123, 8/11/2014), Task 3 (Close Case 2345, 6/13/2014), Task 4, and Task 5.
- My Alerts:** A table with columns Alert, Alert Type, and Date Received. Data includes Alert 1 (Weekly Performance Report - 8/6/14, 8/6/2014), Alert 2 (8/7/2014), and Alert 3 (8/7/2014).
- My Recent Cases:** A table with columns Case #, Respondent, Complainant, and Case Status. Data includes Case 1 (Smith, Drew-Linder, Status 1), Case 2 (Jones, Thatcher, Status 6), Case 3 (Lee, Franklin, Status 22), Case 4 (Chan, Surawong, Status 5), and Case 5.
- My Recent Docs:** A table with columns Name, Respondent, Document Type, and Case #. Data includes Document 1 (Joe Smith, 1234), Document 2 (Katie Holmes, 3345), and Document 3 (D. Bryan, 4345).
- Open Cases vs. Cases Closed YTD:** A line chart comparing two metrics over time.
- My KPIs:** A summary of key performance indicators for 'Complaint to Case Opened 4 Days' and 'Case Opened to Inv/SD 14 Days' for 'This Month' and 'Last Month'.

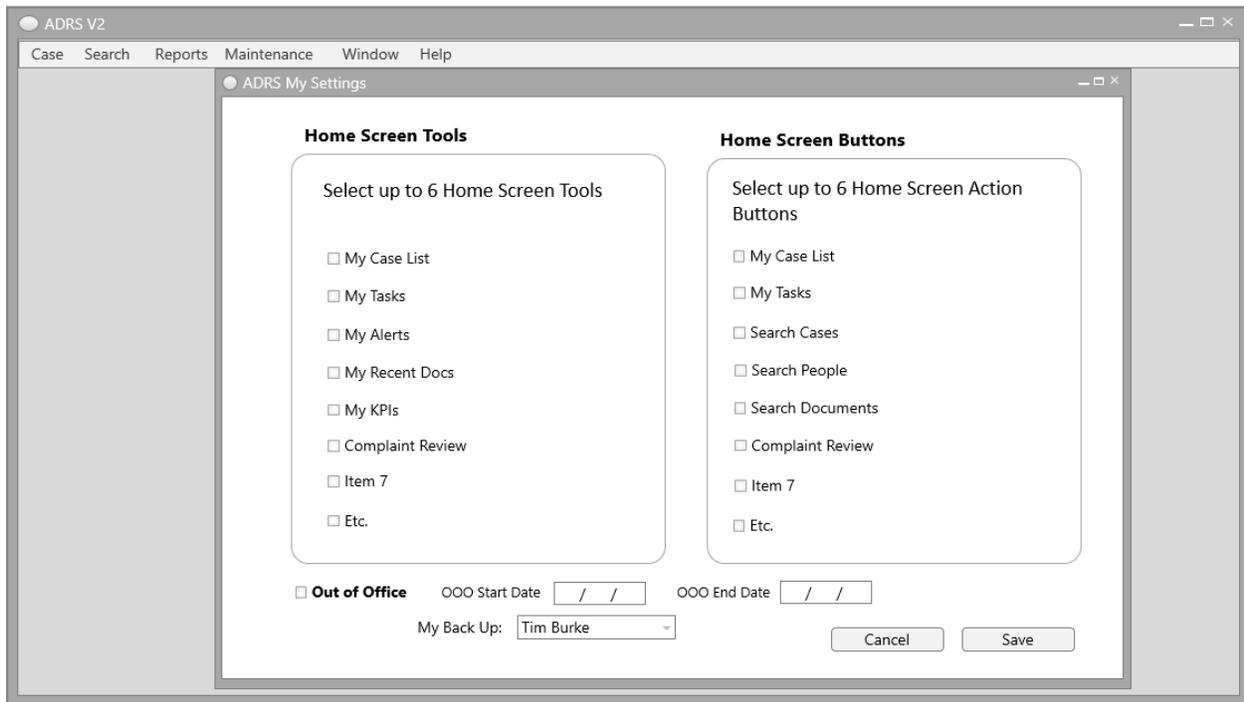
	Complaint to Case Opened 4 Days	Case Opened to Inv/SD 14 Days
This Month	97%	91%
Last Month	82%	68%

Notes:

- Home screen layout default would be based on user role
- Some elements could be required by role
- Users will be able to customize their home screen by selecting the buttons and widgets that they would like to see from a list of options
- Clicking items in widgets will take the user to the detail screen for that item to view or make edits as appropriate

My Settings Screen

All users will personalize system settings via this screen based on individual working requirements and working styles.



Notes:

- Every user would get default selections based on their role.
- Some default settings might be required based on role.
- When OOO is selected My Tasks and Alerts will be directed to the indicated backup, and that person can see and edit all user's data
- A System Admin could set the OOO for the user on an admin screen as well
- User can specify start date and end date for an Out of Office period.

Complaint Review Screen

The Duty Attorney will use this screen to review and work new complaints as they come into the system.

Complaint #	Respondent	Resp. Prev. Complaints	Complainant	Received	Status	Last Task	Next Task
25412	Joseph	Yes	Andersen, Franklin, Spencer	8/20/2014	Complaint Created	Complaint Created	Review Complaint - TJB
14587	Jones	No	Thamit	8/20/2014	Complaint Created	Complaint Created	Review Complaint - TJB
25478	Johnson	No	Fitzsimmons	8/21/2014	Complaint Created	Complaint Created	Review Complaint - TJB
19874	Johansen	No	Johansen	8/22/2014	Complaint Created	Complaint Created	Review Complaint - TJB

Notes:

- The complaints are sorted by older on top
- Respondents that have previous complaints are highlighted
- The user can select another attorney or “All” to see other pending Complaints.
- The System will assign tasks to the current duty attorney as the Complaints are entered.
- All complaints will stay assigned to the same attorney until converted to a case (unless reassigned)
- Duty Attorney can reassign a Complaint to another attorney
- Clicking a person link will show the Person Summary screen for that person with full read/edit capabilities (based on permissions)
- Clicking a task link will show the Task Summary screen for that task with full read/edit capabilities (based on permissions)
- The user can filter or sort using column headers like Excel
- Clicking “Export” will let the user export the contents of the grid view to another file format like Excel, PDF, or Word for sharing in an electronic format.
- Clicking “Print” will let the user print the contents of the grid for sharing in a paper format.

My Case List Screen

Lawyers, paralegals, and others who would have cases assigned to them will use this screen as the primary tool for all users to manage their case list.

Case ID	Respondent	Complainant	Date Opened	Case Type	Status	Last Comment	Last Task	Next Task
25412	Joseph	Andersen, Franklin, Spencer	6/1/2014	INV	eSignature Applied	Call Joseph next week to follow up on summons	eSignature Applied	Draft INFO REQ Letter - AJR
14587	Jones	Thamit	6/15/2014	PANEL	Panel Assigned		Panel Assigned	Send Panel Notifications - RTY
25478	Johnson	Fitzsimmons	1/5/2014	INV	Coded for INV	Talk to Pat about consolidating this.	Coded for INV	Review SD Letter - ERT
19874	Johansen	Johansen	11/12/2013	REIN	Case Opened		Case Opened	Mail REIN Notification - WER

Notes:

- Assignee defaults to the logged on user. Can select different user to see someone else's case list.
- This list will also show cases that I have tasks assigned on. "Tasks by Case" concept.
- Complaint Review cases for Duty Attorney do not show here – those are complaints but not yet converted to a case or assigned to an attorney.
- "Show Dependent Cases" will show cases that have been merged into a consolidated case.
- The user can filter or sort using column headers like Excel
- Clicking "Export" will let the user export the contents of the grid view to another file format like Excel, PDF, or Word for sharing in an electronic format.
- Clicking "Print" will let the user print the contents of the grid for sharing in a paper format.
- A few key metrics will be displayed at the bottom of the screen

People Search Screen

This screen is used to search for people in the system. This will find people in any role in the system including attorneys, complainant, DEC members, etc.

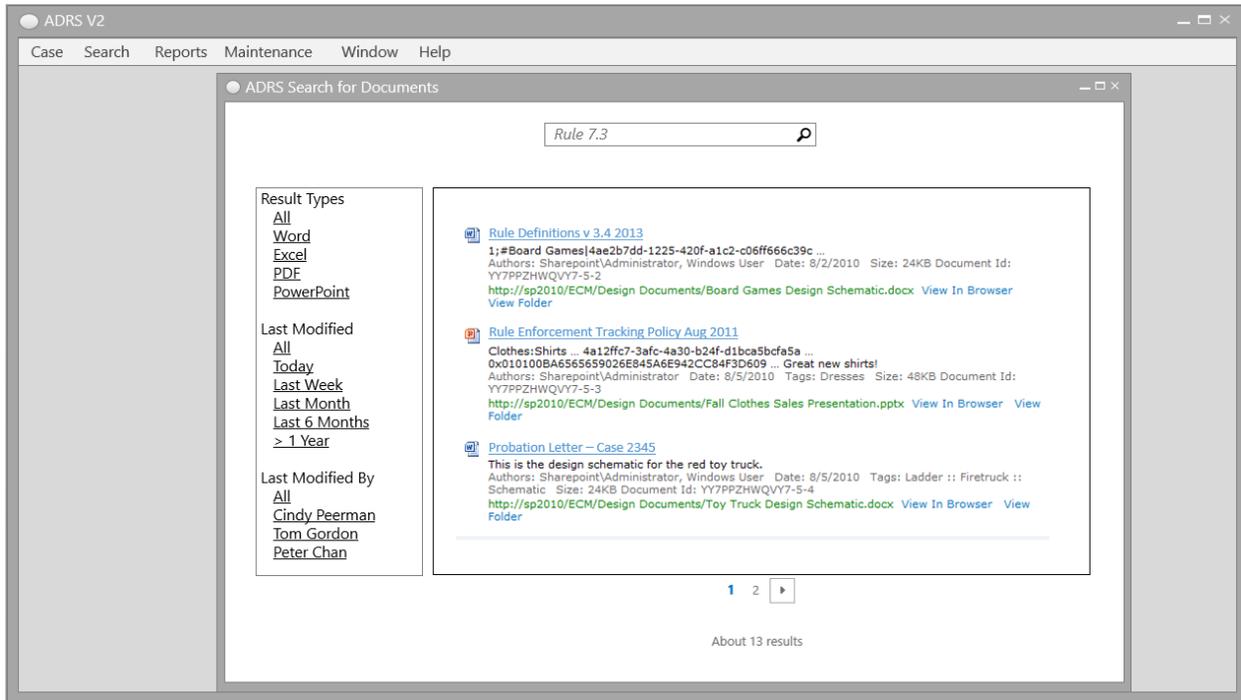
Person ID	Last Name	First Name	City	State	Last Case / Status	Last Function
25412	Joseph	Tom	Walker	MN	2345 - Open	Panel
14587	Jones	Fred	Edina	IA	2456 - Closed	DEC
25478	Johnson	Fitz	Worthington	MN	1987 - Closed	Complainant
19874	Johansen	Susan	Brainerd	MN	2099 - Open	Respondent

Notes:

- The user can search across many factors or parameters.
- Clicking a person link will show the Person Summary screen for that person with full read/edit capabilities (based on permissions)
- Clicking a case link will show the Case Summary screen for that case with full read/edit capabilities (based on permissions)
- The user can filter or sort using column headers like Excel
- Clicking “Export” will let the user export the contents of the grid view to another file format like Excel, PDF, or Word for sharing in an electronic format.
- Clicking “Print” will let the user print the contents of the grid for sharing in a paper format.

Document Search Screen

This screen is used to search for documents in the system.



Notes:

- Search results can be filtered by a number of “refiners” such as Result Type, Modified Date, and Modified By.
- Search will support full document indexing of common file formats such as Word, Excel, PDF, and text documents.
- The documents can be opened and edited from the search results unless they have been locked as read only by the system.

Case Search Screen

The screen is used to search for case related data.

The screenshot shows the ADRS V2 Case Search Screen. The window title is "ADRS V2" and the menu bar includes "Case", "Search", "Reports", "Maintenance", "Window", and "Help". The main area is titled "ADRS Search Cases" and contains a search form with various filters and a table of results.

The search form includes the following fields:

- Comp. First Name: Starts With []
- Comp. Last Name: Starts With [Jo]
- Resp. First Name: Starts With []
- Resp. Last Name: Contains []
- C. Counsel First: Contains []
- C. Counsel Last: Contains []
- R. Counsel First: Starts With []
- R. Counsel Last: Equals []
- Referee First: Contains []
- Referee Last: Contains []
- Case ID: Equals []
- OLPR Attorney: Tim Burke
- Case Type: All
- DEC Mem. First: Starts With []
- DEC Mem. Last: Starts With []
- Sup. Ct. File #: Equals []
- Attorney ID: Equals []
- Open/Closed: All

The table below shows the search results:

Case ID	Respondent	Complainant	Date Opened	Case Type	Case Status	Last Task	Next Task
25412	Joseph	Andersen, Franklin, Spencer	6/1/2014	INV	eSignature Applied	eSignature Applied	Draft INFO REQ Letter - AJR
14587	Jones	Thamit	6/15/2014	PANEL	Panel Assigned	Panel Assigned	Send Panel Notificatins - RTY
25478	Johnson	Fitzsimmons	1/5/2014	INV	Coded for INV	Coded for INV	Review SD Letter - ERT
19874	Johansen	Johansen	11/12/2013	REIN	Case Opened	Case Opened	Mail REIN Notification - WER

Notes:

- The user can search across many factors or parameters.
- Clicking a person link will show the Person Summary screen for that person with full read/edit capabilities (based on permissions)
- Clicking a case link will show the Case Summary screen for that case with full read/edit capabilities (based on permissions)
- Clicking a task link will show the Task Summary screen for that task with full read/edit capabilities (based on permissions)
- The user can filter or sort using column headers like Excel
- Clicking "Export" will let the user export the contents of the grid view to another file format like Excel, PDF, or Word for sharing in an electronic format.
- Clicking "Print" will let the user print the contents of the grid for sharing in a paper format.

Case Summary Screen

This screen shows summary and detail data for a single case in the system. Any pertinent data about a case will be available here.

General

Respondent: Tom Johnson Confidential
Case ID: 12547 Is Primary Case
Case Type: Panel
Current Status: Assigned to Panel

Opened Date: 08/15/2014
Closed Date: / / Closed
File Location: 344

Disposition
Code: Pending
Date: / /
Assigned To
OLPR Atty: Tim Burke
or DEC:

Tasks Documents Comments Complaints People Appeals Panel DEC SC Rule Violations

Alerts/Calendar Hide Complete

Task ID	Orig. Case ID	Case Type	Task Name	Assigned To	Due Date	Date Completed	Task Status
25412	12547	Complaint Review	Review Complaint	SLW	9/1/2014	9/1/2014	Complete
14587	12547	INV	Create Request for Info	TJR	9/2/2014	9/2/2014	Complete
25478	12547	INV	Send Request for Info	FRD	9/3/2014	9/4/2014	Complete
19874	12547	Panel	Assign to Panel	TJR	9/6/2014	9/5/2014	Complete
21154	12547	Panel	Create Panel Inv Letter	POR	9/7/2014		Open

Notes:

- Every complaint would come in, become a case and go through one or more workflows based on Case Type. Each workflow has multiple steps/tasks
- Last completed task determines the Case Current Status
- If this is a consolidated case multiple complaints will be listed under Complaints
- If this is a consolidated case the original case ID will show on the Tasks list
- Clicking the closed checkbox will auto-populate the Closed Date
- Alerts/Calendar tab will show alerts and event related to the case. These can be system or user defined
- The user can filter or sort using column headers like Excel
- Only a single disposition can be assigned to a case (single case or consolidated case)

Case Summary Screen – Complaints Tab

This tab on the Case Summary screen shows all the complaints that are tied to a case.

ADRS V2

Case Search Reports Maintenance Window Help

Case Summary - Complaints

General

Respondent: Tom Johnson Confidential

Case ID: 12547 Opened Date: 08/15/2014

Is Primary Case Closed Date: / /

Case Type: Panel Closed

Current Status: Assigned to Panel File Location: 344

Disposition

Code: Pending

Date: / /

Assigned To

OLPR Atty: Tim Burke

or DEC:

Tasks Documents Comments Complaints People Appeals Panel DEC SC Rule Violations

Alerts/Calendar Add Complaint/Case

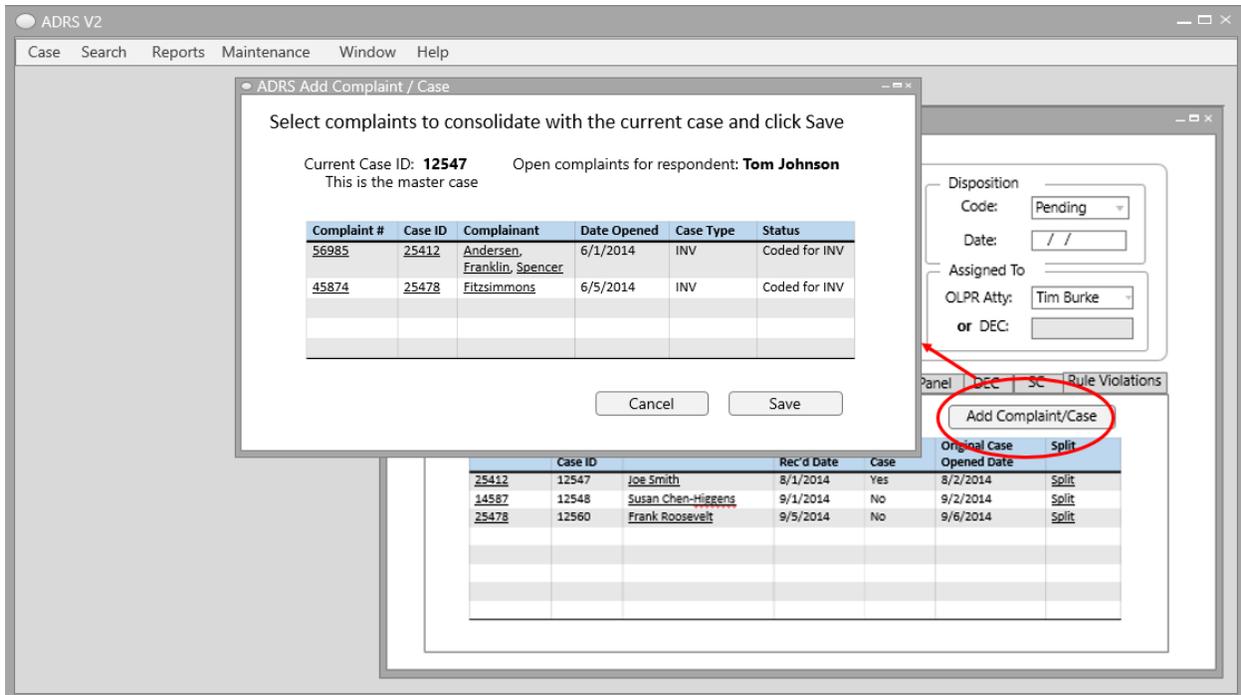
Complaint #	Original Case ID	Complainant Name	Complaint Rec'd Date	Master Case	Original Case Opened Date	Split
25412	12547	Joe Smith	8/1/2014	Yes	8/2/2014	Split
14587	12548	Susan Chen-Higgins	9/1/2014	No	9/2/2014	Split
25478	12560	Frank Roosevelt	9/5/2014	No	9/6/2014	Split

Notes:

- All cases will show at least one complaint
- Consolidated cases will show multiple complaints
- If a consolidated case the original case ID will show on the Tasks list
- Dependent cases cannot be directly edited - the user must work in the primary consolidated case record
- Consolidated case assigned attorney would own all dependent cases
- First complaint received always becomes the consolidated case in terms of Case ID, assigned attorney, and Opened Date

Case Summary Screen – Complaints Tab - Add Complaint/Case

This screen illustrates the process of adding additional complaints to a case. This is how a consolidated case is created.



Notes:

- Clicking Add Complaint/Case button on complaints tab will pop up this selector window.
- This will show all other open cases for the current respondent
- This will **not** change the case type – that can be done in the new consolidated case
- This will **not** change or add a case number
- The OLPR Attorney assigned to the original case will be assigned to the consolidated case

Person Summary Screen

This screen displays summary and detailed information for any person in the system.

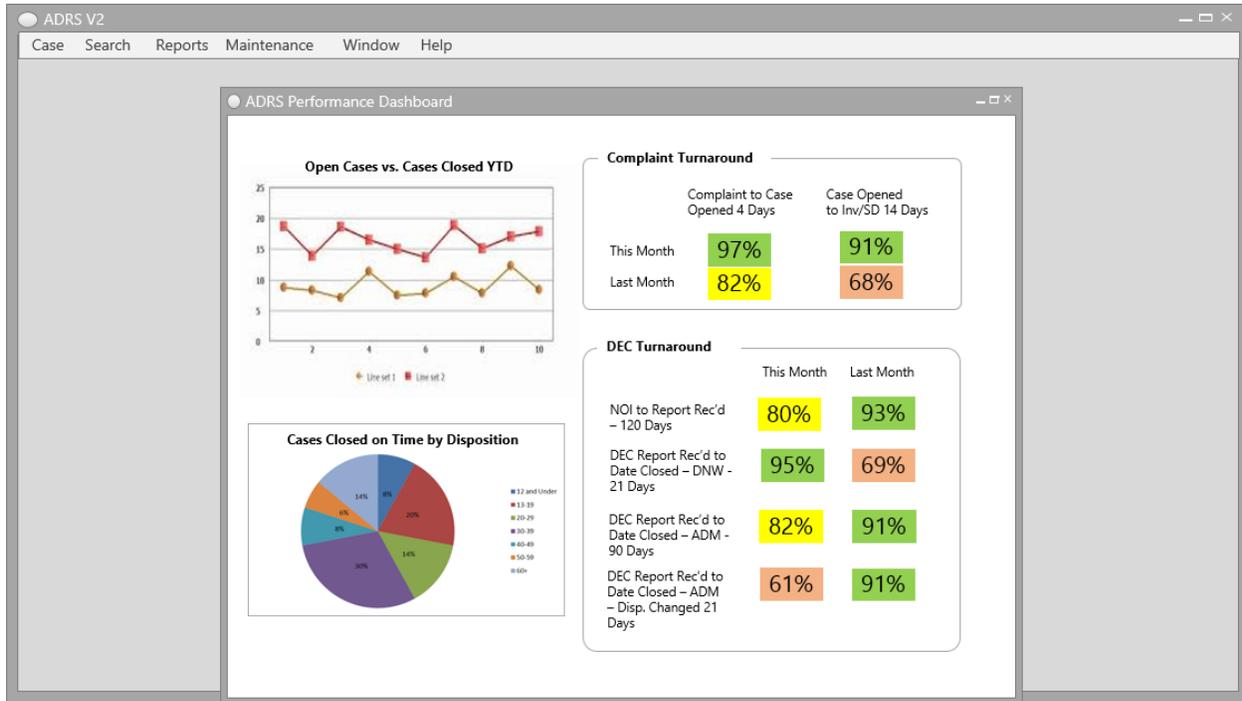
Role	Start Date	End Date	DEC #	Panel #	Not Avail Begin Date	Not Avail End Date	Notes
Respondent	7/07/2014		11				
OLPR Atty	8/05/2013						
DEC Member	5/15/2009	6/30/2013	11		9/3/2011	11/4/2011	Out for teaching sabbatical
Respondent	2/2/2005	2/25/2005	11				

Notes:

- All address and phone info will show on the Contact Info tab - address history will be retained
- Matter history only applies to Attorneys in a Respondent role and will give the user quick views into different kinds of disciplinary history – All Matters, Public, Private, etc.
- Matter history and MARS info only apply to attorneys – tab will be greyed out for non-attorneys
- Data imported from the MARS system will show on the MARS Info tab – this only applies to attorneys – tab will be greyed out for non-attorneys
- All cases associated with this person in any role will be listed on the Case History tab – clicking a case link on that tab will display the case summary screen for that case
- Clicking a role link will allow the user to modify that role entry for the displayed person - for example to set an end date on a DEC membership tenure
- The user will click “Add Role” to add a new role for this person – for example to set them up as a DEC member
- Some roles like complainant and respondent will be added here automatically by the MARS data import or the case management process itself

Performance Dashboard Screen

This screen is an example of a “dashboard” that is targeted for phase one of the development process. A dashboard displays summary or high level data from the system to illustrate important business performance metrics. The Performance Dashboard shown here will display high level metrics related to organizational performance across several important goals.



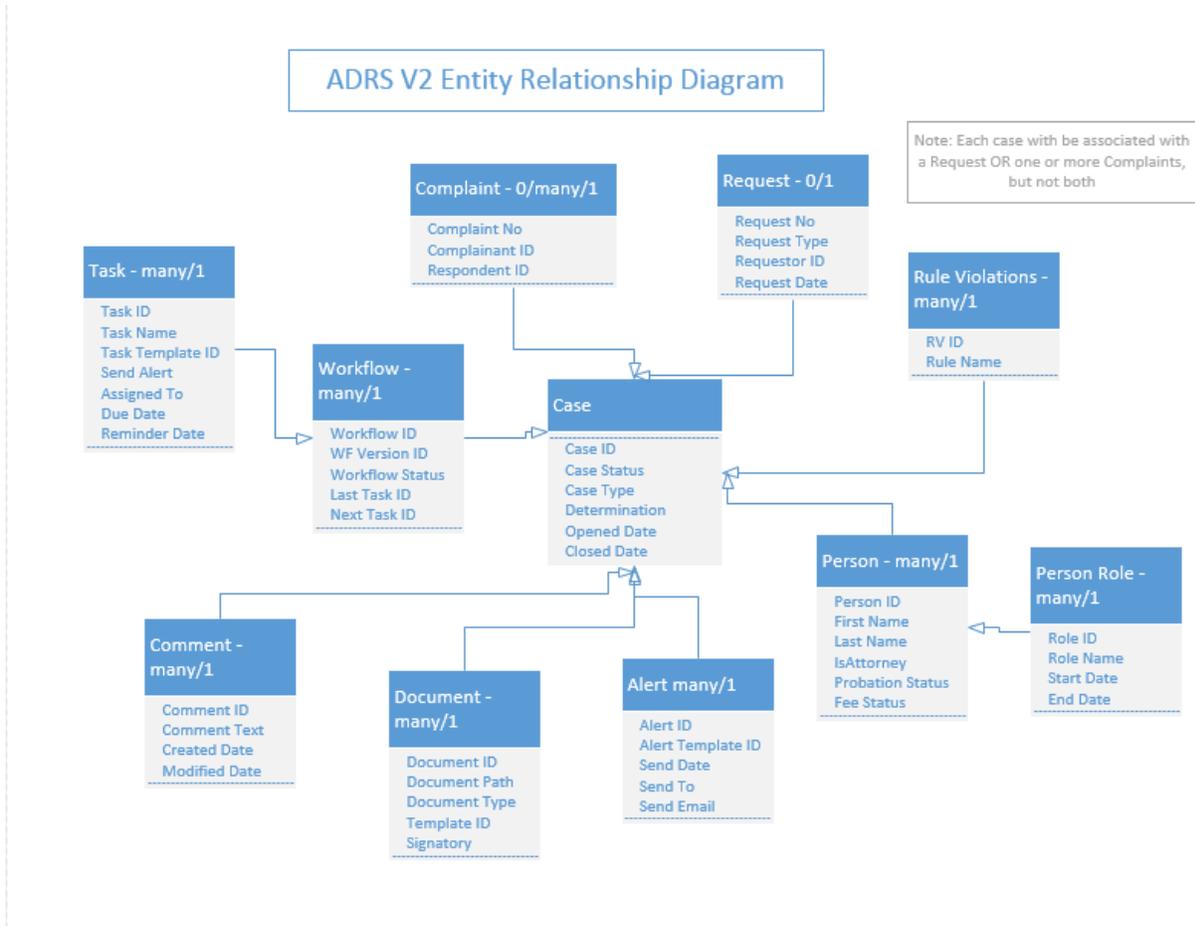
Notes:

- Dashboard parameters and metrics are pre-configured to show “real-time”, “rolling” data that is always current
- These are example metrics only for envisioning purposes - actual metrics to be finalized during the development phase
- Reporting types definitions:
 - Metrics – Data points that are leveraged on dashboards or reports or reporting widgets on the Home Screen
 - Reports – parameterized, formatted for printing
 - Dashboards – real-time, preconfigured

Appendix

Entity Relationship Diagram

The following diagram illustrates the major entities in the domain and their relationship to each other.



High Level Organizational Process Flow

The following flowchart illustrates the key organization workflows at OLPR. The new ADRS system will be built to efficiently coordinate these workflows.

