# EXHIBIT 1

# Requirements Specifications
# ADR Evaluation Support System
# Mediation and Conflict Resolution Office

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# ADR Evaluation Support System
# Mediation and Conflict Resolution Office
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# Detail Requirements
# ADR Evaluation Support System

## 1.0 Overview

### *1.1 Purpose*

The purpose of this document is to define the requirements for developing a web-based data collection and reporting system for the Maryland Mediation and Conflict Resolution Office (MACRO) called the ADR Evaluation Support System (ADRESS).

### *1.2 Document Structure*

This document first provides background information and an overview of the ADRESS requirements in Section 1.0. It describes the business process that will be used in the court systems to collect and report data in section 2.0 and then details the software requirements specifications in subsequent sections.

### *1.3 Background*

The Maryland Mediation and Conflict Resolution Office (MACRO) is an agency within Maryland's Judiciary. MACRO serves as an alternate dispute resolution (ADR)[1] resource for the state, supports innovative dispute resolution programs, and promotes the appropriate use of ADR in every field. As a resource for the courts, MACRO works collaboratively with court personnel to support their efforts to create, expand, enhance, and evaluate dispute resolution programs that meet local needs. More information about MACRO can be found on their web site at http://www.courts.state.md.us/macro.

In Maryland, there are two levels of trial courts. The upper level trial courts are the circuit courts. There are 24 jurisdictions in Maryland, including Baltimore City, each of which independently administers its own circuit court. Each of these circuit courts administers its own ADR programs, in both civil and family divisions. The lower level trial court is the District Court, which is a unified statewide system. The District Court has its own Office of Alternative Dispute Resolution, which administers its programs around the state.

[1] Maryland Rule 17-102(b) defines alternative dispute resolution (ADR) "as the process of resolving matters in pending litigation through a settlement conference, neutral case evaluation, neutral fact-finding, arbitration, mediation, other non-judicial dispute resolution process, or combination of those processes."

In each jurisdiction, there may be several ADR programs in each of these courts directed towards resolving the different types of conflicts arising in each. For example, one circuit court may have mediation and settlement facilitation programs in both its civil and family divisions, while another circuit court may choose to have mediation only in the family division but not in the civil division. Additionally, while one circuit court might have mediation for both contested parenting cases (custody and visitation) and marital property issues, another jurisdiction might choose to have only mediation for the contested parenting cases, but not for marital property issues. Each circuit court is free to choose which ADR programs it wants to use. Currently, all circuits have mediation programs for parenting issues, but after that, there are no patterns. Similarly, in the civil divisions, each circuit not only decides whether it wants to have mediation and/or settlement conference programs, but also which kinds of civil cases are referred to those programs.

In the District Court, although all programs are administered from one central office, the kinds of programs that each district court location will have may also be varied.

Currently, there are 81 court-based ADR programs in Maryland, coordinated from 36 different offices. MACRO's goal is to gather and disseminate information from these programs into a useful framework. The information will be used to improve the use of ADR within each jurisdiction, and the effectiveness of each court program statewide, and perhaps to be used as a model nationwide.

Please note: The term "alternative dispute resolution" or "ADR" used throughout this document refers to either mediation or settlement conference.

## *1.4 ADRESS Overview*

The ADRESS system is designed to help Alternative Dispute Resolution (ADR) Program Coordinators and MACRO to evaluate court ADR mediation and settlement conference programs. ADRESS will be a data collection and reporting system that must ultimately have the capacity to collect, store and analyze discreet data from different court programs in both the Circuit and District Courts in all 25 Maryland jurisdictions. Data will be collected via participant and lawyer exit surveys and mediator or facilitator reports and will be enhanced with case data from the Judicial Information Systems (JIS) Case Search data warehouse.

### 1.4.1 Current Implementation

Currently, there are 81 court-based ADR programs in Maryland, coordinated from 36 different offices. Some court ADR systems have evaluation surveys in place that are used primarily to identify problem issues. Due to lack of personnel resources and low participation rates, the results are not regularly compiled into meaningful statistics. Other ADR programs have no mechanism for obtaining information about the effectiveness of the ADR process at all. One of the goals of the ADRESS project is to obtain appropriate and uniform information across all jurisdictions about the effectiveness of mediation and other forms of conflict resolution.

### 1.4.2 ADRESS Implementation

The first Phase of the ADRESS project was to implement the use of scan-able forms for collecting the evaluation data completed by the litigants, attorneys and mediators. MACRO is implmenting the ClassClimate software from Scantron for their scanning solution. Specifications and functionality for this software is available on the Scantron web site at www.scantron.com.

Additional case data will be obtained from the JIS Case Search data warehouse that will be integrated with the data from the scanning software. The main vehicle for reporting and analysis will be the ADRESS Internet web site that will allow secure access to the survey results by the ADR coordinators, Court Personnel and MACRO staff and provide robust specific and aggregate reporting.

## *1.5 Scope*

The scope of this project is to launch a pilot of the ADRESS system in four pilot sites:

1. Circuit Court for Baltimore City
2. Baltimore County Circuit Court
3. Worcester County Circuit Court
4. District Court Administration (for all district court ADR which is centralized in one office)

The software development and implementation will include:

1. Integration of survey data collected by the Scantron ClassClimate Software.
2. Creation and delivery of a secure web interface to obtain case data from the JIS Case Search Data Warehouse to send to the ClassClimate software and utilize for audit controls and statistical reporting.

3. Creation and delivery of the ADRESS web based data collection and reporting system for ADR Coordinators, MACRO and other court personnel.

# 2.0 Product and Business Process

## *2.1 Product Perspective*

The ADRESS system will fulfill these general requirements:

1. Mediator Roster
   Manage a database of mediators who are registered with the court system(s) with pertinent information about status, qualifications and certifications. The system will store and retrieve a roster of mediators that can be integrated with the data that is captured for the surveys and activity reports.
2. Survey Design
   Surveys need to be flexible in design and format and must allow for customized questions for certain ADR programs. The ClassClimate software provides the ability to design multiple surveys that can have different question formats and customized questions.
3. Survey Preparation
   Provide the capability to capture the case information and demographics of the case before ADR takes place from the JIS Case Search Data Warehouse. This information would be used to update ClassClimate which will prepare and print the survey forms to be distributed to the participants prior to the ADR process. Also allow this information to be encoded on the survey forms to be scanned into the system.
4. Survey Capture
   Survey data will be scanned into systems and loaded into the ClassClimate database. This data must be extracted from the ClassClimate database and loaded into the ADRESS central database.
5. Case Data Update
   Update the case information on a periodic basis from the JIS Case Search Data Warehouse to provide as much statistical breakdown as possible. This may include case activity data over the lifetime of a case.
6. Database Reporting and Analysis
   The ADRESS database should be accessible to the users through the Internet with the ability to access information for a specific court and a specific program. It should also provide the ability to aggregate results with other jurisdictions and statewide statistics.
7. Mailing System
   Follow-up and other scheduled surveys will be sent to the participants in bulk mailings and bulk emails and the lists

exported when needed. Some follow-up surveys will be completed by telephone interview in conjunction with the research project coordinated by Salisbury University.

8. Data Export
   A data export in Excel format for survey details and participant demographics that will allow the data to be filtered to select information for specific mediator groups, jurisdictions, etc. and specific data related to the Maryland Program for Mediator Excellence (MPME) program.
9. Administration
   Secure access to the site functionality must be provided for each court program to have the access to their own information and for MACRO to access all information in the database.

## *2.2 User Roles and Responsibilities*

### 2.2.1 Roles

Initially, ADRESS will be accessible to users within the MACRO offices and the ADR coordinators in the offices in each if the courts. The user roles may be expanded to include judges and mediators in the future.

| Role | Responsibilities |
|---|---|
| Administrators | MACRO and JIS personnel who are responsible for establishing user and site access to the system. |
| ADR Coordinators | Administrators of ADR programs in the courts who will perform the day to day processing as well as reporting on the system. |
| MACRO ADR Directors | MACRO management who will have access to all reporting mechanisms of ADRESS. |
| MPME Mediators | Mediators who are registered and authenticated on the MPME website will have access to survey reports. |

### 2.2.2 Programs

**Circuit Court Programs**

Each ADR coordinator in the Circuit Court is responsible for managing their program in one jurisdiction. There are circuit court systems in the 24 Maryland county jurisdictions and Baltimore City. The programs in these courts include:

1. Family Mediation
2. Civil Mediation and Settlement Conferences

The ADRESS system will only provide access for the ADR coordinators to their own jurisdiction and their own program.
Note: One case may have more than one form of ADR, i.e. mediation and settlement conference.

**District Court Programs**
The District Court program is managed centrally in the District Court Headquarters in Annapolis.

**Community Mediation Programs**
Community mediation programs will also be using the system and would be setup in with similar requirements as the Ciricuit Court.

**Independent Mediation**
Attorneys provide ADR services in their offices that are independent of the courts or community mediation. MACRO intends to allow mediators who wish to have survey information captured for their programs send the surveys to MACRO to be loaded into the ADRESS system.

## *2.3 System Components*

The ADRESS system will have three components that will comprise the complete system:

1. ClassClimate from Scantron
   This is a COTS software package installed on a central server that will allow ADR Coordinators to import case data, print survey forms, scan completed forms and print survey results.
2. JIS Case Search Data Warehouse Interface
   This component will be a web service that allows the ADRESS system to request case data from the JIS database based upon case number. When collected, the data will be made accessible to the ClassClimate system.
3. ADRESS Reporting System
   The ADRESS will be a custom web application built upon a central database that contains both the evaluation survey data and case data from the JIS Case Search Data Warehouse.

The ADRESS custom web-based system will provide the capabilities for components 2 and 3 above and will interface with the ClassClimate software to serve and capture data.

## *2.4 Business Process*

### 2.4.1 Mediator Roster

The courts maintain a roster of mediators that desire to be assigned to cases sent to ADR with their qualifications and availability. Each mediator is assigned an ADR Practitioner ID Number that is used to record their activities. These rosters and assigned mediator numbers are court specific. There currently is no central database for mediators.

In Circuit Court, mediators are assigned or elected by the parties in advance of the scheduled mediation. In District Court, mediators are assigned to be at the court house on the day of trial and cases are sent to mediation by the judge.

The ADRESS system will maintain a mediator roster that will be used by the ADR coordinators to search and assign cases.

### 2.4.2 Evaluation Survey Preparation

Survey forms are designed through the ClassClimate software. These are printed and distributed to the mediators to be completed by the attorneys, the litigants and the mediators at the conclusion of the ADR. These are returned to the ADR coordinators to be scanned into the system.

**Circuit Court**

ADR Coordinators will utilize the ADRESS system to enter case numbers for cases that have gone or are scheduled to go to ADR. The ADRESS system will obtain case data from the JIS Case Search Data Warehouse through a web service to load the case information into the ADRESS database. This information will also be loaded into the ClassClimate database to be printed on the evaluation survey forms.

Survey forms will be prepared and printed by the ADR Coordinators for mediators, attorneys and litigants before the scheduled ADR so they may be distributed to the mediators. These forms will have the case information coded on them and the ADR coordinator will complete more detailed case information that needs to be collected in the ADRESS system.

The ADR Coordinators will use the ClassClimate system to:

1. Import case information from the JIS Case Search Data Warehouse to be encoded (barcoded) on the forms

2. Print the evaluation forms for each specific case that is going to mediation or settlement conference with bar codes that identify the case.

**District Court**
Attorneys in the district court report the cases that were mediated on day of trial through an ADR Practitioner Activity Report and use blank survey forms to capture survey information. The data from the ADR Practitioner Activity Reports will be captured in the ADRESS system which will then be used to obtain case data from the JIS Case Search Data Warehouse in the same fashion as it is for the Circuit Court. This information be loaded into the ClassClimate database to be used to print survey form cover sheets that will be used to scan in the surveys that have been returned.

**Future**
An interactive web site where participants may complete the surveys online may be allowed in the future. ClassClimate provides this functionality. The url to complete the survey would have to be given to the participants to go online to complete them.

### 2.4.3 Evaluation Survey Data Collection
The survey forms are distributed by the mediator to the litigants and attorneys to complete at the end of ADR. The mediators complete their own survey that indicates the results of the ADR process. These forms are returned to the ADR Coordinators to be scanned into the ClassClimate system.

Evaluation data from the ClassClimate system will be exported into the ADRESS central database. When evaluation data is loaded, the ADRESS system will obtain a current update of the case information from the JIS Case Search Data Warehouse through the web service to be certain all information regarding the case is current.

### 2.4.4 ADRESS Reporting
ADR Coordinators, judges, MACRO, MPME mediators and other court personnel will have secure access to the ADRESS reporting system to obtain reports that show the effectiveness of their ADR programs. Users should have the ability to view statistics for their programs with both qualitative and quantitative analysis provided. The reports will only show statistics for the jurisdiction and program of the individual. Judges and ADR Coordinators will not be able to see statistics for any program but their own. MPME mediators will only be able to view their own survey data. MACRO will have access to reporting for any jurisdiction and program and be able to see state-wide statistics.

### 2.4.5 Mailings for Follow-up Surveys

Evaluation surveys will be mailed to the participants who have not responded within a specified period and again after the scheduled trial date for the follow-up. For participants and attorneys who have email addresses, an email will be sent that will contain a link to complete the survey online as well as attaching a pdf survey form to be completed and returned. Attorney and practitioner follow-up surveys will also be emailed/mailed. The ClassClimate scanning system will provide the capability to generate the scan-able forms for these bulk mailings. These may be done by the individual ADR coordinators or by the MACRO ADRESS coordinator for all jurisdictions.

The returned surveys will be scanned into the ClassClimate database and associated with the cases that are loaded from the original mediation scheduling and survey reports.

**Internet Survey**

An interactive web site where participants may complete the surveys online directly after the mediation or settlement conference may be allowed in the future. ClassClimate provides this functionality. The url to complete the survey would have to be provided in the mailing to the participants to go online to complete the surveys.

### 2.4.6 Telephone Follow-up

Lists will be provided for telephone follow-up for participants who have not responded to the survey. These lists may be used for electronic follow-up or would be printed to be used by ADR Coordinators who would phone the mediators and participants. Survey forms may be printed to be mailed or emailed on demand for these follow-up surveys.

### 2.4.7 XML Export

The ADRESS system will have an XML export of the case and survey data that can be loaded into other databases.

### 2.4.8 MPME Web Site

Mediators enrolled with the Maryland Program for Mediator Excellence (MPME) will be able to access survey reports for ADR they performed. These mediators are authenticated when they log into the MPME site and will click a link to enter the ADRESS reporting system.

### 2.4.9 Administration

**ClassClimate**

The MACRO ADR Directors and the Executive Directors of District Court ADR Programs have the ability manage the ClassClimate configuration. This includes the ability to create and change surveys, add users, jurisdictions (counties), court and program types.

**ADRESS**

The system administration module will be used to maintain security on the system. MACRO will have access to setup users, passwords and access levels based upon jurisdiction (county), court and program types. Options for access to each functional module may be specified for each user on the system.

### 2.4.10 Process Diagram

The following diagram shows the data flow and describes this process as it has been outlined above.

# Detail Requirements
# ADR Evaluation Support System

## PQIS Feedback Loops

1.1 Case Data Request by ADR Coordinator
- 1.1.1 ADR Coordinator submits request to JIS Data Warehouse for Case Data
- 1.1.2 Case Data is updated to central database and ClassClimate database

1.2 ADR Coordinator
- 1.2.1 Print Survey Forms or Security Information for Internet Survey
- 1.2.2 Mail Survey Forms/Security Information to Mediators

2.1 Mediator Responsibilities
- 2.1.1 Mediator distributes forms/secure logon to participants

2.2 Internet Survey
- 2.2.1 Participants complete survey on Internet

2.3 Paper Survey
- 2.3.1 Participants return forms to mediator in sealed envelope
- 2.3.2 Mediator returns forms to ADR coordinator

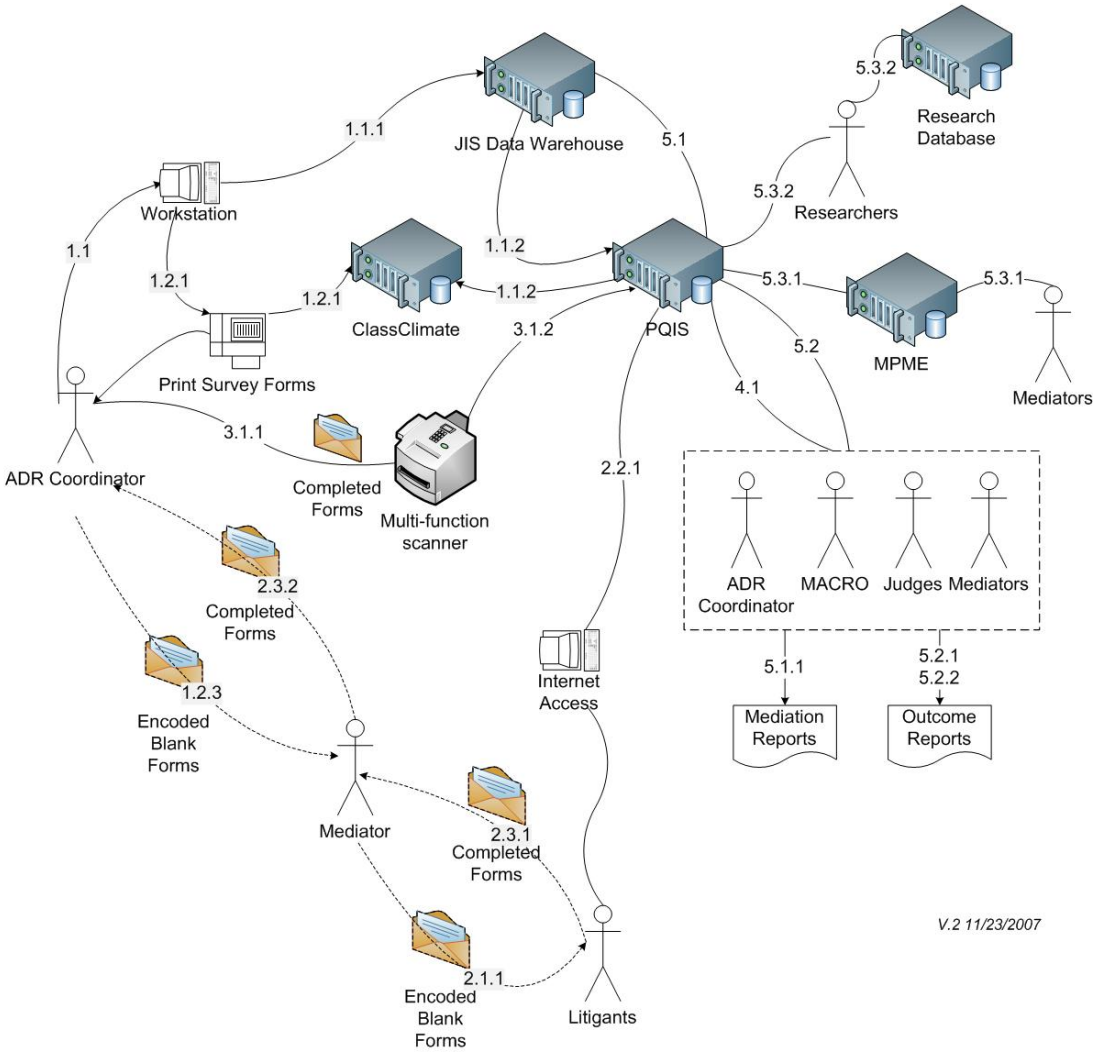
3.1 Returned Forms Processing
- 3.1.1 ADR Coordinator Scans forms
- 3.1.2 Data Updated to central Database

4.1 PQIS Online Reporting [available with authentication to any user]
- 4.1.1 Specific Reporting
- 4.1.2 Aggregate Reporting [Qualitative & Quantitative]

5.1 PQIS Post-Mediation Case Data
- 5.1.1 Update from JIS Data Warehouse to central database
  - 5.1.2 Case Markers
  - 5.1.3 Trial Information

5.2 PQIS Mediation Success Reporting
- 5.2.1 Significant Activities
- 5.2.2 Mediation Success Measurement

5.3 XML Export
- 5.3.1 Survey feedback sent to the MPME System
- 5.3.2 Available to researchers and other institutions

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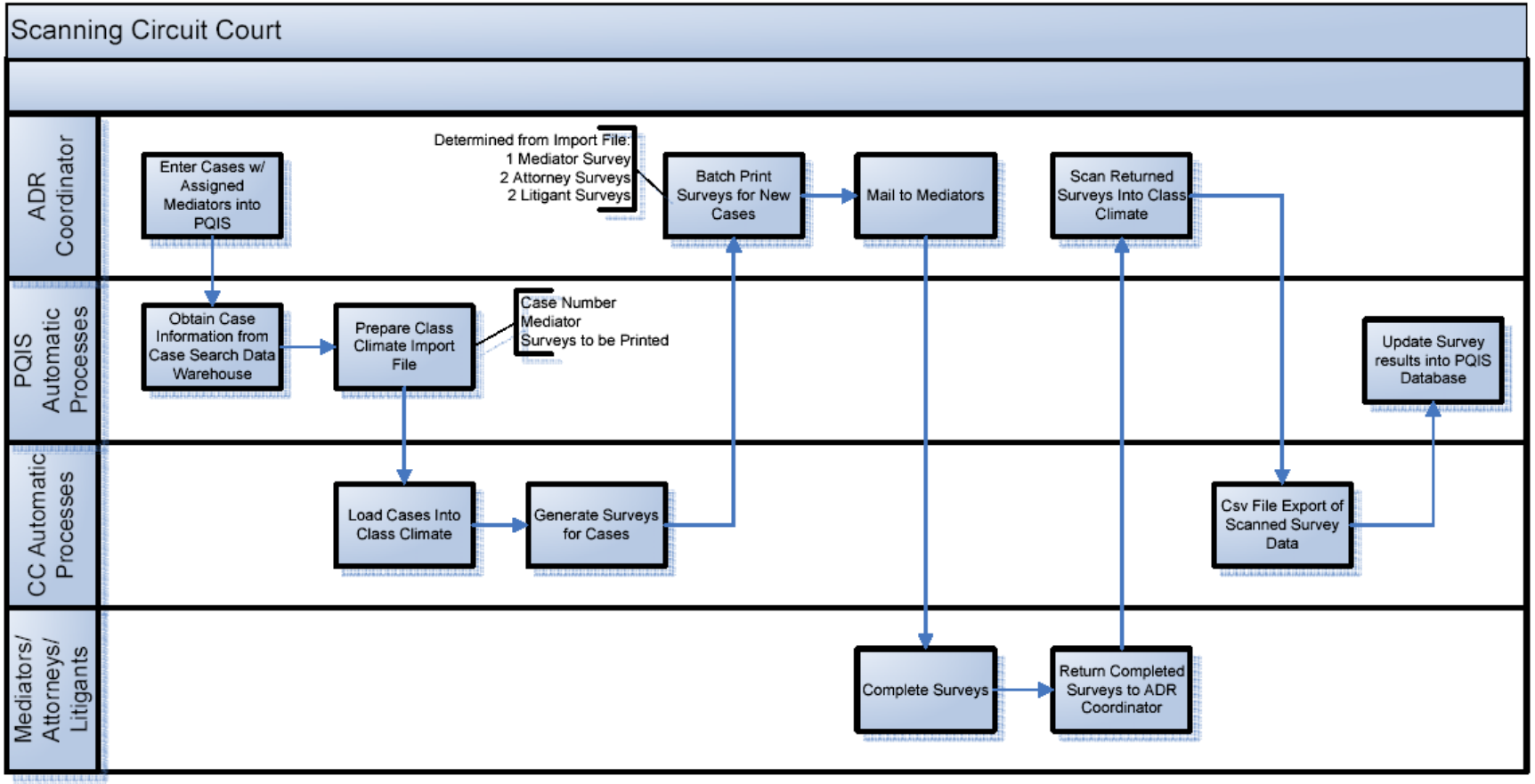
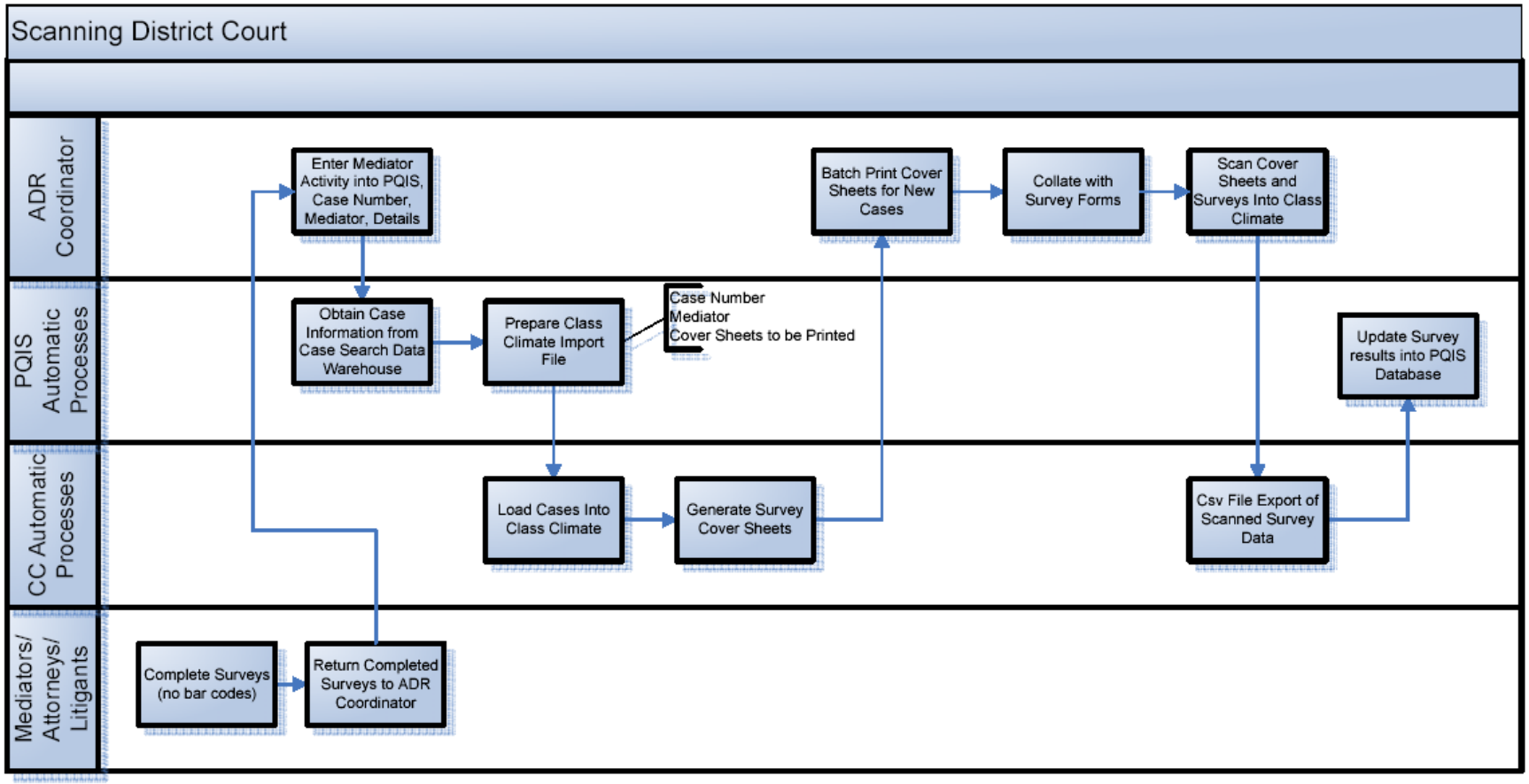
### 2.4.11 Circuit Court Business Process

The following diagrams show the process flow and the interaction between systems for the Circuit courts.



### 2.4.12 District Court Business Process

The following diagrams show the process flow and the interaction between systems for the District Court.



# 3.0 ClassClimate

This section describes how the ClassClimate system is utilized by MACRO and the Court ADR Administrators providing the ability to print survey forms and capture the data from them for the ADRESS reporting system. ***This information is included to provide a complete understanding of how the total system is intended to function. Most of these features are implemented out of the box from the ClassClimate software.***

## *3.1 Survey Design*

The system allows an administrator to dynamically build different evaluation surveys that can be scanned into the system and identified with case number.

| Trace | Name | Requirement |
|---|---|---|
| 3.1.1 | Post ADR Questionnaire Participant Survey | This survey form has areas for the case information to identify the mediator, case number and case demographics (either encoded and pre-printed on the form or completed by the mediator or ADR coordinator). The form contains questions that allow evaluation criteria to be completed. There are also areas for written comments. Comments are captured as an image. |
| 3.1.2 | Post ADR Questionnaire Attorney Survey | The survey form for attorneys to complete has areas for the case information to identify the mediator, case number and questions that allow evaluation criteria to be completed. |
| 3.1.3 | Post ADR Practictioner Survey | The ADR practictioners shall also complete a survey that identifies the mediator number, case number and date and time of mediation as well as additional survey information. |
| 3.1.4 | Post Case Follow-up for Party | The post case follow-up forms are designed to allow case number to be encoded and pre-printed and contain evaluation questions to be completed by the participants. There are areas for written comments. They are mailed to the participants or may be completed online. Multiple surveys are setup in different periods (since we can have exactly one evaluation for one course, in one period with one questionnaire). |
| 3.1.5 | Post Case Follow-up for Attorney | The post case follow-up forms are designed to allow case number to be encoded and pre-printed and contain evaluation questions to be completed by the attorney. |

| Trace | Name | Requirement |
|---|---|---|
| | | There are also areas for written comments. They are mailed to the participants or may be completed online. Multiple surveys are setup in different periods (since we can have exactly one evaluation for one course, in one period with one questionnaire). |
| 3.1.6 | Annual Attorney Survey | The annual attorney survey conatins evaluation questions for attorneys who have been involved with cases that have used ADR. |
| 3.1.7 | Annual ADR Practitioner Survey | The annual ADR Practitioner Survey are encoded with the ADR Practitioner ID and contain evaluation questions for the ADR practitioners to complete. |

### *3.2 ClassClimate Setup*

| Trace | Name | Requirement |
|---|---|---|
| 3.2.1 | Court Setup | A system administrator sets up all courts in the ClassClimate system. |
| 3.2.2 | Program Setup | A system administrator sets up all programs in the ClassClimate system and associates them to a Court. |
| 3.2.3 | Case Setup | An automated process shall import case number and name and other identifying information into the ClassClimate system. This import also identifies the surveys that are to be taken for a case, i.e. mediator, attorney and litigant.<br><br>Process: The ADR Coordinator shall request the case information by case number in the ADRESS system. A file shall be prepared from a request made to the JIS Data Warehouse for this information that shall be loaded into the ClassClimate system. Each case shall be associated with a program and court.<br><br>Note: This requires a custom export process from the ADRESS web-based data collection and reporting system that will require collaboration with the custom software developers. |
| 3.2.4 | User Setup | Each ClassClimate user [ADR Coordinator] is setup in the system to have access to case and survey information for a specific program within a specific court. |

| Trace | Name | Requirement |
|---|---|---|
| 3.2.5 | Administrative Users | Administrative users have access to case and survey information on all programs in all courts. |

### *3.3 ClassClimate Survey Print*

| Trace | Name | Requirement |
|---|---|---|
| 3.3.1 | Case Survey Setup | When cases are imported into ClassClimate, three survey forms are generated which allows them to be printed for the case:<br>1) ADR Practitioner Report<br>2) Post ADR Questionnaire Participant Survey<br>3) Post ADR Questionnaire Attorney Survey |
| 3.3.2 | Print Case Survey Forms | Survey forms are encoded with the ADR Practitioner ID and the Case Number. These identifiers are also human readable. |
| 3.3.3 | Print Cover Sheets | Cover sheet are printed for survey forms that are not pre-printed with ADR Practitioner ID and the Case Number. |
| 3.3.4 | Print Generic Survey Forms | An ADR Coordinator has the ability to print survey forms that are not encoded with ADR Practitioner ID and Case Number. The ADR Practitioner and Case Number are written on these forms when they are completed. A cover sheet is used to scan these forms into the system. |
| 3.3.5 | Post Case Follow-Up Survey Setup | Post case evaluation surveys for the parties and the attorneys are setup to be printed on a regularly scheduled basis. These surveys include:<br>1) Post Case Follow-Up for Party<br>2) Post Case Follow-Up for Attorney |
| 3.3.6 | Annual Surveys | The ADR Coordinator has the ability to print the annual survey forms for all cases that are scheduled for the survey. Where case participants have an email address, an email is sent with the url to complete the survey online. Printed survey forms are encoded with the ADR Practitioner ID and the Case Number. These identifiers shall also be human readable. |

### *3.4 Survey Data Collection*

| Trace | Name | Requirement |
|---|---|---|
| 3.4.1 | Scan Case Survey Forms | Survey forms are scanned into the ClassClimate database and linked with the associated case and ADR Practitioner that is encoded on the form. |
| 3.4.2 | Scan Generic Survey Forms | Survey forms that are manually coded with case number and ADR Practitioner are scanned into the ClassClimate database using a cover sheet. |
| 3.4.3 | Annual Survey Form Scanning | There is no case associated with the attorney and ADR Practitioner Annual Survey Forms. These are loaded into a separate “case” that is setup for each court and program by year. |

### *3.5 Survey Data Export*

| Trace | Name | Requirement |
|---|---|---|
| 3.5.1 | Survey Data Export | An automated process shall run on a regularly scheduled basis that exports the survey data from the ClassClimate system which will be loaded by another process into the central reporting database for ADRESS.<br><br>Note: This creates a csv file that is placed on the server to be loaded into the ADRESS system. |

# 4.0 ADRESS Requirements

This section provides the detail requirements for the custom software that must be developed to provide the web-based data collection and reporting system for ADRESS. This system will use the data that has been collected from the survey forms from the Scantron ClassClimate software. Scantron is providing two custom interfaces to this system which will allow case data to be imported into the ClassClimate database and will export the survey data to be loaded into the ADRESS database. The ADRESS custom application will control the case and survey data and provide a reporting tool through a secure browser session.

***These requirements are provided as a baseline for the system to be developed. During the development process, all recommendations for improvements in the approach that is outlined will be considered.***

## *4.1 System Administration*

| Trace | Name | Requirement |
|---|---|---|
| 4.1.1 | Court Administration | A system administrator shall setup all courts in the ADRESS system. These will match the courts setup in ClassClimate. |
| 4.1.2 | Program Administration | A system administrator shall setup all programs in the ADRESS system and associate them to a Court. These will match the programs setup in ClassClimate. |
| 4.1.3 | User Administration | A system administrator shall setup all users in the ADRESS system. There will be different user levels:<br>1) Program Access (for ADR Coordinators)<br>2) System Access (for MACRO administrators) |
| 4.1.4 | Assign Court/Program to User | Users who only have program access will be assigned to the program within a court.<br>Users who have access to all programs within a court will be assigned to a court, but not a program. |
| 4.1.5 | Assign Page Access to User Roles and Programs | Users shall be assigned access to each functional page of the system as follows:<br>1) Add/Edit<br>2) View Only<br>3) No Access |
| 4.1.6 | MPME | ADR practitioners who are obtaining access from the MPME system will already be |

| Trace | Name | Requirement |
|---|---|---|
| | Authentication | authenticated. Pass through authentication from a hyperlink on the MPME web site shall include the mediator ID in order to limit survey data to only show information for cases the ADR practitioner was assigned. |
| 4.1.7 | Code Maintenance | Case type codes and other codes used in the system shall be added and changed by administrators.<br><br>Case types shall also be categorized for aggregation at a broader level.<br>Case categories:<br>1. Civil General<br>2. Civil Family<br>3. Juvenile<br>4. Criminal<br><br>Case Dispositions |

## *4.2 Mediator Roster*

| Trace | Name | Requirement |
|---|---|---|
| 4.2.1 | ADR Practitioner Roster | An ADR Practitioner ID shall be assigned by the system. ADR Practitioner Information shall include:<br>1) Contact Information<br>2) Availability for Court(s)/Programs<br>3) Type(s) of ADR Services<br>4) Multi-lingual Abilities<br>5) Practitioner Status<br>6) MPME Status/MPME Number<br>7) Alternate ADR Practitioner ID *<br>8) Alternate ID Type *<br>Note: There may be any number of alternate ADR practitioner ID numbers |

| Trace | Name | Requirement |
|---|---|---|
| | | which are qualified by a type code. |
| 4.2.2 | ADR Practitioner Maintenance | A page shall be provided to add/edit ADR Practitioner Information. An ADR Practitioner may be inactivated to drop them from the roster. |
| 4.2.3 | Load Mediator Roster | Excel files may be imported into the ADRESS system for an initial database load. A standard Excel format will be provided for all programs. |
| 4.2.4 | ADR Practitioner Roster Search | The system shall provide a search of ADR Practitioners for any program in any court. The roster shall have options to filter by:<br>1) Availability for Court(s)/Programs<br>2) Type(s) of ADR Services<br>3) Multi-lingual Abilities<br>4) Practitioner Status<br>5) MPME Status/Number<br>6) Alternate ADR Practitioner ID<br>7) Average Number of Cases/Year<br>8) Last Date Assigned<br>The roster shall contain full contact information, and the fields listed above. The roster shall have an option to export to Excel to allow ADR Coordinators to produce mailings and other correspondence. |
| 4.2.5 | Mediator Case Assignments | The system shall track cases that are assigned to each mediator and the system shall provide a view to the cases mediated. This is the view that will be made available to ADR practitioners who join the MPME. |
| 4.2.6 | View Case Survey Details | The surveys on the Mediator Case Assignment list may be viewed from a hyperlink on the list page. |

## *4.3 Case Data Request*

All cases referred or ordered to ADR must be identified with case number and case demographics that shall be obtained from the JIS Case Search Data Warehouse.

| Trace | Name | Requirement |
|---|---|---|

# Detail Requirements
# ADR Evaluation Support System

| Trace | Name | Requirement |
|---|---|---|
| 4.3.1 | Case Data Request List | The ADR Coordinator shall have the ability to enter a list of cases that are referred to mediation for which case data shall be obtained from the JIS Data Warehouse. This data shall be formatted into a csv file that will be imported into the ClassClimate system using a custom import process. |
| 4.3.2 | Case Data Request | The ADRESS system shall utilize a web service available on the JIS Case Search Data Warehouse to request case data that shall include some of the following information:<br>➢ Jurisdiction<br>➢ Case name<br>➢ Case number<br>➢ Case disposition [x]<br>➢ Name of ADR service provider [x]<br>o Participant selected mediators<br>o Court assigned mediators<br>➢ Name of attorneys (if possible) [x]<br>➢ Attorney/Party association [x]<br>➢ Litigant addresses<br>➢ Amount in controversy<br>➢ Case type, which might include: [x]<br>o Contract<br>o Family - child access<br>o Termination of Parental Rights<br>o Family – child welfare<br>o Family - contempt<br>o Guardianship<br>o Peace Orders<br>o Family - marital property<br>o Orphan court appeals<br>o Business and Technology<br>o Employment<br>o Environment<br>o Medical Malpractice |

| Trace | Name | Requirement |
|---|---|---|
| | | o Professional Malpractice<br>o Auto tort<br>o Small claims<br>o Personal injury/negligence<br>o Workers' compensation<br>o Discrimination<br>o Landlord/Tennant<br>o Real Property<br>o Replevin<br>o Dentinue<br>➢ Case time-line points, including: [x]<br>o Date complaint was filed<br>o Date answer was filed<br>o Date of scheduling order (if one occurred)<br>o Discovery deadline date<br>o Mediation date(s) (from survey forms and mediator activity report)<br>o Date of settlement conference, result date and result code<br>o Trial date(s), result date and code<br>o ADR result date and code<br>o Result codes for events concluded<br>o Motions filed (specific types of motions)<br>o Motions hearing date(s)<br>o Date case reopened<br>o Date appeal filed<br>o Request for Mediation Exemption Filing<br>o Decision on Mediation Exemption Request<br>This data shall be requested when the list is submitted from the Case Data Request List entered by the ADR Coordinator. Fields with [x] indicator may be changed by the ADR coordinator (see 4.3.6).<br><br>Note: Not all data may be available when the pilot is completed. |
| 4.3.3 | Case Data Request | When survey data is imported into the ADRESS system (see 4.5.2), another Case |

| Trace | Name | Requirement |
|---|---|---|
| | from Survey Import | Data Request shall be submitted to the JIS Case Search Data Warehouse. Certain data shall not be overwritten by the data retrieved from the web service, including:<br>➢ Name of ADR service provider<br>o Participant selected mediators<br>o Court assigned mediators<br>➢ Case Type<br>These are fields that shall be captured on the Survey Forms and shall not be overwritten. |
| 4.3.4 | Case Data Request from Scheduled Report | Certain ADRESS reports shall require updates of the JIS Case Search data. When these reports are requested, the case data shall be requested via the web service and certain information updated. The fields identified in 4.3.3 above shall not be overwritten. |
| 4.3.5 | Case Request Exceptions | When the web service cannot return case information from the JIS Case Search Data Warehouse, an exception report must be generated for the requester. |
| 4.3.6 | Case Data Maintenance | An ADR Coordinator shall have the ability to add/edit certain case data listed in 4.3.2 above. Any case data that has been added/edited by the ADR Coordinator shall not be overwritten by any subsequent case updates from the web service. |
| 4.3.7 | Mediator Activity | The mediator activity report [for District Court] must be entered into the ADRESS system with information that records the ADR practitioner ID number, case dates and times, case number, case demographics, i.e. case type and outcome of mediation. An area for written comments will be captured. The Case Data Request process [see 4.3.2] shall be initiated when the mediator activity has been saved. This data shall be formatted into a csv file that will be imported into the ClassClimate system using a custom import process. |
| 4.3.8 | Change Log | All changes shall be logged in the system by user, time and date. This log shall maintain an audit of the original data and the new data whenever a change is made to the case information in the database.<br>Note: this is a log file only. |

## *4.4 Survey Design*

Surveys are designed in the ClassClimate software. The same survey must be setup in the ADRESS system so the survey evaluation data can be maintained for reporting and analysis. The following table provides an example of the data that is exported from the ClassClimate software in csv format.

| | | | | |
|---|---|---|---|---|
| Sheet | 1 | 2 | 3 | 4 |
| I learned a lot in this course. | 2 | 1 | 3 | 3 |
| I learned more in this course than in others. | 2 | 1 | 3 | 3 |
| This course was extremely valuable to my education. | 3 | 1 | 3 | 3 |
| I would recommend this course to my friends. | 2 | 5 | 1 | 1 |
| This course has had a profound impact on me. | 3 | 2 | 3 | 3 |
| The instructor has a comprehensive understanding of the subject. | 3 | 3 | 1 | 1 |
| This instructor knows this subject very well. | 2 | 2 | 1 | 1 |
| What was the best aspect of this course? | [IMAGE] | [IMAGE] | [IMAGE] | [IMAGE] |
| What was the worse aspect of this course? | [IMAGE] | [IMAGE] | [IMAGE] | [IMAGE] |
| Gender | 2 | 2 | 2 | 2 |

| Trace | Name | Requirement |
|---|---|---|
| 4.4.1 | Survey Name | Each survey type shall be recognized by a unique name. |
| 4.4.2 | Survey Standard Questions | Surveys shall have a set of standard questions that are on the survey for every court and every program. |
| 4.4.3 | Survey Custom Questions | Certain programs in certain courts shall have additional customized questions added to the Survey Standard Questions at the beginning and the end of the survey. |
| 4.4.4 | Survey Setup Import Tool | For each of the surveys designed in ClassClimate, a test survey shall be completed that will be imported into the ADRESS database where the first line of the file contains the survey questions. A survey setup import tool shall be used to identify the database fields for the survey answers. The tool would allow the administrator to |

| Trace | Name | Requirement |
|---|---|---|
| | | associate the questions with the named survey. If the named survey exists, questions should be matched automatically. Where they do not match, options shall be provided to indicate:<br>1) New question<br>2) Same as original question<br>3) Question customized for a specific court and program (identify the court and program)<br>Questions that do not match from the original survey shall become inactive. |
| 4.4.5 | Survey Usage | The system shall identify the surveys and/or cover sheets that are to be generated [See 4.3.1 and 4.3.7.] when the case data is extracted from the database and sent to ClassClimate. These are setup by case and period, i.e. initial survey, follow-up survey. Typically, three different surveys will need to be requested. |
| 4.4.6 | Survey Question Response Setup | This setup tool shall also allow an administrator to identify the values for the answers to the survey questions.<br>Survey questions are answered different ways:<br>1) Scale from 1 to n where the meaning of the rank is determined by the question. For example:<br>a. Range from 1 to 10 with 1=unclear and 10=completely understand<br>b. Specifically defined scale as 1=strong disagree, 2=disagree, 3=neither agree nor disagree, 4=agree, 5=strongly agree.<br>2) Check list of items to be ranked as described in 1 above.<br>3) Option to write-in a description for a check list item.<br>4) YES/NO Check list where more than one answer may apply to the question<br>5) Check list where more than one answer may apply to the question<br>6) Check list of answers where only one answer applies<br>For example:<br>a. YES/NO answers<br>b. YES/NO/Don't Know<br>c. YES/NO/Don't Know/Other Descriptive Answer<br>7) Check list of answers with multiple answer options where more than one |

| Trace | Name | Requirement |
|---|---|---|
| | | answer may apply to the question<br>For example,<br>a. Six options that can each be answered YES/NO/NOT SURE<br>8) Descriptive text that is filled in by the surveyor, i.e. comments and suggestions<br>Note: These responses are imported as images from ClassClimate |
| 4.4.7 | Survey Question Type Classifications | The survey questions shall be grouped into classification types used to group questions for reporting that include:<br>1) Mediator Quality<br>2) Program Structure<br>3) TBD |
| 4.4.8 | Survey Question Goals, Objectives and Indicators | Each survey question is related to one of the goals/objectives/indicators of the ADR program. The system shall provide the ability to classify each question based upon these. |

## *4.5 Survey Data Import*

Completed survey results will be captured through the ClassClimate software. The data shall be exported from ClassClimate and imported into the ADRESS database.

| Trace | Name | Requirement |
|---|---|---|
| 4.5.1 | Survey Data Import | On a regularly scheduled basis, the survey data from the ClassClimate software shall be imported into the ADRESS database. |
| 4.5.2 | Case Survey Matchup | The imported data shall be matched to a case in the database.<br>An exception report shall be generated if case data does not match. |
| 4.5.3 | Survey Case Exception Handling | When case information has not been retrieved from the JIS Case Search Data Warehouse, an ADR Coordinator shall have the ability to correct the case number and to generate another request for the data from the web service. |

## *4.6 Database Reporting and Analysis*

All database reporting and analysis will be delivered on the Internet through the ADRESS web site. Users should have the ability to view statistics for their jurisdictions and to compare the results to statewide statistics. These specifications provide a general description of the reports that will be designed and developed.

### 4.6.1 Specific Reporting

The ADRESS reporting should provide the capability to extract the evaluation information associated with a specific case.

| Trace | Name | Requirement |
|---|---|---|
| 4.6.1.1 | Case Specific Reporting | Case specific reports shall show survey results for each case and each survey type.<br>Reports shall be filtered by combinations of:<br>1. Jurisdiction<br>2. Program<br>3. ADR service provider<br>Note: There may be more than one ADR service provider participating<br>4. Case Type<br>5. Case Category<br>6. Date Range<br>a. Date Filed<br>b. Date Answer Filed<br>c. Date Assigned to Mediation<br>d. ADR Date(s)<br>e. Date Resolved<br>7. Range for Amount in Controversy<br>8. Disposition as a result of mediation<br>9. Current Case Disposition |
| 4.6.1.2 | Case Exception Reporting | Exception reports shall show:<br>1. Cases with No Response<br>2. Cases with Poor Evaluations |
| 4.6.1.3 | Exception | An export of the contact information for the participants, attorneys and mediators for |

| Trace | Name | Requirement |
|---|---|---|
| | Reporting Survey List | cases with no response shall be exported from the system to provide the ability to do follow-up mailings or initiate online surveys from the ClassClimate system. |
| 4.6.1.4 | Follow-up List | A list of cases due for follow-up surveys shall be generated from the system based upon mediation date. An export of the contact information for the participants, attorneys and mediators for follow-up shall be exported from the system to provide the ability to do mailings or initiate online surveys from the ClassClimate system. Note: This list may be imported into ClassClimate to initiate survey print for the follow-up surveys. |
| 4.6.1.5 | Comment Images | A report of the images that are captured from hand written comments for a particular question on a survey shall be generated. |

**4.6.2 Qualitative and Quantitative Reporting**

The ADRESS reporting should provide the capability to compare survey data to provide survey response qualitative and quantitative results that use the same filters provided for case specific reporting noted above. These reports would provide details of the answers to questions in statistical formats as well as details of answers to specific questions. The reports might be selected by case, by practitioner (mediators, settlement facilitators, masters, judges) in that court (or statewide) or just to mediators as a group, or settlement facilitators as a group, or judges as a group, etc. This section outlines the general approach for this reporting not the detail requirements.

| Trace | Name | Requirement |
|---|---|---|
| 4.6.2.1 | Participant Response Analysis | A statistical break down for each question individually, and **any permutation of questions grouped together.** (Example: a report for how many people thought they were able to give their side of the story *and* who thought the ADR practitioner was impartial. Then keep those two, and add how many people thought they learned something about the other side's position).<br><br>Some of these statistics are:<br>1) Which questions get the lowest average score<br>2) Which questions get the highest average score<br>3) Which questions are left blank |

| Trace | Name | Requirement |
|---|---|---|
| | | 4) Percentage of questions that get a high ranking (4/5) |
| 4.6.2.2 | ADR Practitioner Participant Evaluation | A report on feedback about any particular ADR practitioner, including average satisfaction scores (with scanned comments if possible), number of cases, kinds of cases, etc. |
| 4.6.2.3 | Survey Response Evaluation | A report on any one particular question (responses) (ex. "I was given time to present my case") as it applies to all of the ADR practitioners (mediators, settlement facilitators, masters, judges) in that court (or statewide) or just to mediators as a group, or settlement facilitators as a group, or judges as a group, etc. |
| 4.6.2.4 | Success Evaluation | Totals for whether participants or categories of participants thought the ADR process was helpful |
| 4.6.2.5 | Plaintiff/Defendant Comparisons | Differences as to plaintiffs versus defendants in each kind of question. |
| 4.6.2.6 | Response Comparisons | Reports showing responses from any participants or attorneys, and any permutation or grouping of ADR practitioners, case types, ADR process types, etc. |
| 4.6.2.7 | Demographic Comparisons | Comparison of survey results based upon participant demographics as the information is available.<br>♦ gender<br>♦ age<br>♦ race<br>♦ residence<br>♦ education<br>♦ income<br>♦ religion |

**4.6.3 Aggregate Reporting**

The ADRESS reporting should provide the capability to produce statistical analysis of the evaluation information on the basis of the questions on the surveys or based upon the goals they represent. Examples of these reports will include

looking at whether the litigants found the ADR process useful even if the matter did not resolve at that session; looking at the durability of agreements reached through an ADR process; looking at the litigants' and attorneys' satisfaction of various ADR service providers and of the services themselves, etc. This section outlines the general approach for this reporting not the detail requirements.

| Trace | Name | Requirement |
|---|---|---|
| 4.6.3.1 | Report Selection Criteria | The evaluations will be quantifiable for a specific jurisdiction. Comparison to statewide statistics should also be available. MACRO shall have access to aggregate reporting with elections on how the data is summarized, i.e. jurisdiction, ADR program type. |
| 4.6.3.2 | Report Presentation | Reports should be available in chart form and/or graph form depending on the information reported. Data shall be exported to Excel so it may be manipulated outside of the system. |
| 4.6.3.3 | Report Aggregation | The information must be able to be aggregated as statewide totals and as distinct sets of information broken down by jurisdiction (24 jurisdictions in all). Both statewide and within a jurisdiction, the information also will have to be able to differentiate between circuit court (civil non-domestic and civil domestic) and District Court. |
| 4.6.3.4 | Aggregation Statistics | The quantitative reports that have been designed that are required are:<br>1. Total number of cases sent to ADR<br>2. Total number of cases sent to mediation versus settlement conferences<br>3. Sub totals for each type of case sent to ADR<br>4. Sub totals for types of cases sent to mediation versus settlement conferences<br>5. Sub totals for types of cases sent to ADR by jurisdiction<br>6. Number of cases sent to a particular ADR practitioner<br>7. Breakdown of the types of cases sent to an ADR practitioner<br>8. Breakdown of how many mediations and/or settlement conferences were sent to a particular ADR practitioner<br>9. The total hours an ADR practitioner spent on any given case<br>10. The total number of hours an ADR practitioner has spent on any kind of case<br>11. Total hours an ADR practitioner has spent on all cases within one jurisdiction |

| Trace | Name | Requirement |
|---|---|---|
| | | 12. Total hours a practitioner has given to all cases in all jurisdictions<br>13. Total hours a practitioner has given to one kind of case in all jurisdictions<br>14. The number of sessions for any particular case<br>15. Average number of sessions for all mediations and/or settlement conferences/facilitations of a particular kind of case<br>16. Average number of sessions conducted per case by any given practitioner<br>17. Totals for cases that completely settled at each kind of ADR<br>18. Totals for cases that partially settled at each kind of ADR<br>19. Totals for cases that did not settle at all at each kind of ADR<br>20. Totals for cases that did not settle completely at ADR (including ones that settled partially or not at all) but did settle prior to trial<br>21. Total number of trials in cases that were sent to mediation and/or settlement conferences/facilitation<br>22. The percentage of cases where the parties chose their own mediator versus the percentage where they accepted the mediator assigned by the court. |
| 4.6.3.5 | Case Activity Reporting | Case activities are tracked by dates provided from the JIS Case Search Data Warehouse. Note: Many of these case dates will not be available when the system is piloted.<br>The following activity questions must be able to be broken down by case type; ADR program category; ADR practitioner; jurisdiction, etc. The following is a list of activity reports required.<br>1. Report of the dates cases actually went to ADR as compared to the dates when the scheduling order was issued<br>2. The number of cases mediated prior to the discovery deadline<br>3. Of the cases mediated prior to the discover deadline, the number that settled fully, partially, or not at all<br>4. The number of cases mediated after the discovery deadline but before a 30-day pre-trial settlement conference<br>5. Of the cases mediated after the discovery deadline but before a 30-day pre-trial settlement conference, the number that settled fully, partially, or not at all |

| Trace | Name | Requirement |
|---|---|---|
| | | 6. How many discovery motions OR notices of discovery are filed in cases that are mediated versus cases that are not sent to mediation<br>7. The number of cases that are sent to mediation versus the number of cases that actually go to mediation<br>8. The number of cases that are sent to ADR processes that do result in trials<br>9. Of the cases that are sent to ADR processes that do result in trials, how many reached had partial settlement because of the ADR versus the ones that had no partial settlements. |

**4.6.4 Survey Data Export**

The ADRESS reporting should provide the capability to extract the evaluation information and produce an export in GJXML format.

| Trace | Name | Requirement |
|---|---|---|
| 4.6.4.1 | Excel Export | The Excel Export shall contain case information and the survey results. Case demographics, e.g. participant name and address, would not be included in the export. The export shall allow the data to be filtered to select information for specific mediator groups, jurisdictions, etc |
| 4.6.4.2 | XML Export [Optional] | The GJXML Export shall contain case information and the survey results. Case demographics, e.g. participant name and address, would not be included in the export. The export shall allow the data to be filtered to select information for specific mediator groups, jurisdictions, etc |

## *4.7 MPME Reporting Access*

ADR practitioners who are registered on the MPME web site will be able to click a link on the MPME site to enter the ADRESS system. They will only be able to view cases they were assigned.

| Trace | Name | Requirement |
|---|---|---|
| 4.7.1 | MPME Authentication | Users entering the ADRESS site from the MPME site shall be automatically authenticated. |
| 4.7.2 | Survey Reports | ADR practitioners who enter the ADRESS shall have access to the Mediator Case Assignments [4.2.5] and the surveys for these cases [4.2.6] |

# 5.0 Resource Requirements

## *5.1 Software and Technology*

The recommended technologies will require the use of certain standards and will be evaluated based upon the following criteria.

### 5.1.1 Software

1. Comply with and use recognized industry standards in database design and object oriented programming.
2. Provide the ability to import survey data from a csv file exported from the Class Climate software from Scantron.
3. Provide the ability to import database information from external sources, i.e. JIS case data in GJXML format.
4. Have source code available.
5. Have secure access and comply with DBM IT Security Policy and Standards
6. Compatible with Internet Explorer 6.0 and above.

### 5.1.2 JIS Standards

The technologies and standards of the Judicial Information Systems are:

J2EE Architecture
AIX
Oracle 10G Database
Oracle 10G Application Server
Apache Web Server
XML
HTML
GJXML

The following standards apply to application development:

CVS for versioning and change management
UML design documentation
JAVA

Swing

The desktop environment is Windows.

## *5.2 Transaction Volumes*

ADR programs with low transaction volumes will use the Internet to enter the surveys that are collected, or they will send the survey forms to MACRO to be scanned into the database. Other jurisdictions will have on-site collection equipment, e.g. OMR scanners.

Below are total volume estimates in 2004 based upon the questionnaire responses from the program coordinators and a 90% participation rate in all jurisdictions.

| | |
|---|---|
| Total Cases/Year | 18,000 |
| Total Surveys/Year | 75,000 |
| System Users | 75 |
| ADR Programs | 81 |
| Program Locations | 36 |

It is anticipated that 50% of the offices will choose to scan their own forms and 50% will choose to send their forms to a central location (Either MACRO or the District Court Headquarters).

Program growth is expected to continue for the foreseeable future, although the rate of that growth and areas for that growth are hard to estimate. In FY 2004 alone, an additional six child welfare mediation programs began development, with implementation scheduled before the end of calendar year 2004. Additionally, family divisions and civil divisions may add mediation programs as they begin to see the benefits form this project itself. And as programs become more systematized, it may be easier for new programs to start up.

## *5.3 Pilot Program*

The ADRESS project will be initiated with pilot programs to test the software, database and data collection equipment. The first pilot will be in these jurisdictions:

1. Circuit Courts
    a. Baltimore County
    b. Baltimore City
    c. Worchester County
2. District Court
    a. District Court Headquarters (All District Courts)

# Glossary

## *Terms*

1. ADR
   - Alternative Dispute Resolution. The process of resolving matters in pending litigation through a settlement conference, neutral case evaluation, neutral fact-finding, arbitration, mediation, other non-judicial dispute resolution process, or combination of those processes.
2. ADR Coordinator
   - Individual in a court jurisdiction responsible for managing the ADR process.
3. ADR Practitioner
   - Attorney or other professional who facilitates mediation, settlement conferences and other forms of alternative dispute resolution.
4. ADR program
   - Specific programs are: circuit court civil non-domestic, circuit court domestic, district court civil, district court peace order.
5. MPME
   - Maryland Program of Mediator Excellence. A voluntary program run by MACRO to assist mediators in providing high quality ADR services.
6. JIS
   - Maryland Judicial Information Systems. A department of the Maryland Administrative Office of the Courts responsible for servicing the information technology needs of the courts.
7. JIS Case Search
   - The Maryland Judiciary Case Search provides public Internet access to information from case records maintained by the Maryland Judiciary. In January 2006 Phase I of Case Search was introduced to satisfy information requests commonly received in the court clerks' offices. This information includes defendant name, city and state, case number, date of birth, plaintiff name (civil cases only), trial date, charge, and case disposition.