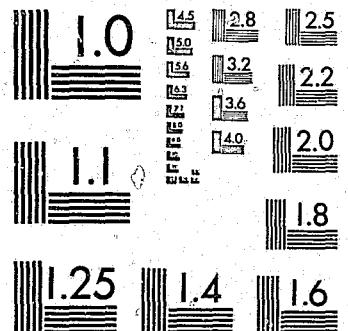


National Criminal Justice Reference Service

ncjrs

This microfiche was produced from documents received for inclusion in the NCJRS data base. Since NCJRS cannot exercise control over the physical condition of the documents submitted, the individual frame quality will vary. The resolution chart on this frame may be used to evaluate the document quality.



MICROCOPY RESOLUTION TEST CHART
NATIONAL BUREAU OF STANDARDS-1963-A

Microfilming procedures used to create this fiche comply with the standards set forth in 41CFR 101-11.504.

Points of view or opinions stated in this document are those of the author(s) and do not represent the official position or policies of the U. S. Department of Justice.

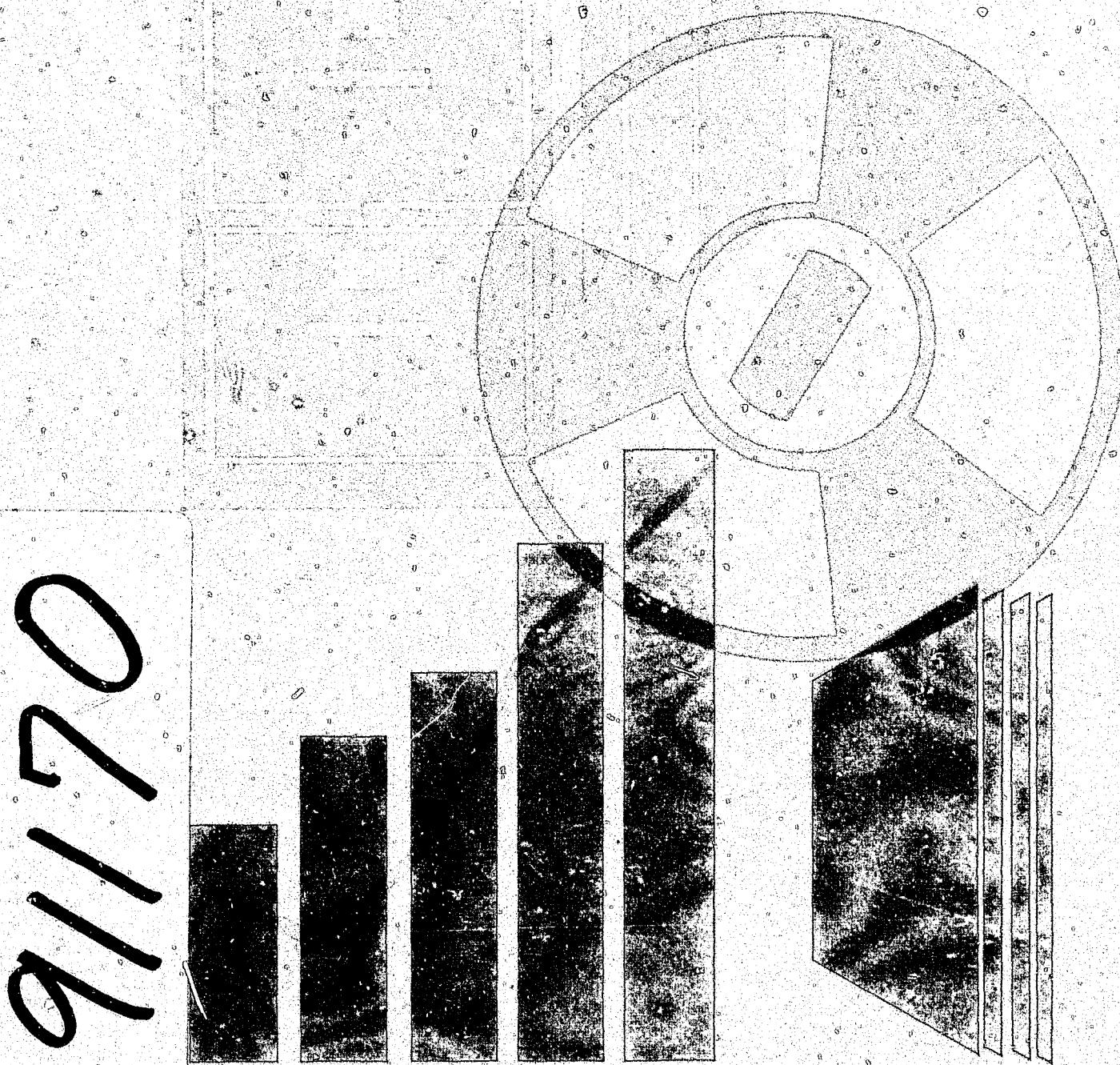
National Institute of Justice
United States Department of Justice
Washington, D.C. 20531

11/28/83

National Center
for State Courts



COURT CASE MANAGEMENT INFORMATION SYSTEMS MANUAL





National Center
for State Courts

COURT CASE MANAGEMENT INFORMATION SYSTEMS MANUAL

with
***Model Data Elements,
Reporting Forms,
and
Management Reports***

by
Mary Louise Clifford
and
Lynn A. Jensen

prepared by the
State Judicial Information Systems Project
and the
National Court Statistics Project
in cooperation with the
Conference of State Court Administrators

The material contained in this report was prepared by the National Center for State Courts' State Judicial Information Systems Project staff, with support from the staff of the National Court Statistics Project. These two projects were supported by Federal Grant No. 82-CJ-CX-K001, awarded to the National Center for State Courts, Williamsburg, Virginia, by the Systems Development Division, and Federal Grant No. 82-BJ-CX-K014, awarded by the Bureau of Justice Statistics, part of the U.S. Department of Justice, under the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The State Judicial Information Systems Project has been directed by Lynn A. Jensen for the National Center for State Courts and monitored by Donald A. Manson for the Bureau of Justice Statistics. The National Court Statistics Project has been directed by Victor E. Flango for the National Center and monitored by Carla Gaskins for the Bureau of Justice Statistics. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Library of Congress Cataloging in Publication Data

Clifford, Mary Louise.

Court case management information systems manual.

Bibliography: p.

1. Court administration--United States. I. Jensen, Lynn A. II. National Center for State Courts. State Judicial Information Systems Project. III. National Court Statistics Project (U.S.) IV. Conference of State Court Administrators. V. Title.
KF8733.C58 1983 347.73'1'068 83-17382
ISBN 0-89656-071-6 347.3071068

Copyright © 1983 by National Center for State Courts

National Center Publication No. R-082

COSCA Committee on Court Statistics and Information Systems

Walter J. Kane
State Court Administrator
Rhode Island
(CHAIRMAN)

L. M. "Pat" Jacobs, IV
Circuit Court Administrator
Detroit, Michigan

Elizabeth D. Belshaw
State Court Administrator
Oregon

J. Denis Moran
Director of State Courts
Wisconsin

William G. Bohn
State Court Administrator
North Dakota

Larry P. Polansky
Executive Officer
Courts of the District of Columbia

Hugh M. Collins
Deputy Judicial Administrator
Louisiana

Professor Richard J. Richardson
University of North Carolina

Sue K. Dosai
State Court Administrator
Minnesota

Francis J. Taillefer
Administrator, Information Systems Division, North Carolina Administrative Office of the Courts

Honorable Roy O. Gulley
Director, Administrative Office of the Courts
Illinois

National Center for State Courts

EXECUTIVE DIRECTOR: Edward B. McConnell

DEPUTY DIRECTOR FOR PROGRAMS: John M. Creacen

STATE JUDICIAL INFORMATION SYSTEMS PROJECT STAFF:

Lynn A. Jensen, Project Director
Mary Louise Clifford, Staff Associate
Brenda W. Jones, Administrative Secretary

NATIONAL COURT STATISTICS PROJECT STAFF:

Victor E. Flango, Project Director
Mary E. Elsner, Staff Associate
Robert R. Roper, Staff Associate
Brenda W. Jones, Administrative Secretary

OTHER STAFF CONTRIBUTORS:

Carter C. Cowles, Senior Staff Associate
Don E. Hardenbergh, Staff Associate

U.S. Department of Justice
National Institute of Justice

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

Permission to reproduce this copyrighted material in microfilm only has been granted by
to the National Criminal Justice Reference Service (NCJRS).
National Center for
State Courts

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

National Center for State Courts
Board of Directors

Honorable Lawrence H. Cooke
President
Chief Judge of the State
of New York

Honorable Ralph J. Erickstad
President-Elect
Chief Justice, Supreme Court
of North Dakota

Mr. Lester Earl Cingcade
Vice-President
Administrative Director of
the Courts, The Judiciary of Hawaii

Honorable B. Don Barnes
Chief Justice, Supreme Court of
Oklahoma

Honorable Dorothy T. Beasley
Judge, State Court of Fulton
County, Georgia

Honorable George C. Berry
Judge, Probate Court, Missouri

Honorable Robert C. Broomfield
Presiding Judge, Superior Court
of Maricopa County, Arizona

Honorable Mercedes F. Deiz
Fourth Judicial District
Judge, Circuit Court of Oregon

Mr. Haliburton Eales, 2d
White and Case, New York City

Honorable William H. D. Fones
Chief Justice, Supreme Court
of Tennessee

Mr. Linwood Holton
Vice-President and General Counsel
American Council of Life Insurance,
Washington, D.C.

Honorable Wilfred W. Nuernberger
Judge, Separate Juvenile Court
of Lancaster County, Nebraska

Honorable John T. Racanelli
Presiding Justice, California
Court of Appeal, First District

Honorable Howard C. Ryan
Chief Justice, Supreme Court
of Illinois

Honorable Kaliste J. Saloom, Jr.
Judge, City Court of Lafayette,
Louisiana

Honorable Leo M. Spellacy
Presiding Judge, Court of
Common Pleas of Cuyahoga
County, Ohio

Mr. Charles H. Starrett, Jr.
Court Administrator, Court of
Common Pleas, Allegheny
County, Pennsylvania

Mr. James D. Thomas
State Court Administrator,
Judicial Department, Colorado

National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23185

Acknowledgments

Court Case Management Information Systems Manual with Model Data Elements, Reporting Forms, and Management Reports has been prepared by the staff of the State Judicial Information Systems and National Court Statistics projects of the National Center for State Courts. This publication is an integral part of a continuing effort by the National Center and the Conference of State Court Administrators to develop within the National Center a national data base of comparable state court caseload statistics and to help state courts collect, report, and use more comprehensive, accurate, and timely management information through the development of effective and efficient court management information systems.

The functions and applications normally associated with court management information systems are discussed and the primary management uses of case-related data identified. Further, the case management information requirements of administrative offices of the courts and of trial and appellate courts are surveyed. The case-related model data elements, presented in earlier SJIS and NCSP publications such as the State Court Model Statistical Dictionary and the State Court Model Annual Report, are expanded and clarified. These model data elements are then arranged in a logical classification framework and used to develop several sets of model data collection forms and management reports for use in trial courts, appellate courts, and state-level administrative offices.

The preparation of this document has been supervised and greatly assisted by the advisory committee appointed by the Conference of State Court Administrators (COSCA). The committee members have given generously of their time and experience, and their participation has been invaluable to the project staff. The positive control exerted by COSCA through this committee, using the review and approval process, has greatly enhanced the quality of this report.

The members of the COSCA Committee on Court Statistics and Information Systems, however, are not the only COSCA members whose assistance has been vital to the production of this document. The administrators and their staffs in the 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands have provided the National Center staff with vital survey data and information detailing the types of court statistics they collect and report. They have been consistently patient and helpful in answering written and telephone inquiries for more data or for explanations of the use of the data provided.

The members of the National Conference of Appellate Court Clerks, National Association of Trial Court Administrators, National Association for Court Administration, and National Council for Judicial Planning were also requested to furnish data on case management reporting techniques. Their prompt and complete responses are very much appreciated.

The project monitors in the Bureau of Justice Statistics--Carla Gaskins for the National Court Statistics Project, and Don Manson for the State Judicial Information Systems Project--have been most supportive in encouraging us to combine two monographs, which were to be produced separately by the two projects, into one comprehensive manual. This merger of a document on data collection and a document on output reports has eliminated redundancy and permitted a much broader treatment of court management information systems.

We appreciate the use of the library facilities and the availability of cooperative staff members at the College of William and Mary, the Institute for Judicial Administration, the Institute for Court Management, the American University Criminal Courts Technical Assistance Project, the National Council of Juvenile and Family Court Judges, the National Center for Juvenile Justice, the Federal Judicial Center, and the National Center for State Courts. Their assistance has been invaluable in enhancing the quality of the compilation and research represented in this publication.

Other individuals at private institutions and universities across the country were also queried, and their assistance in identifying and gathering valuable research material is gratefully acknowledged. In addition, the authors would like to acknowledge the individual contributions of Victor Flango, Mary Elsner, Robert Roper, Don Hardenbergh, at the National Center for State Courts for their assistance in gathering research materials and patience in discussing the concepts in and reviewing this document. Brenda Jones deserves special commendation for her patience in dealing with the complex word processing and graphics requirements of this substantial manual.

Table of contents

	Page
Acknowledgments	v
NCJRS	
Introduction	1
National-level data collection	1
Local and state-level data collection	3
Purpose of the manual	5
Scope and limitations of the manual	6
Research methodology	6
Report structure	10
ACQUISITIONS	
Part I: UNDERSTANDING AND IMPROVING COURT CASE MANAGEMENT INFORMATION SYSTEMS: A GENERAL FRAMEWORK	13
Chapter I.	
Information systems management: concepts, definitions, and requirements	15
What is a court management information system?	16
Structure of a court MIS based on the level of management activity performed	17
Structure of a court MIS based on organizational functions	22
Constructing a court management information system	28
Summary	34
Chapter II.	
Case-related information subsystem: primary functions, components, and applications	35
Functions of the case-related subsystem	35
Components of the case-related subsystem	35
Information flow through the case-related subsystem	37
Major applications of the case-related subsystem	38
Case management and strategic planning applications	40
Operational control applications	44
Chapter III.	
Strategic planning and management control uses of case-related data to support decision making	49
Court management tasks supported by case-related data	50
Management uses of case-related data	52
Chapter IV.	
Model data elements	69
Prior development of model case-related data elements	69
Analytical levels of the model data elements sets	71
Recommended model data sets	72
Level 1. Caseload management	77
Level 2. Caseflow management	81
Level 3. Workload measures	83
Summary	83
Chapter V.	
Factors to consider in planning methods and procedures for collecting case-related data	87
Different methods of data collection	88

Table of contents (continued)

	<u>Page</u>
Chapter V. (continued)	
Data collection methods and procedures for producing output reports	88
Types of case-by-case reporting forms	90
Automation of data collection	92
Obstacles to change	95
Part II. MODEL DATA COLLECTION FORMS AND MODEL MANAGEMENT REPORTS	101
Chapter VI.	
Guidelines for the chapters that follow, and their relationship to the discussion in Part I	103
Application of discussion in Part I to Part II	103
Guidelines to Part II	107
Chapter VII.	
Model trial court data collection (input) forms and management (output) reports	111
Section 1. Procedures for collecting trial court case-related data	111
Section 2. Procedures for analyzing trial court caseload data	133
Section 3. Procedures for analyzing trial court caseflow data	165
Chapter VIII.	
Model appellate court data collection (input) forms and management (output) reports	189
Section 1. Procedures for collecting appellate court case-related data	189
Section 2. Procedures for analyzing appellate court caseload data	203
Section 3. Procedures for analyzing appellate court caseflow data	225
Chapter IX.	
The relationship of state administrative office information requirements to information requirements of trial and appellate courts, with model and specialized management reports	237
Section 1. Procedures for collecting AOC case-related data statewide	237
Section 2. Procedures for analyzing AOC caseload data	239
Section 3. Procedures for analyzing AOC caseflow data	245
Chapter X.	
Relationship of case management information to workload measures	249

Table of contents (continued)

	<u>Page</u>
Part III. SUPPLEMENTARY MATERIAL RELATING TO PARTS I AND II	255
Appendix A. Computerized information system survey instrument and data analysis	257
Appendix B. Events in case processing--trial courts	269
Appendix C. ABA standards relating to trial and appellate courts	273
Appendix D. Examples of output reports to illustrate Chapters VII, VIII, and IX	281
Bibliography	319

List of figures

	<u>Page</u>
Figure 1: Structure of a state court management information system based on information flow and use between management levels	19
Figure 1A: Structure of a large trial court management information system based on Figure 1	21
Figure 2: Information requirements and decision characteristics by level of management	22
Figure 3: Structure of a court management information system based on organizational functions and management activities performed	26
Figure 4: Conceptual framework of a court management information system	30
Figure 5: Components and information flow of the case-related subsystem	36
Figure 6: Three basic analytical levels and their applicability to the case management and strategic planning activities	42
Figure 7: Local- and state-level management uses of court information in relation to the basic levels of management	53
Figure 8: Specific management reports for resource allocation	56
Figure 9: Analysis of the effect of a jurisdictional change	58
Figure 10: Specific management reports for caseload management	61
Figure 11: Specific management reports for performance measurement	64
Figure 12: Specific management reports for national trend analysis	68
Figure 13: Court information system: Case-related data base	73
Figure 14: Model data elements for case types and manner of disposition	77
Figure 15: Model data elements for events in case processing	82
Figure 16: A summary of specific management reports and the kinds of data required	84
Figure 17: Level of automation required by the collection of different levels of case-related data	93
Figure 18: Checklist for avoiding court data processing problems	100
Figure 19: Purpose of data analysis	104
Figure 20: Data analysis techniques	105
Figure 21: Method of data presentation	106
Figure 22: Relationship of data sets collected to output reports that can be produced--trial courts	112
Figure 23: On-line information system flow	132
Figure 24: Relationship of data sets collected to output reports that can be produced--appellate courts	191
Figure 25: On-line information system flow	202
Figure 26: Relationship of information systems in local trial courts and appellate courts to the state court administrative office information system	238

List of models

	<u>Page</u>
Trial Court Model Input Form 1: Daily case filing and disposition tally sheet	117
Trial Court Model Input Form 2: Filing and disposition cards	119
Trial Court Model Input Form 3A: Case filing log sheet	123
Trial Court Model Input Form 3B: Case disposition log sheet	125
Trial Court Model Input Form 4: Multi-part report of case filing and disposition	127
Trial Court Model Input Form 5: Multi-part report of case events	129
Trial Court Model Input Form 6: On-line data entry screens	131
Trial Court Model Output Report 7: Trial court caseload inventory	137
Trial Court Model Output Report 8A and 8B: Trial court caseload inventory: Percent of total caseload filed for each type of case	139 141
Trial Court Model Output Report 9: Trial court caseload inventory: Change in pending, number and percent	143
Trial Court Model Output Report 10: Trial court caseload inventory: Disposed cases as percent of filings	145
Trial Court Model Output Report 11: Trial court manner of disposition	147
Trial Court Model Output Report 12: Trial court manner of disposition: Percent of cases disposed by trial	149
Trial Court Model Output Report 13: Trial court caseload per judge	151
Trial Court Model Output Report 14: Comparative analysis: Number and percent change in filings Number and percent change in dispositions	153
Trial Court Model Output Report 15: Trend analysis: Comparison of number of filings to date in successive reporting periods and percent change in filings	155
Trial Court Model Output Report 16: Trend analysis: Cases filed over a six-year period	157
Trial Court Model Output Report 17: Trend analysis: Number and percent change for each manner of disposition	159
Trial Court Model Output Report 18: Trend analysis: Comparison of dispositions by trial over several reporting periods	161
Trial Court Model Output Report 19: Trial court caseload inventory projections based on trend analysis	163

List of models (continued)

	<u>Page</u>
Trial Court Model Output Report 20:	
Age of pending cases	167
Trial Court Model Output Report 21:	
Age of cases at disposition	169
Trial Court Model Output Report 22:	
Age of disposed cases by manner of disposition	171
Trial Court Model Output Report 23:	
Status of pending cases	173
Trial Court Model Output Report 24:	
Inactive case inventory	175
Trial Court Model Output Report 25:	
Criminal case exception report: Cases pending over 90 days	181
Trial Court Model Output Report 26:	
Status of pending cases according to particular events in case processing	183
Trial Court Model Output Report 27:	
Trial court exception report: Cases pending longer than your jurisdiction's minimum time standard	187
Appellate Court Model Input Form 28:	
Filing and disposition cards	193
Appellate Court Model Input Form 29A:	
Case filing log sheet	195
Appellate Court Model Input Form 29B:	
Case disposition log sheet	197
Appellate Court Model Input Form 30:	
Multi-part report of case events	199
Appellate Court Model Input Form 31:	
On-line data entry screens	201
Appellate Court Model Output Report 32:	
Appellate court caseload inventory	205
Appellate Court Model Output Report 33:	
Appellate court caseload manner of disposition	207
Appellate Court Model Output Report 34A and 34B:	
Appellate court caseload inventory: Percent of total caseload filed for each type of case	209 211
Appellate Court Model Output Report 35:	
Appellate court caseload inventory: Change in pending, number and percent	213
Appellate Court Model Output Report 36:	
Appellate court caseload inventory: Disposed cases as percent of filings	215
Appellate Court Model Output Report 37:	
Comparative analysis: Number and percent change in filings	217
Appellate Court Model Output Report 38:	
Trend analysis: Cases filed over a four-year period	219
Appellate Court Model Output Report 39:	
Trend analysis: Number and percent change for each manner of disposition	221
Appellate Court Model Output Report 40:	
Appellate court caseload inventory projections based on trend analysis	223

List of models (continued)

	<u>Page</u>
Appellate Court Model Output Report 41:	
Appellate caseflow: Number of pending cases by status and age	227
Appellate Court Model Output Report 42:	
Time interval data for disposed cases	229
Appellate Court Model Output Report 43:	
Age of cases at disposition	231
Appellate Court Model Output Report 44:	
Status of pending cases according to particular events in case processing	233
Appellate Court Model Output Report 45:	
Appellate court exception report: Appeals pending longer than your jurisdiction's minimum time standards	235
AOC Model Output Report 46:	
Trial court caseload inventory: Percent of total caseload for each type of case	241
AOC Model Output Report 47A:	
Age of pending cases	247
AOC Model Output Report 47B:	
Age of civil cases at disposition	248

Introduction

National-level data collection

The State Judicial Information Systems project (SJIS) was initiated in 1974 to assist trial and appellate courts and state court administrative offices in designing and developing effective court information systems to support caseload management and to provide accurate statistical information for planning and decision making. The National Court Statistics project (NCSP) was initiated in 1977 to compile, analyze, and disseminate state court caseload statistics and to help the state courts improve the quality of the data they report by assisting them in resolving their statistical problems. Both projects are cooperative efforts between the National Center for State Courts (NCSC), which provides the staff and resources, and the Conference of State Court Administrators (COSCA), from which a committee of experienced court personnel provides policy guidance for the projects, with funding provided for both projects by the Bureau of Justice Statistics in the U.S. Department of Justice.

The NCSP's first publication was State Court Caseload Statistics: The State of the Art, which documented the level of collection and publication or availability of state-level caseload statistics and the general uses of these statistics.¹ This survey also indicated the difficulties that would be encountered in the State Court Caseload Statistics: Annual Report series of state court statistics because of the wide variations and uncertain accuracy and reliability of the aggregated caseload data and the varying uses and comparability of case types and disposition categories from state to state.

The SJIS project published a similar State of the Art report, which documented the level of statewide development of court case management information systems.² It indicated the extent of computer usage within the state court systems and the number and types of court functions for which programming modules had been developed, with particular emphasis on case-related systems.

¹National Court Statistics Project, State Court Caseload Statistics: State of the Art (Washington, D.C.: U.S. Government Printing Office, 1978).

²State Judicial Information Systems Project, State of the Art, 1978, updated in 1980, 1981 (Williamsburg, Va.: National Center for State Courts, 1979, 1980, 1981).

During the past five years, both projects produced additional publications which further documented the similarities and differences existing in the state courts that affect their ability to collect and disseminate comparable case statistics and to develop systems that can produce and analyze these data. Two noteworthy documents are the State Court Organization, 1980 report (produced by NCSP)³ and the State Court Information Systems and Statistical Reference Series (produced by SJIS).⁴ In these two publications are found in-depth profiles of the individual state court jurisdictions, caseload, and information processing environment, as these affect the collection and use of court caseload statistics for management and research purposes.

The need for a nationwide guide or model dictionary in which basic case-related terms were defined became even more apparent as the NCSP project staff attempted to compile its first annual report of state court caseload statistics. As a result, the COSCA Committee and the Bureau of Justice Statistics (BJS) agreed that it was necessary to promote the collection of comparable data. They agreed to study the many terms and definitions being used by the states and to choose from them the most useful data elements and definitions for identifying broad categories and subcategories of case types and manners of disposition. As a starting point, the many data elements identified by the SJIS project as information that should be collected by a court information system were surveyed, along with the terms being used by each state in its annual report. The resulting model for reporting caseload statistics at the state level was published in 1980 in the State Court Model Statistical Dictionary.⁵

This publication, supplemented by the Dictionary of Criminal Justice Data Terminology, produced by SEARCH Group, Inc. and released at the same time, gave the state courts their first reliable guidelines for the definition, collection, and reporting of comparable caseload data in their annual reports.

³National Court Statistics Project, State Court Organization, 1980 (Washington, D.C.: U.S. Government Printing Office, 1982).

⁴State Judicial Information Systems Project, State Court Information Systems and Statistical Reference Series, Volumes 1, 2, and 3 (Williamsburg, Va.: National Center for State Courts, 1981, 1982).

⁵National Court Statistics Project, State Court Model Statistical Dictionary (Washington, D.C.: U.S. Government Printing Office, 1980).

⁶SEARCH Group, Inc., Dictionary of Criminal Justice Data Terminology, Second Edition (Washington, D.C.: U.S. Government Printing Office, 1981).

With the publication of the State Court Model Annual Report⁷ in that same year, the NCSP hoped to give the state courts further assistance in reporting reliable data and in increasing the internal usefulness and effectiveness of their own published annual reports. The ramifications of following these guidelines was the subject of a case study prepared during the next year, published as Implementing the State Court Model Annual Report.⁸ The field test of the Model Annual Report demonstrated the need for a complete examination of the relationship between the model data elements, the caseload information collected, the individuals using it, the different management uses to which it was put, and the data collection forms and procedures necessary to collect case-related data. This Court Case Management Information Systems Manual with Model Data Elements, Collection Forms, and Management Reports is the result of that examination.

Local and state-level data collection

The collection and reporting of court case-related information is one of the traditional functions of state-level administrative offices of the courts (AOC). All state court administrative offices require trial and appellate courts to collect and report some case-related information on their operations, and nearly all state administrative offices produce an annual statistical report. The type of information collected and the level of analysis performed, however, depend in large measure on the research or management uses for which the information is needed--often determined by the extent of management control exerted by the AOC over the local courts. Therefore, if caseload data are to be useful to state-level court managers, they must be collected with a specific court management function in mind. Likewise, the needs of all local courts are not the same, but their management functions should determine what data they collect. Large courts that are heavily involved in monitoring case delay need more detailed caseload data than do small courts with less caseload volume and limited managerial resources. Thus, before any decision is made as to what statewide information to collect or what uses to make of information already being collected, the administrative offices and local court managers should have their common management functions in mind and should jointly determine what their true information and management needs are in order to eliminate wasteful and redundant data collecting.

⁷National Court Statistics Project, State Court Model Annual Report (Williamsburg, Va.: National Center for State Courts, 1980)

⁸Victor E. Flango and Mary E. Elsner, Implementing the State Court Model Annual Report (Williamsburg, Va.: National Center for State Courts, 1982).

A vast gulf separates a minimum tally of the number of cases processed, which is all that many courts publish, from the intimidating array of data elements suggested by some of the information system and casflow management studies that have been written. In the recent past, the predominant technique used within the state court systems for building court information systems has been to collect, on a piecemeal basis, all the information required for solving immediate problems from the vast amount of case-related data currently available or thought to have a potential use to the court. This evolutionary approach to information systems has been repeated each time a new problem has emerged and a "new" system has been required to solve it. This so-called "bottom up" approach has resulted in the inclusion of almost every piece of information that might be available, on the assumption that court officials can decide later what to do with the data.

This approach to information management has created many problems for both state and local administrators. It has often led to the collection of redundant data or of data not suited for either operational or management purposes. Those collecting the data have reacted negatively to the additional burden they must assume for providing data for which they see no need. As a result, the accuracy, timeliness, and completeness of the data begin to fall off, and the management and information value of the data has suffered. This situation is unnecessary and can be avoided if proper planning and systems development techniques are utilized.

Those using the data have not necessarily done any better in analyzing it. The selective and meaningful use of large quantities of data requires a clear understanding of the content of the information and the management reports needed for planning and research as well as the purposes they can and should serve. One of the constantly recurring themes of the research literature on case management is the lament that no data suitable for the particular study were available, even in the courts with the most sophisticated information systems. This dearth of useful management data forced the researchers to go directly to case records and extract the information they sought from a limited sample of cases. This situation can be averted with proper planning and awareness of the information needs of all court users.

The material contained in this report is presented in an effort to share what the NCSP and SJIS project staffs have learned about the uses, functions, and types of effective case management reports and data. It also presents an opportunity for the reader to learn more about techniques for developing systems that can provide accurate, reliable, and comparable court case management information without the redundant, costly, and time-consuming activities associated with the evolutionary or "bottom up" approach to systems development.

Purpose of the manual

The greatest challenge facing the state courts in the information systems and statistics area is the resolution of existing problems in data collection methodology, data redundancy and accuracy, data classification, and information misuse or lack of use. The resulting lack of common terminology, methods of counting and reporting, definitions, and usage should be tackled in a systematic manner. Before doing this, however, each state administrative office should seek the cooperation of the appropriate local trial and appellate court officials before taking any major action. The model data elements, collection forms, and management reports contained in this report are offered as aids to the state administrative office and local trial and appellate court officials engaged in these management activities.

This Court Case Management Information Systems Manual marks a point of convergence of the work accomplished by the National Court Statistics and State Judicial Information Systems projects during the past five years and recognizes the need to integrate more completely the activities and objectives of these two BJS-funded efforts.

The intent of this report is to provide a usable framework for deciding what case-related information is essential for efficient local court management, at the same time satisfying the information needs of state-level managers and researchers. It takes the position that case file data are raw data, some of which are needed for local court operations and some for regional or state-level management purposes. The need to expand the data base or change the data elements collected should depend on the functions to be performed and the decisions to be made. Collecting data that are not usable or the uses of which have not been identified is not cost-effective. Nor is it cost-efficient for each local court to have several separate procedures for collecting and compiling the same or partially the same data for different users. That kind of evolutionary or "bottom up" approach to data collection is redundant, inconsistent, prone to error, absorbing valuable court resources and clogging the court system with fruitless activity it can ill afford.

The approach to systems building described in this report assumes that it is more cost-effective to determine both statewide and local court statistical and management information requirements before designing or developing a major information system. This so-called "top down" approach to systems management requires state and local participation in every major data design, development, and collection effort. Once local- and state-level court statistical and management information requirements are determined, the actual development and implementation of the resulting coordinated

information system can proceed on a local, "as-needed," building-block basis very similar to that used in the "bottom up" approach.

To aid in the implementation of this approach, both statewide and local court management information requirements are discussed, and then sets of basic case-related data elements that can provide the required management information are presented (in Chapter IV). These model data elements are the minimum determined by the NCSP and SJIS projects and the COSCA Court Statistics and Information Systems Committee (CSIS) as necessary to provide comparable state court caseload statistics and management information, as well as for use in local- and state-level operational control and statewide planning activities. To fulfill the primary function of this report, model data collection forms for use with different levels of automation are described and illustrated, along with a set of model management reports for each level of court (in Chapters VII, VIII, and IX).

Scope and limitations of the manual

This manual is limited to a study of the case management functions and the information requirements of trial and appellate courts and of state court administrative offices. Particular attention is given to case-related statistical reporting techniques. The report presents a general framework for the case management system development process and the problems associated with that process. It then illustrates and describes several sets of collection forms and management reports for each court level and for the AOC, using uniform sets of data elements.

The manual does not look at or profess to include within its scope personnel, financial, or other resource management functions and their information requirements. It does not purport to be a definitive treatise on the subject of case management. Rather, this study reflects the state of the art of statistical and case management reporting systems and is an attempt to relate past national and local court case management efforts to the building-block approach traditionally used in developing information systems.

Research methodology

The general court case management systems framework, model statistical data elements, court case-related information requirements concept, model case-related data collection forms, and model case management reports presented in this manual are based on the extensive research and experience of the National Center staff and the COSCA CSIS Committee members. Although specific source materials are noted when appropriate, the following served as the principal foundations for the study:

1. Work done in earlier phases of the SJIS and NCSP projects by the National Center with the cooperation and guidance of the COSCA CSIS Committee.
2. A search of literature and project reports on state court case management, court statistics, and judicial information systems. (See the Bibliography covering the years 1975-1982 at the end of this report.)
3. A court information survey of case-related data collection forms and management reports used by the 52 administrative offices of the state courts.
4. A survey sent to approximately 2,000 state trial and appellate court managers requesting updated information on their operational case-related information and statistics modules. (See Appendix A.)
5. A series of site visits, chosen from a thorough analysis of the returns from the two survey efforts described in 3 and 4 above, and analyses of the documentation of specific operational modules found in selected administrative offices, trial courts, and appellate courts.

In the paragraphs below, the foundations upon which the report is principally based are briefly discussed.

Earlier National Center SJIS and NCSP work. Through the work of the State Judicial Information Systems and National Court Statistics projects, the National Center has published many meaningful and interrelated volumes on the subject of case statistics and court information systems. Those most directly related to the current effort are: State Judicial Information Systems: The State of the Art, published in 1978, updated in 1980, and sections revised yet again in 1981 (17 state profiles and all summary tables); State Court Model Annual Report; State Court Model Statistical Dictionary; and Implementing the State Court Model Annual Report. The combined result of the above research has been to focus the attention of the National Center and the Conference of State Court Administrators on the specific problems of data collection, analysis, use, and reporting at both the local and the state levels. Local-level data collection is recognized as the starting point, since it is there that individual cases originate and are processed and case-related information is collected and reported for both local and state use.

Literature search. This publication is also based on an extensive search of available literature and published project reports. The literature search included an examination of the findings of major national-scope, federally funded projects such as the Pretrial Delay Reduction, State Court Financing, National

Symposium on Reducing Court Delay, and State Court Planning projects. Also included in this group of materials were comparative studies, published state and trial court annual reports, and published state and trial court project reports on case management. The project staff reviewed many published works in the related fields of court delay, caseflow management, and criminal justice information systems, as well as surveys that outlined standards for court statistics, to obtain a more complete perspective on the problems associated with collecting, reporting, and using court case statistics.

A substantial body of literature on case management exists. The striking impression left from a review of this research material is the repetitiveness of the recommendations and conclusions that court control of caseflow should be imposed through the increased analysis and use of timely and accurate case processing statistics. For example:

The key to successful caseflow management is effective control by the court of the processes and resources necessary to move a case from filing to disposition The Court . . . should . . . establish prescribed time periods for various stages of the criminal caseflow process⁹

Among the factors which contribute to delay are: . . . disregard of reasonable . . . filing requirements . . . and the absence of sanctions . . . , liberal policy of granting motions for extension of time; lack of case management policy; need for modern documenting and calendaring tools . . . , absence . . . of any statistical data to document the areas in which delays occur.¹⁰

The objectives of total case management are to reduce overall case-processing time, subject the litigation process to court supervision from commencement to termination, and increase the court's disposition rate. Case management commences with the determination that the court shall control caseflow. Once this determination has been made, the court next specifies the number of months within which lawsuits should be concluded. The court further specifies the maximum possible period for completion of each major step in a lawsuit.

⁹American Judicature Society, Criminal Caseflow Management, Chester County, Pennsylvania, 1976, pp. 1 and 11.

¹⁰State of Connecticut Judicial Department, Case Management of the Dockets of the Supreme Court and Appellate Session of Superior Court Project, 1978, pp. 28-29.

Operating a case management system frequently involves new or revised procedures for scheduling court appearances such as pretrial conference, motions and trials; granting continuances; setting the volume of trials at a realistic level; identifying individual cases which fail to comply with court prescribed time standards.¹¹

This manual attempts to pull together the previous work of the SJIS and NCSP projects and integrate with it the primary recommendations of recent court studies that more direct court control of case processing is needed to ensure fair and judicious handling of cases. From this body of work a framework is derived for defining court statistical and management information requirements and for suggesting model data collection and management reports that can be used by state administrative offices, appellate, courts, and trial courts to improve case processing.

State court administrative office survey. The framework outlined in this publication is also based upon an extensive survey of the various statistical reports and data collection forms currently being used by 52 state court administrative offices (the District of Columbia and Puerto Rico are included). The COSCA Court Statistics and Information Systems Committee supported the National Center staff's request for copies of all current data collection forms, management reports, and instruction/procedures manuals for completing and using the forms. Project staff analyzed and classified this material, identifying from it states with useful or original materials for later follow-up. These states were contacted by telephone and more complete documentation or materials were requested.

State court trial and appellate court survey. A two-page survey instrument was developed as a device to document information system modules being used by the trial and appellate courts. This survey was an expanded version of the instrument used in Phase VI of the SJIS project to collect information for inclusion in the Computerized Court Function Index data base. The data received from the revised survey were used to update that data base. The expanded survey requested participating courts to send copies to the National Center of all data collection forms and management reports used in managing their caseload/caseflow/workload. The target audience included all members of COSCA, all appellate court clerks, presiding and administrative judges at all jurisdiction levels, general jurisdiction clerks and trial court administrators in jurisdictions with populations exceeding 100,000. This audience of over 2,000

¹¹Larry L. Sipes et al, Managing to Reduce Delay (Williamsburg, Va.: National Center for State Courts, 1980), p. 6.

included all members of the National Association of Trial Court Administrators, the National Association for Court Administration, and the National Association of Appellate Court Clerks.

After reviewing the responses and the materials received from the various courts, project staff identified selected courts for later follow-up and verification. These were contacted by telephone and were requested to send more complete information.

Site visits of selected AOCs, trial courts, and appellate courts. Project staff thoroughly reviewed the materials received from the two survey efforts. After extensive telephone contacts and the receipt of additional information, several AOCs, trial courts, and appellate courts were selected for possible site visits. The bases for site selection were: size of court, size of caseload, type of court, type of caseload, level of jurisdiction, existence and level of automation, and number and nature of operational case management modules.

Report structure

This publication is divided into three parts. The first consists of five chapters that construct a general framework for understanding, building, and improving a court case management information system. Those readers who have a strong background in information systems may want to study the model data elements in Chapter IV and then move directly to Part II.

The second part also consists of five chapters which present and illustrate several sets of model data elements, collection forms, and management reports for use by the court manager who would like to implement the general framework discussed in Part I.

Part III includes supplementary material related to Parts I and II—several appendices to provide amplification and supporting material that can be useful when implementing the general framework.

Within Part I, Chapter I of the report contains a discussion of the general management concept of systems or information management, while Chapter II applies that concept to the court environment and reviews the basic or primary case management functions performed by local trial and appellate courts.

Chapter III contains a thorough discussion of the possible management uses of case-related statistics within state administrative offices and in the local trial and appellate courts.

Chapter IV extrapolates from those varied management uses a defined set of information requirements that can support all the necessary case-related reports for each court level and for state administrative offices.

Chapter V presents a general discussion of how a court goes about implementing an effective caseload management information system, and the constraints put on the court manager. It cautions the court manager against moving too fast and suggests several ways of overcoming the unavoidable obstacles which will be met whenever change occurs within an organization, large or small. In dealing with these obstacles, Chapter V suggests that the court manager will be most successful if systems analysis techniques are used to determine specific and unique court information requirements.

Within Part II, Chapter VI includes guidelines on using the models contained in Part II and explains how to incorporate them into the framework presented in Part I.

Chapters VII and VIII present the actual data collection forms and management reports for trial court (Chapter VII) and appellate court (Chapter VIII) case management. Chapter IX discusses the relationship of the information needs of state court administrative offices to the administrative needs of the trial and appellate courts, and provides further elaboration on the information needs of state administrative offices by suggesting models and offering examples of special statistical and planning reports for use in state-level management. Finally, Chapter X provides a general perspective on the relationship of workload analysis and measurement to case management and long-term planning.

Part I

UNDERSTANDING AND IMPROVING COURT CASE MANAGEMENT INFORMATION SYSTEMS: A GENERAL FRAMEWORK

Chapter I

Information systems management: concepts, definitions, and requirements

One of the phenomena of our industrialized society has been the "information explosion" brought about by the need to know what is going on in order to survive and prosper. At times, the enormous amount of information being generated has threatened to swamp organizations large and small, public and private. The development of information processing systems to handle growing information resources has often been haphazard and unstructured, with little concern for overall organizational information needs. New information systems have often been designed to collect, process, and report only that specialized information needed for a specific application; as a result, duplicate or redundant data have been collected and stored because of insufficient interaction between organizational users and the applications.

The growth of the computer industry has resulted in part from society's efforts to keep from drowning in a great mass of paperwork and to bring organization and structure to information processing. The state courts face the same paperwork dilemma because their caseloads have been increasing dramatically,¹ their personnel and financial resources are strictly limited, and their procedures and techniques are often antiquated and inefficient. Although the state courts were much slower than most other public agencies in turning to computers, many court officials now recognize the computer's utility for solving many court information processing problems. They have found that many court case management operations such as preparing calendars and notices, monitoring case progress through the adjudication process, and preparing management statistics are amenable to automation.

The growing availability of lower-priced, more capable, and easier-to-operate computer systems, coupled with increasing court information processing problems, leads to the expectation that state courts will continue to develop court information systems that use the latest in computer technology. Inasmuch as a court's effectiveness depends upon a flow of information which is accurate, relevant, and timely, the potential for computer-based information systems to provide such information efficiently and economically is of increasing importance. In developing new computer-based information systems, court managers must learn from the experiences of others and avoid pitfalls already encountered by them. It is

¹See Flango and Elsner, "The Latest Court Caseload Data: An Advance Report," State Court Journal, Winter 1983, pp. 16-22.

important, therefore, that every court manager have a basic understanding of the concept of information systems management.

What is a court management information system?

A widely accepted definition is that a management information systems is an

integrated, man/machine system for providing information to support the operations, management, and decision-making functions in an organization. The system utilizes computer hardware and software, manual procedures, management and decision models, and a data base.²

This classic definition refers not to data or data processing, but rather to a "system for providing information to support decision-making." Here data are assumed to be the raw material for information and consist of symbols that represent some quantity or action; data processing occurs when data are recorded, stored, sorted, manipulated, summarized, retrieved, and reproduced into information. Data, then, become information only after they have been processed "into a form that is meaningful to the [user] and is of real or perceived value [current or [future] decisions."³ Since the value of information is related to decision making, an information processing system is a system through which data are processed not only for the purpose of performing a standard clerical function but also for the purpose of being converted into information that has some value associated with decision making.

A management information system (MIS) then becomes a computer-based information processing system that uses the power, speed, and accuracy of the computer to provide information for management and to support decision making. It is more than a data processing system using the computer to replace or support clerical operations. It is a system that integrates daily transaction or clerical processing activities with operational, tactical, and policy decision-making activities.

"Remember that 'computer' and 'information system' are not synonymous."⁴ You can "conceptually discuss information systems without computers, but it is the power of the computer which makes

²Gordon Davis, Management Information Systems: Conceptual Foundations, Structure, and Development (New York: McGraw-Hill Book Company, 1974), p. 5.

³Ibid., p. 32.

⁴Larry P. Polansky, Computer Use In The Courts: Planning, Procurement, and Implementation Considerations (Washington, D.C.: The American University Criminal Courts Technical Assistance Project, 1978), p. 2.

an MIS possible. The question is not whether a computer should be used in management information systems, but the extent to which various processes should be computerized.⁵ The integrated man/machine concept found in the definition for an MIS "implies that some tasks are best performed by man, while others are best performed by machines"⁶ and still others require an interaction between man and the computer.

To assist the reader in understanding the significance of the management information systems approach to court management, the rest of this chapter will build a conceptual framework for viewing and understanding what is meant by a court MIS. This will be accomplished first by depicting a conceptual structure of an MIS based on the level of management activity involved, and second by illustrating the conceptual structure of the MIS in terms of the organizational functions involved. These two approaches will then be merged to form the actual conceptual framework for a court MIS that will allow the reader to use the material presented in this volume to plan, design, and build an operational MIS.

Structure of a court MIS based on the level of management activity performed

Court managers bear the responsibility for developing and implementing the court's policy, controlling its performance, and directing its operations. The information systems activity is no exception. The goal of every court manager should be to design a court MIS that integrates the people, machines, and financial resources available. Court managers at all levels (clerks, trial court administrators, presiding judges, and state court administrators) should participate in the development of a clear policy that includes the purpose and role of the court MIS, an explanation of its inter-organizational and intra-organizational relationships to all levels of the court management structure, and the process by which the court MIS is to meet the decision-making objectives of each management level while satisfying the day-to-day operational and information needs of the individual court. The establishment of such a coordinated court management policy will strengthen the development of an organizational statewide court MIS and ensure the accomplishment of the goals set by the managers at each level of the state court system.

In order to do this, each court manager must understand the relationships of his responsibilities to those of the personnel below him and the managers above him. Each court manager must understand the differences in the management functions (control, planning, and decision making) performed at each level in the court structure, in the information requirements to perform these

⁵Davis, op. cit., p. 5.

⁶Davis, op. cit., p. 5.

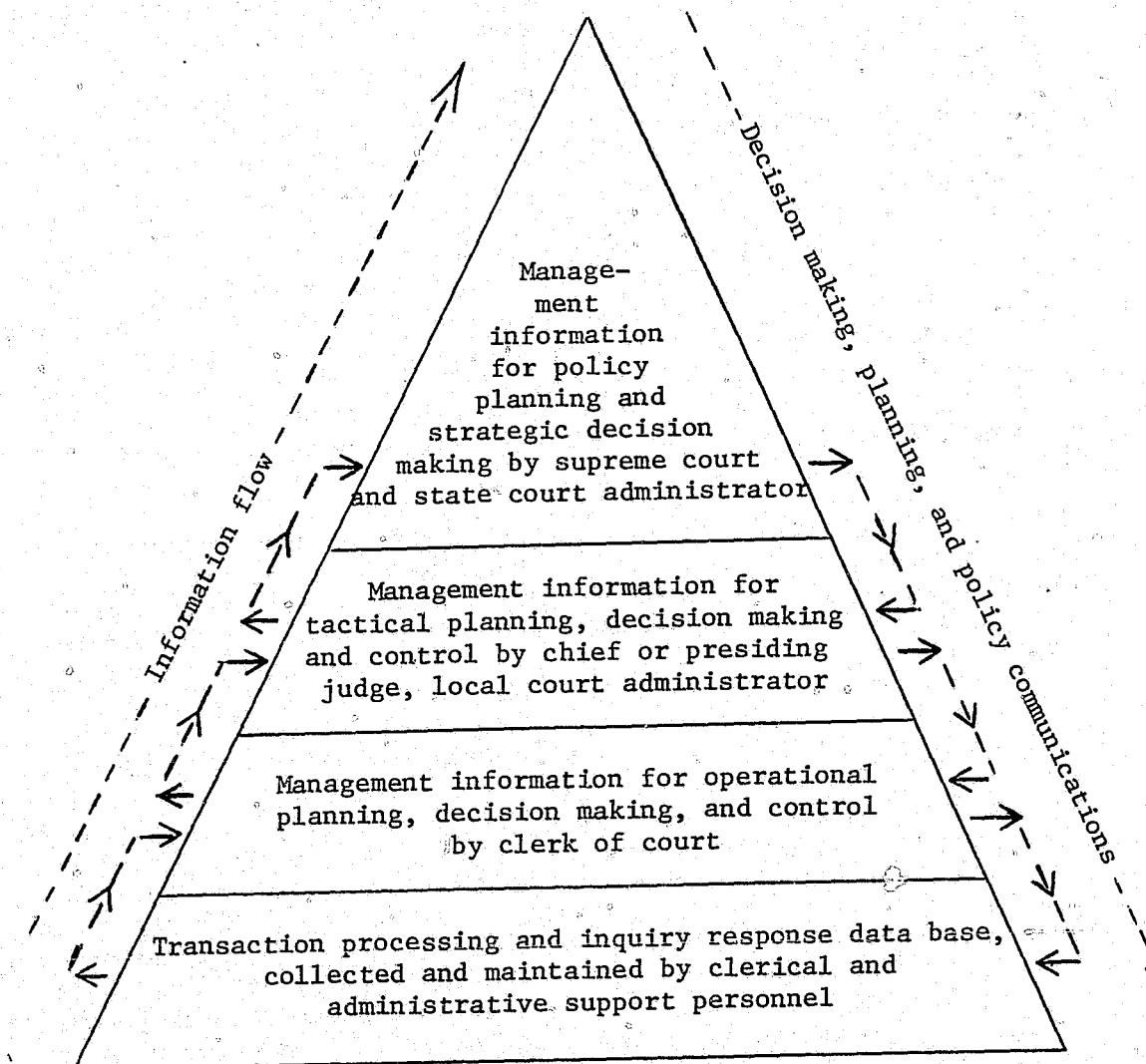
functions, in the characteristics of the information needed to make decisions, and in the types of decisions that are made. Understanding the importance of this way of viewing the management information structure of a state court system is easier if you conceptualize the state court system as a pyramid with its various levels of management, flow of information, and flow of decision-making as depicted in Figure 1.⁷

The bottom level of the pyramid--the transaction processing level--represents the operational activities that collect, process, and transmit case-related information on case actions that take place in each local court on a daily basis throughout a state court system. The activities in this layer are performed by the staff of the local clerk of court. Their day-to-day operational activities are extremely structured and well-defined. Any decision-making activity that does occur is highly structured and predictable and responsive to specific, often-repeated circumstances. The activities that take place here are the daily processing of case transactions, the preparation of calendars and other needed daily reports, and inquiry processing in response to daily individual questions about the status of specific cases filed in that court. The information needs of this level are well-defined, structured, narrow in scope, and require current, accurate, and detailed case-by-case data. Detailed, case-specific information flows from this level upward through the management structure, while the communication of decision rules and procedures flows down from upper levels of management, to be implemented and followed by the employees at this lower level.

The next level up--the operational planning and control level--represents the information requirements and characteristics of the decision-making activities that occur within the local court to ensure that daily operational activities are carried out efficiently and effectively. The activities at this level are performed by the clerk of court or by designated deputy clerks. The daily operations that they monitor and control often require immediate decision responses in well-defined, case-specific areas. The decisions usually follow pre-established rules and procedures, and a large proportion of their planning activities is structured or well-defined. The need for current, accurate, detailed, and case-specific information is high. The operational planning and control management level is responsible to see that the daily case processing, report processing, and inquiry response activities at the transaction processing level are scheduled and completed and that performance reports on these activities are prepared for higher-level management. The volume and flow of detailed case data from this level upward is less than the volume of data flowing upward from the transaction level; however, detailed case exception reports, performance reports, and schedules are being prepared for use by higher management and for control purposes. Predetermined

⁷See Davis, op. cit., Chapter 8, pp. 191-229 for further discussion of the structure of an MIS based on the level of management activity performed.

Figure 1: Structure of a state court management information system based on information flow and use between management levels



Adapted originally from Robert V. Head, "Management Information Systems: A Critical Approach," Datamation, May 1967, p. 23. Further adapted from Gordon Davis, Management Information Systems: Conceptual Foundations, Structure, and Development, p. 222, Figure 8-13.

decision rules are still prevalent at this level and procedures for performing case-related activities remain quite stable.

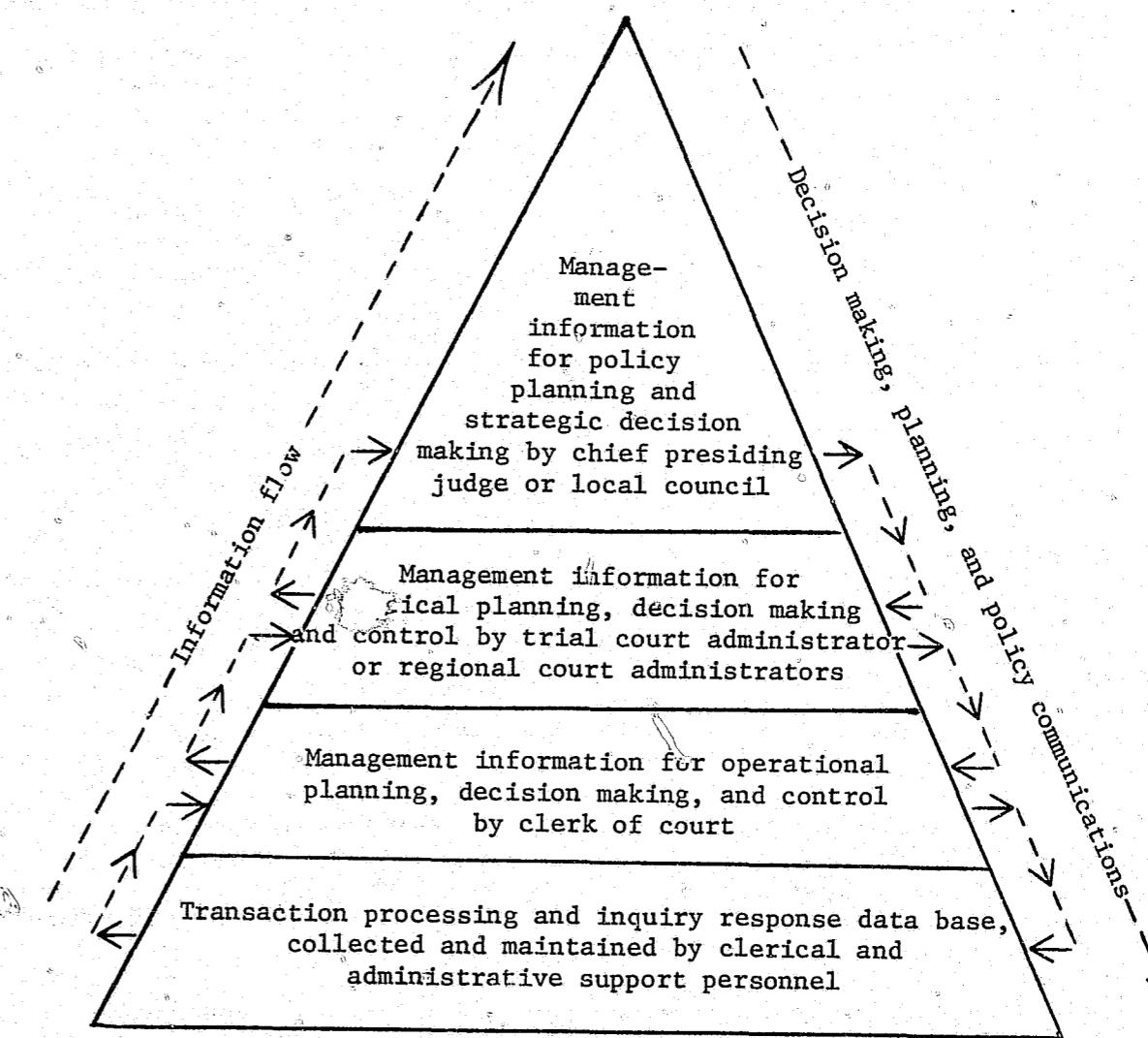
The third level--the tactical planning, decision-making, and control level--is often referred to as the middle management level. The decision-making activities that occur here are predominantly of a control and monitoring nature. The activities in this level are

performed by the local trial or appellate court presiding or chief judge and the local or regional court administrator. They require information that will enable actual performance to be measured against planned performance (case standards, workload exceptions, budgets, etc.). If there are wide variances, there may be an immediate need for further information to enable proper controlling actions to be taken. This level formulates budgets, allocates and determines the need for local personnel, fiscal support, and facility resources, and analyzes the ability of the local court to handle case processing burdens. This type of management control requires data that are in summary or exception and performance report form, rather than the detailed individual case information needed by the clerk of court for daily operational control. Management monitoring occurs less frequently at this level than under lower-level operational monitoring conditions. Since information is used less frequently, it begins to lose its need for immediate currency and detail, as well as its need for absolute precision. The management control function, however, still requires information that is more precise, current, and detailed than that needed for the policy planning and strategic decision-making function.

The top level of the pyramid represents the management activities that are performed by the state court leaders (the supreme court, judicial council, chief justice, and state court administrator) who formulate administrative policies that have an impact on the court system statewide. This type of strategic and non-repetitive decision making is usually based on less structured, more predictive information that has been compiled over time from several different sources, including case activity, financial activity, staffing levels, and facilities usage files. Strategic planning and control strategies develop over fairly long periods of time, the shortest of which is usually a year (a budget cycle). The information required to support this activity is usually general, has lost much of its need for immediate currency, and demands less precision since most of these decisions are judgmental in nature and tend to predict future organizational needs and directions. This highest level of court management tends to concentrate on statewide needs, such as additional judgeships, court facilities, and speedy trial programs, while the lower levels implement the intent of top management's actions and process case activities.

In summary, Figure 1 shows that the level of management activity affects the type of decision made (structured/decision rules vs. unstructured/judgmental decisions) and the characteristics and the type of information required (current, detailed, highly accurate data vs. older, aggregated, less precise data) to support those decisions. The pyramid structure of Figure 1 would apply equally well to a large trial court, as demonstrated in Figure 1A.

Figure 1A: Structure of a large trial court management information system based on Figure 1



Adapted from Figure 1.

Figure 2, below, attempts to demonstrate the marked contrast in information and decision characteristics that exists among the various levels of management depicted in Figure 1 and discussed above.

Figure 2: Information requirements and decision characteristics by level of management

Characteristics of information	Operational control: Clerk of court	Management control: Presiding justice or local administrator	Strategic planning: Supreme court and state court administrator
Source of data	Largely internal (clerk's office)		Largely external (indices)
Scope	Well-defined, narrow (case-related only)		Very wide (crossing several functions, i.e., case management, finance, personnel)
Level of aggregation	Detailed/case-by-case		Aggregate/summary data/exception reports
Time horizon	Current use		Future/predictive
Currency/age of data	Highly current (daily)		As current as possible (1 to 5 years)
Required degree of data precision	Very precise		Precise
Frequency of use	Constant		Infrequent
Form of decision	More structured		Less structured
Type of decision	Decision rules		Judgmental

Originally adapted from G.A. Gorry and M.S. Scott Morton, "Framework for Management Information Systems," *Sloan Management Review*, Fall 1971, p. 59. Further adapted from Gordon Davis, *Management Information Systems: Conceptual Foundations, Structure, and Development*, p. 207, Table 8-2.

Structure of a court MIS based on organizational functions

A second way to study the structure of a court MIS is to discuss it in the context of the more conventional, functional approach to management. In the functional approach an organization

is viewed as a system made up of a group of separate but related subsystems each performing a specific but necessary function for the organization. Each of these functional subsystems is assumed to perform all the transactions necessary to complete its own function. Each is assumed to include a transaction processing system and a management structure which provides operational control, evaluates and monitors performance, and performs strategic planning and policy-making functions.

The type of data that are collected and the levels of analysis performed on the data within each functional subsystem depend on the operational, management, and strategic planning needs of each level of management within the subsystem for which the data are gathered. Under this approach to court management, the specific needs of managers must first be determined. Therefore, each manager must be responsible for a defined and distinct function. If data are to be useful to court managers, they must be collected with a specific court function in mind. Thus, before any decision can be made as to which data to collect, there needs to be a thorough understanding of the different management functions performed in the court or court system, the interrelationships among the various components of the court system, and the information needs of each component and its management structure.

Court management functions. To utilize this approach in a court environment and to perform the first step in developing a functional court management information system, a court would need to conduct a functional requirements analysis. This analysis should determine all the functions that must be performed within each component (individual trial courts, appellate courts, or AOC) of the court system. The analysis is completed when the specific pieces of information that are required to support the performance of those functions are then identified.

Many reports and articles have been written that discuss the various functions of local and state court systems. In State Court Organization, 1980, compiled by the National Court Statistics Project, the COSCA CSIS Committee divided the activities of state-level court administrative offices into eight functions: management, information systems, court support services, finance and budget, personnel administration, education and training, public information and liaison, and planning and research.⁸ Not all state-level administrative offices perform all of these functions, nor do they all perform the same functions in the same way. In the area of budget and finance, for example, some administrative offices collect only financial information while in other states the administrative office may set trial court budgets. This wide variation in court management functions that are performed by state administrative offices makes each state somewhat different and

⁸See National Court Statistics Project, State Court Organization, 1980, (Williamsburg, Va.: National Center for State Courts, 1982).

serves to remind us that each state court system may require slightly different levels or types of management information.

In 1980 the American University Criminal Courts Technical Assistance Project prepared a series of volumes on trial court administration in which they classified the functional activities of trial courts as recordkeeping, financing, caseflow, planning, and physical facilities management. (They also produced a related volume on the use and need for computers and information systems in the trial court management structure.) A comparison of these two lists reveals many similarities in the basic management functions that are performed. Therefore, when assessing the level and type of court information to collect on a local or statewide basis, it must be remembered that trial and appellate court administrators perform many of the same functions for their particular courts that state-level administrative offices do on a statewide basis. Trial and appellate courts also perform the additional, strictly operational functions and activities related to the processing of individual cases that are not performed by state-level offices. Some of these activities are:

- o Adjudication: The hearing and deliberation of cases by judges, either in court or in chambers.
- o Case processing: Filing, docketing, and indexing of cases; continued updating of the case record; and assistance to litigants.
- o Calendar management: Scheduling of cases, case assignment, and notification of hearing/trial dates.
- o Service of process: Serving summonses, writs, warrants, and executing judgments.
- o Records management: Forms design and procurement; case and exhibit records maintenance; microfilming, storage, retrieval, and destruction of records; and evidence and exhibit storage.
- o Financial management: Fee/fine receipt and disbursement, bail receipt, child support processing, and general case-related accounting.
- o Courtroom support: Court attendants; security before, during, and after trials; court reporting; court clerks; language interpreters; law libraries; and prisoner transportation.
- o Investigation and supervision: Performance of investigations; supervision, collection of fines; intake, bail investigations; and witness/victim assistance.
- o Jury: Jury selection and management; juror orientation programs.

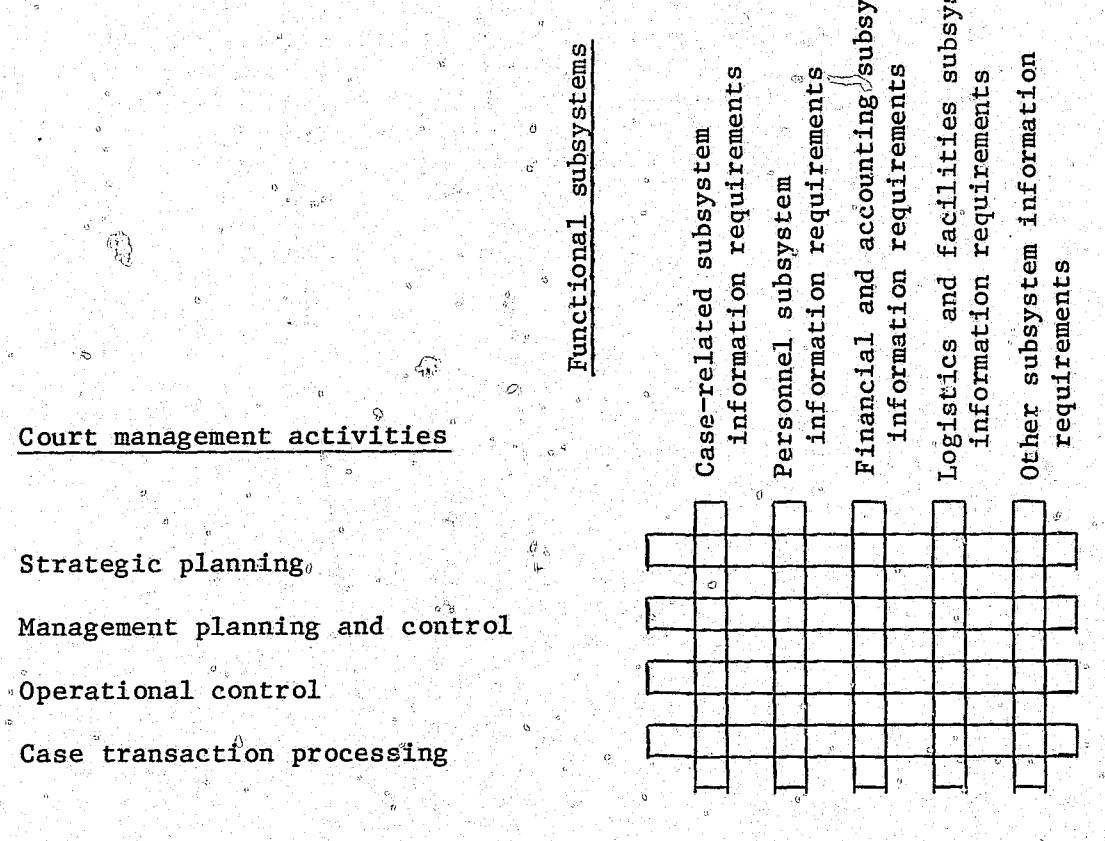
There are certain functions that must be performed if the courts are to work, regardless of the level of administration. What distinguishes one local or state court system from another is not so much the totality of the functions performed, but the distribution of responsibility for these functions among the different levels of management and the different levels of court administration.

Consequently, in assessing a local or state court system's MIS needs, the court system should be considered as a whole rather than as the strategic planning, management control, and operational functions of each court separately. This will minimize the redundant systems development experienced under an evolutionary approach, and will maximize the amount of information that can be transmitted between the trial, appellate, and administrative offices of the state court system. At the same time, the financial and human resource costs will be minimized.

Figure 3 is an illustration of the structure of a court MIS based on the functional approach to management. The court organization functional subsystems that are represented in the figure are those most commonly found in all state courts in one form or another and in one degree or another. The four functional subsystems (case-related management, personnel management, budget and accounting, and logistics and facilities management) are discussed briefly in the following paragraphs to illustrate that the functional approach to management can incorporate each level-of-management activity (strategic planning, management control, and operational control) discussed in the previous section and illustrated in Figures 1 and 1A. Figure 3 is significant in illustrating graphically the interrelationships that exist between the various functions performed by a court and the different levels of management activity that exist in a court, regardless of the court's jurisdiction.

Case management subsystem. The case-related subsystem is the heart of the administrative function of any court system. This subsystem generally includes all transaction processing and management control activities related to the initiation, handling, and disposition of cases that come before the court for adjudication. The transactions that are processed by manual or automated means are the actual filing of the case and any other day-to-day notice, summons, motion, hearing, continuance, or other action leading to the disposition of the case. The operational control activity includes the hiring and training of clerical personnel to process cases, the day-to-day scheduling of case processing activities, the daily preparation of reports on the status of individual cases, and the daily processing of individual case-related inquiries. The management control activity evaluates case processing performance by comparing actual performance to predefined standards. The strategic planning activity involves statistical analysis of case data to provide input to future caseflow management decisions and preparation of special variance reports for predicting future case processing conditions for higher management consideration.

Figure 3: Structure of a court management information system based on organizational functions and management activities performed



Adapted from Gordon Davis, *Management Information Systems: Conceptual Foundations, Structure, and Development*, Figure 8-10, p. 215.

Operational case management requirements are still set predominantly by local clerks of court. Tactical management control, exception reporting, and adherence to speedy trial standards are increasingly becoming part of state-level administrative responsibilities, although local trial court control is still mandatory. Most strategic planning activities and determination of state-level comparability of data are being instituted by state-level administrators, with the cooperation and assistance of trial court administrators.

Logistics and facilities management subsystem. The logistics and facilities management subsystem includes such activities as purchasing and receiving of clerical and administrative equipment and supplies, maintenance of inventories

and distribution of supplies and equipment, and maintenance of facilities. The transactions to be processed by court clerical and administrative personnel include requisition orders, receiving reports, purchase orders, and invoices. The operational control function uses transaction information to determine out-of-stock items in supply, aged or broken equipment for replacement, and overdue purchases not yet received from suppliers. The management control information generated by the transaction system will enable management to compare costs and delays involved in purchasing items from various suppliers and to assess the effects of varying inventory levels of vital supplies on clerical performance. Strategic planning occurs when an analysis is performed on various equipment alternatives to determine which are most cost-effective, and also when new procedures for supply and equipment purchase are analyzed to determine their ultimate effect on the ability of vendors to deliver goods and services. In most state courts, purchase of supplies remains a local matter, while major equipment (such as computer) purchases are becoming a state responsibility. The description above is valid, however, regardless of the extent of local- or state-level involvement at each management level.

Personnel management subsystem. The personnel management function covers the recruiting, testing, hiring, training, payment, and termination of all court personnel. The transactions that result from the hiring of clerical and administrative personnel include preparation of personnel files containing employment data, determination of training requirements and pay rates, preparation of paychecks, and eventually preparation of termination notices. The operational control function establishes procedures for determining pay rates, fringe benefits, etc. The management control function requires a series of analytical reports showing variances from planned standards or guidelines for actual hiring practices, wage increases, training costs, and recruiting costs. Strategic planning becomes involved when the management control function, for example, has shown that current and anticipated court EEO/affirmative action progress or objectives are unacceptable and transaction and operational information is used to generate alternative strategies for meeting established goals.

Trial court personnel management activities usually occur within the local court. They can occur all or in part on a statewide basis, however, depending on whether the state court system is a unified court system and whether there is a statewide court-related civil service system. Regardless, each level of personnel management activity still occurs, whether it is controlled by local authorities or by state-level authorities.

Budget and accounting subsystem. Budget and accounting encompasses the classifying of all court financial transactions (such as support payments, fines, and fees) and recording and summarizing them in standard accounting and financial records. It can also involve the yearly preparation of operational trial or appellate court budgets. The case-related budget and accounting

data become input to court records, where appropriate, and are used to monitor the performance of specific individuals in meeting court directives. Clerks and local administrators use budgetary reports, exception listings, cost analyses, and other management control reports to determine whether the necessary funds are available to enable the court to continue to operate. Strategic planning occurs when, for example, state or local court managers determine through analyses that speedy trial rules are not being met and more resources should be allocated to support criminal case processing.

Budget and accounting activities are universal to all levels of the state court system. What distinguishes one local court from another or one state court system from another is the extent of actual state-level responsibility for these functions and actual involvement in them. If a state court system is unified, local budget and accounting functions are more likely to be standardized and in some cases administered or controlled by state administrative offices.

Constructing a court management information system

A management information system . . . [then] is an information system that, in addition to providing all necessary transaction processing for an organization, provides information and processing support for management and decision functions.⁹

In order for an MIS to support decision making, transaction data must be well organized and accessible in a data base. Court information systems must build a data base, which is a collection of interrelated data organized in a way to reduce duplication of information to a minimum, to provide for rapid retrieval and reorganization of the data for various applications, and to generate various listings and output reports.

To support all the management functions of the state courts, a court information system must include most of the earlier discussed functional subsystems, and information from one or several of them must be integrated into a viable data base and be capable of being analyzed in order for management to prepare reports that ultimately support its decisions. Within the context of the state courts, in a manually operated system and in many automated systems data are used at the local level to produce local operational output reports, some of which are then sent on to the state-level administrative office to become the input for the state-level information system. The output reports at both the state and local levels should be analyzed and integrated by state-level administrators to get a better picture of how the total system is functioning. When problem areas are discovered, the necessary information to resolve the problem should be fed back through the

⁹Davis, op. cit., p. vii.

chain of command to be used by the appropriate managers in correcting the problem.

The conceptual structure of a statewide court MIS discussed in this text is based then on the merging of three major premises: one, that there are four primary levels of management activity; two, that a court management information system must include function-based information subsystems; and three, that a court MIS must have an integrated set of data or a data base.

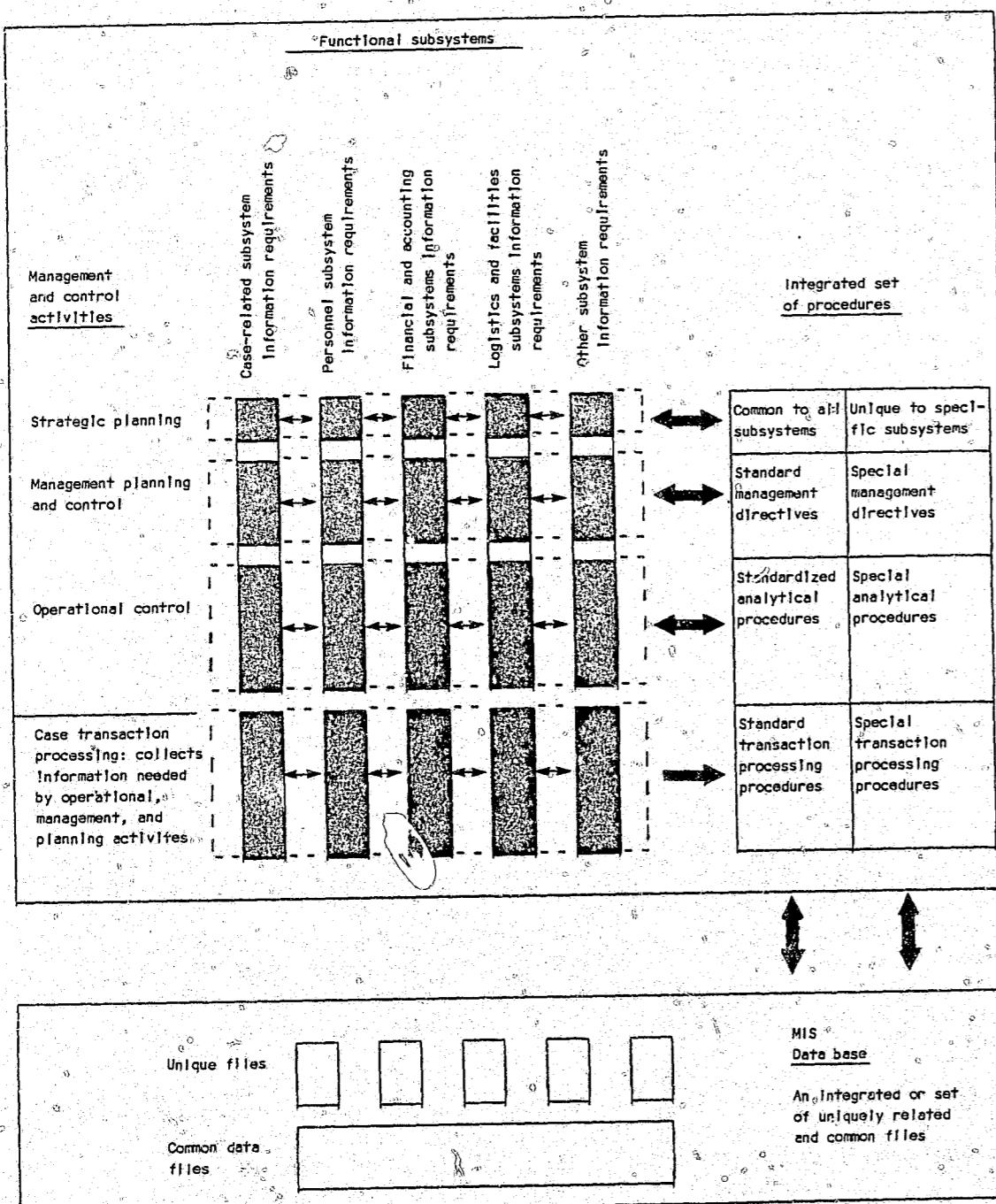
Conceptual structure of an integrated MIS. The conceptual structure in Figure 4 is a synthesis of the management activity and functional approaches to management and the definition of an MIS given earlier. The conceptual MIS is represented here as a federation of functional subsystems sharing a common database to support the four levels of management activity. Since it is, at least in part, computer-based, the conceptual MIS uses common programs where practical and operates best where a data management program or data base management system is utilized.

Figure 4, which represents the "Conceptual framework of a court organization MIS" that is proposed by this text, is a synthesis of Figures 1, 2, and 3. It recognizes that a court MIS should be designed to satisfy information needs at each of several levels of the state court system. It shows that the transaction processing activity provides the information base for all other court information and management support functions. It graphically illustrates that a larger number of detailed day-to-day reports are required for effective operational control than the less detailed exception and statistical summary reports required for the management control activity and that the information needs of the strategic planning function are much less detailed and are required less frequently than the information needs of either of the other two intermediate management activities.

The figure also displays the commonly accepted management concept that organizational functions are separable in terms of the activities performed and that they can be represented and developed as separately operable subsystems. The four functional subsystems represented in figure 4 are those commonly found in every court, but are in no way meant to be definitive or limiting. Each functional subsystem has its own uniquely defined information requirements that support its own operational control, management, and planning activities.

Figure 4 also recognizes that there may be common procedures and applications that are used by more than one functional subsystem, but that there are also unique procedures and applications used by only one or two functional subsystems. In reality, the more common the procedures and application packages that are utilized, the greater the integration of the court MIS and the more effective and efficient it is in supporting decision-making activities.

Figure 4: Conceptual framework of a court management information system



← symbol signifies the two way flow of information between the functional subsystems and the set of procedures or the two flows of information between the set of procedures and the data bases.

*Adapted from Gordon Davis, Management Information Systems: Conceptual Foundations, Structure and Development, Figure 8-12, p. 221.

A common data base should be developed and used by all system applications within the court. Data should be captured and, whenever possible, stored only once, and all reports of court activity and all inquiries for court data should then utilize the same data source. This does not necessarily mean that all data must reside in one large file, but that all pertinent data are captured, stored only once (except for reasons of security, ease of access, or timing in terms of initial system implementation), and logically related.¹⁰

This position is supported by most MIS authorities and is also recognized by most court MIS authorities. "The data base should be built up directly from routine recording of operational transactions. Thus, no special effort would be required to gather the data for the systems since data entry becomes a routine part of normal operations."¹¹

The court MIS concept assumes direct, unrestricted upward and downward information flow and encourages integrated transaction processing between functional subsystems (that is, collecting and recording case-related, personnel, and financial data at the point and time of its occurrence).

The model also recognizes that information needs of state administrative office personnel or chief and presiding judges are different from those of trial or appellate court clerks or trial court administrators. As one travels higher up the organizational management hierarchy, administrative decision-making becomes increasingly less well-defined and less routine. The problem of specifying management information requirements is not unique to the courts. The same kind of problem exists in the corporate environment, where the three management and control activity levels of the organizational structure are analogous to those of the courts. In the courts, as in the business world, there is a correlation between the four levels of management activity and the characteristics of their information requirements. (Refer to Figure 2.) The information needed by the clerk of court and others at the lowest level of the management structure (operational control) is well defined, quite detailed, and narrow in scope. It is used very frequently and therefore must be timely and accurate. In contrast, the information used by the supreme court or the AOC and others at the top level of management (strategic planning) is not well defined. To be useful, strategic planning information must be highly aggregated and broad in scope, crossing several functional subsystems and even pulling information from external sources.

¹⁰Paraphrased from Davis.

¹¹Burton K. Kreindel et al, National Evaluation Program Phase I Summary Report, Court Information Systems (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, Law Enforcement Assistance Administration, March 1977) p. 6.

Generally the aggregated data are used only once and are so abstract that the base transactional information need not be 100 percent precise. The information needs of mid-level court managers (trial court administrators, assignment judges, and the like) fall somewhere between these two extremes.

Thus, while it is relatively easy to determine what detailed information is needed by a clerk for filing and maintaining cases, it is more difficult to establish what management information is important in scheduling trials, and even more difficult to specify what information is needed to support rule formulation, judgeship allocation, or program planning. The very nature of the work being performed dictates a more abstract use of information at the higher administrative levels.

The model also correctly shows the flow of information collected by the transaction processing activity, using common or unique procedures, from the common data base to each level of management as its individual needs require. Information is accessed by each respective management level as needed to support its control and decision-making functions. When new information is generated as a result of some management activity, it is in turn stored in the common data base for use by other levels of management for control or planning purposes. The next chapter applies this concept more completely to the case-related functional subsystem.

Each of the functional subsystems identified in Figure 4 requires a discrete set of data elements. These subsystems may differ from local court to local court and from one state court system to another. The figure does not indicate the method or extent of data processing used, which will vary from court to court, and from local- to state-level office. Manual reporting and processing may be operating at each level; one level may be manual and the other automated; or both levels may employ automation of varying degrees of sophistication. Needless to say, the data processing method will largely determine the quality and quantity of data that can be collected, processed, and analyzed and the usefulness of the integrated data base.

Ideally, this manual would deal with and explain in detail all the major functional subsystems, show how they interrelate, discuss the processing implications, and explain how data from each must be integrated to solve the particular management problems involved. Time and resources do not permit this, however; this report will focus on only the first, the case-related subsystem, with the hope that the structure is such that the other subsystems can be analyzed separately by the reader. Although the next chapter of this text applies the above MIS concept only to the case management functional subsystem, it is possible for the reader to carry the concept forward on his own.

In moving through the material that follows, the reader should keep in mind that source information gleaned from only the case-related subsystem can seldom be effective if used in isolation. If it is so used, the resulting output reports will present only a single-dimensional picture of court operations and management problem-solving. Resource allocation based only on case-related data, for example, ignores the importance of information generated by the personnel management and facilities management subsystems in ensuring the efficient operation of the courts.

On the other hand, one of the important thrusts of this manual is to present a model of the complete case-related subsystem. The majority of courts in the country use only part of the case management subsystem's capability at the present time--namely the generation of caseload data. A few dozen large metropolitan courts and perhaps a dozen state court systems collect and use caseload data. Even fewer collect and use workload data. Since caseload information was the focus of the Model Annual Report and the Model Statistical Dictionary, a model scheme for caseload data and a discussion of workload data--the remainder of the data necessary for effective operation of the case-related subsystem--will be completed in this monograph.

In practice, segments of several functional subsystems are developed simultaneously. The collection and recording of data from more than one functional subsystem is frequently combined. Many courts, for example, collect some defendant data along with caseload inventory data, perhaps at the instigation of the local prosecutor's office or other criminal justice agency. Certainly courts that have responsibility for support units such as pretrial services or probation collect data on those activities as well as case-related data.

For the purpose of conceptualizing a model court management information system, however, the NCSP and SJIS staff have found it helpful to separate the functional subsystems in the manner of building blocks by defining them in terms of the data elements required to build them. In this way the terminology of a case management subsystem can be made manageable because all the applications or modules that are a part of that subsystem are identified and the data elements needed for the applications are identified, related to each other, and clearly defined. This approach also makes it easier to develop the rationale for collecting each type or analytical level of data element. As will be shown, the data elements for the case-related subsystem should be structured so that all case-related data can be included in the data base structure for that subsystem. Data that are not case-related should appear in the data base structure for one of the other subsystems.

Summary

The four functional subsystems in Figure 4, then, can be said to represent the components of a court information system. What functional subsystems are actually used and what functions are actually included in each subsystem should be determined by members of the court through a court-wide requirements analysis, since the data ultimately collected and generated by the court information system should serve to support decision making and the efficient daily operation of the court.¹²

The next chapter discusses the functions and components of the case-related subsystem, while Chapter III discusses the management control and strategic planning uses of case-related data to support decision making. The information found in the case-related subsystem data base can be divided into three analytical levels--caseload, caseflow, and workload--each of which is discussed in Chapter IV. These three levels of analysis are determined by the different levels of management information needed by the courts; and in order to move from one level to the next, increasing levels of sophistication in the data collection methods are required. The model data elements recommended for the three analytical levels of analysis are presented in Chapter IV. Chapter V will discuss the constraints and problems faced by court managers as they try to develop and implement a case management functional MIS. The model input/output reports needed to collect the model data elements and to make management decisions are explained in detail in Part II of this monograph.

¹²For a discussion of requirements analyses, see State Judicial Information Systems Project, Automated Information Systems: Planning and Implementation Guidelines (Williamsburg, Va.: National Center for State Courts, 1983).

Chapter II

Case-related information subsystem: primary functions, components, and applications

This chapter deals with the management planning and control activities that are an integral part of the case-related subsystem of a court MIS. As reflected earlier in Figure 3, the case-related subsystem is only one of four major information subsystems (the others are personnel, finance and accounting, and logistics and facilities) required for a comprehensive MIS that meets the needs of modern court managers. The purpose of this chapter is to give a more complete discussion of the functions, components, and general applications of the case-related subsystem than the brief one presented during the discussion on the application of the general MIS concept to court management.

Functions of the case-related subsystem

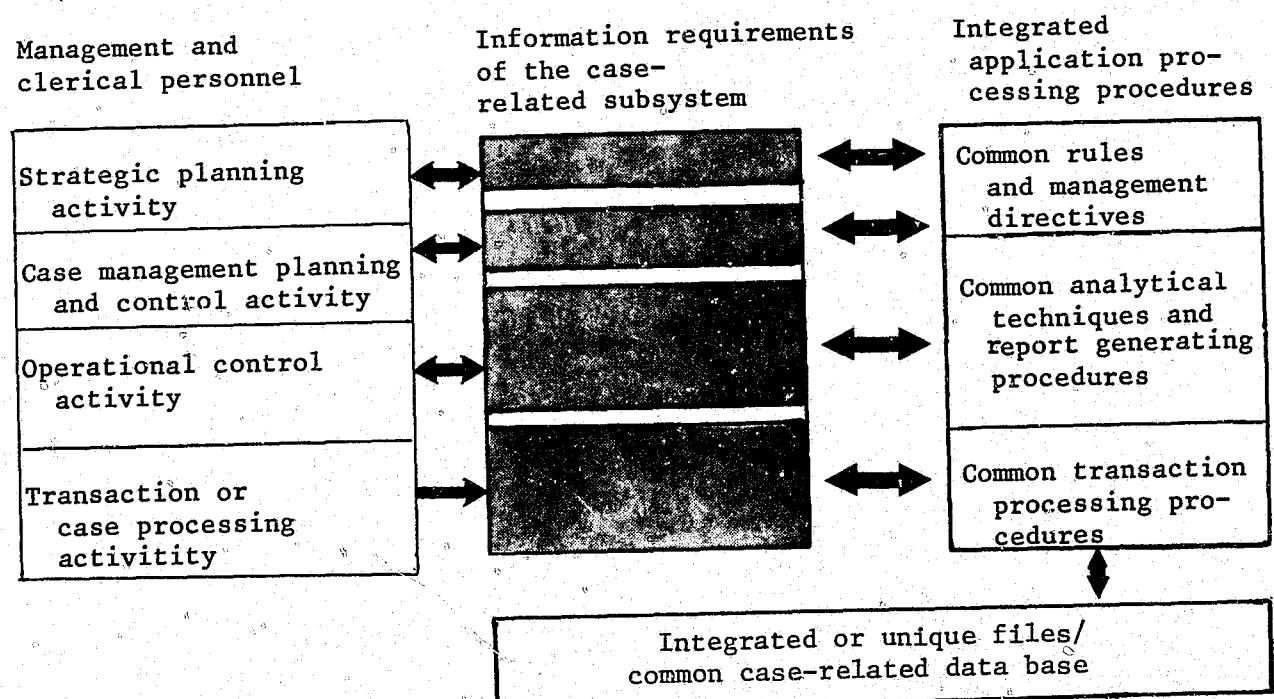
The case-related subsystem should capture all data generated by each case being processed by the court from the point of its initial filing to the point of its final termination or disposition. The subsystem should assist in the efficient and effective control of the flow of each individual case through the court adjudication process. The subsystem should provide information that will enable court managers to judge the performance of the transaction or case processing system and should support their decision-making activities when they are formulating new procedures or solutions for existing problems. The information generated by the subsystem for its operational and management control functions should supplement and support the court-wide strategic planning activities of the top managers of the courts. In sum then, the function of the case-related information system is to process all case transactions, to control and manage the flow of cases through the adjudication process, and to support upper-level management strategic planning activities.

Components of the case-related subsystem

The case-related subsystem (and each of the other court information subsystems, for that matter) has four major system components whose functions should be defined. Figure 5 below, has been extracted from Figure 4, the "Conceptual framework of a court management information system," to show more easily those components and their relationship to each other. The components are: 1) management and clerical personnel, 2) case-related information requirements, 3) analytical and application processing procedures, and 4) an interrelated data base.

Management and clerical personnel. All organizations have transactions that must be processed. The clerical personnel component of the case-related subsystem collects and processes the case transactions needed to carry out the court's day-to-day operations. The ultimate effectiveness of any court information system depends on the quality of the data collected during the transaction processing activity. The management personnel perform the three identified management and control activities--operational control, case management, and strategic planning. The management component is the driving and governing force of the subsystem, while the clerical personnel provide the data to support management and control activities.

Figure 5: Components and information flow of the case-related subsystem



Adapted from Gordon Davis, Management Information Systems: Conceptual Foundations, Structure, and Development, p. 220, Figure 8-11.

Case-related information requirements. The information requirements are the second component of the subsystem. These are determined predominantly by the operational and management control needs of the subsystem. The usefulness of any court information system depends on the quantity and quality of the data collected by the transaction processing activity. Great care must be taken to identify for collection only those data that have real value: that is, data that will be used to support operational and decision-making activities. Cost and ease-of-data-collection criteria should be used to determine the ultimate value of data before they are collected. Otherwise, data captured may be too much or too little to meet system information needs.

Integrated application processing procedures. The third component of the subsystem is that set of common rules, management directives, analytical techniques, applications, and transaction processing procedures needed by the subsystem to process each case transaction from point of filing to point of disposition and to support management control and decision-making activities. The transaction processing procedures collect the data and store it for later access in the data base. The application programs sort, merge, and manipulate the data within the data base and create control and performance reports for use by management. Specialized routines and analytical packages are used to create special reports to aid evaluation and planning activities.

Interrelated common data base. The last component of the case-related subsystem is the data base. The term is used here to refer to any manually gathered or computerized store of information. The existence of a data base implies the elimination or reduction of redundant data storage and duplicate file storage. Therefore, once a transaction or piece of data is collected and processed by the subsystem and entered into its data base, the transaction or data can be easily accessed through application or analytical procedures and used for other purposes. The case-related subsystem data base, by definition, is that set of uniquely related individual files (or fully integrated files) that contain all case-related data captured by the transaction processing activity or generated by application or analytical programs. Almost all system-wide court case information needs can be satisfied directly (by data collection) or indirectly (by data generation) from transaction data initially collected at the local court. Therefore, a high degree of cooperation must exist between local- and state-level court officials in determining their information needs so that the resulting data base does in fact contain the information required by all levels of court administration.

Information flow through the case-related subsystem

Although information flow is not a major physical component of the subsystem, it is nevertheless an integral part of its operation and effectiveness. It is important that information flows quickly and directly within and between the various levels of the court structure as depicted earlier in Figure 1. It is equally important that information flow be unencumbered by needless procedures or "dampening" effects that may change the quality or value of the information being transmitted.

In Figure 5, above, all data processed and converted to information to support the operational control, management, and planning activities of the court are captured by the transaction processing system following a set of standardized or unique procedures. The data collected by the transaction processing activity are stored in an integrated common data base (if one exists) or in one of a set of uniquely related data bases. To ensure that the transaction processing operations are being

performed effectively, a set of standard control reports are produced for management control personnel. Standard court directives or decision rules are followed by clerical and first-level court management personnel to ensure smooth and consistent case processing and to carry out most operational control activities. On a periodic, but regular basis, a series of performance and evaluation reports are generated by the subsystem using standard and special analytical procedures. These special management reports are used by the second-level managers (presiding judges and trial court administrators) to monitor and evaluate the performance of the transaction processing and operational control activities and to make recommendations for improving case processing techniques. All standard operational control reports, special management reports, and any other analytical information generated by manipulating the data contained in the data base are available as information sources to partially meet the systemwide strategic planning needs of the top court managers (chief justice, supreme court, AOC). Information flow proceeds directly and freely from one management level to the next. The use of the common data base and common transaction processing and management procedures eliminates data redundancy, ensures data quality, reduces clerical and management activity, and provides greater flexibility in reporting and using information.

Major applications of the case-related subsystem

This section discusses the major activities usually associated with the case-related subsystem. Since caseload volumes and case processing management activities are increasing at a steady rate at all court levels, it is becoming more necessary to discuss computer-based as well as manual approaches to performing these applications. As court managers demand more information and analyses on case-related activities, the need for a computer-based management information system will become even more apparent.

As in all court information functional subsystems, the management activities supported by the case processing transaction system of the case-related subsystem are: strategic planning, case management, and operational control. The management needs of each of these will be briefly reviewed, followed by a more in-depth overview on each.

As mentioned, the strategic planning activity is relatively undefined and broad in scope. It is the top management function commonly performed by the chief justice, supreme court, state court administration, or judicial council. Its data base is derived from the case management control data base supplemented by external, noncase-related data. Financial and personnel data often supplement case management data during the objective formulation and planning

activities of this management activity. Information processing support usually is in the form of special one-time-only analytical reports and a series of forecasts based on personnel, case, and financial data; these are integrated through the experiential judgment of the participants. Newer, more precise, and more timely information will probably not affect the quality or timeliness of the decision because of its very subjective nature. Workload analysis and long-term resource planning are very important applications of the strategic planning activity.

The case management activity includes those overall administrative control and case tracking functions performed by trial court managers, assignment judges, or state-level administrative office management personnel. The data base needed to perform effective case management is built up of internal case transaction data and summaries provided by operations and supported by internal or external standards, rules, and upper management expectations of case processing performance. The case management activity is supported by a series of planning models, variance reports, and problem analysis techniques. Performance evaluation is important to effective case management control.

Operational control activities include the day-to-day clerical and administrative functions of the appellate and trial courts and their support units (e.g., clerks of court, court reporters, administrative clerks, jury officials) in processing individual court cases. The data base needed to perform operational control is built up of internal data generated from case transactions that are part of case processing activity. The operational control activity is supported by standard, regularly produced status reports, schedules, and special inquiry capabilities. Having access to individual case transactions is very important to operational control.

The daily case processing or transaction processing activities of the local trial or appellate courts provide the internal data necessary for tracking court cases and for preparing daily reports to support operational control and case management activities. The typical local trial or appellate court case processing system performs some or all of the following operational functions: docketing, indexing, calendar preparation, notice and summons preparation, and management and statistical report generation. The docketing, indexing, calendar printout, and the court papers printouts support day-to-day operational control activities of the clerks and first-line supervisors. The management and statistical report generation function supports the periodic case management control activities of the middle managers. All case processing systems, whether manual or computer-based, permit individual inquiries by interested parties to retrieve information on specific cases.

Case management and strategic planning applications

All case management applications of the case-related functional subsystem are designed to produce a series of performance reports, exception reports, or evaluation reports that can be used by state administrative, trial court, and appellate court personnel to control case management. All of the reports and statistical analyses produced by the case management activity are restatements or summaries of case transaction data and are usually produced as a by-product of operational control activities. The variety of reports produced by a court is limited only by the number and quality of data elements it collects, and it is possible for these to vary from court to court within any given court system.

All strategic planning applications of the case-related functional subsystem are designed to produce specialized, often one-of-a-kind analytical reports, forecasts, resource allotments, and research reports that can be used by top court managers to set goals and objectives and to make administrative rulings and system-wide policies. Although some of the reports and statistical analyses produced by middle managers for top administrative officials are restatements or summaries of exception reports, performance reports, and short-term forecasts, most are new analytical reports generated by merging case-related performance reports and forecasts with other functional (personnel and financial) performance reports and forecasts. The strategic planning function also requires the use of non-court data such as population figures, per capita incomes, economic indicators and forecasts, and data from other state court systems for comparative analysis.

Generally, case management and strategic planning applications that can use case-related data can be grouped into three basic analytical categories based on the type of data utilized by the application and the type of analysis performed on the data. These three analytical categories are:

Level 1: Summary caseload inventory data and aggregated caseload analysis reports

Level 2: Case monitoring, case status data, and caseflow evaluation and performance measurement reports

Level 3: Judicial and nonjudicial workload analysis data for resource allocation, planning, and research reports

Level 1, caseload inventory and caseload analysis reports, examines aggregate filing and disposition data and generally is not concerned with intervening case events or case actions. It addresses questions of local trial or appellate court judicial resource allocation and short-term caseload inventory forecasting. Level 2, caseflow evaluation and performance analysis reports, focuses on the movement of cases and the speed with which cases are

processed. Case activity and event data are needed for this level of analysis. These reports address questions of delay, establish time standards for case processing, and monitor individual case progress. The third level, workload analysis for strategic planning and research, is the most sophisticated level of data analysis. It utilizes not only caseload volumes and activity data but also actual or estimated judicial and nonjudicial workload. It addresses some of the same concerns of the Level 1 judicial and facilities resource allocation and caseload forecasting, but usually from a systemwide and longer-term perspective. It also attempts to focus more on the resource utilization and operational activities of judicial and nonjudicial personnel rather than on the expediting and monitoring of individual cases, in contrast to Level 2 analysis.

Perhaps another way of categorizing these levels of analysis, then, is by identifying and zeroing in on the subject of the analysis. Level 1 focuses on case volume and the court as an entity; Level 2 focuses on monitoring individual cases and their movement through the court; Level 3 deals with optimizing local and statewide resource utilization activities of the individual trial and appellate courts and the statewide administrative operations of the court system.

Identification of the data elements necessary for each of these analytical categories flows from the identification of the analytical methods used by them and the reports required to satisfy management information needs. This is discussed further in Chapter IV where major data elements are identified. These data elements are also divided into three categories corresponding to the levels of analysis identified here and illustrated in Figure 6. As a court system progresses from one level of analysis to another, the set of data elements required to perform the analysis expands. There is, however, a core set of data elements that each level requires. Level 1 analysis requires caseload and inventory data and manner of disposition data, consisting of aggregate statistics on case filings and case dispositions. Level 2, caseflow evaluation and performance analysis, requires case-by-case data with information on intervening case events and individual case activities. Level 3 requires clerical and judicial time measurements and workload data. Most rural and suburban courts, however, have not progressed much beyond Level 1 in either analysis or data element collection. Generally, the need for individual case data—Level 2 analysis—has been most acute at the large metropolitan trial court level where many complex day-to-day operational decisions are made and where individual cases are processed and must be monitored to ensure that the court meets its speedy trial rules. State-level officials are, however, now becoming more interested in local and statewide case management control activities, not only in the criminal area, but also in civil and juvenile activities. This growing interest is being encouraged by local courts (and required by state legislative and public interest groups) and by the recognition by the state supreme courts that their superintending powers extend to the administrative activities of the trial and appellate courts.

Figure 6, below, gives a graphic representation of the type of data analysis required to support management activities. It also shows the general management use that can be made of each type of data analysis and lists reports that can be produced as a result of the different levels of data collection, analysis, and reporting activities.

Figure 6: Three basic analytical levels and their applicability to the case management and strategic planning activities

<u>Data analysis</u>	<u>Management application</u>	<u>General management uses</u>
LEVEL 1: Case status and court caseload analysis	Case management and control	Resource allocation Forecasting Public relations and information National trend analysis
LEVEL 2: Caseload evaluation and performance measurement	Case management and control	Resource allocation Forecasting Caseload management Performance measurement Public relations and information National trend analysis
LEVEL 3: Workload analysis for planning and research	Strategic planning and policy	Resource allocation Forecasting Caseload management Performance measurement Public relations and information National trend analysis

Because of speedy trial activities and court unification efforts, there has been a noticeable shift in recent years from solely local control of case management activities to a shared control between local court managers and state administrative office managers. At the same time there has been a commensurate shift in the kinds and format of the data elements that are collected on the local level and in the methods of analysis used at both the local and state level. Many more state-level administrative offices are now monitoring criminal court caseload to accommodate their speedy trial rules, and are requiring the collection of information on the status and age of individual civil and juvenile cases as a result of new administrative authority and rules.

Therefore, it is important to determine court needs and develop good information systems to provide the data. Once it is clear what data are to be collected, by whom, and for what purpose, a decision can be made as to the most appropriate analytical methods to use. Different uses require different types of analysis. There are also different levels of sophistication and different levels or quality of analysis that can be applied. For example, decisions on judicial assignments and the need for additional judgeships can be made on the basis of caseload trends or weighted caseloads. In most situations aggregated caseload volume statistics will provide an adequate analysis; however, a more accurate analysis can be performed with the use of weighted caseload or even workload data. A decision, however, is necessary as to the most cost-effective level of analysis to use in a particular situation. While weighted caseload data may provide more accurate results, the costs of obtaining that information may not be worth the added benefit. These types of decisions must be made by the court managers only after a thorough review of their needs.

Another trend that has affected court information systems has been the increased level of automation among local courts and state administrative offices, prompted by increased demands from court and non-court users for case-related data analysis. The need for more detailed caseload data and case tracking information has prompted state administrative offices to develop, in conjunction with local trial and appellate courts, new data collection procedures such as case-by-case reporting systems. One of the initial issues for state administrative offices and local court managers when revising their information system is the point at which automation is necessary to handle the new information needs and analytic requirements.

The entire situation may perhaps be best summed up by stating that as state administrative offices assume greater case management responsibility, their need for more detailed case-related information also increases. The ancillary result of this movement must be that computer-based case management systems are developed with or by local courts to meet not only state needs but also their own local operational needs. This addition of management responsibilities on the part of state administrative offices does not, however, indicate a lessening of the responsibilities of individual local court managers. All case processing activities will still occur in the local courts, requiring continued on-site case management and case processing information systems. Case-related information systems have become more complex with these added demands for information by both local-court and state-level managers. As a result, the need and demand for computer-based case management subsystems that are a part of an integrated court management information system are becoming more widespread throughout the state court systems.

Chapter III will take an in-depth look at the local- and state-level strategic planning and management control uses of

case-related data, concentrating on the three analytical levels discussed above. Chapter IV will then recommend a set of model data elements that can constitute the common data base needed to generate the management reports discussed in Chapter III. To provide complete discussion of the case-related subsystem applications, however, the last section of this chapter discusses the operational control applications that exist in local courts. If the reader feels sufficiently versed in these applications, it is possible to skip this section and proceed to Chapter III.

Operational control applications

One of the most effective uses of computers within the state court systems has been to support or replace manual case processing applications. The typical computer-based case processing application captures case data at the point of original filing and tracks all case activity from that point on. The extent of the activity data captured dictates the effectiveness of the system. The case activity data generally thought to be needed to support a computer-based transaction processing system include some or all of the following data elements:¹

- case number, case name;
- filing date;
- type of case, type of charge;
- list of case participants, e.g., plaintiffs, defendants, attorneys, judges, etc.;
- scheduled and actual events in case processing, event data, disposition data; and
- manner and date of final disposition.

The actual data collected by the computer-based transaction processing system will depend on the needs of the individual court. The docketing, indexing, or other operational control functions a computer-based system performs will also depend on the real or perceived needs of the court involved. If a computerized case processing capability exists at the local trial or appellate court, the management and statistical information needed by the state administrative office from that court can also be generated as a by-product. The ideal way for a state court system to meet all of its information requirements then, whether they are local- or state-level, would be for state and local managers to work together to develop, where needed, an integrated, computer-based transaction processing system with each of the following operational control functions.

¹A complete listing of the recommended set of model data elements can be found in Chapter IV.

Docketing. Docketing is the clerical process of recording case events in a log book or register of actions--perhaps the most tedious and time-consuming operational task performed by a clerk of court. When a docket entry is posted by hand, the posted information is often unreadable and is usually made in a large, hard-bound volume. When a docket entry is posted by typewriter, it is usually made on separate ledger sheets and inserted later in loose-leaf volumes. Manual docketing is slow and rarely up-to-date. For that reason, courts looking for a better way of maintaining their register of actions have automated this process.

When the docket or register of actions has been placed in computer files, it becomes the foundation for an integrated case processing system. Each case event or transaction is converted and stored in the computer file as it occurs and can be accessed in whole or in part with other case information. This makes it possible for the court manager to automate the indexing, calendaring, or management and statistical report functions, since the case action information stored in the register of actions is the same case information needed for those applications. For that reason, it is very important that all case information needed for these future applications be maintained in the register of actions and that a common data base be set up to allow free and flexible access to the needed case information.

Data entry in a computer environment is less time-consuming than manual docket entries since the computer can be programmed to accept alpha-numeric codes in place of lengthy alpha data entries. The computer converts the alpha-numeric code to a full text entry whenever output is requested. This process reduces data entry time, improves data entry accuracy, fosters higher productivity, and ensures that uniform, standardized data entries are made by each clerk. After a case closes, the entire set of docket entries relevant to that case can be printed out and stored in the case file or with other permanent records of the court.

Indexing. Whenever a new case is filed, clerical personnel generate, either manually or by a computer program, a set of operational control indexes and cross references to make it easier to identify and locate a case as it progresses through the court. Most case indexes are set up by using one or more of the following identifiers: case number, filing date, type of case, type of charge, plaintiff's name, defendant's name, or attorney's name. If the index is generated by computer, any of the case data elements can be used as an identifier. The actual number of identifiers used as search keys should be restricted to those for which there is real need and which will aid in operational control activities.

All manual and computerized indexes are fully alphabetized by party name or are ordered by case number. Therefore, when an inquiry occurs, it is a simple matter to locate the case, provided

one knows either the correct case number or correct spelling of one party's name. In most automated indexing systems, it is possible to locate, by the use of phonetic coding, the correct case even if the party name is incorrectly spelled. The computer will perform a search for all party names that match or are similar to the phonetic code and will print out a list of matching names. The person making the inquiry can then visually search the list to locate the desired case. In a manual system, if a correct identifier is not known, it is much more difficult to locate a case.

The indexing operation is a common computer program and simple to use. A major problem occurs when the court manager must decide at what point to convert existing manual index files, which are generally in a set of hardbound volumes, to automated forms. Automated indexing is usually implemented at the same time that a trial or appellate court converts from manual docketing procedures to automated procedures, since the case information entered in the docket is the same data used to set up the case indexes.

Calendar preparation. Court clerks have to prepare a variety of calendars or lists of case actions that are scheduled to be heard by the court. Most court calendars indicate the name and number of each case along with the time, date, and courtroom location of its scheduled hearing. Other supplementary information commonly found on court calendars are judge name, attorney names, plaintiff and defendant names, and case type. Daily court calendars are operational control devices that are designed to facilitate the orderly daily processing of cases and to inform the public and case participants of the scheduled time and location of all court hearings. Long-range calendars are both operational and management control devices and are designed to assist judicial assignment and reassignment, identify case bottlenecks and backlogs, and assist in case management. Long-range calendars are especially useful for determining future dates that are available for judges and when to schedule future hearings, based on current courtroom actions.

Court scheduling. Case scheduling is the operational control process of preparing the daily and long-range calendars needed by the court. The schedules of the primary participants to a case must be acquired in order to determine the optimum date for holding the next hearing. Those participants usually involved are the judge, attorneys for both parties, and the parties. In criminal cases, police officers and witnesses become very important. The court clerk must match all the participants' data with the available time slots for each courtroom and determine a time and place for the next judicial proceeding.

Case scheduling is predominantly a manual process because of the unpredictable variations in the duration of each court action that is scheduled, the difficulty of predicting case fall-out, and the problem of controlling attorney conflicts and consolidating police officer appearances. These scheduling difficulties require substantial clerical judgment and involvement in the determination

of the daily and long-range calendars. Although mathematical algorithms have been developed and programmed into computers to "assist" the scheduling process, they have not yet proven adequate to determine final court calendars--even though most scheduling algorithms take into account such factors as maintaining judicial schedules, attorney schedules, and courtroom schedules, along with estimating probable case duration and probable case fall-out. The difficulty associated with quantifying each of these items indicates that, although computers can assist in scheduling court cases, clerk of court and judicial judgment will always be needed to finalize court calendars. It should be noted that an up-to-date register of actions is needed for a clerk of court to prepare an accurate and viable calendar. An automated register of actions is therefore required for a court to utilize a computer to assist in its scheduling process.

Notice preparation. Notice preparation is a common operational control function performed by all clerk of court offices. Notices are usually prepared during or as a result of the court scheduling process associated with calendar preparation. When computers are used to assist scheduling, notices are prepared as a by-product of that operation. There are two types of notices normally prepared by clerk of court operations. The first type is a "reminder notice" to each case participant that he has agreed to meet for a particular judicial proceeding at a certain date, time, and courtroom location. The second type of notice specifies to selected parties that their attendance is required at a particular hearing. Examples of the first type of notice are: judicial trial or hearing calendars, attorney hearing and trial date notices, police officer appearance notices, and notices to sheriffs to transport prisoners to court or to serve subpoenas. Examples of the second type of notices are: warrants for arrest, summons for witnesses, and subpoenas.

Other operational control applications. A discussion of specific case-related operational control applications could also cover such specialized court activities as parking ticket processing, moving traffic violation processing, warrant and summons control, case transfer activities between courts, and maintaining prisoner inventories and interfacing with criminal history and criminal justice information system (CJIS) processing activities. Jury selection, jury questionnaire administration, juror notices, and support and alimony payment case processing are also closely related applications.

Chapter III

Strategic planning and management control uses of case-related data to support decision making

Chapter I described a conceptual framework for a court management information system and defined four levels of management activities (case transaction processing, operational control, management planning and control, and strategic planning) associated with all court information systems. The chapter also identified four basic functional subsystems (case-related, personnel, financial, and logistics) commonly associated with all court management activity and information systems.

Chapter II focused on the subject of this manual, the case-related functional subsystem. It discussed the components (individuals responsible, information requirements, procedures, and data base) that make up the case-related functional subsystem and explained the flow of information through the various components of the subsystem. It then related the functions of the major management activities discussed in Chapter I to each of the system components given in Chapter II. Finally, it discussed the operational control applications of case-related data typically performed by local trial and appellate court managers to track and monitor case processing.

This chapter will take an in-depth look at the local and state-level management control and strategic planning applications of case-related data. To do this, we will first identify the specific court management tasks that require case-related data to support their decision-making activities. We will then identify and discuss the major applications or uses of case-related data that meet the information requirements of these management tasks. General case management report lists will be given and model output reports referred to throughout the chapter to support the discussion.

Those management tasks and applications that require only personnel, financial, or logistical data are not the subject of this manual and will not be discussed. The court's case-related functional subsystem, by definition, manipulates only case-related data. Although its data base contains a variety of related people indicators (judges, attorneys, witnesses, defendants, etc.), logistics indicators (courtrooms), and financial information (case cost, fines, fees, etc.) involved with a court case, these entities are important only so far as they relate to the actual court case, and that relationship must be clearly defined in management reports and applications.

Chapter IV will recommend a set of specific model case-related data elements that must be collected by the case-related functional subsystem to provide the information required by the applications and tasks described in this chapter. The specific relationship of these recommended model data elements to the output reports listed or referenced in this chapter will be shown in Chapter IV so that court managers can begin to determine which data elements a case-related functional subsystem must collect in order to meet the court's specific management needs.

Court management tasks supported by case-related data

During the past decade, many studies have been conducted and reports and articles have been written about the management tasks performed by personnel in the state courts.¹ The National Center, working with a committee of the Conference of State Court Administrators, analyzed, compared, and summarized the results of these studies and came up with a list of seven major court management tasks that require case-related data for effective decision making. These tasks are: case management, information systems support and processing, facilities and support services utilization, finance and budgeting, personnel administration, public information, and planning and research.²

The National Court Statistics project surveyed each state-level office to determine to what extent and for what courts in the statewide system each of these tasks was actually performed by its personnel. The responses to that survey are included in Table 23 in State Court Organization, 1980, and indicate that these tasks are common among all offices at the state level. Involvement in the different tasks varies widely from state to state and is caused by, among other things, variations in statutory, constitutional, and administrative authority, in court structure, and by wide variations in the progress of court unification in the state.

Because of these variations, it is impossible to identify a complete and absolute set of case-related data that is sufficient to support each state's AOC management task information needs. It is possible, however, to identify an adaptable and expandable core set of case-related model data elements and model output reports that satisfy to a varying degree the major information requirements of each of these seven basic management tasks. Each state office could then supplement these model data elements and management task and

¹See the bibliography at the end of this manual.

²These headings appear in Table 23 of State Court Organization, 1980, prepared by the National Court Statistics Project (Williamsburg, Va.: National Center for State Courts, 1982), pp. 94-97.

application needs. The case-related model output reports given in Part II of this manual and the model data elements given in Chapter IV are based on the various case management uses identified in the following section that satisfy the information requirements of the above management tasks.

A similar analysis of the management tasks performed by appellate and trial court personnel reveals the same situation. All appellate and trial court administrative personnel deal, on some level, with personnel, financial, facilities utilization, public relations, and case management tasks. In addition, they perform the operational and transaction processing activities discussed in Chapter II that are unique to them and not generally performed by state administrative personnel. Of course, the variations in degree of task performance listed earlier for state-level offices also apply to trial and appellate courts for the same reasons, i.e., differences in statutory, constitutional, and administrative authorities within and between state court systems. Therefore, because of these variations, no complete and absolute set of case-related data (short of the entire case record) that is sufficient to support information needs of all trial and appellate courts can be identified. A smaller, adaptable and expandable set of model case-related data elements can be presented, however, along with model output reports that will satisfy the major information needs of most trial and appellate courts. These model data elements and output reports can then be supplemented by local court managers with those data requirements unique to their own information needs.

Using the above approach, it is possible to merge the two core sets of model data elements (state-level and local court levels), thereby creating one common model set of case-related data elements and output reports that can be used, as appropriate, by each management level within a state court system. Using these models, local court managers can collect and use the operational and management control data necessary to administer their courts. Using the same models, they will be able to report to state administrative offices the basic set of case-related data needed by that office to support its case management tasks.

This approach to case-related data management encourages local and state-level court managers to collect and report a common set of case-related data that meets not only their own informational requirements but also the planning and research needs of non-court researchers, legislative personnel, and national lawmakers. It also makes possible a national data base of historical case volume statistics that are comparable and reliable.

These seven basic management tasks that use case-related data to make or support decision-making activities are related in the following section to the management uses and applications of case-related data. From this starting point, the National Center, in conjunction with the Conference of State Court Administrators, has developed the core set of model data elements presented in

Chapter IV and the model output reports presented in Part II of this manual.

Management uses of case-related data

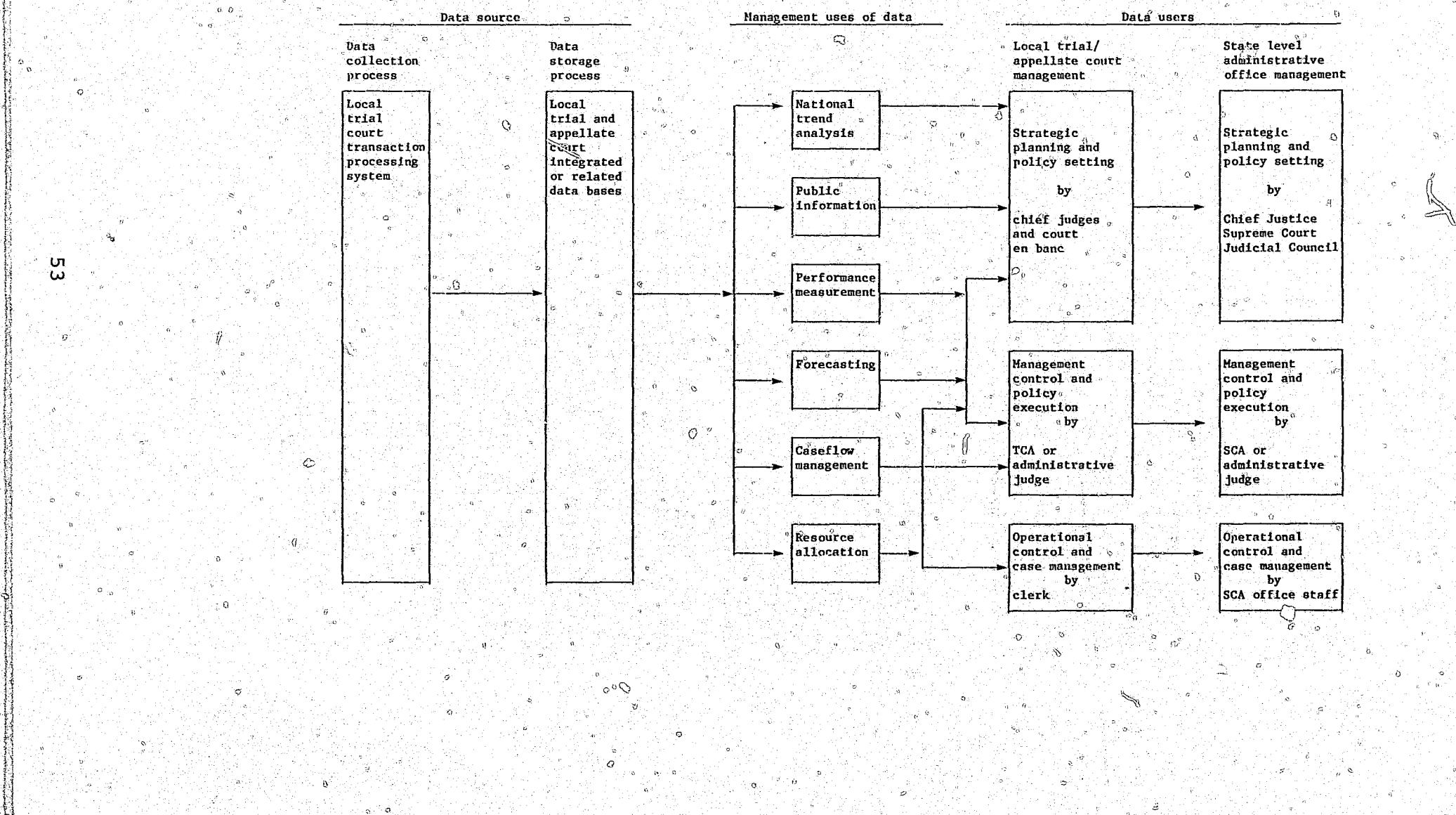
Using both past studies and project-collected data as well as analyses of the relationship of case-related data to each of the above identified management tasks, NCSP and SJIS staff determined that there are six primary management uses or applications areas for case-related data:

- 1) resource allocation,
- 2) forecasting,
- 3) caseflow management,
- 4) performance measurement,
- 5) public information, and
- 6) national trend analysis.

In order to satisfy the needs of a court system, therefore, local trial and appellate court managers and state administrative office personnel should design a case-related information functional subsystem that collects, stores, and processes case-related data that can provide management and output reports for these six applications or use areas. If this is done, the resultant court information system will be capable of supporting the management task information requirements, insofar as case-related data are required, of most managers of trial courts, appellate courts, and administrative offices. Figure 7 has been designed to illustrate graphically the relationship of the case-related information requirements of local- and state-level managers to the court MIS concept developed in earlier chapters. Each of the above primary management uses for case-related data will be discussed in the sections that follow, with direct reference to this concept and the management tasks being supported.

Resource allocation. One of the essential purposes for collecting case-related data in the court environment is to assist the court manager in making decisions on the allocation of the various resources--personnel, financial, and facilities--that are needed to carry out the primary function of the court (i.e., to process and manage cases in a timely manner). As a management application, resource allocation affects all areas of court organization and has a direct or indirect impact on several management tasks and management levels. In order to allocate the court's resources effectively, managers have to know how many judges are needed to hear the current and projected caseload and where these judges are needed, how many nonjudicial personnel are needed to support the judges, and what courtrooms, offices, and other facilities and equipment will be needed to process expected caseloads effectively. In addition, court managers will need to determine the expected cost of providing these services and the estimated income (fees, fines, etc.) resulting from these services.

Figure 7: Local- and state-level management uses of court information in relationship to the basic levels of management
 (case transaction processing, operational control, management planning and control, strategic planning)



All of these financial, logistical, and personnel resources will have to be allocated properly to achieve efficient operation of the entire court system and to accomplish the primary business of the court, i.e., the efficient processing of all cases.

Resource allocation occurs at all levels of court management and is both a short- and long-term management tool. In the local trial or appellate court, the clerk of court is responsible for the daily operation of the court and the daily assignment of nonjudicial personnel to process case transactions. The assignment judge, often assisted by a trial court administrator, will allocate new cases to judicial personnel and will assign or schedule courtrooms to meet current needs. Chief presiding judges and regional administrators will often transfer or reassign cases to judicial personnel who are less burdened than others, in efforts to balance workloads and to speed case processing.

Whereas short-range resource allocation activities are performed daily, weekly, or monthly and are used primarily for immediate assignment of resources, long-range resource allocation activities are performed most often by the management control personnel at the state administrative offices and by the strategic planning and policy managers at both the local trial court and state administrative offices. Long-range case-related data are used to make projections to determine the need for additional judgeships, courthouses, and capital equipment. They are also used to support annual operating budget requests and requests for extraordinary capital and equipment expenditures.

Information on the number of cases being processed is the basic and most easily obtained data source, and it is the type of case-related information most often used to support resource allocation decisions. This type of caseload inventory data (number of beginning pending cases, number of new cases filed, number of cases disposed, and number of end pending cases) cannot, however, give a true and accurate reflection of the requirements of either an individual court or of an entire court system. It is difficult to determine the actual number of judicial and nonjudicial resources required using only caseload inventory data unless the court knows the types of cases being processed and how those cases are disposed. More actual resources are needed to process major felony criminal cases than to process misdemeanor cases. Similarly, on the civil side, more time and resources are needed to process contested probate and bankruptcy cases than small claims cases. For that reason, criminal, civil, and juvenile caseload should be broken down into specific case-type categories and the manner in which cases are disposed should be reported--particularly those cases that went to trial.

Even these caseload data are not sufficient in and of themselves to enable a court manager to project accurately what resources are needed to process a court's cases. A second level of

data, case event and time interval data (which are data elements commonly associated with caseflow management), is necessary to provide a data base from which to project how much time it actually takes to process a specific type of case, whether civil, criminal, or juvenile. When caseflow management data elements are available to court managers, they help to refine long-range projections. Short-range assignments and schedules are also easier to make and more likely to be correct.

A third level of data can also be used to support resource allocation decisions. When available, this level is seldom used for short-range allocation, since caseflow management and caseload inventory data are easier to collect and easier to control. However, workload data are excellent for supporting long-range resource projections and estimations. Workload projections are based on the amount of time that judges spend in processing specific types of cases and in handling other business of the court. Workload can also determine nonjudicial personnel time spent in processing cases, but this type of data capture is rare. Where used, workload data, combined with caseflow and caseload inventory data, provide court managers with optimum data with which to make or support their resource allocation and determination decisions.

The types of management reports that should be generated by the case-related subsystem to support resource allocation will, of course, be determined by the specific use and users. If the users are policy managers and the use is related to annual budget projections, caseload inventory data will be displayed in trend analysis formats to show growth and decline areas. If the users are operational managers, daily, weekly, or monthly caseflow data are most likely to be used to schedule cases and to allocate judicial personnel and courtrooms in the optimum manner. Most resource allocation and utilization reports will reflect case inventory, case type, and manner of disposition data supported by selected case event and time interval analysis.

Figure 8 below gives a listing of specific case-related output reports that can be used to support resource allocation management tasks. An expanded version of this figure appears at the end of Chapter IV, Figure 16, where it includes reference to the data levels involved and model reports contained in Part II of this manual.

Forecasting. A second purpose for collecting and analyzing case-related data is to enable managers to project or forecast future caseload, caseflow, and workload activities. Historical case-related data describe the type, volume, and age of case activity that has taken place in the local trial court or state court system in the past, while forecasting involves estimating and projecting the type, volume, and age of case activity in the near and distant future. There are various techniques that can be used to forecast future caseloads, caseflows, and workloads which will

Figure 8: Specific management reports for resource allocation

General report category	Specific reports	Data reported
Resource allocation reports	Determination of need for judges	Population per judge per case type Population/circuit density Case filings per judge Dispositions per judge Pendings per judge Number of attorneys per judge Current rate of growth of filings, dispositions, pendings Current year number of filings per judge, etc. Current year backlog, in working days Usage rate of courtrooms, judges, etc.
	Determination of need for personnel, financial, logistical resources	
	Daily docket report	
	Trials concluded by judges	By case type By manner of disposition (jury, non-jury, etc.)
	Trials concluded by magistrates, part-time judges, retired judges, etc.	By case type By manner of disposition

occur in individual courts or within the entire state court system. The two most commonly used statistical methods are data analysis and data generation.

Data analysis techniques survey historical data and determine significant patterns or characteristics about the data that are assumed to be constant and are used to support judgments about short-term case activity. The most common data analysis techniques describe the basic statistical characteristics of the data known as the measure of central tendency (mean, median, and mode), while others describe the dispersion patterns of the data (range, interval analysis, and standard deviation). Other data analysis techniques that can be used to study historical data are data smoothing techniques to normalize seasonal and random variations in the data, correlation analysis to determine the existence of relationships between data elements, and trend analysis to compute rates of change in caseload filings, dispositions, or pendings. Data analysis techniques usually treat past data, so that short-term judgmental

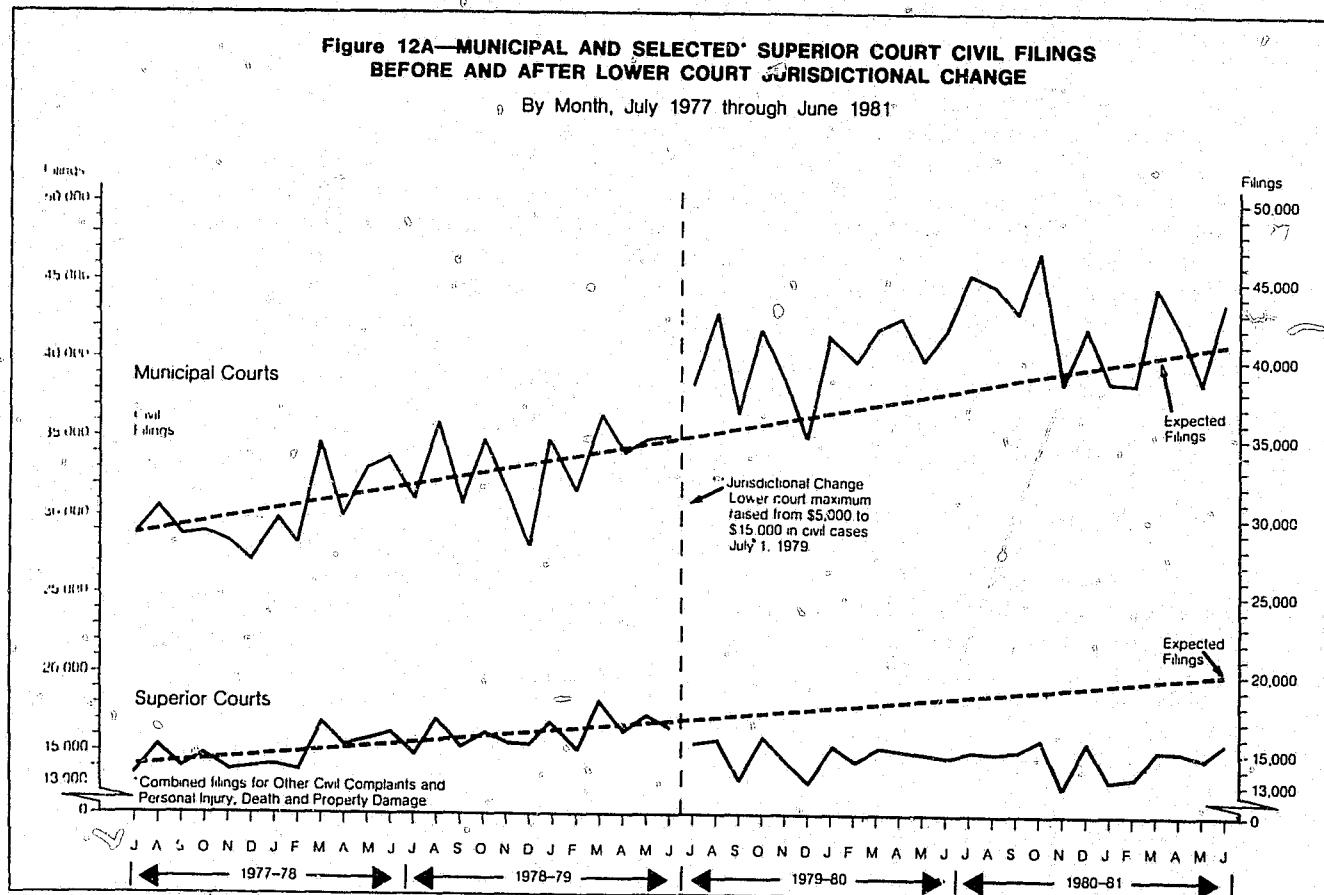
and operational decisions benefit from knowledge of the past. Data analysis techniques are used to support the caseload management, resource allocation, public information, finance and budgeting, and research and planning tasks.

Data generation is the technique of using data analysis information about historical data to generate future trends based on historical patterns and characteristics. The basic difference between data analysis and data generation is that data analysis determines the characteristics of data and by itself is used only for short-term judgmental statements about future occurrences, while data generation utilizes this knowledge of the past and generates future trends upon which to forecast the quality and quantity of future (short- or long-term) occurrences. The most common data generation techniques are time series extrapolations where historical trend analyses are extended into the future based on extrapolation of the measures of central tendency and historical growth rates. More sophisticated data generation occurs when court planners utilize regression analysis to extrapolate future happenings or when they develop forecasting formulas based on correlation analysis. Data generation techniques are used to support the longer-range management control, strategic planning, and policy-making management activities usually associated with resource allocation, budget analysis, impact analyses, and planning and research.

The type of case-related data that is most commonly used in forecasting is caseload inventory data broken down into case types. However, forecasting techniques can be and are applied to manner of disposition, case event, time interval, and judicial workload data. The primary reason for the use of basic caseload inventory data is that this type of data is readily available to all court managers and planners, and it is of sufficient detail and accuracy for most policy interpretations and planning activities. That is, court planners and researchers are usually forecasting long-range resource needs and allocation based on past caseload activity, studying the short- and long-term effects of proposed changes in rules and procedures, and assessing the future impact on court activity of constitutional changes or proposed legislation. Figure 9 below is an example of data analysis that reflects such a legislative change. In most instances, the data needs for this type of activity are satisfied by detailed caseload inventory data reflecting adequate case type and manner of disposition detail. Most planners find an analysis of this type of data, along with future projections based on identifiable trends, patterns, and data characteristics, sufficient to support upper management strategic planning and policy activities.

Forecasting techniques can, of course, be applied to case event, time interval, and workload data. When court managers are planning changes in case processing procedures or when local courts are contemplating rule changes (such as speedy trial rules) that will affect the processing of entire categories of cases, case event

Figure 9: Analysis of the effect of a jurisdictional change



Source: Part II: Annual Report of the Administrative Office of the California Courts, January 1, 1982, p. 101.

and time interval data are especially useful. Analysis of these types of data helps operational managers to estimate current and future backlog, determine past and future processing times, and study the effects on caseload of proposed changes in procedures. Data analysis of case event and time interval data is, therefore, necessary to support management decisions on short-term resource allocation, delay assessment, system performance evaluation, and caseload management.

The types of management reports that can be generated by the case-related subsystem to support forecasting activities will be determined by the level of the management users (policy vs. operational), use of the forecast (resource allocation vs. system performance assessment), and the timing of the forecast (short- or long-term). Most forecasting reports will be in tabular form and can be easily converted to charts or graphs. Today, many computer

systems have graphics packages that visually display or print out data in histograms, bar charts, and line graphs for immediate use by court planners and managers.

Caseload management. In the State Court Model Statistical Dictionary, court caseload is defined as "the process by which cases move through the court from filing until court jurisdiction is terminated." Caseload management is the active monitoring, controlling, and managing of caseload so that each case moves through the court without undue delay. In order for the court to take effective control of the flow of individual cases through the court, rather than leave their progress to chance or to prosecutors or attorneys to control, the court manager needs to know when specific case events are taking place in the processing of individual cases and the acceptable time intervals between these events.

Case event and time interval data for monitoring and controlling caseload support the operational control and management control levels of court management. The operational control level utilizes event data to determine the next step in the case process and to schedule that event before the accepted time interval has passed. This level requires the direct involvement of the clerk of the court and the judge responsible for handling the individual case. The management control level is responsible for monitoring the pace of litigation to ensure satisfactory progress of each case. This level of management, which is the responsibility of the trial court administrator and the chief presiding judge, uses caseload processing time standards established by policy managers (supreme court or judicial council) as compliance or performance criteria when monitoring their court's case activities.

Therefore, two types of management reports are needed: The first lists the progress and the case status of each case as it moves through the process so that operational managers can schedule each case for the next step in the process as individual events are completed. This provides the operational court manager with the opportunity to monitor the case continuously and assist in its progress. The second type of management report lists those cases where accepted time limits have been exceeded and processing delay is occurring. (See Figure 10.) The management control managers use these reports to identify delinquent cases and to execute compliance to court policy by making the necessary adjustments to facilitate processing. The essential difference between the actions of the two levels of management is that the operational control level is responsible for monitoring daily case processing and needs more detailed information, while the management control level is applying the 'exception report' principle and becoming involved in the case process only when significant deviations from court time interval policies and expected caseload progress occur.

A substantial amount of literature on caseload management exists, but surprisingly, there is little agreement as to which

events in case processing are the most significant and which are secondary. However, in analyzing that literature, it becomes apparent that the specific events used for measurement by individual researchers were determined more by data availability than by meaningful choice. For example, in an evaluation of LEAA's court delay reduction programs, it was found that data from the selected sites were not complete or comparable enough to permit any consistent monitoring of time intervals between events, so gross lower court time and general jurisdiction court time to disposition were used rather than event interval measures.³

The COSCA CSIS Committee has developed a set of case events and processing intervals that it feels are significant for appellate courts to record. These events, which were included in the Model Annual Report publication, have been commonly accepted and have been incorporated into the model appellate caseflow data element lists given in Chapter IV. (This set of appellate event data is also incorporated into Model Output Reports 41 and 42 in Chapter VIII. Similar appellate event data are found in Examples 7, 8, and 9 in Appendix D.) In trial court case processing, the events are somewhat more numerous and there is less unanimity on the significance of each event in managing caseflow and reducing delay. In an attempt to solve this dilemma, COSCA recently formed a standing committee to develop and recommend time standards for case processing, based on common event data. In the interim, NCSP and SJIS staff, working with the COSCA CSIS Committee, have identified a list of events that has been incorporated in the model data element lists given in Chapter IV. This interim list was developed by analyzing and merging the recommended event lists gleaned from major caseflow management studies, a summary of which can be found in Appendix B.

In sum, the central theme that emerges from all caseflow management and delay studies is that the court must take control of its case processing by monitoring certain case events. These case event data provide management with the ability to control delay and to effectively schedule case processing in a coherent way, while at the same time complying with established standards and legislative or court policies governing case processing times.

Figure 10 below gives a listing of specific case-related output reports that can be used to support caseflow management. An expanded version of this figure appears at the end of Chapter IV, where it includes reference to the data levels involved and model reports contained in Part II of this manual.

³David W. Neubauer, Marcia J. Lipetz, Mary Lee Luskin, John Paul Ryan, Managing the Pace of Justice: An Evaluation of LEAA's Court Delay Reduction Programs (Washington, D.C.: National Institute of Justice, 1981), p. 18-19.

Figure 10: Specific management reports for caseflow management

General report category	Specific reports	Data reported
Caseflow management	Age of cases Pending At disposition Status of cases Age of cases at each event in case processing Time intervals between events in case processing Exceptions reports Current time lapse data compared to court standards Special action reports	By case type By judge By manner of disposition By case type By judge By case type By case type Mean, median, range By case type Age of cases By case type
Delay assessment	Disposition time measures Median time intervals between events in case processing Percentage of cases exceeding time standards Percentage of cases settled by trial Percentage of cases in which trials begun Number of defendants awaiting sentencing Number of juveniles awaiting court action	By case type By manner of disposition By case type By case type Trial begun on day scheduled; in 7 days; in 14 days
Performance measurement		

Performance measurement. Court policy should be accompanied by methods to measure compliance with policy and to evaluate the court's performance in meeting that policy. Likewise, court rules, procedures, and legislative mandates require some methods for establishing court compliance and for measuring the effect of that compliance on the court's performance. In order to assess the effect of recent changes in rules, procedures, or policy on court performance, it is necessary to first establish that the new process is being adhered to. Levels of compliance can be measured through

field observation, interviewing, and case-related data analysis and measurement. A primary reason for collecting and analyzing case-related data is to enable court managers to establish that existing rules, procedures, policies, and legislative mandates are being complied with and then to measure and evaluate court performance and efficiency in meeting those rules, procedures, policies, and laws.

The best way to measure the performance of a system or of a single process is to establish measurable standards for its performance and then to evaluate its actual outputs to determine if they comply with or are performed within the limits of the established standards. From this determination, it is possible to decide if and what actions are needed to enhance compliance, thus enabling the court to meet its goals while improving its operation.

Performance measurement activities cut across court organizational lines and support the evaluation and execution of several management tasks. Court planners evaluate the performance of existing processes to determine their compliance with court policy and recommend changes or innovations to top management that will further improve court efficiency. Middle managers (trial court administrators, presiding judges, etc.) are able to establish caseload processing standards and then to monitor actual court performance in meeting those standards. Operational managers are able to establish clerical case processing quotas and then to evaluate employees' performance in meeting those quotas. Case-related data can support and help evaluate financial and budgetary performance when they are used to compute unit/cost information that can be compared to expected unit cost results. Workload analysis reports indicate the daily, monthly, or yearly activity of a court or process. These reports can be compared to desired standards or efficiency levels so that adjustments can be made where necessary. Case-related data can be used to support performance measurement and evaluation activities of the personnel, financial, and logistical subsystem. They can be used to support caseload management activities, assess delay in case processing, evaluate process or personnel performance, and measure resource utilization. In addition, when used with caseload projections, performance data can be used to study the effects of continued performance at that level on the elimination of or the building up of case backlog or delay.

The type of case-related data that are used to evaluate policy compliance and system performance depends upon the specific management application being used. The collection and use of caseload management data, however, enables managers to perform the most in-depth data analysis and evaluation of a court's actual performance. The primary reason for this is that case event and time interval data, when combined with caseload inventory and manner of disposition data, provide the wealth of detailed time-specific information that is so necessary for effective performance measurement and determination of policy compliance. Since

performance measurement is concerned with individual and system outputs, the use of case event and time interval data enables the manager to identify interim outputs that can be compared with standard outputs or expectations for those particular parts of the process.

The types of management reports that should be generated by case-related subsystems to support performance measurement activities are caseload management, performance exception, resource utilization, performance indicator and evaluation, and workload analysis reports. These reports, if generated daily or weekly, assist the management and control level in monitoring and identifying system components that are not meeting expected performance standards and enable them to react accordingly. Summary analysis of these reports, prepared either monthly, semi-annually, or annually, are used by planners and researchers to identify system bottlenecks, and policymakers use annual summaries to evaluate system compliance to new rules and the effect of new policies on court processes.

Figure 11 gives a listing of specific case-related output reports that can be used to support performance measurement. An expanded version of this figure appears at the end of Chapter IV, where it includes reference to the data levels involved and model reports contained in Part II of this manual.

Public Information. The collecting, reporting, and publication of local and state court case-related data is required by state statute or constitutional provisions in each of the fifty United States. This, in and of itself, makes it necessary for state court and local officials to collect and report information on their caseload activity. However, the courts would be remiss if they did not take the opportunity to provide the public and external policy-making agencies with information that will generate support for the courts, while at the same time dispelling false notions about the operations and function of the court system.

Case-related data, when put in the proper narrative context through the use of information releases, monthly newsletters, special activity reports, and annual reports, can clearly identify the successes of the court system in processing its caseloads, reducing case backlogs, eliminating delay, adhering to recent legislation, or initiating necessary procedural or structural reforms. State court policy officers, and to a lesser extent local or regional court policy leaders, can use case data to generate support for court changes, to better inform the public of the actual operations of the court, and to educate court participants on their role and importance in case adjudication.

The types of case-related data that are needed for the public education, public relations, and information activities of the court encompass all three analytical data levels. Caseload inventory data are especially useful for inclusion in annual reports

Figure 11: Specific management reports for performance measurement

General report category	Specific reports	Data reported
Performance indicators	Jury trial utilization index	Percentage of guilty pleas, jury verdicts, court decisions
	Adjudications per judge	Cases filed, pending, continued, disposed, etc., per judge
	Activity per clerical employee	Number of cases indexed, scheduled, processed
		Number of summonses prepared, notices mailed, calendars prepared
Workload analysis		Time/days of courtroom usage
		Judge time spent
		Number of cases on docket, number heard, time in court
		Average number of cases by docket; average time in court
Cases that exceed court time standards	By case type	
	By court	
	By judge	
Performance evaluation	Number of trials concluded	By case type
	Number of appeals disposed	By manner of disposition (jury, non-jury)
	Number of events in case processing concluded	By case type
		By manner of disposition
Number of dispositions		Settlements, pretrial conferences, hearings, motions, sentences, other proceedings
Workload analysis		By case type
		By manner of disposition
		Judge time spent
		Judge time spent
		Nonjudicial personnel time spent
		By case type
		By cases disposed

and for forecasting local, regional, or state case activity growths. Caseload management data are especially useful for special news releases to identify courts in which dramatic reductions have

been made in case backlogs and processing times. Workload data, where available, can be used to support caseload inventory data reports to the legislature and other funding agencies. Such reports dramatize increasing demands on existing resources, thereby justifying requested increases in budgetary, logistical, and personnel resources. Caseload data are useful for educating the general public on the enormity of the case processing task facing the courts, while at the same time, caseload data will give the public an idea of how long it takes to process individual cases.

The importance of generating, through the case-related information subsystem, accurate, reliable, and timely data and publishing it for public and legislative consumption cannot be over-emphasized. The tendency of the public is to rely upon whatever data are available, regardless of the source. If those data are incorrect or incomplete, the court's image can suffer irrevocably. In this age of accountability, the true posture and activity of the courts should be readily available and reported in a manner that generates support for the state court systems, rather than be left to chance or media initiatives.

The types of reports produced by the case-related subsystem to meet the public information needs of the court should generally be brief, concise summary reports. They should be unencumbered with excessive detail and should emphasize one or two major points of importance. The reports should be accompanied by explanatory narrative, with graphics used for high visual impact.

Policy managers are generally involved with the release of news and information about the case activity of the courts. They also are the managers who provide legislative and other external policy-setting agencies with required case and activity reports. Management control and policy execution managers are usually involved with the establishment and execution of court education programs and the development of data for use by policymakers to justify resource requests. Operational court managers are generally responsible for providing individuals with specific information on particular cases and with informing and educating prospective participants on their role and importance in the case processing cycle.

National trend analysis. Case-related data are useful for identifying state, regional, and national trends in court activity and in litigation growth, for evaluating proposed procedural or legislative innovations, and for studying the effects of national legislation or state constitutional changes that will have an impact on the state court system. As discussed in the earlier section on forecasting, caseload, caseload, and workload data can all be used to project trends and to perform impact analyses.

There is great diversity, however, in the level and amount of case-related data collected and reported by the state court systems and an even greater variety of reporting periods,

definitions, and case categories used by the states when reporting these data. As a consequence, it is extremely difficult to collect complete and comparable caseload and workload data that can be used for national trend analysis, or caseload data other than the most basic caseload inventory data. In the State Court Model Statistical Dictionary, court caseload inventory is defined as consisting of "four uniform case counts that should be reported for each reporting period: beginning pending cases, new filings, dispositions, and end pending cases." These four data elements are considered basic case-related data elements throughout the country and can therefore be accumulated in a historical national data base, from which data for trend analysis can be drawn or derived. These four pieces of case data can provide researchers and planners with the basic information on the unfinished business of the court as well as increases or decreases in that business caused by growth or decline in case filings and growth or decline in case dispositions.

When accountability is being stressed, state-level policy and strategic planning managers need convincing and accurate state, regional, and national case-related data to justify and to support requests for the addition of new resources to local or state court budgets. In some states the need for comparative state-by-state and national caseload data has become even greater because of declining financial resources.

A national compilation of court case-related statistics can be used to identify and evaluate the effect of different procedural innovations or structural changes on the efficiency of the courts in those states where change has occurred. Comparative data enables court planners and managers to identify precisely which types of cases are clogging the courts and to devise strategies to deal with that particular problem. For example, if one state adds speedy trial rules or institutes no-fault insurance laws, the effectiveness of the reform can be noted by other states and they can then determine whether they want to implement similar rules or legislation. In other words, a national compilation of state court caseload statistics can help to identify court systems that are operating effectively and to inform other courts about successful programs or procedures. Data on current caseloads will also provide a benchmark from which to evaluate new programs and procedures. The existence of a national database of state court case inventory statistics encourages court research in much the same way that the availability of economic statistics encourages economic research. In a sense, "what is counted, counts" because more attention is focused on it. In essence, comparable case-related statistics are an invaluable tool for personnel responsible for state court management and planning, as well as for state and national legislators, researchers, media reporters, and the public, because they can be used to identify:

1. the total volume of state court cases in the country;

2. national trends in litigation and other court activities;
3. evolving caseload problems;
4. the effects of long-term programs and legislation;
5. court systems that are operating effectively so that, where applicable, successful programs and procedures can be identified and shared;
6. the impact on the courts of organizational, procedural, and structural changes in the states; and
7. the need for judicial personnel and resources.

The lack of nationally comparable state court caseload inventory data hinders the work of state, regional, and national strategic planning and policymakers. Therefore, the National Center for State Courts has developed a national data base of state court caseload statistics that consists of case inventory data from the years 1975 through 1978 as well as partial data for 1981 and 1982. The intervening years are currently being compiled. As more states adopt the model data elements recommended in this manual and the concomitant definitions in the model dictionary and then report their data using the Model Annual Report as a guide, the comparability, accuracy, and completeness of this data base will grow. This will enable policymakers and researchers to access a viable national data base to identify national trends, and then to forecast and analyze the impact of proposed legislation on the state and federal courts.

In a national context, prevalent national and isolated state court problems will become more readily apparent once this caseload inventory data base is firmly established. This will enable law-makers and court administrators to identify national caseload trends, along with regional and state variations, and to plan and to respond accordingly. The identification of such caseload trends is a precondition to effective resource allocation and utilization and to effective planning and evaluation of innovation where state court caseload activity is affected by federal court caseload activity. It is also a precondition to the eventual collection and compilation of an effective, complete, and comparable national data base of caseload or workload data.

Figure 12 gives a listing of specific case-related output reports that can be used to support national trend analysis. An expanded version of this figure appears at the end of Chapter IV, where it includes reference to the data levels involved and model reports contained in Part II of this manual.

Figure 12: Specific management reports for national trend analysis

General report category	Specific reports	Data reported
Caseload inventory	Case listing	Beginning pending, filed, disposed, end pending By case type
Manner of disposition	Aggregate court data	Population estimates, number of judges, judges by type, number of filings, filings by type, etc., can be compared to dispositions, jury trials, case types, etc.
	Active and disposed case listing by judge	Case inventory
	Active and disposed case listing by attorney	Manner of disposition
	Number of judgments entered during reporting period	Case inventory
	Arraignment lists-- summary and detailed	Manner of disposition
	Sentences imposed	By case type
	Reopened cases	By defendant
		By case type
		By judge
		By type of sentence
		By case type

Chapter IV

Model data elements

For every new court case, a case file is prepared by the clerk's office to create and maintain a permanent record of all the documents and information related to that case. This file is usually a public record (except for juvenile cases) and is accessible to all individuals, either parties to or those interested in the case. Court managers need to access information about the current status of each case in order for them to track, monitor, and control the progress of the case. It is cumbersome and time consuming, however, for operational and management control personnel to have to go to each case file to determine its current status or to determine where and when the next scheduled court activity is to take place. It is equally difficult and often impossible for court planners and policymakers to refer to individual case files when trying to gather composite, condensed, or summary case information with which to make resource allocations, forecasts, or performance evaluation decisions. These are two of the principal reasons for the development and maintenance of court management information systems.

When court managers are developing court information systems, the first task they perform is the conduct of an information requirements analysis. This analysis determines the specific case information required by court users and managers and the uses for which the data are intended. They then design the output and management reports that are to be generated by the new system to satisfy the information needs of the users. The final choice of data elements obviously depends on the number and type of management uses and reports that are desired, on the volume of cases processed by the court, on the needed responsiveness of the system required by the users, and on whether a manual or automated processing method is used to generate the reports.

Prior development of model case-related data elements

There have been several national and commercial efforts to develop a core set of case-related data elements that could be collected by all trial and appellate courts and that would satisfy the most basic and necessary case data requirements for court management information purposes. The impetus for developing model data element sets for reporting case information has come from several directions. At the request of the Law Enforcement Assistance Administration and with the support of several state court leaders, SEARCH Group, Inc., developed a set of data elements and included these in a series of publications describing the

modules that should make up a model state court information system. SEARCH later developed a similar set of data elements and listed them in a publication describing a model trial court information system.¹ INSLAW (while funded by LEAA) developed a set of operational and management control data elements for the courts segment of their New PROMIS system.² The National Council of Juvenile and Family Court Judges studied the operational and case management information needs of juvenile courts and developed and reported a general model data set for use in their JISRA model juvenile information system.³

A second impetus in generating interest in model case data element sets for state trial and appellate courts has been the steadily growing consensus among court managers that sharing experiences and expertise can lead to management efficiencies that are not possible if each court or court system operates in isolation. This attitude has led to statewide and regional efforts to develop similar court case information systems and has sparked the concepts of information and technology transfer. Since sharing and transferring court information system concepts, designs, and modules is much simplified if data elements and information requirements are similar, most court managers are seeking to identify some commonality among all court needs and users.

In point of fact, almost every research study that has analyzed or attempted to develop model court information systems and those that have studied caseload management have pointed out the importance of identifying what case data elements must be collected for court management purposes. The major drawback of many of these information system examples is that they proceeded on the assumption that if the court collected everything it could possibly use, court officials would have what they needed when they were ready to analyze data and produce management reports. Although this may be true theoretically, a surplus of data has proved to be an inhibiting

factor in bridging the chasm between collecting case data and using it to support management decisions. In addition, the excessively large number and type of unclassified data elements recommended in many of these studies require the use of sophisticated, integrated automated systems to collect and process the data in a timely manner and to generate the necessary output reports, which has also been an inhibiting factor in their adoption and implementation.

The impetus for developing the model trial and appellate court case data element sets given in this chapter and the model output reports presented in Part II of this manual has come directly from the state courts. The effort is based on a directive from the Conference of State Court Administrators to the National Court Statistics Project to compile at the National Center for State Courts a national data base of case-related court statistics. This effort, funded initially by LEAA and later by the Bureau of Justice Statistics, proved to be extremely difficult because each state uses its own set of case-related data elements, which often are undefined or vary in definition among the states. In an effort to correct that situation, a COSCA committee worked with National Center staff to identify and define an initial set of model data elements that can provide the necessary caseload information required by most state courts. The results of this effort were published by the National Center in the State Court Model Statistical Dictionary and the State Court Model Annual Report.

A second directive that led to the development of sets of model reporting forms and output reports for trial and appellate courts also came at the request of COSCA. They asked that the National Center, through the State Judicial Information Systems project, develop a set of model output reports built around the data elements defined in the Model Statistical Dictionary. They also requested that the NCSP and SJIS projects work with the COSCA advisory committee to expand the model data elements list to include caseload management data elements, and further that model reporting forms be identified and designed for use by trial court, appellate court, and state-level administrative office managers.

Finally, they requested that the model data sets, reporting forms, and output report sets be expandable so that users could incrementally add data sets and output reports as their information needs increased. This has the concomitant benefit of allowing a modular approach to court information systems development and allows for a transition from a summary manual reporting system to a case-by-case computer-based system. This manual is the direct result of these COSCA requests.

Analytical levels of the model data element sets

The included recommendations for model data elements approach the construct of the trial and appellate court data sets

¹See, SEARCH Group, Inc., Technical Report No. 12, SJIS State Judicial Information Systems Final Report (Phase I) (Sacramento: SEARCH Group, Inc.), 1975; Technical Report No. 17, SJIS State Judicial Information System Final Report (Phase II) (Sacramento: SEARCH Group, Inc.) 1976; Technical Report No. 31, SJIS State Judicial Information System Final Report (Phase III). Volume II: Topics of Data Utilization (Sacramento: SEARCH Group, Inc.) 1978.

²Institute for Law and Social Research, PROMIS for the Courts: A New Computerized Information System for Management of the Court (Washington: The Institute, 1979).

³Boxerman, Lawrence A., Juvenile Justice Information Systems: 1, 2, 3: A National Model (Reno: National Council of Juvenile and Family Court Judges, 1977).

from the following two perspectives. First, the model data sets contain only the most essential case-related data elements that are necessary for efficient case reporting and management control. Each set is organized in such a way that any court manager can easily add subheadings to each of the major data categories where that court's information needs demand a finer level of detail than that presented here.

Second, both the trial and appellate court data sets are organized into three analytical data levels--caseload, caseflow, and workload--according to the type and function of the data being collected. Each of these three analytical data levels is, in turn, broken down into three levels of complexity. These three subgroupings within each analytical level--illustrated in Figure 13--reflect the minimum, intermediate, and maximum data elements recommended by the National Center and the Conference of State Court Administrators for that particular analytical data level.

The first general analytical data level (Level 1) is designed to tell how many cases are processed by a court during a specified period. The volume or caseload statistics analyzed at Level 1 are used to support public information requirements of the courts, long-range forecasting, and national trend analysis, and for allocating resources.

The second general analytical data level (Level 2) is designed to tell what cases are being processed by the court, how long it takes to process the cases, and at what stage of processing each case may be found. This type of analytical data is useful for scheduling, monitoring, and controlling case activity and progress, as well as for measuring case times and volumes.

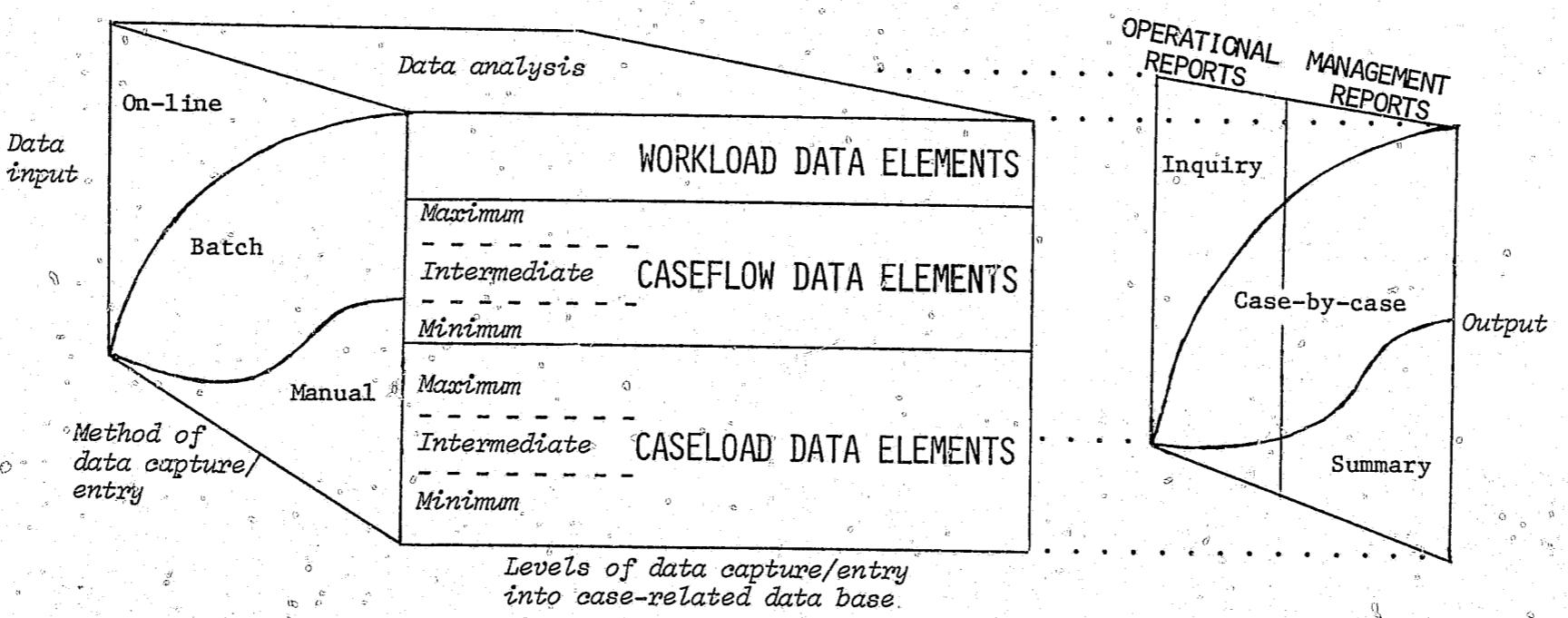
The third general analytical data level (Level 3) is designed to tell how much time and effort are needed to process cases and who processes the cases. This type of analytical data is useful for research and planning efforts, resource allocation, and performance measurement.

This approach to constructing the trial and appellate court model data sets provides greater flexibility and expandability than any previously developed or recommended model. While this approach indicates to the court manager the minimum required data set, it also gives incremental options that can be adopted in whole or in part. It is hoped that the flexibility of this approach will lead more readily to adoption of the model data sets by the state trial and appellate courts, resulting in greater comparability of state court data.

Recommended model data sets

The National Center and the Conference of State Court Administrators recommend that all state trial and appellate courts

Figure 13: Court information system: Case-related data base



collect case-related information using the following four model data sets as building blocks:

1. People indicators: Levels 1-3
2. Caseload data elements for caseload management and resource allocation: Level 1
3. Caseflow data elements for caseflow management and resource allocation: Level 2
4. Workload data elements for resource allocation and performance measurement: Level 3

People indicators. A case file contains the names of all of the people involved in the particular case. In reporting case statistics, each court has to decide which people's names are important to record.

Even the simplest reporting systems should keep track of the number of defendants involved in criminal cases. The COSCA committee determined that filings should be counted as "the number of documents filed to commence cases in order to establish a uniform unit for counting cases." The number of charging documents may differ from the number of defendants involved. Therefore, if a court wants a truer account of its work activity during a particular reporting period, it must also keep track of the number of defendants involved in criminal, traffic, and juvenile cases.

Likewise, to have an accurate inventory disposition count, the number of defendants whose cases are disposed in criminal, traffic, and juvenile cases should be recorded along with the actual number of cases disposed. This gives the court a better idea of the volume of its work, and counting people in this manner is consistent with analytical Level 1 data characteristics.

Additional people indicators must be agreed upon and collected by the information system. To assist in Level 2 and 3 data analysis, there are at least five individuals who are involved in every case and whose names must be identified in every case record. They are: the plaintiff, the plaintiff's attorney, the defendant, the defendant's attorney, and the judge assigned to the case. Other individuals may also be included in the people indicators data set at the discretion of the court's management.

Caseload inventory. It is recommended that the minimum set of data elements collected and reported by a court consist of what is commonly referred to as caseload inventory data. The number of cases filed and disposed of in a reporting period are clearly included in this data set, but the court also needs to know how many cases were pending at the beginning of any reporting period and how many were pending at the end of the same reporting period in order to compare court performance from reporting period to reporting period. It is recommended, therefore, that the court caseload inventory data set in both appellate courts and trial courts include beginning pending cases, filed cases, disposed cases, and end pending cases. Caseload inventory data are the most basic analytical Level 1 type of data.

Caseload management. Caseload management data is defined as consisting of caseload data categorized and counted by case type and manner of disposition. When combined with basic caseload inventory data, these elements complete the analytical Level 1 Model Data Element Set. These data provide the basis for output reports at both the local and state level that show caseload inventories broken down by case types and manner of disposition for a specified reporting period. Management reports based on these data can be used to support resource allocation and caseload forecasting, as well as planning and research activities at both the local and state level. These data are also used for general public information on court activity and in national trend analysis.

Caseflow management. Caseflow management data consists of case event data on each specific case processed by the court and makes it possible to compute time intervals between the occurrence of selected case events. Caseflow management data elements constitute the analytical Level 2 Model Data Element Set. These data elements (event tracking and time interval computation), when combined with analytical Level 1 caseload management data elements, can generate output reports that are used to measure the pace of litigation by case type and to establish standards for case processing, as well as to monitor actual case processing and compare it to the standard. Caseflow management can be used to forecast court delay at the local and state levels as well as to set schedules and assign cases.

Workload and performance measurement. Workload and performance measurement data are defined as consisting of data on actual judicial and nonjudicial time spent on case processing and the tracking and recording of events that are not caseload- or caseflow-related. This data category also includes performance measurement and activity analysis data (see Figure 16 at the end of this chapter). It is used for resource allocation, utilization, and evaluation studies. Workload and performance measurement data elements constitute analytical Level 3 data elements. Management output reports from this data category are also used to perform impact analysis studies and to forecast future resource needs.

The three analytical levels of data derive logically from the natural sequence in which courts collect case information and normally expand their data collection efforts. Caseload inventory and management data are the first data collected and analyzed by the court. These data can be collected manually, are easily summarized or aggregated, and caseload inventory and management reports have traditionally been used as the primary basis for allocating court resources.

Caseflow management data usually require a more sophisticated data collection system and an ability to capture information on individual cases. The ideal is a case-by-case reporting system, which requires automation in order to record the status of all pending cases and to do extensive analysis of time

intervals between events in total caseload. It is, however, possible to capture some caseflow data with card indexes or by sampling cases in a manual reporting system, but the effort and resources required are substantially greater than those needed for reporting only summary caseload information. For this reason, as case volumes grow and as courts move from caseload to caseflow data collection efforts, it becomes important for them to examine the cost and benefits of automating their case information collection practices.

The third level (workload data on judge and nonjudicial time spent in case processing and events other than caseload) requires an additional set of data elements, which cannot be collected, processed, and analyzed economically without automation, except by sampling. Collection at this level should be attempted only by courts that have sufficient resources to make good use of the additional information that is made available to them. Because this capability is beyond all but the largest metropolitan courts, model elements are not shown and the treatment of Level 3 in this manual, found in Chapter X, is descriptive rather than definitive.

Remember, at each analytical data level the complexity of the data elements needed to collect the information necessary to produce the desired output reports can vary considerably. In this manual the data elements are separated into three levels of complexity: the minimum data elements that are absolutely essential for meaningful statistics of any kind, an intermediate number of data elements recommended to be used by a typical trial or appellate court, and a maximum set of data elements that would be used by a large metropolitan trial court or a court that has a sophisticated data collection system. All of the output reports can be prepared using any of the three levels, but the quality of the analysis will be much more restricted with the minimum set than with the intermediate set.

Only the intermediate set of data elements is displayed on the data collection forms and the output reports in this manual. This is done to avoid unnecessary repetition of the model input and output forms. The reader should understand that either the minimum set of data elements or the maximum set can be substituted on any of the data collection forms or on any of the output reports in place of the intermediate set displayed there.

We believe that presentation of sets of the model data elements at the three different levels of complexity should make it easier for the court manager to examine his reporting system and to establish priorities to determine what information he needs to collect and to identify data elements that are not essential. He will also be able to look at the recommended data elements his court does not collect and evaluate both their potential usefulness and the cost of collecting them before deciding to add them to his reporting system.

In order to do good statistical and sociological analyses of case-related data, court managers will need additional data sets from other functional subsystems, such as defendant data, personnel data, financial data, facilities data, support unit data--which are not presented in this manual.

Level 1. Caseload management

Data elements. The model data elements for caseload management were developed by NCSP and the COSCA Committee in 1978 and 1979 and published in the State Court Model Statistical Dictionary and State Court Model Annual Report. The model data elements are separated into appellate court cases and trial court cases. The recommended court case types and manners of disposition are shown in Figure 14.

Figure 14: Model data elements for case types and manner of disposition

Case types. The model data elements for case types are separated into appellate court cases and trial court cases. The recommended appellate court case types are as follows:

<u>Minimum data elements</u>	<u>Intermediate data elements</u>	<u>Maximum data elements</u>
Request to appeal	Request to appeal Civil case request to appeal Criminal case request to appeal	Request to appeal Civil case request to appeal (by subject matter of case; see civil case)
	Postconviction remedy case request to appeal Request to appeal of administrative agency case Juvenile case request to appeal	Criminal case request to appeal (by subject matter of case; see criminal case)
	Sentence review only case Appeal case	Postconviction remedy case request to appeal Request to appeal of administrative agency case Juvenile case request to appeal (by subject matter of case; see juvenile case)
Original proceeding case	Sentence review only case Appeal case Civil case appeal Criminal case appeal Postconviction remedy case Appeal of administrative agency case Juvenile case appeal	Sentence review only case Appeal case Civil case appeal (by subject matter of case) Criminal case appeal (by subject matter of case) Postconviction remedy case Appeal of administrative agency case Juvenile case appeal (by subject matter of case)
	Original jurisdiction case Disciplinary matter Advisory opinion	Original proceeding case Original jurisdiction case Disciplinary matter Advisory opinion case

(continued)

CONTINUED

1 OF 4

Figure 14. (continued)

The recommended models for trial court cases are separated into four categories--civil, criminal, traffic, and juvenile--and are as follows:

<u>Minimum data elements</u>	<u>Intermediate data elements</u>	<u>Maximum data elements</u>
Civil case	Civil case Tort case	Civil case Tort case Auto tort case Professional tort case Product liability tort case Other tort case
	Contract case	Contract case
	Real property rights	Real property rights case
	Small claims case	Small claims case
	Domestic relations case	Domestic relations case Marriage dissolution case Support/custody case Adoption case Other domestic relations case
	Mental health case	Mental health case
Estate case	Estate case	Probate/wills/intestate case Guardianship/conservatorship/ trusteeship case Other estate case
	Appeal case	Appeal case Appeal of administrative agency case
	Extraordinary writ case	Appeal of trial court case Extraordinary writ case
	Other civil case	Postconviction remedy case Other civil case
Criminal case	Criminal case	Criminal case [subcategories for criminal cases have not been included because other classification schemes, such as the FBI's Uniform Crime Reports, are already available]
	Felony case	Felony case (Subheadings appropriate to your jurisdiction)
	Misdemeanor case	Misdemeanor case (Subheadings appropriate to your jurisdiction)
	Preliminary hearing	Preliminary hearing (limited jurisdiction court only)
	Ordinance (non-traffic) violation case	Ordinance (non-traffic) violation case
	Appeal case	Appeal case Appeal of trial court case
	Extraordinary writ case	Extraordinary writ case
	Postconviction remedy	Postconviction remedy case
	Sentence review only	Sentence review only case
	Other criminal case	Other criminal case
Traffic Case*	Traffic Case DWI/DUI case	Traffic Case (Wisconsin case types) DWI/DUI case
	Moving traffic violation	Moving traffic violation--contested --uncontested
	Contested	Hit and run
	Uncontested	Operating after revocation or suspension
	Parking violation case	Reckless driving
	Contested	Speeding
	Uncontested	Fleeing and eluding
	Other traffic violation	Other rules of the road (moving violations)
	Contested	Other (equipment violations, registration, etc.)
	Uncontested	Parking violation--contested --uncontested
		Other traffic violation--contested --uncontested

(continued)

Figure 14: (continued)

Juvenile case	Juvenile case	Juvenile case
	Criminal-type offender	Criminal-type offender case (Subheadings appropriate to your jurisdiction)
	Status offender	Status offender case (Subheadings appropriate to your jurisdiction)
	Non-offender	Non-offender case (Subheadings appropriate to your jurisdiction)
	Other juvenile matters	Other juvenile matters

Comment: Traffic cases* have been separated from criminal cases because their numbers are very large and the way in which they are processed is generally very different from the processing of other criminal cases.

The ABA Committee on Traffic Court Reform, Standards for Traffic Justice (ABA, 1974) recommends this:

Section 2.6--Separation of Traffic Cases. Traffic cases should be treated apart from other court business, and traffic sessions or divisions should be established wherever the caseload is sufficient.

Commentary: Separation of traffic cases reduces waiting time, permits use of opening remarks for education about available constitutional safeguards, hearing procedures and traffic safety goals, and facilitates case processing. Periodic, regular assignment to traffic court allows a judge to develop expertise and a consistent policy of educational penalization.

Manner of disposition. Terminology for reporting the manner of disposition was chosen to include the kinds of information that are useful for court management purposes, such as the procedural manner in which cases are disposed, the significant judicial decisions, and a tally of the outcomes--by type of outcome--for defendants in criminal cases and traffic cases.

The manner of disposition for appellate court cases outlined below permits a count of the important ways of issuing appellate court decisions, with a case count to be reported under the types of decision in each category. The distinction should be made in the manner of disposition of appellate cases, whenever possible, between cases that are civil or criminal.

<u>Minimum data elements</u>	<u>Intermediate data elements</u>	<u>Maximum data elements</u>
Opinion	Opinion	Opinion
	Other decision	Affirmed Modified Reversed Reversed and remanded Remanded
		Granted/denied Memorandum decision Other decision
		Affirmed Modified Reversed Reversed and remanded Remanded
		Granted/denied Order (decision without opinion) Other decision
		Affirmed Modified Reversed Reversed and remanded Remanded
		Granted/denied Dismissed/withdrawn/ settled
	Dismissed/withdrawn/ settled	Dismissed/withdrawn/ settled Transferred Other manner of disposition
	Other manner of disposition	Other manner of disposition

(continued)

Figure 14: (continued)

In the manner of disposition scheme for trial court cases following, a case count should be reported under civil case manner of disposition. Criminal case manner of disposition and traffic case manner of disposition provide for a count of trials and a count of defendant dispositions.

Minimum data elements	Intermediate data elements	Maximum data elements
Civil case manner of disposition	Civil case manner of disposition	Civil case manner of disposition
Jury trial	Jury trial	Jury trial Found for defendant Found for plaintiff Dismissed
Non-jury trial	Non-jury trial	Non-jury trial Found for defendant Found for plaintiff Dismissed
Dismissed/withdrawn/settled (before trial)	Uncontested/default Dismissed/withdrawn/settled (before trial) Transferred	Uncontested/default Dismissed/withdrawn/settled (before trial) Transferred (before/during trial)
Other manner of disposition	Arbitration Other manner of disposition	Arbitration Other manner of disposition
Criminal case manner of disposition	Criminal case manner of disposition	Criminal case manner of disposition
Jury trial	Jury trial Conviction Acquittal	Jury trial Conviction Guilty plea Acquittal Dismissed by judge Dismissed by prosecutor
Non-jury trial	Non-jury trial Conviction Acquittal	Non-jury trial Conviction Guilty plea Acquittal Dismissed by judge Dismissed by prosecutor
Dismissed/nolle prosequi (before trial)	Dismissed/nolle prosequi (before trial) Bound over Transferred Diverted Guilty plea (before trial) Bail forfeiture Other manner of disposition	Dismissed (before trial) Nolle prosequi Bound over Transferred (before/during trial) Diverted Guilty plea (before trial) Bail forfeiture Other manner of disposition
Other manner of disposition		
Traffic case manner of disposition	Traffic case manner of disposition	Traffic case manner of disposition
Jury trial	Jury trial	Jury trial Conviction Guilty plea Acquittal Dismissed
Non-jury trial	Non-jury trial	Non-jury trial Conviction Guilty plea Acquittal Dismissed
Dismissed/nolle prosequi (before trial)	Transferred Diverted Guilty plea (before trial) Bail forfeiture Dismissed/nolle prosequi (before trial) Parking fine Other manner of disposition	Transferred (before/during trial) Diverted Guilty plea (before trial) Bail forfeiture Dismissed/nolle prosequi (before trial) Uncontested parking fine paid Other manner of disposition
Other manner of disposition		

(continued)

Figure 14: (continued)

The scheme above provides for an accounting of the manner of disposition in all cases except juvenile. Because the handling of juvenile cases in the state trial courts was in a transition status, no manner of disposition scheme was included in the earlier model.

The following juvenile disposition categories, taken from JISRA (Juvenile Information System and Records Access) have been adopted by the COSCA Committee for use at this time.

Minimum data elements	Intermediate data elements	Maximum data elements
Petition denied	Petition denied Petition withdrawn Matter dismissed Transferred (waived) to adult court Transferred to other jurisdiction	Petition denied Petition withdrawn Matter dismissed Transferred (waived) to adult court Transferred to other jurisdiction
Petition granted (adjudication hearing)	Diverted Petition granted (adjudication hearing)	Diverted Petition granted (adjudication hearing)
Other	Other	Other

Comment: National Center staff will coordinate with JISRA staff at the National Council of Juvenile and Family Court Judges in defining the model juvenile data elements.

Level 2. Caseflow management

The basis for caseflow management is the sequence of events in a case as it progresses from filing to disposition. The model data elements for caseflow management of appellate court case events are in the Model Statistical Dictionary. The model for trial court case events was chosen in 1982 under the guidance of the COSCA Court Statistics and Information Systems Committee, and will be added to the State Court Model Statistical Dictionary when it is revised in 1983. (A survey of events in case processing from a number of caseflow management studies is found in Appendix B.)

Figure 15: Model data elements for events in case processing

The basis for casflow management is the sequence of events in a case as it progresses from filing to disposition. The model data elements for casflow management of appellate court case events are in the Model Statistical Dictionary. The model for trial court case events was chosen in 1982 under the guidance of the COSCA Court Statistics and Information Systems Committee, and will be added to the State Court Model Statistical Dictionary when it is revised in 1983. (A survey of events in case processing from a number of casflow management studies is found in Appendix B.)

Events in case processing. For appellate court cases, the model data elements for event processing are as follows:

<u>Minimum data elements</u>	<u>Intermediate data elements</u>	<u>Maximum data elements</u>
Date of filing of notice of appeal	Date of filing of notice of appeal	Date of first filing in trial court Date of filing of notice of appeal Date court reporter's transcript ordered Extensions granted to court reporters Date court reporter's transcript received Date record received Date record received Date appellant's brief received Date respondent's brief received Date respondent's brief received Date ready for oral argument or submission Date under advisement (date of oral argument or submission)
Date of decision (disposition)	Date of decision (disposition)	Date under advisement (date of oral argument or submission) Request for en banc hearing Request for en banc hearing or rehearing or rehearing
		Date of decision (disposition) Request for en banc hearing or rehearing or rehearing

For trial court cases, the model data elements for events in case processing, separated according to civil, criminal, traffic, and juvenile cases, are as follows:

<u>Minimum data elements</u>	<u>Intermediate data elements</u>	<u>Maximum data elements</u>
Civil cases: Date of filing	Civil cases: Date of filing Date first answer filed	Civil cases: Date of filing Date first answer filed Date case put on alternative track (mediation, arbitration) Date of completion of discovery Date of first pretrial conference Date of pretrial order (certificate of readiness, note of issue) Dates of filing of motion(s) First scheduled trial date (number of continuances) Date trial commenced Date trial concluded Date judgment entered Date of disposition Date of motion for a new trial (appeal)
Date of disposition	Date of disposition	

(continued)

Figures 15 (continued)

<u>Criminal cases and traffic cases:</u>	<u>Criminal cases and traffic cases:</u>	<u>Criminal cases and traffic cases [except for parking violations]</u>
Date of filing	Date of filing of complaint	Date of filing of complaint
	Date of arrest	Date of arrest
	Date of arraignment (lower court)	Date of arraignment (lower court)
	Date of diversion	Date of diversion
	Date of preliminary hearing	Date of preliminary hearing
	Date of indictment (or information)	Date of indictment (or information)
	Date of arraignment (upper court)	Date of arraignment (upper court)
	Date of conferences	Date of conferences
	Date(s) of motions (pretrial)	Date(s) of motions (pretrial)
	First scheduled trial date (number of continuances)	First scheduled trial date (number of continuances)
	Date trial commenced	Date trial commenced
	Date of disposition	Date of disposition
	Juvenile cases: Date petition filed	Juvenile cases: Date petition filed
	Date(s) of hearings (first, second, etc.)	Date(s) of hearings (first, second, etc.)
	Date of adjudication/disposition hearing	Date of adjudication/disposition hearing
		Juvenile cases: Date petition filed Date defendant taken into custody Receipt of referral Date of intake decision Date(s) of hearings (first, second hearing, etc.) Date of interim disposition (pretrial or predisposition diversion) Date of adjudication/disposition hearing Date and type of services provided Date of termination

Level 3. Workload measures

Model data elements for Level 3--workload--have not been chosen yet nor have any model input forms or output reports been prepared. A descriptive treatment of workload appears in Chapter X.

Summary

In order to relate the discussion of the management uses of court information system data found in Chapter III to the analytical levels of data collection discussed in this chapter as well as the model output reports in Part II, Figure 16 following presents a summary of the specific kinds of management reports needed for each general management use along with the kinds of data required. The Figure also relates the specific reports to the actual models or examples found in Part II of this manual.

Figure 16: A summary of specific management reports and the kinds of data required

General report category	Trial court level	Analytical models in Part II	Appellate court models in Part II	AOC examples in Appendix D	Specific reports	Data reported
Caseload inventory	1	7	32	2, 4	Case listing	Beginning pending, filed, disposed, end pending By case type Population estimates, number of judges, judges by type, number of filings, filings by type, etc., can be compared to dispositions, jury trials, case types, etc.
	8	33	23, 24	25		
	9	34	25			
	10	35	3		Manner of disposition	
	11	36	5		Aggregate court data	
	12	37	6			
	13	38	12			
	14	39	15			
	15	40	16			
	16		17			
	17		19			
	18		20			
	19		26			
			13, 24, 27		Case inventory listing by judge	
			14		Case inventory listing by attorney	
					Number of judgments entered during reporting period	
					Arraignment lists—summary and detailed	
					Sentences imposed	
					Reopened cases	
					Determination of need for judges	
Resource allocation reports	1, 2, 3	7	32	13		Population per judge per case type
	8	33	14		Population/circuit density	
	9	34	15		Case filings per judge	
	10	35	16		Dispositions per judge	
	11	36	2		Pendings per judge	
	14	37	3		Number of attorneys per judge	
	15	38	1		Current rate of growth of filings, dispositions, pendings	
	16	39			Current year number of filings per judge, etc.	
	17	40			Current year backlog, in working days	
	19		3		Usage rate of court-rooms, judges, etc.	
	13		4		By case type	
			5		By manner of disposition (jury, non-jury, etc.)	
			6		By case type	
			12			
			28			
			29			
	12, 18		1, 25		Daily docket report	
					Trials concluded by judges	
					Trial concluded by magistrates, part-time judges, retired judges, etc.	
Caseflow management	2				Age of cases	
	20	41	18		Pending	
	21, 22	43	7, 31, 32		At disposition	
	23		28		Status of cases	
			42		Age of cases at each event in case processing	
			8		By case type	
			9		By judge	
	26	44	8, 9		By manner of disposition	
			11, 13		By case type	
	25, 27	45			By judge	
			10		By case type	
					Time intervals between events in case processing	
					Mean, median, range	
					Exception reports	
					By case type	
					Current time lapse data compared to court standards	
					By age of cases	
					Special action reports	
					By case type	
			21			
			22			
			34			
			35			

(continued)

Figure 16 (continued)

General report category	Analytical level	Trial court models in Part II	Appellate court models in Part II	AOC examples in Appendix D	Specific reports	Data reported
Delay assessment/age and status of cases reports	2	26	44	7	Disposition time measures	Time intervals between events in case processing
				8		Median time intervals between events in case processing
				9		By case type
				10		
				11		
			27	45		
				12		
Performance indicators	1, 2, 3			1	Jury trial utilization index	Percentage of guilty pleas, jury verdicts, court decisions
				13	Adjudications per judge	Cases filed, pending, continued, etc., per judge
					Activity per clerical employee	Number of cases indexed, scheduled, processed
					Workload analysis	Number of summonses prepared, notices mailed, calendars prepared
				33		Time/days of courtroom usage
				34		Judge time spent
				35		Number of cases on docket, number heard, time in court
				36		Average number of cases by docket; average time in court
				37		By case type
				38		By court
				39		By judge
			27	45	Cases that exceed court time standards	By case type
					Sentence disparity	By length of sentence
						By number of offenses
Performance evaluation	2, 3		11		Number of trials concluded	By case type
				33	3, 6	By manner of disposition (jury, non-jury)
				34		By case type
				35		By manner of disposition
				36		Settlements, pretrial conferences, hearings, motions, sentences, other proceedings
			11	33	3, 5	By case type
				4, 5	Number of dispositions	By manner of disposition
					Workload analysis	Judge time spent
						Nonjudicial personnel time spent
						By case type
						By cases disposed

(continued)

Figure 16 (continued)

General report category	Analytical level	Trial court models in Part II	Appellate court models in Part II	AOC examples in Appendix D	Specific reports	Data reported
Workload analysis	2, 3				Continuance analysis Offense analysis Caseflow analysis	Number of cases scheduled that were continued, by case type, per judge By case type By case inventory By manner of disposition Number of cases set for trial that go off the calendar Number of dismissals filed by plaintiff, defendant Number of judgments satisfied, by time period Number of cases scheduled, tried, disposed, by time period, by case type Number of defaults, pleas, by case type Number of motions, hearings, etc., by time period, by judge, by case type
	21					
	22					
	33					
	34					
	35					
	36					
	37					
	38					
	39					

Chapter V

Factors to consider in planning methods and procedures for collecting case-related data

Change to a court's case management information system should never be instituted unless necessary. Trial, appellate, and state administrative managers bear the responsibility for establishing the policy and direction of all the court's activities. The development, implementation, and management of the court case management system is no exception. All court leaders should participate in the development of an expressed philosophy that includes, at a minimum, a statement of purpose for a court information system (be it manual or automated), the identification of the court's information and reporting requirements, an explanation of the organizational relationship within and between court levels and court managers (administrators, judges, clerks), an indication of the process by which the court information system is expected to meet the objectives of the court, and a set of basic guidelines for the implementation, day-to-day operation, and management of the court information system. If this approach to court management is followed, managers are better able to recognize the need for change and respond to that need.

When individual or state-level court efficiency lags, the responsible court managers recognize that a problem exists. Normally, the court manager is able to identify the court's needs, analyze the problems, and issue the necessary revised procedures to operating personnel without making major changes. Some problems, however, grow worse, regardless of the short-term solutions proposed by management. The more complex problems become apparent when long-standing needs for case management information go unfilled. When enough of these problems exist and their solutions are not readily apparent, the court manager should undertake an evaluation of the current needs of the court and determine whether alternative techniques for managing information--either new or enhanced manual data collection procedures, or a major change to an automated system--will solve the problems. No court manager should begin to automate his court without first conducting a thorough systems study. Through careful analysis of the court's information flow--where information comes from, who needs it, what is done with it, what happens because of it, and how it is collected, processed, and analyzed--the proper system (whether manual or automated) can be developed to meet the court's needs.

Since this manual deals with data collection and analysis, this chapter presents an overview of the methods by which trial and appellate court case-related data can be collected; the level of

automation required to process and analyze caseload, caseflow, and workload data to produce operational, management, and planning reports; and the relationship of the level of automation to data collection, analysis, and reporting requirements.

Different methods of data collection

The method by which trial and appellate court information is gathered depends on the nature of the data to be collected and the types of analysis to be performed, as well as on the structure of the court system and the level of automation being used. There are two basic data collection techniques: (1) summary or aggregate reporting and (2) case-by-case reporting.

Data collection methods and procedures for producing output reports

Summary reporting. Summary statistics of local court data are obtained by tallying cases as they are filed and disposed and compiling aggregate courtwide caseload statistics.

The main advantage of summary reporting is its simplicity and relative low cost to the trial court, appellate court, and state-level administrative offices. It is a good system for those states that need or desire only basic caseload inventory data—case filings, case dispositions, manner of filings, type of disposition, and number of pending cases.

The inventory is much as the name implies. Each month a clerk goes through all active cases, usually by examining the court'socket book to count all filings/dispositions/pending cases for the month. Some courts, however, have developed tally sheets for keeping track of cases as they are filed and disposed. (Model Input Form 1 in Chapter VII is an example.) Tally sheets have the advantage that the recording is spread over the entire month and is done in conjunction with the case processing event, which provides somewhat greater accuracy in the figures. It also gives the court an idea of current case activity.

Case tracking cards are used very much in the same fashion as the log sheets. At case filing a card is completed for each case. This card is then filed according to the current case event, so that at the end of each month the clerk has only to go to the card file to count the number of cases filed under each category to complete the monthly statistical report. The use of either tally/log sheets or case tracking cards for preparation of monthly summary forms permits the capture of some aggregated age-of-cases information for use by the court as a by-product of the statistical gathering operation.

Summary data have several disadvantages: They usually do not provide enough information on which to base many day-to-day case management decisions, such as judicial or non-judicial personnel

assignments. It is difficult to monitor status of cases, nor can summary data be used to identify those cases that need immediate attention because of their age. Consequently, such systems are inadequate for evaluating the success of speedy trial programs because they do not provide enough information on which to base day-to-day case management decisions, nor are they adequate for court managers responsible for day-to-day operations. Another drawback to the use of summary reports is that the additional time required by court personnel to compile summary statistics makes this method of reporting time-consuming and expensive for court clerks. Often summary reports require a complete census of the court's entire active caseload each month.

Summary reporting is, however, the only method available in those states where the state-level administrative office, local trial courts, and appellate courts do not have at least some level of automated data processing capability. Although summary statistics can also be obtained in an automated system, individual case reports, case monitoring, and delay assessment data cannot be produced from summary statistics alone. Once more sophisticated data are desired, computerization is almost mandatory. There are, however, several examples of states, including New Jersey and California, where fairly sophisticated statistics are reported through summary data.

Case-by-case reporting. As increasing attention is devoted to case management and delay assessment and reduction, the trend has been toward reporting case-related statistics on a case-by-case basis. Case-by-case reporting is more flexible than summary reporting in that it allows for the production of greater amounts/types of information. There are basically two ways in which courts can report case information on individual cases: (1) through the use of individual case reporting forms, and (2) through direct data entry into a computer. The methods are similar in that the case processing information is recorded on the reporting form or CRT and sent to the appropriate local or state administrative manager for compilation and use. In addition to providing the basic caseload inventory statistics, case-by-case reports permit both the local court and the state administrative office to compute age of pending cases, time to disposition data, average time to disposition, exception reports, and time interval reports. Individual case-by-case reporting "is ideal for analytical purposes because it permits a central office the flexibility to generate statistics in a wider variety of formats."¹.

Although some of this information, such as age-of-cases data, can be obtained through aggregate case reporting, it is time-consuming to compile and requires that the clerk of the court manually tabulate it. Through automation, case-by-case information

¹National Court Statistics Project, State Court Caseload Statistics: State of the Art (Williamsburg, Va.: National Center for State Courts, 1978), p. 82.

can be analyzed and many different types of management control and planning reports can be generated without further clerical involvement.

Types of case-by-case reporting forms

There are three types of manually generated case-by-case reporting forms that can be used to collect case-related data: (1) multiple case filing/disposition log sheets, (2) individual case filing/disposition cards, and (3) multi-part forms.

Multiple case filing/case disposition log sheets. All cases filed or disposed for the day are entered onto one log sheet. (Model Input Forms 3A and 3B in Chapter VII and 29A and 29B in Chapter VIII are examples.) Date of filing and date of disposition are included, as well as the manner of disposition. Event and interval reporting are difficult to gather using this technique.

These sheets are quite similar to the tally sheets used by some clerks to compile summary statistics, although the amount of information being requested is greater. Data from the log sheets may be batch entered into a computer either, locally or at the AOC. These data have a tendency to become dated because of their aggregated nature. This technique also is limited in the amount of data that can be collected without placing an undue burden on clerical staff. Log sheets are used by a number of states, including Arkansas, Colorado, Idaho, Illinois, Maryland, Missouri, North Carolina, and Texas.

Individual case filing/disposition cards. At case initiation, the clerk completes the case initiation portion of the card as a separate step. (Model Input Forms 2 and 28 are examples.) The card can then be kept in an index file behind dividers for each event in case processing. If it is moved after each event occurs, a manual count can be made periodically of the number of cases waiting in queue at each event. The disposition card is filled in at the appropriate time and provides disposition statistics. Summary counts can also be made of the age of cases at disposition. Copies of the cards may also be sent to a local computer or to the AOC for batch entry into a computer.

Like any method of manually recording case-by-case data on a reporting form, one disadvantage is the chance for error to occur in the preparation of the form or at the time of batch data entry because information is recorded twice. As a court's case volume increases, these procedures can become an unmanageable burden on clerical staff. States using this type of form include Kentucky, Nebraska, Tennessee, Wisconsin, and Puerto Rico.

Multi-part forms. These are used exclusively with automated information systems. (Model Input Forms 5 and 30 are examples.) The individual case information sheet is one part of a multi-part

case processing form that is usually designed to be an integral part of case processing. Multi-part forms can provide individual case filing, manner of disposition, and event processing data during the life of the case so that it is possible to track active cases, determine delay, and develop time series information.

These forms have an advantage in that they have the potential for being integrated into case processing; completion of the statistical information can be a by-product of one of the case processing steps, such as docketing or indexing. Because it is multi-part, the clerk does not have to complete the same information more than once, thus saving considerable time and reducing the opportunity for clerical recording errors and for data entry error. The initial filing information is batch entered into a local trial or appellate court computer or it is mailed or electronically transferred to the AOC on a periodic basis, where it is encoded and/or entered into the computer for storage in the case-related data base. At disposition the clerk completes the disposition sheet which is then sent to the data processing facility, where it too is encoded and/or entered into the case-related data base.

One advantage of a multi-part form used by Kansas is that its preparation is an integral part of case filing. The first sheet of the five-part form is the court's docket sheet. The second sheet is optional and may be used as the case action summary sheet that can be kept with the case file, and the last page is a self-adhesive label for the case jacket. The two sheets recording further events in case processing are then produced as a by-product of routine docketing procedures. Another way in which multi-part forms can be integrated into case processing is to have one page serve as the index card for the case. States using multi-part forms are Alabama, Alaska, Florida, Kansas, Maine, Minnesota, Montana, North Carolina, North Dakota, South Carolina, and Wisconsin.

The information on multi-part forms makes a wide range of management and statistical planning reports immediately available to local trial court and state-level managers, including all basic case inventory data, age of cases at disposition or age of cases at different intervening case events, and lists of pending cases by age since initiation. Time interval data on active cases can also be produced when information on intervening case events is reported as they occur. Some systems using this data collection technique do not, however, report until disposition. In this situation management planning reports analyzing age of cases and processing times between events can still be computed, but management control of case processing (exception reports) events is more difficult.

Disadvantages of multi-part forms are that they are more expensive to use and require time by trial court or state administrative office staff to prepare and enter the data into the computerized data base. Because much more data are being reported and entered into the information system, the system is able to produce more useful management reports than any other system. These

reports, however, require more paper to produce; and should only be printed and distributed if actually used and the additional expense is justified.

On-line direct data entry. An on-line case management information system is the final step toward complete automation of the case-processing activity. With such a system all case information is entered directly into the computer by the court clerk instead of being manually recorded in the docket book or other manual indexing record. Case management reports and planning statistics are a by-product of the case recording/updating process that occurs in an on-line system. When on-line data entry is done by trial or appellate court clerks, there are sizable savings in clerical staff time spent in recording and updating case information. Data are entered only once in an on-line system instead of being entered two or even three times into the various required clerical records and indexes as is typical in many clerks' offices. Once the data have been entered into the case-related data base, all required court records and indices can be printed out upon request. The main disadvantage, of course, is the initial design and implementation expense associated with on-line systems, but such systems eventually pay for themselves in avoided future costs and in management benefits resulting from increased data accuracy, completeness, and availability.

Automation of data collection

The level of automation used by local trial and appellate courts and among state-level court information systems varies extensively. These systems can, however, be classified as being (1) completely manual systems; (2) batch oriented or partially automated systems, or (3) on-line or fully automated systems. The level of automation required depends on the kinds of data collected by the information system and the analytical methods employed to create operational, management control, and planning reports. (See Figure 17.)

A manual (hand-generated, processed, and analyzed) system can handle only summary statistics effectively. A batch or partially automated system (one that uses a computer to aggregate, summarize, manipulate, analyze, and prepare reports) is capable of handling a much larger volume of case data and of generating case event, time series, and time interval reports. On-line operational or fully automated systems are able to generate all necessary operational reports upon request, give up-to-the-minute case activity reports, and generate any type of management or planning reports requested. In many states the information needs of appellate or trial courts will be satisfied by manual systems, whereas the case volumes and operational needs of other courts, particularly large metropolitan trial courts, demand batch oriented or on-line systems.

Figure 17: Level of automation required by the collection of different levels of case-related data

Analytical levels of data collection	Level of automation required		
	Manual	Batch/partially automated	Fully automated
Level 1: Caseload			
Caseload inventory	X		
Manner of disposition	X		
Level 2: Caseflow			
Filing/disposition	X	X	X
Other events in case processing	X	X	X
Time interval data	X	X	X
Level 3: Workload			
Performance measures	X	X	X
Weighted caseload	X	X	X

As discussed earlier in this monograph, operational, management, and statistical planning and research reports can result from three basic levels of analysis: caseload, caseflow, and workload. Most types of caseload analysis (beginning pending, filings, dispositions, and end pending) can be provided manually, because caseload analysis calls for summary data, although automated systems can be useful at even this summary level. When, however, the level of analysis passes from consideration of aggregate filings and dispositions to consideration of the status of individual cases in court operations, use of computers is almost essential. This means that caseflow and workload analysis cannot readily be performed without the aid of computers, because caseflow analysis calls for detailed data on individual cases; and workload analysis calls for detailed data on court operations. Descriptions of management reports based on these different kinds of data are given in Chapter IV and in Part II of this manual.

Automated case management information systems can support functions at both the local and state levels. While most trial court functions are performed only at the local level, appellate courts typically have a state-level orientation and can be supported by state-level offices. Although intermediate appellate courts are often decentralized, their local or regional information needs can

also be supported by state-level offices. General court management functions are performed at both the local and state levels, and the current trend in state administration is toward more centralized court management by the state-level administrative office.

If a fully-automated local or regional (on-line) case management capability exists, however, the information generated to support trial and appellate court operations can also be used to support management functions. In other words, management control and statistical planning reports are provided as a by-product of the local court operations. On the other hand, management and statistical reports are almost never required to contain all information pertaining to specific cases. The ideal way to obtain a management and statistical reporting capability, therefore, is to develop it jointly with or as a by-product of an automated system that supports local court operations.

Since trial court functions are performed at the local level, the systems and application packages that support these functions frequently are run on computers at the local level. Similarly, since many of the court management functions are performed at the state level, these systems and applications that support these functions can be run on state-level computers.

A key element in the efficiency of computer usage is that data should be entered only once, although the data may have many uses. To realize these benefits when automation exists at the local level, it is necessary that data entered locally be transferable to the state level without reentry. This can be accomplished electronically (e.g., by telecommunications) or by periodically sending a computer-readable medium (e.g., tape or diskette) containing the data to the state-level office for merging with the existing statewide data base.

Analyses of case data stored in this manner result in management and statistical planning reports that are used at both the state and local levels. The state's needs for increasingly detailed reports on all courts within the state court structure are satisfied. Local trial and appellate court needs for operational and management reports pertaining to their respective courts are also satisfied. While the reporting needs encompass both the state and local levels, the sources of most data are the individual trial and appellate courts. This means that local data used to produce state-level management and planning reports, as well as local trial and appellate court operational and management reports must be recorded accurately, efficiently, and as timely as possible.

A major consideration in systems design, therefore, is how to get locally entered data to the state level to generate the needed reports. If only caseload analysis is being conducted for these reports, only summary information need be sent to the state level. On the other hand, other types of analyses require that

detailed data on individual cases be sent to the state. Therefore, the level of analysis, the type of information, and the accuracy and completeness of management reports desired will, in large part, determine whether a summary reporting or a case-by-case reporting system is needed to collect and report case-related data. Likewise, the desire for timely, up-to-date operational and delay assessment data will dictate the need for more advanced case-by-case collecting procedures or on-line systems.

These analytical needs, along with the related communication costs, also determine the extent of the data stored at the state level. Assuming an automated case management capability at the local level, the basic questions are as follows: Is it more efficient and cheaper to periodically send all local data to the state-level computer where the needed data could be extracted and manipulated for all localities statewide? Or is it more efficient and cheaper to periodically perform the data extraction at each location and then send this lesser amount of data to the state-level computer? There are many variations on this scenario if less than full automation exists at the local level. A second question results from the answer to the first: how best to send the required data to the state level--manually on forms or electronically using remote terminals--and how best to enter and process the data on the state-level computer?²

Obstacles to change

Change does not occur automatically simply because a court manager realizes that more management information is needed. Inertia is inherent in all organizations, large or small, and some resistance to even the best of ideas is inevitable. Resistance to changing a court's case-related information system can come from many different quarters, especially if automation is involved. Change can legitimately be opposed on the basis of human, legal, financial, managerial, or political arguments, as well as on the argument that automation is costly, unproven, and unnecessary. Each argument must be anticipated and addressed as it occurs.

Human considerations. Organizational support and assistance in defining needs and goals must be solicited not only from top management but also from all working-level personnel of the system. In a court environment, the people involved with the system include those clerical personnel in various types of courts and in the court administrative offices who supply data to the system. Also included

²For detailed information on automating an information system, see State Judicial Information Systems Project, Automated Information Systems: Planning and Implementation Guidelines (Williamsburg, Va.: National Center for State Courts, 1983).

are system users such as court clerks, judges and justices, local court and administrative office management personnel, and any others who use system reports (e.g., justices of the peace, quasi-judicial officers). All of these should be integrated into a users group, which is involved not only in planning the system, but also in implementing, monitoring, and evaluating it.

Additional involved groups may include state judicial officials, who may be users of some of the system outputs, state legislators and planners, who may fund and approve the system, and executive branch personnel, who may run the system on their computer or whose systems may interface with the court's system. A major factor in gaining the support of the disparate people and groups who are involved in the system is to have continuing contact with them throughout the development process. This liaison should be followed by periodic contact when the system becomes operational.

Continuing contact will accomplish two things: First, it will permit a thorough appraisal of what those involved with the system want it to accomplish; second, it will permit them to be apprised of what computers in general and the system in particular can and cannot accomplish. This will promote mutual understanding and minimize the chance of surprises and disappointments when the system becomes operational.

Legal considerations. Some changes to case management systems may require new court rules and procedures or they may even require legislative changes. This is especially true when a state-level system that will be an automated case-by-case system is superimposed over an old summary system that required only summary inventory data from local courts.

Any need for new court rules or legislative reporting requirements must be recognized during the planning process and included in the implementation plan.

Financial considerations. A logical first question asked of those who propose any change is whether the benefits to be gained by the change outweigh the cost of making it. For example, if some recommended data elements are not currently being collected, the cost of collecting the new data elements must be considered. In addition, new reporting forms and procedures manuals will have to be designed and printed, staff must be informed of the changes, and data auditing procedures must be modified. In automated systems, there will also be the cost of writing and testing new computer programs. If the changes require a switch from a manual system to an automated system, costs will be significant. Unless the benefits anticipated outweigh the costs, the procedures should not be added. One way to offset the cost of change is to minimize the financial impact of the change by consolidating or eliminating from the current reporting system data elements and collection procedures that are of limited value.

Calculations of the costs and benefits inherent in changing procedures is not easy. It may be difficult to set an exact dollar value for some of the costs involved, and it may be impossible to evaluate some of the anticipated benefits in terms of dollars.³ The biggest gains from the changes may be increased productivity and better utilization of court resources. Setting all the anticipated costs and benefits down on paper helps court managers realize the impact of the changes that are proposed and decide how much change to implement and where to stop.

Any information system must be planned in accordance with the amount of funding that will be available and the time period over which this funding will be available. Plans for funding must be coordinated among various funding sources (e.g., state, local, federal) so that adequate funding is available throughout the system life span. If there is no reasonable assurance that the funds necessary to implement and run a system will be available when they are needed throughout the life span of the system, then there is little point in proceeding beyond the preliminary analytical tasks. The prospect of an initial grant to cover front-end and implementation costs is not enough. Any cost-benefit analysis should examine expenses over the span of years that automated equipment can be expected to operate, and the planning process should assess the costs and ability of the court to keep any information system operating indefinitely.

Managerial considerations. Any significant change in a court's case management information system requires managerial time to plan, design, implement, and control. Training personnel on how to use the new system requires managerial skill, financial resources, and time. Supervising the preparation of new procedural manuals, meeting with user groups, determining information needs, and monitoring system testing similarly require managerial effort. In addition, if the change crosses organizational lines, managerial time and expertise become mandatory.

During the design phase of any major case management information system effort, the cost of these additional burdens must be weighed to determine whether the expected benefits outweigh the costs. Drastic changes can destroy the confidence of the users of the system if management does not have time to coordinate the change and communicate the value of the change. If these managerial

³The National Center has published an extensive manual on cost-benefit analysis for the courts in State Judicial Information Systems, Cost-Benefit Methodology for Evaluation of State Judicial Information Systems (Williamsburg, Va.: National Center for State Courts, 1979), and has also outlined a cost-benefit approach to follow in implementing an automated system in Automated Information Systems, cited in Footnote 1.

considerations are forgotten or underemphasized, system failure is all but assured.

Political considerations. As discussed at the beginning of this section, during the design of any proposed development or change to a case management information system, it is important to involve all users of the system in the effort. Political considerations affect funding, support, and cooperation. Within the judicial branch, administrative responsibilities may be divided among chief and presiding judges, the state court administrator and his office staff, trial court administrators, and clerks of court. Change may require the cooperation of persons not directly under the authority of the court. For example, in those states where the clerk of the trial court is an elected official, more coordination may be needed to obtain the support and cooperation of the clerk than might be required in those places where the clerk is an appointed court employee. This is equally true when working with the local bar, district attorney, or juvenile authorities.

Another political consideration is that better, more accurate, and timely information on the operation of the court may make legislative and executive agencies reconsider the effects of their actions or policies on the activities or policies of the court. To be most useful, court statistics should be available when the legislature is discussing court budgets and legislation affecting courts. It is all too easy for a legislature to institute a policy (on restitution to be paid victims of crime, for example) without considering the effect on the workload of the court clerk's office.

Court managers should also consider the effects of a change to their information system on other governmental agencies' needs and on the public at large. A change in the data elements collected may affect not only the judicial branch of government but other governmental agencies as well. For example, the courts may be a source of information to police, prosecutors, or the department of motor vehicles. Some data elements may need to be retained, not because they are essential to court management but because they meet the needs of other agencies.

Automation considerations. Two major problems are inherent in automating local court operations and state-level management and administration.

First, the development and implementation of a full local case management information system can require a year or more, while a statewide system can require three or more years. The development of the various modules (appellate, criminal, civil, traffic, juvenile, resources) will be uneven and the order in which they are implemented will have to be carefully planned. In the transition stages, segments of two information systems will be operating.

Priorities should be carefully thought out and based on operational and management needs.

The second major problem in automation is the possibility that the computer may not solve the problems associated with the manual system. This kind of problem has several manifestations:

1. Continued manual records/redundant data recording. The duplication of effort resulting from capturing data both manually and on a computer is very common. A number of human factors foster a perpetuation of manual systems, including resistance to change, mistrust of automated records, or a general perception that the automated system does not satisfy the needs of the court.

2. Inflexibility in accommodating change. A common problem of automated systems has been difficulty in adapting to small changes in information requirements. The current generation of computer equipment is meeting this problem with generalized report writers, system generators, structural programming techniques, data dictionaries, and data base management systems.

3. Erroneous data. Data accuracy is a universal problem in all information systems. Automated systems accentuate the problem because of their analytical and report generation capabilities. Special data edit techniques are needed to check numerical, alphabetical, size, or length characteristics. Particular care must be taken in data entry.

4. Poor system design. The ability of computer hardware to do reliably what it has been programmed to do has never been a significant problem throughout the years. However, though computer technology (i.e., the hardware and its performance) has fulfilled and exceeded early expectations, the methodology (i.e., the people skills and the software) for using the hardware has often lagged behind. These areas require careful and constant attention, both in planning and implementation.

As an overview to computer systems methodology, the checklist shown in Figure 18, if followed, would provide the courts with a road map for successfully recognizing most EDP problems. It is important to remember that there is no simple pat formula or rule for dealing with all the human, legal, financial, managerial, and political considerations. In order to avoid as many problems as possible and to reduce the remaining ones to manageable size, adequate time and preparation must be devoted to ensuring successful change. If the change is significant or involves automation, a short- and long-term master plan should be developed, users groups formed, cost-benefit analyses performed, and general concurrence and support obtained before proceeding. Above all, top management support is mandatory.

Figure 18: Checklist for avoiding court data processing problems

- o Enlist managerial support before and during the entire project. Failure to involve management has repeatedly been a major cause of mediocre computer operations.
- o Establish quantifiable goals and objectives.
- o Engage fully qualified systems people to perform the court/EDP study.
- o Fully isolate and analyze the recordkeeping and decision making needs of the court.
- o Adapt the computer system to the needs of the court, instead of modifying the needs of the court to the computer system.
- o Design the system in modules if possible. In this way some of the system may become operational sooner.
- o Recognize the limitations of computers. Compromises between what is ideal for the court and what is attainable with the computer must often be made.
- o Recognize that not all court applications belong on a computer.
- o Penetrate the "blue sky" optimism of vendors; question any unreasonable or undocumented promises.
- o Establish criteria for acquiring a system and follow a logical methodology in the selection of an EDP system to meet the court needs.
- o Select the system through a competitive bidding process.
- o Establish a project management function to complete the computer implementation on time, with the budget allocated, and with an acceptable end product.
- o Provide backup procedures in case of emergencies.
- o Document the system so that modifications can be made easily.
- o Keep management informed of any problems which may affect the successful completion of the project.
- o Review the system to determine if it meets the design specifications.
- o Utilize performance measuring tools to improve operations.
- o Reevaluate the system on a continuing basis.
- o Be aware of any new technologies or methodologies which could improve the system.

Source: National Center for State Courts, Data Processing and the Courts Reference Manual, Court Equipment Analysis Project, September 1977, p. 1-18, Figure 1.2.

Part II

MODEL DATA COLLECTION FORMS AND MODEL MANAGEMENT REPORTS

Chapter VI

Guidelines for the chapters that follow, and their relationship to the discussion in Part I

Application of discussion in Part I to Part II

Chapter III in Part I discussed the management uses of court information system data, followed in Chapter IV by a presentation of model data elements and collection procedures.

Figure 19 on the next page is a bridge between Part I and Part II of this manual in that it shows the relationship between the management uses and data sets and the model output reports that comprise the bulk of Part II.

Data analysis is, of course, the process that turns raw data into useful output reports for management purposes. Although each model output report in Part II is preceded by a face sheet that discusses the procedure for manipulating the data to produce the output report, it may be useful here to summarize in general terms some conceptual approaches to data analysis.

Figure 19 summarizes the purpose of creating the broad output report categories that will be found in Part II.

Figure 20 lists and briefly describes the major data analysis techniques which were discussed earlier in Chapter III, specific examples of which will be discussed on the face sheets of the appropriate models in Part II.

Figure 21 outlines the common methods of data presentation. Most of the model output reports appear in Part II as tables, but each of them could also be presented in chart or graph form. In many instances, such a presentation would have far more visual impact than the tables presented here. The data in the tables, however, are essential to the preparation of a chart or graph, and the tables are the first step in preparing data presentation for whatever purpose the court has in mind. The method of data presentation will vary according to the management use, and careful thought should be given to the most effective data display for the particular purpose. The quantity of data presented in each output report also requires careful consideration. Data from several of the output reports that follow can be combined and displayed in a wide variety of ways. The data chosen should support the management purpose of the report, but care should be taken not to overwhelm the viewer with more information than he needs or to confuse him with more information than can be visually absorbed.

Figure 19: Purpose of data analysis

General report categories	Analytical level	Trial court models: Part II	Appellate court models: Part II	AOC examples in Appendix D	Comments
Caseload inventory reports	1	7-19	32-40	1-6 12-15 17-30	Most common caseload report. Reflects number of cases filed and disposed; also often includes beginning and end pendings and percent growth in inventory categories.
Resource allocation reports	1, 2, 3	7-19	32-40	1-39	Specialty reports used to show that scarce resources (clerical personnel, judges, courtrooms, jurors, etc.) are being used to maximum capacity and for least cost.
Caseflow management reports	2	20-27	41-45	7-11 31-35	Used to measure the pace of litigation. Shows individual case status and age that can be compared to pre-determined standards to indicate success or weakness of the caseflow management system.
Exception reports	1, 2	25, 27	45		Created to indicate when individual cases are not being processed within normal time intervals or processing standards; most commonly used with criminal speedy trial rules.
Performance indicators	1, 2, 3	7-27	32-45	13-16 18, 24 25, 27	Indicators used to show numbers of cases pending, filed, disposed on a per-court, per-clerical employee, or per-judge basis over a given period of time.
Performance evaluation	2, 3	20-27	41-45		Used to evaluate personnel performance based on performance measurement, such as case backlog or case status, number of cases processed, etc.
Workload analysis	2, 3	20-27	41-45	36-39	Specialized reports that show the number of cases that are affected by specific activities, such as continuance reports, arraignment lists, offense analysis, monthly disposition reports, jury trials, etc.
Unit cost reports	1, 2, 3				Specialty reports used for budgeting that estimate unit costs of civil filings, criminal dispositions, etc.

Figure 20: Data analysis techniques

Common techniques	Analytical level	Trial court models: Part II	Appellate court models: Part II	AOC examples in Appendix D	Comments
Inventory analysis	1	7-19	32-40	17-20 30, 35	The most basic computation of number of cases pending at the beginning of a reporting period, number of new cases filed, number of cases disposed, number of cases pending at the end of the reporting period.
Trend analysis	1, 2, 3	14-19	37-40	1, 3-8 21-28 37	Percentage computation of the historical rate of change of case volumes of some other unit of case activity over a specified period of time, usually five or more years to establish meaningful projections.
Descriptive analysis	1, 2, 3	8-10 12, 14	34-37 39	1, 2, 6, 7 10, 12, 14, 15 15, 18, 31, 32, 34, 35 39	Data description measures, including mean, median, mode, ranking, and percentage computations are commonly used in analysis of caseload or workload per judge or per court.
Correlation analysis	1, 2, 3			13, 16, 36 38	A statistical technique used to measure the relation among variables. Can be used to study relation of caseload activity to increases in population, etc.
Dispersion analysis	1, 2, 3			33, 35	Data dispersion measures, such as intervals, ranges, and standard deviation, are used to predict possible variances in future caseload activity.
Forecasting time series	1, 2, 3			11	Percentage computation using historical time series trend analysis to project future growth rates through extrapolation.
Forecasting based on trend analysis	1, 2, 3	19	40	29	A statistical technique used to project future patterns such as growth in caseloads based on past patterns of activity. A much more accurate technique than simple extrapolation.

Figure 21: Methods of data presentation

Common methods	Analytical level	Trial court models: Part II	Appellate court models: Part II	AOC examples in Appendix D	Comments
Tables	1, 2, 3	7, 8A 9-11 13-18 20-27	32-34A 35-39 41, 45 24, 25, 31-34	1, 3, 7 9-11, 13 14-23 24, 25, 31-34	Used where large amounts of raw data are displayed in different categories or subcategories. Most commonly used in annual and monthly reports of case data to show basic filing, disposition, and pending inventories of civil, criminal, traffic, and juvenile cases per court unit.
Histogram (bar chart)	1, 2, 3	12		2, 5, 6 8, 37, 38	A graph that uses bars to depict the way two variables are related. When a histogram is applied to a frequency distribution of caseload data, year data is usually depicted with volume data.
Frequency polygon (line graph)	1, 2, 3	19	40	4, 23 26-29, 36	A graph that shows the relationship of two variables along a horizontal and a vertical axis by means of points and connected lines. Usually applied to volume statistics growth rates, and seasonal analysis.
Pie chart	1, 2, 3	8B, 12,	34B	12, 34, 39	Circles are often used to show the size relationship of competing variables for 100% of the available resources. Usually used in unit cost computations and for showing graphically the differences in types of cases by volume.

Guidelines to Part II

Forty-seven models of input forms and output reports are presented in Chapters VII, VIII, and IX. The model output reports are examples of the kinds of data presentation and analysis that are needed for management purposes. The model input forms are suggested ways of collecting the data needed to prepare the model output reports.

The models for trial courts are contained in Chapter VII: 6 input forms (2 manual, 3 batch automated, and 1 on-line automated), and 21 output reports. Chapter VIII contains the models for appellate courts: 4 model input forms (1 manual, 2 batch automated, and 1 on-line automated), and 14 model output reports. Chapter IX discusses the uses of the data received from the trial courts and appellate courts by the state administrative office, offers two additional model output reports, and refers to 39 examples of output reports from jurisdictions across the country (found in Appendix D). Chapter X contains a brief description of workload analysis.

Data elements. All of the models use the model data elements discussed and presented in three levels of complexity in Chapter IV. In order to avoid duplicating models, an intermediate set of data elements was chosen to appear in the models. Where possible, the minimum set of data elements also appears in boldface. Only one major case type (civil, criminal, traffic, or juvenile) appears on each input form, and each major case type is used in turn in the filled-in examples. In practice, a court would use a separate form for each major case type.

The increase in complexity of the data sets (from minimum to intermediate to maximum) results by and large from the addition of subheadings to the minimum data elements, and the addition of subheadings under the subheadings to form the maximum level set. One can do all of the statistical analyses contained in the model output reports using only the minimum data elements. The information obtained will not be as useful with minimum case types--civil, criminal, traffic, juvenile--as would an analysis of caseload based on the various case types found as subheadings in the intermediate set of data elements because one does not know with the minimum data elements what proportion of the caseload consists of time-consuming and complex case types.

Face sheets. Each model in Chapters VII, VIII, and IX is preceded by a face sheet to explain the model. The face sheets for the model input forms display the following headings:

DATA COLLECTION METHOD: (manual, batch automated, on-line automated)

DESCRIPTION: (of the model and its various versions)

PROCEDURE: (for filling in the input form)

DATA SETS CAPTURED: (case types, case inventory, manner of disposition, events in case processing)

COMMENTS: (relevant to the form but not appropriate to description or procedure)

ADVANTAGES: (of using this particular form and data collection method)

DISADVANTAGES: (of using this particular form and data collection method)

PROVIDES DATA FOR MODEL OUTPUT REPORTS: (by number and subject)

The face sheets for the model output reports display the following headings:

PURPOSE: (of the output report for management uses)

DESCRIPTION: (of what is needed to prepare the output report)

DATA SETS REQUIRED: (case types, case inventory, manner of disposition, events in case processing)

COMMENTS: (on what the analysis indicates)

ADDITIONAL ANALYSIS: (using the same data, but avoiding the inclusion of additional models that are simply extensions of this particular output report)

These headings serve not only to explain the model itself and elaborate on the purposes it can serve but also to relate the model input forms to the model output reports.

Analytical levels. Four data sets are included in the case-related model data elements: case types, case inventory, manner of disposition, and events in case processing. The fourth, events in case processing, can be broken down into two subsets: filing and disposition, and additional events in case processing.

The logical progression in building a data base of case-related statistics is to start with case types, compile case inventory, add manner of disposition data next, and proceed to events in case processing as data collection methods become more sophisticated. The same logical progression in the output reports that can be produced with each of these data sets is followed in the presentation of the models. Data on case types can be used to do caseload inventory analysis, trend analysis, and projections based

on trend analysis. Manner-of-disposition data permit manner of disposition analyses as well as trend analysis and projections based on trend analysis.

The first subset of events in case processing--filing and disposition data--is necessary to analyze age of cases, both pending and disposed. Additional events in case processing are needed to display the status of pending cases, to prepare exception reports, and to do trend analysis of caseflow.

This progressive relationship between data sets and output reports is displayed graphically for trial courts in Figure 22 at the beginning of Chapter VII, and for appellate courts in Figure 24 at the beginning of Chapter VIII. Both of these chapters, along with Chapter IX on the state administrative office, present the model output reports in this order, which is simply another representation of the analytical levels of data collection first discussed in Chapter II.

Chapter VII

Model trial court data collection (input) forms and management (output) reports

The quality of the analysis in a court's management reports depends on the clear definition of the management functions to be performed and the quality of the data on which they are based, as described in Chapter III. Figure 22 following demonstrates the relationship between the output reports that appear in Section 2 and 3 of this chapter and the data sets found in the model input forms in Section 1 below.

Section 1. Procedures for collecting trial court case-related data

This section focuses on the collection of case-related statistics to meet the internal management needs of trial courts. As will be seen later, many of these collection procedures are the same as those that are used in the compilation of state-level statistics. In order for these procedures to be effective, they must be accompanied by clear instruction manuals, which include data elements and definitions, instructions for making corrections, and the like.

There are three data collection procedures from which courts may choose in reporting most case types. (Uncontested traffic cases, and possibly small claims, will be handled differently from the rest of the caseload, and will have their own particular procedures.)

1. Manual:
 - a. Tally sheets (Model 1)
 - b. Filing and disposition cards (Model 2)
2. Batch automated:
 - a. Log sheets (Model 3)
 - b. Multi-part report of case filing and disposition (Model 4)
 - c. Multi-part report of case events (Model 5)
3. On-line automated:
 - a. On-line data entry screens (Model 6)

Each of these data collection forms requires the insertion of the appropriate sets of data elements. All of them require case types and manner of disposition data elements. Models 5 and 6 require in addition the events in case processing.

Figure 22: Relationship of data sets collected to output reports that can be produced--TRIAL COURTS

DATA SETS			
Case types	Case inventory	Manner of disposition	Events in case processing
Input forms 1-6	Aggregate data	Input forms 1-6	Filing and disposition
			Additional events

TRIAL COURT CASELOAD MANAGEMENT REPORTS

Caseload inventory analysis
Output reports 7-10, 13

Maner of disposition analysis
Output reports 11-12

Trend analysis
Output reports 14-18

Projections based on trend analysis
Output report 19

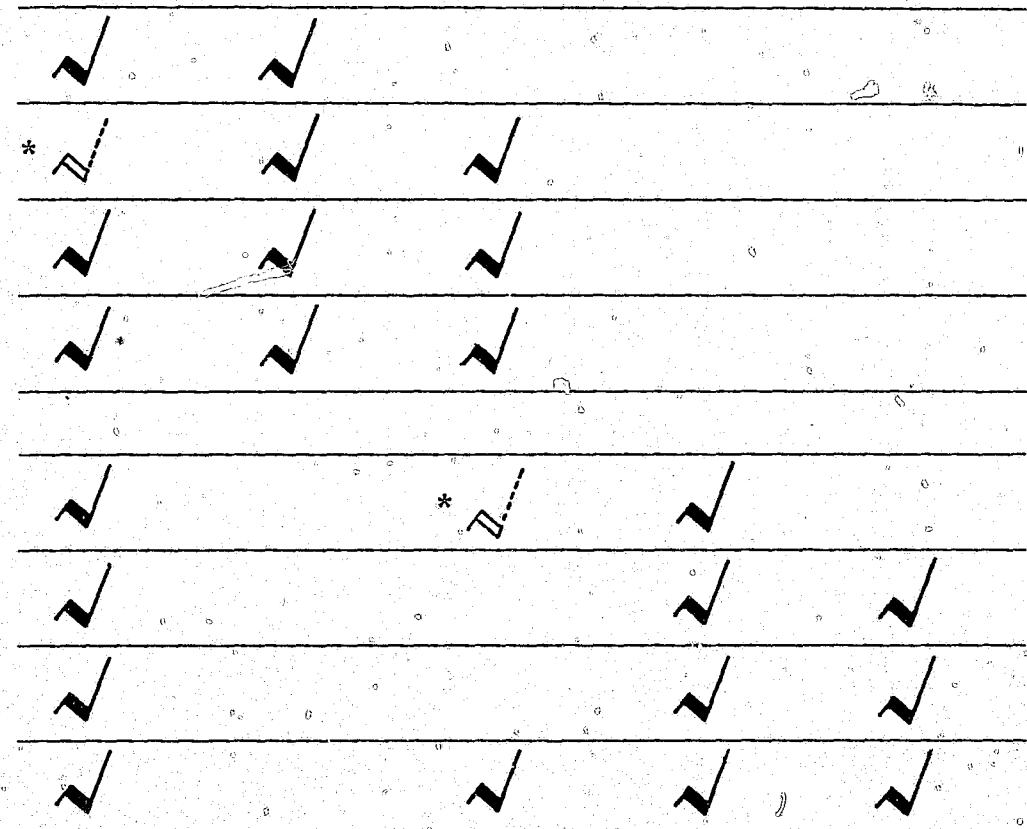
TRIAL COURT CASEFLOW MANAGEMENT REPORTS

Age of cases (pending and disposed)
Output reports 20-22

Status of cases
Output reports 23-24

Exception reports
Output reports 25, 27

Time intervals between events
Output report 26



*The broken check indicates that the analysis can be done without that particular data set, but the quality of the analysis will be improved by having that information.

All of the sets of data elements have not been displayed on the models in order to avoid presenting four different copies of each model--civil cases, criminal cases, traffic cases, and juvenile cases. A court would ordinarily have a collection form for each of these case categories. A filled-in example for one major case type now appears below each model.

For your convenience, the intermediate sets of data elements for the four major trial court case types and trial court manner of disposition are given below. The minimum and maximum levels were presented in Chapter IV.

Civil case types

Tort
Contract
Real property rights
Small claims
Domestic relations
Mental health
Estate
Appeal
Extraordinary writ
Postconviction remedy
Other civil

Civil case manner of disposition

Jury trial
Non-jury trial
Uncontested/default
Dismissed/withdrawn/settled
(before trial)
Transferred (before/during trial)
Arbitration
Other manner of disposition

Criminal case types

Felony
Misdemeanor
Ordinance (non-traffic) violation
Preliminary hearing (limited jurisdiction court only)
Appeal
Extraordinary writ
Postconviction remedy
Sentence review only
Other criminal
Bail forfeiture
Other manner of disposition

Criminal case manner of disposition

Jury trial
Conviction
Acquittal
Non-jury trial
Conviction
Acquittal
Dismissed/nolle prosequi (before trial)
Transferred (before/during trial)
Guilty plea (before trial)
Diverted

Traffic case types

DWI/DUI
Moving traffic violation--
contested
uncontested
Parking violation--
contested
uncontested
Other traffic violation--
contested
uncontested

Traffic case manner of disposition

Jury trial
Non-jury trial
Dismissed/nolle prosequi (before trial)
Transferred (before/during trial)
Guilty plea (before trial)
Diverted
Bail forfeiture
Uncontested fine paid
Other manner of disposition

Juvenile case types

Criminal-type offender
Status offender
Non-offender
Other juvenile matter

Juvenile manner of disposition

Petition denied
Petition withdrawn
Matter dismissed
Transferred (waived) to adult court
Transferred to other jurisdiction
Diverted
Petition granted (adjudication hearing)
Other manner of disposition

Each collection procedure, along with the model forms used to collect the data, will be explained in more detail in the face sheet accompanying each form. Each court must decide which technique is most appropriate for certain types of cases (depending on case volume or on time spent in processing, for example) or for the specific jurisdiction (traffic cases, for example, may be processed very differently from the rest of the caseload). In states with a two-tier trial court structure, the input forms and output reports will need to be adapted to be suitable for both levels. Preliminary hearings in a limited jurisdiction court, for example, are a case type, while in a general jurisdiction court they are only an event in criminal case processing.

Trial Court Model Input Form 1: Daily case filing and disposition tally sheet

DATA COLLECTION METHOD: Manual

PURPOSE: To record each day the filing of each case at case initiation and the disposition at time of disposition for use in the preparation of summary statistics.

A separate tally sheet is kept for civil cases, criminal cases, traffic cases, and juvenile cases. The heading of the tally sheet should indicate which of these categories is being tallied.

DESCRIPTION: The tally sheet is designed to simplify manual data collection by checking the correct box under each case type and manner of disposition.

PROCEDURE: All cases initiated or disposed each day are entered onto the same sheet. Additional sheets may be used if there are more cases than a single sheet will hold.

Each case is entered on a separate line. One case is entered on each line and the appropriate box under case type or manner of disposition is checked for each case. At the end of the day, the number of cases filed and disposed is counted and entered at the bottom of each page. The number of checks under each case type and manner of disposition is also counted and the total for each entered at the bottom of each column. The grand total of cases filed and the totals for each type of filing are tabulated and entered on the final day of the reporting period. The total number of checks under the case type and manner of disposition should equal the total number of cases on each page. By adding up the daily totals, weekly or monthly summary totals can be produced.

DATA SETS Case types (intermediate level. See Chapter IV for
CAPTURED: minimum and maximum levels)

Manner of disposition (intermediate level)

COMMENTS: Daily case tally sheets assume different forms, but their basic functions remain the same. Civil, criminal, traffic, and juvenile case types are reported on separate forms in order to reduce transcription errors.

If case volume is high enough, this form is divided so that filings and dispositions are on two separate forms.

ADVANTAGES: Summary data are available on a timely basis.
Inexpensive in terms of materials used.

DISADVANTAGES: Provides only summaries of number of cases filed by case type and number of cases disposed by manner of disposition.

No data on individual cases available for operational uses.

No data are captured on the number of cases disposed by case type or on the manner of disposition by case type.

Large margin for error in keeping tallies. Some correction method is needed.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 7-10--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 17-19--trend analysis.

Trial Court Model Input Form 1: Daily case filing and disposition tally sheet

Name of court		Page of		Date	
DAILY CASE FILING AND DISPOSITION TALLY SHEET					
Case type			Manner of disposition		
	Case filed	Insert	Case disposed	Insert	Case disposed
	data	elements	data	elements	data
	for	case	for	manner	of
	types	types	disposition		
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
Total					

Filled-in example of Daily case filing and disposition tally sheet

Trial Court Model Input Form 2: Filing and disposition cards

DATA COLLECTION METHOD: Manual/batch automated

PURPOSE: To capture basic case-related data for the individual court at the time of filing and again at disposition.

DESCRIPTION: The case tracking cards displayed are a three-part carbon set file card. Separate sets should be prepared for civil cases, criminal cases, traffic cases, and juvenile cases. The appropriate data sets for case type and manner of disposition, found at the beginning of this section, should be inserted as indicated on the model.

PROCEDURE: The case initiation portion of the card set is completed when the case is filed. The first card is placed in a card file by case type according to the month of filing. This permits tabulation of filing statistics by case type; the number of cases filed can be counted at the end of the week or month.

The second card is separated from the first two and kept in an index file to track the case. As the case proceeds through the court, the second (disposition) card is filed under each successive event heading in the index file. At disposition, this card is placed in the disposition file according to the manner of disposition to serve as a record of dispositions. (A photocopy of the card is sent at this time to the state administrative office.) Each month's dispositions are kept separate by type of disposition so that at the end of each month the total number of different types of dispositions can be counted.

The third card is an index card for an alphabetical reference file.

DATA SETS People indicators

CAPTURED: Case type (intermediate-level data elements)

Manner of disposition (intermediate level)

Events in case processing (2--filing and disposition)

ADVANTAGES: Summary statistics can be prepared in a timely manner.

Filing information is entered only once, reducing errors.

Filing and disposition data available on individual cases, which permits analysis of age of cases pending and disposed.

Individual cases can be manually tracked by arranging the cards in index files and moving them as cases proceed through case processing.

Summary statistics can be provided for status of pending cases by counting cards filed at each event.

Inexpensive as far as materials used.

DISADVANTAGES: If case volume is large, the manual preparation and arranging of the index cards and aggregation of data become very time-consuming.

PROVIDES DATA FOR OUTPUT REPORTS 7-10--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 14-18--trend analysis; 19--trend analysis projections; 20-22--age of cases.

Trial Court Model Input Form 2: Filing and disposition cards

FILING CARD			
Date of filing	Name of case	Case number	
Name of court	Judge		
Type of filing	Original	Remanded	Reopened
Case type:	Insert case type	Insert case type	Insert case type
	Insert case type	Insert case type	Insert case type
	Insert case type	Insert case type	Insert case type

The top section of all three cards is filled in simultaneously at time of filing by means of carbons between the cards.

This card is detached and put in a filing index according to case type. All cases filed in that reporting period would be in this index.

DISPOSITION CARD			
Date of filing	Name of case	Case number	
Name of court	Judge		
Type of filing	Original	Remanded	Reopened
Case type:	Insert case type	Insert case type	Insert case type
	Insert case type	Insert case type	Insert case type
	Insert case type	Insert case type	Insert case type
Manner of disposition:	Date of disposition		
Insert appropriate manner of disposition for case type			

This section is completed separately at case disposition and placed in a disposition file according to manner of disposition. A photocopy of the entire card is sent to the AOC.

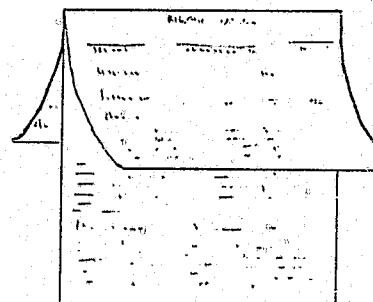
INDEX CARD			
Date of filing	Name of case	Case number	
Type of filing	Original	Remanded	Reopened

This card was completed at case filing. It is put into a card index alphabetically by case name, as a reference index for locating cases when the case number is not known.

Filled-in example of Filing and disposition cards

CRIMINAL CASE DISPOSITION CARD			
2 April 1983	State vs Kindelton	CR04833724	
Date of filing	Name of case	Case number	
Name of court	Madison District Court	Judge	Holmes
Type of filing	Original	Remanded	X Reopened
Case type:	Transferred		
X Felony	Extraordinary writ		
Misdemeanor	Postconviction remedy		
Ordinance (non-traffic) violation	Sentence review only		
Appeal from trial court	Other criminal		
Manner of disposition:	Date of disposition 23 April 83		
Jury trial	X Dismissed/nolle prosequi (before trial)		
Conviction	Transferred (before/during trial)		
Acquittal	Guilty plea (before trial)		
Non-jury trial	Diverted		
Conviction	Bail forfeiture		
Acquittal	Other manner of disposition		

Two-dimensional illustration of 3-part filing and disposition cards:



Automated data capture. Automation of a local court's recordkeeping system requires somewhat different data collection procedures than are used in a manual system.

Regardless of the type of data collection system used by the court or the data's ultimate destination and use, the sources of the data elements are the same: the summons, complaint, indictment, answer, court minute, notice of motion, order, judgment, etc. To prepare case-related data for batch entry, clerks record filing and disposition data onto daily tally or log sheets or cards or on multi-part statistical forms (see Model Forms 3-5).

In many automated systems the entire case history is entered directly into the computer's memory from some source document. The data required for the caseflow management data base can be extracted electronically from the automated operational management information system. With on-line systems all pertinent data on the case are entered interactively into the operational data base (Model 6). This is done at case filing and again whenever selected subsequent events occur. Separate screens on the data entry terminal are designed to capture data that describe different events. Once in the computer, the data may be tabulated and analyzed to construct statistical reports.

Each of the following data collection forms requires the insertion of the appropriate sets of data elements. All of them require case types and manner-of-disposition data elements (which are displayed at the beginning of this section). Models 5 and 6 require in addition the important events in case processing.

These sets of data elements have not been displayed on the models in order to avoid presenting four different sets for each model--civil cases, criminal cases, traffic case, and juvenile cases. Instead, a filled-in example for one major case type appears below the model.

For your convenience, the intermediate-level data elements for events in case processing are given below. The minimum and maximum data elements were presented in Chapter IV.

Civil cases	<u>Criminal cases and contested traffic cases</u>	Juvenile cases
Date of filing	Date of filing of complaint	Date petition filed
Date first answer filed	Date of indictment (or information)	Date of hearing
Date of first pretrial conference	First scheduled trial date	Date of hearing
First scheduled trial date	Date trial commenced	Date of adjudica- tion/disposition hearing
Date trial commenced	Date of disposition	
Date of disposition		

In a local court management information system, the preparation of summary statistics, both for internal local court management as well as for reporting to the state-level administrative office, should be a by-product of the automated system; there should be no need for separate manual collection of local court statistics to be tabulated and sent to the state-level administrative office. (A more complete discussion of automated information systems was given in Chapter V.)

Trial Court Model Input Form 3A: Case filing log sheet

DATA COLLECTION METHOD: Batch data entry. (This log could also be used for the manual collection of data on individual cases by courts where the case volume is not too large.)

PURPOSE: To capture basic case-related data on individual civil cases at filing or case initiation for later entry into an automated information system.

DESCRIPTION: This log sheet is designed to collect data for a batch automated reporting system and serves as the input medium to the automated system. Separate filing and disposition log sheets are used for each different case type in order to avoid errors in entering data.

The time period for completing this form should be specified by the court and will depend on case volume. The actual data should be entered as close to the occurrence as possible as part of regular daily court routine.

DATA SETS People indicators

CAPTURED: Case types (intermediate level)

CAPTURED: Case types (Intermediate)
Events in case processing (1--date of filing)

PROCEDURE: At case initiation, the clerk records the date and case number of the case along with the other requested information for each case. All cases filed on the same day or during the same reporting period are entered onto the same log sheet. Additional sheets may be used if there are more cases than a single log sheet will hold. Each case is entered on a separate line.

COMMENTS: The reporting of the case type on this form is particularly important, because different case types require widely different case processing resources.

The judge assigned on this form may not be the judge who hears the case. This information is useful only in assessing the distribution of cases at case initiation.

ADVANTAGES: Provides data on each case as well as the case types and manner of disposition data needed for summary statistics.

Summary statistics can be prepared in a timely manner.

Filing and disposition data are available on individual cases.

which permits analysis of age of cases pending and disposed.

Inexpensive in terms of materials used.

DISADVANTAGES: Provides no assistance in case tracking for local court operational use.

Large margin for error in manually recopying data. A procedure must be formulated for making corrections after these data have been batched and entered.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 7-10 and 13--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 14-18--trend analysis.

Trial Court Model Input Form 3A: Case filing log sheet

Name of court				CASE FILING LOG		
Time period ending _____				Page ____ of ____		
Date of filing	Type of filing	Case number	Name of case	Case type	Judge assigned	
1.						
2.						
3.						
4.						
5.						
Etc.						
Total entries this page						
<u>Type of filing</u>	<u>Case type</u>					
A - Original filing	Insert data elements for case types					
B - Reopened case						
C - Remand						
D - Transfer						
E - Correction						

Filled-in example of Case filing log sheet

TRAFFIC (CONTESTED) CASE FILING LOG					
Week ending <u>8 April 1983</u>				Page <u>4</u> of <u>4</u>	
Date of filing	Type of filing	Case number	Name of case	Case type	Judge assigned
1. <u>07/04/83</u>	<u>A</u>	<u>TR83046923</u>	<u>Anderson, Joseph T.</u>	<u>DWI</u>	<u>Brent</u>
2. <u>07/04/83</u>	<u>A</u>	<u>TR83048924</u>	<u>Zeigler, Anna Marie</u>	<u>MTC</u>	<u>Brent</u>
3. <u>07/04/83</u>	<u>B</u>	<u>TR83010941</u>	<u>Barrett, John M.</u>	<u>DWI</u>	<u>Stone</u>
4. <u>07/04/83</u>	<u>A</u>	<u>TR83046925</u>	<u>Morrison, Daniel J.</u>	<u>MTC</u>	<u>Brent</u>
5. <u>06/04/83</u>	<u>D</u>	<u>TR83037653</u>	<u>Narkowski, Igor</u>	<u>MTC</u>	<u>Evinr</u>
6. <u>08/04/83</u>	<u>A</u>	<u>TR83046926</u>	<u>Ahmad, Muhammad I.</u>	<u>OVC</u>	<u>O'Neill</u>
7. <u>09/04/83</u>	<u>A</u>	<u>TR83048927</u>	<u>Sanders, Eugene D.</u>	<u>DWI</u>	<u>Brent</u>
8. _____					
9. _____					
Etc.					
<u>7</u> Total entries this page					
Type of filing		Case type			
A - Original filing		DWI - DWI/DUI			
B - Reopened case		MTC - Moving traffic violation (contested)			
C - Remand		PVC - Parking violation (contested)			
D - Transfer		OVC - Other traffic violation (contested)			
E - Correction					

Trial Court Model Input Form 3B: Case disposition log sheet

DATA COLLECTION METHOD: Batch data entry. (This log could also be used for the manual collection of disposition data by courts where case volume is not too large.)

PURPOSE: To capture basic case-related data on individual cases at disposition for later entry into an automated information system.

DESCRIPTION: This log sheet is designed to collect data for a batch automated reporting system and serves as the input medium to the automated system. Separate filing and dispositions log sheets are used for each case type to avoid errors in entering data.

The time period for completing this form should be specified by the court and will depend on case volume. The actual data should be entered as close to the occurrence as possible as part of regular daily court routine.

PROCEDURE: At case disposition, the clerk records the date and case number of the case along with the other requested information for each case. All cases disposed on the same day or during the same reporting period are entered onto the same log sheet. Additional sheets may be used if there are more cases than a single log sheet will hold. Each case is entered on a separate line.

DATA SETS People indicators

CAPTURED: Manner of disposition (intermediate-level data elements)
Case types (intermediate-level data elements)
Events in case processing (date of disposition)

COMMENTS: The reporting of manner of disposition on this form is particularly important because cases that are disposed before trial require far less court resources than those that go to trial.

ADVANTAGES: Provides data on each case as well as the case types and manner of disposition data needed for summary statistics.

Summary statistics can be prepared in a timely manner.

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Inexpensive in terms of materials used.

DISADVANTAGES: Provides no assistance in case tracking for local court operational use.

Large margin for error in manually recopying data. A procedure must be formulated for making corrections after these data have been entered.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 11-13--caseload inventory and manner-of-disposition analysis; 17 and 18--trend analysis and projections; 22--age of disposed cases.

Trial Court Model Input Form 3B: Case disposition log sheet

Name of court				CASE DISPOSITION LOG		Page _____ of _____
Time period ending	Date of disposition	Manner of disposition	Case number	Name of case	Case type	
1.						
2.						
3.						
4.						
5.						
Etc.						
Total entries this page						
Manner of disposition Insert data elements for manner of disposition			Case types Insert data elements for case types			

Filled-in example of Case disposition log sheet

MADISON DISTRICT COURT				TRAFFIC (CONTESTED) CASE DISPOSITION LOG		Page 4 of 4
Week ending	Date of disposition	Manner of disposition	Case number	Name of case	Case type	
07/04/83	DIS	TR83046734	Marichowski, Viola		MTC	O'Neill
07/04/83	GUI	TR83046755	Simmonds, Jonathan P.		DWI	Evins
07/04/83	NOJ	TR83046721	Rodrigues, Manuel		MTC	Brent
07/04/83	NOJ	TR83046785	Haskins, Esther H.		MTC	Manzlu
07/04/83	BFO	TR83046701	Steigler, Ira T.		DWI	Brent
07/04/83	NOJ	TR83046623	Marcus, Duane M.		MTC	Brent
7.						
8.						
9.						
Etc.						
Total entries this page						
Manner of disposition JUR - Jury trial NOJ - Non-jury trial DIS - Dismissed (before trial) TRN - Transferred GUI - Guilty plea (before trial) DIV - Diverted BFO - Bail forfeiture OTH - Other manner of disposition			Case type DWI - DWI/DUI MTC - Moving traffic violation (contested) PVC - Parking violation (contested) OVC - Other traffic violation (contested)			

Trial Court Model Input Form 4: Multi-part report of case filing and disposition

DATA COLLECTION METHOD: Automated--batch data entry.

PURPOSE: To capture detailed case-related data on individual trial court cases at filing and again at disposition.

DESCRIPTION: These forms pick up large amounts of data at two events in case processing--at filing and at disposition. They also produce the case docket sheet for operational purposes.

The court should use separate forms for civil cases, criminal cases, juvenile cases, and contested traffic cases. Uncontested traffic cases, where case processing does not enter, would use a much simpler system, for which Uniform Traffic Citation procedures are a model.

PROCEDURE: The sample form should indicate on the first line whether it is for reporting civil cases, criminal cases, traffic cases, or juvenile cases.

At case initiation the top of all the forms, including the docket sheet (page 2) is prepared.

Page 1 is filed alphabetically by defendant's last name in an index file. At disposition, the date and manner of disposition are recorded and entered into the computer. The sheet is then placed in the case file as a permanent disposition record.

The monthly statistical report is compiled from the computer record. Additional information on the manner of disposition can also be obtained easily.

DATA SETS People indicators

CAPTURED: Case type (intermediate-level data elements)

Manner of disposition (intermediate level)

Events in case processing (filing and disposition)

COMMENTS: Adoption of this system saves courts the time it takes to re-type the case title for the purpose of docketing, indexing, scheduling, listing cases filed, and listing cases disposed. Additionally, the preparation of court caseload statistics is a by-product of the docketing operation, thus assuring more reliable statistics.

ADVANTAGES: Preparation of the form is an integral step in case filing, because one of the sheets prepared becomes the case docket sheet.

Filing information is entered only once (reducing error potential)

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Summary statistics are easily aggregated by computer.

DISADVANTAGES: Multi-part forms are expensive.

Initial expense of automation.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 7-10--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 14-18--trend analysis; 19--trend analysis projections; 20-22--age of cases.

Trial Court Model Input Form 4: Multi-part report of case filing and disposition

CASE FILING AND DISPOSITION FORM		
Name of court	Date of filing	
Judge		Case number
Name of case	Attorneys	
Filing type:	Case type:	Manner of disposition:
Original	Insert data elements for case types	Insert data elements for manner of disposition
Reopened		
Remanded		
Transfer		

This information is typed, when the case is filed, on all four sheets of the multi-part form by means of carbon paper inserts. Three of the four sheets display only this filing and disposition information. Two are kept in the court file, the third is sent to the AOC when the case is filed. When the case is disposed, the disposition information is filled in on the first two copies, one of which is kept by the court in the case file, the second forwarded to the AOC.

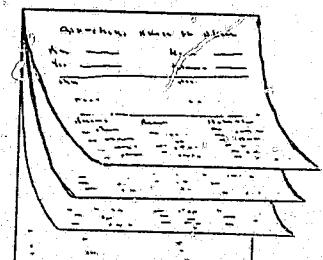
CASE DOCKET BOOK SHEET		
Name of court	Date of filing	
Judge		Case number
Name of case	Attorneys	
Filing type:	Case type:	Manner of disposition:
Original	Insert data elements for case types	Insert data elements for manner of disposition
Reopened		
Remanded		
Transfer		
Date	Event in case processing	Outcome

The fourth sheet is used as an operational docket sheet. The bottom section of this sheet is filled out manually and kept in the case docket book.

Filled-in example of Multi-part report of case filing and disposition

JUVENILE CASE FILING AND DISPOSITION FORM		
Name of court	Madison District Court	Date of filing 3 April 1983
Judge	Davis	Case number JU830732
Name of case	Attorneys	
Perkins, James R.	Gordon, Alvin	
Filing type:	Case type:	Manner of disposition:
<input checked="" type="checkbox"/> Original	Criminal-type offender	Petition denied
<input type="checkbox"/> Reopened		X Petition withdrawn
<input type="checkbox"/> Remanded	X Status offender	Matter dismissed
<input type="checkbox"/> Transfer	Non-offender	Transferred to adult court
	Other juvenile matter	Transferred to other jurisdiction
		Diverted
		Petition granted (adjudication hearing)
		Other manner of disposition

Two-dimensional illustration of 4-part form:



Trial Court Model Input Form 5: Multi-part report of case events

DATA COLLECTION METHOD: Automated--batch entry. (Data are entered manually onto this form by the local court clerk, for batch entry into the automated information system at either a local location or at the state administrative office.)

PURPOSE: To capture detailed case-related data on individual trial court cases at filing and again at disposition, and to capture case event data on active cases. (Event data were not captured for the permanent case record with Model Form 4.)

PROCEDURE: These forms capture all the data captured by the earlier models, plus the events in case processing. They are designed to capture data needed for operational purposes in case processing, with the information for management purposes being a by-product.

In a high-volume court, separate forms could be used for each case type.

DATA SETS People indicators

CAPTURED: Case type (intermediate-level data elements)
Manner of disposition (intermediate level)
Events in case processing (intermediate level)

COMMENTS: Adoption of this system saves courts the time it takes to re-type the case title for the purpose of docketing, indexing, scheduling, listing cases filed, and listing cases disposed. Additionally, the preparation of court case statistics is a by-product of the docketing operation, thus assuring more reliable statistics.

In a small-volume court, these two forms could be the menu screens on a microcomputer system.

ADVANTAGES: Filing information is entered only once (reducing error potential). This saves time.

Data can be verified by cross-checking case numbers.

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Data available on events in case processing permits assessment of the pace of litigation and caseload management.

Summary statistics are easily produced by the computer.

DISADVANTAGES: Initial expense of automation.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 7-10--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 14-18--trend analysis; 19--trend analysis projections; 20-22--age of cases; 23-24--status of cases; 25-28--exception reports.

Trial Court Model Input Form 5: Multi-part report of case events

DATA ENTRY SHEETS FOR BATCH CASE HISTORY

CASE FILING FORM	
Name of court	Date of filing
Name of case	Case number
Case type (listed in procedures manual)	
Judge assigned	Plaintiff attorney
	Defendant attorney
EVENTS IN CASE PROCESSING	
/ / Insert appropriate events	
/ / in case processing	
/ /	

This sheet and the four copies behind it are filled out at the time the case is filed. An entry is made each time a new event in case processing occurs, and one of the carbons is sent for data entry. (If three copies are not enough, then another multi-part form could be used to record additional events, or additional data can be captured on a daily activity report.)

CASE DISPOSITION FORM

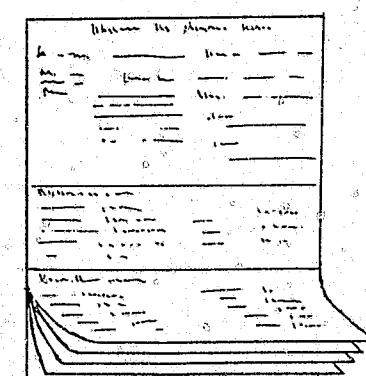
Name of court	Date of filing
Name of case	Case number
Case type (listed in procedures manual)	
Judge assigned	Plaintiff attorney
	Defendant attorney
EVENTS IN CASE PROCESSING	
/ / Insert appropriate events	
/ / in case processing	
/ /	
MANNER OF DISPOSITION	
Insert data elements for manner of disposition	

At the time the case is disposed, the date of disposition is entered and the bottom section of the this fifth and final sheet of the set is filled out. The final copy of the multi-part set is sent for data entry, while the first sheet is retained in the case file as the permanent disposition record.

Filled-in example of Multi-part report of case events

CIVIL CASE DISPOSITION FORM			
Name of court	Madison District Court	Date of filing	04/17/83
Name of case	Jones vs Acme Light	Case number	CIB3041702
Case type	Contract		
Judge assigned	Dover	Plaintiff attorney	Olson, James E.
		Defendant attorney	Druzd, Kevin R.
EVENTS IN CIVIL CASE PROCESSING			
06/24/83 Date first answer filed			
07/12/83 Date of first pretrial conference			
First scheduled trial date			
Date trial commenced			
Date of disposition 07/12/83			
MANNER OF DISPOSITION			
Jury trial Uncontested/default			
Non-jury trial Transferred			
x Dismissed/withdrawn/settled Arbitration			
(before trial) Other manner of disposition			

Two-dimensional illustration of 5-part form:



Trial Court Model Input Form 6: On-line data entry screens

DATA COLLECTION METHOD: Automated on-line direct data entry.

PURPOSE: To make all case files immediately accessible; to provide the capability of manipulating data pertaining to the entire caseload; to make possible the monitoring of caseflow.

DESCRIPTION: On-line data entry permits the entire case file to be entered into the computer and allows inquiry for case information and status at any point in case processing. The computer can also perform the time-consuming tasks of data aggregation, statistical analysis, and caseflow monitoring.

DATA SETS People indicators

CAPTURED: Case types (the court could use the maximum level of data elements)

Manner of disposition (level is up to the court)

Events in case processing (level is up to the court)

COMMENTS: Courts with large caseloads can afford automation better than small-volume courts because of economies of scale.

The screens shown here deal largely with case-related data. The computer can, of course, accommodate the posting of all kinds of operational data, such as the name of the court reporter, results of the event, fees paid, and so forth, which will be arranged on different menu screens as needed. To clarify the process, Figure 23 is inserted following Model Form 6, showing a typical on-line information system flow.

ADVANTAGES: Data entry done only once for both operational and management purposes (saves staff time). Accurate.

Data can be verified by cross-checking case numbers.

Management reports are a by-product of operational data base.

DISADVANTAGES: Initial expense of automation.

Planning and development take substantial amount of time.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 7-10--caseload inventory analysis; 11 and 12--manner-of-disposition analysis; 14-18--trend analysis; 19--trend analysis projections; 20-22--age of cases; 23-24--status of cases; 25-28--exception reports.

Trial Court Model Input Form 6: On-line data entry screens--filled-in examples

CRIMINAL CASE FILING

Date: 04/10/83

Case number: CR83049763

Clerk of court: Carol Luther

Date of filing: 04/10/83

Case priority: 90-day trial rule

Case type: Felony

Source of case: Preliminary hearing

Name of case: State vs Anthony Wayne

Prosecuting attorney: Robert G. Barnes

Name of defendant(s): Anthony Wayne

Name of defendant's attorney(s): Philip G. Noble

Judge assigned: Holmes

Court reporter: Ada Belle Sutter

CRIMINAL CASE REGISTER OF EVENTS

Case number: CR83049763

Date Events in case processing

04/13/83 Pretrial conference

Next event scheduled Date

Trial setting

04/30/83 Pretrial motion

Trial setting

05/13/83 First trial date scheduled

Trial

05/29/83

05/24/83 Continuance granted

Trial

06/15/83

06/15/83 Trial commenced

Trial conclusion

06/16/83 Trial concluded

CRIMINAL CASE DISPOSITION

Date: 06/16/83

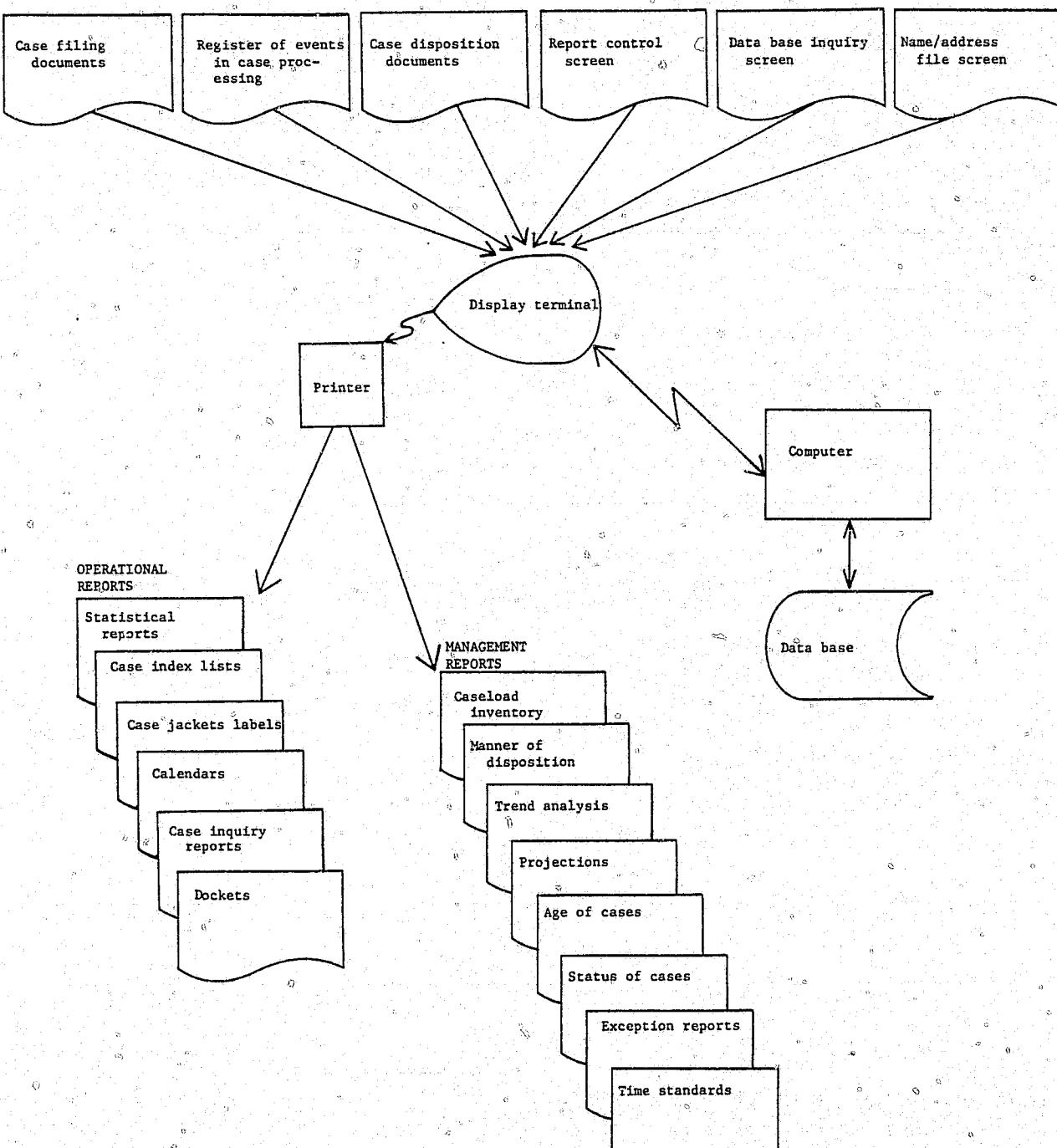
Case number: CR83049763

Manner of disposition: Jury trial

Type of decision: Acquittal

Sentencing information:

Figure 23: On-line information system flow



Section 2. Procedures for analyzing trial court caseload data

Court caseload inventory. Since the primary business of the court is to process cases, the most basic information needed for management purposes is derived from the court's caseload inventory. The three kinds of output reports described in this section—court caseload inventory, manner of disposition, and trend analysis of caseload inventory and manner of disposition—may be used by court managers in making decisions on how to allocate resources—how many judges are needed to handle the caseload, what support personnel, what facilities (rooms and equipment), what fiscal support.

Trend analysis also permits the court manager to forecast what caseloads can be expected next year and the year following, so that resource needs can be projected into the future, budget and appropriation requests based on such projections, judge and personnel needs calculated accordingly, and so on. These are fundamental requirements for carrying on the business of the courts, and decisions necessary to keep cases moving through the courts can be based on the kinds of information in the models that follow.

There are any number of ways of displaying these basic data. Model 7 uses an intermediate number of data elements to capture trial court caseload inventory, with the minimum data elements shown in boldface. Courts wanting to capture a maximum number of data elements will find appropriate alternate data sets displayed in Chapter IV.

Trial Court Model Output Report 7: Trial court caseload inventory

PURPOSE: To provide court managers with information on which to base resource allocation, both for current needs and for future planning. Information on the numbers of cases being processed and how they are disposed provides the simplest mechanism for determining how many judges are needed, how many nonjudicial personnel will be required to support the judges, how many courtrooms and other facilities will be required, and what the financial support must be to permit the court to handle its caseload.

DESCRIPTION: The State Court Model Statistical Dictionary defines court caseload inventory as follows: "For statistical reporting purposes, four uniform caseload counts that should be reported for each reporting period: beginning pending (cases), filings, dispositions, end pending (cases)." The most rudimentary step in recording caseload inventory is to count the number of cases filed and the number disposed. Since case processing is a continuous operation, however, it is essential to know also how many filed cases were pending (not disposed of) at the beginning of the reporting period (week, month, year), and how many were pending at the end of the reporting period, because these cases are the unfinished business of the court. The size of the pending caseload helps to indicate whether the court is completing its business in a timely manner. Increases or decreases in the pending caseload indicate whether the time to disposition is increasing or decreasing.

This model displays only basic caseload inventory. Models 8-10, 13-16, and 18-19 provide analysis of the basic caseload inventory data.

DATA SETS Case types (intermediate-level data elements are displayed, with minimum data elements in boldface. See Chapter IV for maximum data elements)
REQUIRED: Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Caseload needs to be broken down by case type, because different types of cases involve widely differing activities and amounts of time. Differing numbers of judges and support personnel are needed, different numbers of courtrooms and other facilities are used, different amounts of fiscal support are required. Felony cases can take much longer than misdemeanors to process, particularly if they go to trial. Similarly, contested probate cases require much different resources than small claims cases.

This model includes the major case types. Many courts break some or all of these case types down into subheadings. See Chapter IV--maximum data elements for trial court caseload inventory--for an example. Some courts collect each felony charge individually. Subheadings for criminal cases have not been included in Chapter IV because of the existence of other classification schemes, such as the FBI's Uniform Crime Reports. Collecting data at this level of detail requires a very sophisticated reporting system as well as substantial court resources to record and analyze these data.

(continued)

ADDITIONAL ANALYSIS:

Using caseload data to measure backlog. Caseload inventory data may also be used for other management purposes, such as assessment of case backlog. For example, a formula for calculating backlog has been adapted from work done by Ernest Friesen:¹ $B = P - RT$

(Backlog [B] = Active pending caseload [P] minus the annual rate of disposition [R] times the time limit [T] set.)

This formula defines backlog as the number of cases the court is not equipped to handle within the mandated time period. The rate of disposition is defined as the total number of cases disposed annually. Time limit is the local time limit for processing cases decided by the court (its management goal). For example, if the pending caseload is 300 cases, the time limit is 90 days and the rate of disposition is 1,000 cases per year, the backlog of this court is 300 cases minus (90 days \times 1,000 cases/360 days) = 300 cases minus 250 cases = 50 cases. We expect that 50 of the pending cases will not be disposed in the 90-day time limit, and these represent the backlog of the court.

Backlog times Trial rate = the number of trials needed to clear up the backlog. (Trial rate is defined as the percentage of trials to total dispositions.) The number of trials needed can be multiplied by the average time taken for a trial to determine how much judge time will be needed to clear up the backlog. To return to the above example, if the trial rate for the court is 5%, we expect that (50 cases \times .05 trials/case) = 2.5 additional trials will need to be conducted to clear up the 50-case backlog. Resources can then be allocated accordingly.

Using caseload data to estimate time interval data. The caseload inventory data elements may be used to estimate the expected average time to disposition for pending cases. To calculate this estimate, divide the number of cases pending at the end of the reporting period by the number of cases disposed during the reporting period. The result of this calculation will be given in reporting period units. For example, if there were 100 cases disposed during the year and 37 cases pending at the end of the year, we estimate that the average time to disposition for these 37 cases will be 37 divided by 100, or .37 of a year. This can be converted into months by multiplying by 12--.37 times 12 = 4.4 months.

The calculation described above is usually interpreted as the average amount of time needed to dispose the pending caseload. If we assume that cases are disposed in the order that they are filed, and that the newest case added to the pending caseload was filed at the end of the last day of the reporting period, we see that 37 percent of the year, or 4.4 months, would pass before that case, the last case added to the pending caseload from the previous year, was disposed. This gives us an additional interpretation for end pending divided by disposed cases and can be used to estimate the pace of litigation in courts that do not have the capacity for collecting more detailed time interval data.

¹Ernest Friesen et. al., "Justice in Felony Courts: A Prescription to Control Delay," *Whittier Law Review*, Volume 2, Number 1, p. 16.

Trial Court Model Output Report 7: Trial court caseload inventory

Summary statistics

Case type	Name of court Reporting period		
	Beginning pending	Filed	Disposed
Civil cases			
Tort			
Contract			
Real property rights			
Small claims			
Domestic relations			
Mental health			
Estate			
Appeal			
Extraordinary writ			
Postconviction remedy			
Other civil			
Total civil			
Criminal cases			
Felony			
Misdemeanor			
Preliminary hearing (limited jurisdiction court only)			
Ordinance violation			
Extraordinary writ			
Postconviction remedy			
Sentence review only			
Other criminal			
Total criminal			
Traffic cases			
DWI/DUI			
Contested moving traffic violations			
Other contested traffic violation			
Parking violation (uncontested)			
Total traffic			
Juvenile cases			
Criminal-type offender			
Status offender			
Non-offender			
Other juvenile matters			
Total juvenile			
TOTAL CASELOAD			

Include those case types
for which there were no
filings or dispositions
and place zeros in the
appropriate columns.

Trial Court Model Output Report 8: Trial court caseload inventory:
Percent of total caseload filed for each type of case

PURPOSE: Since different types of cases take different amounts of processing time as well as differing judicial and nonjudicial resources, the percent of total caseload filed and disposed for each type of case gives the court manager a better understanding of actual resource needs.

DESCRIPTION: Model Output Report 8A shows the number of cases filed for each case type; the percent of each case type filed for civil, criminal, traffic, and juvenile cases; and the percent of the total caseload that civil, criminal, traffic, and juvenile cases represent. Model Output Report 8B displays these data graphically.

DATA SETS REQUIRED: Case types (intermediate-level data elements are displayed, with minimum data elements shown in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed end pending)

COMMENTS: Model 8A gives a graphic picture of the proportion of total caseload for each type of case, but it discloses nothing about the amount of time required to process the various types of cases.

ADDITIONAL ANALYSIS: The same type of analysis should be done for percent of total caseload disposed for each type of case. It could also be done for end pending cases, showing the percent of total caseload pending for each case type.

Trial Court Model Output Report 8A: Trial court caseload inventory:
Percent of total caseload filed for each type of case

Summary statistics

Name of court
 Reporting period

Case type	Filed Number/Percent
Civil cases:	
Tort	5,183 7% of civil cases
Contract	741 1% of civil cases
Real property rights	1,481 2% of civil cases
Small claims	21,471 29% of civil cases
Domestic relations	25,913 35% of civil cases
Mental health	560 1% of civil cases
Estate	3,702 5% of civil cases
Appeals	550 1% of civil cases
Other	14,437 19.5% of civil cases
Total civil	74,038 10% of total caseload
Criminal cases:	
Felony	5,923 10% of criminal cases
Misdemeanor	25,469 43% of criminal cases
Ordinance violations	21,915 37% of criminal cases
Extraordinary writ	73 1% of criminal cases
Postconviction remedy	21 <1% of criminal cases
Sentence review only	12 <1% of criminal cases
Other criminal	5,817 10% of criminal cases
Total criminal	59,230 8% of total caseload
Traffic cases:	
DWI/DUI	30,066 5% of traffic cases
Contested moving traffic violations	42,093 7% of traffic cases
Other contested traffic violations	18,040 3% of traffic cases
Parking violations (uncontested)	509,507 85% of traffic cases
Total traffic	599,706 81% of total caseload
Juvenile cases:	
Criminal-type offender	148 2% of juvenile cases
Status offender	2,739 37% of juvenile cases
Non-offender	1,333 18% of juvenile cases
Other juvenile matters	3,183 43% of juvenile cases
Total juvenile	7,403 1% of total caseload
TOTAL CASELOAD	740,378 100% of total caseload

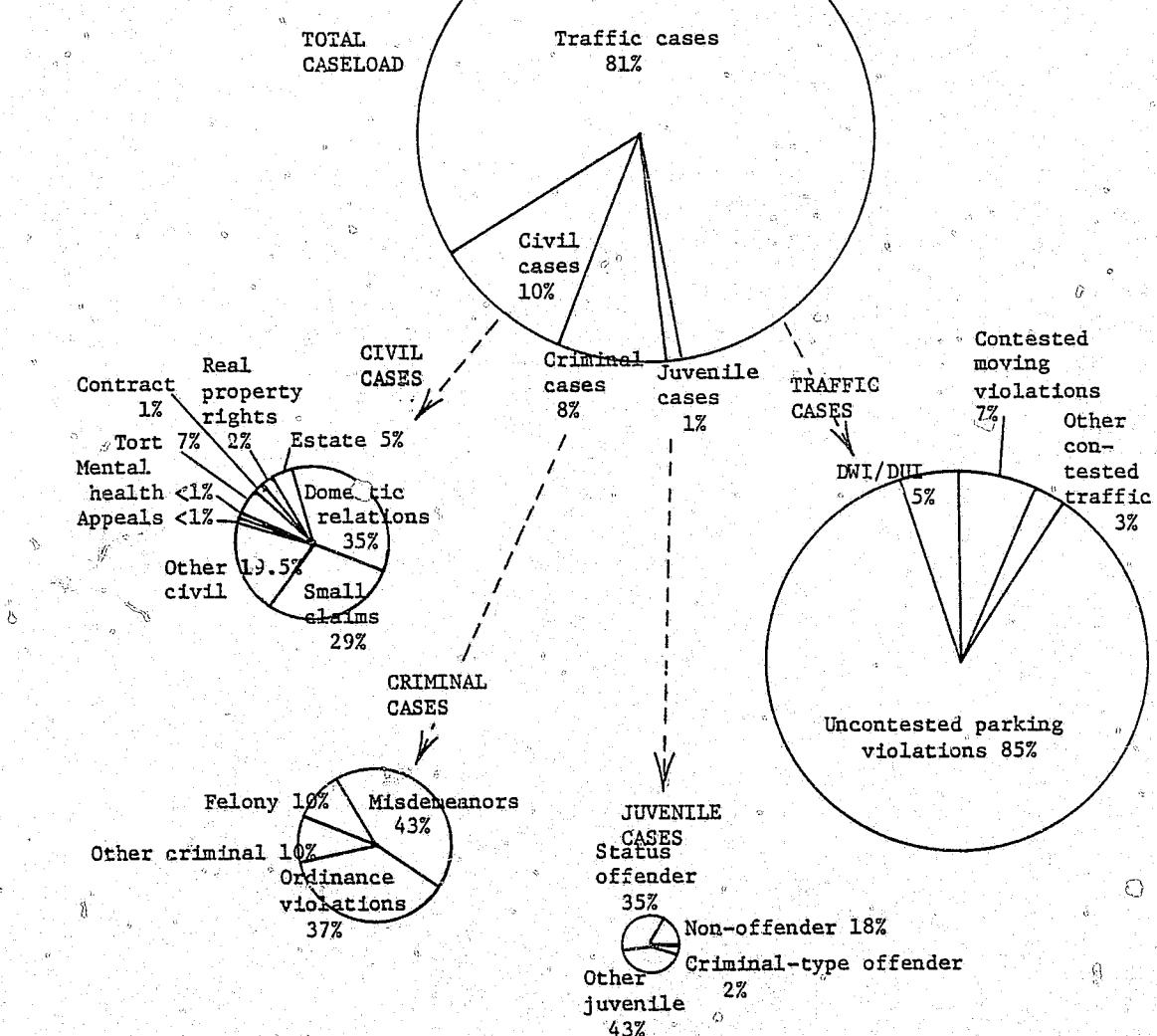
Trial Court Model

Output Report 8B: Trial court caseload inventory:

Percent of total caseload filed for
each type of case

Summary
statistics

Name of court
Reporting period



Trial Court Model Output Report 9: Trial court caseload inventory:
Change in pending, number and percent

PURPOSE: The change in pending from the beginning of the reporting period to the end of the reporting period tells the court manager whether the court is disposing of cases as fast as they are filed, and if not, at what rate the court is falling behind.

DESCRIPTION: Model 9 is identical to Model 8, except for the addition of the two final columns. Number change in pending is found by subtracting beginning pending from end pending. The percent is found by dividing the difference by the beginning pending figure.

DATA SETS REQUIRED: Case types (intermediate-level data elements are displayed, with minimum-level data elements in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Large number or percent increases in pending cases are warning signs. They may indicate that case types are being incorrectly coded or that the court is falling behind in processing the caseload.

ADDITIONAL ANALYSIS: The statistics displayed in Model 9 are for a one-year reporting period, but this report could also be done monthly and quarterly, and the change in pending calculated for each of those time periods.

Trial Court Model
Output Report 9: Trial court caseload inventory:
Change in pending, number and percent

Case type	Name of Court Reporting period (one fiscal year)			Change in pending Number/percent	
	Beginning pending	Filed	Disposed	End pending	
Civil cases					
Tort	1,433	5,183	5,155	1,461	+28 +2%
Contract	205	741	725	221	+16 +8%
Real property rights	409	1,481	1,450	440	+31 +8%
Small claims	5,937	21,471	21,416	5,992	+55 +1%
Domestic relations	7,165	25,913	25,627	7,451	+286 +4%
Mental health	157	560	552	165	+8 +5%
Estate	1,024	3,702	3,695	1,031	+7 +1%
Appeal	150	550	532	168	+18 +12%
Extraordinary writ	0	0	0	0	
Postconviction remedy	0	0	0	0	
Other civil	3,992	14,437	14,354	4,075	+83 +2%
Total civil	20,472	74,038	73,506	21,004	+532 +3%
Criminal cases					
Felony	1,638	5,923	5,971	1,590	-48 -3%
Misdemeanor	7,043	24,469	25,449	7,063	-20 -1%
Ordinance violation	6,060	21,915	21,836	6,139	+79 +1%
Extraordinary writ	4	73	71	6	+2 +50%
Postconviction remedy	6	21	22	5	-1 -17%
Sentence review only	3	12	14	1	-2 -67%
Other criminal	1,625	5,817	5,440	2,002	+337 +2%
Total criminal	16,378	59,230	58,803	16,805	+427 +3%
Traffic cases					
DWI/DUI	8,291	30,066	29,972	8,375	+94 +1%
Contested moving traffic violation	11,608	42,093	41,916	16,785	+177 +1%
Other contested traffic violation	4,975	18,040	17,937	5,078	+103 +2%
Parking (uncontested) violation	140,952	509,507	505,573	144,886	+3,934 +3%
Total traffic	165,826	599,706	595,398	170,134	+4,308 +3%
Juvenile cases					
Criminal-type offender	41	148	162	27	-14 -3%
Status offender	757	2,739	2,667	829	+72 +10%
Non-offender	368	1,333	1,342	440	+72 +20%
Other juvenile matters	880	3,183	3,180	883	+3 +6%
Total juvenile	2,047	7,403	7,351	2,099	+52 +3%
TOTAL CASELOAD	204,723	740,378	735,059	210,045	+5,322 +3%

Trial Court Model

Output Report 10: Trial court caseload inventory:
Disposed cases as percent of filings
End pending as percent of filings

PURPOSE: The two final columns in this model are another way of assessing how well the court is keeping up with the caseload being filed. If disposed cases are not a large percent of filings, then the court is falling behind. The same is true if end pending cases are a large percent of filings.

DESCRIPTION: This chart is based on Model 7, with two additional columns to contain the calculation of disposed cases as percent of filings and end pending cases as percent of filings.

DATA SETS REQUIRED: Case types (intermediate-level data elements are displayed, with minimum data elements in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Numbers lower than 90 percent in the "disposed cases as percent of filings" column are a warning. Big numbers in the "end pending cases as percent of filings" (particularly if they continue to increase in size over a number of years) are also a warning.

ADDITIONAL ANALYSIS: The statistics displayed in Model 10 are for a one-year reporting period, but this report could also be done monthly and quarterly, and the calculations of disposed cases as percent of filings and end pending cases as percent of filings could be displayed for those time periods.

Trial Court Model

Output Report 10: Trial court caseload inventory:
Disposed cases as percent of filings
End pending cases as percent of filings

Summary statistics

Name of court
 Reporting period (one fiscal year)

Case type	Beginning pending	Filed	Disposed	End pending	Disposed cases as percent of filings	End pending cases as percent of filings
Civil cases						
Tort	1,433	5,183	5,155	1,461	99%	28%
Contract	205	741	725	221	98%	30%
Real property rights	409	1,481	1,450	440	98%	30%
Small claims	5,937	21,471	21,416	5,992	98%	30%
Domestic relations	7,165	25,913	25,627	7,451	99%	29%
Mental health	157	560	552	165	99%	30%
Estate	1,024	3,702	3,695	1,031	99%	28%
Appeal	150	550	532	168	97%	31%
Extraordinary writ	0	0	0	0		
Postconviction remedy	0	0	0	0		
Other civil	3,992	14,437	14,354	4,075	99%	28%
Total civil	20,472	74,038	73,506	21,004	99%	28%
Criminal cases						
Felony	1,638	5,923	5,971	1,590	101%	27%
Misdemeanor	7,043	24,469	25,449	7,063	104%	29%
Ordinance violation	6,060	21,915	21,836	6,139	99.5%	28%
Extraordinary writ	4	73	71	6	97%	8%
Postconviction remedy	6	21	22	5	105%	24%
Sentence review only	3	12	14	1	117%	8%
Other criminal	1,625	5,817	5,440	2,002	94%	34%
Total criminal	16,378	59,230	58,803	16,805	99%	28%
Traffic cases						
DWI/DUI	8,291	30,066	29,972	8,375	97%	28%
Contested moving traffic violation	11,608	42,093	41,916	16,785	99.5%	40%
Other contested traffic violation	4,975	18,040	17,937	5,078	99%	28%
Parking (uncontested) violation	140,952	509,507	505,573	144,886	99%	28%
Total traffic	165,826	599,706	595,398	170,134	99%	28%
Juvenile cases						
Criminal-type offender	41	148	162	27	109%	18%
Status offender	757	2,739	2,667	829	97%	30%
Non-offender	368	1,333	1,342	440	101%	33%
Other juvenile matters	880	3,183	3,180	883	99.9%	28%
Total juvenile	2,047	7,403	7,351	2,099	99%	28%
TOTAL CASELOAD	204,723	740,378	735,059	210,045	99%	28%

Trial Court Model Output Report 11: Trial court manner of disposition

PURPOSE: To provide court managers with information on which to base resource allocation, both for current needs and for future planning. Information on the numbers of cases being processed and how they are disposed provides the simplest mechanism for determining how many judges are needed, how many nonjudicial personnel will be required to support the judges, how many courtrooms and other facilities will be required, and what the financial support must be to permit the court to handle its caseload.

DESCRIPTION: Manner of disposition data can be recorded in any number of ways, but they should be recorded in such a way that comparisons of manner of disposition can be made for total caseload, including a count of judicial and nonjudicial dispositions.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum level in boldface; maximum level in Chapter IV)

Manner of disposition (intermediate-level data elements are displayed)

COMMENTS: Simple counts of the kinds of cases handled by the court do not tell the manager much about what resources are needed to process caseload unless something is known about the manner in which cases are disposed. Cases that go to trial or are appealed, for example, take substantial amounts of time compared to the case where the defendant pleads guilty before trial. See Model 12.

Raw numbers by themselves convey very little meaning. The computed percentages tell the court manager the proportion of each manner of disposition for the total caseload.

Trial Court Model
Output Report 11: Trial court manner of disposition

Summary statistics

Case type	Name of court							Total	
	Dismissed/ withdrawn/ settled (before trial) Number/percent	Uncon- tested/ default Number/percent	Trans- ferred Number/percent	Arbi- tration Number/percent	Jury trial Number/percent	Non-jury trial Number/percent	Other Number/percent		
Civil cases:									
Tort									
Contract									
Real property									
rights									
Small claims									
Domestic relations									
Mental health									
Estate									
Appeal									
Extraordinary									
writ									
Postconviction remedy									
Other									
Criminal cases:									
Felony									
Misdemeanor									
Preliminary hearing									
Ordinance violation									
Appeal									
Extraordinary writ									
Postconviction remedy									
Sentence review									
only									
Other									
Traffic cases:									
DWI/DUI									
Contested moving traffic violation									
Other contested traffic violation									
Case type	Petition denied Number/percent	Petition withdrawn Number/percent	Matter dismissed Number/percent	Diverted Number/percent	Transferred to adult court Number/percent	Transferred to other jurisdiction Number/percent	Petition granted (adjudication hearing Number/percent	Total Number/percent	
Juvenile cases:									
Criminal-type offender									
Status offender									
Non-offender									
Other juvenile matters									
TOTALS									

This chart is appropriate for a general jurisdiction trial court. A limited jurisdiction trial court would use only the appropriate case types, including preliminary hearing, and would add bound over to the manner of disposition categories for criminal cases.

Trial Court Model

Output Report 12: Trial court manner of disposition:
Percent of cases disposed by trial

PURPOSE: Cases that go to trial require far greater court resources than those that are settled earlier by a guilty plea or other means. Efficient resource allocation requires accurate data on how many cases go to trial. It would also be useful to know the average length of trials for each case type.

DESCRIPTION: These data are derived from the data in Model 11, and could very easily be combined into a single display.

DATA SETS Case types (minimum data elements)

REQUIRED: Manner of disposition (minimum data elements)

COMMENTS: The bar graphs may be scaled by percents as they are here, or they may be scaled by absolute numbers of cases.

Percentage-based bars facilitate the comparison of relative levels of jury trial, non-jury trial, and other dispositions among the bars; absolute number disposed-based bars demonstrate the differences in volume between the different types of dispositions among the bars. The accompanying pie chart amplifies selected portions of the bars, showing the relative frequencies of occurrence of the different types of trials for civil and for criminal cases.

Two more bars, one for traffic and one for juvenile, and corresponding additional wedges to the pie can be added for courts that handle traffic and juvenile cases.

ADDITIONAL ANALYSIS: Each different manner of disposition could also be displayed as a percent of total dispositions, using a pie chart.

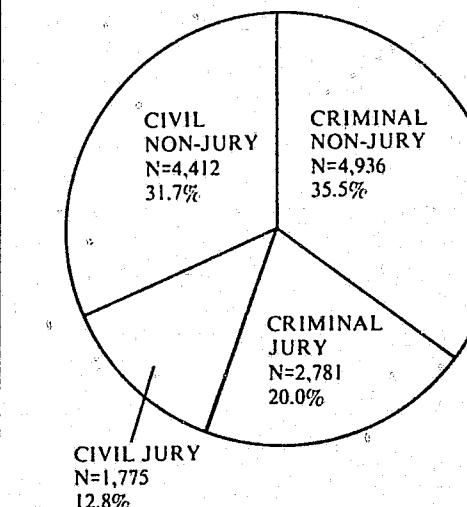
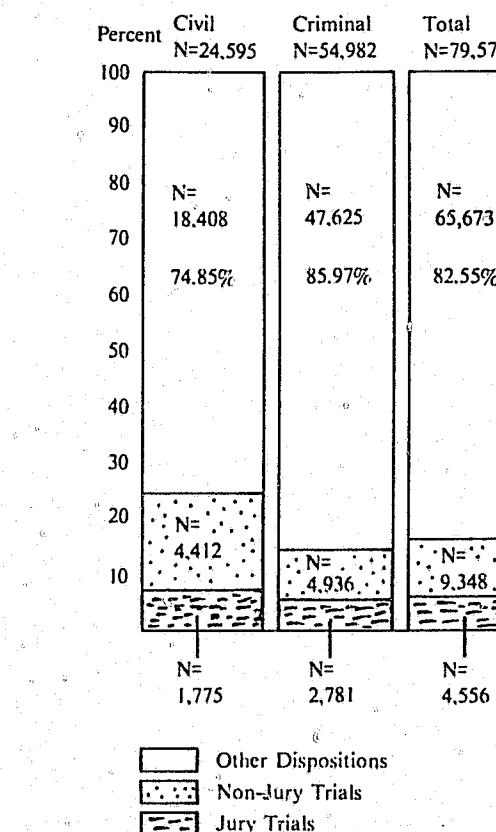
Trial Court Model

Output Report 12: Trial court manner of disposition:
Percent of cases disposed by trial

Summary statistics

Name of court
Reporting period

Case type	Total dispositions	Number of jury trials	Percent of jury trials	Number of non-jury trials	Percent of non-jury trials	Total trials	Percent of dispositions
Civil	24,595	1,775	7.21	4,412	17.93	6,137	25.15
Criminal	54,982	2,781	5.05	4,936	8.79	7,717	14.03
Total	79,577	4,556	5.72	9,348	11.74	13,904	17.47



Trial Court Model Output Report 13: Trial court caseload per judge

PURPOSE: Caseload per judge is another measure of resource needs. These data permit a calculation of the average caseload that each judge is handling. If case filings exceed the capacity of the court, then new judges must be added or changes made in case processing procedures. If such changes are made, an assessment can be made of whether the changes are permitting the judges to handle a larger caseload in the same length of time.

DESCRIPTION: This model takes the caseload inventory data contained in Model 7 and divides caseload by the number of judges sitting on the bench.

DATA SETS Case inventory (beginning pending, filed, disposed, end pending)
REQUIRED:

COMMENTS: The report should specify whether its data deal with authorized judgeships or sitting judges.

This type of report is probably most useful on the individual court level. The state court administration can examine these forms from each court location for a number of years to identify where caseload per judge is particularly high, and where it is growing. These courts may be candidates for the creation of additional judgeships. These data may also be compared with time to disposition figures to identify courts that may need help improving their case processing procedures. Courts with low caseloads per judge but long times to disposition could probably improve their procedures by implementing caseload management techniques. The inclusion of the number of trials per judge on the table may give an indication of one of the underlying causes of increased delay and low caseload per judge.

ADDITIONAL ANALYSIS: If actual caseload per judge is known, a chart showing this information would be useful, providing the types of cases each judge disposed can be displayed. Gross figures are misleading because different types of cases require different amounts of judge time.

Caseload per judge could be arranged in rank order of number of cases disposed.

Trial Court Model
Output Report 13: Trial court caseload per judge

Summary
statistics

Name of court
Reporting period

Geographic area 1	Geographic area 2	Geographic area 3	Etc.	Total cases
-------------------	-------------------	-------------------	------	-------------

Number of FTE judges

Cases filed

Average per judge

Cases disposed

Average per judge

Cases pending

Average per judge

Jury trials

Average per judge

Non-jury trials

Average per judge

FTE = full-time equivalent, or total judge time divided by the normal annual number of days/hours served by a full-time judge.

The data in this chart could be supplied for civil cases, criminal cases, traffic cases, and juvenile cases, as well as for total cases.

Trial Court Model

Output Report 14: Comparative analysis:

Number and percent change in filings

Number and percent change in dispositions

PURPOSE: Trend analysis is used by court managers in making decisions on how to allocate resources--how many judges are needed to handle the caseload, what support personnel, what facilities (rooms and equipment), what fiscal support, and how these will change from year to year.

DESCRIPTION: This chart requires two years of data in order to calculate the number and percent change in filings and dispositions. The same kind of analysis could be done monthly and quarterly in the format displayed on Model 15 using data from the same month or quarter during the previous year.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum level in boldface; maximum in Chapter IV)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: A slight increase in both filings and dispositions each year is expected. Warning signals to look for are increases in filings coupled with decreases in dispositions. This signals that the pending caseload is increasing and that the court is falling behind in processing its caseload.

ADDITIONAL ANALYSIS: Similar comparisons over time should be done with manner of disposition data (see Model 17), as well as with caseload per judge.

Trial Court Model

Output Report 14: Comparative analysis:

Number and percent change in filings

Number and percent change in dispositions

Summary statistics

Name of Court
Time period

Case type	Filings			Dispositions		
	1981	1982	percent change	1981	1982	percent change
Civil cases						
Tort						
Contract						
Real property rights						
Small claims						
Domestic relations						
Mental health						
Estate						
Appeal						
Extraordinary writ						
Postconviction remedy						
Other civil						
Total civil						
Criminal cases						
Felony						
Misdemeanor						
Ordinance violation						
Extraordinary writ						
Postconviction remedy						
Sentence review only						
Other criminal						
Total criminal						
Traffic cases						
DWI/DUI						
Contested moving traffic violation						
Other contested traffic violation						
Parking violation (uncontested)						
Total traffic						
Juvenile cases						
Criminal-type offender						
Status offender						
Non-offender						
Other juvenile matters						
Total juvenile						
TOTAL CASELOAD						

Trial Court Model

Output Report 15: Trend analysis:

Comparison of number of filings to date
in successive reporting periods
and percent change in filings

PURPOSE: To follow trends on a continuing basis rather than from the end of a reporting period to the end of the next reporting period.

DESCRIPTION: This report can be done at regular intervals, using basic caseload inventory, and will provide a series of comparisons for use in spotting short-term trends. Filings, for example, may consistently be heavier at one time of the year. Knowing this makes it easier to plan workflow.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum are in boldface; maximum in Chapter IV)
Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: In place of "year to date," "previous 12-month period" can be used as a means of smoothing out the meaningless variation that may otherwise obscure a developing trend. This table is designed to show recent history (current month) and long-term history (year-to-date or previous 12-month period) in order to help correct for seasonal variations.

ADDITIONAL ANALYSIS: Similar comparisons over time should be done with manner of disposition data, number of trials, or any other event the court manager wants to track.

Trial Court Model

Output Report 15:

Trend analysis:

Comparison of number of filings to date
in successive reporting periods and
percent change in filings

Summary statistics

Name of court

Case type	Number of cases filed this month	Year to date	Number of cases filed last year this month	Last year to date	Percent change in year to date
-----------	----------------------------------	--------------	--	-------------------	--------------------------------

Civil cases
Tort
Contract
Real property rights
Small claims
Domestic relations
Mental health
Estate
Appeal
Extraordinary writ
Postconviction remedy
Other civil

Total civil

Criminal cases
Felony
Misdemeanor
Ordinance violation
Extraordinary writ
Postconviction remedy
Sentence review only
Other criminal

Total criminal

Traffic cases
DWI/DUI
Contested moving traffic violation
Other contested traffic violation
Parking violation (uncontested)

Total traffic

Juvenile cases
Criminal-type offender
Status offender
Non-offender
Other juvenile matters

Total juvenile

TOTAL CASELOAD

Trial Court
Model Output Report 16: Trend analysis:
Cases filed over a six-year period

PURPOSE: This table permits the court manager to examine recent history and from it to estimate what caseloads can be expected next year and the year following, so that resource needs can be projected into the future. With this information, the manager can make budget and appropriation requests based on such projections, calculate judge and personnel needs accordingly, and so on.

DESCRIPTION: This chart requires caseload inventory data from more than two reporting periods.

DATA SETS Case types (intermediate-data elements; minimum level in **REQUIRED:** boldface; maximum level in Chapter IV)
Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Data from this chart can be used as input for regression analysis (years are the independent variables, filing figures are the dependent variables). The regression equation is then used to predict filings for any future year. (See Model 19.)

The periods used for this model could be weeks or months instead of years. (Weeks or months will show seasonal variations, but not necessarily the underlying trend.)

ADDITIONAL ANALYSIS: The number and percent change from the previous reporting period could also be displayed along with each column of data. This table may be constructed for filings, dispositions, particular types of dispositions, or the caseload pending at the end of the year.

Trial Court Model
Output Report 16: Trend analysis:
Cases filed over a six-year period

Summary statistics

Case type	Cases filed						Percent Change 1978-1983
	1978	1979	1980	1981	1982	1983	
<u>Number/percent Number/percent Number/percent Number/percent Number/percent Number/percent</u>							
Civil cases:							
Tort							
Contract							
Real property							
rights							
Small claims							
Domestic							
relations							
Mental health							
Estate							
Appeal							
Extraordinary							
writ							
Postconviction							
remedy							
Other civil							
Total civil							
Criminal cases							
Felony							
Misdemeanor							
Ordinance violation							
Extraordinary writ							
Postconviction							
remedy							
Sentence review only							
Other criminal							
Total criminal							
Traffic cases							
DWI/DUI							
Contested moving							
traffic violation							
Other contested							
traffic violation							
Parking violation							
(uncontested)							
Total traffic							
Juvenile cases							
Criminal-type offender							
Status offender							
Non-offender							
Other Juvenile matters							
Total juvenile							
TOTAL CASeload							

Trial Court
Model Output Report 17: Trend analysis:
Number and percent change for each manner of disposition

PURPOSE: Trend analysis permits the court manager to examine recent history and from it to estimate what caseloads can be expected next year and the year following, so that resource needs can be projected into the future, budget and appropriation requests based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: This chart requires more than two years of data in order to compare the number and percent change in dispositions.

DATA SETS REQUIRED: Case types (minimum-level data elements displayed; see Chapter IV for intermediate and maximum levels)
Manner of disposition (intermediate-level data elements; minimum and maximum levels are in Chapter IV)

COMMENTS: Data from this chart can be used as input for regression analysis (years are the independent variables, manner of disposition figures are the dependent variables). The regression equation is then used to predict manner of disposition for any future year.

Trial Court Model
Output Report 17: Trend analysis:
Number and percent change for each manner of disposition

Summary statistics

Name of Court						
	1978 Number/percent	1979 Number/percent	1980 Number/percent	1981 Number/percent	1982 Number/percent	Percent change 1978-82
Civil cases						
Jury trial						
Non-jury trial
Dismissed/withdrawn/settled (before trial)
Uncontested/default
Transferred
Arbitration
Other
Total civil	/100%					
Criminal cases						
Contested traffic cases						
Jury trial
Non-jury trial
Dismissed/nolle prosequi (before trial)
Bound over
Transferred
Diverted
Guilty plea (before trial)
Bail forfeiture
Other
Total criminal and traffic	/100%					
Juvenile cases						
Petition denied
Petition withdrawn
Matter dismissed
Transferred to adult court
Transferred to other jurisdiction
Diverted
Petition granted (adjudication hearing)
Other
Total juvenile	/100%					
TOTAL CASELOAD						
The dotted lines indicate the manners of disposition for which percent change over the time period is particularly important.						

Trial Court Model
Output Report 18:

Trend analysis:
Comparison of dispositions by trial
over several reporting periods

PURPOSE: Trend analysis permits the court manager to examine recent history and from it to estimate what caseloads can be expected next year and the year following, so that resource needs can be projected into the future, budget and appropriation requests based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: This chart requires the data displayed in Model 12 for several reporting periods.

DATA SETS REQUIRED: Case types (intermediate-level data elements displayed; minimum level in boldface; maximum in Chapter IV)

Case inventory (beginning pending, filed, disposed, end pending)

Manner of disposition (minimum-level data elements)

ADDITIONAL ANALYSIS: This same kind of data display would be useful for other major manner of disposition types, such as pleas before trial. This kind of information helps the court manager assess more accurately the judicial resources needed to dispose of each kind of case.

Once again, regression analysis can be performed on the data presented in this table. Comparisons of the trial rate among case types can be used as input for the development of a weighted caseload system.

Trial Court Model

Output Report 18: Trend analysis:

Comparison of disposition by trial
over several reporting periods

Summary statistics

Case type	Name of court			
	Dispo-	Dispo-	Dispo-	
	sitions by trial	Percent of total	sitions by trial	Percent of total
	1979	Number/percent	1980	Number/percent
Civil cases				
Tort				
Contract				
Real property rights				
Small claims				
Domestic relations				
Mental health				
Estate				
Appeal				
Extraordinary writ				
Postconviction remedy				
Other civil				
Total civil				
Criminal cases				
Felony				
Misdemeanor				
Ordinance violation				
Extraordinary writ				
Postconviction remedy				
Sentence review only				
Other criminal				
Total criminal				
Traffic cases				
DWI/DUI				
Contested moving traffic violation				
Other contested traffic violation				
Total traffic				
Juvenile cases				
Criminal-type offender				
Status offender				
Non-offender				
Other juvenile matters (includes traffic)				
Total juvenile				
TOTAL CASELOAD				

Trial Court Model Output Report 19: Trial court caseload inventory projections based on trend analysis

PURPOSE: Trend analysis permits the court manager to examine recent history and from it to estimate what caseloads can be expected next year and the year following, so that resource needs can be projected into the future, budget and appropriation requests based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: Regression analysis is a mathematical technique of describing how two or more independent variables relate to the dependent variable. It also describes how strong the relationship or correlation is between the variables. Computerization has enabled the analyst to manipulate large quantities of data and easily study the interrelationships of all these variables to each other.

For a more detailed discussion of regression analysis, see Lawson and Gletne, Workload Measures in the Courts (Williamsburg: National Center for State Courts, 1980) p. 116 ff.

DATA SETS REQUIRED: Caseload inventory.

COMMENTS: The amount of data used for a regression analysis must be given careful consideration. Older data from earlier years may represent policies and procedures no longer used in the court. Basing the analysis on too few data points may give results based on random variation of the data, but missing the underlying trend. One possible solution is to weight the data, giving more recent data more influence in the analysis. Before performing the regression analysis, it is often helpful to construct a graph of the data to be analyzed. This graph will often give indications of how the analysis should proceed--where changes occurred that affected the data and what results can be expected from the analysis.

ADDITIONAL ANALYSIS: This kind of analysis can be done for each case type, using both filings and dispositions, as well as manner of disposition.

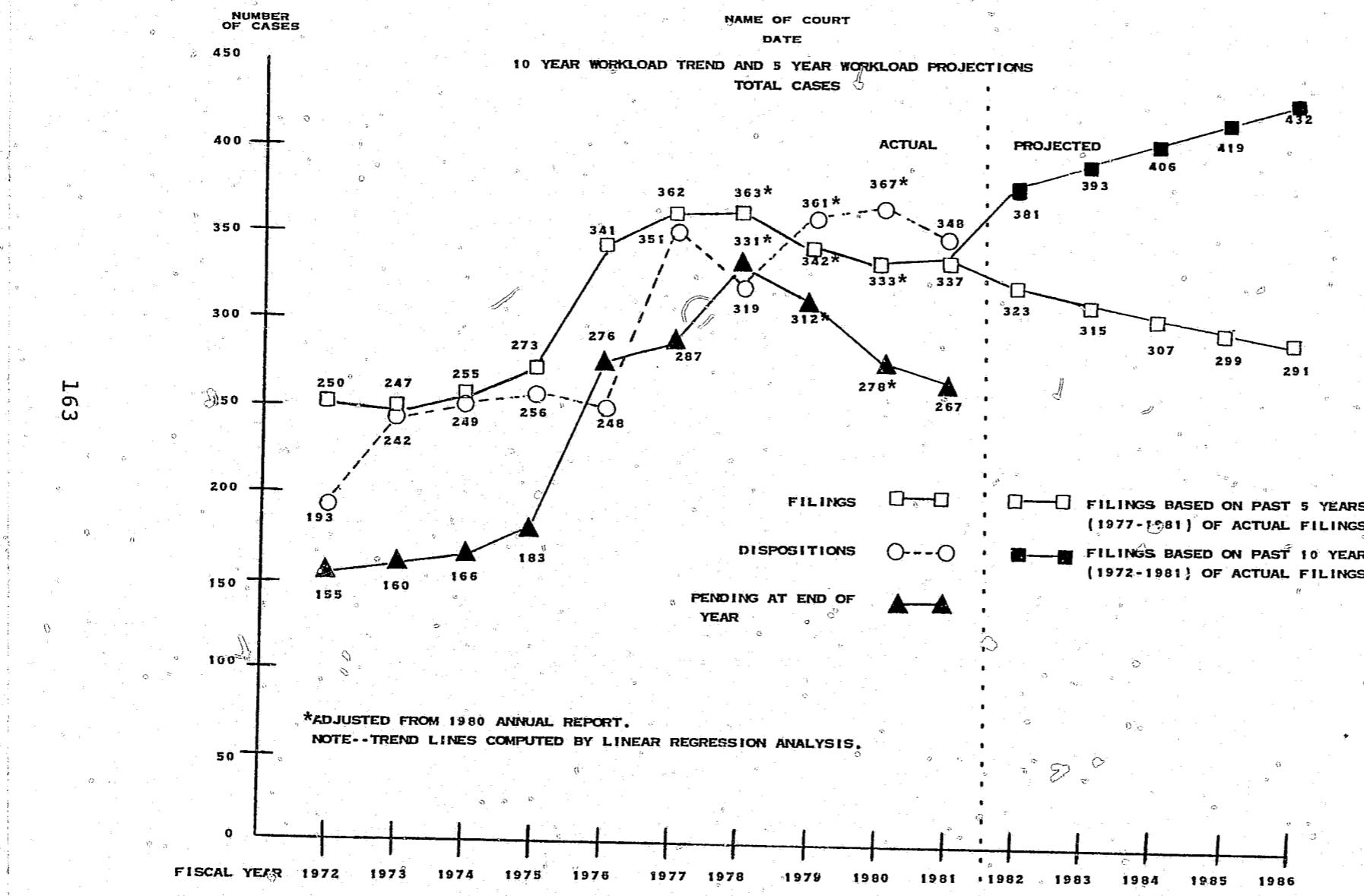
Other independent variables than filings and dispositions can also be used to predict future trends, such as economic indicators (for civil cases), population, or number of automobiles registered (for traffic cases).

The data shown on Model 19 could be rearranged to compare case dispositions with filings of the previous year as another device for predicting future trends. The previous year's filings over several periods would be used to calculate within what percentage dispositions have fallen, on the assumption that that percentage will carry on into the future. Some range of confidence intervals should be completed along the prediction line so that the precision of the estimate is also evident.

Trial Court Model

Output Report 19: Trial court caseload inventory projections based on trend analysis

Summary statistics



Section 3. Procedures for analyzing trial court caseflow data

Data on events in case processing can be used for caseflow management to assess the pace of litigation, establish and monitor standards for case processing, and forecast caseflow.

Caseflow management output reports require information on the time it takes individual cases to move through the courts and the time intervals between critical events in case processing. Ideally, these data would be collected on a case-by-case basis, from which aggregate statistics can be calculated. It is possible, however, to collect aggregate data with a manual reporting system, either by using card index files (as described in Model Input Form 2) or by sampling active and recently disposed case files at regular intervals. Automation of case-by-case reporting systems makes it much easier to enter and analyze the large volume of data required to build the following output reports for caseflow management, needed by court managers for decision-making and planning purposes.

Your court may not need all of the models displayed here, but can choose those that are most useful for your management requirements.

CONTINUED

2 OF 4

Trial Court Model Output Report 20: Age of pending cases

PURPOSE: To present age-of-pending-cases data for the active caseload. Until age-of-pending-cases data are available, the court manager has no way of knowing whether cases are being processed within a time period that is acceptable to the courts, much less acceptable to the citizens involved.

DESCRIPTION: The date of filing of each case is essential to calculating the age of pending cases. The time intervals chosen for display on Model 20 should reflect the amount of time that the particular jurisdiction has decided is acceptable for processing each type of case. These are summary statistics of the number of cases falling within each time period the court has chosen to measure.

DATA SETS Case types (intermediate-level data elements; minimum level in **REQUIRED:** boldface; maximum level in Chapter IV)
Events in case processing (date of filing)

COMMENT: The State Court Model Statistical Dictionary emphasizes how important it is for courts to define precisely when a case is filed and when it is considered disposed for statistical reporting purposes. Once those points are defined, the dates can be recorded and then the court can calculate the measure of central tendency required to process any particular type of case and can indicate the number of cases that fall outside the norm.

Trial Court Model
Output Report 20: Age of pending cases

Summary
statistics

		Name of court Date							**Measure of central tendency			
		Total pending Number/percent	*Less than 90 days Number/percent	*91-180 days Number/percent	*181 days to 1 year Number/percent	1-2 years Number/percent	More than 2 years Number/percent					
Civil cases:												
Tort Contract Real property rights Small claims Domestic relations Mental health Estate Appeal Extraordinary writ Postconviction remedy Other civil												
Total civil cases												
		Total pending Number/percent	*0-30 days Number/percent	*31-60 days Number/percent	*61-90 days Number/percent	*91-180 days Number/percent	*More than 180 days Number/percent	**Measure of central tendency				
Criminal cases:												
Felony Misdemeanor Ordinance violation Preliminary hearing Appeal Extraordinary writ Postconviction remedy Sentence review only Other criminal												
Total criminal cases												
		Total pending Number/percent	*0-30 days Number/percent	*31-60 days Number/percent	*61-90 days Number/percent	*91-180 days Number/percent	*More than 180 days Number/percent	**Measure of central tendency				
Traffic cases:												
DWI/DUI Contested moving traffic violation Other contested traffic violation Uncontested parking violation												
Total traffic cases												
		Total pending Number/percent	*0-30 days Number/percent	*31-60 days Number/percent	*61-90 days Number/percent	*91-180 days Number/percent	*More than 180 days Number/percent	**Measure of central tendency				
Juvenile cases:												
Criminal-type offender Status offender Non-offender Other juvenile matters												
Total juvenile cases												

*The time frames shown in the heading of this model should reflect the time standards established for your jurisdiction.

**The measure of central tendency may be average, median, or mode, depending on the degree of sophistication of the reporting system being used. The court may also want to indicate the percentile in which the measure of central tendency falls, if mean or mode is used.

Trial Court Model Output Report 21: Age of cases at disposition

PURPOSE: To indicate how long cases recently disposed had been in the court system.

DESCRIPTION: The date of filing and date of disposition of each case are essential to calculating the age of cases at disposition. The time intervals chosen for display on Model 21 should reflect the amount of time that the particular jurisdiction has decided is acceptable for processing each type of case. These are summary statistics of the number of cases disposed within each time period the court has chosen to measure.

DATA SETS Case types (intermediate-level data elements; minimum level in **REQUIRED:** boldface; maximum level in Chapter IV
Events in case processing (dates of filing, disposition)

COMMENT: The State Court Model Statistical Dictionary emphasizes how important it is for courts to define precisely when a case is filed and when it is considered disposed for statistical reporting purposes. Once these points are defined, the dates can be recorded, and then the court can calculate the measure of central tendency required to process any particular type of case, and can indicate the number of cases falling outside the norm.

Trial Court Model
Output Report 21: Age of cases of disposition

Summary
statistics

Name of court
Date

	Total pending	*0-90 days	*91-180 days	*181 days to 1 year	*1-2 years	*More than 2 years	**Measure of central tendency
	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	

Civil cases:

Tort
Contract
Real property rights
Small claims
Domestic relations
Mental health
Estate
Appeal
Extraordinary writ
Postconviction remedy
Other civil

Total civil cases

	Total pending	*Less than 90 days	*91-120 days	*121-180 days	*181 days to 1 year	*More than 1 year	**Measure of central tendency
	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	

Criminal cases:

Felony
Misdemeanor
Ordinance violation
Preliminary hearing
Appeal
Extraordinary writ
Postconviction remedy
Sentence review only
Other criminal

Total criminal cases

Traffic cases:
DWI/DUI
Contested moving traffic violation
Other contested traffic violation
Uncontested parking violation

Total traffic cases

Juvenile cases:
Criminal-type offender
Status offender
Non-offender
Other juvenile matters

Total juvenile cases

*The time frames shown in the heading of this model should reflect the time standards established for your jurisdiction.

**The measure of central tendency may be average, median, or mode, depending on the degree of sophistication of the reporting system being used. The court may also want to indicate the percentile in which the measure of central tendency falls, if mean or mode is used.

Trial Court Model Output Report 22: Age of disposed cases by manner of disposition

PURPOSE: To indicate how long cases recently disposed had been in the court system, as well as the length of time taken for each manner of disposition.

DESCRIPTION: The date of filing and date of disposition of each case are essential to calculating the age of cases at disposition. The time intervals chosen for display on Model 22 should reflect the amount of time that the particular jurisdiction has decided is acceptable for processing each type of case. These are summary statistics of the number of cases disposed and the manner of disposition within each time period the court has chosen to measure.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum level in boldface; maximum level in Chapter IV)
Events in case processing (dates of filing, disposition)
Manner of disposition

COMMENTS: This is a further analysis of the information displayed in Model 21 to show age of disposed criminal cases by manner of disposition. Similar analysis could be done for civil, traffic, and juvenile case dispositions.

Trial Court Model Output Report 22: Age of disposed cases by manner of disposition

Summary statistics

<u>Manner of disposition</u>	<u>Name of court</u>		<u>Appeal</u>	<u>Extra-ordinary</u>	<u>Post-con-</u>	<u>Sen-</u>	<u>Other</u>	<u>Total</u>						
	<u>Felony</u>	<u>Misde-meanor</u>												
<u>Cases disposed by jury trial:</u>														
Number of cases disposed														
Mean age														
Median age														
0-90 days:														
number														
percent														
91-180 days:														
number														
percent														
>180 days:														
number														
percent														
<u>Cases disposed by non-jury trial:</u>														
Number of cases disposed														
Mean age														
Median age														
0-90 days:														
number														
percent														
91-180 days:														
number														
percent														
>180 days:														
number														
percent														
<u>Cases disposed after guilty or nolo contendere plea:</u>														
Number of cases disposed														
Mean age														
Median age														
0-90 days:														
number														
percent														
91-180 days:														
number														
percent														
>180 days:														
number														
percent														
<u>Cases dismissed, nolle prosequi or other disposition:</u>														
Number of cases disposed														
Mean age														
Median age														
0-90 days:														
number														
percent														
91-180 days:														
number														
percent														
>180 days:														
number														
percent														

Trial Court Model Output Report 23: Status of pending cases

PURPOSE: This table shows summary statistics of the number of cases waiting at each event in case processing. This information assists the court manager in calculating how many cases are leaving the system (how many failures to answer lead to defaults, how many failures to request a trial date lead to settlements, etc.). If the periods between events are lengthy or the number of cases is large at one event or another, these data permit the court manager to assess where there may be bottlenecks in the processing system that are leading to delay so that steps can be taken to eliminate the bottlenecks or very old cases can be dismissed. The data also permit an assessment of whether the delay is being caused within the court or by individuals outside the control of the court.

DESCRIPTION: These data require only a count of the number of cases waiting at each step. The easiest method of arriving at such a count is by processing the data through a computer. These counts can also be produced manually by keeping appropriate sets of card index boxes, as described in Model Input Form 2.

Status of pending cases on a case-by-case basis (which is an operational report) cannot be obtained manually without an extravagant use of personnel time. Case-by-case information on more than a small number of cases requires automation to be cost-effective.

DATA SETS Case types (intermediate-level data elements; minimum-level
REQUIRED: data elements in boldface; maximum in Chapter IV)

Events in case processing (intermediate-level data elements.
See Chapter IV for minimum and maximum levels)

COMMENT: Cases that are treated as disposed for statistical purposes may not in fact be removed from the jurisdiction of the court. These should be subtracted from pending caseload and reported under "other manner of disposition." Include under this classification civil cases such as trusteeships or guardianships that last long periods of time; criminal cases in which the defendant has absconded or is a fugitive, if these cases are considered inactive, as well as abatement by death of defendant; and juvenile cases that have been adjudicated or disposed but have not been terminated. (See Model 24 following for an example.) Include separately all cases that are transferred to an inactive status. The court should report how long cases are carried on the calendar before they are put on inactive status.

Trial Court Model
Output Report 23: Status of pending cases

Summary
statistics

Case type	Name of court Date				
	Total cases pending Number/percent	Awaiting first answer Number/percent	Awaiting first pretrial conference Number/percent	Awaiting first setting of trial Number/percent	Awaiting beginning of trial Number/percent
Civil cases:					
Tort Contract Real property rights Small claims Domestic relations Mental health Estate Appeal Extraordinary writ Postconviction remedy Other civil					
Case type	Total cases pending Number/percent	Awaiting indictment (information) Number/percent	Awaiting first setting of trial Number/percent	Awaiting beginning of trial Number/percent	Awaiting disposition Number/percent
Criminal cases:					
Felony Misdemeanor Ordinance violation Appeal Extraordinary writ Postconviction remedy Sentence review only Other criminal					
Traffic cases:					
DWI/DUI Contested moving traffic violation Other contested traffic violation Uncontested parking violation					
Case type	Total cases pending Number/percent	Awaiting intake decision Number/percent	Awaiting first hearing Number/percent	Awaiting interim disposition Number/percent	Awaiting adjudication/disposition hearing Number/percent
Juvenile cases:					
Criminal-type offender Status offender Non-offender Other juvenile matters					

This model applies to a general jurisdiction court or a unified trial court. It should be adapted for a two-tier trial court where the preliminary hearing takes place in a limited jurisdiction court.

Trial Court Model Output Report 24: Inactive case inventory

PURPOSE: This is an operational report that is important in presenting an accurate picture of status of pending cases. If inactive cases are carried in the pending caseload, their age will be reflected in the age of pending cases data.

DESCRIPTION: Cases that are inactive should be treated as disposed for statistical purposes, but may not in fact be removed from the jurisdiction of the court. These should be subtracted from pending caseload and reported under "other manner of disposition." Include under this classification civil cases such as trusteeships or guardianships that last long periods of time; criminal cases in which the defendant has absconded or is a fugitive, if these cases are considered inactive, as well as abatement by death of defendant; and juvenile cases that have been adjudicated or disposed, but have not been terminated. Include all cases that are transferred to an inactive status. The court should report how long cases are carried on the calendar before they are put on inactive status.

DATA SETS Case types (minimum-level data elements. See Chapter IV for
REQUIRED: intermediate and maximum levels)

COMMENT: This list may be ordered chronologically by the date put on inactive status, the date the case was filed, alphabetically, or by case number. Different orderings may be produced for different uses. For example, the police department may want an alphabetical listing of the criminal inactive pending cases to check whether persons arrested are wanted by the court. The court may want the same list in chronological order by date put on inactive status if there is a policy of purging cases long inactive.

The total number of cases listed should be printed after each section so that the court knows how many civil, criminal, traffic, and juvenile cases are on inactive status.

Trial Court Model
Output Report 24: Inactive case inventory

Summary statistics

Case number	Name of case	Case type	Filing date	Case status	Name of Court Date	Date designated inactive	Reason designated inactive
					Date	Reason	

Civil cases

Total

Criminal cases:

Total

Traffic cases:

Total

Juvenile cases:

Total

This is an operational report that is important in presenting an accurate picture of status of pending cases.

Delay assessment. Gross time spans from filing to disposition do not tell the court manager whether there is delay occurring in the processing of cases, or where such delay might be occurring in caseflow. Delay assessment requires a record of time intervals between specific events in case processing.

Time intervals between events in case processing. Many courts today do collect time interval data, but there is little agreement among courts as to which events in case processing are the significant ones to record. In trial court case processing, the events are more numerous than in appellate courts and there is less unanimity on the significance of each event in managing caseflow. General agreement seems to exist that it is useful to know how long trials last, and how much time is spent in pretrial activities because these have not traditionally been considered to be under the control of the court.

A substantial literature on caseflow management exists, but even here the events that researchers have chosen to measure vary considerably. In an evaluation of LEAA's court delay-reduction programs,² it was found that data from the sites studied did not permit distinctions between events in case processing, so that only three time frames could be assessed: lower court time, which was defined as the period from arrest until the trial court gains control of the case; trial court time, the period from when the trial court of general jurisdiction first gains control of a case until disposition on the merits; and sentencing time.

The Pretrial Delay Reduction Project (a collaboration of the National Center for State Courts, National Conference of Metropolitan Courts, and the Courts Division of LEAA) used different sets of measures to compare disposition times. The overall civil case measures used were tort disposition time, trial list disposition time, and time to jury trial. The criminal case measures used were total court disposition time, upper court disposition time, and time to jury trial. A final measure of caseload, a backlog index, was obtained by dividing the number of cases pending in a court at the beginning of the year by that year's dispositions. ". . . the higher the backlog index, the more pending cases a court has relative to expected yearly productivity."³

²David W. Newbauer, Marcia J. Lipetz, Mary Lee Luskin, John Paul Ryan, Managing the Pace of Justice: An Evaluation of LEAA's Court Delay-Reduction Programs (Washington, D.C.: National Institute of Justice, 1981), p. 18-19.

³Thomas Church, Jr., Alan Carlson, Jo-Lynn Lee, and Teresa Tan, Justice Delayed: The Pace of Litigation in Urban Trial Courts (Williamsburg, Va.: National Center for State Courts, 1978), p. 7-16.

In a later publication of the Pretrial Delay Reduction Project, the authors emphasize the importance of collecting "information about major events in a case and about characteristics thought to be relevant to the pace with which cases move through the court."⁴ A list of suggested events was provided (this list is included in a matrix of several similar lists gleaned from some of the major caseflow management studies, which will be found in Appendix B).

One theme that emerges in much of the work that has been done on caseflow management is that the court can and should control case processing. Data on particular events are essential if the court is to take control of them and manage the progress of cases through the court. Such data are essential in determining the pace of litigation, pinpointing delay in case processing, formulating and instituting a new continuance policy, and setting standards for case processing. The choice of which events to monitor can be made on this basis. The COSCA Committee on Statistics and Information Systems has chosen a model set of events for civil, criminal, traffic, and juvenile case processing that can be found in Chapter IV.

Summary statistics can be provided to indicate age and status of pending cases by court case management reporting systems that are manual or only partially automated (Models 20-25). Courts that have not automated their information system or are not ready to automate should not, however, discard the possibility of collecting data on events in case processing. As mentioned at the beginning of this section, information on date of filing and disposition can be collected manually, and two alternatives to case-by-case reporting exist whereby additional information on events in case processing can be provided manually. One alternative is to keep file boxes of index cards, one box for each type of case and one card for each individual case, on which the minimum essential dates in the processing of that case are recorded. (See Model Input Form 2 for an example.) These cards can be arranged behind color-coded dividers, filed by date of the next event, and moved each time a case progresses to the next event. Counts of total numbers of cases (status of pending cases) at each event can be made periodically (once a month, for example) and recorded, and cases that have passed the court's time standard be identified. The other alternative is to sample caseload in order to collect data on a portion (perhaps ten per cent) of the total caseload, assuming that these cases are typical, rather than to try to evaluate the entire caseload.

⁴Larry L. Sipes, Alan M. Carlson, Teresa Tan, Alexander B. Aikman, and Robert W. Page, Jr., Managing to Reduce Delay (Williamsburg, Va.: National Center for State Courts, 1980), p. 165.

Whatever method is used, information on the time spent in case processing is essential if court managers are to control the flow of cases through the court and try to bring case processing within the standards that the court has set as minimal to the timely dispensation of justice.

Automation is necessary in order to provide output reports indicating events in case processing on a case-by-case basis, especially in large volume, high activity courts.

Exception reports. In addition to pinpointing delay, data on events in case processing permit the court manager to add a dimension to age of pending cases information. He now knows not only how many cases have been pending certain lengths of time but also which cases and how many are at each stage in case processing. Exception reports can be created that show cases that are not within the normal range of time required, as shown in Model 27, and action can be taken either to require processing to continue, dismiss the case, or to remove it to inactive status.

Trial Court Model Output Report 25: Criminal case exception report:
cases pending over 90 days

PURPOSE: In order for the court to take control of the flow of cases through the court, rather than leave it to prosecutors or attorneys, the court manager needs data on events in case processing.

DESCRIPTION: This is an exception report indicating those cases not meeting a particular time standard, which can be available at any time with on-line inquiry capability. Similar reports could be requested for civil cases, traffic cases, or juvenile cases.

This kind of case-by-case reporting requires automation to be cost-effective and produce output reports in a timely fashion.

DATA SETS Case types

REQUIRED: Events in case processing

ADDITIONAL ANALYSIS: These kinds of operational data make it possible to prepare management reports such as Model 26 or similar case listings for all cases waiting in queue at any event in case processing.

Trial Court Model
Output Report 25: Criminal case exception report:
Cases pending over 90 days

Case-by-case

Name of court
Date

Jefferson County

OPEN CRIMINAL CASES

Case number	Case title	Date of event	Case type/event	Date of next event	Judge assigned	Cases pending over 90 days
000000	State v Becker	00/00/00 00/00/00 00/00/00 00/00/00 00/00/00 00/00/00 00/00/00 00/00/00 00/00/00 00/00/00	Felony Filing of complaint Arrest Arraignment Preliminary hearing Indictment Motions hearing Set for trial Trial commenced Date of judgment Sentencing hearing	00/00/00 00/00/00	Wilson	132
000000	State v Schwartz	00/00/00 00/00/00 00/00/00 00/00/00	Misdemeanor Filing of complaint Arrest Arraignment Pretrial settlement conference Sentencing hearing	00/00/00	Bruin	108
000000	State v Hughes	00/00/00 00/00/00 00/00/00 00/00/00 00/00/00	Felony Filing of complaint Arrest Arraignment Preliminary hearing Indictment Set for trial	00/00/00	Smith	99
000000	Etc.					

This exception report should be presented with the oldest case first and the others ranked according to age.

Trial Court Model

Output Report 26: Status of pending cases according to particular events in case processing

PURPOSE: To indicate what cases are waiting in queue at any event in case processing.

DESCRIPTION: This model is simply a list of cases that the computer has sorted according to the next scheduled event in each case.

DATA SETS REQUIRED: Case types (level of data elements is up to the court)
Events in case processing (level is up to the court)

COMMENT: When case volume is large, automation is necessary to sort cases according to the next event scheduled in each case.

Trial Court Model

Output Report 26: Status of pending cases according to particular events in case processing

Case-by-case

Name of Court
Date

Event: TRIAL DATE SET

Case number	Name of case	Case type	Date tria. set	Number of scheduled trial dates	Date scheduled
-------------	--------------	-----------	-------------------	---------------------------------------	-------------------

Civil cases:

Total

Criminal cases:

Total

Traffic cases:

Total

Juvenile cases:

Total

Such a case listing can be made for each event in case processing where the court must take some action. The list can be sorted numerically by case number or date scheduled, or alphabetically by defendant's name.

Event scheduling. Another benefit of information on events in case processing is that it assists the court in actually scheduling events in a coherent way rather than on the basis of aggregate caseload numbers. Calendars can be set, cases set for trial, and judges assigned for a specific roster of cases on a specific time schedule decided by the court. Experience has shown that these operational data are essential in promoting the most efficient use of court resources. They also permit the court to schedule witnesses, juries, attorneys, and police appearances as they will actually be needed, saving time and preventing frustration for these individuals. Models of operational reports are not included here but would include dockets, calendars, indexes of cases (listed by case number, defendant's name, or length of time pending), lists of attorneys, and so forth.

Standards for trial court caseflow management. Court control of events in case processing also permits the court to establish standards for caseflow processing and to monitor court performance in meeting those standards. Every court, if it hopes to process its caseload expeditiously, should set standards that would permit it to do so and then implement procedures that will accomplish the goals set.

The ABA Commission on Standards of Judicial Administration has provided guidelines for caseflow management goals. (Standards Relating to Trial Courts will be found in Appendix C.) COSCA in 1982 appointed a committee to develop national time standards for case processing.

Trial Court Model

Output Report 27: Trial court exception report:
Cases pending longer than your jurisdiction's minimum time standard

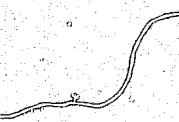
PURPOSE: This chart shows the number of cases waiting at each event in case processing and the time each has been waiting since the last event. This information assists the court manager in calculating how many cases are leaving the system (how many failures to answer lead to defaults, how many failures to request a trial date lead to settlements, etc.). If the time periods between events are lengthy or the number of cases is large at one event or another, these data permit the court manager to assess where there may be bottlenecks in the processing system that are leading to delay so that steps can be taken to eliminate the bottlenecks or very old cases can be dismissed. The data also permit an assessment of whether the delay is being caused within the court or by individuals outside the control of the court.

DESCRIPTION: This model differs from Model 23 in that it indicates the status of each case in the caseload rather than providing summary statistics. Case-by-case reporting on this scale can only be done with automation.

DATA SETS Case types (minimum-level data elements. See Chapter IV for
REQUIRED: intermediate and maximum levels)
Events in case processing

COMMENT: Each court should have its own standards for acceptable time spans for case processing.

ADDITIONAL ANALYSIS: This report may be produced for selected events and used as a schedule. It may also be used as an exception report, listing only those cases that have exceeded a specific standard for time between events. It may be printed in chronological order by date of next event or date of last event, alphabetically by case title, or by case number. It may be used as a guide for conducting a year-end audit of a sample of or all active pending cases. For this use, the listing should be produced by case number and matched against all active case files. All cases found to be previously disposed should be removed from the active files in the recordkeeping system. Other errors can be corrected at the same time.



Trial Court Model

Output Report 27: Trial court exception report:
Cases pending longer than your jurisdiction's minimum time standard

Case-by-case

Name of court
Date

Case number	Name of case	Case type	Date of last event	Nature of last event	Time since last event (days)	Next event date	Age of case (days)
Civil cases pending longer than your jurisdiction's minimum time standard							

Criminal cases pending longer than your jurisdiction's minimum time standard

Juvenile cases pending longer than your jurisdiction's minimum time standard

Traffic cases (contested) pending longer than your jurisdiction's minimum time standard

Forecasting for caseflow management. In order to do forecasting for caseflow management, trend analysis can be done on time-to-disposition data, on age of pending cases, on time intervals between events in case processing, on status of pending cases, and on events scheduled in case processing. [Examples are included in Appendix D to illustrate some of these kinds of analysis.² These are not models, but simply illustrations of the ways in which particular jurisdictions are analyzing and displaying case-related statistics. For instance, Example 1 gives information on juries sworn and number of jury trials over a 10-year period, as well as on the number of civil cases awaiting trial per authorized judge over a ten-year period.]

These kinds of analyses permit the court to compare its case processing performance with previous years and to plan case processing for future years.

Chapter VIII

Model appellate court data collection (input) forms and management (output) reports

The quality of the analysis in a court's management reports depends on the clear definition of management functions to be performed and the quality of the data on which they are based, as described in Chapter III. Figure 24 following demonstrates the relationship between the output reports that appear in Section 2 and 3 of this chapter and the data sets found in the model input forms in Section 1 below.

Section 1. Procedures for collecting appellate court case-related data

This section focuses on the collection of case-related statistics to meet the internal management needs of appellate courts. As will be seen later, many of these collection procedures are the same as those that are used in the compilation of state-level statistics. In order for these procedures to be effective, they must be accompanied by clear instruction manuals, which include data elements and definitions, instructions for making corrections, and the like.

There are three data collection procedures from which courts may choose:

1. Manual/batch automated:
 - a. Filing and disposition cards (Model 28)
 - b. Log sheets (Model 29)
2. Batch automated:
 - a. Multi-part report of case events (Model 30)
3. On-line automated:
 - a. On-line data entry screen (Model 31)

Each procedure, along with model forms used to collect the data, will be explained in more detail in the text accompanying each model.

²References to the examples are all contained in brackets to differentiate them from the models in this manual.

Figure 24: Relationship of data sets collected to output reports that can be produced--APPELLATE COURTS

DATA SETS			
Case types	Case inventory	Manner of disposition	Events in case processing
Input forms 28-31	Aggregate data	Input position	Filing and Additional disposition events
			Input forms 28-30
			Input form 31

APPELLATE COURT CASELOAD MANAGEMENT REPORTS

Caseload inventory analysis
Output reports 32, 34-38

Manner of disposition analysis
Output report 35

Trend analysis
Output report 39

Projections based on trend analysis
Output report 40

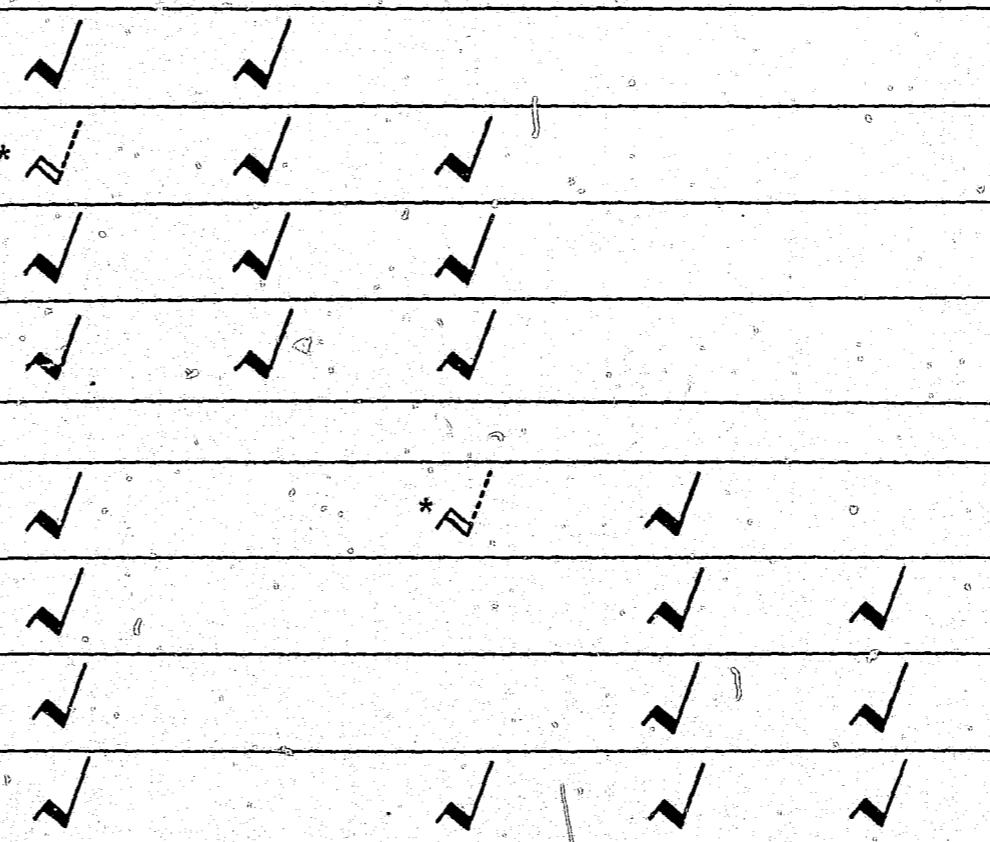
APPELLATE COURT CASEFLOW MANAGEMENT REPORTS

Age of cases (pending and disposed)
Output report 41, 43

Status of cases
Output report 41, 44

Exception reports
Output report 45

Time intervals between events
Output report 42, 44



*The broken check indicates that the analysis can be done without that particular data set, but the quality of the analysis will be improved by having that information.

Appellate Court Model Input Form 28: Filing and disposition cards

DATA COLLECTION METHOD: Manual/batch automated

PURPOSE: To capture basic case-related data for the individual court at the time of filing and again at disposition.

DESCRIPTION: The case tracking cards displayed are a three-part carbon set file card. The appropriate data sets for case type and manner of disposition should be inserted as indicated on the model.

PROCEDURE: The case initiation portion of the card set is completed at time of filing. The first card is placed in a card file by case type according to the month of filing. This permits tabulation of filing statistics by case type; the number of cases filed can be counted at the end of the week or month.

The second card is separated from the first two and kept in an index file to track the case. As the case proceeds through the court, the second (disposition) card is filed under each successive event heading in the index file. At disposition, this card is placed in the disposition file according to the manner of disposition to serve as a record of dispositions. (A photocopy of the card is sent at this time to the state administrative office.) Each month's dispositions are kept separate by type of disposition so that at the end of each month the total number of different types of dispositions can be counted.

The third card is for an alphabetical reference index file.

DATA SETS

CAPTURED: People indicators

Case type (intermediate-level data elements)

Manner of disposition (intermediate level)

Events in case processing (2--filing and disposition)

ADVANTAGES: Summary statistics can be prepared in a timely manner.

Filing information is entered only once, reducing errors.

Filing and disposition data available on individual cases, which permits analysis of age of cases pending and disposed.

Individual cases can be manually tracked by arranging the cards in index files and moving them as cases proceed through case processing.

Summary statistics can be provided for status of pending cases by counting cards filed at each event.

Inexpensive materials used.

DISADVANTAGES: If case volume is large, the manual preparation and arranging of the index cards and aggregation of data become very time-consuming.

PROVIDES DATA FOR OUTPUT REPORTS 32, 34-38--caseload inventory analysis; 35--manner-of-disposition analysis; 39--trend analysis; 40--trend analysis projections; 41 and 43--age of cases.

Appellate Court Model Input Form 28: Filing and disposition cards

FILING CARD	
Name of court _____	Date of filing _____ Case number _____
Case type: Insert case type Insert case type	
Insert case type Insert case type	

The top section of all three cards is filled in simultaneously at time of filing by means of carbon between the cards.

The top card is then detached and put in a filing index according to case type. All cases filed in that reporting period would be in this index.

DISPOSITION CARD	
Name of court _____	Date of filing _____ Case number _____
Case type: Insert case type Insert case type	
Insert case type Insert case type	
Manner of disposition: Insert manner of disposition	Date of disposition Insert manner of disposition Insert manner of disposition

This section of the second card is completed at disposition and put in a file according to manner of disposition. A copy of the entire card is sent to the AOC.

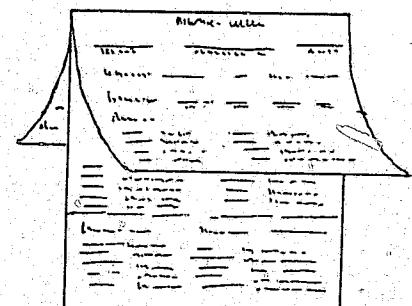
INDEX CARD	
Name of court _____	Date of filing _____ Case number _____

This third card was completed at case filing and put in an alphabetical card index to use in locating cases when the case number is not known.

Filled-in example of Filing and disposition cards

DISPOSITION CARD	
Name of court <u>Am. State Supreme Court</u>	Date of filing <u>06/03/83</u> Case number <u>CI82040837</u>
Name of case <u>Rodriguez vs Acme Power</u>	
Panel <u>X</u> Brown	En banc <u>DeLand</u>
	Ackerman
Case type: Request to appeal: Civil case <input checked="" type="checkbox"/> Civil case Criminal case <input type="checkbox"/> Criminal case Postconviction remedy <input type="checkbox"/> Postconviction remedy Administrative agency <input type="checkbox"/> Administrative agency Juvenile case <input type="checkbox"/> Juvenile case Sentence review only <input type="checkbox"/> Original proceeding: Original jurisdiction Disciplinary matter Advisory opinion	
Appeal: <input checked="" type="checkbox"/> Civil case <input type="checkbox"/> Criminal case <input type="checkbox"/> Postconviction remedy <input type="checkbox"/> Administrative agency <input type="checkbox"/> Juvenile case <input type="checkbox"/> Original proceeding: <input type="checkbox"/> Original jurisdiction <input type="checkbox"/> Disciplinary matter <input type="checkbox"/> Advisory opinion	
Manner of disposition: Opinion <input type="checkbox"/> Order (decision without opinion) Other decision <input type="checkbox"/> Granted <input type="checkbox"/> Granted <input type="checkbox"/> Denied <input type="checkbox"/> Denied <input type="checkbox"/> Memorandum decision <input type="checkbox"/> Memorandum decision <input type="checkbox"/> Other decision <input type="checkbox"/> Other decision <input type="checkbox"/> X Dismissed/withdrawn/settled Granted <input type="checkbox"/> Transferred <input type="checkbox"/> Denied <input type="checkbox"/> Other manner of disposition	
Date of disposition <u>09/22/83</u>	

Two dimensional illustration of a 3-part filing and disposition card:



Appellate Court Model Input Form 29A: Case filing log sheet

DATA COLLECTION METHOD: Batch data entry. (This log could also be used for the manual collection of data on individual cases by courts where the case volume is not too large.)

PURPOSE: To capture basic case-related data on individual civil cases at filing or case initiation for later entry into an automated information system.

DESCRIPTION: This log sheet is designed to collect data for a batch automated reporting system and serves as the input medium to the automated system. Separate filing and disposition log sheets are used for each different case type in order to avoid errors in entering data.

The time period for completing this form should be specified by the court and will depend on case volume. The actual data should be entered as close to the occurrence as possible as part of regular daily court routine.

DATA SETS

CAPTURED: People indicators

Case types (intermediate level)

Events in case processing (1--date of filing)

PROCEDURE: At case initiation, the clerk records the date and case number of the case along with the other requested information for each case. All cases filed on the same day or during the same reporting period are entered onto the same log sheet. Additional sheets may be used if there are more cases than a single log sheet will hold. Each case is entered on a separate line.

COMMENTS: The reporting of the case type on this form is particularly important, because different case types require widely different case processing resources.

ADVANTAGES: Provides data on each case as well as the case types and manner-of-disposition data needed for summary statistics.

Summary statistics can be prepared in a timely manner.

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Inexpensive materials used.

DISADVANTAGES: Provides no assistance in case tracking for operational use. Large margin for error in manually recopying data. A procedure must be formulated for making corrections after these data have been entered.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 32, 34-38--caseload inventory analysis; 35--manner-of-disposition analysis; 39--trend analysis; 40--trend analysis projections; 41 and 43--age of cases.

Appellate Court Model Output Report 29A: Case filing log sheet

Name of court		
APPELLATE CASE FILING LOG		
Time period ending	Page _____ of _____	Panel assignment
Date of filing of notice of appeal	Case number	Name of case
1.		
2.		
3.		
4.		
5.		
Etc..		
Total entries this page		
<u>Case types:</u> Insert data elements for case types		

Filled-in example of Appellate case filing log

Any State Supreme Court				
APPELLATE CASE FILING LOG				
Week ending 04/22/83	Page 1 of 1	Panel assignment		
Date of filing of notice of appeal	Case number	Name of case		
1. 04/16/83	CR82078486	State vs Anthony Rabatini	APCR	2
2. 04/18/83	CR82109845	State vs Bertrand E. Higginbottom	RQCR	1
3. 04/19/83	CR821040387	Anthony P. Jones vs Adele Power	RQCV	3
4. 04/20/83	AA82091298	Barbara J. Smith vs Price Woodward Compton	AARQ	1
5. 04/20/83	DM82060027	Any State Bar vs James M. Heckman	OPDN	3
6. 04/21/83	CR82020729	State vs Elcise Jessup	APCR	2
7. 04/22/83	JV82111745	Petition in behalf of Ellsworth B. Thompson	RQJV	1
8. 04/22/83	SR82208046	State vs Dominic Esposito	SERO	2
9.				
Etc..				
8 Total entries this page				
<u>Case types:</u>				
Request to appeal:				
RQCV - Civil case				
RQCR - Criminal case				
RQPC - Postconviction remedy				
RQA - Administrative agency				
RQJV - Juvenile case				
Appeal:				
APCV - Civil case				
APCR - Criminal case				
APPC - Postconviction remedy				
APAA - Administrative agency				
APJV - Juvenile case				
SERO - Sentence review only case				
Original proceeding:				
OPOJ - Original jurisdiction				
OPDM - Disciplinary matter				
OPAD - Advisory opinion				

Appellate Court Model Input Form 29B: Case disposition log sheet

DATA COLLECTION METHOD: Batch data entry. (This log could also be used for the manual collection of disposition data by courts where case volume is not too large.)

PURPOSE: To capture basic case-related data on individual cases at disposition for later entry into an automated information system.

DESCRIPTION: This log sheet is designed to collect data for a batch automated reporting system and serves as the input medium to the automated system. Separate filing and disposition log sheets are used for each case type to avoid errors in entering data.

The time period for completing this form should be specified by the court and will depend on case volume. The actual data should be entered as close to the occurrence as possible as part of regular daily court routine.

PROCEDURE: At case disposition, the clerk records the date and case number of the case along with the other requested information for each case. All cases disposed on the same day or during the same reporting period are entered onto the same log sheet. Additional sheets may be used if there are more cases than a single log sheet will hold. Each case is entered on a separate line.

DATA SETS

CAPTURED: People indicators

Manner of disposition (intermediate-level data elements)

Case types (intermediate-level data elements)

Events in case processing (date of disposition)

COMMENTS: The reporting of manner of disposition on this form is particularly important because cases that are dismissed require far less court resources than those that are disposed by a full opinion.

ADVANTAGES: Provides data on each case as well as the case types and manner-of-disposition data needed for summary statistics.

Summary statistics can be prepared in a timely manner.

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Inexpensive materials used.

DISADVANTAGES: Provides no assistance in case tracking (operational uses).

Large margin for error in manually recopying data. A procedure must be formulated for making corrections after these data have been entered.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 32, 34-38--caseload inventory analysis; 35--manner-of-disposition analysis; 39--trend analysis; 40--trend analysis projections; 41 and 43--age of cases.

Appellate Court Model Input Form 29B: Case disposition log sheet

Name of court APPELLATE CASE DISPOSITION LOG				Page _____ of _____
Time period ending _____				Case type assigned
Date of disposition	Manner of disposition	Case number	Name of case	Panel
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____
Etc. _____				Total entries this page _____
Manner of disposition: Insert data elements for manner of disposition				Case types: Insert data elements for case types

Filled in example of Appellate case disposition log

Any State Supreme Court APPELLATE CASE DISPOSITION LOG				Page 1 of 1
Week ending 04/22/83				Case type assigned
Date of disposition	Manner of disposition	Case number	Name of case	Case type assigned
1. 04/18/83	ORDE - DENI	OP83010036	Habeas corpus in behalf of John J. Epps	OPOJ 2
2. 04/19/83	MEMO - OTDE	CR82021034	State vs Marion Molino	RQCR 1
3. 04/19/83	TRAN	CI82082086	Marlene Jenks vs Pacific Products, Inc.	RQCI 3
4. 04/20/83	OPIN - OTDE	CR82129764	State vs Adelbert M. Merton	APCR 5
5. 04/20/83	ORDE - DENT	PC83020121	Petition in behalf of Bruce Johnson	APFC 2
6. 04/21/83	DISM	CR82119123	State vs Iskander Shabbur	RQCR 1
7. 04/22/83	MEMO - GRAN	CR83022022	State vs Bromwell W. Patton	RQCR 1
Etc. _____				Total entries this page 7
Manner of disposition				Case types
OPIN - Opinion	Request to appeal:			
OTDE - Other decision	RQCV - Civil case	APCV - Civil case		
GRAN - Granted	RQCR - Criminal case	APCR - Criminal case		
DENI - Denied	RQFC - Postconviction remedy	APPC - Postconviction remedy		
MEMO - Memorandum decision	RQAA - Administrative agency	APAA - Administrative agency		
OTDE - Other decision	RQJV - Juvenile case	APJV - Juvenile case		
GRAN - Granted	SERA - Sentence review only	Original proceeding:		
DENI - Denied	OPOJ - Original jurisdiction	OPOJ - Original jurisdiction		
OTDE - Order (decision without opinion)	OPDN - Disciplinary matter	OPDN - Disciplinary matter		
OTDE - Other decision	OPAD - Advisory opinion	OPAD - Advisory opinion		
GRAN - Granted				
DENI - Denied				
DISM - Dismissed/withdrawn/settled				
TRAN - Transferred				
MANN - Other manner of disposition				

Appellate Court Model Input Form 30: Multi-part report of case events

DATA COLLECTION METHOD: Automated--batch data entry. (Data are entered manually onto this form by the local court clerk, for batch entry into the automated information system at either a local location or at the state administrative office.)

PURPOSE: To capture detailed case-related data on individual appellate court cases at filing and again at disposition, and to capture case event data on active cases.

PROCEDURE: These forms capture all the data captured by the earlier models, plus the events in case processing. They are designed to capture data needed for operational purposes in case processing, with the information for local or state-level management purposes being a by-product.

DATA SETS People indicators

CAPTURED: Case type (intermediate-level data elements)
Manner of disposition (intermediate level)
Events in case processing (intermediate level)

COMMENTS: Adoption of this system saves courts the time it takes to re-type the case title for the purpose of docketing, indexing, scheduling, listing cases filed, and listing cases disposed. Additionally, the preparation of court case statistics is a by-product of the docketing operation, thus assuring more reliable information.

In a small-volume court, these two forms could be the menu screens on a microcomputer system.

ADVANTAGES: Filing information is entered only once (reducing error potential). This saves time.

Data can be verified by cross-checking case numbers.

Filing and disposition data are available on individual cases, which permits analysis of age of cases pending and disposed.

Data available on events in case processing permit assessment of the pace of litigation and caseload management.

Summary statistics are easily produced by the computer.

DISADVANTAGES: Initial expense of automation.

PROVIDES DATA FOR MODEL OUTPUT REPORTS 32, 34-38--caseload inventory analysis; 35--manner-of-disposition analysis; 39--trend analysis; 40--trend analysis projections; 41 and 43--age of cases.

Appellate Court Model Input Form 30: Multi-part report of case events

DATA ENTRY SHEETS FOR BATCH CASE HISTORY

APPELLATE CASE FILING FORM	
Name of court _____	Case number _____
Panel _____	Case name _____
En banc _____	Case type _____
Judges _____	Appellant attorney _____
	Defendant attorney _____
EVENTS IN CASE PROCESSING	
/ / Insert appropriate data elements	
/ / events in case processing	

This sheet and the four copies behind it are filled out at the time the case is filed. An entry is made each time a new event in case processing occurs, and one of the carbons is sent for data entry. (If three carbons are not enough, then another multi-part form could be used to record additional events, or additional data can be captured on a daily activity report.)

APPELLATE CASE DISPOSITION FORM	
Name of court _____	Case number _____
Panel _____	Case name _____
En banc _____	Case type _____
Judges _____	Appellant attorney _____
	Defendant attorney _____
EVENTS IN CASE PROCESSING	
/ / Insert appropriate data elements	
/ / events in case processing	
MANNER OF DISPOSITION	
Insert appropriate data elements for manner of disposition	

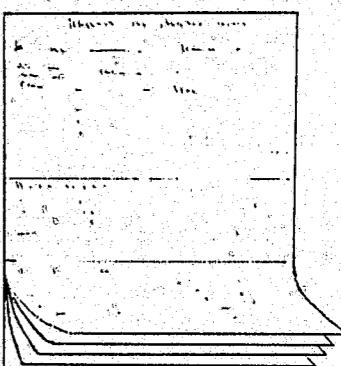
At the time the case is disposed, the date of disposition is entered and the bottom section of this fifth and final sheet of the set is completed.

The final copy of the multi-part set is sent for data entry, while the first sheet is retained in the case file as the permanent disposition record.

Filled-in example of Multi-part report of case events

APPELLATE CASE DISPOSITION FORM	
Name of court <u>Any State Supreme Court</u>	Case number <u>CR82106952</u>
Panel <u>X</u>	Case name <u>State vs Dominic R. Noto</u>
En banc _____	Case type <u>Appeal - CP</u>
Judges <u>AppLeigh</u>	Appellant attorney <u>Adam Bronowski</u>
<u>Deuce</u>	Defendant attorney <u>Darlene Pendroke</u>
<u>Worthington</u>	
EVENTS IN CASE PROCESSING	
Date	
<u>04/15/83</u> Notice of appeal	<u>10/24/83</u> Under advisement
<u>05/25/83</u> Court reporter's transcript received	<u>12/13/83</u> Decision
<u>05/18/83</u> Record received	<u>/</u> Request for en banc hearing or rehearing
<u>07/09/83</u> Appellant's brief received	
<u>08/24/83</u> Respondent's brief received	
MANNER OF DISPOSITION	
Opinion	Order
<u>Granted</u>	<u>Other decision</u>
<u>Denied</u>	<u>Granted</u>
<u>X</u> Memorandum decision	<u>Dismissed/withdrawn/settled</u>
<u>X</u> Other decision	<u>Transferred</u>
<u>Granted</u>	<u>Other manner of disposition</u>
<u>Denied</u>	

Two-dimensional illustration of 5-part form:



Appellate Court Model Input Form 31: On-line data entry screens

DATA COLLECTION METHOD: Automated on-line direct data entry.

PURPOSE: To make all case files immediately accessible; to provide the capability of manipulating data pertaining to the entire caseload; to make possible the monitoring of caseflow.

DESCRIPTION: On-line data entry permits the entire case file to be entered into the computer and allows inquiry for case information and status at any point in case processing. The computer can also perform the time-consuming tasks of data aggregation, statistical analysis, and caseflow monitoring.

DATA SETS People indicators

CAPTURED: Case types (the court could use the maximum level of data elements)

Manner of disposition (level of data elements is up to the court)

Events in case processing (level of data elements is up to the court)

COMMENTS: Courts with large caseloads can afford automation better than small-volume courts because of economies of scale.

The screens shown here deal largely with case-related data. The computer can, of course, accommodate the posting of all kinds of operational data, such as the name of the court reporter, results of the event, fees paid, and so forth, which will be arranged on different menu screens as needed. To clarify the process, Figure 25 is inserted following Model Form 31, showing a typical on-line information system flow.

ADVANTAGES: Data entry done only once for both operational and management purposes (saves staff time). Data is accurate, current, and as complete as court information needs require.

Data can be verified by cross-checking case numbers.

Management reports are a by-product of the operational data base.

DISADVANTAGES: Initial expense of automation.

Planning and development take substantial time.

PROVIDES DATA FOR OUTPUT REPORTS 32, 34-38--caseload inventory analysis; 35--manner-of-disposition analysis; 39--trend analysis; 40--trend analysis projections; 41 and 43--age of cases; 41 and 44--status of cases; 45--exception report.

Appellate Court Model Input Form 31: On-line data entry screen--filled-in example

APPELLATE CASE FILING

Date:

Case number: CI81112910

Date notice of appeal filed: 04/18/83

Case type: Appeal - Civil case

Source of case: Madison District Court

Name of case: Arlene Bruno vs Pacific Products, Inc.

Date first filed in trial court: 09/22/81

Date of judgment in trial court: 03/17/82 Trial court judge: Burns, N. J.

Appealed by: Defendant

Person filing documents: Defendant's attorney

Transcript required: No Date transcript ordered:

Court reporter

Estimated number of pages:

APPELLATE CASE REGISTER OF EVENTS

Case number: CI81112910

Date Events in case processing

05/22/83 Record received

06/30/83 Appellant's brief received

07/22/83 Respondent's brief received

09/28/83 Under advisement

10/22/83 Decision

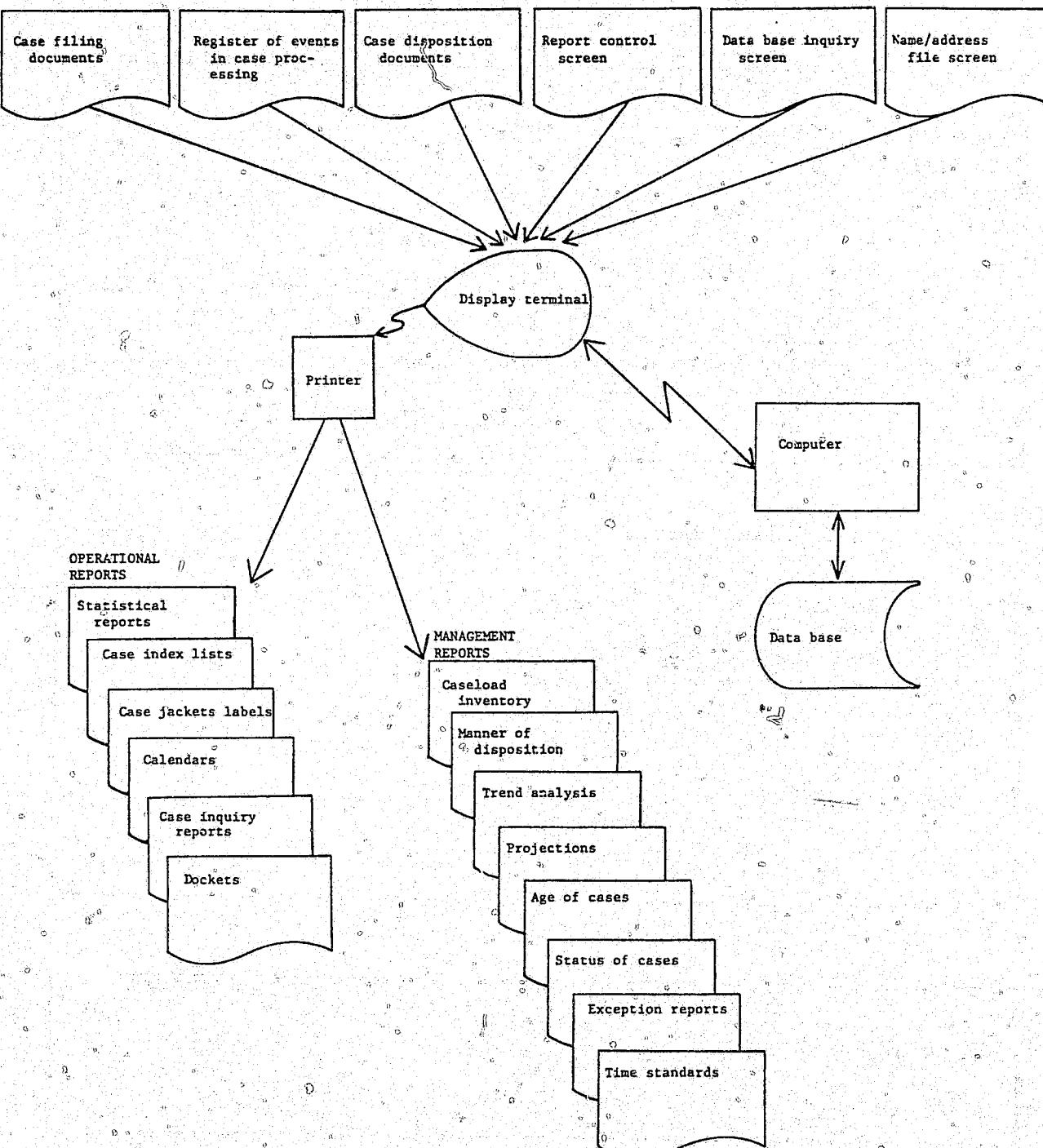
APPELLATE CASE DISPOSITION

Date: 10/22/83

Case number: CI81112910

Manner of disposition: Memorandum decision -- affirmed

Figure 25: On-line information system flow



Section 2. Procedures for analyzing appellate court caseload data

Court caseload inventory. Since the primary business of the court is to process cases, the most basic information needed for management purposes is derived from the court's caseload inventory. The three kinds of output reports described in this section—court caseload inventory, manner of disposition, and trend analysis of caseload inventory and manner of disposition—may be used by court managers in making decisions on allocating resources—how many judges are needed to handle the caseload, what support personnel, facilities (rooms and equipment), and fiscal support are needed.

Trend analysis also permits the court manager to forecast what caseloads can be expected next year and the year following, so that resource needs can be projected into the future, budget and appropriation requests based on such projections, judge and personnel needs calculated accordingly, and so on. These are fundamental requirements for carrying on the business of the courts—processing cases. Decisions necessary to keep cases moving through the courts can be based on the kinds of information in the models that follow.

There are any number of ways of displaying these basic data. Model 32 uses an intermediate number of data elements to capture appellate court caseload inventory, with the minimum data elements shown in boldface. Courts wanting to capture a maximum number of data elements will find appropriate alternate data sets displayed in Chapter IV.

Appellate Court Model
Output Report 32: Appellate court caseload inventory

PURPOSE: To provide court managers with information on which to base resource allocation, both for current needs and for future planning. Information on the numbers of cases being processed and how they are disposed provides the simplest mechanism for determining how many judges are needed, how many nonjudicial personnel will be required to support the judges, how many courtrooms and other facilities will be required, and what the financial support must be to permit the court to handle its caseload.

DESCRIPTION: The State Court Model Statistical Dictionary defines court caseload inventory as follows: "For statistical reporting purposes, four uniform caseload counts that should be reported for each reporting period: beginning pending (cases), filings, dispositions, end pending (cases)." The most rudimentary step in recording caseload inventory is to count the number of cases filed and the number disposed. Since case processing is a continuous operation, however, it is essential to know also how many filed cases were pending (not disposed of) at the beginning of the reporting period (week, month, year), and how many were pending at the end of the reporting period, because these cases are the unfinished business of the court. Increases or decreases in the number of cases pending indicate whether the court is completing its business in a timely manner.

DATA SETS Case types (intermediate-level data elements are displayed, REQUIRED: with minimum data elements in boldface. See Chapter IV for maximum data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Caseload needs to be broken down by case type, because different types of cases involve widely differing activities and amounts of time. Differing numbers of judges and support personnel are needed, different numbers of courtrooms and other facilities, different amounts of fiscal support. Appeals argued on the merits, for example, take much longer than sentence review only cases. This model includes the major case types.

Many courts break some or all of these case types down into subheadings. See Chapter IV--maximum data elements for appellate court caseload inventory--for an example.

ADDITIONAL ANALYSIS: The average number of cases per justice, filed and disposed, could be added to this model, or displayed separately.

Appellate Court Model
Output Report 32: Appellate court caseload inventory

Summary statistics

Name of court	Reporting period	Beginning pending	Filed	Disposed	End pending
<u>Case types</u>					
Requests to appeal					
Civil					
Criminal					
Postconviction remedy					
Appeal of administrative agency case					
Juvenile					
Total requests to appeal					
Appeals					
Civil appeals					
Requests to appeal granted that became civil appeals					
Criminal appeals					
Requests to appeal granted that became criminal appeals					
Postconviction remedy cases					
Requests to appeal granted that became postconviction remedy cases					
Appeal of administrative agency case					
Requests to appeal granted that became appeals of administrative agency cases					
Juvenile appeals					
Requests to appeal granted that became juvenile appeals					
Total appeals					
Sentence review only					
Original proceedings					
Original jurisdiction cases					
Disciplinary matters					
Advisory opinions					
Total original proceedings					
<u>TOTAL CASES</u>					

Appellate Court Model

Output Report 33: Appellate court manner of disposition

PURPOSE: To provide court managers with information on which to base resource allocation, both for current needs and for future planning. Information on the numbers of cases being processed and how they are disposed provides the simplest mechanism for determining how many judges are needed, how many nonjudicial personnel will be required to support the judges, how many courtrooms and other facilities will be required, and what the financial support must be to permit the court to handle its caseload.

DESCRIPTION: Manner of disposition data can be recorded in any number of ways, but they should be recorded in such a way that comparisons of manner of disposition can be made for total caseload.

DATA SETS Case types (intermediate-level data elements; minimum level in boldface; maximum level in Chapter IV)

REQUIRED: Manner of disposition (intermediate-level data elements are displayed)

COMMENTS: Simple counts of the kinds of cases handled by the court do not tell the manager a great deal about what resources are needed to process caseload unless something is known about the manner in which cases are disposed. Appeals that are argued on the merits, for example, take substantial amounts of time compared to requests to appeal or sentence review only cases.

Raw numbers by themselves convey very little meaning. Percentages could be added to this report to tell the court manager the proportion of each manner of disposition for the total caseload.

ADDITIONAL ANALYSIS: The percent of cases disposed by each manner of disposition could either be added to this model or shown separately.

The number of opinions, memorandum decisions, and orders written per judge could be added to this model or displayed separately.

Appellate Court Model

Output Report 33: Appellate court manner of disposition

Summary statistics

Case type	Name of court Reporting period					
	Opinion Other deci- sion ted	Memorandum decision Other deci- tion ted	Order (decision without opinion) Other deci- tion ted	Dis- missed/ with- drawn/ settled Trans- ferred	Other manner of dispo- sition	Total cases disposed

Requests to appeal:

Civil
Criminal
Postconviction
remedy
Appeal of administrative agency case
Juvenile

Total requests to appeal

Appeals:

Civil appeals
Requests to appeal granted that became civil appeals
Criminal appeals
Requests to appeal granted that became criminal appeals
Postconviction remedy appeals
Requests to appeal granted that became postconviction remedy cases
Appeal of administrative agency case
Requests to appeal granted that became appeals of administrative agency cases
Juvenile appeals
Requests to appeal granted that became juvenile appeals

Total appeals

Sentence review only:

Original proceedings:
Original jurisdiction case
Disciplinary matter
Advisory opinion

Total original proceedings

TOTAL CASES

Appellate Court Model Output

Report 34A and B: Appellate court caseload inventory:

Percent of total caseload filed for each type of case

PURPOSE: Since different types of cases take different amounts of processing time as well as differing judicial and nonjudicial resources, the percent of total caseload filed and disposed for each type of case gives the court manager a better understanding of actual resource needs.

DESCRIPTION: Model Output Report 34A shows the number of cases filed for each case type, the percent of each case type filed for each case type, and the percent of the total caseload that each major case category represents. Model Output Report 34B displays the data graphically.

DATA SETS Case types (intermediate-level data elements are displayed, REQUIRED: with minimum data elements shown in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: This analysis is basic to knowing what type of demands for service are placed on the court. The court can learn what percentage of its caseload is discretionary (percent requests to appeal), what percentage of the appeals it hears were mandatory and what percent discretionary, what percentage were original proceedings, and so forth. Comparing similar tables over recent years, the court can see if there are shifts from one case type to another; for example, are sentence reviews making up an increasing portion of the caseload?

ADDITIONAL ANALYSIS: The same type of analysis should be done for percent of total caseload disposed for each type of case. It could also be done for end pending cases, showing the percent of total caseload pending.

Appellate Court Model

Output Report 34A: Appellate court caseload inventory:

Summary statistics

Percent of total caseload filed for each type of case

Name of court
Date

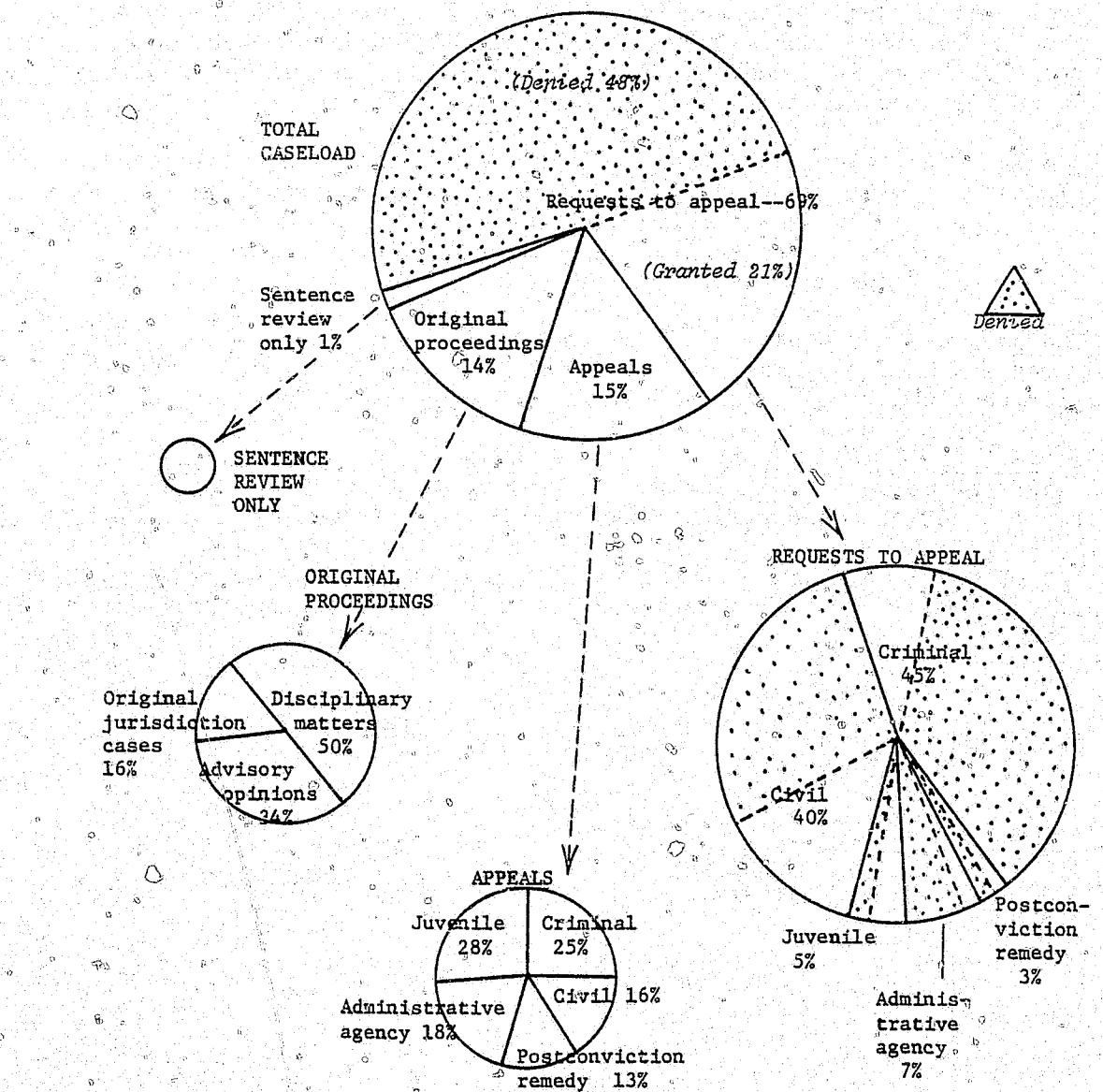
Case type	Number	Filed	Percent
Requests to appeal			
Civil	208	40%	of requests to appeal
Criminal	231	45%	of requests to appeal
Postconviction remedy	17	3%	of requests to appeal
Appeal from administrative agency	37	7%	of requests to appeal
Juvenile	24	5%	of requests to appeal
Total requests to appeal	517	69%	of total caseload
Appeals			
Civil appeals	18	16%	of appeals of right
Requests to appeal that became civil appeals	(64)	42%	of requests to appeal granted
Criminal appeals	29	25%	of appeals of right
Requests that became criminal appeals	(67)	44%	of requests to appeal granted
Postconviction remedy	15	13%	of appeals of right
Requests that became postconviction remedy appeals	(8)	5%	of requests to appeal granted
Appeals from administrative agency	20	18%	of appeals of right
Requests that became administrative agency appeals	(5)	3%	of requests to appeal granted
Juvenile appeals	32	28%	of appeals of right
Requests that became juvenile appeals	(9)	6%	of requests to appeal granted
Total appeals of right	114	15%	of total caseload
Total requests granted	(153)	21%	of total caseload
Sentence review only	8	1%	of total caseload
Original proceedings			
Original jurisdiction cases	17	16%	of original proceedings
Disciplinary matters	52	50%	of original proceedings
Advisory opinions	36	34%	of original proceedings
Total original proceedings	105	14%	of total caseload
TOTAL CASES	744	100%	of total caseload

Appellate Court Model

Output Report 34B: Appellate court caseload inventory:
Percent of total caseload filed
for each type of case

Summary
statistics

Name of court
Reporting period



Appellate Court Model

Output Report 35: Appellate court caseload inventory:
Change in pending, number and percent

PURPOSE: The change in pending from the beginning of the reporting period to the end of the reporting period tells the court manager whether the court is disposing of cases as fast as they are filed, and if not, at what pace the court is falling behind.

DESCRIPTION: Model 35 is identical to Model 32 except for the addition of the two final columns. Number change in pending is found by subtracting beginning pending and end pending. The percent is found by dividing the difference by the beginning pending figure.

DATA SETS Case types (intermediate-level data elements are displayed, REQUIRED: with minimum-level data elements in boldface. See Chapter IV for maximum-level data elements)
Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Positive percent changes in pending cases are warning signs. They may indicate that case types are being incorrectly coded, or they may indicate that the court is falling behind in processing the caseload.

ADDITIONAL ANALYSIS: The statistics displayed in Model 35 are for a one-year reporting period, but this report could also be done monthly and quarterly, and the change in pending calculated for each of those time periods.

Example 2 in Appendix D provides not only a graphic display of appellate cases filed, disposed, and pending, but also shows the average for each.

Appellate Court Model

Output Report 35: Appellate court caseload inventory:
Change in pending, number and percent

Summary statistics

Name of court
Reporting period

Case types	Beginning pending	Filed	Disposed	End pending	Change in pending number/percent
Requests to appeal					
Civil	25	208	137 (64)	32	+7 +28%
Criminal	23	231	134 (67)	53	+30 130%
Postconviction remedy	5	17	12 (8)	2	-3 -60%
Appeal of administrative agency case	17	37	32 (5)	17	0
Juvenile	9	24	16 (9)	8	-1 -11%
Total requests to appeal	79	517	331 (153)	112	+33 +42%
Appeals					
Civil appeals	42	18	57	67	+25 +60%
Requests to appeal granted that became civil appeals			(64)		
Criminal appeals	34	29	93	37	+3 +9%
Requests to appeal granted that became criminal appeals			(67)		
Postconviction remedy cases	4	15	17	10	+6 +150%
Requests to appeal granted that became post conviction remedy cases			(8)		
Appeal of administrative agency case	17	20	27	15	-2 -12%
Requests to appeal granted that became appeals of administrative agency cases			(5)		
Juvenile appeals	19	32	43	17	-2 -11%
Requests to appeal granted that became juvenile appeals			(9)		
Total appeals	116	114 (153)	237	146	+30 +26%
Sentence review only	0	8	8	0	
Original proceedings					
Original jurisdiction case	3	17	15	5	+2 +67%
Disciplinary matter	0	52	52	0	0
Advisory opinion	0	36	36	0	0
Total original proceedings	3	105	103	5	+2 +67%
TOTAL CASES	198	744	697	263	+65 +33%

Appellate Court Model

Output Report 36: Appellate court caseload inventory:
Disposed cases as percent of filings
End pending as percent of filings

PURPOSE: The two final columns in this model are another way of assessing how well the court is keeping up with the caseload being filed. If disposed cases are not a large percent of filings, then the court is falling behind. The same is true if end pending cases are a large percent of filings.

DESCRIPTION: This chart is based on Model 32, with two additional columns to contain the calculation of disposed cases as percent of filings and end pending cases as percent of filings.

DATA SETS REQUIRED: Case types (intermediate-level data elements are displayed, with minimum data elements in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Numbers below 90 to 95% in the "disposed cases as percent of filings" column are a warning. Big numbers in the "end pending cases as percent of filings" are also a warning, particularly if they continue to increase from year to year.

ADDITIONAL ANALYSIS: The statistics displayed in Model 36 are for a one-year reporting period, but this report could also be done monthly and quarterly, and the calculations of disposed cases as percent of filings and end pending cases as percent of filings could be displayed for those time periods.

Appellate Court Model

Output Report 36: Appellate court caseload inventory:
Disposed cases as percent of filings
End pending cases as percent of filings

Summary
statistics

Case types	Name of court Reporting period	Beginning pending	Filed	Disposed	End pending	Disposed cases as percent of filings	End pending cases as percent of filings
<u>Requests to appeal</u>							
Civil		25	208	137 (64)	32	97%	15%
Criminal		23	231	134 (67)	53	87%	23%
Postconviction remedy		5	17	12 (8)	2	118%	12%
Appeal of administrative agency case		17	37	32 (5)	17	100%	46%
Juvenile		9	24	16 (9)	8	104%	33%
Total requests to appeal		79	517	331 (153)	112	94%	22%
<u>Appeals</u>							
Civil appeals		42	18	57	67	70%	82%
Requests to appeal granted that became civil appeals				(64)			
Criminal appeals		34	29	93	37	97%	39%
Requests to appeal granted that became criminal appeals				(67)			
Postconviction remedy cases		4	15	17	10	74%	43%
Requests to appeal granted that became postconviction remedy cases				(8)			
Appeal of administrative agency case		17	20	27	15	108%	60%
Requests to appeal granted that became appeals of administrative agency cases				(5)			
Juvenile appeals		19	32	43	17	105%	41%
Requests to appeal granted that became juvenile appeals				(9)			
Total appeals		116	114 (153)	237	146	105%	55%
<u>Sentence review only</u>							
Original proceedings		0	8	8	0	100%	
Original jurisdiction case		3	17	15	5	88%	29%
Disciplinary matter		0	52	52	0	100%	0%
Advisory opinion		0	36	36	0	100%	0%
Total original proceedings		3	105	103	5	98%	5%
TOTAL CASES		198	744	697	263	94%	35%

Appellate Court Model

Output Report 37: Comparative analysis:

Number and percent change in filings

Number and percent change in dispositions

PURPOSE: Trend analysis is used by court managers in making decisions on how to allocate resources--how many judges are needed to handle the caseload, what support personnel, what facilities (rooms and equipment), what fiscal support, and how these will change from year to year.

DESCRIPTION: This chart requires two years of data in order to calculate the number and percent change in filings and dispositions.

DATA SETS Case types (intermediate-level data elements; minimum

REQUIRED: level in boldface; maximum in Chapter IV)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: A slight increase in both filings and dispositions each year is expected. Warning signals to look for are increases in filings coupled with decreases in dispositions. This signals that the pending caseload is increasing and that the court is falling behind in processing its caseload.

ADDITIONAL ANALYSIS: Similar comparisons over time should be done with manner-of-disposition data as well as with caseload per judge.

Appellate Court Model

Output Report 37: Comparative analysis:

Number and percent change in filings

Number and percent change in dispositions

Summary statistics

Name of court

Case types	Filings		Dispositions		
	1981	1982	Percent change	1981	1982

Requests to appeal

Civil
Criminal
Postconviction remedy
Appeal of administrative agency case
Juvenile

Total requests to appeal

Appeals

Civil appeals
Requests to appeal granted that became civil appeals
Criminal appeals
Requests to appeal granted that became criminal appeals
Postconviction remedy cases
Requests to appeal granted that became postconviction remedy cases
Appeal of administrative agency case
Requests to appeal granted that became appeals of administrative agency cases
Juvenile appeals
Requests to appeal granted that became juvenile appeals

Total appeals

Sentence review only

Original proceedings

Original jurisdiction cases
Disciplinary matters
Advisory opinions

Total original proceedings

TOTAL CASES

Appellate Court Model

Output Report 38: Trend analysis:

Cases filed over a four-year period

PURPOSE: Trend analysis permits the court manager to forecast what caseloads can be expected next year and the year following, so that resource needs can be projected into the future. Budget and appropriation requests can be based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: This chart requires caseload inventory data from more than two reporting periods.

DATA SETS Case types (intermediate-level data elements; minimum

REQUIRED: level in boldface; maximum level in Chapter IV)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: The periods used for this model could be weeks or months instead of years.

ADDITIONAL ANALYSIS: The number and percent change from the previous reporting period could also be displayed along with each column of data.

The same kind of information could be displayed for cases disposed or for end pendings.

Appellate Court Model

Output Report 38: Trend analysis:

Cases filed over a four-year period

Summary statistics

Name of court

Case types	Cases filed				Percent change 1979-82	
	1979 Number/percent	1980 Number/percent	1981 Number/percent	1982 Number/percent		
Requests to appeal						
Civil						
Criminal						
Postconviction remedy						
Appeal of administrative agency case						
Juvenile						
Total requests to appeal						
Appeals						
Civil appeals						
Requests to appeal granted that became civil appeals						
Criminal appeals						
Requests to appeal granted that became criminal appeals						
Postconviction remedy						
Requests to appeal granted that became postconviction remedy cases						
Appeal of administrative agency case						
Requests to appeal granted that became appeals of administrative agency cases						
Juvenile appeals						
Requests to appeal granted that became juvenile appeals						
Total appeals						
Sentence review only						
Original proceedings						
Original jurisdiction cases						
Disciplinary matters						
Advisory opinions						
Total original proceedings						
TOTAL CASES						

Appellate Court Model

Output Report 39: Trend analysis:

Number and percent change for each manner of disposition

PURPOSE: Trend analysis permits the court manager to forecast what caseloads can be expected next year and the year following, so that resource needs can be projected into the future. Budget and appropriation requests can be based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: This chart requires more than two years of data in order to compare the number and percent change in filings and dispositions.

DATA SETS Case types (minimum-level data elements displayed; see **REQUIRED:** Chapter IV for intermediate and maximum levels)

COMMENTS: Examples 3, 4, 5, and 6 in Appendix D are other ways of displaying appellate court trend analysis.

Appellate Court Model

Output Report 39: Trend analysis:

Number and percent change for each manner of disposition

Summary statistics

Case type	Name of Court					Percent change 1978-82
	1978 Number/percent	1979 Number/percent	1980 Number/percent	1981 Number/percent	1982 Number/percent	
Requests to appeal:						
Opinions written						
Other decision						
Granted						
Denied						
Memorandum decisions						
Other decision						
Granted						
Denied						
Orders (decisions without opinion)						
Other decision						
Granted						
Denied						
Dismissed/withdrawn/settled						
Transferred						
Other manner of disposition						
Total						/100%
Appeals:						
Opinions written						
Other decision						
Granted						
Denied						
Memorandum decisions						
Other decision						
Granted						
Denied						
Orders (decisions without opinion)						
Other decision						
Granted						
Denied						
Dismissed/withdrawn/settled						
Transferred						
Other manner of disposition						
Total						/100%
Original proceedings:						
Opinions written						
Other decision						
Granted						
Denied						
Memorandum decisions						
Other decision						
Granted						
Denied						
Orders (decisions without opinion)						
Other decision						
Granted						
Denied						
Dismissed/withdrawn/settled						
Transferred						
Other manner of disposition						
Total						/100%
Sentence review only:						
Opinions written						
Other decision						
Granted						
Denied						
Etc.						
TOTAL DISPOSITIONS						

Appellate Court Model

Output Report 40: Appellate court caseload inventory
projections based on trend analysis

PURPOSE: Trend analysis permits the court manager to forecast what caseloads can be expected next year and the year following, so that resource needs can be projected into the future. Budget and appropriation requests can be based on such projections, judge and personnel needs calculated accordingly, and so on.

DESCRIPTION: Regression analysis is a mathematical technique for describing how two or more independent variables relate to the dependent variable. It also describes how strong the relationship or correlation between the variables is. The use of computers has enabled the analyst to manipulate large quantities of data and easily study the inter-relationships of all these variables to each other.

For a more detailed discussion of regression analysis, see Lawson and Gletne, Workload Measures in the Court (Williamsburg: National Center for State Courts, 1980), pp. 116 ff.

DATA SETS Case types (minimum-level data elements)

REQUIRED: Case inventory

COMMENTS: The amount of data used for a regression analysis must be given careful consideration. Older data from earlier years may represent policies and procedures no longer used in the court. Basing the analysis on too few data points may give results based on random variation of the data, but missing the underlying current trend. One possible solution is to weight the data, giving more recent data more influence in the analysis. Before performing the regression analysis, it is often helpful to construct a graph of the data to be analyzed. This graph will often give indications of how the analysis should proceed, where changes occurred that affected the data, and what results can be expected from the analysis.

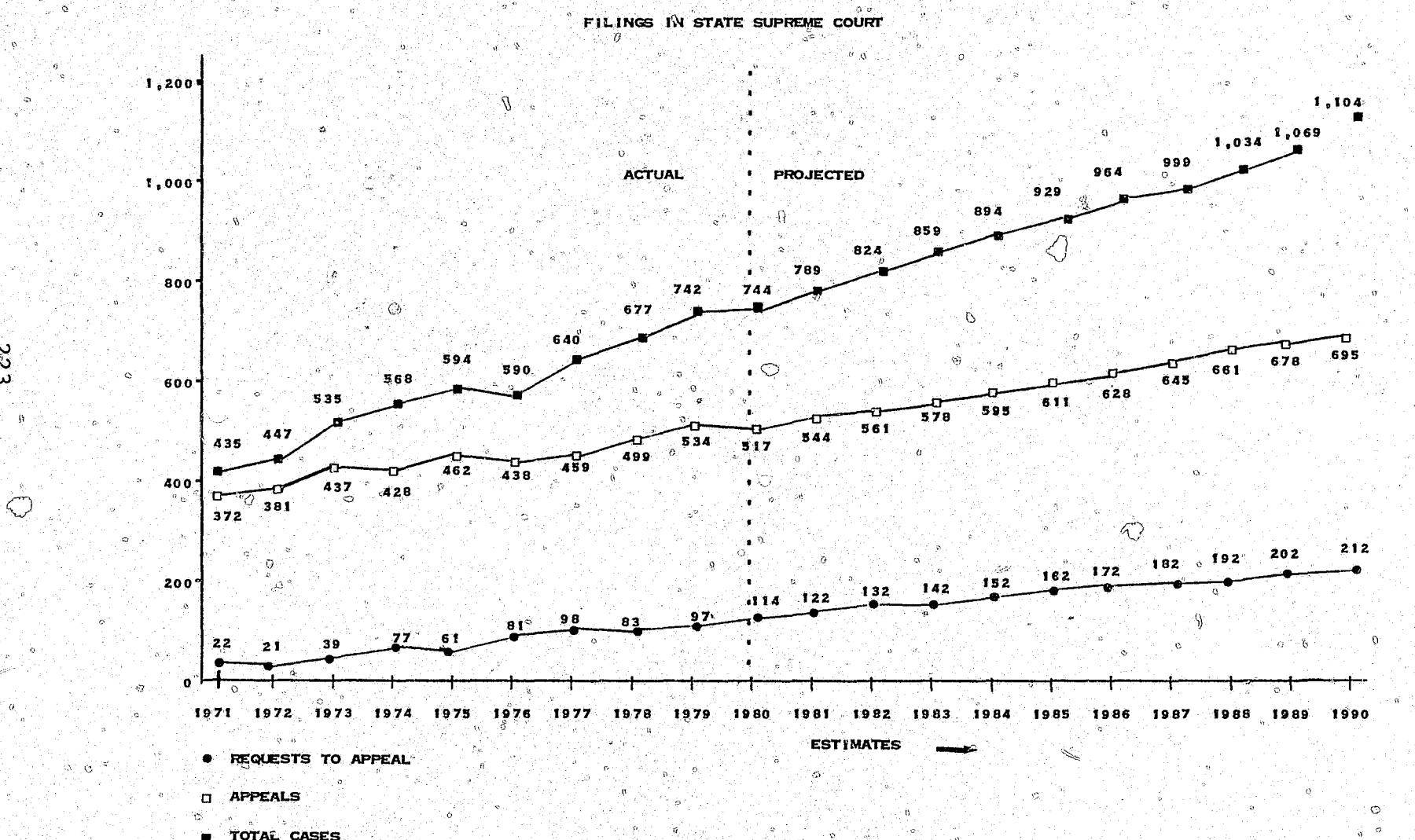
The model does not include original jurisdiction cases, which is why total cases are more than appeals and requests to appeal combined.

ADDITIONAL ANALYSIS: This kind of analysis can be done for each case type, using both filings and dispositions, as well as manner of disposition.

Other independent variables than filings and dispositions can also be used to predict future trends, such as economic indicators (for civil cases) or population.

Appellate Court Model
Output Report 40: Appellate court caseload inventory projections based on trend analysis

Summary statistics



Section 3. Procedures for analyzing appellate court caseflow data

Data on events in case processing can be used for caseflow management, to assess the pace of litigation, establish and monitor standards for case processing, and forecast caseflow.

Caseflow management output reports require information on the time it takes individual cases to move through the courts and the time intervals between critical events in case processing. Ideally, these data would be collected on a case-by-case basis, from which aggregate statistics could be calculated. It is possible, however, to collect some of these data with a manual reporting system, either by using card index files (as described in Model 29) or by sampling case files at regular intervals. Automation of case-by-case reporting systems makes it much easier to enter and analyze the large volume of data required to build output reports in forms that are useful to court managers for decision-making and planning purposes. Because appellate court caseloads are not normally very large, however, aggregate data on events in case processing can be provided manually in most instances.

Appellate Court Model

Output Report 41: Appellate caseflow:

Number of pending cases by status and age

PURPOSE: This model shows summary statistics for both the number and the age of cases waiting at each event in case processing. This information assists the court manager in calculating how many cases are leaving the system (how many failures to file briefs lead to dismissal, etc.). If the time periods between events or the number of cases is large at one event or another, these data permit the court manager to assess where there may be bottlenecks in the processing system that are leading to delay so that steps can be taken to eliminate the bottlenecks or very old cases can be dismissed. The data also permit an assessment of whether the delay is being caused within the court or by individuals outside the control of the court.

DESCRIPTION: These data require only a count of the number of cases waiting at each step. The easiest method of arriving at such a count is by processing the data through a computer. These counts can also be produced manually by keeping appropriate sets of card index boxes, as described in Model Input Form 28.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum-level data elements in boldface; maximum in Chapter IV)
 Events in case processing (intermediate-level data elements.
 See Chapter IV for minimum and maximum)

COMMENT: The State Court Model Statistical Dictionary emphasizes how important it is for courts to define precisely when a case is filed and when it is considered disposed for statistical reporting purposes. Once these points are defined, the dates can be recorded, and then the court can calculate the measure of central tendency required to process any particular type of case and can indicate the number of cases falling outside the norm.

ADDITIONAL ANALYSIS: The data on which this report is based also can be used to produce Model Output Report 42 following.

Appellate Court Model

Output Report 41: Appellate caseflow:

Number of pending cases by status and age

Summary statistics

Name of court
 Date

Case type	Not ready for oral argument or submission						Ready for oral argument or submission						Under advisement (argued or submitted)						Measure of central tendency					
	Awaiting court reporter's transcript	61-0-60 days	120 days	>120 days	Awaiting court record	61-0-60 days	120 days	>120 days	Awaiting appellant's brief	61-0-60 days	120 days	>120 days	Awaiting respondent's brief	61-0-60 days	120 days	>120 days	91-0-90 days	180 days	>180 days	91-0-90 days	180 days	>180 days		
Requests to appeal	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Appeals																								
Civil appeals																								
Requests to appeal granted that became civil appeals																								
Criminal appeals																								
Requests to appeal granted that became criminal appeals																								
Postconviction remedy																								
Requests to appeal granted that became postconviction remedy cases																								
Appeals of administrative agency cases																								
Requests to appeal granted that became appeals of administrative agency cases																								
Juvenile appeals																								
Requests to appeal granted that became juvenile appeals																								
Total appeals																								
Sentence review only																								
Original proceedings																								
Original jurisdiction case	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Disciplinary matter	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Advisory opinion	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Total original proceedings	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
TOTAL CASES																								

NOTE: "X" means data are not relevant for that cell.

(Comment: "Not ready for oral argument or submission" plus "Ready for oral argument or submission" plus "Under advisement" equals total pending.)

Appellate Court Model
Output Report 42: Time interval data for disposed cases

PURPOSE: This chart shows summary statistics for the length of time that disposed cases waited for the next event in case processing, along with the median and mean length of time that those cases waited. These data permit the court manager to assess how much time is being absorbed in case processing, as well as whether the average pace of litigation is in line with the processing standards adopted by the court. The data also permit an assessment of whether delay is being caused within the court or by individuals outside the control of the court.

DESCRIPTION: These data require only a count of the number of cases waiting at each step and arrangement of cases according to the length of time they have been pending. The easiest method of arriving at such a count is by processing the data through a computer. These counts can also be produced manually by keeping appropriate sets of card index boxes, as described in Model Input Form 28.

DATA SETS REQUIRED: Case types (intermediate-level data elements; minimum-level data elements in boldface; maximum in Chapter IV)
Events in case processing (intermediate-level data elements.
See Chapter IV for minimum and maximum)

COMMENT: The same data that were used to produce Model Output Report 41 are used to produce this report.

This report displays basic data that could be used or displayed in a number of different ways. These data would be particularly effective in bar graphs showing the amount of time required for each manner of disposition.

ADDITIONAL ANALYSIS: In order to do forecasting for caseflow management, trend analysis can be done on time-to-disposition data, on age of pending cases, on time intervals between events in case processing, on status of pending cases, and on events scheduled in case processing. [Example 11 in Appendix D, for example, displays comparative analyses of time on appeal over an eight-year period, with percent change for the period.]

These kinds of analyses permit the court to compare its case processing performance with previous years and to plan case processing for future years.

Appellate Court Model
Output Report 42: Time interval data for disposed cases

Summary statistics

Case Type:	Name of court Reporting period			Notice of appeal to ready for oral argument or submission			Ready for oral argument or submission to under advisement			Under advisement (argued or submitted) to decision			Total time notice of appeal to decision		
	Number of cases	Median	Mean	Number of cases	Median	Mean	Number of cases	Median	Mean	Number of cases	Median	Mean	Number of cases	Median	Mean
Appeals															
Civil appeals															
Request to appeal granted that became civil appeals															
Criminal appeals															
Requests to appeal granted that became criminal appeals															
Postconviction remedy appeals															
Requests to appeal granted that became postconviction remedy cases															
Appeals of administrative agency case															
Requests to appeal granted that became appeals of administrative agency cases															
Juvenile appeals															
Requests to appeal granted that became juvenile appeals															
Total appeals															
Sentence review only															
Original proceedings:															
Original jurisdiction case	X	X	X										X	X	X
Disciplinary matter	X	X	X										X	X	X
Advisory opinion	X	X	X										X	X	X
Total original proceedings	X	X	X												
TOTAL CASES															

NOTE: "X" means data are not relevant for that category.

[Comment: In states that use only oral argument or submission, the time interval steps should be modified accordingly.]

Appellate Court Model Output Report 43: Age of cases at disposition

PURPOSE: To indicate how long cases recently disposed had been in the court system.

DESCRIPTION: The date of filing and the date of disposition of each case are essential to calculating the age of cases at disposition. The time intervals chosen for display on Model 43 should reflect the amount of time that the particular jurisdiction has decided is acceptable for processing each type of case. These are summary statistics of the number of cases disposed within each time period the court has chosen to measure.

DATA SETS Case types (intermediate-level data elements; minimum level in REQUIRED: boldface; maximum level in Chapter IV
Events in case processing (dates of filing, disposition)

COMMENT: The State Court Model Statistical Dictionary emphasizes how important it is for courts to define precisely when a case is filed and when it is considered disposed for statistical reporting purposes. Once these points are defined, the dates can be recorded, and then the court can calculate the measure of central tendency required to process any particular type of case and can indicate the number of cases falling outside the norm.

ADDITIONAL ANALYSIS: Age of cases by manner of disposition could also be shown.

Other ways of displaying time-to-disposition data appear in Examples 7, 8, and 9 in Appendix D.

Appellate Court Model
Output Report 43: Age of cases at disposition

Summary statistics

Case types	Total disposed	Name of court		Measure of central tendency
		Date	0-60 days	
Requests to appeal				
Civil				
Criminal				
Postconviction remedy				
Appeal of administrative agency case				
Juvenile				
Total requests to appeal				
Appeals				
Civil appeals				
Requests to appeal granted that became civil appeals				
Criminal appeals				
Requests to appeal granted that became criminal appeals				
Postconviction remedy cases				
Requests to appeal granted that became postconviction remedy cases				
Appeal of administrative agency case				
Requests to appeal granted that became appeals of administrative agency cases				
Juvenile appeals				
Requests to appeal granted that became juvenile appeals				
Total appeals				
Sentence review only				
Original proceedings				
Original jurisdiction cases				
Disciplinary matters				
Advisory opinions				
Total original proceedings				
TOTAL CASES				

Appellate Court Model

Output Report 44: Status of pending cases according to particular events in case processing

PURPOSE: To indicate what cases are waiting in queue at any event in case processing.

DESCRIPTION: This model is simply a listing of pending cases that the computer has sorted according to the next scheduled event in each case.

DATA SETS Case types (level of data elements is up to the court)
REQUIRED: Events in case processing (level is up to the court)

COMMENT: When case volume is large, automation is necessary to sort cases according to the next event scheduled in each case.

Appellate Court Model

Output Report 44: Status of pending cases according to particular events in case processing

Case-by-case

Name of court
Date

Event: READY FOR ORAL ARGUMENT OR SUBMISSION

<u>Case number</u>	<u>Name of case</u>	<u>Case type</u>
--------------------	---------------------	------------------

Date ready for
oral argument
or submission

Civil appeals:

Criminal appeals:

Postconviction remedy cases:

Appeal of administrative
agency cases:

Juvenile appeals:

The list can be sorted
alphabetically by case
name, numerically by case
number, or by age of case.

Appellate Court Model

**Output Report 45: Appellate court exception report:
Appeals pending longer than your jurisdiction's
minimum time standards**

PURPOSE: Data on events in case processing can be used to assess the pace of litigation, establish and monitor standards for case processing, and forecast caseload.

Exception reports can be used to identify inactive cases and to clean dockets of cases that have been pending longer than court standards permit.

DESCRIPTION: This model differs from Model 41 in that this report indicates the status of each case in the caseload rather than providing summary statistics. Unless case volume is quite small, case-by-case reporting can only be done with automation.

The date of filing and date of last event of each case are essential to determine if the case is being processed within acceptable time limits. The acceptable time limits for each stage of case processing should be based on legal and practical considerations, such as speedy trial rules and constitutional or court rule procedural requirements. This model is simply a listing of those cases that have exceeded the acceptable time limits for the event listed under 'Nature of last event'.

DATA SETS Case types

REQUIRED: Events in case processing

COMMENTS: Each court should have its own standards for acceptable time spans for case processing.

The ABA Commission on Standards of Judicial Administration has provided guidelines for caseload management goals. (Standards relating to Appellate Courts are found in Appendix C.) COSCA in 1982 appointed a committee to develop national time standards for case processing.

ADDITIONAL ANALYSIS: Another way of displaying comparisons with time standards is shown in Example 10 in Appendix D.

Appellate Court Model

**Output Report 45: Appellate court exception report:
Appeals pending longer than your jurisdiction's
minimum time standard**

Case-by-case

Name of court

Date

Case number	Name of case	Case type	Filing date	Date of last event	Nature of last event	Age of case
-------------	--------------	-----------	-------------	--------------------	----------------------	-------------

Civil appeals:

Criminal appeals:

Postconviction
remedy cases:

Appeal of adminis-
trative agency
cases:

Juvenile appeals:

If the appellate court caseload is large, a separate report would be filed for each of the case types at the left. A separate report could also be prepared for each event, to show all cases overdue for that event.

Chapter IX

The relationship of state administrative office information requirements to information requirements of trial and appellate courts, with model and specialized management reports

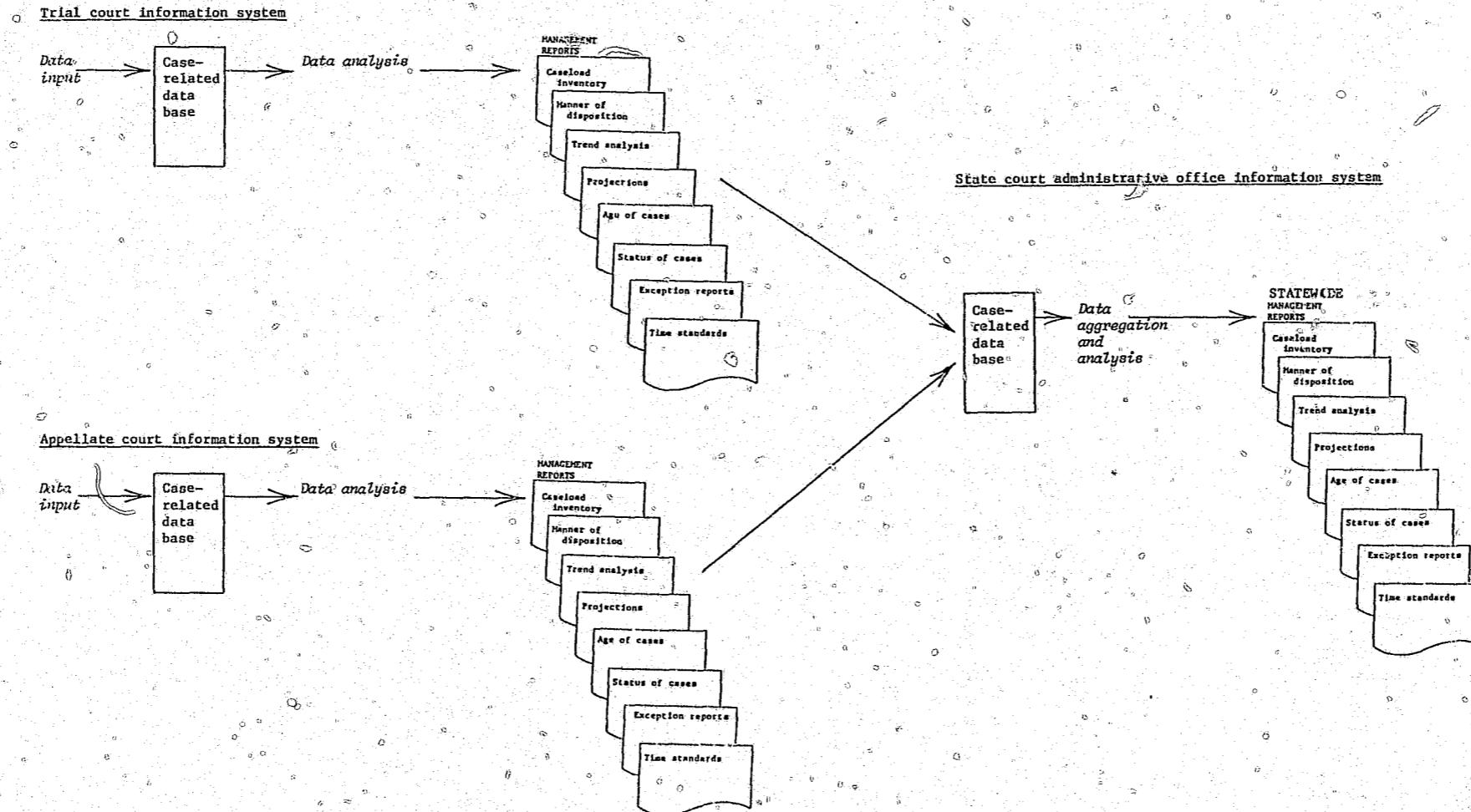
Section 1. Procedures for collecting AOC case-related data statewide

Data from trial court and appellate court reports become the input that the state administrative office of the courts (AOC) uses to compile statewide statistics for management reports, as shown in Figure 26. The data collection techniques used at the local level may not match those used in the AOC. Nevertheless, it is most important that all the reports coming from local courts into the AOC display the same data elements, defined and used in the same way, so that accurate and reliable statewide statistics can be compiled.

The AOC will receive some or all of the following from the trial and appellate courts of that particular state. These models can be used at the state level to collect the data needed for management purposes:

1. Manual: Trial Court Model Output Reports 7-23 (all of which provide summary statistics that can be aggregated statewide).
Appellate Court Model Output Reports 32-43 (no aggregation is necessary unless the state has an intermediate appellate court with several divisions).
2. Batch automated: Trial Court Model Input Forms 3-5.
Appellate Court Model Input Forms 29-30.
3. On-line automated: Trial Court Model Input Form 6.
Appellate Court Model Input Form 31.

Figure 26: Relationship of information systems in local trial courts and appellate courts to the state court administrative office information system



Section 2. Procedures for analyzing AOC caseload data

Caseload inventory analysis. Only one model of a statewide trial court caseload inventory is provided here--Model 46, which is a statewide version of Trial Court Model Output Report 23. It aggregates data from judicial districts, circuits, or other jurisdictions. The AOC will, of course, prepare statewide reports of all the summary statistical reports presented in Chapter VII for trial courts. Those presented in Chapter VIII for appellate courts will already be complete, unless the state has an intermediate appellate court with several divisions from which data must be aggregated.

The raw figures of court caseload inventory do not tell the court a great deal. Their usefulness for resource allocation depends on the various ways in which the caseload data can be analyzed. A number of examples of additional ways to display caseload inventory analysis are provided in Appendix D to supplement the models in this manual. A very simple mathematical calculation, for example, indicates the proportion of total caseload statewide for each type of case, and this can be displayed any number of ways, either for an individual court or for a court system. (See Model 8 in Part II.) [Example 12 in Appendix D shows a combination of cases filed and disposed.]

Another simple calculation relates the caseload inventory to the number of judges (see Model 15). [Examples 13 is an example of caseload per judge, combined with subcategories of caseload inventory data.]

AOC Model Output Report 46: Trial court caseload inventory:
Percent of total caseload for each
type of case

PURPOSE: Since different types of cases take different amounts of processing time as well as differing judicial and nonjudicial resources, the percent of total caseload filed and disposed for each type of case gives the court manager a better understanding of actual resource needs.

DESCRIPTION: Model 46 shows the number of cases filed for each case type; the percent of each case type filed for civil, criminal, traffic, and juvenile cases; and the percent of the total caseload that civil, criminal, traffic, and juvenile cases represent. These data could also be displayed graphically.

DATA SETS REQUIRED: Case types (intermediate-level data elements are displayed, with minimum data elements shown in boldface. See Chapter IV for maximum-level data elements)

Case inventory (beginning pending, filed, disposed, end pending)

COMMENTS: Model 46 gives the proportion of total caseload for each type of case, but it discloses nothing about the amount of time required to process the various types of cases.

ADDITIONAL ANALYSIS: The same type of analysis should be done for percent of total caseload disposed for each type of case. It could also be done for end pending cases, showing the percent of total caseload pending for each case type.

AOC Model
Output Report 46: Trial court caseload inventory:
Percent of total caseload
for each type of case

Summary statistics

STATE	Name of court	Date		
Judicial district				
County	Beginning pending	Filed	Disposed	End pending
	Number/percent	Number/percent	Number/percent	Number/percent

Abington County

civil cases:

- Tort
- Contract
- Real property
- Small claims
- Domestic relations
- Mental health
- Estate
- Appeal (lower court)
(admin. agency)
- Extraordinary writ
- Postconviction remedy
- Other civil

Total civil cases

Criminal cases:

- Felony
- Misdemeanor
- Ordinance violation
- Preliminary hearing
- Appeal
- Extraordinary writ
- Postconviction remedy
- Sentence review only
- Other criminal

Total criminal cases

Traffic cases:

- DWI/DUI
- Contested moving traffic violation
- Other contested traffic violation
- Uncontested parking violation

Total traffic cases

Separate reports for civil cases, criminal cases, traffic cases, and juvenile cases may provide better space utilization as well as more useful information.

Juvenile cases:

- Criminal-type offender
- Status offender
- Non-offender
- Other juvenile matters

Total juvenile cases

Abington County total

Burlingame County

Civil cases:

- Tort
- Contract
- Real property rights
- Etc.

STATE TOTALS

These analyses make it possible to rank the jurisdictions throughout a state [as is shown in Example 14 in Appendix D]. Total caseload by type of case and total number of judges handling that caseload also permit the display of the average number of cases handled by each judge.

Another kind of ranking uses population of each jurisdiction as a variable. [Example 15 ranks the municipal courts of a state by population, and then displays not only cases filed and disposed, but also includes cases appealed and revenue for each municipal court. Example 16 shows both comparative populations per jurisdiction and average numbers of cases per judge.]

The ultimate step in this analysis of caseload per judge would be to compare average caseload per judge with actual caseload per judge, or the average caseload per jurisdiction with the actual caseload per jurisdiction. These kinds of comparisons should give court managers a reasonable sense of the volume of cases that each judge should be able to process under the current operating conditions in the court or courts.

A variety of other calculations provide useful information for assessing resource needs. Disposed cases statewide can be calculated as a percent of filed cases, or end pending cases as a percent of filed cases (see Model 10). Both the number and percent change in pending caseload statewide from the beginning to the end of the reporting period can be shown (see Model 9). The ratio of filings to dispositions can be calculated, as can the ratio of total cases terminated to total caseload, by jurisdiction, ranked; civil cases terminated to total caseload, by jurisdiction, ranked; criminal cases terminated to total caseload, by jurisdiction, ranked; juvenile, traffic, and each individual case type terminated to total caseload, by jurisdiction, ranked. All of these calculations help to determine what proportion of the judiciary's resources are needed to process each type of case, and how much the caseload varies from jurisdiction to jurisdiction. [Examples 17 and 18 in Appendix D show these kinds of analyses.]

Comparisons of the manner of disposition of each type of case should be possible. Disposition types can be shown as a percent of total dispositions, as well as the percentage of cases disposed by each manner of disposition. Particularly important, since trials are time-consuming, the number of trials (both jury and non-jury) should be shown as a percent of total dispositions (see Model 12).

[Examples 19 and 20 in Appendix D display criminal and civil manners of disposition in two urban courts. Examples 21 and 22 compare the dispositions of criminal cases in the trial courts with the number of criminal appeals filed in the appellate court.]

Caseload projections. The caseload inventory and manner-of-disposition data just described are useful in making immediate

decisions on resource allocation, but information about a single reporting period is insufficient for planning what resources are going to be needed next year, because there is no guarantee that the same conditions will prevail in the next reporting period. In order to do longer-term resource allocation planning, trend analysis should be done on caseload inventory and manner-of-disposition statistics (as was done for trial courts in Models 14-18 and for appellate courts in Model 37-39). Trends in recent years should give some indication as to what can be expected in the near future so that projections can be made as to the anticipated size of future caseload and the probable ways in which it will be processed and disposed.

Trend analysis of caseload inventory and manner of disposition statistics. As soon as data are available for more than one year, trend analysis can be done on all the kinds of information described above.

The simplest example matches this reporting period's data to the previous reporting period (as in Models 14 and 28). These models should be expanded at the state level to display multi-year statistics for filings in each geographic location in a court as well as for each type of case.

[Example 23 in Appendix D demonstrates that trend data of a time-consuming event like trials over the course of a single year can also be helpful in forecasting caseload processing needs.]

The change in caseload and manner of disposition from year to year is important, but really significant trends require data over a period of several years. [Example 3 in Appendix D, mentioned earlier in Chapter VIII, provides court-of-last-resort statistics over a six-year period, and provides percentages of total dispositions for each manner of disposition in a year, as well as an average for all six years. Example 24 displays five years of caseload inventory data for an individual trial court circuit, as well as number of cases (civil, criminal, juvenile) handled by each judge in each year. Comparisons among the circuits are also provided. Examples 4, 5, and 6 are graphic presentations of appellate statistics over periods of several years that make trends more visible than numerical data do.]

These kinds of trend analyses can indicate changes in caseload over time for each type of case, and such changes can be expressed as a percent of a base year chosen for management purposes. Trend analyses can compare volumes of cases filed, disposed, and pending for each type of case; variations in proportion of total caseload for each type of case; and can make these comparisons for each jurisdiction, each court, or each judge. Size of caseload over several years can also be compared with the number of judges available in each year. Percentage increases in number of authorized judgeships in each jurisdiction can be compared to total caseload.

Data over longer periods of time than the last five or six years are most useful for trend analysis because short-term trends often do not coincide with long-term trends. [Example 25 presents 20 years of data for cases filed, disposed, and pending, and gives the average number of cases per judge for each year. Example 26 is a graph showing the ratio of cases commenced to population in 1960, 1970, and 1980. Example 27 displays long-term filing trends for an entire state, with an additional comparison of urban and rural areas. Short-term trends over periods of months can also be compared with long-term trends over periods of years, as demonstrated in Example 28.]

Trends statewide can be analyzed and displayed for all of the data that were discussed earlier under trial court and appellate court caseload inventory and manner of disposition, and will be useful for caseload projections. The final step in trend analysis is, of course, to make projections into the future based on trends of the past. [Example 29 in Appendix D shows a one-year projection based on four years of data.]

Section 3. Procedures for analyzing AOC caseflow data

Only one model (AOC Model Output Reports 49A and B) is presented to show the aggregation of age of pending cases and disposed cases for a statewide jurisdiction. The state administrative office should also prepare the following statewide analyses:

- Age of disposed criminal cases by manner of disposition (similar to Trial Court Model Output Report 22).
- Status of pending cases (summary statistics) for trial courts (similar to Trial Court Model Output Report 23). Appellate court status of pending cases output reports will already be available.
- Numbers and percentages of cases at each event in case processing (Trial Court Model Output Report 26 and Appellate Court Model Output Report 44). [Example 30 in Appendix D shows the number of cases disposed at each event in case processing.]
- Exception reports for both trial (Model 25) and appellate courts (Model 47).
- Lists of continuances and cases rescheduled for trial.
- Evaluations of how well both trial and appellate courts are conforming to statewide standards, using time interval data.

[Example 31 in Appendix D displays the range and average number of months elapsed between filing and date of verdict for one type of case, by jurisdiction. Another way of calculating average case processing time is by dividing the pending caseload by the average number of monthly dispositions to see how many months will be needed to process several different case types. Example 32 displays median time to disposition in each county for several different ways of handling cases.

Example 33 in Appendix D provide information on time spent in pretrial activities. Example 34 shows how many trials consumed various lengths of time. Example 35 gives the median time between events in criminal cases from arrest to disposition.]

AOC Model Output Report 47A and B: Age of pending cases
Age of civil cases at disposition

PURPOSE: To present data on age of pending cases and age of disposed cases for the active caseload. Until these data are available, the court manager has no way of knowing whether cases are being processed within a period that is acceptable to the courts, not to mention acceptable to the citizens involved.

DESCRIPTION: The date of filing and date of disposition of each case is essential to calculating the age of pending and disposed cases. The time intervals chosen for display on Model 47 should reflect the amount of time that the particular jurisdiction has decided is acceptable for processing each type of case. These are summary statistics of the number of cases falling within each time period the court has chosen to measure.

DATA SETS Case types (intermediate-level data elements; minimum

REQUIRED: level in boldface; maximum level in Chapter IV)
Events in case processing (date of filing)

COMMENT: The State Court Model Statistical Dictionary emphasizes how important it is for courts to define precisely when a case is filed and when it is considered disposed for statistical reporting purposes. Once those points are defined, the dates can be recorded, and then the AOC can calculate the measure of central tendency statewide for processing any particular type of case and can indicate the number of cases that fall outside the norm.

ADDITIONAL ANALYSIS: The court may want to analyze further the information displayed in Model 47 to show the age of those cases that went to trial, or to show age of disposed criminal cases by manner of disposition, as shown in Model 22. Similar analysis could be done for civil, traffic, and juvenile case dispositions.

AOC Model
Output Report 47A: Age of pending cases

Summary
statistics

State
Name of court
Date

Judicial district _____

County	Total pending	*Less than 90 days	*91-180 days	*181 days to 1 year	*1-2 years	*More than 2 years	**Measure of central tendency
	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	

Abington County

Civil cases:

- Tort
- Contract
- Real property rights
- Small claims
- Domestic relations
- Mental health
- Estate
- Appeal (lower court)
- (admin. agency)
- Extraordinary writ
- Postconviction remedy
- Other civil

Total civil cases

Criminal cases:

- Felony
- Misdemeanor
- Ordinance violation
- Preliminary hearing
- Appeal
- Extraordinary writ
- Postconviction remedy
- Sentence review only
- Other criminal

Total criminal cases

Traffic cases:

- DWI/DUI
- Contested moving traffic violation
- Other contested traffic violation
- Uncontested parking violation

Total traffic cases

Juvenile cases:

- Criminal type-offender
- Status offender
- Non-offender
- Other juvenile matters

Total juvenile cases

Abington County total

Burlingame County

Civil cases:

- Tort
- Contract
- Real property rights
- Small claims
- Domestic relations
- Mental health
- Estate
- Etc.

*The time frames shown in the heading of this model should reflect the time standards established for your jurisdiction.

**The measure of central tendency may be average, median, or mode, depending on the degree of sophistication of the reporting system being used. The court may also want to indicate the percentile in which the measure of central tendency falls.

AOC Model
Output Report 47B: Age of civil cases at disposition

Summary statistics

State
Name of Court
Date

Judicial district _____

County	Total disposed	*Less than 90 days	*91-180 days	*181 days to 1 year	*1-2 years	*More than 2 years	**Measure of central tendency
	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	Number/percent	

Atington

Tort
Contract
Real property rights
Small claims
Domestic relations
Mental health
Estate
Appeal (lower court)
(admin. agency)
Extraordinary writ
Postconviction remedy
Other civil

Burlingame

Tort
Contract
Real property rights
Small claims
Domestic relations
Mental health
Estate
Appeal (lower court)
(admin. agency)
Extraordinary writ
Postconviction remedy
Other civil

Cloister

Tort
Contract
Real property rights
Etc.

DISTRICT TOTALS

*The time frames shown in the heading of this model should reflect the time standards established for your jurisdiction.

**The measure of central tendency may be average, median, or mode, depending on the degree of sophistication of the reporting system being used. The court may also want to indicate the percentile in which the measure of central tendency falls.

Chapter X

Relationship of case management information to workload measures

The kinds of data needed to produce reports for workload management require additional sets of data elements, for which the models and reporting schemes have not yet been chosen. These would include measures of judicial and other personnel time spent on workload as well as on court events/activities other than case processing.¹ In all likelihood these data will not be collected and reported by a court unless it has an automated information system, although some time measures are reported manually in some courts (New Jersey, for example, requires reports of time spent from courts that are not automated).

Workload includes both case processing and all other matters handled by a court that involve time and money. Data on judicial and other personnel time spent on workload and on court activities other than caseload events can be used to measure court performance and productivity for more sophisticated resource allocation than is possible with only caseload inventory, as well as for workload forecasting to determine resource needs in the future.

Some of the suggested data elements would be the following for trial courts:

Civil: Number, type, and length of hearings
Number and type of motion hearings
Judge time spent, by case type

Criminal: Number, type, and length of hearings
Number and type of motion hearings
Number of continuances
Judge time spent, by case type

Juvenile: Number, type, and length of hearings
Judge time spent, by case type
Type of services provided and resources required

¹Further discussion of resource needs can be found in Task Force on Principles for Assessing the Adequacy of Judicial Resources, Assessing the Need for Judicial Resources (Williamsburg, Va.: National Center for State Courts, 1983).

Workload measurement techniques. A discussion of workload measures is found in another National Center publication:²

The specific data elements necessary for workload measurement vary among measurement systems. These systems include micro measurement, weighted caseload systems, Delphi combined with historical weighted caseload and consensus building, large-unit output costs, small-unit output costs, and program-planning-budgeting systems. In any of these systems, the data elements necessary depend on the level of measurement detail desired.

The three weighted caseload models--micro measures, Delphi, and historical data--require different data elements to be collected and analyzed. The California approach, applying micro measures to arrive at case weights, measures the time required for various case activities. Thus, the various case activities must be collected on an ongoing basis. The Kentucky system of arriving at weights through the Delphi process calculates total case time. This model requires only that raw caseload data be collected on an ongoing basis. The use of historical data in the Alaska model may not be possible to duplicate in any other jurisdiction. The system uses data from audiotape recordings to measure workload and to arrive at case weights.

Three examples of the use of historical data are . . . the South Dakota, Michigan, and Oregon examples [where] the data necessary include historical personnel and caseload information combined with projected case filing data.³

In New York and Connecticut, historical data were combined with consensus building to develop a workload-measurement system. Again, historical personnel and caseload data, coupled with projected case filing information, are necessary.

Unit cost systems have been developed in Colorado and Cook County, Illinois. The Colorado example uses large-unit costs to determine workload and performance standards. Data requirements include the number, activity, and salaries of court employees, as well as historical case termination data and projected case filing data. The small-unit cost system developed in Cook County calculates costs for several units

²Harry O. Lawson and Barbara S. Gletne, Workload Measures in the Court (Williamsburg, Va.: National Center for State Courts, 1980), pp. 150-151.

³Also used in Pennsylvania.

of activity. The data necessary for this system include historical and projected data concerning the number and salaries of the personnel involved in the work units.

Hawaii is the only state-funded court system using the program-planning-budgeting system (PPBS). Hawaii maintains a large data base that includes time measures of various case events, such as time from filing to disposition. A large automated system, such as SJIS, may be necessary for data collection requirements for this model.

Once the data have been collected, they must be monitored and updated to ensure that the purposes of the workload system are realized. Several issues are important in discussing the need to monitor and update a workload-measurement system. They include data reporting, frequency of data reporting and monitoring, formulae validation, and formulae adjustments.

The data necessary to monitor and update a workload-measurement system are the same as are needed to develop the original study. The data elements should be collected on an ongoing basis, preferably as part of the jurisdiction's management information system.

The workload-measurement system should be updated and monitored as often as the data are collected and the system used. Constant verification of the system permits the manager to conduct management audits and to present budgets, confident that the standards accurately represent what should be expected in any jurisdiction.⁴

Judicial and other personnel time spent. Decisions on allocating resources and forecasting workload can be based on the actual caseload that must be handled by the court, as described earlier under caseload management. Or the court can calculate, as discussed above, the amount of time that judges and other personnel must spend in processing different types of cases and in handling the other business of the court. The second method requires estimates of the time actually spent in the various activities required, not only in case processing but in all the other requirements of the total workload.

Rather than presenting models, this chapter mentions examples that the court manager can examine for applicability to his own court.

⁴More detailed explanations of these workload measures are found elsewhere in Lawson.

[The analysis in Example 36 in Appendix D, for example, displays the number of dispositions that the court has achieved based on the number of judge days that have been made available. This kind of information is useful in forecasting the number of judges needed to handle future caseload.]

Data on judge time spent in processing each type of case can be used to work out weights that can be assigned to each case type in order to reflect more accurately how much judge time each type of case is going to require. [Example 37 in Appendix D summarizes the increase in trial judge hours between 1970 and 1980. Example 38 gives a graphic comparison of the difference between actual case filings and the time it will take to process those cases, while Example 39 compares filings by case type with weighted units for case type.]

These examples deal with the average amount of time spent in processing each type of case. Time spent can also be broken down according to specific activities in case processing, such as civil settlements in one state, in the example shown below:

Civil settlement--judge hours, 1975-1980

	1975	1980	Difference	Percent
Civil	14,328.7	18,494.0	+4,165.3	+ 29.1
General equity	867.1	1,830.4	+ 963.3	+111.1
Matrimonial	1,268.2	3,578.7	+2,310.5	+182.2
District Court	1,502.0	1,701.5	+ 199.5	+ 13.3

Events other than case processing. The Model Statistical Dictionary defines "court workload" as "all matters, including caseload, handled by a court that involve time and effort." In addition to knowing how much total judge time is available, the court needs to know how much of that time will be spent in activities other than case processing.

Some jurisdictions separately count particular activities, such as motions, hearings, and continuances. New Jersey, for example, provides caseload inventory statistics for the following activities under the heading "Type of motion or petition": accelerate appeal of motion; ad interim relief; amend/supplement record; appear pro hac vice; assignment of counsel; bail; clarification; consolidate appeals; cost; counsel fees; counsel fees and costs; dismiss cross appeal; file cross appeal; file nunc pro tunc; file overlength brief; file respondent's brief as within time; file supplemental brief; free transcript; leave to appeal, appeal as indigent, appear as amicus curiae, intervene, withdraw as attorney; motion to dismiss appeal; motion to dissolve stay; motion to extend time; rehearing or reconsideration; relay on brief previously filed; remand--final; remand--temporary; restrain; stay; strike; summary disposition; suppress brief; vacate; vacate dismissal and reinstate; miscellaneous.

Another state displays days of assistance received and rendered by courts through assignments or use of commissioners, referees, or temporary judges--activities that increase the amount of judge time available to process cases. Still another shows a recap of the days spent by judges on assignments outside their own counties, over a five-year period--activities that decrease the amount of judge time available within the jurisdiction. Another state summarizes the time spent in travel in each jurisdiction of a district court, while a different state displays the time lost because of changes of judicial personnel in one reporting period and over a five-year period. All of these examples are attempts to grapple with the question of how much can be accomplished in the time that judges have available to handle their total workload. These kinds of information, if available and properly analyzed, can assist the court manager in allocating resources and forecasting workload.

Part III

**SUPPLEMENTARY MATERIAL RELATING
TO PART I AND PART II**

Preceding page blank

**Appendix A: Computerized information systems survey instrument
and data analysis**

INFORMATION SYSTEMS SURVEY

The Information System Survey, a copy of which appears on the next two pages, was sent to the following:

- All members of the Conference of State Court Administrators
- All appellate court clerks
- Presiding and administrative judges of all jurisdictions
- Clerks and trial court administrators in jurisdictions with populations exceeding 100,000
- All members of the National Association of Trial Court Administrators
- All members of the National Association for Court Administration
- All members of the National Association of Appellate Court Clerks

The "selection statistics" that appear on the page following the survey indicate the number of responses received and the number of courts that reported both manual systems and automated functions for the various modules.

Following the selection statistics is a listing by zip code of the records that were entered from the surveys returned.

These records are available from the State Judicial Information Systems project of the National Center for State Courts, 300 Newport Avenue, Williamsburg, Va. 23185.

INFORMATION SYSTEM SURVEY

Please identify your court:

COURT NAME: _____

STATE: _____ LOCATION: _____

RESPONSIBLE AGENCY: _____

POPULATION SERVED: _____

ADMINISTRATIVE CONTACT: _____

TITLE: _____

STREET: _____

CITY/STATE: _____

ZIP: _____ PHONE: _____

DATA PROCESSING

CONTACT: _____

TITLE: _____

STREET: _____

CITY/STATE: _____

ZIP: _____

PHONE: _____

Is your information system MANUAL? If so, please send us copies of your output reports. You need not complete the rest of this questionnaire.

AUTOMATED? If so, please fill out the blanks that follow, and send us copies of your output reports.

Using an "X" please fill in only those court functions which are computerized. For case processing functions (on the reverse side of this sheet), please complete for each case type within your jurisdiction. Indicate whether the processing mode is batch or on-line. If your system requires a combination of batch and on-line processing for any given function, place an "X" in both columns.

NON-CASE RELATED FUNCTIONS

Financial Management

BATCH ON-LINE

BUDGETING

GENERAL LEDGER ACCOUNTING

GRANTS MANAGEMENT

PURCHASING

DISBURSEMENTS

PROPERTY MANAGEMENT

OTHER: _____

Personnel Administration

BATCH ON-LINE

POSITION/CLASSIFICATION CONTROL

PAYROLL

AFFIRMATIVE ACTION

JUDICIAL ASSIGNMENT

JUDICIAL TIME/WORKLOAD

EMPLOYEE PERSONNEL FILE

VACATION/SICK LEAVE ACCRUAL

OTHER: _____

Primary Computer

HARDWARE (MAKE/MODEL): _____

TELECOMMUNICATIONS: _____

LANGUAGE: _____

FILE STRUCTURE: _____

CASE-RELATED FUNCTIONS

Case Processing

CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE
BATCH	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE

INDEXING

DOCKETING

SERVICE OF PROCESS

WARRANTS

MINUTES

JUDGMENT/DISPOSITION

CALENDARING

CASE-TRACKING

EVIDENCE INVENTORY CONTROL

CASE STATISTICS

JURY SELECTION

JUROR PAYROLL/COSTS

JUROR POSTPONEMENT

JUROR SERVICE

JURY MANAGEMENT STATISTICS

FINE AND FEE ACCOUNTING

ALIMONY/SUPPORT

TRUST ACCOUNTING

GARNISHMENT ACCOUNTING

WITNESS COSTS

BAIL

Primary Computer

HARDWARE (MAKE/MODEL): _____

CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE
BATCH	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE

TELECOMMUNICATIONS: _____

CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE
BATCH	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE

LANGUAGE: _____

CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE
BATCH	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE

FILE STRUCTURE: _____

CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE
BATCH	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE	ON-LINE

CONTINUED

3 OF 4

** SELECTION STATISTICS **

TOTAL NUMBER OF JURISDICTIONS: 363
 TOTAL NUMBER OF AUTOMATED SYSTEMS: 206
 TOTAL NUMBER OF MANUAL SYSTEMS: 157

TOTAL APPELLATE COURTS: 53
 TOTAL GENERAL COURTS: 231
 TOTAL LIMITED COURTS: 109
 TOTAL A.O.C. COURTS: 31

TOTAL COURTS HANDLING FINANCIAL MANAGEMENT: 134
 TOTAL COURTS HANDLING PERSONNEL ADMINISTRATION: 137

TOTAL GENERAL COURTS SERVING POPULATIONS OVER 100,000: 177
 TOTAL LIMITED COURTS SERVING POPULATIONS OVER 100,000: 83

PERCENTAGE OF TOTAL FUNCTION UTILIZATION: 10 %

	CIVIL	CRIMINAL	JUVENILE	SMALL CLAIMS	DOMESTIC RELATIONS	TRAFFIC	PROBATE	TOTAL FUNCTIONS
INDEXING:	110	129	51	55	67	79	43	154 42 %
DOCKETING:	76	101	44	31	48	61	28	129 36 %
SERVICE OF PROCESS:	33	31	17	16	20	23	8	56 15 %
WARPANTS:	28	81	25	11	17	57	8	100 28 %
MINUTES:	26	34	18	11	22	18	14	44 12 %
JUDGEMENT/DISPOSITION:	82	108	43	34	54	73	32	140 39 %
CALENDARING:	75	103	36	28	48	59	22	125 34 %
CASE-TRACKING:	74	118	45	26	47	68	26	142 39 %
EVIDENCE INV'T. CONTROL:	9	16	7	3	9	9	6	21 6 %
CASE STATISTICS:	114	132	73	54	80	87	54	163 45 %
JURY SELECTION:	101	96	26	15	31	31	17	113 31 %
JUROR PAYROLL/COSTS:	80	78	23	15	26	27	16	88 24 %
JUROR POSTPONEMENT:	59	61	16	11	20	22	12	67 18 %
JUROR SERVICE:	72	71	16	11	20	23	12	82 23 %
JURY MGT STATISTICS:	50	56	15	8	17	16	11	59 16 %
FINE AND FEE ACCOUNTING:	48	67	23	25	29	62	20	93 26 %
ALIMONY/SUPPORT:	25	14	7	3	52	3	4	63 17 %
TRUST ACCOUNTING:	18	16	7	10	10	13	12	27 7 %
GARNISHMENT ACCOUNTING:	24	8	4	9	13	6	3	30 8 %
WITNESS COST:	20	25	10	3	8	15	5	33 9 %
BAIL:	14	55	14	5	8	35	5	67 18 %
TOTAL COURTS HANDLING:	177	189	101	84	117	117	77	
% OF TOTAL JURISDICTIONS:	49 %	52 %	28 %	23 %	32 %	32 %	21 %	

SELECTION WAS:

SORTED BY: NOTE: MASTER FILE WAS NOT SORTED!
 SYSTEMS SELECTED: AUTOMATED and MANUAL SYSTEMS.
 COURTS SELECTED: ALL OF THE FOUR COURTS WERE SELECTED.
 MODULES SELECTED: ALL OF THE MODULES WERE SELECTED.

INFORMATION SYSTEM SURVEY

* * SELECTION INDEX * *

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0001	SUPERIOR & DISTRICT	AK	FAIRBANKS	STATE COURT SYSTEM	80,000	X	X		
0002	NINTH JUDICIAL CIRCUIT	AL	CHEROKEE	UNIFIED JUDICIAL SYSTEM	70,000	X			
0003	10TH JUDICIAL CIRCUIT	AL	JEFFERSON CNTY	UNIFIED JUDCL SYSTM, ST OF AL	671,324	X			
0004	ADMIN OFFICE OF COURTS	AL	MONTGOMERY	SUPREME COURT	3,869,000				
0005	CIRCUIT	AL	CALHOUN COUNTY	MANUAL	120,000	X	X		
0006	CIRCUIT & DISTRICT COURT	AL	CHOCTAW COUNTY	MANUAL	18,000	X			
0007	CIRCUIT CRT & DISTRICT CRT	AL	GENEVA, AL	MANUAL	10	X			
0008	CIRCUIT COURT OF BUTLER COUNTY	AL	GREENVILLE, AL	MANUAL	22,000	X			
0009	13TH JUDICIAL CIRCUIT	AL	MOBILE	MANUAL	300,000	X			
0010	SUPREME COURT OF ALABAMA	AL	MONTGOMERY	NONE (MANUAL)	3,869,000	X			
0011	CRT OF CRIMINAL APPEALS OF AL	AL	MONTGOMERY, AL	NONE (MANUAL)	3,869,000	X			
0012	COURT OF CIVIL APPEALS OF AL	AL	MONTGOMERY, AL	NONE (MANUAL)	3,869,000	X			
0013	CIRCUIT & DISTRICT COURTS	AL	TALLADEGA CNTY	MANUAL	65,000	X			
0014	TUSCALOOSA COUNTY DISTRICT COU	AL	TUSCALOOSA	MANUAL	137,000	X			
0015	PULASKI COUNTY CIRCUIT COURT	AR	LITTLE ROCK	PULASKI COUNTY CIRCUIT COURT	350,000	X			
0016	WASHINGTON COUNTY CIRCUIT CRT	AR	FAYETTEVILLE	MANUAL	100,000	X			
0017	SUPREME COURT OF ARIZONA	AZ	PHOENIX	SUPREME COURT	2,718,215	X			
0018	PHOENIX CITY COURT	AZ	PHOENIX	CITY OF PHOENIX	1,508,000	X			
0019	SUPERIOR COURT OF MARICOPA COU	AZ	PHOENIX	COURT ADMINISTRATOR	1,300,000	X			
0020	SUPERIOR COURT	AZ	PINAL COUNTY	CLERK OF THE SUPERIOR COURT	100,000	X			
0021	PIMA COUNTY JUSTICE COURTS	AZ	TUCSON	JUSTICE COURTS	650,000	X			
0022	TUCSON CITY COURT	AZ	TUCSON	CITY OF TUCSON	500,000	X			
0023	PIMA COUNTY JUVENILE COURT	AZ	TUCSON	PIMA COUNTY JUVENILE COURT	500,000	X			
0024	COURT SERVICES	BK	VICTORIA	ATTORNEY GENERAL	10	X			
0025	WEST KERN MUNICIPAL COURT	CA	1215 TRUXTUN AV	COUNTY OF KERN	150,000	X			
0026	LOS ANGELES SUPERIOR COURT	CA	LOS ANGELES CO	COUNTY CLERK	7,500,000	X			
0027	SUPERIOR COURT, COUNTY OF SAN	CA	REDWOOD CITY	COUNTY CLERK	580,700	X			
0028	SUPERIOR COURT, SAN MATEO CNTY	CA	REDWOOD CITY	COUNTY CLERK	550,000	X			
0029	SAN DIEGO SUPERIOR COURT	CA	SAN DIEGO	COUNTY CLERK	1,912,600	X			
0030	SAN DIEGO SUPERIOR COURT	CA	SAN DIEGO	COUNTY CLERK	1,912,600	X			
0031	BERKELEY ALBANY JUDICIAL DISTR	CA	BERKELEY	MUNICIPAL COURT	150,000	X			
0032	FREMONT NEWARK UNION CITY MUNIC	CA	FREMONT	ALAMEDA COUNTY	250,000	X			
0033	LOS ANGELES COUNTY SUPERIOR CT	CA	LOS ANGELES	COUNTY CLERK & CLERK OF SUP CT	7,400,000	X			
0034	CONTRA COSTA CNTY SUPERIOR CRT	CA	MARTINEZ	COUNTY CLERK	650,000	X			
0035	SACRAMENTO MUNICIPAL COURT	CA	SACRAMENTO	CITY OF SACRAMENTO	1,100,000	X			
0036	MONTEREY COUNTY MUNICIPAL COUR	CA	SALINAS, MONTER	MONTEREY COUNTY MUNICIPAL COUR	290,000	X			
0037	SAN BERNARDINO CNTY SUP CT	CA	SAN BERNARDINO	SUPERIOR COURT	893,000	X			
0038	SAN DIEGO CNTY SUPERIOR COURT	CA	SAN DIEGO	COUNTY CLERK	2,000,000	X			
0039	SANTA CLARA COUNTY SUPERIOR CO	CA	SAN JOSE	COUNTY CLERK	1,300,000	X			
0040	ORANGE COUNTY SUPERIOR COURT	CA	SANTA ANA, CA	COUNTY CLERK	2,000,000	X			
0041	SANTA BARBARA SUPERIOR COURT	CA	SANTA BARBARA	SUPERIOR COURT	300,000	X			
0042	SANTA BARBARA SUPERIOR	CA	SANTA BARBARA	COUNTY CLERK-RECORDER	297,000	X			
0043	SUPERIOR COURT	CA	VENTURA COUNTY	COUNTY CLERK AND RECORDER	530,000	X			
0044	SOLANO SUPERIOR	CA	FAIRFIELD	MANUAL	235,000	X			
0045	COURT OF APPEAL, THIRD DISTRIC	CA	SACRAMENTO	SUPREME COURT	0	X			
0046	SUPREME COURT OF CALIFORNIA	CA	SAN FRANCISCO	MANUAL	7,400,000	X			
0047	SONOMA COUNTY SUPERIOR COURT	CA	SANTA ROSA	SUPERIOR COURT	304,000	X			
0048	ALAMEDA SUPERIOR COURT	CA	OAKLAND	MANUAL	1,000,000	X			
0049	SANTA MARIA MUNICIPAL COURT	CA	SANTA MARIA	MANUAL	40,000	X			
0050	17TH JUDICIAL DISTRICT	CO	BRIGHTON	JUDICIAL DEPARTMENT	260,000	X	X		
0051	ADAMS COUNTY COURT	CO	BRIGHTON	CO JUDICIAL DEPT	246,000	X	X		
0052	EL PASO COUNTY COURT	CO	COLORADO SPRING	FOURTH JUDICIAL DISTRICT	350,000	X			
0053	DENVER COUNTY COURT	CO	DENVER	COLORADO JUDICIAL DEPT	490,000	X			

261

** SELECTION INDEX **

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIV	AOC
0054	JEFFERSON CNTY DISTRICT COURT	CO	GOLDEN	COLORADO STATE JUDICIAL DEPT	500,000	X			
0055	BOULDER MUNICIPAL COURT	CO	BOULDER	CITY OF BOULDER	78,000		X		
0056	HOFFAT COUNTY-COMBINED COURT	CO	CRAIG	(MANUAL)	15,000		X		
0057	DELTA COMBINED	CO	DELTA	MANUAL	21,225		X		
0058	COLORADO SUPREME COURT	CO	DENVER	(MANUAL)	3,000,000	X			
0059	MUNICIPAL COURT OF GREENWOOD V.	CO	ENGLEWOOD	MANUAL	5,500			X	
0060	DISTRICT COURT OF MORGAN COUNT	CO	FORT MORGAN	(MANUAL)	22,000		X		
0061	BOULDER MUNICIPAL COURT	CO	BOULDER	CITY OF BOULDER	80,000		X		
0062	COLORADO ST. JUDICIAL DEPARTME	CO	DENVER	CO JUDICIAL DEPT	2,500,000	X	X	X	X
0063	JEFFERSON COUNTY COURT	CO	GOLDEN		400,000		X		
0064	OTERO DISTRICT COURT	CO	LA JUNTA	CHIEF DISTRICT JUDGE	25,000		X		
0065	LITTLETON MUNICIPAL COURT	CO	LITTLETON	MANUAL	32,500			X	
0066	NORTHGLENN MUNICIPAL COURT	CO	NORTHGLENN	CITY OF NORTHGLENN	30,000			X	
0067	NORTHGLENN MUNICIPAL COURT	CO	NORTHGLENN	CITY OF NORTHGLENN	30,000			X	
0068	DISTRICT COURT	CO	PUERTO	JUDICIAL DEPARTMENT	126,000				
0069	CHAFFEE COUNTY DISTRICT COURT	CO	SALIDA	(MANUAL)	10,000		X		
0070	ALL SUPERIOR COURTS	CT	STATEWIDE	STATE JUDICIAL DEPT	3,107,576	X		X	
0071	U S DISTRICT CT FOR DC	DC	3RD & CONST NW	FEDERAL	638,000		X		
0072	SUPERIOR COURT	DE	WILMINGTON	NONE (MANUAL)	600,000		X		
0073	MUNICIPAL COURT	DE	WILMINGTON	(MANUAL)	80,000			X	
0074	CIRCUIT COUNTY COURTS	FL	DADE COUNTY	CLERK OF CIRCUIT COURT	1,626,000		X		
0075	20TH CIRCUIT COURT, LEE CO	FL	FT MYERS	CLERK	230,000		X		
0076	MARION COUNTY CIRCUIT COURT	FL	OCALA	CLERK OF CIRCUIT COURT	135,000		X		
0077		FL		AOC	9,471,000			X	
0078	BREVARD CNTY CIRCUIT & CNTY CRT	FL	400 SOUTH ST	CLERK OF CIRCUIT & COUNTY CRTS	272,959		X		
0079	CIRCUIT & CNTY CRT-MANATEE CTY	FL	BRADENTON	CLERK	148,000		X		
0080	COLLIER COUNTY	FL	COLLIER COUNTY	CLERKS OF COURTS/BOARD	95,000		X		
0081	CIRCUIT AND COUNTY COURTS	FL	FT. LAUDERDALE	CLERK	1,016,000	X		X	
0082	CIRCUIT COURT, ALACHUA	FL	GAINESVILLE	CLERK	154,000		X		
0083	CIRCUIT & COUNTY COURT-4TH CIR	FL	JACKSONVILLE	CLERK	600,000		X		
0084	TWENTIETH JUDICIAL CIRCUIT	FL	LEE COUNTY	CLERK'S OFFICE	214,867		X		
0085	ORANGE CO CIRCUIT & COUNTY CTS	FL	ORLANDO	CLERK	460,000		X		
0086	DAXKO OF AMERICA, INC.	FL		VENDOR (COMMERCIAL)	10		X		
0087	15TH JUDICIAL CIRCUIT	FL	PALM BEACH CNTY	CLERK	570,000		X		
0088	POLK CIRCUIT AND COUNTY	FL	POLK COUNTY	CLERK OF COURTS	321,000		X		
0089	CHARLOTTE CNTY CLERK'S OFFICE	FL	PUNTA GORDA		53,000		X		
0090	DISTRICT CRT OF APPEAL, 5 DIST	FL	DAYTONA BEACH	(MANUAL)	1,662,209	X			
0091	FIRST JUDICIAL CIRCUIT	FL	PENSACOLA	(MANUAL)	421,000		X		
0092	20TH JUD CIRCUIT, CHARLOTTE CO	FL	PENSACOLA, FL	CLERK	300,000		X		
0093	INDIAN RIVER CNTY CIRCT & CNTY	FL	VERO BEACH, FL	(MANUAL)	63,000		X		
0094	SUPERIOR COURT	GA	SAVANNAH	COUNTY	200,000		X		
0095	SUPERIOR COURT, DOUGHERTY CNTY	GA	ALBANY, GA	COUNTY	101,000		X		
0096	ADMIN OFFICE OF THE COURTS	GA	ATLANTA	ADMIN OFFICE OF THE COURTS	5,391,000	X	X	X	
0097	FULTON COUNTY SUPERIOR COURT	GA	ATLANTA	COUNTY	590,000		X		
0098	CLAYTON SUPERIOR COURT	GA	CLAYTON COUNTY	COUNTY COMMISSIONERS	150,357		X		
0099	CLAYTON COUNTY JUVENILE COURT	GA	JONESBORO	CLAYTON COUNTY JUVENILE COURT	150,000			X	
0100	CLAYTON SUPERIOR COURT	GA	JONESBORO	COUNTY COMMISSIONERS	150,000		X		
0101	CLARKE SUPERIOR & STATE COURTS	GA	ATHENS	NONE (MANUAL)	0		X		
0102	SUPREME COURT OF GEORGIA	GA	ATLANTA, GA	(MANUAL)					
0103	ADMINISTRATION OFFICE	HI	HONOLULU, HI	AOC	763,000			X	
0104	SUPREME CT & INTERMED CT OF HI	HI	HONOLULU	(MANUAL)	1,000,000	X			
0105	FIFTH CIRCUIT COURT	HI	LIHUE, KAUAI	NONE (MANUAL)	40,200		X		
0106	FIRST CIRCUIT COURT	HI	HONOLULU, HI	N/A	763,000	X			

262

** SELECTION INDEX **

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0107	DISTRICT COURT OF FIRST CIRCUIT	HI	HONOLULU, HI	N/A	763,000		X		
0108	1ST, 2ND, 3RD & 5TH CIRCUIT CRTS	HI	NEIGHBOR ISLDS	N/A	10		X		
0109	POLK COUNTY DISTRICT COURT	IA	DES MOINES	IOWA SUPREME COURT	303,170		X		
0110	SUPREME COURT OF IOWA	IA	DES MOINES	OFFICE OF THE COURT ADMIN	2,917,000	X	X	X	
0111	DISTRICT COURT	IA	FAYETTE CO	(MANUAL)	25,000		X		
0112	LINN COUNTY DISTRICT COURT	IA	CEDAR RAPIDS	IOWA SUPREME COURT	170,000		X		
0113	SECOND JUDICIAL DISTRICT	IA	CLARION	IOWA SUPREME COURT	500,243		X		
0114	CLERK OF DIST CT-WINNERAGO CTY	IA	FOREST CITY, IA	NONE (MANUAL)	130		X		
0115	4TH JUD DISTRICT, ADA COUNTY	ID	BOISE	N/A	168,000		X		
0116	IDAHO SUPREME CT & CRT OF APPL	ID	BOISE, ID	ADMIN OFFICE OF THE COURTS	944,000	X			
0117	INTERMEDIATE APPELLATE COURT	IL	5 DISTRICTS	ADMIN OFC OF THE ILLINOIS CRTS	11,500,000	X			
0118	CIRCUIT COURT OF COOK COUNTY	IL	COOK COUNTY	CLERK OF THE CIRCUIT COURT	7,000,000		X		
0119	18TH JUDICIAL CIRCUIT COURT	IL	DUPAGE COUNTY	COURT	680,000		X		
0120	CIRCUIT COURT OF KANE COUNTY	IL	GENEVA	JAN CARLSON, CLERK CIRCUIT CRT	380,000		X		
0121	MACON COUNTY CIRCUIT COURT	IL	DECATUR	MANUAL	135,000		X		
0122	ILLINOIS APPELLATE CRT-4TH DST	IL	SPRINGFIELD, IL	MANUAL	10	X			
0123	LAKE SUPERIOR COURT-JUVENILE D	IN	GARY	N/A	600,000		X		
0124	SUPERIOR CT OF LAKE CNTY	IN	GARY/CROWN	CT. ADM.	522,965		X		
0125	ST. JOSEPH SUPERIOR	IN	SO BEND MISHAWA	N/A	240,000		X		
0126	SUP, SUP II, CIRCT, 2CNTYS, & JUV CT	IN	LAFAYETTE	MANUAL	200,000	X	X		
0127	BARTON COUNTY DISTRICT COURT	KS	GREAT REND	N/A	66,000		X		
0128	DOUGLAS COUNTY DISTRICT COURT	KS	LAWRENCE	DISTRICT COURT	67,640		X		
0129	WYANDOTTE COUNTY DISTRICT COUR	KS	K.C.	N/A	185,000		X		
0130	JOHNSON COUNTY DIST. COURT	KS	OLATHE	N/A	276,000		X		
0131	THIRD JUDICIAL DISTRICT COURT	KS	SHAWNEE COUNTY	THIRD JUDICIAL DISTRICT	185,000		X		
0132	DISTRICT COURT-18TH JUDICIAL D	KS	WICHITA	N/A	300,000		X		
0133	SHERIDAN COUNTY DISTRICT COURT	KS	HOXIE, KS	MANUAL	4,750		X		
0134	STANTON COUNTY DISTRICT COURT	KS	JOHNSON, KS	MANUAL	2,500		X		
0135	JEFFERSON CIRCUIT COURT	KY	LOUISVILLE	COURT ADMINISTRATOR	700,000		X		
0136	JUDICIAL DEPARTMENT	KY	FRANKFORT	AOC	3,644,000	X	X	X	X
0137	WAHREN COUNTY	KY	BOWLING GREEN	KY ADMINISTRATIVE OFFICE OF CT	70,063		X		
0138	24TH JUDICIAL DISTRICT COURT	LA	GRETNA	CLERK OF COURT	400,000		X		
0139	LOUISIANA SUPREME COURT	LA	NEW ORLEANS	JUDICIAL ADMINISTRATOR'S OFFCE	4,139,000	X			X
0140	21ST JUDICIAL DISTRICT COURT	LA	AMITE, LA	MANUAL	147,641		X		
0141	COURT OF APPEAL, THIRD CIRCUIT	LA	LAKE CHARLES	MANUAL	10	X			
0142	CIVL. DIST CRT, PARISH OF ORLEANS	LA	NEW ORLEANS	MANUAL	1,000,000		X		
0143	FIRST JUDICIAL DISTRICT	LA	SHREVEPORT	MANUAL	376,650		X		
0144	CADDO DISTRICT COURT	LA	SHREVEPORT, LA	MANUAL	375,000		X		
0145	BATON ROUGE CITY COURT	LA	BATON ROUGE	BATON ROUGE CITY COURT	350,000		X		
0146	TRIAL COURT	MA	BOSTON	OFFICE OF CHIEF ADMIN JUSTICE	5,746,000		X		
0147	NEW BEDFORD DISTRICT COURT	MA	NEW BEDFORD	MANUAL	500,000		X		
0148	PROBATE & FAMILY COURT DEPT	MA	SPRINGFIELD, MA	MANUAL	461,659		X		
0149	HOUSING COURT, DEPT, CITY OF BST	MA	BOSTON, MA	JUDICIAL INFORMATION SYSTEMS	670,000		X		
0150	ADMIN OFFICE OF THE COURTS	MD	BALTIMORE	ADMIN OFFICE OF COURTS	1,000,000		X		
0151	1ST JUDICIAL CIRCUIT OF MD	MD	SNOW HILL, MD	DISTRICT COURT OF MARYLAND	141,700		X		
0152	DISTRICT COURT OF MARYLAND	MD	STATE WIDE	MANUAL	4,223,000		X		
0153	COURT OF APPEALS	MD	ANNAPOLIS	MANUAL	4,000,000	X			
0154	CIRCUIT CT FOR ALLEGANY CNTY	MD	CUMBERLAND	MANUAL	80,000		X		
0155	CIRCUIT CT FOR BALTIMORE CNTY	MD	TOWSON, MD	CLERK'S OFFICE	655,600		X		
0156	THIRD JUDICIAL CIRCUIT	MD	BALTO/HARTFORD	JUVENILE SERVICES ADMINISTRATI	1,000,000		X		
0157	LAW COURT	ME	PORTLAND	AOC	1,125,000	X			
0158	SUPERIOR COURT	ME	STATEWIDE	ADMINISTATIVE OFFICE OF THE COU	1,125,000	X			
0159	SUPREME JUDICIAL COURT	ME	PORTLAND	MANUAL	1,000,000	X			

263

* * S E L E C T I O N I N D E X * *

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0160	15TH DISTRICT COURT	MI	ANN ARBOR	CITY OF ANN ARBOR	110,000		X		
0161	4TH JUDICIAL CIRCUIT COURT	MI	JACKSON	COUNTY OF JACKSON, MICHIGAN	145,000	X			
0162	9TH JUDICIAL CIRCUIT COURT	MI	KALAMAZOO	CIRCUIT COURT ADMINISTRATOR	212,000	X			
0163	16TH DISTRICT COURT	MI	LIVONIA	N/A	100,000		X		
0164	48TH DISTRICT COURT	MI	BLOOMFIELD HILL	OAKLAND COUNTY DATA	136,000		X		
0165	19TH DISTRICT COURT	MI	DEARBORN	CITY OF DEARBORN	100,000		X		
0166	RECORDER'S COURT	MI	DETROIT	MICHIGAN SUPREME COURT	2,000,000	X			
0167	DISTRICT COURT 9-1	MI	KALAMAZOO	N/A	212,000	X	X		
0168	30TH JUDICIAL CIRCUIT COURT	MI	LANSING	N/A	280,000	X	X		
0169	46TH DISTRICT COURT	MI	SOUTHFIELD	CITY OF SOUTHFIELD	75,492				
0170	CIRCUIT COURT - 13TH DISTRICT	MI	LELAND	MANUAL	14,007	X			
0171	46TH JUDICIAL CIRCUIT	MI	OTSEGO CNTY	MANUAL	30,000	X			
0172	31ST CIRCUIT COURT	MI	PORT HURON	MANUAL	148,000	X			
0173	34TH JUDICIAL CIRCUIT	MI	ROSCOMMON CNTY	MANUAL	17,374	X			
0174	22ND JUDICIAL CIRCUIT	MI	WASHTENAW CNTY	MANUAL	265,000	X			
0175	39TH DISTRICT COURT	MI	FRASER	MANUAL	15,000		X		
0176	43RD DISTRICT COURT	MI	HAZEL PARK	CITY OF HAZEL PARK	20,919		X		
0177	34TH DISTRICT	MI	ROMULUS, MICHIG	MANUAL	50,000		X		
0178	39TH DISTRICT COURT	MI	ROSEVILLE	N/A	10		X		
0179	44TH DISTRICT COURT	MI	ROYAL OAK	MANUAL	75,000		X		
0180	70TH DISTRICT STATE COURT	MI	SAGINAW	MANUAL	228,000		X		
0181	41-A DISTRICT COURT	MI	STERLING HEIGHT	MANUAL	200,000	X	X	X	
0182	ST. LOUIS COUNTY/DISTRICT COUR	MN	DULUTH	ST. LOUIS COUNTY	240,000		X	X	
0183	FOURTH JUDICIAL DISTRICT	MN	MINNEAPOLIS	HENNEPIN CNTY BRD/SUPREME CT	1,000,000	X	X		
0184	OLMSTED CNTY DST & CNTY COURTS	MN	ROCHESTER, MN	N/A	100,000	X			
0185	SUPREME COURT	MN	ST PAUL	INFORMATION SYSTEMS OFFICE	4,000,000	X	X	X	X
0186	DISTRICT COURT, 2ND JUDICIAL	MN	ST PAUL	N/A	400,000	X			
0187	BLUE EARTH COUNTY DISTRICT	MN	MANKATO	CLERK OF COURT	52,400	X			
0188	SCOTT COUNTY DISTRICT & COUNTY	MN	SHAKOPEE	N/A	43,784	X			
0189	RAMSEY CNTY MUN CT	MN	ST PAUL COURTHO	MUNICIPAL COURT	420,000		X		
0190	DISTRICT & COUNTY COURT	MN	PIPESTONE CNTY	(MANUAL)	11,690	X			
0191	RAMSEY COUNTY DISTRICT COURT	MN	ST PAUL	(MANUAL)	500,000	X			
0192	LAKE COUNTY	MN	TWO HARBORS	(MANUAL)	13,300	X			
0193	COOK COUNTY COURT	MN	GRAND MARAIS	(MANUAL)	4,092	X			
0194	JUVENILE CT, 2ND JUD DST	MN	RAMSEY COUNTY	(MANUAL)	500,000		X		
0195	BUCHANAN COUNTY CIRCUIT COURT	MO	ST JOSEPH	BUCHANAN COUNTY CIRCUIT COURT	87,888	X			
0196	BOONE COUNTY CIRCUIT COURT	MO	COLUMBIA	N/A	100,000	X			
0197	16TH JUDICIAL CIR COURT	MO	KANSAS CITY	N/A	629,180	X			
0198	JACKSON COUNTY JUV CT	MO	KANSAS CITY	CIRCUIT CT-16TH JUD CIRCUIT	629,000		X		
0199	16TH JUDICIAL CT OF MISSOURI	MO	KANSAS CITY	MUNICIPAL DIVISION	629,000		X		
0200	ST. LOUIS CIRCUIT COURT	MO	ST LOUIS	N/A	453,085	X			
0201	U S COURT OF APPEALS-8TH CIRC	MO	ST. LOUIS	FEDERAL	0	X			
0202	BLACK JACK MUNICIPAL	MO	BLACK JACK	(MANUAL)	5,000		X		
0203	COLUMBIA MUNICIPAL COURT	MO	COLUMBIA	(MANUAL)	65,000		X		
0204	ST LOUIS CNTY CIR CT	MO	HAZELWOOD	(MANUAL)	16,000	X			
0205	CIRCUIT	MS	TALKSON	CIRCUIT CLERKS OFFICE	250,000	X			
0206	2ND CIRCUIT CT DIST OF MS	MS	HARRISON CNTY	(MANUAL)	191,918	X			
0207	16TH JUDICIAL DIST-POWDER RIVR	MT	BROADUS, MT	CLERK OF COURT OFFICE	3,500	X			
0208	SUPREME COURT	MT	HELENA	COURT ADMINISTRATOR'S OFFICE	786,690	X	X	X	
0209	MONTANA SUPREME COURT	MT	HELENA	COURT ADMINISTRATION OFFICE	786,000	X			
0210	EIGHTH JUDICIAL DISTRICT	MT	GREAT FALLS, MT	(MANUAL)	60,000	X			
0211	ADMIN OFFICE OF THE COURTS	NC	RALEIGH	AOC	5,960,500		X		
0212	SUPERIOR COURT	NC	ASHEVILLE	AOC	160,000	X			

264

** SELECTION INDEX **

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0213	14TH JUDICIAL DISTRICT COURT	NC	DURHAM	ADMIN OFFICE OF COURTS	160,000				X
0214	NORTH CAROLINA COURT OF APPEAL	NC	RALEIGH, NC	(MANUAL)	5,802,000	X			
0215	NORTH DAKOTA SUPREME COURT	ND	BISMARCK	COURT ADMINISTRATORS OFFICE	640,000	X			
0216	DISTRICT	ND	DICKINSON	(MANUAL)	45,000				
0217	DISTRICT COURT, NE CENTRAL JUD	ND	GRAND FORKS	(MANUAL)	100,000	X			
0218	MUNICIPAL COURT	NE	LINCOLN	N/A	192,900			X	
0219	COUNTY COURTS, STATEWIDE	NE	LINCOLN	(MANUAL)	15,000,000	X		X	
0220	SUPREME COURT	NE	LINCOLN	(MANUAL)	15,500,000	X			
0221	DISTRICT COURTS, STATEWIDE	NE	LINCOLN	(MANUAL)	1,500,000	X			
0222	NEW HAMPSHIRE SUPREME COURT	NH	CONCORD	OFFICE OF ADMINISTRATIVE SVCS	1,000,000	X			
0223	MERRIMACK COUNTY SUPERIOR COUR	NH	CONCORD	OFFICE OF ADMINISTRATION	1,000,000	X			
0224	BELKNAP COUNTY SUPERIOR COURT	NH	LACONIA	OFFICE OF ADMINISTRATION	20,000	X			
0225	NASHUA DISTRICT COURT	NH	NASHUA	OFFICE OF ADMINISTRATIVE SVCS	1,000,000				
0226	EAST ORANGE MUNICIPAL COURT	NJ	EAST ORANGE	CITY OF EAST ORANGE	10				
0227	SUPREME COURT	NJ	TRENTON	SUPREME COURT	7,373,000	X			
0228	SUPERIOR COURT	NJ	BURLINGTON COUN	N/A	363,000				
0229	UNION COUNTY SUPERIOR COURT	NJ	ELIZABETH	COURT ADMINISTRATOR'S OFFICE	550,000	X			
0230	SUPERIOR COURT	NJ	HUDSON COUNTY	COURT ADMINISTRATOR	557,000	X			
0231	SUPERIOR COURT-MORRIS COUNTY	NJ	MORRISTOWN	COURT ADMINISTRATOR'S OFFICE	400,000	X			
0232	PASSAIC COUNTY	NJ	PATERSON	PASSAIC COUNTY TRIAL CT ADMIN	480,000	X			
0233	SUPERIOR COURT, PASSAIC CNTY	NJ	PATERSON	N/A	448,000	X			
0234	APPELLATE DIVISION SUPERIOR CO	NJ	TRENTON	JMIS	7,373,000	X			
0235	SUPERIOR COURT OF NJ	NJ	TRENTON, NJ	STATEWIDE	8,000,000	X			
0236	SUPERIOR COURT	NJ	ESSEX COUNTY	(MANUAL)	1,000,000	X			
0237	Gloucester Cnty District CRT	NJ	WOODBURY	(MANUAL)	199,917				
0238	MONMOUTH COUNTY, SUPERIOR CRT	NJ	FREEHOLD	JUDICIARY	500,000	X			
0239	11TH JUDICIAL DISTRICT COURT	NM	AZTEC	(MANUAL)	0				
0240	COURT OF APPEALS	NM	SANTA FE	(MANUAL)	1,250,000	X			
0241	DISTRICT COURTS	NM	STATEWIDE	(MANUAL)	1,250,000	X	X		
0242	MAGISTRATE COURTS	NM	STATEWIDE	(MANUAL)	1,250,000	X	X		
0243	8TH JUDICIAL DISTRICT COURT	NV	CLARK COUNTY	CLARK COUNTY CLERK	450,000	X			
0244	CLARK COUNTY JUVENILE COURT	NV	LAS VEGAS	N/A	460,000	X	X	X	X
0245	NEVADA COURT SYSTEM	NV	CARSON CITY	(MANUAL)	800,000	X	X	X	X
0246	OFFICE OF COURT ADMINISTRATION	NY	ALBANY	N/A	17,634,000				
0247	ADMIN JUDGE'S OFF/3RD JUD DIST	NY	BUFFALO/ERIE CO	NY OFFICE OF COURT ADMIN	286,000	X			
0248	STATE SUPREME COURT	NY	NEW YORK	OFFICE OF COURT ADMINISTRATION	1,200,000	X			
0249	SUPREME COURT	NY	ROCHESTER	COUNTY CLERK, NY COUNTY	1,200,000	X			
0250	COMMISSIONER OF JURORS	NY	27 MADISON, NY	COMMISSIONER OF JURORS	711,917				
0251	APPELLATE DIVSN OF SUP CRT-1ST	NY	60 CENTRE ST NY	(MANUAL)	2,000,000	X			
0252	APPELLATE TERM-SUPREME COURT	NY	ALBANY	(MANUAL)	3,000,000	X			
0253	SUPREME CRT APPELLATE DIV, 3 DP	NY	ROCHESTER	(MANUAL)	2,329,542	X			
0254	MONROE CNTY COMBINED CRT ACTIV	NY	ROCHESTER, NY	(MANUAL)	750,000				
0255	APPELLATE DIVISION-4TH DEPT	NY	COUNTY OF BRONX	(MANUAL)	10	X			
0256	SUPREME CRT OF NEW YORK	NY	AKRON	(MANUAL)	1,200,000	X			
0257	SUMMIT COUNTY COURT OF COMMON	OH	AKRON	A/SAJIS	450,000	X			
0258	AKRON MUNICIPAL COURT	OH	AKRON	CITY OF AKRON	136,000				
0259	COURT OF COMMON PLEAS	OH	STARK COUNTY	N/A	378,823	X			
0260	HAMILTON COUNTY JUVENILE COURT	OH	CINCINNATI	HAMILTON COUNTY JUVENILE COURT	924,018	X			
0261	CUYAHOGA COUNTY COURT OF COMM	OH	CLEVELAND	BOARD OF COUNTY COMMISSIONERS	1,300,000	X			
0262	CLEVELAND MUNICIPAL COURT	OH	CLEVELAND	MUNICIPAL COURT	560,000	X			
0263	FRANKLIN COUNTY MUNICIPAL COUR	OH	COLUMBUS	CITY OF COLUMBUS	900,000	X			
0264	FRANKLIN COUNTY COURT OF COMM	OH	COLUMBUS	N/A	869,109	X			
0265	SUPREME COURT OF OHIO	OH	COLUMBUS, OH	SUPREME COURT OF OHIO	16,799,000	X			

265

** SELECTION INDEX **

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0266	CUYAHOGA FALLS MUNICIPAL COURT	OH	CUYAHOGA FALLS	CLERK OF COURTS	190,000		X		
0267	MONTGOMERY CTY JUVENILE COURT	OH	DAYTON	COURT	600,000		X		
0268	LUCAS COUNTY JUVENILE COURT	OH	TOLEDO	NORTHWEST OHIO REGIONAL INFO	500,000		X		
0269	TOLEDA MUNICIPAL COURT	OH	TOLEDO	NORTHWEST OHIO REGIONAL INFO	355,000		X		
0270	STARK COUNTY COMMON PLEAS CRT	OH	CANTON	(MANUAL)	350,000		X		
0271	COMMON PLEAS CRT/MONTG. COUNTY	OH	DAYTON	(MANUAL)	608,413		X		
0272	COMMON PLEAS CRT/MONTGOMERY CT	OH	DAYTON	N/A	572,000		X		
0273	CRT OF COMMON PLEAS-DDRC	OH	RICHLAND COUNTY	(MANUAL)	268,000		X		
0274	LUCAS CNTY CRT OF COMMON PLEAS	OH	TOLEDO	N/A	500,000		X		
0275	SUMMIT COUNTY COMMON PLEAS COU	OH	AKRON	(MANUAL)	500,000		X		
0276	ELYRIA MUNICIPAL COURT	OH	ELYRIA	(MANUAL)	110,000		X		
0277	KETTERING MUNICIPAL COURT	OH	KETTERING	(MANUAL)	100,000		X		
0278	TIFFIN MUNICIPAL COURT	OH	MUNICIPAL BLDG	(MANUAL)	50,000		X		
0279	OKC MUNICIPAL COURTS	OK	OKLAHOMA CITY	COURT	834,000		X		
0280	TULSA COUNTY JUVENILE COURT	OK	TULSA	(MANUAL)	461,552		X		
0281	EUGENE MUNICIPAL	OR	EUGENE	CITY GOVT.	100,000		X		
0282	WASHINGTON COUNTY DISTRICT COU	OR	HILLSBORO	WASHINGTON COUNTY DISTRICT COT	250,000		X		
0283	MULTNOMAH COUNTY CIRCUIT COURT	OR	PORTLAND	COURT	500,000		X		
0284	OREGON SUPREME CRT,CRT OF APPL	OR	SALEM	OFFICE OF STATE CRT ADMINISTN	2,578,000	X			
0285	ADMIN OFFICE OF PA COURTS	PA	PHILADELPHIA	ADMIN OFFICE	11,866,728	X	X	X	X
0286	CRT OF COMMON PLEAS/31ST JUD	PA	ALLENTOWN	ADMIN OFFICE OF PA COURT	271,335		X		
0287	WESTMORELAND CNTY CRT COMM PLS	PA	GREENSBURG	N/A	396,000		X		
0288	COURT OF COMMON PLEAS	PA	ALLEGHENY CNTY	COURT INFO SYSTEMS	1,450,085		X		
0289	MONTGOMERY COUNTY COMMON PLEAS	PA	NORRISTOWN	COURT ADMINISTRATOR	650,000		X		
0290	PHILADELPHIA MUNICIPAL COURT	PA	PHILADELPHIA	COURT ADMINISTRATION	1,700,000		X		
0291	PHILA. COURT OF COMMON PLEAS	PA	YORK COUNTY	COURT ADMINISTRATION	1,700,000		X		
0292	COURT OF COMMON PLEAS	PA	ERIE	DISTRICT CRT ADMIN OFFICE	313,000		X		
0293	ERIE CNTY CRT COMMON PLEAS	PR	PUERTO RICO	(MANUAL)	300,000		X		
0294	COURT OF FIRST INSTANCE	RI		ADMIN OFFICE OF THE COURT	3,115,000	X	X	X	X
0295	ALL COURTS	SD	PIERRE, SD	RD JUDICIAL SYSTEMS & SCIENCES	1,000,000	X	X	X	X
0296	UNIFIED JUDICIAL SYSTEM	TN	NASHVILLE	UNIFIED JUDICIAL SYSTEM	689,000	X	X	X	X
0297	DAVIDSON CNTY CHANCERY COURT	TN	DAVIDSON COUNTY	NASHVILLE METROPOLITAN GOVT	478,000		X		
0298	CIRCUIT	TN	KNOXVILLE	N/A	475,000		X		
0299	KNOX COUNTY CRIMINAL COURT	TN	NASHVILLE	KNOX COUNTY CRIMINAL COURT CLE	100,000		X		
0300	SUPREME COURT	TX	ORANGE	EXECUTIVE SECRETARY'S OFFICE	4,500,000	X	X	X	
0301	DISTRICT COURTS	TX	AUSTIN	ORANGE COUNTY	84,000		X		
0302	OFFICE OF COURT ADMINISTRATION	TX	DALLAS	OFFICE OF COURT ADMINISTRATION	14,228,383	X		X	
0303	CRIMINAL DISTRICT COURT #2	TX	GALVESTON	DON METCALFE, JUDGE	1,556,000		X		
0304	10TH/56TH/212TH/306TH	TX	HOUSTON	DISTRICT CLERK	190,000		X		
0305	HARRIS COUNTY DISTRICT COURT	TX	ODESSA	HARRIS COUNTY DISTRICT CLERK	2,409,000	X		X	
0306	ODESSA MUNICIPAL COURT	TX	AUSTIN	CITY OF ODESSA	125,000		X		
0307	DISTRICT COURTS	TX	CORPUS CHRISTI	(MANUAL)	419,000		X		
0308	COURT OF CRIMINAL APPEALS	TX	EL PASO COUNTY	(MANUAL)	10	X			
0309	13TH COURT OF APPEALS	TX	ERATH & HOOD	(MANUAL)	10	X			
0310	327TH JUDICIAL DIST COURT	TX	MCLENNAN CNTY	(MANUAL)	480,000		X		
0311	266TH JUDICIAL DISTRICT COURT	TX	MIDLAND	(MANUAL)	50,000		X		
0312	54TH DISTRICT COURT	TX	NUECES COUNTY	(MANUAL)	170,000		X		
0313	142ND/238TH/318TH DIST CRTS	TX	ODESSA	(MANUAL)	80,000		X		
0314	7 DIST CRTS/3 CNTY CRTS	TX	SHERMAN	(MANUAL)	300,000		X		
0315	70TH/161ST/244TH DIST CRTS	TX	HOUSTON	(MANUAL)	150,000		X		
0316	GRAYSON COUNTY DISTRICT COURT	TX	OGDEN	(MANUAL)	89,989		X		
0317	PROBATE COURT # 33	UT		COURT	2,409,000		X		
0318	THIRD CIRCUIT COURT	UT			400,000		X		

266

** SELECTION INDEX **

RECORD NUMBER	COURT NAME	STATE	LOCATION	RESPONSIBLE AGENCY	POPULATION	APP	GEN	LIM	AOC
0319	SECOND JUDICIAL DISTRICT	UT	OGDEN-ADM OFFIC	TRIAL COURT EXECUTIVE	400,000	X			
0320	UTAH STATE TRIAL COURTS	UT	SALT LAKE CITY	STATE COURT ADMINISTRATOR	1,500,000	X	X	X	
0321	5TH DIST COURT, 9TH CIRC CRT	UT	BEAVER/IRON/MAS	(MANUAL)	50,000	X	X		
0322	UTAH SUPREME COURT	UT	SALT LAKE CITY	(MANUAL)	1,520,000	X			
0323	CIRCUIT COURT, PRINCE WM CNTY	VA	MANASSAS	CLERK OF THE CIRCUIT COURT	166,665	X			
0324	RICHMOND JUVENILE & DOMESTIC	VA	RICHMOND	COURT	219,000			X	
0325	CIRCUIT COURT	VA	ROANOKE CITY	CITY OF ROANOKE	100,000		X		
0326	7TH JUDICIAL CIRCUIT COURT	VA	NEWPORT NEWS	(MANUAL)	145,000		X		
0327	HENRICO COUNTY CIRCUIT COURT	VA	RICHMOND	CLERK, CIRCUIT COURT	180,735		X		
0328	CIRCUIT COURT, DIVISION 1	VA	RICHMOND	(MANUAL)	100,000		X		
0329	YORK COUNTY GENERAL DISTRICT	VA	YORKTOWN	(MANUAL)	44,000			X	
0330	PITTSVRGINIA GENERAL DISTRICT	VA	CHATHAM	(MANUAL)	66,147		X		
0331	PRINCE WILLIAM GENERAL DISTRIC	VA	MANASSAS	(MANUAL)	170,000		X		
0332	NORFOLK JUVENILE	VA	NORFOLK	(MANUAL)	270,000		X		
0333	4TH JUDICIAL CIRCUIT COURT	VA	NORFOLK	COMPENSATION BOARD	267,400		X		
0334	FOUAUVER COUNTY GENERAL DISTRI	VA	WARRENTON	(MANUAL)	35,000		X		
0335	SUPREME COURT OF VERMONT	VT	MONTPELIER	OFFICE OF COURT ADMINISTRATOR	506,000	X		X	
0336	THURSTON COUNTY DISTRICT COURT	WA	OLYMPIA	COUNTY	130,000		X		
0337	SEATTLE MUNICIPAL COURT	WA	SEATTLE	COURT	500,000		X		
0338	GRAYS HARBOR COUNTY SUPERIOR C	WA	MONTESONA	AOC	33,000		X		
0339	AFC-ISD COVERING ATTACHED JURI	WA	OLYMPIA	ADMINISTRATOR FOR THE COURTS	4,200,000	X	X	X	X
0340	KING CO DISTRICT COURTS	WA	SEATTLE	DISTRICT COURTS	1,300,000		X		
0341	ROXBURY DISTRICT COURT	WA	SEATTLE	COURT	60,000		X		
0342	SPOKANE COUNTY SUPERIOR COURT	WA	SPOKANE	SPOKANE COUNTY SUPERIOR COURT	375,000		X		
0343	APOKANE DISTRICT/MUNICIPAL CT	WA	SPOKANE	SPOKANE DISTRICT/MUNICIPAL CT	320,000		X		
0344	ISLAND-SAN JUAN COUNTIES	WA	COUPEVILLE	(MANUAL)	47,900		X		
0345	KLIC(ITAL CNTY SUPERIOR CRT	WA	GOLDDENALE	(MANUAL)	10,000		X		
0346	MERCER ISLAND DISTRICT	WA	MERCER ISLAND	(MANUAL)	0		X		
0347	MILWAUKEE MUNICIPAL COURT	WI	818 WEST WISCON	MILWAUKEE	680,000		X		
0348	CIRCUIT COURTS OF WALWORTH CNT	WI	ELKHORN	CLERK OF CIRCUIT COURT	71,000		X		
0349	STATE COURTS	WI	MADISON	DIRECTOR OF STATE COURTS	4,666,000	X	X	X	
0350	WISCONSIN CIRCUIT COURTS	WI	MADISON	WISCONSIN CT INFORMATION SYSTE	4,000,000	X	X	X	
0351	FIRST JUD DST CIR CTS	WI	MILWAUKEE	CHIEF JUDGE-FIRST JUD DST	1,049,000		X		
0352	OZAUKEE COUNTY CIRCUIT COURT	WI	PORT WASHINGTON	CLERK OF COURTS	67,000		X		
0353	5TH DISTRICT-ADMINISTRATIVE	WI	ROCK, GREEN, DANE	WI INFO SYSTEM	500,000		X		
0354	WASHINGTON COUNTY CIRCUIT CT	WI	WESTBEND	SE WISCONSIN REG PLNG COM	85,550		X		
0355	WISC SUPR CRT/CRT OF APPS	WI	MADISON, WI	(MANUAL)	10	X			
0356	JEFFERSON COUNTY CIRCUIT CT	WI	JEFFERSON	(MANUAL)	66,436		X		
0357	CIRCUIT COURTS, 3RD JUD ADMIN	WI	JEFFERSON, OZAU	(MANUAL)	250,000		X		
0358	CIRCUIT COURT	WI	KENOSHA	(MANUAL)	120,000		X		
0359	DANE COUNTY JUVENILE COURT	WI	MADISON	(MANUAL)	323,000		X		
0360	WAUKESHA COUNTY CIRCUIT COURTS	WI	WAUKESHA, WI	(MANUAL)	285,000		X		
0361	WEST VIRGINIA SUPREME COURT	WV	CHARLESTON	WEST VIRGINIA SUPREME COURT	1,949,644	X	X	X	X
0362	WYOMING SUPREME COURT	WY	CHEYENNE, WY	(MANUAL)	469,557	X			
0363	SEVENTH JUDICIAL DISTRICT	WY	CASPER, WYOMING	(MANUAL)	71,000		X		

SELECTION WAS:

SORTED BY:

SYSTEMS SELECTED:

COURTS SELECTED:

MODULES SELECTED:

NOTE: MASTER FILE WAS NOT SORTED!
 AUTOMATED and MANUAL SYSTEMS.
 ALL OF THE FOUR COURTS WERE SELECTED.
 ALL OF THE MODULES WERE SELECTED.

Appendix B:
Events in case processing—
trial courts

Preceding page blank

EVENTS IN CIVIL CASE PROCESSING, suggested in several management studies

NCSC - Sipes,
Managing to Reduce
Delay

NCSC - Church,
Justice Delayed

NCSC - Caseflow
Management SD

NRC Caseflow
Management Saginaw
MI

WRC - Anchorage
Trial Courts

NERC - York County
PA Court of Common
Pleas

CA Master-Individual
Calendar Study 1974

NERC - Reducing
Trial Court Delay
Project GH

ND Case Reporting
System - SCISSRS
Transfer Module

NCSC - New Jersey
Statewide Computer-
ization Study

Brenson's Caseflow
Management Presentation

1. Service		1. Filing		1. Filing		1. Complaint filed		1. Complaint, petition		1. Filing of at issue memo		1. Complaint		1. Complaint		1. Filing	
1. Filing of complaint, petition		1. Filing		1. Filing		1. Complaint filed		1. Complaint, petition		1. Filing of at issue memo		1. Complaint		1. Complaint		1. Filing	
2. Filing of answer		2. Service		2. Service		2. Answer		2. Answer		2. Note of issue		2. Answer		2. Note of issue		2. Note of issue/certificate of readiness	
3. Completion of discovery		3. Answer		3. Notice of trial		3. Pretrial proceedings		3. Pretrial conference		3. Jury demand withdrawn		3. Pleadings		3. Motions			
4. Filing of motions		4. Certificate of readiness		4. Certificate of readiness		4. Pretrial conference		4. Pretrial conference		4. Motions hearing		4. Motion hearing		4. Pretrial conference		6. Pretrial conference	
5. Request for trial date		5. Trial date assigned		5. Interim order		5. Trial date scheduled		5. Set for trial		6. Set for trial							
6. Trial date assigned		6. Trial date assigned		6. Trial date assigned		6. Trial date assigned		6. Trial date assigned		6. Trial date set		6. Trial date set		6. Trial date set		7. Trial date set	
7. First scheduled trial date		7. First scheduled trial date		7. First scheduled trial date		7. First scheduled trial date		7. First scheduled trial date		7. Settlement conference		7. Settlement conference		7. Settlement conference		8. Settlement conference	
8. Date trial begun		8. Date trial begun		8. Date trial begun		8. Date trial begun		8. Date trial begun		8. First day of trial							
9. Conference dates		9. Conference dates		9. Conference dates		9. Conference dates		9. Conference dates		9. Trial date							
10. Date case transferred to alternative program		10. Date case transferred to alternative program		10. Date case transferred to alternative program		10. Date case transferred to alternative program		10. Date case transferred to alternative program		10. Trial commenced		10. Trial commenced		10. Trial concluded		10. Trial concluded	
11. Disposition date		11. Disposition date		11. Disposition date		11. Disposition date		11. Disposition date		11. Trial ended							
		4. Disposition		4. Disposition		4. Disposition		4. Disposition		4. Judgment satisfied							
		6. Opinion		6. Opinion		6. Opinion		6. Opinion		6. Execution		6. Execution		6. Execution		6. Execution	
		5. Trial completed		5. Court finding jury verdict													
		8. Execution		8. Execution		8. Execution		8. Execution		5. Disposition		5. Disposition		5. Disposition		5. Disposition	
		9. Judgment satisfied		11. Trial ended													
		13. Post-judgment hearing		10. Judgment		10. Judgment		10. Judgment		10. Judgment							
										12. New trial ordered							
										11. Execution		11. Execution		11. Execution		11. Execution	
										13. Post-judgment hearing							

See Bibliography for full titles.

EVENTS IN CRIMINAL CASE PROCESSING, suggested in several management studies

Model Timetable for Felony Cases, President's Task Force, 1967	NSCC - Sipes, Managing to Reduce Delay	NERO - York County PA Court of Common Pleas	WRC - Anchorage Trial Courts	Friesen, Arrest to Trial in 45 Days	Minnesota Statistical Analysis Center	NSCC - Church, Pretrial Delay Project	NRC - Caseflow Management Study Saginaw MI	NSC Caseflow Management SD	ND Case Reporting System - SCISSRS Transfer Module	NSCG - New Jersey Statewide Computeriz- ation Study	Brenson's Caseflow Manage- ment Presentation
1. Arrest	1. Arrest	1. Complaint		1. Arrest	1. Arrest	1. Arrest	1. Arrest	1. Arrest	1. Arrest/complaint	1. Arrest	
2. First judicial appearance		2. Preliminary arraignment	1. Arraignment	2. Intake hearing	2. First appearance			2. Initial appearance		2. Arraignment on complaint	2. Arraignment (lower court)
3. Preliminary hearing	2. Probable cause hearing	3. Preliminary hearing	2. Preliminary hearing		3. Preliminary hearing		3. Preliminary hearing		4. Grand jury hearing	3. Preliminary hearing	
			4. Boundover to court clerk								
		5. Screening									
4. Formal charge		6. Information	3. Grand jury indictment	3. Accusation		2. Filing of indictment or information	1. Filing				
5. Arraignment	3. Arraignment	7. Arraignment	4. Superior Court arraignment	4. Arraignment	4. Arraignment	2. Arraignment	4. Arraignment	1. Arraignment	5. Arraignment on indictment	4. Arraignment (upper court)	
4. Preparation for trial: Filing Hearing Motions Deciding			5. Omnibus hearing	5. Motions		3. Pretrial		2. Motions hearing	6. Motions hearing	5. Indictment	
								3. Evaluation ordered	7. Pretrial conference	6. Conferences	
								4. Continuance	5. Bench warrant issued	6. Interim order	
								7. Change of plea hearing			
								8. Set for trial		7. Trial date scheduled	
4. Trial date assigned	8. Schedule for trial	6. Calendar call	6. Conference								
5. Plea conferences	9. Pretrial motions		7. Assignment to trial judge								
6. Trial scheduled											
5. Trial (date commences)	7. Start of trial	10. Trial	8. Trial	7. Trial	3. Commencement of jury trial	4. Trial	5. Trial	9. Trial (jury, court)	8. Trial	8. Trial commenced	
	8. Motions activity									9. Trial concluded	
(Disposition date)	9. Disposition date	11. Verdict	9. Disposition		5. Disposition	4. Disposition			9. Presentence investigation	10. Disposition date	
6. Sentencing	10. Sentence date	12. Sentence			6. Sentence	5. Sentence		10. Sentencing hearing	10. Sentencing		
7. Appellate review								11. Memo opinion	11. Case closed		
								12. Motions hearing	12. Appeal/post- conviction		
								13. Presentence investigation ordered			
								14. New trial ordered			

EVENTS IN JUVENILE CASE PROCESSING, suggested in several management studies

DC Superior
Court

NERO - York County
PA Court of Common
Pleas

JISRA (Juvenile
Information System
and Records Access,
NCJFCJ)

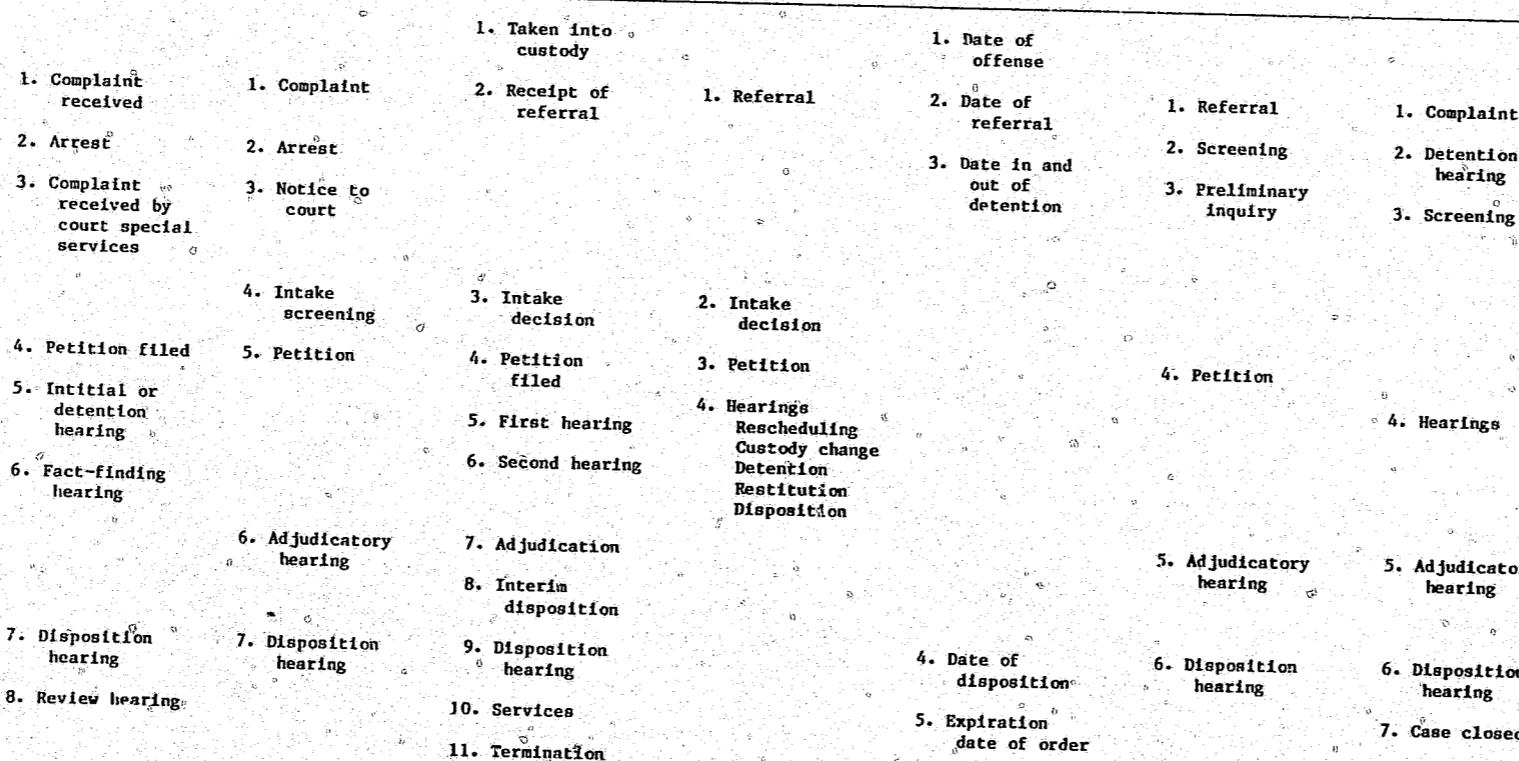
Utah Juvenile
Info System -
SCISSRS Transfer
Module

ND Case Reporting
System - SCISSRS

New Mexico Annual
Report 1978

NCSC - New Jersey
Statewide Computeriza-
tion Project

272



Appendix C

Standards Relating to Appellate Courts
American Bar Association Commission on
Standards of Judicial Administration
(American Bar Association, 1977)

3.50 Caseflow Management: General Principle. An appellate court should supervise and control the preparation and presentation of all appeals coming before it. Its management procedures should:

- (a) Take effect from the time the notice of appeal is filed and continue through final disposition of the appeal;
- (b) Facilitate early differentiation of cases according to their complexity, common subject matter, common parties, and other relevant criteria;
- (c) Make possible termination of cases within the time standards stated in Section 3.52;
- (d) Conform to the rules of procedure and administrative regulations established for the court system as a whole;
- (e) Be established through consultation with affected staff and the bar, stated in writing, and made known to the bar and the public.

(Commentary and references not included.)

3.51 Caseflow Management Program.

(a) Administrative and Judicial Authority. A caseflow management program should recognize the distinction between administrative authority in the preparation and presentation of an appeal and the judicial authority of the trial and appellate courts to decide questions incidental to the determination of an individual case. Whatever is the division of judicial authority between trial and appellate courts, administrative authority over appellate cases should be vested exclusively in the court to which the appeal is taken.

(b) Continuous Monitoring. The appellate court should monitor compliance with procedural rules and time requirements for preparation of the record and submission of briefs. It should have a record and information system to aid this supervision and to permit periodic review of the status and progress of all cases. It should have exclusive authority to grant extensions of time and to permit other departures from procedural requirements.

(c) Administration. The program should be administered by the court's staff under the supervision of the presiding judge. A staff member in each court from which appeals may be taken should be responsible to the appellate court for all matters concerning preparation of records in appeals from that court.

3.52 Standards of Timely Disposition.

(a) Purpose. A time standard should be an administrative goal establishing a time within which cases can be expected to be determined. Variation from the standard should be permitted when necessary to accommodate special problems in individual cases and fluctuations in the flow of the court's work. The court, on its own motion or on motion of a party, should be empowered to shorten or extend the normal schedule for processing a case where the interests of justice require.

(b) Time Standards.

(1) Record. The record should be completed with 30 days after it is ordered. A shorter time should be provided in appeals that normally do not require transcripts, for example appeals from interlocutory orders.

(2) Briefs. Appellant's brief should be filed within 30 days after the record is filed in civil cases and 20 days in criminal cases. The briefs of appellee or respondent and other parties should be filed within 30 days after appellant's brief is filed in civil cases and 20 days in criminal cases. Reply briefs should be optional and required to be filed within 10 days after respondent's brief has been filed.

(3) Argument and Submission. Oral argument, or the decision conference in cases not orally argued, should be held promptly after the briefs are closed. Responsibility for the court's opinion or memorandum should be assigned at the decision conference and preparation of the opinion or memorandum commenced as soon as possible.

(4) Decision. For a court sitting in panels of three judges, the average time for rendering decision should not exceed 30 days; the maximum time for any case, except one of extraordinary complexity, should not exceed 60 days. For a court sitting in larger panels, the average time should not exceed 60 days; the maximum time, except in cases of extraordinary complexity, should not exceed 90 days.

3.53 Conference to Simplify Presentation of Appeals. The court should be empowered, on its own motion or on motion of a party, to direct counsel for the parties to appear at a conference before a judge or judicial officer of the court:

(a) Prior to the preparation of the record when its preparation may be extraordinarily complicated, to establish an agreed statement of all or part of the facts and to reduce the portions of the transcript or other parts of the record to be prepared;

(b) After preparation of the record when there are complex issues or multiple parties to be heard, to regulate the order of presentation and to consolidate the presentation of parties having similar positions.

3.54 Case Assignment Procedures. In a court that sits in panels, assignment of judges to panels should be by a procedure, established by the whole court, under which each judge sits with all others for substantially equal periods. Assignment of cases among panels should be by a rotation procedure registered by the court's staff but pending cases involving related cases should be assigned to the same panel. Responsibility for preparing opinions should be assigned among the judges participating in the decision through procedures supervised by the judge who presides in the decision conference.

Standards Relating to Trial Courts
American Bar Association Commission on
Standards of Judicial Administration
(American Bar Association, 1976)

2.50 Caseflow Management: General Principle. The court should supervise and control the movement of all cases on its docket from the time of filing through final disposition. Its management procedures should be applied impartially to all litigants, afford adequate attention to the merits of each case, and facilitate prompt determination of all cases.

2.51 Caseflow Management Program. Each court should have a caseflow management program expressed in written regulations. In unified court systems with centralized administration, all trial court units may be included in the program; in decentralized systems, each geographical unit of the trial court should establish its own program, subject to centrally promulgated guidelines. The program should include the following elements:

(a) Time standards. Normal time intervals should be established for disposition of each type of case and for completion of each of its principal stages. The intervals should not exceed those stated in Section 2.52. Opportunity should be afforded the parties to obtain on good cause, reasonable departures from the normal schedule, but the court should be especially restrained in permitting extensions in criminal, juvenile, child custody, and other cases in which delay may be injurious to the interests of a party or the public.

(b) Minimization of schedule conflicts. Scheduling procedures should so operate that conflicts in schedules of attorneys and other necessary participants are reduced to a minimum. Courts, state and federal, in areas having more than one trial court should cooperate to achieve this objective.

(c) Centralized supervision. The presiding judge should administer the program, with authority to assign and reassign cases among judges as circumstances may require. Staff functions should be carried out by the court's administrative office.

(d) Continuous monitoring. The court's record and information system should be so designed that the status and progress of all cases is under continuous observation by the court staff and is reviewed by the presiding judge at regular intervals.

(Commentary and references not included.)

2.52 Standards of Timely Disposition.

(a) Trial. Trial or hearing on the merits of a case should be held within the following time limits:

(1) Criminal:

(i) Crimes: The limits provided in American Bar Association Standards Relating to Speedy Trial;

(ii) Infractions: 45 days from arrest or summons;

(2) Juvenile: The limits provided in American Bar Association Standards Relating to Juvenile Justice.

(3) Civil:

(i) Cases involving child custody, support of dependents, or commitment to an institution: 45 days from filing;

(ii) Cases using summary hearing procedures, as in small claims: 30 days from filing;

(iii) Other civil cases: six months except in particular types of cases where a longer interval is deemed necessary because of normally encountered eventualities such as exceptionally complicated discovery, stabilization of injury in personal injury cases, and settlement of financial affairs in probate cases.

(b) Pre-Commencement Custody. In criminal, juvenile, and other cases in which a person may be taken into custody before commencement of judicial proceedings, time standards should be specified within which a determination must be made on his release from custody, on bail or otherwise.

(c) Matters Under Judicial Submission. Matters under submission to a judge or judicial officer should be promptly determined. Short deadlines should be set for party presentation of briefs and affidavits and for production of transcripts. Decision where possible should be made from the bench or within a few days of submission; except in extraordinarily complicated cases, a decision should be rendered not later than 30 days after submission.

2.53 Identifying and Managing Protracted Cases. Procedures should be established for early identification of cases that may be protracted and for giving them special administrative supervision where appropriate.

2.54 Managing Potentially Disruptive Cases. In cases in which disruption is reasonably anticipated, the following special supervisor measures should be taken:

(a) Case Assignment. The case should be assigned to an individual judge for all purposes. The assignment should be made to a judge with extensive trial experience and proven ability to maintain judicial demeanor and a fair-minded outlook under difficult circumstances.

(b) Establishing Special Rules. The judge in charge of the case should formulate special rules for the case after consultation with counsel and should require the assistance of counsel in maintaining decorum of participants. Where the special rules may impinge on the operations of the court as a whole, they should first be reviewed with the presiding judge.

(c) Firm Enforcement. The rules of court, including the special rules established by the judge, should be enforced patiently but firmly. Warning should be given before resort is made to disciplinary measures. A party who refuses to comply should be excluded from the courtroom but allowed to hear the proceedings by electrical transmission. Spectators who refuse to comply should be excluded. Counsel who refuse to comply should be cited for contempt, referred to the appropriate professional disciplinary body, or removed from the case, depending upon circumstances.

2.55 Managing "Short Cause" Dockets. Courts having a substantial volume of "short causes" should facilitate prompt hearing of those requiring minimum court time while giving additional court time for those of unusual complexity. Procedures should include one or a combination of the following:

(a) Identifying unusually complex short causes in advance of hearing and assigning them to a separate hearing calendar;

(b) On the hearing date at which many short causes have been scheduled, reassigning apparently complicated cases to judges, judicial officers, or lawyer hearing officers on call as "backup."

(c) Calendaring all short causes on a master calendar, assigning uncontested or routine matters to a single judge or judicial office, and assigning more complex matters to judges serving the master assignment calendar.

(d) Where the business of the court includes a substantial volume of unscheduled ex parte matters (such as applications for temporary restraining orders, approval of settlements, and orders for publication), designating a single judge or judicial officer to hear them in chambers.

2.56 Firm Enforcement. The court should firmly and uniformly enforce its caseload management procedures.

(a) Continuance of a hearing or trial should be granted only by a judge for good cause shown. In individual case assignment systems, all continuances should be reported to the presiding judge; in other case assignment systems, they should be determined by the presiding or assignment judge. Extension of time for compliance with deadlines not involving a court hearing should be permitted only on a showing that the extension will not interrupt the scheduled movement of the case.

(b) Requests for continuances and extensions, and their disposition, should be recorded in the file of the case. Where continuances and extensions are requested with excessive frequency or on insubstantial grounds, the court should adopt one or a combination of the following procedures;

(1) Cross-referencing all requests for continuances and extensions by the name of the lawyer requesting them;

(2) Requiring that requests for continuance and stipulations for extension be endorsed in writing by the litigants as well as the lawyer;

(3) Summoning lawyers who persistently request continuances and extensions to warn them of the possibility of sanctions and to encourage them to make necessary adjustment in management of their practice. Where such measures fail, restrictions may properly be imposed on the number of cases in which the lawyer may participate at any one time.

(c) Where a judge is persistently and unreasonably indulgent in granting continuances or extensions, the presiding judge should take appropriate corrective action.

Appendix D:
Examples of output reports
to illustrate Chapter VII, VIII, and IX

The purpose of this appendix is to use real-life examples to illustrate some of the data usage concepts presented in this manual. No judgment or endorsement has been made of any particular display technique used in the examples.

EXAMPLE 1

(Juries sworn and number of jury trials over a 10-year period.
Number of civil cases awaiting trial per authorized judge)

**TABLE XXI—CALIFORNIA SUPERIOR COURTS
NUMBER OF JURIES SWORN AND JURY TRIALS* AND JURIES SWORN AND JURY TRIALS*
AS PERCENT OF DISPOSITIONS
(EXCLUDING CIVIL DISMISSEALS FOR LACK OF PROSECUTION)**

Fiscal Years 1971-72 through 1980-81

Fiscal year	All proceedings		Personal injury				Criminal			
	Juries sworn	Jury Trials	Juries sworn	Jury Trials	Juries sworn	Jury Trials	Juries sworn	Jury Trials	Juries sworn	Jury Trials
1971-72	8,012	1.8	2,738	5.8	4,380	7.0	4,690	6.5	4,951	9.8
1972-73	8,676	1.9	3,081	5.6	4,740	5.3	4,900	9.1	4,900	9.1
1973-74	8,607	1.9	2,740	5.3	3,548	4.9	4,690	9.1	4,690	9.1
1974-75	8,549	1.7	2,447	(2,906)	4.2	(3.9)	5,088	(4,606)	10.0	(9.4)
1975-76	8,430	(7,896)	1.5	(1.4)	2,447	(2,906)	4.2	(3.9)	5,088	(4,606)
1976-77	8,968	(8,272)	1.5	(1.4)	2,357	(2,903)	3.9	(3.7)	5,586	(5,179)
1977-78	8,471	(7,892)	1.4	(1.3)	2,193	(2,042)	3.5	(3.3)	5,194	(4,914)
1978-79	7,911	(7,309)	1.4	(1.3)	2,084	(1,810)	3.2	(2.9)	4,759	(4,73)
1979-80	7,816	(7,303)	1.4	(1.3)	1,734	(1,910)	2.8	(3.1)	5,003	(4,436)
1980-81	7,913	(7,567)	1.4	(1.3)	1,687	(1,785)	2.4	(2.6)	5,048	(4,544)

*Fiscal year 1975-76 was the first year that jury trials were reported separately. These data are shown in parentheses.

Revised.

**TABLE XXIV—CALIFORNIA SUPERIOR COURTS WITH SIX OR MORE
JUDGES*—NUMBER OF CIVIL CASES AWAITING TRIAL
PER AUTHORIZED JUDGE^b AS OF JUNE 30, 1972
THROUGH 1981**

Court	Number of civil cases awaiting trial per authorized judge									
	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981
Alameda	142	162	174	177	203	206	183	131	126	127
Contra Costa	190	199	196	214	208	198	219	244	153	174
Fresno	110	114	110	115	154	129	145	142	130	104
Kern	105	107	83	81	110	114	141	152	131	96
Los Angeles	238	241	231	230	258	333	371	416	388	339
Marin	166	168	119	147	183	184	191	201	127	76
Monterey	52	52	78	81	119	73	51	41	41	48
Orange	84	91	117	171	224	220	274	334	224	223
Riverside	96	100	115	134	138	150	189	151	117	123
Sacramento	123	137	156	171	171	159	128	134	117	75
San Bernardino	90	93	100	106	129	148	154	168	221	155
San Diego	101	118	140	159	196	203	193	198	197	197
San Francisco	301	240	224	215	200	191	179	189	226	173
San Joaquin	184	151	149	158	152	186	123	216	225	274
San Mateo	101	102	104	138	143	105	94	76	65	62
Santa Barbara	87	92	61	47	72	107	141	103	111	113
Santa Clara	108	66	56	53	83	96	129	94	109	63
Sonoma	129	102	231	219	273	247	202	231	106	88
Stanislaus	68	63	64	105	107	69	99	185	186	211
Tulare	59	54	44	71	110	150	71	71	44	51
Ventura	82	79	111	168	231	140	151	194	156	154
Average cases awaiting trial per authorized judge:										
Total for the above courts:	172	169	170	179	203	223	244	267	237	211
Total excluding Los Angeles:	130	124	131	147	170	166	175	172	161	142

^aJune 30, 1981.

^bNote that comparisons relate to the total number of judges authorized as of June 30 of each fiscal year and are not adjusted to reflect the number actually available to dispose of civil backlog.

July 31, 1973.

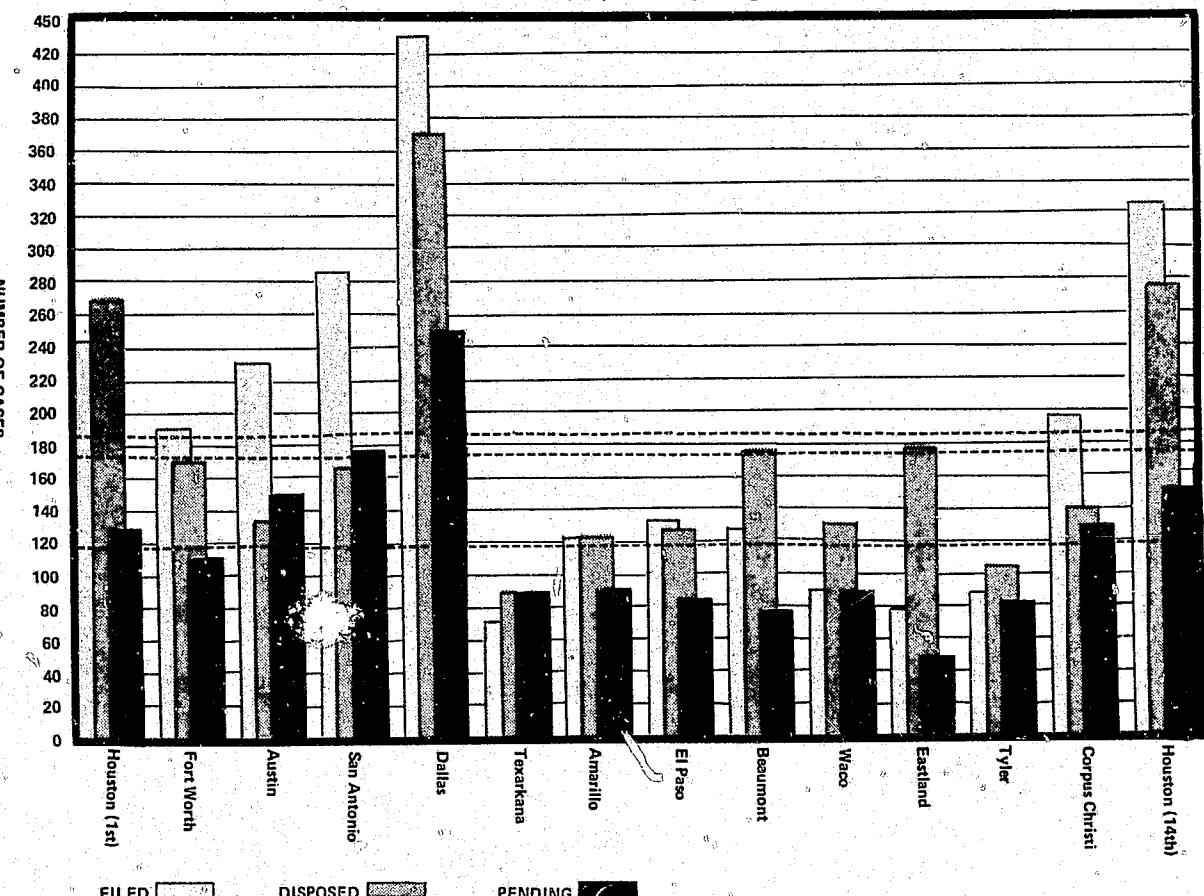
Revised.

Source: Part II: Annual Report of the Administrative Office of the California Courts, January 1, 1982, pp. 83 and 88.

EXAMPLE 2

(Cases filed, disposed, and pending, and the average for each)

**Figure 4. COURTS OF CIVIL APPEALS
Cases filed, disposed and pending 1980**



Source: Texas Judicial Council, *Fifty-Second Annual Report*; Office of the Court Administration, *Fourth Annual Report*, Calendar Year 1980, p. 121.

EXAMPLE 3

(Trend analysis: appellate court caseload disposed, by manner of disposition over a 6-year period)

MICHIGAN SUPREME COURT

II CASELOAD, DESCRIPTIVE REPORT, 6 YEAR PERIOD, YEARS ENDING ON 6/30

YR	TOTAL OF CASES COMPLETED (A+B+C+D)	A.	B.	C.	D.	NO. OF GRANTS & PERCENTAGE GRANTED*
80	1,517 (100%)	114 (7.5%)	205 (13.5%)	1,179 (77.7%)	19 (1.3%)	84 (6.0%)
79	1,508 (100%)	127 (9.1%)	175 (11.6%)	1,161 (76.9%)	34 (2.2%)	55 (4.0%)
78	1,487 (100%)	96 (6.4%)	130 (8.7%)	1,230 (82.7%)	31 (2.0%)	92 (6.6%)
77	1,145 (100%)	129 (11.2%)	103 (8.9%)	889 (77.6%)	24 (2.0%)	110 (10.8%)
76	1,060 (100%)	135 (12.7%)	166 (15.6%)	733 (69.1%)	26 (2.4%)	121 (13.0%)
75	786 (100%)	113 (14.3%)	110 (13.9%)	733 (69.1%)	546 (59.4%)	107 (15.8%)
AVERAGE	100%	9.5%	11.7%	76.6%	2.0%	9.4%

CASES COMPLETED = Court work completed, jurisdiction relinquished.

COMPLETED BY OPINIONS = Self-explanatory.

FINAL ORDERS WITHOUT OPINIONS. These are orders issued in response to an application for leave to appeal, pursuant to GCR 1963, 852.2(4)(g) or 853.2(4), reversing, reversing in part, affirming, remanding for specific proceedings, etc., without formal opinion but with specific reasons stated in the order, for the action taken. There is no oral argument in these cases. This is a more summary procedure than the leave granted process which, because it involves printed briefs, oral arguments and formal opinions, takes approximately 15 months longer to complete a case.

DENIALS OF LEAVE TO APPEAL. In general an appeal as of right to the Court of Appeals exists with regard to final judgments of the lower courts. Const 1963, Art IV, 4, and GCR 1963, 852.1 and 853.1 vest the Supreme Court with the discretion to deny a further appeal.

DISMISSALS & WITHDRAWALS. Of the few cases in this category, most are dismissed or withdrawn by the action and consent of both parties. Ten percent are dismissed by the Court on motion charging failure to diligently pursue the appeal.

*GRANTS. Orders granting leave to appeal do not complete Court action on a case. Therefore, they are not included as case completions. The number of the orders granting leave to appeal each year is compared, as a percentage, to the totals of columns B, C, and D, not including A. Thus the percentage accurately reflects the proportion of grants made to applications for leave to appeal acted upon. In all opinion cases, a grant order was issued but usually not in the same year the opinion was issued.

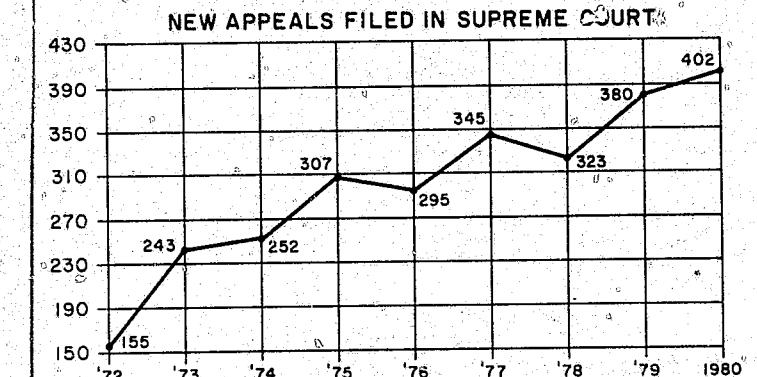
Source: Michigan, 1979-80 Report of State Court Administrator, p. 9.

EXAMPLE 4
(Trend analysis: Supreme Court filings and dispositions)

Supreme Court Caseload

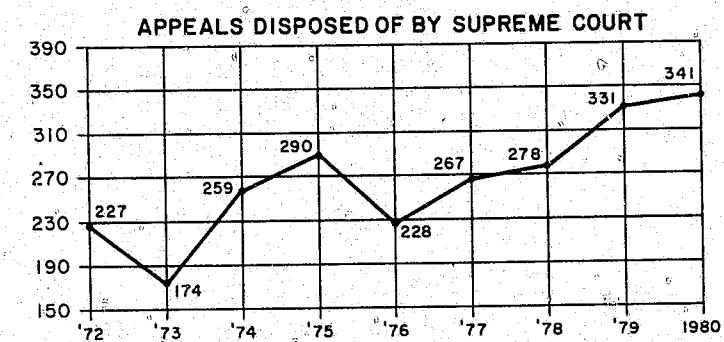
Case Filings Again Set Record

New appeals filed with the Supreme Court in 1980 again were the highest number in the history of the state. During 1980, 402 new appeals were filed, 22 more than the 1979 record high of 380 new appeals, and 5.8% higher than last year's filings.



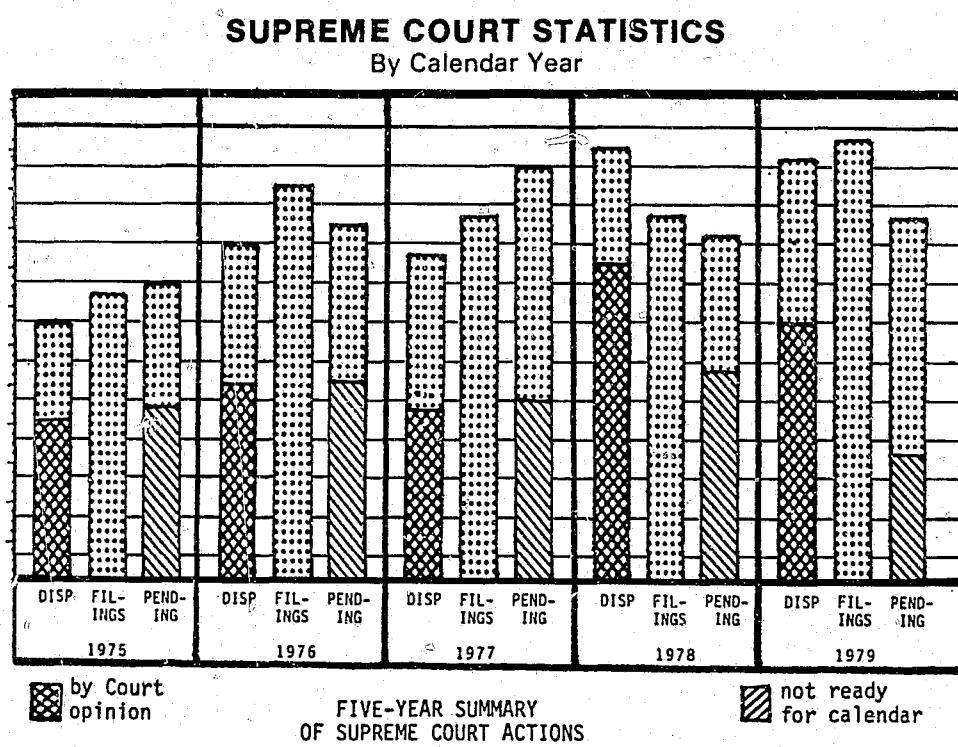
Dispositions Highest In History

Along with the record case filings, the Idaho Supreme Court set an all time record for the number of appeals on which it completed action. The Court disposed of 341 appeals in 1980, a 3% increase over the previous record of 331 dispositions, which was set in 1979.



Source: The Idaho Courts, 1980 Annual Report, p. 10.

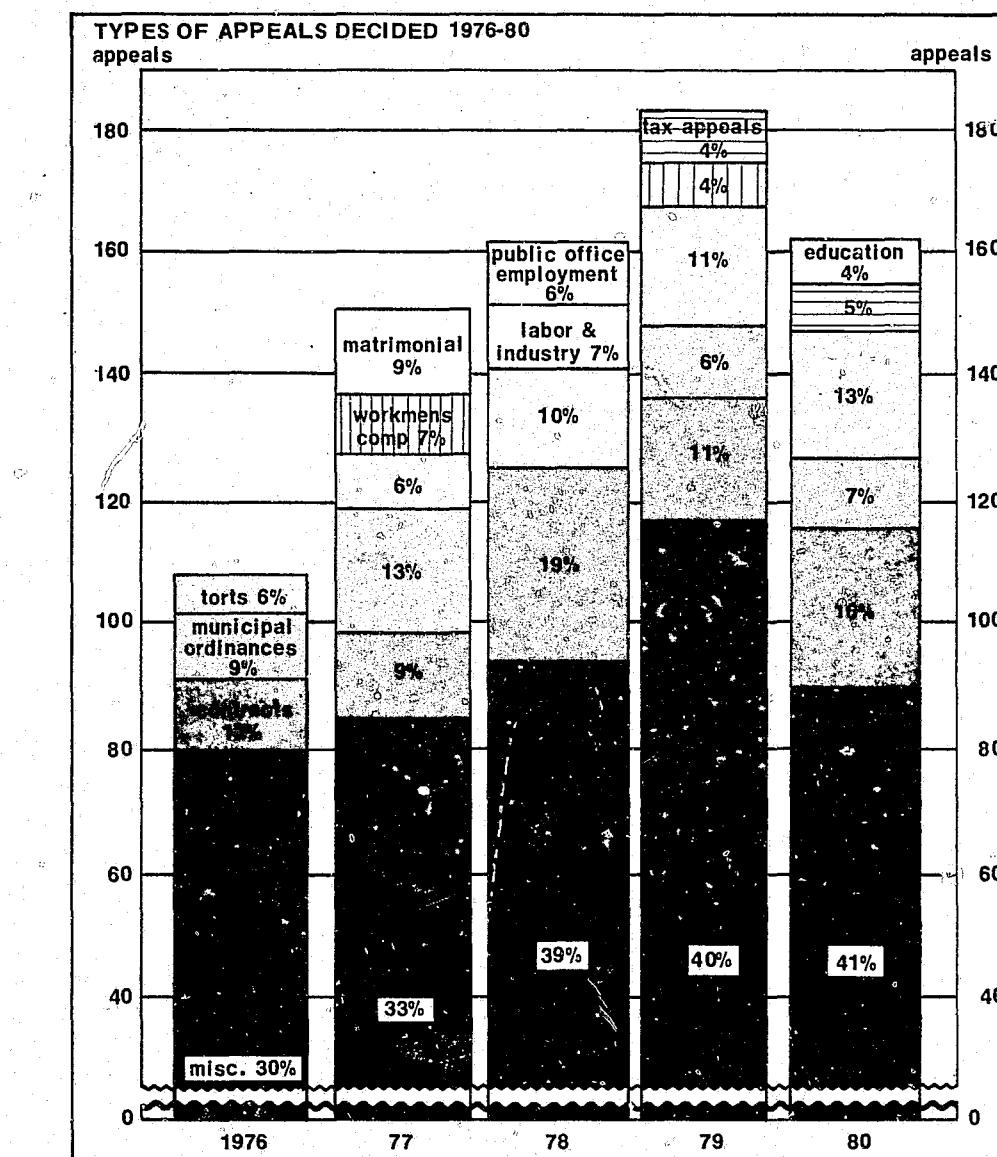
EXAMPLE 5
(Trend analysis: Supreme Court caseload over a 5-year period)



CAL-ENDAR YEAR	TOTAL FILINGS	TOTAL DISPOSITIONS	OPINIONS/ CASES DISPOSED	TOTAL PENDING ACTIONS	NOT READY FOR HEARING
1975	218	196	111/122	223	134
1976	297	252	131/152	270	152
1977	280	246	99/130	315	139
1978	279	331	202/244	263	162
1979	334	323	165/212	278	96
PROJ. 1980	321	386	250	100	

Source: Benchmark--Annual Report of the South Dakota Unified Judicial System, Fiscal Year 1980, p. 16.

EXAMPLE 6
(Trend analysis: Types of appeals decided over a 5-year period)



Source: New Jersey Judiciary, 1979-80 Annual Report, p. 36.

EXAMPLE 7

(Time to disposition by events in appellate court processing)

TABLE 6

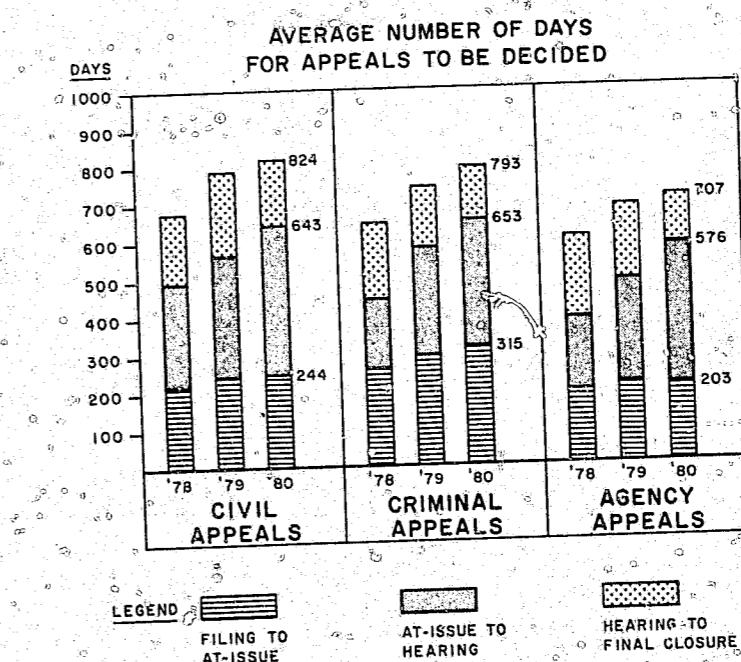
ALASKA SUPREME COURT
AVERAGE TIME TO DISPOSITION (IN DAYS) BY STAGE OF PROCESSING

For Cases Closed by Opinion or MO&J and Mandate

	FY 1980-81			1979			1978		
	Civil Appeals	Criminal Appeals	Sentence Appeals	Civil Appeals	Criminal Appeals	Sentence Appeals	Civil Appeals	Criminal Appeals	Sentence Appeals
Notice of Appeal to Record Certification	96	142	54	104	124	64	99	124	60
Record Certification to Last Brief	147	199	87	145	195	93	123	173	69
Last Brief to Argument or Submission	91	77	55	89	73	11	71	72	6
Argument or Submission to Circulation of Draft Opinion or Recommendation	137	173	143	130	125	129	126	145	130
Circulation of Draft Opinion or Recommendation to Publication	153	129	154	107	62	87	99	83	79
Publication to Closing	33	17	13	34	20	11	21	15	14
Average Time to Disposition	657	737	506	609	599	395	539	612	358
Shortest Total Number of Days	193	215	351	214	108	220	26	41	130
Longest Total Number of Days	1,492	1,417	735	1,408	1,803	722	874	1,126	724
Number of Cases Averaged	(180)	(93)	(23)	(139)	(107)	(38)	(103)	(93)	(31)

Source: Alaska Court System, 1981 Annual Report, p.

EXAMPLE 8
(Time to disposition by events in appellate case processing)



Source: The Idaho Courts, 1980 Annual Report, p. 11.

EXAMPLE 9

(Time to disposition by events in appellate case processing)

SUPERIOR COURT--APPELLATE DIVISION

TIME INTERVALS FOR DISPOSITION OF APPEALS DECIDED

TABLE I--ARGUED AND DECIDED

September 1, 1979 to August 31, 1980

PART	MEASUREMENT	JUDGEMENT BELOW TO DATE OF NOTICE OF APPEAL	DATE OF APPEAL TO DATE PERFECTED	DATE PERFECTED TO DATE ARGUED	DATE ARGUED TO DATE DECIDED	DATE OF APPEAL TO DATE DECIDED	DATE PERFECTED TO DATE DECIDED
ALL PARTS	MEAN	1 MO. 10 DAYS	7 MO. 12 DAYS	6 MO. 1 DAYS	0 MO. 24 DAYS	14 MO. 5 DAYS	6 MO. 23 DAYS
	MEDIAN	1 MO. 9 DAYS	5 MO. 15 DAYS	5 MO. 28 DAYS	0 MO. 15 DAYS	13 MO. 8 DAYS	6 MO. 0 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 6 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS
	HIGH	132 MO. 22 DAYS	42 MO. 29 DAYS	28 MO. 12 DAYS	24 MO. 26 DAYS	53 MO. 3 DAYS	31 MO. 9 DAYS
PART A	MEAN	1 MO. 8 DAYS	6 MO. 28 DAYS	5 MO. 23 DAYS	0 MO. 22 DAYS	13 MO. 14 DAYS	6 MO. 16 DAYS
	MEDIAN	1 MO. 9 DAYS	5 MO. 4 DAYS	5 MO. 21 DAYS	0 MO. 14 DAYS	12 MO. 22 DAYS	6 MO. 8 DAYS
	RANGE LOW	0 MO. 2 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	1 MO. 8 DAYS	0 MO. 0 DAYS
	HIGH	12 MO. 15 DAYS	29 MO. 24 DAYS	14 MO. 24 DAYS	8 MO. 25 DAYS	38 MO. 23 DAYS	19 MO. 6 DAYS
PART B	MEAN	1 MO. 8 DAYS	6 MO. 22 DAYS	6 MO. 15 DAYS	1 MO. 2 DAYS	14 MO. 7 DAYS	7 MO. 16 DAYS
	MEDIAN	1 MO. 9 DAYS	5 MO. 13 DAYS	6 MO. 13 DAYS	0 MO. 23 DAYS	13 MO. 25 DAYS	7 MO. 11 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 1 DAYS	0 MO. 2 DAYS	0 MO. 10 DAYS	0 MO. 1 DAYS
	HIGH	10 MO. 4 DAYS	31 MO. 5 DAYS	21 MO. 22 DAYS	4 MO. 27 DAYS	37 MO. 4 DAYS	22 MO. 6 DAYS
PART C	MEAN	1 MO. 6 DAYS	7 MO. 26 DAYS	6 MO. 1 DAYS	0 MO. 22 DAYS	14 MO. 19 DAYS	6 MO. 23 DAYS
	MEDIAN	1 MO. 8 DAYS	5 MO. 19 DAYS	5 MO. 25 DAYS	0 MO. 10 DAYS	12 MO. 20 DAYS	6 MO. 15 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 5 DAYS	0 MO. 7 DAYS	2 MO. 2 DAYS	0 MO. 27 DAYS
	HIGH	6 MO. 6 DAYS	33 MO. 7 DAYS	13 MO. 13 DAYS	24 MO. 26 DAYS	41 MO. 5 DAYS	31 MO. 9 DAYS
PART D	MEAN	1 MO. 9 DAYS	7 MO. 15 DAYS	5 MO. 26 DAYS	0 MO. 22 DAYS	13 MO. 26 DAYS	6 MO. 12 DAYS
	MEDIAN	1 MO. 9 DAYS	5 MO. 23 DAYS	6 MO. 0 DAYS	0 MO. 10 DAYS	12 MO. 25 DAYS	6 MO. 12 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 13 DAYS	0 MO. 0 DAYS	0 MO. 7 DAYS	1 MO. 25 DAYS	0 MO. 19 DAYS
	HIGH	11 MO. 3 DAYS	40 MO. 25 DAYS	14 MO. 7 DAYS	3 MO. 11 DAYS	45 MO. 20 DAYS	14 MO. 22 DAYS
PART E	MEAN	1 MO. 7 DAYS	7 MO. 11 DAYS	6 MO. 12 DAYS	1 MO. 1 DAYS	14 MO. 21 DAYS	7 MO. 11 DAYS
	MEDIAN	1 MO. 10 DAYS	5 MO. 13 DAYS	6 MO. 4 DAYS	0 MO. 15 DAYS	13 MO. 23 DAYS	6 MO. 29 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS
	HIGH	13 MO. 0 DAYS	26 MO. 16 DAYS	25 MO. 9 DAYS	6 MO. 0 DAYS	37 MO. 24 DAYS	29 MO. 19 DAYS
PART F	MEAN	1 MO. 3 DAYS	7 MO. 15 DAYS	6 MO. 9 DAYS	0 MO. 21 DAYS	14 MO. 15 DAYS	7 MO. 6 DAYS
	MEDIAN	1 MO. 8 DAYS	5 MO. 23 DAYS	6 MO. 3 DAYS	0 MO. 16 DAYS	13 MO. 7 DAYS	6 MO. 24 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS	0 MO. 0 DAYS
	HIGH	6 MO. 27 DAYS	32 MO. 17 DAYS	22 MO. 5 DAYS	2 MO. 12 DAYS	37 MO. 16 DAYS	22 MO. 16 DAYS
PART G	MEAN	1 MO. 29 DAYS	7 MO. 24 DAYS	5 MO. 26 DAYS	0 MO. 25 DAYS	14 MO. 12 DAYS	6 MO. 18 DAYS
	MEDIAN	1 MO. 8 DAYS	5 MO. 13 DAYS	5 MO. 22 DAYS	0 MO. 16 DAYS	13 MO. 18 DAYS	6 MO. 10 DAYS
	RANGE LOW	0 MO. 0 DAYS	1 MO. 20 DAYS	0 MO. 6 DAYS	0 MO. 9 DAYS	2 MO. 26 DAYS	0 MO. 13 DAYS
	HIGH	132 MO. 22 DAYS	42 MO. 29 DAYS	28 MO. 12 DAYS	4 MO. 17 DAYS	53 MO. 3 DAYS	28 MO. 25 DAYS
SPECIAL	MEAN	1 MO. 6 DAYS	8 MO. 18 DAYS	3 MO. 17 DAYS	0 MO. 12 DAYS	12 MO. 14 DAYS	3 MO. 26 DAYS
	MEDIAN	1 MO. 9 DAYS	3 MO. 24 DAYS	3 MO. 11 DAYS	0 MO. 12 DAYS	7 MO. 7 DAYS	3 MO. 20 DAYS
	RANGE LOW	0 MO. 0 DAYS	0 MO. 5 DAYS	0 MO. 1 DAYS	0 MO. 4 DAYS	0 MO. 18 DAYS	0 MO. 0 DAYS
	HIGH	4 MO. 20 DAYS	30 MO. 4 DAYS	8 MO. 22 DAYS	0 MO. 23 DAYS	34 MO. 22 DAYS	9 MO. 5 DAYS

Source: New Jersey 1979-80 Judiciary Statistical Supplement, p. B-10.
 New Jersey also provides Table II--Submitted and decided; Table III--Total, argued or submitted and decided; Table IV--Civil total, argued or submitted and decided; and Table V--Criminal total, argued or submitted and decided.

EXAMPLE 10

(Comparison of time to disposition actually required with time set by court standards)

TABLE 3
COMPARISON OF THE TIME PRESCRIBED IN THE RULES FOR PERFECTING AN APPEAL AND THE ACTUAL TIME USED

	Prescribed By Rules		Average Actual Time 1978		Average Actual Time 1979		Average Actual Time 1980	
	Civil	Criminal	Civil	Criminal	Civil	Criminal	Civil	Criminal
From filing Entry of Judgment to filing Notice of Appeal	60	10	41	25	49	10	49	13
From filing Notice of Appeal to filing of Complete Record	50	50	44	38	48	40	36	53
From filing of Complete Record to filing Appellant's Briefs	40	40	43	46	45	35	41	61
From filing Appellant's Briefs to filing Appellee's Briefs	30	30	32	30	32	28	32	36
From At Issue (case ready for calendaring) to Hearing	N/A	N/A	38	43	42	30	41	35
From Hearing to Decision	N/A	N/A	49	54	77	58	77	32

Source: North Dakota Judicial Council, Annual Report 1980, p. 12.

EXAMPLE 11
(Comparative analysis of time to disposition over an 8-year period)

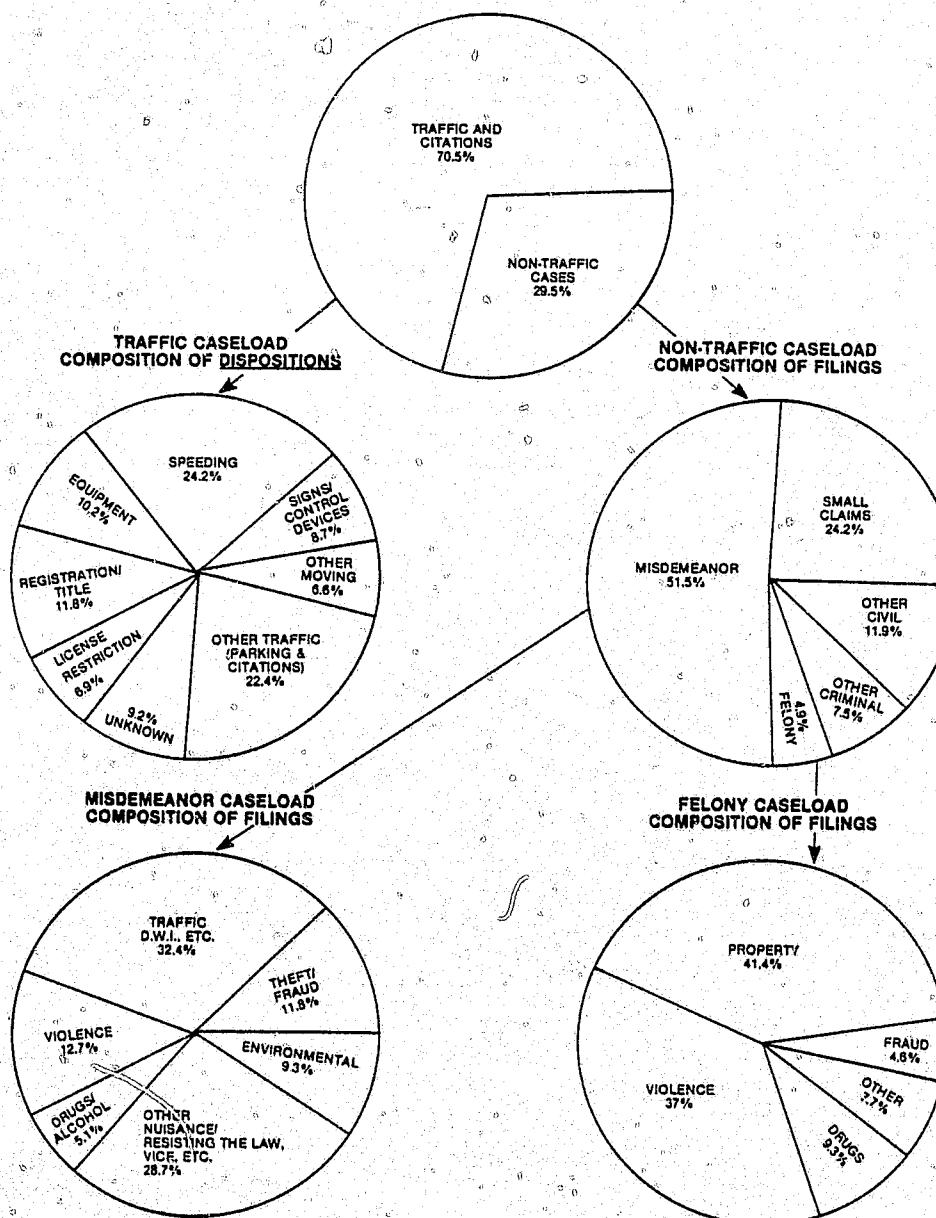
TABLE 8
COMPARATIVE ANALYSIS OF TIME ON APPEAL

Stages of Appeal	Number of Days							% Change 1980-1981
	1974	1975	1976	1977	1978	1979	1980	
Time from notice of appeal to filing of record	62	63	82	103	124	122	133	3.8
Time from filing of record to completed briefing	90	94	122	124	134	124	137	12.4
Time from completed briefing to argument or submission	62	67	101	103	93	85	92	4.3
Time from argument or submission to decision	97	155	127	126	121	118	112	7.1
Overall time from notice of appeal to decision	311	379	432	456	472	449	474	7.4

Source: District of Columbia Courts, 1981 Annual Report, p. 24.

EXAMPLE 12
(Proportion of total caseload filed and disposed)

DISTRICT COURTS
(High Volume Courts)
CASELOAD COMPOSITION FY 80/81



Source: Alaska Court System, 1981 Annual Report, p. 35.

EXAMPLE 13

(Caseload per judge, combined with subcategories of caseload inventory data)

Common Pleas Caseload Comparison for Pennsylvania's 59 Judicial Districts

Table 20 presents a comparison of district caseloads showing per judge filings for common pleas filings, dispositions and inventory:

Row 1: Number of judges in each district; e.g.: 1,2,3.

Row 2: Number of districts by number of judges; e.g.: 24 districts have 1 judge, 13 districts have 2 judges.

Table 20
Caseload by Judge: Filings, Dispositions and Inventory 12/31/80

Number of Judges	1	2	3	4	5	6	7	9	12	14	39	81
Judicial Districts	24	13	1	2	7	6	1	1	1	1	1	1
Population	1,182,800	1,376,700	171,900	344,200	1,597,400	1,815,200	338,700	468,400	583,700	628,200	1,493,600	1,784,500
Population/Judges	49,283	52,950	57,300	43,025	45,640	50,422	48,385	52,044	48,641	44,871	38,297	22,030
Cases Filed: Criminal/Judge	246	291	329	200	242	321	189	456	252	228	229	111
Civil/Judge	107	134	84	101	108	84	154	97	116	150	325	151
Family/Judge	411	386	292	142	337	248	109	214	488	408	207	622
Orphans/Judge	37	54	0	65	58	62	47	22	31	64	64	99
Other/Judge	171	156	290	222	168	125	83	227	260	221	154	47
Cases Disposed: Criminal/Judge	235	255	247	182	204	228	153	348	232	215	187	92
Civil/Judge	78	65	82	82	71	68	75	81	78	69	163	60
Family/Judge	413	357	191	153	337	240	110	174	473	310	395	612
Orphans/Judge	38	56	0	66	63	60	44	22	33	64	64	99
Other/Judge	168	150	190	216	161	124	85	150	263	209	176	46
Cases Pending: End of Year Criminal/Judge	109	161	184	112	107	181	124	120	104	85	79	68
Civil/Judge	77	132	25	51	95	46	117	60	86	146	207	163
Family/Judge	101	102	0	12	22	27	9	210	60	169	23	100
Orphans/Judge	4	4	0	8	4	10	8	2	11	0	5	1
Other/Judge	36	38	23	22	54	14	4	96	13	45	19	9
Total: Filed/Judge	975	1,023	795	732	914	843	582	1,016	1,147	1,071	979	1,030
Disposed/Judge	933	884	711	702	837	722	467	775	1,079	867	985	909
Pending Judge	347	440	233	207	284	281	262	488	274	445	334	341

Source: Administrative Office of the Pennsylvania Courts, 1980 Annual Report, p. 29.

Row 3: Population by category of district; e.g. all one-judge districts totaled 1,182,800 people.

Row 4: Average population by district size; e.g. the one-judge districts averaged 49,283 people.

Row 5-9: Filings per judge in 1980 for criminal, civil, Family Court, Orphans' Court and miscellaneous cases. For example, in the 13 districts with two judges, each judge averaged 291 criminal filings and 134 civil filings.

Row 10-14: Dispositions per judge.

Row 15-19: Pending caseload per judge.

Row 20: Total filings per judge. For example, judges in the six-judge districts averaged 843 total common pleas filings in 1980; Philadelphia judges averaged 1030 filings.

Row 21: Total dispositions per judge.

Row 22: Total pending caseload per judge.

EXAMPLE 14

(Ranking of jurisdictions throughout a state according to felony cases filed, disposed, and pending)

RANKING OF FELONY CASES

**FILED, TERMINATED AND PENDING
1977**

RANK	COUNTY	CASES FILED	COUNTY	CASES TERMINATED	COUNTY	CASES PENDING	RANK
1	OKLAHOMA	4,685	TULSA	3,652	OKLAHOMA	8,233	1
2	TULSA	3,492	OKLAHOMA	3,310	COMANCHE	1,349	2
3	COMANCHE	1,335	COMANCHE	690	GARFIELD	481	3
4	CLEVELAND	545	CLEVELAND	649	CREEK	476	4
5	MUSKOGEE	450	MUSKOGEE	475	GARVIN	466	5
6	PITTSBURG	366	MUSKOGEE	441	TEXAS	464	6
7	GARFIELD	360	SEMINOLE	360	CARTER	449	7
8	PAYNE	349	PAYNE	332	ROGERS	429	8
9	WASHINGTON	324	KAY	330	GRADY	419	9
10	OKMULGEE	322	STEPHENS	313	OKMULGEE	414	10
11	CANADIAN	314	CREEK	307	SEQUOYAH	407	11
12	POTTAWATOMIE	306	MAYES	297	MUSKOGEE	399	12
13	OTTAWA	299	PITTSBURG	286	POTTAWATOMIE	379	13
14	SEQUOYAH	298	WASHINGT	257	JACKSON	357	14
15	STEPHENS	280	OKMULGEE	241	CANADIAN	353	15
16	MAYES	274	LEFLORE	235	PITTSBURG	348	16
17	CREEK	270	GARFIELD	214	TULSA	336	17
18	ROGERS	265	CANDIAN	210	OTTAWA	292	18
19	SEMINOLE	260	ROGERS	204	STEPHENS	284	19
20	JACKSON	254	CUSTER	204	DELWARE	241	20
21	KAY	250	TEXAS	200	FAYNE	220	21
22	CARTER	247	JACKSON	198	MCCLAIN	208	22
23	McCURTAIN	238	OTTAWA	193	CHEROKEE	201	23
24	TEXAS	233	McCURTAIN	193	WASHINGTON	183	24
25	LEFLORE	230	CADD	193	MAYES	179	25
26	DELAWARE	192	CARTER	191	CLEVELAND	164	26
27	CUSTER	185	CHEROKEE	169	OSAGE	152	27
28	OSAGE	174	SEQUOYAH	162	McCURTAIN	141	28
29	CHEROKEE	174	POTOTOC	158	McINTOSH	137	29
30	BRYAN	171	WOODWARD	146	LINCOLN	129	30
31	LINCOLN	157	LINCOLN	142	ADAIR	126	31
32	McINTOSH	155	OSAGE	124	BLAINE	121	32
33	PONTOTOC	152	CRAIG	124	KIOWA	120	33
34	CADD	147	MURRAY	123	SEMINOLE	115	34
35	GRADY	140	CHOCTAW	122	WOODWARD	114	35
36	WOODWARD	136	BRYAN	120	CRAIG	110	36
37	GARVIN	124	WASHITA	119	KAY	106	37
38	LOGAN	123	DELWARE	118	WAGONER	105	38
39	ATOKA	123	MCCLAIN	110	WASHITA	95	39
40	CRAIG	119	MCINTOSH	106	BRYAN	94	40
41	MCCLAIN	117	LOGAN	104	LOGAN	88	41
42	CHOCTAW	112	GRADY	99	WOODS	85	42
43	WASHITA	107	HASKELL	86	MURRAY	73	43
44	BLAINE	106	BECKHAM	86	LEFLORE	73	44
45	ADAIR	100	WOODS	84	JEFFERSON	73	45
46	WAGONER	97	PAWNEE	82	ATOKA	70	46
47	PAWNEE	95	ATOKA	81	HARPER	67	47
48	MURRAY	94	JEFFERSON	80	OKFUSKEE	64	48
49	HASKELL	88	BLAINE	77	CHOCTAW	62	49
50	BECKHAM	83	NOBLE	76	CADD	61	50
51	TILLMAN	75	CIMARRON	73	MARSHALL	56	51
52	HUGHES	74	MARSHALL	71	CUSTER	53	52
53	CIMARRON	73	BEAVER	71	ALFALFA	50	53
54	KINGFISHER	71	TILLMAN	70	KINGFISHER	48	54
55	NOBEL	70	ADAIR	69	MAJOR	47	55
56	WOODS</td						

EXAMPLE 15

(Municipal courts of a state ranked by population; cases filed, disposed, and appealed)

MUNICIPAL COURT ACTIVITY
Summary of 1980 Reported Activity by City
Ranked by Population

City	1980 Population	CASES FILED				CASES DISPOSED				CASES APPEALED				Revenue (in \$)	
		TRAFFIC		NON-TRAFFIC		TRAFFIC		NON-TRAFFIC		TRAFFIC		NON-TRAFFIC			
		Non-Parking	Parking	State Law	City Ord.	Non-Parking	Parking	State Law	City Ord.	Non-Parking	Parking	State Law	City Ord.		
HOUSTON	1,594,086	446,553	559,704	55,670	12,890	143,985	188,822	36,643	8,574	147	3	42	5	14,180,972	
DALLAS	904,078	282,102	206,439	8,838	49,052	237,840	102,914	5,107	28,750	12,945	20	974	1,520	11,475,898	
SAN ANTONIO	785,410	211,952	177,254	17,764	454	190,174	58,576	15,911	320	153	0	42	21	3,053,881	
EL PASO	425,259	112,496	151,829	2,059	1,546	101,132	95,186	7,372	1,863	629	29	8	2	2,384,355	
FORT WORTH	385,141	136,303	106,834	16,452	4,970	111,394	83,016	12,169	4,345	4,123	35	146	227	3,400,311	
AUSTIN	345,496	112,800	223,476	10,634	1,175	108,462	225,361	11,935	1,413	155	0	67	12	3,088,066	
CORPUS CHRISTI	231,999	92,428	39,315	11,189	3,559	96,460	34,334	15,737	3,002	61	0	6	1	1,741,610	
LUBBOCK	173,979	93,873	70,752	4,658	370	76,184	44,529	4,840	270	4,634	0	0	0	1,377,282	
ARLINGTON	160,123	44,413	4,400	4,051	411	44,374	3,997	3,258	363	1,613	0	4	4	1,253,963	
AMARILLO	149,230	53,989	60,745	6,288	3,311	57,984	66,219	5,623	2,355	77	0	97	25	1,310,040	
PALM VALLEY	140,368	—	—	—	—	—	—	—	—	—	—	—	—	—	
GARLAND	138,857	32,821	1,780	12,961	1,151	30,459	1,759	10,898	1,186	927	2	70	152	1,095,871	
BEAUMONT	118,102	47,943	31,659	4,353	729	46,422	33,845	4,383	487	34	0	15	0	1,223,667	
PASADENA	112,560	—	—	—	—	—	—	—	—	—	—	—	—	—	
IRVING	109,943	27,029	2,601	2,170	617	25,867	1,108	1,932	638	1,070	0	81	5	690,943	
WACO	101,261	25,570	15,581	1,796	371	22,769	16,041	2,032	309	34	0	8	2	919,920	
ABILENE	98,315	16,093	21,661	4,897	468	16,480	19,604	4,631	852	202	2	46	1	454,280	
WICHITA FALLS	94,201	20,967	56,913	5,796	0	20,821	44,981	3,252	0	0	0	0	0	589,914	
LAREDO	91,449	27,386	108,441	850	1,050	23,833	44,003	2,768	1,023	14	0	0	8	424,721	
ODESSA	90,027	22,155	75,929	6,013	477	25,023	52,993	5,626	345	1,877	10	1,113	75	578,250	
BROWNSVILLE	84,997	11,871	2	961	234	10,944	2	1,002	219	46	0	1	0	326,859	
SAN ANGELO	73,240	42,442	44,987	6,738	289	31,820	31,890	6,965	193	334	1	99	0	764,159	
RICHARDSON	72,496	12,311	1,881	3,846	1,171	11,586	1,003	3,944	887	679	0	58	14	665,448	
PLANO	72,331	14,072	1,597	1,493	219	12,996	1,109	1,241	205	81	0	4	0	503,298	
GRAND PRAIRIE	71,462	11,638	96	4,811	490	11,985	63	5,906	763	124	0	65	0	694,466	
MIDLAND	70,525	25,648	123,750	4,426	214	29,136	71,216	4,802	170	0	0	0	0	794,541	
TYLER	70,508	22,356	1,743	1,164	664	21,221	705	1,101	231	786	2	36	8	513,962	
MESQUITE	67,053	11,919	725	1,633	496	11,358	765	1,608	477	325	1	21	0	361,296	
MCALLEN	67,042	8,867	790	1,966	423	9,511	633	2,591	398	70	0	3	4	334,276	
LONGVIEW	62,762	14,649	36,880	2,880	191	14,615	33,552	2,795	219	0	0	0	0	431,426	
GALVESTON	61,902	17,570	100,392	9,118	117	9,104	31,713	3,177	117	23	0	6	0	489,964	
PORT ARTHUR	61,195	5,717	3,513	1,097	172	4,285	637	1,105	187	34	0	15	6	218,824	
BAYTOWN	56,926	11,750	587	1,910	755	10,699	376	1,603	690	13	0	0	0	346,323	
VICTORIA	50,695	10,184	4,241	1,147	83	9,743	4,187	1,135	74	2	0	4	0	233,224	
DENTON	48,063	6,964	9,665	975	96	5,563	3,960	923	84	191	0	54	1	193,227	
KILLEEN	46,296	13,510	4,278	,020	1,307	11,521	2,140	698	794	208	3	34	2	286,205	
BRYAN	44,337	15,117	49	2,110	121	14,129	33	1,916	78	241	0	24	0	380,780	
HARLINGEN	43,543	12,443	1,280	1,882	1,803	10,159	804	1,422	986	3	0	0	0	327,594	
TEMPLE	42,483	14,906	12,346	1,435	280	14,334	11,015	1,382	253	237	0	20	7	372,532	
TEXAS CITY	41,403	6,016	0	4,013	720	5,682	37	3,698	349	49	0	29	0	279,806	
CARROLLTON	40,591	10,215	922	691	274	8,863	637	639	233	248	0	7	2	325,445	
COLLEGE STATION	37,272	11,684	5,501	1,282	95	11,836	2,844	1,000	102	181	0	3	0	376,398	
HURST	31,420	8,122	1,483	1,025	533	7,665	1,494	1,059	395	509	70	50	9	254,653	
TEXARKANA	31,271	6,904	437	1,912	259	6,525	562	1,551	203	61	0	37	1	241,727	
N RICHLAND HILLS	30,592	2,694	1,429	3,961	641	1,966	1,420	3,437	386	35	3	101	26	141,933	

Source: Texas Judicial Council, Fifty-Second Annual Report; Office of Court Administration, Fourth Annual Report, Calendar Year 1980, p. 179.

EXAMPLE 16
(Comparative populations per jurisdiction and average number of cases per judge)

RATIO OF FILINGS PER JUDGE IN THE CIRCUIT COURTS OF ILLINOIS
DURING CALENDAR YEAR 1979

Circuit	Number of Counties	Population 1970 Census (Official Count)	Land Area (Square Miles)	Total Number of Cases

EXAMPLE 17
(Caseload inventory of an entire county by case type)

STATISTICAL REPORT ON THE CIRCUIT COURT OF COOK COUNTY, ILLINOIS FOR CALENDAR YEAR 1979
TREND OF CASES IN THE CIRCUIT COURT OF COOK COUNTY

County Department		Pending At Start	Filed	Reinstated	Transferred	Total Added	Terminated	Pending At End	Inventory Increase (+) Decrease (-)
DIVISION	Type of Case								
LAW	Ad damnum over \$15,000	Jury	48,011	4,719	699	+14,345	19,763	19,048	48,698* +687
		Non-Jury	12,598	21,973	614	-14,345	8,242	6,661	14,264* +1,666
	Tax	1,511	14,814*	1,880	0	0	16,694	16,453	1,737* +226
	Condemnation	216	149	9	0	0	158	126	248 +32
	Miscellaneous Remedy	2,186	2,028	174	0	2,202	2,054	2,341* +155	
	Subtotals	64,522	43,683	3,376	0	47,059	44,342	67,288* +2,766	
CHANCERY	Chancery	6,040	8,475	715	0	0	9,190	9,903	5,108* -932
DOMESTIC RELATIONS	Domestic Relations	22,175	28,064	2,891 ^b	0	0	30,955	36,335	16,795* -5,380
COURT	Tax	23,525	10,421 ^c	0	0	10,421	19,483	14,463* -9,062	
	Mental Health	47	4,826	0	0	4,826	4,807	66	+19
	Adoption, Marriage of Minors and Reciprocal Non-Support	9,122	5,938	0	0	5,938	4,626	10,434* +1,312	
	Municipal Corporations	271	41	0	0	41	7	305 ^d	+34
	Subtotals	32,965	21,226	0	0	21,226	28,923	25,268	-7,697
PROBATE	Estate, Guardianships & Conservatorships		8,934	0	0	8,934	14,579*	21,111* +21,111	
JUVENILE	Delinquency, Dependency, Neglect & Supervision	7,189	17,684*	1,845 ^e	0	0	19,529	17,765*	8,953* +1,764
CRIMINAL	Felony (Indictment & Information)	5,872	8,701 ^f	3,342 ^g	0	0	12,043	11,042 ^h	5,545* -327
	County Department Subtotals	138,763	135,767	12,169	0	148,936	162,889	150,068	+11,305
Municipal Department									
DISTRICT	Type of Case								
	Law Ad damnum \$15,000 or less	Jury	15,936	8,774	1,946	+4,359	15,071	14,323	16,682* +746
		Non-Jury	40,891	123,030	1,645	-4,310	120,365	115,623	45,562* +4,671
	Small Claims	9,110	83,770	737	-49	84,458*	84,728	8,839*	-271
	Tax	104,891	58,227	4,514	0	55,411	42,050	125,582*	+20,691
	Foreign Judgments, Estates, Etc. (Dist. 1)		38 ⁱ	0	0	386	386		
	Felony (Information)	1,000	6,223	39	0	6,292	6,352	960*	-40
	Felony (Preliminary Hearings)	4,508 ^j	32,877	0	0	38,877	35,481	15,373*	+10,865
	Housing	12,036	9,326	0	0	9,326	22,279	20,724*	+8,688
	Paternity & Non-Support	222 ^k	9,987 ^l	328 ^m	0	10,315 ⁿ	9,871 ^o	758 ^p	+536
ONE THRU SIX	Misdemeanors and Ordinance Violations	30,422 ^q	342,517	0	0	342,517	324,115	76,153*	+45,731 ^r
	Traffic		5,776,805	0	0	5,776,805	2,876,319		
	Municipal Department Subtotals	219,016	6,457,952	9,209	0	6,467,161	3,531,727	310,633	+91,617
	Grand Totals	357,779	6,594,719	21,378	0	6,616,097	3,694,616	460,701	+102,922

FOOTNOTES: (*) Preliminary figures on pending count in the Probate Division represent only cases filed after January 1, 1977, but continuous efforts have been made in reviewing older cases; (a) Computer adjustment of -28 cases; (b) Computer adjustment of +85 cases; (c) Includes cases which were filed originally as law non-jury cases; (d) Computer adjustment of -15 cases; (e) Computer adjustment of +7 cases; (f) Computer adjustment of +49 cases, but does not include 508 law jury and 18 law non-jury cases on special calendar (military, appeal, bankruptcy and insurance liquidation); (g) Inventories sought in these case categories; (h) Includes cases reinstated after review of dormant calendar; (i) Indicates a review of tax case filing procedures in the County Division; (j) Indicates continuous effort to rid the County Division of "old" tax objection cases; (k) Includes 1,276 cases filed against adults for the abuse of children per General Order 78-9; (l) Includes +1,016 cases reinstated, previously counted as new cases and some cases reinstated as a result of new warrant calendar; (m) Includes 585 cases terminated against adults for the abuse of children per General Order 78-9; (n) Includes 753 indictments transferred to suburban municipal districts; (o) Indicates special review of cases on warrants and results of cooperative inventory between States Attorney's Office and Clerk's Office in Criminal Division; (p) Includes terminations on all cases filed in Criminal Division as they are reported; (q) Includes adjustment of -10 cases as a result of physical inventories and no-progress calls; (r) Includes adjustment of +129 cases as a result of physical inventories and no-progress calls; (s) Includes adjustment of -1 case as a result of physical inventories and no-progress calls; (t) Includes adjustment of +21,641 cases as a result of physical inventories taken in the Housing Division of the 1st Municipal District; (u) Indicates preliminary effort to report paternity and non-support actions in all districts. Pending counts represent cases in suburban municipal districts only; (v) Does not include 1st Municipal District cases and paternity cases for the 2nd Municipal District which were reported as criminal actions; (w) Indicates results of computer inventories and computer purges taken during the year; (x) Adjustment of -219 cases and indicates a cooperative effort to determine pending count before case assignment becomes computerized; and (y) Includes adjustment of +20 cases as a result of physical inventories and review of high priority cases for disposition.

Source: Administrative Office of the Illinois Courts, 1979 Annual Report to the Supreme Court of Illinois, p. 178.

EXAMPLE 18

(Caseload inventory by county, with a projected average age in months)

Table 32
(Concluded)THE SUPREME COURT - CIVIL TERMS
Actions Received, Disposed and Change in Pending and Projected Average Age
by County, District, and Region

December 31, 1979 through December 28, 1980

County and Region	Dept.	Dist.	Received			Disposed			End Pending			Change in Pending			Projected Average Age (mos.)			
			Non-matri-monial	Contested Matri-monial	Total	Non-matri-monial	Contested Matri-monial	Total	Non-matri-monial	Contested Matri-monial	Total	Actions	Percent					
Richmond.....	2	2	713	183	896	707	184	891	614	24	638	-4	5	01%	-14%	00%	8	
Rockland.....	2	9	1,095	126	1,221	1,294	165	1,459	817	55	872	-189	-30	-219	-18%	-35%	-20%	8
St. Lawrence.....	3	4	102	54	156	83	37	120	63	26	89	15	10	25	31%	62%	39%	7
Saratoga.....	3	4	307	60	367	222	39	261	302	41	343	71	14	85	30%	51%	32%	13
Schenectady.....	3	4	696	100	796	730	97	827	717	63	780	-82	6	-76	-10%	10%	08%	11
Schoharie.....	3	5	42	30	72	80	32	112	21	7	28	-36	-1	-37	-63%	-12%	-56%	4
Schuylerville.....	3	6	20	3	23	18	5	23	4	0	4	1	-2	-1	33%	00%	-20%	2
Seneca.....	4	7	53	38	91	36	17	53	11	10	21	-3	2	-1	-21%	25%	-04%	4
Steuben.....	4	7	147	88	235	163	100	263	52	34	86	-19	-6	-25	-26%	-15%	-22%	9
Suffolk.....	2	10	4,781	1,224	6,005	6,534	1,023	7,557	4,693	415	5,108	-1,640	160	-1,480	-25%	62%	-22%	4
Sullivan.....	3	3	269	14	283	307	17	324	204	6	210	-41	-1	-42	-16%	-16%	-16%	8
Tioga.....	3	6	70	15	85	48	13	61	14	7	21	-4	4	0	-22%	33%	00%	4
Tompkins.....	3	6	147	34	181	128	37	165	105	14	119	18	-1	17	20%	06%	16%	8
Ulster.....	3	3	391	63	454	399	48	447	355	51	406	1	12	13	00%	30%	03%	10
Warren.....	3	4	102	20	122	94	13	107	83	17	100	13	8	21	18%	88%	26%	10
Washington.....	3	4	43	20	63	56	21	77	14	3	17	-15	-4	-19	-51%	-57%	-52%	4
Wayne.....	4	7	60	55	115	53	81	134	47	28	75	-3	7	4	-06%	33%	05%	6
Westchester.....	2	9	6,329	466	6,795	4,868	515	5,383	4,166	169	4,335	1,249	-149	1,100	42%	-46%	34%	8
Wyoming.....	4	8	34	17	51	60	19	79	19	2	21	-24	-4	-28	-55%	-66%	-57%	5
Yates.....	4	7	18	9	27	1	10	25	6	1	7	-1	0	-1	-14%	00%	-12%	3
Bronx.....	1	1	3,116	301	3,417	4,443	324	4,769	1,524	57	1,581	-1,372	-15	-1,387	-47%	-20%	-46%	5
Total District.....		1	10,696	705	11,401	15,788	786	16,574	8,134	242	8,376	-5,209	-76	-5,285	-39%	-23%	-38%	7
Total District.....		2	4,956	1,139	6,095	8,118	1,108	9,226	4,980	177	5,157	-2,937	35	-2,902	-37%	24%	-36%	8
Total District.....		3	1,918	340	2,258	2,192	320	2,512	1,722	184	1,906	-253	30	-223	-12%	19%	-10%	9
Total District.....		4	1,705	371	2,076	1,642	348	1,990	1,627	221	1,848	1	7	8	00%	03%	00%	11
Total District.....		5	2,106	856	2,962	2,632	863	3,495	1,443	413	1,856	-465	-31	-496	-24%	-06%	-21%	7
Total District.....		6	1,132	262	1,394	1,193	264	1,557	628	119	747	-76	-3	-79	-10%	-02%	-09%	6
Total District.....		7	1,415	1,038	2,453	2,297	1,302	3,599	478	250	728	-935	-246	-1,181	-66%	-49%	-61%	4
Total District.....		8	2,570	1,310	3,880	4,429	1,613	6,042	2,813	393	3,206	-1,829	-319	-2,148	-39%	-44%	-40%	8
Total District.....		9	9,441	887	10,328	8,250	964	9,214	6,250	368	6,618	972	-190	782	18%	-34%	13%	8
Total District.....		10	13,975	2,086	16,061	15,336	1,981	17,317	13,829	826	14,655	-1,196	256	-940	-07%	44%	-06%	10
Total District.....		11	4,583	721	5,304	5,760	771	6,531	3,259	70	3,329	-1,084	-22	-1,106	-24%	-23%	-24%	7
Total Outside NYC.....			34,262	7,150	41,412	37,971	7,655	45,626	28,790	2,774	31,564	-3,781	-496	-4,277	-11%	-15%	-11%	8
Total NYC.....			20,235	2,565	22,800	29,666	2,665	32,331	16,373	489	16,582	-9,230	-63	-9,293	-36%	-11%	-35%	7
Total NYS.....			54,497	9,715	64,212	67,637	10,320	77,957	45,163	3,263	48,426	-13,011	-559	-13,570	-22%	-14%	-21%	8

NOTE: In 1980, the Supreme Court disposed of 52,143 uncontested matrimonial cases; 23,083 cases in New York City and 29,058 cases Upstate.

Source: State of New York, Third Annual Report of the Chief Administrator of the Courts, p. 52.

EXAMPLES 19 and 20
(Criminal and civil manners of disposition in two urban courts)

Table 22
THE CRIMINAL COURT OF THE CITY OF NEW YORK - CRIMINAL PROCEEDINGS
Cases Disposed of by Nature of Disposition

Arrest Cases

1979 and 1980

Activity	New York		Bronx		Kings		Queens		Richmond		Total NYC	
	1979	1980	1979	1980	1979	1980	1979	1980	1979	1980	1979	1980
Dismissals	23,150	18,491	16,834	13,804	22,762	17,531	13,745	12,528	1,846	1,947	78,337	64,301
Pleas of guilty	42,591	36,486	13,865	12,242	20,157	18,815	14,649	13,035	1,846	1,888	93,108	82,466
Acquittals	150	166	182	134	133	110	193	182	45	42	703	634
Convictions	141	200	65	72	68	68	112	83	35	35	421	458
Referrals to grand jury ¹	5,467	6,103	3,528	4,703	4,249	4,927	2,860	3,827	538	481	16,642	20,041
Other dispositions	3,555	3,328	2,345	2,026	3,125	3,085	2,096	1,888	124	106	11,245	10,433
Total dispositions	75,054	64,774	36,819	32,981	50,494	44,536	33,655	31,543	4,434	4,499	200,456	178,333
Filings	78,377	67,365	36,526	34,033	50,243	44,462	33,556	32,644	4,665	4,464	203,367	182,968
Dispositions as % of filings	96	96	101	97	100	100	100	97	95	101	99	97
Dismissals as % of dispositions	31	29	46	42	45	39	41	40	42	43	39	36
Pleas as % of dispositions	57	56	38	37	40	42	44	41	2	42	46	46
Verdicts as % of dispositions	1	1	1	1	1	1	1	1	2	2	1	1
Referrals to grand jury as % of dispositions ¹	6	9	10	14	8	11	9	12	12	11	8	11
Other dispositions as % of dispositions	7	5	6	6	6	7	6	6	3	2	6	6

¹Includes waivers of indictment.

EXAMPLES 21 and 22
(Comparison of criminal dispositions in trial courts with the number of appeals filed in appellate courts)

Criminal Appeals Filed* vs
Superior Court Criminal Dispositions

Year	Superior Court Criminal Dispositions	New Criminal Appeals	Ratio
1975	14,284	491	3.4%
1976	14,374	507	3.5%
1977	14,664	670	4.6%
1978	13,817	710	5.1%
1979	12,956	739	5.7%
1980	15,220	863	5.7%

*"New" criminal appeals does not include those appeals transferred to a division of the Court of Appeals from another division or the Supreme Court.

Source: 1980 Report on Caseloads and Operations of the Courts of Washington, Office of the Administrator for the Courts, Olympia, Washington, p. 23.

COMPARISON OF FELONY CASE ACTIVITY
ANNUAL REPORT 1980

Source:	Office of the Administrative Director, Ohio Courts Summary 1980, p. 43.	LIMITED JURISDICTION LEVEL		COMMON PLEAS LEVEL		APPELLATE LEVEL	
		FILINGS	BINDOVERS	ARRAIGNMENTS	TERMINATIONS	FILINGS	TERMINATIONS
FIRST DISTRICT							
BUTLER	1,598	1,263	598	485			
CLERMONT	669	377	373	375			
CLINTON	136	67	40	39			
HAMILTON	6,485	5,038	3,926	2,872			
WARREN	571	378	266	160			
DISTRICT TOTALS	9,459	7,143	5,203	3,931	501	455	
SECOND DISTRICT							
CHAMPAIGN	118	100	109	88			
CLARK	855	217	329	304			
DARKE	0	0	200	119			
FAYETTE	52	32	78	59			
GREENE	378	299	377	373			
MADISON	99	49	99	80			
MIAMI	352	217	179	180			
MONTGOMERY	2,263	1,384	2,239	1,885			
PRESLE	3	2	70	55			
SHELBY	97	152	132	161			
DISTRICT TOTALS	4,217	2,452	3,812	3,274	252	199	
THIRD DISTRICT							
ALLEN	302	277	363	208			
AUGLAIZE	71	16	115	67			
CRAWFORD	94	56	131	122			
DEFIANCE	162	55	131	117			
HANCOCK	92	61	255	250			
HARDIN	35	16	20	25			
HENRY	35	14	34	39			
LOGAN	39	8	67	77			
MARION	215	158	242	168			
MERCER	90	56	47	28			
PAULDING	45	37	107	66			
PUTNAM	29	24	23	24			
SENECA	258	177	174	128			
UNION	72	26	75	65			
VAN WERT	101	66	87	68			
WYANDOT	39	22	62	50			
DISTRICT TOTALS	1,679	1,069	1,933	1,520	147	118	

A. CIVIL ACTION PARTS

County	Before Trial			During Trial			After Trial			Interim Dispositions Disagreement or Mistrail	Adjustments by Court	Total
	Settle, Discontinued or Dismissed	Default Judgment (Inquest)	Marked off Calendar	Consent Judgment	Continued	Dismissed	Decision of Court	Verdict of Jury	Mistrial			
Bronx	2,286	550	319	... 46	8	87	31	6	3,333	
Kings	8,952	1,457	1,242	7	428	28	264	234	35	...	12,647	
New York	10,632	2,040	2,654	8	345	36	623	203	38	...	16,579	
Queens	5,726	1,102	3,792	3	94	16	231	125	28	...	11,117	
Richmond	677	192	79	16	4	37	27	1	1,033	
Total New York City	28,273	5,341	8,086	18	929	92	1,242	620	108	...	44,709	

Includes 3 cases that went to the military reserve calendar.

Arbitration Program data not included; for these statistics see Chapter 4.

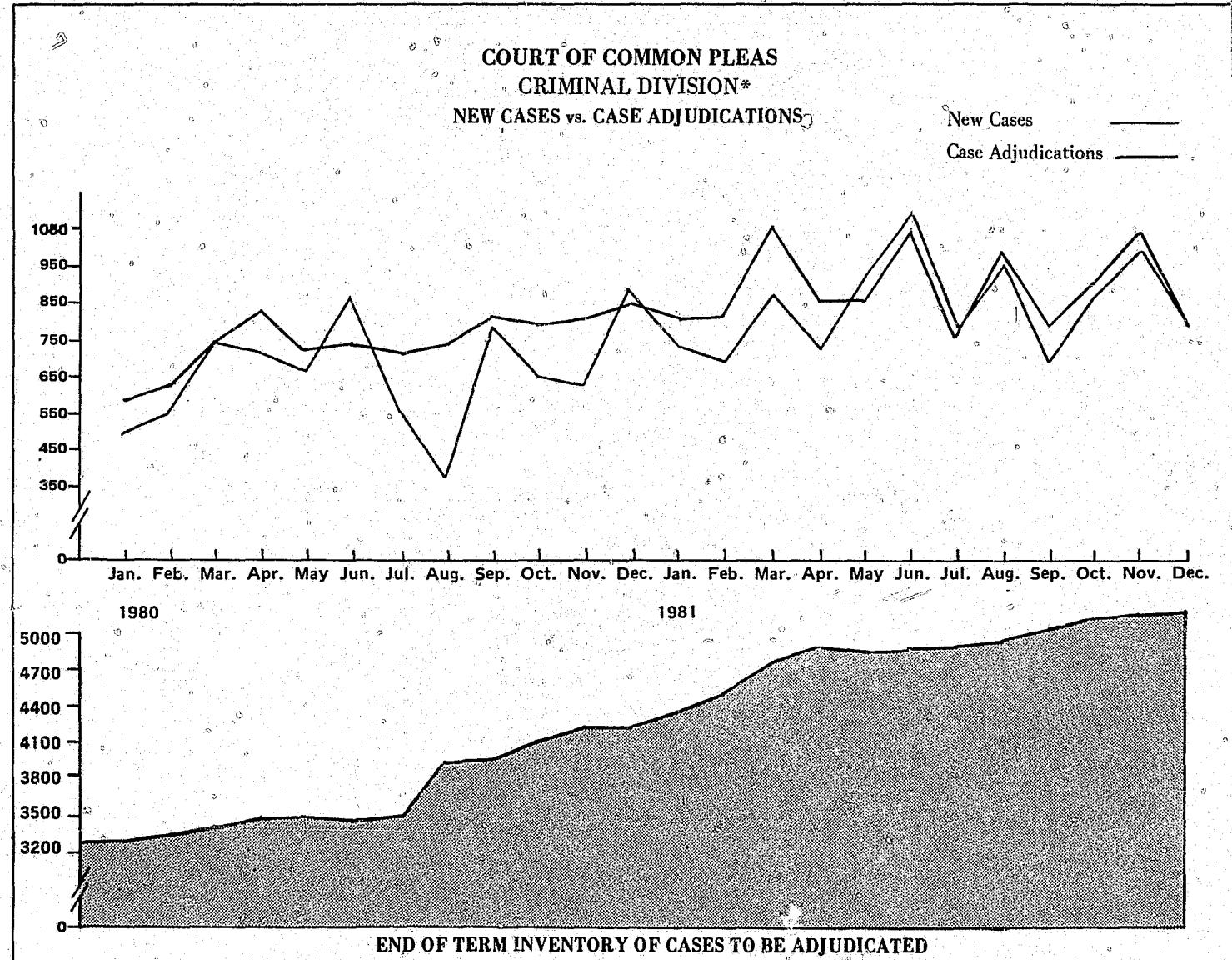
Source: State of New York, Third Annual Report of the Chief Administrator of the Courts, 1981, p. 44 and 59.

Source: State of New York, Third Annual Report of the Chief Administrator of the Courts, 1981, p. 44 and 59.

Source: State of New York, Third Annual Report of the Chief Administrator of the Courts, 1981, p. 44 and 59.

Source: State of New York, Third Annual Report of the Chief Administrator of the Courts, 1981, p.

EXAMPLE 23
(Trend analysis: Comparison of filings, dispositions, pending)



* Includes Homicide, Criminal Calendar and Criminal List Programs

Source: The Philadelphia Court of Common Pleas, 1981 Annual Report, p. 57.

EXAMPLE 24
(Caseload inventory data over a 5-year period, including number of cases per judge)

CIRCUIT COURT
STATISTICAL PROFILE
1st Circuit

FISCAL YEAR						
	1978 1979	1977 1978	1976 1977	1975 1976	1974 1975	
OVERALL WORKLOAD STATISTICS						
FILINGS 1/	20,215	19,077	18,138	19,486	20,141	
TERMINATIONS	16,950	17,435	16,153	17,959	17,506	
Pending 2/	18,632	15,367	13,725	11,710	10,684	
PERCENT CHANGE IN TOTAL FILINGS: Over Last Year	+6%					
Current year over earlier years		+11%		+4%	*	
ACTIONS PER JUDGESHIP	14	13.5	13	13	13	
Based on Filings	Total	1,444	1,413	1,395	1,499	1,549
Civil	842	837	848	845	846	
Criminal	327	318	257	307	317	
Juvenile	275	257	291	346	387	
Pending cases 3/	1,331	1,096	1,056	901	821	

FY 1978-79
NUMERICAL STANDING AMONG 20 CIRCUITS

5

5
7
9
3
7

NOTES: 1/ Criminal count is "number of defendants".

2/ "Pending" is computed. It is NOT a figure reported by the Clerk of Court. Unreported terminations or mass dispositions by court order, etc. could result in "actual" pending being less.

3/ The authorized number of judges for the next FY is used to compute this average.

* Insignificant change.

Source: Florida Judicial Council, 1980 Annual Report, p. 41.

EXAMPLE 25
(Caseload inventory data for a trial court over a 20-year period, including average number of cases per judge)

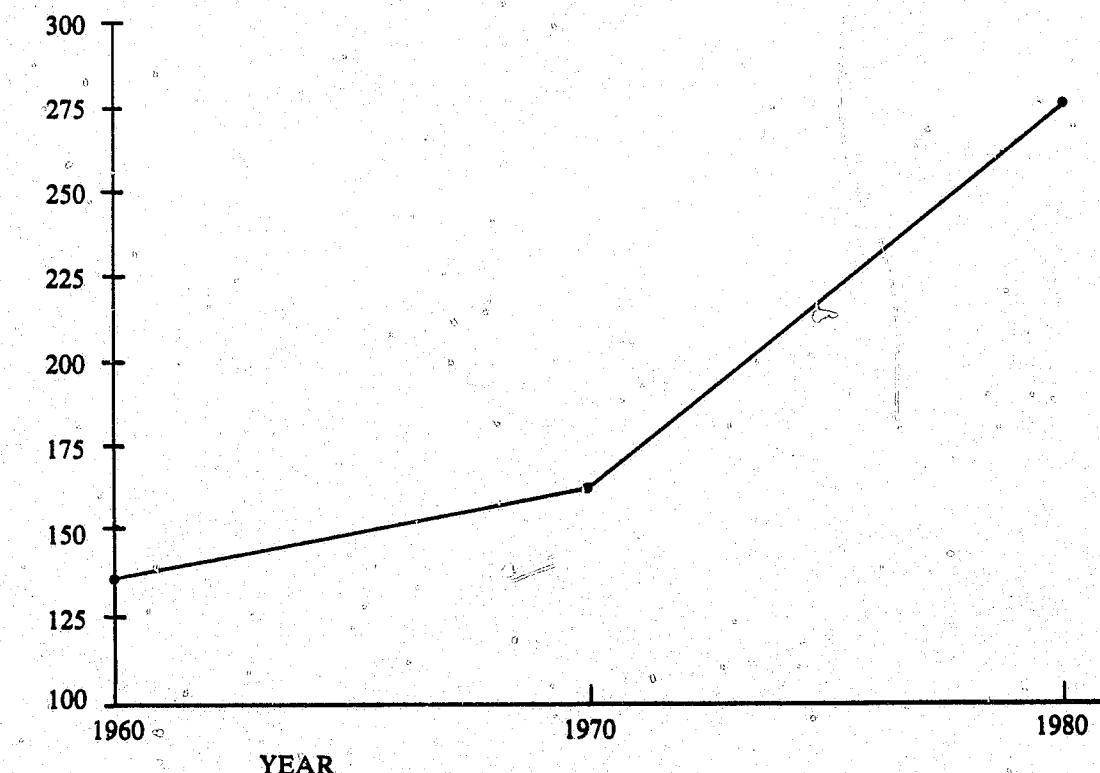
**CIRCUIT COURT
HISTORICAL SUMMARY DATA**

Year	# Judges	Cases Commenced	Cases Concluded	Cases Pending	Average # Comm Cases Per Judge
1960	73	54,048	53,153	55,412	740
1961	73	57,527	54,436	59,612	788
1962	75	60,472	57,155	62,969	806
1963	75	65,467	61,581	66,842	873
1964	79	66,435	63,549	71,760	841
1965	79	66,694	64,754	73,738	844
1966	85	65,255	66,685	70,249	768
1967	87	68,130	65,423	71,389	783
1968	96	69,604	67,993	72,125	725
1969	96	73,614	71,587	74,850	767
1970	99	79,400	74,842	78,809	802
1971	99	83,154	81,047	80,805	840
1972	99	85,581	81,995	81,715	865
1973	99	88,751	85,314	82,832	896
1974	100	98,249	91,810	87,694	982
1975	103	104,582	101,193	93,867	1,015
1976	104	106,819	105,324	96,448	1,027
1977	107	117,351	111,693	101,574	1,097
1978	107	125,058	115,244	114,888	1,169
1979	109	130,461	122,100	123,249	1,208
1980	111	138,986	129,358	132,877	1,252

Source: Office of the Executive Secretary, Commonwealth of Virginia, State of the Judiciary Report, 1980, p. C-11.

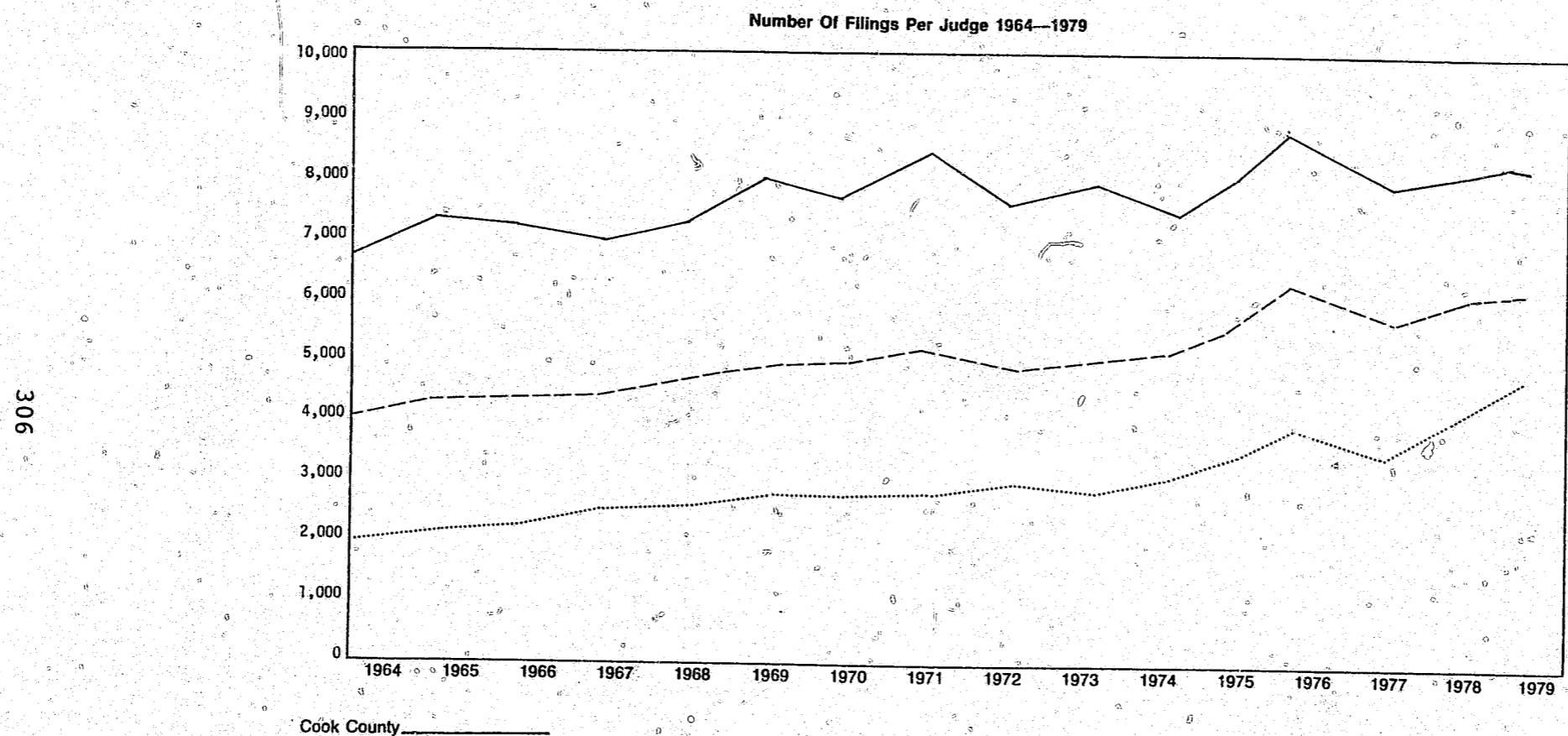
EXAMPLE 26
(Ratio of cases commenced to population in three different years)

**CIRCUIT COURT
RATIOS OF CASES COMMENCED AND POPULATION
1960, 1970 AND 1980**



Source: Office of the Executive Secretary, Commonwealth of Virginia, State of the Judiciary Report, 1980, p. C-19.

EXAMPLE 27
(Long-term filing trends, with a comparision of urban and rural area)

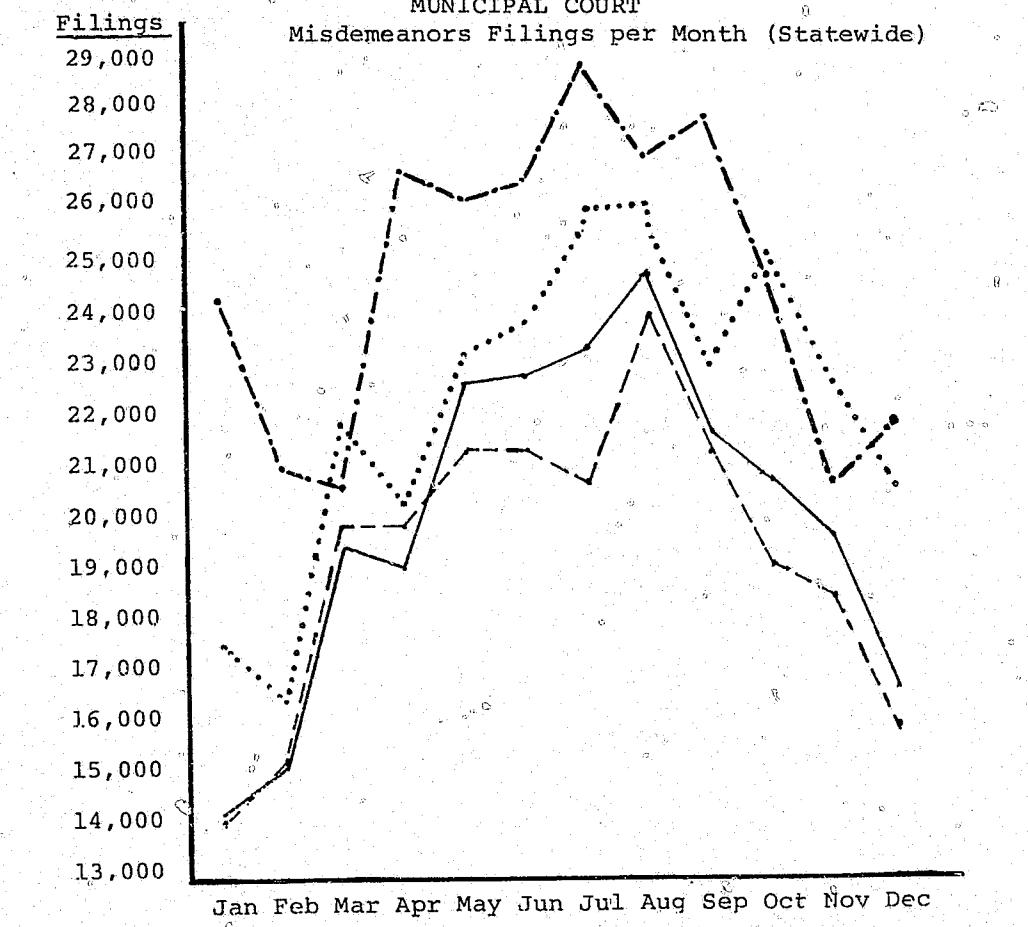


Source: Administrative Office of the
Illinois Courts, 1979 Annual Report to the Supreme Court of Illinois, p. 43.

EXAMPLE 28

(Short-term trends--in months--compared with long-term trends--four years)

TABLE XXXIX
MUNICIPAL COURT
Misdemeanors Filings per Month (Statewide)

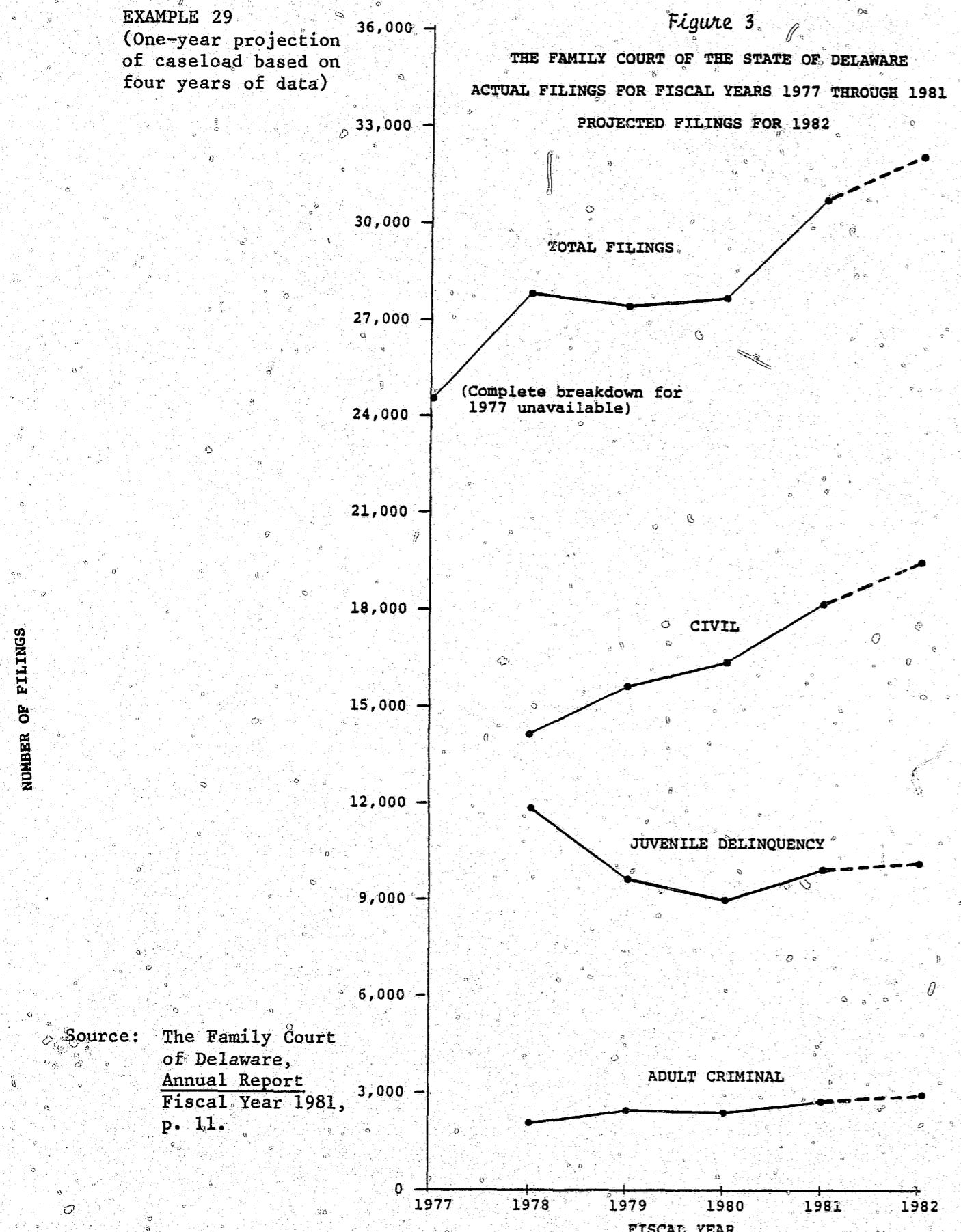


Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec
-----1977 -----1978 -----1979 -----1980

	Filings 1977	Filings 1978	Filings 1979	Filings 1980
January	13,963	13,970	17,318	24,237
February	15,276	15,224	16,236	20,972
March	19,819	19,087	21,719	20,528
April	19,256	18,784	20,213	26,531
May	21,112	22,457	23,020	25,829
June	21,193	22,644	23,536	26,319
July	20,769	23,394	25,633	28,919
August	23,976	24,596	25,712	26,845
September	21,018	21,548	22,949	27,528
October	18,985	20,768	25,337	24,823
November	18,492	19,340	22,517	20,734
December	15,786	16,326	20,514	21,786

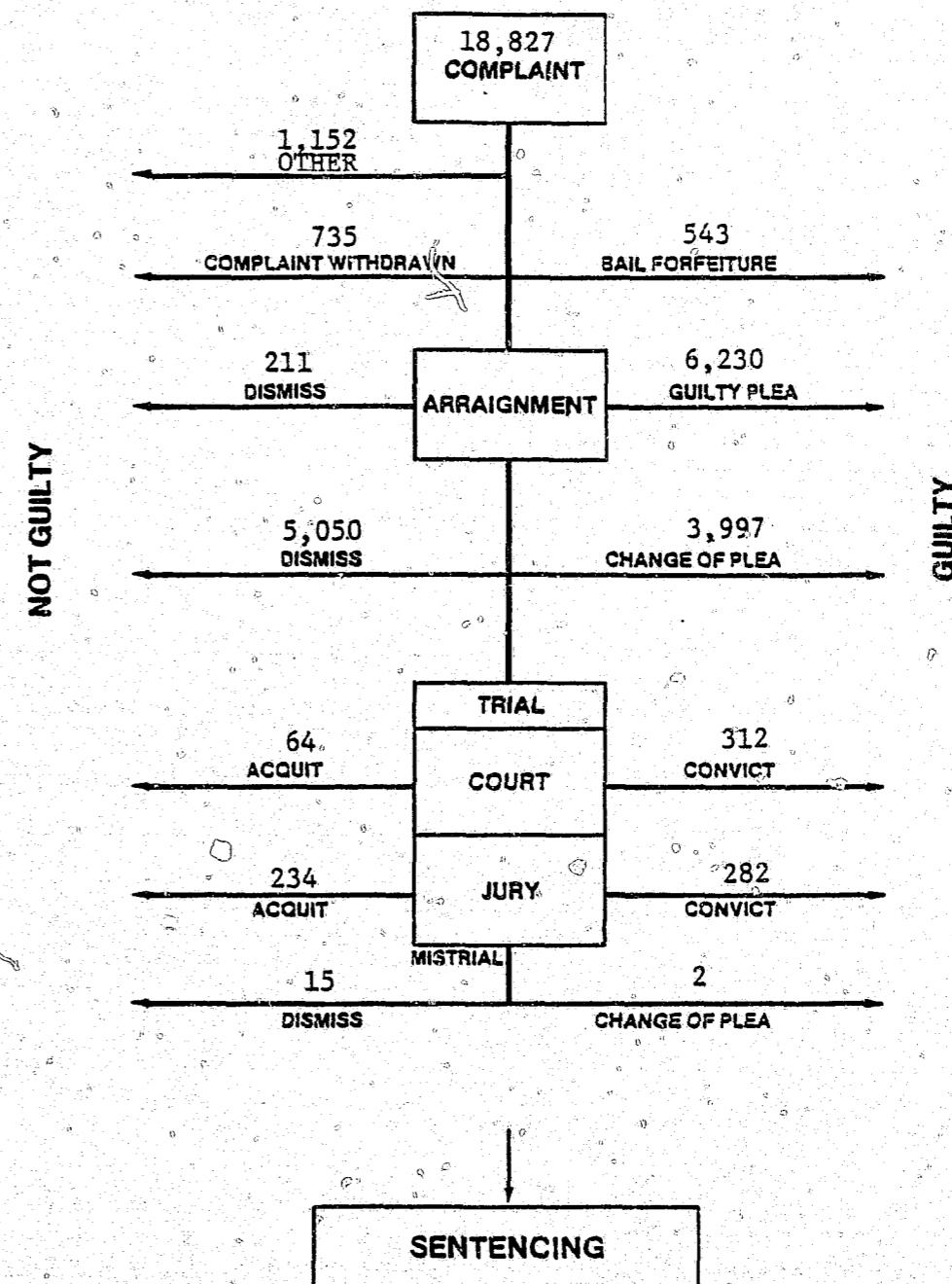
Source: Office of the Administrative Director, Ohio Courts Summary, 1980, p. 92. Ohio provides the same chart for criminal arraignments, personal injury cases, domestic relations, juvenile, felony, OMVI, other traffic, contract, small claims, etc.

EXAMPLE 29
(One-year projection
of caseload based on
four years of data)



EXAMPLE 30
(Number of cases disposed at each event in case processing)

DISTRICT COURTS DISPOSITION OF MISDEMEANORS 1979



EXAMPLE 31

(Time to disposition for one type of case in several jurisdictions)

LAW
IN THE CIRCUIT COURT OF COOK COUNTY
MUNICIPAL DEPARTMENT, DISTRICTS ONE THRU, SIX, LAW JURY CASES
DURING CALENDAR YEAR 1979

AVERAGE TIME INTERVAL BETWEEN DATE OF FILING
AND DATE OF TERMINATION OF LAW JURY CASES

Cases Terminated By Verdict					
Number of Verdicts Reached During The Period	Months Elapsed Between Date of Filing and Date of Verdict			Average	
	Maximum	Minimum			
District One	300,000 Series (Personal Injury)	189*	70.8	0.4	35.1
	Torts, Contracts, etc.	322*	106.5	1.3	32.2
	Subtotal	511*	106.5	0.4	33.3
District Two	-----	16	40.7	0.9	14.8
District Three	-----	40**	99.0	7.2	24.0
District Four	-----	17	51.5	11.0	26.1
District Five	-----	19	76.1	7.8	23.9
District Six	-----	24	28.4	6.3	18.1
TOTALS	-----	627	106.5	0.4	31.2

*Includes 41 verdicts entered on cases transferred from the Law Division; 10 entered on small claims cases transferred in; 1 verdict on a forcible entry and detainer action; and 1 verdict on a joint action suit.

**Includes 1 verdict on a civil paternity suit.

Cases Terminated by Any Means Including Verdict					
Total Number of Cases Terminated During the Period*	Months Elapsed Between Date of Filing and Date of Termination			Average	
	Maximum	Minimum			
District One	300,000 Series (Personal Injury)	7,571**	90.0	0.4	27.0
	Torts, Contracts, etc.	5,718**	121.0	0.4	26.6
	Subtotal	13,289**	121.0	0.4	26.8
District Two	-----	148	45.5	0.7	13.7
District Three	-----	341	99.0	0.7	15.6
District Four	-----	345	51.5	0.2	16.3
District Five	-----	217	76.1	0.1	15.4
District Six	-----	400	30.3	0.6	12.1
TOTALS	-----	14,740	121.0	0.1	25.6

*Does reflect multiple dispositions of cases during the period.

**Includes small claims cases transferred in as a result of jury demands entered.

Source: Administrative Office of the Illinois Courts, 1979 Annual Report to the Supreme Court of Illinois, p. 188

EXAMPLE 32
(Median time to disposition in each county)

TABLE 17: MEDIAN TIME LAPSE IN DAYS BY MANNER OF HANDLING, 1980

County	All Cases		Adjudicatory Cases			Consent Decree Cases		Informal Cases	
	Total	Median Days From Referral to Disposition	Total	Median Days From		Total	Median Days From Referral to Disposition	Total	Median Days From Referral to Disposition
				Referral to Disposition	Referral to Adjudication				
Adams	92	39	53	59	34	22	1	a	38
Allegheny	6,565	36	4,927	46	46	1	10	a	1,628
Armstrong	165	30	51	96	52	29	7	a	107
Beaver	857	63	267	68	30	16	199	54	391
Bedford	78	20	24	41	16	1	2	a	52
Berks	484	69	125	81	52	1	33	98	326
Blair	204	N/A	166	N/A	N/A	N/A	34	N/A	65
Bradford	168	41	52	74	41	1	35	a	24
Bucks	993	88	365	88	83	1	225	100	403
Butler	402	53	252	59	41	16	16	58	134
Cambria	443	68	210	78	70	1	143	65	90
Cameron	14	a	8	a	a	3	3	a	36
Carbon	116	42	44	44	32	1	3	a	39
Centre	116	31	32	50	45	1	48	29	36
Chester	372	48	135	50	39	1	96	66	141
Clarion	70	35	26	37	37	1	1	a	43
Clearfield	200	24	62	37	37	1	73	20	65
Clinton	128	25	15	a	a	4	a	109	23
Columbia	145	15	40	61	33	30	2	a	103
Crawford	245	56	167	54	52	1	42	66	36
Cumberland	464	42	170	30	28	1	1	a	293
Dauphin	627	64	209	58	36	8	120	78	298
Delaware	1,436	63	1,152	80	12	17	157	55	127
Elk	62	50	9	a	a	5	a	48	39
Erie	719	50	348	54	56	1	131	71	240
Fayette	438	22	162	42	40	1	55	14	221
Forest	38	24	12	a	a	10	a	16	20
Franklin	281	20	25	46	43	1	111	17	145
Fulton	35	28	5	a	a	20	25	10	a
Greene	60	18	28	18	18	1	3	29	17
Huntingdon	73	106	14	a	a	6	a	53	94
Indiana	147	15	32	50	43	1	37	14	78
Jefferson	136	32	47	45	42	1	36	27	53
Juniata	27	17	7	a	a	2	a	18	15
Lackawanna	273	44	219	43	39	1	16	57	38
Lancaster	697	20	273	49	38	1	28	71	396
Lawrence	167	57	67	45	45	9	16	59	84
Lebanon	270	10	43	30	29	1	42	8	185
Lehigh	628	90	221	82	68	1	46	61	361
Luzerne	647	38	267	46	44	1	112	49	268
Lycoming	323	22	188	31	22	1	24	38	111
McKean	100	27	58	50	45	1	1	a	41
Mercer	282	48	241	50	38	1	2	a	19
Mifflin	29	43	29	43	22	1	0	0	0
Monroe	126	64	59	104	46	30	43	47	24
Montgomery	1,414	67	548	40	21	15	67	664	83
Montour	15	a	7	a	a	1	a	7	a
Northampton	500	44	184	84	55	22	21	49	295
Northumberland	325	69	84	60	45	1	7	a	234
Perry	25	21	4	a	a	2	a	19	19
Philadelphia	14,081	43	0,440	54	54	1	2,228	33	1,393
Pike	16	37	4	a	a	7	a	5	a
Potter	59	24	23	63	59	1	5	31	10
Schuylkill	331	59	111	82	67	1	55	72	165
Snyder	28	50	3	a	a	16	47	9	a
Somerset	224	45	69	71	71	1	5	a	150
Sullivan	12	a	9	a	a	0	0	3	8
Susquehanna	40	63	25	92	36				

EXAMPLE 33

(Time spent in pretrial activities in all the counties of a state)

CIVIL CASEFLOW
1979

Average No. Days Pre-Trial Average No. Days Pre-Trial Average No. Days Pre-Trial
Memo to Pre-Trial Conf. Conf. to Jury Trial Conf. to Jury-Waived Trial

County	DAYS					DAYS					DAYS				
	0- 60	61- 120	121- 180	181- 240	240- Up	0- 60	61- 120	121- 180	181- 240	240- Up	0- 60	61- 120	121- 180	181- 240	240- Up
Androscoggin	6	33	28	14	20	0	0	0	0	6	2	0	4	2	5
Aroostook	41	16	3	1	7	0	0	2	1	5	3	0	0	0	4
Cumberland	14	38	43	19	15	6	10	13	4	13	9	8	10	0	5
Franklin	12	4	3	0	0	0	1	0	0	1	3	0	0	1	1
Hancock	10	18	6	1	2	0	2	2	0	2	1	2	1	2	1
Kennebec	31	27	12	2	4	0	0	1	0	6	1	2	0	1	0
Knox	7	16	4	3	3	0	2	1	1	4	0	3	1	0	3
Lincoln	11	9	1	0	3	0	3	0	1	1	0	3	0	0	1
Oxford	2	10	3	0	4	0	0	0	1	1	2	1	1	0	0
Penobscot	8	9	5	3	6	2	0	2	0	2	4	7	3	3	8
Piscataquis	9	2	0	1	0	0	0	0	0	0	2	1	1	1	1
Sagadahoc	15	10	2	1	2	0	1	1	1	0	1	2	0	1	2
Somerset	15	18	7	3	1	1	1	1	2	2	3	0	2	1	0
Waldo	8	14	11	2	2	0	0	1	1	4	0	1	1	2	3
Washington	8	10	8	4	2	0	1	0	1	1	3	3	3	0	3
York	29	86	30	7	19	1	6	1	7	13	0	20	2	1	2
STATEWIDE	226	320	166	61	90	10	27	25	20	61	34	53	29	15	39

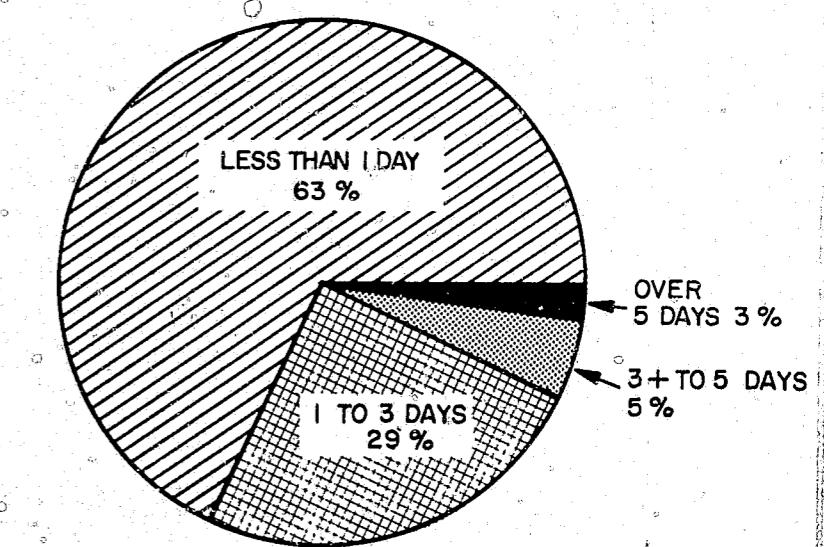
۲۱

Source: State of Maine, Administrative Office of the Courts, Annual Report
1979, p. 53.

EXAMPLE 34
(Time consumed in trials)

SUPERIOR COURT, LAW DIVISION
DURATION OF CIVIL TRIALS CONCLUDED
SEPTEMBER 1, 1979 TO AUGUST 31, 1980

COUNTY	TOTAL CIVIL TRIALS	DURATION OF TRIALS CONCLUDED				
		LESS THAN 1 DAY	1 TO 3 DAYS	3 TO 5 DAYS	OVER 5 DAYS	
ATLANTIC	89	70%	22%	5%	3%	
BERGEN	994	72%	21%	3%	4%	
BURLINGTON	150	62%	26%	7%	5%	
CAMDEN	228	36%	51%	11%	2%	
CAPE MAY	13	38%	62%	0%	0%	
CUMBERLAND	81	84%	15%	1%	0%	
ESSEX	933	69%	25%	4%	2%	
Gloucester	105	58%	34%	7%	1%	
HUDSON	413	52%	36%	7%	5%	
HUNTERDON	42	62%	26%	7%	5%	
MERCER	154	57%	29%	11%	3%	
MIDDLESEX	700	59%	33%	5%	3%	
MONMOUTH	499	74%	22%	2%	2%	
MORRIS	302	61%	28%	8%	3%	
OCEAN	275	69%	26%	2%	1%	
PASSAIC	292	45%	44%	6%	5%	
SALEM	24	67%	33%	0%	0%	
SOMERSET	138	52%	43%	3%	2%	
SUSSEX	55	55%	36%	5%	4%	
UNION	459	63%	30%	4%	3%	
WARREN	27	44%	41%	15%	0%	
TOTAL	5,973	63%	29%	5%	3%	
TOTAL 1 YEAR AGO	5,955	62%	30%	5%	3%	



Source: New Jersey Judiciary 1979-80 Statistical Supplement, p. E-2.

EXAMPLE 35

(Median time between events in criminal case processing)

DUPAGE COUNTY CRIMINAL CASE PROCESSING

INTER-EVENT TIMES

Date of Arrest	213* (320**)
Date of Preliminary Hearing	(459***)
(36 (55))	
(412)	
Date Information or Indictment Filed	50 (89)
(401)	
89 (140)	
(450)	
14 (22)	Date of First Arraignment
(443)	
91 (152)	First Scheduled Trial Date
(177)	
30 (109)	Date Trial Commenced
(61)	
2 (71)	
(61)	
for Jury verdicts: 179 (299)	
(59)	
for Jury verdicts: 270 (245)	
(57)	

*Median elapsed time between events in days, half of the cases took longer, half less time.
 **75th Percentile in days, this is the time within which 75% of the cases sampled completed this stage.
 ***Number of cases in sample from which time estimates were derived.

Source: Pretrial Delay Project, National Center for State Courts.

EXAMPLE 36

(Number of dispositions based on the number of judge days available)

Figure 3
Disposition/Judge Day

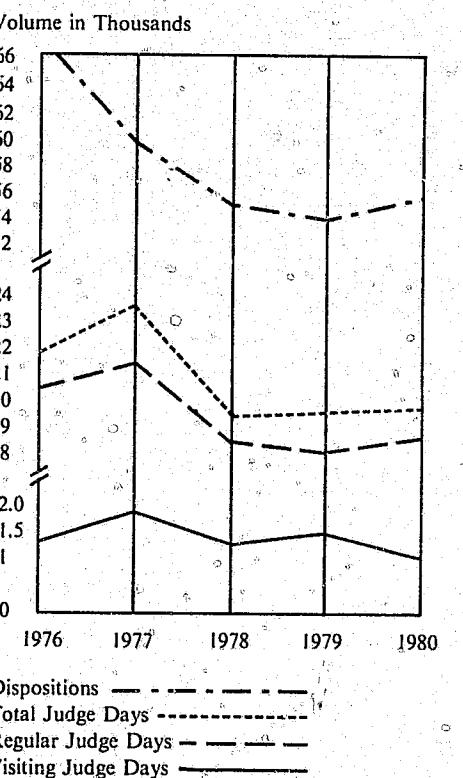


Figure 4
Filings, Disposition and Inventory

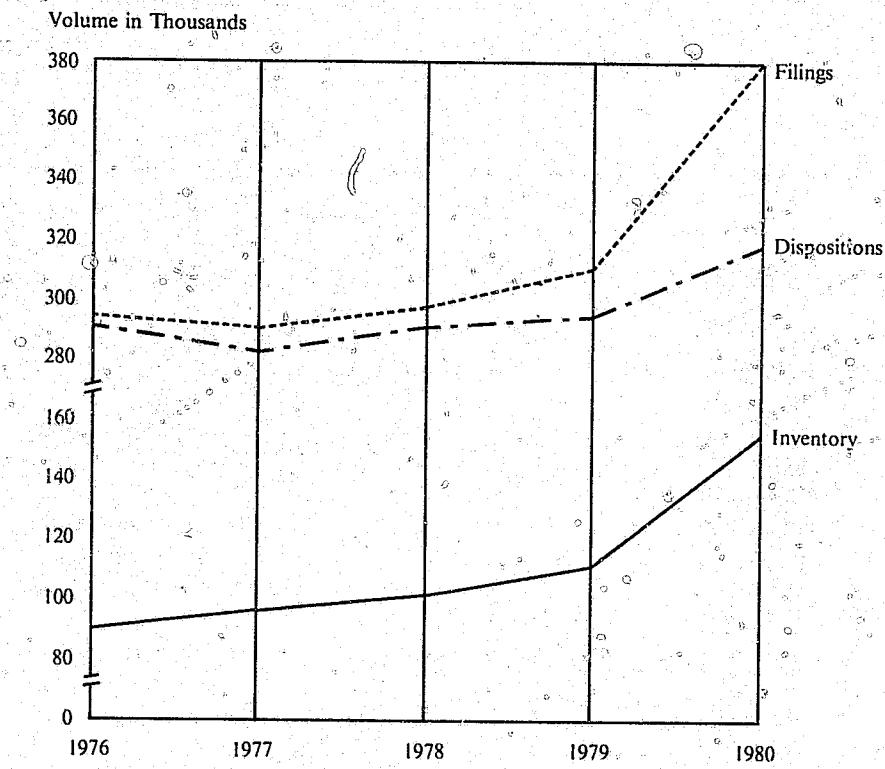
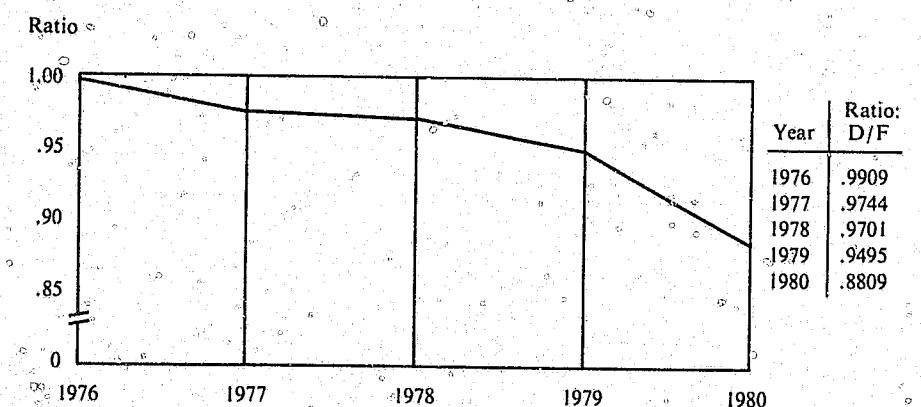


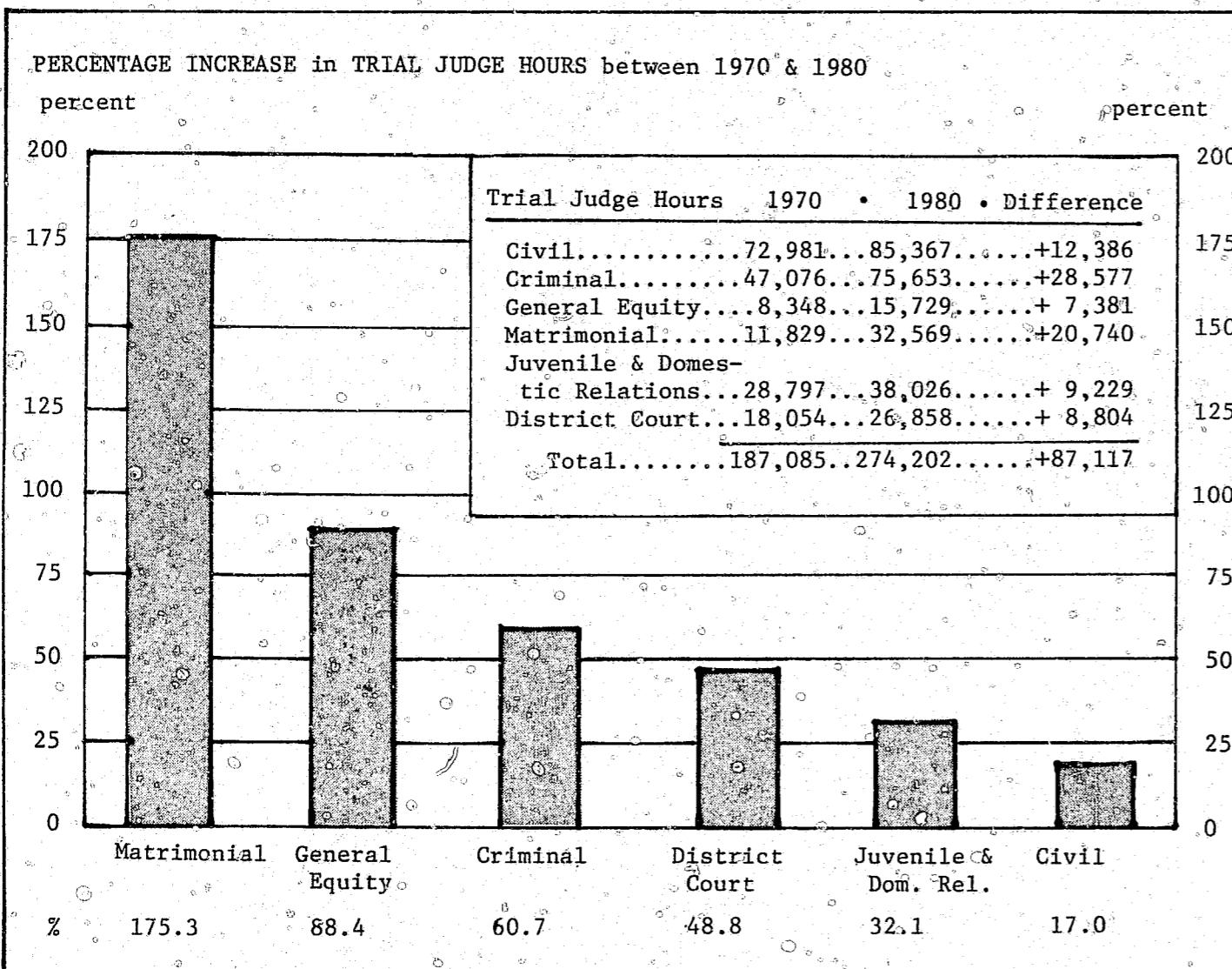
Figure 5
Disposition Ratios



Source: Administrative Office of the Pennsylvania Courts, 1980 Annual Report,
 p. 26.

EXAMPLE 37

(Increase in trial judge hours over a 10-year period)



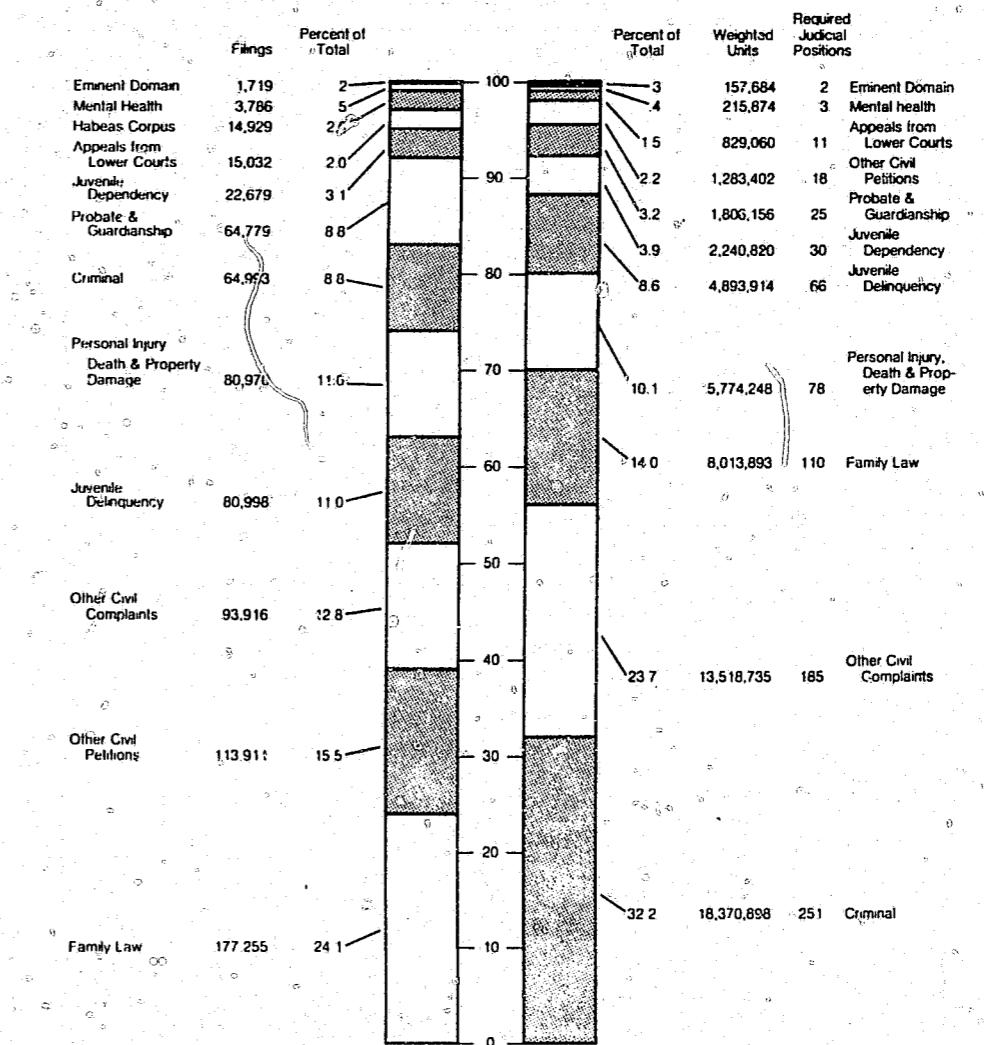
Source: New Jersey Judiciary, Annual Report 1979-80, p. 23.

EXAMPLE 38

(Comparison between caseload inventory and actual case processing time, using weighted filings)

Figure 9—CALIFORNIA SUPERIOR COURT

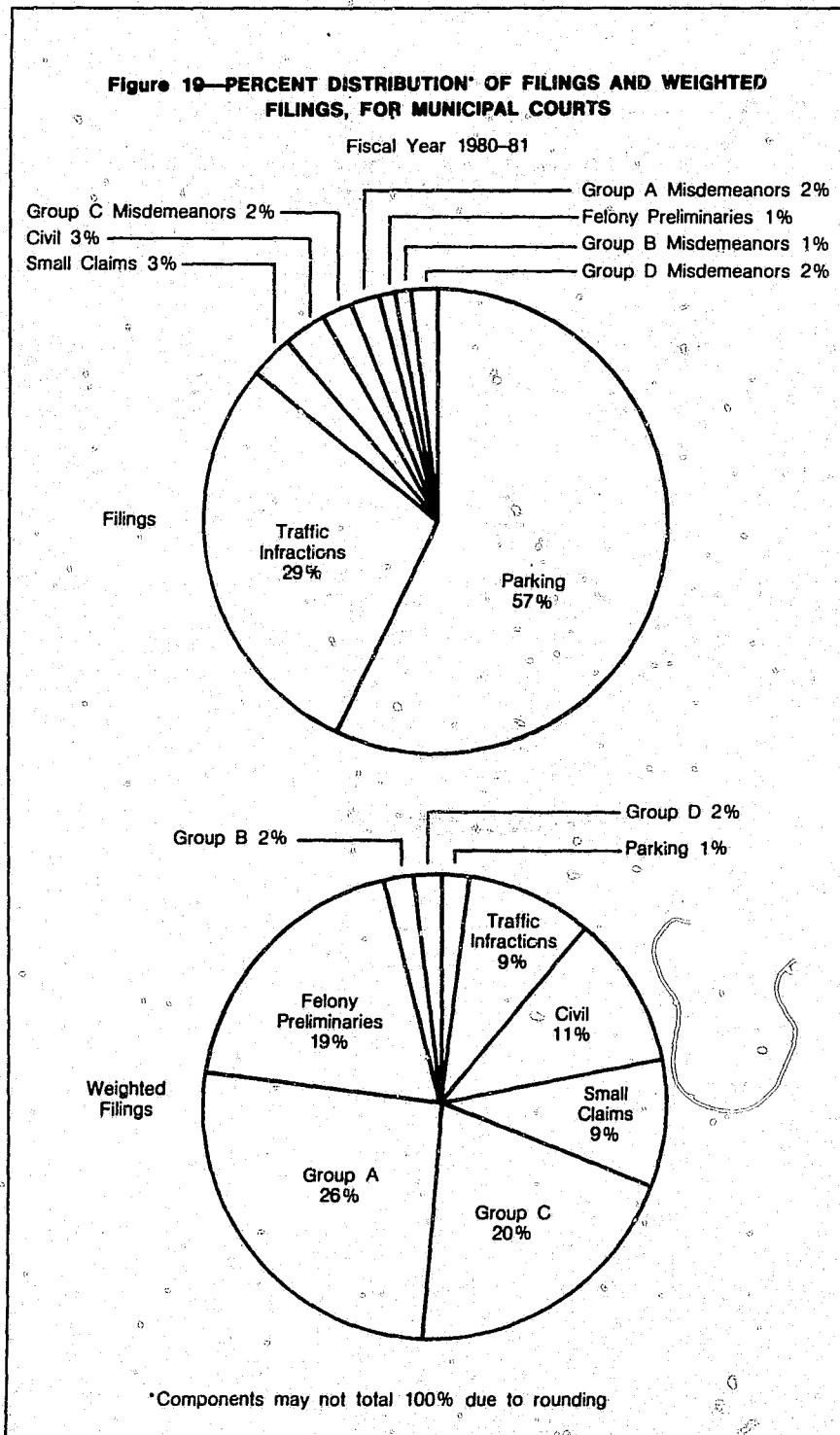
Categories as Percentage of Total Filings Compared with Categories as Percentage of Total Weighted Units and Required Judicial Positions
Fiscal Year 1980-81



Source: Part II: Annual Report of the Administrative Office of the California Courts, January 1, 1982, p. 73.

EXAMPLE 39

(Comparison of case filings by case type with weighted units for each case type)



Source: Part II: Annual Report of the Administrative Office of the California Courts, January 1, 1982, p. 119.

Bibliography

SOURCE MATERIALS ON COURT MANAGEMENT INFORMATION SYSTEMS, 1975-1983

American Judicature Society, Criminal Caseload Management, Chester County, Pennsylvania, 1976 Boxerman, Lawrence A., Juvenile Justice Information Systems: 1, 2, 3: A National Model (Reno: National Council of Juvenile and Family Court Judges, 1977)

Boxerman, Lawrence A., Juvenile Justice Information Systems: 1, 2, 3: A National Model (Reno, Nev.: National Council of Juvenile and Family Court Judges, 1977)

Burt, Marvin R., A Descriptive Assessment of the Processing of Juvenile Cases in the District of Columbia Superior Court, Burt Associates, Inc.

California Administrative Office of the Courts, Weighted Caseload Study, California Municipal Courts, September-December 1977 (San Francisco: Administrative Office of the Courts, 1979)

California Administrative Office of the Courts, Weighted Caseload Study, California Superior Courts, September-December 1976 (San Francisco: Administrative Office of the Courts, 1977)

Church, Thomas, Jr., et al, Justice Delayed: The Pace of Litigation in Urban Trial Courts (Williamsburg, Va.: National Center for State Courts, 1978)

Connecticut Judicial Department, Case Management of the Dockets of the Supreme Court and Appellate Session of Superior Court Project, Summary of the Project's Operations, May 1977-June 1978

Davis, Gordon B., Management Information Systems: Conceptual Foundations, Structure, and Development (New York: McGraw-Hill, 1974)

Delaplain, Richard W., J. Gregory Janowski, and Randy P. Wolfe, Wisconsin Juvenile Court Information System Project, Final Report, Volume I, Information Needs Assessment Report (Williamsburg, Va., Wisconsin Juvenile Court Information System Project, 1981)

Flango, Victor E., and Mary E. Elsner, "The Latest Court Caseload Data: An Advance Report," State Court Journal, Winter 1983, Volume 7, Number 1, from p. 230.

Flango, Victor E., and Mary E. Elsner, Implementing the State Court Model Annual Report (Williamsburg, Va.: National Center for State Courts, 1982)

Flango, Victor E., Mary E. Elsner, and Robert R. Roper, The Business of State Trial Courts: State Court Caseload Composition (Williamsburg, Va.: National Center for State Courts, 1983)

Friesen, Ernest, Evaluation of the Case Management System of the Circuit Court for Anne Arundel County, Maryland (Washington, D.C.: Criminal Courts Technical Assistance Project, The American University Law Institute, October 1976)

Friesen, Ernest, Joseph Jordan, and Alfred Sulmonetti, Arrest to Trial in Forty-five Days, Whittier College School of Law, 1978

Friesen, Ernest C., Maurice Geiger, Joseph Jordan, Alfred Sulmonetti, "Justice in Felony Courts: A Prescription to Control Delay," Whittier Law Review Volume 2, Number 1, 7-60.

Gainey, James A., and Samuel D. Conti, An Organizational and Management Study of the Administrative Office of the Courts of the State of New Jersey (North Andover, Mass.: National Center for State Courts, 1980)

Hoffman, Beatrice, Determination and Justification of Judgeship Needs (Washington, D.C.: The American University Law School, Criminal Courts Technical Assistance Project, 1981)

INSLAW, Decision-Related Research on Technology Utilized by Local Government: Court Scheduling, Phase II Final Report, Volume II: Research Papers (Washington, D.C.: INSLAW, 1978)

INSLAW, Guide to Court Scheduling (Washington, D.C.: INSLAW, 1976)

Institute of Judicial Administration, Toward Improving Criminal Case Management in the Connecticut Court of Common Pleas: Phase I Report of the Connecticut Court of Common Pleas Case Management Committee, July 1976

Jacoby, Joan, Alfred T. Sulmonetti, and Rochelle Samuels Friedman, A Study of Court Caseload Delay in the Eighth Judicial District (Clark County), Nevada (Washington, D.C.: Criminal Courts Technical Assistance Project, The American University Law School, September 1976)

Jensen, Lynn A., Larry Sipes, Frederic G. Miller, and Mary Elsner, An Analysis of the Hawaii Annual Report and Statistical Reporting System (Williamsburg, Va.: National Center for State Courts, 1981)

Jensen, Lynn A., and Judith L. Rehak, Minnesota Supreme Court Automated Caseload Management and Docketing Feasibility Report, National Center for State Courts and Office of the Minnesota State Court Administrator

Judicial Council of California, Master-Individual Calendar Study, John G. Fall & Associates, July 1974

Kakalik, James S., and Abby Eisenstat Robyn, Costs of the Civil Justice System (Santa Monica, Cal.: The Institute for Civil Justice, Rand Corporation, 1982)

Kreindel, B., et al, Computer Software Specification for the Court Case Management System (Massachusetts), The MITRE Corporation, December 1975

Kreindel, Burton, et al. Court Information Systems, National Evaluation Program Phase I Summary Report (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1977)

Lawson, Harry O., and Barbara J. Gletne, Fiscal Administration in State-Funded Courts (Williamsburg, Va.: National Center for State Courts, 1981)

Lawson, Harry O., and Barbara J. Gletne, Workload Measures in the Court, State Court Financing Project (Williamsburg, Va.: National Center for State Courts, 1980)

Luskin, Mary Lee, Describing and Analyzing Case Processing Time in Criminal Cases: Suggestions for Administrators (Washington, D.C.: National Institute of Justice, September 1981)

Martin, John A., and Elizabeth A. Prescott, Appellate Court Delay: Structural Responses to the Problems of Volume and Delay (Williamsburg, Va.: National Center for State Courts, 1981)

Martin, John A., and Elizabeth A. Prescott, Volume and Delay in the Colorado Court of Appeals, Appellate Justice Improvement Project (Williamsburg, Va.: National Center for State Courts, January 1980)

----- Volume and Delay in the Florida Court of Appeals, First District April 1980

----- Volume and Delay in the Illinois Appellate Court, First District, April 1980

----- Volume and Delay in the Indiana Court of Appeals, December 1980

----- Volume and Delay in the Montana Supreme Court, March 1980

----- Volume and Delay in the New Jersey Superior Court, Appellate Division, March 1980

----- Volume and Delay in the Nebraska Supreme Court, April 1980

----- Volume and Delay in the Oregon Court of Appeals, April 1980

----- Volume and Delay in the Ohio Court of Appeals, Eighth District, June 1980

----- Volume and Delay in the Virginia Supreme Court, December 1980

Marvell, Thomas B., and Michael Hudson, The Screening and Summary Calendar Procedures at the District of Columbia Court of Appeals: An Evaluation (Williamsburg, Va.: National Center for State Courts, April 1978)

Metric, Dennis, Pennsylvania Case Weight Study (Philadelphia: Court of Common Pleas, Office of the Court Administrator, 1978)

Mid-Atlantic Regional Office, Virginia Uniform Docketing and Caseload Reporting System. (Williamsburg, Va.: National Center for State Courts)

Mid-Atlantic Regional Office, Virginia Circuit Court Caseload Reporting Study, Final Report (Williamsburg, Va.: National Center for State Courts)

National Center for State Courts, Seventh Judicial Circuit, South Dakota, A Caseload Management System (Williamsburg, Va.: National Center for State Courts, March 1976)

National Court Statistics Project, State Court Caseload Statistics: The State of the Art (Washington, D.C.: U.S. Government Printing Office, 1978)

----- State Court Caseload Statistics: Annual Report, 1975 (Washington, D.C.: U. S. Government Printing Office, 1979)

----- State Court Caseload Statistics: Annual Report, 1976 (Williamsburg, Va.: National Center for State Courts, 1980)

----- State Court Caseload Statistics: Annual Report, 1977 (Williamsburg, Va. National Center for State Courts, 1982)

----- State Court Caseload Statistics: Annual Report, 1978 (Williamsburg, Va.: National Center for State Courts, 1983)

----- State Court Model Statistical Dictionary (Washington, D.C.: U.S. Government Printing Office, 1980)

----- State Court Model Annual Report (Williamsburg, Va.: National Center for State Courts, 1980)

----- State Court Organization, 1980 (Washington, D.C.: U.S. Government Printing Office, 1982)

Nieland, Robert G., and Rachel N. Docern, State Court Administrative Offices (Chicago: American Judicature Society, 1979)

Neubauer, David W., et al, Managing the Pace of Justice: An Evaluation of LEAA's Court Delay-Reduction Programs (Washington, D.C.: National Institute of Justice, September 1981)

New Jersey Statewide Computerization Project, Requirements Analysis for Computerization of the New Jersey Courts, Volume I, draft (Williamsburg, Va.: National Center for State Courts, June 1982)

New Jersey Administrative Office of the Courts, Judicial Management Information Systems Department, Appellate Division Automatic Docketing Caseload Management System Overview, June 1976

North Central Regional Office, Caseload Management Study Final Report, 70th Judicial District Court, Saginaw, Michigan (Williamsburg, Va.: National Center for State Courts, 1979)

Northeastern Regional Office, Case Processing in the York County Court of Common Pleas (Williamsburg, Va.: National Center for State Courts, May 1979)

Northeastern Regional Office, Continuances in Civil Cases at the Franklin County Court of Common Pleas in Columbus, Ohio, Reducing Trial Court Delay Project, Phase III (Williamsburg, Va.: National Center for State Courts, June 1981)

Page, Robert W., David B. Reid, and Deborah Elvins, Washington District Court Weighted Caseload Project (San Francisco; National Center for State Courts, Western Regional Office, 1977)

Page, Robert W., David B. Reid, and Deborah Elvins, Washington Superior Court Weighted Caseload Project (Williamsburg, Va.: National Center for State Courts, Western Regional Office, 1977)

Polansky, Larry P., Computer Use in the Courts, Criminal Courts Technical Assistance Project (Washington, D.C.: The American University Law School, 1978)

SEARCH Group, Inc., Dictionary of Criminal Justice Data Terminology, Second edition (Washington, D.C.: U. S. Government Printing Office, 1981)

-----, Technical Report No. 12, State Judicial Information Systems Final Report (Phase I) (Sacramento: SEARCH Group, Inc., 1975)

-----, Technical Report No. 17, State Judicial Information Systems Final Report (Phase II) (Sacramento: SEARCH Group, Inc., 1976)

-----, Technical Report No. 31, State Judicial Information Systems Final Report (Phase III). Volume II: Topics of Data Utilization (Sacramento: SEARCH Group, Inc., 1978)

Short, Ernest H., and Charles Doolittle, Records, Trial Court Management Series (Washington, D.C.: The American University Court Management Project, 1979)

Sipes, Larry L. et al, Managing to Reduce Delay (Williamsburg, Va.: National Center for State Courts, 1980)

Solomon, Maureen, Caseflow Management in the Trial Court, American Bar Association Commission on Standards of Judicial Administration, 1976

Starrett, Charles, Grenville K. Hayes, and Rochelle Samuels Friedman, A Study of Management and Case Processing in Three County Clerk of Court Offices: Wabasha, Rice and Olmsted, Minnesota (Washington, D.C.: Criminal Courts Technical Assistance Project, The American University Law Institute, April 1976)

State Judicial Information Systems Project, State Court Information Systems and Statistical Reference Series, Volume 1: State of the Art, 1980, partially updated 1981 (Williamsburg, Va.: National Center for State Courts, 1980, 1981)

, State Court Information Systems and Statistical Reference Series, Volume 2: Technology Transfer: Guidelines and Selected Modules: Washington Appellate Court Information System, Transfer Module; Missouri Appellate Court Recordkeeping System, Transfer Module; Michigan District Court System, Traffic Transfer Module; Utah Juvenile Court Information System, Transfer Module (Williamsburg, Va.: National Center for State Courts, 1980, 1981)

, State Court Information and Statistical Reference Series, Volume 3: Court Technology and Management: "Automated Information Systems: Planning and Implementation Guidelines" (Williamsburg, Va.: National Center for State Courts, 1982)

, Cost-Benefit Methodology for Evaluation of State Judicial Information Systems (Williamsburg, Va.: National Center for State Courts, 1979)

Automated Information Systems: Planning and Implementation Guidelines (Williamsburg, Va.: National Center For State Courts, 1983)

Subcommittee on the Workload of the District of Columbia Court of Appeals, District of Columbia Judicial Planning Committee, District of Columbia Court of Appeals: Workload Problems and Possible Solutions, August 1979

Task Force on Principles for Assessing the Adequacy of Judicial Resources, Assessing the Need for Judicial Resources (Williamsburg, Va.: National Center for State Courts, 1983)

Thomssen, Carol, and Peter J. Falkowski, A Preliminary Report of the Plea Negotiation Study, Minnesota Statistical Analysis Center, September 1977

Tobin, Robert, Financial Management (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1979)

Tobin, Robert, Personnel Management (Washington, D.C.: National Institute of Law Enforcement and Criminal Justice, 1979)

Western Regional Office, New Mexico Management Study: Final Report (Williamsburg, Va.: National Center for State Courts, September 1980)

Western Regional Office, Washington Trial Courts, Statistical Reporting System Report (Williamsburg, Va.: National Center for State Courts, December 1978)

Western Regional Office, Final Report: Los Angeles Municipal Court, Project COURT, (Williamsburg, Va.: National Center for State Courts, August 1979)

Western Regional Office, Anchorage Trial Courts: Case Processing and Clerical Procedures Project, Analysis and Recommendations (Williamsburg, Va.: National Center for State Courts, April 1978); Appendix I: Desk Audits and Clerical Procedures, April 1978

Western Regional Office, State of Washington, Superior Court Weighted Caseload Instructional Booklet (San Francisco: National Center for State Courts, 1977)

Wolfe, Randy P., Small Claims Courts: Records Management and Case Processing (Williamsburg, Va.: National Center for State Courts, 1980)

Annual Reports

Alaska Court System, 1981 Annual Report

Arizona Courts, 1980 Annual Judicial Report

Arizona Courts, 1981 Annual Report

California: Judicial Council of California, Part II: Annual Report of the Administrative Office of the California Courts, January 1, 1981

California: Superior Court Los Angeles County, Executive Officer's Report 1974/75

Colorado: Office of the State Court Administrator, Annual Statistical Report of the Colorado Judiciary, July 1, 1978 to June 30, 1979

Connecticut: Report of the Judicial Department, State of Connecticut, January 1979

Delaware Judiciary, 1981 Annual Report

Delaware: The Family Court of Delaware, Annual Report, Fiscal Year 1981

District of Columbia Courts, 1981 Annual Report

District of Columbia: Superior Court of the District of Columbia, Annual Juvenile Statistical Report, Calendar Year 1978

Florida: Judicial Council of Florida, Twenty-fourth Annual Report, 1 February 1979

Georgia Administrative Office of the Courts, Caseload Summary Report for Georgia's Principal Trial Courts, 1976

Idaho Courts, 1980 Annual Report

Illinois: Administrative Office of the Illinois Courts, 1979 Annual Report to the Supreme Court of Illinois

Iowa Judiciary, 1978 Annual Statistical Report

Maine: Administrative Office of the Courts, State of Maine, Annual Report 1979

Maryland: Statistical Abstract, Annual Report of the Maryland Judiciary 1980-1981

Michigan, 1979-80 Report of the State Court Administrator

Missouri Judicial Branch, Annual Statistical Report FY 1980-1981

New Jersey Judiciary, 1979-80 Annual Report
1979-80 Statistical Supplement

New Jersey: State of New Jersey, Proceedings in the Municipal Courts, September 1, 1979 to August 31, 1980

New Mexico: Judicial Department of the State of New Mexico, 1978 Annual Report

New York: State of New York, Third Annual Report of the Chief Administrator of the Courts, 1981

North Dakota Judicial Council, Annual Report 1980

Ohio: Office of the Administrative Director, Ohio Courts Summary 1980

Oklahoma: State of Oklahoma, Report of the Judiciary 1977

Oregon: Office of the State Court Administrator, Twenty-Eighth Annual Report Relating to Judicial Administration in the Courts of Oregon, 1981

Pennsylvania: Administrative Office of Pennsylvania Courts, 1980 Annual Report

Pennsylvania: Court of Common Pleas, Allegheny County, Pennsylvania, Annual Report 1981

Pennsylvania: Office of General Counsel, Juvenile Court Judges' Commission, Pennsylvania Juvenile Court Dispositions 1980

Pennsylvania: Philadelphia Court of Common Pleas, 1979 Annual Report

South Carolina: Judicial Department of South Carolina, Annual Report 1980

South Dakota: Benchmark, Annual Report of the South Dakota Unified Judicial System Fiscal Year 1980

Texas Judicial Council and Office of Court Administration, Fifty-Second Annual Report; Fourth Annual Report, Calendar Year 1980

Utah Judicial Council, Annual Report/Utah Courts, July 1, 1980 to June 30, 1981

Utah State Juvenile Court, Annual Report 1980

Virginia: Office of the Executive Secretary, Commonwealth of Virginia State of the Judiciary Report 1980

Washington: Office of the Administrator for the Courts, 1980 Report on Caseloads and Operations of the Courts of Washington

END