



ACMS USE CASES 5.0 CONDUCT HEARING

VERSION 1.0

DOCUMENT HISTORY

DOCUMENT APPROVAL HISTORY	
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1. STATE REQUIREMENTS LEVEL USE CASES

1.1. UC-5-01 READYING CLAIMANT FOR IN-PERSON HEARING

Calendars for in-person hearings are made up of many hearings scheduled in bulk for different time slots. Due to the fact that many hearings are cancelled prior to or on hearing day, many hearings are not scheduled individually, but are managed as a queue on hearing day. This use case describes the process of a system user, county or Administrative Law Judge (ALJ) user, depending on location, readying the claimant for their in-person hearing.

When a claimant arrives for their hearing, the user is able to indicate on the calendar that the hearing is “ready to assign,” so that an ALJ may be assigned (or claim assignment of) the hearing.

State Requirements Use Case Beginning

1.1.1. SUMMARY SECTION

Item	Description
Use Case ID:	UC-5-01
Use Case Name:	Readying Claimant for In-Person Hearing
Description:	This use case describes the steps a user will take to confirm hearing participants are ready for in-person hearing.
Actors:	1. Support Staff, County, or ALJ user
Triggers:	1. Day of in-person hearing has arrived.
Pre-Conditions:	1. Hearing calendar exists. 2. Case is still present on the calendar. 3. All hearing resources are available. 4. User has required access/security permissions. 5. User has internet access.
Post-Conditions:	<u>Main Flow:</u> 1. Case status has been updated to reflect participants are ready for hearing. <u>Alternate Flow:</u> None <u>Exception Flows:</u> None
Includes:	None
Extension Points:	None
References	Functional Requirements: WF-5.2.1

1.1.2. MAIN FLOW

Step	Action/Cause/Stimulus	Reaction/Effect/Response
1	User navigates to their dashboard.	System displays Conduct Hearing options.
2	User navigates to hearing calendar selection.	System displays all calendars for which user has access.
3	User selects desired calendar(s).	System displays cases for selected calendars.
4	User selects desired case.	System displays Conduct Hearing options for the selected case.
5	User selects the "Ready Participants" option.	The system displays a list of required participants (claimant and/or AR) and prompts the user to confirm all required participants are present and ready for the hearing.
6	The user indicates all required participants are ready for hearing, adds any applicable notes, and confirms (WF-5.2.1).	The system attaches notes to case file and updates the case status and calendar to reflect that the case is "ready to be assigned" a judge.
7	Flow ends.	

1.1.3. ALTERNATIVE FLOWS

Branched From:	
Flow Scenario:	None
Post-Condition:	
Branch To:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
A1-1	None	None

1.1.4. EXCEPTION FLOWS

Branched From:	None
Post-Condition:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
E1-1	None	None

1.1.5. USE CASE REVISION HISTORY

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State Requirements Use Case End

1.2. UC-5-02 READYING CLAIMANT FOR TELEPHONE HEARING

The user opens the calendar for telephone hearings and is presented with tools that allow him/her to update the status of each scheduled hearing. The user calls claimants and updates the case status on the calendar based on the claimant's response. If the claimant does not answer, the user leaves a message. The claimant may call back any time during the day. If there is availability for the hearing, the case may be heard. If there is not availability, the case will be postponed. If the claimant does not call back, the case is considered a "non-appearance" and closed. When the user confirms the claimant is ready for hearing, the system provides tools that show which judges are available (not in a hearing) to assign to the hearing.

State Requirements Use Case Beginning

1.2.1. SUMMARY SECTION

Item	Description
Use Case ID:	UC-5-02
Use Case Name:	Readying Claimant for Telephone Hearing
Description:	This use case describes the steps a user will take to confirm hearing participants are ready for telephone hearing.
Actors:	1. Support Staff
Triggers:	1. Day of telephone hearing has arrived.
Pre-Conditions:	1. Calendar is available. 2. There are available judges to assign to the calendar. 3. User has appropriate security permissions to access calendar.
Post-Conditions:	Main Flow: 1. Case status has been updated to reflect participants are ready for hearing. 2. ALJ user has been assigned "Review Case" task. Alternate Flow: None Exception Flows: None
Includes:	None
Extension Points:	None
References	Functional Requirements:

1.2.2. MAIN FLOW

Step	Action/Cause/Stimulus	Reaction/Effect/Response
1	User navigates to their dashboard.	System displays Conduct Hearing options.

Step	Action/Cause/Stimulus	Reaction/Effect/Response
2	User navigates to hearing calendar selection.	System displays all calendars for which user has access.
3	User selects desired calendar.	The system displays a list of ALJ users in the system and prompts the user to add judges to the calendar.
4	User “assigns” judges to the calendar and confirms.	The system displays the list of cases on the calendar (queue). All cases default to the “not called” status.
5	<p>User makes telephone calls to each claimant (or receives callback from claimant) on the queue and updates the case status with one of the following options:</p> <ul style="list-style-type: none"> • Called – No Answer • Called – Postponed • Called – Withdrawn • Called – Ready for Hearing 	<p>The system updates the case status on the calendar to reflect the user’s selection.</p> <p>If the user selected “Called – No Answer” the system flags the case for potential “non-appearance” and closes the case if no further action is taken by end of day.</p> <p>If the user selected “Called – Postponed” the system executes UC-8-01 Postponed and ends flow.</p> <p>If the user selected “Called – Withdrawn” the system executes UC-8-02 Request Withdrawal and ends flow.</p> <p>If the user selected “Called – Ready for Hearing” the system displays the option to assign a judge to the hearing.</p>
6	User selects desired case, assigns ALJ user from list of available ALJs, adds case notes for ALJ user only, and confirms.	The system attaches notes to case file and makes them available to ALJ user. The system assigns “Review Case” task to ALJ user.
7	Flow ends.	

1.2.3. ALTERNATIVE FLOWS

Branched From:	
Flow Scenario:	None
Post-Condition:	
Branch To:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
A1-1	None	None

1.2.4. EXCEPTION FLOWS

Branched	
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From:	None
Post-Condition:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
E1-1	None	None

1.2.5. USE CASE REVISION HISTORY

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State Requirements Use Case End

1.3. UC-5-03 REVIEW CASE

In some locations, judges manage the calendar themselves and there is no official hearing assignment process. The judges simply take turns claiming responsibility of hearings based on deliberation, discussion, expertise and workload. It is important that the system allow for the flexibility of hearing assignment based on these offline business decisions.

In some cases the ALJ will begin reviewing documentation just prior to the hearing and for various reasons, determine the case is not ready for hearing. It is for this reason the hearing “event” should not begin until the judge confirms the case is ready for hearing. Once the ALJ confirms the case is ready for hearing, the system shall display the audio recording tools and indicate that sound is being captured by the microphone, prior to recording beginning.

State Requirements Use Case Beginning

1.3.1. SUMMARY SECTION

Item	Description
Use Case ID:	UC-5-03
Use Case Name:	Review Case
Description:	This use case describes the steps an ALJ User will take to assign them to a hearing, review case documents prior to hearing and confirm case is ready to be heard.
Actors:	1. ALJ User
Triggers:	1. ALJ user selects case from calendar he/she intends to hear, OR 2. ALJ user assigned to case from telephone queue.
Pre-Conditions:	1. Case status is “ready to be assigned.” 2. User has required access/security permissions. 3. User has internet access.
Post-Conditions:	Main Flow: 1. ALJ user confirmed case is ready to be heard. 2. ALJ user has opened case record. 3. Case status updated to reflect ALJ user responsible for hearing and hearing status updated to “in-hearing” on the calendar. 4. ALJ assigned “Conduct Hearing” task. Alternate Flow: None Exception Flows: E1 - Case Not Ready For Hearing
Includes:	None
Extension Points:	None
References	Functional Requirements:

1.3.2. MAIN FLOW

Step	Action/Cause/Stimulus	Reaction/Effect/Response
1	User navigates to their dashboard.	System displays Conduct Hearing options.
	User navigates to hearing calendar selection.	System displays all calendars for which user has access.
2	User selects desired calendar(s).	System displays cases for selected calendars with the status of “ready for hearing.”
	User selects case which they intend to hear.	System displays case information and prompts user to indicate whether the case is ready for hearing.
3	User opens and reviews case documents in separate window. (WF-5.3.1)	If user determines case is ready for hearing, System assigns the user with the “Conduct Hearing” task, opens official case record, updates case status on calendar to reflect “In Hearing,” and updates case status to reflect the judge responsible for the hearing. System shall automatically open and display recording tools and audio input indicator to user (S-4.1.1). If user determines case is not ready for hearing, execute Exception Flow E-1 Case Not Ready For Hearing .
	If user determines case is ready for hearing, the user selects Conduct Hearing option and confirms selection. If user determines case is not ready for hearing, the user selects the “Not ready for hearing” option, confirms selection, and adds narrative.	
4	Flow ends	

1.3.3. ALTERNATIVE FLOWS

Branched From:	
Flow Scenario:	None
Post-Condition:	
Branch To:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
A1-1	None	
A1-2		
A1-3		

1.3.4. EXCEPTION FLOWS

EXCEPTION FLOW E1 – CASE NOT READY FOR HEARING

Branched From:	Main Flow – Step 3
	E1 - Case Not Ready For Hearing
Post-Condition:	1. Case status and calendar updated to reflect ALJ action.

Step	Action/Cause/Stimulus	Reaction/Effect/Response
E1-1	User determined case is not ready for a hearing.	System prompts user for explanation of action.
E1-2	User provides explanation for action.	System saves explanation as part of case record. System displays possible actions and prompts ALJ user to select an action.
E1-3	User selects appropriate action and confirms.	If user selected “postponement” action, execute UC-8-01 – Postponement and update case status on calendar to “Postponed.” If user selected “withdrawal/conditional withdrawal” action, execute UC-8-02 Request Withdrawal and update case status on calendar to “Withdrawn.”
E1-4	Flow ends.	

1.3.5. USE CASE REVISION HISTORY

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State Requirements Use Case End

1.4. UC-5-04 CONDUCT HEARING

The ALJ user begins every hearing by starting the audio recording, swearing in the participants, and confirming identification information with participants on the record. The system should provide a screen that allows the ALJ to make any corrections to case information should information arise during the hearing (incorrectly spelled names, new address, etc.).

Exhibits are evidentiary items which can be presented by multiple parties during the hearing. The system should allow the ALJ to create, number and associate each exhibit with the party that presented the evidence (county, program, claimant, etc.). Any exhibits that do not have documents already in the case file should trigger a task for the ALJ to upload those case files post-hearing.

The system should allow judges to pause the audio recording for any necessary breaks during the hearing. The start and stop times of all pauses must be captured. The audio recording should be available in the case file as a single recording, regardless of how many times the judge paused. After the hearing has concluded, the judge stops the recording and all relevant metadata for the recording is captured.

The judge selects a disposition of the hearing, which either triggers the case to be withdrawn, rescheduled, or a decision to be written.

State Requirements Use Case Beginning

1.4.1. SUMMARY SECTION

Item	Description
Use Case ID:	UC-5-04
Use Case Name:	Conduct Hearing
Description:	This use case describes the steps an ALJ User will take to conduct and conclude a hearing, which includes attaching evidence and recording audio of hearing.
Actors:	<ul style="list-style-type: none">• ALJ User
Triggers:	1. User has been assigned “Conduct Hearing” task and task is currently open on users screen.
Pre-Conditions:	1. User has required access/security permissions. 2. User has internet access. 3. Audio recording tools are displayed on user’s screen.
Post-Conditions:	Main Flow: 1. “Update Exhibits” task is assigned. 2. Hearing exhibits have been identified. 3. Audio recording has been completed and attached to case file. Alternate Flow:

	None Exception Flows: E1 – Continued Hearing
Includes:	None
Extension Points:	None
References	Functional Requirements: WF 2.3.20 - WF 2.3.21, WF 2.1.15, WF-5.4.2, WF-5.5.2 - WF-5.5.3, WF-5.5.5, WF-5.6.1 - WF-5.6.3, WF-5.6.5 - WF-5.6.6, S-4.1 – S-4.1.4

1.4.2. MAIN FLOW

Step	Action/Cause/Stimulus	Reaction/Effect/Response
1	User begins audio recording (S-4.1.1).	<p>The system updates judge availability on relevant hearing queues to indicate the judge is unavailable to be assigned a hearing.</p> <p>The system shall capture start time of audio recording. System displays case information and prompts user to confirm with claimant that case information is accurate and correctly spelled. This information includes:</p> <ul style="list-style-type: none"> • Claimant name, address and phone number(s) • AR name, address and phone number(s) • Any mail/email preferences for notifications
2	User confirms all information verbally with the claimant, makes any necessary changes, and saves.	<p>System updates case information with any changes the user has made. System displays dashboard for judge notes, recording exhibits, and capturing additional hearing participants which include:</p> <ul style="list-style-type: none"> • Name of County Representative • Name of Interpreter • Any others present
3	At any time hearing participants can submit evidence that may become part of the record as an exhibit. The user records the exhibit with an exhibit number, associates it with the party who submitted the exhibit (claimant, county, program, ALJ), and if the document(s) associated with the exhibit are already part of the case file.	The system shall record any exhibits as a part of the case file. If the user created any exhibits that do not already have associated documents in the case file, the system shall task the user with the “Post-Hearing Documentation” task, to be completed after hearing has ended.
4	At any time the user can add annotations to the recording (S-4.1.3) or choose to pause an audio recording.	If the user pauses the recording, the system shall suspend recording and capture the recording stop time.
5	User resumes audio recording.	The system shall resume recording and capture recording start time.
6	User ends audio recording.	The system shall complete the recording

Step	Action/Cause/Stimulus	Reaction/Effect/Response
		<p>and capture all meta data of the audio recording (WF-5.4.2) (WF-5.6.3) (S-4.1.2). The system shall attach audio recording to case file (WF-5.5.3) (S-4.1.4). The system shall automatically log any updates made to the case. (WF-5.5.2) (WF-5.5.5)</p> <p>The system shall prompt the user to enter any notes for the hearing, complete the exhibits section, confirm all hearing participants.</p>
7	The user provides any case notes, completes the exhibits section, enters all hearing participant names, and confirms.	<p>The system shall display the options for selecting a hearing result/outcome to include:</p> <ul style="list-style-type: none"> • Heard and Submitted (Closed Record) • Heard (Open Record) • Continued • Withdrawn/Conditionally Withdrawn • Postponed • Abandoned
8	User selects a hearing result/outcome and confirms. (WF-5.6.2) (WF-5.6.6)	<p>The system displays updated case status within calendar and case information. (WF-5.6.1)</p> <p>If the user selected the “heard” hearing outcome the system closes the “Conduct Hearing” task and removes from ALJ user dashboard. System assigns “Write Decision” task to ALJ user. Case status is updated.</p> <p>If the user selected the “Open Record” option, the system shall assign the user with the “Post-Hearing Documentation” task.</p> <p>If the user selected the “continued” hearing outcome, execute Exception Flow E1 – Continued Hearing and terminate main flow. (WF-5.7.1)</p> <p>If the user selected the “withdrawn” hearing outcome, execute UC-8-02 Request Withdrawal and terminate main flow.</p> <p>If the user selected the “postponed” hearing outcome, execute UC-8-01</p>

Step	Action/Cause/Stimulus	Reaction/Effect/Response
		Postponement and terminate main flow. The system updates judge availability on relevant hearing queues to indicate the judge is now available for another hearing.
9	Flow ends	

1.4.3. ALTERNATIVE FLOWS

Branched From:	
Flow Scenario:	None
Post-Condition:	
Branch To:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
A1-1	None	
A1-2		
A1-3		

1.4.4. EXCEPTION FLOWS

EXCEPTION FLOW E1 – CONTINUED HEARING

Branched From:	Main Flow – Step 8
	E1 – Continued Hearing
Post-Condition:	<ul style="list-style-type: none"> Case status updated to “continued.” Case is flagged for manual scheduling (exclusion from automatic scheduling).

Step	Action/Cause/Stimulus	Reaction/Effect/Response
E1-1	User selected the “continued” hearing result/outcome after hearing concluded.	The system shall prompt the user to provide written explanation for continued hearing.
E1-2	User provides written explanation.	System captures explanation as case note and attaches to case file. System prompts user to provide optional continued hearing date and time.
E1-3	<p>If the hearing parties agreed to a specific date and time, the user provides continued hearing date and time.</p> <p>If no specific date and time were agreed to by hearing parties, no date and time is entered.</p>	<p>If the user provided continued hearing date and time, the system flags case for manual scheduling and notifies scheduler user(s).</p> <p>If the user did not provided a specific date and time, the case is flagged for priority</p>

		scheduling. Case status is updated and case is removed from calendar. Relevant metrics captured.
E1-4	Flow ends.	

1.4.5. USE CASE REVISION HISTORY

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State Requirements Use Case End

1.5. UC-5-05 POST-HEARING DOCUMENTATION

During the hearing, participants can submit evidence that becomes an exhibit for the case. Some of the evidence submitted during the hearing may already be attached to the case file prior to the hearing (e.g., Statement of Position). Other evidence is presented for the first time during the hearing. To minimize disruption, the ALJ does not attach the document (scan and upload) during the hearing. The ALJ is afterwards tasked with uploading any new exhibits from the hearing that don't already have attachments in the case file. The ALJ also has the option of forwarding/reassigning the task to support staff for assistance.

State Requirements Use Case Beginning

1.5.1. SUMMARY SECTION

Item	Description
Use Case ID:	UC-5-05
Use Case Name:	Post-Hearing Documentation
Description:	This use case describes the steps an ALJ or Support Staff user will take to upload case files and associate them with exhibits from the hearing if required.
Actors:	1. ALJ or Support Staff User
Triggers:	1. User has been assigned the "Update Exhibits" task.
Pre-Conditions:	1. All documents are already uploaded to case file or in possession of the user.
Post-Conditions:	Main Flow: 1. "Post-Hearing Documentation" task complete and removed from user's dashboard. Alternate Flow: None Exception Flows: Exception Flow E1 – Forward Update Exhibits Task
Includes:	None
Extension Points:	None
References	Functional Requirements: WF-3.2.5, WF-5.5.1

1.5.2. MAIN FLOW

Step	Action/Cause/Stimulus	Reaction/Effect/Response
1	User navigates to dashboard.	System displays "Update Exhibits" tasks.
2	User selects task for desired case.	The system shall prompt the choose between two options: <ul style="list-style-type: none">• Add post-hearing documentation, or• Forward task to support staff

Step	Action/Cause/Stimulus	Reaction/Effect/Response
3	<p>The user chooses to add post-hearing documentation.</p> <p>OR</p> <p>The user chooses to forward task to Support Staff user for assistance (WF-3.2.5).</p>	<p>If the user selected to add post-hearing documentation, the system shall present functionality that allows the user to upload files and associate them with exhibits from the hearing or indicate the uploaded file is not an exhibit but needs to be part of the case file.</p> <p>If the user selected to forward the task, execute Exception Flow E1 – Forward Update Exhibits Task the system shall reassign the task to the indicated person. The task shall remain on the ALJ user's dashboard until the task is complete.</p>
4	The user uploads case documents (WF-5.5.1), associates them with their respective exhibits (WF-3.3.4), or indicates they are supplementary documentation. The user submits the task for validation.	<p>The system shall not allow the task to complete until all exhibits from the hearing have associated documents in the case file. If the user failed to associate any uploaded files with exhibits, or indicate they do not belong to an exhibit, the user shall be prevented from saving and forced to complete Step 4.</p> <p>The system saves all new case information, attaches all new files to case, and closes "Post-Hearing Documentation" task. System removes task from user's dashboard.</p>
5	Flow ends	

1.5.3. ALTERNATIVE FLOWS

Branched From:	
Flow Scenario:	None
Post-Condition:	
Branch To:	None

Step	Action/Cause/Stimulus	Reaction/Effect/Response
A1-1	None	
A1-2		
A1-3		

1.5.4. EXCEPTION FLOWS

EXCEPTION FLOW E1 – FORWARD UPDATE EXHIBITS TASK

Branched From:	Main Flow, Step 3
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	E1 – Forward Update Exhibits Task
Post-Condition:	<ol style="list-style-type: none"> 1. “Update Exhibits” task is complete. 2. All exhibits have associated documents in the case file.

Step	Action/Cause/Stimulus	Reaction/Effect/Response
E1-1	Support Staff user navigates to dashboard.	System displays “Update Exhibits” tasks.
E1-2	The user opens task for desired case.	The system shall present functionality that allows the user to upload files and associate them with exhibits from the hearing.
E1-3	The user uploads case documents, associates them with their respective exhibits, or indicates they are supplementary documentation. The user submits the task for validation.	<p>The system shall not allow the task to complete until all exhibits from the hearing have associated documents in the case file.</p> <p>The system saves all new case information, attaches all new files to case, and closes “Post-Hearing Documentation” task. System removes task from user’s dashboard.</p>
E1-4	Flow Ends	

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State Requirements Use Case End
