

NCSC  
KFC  
971  
S5  
R4  
1985  
C.3

**REQUIREMENTS DEFINITION**

**STUDY OF THE  
SAN MATEO COUNTY  
MUNICIPAL COURT**

*rec'd 12-30-85*

**December 1985**

**Frederick G. Miller, Project Director**

**Sheila D'Amico, Staff Attorney**

**Dale A. Sipes, Senior Staff Attorney**

**J. Douglas Walker, Senior Staff Associate**

Library  
National Center for State Courts  
300 Newport Ave.  
Williamsburg, VA 23187-8798

### ACKNOWLEDGMENTS

The National Center for State Courts' project staff worked closely with personnel of the San Mateo County Municipal Court to complete this Requirements Definition Study. Individual recognition of all court staff is not possible in this brief space, but we extend our deep appreciation for the substantial time and cooperation given by each. This study could not have been completed without their thoughtful guidance.

If information in this report results in a more successful process of automation in the San Mateo County Municipal Court, much of the credit belongs to those numerous court personnel who gave so graciously of their time and expertise and who will be the users of the implemented automated data processing system.

The project staff wishes to extend special thanks to Peggy Thompson, who supplied volumes of information and coordinated all staff scheduling, Judge Phrasel Shelton, Court Administrator William Stanford, and the Court Automation Committee. Without their direction and continual support, this report would not have been possible.

Finally, the project staff received herculean administrative support from Rochelle Rodgers, Helen Ogata, Maxine Rhodes, Ruth Dunn, Jacquie Watson, Ed Kimble, and Brenda Taylor. We are extremely grateful for their support and understanding.

## CONTENTS

### I. INTRODUCTION

### II. CORE REQUIREMENTS

### III. MUNICIPAL COURT PROCEDURES and REQUIREMENTS

A. Criminal

B. Civil

C. Small Claims

D. Traffic

E. Parking

F. Accounting: Case Related

G. Accounting: Administrative

H. Jury Management

I. Management Information

### IV. DATA DICTIONARY

## I. INTRODUCTION

The San Mateo County Municipal Court is a limited jurisdiction court with three branches located in South San Francisco, San Mateo, and Redwood City. Each branch handles the municipalities in its geographic vicinity, but procedures in all three branches are similar. The court handles a sizeable caseload of criminal misdemeanors, ordinance violations, preliminary hearings, traffic violations, parking violations, small claims matters of \$1,500 or less, and civil matters of \$25,000 or less.\* During the 1984-1985 year the court, with a staff of approximately 150, processed the following number of new case filings:

26,807	criminal and serious traffic cases
166,908	traffic infractions
280,686	parking violations
8,508	small claims filings
8,583	civil cases.

Current automation in the San Mateo County Municipal Court is limited to mainly batch processing of traffic and parking violations. Information is keyed into Nixdorf 600/35 computers by dedicated data entry personnel. The information is collected on magnetic tape, which is then mailed to either a service bureau or the county data processing department for off-site processing. This batch processing produces indexes, case jackets/dockets (convelopes), bail and courtesy notices, failure to appear and bench warrants, and updating of the records at the Department of

---

\*On January 1, 1986 the civil jurisdiction of California Municipal Courts is increasing from \$15,000 to \$25,000. There will no doubt be an increase in civil filings. This report does not attempt to predict quantitatively the extent of the increase.



Motor Vehicles. In the central and southern branches (San Mateo and Redwood City) there is a simplistic on-line parking system, operating on the county mainframe computer. The main capability of this system is to provide on-line case inquiry and printing of case information.

Under the direction of its Court Automation Committee, the court is preparing for more extensive automation of its case processing, case management, jury management, and accounting functions. This automation should encompass virtually every aspect of court operation, with on-line processing of all case types. All functions should be integrated into an overall, comprehensive information system. The court would also like to implement an automatic phone inquiry system with audio response capabilities.

The first step in the process of obtaining such full scale automation is to establish the functional and informational requirements of the new system. The National Center for State Courts, through its Western Regional Office, was selected to assist the San Mateo Municipal Court in preparing for extensive automation by conducting a requirements definitions study. This report documents the results of the study.

During this study, the project team visited all three branches of the municipal court and interviewed key personnel in every aspect of court operation. All forms, reports, and other information transfer media were collected and examined. From these interviews and other data gathering exercises, the major procedures and informational requirements were identified. Those procedures are described in this report through a set of

narratives and flow diagrams. The information necessary for the operation of the court is described both with these diagrams and through a data dictionary that depicts the information on a data element level. Other specific requirements which must be met by the automated system are detailed at the end of each section on major areas of court operation. In its entirety, this report should fully define the requirements for automating the San Mateo County Municipal Court, while imposing no constraints on potential system developers in the use of creative techniques to meet these requirements.

## II. CORE REQUIREMENTS

This section summarizes the general requirements for automation of the San Mateo County Municipal Court. All software developed for the Court must be flexible and readily modified. Owing to changes in legislation and administrative policies, the specific needs that must be met by an automated system are subject to unexpected changes long after the system has been completed and put into operation. The system must be able to respond quickly to these changes without requiring massive reprogramming.

Virtually every aspect of court operations contains functions that should be automated. These functions should be addressed as a whole by the development of an integrated, automated information processing system, composed of numerous interrelated subsystems. Most of these subsystems will be case management/processing subsystems, specialized for processing the various case types handled by the municipal court. Other subsystems will address the accounting and financial needs of the court and the jury management needs. There is a set of major functions, all of which must be performed by a case management/processing subsystem, and most of which must be performed by other subsystems. In addition, there are some specialized requirements for automation that do not fit any particular subsystem. There are thirteen of these functions and specialized requirements, which together will be referred to as "core" requirements. They are as follows:

- on-line data entry, update, and inquiry
- indexing

- docketing
- calendar management
- notice generation
- cashiering
- attorney registration
- case tracking
- management and statistical reports
- interface with outside agencies
- data integrity and security
- automated telephone voice response unit
- legal research database service

The requirements associated with these functions are described briefly below:

1. On-line data entry, update, and inquiry. The automated system should be an on-line system with interactive, real-time (immediate) processing for data entry, record updating, and inquiry operations. Entry of data should be through computer display terminals with screens formatted for easy "fill in the blanks" operation. Editing of data should occur as the information is entered; and the computer should notify the data entry operator of errors on the screen, requiring them to be corrected before the information is accepted into the files. In the same manner, updates to existing case records should be edited on-line. Once a computerized record has been created, all information for that case

should be immediately accessible to authorized persons for inquiry from any terminal connected to the system, including those terminals in other branches of the court.

2. Indexing. The system should provide an index to cases that facilitates retrieval of case information minimally by case number or name of any party. The indexing capability should be provided in two forms. First, on-line access to the name index must be provided for all current or active cases. Second, a backup copy (e.g., printout or microfiche) of the index must be provided for access in the event of temporary system failure and for closed cases that have been purged from the active files. The index should be created and maintained automatically without requiring operator intervention. An entry should be built for every party in a case immediately upon the entry of the party information at the time of filing, or when a party is added or modified after the initial filing.

The system should provide the capability to search for a name when the exact spelling is unknown. Either a phonetic name search (sometimes called "soundex") or a partially qualified search (in which only the first part of a name is entered), or both, should be provided. The index should also show the general status of each case (i.e., active, disposed, purged) to help pinpoint the selection of different cases for the same name and the location of further information.

3. Docketing. The system must provide for the docketing of legal instruments filed in a case and for the recording of all case events that take place in the life of a case. The on-line docket or register of actions should completely replace the manual docket books, cards, and paper tub files that are currently in use in the various divisions. Docket entries should be codified to reduce the amount of key entry necessary. These coded entries should be verified by the computer for accuracy and should immediately be translated into the standard wording chosen by the court and then displayed on the terminal. The system should also be capable of storing free text, so that the computerized record is not restricted to pre-defined docket codes. The system should create automatic docket entries for fixed events whose occurrence is determined by the entry of certain data.

There are three major benefits that result from computerized docketing. First, the recording process itself can be streamlined dramatically. The clerical time needed to retrieve the proper docket book or record and find the appropriate page is eliminated. Through the use of mnemonic codes, the number of keystrokes required to make a docket entry can be reduced to a small fraction of that needed for a full text recording of standard entries. A second major advantage in automating the docketing function is the resulting accessibility and

flexibility of the information. The docket would be immediately and constantly accessible for inquiry through any terminal on the system. It would even be available for simultaneous inquiry from several terminals. The information contained in the register of actions would also be available for printing at any time, if a hard copy were needed. Not only would docket entries be accessible, but they would also be legible, consistent, and contiguous. Finally, the computerized storage of docket entries provides much of the information needed to track the progress of cases. The presence or absence of particular docket entries enables the system to determine the status of the case and provides the basis for automatic case tracking.

4. Calendar Management. All case management/processing subsystems must be capable of recording the next scheduled event in a case and then periodically generating court calendars. This involves storing basic information about the scheduled event, such as courtroom, judge assigned, type of event, date, and time. The system should allow the entry of an estimate for the amount of time required for the event. This estimate will allow the scheduling clerk to arrange the calendar more efficiently for maximum use of judicial resources. The system should provide scheduling assistance through such techniques as displaying the current number of

scheduled events for a given place and a given judge on a given date. It should have the facility to check for judge conflicts, in which a judge may be scheduled for more than one place at the same time. The system should assist in checking for attorney conflicts as well. Other forms of scheduling assistance that may be useful are the facility to schedule automatically a set number of the oldest cases for a specific calendar call, and the automatic assignment of certain types of cases or motions to a particular judge on a rotating basis. Scheduling practices vary widely depending on the case type, the particular branch of the municipal court, and the particular judge involved. The system should be flexible enough to accommodate these different practices.

There are several benefits associated with automated calendar administration. First, the automated production of court calendars eliminates an enormous clerical task. Second, the recording of scheduled events on a computerized case record eliminates the necessity for updating subsidiary case scheduling records and case tracking cards that are used in manual systems. Third, the presence of scheduling information on the computerized case records allows for quick response to queries about upcoming case events. Fourth, the scheduling information in combination with docket entries makes possible the automated case tracking through exception reports and case status reports. Fifth, the



avoidance of attorney conflicts will reduce the number of adjournments and continuances. Finally, the avoidance of judge conflicts and the inclusion of estimated duration of scheduled events will maximize the efficient use of court facilities and judicial resources.

5. Notice Generation. Because an automated system captures and retains all case information entered and can reformat that information in any required manner, it can be designed to generate notices of different types on either blank or preprinted paper forms. Most notices relate to scheduling case events and, therefore, the notice preparation function is closely linked with calendar management.

The automated subsystems must be capable of generating the high volume of notices now being produced manually in the municipal court. Where appropriate, notices should be printed on special mailer forms ready for mailing with no additional clerical effort required. The subsystems should also be capable of automatically docketing the sending of notices.

Automation of notice preparation has obvious benefits in reducing the overall clerical workload, since it eliminates the large volume of typing now being expended for this task. Another benefit would be the lower probability of oversight in the noticing process. By linking notice generation with case tracking and

calendar management, the system could generate notices automatically when certain predefined criteria were met.

6. Cashiering. The automated subsystems should support all cashiering needs of the court. Cashiering functions should be an integral part of case processing. For example, the case record would be accessed when a violator wished to pay a fine, and the fine disposition information would be matched and verified against the case record. Upon the entry of valid payment information, the case record would be updated immediately to reflect the disposition. The system should keep track of all fees and fines paid each day, recording the manner of payment, (e.g., cash, check, money order), check number, etc. Receipts should be printed automatically upon payment of fees and fines. Cashiering should also be integrated with accounting functions so that fees, fines, bail forfeitures, refunds, etc., would be automatically distributed to the proper accounts and totals would be available at any time for balancing and verification.

7. Attorney Registration. The automated system should include a simple attorney registration system that would interface with any subsystem involving attorneys. Each attorney who practices before the court would be assigned a unique identifier. This number could be either the

state bar number, a six-digit number, or a local identifier assigned by the court, typically a four- or five-digit number. An attorney table should be maintained by the automated system, containing an entry for each attorney. Each table entry would include at least the attorney identifier, name, firm, mailing address, and telephone number. The system should make it simple for attorneys not in the table to be added the first time they file a case. The system should be designed so that once an attorney has been entered into the table, only the identifier would need to be entered any time an attorney was referenced. For example, when a case is filed, the clerk would enter the identifier of the attorney of record for each party with counsel. The system should then immediately verify the number by displaying the name of the attorney on the terminal. Many courts now require all pleadings to contain the attorney identifier, but the system should produce an alphabetical index of attorneys that could be referenced quickly to obtain the identifier if a pleading came in by mail without it.

The use of the attorney identifier offers several significant advantages. The most obvious of these are the increased speed of data entry and the reduced amount of computer storage necessary, because only the number would be entered and stored in the computer record of the case. Accuracy would also be greatly improved, as there

would be no chance for incorrect spelling, specifying the wrong law firm, or erroneously transcribing the address or telephone number. Mailing of notices, copies, and other information would be greatly simplified by the systems' ability to print mailing labels and notices in mailer format on the basis of the attorney table. Furthermore, when an attorney's firm or address changed, one simple change to the entry in the table would, in effect, automatically change this information for every case in which the attorney was involved.

Another subtle benefit would be realized when the court begins making use of the extensive management and statistical reporting abilities of an automated system. Some courts utilize these capabilities to identify patterns among attorneys practicing before them. With time, they can easily determine which attorneys pursue cases aggressively, which ones habitually request numerous continuances, which ones tend to plea bargain, which ones usually settle, etc. Not only is this information helpful for scheduling cases more realistically, but it gives judges a tool to help them decide more fairly when to press for action and when to be lenient with extensions.

Finally, the attorney registration system could be expanded to include additional information helpful to the court. A primary example would be the inclusion of secondary languages in which the attorney is fluent.

8. Case Tracking. All subsystems should have the ability to identify cases and situations which are approaching specific deadlines, have surpassed certain case processing milestones, or have met other exception reporting conditions. All subsystems should be able to produce scheduled and spontaneous displays and reports showing such things as status of an individual case, all cases at a specific stage of processing, all cases requiring some attention by the court because of missed deadlines, arrearages in payments, age, number of continuances, and other special circumstances, and all case records with some error or inconsistency which should be addressed. The exact case tracking requirements vary among case types and court divisions. Some exception reporting conditions remain fairly constant, however; these are described in more detail in the sections on specific court functions. Other exception reporting situations are more fluid, requiring the capability to tailor specific exception reports and displays whenever required. The system should provide the user with relatively simple methods to interrogate the database and search for cases that meet exception conditions. Case tracking should also be linked to calendar management and notice generation functions of the system.

9. Management and Statistical Reports. One of the most rewarding benefits of implementing an automated court

information system is the ability to produce both detailed and aggregate information about caseload, caseflow, workload distribution, and trends. These types of information furnish valuable feedback to managers and administrators that is impossible to obtain from manual operations. Moreover, such detailed information is obtained as a by-product of the normal day-to-day operation of the system, requiring no additional clerical effort to produce.

All subsystems should produce the appropriate comprehensive but concise management and statistical reports for caseflow and caseload management, resource allocation, and budgeting purposes. Reports must be carefully designed to meet the information needs of the courts as precisely and completely as possible. The information should be presented in the most easily used format for the type of information and the purpose it is to serve. Simple charts and graphical output should be used where appropriate.

The additional reports that are currently unavailable from the manual system will not only help in the management of the daily operations, but will help in the assessment of the court's performance and in planning for the future. With these available tools, the court can measure the success or failure of changes in procedures, policies, and staffing that may be tried from time to time. Through the use of reports that analyze time intervals between various stages of case processing,

the court can determine where impediments to swift processing are occurring and can devise procedures or increase manpower to alleviate these bottlenecks.

A comprehensive set of model management and statistical reports are defined in the Court Case Management Information Systems Manual<sup>1</sup>. The relevant parts of this manual are discussed in Chapter III (Section I) of this report. Other requirements are detailed in the individual sections dealing with court functions. In addition to these regular predefined reports, the automated subsystems should be able to generate ad hoc reports quickly and easily to satisfy special reporting needs and one-time requests.

10. Interface With Outside Agencies. In addition to the flow of information between subsystems within the integrated automated court system, the subsystems should be able to exchange information with agencies outside the court. The requirements for the exchange of information will include both machine-readable and human-readable forms of information, depending upon whether the particular outside agency is automated. In either case, the subsystem must be able to extract the needed information and produce the output in the required format, or accept the necessary input data. For those agencies that are

---

<sup>1</sup> Mary Louise Clifford and Lynn A. Jensen, Court Case Management Information Systems Manual (Williamsburg, Virginia: National Center for State Courts, 1983).

computerized, a communications capability must be established for the direct exchange of information between the court's computer and the agency's computer. The outside agencies with which the court must establish data interfaces are:

- County of San Mateo
- Superior Court
- County Clerk's Office
- Sheriff's Office
- District Attorney's Office
- California Department of Motor Vehicles
- California Department of Justice
- Private Defender's Office
- Probation Department
- O.R. Project

Most details about the types of information which must be exchanged with these agencies are contained in the sections of this report on specific court functions; some interfaces, however, are discussed immediately below.

The San Mateo County Controller's Office has interfaces with the municipal court in many court functions. In each instance the transfer of information between the court and the controller's office is conducted by transfer of hard copy data. The controller's office processes its workload with the aid of the county's IBM 4341 computer. At present, all data processing at the controller's office is done in batch mode. The county has purchased an IBM 4381, Group 2



computer that is being phased into operation. Most systems will be on-line and operating by the end of calendar year 1986. It is recommended that the municipal court system be designed to interface with the new IBM 4381 with interim manual hard copy interfacing until both systems are operational. Standard IBM communications protocol (SNA/SDLC) are presently envisioned for this system.

The municipal court accounting department interacts with other county agencies to run the court's payroll, acquire supplies from the county stores, make major purchases, and order print requests, minor and major work requests, direct claims for travel and expenditures, and EDP requests. The processing of these requests from the municipal court are batched into the current IBM 4341 for the payroll, purchasing, and general services departments. The systems being developed for the new IBM 4381 will bring significant operational changes to the above agencies. The new municipal court system should have on-line capability to all of these agencies.

The municipal court jury management function interfaces with the jury commissioner and the controller's office. The jury commissioner uses the same IBM 4341 computer used by the controller and also is a batch user. As noted in the jury management section of this report, an on-line interface between the jury commissioner and jury clerk will eliminate duplicative

data entry for both users. This communication should be established for the county's new IBM 4381.

The superior court, county clerk, district attorney, and sheriff's department have certain clerical functions automated in a multiple user system. This is an on-line system run on a DEC PDP 11/70 and a DEC PDP 11/34. The operating system for the DEC hardware is RSX 11-M. This system is being converted to the county's new mainframe IBM 4381 also. The exact improvements and expansions of the present system and what the dates for operation are is not known at this time. Here, too, the municipal court should plan to interface with the new system.

The California Department of Motor Vehicles has attempted to manage 15 different communications protocols to effect automated communications between itself and California courts and police agencies. The Department has realized the benefits that would result from on-line access to its files for the courts, and therefore is encouraging courts to establish on-line communications. The Department of Motor Vehicles presently operates IBM hardware under the standard Systems Network Architecture (SNA). The system supports both bi-synch and SDLC communications protocols. To establish this on-line communication the court will need a leased telephone line to DMV.

The court communicates with a variety of information services and agencies to acquire and disseminate criminal identification and information. Much of this data

storage is overseen by the California Department of Justice. According to Mr. Fred Wynbrandt, Assistant Director at the Division of Law Enforcement of the Department of Justice, the best avenue of access to the DOJ information is through the existing CLETS network. Instead of using individual terminals, however, the court should establish a computer interface with CLETS. This would allow information to be extracted from CLETS and stored in the court's computer. Conversely, it would facilitate the automated transmission of criminal information from the court to CLETS, without requiring a clerk to re-key it into a CLETS terminal. To extract information from CLETS, the court would have to meet DOJ information dissemination guidelines. It is anticipated that these guidelines would be met simply by the use of the court system's transaction logging capability, another core requirement, to provide an audit trail.

Each police agency in San Mateo County interacts with the municipal court. From each police jurisdiction citations are delivered and bail and bond deposited. Police are notified or subpoenaed to appear in court, cash statements are sent to police departments, and warrants are issued for execution. It would be impractical for the municipal court to attempt to develop a system that could interface with all county police agencies directly, but the necessary exchange of data can probably be accomplished through CLETS and the Police Information Network (PIN).

11. Data Integrity and Security. All automated subsystems must be designed with the capability of protecting the integrity of data and providing controlled access to information. Each subsystem must insure that only properly authorized persons have access to sensitive data. Security should be available on multiple levels, with different users having different abilities to add, change, and delete information from the system. Security must be adequate and sufficiently flexible to permit terminals to be placed in public areas for inquiries into certain information as determined by the Court. Data integrity must be insured by adequate backup of court records and adequate safeguards against accidental user errors that would cause destruction of computerized records.

A transaction log should be maintained for all updates (additions, changes, and deletions) to records. This transaction log will aid in tracing which users made which changes to information in the system. It will also serve as a means of recovering from system failures that destroy data in the computer files. When used in conjunction with a backup copy of a database, the transaction log can help rebuild the database to a current state.

12. Automated Telephone Voice Response Unit. The overall automated court system should include an automated

telephone voice response unit. This unit would be capable of automatically answering telephone calls and interfacing with case files to provide instructions to the caller with a synthesized voice. The unit should be able to interface with the traffic and parking case processing subsystem, the jury management subsystem, and possibly the criminal case processing subsystem. The unit should be designed to receive input from a caller via touchtone telephone keys. On the basis of this input, the unit should be able to look up appropriate case information and compose informative messages for voice response.

Several specific requirements would have to be met by the voice response unit for traffic case handling. The unit should instruct the caller to punch in his citation number or case number, depending upon the stage of the case and what notice had been received from the court. Using this information, the unit should then interrogate the case files and inform the caller of his case status and his obligations at this point. The unit should be able to inform the caller of the amount of the bail, the deadline for paying the bail, and where and how to pay the bail. It should be able to alert the caller to mandatory court appearances, and explain where and when he is to appear. If the caller is eligible for traffic school, he should be so informed and given the necessary instructions.

The caller should also be advised if there is a warrant issued for his case. Other general instructions should be provided to the caller, such as how to plead not guilty. A desirable feature would be the ability to search the case index on the basis of the retrieved defendant's name to determine if there were other pending cases for the caller. If so, the case number and circumstances of these should be described to the caller as well.

For parking cases, the caller should be informed of the location of the offense and the vehicle involved. The system should tell him the amount of the bail, the due date for payment, how to pay, and where to pay. He should also be advised of the procedures for contesting parking tickets. This information would include when and where to appear in court.

In responding to all telephone calls, the automated unit should provide a means of connecting the caller with a clerk if necessary. This mechanism may be as simple as informing the caller of a different telephone number to be answered by a clerk, or as complex as transferring the call directly upon a touchtone-based request by the caller. The latter situation would probably require transferring the line to a hold status until the clerk was available. In general, the unit should be designed to provide as much information as possible to avoid the necessity of human interaction with the caller. However,

under no circumstances should the caller be made to feel that court personnel are inaccessible.

A desirable extension of the automated telephone voice response unit would be the capability of automatically dialing violators to remind them of bail amounts and deadlines, and to serve as a first-line followup for failures to pay. While this extended feature would interface principally with the traffic and parking case processing subsystems, it may also be useful for fee and fine collection in criminal cases. Functioning in this capacity, the unit would work from a list of citation or case numbers, would extract the pertinent information from the case records, and would automatically dial the telephone number. After establishing the identity of the person answering the telephone, perhaps through a designated touchtone entry, the unit would deliver a polite, informative message stating the information concerning the case. This would include the amount of the fee or fine, and when and how to pay. Ideally, the unit should record some acknowledgment by the listener confirming his intention to meet the obligation. The presence or absence of this acknowledgment should be recorded in the case record to serve as a basis for additional followup by court personnel.

13. Legal Research Database Service. The system should include the capability of accessing a legal research database service, such as WESTLAW or LEXIS. These services can be cost effective in the savings of time required by law clerks and legal aids to research current legal issues and discover precedents. While minimally this capability could be implemented through a terminal and dial-up modem, it would be desirable to have the capability to extract retrieved information and store it in the court's computer for a limited time for further use.

This system can help the court in several ways. The court presently lacks law clerks so the hours judges currently spend doing their own legal research can be reduced significantly. Also, there are hundreds if not thousands of decisions a year from California's appellate courts and thousands more from other states; a legal research system will assure the judges they are applying the most current appellate interpretation of the law. This system also allows the court to be sure that a case on which it or counsel are relying has not been reversed, modified, or interpreted differently. Substantial legal research time can be saved through use of this system.

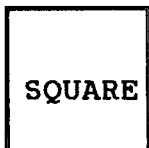


### III. MUNICIPAL COURT PROCEDURES AND REQUIREMENTS

This chapter provides descriptions of the procedures in use in the San Mateo County Municipal Court as of November 1985. It is important to note that the procedures described are those in practice, not those necessarily recommended in procedures manuals for courts.

For each of the eight substantive areas described (criminal, civil, small claims, traffic, parking, case-related accounting, administrative accounting, and jury) the material appears in three formats. The first is a general caseflow overview setting out the scope of the area in one to three pages of flowchart. The second is a detailed flowchart of each major process of the area. Finally, a textual description of the area is provided.

The symbols used in the detailed data flow diagram are illustrated and defined below:



External source or destination of data. This is normally a person or agency outside of the court's administrative structure, such as the attorneys in a case, the prosecutor, the county treasurer, etc. It may also be an entity within the courts (such as the trial judge) if that entity is external to the process being described.

ARROW



**Data flow.** A collection of data elements logically passing from one entity to another (i.e., from an external source to a process; from a process to a data store; from a data store to a process; etc.) Physically, a data flow is normally contained on a form or is made up of data elements retrieved from a printed record, such as the docket book. However, a data flow may also be contained in a telephone call, a conversation over the counter, or the electronic transfer of data from a computer terminal.

ROUNDED

RECTANGLE

**Process.** A process is the manipulation of data. Physically, it may be a roomful of clerks updating dockets, a cashier assessing fees, or a computer program calculating statistics.



RECTANGLE

Data Store. A collection of data elements being stored. Physically, a data store may be the outside of a case jacket, a rotary card file, a file folder, a docket book, a computer file on tape or disk, or a table of values (e.g., a fee schedule) stored in the memory of a clerk's brain.

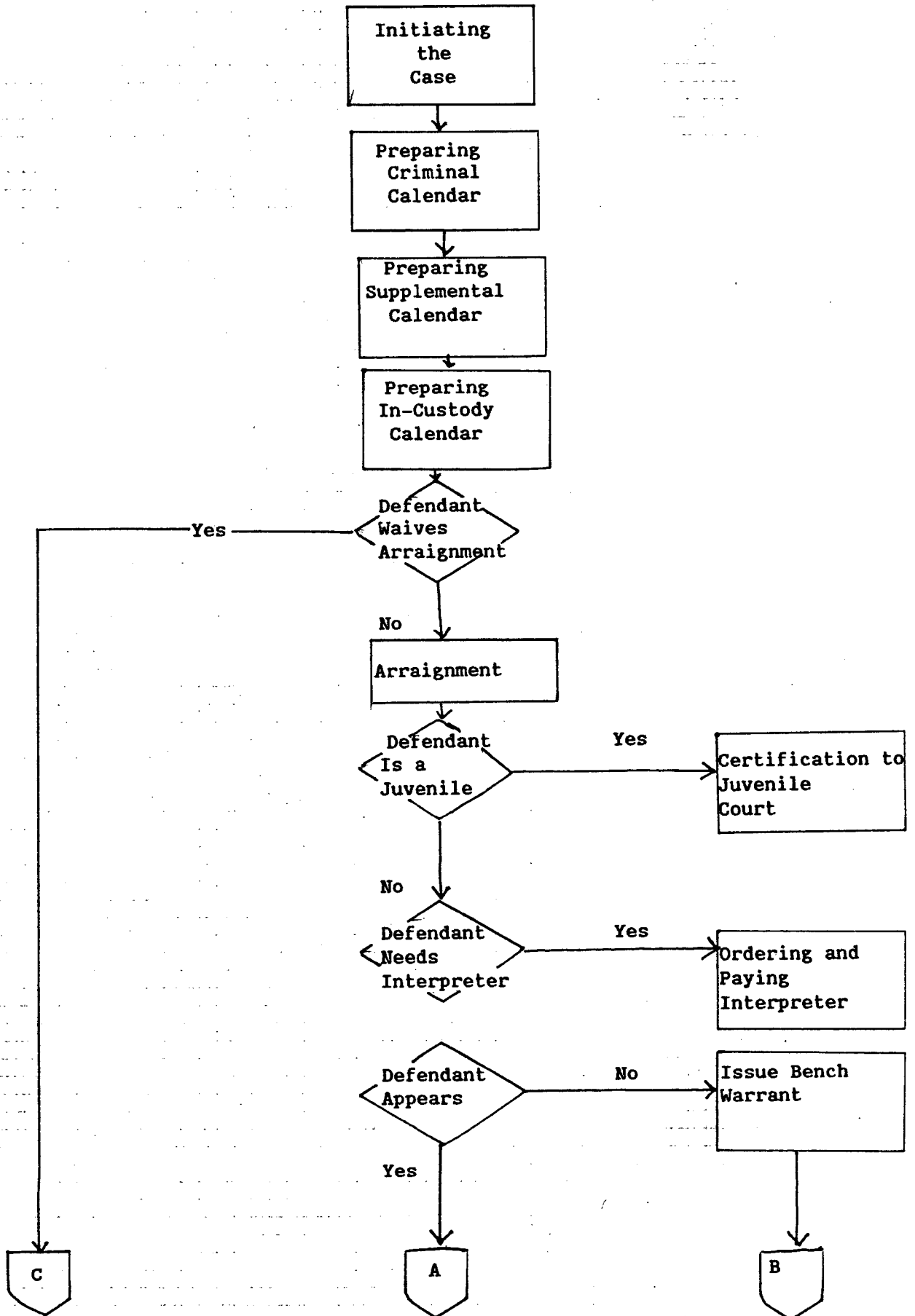


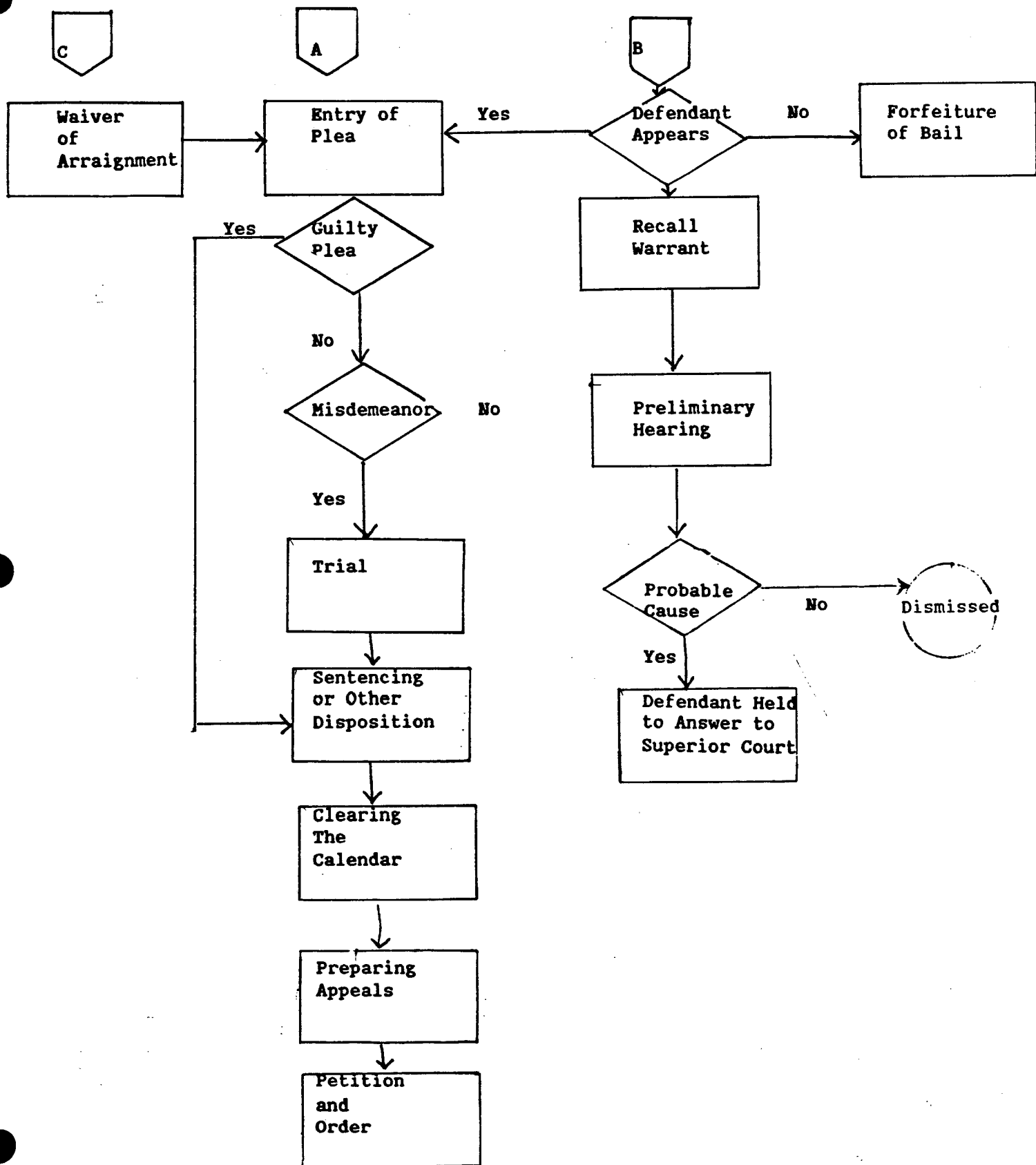
DIAMOND

Decision. A representation of a question requiring a yes or no answer where the answer determines the procedure to be followed.

Finally, a textual description of the management information system for the court is provided, including a discussion of Judicial Council reporting requirements.

# CRIMINAL CASE PROCESSING





**INITIATING  
THE  
CASE**

**DA/  
Arresting  
Agency**

**Complaint**

The DA files the complaint with the clerk.  
Verify the proper court and the signature.  
Obtain next case number from prenumbered file folder.  
File stamp with clerk's signature on original.  
File and endorse stamps with signature stamp on copies.  
Prepare papers to go into the case file folder, complaint, docket, face sheet, conditions of probation/notice of sentence and commitment.  
Enter appearance date on docket and in calendar book.  
Extract information and enter on index.

**Note:**

DA may file declaration (signed by DA or arresting officer) which allows clerk to automatically issue arrest warrant upon defendant's non-appearance.

**Case File Folder**

**Index**

**Docket**

**Calendar  
Book**

**PREPARING  
CRIMINAL  
CALENDAR**

Courtroom  
Clerk

Case File  
Folders,  
Calendars

DA

Calendar

Public  
(posted)

Calendar

Probation  
Dept.

Calendar

Sheriff

Calendar

Branch  
Manager

Calendar

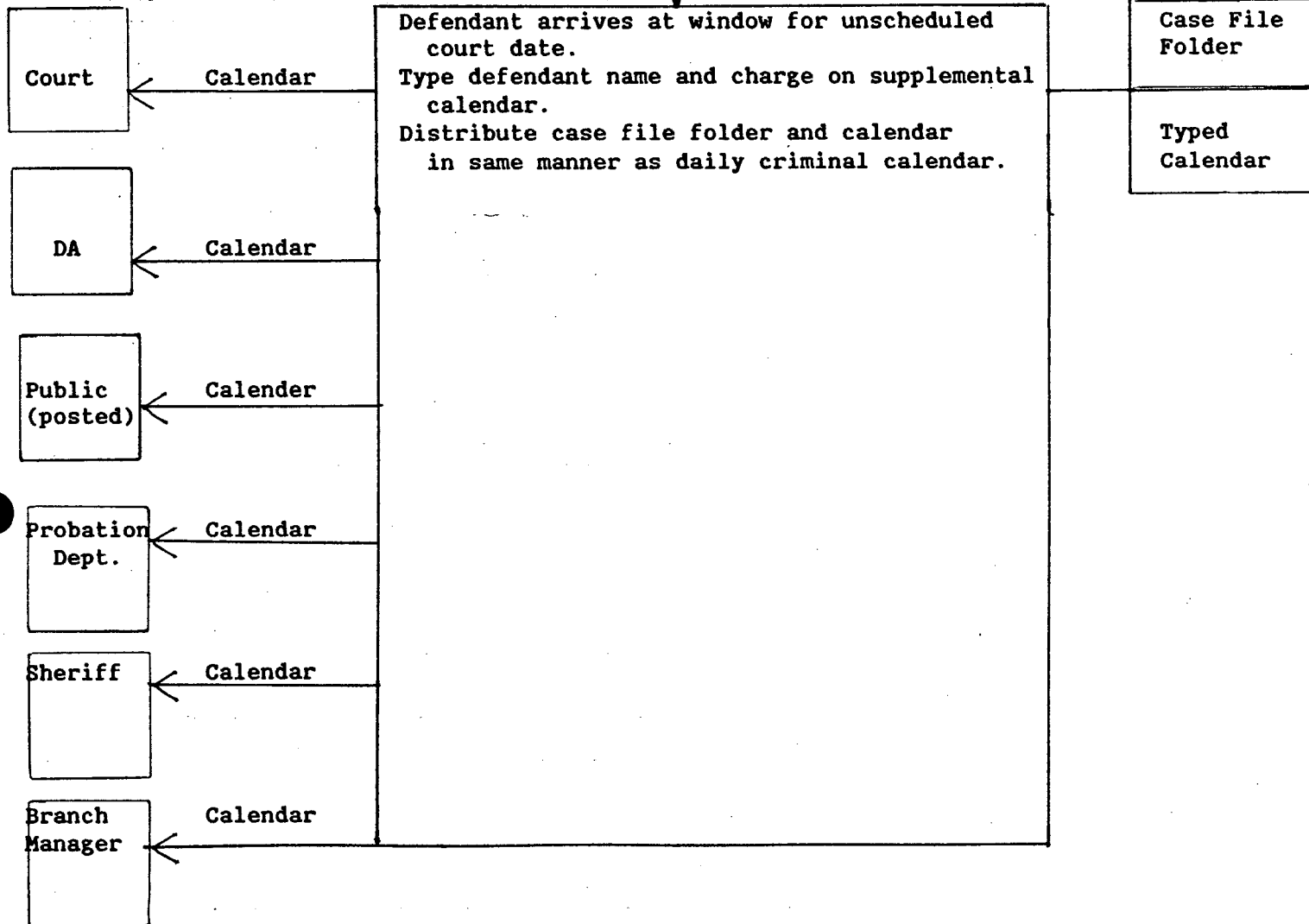
Obtain names of cases from  
calendar book.  
Pull case file folders.  
Type calendar according to priorities.  
    . Separate in-custody from out of  
      custody.  
    . Group cases by private attorney.  
    . Include defendant name and charge.  
Indicate line number on docket and  
on case file folder.  
Separate docket from file.  
Sort files and dockets according to  
calendar order.  
Distribute to courtroom clerks  
(of courts handling criminal  
case).  
Post calendars and distribute to  
district attorney, all court-  
room clerks, probation department,  
sheriff, branch manager.

Calendar  
Book

Case File  
Folder

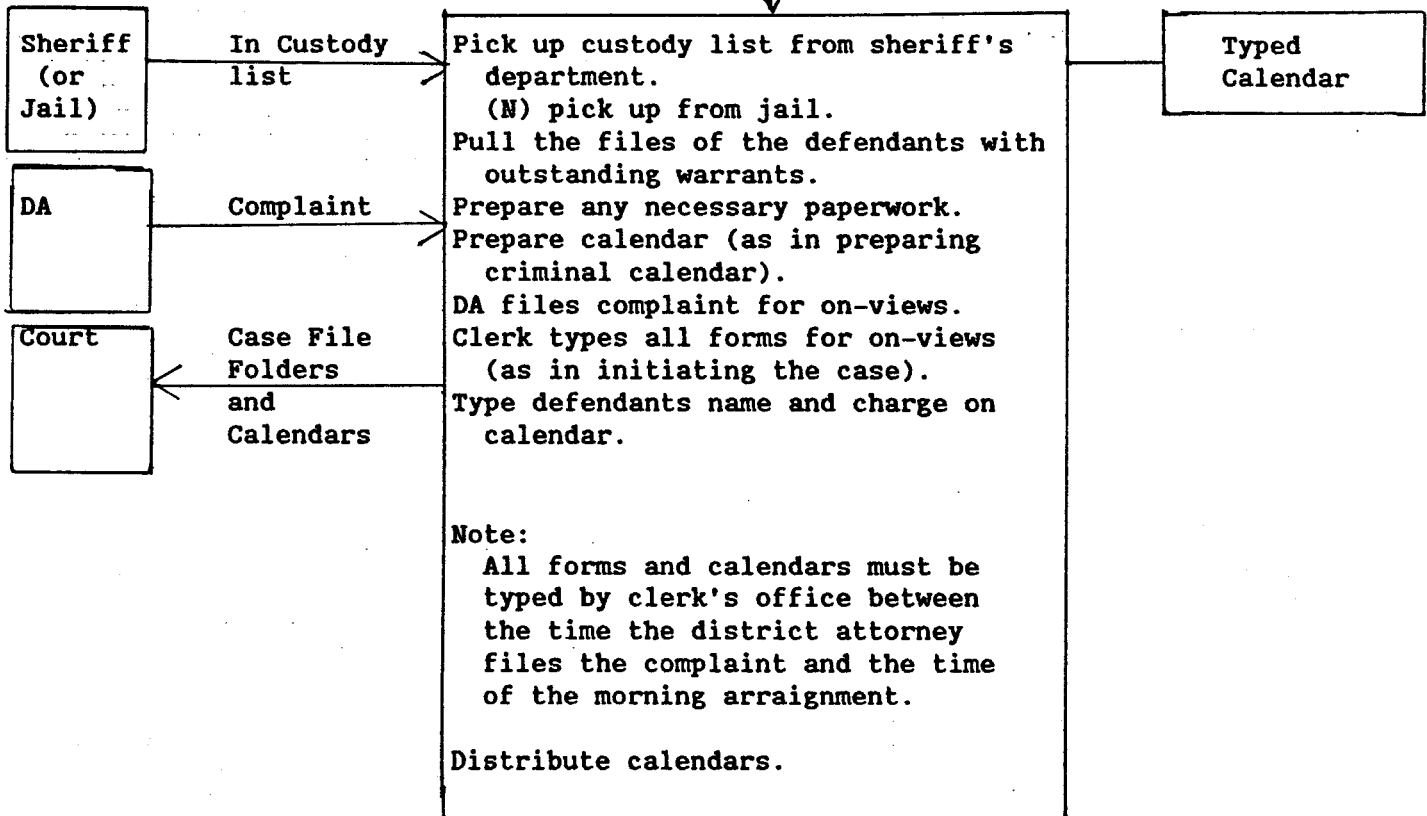
Typed  
Calendar

**PREPARING  
SUPPLEMENTAL  
CALENDAR**

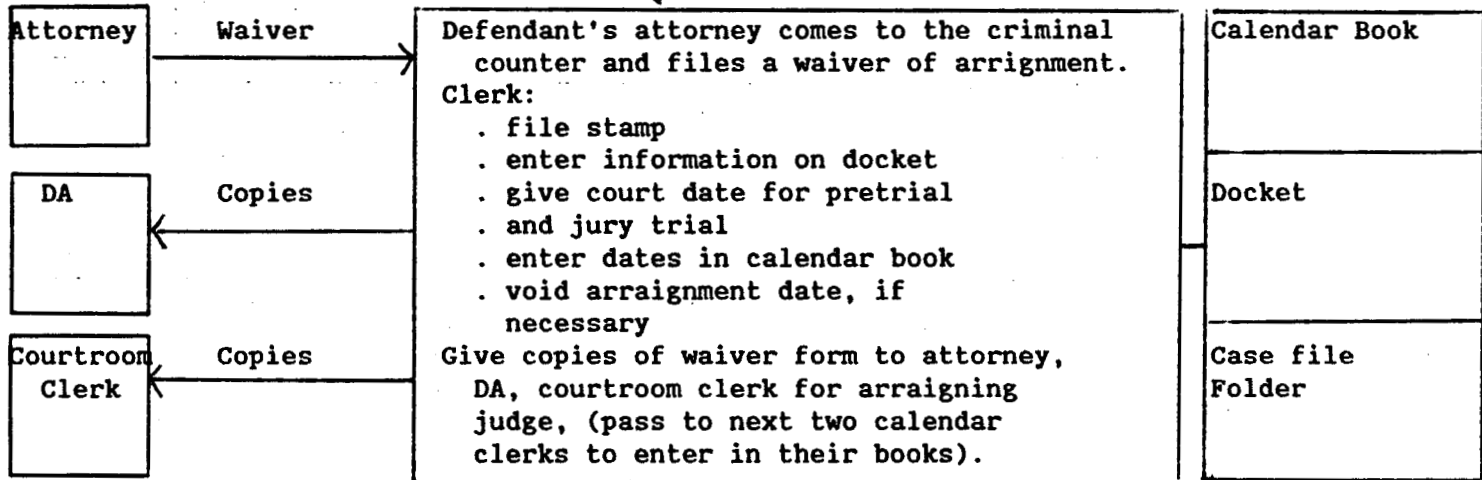




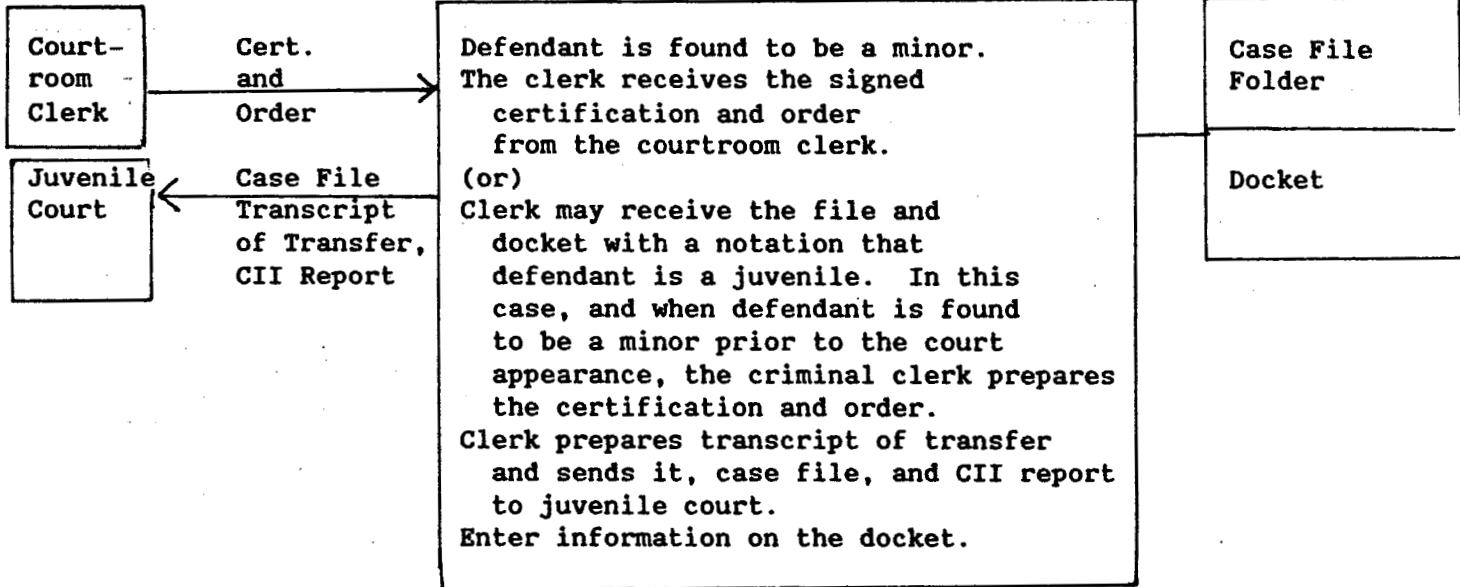
**PREPARING  
IN-CUSTODY  
CALENDAR**



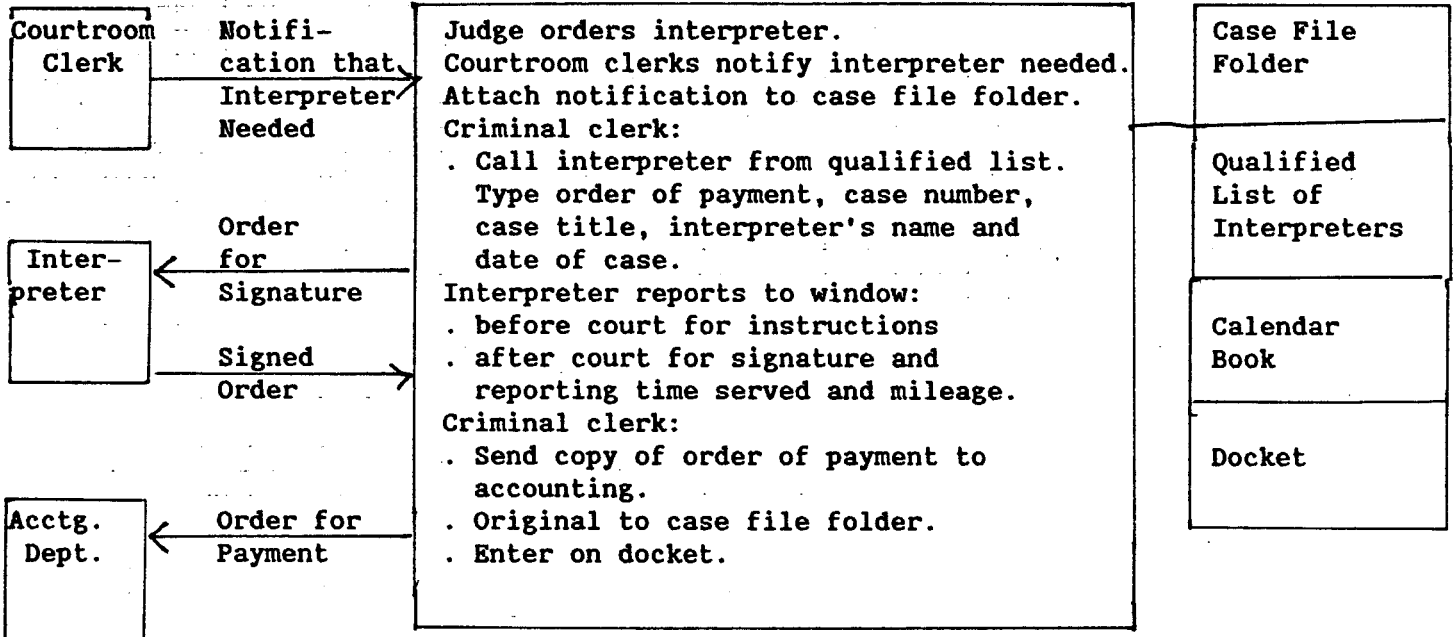
**WAIVER  
of  
ARRAIGNMENT**



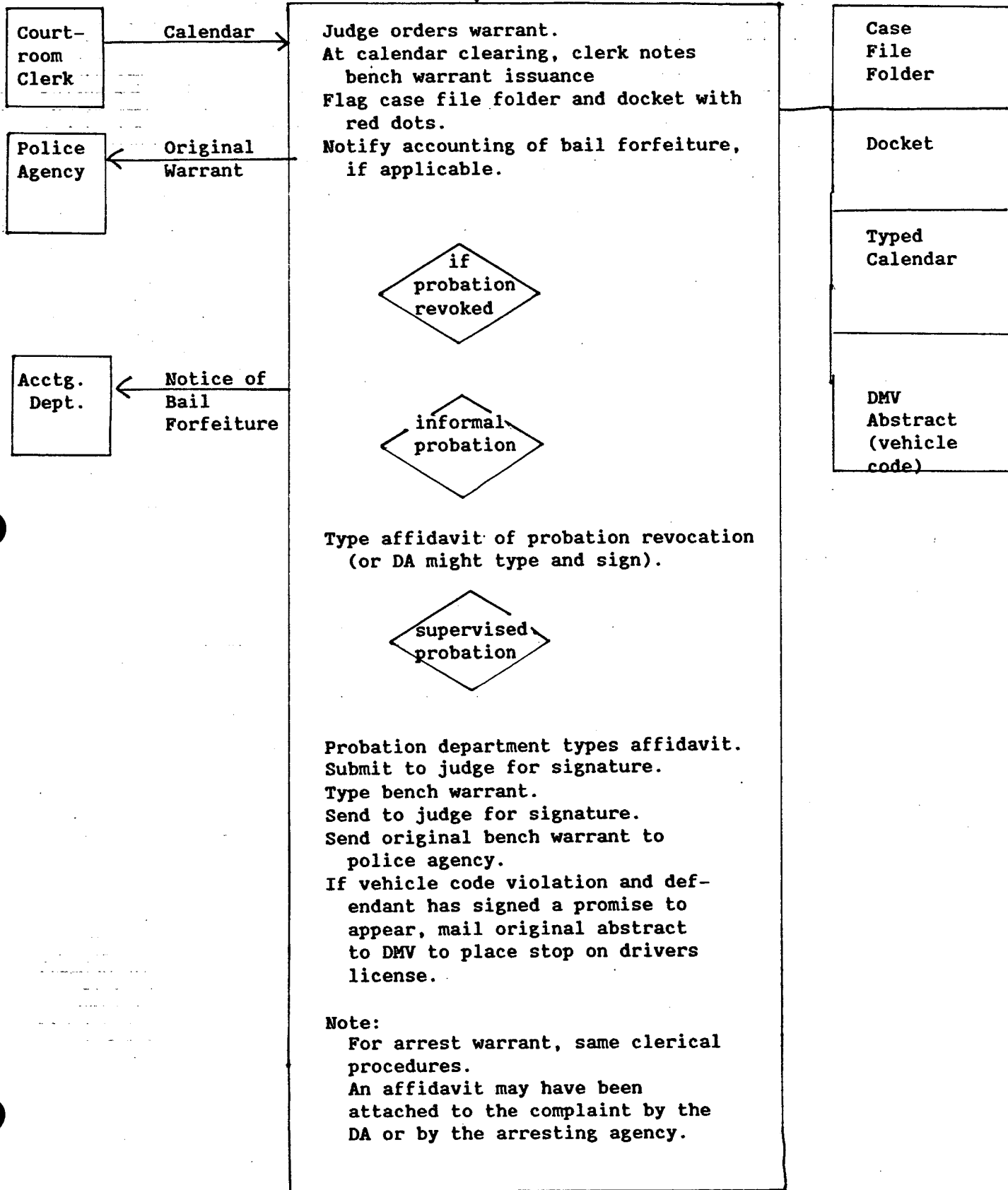
**CERTIFICATION  
to  
JUVENILE  
COURT**



**Ordering  
and  
Paying  
Interpreters**

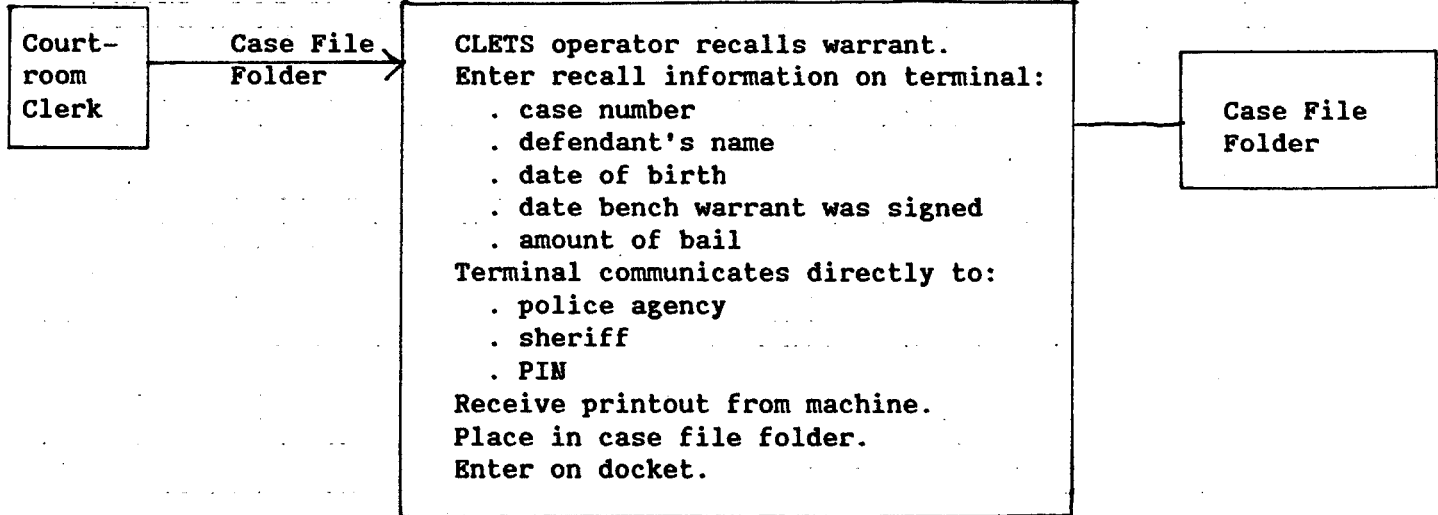


**PREPARING  
WARRANTS**



**PREPARING WARRANTS  
(continued)**

**Recall  
Warrant**



**BAIL FORFEITURE**

If  
Cash  
Bail

Judge

Order of  
Bail  
Forfeiture

C,S - Send defendant's file to accounting department.  
N - on forfeiture sheet enter case number defendant's name, violation.  
. indicate disbursements.  
. send forfeiture sheet to accounting department.  
If bail is \$100 or more, notify depositor of forfeiture.  
Type bench warrant, if applicable.

Forfeiture  
Sheet

Acctg.  
Dept.

If  
surety  
bond

Judge orders surety bond forfeited, orders bench warrant with new amount.  
Bail clerk-- send notice of defendant's FTA to bondsperson and surety company.  
Include date of order, date of notice.

Note: Clerk has 30 days to notify bondsperson and surety company or bond cannot be forfeited.

Receive motion to set aside, for exoneration of bond, or to reinstate bond.

Calendar on L&M calendar.

If less than 180 days, judge may order bond exonerated.

Note:

Defendant can appear or judge can order exoneration for other reason.

Surety Bond  
Book

Case File  
Folder

Calendar  
Book

Bonds-  
person or  
Surety Co.

Motion  
to  
Set Aside

If  
bond  
exonerated

Enter exoneration in bond book with date.

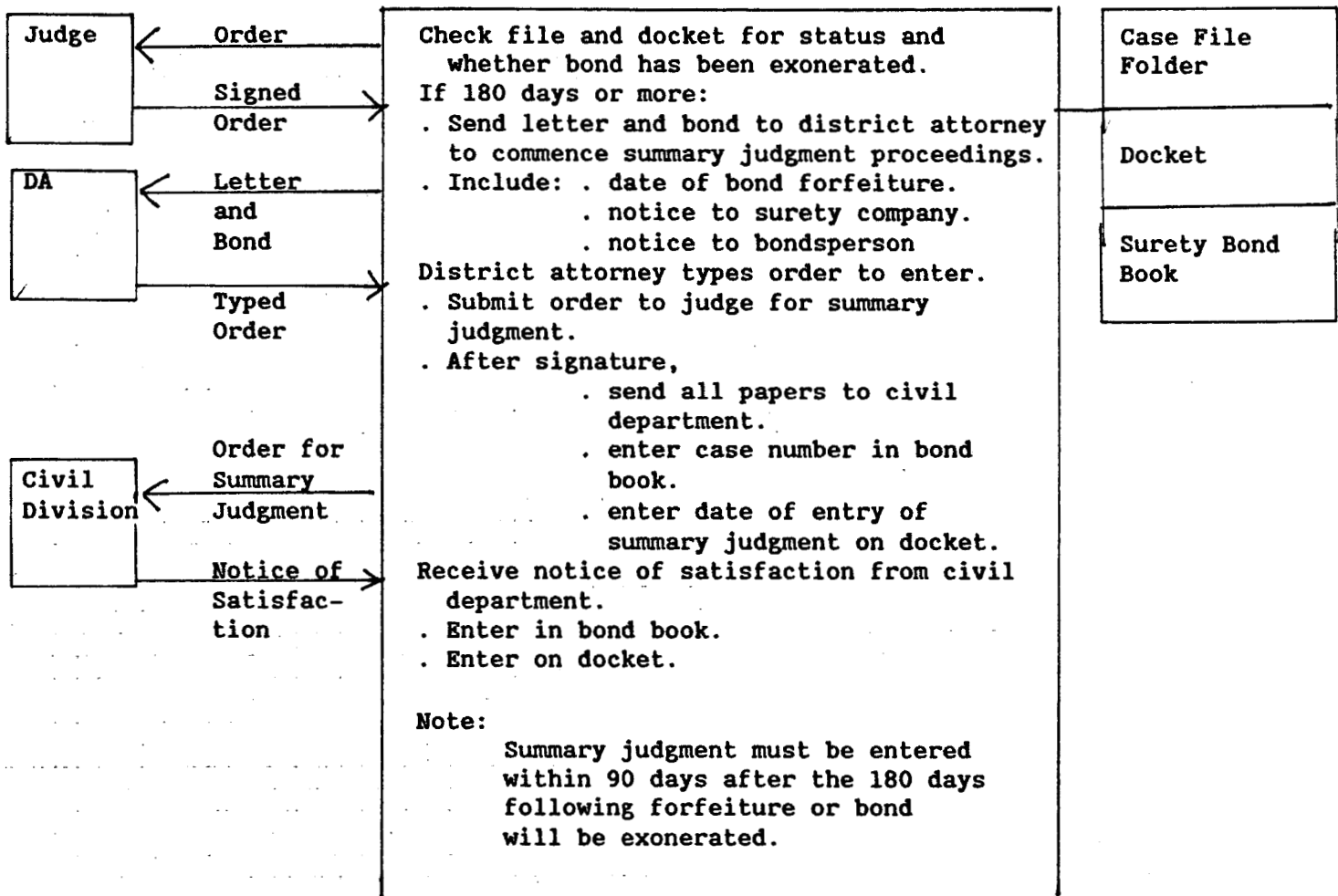
Enter on docket.

Surety Bond  
Book

Docket

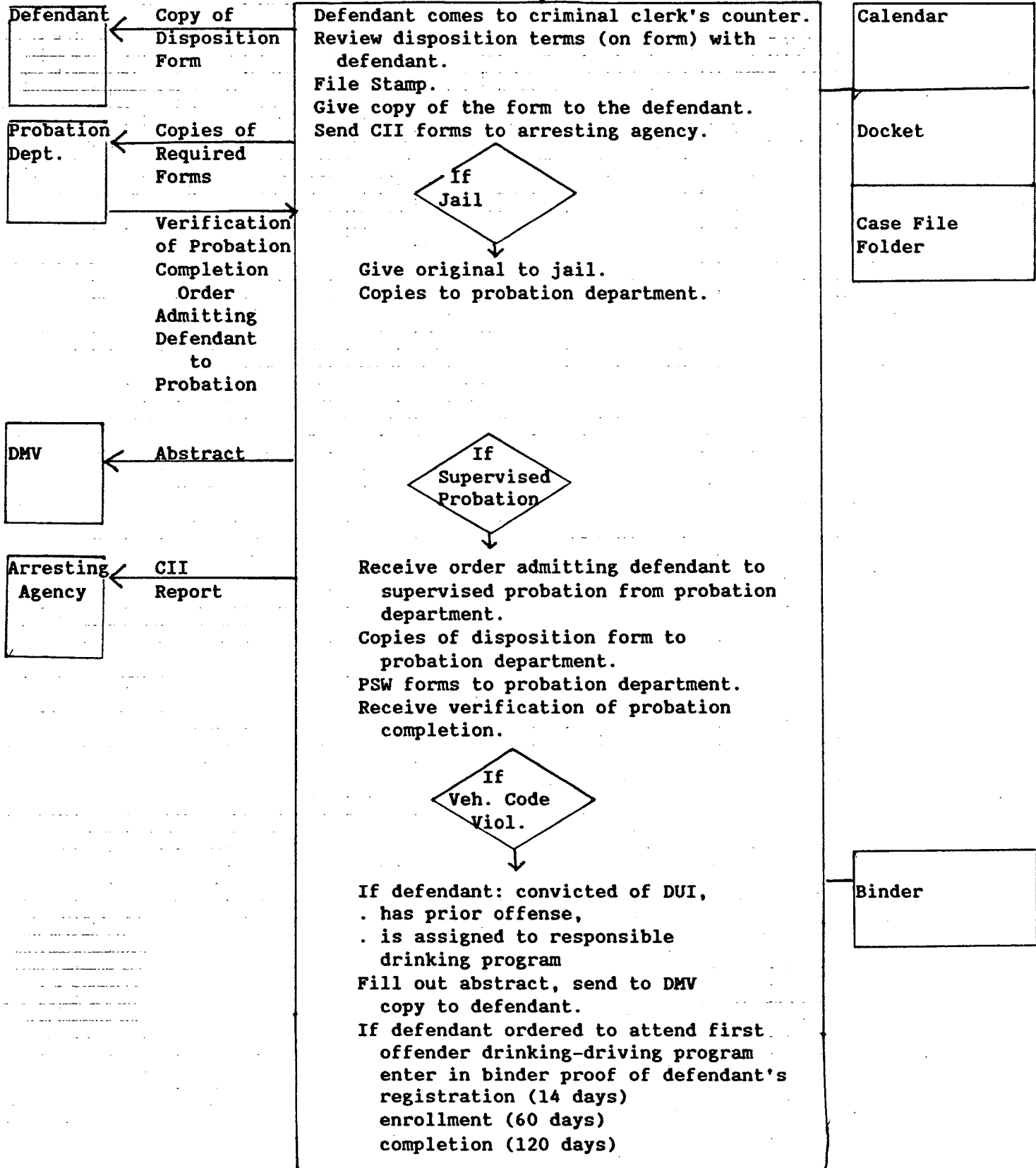
**BAIL  
FORFEITURE  
(continued)**

**If  
Bond Not  
Exonerated**





SENTENCING OR  
OTHER  
DISPOSITION



**SENTENCING  
(continued)**



**Note:**

After January 1, 1986, defendant is required to provide proof of completion, only.

**If  
Restitution  
Ordered**

Defendant brings proof of restitution.  
Enter on docket.

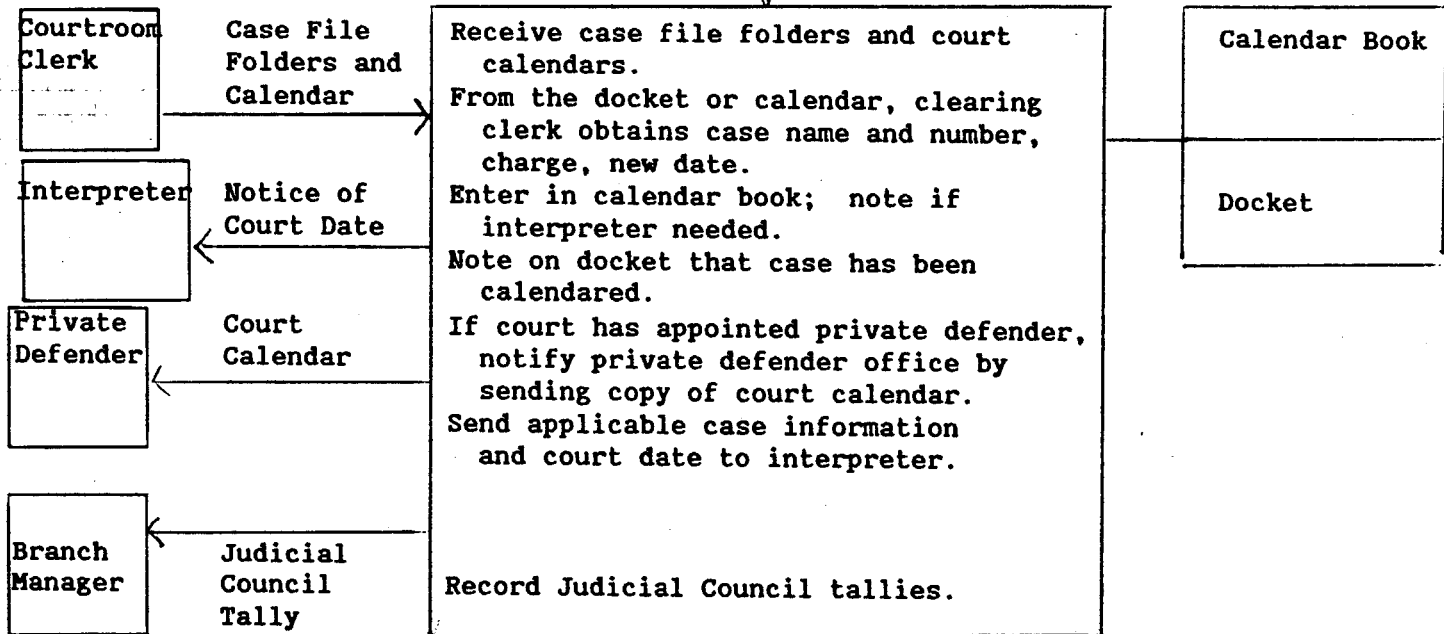
If no proof,  
Bench warrant will be issued.  
Enter verification of restitution in  
binder.

**Note:**

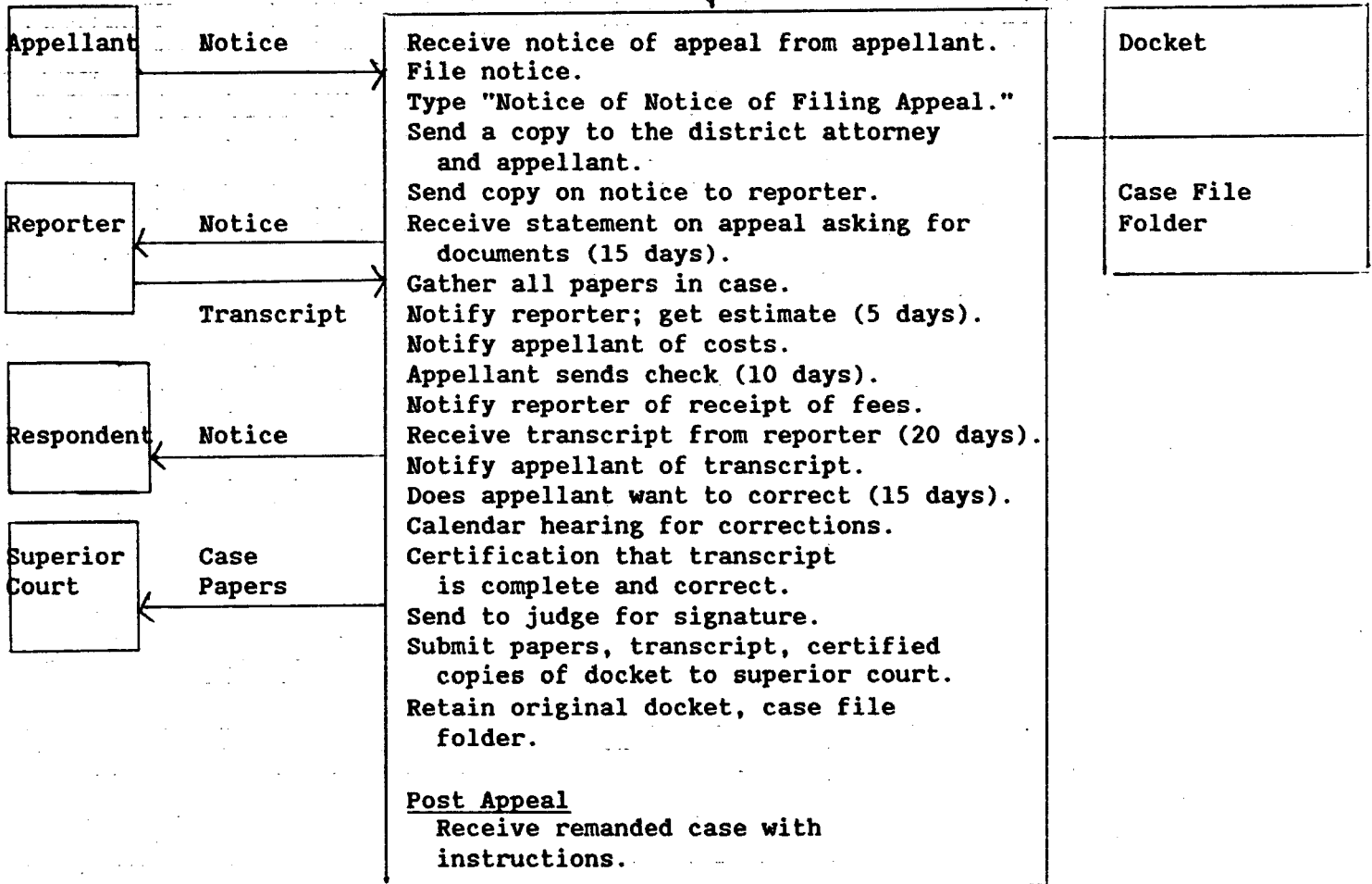
\$10 restitution fee required  
by statute to be collected on every  
misdemeanor conviction is not  
a condition of probation.

**Binder**

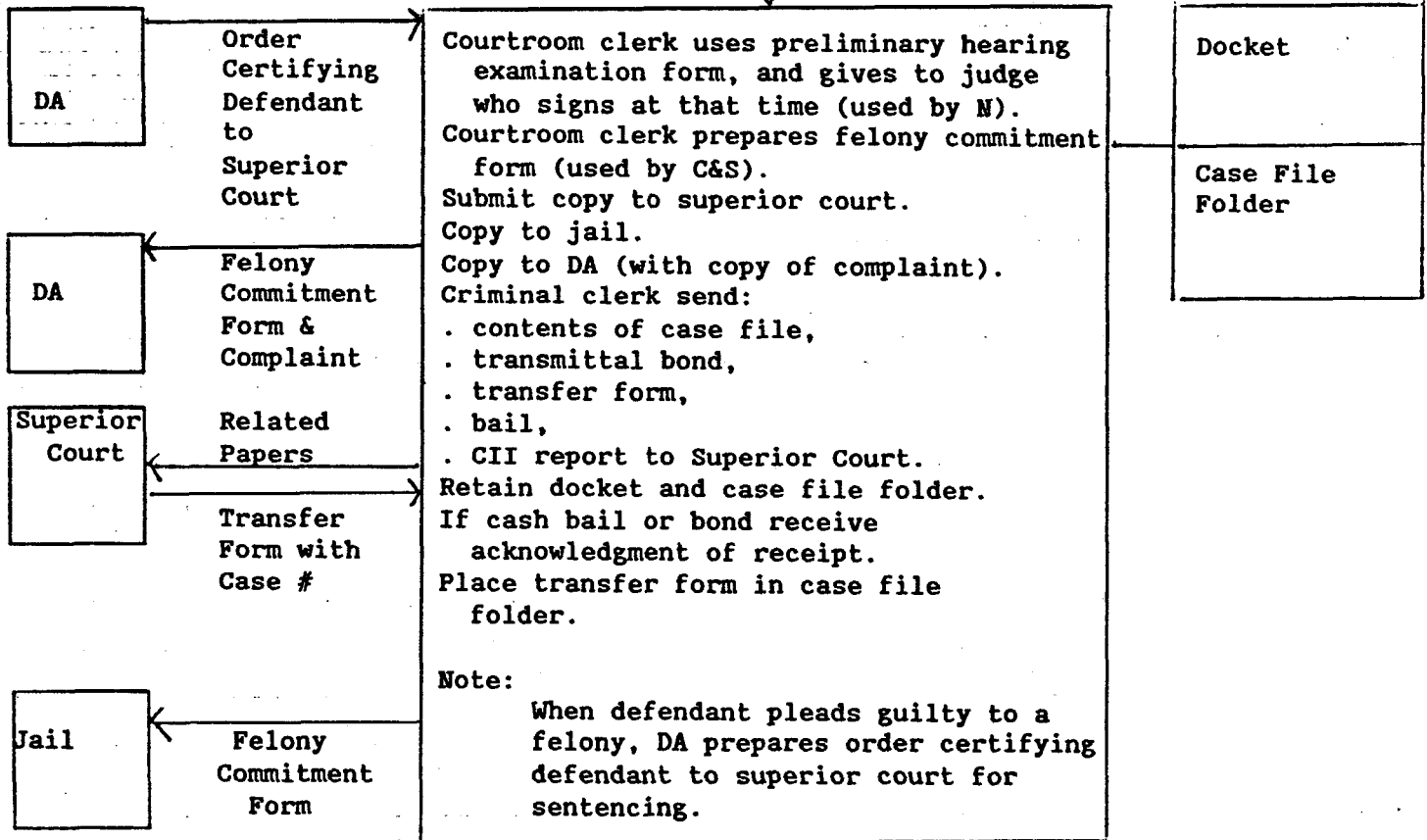
**CLEARING  
THE  
CALENDAR**



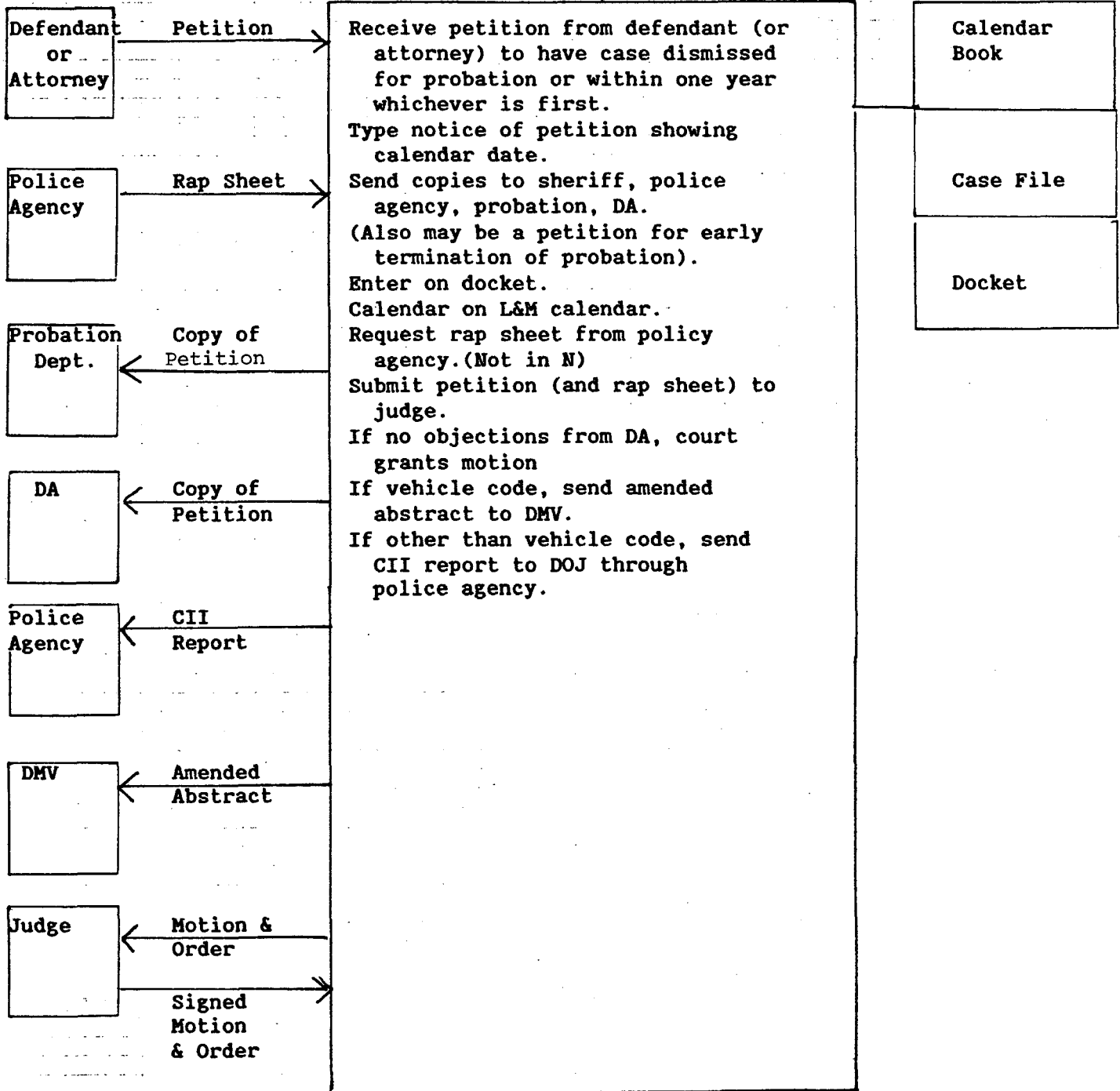
**PREPARING  
APPEALS**



**HELD TO  
ANSWER TO  
SUPERIOR COURT**



**PETITION  
AND  
ORDER**



## CRIMINAL CASE PROCESSING

### 1. Initiating the Case

In criminal cases, the case is initiated when the district attorney or the arresting agency files a complaint against a defendant. The clerk receives the complaint and verifies it for the proper court and signature. She uses the next prenumbered case file folder to obtain the case number, checks the numbering stamp for correctness, file stamps the original, and signs it. She stamps copies with the file and endorsed stamps and with her signature stamp.

The clerk then prepares the papers to go into the case file folder. She types defendant's name and the charge and custody information on each document including the complaint, docket, face sheet, and the form: conditions of probation, notice of sentence and commitment. She notes the arraignment date on the docket which is used to record all activity in the case. An affidavit for an arrest warrant may be filed by the district attorney at this time. If so, it is placed in the case file folder to use if it is needed.

Index information is extracted from the complaint and entered into the EDP system. Names and case numbers of defendants who are in-custody are written on a steno pad and information entered into the index from this source.

### 2. Preparing the Criminal Calendar

The clerks obtain the names of cases scheduled from the calendar book and pull the case file folders. Calendars are typed according to priorities, e.g. all cases represented by a

particular attorney will be calendared together.

After typing, the clerk indicates the line number on the docket and on the file; she separates the docket from the file and sorts the files and dockets according to calendar order. She photocopies the calendars and distributes them to the courtroom clerks, the district attorney, the probation department, the sheriff, and the branch manager and posts a calendar at the courtroom.

### 3. Preparing the Supplemental Calendar

Sometimes a defendant will show up at the clerk's window for an unscheduled court date. This may happen when the defendant missed an appearance and voluntarily appears before being picked up on a bench warrant. It may also happen if an attorney wants to advance a case. The clerk pulls the case file folder and prepares a supplemental calendar, entering defendant's identification and charge. The supplemental calendar is photocopied and the calendar and case file folder distributed to the court according to the criminal calendar procedures.

### 4. Preparing the In-Custody Calendar

The clerk picks up the custody list from the sheriff's department, or from the jail in the northern branch, for traffic and criminal. She pulls the files of defendants with outstanding warrants. When typing the calendar, the clerk ignores the on-views until the district attorney files the complaint. At that time the clerk pulls files for the on-views and open criminal warrants. On-views must have all the forms typed (as in preparing the criminal calendar) that morning between the time of filing and



the time the calendars need to be delivered. The calendars are distributed in the normal manner.

5. Waiver of Arraignment

Appearing at the clerk's office in person the attorney for defendant may waive arraignment for the defendant. The clerk gives the attorney a form to check the plea. She gives the attorney pretrial and trial dates and enters the dates in the calendar book, she voids the arraignment date, if necessary. She enters the waiver and the dates on the docket and files the waiver form in the case file folder. Copies of the waiver form are distributed to the district attorney, the defendant's attorney, and the courtroom clerk.

6. Certification to Juvenile Court

At any stage in the proceedings, it may be determined that a defendant is a juvenile. If this is determined at a court appearance, the courtroom clerk will note on the docket and the file that defendant is a minor or she may prepare a certification and order and send it to the criminal clerk. The criminal clerk pulls the complaint, prepares a transcript of transfer, and sends all to juvenile court. If minor status is determined prior to the court appearance, the same procedure is followed except that the certification and order are prepared by the criminal, not the courtroom, clerk.

7. Ordering and Paying the Interpreter

When the judge orders an interpreter for the defendant, the courtroom clerk notifies the criminal clerk that an interpreter is needed by attaching a notification slip to the outside of the case file folder. The criminal clerk calls the interpreter from a list

of those qualified. The clerk types the order of payment, including case number, case title, interpreter's name and the date of the case. The interpreter reports to the criminal counter on the day of the case and receives instructions from the criminal clerk. After court the interpreter reports back to sign the order of payment and to report time served and mileage. The criminal clerk sends the order of payment to the accounting department and places the original in the case file folder. She enters all actions on the docket.

#### 8. Preparing Warrant

If, at any stage of the proceedings, a defendant does not appear, the judge may order the issuance of a bench warrant, which the courtroom clerk notes on the court minutes. When clearing the calendar, the criminal clerk notes that a bench warrant has been ordered. She gives the file to the bench warrant clerk, who checks the minutes to see if probation has been revoked. She types the affidavit and sends a copy to the judge for signature. She then prepares the bench warrant, sends to the judge for signature and sends the original to the police agency. (If defendant is on bail bond instead of a cash bail, the courtroom clerk, not the bench warrant clerk, performs these procedures.) If defendant is on supervised probation the probation department prepares the affidavit. If bail is forfeited, notification is sent to the accounting department.

If a vehicle code violation is involved and defendant has signed a promise to appear, the clerk mails the abstract to DMV to place a hold on the defendant's driver's license. If an arrest warrant is issued, the same basic procedures are followed except

that an affidavit may have been prepared and filed at the time of filing of the complaint. The docket and the case file folder are each flagged with a red dot. The case file folder is placed on the closed file shelves until the defendant is arrested.

To recall a warrant, the CLETS operator enters the case number, defendant's name, date of birth, the date the bench warrant was signed and the amount of bail. The clerk receives a printout which she places in the case file folder. Warrant recall is entered on the docket.

#### 9. Bail Forfeiture

If defendant has posted cash bail, the clerk in the central and southern branches sends the case file to the accounting department. In the northern branch the clerk fills out a forfeiture sheet, entering case number, defendant's name, violation and indicating disbursements. She sends the forfeiture sheet to the accounting department.

If bail is \$100 or more the clerk notifies the depositor of forfeiture. If applicable, a bench warrant is typed.

If a surety bond has been posted, the judge orders the bond forfeited and orders a bench warrant in a new amount. The bail clerk sends a notice of defendant's failure to appear to the bondsperson and to the surety company. She includes on the order, the date of the order and the date of the notice. The clerk must notify the bondsperson within 30 days of the order of forfeiture or the bond cannot be forfeited.

The bondsperson may file a motion to set aside, motion for exoneration of bond, or motion to reinstate the bond. The clerk calendars the motion on the law and motion calendar. If less than

180 days the court may order bond exonerated. If bond is ordered exonerated, the clerk enters exoneration in the surety bond book and on the docket.

If bond is not exonerated and if it is 180 days or more from the date the forfeiture was ordered, the clerk sends a letter and the bond to the district attorney to commence summary judgment proceedings. She includes the date of bond forfeiture, notice to the surety company, and notice to the bondsperson.

The clerk receives the order to enter from the district attorney and submits it to the judge for signature. She then sends the order to the civil department, and enters the case number and date of entry of summary judgment in the bond book and on the docket. Summary judgment must be entered within 90 days after the 180 days following order of forfeiture or the bond will be exonerated. Notice of satisfaction of judgment, when received, is entered in the bond book and on the docket.

#### 10. Held to Answer in Superior Court

At the preliminary hearing, a finding may be found that probable cause exists to believe that a felony has been committed and that the defendant probably committed it. When this happens, a defendant is held to answer to superior court and a date for the continued appearance in superior court is given. (If defendant is in custody the new date must be within 21 days.)

The district attorney prepares the order transferring the defendant to superior court and gives it to the courtroom clerk who prepares the felony commitment form, and submits a copy to the superior court, a copy to the jail, and, along with a copy of the complaint, a copy to the district attorney. In the northern

branch, instead of the felony commitment form, the courtroom clerk utilizes a preliminary hearing examination form that she gives to the judge for signature.

The courtroom clerk returns the case file folder to the municipal court criminal clerk who sends its contents along with the transmittal bond, the transfer form, bail, and a CII report to the superior court. If bail was cash, entry is made to the docket as are other appropriate entries. The superior court criminal clerk returns the transfer form with the new case number. The municipal criminal clerk enters the information on the docket and places the transfer form in the case file folder.

#### 11. Sentencing or Other Disposition

The court imposes sentence, orders defendant to make restitution, pay a fine, or orders another kind of disposition. The defendant comes in person to the criminal counter. The clerk reviews the disposition terms marked on the form with the defendant; they discuss the terms and she gives a copy to the defendant.

If the defendant is sentenced to jail, the clerk sends the original form to the jail. For a defendant on supervised probation the clerk will receive an order admitting the defendant to supervised probation from the probation department. Copies of the disposition form and PSW form are sent to the probation department. Upon the defendant's successful completion of probation the probation department will forward verification of completion.

If the defendant was convicted of a DUI, has a prior offense, and is assigned to a responsible drinking-driving program, the

clerk completes the abstract and forwards to DMV.

If the defendant is ordered to attend first offender drinking-driving program, the clerk enters in the binder: proof of defendant's registration within 14 days, proof of enrollment within 60 days, and proof of completion within 120 days. After January 1, 1986 the defendant will be required to provide proof of completion only.

If restitution is ordered, the defendant is ordered to bring proof of restitution. If proof is not made, a bench warrant is issued, and if traffic-related, a license restriction entered.

#### 12. Clearing the Calendar

After the court proceedings, the courtroom clerk returns the case file folders accompanied by the court calendar to the criminal desk. In cases requiring probation or diversion, the case file folder is sent to the probation department and forwarded from there to the criminal clerks. From the court calendar or the docket the calendar clearing clerk extracts information including the case name and number, next court appearance date, the charge, and notation that an interpreter is needed and enters it on the appropriate date in the calendar book. She notes on the docket that the case has been calendared. Case information is then sent to the interpreter, if applicable. The clerk notifies the private defender of appointment, if applicable, by sending a copy of the court calendar.

Tallies are made for judicial council reporting. These tallies include 1538.5 motions, number of juries, pre-trial settlement conference, appearances on bench warrants, guilty pleas, guilty verdicts, probation hearings, arraignments, and

dispositions by jury and court trials.

### 13. Preparing Appeals

The clerk receives a notice of appeal from the appellant. She sends a "notice of notice of filing appeal" to the reporter and a copy to the district attorney. Within 15 days she receives a statement on appeal from appellant requesting case-related documents. She notifies appellant of costs for reporter's transcript; after receiving the fee, she notifies the reporter who delivers the transcript within 20 days. Parties have 15 days to request changes. If corrections are needed she calendars a hearing. When the transcript is complete she submits the papers, transcript, and two certified copies of the docket to the superior court. She retains the original docket, case file folder, and any papers not requested on appeal. After appeal has been taken she receives the remanded case with instructions from the appellate court.

### 14. Petition and Order

Defendant or defendant's attorney may file a motion to dismiss the case after sentencing. This may be filed after the completion of probation or after one year, whichever comes first. Defendant may also petition for early termination of probation.

The clerk types the notice of petition and sends copies to the sheriff, police agency, probation department, and district attorney. The clerk docket and calendars the motion on the law and motion calendar; in the southern branch it is heard ex parte. The clerk requests the rap sheet from the police agency, which she submits to the judge along with the petition. If the district attorney has no objections, the motion is granted and the file

returned to the clerk's office to follow the normal calendar clearing process.

If traffic related, an amended abstract is sent to DMV; if not traffic related, the CII is sent to the police agency which, in turn, forwards it to the Department of Justice.

#### 15. Automated System Requirements

Criminal case processing will utilize all the core requirements of the case management/processing subsystem. The on-line system must be accessible in the courtroom, the judge's chambers, the courtroom clerks' offices and the criminal clerk's office. Criminal histories should be able to be called up and, at minimum, should include prior convictions and disposition dates. The system also should interface with available networks for a statewide history. Docket and minute entries must be able to be entered during the court proceedings.

The district attorney's office presently has an automated index capability. Criminal case processing should interface with the district attorney's system at, or prior to, what is now case initiation at the municipal court clerk's office. Through this interface, defendant's name and charge information, entered at the district attorney's office should be able to be pulled up on the municipal court clerk's screen at case initiation. The criminal clerk would enter the date of filing and the case number. Thereafter, the district attorney's office would have an inquiry capability to the court's record.

The automated system must also interface with the sheriff and the jail. Lists of in-custody defendants that are now transmitted manually to the court would be able to be pulled up on the screen



for calendar preparation. The sheriff's department would also be able to provide a defendant's status report, including arraignment date, for all defendants released on their own recognizance. After court proceedings, defendants who have been sentenced to jail would have their commitment automatically transmitted to the jail.

The criminal automated system must also interface with the probation department. The court should be able to access status reports and information such as whether a PSI on a particular defendant is being prepared for another judge. The court should also be able to transmit information such as conditions of probation to the department. The probation department is presently on the county mainframe and is in the process of switching over to the IBM system 4381. As with other county agencies, the court's interface with the probation department will be through the county's mainframe.

The private defender's program does not presently have an automated system although the program is in the process of negotiating for a system. If the system is on the county mainframe the courts interface will be similar to the interface with other county agencies. Until the program does develop an automated capability the court's system must be capable of generating printed notices such as the appointment of the private defender to a particular case.

The O.R. project of the bar association must also interface with the court in a manner similar to other county agencies. Calendaring information that is now received from the sheriff's

department should be communicated directly from the court to the O.R. project.

An interface with the superior court is also necessary. This interface occurs in certifying cases on appeal, in felony commitments, and (where the defendant is found to be a minor) in certifying the case to juvenile court.

The criminal department must also interface with other areas of the municipal court. The accounting department must receive fee and trust information as well as notice of bail forfeitures. The civil department must enter summary judgment in bail forfeitures.

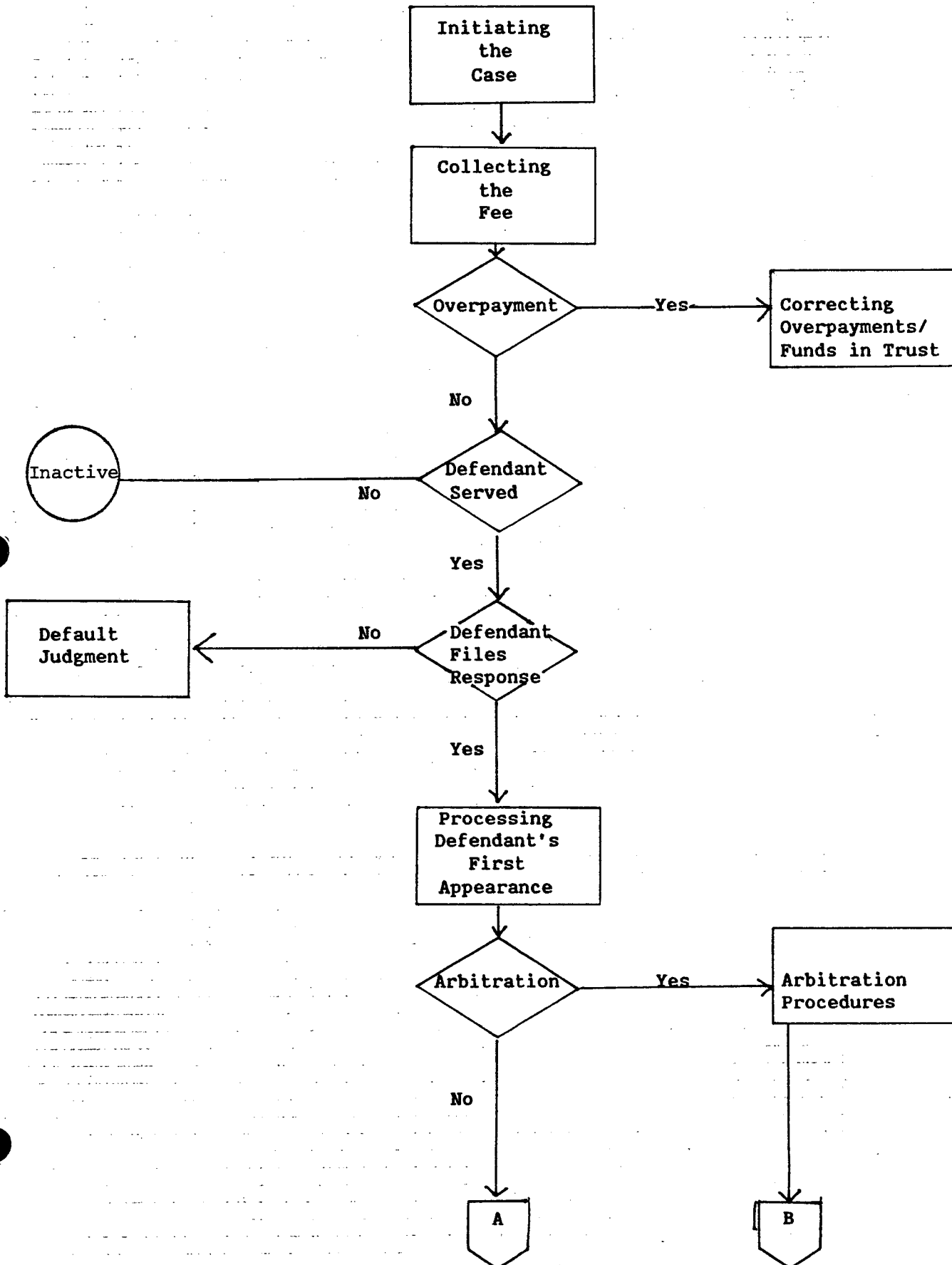
The criminal clerk's subsystem must include an index capability that identifies defendant by AKA (or alias) as well as by name given at arrest.

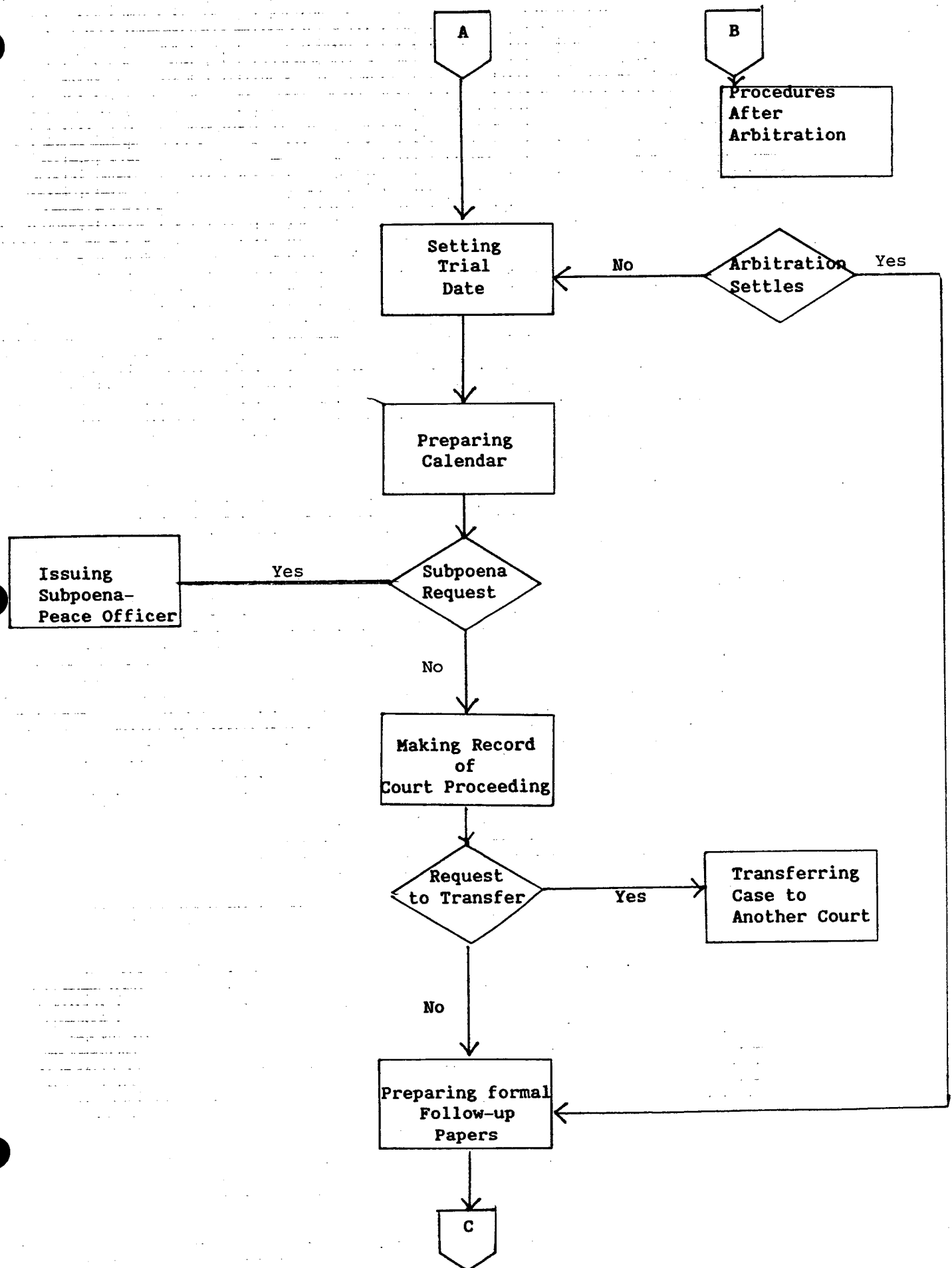
The case tracking function must be able to identify specific situations and deadlines. The system must be able to identify defendants who are in custody and must track the statutory dates required for charging and for speedy trial. The case tracking system must also accommodate the bail forfeiture procedures where dates must be monitored to assure that the entry of forfeiture and the sending of appropriate notices occur seasonably. It must also track the issuance and timely recall of warrants.

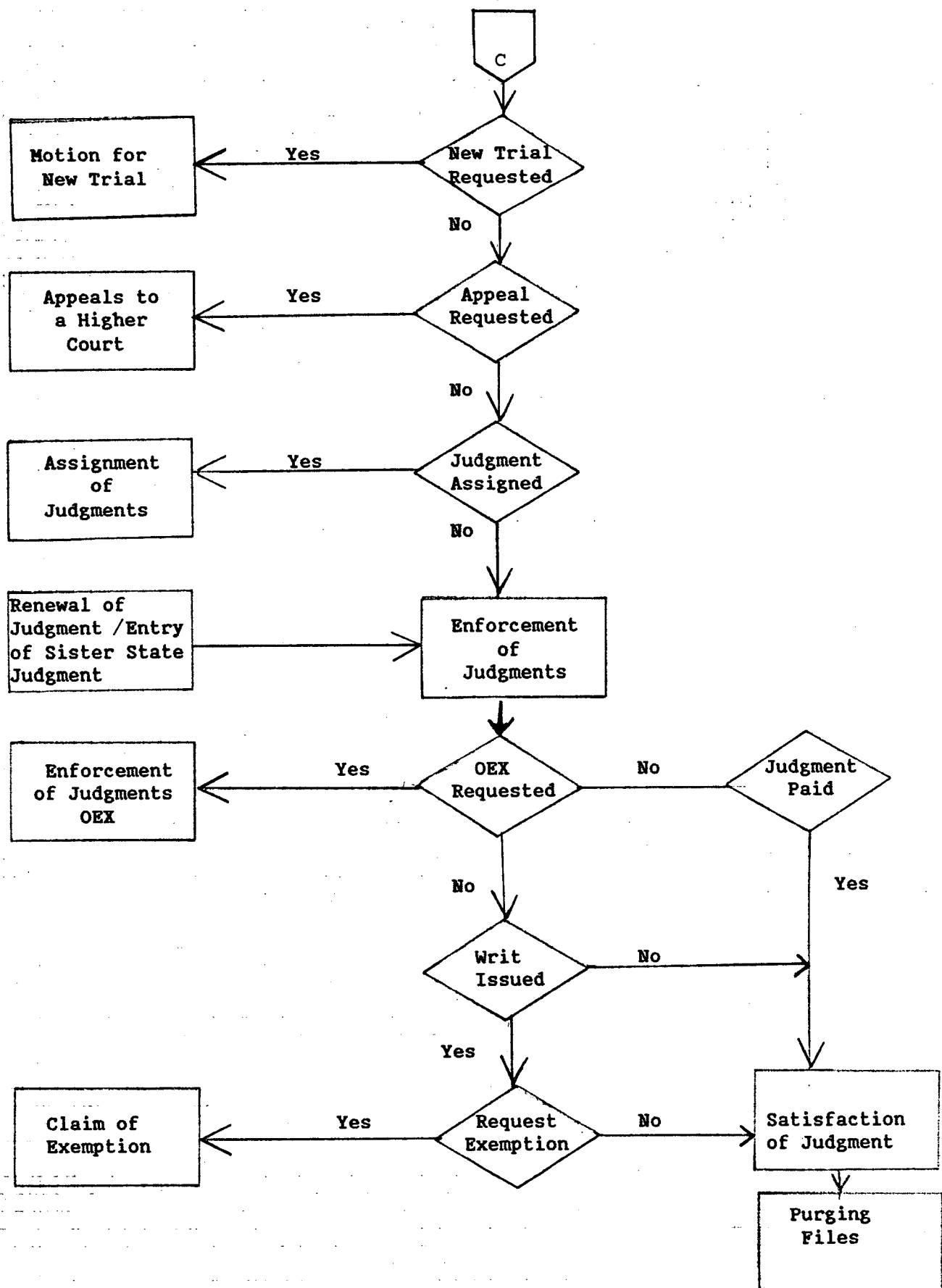
Besides an attorney registration function, the case tracking function should provide for a peace officer registration function which would calendar and track peace officer witness appearances to avoid scheduling conflicts. It should also provide for an interpreter registration function which would schedule qualified interpreters for courtroom service.

Calendaring information should be able to be entered by the various calendar clerks and pulled up, and updated if necessary, by the courtroom clerks either in their offices or in the courtroom. "Inquiry only" capability is necessary for public access to the calendar. Additionally, capability to generate a printed calendar must be retained in order to distribute the calendar to necessary persons who do not have an automated system.

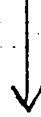
OVERVIEW  
CIVIL CASE PROCESSING







INITIATING  
THE  
CASE



Plaintiff  
or  
Attorney

Summons and  
Complaint  
Issued Summons  
Copy of  
Complaint

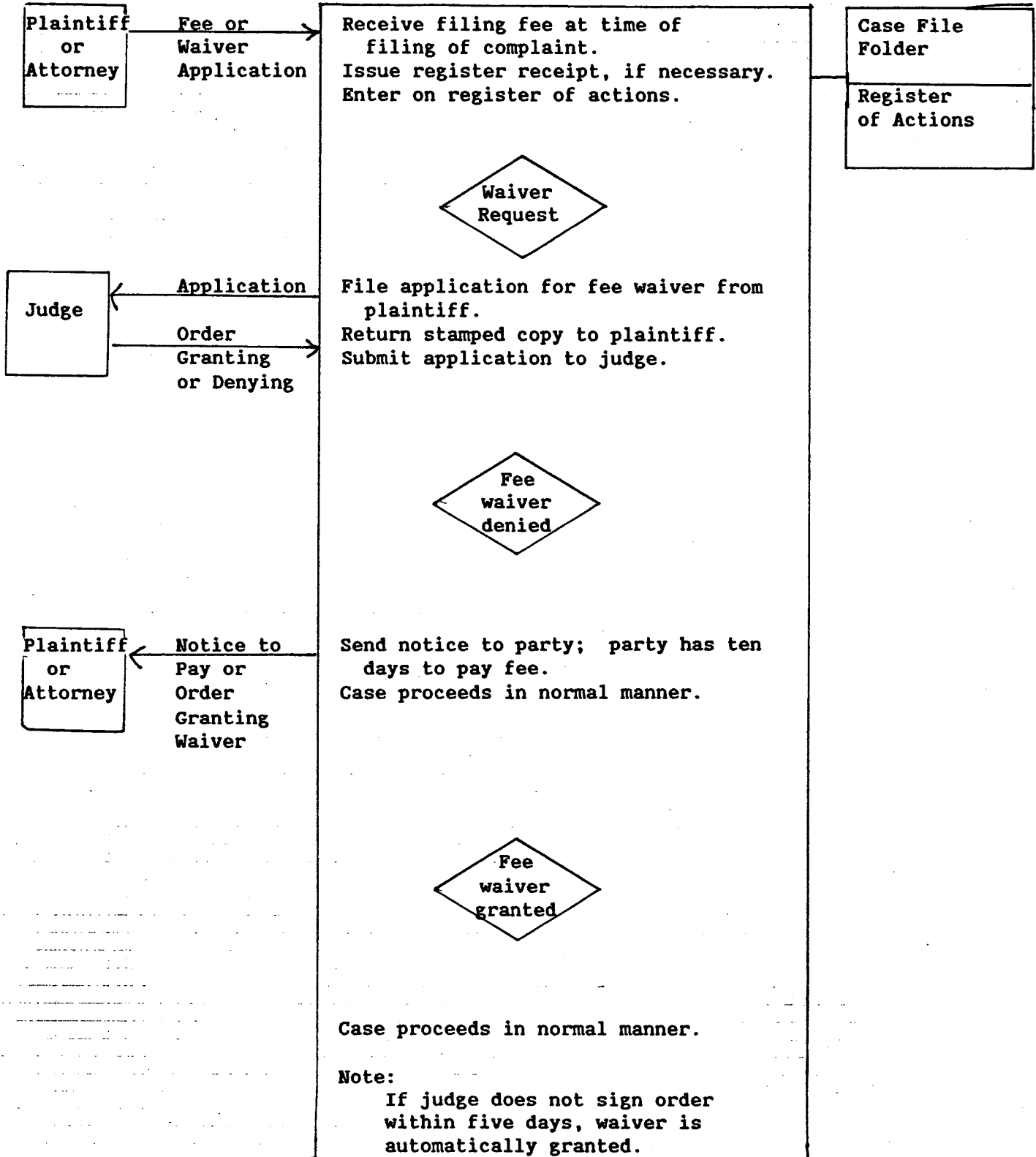
Clerk receives complaint and summons from plaintiff or plaintiff's attorney.  
Obtain case number from pre-printed case file folder.  
Check documents for accuracy.  
Stamp case number on summons and complaint.  
Write case name on case file folder.  
Stamp copies: endorsed/filed.  
Return issued summons to plaintiff (do not retain a copy of summons).  
Create register of actions for case.  
Enter date, name of case, name and address of attorneys, whether party is appearing in pro per.  
Place papers in case file folder.  
Extract information from complaint for index entry:  
    plaintiff's name,  
    case number,  
    date of filing,  
    defendant's name.

Case File Folder

Register of Actions

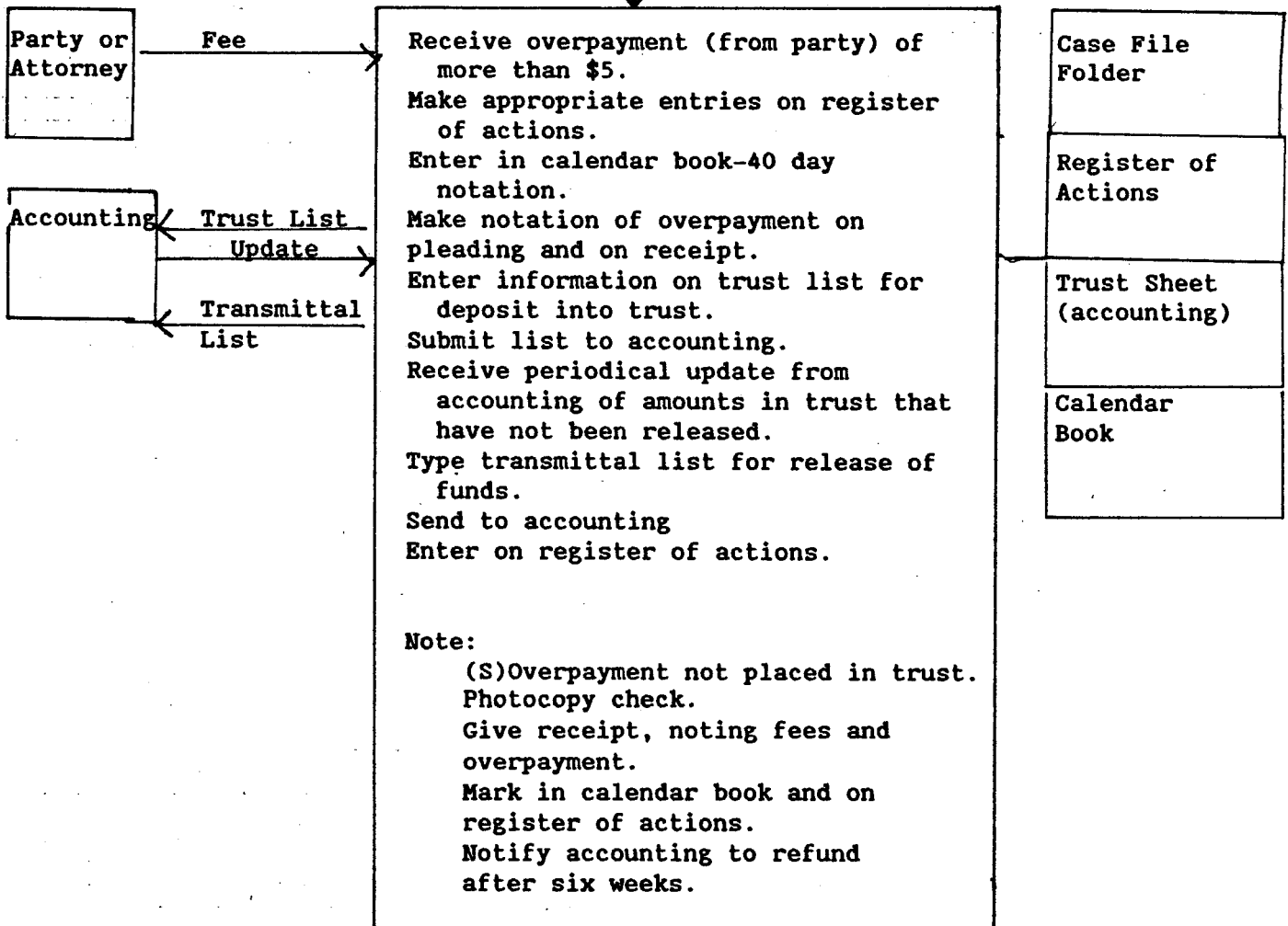
Index

COLLECTING  
THE  
FEE





**CORRECTING  
OVERPAYMENTS/  
FUNDS IN TRUST**



**DEFAULT  
JUDGMENT**

**Plaintiff  
or  
Attorney**

**Request  
to Enter  
Default**

**Receive request to enter default from  
plaintiff (on judicial council form).  
Check file for defendant's response.**

**Case File  
Folder**

**Register  
of Actions**

**No Response  
by  
Defendant**

**Review original summons for proof of  
service, date, time, place, city,  
personal, whether subserved.**

**If subserved, whether due diligence  
including three dates, address,  
date, time, mailing date.**

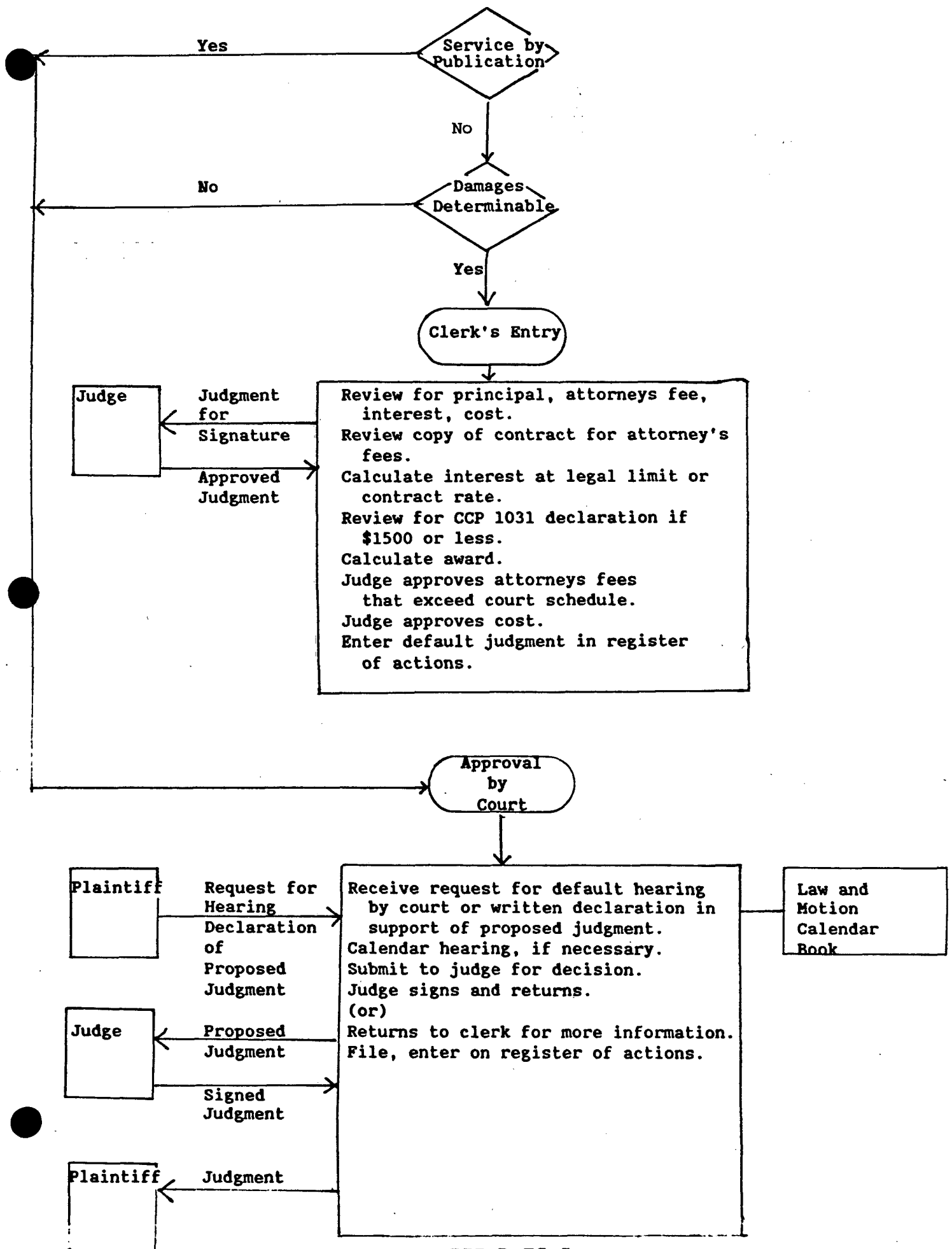
**Review non-military status.**

**Calculate expiration.**

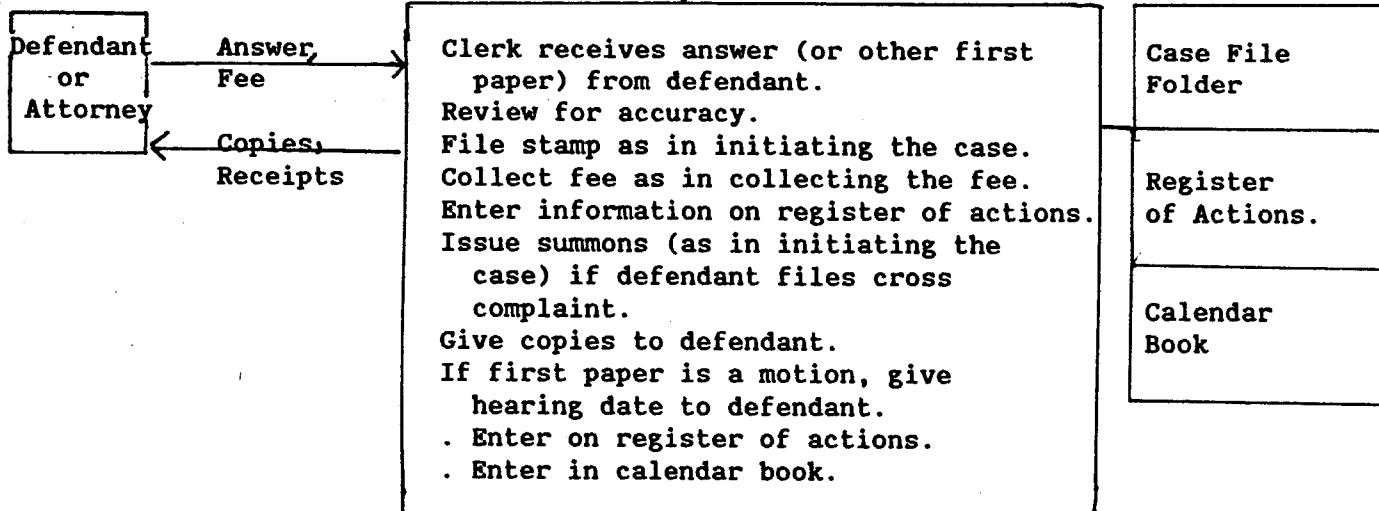
**Five days for unlawful detainer  
(subserved-additional 10 days).**

**Thirty days regular  
(subserved-additional 10 days).**

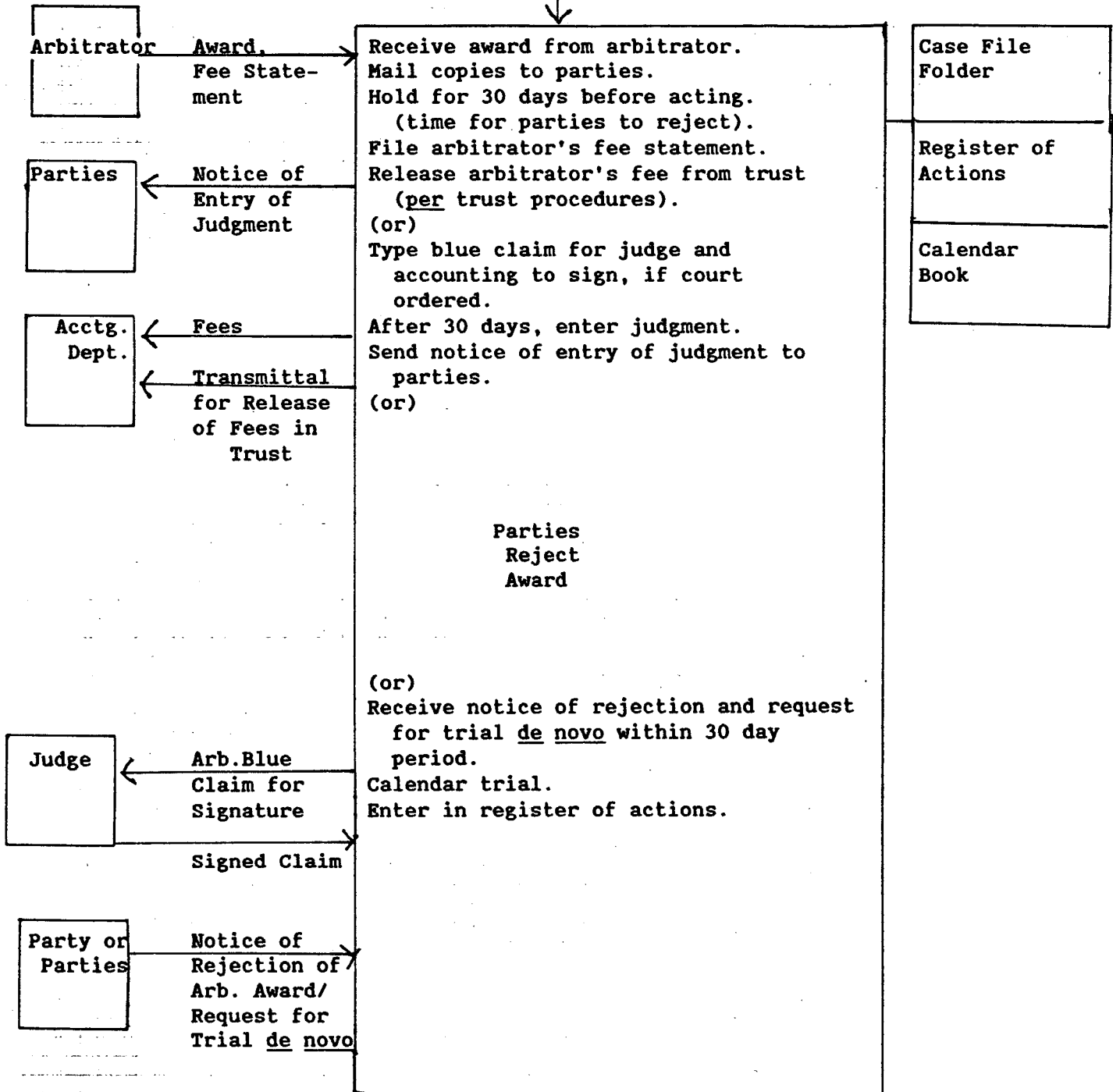
**Service  
by  
Publication**



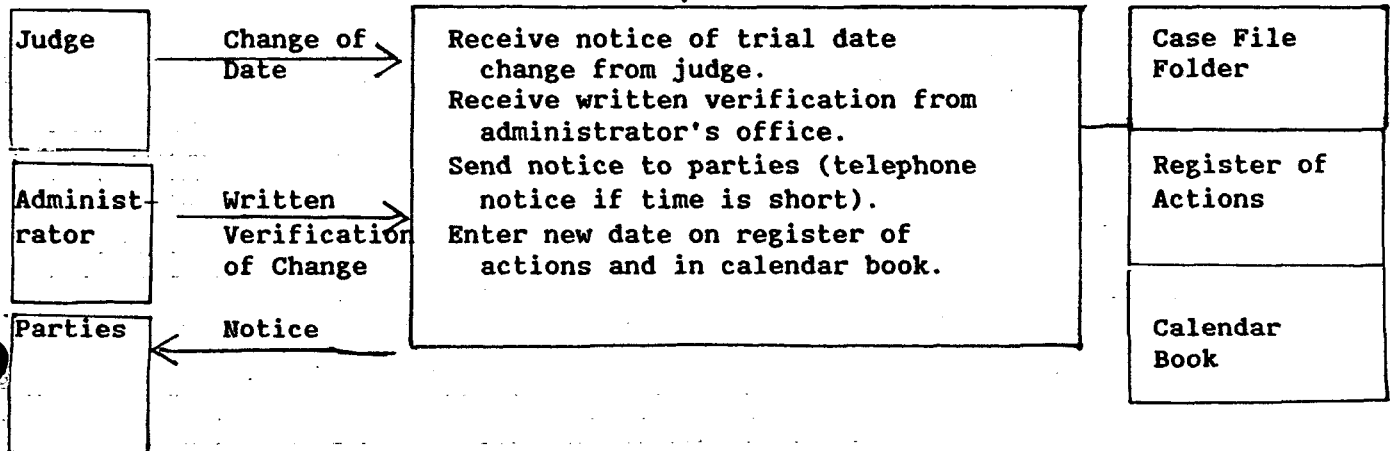
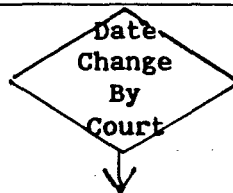
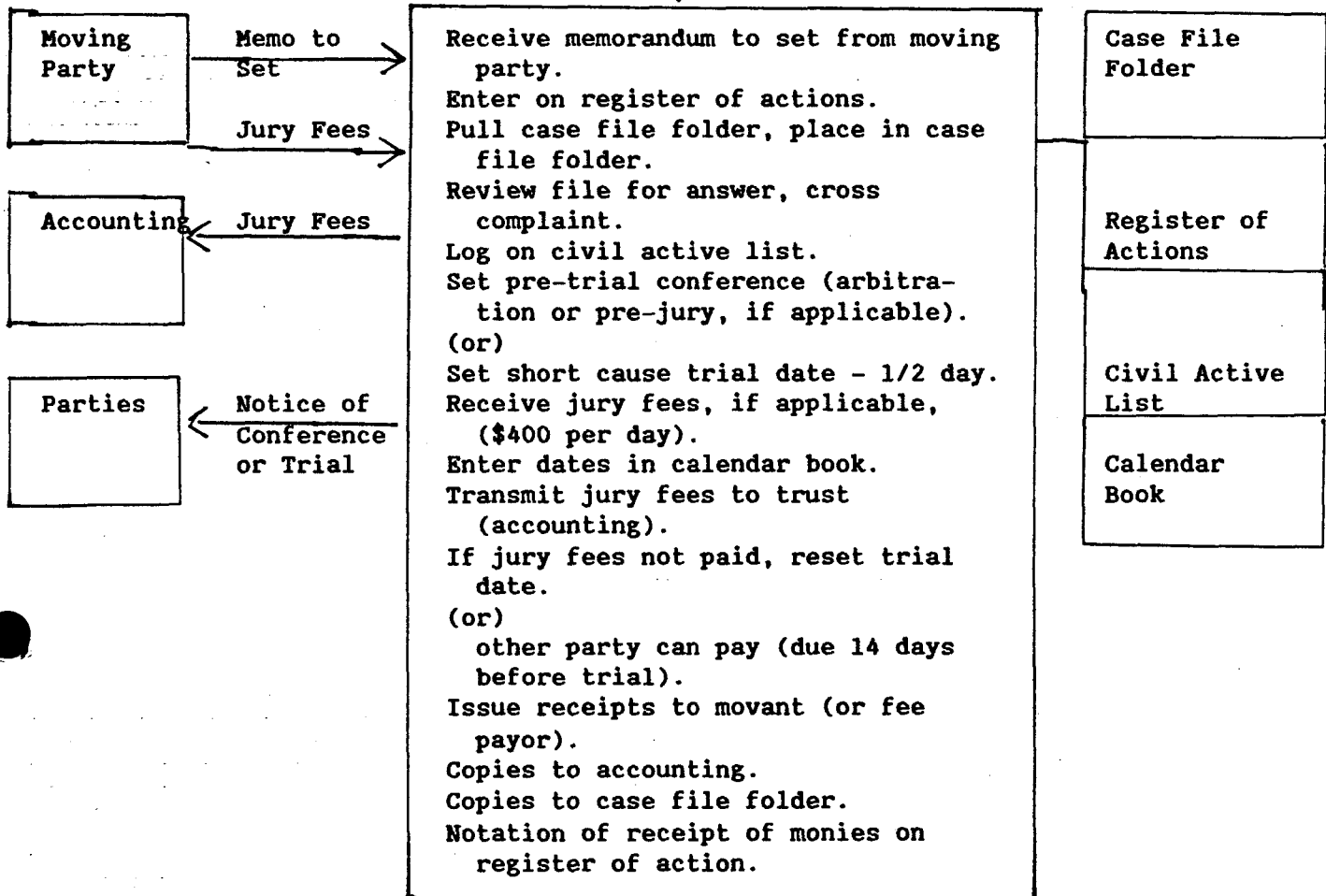
PROCESSING  
DEFENDANT'S  
FIRST  
APPEARANCE



**PROCEDURES  
AFTER  
ARBITRATION  
HEARING**



SETTING  
TRIAL  
DATE



**PREPARING THE  
CALENDAR  
FOR  
COURT**



**Court-  
room  
Clerks**

**Calendars,  
Files,  
Register of  
Actions**

Obtain scheduled cases from calendar book.  
Pull case file folders and register of actions.  
Type minute sheet: case title, case number, date, time, type of hearing judge, attorneys, parties.  
Put cases in order.  
Type calendar for each courtroom: dept., judge, date, time, types of cases, case number, attorneys, title of actions.  
Photocopy calendars.  
Distribute calendars to courtroom clerks along with case file folders.  
Retain some copies of the calendars at the clerks office.  
The same procedures are followed for the law and motion calendar.

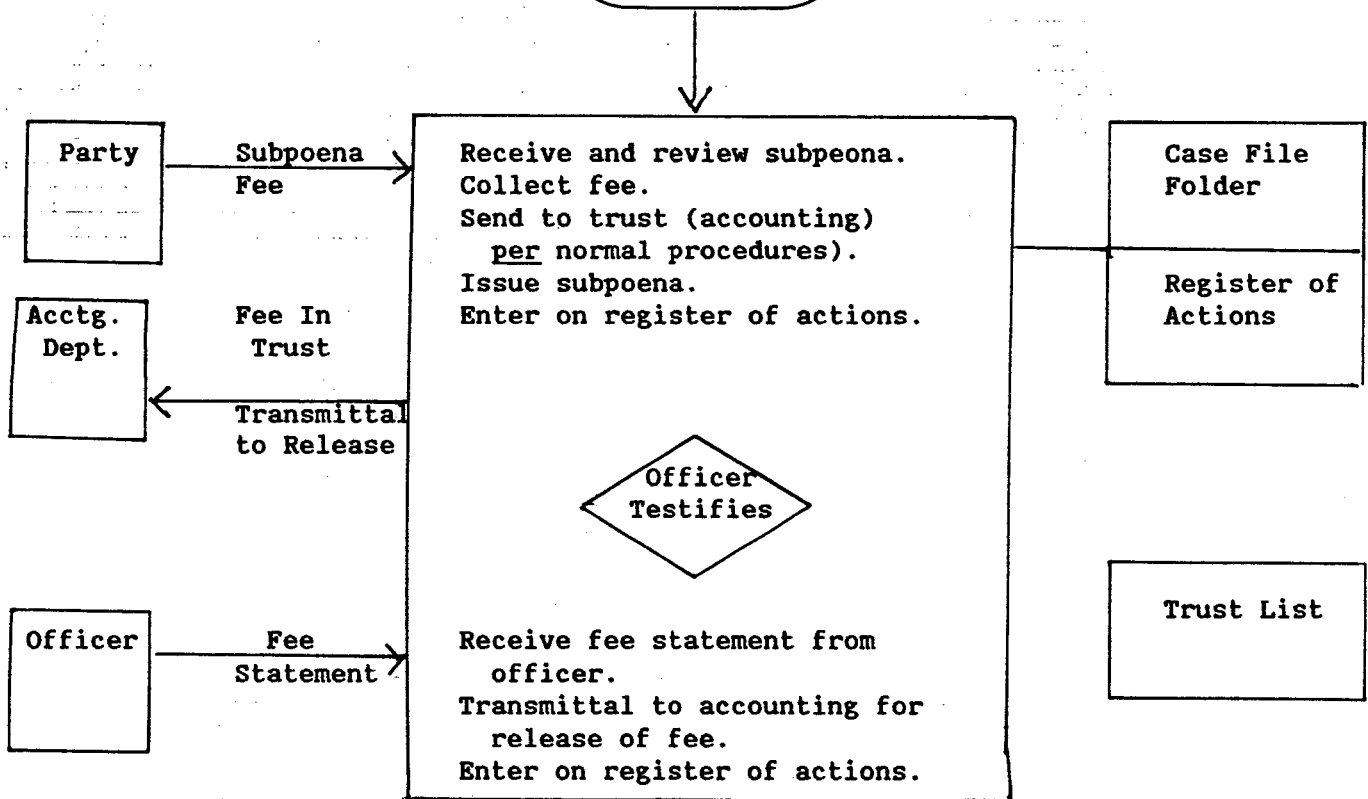
**Case File  
Folder**

**Register of  
Actions**

**Calendar  
Book**

**Typed  
Calendar**

**SUBPOENAS  
FOR  
PEACE OFFICERS**





**ARBITRATION  
PROCEDURES**

<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Party</div>	<div style="border: 1px solid black; padding: 2px; margin-bottom: 5px;">Request</div>	<div style="border: 1px solid black; padding: 10px; margin: 0 auto; width: 80%;"> <b>Party Requests Arbitration</b> </div>	<div style="border: 1px solid black; padding: 2px;">Case File Folder</div>
	<div style="border: 1px solid black; padding: 2px;">Notice;</div>		
	<div style="border: 1px solid black; padding: 2px;">Arbitrators Names</div>		
<div style="border: 1px solid black; padding: 2px;">Arbitrator</div>	<div style="border: 1px solid black; padding: 2px;">Appointment</div>		<div style="border: 1px solid black; padding: 2px;">Register of Actions</div>
	<div style="border: 1px solid black; padding: 2px;">Consent</div>	<div style="border: 1px solid black; padding: 2px;">Calendar Book</div>	

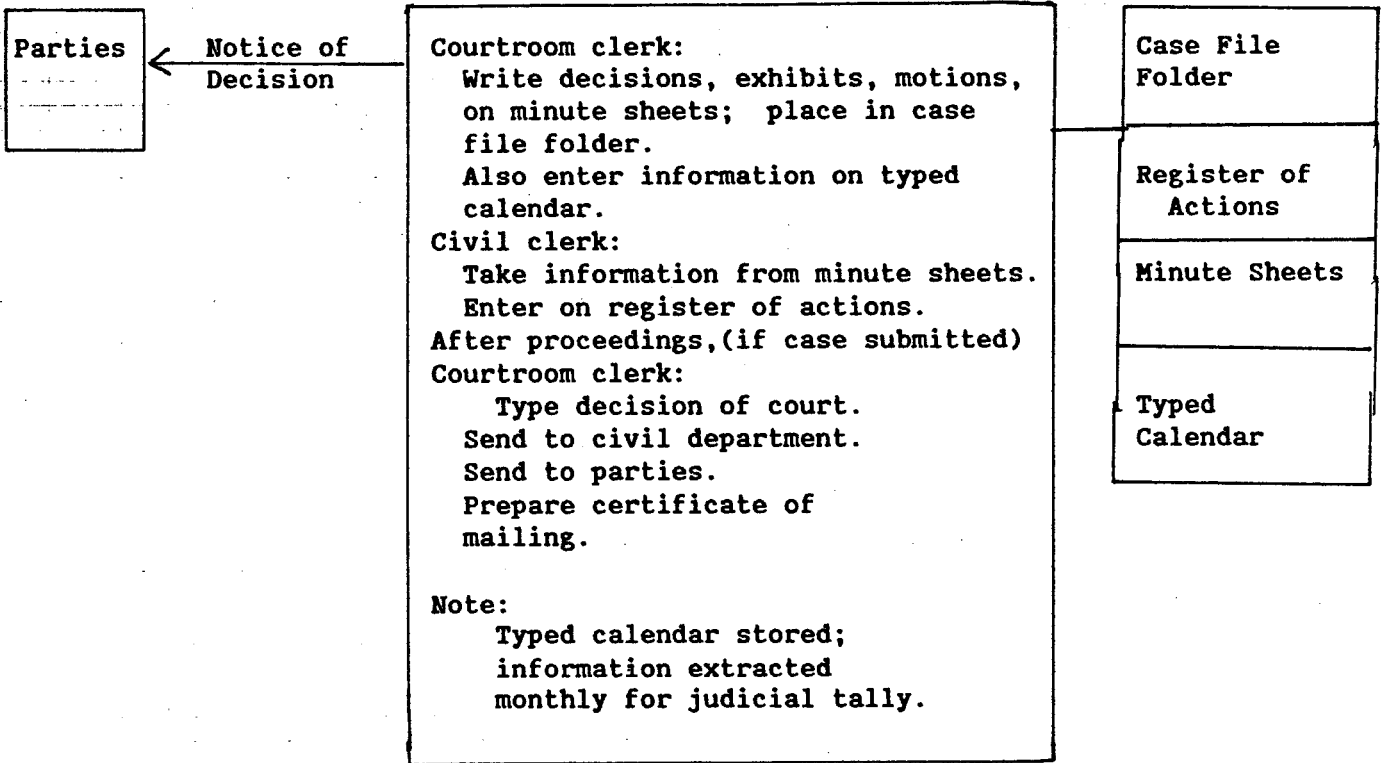
Receive request and fee.  
 Place fee in trust according to trust procedures.  
 Calendar hearing before judge (prearbitration).  
 (S)calendar only if trial setting indicates trial of more than four hours.  
 Obtain names of three arbitrators from superior court.  
 Notify parties of names.  
 Type forms and order.  
 Receive one rejection from each party.  
 Select one arbitrator if two names remain.  
 Type arbitration packet: cover letter case information, appointment.  
 Receive consent to appointment from arbitrator.  
 Place in case file folder.  
 Enter in register of actions.

**Note:**  
 Arbitrator notifies parties of date except court will provide space, if necessary.  
 If so,  
 confirm space at superior court  
 send notice of room for arbitration to parties and to arbitrator.

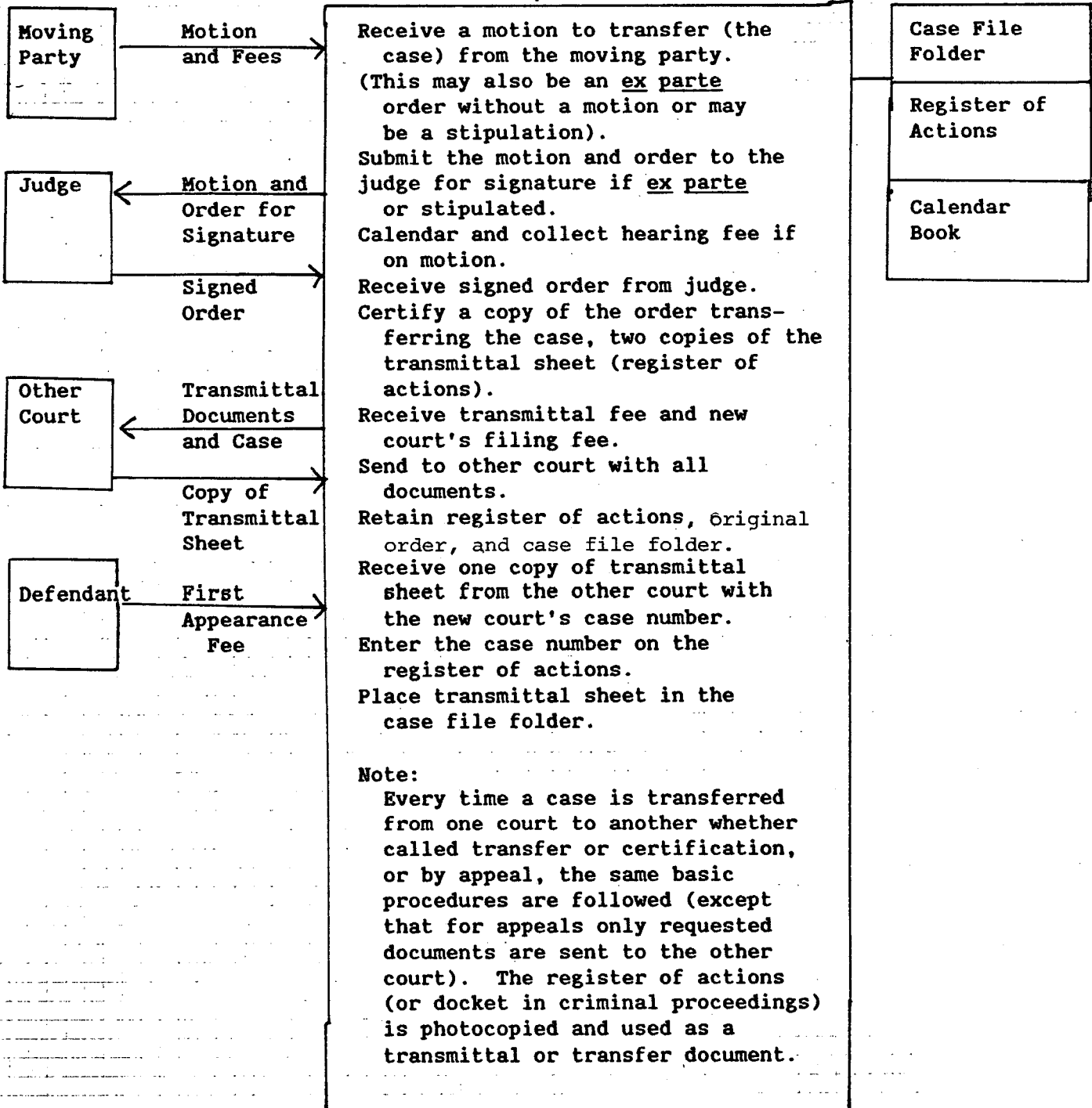
**Court  
Orders  
Arbitration**

Do not collect fee.  
 Follow all other procedures, above.  
 County pays for arbitrator.

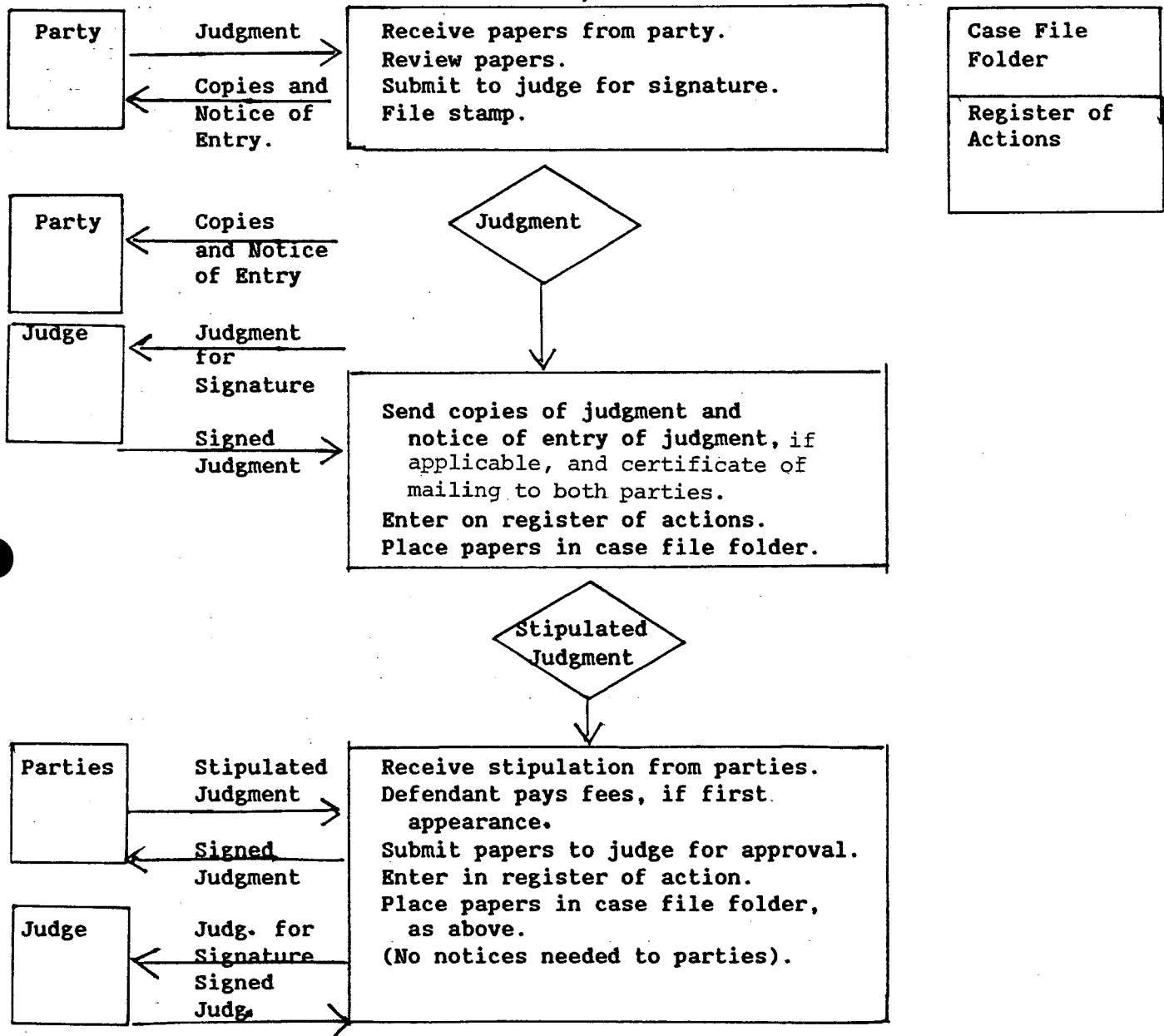
**MAKING A  
RECORD OF  
COURT PROCEEDINGS**



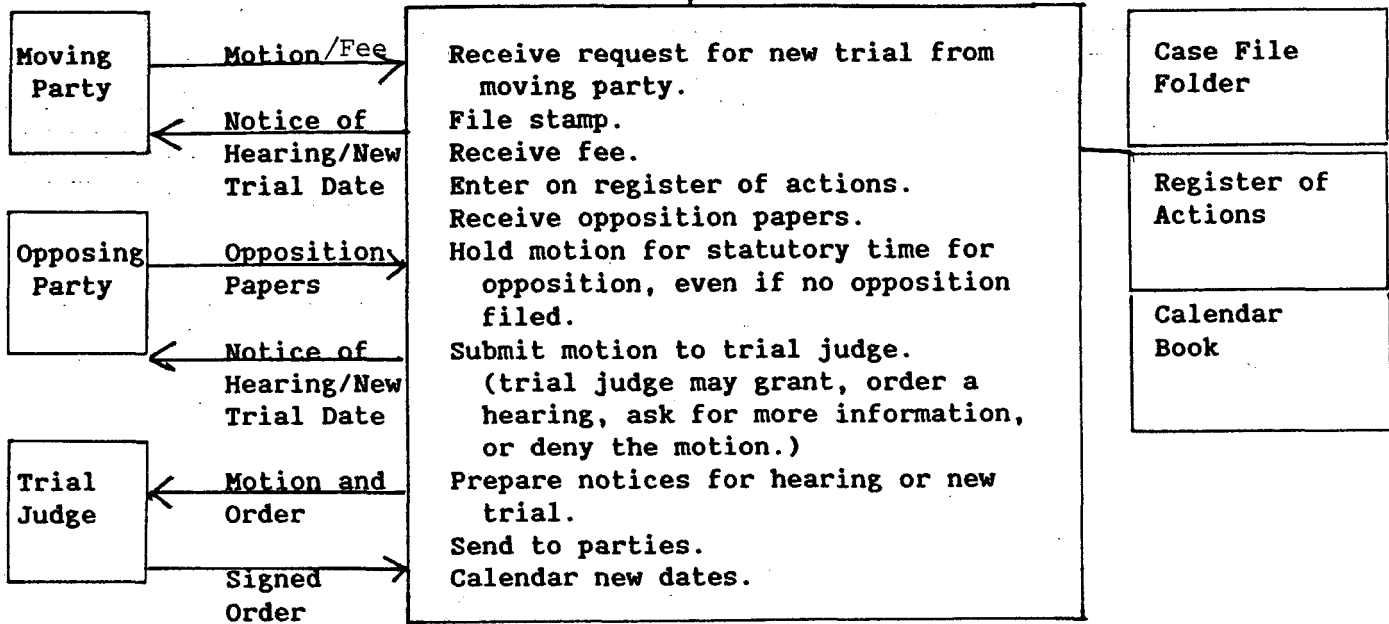
**TRANSFERRING  
THE CASE TO  
ANOTHER COURT**



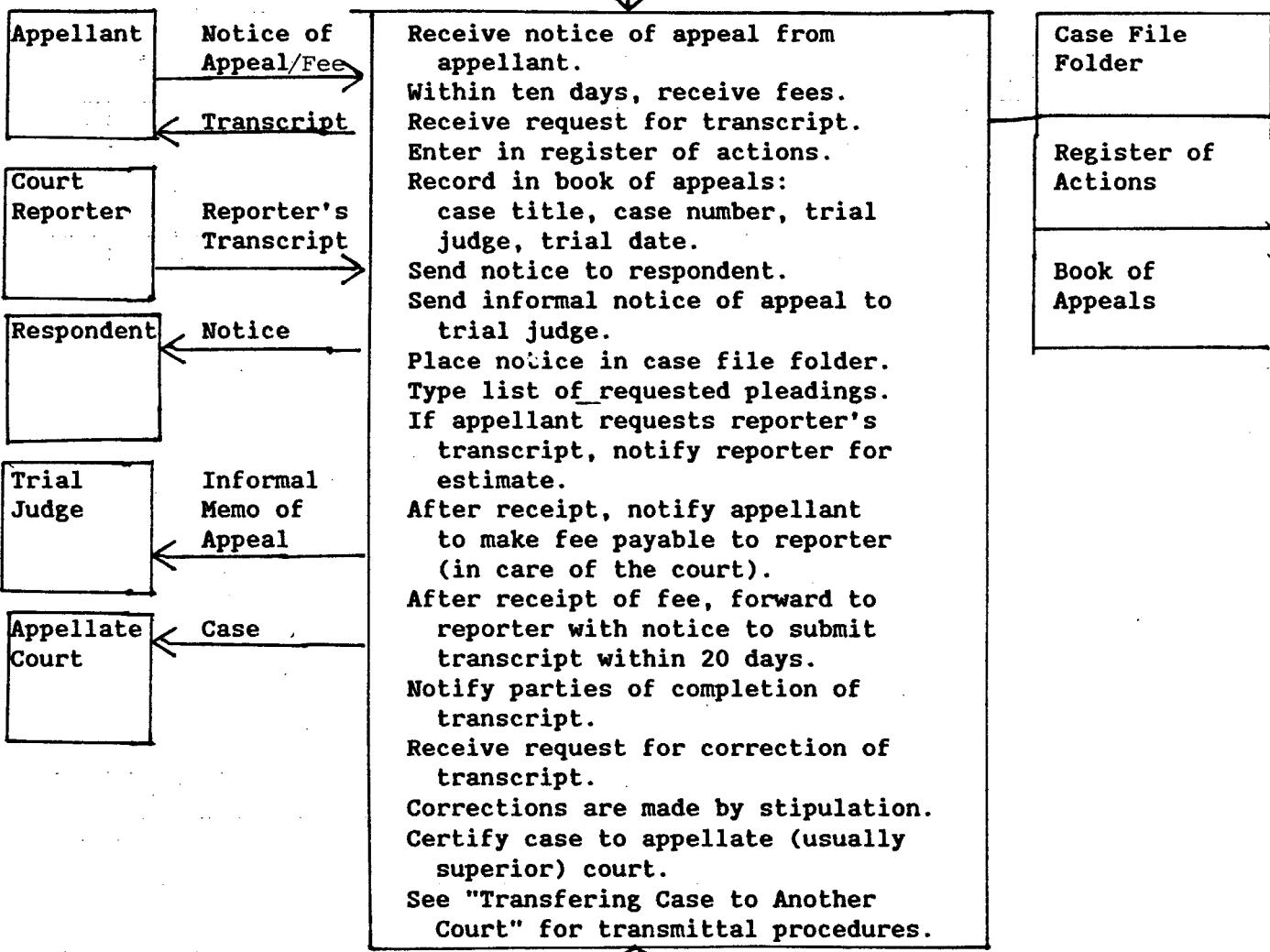
**PREPARING FORMAL  
FOLLOW-UP  
PAPERS**



**MOTION FOR  
NEW TRIAL**

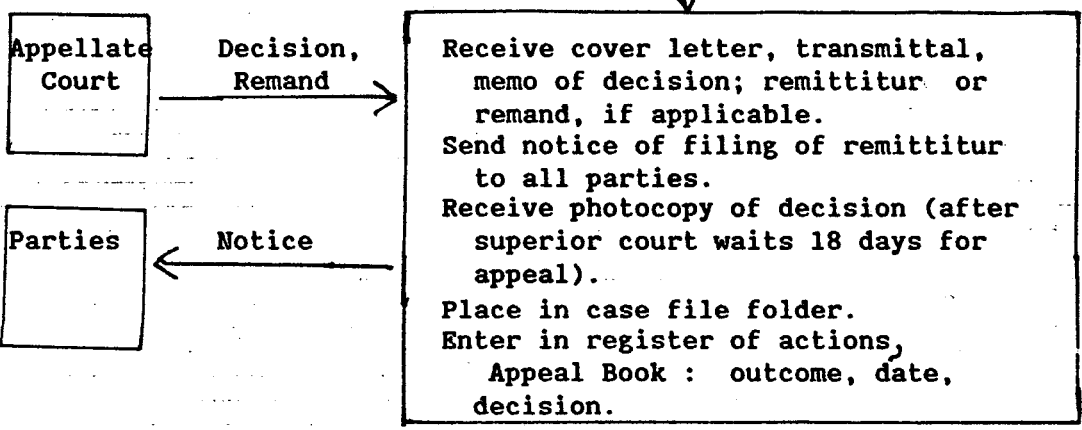


APPEALS TO A  
HIGHER COURT

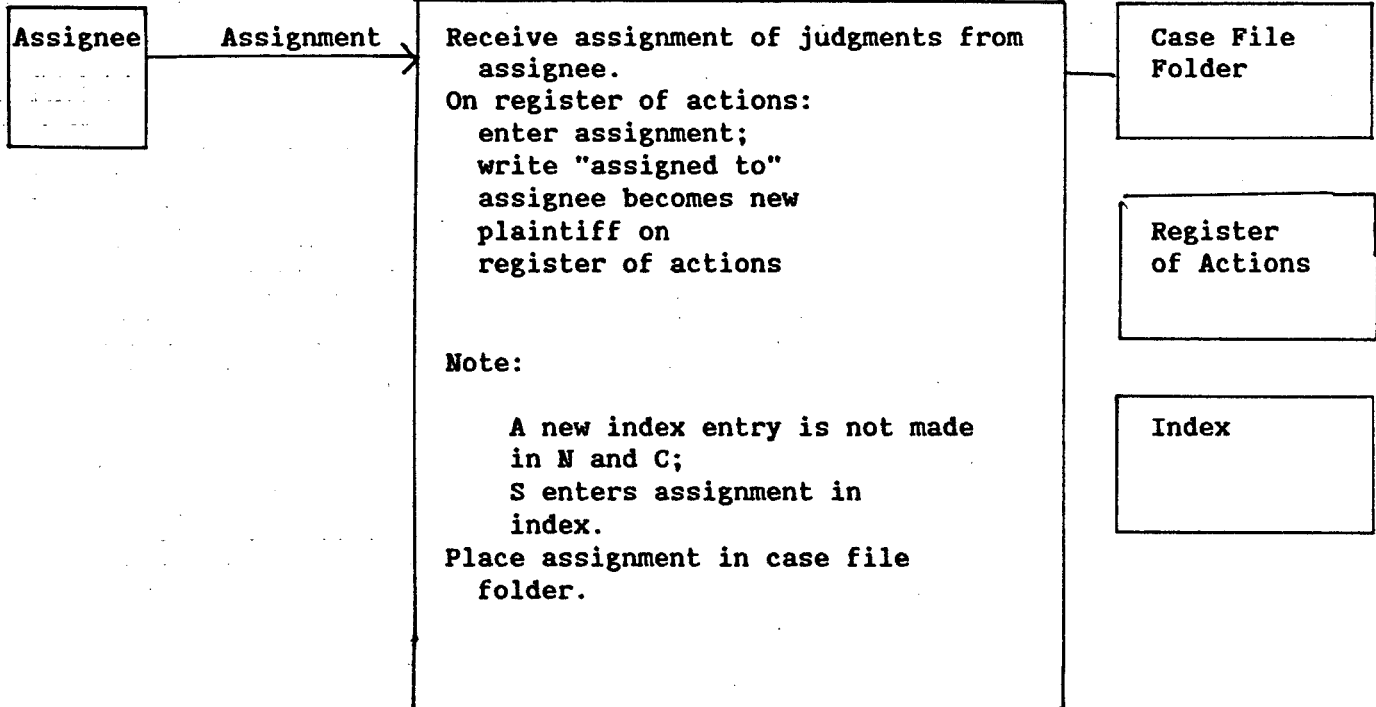


Appeal  
Taken

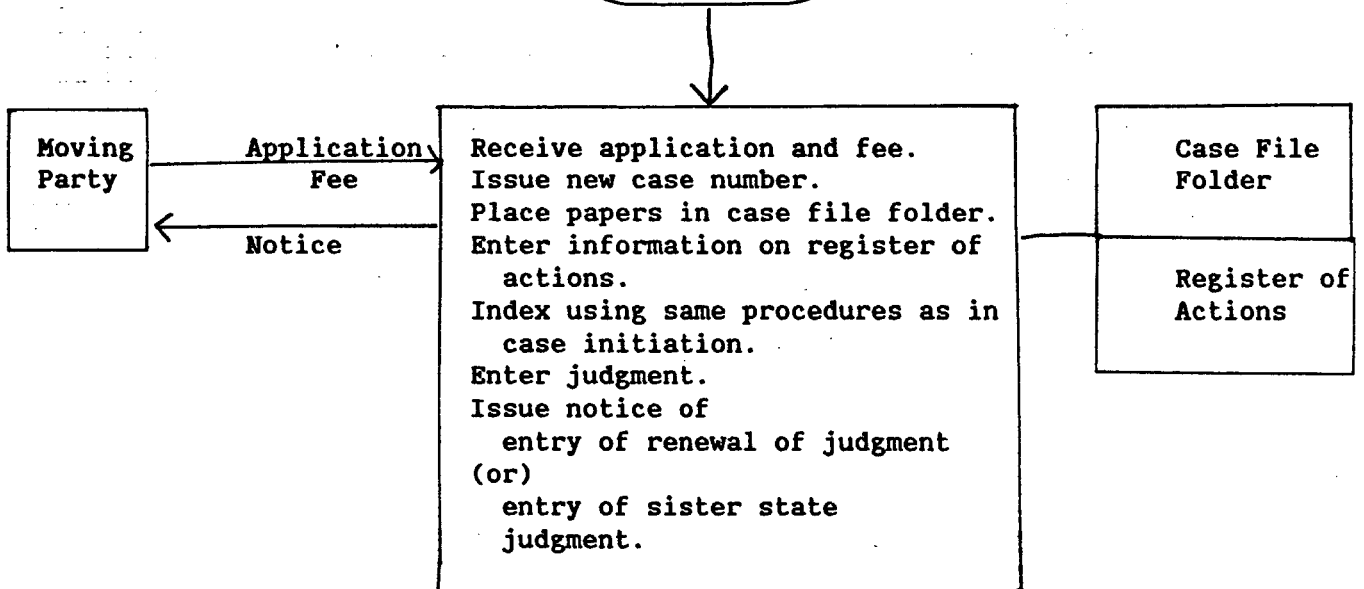
Procedures  
After  
Appeal



**ASSIGNMENT  
OF  
JUDGMENTS**

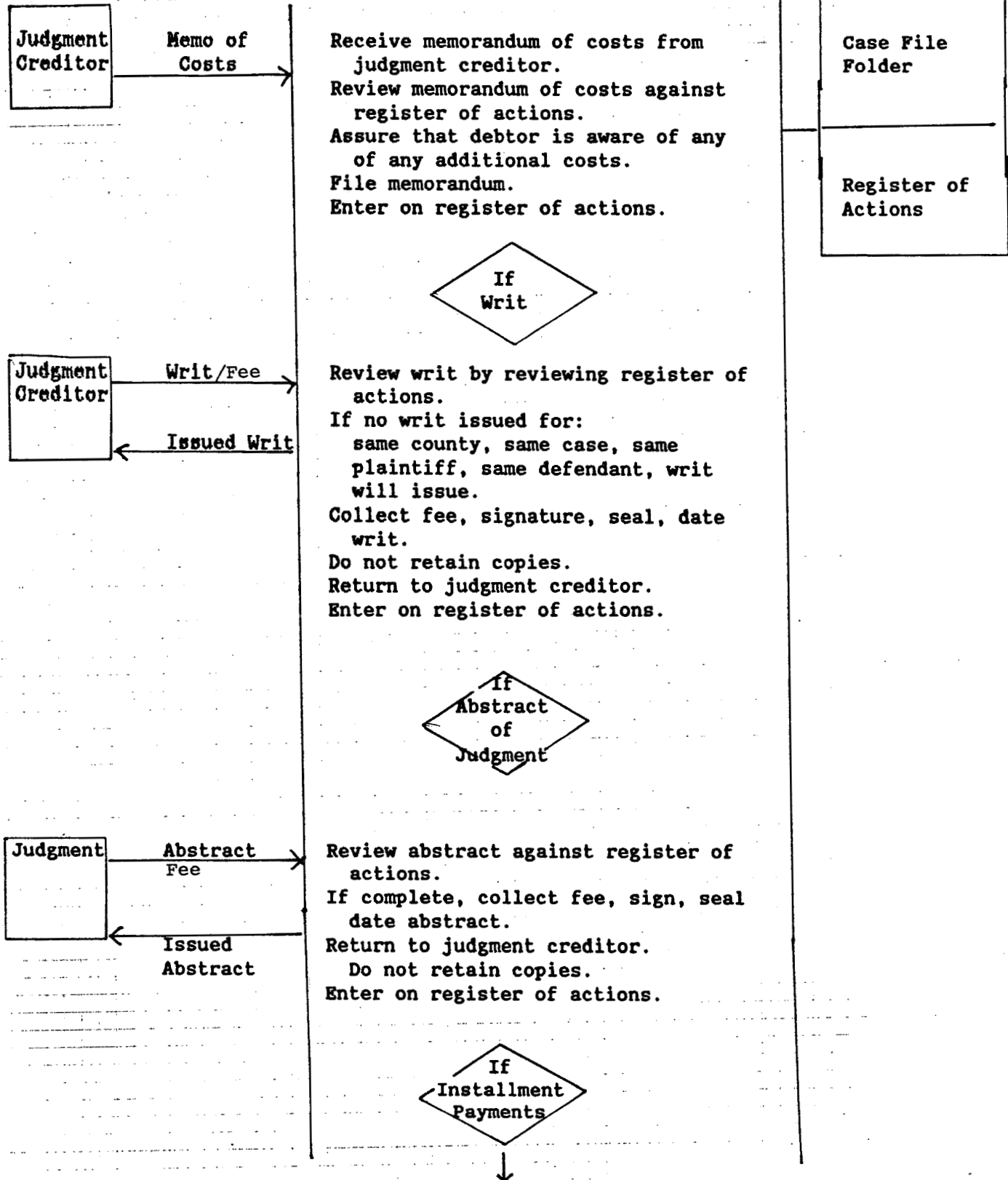


RENEWAL OF  
JUDGMENT/ENTRY OF  
SISTER STATE  
JUDGMENT





ENFORCEMENT  
OF  
JUDGMENTS



↓

Enforcement of  
Judgments  
(continued)

Judgment  
Creditor

Stipulation  
(or)

Declaration  
of Default

Receive stipulation for installment  
payments and fee..  
Submit to judge for signature.  
Send certified copy of stipulation  
to DMV for release of  
license hold, if applicable.

Defendant  
Defaults

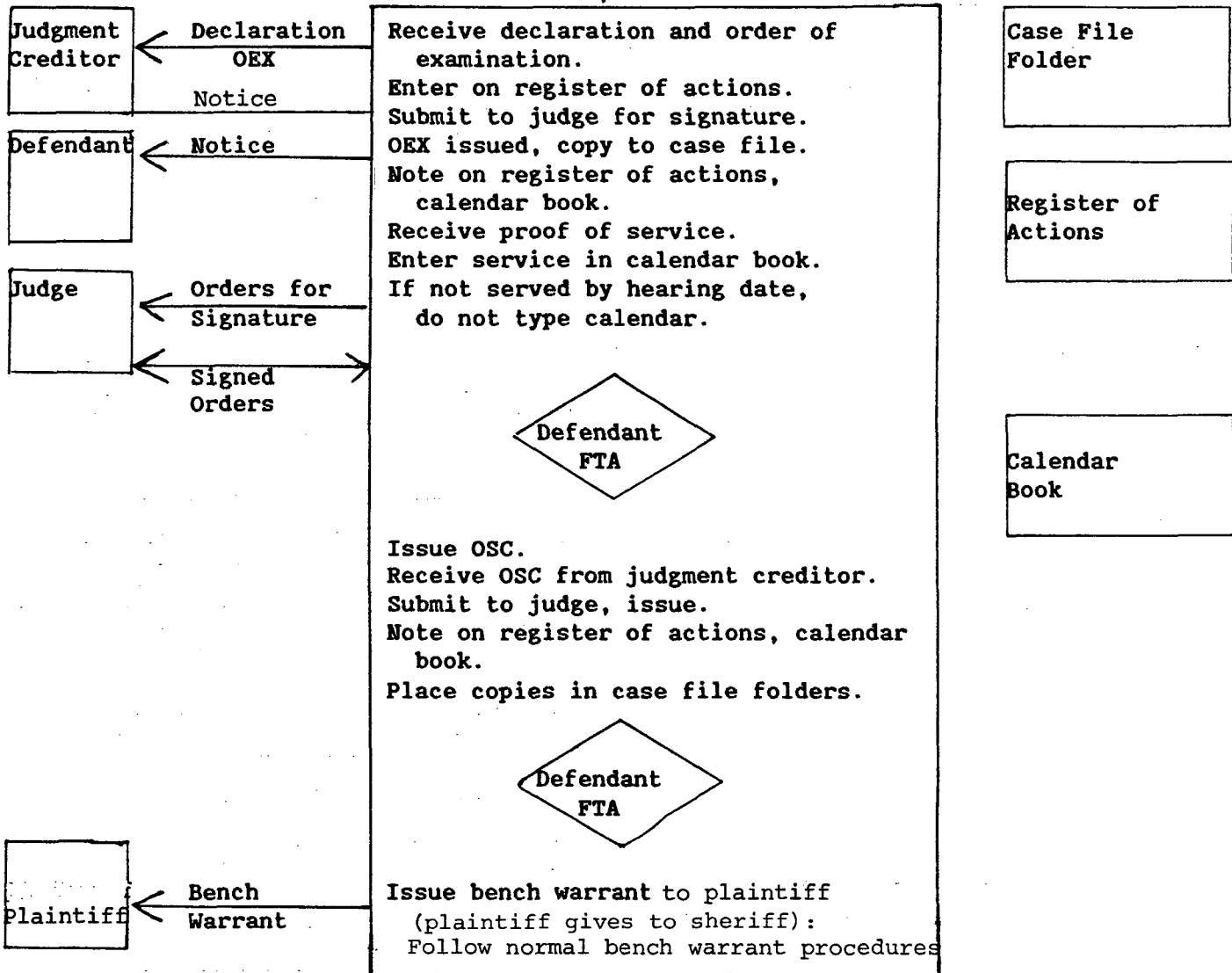
DMV

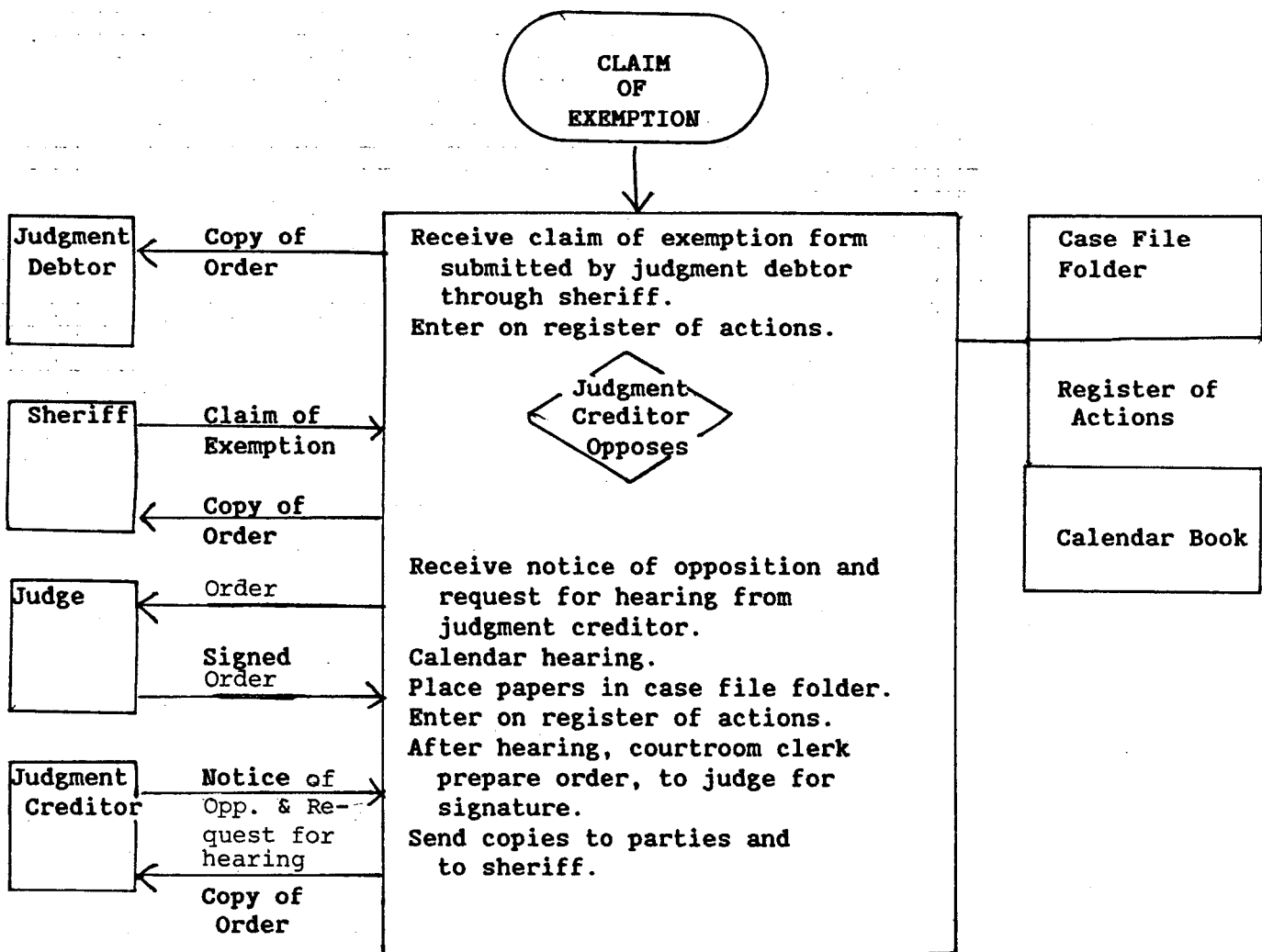
Abstract  
(or)

Amended  
Abstract

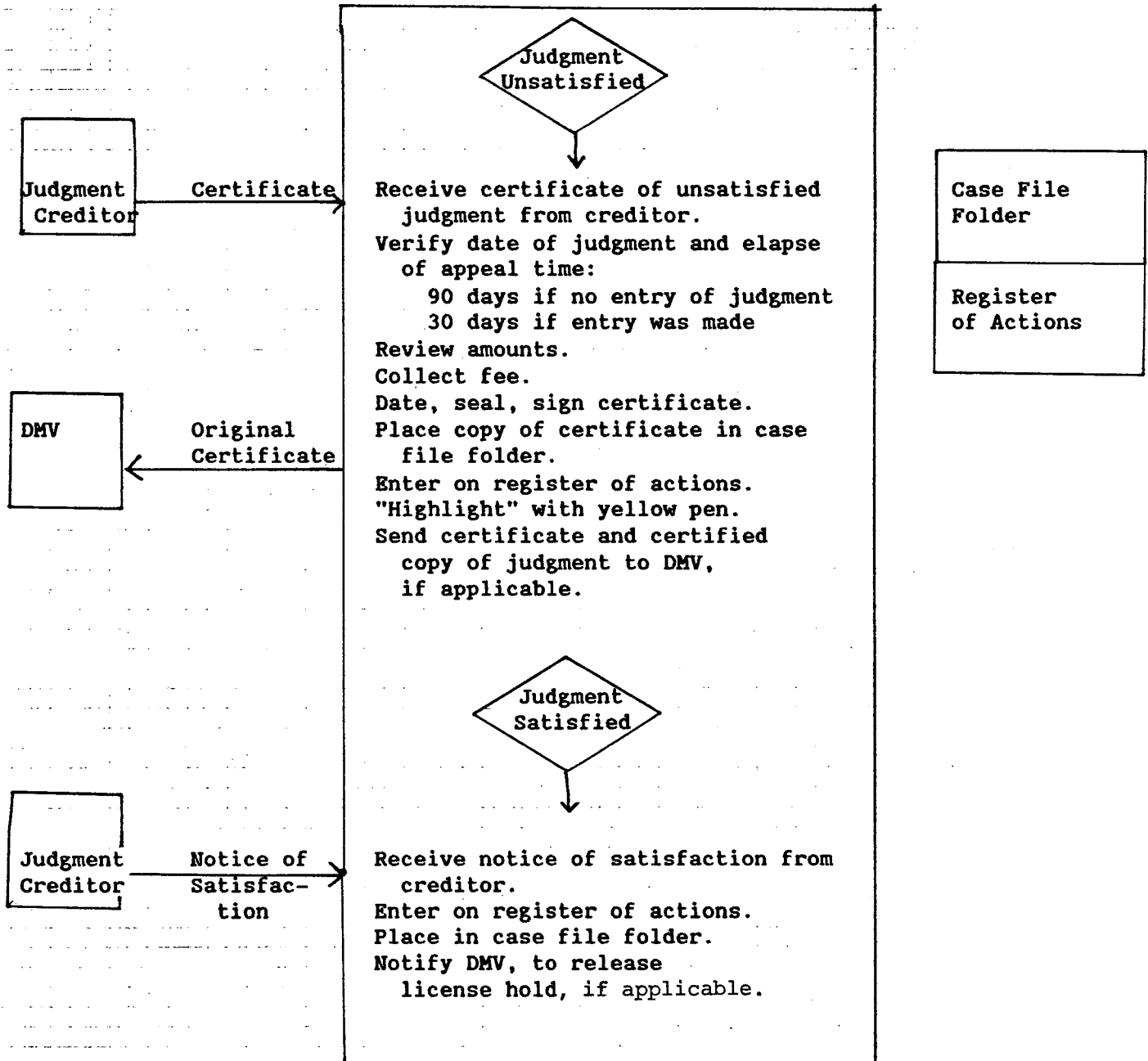
Receive declaration of default and  
fee.  
Notify DMV for stop on drivers  
license.  
if cause of action is result of  
vehicle code violation where  
damages are greater than \$500.  
Enter on register of actions.

ENFORCEMENT OF  
JUDGMENTS  
OEX





**SATISFACTION  
OF  
JUDGMENTS**



**PURGING  
FILES**

**General  
Services**

**Purged  
Documents**

Ten years from date of judgment or date of last installment payment or date of filing (if no judgment), or date minor reaches majority:

- . Review register of actions and case files.  
(range of cases within pertinent dates).
- . If still active or bench warrant outstanding do not purge.
- . Place on exception list.
- . Place nonactive cases on destruction list.

Branch managers:

- . Review destruction list
- . Approve
- . Prepare work order for General Services (form)
- . Send box of files to General Services.

**Case File  
Folder**

**Register  
of Actions**

**Destruction  
List**

**Exception  
List**

## CIVIL CASE PROCESSING

### 1. Initiating the Case

The plaintiff or plaintiff's attorney intitates the case by filing a summons and complaint with the clerk's office. The clerk receives the complaint and summons from the plaintiff. She obtains the case number from the next pre-numbered case file folder, checks the documents for accuracy, and stamps the case number on the summons and complaint. She stamps endorsed/filed on copies of the complaint and returns the issued summons to plaintiff. No copy of the summons is retained. (The plaintiff must serve the summons and complaint on the defendant; if not served the case will remain inactive. The clerk does not review these complaints to determine whether a case should be dismissed.)

The clerk writes the case name on the case file folder. She creates a register of actions for the case and places papers in the case file folder. The plaintiff's name and case number and the date of filing are taken from the complaint and entered in the EDP system for creation of the index. A printout is generated from EDP. The clerk checks and reports corrections to EDP.

### 2. Collecting the Fee

At the time of filing the complaint the plaintiff pays the required filing fee. If necessary, the clerk issues a cash register receipt. Notation of payment is entered on the register of actions.

Sometimes a plaintiff will file an application for waiver of the fee. The clerk submits the application to the judge which the

judge grants or denies. If the judge grants the waiver, notation is made on the register of actions and the case proceeds as if the fee had been paid. If the judge does not grant the waiver, notice is sent to the plaintiff who has ten days to pay the fee. If the fee is paid the case proceeds normally. If the fee is not paid, the filing is ineffective and subsequently voided. If the judge does not sign the order within five days waiver is automatically granted.

### 3. Correcting Overpayments and Placing Funds in Trust

Occasionally the party or the attorney for the party will overpay a fee. If an overpayment of less than five dollars is made it is not returned; the money goes into the general fees. But if the clerk receives an overpayment of more than five dollars she makes the appropriate entries on the register of actions and an entry in the calendar book to indicate that in 40 days the money can be released. She makes a notation of overpayment on the pleading. The clerk also enters information on a trust list for deposit into trust. This list will be submitted to accounting. Periodically the clerks receive an update from accounting. This update includes amounts in trust that have not been released. When the clerk receives this update she will check the names on the list against her case files and against the register of actions. If the funds have not been released she will type a transmittal list for release of funds and send it to accounting, which will release the funds to the person who overpaid. These procedures are followed whenever funds are placed in trust.

In the southern branch, overpayments are not placed in trust. The clerk gives a receipt noting the amount of fees and the amount



of overpayment. She photocopies the check and places the photocopy in the case file folder. She enters the fee and overpayment in the register of actions and in the calendar book.

Accounting is notified to refund the overpayment after six weeks.

#### 4. Default Judgment

The clerk receives the Request to Enter Default, a Judicial Council form, from plaintiff. She checks the file for defendant's response. If the defendant has responded no default judgment may be entered. If no response by defendant has been received she reviews the summons and proof of service to be certain defendant has been served. The clerk looks for the date, time, place, the city, how served, and whether by personal service or subservice. If the plaintiff was subserved, the clerk reviews to see whether due diligence was made including an attempt at service three times, date, address, time service was attempted and mailing date. She calculates the expiration date for a response, five days for unlawful detainer, 30 days for a regular complaint, if subservice an additional ten days. All activity is recorded on the register of actions.

If service is not by publication and if the damages are determinable, a default judgment may be entered by the clerk. The clerk reviews for the principal, attorneys fees, interest, and costs if applicable. She also reviews a copy of the contract for attorneys fees and calculates the interest at the legal limit, presently seven percent, or at the contract rate if it is greater than the legal limit. She reviews to be sure that there is a CCP 1031 declaration if the principal amount is \$1500 or less. If the

plaintiff is not a collection agency costs are approved by the judge. The clerk may request an additional declaration and submit it to the judge for approval of attorneys fees that exceed the court schedule. Default judgment is entered in the register of actions and endorsed/filed copies returned to the moving party.

If service has been by publication or if the damages are not determinable entry of default judgment must be approved by the court. The plaintiff will request a hearing or will file a declaration in support of judgment. If a hearing is requested the clerk calendars it in the law and motion calendar book. If a written declaration pursuant to CCP 585(d) in support of judgment is filed, the clerk submits it to the judge for decision. The judge then signs the judgment and returns it or returns it to the clerk for more information. In the event the judge signs it the clerk files it, enters it on the register of actions, and sends copies to the moving parties. If after a hearing, the plaintiff submits judgment forms for the judge's signature, the clerk enters the judgment and returns copies to the moving party.

#### 5. Processing Defendant's First Appearance

The defendant or defendant's attorney may, in person or by mail, file an answer or another first paper in the case. The clerk first receives the answer from the defendant, reviews it for accuracy, and file stamps the papers and copies as she does when initiating the case. She also collects the fees. All information is entered on the register of actions. If defendant files a cross-complaint the clerk issues a summons, if required, and returns the summons to the defendant. If the first paper requires a hearing the clerk also enters the date in the register of

actions and enters it on the appropriate day in the law and motion calendar book.

#### 6. Arbitration

The clerk receives a request for arbitration. (The parties may stipulate or elect arbitration or the court may order it.) In cases other than when the court orders arbitration, the clerk collects the fee and places it in trust. She supplies the parties with the names of three arbitrators; one name is rejected by each. In order to obtain these names the municipal clerk goes to the superior court arbitration office and requests the arbitration office to issue three names. The clerk notifies the parties of the three names assigned and types the forms and orders. After the parties reject one name each, if one name is left, that is the arbitrator. If two names are left the clerk will select the arbitrator. The clerk sends the arbitrator's packet, a cover letter and all case information to the arbitrator. The arbitrator returns the notice of appointment and consent form which the clerk files and notes on the register of actions. The arbitrator notifies the parties and a certificate of notification of the parties is sent to the clerk and placed in the case file folder. The superior court has made rooms available for arbitrators who have no other place to meet; the municipal court clerk aids this process by confirming space and scheduling the hearing time. In those cases the clerk in the southern branch types a notice of hearing and sends it to the parties. All actions including the certification and notification of hearing by arbitration are entered on the register of actions.

## 7. Procedures After Arbitration

After arbitration the clerk receives the award and fee statement from the arbitrator. The parties may reject the arbitration award and request a trial de novo but they must do so within thirty days after the award. After thirty days the clerk releases the fees from trust and types the award. Notice of entry of judgment is sent to the parties, the claim form for the arbitrators fees are sent to the controller who issues the pay warrant for the arbitrator. The arbitrator's claim is signed by the judge. The transmittal sheet for release of fees held in trust is sent to accounting. If the court has ordered arbitration the county pays for the arbitrator. The award and fee statement are placed in the case file folder. If a new trial is requested and the arbitration award rejected the trial date is entered in the calendar book and calendared in a normal manner. All actions are entered on the register of actions.

## 8. Setting Trial Date

The clerk receives a memorandum to set from the moving party. She pulls the case file folder, reviews the file for the answer, any cross-complaint and service. If all the papers are in order she files and enters on register of actions and logs it on the civil active list. If long cause she then sets a pre-trial conference, including an arbitration or pre-jury conference, if applicable. For short causes, she sets the trial date. She enters the dates in the calendar book, sends notices to all parties, makes an entry in the register of actions, and places the notice in the case file. If applicable, she also receives the \$400 per day jury trial fees which are due 14 days before trial.

Jury fees are transmitted to trust. If jury fees are not paid, jury demand is waived; the clerk mails a notice to all parties and the trial date must be reset. The other party can deposit the fees to reinstate the jury demand. Receipts are issued to the moving party or the person who pays the fee and copies are sent to accounting and copies are placed in the case file folder.

Occasionally the trial date may be changed by the court. The trial date may also be changed by the clerk who becomes "the court" for example, if the jury fees have not been paid. When a judge does change a trial date the clerks will also receive written verification from the administrator's office. The clerk sends notice to both parties that the trial date has been changed; this may be by telephone if time is short. A new date is entered on the register of actions and in the calendar book.

#### 9. Preparing the Calendar for Court

The clerk obtains the scheduled cases from the calendar book and pulls the appropriate case file folders and the register of actions. Minute sheets are typed with information including the case title, case number, date, time, and type of hearing, the name of the judge, and the names of the attorneys or the parties names. She puts the cases in order according to their position on the calendar and types the calendar for each courtroom. If law and motion she also includes the type of hearing. The calendar itself includes the department number, the judge, the date, the time, the types of cases, the case number, attorneys names, and the title of the action. The clerk photocopies the calendars and distributes them to the courtroom clerks, along with the case file

folders. Some copies of the calendar remain at the clerk's office for public view.

#### 10. Making a Record of Court Proceedings

The courtroom clerk writes the decisions, record of exhibits, witnesses, and the motions on minute sheets at the court proceeding. She also enters some information on the typed calendar and places the minute sheets in the case file folder. If the case has been taken under submission and the decision rendered later, she types the decision of court and sends it the civil department. She sends the notice of decision to the parties along with a certificate of mailing. The certificate of mailing is placed in the case file folder.

The civil clerk extracts the information from the minute sheets and enters it on the register of actions after the proceedings. If the judge is holding the file for a later decision, the civil clerk extracts the information from the court calendar.

#### 11. Transferring the Case to Another Court

At any time in the course of processing a case, the clerk may receive a request to transfer the case from the moving party. This may be an ex parte application, noticed motion, or be by stipulation of both parties. The clerk submits the file and order to the judge for signature and receives the signed order from the judge. The clerk then collects the transmittal fee and the filing fee for the other court, the order transferring the case, a certified copy of the transmittal sheet (the register of actions), and sends a notice of transfer to all parties. The clerks retain the original register of actions, original order transferring

case, copy of transmittal sheet, notice, and the case file folder. They send certified copies of the order transmitting the case, and the transmittal sheet, filing fees, and the contents of the case file folder to the other court. The other court returns a copy of the transmittal sheet with the new court's case number. The clerk enters the new court's case number on the register of actions and places the transmittal sheet in the case file folder.

The basic procedures are the same whenever a case is sent from one court to another no matter what that transfer of a case is called. This includes transfer, certification to a higher court, or appeal. The register of actions, or in criminal proceedings, the docket, is photocopied and used as a transmittal document. All the case file contents are sent to the other court and the other court sends a record back of what it received, usually by returning the copy of the register of actions or docket with the new case number on it.

#### 12. Preparing Formal Follow-up Papers After Court

The clerk receives the papers from a party, reviews the papers, sends to the judge for signature, file stamps them, and enters a notation in the register of actions. She sends copies of the judgment and, if applicable, prepares the notice of entry of judgment and sends copies to each party. She also sends a certificate of mailing to both parties and places the papers in the case file folder. In the case of a stipulated judgment the clerk receives the stipulation signed by both parties. If this is the defendant's first appearance, defendant pays fees. She submits papers to the judge for approval and makes all appropriate

entries in the register of actions. She places the papers in the case file folder and returns copies to the parties.

#### 14. Motion for a New Trial

The clerk receives a request for a new trial from the moving party. She file stamps the request, receives the fees, and enters everything on the register of actions. After the statutory time for filing supporting and opposing papers has expired, she submits the motion to the trial judge; the trial judge may grant the motion; order a hearing, ask for more information, or deny the motion. If a hearing is required the clerk prepares the notices for the hearing and sends them to the parties. She calendars the new date in the calendar book.

#### 15. Appeals

The clerk receives a notice of appeal from the appellant along with fees and a request for transcript or the appellant has ten days to pay the fee and to request the transcript. The clerk file stamps the notice, records it on the register of actions, records if the fee has been paid. She also records it in the book of appeals and prepares a notification to respondent that an appeal has been noticed. An informal memorandum of appeal is sent to the trial judge and placed in the file.

If a clerk's transcript is requested the clerk types the list of requested pleadings. If a reporter's transcript is requested, the clerk notifies the court reporter for an estimate. After receipt the clerk notifies appellant to submit the fee in care of the court but payable to the reporter. Upon receipt, the clerk sends a notice to the reporter to prepare the transcript. The clerk notifies all parties of the completion of the clerk's and



reporter's transcripts. (If the check for the reporter's fees are paid to the court the fees are placed in trust in the same manner as other trust items.) All activities are recorded in the register of actions, including the reporter's estimate of costs. Copies of the clerk's transcript are sent to appellant and respondent. Each party has ten days to request corrections of transcript. Procedures allow a hearing to correct a transcript but in the central and northern branches, no hearings on corrections are held; the transcript is corrected by stipulation. In the southern branch, corrections can be made at a hearing. All activity is entered in the register of actions. If there is a hearing it is calendared in the normal manner before the trial judge as a law and motion hearing. Notice of any hearing is sent to the parties and to the court reporter.

After appeal, the appellate court returns the decision to the lower court with any instructions on remand. The appellate court sends a cover letter, a transcript, and the memo of decision. The lower court receives the photocopy of decision after the higher court has waited 18 days for parties to appeal. Actions taken at appeal are recorded on the register of actions, and the memo of decision is placed in the case file folder. The appeal outcome and the date of the decision are recorded in the appeal book.

#### 16. Renewal of Judgment/Sister State Judgment

The moving party files an application for renewal of judgment or requests entry of a sister state judgment. The clerk issues a new case number, collects the fee, places the application for renewal or entry in a case file folder, makes the appropriate

entry on the register of actions and issues a notice of application to the other party. The case is also indexed.

#### 17. Enforcement of Judgments

The judgment creditor files a memorandum of costs with the clerk. The clerk reviews the memorandum of costs against the register of actions. If there are additional costs, the debtor is entitled to notice (of the increased costs). The clerk checks for declaration of mailing.

The judgment creditor may submit a writ of execution and fee for issuance. No copies are kept by the clerk. The clerk reviews the writ with the judgment by reviewing the register of actions. If complete, and no previous writs in the same county (with the same plaintiff and the same defendant) are still outstanding (or if six months elapsed since issuance on the same judgment), the writ will issue. When the entries are made to the register of actions for writs, the notation is made that the writ is issued, including the amount and the county. After levying or attempted levy the writ is returned to the clerk's office from the sheriff; proper notations are made on the register of actions.

The judgment creditor may also enforce judgment by an abstract of judgment lien against the property. The clerk reviews the abstract against the register of actions. If complete, she collects the issuance fee, signs, seals, and dates the abstract, issues it, and returns it to the judgment creditor. She enters all the information on the register of actions and no copies of the abstract are kept.

#### 18. Enforcement of Judgment Order of Examination (OEX)

The clerk receives a declaration and the order of examination

from the judgment creditor. She files and enters the declaration on the register of actions and sends to the judge for signature. The clerk calendars the hearing in the law and motion calendar book. Copies are returned to the judgment creditor. After proof of service is filed the clerk notes service in the law and motion calendar book.

#### 19. Claim of Exemption

The judgment debtor may file a claim of exemption with the sheriff. If judgment creditor files a timely opposition and notice of hearing with the sheriff, the sheriff sends the forms to the clerk. The clerk calendars on the law and motion calendar and presents the claim of exemption to the judge. All activity is recorded on the register of actions including the notice of claim, opposition and hearing, and any order made. The claim of exemption and opposition and any order are placed in the case file folder. Copies of the order are sent to the debtor, the creditor, and to the sheriff in the county where the writ was levied.

#### 20. Assignment of Judgments

Sometimes a judgment creditor will assign the judgment to a collection agency. The clerk receives the assignment of judgment from the judgment creditor on a form. On the top of the register of actions the clerk writes "assigned to" and the assignee becomes the new judgment creditor. The clerk does not change the plaintiff's name on the index in all branches but it is changed on the register of actions (The assignee is indexed as new plaintiff in the southern branch.) Often these assigned claims are of older

debts that are not on the current index. The assignment is placed in the case file folder

21. Subpoenas for Peace Officers

A party requests issuance of a subpoena. If the witness is a peace officer, fees for the peace officer must be placed in trust at time of issuance. After the hearing the officer submits his or her fee. All activity is entered in the register of actions as is the officer's title and agency.

22. Installment Payments

After entry of default or of judgment a creditor may agree to accept installment payments. The creditor files a stipulation and order for installment. The stipulation or a declaration of defendant is placed in the case file folder, noted on the register of actions, and the order sent to the judge. After signing, certified copies of the stipulation and order and cover letter are sent to the Department of Motor Vehicles to release any hold on the driver's license of the debtor, if applicable and upon payment of fees.

23. Satisfaction of Judgments and Certificate of Unsatisfied Judgment, DMV

The judgment creditor submits a satisfaction of judgment when the judgment debtor pays off the judgment. The clerk file stamps, makes an entry on the register of actions and places the satisfaction in the file folders.

The judgment creditor may file a certificate that the judgment is unsatisfied. The clerk collects the fee, checks the register of actions to verify the date of judgment and the elapse of appeal time plus an additional 30 days. The clerk must allow ninety days

if there has been no notice of entry of judgment and thirty days if notice of entry of judgment has been filed. The clerk signs, dates, seals, and certifies the copy of the judgment. A cover letter, certified copy of the judgment, and the original certificate are sent to the DMV for driver's license stop, if applicable. The clerk places a copy of the certificate and highlights in yellow highlighting pen on the register of actions.

#### 24. Purging Files

Ten years from the judgment or from the date of the last installment payment, or, if no judgment, then from date complaint was filed, the clerk reviews the register of actions. Cases for purging are placed on a destruction list, documents within the range that are still active are placed on an exception list. After approval, documents for purging are placed in boxes and sent to General Services.

#### 25. Automated System Requirements

Civil case processing will utilize all the core requirements of the case management/processing subsystem. The on-line system must be accessible in the courtroom, the judge's chambers, and the clerk's office. The courtroom clerk should be able to enter court minutes directly into the on-line system during court proceedings. Appropriate register of actions entries must also be capable of being made during court. Notices of decision that must be sent to the parties should be able to be automatically generated as a result of the information entered during the court proceedings.

The automated system must interface with the superior court. This interface occurs in certifying cases on appeal and when

scheduling space for use by arbitrators. The civil department must also interface with other areas of the municipal court. The accounting department must receive and exchange fee and trust information with the civil department; the criminal department sends bail forfeitures to the civil department for entry of summary judgment.

The civil department interfaces with the sheriff's department during enforcement of judgment proceedings when the sheriff files a claim of exemption with the clerk's office or when the sheriff returns a writ after a levy or attempted levy against property. The civil subsystem should provide this interfacing capability.

The civil subsystem should also have the capability of interfacing with the DMV for reporting license holds and release of holds in civil cases that have involved automobile accidents.

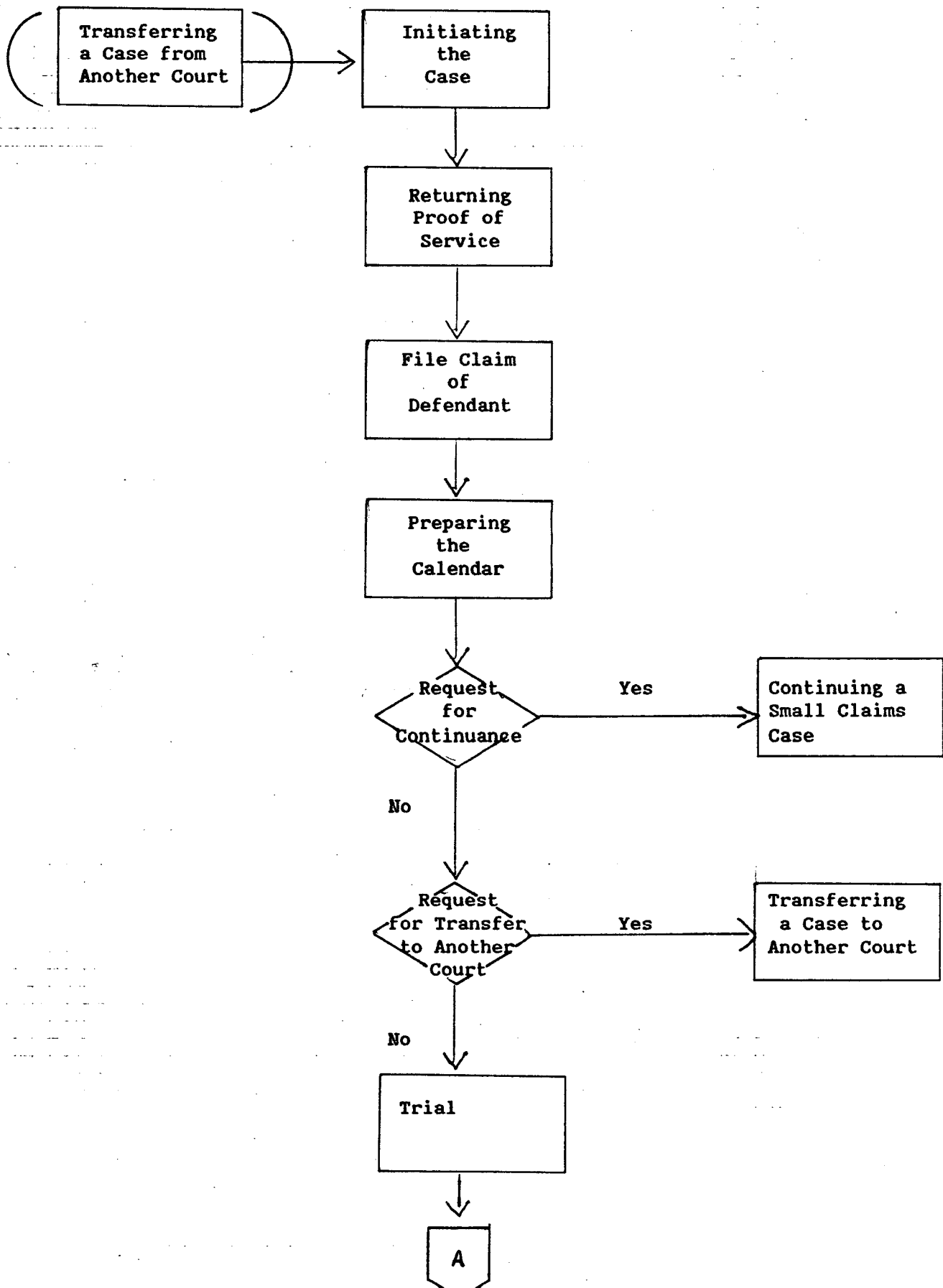
The case tracking function must be able to identify specific situations and deadlines including case processing times should the court wish to implement a delay management program. It should be able to track defendant's timely response to the complaint and automatically note time elapsed for a default judgment. It should also track and identify complaints that should be dismissed for want of prosecution. A notice generation capability should be attached to this function that would allow attorneys (or pro per plaintiffs) to be notified that their cases would be about to be dismissed. The tracking system should provide a capability for purging unprosecuted cases at this point as well as the capability for purging cases that have reached the ten year limit.

Calendar information should be able to be entered by the various calendar clerks and pulled up, and updated if necessary.

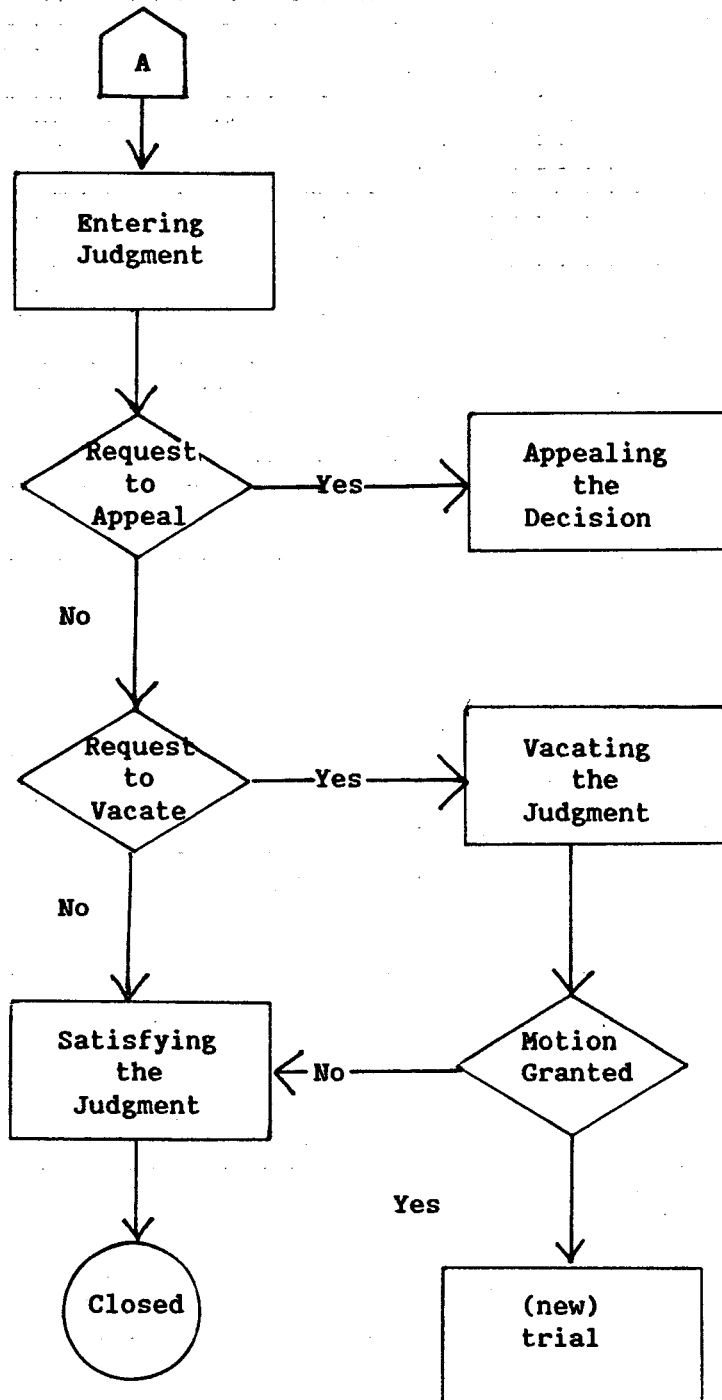
by the courtroom clerks either in their offices or in the courtroom. "Inquiry only" capability is necessary for public access to the calendar (and to the case file). Additionally, capability to generate a printed calendar must be retained in order to distribute the calendar to necessary persons who do not have an automated system.

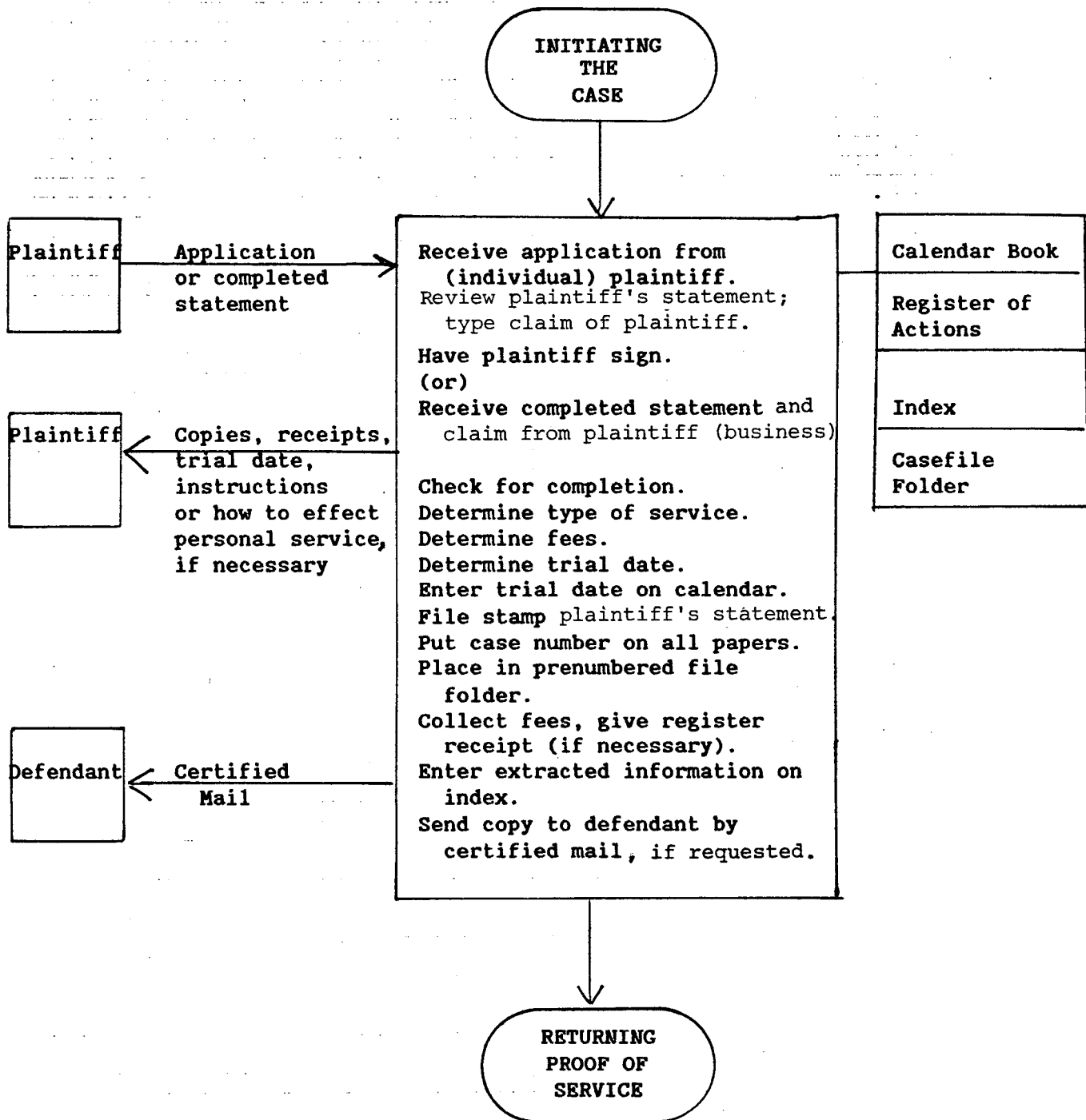
For arbitration procedures the system must be able to generate the notice of arbitration, the cover letter, notice of appointment, and the consent form that is sent to the arbitrator and the list of arbitrators' names that is sent to the parties. It should also be able to generate the notice of award and track the required time limits for request for trial de novo or acceptance of the award.

# SMALL CLAIMS









RETURNING  
PROOF OF  
SERVICE

Plaintiff

Proof of Service  
or Certified  
Mail Receipt

Review proof of personal  
service for ID information,  
date, signature of person  
serving, address, timeliness.

(or)

Review certified mail receipt  
for date, signature,  
timeliness.

If plaintiff unable to serve,  
note in register of actions  
and in calendar book.

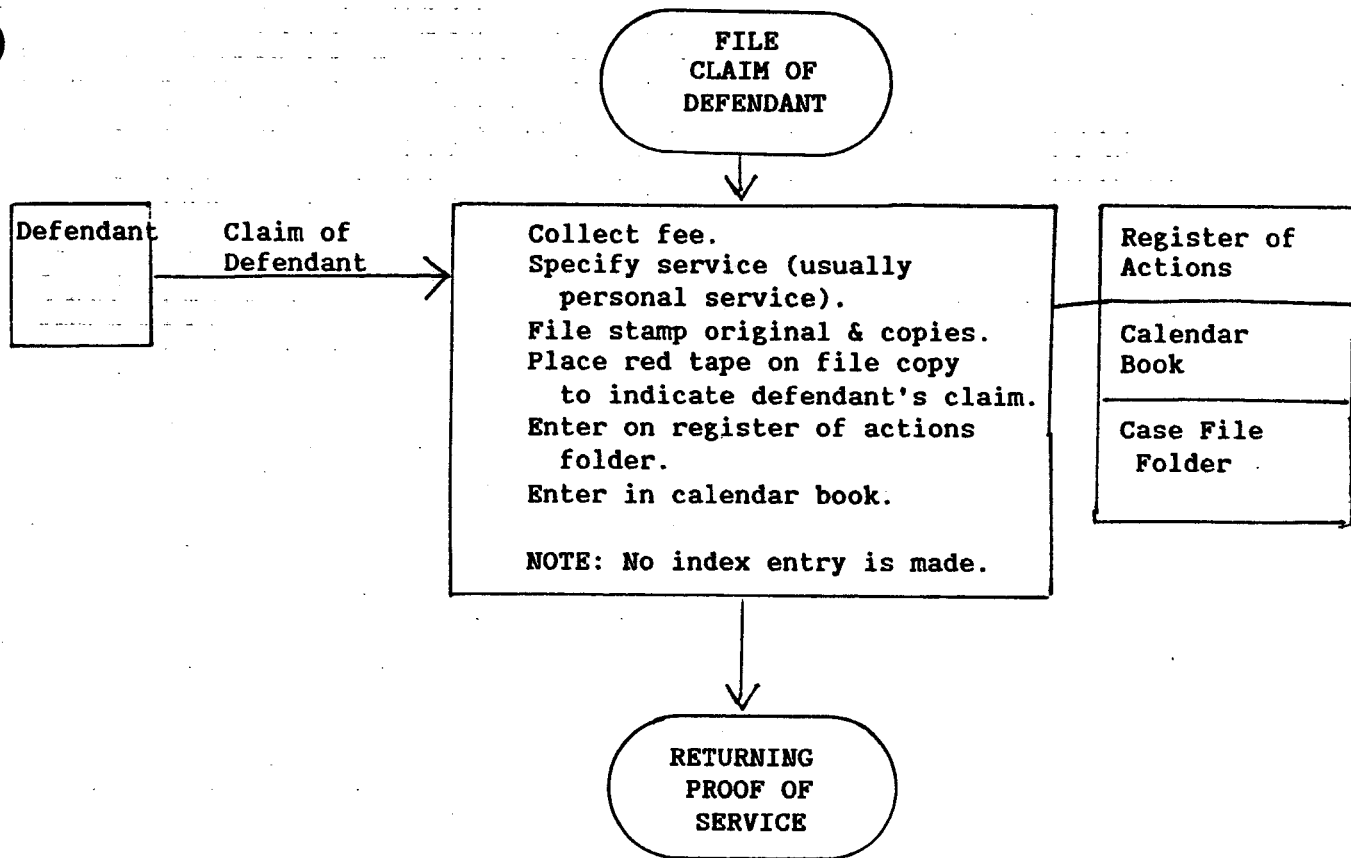
If served, review irregularities  
in service (in C, reviewed by  
Commissioner).

Separate register of actions from  
case file folder; place in bucket  
according to court date.

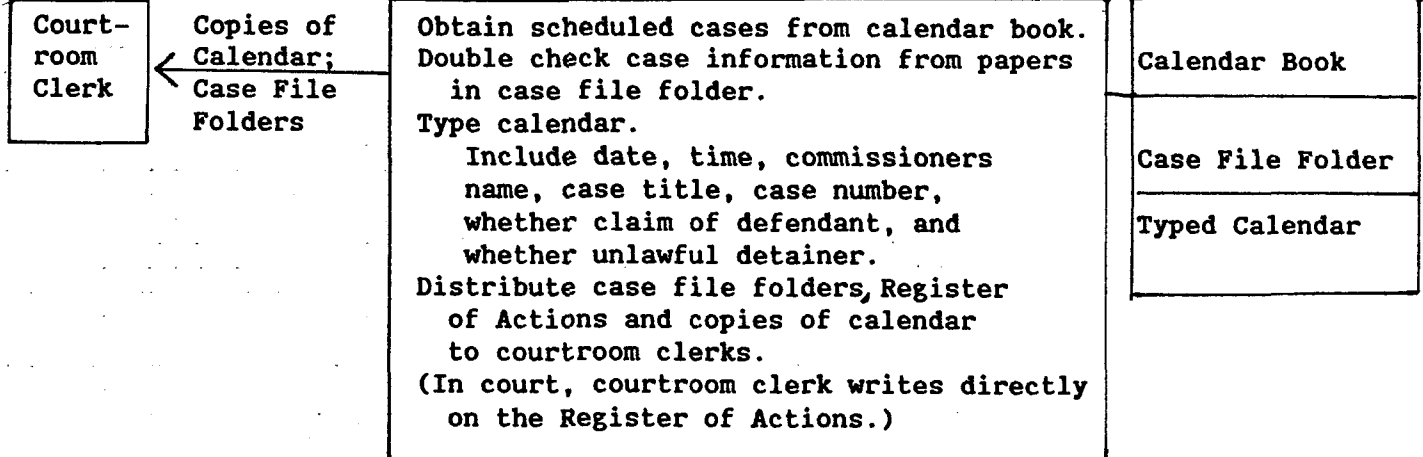
Register of  
Action

Case File  
Folder

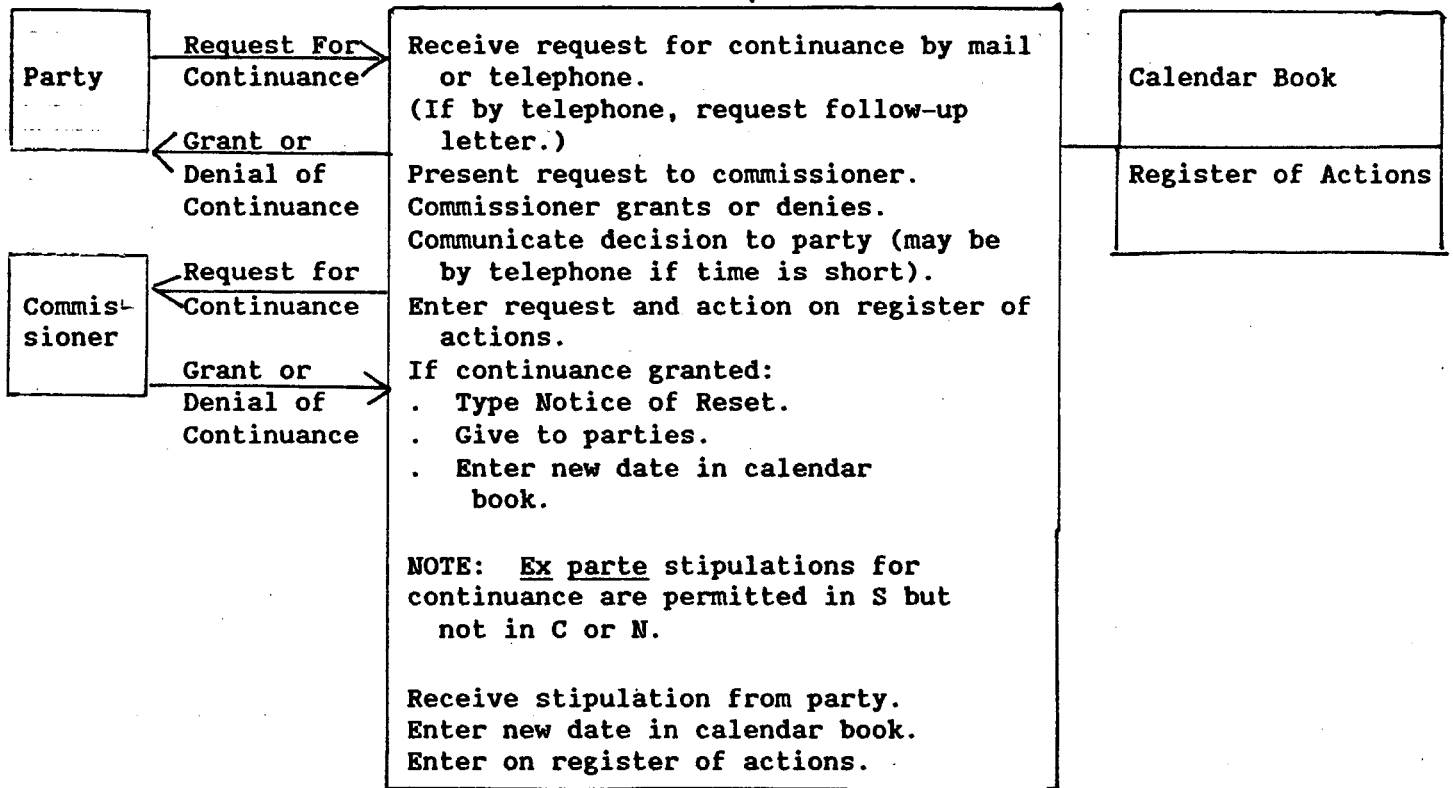
Calendar  
Book



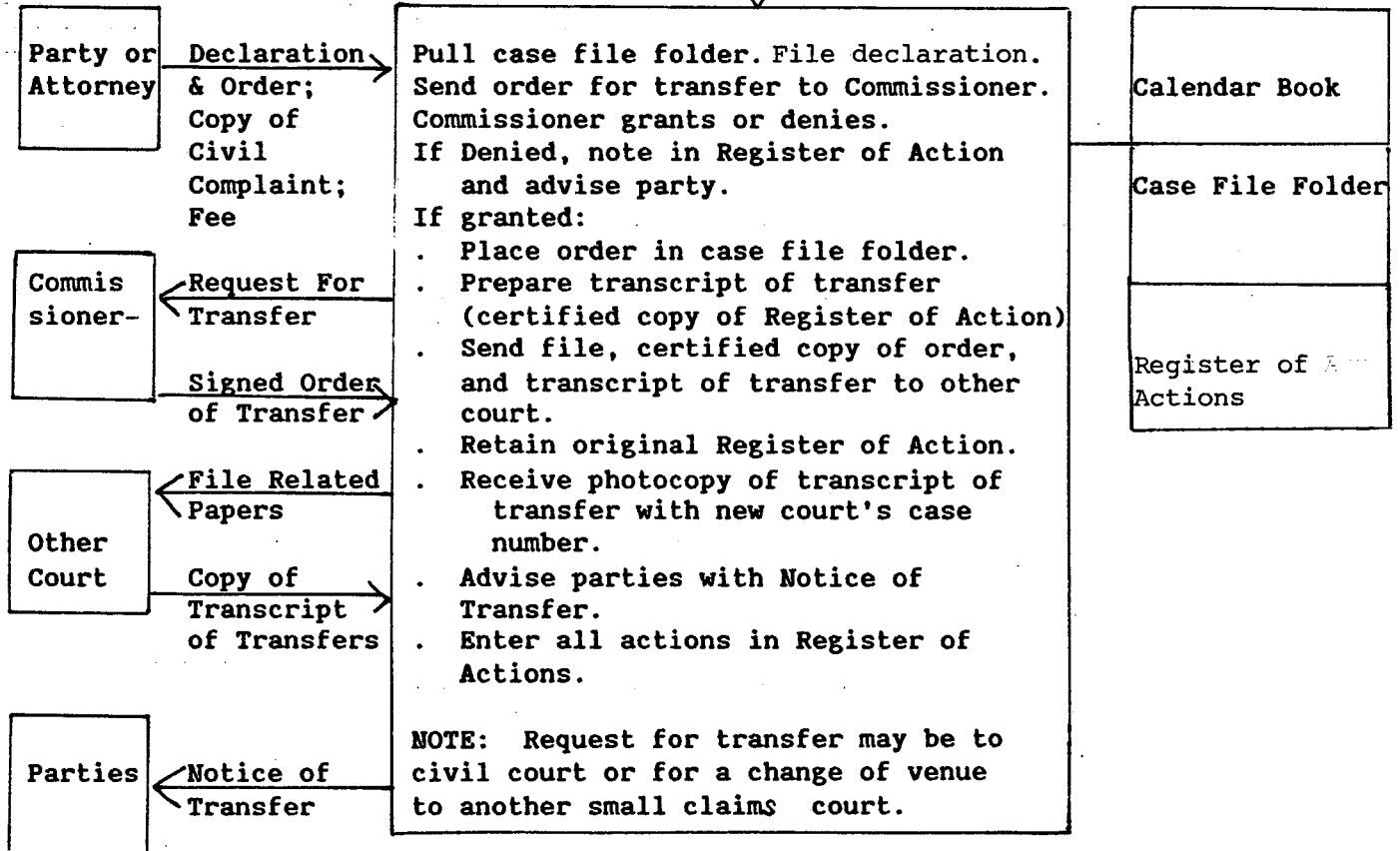
**PREPARING  
THE CALENDAR**



CONTINUING A  
SMALL CLAIMS CASE



**TRANSFERRING A CASE  
TO ANOTHER COURT**



# ENTERING JUDGMENT

Court/  
Court-  
room  
Clerk

Calendar,  
Case File  
Folder

Receive calendar & case file.  
Clear calendar.  
Prepare notice of entry of judgment  
or continuance.  
Note in calendar book and on  
register of actions:  
• Notice of entry of judgment;  
• Continuance;  
Send notice to parties  
Send statement of assets to debtor.  
Note: Debtor returns statement  
directly to creditor.  
Place papers in case file folder.  
Place case file folder on "open"  
shelves.

Register of Actions

Calendar Book

Case File Folders

Typed Calendar

Defendant

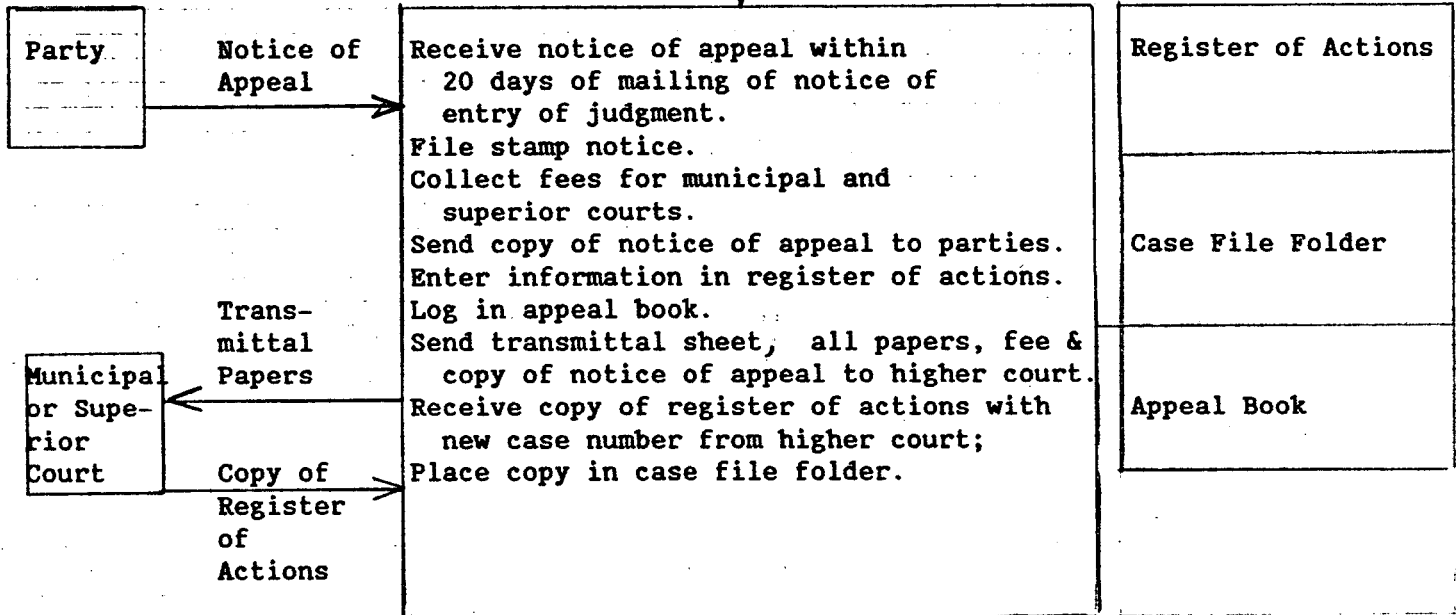
Notice of  
Entry of  
Judgment

Plaintiff

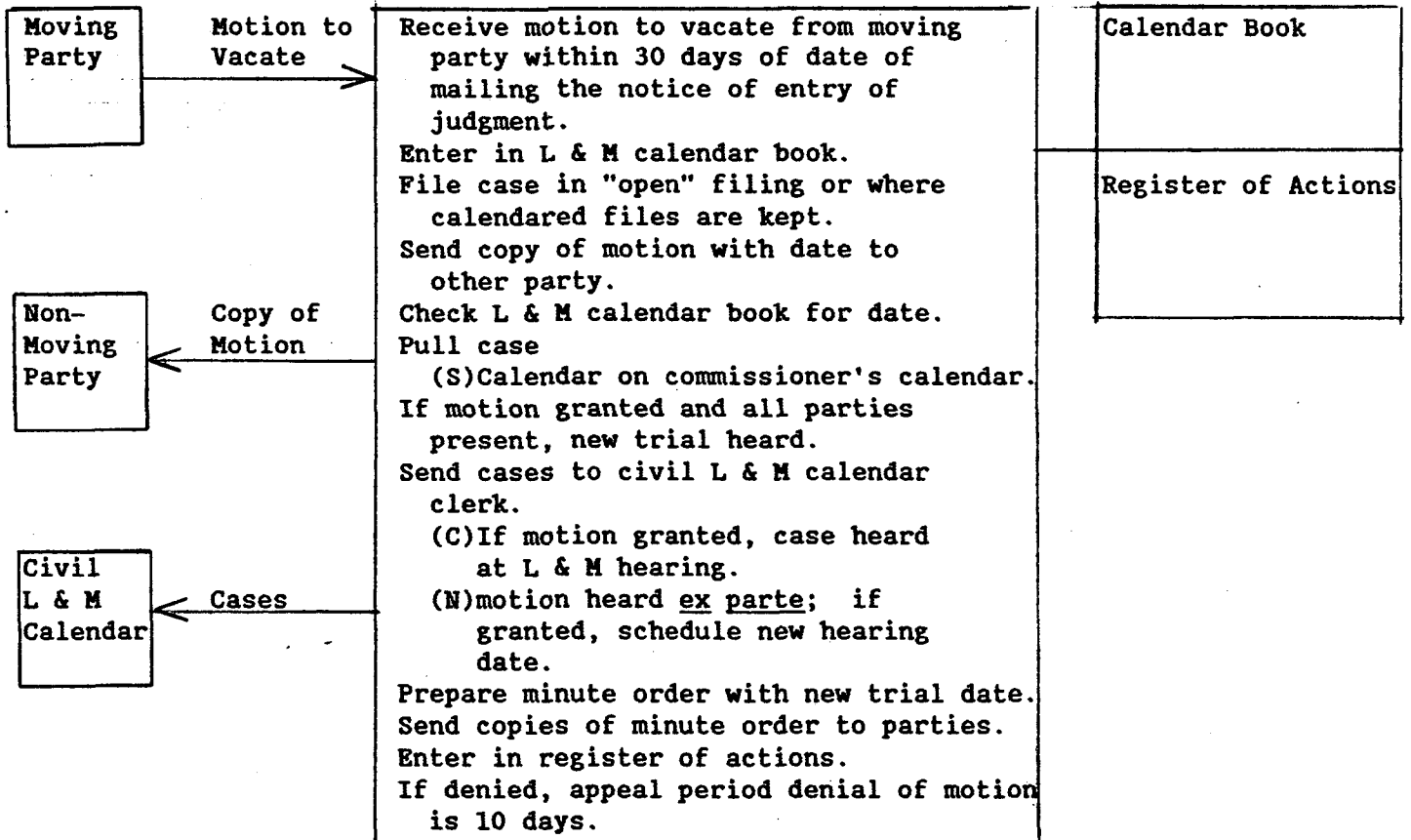
Notice of  
Entry of  
Judgment



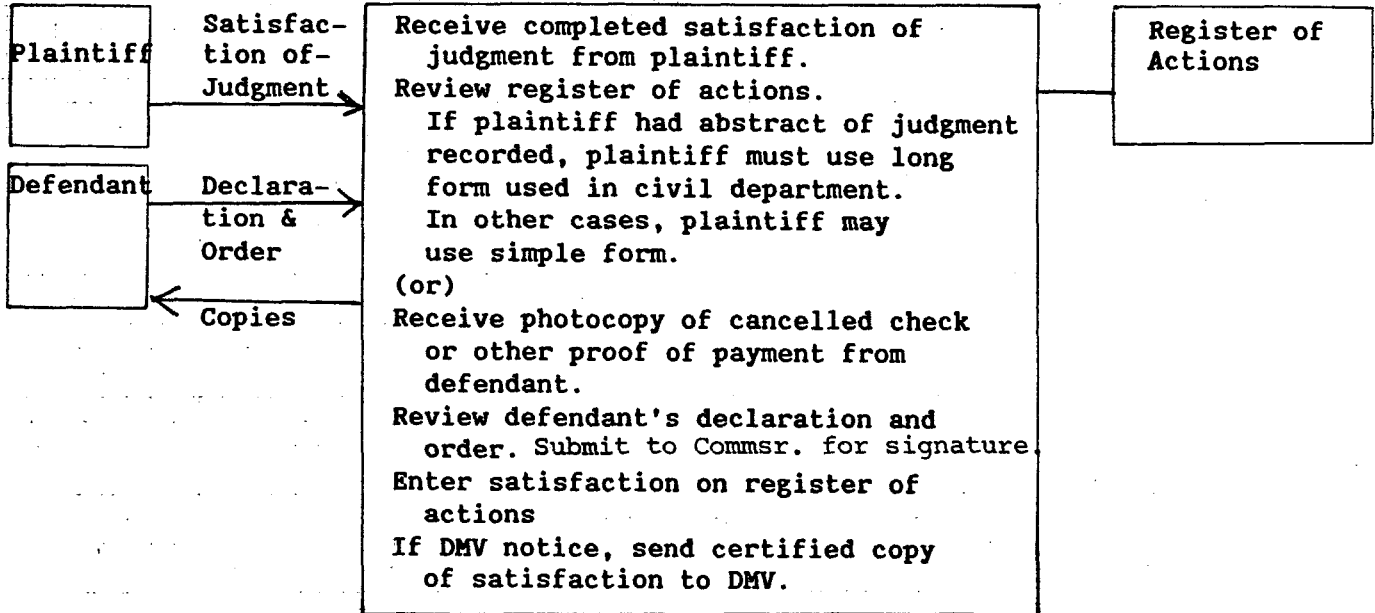
**APPEALING THE  
DECISION**



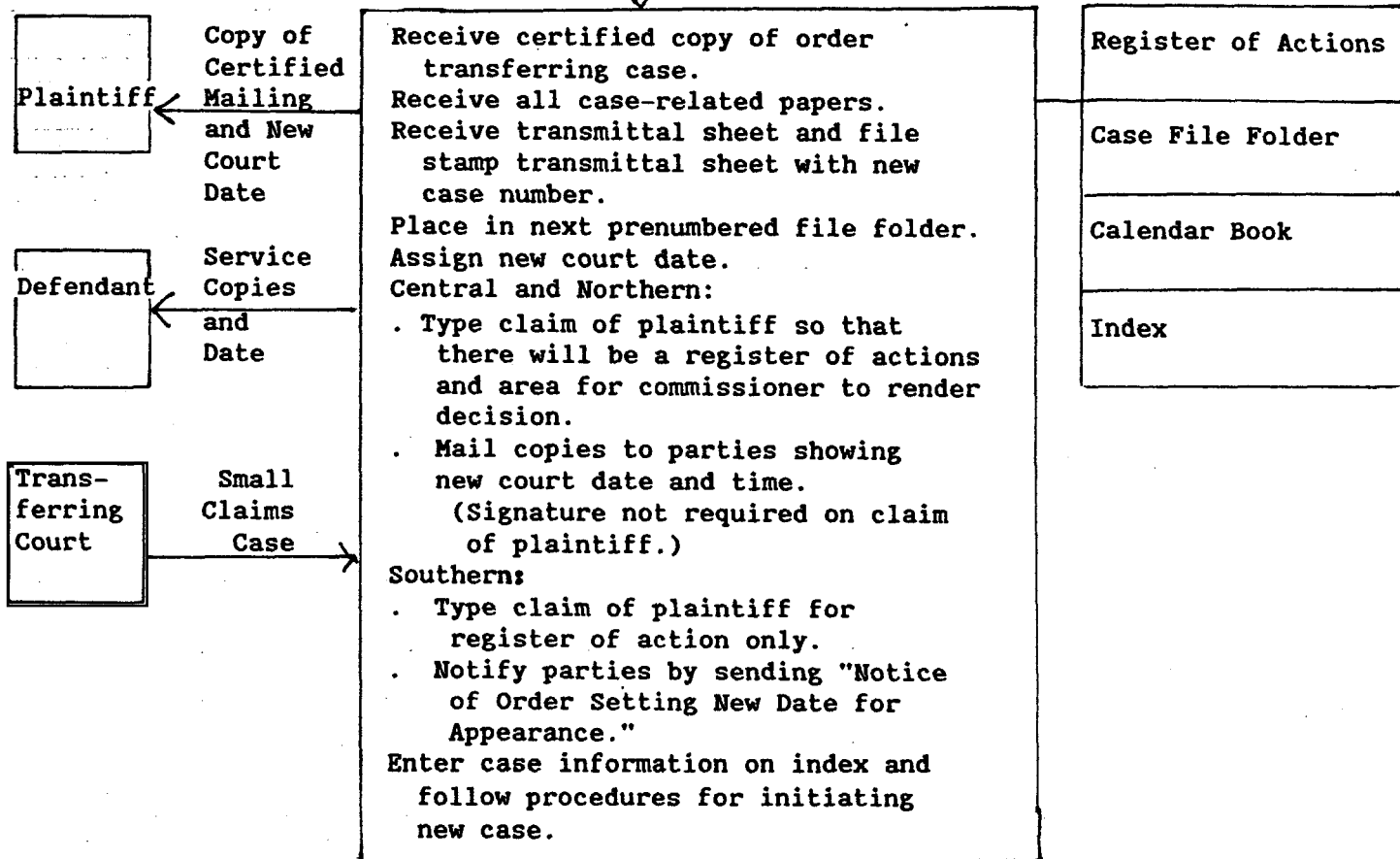
**VACATING THE  
JUDGMENT**



**SATISFYING  
THE JUDGMENT**



RECEIVING TRANSFERRED  
CASE FROM ANOTHER COURT



## SMALL CLAIMS CASE PROCESSING

### 1. Initiating the Case

To initiate a small claims case a plaintiff who is an individual fills out an application. The clerk prepares the claim of plaintiff using information from the application. A plaintiff that is a business files a completed claim of plaintiff with the clerk.

The clerk reviews the form to assure that it is complete and determines whether service is to be by certified mail or personal service. The clerk determines the amount of fees (based on the number of cases the plaintiff has filed in small claims court during the last twelve months). She also determines a trial date.

She uses the register of actions to record all activity in the case and enters the trial date on it and in her calendar book. She file stamps the plaintiff's statement and places the original in a prenumbered case file folder. She collects the fee, gives the plaintiff a copy of the filed claim and, if necessary, a register receipt.

If certified mail is the method of service chosen the clerk sends a copy of the claim to the defendant by certified mail. She enters plaintiff's and defendant's name, the case number, and the filing date into the EDP system for the index. A printed copy of the index is returned to the clerk's office within one or two working days.

### 2. Returning Proof of Service

The clerk reviews proof of personal service for information identifying the person receiving service, the timeliness, and the

signature of the person serving. If service is by certified mail, the clerk reviews the certified mail receipt for the date, signature of recipient, and timeliness. In the northern and the southern branches the clerks review irregularities in service; in the central branch irregularities in service are reviewed by the commissioner. If the plaintiff is unable to serve the defendant, the clerk notes failure to serve in the register of actions. Plaintiff changes the court date and once again attempts to serve the defendant.

After service, the clerk separates the register of actions from the case file folder and places the register of actions in a bucket in numerical order; files are placed in another bucket according to court date. Proof of service is placed in the case file folder.

### 3. File Claim of Defendant

The defendant in small claims may also file a claim. this is not an answer as in civil court. The clerk collects the fee and specifies the type of service; personal service is usually necessary because of time limitations.

The clerk file stamps the original and the copies and places a red tape on the filed copy to indicate that it is a claim of defendant. A notation is made in the calendar book. The procedures thereafter are the same as for filing of plaintiff's claim (initiating the case) except that no index entry is made.

If service is not completed by the hearing date, the commissioner determines whether the claim of defendant is heard.

#### 4. Preparing the Calendar

The clerk obtains the cases scheduled from the calendar book. She pulls the appropriate case file folders and register of actions and types calendars in order of served or unserved defendants. Calendar information includes the case title, the date and time of the hearing, and the commissioner's name.

The clerk makes the required number of photocopies of the calendar and distributes the case file folders, registers of actions, and the copies of the calendar to the courtroom clerk.

#### 5. Continuing a Case

A party may request a continuance by mail or by telephone. If the request is by telephone, the clerk requests a follow-up letter. The clerk presents the letter-request to the commissioner, which the commissioner either grants or denies. The clerk notifies the party of the decision, if time is short, by telephone, otherwise, by mail.

The request for continuance and the action taken are entered on the register of actions. If a continuance is granted the clerk gives the new date to the parties and enters the new date in the calendar book. Notice of the order resetting trial date is prepared and mailed to all parties.

Stipulations for a continuance are not permitted in either the central or northern branch but are permitted in the southern branch. In those cases, the clerk enters the new date in the calendar book and on the register of actions. No notices are necessary.

## 6. Entering Judgment

The clerk receives the calendar and the case file folder from the courtroom clerk. She clears the calendar by noting the disposition and any continuances in the calendar book. (The courtroom clerk has made entries on the register of actions during the court proceedings.) She prepares the notice of entry of judgment and mails copies to all parties; judgment debtor is also sent a form: statement of assets and makes the appropriate entry in the register of actions. Case-related papers are placed in the case file folder and the folder filed on the "open" shelves.

## 7. Vacating the Judgment

A party may move to vacate the judgment. The clerk enters the motion on the register of actions and, in the southern and central branches, after determining an appropriate date, in the calendar book. The case file folder is placed on the "open" or "calendared" shelves according to the new court date. The clerk sends a copy of the motion with the new court date to the other party.

In the central branch, the clerk pulls the cases and sends them to the civil law and motion calendar clerk who prepares the calendar. If the motion to vacate is granted, the case will be heard at the law and motion hearing. In the southern branch the motion is calendared on the commissioner's calendar. In the northern branch the motion is heard ex parte; no hearing is scheduled.

After the decision, the clerk prepares a minute order, sends copies to the parties, and enters the pertinent information in the register of actions.



#### 8. Appealing the Decision

The clerk receives and file stamps the notice of appeal. She collects fees for both municipal and superior courts. She prepares the transmittal record which consist of the case-related papers and two certified copies of the register of actions. She retains the original register of actions, original notice of appeal, and the case file folder (without papers); she sends the transcript, transmittal record, certified copy of the notice of appeal, and the filing fee to the higher court.

After stamping with the new case number, the higher court returns one copy of the register of actions to small claims court. The clerk places the copy in the case file folder.

#### 9. Satisfying the Judgment

The plaintiff completes the satisfaction of judgment and returns it to the clerk. The clerk must review the register of actions to determine whether an abstract of judgment has been issued. If so, the plaintiff must file the judicial council form of judgment used in the civil department. If plaintiff has not recorded an abstract of judgment, a simple satisfaction of judgment may be used. If the plaintiff has not filed a satisfaction of judgment with the court, the defendant may offer proof of payment to the court (usually a photocopy of the front and back of the cancelled check). A defendant may also satisfy the judgment by paying it, in trust, to the sheriff.

The clerk enters satisfaction on the register of actions.

If a notice had been sent to DMV, a certified copy of the satisfaction of judgment must be sent.

#### 10. Receiving a Case Transferred from Another Court

The clerk receives a certified copy of the order transferring a case, all case-related papers, and transmittal sheets. She file stamps the transmittal sheet with a new case number and returns it to the transferring court.

She places the papers in the next prenumbered file folder, prepares the claim of plaintiff, and assigns a new court date. She sends the service copies to defendant and the plaintiff's copy of the certified mailing to the plaintiff. She enters case information on the index and follows procedures for initiating a case.

#### 11. Automated System Requirements

Small claims case processing will utilize all the core requirements of the case management/processing subsystem. The subsystem for the small claims clerks who must now prepare documents for plaintiffs (especially individual plaintiffs) should have the capability of generating both the claim of plaintiff that can be given to the plaintiff and the service copies that must be sent to the defendant.

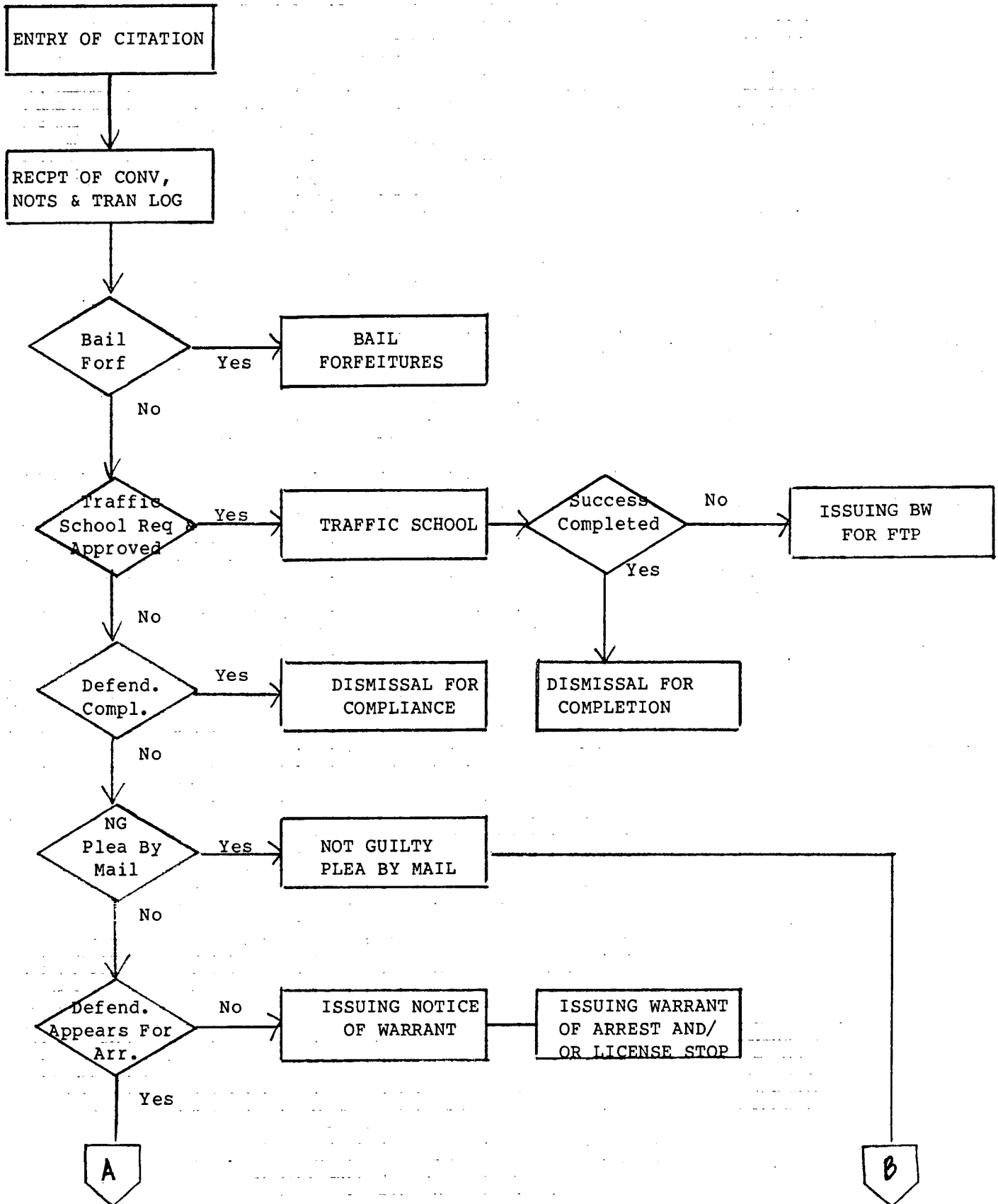
The on-line system must be accessible in the courtroom, the judge's chambers, and the clerk's office. The courtroom clerk who now enters minutes directly on the register of actions should be able to enter court minutes directly into the on-line system during court proceedings. Appropriate register of actions entries must also be capable of being made during court. Notices of decision that must be sent to the parties should be able to be automatically generated as a result of the information entered during the court proceedings.

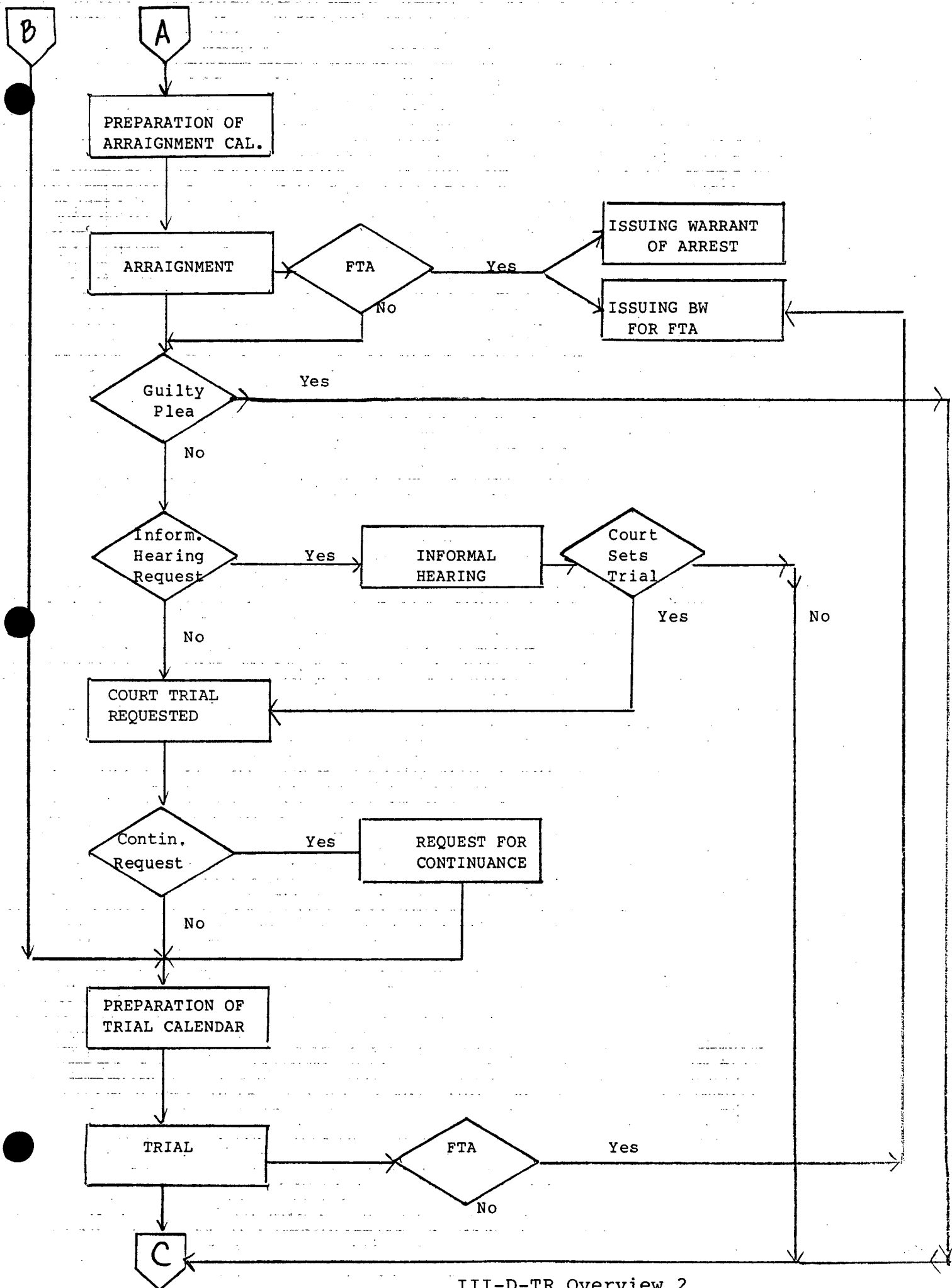
The automated system must interface with the municipal court civil department and with the superior court; this interface occurs in certifying cases on appeal or transfer to either of those courts. The accounting department must receive and exchange fee and trust information with the small claims department.

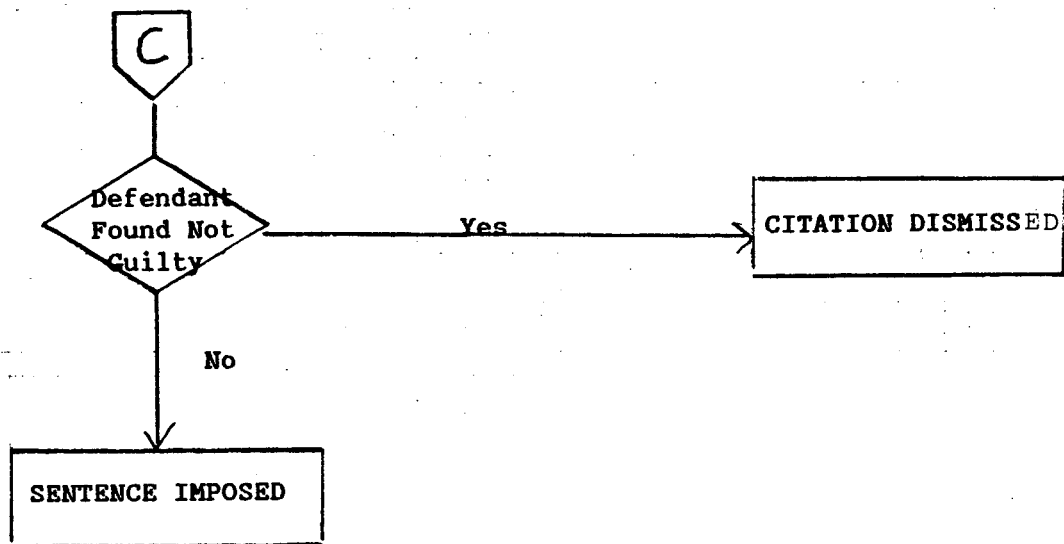
The small claims department may interface with the sheriff's department during enforcement of judgment proceedings when the sheriff files a claim of exemption with the clerk's office or when the sheriff returns a writ after a levy or attempted levy against property. The small claims subsystem should provide this interfacing capability. The small claims subsystem should also have the capability of interfacing with the DMV for reporting license holds and release of holds in cases that have involved automobile accidents.

Calendaring information should be able to be entered by the various calendar clerks and pulled up, and updated if necessary, by the courtroom clerks either in their offices or in the courtroom. "Inquiry only" capability is necessary for public access to the calendar (and to the case file). Additionally, capability to generate a printed calendar must be retained in order to distribute the calendar to necessary persons who do not have an automated system.

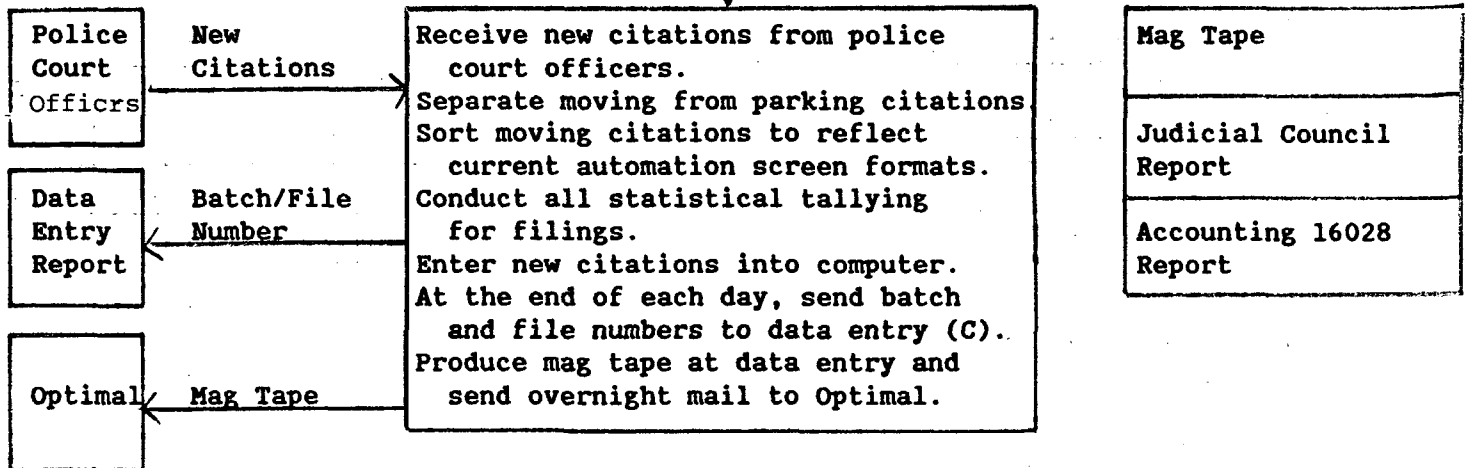
# TRAFFIC WORKFLOW



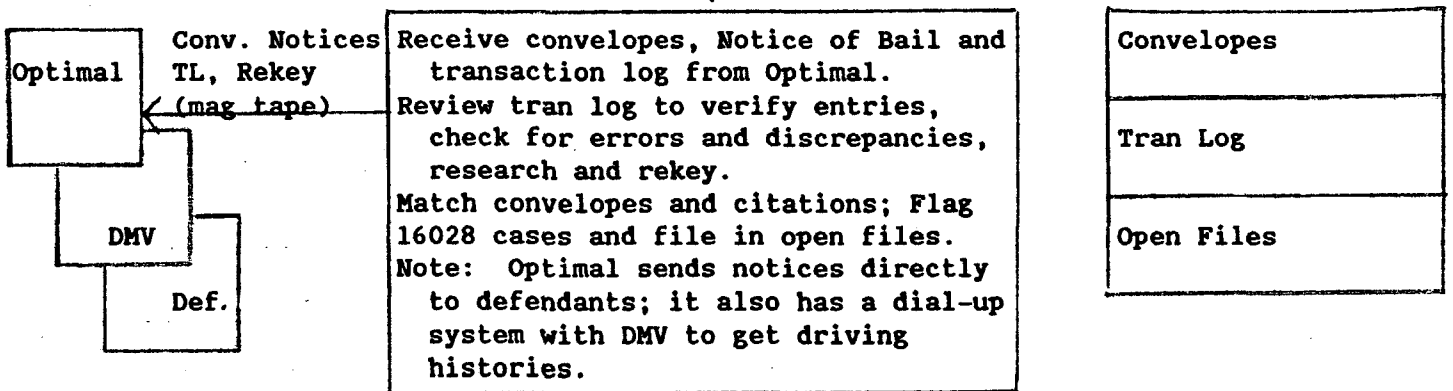




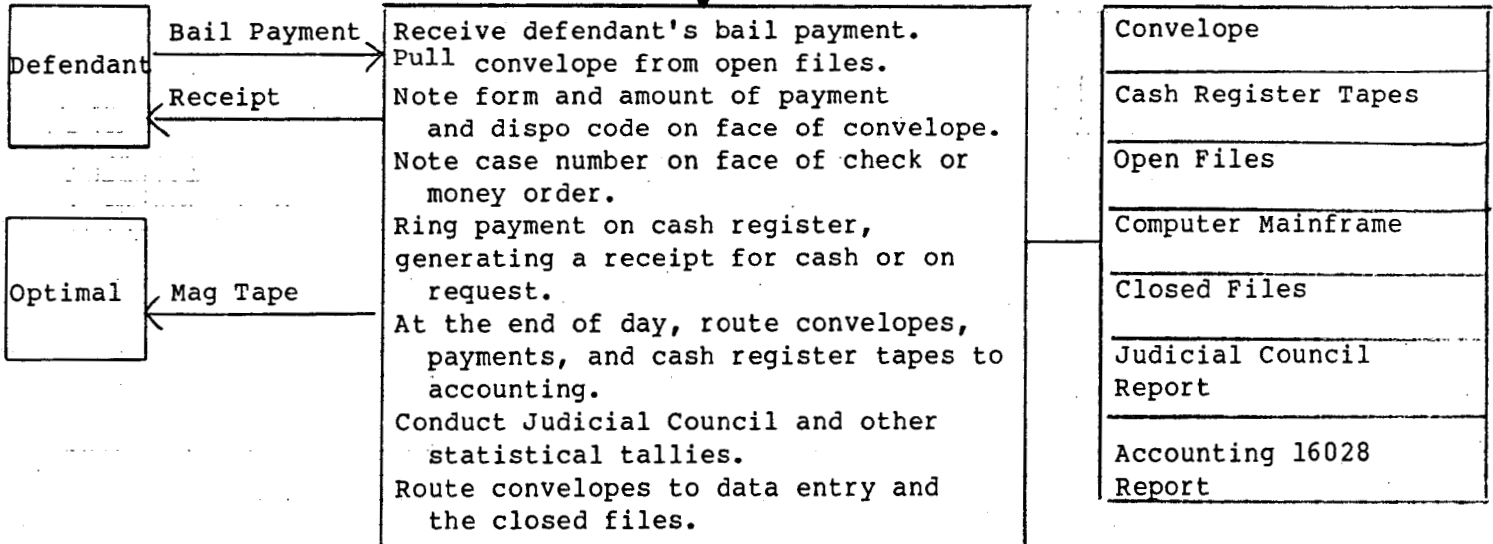
# ENTRY OF CITATION



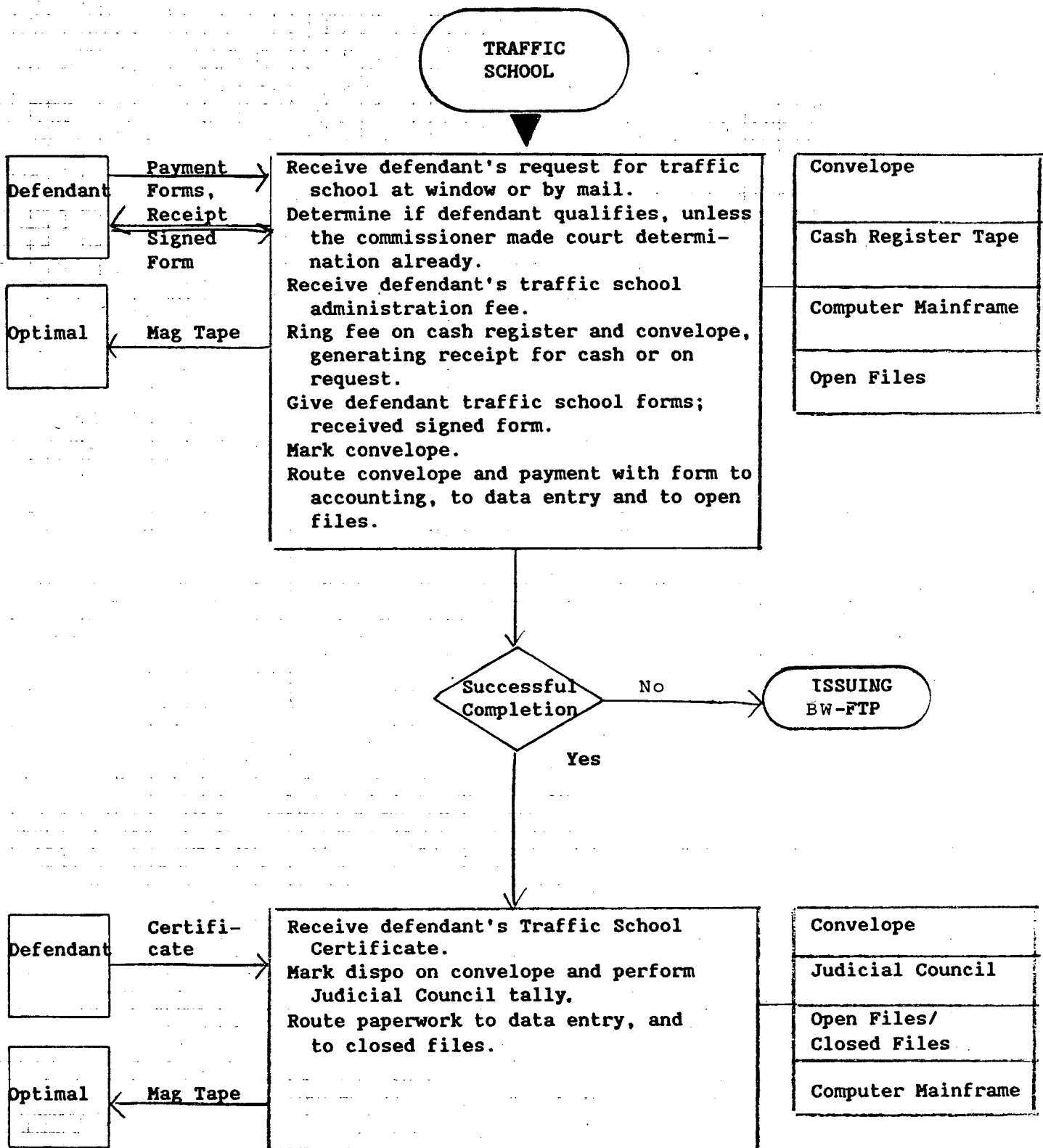
# RECEIPT OF CONVELOPES, NOTICES AND TRAN LOG



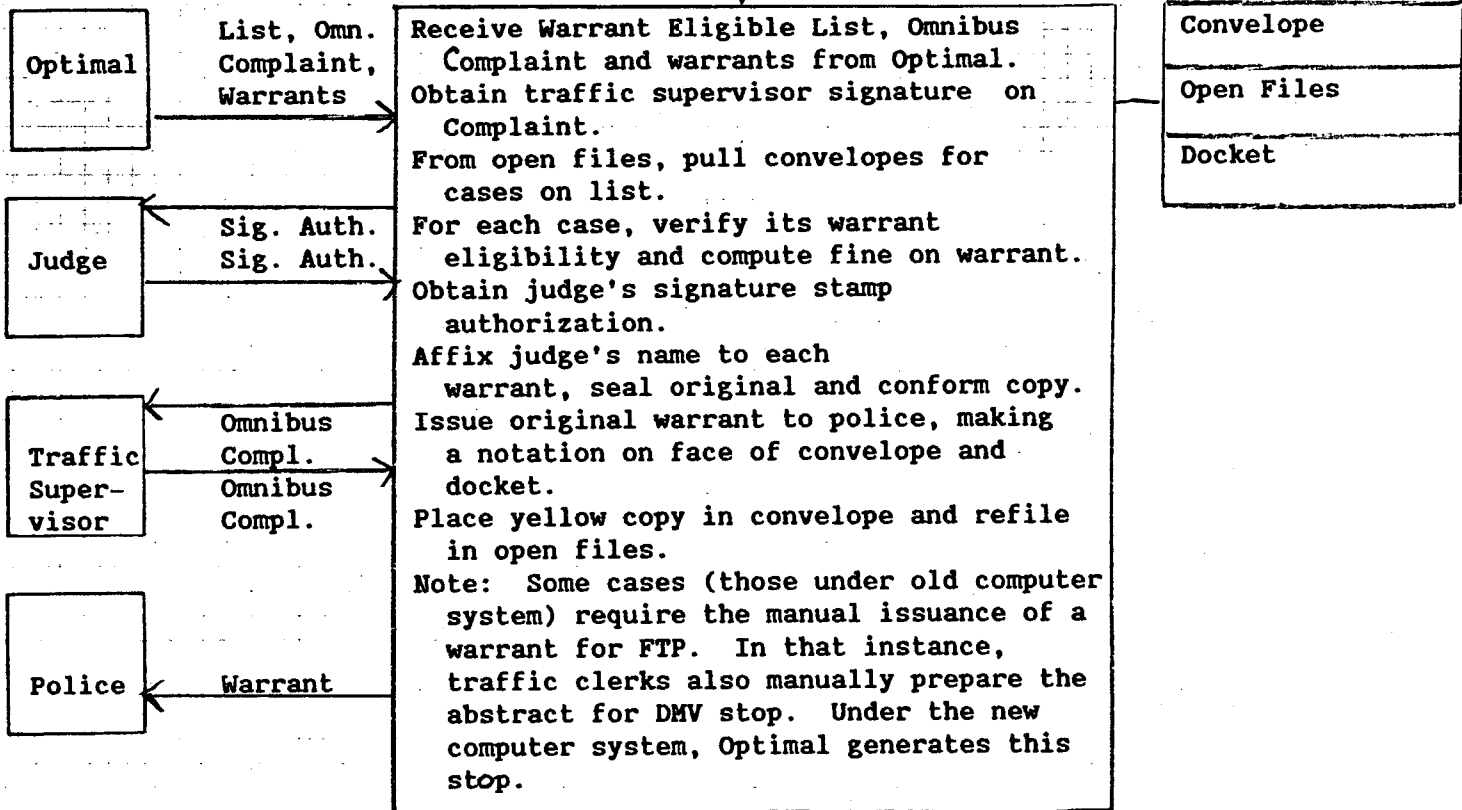
# BAIL FORFEITURES



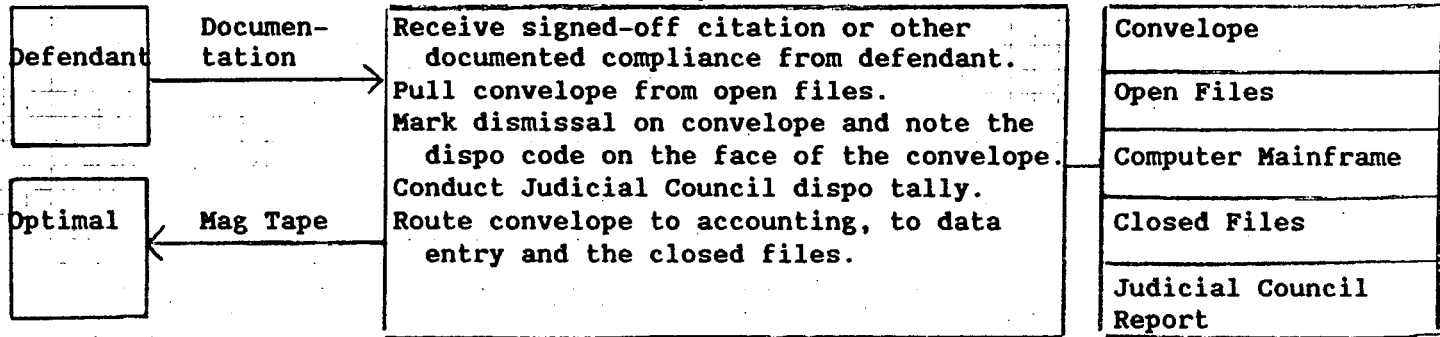




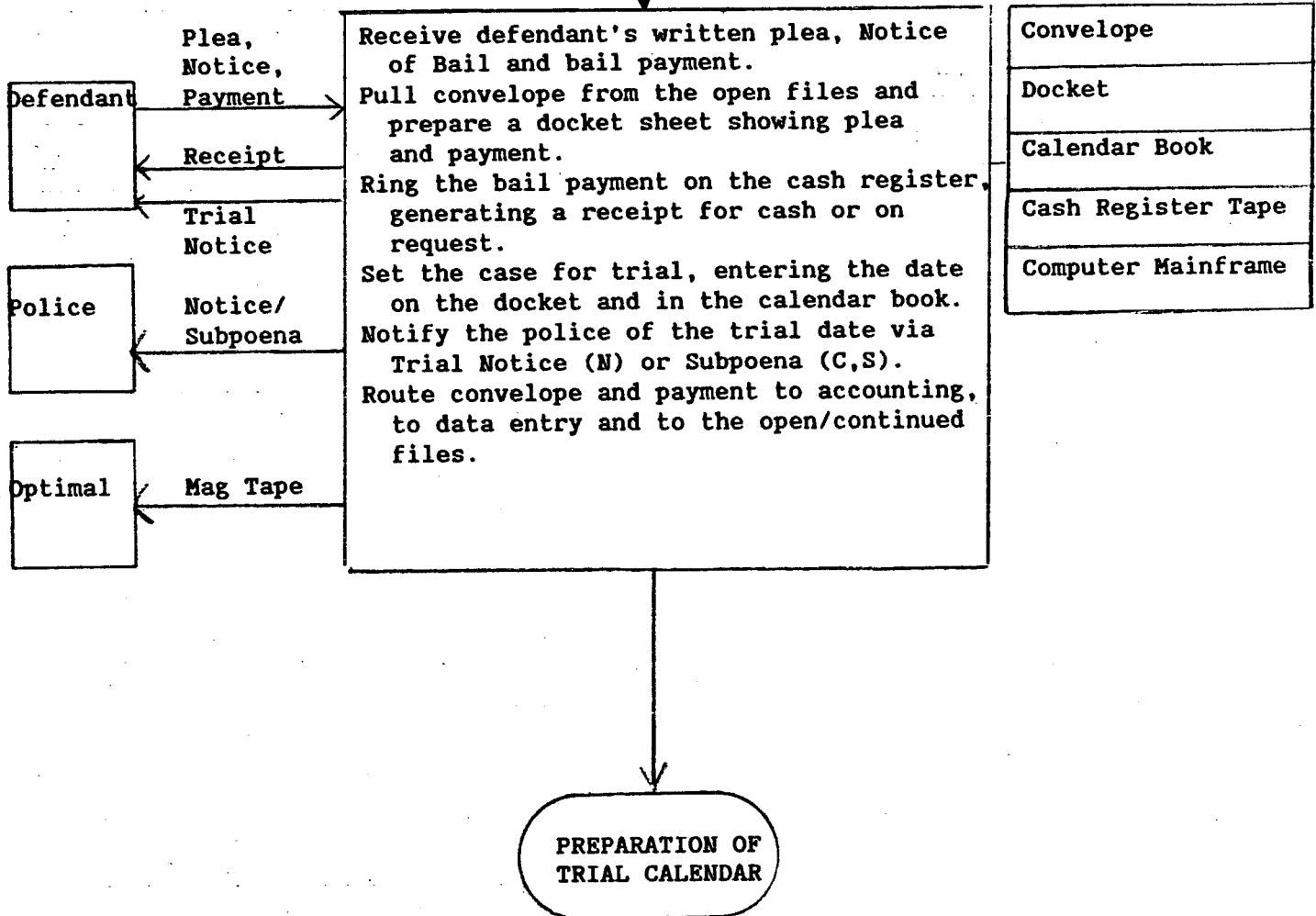
ISSUING BW  
FOR FTP



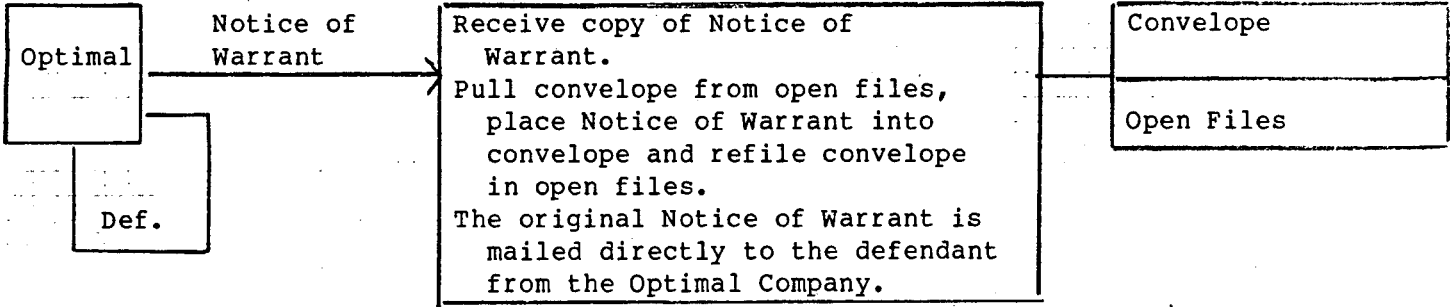
**DISMISSAL FOR  
COMPLIANCE**



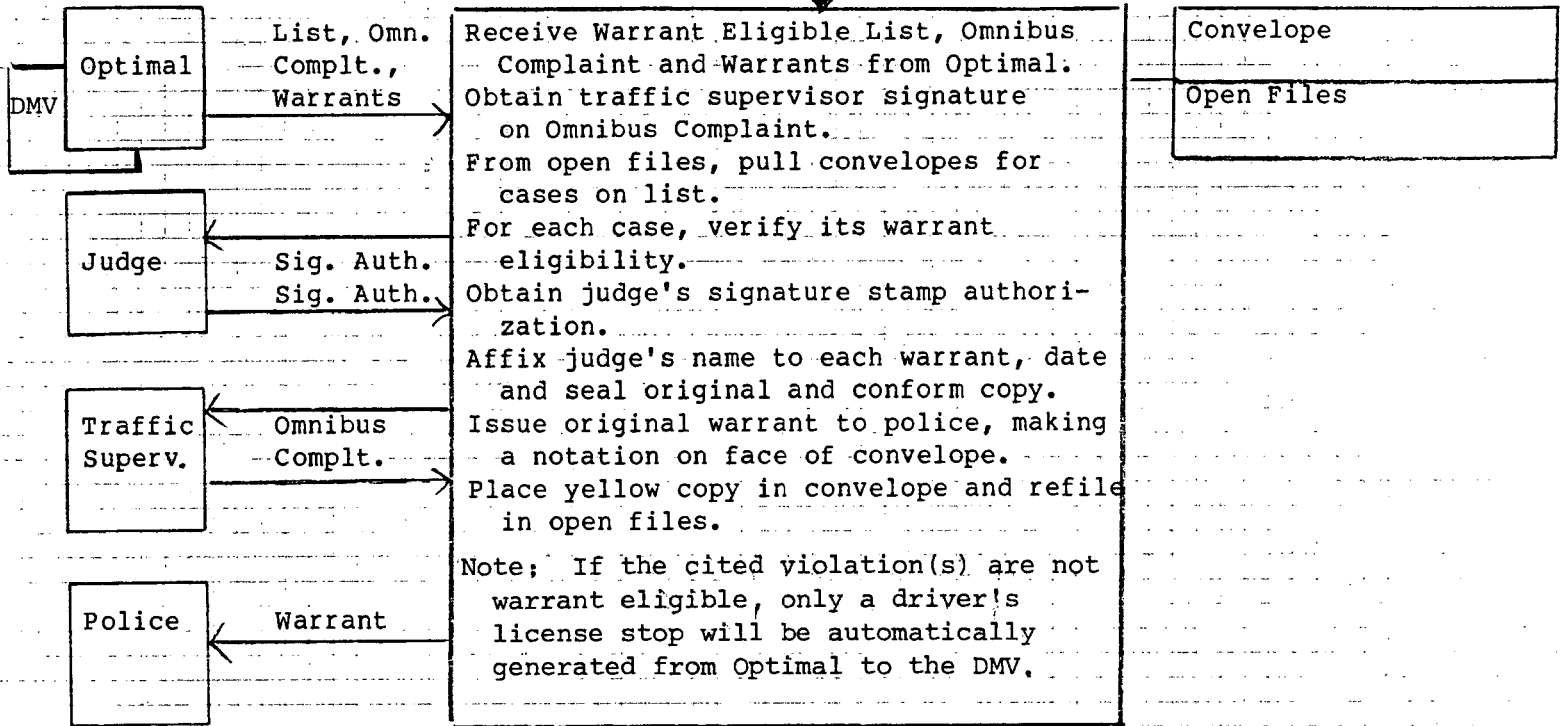
NOT GUILTY  
PLEA BY MAIL



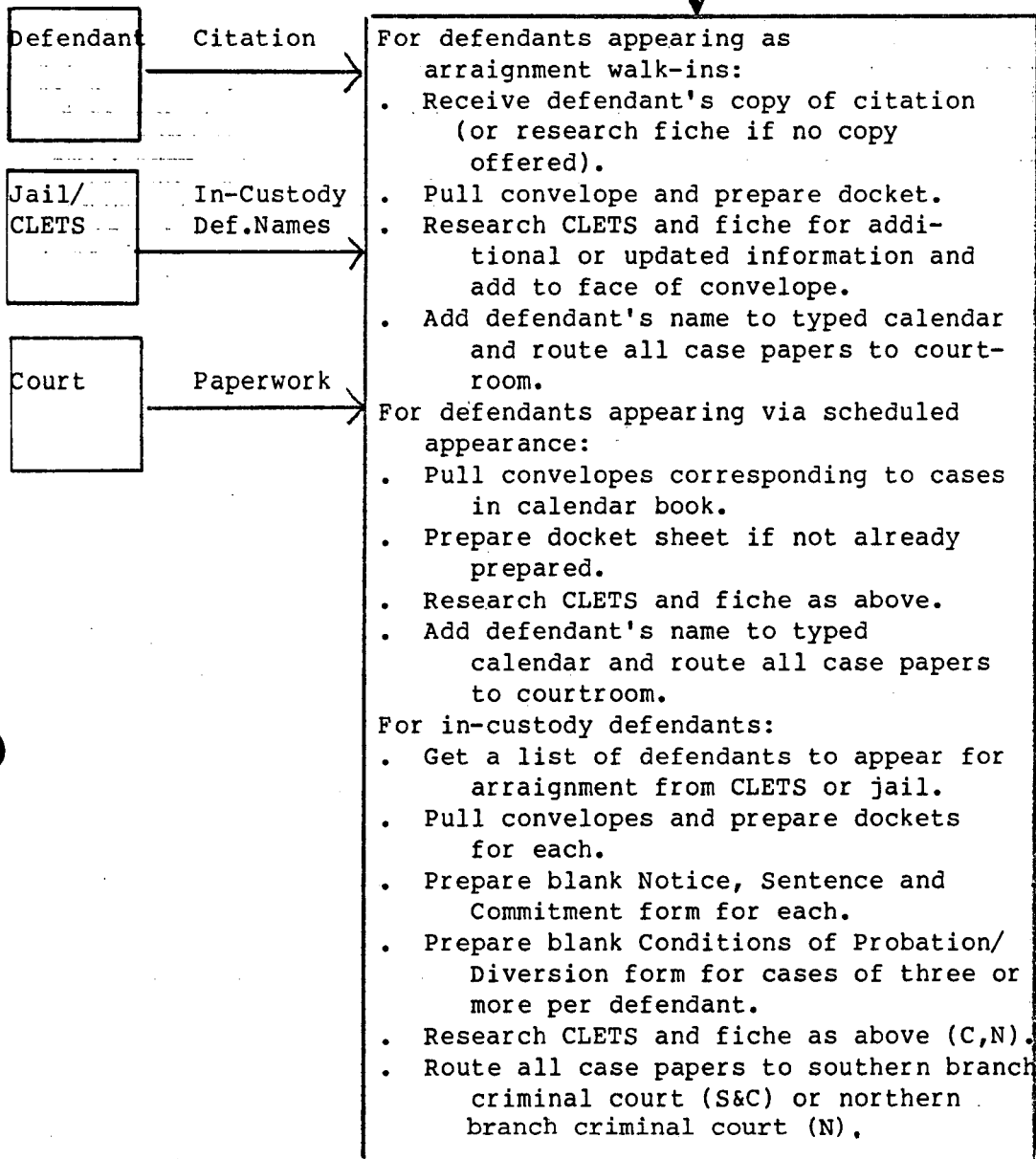
ISSUING NOTICE  
OF WARRANT



ISSUING WARRANT  
OF ARREST AND/OR  
LICENSE STOP



PREPARATION OF  
ARRAIGNMENT CAL



Convelopes

CLETS

Traffic Fiche

Open Files

Calendar Book

Dockets

ARRAIGNMENT

Defendant

Advice of  
Rights,  
Pro Tem  
Form

Court receives typed calendar and  
convelopes with dockets from  
clerk's office.  
Receive defendant's signed Advice  
of Rights and Pro Tem (if applicable).  
Defendant enters plea.

Convelopes

Dockets

Guilty  
Plea

Yes

SENTENCE  
IMPOSED

No

Informal  
Hearing  
Request

Yes

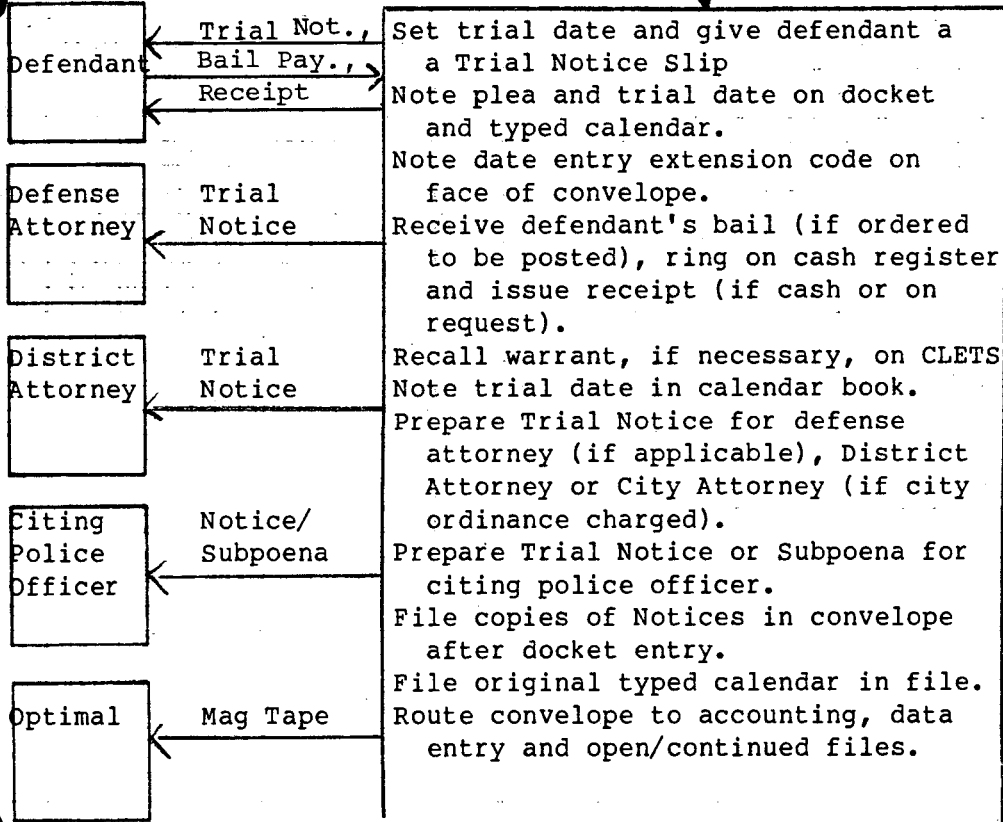
INFORMAL  
HEARING

No

COURT TRIAL  
REQUESTED

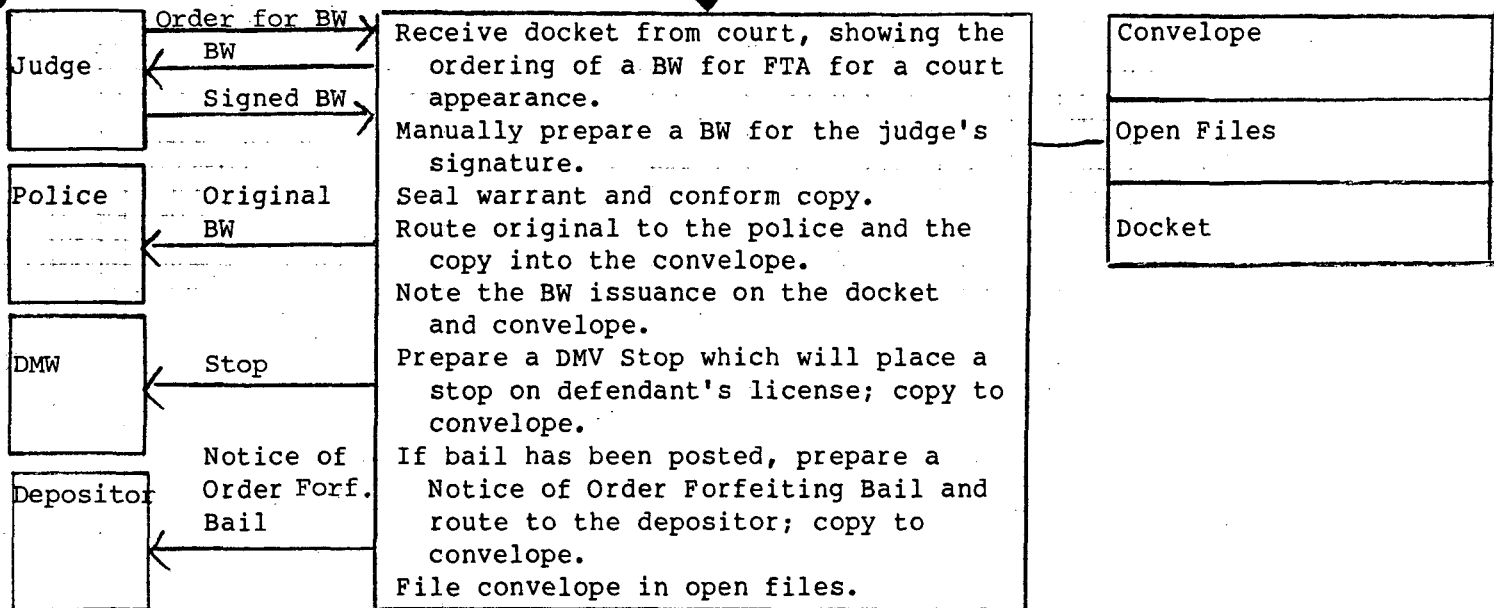


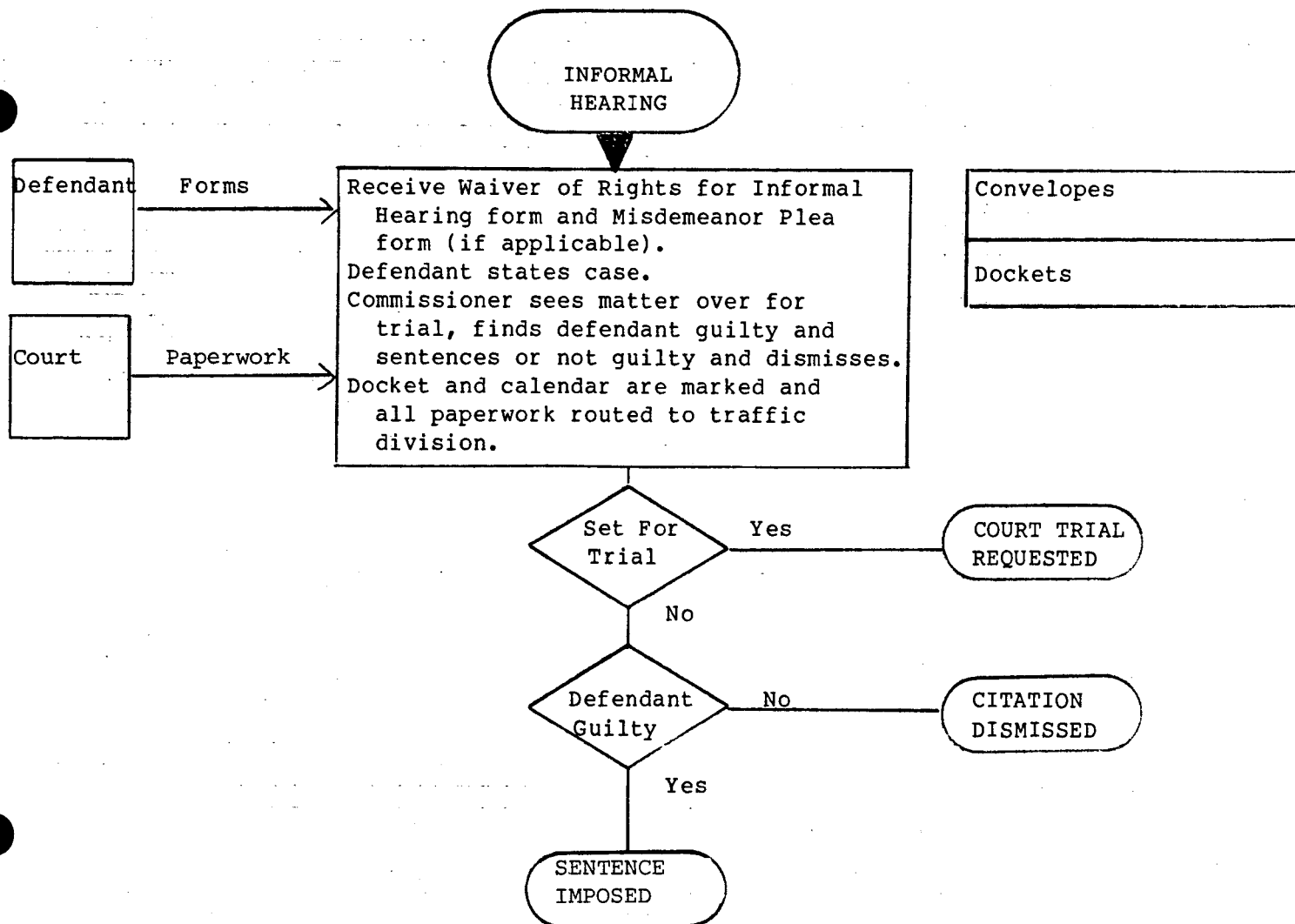
COURT TRIAL REQUESTED



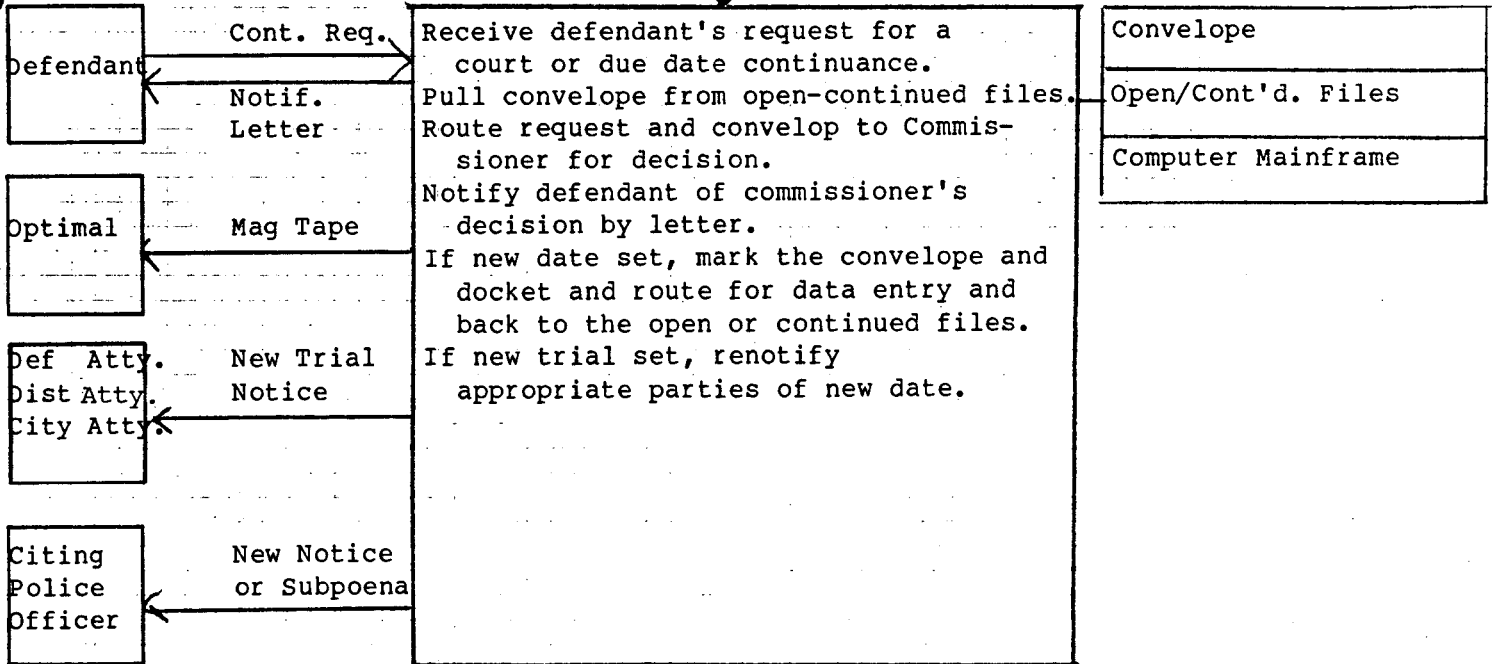
Convelopes
Dockets
Typed Calendar File
CLETS
Cash Register Tape
Calendar Book
Computer Mainframe
Open/Cont'd Files

# ISSUING BW FOR FTA





REQUEST FOR  
CONTINUANCE



PREPARATION  
OF TRIAL  
CALENDAR

Court

Paperwork

Using calendar book, pull envelopes for cases set for trial from the open/continued files and prepare trial dockets for each.  
Research CLETS or fiche for additional or updated information and add to face of envelope.  
Add defendant's name to typed calendar and route all case papers to courtroom.  
Distribute copies of typed calendar.

Convelopes

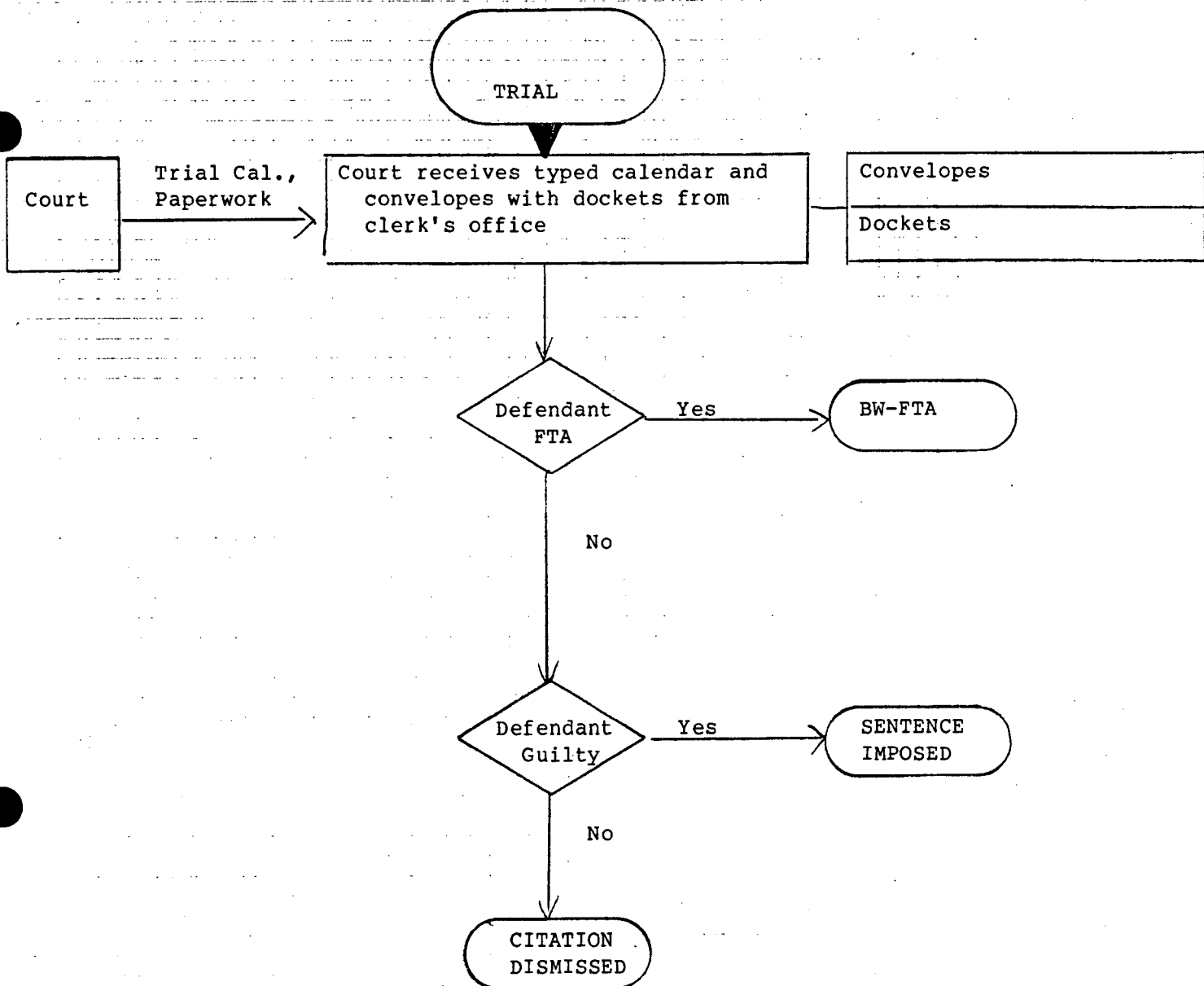
Open/Cont'd  
Files

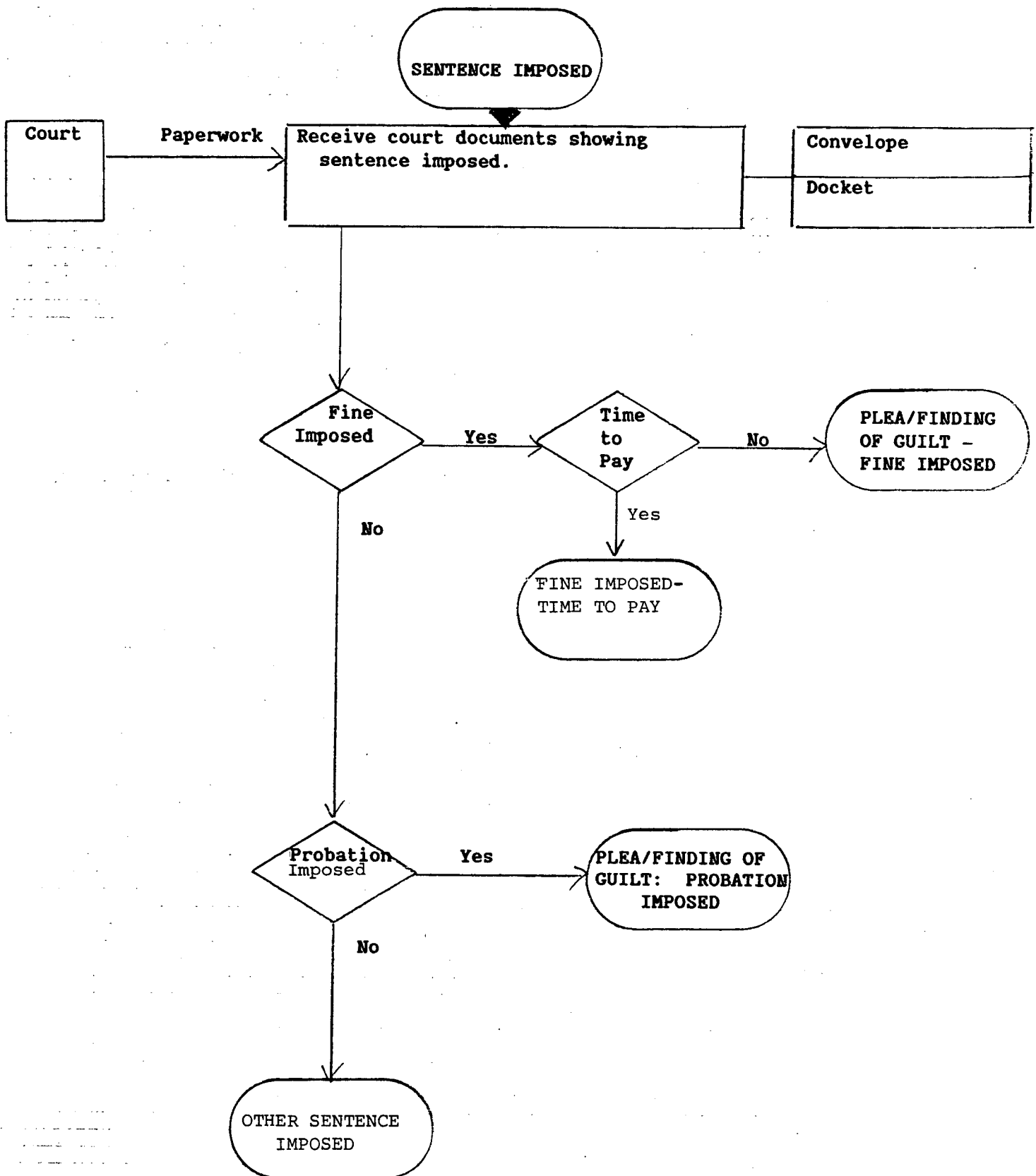
Calendar Book

Docket

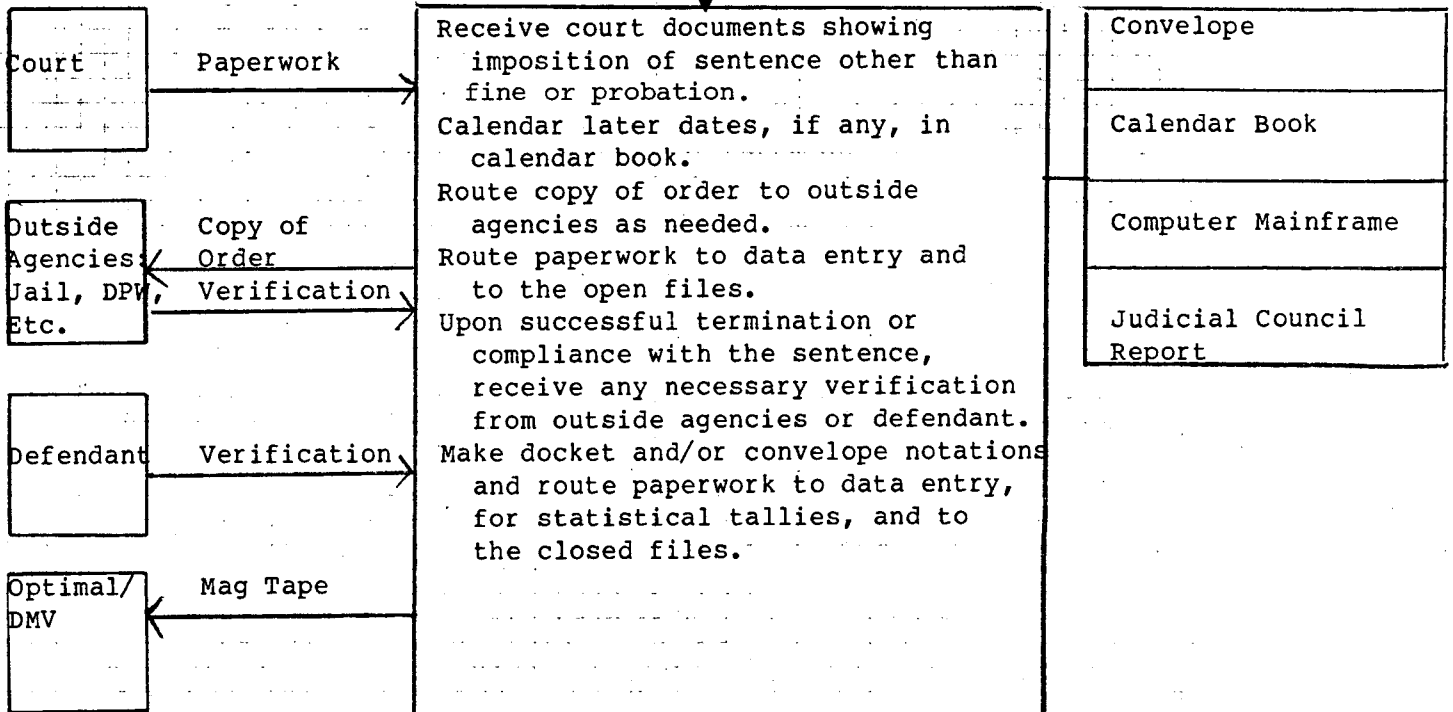
CLETS

Traffic Fiche

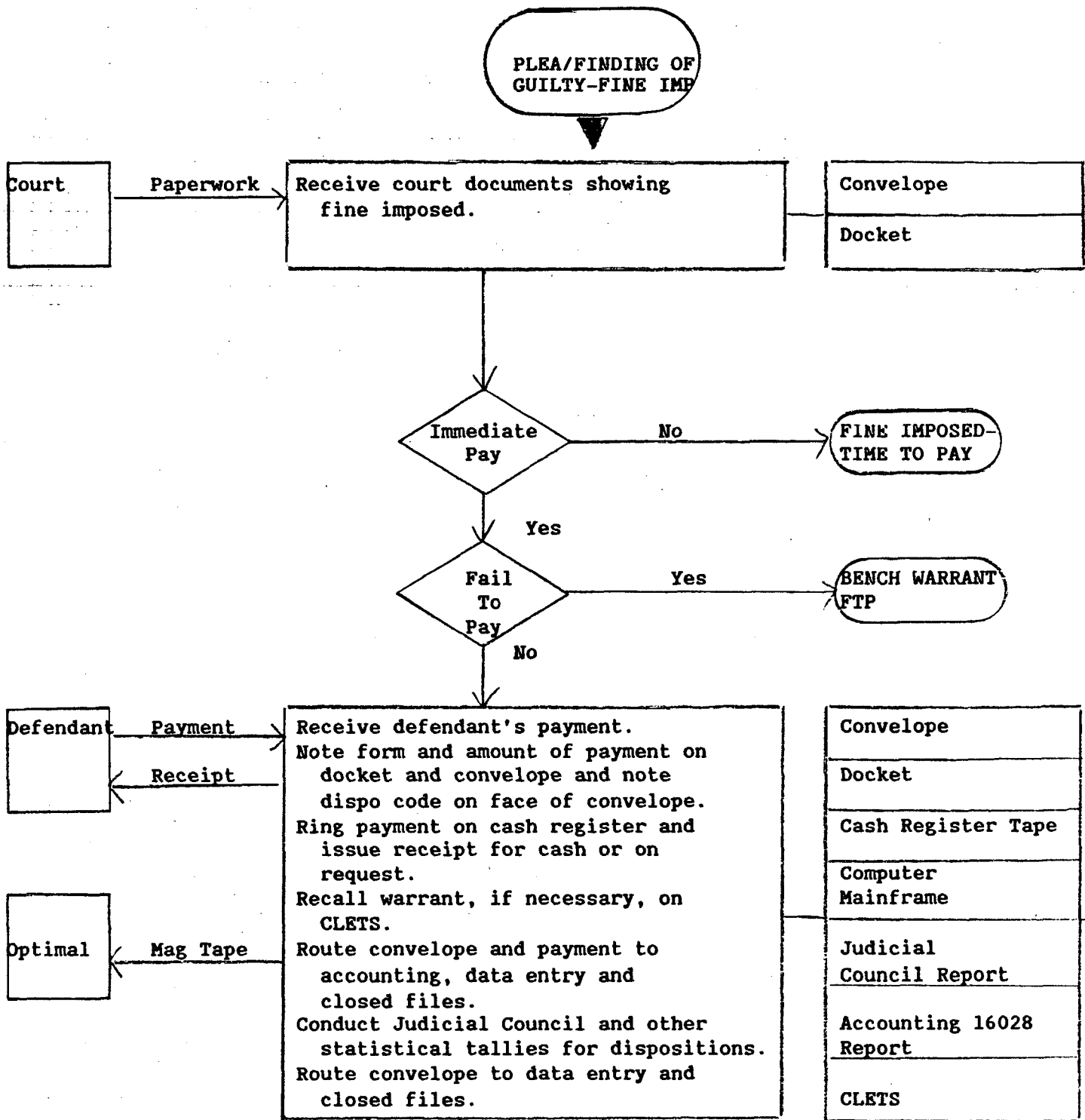


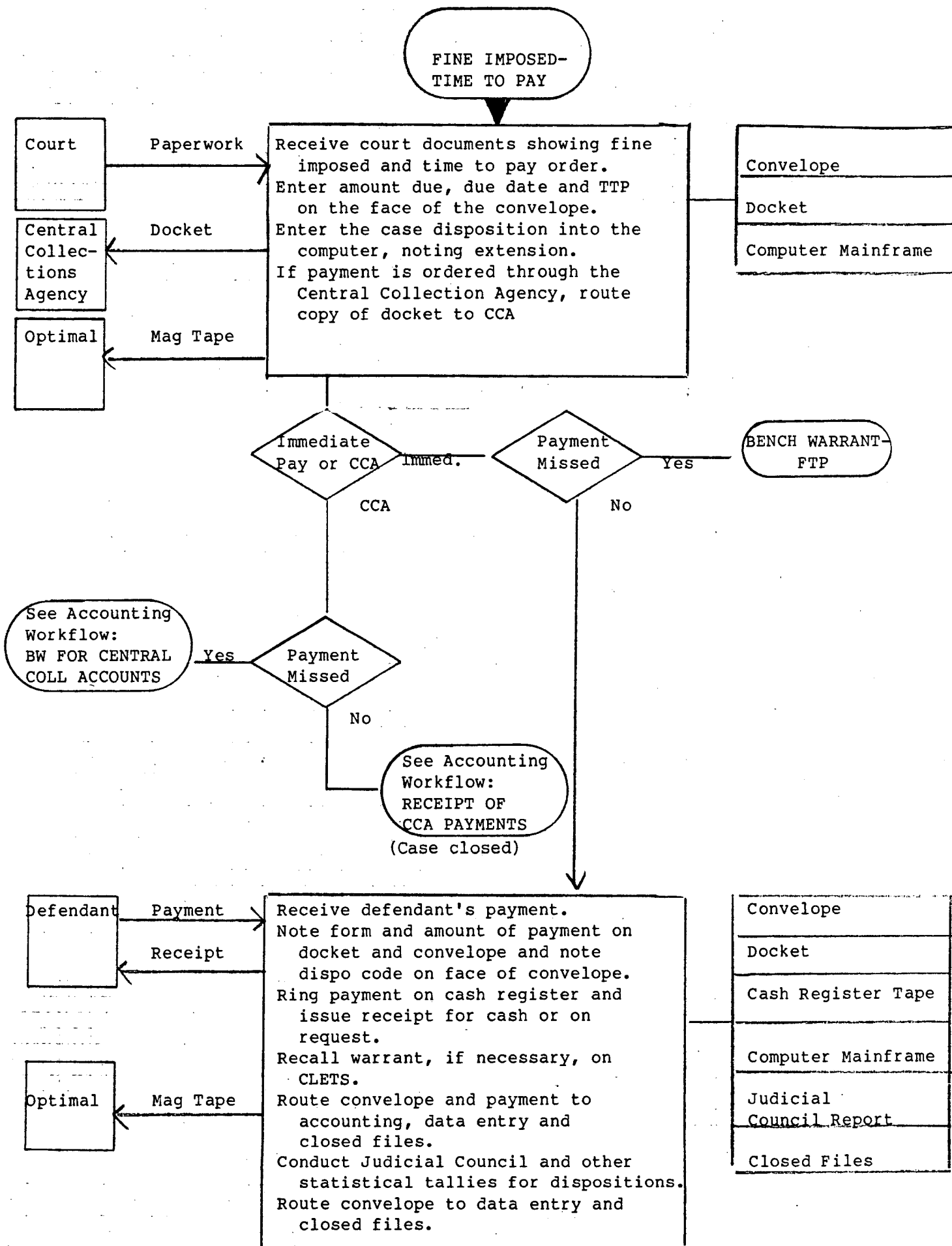


OTHER SENTENCE  
IMPOSED

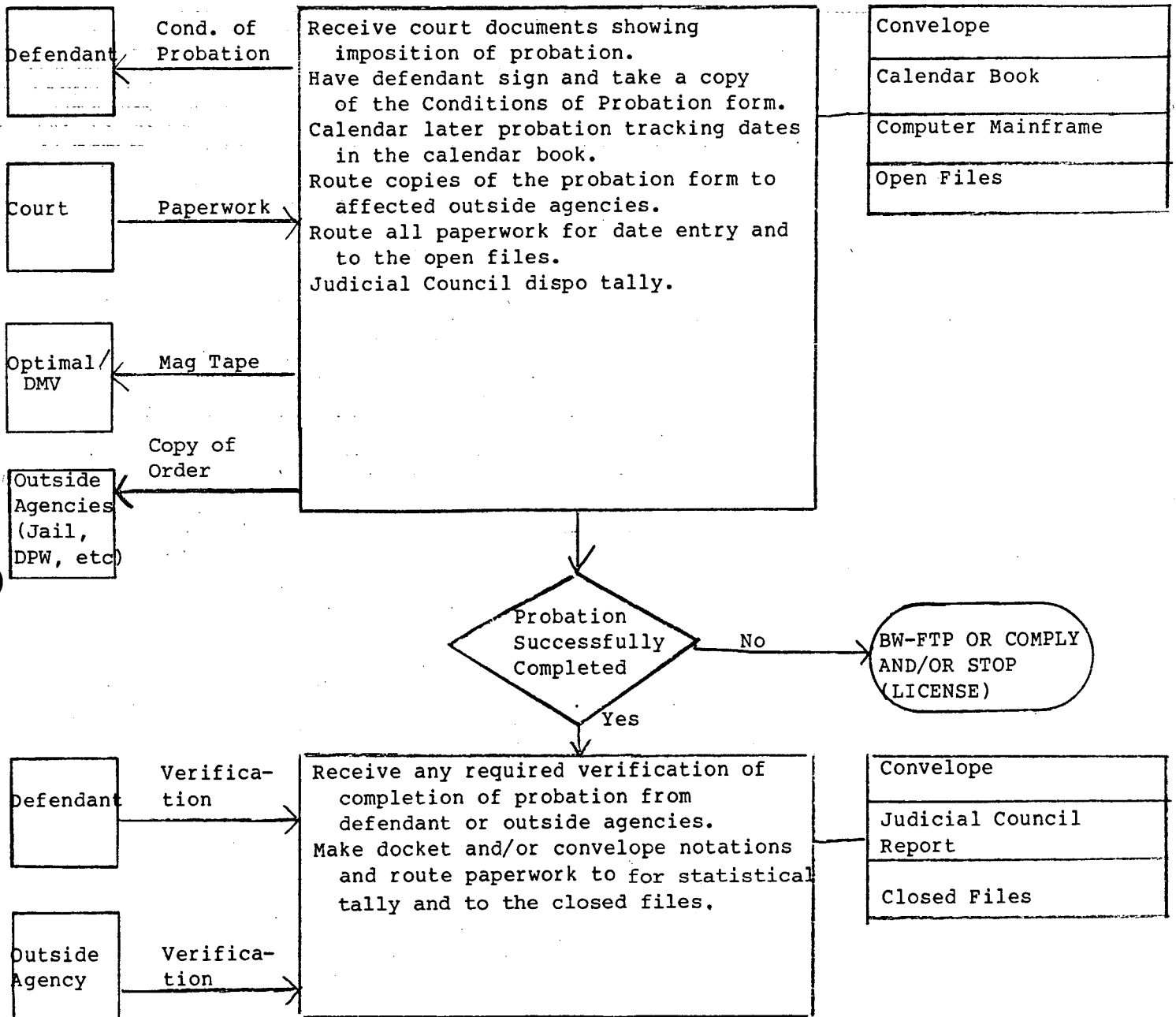




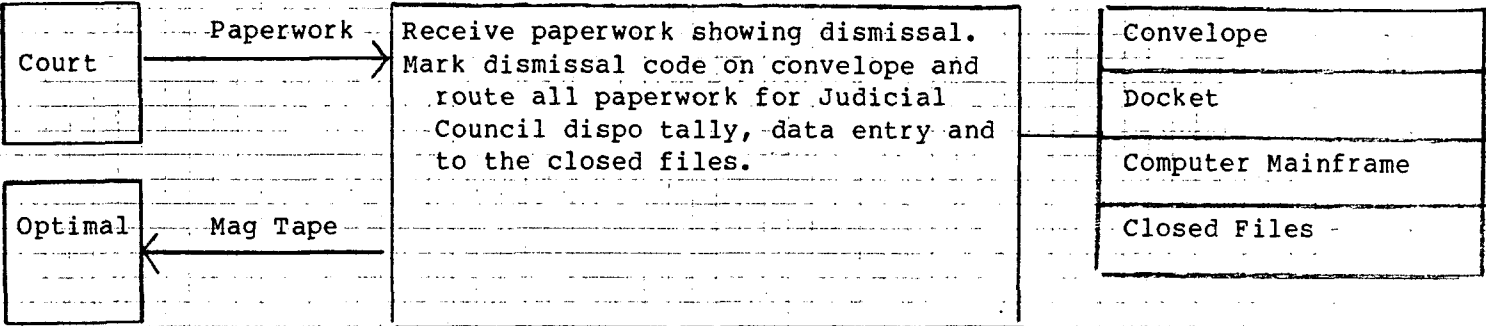




PLEA FINDING OF  
GUILT: PROBATION  
IMPOSED



CITATION  
DISMISSED



## TRAFFIC PROCEDURES

All moving violations occurring within San Mateo County are processed by staff of the Municipal Courts Traffic Division.

### 1. Entry of Citation

Each police agency within the court's jurisdiction has a court officer at each San Mateo Municipal Court branch court. The court officers come in each day with varying numbers of new parking and traffic citations for filing. The citations are routed to a data entry clerk who first separates the parking and the moving citations. Next, the moving citations are further sorted into categories for standard citations, owner's responsibility citations (including animal control), and out-of-state defendant citations. The data entry clerk then counts filings according to Judicial Council reported filing requirements and the accounting 16028 report. All new citations are entered into the computer.

At the end of each day, the batch and file numbers for all computer entries go by computer to County EDP in Redwood City. At EDP, southern and central branch daily entries are made into a master mag tape, which is then sent by overnight mail to the Optimal Company in Newport Beach, CA.

### 2. Receipt of Convelopes, Notices and Transaction Log

Three to four days after a day's computer entry, the court receives from Optimal the convelopes, notices and transaction log showing entries, problems, the transaction count, and a discrepancy list. It should be noted that the Optimal Company sends notices directly to defendants. Also, Optimal has a dial-up system with the California DMV to get driving histories which appear on the face of the convelopes.

The data entry staff reviews the tran log for errors and reviews the discrepancy list, researches where necessary, and rekeys any data needed.

The envelopes with notices are matched to the traffic citations and filed in the open files.

### 3. Forfeiting Bail

For the typical moving violation, defendants are stopped and cited by either a city police officer or the CHP. They are given a citation but no bail amount appears on the citation. They are notified that the court (Optimal) will send them a Notice of Bail within two weeks. This Notice of Bail tells the defendant the violation date, citation number, appearance date, docket number, the violations, the amount of bail, the amount of reduced bail with proof of correction, if applicable, and the date by which to appear in court. Defendants are warned that unless they appear in court and answer charges or deposit bail as indicated, they may face further charges, increased bail, arrest, or loss of driving privileges or any combination of these consequences. The notice also indicates where bail payments may be made.

At this point, a defendant may choose either to forfeit the bail amount, go to traffic school (if qualified) or appear in court. Forfeiting bail on a moving violation is a very simple process, unless the defendant is so quick that he or she comes in to pay the bail amount before the envelope has come back from Optimal showing the amount of the bail. In this case, the defendant is asked to return within a few days in order to pay bail. The traffic clerk does not know how much bail to collect until the envelope comes in with the Notice of Bail.

Assuming the paperwork is in, the defendant is making a timely payment, and there is no failure to appear outstanding in the matter, the payment is processed fairly simply. First, the bail payment will be opened by the mail clerk or received by a counter clerk. If the payment is correct, the form and amount of payment and disposition code are marked on the face of the envelope. The case number is noted on the face of the payment, unless the payment is in cash. Each payment is rung on the cash register. The envelope and payment are routed to accounting; the Judicial Council dispo tally and other statistical data is tracked; and files are routed for computer entry and to the closed files.

If bail is forfeited by mail but unacceptable by the court (too late, FTA, no compliance, or can't be matched to a citation), the mail clerk returns the bail amount with a checkbox form letter informing the defendant of the problem.

#### 4. Traffic School

Defendants who qualify may choose to pay a \$22 administrative fee and go to traffic school rather than pay a moving traffic citation. To qualify, the defendant must have a bail of \$70 or less, have a valid California Driver License, have no failures to appear, have not attended traffic school within the last two years in California and have not more than one prior in the last twelve months. Defendants who qualify receive traffic school forms from the traffic division. A defendant must fill out the form stating his or her intention to go to traffic school and submit that form along with the \$22 fee to the court. The traffic department marks and rings the fee on the cash register and generates a receipt for cash or on request. The envelope is marked and the envelope and

payment are routed with the form to the accounting department for inclusion with the daily deposit. Paperwork is then routed to computer entry for an extension and to the open files. When defendant successfully completes traffic school he or she submits a traffic school certificate to the court. The envelope is marked and the paperwork is routed for computer entry, performance of the Judicial Council disposal and to the closed files.

A defendant who has filed an intention to attend traffic school but does not do so in the time allowed becomes eligible for the issuance of a bench warrant for failure to pay.

#### 5. Issuing Bench Warrant for Failure to Pay

In cases where a cited defendant has not properly paid or complied with an order of the court he or she becomes eligible for the issuance of a bench warrant. Each week the Optimal Company sends to the traffic division a Warrant Eligible list with an accompanying Omnibus Complaint and warrants for those cases in which a cited defendant has failed to pay or otherwise comply. The traffic supervisor's signature is obtained for the Omnibus Complaint. All envelopes for cases in which a warrant is shown to be eligible are pulled from the open files. For each case a clerk must verify that the case is still warrant eligible, that a payment has not been received, and compute the fine.

After eligibility has been determined and the fine has been computed, a judge or commissioner signs the signature stamp authorization and then his or her name is affixed to each warrant. The original warrant is dated and sealed, and the copy is conformed.



The original warrant is issued to the police and a notation is made on the face of the envelope and on the docket that the warrant has issued. Finally, the yellow copy of the warrant is placed in the envelope which is refiled in the open files.

It should be noted that cases begun under the old computer system require the manual issuance of a warrant for failure to pay. In that instance traffic clerks also manually prepare the abstract for the DMV stop. Additionally, an EDP status flag is used so that these cases will appear as bench warrant status on the microfiche. Under the present computer system the Optimal Company generates the DMV stop.

#### 6. Dismissal for Compliance

A defendant may have a case dismissed by mail or at the counter and without a court appearance by offering the appropriate documented compliance or citation sign-off by the police. In this instance, the envelope is pulled from the open files. The dismissal and appropriate dispo code are noted on the envelope. The Judicial Council disposition tally is performed and the envelope is routed to the accounting section, to data entry and to the closed files. Bail forfeiture procedures, outlined above, often apply to compliance cases since compliance may only reduce the amount of bail required.

#### 7. Not Guilty Plea By Mail

If a defendant wishes to avoid spending a morning in court just to be arraigned and plead not guilty, he or she has the option to offer the court a written not guilty plea, post bail if necessary.\*

---

\* Different branches have different policies.

and have a court trial date set. In this instance, the defendant's written plea, Notice of Bail, and bail payment is sent to the court at least five days before the expiration date on the notice. The traffic division must pull the envelope from the open files and prepare a docket sheet showing the plea and the payment. The case is then ready to be set for trial either by the commissioner or by the traffic division. The trial date is entered on the docket and in the calendar book. The defendant is notified of the trial date by a Trial Notice. The citing police officer is notified of the trial date by a Trial Notice (northern branch) or a Subpoena (central or southern branches). The bail payment is marked and is rung on the cash register, generating a receipt for cash or on request. Finally, the envelope and the payment are routed to the accounting section, to data entry, and to the open or continued files, depending on branch procedure.

8. Issuing a Notice of Warrant and Warrant of Arrest and/or License Stop

In cases where a cited defendant does not respond at all to the Notice of Bail, a Notice of Warrant will issue. Continued non-response will result in the generation of a DMV license stop and, for some violations, a Warrant of Arrest. These warrants automatically issue from the Optimal Company.

Sixty days after the issuance of the Notice of Bail, a Notice of Warrant will be computer-generated and mailed to the defendant by the Optimal Company. This notice contains the same information as the Notice of Bail, however the additional charge of failure to appear may be added. A new final appearance date is shown on the notice as well. The traffic division receives a copy of the

Notice of Warrant and files it into the envelope. The original notice is mailed directly to the defendant from the Optimal Company. If the defendant fails to respond to the Notice of Warrant, the Optimal Company automatically generates a license stop to the DMV. Additionally, each week the Optimal Company sends to the traffic division a Warrant Eligible List, an accompanying Omnibus Complaint, and warrants for those cases in which a cited defendant has not responded to the court's notices and the cited offense(s) is warrant eligible (for instance, failure to appear for a mandatory court appearance). The traffic supervisor must sign the Omnibus Complaint. All envelopes for cases in which a warrant is shown to be eligible are pulled from the open files. For each case, a clerk must verify that the case is still warrant-eligible, i.e.:

- No court appearance made
- No counts disposed
- No traffic school granted on any counts
- No previous warrants issued
- Trust book money not a match

After eligibility is determined, the judge or commissioner signs the signature stamp authorization and his or her name is affixed to each warrant. The original warrant is dated and sealed; the copy is conformed. It should be noted that no corrections should be required to these computer-generated warrants. A clerk finding an error or problem in any computer-generated warrant would not issue the warrant. The original warrant is issued to the police after making a notation on the face of the envelope that the warrant had issued. Finally, the yellow copy of the

warrant is placed in the envelope, which is refiled in the open files.

#### 9. Preparation of Arraignment Calendar

There are three main routes by which a defendant's name is placed on the arraignment calendar: walk-in, pre-scheduled appearance, or in-custody status.

For defendants appearing as arraignment walk-ins, on or before the date set in the Notice of Bail, defendants will come to the traffic window. There they are given their Advice of Rights form and a Pro Tem form, if applicable, and are directed to the courtroom. For these defendants, the traffic division receives the defendant's copy of the citation or researches the fiche if defendant states he or she was notified to appear but does not present a copy of the citation. The clerk then pulls the envelope from the open files and prepares a docket sheet. The CLETS machine and fiche are researched for potential additional or updated information.\* This information, if located, is then added to the face of the envelope. The defendant's name is then typed on the court calendar and all case papers are picked up by the bailiff and taken to the courtroom.

---

\* The CLETS machine provides traffic staff with current teletypes from the Department of Motor Vehicles and the Police Information Network. Branch procedures regarding use of the CLETS vary, but the CLETS machine ideally is consulted for any case over 30 days old, or any case with a mandatory court appearance and any failures to appear or failures to pay. The CLETS system is statewide, however, the San Mateo Municipal Court will only respond to charges outstanding in San Mateo County. If a charge is outstanding in another branch of the San Mateo Municipal Court, the defendant may receive a slip informing him or her of those charges and indicating that they should be addressed.

For defendants appearing by prescheduled appearance, the envelopes are pulled for cases scheduled in the calendar book. A docket sheet is prepared if one has not previously been prepared. Again, the CLETS machine and fiche will be researched and the defendant's name will be added to the typed calendar. All case papers will be taken to the courtroom by the bailiff.

Finally, for in-custody defendants, a traffic clerk checks the CLETS or calls the jail to get a list of defendants to appear for arraignment that morning. Again envelopes are pulled and dockets prepared for each case. Also the CLETS machine and fiche are researched as above (northern and central branches only). Additionally, a blank Notice, Sentence and Commitment form is prepared for each case, and a blank Conditions of Probation/Diversion form is prepared for any defendant charged in three or more cases. All case papers for in-custody defendants are routed to the southern branch criminal court (southern and central branch cases) or to the northern branch criminal court (northern branch cases).

It should be noted that a pink tag is attached to any case file in which a warrant is outstanding so that after the court appearance, traffic staff will know to recall the warrant from the CLETS machine.

The calendar preparation begins shortly before court begins and finishes normally about two hours later. There are an average of 80 to 90 cases on each morning's arraignment calendar. Seven copies are made of each morning calendar and distributed to the clerk, bailiff, commissioner, front counter, accounting department, and the telephone answerer.

#### 10. Arraignment

The court commissioner receives the typed calendar and all envelopes and docket sheets from the clerk's office. Defendant has already signed an Advice of Rights form and possibly a Pro Tem form. Defendant is asked to enter a plea at arraignment. If defendant pleads guilty, sentence is imposed. If defendant pleads not guilty, he or she then has the option to request an informal hearing by the court that same day. Under this system, the defendant waives formal trial rights and the matter is quickly resolved by the traffic commissioner. If an informal hearing is not requested, the matter must be set for trial.

#### 11. Court Trial Requested

Normally, a trial date is set in the arraignment courtroom and defendant is given a Trial Notice slip. The courtroom clerk notes the defendant's not guilty plea and the trial date on the docket and on the typed calendar. Paperwork is then routed back to the traffic division. Traffic clerks note the EDP extension code on the face of the envelope. If defendant is required to post bail prior to trial, defendant's bail payment will be received, marked, and rung on the cash register. A receipt will issue if cash is offered or on request. If a warrant is outstanding, it will be recalled on the CLETS machine. The trial date will be noted in the traffic calendar book. A Trial Notice must be prepared for the defense attorney in the event defendant has indicated he or she intends to have legal representation. In that instance, the District Attorney or the City Attorney (if a city ordinance has been charged) must also receive a Trial Notice. Finally a Trial Notice or Subpoena is prepared for the citing

police officer. Copies of all notices are filed in the envelope after a docket entry of their issuance has been made. All original typed court calendars are kept together in the original typed calendar file. All envelopes are routed to the accounting department, to data entry, and to either the open or continued files.

#### 12. Issuing Bench Warrant for Failure to Appear

If a defendant fails to appear for a mandatory court appearance a Bench Warrant for Failure to Appear is manually prepared and bail is forfeited. The traffic division receives the order for a bench warrant from the courtroom. A Bench Warrant is manually prepared for the judge's signature. The clerk signs and seals the original warrant and conforms the copy. The original is routed to the police; the copy is placed in the envelope. The bench warrant issuance is marked on the docket and envelope. A DMV abstract, which will place a stop on defendant's registration, is prepared and a copy is placed into the envelope. Additionally, an EDP status flag is used so that the case will appear as bench warrant status on the microfiche.

If bail has been posted a Notice of Order Forfeiting Bail is prepared and routed to the depositor. A copy is placed into the envelope. The envelope with copies of all paperwork is filed in the open files.

#### 13. Informal Hearing

A defendant indicating to the court a desire to have an informal hearing must submit a signed Waiver of Rights for Informal Hearing form to the court. During the informal hearing, the traffic commissioner allows the defendant to state his or her

case. The commissioner will then quickly find defendant guilty and pronounce sentence or not guilty and dismiss the case. Alternatively, if the commissioner wants to hear the citing officer's side of the story, the case may be set over for trial according to the procedures outlined above (Court Trial Requested). All paperwork after an informal hearing is routed back to the traffic division.

#### 14. Request for Continuance

A defendant wanting a continuance of a court or due date makes a request to the court. The traffic division pulls the envelope from the open or continued (awaiting trial) files. Requests and envelopes are routed to the commissioner for a decision. If the commissioner denies the continuance request the original date stands. If an extension is granted, the defendant is sent a letter indicating when to appear for a new court date or the new due date. If a new court date is set, the envelope and docket are marked and routed for computer entry of extension and then back to the open or continued files. If the extension is for a court trial, all appropriate parties must be renotified or resubpoenaed.

#### 15. Preparation of Trial Calendar

The afternoon trial calendar is prepared using the calendar book. The envelopes for cases set for trial are pulled from the open/continued files and trial dockets are prepared for each case. The CLETS and fiche are researched for additional or updated information which is added to the face of the envelope. Defendant's name is typed on the calendar and all case papers are



routed to the courtroom. Copies of the typed calendar are distributed to all appropriate parties.

#### 16. Trial

On the day of trial the traffic division calendar clerk prepares the trial calendar and all envelopes and dockets are routed to the courtroom by the bailiff. If defendant fails to appear Bench Warrant for Failure to Appear will issue (see procedures outlined above). If defendant appears and is found guilty he or she will be sentenced. If defendant is found not guilty the case will be dismissed.

#### 17. Sentence Imposed

After a court hearing resulting in a finding of guilt, traffic division clerks will receive court documents showing that the court imposed a sentence. The most common sentence is the imposition of a fine, perhaps with time to pay authorized (see those procedures outlined below). Occasionally, probation may be imposed as well (see below). Additionally, the following sentencing options may be imposed by the traffic commissioner either directly or as a condition of probation. In addition to a fine or probation, the following sentence options require a DMV abstract of conviction:

- Suspended sentence;
- Suspended judgment;
- Driver's license suspended for a set term;
- Driver's license restricted for a set term;
- Court restriction - drive to and from work only for a set term;
- Court restriction - drive only during course of employment for a set term;
- Jail

If necessary, later compliance or completion dates are calendared and tracked and a copy of the sentencing order is routed to appropriate agencies such as the jail and the Department of Public Works.

After a sentence has been successfully completed, the case is closed. An amended DMV abstract is required for the above-listed sentences. Again, it is now automatically generated to the DMV by Optimal unless the case was previously closed. In that event, an amended abstract would need to be manually prepared and sent to the DMV.

18. Plea/Finding of Guilt-Fine Imposed

After a guilty plea, informal hearing, or trial traffic clerks may receive the court documents showing that a fine has been imposed. At the imposition of the fine, defendant indicates to the court whether he or she is able to pay the fine immediately or whether time to pay is necessary. For defendants ready to pay immediately the traffic division receives defendant's payment at the window. The form and amount of the payment are noted on the docket and the envelope and the dispo code is noted on the face of the envelope. The payment is rung on the cash register and a receipt is issued for cash payments or on request. A warrant, if outstanding, is recalled on the CLETS machine. The envelope and payment are routed to accounting for inclusion with the daily deposit and then all paperwork is routed for computer entry and performance of the Judicial Council statistical tally. Finally, all paperwork is routed to the closed files.

If a defendant who indicated that he or she plans to immediately pay a fine fails to pay, a Bench Warrant for Failure to Pay will issue.

19. Fine Imposed-Time to Pay

For those defendants needing time to pay a court imposed fine, the court documents are received by the traffic department showing the amount of the fine imposed and indicating on the docket the time to pay authorization. The amount due, the due date and time to pay status are entered on the face of the envelope. The case disposition is entered into the computer, noting the time to pay extension.

A defendant failing to pay a fine ordered is subject to a Bench Warrant for Failure to Pay. If the payment is not missed the traffic department will receive defendant's payment and process it as outlined in the above section on immediate payment of fines imposed. If a defendant misses a payment the description of Bench Warrants Requests from CCA applies.

20. Plea/Finding of Guilt-Probation Imposed

When defendant is sentenced to probation a Conditions of Probation form is prepared which defendant must sign at the traffic window. Defendant gets a copy of this form. If necessary later dates are manually calendared in the calendar book according to the terms of the probation. All paperwork then is routed for computer entry. It should be noted that subsequent changes in terms of probation are handled manually since the computer does not keep these cases in an open status. The terms of probation will, however, show up in the computer generated history for any new cases.

Copies of the probation form must be routed to any outside agencies affected, for instance, the probation department, the jail, the Department of Public Works and CCA.

Upon completion of the period of probation, any required documentation verifying the success of the probation period must be received from the defendant or directly from the outside agency. A docket notation is made, the envelope is marked, and the paperwork is routed for computer entry, preparation of the Judicial Council dispo tally and to the closed files.

#### 21. Citation Dismissed

If a citation is dismissed after an informal hearing or a trial the paperwork is routed back to the traffic department for marking of the envelope. Paperwork is then routed to the accounting section for performance of the Judicial Council dispo tally, for computer entry, and to the closed files.

#### 22. Automated System Requirements

The core requirements outlined above directly apply to traffic procedures. At present, traffic procedures are somewhat automated; however, a new system should result in many improvements and some streamlining of the system.

A big improvement should be one of timeliness. The present system is based in Newport Beach, CA and all entries require at least a three or four day lag time before they are reflected in the system. An on-line real time system should provide both the court and the public with immediate up to date information. For instance, entry of a payment should automatically be reflected as a case disposition, if appropriate, to all system users. As

indicated in the core requirements section, cashiering should be an automated function.

The bail forfeiture procedure should not require the present two-week delay between time of citation and receipt of the Notice of Bail by the cited party. This delay is presently due to the fact that bail computation occurs in and Notice of Bail generates from Newport Beach. The system should allow for on-line entry, update and inquiry of case history. Information presently available from the CLETS and traffic fiche should directly interface or be a part of the new automated system.

The indexing core requirement is discussed above. For traffic cases, driver's license number indexing must be provided. Also, ticket control function must exist through use of an interface with all issuing agencies. This function would result in the ability to account for every ticket issued. Each agency should be provided an automated record by ticket number to be used for audit purposes.

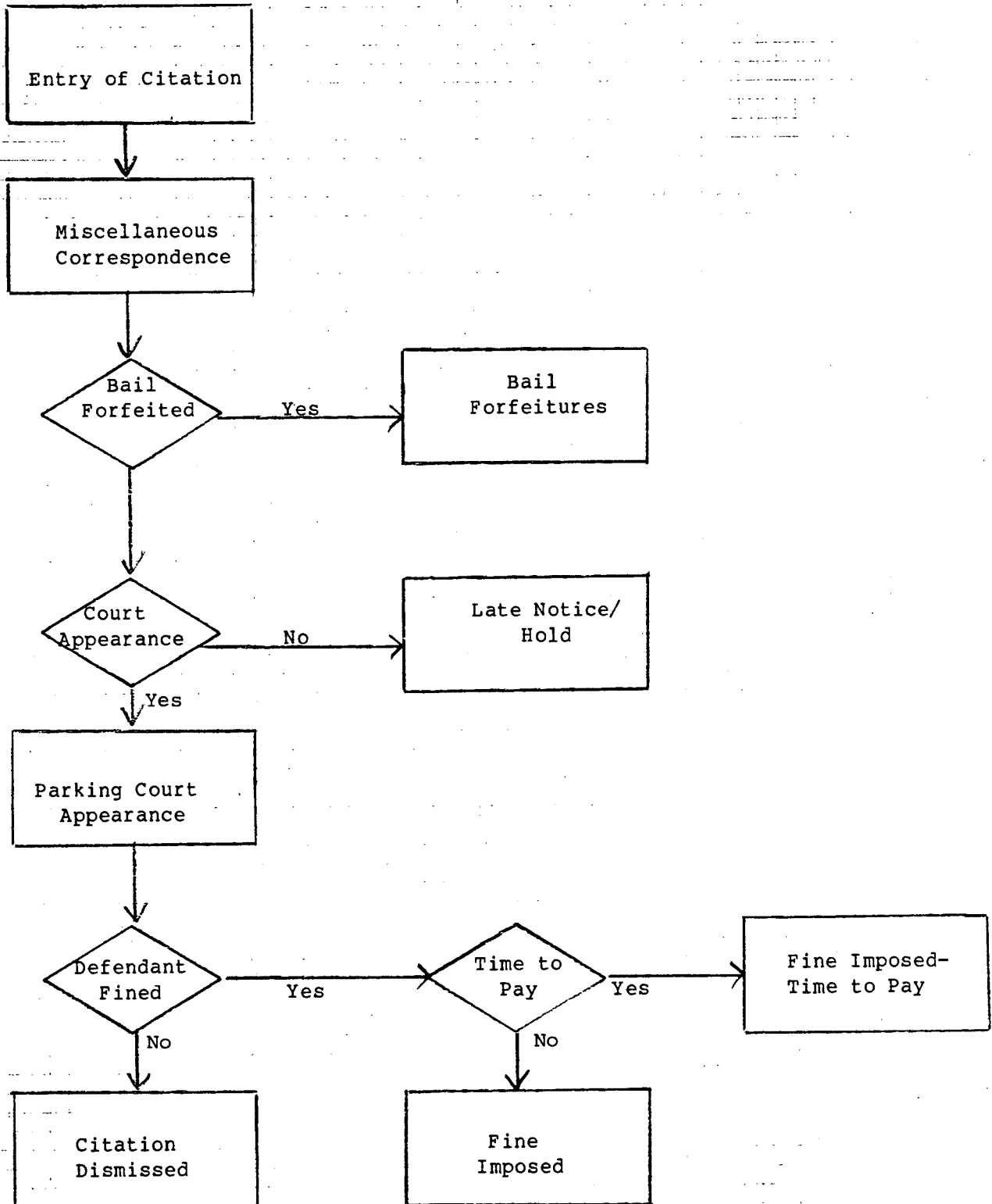
The system should generate a convelope, a file jacket label or whatever file vehicle is determined to be the most cost-effective and useful choice for maintaining hard-copy data. The system must generate all Notices of Bail, Notices of Warrant, Warrants of Arrest and Bench Warrants.

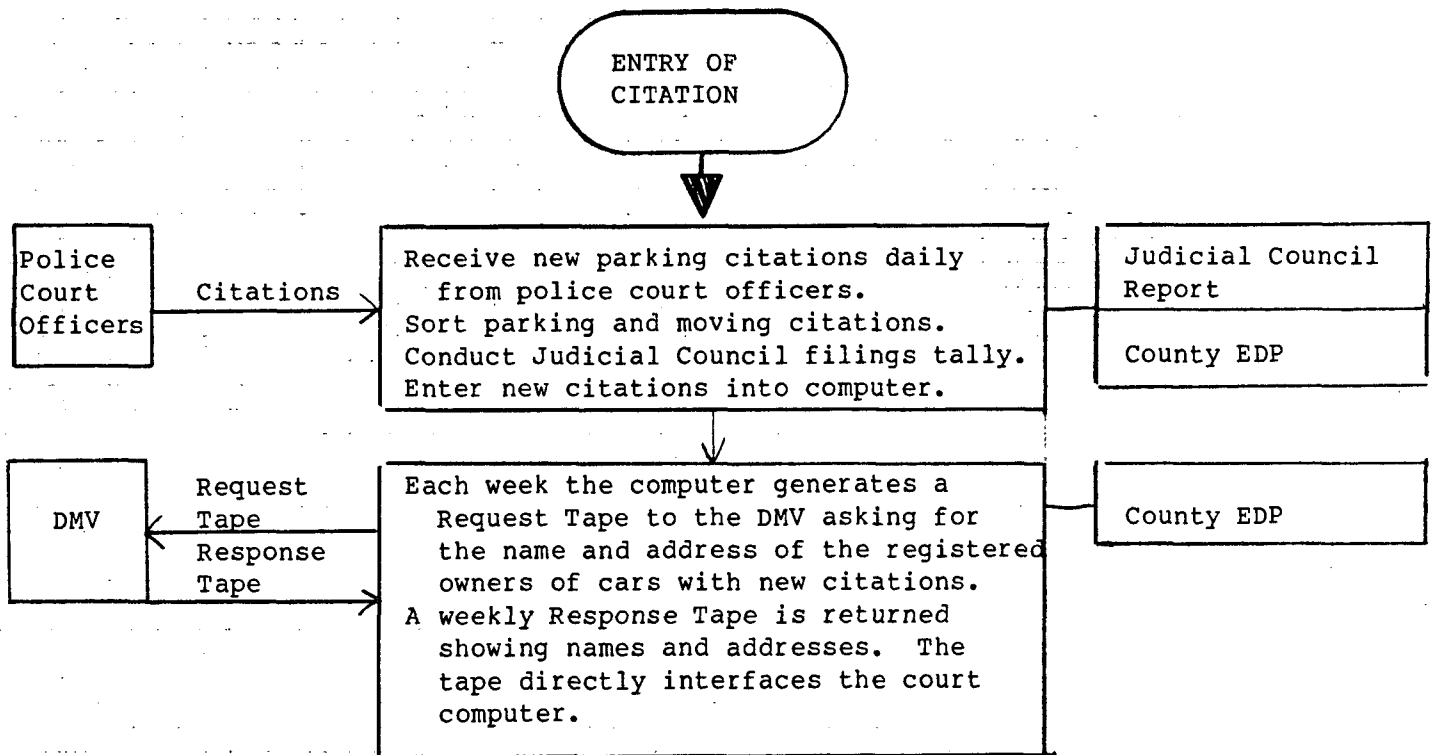
Although most warrants are now generated by the computerized system, the process of verifying and issuing the warrant is cumbersome. It should no longer be necessary to actually pull case convelopes once the case history information is available directly from the computer. This will greatly reduce the amount of time needed for warrant preparation and issuance. The warrant

process should interface with police agencies and, for time to pay orders, the Central Collections Agency warrant request process.

Finally, the system should include a comprehensive calendar management function, allowing for timely tracking of all pre-and post-trial case events. All court appearance calendars, trial notices, subpoenas, continuance orders and sentencing forms should generate automatically. Interfaces should be provided between the court and the various police agencies and the city and district attorney's office, the jail and the Department of Public Works for the purpose of sending trial notices and calendars and sentencing orders as appropriate.

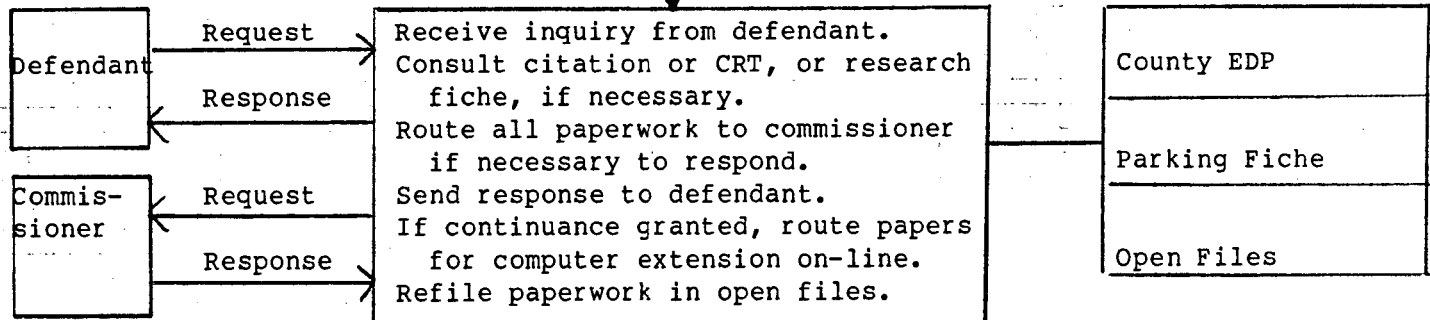
# PARKING PROCEDURES



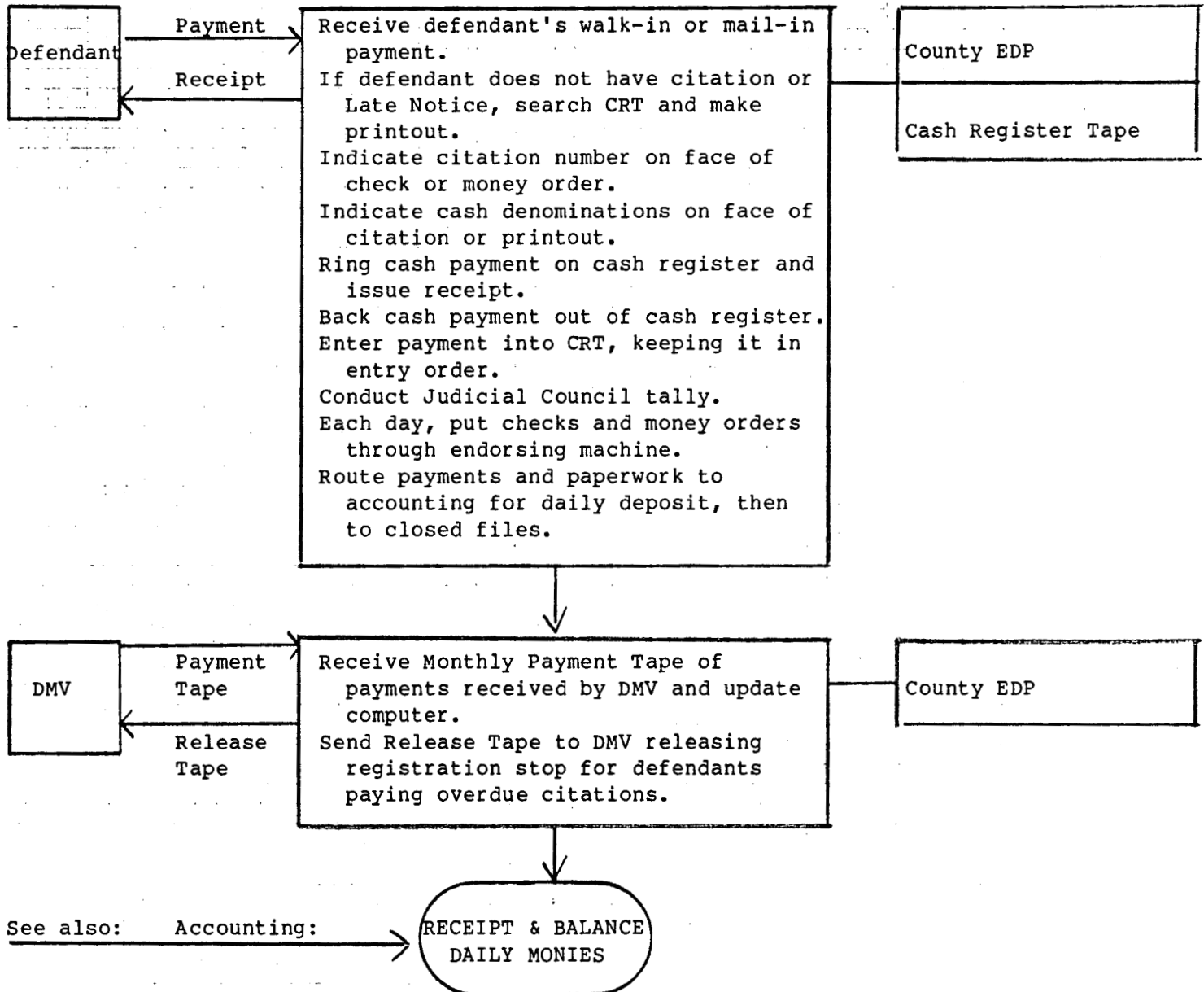


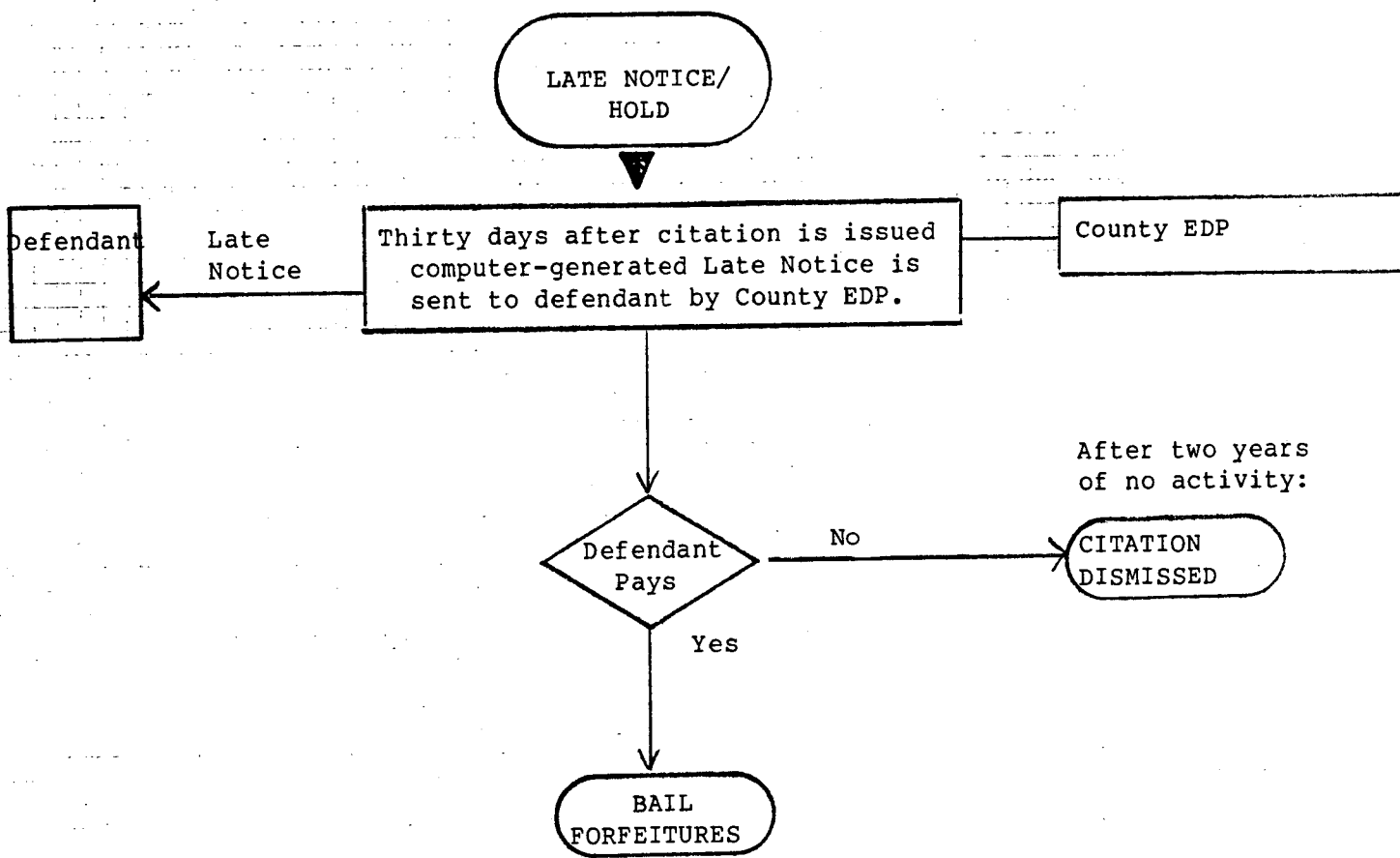


MISCELLANEOUS  
CORRESPONDENCE



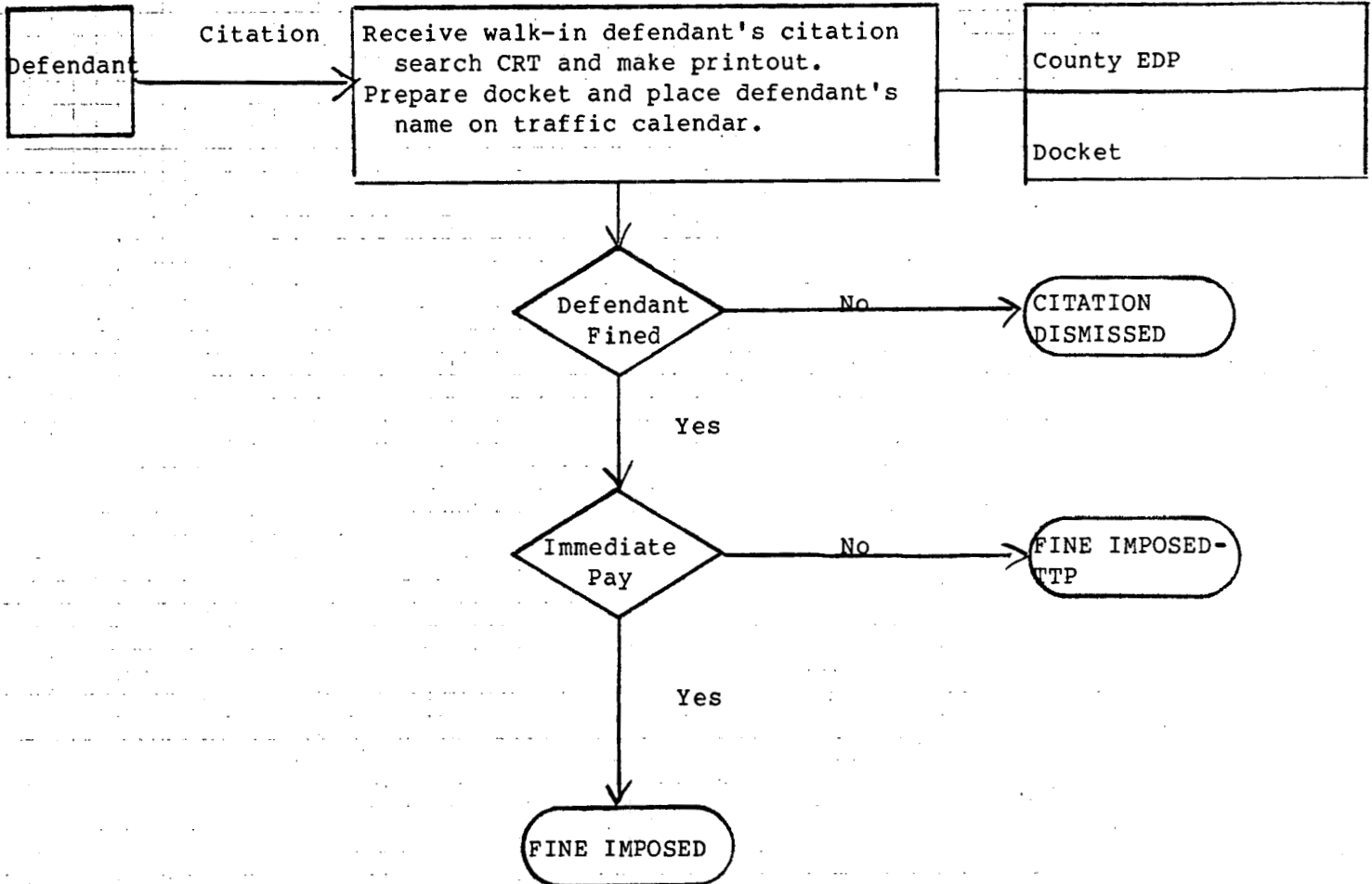
BAIL  
FORFEITURES

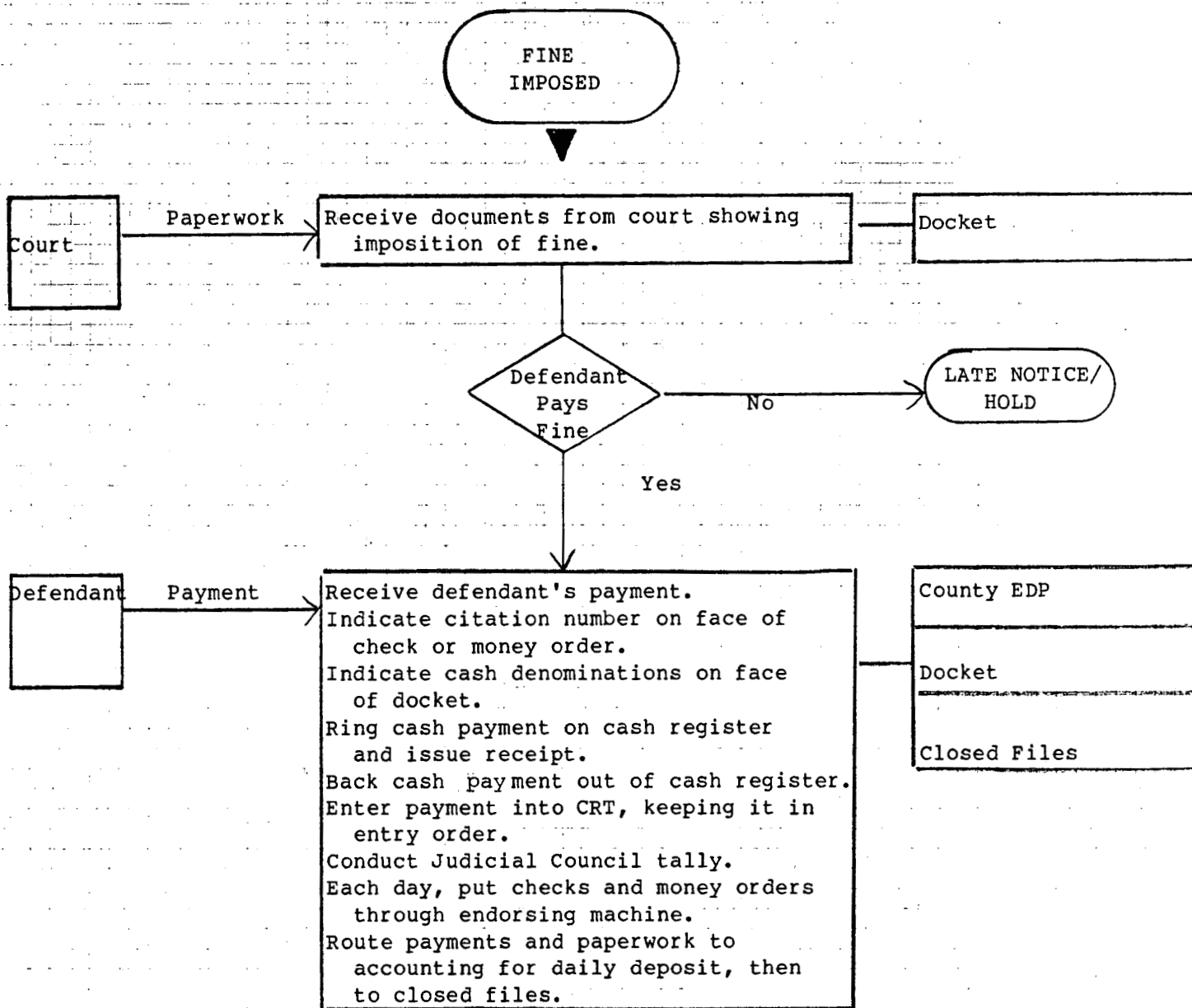




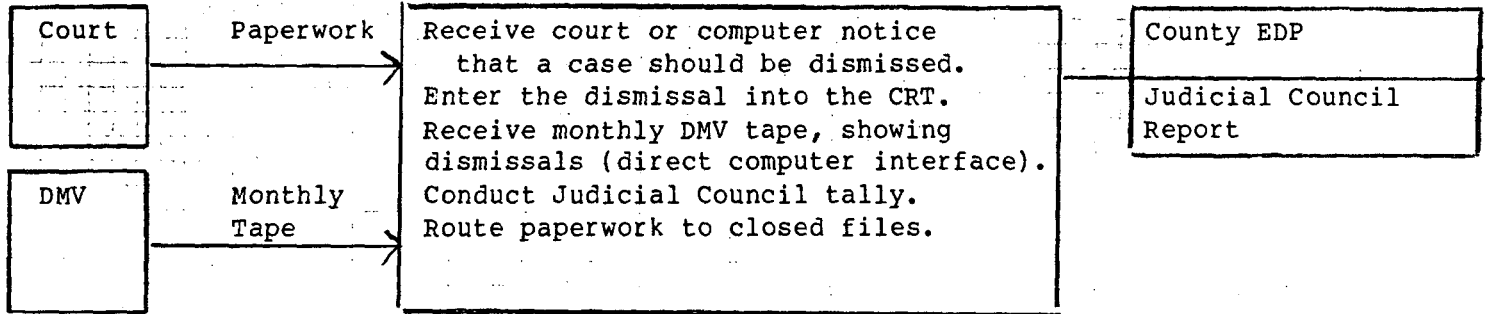
After two years  
of no activity:

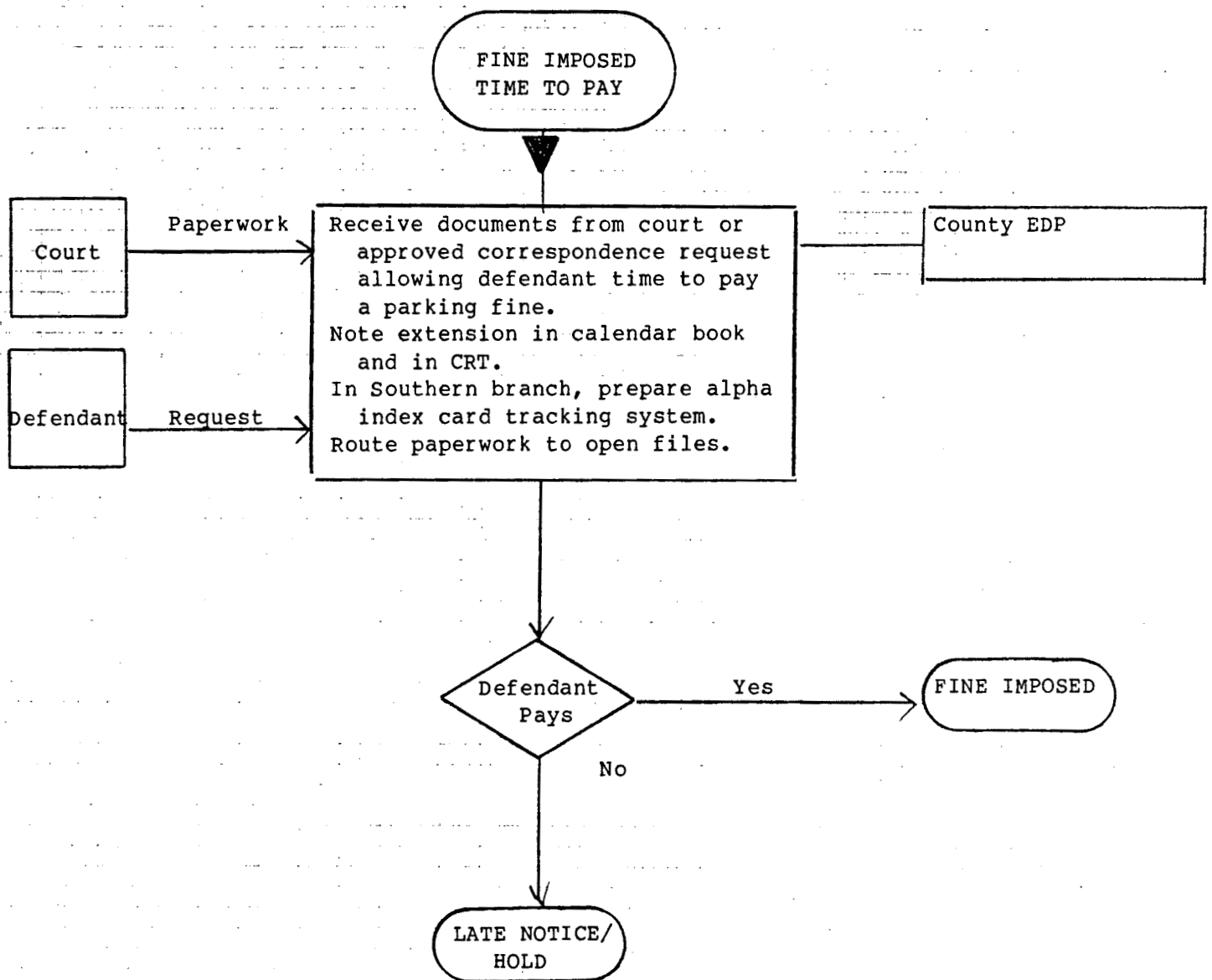
PARKING COURT  
APPEARANCE





CITATION  
DISMISSED





## PARKING PROCEDURES

The central and southern branches use an on-line parking system which provides the court and the public with up-to-date information.

### 1. Entry of Citation

As indicated at the beginning of the Traffic Procedures Section, parking citations are delivered to the court by police court officers each day. Parking and traffic citations are delivered together and must be sorted by a data entry clerk. After sorting, the clerk must perform the Judicial Council statistical computation for the monthly statistical report.<sup>1</sup> Parking citations are then routed for entry into the CRT. After entry the citations are kept in boxes by entry date.

### 2. Miscellaneous Correspondence

Upon receipt of an inquiry at the counter or a letter of inquiry from a defendant, the citation or CRT is consulted. If necessary the parking fiche can also be researched. If an inquiry is such that it requires the attention of a commissioner, the citation or printout along with a copy of the request are routed to the commissioner for answer. The clerk then uses a form letter to respond to the inquiry, sending a copy to the defendant and placing a copy in the file. If the defendant's inquiry involves a granted continuance request, an extension will be noted in the computer and the paperwork will be placed in an open parking file

---

<sup>1</sup> It should be noted that although the parking computer system has the capability to calculate statistics for the Judicial Council, they are also manually kept.



drawer. The form letter used to respond to parking inquiries can deal with requests for continuances, insufficient payments, the inability to match a payment to a case, unsigned checks, and sold vehicles.

### 3. Bail Forfeitures

A defendant not wishing to make a court appearance may forfeit bail on a parking citation at the courthouse counter or by mailing in a payment. If a defendant knows that he or she owes the parking fine but does not have a copy of the citation the parking fiche can be researched or a search can be conducted on the CRT by either case number (which is the same as the citation number) or by license plate number. When a payment is received the citation number is indicated on the face of a check or money order. Cash payment denominations are also noted on the face of the citation or CRT printout. Cash payments are rung on the cash register and a receipt is produced. Cash payments are then backed out of the cash register in order that daily payments will balance.

The payment is entered into the CRT and the data entry clerk keeps citations and payments in a box in entry order. At the end of each day, checks and money orders are put through the endorsing machine. The Judicial Council disposition tally is then performed. Then all payments and citations are routed to accounting for the daily deposit, after which time they are placed

---

<sup>2</sup> If parking cash payments were not backed out of the cash register they would appear both on the cash register tape and the daily CRT printout thus crediting the one payment twice.

in closed storage. It should be noted that information entered into the CRT is available immediately on the terminal by case number or license number.

#### 4. Parking Court Appearance

Occasionally a defendant in a parking matter will request a court appearance. In this case the defendant comes in to the traffic window. The citation or license plate number is received, a CRT printout is made and a docket is prepared. Defendant's name is placed on the morning traffic calendar. If a defendant fails to pay or appear for a parking court appearance the computer will generate a Late Notice to defendant. If defendant still does not pay, the computer will generate a stop on the defendant's vehicle registration for the Department of Motor Vehicles. Occasionally, if there is no DMV stop pending, a commissioner may order a bench warrant to issue (for example, for an outstanding bad check).

#### 5. Fine Imposed

If defendant is ordered to pay a fine after a court appearance and the sentence is not suspended, the defendant pays the fine imposed and the case is closed. If defendant has been given time to pay a fine the extension date must be noted in the calendar book and in the computer. The paperwork will then be placed in the open parking file drawer. Additionally, the southern branch prepares an alpha index card to manually track defendant's name and the stay date.

If a defendant fails to pay a fine, the Late Notice/Hold procedure becomes applicable. If no activity occurs on a case for two years after the DMV hold, the case will be administratively dismissed.

## 6. Citation Dismissed

A parking citation may be dismissed after a court appearance or for a variety of administrative reasons such as: the Department of Motor Vehicles cannot find the vehicle or owner; the make of the car from the Department of Motor Vehicles does not match the make on the citation; no activity on a case for two years after a hold was placed on the vehicle registration; compliance.

To dismiss a case, the proper entries are made into the computer and the Judicial Council statistical sheets. The paperwork, if any, is filed in the closed files.

## 7. Automated System Requirements

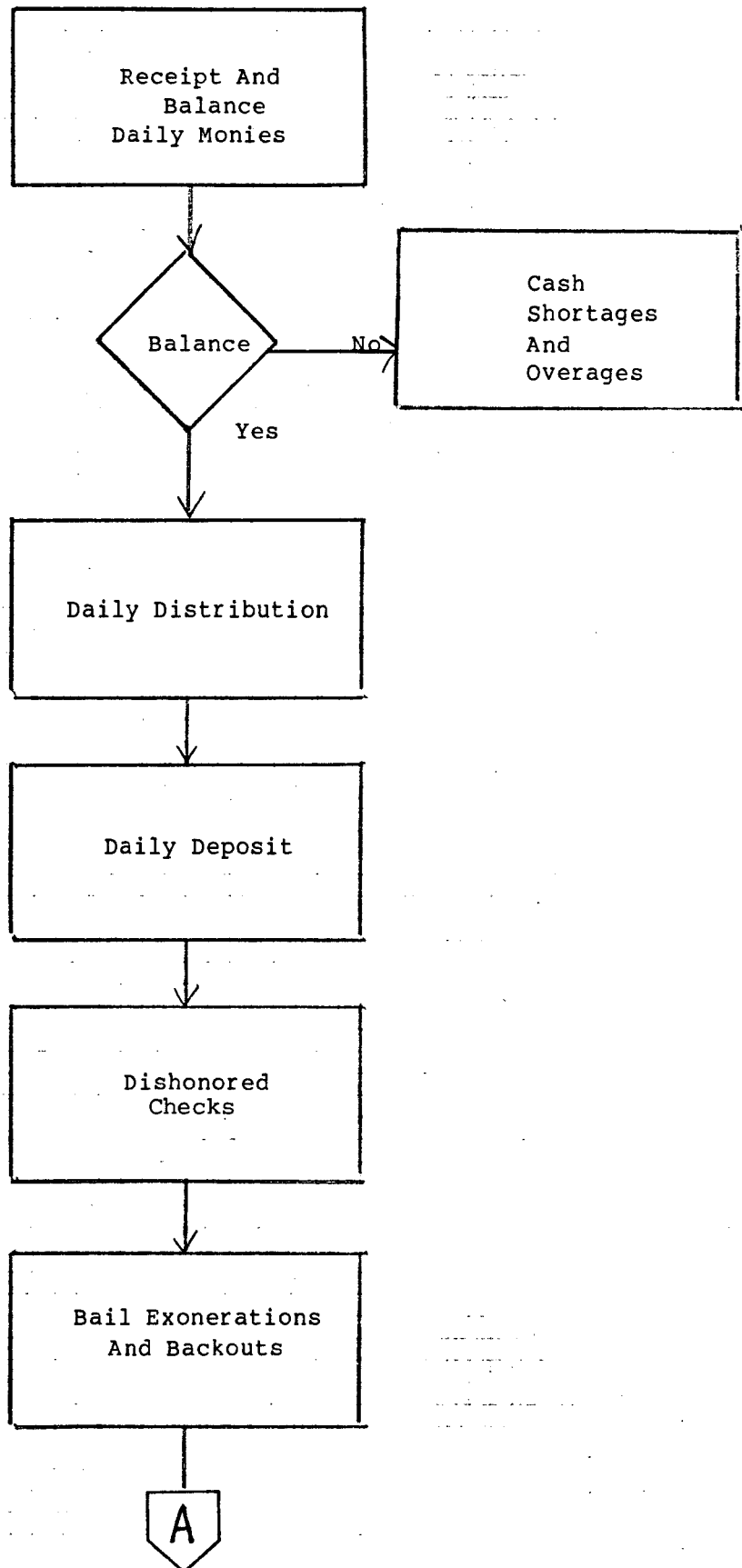
The present on-line parking system used by the central and southern branches seems to work fairly well. However some improvements must be made and the systems should interface or be a part of the overall court automated system.

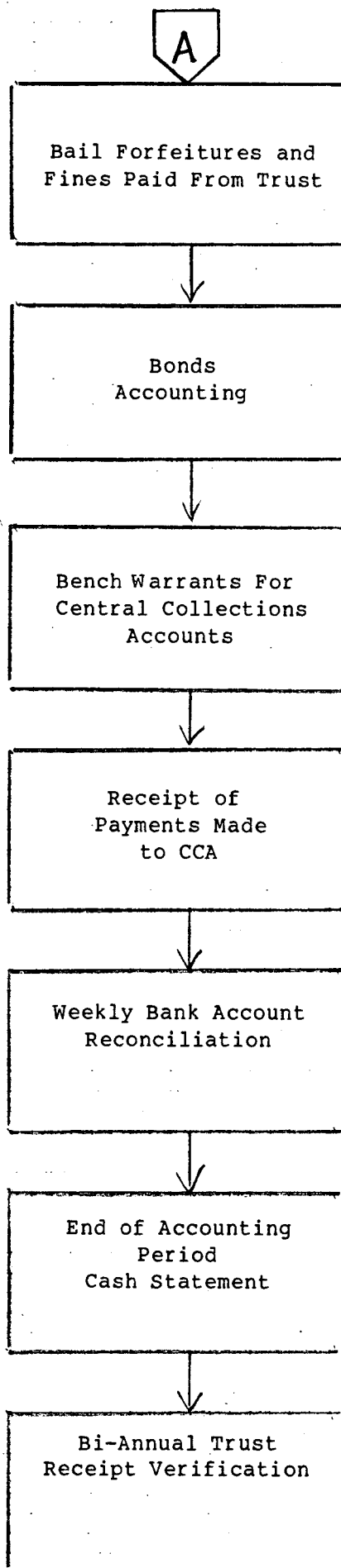
Some of the core requirements outlined above apply to processing parking cases. A few special concerns are noteworthy. First, through use of the central cashiering function it should no longer be necessary to manually ring payments on and back them out of the cash register. Next, the indexing function should include the ability to index by license plate number as well as case number. The system should include a calendar management function so that appearance calendars can be easily prepared and that case events for parking defendants can be tracked on computer. These events should especially include the Bench Warrant function and miscellaneous form letters. At present Judicial Council statistics are manually tracked although the present system is

capable of compiling this data. A streamlined automated system will likely provide the necessary confidence so that the manual tracking system can be eliminated.

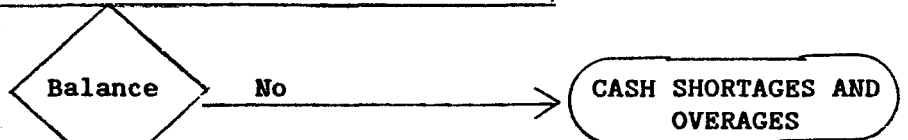
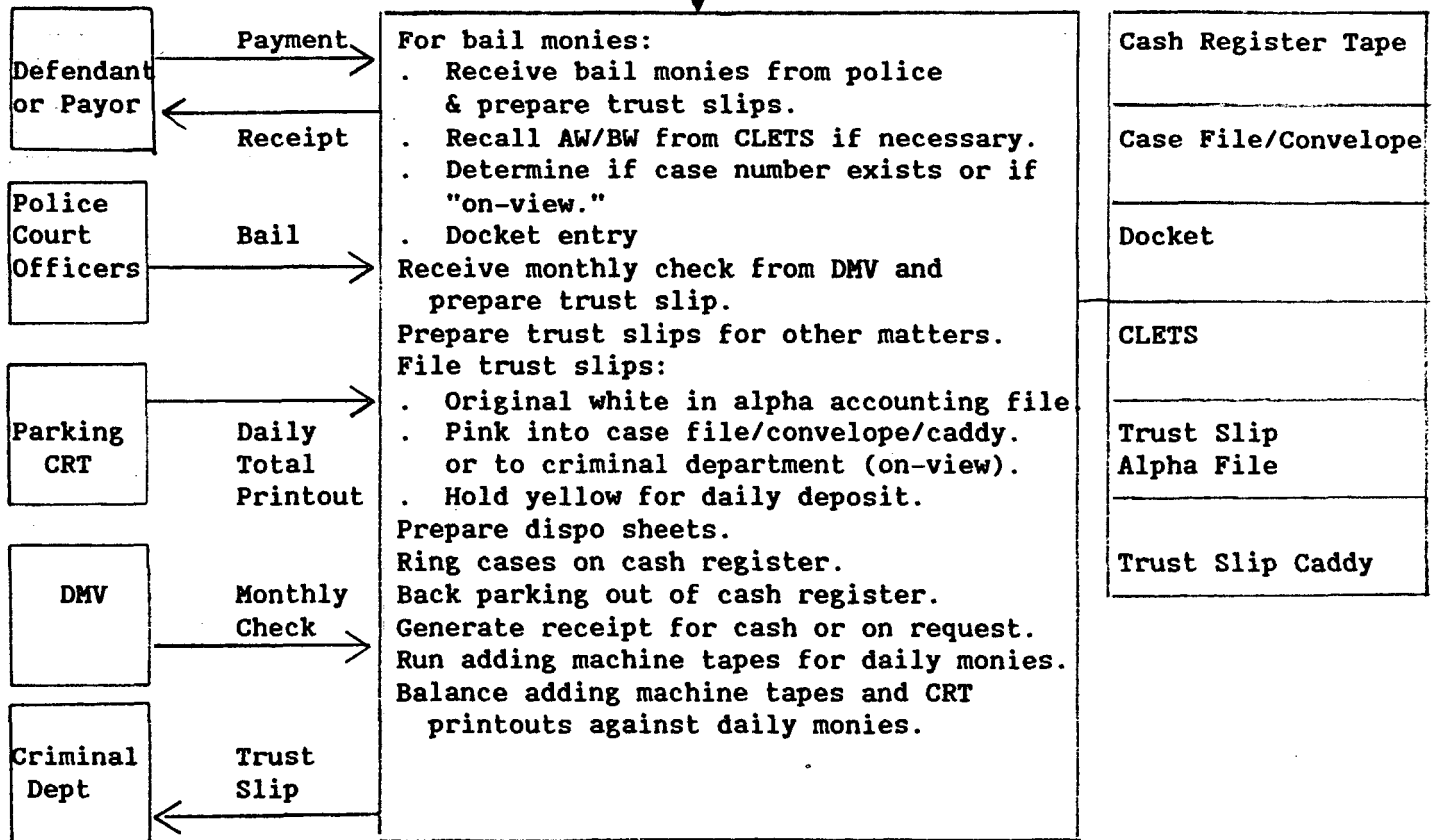
Finally, although the present system interfaces with the DMV, the interface requires some additional manual steps in the accounting department such as the preparation of trust slips for the monthly DMV payment check. They are not processed in a timely manner at present, because the monthly check is deposited into trust and not matched to defendants until follow-up identifying tapes come from the DMV, which can take several weeks. Computerization should eliminate both of these problems.

ACCOUNTING WORKFLOW: CASE-RELATED

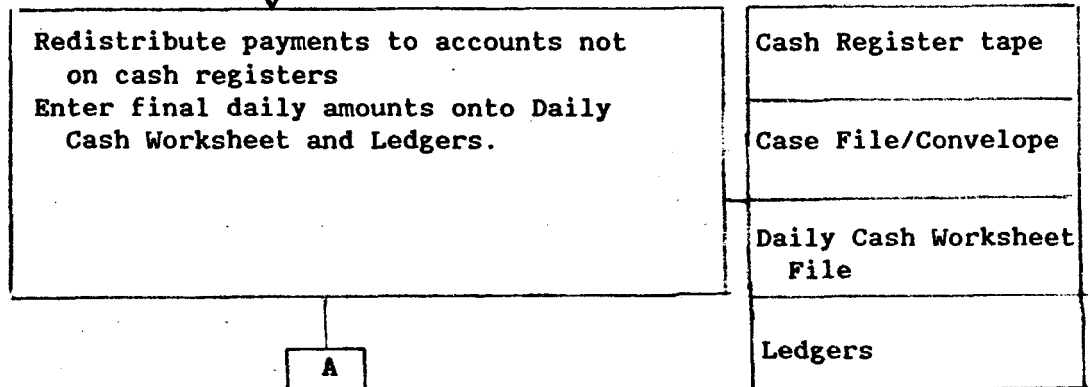




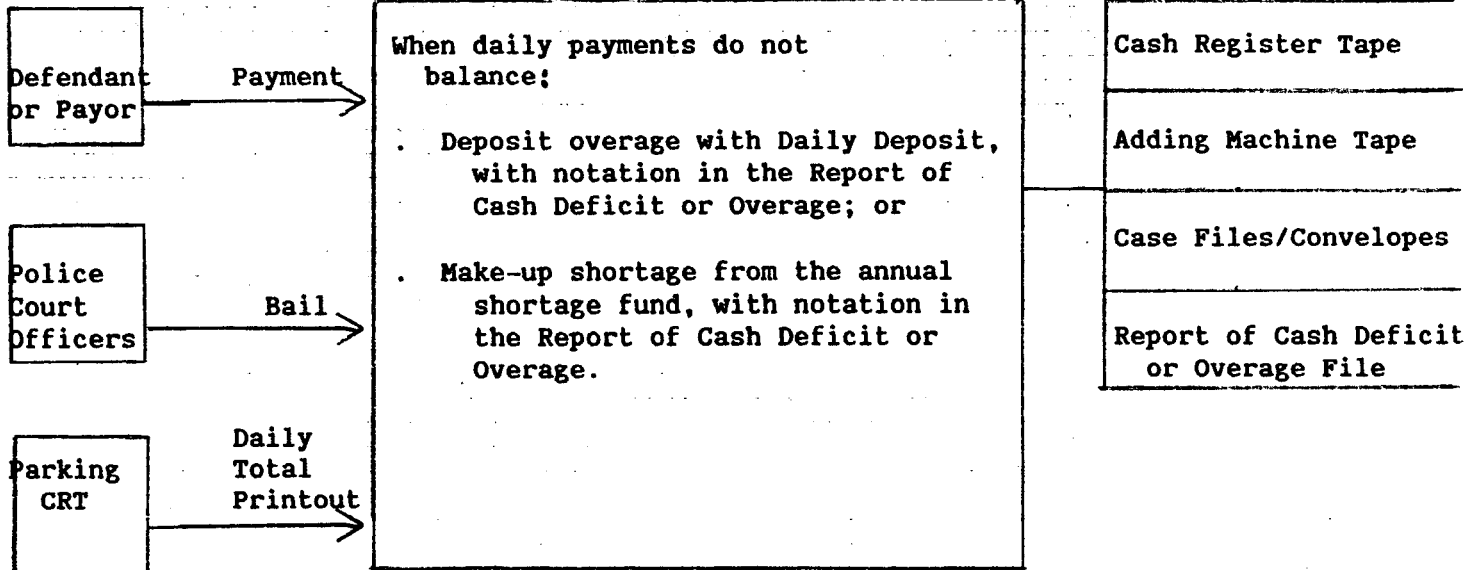
**RECEIPT AND BALANCE  
DAILY MONIES**



**DAILY DISTRIBUTION**



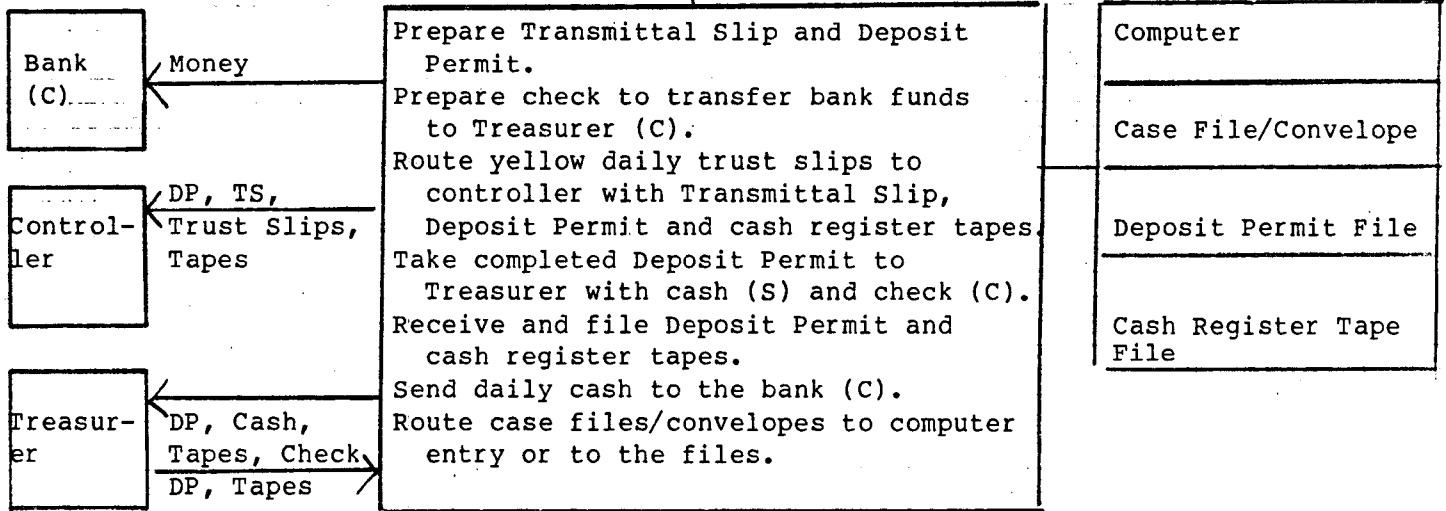
**CASH SHORTAGES  
AND OVERAGES**



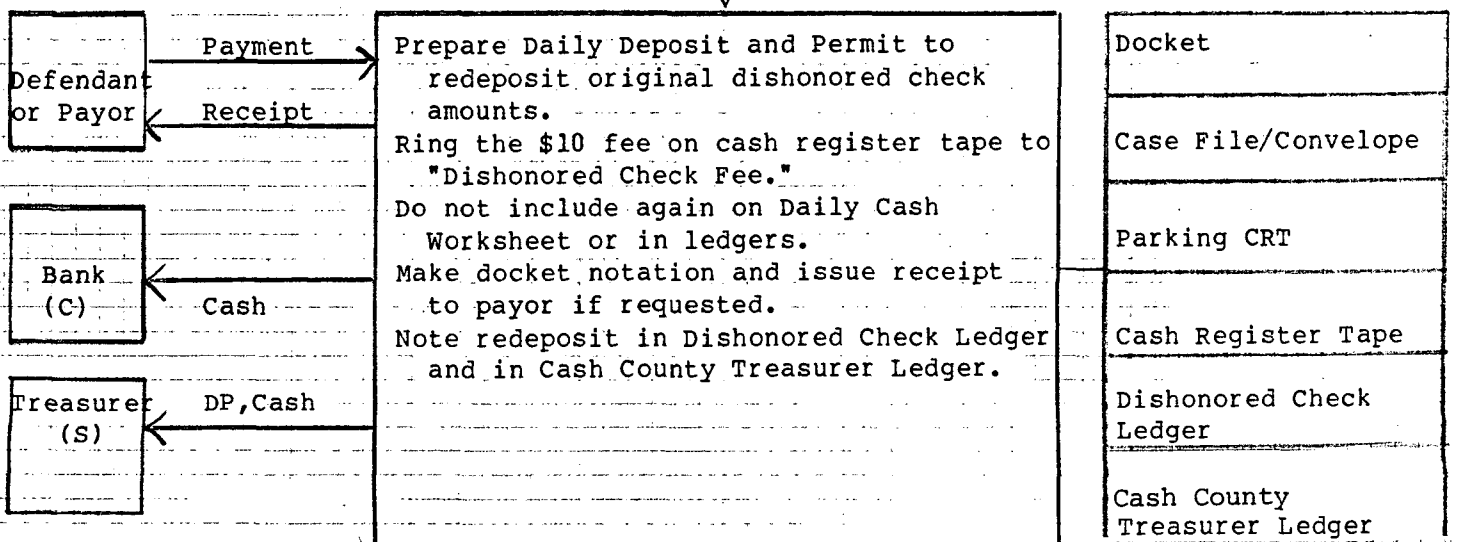
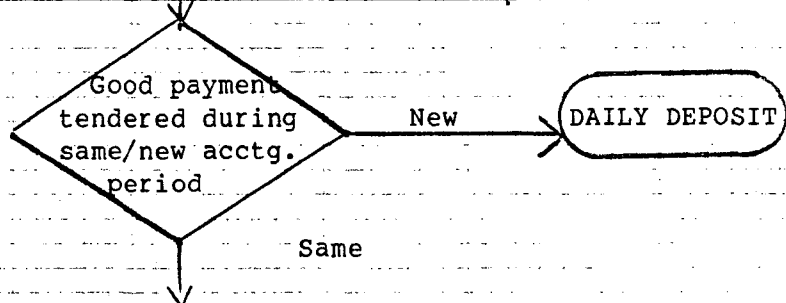
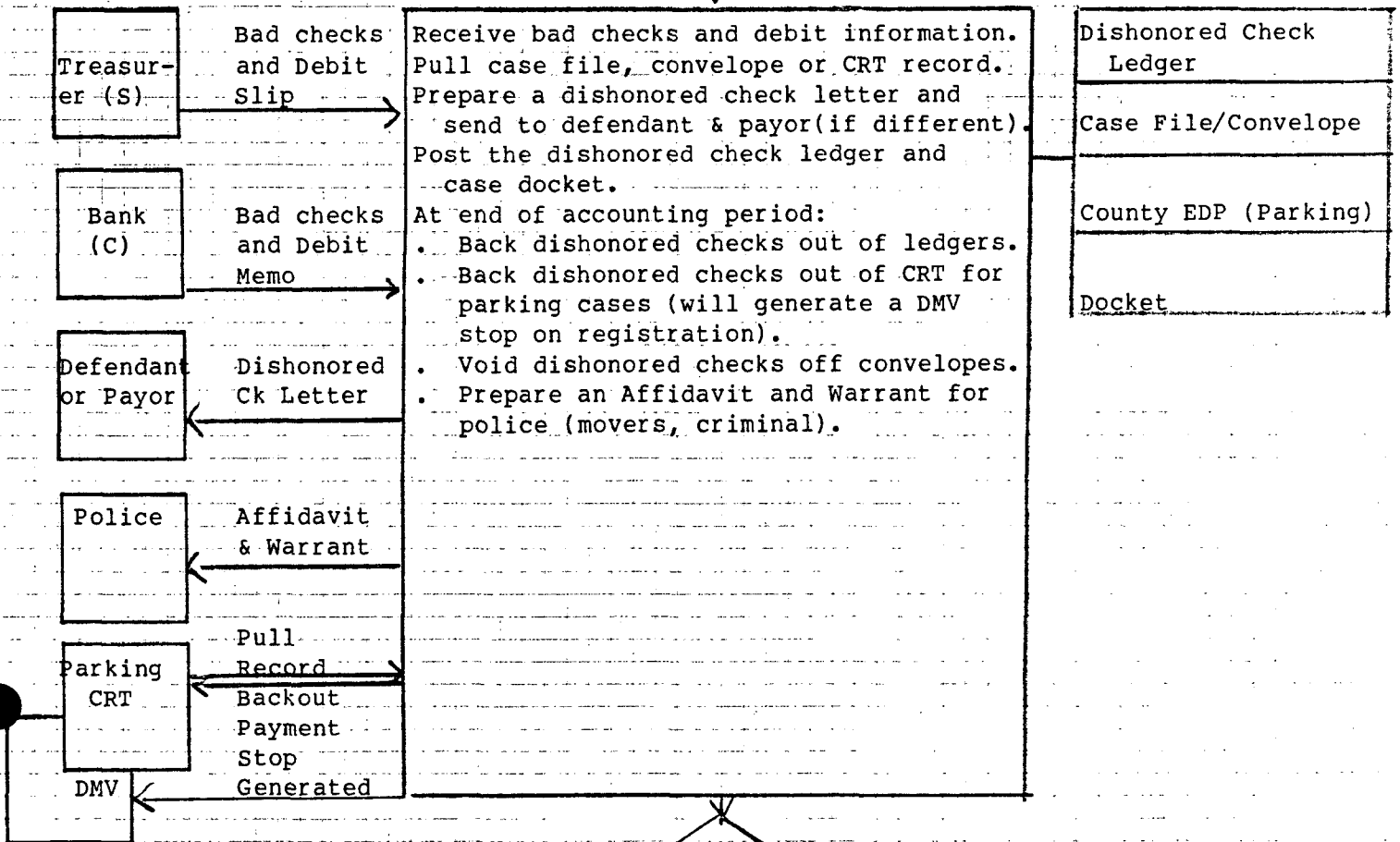


DAILY DEPOSIT

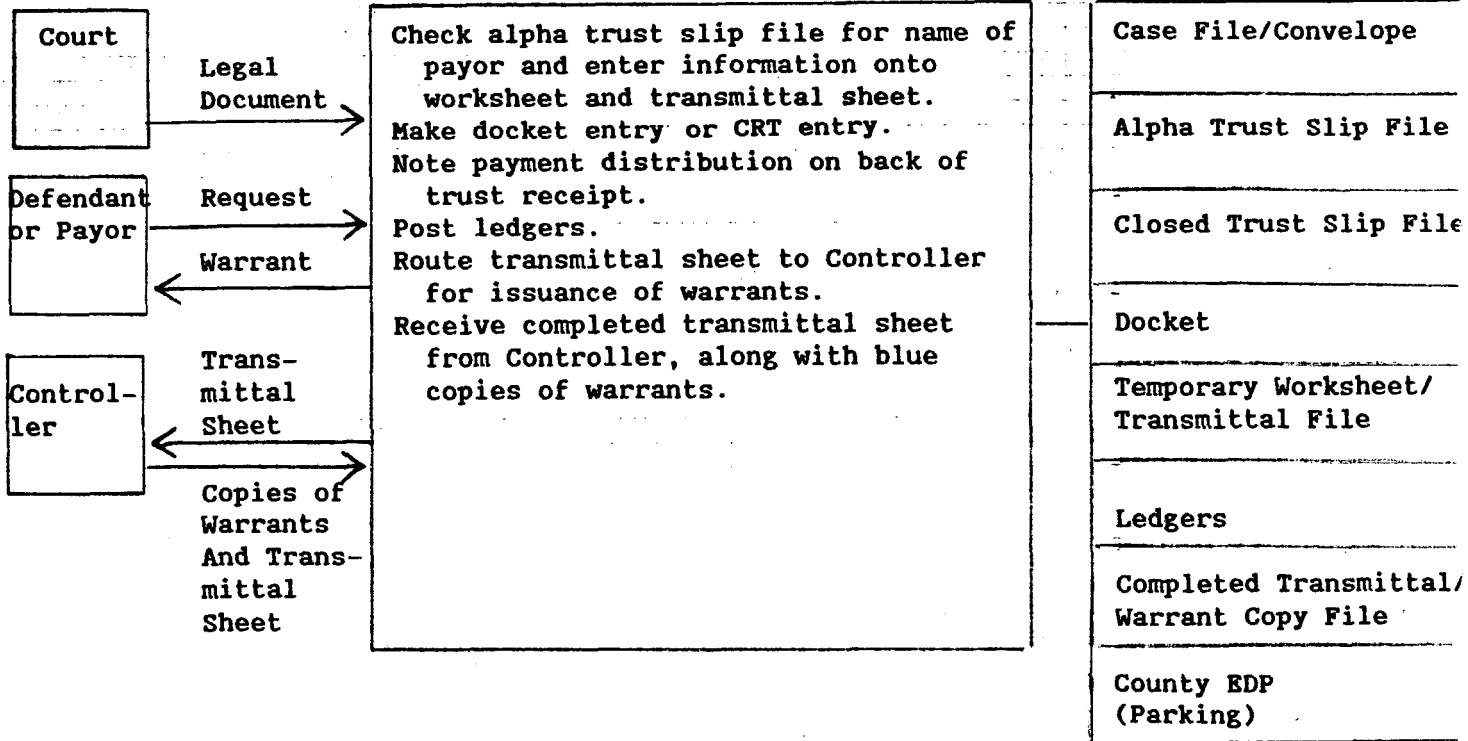
A



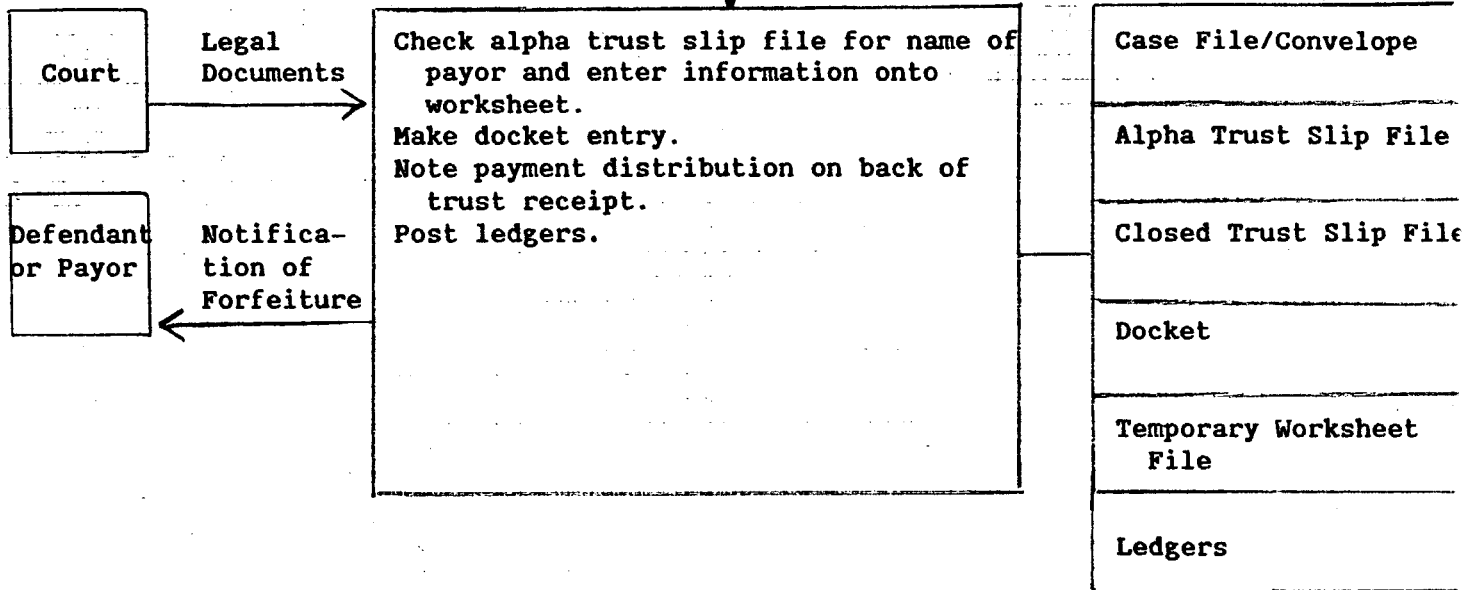
# DISHONORED CHECKS

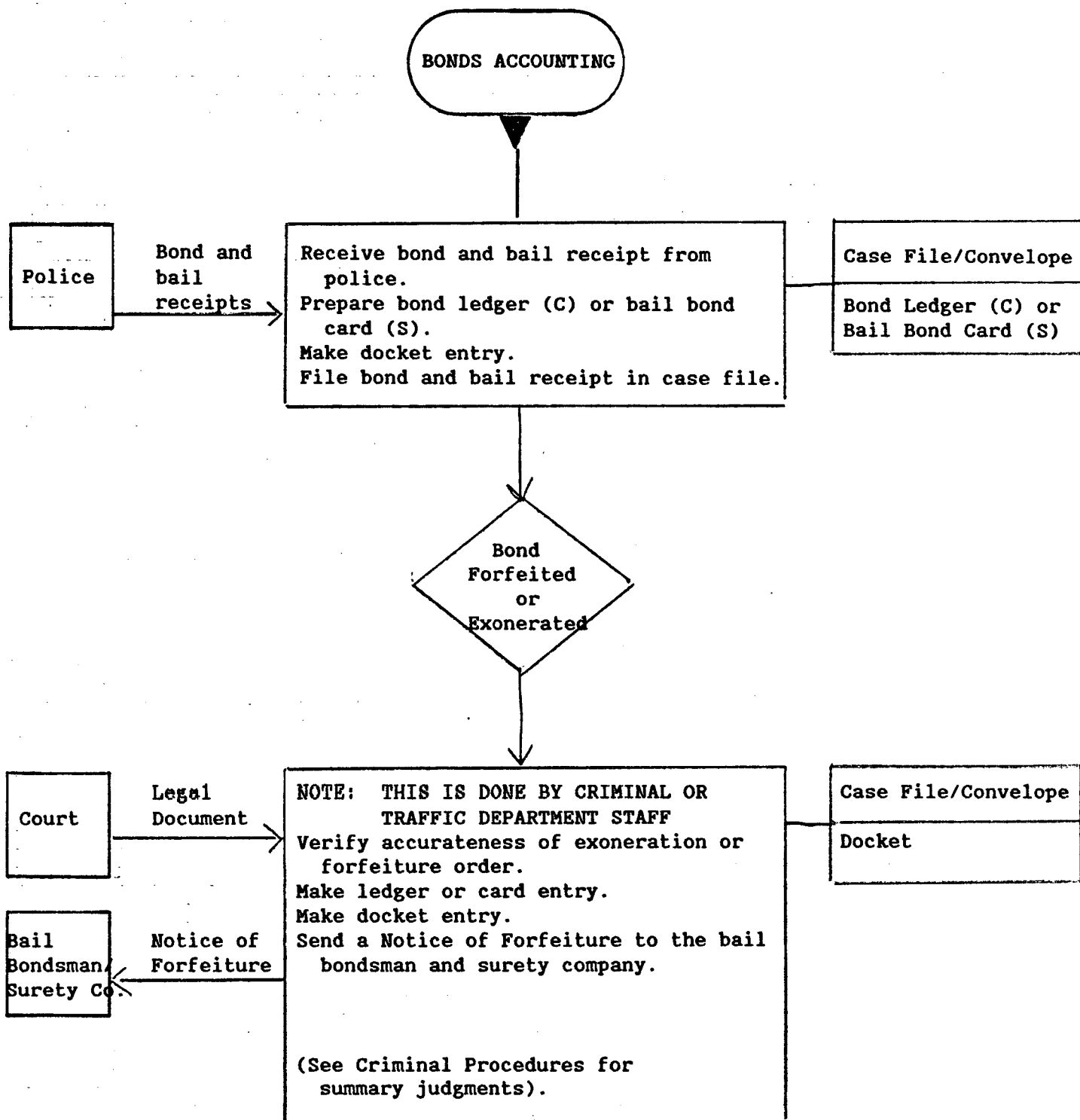


**BAIL EXONERATIONS  
AND BACKOUTS**

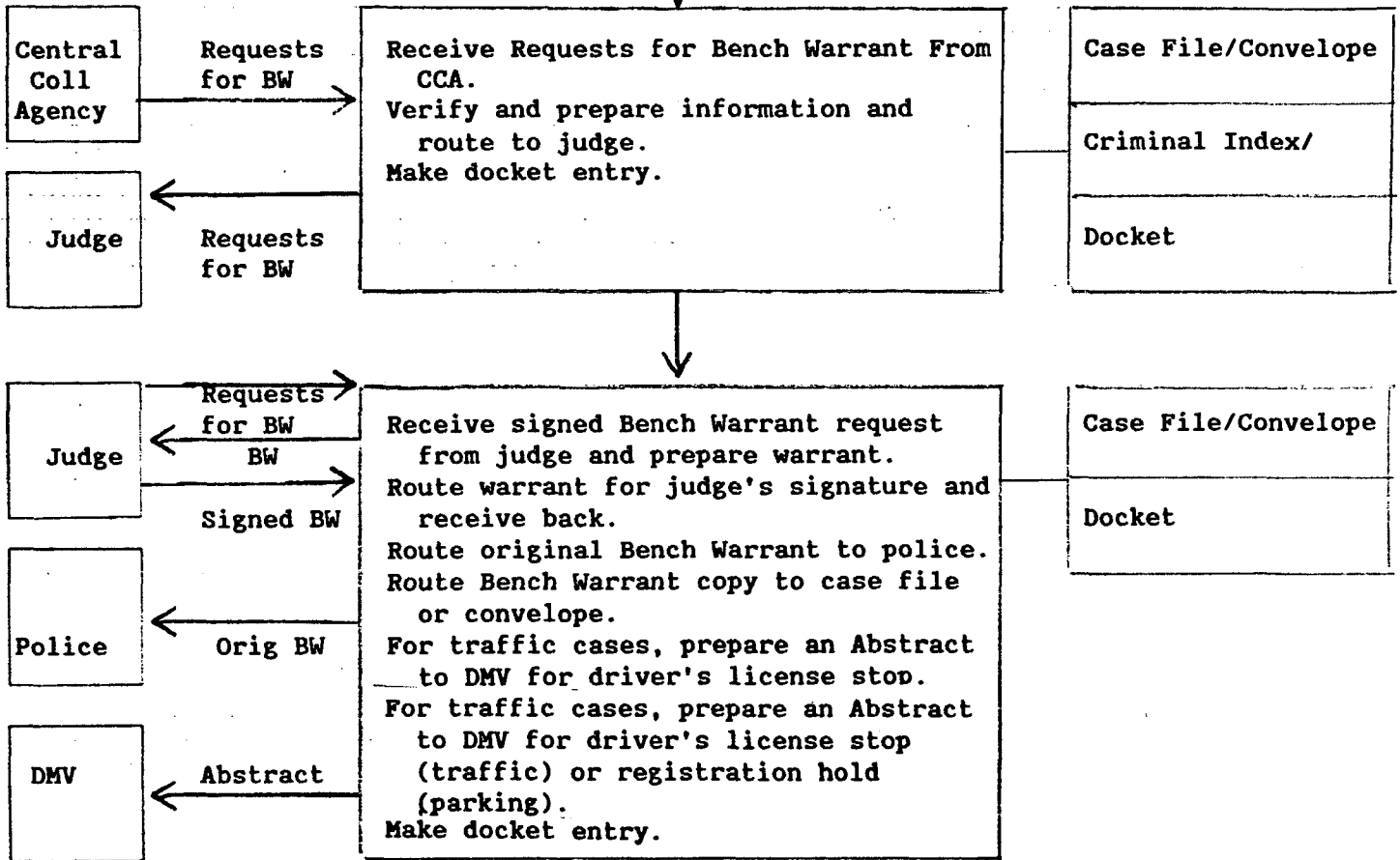


**BAIL FORFEITURES &  
FINES PAID FROM TRUST**





**BENCH WARRANT FOR  
CENTRAL COLL ACCOUNTS**



RECEIPT OF PAYMENTS  
MADE TO CCA

Central  
Coll  
Agency

Advice of  
Payments &  
IBM print-  
out

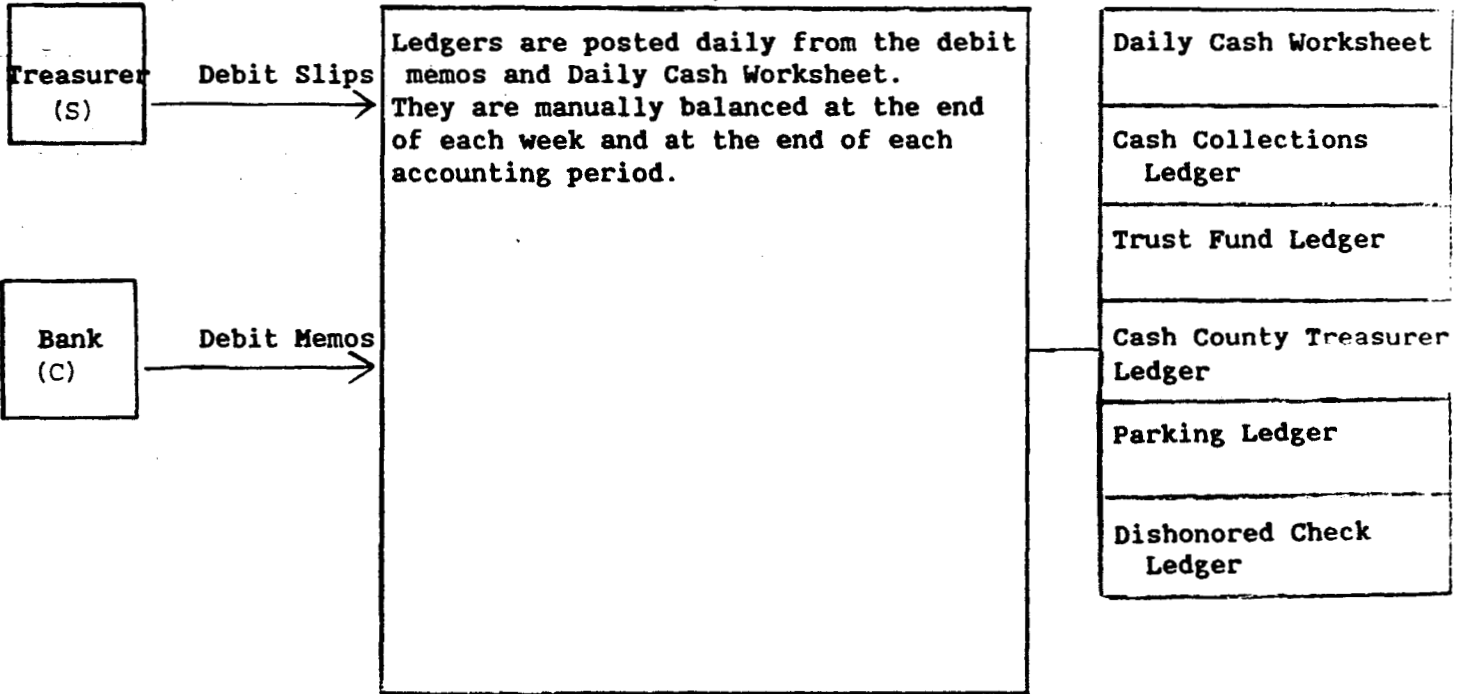
Receive Advice of Payment sheets from  
Central Collections, verify amount  
paid and show payment breakdown.  
Receive Journal entry sheets from  
Central Collections, debiting and  
crediting.  
Receive CCA IBM printout of all accounts  
paid at end of accounting period.  
At end of accounting period, prepare  
Fines Paid through CCA worksheet and  
enter amounts in ledgers.

Case File/Convelope

Ledgers

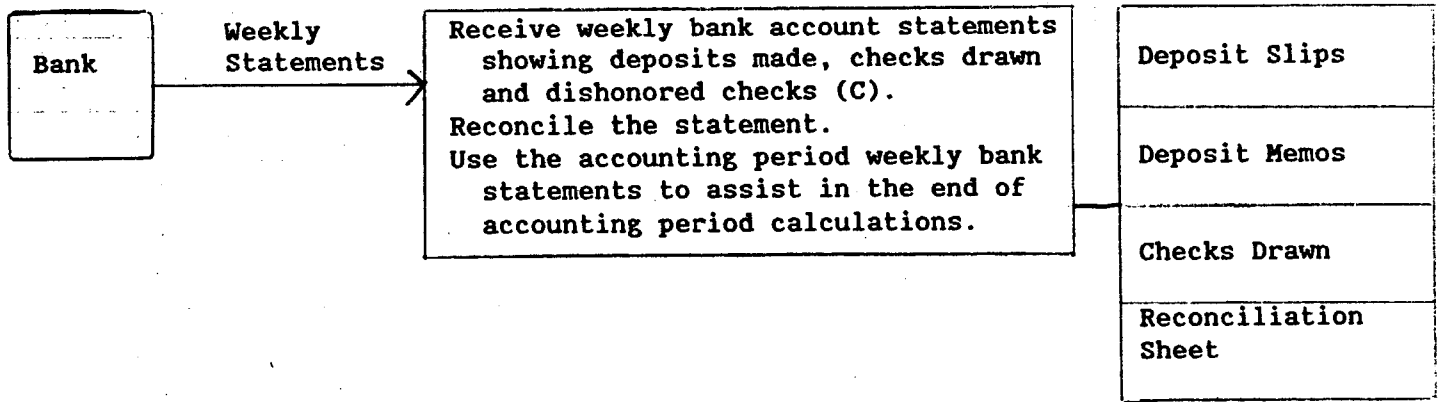
Advice of Payment File  
for Accounting Period

**POSTING  
LEDGERS**

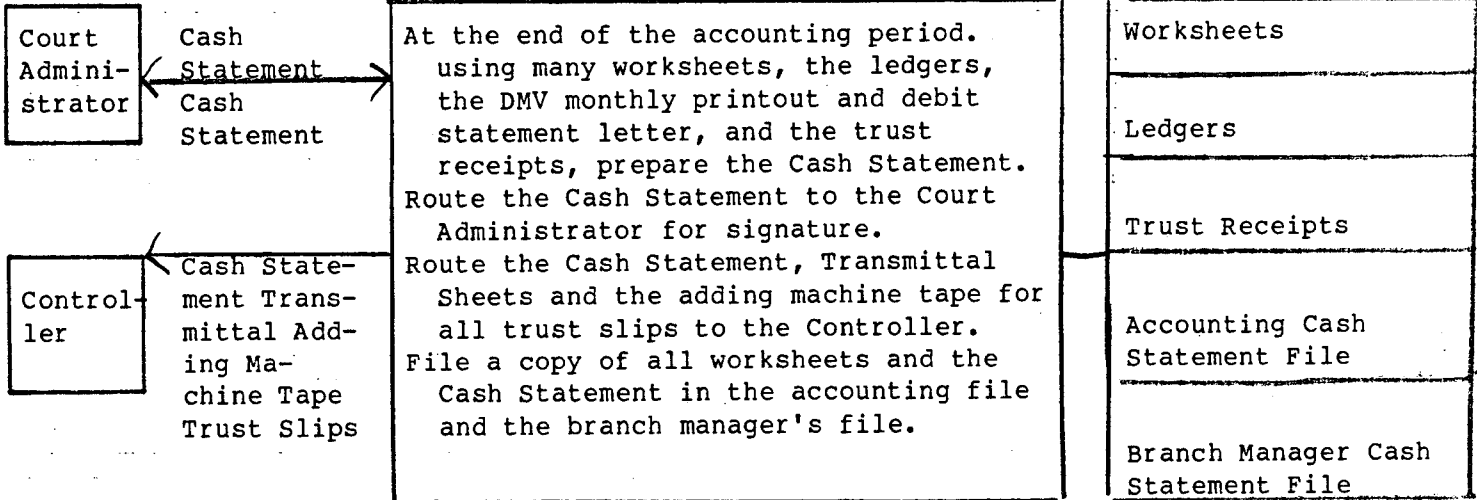




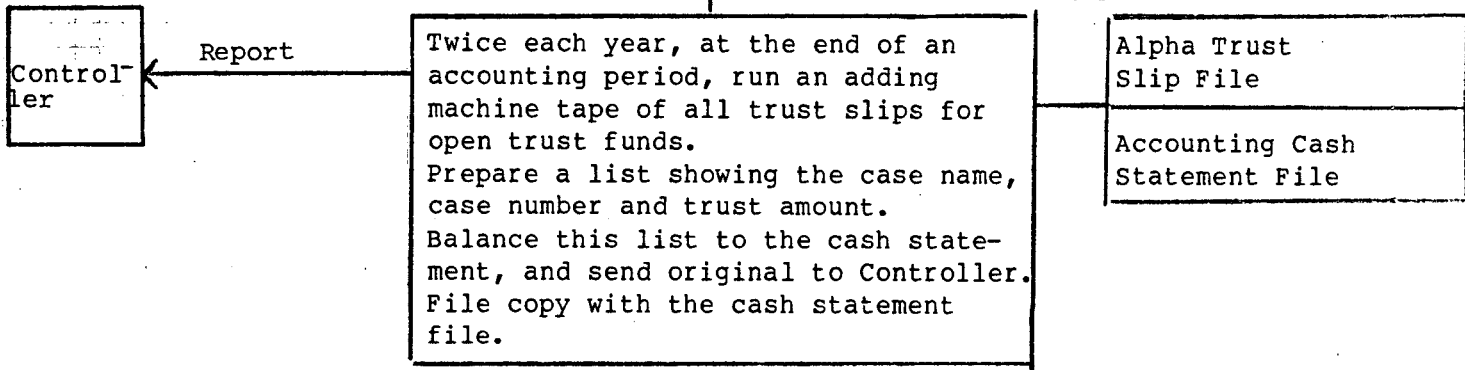
**WEEKLY BANK  
ACCOUNT  
RECONCILIATION**



END OF ACCOUNTING  
PERIOD  
CASH STATEMENT



BI-ANNUAL TRUST  
RECEIPT  
VERIFICATION



## ACCOUNTING PROCEDURES: CASE-RELATED

The primary responsibility of the accounting department is that of accurately recording all cash receipts and related disbursements. Additionally, the department is responsible for administering all court purchases, the processing of the bi-weekly payroll, controlling supply order, preparation of work order, inventory control, judicial council reporting, and management revenue analysis. This section of the narrative describes the case-related tasks.

### 1. Daily Deposit

All payments made to the San Mateo County Municipal Court are deposited daily to either the bank (central) or with the county treasurer (southern).\*

Payments are made to the court over the counter or by mail, and bail is brought to the court by police court officers from the cities. Payments are also made to the Department of Motor Vehicles from delinquent payors and are sent in lump sum to the court each month.

#### a. Receipting

The receipting process includes preparation of trust slips, "dispo" slips, and generation of cash register receipts. Trust slips are prepared for any case where clerks cannot locate the case and do not know the case number. These payments are placed in trust until they can be matched to a court matter.

---

\* South San Francisco branch accounting practices were not examined in this study.

Bail is delivered daily by police court officers of municipalities. Upon receipt the accounting department must determine if a case number exists for the defendant posting bail or if this is an "on-view" bail. A trust slip is prepared for the bail money and the arrest warrant or bench warrant, if outstanding, is recalled on the CLETS machine. A docket entry is made unless bail is on-view. The bail payment must be rung on the cash register and the original bail receipt filed in the accounting alpha trust slip file. The pink copy of the trust slip is filed either into the case file or the envelope (central) or is left in the trust slip caddy (southern), unless it is on-view, in which case it is routed to the criminal department. The yellow copies of the trust slips are routed with the daily deposit each day to the controller. Finally, if an appearance date has been scheduled, the paperwork is routed to the calendar clerk.

The DMV monthly lump sum payment cannot be matched to cases when it is received so it is placed in trust as well. Finally, disposal sheets are prepared for criminal matters or when the case number is known but the case cannot be located.\*

All cash payments are rung into the cash register. A receipt is generated to a payor for cash or on request. Cash parking payments are backed out of the cash register since they are input into the on-line parking system. The daily cash register tapes and the CRT

---

\* Southern utilizes "trust slips" also known as "fee slips" for their own accounts receivable process. This process could now be eliminated by use of the central system of TTP via computer. Consequently, no reference is made to fee slips in this study.

daily parking printout together itemize the total payments received each day.

Payments made to the municipal court are normally initially processed by staff of the appropriate department (small claims, civil, criminal, traffic or parking). The case file or envelope is pulled and the payment and docket or face of the envelope are marked. The payment is rung through the cash register and then the whole file is routed to the accounting department. The accounting department balances monies received at the end of each day.

b. Balancing

Using the audit tapes from the cash register machine together with all payments and files the daily payments are balanced. Two adding machine tapes are prepared: one for currency, coins, and check payments; one for trust payments. These adding machine tapes must balance to the cash register tapes. If the totals do not balance the cash register tapes are checked for unusual fee combinations or each ring is checked against each case. After this process has been completed, some agency categories are manually verified including 50% CHP splits, automation, law library, judicial retirement and court reporter accounts. These accounts are verifiable based on a set formula. For instance, under California Penal Code Section 1463b CHP fines and forfeitures collected are split between the individual municipalities and the county. An accounting department clerk must ensure that the cash register tape properly reflects the splits by verifying that the municipality total of the 50% split equals that of the county's.

If daily payments fail to balance, the cash overage or shortage procedure must be used. Overages are deposited along with the daily deposit. Shortages are covered in each branch from their \$100 replenishable shortage fund. In either instance, the Report of Cash Deficit or Overage is filled out. This report is prepared in original only and is examined by the auditor once a year.

c. Redistribution

The daily monies must undergo some manual redistribution because the cash register equipment does not reflect all of the various account distributions. The alcohol testing, alcohol rehabilitation, general fees, 16028, Fish and Game (central), and CSM mover accounts must be manually refigured and breakdowns noted on both the cash register tape and on the case file docket.

d. Parking Payments

Each day the county's automated parking system produces "Entry" and "Agency" sequence printouts for the prior day's activity. The actual parking monies taken in must be balanced against the printouts for each of the six CRTs.

e. The Deposit

Finalized daily amounts for all agencies and accounts are entered onto the Daily Cash Worksheet and into the ledgers. Payments are then ready to be deposited with the bank (central) and the county treasurer.\*

---

\* Although central branch deposits its payments to a bank, the rest of the deposit procedures are the same for both branches.

First, copies of the trust slips are put into numerical sequence. Next, a log number is recorded to track the cash register audit tape. The rolled cash register audit tape must be folded down flat and the daily total amount handwritten and dated on the tape's face. Photostat copies are made of the daily totals from the CRT "Daily Payment Activity - Parking" computer report. The total dollar amount and CRT machine number must be handwritten on each computer report. A Deposit Permit is prepared to show the breakdown of cash receipts by coin, currency, and checks. A Transmittal Slip is also prepared, showing breakdown totals by CRT and cash register tape. Finally, central branch prepares a check transferring its daily deposit from the bank to the treasurer.

These items are hand carried to the controller's office where the Deposit Permit is dated, signed off, and issued an audit number. After signing off, the controller's office retains the computer printout, copies of trust slips, cash register tapes, Transmittal Slip and a copy of the Deposit Permit.

The Deposit Permit, coin, currency, and checks are hand carried to the treasurer's office where, in the presence of the accounting department clerk, a cashier verifies the coin and currency and signs off the Deposit Permit.

It should be noted that prior to making the daily deposit all case files or envelopes are routed for computer entry, if appropriate, or for filing.

## 2. Dishonored Checks

Dishonored checks and debit slips are received by the accounting department from the treasurer (southern) or the bank (central). Upon receipt of a bad check a case file, envelope, or CRT record



will be pulled. A Dishonored Check Letter is prepared and sent to the defendant and the payor and the Dishonored Check Ledger and case docket are posted. If repayment is made before the end of the same accounting period, the check will be included on a Permit to Redeposit, but is not noted on the Daily Cash Worksheet or in the ledgers. The case is rung through the cash register, allocating the \$10 fee tape to "dishonored check fee." A docket notation is made and receipt issued to the payor (if requested). The redeposit is noted in the Cash County Treasurer Ledger in the southern branch only.

If repayment is not made before the end of the accounting period, the dishonored check is backed out of the ledgers, backed out of the CRT for parking cases (which will eventually generate an automatic DMV stop on registration). An Affidavit and Warrant is prepared by accounting staff for moving traffic or criminal violations.

### 3. Bail Exonerations and Backouts

When a court case is resolved a bail exoneration or backout may be necessary. In order to process an exoneration or backout, the alpha trust slip file first must be checked to verify the name of the payor, and the case file and court document must be checked to verify the disposition of the case and the money. This information is transferred onto either a Fines Paid from Trust or Backout Worksheet and a controller's Warrant Transmittal Worksheet. The Fines Paid from Trust Worksheet is prepared from information provided in the individual defendant case file. The worksheet records the defendant's name, case number, dollar amount exonerated, distribution of fines (if any) by agency, state, and/or county fund.

and the total amount to be released from the trust fund. Before this worksheet can be prepared, the exoneration distribution must be written on the back of the case trust slip, which is then refiled in the closed file. Twenty defendant cases can be processed on each worksheet. The worksheet is complemented by a controller's Warrant Transmittal Worksheet requesting trust fund withdrawals for warrants to be issued. The transmittal worksheet lists the warrant to be paid by name and address, transaction descriptions, case numbers and amounts. Each Fine Paid from Trust Worksheet and controller's Warrant Transmittal Worksheet is assigned an audit number.

Back-outs are refunds of bail posted for traffic school or trials with citing officers present. After the defendant cases are resolved, or if a defendant decides not to attend traffic school, the accounting department is responsible for seeing that the bails posted are deducted from the appropriate agency, state, and/or county funds by preparation of the Transfers-Backout Worksheet. As with fines paid from trust, the controller's Warrant Transmittal Worksheet must also be prepared.

The completed controller Warrant Transmittal Worksheet must be photocopied and the copies attached to the Fines Paid from Trust and/or Backout Worksheets. The original signed and dated transmittal must be hand-delivered to the controller's office for warrant issuance.

Also, the docket and ledgers must be posted noting the exoneration or backout amounts.

After the controller has issued the warrants the accounting department will receive the completed transmittal sheet along with the blue copies of the warrants. These are filed in the accounting

department.

#### 4. Bail Forfeitures and Fines Paid From Trust

As with exonerations, when a court case is resolved a forfeiture or fine may be ordered paid from trust. To process this order, the Accounting Department must first check the alpha trust slip file to verify the name of the payor, and the case file and court document must be checked to verify the disposition of the case and money. This information is transferred onto the Fines Paid from Trust Worksheet.

The forfeited or fined amount distribution is entered on the back of the trust slip and filed in the closed trust slip file.

It should be noted that no Warrant Transmittal Worksheet is prepared for this procedure since in this instance payors are not receiving money back unless the trust amount exceeds the amount owing. The docket and ledgers must be posted noting the forfeiture or fine paid from trust amount.

If the amount being forfeited is over \$100 the payor receives a notification of forfeiture which is prepared by the staff of various departments (Traffic or Criminal).

#### 5. Bonds Accounting

When bonds are received from the police court officers either a bond ledger (central) or bail bond card (southern) must be prepared and a docket entry must be made. The bond is placed into the case file along with the bail receipt. If bond is subsequently forfeited or exonerated, staff of the traffic or criminal department verifies the accurateness of the order, makes a ledger or card entry, and makes a docket entry. If bond is forfeited, notice is sent to the bail bondsman or surety company.

## 6. Bench Warrants for Central Collections Accounts

When a defendant is ordered to pay a fine by installment payments the monies are collected through the county's Central Collections Agency (CCA). In this instance the accounting department works closely with CCA to insure that payments are made. If a payment is missed the accounting department will receive a Request for Bench Warrant from CCA. Some of the information on this Request is already filled in and must be verified by accounting staff. The case file or envelope must be pulled or in some instances the criminal index or traffic fiche must be consulted to verify information. Information to be verified includes the case number, case name, the outstanding need for a payment, the amount of the payment due, that the defendant is still on probation and the correct bail calculation. Once completed, the Request must be routed to a judge for signature and a docket entry showing that a Request has been processed must be made. When the judge signs the Request for Bench Warrant he or she will note whether bail is forfeitable or whether appearance is mandatory.

Copies of the completed Bench Warrant Request are marked "endorsed filed" and sent to CCA. The original is marked "loose filed" and is placed into the case file itself along with another "endorsed filed" copy.

Upon receipt back from the judge of a signed Bench Warrant Request showing instructions, the Bench Warrant itself must be prepared. After it is prepared, it is again routed to the judge for signature. The original is routed to the police for execution and a copy is placed in the case file. A docket entry of the Bench

Warrant issuance is made. If the case is a traffic matter, the accounting department should prepare, enter on the docket, and send a DMV abstract for a stop on the defendant's driver's license.

7. Receipt of Payments Made to Central Collections Agency

As installments are made to the Central Collections Agency Advice of Payments are received by the accounting department. Case files or envelopes are then pulled, file stamped, matched to the Advice of Payment and the dollar amount of the advice is checked for accuracy. The payments are then broken down by appropriate agency, state and/or county fund categories and this is shown on the Advice of Payment. Periodically throughout an accounting period the accounting department will receive journal entry sheets from the CCA debiting and crediting their account according to these installment payments. At the end of each accounting period the total Advice of Payments received from the CCA for that accounting period are reflected on an IBM printout. These listings must be matched with the journal entry listings and checked for accuracy. Also at the end of the accounting period a Fines Paid through CCA Worksheet must be prepared so that proper amounts can be entered in the ledgers and for the Cash Statement.

8. Weekly Bank Account Reconciliation

The central branch deposits daily monies with a bank, and thus must conduct a weekly bank account statement reconciliation to the deposits made, checks drawn and debit memos received. At the end of the accounting period, four or five weekly statements are available for financial activity verification and are then placed in the reconciliation file.

## 9. Posting Ledgers

There are five accounting ledgers maintained daily: the Cash Collection Ledger, the Trust Fund Ledger, the Cash County Treasurer Ledger, the Parking Ledger, and the Dishonored Checks Ledger. The ledgers are posted daily from the debit memos and the Daily Cash Worksheet.

## 10. End of Financial Period Accounting

At the end of each accounting period, each of the five ledgers is balanced to prepare for the end of the accounting period Cash Statement. Prior to closing of the Trust Ledger, trust slips must be balanced to agree with the ledger. An adding machine tape is run to total each individual trust slip on file. The average number of trust slips to be run per accounting period is approximately 1,300.

The following worksheets are prepared in order to distribute revenue to the agencies, state and county funds as directed by Penal Code legislation:

- Dishonored Check
- Alcohol Testing and Rehabilitation
- Health and Safety Crime Lab
- Central Collections Agency
- Department of Motor Vehicles
- Non-CVC Fines and/or Forfeitures
- Parking Fees Worksheet
- Cash Percentage Distribution

A running total worksheet is maintained which carries forward the Daily Cash Worksheet totals as distributed by agencies, state and county funds from the first to the last day of each accounting period. This running total worksheet is used to check the accuracy

on the ledgers.

After the worksheets are prepared the revenue distributions are posted to the appropriate ledgers and the running total worksheet identifying the total revenue amount to be disbursed to each agency, each state fund and each county fund by journal transfer.

The Cash Statement is prepared and Advices are prepared and mailed to each agency showing a breakdown of their share of fines and forfeitures collected during the accounting period from parking, CVC fines, and bail forfeitures, 50% state officer citations and other sources. This Advice precedes the issuance of controller's warrants. Controller warrant transmittal worksheets must be prepared showing the total dollars to be distributed to each agency. A transmittal worksheet is prepared to detail the revenue disbursement to the State of California by fund and a transmittal worksheet is prepared to detail the revenue disbursement to the county by fund. The transmittals are hand carried to the controller's office.

After preparation the Cash Statement is routed to the court administrator for signature. The signed Cash Statement transmittal sheets and the adding machine tapes for all trust slips are then routed to the controller. A copy of all worksheets and the Cash Statement are maintained in the accounting department file and a copy of the Cash Statement is placed in the branch manager's file.

#### 11. Bi-Annual Trust Receipt Verification

Twice each year, normally in June and December, accounting department staff take the white alpha trust slips and run an adding machine tape of their totals. These adding machine tapes are balanced to the cash statement for the end of the accounting period

for which this verification is being made and a report is prepared for the controller's office showing the case names, case numbers and trust amounts.

## 12. Automated System Requirements

The automation core requirements apply to accounting procedures since the accounting department staff should be able to access and enter information into the on-line system to record payments made, bench warrants issued, bail forfeited, etc. However, some special consideration must also be given to automation requirements unique to accounting department functions.

First, the accounting department is responsible for the daily deposit of money taken in each day for all municipal court cases. This system must be automated. At present, much time is spent preparing trust slips for any case for which a payment made must be placed into trust. The hard copies of the trust slips are placed into the case file, into an alpha trust slip file and one copy is sent to the controller with the daily deposit. Automation should eliminate the need to prepare trust slips and all necessary tracking of the trust account should be done on the computer.

At present the DMV sends to the court a check and associated computer tapes for payments made directly to the DMV on San Mateo County citations. This interface is presently computerized but the system should be refined and made more timely.

The cashiering duties of the court greatly affect the accounting department and are outlined in the Core Requirements Section, above.

Balancing the daily deposit is a very time-consuming task at present. Automation should eliminate the need to run adding machine tapes to balance daily monies. A running total must be possible.



and the computer must be able to completely perform the function of distributing payments to proper agencies and accounts. While it is possible that computer entry error would still yield a daily imbalance this problem should be greatly reduced.

The automated parking system presently provides the court with up-to-date payment information. This system should directly interface or be a part of the San Mateo Municipal Court's automated system so that the tracking, tallying and balancing of parking payments can be further streamlined.

Finally, for the daily deposit itself the accounting department should directly interface both the county controller and the county treasurer to facilitate the deposit procedure. While no computer can eliminate the need for someone to physically move monies from the court to either the bank or the treasurer's office every other part of the daily deposit is amenable to computerization.

The dishonored check procedure should be simplified with automation. The dishonored check ledger as well as all of the other ledgers (see below) will no longer be kept primarily in hardbound form but will exist as a separate entity in the automated system. The municipal court ideally should be able to directly interface with its deposit agency to obtain a record of bad checks. An entry of a dishonored check should automatically appear in the dishonored check ledger, in other related ledgers, and in the case docket. Dishonored checks outstanding at the end of the accounting period should generate subsequent activity such as a DMV stop on registration for parking cases or an affidavit and warrant for traffic or criminal cases.

Bail exonerations and back-outs require the issuance of money from the controller's office to a defendant or payee. This procedure presently requires preparation of worksheets and warrant transmittals. No paperwork should be necessary to accomplish an exoneration or back-out other than the issuance of a check from the controller's office. This procedure should directly interface with the appropriate ledgers.

Bail forfeiture and fines paid from trust similarly should not require the preparation of worksheets. This procedure should merely require that monies be moved around within the automated system and that a Notification of Forfeiture generate from the system to the payor.

The bonds accounting procedure presently requires the preparation of a ledger or card. This procedure should be automated, with bond forfeiture or exoneration notices generating from the system.

Defendants ordered to make payments by installment do so through the county's Central Collections Agency. An automation interface with this agency should eliminate the need for copies of dockets to be sent to the CCA. At present the municipal court receives computer-generated Requests for Bench Warrant from the CCA. Once case histories are computerized, warrant preparation should be significantly simplified in that the warrant preparation clerk would not need to conduct the intensive verification procedure currently required before issuance of a bench warrant.

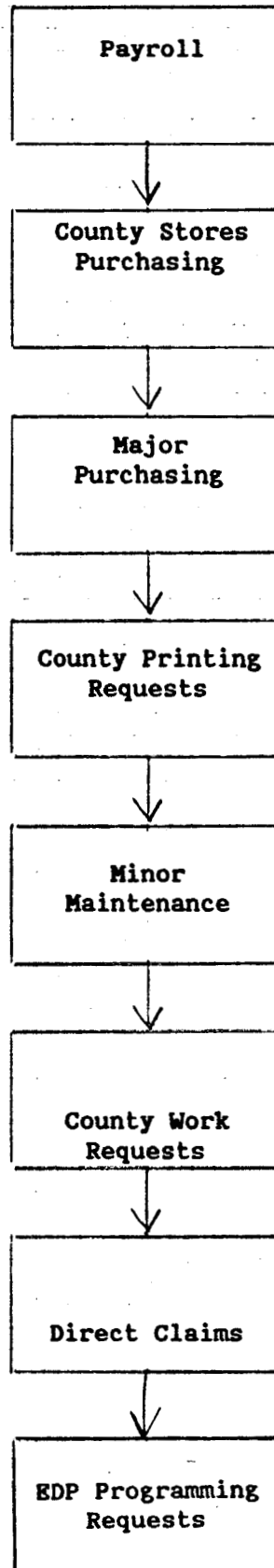
Similarly, at present, the municipal court receives computerized Advices of Payment made to the CCA. However, at present, upon receipt of these notices the case files or envelope must be pulled.

stamped, matched to the payment and the payment itself must be broken down and checked for accuracy. Municipal court automation should streamline this procedure and eliminate the need to pull envelopes and manually distribute the monies.

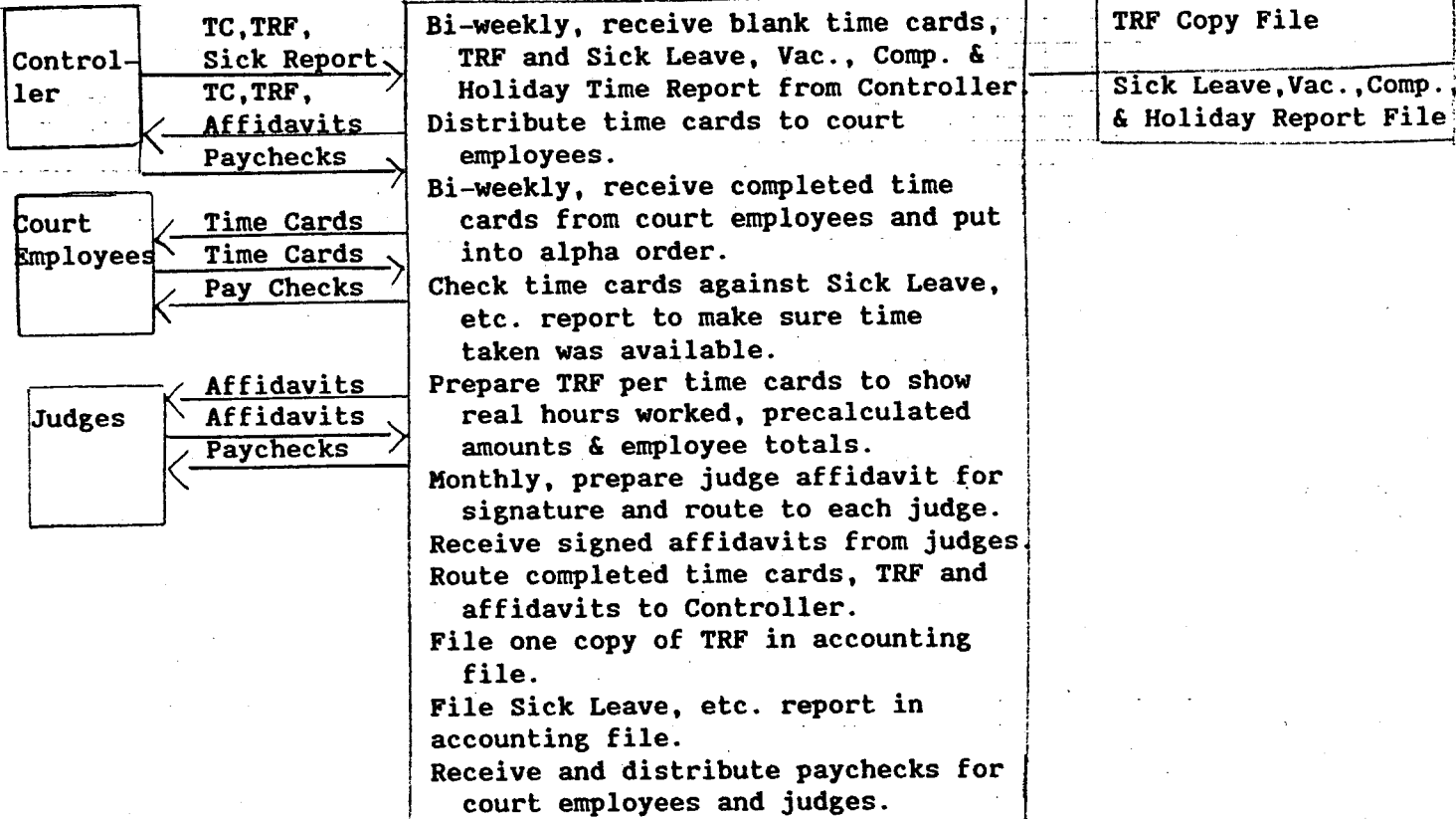
The five accounting ledgers should be maintained in the automated system and be automatically posted based on case activity. This would enable end of accounting period work to be greatly simplified. At present, accounting supervisors must devote two of every four or five weeks to end of accounting period accounting. An automated system should permit daily updating of all accounting information, making the preparation of the Cash Statement a relatively simple procedure. The many worksheets currently required should no longer be necessary. An automation interface with the controller's office should facilitate the request for and transmission of money to all of the agencies and accounts in the municipal court system.

The Accounting Department presently serves as a depository for all Judicial Council statistics which are prepared by various municipal court staff throughout the month. Automation should enable these statistics to be tracked on a daily basis and generated on a monthly and year-to-date basis.

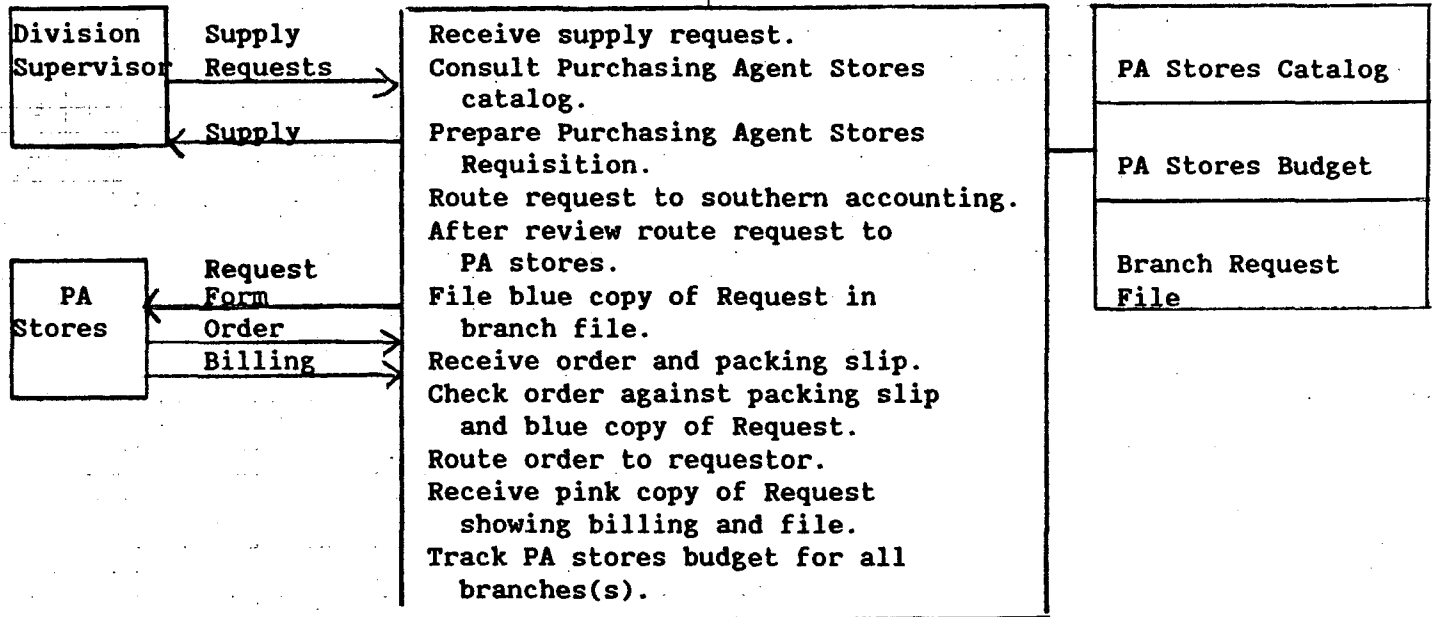
## ACCOUNTING WORKFLOW: ADMINISTRATIVE



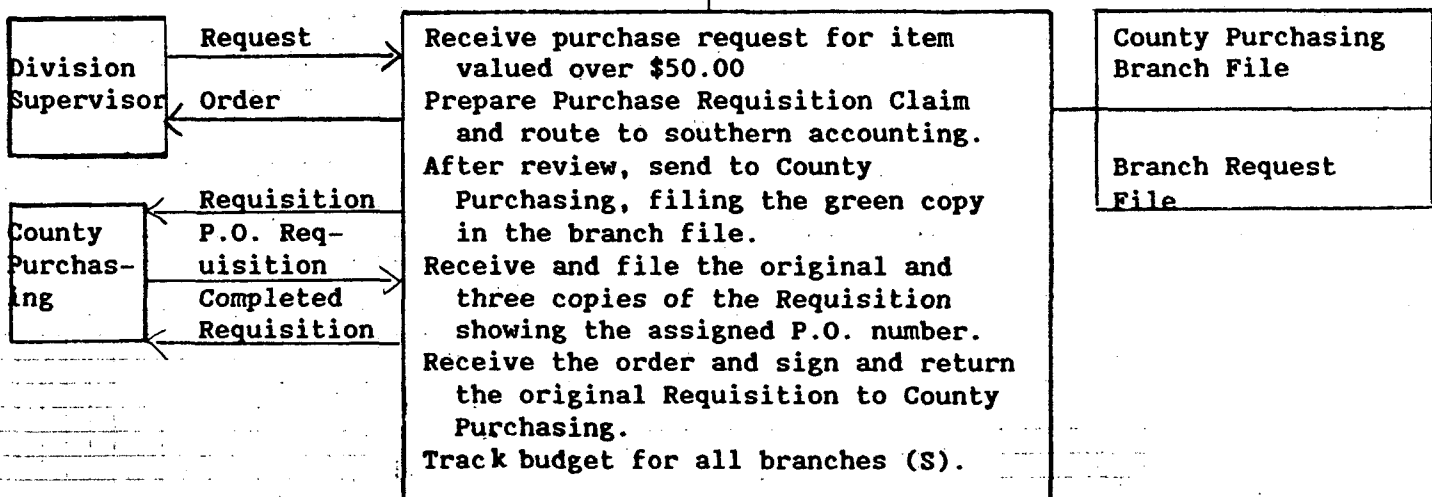
# PAYROLL



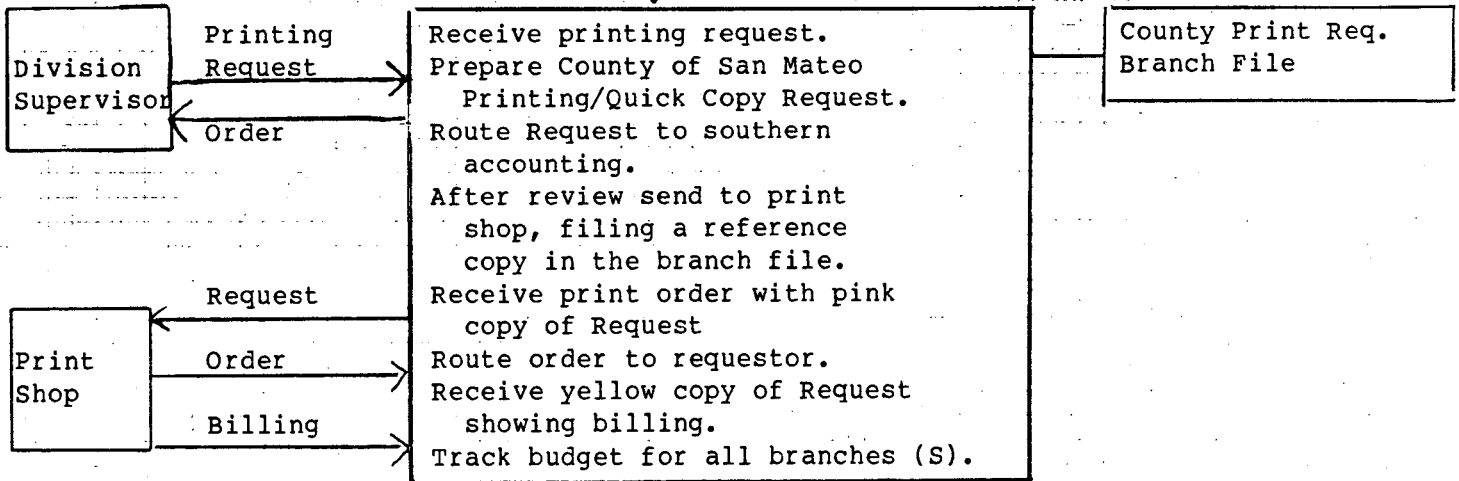
## COUNTY STORES PURCHASING



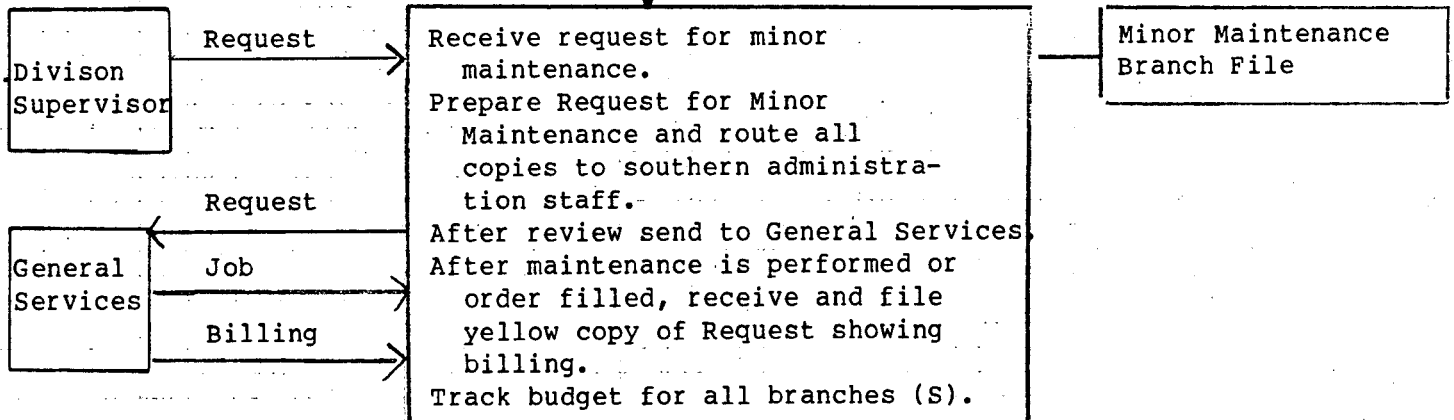
## MAJOR PURCHASING



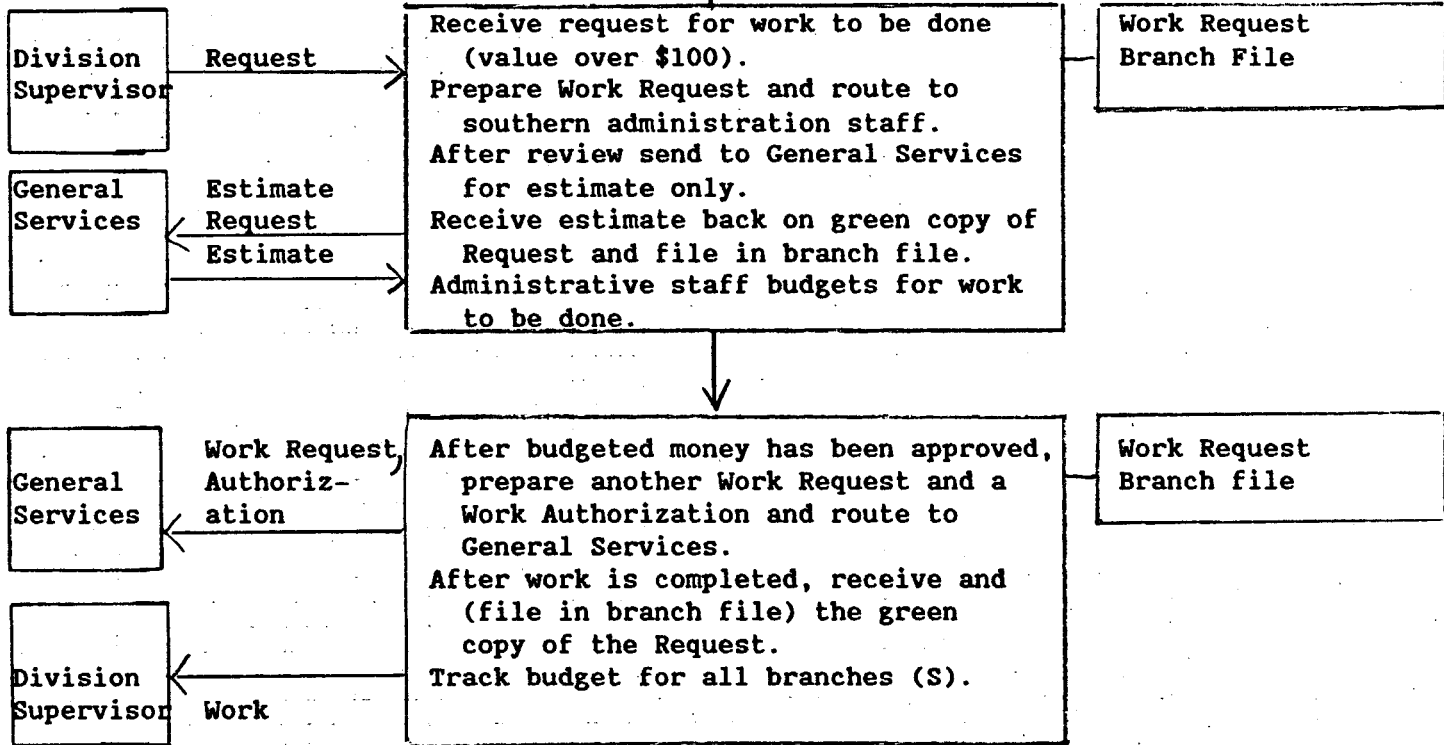
# COUNTY PRINTING REQUESTS



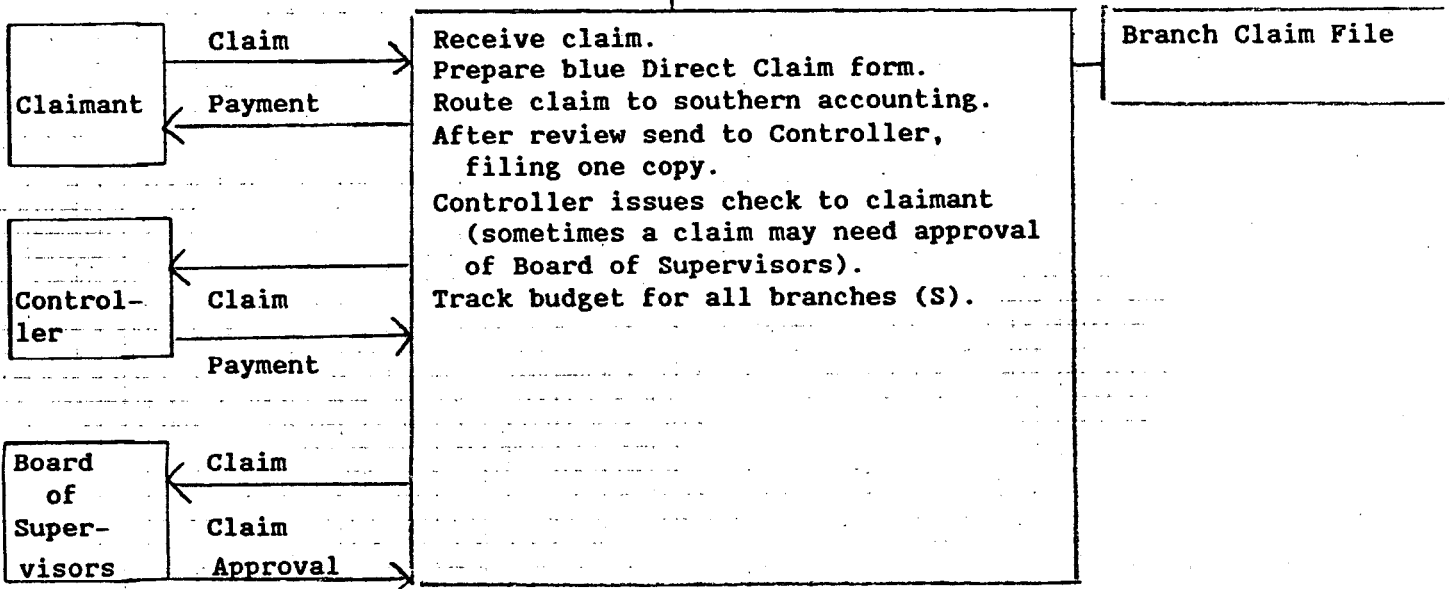
# MINOR MAINTENANCE



# COUNTY WORK REQUESTS

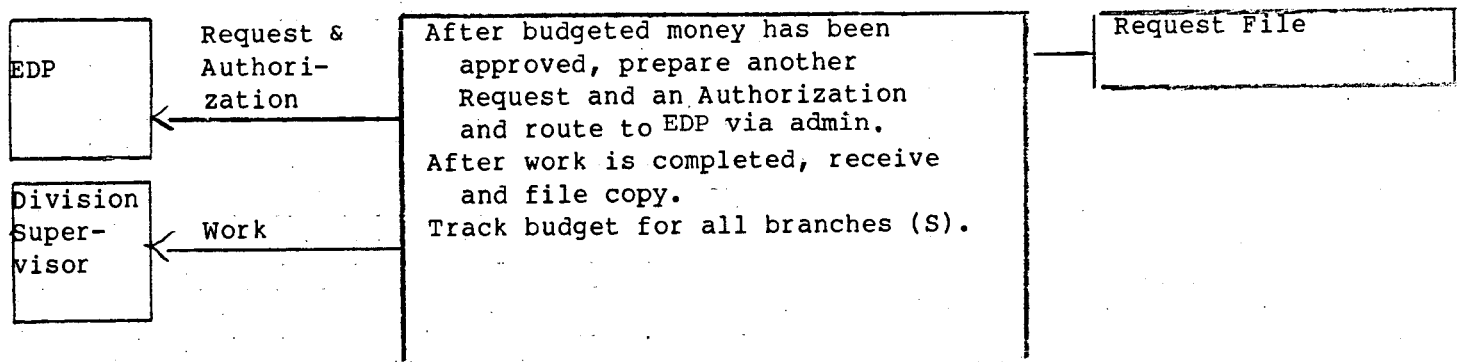
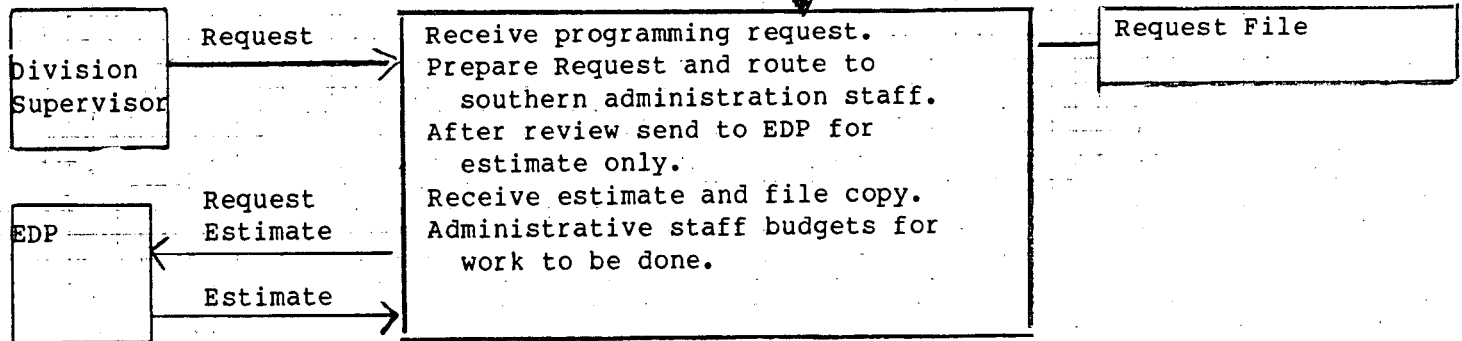


# DIRECT CLAIMS





EDP PROGRAMMING  
REQUESTS



## ACCOUNTING PROCEDURES: ADMINISTRATIVE

As indicated in the prior section the accounting department, in addition to case-related tasks, is responsible for several administrative procedures:

### 1. Payroll

Every two weeks the controller sends to the accounting department blank time cards, a Time Reporting Form (TRF), and a Sick Leave Vacation, Comp. and Holiday Time Report. Accounting department staff distribute the time cards to all court employees. At the end of the two week period court employees submit their completed time cards to the accounting department. Accounting department staff put all time cards into alphabetical order. They are then checked against the Sick Leave, etc. Report to make sure the time taken by employees was available to them. The Time Reporting Form is then prepared to conform the time cards' actual time shown to the TRF time worked. Additionally, the pre-calculated amounts and employee totals are entered. Once a month the accounting department prepares for each judge an affidavit for his or her signature. These signed affidavits are returned to the accounting department and submitted along with the other time cards. Completed time cards, the TRF and the affidavits are routed to the controller and one copy of the TRF is filed in the accounting department file. The Sick Leave, etc. Report is also filed in the accounting department file. The accounting department finally receives and distributes paychecks for all court employees and judges.

## 2. County Stores Purchasing

Usually on a weekly basis the branch manager will gather together any supply requests received from division supervisors. The County Purchasing Agent Stores Catalog is consulted and a Purchasing Agent Stores Requisition is completed for the needed supplies. The request is then routed to the purchasing agent stores and a blue copy of the form is filed in the branch file. When the order is filled the branch will receive the order along with a packing slip. The order will be checked against the packing slip and the blue copy of the request. The supplies are routed to the requesting division. Subsequently the pink copy of the request form showing the billing will be received by the accounting supervisor who is responsible for tracking the entire PA stores budget for all branches.

## 3. Major Purchasing

When a division supervisor requests that a purchase be made for an item valued over \$50 a different form must be used. In this instance a Purchase Requisition Claim is prepared and routed to county purchasing. The green copy is filed in the branch file. County purchasing will route back for filing the original and three copies of the requisition showing the assigned purchase order number. Finally, the order itself will be received and the accounting supervisor must sign and return the original requisition to county purchasing and deliver the ordered items to the requesting division. Again, the budget is tracked for all branches.

## 4. County Printing Requests

When a division supervisor submits a small printing request, a county of San Mateo Printing/Quick Copy Request form is prepared.

The request is routed to the print shop and a copy of the form is filed in a branch file. When the printed order comes in the pink copy of the request form also is received. The printing order is then routed to the requesting division. Subsequently the yellow copy of the request form is received which shows the billing and is filed in the county branch file. The budget is tracked for all branches.

5. Minor Maintenance

A Request for Minor Maintenance form is prepared for any job under \$100 including jury supplies, small repairs and the need to obtain files from the archives. All copies of the form are routed to the accounting office for review, then to General Services. After the maintenance is performed or the order is filled the accounting supervisor receives and files the yellow copy of the request form showing the billing and tracks the budget for all branches.

6. County Work Requests

This form is used for jobs over \$100. If division requests work to be done that is valued at more than \$100, a Work Request will be prepared and routed to accounting office for review, then to General Services for an estimate only. The accounting supervisor will receive the estimate back on the green copy of the request and will file this estimate in the branch file. Administration must then budget for the work to be done. Once the budgeted money has been approved, another Work Request and a Work Authorization are prepared explaining where the money has been approved in the budget, and these two forms are routed to the accounting office for review and to General Services. After the work is completed the accounting

supervisor will receive and file in the branch file the green copy of the request form and track the budget for all branches.

#### 7. Direct Claims

The Direct Claim form or ("blue claim" form) is used to pay reimbursement for mileage for attending meetings, travel advance requests, court reporters for preliminary hearings or pro tems, expert witnesses or stamps. When a claimant submits a claim, the branch manager will prepare a blue Direct Claim form and route it to the accounting office for review. The form is then routed to the controller and one copy is filed in a branch file. The controller will issue a check to the claimant. On occasion a claim may need the approval of the Board of Supervisors; the controller determines which claims require such approval.

#### 8. EDP Programming Requests

These requests are handled much as County Work Requests, except the work is to be done by EDP instead of General Services.

#### 9. Automated System Requirements

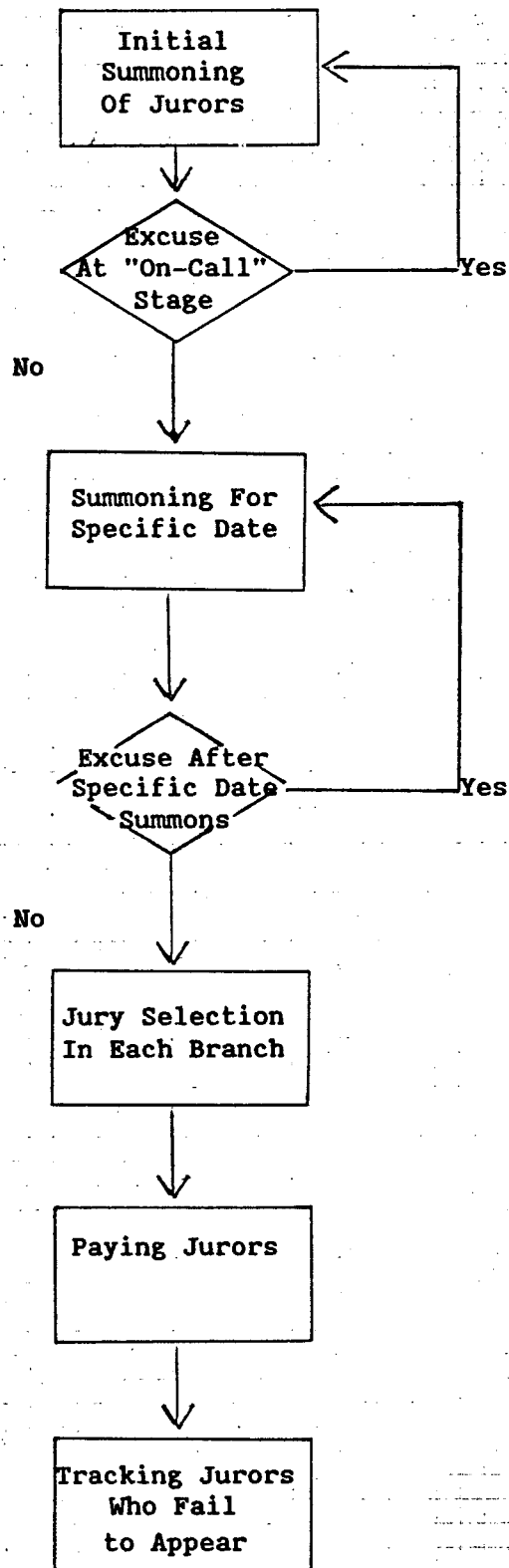
The court should automate its administrative accounting procedures. The system must be able to keep track of personnel and positions. In addition to basic information for each employee it should maintain a history of skills and positions worked, salary increases, sick leave and vacation usage, and disciplinary actions. Automated time-keeping should interface with the county payroll system.

Additionally, all of the various purchasing, maintenance and claims work processed by each branch should be automated. This would mean that the request forms should be generated by computer and interfaces should be available with the County Purchasing

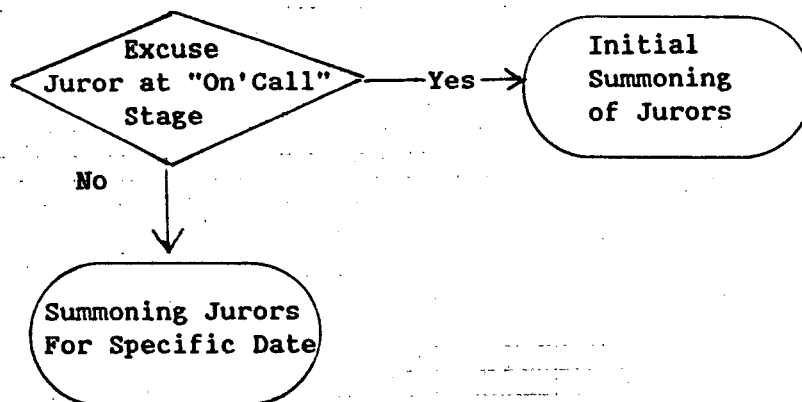
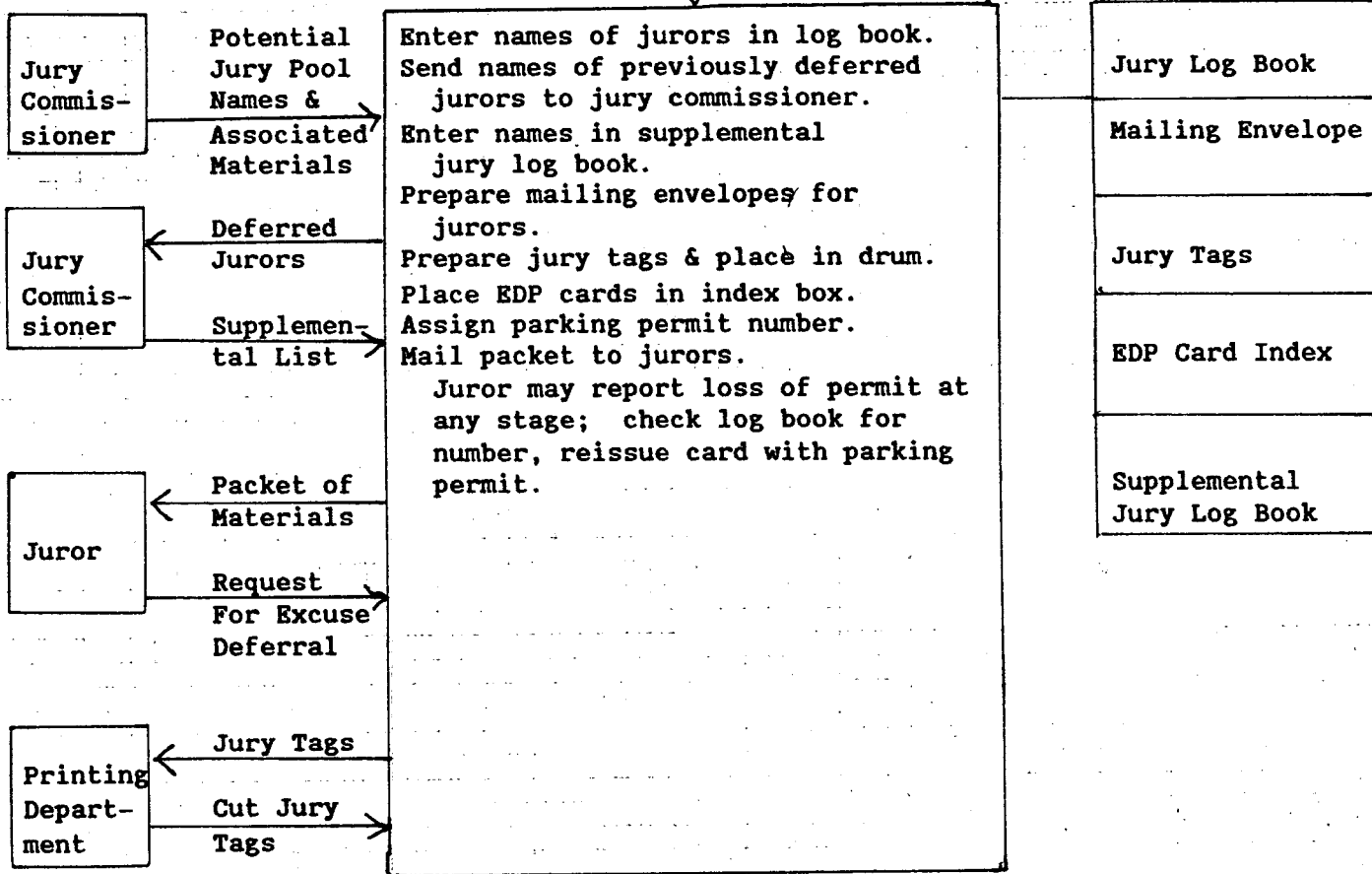
Agency, the General Services Agency and the Controller. The County Purchasing Agent Stores Catalog should be maintained in the computer so that it can be called up on request. The purchasing and maintenance functions should interface the accounting department budget and billing functions.

As well, automation should enable the accounting department to perform a management information system function. Accounting department staff should be able to track account totals on a daily basis and be able to track revenues and expenditures in order to facilitate estimates, projections and other court planning functions.

# JURY MANAGEMENT

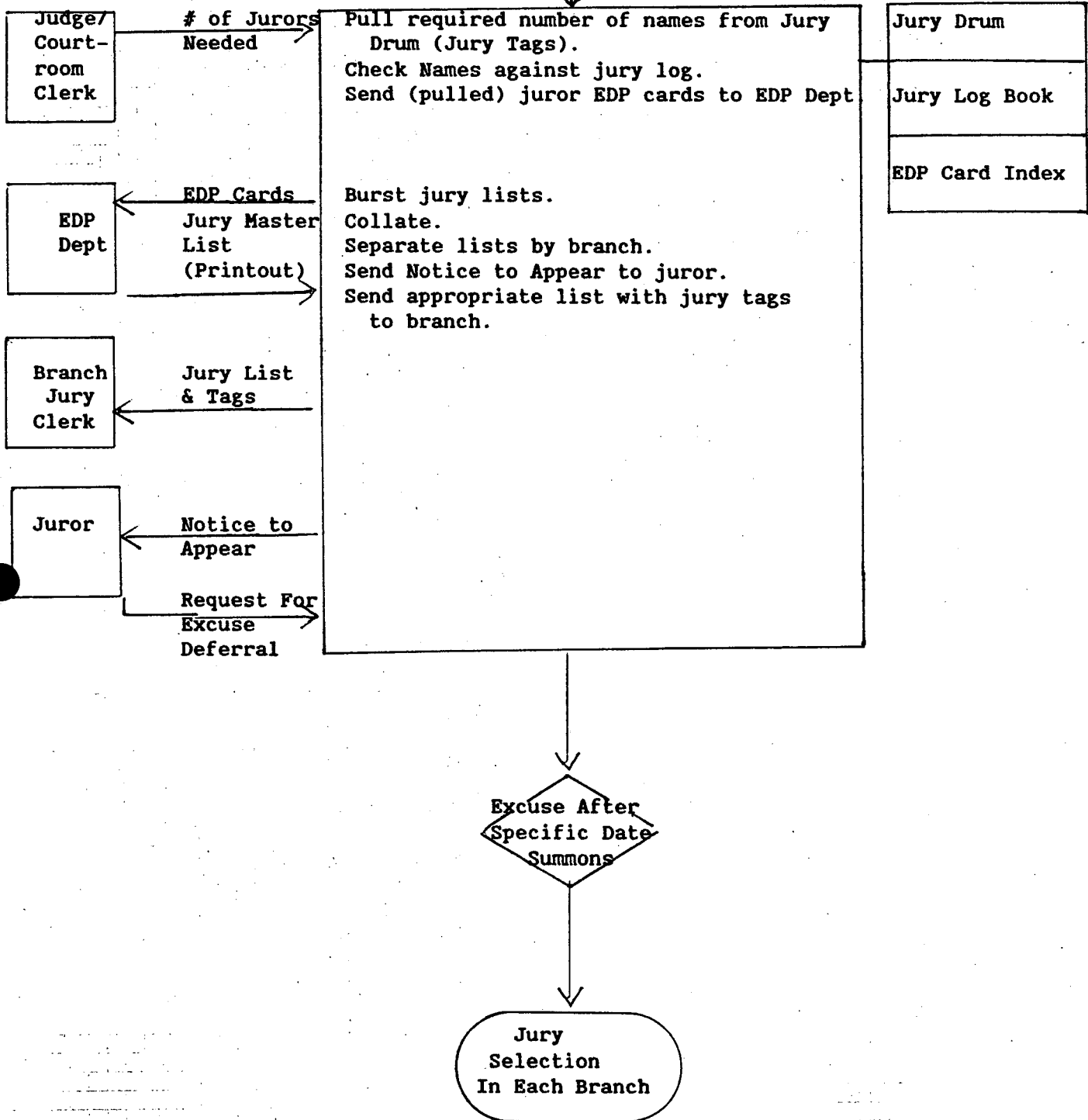


INITIAL SUMMONING  
OF JURORS

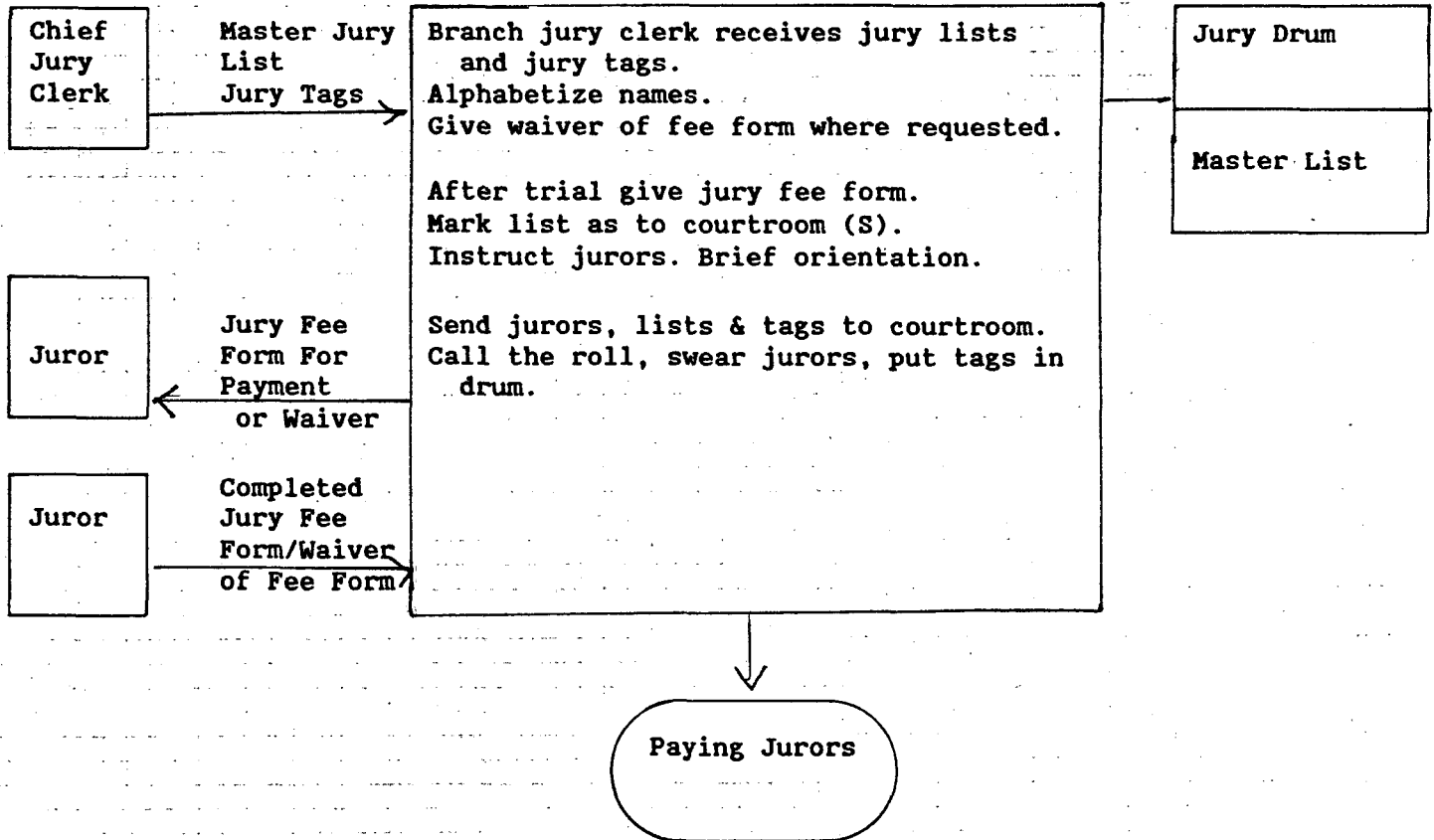




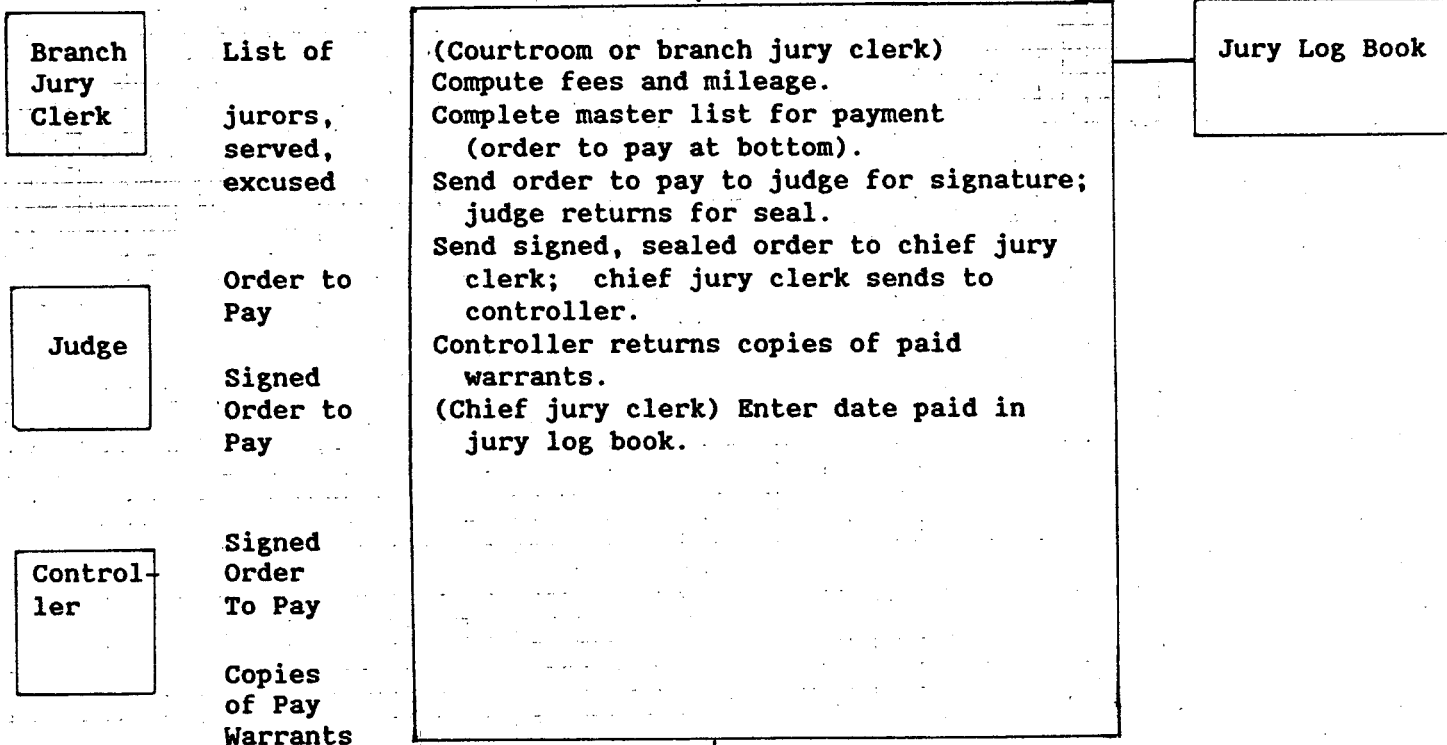
**Summoning Jurors  
For Specific Date**



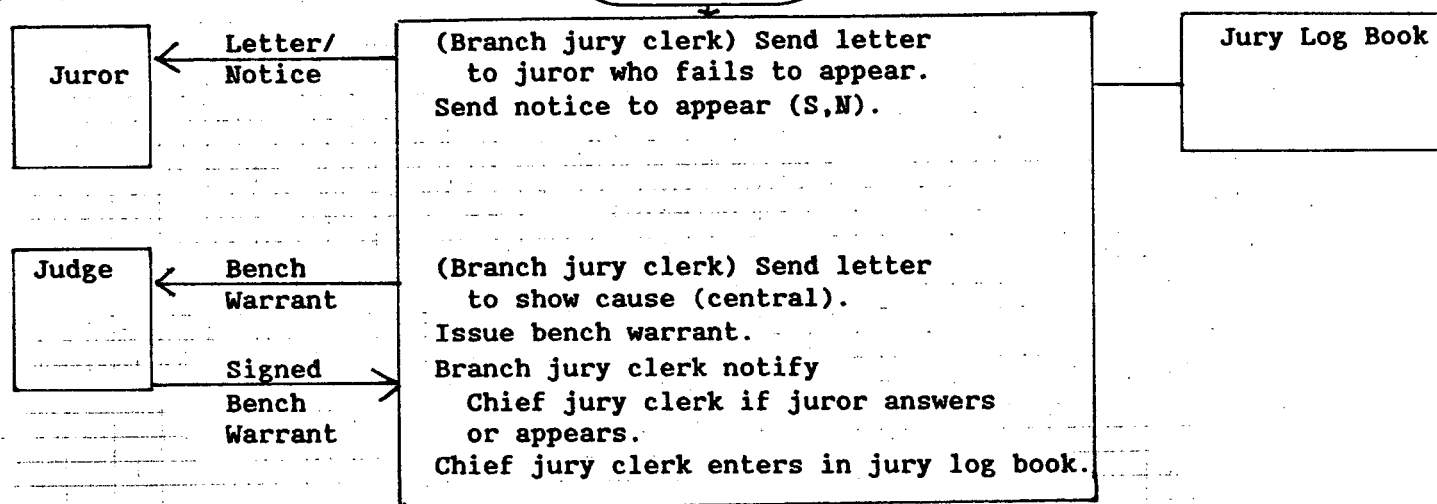
**JURY SELECTION  
IN EACH BRANCH**



# PAYING JURORS



## Tracking Jurors Who Fail to Appear



## JURY MANAGEMENT

### 1. Initial Summoning of Jurors

Each calendar quarter the jury commissioner sends names of 2,000 potential jurors and associated materials containing information for the jurors to the chief jury clerk. Associated materials include affidavits, parking permits, nine sets of labels, EDP (IBM) cards, and jury tags. The chief jury clerk sends names of jurors deferred from a previous quarter to the jury commissioner who forwards a supplemental list of jurors and associated materials to the chief jury clerk in the same manner as the original list.

When the chief jury clerk receives the materials, she takes one set of labels and affixes the names alphabetically, four to a page, in the jury log book. She assigns a parking permit number to each juror, and records the number in the jury log book. She places the EDP cards in an index box. She sends the jury tags, which have arrived preprinted with four names to a card, to the Printing Department to be cut into individual tags with a paper cutter. After cutting, the jury tags are placed in a box until ready to be placed in the jury drum.

The chief clerk assembles juror information, places it in a mailing envelope, and mails one envelope to each juror. When the supplemental list arrives, the chief jury clerk performs the same steps, except that she affixes a set of juror labels in the supplemental jury log book.

At any time throughout the period of service, a juror may notify the chief jury clerk of a lost parking permit. The chief

jury clerk checks the log for the number and reissues the parking permit, obtaining the number assigned to the juror from the jury log book.

## 2. Excusing Jurors At "On-Call" Stage

After receiving the envelope, a juror may request to be excused from service, either permanently, for this quarter, or for a limited time during the quarter. Jurors may call or write with their requests. The chief jury clerk decides whether to grant the request. She enters the decision into the jury log book, places any written request in an alphabetical file, and notifies the juror of the decision by means of a preprinted postcard that is checkmarked "granted" or "denied" in the appropriate box. Notation of action taken is entered into the jury log book. If the juror is excused for the entire quarter, the juror's name is placed on the list of deferred jurors.

## 3. Summoning Jurors for Specific Dates

The judge or courtroom clerk tells the chief jury clerk how many jurors are needed or, as more frequently happens, the chief jury clerk draws the appropriate number of jurors according to a predetermined formula for each branch. The chief jury clerk pulls the required number from the jury drum and checks each juror's name against the jury log to determine whether the juror has been excused. If, after removing the names of excused jurors, the number of jurors falls short of the number required the chief jury clerk pulls additional names. She continues this process until the required number of jurors is selected.

From the index box the chief jury clerk obtains EDP cards of jurors drawn and sends the cards to the EDP department, which

generates a master jury list (a printout) for each branch. After the jury list comes back, the chief jury clerk bursts the list (separates the sheets), collates, and divides the list by branch. She sends a notice to appear that includes the date, time, and place to each juror on the list. She sends the appropriate list to each branch jury clerk, along with jury tags for those jurors.

#### 4. Excusing Jurors after Summons for Specific Date

Some jurors request to be excused after receiving a summons for a particular date. Any request is entered in the jury log book and the written correspondence (if any) is put in the alphabetical file. She then grants or denies the request recording her decision in the jury log book and sends a preprinted card to the juror as she does when excusing jurors after initial summons. Any request to be excused for a specific date that is received on the date of the trial is referred to the trial judge for decision.

#### 5. Jury Selection in Each Branch

The chief jury clerk sends the jury clerk at each branch a master list with the names of the jurors and the jury tags. Each branch has a different procedure at this stage because each branch handles its juries differently. Southern branch jurors are summoned as a pool; northern branch jurors are summoned in a particular panel: A, B, or C; central branch jurors are summoned for one trial and go straight to the courtroom as indicated on their notice to appear. In the southern branch, the branch jury clerk pulls jurors names from the jury drum for each trial, marks the master list as to the courtroom assigned, and sends the jurors to the appropriate courtroom along with the jury tags and lists.

In the central branch, the chief jury clerk checks the list and tags and gives them to the courtroom clerk. Since jurors report in panels to the northern branch, the jury clerk does not have to pull names to assign them. She checks the list and tags and gives them to the bailiff when the bailiff appears to pick up jurors to go to the appropriate courtroom.

In the courtroom, the courtroom clerks pull names of jurors from a jury drum for actual jury selection. As jurors are called and seated or challenged, the courtroom clerk marks the master list with the appropriate action.

#### 6. Paying Jurors

The branch jury clerk or courtroom clerk completes the master list for payment, including, at the bottom of the form, an order to pay for the judge's signature. She sends the form to the judge, who signs and returns it to her to be sealed. The signed and sealed order is then sent to the chief jury clerk. The copy is marked as to jurors who served, the number of days jurors served, excused, or failed to appear. The branch jury clerk also sends juror fee forms or waiver of fee forms which have been completed by each juror. The chief jury clerk sends the order to pay to the controller. After payment, the controller returns copies of the paid warrants to the chief jury clerk, who keeps the copies in her files and records the date of payment in the jury log book. Warrants for payment are sent to the jurors by the controller's office, not by the chief jury clerk.

## 7. Tracking Jurors Who Fail To Appear

Each branch jury clerk sends a letter to jurors who have failed to appear; if no response from the juror is forthcoming, the letter is followed by a notice to appear, which in the absence of a response by the juror is followed by the issuance of a bench warrant. At every stage, if the juror does appear, the branch jury clerk notifies the chief jury clerk, who records the appearance in the jury log book. Names of jurors who fail to appear may not be entered in the cycle to be eligible for jury selection until the warrants have been recalled or vacated.

## 8. Automated System Requirements

Certain core requirements for automation apply to jury management as well as to the case processing system although the terminology used may be different. The system requires on-line data entry and indexing. The jury log book is equivalent to the docket in the criminal case processing system, or the register of actions in the civil case processing system; thus every time an action is taken in the jury selection process, it is recorded in the jury log book.

The jury management system must interface with the jury commissioner so that the jury commissioner is able to automatically transmit the quarterly list of names. These names would be entered by the jury commissioner so the chief jury clerk would not have to enter those names. The system must also be capable of automatically including the names of deferred jurors to the next quarter so that a supplemental jury list is no longer required. This system must also automatically assign a parking permit number to each juror.



Jury management also will include the automatic notice generating capability. Any request that comes in from a juror, whether by phone or by letter, would be entered in the terminal and an addressed letter to the juror automatically generated. The parking permit must be included in this notice generating function as must the mailing label for the jurors' envelope of materials.

In order to summon jurors, the automated system must be able to randomly select names of jurors from the system through appropriate automatic jury generating techniques. The system must be able to automatically determine whether or not a juror has been deferred or excused, therefore every name that is generated at this stage will be a usable juror. The chief jury clerk must not have to check the name against another list to determine whether or not the juror has been excused.

Branch jury clerks must be able to pull up the information on their screens before the trial in order to get their master lists. On the day of the trial, the clerk would review the list to determine which jurors were present and indications of juror appearance would be entered in the computer. If a juror does not appear the system must be capable of generating failure to appear letters automatically. The system must also be capable of automatically selecting jurors' names for jury selection in the courtroom. The system must be capable of on-line entry to identify which jurors are seated or are challenged, whether peremptory or for cause, and the length of juror service.

The system must also be able to generate hardcopy lists of jurors selected so that the appropriate number of copies may be distributed to the attorneys and other necessary parties.

Indications that jurors are unused or challenged must be capable of being entered to the system so the clerks immediately know that these jurors are eligible again for selection.

The system must be able to compute the amount of payment due to jurors and, ultimately, must interface with the controller's office so that the controller's office can issue warrants for payment. Until the time the outside agencies, such as the controller's office, are ready to interface with the Municipal Court system the jury management system should also be able to print out hard copy juror payment forms.

Certification forms (proof of jury service) must also be able to be generated and given to the juror on the day of jury service.

The system must also build in a method of tracking a juror's failure to appear. If the clerk does not enter a juror appearance by the appropriate day the system automatically must generate a second notice to appear and, if no appearance is entered, the system must automatically indicate that a bench warrant must be issued. Once the bench warrant is issued, the system also must indicate that the juror cannot be summoned again until the bench warrant has been recalled or vacated.

I. Management Information Systems for the San Mateo County  
Municipal Court

1. Automating the Judicial Council Reporting Process

The data requirements for automating the indexing, docketing and jury management functions of the court will allow the system to be programmed to satisfy Judicial Council reporting requirements. Developing this application will eliminate the somewhat error-prone manual system currently employed in which branch clerks gather hand-written counts and forward them to the accounting section; there additional forms and manual calculations are used to compile statistics for the Judicial Council. What makes this application particularly attractive is that its accomplishment will eliminate a number of tedious tasks for the section clerks and the branch clerk, while requiring minimal new inputs.

Currently, the Judicial Council requires three monthly reports:

- 1) The Municipal and Justice Court Summary Report
- 2) The Report of Condition of Calendar
- 3) The Report of Assistance

The Municipal and Justice Court Summary Report

The Municipal and Justice Court Summary is a monthly tally of the total number of cases filed (civil and criminal) in each branch during the previous calendar month as well as the number of dispositions in each branch for that time period. Reports of dispositions are broken into a myriad of categories, which will be described in detail below. Programs can be written to extract dated events from the Register of Actions, and count the number of

events by category to satisfy the Judicial Council's demands. These extracts can then be printed in standard report formats, or they can be fed directly into Judicial Council computers via telecommunications links.

#### Criminal Accusations Tally

The Criminal Proceedings data for this report are first divided according to the severity of the crime in eight basic categories. The summary lists the total number of defendants accused in each of these categories:

- 1) Felonies
- 2) Non-Traffic Misdemeanors (Group A)
- 3) Non-Traffic Misdemeanors (Group B)
- 4) Non-Traffic Infractions
- 5) Traffic Misdemeanors (Group C)
- 6) Traffic Misdemeanors (Group D)
- 7) Traffic Infractions
- 8) Illegal Parking

#### Criminal Disposition Tallies

The summary also lists the total number of dispositions in each of the eight criminal categories. Additionally, the summary further breaks down disposition tallies into 14 sub-groups. Naturally, some types of crimes or infractions do not lend themselves to some of these sub-groups. Therefore, for ease of reference, the sub-groups are listed by number below (the numbers correspond to reference numbers on the Judicial Council's summary report form):

- 02 - Bail forfeiture
- 03 - Dismissal without appearance
- 04 - Dismissal after court appearance
- 05 - Transferred to another court
- 06 - Pleas of guilty
- 07 - Acquitted or dismissed by court (before evidence)

- 08 - Convicted or bound over by court (before evidence)
- 09 - Juvenile order by court (before evidence)
- 10 - Acquitted or dismissed by jury (before evidence)
- 11 - Convicted by jury (before evidence).
- 12 - Acquitted or dismissed by court (after evidence)
- 13 - Convicted or bound over by court (after evidence)
- 14 - Acquitted or dismissed by jury (after evidence)
- 15 - Convicted by jury (after evidence)

The automated reporting system will need to extract sub-group tallies for criminal tallies as follows (sub-groups are referred to by their codes):

- 1) Felonies: 02-08, 12 and 13.  
Among felony cases, there are subsections for felonies that have been downgraded to misdemeanors in two categories, 17b (5) PC and "Other." These subcategories require extracts only of sub-group data for 06-08 and 10-15.
- 2) Non-Traffic Misdemeanors (Group A): 02-15
- 3) Non-Traffic Misdemeanors (Group B): 02-15
- 4) Non-Traffic Infractions: 02-09, 12 and 13
- 5) Traffic Misdemeanors (Group C): 02-15
- 6) Traffic Misdemeanors (Group D): 02-15
- 7) Traffic Infractions: 02-09, 12 and 13
- 8) Illegal Parking: 02-09, 12 and 13

#### Criminal Proceedings - Other Data

In addition to totals for defendants accused and dispositions, the Municipal and Justice Court Summary Report requires miscellaneous tallies in the following seven sub-groups (again, numbers correspond to codes on the summary form):

- 17 - Probation Hearings
- 18 - Defendants Diverted (CPC Section 1000.2)
- 19 - CPC Section 1538.5 motions
- 20 - Juries sworn
- 21 - Settlement of statements and/or transcripts on appeal
- 22 - Pretrial settlement conferences
- 36 - Hearings on failure to appear

The automated system will have to extract sub-group data for criminal categories as follows:

- 1) Felonies: 18, 19, and 22
  - a) CPC Section 17b (5) Felony/ Misdemeanor: 17-22 and 36
  - b) "Other" Felony/ Misdemeanors: 17-22 and 36

- 2) Non-Traffic Misdemeanors (Group A): 17-22 and 36
- 3) Non-Traffic Misdemeanors (Group B): 17-22 and 36
- 4) Non-Traffic Infractions: 17, 21 and 36
- 5) Traffic Misdemeanors (Group C): 17-22 and 36
- 6) Traffic Misdemeanors (Group D): 17-22 and 36
- 7) Traffic Infractions: 17, 21, and 36
- 8) Illegal Parking: 17 and 21

#### Civil Proceedings Tallies

Civil proceedings are divided into only two categories: Small Claims and Civil, and the total number of cases filed and the total number of dispositions are tallied for each. In addition, disposition tallies are kept for the following sub-groups (coded according to Judicial Council forms):

- 24 - Dismissed for lack of prosecution (before trial)
- 25 - Other dismissals and transfers (before trial)
- 26 - Summary judgments (before trial)
- 27 - All other judgments (before trial)
- 28 - Disposition by the court before evidence
- 29 - Disposition by the jury before evidence
- 30 - Disposition by the court after evidence
- 31 - Disposition by the jury after evidence

The automated system must extract tallies of all the foregoing sub-groups for the civil category of civil proceedings. It must extract only the following subgroups for the small claims category: 24, 25, 28, and 30.

Four sub-groups of "Other Data" are required in the Civil Proceedings tallies (by Judicial Council form codes):

- 33 - Hearings before trial
- 34 - Hearings after trial
- 35 - Pretrial settlement conferences
- 37 - Juries sworn

The automated system must extract tallies for all four sub-groups in the civil category. It must extract a tally of only one sub-group for the small claims category: Hearings after trial (34).

### Report of Condition of Calendar

The Report of Condition of Calendar records a number of statistics that show how rapidly trial cases are being disposed of within the branch and how many cases are set for future trial. To satisfy these reporting requirements, the automated system will have to calculate the number of days between key events in the history of cases that have been disposed of as well as the number of days between the reporting date and the trial dates of cases set.

Tallies for criminal case dispositions must be divided into two categories: jury and nonjury cases. The calculations will tally the number of cases disposed of in each category by the time elapsed from arraignment to trial as follows:

- 1) 45 days or less
- 2) 46-90 days
- 3) 91-180 days
- 4) Over 180 days

Similarly, tallies for civil cases are also categorized by jury and nonjury cases according to the time elapsed from memorandum to set and actual trial date as follows:

- 1) 90 days or less
- 2) 91-180 days
- 3) 181 days to 12 months
- 4) 12-18 months
- 5) Over 18 months
- 6) Median time (in months)

Additional tallies are required for the number of civil cases in which memoranda to set have been filed but no trial date has been assigned. These tallies are simply by jury or nonjury cases.

Also, the report requires a tally of all cases set for future trial (a) within 30 days, (b) in 31-180 days, and (c) in 181 days or more. This section of the report requires extracts for Small

claims, civil jury, civil nonjury, criminal jury, and criminal nonjury cases.

#### Report of Assistance

The Report of Assistance documents the use of attorneys acting as judges, commissioner service days, and the use of referees. The report was designed more as a log than a summary report, and demands only three totals: the total days served by attorneys, commissioners and referees. Programs can be written to search through all court cases to find these exceptions to the normal judicial service patterns, to log each individual exception, and to tally the exceptions by category. This specific section of the Judicial Council report is discussed below.

#### 2. Additional Management Information Needs

Many of the management information applications for a court computerization project are obvious, either because reports are demanded by a government agency or because the burdens of manual methods are so great for so many. Such applications, especially California Judicial Council reporting, will benefit from automation. They also will open the door to a variety of improvements in the gathering and processing of all types of information that could be useful in planning and managing court operations.

For instance, the San Mateo County Municipal Court will require the new automated system to have computer terminals in each courtroom. In-court clerks would log on and off of these terminals whenever court is in session and key in certain information about the proceedings occurring before them in addition to case-related docket information. Programs can be



written to extract and manipulate these data to provide reports based on a variety of criteria. Careful scrutiny of these reports may allow judges and court administrators to analyze the efficiency of calendaring techniques employed in the court. Changes in time required to hear different case types can be assessed through this process. For instance, legislation may require new procedures for trying DUI cases. A simple analysis of the number of cases that can be handled within a given timeframe would alert the judges and court administrator to increased workload not evident in an analysis of either filings or dispositions.

When a court clerk logs on, an indication of who is presiding can be made. This will enable the court to automatically capture the number of days of service provided to the court by out-of-jurisdiction judges or commissioners which must be reported to the Judicial Council. Reports can also be generated for the presiding judge to review courtroom activities for each department.

Another concern of the San Mateo courts is tracking the use of interpreters in court including the number used, the hours or days used, their cost, the relationship of interpreter use to filings and case types, and the languages for which interpreters are used. Such information can be gathered by in-court clerks while proceedings are in progress, and reports can be generated that not only report actual usage figures, but which also calculate usage trends by comparing current use statistics to those of previous months, quarters or years.

Of particular interest to the San Mateo courts are reports characterizing the number and length of continuances granted.

These reports could be easily generated from docket data. Suggested formats include number of continuances, by judge, by case type, by event continued and by length of continuances.

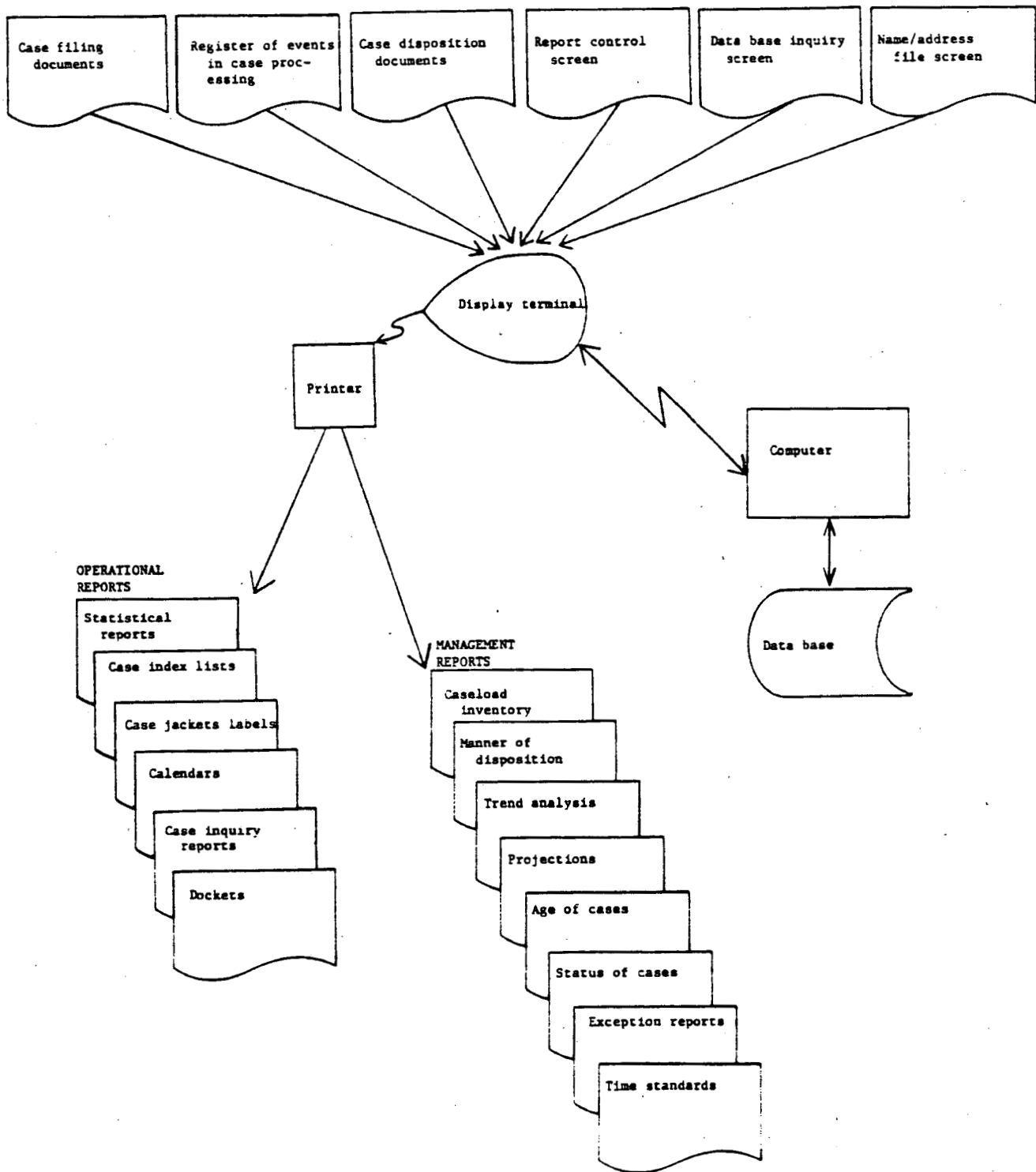
The information reported to the Judicial Council will provide court managers with caseload filing and disposition data. These data must be collected and reported in the format required by the Judicial Council.

There are a number of reports that are not included in the Judicial Council requirements that will assist the court in its management. The new automated system will have to provide additional, standardized, management reports automatically generated at pre-set intervals. The following overview chart shows management information reporting as a major element of the automated system.

There must be careful consideration in programming the reporting capabilities of the new system. First, the tendency of court managers is to require every report that can be considered of possible use. In many instances, much of the information generated goes unused. The reports required and generated should be reviewed for their usefulness. More importantly, perhaps, is the reporting of information which is not useful because it isn't exactly what is needed. Often a minor modification in the data reported would make the data useful. Too often these modifications cannot be made without great difficulty. Therefore, the reporting system must be flexible enough to allow modification of reports and to generate independent ad hoc information.

## Automated Systems Overview

### Management Reports as an Integral Component of the System\*



\* Court Case Management Information Systems Manual, NCSC, 1983, p.132.

The National Center for State Courts recommends that the San Mateo County Municipal Courts use as its basis for planning a management information system the Court Case Management Information Systems Manual, which was published in 1983 by the NCSC and the Conference of State Court Administrators. The manual is the result of nearly nine years of research and evaluation of court data collection practices, both manual and automated, in all types of jurisdictions. The manual details the relationships of data sets collected to output reports that can be produced, and recommends model output reports. The key model output report categories are the following:

- 1) Caseload inventory reports
- 2) Manner of disposition reports
- 3) Caseload per judge
- 4) Trend analyses
- 5) Caseload projections
- 6) Age of cases
- 7) Status of pending cases
- 8) Case exception reports

The manual provides a number of examples of specific reports that can be generated within each of these categories. For instance, within the first category, "Caseload Inventory," the manual details the structure for a proposed summary report showing caseloads by case type and whether beginning pending, filed, disposed, or end pending. In addition, the manual suggests the generation of caseload inventory reports by percent of total caseload filed for each type of case; change in pending, number, and percent; disposed cases as a percent of filings; and end

pending cases as a percent of filings. This information is similar to that required by the Judicial Council.

The areas that are not covered in Judicial Council reporting include trend analyses, caseload projections, age of cases, status of pending cases, and case exception reports.

What the Court Case Management Information Systems Manual does not address, and what is of great importance to the court is a budget and revenue information system. Financial management information reporting must follow standard acceptable accounting practices. For accounting reporting purposes a court is no different than any other corporate entity.

The legal requirements that must be followed by the court make the accounting system more complex, however, and necessitate constant monitoring.

The principal money flow into courts is composed of fines, fees, forfeitures and costs, much of it attributable to traffic cases and relatively little to other case types. Some of this money is collected in the form of cash, constituting a major point of vulnerability in the accounting system. The money flow is also characterized by the following complexities:

- 1) a broad variety of cash, fees and fines which may be improperly assessed;
- 2) partial payment systems for those unable to make a lump sum payment;
- 3) often major problems of collecting money due the court; including followup on bad checks;
- 4) problems (usually minor) of refunds due to successful appeals or some computational mistake; and
- 5) complicated formulas for dividing the money between various governmental bodies.

Fundamentally, a budget information system should document and track three categories of information:

- 1) Funding sources, amounts, and trends
- 2) Expenditure types, amounts, and trends
- 3) Revenue generated by court operations: sources, amounts and trends.

(Note: Court system funding levels should not suffer the onus of being determined by the court's ability to generate revenue. As such, a budget information system should avoid making comparisons between court costs and court-generated income.)

In theory, court-generated income information can be easily gathered from the data collected as the cases are processed (i.e., fines levied, fines collected, other court costs assessed). More than any other section of the court, automation will require fundamental changes in practices and procedures. Though the changes will be welcome (considering the unwieldy manual system currently in use), they will require careful analysis and programming as well as possible policy and personnel changes that may be difficult to make.

Once these hurdles are overcome, however, a variety of reports can be produced to allow all who are involved in the accounting process to look at court financial data in new and enlightening ways.

Of particular significance may be trends in expenditures by source: state appropriations, county support, municipal support, and federal sources. Such reports can quickly highlight dependence on funding sources and provide a planning tool for ensuring stability of court resources. Similarly, trends in

expenditures by type can be equally revealing, especially if computer graphics are utilized to plot five- and ten-year projections showing the relative importance of various expenditure items. Even more revealing might be graphing actual expenditures and caseloads for an extended time period.

An adequate budget information system will also provide the court with a more manageable way of collecting money paid into the court for fines and bail. The reports now manually generated will become part of the automated system. The system will enable the court to monitor the frequency of errors in the collection of fines and fees as well as give judges a way of checking on the completeness and accuracy of fine collections. Elements to be reported by such a system will include installment payments, nonpayment, following up on bad checks, and daily cash reconciliation practices.

#### IV. DATA DICTIONARY



DATA DICTIONARY

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PR	JM	AC
Account Name	Automation, Judge's retirement, etc.	Presently are 58 accounts.							X
Agency Name	Police, county, state. See also "Arresting Agency".	Presently are 36 agencies.							X
Alias	Fictitious name used by defendant.	Last name, first, middle.				X			
Approximate Speed		3 char.					X		
Arbitration Hearing Date	Date of hearing calendared and held by arbitrator.	mm/dd/yy	X						
Arbitrator Address	Mailing address of arbitrator.	Address, city, state, zip code.	X						
Arbitrator Award	Award made by arbitrator; entered by clerk if no demand for trial by parties.	Address, city, state, zip code.	X						
Arbitrator Fee	Amount of fee due arbitrator.	Payable by co., if ct. ordered. Held in trust by co. if stipulated or elected by parties.	X						
Arbitrator Name	Name of arbitrator from qualified list.	Last name, first, middle.	X						
Arrest Date	Date defendant was arrested.	mm/dd/yy		X					
Arresting Agency	Usually preprinted on citation.	A two-char. code.				X			
Attorney	Attorney or firm representing a party; mailing address, and telephone number.	May use bar number as code, 5 char. last, first name; address, city, state, zip code, telephone number.	X			X	X		
Attorney Fees Schedule	List of court approved attorney fees.	Range of numbers.	X			X			
Attorney Termination Date	Date attorney ceases to be responsible for the representation of a party or parties (the defendant for criminal cases).	mm/dd/yy	X			X			
Bail Amount	Amount of bail that is set.	Address, city, state, zip code.		X		X	X		X
Bail Backed Out Amount	If left blank, system to provide.	Address, city, state, zip code.		X		X	X		X
Bail Bondsman Address	Breakdown by account & agency.	Address, city, state, zip code.		X		X	X		X
Bail Bondsman Name	Mailing address of bondsman.	Last, first name.		X		X	X		X
Bail Discharge Amount	Licensed bond agency or bail bondsman.	Address, city, state, zip code.		X		X	X		X
Bail Discharge Date	Amount of bail returned to surety.	mm/dd/yy		X		X	X		X
Bail Exonerated Amount	Date bail is returned to surety.	mm/dd/yy		X		X	X		X
Bail Exonerated Date	Breakdown by account & agency.	mm/dd/yy		X		X	X		X
Bail Forfeited Amount	Date bail is exonerated.	mm/dd/yy		X		X	X		X
Bail Forfeiture Date	Breakdown by account & agency.	mm/dd/yy		X		X	X		X

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Bail Posted Amount	Amount of bail paid by surety, bondsman, or defendant.	\$\$\$\$\$				X	X	X	X
Bail Posted Date	Date that defendant, surety, or bondsman pays bail.	mm/dd/yy				X	X	X	X
Bail Reinstatement Date	Date bail is reset by the court after bail forfeiture.	mm/dd/yy				X	X	X	X
Bail Schedule	Section, code, FBI, type, P.A. elig., priors elig, mand. appear, abstract, bail, POC, desc.	Used when court must compute fine on warrant or initial bail on traffic citation (15 pp long).				X	X	X	X
Bail Type	Category or classification of bail ordered.	Cash or bond.				X	X	X	X
Balance Due Amount	Does not necessarily reflect an open citation; rather that some amount less than whole original amount paid. Could reflect a compliance.	\$\$\$\$\$				X	X	X	X
Branch Court	Name of the branch court in the county.	Northern, Central, Southern.	X	X	X	X	X	X	X
Car Make	Code description.	See DMV vehicle make code book.	X	X	X	X	X	X	X
Case Event Date	mm/dd/yy	Together, these entries make up the full "docket" or "register of actions."	X	X	X	X	X	X	X
Case Event Description	Any case event after filing and before disposition, including court appearances and papers filed.	Assigned sequentially through prenumbered file folders by the clerk of court at the time the first paper is filed in the case, or sequentially by police (parking) or computer (traffic). Is citation number for parking cases.	X	X	X	X	X	X	X
Case Number	Primary case identifier.								
Case Title	Name of case, plaintiff v. defendant, people v. defendant.	Last name of plaintiff or "people of CA," last name of defendant or other identifier.	X	X	X	X	X	X	X
Cash Register Receipt Agency	About 20 char. each line	Shows agency code and fee breakdown for each payment.	X	X	X	X	X	X	X
Cash Register Receipt No.	Each receipt separately numbered.	6 char.	X	X	X	X	X	X	X
Charges	Code/sect., description, PA elig, bail w/out POC bail w/POC, penalty assessment, night court assessment, whether mandatory court appearance and reason, whether warrant issued and date.	As presently entered in computer and appearing on envelope. See also "Violation Description".					X		

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Citation Issue Date	Date citation issued.	mm/dd/yy						X	
Citation Issue Time	Time of day issued.	4 char. - military time.						X	
Citation Number	Assigned sequentially by issuing agency.	6 char., pre-printed.						X	
Claim Amount	Amount of damages sought by plaintiff.	Also used as case number for parking cases.							
Clerk Name	Name of clerk effecting transaction.	\$\$\$\$\$							
Clerk's Initials	Initials of clerk effecting transaction.	Last name, first name, middle initial.							
Code Section	Identification of charge against the defendant.	3 char.							
Commitment Date	Date defendant committed to jail.	Penal code, vehicle code, health and safety code, etc.							
Complainant Name	Name of person or law enforcement officer signing the complaint.	mm/dd/yy						X	
Conditions of Probation/Diversion	Supervised or court probation, modifications; jail, fine, restitution; standard terms, program terms; license status including restrictions, suspensions, revocations; other terms and additional conditions.	Last name, first name, middle initial and title. Variations in conditions require some free form text.						X	
Continuance Date	New date for case event.	mm/dd/yy							
Continuance Number	Number of times proceeding continued.	2 char.						X	
Court Clerk	Court clerk responsible for recording minutes at the case event.	Last name, first name, middle initial or just initials.						X	
Court Findings	Description.	From court docket/minutes.							
Court Id.	A 2-char. code.	Branch description (?)						X	
Court Reporter	Court reporter present at the case event.	Last, first name.						X	
Court Reporter Address	Mailing address of court reporter.	Address, city, zip code.						X	
Court Trial Date and Time	Date for court trial.	mm/dd/yy, day and time.						X	
Courtroom Assigned	Courtroom to which case is assigned.	4 char.						X	
Custodial Status	After proceedings, defendant commitment or release.	Custody of sheriff, or, to bail with dollar amount, free on bail.						X	
Date Car First Reg. by R/O	CLETS.	mm/dd/yy						X	
Date Car Sold to R/O	CLETS.	mm/dd/yy						X	
Date of Birth	Date of birth of defendant.	mm/dd/yy						X	
Defendant Address	Mailing address of defendant.	Number, street, apartment number, city, state, and zip code.						X	
Defendant/Driver's Name	Name of party charged with an offense.	Last name, first, middle.						X	
Defendant Telephone Number	Home phone number of defendant or number where defendant can be reached.	8 char.						X	

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Deputy D.A.	Name of prosecutor assigned to the case.	Last, first name.					X		
Direct Claim*	Date, department, name and address of claimant quantity description, price, organization number. account number.								X
Dishonored Check Amount		\$\$\$\$\$							X
Dishonored Check Date		mm/dd/yy							X
Disposition	Outcome of case event.								X
Disposition Date	Date of disposition of case.	mm/dd/yy			X	X	X	X	X
Driver's AKA	Last, first, middle name.	CLETS, Convelope.			X	X	X	X	X
Driver's Abstract	Convictions: status, court, docket no., viol. date conv. date, dispo., jail, fine, sections violated.	Convelope, DMV interface.					X	X	
Driver's Address	Mailing address of driver, CLETS, Convelope.	Address, city, state, zip code.						X	
Driver's DOB	CLETS, Convelope.	mm/dd/yy						X	
Driver's Eye Color	CLETS, Convelope.	3 char.						X	
Driver's Hair Color	CLETS, Convelope.	3 char.						X	
Driver's Height	CLETS, Convelope.	4 char.						X	
Driver's License Class Des.	CLETS, Convelope.							X	
Driver's License Exp. Date	CLETS, Convelope.	mm/dd/yy						X	
Driver's License No.	Driver's (traffic). CLETS, Convelope.	8 char.						X	
Driver's License Restrictions	CLETS, Convelope.	Description.						X	
Driver's License Status	CLETS, Convelope.	Valid, suspended, restricted, etc.						X	
Driver's/Defendant Race	CLETS.	1 char.						X	
Driver's/Defendant Sex	CLETS, Convelope.	1 char.						X	
Driver's Weight	CLETS, Convelope.	3 char.						X	
Driving History Description	DMV action: reason, status, code, mail date, effective date, code, service date, driving priv. reinstated, action terminated.	Convelope, DMV interface.						X	
Entry of Judgment	Date judgment entered.	mm/dd/yy			X	X			
Exhibits	Numbers admitted for people and defendant.	From court docket/minutes.			X	X	X	X	
FTA's	Convelope.	Number, 2 char.						X	
FTA'S	Convelope.	Number, 2 char.						X	

\*Asterisks indicate an administrative form. Items not separately listed since they may not become part of automated system.

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Fee Amount	Amount of fee received. Received on first appearance and at filing of certain other papers.	\$\$\$\$\$		X	X				
Filing Date	Date that the complaint is received by the clerk.	mm/dd/yy	X	X	X				
Fine Amount	Amount of fine imposed.	\$\$\$\$\$			X	X			
Fine Paid From Trust Amount	Breakdown by account & agency.	\$\$\$\$\$							X
In-Custody Court List	Name, violation, status.	CLERKS, Jail.			X	X			
Interpreter Name	Name of qualified person to serve as interpreter.	Last name, first, middle.			X	X			
Jail Days	Total number of days defendant or party has been incarcerated pending disposition.	3 char.			X	X			
Jail Release Date	Date defendant or party is released from jail or facility for any reason.	mm/dd/yy			X	X			
Judge	Name of judge presiding at case.	Name or initials.	X	X	X	X			
Judge's Affidavit*	No. matters pending over 90 days.	Prepared for judges signature.							X
Judgment Amount	Dollar amount of judgment.	\$\$\$\$\$	X	X					
Judgment Creditor	Name of party for whom judgment entered.	Last name, first, middle initial.	X	X					
Judgment Creditor Amount	Amount of judgment owed to creditor.	\$\$\$\$\$	X	X					
Judgment Date	Date judgment entered in case.	mm/dd/yy	X	X					
Judgment Debtor	Name of party against whom judgment is entered.	Last name, first, middle initial or business name.	X	X					
Judgment Debtor Amount	Amount of judgment assessed against debtor.	\$\$\$\$\$	X	X					
Judgment Satisfied Date	Date judgment satisfied.	mm/dd/yy	X	X					
Juror Address and Telephone Number	Mailing address and telephone number of juror.	Address, city and zip code, home and work telephone numbers.							X
Juror Attended	Date(s) juror actually served.	Number of days juror served to determine juror fees (+ mileage). 2 char.							X
Juror Mileage	No. of miles traveled by juror.	Miles per day x number of days + days served-for payment.							X
Juror Name	Potential juror serving in quarter.	Last name, first, middle (or middle initial).							X
Juror Paid Date	Date juror paid by controller.	Date of issuance of county warrant for payment. mm/dd/yy							X
Juror Summoned	Date juror required to appear.	mm/dd/yy							X

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Jury Panel	Jurors called for trial and sworn or challenged at seating.	Seated, challenged for cause, challenged peremptorily.	x			x	x		x
Jury Trial	Court time and date for jury trial.	mm/dd/yy, day, time.	x			x			
Last Court Date	This is a parking status date.	mm/dd/yy						x	
Last Disposition	Parking citation status.	3 char.						x	
Last Year Convictions	Convelope.	Number, 2 char.					x		
Local FTA's	Convelope.	Number, 2 char.					x		
Local FTP's	Convelope.	Number, 2 char.					x		
Location/City Code	Convelope.	Where violation occurred.					x		
Maximum Speed	MPH	2 char.					x		
Method of Payment	Standard phrase used to describe a proceeding at the case event.	Check, cash, money order.	x	x	x	x	x		
Minute Entry	Standard phrase used to describe a proceeding at the case event.	Varying length.							
Number Cases Scheduled	Number of cases scheduled on calendar.	2 char.	x	x	x	x	x		
Number of Depositing Organization	Citing officer's badge number.	Deposit Permit.							
Officer Id.	By cash register on a daily basis.	4 char.					x		
Overage/Shortage Amount	CLETS.	Keep on separate report.					x		
PIN No.	Individual number of permit.								x
Parking Permit Number	Mailing address of party.	Allows juror to park free at 10 hour parking meter.							
Party Address	Name of party to a case.	For pro per party; street address, city, state, zip code.	x	x					
Party Name	For receipt.	Last name, first, middle initial.		x					
Payor's Address	For receipt.	Address, city, state, zip code.							x
Payor's Name	Plea of defendant: guilty, not guilty, no contest.	Last, first name.				x	x	x	
Plea Type	Name of police agency of sheriff.					x	x	x	
Police Agency Name	Telephone number.	10 char.				x	x	x	
Police Agency Telephone Number	Name of testifying witness.	See also "Officer Id."				x	x	x	
Police Officer	Organization number, authorizing person, phone number, number of originals, number of copies, request date, date wanted, form title, instructions.								x
Printing/Quick Copy Request*									

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Probation Officer	Probation officer assigned to the case.	Last, first, middle name.				X	X		
Proof of Completion	Date defendant completed required program.	mm/dd/yy				X	X		
Purchase Requisition*	Requestor, phone, requested date, shipping address, quantity, units description, organization number, account number.								X
Purchasing Agent Stores Request*	Organization number, activity number, item code, account number, item description, quantity, unit, of issue, authorizing person.								X
Reason for Waiver	FTA, FTP, etc.					X	X	X	X
Register No.	Where entry being made.	2 char.							
Registered Owner Name	DMV interface for parking.	Last, first name.							
Registered Owner Address	DMV interface for parking.	Address, city, state, zip code.						X	
Request for Minor Maintenance*	Requesting organization, date, phone number, department, location, service request.								X
Restitution Amount	Amount of restitution ordered.	\$\$\$ddd				X	X		
Return of Service	Date summons served on defendant.	mm/dd/yy							
Sentence	Length of time defendant to serve or description of other disposition including conditions of probation or diversion, fine, restitution.	Entry length may vary. Disposition variations require free form text.							
Sentence Date	Date sentence is imposed.	mm/dd/yy				X	X	X	
Service Method	Method of service of summons.	Personal or subservice; (or) certified mail in small claims.				X	X		
Social Security Number	Social security number of defendant.	11 char.							
Start Time	Time that the event begins or starts after continuation/recess.	Used to record length of proceedings.				X	X	X	
State(Drivers Lic./Car Lic.)	2 char.	4 char. military time.						X	
Stop Time	Time that the event stops either for continuation/recess or the end of proceedings.					X	X		
Surety (Company) Address		Address, city, state, and zip code.				X	X	X	
Surety (Company) Name		Last, first, middle name or full company name.				X	X	X	
Telephone Number	Home or work telephone number of party.	For pro per party, 10 char.				X	X		

NAME	DEFINITION	COMMENT	CI	SC	CR	TR	PK	JM	AC
Terms of Warrant		Whether defendant is admitted to bail, amount of bail; whether bail forfeited or appearance mandatory; whether release on promise to appear.					x	x	x
Title of Depositing Organization	Court name and branch.	Deposit Permit.							x
Today's Date	Amount actually paid to date.	mm/dd/yy					x	x	x
Total Amount Paid	Convelope, DMV interface, CLETS.	\$\$\$\$\$					x	x	x
Total Convictions	By agency or account on a daily basis; by register and total.	2 char. Deposit Permit and Ledgers.							x
Total Funds to be Disbursed	By agency and account on an accounting period basis.	Cash Statement.							x
Total Hours Worked	By employee per pay period and for all employees.	3 char. All other payroll data prepared/tracked by county.							x
VTN No.	License number unavailable, CLETS.	29 char. (alpha/numeric).							
Vehicle License Number	CLETS.	7 char.	x				x	x	
Verdict	Finding by the jury.								
Violation Description	Code numbers violated as shown on citation.	10 char. per violation.					x	x	x
Waiver of Rights	Waiver of rights for guilty plea or nolo contendere.	Defendant waives right to attorney, to trial, to trial by jury, to cross-examine witnesses, and to self-indictment.							
Warrant Agency Number	CLETS.						x	x	x
Warrant Issued Date	Date warrant is issued by the court.	mm/dd/yy	x	x	x	x	x	x	x
Warrant Number	Number of warrant.	Same as case number.	x	x	x	x	x	x	x
Warrant Reason	Reason that warrant is issued.		x	x	x	x	x	x	x
Warrant Recall Clerk	CLETS.	Name or initials.	x	x	x	x	x	x	x
Warrant Recall Date	CLETS.	mm/dd/yy	x	x	x	x	x	x	x
Warrant Recall Time	CLETS.	4 char. military time.					x	x	x
Warrant Status Code	CLETS.						x	x	x
Witness	Last, first name.								
Witness Fees	Amount to be paid to witness for appearance.	From court docket/minutes.	x	x	x	x			



NAME		DEFINITION		COMMENT		CI SC CR TR PK JM AC							
Witness Mileage		Number of miles witness traveled to court.		4 char.		x	x	x					
Witness Mileage Fees		Amount per mile to be paid to witness.				x	x	x					
Witness Name		Name of witness testifying at the case event.		Last name, first name, middle initial.		x	x	x					
Work Request*		Requesting department, date, person requesting, phone location and address of work requested, detailed work description, justification and fundings.											x

## APPENDIX

## COSTS AND BENEFITS

### Introduction

This section summarizes the projected costs of the automated system along with the quantifiable benefits. Costs are compiled from three major components: costs for procuring and operating the computer system itself (including maintenance and communications costs), costs for development and implementation of the automated court information system software, and cost of professional data processing personnel to maintain the system after implementation.

Quantifiable benefits fall into three major categories. Cost displacement covers those costs associated with the current, mostly manual system that will be eliminated when the automated system is put into operation. Cost avoidance characterizes those additional expenses that would be incurred if the increasing workload of the court must be met by the current system. The final type of benefit included is the increased revenue that would result from the better control and tracking possible only with a comprehensive automated system.

The costs and benefits are developed separately throughout this section on the basis of the projected workload that must be handled by the court. At the end of this section, the costs and benefits are added together to show the net benefits projected over the next five years.

The largest factor in both cost displacement and cost avoidance is the savings in clerical labor resulting from the replacement of many repetitive and time-consuming manual

operations with automated procedures. On paper, many present clerical positions could be eliminated by the savings in clerical labor described in the cost displacement calculations. In practice, however, the elimination of positions does not usually happen, because of civil service policies, shifting of responsibilities, and the chronic overburdened condition of most staffs in a high-volume court. Gradually, some positions are eliminated through attrition. Temporary and extra shift positions can often be dropped, and overtime hours can almost certainly be eliminated. The most common prevalent effect of the displaced labor, however, is to free up personnel to perform tasks that have hitherto been neglected, or to improve the performance of tasks that traditionally have been given insufficient attention.

Where the court might realistically expect a direct correspondence between savings in clerical labor and actual staff positions is in the area of cost avoidance. Automation has a decided impact upon the staff increases necessary to handle the mounting workload. For planning purposes, the cost avoidance figures can be relied upon as potential savings in real dollars to offset the estimated costs.

#### Workload Projections

All projections for costs and benefits are based upon the projected workload for the current year and the following five years. The projected workload is based on current caseload and an analysis of the monthly new case filings from July, 1982 through September, 1985. Figure CB-1 shows the number of new case filings for each case type for the 1984-1985 fiscal year. The civil and

Figure CB-1

CURRENT CONSOLIDATED CASELOAD<sup>1</sup>

<u>Case Type</u>	<u>New Cases Filed During 1984-1985</u>
Felonies	2,379
Group A Misdemeanors	5,777
Other Misdemeanors	2,227
Infractions	754
Group C Traffic Misdemeanors	7,068
Group D Traffic Misdemeanors	8,602
Traffic Infractions	166,908
Illegal Parking	280,686
Small Claims	8,508
Civil	<u>8,583</u>
Total Cases Filed	491,492 <sup>2</sup>

---

<sup>1</sup>Based on consolidated municipal court statistical report supplied by court personnel.

<sup>2</sup>Report shows total filings of 490,885 - a discrepancy of 607.

small claims caseload has been relatively stable during the past three years. The criminal caseload has been more volatile, but has shown no clear trends. The fastest growing caseloads are in the area of traffic and parking violations. Figures CB-2a through CB-2c show graphically the history of new case filings in these areas of growth.

While the growing caseload can be measured, the real workload of the court is more difficult to assess. Because of legislative and procedural changes, the actual workload of the court, particularly of the clerical staff, is increasing more rapidly than even the caseload indicates. The more complex paperwork, the more numerous appearances by violators, and the more extensive procedures with which the staff must cope are indisputable factors contributing to the increasing workload. Unfortunately, these and other such factors could not be quantified within the scope of this project. For this reason cost and benefit projections will rely mainly on caseload trends.

Figure CB-3 shows the projected overall caseload through 1990-1991, based on the analysis of historical trends. Total new case filings have been increasing at a linear rate of about 275 per month. It is this constant factor that is reflected in the caseload projections. The court keeps no figures on pending caseload, and it is not possible to obtain this information from the current manual system. An estimate for the pending caseload has been calculated at 50 percent of new case filings, a ratio that is fairly typical in courts of this size.

Figure CB-2a

GROUP D TRAFFIC MISDEMEANORS FILED (IN HUNDREDS) JULY, 1982 - SEPTEMBER, 1985

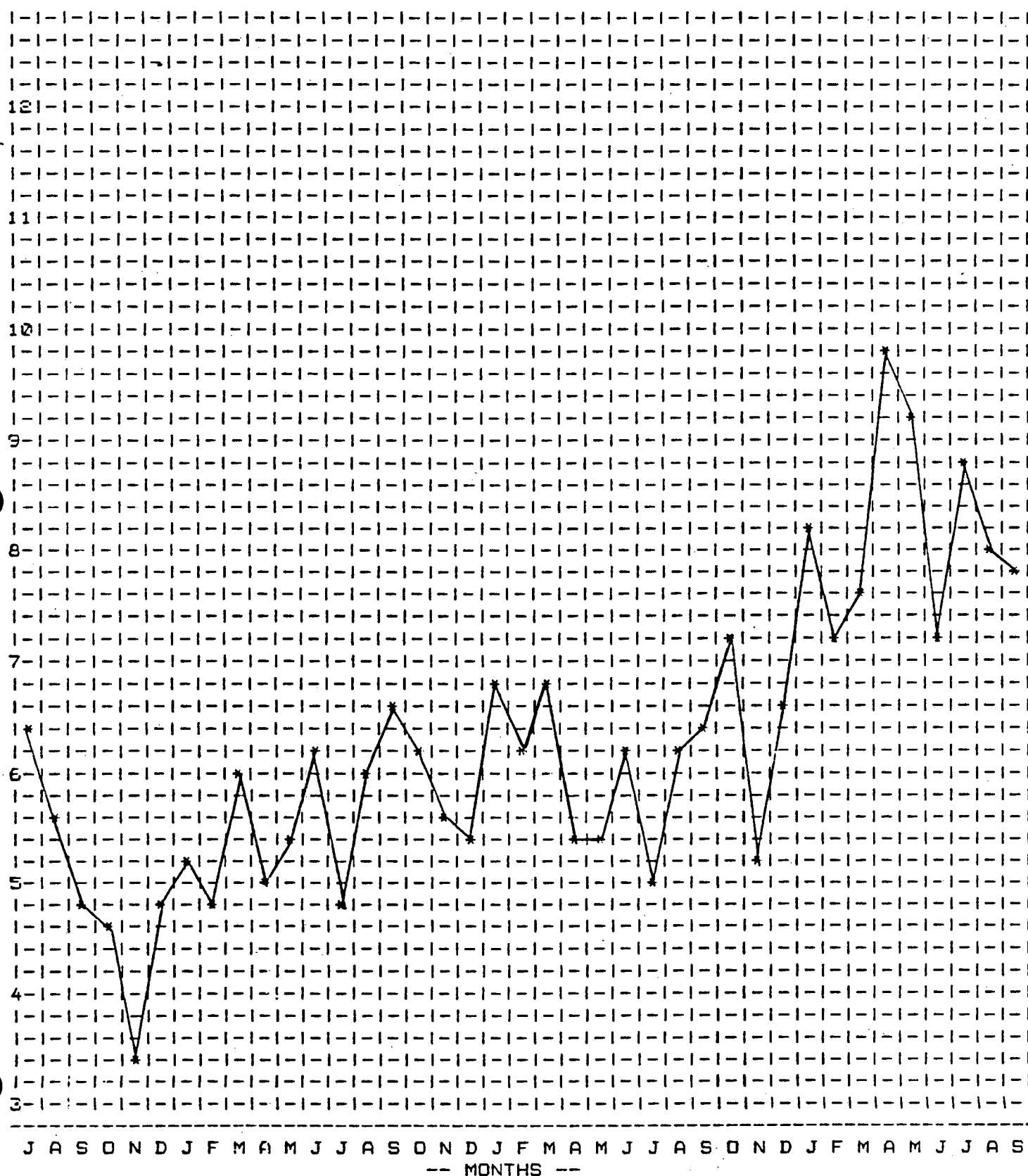


Figure CB-2b

TRAFFIC INFRACTION FILINGS (IN THOUSANDS) FOR JULY, 1982 - SEPT., 1985

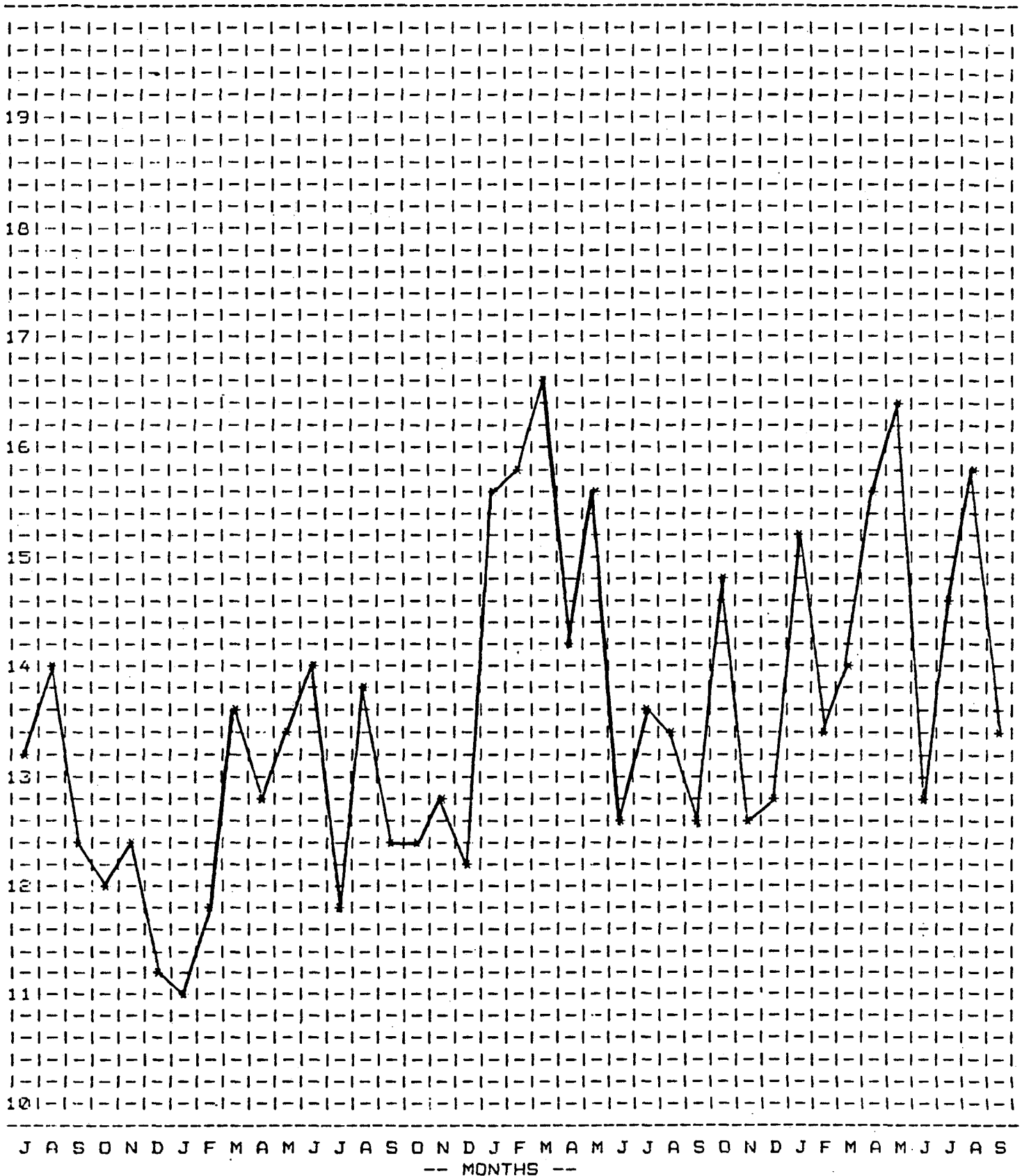




Figure CB-2c

ILLEGAL PARKING FILINGS (IN THOUSANDS) JULY, 1982 - SEPTEMBER, 1985

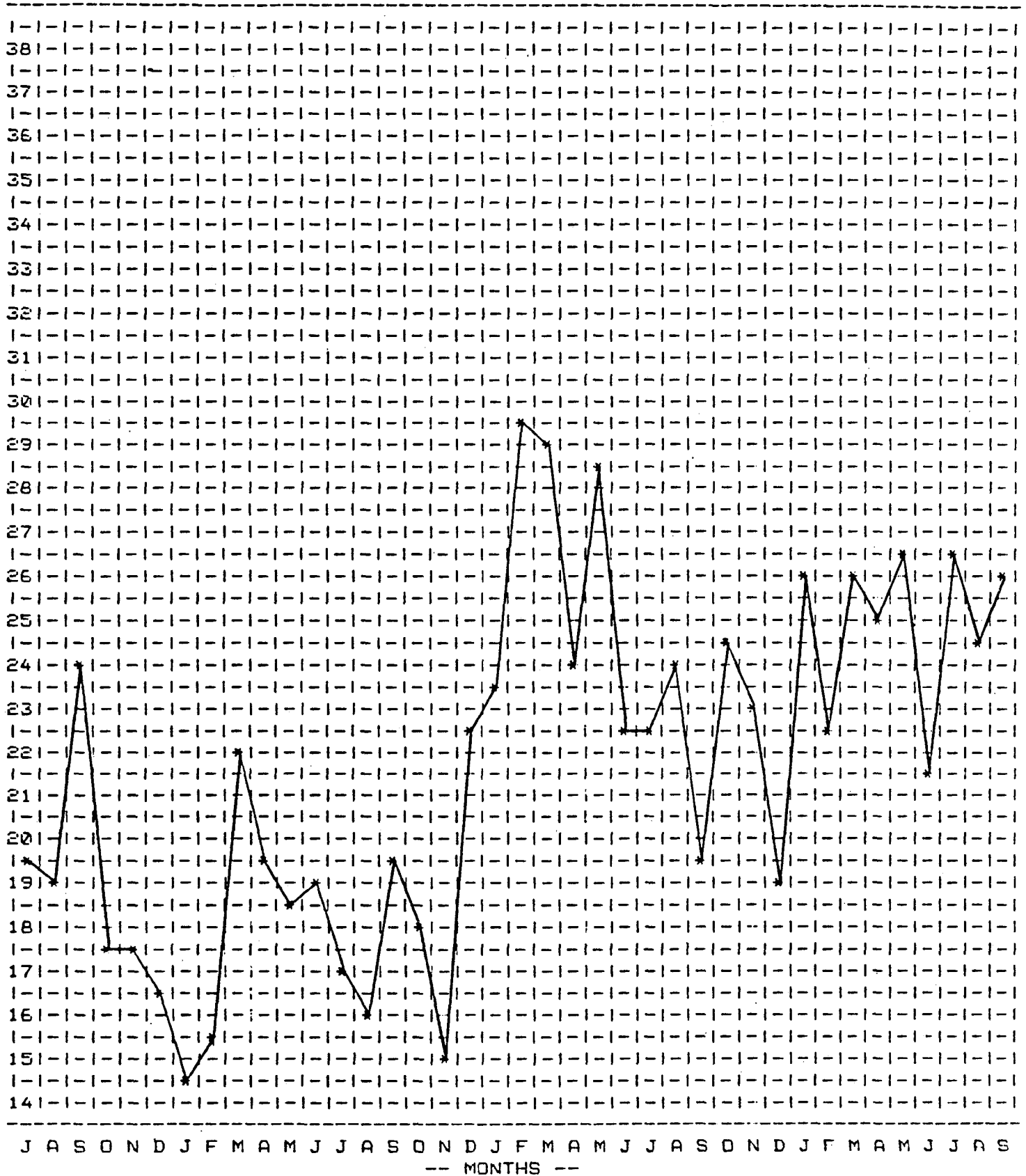


Figure CB-3

PROJECTED CASELOAD AND FILINGS

	<u>1985-1986</u>	<u>1986-1987</u>	<u>1987-1988</u>	<u>1988-1989</u>	<u>1989-1990</u>	<u>1990-1991</u>
Total cases filed during year <sup>1</sup>	525,450	565,050	604,650	644,250	683,850	723,430
Average total pending caseload during year <sup>2</sup>	262,725	282,525	302,325	322,125	341,925	361,725
Total filings during year <sup>3</sup>	1,681,440	1,808,160	1,934,880	2,061,600	2,188,320	2,315,040

<sup>1</sup>Projections based on numerical analysis of historical caseload data. These estimates may be affected by legislative changes, population shifts, and economic conditions.

<sup>2</sup>Based on typical ratio of 50% of new case filings. The court does not maintain statistics on pending caseload, and court personnel were unable to provide any estimates from the current manual system.

<sup>3</sup>Conservative estimate based on information supplied by court personnel on average filings per case for each case type. Filings include papers filed in clerk's office, convictions, documents in court file, and any court actions recorded by clerk. The number of filings is analogous to the number of entries recorded in the docket or register of actions.

Also shown in Figure CB-3 are the total filings projected for this period. Here, "filings" correspond to entries in the docket or register of actions reflecting the filing of all pleadings, dispositions, and other court actions recorded by the clerks. Calculations are based on information supplied by court personnel on the average number of filings for each case type.

From the projected caseload and filings, processing volumes are estimated and projected through 1990-1991. Processing volumes identify the data processing workload that must be accommodated by the automated system. Processing volumes are expressed in terms of two major components. One is the amount of on-line data storage required to handle all the information needed by the court. On-line data storage in computer systems is typically implemented through magnetic disk drives, but other technology may be employed. The second component of processing volumes is the number of transactions that occur annually as information is entered, updated, and retrieved. In an automated system the bulk of transactions takes place through display terminals. For this reason, the number of transactions expected each year is used as the basis for estimating the number of terminals that will be required. Figure CB-4 shows the projected processing volumes.

#### Benefits

Figure CB-5 shows a breakdown of the areas in which clerical labor will be eliminated by an automated system. For each of these areas the estimated savings are expressed in terms of hours of clerical labor and dollars, both of which are annualized. These figures have been supplied by court personnel on the basis

Figure CB-4

PROJECTED PROCESSING VOLUMES<sup>1</sup>

	<u>1985-1986</u>	<u>1986-1987</u>	<u>1987-1988</u>	<u>1988-1989</u>	<u>1989-1990</u>	<u>1990-1991</u>
On-line storage (in millions of characters) <sup>2</sup>	1,182	1,271	1,360	1,450	1,539	1,628
Transactions (annually) <sup>3</sup>	2,522,160	2,712,240	2,902,320	3,092,400	3,282,480	3,472,560

<sup>1</sup>Volumes expressed in terms of on-line data storage (e.g., on disk) and transactions (e.g., entered through display terminals); assumes most high-volume printed output produced during non-prime shifts.

<sup>2</sup>Based on total caseload (new cases filed plus pending cases). Assumes an average of 1,500 characters of on-line storage per case.

<sup>3</sup>Based on total filings per year plus an inquiry transaction factor of 50% of filings.

Figure CB-5

## CLERICAL LABOR COST DISPLACEMENT

Task	Estimated Annual Savings	
	Hours	Dollars
GENERAL CASE MANAGEMENT		
Searching for files	9,252	\$ 119,720
Filing & retrieving cases	<u>14,175</u>	<u>183,424</u>
TOTAL GENERAL CASE MANAGEMENT	23,427	\$ 303,144
CIVIL		
Filing complaint	945	12,228
Filing responses	135	1,747
Filing memorandum to set trial, preparing notices, and resetting trials	236	3,214
Preparing calendar	449	5,810
Entering courtroom minutes on register of actions	390	5,047
Processing default judgments	510	6,599
Issuing writs and abstracts	220	2,853
Processing appeals	45	588
Processing arbitration	114	1,475
Processing unsatisfied judgments	69	897
Purging register of actions	<u>280</u>	<u>3,623</u>
TOTAL CIVIL	3,393	\$ 44,081
SMALL CLAIMS		
Filing new claims	1,073	\$ 13,878
Processing continuances	59	763
Processing transfers	17	220
Processing defendant claims	25	226
Preparing calendar	353	4,568
Processing judgments	574	7,427
Processing appeals	40	521
Processing motion to vacate	<u>24</u>	<u>310</u>
TOTAL SMALL CLAIMS	2,165	\$ 28,013

Figure CB-5 (continued)

## CLERICAL LABOR COST DISPLACEMENT

<u>Task</u>	<u>Estimated Annual Savings</u>	
	<u>Hours</u>	<u>Dollars</u>
CRIMINAL		
Preparing supplemental calendar	223	\$ 2,886
Preparing daily calendar	11,491	148,693
Preparing in-custody calendar	567	7,337
Processing dispositions	2,278	29,477
Issuing bench warrants	1,991	25,764
Processing appeals	21	272
Filing complaints	2,084	26,960
Processing waiver of arraignments	32	414
Processing certification to superior court	167	2,157
Locating and coordinating interpreters	113	1,467
Processing 1203.4 petitions and orders	<u>51</u>	<u>660</u>
TOTAL CRIMINAL	19,018	\$ 246,087
TRAFFIC AND PARKING		
Sorting and tallying citations	1,512	\$ 19,565
Processing bail forfeitures	6,048	78,261
Processing arraignments	2,268	29,348
Preparing calendars	588	7,609
Processing "time to pay" fine dispositions	1,512	19,565
Processing "time to pay" fine payments	983	12,717
Processing probation sentencing	109	1,410
Processing court trial setting	756	9,783
Preparing FTA warrants	756	9,783
Processing continuances for compliance	567	7,337
Processing pleas by mail	441	5,707
Processing traffic school requests	2,646	34,239
Data entry for disposed cases	1,512	19,565
Tallying parking tickets	<u>126</u>	<u>1,630</u>
TOTAL TRAFFIC AND PARKING	19,824	\$ 256,519

Figure CB-5 (continued)

CLERICAL LABOR COST DISPLACEMENT

<u>Task</u>	<u>Estimated Annual Savings</u>	
	<u>Hours</u>	<u>Dollars</u>
<b>ACCOUNTING</b>		
Preparing the cash statement	585	\$ 7,571
Posting daily receipts to ledgers	1,512	19,566
Balancing trust funds	224	2,899
Balancing daily receipts and preparing for deposit	1,134	14,674
Processing bail exonerations, forfeitures, backouts, and fines paid from trust	2,426	31,392
Processing bail (cash and bonds)	2,520	32,609
Processing Central Collection receipts	756	9,783
Preparing Central Collection bench warrants	1,134	14,674
Processing dishonored checks	1,134	14,674
Processing accounts receivable	234	3,028
Preparing controller's accounts receivable reports	143	1,850
Processing parking funds from DMV	117	1,514
Preparing controller's biannual reports	<u>78</u>	<u>1,009</u>
TOTAL ACCOUNTING	11,997	\$ 155,243
<b>JURY MANAGEMENT</b>		
Establishing jury logs and assigning parking permits	191	2,472
Maintaining jury logs	158	2,045
Summoning jurors for weekly trials	1,651	21,364
Paying jurors	806	10,430
Processing excuses	624	8,075
Preparing FTA notices	78	1,009
Selecting and calling jurors for courtrooms	<u>78</u>	<u>1,009</u>
TOTAL JURY MANAGEMENT	3,586	\$ 46,404

Figure CB-5 (continued)

CLERICAL LABOR COST DISPLACEMENT

<u>Task</u>	Estimated Annual Savings	
	<u>Hours</u>	<u>Dollars</u>
JUDICIAL COUNCIL REPORTING		
Compiling and calculating data and preparing report	<u>1,842</u>	<u>\$ 23,835</u>
TOTAL JUDICIAL COUNCIL REPORTING	<u>1,842</u>	<u>\$ 23,835</u>
GRAND TOTAL CLERICAL LABOR		
COST SAVINGS	<u>85,252</u>	<u>\$1,103,326</u>



of a previous study. The methodology employed in this study was to have personnel who were most experienced in each procedure calculate the amount of time required to perform that procedure for a single case or a single occurrence. The amount of time that would be required if the procedure were automated was then estimated for a single case or occurrence. Both of these figures were then annualized and the difference between them was interpreted as the annual savings in hours. The cost savings in dollars was calculated on the basis of a Clerk II hourly rate of \$12.94. In general, these estimates appear to be quite reasonable. In many areas the estimated theoretical savings are probably very conservative, assuming a well-designed automated system will be installed.

While the savings in clerical labor is the largest component of the cost displacement estimates, there are other areas where considerable cost savings will be realized. Figure CB-6 summarizes these major areas of cost displacement. Next to clerical personnel, the largest categories of savings are in the elimination of the existing data processing services. The budgeted costs for the current year are \$334,428 for county data processing services and \$304,462 for the contract with Judicial Data Services. Once the automated system is implemented and operational, both of these costs will be eliminated. Another cost savings associated with the current data processing services will result from no longer having to mail magnetic tapes to the vendor for off-site processing. The annual cost of postage for mailing

Figure CB--6

MAJOR AREAS OF COST DISPLACEMENT

Category	Current Costs <sup>1</sup>	Estimated Annual Savings				
		(Unrealized) <sup>1</sup>	1987-1988	1988-1989	1989-1990	1990-1991
	1985-1986	1986-1987				
Clerical Personnel <sup>2</sup>	\$1,103,326	\$1,191,592	\$1,286,919	\$1,389,873	\$1,501,063	\$1,621,148
County Data Processing Services <sup>3</sup>	334,428	334,428	334,428	334,428	334,428	334,428
Judicial Data Service Contract <sup>3</sup>	304,462	304,462	304,462	304,462	304,462	304,462
Postage for Mailing EDP Tapes <sup>4</sup>	8,073	8,477	8,900	9,346	9,813	10,304
TOTALS	\$1,750,289	\$1,838,959	\$1,934,709	\$2,038,109	\$2,149,766	\$2,270,342

<sup>1</sup>Figures for 1985-1986 show current costs of expense items that would be eliminated by automated system. Since system would not be installed in 1985-1986 and 1986-1987, no cost savings would be realized for these years. Current costs form the basis for projecting cost displacement and cost avoidance figures for the next 5 years.

<sup>2</sup>Based on Clerical Labor Cost Displacement tables presented earlier. Projections take into account an average annual cost of living increase of 5.7% and a merit increase of 5% applied only to staff who are not at the top of their range (overall increase of approximately 8%).

<sup>3</sup>Based on current budgeted amounts.

<sup>4</sup>Cost of mailing magnetic tapes for off-site processing of parking and traffic cases. Projections assume a 5% annual increase in mailing rates.

these tapes is in excess of \$8,000 and will increase as postage rates increase.

Figure CB-7 shows the projected savings due to cost avoidance. The major areas of cost avoidance are clerical personnel and existing data processing costs. The estimated annual savings in cost avoidance are the costs of the additional personnel and additional data processing services that will be necessary under the current system to meet the projected increased workload. The increased cost for clerical personnel is based on a 7 percent annual factor. Calculations assume that a salary increase is applied to the additional staff each subsequent year on the basis of a cost-of-living increase for each person and a merit increase for half of the staff (average total increase of eight percent). The contract with Judicial Data Services is based on the volume of cases processed. The costs for the county data processing services are assumed to reflect actual costs of operation which would also increase proportional to volume of processing. For these reasons, the projected annual savings for all data processing services are also based on a 7 percent annual increase.

Figure CB-8 shows the total projected cost savings through 1990-1991. Total cost savings comprise the cost displacement and cost avoidance estimates from Figures CB-6 and CB-7, respectively, and an estimate of increased revenues expected as a result of the automated system. The experience of other courts in the nation that have automated their procedures indicates that a well designed automated system can reduce uncollected fines by at least 30 percent. While it was not possible to obtain an exact figure

Figure CB-7

MAJOR AREAS OF COST AVOIDANCE

Category	Estimated Annual Savings				
	(Unrealized) <sup>1</sup> 1986-1987	1987-1988	1988-1989	1989-1990	1990-1991
Clerical Personnel <sup>2</sup>	\$ 83,411	\$186,475	\$312,781	\$466,524	\$652,596
County Data Processing Services <sup>3</sup>	23,410	48,459	75,261	103,939	134,625
Judicial Data Service Contract <sup>3</sup>	21,312	44,117	68,517	94,626	122,562
TOTALS	\$128,133	\$279,051	\$456,559	\$665,089	\$909,783

<sup>1</sup>Since new system would not be in operation, potential cost avoidance would not be realized for 1986-1987.

<sup>2</sup>Based on average annual workload increase of 7% with a corresponding increase in clerical staff necessary for the continued operation of the current system. Cost of living and merit salary increases are assumed to be applied to the additional staff each year as described in the cost displacement table.

<sup>3</sup>Assumes a cost increase proportional to average caseload increase.

Figure CB-8

TOTAL PROJECTED COST SAVINGS

Category	Estimated Annual Savings				
	(Unrealized) <sup>1</sup> 1986-1987	1987-1988	1988-1989	1989-1990	1990-1991
Cost Displacement	\$1,838,959	\$1,934,709	\$2,038,109	\$2,149,766	\$2,270,342
Cost Avoidance	128,133	279,051	456,559	665,089	909,783
Increased Revenue <sup>2</sup>	171,145	183,125	195,944	209,660	224,336
TOTALS	\$2,138,237	\$2,396,885	\$2,690,612	\$3,024,515	\$3,404,461

<sup>1</sup>Savings not realized in 1986-1987, because new system would not be in operation.

<sup>2</sup>Derived from a rough estimate of the court's share of uncollected fines. Based on experiences elsewhere in the nation, it is conservatively estimated that full automation would bring a 30% reduction in uncollected fines. Projections are based on a 7% average increase in caseload.

for the amount of overdue fines in the San Mateo Municipal Court. Figure CB-8 contains a rough estimate of the court's share of uncollected fines, projected through 1990-1991. For simplicity, the projections are again based on the assumption that the automated system would go into operation at the beginning of the 1987-1988 fiscal year.

#### Costs

The costs for the automated system are based on the processing volumes which must be accommodated and on the complexity of the functions that must be automated, as identified by the requirements analysis. Total costs involve several components. Chief among these are the costs of developing and implementing the application software, acquiring and maintaining the necessary computer hardware, maintaining a professional data processing staff, and maintaining communications facilities between branches and with outside agencies.

Figure CB-9 outlines the estimated costs for developing and implementing the court system. These estimates include the time required to design, program, and test the various subsystems that make up the overall court information system. These phases have been combined in the figure to give a total number of person-months and a total cost for the development and implementation of each subsystem. The estimated number of person-months assumes the usage of application development software or programming aids to reduce the amount of programming and testing required.

Figure CB-9

ESTIMATED SYSTEM DEVELOPMENT AND IMPLEMENTATION COSTS

<u>Subsystem</u>	<u>Man-Months to Develop and Implement<sup>1</sup></u>	<u>Cost<sup>2</sup></u>
Civil and Small Claims	22	\$130,000
Criminal	25	149,000
Traffic and Parking	24	142,000
Jury Management	6	36,000
Accounting	<u>17</u>	<u>101,000</u>
Total	94	\$558,000

---

<sup>1</sup>Assumes usage of application development software.

<sup>2</sup>Based on \$7,000 per man-month for design and \$5,000 per man-month for programming and implementation.

In addition to the cost of developing and implementing the application software, the computer equipment itself is a major cost. The type and capacity of computer equipment that will be required is also based on the processing volumes that must be handled. In Figure CB-10 the projected processing volumes have been used to estimate the computer peripheral hardware requirements for the automated system. The important considerations in peripheral hardware are the amount of on-line disk storage required and the number of terminals and printers required. The combination of these requirements in turn will determine the class of computer necessary to support the application system adequately.

Figure CB-10 shows the recommended level of peripheral hardware, both in the initial configuration and as projected through 1990-1991. The recommended amount of disk storage should accommodate all case information storage requirements and allow for the overhead necessary for the overall system, such as sort work space, program storage, and word processing document files. The number of display terminals is based on the number of transactions that must be processed. The number of serial printers is based on the workload that must be handled and the distribution of tasks for which printed output will be required. Serial printers are relatively inexpensive low-speed (compared with line printers) devices that are extremely versatile in the tasks they can address. These printers will be used at counters and windows for printing receipts and brief case information, will



Figure CB-10

COMPUTER PERIPHERAL HARDWARE REQUIREMENTS<sup>1</sup>

Hardware	1986-1987	1987-1988	1988-1989	1989-1990	1990-1991
On-Line Disk Storage Capacity (millions of characters)	1,500	1,500	1,750	1,750	2,000
Display Terminals	61	65	69	73	78
Printers					
High-Speed Line Printer <sup>2</sup>	1	1	1	1	1
Medium-Speed Line Printer <sup>3</sup>	1	1	1	1	1
Serial Printers <sup>4</sup>	36	37	38	39	40

<sup>1</sup>Recommended levels of equipment on the basis of projected workload and distribution of personnel.

<sup>2</sup>Main printer for high-volume output; probably located with computer. Speed range of 1200 lines per minute.

<sup>3</sup>Secondary printer; probably located in southern branch. Speed range of 650 lines per minute.

<sup>4</sup>Mixture of dot-matrix printers and letter-quality formed-character printers. These would be distributed among divisions for printing notices, case records, short reports and calendars, and for word processing documents.

be located in courtrooms to produce notices to be carried from the courtroom, and will be located throughout the court offices to produce a variety of outputs on a daily basis. Letter quality printers (e.g., daisy-wheel printers) can be stationed wherever word processing capabilities are required.

The requirements dictate the suitability of a certain range of computers commonly called "superminicomputers." These machines can support upwards of a hundred terminals while maintaining a fast response time. They can also be equipped with a large number of high-volume disk drives for adequate and easily expandable data storage capacities. Superminis possess the processing power of mainframe computers of a few years ago, for a fraction of the cost. They are much simpler to operate and contain many built-in utility functions and user aids. With the staff of two data processing professionals recommended later in this section and a clerical staff member who has some experience in or aptitude for operating equipment, there should be no difficulty in operating this type of computer system. All maintenance of the equipment itself would, of course, be provided by the vendor under a service contract.

To ensure continuous operation, the computer should be equipped with an "uninterruptable power supply" (UPS). This device would keep the computer running during brief power outages and would allow a controlled, orderly shut down in the unlikely event of an extended power failure. As further insurance against interruptions, the court may wish to consider the use of one or more microcomputers in each branch. These machines could be used

as stand-alone devices through which clerks could enter case information if the main computer system were inoperable. The collected transactions could then be transmitted en masse to the computer when it resumed operation. Given the reliability of current minicomputers and an immediate-response service contract, the added complexity of this approach cannot be highly recommended. The use of manual backup records and procedures and the temporary accumulation of input documents for later entry would probably be the most effective method for dealing with temporary system failures.

To accommodate the processing volume of the Municipal Court, the computer should probably have a minimum of eight million characters of main memory in its initial configuration, with the capability of expansion to 16 million characters. The initial configuration should also include at least 1.5 billion characters of on-line disk storage, with the capability of expansion to well in excess of two billion characters of on-line storage. Computers in this range cost in the neighborhood of \$500,000. Adding the costs of the terminals and printers that will be required brings the total hardware costs to nearly \$700,000.

Figure CB-11 shows the total projected costs for the automated system through 1990-1991. Computer hardware and system software costs are indicated for the initial configuration and for the purchase of additional terminals, printers, and disk storage during subsequent years. Associated with the cost of the hardware and system software is a monthly maintenance cost which has been annualized in Figure CB-11 to an average cost of seven percent of

Figure CB-11

PROJECTED COSTS FOR AUTOMATED SYSTEM

Category	Estimated Annual Costs				
	1986-1987	1987-1988	1988-1989	1989-1990	1990-1991
Computer Hardware and System Software <sup>1</sup>	\$ 694,000	\$ 10,000	\$ 19,000	\$ 10,000	\$21,000
Hardware and System Software Maintenance <sup>2</sup>	48,580	49,280	50,610	51,310	52,780
Application System Development <sup>3</sup>	558,000	--	--	--	--
Data Processing Staff <sup>4</sup>	84,000	92,400	101,640	111,804	122,984
Communications <sup>5</sup>	34,400	34,400	34,400	34,400	34,400
	\$1,418,980	\$186,080	\$205,650	\$207,514	\$231,164

<sup>1</sup>All computer hardware (including recommended peripherals) plus operating system and other system software. Assumes complete purchase of initial configuration during first year.

<sup>2</sup>Based on typical monthly maintenance charges. Annualized to average cost of 7% of system cost.

<sup>3</sup>Assumes entire system developed during 1986-1987 by outside contractor.

<sup>4</sup>Based on permanent professional staff of one systems analyst at \$35,000 and one programmer at \$28,000. Includes 34% fringe benefits and annual salary increase of 10%.

<sup>5</sup>Includes estimate of \$27,200 for communications between branches and computer; \$7,200 for communications link to DMV. Costs for communications to local agencies assumed to be offset by current communications costs of \$3,200 not included in cost savings.

the computer hardware and system software costs. The third major cost is that of developing and implementing the application system, as described earlier in Figure CB-9. For simplicity, this cost is listed in its entirety under the first year.

A fourth category of costs is that of maintaining a professional data processing staff who will be responsible for maintaining and operating the automated system once it has been implemented. It is anticipated that one competent, experienced systems analyst and one competent programmer will be sufficient to maintain the system, if it has been properly designed and programmed. Ideally, one or both of them would have some expertise in systems programming as well as in applications development. The court could arrange for any extensive modifications to be done under contract by the developing vendor, if such modifications are later desired. A typical salary of \$35,000 and \$28,000, respectively, and a fringe benefit rate of 34 percent have been used as the basis of these estimates. These two professionals would probably be hired during the time of system development, in order to work with the developing vendors and to become familiar with the application software. Annual costs for the data processing staff in subsequent years assumes an annual salary increase averaging ten percent.

A final category of costs for the automated system is the estimated communications costs associated with the distribution of terminals and printers in two branches of the court remote from the computer itself, and with the interface between the computer and outside agencies. The communications costs are ballpark

estimates only and can be pinned down when the exact nature of the computer equipment selected and the method of remote communications have been determined.

#### Net Benefits

Figure CB-12 shows the projected net savings that would be realized after both savings and costs have been considered. On the assumption that the total purchase, development, and installation of the complete system will take place during 1986-1987, it can be seen that the costs for the first year amount to \$1,418,980 and that no savings will be realized during that year. For the remaining years in the projection period, however, the projected savings far outweigh the costs. Indeed, the net savings increase each year throughout the period. It should be remembered that the cost displacement figures for clerical personnel will not result in the actual dollar savings calculated, because of employment policies and work redistribution practices. Despite this fact, however, it is apparent that the development and installation of a comprehensive automated information system in the Municipal Court will result not only in increased efficiency of operation and improved service to the public, but also in lower operating costs for the court over the long run.

Figure CB-12

PROJECTED NET SAVINGS<sup>1</sup>

Category	Estimated Annual Net Savings				
	1986-1987	1987-1988	1988-1989	1989-1990	1990-1991
Savings	--	\$2,396,885	\$2,690,612	\$3,024,514	\$3,404,461
Costs	\$1,418,980	186,080	205,650	207,514	231,164
Net Savings	-\$1,418,980	\$2,210,805	\$2,484,962	\$2,817,000	\$3,173,297

<sup>1</sup>For simplicity, based on assumption that purchase, development, and installation of complete system transpires in 1986-1987 year.

searched 1-2-86