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**THE CITY OF DRAPER
JUSTICE COURT
OPERATIONS ASSESSMENT :**

Final Report
February 2002

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I. INTRODUCTION

A. Background

The city manager and the court administrator have requested that the National Center for State Courts (NCSC) evaluate the operations of the City of Draper Justice Court (hereinafter referred to as Draper Justice Court or Court) with special attention to personnel and resource allocation, workflow, caseflow management, and technology/automation issues. As a result of substantial growth in population and case filings, this assessment was requested to provide a determination of which current operational processes are working well and which procedures and technology could be modified or reengineered to provide a more cost efficient and effective system of justice.

The city of Draper is located in Salt Lake County approximately 20 miles to the southeast of Salt Lake City, Utah. Created in 1978, the Draper Justice Court is a court of limited jurisdiction. The Draper Justice Court has jurisdiction in small claims actions where the amount involved does not exceed \$5,000 and ordinance violations. The Court has criminal jurisdiction over Class "B" and Class "C" misdemeanors. The maximum criminal penalties permitted are \$1,850 in fines and six months in jail. The single judge on the Court is appointed to the bench and serves a four-year term subject to reappointment by city officials. Court personnel are hired through a merit and civil service process. These include the court administrator and three court clerks.

As the Draper Justice Court strives to meet its obligations, it faces several challenges. The city of Draper has experienced significant growth in the past ten years and the Court has struggled to keep pace. In 1990, the city of Draper had a population of 7,000. In 2000, the population rose to 25,000. Filings have increased by 50 percent from 1999 to 2000. During the calendar year 2000, filings averaged approximately 650 per month. This has created staffing and operational problems for the Court. These challenges were exacerbated when, in July 2000, an additional patrol car was added to the city's law enforcement fleet. It was anticipated that this patrol car would result in the addition of a sizeable number of traffic citations for court processing. Due to budgetary limitation, the city is unable to fund additional clerks in response to increasing case

filings. It is therefore necessary for the Court to review current operations, practices, and procedures in order to maximize its potential.

Limited jurisdiction courts, like the Draper Justice Court, remain the basis for much of the public's impression of the administration of justice. With public trust and confidence as a fundamental goal of courts nationwide, the judge and court staff must be concerned with the service provided by the Draper Justice Court. The recommendations in this *Final Report* constitute those areas where the NCSC project team believes that the Draper Justice Court should direct both thought and resources toward improving the quality and administration of justice in the processing of the matters within its jurisdiction.

B. Methodology

To complete this court operations assessment, the NCSC project team visited the Draper Justice Court to collect information about case processing. During the two site visits, the project staff interviewed the judge, members of court administration, court staff members, the prosecutor, and other stakeholders to document the current management practices and the overall office operations. Throughout each interview, the NCSC project team sought input regarding current issues facing the Court.

Prior to the site visit, with the assistance of the court administrator, the NCSC project team distributed to each court staff member a questionnaire to document staffing, duties, responsibilities, work activity, management, and supervisory patterns. A completed questionnaire was received from each employee and evaluated by the NCSC project team. In addition, the judge, prosecutors, and court personnel received a caseload management questionnaire and self-assessment, while other selected staff members received an automation and technology questionnaire.

Additionally, NCSC project team members observed Court operations and attended Court sessions during the site visit. The project team also reviewed the numerous documents provided by the Draper Justice Court. These included organizational charts (City and Court), employee classification and job description information, caseload statistics, daily and monthly calendars, financial audit reports, sample forms, fines and fees collection reports, and the case processing flowchart. The

NCSC project team also reviewed the *Justice Court Standards for Recertification* (September 1999) promulgated by the Administrative Office of the Utah State Courts.

Finally, the NCSC project team analyzed the various issues that have implications on efficiency and effectiveness of personnel practices, workflow, caseload management, and automation. In its evaluation of the Draper Justice Court, the project team referenced national standards and practices for limited jurisdiction court operations. Specifically, the collected data was compared to the characteristics of national standards such as the *Trial Court Performance Standards*¹ and the *Standards Relating to Trial Courts*.² National research and trial court experience have proven that achievement of these standards is a vital component of effective court operations.

¹ *Trial Court Performance Standards*, (Williamsburg, VA: National Center for State Courts and the Bureau for Justice Assistance 1990).

² *Standards Relating to Trial Courts*, (Chicago: American Bar Association, 1992).

II. SUMMARY OF RECOMMENDATIONS

Based on its observations and findings, the NCSC project team makes the following recommendations for improving the operations of the city of Draper Justice Court. All recommendations will be described in detail in the *Final Report* sections that follow.

Workload and Workflow

Recommendation 1: One clerical position should attend court sessions to assist the judge. Duties would include handing files to the judge, swearing witnesses, marking exhibits, and noting case dispositional information. This clerical support should not be the clerk of the court/court administrator, but should be a senior-level clerical assistant who has the requisite training and experience to assume full courtroom duties.

Recommendation 2: The bailiff should assume the duties that the second courtroom clerk now performs. These duties include: (1) handing the judgment of conviction form to the defendant, (2) obtaining the signature of the defendant and giving a copy of the following signed forms to the defendant, (a) Minute Entry, (b) Enhancement Form, (c) Rights Sheet, (d) Plea of Abeyance.

Recommendation 3: If a future calendaring date must be obtained, the bailiff should direct the defendant to go to the clerk's office next door to the courtroom to obtain that date rather than having a clerk in the courtroom give the date. This will increase the available clerk time in the clerk's office.

Recommendation 4: An additional on-call bailiff position should be secured to fill in for the contract bailiff when absent. This must be a post-certified individual.

Recommendation 5: The clerk of the court/court administrator should not perform in-court duties, but should be primarily concerned with the management and supervision of the court support functions and court personnel.

Recommendation 6: The main areas of management concern for the clerk of the court/court administrator should be:

- (1) Reassigning of clerical duties to conform to the recommendations of NCSC with regard to courtroom staffing.

- (2) Addressing computer automation problems associated with the manual typing of court forms including the Minute Entry Form, the Plea of Abeyance Agreement Form, the Judgment of Conviction Form, the Penalty Enhancement Form, and the Payment Owed Form, all of which are necessary to complete a case file for court use. The data elements for the forms are already entered into the Court's computer system but currently cannot be retrieved from existing software thus necessitating the duplicate manual typing of data elements by a clerical position for approximately 60 percent of the work time of the position. This duplicate typing duty in turn has caused a delay in the data entry of citation information. This delay is currently estimated to be 10 – 14 days. More information on the manual typing tasks follows in the next section.
- (3) Addressing the computer automation deficiencies identified in the 1999 state audit report. This will involve close cooperation with the Court's software vendor and the city department of finance.
- (4) Setting up a court fine collections program.

Financial Management

Recommendation 7: The court administrator should seriously consider hiring one new position to assist in setting up and monitoring a court collection program.

Human Resource Issues

Recommendation 8: The Court Clerk I should be placed at a pay Grade 4 because of the job duties associated with the recall of arrest warrants. Once the Court Clerk I is bumped up one pay grade the Court Clerk II should also be bumped up one pay grade to retain the existing two-grade spread between the two related job classes of this series.

Recommendation 9: The court administrator should be encouraged to seek management training at the city's expense. The court administrator should enroll and attend the Court Executive Development Program (CEDP) of the Institute for Court Management (ICM).

Recommendation 10: The court administrator should become a member of the National Association for Court Management.

Caseflow Management

Recommendation 11: To best plan for and measure the success of caseflow management strategies, the Draper Justice Court should formalize time standards for all criminal and civil cases. The Court's time standards should be published as part of its written caseflow management plan. Such standards should be comparable to those of the American Bar Association³ (i.e., in misdemeanor cases, 90% of all misdemeanor cases should be concluded within 30 days and 100% of cases should be disposed of within 90 days. In civil matters, 90% of all civil cases should be settled, tried or otherwise concluded within 12 months of the date of case filing; 98% within 18 months of such filing; and the remainder within 24 months of such filing).

Recommendation 12: As part of its ongoing caseflow management efforts, the Court should review monthly information about the age of cases at disposition and case age of the pending caseload, in addition to information about total filings, pending cases, and dispositions. This caseflow management information should be provided as part of the management reports regularly generated by the Court's automated case information system. In the event that such information is not readily available in the near future, periodic manual tabulations by case sampling should be conducted to assess the age of cases at disposition and age of the pending caseload.

Recommendation 13: Any new case management system that may be developed for the Court should include options that will provide the Court with pending caseload information. Until that time, the Court should use manual means, such as case sampling, to measure pending caseload.

Recommendation 14: Led by the judge, the Draper Justice Court should initiate efforts to develop, refine, and implement caseflow management improvements. This caseflow management framework should be clearly articulated in a written, published caseflow management document developed in consultation with court personnel and members of the bar.

Recommendation 15: The Court should seek the active involvement of the bar in the development of its caseflow management plan. Court leaders should meet regularly with members of the bar to exchange feedback on caseflow management and court operations.

³ See *Standards Relating to Court Delay Reduction*, Conference of State Trial Judges Committee on Court Delay Reduction, (Chicago: American Bar Association, 1985), Sec. 2.52A.

Recommendation 16: The Court should seek the active involvement of court personnel in the development of its caseload management plan. Court personnel should have an opportunity to indicate the impact of any planned changes in caseload management upon their daily work responsibilities.

Recommendation 17: Before the Court's caseload management plan goes into effect, the Court should hold informal education and training sessions for staff members and attorneys to explain and discuss the details of the plan. Explanation of the importance, philosophy, and details of the caseload management plan should be part of the orientation for all new staff members serving the Court. The Court should coordinate with the bar to expose members to the importance of caseload management and the details of the Court's caseload management plan.

Recommendation 18: To capitalize on the opportunity to exert more control over its caseload, the judge and court administrator of the Draper Justice Court should form a caseload committee including the judge, the prosecutor, the public defender, the court administrators, and court staff members.

Automation and Technology

Recommendation 19: The city should continue with the established replacement and upgrade schedule of standard office automation hardware and software. The schedule that the city is currently using is very appropriate given the pace of technological change.

Recommendation 20: The city should continue the backup schedule and practices currently in place. The procedures currently used offer exceptional disaster recovery capabilities.

Recommendation 21: The city should support formal information technology training for the IS Specialist and any future information systems staff. Keeping technical skills current in existing staff is much less expensive than hiring new staff or temporary experts to obtain needed information technology skills.

Recommendation 22: The courtroom computer should be configured to allow the courtroom clerk to perform data entry during court proceedings, such as entering orders including fines, fees, classes, or restitution. This would reduce the number of times data is recorded and reduce the opportunities for the introduction of errors. The

courtroom clerk's entries to the case management system should be immediately available for the Clerk's office counter staff and Finance department staff to process individuals when they leave the courtroom. Additionally, the courtroom clerk should be able to perform queries to retrieve information from the automated case management system and display the results on a monitor positioned for the judge to view.

Recommendation 23: The Court and City IS Specialist should continue to move forward with the plans to replace the existing court case management system.

Recommendation 24: The Court should develop a standard training/reference manual for staff. This would be very helpful to new staff and in cross training current staff.

Recommendation 25: The Court should have the vendor provide training to all court staff for the new case management system. Additionally, the Court should plan for formal training whenever software used by the Court is upgraded or replaced.

III. WORKLOAD AND WORKFLOW

As was stated in the introductory comments of this *Final Report*, for the vast majority of Draper citizens doing business with the Utah Courts, the Draper Justice Court is their only contact with the judicial community. As a limited jurisdiction court, the Draper Justice Court plays an important role in creating respect for the law within the state of Utah. It is important, therefore, that case processing be conducted in a competent, efficient manner and reflect authority and dignity.

Although the Draper Justice Court has experienced some stress to its staff and operations due to dramatic growth and increased filings, it is evident to the NCSC project team that the Court personnel continue to be service oriented despite the recent hardships. The project team observed courtesy, concern, and teamwork. The Court and employees appear flexible and there is a general willingness to experiment and change if it will improve case processing and service to the public. In many ways, the Court personnel have taken the growth in stride. In fact, the NCSC project team believes that the Draper Justice Court has tried to maintain a small city-court environment despite the recent surge in growth and filings. Unfortunately with growth and without added resources, procedures that used to work quite effectively are no longer adequate and take too much time. Even with added resources, what works with a small caseload, does not always work with larger ones. The NCSC project team certainly does not advocate assembly line justice but does propose that the Draper Justice Court should strike a balance between older practices and more efficient methods of justice.

Through interviews and personnel questionnaire review, the NCSC project team identified three areas in which the Court could make changes to streamline operations. Those areas include courtroom staffing, clerical procedures, and management. Each issue is discussed in the following sections.

A. Workload and Workflow Trends

The caseload in the Draper Justice Court is growing in relation to population. Court staffing has continued to grow in response to larger caseloads as shown in Table 1.

Table 1. Population, Filing, and Staffing Trends

YEAR	DRAPER POPULATION	CASE FILINGS	COURT STAFF	CASE FILINGS PER FTE
1992	7,454	1,411	1.0 FTE	1,411
1993	7,871	2,276	1.875	1,213
1994	8,484	2,590	2.175	1,190
1995	9,543	2,897	2.375	1,219
1996	11,228	3,019	2.875	1,050
1997	14,235	3,157	3.125	1,010
1998	17,669	4,238	3.125	1,356
1999	20,713	5,644	3.375	1,672
2000	25,220	8,505	4.525	1,879
				Avg. 1,333
				Median 1,219

NOTE: The term FTE refers to full-time equivalent and refers to an employee's position as a decimal equivalent. Thus a full-time employee is 1.00 FTE, a three-quarter-time employee is .75 FTE and a half-time employee is .50 FTE.

The caseload has increased dramatically over the past three years. It is up 68 percent from 1998 to 2000, while population has increased 43 percent. In the year 2000 the Draper Justice Court averaged 648 filings per month. Table 2 indicates the trends in filings per month from 1996 to 2000. Table 3 shows the year 2000 caseload by type of case.

Table 2. Average Monthly Filings By Calendar Year

YEAR	AVERAGE FILINGS PER MONTH
1996	269
1997	295
1998	385
1999	424
2000	648

Table 3. Year 2000 Caseload Breakdown

CASE TYPE	NUMBER	PERCENTAGE
Small Claims	27	Less than 1%
DUI	36	Less than 1%
Moving Traffic	3,756	44%
Non-moving Traffic	3,263	38%
Assault	38	Less than 1%
Theft	35	Less than 1%
Drug and Alcohol	126	1%
Animal and Ordinance	128	1%
Failure to Appear	1,096	13%
	Total 8,505	

On average, the Court staff has processed 1,333 cases per FTE over the past nine years. The median number of cases processed per FTE during the same period is 1,219. An average of these two figures is 1,276 cases processed per FTE. Currently the staff of the Court totals 4.525 FTE, which includes all full-time and part-time staff. Using the 1,276 cases processed per FTE as an internal standard, the office could utilize the services of a minimum of two more full time clerical staff as shown below.

- A. $\frac{8,505 \text{ cases for year 2000}}{1,276 \text{ cases processed per FTE on average}} = 6.665 \text{ estimated optimum staffing}$
- B. $\begin{array}{l} 6.665 \text{ FTE projected} \\ -4.525 \text{ current FTE Staffing} \\ \hline 2.140 \text{ estimated staffing deficiency} \end{array}$

This calculation on the staffing deficiency in Draper Justice Court does not tell the whole story on what should be the optimum number of staff. It is only one approach in determining appropriate staffing. The NCSC project team determined during the on-site visit that Court staff were not being used as efficiently as they could, particularly in the use of courtroom clerks, bailiff, and forms preparation for case files. If staff are used more efficiently, as indicated below, an additional .80 FTE could be gained through reassignment of work.

As indicated above, more efficient use of Draper Justice Court support staff could result in a gain, without additional expense, of .80 FTE. This gain would come from work task reassignments to achieve better staff utilization and eliminate redundant work.

B. Courtroom Staffing

Staffing the courtroom function of the Draper Justice Court needs to be addressed. For the court sessions visited by the NCSC project team, which included pretrial hearings, a civil ordinance bench trial, and a criminal jury trial, the clerk of the court/court administrator, a deputy clerk, and a bailiff attended the courtroom. Based on the experience of NCSC in other limited jurisdiction courtroom settings, only one clerk and one bailiff are necessary. Therefore NCSC makes the following recommendations for courtroom staffing.

Recommendation 1: One clerical position should attend court sessions to assist the judge. Duties would include handing files to the judge, swearing witnesses, marking exhibits, and noting case dispositional information. This clerical support should not be the clerk of the court/court administrator, but should be a senior-level clerical assistant who has the requisite training and experience to assume full courtroom duties.

Recommendation 2: The bailiff should assume the duties that the second courtroom clerk now performs. These duties include: (1) handing the judgment of conviction form to the defendant, (2) obtaining the signature of the defendant and giving a copy of the following signed forms to the defendant (a) Minute Entry, (b) Enhancement Form, (c) Rights Sheet, (d) Plea of Abeyance.

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the management and supervision of the court support functions and court personnel.

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- (1) Reassigning of clerical duties to conform to the recommendations of NCSC with regard to courtroom staffing.
- (2) Addressing computer automation problems associated with the manual typing of court forms including the Minute Entry Form, the Plea of Abeyance Agreement Form, the Judgment of Conviction Form, the Penalty Enhancement Form, and the Payment Owed Form, all of which are necessary to complete a case file for court use. The data elements for the forms are already entered into the Court's computer system but currently cannot be retrieved from existing software thus necessitating the duplicate manual typing of data elements by a clerical position for approximately 60 percent of the work time of the position. This duplicate typing duty in turn has caused a delay in the data entry of citation information. This delay is currently estimated to be 10 – 14 days. More information on the manual typing tasks follows in the next section.
- (3) Addressing the computer automation deficiencies identified in the 1999 state audit report. This will involve close cooperation with the Court's software vendor and the city department of finance.
- (4) Setting up a court fine collections program.

The reassignment of staff work and the automation of the manual typing tasks should be done before any new staff members are hired (except for a fine collection position mentioned later in this *Final Report*). After the staff reassignments are made, the need for additional staff should be reassessed based on the backlog of work, if any.

C. Duplicate Entry of Basic Case Information

One position in the clerk's office manually types, on a typewriter, a series of NCR forms for use by the judge in disposing of a case. The data elements typed in on these forms include:

- Minute Entry Form: (1) defendant's name, (2) charges, (3) docket number, (4) date, and (5) attorney's name

- Plea in Abeyance Agreement Form: (1) defendant's name, (2) case number, (3) charges, (4) date of offense, and (5) date of agreement
- Judgment of Conviction Form: (1) city of Draper, (2) defendant's name, (3) docket number, (4) date of birth of defendant, (5) date of judgment, (6) charges, and (7) date of offense
- Penalty Enhancement Form: (1) defendant's name and (2) date of signing form
- Payment Owed Form: (1) docket number and (2) defendant's name

These data elements have already been entered from citations or charging documents to form the basis for the docket sheet. Thus the duplicate, manual, typing of these data elements is double work. If the clerk who is doing this work is relieved of this task by automating the form generation function, the time gained can be used for other work that is falling behind, particularly the data entry of citation information that is currently 10-14 days behind.

IV. FINANCIAL MANAGEMENT

A. Court Budget

As the caseload and staffing levels have increased over the years the size of the court budget has also increased. Over the past four years the budget amount authorized by the City Council has gone up from \$94,700 in 1996 to \$179,250 in 2000 an increase of 89 percent. When analyzed in terms of cost per case processed, it appears that costs have remained relatively the same—from \$29.42 per case in 1996 to \$30.73 in 1998 and \$27.60 per case in 1999. Note that there was one year (1997) when the cost per case increased substantially to \$34.24; however, during the last year (2000), the cost per case has dropped significantly. This information is shown in Table 4.

**Table 4. Budget Amounts and Cost Per Case
1992 – 2000**

YEAR	BUDGET	ACTUAL EXPENSE	CASE FILINGS	COST PER CASE
1992	\$ 60,400	\$ 61,988	1,411	\$43.93
1993	60,065	59,663	2,276	26.21
1994	75,450	72,682	2,590	28.06
1995	97,214	77,434	2,897	26.72
1996	94,700	88,841	3,019	29.42
1997	116,700	108,105	3,157	34.24
1998	134,550	130,270	4,238	30.73
1999	156,400	155,815	5,644	27.60
2000	\$179,250	\$177,320	8,505	\$20.84

Once the Court's budget is established for the year, the Court is responsible for keeping its expenditures within the authorized amount. As Table 5 indicates the Court has ordinarily been able to operate within its budget.

Table 5. Court Budget Authorizations and Actual Expenses

YEAR	BUDGET	ACTUAL EXPENSES	PERCENTAGE OF BUDGET ACTUALLY EXPENDED
1992	\$ 60,400	\$ 61,988	102.6
1993	60,065	59,663	99.3
1994	75,450	72,682	96.3
1995	97,214	77,434	79.6
1996	94,700	88,841	93.8
1997	116,700	108,105	92.6
1998	134,950	130,270	96.8
1999	156,400	155,815	99.6
2000	\$179,250	\$177,320	98.9

B. Revenue

Over the past four years the amount of revenue generated by the Court has grown dramatically both overall and for the city of Draper. Total Court revenue increased from \$165,868 in 1996 to \$504,403 in 2000. Revenues for the city of Draper increased from \$105,995 in 1996 to \$351,600 in 2000. Tables 6 and 7 show these revenue increases.

Table 6. Revenue Per Case and FTE

YEAR	TOTAL COURT REVENUE	COURT FILINGS	REVENUE PER CASE	STAFF SIZE (FTE)**	REVENUE PER FTE
1996	\$ 166,868	3,019	\$55.27	2.875	\$ 58,041
1997	218,762	3,157	69.29	3.125	70,003
1998	306,741	4,238	72.37	3.125	98,157
1999	334,594	5,644	59.28	3.375	99,138
2000	\$ 504,403	8,505	\$59.30	4.525	\$111,470

**Does not include judge

**Table 7. Court Revenues and Expenses
1992 – 2000**

<u>YEAR</u>	DRAPER REVENUES	ACTUAL EXPENSES	EXCESS OF REVENUE OVER EXPENSES	REVENUES AS A PERCENTAGE OF EXPENSES
1992	\$ 77,610	\$ 61,988	\$ 15,622	125.2
1993	76,615	59,663	16,952	128.4
1994	87,325	72,682	14,643	120.1
1995	101,346	77,434	23,912	130.8
1996	105,995	88,841	17,154	119.3
1997	129,107	108,105	21,002	119.4
1998	186,383	130,270	56,113	143.0
1999	220,370	155,815	64,555	141.4
2000	\$351,600	\$177,320	\$174,280	198.2

Table 8 shows costs and revenues per case. For the past five years the Court has consistently performed so that revenues per case are greater than costs per case. On average, revenues per case have outdistanced costs per case by \$34.53. As staff have been added to the Court over the years, the revenue per FTE has increased from \$58,041 in 1996 to \$111,470 in year 2000. This is shown in Table 6.

Table 8. Costs and Revenues Per Case

YEAR	COSTS PER CASE	REVENUES PER CASE	DIFFERENCE
1996	\$ 29.42	\$55.27	+25.85
1997	34.24	69.29	+35.05
1998	30.73	72.37	+41.64
1999	27.60	59.28	+31.68
2000	20.84	59.30	+38.46
Avg.	\$28.57	\$63.10	+34.53

C. Additional Fine Revenue to Accrue to the City

Beginning in September 2001, the city of Draper prosecutor will begin prosecuting Utah Highway Patrol cases. Prior to this time the Draper Justice Court was the only local justice court where the district attorney's office prosecuted Utah Highway Patrol cases. Based on a letter agreement dated September 4, 2001, the Draper city prosecutor will not only prosecute the cases, but the revenue generated by such cases will now accrue to the city of Draper rather than to the state of Utah.

Based on past revenue patterns provided by the court administrator, the estimated new revenue that will accrue to the city of Draper is approximately \$60,000 annually. The clerical staff work for these cases has been on going in the past so there is no additional clerical cost for processing. The city prosecutor, however, will have to spend additional time prosecuting these cases.

D. Fine Collection and Non-Compliance Practices

As part of the operations assessment of the Draper Justice Court, the NCSC project team examined the fine collection practices.

Many times defendants are given the opportunity to pay fines on an installment basis. If they do not pay according to the schedule ordered by the Court, a court clerk sends a letter to the defendant which indicates that there is an "intent to issue an arrest warrant" for non-payment or for lack of compliance with the Court's order such as failure to attend certain classes or failure to provide proof of a valid driver's license or registration.

NCSC examined available data in reports that showed defendants who have outstanding arrearages for amounts assessed by the Court. The data examined by NCSC covers the period of 1992 to September 27, 2001. These data are shown in Table 9.

Table 9. Court Fine Arrearages By Year and Number of Defendants

YEAR	AMOUNT	NUMBER OF DEFENDANTS	AVERAGE FINE ARREARAGE
1992	\$ 6,786	19	\$357
1993	18,727	32	585
1994	14,555	29	502
1995	16,007	34	471
1996	9,092	23	395
1997	18,481	41	451
1998	17,870	39	458
1999	39,210	92	426
2000	62,793	175	359
2001 to 9/27/01	17,747	49	362
	Total \$221,268		\$437 Average

From the data examined by NCSC, it appears that the Draper Justice Court currently has \$221,268 outstanding in uncollected fines dating back to 1992. The average amount owed by each defendant is \$437. Table 10 sets out for the period 1997 – 2000 the total fines, costs, and surcharges assessed, arrearages, and fines, costs, and surcharge arrearages as a percent of total fines, costs, and surcharges assessed. Over a four-year period fines, costs, and surcharge arrearages, on average, have been about 8.3 percent of the total fines, costs, and surcharges assessed.

Table 10. Fines, Costs, and Surcharge Arrearages, Total Fines, Costs, and Surcharges Assessed, Averages As A Percent of Fines, Costs, and Surcharges Assessed

YEAR	TOTAL FINES, COSTS & SURCHARGES ASSESSED	TOTAL ARREARAGES	ARREARAGES AS A PERCENT OF TOTAL FINES, COSTS & SURCHARGES ASSESSED
1997	\$ 317,000	\$ 18,481	5.8%
1998	384,000	17,870	4.7%
1999	396,680	39,210	9.9%
2000	567,940	62,793	11.0%
	\$1,665,620	\$138,354	8.3%

E. Court Revenues, Fine Arrearages, Total Fines Assessed

1. Fine Collection Issues⁴

The National Center for State Courts has found that there is no national standard collection rate. Each court needs to find its own current level and employ methods to improve it. Some of the issues, which should guide policy making in this area, include:

- What is the court's current collection rate for fines? For restitution? For costs? For appointed counsel fees?
- Can the court generate a list of defendants with outstanding fines and fees?
- How quickly are fines, fees, and restitution posted to court records after ordered payable to the court?
- How quickly are payments posted and warrants quashed?
- Does satisfaction of a judgment require a court order?
- At what point is a debt written off?

Practice Tips:

Continuous Monitoring of Collection Results

In general, an effective information-tracking system should be available to the collection program continuously. Depending upon the court's collection goals, the following information might be generated:

- a. An exception report of cases 30, 60, and 90 days past due. This report tells the court how old its collections caseload is and can be used to trigger application of the next progressively coercive method of enforcement at a predetermined time.
- b. A report showing cases of a specified age or with a lack of activity (addressee moved, no forwarding address). This report can help determine whether a case should be released to a private collection agency or declared uncollectable and written-off.

⁴ For a thorough treatment of this topic readers are directed to *Current Practices in Collecting Fines and Fees in State Courts, A Handbook of Collection Issues and Solutions* National Center for State Courts, 1995.

- c. The number of pending open fine accounts, including the age and status of the case.
- d. Average/median times required to collect in full by case type.
- e. The number of collection letters that have been returned undelivered.
- f. The number of accounts closed in a month and year.
- g. Total monies received, including locally retained funds and funds mandated by the state.
- h. The number and percentage of cases in which fines have been fully collected within specific periods of time following their imposition (i.e., 1-7, 8-14, 15-21 days, etc.).
- i. Percentage of total amount imposed that has been collected by month and year, to determine the seasonal pattern.
- j. Number and amount of payments collected by specific procedures.
 - (1) mail-in payments
 - (2) payments at the counter
 - (3) reminder notice for delinquent payments and the payments received
 - (4) phone notification and the payments received
 - (5) bench warrant issued

The NCSC project team recommends that the court administrator seriously consider hiring one new full-time position to assist in setting up and monitoring a court collection program. A checklist is provided in *Appendix A* to assist in getting this Court started on a formal collections program.

Recommendation 7: The court administrator should seriously consider hiring one new position to assist in setting up and monitoring a court collection program.

V. HUMAN RESOURCE ISSUES

In the Draper Justice Court, like most public organizations that are service and information-oriented, employees are the most significant resource. Personnel-related costs constitute the majority of the Court's operating budget. Unfortunately, although the workload of the Court has grown over time and dramatically so in the last few years, a comparable number of human resources have not been added to the court system. Improving efficiency and productivity is most definitely a worthwhile goal, especially when resources are short. It is equally important, however, to ensure that the Court has a *realistic* number of clerical staff to complete the tasks at hand; that court staff members are classified and compensated fairly; and that all staff members have a clear understanding of the policies and procedures that the Court uses to make personnel management decisions.

The NCSC project team conducted a broad and general analysis of Court personnel and staffing issues at the Draper Justice Court. Through interviews with Court administration and staff, and after reviewing the personnel questionnaires, it became apparent that the leadership of the Draper Justice Court is acutely aware of many of the Court's personnel issues. Specifically, the Court recognizes the potential need for additional personnel and the need to reevaluate its processes to maximize operations within existing resources.

A. Job Classification and Pay

The NCSC project team examined the placement of the court clerk job classifications within the city's job classification plan. The table in *Appendix B* indicates that the entry level Court Clerk I is placed at the same pay grade as the Clerk Typist, Grade 3. The NCSC project team strongly recommends that the Court Clerk I be placed at a pay Grade 4 because of the job duties associated with the recall of arrest warrants. One important job classification factor that is taken into consideration when classifying a position is consequence of error. Where the consequences of job error are very significant, the job that is subject to the error is classified higher than other jobs that are somewhat comparable. The consequence of error if the arrest warrants are not recalled is that a defendant may be improperly arrested and jailed. If this happens, the city is open to liability for false arrest and a costly civil suit could ensue.

Typically, an arrest warrant is issued for failure to comply with an order of the court. If, subsequent to the issuance of a warrant, a defendant does comply then it is incumbent upon the court clerical staff to recall the warrant as quickly as possible. If this is not done properly and accurately, a false arrest might occur particularly if the defendant is stopped by law enforcement for a traffic offense and the outstanding warrant list is checked by the officer.

It is doubtful that the clerk typist job classification used by the city of Draper has a duty with this consequence of error; therefore, NCSC believes the court clerk should be one level higher in grade than the clerk typist job class.

Once the Court Clerk I is bumped up one pay grade, the Court Clerk II should also be bumped up one pay grade to retain the existing two-grade spread between the two related job classes of this series.

Recommendation 8: The Court Clerk I should be placed at a pay Grade 4 because of the job duties associated with the recall of arrest warrants. Once the Court Clerk I is bumped up one pay grade the Court Clerk II should also be bumped up one pay grade to retain the existing two-grade spread between the two related job classes of this series.

B. Court Management Training

NCSC also recommends that the court administrator be encouraged to seek management training at the city's expense. The court administrator is a ten-year veteran Court employee who has "grown up" with the Court. She is extremely knowledgeable of court processes and procedures, and should avail herself of available court management training in order to be able to address the escalating management problems associated with a high volume court in a growing population area.

The NCSC project team recommends attendance by the court administrator at its Institute for Court Management (ICM). ICM has developed national education programs to strengthen court administration for thirty years. The Court Executive Development Program (CEDP) is the flagship program of the National Center for State Courts' Institute for Court Management. The only program of its kind in the United States, the

CEDP traces its history to Chief Justice Warren E. Burger's call for improved management of court administration.

The CEDP provides a rigorous, high-quality professional educational experience to court employees pursuing their careers within the judicial branch of government. Admission is open to anyone interested in court management, but managers at the middle and upper levels of the justice system, including court administrators, clerks of court, and judges with management responsibilities, will receive the greatest benefits. Applicants must have a college degree and five years of management experience. Individuals without a degree or the management experience may request a waiver of either requirement in writing.

More information on ICM and the Court Executive Development Program can be obtained from the National Center for State Courts in Williamsburg, Virginia.

Recommendation 9: The court administrator should be encouraged to seek management training at the city's expense. The court administrator should enroll and attend the Court Executive Development Program (CEDP) of the Institute for Court Management (ICM).

C. National Association for Court Management

NCSC also recommends that the court administrator become a member of the National Association for Court Management (NACM). This association has over 2000 members from the United States, Canada, Australia, and other countries. NACM provides court management professionals the opportunity to increase their proficiency while working with colleagues to improve the administration of justice.

Recommendation 10: The court administrator should become a member of the National Association for Court Management.

VI. CASEFLOW MANAGEMENT

As the number of filings increases and the personnel resources devoted to the Court remains relatively constant, specialized attention must be made to the management of the cases under the Court's jurisdiction to ensure that access and justice are not sacrificed. One such way to offset problems related to increasing caseloads may be found in adopting caseflow management philosophies and techniques. Caseflow management has been defined as the coordination of court processes and resources to move cases timely from filing to disposition regardless of the type of disposition.⁵ The objective of caseflow management is to create a system that is predictable, sets expectations, and assures that the required actions in each case are always taken.

A. Methodology

A coordinated approach to measuring caseflow management in the courts was first suggested in the book, *Changing Times in Trial Courts*, published by the National Center for State Courts.⁶ The caseflow management systems of eighteen urban courts were examined, and the work extrapolates from their successes and failures the key factors contributing to timely and just resolution of civil and criminal cases. Although the courts in the study were not limited jurisdiction courts, the successful application of caseflow management principles to limited jurisdiction courts nationally has proven their effectiveness and appropriateness for consideration by the Draper Justice Court. The ten dimensions identified as important to successful caseflow management include:

- Leadership
- Goals
- Information
- Communications
- Caseflow Management Procedures
- Judicial Responsibility and Commitment
- Administrative Staff Involvement
- Education and Training
- Mechanisms for Accountability

⁵ Solomon, M. and Somerlot, D., *Caseflow Management in the Trial Court: Now and For the Future*, (Chicago, IL: American Bar Association, 1987).

⁶ Mahoney, Barry, Alexander Aikman, Pamela Casey, Victor Flango, Geoffrey Gallas, Thomas Henderson, Jeanne Ito, David Steelman and Steven Weller, *Changing Times in Trial Courts, Caseflow Management and Delay Reduction in Urban Trial Courts*, (Williamsburg, VA: National Center for State Courts, 1988).

- Backlog Reduction/Inventory Control.

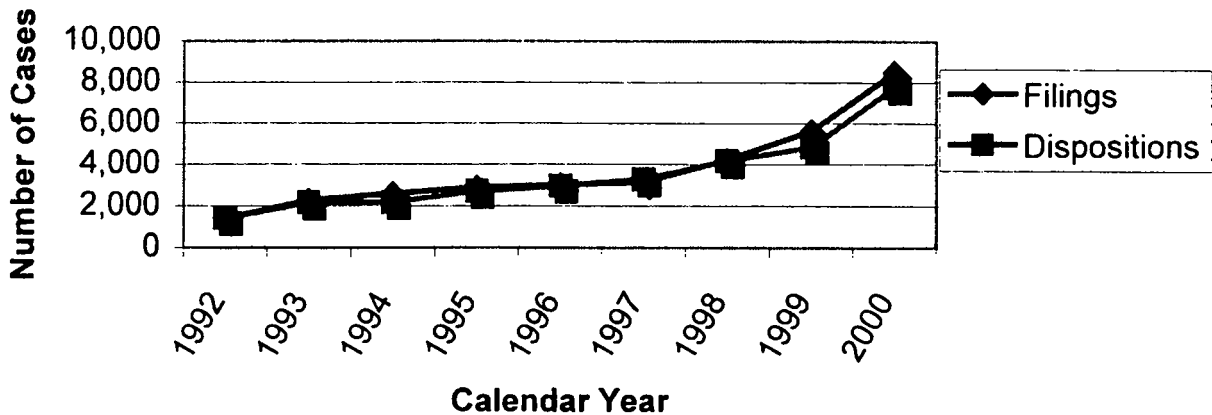
Within this framework, the NCSC project team analyzed the caseflow management practices of the Draper Justice Court. To accomplish the caseflow management analysis, the NCSC project team administered a caseflow management and a self-assessment questionnaire and made a site visit to the Draper Justice Court to collect information about case processing. During the site visit, project staff interviewed court leadership and stakeholders in case processing. Additionally, the project staff reviewed court calendars and dockets, statutes, as well as various management information reports provided by the Court.

B. Overview of the Current Situation

1. Trends in Pending Caseload Size

While the number of judges (.5 FTE) and court personnel have remained relatively constant, case filings within the Draper Justice Court increased annually from 1992 (1,411) to 2000 (8,505). This represents a 502 percent increase within the nine-year period. The greatest increase during that period is evident from 1992 to 1993 in which total filings jumped by 61 percent and from 1999 to 2000 in which total filings rose by 51 percent. Figure 1 that follows indicates the filing trends for the nine-year period of 1992 through 2000.

**Figure 1. Filings and Disposition Trends
Draper Justice Court (1992-2000)**



2. Trends in Dispositions and Clearance Rates

In addition to understanding trends in filings, it is important to know how well a court is keeping current with its incoming caseload. A good measure of this Court's performance in this area is to assess the case clearance rate.⁷ In addition to the number of filings, Figure 1 illustrates the total number of dispositions processed by the Draper Justice Court for the same nine-year time period. During 1992 through 1998, the Draper Justice Court disposed of approximately the same number of cases as those filed. In fact, in 1992 and 1997 the Court disposed of more cases than those filed. In 1999 and 2000, however, filings began to outpace dispositions by 15 percent in 1999 and nine percent in 2000.

To calculate a court's clearance rate, the number of cases that are disposed within the year are divided by the number of filings, as depicted in Table 11. In theory, the Draper Justice Court should dispose of at least as many cases as are filed each year; meaning that the Court should have a clearance rate of 100 percent or higher. If the Court is disposing of fewer cases than are filed each year, a growing backlog is

⁷ See Bureau of Justice Assistance and National Center for State Courts, *Trial Court Performance Standards with Commentary* (Washington, DC: US Department of Justice, 1997).

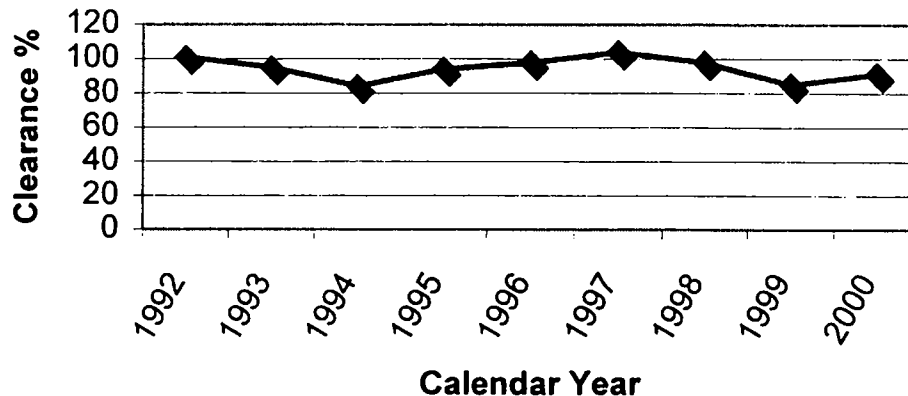
inevitable. If the Court is keeping pace with its incoming cases, the ratio of disposed cases to filings will be close to 1.0 (or 100%). If the Court is not keeping up with its incoming caseload, the ratio of disposed cases to filings will be less than 1.0 (or less than 100%). Generally, a ratio less than 1.0 (or less than 100%) will indicate that a backlog is developing or that an existing backlog is increasing.⁸ This backlog phenomenon is increasing as a result of the lowered filing to disposition clearance rates in 1999 and 2000.

Table 11. Ratios of Dispositions to Filings (Clearance Rates) Draper Justice Court 1992-2000									
Year	1992	1993	1994	1995	1996	1997	1998	1999	2000
Total Filings	1,411	2,276	2,590	2,897	3,019	3,157	4,238	5,644	8,505
Total Dispositions	1,423	2,157	2,180	2,710	2,956	3,290	4,170	4,841	7,774
Clearance Ratio	1.01	.95	.84	.94	.98	1.04	.98	.85	.91

Figure 2 that follows illustrates clearance rate trends for the Draper Justice Court during 1992 through 2000. These trends indicate a growing backlog of cases in the most recent two-year period. As stated previously in this *Final Report*, the city of Draper has undergone significant growth in the last several years, which in turn, has affected the business of the Court. Filings have increased; however, staff and processes have remained relatively constant. These clearance percentages are a baseline reflecting current filing and disposition trends without regard to ideal court operations and practices. Saturation is, however, evident.

⁸ *Ibid.*

**Figure 2. Clearance Percentage
Draper Justice Court (1992-2000)**



C. Self-Assessment Results

NCSC project staff distributed caseflow management self-assessment questionnaires to the Draper Justice Court judge, court administrator, court personnel, and other system participants such as prosecutors and public defender. In total, two fully completed responses were received from the eight distributed, a 25 percent return rate. Those who did not complete the questionnaire indicated a lack of information and familiarity with the questionnaire's subject matter. Although the response rate was somewhat low, those who did respond were in the best position to speak of the Court's caseflow management efforts. At first, due to the low response rate, the NCSC project team questioned the usefulness of including the questionnaire results in this caseflow management discussion. It was then decided that the value of the questionnaire results was in the establishment of baseline information. Once fundamental caseflow management processes are incorporated into the operations of the Court, the baseline information will help to calculate change in attitudes, behavior, and caseflow management techniques. See *Appendix C* for a copy of the questionnaire, including a tabulation of the mean responses to the survey.

1. The Questionnaire Itself

The lead authors of the questionnaire – Barry Mahoney and Maureen Solomon – are nationally recognized caseload management experts.⁹ The survey presents 65 statements representing different indicators that are generally present in trial courts that have successful caseload management programs. The 65 specific indicator statements represent an “ideal” set of characteristics, and those completing the self-assessment questionnaire indicate, by their responses, how closely they believe their court’s actual caseload management efforts approach such an “ideal” level. If all survey respondents in a court gave their court a “5” rating for all 65 statements in the questionnaire, that would indicate a consensus that the court has a superbly effective caseload management operation. If all respondents gave a “1” rating for every statement, the result would suggest that they consider their court to be in critical need of caseload management improvements. A “4” suggests that respondents give their court a generally positive rating; a “3” suggests mixed performance; and a “2” indicates less-than-satisfactory performance.

2. Overall Results of Self-Assessment by the Draper Justice Court

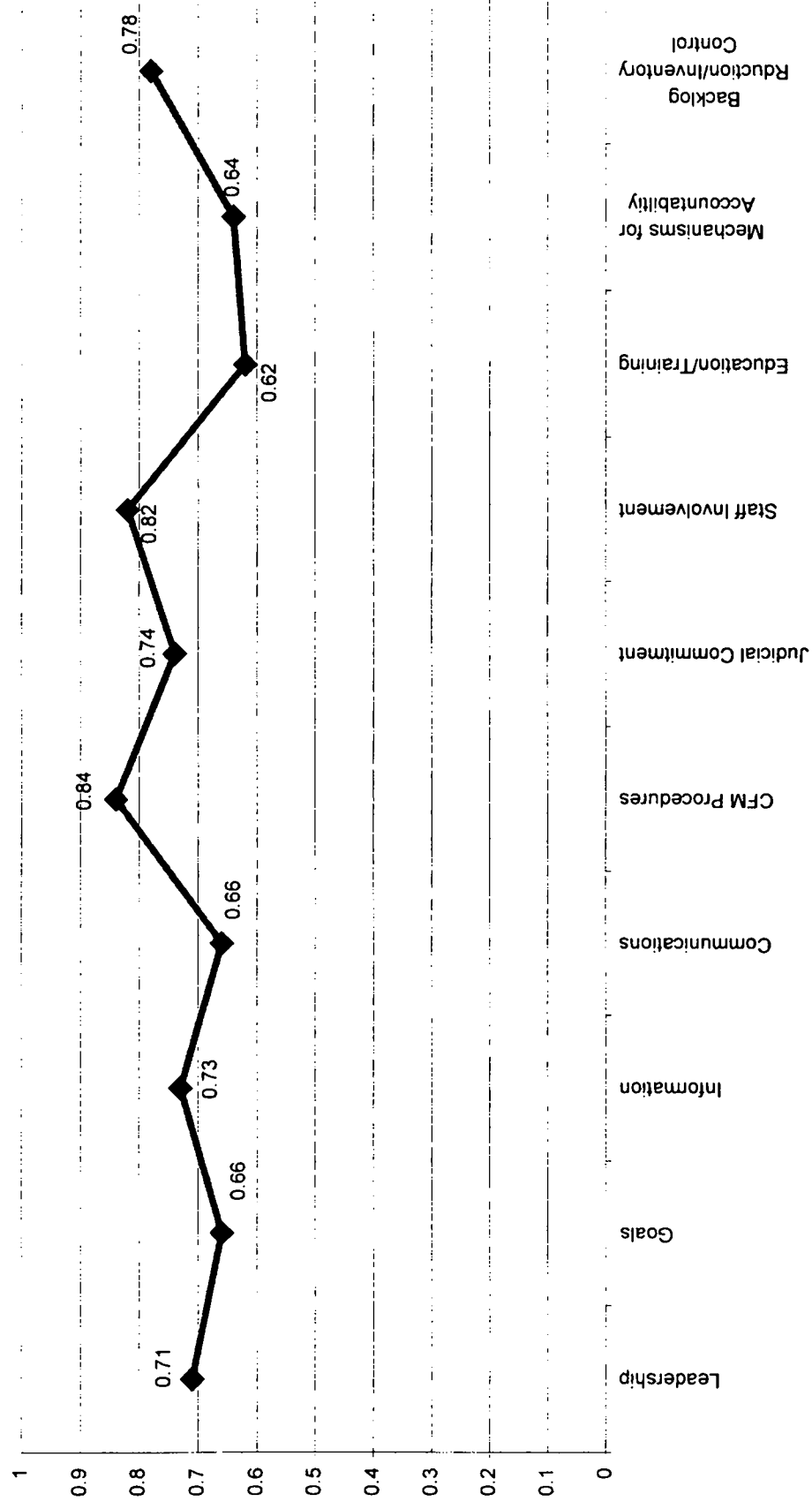
The overall results of the self-assessment by the respondents in the Draper Justice Court are somewhat informative in helping to assess a baseline for future comparison. To score the self-assessment questionnaire, the 65 indicator statements are organized under the ten broad categories¹⁰ of successful caseload management programs and then tabulated. If survey respondents were to give themselves maximum scores for each indicator statement under any of these categories, the Court would receive a maximum score of “1.000” on the scoring sheet for the self-assessment survey. The more they considered themselves to depart from the “ideal” under any category, the further their score for that category would depart from a “perfect 1.000” score.

⁹ Ms. Solomon has authored two of the best-known monographs on caseload management: Maureen Solomon, *Caseload Management in the Trial Court* (Chicago: American Bar Association, 1973), as well as Maureen Solomon and Douglas Somerlot, *Caseload Management in the Trial Court: Now and For the Future* (Chicago: American Bar Association, 1987). Dr. Mahoney was the lead author of a major study of the pace of litigation in urban trial courts: Mahoney, et al., *Changing Times in Trial Courts*.

¹⁰ These categories include: (1) Leadership, (2) Goals, (3) Information, (4) Communication, (5) Caseload Management Procedures, (6) Judicial Commitment, (7) Staff Involvement, (8) Educational Training, (9) Mechanisms for Accountability, and (10) Backlog Reduction/Inventory Control.

Figure 3 illustrates the calculated mean response within each category. The mean is a statistic that moves away from individual responses and illustrates the reactions of the respondents as a whole. Inasmuch as a mean is a mathematical artifact, the mean scores are provided as a tool to assess the extent that respondents consider the Draper Justice Court is to approaching the “ideal” suggested by the authors of the survey. In some instances, opinions varied widely for the respondents within each category while in other instances, the respondents were equally split in their opinions. The category with the greatest area of response divergence was “mechanisms for accountability” with a high score of 1.0 and a low score of .28. The response range is the narrowest in the category of “goals” which indicates consensus on how the Court is performing with respect to caseload management goals, whether it be positive or negative.

Figure 3. Draper Justice Court Self-Assessment Questionnaire Results: Mean Responses



The three areas in which survey respondents considered themselves to be doing well were the following:

- Caseflow Management Procedures (0.84 of a possible 1.000)
- Staff Involvement (0.82 of a possible 1.000)
- Backlog Reduction/Inventory Control (0.78 of a possible 1.000)

These are areas in which the Draper Justice Court has the greatest reason to be proud of its achievements in the management of its cases.

There are three further areas in which the collective self-assessment yielded somewhat less satisfactory scores, suggesting that the survey respondents view their current operation as being in only mixed “proximity” to the “ideal” described in the indicator statements:

- Judicial Commitment (0.74 of a possible 1.000)
- Information (0.73 of a possible 1.000)
- Leadership (0.71 of a possible 1.000)

In these areas, there is need for improvement if the Draper Justice Court adopts the “ideal” indicator statements as desirable for the management of their cases.

For the final four categories shown in the self-assessment scoring sheet, Draper Justice Court respondents were in broad agreement that they depart from the ideal reflected in the survey’s indicator statements:

- Goals (0.66 of a possible 1.000)
- Communications (0.66 of a possible 1.000)
- Mechanisms for Accountability (0.64 of a possible 1.000)
- Educational Training (0.62 of a possible 1.000)

If the Draper Justice Court wants to improve the quality of its caseflow management, the self-assessment survey suggests that these are the four areas to which the greatest attention should be given.

D. Strategies to Manage Caseflow

The Draper Justice Court is in the infancy stage of developing its caseflow management plan. The issue of caseflow management is before the Court as an opportunity to enhance case output and maximize case processing within existing judicial and non-judicial resources. The NCSC project team is abundantly aware of where the Draper Justice Court stands. The recommendations of the NCSC project team are compared to the predominant national performance standards; proven by research to be critical to effective caseflow management, within the context of a newly emerging caseflow management program. Therefore, recommendations will center on developing and implementing a caseflow management foundation and are based upon the analysis of interview responses, questionnaire results, case statistics, and documents about the Court's handling of cases.

The analysis contained herein is presented within the framework of the previously identified and applicable caseflow management principles and the *Trial Court Performance Standards*. In 1990, the Commission on Trial Court Performance Standards developed 22 standards involving access to justice; expedition and timeliness; equality; fairness and integrity; independence and accountability; and public trust and confidence.¹¹ It is to these standards that trial courts should aspire. Performance Area 2: Expedition and Timeliness contains the standard and measures most closely related to the proposition of caseflow management:

Standard 2.1: Case Processing- The trial court establishes and complies with recognized guidelines for timely case processing while at the same time, keeping current with its incoming caseload.

- **Measure 2.1.1: Time to Disposition**
- **Measure 2.1.2: Ratio of Case Dispositions to Case Filings**
- **Measure 2.1.3: Age of Pending Caseload.¹²**

¹¹ See Bureau of Justice Assistance and National Center for State Courts, *Trial Court Performance Standards with Commentary* (Washington, DC: US Department of Justice, 1997).

¹² *Ibid.*

1. Goals

The type of goal usually associated with caseload management involves the implementation of time standards for case dispositions. Standard 2.1 of the *Trial Court Performance Standards* states that an optimally functioning trial court “establishes and complies with recognized guidelines for timely case processing while, at the same time, keeping current with its incoming caseload.”¹³ If a disposition is unduly delayed, the fact that the decision of the court is based upon sound legal principles may not overcome the injustice to the parties, which results from the delay.

The American Bar Association, the Conference of Chief Justices, and the Conference of State Court Administrators have all urged the adoption of time standards for expeditious case processing. It appears that there are no formal or informal time certain case processing time standards within the Draper Justice Court. All interview respondents agreed, however, that time standards are important and should be developed.

Recommendation 11: To best plan for and measure the success of caseload management strategies, the Draper Justice Court should formalize time standards for all criminal and civil cases. The Court’s time standards should be published as part of its written caseload management plan. Such standards should be comparable to those of the American Bar Association¹⁴ (i.e., in misdemeanor cases, 90% of all misdemeanor cases should be concluded within 30 days and 100% of cases should be disposed of within 90 days. In civil matters, 90% of all civil cases should be settled, tried or otherwise concluded within 12 months of the date of case filing; 98% within 18 months of such filing; and the remainder within 24 months of such filing).

The adoption of case-processing time standards reflects a commitment to timely completion of these cases as an important goal. In operation, time standards serve several other important ends:

- Motivation. By providing goals for the judge and other participants in the court process to achieve both in managing caseloads and concerning individual cases, time standards are motivators.

¹³ See Bureau of Justice Assistance and National Center for State Courts, *Trial Court Performance Standards with Commentary* (Washington, DC: US Department of Justice, 1997).

¹⁴ See *Standards Relating to Court Delay Reduction*, Conference of State Trial Judges Committee on Court Delay Reduction, (Chicago: American Bar Association, 1985), Sec. 2.52A.

- Measurement. Time standards provide yardsticks for measuring management effectiveness, serving as benchmarks for determining whether the pace of court proceedings is acceptable.
- Management. Time standards provide a starting point for developing specific procedures to meet the goals they set forth.
- Information System Development. Time standards are useful only if the judge, court administrator, and other participants in the court process receive information on the extent to which they are being achieved; and such standards should lead to the development of systems for monitoring caseload status and progress toward caseflow management goals.¹⁵

Adoption and implementation of time standards is also likely to have an impact on the assessment of court resource needs for judges and non-judge personnel. There is ample evidence that case-processing times do not relate to the size of a court or its caseload per judge,¹⁶ and that adding new permanent judgeships is not the only possible cure for court delay.¹⁷ Yet, even courts that process cases quickly can reach a "saturation point," at which they cannot absorb and process more cases without additional judicial or non-judicial staff resources.¹⁸ In a setting where the court is managing its caseflow, time standards help to highlight the level of its judicial and non-judicial personnel needs.

It should also be noted that time standards are not the only type of goal appropriate to caseflow management and the *Trial Court Performance Standards* suggest three additional measures other than time to disposition to determine a court's commitment to expedition and timeliness.¹⁹ Other courts have adopted goals or guidelines such as the ratio of dispositions to filings, the ratio of continuances to cases

¹⁵ See Barry Mahoney, et al., *Planning and Conducting a Workshop on Reducing Delay in Felony Cases. Volume One: Guidebook for Trainers* (Williamsburg, VA: National Center for State Courts, 1991), page P5-3. This discussion of standards is as applicable to civil cases as it is to felony matters.

¹⁶ National research on court delay reduction has consistently shown that disposition times are unrelated to the size of a court or the number of filings per judge. See Church, et al., *Justice Delayed*, pp. 21-24; Mahoney, et al., *Changing Times in Trial Courts*, p. 46; and John Goerdt, et al., *Examining Court Delay* (Williamsburg, VA: National Center for State Courts, 1989), pp. 26-30 and 71-75.

¹⁷ Barry Mahoney, Larry Sipes and Jeanne Ito, *Implementing Delay Reduction and Delay Prevention Programs in Urban Trial Courts: Preliminary Findings from Current Research* (Williamsburg, VA: National Center for State Courts, 1985), p. 30.

¹⁸ See Goerdt, et al., *Examining Court Delay*, p. 30.

¹⁹ In addition to the time to disposition standard to assess case processing, the *Trial Court Performance Standards* suggest that courts evaluate ratio of case dispositions to case filings, age of pending caseload and certainty of trial dates. See Bureau of Justice Assistance and National Center for State Courts, *Trial Court Performance Standards with Commentary* (Washington, DC: US Department of Justice, 1997).

set, the length of continuances, and/or the number of dispositions per FTE judicial position. In general, the NCSC project team recommends that the Draper Justice Court consider a continuum of performance goals and adopt those that fit within its current reporting scheme to start.

2. Information

A court that has adopted standards for the timely disposition of cases must be able to establish regularly how its actual performance compares to its expectations. Having information is critically linked to judicial leadership and commitment as well:

Court leaders who make delay reduction a real priority will want to know whether case processing time standards or goals are being met. Whether or not the court is computerized, they will find ways to get the information necessary to monitor progress.²⁰

The Draper Justice Court generates annual and monthly reports on the number of cases filed and disposed. These statistics, however, point primarily to caseload information rather than caseflow information; answering the question of how many cases are processed rather than how long it takes to process cases. According to the court administrator, there are limitations to the current automated reporting mechanisms concerning case age at disposition and pending inventory case age. In responses to the caseflow management self-assessment questionnaire, respondents gave satisfactory answers about the extent to which caseflow management information is readily available and regularly used.

Recommendation 12: As part of its ongoing caseflow management efforts, the Court should review monthly information about the age of cases at disposition and case age of the pending caseload, in addition to information about total filings, pending cases, and dispositions. This caseflow management information should be provided as part of the management reports regularly generated by the Court's automated case information system. In the event that such information is not readily available in the near future, periodic manual tabulations by case sampling should be conducted to assess the age of cases at disposition and age of the pending caseload.

²⁰ Mahoney, et al., *Changing Times in Trial Courts*, p. 200.

While information is vitally important for effective caseload management, it is possible to suffer from "information overload." To avoid such overload, the judge and court administrator of the Draper Justice Court ought to give attention to the key types of caseload management information:²¹

- Pending caseload information. Operationally, this type of information is of great importance, because it gives a picture of the court's current workload and indicates how many cases are near or exceeding time standards. A useful pending caseload report will show the number of cases pending, both in total and within major case types, as well as the age of pending cases, both from initiation and during significant legal milestones.
- Age of cases at disposition. This should be provided both by case type and by method of disposition. While information on disposed cases is historical by definition, it is extremely valuable because it provides baseline data at the commencement of a delay reduction program; it enables a court to measure its performance in light of time standards; and it facilitates planning for other delay reduction efforts.
- Monthly and annual aggregate data. This includes periodic reports on filings, dispositions, and number of hearings per case. Analysis of such aggregate data is particularly helpful if it is available for a period of several years and can yield information on trends and effectiveness of resource utilization. It can also provide information on filing trends, whether dispositions are keeping pace with filings, and whether hearings per case are increasing or decreasing.
- Reports on open cases. Such reports are basic management aids for the judge and court administrator as a court, as a whole, seeks to manage its cases effectively, providing more detail on specific cases than the summary reports described above. A good "open cases" report will typically list all of the open cases in chronological age order (listing oldest cases first) and with other information about each case, such as docket number; party names; case initiation date; case status, including the date and nature of the last action and of the next scheduled action; names of attorneys; and any special case considerations.

With the reports listed above, the Draper Justice Court can evaluate and monitor the status of the oldest cases on the docket, identify and evaluate problem cases, and identify case types that consistently take longer or need special attention.

²¹ See Mahoney, et al., *Planning and Conducting a Workshop on Reducing Delay in Felony Cases, Volume One*, *supra*, pp. P6-3 through P6-6. While Mahoney and his colleagues focus on felonies, this discussion is equally applicable to the matters heard by the Draper Justice Court.

Information by itself does not solve problems. The Court must use this information to manage cases and caseload by asking key questions.²² The judge should be asking such questions as the following on an ongoing basis:

- Case-related questions. What is happening in this case? How old is it? What is its status? What should be happening next? By when?
- Calendar-related questions. What is the overall status of the Court's calendar? How many pending cases are there, and what is their age and status? What are the oldest cases, and are they beyond the time standards? Why are they old? What needs to be done about them?

For the court administrator, there are different questions to ask to use information effectively for caseload management and delay reduction:

- Overall status of calendar. How many old cases are there? That is, how many cases are pending beyond the time suggested by time standards? What is the "backlog" (the number of cases that cannot be completed within a tolerable time, as defined by the time standards)?
- Troubleshooting questions. Are there problems with particular types of cases? Are there particular procedural bottlenecks?

With such information, the Draper Justice Court should be able to identify problems and determine where caseload management efforts are needed. The steps taken to address problems should be consistent with basic principles of effective caseload management.

3. Inventory Control

Knowledge of the pending caseload is a hallmark of a court that manages its caseload in a businesslike manner. The overall size of the pending inventory should be small enough to permit the Court not only to keep pace with new filings but also to meet time standards. Currently the Draper Justice Court does not know how many cases are pending and the age of these pending cases. Based on limited case management information and anecdotal reports, it appears that cases move fairly quickly to

²² *Ibid.* pp. P6-7 through P6-9.

disposition. Without information about the type of cases and age of cases awaiting disposition, this remains only an assumption.

It is important that any new automated case management technology that may be developed for the Court include options that will provide the court administrator critical caseflow management information. Until a fully functional automated case information system is available, the Court should look for a manual means, such as case sampling, to measure the pending caseload.

Recommendation 13: Any new case management system that may be developed for the Court should include options that will provide the Court with pending caseload information. Until that time, the Court should use manual means, such as case sampling, to measure pending caseload.

4. Judicial Leadership and Commitment

Judicial leadership is a fundamental component to successful caseflow management in a trial court. According to Mahoney, "...it is clear that most of the successful courts have had the benefit of leadership by a [chief] judge with the vision, persistence, personality, and political skills necessary to develop broad support for court policies and programs..."²³ Without the commitment and "buy in" from the judge, particularly in a single-judge court, it is unlikely that any operational changes or caseflow management programs will be successful.

The NCSC project team received favorable information with respect to judicial leadership in the Court. First, the judge is appointed to the bench and serves a four-year term and is subject to reappointment. With a four-year term, there is sufficient time to develop a rapport among the judge, the court administrator, the court staff, court stakeholders, and the members of the bar. Second, the present judge, in conjunction with the court administrator, is already involved in the management of the Court, including establishing policies and procedures.

In the caseflow management self-assessment questionnaire, respondents indicated that leadership within the Court is satisfactory. Additionally, the judge, court administrator, and staff indicated during interviews that there is a general sense of

²³ Mahoney, et al., *Changing Times in Trial Courts*, p.198.

camaraderie between the judge and court personnel. It would not be difficult, it appears, to translate this collegiality into a meaningful dialogue about how the management of cases should be addressed. The judge and court personnel could meet regularly to discuss issues and concerns, achieve consensus, and put caseflow management improvements into practice.

Recommendation 14: Led by the judge, the Draper Justice Court should initiate efforts to develop, refine, and implement caseflow management improvements. This caseflow management framework should be clearly articulated in a written, published caseflow management document developed in consultation with court personnel and members of the bar.

Enhancing the current level of judicial leadership, the Court is likely to develop meaningful ways to improve the manner in which it processes its cases. With the commitment and leadership of the judge, it is likely that any changes to caseflow management will have positive and ongoing effects.

5. Communications

It has been well documented in studies of caseflow management over the past twenty years that open, reciprocal communication among the court and the bar is a critical factor of an effective caseflow management system. Frequent, continuous, and frank communication between the court and the legal community such as the prosecutor, the public defender, and the private bar is essential for the court's case management strategies to succeed. During the site visit to the Court, the NCSC project team met with members of the bar, primarily prosecutors and public defenders, to discuss the purpose of the caseflow management review and to learn their views about the Court's operations. These participants in the court process provided useful perspectives about current caseflow management practices in the Court. Although those interviewed indicated cordial and open relations with the judge and court administrator, the regularity and structure of communications with the Court, as an institution, is limited. Those responding to the self-assessment questionnaire also shared the view that the Court deviated from the "ideal" in this regard rating the Court's communication with the bar about caseflow management policies and procedures as merely satisfactory.

Recommendation 15: The Court should seek the active involvement of the bar in the development of its caseload management plan. Court leaders should meet regularly with members of the bar to exchange feedback on caseload management and court operations.

Reasonable accommodation of the bar by the court is one of the universal concepts that must be recognized in order for a caseload management improvement program to succeed.²⁴ Court leaders must find ways for bar members to express valid concerns with respect to the need for improved court management of cases. In the development of its caseload management design, the court should be mindful of the practical impact of change on lawyer practices and costs to the clients of the private bar. The court will benefit by the involvement of bar members in the development of the caseload management plan because the bar will (a) have greater understanding of the objectives of the plan, and (b) will have greater commitment and fidelity, essentially “buy-in,” to a plan they helped to develop.

6. Administrative Staff Involvement

As noted in *Changing Times*:

“While the commitment of judges is critical...[t]he involvement of court staff members at all levels—from the court administrator through the [Clerk’s Office] and courtroom clerks who handle day-to-day administrative duties for the judge—is essential. One of the striking aspects of the operations of several...successful courts...is the extent to which the non-judicial staff members are aware of the court’s case processing goals and are actively involved in helping achieve them.”²⁵

In developing improvement strategies, the judge and the court administrator should solicit input from the staff and keep them informed of proposed policy and procedural changes. Staff members often are experts in the details of case processing; it would be a mistake not to take advantage of the contributions they can offer.

²⁴ As one distinguished caseload management expert has observed, “The litigation process is not served if lawyers can’t make a reasonable living from litigation. Programs of calendar management which increase the cost of appearance or which force an attorney to choose between clients and court appearances are dysfunctional. The reasonable accommodation of lawyers involves a continuing honest communication link between the courts and the active litigators.” Ernest Friesen, “Cures for Court Congestion,” 23 *Judges Journal* (Winter 1984) 4, at 7.

²⁵ Mahoney, et.al., *Changing Times in Trial Courts*, p. 202.

Recommendation 16: The Court should seek the active involvement of court personnel in the development of its caseload management plan. Court personnel should have an opportunity to indicate the impact of any planned changes in caseload management upon their daily work responsibilities.

In the caseload management self-assessment questionnaire, the issue of administrative staff involvement is addressed. The responses suggest the recognition of the importance of the daily work by court staff members to the Court and the citizens. The responses also suggest that the Court is somewhat satisfied with the level of commitment that court staff members have to their work and to serving the public.

7. Education and Training

Providing education and training about the Court's caseload management improvement program is an important factor in enhancing the likelihood of its success. It helps those in the court process understand why the program is being introduced, and the purposes of the justice system it is intended to address. It also should provide detailed information on how the program is to operate. As a means for communicating about the nature and details of the program with judges, court staff, attorneys, and other institutional participants in the court process, it also serves as a vehicle for engendering greater commitment to the purposes and success of caseload management in the Court. With regard to training, however, the self-assessment questionnaire responses and interviews indicate a less than favorable perception. The responses suggest the following:

- The Court provides little training for judges and staff on caseload management principles and techniques.
- The Court does not have a standard orientation program for new judges and new staff members, in which the Court's policies and expectations regarding caseload management are covered thoroughly.
- The Court does not conduct regular training sessions for practicing lawyers (especially young lawyers) to familiarize them with the court's caseload management policies, procedures, and expectations.²⁶

²⁶ See questionnaire items 8, 30, and 40 in *Appendix C*.

Recommendation 17: Before the Court's caseload management plan goes into effect, the Court should hold informal education and training sessions for staff members and attorneys to explain and discuss the details of the plan. Explanation of the importance, philosophy, and details of the caseload management plan should be part of the orientation for all new staff members serving the Court. The Court should coordinate with the bar to expose members to the importance of caseload management and the details of the Court's caseload management plan.

In the area of caseload management, education and training are critical. Their value for the success of a caseload management improvement program has been set forth in one of the recent reports on the national study of caseload management and delay reduction efforts:

If courts are to manage their caseloads successfully, both the judges and the court staff need to know why and how to do it. Since the whole notion of caseload management is of relatively recent vintage, this is not an area in which there is a great deal of knowledge and experience in most courts. Training is essential to familiarize judges, staff members, and members of the bar with the purposes and fundamental concepts of caseload management and with the specific details and techniques essential to effective case management in the court on a day-to-day basis.²⁷

E. Summary of Caseload Management Issues

A principal goal of this caseload management effort should be the development and institutionalization of an effective and well-communicated program. Once implemented, continuing analysis and refinement of caseload management policies and practices should become a priority for the Court. On-going and careful reexamination of existing philosophies, policies and procedures are required. As filings, court staff, and number of judges increase as anticipated, it will be necessary to refine and take caseload management to a more sophisticated level. For the time being, however, developing the proper foundation should be of the highest import. This includes an increased focus on enhancing the availability of caseload information.

The Draper Justice Court has a tremendous opportunity to exert more control over its caseload, supervise case progress, and administer a more orderly caseload system.

²⁷ Mahoney, et al., *Changing Times in Trial Courts* (1987), p. 203.

The bottom line is that the Court should promulgate a caseflow management policy based on a Court-wide philosophy that incorporates the concept of court responsibility for timely dispositions, set performance standards and objectives, and case management systems that incorporate exemplary practices that achieve the objectives identified. Such steps will help the Court to instill a greater degree of trust and confidence among its citizens that its basic functions are conducted both expeditiously and fairly.²⁸

Formation of a caseflow committee including the judge, the prosecutor, the public defender, the court administrator, and court staff is recommended. Unilateral development of an enhanced caseflow system by the Court almost certainly will fail; a successful effort requires contributions by all who affect and are affected by the caseflow system.

Recommendation 18: To capitalize on the opportunity to exert more control over its caseload, the judge and court administrator of the Draper Justice Court should form a caseflow committee including the judge, the prosecutor, the public defender, the court administrators, and court staff members.

²⁸ See *Trial Court Performance Standards with Commentary*, Standard 5.2.

VII. AUTOMATION AND TECHNOLOGY

As part of the operations and management assessment of the Draper Justice Court, the National Center for State Courts project team conducted a technology assessment. The technology assessment examined issues such as the Court's current office technology, the ability of the Court's current technology to meet current and anticipated needs, additional uses for technology, and issues in upgrading the Court's technology.

At present the level of technology (e.g., work stations, server, network, operating system, and basic office automation tools) in the Draper Justice Court is very up-to-date. The Court's office hardware and software have been upgraded within the last three years. Draper Justice Court staff have desktop computers running the same operating system and version of office automation software. This consistency enhances the ability of staff to share their work between computers and eases information system support duties. Additionally, the city of Draper has established a Local Area Network (LAN) that connects all city agencies.

A. Draper City Information Systems Services and Infrastructure

Currently the Draper City Information Systems (IS) Specialist provides most internal Information Systems services. Some IS services are outsourced, such as installation of network wiring.

1. Equipment Replacement Schedule

The Draper City IS Specialist provided the NCSC project team with the upgrade and replacement schedule for office hardware and software citywide. Currently, the city replaces or upgrades hardware on a two-year cycle. This cycle keeps the hardware in use current and helps to phase in new technology. The upgrade cycle for office automation software is not as formal but occurs roughly every three-four years. The combined effect of these replacement schedules keeps all of the Draper city agencies, including the Draper Justice Court, technologically current.

Recommendation 19: The city should continue with the established replacement and upgrade schedule of standard office automation

hardware and software. The schedule that the city is currently using is very appropriate given the pace of technological change.²⁹

2. Local Area Network

The city has established Local Area Network (LAN) access to all Draper city agencies. Currently the city's LAN consists of two Windows NT servers, an application server and a file and Exchange (e-mail) server, connecting all Draper city agencies using 100Base-T³⁰ Ethernet³¹. Additionally, the city has a Windows NT web server. With the city maintaining the LAN centrally, the Draper Justice Court can be assured that its LAN capabilities will remain compatible with other Draper city agencies. Currently, the Draper City IS Specialist limits access to the Draper Justice Court's case management application to only Draper Justice Court staff. The LAN manager plans to further control access to court applications and directories when a new case management system is installed.

3. Backup

The Draper City IS Specialist has established a backup schedule for the city servers. All data is stored to tape every night. Every Friday, a weekly backup is made that is stored off site. Four successive weekly backups are stored at a safe deposit box. On Friday, the current week's backup is taken to the safe deposit box and the oldest weekly backup is removed. A year-end backup is kept permanently. The on site backup tapes are kept in a media cooler in a fire safe.

Recommendation 20: The city should continue the backup schedule and practices currently in place. The procedures currently used offer exceptional disaster recovery capabilities.

²⁹ See *Appendix D* for the suggested Replacement Schedule.

³⁰ Also called "Fast Ethernet," it is a high-speed version of Ethernet (IEEE 802.3u standard). 100Base-T transmits at 100 Mbps (megabits) per second rather than 10 Mbps. Like regular Ethernet, Fast Ethernet is a shared media LAN. All nodes share the 100 Mbps bandwidth.

³¹ Ethernet. A local-area network (LAN) protocol developed by Xerox Corporation in cooperation with DEC and Intel in 1976. Ethernet supports data transfer rates of 10 megabits per second (Mbps). A newer version of Ethernet, called 100Base-T (or Fast Ethernet), supports data transfer rates of 100 Mbps. The newest version, Gigabit Ethernet supports data rates of 1 gigabit (1,000 megabits) per second.

4. Training

Currently the IS Specialist is taking continuing information technology education courses. The IS Specialist recognizes the need to maintain information technology skills in a rapidly changing field. Additionally, the Draper City IS Specialist should continue to keep current on new developments in office automation to keep the Draper Justice Court and the rest of the Draper city government technologically current.

Recommendation 21: The city should support formal information technology training for the IS Specialist and any future information systems staff. Keeping technical skills current in existing staff is much less expensive than hiring new staff or temporary experts to obtain needed information technology skills.

B. Clerk of Court's Office

All staff in the Clerk of Court's office have virtually the same desktop computers. All of the Clerk's office computers are connected to the city LAN allowing them to access the case management system and to share files. The Clerk's office has several printers connected to the individual workstations. Additionally, the Clerk's office computers connect to the Draper Justice Court's case management system. Some of the computers in the Clerk's office connect to the state information systems to obtain driving and criminal history reports on defendants for the court.

C. Courtroom

The courtroom is equipped with a single desktop computer. The courtroom desktop computer is connected to the Draper City LAN and the Draper Justice Court's case management system. This system is not used during court proceedings.

Recommendation 22: The courtroom computer should be configured to allow the courtroom clerk to perform data entry during court proceedings, such as entering orders including fines, fees, classes, or restitution. This would reduce the number of times data is recorded and reduce the opportunities for the introduction of errors. The courtroom clerk's entries to the case management system should be immediately available for the Clerk's office counter staff and Finance department staff to process individuals when they leave the courtroom. Additionally, the courtroom clerk should be able to perform queries to retrieve information from the automated case

management system and display the results on a monitor positioned for the judge to view.

D. Automated Case Management System

The Court's case management system is rather dated. The Court's case management system is part of a citywide information system developed by Caselle Software. This system allows integration between the Court and the finance department information. The rest of the city departments using the Caselle software have moved to the Windows version. The Court is still using the DOS version of the Caselle software because the IS Specialist feels the Windows court system is not as secure as needed, e.g. no audit trail. The Draper Justice Court and the city plan to update the case management system software and will update the hardware if needed. While the case management system does meet most of the Court's current operating requirements, there are some liabilities. The current database management system is proprietary and not as powerful and flexible as more modern relational database management systems. The current automated case management system provides a limited selection of management reports. Part of the flexibility of relational database management systems is the ease of developing new and ad hoc reports allowing the court to meet new reporting requirements quickly and inexpensively.

Recommendation 23: The Court and City IS Specialist should continue to move forward with the plans to replace the existing court case management system.

The Draper Justice Court and Draper City IS Specialist have determined that the existing automated case management system needs to be replaced. The process of instituting a new automated case management system can be broken down into two phases: selection and implementation. The selection process requires the Draper Justice Court to define case management system requirements and evaluate solutions offered by vendors. The first step is to define the court's functional requirements. Related agencies, such as law enforcement and finance, should be included at this time. An excellent resource for starting to define functional requirements is the functional standards

developed by the Consortium for National Case Management Automation Functional Standards Project.³² To assist the Draper Justice Court in starting to define functional requirements for a case management system *Appendix E* contains a relatively comprehensive list of case management system functional requirements. The document in *Appendix E* is a starting point for the Draper Justice Court to begin developing functional requirements to meet its needs. The list of functional requirements provided in *Appendix E* most likely contains functions the Draper City Court does not need and will not contain functional requirements unique to the Draper justice community, such as data exchange with the finance department and law enforcement. In looking at replacement case management systems, the Draper Justice Court should work with other Draper city departments that they share significant amounts of data with, such as law enforcement and finance. Integration with other agencies can provide opportunities to enhance operational efficiency. The Draper Justice Court may want to approach the vendor, Caselle, with the developed functional requirements to explore enhancing Caselle's current Windows-based case management system offering. The Draper Justice Court will need to prepare a request for proposal to send to vendors based on the definition of the court's functional requirements. The evaluation of responses and proposed systems must be thorough. The Draper Justice Court should use the functional requirements initially developed as a guide in reviewing responses.

Once a case management system has been selected, an evaluation of the hardware necessary to operate the selected system must be performed. While some thought should be given to the city's preferred hardware platform during the functional requirements definition, the selection of the case management system software should not be driven by this hardware preference.

Implementation of a new case management system has several steps. The vendor will need to make any modifications specified in the Draper Justice Court's functional requirements. During this period, the Draper City IS Specialist can install and test the hardware and connectivity. Once the hardware is operating the case management system software will be installed and testing can begin. Once the new case management system is installed, the Draper Justice Court and Draper City IS will need to work together with

³² See <http://www.ncsc.dni.us/NCSC/CTP/HTDDocs/Standards.htm>.

the case management system vendor to migrate existing data from the current case management system to the new case management system and verify the accuracy. Prior to switching to the new case management system exclusively, the Draper Justice Court will want to test the new case management system in parallel with the existing case management system to identify and correct problems.

The replacement case management system should provide for certain capabilities as follows. A more detailed list of recommended capabilities is included in *Appendix E*.

- Integration with standard office automation software, such as merging case management system data in word-processing documents.
- Integration with other agencies, such as city departments and law enforcement.
- Automated letter and form generation directly from the case management system.
- The user interface should provide for both Graphical User Interface (GUI) and text based terminals. The GUI should allow screen navigation with either mouse or keyboard commands.
- The user interface must provide quick entry to allow courtroom staff to keep pace with the proceedings.
- The case management system should use a modern relational database that supports the standard Structured Query Language (SQL) calls from other products. A case management system using a modern relational database supporting SQL would provide enhanced reporting capabilities for users and management.
- Interface with state computer systems to allow single entry of warrants.
- Automate forms processing that is currently done manually.
- Integration between the Draper Justice Court case management system and the city accounting system to ease bookkeeping demands. Any new case management system must be integrated with the existing city accounting system.

E. Training

At present the court staff receive on the job training from other court staff as they receive new duties. The current office automation is standard enough that most staff know how to use it for basic office operations. Court staff learn to use the case management system from existing court staff.

Recommendation 24: The Court should develop a standard training/reference manual for staff. This would be very helpful to new staff and in cross training current staff.

When the court implements a new case management system, training will be needed. The acquisition of a new case management system should include vendor supplied training at the Court's location for all court staff and the city IS Specialist. The Court needs to plan for formal continuing information systems training for staff. The continuing training should cover basic office automation software and the case management system.

Recommendation 25: The Court should have the vendor provide training to all court staff for the new case management system. Additionally, the Court should plan for formal training whenever software used by the Court is upgraded or replaced.

F. Additional Potential Applications and Uses of Technology

This section identifies and briefly discusses several technologies the court should explore.

- Integrate court information systems with law enforcement information systems to receive citation information electronically for case initiation.
- Imaging could be employed in several ways by the court. The citations could be scanned when the officer submits them and the image could be provided to the Draper Justice Court with the transfer of other electronic information. The case file could be stored in electronic image form on the LAN to provide quick access in the courtroom, clerk's office, and judicial chambers. Additionally, the court should consider providing case information using a public service counter or using the Internet. Storing the case file electronically would increase retrieval time of the information while protecting the originals from loss or damage. The small size of most case files and the limited retention schedule makes imaging a potentially useful technology for the Draper Justice Court.
- Public access technologies, such as kiosks, enhanced web presence, or enhanced integrated voice response, could be employed to give the public expanded access to the Court. Additionally, court staff time can be freed from some of these tasks and

applied to more complex issues and tasks. Automated public access technologies could help with the following:

- Looking up general court information, e.g. location, counter hours, and court procedures.
- Looking up a court hearing date.
- Paying fines electronically.
- Locating information about and register for court ordered classes.
- Provide information in multiple languages, in particular Spanish and English.

The Draper Justice Court has shown much foresight in contemplating the use of technology to improve Court operations and services for the residents of Draper. The current level of technology in the clerk's office is more than sufficient to handle the Court's existing office automation needs. The existing office hardware and software is very current and very adequate for the Court's present and near term demands. As the Court's needs increase, the city's replacement cycle should provide the necessary equipment to meet the challenge. Additionally, the Clerk's office hardware should be sufficient to handle any new automated case management system implemented in the future.

The Draper Justice Court and Draper City IS Specialist have determined that the existing automated case management system needs to be replaced. The process of instituting a new automated case management system should begin as soon as possible. The Court should work to define its requirements for an automated case management system. The Draper Justice court is in an excellent position from both the technological and leadership aspects to begin this process.

VII. CONCLUSION

In implementing staffing, workflow, caseflow, and automation changes, some trial and error is necessary. It is important to recognize the resistance to change and to work through it. The recommendations above are based on the NCSC project team's observations of the city of Draper Justice Court. Some may work, but others may need to be experimented with until a more appropriate solution is found.

It is therefore important for all stakeholders in the court system to review this report and make every effort to prioritize and implement the many recommendations contained herein. To achieve this, problem-solving meetings involving a variety of justice system representatives should be held regularly and the results, decisions, and accomplishments from those meetings must be openly, actively, and continually communicated to all interested parties.

It was a pleasure for the National Center for State Courts to work with the judge, administrator, and personnel of the Draper Justice Court.



APPENDICES

APPENDIX A

FINES AND FEES COLLECTION PROGRAM CHECKLIST

Reprinted from

Current Practices in Collecting Fines and Fees in State Courts:

A Handbook of Collection Issues and Solutions

National Center for State Courts, 1995, Williamsburg, VA.

1.2.1 Collection Issues

	1	2	3
Types of Payments Collected:			
Fines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Criminal Fees/Costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Civil Costs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restitution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify) _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accept Immediate Payment By:			
Cash	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal Checks in Person	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Personal Checks in Mail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Money Orders	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cashiers/Certified Checks	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Credit Cards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debit Cards	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bond Forfeitures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Payment Plans and Incentives:			
Colloquy at Bench	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Individualized Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Means Interview	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Installment Payments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Deferred Payments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Early Payment Discounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Late Fees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Surcharges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interest	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Direct Payment Alternatives:			
Traffic School	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Community Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assistance in Finding a Job	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Amnesty	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.2.2 Enforcement Issues

	1	2	3
Telephone Notification:			
Calls by Court Personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Calls by Private Collection Agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Computerized Calls	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mailed Notification:			
Pre-sentencing Information to Defendant or Attorney (amount due at sentencing)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pre-installment-due-date Letters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Past-due Letters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Automated Notices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notice to Out-of-State Drivers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Threat to Notify Credit Bureau	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notice to Credit Bureau	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Collection Aids:

Hand-out Notice on Collections Policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Notices/Signs in Courthouse on Collections Policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lock Box	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
In-house Collection Unit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Private Collection Agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.23 More Coercive Measures

	1	2	3
Suspensions/Non-renewals			
Of Driver's License	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Of Vehicle Registration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Court Hearings			
Payment Status Hearings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Show-Cause Hearings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Arrest Warrants			
Active Service of Warrants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mailed Notice of Warrant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Phoned Notice of Warrant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Door Hanger Notice of Warrant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Publicized Campaign	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Imprisonment			
Weekends	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evenings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Home Confinement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reserved Slots in Jail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wage Actions			
Voluntary Assignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Garnishment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Setoffs (Intercepts)			
Against Tax Refunds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Against Lottery Prizes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Property Seizures			
Garnish or Seize Bank Accounts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Garnish Defendant's Wages	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
File Property Lien for Amount Owed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Booting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

APPENDIX B

CITY OF DRAPER
PAY AND CLASSIFICATION SCALE

10/24/01

Steps Description	RAD Probation												High Bonus
	1	2	3	4	5	6	7	8	9	10	11	12	
Receptionist (PRT) Maintenance Tech	1 \$ 8.40 \$ 8.57 \$ 8.93 \$ 9.30 \$ 9.68 \$ 10.09 \$ 10.29 \$ 10.50 \$ 10.71 \$ 10.92 \$ 11.14 \$ 11.36 \$ 11.59 \$ 11.82												
Clerk Typist Court Clerk I	3 \$ 9.78 \$ 9.95 \$ 10.37 \$ 10.80 \$ 11.25 \$ 11.72 \$ 11.95 \$ 12.19 \$ 12.44 \$ 12.68 \$ 12.94 \$ 13.20 \$ 13.46 \$ 13.73												
Utility/PO Clerk Accounting Clerk Intern Customer Service	4 \$ 10.50 \$ 10.71 \$ 11.16 \$ 11.62 \$ 12.11 \$ 12.61 \$ 12.88 \$ 13.12 \$ 13.38 \$ 13.65 \$ 13.92 \$ 14.20 \$ 14.48 \$ 14.77												
Building Custodian Equip Operator I Court Clerk II Code Secretary Accounting Tech Business Lic. Specialist	5 \$ 11.11 \$ 11.34 \$ 11.81 \$ 12.30 \$ 12.82 \$ 13.35 \$ 13.62 \$ 13.89 \$ 14.17 \$ 14.45 \$ 14.74 \$ 15.03 \$ 15.33 \$ 15.64												
Deputy City Recorder Executive Secretary Legal Secretary Animal Control Officer Equip Operator II Water Meter Tech	6 \$ 11.75 \$ 11.99 \$ 12.49 \$ 13.01 \$ 13.56 \$ 14.12 \$ 14.40 \$ 14.69 \$ 14.98 \$ 15.28 \$ 15.59 \$ 15.90 \$ 16.22 \$ 16.54												
Equip Operator III Public Works Coordinator Payroll Coordinator	7 \$ 12.93 \$ 13.47 \$ 14.03 \$ 14.61 \$ 15.22 \$ 15.82 \$ 16.42 \$ 17.03 \$ 17.65 \$ 18.27 \$ 18.90 \$ 19.54 \$ 20.18 \$ 20.83												
Planner I Info System Tech Parts Supervisor Neighborhood Info. Coord. Comm. Development Coord. Engineering Dev. Coord. Public Works Insp. Engineering Inspector Bridge Insp. II Community Service Officer Fleet Coordinator	8 \$ 15.07 \$ 15.99 \$ 16.66 \$ 17.35 \$ 18.08 \$ 18.83 \$ 19.21 \$ 19.55 \$ 19.98 \$ 20.39 \$ 20.79 \$ 21.21 \$ 21.63 \$ 22.08												
Bigg Insp. III Code Enforcement Official Plans Examiner I Planner II GIS/CADD Parts Manager Senior Accountant	11 \$ 16.51 \$ 16.85 \$ 17.55 \$ 18.28 \$ 19.05 \$ 19.84 \$ 20.24 \$ 20.64 \$ 21.05 \$ 21.46 \$ 21.80 \$ 22.34 \$ 22.79 \$ 23.25												

[illegible]

APPENDIX C

**CASEFLOW MANAGEMENT SELF ASSESSMENT
QUESTIONNAIRE AND RESPONSES**

*The questionnaire and accompanying forms are products of the Urban Court Caseflow Management Improvement Project of the National Center for State Courts, funded by grant no. SJI-90-08H-B-050, made to the National Center by the State Justice Institute. See Barry Mahoney, et al., *How to Conduct a Caseflow Management Review. A Guide for Practitioners* (Williamsburg VA: National Center for State Courts, 1994), Appendix C.

Trial Court Self-assessment Questionnaire

Instructions: 1. Score the court on each question. If you are uncertain, use your best estimate.

1. The court has adopted time standards that establish expected outside limits on case-processing time from filing to disposition, for major categories of cases.

2.0

1	2	3	4	5
No standards or guidelines	Informal guidelines exist			Yes—written standards have been adopted and published

2. Judges who have responsibility for all or part of the caseload regularly receive management information reports that enable them to know the number of pending cases for which they are responsible, the distribution of these cases by age since filing, and status of each case.

3.0

1	2	3	4	5
No		Some information provided regularly		Yes—all of this information is regularly provided (at least monthly)

3. When new caseload management programs or procedures are being considered, the court's leaders consult with leaders of other organizations that may be affected (e.g., bar, sheriff, prosecutor, public defender).

4.5

1	2	3	4	5
No		Sometimes		Yes, as a standard policy

4. The court counts every case as pending from the date that it is initially filed (or, in criminal cases in which the defendant has been arrested, from the date of the arrest).

4.5

1	2	3	4	5
No		Some categories of cases		Yes

5. The chief judge (or the presiding or administrative judge of the division) has endorsed the court's (or the ABA's) case-processing time standards.

3.0

1	2	3	4	5
No		Quiet support, within the court		Yes, publicly and emphatically

6. There is a commonly shared commitment, on the part of the judges, to the principle that the court has responsibility for ensuring expeditious case processing.

4.5

1	2	3	4	5
No shared commitment		Some judges are committed		Virtually all judges are committed

7. Members of the judges' support staffs (courtroom clerk, judges' secretaries, bailiffs, etc.) are knowledgeable about caseload management principles and techniques, and use them in helping to manage caseloads and individual cases.

1	2	3	4.0 4	5
No		Some		Yes—virtually all are knowledgeable and use the principles and techniques

8. The court regularly conducts training on caseload management principles and techniques for judges and staff.

1	2	3.0 3	4	5
No training		Some training; conducted irregularly		Yes

9. The court has established, and uses, a system evaluating the effectiveness of judges in handling the portions of the court's total caseload for which they have responsibility.

1	2	3.0 3	4	5
No		Some criteria exist		Yes

10. The court has few or no cases pending for more than the maximum length of time established by its own case-processing time standards or, *alternatively*, the ABA case-processing time standards.

1	2	3	4	4.5 5
Don't know	Many cases are older than the court's (or ABA's) time standards	About 30% are older	10-15% are over the standards	No cases or only a few are over the standards

11. There are published policies and procedures governing the caseload process, readily available to judges, the court's staff, and bar members.

1	2	3.0 3	4	5
No		Exist for some areas		Yes, cover all major caseload issues/areas

12. The chief judge plays a leading role in initiating caseload management improvements in the court.

1	2	3	3.5 4	5
No		Sometimes		Yes

13. The judges are aware of the court's case-processing time standards.

1	2	3	4	5.0 5
No standards exist		Some are aware		Yes—all judges

14. Trial judges have, or can readily obtain, all information necessary to enable them to know about the status of a case, its prior history in the court, and related cases involving the same parties.

1	2	3	4	5.0 5
No		Some information usually available		Yes

15. Potentially protracted or complicated cases are identified early for special attention.

1	2	3	4.0 4	5
No		Sometimes		Yes, systematically

16. Consultation between judges and administrative staff about caseload management policies and procedures occurs.

1	2	3	4.0 4	5
Rarely or never		Occasionally, mainly when there are problems		Regularly

17. The chief judge (or the presiding or administrative judge of the division) regularly disseminates information on caseload status, trends, and problems.

1	2	3	4.0 4	5
No		Sometimes		Yes

18. Assess the difficulty of an attorney obtaining a continuance of a trial date or date for an evidentiary hearing.

1	2	3	4	5
Easily obtained upon request or stipulation		Attorney must show cause, but request is usually granted		Can be obtained only on written request/motion and showing of substantial cause

19. Judicial support staff notify the judges of cases that have been pending for long periods of time and cases in which there have been repeated continuances.

1	2	3	4	4.5 5
No		Some		Yes

20. Judges attend national or in-state seminars on caseload management and related topics.

1	2	3	4.0 4	5
No		Some judges attend, no standard court policy		Yes—all judges are expected to attend such sessions periodically

21. Judges who do an effective job of managing the caseloads for which they are responsible are publicly recognized for their good performance.

1	2	3	4	5
No		Sometimes		Yes

22. The court disposes of at least as many cases as are filed each year, in each general category of cases.

1	2	3	4	5.0 5
No—filings consistently exceed dispositions		Some years, in some categories of cases		Yes, consistently

23. The court's staff at all levels are aware of the court's case-processing time standards and other caseload management goals.

1	2	3	4	4.5 5
There are no goals or standards		Some are aware	Top staff are aware	Yes

24. The court's recordkeeping system (including management information reports, whether automated or manual):

1	2	3	4.0 4	5
Impedes effective caseload management	Is not helpful	Has some helpful features	Is helpful	Greatly facilitates effective caseload management

25. Assess the structure and frequency of communications between the court's leaders and the bar concerning caseload management policies and practices.

1	2.0 2	3	4	5
No mechanisms; infrequent consultation	No mechanisms; occasional informal consultation	Consultation as requested by court or bar leaders	Formal mechanisms; occasional consultation	Formal mechanisms; frequent consultation

26. Judges' commitment to effective caseload management is demonstrated by their actions in holding lawyers to schedules, limiting continuances to situations in which good cause is shown, and allowing continuances only for short intervals.

1	2	3	4	4.5	5
Generally, no		Inconsistent			Generally, yes

27. The system of scheduling cases for trials and evidentiary hearings provides attorneys and the court with certainty that a case will be reached on the scheduled date.

1	2	3	4	5.0 5
Rarely	Less than half the time	50-70% of the time	70-90% of the time	90-100% of the time

28. The court has a central staff unit that regularly monitors the caseload, identifies problems (e.g., pending caseload increasing; certain cases taking unduly long), and provides recommendations for action to the chief judge or other judge with administrative responsibility.

1	2	3	4.0 4	5
No		Some central staff monitoring; occasional recommendations		Yes

29. The court has time standards/guidelines governing the time interval between each major stage in the litigation process.

1	2	3.0 3	4	5
No		Guidelines cover some but not all intervals		Yes

30. The court has a standard orientation program for new judges and new staff members, in which the court's policies and expectations regarding caseload management are covered thoroughly.

1	2	3.0 3	4	5
No		Some orientation		Yes, thorough orientation

31. The court has established, and uses, a system for evaluating the effectiveness of staff members in performing their duties with respect to caseload management.

1	2	3	4.0 4	5
No		Some criteria exist		Yes

32. Judges who have responsibility for portions of the court's caseload periodically review the age and status of cases for which they are responsible.

1	2	3	4.0 4	5
Never	Occasionally			Yes, at least once a month

33. The chief judge (or the presiding or administrative judge of the division) is widely regarded—by judges, staff, and others—as actively committed to reducing delays and implementing effective caseload management procedures.

1	2	3	4	4.5 5
No	Mixed perceptions			Yes

34. The court's caseload management goals, and its performance in relation to the goals, are subjects of regular communication with the bar and media.

1	2.0 2	3	4	5
No	Sporadic communication			Yes

35. The court regularly produces reports that show trends in filings, dispositions, pending caseloads, and case-processing times.

1	2	3	4	5.0 5
No	Some trend analysis			Yes—regular analysis of trends in all of these areas

36. The judges discuss the status of the caseload and other caseload management issues at regularly held judges' meetings.

1	2	3	3.5 4	5
No	Sometimes			Yes

37. Consultation with attorneys, by a judge or court staff member, occurs early in a case, to set deadlines for completion of stages of the case.

1	2	3	4.0 4	5
No	Only if requested by attorney	Sometimes	Mainly in complex cases	Yes, in all cases

38. The judges recognize the need to monitor the pace of litigation and are actively committed to seeing the court meet standards for expeditious case processing.

1	2	3	4.0 4	5
No	Some judges recognize the need			Yes

39. Judges' support staffs provide help in achieving the court's goals (e.g., in contacts with attorneys, including scheduling cases for court dates).

1	2	3	4	4.5 5
No	Some			Yes

40. The court regularly conducts training sessions for practicing lawyers (especially young lawyers) to familiarize them with the court's caseload management policies, procedures, and expectations.

1.0 1	2	3	4	5
No	Some training, conducted irregularly			Yes

41. Judges who have administrative responsibility (e.g., chief judge; presiding judge of civil or criminal division) meet with the judges in their divisions to review the status of pending caseloads and discuss ways of dealing with common problems.

1	2	3.0 3	4	5
No	Occasionally			Yes, at least once a month

42. The court regularly produces management information reports that enable judges and staff to assess the court's progress in relation to its caseload management goals.

1	2	3.0 3	4	5
No	Information available on some goals			Yes

43. Mechanisms for obtaining the suggestions of court staff about caseload management problems and potential improvements exist and are used by the court's leaders.

1	2	3.0 3	4	5
No	Occasionally			Yes, regularly

44. Attorneys are ready to proceed on the scheduled trial date or evidentiary hearing date.

1	2	3.5 3	4	5
Rarely	Less than half the time	50-70% of the time	70-90% of the time	90-100% of the time

45. Judges whose performance in managing the caseloads for which they are responsible is below acceptable standards are provided with assistance and receive negative sanctions if their performance does not improve.

1	2	3.0 3	4	5
No	Sometimes			Yes

46. The court follows established procedures to identify inactive cases and bring them to disposition.

1	2	3.0 3	4	5
No	Occasional reviews and purges of inactive cases			Yes—regular reviews are done and "purge" procedures are followed

47. The trial court administrator (or, within a division, the senior staff person for the division) is widely regarded—by judges, staff, and others—as knowledgeable about caseload management principles and practices, familiar with the court's caseload situation, and effective in recommending and implementing policy changes.

1	2	3	4.0 4	5
No	Mixed perceptions			Yes

48. The time required to complete case processing is generally within the time standards adopted by the court (or, if no standards have been adopted by the court, does not exceed the ABA case-processing time standards).

1	2	3	3.5	4	5
Don't know	Many cases over standards	Fair performance in relation to standards	Good performance; some improvement desirable	Yes—the court is consistently within the standards	

49. Techniques for avoiding or minimizing attorney schedule conflicts are part of the scheduling system, and attorneys' schedules are accommodated to the extent reasonably possible.

1	2	3	4	5
Attorney schedule conflicts are a major problem		Some techniques are used; system could be improved on some goals		Techniques are used and work well; no improvement needed

50. The court has adopted formal policies and procedures with respect to most or all areas of caseload management, and these policies are followed/enforced.

1	2	3	4	5
Few or no areas are covered by formal policies	Some formal policies; rarely enforced	Some formal policies; inconsistent enforcement	Most areas have formal policies; enforcement needs some improvement	Most areas covered by formal policies; enforcement is consistent

51. Senior staff members regularly meet with judges in leadership positions to discuss caseload status and develop plans for addressing specific problems.

1	2	3	3.5	4	5
No		Occasionally			Yes

52. Judges who have administrative responsibility review information on the performance of judges in their divisions with respect to caseload management, give public recognition to those who are doing an outstanding job, and meet with those whose performance is subpar to discuss needed improvements.

1	2	3	4	5
No		Sometimes		Yes

53. The court has adopted goals for the frequency with which trials start on the scheduled date.

1	2	3	4	5
No		Informal expectations exist		Yes

54. Key management information reports are widely distributed to judges and staff, and include short written analyses that highlight problems and issues.

1	2	3	3.5	4	5
No		Limited distribution, little analysis			Yes

55. The court provides information about its caseload management goals and about its performance in relation to these goals to the media on a regular basis.

1	2	3	4	5
No		Occasionally		Yes, regularly

56. Simple cases that may be amenable to swift disposition are identified at an early stage for special processing.

			4.0	
1	2	3	4	5
Never	Rarely	Sometimes; mainly if counsel requests	Some categories of cases	Yes, routinely

57. Court staff members attend national or in-state seminars on caseload management and related topics.

			4.5	
1	2	3	4	5
No		Some staff members have such training		Yes—virtually all staff members periodically receive such training

58. The court has established goals for the maximum size of its pending caseload(s), and has developed plans for reducing its caseload to that number (or, if the current caseload is at an acceptable size, for ensuring that the caseload does not exceed the goal that has been set).

		3.0		
1	2	3	4	5
No		Some goals exist; status of plans unclear		Yes

59. The chief judge and trial court administrator regularly meet to review caseload status, discuss policy and operational problems affecting caseload management, and develop specific policies and plans.

		3.5		
1	2	3	4	5
Rarely or never		Irregularly		Yes—at least once a week

60. How frequently are cases that have been scheduled for trial or evidentiary hearing continued because there are more ready cases than can be reached on the scheduled date?

			4.5	
1	2	3	4	5
Very frequently	Frequently	Occasionally	Rarely	Never

61. Staff members who do an effective job of managing caseloads for which they are responsible are publicly recognized by the court's leaders for their good performance.

		3.0		
1	2	3	4	5
No		Sometimes		Yes

62. Discussions between judges with administrative responsibility and senior staff members in the court, concerning caseload management policies and procedures, occur:

		3.5		
1	2	3	4	5
Rarely		Occasionally		Regularly, and whenever needed

63. Every pending case on the court's docket has a "next action" date scheduled.

			4.5	
1	2	3	4	5
Most cases do not have next action dates scheduled	Approximately 10-20% of cases have no next action date scheduled	Approximately 20-40% of cases have no next action date scheduled	Almost all cases have a next action date scheduled	Yes

64. Trial judges conduct a trial management conference with trial counsel, 5 to 21 days before the scheduled trial date, to resolve pending motions, determine what issues of law and fact are in dispute, and establish "ground rules" with respect to voir dire, witness scheduling, use of exhibits, and other issues likely to arise at trial.

			4.0	
1	2	3	4	5
No	Rarely	Some judges, in some cases	Most judges, in most cases	Yes, all judges, in all except very simple cases

65. The following caseload management information is readily available and regularly used: (Y = Yes; N = No)

Available	Used	Information
_____	_____	Number of pending cases, by case type
_____	_____	Age of pending cases (frequency distribution, within age categories)
_____	_____	Change in number and age of pending cases since last report or since previous year
_____	_____	Age of pending caseload compared to time standards
_____	_____	Age of cases at disposition, by case type
_____	_____	Percentage of trials starting on first scheduled trial date
_____	_____	Number of continuances of scheduled events in each case
_____	_____	Reasons for each continuance
_____	_____	Number and proportion of dispositions by type of disposition
_____	_____	Annual filings and dispositions, by case type

4.0

APPENDIX D

**TECHNOLOGY AND AUTOMATION
REPLACEMENT SCHEDULE**

PC life cycle: How long should I keep my PCs?

Oct 11, 2000

Gartner

By F. O'Brien

Gartner Research Notes

Gartner Research Notes offer valuable data that is compiled and written by analysts at Gartner, a business technology advisor based in Stamford, CT. (TechRepublic is an independent subsidiary of Gartner.) Every week in Support Republic, you'll find a new Research Note like this one, which will provide you with a snapshot of information about a particular mission-critical topic.

A paradox exists today between the technological life and the economic life of a PC: One is getting shorter, while the other is getting longer. The decline of average sale prices combined with rapid technological improvements has shortened the economic life of desktop and notebook equipment. Residual values for desktop and notebook equipment are expected to be at salvage values (less than 10 percent of original equipment cost) in less than 30 months. At the same time, hardware technology performance continues to outpace mainstream software application requirements forcing a lengthening of the technological life of this same equipment.

Technological vs. economic life

It is important to differentiate between the technological life and the economic life of an asset: The technological life of an asset reflects how long the equipment can be used before the product becomes functionally obsolete or when the operational costs are more expensive when compared with those of newer products.

The economic life of an asset is that period of time in which the asset has some economic value (residual value or fair market value). The technological life of an asset will often exceed its economic life (see Note 1).

Note 1: Economic life and leasing

The shortened economic life of a PC has created some interesting situations for enterprises looking for operating lease treatment for their desktop equipment. One of the criteria for a lease to qualify as an operating lease is that the present value of the lease payments must be less than 90 percent of the original equipment cost. This implies that the lessor must take a residual value position of approximately 10 percent or more. Most desktop lease deals we see can only offer operating lease treatment at 27 to 30 months. If the enterprise technology plan calls for a 36-month life cycle for desktops, a 30-month lease will be inappropriate. An enterprise looking for an operating lease may be forced into a shorter lease term to obtain that treatment.

PC life cycle planning

Life cycle planning is a process, not an event. It is the strategic management of hardware and software from acquisition through disposal, and it evaluates an enterprise's business plans and

computing requirements throughout the entire planning period before an enterprise makes the procurement decisions. It includes equipment requirement definitions based on end-user requirements and expected software environments 12 to 36 months in the future. Life cycle planning will also include a defined methodology for determining the most cost-effective time to repair or replace an asset, including proper disposal.

What's best for the organization

As a general guideline, Gartner recommends that most Type B organizations (see Note 2) replace their desktop equipment every three years, and their notebook equipment every two years. That said, however, some enterprises will find that certain users within an organization can use equipment for longer periods of time, while others may need to be refreshed earlier. The life cycle of a PC within any given organization should map to that organization's technology adoption rate and technology plan.

Note 2: Classification of organizations

To provide a framework for recommendations to our clients, Gartner has developed a profile of three organizational types based on their attitude toward the deployment of IT. In each category, the key variable is the real or perceived role and attitude toward information in the business product. An organization classified as Type B may have end users or business units classified as Type A or even Type C, allowing for deployment of equipment for shorter or longer periods of time, as appropriate.

?Type A organizations compete at the cutting edge of innovation and use IT as a weapon. They tend to be the rarest group. They weigh the risk of the early use of technology against the benefits of competitive advantage.

?Type B organizations compete neither on price nor on innovation, but on full service and overall value. They represent the largest group and use IT to improve their productivity, product quality, and customer service. They typically wait for a technology to become mainstream before considering implementation.

?Type C organizations compete on the thin edge of cost margin or economies of scale and use IT to help reduce costs. They are the second-largest group. They generally lag the market (often by as much as 12 to 24 months), waiting for a technology to become absolutely stable and for its price to reach the lowest quartile before committing to purchase.

To determine the optimal deployment period of a desktop or notebook, enterprises should look to the technology plan for each key business unit, department, or class of user, analyze and segment the end-user environment according to current and evolving requirements, and determine operating system and application software requirements and rollout schedules. The technology plan will logically group the users within the categories based on their current technology level and then detail the technology futures planned, allowing an enterprise to acquire the technology that is "right" for each end user.

Equipment life cycles should also make sense in the context of the overall corporate budget and financial resources of an enterprise, and must take into account equipment depreciation practices and the maintenance-driven cost of ownership as equipment ages. By integrating, analyzing, and evaluating the technology requirements and financial resources required, an enterprise can develop

a realistic life cycle scenario to set end-user expectations and negotiate budgets with executive management.

Bottom line

PC life cycle strategies should be an explicit part of the enterprise technology plan and should specify retirement and refresh rates according to user-base segmentation, platform (i.e., mobile or desktop), and application requirements. Most enterprises will find that multiple PC life cycle deployment periods may be appropriate within the enterprise. Enterprises are encouraged to use the life cycle recommendations (see Figure 1) as a guideline to assist in determining the length of time an enterprise should keep a PC.

Figure 1

Life Cycle Recommendations

Notebooks	24-30 months
Desktops	36 months

Life cycle recommendations

This report was originally published by Gartner on Mar. 14, 2000.

Find this article at www.TechRepublic.com.

<http://www.techrepublic.com/article.jhtml?id=r00320001011ggp02.htm>.

APPENDIX E

**RECOMMENDED CAPABILITIES FOR
COURT CASE MANAGEMENT SYSTEMS**

FUNCTIONAL REQUIREMENTS

GENERAL SYSTEM FEATURES	
Requirement	Response Code
All dates are entered and stored in a four digit year format.	
All dates are displayed and stored in a four digit year format.	
Application is fully Year 2000 compliant.	
Does the application handle leap years?	
Does the application handle the leap year in the Year 2000?	
Can the end-user enter only the last two digits of the year and have the application automatically convert it to four?	
Ability to access all data elements within the application database.	
All data elements within the application database operate from a single data element dictionary.	
Provides database repository (metadata, extended data attributes, object storage, team development, etc.).	
Database elements are currently externally defined so that any ODBC compliant tool may be used to access them.	
Ability to run on a relational database management system in an open system environment.	
Optimized to run on which RDBMSs.	
Application currently utilizes standard SQL calls to the database.	
Ability to have the SQL reside and be executed on the database server, not the desktop.	
The SQL packages are pre-compiled and ready to execute without the need to be re-parsed (interpreted).	
SQL package routines have been built so that the long SQL statements are not sent across the network from the desktop.	
The application uses Client/Server architecture.	
Windows NT, Windows 2000, and UNIX are supported for the Server.	
Please specify the UNIX supported, e.g. AIX, Solaris, HP-UX, SCO, Linux.	
Ability to define the application screen colors under Microsoft Windows.	
Ability to navigate through system using only a mouse.	
Ability to navigate through system using only a keyboard.	
Ability to customize the function keys.	

GENERAL SYSTEM FEATURES	
Requirement	Response Code
Ability to navigate directly to any screen or menu in the system by a single command from anywhere in the system.	
Comprehensive edit controls at the field level so that incomplete or invalid data will be verified before allowing the user to continue on to the next field.	
Currently runs in Graphical User Interface (GUI), e.g. MS Windows, based environment.	
Application does not require additional software such as a terminal emulator to operate in a GUI environment.	
Ability to run as a "thin client" under a browser such as Netscape.	
Software makes use of pop-up windows, drop down menus, radio buttons, and buttons to display list of values when entry is validated against a court defined table.	
Ability to customize portions of the application through use of court defined fields.	
Ability to create user defined menus for each specific user or group of users.	
Ability to link multiple screens together to form a user defined workflow process without programmer intervention.	
Ability for on-line real-time update of data elements within the application database.	
Ability for real time updates such that on-line access from anywhere within the network displays the most current element value.	
Ability for user definition and maintenance of system values and rules without requiring programmer intervention or recompilation of programs.	
System provides help at the screen level without leaving the application, and automatically positions you in the help text for the current section of the screen the user is on.	
System provides help at the field level without leaving the application, and automatically positions you in the help text for the current field the user is on.	
System provides user defined local help at the screen level without leaving the application, and automatically positions you in the help text for the current screen the user is on.	
System displays cursor sensitive hint text that automatically changes as the user moves from field to field.	
Ability to customize existing application help text.	

GENERAL SYSTEM FEATURES	
Requirement	Response Code
Ability to maintain a court defined procedures manual on-line by adding local help text for screen, section and field level, and maintaining that version of help in addition to the existing application help.	
Currently able for the software to use any independent query/report tool which will provide inquiry and report generation capabilities such as Microsoft Access, Focus, IQ, etc.	
Provides a security component that controls access to the database information from 3 rd party tools based on the organization and individual permissions.	
Provision for user defined security for all options, tables and views.	
Ability to track the source reason for information changes, including activity date of change, and identification of person making the change. (Audit Trail)	
Ability to provide for full back-up and recovery in the case of any type of malfunction (hardware and/or software).	
Ability to produce both standard and ad hoc reports, as well as allow for the use of standard query tools and statistical packages.	
Ability to specify specific case and departmental elements as sort criteria in standard reports.	
Ability to view on-line all information stored in the system.	
Provide conversion programs and tools with established standards and procedures for data conversion purposes.	
Ability to support multiple network protocols including TCP/IP, SPX/IPX, ISO/OSI, and Asynchronous X.25.	
Reports may be directed by the end-user to any printer attached to the network.	
Reports may be submitted with the specification of a time at which the print job should be run.	

COURTS SYSTEM FEATURES	
Requirement	Response Code
Ability for user definition and maintenance of system values and rules without requiring programmer intervention or recompilation of programs.	
Ability to establish unlimited user-defined events for case activities.	
Ability to generate docket entries, events and document production based on specified docket entries and/or case events.	

COURTS SYSTEM FEATURES	
Requirement	Response Code
Ability to associate docket entries and designate a cause/effect relationship.	
Ability to employ "if, then" and "if, then, unless" conditional statements in event generation.	
Ability to define the number of days between trigger entries and automatically generated docket entries, events and document production.	
Ability to review automatically generated events and documents, and approve or override those system generated items.	
Ability to generate court defined, variable minutes on demand through the use of a word processing package integrated with the court case management application.	
Ability for the software's use with an independent query/report language which will provide inquiry and report generation capabilities.	
Ability to link screens in a user-defined, logical progression without requiring programmer intervention or recompilation of programs.	
Ability to exit pre-defined linked screens at any point during the process.	
Ability to provide a security component that controls access to information based on organization and individual permissions.	
Ability to tailor individual security profiles, based on user ID, court, location, and case types.	
Security permissions control access to individual screens and programs, sealed cases, parties, and addresses of parties	
Ability to provide software written using a fourth generation language.	
Ability to produce both standard and ad hoc reports, as well as allow for the use of standard query tools and statistical packages.	
Ability to produce standard letters and documents and include specific database information.	
Ability to make available any database elements for inclusion in system generated letters and forms.	
Ability to query data using phonetic and wildcard search criteria.	
Ability to specify case types, and assign a case weight and security level to each case type.	
System employs a flexible case numbering scheme, which gives the court options to include the year number, sequence number, and case type in a user-defined position sequence.	
Ability to define standard docket entries and standard docket text.	
Ability to associate standard docket entries to fees.	

COURTS SYSTEM FEATURES	
Requirement	Response Code
System provides option to assign cases to judicial officers automatically, using either weighted or random judicial officer assignment, or to assign cases to judicial officers manually.	
Provide option for system wide date and time defaults.	
Ability to automatically generate docket entries through case initiation process. Docket entries must be variable by case type.	
Ability to override docket entries automatically defaulted in case initiation process.	
Ability to charge fees automatically as cases are initiated, or as subsequent docket entries are made.	
Ability to charge fees to a specific party.	
Ability to charge fees at the general case level - not associated to a particular party.	
Ability to access fines, bonds, receipts, payable records, payments issued, outstanding receivable accounts, and costs for a person or a case.	
Ability to copy information from one case to another including parties and docket entries.	
Ability to relate cases and designate a lead case in a set of related cases.	
Ability to cross-reference a case number with unlimited user defined agency case numbers, and ability to search by the cross-reference number.	
Ability to consolidate cases, parties, dockets and accounts.	
Ability to review a summarized status of a case including, at a minimum, case number, description, case type, court, location, filing date, judicial officer, current status, last activity, related and consolidated cases, age of case, parties, judgments, judgment amounts, dispositions and sentences	
Ability to list all cases with options to sort by case type, case status, and final dispositions only.	
Ability to order the display of cases by filing date, case number, or case type.	
Ability to list cases for specific attorneys or parties.	
Ability to access all case, accounting, arrest, pending service, personal, judgment and sentencing information for a person from one screen.	
Ability to maintain extensive confidential notes.	
Ability to track the number and types of cases assigned to each judicial officer.	
Ability to track court process of service on-line.	

COURTS SYSTEM FEATURES	
Requirement	Response Code
Ability to issue service documents to specific parties and track the due dates and outcome of service.	
Ability to designate ID of person to whom the service document is assigned.	
Ability to define data available for public access.	
Ability to define data available for attorney access.	
Ability to track multiple legal issues per case.	
Ability to enter and maintain judgment information including parties for and against, and amounts.	
Ability to query judgment indexes.	
Ability to create standard reports including: <ul style="list-style-type: none"> · Docket Report · Case Listing · Alphabetic Listing of Persons · Case Inactivity · Offense/Violations List · Service Pending · Person Release · Tickler Reporting · Statistical Reports - New Filings, Pending Caseload, Disposed Cases 	

SCHEDULE/CALENDARS FEATURES	
Requirement	Response Code
Ability to schedule events and cases for judge, commissioners, masters, hearing officers, or any other court-defined judicial officers.	
Ability to define standard working hours and designate non-working days, such as weekends and holidays, for the entire court and default that information for all judicial officers and court personnel.	
Ability to define specific working hours by day for each judicial officer or court official.	

SCHEDULE/CALENDARS FEATURES	
Requirement	Response Code
Ability to vary the elements of a judicial calendar including days, start and end times, location, and room, and to include an effective date for each entry in the judicial officer's profile.	
Ability to indicate days when individuals with calendar profiles (judges, hearing officers, etc.) are unavailable for scheduling.	
Ability to designate a case as ready for scheduling.	
Ability to schedule cases for a date and room without assigning to a particular judicial officer at the time of scheduling.	
Ability to have system automatically generate docket entry when an event is scheduled.	
Ability to schedule related and/or consolidated cases at the time a case is scheduled.	
Ability, at the time of scheduling to have system check time conflicts for the room, judicial officer, parties, and attorneys.	
Ability to resolve or override scheduling conflicts.	
Ability to add parties to scheduled events.	
Ability, when scheduling a case or event, to have the system present the next available date and time for a single judicial officer or multiple judicial officers.	
Ability to view a summarized calendar showing previously assigned events and total hours used.	
Ability to print calendars in both summary and detailed formats.	
Ability to list a schedule of events by, but not limited to, judicial officer, date, room, location, and event type.	
Ability to display all events within a case, or to sort the event display by status.	
Ability to block out time for specific court personnel, including non-case related time.	
Ability to generate tickler event records based on user-defined prerequisite criteria.	
Ability to define a required sequence of events, such that an event is not scheduled unless a precursor event or events have occurred.	
Ability to automatically generate notices and letters as an event is scheduled or rescheduled.	
Ability to enter unlimited comments about an event.	

SCHEDULE/CALENDARS FEATURES	
Requirement	Response Code
Ability to schedule an unlimited number of events per day or to define a specific number of events scheduled per day.	
Ability to automatically schedule events based on the occurrence or non-occurrence of other events or docket entries, with an option to override the actual scheduling or change the dates of those automatically generated events.	
Ability to track event status and record event outcomes.	
Ability to record all persons in attendance at a scheduled event, including court personnel.	
Ability to associate parties and non-parties to specific events.	
Ability to print calendars and/or view on-line.	
Ability to assign extra cases to a calendar and designate those cases as "add-ons".	
Ability to create calendars by judicial officer, room, event, date, and time, or any combination of these.	
Ability to accommodate master, individual, or hybrid scheduling processes.	
Ability to reschedule one or many items at any time.	
Ability to reschedule blocks of events from one judicial officer to another.	
Ability to execute mass rescheduling using individual or combined criteria of judicial officer, room, date, time, event, location and/or calendar.	
Ability to query future events and activities.	
Ability to link disposing docket entries with events and choose whether to close or delete open and/or future scheduled events.	
Ability to support scheduling for multiple courts and locations.	
Ability to track continuances (adjournments) by event.	
Ability to report continuance rates by event.	
Ability to have system consider case complexity in scheduling.	
Ability to display on-line, number and types of cases assigned per judicial officer.	
Ability to create standard reports including: <ul style="list-style-type: none"> · Summary Calendar · Detail Calendar · Pending Events · Continuance Report · Tickler Report 	

GENERAL PERSON FEATURES	
Requirement	Response Code
Ability to maintain one full current name for a person with virtually unlimited alternate names.	
Ability to establish an unlimited number of user defined party types, including non-litigant parties.	
Ability to associate parties and define the relationship between associated parties.	
Ability to group certain party types (e.g., judicial officers, court personnel, etc.) into a restricted category with separate security permissions required to access information about any persons in that category.	
Ability to maintain multiple addresses and address types for a person with an effective date for each address.	
Ability to track the source reason for address information, activity date of change, and identification of person making the change.	
Ability to classify an address as confidential, and prohibit access to that address by anyone without the required security profile.	
Ability to maintain multiple phone numbers for a person, some of them not associated with an address.	
Ability to review all cases in which a person is involved.	
Ability to access a person by name and/or ID.	
Ability to capture personal information: <ul style="list-style-type: none"> · Date of birth · Height · Weight · Sex · Race · Religion · Identifying Marks · Driver's License Data including: <ul style="list-style-type: none"> Number State Issued Restrictions Classifications · Deceased 	

GENERAL PERSON FEATURES	
Requirement	Response Code
Ability to maintain extensive vehicle data: <ul style="list-style-type: none"> · Make, Model, Type, Color · Registration Number · License Plate Number · State Issued · Expiration Data 	
Ability to maintain a wide variety of professional information: <ul style="list-style-type: none"> · Bar Association Number · Legal Capacity · Availability for Alternative Dispute · Badge Numbers · Bar Association Memberships 	

CRIMINAL AND TRAFFIC FEATURES	
Requirement	Response Code
Ability to track bond amounts, bond defaults, bond refunds and surety information.	
Ability to sentence multiple cases/violations on one screen.	
Ability to make bond adjustments.	
Ability to track changes made to bond amounts.	
Ability to print bond receipts.	
Ability to process felony, misdemeanor and traffic cases.	
Ability to track moving or non-moving violations.	
Ability to default case title/style information for traffic cases.	
Ability to define which data elements will be included on traffic case processing screen and the order in which those elements will be displayed.	
Ability to enter unlimited detail about docket entries, offenses, probable cause, pleas, sentences and release information.	
Ability to associate fines with offenses and automatically charge default fines amounts based on charges filed for offenses.	

CRIMINAL AND TRAFFIC FEATURES	
Requirement	Response Code
Ability to associate fines with offenses and automatically default fine amounts based on charges sentenced.	
Ability to enter parking tickets grouped by issuing officer and date.	
Ability to enter probable cause information and tie it to the violation record.	
Ability to enter free form text on violation record.	
Ability to enter enhancements to a violation.	
Ability to format violation entry screen to correspond with the order of information as it appears on the ticket.	
Ability to enter vehicle information and later tie it to owner.	
Ability to copy charges from one case to another (or multiple cases).	
Ability to enter multiple violations on a case.	
Ability to sort data by criminal or traffic violation.	
Ability to associate sentences with parties.	
Ability to enter concurrent or consecutive sentences.	
Ability to update sentence information.	
Ability to search sentencing information by variable criteria including defendant, case ID, or violation (charge).	
Ability to enter multiple sentences for an offense.	
Ability to enter and modify charge data.	
Ability to enter and modify pleas associated with charges.	
Ability to delete charges on-line.	
Ability to enter multiple sentences for charges.	
Ability to quickly enter dispositions to traffic cases.	
Ability to enter dispositions for enhancements.	
Ability to associate docket codes with sentences.	
Ability to enter concurrent or consecutive sentences.	
Ability to add free form text to sentence records.	
Ability to sentence multiple cases/violations on one screen.	
Ability to create accounts receivable records automatically for sentences imposed.	
Ability to monitor release status of persons at case level or specific to individual charge.	

JUVENILE FEATURES	
Requirement	Response Code
Ability to assign one master number for the minor with each subsequent contact or filing having a suffix, thereby providing separate tracking for each.	
Ability to attach dockets, violations, events and dispositions to each contact with the court.	
Ability to view the master case together with sub-cases attached to the master case.	
Ability for the court to designate which terms the system will use for violations and arrests or detentions, and to use the court designated wording on system screens.	
Ability to display ID of user who last modified data.	
Ability to record the violation on which a minor was released.	
Ability to maintain cases as "sealed" and to strictly control access to the case.	
Ability to hide from unauthorized users even the existence of a sealed case.	
Ability to establish relationships between parties, including family relationships, client relationships, agency relationships, or another other relationships designated by the court.	
Ability to establish rules for automatically assigning juveniles to a particular department or judicial officer based any of the following criteria, with an option to designate the priority of those criteria: minor's prior history with the court; co-defendant's prior history with the court; or family members' prior history with the court; random judicial officer assignment	
Ability to define default party type code for minor and co-defendant.	
Ability to use co-defendant, family, or other court-defined relationships in scheduling functions.	
Ability to specify minimum age for party receiving documents created.	

ACCOUNTING FEATURES	
Requirement	Response Code
Ability to assess any number or combination of case related or miscellaneous, non-case related fees, fines, or costs associated.	

ACCOUNTING FEATURES	
Requirement	Response Code
Ability to produce a balance report on demand for case(s) and/or person(s) on-line or printed.	
Ability to track accounts receivable data for case related and non-case related items.	
Ability to maintain the court-defined set of rules for applying payments and distributing to various accounts according to selected options in hierarchy and pro-rating methods.	
Ability to record payments against an account and apply those payments to charges using the court-defined set of rules and priorities, real-time.	
Provision for manual distribution of payments across multiple cases and fees.	
Ability to establish payment plans and time payments, specifying payment frequency and recipients, and tying plans to accounts receivable.	
Ability to provide real time data exchange with city finance department information system.	

DOCUMENT IMAGING FEATURES	
Requirement	Response Code
Document imaging is currently in use in the Draper City justice Court. Any new case management system must provide for integration with the existing document imaging system. The case management system application must meet the following document imaging system specifications.	
System Specifications	
Provide document imaging system specifications here for the vendors.	