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CITY OF PHOENIX MUNICIPAL COURT CLERICAL WORKFLOW ANALYSIS

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Regional Director

June 9, 1982



National Center for State Courts
720 Sacramento Street
San Francisco, California 94108

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The National Center for State Courts formally or informally interviewed most of the staff of the Phoenix Municipal Court and a dozen people in other City Departments regarding the Court's operations. Individual recognition of all these people is not possible in this brief space, but we extend our deep appreciation for the substantial time and cooperation given by each. The study could not have been completed without their thoughtful guidance.

Karrie Lawlor, Systems and Procedures Analyst for the Court, provided invaluable logistical and scheduling support. Without her help the project staff would not have been able to make effective use of its time in Phoenix. She also generously and graciously assisted in obtaining information not readily available in existing data sources.

Michael Havemann, Court Administrator, monitored our work throughout the project, but also willingly shared his experience and perceptions in an effort to produce a product of value to the Court. His assistance and encouragement to investigate thoroughly all aspects of the Court's clerical operations enhanced whatever value the final report may have.

As needed, National Center project staff can call upon for assistance other Center staff with particular expertise. The staff of this project was materially assisted by Mary E. Elsner, staff associate in the headquarters office in Williamsburg, Virginia, who provided the statistical analysis and caseload projections reflected in Chapter V of this report.

The administrators and staffs of several metropolitan courts across the country (see Chapter VI) took substantial time and effort to provide thorough answers to our questionnaire (see Appendix A). We thank them for their willingness to assist in a study of another court.

The assistance of Rochelle Rodgers in typing and editing the numerous drafts and revisions of this report was invaluable.

The observations and conclusions, and hence any errors of omission or judgment, belong solely to the project team. If this report assists in improving clerical operations within the Municipal Court, however, much of the credit will belong to the numerous personnel within and without the Court in Phoenix who gave so graciously of their time and expertise and who will be responsible for successful implementation of the recommendations.

National Center for State Courts

I. INTRODUCTION

A. The Court and its Environment

The Municipal Court of the City of Phoenix is a court of limited jurisdiction handling traffic violations, parking violations not voluntarily paid, misdemeanors, and other ordinance violations of the City of Phoenix. It operates in three locations: 1) a converted garage on North 4th Avenue, which is the site of arraignments and most of the noncourtroom-related clerical work; 2) 125 West Washington Street, the former Superior Court courthouse presently shared with three County Justices of the Peace, which is the locale of the trial courtrooms, a few clerical operations, probation services, and the alcohol diversion program for those accused of driving while intoxicated; and 3) the Maricopa County Jail, where arraignments are held for in-custody defendants daily.¹

The Court has 14 judges, a chief presiding judge and 13 trial judges. The chief presiding judge normally does not have cases assigned to him for disposition. In fiscal 1980-1981, the Court's total caseload was about 376,000 cases, among which were about 291,000 traffic violations and 24,000 criminal complaints.²

Over the past four fiscal years (through 1980-81), the caseload of the Court increased 53 percent, with the greatest percentage increase being in failure-to-appear complaints (116 percent), but with traffic violations representing over 72,000 additional cases (see Table 5, in

¹ There also are five part-time employees accepting bail at Police headquarters at 620 West Washington Street.

² The National Center is using the Phoenix Police Department's figures for traffic violations because those figures are more reliable over the four-year span for which the National Center obtained data. The Center's estimates are used for the other case types (see Chapter VI, below).

Chapter V). In the same four-year period, the number of judges on the court increased by one, from 14 to 15,³ and the clerical and other support staff (excluding probation and PACT) grew from 74 to 121, a 64 percent increase.

The Court has 2,783 filings for each of its clerical employees, including probation staff. A full comparison of the Phoenix Municipal Court's caseload and staffing with those of generally comparable limited jurisdiction courts in other states is provided in Chapter V, below. By way of preview, the filings per staff member in these seven other courts ranged from 2,462 to 1,074. The Supreme Court of Colorado used a standard of 1,181 filings per full-time equivalent position in its courts of limited jurisdiction when it submitted the fiscal 1980 budget for that state-funded system.⁴ The National Center recently proposed a benchmark of 1,281 filings per full-time employee for a court of limited jurisdiction in Florida.⁵ There is no court in Arizona comparable to Phoenix's Municipal Court, the Phoenix Court having over three times as many filings as the next-biggest municipal court. But looking only at caseload per staff member, the Phoenix Municipal Court compares fairly well to other Arizona courts. In the next four largest municipal courts in Arizona (measured by total filings) the filings per full-time position reported in the Supreme Court's 1980 annual report on caseload and personnel are: 2,981, 3,271, 3,895, and 8,128.⁶

³ The following year (1981-1982) the number of judges returned to the current figure of 14.

⁴ H. Lawson and B. Gletne, Workload Measures in the Court (National Center for State Courts, Williamsburg, VA., 1980), pp. 76-77.

⁵ Southern Regional Office, National Center for State Courts, A Management Analysis of the Broward County Clerk's Office, 17th Judicial Circuit of Florida, Ft. Lauderdale, Florida (National Center for State Courts, Atlanta, GA., 1982), p. 15.

⁶ There is no audit by the Supreme Court of the filing data reported by the trial courts so there may be differences in the way cases are counted that affect these numbers.

The Phoenix Municipal Court faces several problems as a result of or beyond its large caseload. The most serious problems compound the volume problem: There are substantial workflow and paperflow problems in the Court. The workflow is divided into a number of small, relatively isolated work units. Case papers must flow to and among these units, which results in a disturbingly high percentage of lost files and/or delayed completion of assigned tasks. The data processing system is inadequate for the Court's needs, which exacerbates problems caused by high volume.

Most metropolitan limited jurisdiction courts are high-volume, high-pressure environments that drain staff's energy and, sometimes, commitment. The Phoenix Municipal Court is facing a similar problem, with significant morale problems among staff. The morale problems lead to a third problem -- that of staff turnover, particularly among entry-level staff who deal directly with the public at the front counter.

One aspect of the role of the chief presiding judge affects the clerical operations of the Court. Judges are appointed for four-year terms, but the position of chief presiding judge has only a one-year term. Even though the last three chief presiding judges have been appointed for two consecutive terms, each new presiding judge has his/her own agenda and methods of operating, which often result in changes in clerical operations. These constant changes and the threat of continuing changes each year or two contributes to the morale problems of the staff.

The morale problems mentioned above are compounded by the external environment. There are tensions between the Court and the City Council that appear to stem from each body's perceptions of the other. For instance, it is reported that some in city government think the Court has not been well managed. On the Court's side, a number of people expressed

the belief that members of the City Council and city administrators do not respect the Court and its staff. Some in the Court also see the City Council as having assigned Court-related projects a low priority until the last two years, when several Court projects -- most notably the computerized information system -- have received a higher priority.

The perceptions on both sides may or may not be valid, but they seem to have contributed to communication problems between the Court and the Council and have had a discernable effect on morale within the Court. It would be constructive for the Court to explore ways to reduce these tensions and dispel undesirable perceptions.

There is a further gloss on this environment. The Legislature this year enacted significant changes in the law regarding people driving under the influence of alcohol or drugs. In addition, Class 6 felonies will be filed in the Court starting July 1, 1982. The Court estimates an additional 4,000 cases a year as a result. These changes may have a significant impact both on the size of the Court's caseload and the way in which the drunk driving cases are handled by the prosecutor and defendants. Further, serious consideration is being given at the state level to administrative adjudication of traffic cases, probably on a local-option basis. If such legislation were to pass in future years, it is anticipated that the City of Phoenix would adopt the administrative adjudication model, thus removing 80 percent of the Court's caseload. Finally, Arizona State University undertook for the Legislature a major study of possible ways to consolidate the municipal and justice of the peace courts of the State into single, county-wide limited jurisdiction courts. The recommendations of this study have been modified by a committee of the State Bar for the purpose of developing a legislative proposal that includes local option to consolidate the functions of city

courts into the superior court of a county. If this or an alternative become law, there would be an obvious impact on the operations of the Municipal Court.

The National Center's study of the Court's clerical workflow was undertaken in the context of and influenced by these environmental and operating factors. Its recommendations are fashioned in light of this environment, as well.

B. Organization of This Report

The principle emphasis of the balance of this report is on changes the National Center believes best respond to the Court's present and future needs. Chief among these is a total restructuring of the clerical work force and paperflow into relatively small teams of staff responsible for the processing of particular types of cases from filing through disposition (excluding the clerical and support staff working directly in support of the trial judges). The National Center recommends that this case-team-management approach be phased in over the next twelve months. Following a full discussion of this change, the National Center analyzes and offers recommendations regarding the Court's computerized information system. The fourth chapter discusses a number of other changes that will improve operation of the Court.

Following the recommendations, and to assist the reader to evaluate the changes the Court may face in the next five years, the National Center provides its projection of the size of the caseload, by key case types, over the next five years.

Chapter VI reviews information obtained by the National Center from seven other metropolitan limited jurisdiction courts across the country. These courts were selected because their filings, number of judges, and population suggest they are roughly comparable to the Phoenix Municipal Court. There are obvious limitations in this type of comparison, but it is offered for general information and guidance.

The report concludes with a chapter discussing the degree to which the changes suggested in Chapters II-IV would have to be modified or abandoned when the Court consolidates all of its clerical and judicial operations at 125 West Washington Street or if the state Legislature were to authorize local choice regarding administrative adjudication of traffic cases or consolidation of limited jurisdiction courts.

II. TEAM MANAGEMENT

A. The Concept

Team management is a relatively new concept for courts. It received its most widely cited application on the assembly line of Volvo Automobile Company in Sweden. Groups of employees, each of whom previously had been responsible for a small segment of work along the assembly line, were assigned responsibility for major portions of the final automobile. The concept was successfully adopted by other manufacturers and now has found its way into a few courts.⁷

In courts, teams of staff handle a group of cases from filing to disposition. The cases can be divided among the teams by case type or by using case numbers. The approach has been tried in two appellate courts, one federal and one state, and several trial courts. In both the industrial and court context a reduced number of staff have been needed to handle a given number of cases and employee morale improves substantially. In significant measure it is the improved employee morale and refined workflow that leads to improved productivity, which in turn produces a 20 to 30 percent reduction in the number of employees needed.

Case-team management is more than a group of people working together to complete a task. Its essence is a group of people being responsible for all functional steps necessary to process a case from filing through disposition and closure. A court organized along functional lines may have several people working together to assure that a single function is

⁷ L. Adams, C. Easterling-Smith, and B. Popp, "Case Management by Teams," State Court Journal (vol. 3, no. 4, Fall 1979), pp. 15, 17.

completed properly, but then that group passes the case to the next group, which completes another small part of the total process before sending the case to a third group. In case-team management, the group performs all steps; a case is passed from one team member to another, but it does not leave the group until it is concluded.

Phoenix presently organizes its staff into functional groups, not case teams. Because of limitations in the National Center's contract with the Court (see page 11, below), the proposal made here is not a complete case-team management system, either, but it is as close to such a concept as possible under the circumstances.

B. Advantages of Team Management for the Phoenix Municipal Court

There are at least 10 identifiable respects in which team management either would improve present and future operations of the Phoenix Municipal Court or would otherwise be a desirable change.

1. Productivity of existing staff would improve. Presently the following key sections cannot process significant portions of their work in a timely fashion: correspondence, finance, post-court, and records. Inefficiencies and workflow problems in one section affect the capacity of the next section in the chain to do its work properly and on time. Case-team management will move the Court from relatively isolated -- albeit inter-dependent-- work units to a small group of people, all of whom understand the entire flow of a case and who know how to move a case through each required step from filing to disposition.
2. Employee morale will improve. Because of limited training, some employees do not know the impact of their work on subsequent sections in the work chain. Neither the importance of what they do nor the adverse impact of a mistake is understood fully. Case-team management will provide this perspective along with a sense of accomplishment when cases flow through the Court as they should. The variety of tasks to be performed over time and of skills acquired will make each person's job more interesting, thus reducing the ennui that often develops when someone does one narrow task for years. Finally, a superior employee who may not be a good supervisor can maintain interest and challenge in his or her job without having to move into an inappropriate supervisory role.

3. Fewer additional staff will be needed than if the present system were maintained. As explained below, the National Center believes the Court needs additional personnel now. Whether or not it obtains those positions this year, the more-than-50-percent increase in the principal case types projected by the National Center for 1985 (see chapter V), plus the addition of Class 6 felonies as of July, indicate that more staff will be needed. The increase will be less if the Court switches to case-team management now than if it maintains its present staff organization.
4. Line staff's critical need for training in all court processes will be addressed. Case-team management requires that staff receive the overview of the system now lacking. Changing to team management will assure that all present staff are fully trained and that existing procedures are reexamined, even by those presently performing those procedures. A shift to case-team management is the best vehicle to assure that needed training occurs in a relatively short span of time.
5. The problem of lost files will be reduced substantially. Today files may pass through five or more sections and one or more courtrooms. In the case-team system proposed, the file will be either with the case-team or in a courtroom. Relatively few staff members (three to eight) will work with a file when it is not in a courtroom. If a file is lost, it will be much easier to locate than in the present staff organization.
6. The staff organization proposed by the National Center conforms to the existing personnel classification system. Often with changes of the magnitude being proposed, reclassifications of staff are needed. In shifting to case-team management, if reclassifications are needed they will be relatively few in number.
7. The impact of caseload increases in particular types of cases or changes in law on staff needs is easier to assess and document. If traffic cases increase, with today's staff organization all sections are affected, although they may not be affected to the same degree. It is difficult to document the full impact of the increase on staff needs and to allocate new FTE positions to the sections most affected. With case-team management the impact is more readily documented and new personnel are more easily assigned to needed areas.
8. The Court will be in a better position to respond if the Legislature and City Council adopt administrative adjudication of traffic cases. If the Court moves to case-team management now, the transition will be complete, and the problems, if any, worked out when it comes time to transfer most of its staff to the new administrative agency. The cost of the new system can be readily documented, which will make the basic policy choice more informed than is possible with today's organization. The improved productivity and management that will result from team management also may lead policy-makers to reconsider the appropriateness of creating a new administrative agency.

9. The Court will demonstrate to the City Council and citizens generally its commitment to improved management. In this era of cut-back management, it is incumbent on all government officials to maximize productivity. A shift to case-team management would be a clear and appropriate response by the Court to the demands of many citizens for greater economies in the delivery of government services.
10. Team management will not require significant adjustments in the computerized information systems presently used and being planned. The steps in processing a case will not change, only the way in which clerical staff are organized to perform these steps. The computerized information system is designed around the needed steps, not the functional work units. When the New Jersey Court of Appeals shifted to team management only limited adjustments in the programming on its computer were needed. The same is anticipated for Phoenix.

C. Team Management in the Phoenix Municipal Court

1. Number of Teams and Their Responsibilities

RECOMMENDATION NO. 1

The Court should create 11 teams of staff, allocated among nontraffic and traffic cases. The teams should be responsible for intake processes (front counter, correspondence, document intake), basic bail and bond procedures, and all processes associated with closing a case (terminal entries, orders associated with nonpayment, and fines payments).

The National Center recommends that teams be created to deal with case types. The initial division should be between traffic and nontraffic matters. If changes then occur in the Court's traffic jurisdiction, staff dealing with traffic can be transferred or reassigned more readily. Correspondingly, if changes occur in the Court's criminal or civil jurisdiction, the administrative structure will exist to respond.

In the nontraffic area, the National Center recommends that two teams be responsible for all misdemeanors filed with the Court and that a third, smaller team handle all other nontraffic matters, including juvenile, parking, and any agency matters filed in the Court. The size of these teams and their caseload is discussed below. For traffic cases, the National Center believes that eight teams are appropriate, one

devoted exclusively to major traffic cases, one to cases involving only nonmoving traffic violations, and six teams to handle moving traffic cases and nonmoving violations associated with moving violations.⁸

Each team would be responsible for all noncourtroom-associated work. Work performed by the personnel now in the Front Counter, Correspondence, Document Intake, Post-Court, Finance, and Fines sections, and some of those in the Warrants Section would be assigned to each team. All staff presently providing direct support to the judges (bailiffs, courtroom clerks, courtroom reporting, and the probation staff) would remain outside the team arrangement because the National Center's responsibilities in its contract with the Court specifically excluded matters involving the judges. The National Center notes, however, that the approach being proposed for the clerical staff could be extended to the judges and their direct support staff if the judges wish to change the way in which cases are calendared.

Certain tasks would be excluded from a team's responsibilities:

- Records maintenance and storage, including microfilming and records destruction;
- Initial receipt of mail and its distribution to teams;
- Messenger services among buildings;
- Signing checks for bail or bond refunds or for any other purpose;
- Entry and removal of warrant information from the computer;
- Teller terminal operation at the 125 West Washington Street facility (until all staff move to that facility);
- Cash management;
- Daily reconciliation of teller terminals and/or cash registers; and
- Monitoring compliance with legal requirements regarding bond forfeitures.

⁸ If a nonmoving violation is associated with a major traffic violation or a moving violation with a major violation, the team handling major traffic violations would receive the case.

With this allocation of responsibilities, an active case file either will be with a team or it will be in a trial division. The incidence of lost files should be reduced markedly.

An organization chart showing the proposed reorganization is attached on the following page.

2. Size of Teams and Caseloads for Each Team

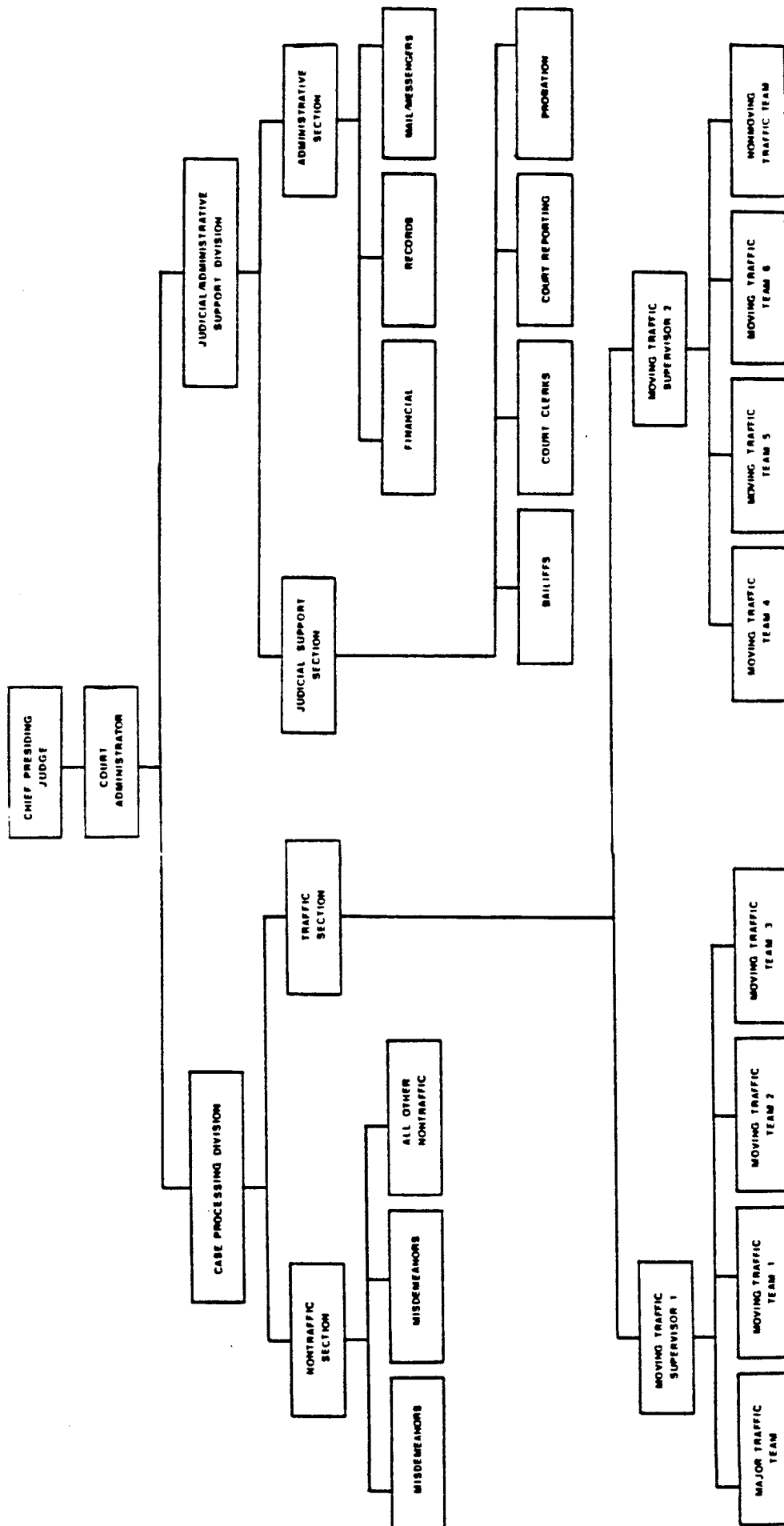
In proposing the number and size of teams, the National Center is guided by two considerations. First, small-group research indicates that the optimum size for interaction within a group is seven or eight. The working conditions of the teams proposed here are not entirely similar to the kind of work relationships involved in these studies, but the National Center believes that teams greater than 10 will not be as efficient as teams of 10 or fewer. At a minimum, it is believed that no team should have fewer than three members.

A second consideration is to recognize workload differences among case types. Arizona has not developed a weighted caseload system for judges or clerks.⁹ Nonetheless, it is generally recognized that major traffic offenses and misdemeanor cases involve substantially more clerical time than all other moving violations and that nonmoving violations require the least clerical time. The number and size of teams proposed seeks to reflect these workload relationships.

Before discussing the size of each team, one additional matter must be addressed. The National Center's on-site review of the Court's operation convinced project staff that most of the Court's sections are understaffed. Some procedural inefficiencies exist, but training, revised organization,

⁹ The National Center examined California's 1974 clerical workload study, but the weights developed as a result of that study do not relate to the team approach being proposed here.

FIGURE 1
TEAM MANAGEMENT SYSTEM
PROPOSED ORGANIZATION CHART



and new procedures alone will not result in the Court's handling its workload more efficiently. Even if all of the National Center's recommendations are implemented, more staff will be needed to process the existing and projected workload.

This observation of the National Center regarding staffing levels is confirmed by comparisons to other courts and workload standards. The Phoenix Municipal Court's staff is substantially smaller than the staffs of limited jurisdiction courts in other states with comparable caseloads. There are obvious reasons why a direct correlation between workload in the Phoenix Municipal Court and in courts in other states cannot be equated on a one-to-one basis (see Chapter VI), but the comparisons with these other courts and with the few national standards that exist confirm the Center staff's observations of understaffing. The National Center recognizes that Phoenix's staffing levels appear to be better than that in other municipal courts in Arizona. The National Center is not in a position to assess the working environment in those other Arizona courts, but is not persuaded that the staffing in other Arizona courts demonstrates that Phoenix is appropriately staffed.

RECOMMENDATION NO. 2

Additional staff should be sought by the Court.

- A. If the team concept is accepted, the Court should request an additional 16 positions from the City Council.
- B. If the team concept is not accepted, the Court should request an additional 20 positions.

The National Center does not believe it appropriate or necessary to increase the clerical staff to the level of the non-Arizona courts used for comparison. The National Center started with the existing staff structure and determined the number it felt appropriately should be added to each section. This analysis was not based on the type of workload

analysis that would be performed by a personnel specialist, but is a preliminary estimate based on the National Center's general experience and project staff's observations. The National Center believes that at least 20 additional positions should be sought if the Court does not adopt the team management approach, distributed among the sections as follows:

<u>Section</u>	<u>Additional Staff</u>
Finance	4
Bailiffs	1
Court Clerks	1
Court Support	1
Fines Collection	1
Warrants	1
Customer Services	3
Records	2
Parking	2
Correspondence	2
Document Intake	1
Administration ¹⁰	<u>1</u>
	20

Five of these additional positions are needed regardless of whether the Court adopts team management because they are for sections unaffected by the team management proposal (Bailiffs, Court Clerks, Records, and Administration). With reference to the remaining 15 positions, productivity is higher in team management systems, so the National Center believes 11 people added to teams would do what 15 can do under the present system. The number and size of teams suggested below reflect this increased staff level.

Table 1 sets forth the number and size of teams for each case type. The number of filings per full-time equivalent team member also is indicated, using the National Center's projections of the Court's 1980-81 filings (see

¹⁰ This is a secretary for the analysts in Administration, not another analyst. (See Recommendation No. 51.)

TABLE 1
PROPOSED ALLOCATION AND SIZE OF TEAMS
USING THE NATIONAL CENTER FOR STATE COURTS'
ESTIMATES OF 1980-1981 FILINGS

<u>CASETYPE</u>	<u>NO. OF TEAMS</u>	<u>STAFF PER TEAM</u>	<u>FILINGS PER TEAM MEMBER</u>
<u>TRAFFIC</u>			
Major	1	9	1,737
Other moving and associated nonmoving	6	8	4,479
Nonmoving (only)	1	3	8,260
<u>NONTRAFFIC</u>			
Misdemeanors	2	5	2,401
All other	<u>1</u>	<u>4</u>	<u>?</u>
TOTAL	11	74*	3,776*
<u>Present System</u>		63*	4,435

* These totals do not correspond to the totals on page 2 and in Table 6, page 96, because these totals are only for staff affected by team management.

Chapter V). Today, the 63 people who would be reassigned to teams average over 4,400 filings each. Under the team system and with the addition of 11 new positions to the teams, the number of filings per team member would range from a low of 1,737 for major traffic offenses to 8,260 for the team handling cases that only involve nonmoving violations.¹¹

It should be noted that the case-team system can be implemented and remains desirable even if the additional positions are not granted by the City Council. A table corresponding to Table 1 but showing an allocation and size of teams if no new staff are added is in Appendix B. It also should be understood, however, that the team management approach cannot by itself overcome the present staffing limitations in the Phoenix Municipal Court.

RECOMMENDATION NO. 3

Cases of the same case type should be allocated among teams alphabetically.

There will be two misdemeanor teams and six moving traffic violations teams. Cases must be allocated among them on some basis. The National Center recommends that the allocation be done alphabetically, based on the defendant's last name. Table 2 suggests a breakdown to keep the number of cases roughly equal among the teams. Exact equality cannot be achieved because of the uneven distribution of names among the letters of the alphabet. The proposed alphabetic divisions are based on a national data base, so there might be minor deviations in the Phoenix area. The

¹¹ Because data are lacking, the National Center had to make some assumptions to arrive at those numbers. Based on data from other states, it was assumed that ten percent of all moving traffic violations are major offenses (DWI, hit and run, etc.). It also was assumed that 75 percent of all nonmoving traffic violations (license and registrations problems, weight-limit violations) are associated and cited with moving violations, so only 25 percent of the nonmoving citations issued would be handled by the team for nonmoving violations.

TABLE 2
DISTRIBUTION OF LETTERS IN ALPHABET
TO ACHIEVE APPROXIMATELY EQUAL GROUPINGS*

<u>Two Groupings</u>		<u>Five Groupings</u>	
<u>Letters</u>	<u>% of Surnames Covered</u>	<u>Letters</u>	<u>% of Surnames Covered</u>
A-K	48.3	A-D	23.2
L-Z	51.7	E-J	18.6
		K-N	20.6
		O-S	22.6
		T-Z	14.9

<u>Three Groupings</u>		<u>Six Groupings</u>	
<u>Letters</u>	<u>% of Surnames Covered</u>	<u>Letters</u>	<u>% of Surnames Covered</u>
A-G	34.2	A-C	17.3
H-O	30.9	D-G	16.9
P-Z	34.9	H-K	14.1
		L-O	16.8
		P-S	20.1
		T-Z	14.9

<u>Four Groupings</u>		<u>Seven Groupings</u>	
<u>Letters</u>	<u>% of Surnames Covered</u>	<u>Letters</u>	<u>% of Surnames Covered</u>
A-E	25.8	A-B	11.8
E-K	22.5	C-E	13.9
L-R	27.1	F-I	14.1
S-Z	24.7	J-L	13.4
		M-P	17.3
		Q-S	14.5
		T-Z	14.9

* Derived from Department of Health and Human Services, Social Security Administration, Office of Operational Policy and Procedures, Report of Distribution of Surnames in the Social Security Number File, September 1, 1974 (S.S.A. Pub. No. 63-034, 1981), p. 1. A list of the percentage of total surnames represented in each letter is in Appendix C.

actual distribution of filings among the teams should be monitored and the alphabetic divisions adjusted as appropriate to level the workload among groups as much as possible. If the differences in workload are too great and cannot be corrected, the sizes of some of the moving traffic teams may have to be adjusted.

This approach is relatively easy for the Court to implement, is easiest for handling the defendant who receives several citations at different times, is easily understood by members of the public coming to the front counter, and does not present the problems of coordination associated with allocating cases by their case numbers.

In the absence of a weighted caseload system there is no way to measure the differences in workload between a major traffic and a nonmoving violation case. But among the six moving traffic teams and between the two misdemeanor teams, except for minor variations in caseload caused by the alphabetic breaks, the workload will be more evenly distributed using an alphabetic allocation scheme than in the present system.

3. Allocation of Responsibilities Within Teams

The National Center is not able to address each task that a team will have to perform. In Table 3, however, it suggests a division of responsibility among team members for a six-member team handling misdemeanor cases. A similar approach would apply to all other teams, although some specifics will vary with different case types.

4. Implementation Strategy

RECOMMENDATION NO. 4

Case-team management should be tested with misdemeanor cases for four months. If successful, full implementation for all case types should occur 12 months after initial acceptance of the concept.

TABLE 3
ALLOCATION OF RESPONSIBILITIES
WITHIN A TEAM
MISDEMEANOR CASES
(6 people)

1. Team Supervisor

- Allocate work to team members
- Coordinate with other teams, especially when alias-name problems arise
- Supervise team's work
- Handle problem cases
- Train staff; keep manuals current

2. Person A

- Front counter
- Teller terminal for front counter (including time payments)
- Charge card processing

3. Person B

- Teller terminal for mail, jail court, trial courts, and zero-dollar rings
- Cover for person A

4. Person C

- Warrant entry and filing
- Schedule PDC's and PCS's, as needed
- Cover for persons B and D, as needed
- Prepare FTA notices and warrants (excluding actual warrant entry and removal)

5. Person D

- Prepare TBR slips for cash/bail redunds
- Bond postings, forfeiture notices, and reinstatements
- Cover for person E, as needed
- Supervise files to assure proper filing and use of out cards
- Prepare and mail OSC notices
- Appeal processing

6. Person E

- Prepare new case files
- Final preparation of files for records
- Trace lost files and documents
- Cover for person C, as needed
- Error corrections
- Summons preparation

The National Center recommends phased implementation of the case-team management approach. Case-team management requires a major revision of work assignments and working relationships. Should the Court attempt to implement the concept too quickly, it risks increased staff resistance and it increases the possibility that potential problems will be overlooked during planning, which may reduce the opportunity for successful implementation. The flow of work to and among the teams must be carefully analyzed, substantial training for staff will be required, and reallocation of existing space will be necessary. If implementation is phased in, these matters can be addressed systematically.

Attached as Table 4 on the following page is a proposed schedule for implementation. The National Center recommends that the concept be implemented first for misdemeanor cases, with two teams of six members each being created. The first two months after final approval of the approach should be devoted to planning the details of the new workflow, selecting staff, training the staff, and clearing the change with union representatives. If possible, draft manuals of the workflow also should be developed in this period, although two months may not be sufficient to complete the development of manuals.

The misdemeanor teams should start functioning at the beginning of the third month. Evaluation of the process should be started at the same time. If done internally, the evaluations should be the responsibility of the systems and procedures analyst. The team management approach should be tested for four months. At the end of the second month of operation, a preliminary evaluation should be made. If the results are positive, planning for implementation of teams for all case types should be initiated. Confirmation from the union that contract terms are not being violated also should be obtained.

TABLE 4
PROPOSED SCHEDULE FOR IMPLEMENTATION
OF TEAM MANAGEMENT

TASK	APPROVE CONCEPT	MONTHS												
		1	2	3	4	5	6	7	8	9	10	11	12	13
Approval obtained Misdemeanor teams pilot	X													
- Plan paperflow and task allocations														
- Space allocation														
- Union approval														
- Select staff														
- Training														
- Prepare manuals														
- Implementation														
- Evaluation														
Other teams														
- Plan paperflow and task allocations														
- Space allocation														
- Union approval														
- Allocate staff														
- Prepare manuals														
- Training														
- Implementation														
- Evaluation														
- Review/Revise 125 West Washington Street plans														

A final evaluation of the team system for misdemeanor cases should be completed by the beginning of the seventh month. If the final evaluation continues to show positive results, the planning process should be accelerated and drafting started on training and procedures manuals. The planning process should include reallocation of space at 4th Avenue (which may include refurbishing and use of some courtrooms) and review of the plans for use of the space at 125 West Washington Street.

The planning process and manuals should be completed by the end of the tenth month. Training and steps necessary for implementation, including reassignment of the existing caseload to teams as necessary, should commence in the eleventh month. The training process should continue for two months, with full implementation at the end of the twelfth month from final authorization.

One contingency could accelerate the proposed schedule. If the move to 125 West Washington Street occurs earlier than 12 months from authorization of the case-team management concept, full implementation of team management should occur in conjunction with the consolidation of all court activities at 125 West Washington Street.

5. Financial Impact of Implementing Team Management

a. Personnel

If all of the National Center's recommendations for team management are accepted, including the 16 additional staff positions, it would appear that the case-team management approach is substantially more expensive than the present system. This appearance is misleading, however. The National Center believes that if the Court does not change to a team management approach, the existing organization requires 15 additional positions in the sections affected by team management to operate effectively. The case-team management approach requires only 11

additional people, a savings of four positions. The average Clerk II is paid \$10,700 and the average Court Service Worker II is paid \$14,000 in salary. (A Court Service Worker I is paid roughly the same as a Clerk II.) If the Court adds 15 positions to the sections affected by case-team management, the National Center believes that 12 should be in the Clerk II or Court Service Worker I category and three in the Court Service Worker II classification. In a case-team management system, the National Center recommends that 10 of the new team positions be at the level of a Clerk II or Court Service Worker I and one at the level of Court Service Worker II.¹² The cost of adding the 11 positions to the teams would be approximately \$120,250 for increased salaries (plus whatever fringe benefits cost), but this amount is approximately \$49,000 less than the appropriate cost of maintaining the present sections that will be combined into team units.

b. Training

Another apparent cost of implementing case-team management is the time and effort required to train staff and to develop manuals for the new procedures. Substantial training and manual development is required in the Court today (see page 84, below), so the cost of manuals for a case-team management system is only the incremental cost of writing manuals for a brand-new system. A responsible estimate of the time required for training and manual development for team management beyond what would be required in the Court in any event is not possible at this time, but a highly conservative estimate of the additional cost would be 25 percent more than the cost of the training required if team management is not implemented.

¹² In addition, two of the five positions needed regardless of team management would be Court Service Worker II's.

c. Computer Programming

Team management will change the individuals who perform the required tasks for processing a case, but will not change the tasks required. Accordingly, none of the computer programming that now exists needs to be radically altered because of teams. There will be additional programming required to accommodate case-team management, however. Even though cases will be assigned alphabetically by defendants' names, it will be helpful to have an index indicating which cases and how many cases are assigned to each team. New programming would be required to produce this index. Some of the management reports that now are produced in a single copy would need to be produced in 11 copies, with appropriate contents for each team. Minor adjustments regarding the number of people and the codes for people allowed access to certain parts of the programming will be required. Again, the National Center is not in a position to estimate the value of the time required to make these programming changes, but believes it is minor, both in absolute terms and in terms of the savings and advantages to be gained from team management.¹³

d. Physical Space

Each team's members should be physically proximate to each other. At a minimum, this would require rearranging desks and possibly moving some individuals. With the addition of 16 people, it may be necessary to convert one or more of the unused courtrooms at N. 4th Avenue so that they can be used for clerical support staff. Once again, however, if the existing system is maintained and 20 people are added to staff, it also may be necessary to convert courtrooms to clerical work areas. A change

¹³ When the New Jersey Court of Appeals' clerk's office changed to team management, very minor adjustments were required in its computer programming, which reinforces the National Center's belief that a shift to case-team management in the Phoenix Municipal Court also can be achieved with only minor adjustments in programming.

to case-team management alone should not require structural changes at N. 4th Avenue beyond any that are needed for the present system. The existing plans for the space at 125 West Washington Street will have to be reviewed to determine whether changes in the present space allocations there are required to accommodate the teams (see Chapter VII).

e. Filing Equipment

Each team will be responsible for all the documents associated with the cases assigned to it. Whereas files for cases involving warrants now are kept in a central location, these files in a team management system will be distributed to each team. Similarly, traffic citations now stored in a single tub file behind the front counter might require one or more additional tub files so that each team's citations can be kept separate (although still behind the front counter).

Open-shelf filing equipment for legal-sized file folders costs approximately \$1.50 to \$1.70 per filing inch. A typical six- or seven-tier shelf, 36 inches wide -- providing 200 filing inches of space -- would cost about \$34. The National Center is not in a position to estimate the number of additional units that might be needed, but it is apparent that the cost of this additional equipment also is minor compared to the anticipated benefits.¹⁴

f. Teller Terminals

Teller terminals will be used by each team. The Court presently owns nine terminals, one of which is at 125 West Washington Street and two of which are used for the arraignment courts. At a minimum, the other six will need to be modified to add cash drawers for different people or teams and the programming may have to be modified to permit more than one

¹⁴ When the Court shifts to letter-size documents and files pursuant to the Supreme Court's directive, the combined savings for paper, folders, and equipment could be 30 percent.

person to use a terminal. It also may be necessary to add a terminal or two. It should not be necessary for each team to have its own terminal or for each team to have one terminal for a front-counter person and a second terminal for the person handling correspondence.

g. Revenue

Not all of the fiscal implications of team management involve cost. Several hundred cases per week are referred to Treasury Collections because installment or deferred payments are not made. Approximately 70 percent of these cases then result in warrants that are referred to the Police Department. The Fines Section of the Court is reasonably efficient, but must deal with hundreds of cases every day. A team dealing with a smaller number of cases might be able to monitor and follow up on those cases more effectively than the presently limited fines collection staff. Substantial increases in fine payments cannot be anticipated but there might be a small increase discernable.

III. COMPUTERIZED INFORMATION SYSTEMS

A. Background and System Overview

The current Criminal Justice Information System (CJIS) is an on-line computerized system that supports a variety of functions in the Municipal Court and also provides information to the Police Department and City Attorney's Office. The hardware and software are maintained by the City's Management Information Systems (MIS) Department.

The system currently operating is the result of an evolutionary process that began with electronic accounting machines in the 1960's and progressed through card-oriented batch systems and a variety of computer hardware configurations. The basic design of the present system dates back to 1971 when the MIS Department assumed responsibility for computer processing. Prior to this, the Court operated its own hardware. The 1971 batch-oriented system was converted to an on-line system in 1975. At about the same time, Burroughs teller terminals were installed for on-line processing of accounting transactions.

Since 1975, the system has undergone several major enhancements. The computer hardware has been upgraded from a Honeywell 6000 to a level 66 computer. The Police and prosecutor have been added as major users of the system. In recent years the workload volume of the system has increased substantially.

CJIS supports the processing of each of five major types of cases processed by the Municipal Court. These five case types are:

- minor traffic;
- major traffic;
- criminal;
- driving while intoxicated (DWI); and
- parking.

With respect to these cases, the system supports the following major functions:

- data entry;
- case tracking;
- case scheduling;
- cash accounting;
- warrant control;
- case inquiry;
- reports and forms generation; and
- disposition reporting.

Data entry is accomplished through a variety of means. MIS uses a key-to-disk data entry system to capture information about each citation and initially set up a computerized case record. Subsequent changes or updates to the case record can be made through transactions entered at CRT terminals, Execuports,¹⁵ or teller terminals. Depending on the type of transaction, this information is either processed on-line or it is stored and batch processed at a later time.

The entry of a new case, along with subsequent updates to the case, allow for computerized case tracking. All scheduled events, warrants, disposition, and other relevant information create a history of each case. This then allows for subsequent inquiries about case status and reporting of exception situations.

Cases are scheduled automatically by the system, using an algorithm that finds available court dates and checks the availability of police witnesses. This automatic scheduling can be overridden by manually entering scheduling information through a CRT or Execuport.

The teller terminals are used to record and receipt cash transactions involving fine payments or bail bonds. The teller terminals link

¹⁵ Execuport is a brand name for a machine with data entry, inquiry, and printer capacity.

directly with the computer database and automatically update the case history records. The system also provides for cash balancing at the end of the day and printing of financial accounting reports.

Failure-to-appear (FTA) complaints and warrants are printed automatically if a defendant's citation record is not updated within five days from the date of arraignment. Warrant data can be entered and deleted through the system, which also communicates the status of warrants to the Police Department.

Either the Execuports or the CRTs can be used to access data about individual cases. To facilitate these inquiries, the case records are indexed in a variety of ways (e.g., citation number, defendant name, warrant number, and court session). A defendant history is maintained so that the City Attorney can check prior records.

A variety of operational reports and forms are periodically printed for the Court, the police, and the prosecutor. These include such documents as the FTA complaints, bench and criminal warrants, prosecutor case cards, dockets, and amended complaints. Exception reports consist of case listings such as warrants issued, warrants cancelled, and active cases. Some statistical reports also are produced.

When cases are disposed, a record of each disposition is generated and transmitted via magnetic tape to the state Motor Vehicle Department. This record then is used to update driver history records.

B. Problems with Current System

The problems with the current system fall into four major categories:

- hardware/software;
- functional limitations;
- technical support; and
- user interface.

The problems in each of these areas are explored in this section.

1. Hardware/Software Problems

The single greatest problem, a problem cited by virtually all personnel interviewed, is poor response time. Response time is defined as the length of time it takes the computer to respond to a command or input that is entered on-line through a terminal. For most routine entries, the response time should be a matter of seconds. According to generally accepted data processing standards, an average time that exceeds 10 seconds generally is considered unacceptable. The CJIS performance has been much worse than this, with response times averaging 30 seconds to a minute, and often exceeding several minutes, depending on the time of day. At times, the system is simply unusable because response times are averaging in the 10-20 minute range.

The causes of poor response times are often difficult to pin-point exactly. Usually poor response times can be traced to one or more of the following:

- computer hardware overload (too many systems competing for too little main memory of the computer's central processing unit);
- computer software overload (too many users of specific software competing for use and execution of the same programs);
- communications overload (too many users competing for use of the same telephone line);
- poor system design (programs designed to do too much processing for an on-line environment);
- inefficient software (programs coded in such a way that execution time is higher than necessary).

The project staff found that each of these causes contributes, at least in part, to the CJIS poor performance.

a. Computer Hardware Overload

MIS operates two Honeywell level 66 computers -- a 660 and 662 with one megabyte of main memory each. The 662 is almost exclusively

dedicated to the Water Department system. The CJIS programs operate on the 660, along with approximately 20 other on-line systems supporting various city departments.

In a recent test conducted by MIS, all systems other than CJIS were shut down for three 20-minute time periods during the prime shift. The purpose of the test was to determine if contention with other systems was a significant cause of poor response times. The results were mixed. In some instances, such as the teller terminals operators, significantly better performance was reported. In other instances, the response time appeared to be unaffected or only slightly improved. One can safely conclude that hardware overload contributes to the problem, but is not the only cause.

b. Computer Software Overload

All CJIS users, be they teller-terminal operators or bailiffs at Execuports, compete for the same computer software (programs). All computer transactions are currently funneled through a single master program which determines what type of processing is required. This program then passes the transaction to other programs, which may edit the data and then ultimately access the database to retrieve other data or update records. Both the master control programs and the program which accesses the database (the database management system) can prove to be serious bottlenecks in an on-line system.

Although the National Center did not have time to study the actual software in CJIS, two facts point to possible contention problems in these programs. First, the system was converted from a batch system. As a result, the master control program may not be designed to handle the volume of incoming transactions now required in the on-line environment. Thus, there may be considerable queuing as the software sequentially

processes incoming transactions. Second, the database management system (Honeywell's IDS-1) is one of the first ever designed and in fact was designed primarily for batch systems. It may not have the features needed for high-volume, on-line database handling. Accordingly, there may be considerable contention for access to the database once a transaction is received by the system.

The computer software overload is clearly evident during peak hours in mid-morning and early afternoon when Execuport scheduling transactions and teller terminals are competing for the same software and response times decline proportionately.

c. Communications Overload

All communication from terminal devices to the central computer at MIS is done through telephone lines. The speed of the telephone lines (baud rate) combined with the utilization rate (number of bytes per second being transmitted) will affect response time. The Execuports operate on 300 baud lines, which are very slow. The low-speed lines are used because the Execuport teleprinters are very slow printers. Even if they received data at a faster rate, they couldn't print it any faster. Nevertheless, the slow line contributes to the poor response time from Execuports.

The CRTs and teller terminals operate on 1200 and 2400 baud lines. These are also fairly slow lines. Most on-line systems operate on 4800 baud and many on 9600. Slow line speed and contention for the same line or communications controller no doubt has a negative effect on response times.

d. Poor System Design

MIS has isolated at least one feature of CJIS that was causing significant degradation: the design logic of the scheduling program, when

combined with an increase in Court backlog, resulted in a lengthy time-consuming computer search. The program automatically scheduled pretrial disposition conferences (PDC's) 28 days from the date of arraignment. If the 28th day was completely scheduled, however, then the program searched subsequent days until it found an available court session. Because the Court was backlogged several weeks, open dates did not appear until after the 50th day. Therefore, an inordinate amount of computer time was being wasted searching the intervening dates.

This problem has been temporarily corrected through reprogramming, but still requires monitoring. Similar design problems may have developed in other programs; MIS is continuing to benchmark specific program modules to isolate and correct these problems

e. Inefficient Software/Hardware

This problem is akin to poor system design, but relates more to the inherent weaknesses of out-of-date technologies. The CJIS is programmed in COBOL-68, a language made obsolete through the development of COBOL 74. The IDS-1 database management system has been made obsolete through the development of a later version more appropriate for on-line processing. The Honeywell level 66 computer architecture itself is dated, having been designed primarily for batch processing.

These factors all influence performance, though the extent of that influence is difficult to ascertain. Certainly, with the rapid advancement of computer technology, no computer facility can hope to consistently acquire the latest, most powerful data processing tools. At regular intervals these tools have to be upgraded, however, because of unacceptable performance. The cost of the upgrade is often less than the alternative cost of continuing operational problems and resultant higher personnel costs.

In addition to poor response times and the probable causes cited above, CJIS suffers from other hardware/software problems. Court personnel reported unusually frequent and sometimes lengthy periods of computer downtime. No exact downtime statistics were available, but the estimates range between 10% and 20% of the work day.

There also are on-going problems with the interface between the Burroughs teller terminals and the Honeywell mainframe. The exact nature of the problems varies and may involve the Burroughs software, the communications controller, the Honeywell computer, the CJIS applications software, or the communications line itself. The consequence has been interrupted communications and downtime for the teller-terminals.

2. Functional Limitations

The National Center found that most court personnel were satisfied with the functions that the system performs. The automated scheduling module, when operating properly, works very well. Even the teller-terminal accounting function, which is the center of most of the complaints about the system, performs the proper functions when working satisfactorily. The CJIS system as a whole, when compared with other systems of its type with which project staff is familiar, is functionally quite sophisticated. In other words, it is a relatively powerful system that performs numerous recordkeeping and information processing tasks.

Nevertheless, the users expressed some dissatisfaction with the limitations of the current system. Examples of these limitations are:

- the inability to search for records based on phonetic name entry (needed if exact spelling not known);
- the inability to inquire on disposed cases without both the name and birthdate;
- the inability to produce certain management and statistical reports needed by the Court and the City Attorney's office.

There are many other functional requirements that Court personnel would find desirable in an ideal system. Their dissatisfaction stems not so much from the lack of features as from the lack of timely response from MIS in obtaining enhancements or changes. This brings us to the third major area of problems.

3. Technical Support

The CJIS is supported by MIS technical personnel in two areas, maintenance programming and operations. In maintenance programming there are two programmer/analysts assigned to public safety applications, which include the Court, the City Attorney's office, the Police Department, and the Fire Department. A third programmer is temporarily assigned to assist these two full-time support personnel. The maintenance programmers are responsible for handling requests for service (RFS) from the users. RFS's may involve programming for additions to the database structure, changes to processing logic, or additional reports. The operations staff is responsible for the computer hardware and its operation, including the printing and distribution of reports, the mounting of tapes and disks, and the running of batch programs. The users of CJIS have experienced problems with the technical support from both maintenance programming and operations.

Because of budget cutbacks, the City of Phoenix now has less technical support staff than it did five years ago. At the same time, the need for qualified staff has increased due to the development of more systems and systems of greater sophistication and complexity. As a result, the MIS programming staff is badly understaffed and unable to keep pace with users' requests for service. There is a backlog of RFS's for CJIS that would take the present staff at least eight months to satisfy if no other work interrupted. Much of the programming time has

recently been spent in fine-tuning the present system in the hope of reducing response time. These efforts have further delayed work on RFS's and frustrated the users.

The operations staff was cited by several persons interviewed as contributing substantially to MIS problems. Errors in the production of cards and reports needed for the daily operation of the Court's or City Attorney's office cause serious problems. If the City Attorney's office or the Court does not receive its daily batch of case cards or warrant cards then several clerical personnel sit idle or must be sent home and the public may be inconvenienced.

Each of the three major users of CJIS has one person responsible for liaison with MIS. In the Court, this person has full-time responsibilities as a user analyst. That is, the position carries the responsibility of translating the Court's needs to MIS and in turn assisting MIS in satisfying those needs. In the City Attorney's office and Police Department, however, no such full-time position exists, although in each case someone has attempted to fill this role in addition to other assigned duties.

4. User Interfaces

The term "user interface" refers to the human problems associated with the use of the computer system. As such it includes user training, management, clerical procedures that must mesh with the requirements of the system, and human error. Any computer system -- no matter how sophisticated -- can only be useful and effective if it is properly utilized. With regard to CJIS, there is evidence of several weaknesses in this area.

The first weakness is user training. It is unclear who is responsible for training personnel to use CJIS. The MIS Department does some training when a new system is first installed, but thereafter it apparently falls to the individual section managers to train their personnel. The CJIS user's manual, which contains instructions for terminal use, was written in 1976 and has not been updated since. It is of no benefit in training or as a reference document today. Some Court personnel have taken the initiative and maintained their own written manual for those parts of the system falling within their area of responsibility; most training, however, is done on-the-job through verbal instructions.

Although the system is not so complex that it requires intensive training, the lack of formalized instructions and manuals has led to misunderstanding of how different codes are to be used. This, in turn, has created serious data quality problems. The disposition code used to close out a case is the most oft-cited example of misunderstanding or just careless entry of erroneous data. Input errors such as these decrease the reliability of the system. If the users cannot trust the information, the system cannot be used. Ironically, the City Attorney's office suffers more from the data quality problem than the Court, since the Court can always turn to original documents for verification. The City Attorney's staff is highly dependent on the computerized record.

More serious than erroneous data, however, is the problem of untimely data entry. Because of a data entry backlog for the teller terminals, case disposition transactions are not being entered promptly. Despite efforts to catch up, the data entry backlog was running two to three months behind in January.

The backlog of disposition entries has a serious negative impact on almost all other sections of the Municipal Court. Lacking timely disposition entries, hundreds of invalid failure-to-appear complaints and warrants are generated each day, all of which increase the clerical workload. The status of cases in the database sometimes is inaccurate. The untimely entry of scheduling dates or other transactions has similarly adverse effects. Often, when the computer is down or response times are poor, scheduling transactions which could not be entered immediately are later overlooked. This can result in defendants appearing in court when neither the prosecutor nor the Court is aware that the case was scheduled.

Procedural characteristics of individual judges also have the effect of causing data entry problems. In-court minute entries are not uniform and court staff responsible for entering information to the computer often have difficulty interpreting the intentions of the judge.

C. Plans for the Redesign of CJIS

The problems discussed above have been recognized for some time by all users of CJIS and by MIS. As a result, positive steps toward their correction were initiated and now are in progress.

Under the auspices of the Phoenix Criminal Justice Information System Policy Committee, an ad hoc committee was founded. Its purpose was to explore alternative ways to replace the current CJIS, now generally recognized as inadequate and irreparable. The report of this committee, published in September, 1981, lays the groundwork for the design of a new CJIS.

The National Center reviewed the conclusions and recommendations contained in this document and is in full accord with the basic approach recommended.

D. Recommendations

RECOMMENDATION NO. 5

Assuming budgetary approval, MIS should proceed with the design of a new CJIS which utilizes state-of-the art database management system software. The new CJIS should be run on hardware dedicated to criminal justice applications.

The Ad Hoc Committee's evaluation of existing systems that could be transferred from other jurisdictions was thorough and fair. This analysis concluded that customized software designed specifically for Phoenix is the best alternative. The National Center endorses this conclusion.

In both volume and complexity, CJIS warrants a dedicated computer. Advances in technology have reduced hardware costs to the point that they no longer are the major component of data processing expenditures. As a result, there need be less concern about maximization of existing hardware and more concern about the software maintenance costs, reliability, and service to the users. Since contention for hardware resources from many other on-line systems will be eliminated, dedicated hardware should improve the downtime record and improve response time performance substantially.

RECOMMENDATION NO. 6

The hardware procured should be sufficient for the reasonably expected increases in Court activity and capable of expansion.

As previously discussed, computer overload is at least partially to blame for the low performance level of the current system. To avoid this problem in the foreseeable future, care should be exercised in the procurement process. Although almost all computer vendors claim "upwardly upgradeable" equipment, the cost and effort involved is sometimes under estimated. Court workload in Phoenix is projected to increase substantially over the next five years (see Chapter V), assuming

traffic stays within the Court's jurisdiction. The specification of the hardware should be configured to handle a minimum of five year's growth without an upgrade.

RECOMMENDATION NO. 7

CJIS project staff in MIS should be totally dedicated to the development of the CJIS and relieved of duties and responsibilities related to other projects. The MIS staff currently assigned to maintenance of the existing CJIS should be available to assist in the development of the new CJIS.

A development of this magnitude and complexity will require the full-time assignment of qualified technical staff throughout the life of the project. The staffing suggested by the Ad Hoc Committee will be sufficient only if full-time assignment of personnel can be assured. Once the new CJIS is implemented, MIS management should be free to reassign its staff to other projects, so long as continued maintenance support is provided. The MIS maintenance staff now assigned to the support of the present CJIS have gained valuable experience with the problems currently being experienced. It would be beneficial to utilize this experience in the design of the new CJIS.

RECOMMENDATION NO. 8

The Ad Hoc Committee appointed to investigate alternative systems should be converted to a Users Committee and expanded to include key user personnel with operational knowledge of, and interaction with, CJIS.

Most successful criminal justice systems were developed through the active participation of an informal or formal group of users who guided the design and implementation. Phoenix has the core of such a group in the form of its PCJIS Ad Hoc Committee. With the addition of two or three key people, a workable Users Committee could be established. The personnel added should be staff with an intimate knowledge of how CJIS works (from the user's standpoint). They need not be management personnel.

The purpose of the Users Committee is to advise the technical designers of the new CJIS and thus help insure that the new system meets their needs. Although this is also the task of each user analyst, the inclusion of operational users in the design process gives more depth to the effort. It also generates an attitude of participation and involvement on the part of the users, so that when the system becomes operational they will be more committed to its success.

The MIS technical designers and the user analysts should use the committee to solicit ideas and information about user requirements. The committee also can be used to help resolve conflicts in the design, whenever the system specifications cannot be finalized without user agreement.

It is suggested that, at a minimum, three more Municipal Court people be added to the committee to give more depth in the areas of finance, warrant control, and caseload management.

RECOMMENDATION NO. 9

The PCJIS Policy Committee should be retained and continue to function as originally intended. Differences that cannot be resolved by the Users Committee should be brought to the attention of the PCJIS Policy Committee. The chairman of the Users Committee should act as staff to the Policy Committee.

The operation of a Policy Committee, in addition to a Users Committee, may seem to be redundant. Experience has shown, however, that system design efforts that utilized a single committee could not effectively integrate the committee into the project, normally due to the committee's diverse membership. Invariably, the single advisory committee will contain both policy-level management personnel, lower-level middle management staff, and technical personnel. It is difficult to use such a committee as a "working committee," as the Users Committee must be. And it is also difficult to concentrate the focus of such a committee on policy-level issues.

There is an essential difference between the Users Committee and the Policy Committee. The Users Committee, as a "working committee," must assist in working out the details of the system design and system operation. The Policy Committee is concerned with helping to assure that the project has the necessary resources to be successful and the commitment and support of the top management in the departments. It also is needed to resolve design problems that have policy-level implications and that cannot be worked out by lower-level staff on the Users Committee. An example of this would be the reassignment of personnel or changing of staff responsibilities and duties.

The chair of the Users Committee should be responsible for assisting the Policy Committee with its agenda. This person provides the link among the policy-level committee, the Users Committee, and the project itself.

RECOMMENDATION NO. 10

The position of CJIS manager, as outlined in the report of the Ad Hoc Committee, should be established. Lacking approval for such a new position, the chair of the Users Committee should function in this capacity.

It is imperative that a single staff person be charged with the responsibility for the overall management of CJIS, both during development and later during operation. Ideally, a new position should be created for this purpose. Because CJIS serves several City departments, it is preferable that this manager not report directly to any single department but rather, working in a coordinating role, report to the Policy Committee as a whole. This kind of arrangement has worked successfully in other jurisdictions. For administrative purposes, the manager should be located in the department of the dominant user (i.e., the Municipal Court).

It may be possible to manage this project without the creation of a new position if the chair of the Users Committee functions in this capacity. This person would have to be relieved of all duties not related to CJIS. This is a compromise, however, which could end up jeopardizing the system's chances for success.

RECOMMENDATION NO. 11

The Police and City Attorney's offices should budget for a full-time user analyst position to coordinate CJIS requirements within their respective departments and fairly represent their interests on the Users Committee.

The current arrangement of a part-time analyst in these two departments is not sufficient. Particularly during the design stages of the project, these individuals will not have time to provide the kind of support needed. If full-time positions cannot be established, the departments should consider temporary reassignment of personnel so that a qualified staff person can be active fulltime during the critical design stages.

RECOMMENDATION NO. 12

The detail design of the new CJIS should not proceed until after a detailed requirements analysis has been conducted in each of the Court sections.

Many functional requirements of the new CJIS have already been identified and are included in the report of the Ad Hoc Committee. With this as a base, a thorough analysis of each process should be conducted to determine advantages and disadvantages of automation as it relates to each process. The results of the requirements analysis should outline exactly which functions should be included in the new CJIS and which are better performed manually.

If the Court implements the recommendation to reorganize into case management teams, the requirements analysis also will need to focus on

the implications of this reorganization with respect to the functional requirements of CJIS.

RECOMMENDATION NO. 13

During the requirements analysis, the usage of the teller terminals should be addressed in detail. Their preferred use to achieve maximum benefit is in an on-line mode. Off-line entry should be used only for back-up purposes.

The teller terminals have been particularly troublesome to the Court and have aroused considerable dissatisfaction among the users. It seems probable, however, that most of the problems stem from poor response time and poor computer performance rather than from the design of the information flow and the teller terminals themselves. Nevertheless, the Court still needs to weigh carefully the trade-offs involved in the design of this part of CJIS. Some of the issues involved need to be resolved prior to the design of the new system.

The teller terminals will probably never provide the speed of a simple cash register, since the operator has to enter more information. This is not a function of the machine itself. Rather, it is a conscious decision of the system design to record completely all of the disposition information of a case through a single transaction and insure accuracy at the same time. The major advantage of on-line processing through the teller terminals is the capability to verify the accuracy of the disposition entry instantaneously. In batch method, whether it be cash register punched paper tape or key-to-diskette, there is more chance for errors. A secondary advantage of on-line processing is the capability to alert the operator of other citations or complaints that may still be pending against the defendant. If this information is made available while the defendant is still at the counter, then these might also be taken care of. Finally, a batch processing system is likely to take more

clerical time overall than a high-performance, on-line system because of the additional time required for manual data control tasks and more cumbersome error correction procedures.

The major advantages of batch processing is faster data entry, particularly if response times are poor. A batch processing design is more isolated from hardware and software problems. As a result, the clerical workflow, though somewhat more cumbersome, is less dependant on the machine and therefore easier to manage.

The basic trade-offs related to on-line, batch, and manual processing needs to be resolved in the requirements analysis prior to the design of the new CJIS.

RECOMMENDATION NO. 14

The following problems were identified during the course of this project and need to be corrected through the redesign of CJIS:

- a. Insufficient status and location codes;
- b. Revenue categories that do not parallel the categories used for filings and dispositions;
- c. Inadequate cross-references of aliases and AKA's;
- d. Inability to cover the posting of two bonds for a single bail amount;
- e. No unique entry and access codes for expunged cases;
- f. No separate status code for Treasury Collections;
- g. No Spanish language printouts;
- h. The need to enter citation numbers of each case when a number of companion cases are being jointly rescheduled;
- i. The CAPRI warrant system of the Police Department maintains a file of warrant information which duplicates that of the Court and therefore requires redundant data entry and continual cross-checking and verification;
- j. The communications lines, which vary from 300 to 2400 baud, are too slow to handle high-volume traffic in an on-line environment;
- k. Management information is limited and insufficient for the need.

Each of the items listed was identified during Center staff's site visits. The National Center does not intend to suggest that this list exhausts the existing problems, but offers this list as one checklist of operating problems that must be solved to the Court's satisfaction in the new system.

RECOMMENDATION NO. 15

Prior to the design and implementation of the CJIS, the Finance Section should experiment with various alternate methods of data entry:

- a. Using cash registers for quick turnaround of receipts and cash control and CRT's for subsequent entry of the disposition, leaving the teller terminals idle until the new CJIS is implemented.
- b. Using the teller terminals exclusively in an off-line, key-to-diskette arrangement.
- c. Using the teller terminals (on-line or off-line) for recording cash transactions only and using the CRT's for non-cash dispositions.

The most efficient alternative can only be determined through experience over several months. Once determined, this method should be adopted as the interim solution until the new CJIS is implemented.

RECOMMENDATION NO. 16

Improvements of the present system should be strictly limited, except for efforts to improve response times and meet statutory obligations, and enhancements avoided during development of CJIS. Pending enhancements should be reviewed.

The present system suffers from years of efforts at patch-work improvement. The Court's highest priority should be development of a new system that meets all of its operational and management needs. Further patchwork should be strictly limited.

That is not to say that all improvements and enhancements must cease. The National Center is recommending a few in this report. Others are required by changes in the law. Some pending enhancements will

improve clerical productivity substantially and should not be abandoned. And, the staff maintaining the present system is different from the staff developing the new CJIS.

Recognizing all these factors, resources in MIS and in the Court devoted to enhancements should be minimized to maximize the resources that can be devoted to development of a workable new system.

IV. OTHER RECOMMENDATIONS

A. Case Processing

Whether or not the Court adopts case-team management, a number of changes in case processing are desirable. These are presented in the next division of this section. Some changes in case processing are needed only if the team concept is rejected. These changes are discussed in the second division of this section.

1. Changes needed whether or not team concept is accepted.

RECOMMENDATION NO. 17

The Court should investigate the acquisition system-wide of adequate open-shelf filing.

The Court uses some open-shelf filing today, but also has tub files for citations and standard vertical file cabinets. Particularly if the team system is implemented, but even if it is not, the Court inevitably will face the need for additional filing equipment. Except when additional tub files are needed for citations, the Court should seek to use open-shelf filing. Open-shelf filing increases the filing capacity of a given area of floor space and is less expensive than lateral or vertical file cabinets.¹⁶ In areas where security is needed, lateral files with locking doors can be used.

RECOMMENDATION NO. 18

Case files being sent to the arraignment courts from the front counter should have a slip attached to the file or citation showing the time they are placed in the arraignment court box.

¹⁶ When the Court makes the additional change from legal-size documents and file folders to letter-size documents and file folders, additional savings can be anticipated. The combination of shifting to letter-size documents and folders and open-shelf filing has been determined to save between 20% and 30% in filing costs.

When someone appears at the front counter and wishes to go into an arraignment court, the appropriate citation or case file is pulled and put into a box for pickup by the courtroom clerk. The papers of the person appearing first are at the bottom of the box. The clerk normally rearranges the papers so that defendants who appear first are heard first, but there is no way presently to assure that this is the case. Project staff observed several instances in which defendants had to wait while others who had appeared at the counter after these defendants were processed.

The Court can use a self-adhering slip of paper on which the time at which the file was put into the box could be written. This change does not require the arraignment judge to take every case in chronological order regardless of circumstances, but avoids the inadvertent delay of citizens.

RECOMMENDATION NO. 19

The Court should install a telephone answering device that provides a recorded message addressing the most common inquiries.

There are a number of oft-repeated questions phoned to the Court each day. Some of the most common are the Court's address, to which of the buildings the citizen should go, the procedure for protesting a ticket, and the amount of fine on some of the common offenses. A substantial part of one person's time is spent each day answering these questions. A recorded message of 60 or 90 seconds might screen out half or more of the calls received. Those that are not answered by the recorded message could be answered on a second, separate line, the number of which would be given at the end of the recording. The time saved by staff could be assigned to other tasks that can be done at the operator's desk, such as making files and keeping the one to five day past assignment date citations in an orderly fashion.

Answering devices that can handle a message of up to six minutes, with all associated equipment, can be obtained for between \$600 and \$700.

RECOMMENDATION NO. 20

The five temporary Finance Section employees working at 620 Washington Street should be moved to the N. 4th Avenue facility, which should remain open for the exclusive purpose of accepting bail payments after hours.

Five temporary employees work at the Police Department building near the jail to accept bail posted at night. These employees report to the chief accountant of the Finance Section. They have no effective supervision, they seek the accountant's assistance at all hours of the night (he effectively is on 24-hour call), and the time of this staff is not effectively filled with work. If these employees could be brought back to the N. 4th Avenue facility and given appropriate training, they could enter dispositions through the CRT's, assist with filing or the creation of files, or perform other necessary clerical assistance while remaining available to members of the public who wish to post bail during the night.

Several matters need to be addressed in connection with the proposed move. The first is security for staff and the facility at N. 4th Avenue. The National Center proposes that the main entrance be used, with a moveable partition or rope stanchions used to block the main corridor back to the courtrooms and some of the clerical work areas. The window used during the day to accept bail and bond payments should be the window used at night, with possible installation of security glass. An alarm system to the nearest police facility also would be required. In addition, the Court should consider employing a security guard.

The other matter to be addressed is security for citizens. Court staff expressed concern that if it became known that people were coming to N. 4th Avenue with cash to post bail, these citizens might be in

jeopardy immediately outside the building. The National Center has no ready answer for the question of security for citizens on the street, other than to propose seeking an understanding with the Police Department that there would be frequent, sporadic patrolling of the area immediately around the Court.

One suggestion from court staff was to establish a drive-in facility. The most likely location would not offer the advantage of staff being able to work with files and the teller terminals. A drive-in facility located away from the N. 4th Avenue building would not achieve the productivity increases resulting from the staff being at the courthouse.

RECOMMENDATION NO. 21

The signatures required on refund checks should be reassessed.

A City-wide rule requires two signatures on checks, one of which is a supervisor's. The three supervisors in the Finance Section are authorized to sign bail refund checks. This ordinarily is sufficient, but it presents a problem in two circumstances. Sometimes a citizen comes to the bond window for a refund and all three supervisors are unavailable or out of the building. The citizen then is at least delayed and in some cases will not receive the refund at that time. The other circumstance is at 125 West Washington Street, since all of the supervisors work at N. 4th Avenue. To deal with this problem, the Court uses a signature facsimile machine at 125 West Washington Street. A supervisor subsequently reviews and initials a copy of the check.

Three options seem to exist. To date the auditor has not commented adversely on the use of the signature facsimile machine. A second machine for N. 4th Avenue, to be used when a supervisor cannot be located, would seem to be the easiest. This involves the expenditure of some funds, however, to buy a new machine.

A second option is to add a fourth supervisor to those authorized to sign checks. There are no other supervisors in the Finance Section, so the supervisor would have to come from another section, but this might be a workable alternative.

The third option would be to seek a limited waiver of the rule from the City for checks for less than \$50 or \$100 (probably with supervisor sign-off after the fact). This solution extends beyond the problem, but might result in an overall improvement in the productivity of staff and supervisors alike and thus be worth pursuing.

RECOMMENDATION NO. 22

MIS should make necessary programming modifications to create a list of all bails posted and summons generated. Thereafter, the manual preparation of the log book of bails posted and the list of summons should be discontinued.

Almost one full-time equivalent position is required to create and maintain manually the bond book of bails posted and the list of summons issued. The information necessary to generate the log book and the list is in the computer, but there is no program to create these lists. Reprogramming of the system would save significant time of one staff member in the Finance Section, which is the section most in need of additional staff. Although The National Center believes that enhancements to the existing system should be limited, the productivity increases that can result from automatic production of the log book and the list of summons fully justifies this enhancement.

The National Center understands that this enhancement is on the list of work to be done by MIS. The National Center recommends that its relative priority be reexamined to assure that it is completed as soon as possible.

RECOMMENDATION NO. 23

The front counter system should be changed.

- A. If cases are processed by teams, a front-counter window should be designated for each team.
- B. If team processing is not implemented, two front-counter windows should be designated, one for assignments to the prosecutor's court and one for people with warrants. The remaining windows should be for all other case processing.

There are seven windows at the front counter at N. 4th Avenue. The public gets into a single line and waits for the first available staff member. At times the line can be quite long, resulting in waits of 20 minutes or more on occasion before someone is served. A significant but unknown percentage of people coming to the front counter want to go to the prosecutor's court to negotiate a plea. Normally, these people can be handled very quickly. At the other extreme, people who have warrants outstanding can take several extra minutes to handle. If those who can be handled most quickly and those who normally take extra time can be isolated at separate windows, all windows should move more rapidly. Without question, some people who have warrants outstanding will not get into the line reserved for those with warrants, either because they are not sure whether -- or do not know that -- they have a warrant outstanding, or they think they can get faster service by going into another line. Even so, if some of those known to take extra time are isolated, other citizens can be accommodated more rapidly.¹⁷ Likewise,

¹⁷ Wording for the signs designating these two windows must be chosen carefully. For the prosecutor's court window the sign might read: "Prosecutor's court only. If you want to discuss your case with a prosecutor before seeing a judge, stand in this line." The warrants window sign might read: "Warrants only. If you know a warrant has been issued against you, stand in this line." In addition to these signs directly over the designated windows, there should be another sign on the wall near the entrance door indicating that those wanting to go to prosecutor's court should go to window ____ and those having warrants outstanding against them should go to window ____.

some will wish to see the prosecutor who are not eligible to do so, so these people will have to wait in two lines. The designation of two windows for special purposes will not solve all problems for all citizens, but should make the total process proceed more quickly for more citizens.

If team processing is adopted, windows should be allocated to teams. Since there will be 11 teams and only seven windows (with a possibility of nine windows), some of the teams will have to share a window and possibly rotate front-counter duty. Perhaps initially, six windows should be reserved for all traffic matters, with the alphabetic divisions indicated by signs, and one window reserved for all nontraffic matters.

Major traffic violations could share one window and nonmoving violations could share a second with a moving traffic team. When court staff are consolidated into 125 West Washington Street (see Recommendation No. 50, below), a window should be provided for each team.

The citations and complaints in the tub files behind the front counter would be rearranged to match the team and window allocations. The tub files themselves would remain where they are at present, however.

RECOMMENDATION NO. 24

The Court should encourage the Phoenix Police Department to update its court list as soon as police officer assignments are made.

The Court schedules trial dates for cases involving police officers according to a court-day list provided by the Police Department. The officers rotate shifts or assignments from time to time, however, so their court days change. There is a delay between the time the Police Department makes its reassignments and the time it advises the Court of the officers' new court days. In the meantime, the Court schedules cases according to the previous list, which means either that cases have to be rescheduled or the officers have to be paid overtime to appear. The

overtime payments affect the Police Department's budget rather than the Court's, but a reduction of overtime would benefit the City. Similarly, a reduction in the number of continuances required would benefit both the Court and citizens. The gap between the time the Police Department changes its assignments and the time the Court is advised probably cannot be closed completely, but it can be narrowed with more timely production of the court list by the Police Department. The Court should request and encourage that more timely production.

RECOMMENDATION NO. 25

The Court, either through its Records and Procedures Committee or through a new forms committee, should review its forms and concentrate redesign efforts on forms whose manual completion can serve multiple purposes. Forms that might be combined include:

- a. The bail receipt form and the notice of court date; and
- b. The appeals form and the notice of court date.

The National Center could not undertake a full forms review as part of this project, but the need for such a review was apparent during project staff's visits. For example, the same information is entered on the bail receipt form as is entered on the notice of court date. There is no reason why these two forms could not be redesigned to be completed at the same time with the use of carbon paper. Similarly, the appeals form and the notice of court date contain similar information. If the computer is down, the notice of court date form is prepared manually. For every case that results in a disposition in a trial court, a notice of right of appeal form is prepared. When the notice of court date form must be prepared manually, there is no reason not to prepare the notice of right of appeal form, which contains similar information, at the same time. If this were done, in a limited number of cases the court clerks would be saved the time needed to prepare the notice of appeal form. The latter form might not be needed in some cases, but the time saved should more than offset the cost of some of the notice forms being unnecessary.

There may be other instances in which the same information is being entered manually twice, or even instances in which the computer generates the same information twice and can do so just as effectively with one printing on a carbonized form. Also, some of the other forms now being used might be redesigned to be easier to complete and easier to review. Eighty-five percent of the cost of forms is consumed in completing and reviewing them, with the balance of the cost being design and printing. If the former functions can be made easier and quicker, the Court achieves real savings.

The Court no longer has a forms committee and the Records and Procedures Committee is composed of only one judge. Either a committee devoted exclusively to forms review should be created or the Records and Procedures Committee should be expanded and reactivated in an effort to achieve some of the savings that can be gained from redesigning forms.

RECOMMENDATION NO. 26

Spanish translations of the most commonly used court notices should be developed. These forms should be given to Spanish-speaking defendants until the CJIS system is implemented, at which time Spanish language notices should be generated automatically.

Nine percent of the City of Phoenix's residents are Mexican-Americans and four percent have Spanish as a principal language.¹⁸ These are relatively small percentages, but the Court clientele probably reflects a greater percentage of people with a Mexican-American heritage and those whose principal language is Spanish than exists in the Phoenix population at large. Even if the Court's clientele represents no more than five percent Spanish speaking, with a caseload of almost 400,000, there is a potential of 20,000 cases in which a Spanish translation might be useful. If Spanish translations of the typical notices existed,

¹⁸ Western Savings and Loan Association, Foresight Eighty (1980), p. 211.

Spanish-speaking defendants could not claim lack of understanding as a basis for nonappearance or noncompliance with a court order. The Court also would be demonstrating a proper concern for a significant segment of the public.¹⁹

RECOMMENDATION NO. 27

When bonds are posted by personal check, the amount of the bond should not be refunded until the Court is assured that the check has cleared.

Bonds can be posted by personal check. Internal processing of that check by the Court may require between one and two weeks and bank clearance will require up to an additional two weeks. A number of defendants for whom a bond has been posted by check are able to conclude their cases in less than a month. The Court's practice has been to refund the bond without determining whether or not the original check has cleared and been paid.

The exact number of instances in which bonds have been refunded but the personal check subsequently not paid is unknown, but it is known that such instances occur. There is no reason for the Court to be at risk with respect to these personal checks. Allowing the bond to be posted by personal check is an accommodation to citizens; further accommodation by refunding the bond before it is known that the check has cleared is unnecessary. Citizens posting bond by personal check should be advised (perhaps on the receipt form) that they will not receive their money until the Court is assured that the check has cleared, so that if the delay will be a hardship they can knowingly decide whether to write a check or pay cash. But the Court should eliminate the risk it has assumed in any event.

¹⁹ One member of the Court's staff suggested that the Spanish translation be printed on the back of the English-language version of the form to aid Court staff who do not speak Spanish. This seems to be a very useful suggestion.

RECOMMENDATION NO. 28

Motions should be filed through each trial division's courtroom clerk and bailiff.

The majority of the Phoenix Municipal Court judges are scheduled at least one day a week to hear arraignments in the 4th Avenue facility. On certain days, therefore, when an attorney wishes to file a motion at 125 West Washington Street the division in which he or she wishes to file that motion will be closed. In addition, when a division is in session and both bailiff and clerk are busy with courtroom activities, an attorney wishing to file a motion cannot ordinarily interrupt the court proceedings. For these reasons the Post-Court supervisor has been designated as the motions clerk. Filing motions with the Post-Court supervisor is a convenience to staff and the Bar and also allows the filing parties to file their motions in a timely fashion if time is of the essence and the appropriate courtroom is closed or busy. In practice, the Post-Court supervisor often is at the 4th Avenue facility and the actual filing has to be done through an assistant.

When a party wishes to file a prearraignment motion, the Post-Court supervisor refers the party to the 4th Avenue facility, where the filing party must see one of the arraignment judges.

The parties or their attorneys should be required to file all post-arraignment motions with the clerk or bailiff in the division in which their case is being heard. Although there are certain days when the division will be closed due to the judge's assignment to arraignment court, this happens only one day a week for most divisions. On that day, the division itself should put a notice on its door indicating that the judge and staff are assigned to arraignment court for that day and that all motions can be filed with a substitute division designated by the

Chief Bailiff. It would be the courtroom clerk's and bailiff's responsibility to arrange with the substitute division to collect any filings. This notification not only would alert parties and counsel to the proper place to file a motion, but would inform parties and counsel of the whereabouts of the judge and courtroom staff in case there were some other matter about which they needed to contact the judge. If the team management concept is accepted, all prearraignment motions should be filed at the front counter at 4th Avenue with the team assigned to that case. The filing party would then be sent to the arraignment judge. If the team management concept is not accepted, the present procedure should be continued.

This procedure would free the Post-Court supervisor of having to accept motions and route them to the divisions. This is a relatively time-consuming procedure detracting from this clerk's other supervisory duties.

RECOMMENDATION NO. 29

A list of standard docket and calendar entries should be developed.

All staff members who process cases are dependent on two systems for case information. The automated case processing system provides staff members with much information regarding cases. When there are questions about what has happened to a case and it is more convenient to review the status of the case manually, case processing staff refer to the case docket or calendar entries. In particular, the Finance Section staff, who enter much case disposition information into the automated system, review manual entries to decipher what has happened to a particular case. The majority of cases processed by the Court are relatively straightforward. There are some complicated cases, however. For these, it is of the utmost importance that the manual entries be adequate to inform all staff members of the exact status of the case. The people responsible for making docket and calendar

entries have developed a shorthand that is understood by most people processing cases. There are no standardized annotations, however. If standardized annotations were developed and used consistently by case processing staff, a significant amount of time would be saved by the staff who have to make data input entries from these annotations, because there would be less confusion, which in time would reduce the number of times that the staff have to contact the person who made the entry.

RECOMMENDATION NO. 30

Judges should review and agree on standard elements for minute entries regarding warrants.

Case processing staff not only have to review entries made by courtroom clerks and bailiffs, but often review notations made by judges that provide dispositional information on cases processed in divisions. Of particular importance are entries made regarding whether or not warrants should be issued. This becomes complicated by multiple cases which have multiple bail posting and dispositional information. When bail is forfeited on citations, it is important to know the amounts forfeited on each citation and how they are applied.

The high volume of cases handled by the Court requires most people to use shorthand entries for much of the information. It is advisable, given the amount of time spent in deciphering this shorthand, to agree upon standard notations. Allowing for judicial discretion to fashion whatever dispositions are necessary, the judges should agree upon the necessary standard elements for making case disposition entries. Adherence to these standards would reduce significantly the amount of time that case processing staff has to spend reviewing dispositional information.

RECOMMENDATION NO. 31

The Court should propose an exception to the Arizona Rules of Criminal Procedure which would allow a judge's facsimile signature on warrants.

Five days after a defendant fails to appear for arraignment on a traffic citation, the automated case processing system generates a failure-to-appear warrant. The number of automatically generated warrants averages around 1,200 per week. The warrant staff divides the packet of warrant cards generated by MIS so that a judge, assigned on a rotating basis, can initial each original warrant. This is a relatively time-consuming procedure required by the Arizona Rules of Criminal Procedure, Rule 3.2, which states: "The warrant shall be signed by the issuing magistrate and shall contain the name of the defendant."

The volume of warrants required to be initialed is so great that a conscientious review of the appropriateness of the warrant is impossible. The review which is possible is that the judge can, to the best of his or her knowledge, agree that the warrants being issued are those that the automated system has identified as being warrants issued for defendants who have failed to appear on a citation. It would seem appropriate for the Court to seek a variance to Rule 3.2 that would allow a judge's facsimile signature on warrants and require the judge to review a statement or list of those warrants that have been generated automatically for a given day and to sign off on that list.²⁰ The review of a list of warrants would provide as much of a safeguard against warrants being issued improperly as the present system. This procedure not only would save judge time presently being used signing each warrant,

²⁰ The rule can be written to apply to all courts in the state issuing more than 500 or 1,000 warrants a week.

but would save a considerable amount of clerical time separating the warrant packages to facilitate judges' signatures and then reassembling those packages after the warrants are signed.

RECOMMENDATION NO. 32

Courtroom clerks or bailiffs should enter the disposition code on long-form complaints.

Case processing staff enter disposition codes on each citation when there has been a final disposition. This is not done for long-form complaints, however. Many long-form folders contain a variety of forms and paperwork. The case processing staff have to go through the papers in these folders to find the disposition. If it were standard procedure that the courtroom clerks or bailiffs entered the appropriate disposition code on the long-form complaint -- in the lower right hand or upper right hand corner of the complaint -- the Finance Section staff responsible for entering the disposition code would not have to spend the extra time making certain of the appropriate code.

RECOMMENDATION NO. 33

When a judge issues a failure-to-appear warrant and decides there will be a bond forfeiture hearing, the courtroom clerk should complete the bond forfeiture hearing form for his or her judge's signature.

When the defendant does not appear as scheduled in a division, the judge may order a failure-to-appear warrant. If a bond has been posted and a significant amount of money is involved, a bond forfeiture hearing may be ordered. It is court policy for the courtroom clerk to fill out the bond forfeiture hearing form upon the judge's decision to order such a hearing. This dispositional information and the file then are forwarded to the Finance Section. In spite of the procedural policy,

there have been some instances in which the file is forwarded to Finance with the disposition noted, but without the inclusion of a forfeiture hearing form. The Finance clerk must then fill out a bond forfeiture hearing form and return the form to the division for the judge's signature, after which the form is forwarded back to the Finance Section.

The National Center does not know the frequency of noncompliance with the court policy, but recommends that all courtroom clerks be notified that this procedure must be followed.

RECOMMENDATION NO. 34

Courtroom clerks or bailiffs should fill out booking slips.

When a defendant is sentenced to jail, the jail disposition information is forwarded to a court services clerk who types out a booking slip, a standard Municipal Court form. It was suggested that this procedure must be followed because the courtroom clerks and bailiffs do not have typewriters. There is no requirement that the booking slips be completed by typewriter. It would ease the paperflow to have the courtroom clerks and bailiffs manually fill out the booking slips in the division for all immediate bookings. Hotel and deferred bookings need to be recorded centrally. The courtroom clerks and bailiffs should complete these forms also, but forward a copy to one clerk who would monitor these bookings.

RECOMMENDATION NO. 35

Courtroom clerks should assume responsibility for assuring an adequate supply of forms in their divisions.

A clerk in the supervising bailiff's office has been assigned to assure that an adequate supply of court forms are on hand for use in the divisions. The clerks and bailiffs in each division, nonetheless, sometimes go to other divisions or to the supervising bailiff's office to

obtain forms which they need at a given moment. Maintaining a simple form's supply inventory in each division, rather than expecting a third party to monitor the supply of forms, would eliminate the lost time traveling to other divisions to obtain necessary forms and put the responsibility for inventory maintenance where it belongs.

RECOMMENDATION NO. 36

The costs and benefits of using Treasury Collections for delinquent payees should be examined.

The Court is assisted by the City's Treasury Collections Department in obtaining past-due payments for violations which have been set for installment or time payment. Collections are referred to the Treasury Department only after the Fines Section is unable to collect the amount due from the defendants. National Center staff were informed by Treasury Department personnel that the Treasury Department is successful in collecting approximately 30% of the funds referred to it. When Treasury is unsuccessful and the defendant then fails to show cause why payment was not made, the case is finally referred to the Police Department whose warrant staff makes a final attempt to collect the amount due by sending a letter. This letter results in payment in about 50 percent of the cases. At each stage of this case processing -- in Fines, in Treasury, and in the Police Department -- staff time is expended. The transfer of cases and case information from the Fines section to the Treasury Department involves additional time, although the National Center was unable to document the amount. Further, the process from the citizen's perspective appears to be endless:

- The Court orders payment;
- if the court order is ignored, Treasury Collections requests payment;
- if payment still is not made, the Court says if you do not explain why you have not paid we will issue a warrant;

- if the citizen ignores this statement or fails to justify his activities, a warrant issues, but the Police Department then sends a letter requesting payment before the warrant is activated; and
- finally, the warrant enters the system, and may or may not be served. If it is, the process starts over.

If citizens question the need to pay fines, their lack of understanding is not unjustified.

The Police Department's collection record is better than Treasury Collections'. The Department estimates that its percent of collection would decrease if Treasury were not involved, but there is no evidence either way. There is merit in the system appearing to be more committed to obtaining payment of fines than it appears at present.

A pilot, random test in which some cases are sent direct to the Police Department and some proceed as at present, may provide useful insight into the relative value of using Treasury Collections.

RECOMMENDATION NO. 37

If the Court continues to use Treasury Collections, the Court and the Treasury Department should jointly develop a three-copy questionnaire which would provide adequate current information on the defendant.

The Fines Section forwards to Treasury Collections a photocopy of the front of the citation when a fine payment is past due. The information contained in the photocopied citation is often outdated or incomplete. In order to obtain more information, the Treasury staff spends one person-day a week copying further information from the Court's file. Some of the most pertinent and current information on the defendant is contained on the questionnaire filled out by the defendant when his or her case is sent to the Fines Section for a time-to-pay or installment assignment. The Treasury Department feels that there is certain information which could be obtained by the Fines Section in its questionnaire that would enable Treasury to obtain payment more easily.

If the questionnaire were in triplicate and the case was eventually forwarded to Treasury, one of these copies could be given to the Treasury Department to facilitate its part of the collection effort.

RECOMMENDATION NO. 38

The Court should seek to reduce the number of installment payments.

When a defendant is required to pay a fine, the judges may allow some defendants to make these payments in installments. Court staff estimated this occurs in about 40 percent of all cases involving fines. Guidelines have been set for a minimum fine that can be assigned to installment payments, but in practice circumstances influence judges to allow defendants to pay their fines in installments even when the fine is a relatively small amount. The Court must recognize that the installment payment process requires significant staff time and financial resources and may not be appropriate in some cases.

RECOMMENDATION NO. 39

The Court should develop a payment booklet procedure and discontinue sending receipts and envelopes after each installment payment is made.

Installment payments are received by the Fines Section and entered into the teller terminal by that section's cashier. Each payment is receipted and the defendant is given notification of the next payment due, together with an envelope in which to make that next payment. If payment is made by mail, the notice and an envelope are mailed back to the defendant. The payment schedule should be set in advance. A payment booklet or series of forms should be given to the defendant/payee at the time the payment schedule is set up. This procedure is followed by a number of loan institutions and would eliminate the Court's sending out receipts with notations of next payment due following each payment.

RECOMMENDATION NO. 40

The Court should institute a program of holding a defendant's drivers license until 4:00 p.m. to give the defendant time to return to the Court with payment of his or her fine, as an alternative to deferred payment.

The most common traffic violation disposition requires the defendant to pay a fine. When this disposition is reached, a judge often asks the defendant whether he or she is able to pay that fine immediately. If not, the alternatives are to give the defendant time to pay, to set up an installment plan, or, in the extreme, to confine the defendant. Many defendants do not have the fine amount on their persons, but would be able to obtain the amount of the fine within a few hours if they were allowed to leave the courtroom and return with the money. Unfortunately, if one were to simply ask a defendant to return with the fine amount, a percentage of the defendants would not return.

An innovative program in a municipal court in Orange County, California has been successfully instituted to deal with this problem. There, in a situation as described above, the defendant is given until 4:00 p.m. that same day to leave the courtroom and return with the fine amount. Held as collateral for this fine amount is the defendant's driver's license, which the court keeps until the defendant returns to make payment. The defendant is given a form that indicates that he or she has left his or her driver's license with the court and that the defendant is authorized to go home and return to the court. The incentive not to lose one's driver's license has been so successful that no defendant leaving the license failed to return with the fine payment during the initial 15 months of the program.²¹

²¹ R. P. Holt, "The Sunshine Program," State Court Journal (Vol. 6, No. 1, 1982), p. 45, supplemented by a telephone interview of its author.

This program could not be used for a certain number of defendants. Obviously, those defendants also cited for not having a driver's license would be ineligible. Also, because the program does not propose keeping licenses overnight, the later in the day the defendant is sentenced, the less useful the program becomes, as the defendant would have less time to collect his or her fine amount.

This is not a punitive program. It is designed so that a judge can, in his or her discretion, give the defendant a few hours to collect the fine amount. This program does not preclude a judge from using all the time deferred options presently available; it does, however, provide the judge with an option which has proved convenient for defendants and efficient for the court.

RECOMMENDATION NO. 41

The Court should discontinue preparing dismissal letters on appeals after 10 days have elapsed without payment for the transcript tapes and prepare them only at the end of the 30-day statutory period.

When the Court instituted a system of audio recording to replace stenographic court reporters, a series of new procedures were developed for duplication of the audio tapes when a case is appealed to the Superior Court. The audio recording system is operating quite efficiently and the tapes are well catalogued and chronologically filed for periodic erasure. The appellant is required to pay for appeals tapes within ten days of filing his or her appeal. The majority of appellants pay for their tapes at the time of filing the appeal, as the cost is minimal. Nevertheless, when an appellant does not pay for his or her tapes, the present procedure requires the clerk to prepare a dismissal letter. The Superior Court appeals clerk, however, will not dismiss the appeal if the appellant satisfies all appeal requirements, including payment for the transcript tapes, within thirty days. If an appellant

satisfies the Superior Court's 30-day limit, the Superior Court appeals clerk will instruct the Municipal Court clerk to destroy the dismissal letter and let the appeal stand. Eliminating the dismissal letter generated by the Municipal Court clerk after ten days have elapsed seems appropriate unless the Superior Court is willing to dismiss the appeal when the appellant has not paid for the tapes within ten days.

2. To be implemented if team management is not accepted.

The following recommendations concern problems or procedures that will exist only if the team management concept is not accepted.

RECOMMENDATION NO. 42

When citation errors are corrected by court staff rather than returned to the issuing agency the corrections should be made by the document intake clerks.

When citations are received by the Court there are a variety of errors that can appear on the face of the citation. These errors include incorrect dates of birth, court date, violation date, spellings of names, numbers for driver's licenses, and violation codes. Some, such as an incorrect year of violation, the transposition of month and day, or obvious misspellings of streets, do not affect the substance of the charge and clearly are clerical in nature.

When a citation error is such that the defendant is not put on adequate notice of his or her duty to appear in court or pay a fine, the Document Intake Section may correct the error and have a summons issued to the defendant to inform him or her of the mistake. When the error is minor in nature, a simple correction is made. If an error on a long-form complaint is corrected by court staff, the Document Intake Section presently makes the corrections. For citations that are not long-form complaints, the errors either are corrected or are noted on the citation

form which is forwarded to the front counter staff for correction. It would be a more efficient operation to consolidate all error corrections within one section and not require the front counter to access the CRTs for error corrections.

RECOMMENDATION NO. 43

One nonsupervisory person on the front counter staff should be assigned to locate files that cannot be found after a brief initial search.

If a person working the front counter cannot locate a file immediately, he or she continues to search throughout the office, occasionally taking 10 or 15 minutes. Meanwhile, the citizen is waiting at the window and other citizens are delayed. The line waiting for assistance at the front counter often is very long. The longer a front counter staff person takes to locate files, the slower the line moves. Sometimes the supervisor of the section assumes the search.

One member of the front counter staff, rather than the supervisor, should be assigned daily to serve as a backup to look for files that cannot be found after a brief initial search. The point at which the search is turned over to the backup person will vary, but generally if a search of one or two minutes is unsuccessful, the backup person can assume the task. The person whose papers are missing can be asked to step aside while others are being cared for. The task should be removed from the supervisor in order to provide her with more time to supervise and to make the assistance available on a more regular basis.

The backup position not only can relieve front counter personnel, but can provide valuable management information. Presently, there are a lot of people who think they know where files are lost and why, but no objective data exist on the subject. The backup person can be directed to keep a record of where files were found and the reason, if

discernable, why the file was not where it should have been. With this information, the reasons for lost files can be readily identified and provided to the supervisor who then can devise solutions.

The National Center understands that this type of position was authorized two years ago, but has not been filled. If the authorization still exists and the money is available to fill the position, it should be filled as soon as possible.

RECOMMENDATION NO. 44

Disposition entries of "10 cent rings" should be done by the Finance Section staff on a CRT and one full-time-equivalent employee should be added for this assignment.

A large percentage of the citations processed by the Court are disposed of without any money transaction. Cases are dismissed by the Court, defendants plead guilty as charged and fines are suspended, and defendants are allowed to attend the defensive driving school in lieu of paying a fine. In 1980, 23% of all filings were dismissed. Final dispositions for these cases are entered into the computer system in the same manner as a final disposition involving a fine payment. These no-money dispositions have traditionally been called "ten-cent rings" because the computer originally would not accept a disposition without a money entry, so a 10¢ notation had to be made. The majority of these dispositions occur once a defendant has made an arraignment appearance. Because of this, many "ten-cent rings," which should be called "zero-dollar entries," are being entered by staff located behind the arraignment courts. These dispositions can be entered in the teller terminals or on a CRT. The Finance staff has taken the responsibility of posting zero-dollar disposition entries using both the teller terminals and the CRTs. Finance staff have been working overtime on Saturdays to catch up on the backlog of zero-dollar dispositions. The teller terminal

allows the clerk to access the citation information and make certain that the disposition information which is about to be entered applies to the appropriate citation. The CRT entry does not provide the automatic check that the teller terminal does when entering dispositions, but the process of making a dispositional entry on the CRT is considerably quicker than on the teller terminals. The time consumed entering zero-dollar entries is a significant enough burden on the Finance staff that these entries should be performed exclusively on CRTs. One full-time equivalent employee should be added to the Finance Section staff to assure that all zero-dollar entries are made in as timely a fashion as possible.

RECOMMENDATION NO. 45

The Court should increase the number of authorized staff who can access the CRT's to change the status of cases.

Project staff recognizes that there should be a limit to the number of staff authorized to change the status of cases. Too few authorized personnel can cause considerable inconvenience, however.

Personnel in the Post-Court Section regularly are required to change the status of cases. Only the supervisor of that section has authority to enter changes on the CRT. Even though this supervisor performs all the necessary status changes without great difficulty, it would be appropriate to authorize an additional Post-Court staff member to make status changes.

RECOMMENDATION NO. 46

Finance Section staff should be assigned to split shifts to allow on-line access to the main frame during evening hours. The possibility of using split shifts for Correspondence, Document Intake, Parking, and Post-Court should be studied.

The most universal complaint regarding the computer system is its poor response time. The response time is in fact the longest when the greatest number of court employees are trying to access the computer.

The peak periods during the day are mid-morning and afternoon, when courtroom clerks and bailiffs are using the system to make court-date updates, the front counter is fully staffed, and all the other sections are using the system as needed. The early morning response times are much quicker. To maximize the amount of time that staff can access the computer and to access the computer at times when Finance staff is not competing with a full complement of Court staff and other City agencies, the Court should assign personnel in the Finance Section to split shifts. The MIS supervisor indicated that the Court could have on-line access to the main frame in the early evening hours on at least three days a week.

The Finance Section staff presently staggers its hours in two shifts of 8:00 a.m. to 5:00 p.m. and 9:00 a.m. to 6:00 p.m. This split-shift arrangement should be extended. The Court should negotiate with MIS for on-line access in the evenings and in the early morning. Shifts could begin at 7:00 a.m. and end at 4:00 p.m., and begin at 10:00 a.m. and end at 7:00 p.m. Were it possible to extend hours earlier or later, further separation of the two shifts would be advisable. Although the Court must be adequately staffed during the hours it is open to the public, it is clear that the productivity of clerical staff during periods when the Court is not open to the public is higher. The possibility of splitting shifts should be investigated for staff members in the other sections mentioned in the recommendation. In addition, the Court facility itself is somewhat crowded. This situation may be alleviated through a consolidation in the main buildings at 125 West Washington Street, but until then the splitting of shifts would allow employees a certain part of the day where they would be able to work in relatively uncrowded surroundings.

RECOMMENDATION NO. 47

All juvenile case processing should be done by the Post-Court Section.

The Court coordinates the processing of juvenile violations with the Maricopa County Juvenile Court Center. The processing of juvenile cases is performed by the Post-Court Section and by the supervising clerk of the Records Section. The involvement of the Records Section supervisor in juvenile case processing is historical, in that at one time it was believed that the process was separate enough that it could be assigned to the Records Section supervisor, who at that time had adequate time to assume the responsibility.

Today, circumstances have changed. The Records Section demands a full-time supervisor. There is no procedural or functional reason for the Records Section supervisor to be involved in juvenile case processing. If the team management concept is not adopted, all juvenile case processing responsibility should be assigned to the Post-Court Section.

RECOMMENDATION NO. 48

The Finance Section should receive sufficient open-shelf filing equipment to permit files to be organized by appropriate category (bond forfeiture, bail refunds, mail dispositions).

The benefits of open-shelf filing systems have been documented in many records management studies. The time saved in providing staff with easy access to files increases with the frequency with which staff members must use the files in their daily tasks. The Finance Section is a conduit for more files than any other. It also is the area which is accused most often of losing case files. Many files are in boxes scattered around the section's work area or are in piles on the floor. Finance Section personnel may know which box or file is which, but staff

from other sections looking for files do not. Because the Finance Section receives files at all stages of a case's processing, must record information from them, and then forward them on to the next appropriate section, it is most important that the Finance Section have sufficient filing equipment. Adequate filing equipment also can make the backlog of work to be performed more readily identifiable and assist the supervisors to assign staff to the most critical areas.

B. Organization and Administration

The team management concept obviously involves major reorganization of staff and its management. Beyond those changes, there are additional adjustments in either organization or administration that would improve the Court's operation.

RECOMMENDATION NO. 49

The chief presiding judge should be appointed for a four-year term.

The present one-year term of the chief presiding judge is unacceptable. The fact that the last several chief presiding judges have been reappointed for a second year is not a sufficient accommodation to the need for more continuity in this position.

Unlike most courts, the office of chief presiding judge is uniquely administrative in the Phoenix Municipal Court. The chief presiding judge comes to the Court as an administrator, normally hears no cases, and is not seen by his or her colleagues or the City Council -- the appointing body -- as an adjudicator. In recent years, the chief presiding judge has not come from among the sitting judges, but has been someone in private or government practice. If a practicing lawyer, the appointee gives up his or her practice and disposes of his or her client-base by distributing existing clients to one or more other attorneys. The judicial appointment is for four years, but the administrative

appointment is for only one or two of those years. The person appointed presumably is more interested in administration than the typical judicial appointee and thus may be less likely than most judges to desire appointment to a second and subsequent four-year term.

A good administrator will want to come to the Court with a planned program or a set of goals to be achieved during his or her administration. If the appointee does not assume the position with plans or goals, he or she will develop them shortly after assuming the position and learning more about the Court. Very few successful programs or long-term goals can be devised, planned for, and implemented successfully in one year. Some cannot be implemented successfully in two years.

The history of the position in recent years suggests the potential for disagreement between the chief presiding judge and the City Council. Although no effort has been made to remove a chief presiding judge during his term, there also is no assurance during the first year that an appointment will be made for a second term. One cannot be an effective administrator and constantly be chary about offending Court staff members, fellow judges, or members of the City Council or City Manager's staff and thereby losing one's job.

People of quality who have the administrative skills appropriate for this position will not find the position attractive if they have only one or two years to use their special skills, even though it is the highest paid trial court judicial position in the state. In order to make the position attractive to people with strong administrative skills, more than a high salary is required. Some prospect of job security also is appropriate. The National Center believes that the tenure of the chief presiding judge should equal that of the adjudicating judges and thus be set at four years.

Some people argue that a four-year term for a chief presiding judge is too long should a poor administrator be appointed. The risk exists, but should be minimized by two factors. First, with a good salary and job security, the City Council will have more highly qualified applicants from whom to select, thereby reducing the risk of a poor administrator being selected. Second, because the City Council will know that its choice will be in the position for four years, there will be added incentive to screen candidates carefully and to select the best available.

No organization can be assured that an individual selected for a management position will succeed. A four-year term of office will increase the likelihood of success, however.

RECOMMENDATION NO. 50

All judicial and clerical operations should be consolidated in the courthouse at 125 West Washington Street.

The 4th Avenue facility is about two blocks from the courthouse at 125 West Washington Street. The 4th Avenue facility is a converted garage which generally lacks the appearance and accoutrements appropriate for judicial proceedings. There is nothing in the 4th Avenue facility that suggests the need for or appropriateness of respect for judicial processes.

Beyond the physical limitations of the 4th Avenue facility, the two locations present administrative difficulties. Papers needed in one location may be at the other. Every court experiences some tension between staff directly supporting judges and staff that normally handles paperwork; this natural tension is exacerbated in Phoenix by the fact that the judicial support personnel are at 125 West Washington Street and almost all other staff are at 4th Avenue. There are a few people at 125

West Washington who are supposed to be supervised by supervisors at 4th Avenue and vice versa. The Finance Section's personnel would be consolidated at 4th Avenue but for the need for a separate two-person unit at 125 West Washington Street to receive payments there.

In short, there are numerous reasons why the separation of staff between the two facilities is not desirable. An additional reason for bringing all clerical staff together at 125 West Washington Street is that the space can be designed and refurbished to accommodate the Court's needs in conjunction with the move, which will reduce inefficiencies inherent in the existing facilities.

Substantial effort has been devoted to planning consolidation of all staff and judicial positions at 125 West Washington Street.²² If the team management concept is accepted, those plans will have to be reviewed, but for the most part the planning work has been completed. The National Center believes the Court's efficiency -- and therefore its productivity -- will improve if all operations were consolidated at 125 West Washington Street, preferably within the next year.

The present plan reviews available space at 125 West Washington and concludes it is sufficient for current staff and up to 33 additional staff. The current plan also contemplates using existing space without any redesign, consolidation, or refurbishing of that space. The National Center did not attempt a full architectural review of these conclusions, but offers two caveats.

The courthouse is old and the interior space divided into a number of small work areas. The available square footage might be used more effectively if some of the small work areas were combined into larger rooms whose space better accommodates the Court's needs.

²² M. Havemann, Phoenix, Arizona Municipal Court Consolidation Feasibility Study (May, 1981).

Second, the difference between potentially needed square footage with 33 additional staff and available square footage -- about 1,000 square feet -- appears to be sufficient, but is a small reserve. The National Center projects an overall increase in filings of over 50 percent between 1980 and 1985. (See chapter V.) The courthouse can accommodate the staff increases proposed by the National Center in this report and perhaps some further addition, but the useful life-span of the 125 West Washington building still may be relatively limited. A continuing review of the Court's space needs is required so the Court does not suddenly find itself in a too-small facility.

See also pages 99 - 100, below.

RECOMMENDATION NO. 51

Following implementation of the team management concept, or within the next six months if team management is not accepted, the Court's administrative staffing should be critically reviewed.

The Court has the following administrative staff: court administrator, administrative assistant to the chief presiding judge, staff attorney, MIS analyst, and systems and procedures analyst (for manual operations), in addition to line supervisors. Only one of the other metropolitan courts examined has as many administrators, although a few have four administrative staff.

The position of administrative assistant to the chief presiding judge originally was assigned to the court administrator. The person originally filling that position is now the MIS analyst. The position was changed to an assistant to the chief presiding judge by the present incumbent. The position of staff attorney was created in 1980 after the city attorney interpreted an ethics opinion involving the City's Civil

Service Board²³ as precluding him from providing legal advice to the Court while prosecuting misdemeanor cases before it. The person filling the systems and procedures analyst position, a position also in existence less than three years, was used extensively by the chief presiding judge for some fairly large projects not directly affecting court procedures over most of a two-year period, thereby limiting the analysis of manual procedures that could be done by that person.

The people filling these positions all have been busy and, for the most part, productive. The review being urged does not reflect questions about the capabilities of the individuals filling these positions. Rather, the effective organization of administrative duties needs to be reexamined.

There is no doubt that the Court needs an administrator. This position should be filled by and responsible to the judges rather than the city's administrators, but the position clearly is needed and a change in administrators several years ago at the instigation of the chief presiding judge demonstrates that even though the Court does not have official hiring/firing responsibility for this position, its de facto authority may be sufficient.

In a court so heavily dependent on data processing, the need for an MIS analyst and coordinator also is clear. The Court needs a liaison with the City's MIS section and someone who understands the potentials and limitations of the MIS system.

²³ Arizona Opinion No. 79-30 (December 31, 1979).

The difficulty in the Court's administrative structure lies in the other three positions. The staff attorney has performed some purely legal work, but much of what she has done could have been done as well by a nonlawyer. A few of her projects have been aided by her legal training and experience, but there is no evidence that a nonattorney familiar with the Court could not have done the same projects with incidental guidance from a judge.²⁴ Much of the work done by the administrative assistant to the chief presiding judge and by the systems and procedures analyst overlaps. Some of the work -- e.g., keeping track of court projects -- may not require a person at this level of responsibility and pay. All three positions do work directly affecting clerical workflow.

The National Center believes that in the normal course of events the work presently being done by these three positions can be reevaluated and reassigned or restructured so that only two positions will be needed. There are many in the Court who do not agree. Within the time and fiscal constraints of this project the National Center could not document its position sufficiently. Further independent review is appropriate. If it confirms the Center's position, appropriate reorganization should occur. If not, the three positions should be retained but the allocation of tasks among them reexamined.

The timing of this examination is important. If the Court accepts case-team management, there is substantial work that will need to be done for the concept to be implemented successfully. In that case, all three

²⁴ Examples include serving as recording secretary to a State Bar Committee on Uniform Rules of Practice chaired by the chief presiding judge, assisting with implementation of a jail prisoner work furlough program, establishment of a new court division to review bail for those unable to post bonds, providing advice to a researcher on court consolidation, and drafting letters to attorneys regarding pending cases.

administrative positions will be needed and fully occupied; a review of these positions then should be deferred until six months after full implementation. If the case-team management concept is not accepted for the entire clerical operation, there is no need to defer the recommended review.

RECOMMENDATION NO. 52

The position of administrative assistant should be reassigned from the chief presiding judge to the court administrator.

The position of court administrator should be viewed as the assistant to the chief presiding judge. The existence of a separate administrative position reporting directly to the chief presiding judge institutionalizes the concept that the judge may not have authority over the administrator and also creates the potential for conflict between the positions. If there is no conflict, there also is no need for the judge to have his or her "own" assistant. There should not be two lines of reporting authority for administrative staff -- one to the chief presiding judge and the other to the court administrator. The administrative structure of the Court should be simplified, with administrative authority flowing from the chief presiding judge to the administrator, to two or three administrative aides. (The staff attorney position, if retained, may continue to report to the judge unless, as at present, most of the work of that position is nonlegal.)

RECOMMENDATION NO. 53

The Court should continue its efforts to require greater compliance with the submission of leave time slips.

Some court staff are not conscientious about completing and submitting leave time slips. The Court has tried to improve staff's submission of leave time slips, but to date there remains room for improvement. The Court appears to be losing productive hours of work from staff, particularly at 125 West Washington Street. The completion and submission of leave time slips should be managed more closely. Two benefits will be realized. First, employees exceeding leave-time availability will be identified. Second, the Court will have a more accurate picture of the impact of leave time and the actual hours available from working staff.

C. Training

One of the Court's greatest deficiencies, and therefore one of its greatest needs, is adequate training of staff. Efforts have been made recently to improve line and supervisory staff training by encouraging staff, particularly supervisors, to take training programs offered by the City's Personnel Department. These efforts have not been adequate for several reasons. First, they remain voluntary and some supervisors faced with backlogged work have chosen to deal with the pending workload rather than obtain training. Second, for the same reason, some supervisors have been reluctant to spare line staff for training. Third, the Court's needs do not necessarily correspond to those of other departments of the City. Training appropriate for the highway department or the treasury department is not necessarily appropriate for the Court. Even if there is sufficient relevance in existing training programs, the Court's needs often extend beyond the general programs designed by the Personnel Department and these needs presently are not being addressed. The Personnel Department has expressed a willingness to work with the Court

to develop additional training programs, but to date these have not been implemented. Therefore, despite the efforts being made, training remains deficient for all staff. The Court has sought money for training in its last two budgets, but the request has been denied each year by the City Council.

RECOMMENDATION NO. 54

Training of line and supervisory staff should be given the highest priority. Such training should include at least the following:

- a. Line staff should receive immediate training in proper telephone communication, proper dealings with the general public, and stress reduction.
- b. A nonexclusive list of specific problem areas to be addressed during training includes:
 - Standard procedures for manual calendaring by courtroom clerks and jail court personnel.
 - Procedural interaction between probation and trial divisions.
 - Disposition codes used by jail court personnel.
 - Automated systems overview.
- c. Supervisors should receive immediate training in delegation, personnel administration, responsibilities of management with respect to union contracts, and interpersonal counseling skills.
- d. Written manuals should be revised in a loose-leaf notebook format and responsibility assigned to the personnel and training manager to keep the manuals updated on a regular basis.
- e. No one should start a new position prior to formal training sessions -- varying in length depending on the position to be filled -- conducted by or under the supervision of the personnel manager and section supervisor.
- f. An orientation booklet should be prepared giving the new employee a system overview, including a glossary of judicial terminology.
- g. Cross training should be limited to areas in which staff might be needed on a current basis. General cross training for possible future assignment should be avoided.

If the Court accepts the case-team management concept, much of its training needs in judicial procedures will be addressed in the process of implementing team management. Training in proper dealings with the public and supervisory skills will be needed in addition to the substantive training associated with the change to case-team management. Even without team management, however, line staff needs substantive training, particularly directed to providing an overview of the total court process. With respect to cross training (subparagraph g), case-team management also will address much of that need. During the year set aside to achieve full implementation of team management and for a year or two thereafter, cross training of personnel to deal with other case types should be limited. Three-to-five years from now, cross training of some staff to deal with different case types would be appropriate.

If the Court retains its present structure and operation, cross training of staff should be limited to functions staff can be expected to perform relatively regularly. Some courts train staff in all sections or in several sections and then assign those staff members to only one section. The training received initially in the other sections or functions then is not needed or used for several years, which wastes the time spent in that general cross training. The latter type of general cross training should be avoided, although there are some sections in the Court where cross training is desirable so that staff can complement or substitute for each other on a regular basis.

RECOMMENDATION NO. 55

The Court should assign one person to serve as personnel manager and training officer.

At this point, both personnel management and training are secondary or tertiary responsibilities of senior managers. Some reorganization of these responsibilities has been attempted in recent months, but is not yet complete. The National Center believes that both functions are highly important, are appropriately combined in one position, and require the full-time attention of a senior manager. Proper training can improve productivity substantially. The increases in productivity should more than justify the position.

If the Court accepts case-team management, it may be necessary to use the skills and knowledge of existing managers as senior managers of teams. In that case, a new person should be hired as personnel and training officer.

RECOMMENDATION NO. 56

When training programs for the CJIS system are developed, the Court should investigate cost savings to be derived from a joint training program with the City Attorney's office and Police Department.

When the CJIS system is ready to be implemented, all staff will require supplementary training on the new system. The CJIS will be used jointly by the Court, the City Attorney, and the police. Much of the training appropriate for court personnel also will be appropriate for the City Attorney's staff and police. It may be appropriate for joint training sessions to be conducted for these three offices, or, in some cases, for two of the three groups. In order to reduce the cost of training, the Court should consider such joint training programs, even if some elements of the training are unique to each individual department and thus require separate sessions.

V. CASELOAD PROJECTIONS

The Court has had trouble generating accurate filing and disposition data. Accordingly, projections of the potential level of filings in the future cannot be made with the confidence one might desire. Because of problems inherent in the Court's data, the National Center obtained data from the Phoenix Police Department on citations issued for all moving and nonmoving traffic violations in fiscal years 1978 through 1981 and based its projections of the total traffic caseload on those data. The National Center used the Court's data of the criminal complaints and failure-to-appear complaints in fiscal years 1978 through 1980 in developing its projections for these case types through 1985.²⁵ Although failure-to-appear complaints are different from citations issued by law enforcement officers or criminal complaints issued by the City Attorney's office, they involve significant work for the clerical staff. Accordingly, the National Center projected the potential complaints expected for failure to appear, as well.²⁶

²⁵ The Center did not use the Court's filing figure for criminal complaints in 1980-1981, because that figure was more than 17,000 cases higher than the previous year, after three successive years of increases of between 2,000 and 3,000 cases per year. As a result, the National Center's projection for total criminal complaints filed in 1985 is less than the number of criminal complaints reported to have been filed in 1980-1981. Similar problems exist with the Court's data for failure-to-appear complaints in 1980-1981.

²⁶ The substantial increase in failure-to-appear complaints in recent years may reflect a growing disenchantment with and lack of trust in the Court by citizens. If the National Center's recommendations are accepted and the Court is perceived as being better managed and more deserving of citizens' respect, the number of failure-to-appear complaints might decrease.

The National Center's projections for total traffic and criminal filings and failure-to-appear complaints are contained in Table 5 on the next page. These projections are shown graphically on pages 91-92. The National Center projects a total traffic caseload increase of 53.5% between 1980 and 1985, with total filings of approximately 363,000 in 1985.²⁷ Criminal complaints are projected to increase by 58% by 1985, to a total of slightly more than 34,000 complaints.²⁸ Failure-to-appear complaints will more than double, with a projected total of slightly more than 100,000 FTA cases by 1985.²⁹

In evaluating these projections, it should be recognized that matters beyond the control of the Court will determine whether these projections will be realized. Changes in enforcement patterns in the Police Department can affect filings dramatically. Similarly, a change in policies or priorities in the City Attorney's office can affect the number and nature of criminal complaints. Thirdly, statutory changes may affect the number of cases filed. The drunk driving legislation adopted this year may turn out to be a dramatic example of the effect of a change in legislation.

It also should be recognized that an increase of 100 moving traffic filings may not have the same impact on the clerical staff and judges as an increase of 100 criminal complaints.

²⁷ Based on the historical data, the National Center is 90% certain that the number of moving traffic violations will fall within the range of 280,000 to 439,000.

²⁸ With 90% certainty, the National Center can say that the number of criminal complaints in 1985 will be somewhere between 27,500 and 40,600.

²⁹ The range of failure-to-appear complaints in 1985 is 90% certain to be between 78,700 and 122,600.

TABLE 5
CASELOAD PROJECTIONS TO 1985

Casetype	Actual Filings ¹				Projections				% Increase 1980-1985
	FY 1977	FY 1978	FY 1979	FY 1980	FY 1981	FY 1982	FY 1983	FY 1985	
Moving and nonmoving traffic	198,662	200,014 ²	220,251	234,241	272,348 ³	294,146	315,944	359,541	53.5%
Criminal	--	16,551	18,773	21,588	24,011	26,531	29,051	34,088	57.9%
Failure to appear	--	26,991	38,461	47,941	58,416	68,891	79,366	100,648	109.9%

¹ For criminal and failure to appear complaints the data were obtained from the Court. For the traffic filings, the data represent citations issued and were obtained from the Phoenix Police Department.

² The reported figure was 100,014. The National Center assumed a typographical error in the reported number and used 200,014 as the correct figure.

³ The figure is the National Center's statistical estimate. The actual number of citations issued in FY 1981 was 290,590.

FIGURE 2
PROJECTIONS OF FILINGS OF MOVING
AND NONMOVING CITATIONS
FY 1981-1985

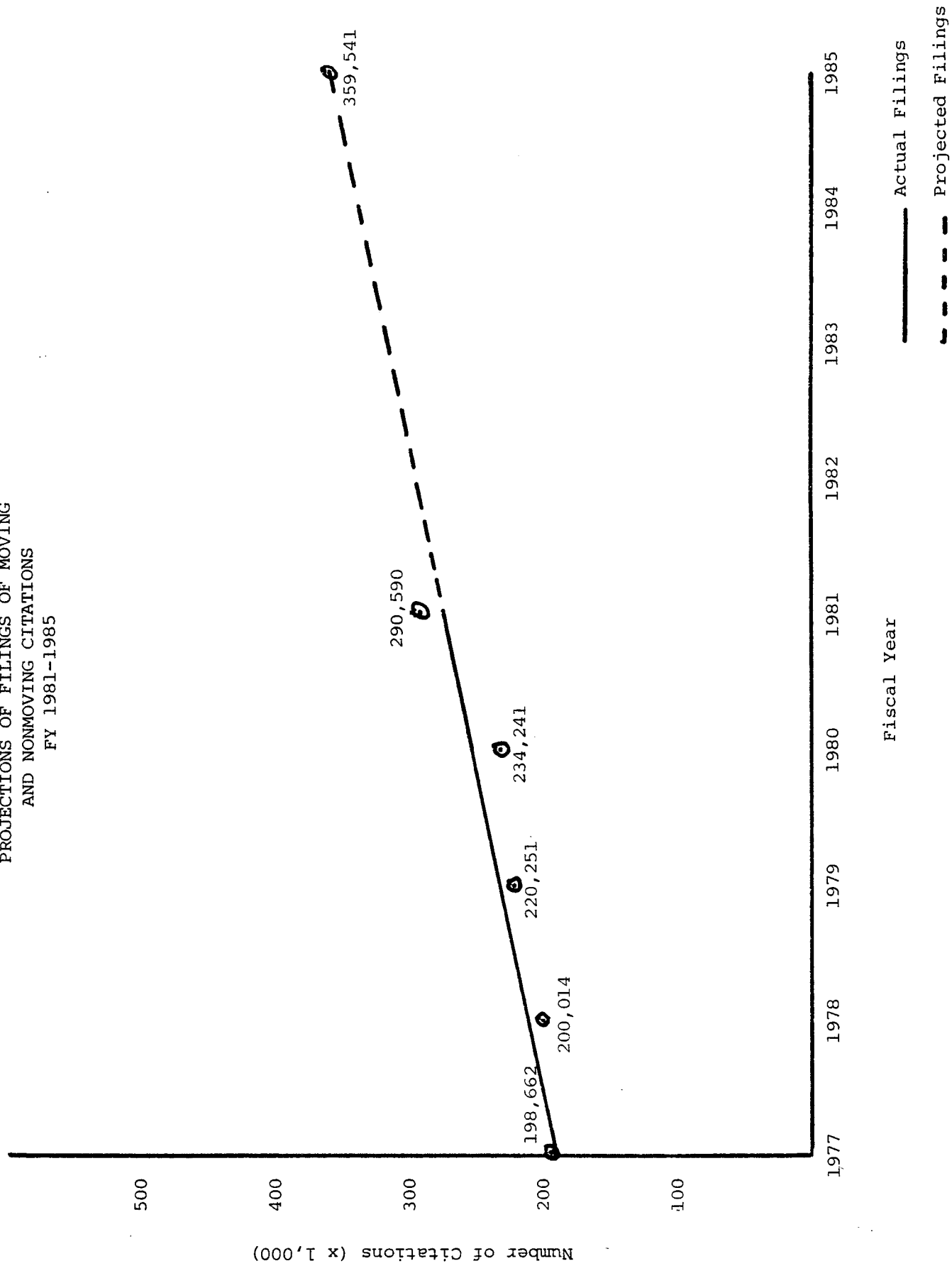
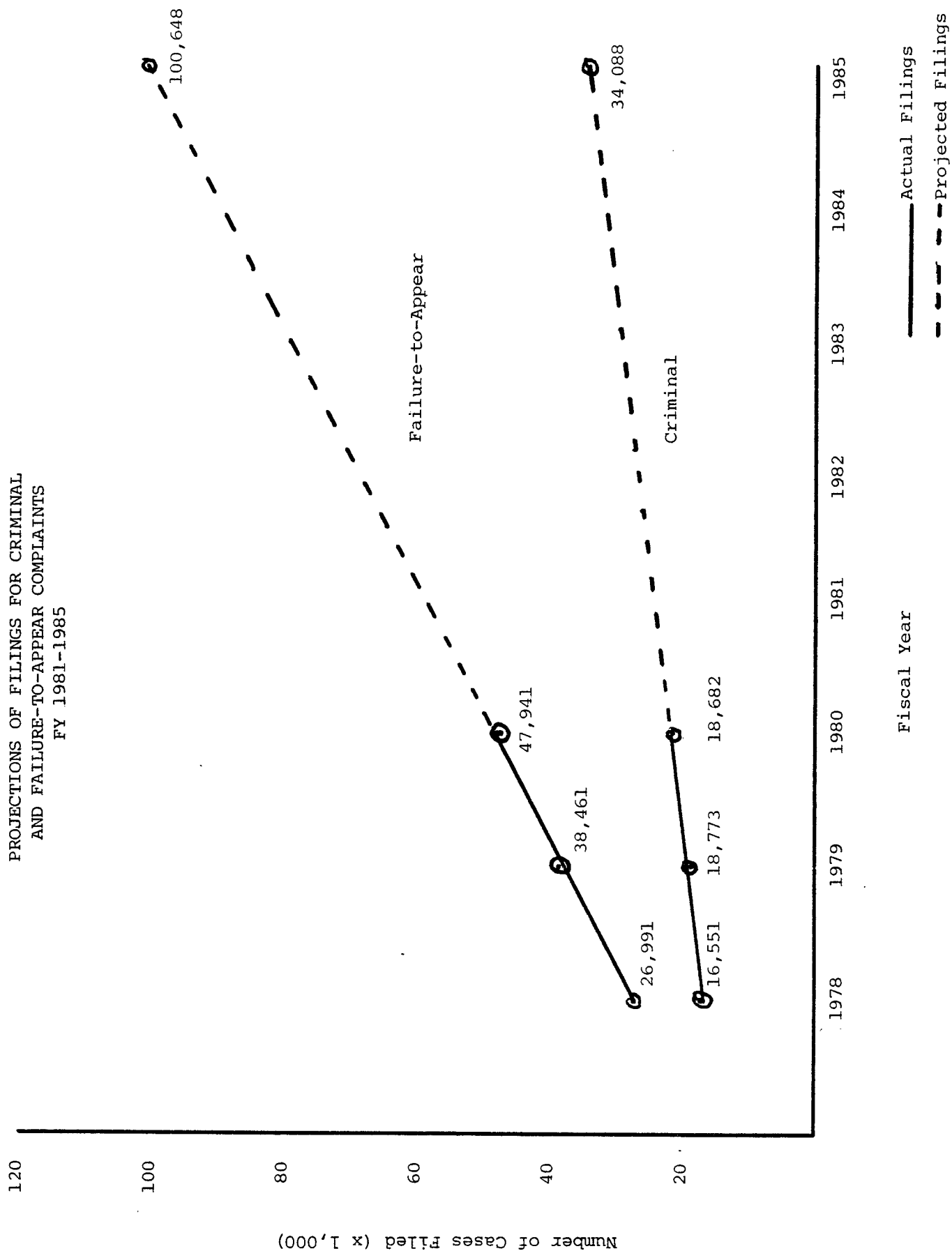


FIGURE 3
PROJECTIONS OF FILINGS FOR CRIMINAL
AND FAILURE-TO-APPEAR COMPLAINTS
FY 1981-1985



As discussed earlier in this report, different case types produce different workloads for judges and staff, so one cannot translate a linear projection of filings into a projection of workload. The increase in workload may be greater or less than the increase in filings, depending on the mix of cases involved in the increase in filings.

With all of these caveats in mind, it appears, nonetheless, that the Court will continue to experience significant increases in caseload over the next five years. Even if the City Council decides not to increase staffing levels this year, the present clerical staff will have increasing difficulty processing its caseload with any semblance of efficiency.

VI. COMPARISONS WITH COMPARABLE COURTS IN OTHER STATES

Statistical comparisons among courts of similar jurisdictional and filing characteristics provide court managers and analysts with useful information on the relative productivity of court systems and staffs. These comparisons most often are done among courts within a single state, where courts have identical jurisdiction and the differences in case processing are relatively small. Comparing courts in different states requires greater attention to jurisdictional and operational differences. Although this kind of comparison cannot possibly take into account all differences which may affect the need for personnel, it can give a basic overview of similar limited jurisdiction courts' staffing patterns.

The National Center does not suggest that comparing the Phoenix Municipal Court with other courts will allow an exact measure for the appropriate number of staff in Phoenix. This comparison can serve, however, as a barometer, indicating whether the Phoenix Municipal Court is overstaffed, appropriately staffed, or understaffed in comparison to nonjudicial staff in other limited jurisdiction courts.

Because Arizona does not have another municipal court with even half the filings of the Phoenix Municipal Court, the National Center decided to identify courts that could serve as comparison courts outside Arizona. In consultation with the court administrator of the Phoenix Court, National Center staff decided to seek information on the Minneapolis, Minnesota, Columbus, Ohio, and Denver, Colorado Municipal Courts. National Center staff in Williamsburg identified Texas municipal courts as having jurisdictional characteristics similar to Phoenix's.

Their jurisdiction includes all traffic cases, misdemeanors, and limited processing of parking violations. Therefore, it was decided to seek information from the Dallas and El Paso Municipal Courts. In California, where the municipal courts have civil jurisdiction, two metropolitan municipal courts have similar numbers of traffic and misdemeanor filings to the Phoenix Municipal Court: the San Diego Municipal Court and the Santa Clara County Municipal Court in San Jose. The Tucson Municipal Court was added to the list of courts for comparison, strictly on the basis that it is the second largest municipal court in Arizona. Finally, the Cleveland, Ohio and Seattle, Washington Municipal Courts also were selected to round out a field of courts for comparison representing eleven metropolitan areas.

A questionnaire was developed which encompassed a broad range of information that the National Center staff wished to gather. It was sent to each presiding judge with copies to the court administrator and state court administrator. A copy of the questionnaire and cover letter is included in Appendix A.

Upon receipt and analysis of these questionnaires, it became apparent that some of the cities had much smaller operations than did Phoenix and could not provide a meaningful comparison for Phoenix even though they had similar jurisdictions or a similar number of judges. Therefore, the El Paso, Minneapolis, Seattle, and Tucson courts are not included in the final comparison. A key factor was that all of the excluded cities have a population of less than 500,000 people.³⁰ The resulting comparison includes seven municipal courts serving populations ranging from 904,000 to 491,000 people. The filings for fiscal year 1981 ranged from a high in Phoenix of 375,738 to a low in Cleveland of 117,199.

³⁰ Denver was the only city included in the comparison with a population of less than 500,000, at 491,396.

The Phoenix Municipal Court filing figures for fiscal year 1981 that are used for comparison probably differ from the actual figures. They were calculated by the National Center from two sources. This calculation was made necessary because the filing statistics generated by the Court's computer system are inaccurate.³¹ The National Center was able to obtain the Phoenix Police Department's filing figures for traffic violations for fiscal year 1981. That number is 290,590. For calculation of the number of criminal complaints, failure-to-appear, and criminal contempt complaints, the National Center used its projections from the filing figures of the three previous years.

It is important to note that the filings for all courts include only non-parking traffic cases, misdemeanor cases, and felony preliminary hearings for those courts that handle felony cases. As footnoted in Table 6, the number of employees for each court represents the number of employees within that court who process the traffic, misdemeanor, and felony preliminary hearings. It also includes administrative staff to the extent that the administrative staff does not specifically oversee civil or small claims case processing.

The number of filings per employee is calculated by dividing the number of employees into the number of filings for the year. This provides the filings-per-employee workload measure. Of the seven courts in the comparison, Phoenix has the highest number of filings per employee, at 2,783, with Columbus, Ohio having the lowest number

³¹ The Phoenix Municipal Court performance report to the City manager in June, 1981 states, in regard to the statistics reported, "These statistics are taken from the statistical printout generated by the MIS department monthly. They are not yet accurate; however, steps are being taken to reconcile the difference between these MIS figures and the actual caseload of the court."

at 1,074. The National Center emphasizes that this workload measure is not a refined statistical comparison and as such must be used with great caution. The information gathered was not adequate to allow an in-depth analysis of procedural differences in case processing among the courts.

Staffing patterns among the courts also vary significantly. In California, many municipal courts are provided with bailiffs by the county sheriff's department and therefore the bailiffs are not a part of the court staff. In other courts, there is a county clerk's office which provides a significant portion of case processing for the court and the county clerk's office is not included in the number of employees. The extent to which courts operate multiple full-service branches generally increases the number of employees required. The National Center is aware of these procedural and staffing differences and to the best of its ability has reviewed where they exist in the courts in this comparison. It is believed that the differences among the courts in the comparison limit the conclusions that can be drawn but do not render irrelevant the workload measure of filings per employee.

Table No. 6
COMPARISON DATA AMONG PHOENIX AND OTHER
METROPOLITAN MUNICIPAL COURTS

<u>Court</u>	<u>Population</u>	<u>Filings¹</u> <u>(FY 1981)</u>	<u>No. of</u> <u>Employees²</u>	<u>Filings</u> <u>Per Employee</u>
Phoenix	764,911	375,738 ³	135	2,783
Dallas	904,078	347,155	141	2,462
San Diego	875,504	355,296	215	1,653
Santa Clara (San Jose)	636,550	318,697	210	1,518
Denver	491,396	224,349	150	1,496
Cleveland	573,822	117,199	100	1,172
Columbus (Ohio)	564,871	133,211	124	1,074

¹ Includes all non-parking traffic cases, misdemeanor cases, and felony preliminary hearings.

² For some courts, the total number of employees is significantly greater than indicated in this column. For these courts, the number in this table results from reducing the total number of employees by the number of employees assigned to processing parking, civil, and small claims cases. Also, this number does not include judges, referees, or commissioners.

³ This figure represents the Phoenix Police Department filing figure for FY 1981 of 290,590 traffic citations and National Center's calculations of 24,011 criminal complaints, 58,416 failure-to-appear warrants, and 2,721 criminal contempt complaints.

VII. IMPACT OF CONSOLIDATING STAFF
AND OF NEW LEGISLATION
ON RECOMMENDATIONS

A. Move to 125 West Washington Street

Several potentially major changes face the Court. One is the consolidation of all court staff and judges in the 125 West Washington Street facility. The National Center endorses this change above. If the consolidation occurs, it will be easier for the teams to operate. Consolidation also might provide impetus for the judges to reconsider the calendaring of cases so that they and their direct support staffs can become part of the team concept. The National Center does not anticipate that the move will require modification of any of its recommendations or make any of those recommendations more difficult to implement.

If the Court accepts case-team management, the existing plans for space allocation upon consolidation will have to be reviewed in some detail.³² The space currently is allocated by the existing functional sections. The front counter area planned for the courthouse would need to be retained, but otherwise the functional areas of the existing system are largely irrelevant. In the presently planned allocation, the Parking, Warrants, Document Intake, Finance, Correspondence, Court Support, and Fines Sections are distributed among seven work areas totalling 7,270 square feet. These areas will have to be reallocated among the eleven teams.

The available floor space will be sufficient for the Court's immediate needs even if the Court receives the 16 additional staff positions recommended. The plan for use of the available space at

³² See note 22, above.

125 West Washington Street assumed the addition of 33 people between 1980 and 1985. With the addition of these 33 people, there remained an additional 1,000 square feet available for expansion. The task facing the Court will be to reallocate available space rather than to find space that does not exist or abandon the move to 125 West Washington Street.³³

The move to 125 West Washington Street is advisable even if changes are made to reduce the Court's jurisdiction.

B. Changes in Court's Jurisdiction

Two major changes in the Court's jurisdiction may occur in the next several years. One is the possible removal of most traffic violations from the Court to an administrative adjudication process. Where this has occurred in other jurisdictions, the judicial system has retained jurisdiction over major traffic violations such as driving while intoxicated and hit-and-run. If this were to occur in Phoenix, the Court would lose approximately 85% of its caseload and a corresponding percentage of its personnel. One of the principal advantages of adopting a case-team management approach is that personnel and activities devoted to traffic cases already will be operating as a unit. The full cost to the City of the change can be determined easily and the transition will be much smoother than if the existing functional operation had to be divided between traffic and non-traffic work. With case-team management,

³³ It should be noted, however, that the Court does not have a substantial amount of extra space for growth beyond 1985 (assuming it retains jurisdiction over traffic cases). The consolidation of staff into 125 West Washington Street may turn out to be a relatively temporary move. The Court would be well advised to reassess its space needs on a continuing basis. Planning for a construction of new government facilities normally is a very long-term effort. It would be regrettable if the court outgrew the space available at 125 West Washington Street before realizing it.

the Court not only will be able to operate more effectively with its present caseload, but the planning process for a shift to administrative adjudication will be largely completed.

The adoption of administrative adjudication of traffic cases in Phoenix would impact the existing judicial support staff and judges, neither of which are affected by the National Center's proposals. Should the judges choose to reorganize their calendar assignments to parallel the teams that have been suggested by the National Center, then the Court would be fully poised to make the transition.

The National Center is not endorsing the concept of administrative adjudication of traffic cases with this report. The decision to adopt administrative adjudication involves a number of policy questions the National Center has not attempted to address in this study. But should the policymakers in Arizona and Phoenix determine that administrative adjudication is desirable, then the Court will be in a position to respond effectively and with minimum disruption if it adopts case-team management for its clerical staff.

The second major potential change is the consolidation of municipal and justice of the peace courts into new county-wide courts of limited jurisdiction. The National Center has not studied the operations of the justice of the peace courts in Maricopa County, so does not know how their clerical operations are organized. Should consolidation be ordered by the Legislature on a local-option basis and accepted by Phoenix and Maricopa County, the planning process will have to include investigating whether the case-team management approach of the Phoenix Municipal Court or the staff organization used in the justice of the peace courts is more effective. The National Center suspects that if the case-team management

approach works as it believes it will, it also will work effectively for the new consolidated courts. At the same time, it must be recognized that the teams might have to be disbanded if consolidation were to occur.

Finally, the Legislature has adopted strict new laws regarding driving under the influence of alcohol and drugs. The precise impact of this legislation on the judicial and clerical workload will not be known until some months after the legislation becomes effective. The National Center believes, however, that if a group of staff are assigned to deal only with these cases, they will be better able to absorb any additional increase in workload than the Court can with its present functional allocation of work. And if the increase in workload turns out to be more than the existing staff can handle, the impact of that increased workload will be easier to identify and document than with the present arrangement.

APPENDIX A

LETTER AND QUESTIONNAIRE
TO COMPARABLE COURTS

National Center for State Courts

WESTERN REGIONAL OFFICE
720 Sacramento Street
San Francisco, California 94108
(415) 557-1515

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Supreme Court of Rhode Island

Judge Robert A. Wenke
Superior Court of Los Angeles, CA

Edward B. McConnell
Executive Director

Larry L. Sipes
Regional Director

January 29, 1982

Dear :

The City of Phoenix Municipal Court has contracted the Western Regional Office of the National Center for State Courts to perform a clerical workflow study of their court. One element of this project is a comparative analysis of courts with similar filing and jurisdictional characteristics. Although this kind of comparison cannot possibly take into account all procedural, logistical and political differences which may affect the need for personnel, it can give an overview of how similar limited jurisdiction courts manage their caseloads.

To make this analysis as accurate as possible, we are asking the court administrators of ten metropolitan limited jurisdiction courts in seven different states to provide us with current information on their courts. We would greatly appreciate it if you would complete the enclosed questionnaire and return it to us at our San Francisco office at your earliest convenience.

If you have any questions, please feel free to give me a call. Thank you very much for your assistance.

Very truly yours,

Frederick G. Miller
Staff Attorney

Enclosures

NATIONAL CENTER FOR STATE COURTS
PHOENIX MUNICIPAL COURT CLERICAL WORKFLOW STUDY
COURT COMPARISON QUESTIONNAIRE

1. A. Number of judges: _____
B. Number of pro-tempore or assigned judge-
days, fiscal year 1980-81: _____

2. Number of court locations: _____

3. Court jurisdiction and caseload:
A. Jurisdiction:

- B. Caseload: Fiscal Year 1980-81

	<u>Filings</u>	<u>Dispositions</u>	<u>No. of Judges Assigned</u> (approximate, if necessary)
1. Major Traffic	_____	_____	_____
2. Other Traffic	_____	_____	_____
3. Misdemeanors	_____	_____	_____
4. Felony-Prelim. Hearings	_____	_____	_____
5. Civil	_____	_____	_____
6. Small Claims	_____	_____	_____
7. Parking	_____	_____	_____
8. Juvenile Traffic	_____	_____	_____

- C. Is caseload reported on a fiscal or calendar year basis?
Fiscal _____
Calendar _____

4. Would you classify your calendaring system as:

<u>Civil</u>	<u>Criminal</u>
Master _____	Master _____
Individual _____	Individual _____
Hybrid _____	Hybrid _____

5. Does your court handle all processing of parking violations?
Yes _____ No _____

6. Does your court receive assistance with fines collection from outside (non-court) agencies?

7. What was your court's actual 1980-81 fiscal year expenditures?

\$ _____

If you have a one-or two-page summary of your 1980-1981 budget, please attach a copy.

8. Court Staffing:

A. Total Number of Court Employees _____

Full Time _____

Temporary employees _____

- B. The Phoenix Municipal Court staff is broken down into the organizational categories below. Please indicate the number of staff persons in your court for each functional area. If your organization of staff is different, please try to reallocate your staff according to the categories here and attach an organizational chart of your court, if available.

Administration

Administrators _____
Administrative secretaries _____
Chief Judge's secretary(ies) _____

Court Support

Bailiffs _____
Courtroom clerks _____
Court reporters _____
Secretaries _____
Interpreters _____

Operations

Document Intake Staff _____
Correspondence _____
Front counter-customer service _____
Parking _____
Records _____
Warrants _____
Fines Collection _____

Accounting/ Financial Services _____

Rehabilitation Services

Probation Services	_____
Diversion Program	_____
Driving While Intoxicated	_____
Work Program	_____

Other

_____	_____
_____	_____
_____	_____

9. A. Briefly describe what court functions are automated.

B. What type of data processing system do you have?

Hardware: _____

Software: _____

C. Do you have back-up manual procedures in case of computer malfunctions? Yes ___ No ___ If so, describe briefly:

10. What type of court proceedings are reported and how?

11. Do you have a pay differential for bilingual staff? Yes ____ No ____
How Much? (% or \$) _____

12. A. Briefly describe the training your staff receives.

B. Do you have clerical procedures manuals? Yes ____ No ____

If so, we would appreciate the loan of a copy of each manual
for review

Thank you for your assistance.

APPENDIX B

ALLOCATION OF STAFF AMONG TEAMS
IF STAFF SIZE DOES NOT CHANGE

TABLE B-1
 ALLOCATION OF STAFF AMONG TEAMS
 IF STAFF SIZE DOES NOT CHANGE
 (Using National Center for State Courts'
 Estimates of 1980-81 filings)

<u>CASETYPE</u>	<u>No. of Teams</u>	<u>Staff per Team</u>	<u>Filings per Team Member</u>
<u>TRAFFIC</u>			
Major	1	6	2,605
Other moving and associated nonmoving	4 1	9 8	4,886
Nonmoving (only)	1	3	8,260
<u>NONTRAFFIC</u>			
Misdemeanors	1	7	3,444
All other	<u>1</u>	<u>3</u>	<u>?</u>
TOTAL	9	63	4,435

APPENDIX C

DISTRIBUTION OF SURNAMES
BY INITIAL LETTER

DISTRIBUTION OF SURNAMES BY INITIAL LETTER

<u>Letter</u>	<u># of Names</u>	<u>% of Names</u>	<u># of Records</u>	<u>% of Records</u>
A	61,336	4.767	7,575,339	3.157
B	90,390	7.026	22,153,275	9.233
C	70,687	5.494	17,601,229	7.336
D	76,312	5.931	11,572,057	4.823
E	32,667	2.539	4,577,754	1.908
F	42,000	3.265	8,612,412	3.590
G	66,960	5.205	12,416,263	5.175
H	57,236	4.449	17,621,293	7.344
I	15,790	1.227	963,350	.402
J	25,206	1.959	7,022,820	2.927
K	82,589	6.419	9,150,739	3.814
L	64,549	5.017	11,218,174	4.676
M	83,284	6.473	22,610,439	9.424
N	35,111	2.729	4,278,326	1.783
O	33,351	2.592	3,483,107	1.452
P	71,304	5.542	11,771,945	4.906
Q	3,530	.274	447,225	.186
R	57,126	4.440	12,951,693	5.398
S	126,057	9.798	24,203,788	10.088
T	59,223	4.603	8,345,385	3.478
U	12,069	.938	574,617	.239
V	34,122	2.652	3,344,502	1.394
W	39,817	3.095	14,753,055	6.149
X	721	.056	7,302	.003
Y	16,561	1.287	1,356,983	.566
Z	<u>28,558</u>	<u>2.220</u>	<u>1,314,905</u>	<u>.548</u>
TOTAL	1,286,556	100.000	239,927,977	100.000

From Department of Health and Human Services, Social Security Administration, Office of Operational Policy and Procedures, Report of Distribution of Surnames in the Social Security Number File, September 1, 1974. (S.S.A. Pub. No. 63-034, 1981), p. 1. Ten thousand instances of names must be in the Social Security Administration's files before being included in this distribution.