

**Supreme Court of Florida**  
**Office of the State Courts Administrator**  
*Trial Courts Needs Assessment Project*

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**Probate, Guardianship, &  
Mental/Medical Health  
Functional Requirements Document**

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Version 1.3

28 January 2003



## Revision History

Date	Version	Changed By	Notes
12/13/2002	1.0	J. Nikiel	First Edition of the Functional Requirements Document for the Probate Division
12/19/2002	1.1	J. Nikiel	Reformatted Document to include process flow diagrams in appendices A through A4, and data requirements in appendices B through B2.
1/3/2003	1.2	J. Nikiel	Added one issue/recommendation to "Other Operational Considerations" table. Completed updates to process flow diagrams in appendices A and A1.
1/28/2003	1.3	J. Nikiel	Incorporated additional comments from 17 <sup>th</sup> Circuit. Replaced duplicate 3.2 flow diagram with correct 3.3 diagram. Added "employment verification" as input on 2.2 diagram. Updated all data objects in appendices to "required".



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## 1. Overview

This purpose of this document is to describe the functional requirements and information needs of the trial courts in the Probate court division from the Judges' perspective, primarily addressing the Judges' court case management responsibilities. These requirements are described in the context of a larger effort, namely, a comprehensive trial court technology assessment. The comprehensive assessment will include functional, informational, technological (infrastructure, interoperability, integration), financial, and strategic aspects of achieving the goals associated with an effective integrated judicial information environment.

This probate requirements document is related to a similar document containing the functional requirements from the other divisions of the court, having the more general title, "*Functional Requirements Document*". As of December 2002, the latest general Functional Requirements Document is version 1.3, dated October 6, 2002. The requirements contained in the related document cover the following court divisions:

- ❑ Criminal
- ❑ Civil
- ❑ Juvenile (Dependency and Delinquency)
- ❑ Traffic
- ❑ Family
- ❑ Drug Court
- ❑ Jury & Witness

Due to the volume and complexity of the Probate division requirements, and the fact that the processes and requirements for the Probate division were still being finalized and coordinated with the Probate JAD user group as late as September 2002, OSCA determined that the Probate requirements would be published in a separate document.

This is the first edition of the document, and it will be considered a living document for a period after initial publication. Changes will be made to the document based on information that may be added for the Probate division, based on input received from OSCA's and the Judges' review of the document.

### 1.1 Background

Functional and data requirements were collected, documented, and analyzed using various methods:

- ❑ Collection and compilation of existing sources, such as state and local process flow descriptions, flow charts, and data dictionaries.
- ❑ Review and analysis of Florida statutes and Florida rules of court
- ❑ Joint Application Development (JAD) sessions, involving participants from several of the twenty Florida judicial circuits, and various organizations within the circuits and from the state government level.



There were eleven JAD sessions conducted over a five-month period in Tallahassee, Orlando, and Tampa. The sessions normally lasted one or two days, and the groups included 20 – 25 participants from organizations that are involved in the judicial process in some way:

- ❑ Judges from Circuit and County Courts
- ❑ General and Special Masters
- ❑ Clerks of Court
- ❑ Florida Association of Court Clerks and Comptrollers (FACC)
- ❑ Court Administration and Court Operations
- ❑ Court Information Technology and Information Systems Coordinators
- ❑ Public Defender
- ❑ Private Attorneys

The JAD sessions were conducted in the following sequence, at the locations indicated:

<b>Court Division</b>	<b>Date</b>	<b>Location</b>
Probate (1 <sup>st</sup> session), Probate & Trust	March 20, 2002	Orlando
Probate (2 <sup>nd</sup> session), Guardianship	May 3, 2002	Tallahassee
Probate (3 <sup>rd</sup> session), Mental & Medical Health	June 14, 2002	Tampa

In addition, the requirements analysts participated in several conference calls to review and finalize the process flow diagrams, requirements, and data elements.

Prior to each JAD session, a draft set of process flow diagrams, functional requirements, and data requirements were distributed to the invitees. In most cases, the court division subcommittee chair and one or two designees provided input to the draft flows prior to distribution to the whole group.

During the JAD sessions, the flows were used to facilitate the discussion of functions, specific judicial requirements, and issues faced by the judges during the case management process. Involving the diverse group in these discussions resulted in a productive exchange of ideas and recommendations, which were incorporated into the JAD session outcome reports. As the group walked through the hardcopy flow diagrams, they were modified to incorporate additional data requirements, clarify the processes, and resolve any discrepancies. The functional and data requirements spreadsheets were reviewed with the group, and indications were made for those data objects and elements that are required by the judges. In many cases, other objects and elements were added to the list as a result of the discussion.

After each JAD session, the diagrams and spreadsheets were finalized in electronic format, and a JAD session outcome report was prepared. The report included a synopsis of the session, the finalized drawings and spreadsheets, and a list of issues, recommendations, and other operational considerations raised during the discussion. The report was then distributed to the JAD participants for their review and comment.



The diagrams, spreadsheets, and remaining contents of the outcome reports were used as the primary input to this document.

## **1.2 Document Overview**

This document is organized into sections as described below.

- ❑ Overview – content overview, project background, document overview, and references.
- ❑ Requirements – including functional process flow diagrams organized by court division, functional requirements and data requirements in spreadsheet format, cross-referenced to court division.
- ❑ Other operational considerations.

## **1.3 References**

The primary references used in this document are the JAD outcome reports from the Probate JAD session mentioned in the background section above. Other main sources that were referenced include:

- ❑ *Civil Functional Standards*, published by the National Center for State Courts, updated March 1, 2001.
- ❑ *2001 Florida Statutes*, referenced at <http://www.leg.state.fl.us/Statutes>.
- ❑ *2001 Florida Rules of Court*, published by West Publishing Company (WESTLAW®)
- ❑ *Industry Standard Specifications for Interoperability Based on XML*, LegalXML data standards published by the Organization for the Advancement of Structured Information Standards (OASIS), and referenced at [www.oasis-open.org](http://www.oasis-open.org).
- ❑ *Justice XML Data Dictionary Schemas*, (evolving standards) published by the Georgia Tech Research Institute (GTRI) and referenced at [http://justicexml.justicetri@justicexml.gtri.gatech.edu/jxdds/XML\\_Schemas.html](http://justicexml.justicetri@justicexml.gtri.gatech.edu/jxdds/XML_Schemas.html).

# **2. Requirements**

## **2.1 Functional Process Diagrams**

Appendix A contains the final version of the functional process diagrams that were reviewed and agreed upon during the JAD sessions. The diagrams are grouped into three sections within the Probate division: Probate/Trust, Guardianship, and Mental/Medical Health. The functional process diagrams contain process blocks that are linked together by a simple numbering system. The diagrams are presented in a hierarchy from processes described at the most general level to the processes decomposed to the most detailed level. The processes include references to the Florida Statutes and court rules where applicable. Process diagrams are in the form of Visio drawings, and show inputs to and outputs from the processes. In cases where data comes from or goes to an external source, that source is indicated.



## **2.2 Functional Requirements**

This section contains the final version of the textual requirements that were reviewed and agreed upon during the cumulative JAD sessions and other analysis that has been conducted. The text requirements reference the functional area within the Probate division to which they apply:

- ❑ Mental Health
- ❑ Guardianship
- ❑ Probate/Trust
- ❑ Medical Care
- ❑ Adult Protective Services

Each area is in a distinct section of the document, and within each section the requirements are allocated to the processes for that area. The text requirements are allocated to the processes represented by the flow diagrams in appendix A. Some processes may have no requirements allocated to them, and others may have several allocated to the same process. The main processes are listed, regardless of whether or not any requirements have been allocated to them, for two reasons: 1) for completeness and comprehensiveness, and 2) because this is a living document, text requirements may be allocated to a process in a later edition of the document.

### **2.2.1 Cross-Divisional Functional Requirements**

This section contains requirements that are common across multiple or all divisions, and are common to many of the processes, especially if the process relates to an in-court event at which a judge or other judicial officer presides. Due to subtle differences in wording of the requirements agreed upon during the JAD sessions for the different divisions of the court, the wording of these common requirements have been standardized, and many of them mirror the criminal (CR), civil (CV), and domestic relations (DR) functional requirements standards published on the National Center for State Courts web site (<http://www.ncsc.dni.us/ncsc/ctp/htdocs/standards.htm>).

Cross-divisional requirements generally do not apply to a specific process within divisions, so they are not mapped accordingly; they are more accurately described as “on-demand” requirements, which are required to be in place at any time, regardless of the process being executed.



Req. #	Functional Area Functional Requirement Text
<b>Case Initiation and Indexing</b>	
001	Permit case look up and retrieval subfunctions by entering a specific defendant/case party and participant name, defendant/case party and participant role, and/or case filed date range, and then obtaining index information (such as each defendant/case party and participant name, date of birth, defendant/case party charges and/or role in case, and whether defendant/case party has an attorney; case type; case number, and other identifiers; alias(es); date filed; and cross reference to other defendant/case parties and participants in case (such as those persons named in case title or style) by selecting from a list of matching results.
002	Permit name search on various combinations of a specific individual's (i.e., defendant/case party and participants) name (e.g., full name, last name only, part of first or last name, etc.).
003	Extract, print, retrieve, or otherwise produce (with appropriate security restrictions), case index information sorted by the content of the various components of index (e.g., defendant/case party, case number, case status, citation number).
<b>Docketing and Related Record Keeping Function</b>	
004	Provide access to information originally entered during case initiation (e.g., case, person) and to information that supplements these initial entries from the case progress docket index (an index of summary information on the case events and documents). The case progress docket index contains such data elements as document/event identifier, document/event type (such as "motion" or "order", document/event title (such as "motion to dismiss" or "order denying motion to dismiss"), document filing or event date, document filing party. The relationship between multiple documents should also be shown if it was captured upon entry/filing; for example, the relationship between a claim and an answer to the claim should be shown.
005	Permit user to identify and retrieve electronic documents by identifying them on the case progress docket index (e.g., with icon adjacent to event such as motion for dismissal filed indicating that motion filed electronically) and easy display or printout of electronic document or scanned image (e.g., motion that was filed)
006	Produce information on special case processing requirements or orders (e.g., sealed case or document, suppressed indictment, custody status if fugitive).
007	Permit user to access information on multiple individuals associated with a case, such as personal demographics (including employment/student status, immigration status, special needs (religion, diet, language), and charge status including dismissals.
008	Permit user to access both current and historical information for each judge, attorney, prosecutor, victim, defendant, witness, or other participant that is or was associated with a case, with beginning and ending dates (or effective dates of association).
009	Produce information and relationships on multiple cases, judges, attorneys, prosecutors, victims, defendants/case parties, witnesses, and other participants (e.g., to view related cases when preparing to hear case, to view all cases involving particular defendant, to view multiple paternity cases filed against the same respondent by different petitioners, etc.)



Req. #	Functional Area Functional Requirement Text
010	Track and allow queries on the relationship of specific cases and the defendant/case party to criminal support units (for data such as bail, pre-trial services, pre-sentence investigation, adult probation), CJ agencies (such as law enforcement, prosecutor, public defender (defense attorney), corrections, and adult probation), and non-justice agencies such as social services.
011	Produce information on all, part, or summaries (i.e., “Views”) of docket(s) (e.g., events in case progress docket, defendant/case party or participants, charges for specific defendant, summaries of judgment information, case age) for specific case or group of cases and for life of case or specific date range in chronological or reverse chronological order.
012	Support user access to query and view electronically filed (e.g., directly from prosecutor’s and defense attorneys’ offices) pleadings and other documents.
013	Produce history of changes in judge assignment including those by challenges (e.g., preemptory challenge), showing present and former judges and reasons for change.
014	Produce history of attorney changes for a specific case or case party, with reasons for change.
015	Allow access to information to permit user to obtain audit trail of all charges (i.e., from arrest through life of case) for a given defendant/case party and case.
	<b>Schedule and Case Management</b>
016	Produce (including ability to reproduce, redisplay, or reprint) schedules for various individuals, events, hearing types, dates, and facilities upon user request (e.g., judges calendar by day).
017	Display attorneys who have cases with future court dates sorted by various criteria (e.g., law firm, defense attorney, prosecutor).
018	Produce information on scheduled events for case (e.g., next scheduled event, all scheduled events).
019	Include case age with any display of case status related to tracking conformance to statutorily mandated or locally defined time standards.
020	Display case conformance to time standards including reasons for non-conformance, if previously entered in the system.
021	Provide exception reporting when scheduled events and groups of events do not conform to statutorily and locally mandated time standards.
	<b>Ticklers &amp; User Alerts</b>
022	Provide tickler capability to identify events coming due or overdue, periods about to expire or expired (e.g., bail forfeiture due), events of which user should be aware based on locally-defined needs (e.g., approaching maximum number of continuances, case inactive for excessive period pending completion of psychological evaluation or pre-sentence investigation).
023	Provide capability for users to define frequency with which system displays ticklers, alerts, and prompts.
024	Provide capability for users to define content and intrusiveness of ticklers, alerts, and prompts



Req. #	Functional Area Functional Requirement Text
025	Display lists of all events due on specific date or date range (sorted by date, event, or other user defined criteria).
026	Generate alert when displaying pending cases for which there is no scheduled next event.
027	Generate display of available slots on the judicial calendar.
	<b>Document Processing</b>
028	Provide electronic acknowledgment and notify appropriate individuals that filings, pleadings, and other documents received and accepted when document filed electronically.
029	Provide capability to print documents upon request, and in accordance with appropriate security and confidentiality restrictions.
030	Provide capability to distribute documents electronically (e.g., documents to be sent to process server) in accordance with state and local statutes, rules, or procedures and appropriate security restrictions.
031	Allow users to create and maintain files of output templates and standard text, including entire paragraphs, and use files to (1) create official court documents by inserting text into templates (e.g., judicial orders, with text and images of court seals and signatures) and (2) create other documents consisting of only text (e.g., brief progress reports on plea agreements).
032	Provide capability to retrieve case-related information (such as attorneys, parties, and participants; case number; case style) from various locations in the system and database for the purpose of merging into document templates.
033	Display status of documents sent or served (return of service or service of process information).
	<b>Calendaring</b>
034	Display calendars and incorporate calendar addenda specifically identifying calendar addendums -- based on scheduling information -- for each type of hearing (e.g., jury trial, non-jury trial, motion, preliminary, dismissal) or mixed hearings (e.g., motions and plea agreements) for specific periods (e.g., daily, weekly, monthly) and according to various criteria (e.g., judge, date, time, case type, case category, post-conviction activity such as violation of probation, and other elements of calendar profiles).
035	Display calendars individually (e.g., for a judge or courtroom) according to various criteria including date, judge, or courtroom.
036	Display summary calendar information (e.g., for use in courtroom giving case number, hearing type, case title or style, hearing date and time, judge, related events or individuals, and other essential information from calendar).
037	Display summary of upcoming hearings for given judge or in given courtroom over specific period (e.g., one week).
	<b>Hearings</b>
038	Provide capability to create and print (including ability to reprint) court orders resulting from hearings and other judicial proceedings in real-time.
039	Distribute court orders electronically to external (to the court) recipients and internally to be entered in docket, as necessary. <i>(Related to A)</i>



Req. #	Functional Area Functional Requirement Text
040	Send and receive materials to and from other units to assist in judicial functions (e.g., send pre-sentence information to pre-sentence investigation unit and receive results of investigation for use in sentencing, conviction information to adult probation unit and probation information from unit, contents of order for psychological evaluation to non-justice agencies and results of evaluation from non-justice agencies).
	<b>Disposition</b>
041	Display disposition, sentence for entire case and each charge.
042	Distribute disposition and disposition documents (judgment form, sentencing documents, custody forms) electronically to agencies external to court in accordance with state and local statutes, rules, or procedures (e.g., to law enforcement and corrections) and internally to be entered in docket.
043	Display disposition and sentence information that shows, for each case and defendant, original and subsequent charges and dispositions and sentences for each charge.
044	Display separate disposition and judgment, including original and subsequent judgments (e.g., containing amounts, modifications, and satisfactions) for each case and party.
	<b>Case Closure</b>
045	Display disposition and reason for closure (e.g., case disposed after jury or non-jury trial, guilty plea (e.g., by plea agreement), dismissal, bound over, transfer out to another jurisdiction, consolidation, nolo contendere, or bail forfeiture, alternative dispute resolution (ADR) such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation)
	<b>Accounting</b>
046	Display existence of fee waivers or deferrals, and type of deferral.
047	Display information on payments of fees, fines, and related assessment.
048	Provide the capability to share information with state agencies to coordinate collection of court-ordered payments (e.g., to recover previously-waived fees, to initiate tax intercept).
	<b>Audit Trail Management</b>
049	Provide capability to display changes in case numbers (e.g., for cases transferred to general jurisdiction (i.e., Circuit) court), individual identifiers (e.g., across courts, criminal support units, CJ agencies, and non-justice agencies), and other identifiers.
050	Provide capability to display changes in modified or amended charges from point of arrest or initial filing through completion of sentence, while remaining linked to incident and case for disposition tracking purposes.
051	Provide capability to display changes in dismissed charges from point of arrest or initial filing through disposition while remaining linked to incident for disposition tracking purposes.
052	Provide capability to display pleas entered and their verdicts.
053	Provide capability to display information on sentence compliance and modifications.



Req. #	Functional Area Functional Requirement Text
054	Allow for multiple numbering and index systems required by different courts, criminal support units, CJ agencies, and non-justice agencies (e.g., state identification number (SID), personal identification number (PID), state and local criminal history numbers, family identification number).
055	Provide court and case index as part of individual identification information index for courts, criminal support units, CJ agencies, and non-justice agencies. (Court index is an index of all cases being managed by the court; case index is all components of a single case being managed by the court.)
056	Send warrants and other served documents (e.g., subpoenas), to appropriate agency with request for acknowledgement of receipt.
057	Receive, acknowledging receipt of, warrants and other served documents (e.g., subpoenas), from appropriate agencies.
058	Receive return of service on warrants and other served documents (e.g., subpoenas).
059	Notify appropriate agencies of expunged cases, sealed cases, and special case access information.
060	Send and receive all pertinent risk and need assessments between court, criminal support units, CJ agencies, and non-justice agencies.
061	Allow publishing of case, docket, court scheduling or calendaring information, disposition, sentence information to appropriate interested parties.
062	Allow query and display access to case, calendar, court minute, court order, sentence, and disposition information.
063	Allow display access to exhibit information (e.g., for disposal of exhibit).
064	Send information on court schedules, convictions, sentences (e.g., DHSMV notification of license suspension, tax information to IRS and department of revenue).
065	Receive special alert information from prosecution or confinement facility regarding defendant in-custody behavior.
066	Receive information on custody status from detention/corrections unit.
067	Receive information on sentence compliance and completion from detention/corrections unit.
068	Receive information on defendant who has completed detention or any programs administered by corrections.
069	Receive information on incarceration (e.g., beginning and ending dates) from detention/corrections unit.
070	Receive from detention/corrections unit notification of release from physical custody in advance of release (when planned) or upon instance of involuntary release (escape, death).
	<b>File Archival and Destruction</b>
071	Display reports showing cases where case file has been archived, destroyed, or transferred.
	<b>Document Management</b>
072	Provide access to search, retrieve, and display electronic and imaged documents.
073	Provide capability to toggle between views of several different documents.



Req. #	Functional Area Functional Requirement Text
	<b>Exhibit Management</b>
074	Provide access to lists of exhibits and other property according to case, participant, and other parameters.
	<b>Statistical Reports</b>
075	Provide access to statistical reports, such as case load (opened, pending, closed, reopened), closed cases by method of disposal (using SRS disposal categories), number of cases assigned per judge; case flow or aging reports (e.g., number pending for 30 days, for 60 days, for 90 days and whether waivers of time limits exist), case age at disposition (e.g., disposed within 60 days, within 120 days, within 180 days), number of pending cases at each proceeding stage (e.g., number of pending awaiting pre-trial conference, awaiting trial, no hearing scheduled), and average time intervals between proceeding stages (e.g., between initial filing and pre-trial conference); and workload statistics (e.g., changes in numbers and percentages of filings to dispositions, percentage changes in filings in successive reporting periods and successive years, percentage changes in manner of disposition).
	<b>Management Reports</b>
076	Provide access to management reports, providing information on cases (e.g., compliance with time standards defined by local best practices, rules of court, and state statutes; summary information on case parties, filings, and events; and detailed information on particular case aspects, such as no action within a user-specified time frame, no service of process within 120 days; warrants issued, served, and outstanding for more than a user-defined time frame) and sortable by various parameters.
077	Display Witness List, including witness identification, relation of witness to case party, witness address, witness birthdate.
078	Display closed cases with judgments ordered, and cases that are hung, inactive, or otherwise not disposed.
079	Display cases pending on defendant in other Florida counties, and other states.

## 2.2.2 Civil Functional Requirements

The Civil functional requirements from the main Functional Requirements Document apply to the Probate division. They are repeated below for ease of reference and completeness.

Req. #	Functional Area Functional Requirement
	<b>Case Header/Style</b>
120	Accommodate the query and display of parties and participants as individuals (e.g., Ann Smith) or organizations (e.g., Acme Asbestos Company) with primary contact person associated with an organization.
	<b>Information Relationships</b>



Req. #	Functional Area Functional Requirement
121	Display information and relationships on multiple cases, judges, attorneys, and parties (e.g., cases related only by the fact that it is the same action having a prior filing).
	<b>Disposition</b>
122	Display disposition type (i.e., type of judgment) including those involving entire cases, individual parties, parcels in real property rights cases, and cross complaints.
123	Distribute disposition and post-judgment documents noted above electronically external to court and internally to be entered in docket.
124	Allow for multiple judgments in cases involving multiple parties.
	<b>Execution of Judgment</b>
125	Display requests for execution of judgments.
126	Display objections to execution of judgment.
127	Display fully, partially, and nonsatisfied executions.
	<b>Management Reports</b>
128	Display report of no action on small claims case for six months.
129	Display report of no action on regular County/Circuit civil case for one year.
130	Report of no service of process within 120 days on County/Circuit civil cases.

### 2.2.3 Probate Division Functional Requirements

The Probate division functional requirements include the cross-divisional requirements from section 2.2.1, the Civil division functional requirements from section 2.2.2, plus the requirements specific to the functional area within the Probate division.

An important finding relative to the Probate division functional requirements is that judges have a far more extensive, comprehensive, and active role in managing cases within the Probate division – more so than in any other division of the court. In Probate cases, it is the judge/court that has primary responsibility for the case party on behalf of whom an action has been filed. It is the court that must ensure that an estate or trust is administered properly, that a mental or medical health care case is being managed to properly protect the rights of the patient, and that a guardian is properly administering the affairs of a ward (thus the term, “*ward of the court*”). It is for this reason that the analysis process for this division involved much more depth and detail. The detailed requirements analysis process will be accordingly extensive to result in the appropriate level of system requirements for this division.

#### 2.2.3.1 Manage Mental Health Case

The requirements are mapped to the processes documented in appendix A. The main process numbers are shown in the table – those numbers map to the process titles:

##### *Process 1: Manage Baker Act Case*



**Process 2: Manage Marchman Act Case**

Req. #	Functional Area Functional Requirement	Mental Health Process	
		1	2
<b>161</b>	Provide access to an institution tracking report to track, identify, and alert judges to facilities filing multiple petitions for involuntary assessments on a person and, after receiving Medicare assessment fees, not filing an associated petition for placement. (Identification of these “miraculous recovery” cases may indicate fraudulent payments to the facility for “churning.” Law Enforcement or the facility/doctor itself could initiate repeated assessments without filing a petition in Clerk’s office and Judges have no way of knowing this is occurring).	<b>X</b>	<b>X</b>
<b>162</b>	Provide capability to access/communicate with DOH and ACHA databases to report case party demographic and geographic information, such as patient name and age, residential address, treatment location , facility location and case disposition of treatment.	<b>X</b>	<b>X</b>
<b>163</b>	Provide interface to/communication capability with external data sources to report statistics on patient treatment facilities including treatment success and patient recidivism. (This will allow judges to identify irregularities, patterns and trends.)	<b>X</b>	<b>X</b>
<b>164</b>	Provide access to administrative hearing information on cases involving problems with treatment plans. Judges would like to have access to this information for tracking and monitoring purposes even though it is an administrative hearing (DOH?) and no longer a circuit court case issue.	<b>X</b>	<b>X</b>
<b>165</b>	Provide access to ZIP code demographic for a patient’s residence, location of facility performing patient’s assessment, and location of hospital/medical treatment facility. (For purpose of helping to identify possible “churning” and other fraudulent activity.)	<b>X</b>	<b>X</b>

**2.2.3.2 Manage Guardianship Case**

*Process 1: Manage Incapacitation Guardianship Case*

*Process 2: Manage Minor, Veteran, and Voluntary Guardianship Case*

*Process 3: Manage Developmentally Disabled Guardianship Case*



Req. #	Functional Area Functional Requirement	Guardianship Process		
		1	2	3
166	Provide auditing and query tools for monitoring statutory and financial compliance, problem identification, and trend analysis	X	X	X
167	Provide the capability to perform “random” audits to identify non-statutory problems such as ward’s tax returns not filed timely.	X	X	X
168	Provide the capability to indicate for specific data elements that there is a threshold value associated with the element, and provide automatic alerts to the user, prompting for judicial intervention or action.	X	X	X
169	Provide automatic verification that user-specified documents (such as guardianship oath, fingerprint card, etc.) have been filed, and verification that the case file contains the full set of user-specified documents.	X	X	X
170	Display report of dates associated with activities by guardian type, financial institution, and health assessment and treatment providers.	X	X	X
171	Provide automatic trend analysis capability for guardianship cases, where results could be sent directly to the state attorney’s office for follow-up investigative action. (This would reduce the need for appointment of special masters to investigate irregularities in guardianship-related activities.)	X	X	X
172	Report whether an estate has been opened upon the death of a ward of the court when closing a guardianship case.	X	X	X
173	Report all case actions on a guardianship case from initial filing through administration and closing.	X	X	X

### 2.2.3.3 Manage Probate/Trust Case

*Process 1: Manage Formal Administration Case*

*Process 2: Manage Summary Administration Case*

*Process 3: Manage Personal Property Without Administration*

Req. #	Functional Area Functional Requirement	Probate/Trust Process		
		1	2	3
174	Provide automatic trend analysis capability for wills/estates/trusts, to identify potential need to investigate irregularities in estate/trust-related administration activities.)	X	X	



Req. #	Functional Area Functional Requirement	Probate/Trust Process		
		1	2	3
175	Provide access to report of related probate proceedings in the creditor claims process.	X	X	
176	Receive automatic notice to initiate closing of file in compliance with specified time standards.	X	X	X
177	Receive notification of ongoing civil action or inaction on cases to allow judges to act within required time periods.	X	X	
178	Provide “checklist of obligations” when closing an estate to assist judge in determining if state and federal obligations (i.e., tax payments) have been met.	X	X	
179	Provide access to comparison information between a filed petition and a will to automatically identify differences between the two documents (such as beneficiaries in a will and those in a petition).	X	X	

#### 2.2.3.4 Manage Medical Care Case

*Process 1: Manage Tuberculosis Case*

*Process 2: Manage Expedited Judicial Intervention Case*

Req. #	Functional Area Functional Requirement	Medical Health Care Process	
		1	2
180	Receive automatic notification from the Department of Health if a death certificate is filed on a person.	X	X
181	Receive automatic notification from the Department of Health if a person is successfully treated (normally for tuberculosis).	X	X
182	Accommodate access to DOH and Agency for Health Care Administration (AHCA) records for assessment/treatment facility information, treatment plans, reports, and dispositions.	X	X

#### 2.2.3.5 Manage Adult Protective Services Case

*Process 1: Manage Non-Emergency Protective Services Case*

*Process 2: Manage Emergency Protective Services Case*



The management of adult protective services cases was not specifically discussed in any of the JAD sessions. The process flow diagrams associated with this functional area were developed in September, 2002, after all the sessions had been conducted, and as a result of conference calls with representatives from the 6<sup>th</sup> and 17<sup>th</sup> judicial circuits. There were no functional requirements identified that were specific to this area and not accounted for in other functional areas.

### **2.3 Data Requirements**

The data objects across all functional areas of the probate court division are documented in appendices B (Mental/Medical Health), B1 (Guardianship), and B2 (Probate/Trust). The data elements are documented at the level of a conceptual data model, where the technical details of how the data is stored are not explicitly defined. These data objects and elements will be analyzed in conjunction with the more specific information (forms, etc.) that was collected, which will result in data element standards. The goal is to eventually standardize the data objects/elements in accordance with the Justice XML and Legal XML standards approved by the W3C standards body.

## **3. Other Operational Considerations**

This section documents items of particular interest that are not process, functional, or data requirements, but may impact the efficient operation of the judiciary, and are relevant to the definition of standards to be performed in future phases of the project. Considerations include input from the JAD session participants, especially the information related to current processes and the bottlenecks or trouble spots inherent in them. Participants' suggestions or recommendations for improved efficiency are recorded in this section.



Item #	Issues & Discussion Topics	Recommendations	Probate/Trust	Guardianship	Mental Health	Medical Health
1	<b>Standard statistical reports.</b> There are certain sets of data that would greatly facilitate the judges' ability to operate the courts in a more efficient manner. Additionally, the court needs better tools to assist them in identifying and alerting the court to fraudulent activities conducted by parties associated with all types of cases in the Probate division (wills/estates, guardianship, medical/mental health).	Develop a Probate/Trust Reports Workgroup to review and determine the type and number of reports useful to judges in probate/trust court management.	X			
2	<b>Need capability to use Guardianship FLSSI forms data published by the Florida Lawyers Support Services, Inc. as a case management tool.</b> There are approximately 150 guardianship FLSSI forms incorporating statutory and probate rules specific to a proceeding. However, while not official court forms, nor designed to support the need of the court to manage cases, they contain 99% of the required data. The 6 <sup>th</sup> and 17 <sup>th</sup> circuits have jointly developed electronic forms that provide a basis for a future model to use as a tool for case problem identification and trend analysis.	Develop a FLSSI Forms Workgroup to identify and prioritize critical key forms needed to manage guardianships under court supervision. Data could be electronically captured and automated to provide case management and reporting capabilities useful to judges. Electronic filing capability would definitely support this recommendation.	X	X	X	X
3	<b>Provide capability to electronically review search results provided by external entities on proposed guardians and to review any related case.</b> The background check issue has the most potential for abuse because after a guardianship appointment and prior to closing of the case, unreported guardian activities could have taken place that adversely affect the ward.	Develop a Background Check Sub-Workgroup to identify the most critical background check compliance issues and how to accomplish reviews in a more efficient manner, with special consideration of the following: <ul style="list-style-type: none"> <li>➤ Provide a statewide directory/registry to maintain current information on professional guardians. (A system has been implemented in South Florida for</li> </ul>		X		



Item #	Issues & Discussion Topics	Recommendations	Probate/Trust	Guardianship	Mental Health	Medical Health
		<p>the public guardianship office, but it only applies to guardianship requirements.)</p> <ul style="list-style-type: none"> <li>➤ Provide a communications method for circuits to inform and share information on fraudulent activities.</li> </ul> <p>Background checks and identification of related cases should be done at periodic intervals throughout the guardianship and provide automated “red flags” or alerts to identify changes in a guardian’s suitability.</p>				
4	<b>Need system capability for a single data entry point</b> for case information to eliminate duplication and mistakes that could populate clerk’s data base. For example, re-entering of accounting data frequently causes inaccurate financial information to be provided to judges. A single data entry point would minimize this problem and ensure better data integrity.	Prime candidate for facilitation of a solution through electronic filing.	X	X	X	X
5	<b>Chain of custody procedure/process for taking guardian applicant’s fingerprints.</b> The clerk’s office gives the applicant the blank finger print card, they take it to the sheriff’s office to have their prints taken, and then return the completed card to the clerk. This opens the possibility of an applicant giving the card to another person to ensure that “no criminal” results are returned from the background check.	Further options should be explored in addition to scheduling fingerprinting at the clerk’s office. Participants in JAD sessions recommended that the applicant identification and verification process should begin at the clerk’s office.		X		
6	<b>Administrative impact of estimated increase in future probate case load:</b> A recent Supreme Court report (Subcommittee report on Fairness) estimated an increase by 20% of people between 65 - 85 in the next five years. Such an increase would be expected to have a large administrative impact on the Probate Court Divisions.	Projections for additional staff, as well as a process analysis and re-engineering effort should be initiated to improve the efficiency of the process. Automating functions specific to the probate division would facilitate an improvement in efficiency.	X	X	X	X



Item #	Issues & Discussion Topics	Recommendations	Probate/Trust	Guardianship	Mental Health	Medical Health
7	<b>Standard statistical reports.</b> There are certain sets of data that would greatly facilitate the judges' ability to operate the courts in a more efficient manner. Additionally, the court needs better tools to assist them in identifying and alerting the court to fraudulent activities conducted by parties associated with all types of cases in the Probate division (wills/estates, guardianship, medical/mental health).	Establish a Baker and Marchman Act Reports Workgroup to review and determine the type and number of reports useful to judges in the areas of mental and medical health case management.			X	X
8	<b>Lack of a unique "person identifier" to identify all cases related to a specific individual.</b>	Several recommendations were made in the general Functional Requirements Document. Please reference that document for recommendations.	X	X	X	X
9	<b>Identify and count every petition as a separate case number per a new SRS requirement, effective July 1, 2002. All separate cases must be related for judge's purposes.</b>	No specific recommendations were made, as this is a function that would need to be implemented in the clerks' systems.	X	X	X	X
10	<b>Need for DCF add the appropriate information to assessment forms so it can be tracked by their agency.</b> For example, original facility where person being treated, age of person, treating physician, petitioner, receiving facility on both assessment and placement, but need to flag the ones that don't have a following placement petition.	Perhaps through the TCTC, this effort can be accomplished.		X	X	X
11	<b>Need to assist various agencies (ACHA, DCF, etc) whose responsibility it is to protect elderly.</b>	Pinellas task force to address substance abuse/mental health. One of the recommendations from this committee is to form a committee to look into the abuses of the Baker and Marchman Acts. Miami-Dade has a task force as well, addressing these issues over the course of 3 - 5 years. Participants recommend a Baker and Marchman Acts review at the statewide level to address abuses.		X	X	X
12	<b>Need to capture Social Security Numbers.</b> Hospitals must have it, and it's going to be a protected (confidential) record, so courts should be allowed to capture it.	This is an issue that should be addressed by the FCTC/TCTC, and the recommendation of that body put forward.	X	X	X	X



Item #	Issues & Discussion Topics	Recommendations	Probate/Trust	Guardianship	Mental Health	Medical Health
13	The question was posed during JAD session discussions on whether the court has the authority to charge someone with <b>contempt</b> , and whether the Legislature should clarify it or whether it is a constitutional issue.	Again, this is an issue that may be best addressed by the FCTC/TCTC, or a working group.	X	X	X	X
14	<b>Court should include “a finality point” for attorneys appointed by the court.</b> (Some attorneys expect they should serve for the life of the person and at the same rate they were paid at initial appointment.)	Determine through FCTC/TCTC or a working group the process for defining the “finality point” of attorney appointments for various processes.	X	X	X	X
15	Participant discussion on <b>health care advanced directives</b> indicated some judges use a pro bono standing panel of specialists who review treatment records and evidence and submit recommendations to the court prior to hearing.	This could be recommended and communicated to other judges and circuits.				X
16	Sometimes when there is a transfer of a patient to a treatment facility by the Sheriff under a court order, the patient is not accepted into the facility for some reason, which causes a problem of not being able to fulfill the order.	Facility’s verification that patient will be accepted should be obtained prior to issuance of the pickup and transfer order.			X	X
17	Patients being treated at a facility under the Marchman Act often do not complete the treatment because they simply leave the facility at some point prior to end of treatment.	Physically secure (i.e., lock) those facilities treating patients under the Marchman Act.			X	



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## **Appendix A**

### **Functional Process Diagrams Overview and Mental Health**

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## 1. Functional Process Diagrams

Appendix A contains the final version of the functional process diagrams that were reviewed and agreed upon during the JAD sessions. The diagrams are grouped by probate division functional area. The functional process diagrams contain process blocks that are linked together by a simple numbering system. The diagrams are presented in a hierarchy from processes described at the most general level to the processes decomposed to the most detailed level. The processes include references to the Florida Statutes and court rules where applicable. Process diagrams are in the form of Visio drawings, and show inputs to and outputs from the processes. In cases where data comes from or goes to an external source, that source is indicated.

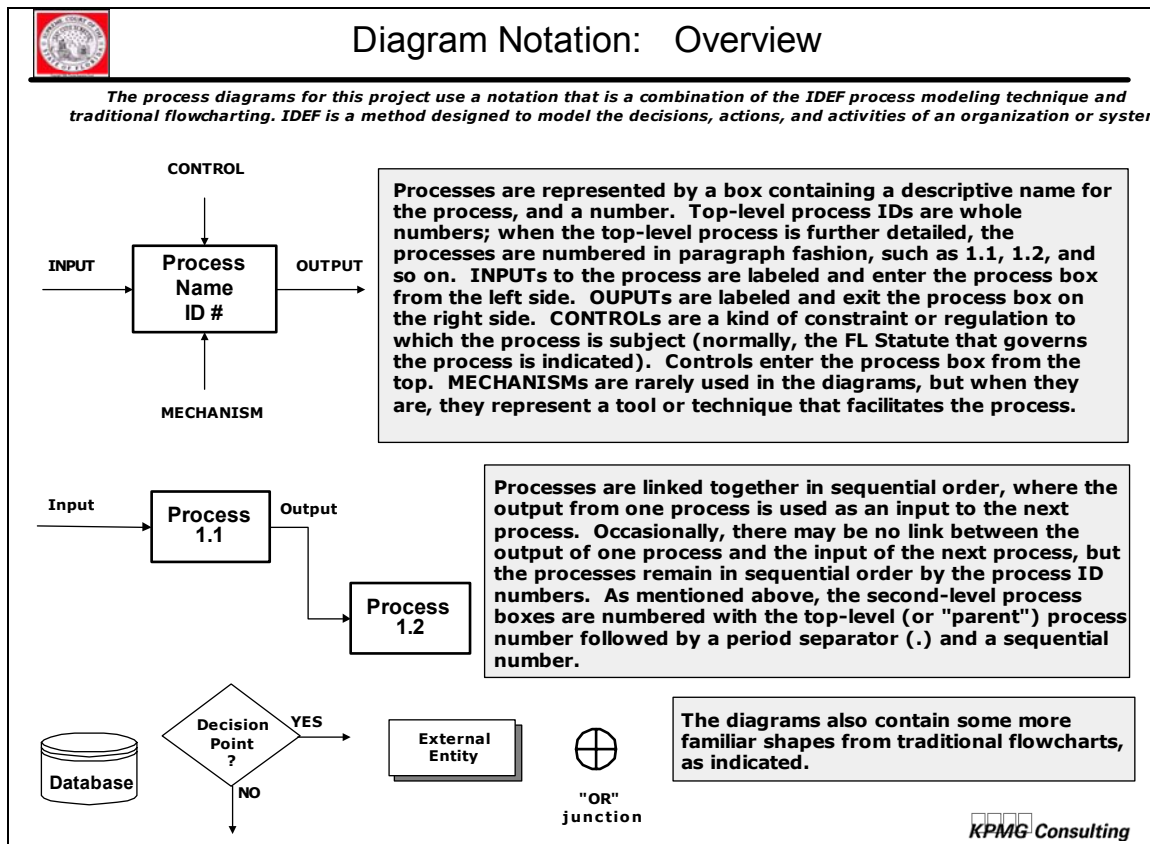


Figure A-1. Diagram Notation: Overview



## 1.1 Probate, Guardianship, and Mental/Medical Health Overview and Mental Health Case Management Process

The Probate overview process shows the functional areas covered by the process flow diagrams. The process flow diagrams included in this appendix are:

- ❑ Probate, Guardianship, and Mental/Medical Health: Overview
- ❑ Manage Mental Health Case [1]
- ❑ Manage Baker Act Case [1.1]
- ❑ Manage Baker Act Initial Examination [1.1.1]
- ❑ Manage Baker Act Placement [1.1.2]
- ❑ Manage Marchman Act Case [1.2]
- ❑ Manage Marchman Act Initial Assessment [1.2.1]
- ❑ Manage Marchman Act Treatment [1.2.2]

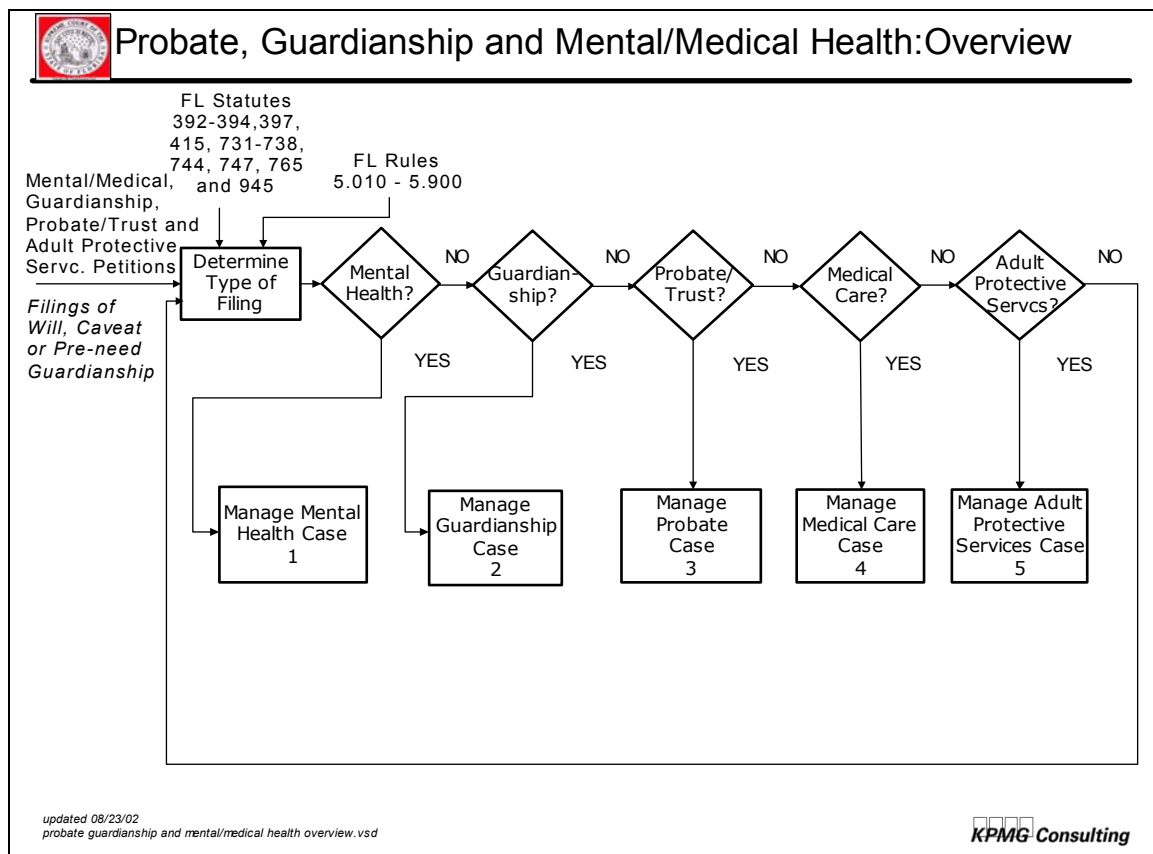


Figure A-2. Probate, Guardianship, and Mental/Medical Health: Overview

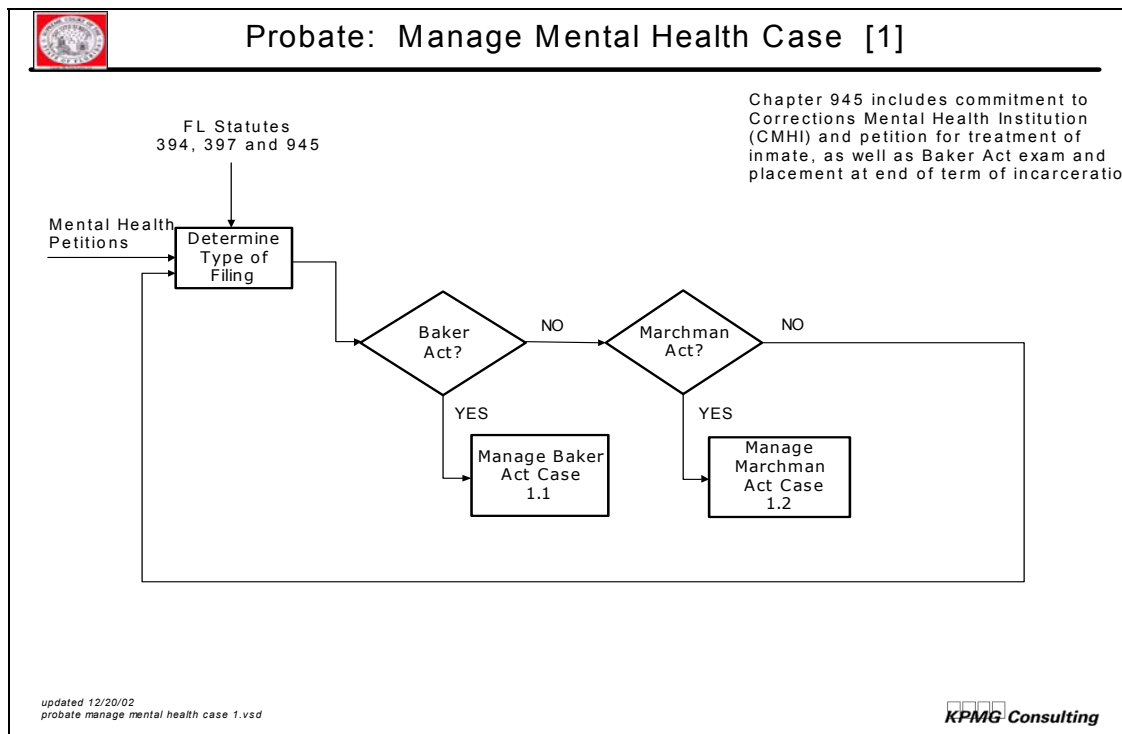


Figure A-3. Manage Mental Health Case [1]

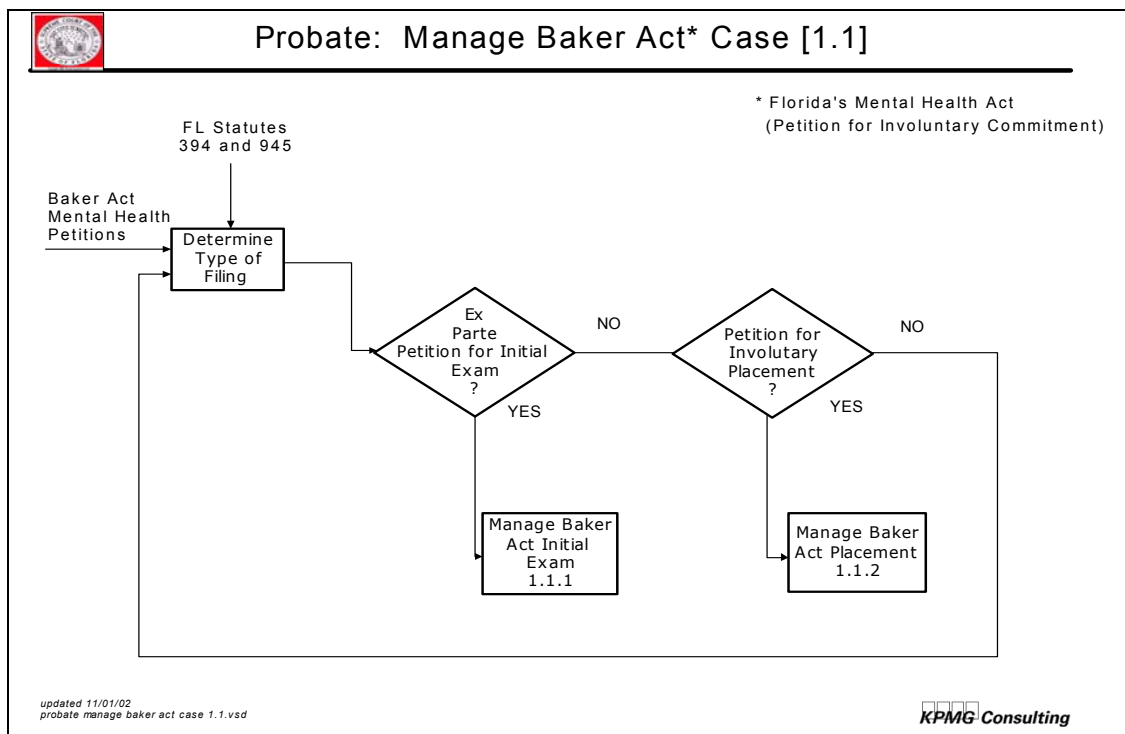


Figure A-4. Manage Baker Act Case [1.1]

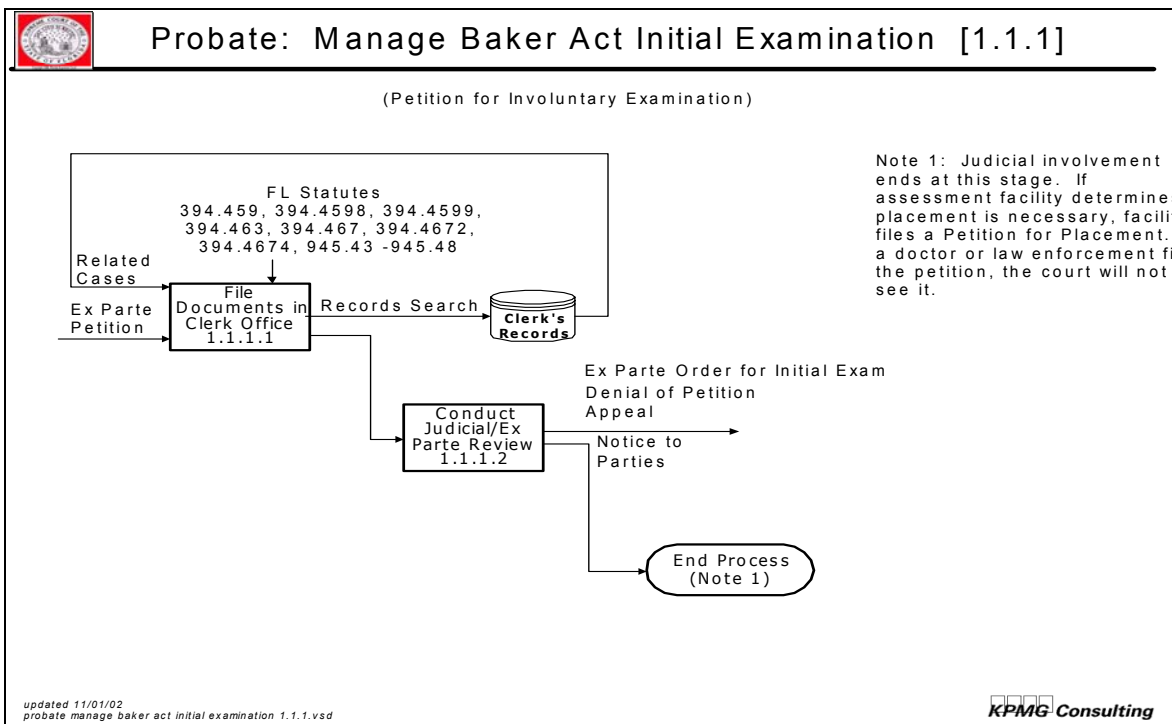


Figure A-5. Manage Baker Act Initial Examination [1.1.1]

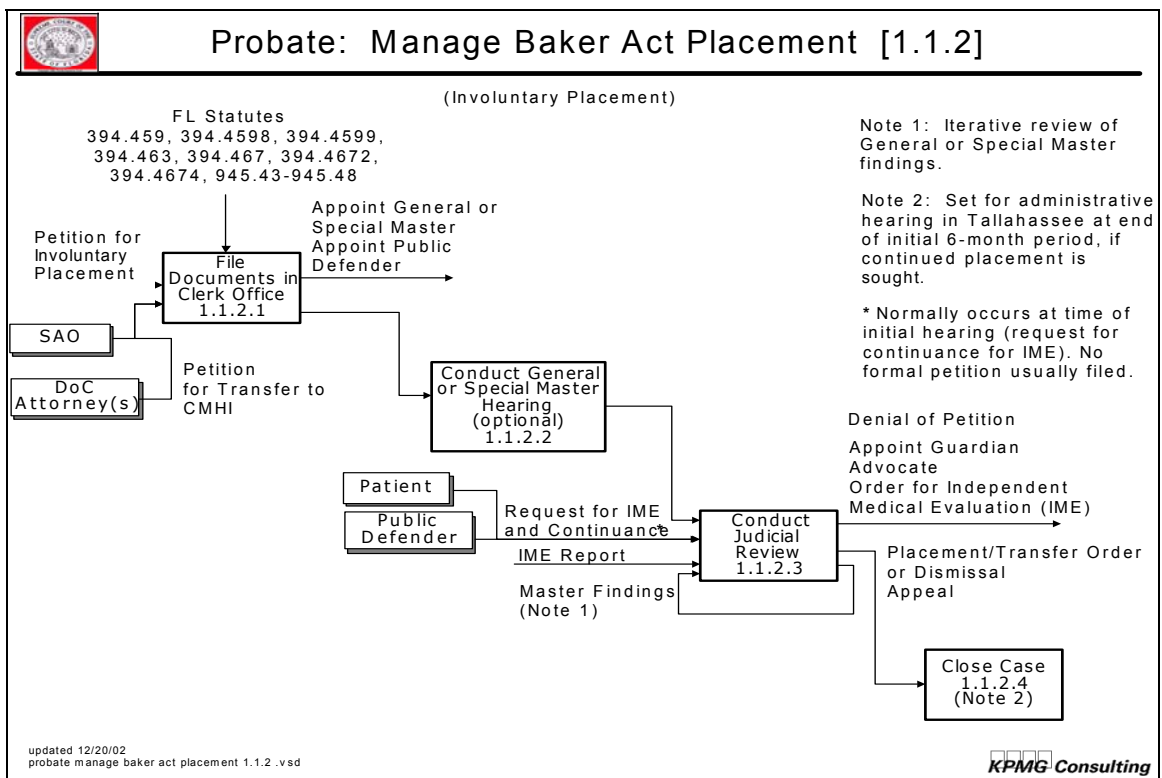


Figure A-6. Manage Baker Act Placement [1.1.2]

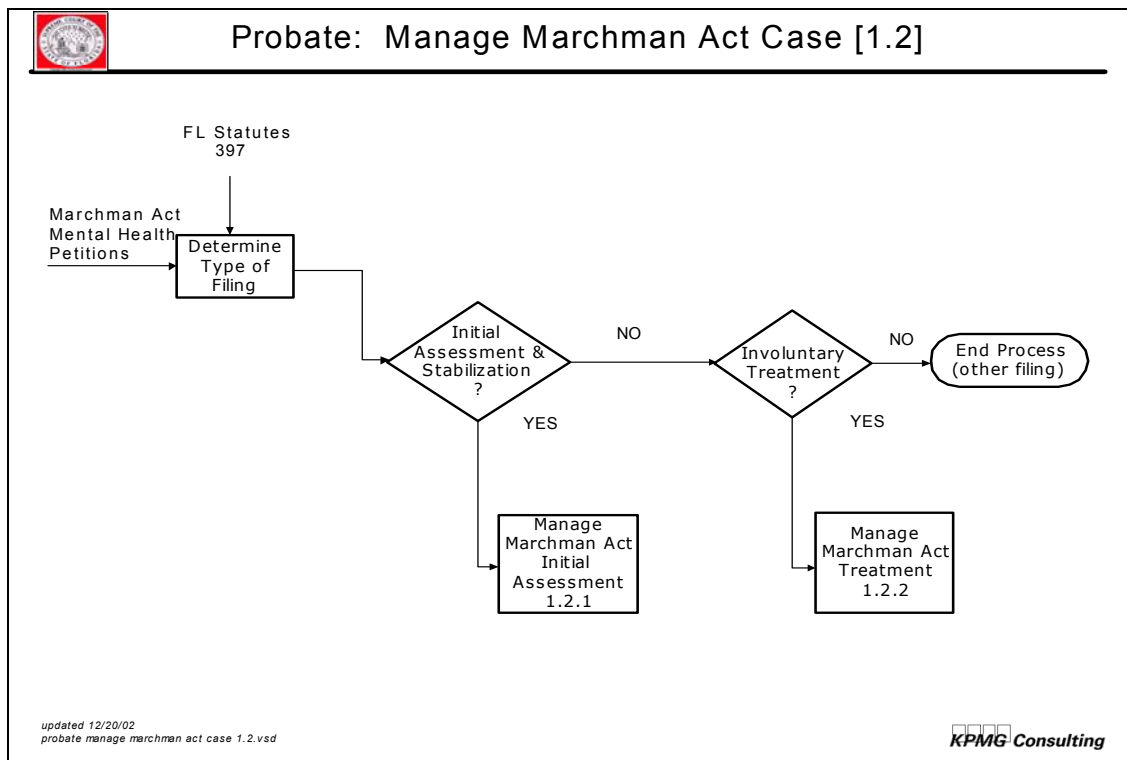


Figure A-7. Manage Marchman Act Case [1.2]

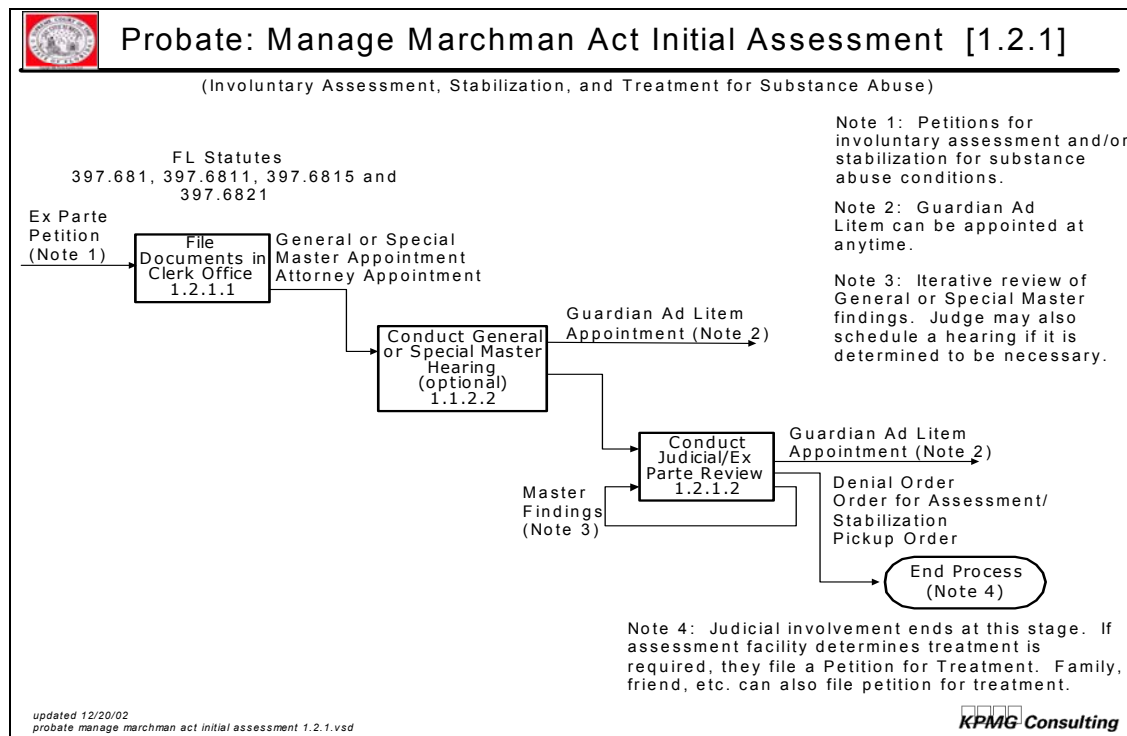


Figure A-8. Manage Marchman Act Initial Assessment [1.2.1]

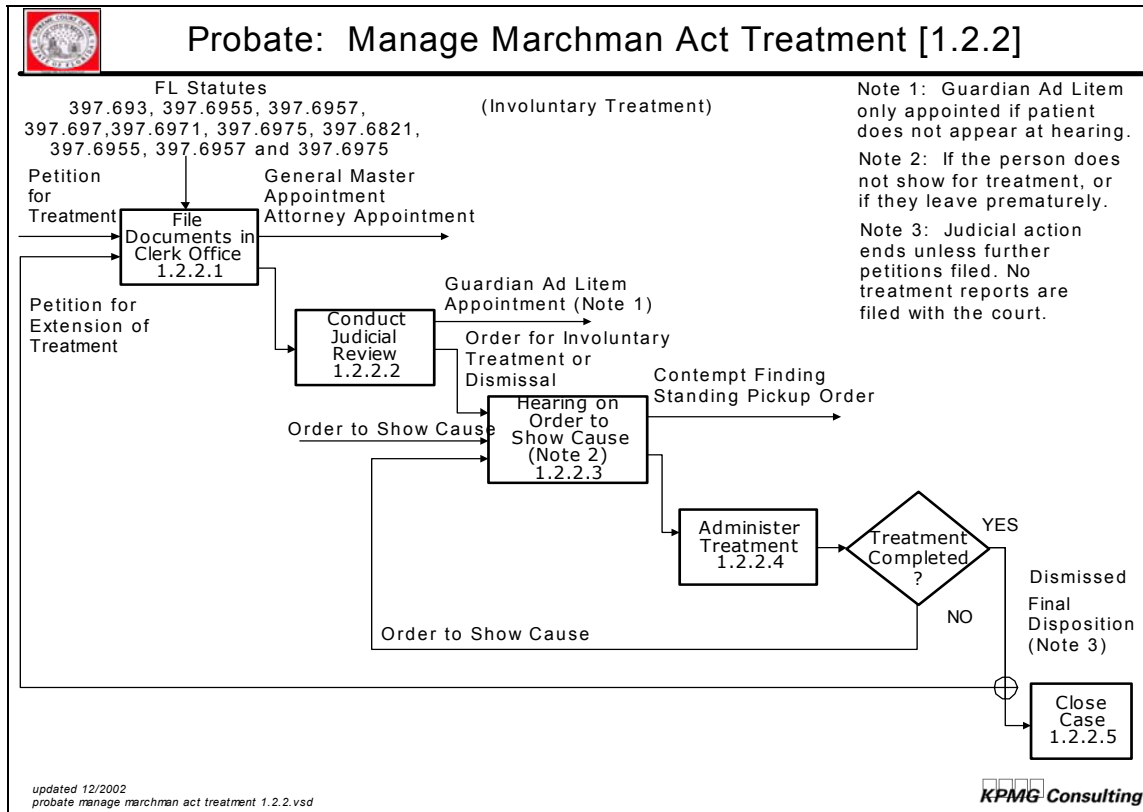


Figure A-9. Manage Marchman Act Treatment [1.2.2]



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## **Appendix A1**

### **Functional Process Diagrams Guardianship**

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## 1.2 Guardianship Case Management Process

The process flow diagrams included in this section are comprised of:

- ❑ Manage Guardianship Case Overview
- ❑ Manage ETG/Incapacitation Guardianship Case [2.1]
- ❑ Manage Guardianship Case [2.2]
- ❑ Discharge Guardian/Close Guardianship [2.2.5]
- ❑ Manage Developmentally Disabled Guardianship Case [2.3]
- ❑ Manage Involuntary Admission to Residential Services Case [2.3.1]
- ❑ Manage Appointment of Guardian Advocate Case [2.3.2]

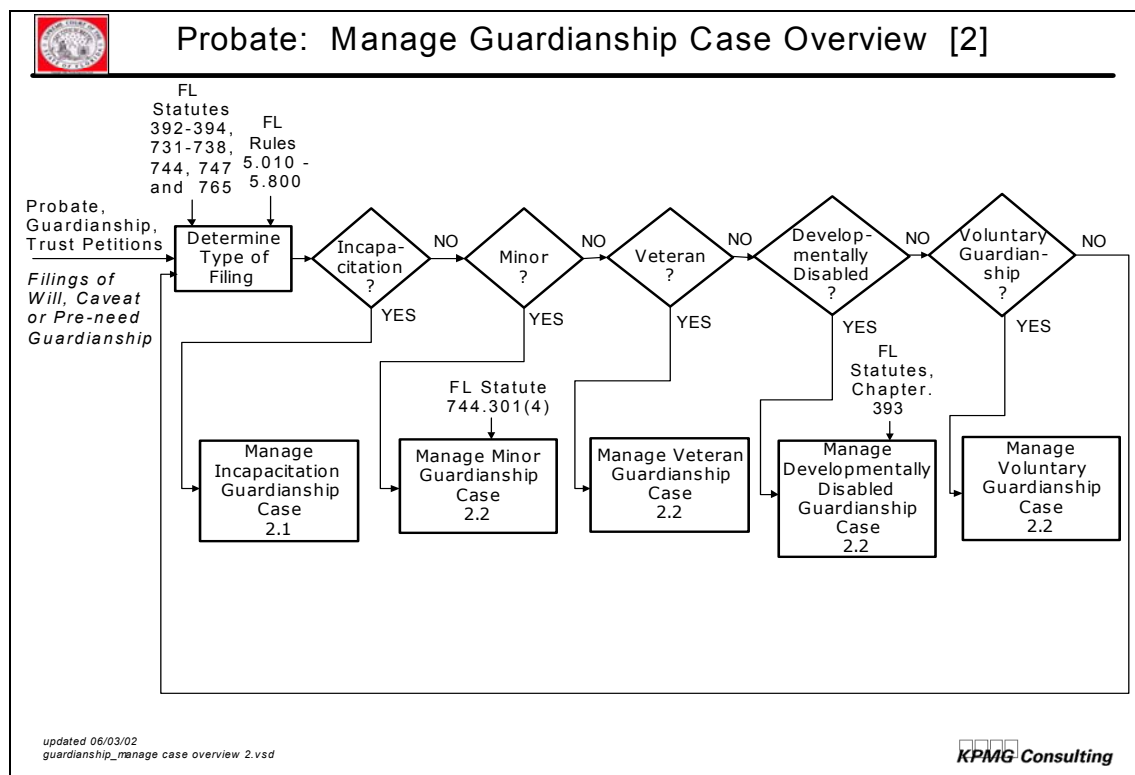


Figure A-10. Manage Guardianship Case Overview

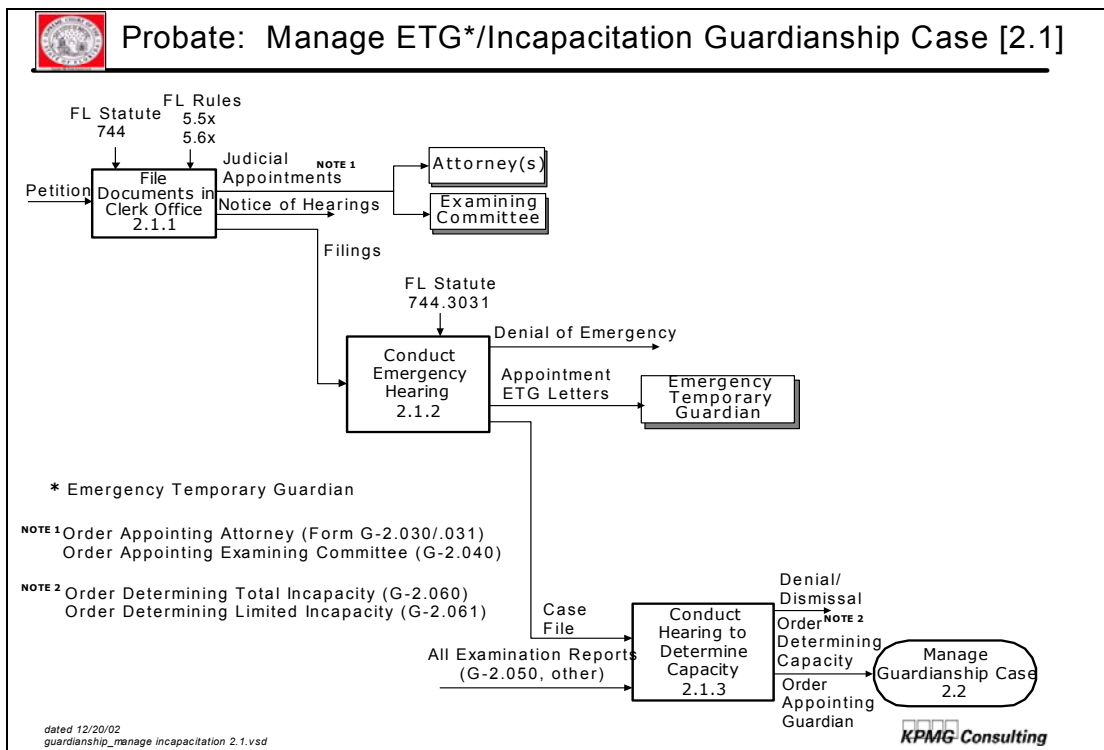


Figure A-11. Manage ETG/Incapacitation Guardianship Case [2.1]

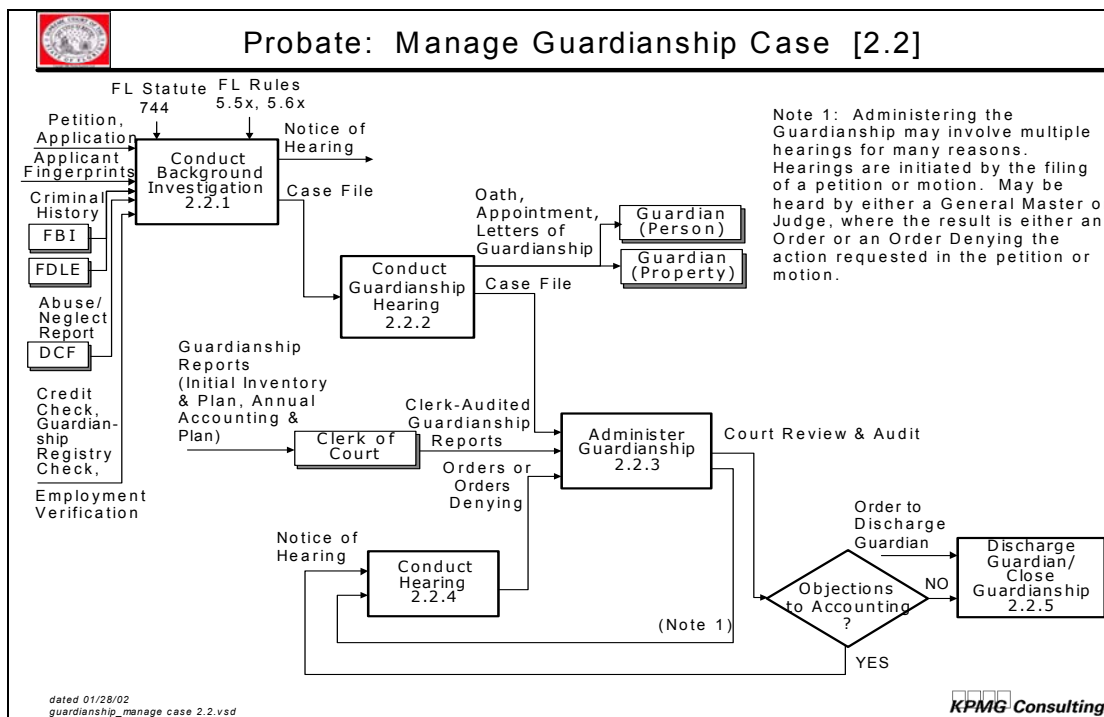


Figure A-12. Manage Guardianship Case [2.2]

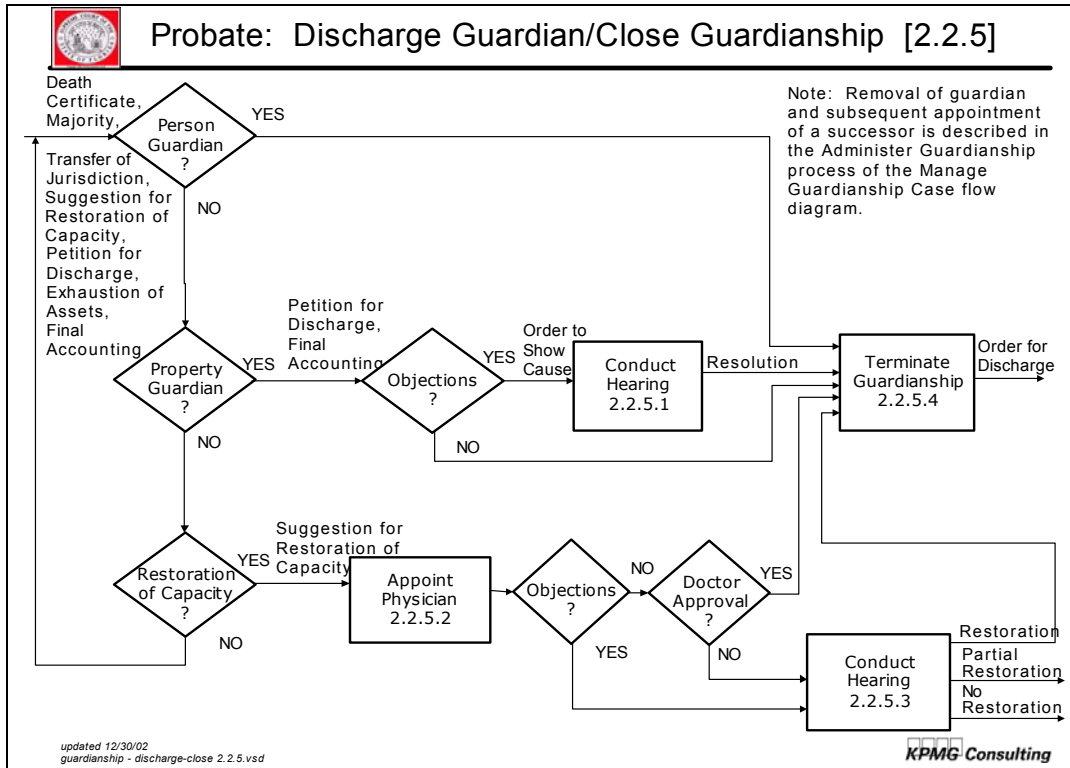


Figure A-13. Discharge Guardian/Close Guardianship [2.2.5]

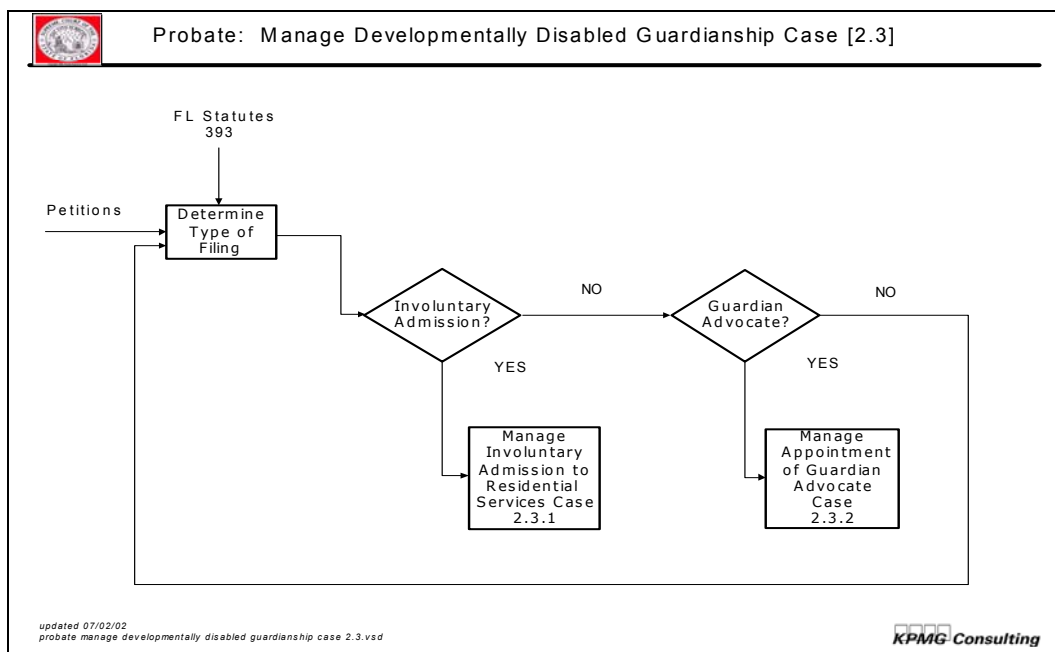


Figure A-14. Manage Developmentally Disabled Guardianship Case [2.3]

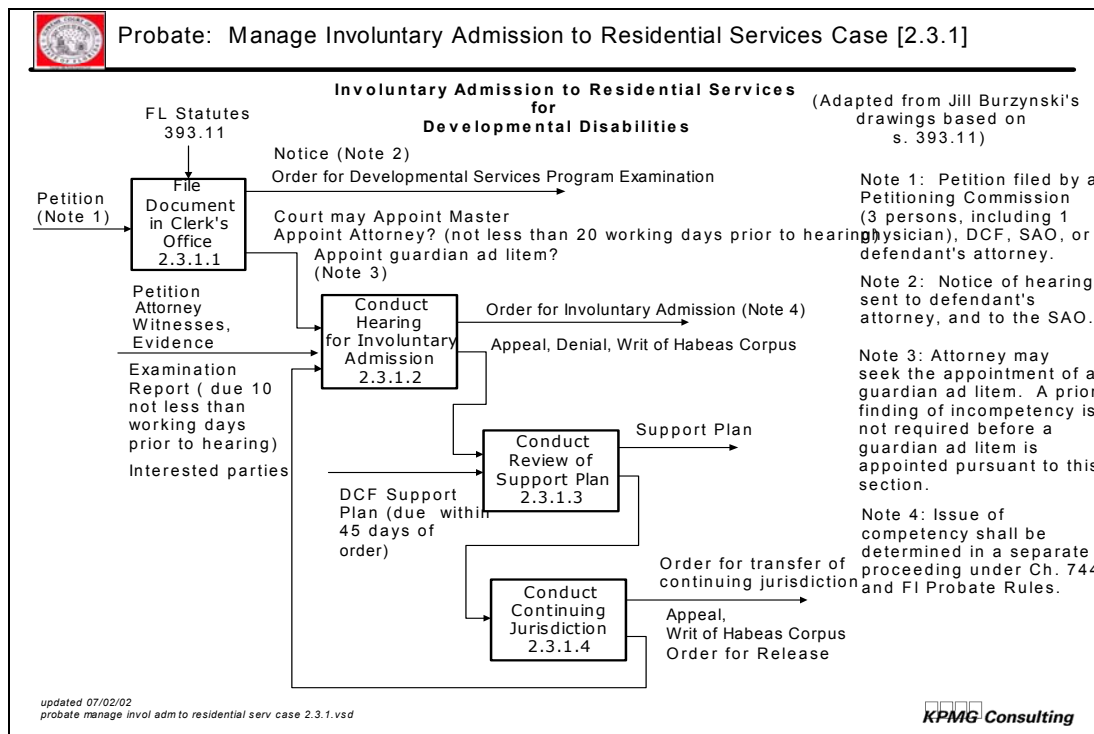


Figure A-15. Manage Involuntary Admission to Residential Services Case [2.3.1]

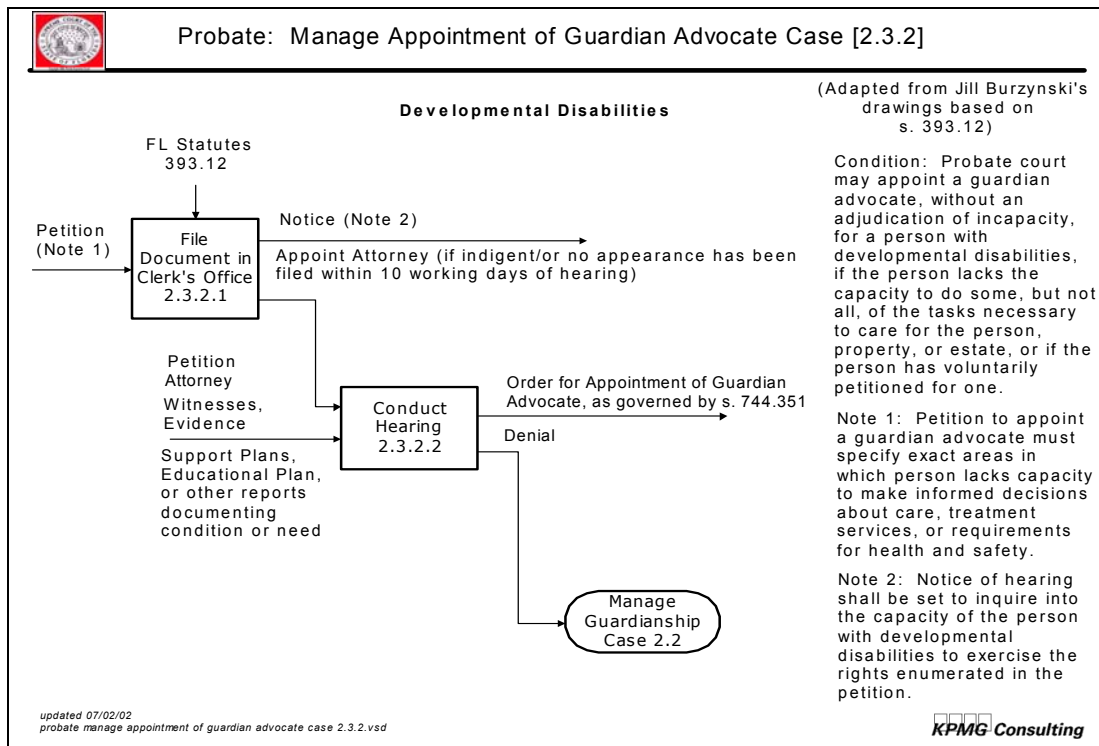


Figure A-16. Manage Appointment of Guardian Advocate Case [2.3.2]



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## **Appendix A2**

### **Functional Process Diagrams Probate/Trust**

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### 1.3 Probate/Trust Case Management Process

The process flow diagrams included in this section are:

- ❑ Manage Probate Case [3]
- ❑ Manage Formal Administration Case [3.1]
- ❑ Administer & Close Estate [3.1.5]
- ❑ Manage Summary Administration Case [3.2]
- ❑ Manage Without Formal Administration Case [3.3]

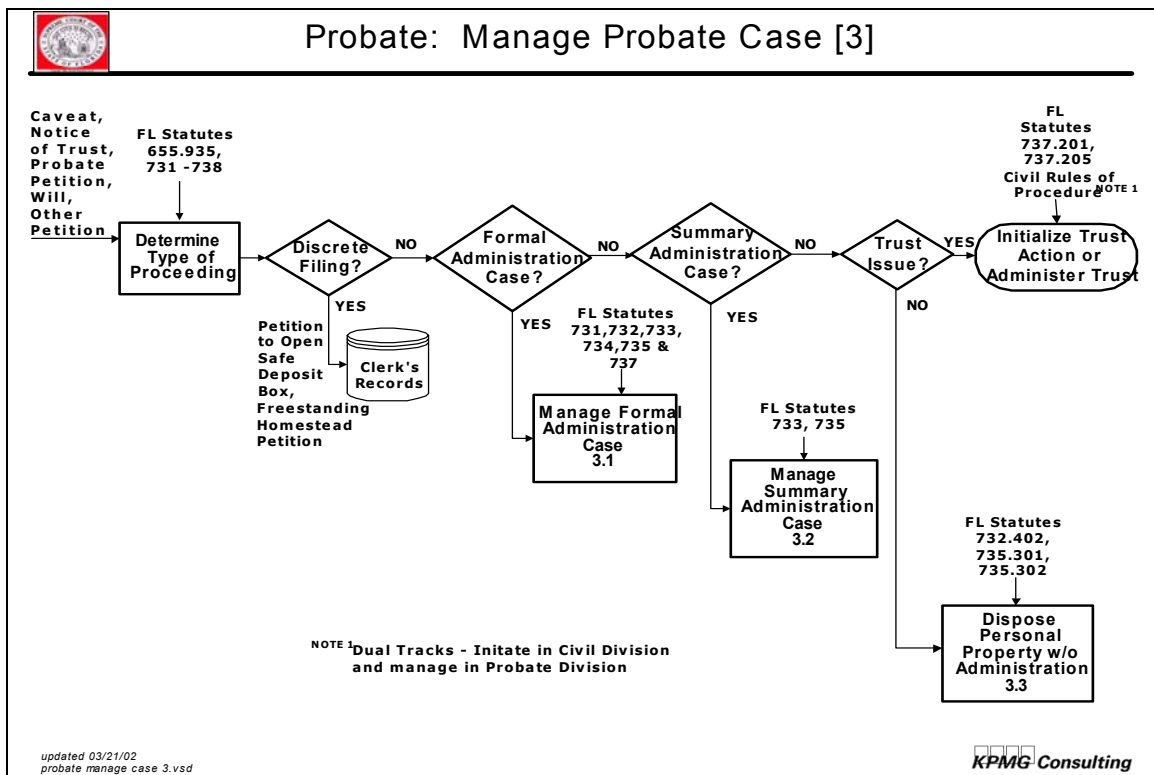


Figure A-17. Manage Probate Case [3]

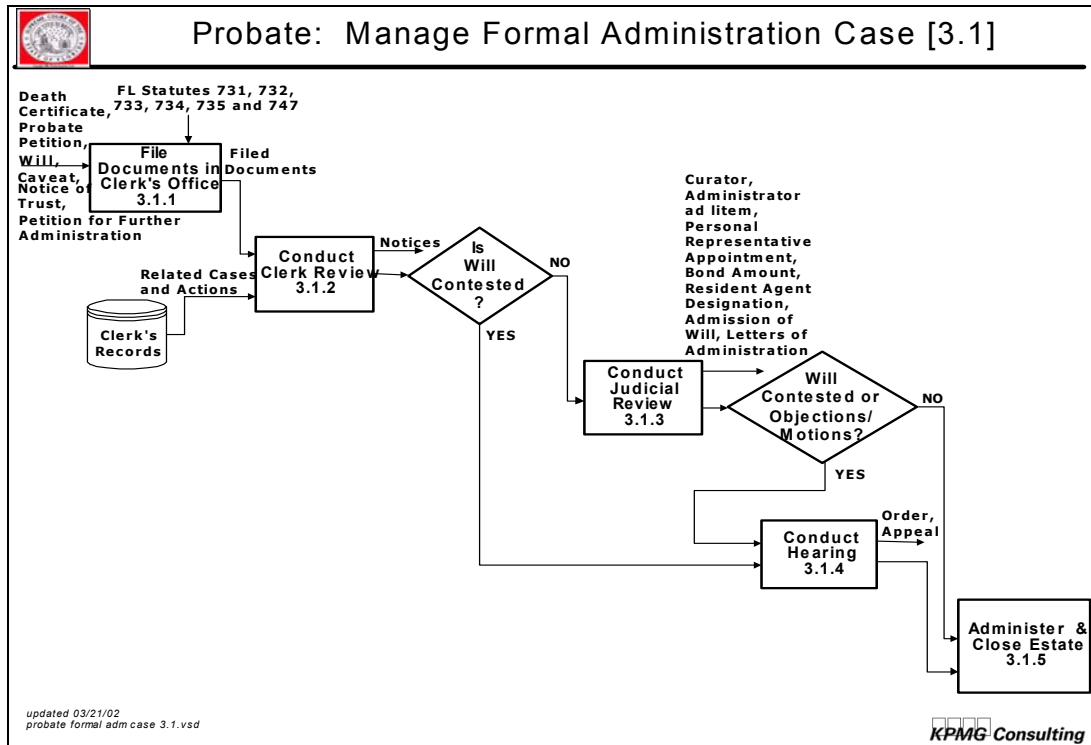


Figure A-18. Manage Formal Administration Case [3.1]

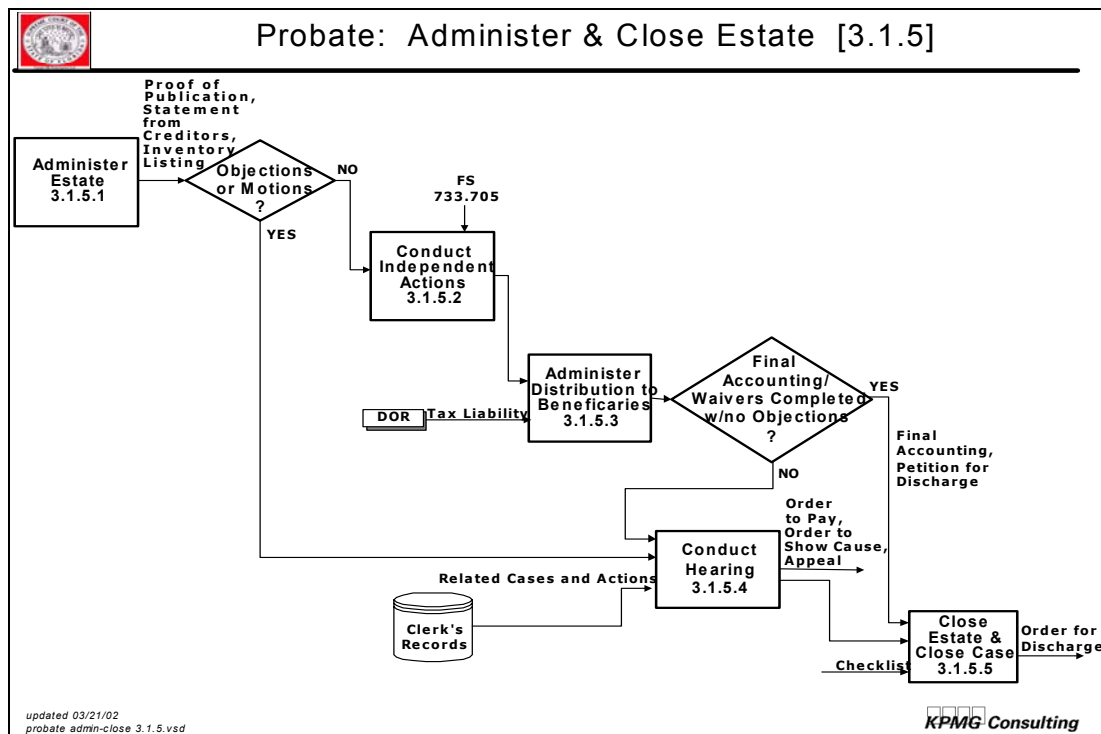


Figure A-19. Administer & Close Estate [3.1.5]

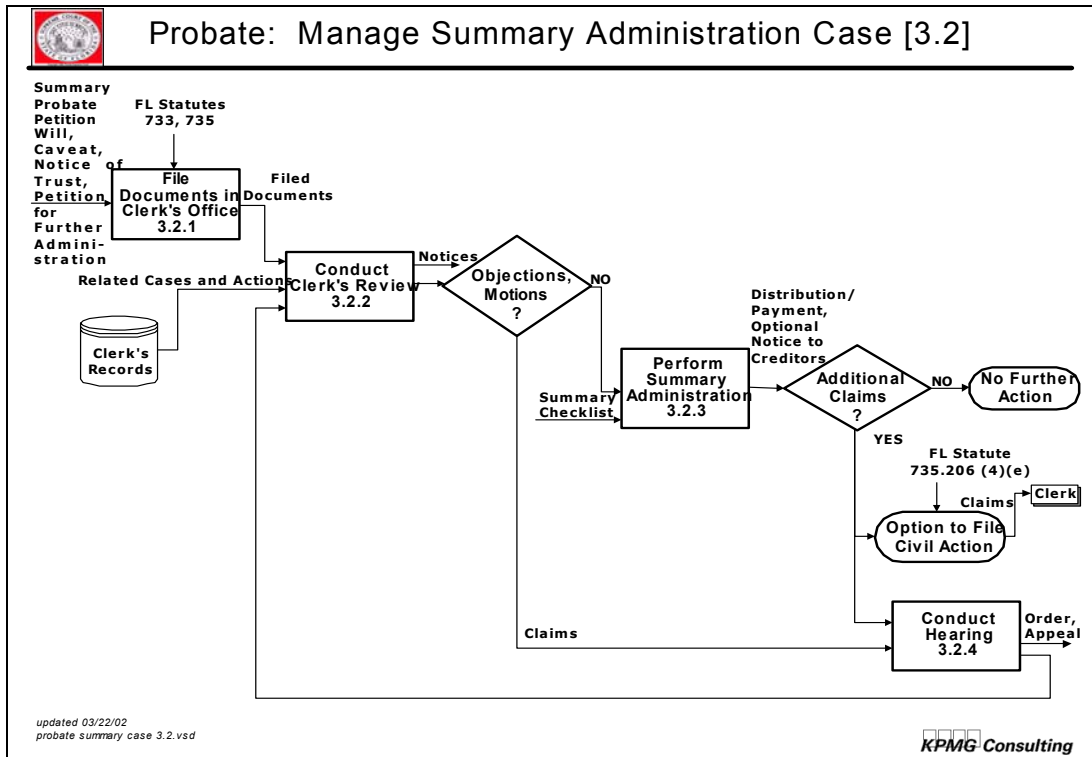


Figure A-20. Manage Summary Administration Case [3.2]

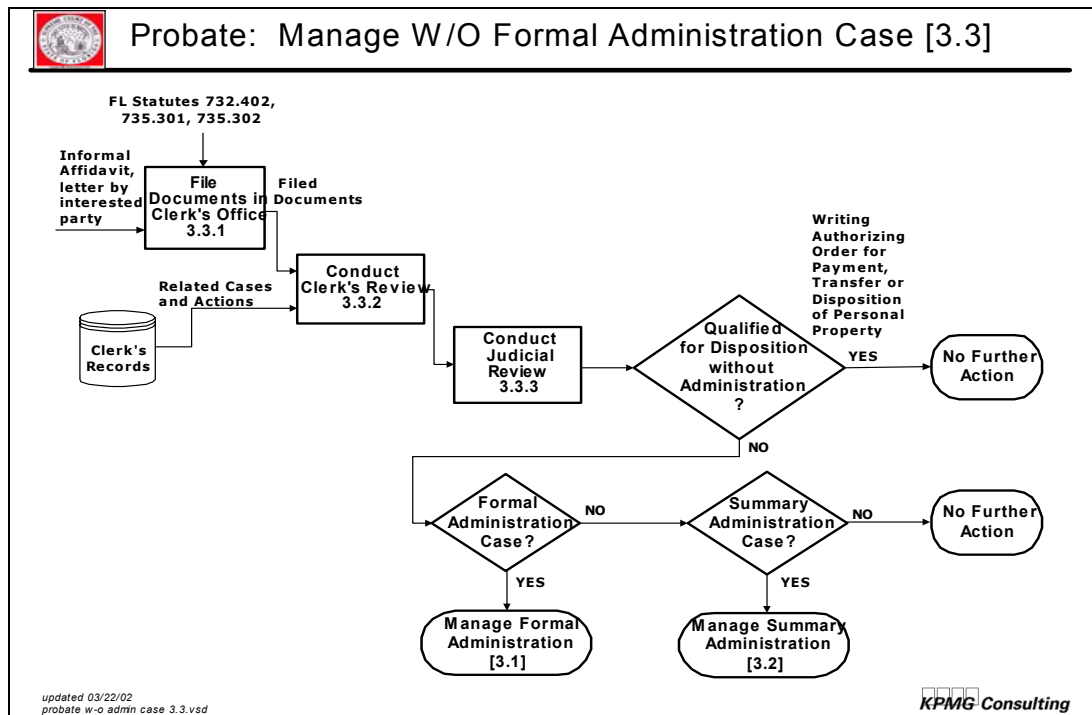


Figure A-21. Manage Without Formal Administration Case [3.3]



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## **Appendix A3**

### **Functional Process Diagrams Medical Care**

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## 1.4 Medical Care Case Management Process

The process flow diagrams included in this section are comprised of:

- ❑ Manage Medical Care Case [4]
- ❑ Manage Tuberculosis Case [4.1]
- ❑ Manage Expedited Judicial Intervention Case [4.2]

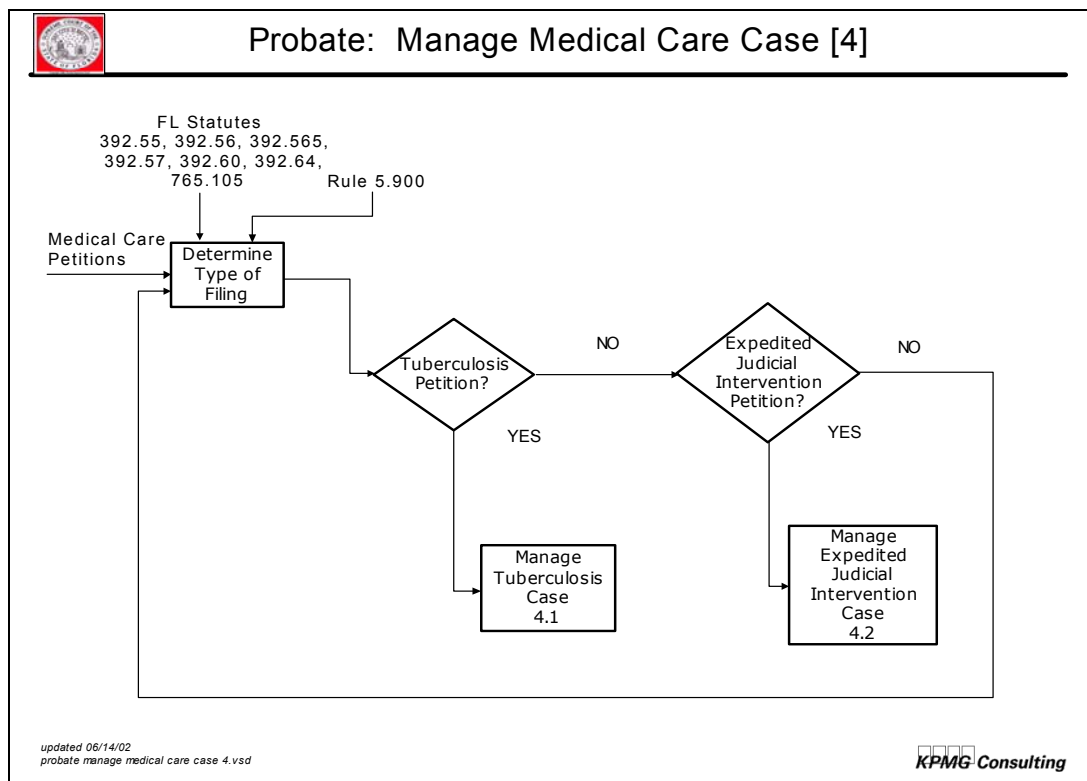


Figure A-22. Manage Medical Care Case [4]

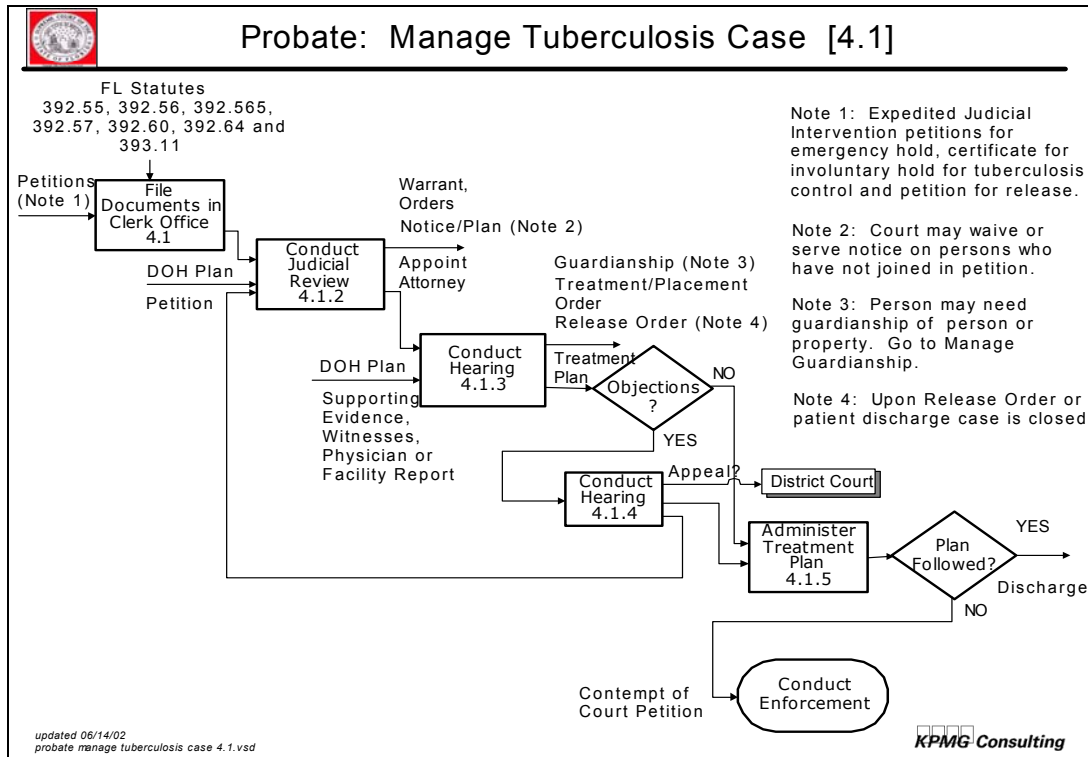


Figure A-23. Manage Tuberculosis Case [4.1]

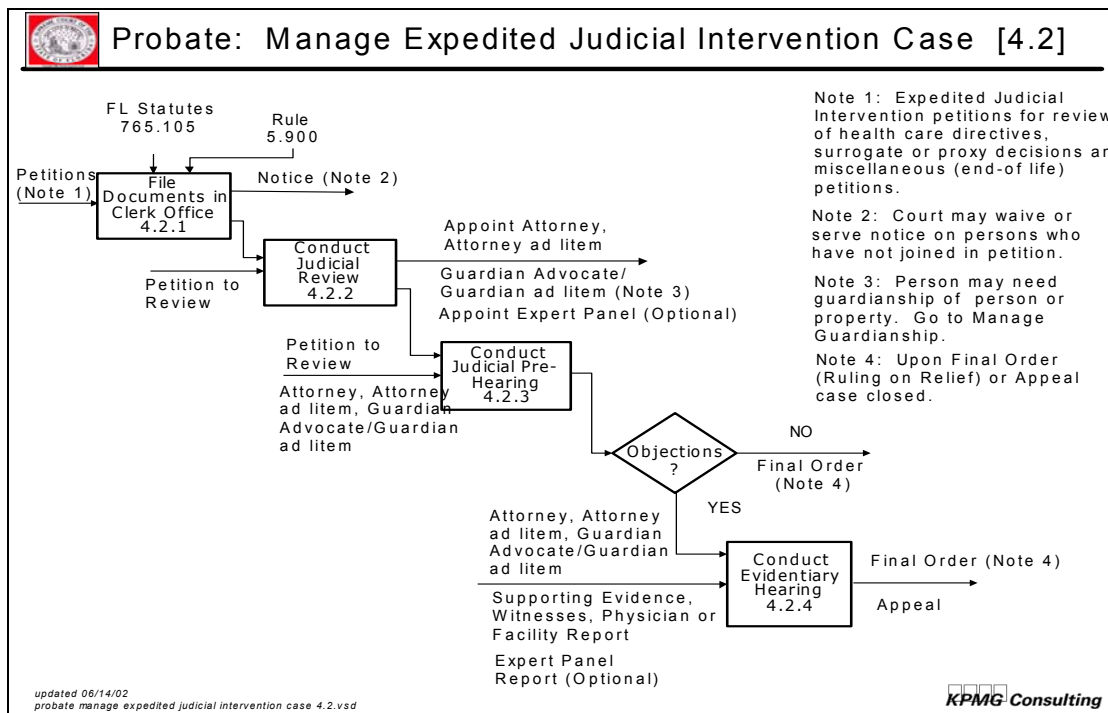


Figure A-24. Manage Expedited Judicial Intervention Case [4.2]



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## **Appendix A4**

### **Functional Process Diagrams Adult Protective Services**

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## **1.5 Adult Protective Services Case Management Process**

The process flow diagrams included in this section are comprised of:

- ❑ Manage Adult Protective Services Case [5]
- ❑ Manage Non-Emergency Protective Services Case [5.1]
- ❑ Manage Emergency Protective Services Case [5.2]

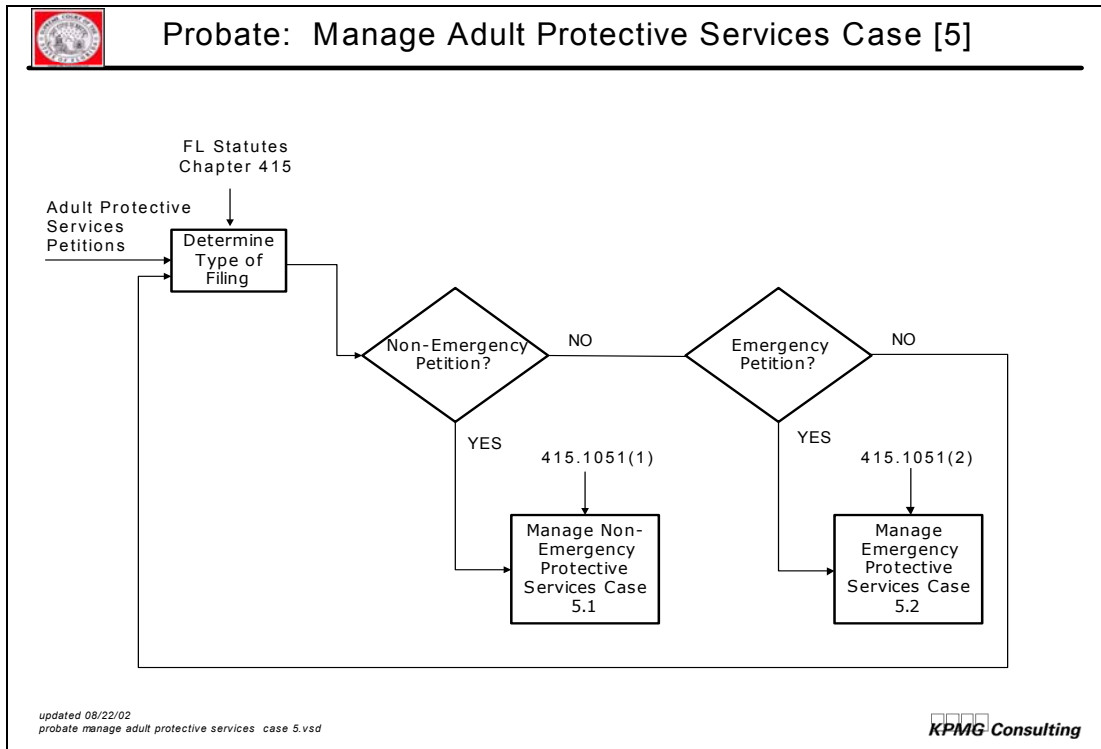


Figure A-25. Manage Adult Protective Services Case [5]

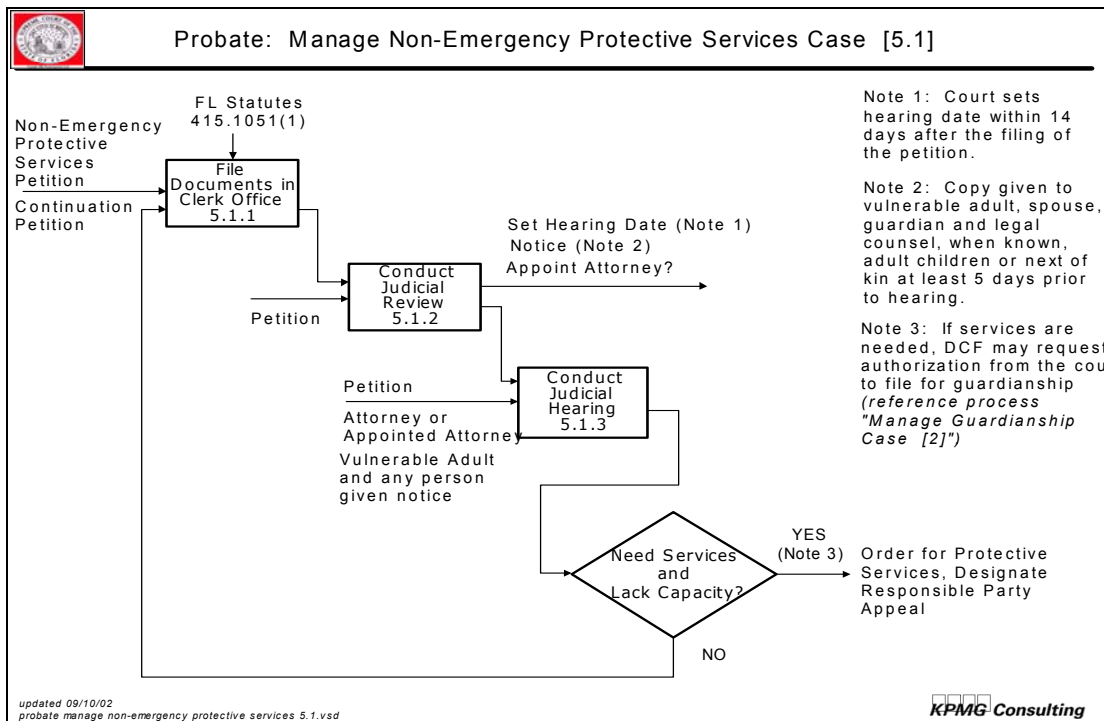


Figure A-26. Manage Non-Emergency Protective Services Case [5.1]

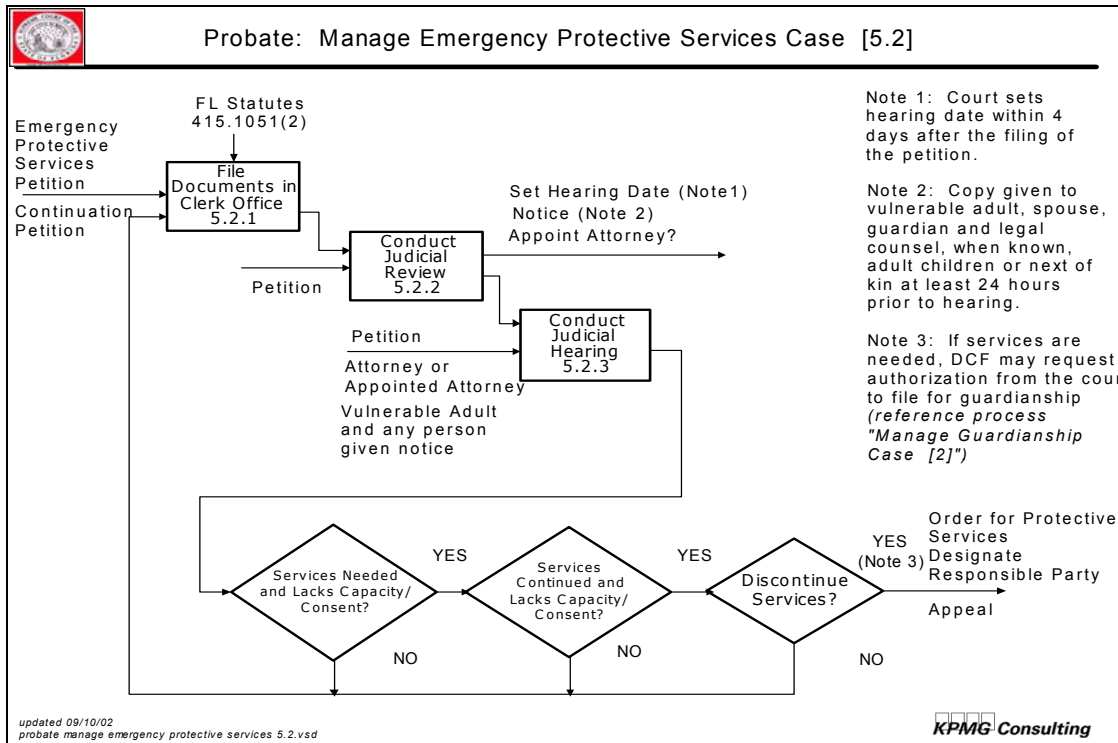


Figure A-27. Manage Emergency Protective Services Case [5.2]



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## **Appendix B**

### **Data Requirements Cross-Reference Mental/Medical Health**

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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
Provide automatic tracking and ticklers related to statutorily-mandated time frames, and other time frames as specified by the user.			R	
	Case Data	Case Number	R	Case file contents, especially for images, and electronically-filed documents.
		Judge Name	R	
		Special Master Name	R	
View and query medical treatment data	Expedited Judicial Intervention Concerning Medical Treatment Procedures, Petition (Rule 5.900)	Name of petitioner	R	Applies to Baker Act as well.
		Address of petitioner	R	
		Name of subject person	R	
		Address of subject person (patient)	R	
		Relationship to patient	R	
		Name of patient's spouse	R	
		Name (s) of patient's adult children	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Name (s) of minor patient's parents,	R	
		If none of the above, name (s) of patient's next of kin	R	
		Name of any guardian	R	
		Name of any court-appointed health care decision-maker	R	
		Name of person designated in living will, or other document	R	
		Name of hospital administrator	R	
		Name of nursing home	R	
		Name of principal physician	R	
		Name (s) of other physician	R	
		Name of other persons	R	
		Facts to support a relief request	R	
		Affidavits and supporting documents	R	
	Return of Service	Notice ID	R	Not the same as in the civil sense.
		Petition ID	R	
		Name of person noticed	R	
		Service status	R	
BAKER ACT	Ex Parte Petition	Diagnosis	R	Baker Act data (refer to forms provided by 6th and 11th).



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Social Security Number of Respondent	R	
		Name of Respondent	R	
		Age of respondent/patient	R	
		Primary language of respondent/patient	R	
		Gender of respondent	R	
		Ethnicity of respondent	R	(all of traditional demographics associated with a primary party such as respondent)
		Health insurance coverage	R	Private insurance, Medicaid, Medicare...
		Respondent's residence prior to placement in facility	R	Where they were living prior to entering facility
		Name of referring facility	R	
		Name of Treating Physician(s)	R	Primary physician, and any other physicians providing treatment to the respondent.
		Name of Referring Physician	R	
		Name of facility to which respondent is referred.	R	On petition and on order (they may differ).



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Legal status of respondent	R	Legally declared to have a guardian/guardian advocate/health care surrogate.
		Respondent's attorney name	R	Whether public defender or private attorney. PD will be appointed automatically, and there may be a substitution of private attorney at a later time.
		Respondent's attorney contact information.	R	
		State Attorney name	R	This is the specific name of the assistant state attorney
		State Attorney contact information	R	
	Related Baker Act actions applicable to respondent.		R	
	Other Related cases		R	Especially DR, DV actions, pending criminal cases.
	Medical History of respondent		R	



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Trial Court Needs Assessment Project  
Probate Functional Requirements Document*

Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Criminal History of respondent		R	
	Petition for Treatment	Everything on the ex parte petition plus the following:	R	
		Physician diagnosis	R	
		Reason(s) for commitment	R	
		Signing physician name	R	There will be a minimum of two occurrences.
		Signing physician contact info	R	
		Method of initial Baker Act assessment	R	Law Enforcement, Treatment facility, medical personnel, petitioner
	Court Findings/orders	Diagnosis found by court	R	This information may appear on multiple documents (orders, findings...)
		Criteria for commitment	R	Danger to self/others,
		Period of commitment	R	
		Advocate appointment	R	
		Type of Advocate	R	For Psychiatric or physical treatment
		Advocate's relationship to respondent	R	Family member or professional advocate
		Type of Placement	R	Public or private



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Trial Court Needs Assessment Project  
Probate Functional Requirements Document*

Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Status of advocate's attendance at training course	R	Ordered, completed, in process...
		Independent Medical Evaluator that was appointed on an order	R	
	Independent Medical Evaluation		R	Court cannot read it unless it's admitted by respondent. They do, however, need to know whether an independent medical evaluation exists, regardless of whether it's been admitted.
Provide view and query access to list.	List of proven independent medical evaluators		R	
	Number of and length of continuances		R	Per case.
	Reasons for continuances		R	Per case.
	Party filing motion for continuance		R	Per case.
Provide access to the data elements contained in the forms listed in the "Data Object Name" column, from this row on.	<b>Report and Recommendations of General Master</b>		R	From forms used by the 6th Circuit, and related to involuntary placement.



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 Trial Court Needs Assessment Project  
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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Findings of Fact		R	
	Recommendations		R	
	Order for Involuntary Placement		R	
	Order of Dismissal		R	
	Findings of Fact of General Master		R	From forms used by the 6th Circuit, and related to involuntary placement.



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## **Appendix B1**

### **Data Requirements Cross-Reference Guardianship**

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Trial Court Needs Assessment Project  
Probate Functional Requirements Document*

Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
View and query guardianship petition data	Petition to Determine Incapacity (Rule 5.550)	Name of petitioner	R	Repeated in FLSSI forms list.
		Age of petitioner	R	
		Address of petitioner	R	
		Petitioner's relationship to alleged incapacitated person	R	
		Name of incapacitated person	R	
		Age of incapacitated person	R	
		Count Residence of incapacitated person	R	
		Address of incapacitated person	R	
		Primary language of incapacitated person, if known	R	
		Facts on which petitioner bases belief in alleged person's incapacitation	R	
		Name of all persons known to the petitioner who have knowledge of such facts through personal observation	R	
		Address of all persons known to the petitioner who have knowledge of such facts through personal observation	R	
		Name of alleged incapacitated persons attending or family physician, if known	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Address of alleged incapacitated persons attending or family physician, if known	R	
		Petitioner states what alleged incapacitated person is incapable of performing	R	
		Petitioner states if they have insufficient judgment to determine what alleged incapacitated incapable of performing	R	
		State if plenary guardianship sought	R	
		State if limited guardianship sought	R	
		Next of kin name to alleged incapacitated person	R	
		Next of kin relationship to alleged incapacitated person	R	
		Next of kin address to alleged incapacitated person	R	
		Next of kin minors dates of birth to alleged incapacitated	R	
			R	
View and query probate case notices	Notice (Rule 5.550)	Time of hearing	R	Repeated in FLSSI forms list.
		Place of hearing	R	
		Date of hearing	R	
		Type of notice	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Name of person noticed	R	
		Address of person noticed	R	
		Telephone number of person noticed	R	
		Other pertinent information	R	
View and query guardianship petition data	Guardianship of Minors, Petition for Appointment of Guardian (Rule 5.555)	No petition to determine incapacity required	R	Repeated in FLSSI forms list.
		Verified by the petitioner	R	
		Facts to establish venue	R	
		Petitioner's residence	R	
		Petitioner's post office address	R	
		Minor name	R	
		Minor age	R	
		Minor SSN#	R	
		Minor residence	R	
		Minor post office address	R	
		Minor's parents name, if known	R	
		Minor's parents address, if known	R	
		Minor's next of kin name, if known	R	
		Minor's next of kin address, if known	R	
		Proposed guardian's name	R	
		Proposed guardian's SSN#	R	
		Proposed guardian's name	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Proposed guardian's tax identification number	R	
		Proposed guardian's residence	R	
		Proposed guardian's post office address	R	
		Answer "yes" or "no" if proposed guardian qualified to serve	R	
		Answer "yes" or "no" if willing and qualified guardian has not been located	R	
		Proposed guardian's relationship to minor	R	
		Proposed guardian's previous relationship to minor	R	
		State reason why proposed guardian should be appointed	R	
		Nature and value of property subject to guardianship	R	
View and query guardianship petition data	Petition for Appointment of Guardian of an Incapacitated Person (Rule 5.560)	Facts to establish venue	R	Repeated in FLSSI forms list.
		Petitioner's residence	R	
		Petitioner's post office address	R	
		Name of alleged incapacitated person	R	
		Age of alleged incapacitated person	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Residence of alleged incapacitated person	R	
		Post office address of alleged incapacitated person	R	
		State the nature of incapacity	R	
		State the extent of the guardianship as plenary or limited	R	
		State the nature of property subject to guardianship	R	
		State value of property subject to guardianship	R	
		Next of kin name of alleged incapacitated person	R	
		Next of kin address of alleged incapacitated person	R	
		Proposed guardian's name	R	
		Proposed guardian's SSN#	R	
		Proposed guardian's name	R	
		Proposed guardian's tax identification number	R	
		Proposed guardian's residence	R	
		Proposed guardian's post office address	R	
		Answer "yes" or "no" if proposed guardian qualified to serve	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Answer "yes" or "no" if willing and qualified guardian has not been located	R	
		Proposed guardian's relationship to incapacitated	R	
		Proposed guardian's previous relationship to incapacitated	R	
		State reason why proposed guardian should be appointed	R	
		State if petitioner requests appointment of a public guardian	R	
View and query guardianship applications and disclosures	Application for Appointment as Guardian; Disclosure Statement; Filing (Rule 5.590)	Individual applicant's qualifications	R	Repeated in FLSSI forms list.
		Name of ward (s)	R	
		Court file number	R	
		Circuit Court where each case pending	R	
		Statement acting as limited guardian of property for each ward	R	
		Statement as plenary guardian of person for each ward	R	
		Appointment application filing date	R	
View and query guardianship applications and disclosures	Disclosure Statement for Nonprofit Corporations	State qualifications to serve	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Name of ward (s)	R	
		Court file number	R	
		Circuit Court where each case pending	R	
		Statement acting as limited guardian of property for each ward	R	
		Statement as plenary guardian of person for each ward	R	
		File quarterly with clerk	R	
View and query guardianship claims	Settlement of Minor's Claims (Rule 5.636)	Name of minor	R	
		Residence of minor	R	
		Address of minor	R	
		Date of birth of minor	R	
		Name of appointed guardian	R	
		Address of appointed guardian	R	
		Name of natural guardian	R	
		Residence of natural guardian	R	
		Name of other person having legal custody	R	
		Residence of other person having legal custody	R	
		Disclosure of conflict of interest with that of minor	R	
		Description of cause of action	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Summary of proposed settlement terms	R	
		Copies of all agreements executed on behalf of minor	R	
View and query guardianship applications and disclosures	Resignation or Disqualification of Guardian, Appointment of Successor (Rule 5.650)	Resignation statement	R	
		Amount of compensation to be paid to guardian	R	
		Amount of compensation to be paid to guardian's attorney	R	
		Amount of compensation to be paid to guardian's accountant	R	
		Amount of compensation to be paid to other agents employed by guardian	R	
		Name of successor guardian	R	
		Address of successor guardian	R	
		Name of successor guardian's attorney	R	
		Address of successor guardian's attorney	R	
		Determination if successor guardian appointed	R	
		Determination if successor guardian qualified	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
View guardianship reports	Final Report of Guardian	Receipts	R	
		Disbursements	R	
		Amounts reserved	R	
		Fees	R	
		Other pertinent information	R	
		List of assets to be turned over to successor guardian	R	
View and query guardianship petition data	Termination of Guardianship - Petition for Discharge (Rule 5.680)	Reason for termination	R	Repeated in FLSSI forms.
		Explanation of guardianship administration	R	
		Amount unpaid	R	
		Anticipated costs	R	
		Anticipated fees	R	
		Fees to be paid by the guardian	R	
		Fees to be paid to attorney	R	
		Fees to be paid by the accountants	R	
		Fees to be paid to agents of guardian	R	
View guardianship reports	General Master's Report (Rule 5.697)	Description of matters considered	R	
		Master's conclusions	R	
		Master's recommendations	R	



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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
Generate and view guardianship statistical reports			R	To be defined by a reports working group.
Provide access to the data elements contained in the forms listed in the "Data Object Name" column, from this row up until the FLSSI forms list.	Guardianship Filing Schedule		R	From forms used by the 6th Circuit, and related to incapacity and guardianship.
	Master's Findings and Recommended Order on Petition to Determine Capacity and Petition for Appointment of Guardian		R	
	Order Determining Incapacity and Appointing Plenary/Limited Guardian		R	
	Letters of Plenary/Limited Guardianship		R	
View and query the forms listed herein.	G-1.010 Formal Notice		R	Judges require all data elements from all FLSSI forms.
	G-1.011 Formal Notice (adversary)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-1.015 Proof of Service of Formal Notice		R	
	G-1.016 Proof of Service of Formal Notice (adversary)		R	
	G-1.020 Declaration Naming Preneed Guardian		R	
	G-1.025 Designation of Health Care Surrogate		R	
	G-2.010 Petition to Determine Incapacity		R	
	G-2.020 Notice of Petition to Determine Incapacity and of Petition to Appoint Guardian		R	
	G-2.021 Notice of Petition to Determine Incapacity (no petition to appoint guardian)		R	
	G-2.025 Proof of Service by Elisor of Petition to Determine Incapacity, Petition to Appoint Guardian and Notice		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-2.026 Proof of Service by Elisor of Petition to Determine Incapacity and Notice		R	
	G-2.030 Order Appointing Attorney and Elisor (on Petition to Determine Incapacity)		R	
	G-2.031 Order Appointing Attorney (on Suggestion of Capacity or Petition for Authority)		R	
	G-2.040 Order Appointing Examining Committee		R	
	G-2.050 Report of Examining Committee		R	
	G-2.060 Order Determining Total Incapacity		R	
	G-2.061 Order Determining Limited Incapacity		R	
	G-2.062 Certificate of Service of Order Determining Incapacity		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-2.065 Order Dismissing Petition to Determine Incapacity		R	
	G-2.067 Order Assessing Costs Against Petitioner (costs paid by county)		R	
	G-2.070 Order for Compensation of Examining Committee		R	
	G-2.080 Claim of County for Fees Paid and Petition for Payment		R	
	G-2.087 Order Directing Payment to County		R	
	G-2.095 Order for Compensation of Court Appointed Attorney		R	
	G-2.100 Suggestion of Capacity		R	
	G-2.105 Order Appointing Physician and Notice		R	
	G-2.110 Order of Restoration - Partial		R	
	G-2.112 Order of Restoration - Full		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-2.115 Order Denying Suggestion of Capacity (filed within 90 day limit)		R	
	G-2.120 Order Denying Suggestion of Capacity (after hearing)		R	
	*G-3.010 Petition for Emergency Temporary Guardian		R	
	*G-3.020 Petition for Appointment of Guardian of Minor (Person and Property)		R	
	*G-3.021 Petition for Appointment of Guardian of Minor (Person)		R	
	*G-3.022 Petition for Appointment of Guardian of Minor (Property)		R	
	*G-3.023 Petition for Appointment of Plenary Guardian (incapacity - person and property)		R	
	*G-3.024 Petition for Appointment of Plenary Guardian (incapacity - person)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*G-3.025 Petition for Appointment of Plenary Guardian (incapacity - property)		R	
	*G-3.026 Petition for Appointment of Limited Guardian (incapacity - limited - person and property)		R	
	*G-3.027 Petition for Appointment of Limited Guardian (incapacity - person)		R	
	*G-3.028 Petition for Appointment of Limited Guardian (incapacity - limited-property)		R	
	G-3.030 Notice of Filing Petition for Appointment of Plenary Guardian (Notice to persons not served by Clerk)		R	
	G-3.031 Notice of Filing Petition for Appointment of Limited Guardian (Notice to persons not served by Clerk)		R	
	G-3.035 Petition for Voluntary Guardianship		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-3.036 Order Appointing Guardian Upon Petition for Voluntary Guardianship		R	
	G-3.040 Petition for Foreign Guardian to Manage Property of Non-Resident Ward		R	
	G-3.041 Order Authorizing Foreign Guardian to Manage Property of Non-Resident Ward		R	
	G-3.055 Application to Serve as Guardian		R	
	G-3.056 Order Directing Prospective Guardian to Submit to Investigation		R	
	G-3.057 Order Exempting Guardian from Educational Requirements		R	
	G-3.060 Order Appointing Emergency Temporary Guardian		R	
	G-3.061 Order Appointing Plenary Guardian of Person and Property (incapacitated person)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-3.062 Order Appointing Plenary Guardian of Person (incapacitated person)		R	
	G-3.063 Order Appointing Plenary Guardian of Property (incapacitated person)		R	
	G-3.064 Order Appointing Limited Guardian of Person and Property (incapacitated person)		R	
	G-3.065 Order Appointing Limited Guardian of Person (incapacitated person)		R	
	G-3.066 Order Appointing Limited Guardian of Property (incapacitated person)		R	
	G-3.067 Order Appointing Guardian of Person and Property of Minor		R	
	G-3.068 Order Appointing Guardian of Person of Minor		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-3.069 Order Appointing Guardian of Property of Minor		R	
	*G-3.070 Oath of Guardian and Designation of Agent		R	
	G-3.071 Oath of Corporate Guardian		R	
	G-3.075 Bond of Guardian		R	
	G-3.100 Letters of Plenary Guardianship of the Person and Property		R	
	G-3.101 Letters of Plenary Guardianship of the Person		R	
	G-3.102 Letters of Plenary Guardianship of the Property		R	
	G-3.105 Letters of Limited Guardianship of the Person and Property		R	
	G-3.107 Letters of Limited Guardianship of the Property		R	
	G-3.108 Letters of Emergency Temporary Guardianship		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-3.109 Letters of Guardianship of the Person and Property of Minor		R	
	G-3.110 Letters of Guardianship of the Person of Minor		R	
	G-4.015 Initial Guardianship Plan (Guardianship Report) of Guardian of Person		R	
	G-4.016 Proof of Service of Initial Guardianship Report of Guardian of Person		R	
	G-4.020 Annual Guardianship Plan (Guardianship Report) of Guardian of Person		R	
	G-4.025 Annual Accounting (Guardianship Report) of Guardian of Property		R	
	G-4.027 Order Waiving Audit Fee		R	
	G-4.029 Proof of Service of Annual Guardianship Report of Guardian of Property		R	
	G-4.031 Order Approving Initial Report of Guardian of the Property		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-4.036 Order Disapproving Initial Report of Guardian of the Property		R	
	G-4.040 Order Approving Annual Report of Guardian of the Person		R	
	G-4.070 Petition for Appointment of Appraiser		R	
	G-4.075 Order Appointing Appraiser		R	
	G-4.076 Report of Appraiser (single)		R	
	G-4.077 Report of Appraisers (multiple)		R	
	G-4.080 Petition for Order Designating Depository		R	
	G-4.081 Petition for Order Designating of Depository (with investment powers)		R	
	G-4.082 Certificate by Depository		R	
	G-4.085 Order Designating Depository		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-4.086 Order Designating Depository (with investment powers)		R	
	G-4.090 Acceptance and Receipt of Depository		R	
	G-4.091 Acceptance and Receipt of Depository (investment powers)		R	
	*G-4.100 Petition for Court Monitor		R	
	G-4.105 Order Appointing Court Monitor		R	
	G-4.110 Petition for Judicial Interim Review		R	
	G-4.145 Petition by Guardian for Order Determining Whether Payments Should be Made for Assistance of Ward's Dependent		R	
	G-4.146 Order Authorizing Payments for Ward's Dependent (on petition of guardian)		R	
	*G-4.150 Petition for Order Authorizing Payment of Attorney's Fees and Expenses		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-4.151 Order Authorizing Payments of Fees and Expenses of Attorney		R	
	G-4.155 Petition for Order Authorizing Payment of Compensation and Expenses of Guardian		R	
	G-4.156 Order Authorizing Payment of Compensation and Expenses of Guardian		R	
	G-5.050 Request for Notice and Copies		R	
	*G-5.055 Petition For Order Requiring Guardianship Report and Request for Service of Copy		R	
	*G-5.056 Order Requiring Guardianship Report		R	
	G-4.041 Order Approving Annual Report of Guardian of the Property		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-4.045 Order Disapproving Annual Report of Guardian of the Person		R	
	G-4.046 Order Disapproving Annual Report of Guardian of the Property		R	
	G-4.060 Verified Inventory of Guardian (Initial Guardianship Report of Guardian of Property)		R	
	G-4.061 Proof of Service of Initial Guardianship Report of Guardian of Property		R	
	G-4.065 Inventory of Safe Deposit Box		R	
	G-4.066 Proof of Service of Inventory		R	
	G-4.111 Order of Judicial Interim Review		R	
	G-4.120 Petition for Order Authorizing Periodic Payments to Guardian of Person		R	
	G-4.121 Schedule of Ward's Estimated Monthly Expenses		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-4.122 Order Authorizing Periodic Payments to Guardian of Person		R	
	G-4.125 Petition for Order Authorizing Periodic Withdrawals from Restricted Depository		R	
	G-4.126 Order Authorizing Periodic Withdrawals from Restricted Depository For Payments to Guardian of Person		R	
	G-4.140 Petition by Dependent for Order Authorizing Payments for Dependent		R	
	G-4.141 Order Authorizing Payments for Assistance of Ward's Dependent		R	
	*G-6.050 Notice of Final Report and Accounting and Petition for Discharge		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	* G-6.055 Guardian's Report of Distribution		R	
	*G-6.060 Order of Discharge of Guardian		R	
	G-6.070 Petition for Discharge of Guardian of Person (upon death of Ward)		R	
	* G-6.075 Order of Discharge of Guardian of Person (upon death of Ward)		R	
	G-6.010 Resignation of Guardian		R	
	G-6.011 Notice of Resignation of Guardian		R	
	G-6.012 Order of Resignation of Guardian		R	
	* G-6.014 Petition to Remove Guardian		R	
	* G-6.015 Order Removing Guardian		R	
	* G-6.020 Final Report of Guardian of Property		R	
	* G-6.025 Petition for Discharge of Guardian		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	* G-6.026 Petition for Discharge of Guardian (depository)		R	
	* G-6.027 Petition for Discharge of Guardian (waiver by Ward and consent to distribution)		R	
	* G-6.028 Petition for Discharge of Guardian (depository - waiver and consent to distribution)		R	
	* G-6.029 Waiver of Notice and of Hearing and of all Objections to Petition for Discharge and Final Report and Accounting, and Consent to Distribution		R	
	*G-6.030 Waiver of Final Report and Consent to Distribution		R	
	*G-6.031 Waiver of Notice and Objections and Consent to Distribution, by Personal Representative		R	
	*G-6.032 Full Waiver and Receipt by Ward		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	G-6.034 Receipt by Ward and Consent to Discharge		R	
	G-6.035 Receipt		R	
	*G-6.040 Order Approving Distribution and Authorizing Discharge of Guardian		R	
	G-6.041 Order Approving Distribution and Authorizing Discharge of Guardian (by waiver)		R	
	*G-6.050 Notice of Final Report and Accounting and Petition for Discharge		R	



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## **Appendix B2**

### **Data Requirements Cross-Reference Probate/Trust**

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Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
View and query probate petition data	Petition for Administration (Rule 5.200)	Statement of Interest	R	
		Petitioner's name	R	
		Petitioner's address	R	
		Petitioner's attorney	R	
		Petitioner's attorney office address	R	
		Decedent name	R	
		Decedent last known address	R	
		Decedent SSN#	R	
		Date of death	R	
		Place of death	R	
		Decedent state of domicile	R	
		Decedent county of domicile	R	
		Name of beneficiary	R	
		Address of beneficiary	R	
		Relationship of beneficiary	R	
		Date of birth of any beneficiary who is a minor	R	
		Statement showing venue	R	
		Priority of personal representative	R	
		Statement that representative is qualified	R	
		Proceeding pending in another state	R	
		Proceeding pending in another country	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Name of foreign representative	R	
		Address of foreign representative	R	
		Statement on value of assets	R	
		Statement on nature of assets	R	
		Intestate estate statement on unrevoked wills and codicils	R	
		Testate estate statement on unrevoked wills and codicils	R	
		Testate estate statement on original decedent's last will in possession	R	
		Other pertinent information	R	
View and query probate case notices	Notice of Administration (Rule 5.240)	Name of decedent	R	
		File number of estate	R	
		Designation of court	R	
		Court address	R	
		Name of personal representative	R	
		Address of personal representative	R	
		Name of attorney of personal representative	R	
		Date of first publication	R	
		Decedent spouse's objections	R	
		Beneficiaries objections	R	
		Trustee's objections	R	
		Statement regarding creditors	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
View and query probate inventory and accounting data	Inventory (Rule 5.340)	List the estate	R	
		Fair market value of each listed item at date of decedent's death	R	
	Interim Accountings (Rule 5.345)	Cash transactions since date of last accounting or commencement of administration	R	
		Property transactions since date of last accounting, or since commencement of administration	R	
		Schedule of assets	R	
		File number of estate	R	
		Designation of court	R	
		Court address	R	
		Name of personal representative	R	
		Address of personal representative	R	
		Name of attorney of personal representative	R	
		Date of first publication	R	
		Decedent spouse's objections	R	
		Beneficiaries objections	R	
		Trustee's objections	R	
	Statement regarding creditors	R		
	Objection	R		
	Substantiating Papers	R		



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Fiduciary Accounting of Personal Representative (Rule 5.346)	County name	R	
		Name of estate	R	
		File number	R	
		Division	R	
		Type of accounting by personal representative	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
		Sign date MM/DD/YYYY	R	
		Signature of attorney for personal representative	R	
		Print name	R	
		Telephone	R	
		Florida Bar No.	R	
		Attorney address	R	
		Signature of personal representative	R	
		Print name	R	
		Personal representative address	R	
		Telephone	R	
		County name	R	
		Name of estate	R	
		File number	R	
		Division	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Type of accounting by personal representative	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Summary Schedule	Summary Starting balance	R	
		Summary Receipt income	R	
		Summary Receipt principal	R	
		Summary Total receipts	R	
		Summary Subtotal	R	
		Summary Disbursement income	R	
		Summary Disbursement principal	R	
		Summary Total disbursements	R	
		Summary Subtotal	R	
		Summary Distribution income	R	
		Distribution principal	R	
		Summary Total distributions	R	
		Summary Subtotal	R	
		Summary Capital transactions and adjustments	R	
		Summary Assets on hand at close of accounting period	R	
		Summary total inventory or adjusted carrying value of all assets on hand at close of accounting period	R	
		Type of accounting by personal representative	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Schedule A: Receipts during period	Detail receipt date	R	
		Receipt description	R	
		Receipt income	R	
		Receipt principal	R	
		Type of accounting by personal representative	R	
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Schedule B: Disbursements during period	Detail disbursement date	R	
		Disbursement description	R	
		Disbursement income	R	
		Disbursement principal	R	
		Type of accounting by personal representative	R	
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Schedule C: Distributions during period	Detail distribution date	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
		Distribution description	R	
		Distribution income	R	
		Distribution principal	R	
		Type of accounting by personal representative	R	
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Schedule D: Capital Transactions and Adjustments	Detail capital transactions and adjustments	R	
		Capital transactions and adjustment description	R	
		Capital transactions and adjustment net gain	R	
		Capital transactions and adjustment net loss	R	
		Total net gains	R	
		Total net losses	R	
		Net gain	R	
		Net loss	R	
		Type of accounting by personal representative	R	
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Schedule E: Assets on Hand at close of accounting period	Assets other than cash estimated current value	R	
		Assets other than cash carrying value	R	
		Total assets other than cash estimated current value	R	
		Total assets other than cash carrying value	R	
		Cash total	R	
		Total assets on hand at close of accounting period	R	
		Name of estate	R	
		From date MM/DD/YYYY	R	
		Through date MM/DD/YYYY	R	
	Schedule F: Compensation of attorneys for personal representatives	Complete per s. 733.6171(9)	R	
	Determination of Beneficiaries and Shares (Rule 5.385)		R	
	Distribution and Discharge (Rule 5.400)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Objections to Petition for Discharge or Final Accounting (Rule 5.401)		R	
	Resignation of Personal Representative (Rule 5.430)		R	
	Proceedings for Removal (Rule 5.440)		R	
	Establishment and Probate of Lost or Destroyed Will (Rule 5.510)		R	
	Summary Administration (Rule 5.530)		R	
Generate and view probate statistical reports			R	To be defined by a reports working group.
Obligation Checklist	Petition for Discharge signed by Attorney, PR?		R	
	Accounting or Waivers?		R	
	All Beneficiaries, (Wards, Minors, Trusts, those under US Code - 3 countries: Cuba, ) identified?		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Was Publication of Notice to Creditors Filed?		R	
	Creditors Paid?		R	
	Satisfaction of State & Federal Tax Obligations or Evidence that Tax Not Owed?	Various Proof of Evidence (from DOR, IRS...)	R	
	Receipts to Beneficiaries Filed?		R	
	Inventory Filed?		R	
	Service of Notice of Administration to Beneficiaries served?		R	
	Disclaimer (Waiver of Inheritance Rights) in appropriate form to prevent fraud?	Beneficiaries under US Code cannot waive inheritance rights.	R	
	Ancillary Administration? (Check for Notice of Ancillary Admin.)	In state/country other than Florida. (Rule 5.065)	R	
Forms Required	Petition for Administration	Residence Address of Nominated, Actual, Successor PR	R	Used in determining whether PR is qualified and to determine whether bond waiver should be honored by the Court.



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
Free-form Data Object Discussion				
	Petition for Determination of Homestead	Homestead Address	R	
	Oath and Designation of Resident Agent		R	
	Will	Bond Waiver	R	
		Name of Nominated PR	R	
		Name of Actual PR	R	
			R	
			R	
	Consent for Change of PR, or Successor PR	List of Persons who must consent to change/successor if will does not provide for succession.	R	
	Waiver to serve as PR 733.301	List of Persons who must consent to the waiver if will does not provide for succession.	R	
	Affidavit of Disinterested Party	To verify homestead address	R	
	Other documentation used to prove validity of homestead address (homestead tax exemption for decedent; phone bill w/decedent name & address; etc.)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	Court Orders previously issued by Judges in cases or actions related to involved persons, or issued previously in current probate case.		R	
View and query the forms listed herein.	P-1.0100 Petition to Open Safe Deposit Box		R	Judges require all data elements from all FLSSI forms.
	P-1.0110 Order to Open Safe Deposit Box		R	
	*P-1.0300 Caveat by Creditor		R	
	*P-1.0310 Caveat by Interested Person (other than creditor)		R	
	P-1.0400 Request for Notice and Copies		R	
	P-1.0500 Formal Notice		R	
	P-1.0501 Formal Notice (adversary)		R	
	P-1.0510 Proof of Formal Notice		R	
	P-1.0511 Proof of Service of Formal Notice (adversary)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-1.0520 Notice of Action (formal notice by publication)		R	
	*P-1.0530 Notice of Hearing		R	
	*P-1.0531 Notice of Hearing (adversary)		R	
	P-1.0501 Formal Notice (adversary)		R	
	*P-1.0600 Consent and Waiver of Notice		R	
	*P-1.0610 Consent and Waiver of Notice (copy attached)		R	
	**P-1.0620 Joinder, Waiver and Consent		R	
			R	
	P-2.0100 Disposition of Personal Property without Administration— Verified Statement		R	
	# P-2.0200 Petition for Summary Administration (testate)		R	
	**P-2.0205 Petition for Summary Administration (testate)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	# P-2.0210 Petition for Summary Administration (intestate)		R	
	**P-2.0215 Petition for Summary Administration (intestate)		R	
	P-2.0300 Order of Summary Administration (testate)		R	
	P-2.0310 Order of Summary Administration (intestate)		R	
	**P-2.0355 Notice to Creditors (Summary Administration)		R	
	P-2.0600 Order Admitting Will to Probate (summary or family administration)		R	
	*P-2.0610 Order Admitting Will to Probate (self-proved)		R	
	*P-2.0800 Petition to Admit Foreign Will to Record		R	
	*P-2.0810 Order Admitting Foreign Will to Record		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-3.0100 Petition for Administration (testate Florida resident--single petitioner)		R	
	P-3.0110 Petition for Administration (testate Florida resident--multiple petitioners, single P R)		R	
	P-3.0111 Petition for Administration (testate Florida resident--multiple petitioners and P Rs)		R	
	P-3.0120 Petition for Administration (intestate Florida resident--single petitioner)		R	
	P-3.0130 Petition for Administration (intestate Florida resident--multiple petitioners, single P R)		R	
	P-3.0131 Petition for Administration (intestate Florida resident--multiple petitioners and P Rs)		R	
	*P-3.0140 Petition for Administration (testate nonresident-single petitioner)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*P-3.0150 Petition for Administration (testate nonresident--multiple petitioners)		R	
	*P-3.0151 Petition for Administration (testate nonresident--multiple petitioners and P R s)		R	
	*P-3.0160 Petition for Administration (intestate nonresident--single petitioner)		R	
	*P-3.0170 Petition for Administration (intestate nonresident--multiple petitioners and single PR)		R	
	*P-3.0171 Petition for Administration (intestate nonresident--multiple petitioners and P Rs)		R	
	P-3.0190 Waiver of Notice by Domiciliary Personal Representative		R	
	P-3.0200 Waiver of Priority, Consent to Appointment of Personal Representative, and Waiver of Notice and Bond (single)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-3.0210 Waiver of Priority, Consent to Appointment of Personal Representative, and Waiver of Notice and Bond (multiple)		R	
	*P-3.0300 Oath of Witness to Will		R	
	*P-3.0301 Oath of Witness to Will (copy)		R	
	*P-3.0310 Oath of Witness to Codicil		R	
	*P-3.0311 Oath of Witness to Codicil (copy)		R	
	P-3.0320 Proof of Will (witnesses unavailable)		R	
	*P-3.0330 Proof of Codicil (witnesses unavailable)		R	
	P-3.0350 Petition for Appointment of Commissioner		R	
	*P-3.0360 Commission to Prove Will		R	
	*P-3.0400 Order Admitting Will to Probate and Appointing Personal Representative		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-3.0401 Order Admitting Will to Probate and Appointing Personal Representative		R	
	*P-3.0410 Order Admitting Will to Probate and Appointing Personal Representatives (multiple)		R	
	*P-3.0420 Order Admitting Will to Probate and Appointing Personal Representative (self proved, singular)		R	
	*P-3.0421 Order Admitting Will to Probate and Appointing Personal Representative (self proved, corporate)		R	
	*P-3.0430 Order Admitting Will to Probate and Appointing Personal Representatives (self proved, multiple)		R	
	*P-3.0440 Order Appointing Personal Representative (intestate--single)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-3.0441 Order Appointing Personal Representative (intestate--corporate)		R	
	*P-3.0450 Order Appointing Personal Representatives (intestate--multiple)		R	
	P-3.0460 Order Admitting Codicil to Probate		R	
	*P-3.0470 Order Admitting Codicil to Probate (self proved)		R	
	*P-3.0480 Order Admitting Will of Nonresident to Probate and Appointing Personal Representative		R	
	*P-3.0481 Order Admitting Will of Nonresident to Probate and Appointing Personal Representative (corporate)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*P-3.0490 Order Appointing Personal Representative of Nonresident (intestate)		R	
	P-3.0491 Order Appointing Personal Representative of Nonresident (intestate-corporate)		R	
	*P-3.0500 Petition to Waive Bond of Personal Representative		R	
	P-3.0510 Waiver of Bond by an Interested Person		R	
	P-3.0520 Bond of Personal Representative		R	
	*P-3.0600 Oath of Personal Representative and Designation and Acceptance of Resident Agent		R	
	*P-3.0610 Designation of Successor Resident Agent, and Acceptance		R	
	P-3.0620 Oath of Corporate Personal Representative		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-3.0710 Letters of Administration (multiple)		R	
	*P-3.0720 Ancillary Letters of Administration		R	
	** P-3.0740 Notice to Creditors		R	
	#P-3.0800 Notice of Administration		R	
	**P-3.0801 Notice of Administration (intestate)		R	
	**P-3.0802 Notice of Administration (testate)		R	
	P-3.0810 Waiver of Notice of Administration (testate)		R	
	P-3.0820 Waiver of Notice of Administration (intestate)		R	
	P-3.0830 Proof of Service of Notice of Administration		R	
	*P-3.0831 Statement Regarding Creditors (individual)		R	
	*P-3.0832 Statement Regarding Creditors (corporate)		R	
	*P-3.0900 Inventory		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*P-3.0901 Inventory (ancillary)		R	
	*P-3.0910 Request for Copy of Inventory		R	
	P-3.0920 Proof of Service of Inventory		R	
	P-3.0950 Notice of Federal Estate Tax Return Due		R	
	P-3.1000 Personal Representative's Proof of Claim		R	
	P-3.1010 Statement of Claim		R	
	*P-3.1020 Objection to Claim		R	
	*P-3.1021 Objection to Personal Representative's Proof of Claim (to be paid)		R	
	P-3.1030 Proof of Service of Objection to Claim		R	
	#P-3.1032 Notice to Creditor to File Petition For Extension or Be Barred		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	** P-3.1033 Notice to Creditor to File Petition for Extension		R	
	#P-3.1040 Petition For Order Striking Untimely Filed Claims		R	
	** P-3.1041 Petition For Order Striking Untimely Filed Claim		R	
	P-3.1045 Order Striking Untimely Claim		R	
	P-3.1050 Satisfaction and Release of Claim		R	
	#* P-4.0100 Petition for Allocation of Spouse's Share		R	
	** P-4.0101 Petition for Allocation of Spouse's Share (lineals are issue of surviving spouse)		R	
	#P-4.0110 Order Allocating Spouse's Share (lineals are issue of surviving spouse)		R	
	** P-4.0111 Order Allocating Spouse's Share (lineals are issue of surviving spouse)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*P-4.0120 Petition for Allocation of Spouse's Share (lineals not issue of spouse)		R	
	P-4.0130 Order Allocating Spouse's Share (lineals not issue of spouse)		R	
	P-4.0200 Petition to Determine Exempt Property		R	
	P-4.0210 Order Determining Exempt Property		R	
	*P-4.0300 Petition for Family Allowance		R	
	*P-4.0310 Order Authorizing Family Allowance		R	
	# P-4.0410 Petition to Determine Homestead (Intestate)		R	
	**P-4.0411 Petition to Determine Homestead (Intestate)		R	
	# P-4.0420 Petition to Determine Homestead (Testate)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	**P-4.0421 Petition to Determine Homestead (Testate)		R	
	P-4.0454 Order Determining Homestead Status of Real Property (Intestate--spouse, no lineal descendants-exempt from claims)		R	
	P-4.0456 Order Determining Homestead Status of Real Property (Intestate--lineal descendants, no spouse-exempt from claims)		R	
	P-4.0457 Order Determining Homestead Status of Real Property (Intestate – spouse, lineal descendants, exempt from claims)		R	
	P-4.0462 Order Determining Homestead Status of Real Property (Testate-not validly devised, spouse or minor child-exempt from claims)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-4.0463 Order Determining Homestead Status of Real Property (Testate-not validly devised, minor child but no surviving spouse-exempt from claims)		R	
	P-4.0464 Order Determining Homestead Status of Real Property (Testate--validly devised, spouse, no minor child-exempt from claims)		R	
	P-4.0466 Order Determine Homestead Status of Real Property (Testate-validly devised, heirs, no spouse or minor lineal descendants-exempt from claims)		R	
	P-4.0468 Order Determining Homestead Status of Real Property (Testate--validly devised, heirs, no spouse or minor child exempt from claims)		R	
	## P-4.0500 Election to Take Elective Share		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	## P-4.0505 Notice of Election to Take Elective Share		R	
	##P-4.0506 Proof of Service of Notice of Election to Take Elective Share		R	
	## P-4.0510 Petition for Determination of Elective Share		R	
	##P-4.0520 Order Determining Elective Share		R	
	**P-4.0540 Election to Take Elective Share		R	
	**P-4.0545 Notice of Election to Take Elective Share		R	
	**P-4.0550 Proof of Service of Notice of Election to Take Elective Share		R	
	**P-4.0555 Order Determining Spouse's Entitlement to Elective Share		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	**P-4.0560 Petition to Determine Amount of Elective Share (Contribution Unnecessary)		R	
	**P-4.0565 Order Determining Amount of Elective Share (Contribution Unnecessary)		R	
	P-5.0400 Petition for Discharge (single PR)		R	
	P-5.0401 Petition for Discharge (multiple PRs)		R	
	*P-5.0410 Notice of Final Accounting and Petition for Discharge		R	
	P-5.0420 Receipt of Petition for Discharge and Accounting and Consent to Distribution		R	
	** P-4.0570 Petition to Determine Amount of Elective Share (Contribution Required)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	**P-4.0575 Order Determining Elective Share (Contribution Necessary)		R	
	*P-4.0600 Declaration that Proceeding is Adversary		R	
	P-4.0610 Order that Proceeding is Adversary		R	
	P-4.0650 Notice of Civil Action		R	
	P-4.0700 Notice of Ancillary Administration		R	
	*P-4.0800 Notice of Trust		R	
	*P-5.0100 Petition to Extend Time for Filing Final Accounting and Petition for Discharge		R	
	P-5.0200 Order Extending Time for Filing Final Accounting and Petition for Discharge		R	
	P-5.0300 Notice of Interim Accounting		R	
	*P-5.0338 Accounting Cover Page (see Appendix A to rule 5.346)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	*P-5.0340 Accounting Summary		R	
	P-5.0341 Accounting Schedule A		R	
	P-5.0342 Accounting Schedule B		R	
	P-5.0343 Accounting Schedule C		R	
	P-5.0344 Accounting Schedule D		R	
	P-5.0345 Accounting Schedule E		R	
	P-5.0511 Receipt (with refunding language)		R	
	P-5.0520 Waiver of Accounting and Service of Petition for Discharge and Receipt of Beneficiary and Consent to Discharge		R	
	P-5.0530 Receipt of Beneficiary and Consent to Discharge		R	
	P-5.0550 Petition for Discharge (full waiver)		R	
	P-5.0551 Petition for Discharge (full waiver-multiple)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-5.0570 Waiver of Accounting and Portions of Petition For Discharge; Waiver of Service of Petition For Discharge; and Receipt of Beneficiary and Consent to Discharge		R	
	*P-5.0600 Personal Representative's Release and Certificate of Distribution of Real Property (single individual PR)		R	
	*P-5.0605 Personal Representative's Release and Certificate of Distribution of Real Property (multiple PRs)		R	
	*P-5.0610 Personal Representative's Release and Certificate of Distribution of Real Property (corporate PR)		R	
	P-5.0700 Report of Distribution (single PR)		R	
	P-5.0701 Report of Distribution (multiple PRs)		R	
	P-5.0800 Order of Discharge (single PR)		R	



Functional Requirement	Data Object Name	Data Element Requirement	Judge Requires/ Not Needed	Comments
	P-5.0810 Order of Discharge (multiple PRs)		R	
	P-5.0500 Waiver of Accounting and Service of Petition for Discharge		R	
	P-5.0501 Waiver of Accounting and Service of Petition for Discharge, and Consent to Distribution		R	
	P-5.0510 Receipt		R	