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## Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

### **Constraints:**

**Performance/Time Standards:** Unless otherwise specified, all Statewide Data Elements shall be saved in the Administrative Office of the Courts Enterprise Data Repository (AOC EDR), and linkage from the Source System to an equivalent AOC EDR Data Element shall be completed and validated in near real time so that statewide shared data will be available immediately for judicial decision making.

The AOC EDR shall be the authoritative source for statewide Person information and the trusted source for statewide case data. Therefore, it is essential that near real time data exchange from the Source System to the AOC EDR is completed to ensure data validation from the Source System to the AOC EDR not only for judicial decision making, but to also ensure public safety and data reporting/statistical needs.

### **Assumptions:**

1. Pre-determined AOC system(s) and network security protocol(s) will be followed.
2. Alternative Electronic Court Record Systems (Source System) will ensure that data is properly secured, both locally and when exchanging data with AOC central systems.
3. Alternative Electronic Court Record Systems (Source System) will operate independent of the JIS.
4. Authorized User or Automated Process will follow the Judicial Information System Committee (JISC) Data Element Time Standards for entry of a business event into the Source System as outlined in the Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems and other time standards as applicable by court rule or statute.
5. Alternative Electronic Court Record Systems (Source Systems) will exchange all additions, updates, and deletions of all required data to the EDR within the time frames prescribed in the Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems.
6. The Data Validation mechanism, product, or other software solution will have the capability to validate numerous types of data which may require simple or multilayer contextual rules and/or mathematical algorithms including but not limited to, Person “Fuzzy” Name Match/Comparison, Address Cleansing/Postal Code Validation, Data Scoring, Phone Numbers, and multiple forms of Electronic Contact information.
7. Source systems will have edits to support compliance with business rules,

### **Risks:**

1. Authorized User or Automated Process will not follow the Data Element Time Standards for entry of a business event into the Source System as outlined by the JISC; therefore, exchange of the Source System data to the AOC EDR will not be timely.

2. If the AOC EDR is unable to receive and/or exchange data with a Source System or its data exchange partners, trust in data availability and/or quality between AOC, its data exchange partners, other judicial partners, and the public may be lost.
3. When necessary, the Data Validation mechanism, product, or other software solution will not have the capability to validate numerous types of data, which may require simple or multilayer contextual rules and/or mathematical algorithms in near real time to accommodate the need for accurate information for judicial decision making.

**Dependencies:**

1. Statewide data validation and accessibility in the AOC EDR is dependent upon timely data entry by an Authorized User or Automated Process in the Source System.
2. Statewide data elements may exist independently in the EDR but must be validated to identify missing dependencies that are typically found in a Source System.

## Examples:

1. Superior court case completion exists in the EDR despite no corresponding case resolution.
2. Court of Limited Jurisdiction issues a warrant on a criminal traffic matter and no FTA is issued.
3. Statewide Case data is dependent upon the mechanism, product, or other software solution having the capability to validate numerous types of Actor (Person) data, which may require simple or multilayer contextual rules and/or mathematical algorithms.

## Use Case 1: Case Validation

**Id:** Use Case 1

**Version:** 1.5

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Case data from a Source System that must be validated.

**Level:** System/Application

**Trigger:** Created or Updated Case data is stored by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Case data received from a Source System.
3. The Source System has passed a validation/identification process by the Web Service and Case data has been sent to the EDR.
4. The EDR contains stored Case data received from a Source System.
5. The EDR contains a validated and stored Actor(s) with which the subject Case data will be associated.
6. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**Success End Condition:

All Case data has been validated, a validation status has been assigned and stored to the Case and/or each Case data element, a Notification is stored (Use Case 3: Notification Management), and a history is maintained.

**Main Success Scenario****Scenario 1: Case Data Meets All Data Validation Rules:**

1. An Authorized User or Automated System sends newly created or updated Case data to the EDR from a Source System.
2. The EDR accepts and stores the Case data.
3. The EDR records the date and time the Case data is stored.
4. The Case data is validated in accordance with pre-defined validation rules and all Case data is deemed valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored.
7. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored data from a secure authorized source;

**And** the EDR has traceability to the source of the Case data stored;

**When** the Case data complies with the validation rules;

**Then** the EDR shall store a validation status to the Case, and a history maintained.

**Scenario 2: Case Data Violates One or More Data Validation Rules:**

1. An Authorized User or Automated System sends newly created or updated Case data to the EDR from a Source System.
2. The EDR accepts and stores the Case data.
3. The EDR records the date and time the Case data is stored.
4. The Case data is validated in accordance with pre-defined validation rules and one or more Case data elements is deemed non-valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status
6. A validation status is stored.
7. A Notification is stored.
8. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored data from secure authorized Source System;

**And** the EDR has traceability to the source of the Case data stored;

**When** the Case data does not comply with one or more of the validation rules;

**Then** the EDR shall store a validation status, a Notification is stored, and a history is maintained.

**Diagrams/Flow-Charts/Attachments**

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:**

**Assumptions:**

1. The Data Validation mechanism, product, or other software solution will have the capability to perform Case data validation in near real time.

**Risks:**

1. The Data Validation mechanism, product, or other software solution will not be able to provide the qualitative capacity necessary to validate Case data.
2. The Data Validation mechanism, product, or other software solution will not be compatible with the EDR architectural design.
3. The Data Validation mechanism, product, or other software solution will not have the capability to perform Case validation in near real time.

**Dependencies:**

1. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Case data received from a Source System.
3. The EDR must be ready to accept and store Case data received from a Source System.
4. The EDR must be ready to accept and store validated Case data from the mechanism, product, or other software solution.
5. The EDR is ready to provide validated Case data to authorized users.
6. The EDR contains a validated and stored Actor(s) to which subject Case data will be associated.
7. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

## Use Case 2: Actor Validation

**Id:** Use Case 2

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Actor data from a Source System that must be validated.

**Level:** System/Application

**Trigger:** Created or Updated Actor data is stored by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

7. The EDR is ready to accept and store data received from a Source System.
8. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Actor data received from a Source System.
9. The Source System has passed a validation/identification process by the Web Service and Actor data has been sent to the EDR.
10. The EDR contains stored Actor data received from a Source System.
11. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**

Success End Condition:

All Actor data has been validated, a validation status has been assigned and stored to the Actor and/or each Actor data element, a Notification is stored (Use Case 3), and a history is maintained.

## Main Success Scenario

### Scenario 1: Actor Data Meets All Data Validation Rules:

8. An Authorized User or Automated System sends newly created or updated Actor data to the EDR from a Source System.
9. The EDR accepts and stores the Actor data.
10. The EDR records the date and time the Actor data is stored.
11. The Actor data is validated in accordance with pre-defined validation rules and all Actor data is deemed valid.
12. A Data Validation mechanism, product, or software solution assigns a validation status.
13. A validation status is stored.
14. A history is maintained.

#### Acceptance Criteria

**Given** the EDR has stored Actor data from a secure authorized source;

**And** the EDR has traceability to the source of the Actor data stored;

**When** the Actor data complies with the validation rules;

**Then** the EDR shall store a validation status to the Actor data, and a history is maintained.

### Scenario 2: Actor Data Violates One or More Data Validation Rules:

9. An Authorized User or Automated System sends newly created or updated Actor data to the EDR from a Source System.
10. The EDR accepts and stores the Actor data.
11. The EDR records the date and time the Actor data is stored.
12. The Actor data is validated in accordance with pre-defined validation rules and one or more Actor data elements is deemed non-valid.
13. A Data Validation mechanism, product, or software solution assigns a validation status.
14. A validation status is stored.
15. A Notification is stored.
16. A history is maintained.

#### Acceptance Criteria

**Given** EDR has stored Actor data from secure authorized source;

**And** the EDR has traceability to the source of the Actor data stored;

**When** the Actor data does not comply with one or more of the data validation rules;

**Then** the EDR shall store a validation status, a Notification is stored, and a history is maintained.

## Diagrams/Flow-Charts/Attachments

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directives Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

#### Constraints:

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Quantitative data transfer capabilities to be determined

**Assumptions:**

1. The Data Validation mechanism, product, or other software solution will have the capability to perform Actor data validation in near real time.

**Risks:**

4. The Data Validation mechanism, product, or other software solution will not be able to provide the qualitative capacity necessary to validate Actor data.
5. The Data Validation mechanism, product, or other software solution will not be compatible with the EDR architectural design.
6. The Data Validation mechanism, product, or other software solution will not have the capability to perform Actor validation in near real time.

**Dependencies:**

8. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
9. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Actor data received from a Source System.
10. The EDR must be ready to accept and store Actor data received from a Source System.
11. The EDR must be ready to accept and store validated Actor data from the mechanism, product, or other software solution.
12. The EDR is ready to provide validated Actor data to authorized users.
13. The EDR contains a validated and stored Case to which subject Actor data will be associated.
14. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Glossary:**

**Actor:** a Person, Official, or an Organization

### Use Case 3: Notification Management

**Id:** Use Case 3

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored data from a Source System, which has been validated and assigned a validation status. A Notification must be accessible to Authorized Users for review to verify and/or make data corrections.

**Level:** System/Application

**Trigger:** An Authorized User logs on access to the Notification Management user interface (UI) to review Notifications.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance with pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

12. The EDR is ready to accept and store data received from a Source System.
13. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for data received from a Source System.
14. The Source System has passed a validation/identification process by the Web Service and has sent data to the EDR.
15. The EDR contains stored data received from a Source System.
16. A validation status is assigned to the data and stored in the EDR.
17. A secure user interface (UI) must be in place that is functional and fully tested for Authorized Users to perform Notification Management tasks in accordance with pre-defined Notification Management levels and rules.

**Post Condition(s):**Success End Condition:

An Authorized User or Automated Process accesses the Notification Management user interface to review and mark Notification task(s) complete. The date and time the Notification is marked complete is stored in the EDR, and a history is maintained.

**Main Success Scenario****Scenario 1: Authorized User Accesses the Notification Management System and Marks a Notification as Completed:**

1. An Authorized User logs on to access the Notification Management system to view their Notifications.
2. An Authorized User reviews the Notification, and marks it as completed.
3. The EDR stores the date and time the Notification was marked completed.
4. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored data from secure authorized source;

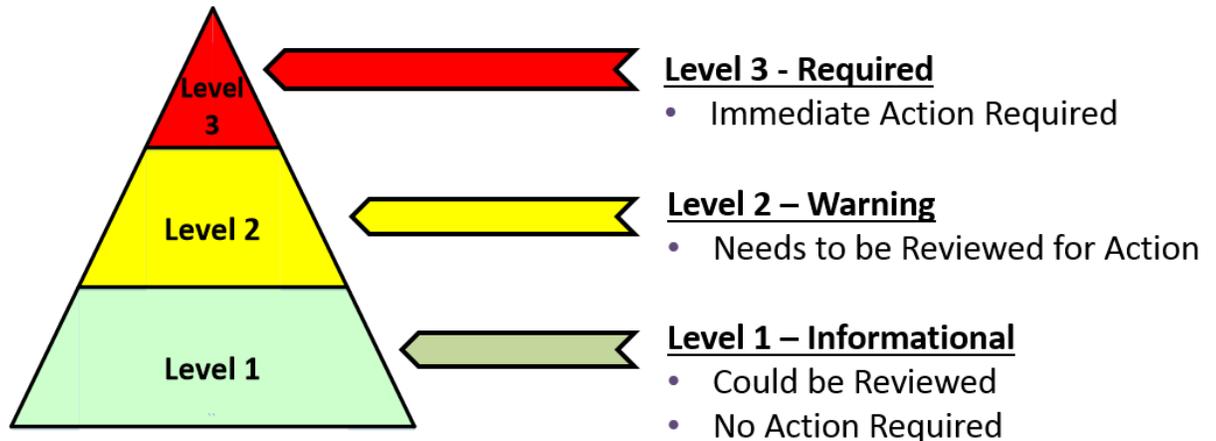
**And** the EDR has traceability to the source of the data stored;

**When** an Authorized User accesses the Notification Management system and marks a Notification as completed;

**Then** the EDR shall store the date and time the Notification was completed, and a history is maintained.

## Diagrams/Flow-Charts/Attachments

## Proposed Notification Management Levels



**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:**

**Assumptions:**

1. The Data Validation mechanism, product, or other software solution will have the capability to perform data validation in near real time in order to provide near real time notification accessibility through the Notification Management user interface.

**Risks:**

1. The Data Validation mechanism, product, or other software solution will not be able to provide the qualitative capability necessary to validate data and provide accessibility to the Notification through the Notification Management user interface.
2. The Data Validation mechanism, product, or other software solution will not have the capability to perform data validation in near real time in order to provide near real time notification accessibility through the Notification Management user interface.
3. The Data Validation mechanism, product, or other software solution will not be compatible with the EDR architectural design.

**Dependencies**

1. Scenarios and Notification Management System are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System.
3. The EDR must be ready to accept and store data received from a Source System.
4. The EDR must be ready to accept and store validated data from the mechanism, product, or other software solution. The EDR contains a stored and validated data.
5. The EDR is ready to provide validated data and validation status to Authorized Users.

Use Case 4: Reference Data (Out of Scope for this RFP) **Id:** Use Case 4

**Version:** 1.5

**This Use Case is Out of Scope for INH EDE Data Validation RFP. It is provided for Information Only.**

**Scope:**

The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) stores data from many Source Systems and provides the data to Authorized Users or Automated Processes when called upon.

In order for the data to be readable, the AOC EDR must integrate stored Standard Reference Data, in accordance with Appendix “A” of the EXHIBIT L - JIS Data Standards for Alternative Electronic Court Record Systems, with Reference Data from a Source System. The Standard Reference Data must be updateable and accommodate expandability of new Reference Data when necessary.

Reference Data from a Source System must be stored in the AOC EDR and mapped to the corresponding equivalent AOC EDR Standard Reference Data at the time of Source System on-boarding and updated when necessary.

**Level:** System/Application

**Trigger:**

1. AOC EDR creates or updates Standard Reference Data; **and/or**
2. A Source System on-boards to the EDR or updates Reference Data.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME’s)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.

## Business Use Cases

## EXHIBIT N

2. The EDR must have a mechanism, product or software solution in place that is functional and fully tested to load, create, update, and store AOC EDR Standard Reference Data.
3. The EDR must have a mechanism, product or software solution in place that is functional and fully tested to accept, update, and store Reference Data from a Source System.
4. The EDR must have a well-defined on-boarding and maintenance process for Source System Reference Data to map to the AOC EDR Standard Reference Data.
5. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Reference Data received from a Source System.
6. A notification process must be functional and fully tested to ensure the Source System is advised of various statuses during the validation process as outlined in Use Case 3: Notification Management.

### **Post Condition(s):**

#### Success End Condition:

All AOC EDR Standard Reference Data is loaded in the EDR. A Source System is on-boarded to the EDR and their Reference Data is mapped to the corresponding equivalent AOC EDR Standard Reference Data.

## Main Success Scenario

### **Scenario 1: AOC Standard Reference Data is Initially Loaded in the EDR and a Source System is On-Boarded:**

1. AOC EDR Standard Reference Data as outlined in Appendix “A” of the Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems, is loaded and stored in the EDR.
2. The EDR records the date and time the Standard Reference Data is stored.
3. The Source System is On-Boarded in accordance with a pre-defined process and AOC EDR receives the Source System’s Reference Data.
4. The Source System Reference Data is loaded and stored in the EDR.
5. The EDR records the date and time the Source System Reference Data is stored.
6. The Source System Reference Data is mapped to the corresponding equivalent AOC EDR Standard Reference Data.
7. A history is maintained.

### **Acceptance Criteria**

**Given** the EDR has stored Standard Reference Data;

**And** the EDR has received on-boarding Reference Data from a secure authorized source;

**And** the EDR has traceability to the source of the Reference Data received;

**When** the Source System Reference Data is stored in the AOC EDR;

**Then** the Source System Reference Data shall be mapped to the corresponding equivalent AOC EDR Standard Reference Data, and a history is maintained.

## Alternate Success Scenario

### Alternate Scenario 1: New or Updated AOC EDR Standard Reference Data is Created/Available after Initial Load of Reference Data in the EDR:

#### Success End Condition:

New or updated AOC EDR Standard Reference Data is loaded in the EDR. A Source System is notified of the new or updated EDR Reference Data by the Notification Management System (Use Case 3: Notification Management). The Source System sends new or updated Reference Data to the EDR if applicable. Reference Data is mapped to the corresponding equivalent AOC EDR Standard Reference Data. All data in the EDR is (re)validated.

1. New or Updated AOC EDR Standard Reference Data is available and is loaded and stored in the EDR.
2. The EDR records the date and time the New or Updated Standard Reference Data is stored.
3. A Notification is sent to Source System(s) by the Notification Management System that New or Updated AOC EDR Standard Reference Data is required.
4. The Source System sends New or Updated Reference Data to AOC and is loaded and stored in the EDR.
5. The EDR records the date and time the New or Updated Source System Reference Data is stored.
6. The Source System Reference Data is mapped/changed to the corresponding equivalent AOC EDR Standard Reference Data.
7. The Data Validation process is invoked and all data in the EDR is (re)validated and assigned a validation status.
8. A validation status is stored.
9. A history is maintained.

#### Acceptance Criteria

**Given** the AOC EDR has new or updated Standard Reference Data, which has been loaded and stored in the EDR;

**And** the AOC EDR has sent Notification to Source Systems that new or updated Standard Reference Data is available;

**When** the EDR has received new or updated Reference Data from a secure authorized source;

**And** the EDR has traceability to the source of the Reference Data received;

**Then** the Source System Reference Data shall be stored and mapped to the corresponding equivalent AOC EDR Standard Reference Data, all data in the EDR is (re)validated and assigned a validation status, and a history is maintained.

### Alternate Scenario 2: Source System Updates Reference Data after On-Boarding Process Completed:

#### Success End Condition:

Updated Source System Reference Data is received, loaded and stored in the EDR. Reference Data is mapped to the corresponding equivalent AOC EDR Standard Reference Data. All Source System data is (re)validated.

1. The Source System sends New or Updated Reference Data to AOC and is loaded and stored in the EDR.
2. The EDR records the date and time the New or Updated Source System Reference Data is stored.
3. The Source System Reference Data is mapped to the corresponding equivalent AOC EDR Standard Reference Data.
4. The Data Validation process is invoked and all data in the EDR that was stored from the Source System is re-validated and assigned a validation status.
5. A validation status is stored.
6. A history is maintained.

#### Acceptance Criteria

**Given** the EDR has received new or updated Reference Data from a secure authorized source;

**And** the EDR has traceability to the source of the Reference Data received;

**When** the Source System(s) new or updated Reference Data is stored in the AOC EDR;

**Then** the Source System Reference Data shall be mapped to the corresponding equivalent AOC EDR Standard Reference Data, all data from the Source System is (re)validated and assigned a validation status, and a history is maintained.

## Diagrams/Flow-Charts/Attachments

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

### Constraints:

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

### Frequency:

1. One time initial Standard Reference Data load to the AOC EDR.
2. One time initial Source System Reference Data on-boarding and mapping to AOC EDR Standard Reference Data.
3. AOC EDR Standard and Source System Reference Data expansion and updates as necessary.
4. Additional quantitative data transfer capabilities to be determined.

### Assumptions:

1. Source System(s) will use data values in accordance with the National Crime Information Center (NCIC) and FBI standards. (E.g. NCIC/FBI Eye Color recognized value of “Blue” vs. Source System value of “Turquoise”).
2. A well-defined on-boarding and maintenance process for Source System Reference Data to map to the AOC EDR Standard Reference Data is in place.
3. Source System(s) will provide AOC EDR with documentation and work with AOC IT to provide Source System Reference Data mapping to AOC EDR Standard Reference Data values.
4. The Data Validation mechanism, product, or other software solution will have the capability to perform Data Validation and/or re-validation in near real time.

### Risks:

1. The Data Validation mechanism, product, or other software solution may not be able to provide the qualitative capacity necessary to validate and re-validate Reference Data when new or updated Reference Data is provided by AOC EDR and/or a Source System.
2. The Data Validation mechanism, product, or other software solution will not be compatible with the EDR architectural design.
3. The Data Validation mechanism, product, or other software solution will not have the capability to perform validation and/or re-validation in near real time.

**Business Use Cases**

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4. Non-standard Reference Data from a Source System will not be stored in the EDR. All Source System non-standard Reference Data remains local data unless or until an AOC EDR Standard Reference Data element is available to map to. In theory, when there is no corresponding equivalent AOC EDR Standard Reference Data to map with the Source System Reference Data, the default equivalent will be null. Thus, a null value will not display in a statewide user interface (UI) viewer application such as JABS. Only AOC EDR Standard Reference Data will display. If the Source System provides a non-standard Reference Data that does not map to a corresponding equivalent AOC EDR Reference Data, a notification will be sent to the Source System identifying the error and/or the data received is a non-standard value and/or does not map to an equivalent. (E.g. NCIC/FBI Eye Color values.) See Table 1 Eye Color below.

Display of a null value in a UI when the Source System value does not map to an AOC EDR standard value may result in confusion between what is null and what is an actual a blank data value. Thought has been given to display both the null value in the UI and the value provided by the Source System. However, if both were to display, there is no incentive for the Source System to correct the error, as they know the information will display in the UI. Thus, in theory, there would be no need for data mapping for any Reference Data if the Source System value will always display in the UI.

Potential confusion between a null and actual blank data value can cause confusion with other Courts and if there is a need for person data replication back to JIS, the true value could not be determined. Thus impacting judicial decision making, Court business processes (accuracy) and statistical analysis.

Since the Source System data value will be stored in the EDR (provided it is Standard Reference Data), the value could be displayed in a UI. However, consideration of impacts to business processes should be considered and the matter should be addressed with the EDE JIS Systems Changes Governance Committee and/or other Reference Data committees to further research the risk.

<b>AOC Standard Reference Data Eye Color</b>	<b>Maps To:</b>	<b>User Interface Display</b>	<b>Maps To:</b>	<b>Source System Reference Data Eye Color</b>
Blue	→	Blue	←	BU= Blue
Black	→	Black	←	BL= Black
Brown	→	Brown	←	BR= Brown
Pink	→	Pink	←	PK= Pink
Unknown	→	UNK	←	UN= Unknown
Blank	→		←	Blank= Blank
No Value Exists	→	?	←	BE= Beige

**Table 1 Eye Color**

**Dependencies:**

1. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. Successful display of statewide data from the EDR when called upon by an Authorized User or Automated Process is dependent upon a well-defined on-boarding and maintenance process for Source System Reference Data to map to the AOC EDR Standard Reference Data.
3. Successful display of Source System data values in a user interface (UI) Statewide viewer such as JABS is dependent upon accurate Reference data mapping.
4. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
5. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System.
6. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Glossary:**

**Mapping:** (data mapping) the process of creating data element mappings between two distinct data models. (E.g. Source System Reference Data to AOC EDR Standard Reference Data)

**On-board:** (verb) go through procedures to effectively integrate into an organization or familiarize with one's products or services.

**Readable:** (of data or a storage medium or device) capable of being processed or interpreted by a computer or other electronic device.

**Reference Data Table:** This may include Reference Data compiled into one or more lists to create a table. The Reference Table may be derived from Reference Data originating from a Source System, or the pre-defined AOC EDR Standard Data Elements. A Reference Table may be comprised of one or more tables, which may or may not be dependent upon one another.

## Use Case 5: Address Cleansing and Validation

**Id:** Use Case 5

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Address data from a Source System that must be validated.

**Level:** System/Application

**Trigger:** Created or Updated Address data is stored by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform address cleansing and validation processes in accordance with pre-defined validation rules for all address data received from a Source System.
3. The Source System has passed a validation/identification process by the Web Service and Address data has been sent to the EDR.
4. The EDR contains stored Address data received from a Source System.
5. The EDR contains a validated and stored Actor to which subject Address data will be associated.
6. The EDR is ready to accept and store cleansed and validated addresses from the mechanism, product, or software solution.
7. A notification process must be functional and fully tested to ensure the Source System is advised of various statuses during the validation process as outlined in Use Case 3: Notification Management.
8. Address must meet pre-determined minimum Address data qualification rules prior to the Address validation/cleansing process. (Must have Street, City, State, and Zip Code)

**Post Condition(s):**

Success End Condition:

All Address data has been cleansed and validated according to Postal Addressing Standards, a validation status has been assigned and stored for each Address, a Notification is stored (Use Case 3), and a history is maintained.

## Main Success Scenario

### Scenario 1: The Source System Address Matches Postal Standards:

1. An Authorized User or Automated System sends Address data to the EDR from a Source System.
2. The EDR accepts and stores the Address data.
3. The EDR records the date and time the Address data is stored.
4. Address data is pre-validated and meets requirements to be validated/cleansed in accordance with Postal Service Addressing Standards.
5. Address data is validated in accordance with Postal Service Addressing Standards and a cleansed address is returned which matches the initial Source System address.
6. A Data Validation mechanism, product, or software solution assigns a validation status.
7. A validation status is stored in the EDR.
8. A history is maintained.

#### Acceptance Criteria

**Given** the EDR has stored Address data from a secure authorized source;

**And** the EDR has traceability to the source of the Address data stored;

**When** the Address data complies with the validation and cleansing rules;

**Then** the EDR shall store a validation status to the Address, and a history maintained.

### Scenario 2: The Source System Address Returns One Cleansed Address:

1. An Authorized User or Automated System sends Address data to the EDR from a Source System.
2. The EDR accepts and stores the Address data.
3. The EDR records the date and time the Address data is stored.
4. Address data is pre-validated and meets initial requirements to be validated/cleansed in accordance with Postal Service Addressing Standards; then
5. Address data is validated in accordance with Postal Service Addressing Standards and one cleansed address is returned which does not match the initial Source System address.
6. A Data Validation mechanism, product, or software solution assigns a validation status.
7. A validation status is stored in the EDR.
8. The cleansed Address is stored.
9. The date and time of the cleansed Address is stored.
10. The Source System Address is end-effective dated.
11. A Notification is stored.
12. A history is maintained.

#### Acceptance Criteria

**Given** EDR has stored Address data from a secure authorized source;

**And** the EDR has traceability to the source of the Address data stored;

**When** the Address data is then validated in accordance with Postal Service Addressing Standards and one cleansed address is returned which does not match the initial Source System address;

**Then** the EDR shall store a validation status; the one cleansed address, a Notification is stored, and a history is maintained.

**Scenario 3: The Source System Address Returns Multiple Options of Cleansed Addresses:**

1. An Authorized User or Automated System sends Address data to the EDR from a Source System.
2. The EDR accepts and stores the Address data.
3. The EDR records the date and time the Address data is stored.
4. Address data is pre-validated and if it meets initial requirements to be validated/cleansed in accordance with Postal Service Addressing Standards; then
5. Address data is validated in accordance with Postal Service Addressing Standards and multiple cleansed addresses are returned which may or may not match the initial Source System address.
6. A Data Validation mechanism, product, or software solution assigns a validation status
7. A validation status is stored in the EDR.
8. Notification with returned multiple cleansed address results is stored.
9. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored Address data from a secure authorized source;

**And** the EDR has traceability to the source of the Address data stored;

**When** the Address data is validated in accordance with Postal Service Addressing Standards, multiple cleansed addresses are returned which may or may not match the initial Source System address;

**Then** the EDR shall store a validation status; a Notification with multiple cleansed addresses is stored, and a history is maintained.

**Scenario 4: The Source System Address Returns a Postal Error Result Status:**

1. An Authorized User or Automated System sends Address data to the EDR from a Source System.
2. The EDR accepts and stores the Address data.
3. The EDR records the date and time the Address data is stored.
4. Address data is pre-validated and if it meets the initial requirements to be validated/cleansed in accordance with Postal Service Addressing Standards; then
5. Address data is validated in accordance with Postal Service Addressing Standards and returns a type of Postal error result status.
6. A Data Validation mechanism, product, or software solution assigns a validation status
7. A validation status is stored in the EDR.
8. A Notification is stored.
9. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored Address data from a secure authorized source;

**And** the EDR has traceability to the source of the Address data stored;

**When** the Address data cannot be validated in accordance with Postal Service Addressing Standards;

**Then** the EDR shall store a validation status to the Address, a Notification is stored, and a history is maintained.

**Scenario 5: The Source System Address Violates Initial Pre-Validation Rules:**

1. An Authorized User or Automated System sends Address data to the EDR from a Source System.
2. The EDR accepts and stores the Address data.
3. The EDR records the date and time the Address data is stored.
4. Address data is pre-validated and does not meet initial requirements to be validated/cleansed in accordance with Postal Service Addressing Standards.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored in the EDR.
7. A Notification is stored.
8. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored Address data from a secure authorized source;

**And** the EDR has traceability to the source of the Address data stored;

**When** the Address data does not meet initial requirements to be validated/cleansed in accordance with Postal Service Addressing Standards;

**Then** the EDR shall store a validation status to the Address, a Notification is stored, and a history is maintained.

**Diagrams/Flow-Charts/Attachments**

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Upon receipt of created or updated address information from a Source System. Additional or alternative quantitative data transfer capabilities to be determined.

**Assumptions:**

1. The Address Cleansing Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between US and Foreign residential and business physical addresses.
2. The Address Cleansing Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between US and Foreign physical residential addresses and postal mailing addresses.
3. The Address Cleansing Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between city, county, zip code and country code.

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4. The Address Cleansing Validation mechanism, product, or other software solution will have the capability to provide county and country code validation when only a city, state and zip code are provided.
5. The Address Cleansing Validation mechanism, product, or other software solution will have the ability to auto-populate city, state, county, and country information based on zip code.
6. The Address Cleansing Validation mechanism, product, or other software solution will have the ability to validate and provide error notification when conflicting city and zip code data are provided. (e.g. City of Tacoma, but Zip Code of Olympia is entered)
7. The Address Cleansing Validation mechanism, product, or other software solution will have the capability to perform address cleansing and validation in near real time.

## Risks:

1. Automatic Postal Standardization updates to data based on the mechanism, product, or other software solution may not be accurate and could cause error in Judicial Decision Making and Certification of Address Searches for Warrants.
2. The Address Cleansing Validation mechanism, product, or other software solution will not have up-to-date Postal Address information and could become obsolete due to building development, State, County, City incorporations, and/or re-zoning, and/or street name changes, and/or building house or zip code numeration changes.
3. The Address Cleansing Validation mechanism, product, or other software solution will not be able to provide the qualitative capacity necessary to validate Address data.
4. The Address Cleansing Validation mechanism, product, or other software solution will not be compatible with the EDR architectural design.
5. The Address Cleansing Validation mechanism, product, or other software solution will not have the capability to perform address cleansing and validation in near real time.

## Dependencies:

1. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Address data received from a Source System.
3. The EDR must be ready to accept and save Address data received from a Source System.
4. The EDR must be ready to accept and save cleansed and validated address types from the mechanism, product, or other software solution.
5. The EDR must be ready to provide cleansed and validated address types to authorized users.
6. The EDR contains a validated and saved Actor to which subject Address will be associated.
7. A notification process must be functional and fully tested to ensure the Authorized User/Source System is advised of various statuses during the validation process as outlined in Use Case 3: Notification Management.

## Use Case 6: Identity Management Person (Actor) Matching and Association

**Id:** Use Case 6

**Version:** 0.2

**For additional information on Level 1 - Person (Actor) Auto-Associate Match Criteria, see appendix N1**

**For additional information on Level 2 - Person (Actor) Probable Match Proposed Criteria, see appendix N2.**

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Actor data from a Source System that must be validated and matched to other existing Actor record(s) within the AOC EDR.

**Level:** System/Application

**Trigger:** Created or updated Person (Actor) data is stored in the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR is ready to assign and store a “score” to new and updated Person (Actor) data received from a Source System as outlined in Use Case 9: Identity Management Person (Actor) Scoring.
3. The EDR contains stored, validated and “scored” Subject Person (Actor) data received from a Source System.
4. The EDR contains stored, validated and “scored” Person (Actor) record(s) to which the Subject Person (Actor) will be compared.
5. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to compare new or updated Person (Actor) data received and stored from a Source System with existing

stored, validated and “scored” Person (Actor) data in the EDR to “Auto-Associate” the Person (Actor) record(s) in accordance with pre-defined Level 1 – Person (Actor) Auto-Associate Matching Criteria business rules.

6. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to compare new or updated Person (Actor) data received and stored from a Source System with an existing stored, validated and “scored” Person (Actor) data in the EDR to identify “Probable-Match” Person (Actor) record(s) in accordance with pre-defined Level 2 – Person (Actor) Probable Match Criteria business rules.
7. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to filter and compare new or updated “Fuzzy” Person (Actor) data received and stored from a Source System with existing stored, validated and “scored” Person (Actor) name(s) in the EDR to identify “Fuzzy-Match” Person (Actor) record(s) in accordance with pre-defined Level 3 – Person (Actor) Fuzzy Match Criteria.
8. The EDR is ready and able to provide Auto-Associated and Probable-Match Person (Actor) record match results to Authorized Users.
9. The EDR is ready and able to provide potential “Fuzzy” match names to Authorized Users.
10. The EDR is ready to accept, store, cleanse and validate Address data from the mechanism, product, or other software solution. Use Case 5: Address Cleansing and Validation.
11. The EDR is ready to accept, store, and validate Phone Number data from the mechanism, product, or other software solution. Use Case 7: Phone Number Validation.
12. The EDR is ready to accept, store, and validate Electronic Communication Contact data from the mechanism, product, or other software solution. Use Case 8: Electronic (Email) Contact Validation.
13. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

#### **Post Condition(s):**

##### Success End Condition:

All stored Subject Person (Actor) data has been compared to existing Person (Actor) records in the EDR. The Subject Person (Actor) is either “Auto-Associated” with an existing Person (Actor) record(s) in the EDR, identified as a “Probable” Match, “Fuzzy” Match, or identified that no match exists, a Notification is stored, and a history is maintained.

## **Main Success Scenario**

### **Scenario 1: Subject Person (Actor) Data Complies with Level 1 – Person (Actor) Auto-Associate Matching Rules:**

1. An Authorized User or Automated System sends Subject Person (Actor) data to the EDR from a Source System.  
See Use Case 2: Actor Validation Scenario 1: Actor Data Meets All Data Validation Rules
2. The Subject Person (Actor) data is “scored” as outlined in Use Case 9: Identity Management Person (Actor) Scoring.
3. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 1 – Person (Actor) Auto Associate Matching rules and one or more existing Person (Actor) records are identified as a match.
4. The Subject Person (Actor) record is “Auto-Associated” with the matching Person (Actor) record(s) in the EDR.
5. The EDR records the date and time the Person (Actor) records are “Auto-Associated”.
6. A Notification is stored.
7. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

**When** the Subject Person (Actor) data complies with Identity Management Level 1 – Person (Actor) Auto-Associate Matching rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall Auto-Associate the Subject Person (Actor) with the matching Person (Actor) record(s) in the EDR, a Notification is stored, and a history is maintained.

**Scenario 2: Subject Person (Actor) Data Does Not Comply with Level 1 – Person (Actor) Auto-Associate Matching Rules:**

1. An Authorized User or Automated System sends Subject Person (Actor) data to the EDR from a Source System.  
See Use Case 2: Actor Validation Scenario 1: Actor Data Meets All Data Validation Rules
2. The Subject Person (Actor) data is “scored” as outlined in Use Case 9: Identity Management Person (Actor) Scoring.
3. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 1 – Person (Actor) Auto Associate Matching rules and the Subject (Person) Actor does not comply with Level 1 Person (Actor) matching rules.
4. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 2 – Person (Actor) Probable Match rules.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

**When** the Subject Person (Actor) data does not comply with Identity Management Level 1 – Person (Actor) Matching rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall attempt to perform a Level 2 – Person (Actor) Probable Match.

**Scenario 3: Subject Person (Actor) Data Complies with Level 2 – Person (Actor) Probable Match Rules:**

1. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 2 – Person (Actor) Probable Match rules and one or more existing Person (Actor) records are identified as a match.
2. The EDR records the date and time the Person (Actor) records are identified as a “Probable Match”.
3. A Notification is stored.
4. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

**When** the Subject Person (Actor) data complies with Identity Management Level 2 – Person (Actor) Probable Match rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall store a Notification, and a history is maintained.

**Scenario 4: Subject Person (Actor) Data Does Not Comply with Level 2 – Person (Actor) Probable Match Rules:**

1. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 2 – Person (Actor) Probable Match rules and the Subject Person (Actor) does not comply with Level 2 - Person (Actor) matching rules.
2. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 3 – Person (Actor) Fuzzy Match rules.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

**When** the Subject Person (Actor) data does not comply with Identity Management Level 2 – Person (Actor) Probable Match rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall attempt to perform a Level 3 – Person (Actor) Fuzzy Match.

**Scenario 5: Subject Person (Actor) Data Complies with Level 3 – Person (Actor) Fuzzy Match Rules:**

1. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 3 – Person (Actor) Fuzzy Match rules and one or more existing Person (Actor) records are identified as a match.
2. The EDR records the date and time the Person (Actor) records are identified as a “Fuzzy Match”.
3. A Notification is stored.
4. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

**When** the Subject Person (Actor) data complies with Identity Management Level 3 – Person (Actor) Fuzzy Match rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall store a Notification, and a history is maintained.

**Scenario 6: Subject Person (Actor) Data Does Not Comply with Level 3 – Person (Actor) Fuzzy Match Rules:**

1. The Subject Person (Actor) data is compared against each existing Person (Actor) record stored in the EDR in accordance with Level 3 – Person (Actor) Fuzzy Match rules and the Subject (Person) Actor does not comply Level 3 - Person (Actor) Fuzzy Match rules.
2. An Identity Management validation status is stored.
3. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Subject Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Subject Person (Actor) data stored;

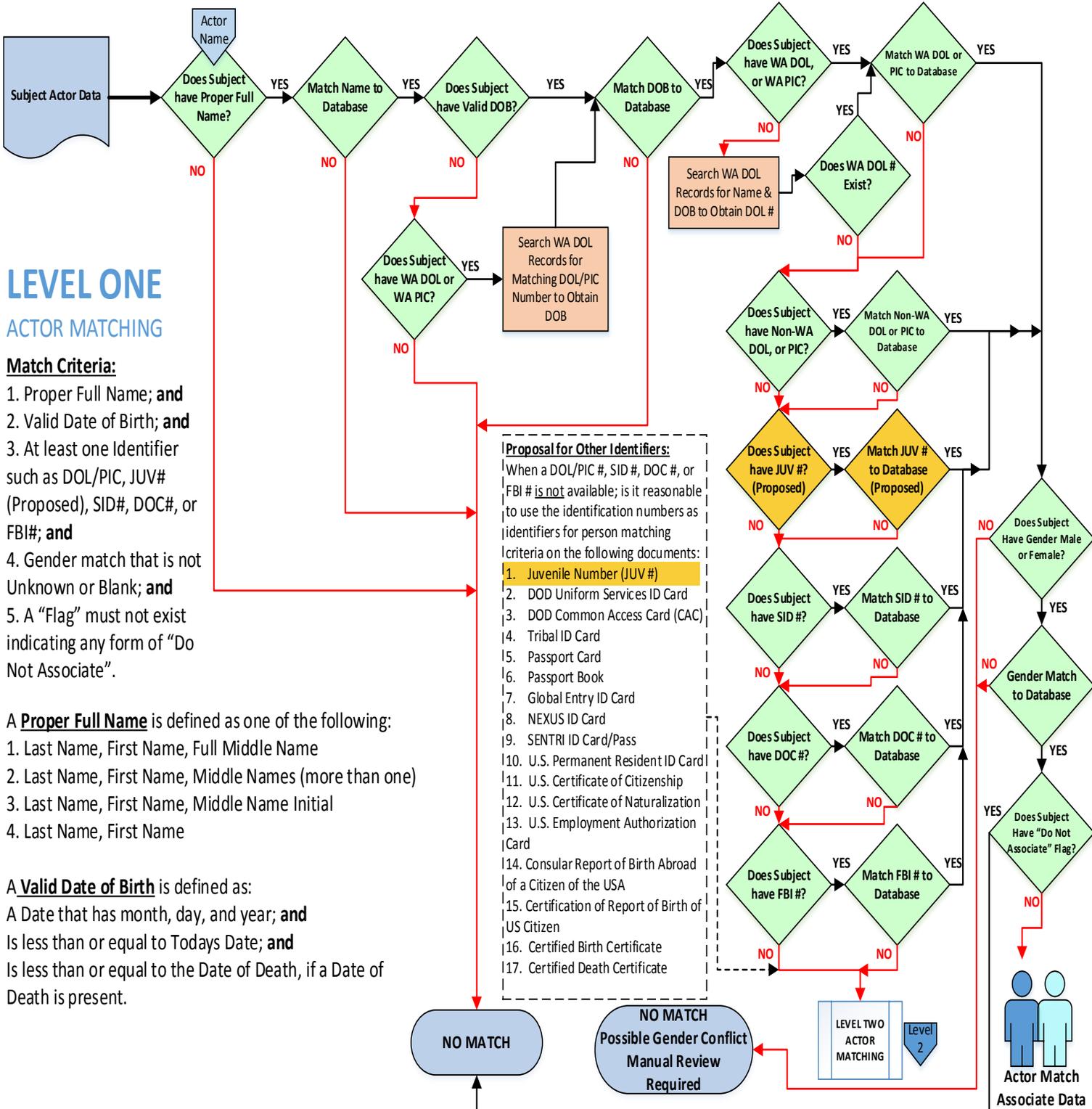
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**When** the Subject Person (Actor) data does not comply with Level 3 – Person (Actor) Fuzzy Match rules to an existing validated and “scored” Person (Actor) in the EDR;

**Then** the EDR shall store a validation status, and a history is maintained

Level 1 – Person (Actor) Auto-Associate



**LEVEL ONE**  
ACTOR MATCHING

**Match Criteria:**

1. Proper Full Name; and
2. Valid Date of Birth; and
3. At least one Identifier such as DOL/PIC, JUV# (Proposed), SID#, DOC#, or FBI#; and
4. Gender match that is not Unknown or Blank; and
5. A "Flag" must not exist indicating any form of "Do Not Associate".

A **Proper Full Name** is defined as one of the following:

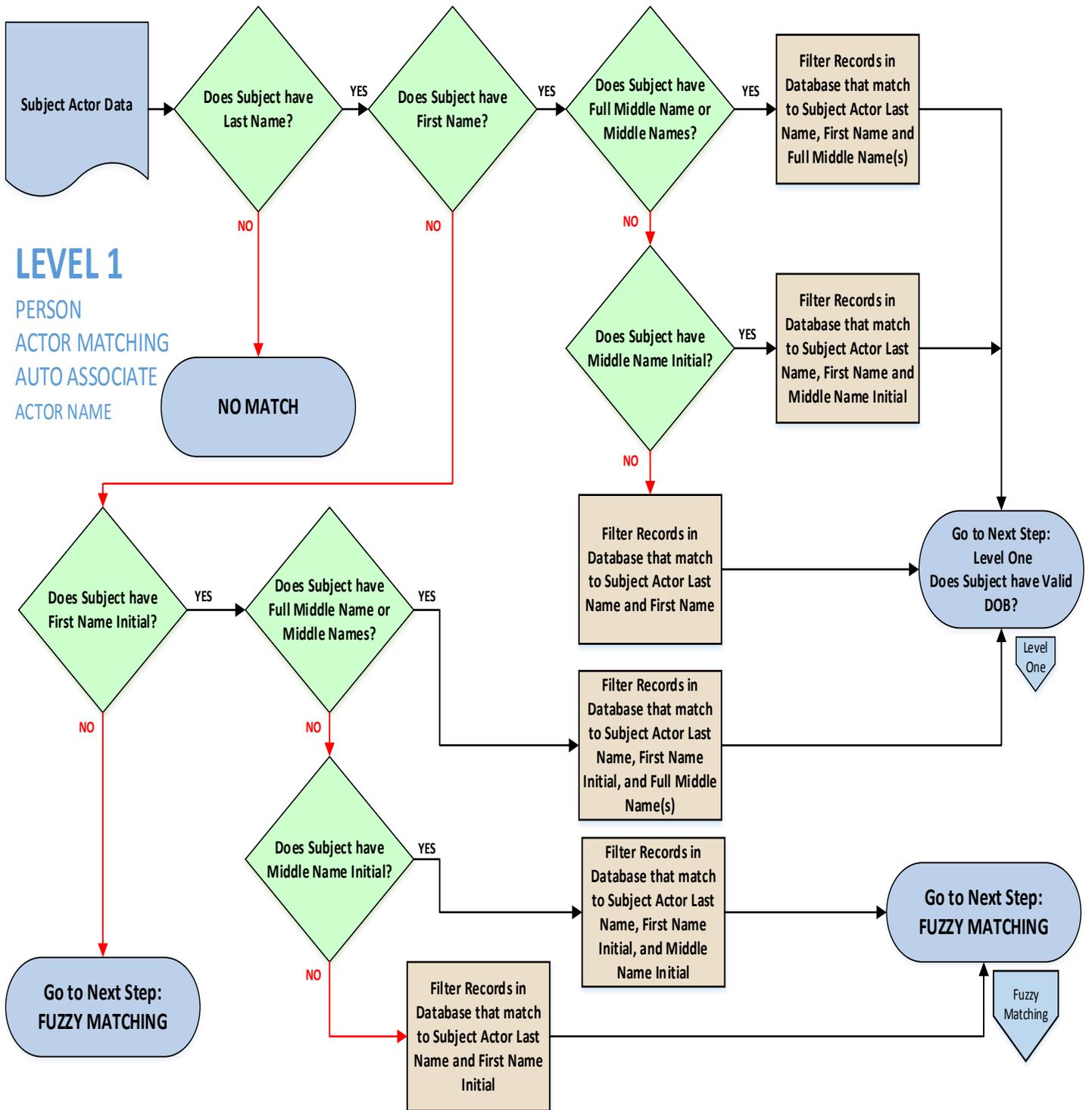
1. Last Name, First Name, Full Middle Name
2. Last Name, First Name, Middle Names (more than one)
3. Last Name, First Name, Middle Name Initial
4. Last Name, First Name

A **Valid Date of Birth** is defined as:

- A Date that has month, day, and year; and
- Is less than or equal to Today's Date; and
- Is less than or equal to the Date of Death, if a Date of Death is present.

**Proposal for Other Identifiers:**  
When a DOL/PIC #, SID #, DOC #, or FBI # is not available; is it reasonable to use the identification numbers as identifiers for person matching criteria on the following documents:

1. Juvenile Number (JUV #)
2. DOD Uniform Services ID Card
3. DOD Common Access Card (CAC)
4. Tribal ID Card
5. Passport Card
6. Passport Book
7. Global Entry ID Card
8. NEXUS ID Card
9. SENTRI ID Card/Pass
10. U.S. Permanent Resident ID Card
11. U.S. Certificate of Citizenship
12. U.S. Certificate of Naturalization
13. U.S. Employment Authorization Card
14. Consular Report of Birth Abroad of a Citizen of the USA
15. Certification of Report of Birth of US Citizen
16. Certified Birth Certificate
17. Certified Death Certificate



## LEVEL 1

### PERSON

#### ACTOR MATCHING

#### AUTO-ASSOCIATE

##### **Auto-Associate Match Criteria:**

1. Matching Proper Full Name; **and**
2. Matching valid Date of Birth; **and**
3. Match with at least one (1) valid Personal Identifier (see list) that is not Unknown or Blank; **and**
4. No conflicts exist between Personal Identifiers (when present) where the value of Unknown or Blank is not a conflict; **and**
5. Matching Gender; **and**
6. Does not have a "Do Not Associate" indicator "flag".

If the criteria is met, records would be Auto-Associated and a notification sent.

A **Proper Full Name** is defined as one of the following:

1. Last Name, First Name, Full Middle Name
2. Last Name, First Name, Middle Names (more than one)
3. Last Name, First Name, Middle Name Initial
4. Last Name, First Name

A **Valid Date of Birth** is defined as:

A Date that has month, day, and year; **and**

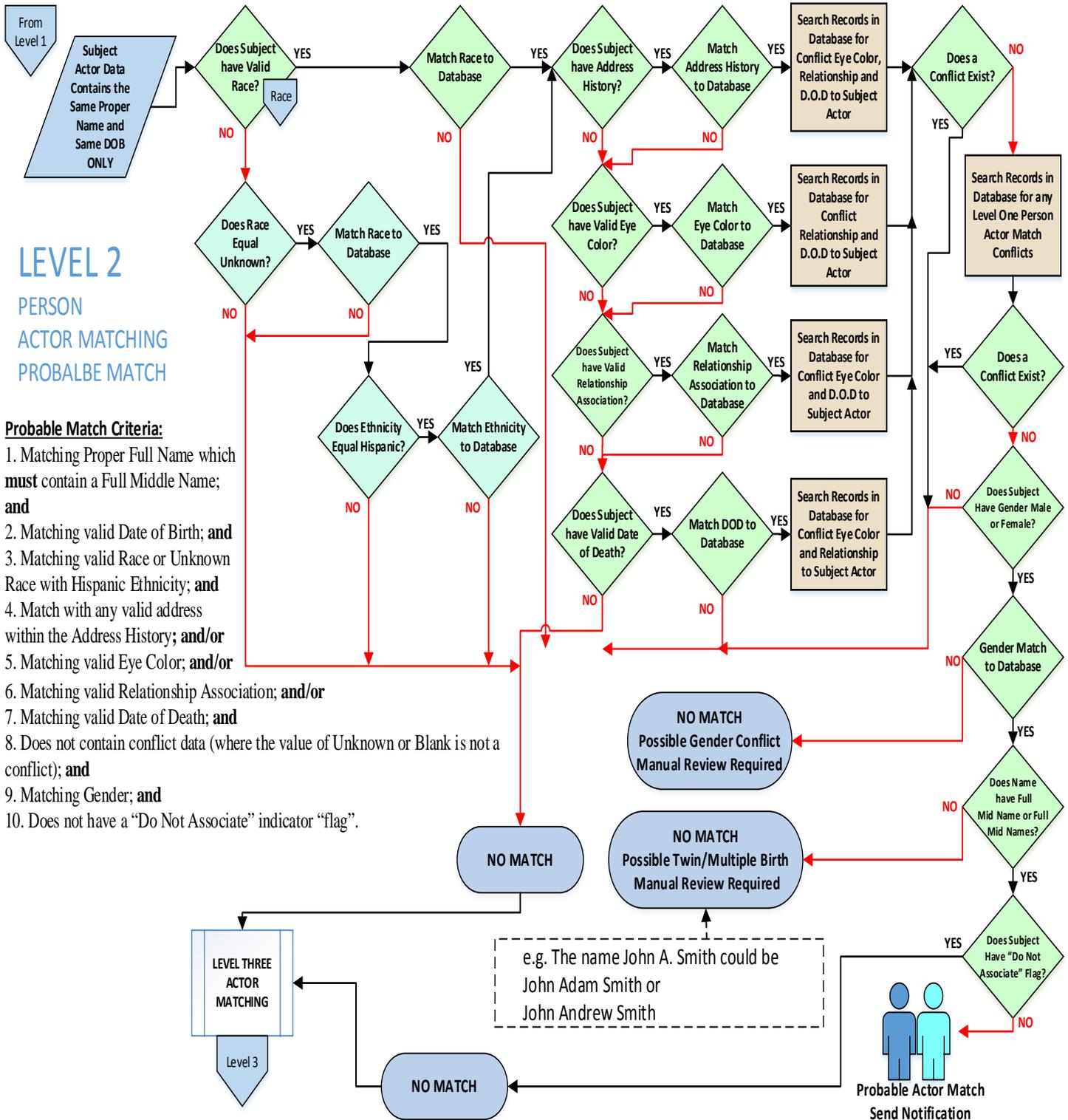
Is less than or equal to Today's Date; **and**

Is less than or equal to the Date of Death, if a Date of Death is present.

##### **Personal Identifiers:**

1. Drivers License Number or PIC Number (All States/Countries)
2. Juvenile Number (JUV)
3. State Identification Number (SID)
4. Department of Corrections Number (DOC)
5. Federal Bureau of Investigation Number (FBI)
6. DOD Uniform Services ID Card
7. DOD Common Access Card (CAC)
8. Tribal ID Card
9. Passport Card
10. Passport Book
11. Global Entry ID Card
12. NEXUS ID Card
13. SENTRI ID Card/Pass
14. U.S. Permanent Resident ID Card
15. U.S. Certificate of Citizenship
16. U.S. Certificate of Naturalization
17. U.S. Employment Authorization Card
18. Consular Report of Birth Abroad of a Citizen of the USA
19. Certification of Report of Birth of US Citizen
20. Certified Birth Certificate
21. Certified Death Certificate

**PROPOSED: Level 2 – Person (Actor) Probable Match**

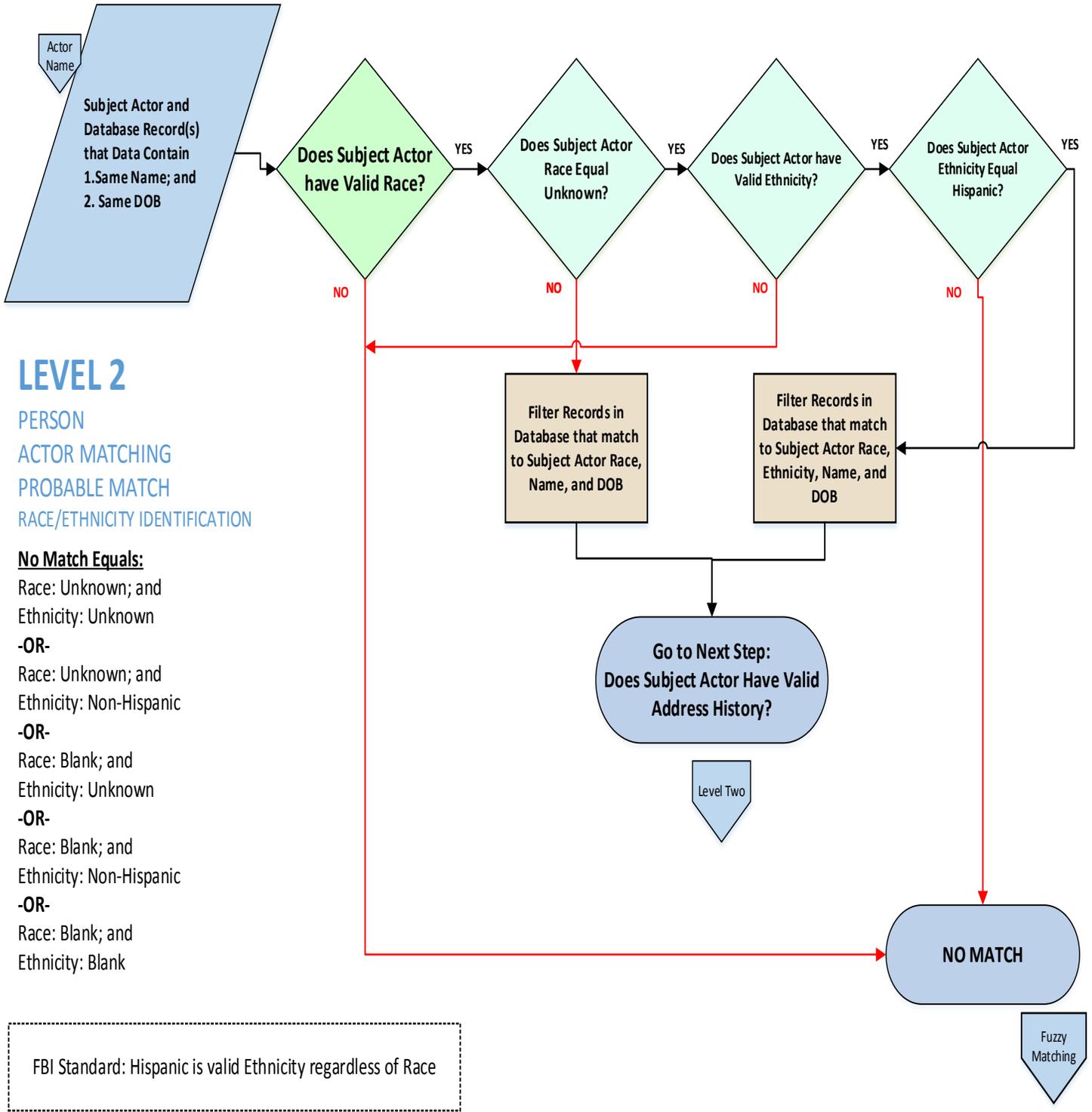


**LEVEL 2  
PERSON  
ACTOR MATCHING  
PROBALBE MATCH**

**Probable Match Criteria:**

1. Matching Proper Full Name which **must** contain a Full Middle Name; **and**
2. Matching valid Date of Birth; **and**
3. Matching valid Race or Unknown Race with Hispanic Ethnicity; **and**
4. Match with any valid address within the Address History; **and/or**
5. Matching valid Eye Color; **and/or**
6. Matching valid Relationship Association; **and/or**
7. Matching valid Date of Death; **and**
8. Does not contain conflict data (where the value of Unknown or Blank is not a conflict); **and**
9. Matching Gender; **and**
10. Does not have a "Do Not Associate" indicator "flag".

e.g. The name John A. Smith could be John Adam Smith or John Andrew Smith



**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

1. “Fuzzy” name matching and validation is limited by the capabilities of the mechanism, product, or other software solution.

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Upon storing of new or updated Person (Actor) data received from a Source System. Periodic re-validation of Person (Actor) data stored in the EDR should be performed (time frame to be determined) with notification if the current validation status changes with a history maintained. Additional or alternative quantitative data transfer capabilities to be determined.

**Assumptions:**

1. The Data Validation mechanism, product, or other software solution will have the capability to provide and compare “Fuzzy” Person (Actor) name matches in the EDR in near real time.
2. The Data Validation mechanism, product, or other software solution will have the capability to provide “Fuzzy” name matches to include hyphenated names, Titles and/or Prefixes (Mx., Mr., Mrs., Ms., Miss, Dr., Sir, etc.) Suffixes (e.g. Sr. Jr. II, III, IV, Esq., etc.)
3. The Data Validation mechanism, product, or other software solution will have the capability to validate and provide error notification when conflicting names, DOB and Suffix (Sr., Jr., II, III, etc.) are identified.
4. The Data Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between prefixes (Mister, Mr.) and Suffixes (Senior/Sr.; Esq./Esquire) and provide notification when conflicting data is identified.
5. The EDR will have a mechanism, product, or other software solution in place that is functional and fully tested to cleanse and validate all addresses, phone numbers, and electronic contacts received and stored in the EDR from a Source System.

**Risks:**

1. The Data Validation mechanism, product, or other software solution may not be available to provide the qualitative capacity necessary for “Fuzzy” name matching criteria.
2. The Data Validation mechanism, product, or other software solution may not be available to provide the qualitative capacity necessary for address cleansing.
3. The Data Validation mechanism, product, or other software solution(s) may not be compatible with the EDR architectural design.
4. Detailed Person (Actor) Relationship History information will be unavailable for all Person (Actor) records to use for matching criteria.
5. Potential for Person (Actor) records with one or more existing associations to be matched to or manually associated to another Person (Actor) record with one or more existing associations where each “Parent” record has the same match score. (E.g. current JIS rules prevent two “True Names” from being AKA’d (associated) to one

another. In the EDR a Full Person (Actor) Name and “Fuzzy” Person (Actor) name when Person (Actor)s are manually associated by Authorized Users resulting in confusion and uncertainty of a “True Name”. (E.g. James Smith with score of 100 and one associated Person (Actor) record is manually associated with, or identified as a Level 3 match, to Jim Smith with a score of 100 and three associated Person (Actor) records)

#### **Dependencies:**

1. Scenarios and Person (Actor) matching rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR is ready to accept and store Person (Actor) data received from a Source System.
3. The EDR is ready to accept and store Relationship History information from a Source System.
4. The EDR contains validated, scored, and stored Person (Actor) data/record(s) to which Subject Person (Actor) data will be compared for matching.
5. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to provide “Fuzzy” name comparisons and matches received from a Source System.
6. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to cleanse and validate all addresses, phone numbers, and electronic contacts received and stored from a Source System.
7. The EDR is ready to accept and store Address data received from a Source System.
8. The EDR is ready to accept and store cleansed and validated address types from the mechanism, product, or other software solution
9. The EDR is ready to provide cleansed and validated addresses to Authorized Users.
10. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System not previously specifically identified.
11. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

#### **Glossary:**

#### **Level 1 – Person (Actor) Matching Auto-Associate:**

The goal of Level 1 - Person (Actor) Matching Auto-Associate is to identify person records based on a set of defined business rules and associate the records for a complete case history. The Auto-Associate function would be completed electronically with the EDR database and a potential Notification sent to the source case management system. Authorized Court Users will have the ability to un-associate person records if necessary and “flag” or “note” the records are not the same person and should not be associated.

The Expedited Data Exchange Systems Changes Governance Committee voted to approve the Level 1 - Person (Actor) Matching Auto-Associate proposal seeking an enhanced EDR Person Business Rule requiring four (4) exact data matches before electronically associating person records. This rule also requires that data conflicts or a “flag” or “note” must not exist indicating “Do Not Associate” must not exist.

Valid data such as Date of Birth, is defined as data in which has been validated in accordance with the EDR’s data validation rules as being “good” (e.g. date is equal to or less than today’s date). The data element must match to standard reference tables and to Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems (e.g. Gender of Male or M is a standard value. Boy is not). Data is not valid for a match comparison for Level 1 – Person (Actor) Auto Associate if the value is unknown, blank, or null.

Level 1 – Person (Actor) Auto-Associate Match criteria is as follows:

1. Matching Proper Full Name; **and**
2. Matching valid Date of Birth; **and**
3. Match with at least one (1) valid Personal Identifier (see list) that is not Unknown or Blank; **and**

## Business Use Cases

## EXHIBIT N

4. No conflicts exist between Personal Identifiers (when present) where the value of Unknown or Blank is not a conflict; **and**
5. Matching Gender; **and**
6. Does not have a “Do Not Associate” indicator “flag”.

If the criteria is met, records would be Auto-Associated and a notification sent.

### **Level 2 – Person (Actor) Probable Match Proposed Criteria:**

The goal of Level 2 - Person (Actor) Probable Match criteria is to identify two or more person records based on a set of defined business rules which may be the same person. This process could identify like individuals for a more complete case history. The Probable Match function would be completed electronically with the EDR database and a Notification sent to the source case management system for further review of the association status. Authorized Court Users will have the ability to associate and un-associate person records if necessary and “flag” or “note” the records when they are not the same person and should not be associated.

Current Person Business Rule 3.30 requires sameness (not necessarily exact) of three (3) personal identifiers. The Level 2 - Person (Actor) Probable Match proposal seeks an enhanced EDR Person Business Rule requiring five (5) exact data matches between two or more person records when identifying a “Probable” match when no personal identifier (DOL, SID, DOC, FBI, JUV, etc.) exists. This rule also requires that data conflicts or a “flag” or “note” indicating “Do Not Associate” must not exist with the records.

Valid data such as Date of Birth, is defined as data in which has been validated in accordance with the EDR’s data validation rules as being “good” (e.g. date is equal to or less than today’s date). The data element must match to standard reference tables and to Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems (e.g. Eye Color of blue is a standard value. Beige is not). With the exception of an unknown Race with Hispanic Ethnicity, data is not valid for a match comparison for Level 2 – Person (Actor) Probable Match if the Race value is unknown, blank, or null.

Level 2 – Person (Actor) Probable Match criteria is proposed as follows:

1. Matching Proper Full Name which **must** contain a Full Middle Name; **and**
2. Matching valid Date of Birth; **and**
3. Matching valid Race or Unknown Race with Hispanic Ethnicity; **and**
4. Match with any valid address within the Address History; **and/or**
5. Matching valid Eye Color; **and/or**
6. Matching valid Relationship Association; **and/or**
7. Matching valid Date of Death; **and**
8. Does not contain conflict data (where the value of Unknown or Blank is not a conflict); **and**
9. Matching Gender; **and**
10. Does not have a “Do Not Associate” indicator “flag”.

If the criteria are met, a Probable Match would be identified, and a notification would be sent.

## Use Case 7: Phone Number Validation

**Id:** Use Case 7

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Phone Number data from a Source System that must be validated.

**Level:** System/Application

**Trigger:** Created or updated Phone Number data is stored by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rule for all Phone Numbers received from a Source System as valid or non-valid contact information.
3. The Source System has passed a validation/identification process by the Web Service and Phone Number data has been sent to the EDR.
4. The EDR contains stored Phone Number data received from a Source System.
5. The EDR contains a validated and stored Actor to which subject Phone Number will be associated.
6. The EDR is ready to accept and store validated Phone Numbers from the mechanism, product, or software solution.
7. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**

Success End Condition:

All Phone Number data has been validated, a validation status has been assigned and stored for each Phone Number, a Notification is stored (Use Case 3), and a history is maintained.

**Main Success Scenario**

**Scenario 1: Phone Number Data Meets All Data Validation Rules (Valid Number):**

1. An Authorized User or Automated System sends newly created or updated Phone Number data to the EDR from a Source System.
2. The EDR accepts and stores the Phone Number data.
3. The EDR records the date and time the Phone Number data is stored.
4. The Phone Number data is validated in accordance with pre-defined validation rules and all Phone Number data is deemed valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored.
7. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Phone Number data from a secure authorized source;

**And** the EDR has traceability to the source of the Phone Number data stored;

**When** the Phone Number data complies with the validation rules;

**Then** the EDR shall store a validation status to the Phone Number, and a history is maintained.

**Scenario 2: Phone Number Data Violates One or More Data Validation Rules (Non-valid Number):**

1. An Authorized User or Automated System sends newly created or updated Phone Number data to the EDR from a Source System.
2. The EDR accepts and stores the Phone Number data.
3. The EDR records the date and time the Phone Number data is stored.
4. The Phone Number data is validated in accordance with pre-defined validation rules and all Phone Number data is deemed non-valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored.
7. A Notification is stored
8. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored Phone Number data from a secure authorized source;

**And** the EDR has traceability to the source of the Phone Number data stored;

**When** the Phone Number data does not comply with one or more of the data validation rules;

**Then** the EDR shall store a validation status of the Phone Number, a Notification is stored, and a history is maintained.

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

1. Phone Number validation is limited by the capabilities of the mechanism, product, or other software solution.
2. Phone Number information can change at any time.
3. Name registered to Phone Number may not be the same as the Actor associated with the subject Phone Number thus the registered name cannot be used as Identity Matching criteria.

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Periodic re-validation of Phone Number(s) stored in the EDR should be performed monthly or more frequently with notification if the current validation status changes with a history maintained. Additional or alternative quantitative data transfer capabilities to be determined.

**Assumptions:**

1. The Phone Number Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between valid and non-valid Phone Number(s). (e.g. operational, disconnected, no longer in service)
2. The Phone Number Validation mechanism, product, or other software solution will have the capability to provide validation of the name registered to the Phone Number.
3. The Phone Number Validation mechanism, product, or other software solution will have the capability to provide differentiation between a phone number that is a landline or a cellular line.
4. The Phone Number Validation mechanism, product, or other software solution will have the capability to provide a County Code when applicable.
5. The Phone Number Validation mechanism, product, or other software solution will have the capability to perform Phone Number validation in near real time.
6. Validation of the name registered to the Phone Number may not match the Actor name associated with subject Phone Number.

**Risks:**

1. Phone Number information may be obsolete (i.e. number changed, disconnected, registered name changed) after the Data Validation process has deemed the contact as valid. Thus, validation status and dates are imperative to keep users informed and ensure users are educated on the validation process.
2. The Data Validation mechanism, product, or other software solution may not be able to provide the qualitative capacity necessary to validate Phone Number information.

3. The Data Validation mechanism, product, or other software solution may not be compatible with the EDR architectural design.

**Dependencies:**

1. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Phone Number data received from a Source System.
3. The EDR is ready to accept and store Phone Number data received from a Source System.
4. The EDR is ready to accept and store validated Phone Number data from the mechanism, product, or other software solution.
5. The EDR is ready to provide validated Phone Number data to authorized users.
6. The EDR contains a validated and saved Actor to which subject Phone Number data will be associated.
7. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

Use Case 8: Electronic (Email) Contact Validation **Id:** Use Case 8

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Email Contact data from a Source System that must be validated.

**Level:** System/Application

**Trigger:** Created or updated Electronic (Email) Contact data is stored by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Electronic (Email) Contact received from a Source System as valid or non-valid contact information.
3. The Source System has passed a validation/identification process by the Web Service, and Electronic (Email) Contact data has been sent to the EDR.
4. The EDR contains stored Electronic (Email) Contact data received from a Source System.
5. The EDR contains a validated and stored Actor to which subject Electronic (Email) Contact will be associated.
6. The EDR is ready to accept and store validated addresses from the mechanism, product, or software solution.
7. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**Success End Condition:

All Electronic (Email) Contact data has been validated, a validation status has been assigned and stored for each Electronic (Email) Contact, a Notification is stored (Use Case 3), and a history is maintained.

**Main Success Scenario****Scenario 1: Electronic Data Meets Data Validation Rules (Valid Contact):**

1. An Authorized User or Automated System sends newly created or updated Electronic (Email) Contact data to the EDR from a Source System.
2. The EDR accepts and stores the Electronic (Email) Contact data.
3. The EDR records the date and time the Electronic (Email) Contact data is stored.
4. The Electronic (Email) Contact data is validated in accordance with pre-defined validation rules and all Electronic (Email) Contact data is deemed valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored.
7. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Electronic (Email) Contact data from a secure authorized source;

**And** the EDR has traceability to the source of the Electronic (Email) Contact data stored;

**When** the Electronic (Email) Contact data complies with the validation rules;

**Then** the EDR shall store a validation status of the Electronic (Email) Contact, and a history is maintained.

**Scenario 2: Electronic (Email) Contact Data Violates One or More Data Validation Rules****(Non-Valid Contact):**

1. An Authorized User or Automated System sends newly created or updated Electronic (Email) Contact data to the EDR from a Source System.
2. The EDR accepts and stores the Electronic (Email) Contact data.
3. The EDR records the date and time the Electronic (Email) Contact data is stored.
4. The Electronic (Email) Contact data is validated in accordance with pre-defined validation rules and all Electronic (Email) Contact data is deemed non-valid.
5. A Data Validation mechanism, product, or software solution assigns a validation status.
6. A validation status is stored.
7. A Notification is stored
8. A history is maintained.

**Acceptance Criteria**

**Given** EDR has stored Electronic (Email) Contact data from a secure authorized source;

**And** the EDR has traceability to the source of the Electronic (Email) Contact data stored;

**When** the Electronic (Email) Contact data does not comply with one or more of the data validation rules;

**Then** the EDR shall store a validation status of the Electronic (Email) Contact, a Notification is stored, and a history is maintained.

## Diagrams/Flow-Charts/Attachments

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

### Constraints:

1. Electronic (Email) Contact validation is limited by the capabilities of the mechanism, product, or other software solution.
2. Electronic (Email) Contact information can change at any time.
3. Name registered to Electronic (Email) Contact may not be the same as the Actor associated with the subject Electronic (Email) Contact thus the registered name cannot be used as Identity Matching criteria.

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Periodic re-validation of Electronic (Email) Contact(s) stored in the EDR should be performed monthly or more frequently with notification if the current validation status changes with a history maintained. Additional or alternative quantitative data transfer capabilities to be determined.

### Assumptions:

1. The Electronic (Email) Contact Validation mechanism, product, or other software solution will have the capability to provide validation and differentiation between valid and non-valid Electronic (Email) Contact(s).
2. The Electronic (Email) Contact Validation mechanism, product, or other software solution will have the capability to provide validation of the name registered to the Electronic (Email) Contact.
3. The Electronic (Email) Contact Validation mechanism, product, or other software solution will have the capability to perform Electronic (Email) Contact validation in near real time.
4. The Electronic (Email) Contact Validation mechanism, product, or other software solution will have the capability to validate numerous types of Electronic (Email) service domains.

### Risks:

1. Electronic (Email) Contact information may be obsolete (i.e. inactivated, registered name changed) after the Data Validation process has deemed the contact as valid. Thus, validation status and dates are imperative to keep users informed and ensure users are educated on the validation process.
2. Validation of the name registered to the Electronic (Email) Contact may not match the Actor name associated with subject Electronic (Email) Contact.
3. The Electronic (Email) Contact Validation mechanism, product, or other software solution may not be able to provide the qualitative capacity necessary to validate Electronic (Email) Contact information.
4. The Electronic (Email) Contact Validation mechanism, product, or other software solution may not be compatible with the EDR architectural design
5. The Electronic (Email) Contact Validation mechanism, product, or other software solution will not have the capability to validate numerous types of Electronic (Email) Contacts.

6. The EDR may not be able to save and/or identify and/or differentiate between numerous types of Electronic (Email) Contacts.

**Dependencies:**

1. Scenarios and validation rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Electronic (Email) Contact data received from a Source System.
3. The EDR is ready to accept and store Electronic (Email) Contact data received from a Source System.
4. The EDR must be ready to accept and store validated Electronic (Email) Contact data from the mechanism, product, or other software solution.
5. The EDR is ready to provide validated Electronic (Email) Contact data to authorized users.
6. The EDR contains a validated and saved Actor to which subject Electronic (Email) Contact data will be associated.
7. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

## Use Case 9: Identity Management Person (Actor) Scoring

**Id:** Use Case9

**Version:** 1.0

**Scope:** The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has received and stored Person (Actor) data from a Source System that must be Scored with a value between 1 and 100 based on the completeness of all the Person (Actor) data elements within the Person (Actor) record.

**Level:** System/Application

**Trigger:** Created or updated Person (Actor) data is stored and validated by the AOC EDR from a Source System.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement and members of the justice system.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System.
3. The EDR must have an algorithm, mechanism, product, or other software solution in place that is functional and fully tested to assign and calculate a numeric Score Person (Actor) data with a value between 1 and 100 based upon a set of pre-determined, well defined rules.
4. The EDR contains stored and validated Person (Actor) data received from a Source System to which the Score will be associated.
5. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**

Success End Condition:

Person (Actor) data has been assigned a numeric Score with value between 1 and 100 and a history is maintained.

**Main Success Scenario**

**Scenario 1: Person (Actor) Scoring:**

1. An Authorized User or Automated System sends Subject Person (Actor) data to the EDR from a Source System.  
    See Use Case 2 Actor Validation Scenario 1: Actor Data Meets All Data Validation Rules
2. Each Person (Actor) data element is assigned a numeric value between 1 and 100 based on pre-determined, well defined rules for the completeness of the data.
3. The sum of each numeric value assigned to the data elements is calculated.
4. The sum total Score value is assigned to the EDR Person (Actor) Unique Identifying Number
5. A notification is stored.
6. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Person (Actor) data stored;

**When** the Actor data complies with the validation rules;

**Then** the EDR shall Score and assign a numeric value between 1 and 100 to the Person (Actor) data elements, the sum total value of each data element is calculated and the total value 'Score' is assigned to the EDR Actor Record Unique Identifying Number; a Notification is stored, and a history is maintained.

Diagrams/Flow-Charts/Attachments **SAMPLE**

Person (Actor) Data Elements	MAX POINTS	Dimple, William Andrew	POINT VALUE	Dimple, Bill Andrew	POINT VALUE	Dimple, William	POINT VALUE	Dimple, William Andrew	POINT VALUE
Last Name, First Name, Full Middle Name	30	Yes	30		0		0	Yes	30
Last, First, Middle Names	30		0		0		0		0
Last, First, Middle Initial	25		0		0		0		0
Last, First	20		0		0	Yes	20		0
Date of Birth (= <= Today's Date and = <= Date of Death)	15	1/10/1980	15	1/10/1980	15	1/10/1980	15	1/10/1980	15
Gender Match (Must not be UNK or Blank)	15	M	15	M	15	M	15	M	15
Address History	5	YES	5	YES	5		0	YES	5
Valid Eye Color (Must match Ref data, Must not be UNK or Blank)	5	BLU	5	BLU	5		0	BLU	5
Date of Death (=>Date of Birth)	5	12/31/1990	5		0		0	12/31/1990	5
Valid Race (Must match Ref data, Must not be UNK or Blank)	3	W	3	W	3		0	W	3
Scars Marks Tattoos	2	TAT RT ARM	2	TAT RT ARM	2		0	TAT RT ARM	2
Valid Relationship (Must match Ref data, Must not be UNK or Blank)	2	CHD	2		0		0	CHD	2
Valid Ethnicity (Must match Ref data, Must not be UNK or Blank)	1		0		0		0		0
Phone (Must not be UNK or Blank)	1	360-555-1212	1	360-555-1212	1		0	360-555-1212	1
Height (Must not be UNK or Blank)	1		0		0		0	5'10"	1
Weight (Must not be UNK or Blank)	1		0		0		0	150	1
Valid Hair Color (Must match Ref data, Must not be UNK or Blank)	1	BLK	1	BLK	1		0	BLK	1
Valid Language (Must match Ref Data, Must not be UNK or Blank)	1		0		0		0		0
Electronic Contact (Must not be UNK or Blank)	1		0		0		0	ME@MYEMAIL.COM	1
Valid ICWA (Must be Y or N, Must not be UNK or Blank)	1		0		0		0	NO	1
<b>Total Available Points</b>	<b>90</b>		<b>84</b>		<b>47</b>		<b>50</b>		<b>88</b>
<b>Missing Value - Unique Identifier; 10</b>									
WA DOL #	2	DIMPLEWA206B4	2		0	DIMPLEWA206B4	2	DIMPLEWA206B4	2
JUV #	2		0		0		0	123456	2
SID #	2	7766548	2		0		0	7766548	2
DOC #	2		0		0		0	999999	2
FBI #	2		0		0		0	111111	2
<b>Total Point Match Value</b>	<b>100</b>		<b>88</b>		<b>47</b>		<b>52</b>		<b>98</b>
		<b>EDR Database</b>		<b>FUZZY</b>		<b>Level 1 Match (Min. Data)</b>		<b>New Golden Record</b>	
				Manual Review		<b>Must always be a score of 52 or Higher</b>		007	

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Person (Actor) Data Elements	MAX POINTS	Dimple, William Andrew	POINT VALUE	Dimple, William Andrew	POINT VALUE	Dimple, William Andrew	POINT VALUE	Dimple, William Andrew	POINT VALUE	Dimple, William Andrew	POINT VALUE
Last Name, First Name, Full Middle Name	30	YES	30	YES	30	Yes	30	YES	30	Yes	30
Last, First, Middle Names	30		0		0		0		0		0
Last, First, Middle Initial	25		0		0		0		0		0
Last, First	20		0		0		0		0		0
Date of Birth (=<Today's Date and <=Date of Death)	15	1/10/1980	15	1/10/1980	15	1/10/1980	15	1/10/1980	15	1/10/1980	15
Gender Match (Must not be UKN or Blank)	15	M	15	M	15	M	15	M	15	M	15
Address History	5	YES	5		0		0		0	YES	5
Valid Eye Color (Must match Ref data, Must not be UNK or Blank)	5		0	BLU	5		0		0	BLU	5
Date of Death (=>Date of Birth)	5		0		0		0	12/31/1990	5	12/31/1990	5
Valid Race (Must match Ref data, Must not be UNK or Blank)	3	W	3	W	3	W	3	W	3	W	3
Scars Marks Tattoos	2		0		0		0		0	TAT RT ARM	2
Valid Relationship (Must match Ref data, Must not be UNK or Blank)	2		0		0	CHD	2		0	CHD	2
Valid Ethnicity (Must match Ref data, Must not be UNK or Blank)	1		0		0		0		0		0
Phone (Must not be UNK or Blank)	1		0		0		0		0	360-555-1212	1
Height (Must not be UNK or Blank)	1		0		0		0		0	5'10"	1
Weight (Must not be UNK or Blank)	1		0		0		0		0	150	1
Valid Hair Color (Must match Ref data, Must not be UNK or Blank)	1		0		0		0		0	BLK	1
Valid Language (Must match Ref data, Must not be UNK or Blank)	1		0		0		0		0		0
Electronic Contact (Must not be UNK or Blank)	1		0		0		0		0	ME@MYEMAIL.COM	1
Valid ICWA (Must be Y or N, Must not be UNK or Blank)	1		0		0		0		0	NO	1
<b>Total Available Points</b>	<b>90</b>		<b>68</b>		<b>68</b>		<b>65</b>		<b>68</b>		<b>88</b>
<b>Missing Value - Unique Identifier; 10</b>											
WA DOL #	2		0		0		0		0	DIMPLEWA206B4	2
JUV #	2		0		0		0		0	123456	2
SID #	2		0		0		0		0	7766548	2
DOC #	2		0		0		0		0	999999	2
FBI #	2		0		0		0		0	1111111	2
<b>Total Point Match Value</b>	<b>100</b>		<b>68</b>		<b>68</b>		<b>65</b>		<b>68</b>		<b>98</b>
		<b>Level 2 Match</b>			<b>Level 2 Match</b>			<b>Level 2 Match</b>			<b>Level 2 Match</b>
		Scenario 1			Scenario 2			Scenario 3			Scenario 4
		Address			Eye			Relationship			Date of Death
<b>NO UNIQUE IDENTIFIERS</b>											
Must always be a minimum score of 65 or higher											

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

- Sum total score valuation of Person (Actor) data elements is limited to only currently defined and identified Person (Actor) data elements in accordance with the Exhibit L - JIS Data Standards for Alternative Electronic Court Record Systems.
- EDR Person (Actor) records must have a unique identifier to assign a score valuation.

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** Upon storing of new or updated Person (Actor) data received from a Source System. Periodic Score re-valuation of Person (Actor) data stored in the EDR should be performed (time frame to be determined) with notification if the current validation status changes with a history maintained.

**Assumptions:**

## Business Use Cases

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1. A Scoring valuation is assigned to each Person (Actor) data element with a sum total valuation between 1 and 100.

### **Risks:**

1. Addition of new Person (Actor) data elements may require re-numeration/score valuations between existing and new elements in order to maintain the sum total score valuation between 1 and 100.

### **Dependencies:**

1. Scenarios and Person (Actor) matching rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. EDR Person (Actor) records must have a unique identifier to assign a Score valuation.
3. The EDR is ready to accept and store Person (Actor) data received from a Source System.
4. The EDR contains a validated and stored Person (Actor) in which Subject Score will be associated with.
5. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System not previously specifically identified.
6. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

## Use Case 10: Person (Actor) Data Management

**Id:** Use Case 10

**Version:** 0.2

**Scope:**

The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored Person (Actor) data from a Source System that must be validated and matched to other existing Actor record(s) within the AOC EDR.

An Authorized User could determine two Person (Actor) records should or should not be Associated and makes the determination to either manually Associate or Un-Associate the Person (Actor) records.

An Authorized User could enter a note regarding the Person (Actor) association determination and mark the Person (Actor) record with an association “Flag” and comment “Note” indicating whether the Person (Actor) record(s) should or should not be Associated and/or considered for future Auto-Association or other Person Matching criteria as outlined in Use Case 6: Identity Management Person (Actor) Matching and Association.

**Level:** User Goal

**Trigger:**

1. An Authorized User identifies two Person (Actor) records which either should or should not be Associated.
2. An Authorized User receives a Notification as outlined in Use Case 3: Notification Management, and reviews for further action.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>	X		<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>		X	
<i>Source System</i>	X		<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>		X	<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>		X	<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance to pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.

2. Well defined rules for all Person (Actor) Association “Flag(s)” must be identified, functional and fully tested to perform defined function.
3. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all Person (Actor) data received from a Source System
4. The EDR is ready to accept, store, cleanse and validate Address data from the mechanism, product, or other software solution. Use Case 5: Address Cleansing and Validation.
5. The EDR is ready to accept, store, and validate Phone Number data from the mechanism, product, or other software solution. Use Case 7: Phone Number Validation.
6. The EDR is ready to accept, store, and validate Email Contact data from the mechanism, product, or other software solution. Use Case 8: Electronic (Email) Contact Validation.
7. The EDR is ready to assign and store a “score” to new and updated Person (Actor) data received from a Source System as outlined in Use Case 9: Identity Management Person (Actor) Scoring.
8. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to compare new or updated Person (Actor) data received and stored from a Source System with existing stored, validated and “scored” Person (Actor) data in accordance with Use Case 6: Identity Management (Person) Actor Matching and Association.
9. The EDR contains stored, validated, scored (Use Case 9), and matched (Use Case 6) Person (Actor) data received from a Source System.
10. The EDR is ready and able to provide Auto-Associated, Probable, and “Fuzzy” Match Person (Actor) record matching results to Authorized Users.
11. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

**Post Condition(s):**Success End Condition:

An Authorized User has Associated or Un-Associated two Person (Actor) records, provides an Association “Flag” (e.g. Associate, Un-Associate, Do Not Associate in the future, etc.), provides a comment “Note” with regard to the association determination, a Person (Actor) association validation status is stored in the EDR, and a history is maintained.

**Main Success Scenario****Scenario 1: Authorized User Identifies Two Person (Actor) Records, which must be Manually Associated:**

1. An Authorized User identifies two Person (Actor) records which need to be Associated.
2. An Authorized User accesses the Notification Management System User Interface (UI) and indicates which Person (Actor) records need to be manually associated.
3. An Authorized User marks/provides an indicator association “Flag” to perform any or all of the following actions:
  - a. Associate
  - b. Do Not Un-Associate in the Future
4. An Authorized User provides a comment “Note” with regard to the association determination.
5. The EDR stores the Association(s) of the Person (Actor) records.
6. The EDR stores the date and time the Person (Actor) records were manually associated.
7. The EDR stores the status, date, and time of the association indicator “Flag”.
8. The EDR stores the status, date, and time of the association comment “Note”.
9. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Person (Actor) data received;

**When** an Authorized User manually Associates two Person (Actor) records;

**Then** the EDR shall Associate the Person (Actor) records, an association indicator “Flag”, comment “Note”, and a history is maintained.

**Scenario 2: Authorized User Identifies Two Person (Actor) Records which must be Un-Associated:**

1. An Authorized User identifies two Person (Actor) records, which need to be Un-Associated.
2. An Authorized User accesses the Notification Management System User Interface (UI) and indicates which Person (Actor) records need to be manually un-associated.
3. An Authorized User marks/provides an indicator association “Flag” to perform any or all of the following actions:
  - a. Un-Associate
  - b. Do Not Auto-Associate in the Future {[Level 1-Person \(Actor\) Matching UC00006](#)}
4. An Authorized User provides a comment “Note” with regard to the un-association determination.
5. The EDR stores the Un-Association(s) of the Person (Actor) records.
6. The EDR stores the date and time the Person (Actor) records were manually Un-Associated.
7. The EDR stores the status, date, and time of the association indicator “Flag”.
8. The EDR stores the status, date, and time of the association comment “Note”.
9. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Person (Actor) data received;

**When** an Authorized User manually Un-Associates two Person (Actor) records;

**Then** the EDR shall Un-Associate the Person (Actor) records, a un-association indicator “Flag”, comment “Note”, and a history is maintained.

**Scenario 3: Authorized User Reviews and Takes Action on Notification Regarding Person (Actor) Auto-Associate, Probable or Fuzzy Match:**

1. An Authorized User logs on to access the Notification Management system to view their Notifications.
2. An Authorized User reviews the Notification to take action with regard to one of the following:
  - a. Level 1 – Person (Actor) records Auto-Associated
  - b. Level 2 – Person (Actor) records ‘Probable’ Match
  - c. Level 3 – Person (Actor) records ‘Fuzzy’ Match
3. An Authorized User marks/provides an indicator association “Flag” to perform any of the following actions to one or more Person (Actor) records identified in Level 1, Level 2, or Level 3 Identity Management Person (Actor) matching criteria:
  - a. Associate
  - b. Do Not Associate
  - c. Do Not Associate or Consider for Future Auto, Probable, or Fuzzy match Association in the Future
4. An Authorized User provides a comment “Note” with regard to the association determination.
5. An Authorized User marks the Notification as complete.

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6. The EDR stores the Association(s) or Non-Association(s) of the Person (Actor) records.
7. The EDR stores the status, date, and time of the association indicator “Flag”.
8. The EDR stores the status, date, and time of the association comment “Note”.
9. The EDR stores the date and time the Notification was marked complete.
10. A history is maintained.

### Acceptance Criteria

**Given** the EDR has stored Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Person (Actor) data received;

**When** an Authorized User accesses the Notification Management system and marks a Notification as completed;

**Then** the EDR shall store the Association(s) or Non-Association(s) of the Person (Actor) records; **and** the EDR shall store the status, date, and time of the association indicator “Flag”; **and** the EDR shall store the status, date, and time of the association comment “Note”; **and** the EDR shall store the date and time the Notification was marked complete; **and** a history is maintained.

## Alternate Success Scenario

### **Alternate Post Condition(s):**

#### Success End Condition:

An Authorized User reviews a Notification that data between two Person (Actor) records, which are currently associated, has been updated, and the updates entered no longer pass the pre-defined Identity Management Person (Actor) Association and Matching criteria as outlined in Use Case 6.

An Authorized User has Associated or Un-Associated the Person (Actor) records, provides an Association “Flag” (e.g. Associate, Un-Associate, Do Not Associate in the future, etc.), provides a comment “Note” with regard to the association determination, the Notification is marked completed, a Person (Actor) association validation status is stored in the EDR, and a history is maintained.

### **Alternate Scenario 1: Authorized User Reviews and Takes Action on Notification Regarding Person (Actor)**

#### **Association in Conflict:**

1. An Authorized User logs on to access the Notification Management system to view their Notifications.
2. An Authorized User reviews the Notification and Actor (Person) records identified as a potential conflict association an either:
  - a. Corrects conflicting data within the Actor (Person) records; or
  - b. Determines there is no correction needed.
3. An Authorized User marks/provides an indicator association “Flag” to perform any of the following actions to one or more Person (Actor) records identified in the Notification.
  - a. Associate
  - b. Associate – Do Not Consider for Future “Association in Conflict” Notifications
  - c. Do Not Associate
4. An Authorized User provides a comment “Note” with regard to the association determination.
5. An Authorized User marks the Notification as complete.
6. The EDR stores the Association(s) or Un-Association(s) of the Person (Actor) records.
7. The EDR stores the status, date, and time of the association indicator “Flag”.
8. The EDR stores the status, date, and time of the association comment “Note”.

9. The EDR stores the date and time the Notification was marked complete.
10. A history is maintained.

**Acceptance Criteria**

**Given** the EDR has stored Person (Actor) data from a secure authorized source;

**And** the EDR has traceability to the source of the Person (Actor) data received;

**When** an Authorized User accesses the Notification Management system and marks a Notification as completed;

**Then** the EDR shall store the Association(s) or Non-Association(s) of the Person (Actor) records; **and** the EDR shall store the status, date, and time of the association indicator “Flag”; **and** the EDR shall store the status, date, and time of the association comment “Note”; **and** the EDR shall store the date and time the Notification was marked complete; **and** a history is maintained.

**Diagrams/Flow-Charts/Attachments**

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s):

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

**Constraints:**

1. Person (Actor) association/un-association is constrained by Person (Actor) matching criteria in accordance with Use Case 6: Identity Management (Person) Actor Matching and Association and Authorized User knowledge base.
2. Existing Person Business Rules need review for updates to accommodate EDR vision and Person (Actor) matching/identification.
3. Education/Change Management processes need to be in place with regard to the EDR, Person (Actor) Matching, and Notification Management processes.

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:**

1. Upon review by an Authorized User and storing of review completion notification pertaining to new or updated Person (Actor) data Association(s) identified through the Person (Actor) matching process (Use Case 6) to which a Notification (Use Case 3) is provided to Authorized User.
2. Any time an Authorized User identifies two Person (Actor) records in which the Authorized User takes manual action to associate or un-associate Person (Actor) records.

**Assumptions:**

1. The Data Validation mechanism, product, or other software solution will have the capability to perform Person (Actor) data validation in near real time.
2. All Pre-Conditions noted are in place, functional, and fully tested.

**Risks:**

1. The Data Validation mechanism, product, or other software solution may not be available to provide the qualitative capacity necessary for “Fuzzy” name matching criteria.
2. The Data Validation mechanism, product, or other software solution may not be available to provide the qualitative capacity necessary for address cleansing.
3. The Association “Flag” or comment “Note” may not be compatible with the EDR architectural design.
4. Detailed Person (Actor) Relationship History information will be unavailable for all Person (Actor) records to use for matching criteria.

**Dependencies:**

1. Scenarios and Person (Actor) matching rules are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. The EDR is ready to accept and store Person (Actor) data received from a Source System.
3. The EDR is ready to accept and store Relationship History information from a Source System.
4. The EDR contains validated, scored, and stored Person (Actor) data/record(s).
5. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to provide “Fuzzy” name comparisons and matches received from a Source System.
6. The EDR must have a mechanism, product, or other software solution in place that is functional and fully tested to cleanse and validate all addresses, phone numbers, and electronic contacts received and stored from a Source System.
7. The EDR is ready to accept and store Address data received from a Source System.
8. The EDR is ready to accept and store cleansed and validated address types from the mechanism, product, or other software solution
9. The EDR is ready to provide cleansed and validated addresses to Authorized Users.
10. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System not previously specifically identified.
11. Well defined rules for all Person (Actor) Association “Flag(s)” must be identified, functional and fully tested to perform defined function(s).
12. Capability to capture, store and display Authorized User association comment “Notes” must be functional and fully tested.
13. A Notification Management process and user interface must be functional and fully tested to ensure accessibility and management capabilities for Authorized Users to review and take action on various notification statuses as outlined in Use Case 3: Notification Management.

## Use Case 11: Validation Rules Management

**Id:** Use Case 11

**Version:** .1

**Scope:**

The Administrative Office of the Courts Enterprise Data Repository (AOC EDR) has stored data from a Source System, which must be validated and assigned a validation status based upon pre-defined Validation Rules.

The EDR must have a Validation Rules Management mechanism, product, or software solution in place to enable, disable or archive existing, created or updated Validation Rules in a historically documented, categorically indexed, easily assessable, and navigational manner.

**Level:** System/Application

**Trigger:** Created or Updated Validation Rules must be enabled or disabled in the EDR.

**Actors:**

Actor Name	Primary	Supporting	Comments
<i>Authorized User or Automated Process</i>		X	<i>Court users or other court officials, justice partners, or automated processes such as data exchanges may act in this role</i>
<i>AOC INH/EDR</i>	X		
<i>Source System</i>		X	<i>This may include JIS, Odyssey, JCS, or other Case Management System (CMS)</i>
<i>AOC IT</i>	X		<i>This may include Subject Matter Experts (SME's)</i>
<i>Data Validation</i>	X		<i>This may be a mechanism, product, or software solution which performs data validation processes in accordance with pre-defined validation rules</i>
<i>Notification Management System</i>	X		<i>This may be a mechanism, product, or software solution which sends and/or receives data notifications in accordance with pre-defined notification rules</i>

**Stakeholders and Interests:**

The stakeholders include the public and their safety, the court litigant(s) and/or participant(s) and their constitutional rights, judicial officers, law enforcement, and other justice partners.

**Pre-Condition(s):**

1. The EDR is ready to accept and store data received from a Source System.
2. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for data received from a Source System.
3. The EDR contains stored data received from a Source System.
4. A secure user interface (UI) must be in place that is functional and fully tested for Authorized Users to perform Notification Management tasks in accordance with pre-defined Notification Management levels and rules.

**Post Condition(s):****Success End Condition:**

A created or updated Validation Rule which must be Enabled, Disabled, or Disabled and Archived is stored in the EDR and is categorically indexed and historically documented in a Validation Rules Management system.

**Main Success Scenario****Scenario 1: Created or Updated Validation Rule must be Enabled or Disabled:**

1. AOC INH/EDR and/or AOC IT determines there is a created or updated Validation Rule.
2. AOC INH/EDR and/or AOC IT marks/provides a Validation Rule “Flag” status to perform one of the following functions to the Validation Rule on a specific date:
  - a. Enabled
  - b. Disabled
  - c. Disabled and Archive
3. AOC INH/EDR and/or AOC IT provides a comment “Note” with regard to the Validation Rule “Flag” status determination.
4. The Validation Rules Management system records the date and time the Validation Rule was enabled, disabled, or disabled and archived.
5. The Validation Rules Management system historically documents, and categorically indexes the Validation Rule with:
  - a. Validation Rule “Flag” status (Enabled, Disabled, Disabled and Archived)
  - b. The date and time the Validation Rule was stored.
  - c. The date and time the Validation Rule is to be enabled, disabled, or disabled and archived...
  - d. The Validation Rule comment “Note”
6. A history is maintained.

**Acceptance Criteria**

**Given** AOC INH/EDR or AOC IT have created or updated Validation Rules;

**And** the EDR has traceability to the source of the Validation Rule;

**When** a created or updated Validation Rule is provided;

**Then** the Validation Rules Management system shall categorically index and store the Validation Rule;  
**and**

store the date and time of the Validation Rule “Flag” status; **and**

store the date and time the Validation Rule was stored; **and**

store the date and time the Validation Rule is to be Enabled, Disabled, or Disabled and Archived;

**and**

store the Validation Rule comment “Note”, and a history is maintained.

## Diagrams/Flow-Charts/Attachments

**Traceability:** See Appendix N3: Master Requirements/Use Case Flow Traceability Chart

Business Driven Directive Scenario(s)

See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies) in addition to the following:

### Constraints:

**Performance/Time Standards:** See Data Validation Standard Use Case CARD (Constraints, Assumptions, Risks, Dependencies)

**Frequency:** On demand, in near real time.

### Assumptions:

1. The Data Validation mechanism, product, or other software solution will have the capability to perform data validation in near real time in order to provide near real time notification accessibility through the Notification Management user interface.

### Risks:

1. The Validation Rules Management mechanism, product, or other software solution will not have the capability enable or disable existing, created or updated Validation Rules on demand, in near real time.
2. The Validation Rules Management mechanism, product, or other software solution will not be compatible with the EDR architectural design.

### Dependencies

1. Scenarios and Notification Management System are dependent upon the EDE JIS Systems Changes Governance Committee input & further review.
2. Initial pre-defined Validation Rules must be identified.
3. The EDR must have a mechanism, product, or software solution in place that is functional and fully tested to perform data validation processes in accordance with pre-defined validation rules for all data received from a Source System.

4. The EDR must be ready to accept and store data received from a Source System.  
The EDR must be ready to accept and store validated data from the mechanism, product, or other software solution.
5. The EDR contains a stored and validated data.
6. The EDR is ready to provide validated data and validation status to Authorized Users.



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# Expedited Data Exchange Identity Management Level 1 Person (Actor) Auto-Associate Matching Criteria

By

Kim Bush, Business Analyst, System Integrator

8-18-2016

## Introduction:

The goal of Level 1 - Person (Actor) Matching Auto-Associate is to identify person records based on a set of defined business rules and associate the records for a complete case history. The Auto-Associate function would be completed electronically with the EDR database and a potential Notification sent to the source case management system. Authorized Court Users will have the ability to un-associate person records if necessary and “flag” or “note” the records are not the same person and should not be associated.

The Expedited Data Exchange Systems Changes Governance Committee voted to approve the Level 1 - Person (Actor) Matching Auto-Associate proposal seeking an enhanced EDR Person Business Rule requiring four (4) exact data matches before electronically associating person records. This rule also requires that data conflicts or a “flag” or “note” must not exist indicating “Do Not Associate” must not exist.

Valid data such as Date of Birth, is defined as data in which has been validated in accordance with the EDR’s data validation rules as being “good” (e.g. date is equal to or less than today’s date). The data element must match to standard reference tables and to JIS Data Standards for Alternative Electronic Court Record Systems (e.g. Gender of Male or M is a standard value. Boy is not). Data is not valid for a match comparison for Level 1 – Person (Actor) Auto Associate if the value is unknown, blank, or null.

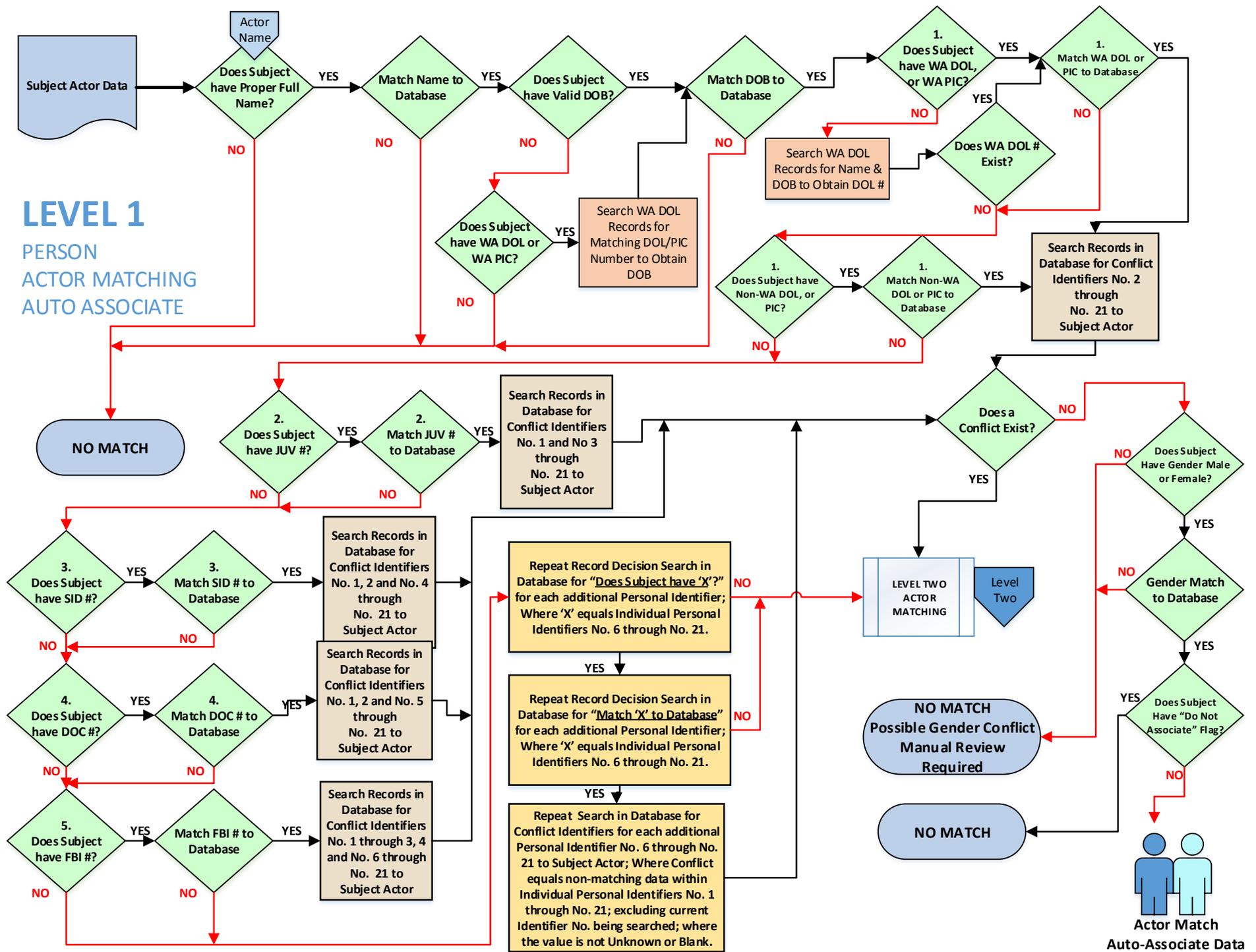
Level 1 – Person (Actor) Auto-Associate Match criteria is as follows:

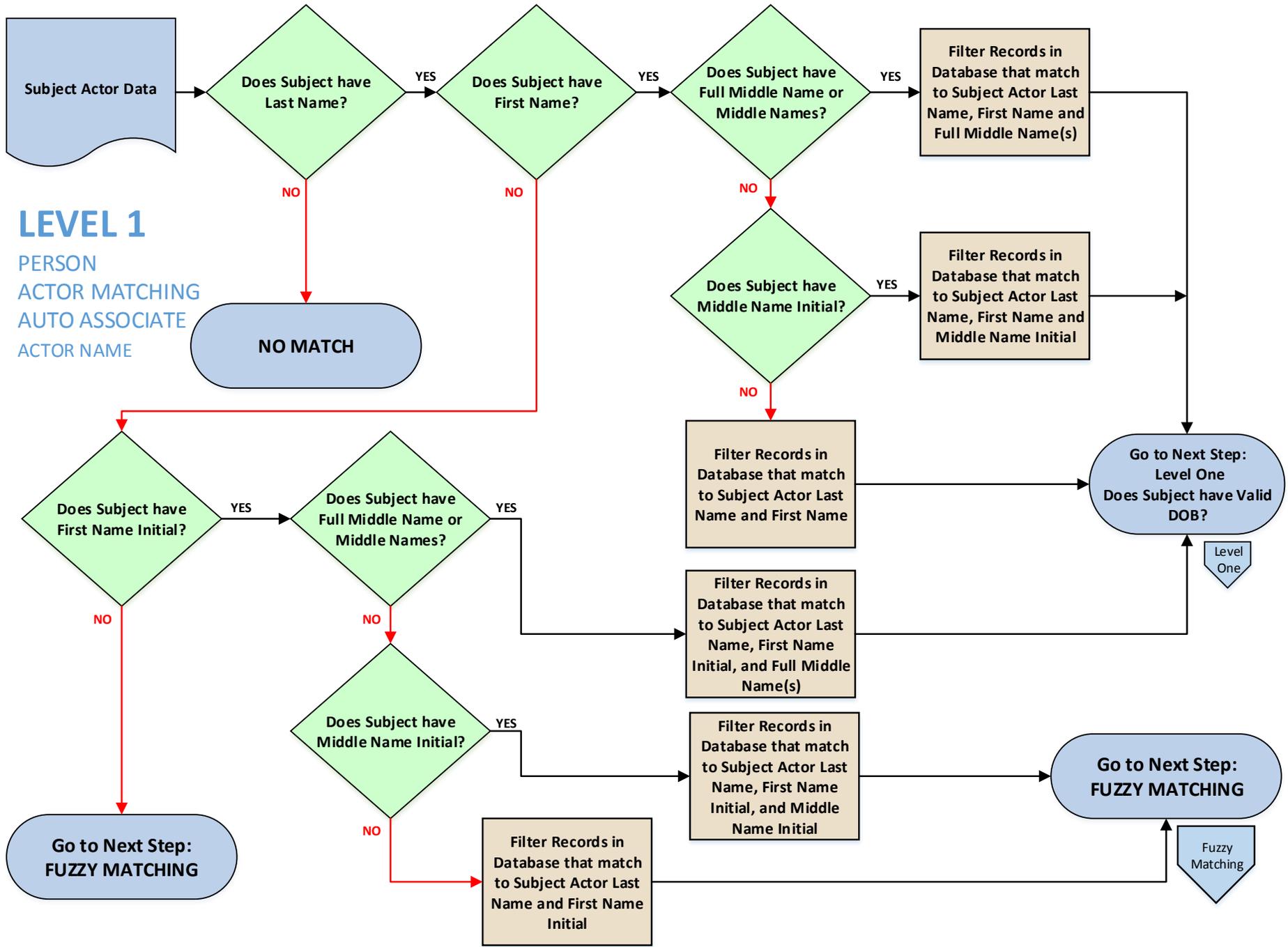
1. Matching Proper Full Name; **and**
2. Matching valid Date of Birth; **and**
3. Match with at least one (1) valid Personal Identifier (see list) that is not Unknown or Blank; **and**
4. No conflicts exist between Personal Identifiers (when present) where the value of Unknown or Blank is not a conflict; **and**
5. Matching Gender; **and**
6. Does not have a “Do Not Associate” indicator “flag”.

If the criteria is met, records would be Auto-Associated and a notification sent.

The following pages include additional information regarding the Person (Actor) Auto-Associate matching criteria.

**LEVEL 1**  
PERSON  
ACTOR MATCHING  
AUTO ASSOCIATE





**LEVEL 1**  
 PERSON  
 ACTOR MATCHING  
 AUTO ASSOCIATE  
 ACTOR NAME

# LEVEL 1

## PERSON

### ACTOR MATCHING

#### AUTO-ASSOCIATE

##### **Auto-Associate Match Criteria:**

1. Matching Proper Full Name; **and**
2. Matching valid Date of Birth; **and**
3. Match with at least one (1) valid Personal Identifier (see list) that is not Unknown or Blank; **and**
4. No conflicts exist between Personal Identifiers (when present) where the value of Unknown or Blank is not a conflict; **and**
5. Matching Gender; **and**
6. Does not have a “Do Not Associate” indicator “flag”.

If the criteria is met, records would be Auto-Associated and a notification sent.

A **Proper Full Name** is defined as one of the following:

1. Last Name, First Name, Full Middle Name
2. Last Name, First Name, Middle Names (more than one)
3. Last Name, First Name, Middle Name Initial
4. Last Name, First Name

A **Valid Date of Birth** is defined as:

A Date that has month, day, and year; **and**

Is less than or equal to Today's Date; **and**

Is less than or equal to the Date of Death, if a Date of Death is present.

##### **Personal Identifiers:**

1. Drivers License Number or PIC Number (All States/Countries)
2. Juvenile Number (JUV)
3. State Identification Number (SID)
4. Department of Corrections Number (DOC)
5. Federal Bureau of Investigation Number (FBI)
6. DOD Uniform Services ID Card
7. DOD Common Access Card (CAC)
8. Tribal ID Card
9. Passport Card
10. Passport Book
11. Global Entry ID Card
12. NEXUS ID Card
13. SENTRI ID Card/Pass
14. U.S. Permanent Resident ID Card
15. U.S. Certificate of Citizenship
16. U.S. Certificate of Naturalization
17. U.S. Employment Authorization Card
18. Consular Report of Birth Abroad of a Citizen of the USA
19. Certification of Report of Birth of US Citizen
20. Certified Birth Certificate
21. Certified Death Certificate

Expedited Data Exchange  
Identity Management  
Level 2 - Person (Actor) Matching  
Proposed Probable Match Criteria

By

Kim Bush, Business Analyst, System Integrator

8-16-2016

## Introduction:

The goal of Level 2 - Person (Actor) Probable Match criteria is to identify two or more person records based on a set of defined business rules which may be the same person. This process could identify like individuals for a more complete case history. The Probable Match function would be completed electronically with the EDR database and a Notification sent to the source case management system for further review of the association status. Authorized Court Users will have the ability to associate and un-associate person records if necessary and “flag” or “note” the records when they are not the same person and should not be associated.

Current Person Business Rule 3.30 requires sameness (not necessarily exact) of three (3) personal identifiers. The Level 2 - Person (Actor) Probable Match proposal seeks an enhanced EDR Person Business Rule requiring five (5) exact data matches between two or more person records when identifying a “Probable” match when no personal identifier (DOL, SID, DOC, FBI, JUV, etc.) exists. This rule also requires that data conflicts or a “flag” or “note” indicating “Do Not Associate” must not exist with the records.

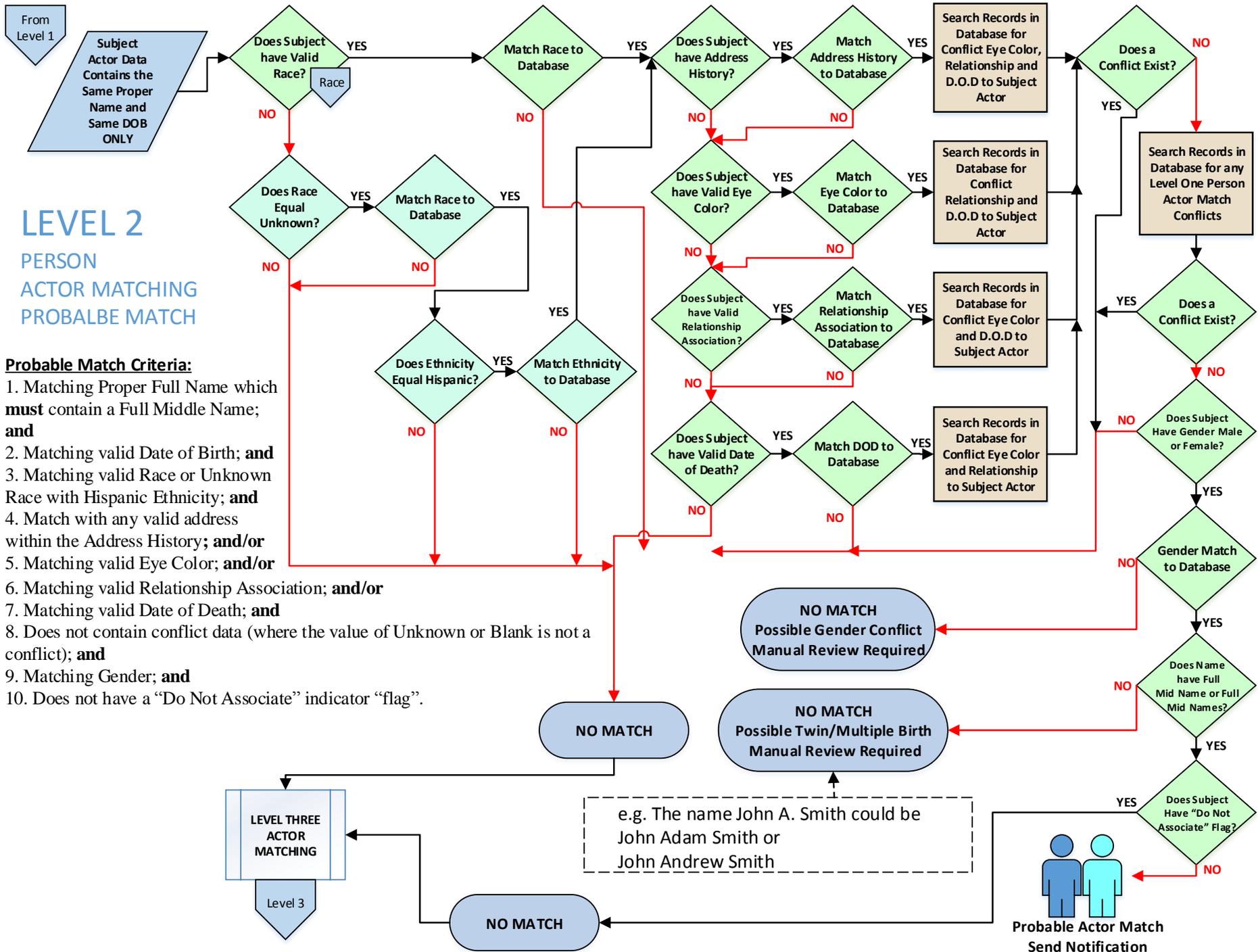
Valid data such as Date of Birth, is defined as data in which has been validated in accordance with the EDR’s data validation rules as being “good” (e.g. date is equal to or less than today’s date). The data element must match to standard reference tables and to JIS Data Standards for Alternative Electronic Court Record Systems (e.g. Eye Color of blue is a standard value. Beige is not). With the exception of an unknown Race with Hispanic Ethnicity, data is not valid for a match comparison for Level 2 – Person (Actor) Probable Match if the value is unknown, blank, or null.

Level 2 – Person (Actor) Probable Match criteria is proposed as follows:

1. Matching Proper Full Name which **must** contain a Full Middle Name; **and**
2. Matching valid Date of Birth; **and**
3. Matching valid Race or Unknown Race with Hispanic Ethnicity; **and**
4. Match with any valid address within the Address History; **and/or**
5. Matching valid Eye Color; **and/or**
6. Matching valid Relationship Association; **and/or**
7. Matching valid Date of Death; **and**
8. Does not contain conflict data (where the value of Unknown or Blank is not a conflict);  
**and**
9. Matching Gender; **and**
10. Does not have a “Do Not Associate” indicator “flag”.

If the criteria is met, a Probable Match would be identified, and a notification would be sent.

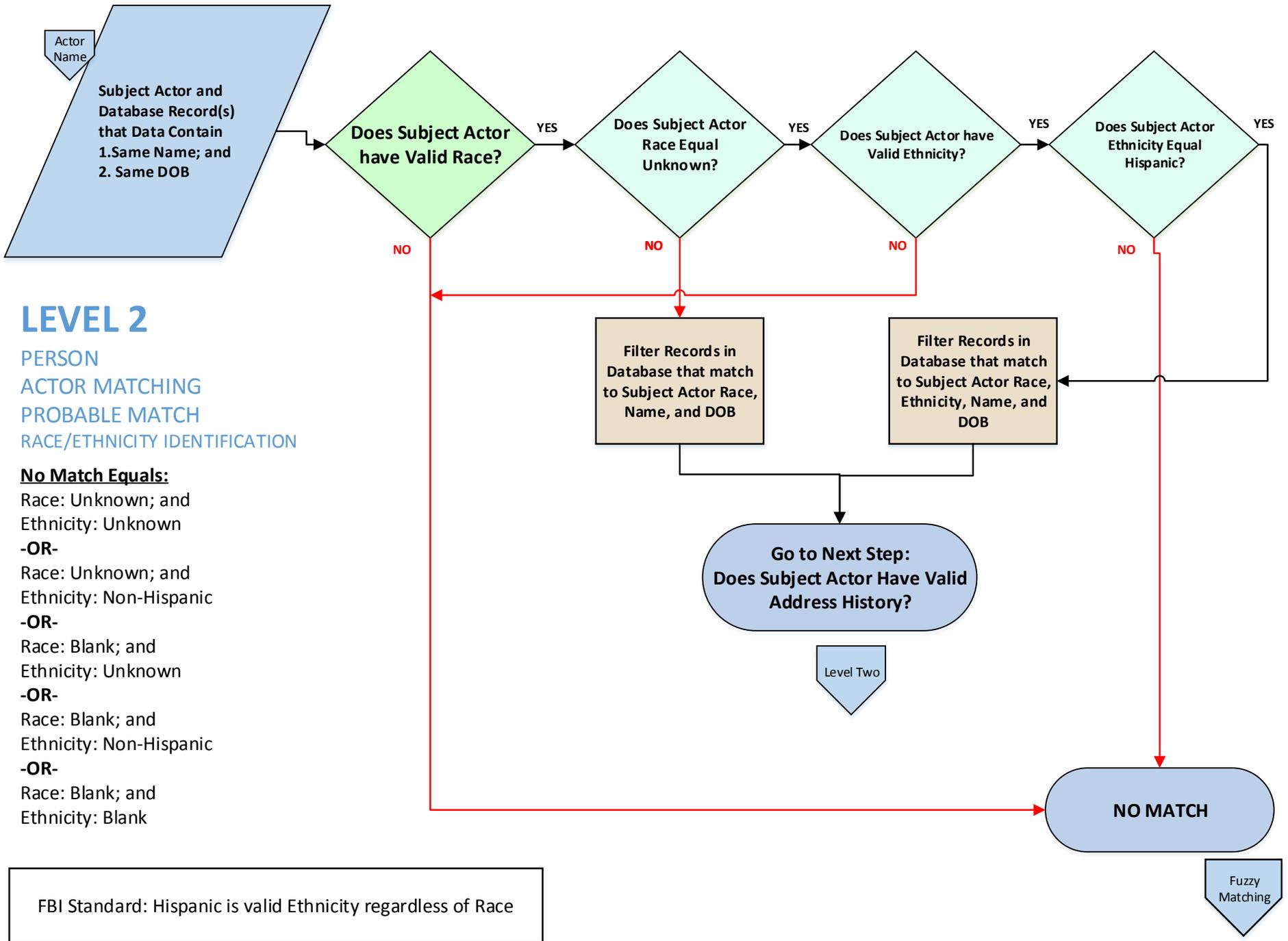
The following pages include additional information regarding the Person (Actor) Probable matching criteria.



## LEVEL 2 PERSON ACTOR MATCHING PROBALBE MATCH

### Probable Match Criteria:

1. Matching Proper Full Name which **must** contain a Full Middle Name; **and**
2. Matching valid Date of Birth; **and**
3. Matching valid Race or Unknown Race with Hispanic Ethnicity; **and**
4. Match with any valid address within the Address History; **and/or**
5. Matching valid Eye Color; **and/or**
6. Matching valid Relationship Association; **and/or**
7. Matching valid Date of Death; **and**
8. Does not contain conflict data (where the value of Unknown or Blank is not a conflict); **and**
9. Matching Gender; **and**
10. Does not have a "Do Not Associate" indicator "flag".



<b>Master Requirements/Use Case Flow Traceability Chart</b> Data Validation				Case Validation	Actor Validation	Validation Notification	Reference Data	Address Cleansing Validation	Identity Management Actor Matching and Association	Phone Number Validation	Electronic Communication Contact Validation	Identity Management Actor Scoring	Person (Actor) Data Management	Validation Rules Management
				Use Case 1	Use Case 2	Use Case 3	Use Case 4	Use Case 5	Use Case 6	Use Case 7	Use Case 8	Use Case 9	Use Case 10	Use Case 11
Classification	Requirement No.	Description	Level											
Address Validation	DVBRQ-001	The solution shall execute Address Validation in near real time at the time of create or update of address data.	Mandatory					x						
Address Validation	DVBRQ-002	The solution shall check for mandatory data elements of Street, City, State, and Zip Code, needed to Validate Address	Mandatory					x						
Address Validation	DVBRQ-003	The solution shall store a validation status and a notification when mandatory Address data elements are not met.	Mandatory					x						
Address Validation	DVBRQ-004	The solution shall invoke Address Validation when mandatory data elements are met.	Mandatory					x						
Address Validation	DVBRQ-005	The solution shall perform Address Validation in accordance with United States, Canada, and Mexico Postal Standards using a USPS certified software solution.	Mandatory					x						
Address Validation	DVBRQ-006	The solution shall perform Address Validation in accordance with all Foreign Postal Standards using a certified postal software solution	Optional					x						
Address Validation	DVBRQ-007	The solution shall be able to distinguish between residential and business addresses.	Optional					x						
Address Validation	DVBRQ-008	When the source address is identical to the Postal Standard address, the solution shall provide a Postal Standard validation status.	Mandatory					x						
Address Validation	DVBRQ-009	When the source address returns a single Postal Standard correction, the solution shall end date the source address, store the validated returned Postal Standard address, and provide a Postal Standard validation status, and store a notification.	Mandatory					x						
Address Validation	DVBRQ-010	When the source address returns multiple Postal Standard corrections, the solution shall store a validation status to the source address identifying multiple cleansed addresses, and store a notification.	Mandatory					x						





Phone Number Validation	DVBRQ-038	The solution shall execute Phone Number Validation in near real time at the time of create or update of Phone Number data.	Optional							x				
Phone Number Validation	DVBRQ-039	The solution shall be able to distinguish between connected or disconnected Phone Number accounts.	Optional							x				
Phone Number Validation	DVBRQ-040	The solution shall be able to distinguish between valid and invalid Phone Number data.	Optional							x				
Phone Number Validation	DVBRQ-041	The solution shall be able to distinguish the type of Phone Number (Cellular, Land Line, Fax, Residential, Business, Toll Free)	Optional							x				
Phone Number Validation	DVBRQ-042	The solution shall store a validation status and notification	Optional							x				
Reference Data	DVBRQ-043	Data Validation shall use both the Source and the Standard Reference Data stored in the EDR for validation.	Mandatory				x							
Validation	DVBRQ-044	The solution shall validate data in accordance with pre-defined validation rules.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-045	The solution shall provide and store a validation status.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-046	The solution shall maintain a history of the data and its validation status.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-047	The solution shall provide a unique notification associated with an error.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-048	The solution shall validate data in near real time when any alteration (create, update, delete) is stored.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-049	The solution shall have the capability to re-validate data at configurable intervals based on a scheduled event.	Optional	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-050	The solution shall have the capability to execute rules in a defined sequence.	Optional	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-051	The solution shall have the capability to execute rules in a configurability defined sequence.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-052	The solution shall have the capability to disable through configuration the execution of a defined rule.	Optional	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-053	The solution shall have the capability to disable the execution of a defined rule.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-054	The solution shall have the capability of accommodating parameterized rules.	Optional	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-055	The solution shall have the capability to execute a select set of rules on demand.	Mandatory	x	x	x		x	x	x	x	x	x	x
Validation	DVBRQ-056	The data validation processes that can be triggered in batch mode shall have the ability to set the batch size or time limit(s).	Optional	x	x	x		x	x	x	x	x	x	x

