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ARIZONA ADMINISTRATIVE
OFFICE OF THE COURTS
COURT OPERATIONS ANALYSIS
OF THE
TUCSON CITY COURT ;

Volume One

Final Report
April, 1999

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TABLE OF CONTENTS

| | Page |
|--|------|
| Preface..... | 1 |
| I. Executive Summary | 3 |
| II. History of the Court..... | 8 |
| III. Methodology | 10 |
| IV. Organizational Analysis | 12 |
| A. Structure | 12 |
| B. Issues and Findings | 13 |
| V. Divisional Analysis | 28 |
| A. Case Management | 28 |
| B. Judicial Services | 31 |
| C. Public Services..... | 35 |
| D. Sentencing Services | 41 |
| E. Court Services..... | 45 |
| VI. FACTS™ Analysis | 54 |
| A. Overview | 54 |
| B. Ownership Roles..... | 55 |
| C. Training | 56 |
| D. User Involvement | 57 |
| E. Implementation | 58 |
| F. Documentation | 58 |
| G. Evaluation..... | 59 |
| VII. Conclusion | 61 |
| Appendices | |
| Appendix A: Workflow Analysis As Prepared by the Court | |
| Appendix B: Present and Recommended Organizational Structure | |

Preface

The Large Volume Court Committee Project Office of the State of Arizona Administrative Office of the Courts (AOC) contracted with the National Center for State Courts (NCSC) to: (1) review the FACTS™ operations manual for limited jurisdiction courts developed by the AOC, (2) conduct an analysis of processes and procedures of the Tucson City Court, and (3) recommend how to better utilize Progressive Solutions, Inc. (PSI) FACTS™ case processing application in the Court.

The Court has a large staff of approximately 135 positions, including 12 full-time magistrates, 2 limited special magistrates, 3.3 contract special magistrates, and other contract personnel. The city of Tucson is the 31st largest city in the country and therefore has a large volume of cases processed through the court. In FY 1997-98 the Court processed approximately 200,000 cases. Like other busy, urban court systems in the country, many of the Court's day-to-day processes and procedures have evolved over time and are in need of improvement and automation.

The on-site analysis of the Court conducted by the NCSC project team included a review of the Court's five divisions and the processes and procedures they use for civil and criminal traffic cases, parking tickets, criminal misdemeanors, and other cases such as civil infractions, domestic violence orders of protection, and harassment injunctions. As a result of the study, the project team developed this Volume One report with recommendations for improvements in the divisions and to those processes, procedures, and methods of operation presently used by the Court. It is believed that the implementation of the many recommendations contained in this report will directly assist the Court to implement FACTS™ on or before the proposed start up date of mid-1999. At the request of the AOC, the project team developed a Volume Two report that presents a more detailed analysis of the Court's case processing functions.

Division managers and court staff working in the Court suggested some of the process improvements contained in this report for the Tucson City Court. Moreover, a great deal of time and effort was put forth by court administration, division managers, and staff to develop and agree upon the many recommendations and operational changes presented in this report.

Special thanks are extended from the National Center for State Court's project team to the following individuals for their outstanding cooperation during the review of the Court.

Listed in alphabetical order they are: Maryanne Battock, Administration Manager, Honorable Michael J. Brown, Presiding Judge, Martha Hesla, Court Administrator, Marie O'Hagin, FACTS™ Trainer, Ray Paulino, Budget and Research Manager, Honorable Michael P. Pollard, Associate Presiding Judge, David Rabenda, Systems Analyst, Sue Reyes, Public Services Manager, Jack Schwartz, Probation and Sentencing Manager, Laura Spain, Case Management Manager, Eunice Stroud, Judicial Services Manager, and Becky Williams, Court Services Manager.

NCSC would also like to thank the Arizona Supreme Court, Administrative Office of the Courts, and Louie Chaboya, System Integrator, Tim Lawler, Project Manager, L.V.C.C., Information Technology Division, and Pat McGrath, L.V.C.C. Training Specialist, Information Technology Division, for their assistance and participation.



I. Executive Summary

The following section provides an Executive Summary of the recommendations contained in this report.

- 1. It is recommended that court administration review and revise the Open Forum sessions that are held in the Court.**
- 2. It is recommended that court administration work with division managers to improve communication to and feedback from court staff.**
- 3. It is recommended that court administration hire permanent division managers in the two positions where individuals are functioning in an acting capacity.**
- 4. It is recommended that court administration continue to work with division managers to detail workflow and improve the day-to-day operations in the Court.**
- 5. It is recommended that division managers regularly conduct interdivisional meetings among themselves and with representatives from court staff to improve communication and current processes.**
- 6. It is recommended that the Court more actively publicize its strategic planning process to implement the vision, mission, goals, and objectives of the organization as well as to support the implementation of FACTS™.**
- 7. It is recommended that the FACTS™ coordinator develop and conduct an introductory training program for judges so they can better understand and provide more input into the implementation of the system.**
- 8. It is strongly recommended that, through use of the strategic planning process, judges discuss and develop one unified policy on time-specific appearances, granting of continuances, sentencing guidelines, and imposing and collecting fines and fees.**
- 9. It is recommended that, through use of the strategic planning process, mentor judges be assigned to each division in the Court. It is further recommended that one mentor judge should be assigned to a division in the Court for at least one year.**
- 10. It is recommended that court administration emphasize quality improvement projects in the publication of its monthly newsletter as well as develop a system for employees to submit suggestions to improve case processing.**
- 11. It is recommended that court administration revise their new employee orientation training program to include a core curriculum, FACTS™ training, court operations training, and specialty curriculum training.**
- 12. It is recommended that court administration, as part of the Court's strategic plan, expand customer service programs to improve service to internal customers.**

13. It is recommended that the court administrator reactivate and chair a concerns committee consisting of two judicial officers and a court staff representative from each division. It is further recommended that this committee meet monthly to solve problems and facilitate input and communication in the Court.
14. It is recommended that as part of its strategic planning process, the Court, with assistance from the Arizona Administrative Office of the Courts, work with city officials to fund a space requirement study, design, and the remodeling of the existing facility or the building of a new justice complex for the City of Tucson.
15. It is recommended that court administration adjust its organizational structure to improve customer service and to more effectively support the implementation of FACTS™ according to the recommendations contained in this report. See Appendix A.
16. It is recommended that, to improve customer service, court administration relocate the Court's parking citation office, civil infractions office, and Domestic Violence Office to the first floor. It is further recommended that the in-custody video courtroom also be utilized as the domestic violence courtroom as well as the walk-in parking violations and civil infractions hearing room.
17. It is recommended that court administration, based on its new organizational structure, relocate all records and basic data entry functions to the fourth floor of the courthouse.
18. It is recommended that court administration develop in-court teams consisting of judges, data entry clerks, and judicial assistants/bailiffs to process cases and enter data in the courtroom.
19. It is further recommended that these teams continually review and improve the workflow process as related to case processing and FACTS™ data entry in the courtroom.
20. It is recommended that once teams are formed, court administration train these teams for in-court case processing and FACTS™ data entry.
21. It is recommended that court administration review and standardize all forms to support the FACTS™ application.
22. It is recommended that court administration, through use of FACTS™, develop an alternative to faxing defendant information to the jail.
23. It is recommended that court administration, in cooperation with city officials, and with maximum input and participation from Public Services staff, remodel the public service counter and waiting area.

24. **It is recommended that the space used by the Motor Vehicles Division (MVD) be used as a Public Information Office for the Court. It is further recommended that the new Public Information Office triage all court customers before they are allowed to enter the front counter area, as well as provide basic forms and direction to courtrooms. MVD should be relocated within the court facility.**
25. **It recommended that court administration direct contract security personnel to not answer any court customer's legal questions. It is further recommended that court administration provide training for all employees as to what does and what does not constitute legal advice.**
26. **It is recommended that court administration review staff assignments at the front counter and allow all court staff to accept payments. It is further recommended that, to improve customer service, at least one window at the Public Service counter is designated for attorneys and the public to file motions and other case-related documents.**
27. **It is recommended that in order to reduce duplication and improve customer service, the associate presiding judge should review, expand, and reissue the policy on what time extensions and show proofs can be granted by clerks at the front counter. It is further recommended that the associate presiding judge appoint a task force of judges and clerks to expedite the development and implementation of this policy.**
28. **It is recommended that court administration and the Public Services division manager review the staff assignment schedule for front counter personnel to provide better coverage during working hours. It is further recommended that judges and court staff working past regular working hours be provided security when they leave the building at night.**
29. **It is recommended that as part of his or her job duties, a Spanish-speaking court staff member be assigned to work in the Domestic Violence Office at all times.**
30. **It is recommended that court administration form a domestic violence advisory council to the Court consisting of the office supervisor, the bar association, the prosecuting attorney, the public defender, and agency representatives such as the county's domestic violence commission, the local advocacy group, and RSVP program to improve customer services and case processing.**
31. **It is recommended that in order to expedite case processing, with the exception of the petitioner's incident statement, court staff interview, process, and directly enter the petitioner's basic information and payments into the FACTS™ case processing system. It is further recommended that petitioners be provided PCs in the Domestic Violence Office to expedite the preparation of their incident statements.**

32. It is recommended that once the Domestic Violence Office is moved to a secure area on the first floor of the courthouse, the services of the county's Retired Senior Volunteer Program be enlisted to regularly staff the children's waiting area¹.
33. It is recommended that court administration combine the mail and telephone answering services into one unit that is equipped with a FACTS™ information terminal. It is further recommended that while telephones are answered, mail can be sorted and distributed at an earlier time during the day.
34. It is recommended that once data on defendants is entered in courtrooms by in-court teams, the FACTS™ application provide probation monitors with immediate access to minute orders, assignment of monitors, report due dates, summons information, and other pertinent data needed to more efficiently discharge their duties.
35. It is recommended that the associate presiding judge reviews and improves the Failure to Appear (FTA) system and the Court's "get out of jail free" (GOJF) system. It is further recommended that an improved system of posting cash bonds be instituted.
36. It is recommended that at the time of sentencing, judges assign a specific probation monitor to a defendant. It is further recommended that a system be developed to insure the defendant appearing for sentencing will go immediately after court to the Probation Office for initial orientation and to set a meeting with his or her assigned officer.
37. It recommended that FACTS™ be used to produce reports that track and monitor defendants' Breathalyzer™ tests and record defendants' self-administration of drugs and paperwork for urinalyses.
38. It is recommended that court administration improve customer service by consolidating the Sentencing Services division with the Public Services division. It is further recommended that once this transfer is accomplished, enforcement officers receive in-service training in the collection process, use of AOC standards, and how FACTS™ can be used to improve the collections process.
39. It is recommended that after one year all Failure to Pay (FTP) warrants be turned over to a private collection agent for processing.
40. It is recommended that court administration establish a "call back unit" within the Financial Enforcement Office in order to assure defendants' back payments are made to the court in a timely fashion.

¹ The Ventura County Superior Court in California uses a similar program.

41. **It is recommended that court administration work with the City to develop a public service program where defendants can perform work at public agencies in lieu of payment of fines and fees.**
42. **It is recommended that a full-time permanent division manager be hired as soon as possible in Court Services in order to bring a sense of continuity, accountability, and direction to the division.**
43. **It is recommended that the Court review the process of sending a staff member to the jail at 5:00 a.m. to gather paperwork that must be ready for that day's arraignment calendar.**
44. **It is recommended that court administration review its check-out system for court files. It is further recommended that any revised system use outcards and FACTS™ to track the location of open or closed court files.**

II. History of the Court

Established in the early 1900's, the Tucson City Court processes all civil and criminal traffic cases, parking tickets, criminal misdemeanors, and other cases such as civil infractions, domestic violence orders of protection, and harassment injunctions. It is staffed by 135 employees including 12 full-time magistrates, 2 limited special magistrates and 3.3 contract special magistrates, and other contract personnel. The Court's annual caseload of approximately 200,000 filings is growing and becoming more demanding, especially in the area of domestic violence cases.

The Court's facilities include two arraignment rooms – a large one for out-of-custody arraignments and a smaller one for arraignments conducted by video from the jail – a mitigation hearing room for civil traffic and parking violations, two hearing rooms, and twelve courtrooms. The building was originally designed as a parking garage and consequently, the Court and other judicial offices are inefficiently configured over six floors, compromising security and service to the Court's and the City's internal and external customers.

Over the years, as the Court's caseload grew, new magistrates or court staff that were needed were requested in the budget and usually funded by the City. Operational procedures in the Court also evolved over the years and functions within divisions were shifted to reduce errors or solve problems. In time, case processing, calendaring, forms management, and record keeping were done differently between divisions.

In 1997, a new associate presiding judge was appointed after the previous associate presiding judge ascended to the Superior Court bench. The court administrator was appointed in 1998, following the retirement of the previous court administrator in 1997. From this time, the Court has improved operations, increased employee morale, and developed a general strategic plan to continue move the Court forward. In prior years, the Court's management team participated in a strategic planning process facilitated by the Supreme Court. In 1998, the court administrator requested assistance from the City's training department to facilitate a strategic planning retreat that included managers, representative judicial officers, and other city officials. In January of that year, the Arizona Administrative Office of Courts asked the Tucson City Court to become one of the pilot sites to test a new version of the FACTS™ case processing application. Mid-year, some of the executive component of the Court participated in a strategic planning process that has provided more direction to the development of policy and procedure.

Besides participating in strategic planning and piloting FACTS™, court administration requested technical assistance and consulting services from the American University, the Judicial Management Institute (JMI), and the National Center for State Courts (NCSC).

III. Methodology

Once the contract to review the Tucson City Court had been signed by the Arizona Administrative Office of Courts and the National Center for State Courts, the project director started Task 1 by conducting telephone interviews with the Court's primary stakeholders. In compliance with Task 2 an initial on-site visit was made in December 1998. In order to complete Task 3 the NCSC project team conducted two on-site visits; one the week of January 11, 1999 and the other on February 11, 1999, to observe court processes, interview judges and court staff, and to collect information on the implementation of FACTS™. Tasks 4 and 5 of the project involved the preparation of this report at the NCSC and presentation of this report on-site to AOC and court officials.

During its three on-site visits, project staff observed and interviewed the work of many individuals; including judges, court administration, FACTS™ project staff, division managers, court staff, and other stakeholders in the Court. Interviews and observations were conducted to better document current caseflow and management practices primarily in the five divisions, as well as in other areas of the overall operation of the Court. Prior to the on-site visits, the project team reviewed manuals and procedures relating to the Court and to FACTS™. In essence, and based on that information, this report will focus on interrelationships and communication regarding case processing and communication between the Court's five divisions. Further, it is important to note that during each interview the project team sought input regarding current issues facing the court and how process improvement related to FACTS™.

During the on-site visits, project team members observed operations in the divisions and attended court sessions. Project team members also reviewed numerous documents that judges, court administration, division managers, and court staff provided. These included orders of court, documented procedures, daily calendars, forms, job descriptions, organizational charts, staffing patterns, court rules, statutes, various memoranda, financial documents, and statistical reports. The project team also analyzed this information to identify how to improve current operational practices of the court system. More specifically, various in-office procedures that had impact on the efficiency and effectiveness of the Court's organization, staffing, calendaring, caseflow, sentencing and financial enforcement, and customer service were also closely reviewed.

In its evaluation of the Court, the project team referenced the American Bar Association's national standards and recommended practices for limited jurisdiction courts, entitled *Standards Relating to Trial Courts*. In addition, data was gathered, analyzed and compared to the guidelines set forth in the *Trial Court Performance Standards*. National research and trial court experience have proven that achievements of these standards are vital components of effective court operations. It is important to note that some of the recommendations contained in this report are based on these standards, as well as objective and factual data gleaned by project staff from interviews and observation of procedures.

IV. Organizational Analysis

A. Structure

1. Overview

The organizational structure of the Tucson City Court (the Court) is typical of many limited jurisdiction courts throughout the country. The Court has five divisions that generally handle the case processing, records management, warrant processing, calendaring, cashiering, bond processing, public information services, probation, and fines collection processes. Each of these are located throughout the court facility and, in some cases, are split up into several different locations. Each division has an assigned manager, and within each division managers and team leaders work with line staff to oversee distinct division functions.

Upper management of the Court is directed by the Pima County Superior Court Presiding Judge, who oversees the court administrator and the associate presiding judge. The position of court administrator is a civil service position and reports to the Superior Court Presiding Judge and the city manager. This dual reporting structure provides the potential for many areas of conflict. The court administrator oversees the operations of the court and its five divisions, as well as manages the Court's Information Systems department. The associate presiding judge oversees the judges of the Court, including magistrates, special magistrates, and limited special magistrates.

As part of the analysis of the implementation of the FACTS™ application, project staff reviewed the organizational structure of the court, in order to determine if any organizational issues would have an effect on the implementation of FACTS™, either directly or tangentially. As a part of this general analysis, project staff identified four areas that should be reviewed by the Court, either prior to or in concert with the implementation of FACTS™. These four areas are Communication, Administrative Direction, Structure of the Court, and Relationship with the City. Each of these areas is addressed separately below.

B. Issues and Findings

1. Communication

It cannot be overemphasized that effective communication is the key to any successful business operation, in both the private and public sector. It is imperative that the channels of communication be wide open. A court cannot operate successfully without good communication. Court administration must receive, and act on input received from judges and court staff, as well as from the private bar and key stakeholders, such as the police, sheriff, prosecutor, and public defender.

However, this is not to say that the Court should decide all policy issues by consensus. To the contrary, decision-making should be localized among a select few members of the Court such as the presiding judge, associate presiding judge, the court administrator, and division managers. As long as the input received from judges, court staff, and outside agencies is given serious consideration during the decision-making process, this decision-making body should work effectively.

Just as important as being open to input from outside sources, it is also imperative that the Court be cognizant of how it disseminates information, especially inside the Court itself. Although court administration may perceive that information is disseminated to court staff on a regular basis and that everything is being done to keep court staff informed, many court staff have a very different perception.

a. Communication Among Court Staff, Division Managers, and Administration

The Tucson City Court is a fairly large organization with approximately 135 employees divided among five divisions, including judges and administrative and court staff. Disseminating information throughout the organization, although daunting at times, is critical to the long-term effectiveness of court operations and success of the FACTS™ implementation. As project staff interviewed division managers and spoke with court administration, it became evident that a marked difference in the perception that the Court communicated effectively existed between the groups.

On the one hand, court administration expressed confidence that they were making progress in communicating with staff and supplying them with information on decisions and policy changes, especially related to FACTS™. On the other hand, court staff expressed frustration to the NCSC team that they were constantly left unaware of changes being implemented by court administration. A clear illustration of this is the Open Forum sessions that are regularly scheduled on the third Friday of each month. These meetings are an opportunity for court staff to interact with court administration and be informed of decisions and policy changes that court administration may make. Administration believes that this is an opportunity to keep staff informed of the operations of the court and how any changes may affect them.

On the other hand, many court staff feel that since they do not always have the time to attend the meetings that they are not really beneficial to them. It was related to the project team that although many would like to attend these meetings and ask questions, they have no one to back them up on-the-job while they attend. Therefore, they must remain at their station and receive information from the meetings in the form of hearsay or as gossip or rumor from other employees.

Another factor that contributes to the perceived lack of information sharing in the Court is that information disseminated by court administration to staff must filter through division managers and team leaders first. At some point in this process the message from court administration is being lost. This is occurring for several reasons. First, in some instances division managers are simply not relaying information from court administration to their staff. For whatever reason, court staff do not hear about certain policy changes, especially, if it is determined that the changes do not relate directly to their division. In other instances, memos that division managers receive are posted on bulletin boards, walls, or windows where staff may or may not read them. Other than this, no real effort is made to determine whether staff are adequately informed of any changes, or whether they have any concerns or questions about the information received. An effective feedback loop between court staff and court administration does not appear to be in place.

Although the concept of the Open Forum meetings is an excellent one, further measures should be taken to ensure its effectiveness. Court staff should be given broader input into when they are held and how often. Time should also be made available to receive feedback from court staff about concerns or ideas they may have for improving processes in their respective divisions or in the Court as a whole.

Employee feedback is critical to morale as well as the efficient operation of the Court. Administration should solicit and encourage employee feedback whenever possible. Without employee information, management can only speculate as to the effectiveness of what they are trying to accomplish. Not only does this provide valuable information, it also empowers court staff and gives them a feeling of involvement, which in turn will have a marked affect on morale. Administration should always be cognizant of what is going on in the Court and the best way to achieve this is through employee feedback.

RECOMMENDATIONS

1. It is recommended that court administration review and revise the Open Forum sessions that are held in the Court.
2. It is recommended that court administration work with division managers to improve communication to and feedback from court staff.

b. Division Isolation

Over the years, a certain level of isolation among divisions within the Court has developed. Because the Court has not had an effective communication process (feedback loop) in place, divisions have made unilateral policy changes without informing either the administration or other divisions. In addition, one division has had an acting manager for two years while another division has had an acting manager for six months. The presence of temporary managers has had a negative effect on attempts to establish clear communications. The result has

been duplicated services, and in some instances, procedures developed by one division that have had an adverse impact on another division.

Oftentimes, the division manager, team leaders, and/or court staff in a division meet to develop their own procedures without consultation with other divisions or court administration to determine the ramifications of the changes they may make. This results in much frustration and further isolation among the divisions. As a result of this isolation, blame for breakdowns in the process is placed on each other without substantiation. This in turn leads to further interdivisional isolation with court administration moving operational functions from one division to another. The longer this problem is left to its own accord, the more intense the cycle becomes, resulting in continual breakdowns of communication.

This cycle must be broken as soon as possible. Divisions must be able to effectively communicate with each other on a daily basis. In order to accomplish this, a better forum must be made available to them in which concerns can be addressed, as well as ideas for improvement can be discussed and the impact those ideas will have on other divisions can be understood.

Presently, acting division managers really have no incentive to improve communication. As long as they are serving in an “acting” capacity, it is very possible that ineffectual interdivisional communication will continue. It is critical that full-time, permanent division managers be put in place as soon as possible, with incentive to promote new, more effective policies on communication and feedback from court staff.

Operational procedures should continue to be detailed and reviewed by the Court to determine what processes are being duplicated and what processes are having an adverse effect on other divisions. In Volume Two of the study, the project team presents a more detailed analysis of the Court’s workflow and what changes in processes need to be made before the implementation of FACTS™. When these are identified, they should be corrected with input from a division’s court staff, as well as court staff from other divisions working in the system. See Appendix A.

A direct feedback mechanism should be put in place that allows judges and court staff to air concerns and offer suggestions for change without the fear of any repercussions. This feedback mechanism should provide information to administration regarding the effect of new policies. A method should be established for court staff to express concerns about current practices, and possible solutions to remedy these. Court administration should continue the Open Forum meetings, but vary the schedule to encourage the best turnout. Division managers should also be encouraged to conduct more regular meetings among themselves and with their staff to discuss methods to improve communications and current processes.

In order to avoid the very real chance of conflicts arising, especially at these interdivisional meetings, they should be conducted as focus group meetings, with ground rules laid out ahead of time that participants not only devise, but must also strictly adhere to. Someone should be appointed by court administration to act as the facilitator at these meetings and all proceedings should be memorialized. Once the recommendations of those meetings are reviewed and approved by court administration, court staff should be advised of which decisions will be implemented, which will not, and the general reasoning for the administration's decision. This process not only gives court staff a sense of buy-in, but will help improve morale, as well as improve case processing time.

RECOMMENDATIONS

3. It is recommended that court administration hire permanent division managers in the two positions where individuals are functioning in an acting capacity.
4. It is recommended that court administration continue to work with division managers to detail workflow and improve the day-to-day operations in the Court.
5. It is recommended that division managers regularly conduct interdivisional meetings among themselves and with representatives from court staff to improve communication and current processes.

c. *Impact of Facilities on Communications*

The court structure originally functioned as a parking garage. The conversion to a court was accomplished by creating office and courtroom space from the structure surrounding the inner atrium. All court operations are located on the first four floors of the structure. Although most divisions are kept together, Court Services and Public Services must divide their staff between two floors. This creates communication problems within these divisions, as well as with other divisions. In addition, the vertical structure of the building has an impact on communications within the Court.

The most obvious way that the Court's structure affects communications is between divisions. Because several divisions are located on separate floors, it is difficult and cumbersome for staff to walk out into the courtyard area, either to take the elevator or stairs to another division. Staff must then go through a secured door to find the person for whom they are looking. This is not only cumbersome, but it takes time away from their regular duties. In one instance, divisions communicate with each other via a dumb waiter that transfers files back and forth between floors. The layout of the facility is not amenable to effective interdivisional communication and the Court should consider alternative methods of communication among divisions that require daily contact.

The most effective option would be the increased use of e-mail. This would allow staff to request files, information, ask for clarifications, or anything else they need to know from each other without having to leave their desk or interrupt their daily routines. Workstation installation was completed in December, 1998. Staff has access to and has been trained in the use of e-mail. It was unclear to the project team whether or not procedures have been changed to maximize e-mail's utility in supporting operations.

The facility itself presents many challenges to effective communication; however moving staff and court functions around may minimize some of the facility's impact. For instance, Court Services has been divided onto two separate floors. Division staff must walk to another floor or call on the phone to exchange information. This is time consuming and causes some court staff to merely

answer the question themselves, rather than seeking the advice of the one staff member who has the correct information.

Court staff should also be arranged on floors according to the amount of daily contact they have with the public. For instance, Public Services should be located on the first floor. The heavy contact they have with the public requires that they be conveniently located for the public. Divisions such as Court Services and Case Management that have little or no public contact should be located on higher floors. Judicial Services should be located closest to courtrooms or judges' chambers and Public Services and Sentencing Services on the first floor.

2. Administrative Direction

a. Overview

The Tucson City Court has not been guided by a strategic plan developed by its executive component that sets forth the mission, vision, goals, and objectives of the Court. About six members of the Court's executive component participated in a strategic planning process in 1998.

Over the years and as a matter of practice the Court usually implemented change to either solve a specific problem or to try to retroactively improve its image in the community. In 1998, several events occurred that altered this direction. First, there was a change in the administrative leadership of the Court with the advent of a new court administrator and a new associate presiding judge. Second, Arizona's Administrative Office of Courts (AOC), in conjunction with the Court, determined that the Court would be a site for the development and implementation of a new case processing system.

In order to solve problems in a more proactive manner and to provide more effective and efficient customer service, the court administrator and associate presiding judge, in cooperation with AOC, wanted to further assess the organization and operation of the Court. After reviewing the information contained in this report and in the Volume Two report, they then want to make changes that will improve court operations, facilitate the implementation of FACTS™, and positively involve both judicial and non-judicial personnel as well.

b. Issues and Findings

(1) Judicial Officers

The project team interviewed many judicial officers during its three on-site visits and determined there are several issues affecting the administrative direction of the Court.

First and foremost is the lack of understanding concerning the defined strategic direction the Court is taking. Other than the need to implement FACTS™, there is little awareness of what direction the court will take into the 21st Century. During the interview process, some internal and external customers of the Court were perplexed by where the Court was going, what their mission was, how to make changes, and how the organization as a whole was going to implement all of what it already knows needs to be done.

Second, most judicial officers interviewed realized the current methods used to set and hear cases are inefficient and in need of change. There was also concern expressed about their lack of knowledge regarding FACTS™, what the new case processing system could do, and how much input judges would have in the design and outcomes produced by the program. For example, some judges wanted statistical information from FACTS™ regarding the number of pre-trials, arraignments, and continuances that have been either set or granted. Further, they wanted a system that would quickly and quietly publish orders in the courtroom, but were unsure if it would really work. In terms of administrative direction, judges, by and large, did not feel they were really part of the process regarding FACTS™.

Third is the fact that over the years some judges have developed their own procedures and forms to process certain cases. Further, individual judicial philosophies and practices have developed around the time of defendants' appearances, the granting of continuances, imposing sentences, and enforcing collection of fines and fees. These differences not only fractionalize court operations to a degree, but make it difficult for

non-judicial officers (court staff) to operate efficiently and avoid mistakes. Without the development of a standardized policy on appearances, continuances, sentences, and collections, the overall effectiveness of the FACTS™ application will be jeopardized.

Fourth is the issue that most judges are not involved as proactive partners in the administration of the court. Although judges should not be involved in personnel matters and the day-to-day operation of the Court, they should participate in the setting of court policy and support the standardization of procedures to insure the success of FACTS™. Often times, this is accomplished through the strategic planning process and by appointing certain judges to become mentors to each division within a court.

RECOMMENDATIONS

6. It is recommended that the Court more actively publicize its strategic planning process to implement the vision, mission, goals, and objectives of the organization as well as to support the implementation of FACTS™.
7. It is recommended that the FACTS™ coordinator develop and conduct an introductory training program for judges so they can better understand and provide more input in the implementation of the system.
8. It is strongly recommended that, through use of the strategic planning process, judges discuss and develop one unified policy on time-specific appearances, granting of continuances, sentencing guidelines, and imposing and collecting fines and fees.
9. It is recommended that, through use of the strategic planning process, mentor judges be assigned to each division in the Court. It is further recommended that one mentor judge should be assigned to a division in the Court for at least one year.

(2) Non-Judicial Officers

The project team interviewed many non-judicial officers (court staff) during its three on-site visits and determined there are several issues affecting the administrative direction of the Court.

The first issue facing the non-judicial officers in the Court is communication. Court administration perceive they are communicating the new directions, policies, and procedures, especially on FACTS™, to line staff either directly through meetings or through supervisory personnel. On the other hand, line staff feel left out of the loop and do not know exactly what direction the court is going or how they can implement change. Division managers seem to be caught in the middle and are working hard to make the system work on what is perceived as ever-shifting ground. As a group, division managers are in a difficult position and want to have more joint meetings with court administration to coordinate their activities, to learn more about FACTS™, and to solve operational problems.

The second issue that must be addressed by court administration is training. This issue encompasses both new employee orientation and in-service training as well as FACTS™ related and non-FACTS™ related training. As will be discussed later in this report, the proper and timely training staff is integral in the implementation and success of the FACTS™ program.

The third issue is the need for court administration to develop an atmosphere of continuous quality improvement in the Court. Presently, the Court's suggestion box program is not well-defined. There are also no procedural manuals in place to guide new employees. This is especially important in the implementation of any new case processing system. Moreover, court staff have solutions to operational problems facing the Court, but simply do not know how to effectively present their ideas. Others, who have offered solutions for change, claimed they sometimes do not hear back answers from court administration or from the judges. In

short, the basic communication feedback loop is not being properly completed and service to internal and external court customers has been affected.

RECOMMENDATIONS

10. It is recommended that court administration emphasize quality improvement projects in the publication of its monthly newsletter, as well as develop a system for employees to submit suggestions to improve case processing.
11. It is recommended that court administration revise their new employee orientation training program to include a core curriculum, FACTS™ training, court operations training, and specialty curriculum training.
12. It is recommended that court administration, as part of the Court's strategic plan, expand customer service programs to improve service to internal customers.
13. It is recommended that the court administrator reactivate and chair a concerns committee consisting of two judicial officers and a court staff representative from each division. It is further recommended that this committee meet monthly to solve problems and facilitate input and communication in the Court.

3. Structure of the Court

a. Overview

The Court is organized into five operational divisions. They are: (1) Case Management Services, (2) Public Services, (3) Court Services, (4) Judicial Services, and (5) Sentencing Services. In the division analysis section of the report, each division will be discussed in some detail. Generally, facilities, location of divisions, and organizational structure affect the efficiency and effectiveness of all divisions in the Court.

b. Issues and Findings

The organizational structure of the Court has evolved over the years. Changes in divisional functions and duties have occurred to either improve operations or to resolve problems when a division was not performing efficiently or effectively. The present organizational structure of the Court in part is driven by the physical structure of the building. When certain areas in the building have become available, divisions have moved in or have expanded into the available space. Presently, divisional functions do not always interrelate and are not located to maximize customer service. For example, the Domestic Violence Office, the Parking Citation Office, and the Civil Infractions Office are located on the fourth floor of the building; one in a dangerous location and the other two in an area that is not easily accessible to walk-in customers.

As stated previously, part of the Court's organizational structure and location of the divisional functions is directly affected by its physical facility. As part of the Court's strategic plan, court administration, the Administrative Office of the Courts, and the officials from the City of Tucson must either fund a space requirement study, design, and a remodeling of the existing facility, or build a new justice complex for the city of Tucson.² Based on current conditions, the

² Just prior to the publication of this report, the NCSC project team was informed by court administration that the city of Tucson had committed approximately \$500,000 to improve public services areas in the Court.

present facility is simply inadequate and does not meet basic standards for courthouse design.

Despite the fact that inadequate facilities are a major problem in improving court operations, prior to the implementation of FACTS™, there are changes to the organizational structure of the Court that can be made before the facility is remodeled or a new one is built. In order to make these changes, court administration must, through the strategic planning process, study and redevelop the organizational structure. This redevelopment process must take into consideration the implementation and support of FACTS™, as well as the relocation of court functions to different floors. As a result of the restructuring of the Court, the majority of public service functions should be located on the first floor. For example, the parking citation office, civil infractions, collections, the public counter, courtrooms for arraignments, in-custody video arraignment, and the Domestic Violence Office should be located on the first floor. Further, using FACTS™ for data entry in the courtroom may affect the organizational structure of both Case Management and Judicial Services.

Although the primary purpose of the NCSC study was not to analyze the Court's space requirements and organizational structure, this study may result in a changed organizational structure. See Appendix A for Present Organizational Structure and Recommended Organizational Structure.

RECOMMENDATIONS

14. It is recommended that, as part of its strategic planning process, the Court, with assistance from the Arizona Administrative Office of the Courts, work with city officials to fund a space requirement study, design, and the remodeling of the existing facility or build a new justice complex for the city of Tucson.
15. It is recommended that court administration adjust its organizational structure to improve customer service and to more effectively support the implementation of

FACTS™ according to the recommendations contained in this report. See Appendix A.

16. It is recommended that, to improve customer service, court administration relocate the Court's parking citation office, civil infractions office, and Domestic Violence Office to the first floor. It is further recommended that the in-custody video courtroom also be utilized as the domestic violence courtroom as well as the walk-in parking violations and civil infractions hearing room.
17. It is recommended that court administration, based on its new organizational structure, relocate all records and basic data entry functions to the fourth floor of the courthouse.

4. Relationship with the City

Oftentimes, city courts and the cities they serve experience difficult relationships due to different perceptions of the role of a court. While the role of a court is to fairly dispense justice, the city usually sees a court as more of a revenue-generating agency. This occurs because the revenue generated by a court in the form of fines and fees, which typically passes to city coffers, is usually substantial. The city wants to maximize the amount of money a court brings in, while a court wants to maximize its case processing efficiency and serve the public. This is occurring in Tucson. During the NCSC on-site review, city officials were concerned with the Court's collection of fines and fees.

Trial court performance standards state that a court must be responsible for the enforcement of its orders. The collection of fines and fees should to be a tangible reminder of the Court's seriousness in insuring that its orders are enforced. The Court should not serve as a revenue-producing body for the city. It is through the exercise of this responsibility that the Court can gain public respect. In addition, the Court should represent the judicial branch of government in the city, whereas the mayor and city manager represent the executive branch, and the city council represents the legislative branch. It is through both the balance and separation of powers that the citizens are effectively served.

The Court must resolve these issues quickly in order to move on to address other matters facing it with the implementation of FACTS™. If necessary, the Court should request help from the Presiding Judge of the Pima County Superior Court in resolving this conflict. It is important that the City understand the state constitutional requirements of a city court and the implications of the City assuming control of the Court. Once this issue is resolved, the Court can move on to deal with its internal issues.³

³ Just prior to the publication of this report, a meeting was held by the presiding judge, the associate presiding judge, and city officials that resolved many of these issues.

V. Division Analysis

A. Case Management

1. Overview

The Case Management division provides data entry services for the Tucson City Court. This back-office operation is responsible for the initiation of cases, scheduling and resetting of hearings, entry of judgments into the automated case management system (REACT), issuance and quashing of warrants, civil defaults, officer scheduling,⁴ quality control of data maintained in REACT, and interagency coordination. Case Management is responsible for the distribution of data to the Motor Vehicle Department and dispositions to the state criminal history repository. Only the processing of payments and other incidental data entry such as hearing resets are done outside of the Case Management division. Every division in the Court accesses REACT for information.

Case Management is located on the first floor of the Court and there is very little interaction with the general public. All citations are received in batches by Case Management from issuing law enforcement agencies. Case Management also receives numerous telephone requests for hearing dates from the courtrooms. The operation is currently managed by an acting division manager and the current organizational chart indicates 24 people are assigned to the division.

This division will be immediately impacted by the implementation of the FACTS™ application. Instead of using a character-based, fixed format application, Case Management staff must learn a graphical user interface (GUI) operating in the Windows™ environment. The implementation of FACTS™ provides to the Court the opportunity to examine the way work is processed through and by Case Management. It may be reasonable to continue case initiation as a back office operation⁵ but courtroom-centered events may be most efficiently captured within the courtroom itself.

⁴ Actual input of officers' schedules into the automated case management system is done by the Tucson Police Department.

⁵ Agencies issuing citations should look at different technologies that permit the citation to be captured electronically and loaded rather than having these citations keyed into the Court's automated case management system.

2. Issues and Findings

Issues within Case Management tend to center on the medium used to convey information for data entry: *paper*. Handwriting is difficult for court staff to read whether it is the police officer's handwriting on the citation or the judge's handwriting on the minute entry disposing of the case. The Court has permitted the proliferation of different forms for the same purpose to accommodate individual judge preferences. The multiplicity of source documents for data entry requires additional training. Training within Case Management has not been consistent and most clerks have introduced variations as to how the same tasks should be accomplished. In addition, REACT has permitted user-introduced codes into the data files and coding for the same events may be done differently by different clerks.

Distribution of work is irregular, even though procedures to ensure a fair distribution are in place. Work within the unit is highly particularized and regimented. It is currently contemplated by division management that this specialization will be carried through the implementation of FACTS™ within the Court. It is often very difficult to enhance the working environment when tasks are so repetitive with little room for variation. Yet, it is this division that establishes the court record and it is only within REACT that a Register of Actions for a case exists. Every division within the Court is dependent on the work done by Case Management.

Some processes within Case Management are needlessly cumbersome. This is sometimes a result of REACT, sometimes a result of extensive oversight by division managers and other court staff, and sometimes a result of poor workflow design. For example, the printing of warrants requires the execution of certain parameter-based macros to merge boilerplate text with REACT data to create the warrant. However, Case Management must also type additional conditions ordered by the judge because these conditions are not maintained within REACT. Court staff in other divisions are permitted to accept certain proofs according to judicially promulgated guidelines but Case Management staff must present the proof to a judge for acceptance. Navigation between screens in REACT is awkward and requires certain data to be entered only after the case is initiated when that data is available for entry at the time of case initiation. The

positioning of data elements within source documents does not match the placement of those same data elements on the entry screens.

As previously recommended, court administration should review all aspects of each business process Case Management performs. Work within Case Management is currently divided by type of data entry being performed: case initiation, judgments, scheduling, warrants, civil defaults, etc. It is anticipated that this structure may continue through the implementation of FACTS™ within the Court. Further, it is important to create teams within Case Management to examine the flow of paperwork, the structure and composition of the form, the individual tasks required to complete a function, and the necessary interaction with FACTS™ to capture appropriate data within the case management system. NCSC has provided the results of a paper analysis of workflow within this report but believes that the detailed review needed can only be accomplished through intensive focus on both the Court's processes and the FACTS™ application version being implemented in the Tucson City Court. There are two immediate advantages. The first advantage is court staff involvement in redefining business processes. Staff level involvement should promote communications, enhance trust, reduce boredom, and define a feedback loop. The second advantage lies in combining business process review with the FACTS™ training for that process. Other outcomes of these team examinations could be enhanced documentation for the process, for training, and for the FACTS™ application.

Prior to the implementation of FACTS™, Case Management should examine where critical delays occur within the Court for data capture. By identifying and targeting critical delay points, Case Management may determine that moving certain data entry from the back office to the courtroom could produce a significant gain in efficiency and provide better customer service. Data entry within the courtroom may produce efficiencies in only certain courtrooms for certain types of hearings or certain types of cases. Case Management should enlist the assistance of Judicial Services in defining the best mix of in-courtroom data entry and paper flow to a back office operation. Courtrooms must also be examined for optimal flow of paper, people, and information among the judge, bailiff, and Case Management clerk.

It is important for court administration to review divisional structure in light of any changes in business processes and where data entry occurs. If case initiation remains a back-office operation and resets and judgments are captured more efficiently within a courtroom, the organizational structure within Case Management must be examined to see if it is logical and functional under these changed conditions. The division's structure must reflect the management requirements demanded by the functions Case Management performs. However, it may be that institution of teams either by function, courtroom, case type, or some combination of these categories can provide an enriched working environment, better supervision, divisional cohesiveness, increased productivity, and enhanced training.

RECOMMENDATIONS

18. It is recommended that court administration develop in-court teams consisting of judges, data entry clerks, and judicial assistants/bailiffs to process cases and enter data in the courtroom.
19. It is further recommended that these teams continually review and improve the workflow process as related to case processing and FACTS™ data entry in the courtroom.

B. Judicial Services

1. Overview

Judicial Services is aptly named for the functions it performs. Judicial Services consists of 19 staff titled judicial secretaries, judicial assistants, and bailiffs. It provides clerical support to the courtrooms and chambers, processes correspondence, orders forms and supplies for the courtrooms, maintains the record⁶ (when one is required), calendars events within the courtroom, promotes security and order within the courtroom,⁷

⁶ Court rules require only certain types of proceedings occur on the record. The Tucson City Court tapes these proceedings.

⁷ Currently, courtrooms are not staffed with a marshal. Bailiffs are expected to maintain order within the courtroom and secure proper decorum from defendants, witnesses, and the general public. Bailiffs may summon the Court's marshal should it become necessary.

coordinates juries,⁸ insures changes in jail status for defendants are immediately communicated to the jail, and provides information to defendants concerning dispositions and orders. All of this, other than correspondence, is currently done without the benefits or support of automation.

Judicial secretaries are assigned to each floor where judges are chambered. Bailiffs, sometimes called judicial assistants, are assigned to specific judges for a period of one year. Other bailiffs float from courtroom to courtroom as required. Senior judicial assistants perform administrative duties such as forms inventory, ordering and distribution of supplies, and payroll preparation and submission.

Each courtroom reflects both the functions performed within it and the judge assigned to it. Some courtrooms are defined by function (video arraignment or arraignment). Other functions (clearing court, trials and hearings) may occur in any courtroom. Given the unique history of the Court's facility, courtroom utility depends in part on the location of the pillar within the courtroom. The bailiff is typically seated next to the judge. Each courtroom also contains a third workstation wired for automation. In the past, data entry has been done at this third workstation. Some judges are more computer-oriented than other judges and use word processing on a personal computer to generate minute entries at the bench. Others hand-write minute entries on 5-part NCR forms. Both the design of the bench relative to the bailiff's workstation and the paper-intensive forms processing have contributed to ergonomic difficulties for several of the Judicial Services staff. Judges have been given considerable liberty in the preparation of forms and in the administration of their individual courtrooms. Each bailiff must learn how each judge has determined how cases will flow in their assigned courtroom or chambers.

Bailiffs also have workstations outside of the courtroom. Each courtroom floor is equipped with fax and copy machines for the bailiffs' use. Their primary means of communication remains the telephone – whether it be by voice or fax.

⁸ Jury panels are escorted by the bailiff from the Superior Court to the Tucson City Court.

2. Issues and Findings

Bailiffs are particularly unprepared for the implementation of the FACTS™ application. This is because bailiffs currently have only minimal interaction with REACT. None of their current duties require the use of either a terminal or personal computer. Many have little or no computer literacy and even less computer experience unless the bailiff has worked in other divisions of the Court. However, the bailiff is very dependent on the information stored in the case management system and must know how to read it, how to request it, and assist the judge in deciphering it. Bailiffs prepare minute entries for the judges to complete for each case on the day's calendar. All of the information the bailiff writes on the minute entry is stored on REACT and will be stored on FACTS™. The first question asked by the bailiffs is why aren't forms pre-printed with this information at the same time the calendar is prepared and sent to the courtroom along with the case file?

The bailiffs are also responsible for informing the jail of the changed status of prisoners, whether someone is to be released or held and, if held, when and for how long. This is currently accomplished by faxing the minute entry to the jail. Faxing between the courtroom and the jail has proven to be inefficient and time-consuming. In many instances, the fax must be repeated at the request of the jail. Faxing also takes the bailiff away from the courtroom as there is only one fax machine on each courtroom floor.

Bailiffs must also contact Case Management to reset a hearing date for certain calendars. This must be done while the judge is on the bench and when the bailiff is in the courtroom because the information must be provided to the defendant before he or she leaves the courtroom. The bailiff cannot perform this function because the bailiff workstation is not currently equipped to support computer access.

Judicial Services is in the unique position of working most closely with the judges but no one in Judicial Services works for the judges. This delicate balance between administrative responsibility and judicial loyalty is always difficult. The rotation of bailiffs has served to assist the Court in considering standardization of procedures, forms, and caseload so that each bailiff can serve every judge efficiently and effectively. The work performed by the bailiff is isolated from the rest of the Court and leads to the bailiff's isolation as well. Introduction of other court staff into the courtroom to assist in

managing caseload and data capture on FACTS™ will serve as a bridge for Judicial Services staff to the rest of the Court.

The only security observed in the courtroom came from the presence of the judge and the bailiff. An issue for court staff unaccustomed to the courtroom is their personal security within the courtroom.

As recommended above, court administration should team bailiffs, Case Management staff, and judges to determine the most effective and productive methods of capturing data for certain types of hearings, cases, or calendars. If data entry is to be done in the courtroom, it will most certainly require an expanded court team. Judges should also be included in the evaluation of the potential effectiveness of courtroom data entry. The decision, while it can be made without input, cannot be successfully implemented without the support of all involved – judge, bailiff, clerk. Those most intimate with courtroom procedures and caseload can assist Case Management in determining what types of data capture could be more effectively performed in the courtroom.

Assess each courtroom for its potential utility for an expanded courtroom team and in-courtroom data entry. Each courtroom within the Court is unique. It is extremely important that each courtroom be evaluated for its potential to handle an expanded team, a modified traffic flow of paper, people, and information, and additional wiring for computer access. Judicial Services can guide court administration as to current traffic patterns within the courtrooms as managed by each judge and within courtrooms which serve specific functions.

Once teams are formed, court administration should conduct training for these teams. Training on the FACTS™ application must be accomplished for all court staff. It would be most effective if identified teams that must work together can also train together, whether these teams cross divisional lines or remain within a single division. Judges should be a part of training aimed directly at addressing judicial requirements and training aimed at the courtroom team. Training sessions should be created that will mimic courtroom activity and caseload.

No one was prepared to give a count of the number of forms that varied by perhaps a word, a sentence, or a paragraph yet fulfilled the same purpose. The

implementation of FACTS™ requires a complete forms review to ensure that each form that serves as a source document for data entry captures data required by the application. In addition, the placement of data on the form should mimic as completely as possible the flow of data within a screen. Forms must also be reviewed for what point in the business process they are used and that use must be mapped against the navigation between screens and modules within FACTS™ to ensure that the application does not require something at a point before the Court has obtained it.

Evaluate the feasibility of establishing an electronic route through either an intranet or the Internet for the flow of information from the courtroom to the jail. Judicial Services, court administration, and the jail need to examine alternatives to the faxing of information between courtrooms and the jail. Viable alternatives should include a transmission route that can be accessed by the bailiff without leaving the courtroom.

RECOMMENDATIONS

20. It is recommended that once teams are formed, court administration train these teams for in-court case processing and FACTS™ data entry.
21. It is recommended that court administration review and standardize all forms to support the FACTS™ application.
22. It is recommended that court administration, through use of FACTS™, develop an alternative to faxing defendant information to the jail.

C. Public Services

1. Overview

The Court's Public Services division is located on the first and fourth floor of the courthouse. It employs 21 staff members. They are responsible for processing: (1) customers requests, payments, and filings at the front counter, (2) mail and phone inquiries, (3) civil infractions, (4) domestic violence petitions, and (5) parking violations. Court staff interviewed perceive that the Court processes a range of four to five thousand

new parking citations each month and approximately 12,000 new traffic citations⁹. A first impression of Public Services is that it is understaffed and in need of more space. To further complicate matters, the processing of parking citations, domestic violence orders, and hearings are conducted on the fourth floor. The efficiency and effectiveness of the office is affected by the amount of time it takes and different procedures that are used to process a case, the number of times people return to court, and the number of times papers are handled. This duplication of work affects judges and court staff alike and must be streamlined before the implementation of FACTS™.

2. Issues and Findings

a. *Public Counter Area*

The public service counter is usually crowded, noisy, and open from 7:00 am to 6:00 pm. During a period from 5:00 pm to 6:00 pm, it can become quite busy and is understaffed. At times staff stay past 6:00 pm to complete work and when they leave work they must go to their cars parked in unsecured areas.

Occasionally, frustrated court customers act out and increase stress on staff. In order to obtain service, customers must pass through security at the front door where they may or may not ask for legal advice, enter the glassed-in customer service area, take a ticket, and wait to be called. Depending on the time of day, the length of the wait calculated by the project team ranged from 3 to 20 minutes. Oftentimes, after waiting for an extended period of time, a customer may just receive simple directions, file a motion in a case, set a new appearance date, find out they are in the wrong court, or discover they need to go to the traffic citation office located on the fourth floor. In order to combat this situation, court administration has designated a window in the public counter area as an information window in order to triage customers. However, the information window is not in the proper location and does not function efficiently. To complicate matters, signage for the location of rooms are difficult to follow. Areas designated for posting the court calendar are on the wrong floor and are poorly lit.

⁹ The new filings per month average for 1997 was 2,023 for parking citations and 10,891 for traffic citations.

Calendars are published in a small font and set at the wrong height for easy reading.

Depending on how, when, and by whom they were trained, staff update cases differently on REACT. Procedural manuals have not been revised for some time and are complicated to follow. It is difficult to access a case by name or number. Generally, staff operate independently from other divisions and do not have a clear picture of the strategic direction of the Court. Clerks do not have a great deal of authority to process actions at the counter. With the approval of the associate presiding judge, they should be able to give extensions of time and accept the same types of proof,¹⁰ on certain case types.

Public counter staff are affected by changes made by division managers and court administration. They, like other divisional staff, want to provide their input on change before the change is made. Further, after the change is made, staff want to know why their input was or was not accepted. Again, the project team received a strong message from most court staff interviewed that they wanted to be involved in the decision-making process and provide input when it affects their work.

RECOMMENDATIONS

23. It is recommended that court administration, in cooperation with city officials, and with maximum input and participation from Public Services staff, remodel the public service counter and waiting area.
24. It is recommended that the space used by the Motor Vehicles Division (MVD) be used as a Public Information Office for the Court. It is further recommended that the new Public Information Office triage all court customers before they are allowed to enter the front counter area, as well as provide basic forms and direction to courtrooms. MVD should be relocated within the court facility.

¹⁰ Presently, different judges require different types of proofs from defendants.

25. It recommended that court administration direct contract security personnel to not answer any court customer's legal questions. It is further recommended that court administration provide training for all employees as to what does and what does not constitute legal advice.
26. It is recommended that court administration review staff assignments at the front counter and allow all court staff to accept payments. It is further recommended that, to improve customer service, at least one window at the Public Service counter be designated for attorneys and the public to file motions and other case-related documents.
27. It is recommended that in order to reduce duplication and improve customer service, the associate presiding judge should review, expand, and reissue the policy on what time extensions and show proofs can be granted by clerks at the front counter. It is further recommended that the associate presiding judge appoint a task force of judges and clerks to expedite the development and implementation of this policy.
28. It is recommended that court administration and the Public Services division manager review the staff assignment schedule for front counter personnel to provide better coverage during working hours. It is further recommended that judges and court staff working past regular working hours be provided security when they leave the building at night.

b. Domestic Violence Office

The Domestic Violence Office is located on the fourth floor of the courthouse. Victims of domestic violence come to this office to file petitions and to have expedited hearings held on their claims. Customers filing petitions speak English, Spanish, or other languages. For the Court's many Spanish-speaking customers, explanation of processes can take additional time. To further complicate matters, there is not one Spanish-speaking clerk on duty at all times.

Within the office there is a small playroom for children of petitioners that is not always supervised.

The location of the office presents a variety of security issues, especially since the entrance of the office overlooks an interior atrium. For example, a project team member witnessed an unsupervised child crawling up the guardrail. There have been reports of arguments outside the office between victims and alleged perpetrators. The office has some contact with the county's domestic violence commission and local advocacy center. The office does not use the services of the area's Retired Senior Volunteer Program (RSVP). After a petition has been filed and entered on REACT, the case can be heard by a judge within twenty minutes to two hours. The Court's expedited manner by which they file, hear, and determine temporary orders in a domestic violence case is exemplary. Petitioners are charged a \$5 filing fee, \$16 for service of an order of protection, and \$20 for service of a harassment injunction. Process service is completed by a contract vendor or, in some instances, by the petitioner. The paperwork process in the Domestic Violence Office is somewhat cumbersome and forms are filled out manually and then entered into REACT. In order to file for and set a hearing, there are many steps involved that are confusing to the petitioner. Data on a domestic violence case is not always entered into REACT in a timely fashion.

RECOMMENDATIONS

29. It is recommended that as part of his or her job duties, a Spanish-speaking court staff member be assigned to work in the Domestic Violence Office at all times.
30. It is recommended that court administration form a domestic violence advisory council to the Court consisting of the office supervisor, the bar association, the prosecuting attorney, the public defender, and agency representatives such as the county's domestic violence commission, the local advocacy group, and RSVP program to improve customer services and case processing.

31. It is recommended that in order to expedite case processing, with the exception of the petitioner's incident statement, court staff interview, process, and directly enter the petitioner's basic information and payments into the FACTS™ case processing system. It is further recommended that petitioners be provided PCs in the Domestic Violence Office to expedite the preparation of their incident statements.
32. It is recommended that once the Domestic Violence Office is moved to a secure area on the first floor of the courthouse, the services of the county's Retired Senior Volunteer Program be enlisted to regularly staff the children's waiting area.¹¹

c. Mail and Telephone Services

The acceptance and processing of mail and the answering of incoming telephone calls from the public is a basic and necessary function to keep the Court operating. At times the amount of mail received by the Court is too much for one person to handle. At the same time not all calls come to the Court's central switchboard system, which is antiquated. Headsets are shared by different people which causes hygienic concern. It is difficult for court staff answering phones to provide basic case information regarding an amount owed the Court or an appearance date from the REACT system. In addition to name and case number, court staff want the FACTS™ application to access case information by driver's license number and social security number. If one person is talking to a customer and has to get a case file, he or she must put the defendant on hold. This blocks out other incoming calls and causes delays.

RECOMMENDATIONS

33. It is recommended that court administration combine the mail and telephone answering services into one unit that is equipped with a FACTS™ information

¹¹ The Ventura County Superior Court in California uses a similar program.

terminal. It is further recommended that while telephones are answered, mail can be sorted and distributed at an earlier time during the day.

D. Sentencing Services

1. Overview

The Sentencing Services division of the Court employs 23 staff members, including two temporary positions, and consists of a Probation Office and a Sentencing Enforcement Office. Sentencing Services also administers a work alternative program. The Probation Office employs one division head, six probation monitors, and two home detention officers along with several support staff. Probation monitors have a caseload of approximately 130 cases, which include DUI, domestic violence, sex offenses, and non-felony child abuse. Home detention officers monitor about 100 individuals for the Court, most of whom have been charged with DUI offenses. Support staff in the office administer Breathalyzer™ tests, record defendants' self-administration of drugs, and process paperwork for urinalyses. The Sentencing Enforcement Office employs five officers and interviews defendants and determines each defendant's payment schedules to the Court. The biggest problems the division faces are the (outside of the courthouse) location of their offices, space, security, paper flow, interpreting judges' orders, and complying with the many different procedures used by different judges.

2. Issues and Findings

a. Probation Office

The Sentencing Services division provides some probation and monitoring services, which are similar to services provided by the Pima County Superior Court. Although the division provides good probation monitoring services, there is concern that some services could be contracted out or reduced. The Probation Office spends a great deal of time getting defendants to follow the orders of court. At time of sentencing in the courtroom defendants, unless remanded into custody, are sent directly to Sentencing Services to make arrangements for assignment to a probation monitor. It was estimated by those interviewed that between 20% to 25% of defendants walk away and do not see a monitor until a later date, if at all.

This situation creates some duplication of effort to track people and to get people to report to their probation monitor. It also creates time lags between sentencing and reporting, as well as affects the integrity of the orders of court. Although some judges assign a probation monitor at the time of sentencing and require immediate reporting to the Probation Office, this practice is not done consistently by all judges. Further, the office does not have a program that uses volunteer probation monitors to assist defendants in complying with their terms and conditions of probation, to expand field services, or to provide educational programs for defendants.

One of the problems the Probation Office faces is when a defendant is picked up on a failure to appear (FTA) or failure to pay (FTP) warrant, the defendant has the option of resetting the date of appearance and can receive a “get out of jail free” (GOJF) paper. Defendants are usually not required by the Court to post bond to insure their next appearance. Many times defendants fail to appear and when apprehended again, the process is repeated.

When probation is revoked, probation monitors present the notice of revocation to the defendant through contract process servers. Return of service does not always come back to the monitors in a timely fashion, thus creating more delay.

Some of the case processing problems and paper flow issues probation monitors face is that judges enter minute orders on a 5-part NCR form. Probation monitors receive the fifth copy and usually find it quite difficult to read. Time is then spent getting the original court file and reading the same order again from a more legible copy. Complicating matters is that a few judges’ handwriting is difficult to read and thus more time is spent deciphering orders of court. Presently, there is not a unified tickler file system tracking when reports are due to the Court. This can cause delay and duplication of effort if another appearance time has to be set.

Support staff in the office process Breathalyzer™ tests, urinalyses, and record defendants’ self-administered prescription drugs. Presently, information on defendants’ appearances, and preparation of forms and reports is handwritten

or typed individually. Interviewees reported that voice mail does not support defendant reporting to probation monitors' telephones. In general, paper work from the courtroom sent to the office is not processed in a timely fashion and there are delays. Presently, support staff operate in cramped quarters, use old or broken equipment, and are subject to constant interruptions due to the flow of traffic through their work areas.

RECOMMENDATIONS

34. It is recommended that once data on defendants is entered in courtrooms by in-court teams, the FACTS™ application provide probation monitors with immediate access to minute orders, assignment of monitors, report due dates, summons information, and other pertinent data needed to more efficiently discharge their duties.
35. It is recommended that the associate presiding judge reviews and improves the Failure to Appear (FTA) system and the Court's "get out of jail free" (GOJF) system. It is further recommended that an improved system of posting cash bonds be instituted.
36. It is recommended that at the time of sentencing, judges assign a specific probation monitor to a defendant. It is further recommended that a system be developed to insure the defendant appearing for sentencing will go immediately after court to the Probation Office for initial orientation and to set a meeting with his or her assigned officer.
37. It recommended that FACTS™ be used to produce reports that track and monitor defendants' Breathalyzer™ tests and record defendants' self-administration of drugs and paperwork for urinalyses.

b. Sentencing Enforcement Office

The Sentencing Enforcement Office develops payment plans for the collections of fines and fees from defendants who have recently appeared in court. As a matter of practice, collection officers try to receive 25% of assessments that are due at the time of the first interview and offer incentives to defendants to pay their fines early. The office does not accept payments on-site, but requires defendants to go to the Public Service division's front counter to make payment. This process not only increases defendants' waiting time, but adds to their frustration with the Court as well. Presently, the Court holds approximately 75,000 outstanding active warrants that involve unpaid fines, fees, alcohol-related costs, and failures to appear. Summonses are mailed (summons mailers) regularly to defendants who owe the court money. This practice is cumbersome and time-consuming, and has not provided the expected result in terms of payments being remitted to the Court in a timely manner.

In order to increase payments to the Court, employees in the division want to institute a "call-back unit" that would follow-up summons mailers with personal telephone contact to defendants. There is also interest in placing an ATM machine in the courthouse so defendants can access cash to more readily pay fines and fees.

The project team has some question regarding the physical location of the Sentencing Enforcement Office and whether its functions should be merged with the Public Service division. Collection officers need to have direct access to financial information on FACTS™ and should be in the proximity of the arraignment courtroom and Public Service counter.

RECOMMENDATIONS

38. It is recommended that court administration improve customer service by consolidating the Sentencing Services division with the Public Services division. It is further recommended that once this transfer is accomplished, enforcement officers receive in-service training in the collection process, use of AOC standards, and how FACTS™ can be used to improve the collections process.

39. It is recommended that after one year all Failure to Pay (FTP) warrants be turned over to a private collection agent for processing.
40. It is recommended that court administration establish a “call-back unit” within the Financial Enforcement Office in order to assure defendants’ back payments are made to the Court in a timely fashion.
41. It is recommended that court administration work with the City to develop a public service program where defendants can perform work at public agencies in lieu of payment of fines and fees.

E. Court Services

1. Overview

The Court Services division consists of approximately 19 staff members. The role of the division is to deal with the many business processes of the court. The main functions of the division include file management, motions to withdraw, transfers, criminal set asides, failure to appear resets, calendaring, arraignments, appeals, motions, records requests, pulling terminated cases, pulling and filing case files in general, and bonds.

File management includes the process of tracking records and case files within the Court. This involves entering the docket number, date, and party information onto the REACT system to determine the location of a file. REACT also has a field that should denote the last location a file was sent. However, many times court staff remove files without informing someone from Court Services so they can enter the location information onto the system. Many files disappear this way, because without the REACT location information, there is no way to determine the location of the file.

Court Services also adds motions to withdraw dates and times to the system on the scheduled event screen. This is also done for case transfers to denote that the case has been transferred to another court. The information includes the date, event type, name of the judge who ordered the transfer, and a note field to note any other information pertinent to the action.

Criminal “set asides” are also handled by this division. This involves having the defendant complete an application to set aside action, sending the application to a judge for a ruling, inputting the ruling onto REACT, and distributing copies to all parties to the action. In addition, the division resets hearings for defendants cited for failure to appear by receiving the paperwork from Public Services, verifying the information contained in the paperwork, and pulling the file and sending it to the calendaring or arraignment section for processing.

Court Services is also in charge of calendaring. This involves scheduling events for court sessions by downloading them from REACT to a PC located in the Calendaring section. Calendaring then formats those files into the calendar form using WordPerfect™. Case files are then located and matched with each case listed on the calendar. Courtrooms and judges are then assigned to each event listed on the calendar. The calendar is printed and distributed, and case files are sent to the appropriate courtroom with a copy of the calendar attached. There is a similar process for calendaring arraignments. During arraignment hearings, roll call is taken in court and all pleas are recorded manually on the session docket. Judge rulings and minute order entries are also completed manually. Case files of all those defendants who did not respond to roll call (and are deemed as FTAs) are sent to Case Management for warrant preparation.

When a defendant files a request for an appeal, the hearing transcript is prepared or a copy of the audio tape is made for the Pima County Superior Court hearing. Court Services copies the case file and forwards it to the Superior Court. Any City Court disposition is entered into REACT as a “stayed pending appeal.” Upon the Superior Court’s ruling, this entry is updated on REACT.

When motions are filed by attorneys or pro se litigants, the corresponding file is located and the file and motion are routed to the appropriate judge for ruling. Once the judge renders a ruling, the case files are returned and then sent to the appropriate division to be updated in REACT.

Court Services also handles requests for records made by the public. Files are pulled for customer review and any requested copies are made for the interested party. In addition, this division also attempts to locate missing calendar files. Files become lost

because many times files are pulled without adhering to the proper procedures.

Therefore, information is not entered into REACT as to where the file is located or who last had possession of it.

In addition to these other general duties, Court Services also handles all bond issues. When out-of-jurisdiction bonds are received through the mail, the mail clerk updates REACT to reflect this information. A Failure to Appear (FTA) warrant is set for arraignment and notifications to all parties are sent out. If a Failure to Pay (FTP) warrant is outstanding, it is quashed by Case Management.

If a bonding agent appears at the Public Services counter to post bond for a defendant in custody, the Public Services clerk retrieves the file and calls the jail for bond information on the defendant. The clerk then accepts the bond payment, issues a manual receipt, and updates REACT. The FTA requires additional paperwork to be completed and filed. FTPs go directly to the bond clerk, REACT is updated, and the bond is converted.

Court Services staff also handle all the paperwork from the jail. Staff pick up tickets and booking forms from the jail, as well as pre-trial services paperwork. These are separated out for the various agencies that require copies such as the city police, prosecuting attorney, and the Court. The information on the tickets is verified for accuracy, especially the citation number, with the information on the REACT system. Staff also stay in constant contact with the jail in the event that additional paperwork is needed as well as to determine if the defendant has special needs such as an interpreter or if the defendant is violent.

In order to process all the paperwork necessary before the in-custody arraignments and hearings are heard, staff must arrive at the jail at 5:00 a.m. to pick up the paperwork that includes the booking sheets, citations, and pre-trial work-ups. In addition to verifying the accuracy of the paperwork, staff must run the names on REACT for warrants, probation revocations, and pre-trial sets. This entails looking up all names to find the right person, then checking each screen for outstanding warrants.

2. Issues and Findings

Many of the issues involving the Court Services division center around the REACT system and dealing with manual forms. As would be expected, issues in other

divisions, such as Case Management, have a domino effect on Court Services. Other issues are also affecting the performance of Court Services staff. Outlined below is an overall analysis of these issues.

Division staff cite several examples of problems that exist that adversely affect their job performance. For instance, issues with the REACT system were plentiful. Staff have a difficult time determining sentencing orders handed down by judges. This is especially true when the judge gives the defendant the option of community service or paying a fine. This sentencing choice doesn't appear on any one screen on REACT but requires staff to scroll through multiple screens to determine the correct sentences. When someone new attempts to process these, they are not aware of this anomaly and often miss these sentencing options.

Staff also generally cite problems with REACT not being user-friendly to quickly look up needed information. The system requires that multiple screens be accessed to find any information needed. Cases must be accessed one by one to discern all the details of a particular defendant's case history with the Court. It is currently not possible to seek defendant information by name, social security number, and offense to get a complete case history. The system also does not provide the defendant's name, case docket number, and a listing of all charges on one screen. Staff estimated that at least two hours a day (and maybe more) is wasted having to search for this information a single screen at a time.

The division also receives approximately 200 to 225 requests per week for case summaries. In order to fill these requests, staff must take information off REACT and type that information onto a disposition information form. This search of information is conducted by name of the defendant. If the defendant has multiple charges, this information must be accessed individually, rather than from one summary screen. There is no screen available that will provide the defendant's name, social security number, docket number, and list of all charges. A separate screen must be accessed for each element. Other information needed includes aliases and birth dates.

The staff is also experiencing problems with records management. Although the staff likes the file management program on REACT, problems are arising with tracking files because it isn't being used effectively. A significant problem exists with judges and

other divisions failing to notify Court Services that they are checking out a file and entering the information on REACT, or taking files and misplacing them. A records division staff member must literally conduct a physical search throughout the courthouse to locate missing files. Sometimes they are successful, many times they are not. Although REACT provides a good system to track case files it is not being used. Many times court files are taken without the knowledge of Court Services staff, and no entry is made on REACT to indicate who checked out the file. Even if the information is noted in REACT, it is not updated when someone else borrows a file from the original borrower, therefore staff lose track of it completely.

Record retention procedures are also somewhat problematic for the court. A case file is created for every case type except parking, civil infractions (unless there is a hearing), ordinance violations, and protective orders. Criminal misdemeanor case files are kept for five years; no proof of insurance case files are kept for three years; and traffic case files are kept for thirteen months before they are destroyed. In total, approximately 7,000 files are destroyed or archived each month. Files date back to 1986 (the date that the court went onto the REACT system). In addition, all information is also purged from the system when the hard copy is destroyed. This creates problems when the division receives a request for final disposition after the file is destroyed. There is no way to get the information to the agency or person who requests it.

Court Services also handles a large amount of motions daily. The division processes about 2,000 motions per month, or about 100 per day. When a motion is received, usually filed by an attorney, the clerk must check the calendar to determine if there is an upcoming court date on the matter. The case file must then be pulled, file management information entered on REACT, and the file sent to the assigned judge. This can be a serious problem when the file is missing and the file management information has not been entered properly.

As stated earlier, problems or unilateral changes in policy in one division can have a domino effect on other divisions. For instance, a significant problem in this division occurs when the dockets are late in arriving from Case Management. This backs up the entire process for Court Services and in turn causes backlogs in their processes. Additionally, because this division handles case file management, it is acutely aware of

the problem of missing files. Other divisions misplace files, which has an adverse effect on Court Services. Staff must spend time looking for lost files, which interrupts their work patterns and causes delays and backlogs.

When data entry errors occur, this also causes delays and back-logs. Staff must verify the information on the system with the hard copy file before they can continue to process the file. Errors occur due to improper data keying and because of illegible handwriting. If the error is attributable to the police officer, an amendment must be made by the Court or prosecutor to correct the file.

In the bond division, errors are also causing delays in processing. Sometimes, funds are placed in the wrong account or overpayments are accepted that require additional paperwork to issue a refund. It requires several people to process a refund check due to current accounting standards. Because the division deals with twenty to thirty overpayments each day, this takes a significant portion of the day to correct. When these errors are not caught in time, defendants will receive a Failure to Pay letter even though they have paid what is owed. This not only occurs with bonds, but also with fine and fee payments. This problem happens when the system is not updated when payments are made.

The Court acts as a clearinghouse for restitution payments. Tracking restitution payments is done manually. The daily reports of payments received and made are done by hand and by reviewing every payment made. Staff must also look up each victim's address individually to send payments.

Staff must also prepare appeals to the Superior Court by typing transcripts manually. They then enter the appeal and all case activity associated with it on the system. A report is generated from this data entry; however it contains such minimal information, it really is of little use. Typing transcripts is also a very time-consuming job.

As with other divisions in the Court, Court Services is currently operating with an acting division manager. Although she is doing an adequate job running the day-to-day operations and acting as division manager, the level of commitment to both jobs is divided. It is imperative that court administration assign or hire a permanent division

manager as soon as possible. Until this is accomplished, no real improvements can be made to the division.

Without a permanent division manager, the division is basically rudderless. There is no incentive to increase productivity or to train staff in proper procedures. Typically, an acting division manager most often times maintains the status quo, and that is the situation in Court Services. However, it should be noted that maintaining the status quo is not necessarily the fault of the acting division manager, but instead is a result of staff not having a sense of commitment to a leader who is only temporary. In order for the division to move forward, changes must be made. A permanent division manager will be able to work with staff to improve communications, training and procedures, and work to improve current deficiencies inherent in the operations of the division such as better case file tracking mechanisms.

Currently, many of the functions required of court staff must be done manually, which involves typing information off the REACT system onto NCR paper forms. This is duplicative and time-consuming to say the least. The amount of time saved by using word processing forms alone would save enough staff time to deal with other issues such as locating lost files or working to alleviate backlogs.

In order to deal with this situation in the most effective manner, court administration should review all forms and procedures that are currently required to be accomplished manually. Once all manual forms and procedures are identified, the committee can then design word processing forms that can be used to prepare required paperwork on-line, rather than by handwriting or typing them. In addition, the committee should work with the FACTS™ implementation staff to determine what forms the software will generate so that no duplication occurs.

Once these issues are identified, a training program should be developed that will allow each staff member to learn how to prepare all necessary forms using either word processing software or FACTS™.

As discussed previously in this report, a common complaint heard by project staff was the impact the actions of another division had upon the division staff being interviewed. This appeared to be a common pattern throughout the Court. The isolation of each division became more and more apparent with each interview conducted. It also

became apparent that because of this isolation, each division's policies and procedures evolved into something quite different from the original intent of the Court. In addition, these procedural changes have had an impact on the other divisions and have caused them to alter their procedures as well. Thus, the return of the domino effect.

This phenomenon is especially magnified in Court Services. Because this division is at the heart of the court information system, transferring information and data from one division to another, any bottlenecks in the system become greatly magnified. For instance, because sentences requiring either community service or a fine cannot be entered on REACT, staff must go through each screen on the system to determine what is the correct sentence. This is very time consuming and could be alleviated if the information was either available on one screen with FACTS™, or was transferred to Court Services on a form.

The biggest problem the Court faces is with file management. When another division or a judge loses a file, it is up to Court Services to locate it. However, because many times the file management screen is not updated with who is in possession of a file, it is often a time-consuming and futile endeavor to locate missing files. If each division cooperated in keeping the file management screen current, this problem would be minimal.

Another problem in this area is with in-custody information. Because Case Management is sometimes backlogged several days with data entry, jail information is not available for Court Services at the time of arraignment hearings. Although inputting this specific information is not a priority for Case Management, it is a priority for Court Services. The delays in getting this information has a directly adverse impact on their ability to complete their assignments in a timely manner.

Currently, Court Services staff must go to the jail at 5:00 a.m. to pick up booking forms, tickets, and pre-trial services paperwork to verify information, prepare paperwork for the court, police, and prosecutor. They also check warrants for accuracy and quash warrants when required. Should these Court Services staff remain throughout the day, until the Court closes, this could become a Fair Labor Standards Act issue by allowing staff to work too many hours. It also poses a potential safety problem.

Because this paperwork must be processed in time for the statutorily required arraignment within 24 hours for in-custody defendants, and because the paperwork and verification must be conducted mostly manually, staff are required to begin this process at 5:00 a.m. The process should be reviewed immediately to reduce the amount of work required, or assign additional staff to the process in order to be able to have all paperwork ready by the arraignment hearing time. In addition, this procedure should be reviewed as a potential safety problem. When staff are required to pick up paperwork at the jail and then process at the court, they are the only staff in the court facility at that early hour. No security personnel are there at that time. Staff indicated that it is unnerving to be alone in the facility at that time of morning knowing that someone could potentially enter the building without their knowledge. By shifting responsibilities for this task to more staff members, or having the jail either fax or courier the information to the court, staff could process the necessary paperwork in time for regularly scheduled arraignments.

RECOMMENDATIONS

42. It is recommended that a full-time permanent division manager be hired as soon as possible in Court Services in order to bring a sense of continuity, accountability, and direction to the division.
43. It is recommended that the Court review the process of sending a staff member to the jail at 5:00 a.m. to gather paperwork that must be ready for that day's arraignment calendar.
44. It is recommended that court administration review its check-out system for court files. It is further recommended that any revised system use outcards and FACTS™ to track the location of open or closed court files.

VI. FACTS™ Analysis

A. Overview

The goal of this project is for the National Center for State Courts to provide Arizona's Administrative Office of the Courts with a report that can be used to facilitate the implementation of the FACTS™ case management application in any large volume court. At the same time, the NCSC project team is also reviewing a particular court's readiness for the installation of this particular case management system and its ability to take best advantage of the technology once it is in place. Therefore, based on some very specific experiences, we are attempting very broad generalizations.

The implementation of any new application provides many opportunities to re-engineer the business of the court. Unfortunately, what most often happens is that the entity implementing the new application attempts to fit it into the same old work processes because that is all anyone has time to deal with. It is hoped that some of the issues identified by NCSC will prove useful in implementing this application in any Arizona court.

FACTS™ provides to the Tucson City Court case, calendar, statistical, and financial management modules as well as report generation to support the Court's caseflow processing. In this particular instance, the Court is implementing a Windows™ version of FACTS™ but it is a version not available anywhere else in the State. By its adoption of this application, the Court receives enhanced assistance from the AOC, avoids the Y2K conversion of REACT, and enjoys expanded functionality over that available in its present system. However, such benefits are not achieved without cost. The Court must quickly make the leap to point-and-click technology, a client/server environment, and an enhanced local area network. At the same time, other justice entities within Tucson and Pima County are looking to access improved information provided by the Court within this new system.

This section will discuss some of the issues that any court must face in implementing the FACTS™ application. NCSC has identified six areas: Ownership Roles, Training, User Involvement, Implementation, Documentation, and Evaluation.

B. Ownership Roles

As a court develops and implements FACTS™, it must be clearly understood by all of its users that the new case processing system is not going to solve all of the court's problems. However, the manner in which FACTS™ is introduced into the court and how well other criminal justice agencies are able to access its data base, will certainly contribute to its success.

Ownership of the new FACTS™ system is not difficult to define. It is apparent (1) PSI developed the system, (2) Arizona's Administrative Office of the Courts has purchased the rights to use it in the Arizona court system, and (3) the court will be implementing it to improve its case processing, financial tracking, and service to its internal and external customers. It is important, however, that the court implementing FACTS™ obtain buy-in from its own constituency even though the court did not have input into either the development or the selection of the system.

Prior to the implementation of the system it is important that all of the court's internal and external users be identified and provided basic orientation and training in the use of FACTS™. Moreover, in order to broaden the base of ownership of the system, court administration must continue to actively solicit input on implementation of the system. Internally, judicial and non-judicial officers must perceive that they are part of the implementation effort. Further, they need to know how it will benefit their work. External users of the system such as the prosecuting attorney, public defender, law enforcement officials, members of the bar association, and the public must understand how FACTS™ will improve communication with the court. This is only accomplished through ongoing communication and training. Once external parties' access to the system has been determined, procedures must be put into place that makes inquiries for information easy and accurate.

The court faces a sizeable challenge to prepare its internal and external customers to understand, accept, and use FACTS™ in an effective and efficient manner. As discussed in the following section on training, users need to have a better understanding of the system, what information it can provide, and just who will have access to what data. Although the court has done a good job of preparing internal and external customers regarding the advent of FACTS™, there is still some more educational work that needs to be done by court administration.

C. Training

Training is key to any successful implementation effort. Training must be specific to the user's requirements, contemporaneous to the user's need for proficiency in the application, and connected to something the user already knows. If what is taught is not relevant to the user's functions, it will not be learned. Therefore, training sessions must be tailored to identified functions and workgroups within the court. It is a waste of training dollars to teach someone an application that will be used a year later. The training will need to be repeated once the user is ready to use the application. Training works best if it is built upon a solid foundation of knowledge already in place. Trainer teams consisting of a training expert, an applications expert, and a functional expert from a particular court workgroup can be put together to create and hold training sessions that are both relevant and informative.

Attendance at training sessions should be supported by court administration by either holding the session during the normal workday and relieving the individual of normal work duties or through paid overtime. Simply making training available does not mean that training is done. It is the exceptional individual who will take personal time to learn something that is not immediately required within one's job.

Within the Tucson City Court, training groups should be immediately identified and formed by court administration. While many of the Court's training needs have already been documented (computer literacy, Windows™ training, FACTS™ training) and addressed, it is necessary to identify those groups that will be formed because of process re-engineering. It may be possible to initiate in-courtroom data entry on the REACT system. This would minimize disruption by bringing Case Management into the courtroom using a known system before requiring use of a system where proficiency must first be gained. The Court would have time to test the flow of information, people, and paper while still using a familiar system. It would also allow the Court to determine where in-courtroom data entry might be most effective before it is faced with doing that data entry on FACTS™. It is also necessary to review any training that has already taken place and determine if it must be repeated. It is also important to identify those individuals who can assist both the trainer and the applications expert in scripting and holding training sessions.

D. User Involvement

Successful implementation requires user involvement at all stages of implementation: planning, training, testing, roll-out, and evaluation. It must be remembered also that court managers are not always the most current, most proficient, or most knowledgeable users. And it must be remembered that it is operational knowledge, not technical knowledge, that is needed from the user. It is important for a court to identify key personnel within each division and make them part of an implementation team that will lead the court to a successful installation. But it also means that the court must be willing to relieve those staff members of normal duties so they may participate fully in the implementation effort. It may also mean that division managers must be willing to learn from those they supervise. But participation in an implementation team spreads significant knowledge throughout the court and provides many opportunities for job enrichment. The technologist is not the expert on how the court operates just as the functional user is not the expert on the technology. But together they have all the pieces of the puzzle that can make FACTS™ work in their division.

It is a shared responsibility between a court and the Arizona Court Automation Project (ACAP) team to assure a successful implementation. Arizona's Administrative of the Courts cannot achieve this goal without the full and equal participation of the court. Therefore, direction of the implementation effort must come through the local entity in order to achieve the necessary commitment and buy-in to the project. Each has a significant contribution to make to the implementation. Early involvement and assumption of responsibility by the court assures ownership of the project and creates an investment that results in a successful effort.

Court administration should identify a functional project manager to begin working with the ACAP team. This individual should have a good overall knowledge of court operations, should not be a technologist, and should be able to work with every division within the court. It is also important that this individual not be identified with a specific division within the court but be able to work equally well with all divisions. This individual should be assigned full-time to the project. To assist the functional project manager, a core user team should be formed. This group will be responsible for assisting ACAP and the technologists in training, business process re-engineering, testing, identification of phases, and other tasks as required.

E. Implementation

Four topics require immediate consideration during any implementation effort. These are the clean-up and migration of existing data, review of all source documents to be used in capturing data for system update, review, and appropriate re-engineering of existing business processes to take best advantage of enhanced automation, and identification of phases that may assist a court in scheduling training, testing, and roll-out.

All of these topics are user rather than technology-oriented and require user resources to address them. Assistance of a technologist may be necessary to accomplish the identification and isolation of dirty data, its clean-up, and its subsequent migration but because it is the information that is contained within the system that is being changed, it is the user who must assume responsibility for directing that change. Early user involvement in these implementation efforts means that training efforts are spread over a wider timeframe because user-evaluators must be trained in the system's requirements to assess forms, re-engineer current business processes to better utilize automation, and identify and schedule implementation phases.

From within the court's core user team and under the direction of the functional project manager, the court must begin work on these implementation activities that must parallel the work technologists are doing on the application itself. In essence, it is time for the court to dedicate some of its operational resources to the FACTS™ implementation.

F. Documentation

There are different types of documentation required in order to successfully install and then use an application. The application itself requires both technical and user documentation. This documentation should be embedded within the software itself and available in hard copy version as well. Scripted training sessions and other training materials are also documentation. In addition, application use should be identified with specific court operations. User documentation should not address the application in isolation but within the context of the work processes. This requires the integration of application tasks within the court's existing procedures and practices handbook.

G. Evaluation

The success of the implementation of an application and its subsequent use cannot be determined unless specific measures to evaluate that success are incorporated into planning, training, testing, roll-out, and use. Evaluation should cover three areas: utility of the application for the court's requirements, time required to gain proficiency in use of the application by its users, and impact on court operations. Evaluation criteria must be identified and designed as part of the overall planning for implementation. Evaluation cannot begin immediately after implementation but should be conducted the first time, six months after implementation and, then a second time, one year after implementation. It would also be prudent to provide for an annual review of the court's operations as supported by automation.

Does the application fulfill the court's requirements? The court should be able to operate with at least the same efficiency, functionality, and effectiveness as it did before the application was implemented. The point is not to move backwards. Prior to implementation, specific measures should be taken for use in comparisons during the first evaluation. One may choose to work with gross numbers, i.e., the total number of cases initiated within a certain timeframe, or with more discrete measurements, such as the length of time required to initiate different types of cases using the application. The length of time between receipt of the case and its initiation on the case management system is also another measurement that can be made. FACTS™ itself should be able to provide certain reports concerning the age of cases, timing of case events, and length of time from initiation to disposition by case type. In preparation for these comparisons, the court should gather similar data prior to implementation of FACTS™. It is hoped that the FACTS™ application will supply more functionality and automated support of business processes for the court. One way to evaluate the enhanced functionality of the application is to compare documentation changes involving the automation of tasks, work processes, or functions that were not automated before.

Time required to learn and become proficient in the use of the application should be carefully monitored and recorded. User levels should be identified and defined during the planning of the implementation. Proficiency must also be defined. Trainees should complete evaluations of each training session attended – once, immediately after completing the session and again, after having had an opportunity to practice what was learned in the session on the job. This will help both evaluate the success of the implementation and the relevance of the training.

The application's impact on court operations should also be considered. What is the average length of time an individual must wait for service? In some measure, this is related to the use of the case management application to check for case information, record payments, and generate receipts. Another methodology of evaluating the court's operations is to provide evaluation forms to users of the court's services.

VII. Conclusion

The judges, court administration, division managers, and court staff of the Tucson City Court should be proud of the progress they have made toward improving the operations of their judicial system. Despite a heavy caseload, a contentious public, and cramped facilities, judges, management, and staff work hard to attend to the Court's business.

It is important for everyone involved in managing the Court to review this report and prioritize and implement the many recommendations contained herein. In order to achieve this objective, the associate presiding judge and court administration must first establish an implementation team and then regularly hold meetings with city officials, judges, division managers, court staff, and other stakeholders in the system to inform them of the implementation process. Then the results and accomplishments from those meetings must be openly and actively communicated to all interested parties. Further, improved lines of communication must be established within the Court in order to develop and successfully use the concept of teams in the courtrooms. Then, the final challenge that remains for the Court is to remodel its public service space, reorganize its structure, and expeditiously re-engineer and standardize the many functions and processes that directly affect the implementation of FACTS™.

In closing, it is important to note that it was a pleasure for NCSC's project team to work in a court that was not only open to but also ready for change. And, it was heartening to work with individuals that were willing to learn from their past and move toward their vision - better service to the customer.

***"IMPROVING CUSTOMER SERVICE IS ACCOMPLISHED BY EFFECTIVELY AND
EFFICIENTLY HELPING ONE CUSTOMER AT A TIME"***

APPENDIX A

WORKFLOW ANALYSIS AS PREPARED BY THE COURT

- **COURT SERVICES WORKFLOW ANALYSIS**
- **CASE MANAGEMENT WORKFLOW ANALYSIS**
- **PUBLIC SERVICES WORKFLOW ANALYSIS**



COURT SERVICES WORKFLOW ANALYSIS

1. **FILE MANAGEMENT**
 - 1.1. Add record into REACT to track location of file. (*)
 - 1.1.1. docket number
 - 1.1.2. date
 - 1.1.3. location Sent
 - 1.1.4. note field (option)
2. **MOTIONS TO WITHDRAW**
 - 2.1. Add scheduled event with date and time of event. (*)
3. **CASE TRANSFERS**
 - 3.1. Add event to note a case has been transferred to other jurisdiction. (*)
 - 3.1.1. Date
 - 3.1.2. Event
 - 3.1.3. Name of Judge who ordered transfer.
 - 3.1.4. action
 - 3.1.5. result
 - 3.1.6. note field (option)
4. **CRIMINAL SET ASIDES**
 - 4.1. Criminal set aside application is completed by defendant.
 - 4.2. Application and file are sent to judge for ruling.
 - 4.3. Ruling is added to system using an event. (*)
 - 4.4. Copies distributed to appropriate parties.
5. **RESETS AFTER FAILURE TO APPEAR**
 - 5.1. Paperwork received from Public Services.
 - 5.2. Information is verified. (*)
 - 5.3. File pulled and sent to Calendaring or Arraignment section.
6. **CALENDARING**
 - 6.1. Scheduled events for a court session are downloaded from REACT to a pc in Calendaring. (*)
 - 6.2. File is formatted into calendar form (Word Perfect). (*)
 - 6.3. Case files are located and matched with each case on the calendar.
 - 6.4. Courtrooms and judges are assigned to each calendared event. (*)
 - 6.5. Calendar is printed and distributed. (*)
 - 6.6. Files sent to appropriate courtroom with copy of calendar attached.
7. **ARRAIGNMENTS**
 - 7.1. Arraignments scheduled for a particular session are downloaded from REACT into a pc in the Arraignment section. (*)
 - 7.2. File is formatted into calendar form (Word Perfect). (*)
 - 7.3. Case files are located and matched with each case on the calendar.

- 7.4. Case files are sent to appropriate courtrooms on date of arraignment.
- 7.5. Roll Call taken in court, and plea is recorded manually on session docket.
- 7.6. Judge rules and minute entry is completed.
- 7.7. Case files of defendants who have failed to appear are sent to Case Management for preparation of warrant.
- 8. **APPEALS**
 - 8.1. Defendant files request for appeal.
 - 8.2. Transcript is typed, or copy of the audio tape is made for Superior Court.
 - 8.3. Case file copied and forwarded to Superior Court.
 - 8.4. Case disposition is entered into REACT as stayed pending appeal. (*)
 - 8.5. Upon ruling, updated disposition is entered into REACT. (*)
- 9. **MOTIONS**
 - 9.1. Motions are filed daily by attorneys and pro se litigants.
 - 9.2. Corresponding files are located.
 - 9.3. File and motion are routed to appropriate judge for ruling.
 - 9.4. Upon ruling, files are sent to appropriate division for REACT update. (*)
- 10. **RECORDS REQUESTS**
 - 10.1. Request for information received by any customer.
 - 10.2. Files pulled for customer review.
 - 10.3. Requested copies made for requester.
- 11. **PULLING TERMINATED CASES**
 - 11.1. Aging report is generated on terminated cases based on the case type. (*)
 - 11.2. Report is utilized to pull corresponding case files.
 - 11.3. Files are boxed, labeled, and sent to City warehouse for storage and eventual destruction.
- 12. **PULLING AND FILING CASE FILES**
 - 12.1. Case files are pulled upon customer request.
 - 12.2. Returned files are re-filed in the record library.
- 13. **BONDS**
 - 13.1. Out of jurisdiction bond received through mail.
 - 13.1.1. Mail clerk updates REACT. (*)
 - 13.1.2. FTA warrant is set for arraignment and notifications sent. FTFP warrant is quashed by Case Management. (*)
 - 13.2. Bond Poster. Poster appears at Public Services to post bond for defendant in custody.
 - 13.2.1. PS clerk retrieves file and calls jail for bond information.
 - 13.2.2. PS clerk accepts bond and issues receipt.

13.2.3. PS clerk updates REACT. (*)

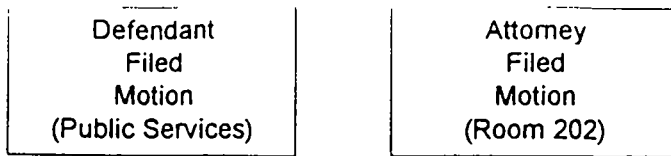
13.2.4. FTA generates paperwork, original to file. (*)

13.2.5. FTPF goes to Bond Clerk, REACT updated, bond converted.

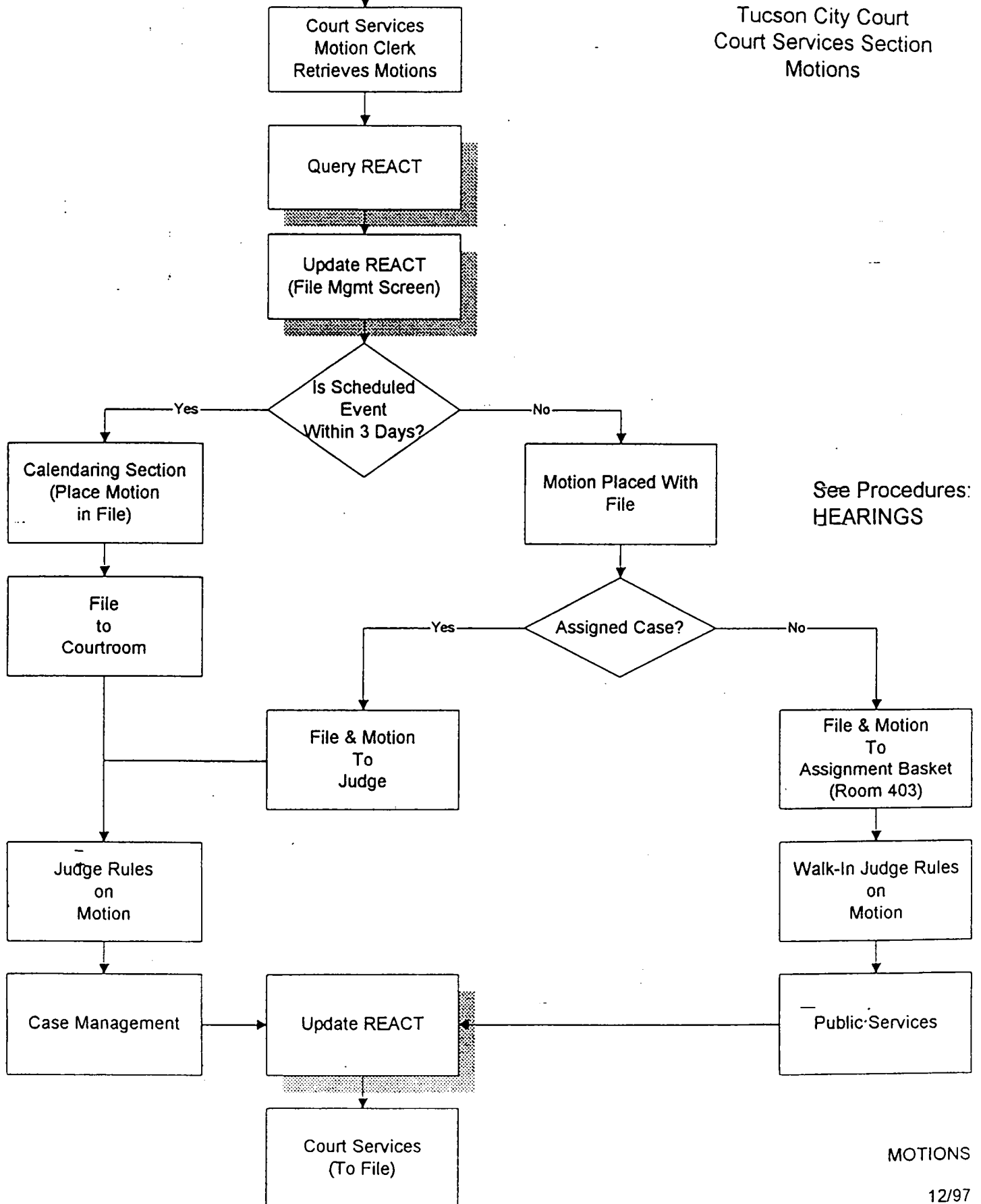
13.3. Superior Court Bond. Taken in at Superior Court and forwarded to City Court.

13.3.1. For cash bond, REACT updated, copy of documentation to suspense file. (*)

13.3.2. For surety bond, REACT updated, copy of documentation to case file. (*)



Tucson City Court
Court Services Section
Motions

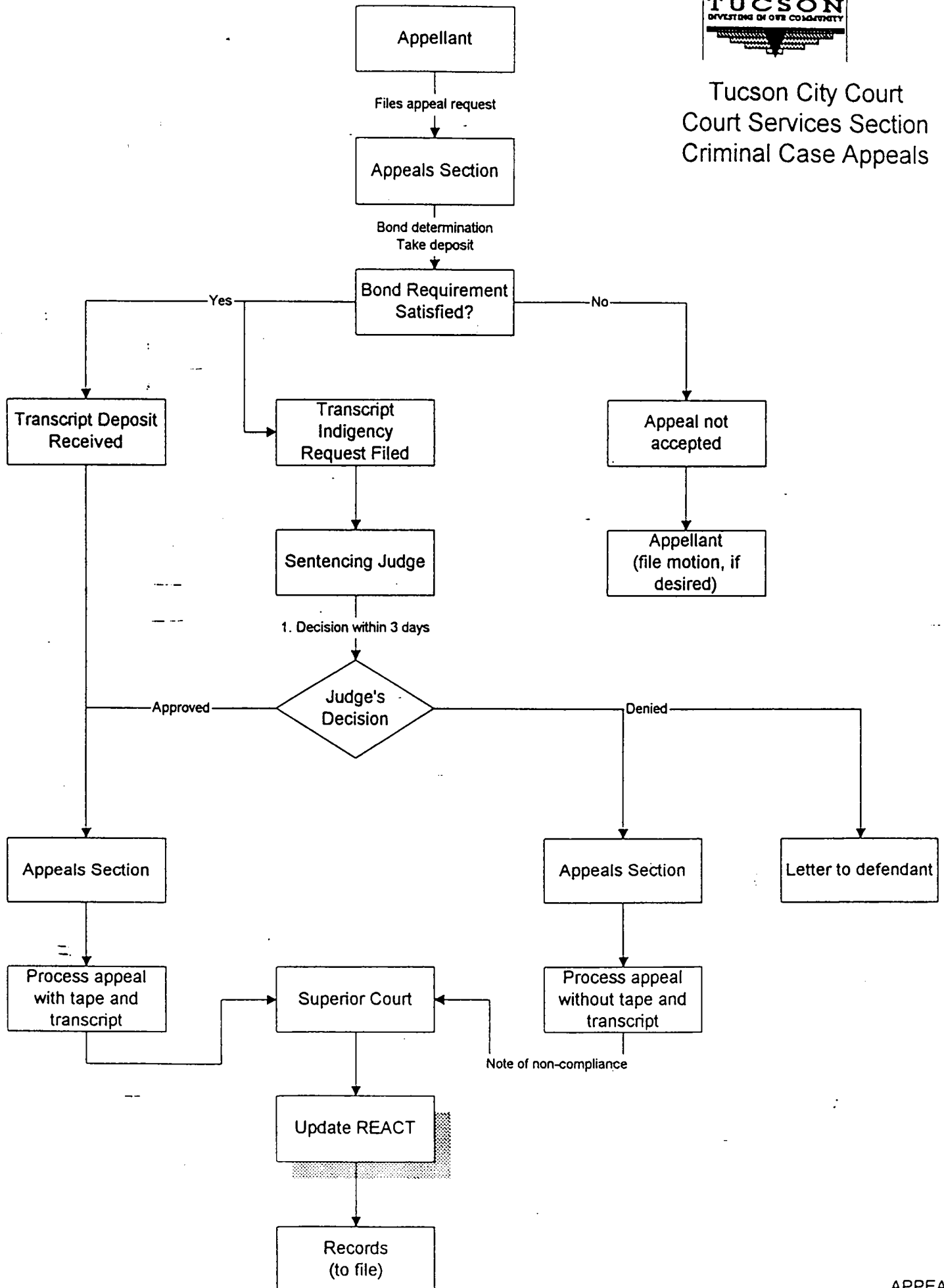


See Procedures:
HEARINGS

MOTIONS

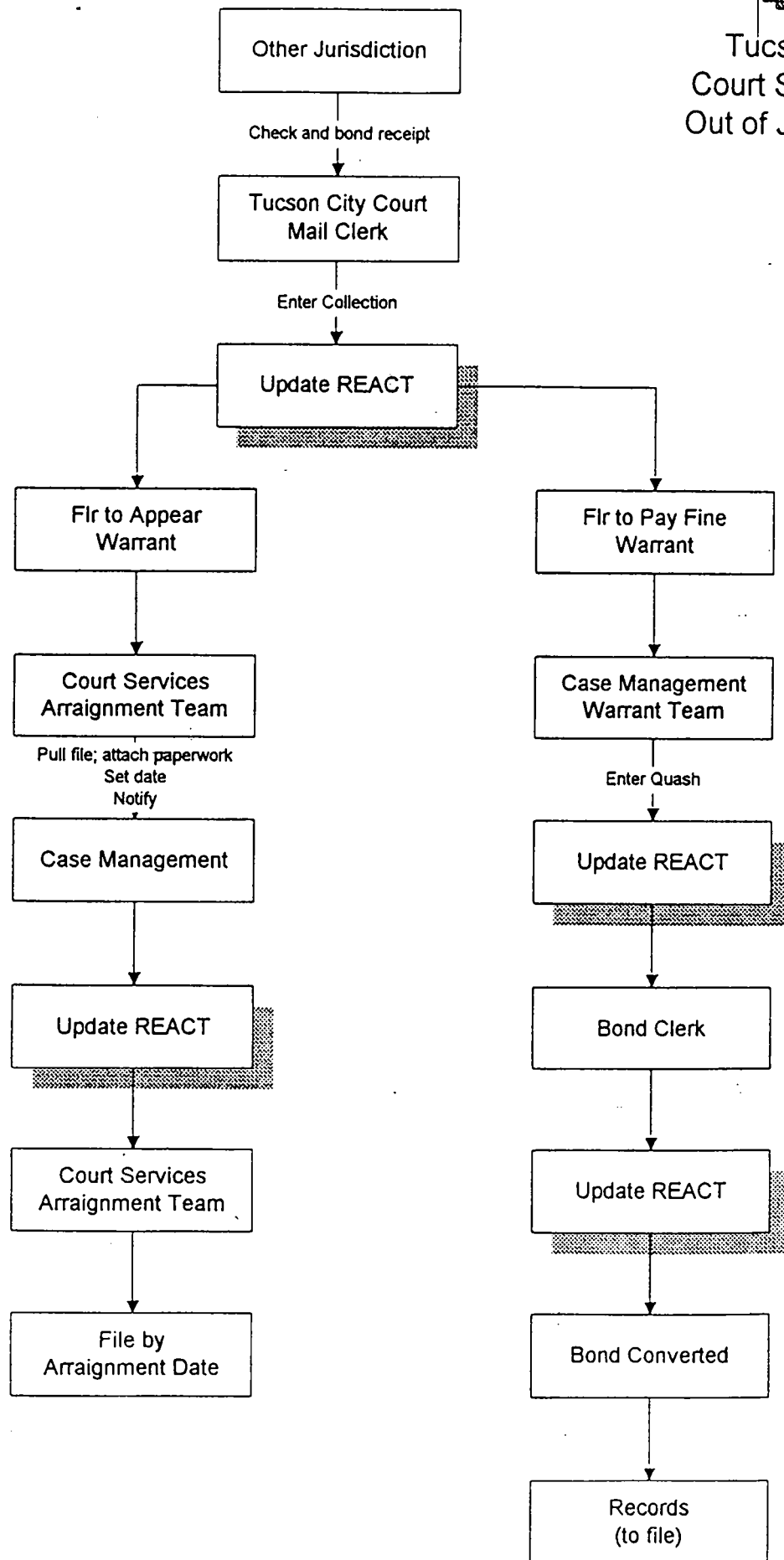


Tucson City Court
Court Services Section
Criminal Case Appeals



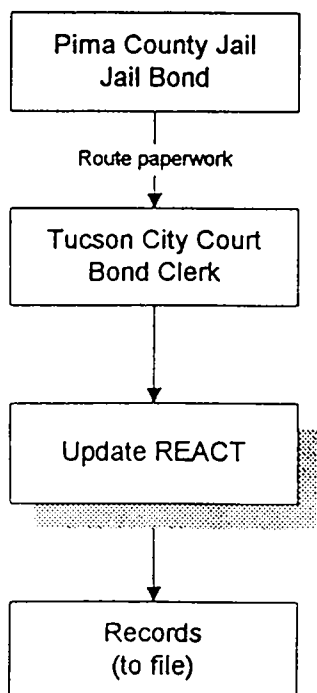
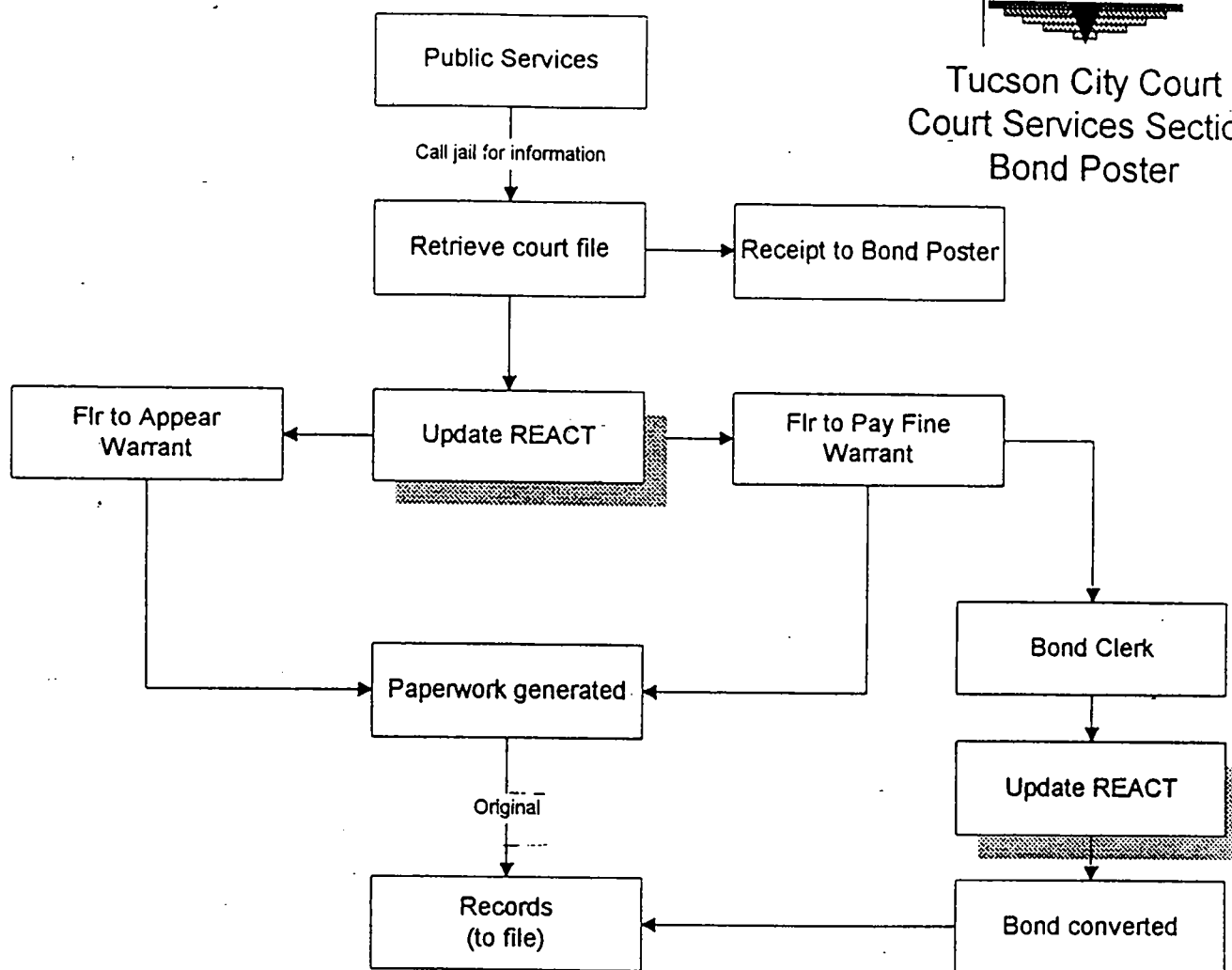


Tucson City Court
Court Services Section
Out of Jurisdiction Bond





Tucson City Court
Court Services Section
Bond Poster



1. FILE MANAGEMENT

- 1.1. Add record into REACT to track location of file. (*)
 - 1.1.1. docket number
 - 1.1.2. date
 - 1.1.3. location Sent
 - 1.1.4. note field (option)

2. MOTIONS TO WITHDRAW

- 2.1. Add scheduled event with date and time of event. (*)

3. CASE TRANSFERS

- 3.1. Add event to note a case has been transferred to other jurisdiction. (*)
 - 3.1.1. Date
 - 3.1.2. Event
 - 3.1.3. Name of Judge who ordered transfer.
 - 3.1.4. action
 - 3.1.5. result
 - 3.1.6. note field (option)

4. CRIMINAL SET ASIDES

- 4.1. Criminal set aside application is completed by defendant.
- 4.2. Application and file are sent to judge for ruling.
- 4.3. Ruling is added to system using an event. (*)
- 4.4. Copies distributed to appropriate parties.

5. RESETS AFTER FAILURE TO APPEAR

- 5.1. Paperwork received from Public Services.
- 5.2. Information is verified. (*)
- 5.3. File pulled and sent to Calendaring or Arraignment section.

6. CALENDARING

- 6.1. Scheduled events for a court session are downloaded from REACT to a pc in Calendaring. (*)
- 6.2. File is formatted into calendar form (Word Perfect). (*)
- 6.3. Case files are located and matched with each case on the calendar.
- 6.4. Courtrooms and judges are assigned to each calendared event. (*)
- 6.5. Calendar is printed and distributed. (*)
- 6.6. Files sent to appropriate courtroom with copy of calendar attached.

7. ARRAIGNMENTS

- 7.1. Arraignments scheduled for a particular session are downloaded from REACT into a pc in the Arraignment section. (*)
- 7.2. File is formatted into calendar form (Word Perfect). (*)
- 7.3. Case files are located and matched with each case on the calendar.

- 7.4. Case files are sent to appropriate courtrooms on date of arraignment.
- 7.5. Roll Call taken in court, and plea is recorded manually on session docket.
- 7.6. Judge rules and minute entry is completed.
- 7.7. Case files of defendants who have failed to appear are sent to Case Management for preparation of warrant.

8. APPEALS

- 8.1. Defendant files request for appeal.
- 8.2. Transcript is typed, or copy of the audio tape is made for Superior Court.
- 8.3. Case file copied and forwarded to Superior Court.
- 8.4. Case disposition is entered into REACT as stayed pending appeal. (*)
- 8.5. Upon ruling, updated disposition is entered into REACT. (*)

9. MOTIONS

- 9.1. Motions are filed daily by attorneys and pro se litigants.
- 9.2. Corresponding files are located.
- 9.3. File and motion are routed to appropriate judge for ruling.
- 9.4. Upon ruling, files are sent to appropriate division for REACT update. (*)

10. RECORDS REQUESTS

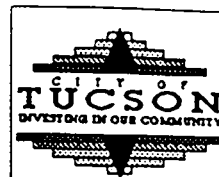
- 10.1. Request for information received by any customer.
- 10.2. Files pulled for customer review.
- 10.3. Requested copies made for requester.

11. PULLING TERMINATED CASES

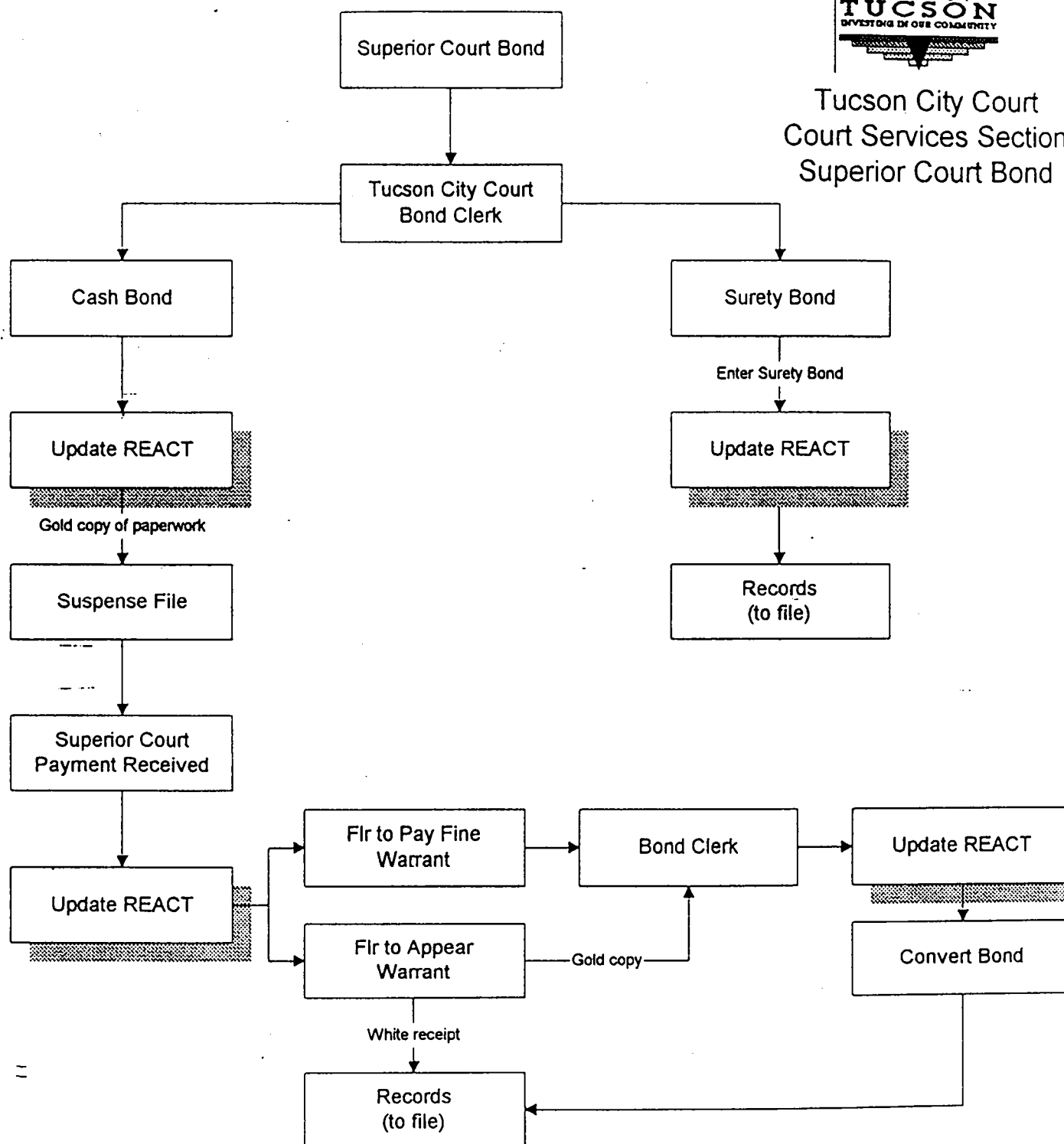
- 11.1. Aging report is generated on terminated cases based on the case type. (*)
- 11.2. Report is utilized to pull corresponding case files.
- 11.3. Files are boxed, labeled, and sent to City warehouse for storage and eventual destruction.

12. PULLING AND FILING CASE FILES

- 12.1. Case files are pulled upon customer request.
- 12.2. Returned files are re-filed in the record library.

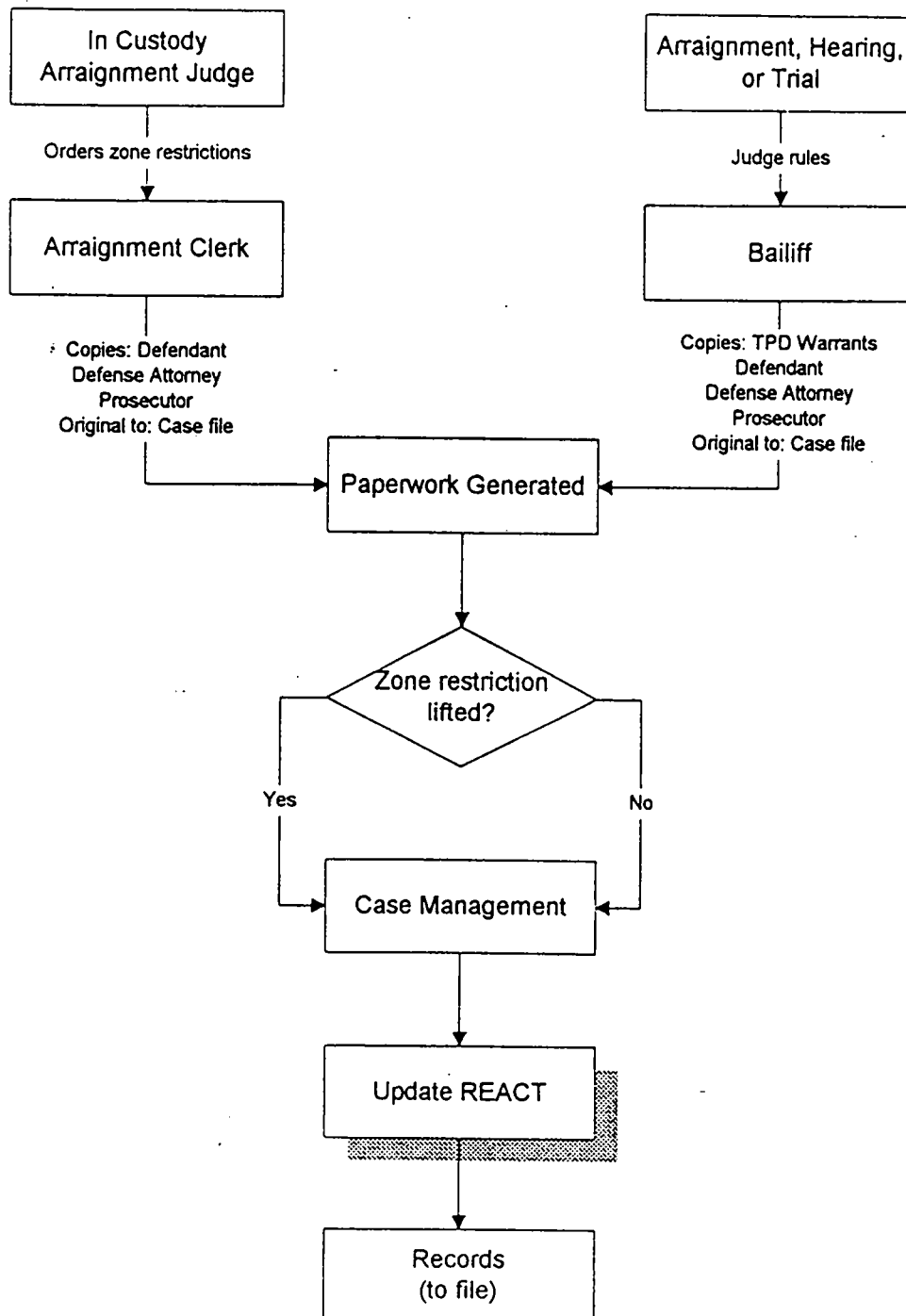


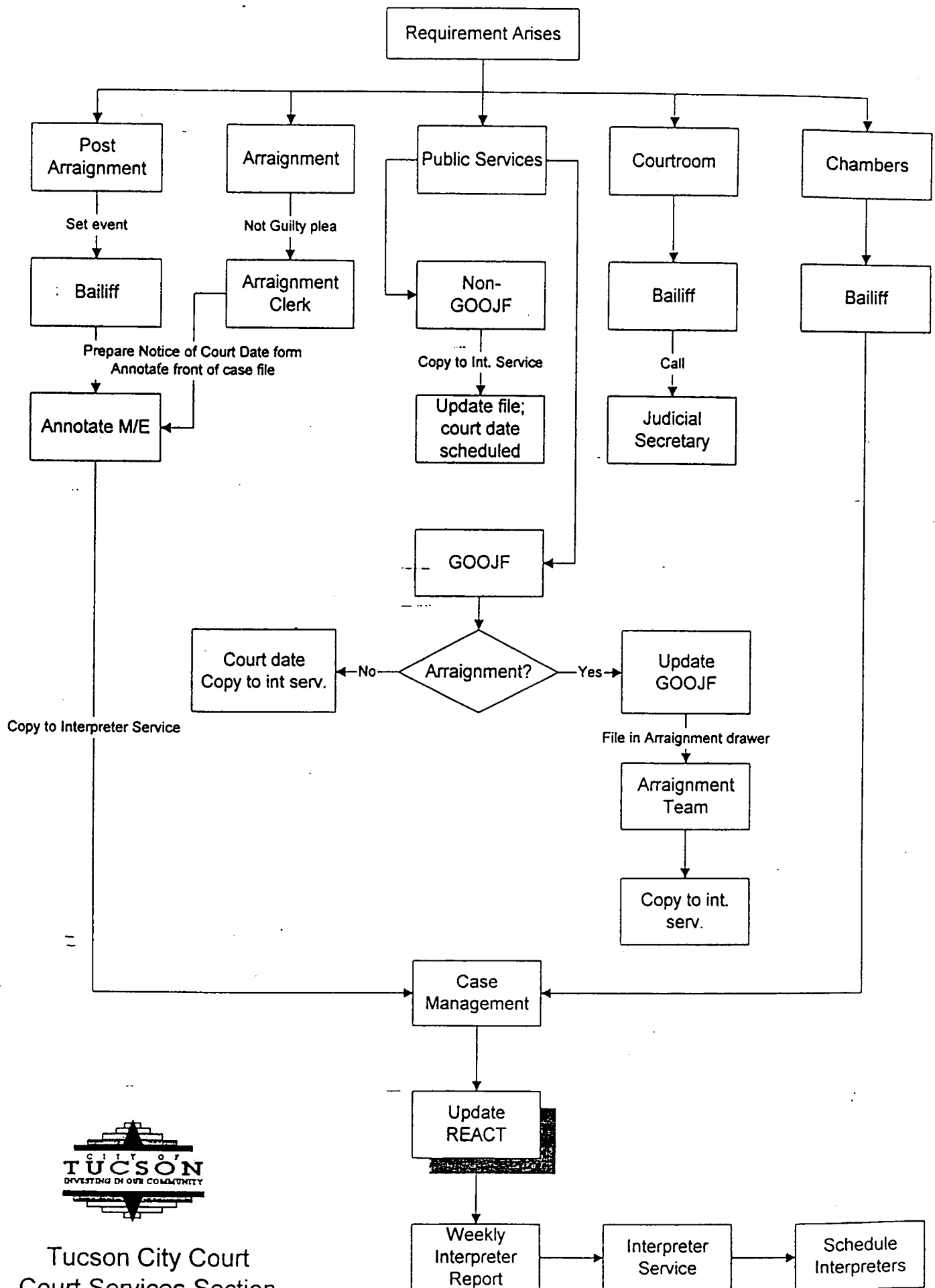
Tucson City Court
Court Services Section
Superior Court Bond





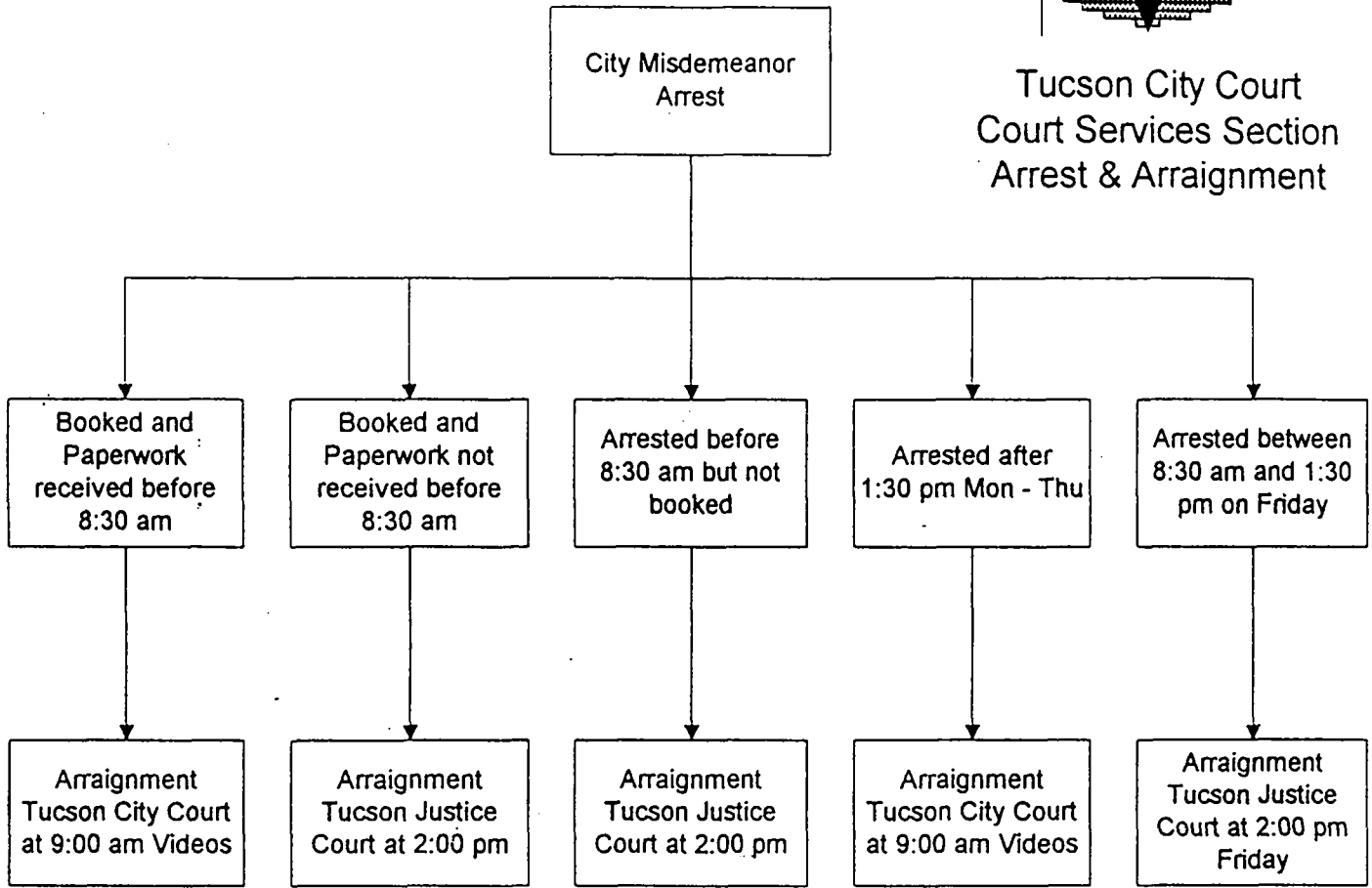
Tucson City Court
Court Services Section
Prostitute Zone Restriction





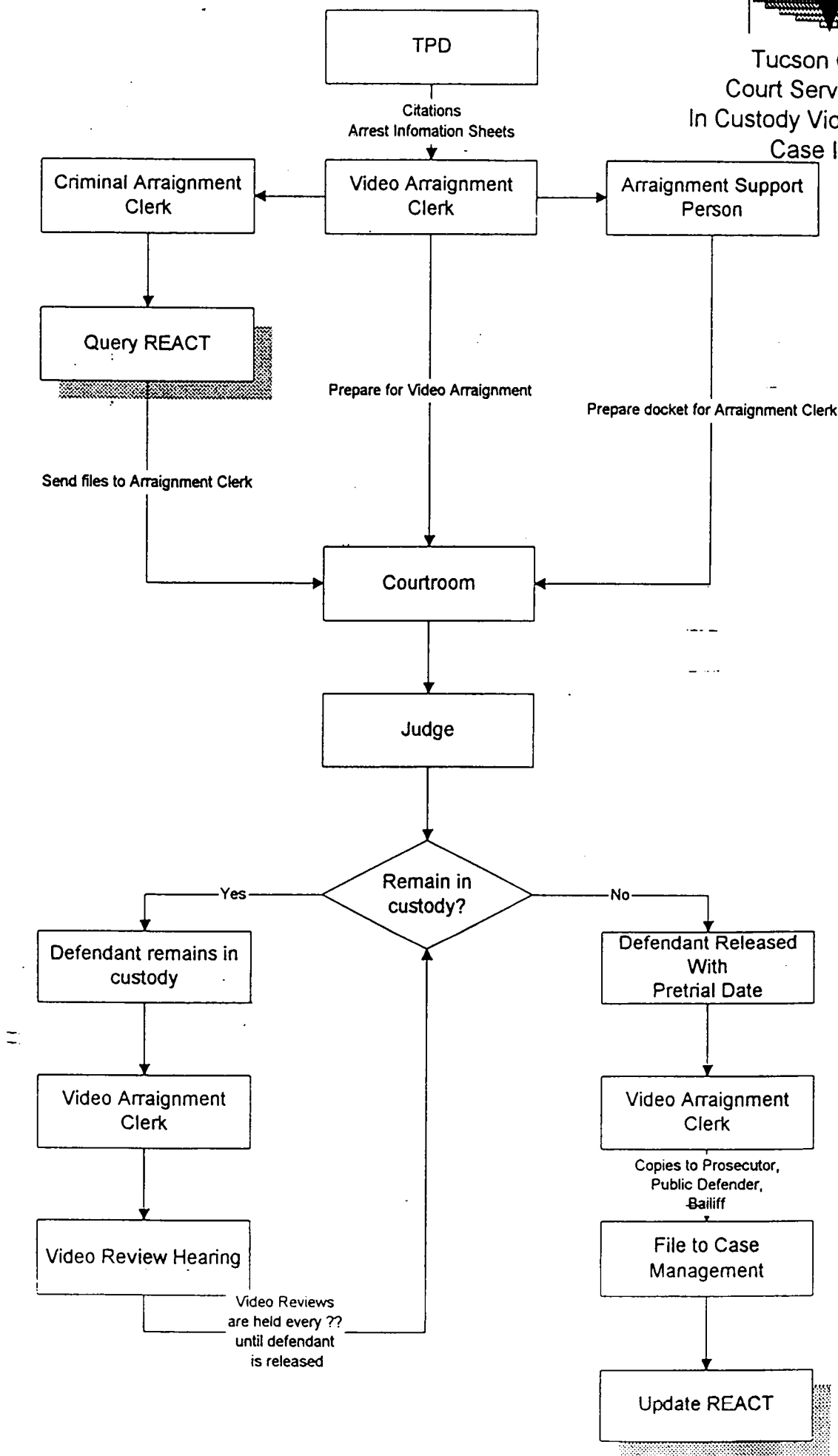


Tucson City Court
Court Services Section
Arrest & Arraignment





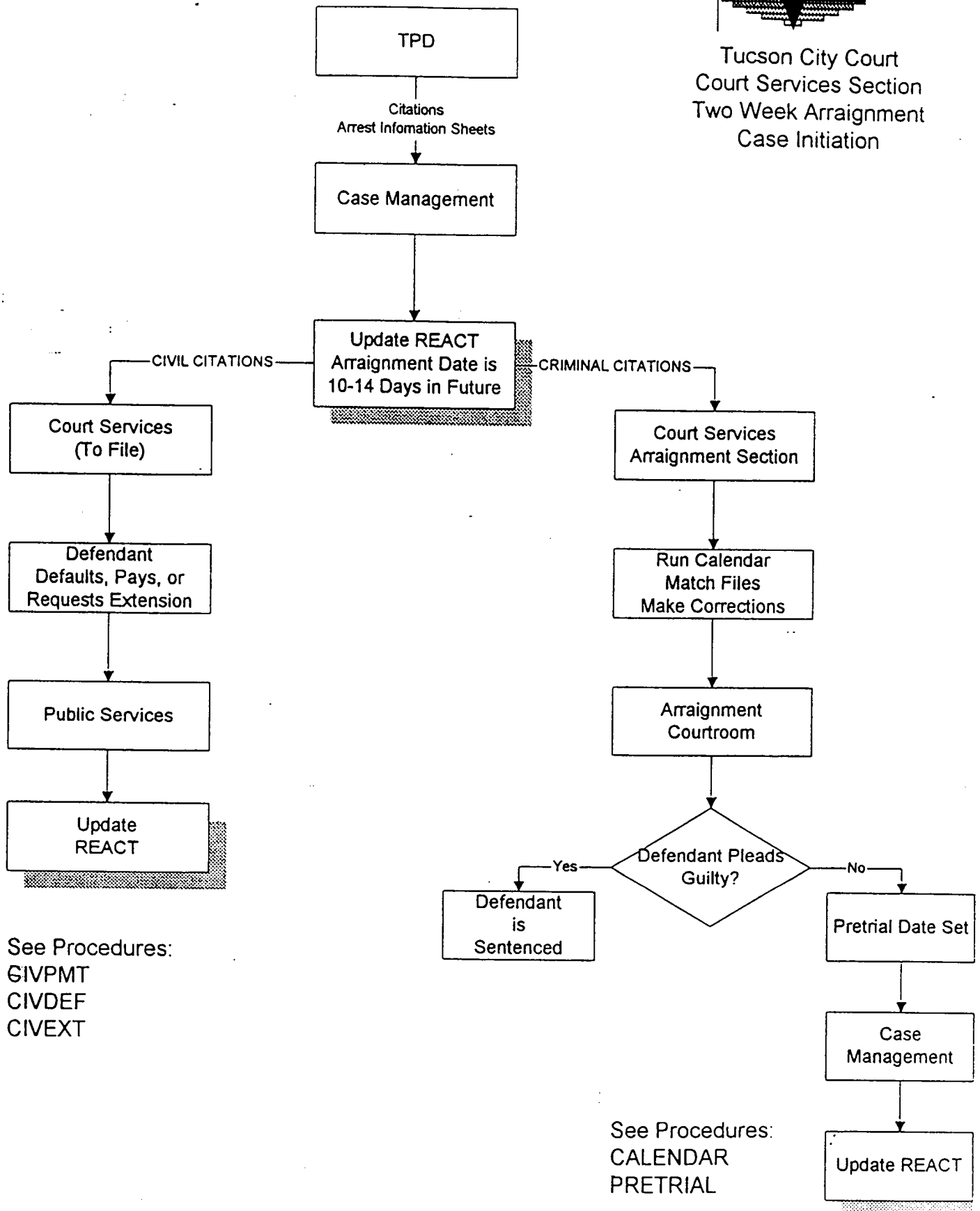
Tucson City Court
Court Services Section
In Custody Video Arraignment
Case Initiation



See Procedure
CALENDAR
PRETRIAL

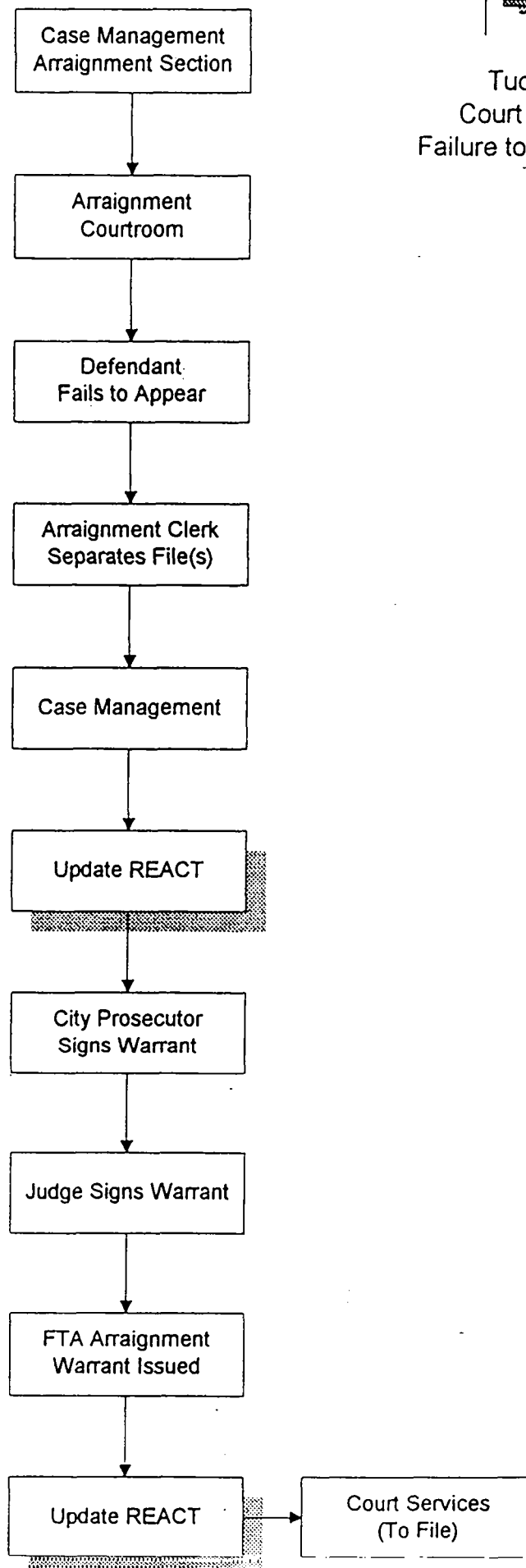


Tucson City Court
Court Services Section
Two Week Arraignment
Case Initiation





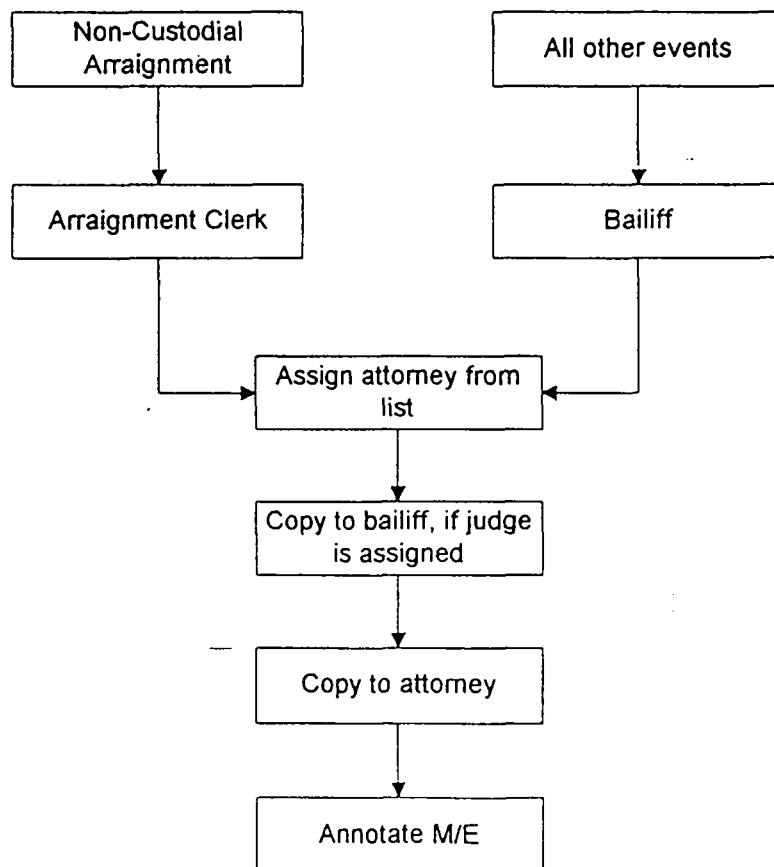
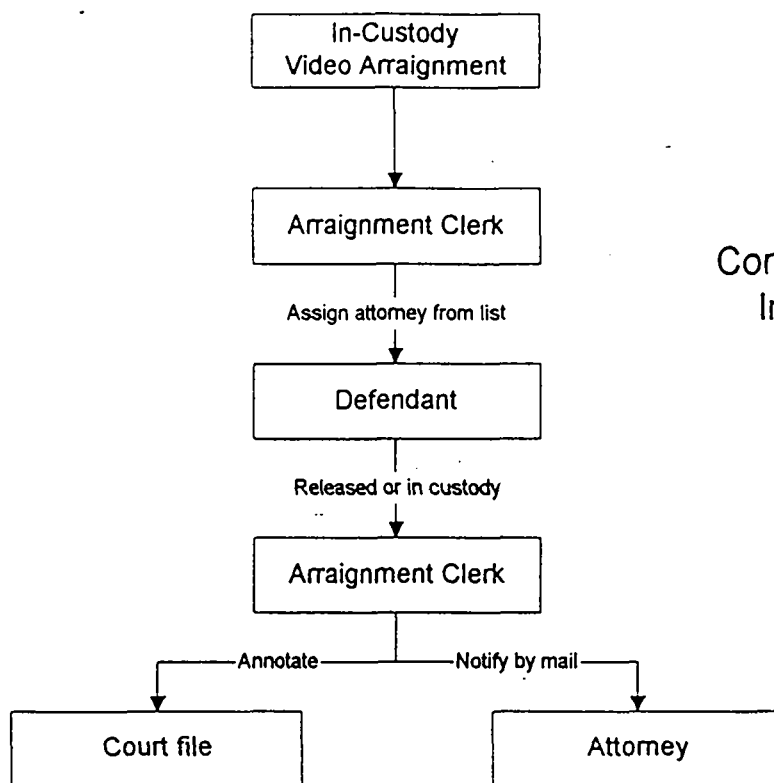
Tucson City Court
Court Services Section
Failure to Appear/Arraignment



See Procedure
ARRM2WK
WARRANT



Tucson City Court
Court Services Section
Conflict Attorney Assignments
In-Custody Arraignments





CASE PROCESSING WORKFLOW ANALYSIS

1. CASE PROCESSING

1.1. Case Initiation

- 1.1.1. Citations are sorted by case type, and distributed to employees for entry.
- 1.1.2. Citations data is entered into the REACT system. (*)
 - 1.1.2.1. Initiate case in REACT using SCREENPAC (INT2).
 - 1.1.2.2. Scheduled event of ARRM is created. Date entered is the date officer assigned when issuing the citation.
 - 1.1.2.3. Charges are entered using SCREENPAC (CRG1-CRG9), and each charge has a separate violation code. Also, each charge has a specific complaint number.
 - 1.1.2.4. System generates sequential docket number.
- 1.1.3. Docket number is recorded on citation.
- 1.1.4. Corresponding file is pulled and citation is placed in file.
- 1.1.5. File is sent to appropriate location. Civil citations are sent to Records for filing. Criminal citations are sent to Court Services arraignment team.

1.2. Civil Default Warning Letter

- 1.2.1. Defendant fails to appear at Civil Arraignment.
- 1.2.2. REACT reads files and generates warning letters to those with a past due scheduled event record. (*)
 - 1.2.2.1. At initiation, a scheduled event of ARRM is created when arraignment date is entered.
 - 1.2.2.2.
- 1.2.3. REACT generates a listing of cases receiving warning letter from past due scheduled event of ARRM. (*)
- 1.2.4. A scheduled event record is manually added to REACT on cases which received warning letters. (*)
 - 1.2.4.1. Scheduled event added is WARN.
- 1.2.5. Warning letters are hand carried by staff to City mail room.

1.3. Civil Defaults

- 1.3.1. Defendant fails to respond to default warning letter.
- 1.3.2. Report is generated from REACT listing all cases that match default criteria. (*)
 - 1.3.2.1. Default criteria is case with past due scheduled event of WARN.
- 1.3.3. Records are added to REACT to initiate suspension of the defendants driver's license. (*)

1.3.3.1. Disposition indicator is changed to "Y," and MVD disposition code is entered as 58 for Title 28 violations and 55 for Title 20 violations.

1.3.3.2. MVD interfaces with REACT, extracts 55s and 58s, then notifies defendant of license suspension.

1.4. Civil Hearing Set and Notify

1.4.1. Defendant mails in not responsible plea and a bond for a citation.

1.4.2. Case file is pulled and sent to Case Management.

1.4.3. Court date for defendant is determined using scheduling module. (*)

1.4.3.1. From the scheduling module (SCHD), the scheduled event CVHR is created.

1.4.4. Civil hearing notice is printed manually. (*)

1.4.5. Copies of notice are distributed to parties.

1.5. In-Custody Videos

1.5.1. Citations and paperwork are received from Court Services after arraignment session.

1.5.2. Citations are entered into REACT using procedures in 1.1.2 (*)

1.6. Dismissals

1.6.1. Notification is received from officer requesting that citation be dismissed.

1.6.2. Records added to REACT to reflect dismissal. (*)

1.6.2.1. Event CTDS is added.

1.6.2.2. Charge Disposition is modified to 0851, and MVD Disp to 59.

1.6.3. Copies of dismissal distributed to parties.

2. WARRANTS

2.1. Warrant Issuance

2.1.1. File received from court after hearing and/or ruling.

2.1.2. REACT queried to determine if any other case dispositions have been added. (*)

2.1.3. Warrant codes entered into appropriate fields. (*)

2.1.4. Warrant/FTA printed. (*)

2.1.5. Obtain prosecutor and judge signature on printed warrant/FTA

2.1.6. Warrant filed and copy sent inter-office mail to TPD.

2.2. Warrant Quashing

2.2.1. Order to quash received.

2.2.2. Quash codes entered in REACT. (*)

2.2.3. Quash information is manually recorded on "quash form" and faxed to TPD.

2.2.4. Copies of faxed "quash form" and fax receipt for documentation.

2.3. Mass Quash & Dismiss

2.3.1. Report generated from REACT identifying cases matching quash criteria. (*)

2.3.2. Quash codes entered to quash and dismiss charges. (*)

2.3.3. Mass Quash list faxed to TPD.

2.3.4. Copies in file for documentation.

3. COURT UPDATING

3.1. Resets

3.1.1. Event is added and new scheduled date is added. (*)

3.1.2. Past scheduled is deleted with addition of new event.

3.2. Dismissals

3.2.1. Event is added to reflect court order. (*)

3.2.2. Codes added to disposition and reason for dismissal. (*)

3.2.3. Dismissal code added and sent to MVD. (*)

3.3. Judgments

3.3.1. Judgments added and sent to MVD. (*)

3.3.2. Charge disposition modified as necessary. (*)

3.3.3. Sentencing records added. (*)

3.4. In-Custody Videos

3.4.1. Same procedures as resets or judgments in accordance to particular ruling. (*)

3.5. Civils

3.5.1. Civil hearing results entered in REACT. (*)

3.6. Set and Notifys

3.6.1. Orders to set future hearing (sometimes done from judge's chambers).

3.6.2. Set using scheduling module. (*)

3.6.3. Copies printed and distributed to parties.

4. MISCELLANEOUS FUNCTIONS

4.1. Calendar Check

4.1.1. REACT queried weekly to check accuracy of calendar. (*)

4.2. Long Forms

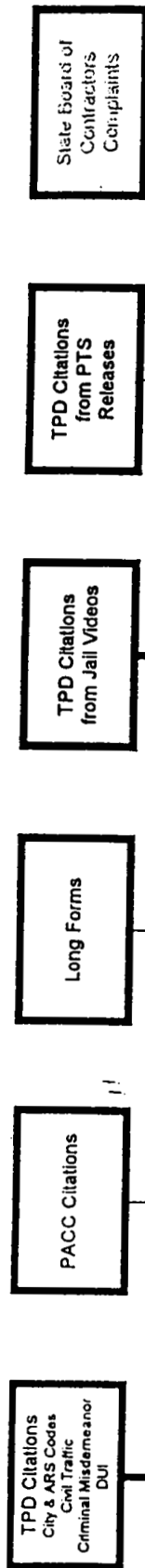
4.2.1. Manually logged in and assigned sequential docket number.

4.2.2. Copy to process server for service.

4.2.3. Affidavit of service filed.

4.3. MVD Interface

4.3.1. Weekly tape electronically transmitted to MVD consisting of reportable citations and dispositions. (*)



Count, Sort and Divide Citations Among Staff

Initiate Case In REACT using SCREENPAC INT2

Scheduled court date is taken from the citation. Officers assign this date when the ticket is issued.

Scheduled Event of ARRM Created

Enter Charge(s) Into REACT using SCREENPAC (CRG1 - CRG9)

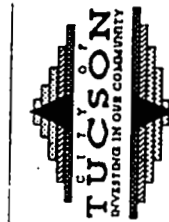
Each charge has a violation code. The complaint number for the ticket is recorded on each charge.

Charge types used are:
CI - Citation
LF - Long Form

Record Docket (Case) Number Generated by REACT on File Folder

Record Docket Number on Citation

Pull Pre-Numbered Folder and Place Citation In File



TUCSON CITY COURT CASE MANAGEMENT CITATION INITIATION

See Procedure
CALENDAR,
ARRMVID,
ARRM2WK

File to
Court Services

CRIMINAL
CITATIONS
Court Services
ARRM Team

CIVIL
CITATIONS
(Includes Civil
TPD Citations)
To Records for
Filing

TPD = Tucson Police Department
PACC = Pima Animal Control Center
PTS = Pre-Trial Services



**TUCSON CITY COURT
CASE MANAGEMENT
FAILURE TO APPEAR
CIVIL DEFAULTS**

Civil
Arraignments

Approx.
2 wks
Past Due

Warning Letter
is
Generated

Update REACT

Add:
Sched Event
Close:
Arrm Date

Letter
Mailed to
Defendant

2 Wks
to Appear

2 Wks
Past Due

Update REACT

Add:
Event
Collections
Modify:
Charge Dispo(s)

Civil
Hearings

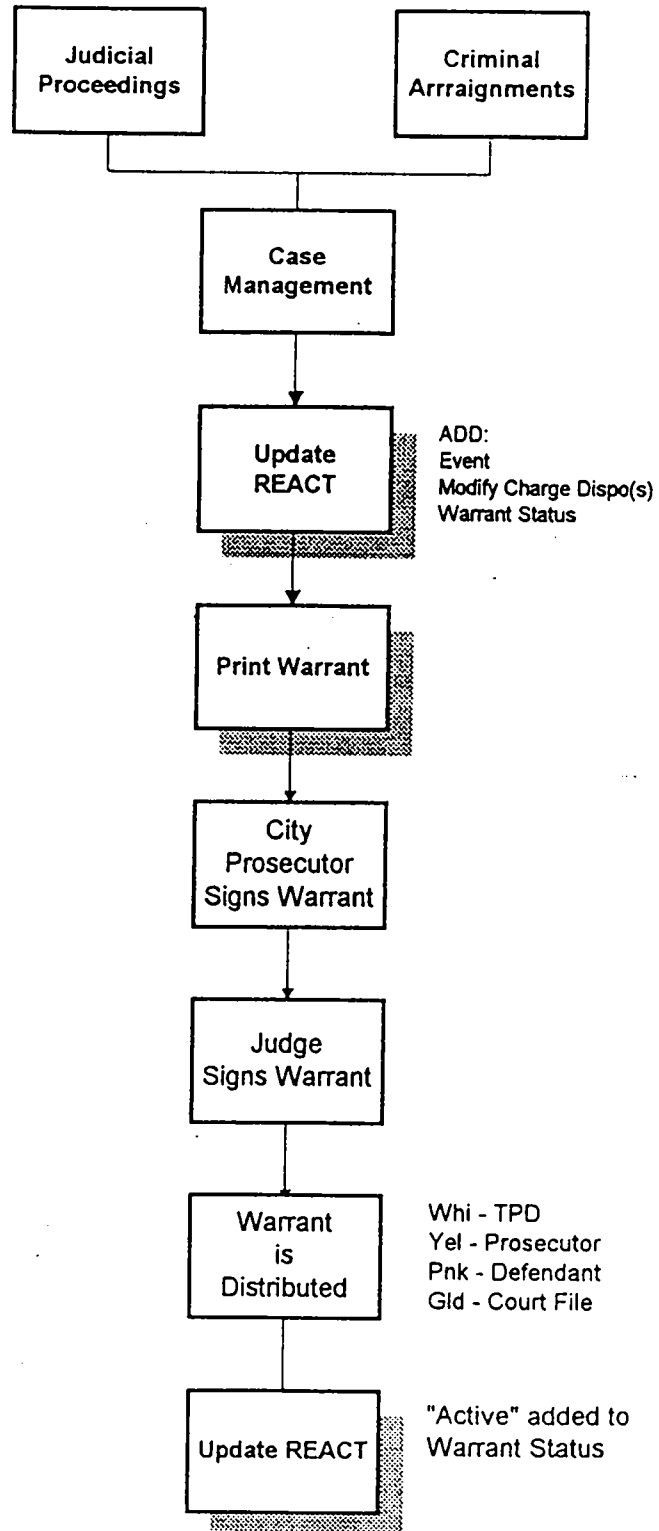
Judge's Order

Update REACT

ADD:
Event
Collections
Modify:
Charge Dispo(s)

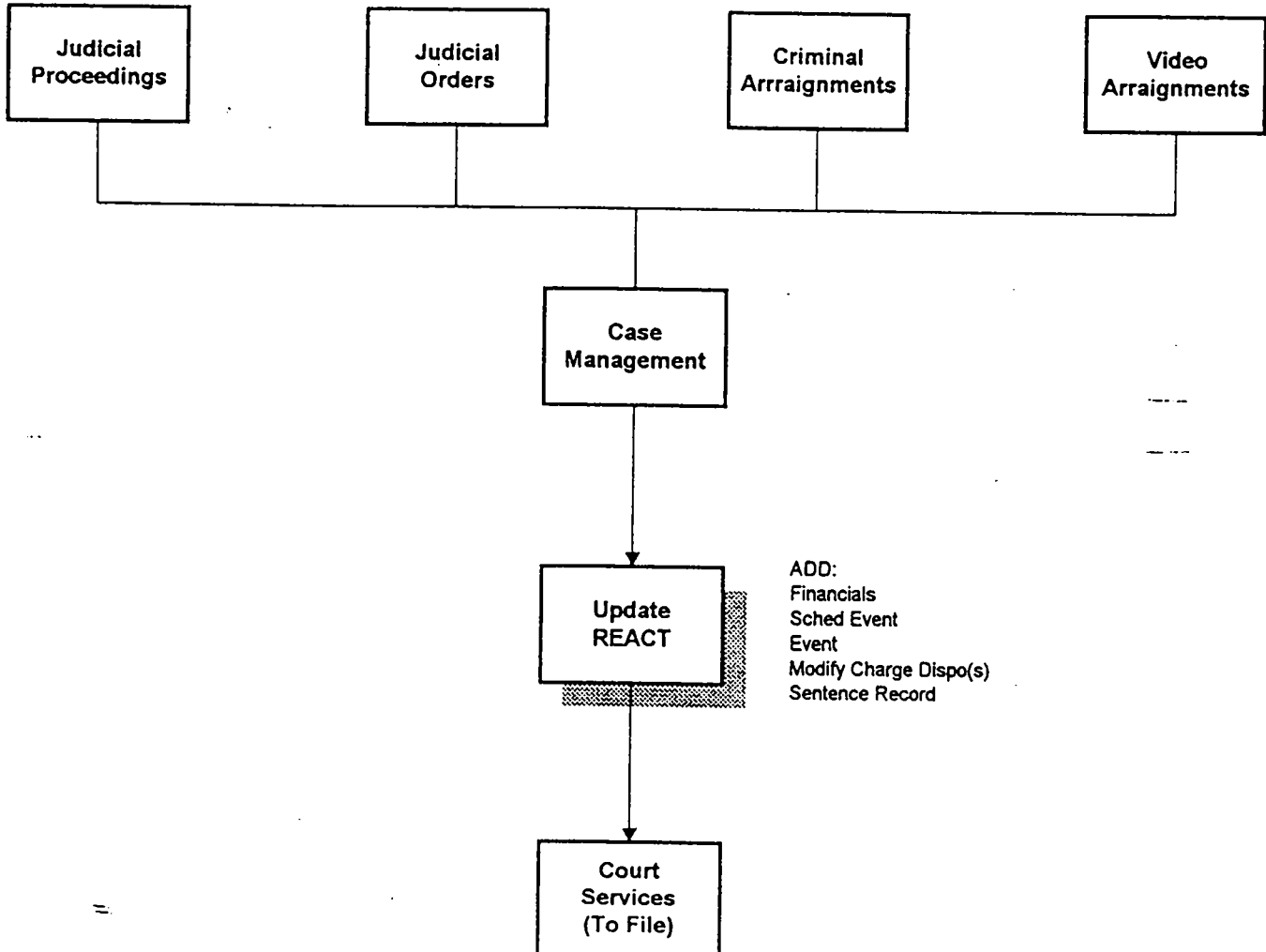


**TUCSON CITY COURT
CASE MANAGEMENT
FAILURE TO APPEAR
CRIMINAL WARRANTS**



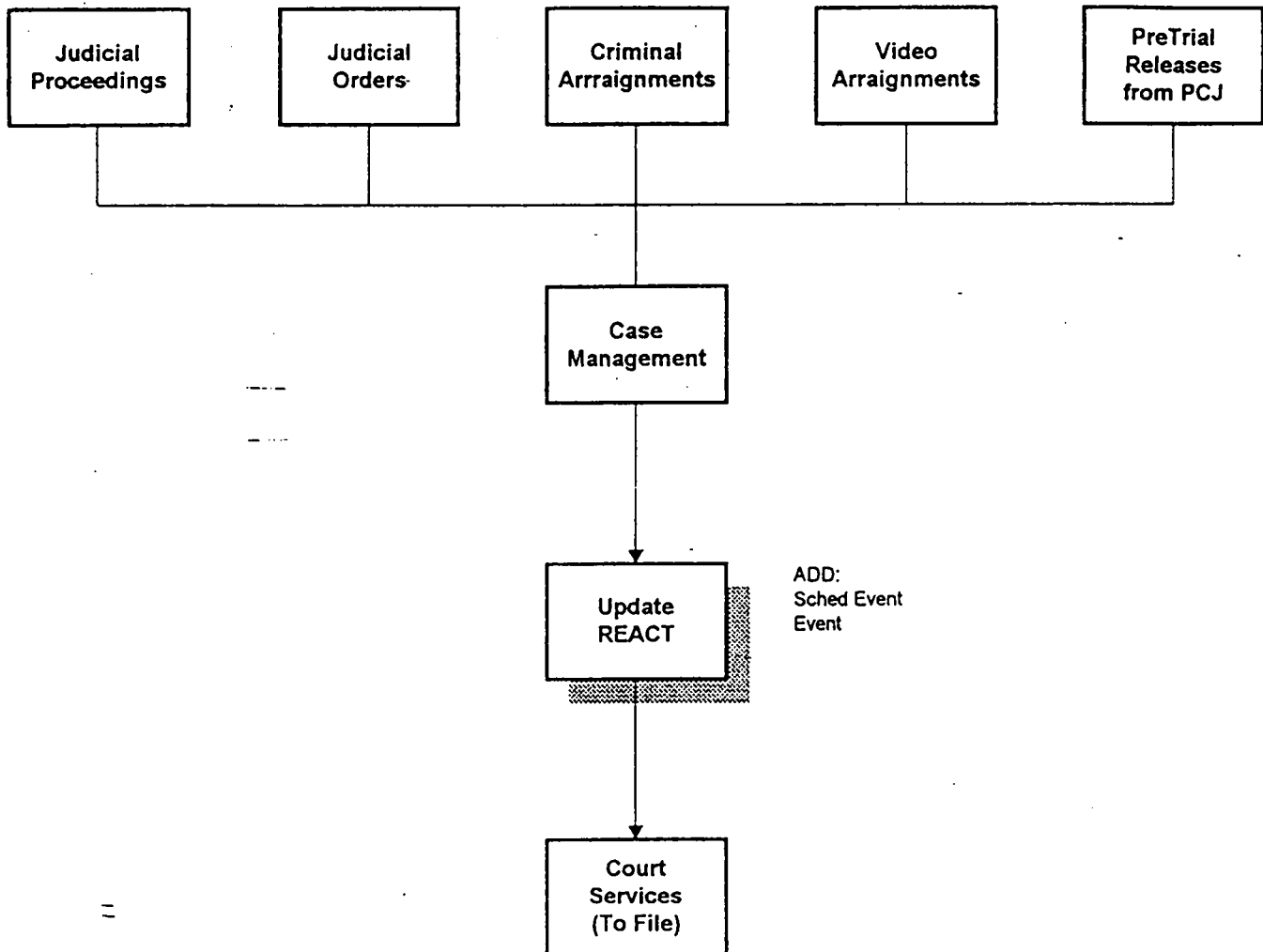


TUCSON CITY COURT CASE MANAGEMENT JUDGMENTS





**TUCSON CITY COURT
CASE MANAGEMENT
HEARING SETS & RESETS**





PUBLIC SERVICES WORKFLOW ANALYSIS

1. INFORMATION BOOTH

1.1. Process Motions

- 1.1.1. Date and Time Stamp
- 1.1.2. Add event (motion for) to REACT. (*)
- 1.1.3. Send to Records to pull file for judicial review.

1.2. Set Court Dates

- 1.2.1. Prepare Re-set Notice
- 1.2.2. Add scheduled event to REACT. (*)
- 1.2.3. Distribute Copies

1.3. Prepare payment slips

- 1.3.1. Query REACT to determine docket number, and place on slip along with collection amounts. (*)
- 1.3.2. Give defendant completed green slip to take to cashier.

2. CASHIER

- 2.1. Query REACT to determine docket number. (*)
- 2.2. Collect Payment
- 2.3. Print receipt. Copy to defendant and for end of shift balancing.

3. FRONT COUNTER UPDATING

3.1. Responsible Pleas - Civil

- 3.1.1. Modify Charge Disposition. (*)
- 3.1.2. Add Sentence. (*)
- 3.1.3. Close scheduled event. (*)
- 3.1.4. Add collections. (*)
- 3.1.5. Prepare amended minute entry.
- 3.1.6. Prepare green slip.
- 3.1.7. Send defendant to cashier (with green slip).

3.2. Mitigation Court Hearings

- 3.2.1. Select Court date utilizing scheduling module. (*)
- 3.2.2. Close scheduled event. (*)
- 3.2.3. Print hearing Notice. Copy to defendant/ original to file.
- 3.2.4. Prepare Mitigation Court Notice/Default Judgment form.
- 3.2.5. Pull file and place in Mitigation Court cabinet.

3.3. Continued Civil Arraignments/ Extensions (to show proof, pay, DDS, Civil compliance).

- 3.3.1. To continue arraignment, add scheduled event, and close event. (*)
- 3.3.2. To extend show proof or payment, add collections, modify charge disposition, add sentence, close scheduled

- 3.6.4.1.4. Copy to defendant and file
- 3.6.4.1.5. Prepare mitigation order/ default judgment.
- 3.6.4.1.6. Pull file and place in mitigation file cabinet.

4. PARKING

- 4.1. Citations (Data Entry)
 - 4.1.1. Case Initiation. (*)
 - 4.1.2. File.
- 4.2. Failure to appear
 - 4.2.1. Query MVD terminal from weekly REACT printout of FTAs. (*)
 - 4.2.2. Print defendant information obtained from license plate or VIN number. (*)
 - 4.2.3. Add defendant's name and address to REACT. (*)
 - 4.2.4. Delinquent notices prepared weekly (batch). (*)
 - 4.2.5. Delinquent notices mailed to defendants.
- 4.3. DEFAULT LIST
 - 4.3.1. Add event. (*)
 - 4.3.2. Modify charge disposition. (*)
 - 4.3.3. Add open charge disposition. (*)
- 4.4. Responsible Plea
 - 4.4.1. Payment in full.
 - 4.4.1.1. Modify charge disposition. (*)
 - 4.4.1.2. Add sentence. (*)
 - 4.4.1.3. Close scheduled event. (*)
 - 4.4.1.4. Add collections. (*)
 - 4.4.1.5. Enter payment. (*)
 - 4.4.2. Extension to pay.
 - 4.4.2.1. Prepare minute entry.
 - 4.4.2.2. Modify charge disposition. (*)
 - 4.4.2.3. Add sentence. (*)
 - 4.4.2.4. Close scheduled event. (*)
 - 4.4.2.5. Add collections. (*)
 - 4.4.2.6. Add scheduled payment date. (*)
 - 4.4.2.7. Copy to defendant and file.
- 4.5. Not Responsible Plea
 - 4.5.1. Modify defendant name and address. (*)
 - 4.5.2. Coordinate hearing date with judge's calendar.
 - 4.5.3. Add scheduled event. (*)
 - 4.5.4. Print hearing notice.
 - 4.5.5. Copy to defendant and file.

5. CIVIL INFRACTIONS

- 5.1. Responsible (without hearing)

* Denotes REACT Interaction

- event, prepare amended minute entry. Copy to defendant and file. (*)
- 3.3.3. To update proof of compliance, copy the proof, prepare amended minute entry, delete scheduled payment, reduce finance record, modify charge disposition, add sentence, add event of proof shown. (*)
- 3.4. **Not Responsible Pleas (Timely)**
 - 3.4.1. Select Court date (scheduling module). (*)
 - 3.4.2. Close scheduled event. (*)
 - 3.4.3. Print Hearing Notice, and copy to defendant/ file.
- 3.5. **Request for hearing (Default Status)**
 - 3.5.1. Defendant files motion
 - 3.5.2. Add event to REACT. (*)
 - 3.5.3. Forward motion to Records.
 - 3.5.4. File pulled for judicial review.
 - 3.5.4.1. If approved, default is set aside, case is set for hearing, copy to defendant and file, file goes back to Records.
 - 3.5.4.2. If denied, add event to REACT, copy to defendant and file, file goes back to Records.
- 3.6. **Reset failure to appear**
 - 3.6.1. Assigned Case
 - 3.6.1.1. Coordinate court date with judicial rotational calendar and judge's personal preference.
 - 3.6.1.2. Prepare re-set notice.
 - 3.6.1.3. Add scheduled event to REACT. (*)
 - 3.6.1.4. Copy to defendant, prosecutor, file.
 - 3.6.1.5. Notice placed in Records basket.
 - 3.6.2. Unassigned Case
 - 3.6.2.1. Select Court date (scheduling module). (*)
 - 3.6.2.2. prepare re-set notice.
 - 3.6.2.3. Copy to defendant, prosecutor, file.
 - 3.6.2.4. Notice placed in Records basket.
 - 3.6.3. Arrest Immediately
 - 3.6.3.1. Call Marshals (or current procedure)
 - 3.6.3.2. Pull file
 - 3.6.3.3. Defendant escorted to assigned judge.
 - 3.6.4. Warning letter - request for mitigation
 - 3.6.4.1. Defendant files application to set aside default.
 - 3.6.4.1.1. Select court date (scheduling module). (*)
 - 3.6.4.1.2. Add event to close scheduled event. (*)
 - 3.6.4.1.3. Print hearing notice.

* Denotes REACT Interaction

- 3.6.4.1.4. Copy to defendant and file
- 3.6.4.1.5. Prepare mitigation order/ default judgment.
- 3.6.4.1.6. Pull file and place in mitigation file cabinet.

4. PARKING

- 4.1. Citations (Data Entry)
 - 4.1.1. Case Initiation. (*)
 - 4.1.2. File.
- 4.2. Failure to appear
 - 4.2.1. Query MVD terminal from weekly REACT printout of FTAs. (*)
 - 4.2.2. Print defendant information obtained from license plate or VIN number. (*)
 - 4.2.3. Add defendant's name and address to REACT. (*)
 - 4.2.4. Delinquent notices prepared weekly (batch). (*)
 - 4.2.5. Delinquent notices mailed to defendants.
- 4.3. DEFAULT LIST
 - 4.3.1. Add event. (*)
 - 4.3.2. Modify charge disposition. (*)
 - 4.3.3. Add open charge disposition. (*)
- 4.4. Responsible Plea
 - 4.4.1. Payment in full.
 - 4.4.1.1. Modify charge disposition. (*)
 - 4.4.1.2. Add sentence. (*)
 - 4.4.1.3. Close scheduled event. (*)
 - 4.4.1.4. Add collections. (*)
 - 4.4.1.5. Enter payment. (*)
 - 4.4.2. Extension to pay.
 - 4.4.2.1. Prepare minute entry.
 - 4.4.2.2. Modify charge disposition. (*)
 - 4.4.2.3. Add sentence. (*)
 - 4.4.2.4. Close scheduled event. (*)
 - 4.4.2.5. Add collections. (*)
 - 4.4.2.6. Add scheduled payment date. (*)
 - 4.4.2.7. Copy to defendant and file.
- 4.5. Not Responsible Plea
 - 4.5.1. Modify defendant name and address. (*)
 - 4.5.2. Coordinate hearing date with judge's calendar.
 - 4.5.3. Add scheduled event. (*)
 - 4.5.4. Print hearing notice.
 - 4.5.5. Copy to defendant and file.

5. CIVIL INFRACTIONS

- 5.1. Responsible (without hearing)

• Denotes REACT Interaction

- 5.1.1. Initiate Case. (*)
- 5.1.2. Pull docket.
- 5.1.3. Prepare minute entry.
- 5.1.4. Modify charge disposition. (*)
- 5.1.5. Add sentence. (*)
- 5.1.6. Close scheduled event. (*)
- 5.1.7. Add collections. (*)
- 5.1.8. Payment made to cashier.
- 5.2. Responsible (abatement hearing)
 - 5.2.1. Initiate Case. (*)
 - 5.2.2. Pull docket.
 - 5.2.3. Set hearing (coordinate with judge's calendar). (*)
 - 5.2.4. Add scheduled event. (*)
 - 5.2.5. Close event. (*)
 - 5.2.6. Copy to defendant and city agency.
 - 5.2.7. File.
- 5.3. Completion of hearing (or abatement).
 - 5.3.1. Prepare minute entry.
 - 5.3.2. Modify charge disposition. (*)
 - 5.3.3. Add sentence. (*)
 - 5.3.4. Close scheduled event. (*)
 - 5.3.5. Copy to defendant and file.
 - 5.3.6. Add collections. (*)
 - 5.3.7. Payment made to cashier.
 - 5.3.8. File.

6. DV - ORDERS OF PROTECTION/ INJUNCTION AGAINST HARASSMENT

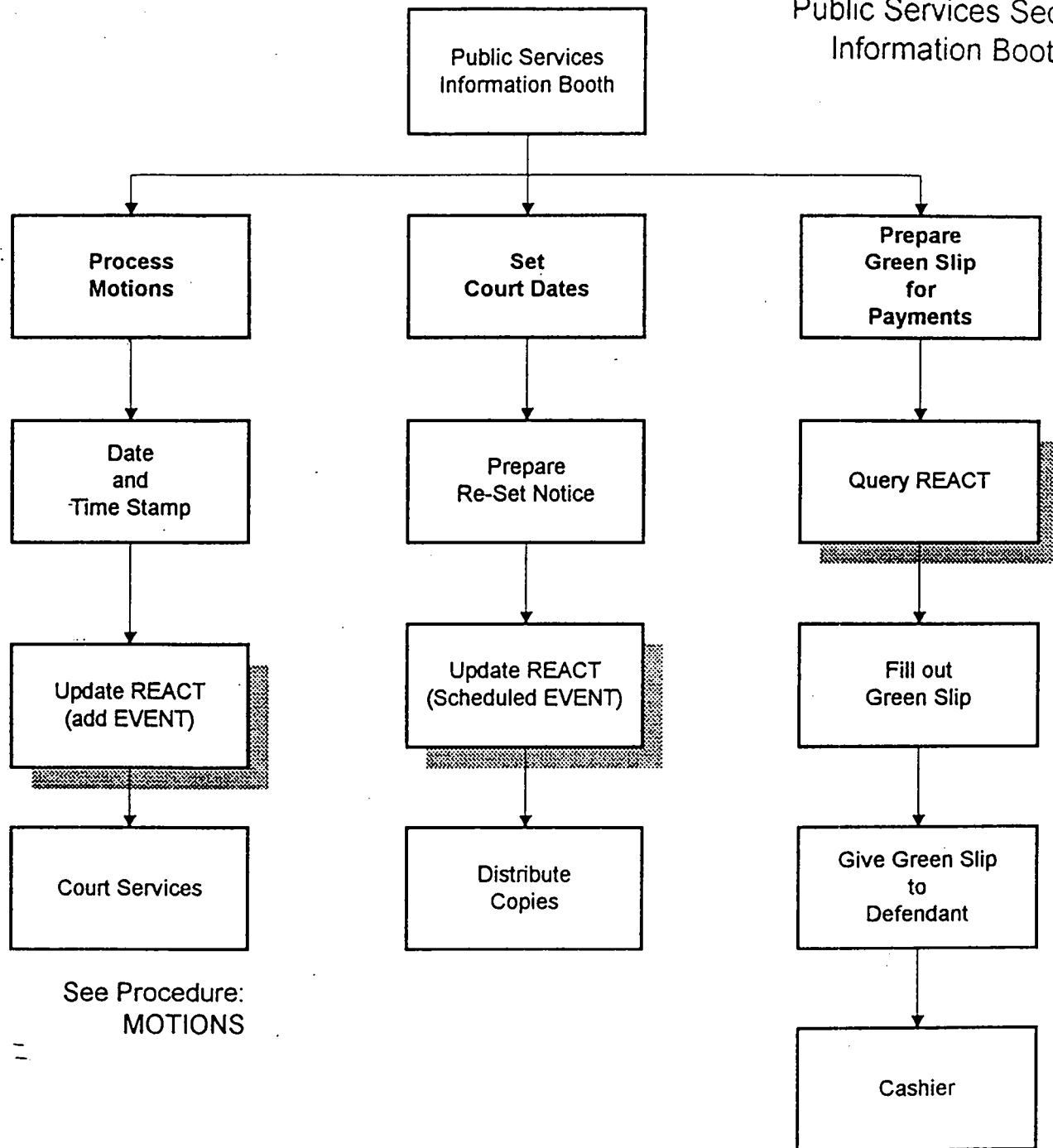
- 6.1. Process filing
 - 6.1.1. Assist plaintiff with forms.
 - 6.1.2. Place forms in folder for judge.
 - 6.1.3. Initiate Case. (*)
 - 6.1.4. Set hearing (if required). (*)
 - 6.1.5. Distribute copies.
- 6.2. Service of process
 - 6.2.1. Plaintiff utilizes process server
 - 6.2.1.1. City contracted or private.
 - 6.2.1.2. County- provide process server list.
 - 6.2.1.3. County- fees waived Pima County.
 - 6.2.1.4. Constable
 - 6.2.2. Collect applicable fees.
- 6.3. Return of Service
 - 6.3.1. Copy original
 - 6.3.2. Send certified copies of affidavit of service/ order.

- 6.3.3. Send certified copy of affidavit of service to plaintiff.
- 6.3.4. File.
- 6.4. To Set Hearing (defendant's request).
 - 6.4.1. Verify proof of service.
 - 6.4.2. Copy defendant's I.D.
 - 6.4.3. Select hearing date. (*)
 - 6.4.4. Notify plaintiff telephonically and by mail.
 - 6.4.5. Copy of hearing notice to defendant.
 - 6.4.6. File.
- 6.5. Out of court updating
 - 6.5.1. Close scheduled event. (*)
 - 6.5.2. Add new event. (*)
 - 6.5.3. Send modification to process server for service.
 - 6.5.4. File.
- 7. **MAIL** - Mail is time stamped, opened and placed in appropriate basket.
 - 7.1. Processing incoming mail
 - 7.1.1. Responsible plea
 - 7.1.1.1. Modify charge disposition. (*)
 - 7.1.1.2. Add sentence. (*)
 - 7.1.1.3. Add collections. (*)
 - 7.1.1.4. Close scheduled event. (*)
 - 7.1.1.5. Stamp back of checks/money orders
"Deposit Only."
 - 7.1.1.6. Cashier posts payment.
 - 7.1.1.7. Balance input.
 - 7.1.1.8. Deposit revenue.
 - 7.1.1.9. loose paperwork to file.
 - 7.1.2. Not Responsible
 - 7.1.2.1. Post Deposit
 - 7.1.2.2. Copy receipt.
 - 7.1.2.3. Pull file.
 - 7.1.2.4. Send file to Case Management to set
hearing.
 - 7.1.3. Monthly payments
 - 7.1.3.1. Stamp "Deposit Only" on back of
check/money order.
 - 7.1.3.2. Add payment to REACT. (*)
 - 7.1.3.3. Balance input.
 - 7.1.3.4. Deposit revenue.
- 8. **PHONE COMMUNICATION**
 - 8.1. Assist public with incoming calls.
 - 8.2. Query REACT. (*)
 - 8.3. Modify address information from returned mail. (*)

* Denotes REACT Interaction



Tucson City Court
Public Services Section
Information Booth

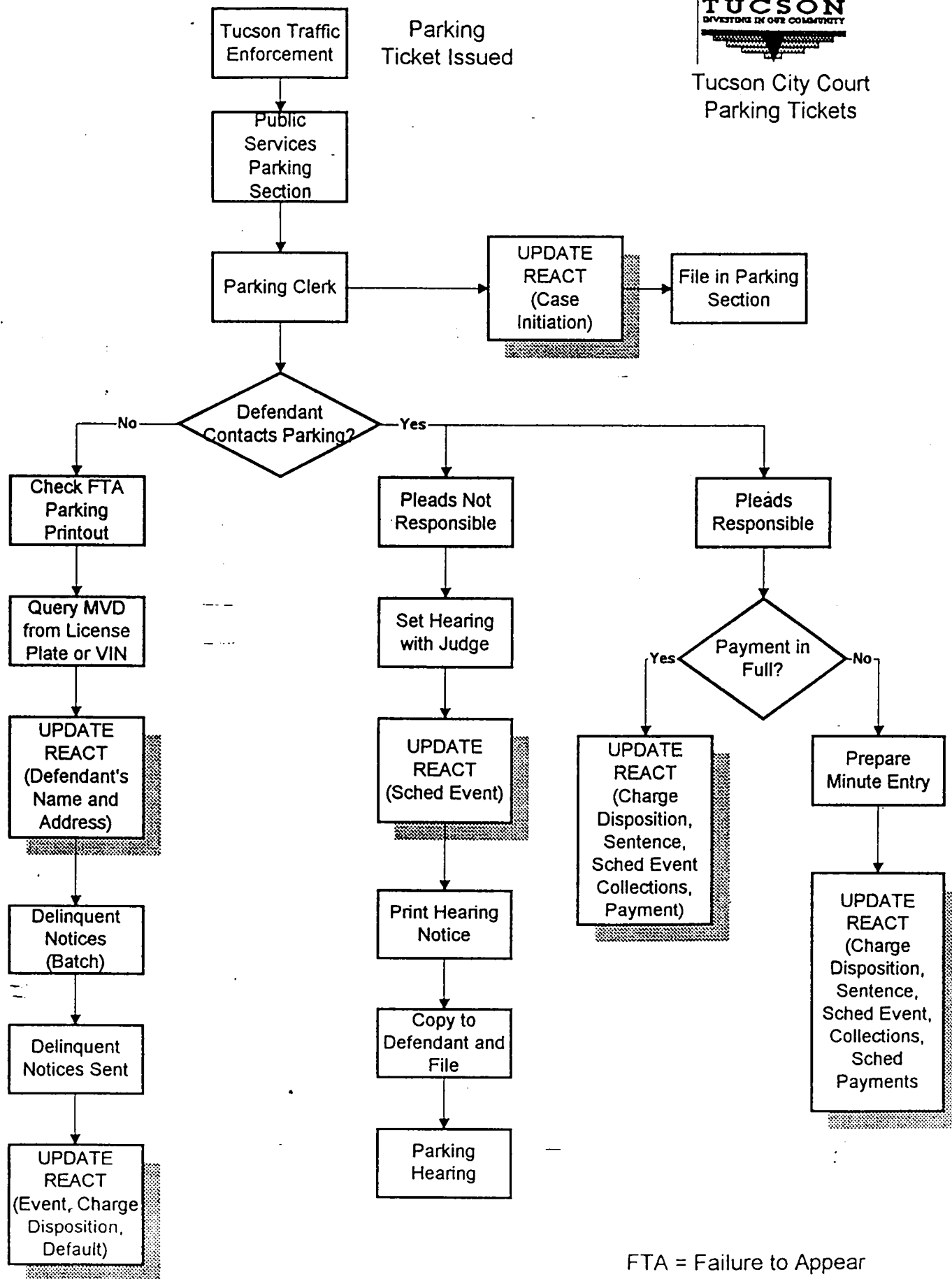


See Procedure:
MOTIONS

See Procedure:
PAYMENT



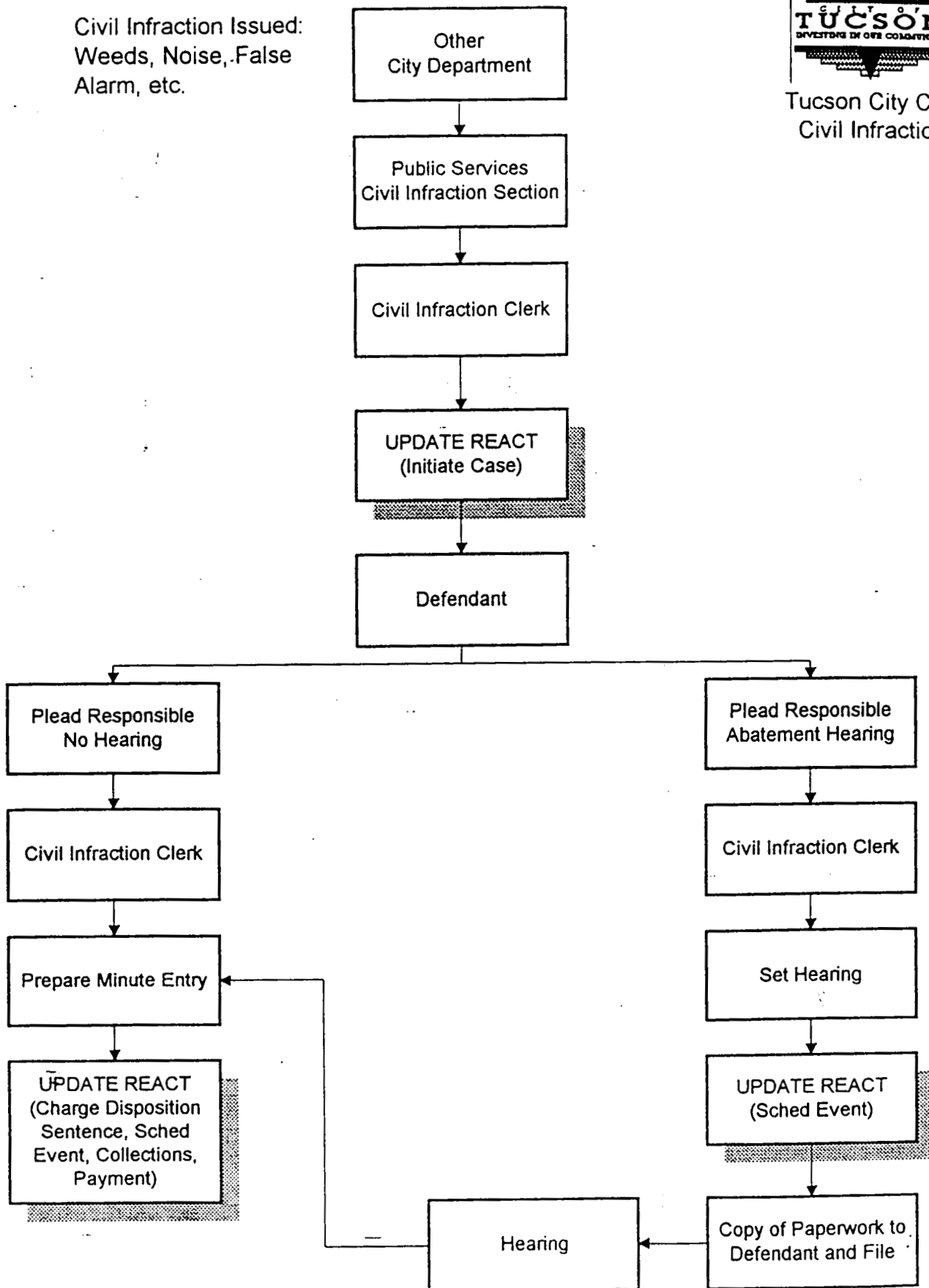
Tucson City Court
Parking Tickets



Civil Infraction Issued:
Weeds, Noise, False
Alarm, etc.



Tucson City Court
Civil Infractions





Tucson City Court
Public Services-Section
Civil Responsible Pleas

Defendant

Public Services
Updater

Update REACT

Modify Charge Dispo
Add a Sentence
Close Sched Event
Add Collections

Prepare Amended
Minute Entry

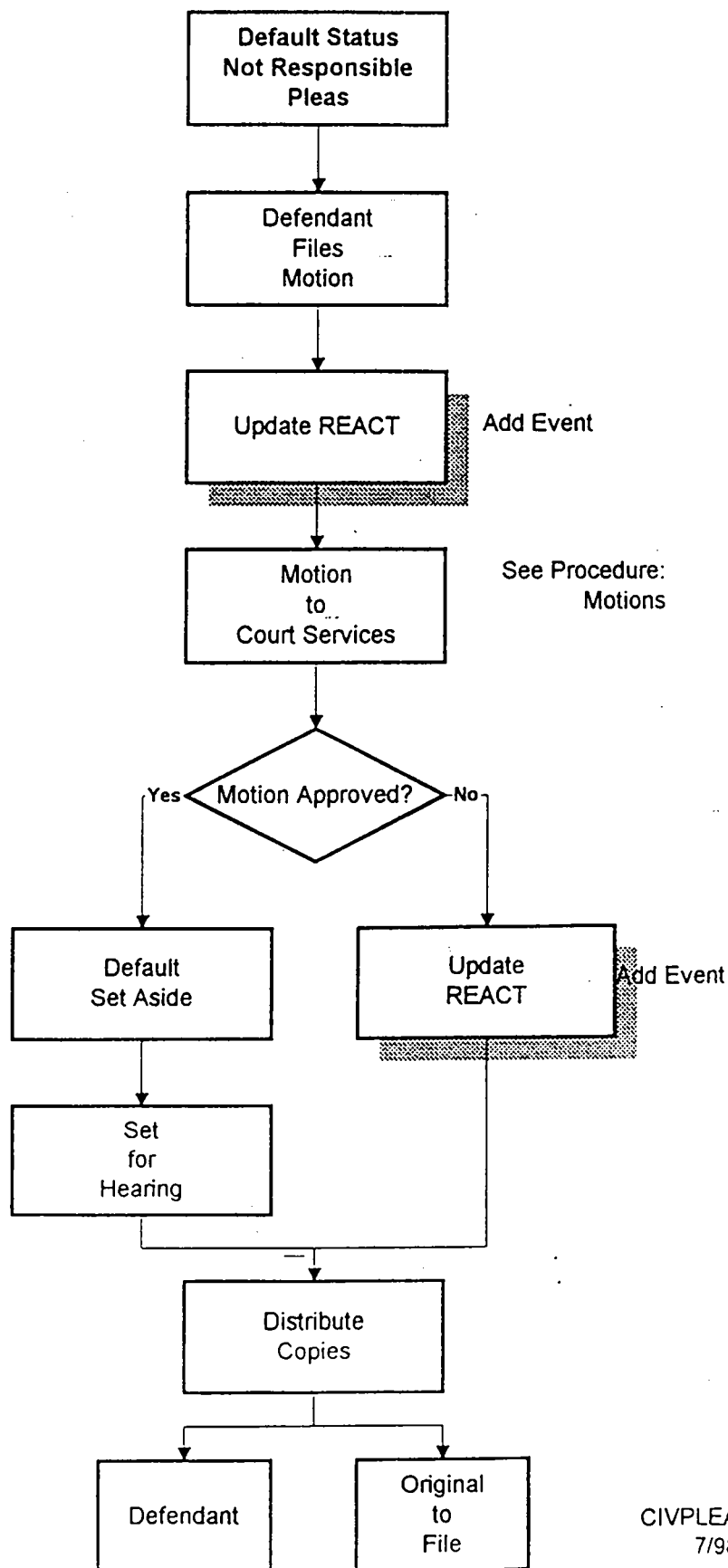
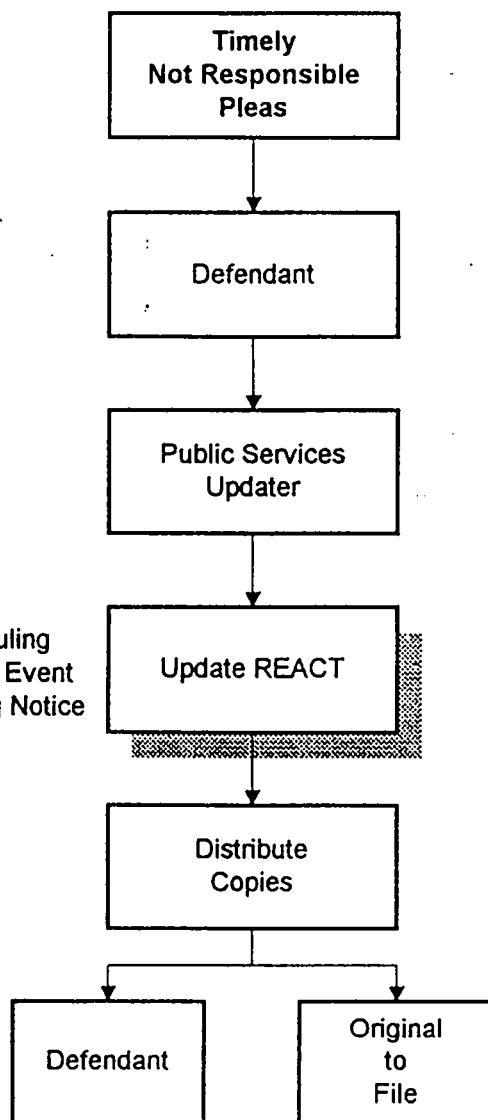
Prepare
Green Slip
for Payment

Refer
Defendant
to Cashier

See Procedures:
Payment



Tucson City Court
Public Services Section
Civil Not Responsible Pleas





Tucson City Court
Public Services Section
Proof of Civil Compliance

Defendant

Public Services
Updater

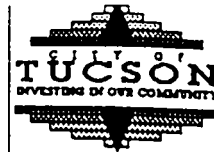
Copy Defendant's
Proof of...
(Dog License, Drivers
License, Registration,
etc.)

Prepare Amended
Minute Entry

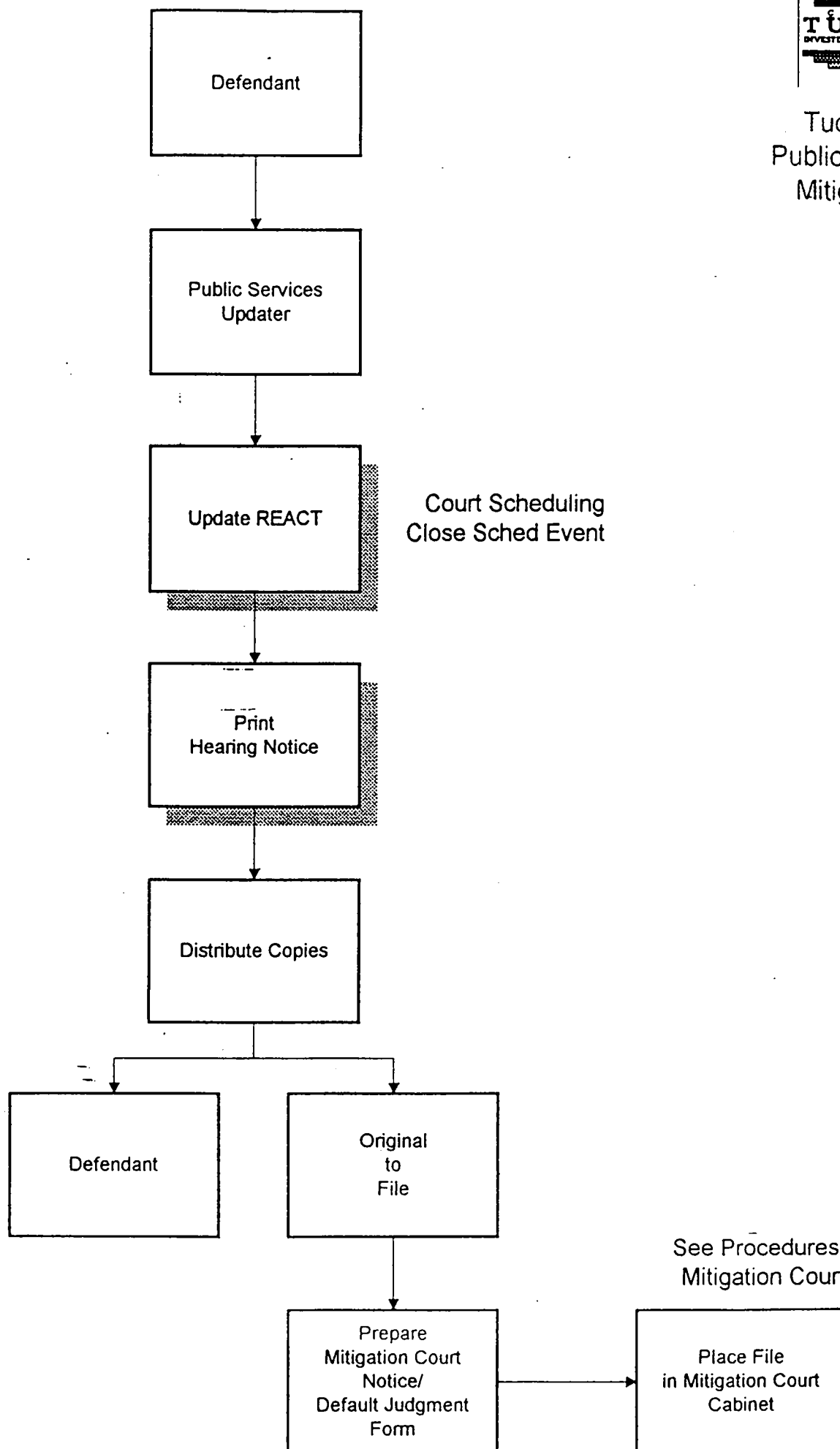
Update REACT

Delete Sched Payment
Reduce Finance Record
Modify Charge Dispo
Add Sentence
Add Event (Proof Shown)

Copy of Proof
to
File



Tucson City Court
Public Services Section
Mitigation Hearings



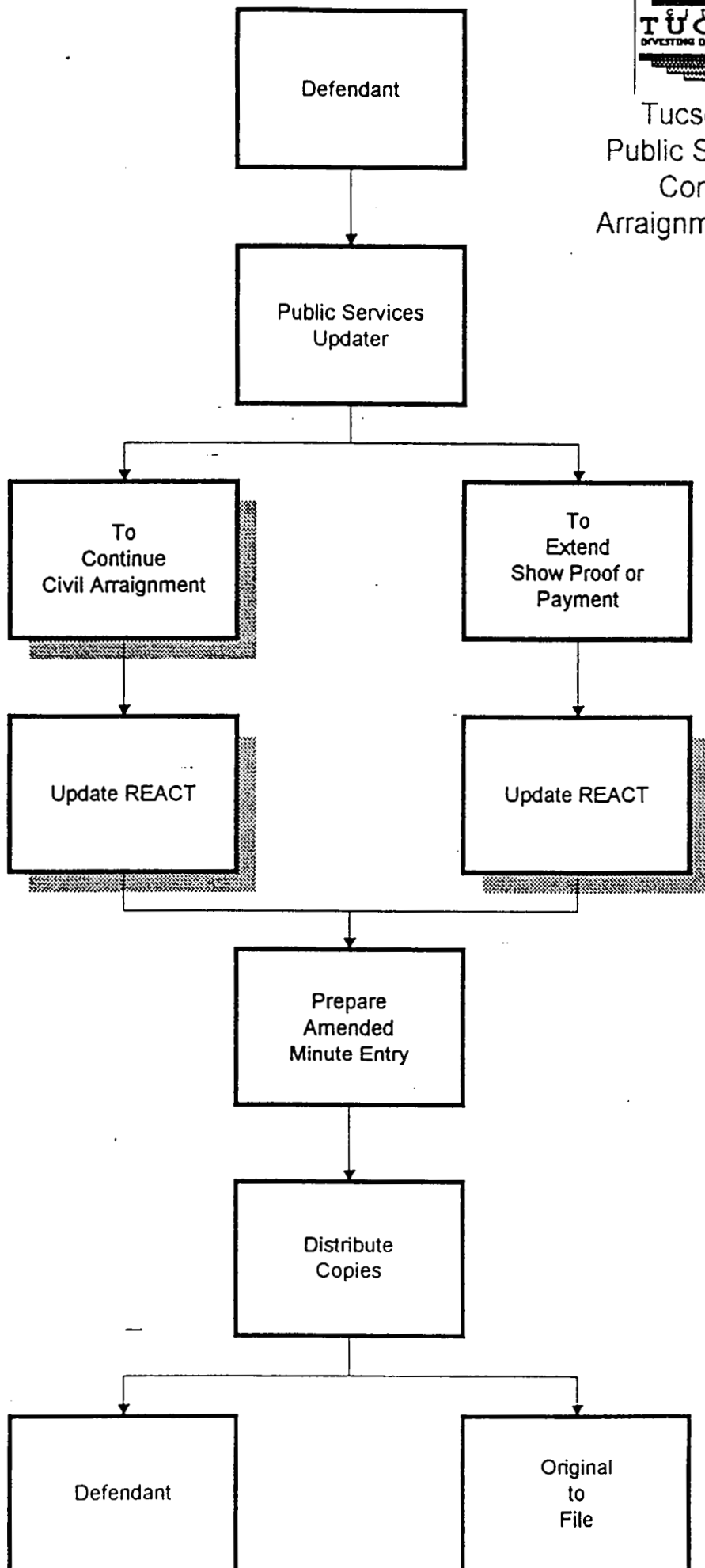
See Procedures:
Mitigation Court

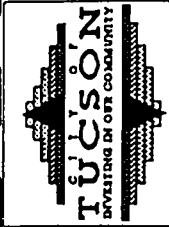


Tucson City Court
Public Services Section
Continued Civil
Arraignments/Extensions

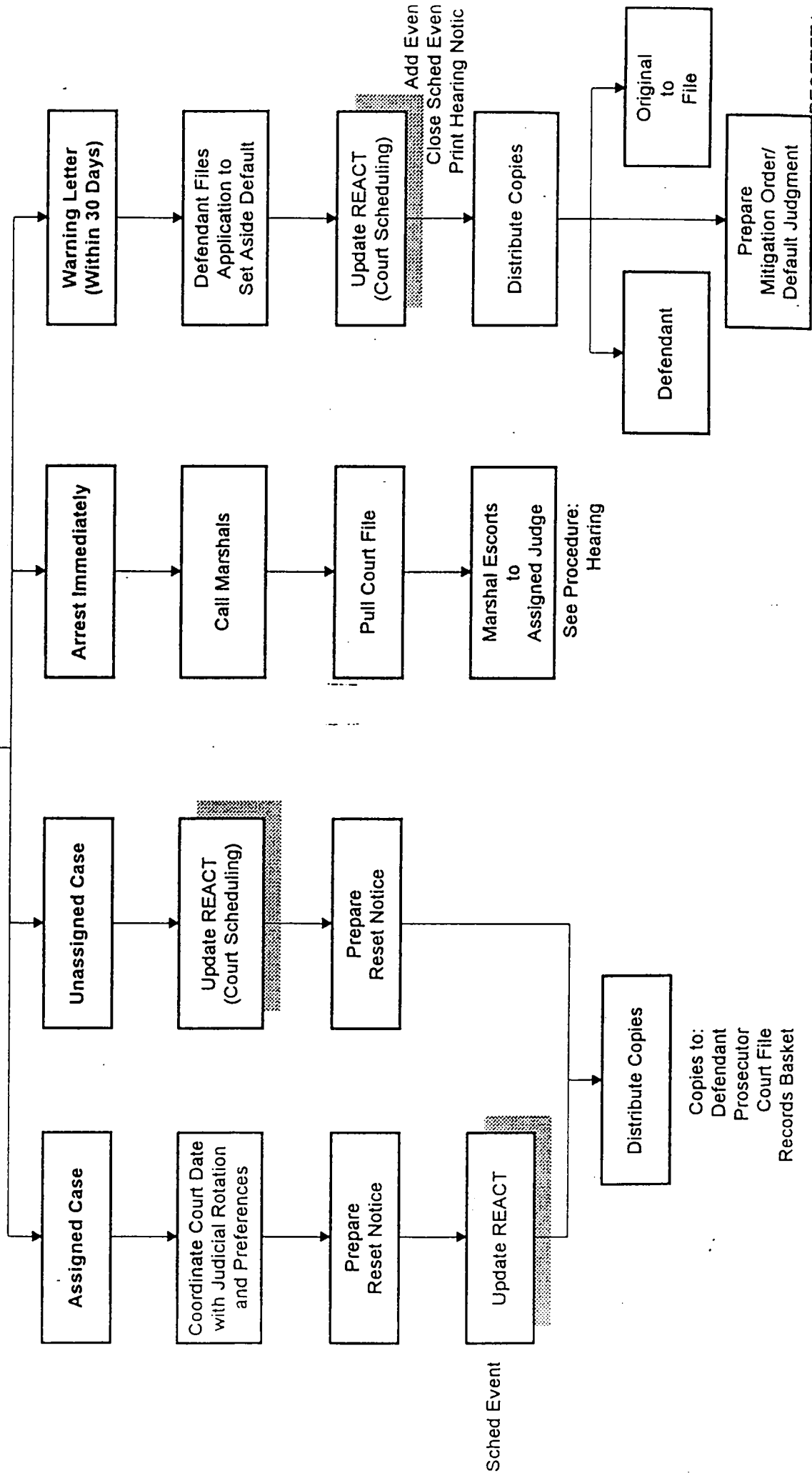
Add Sched Event
Close Event

Add Collections
Modify Charge Dispo
Add Sentence
Close Sched Event





Tucson City Court
Public Services Section
Reset FTA Cases

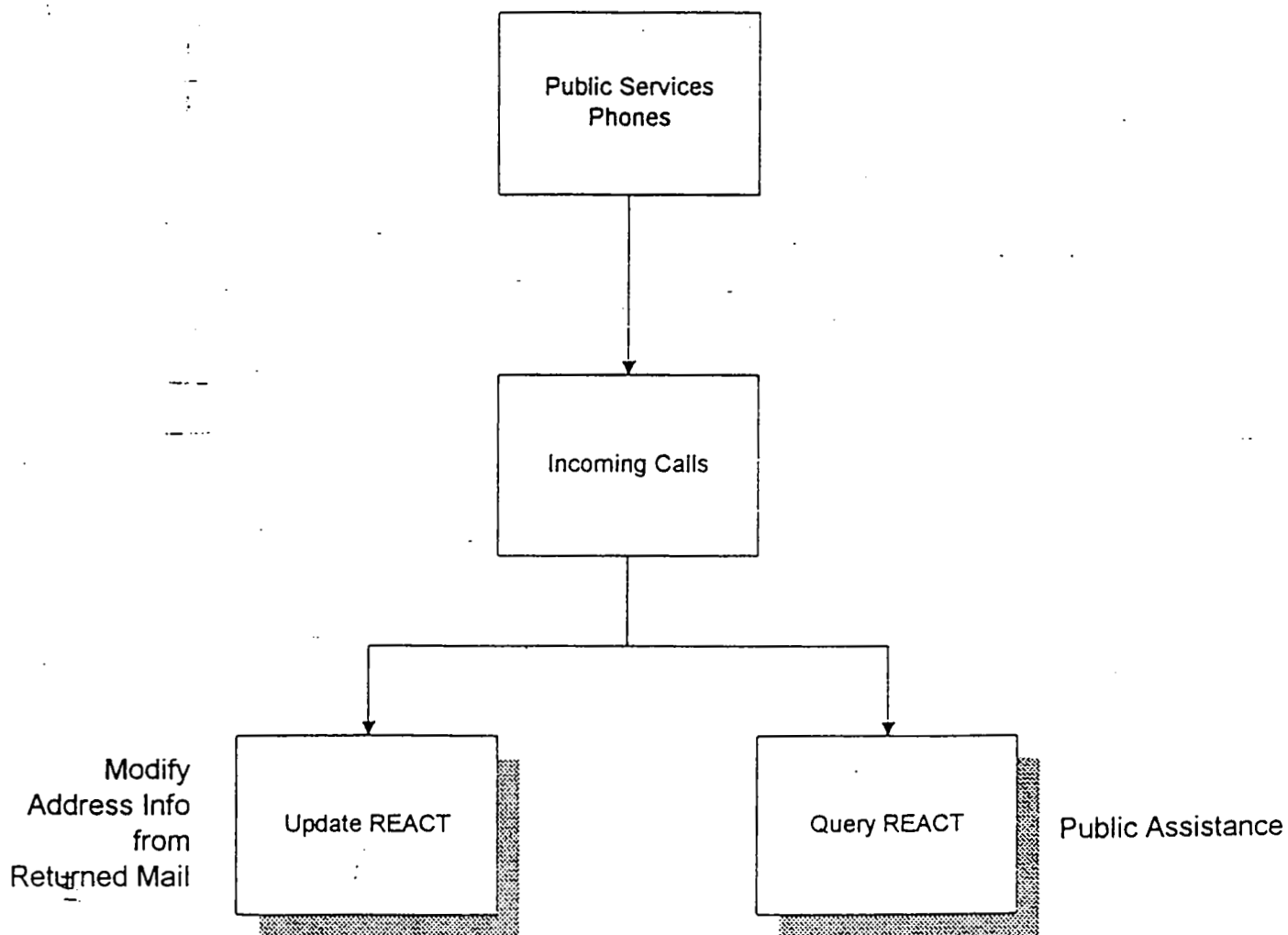


Sched Event

Copies to:
Defendant
Prosecutor
Court File
Records Basket



Tucson City Court
Public Services Section
Phone Communications





Tucson City Court
Public Services Section
Mail Distribution
and
Updating

Public Services
Mail Clerk

Mail is Opened
and
Time Stamped

Responsible Pleas
by
Mail

Not Responsible
Pleas
by
Mail

Monthly Payments
by
Mail

Modify Charge Dispo
Add Sentence
Add Collections
Close Sched Event

Update REACT

Update REACT
(Post Deposit)

Stamp
Checks/Money Orders
"Deposit Only"

Stamp
Checks/Money Orders
"Deposit Only"

Copy Receipt

Update REACT

Add Payment

shier Posts Payment

Update REACT

Pull File

Balance Input

Balance Input

Case Management

Deposit Revenue

Deposit Revenue

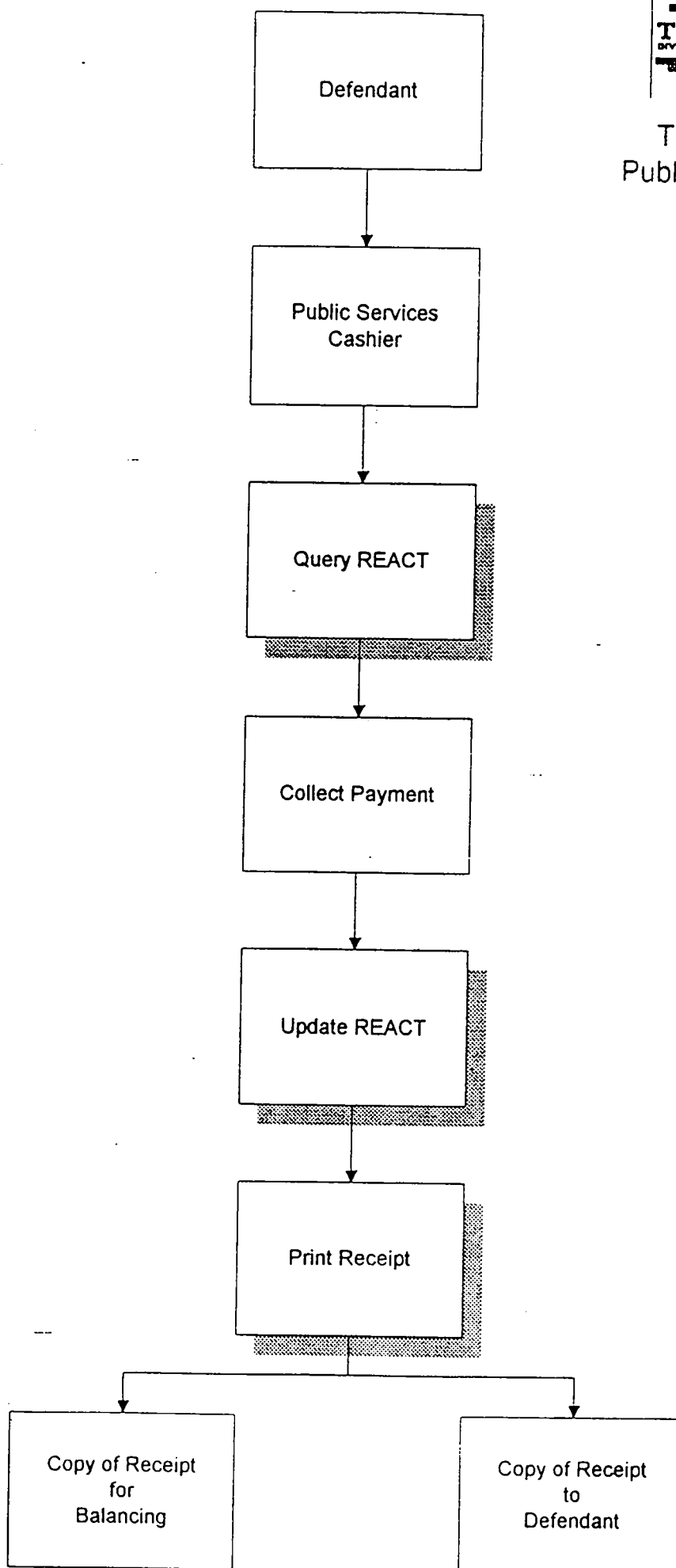
Set Hearing

See Procedures:
Hearing

Paperwork
to
File



Tucson City Court
Public Services Section
Cashier

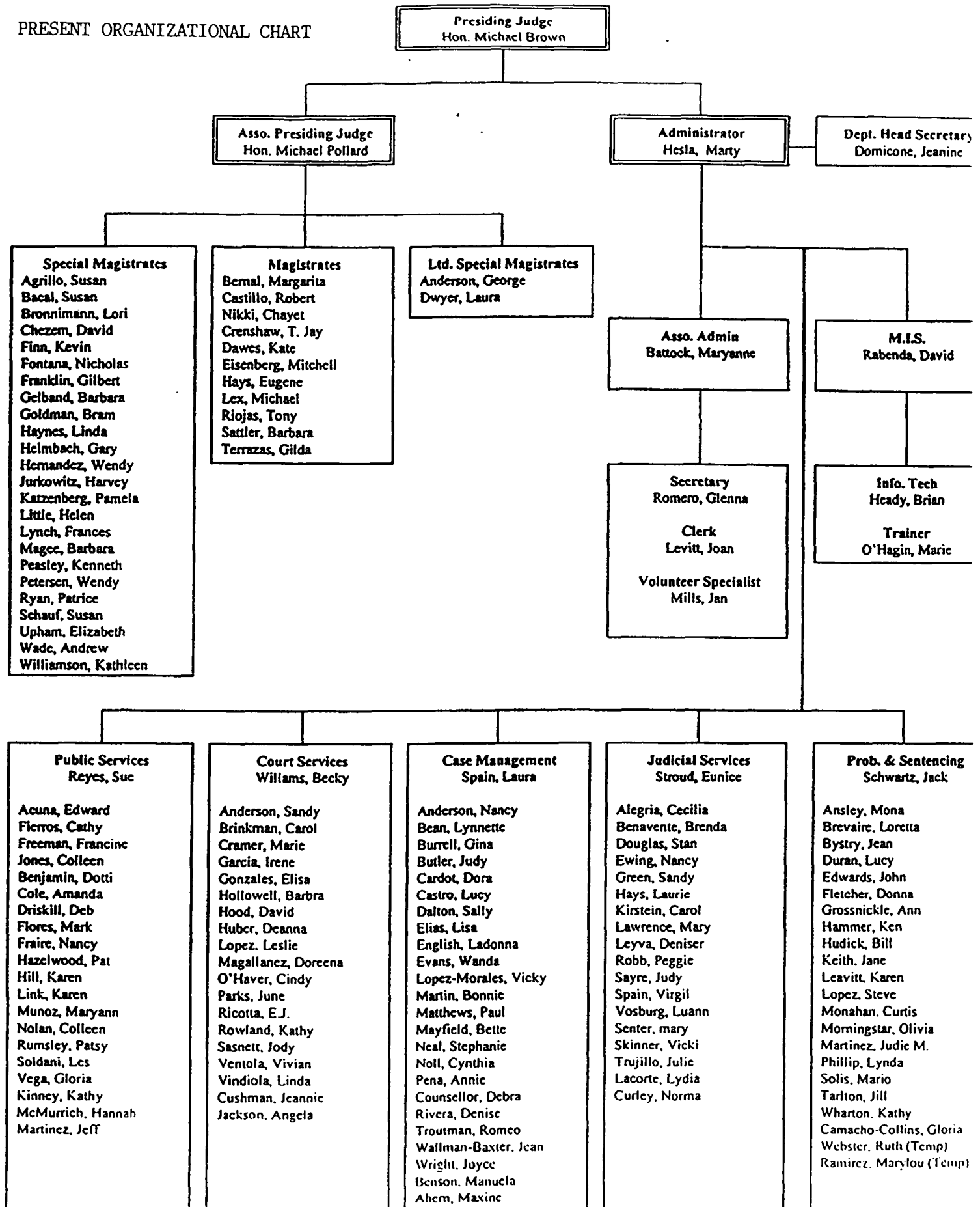


APPENDIX B

ORGANIZATIONAL STRUCTURE

- **PRESENT ORGANIZATIONAL CHART**
- **PROPOSED ORGANIZATIONAL CHART**

PRESENT ORGANIZATIONAL CHART



Date: November 19, 1998

**TUCSON CITY COURT
PROPOSED ORGANIZATIONAL CHART**

