



Maricopa County Clerk of the Superior Court

Cash Receipting

Business Requirements

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Introduction

This document provides a foundation for development of the specific definitions and business rules associated to cash receipting. Due to the nature of money, it is necessary to assure that proper handling, accounting and audit requirements are defined. This document is to identify those requirements to assure compliance. Please refer to related artifacts found [here](#) for detail requirements and business rules. This document does not cover requirements incident to interfaces with other systems.

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1. Accounting for Funds

Description -- The activities necessary to satisfy the Clerk of Court’s fiduciary responsibilities include receipting of filing fees, payments for court ordered fines and fees, payment of trust fund deposits, and receipting of funds for other non-court related services such as marriage licenses, passports, etc. Incorporated with these duties is the need to record and maintain accounting (General Ledger) and bookkeeping (Subsidiary Ledger) records that satisfy county, state, and federal auditing agencies.

1.1. General Non-specific Requirements

Description: The requirements that are either common to one or more of the subsequent sections or cannot be categorized into one of those sections.

Requirements	Auto	Mand.	Opt.
1.1.1. Comply with generally accepted accounting principles (GAAP) for governmental entities (which implies courts or state must define applicable GAAP(s))		all	
1.1.2. Provide appropriate security and authorization for all functions		all	
1.1.3. Maintain front-counter bookkeeping and audit information on all transactions created (receipting, disbursing, record changes, table maintenance - e.g., activity datetime, user id, location, workstation, type of transaction, drawer number, receipt number, case number, accounting allocation code, etc.)		all	
1.1.4. Support trust fund (i.e., moneys held in trust that may be disbursed upon court order or for services rendered including general, attorney fees, and safekeeping trusts) accounting (e.g., post trust funds transactions to case; track receipts, disbursements, account status; credit interest; process refunds and forfeitures)		all	
1.1.5. Prevent financial transactions from being dated and posted to a closed accounting period	yes	all	
1.1.6. Provide safeguards to assure funds received are cleared and considered good before disbursements are generated (victim restitution checks, trust fund disbursements, bail bonds returned, etc.) or release from custody occurs (bail monies). Provide ability to notify related criminal and court agencies, when funds are cleared, of such actions within appropriate time periods.		all	
1.1.7. Interfaces that allow for the collection and receipting of fines, fees, and bonds by non-court persons or companies, should prohibit the deletion or modification of financial or other case data within the security matrix.		all	



2. System Maintenance

Description – This section pertains to all areas the system administrator will need to maintain throughout the life of the system.

Requirements	Auto	Mand.	Opt.
2.1.1. Provide ability to configure and maintain one or more agencies that would use the system (Clerk of Court, Superior Court, Juvenile Court, Parks and Recreation, etc), so that funds receipted are distinguishable from each agency; transactions and deposits are separate and distinct to each agency.			
2.1.2. Ability to configure and maintain branch locations and assign them to an agency.			
2.1.3. Ability to configure and maintain workstations and assign them to a branch.			
2.1.4. Provide ability to configure and maintain security patterns that coincide with functions and tasks to be performed.			
2.1.5. Ability to configure and maintain users and assign each a security pattern, password maintenance, supervisory authority, and assign them to an agency and supervisor within an agency.			
2.1.6. Ability to configure and maintain cash drawers, and assign them to users. A user may be assigned more than one cash drawer, but can only have one active at a time. The cash drawer needs to be used as a control, in that the system maintains a count of various activities (# of transactions/receipts, cash, checks, etc.) and other information (deposit date, location, workstation, etc.) for review and audit purposes.			
2.1.7. Ability to assign a batch control number to a drawer.			
2.1.8. Provide a system that is highly configurable to allow business administrator to create 'special fields' within specific tables (transaction and related tables – to be defined) associated to receipting and cash management.			
2.1.9. Ability to define and redefine receipting user interfaces for each agency that uses the system by moving fields into set positions using a template format.			
2.1.10. Ability to configure and maintain dropdown lists of codes with descriptions, and assign them to text data fields on user interfaces (IVD codes, defer/waive entity type codes, party type codes, superior court 'packet' codes, front end suspense resolve reason codes, hold reason codes, void reason code, business accounts codes, case type docket codes, etc., etc.)			
2.1.11. Ability to set, for each agency, a minimum and maximum number of days from the current date that allows a user to create a deposit			



Requirements	Auto	Mand.	Opt.
<p>date for their start of day within the set range. The deposit date represents a date where funds receipted are expected to be sent to the bank for deposit. This number may include only one day or a cover a range of days, thus reducing the possibility of holding funds for long periods of time without closing out the deposit and for bookkeeping and audit purposes.</p>			
<p>2.1.12. Ability to configure and maintain batch control prefix codes for batch payment processing (unique locator id's) and tie each prefix code to an appropriate fund and GL account in a subsidiary ledger (batch prefix maintenance).</p>		all	
<p>2.1.13. Ability to establish standard data values/codes as the system evolves and needs are identified, that are used by the system, for receipting transactions involving system default information (eg. – transaction type codes – SOD, DRAW, DEPO, SUB, etc.)</p>		all	
<p>2.1.14. Ability to establish and configure service transaction codes (fee code maintenance screen) for providing monetary and non-monetary services, and assign an account allocation group code (one or more subsidiary GL account numbers) for GL account allocation purposes. Configuration also needs to allow the ability to set a predefined interface on some service transaction codes to access other database systems (criminal receivables, juvenile receivables, trust deposits, case management, etc.). Each code will need to have the ability to configure a maximum of 15 text fields which need the option of assigning a 'code list' to each. Field names need to be administratively defined as they are selected for use to accommodate the needs of each agency using the system. Ability to identify a service transaction code as non-monetary is necessary to create transactions that are not booked or part of a bank deposit. A name as well as address options should be included to optionally capture data when a transaction code is used.</p>		all	
<p>2.1.15. Ability to configure service transactions codes that are non-monetary in nature, that allow transaction records to have values other than monetary.</p>			
<p>2.1.16. Ability to configure and maintain payment type codes or "tender types" (cash, check, credit/debit, non-monetary) and associated tender type codes (local check, out of state check, money order, etc.). Imposition of a value for 'hold' days on tender types will be necessary so funds will not be disbursed until hold period is past.</p>			
<p>2.1.17. Ability to configure and maintain various customer receipt printing formats and assign them to an agency or a branch of an agency. This allows each agency to have its own name, address,</p>			



Requirements	Auto	Mand.	Opt.
etc. as well as provide their customers with required information. It should allow a receipt total as well as the option of transaction detail and tender transaction detail. All receipt printing formats must indicate if any voids occurred (at the tender or transaction or receipt level).			
2.1.18. Ability to configure MSWord documents and assign them to transaction fee codes so they can be used by a process to printed during the receipting process (notice of deposits, marriage license, deferral notice/payment expectations, payment plan, etc.). Merge fields of the related transaction fee code needs to be included as part of the configuration.			
2.1.19. Ability to configure system with a time of day to “post” accounting entries to a bookkeeping system, and set an “auto post” or “manual post” indicator so the system can be “turned off” or “on” manually as occasions may require.			
2.1.20. Ability to add, change, update and delete fund account numbers and subsidiary GL account numbers to be assigned to service transaction codes, for allocation purposes when daily deposits are posted to a general ledger (fund account maintenance screen) bookkeeping system.		all	

3. Receipting Functions

Description -- This section covers the receipting functions in which customers request services or make court ordered payments. Receipting functions can be performed at the cashiering station using cash drawers or through batches for such activities.

3.1. Identify Cash Drawer – Set Deposit Type & Deposit Date

This group of requirements addresses the activities associated with identifying a cash drawer or batch control number assigned to a user and setting a deposit date to begin a day’s work.

Requirements	Auto	Mand.	Opt.
3.1.1. Only the user assigned to a cash drawer can assign a deposit date and a deposit type code (OTC or BAT) to a cash drawer whose deposit date is null.			
3.1.2. A cash drawer’s associated deposit date must be identified with a ‘deposit type’ code, either receipting over the counter (OTC) funds and service transactions or batch (BAT) service transactions. Each transaction record created using a drawer’s deposit date must be identified with one or the other (OTC or BAT). Deposit types			



Requirements	Auto	Mand.	Opt.
cannot be mixed together in one drawer for any given deposit date.			
3.1.3. Only cash drawers that have an assigned 'deposit date' and 'deposit type code' can create transaction activity.		yes	
3.1.4. If a user assigns their cash drawer a deposit type equal to batch (BAT) they must also assign an existing batch control number and its associated deposit date or it must not be allowed (system to verify against active batch control records).		yes	
3.1.5. An active batch control number, an associated deposit amount and deposit date must exist within the system for it to be assigned to a cash drawer.			
3.1.6. When a cash drawer is assigned a deposit date and deposit type the system must create a "Start of Day" (SOD) type transaction indicating datetime of creation. The status of the cash drawer will immediately be set to active. Only one SOD type transaction can exist for each drawer id for any given deposit date and deposit type (OTC or BAT). This transaction must be the first transaction with an index of the user id, drawer id, deposit type code, and deposit date.	yes	yes	
3.1.7. In the case where a user has more than one cash drawer assigned and more than one has a deposit date, the user must be required to select which one they want to use before proceeding to the receipting program. Only one deposit date and deposit type of a cash drawer of a user can be active at any given time the user is logged onto the application. Whichever drawer's deposit date is selected becomes active and inactivates all others. If only one drawer is assigned with only one deposit type and deposit date, the user can begin receipting; otherwise the system must require them to select a cash drawer deposit type and/or set/view the deposit type and deposit date.		yes	
3.1.8. A user may be logged onto the application more than once but only one cash drawer associated to the user may be active at a time.			
3.1.9. When a user logs off the application, all cash drawers and deposit types assigned to the user that have a deposit date, will be inactivated by the system.	yes	yes	



3.2. Generate Receipt, Service & Tender Transactions

This group of requirements addresses the activities associated with generating transactions and printing receipts.

Requirements	Auto	Mand.	Opt.
3.2.1. The system must generate receipt, service, and tender records numbered sequentially without any gaps between numbers.			
3.2.2. There must be a distinction between a receipt record, a service transaction record and a tender transaction record within the system. Each service and tender transaction record must be related by, and indexed to, only one receipt record for a given deposit date and deposit type (index example may be receipt id, deposit date, drawer id, deposit type code). A tender transaction record cannot exist without at least one monetary service transaction record. A receipt record cannot exist without at least one service transaction record.		all	
3.2.3. Service transaction records need to be able to be generated from selecting service transaction codes, and tender transactions need to be generated from selecting tender codes and related tender type codes (if applicable).	yes	yes	
3.2.4. Since receipt records can represent many service transactions, it will be necessary to have a system designed to allow for quick selection of the service transaction codes one after another when creating a receipt.			
3.2.5. The sum total of all tender transaction records of a receipt record must equal the sum total of all monetary service transaction records of the same receipt record.	yes	yes	
3.2.6. Ability to select one or more service transaction codes, identify the quantity of items requested of each, accept or override a default amount or insert an amount per item for each, change a calculated or default total for each, accept or uncheck a default indicator to not waive/defer the calculated total for each, and if applicable, accept or override a conform print of a document associated to each service transaction code if one exists. Indicate to the system when all service transaction codes have been completed in order to begin the tender (accept payment) process of collecting the funds due.		yes	
3.2.7. Ability to view a running total of funds (monetary) due for all service transaction codes per customer session (receipt) and the number of service transaction codes used.	yes	yes	
3.2.8. Ability to locate and apply a previous receipt transaction associated			



Requirements	Auto	Mand.	Opt.
to another system (suspense items via interface procedure) and mark it as applied.			
3.2.9. Ability to enter an amount for a tender type and have system display the difference between total due of a receipt and total entered or tendered (after each tender amount entered – net difference).			
3.2.10. Ability to create, for a single receipt record, one or more tender type transactions (cash, check, credit), the sum of which should equal the total of all service transactions of the receipt. When total tendered equals amount due at the receipt level the system will allow user to complete the tender process and generate a receipt.		yes	
3.2.11. The system should identify after each tender transaction the remaining amount to tender. In any case, the total of all tender transactions must equal the total of all monetary service transactions before a receipt record can be considered complete.	yes	yes	
3.2.12. If an excess tender amount creates an “overpaid” amount, the system should not allow a receipt record to be complete without requiring the user to optionally creating an “overpayment” transaction (capturing the name/address of remitter and use overpayment amount to create an overpayment transaction record to be disbursed at a later date) representing the excess amount, or, optionally voiding a related service transaction or tender transaction and reentering either. In any case, all tender transactions must equal all monetary service transactions before a receipt is completed.			
3.2.13. Ability to accept credit or debit cards either through manually entering numbers or via a card swipe peripheral and receive an immediate approval or denial from a third party processing service when creating tender transactions. If denied do not allow the tender transaction to be completed. If no response is given, allow an override to accept the tender and create the receipt record if total tendered meets the business rules. (override will be controlled thru user security settings).	yes	yes	
3.2.14. Ability to capture a signature from a peripheral device (signature pad) when creating tender transactions and associate it to the transaction.	yes	yes	
3.2.15. Ability to allow the user to selectively carry forward data from a previous receipt screen to the next (case number, names, etc.) then allow changes to any or all fields brought forward. This would be used when more than one transaction will be created for the same case or payer.	yes	yes	
3.2.16. Ability to void a service transaction record or a tender transaction		yes	



Requirements	Auto	Mand.	Opt.
record or a receipt record or all individually or collectively. If a receipt record is voided all related service and tender transaction records must also be marked as voided.			
3.2.17. Each service and tender transaction record must be identified by a process 'type' code that represents the process that created it for audit and control purposes. Some of these codes may be FEE, DEPO, SUB, TTL, SUSP, SOD, NOM, RCPT, TNDR, etc.	yes	yes	
3.2.18. Must be able to print or reprint a receipt based on an agency's requirements (configurable). A reprint will indicate such ('Reprint' or 'Duplicate').	yes	yes	
3.2.19. Ability to capture the front and back image of one or more checks (tender) of a receipt and associate it to the receipt record, with the ability to view and print it (front and back) by inquiry.	yes	yes	
3.2.20. Ability to print or reprint a bank endorsement on the back of each check tendered for a receipt as well as the tender transaction number, receipt number and user id.	yes	yes	
3.2.21. Ability to print various stamps (document processes) on a document based on the service transaction code used. The document process needs to be able to locate on an 8.5x11 form where the stamp will occur and the size and data that will be printed. Some of the data may come as a result of the service transaction being created while some may be defaulted based on pre-configuration of the service code used.		yes	yes
3.2.22. Provide the ability to have a continuous view of receipts/transactions during processing via an On Screen Transaction History screen			yes
3.2.23. Provide a process to allow receipt records and associated service transaction and tender transaction records to be created via electronic payment processing.			

3.3. Batch Entry

This group of functions addresses the activities associated with one or more batches of payments to be associated to one deposit amount.

Requirements	Auto	Mand.	Opt.
3.3.1. Maintain deposit and batch bookkeeping information on funds that may have already been deposited. Permit payments to be processed and maintain receipts and audit trail to possible disbursements generated from payments (e.g. payer, receipt		all	



Requirements	Auto	Mand.	Opt.
number, case number, fee code and payment tendering information, etc.)			
3.3.2. Provide ability to create a batch control to associate to one or more batch of payments. Control should include at least a control number/id, deposit date, total amount of deposit and number of items.			
3.3.3. Ability to open a batch of work as a deposit and associate it to a predefined batch control.			
3.3.4. For each batch associated to a batch control, be able to compute totals, list transactions, batch balance, and batch status.	yes	all	
3.3.5. Permit the processing of a batch to be within a limited amount of time (days, weeks, months, etc)		all	
3.3.6. List any discrepancies between payments, receipts, batches, deposits and bank errors.		all	

3.4. Draw Down of Funds

This group of functions addresses the activities associated with a rule or statute of reducing the cash amount in a cash drawer during a business day when it reaches a predefined amount by depositing the excess while continuing to process receipts.

Requirements	Auto	Mand.	Opt.
3.4.1. Provide the ability to set a predefined amount in the system that represents the maximum cash allowed in a single cash drawer to that when a drawer reaches the amount the user is required to remove at least a certain predefined percentage of the amount by creating a separate deposit record.			
3.4.2. Allow user to remove excess funds at any point during a day without doing a final close out deposit.		all	
3.4.3. Maintain a running record of all draw amounts performed by a user during a business day; each draw should create its own bank deposit record.	yes	all	

3.5. Cashier Balancing and Close Out

This group of functions addresses the activities associated with cash drawer balancing and close out activities.



Requirements	Auto	Mand.	Opt.
3.5.1. Require a user to identify the type of balancing routine being performed: a draw (create cash deposit for a specified cash amount), a sub-balance (verification process only) or a final close out (verification, final deposit and close drawer). Provide a routine for each.			
3.5.2. Provide a verification process that requires user to verify to the system's tender transaction's in their drawer each physical non-cash tender item (checks, credit card) based on item amount and tender transaction number (to be printed on each item). Have the system mark each non-cash tender transaction that verifies correctly during the verification process so it does not have to be considered in future balancing sessions. Notify user when item does not verify and provide a re-verification or exit process.			
3.5.3. Require user to verify physical cash (excluding drawer's petty cash amount), by denomination count, to their drawer's total cash amount.			
3.5.4. Compute totals, list number of transactions, and balance for each cash drawer/register, user, and tender type.		all	
3.5.5. Provide summary and/or detail list of contents of each drawer by tender type (e.g., cash, checks, credit card receipts, fee waivers, money orders)		all	
3.5.6. Identify any overages/shortages between entered and verified amounts to actual totals in/of drawer (by tender type and for drawer total).		all	
3.5.7. Suspend user operations multiple times during day (e.g., close without balancing to permit lunch and other breaks)		all	
3.5.8. Provide the ability for each user to perform a sub-balance for current activity since the beginning of the day or since the last sub-balance		all	
3.5.9. Provide a calculator for use by a cashier.		all	
3.5.10. Ability to accept a cash shortage amount during a final close out up to a predetermined allowable amount. Do not allow any other type of shortage or overage. (if a tender type other than cash is over or short the user must void the tender transaction that is incorrect and reenter the item to resolve the difference – see 3.5.2. If there is a cash overage then a fee code or transaction type code will be used to book the amount as an overage. Only a cash shortage will need to be booked and accounted for during the close out process).		all	
3.5.11. System should create a bank deposit slip upon completing a close out and final deposit (TTL) process at the close of business		all	



Cashier Management

This group of functions addresses the activities associated with user supervision and administration.

Requirements	Auto	Mand.	Opt.
3.5.12. Proper user security permissions should permit transactions to be voided and corresponding adjusting entries to be made before close of day is performed (e.g. per transaction, or entire receipt)		all	
3.5.13. Allow supervisor to select other user's cash drawers that have not been closed out to void transactions and/or do a close out and create a deposit.		all	
3.5.14. Provide secure passwords for each user; allow user to change their own password.		all	
3.5.15. Security permissions are needed to do a close out when a shortage exists.		all	
3.5.16. Prohibit modification of receipt number sequence and provide audit trail of receipt number usage	yes	all	

4. Reports

Description – This section lists all necessary reporting functions to create auditable receipt/transaction history. Reports and inquiry should also allow printing or viewing or exporting data to documents (Excel, MSWord, pdf, etc.)

Requirements	Auto	Mand.	Opt.
4.1.1. Ability to research a list of payment details for a single batch. (batch transaction detail report)		all	
4.1.2. Ability to research amounts and pay types processed by each user over a specified time period (drawer statistics report)		all	
4.1.3. Ability to research fee code activity over a specified time period (fee code statistics report)		all	
4.1.4. Ability to research payments processed into the Cash Management system placed into front end suspense and are unresolved (items in suspense report)		all	
4.1.5. Ability to research over payment activity over a specified time period on a specified amount (overpayment report)		all	
4.1.6. Ability to research amount and pay types processed by each terminal over a specified time period (terminal statistics report)		all	
4.1.7. Ability to research transactions over a specified time period		all	



Requirements	Auto	Mand.	Opt.
(transaction listing report)			
4.1.8. Ability to research voided receipts and draws over a specified time period (void listing report)		all	
4.1.9. Ability to research amounts collected from credit card payments for a specified drawer id, location code and a specified time period (credit card reports)		all	
4.1.10. Ability to research fee group activity over a specified time period (fee group statistics report)		all	
4.1.11. ability to research amounts and pay types processed by each terminal over a specified time period (ml/passport statistics report)		all	
4.1.12. Ability to research case activity over a specified time period summarized by fee code (special code listing report)		all	
4.1.13. Ability to research transactions on special fees over a specified time period (special fee report)		all	
4.1.14. Ability to research new filings, answers, subsequent filings, title IVD and Spanish translations (title IVD & Spanish translation report)		all	
4.1.15. Ability to research drawers that have not been closed for a specified time period (unclosed drawer report)		all	



5. Inquiry

Description – this section pertains to all areas the system needs to assist in researching accounting issues. Reports and inquiry should also allow printing or viewing or exporting data to documents (Excel, MSWord, pdf, etc.)

Requirements	Auto	Mand.	Opt.
5.1.1. Ability to make inquiries on any over/short condition of a cash drawer and to provide details of the occurrence (over/short inquiry screen)		all	
5.1.2. Ability to find specific transactions on previously generated receipts (transaction inquiry screen)		all	
5.1.3. Ability to find, void and reprint previously generated receipts (receipt inquiry screen)		all	
5.1.4. Ability to make inquiries on daily deposit records after the final cash drawer balance of the day for all users (deposit inquiry screen)		all	
5.1.5. Ability to track payment/transaction activity in an electronic format that cannot be misplaced or destroyed (on-screen transaction history)		all	

6. Integration

Description – this section identifies systems which may need to be integrated into a new receipting system. Each integration will need to identify the appropriate fields used during the integration and subsequent logic to support such.

Phase I

The following systems will need to be immediately integrated

1. Network security application (Clerk and Court)
2. General Ledger (new),
3. iCIS Financials,
4. Third party Credit Card application
5. MF printer (Epson UM-6000II or similar)
6. Signature pad

Phase II

7. Trust,
8. Collections/Billing



7. Remote Off-line Processing

Description – Provide a protocol, and associated execution, that allows receipting at off-site locations using laptops without connectivity to main database. Ensure receipt number continuity so that data does not need to be reentered manually, so that ‘temporary’ receipt and transaction numbers issued are linked to permanent numbers in database. This functionality should also be able to be utilized when the database server is down so receipting can continue uninterrupted locally.