



Judicial Council of California
Administrative Office of the Courts

Final Report
for an Integrated
Court Automation/
Information System

Volume I

October, 1972

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ARTHUR YOUNG & COMPANY



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520 CAPITOL MALL
SACRAMENTO, CALIFORNIA 95814

October 6, 1972

Honorable Donald R. Wright
Chief Justice of California
Chairman of the Judicial Council
State Building
San Francisco, California 94102

Dear Chief Justice Wright:

We are pleased to present this final report for the Integrated Court Automation/Information System project. The project was conducted at the request of the Judicial Council of California and financed by a federal grant under provisions of the Omnibus Crime Control and Safe Streets Act of 1968 (PL 20-351) through the California Council on Criminal Justice.

The goal of the project was to develop conceptual designs for improving the information systems of the municipal and superior courts and to produce comprehensive guidelines to maximize the economical and effective use of manual and automated techniques in the internal administration and control of court operations in the 1970's. Implementation of the recommendations contained in Section I of this report will bring about the achievement of this goal.

The final report on the project is contained in two volumes. Volume I contains the recommendations, general system description, and implementation guidelines for the project, and gives an overall summary of the project results. Volume II contains the conceptual designs of the Integrated Court Automation/Information System (ICAIS) along with an overview of the system concepts. The conceptual designs are presented in flow chart form with accompanying narrative to facilitate the detailed design and implementation of ICAIS.

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Many of the design concepts of ICAIS presented in this report reflect the most effective procedures being used by the courts studied during this project, including certain courts outside of California. We recognize that the detailed court information system design of individual courts, based upon the conceptual ICAIS guidelines, may vary to meet their specific requirements including the stage of development of projects in their courts and the need to coordinate activities with the county data processing organizations. To achieve the necessary refinement of the ICAIS design concepts, we have recommended nine prototype implementation projects described in Section I of this report.

We received excellent cooperation from the judges and clerical and administrative personnel participating in this project. Each of the interim reports prepared during the project were submitted in draft form to the 14 participating courts for their review and comment prior to final publication. A number of meetings were held with a broad cross section of personnel working for and with the courts to review preliminary findings and obtain ideas for design concepts. We believe this in-depth participation of people involved in the judicial process has helped insure the development of a conceptual design for ICAIS that will be of practical value in the operations of the courts.

Tentative findings and preliminary recommendations were reviewed and discussed during the project with the members of the Technical Advisory Committee. The Committee, under the chairmanship of the Honorable Donald R. Franson, Judge of the Superior Court, Fresno, was instrumental in guiding our efforts during the project. Members of the Committee were:

- . Honorable Donald R. Franson, Judge of the Superior Court, Fresno, Chairman
- . Honorable James W. Cook, Judge of the Municipal Court, North Orange

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- . Mr. Ira B. Isbell, Chief, Division of EDP Services,
Department of Motor Vehicles
- . Mr. R. B. James, Director of the Law and Justice
Agency, County of San Diego
- . Mr. Clinton Moore, EDP Coordinator, Los Angeles
Municipal Court.

We also wish to acknowledge the special assistance and contributions made by Mr. Ralph N. Kleps, Mr. Norman E. Woodbury, and the staff of the Administrative Office of the Courts.

Particular appreciation is extended to Mr. Perry L. Stauffer, the Project Supervisor, for his guidance and advice throughout the project.

While much of the information contained in this report resulted from the review and recommendations of the courts studied during the project, it should be noted that the opinions, findings and conclusions expressed in this publication are those of Arthur Young & Company and not necessarily those of the State of California or the Law Enforcement Assistance Administration.

We appreciate the opportunity to have worked with the Judicial Council on this challenging project. We will be pleased to discuss any aspects of this report with you.

Yours very truly,

Arthur Young & Company

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I. SUMMARY OF RECOMMENDATIONS

I. SUMMARY OF RECOMMENDATIONS

The recommendations resulting from the Integrated Court Automation/Information System (ICAIS) project are summarized in this first section of the final report. Exhibit I, following this page, shows the organization and interrelationships for implementation of ICAIS and adoption of the recommendations discussed under the following headings.

- . Augment Judicial Council Staff with Systems Capability
- . Establish an ICAIS Steering Committee
- . Conduct Information Sessions
- . Recommend Legislation to Improve Clerical and Administrative Activities
- . Encourage and Coordinate Prototype Implementation Projects
- . Recommend That All Court Information Systems Projects For Which Federal Funds Are Requested Be Submitted To The Judicial Council For Its Information
- . Improve the Present Statewide Statistical Reporting Procedures
- . Encourage the Establishment of Six Policies Relative to Agencies Working with the Courts
- . Adopt Rules to Facilitate the Implementation of ICAIS.

Each of these recommendations will be discussed in this section.

1. AUGMENT JUDICIAL COUNCIL STAFF WITH SYSTEMS CAPABILITY

There is a current need for a central source to which the courts can turn for assistance and advice in improving their information systems. This need stems mainly from a condition that is not unique in the court system: that of court personnel being unfamiliar with data processing capabilities and county data processing personnel being unfamiliar with the activities and needs of the courts. The prospect of significant growth in the improvement

of both automated and manual information systems in the court points to a need for a continuing source of expertise, and coordination to assist the courts to achieve maximum effectiveness at the lowest possible cost.

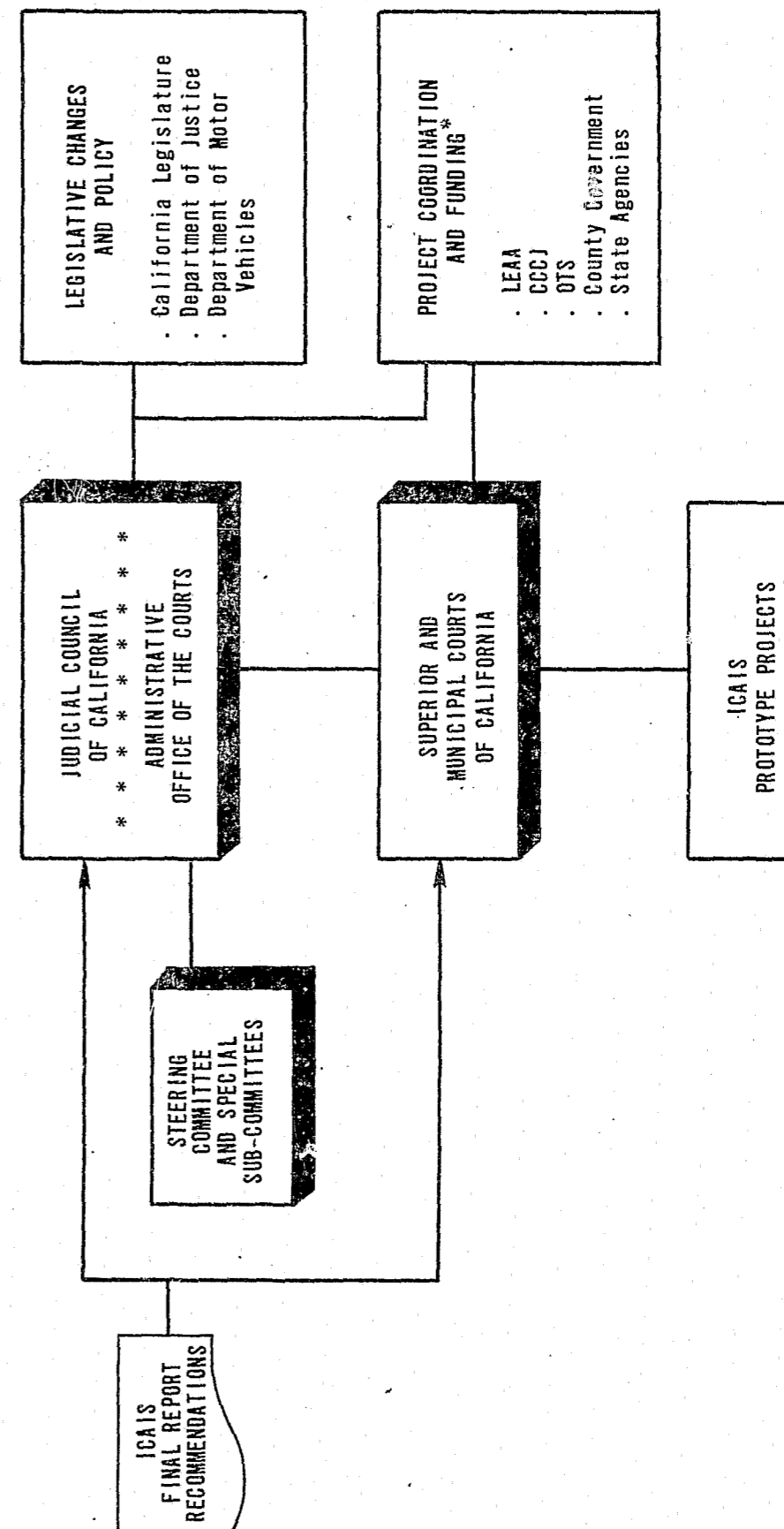
One of the primary functions of the systems personnel would be to assist in the timely implementation of the recommendations contained in this report. More specifically the duties of the systems personnel would include the following:

- Assist in the development and review of proposed changes in the statutes and California Rules of Court pertaining to ICAIS
- Assist the courts in the development of plans for the use of improved information systems, and specifically assist in the development and installation of prototype projects based on the designs of ICAIS
- Assist in the development and review of all grant requests related to the courts
- Maintain communications with the courts on the effects of the use of improved information systems
- Review technological developments in the use of computers, microfilm, forms, storage files, etc. for possible application in the courts
- Initiate and coordinate changes in forms to insure compatibility of their use as an input medium in EDP systems
- Develop and maintain a long range plan that will help insure that the courts receive the maximum benefit from improved information systems.

Personnel selected to perform these functions should have capabilities and qualifications which include the following:

- An in-depth understanding of the clerical and administrative activities of the court from a management point of view
- Demonstrated systems analysis skills and a working knowledge of the use of computers in the courts
- The capabilities that will engender the confidence of judges and clerical and administrative personnel of the courts

ORGANIZATION AND INTERRELATIONSHIPS FOR IMPLEMENTATION OF ICAIS



* See description of funding sources on page 7.

The ability to acquire and maintain rapport with the county and state data processing personnel and the representatives of the court.

The Judicial Council should move, as soon as possible, to acquire the capability to fulfill this need.

2. ESTABLISH AN ICAIS STEERING COMMITTEE

The systems personnel added to the staff of the Judicial Council will require the advice and guidance on a continuing basis of people engaged in improving court processes. The Judicial Council should authorize the establishment of a steering committee with the membership to be named and the committee operational by the end of 1972. Membership should be distributed among the judiciary, clerical and administrative personnel of the courts, and other people associated with the judicial process. The membership could be altered from time to time to provide a broad base of representation. Meetings should be held at least on a quarterly basis to review the activities of the staff systems analysis personnel and to provide guidance in the installation of the court information system projects.

Special sub-committees of appropriate people should be created for specific projects as needed and terminated upon completion of the respective projects. In addition, the ICAIS Steering Committee should arrange for periodic general meetings of representatives of the judiciary, clerks of the court, court administrators, and data processing personnel as a means for reviewing the progress of improved information systems in the courts.

3. CONDUCT INFORMATION SESSIONS

To obtain the maximum benefit from the project, key judicial, clerical and administrative personnel from the municipal and superior courts and other people associated with them should become familiar with the ICAIS design concepts and other data processing applications. While distribution of the final report to all courts

will be a vital step in this process, experience indicates that a workshop approach that provides for discussion among the participants is most beneficial in communicating key points.

Sites should be selected at four or five key locations in California. Facilities should be selected to handle general sessions of up to 100 people with separate workshop sessions of 25 to 30 each. The invitation to participants and the organization of the sessions should be done in a manner similar to the workshop sessions conducted earlier in the year on the project at the Department of Motor Vehicles.

The information sessions should include both discussions of a general nature regarding the implementation of improved information systems in the courts, and more detailed workshop sessions on how ICAIS would function. The emphasis should be on participation of the attendees to provide feedback as well as orientation on the design concepts.

A program should be authorized by the Judicial Council to conduct a series of information sessions during 1973 on ICAIS and other data processing applications.

4. RECOMMEND LEGISLATION TO IMPROVE CLERICAL AND ADMINISTRATIVE ACTIVITIES

The Judicial Council should request legislative enactment of a statute giving the Council authority to adopt Rules of Court for improvement of the administrative and clerical processes of the courts now governed by statutes, particularly those contained in the Government Code, Penal Code and the Code of Civil Procedure. Specifically, this new statute would provide the Judicial Council the authority to establish policies and procedures limited to the area of the method, media, and timing of the court activities of record keeping and retrieval of information. This approach to improving the legal requirements related to the clerical and administrative activities of the court would be most effective for the following reasons:

- Statutes governing the maintenance of court records exist in many different code sections and, in some instances, may be contradictory with respect to their intent, coverage and specifications as they apply to the municipal and superior courts.
- The clarification and improvement of clerical and administrative requirements by means of rules would help insure that full advantage be taken of the latest concepts in court information system design and technology.
- The rule-making process provides for analysis and review by all interested persons on a statewide basis prior to adoption. This insures that the rules receive thorough consideration before they become required procedure.

Although no attempt has been made to draft the authorizing statute in final form, it could be framed somewhat as follows:

"Notwithstanding any other provision of law relating to recordkeeping in the courts of the state, the Judicial Council may provide by rule for the practice and procedure governing such recordkeeping when it determines that the rule is necessary for the installation or maintenance of recordkeeping and information retrieval systems."

Legislation to authorize these changes should be prepared for introduction early in the 1973 legislative session. Specific suggested rule changes are described under Recommendation 9.

5. ENCOURAGE AND COORDINATE PROTOTYPE IMPLEMENTATION PROJECTS

The Judicial Council, through the Administrative Office of the Courts, should encourage and coordinate a series of prototype implementation projects based on the concepts of ICAIS.

Exhibit II, following this page, lists nine recommended prototype implementation projects. The projects would be installed on a multi-jurisdictional basis (i.e., superior/municipal courts, or multiple municipal courts) in accordance with the basic concepts

of ICAIS. By establishing nine separate projects covering different groups of modules, complete coverage for all modules is provided while not burdening one court with total implementation over a long installation period. In addition, the following benefits would be achieved through the implementation of these prototype projects.

An Operational System of Benefit to the Court Would Result.

Courts should be selected to serve as the prototype courts in accordance with the implementation guidelines described in Section III of this report. This will insure that the resulting modules installed will provide tangible benefits to all of the courts.

The ICAIS Design Concepts Will Be Refined.

While many of the design concepts of ICAIS were "borrowed" from currently successful court practices, there is a need to test these concepts and other innovative concepts in an integrated form prior to implementation on a broad basis. The prototype projects will serve as the basis for any necessary modifications to the ICAIS conceptual designs.

The Factors Involved in the Courts Sharing a Common System Will Be Identified.

In certain counties, municipal courts have successfully shared a common system, typically for processing high volume traffic matters. Except for limited applications in the area of jury services, the sharing of a common system between a municipal court and superior court has not taken place. One of the key concepts of ICAIS will be tested through the prototype projects, that of providing a uniform design for processing certain municipal court and superior court cases. Careful attention should be given during the prototype implementation to an identification and documentation of the steps involved in successfully achieving this system sharing.

The Factors Involved in Transferring Modules Will Be Identified.

One of the key benefits of the modular approach to the design of ICAIS is that the transference of systems from one county to another would be promoted. During the implementation of prototype projects, a partial identification of the factors involved in successfully transferring the modules will take place.

RECOMMENDED PROTOTYPE IMPLEMENTATION PROJECTS
INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM

PROJECT NO.	PROJECT DESCRIPTION	APPLICABLE CASE CATEGORY	LEVEL OF AUTOMATION	APPLICABLE MODULES	ESTIMATED RANGE OF IMPLEMENTATION COSTS (\$000)
1.	Implement All Manual Module Group	All	Manual	All Case Following, Calendaring, Jury Services, Financial Accounting, and Statistical Reporting Modules	125-185
2.	Implement Automated Index Module Group	Criminal Complaint Juvenile Other Civil Small Claims	Sequential Batch	Selected Case Following Modules: Intake and File Maintenance; Cross Reference; Aging and Purgin; Selected Statistical Reporting Modules: Outside Agencies	90-140
3.	Implement Citation Processing Module Group	Parking Citations Other Citations	Sequential Batch	All Case Following Modules Financial Reporting Module: Fees, Fines and Forfeitures; Accounts Receivable	90-140
4.	Implement Citation Processing Module Group	Other Citations	On-line	All Case Following Modules Financial Reporting Module: Fees, Fines and Forfeitures; Accounts Receivable	130-210
5.	Implement Jury Services Module Group	Criminal Complaint Other Civil	Sequential Batch	All Jury Services Modules	50-80
6.	Implement Criminal Module Group	Criminal Complaint	Sequential Batch	All Case Following Modules All Calendaring Modules Financial Accounting Module: Bail, Bond and Trust Acctg. All Statistical Reporting Modules	240-360
7.	Implement Criminal Module Group	Criminal Complaint	On-line	All Case Following Modules All Calendaring Modules Financial Accounting Module: Bail, Bond and Trust Acctg. All Statistical Reporting Modules	340-460
8.	Implement Civil Module Group	Other Civil	Sequential Batch	All Case Following and Calendaring Modules Financial Accounting Modules: Accounts Receivable; Bail, Bonds and Trust Accounting; Disbursements All Statistical Reporting Modules	145-210
9.	Implement Civil Module Group	Other Civil	On-line	All Case Following and Calendaring Modules Financial Accounting Modules: Accounts Receivable; Bail, Bonds and Trust Accounting; Disbursements All Statistical Reporting Modules	195-300

NOTE: 1. The prototype projects would be designed and installed with the intention that the modules be transferred to appropriate courts following prototype implementation. Costs for subsequent implementation of the modules would be substantially reduced from the initial installation.

2. The estimated implementation costs include the costs of court staff, systems analyst and programmer personnel, and computer test time costs. Not included are the computer operational costs and the costs of acquiring special computer equipment or other electronic, microphotographic or mechanical equipment.

3. A more accurate determination of the implementation costs should follow the selection of the specific court or courts in which the ICAIS modules would be installed. The period of implementation would vary from one to two years.

4. Also included in the implementation of project 7 would be the integration of the prototype project into a criminal justice system.

A full identification of the factors involved in the transference of all of the modules will take place subsequent to the implementation of the prototype projects when all of the modules are transferred to other courts.

. Installation Costs Will Be Documented in Detail.

During the implementation of the prototype projects, detailed documentation of all time and expense charges incurred should be maintained. This information will be of value in determining the benefits of module transference versus design in detail for each court.

The development of a specific implementation schedule and a detailed estimate of costs for the nine prototype projects is dependent on a number of factors including those listed below.

. The Specific Courts Participating

Based on the cost/benefit guidelines shown in Section III of this report, certain courts should begin to automate their clerical and administrative functions. Included in this group of courts are ones who have expressed a willingness to implement ICAIS on a prototype basis. The specific costs and schedule for implementation will depend on the characteristics of the courts and county participating. These characteristics include:

- the type and availability of EDP equipment for use by the court
- the current condition of automated and manual procedures in the courts
- the availability of EDP systems design and programming capability.

. The Availability of Funds to Carry Out the Prototype Implementation Projects

As shown on Exhibit I, a number of sources are available to the courts for the funding of projects to improve their operations. Some of these sources are described below.

- CCCJ Grants - The California Council on Criminal Justice (CCCJ) serves as the planning and approval agency for the allocation of Law Enforcement Assistance Administration (LEAA) funds for specific projects aimed at improving the criminal justice system. Recent efforts of CCCJ have been concentrated on the improvement of the courts portion of the criminal justice system.

- OTS Grants - The Office of Traffic Safety (OTS) serves as the planning and approval agency for the allocation of National Highway Traffic Safety Administration (NHTSA) funds. In the courts, these funds have been utilized in improving the operations of the "traffic courts."
- LEAA Grants - LEAA also distributes a limited amount of money for projects in the form of discretionary grants, money in addition to that already allocated to the states for distribution.
- County Government - Some counties have chosen to fund court improvement projects on their own using county data processing personnel in conjunction with court representatives.

Another possible source for funds would be special funds set aside by the Legislature for improvement projects on a statewide basis.

The Priority Given to Improving the Information Systems of the Courts

The major factor impacting the implementation timing for these prototype projects will be the priority they receive in relationship to other projects in the criminal justice field. The priority received should be high for the following reason. The installation of improved information systems is an important initial step towards improving the operation of the courts. Without accurate and timely management information on the status of cases and overall operations, the courts will not have the diagnostic information required to proceed properly in making the changes necessary to reduce delay and provide services more responsive to the needs of the public.

Certain courts have already received approval for the implementation of court information systems and are in the early stages of installation. These courts as well as those still in the planning stages should be considered for possible use as prototype courts.

6. RECOMMEND THAT ALL COURT INFORMATION SYSTEMS PROJECTS FOR WHICH FEDERAL FUNDS ARE REQUESTED BE SUBMITTED TO THE JUDICIAL COUNCIL FOR ITS INFORMATION

One of the primary objectives of the ICAIS project was to assist the courts through the design of information systems on a uniform

basis thereby reducing the duplication of developmental efforts.

A number of court information system projects are planned or in the initial stages of development in California. To insure that maximum benefit is received from the ICAIS conceptual designs, the Judicial Council through the Administrative Office of the Courts should be provided descriptions of all court information systems projects for which federal funds are requested including those in the early stages of design and implementation.

7. IMPROVE THE PRESENT STATEWIDE STATISTICAL REPORTING PROCEDURES

The present statewide statistical reporting procedures are manual in nature with the exception of certain local court applications which automatically prepare statistical reports. These reports are then manually processed by the Administrative Office of the Courts on a central basis. The purpose of this recommended project would be to improve the present system by automating the central processing of statistics and by accepting machine readable information from locally automated systems.

These improvements would provide a better basis for determining the existing conditions of the state's trial court system, and better permit an analysis of trends. To this end, the project should:

- Improve the definition of statistical categories and reporting methods in order to match filings to corresponding dispositions and to eliminate such problems as counting a case as a felony filing, and then counting its disposition as a misdemeanor should the charge be reduced in municipal court
- Improve methods of collecting data from the individual courts to help reduce the cost of reporting
- Determine the feasibility and merits of reporting at the case level versus reporting only summary statistics of filings and dispositions

- Implement statistical reports, such as disposition analysis reports, which better portray the flow of litigation through the courts and the effect of pre-trial activities on the timing and method of disposition.
- Determine the feasibility and merits of having the Judicial Council make available to interested courts, particularly the smaller courts not able to justify automation, management-oriented statistical reports derived from the collected data which would reflect trends, forecast work load and identify exceptional conditions
- Provide for the development and installation of an automated statistical reporting system within the Administrative Office of the Courts for the processing and preparation of reports for all courts throughout the State.

The resulting system should be compatible with law enforcement offender based statistics as well as improve court management through improved statistics.

8. ENCOURAGE THE ESTABLISHMENT OF SIX POLICIES RELATIVE TO AGENCIES WORKING WITH THE COURTS

The Judicial Council should encourage the establishment of a series of policy statements relative to certain agencies working with the courts. These policy statements should cover the type and format of information interchange required by the courts, as determined by this project, to perform properly their required activities. Following are the recommended policy statements.

The Municipal Courts Should Acquire from the Department of Motor Vehicles the Statewide Driver History for Persons Charged With Moving Traffic Violations.

A policy should be adopted to acquire and utilize statewide driver history data retrieved from DMV for all adults and juveniles charged with a moving traffic violation. In courts utilizing manual processes, retrieval should be accomplished via teletype and should be limited to "selected" traffic violations and the more serious non-selected violations. In automated courts, retrieval should be accomplished primarily by off-line communications and by teletype for priority inquiries.

Driver history data should be printed for the judiciary for use during bail setting and sentencing; and to identify those persons who should be ordered to court for a mandatory appearance. Driver history information can direct the court's attention to drivers who demonstrate a repeated disrespect for traffic laws and court orders, and thereby promote the interests of traffic safety.

The Department of Motor Vehicles Should Eliminate the Current Requirements for the Furnishing of Printed Conviction Abstracts for Certain Offenses, and Standardize Abstract of Judgment Information for Juveniles and Adults.

Current DMV policy requires the courts to furnish printed conviction abstracts for serious violations which are likely to lead to administrative action. These printed abstracts are required of courts even if they possess the capability to produce essentially the same information on magnetic tape. In these courts, special procedures are required to prepare and process printed abstracts.

It would be helpful to the courts with automated abstract preparation capability to eliminate the duplicate processes and to provide all abstract data to DMV on magnetic tape.

Current abstract information required by DMV for juvenile offenders is in a different format from that required of adult offenders. Standardization of the data, including the disposition codes, would provide the necessary compatibility and facilitate the implementation of ICAIS.

The Local Prosecutor Should Acquire from the Department of Justice the Criminal History for Defendants Accused of a Felony or Serious Misdemeanor.

In the recommended system design for ICAIS, criminal history for defendants accused of a felony or serious misdemeanor should be acquired from local law enforcement files and from the Department of Justice via law enforcement teletype terminals and by mail. This information should be made available to the courts through the prosecuting attorney's office at the time bail is set, to determine the merits of an O.R. release application, and at sentencing, including instances of reduction in sentence or negotiated plea.

The Department of Justice Should Assist the Local Criminal Justice Agencies in Establishing Criteria for Reporting Juvenile Arrests and Dispositions.

Currently, there are differences in practices among local criminal justice agencies with respect to the reporting of juvenile matters to the Bureau of Identification. Clarification is required from the Department of Justice and the Judicial Council as to the conditions, if any, under which arrest and disposition data should be reported on defendants under 18 years of age, and the content to be furnished.

The Department of Justice Should Consider a Modification of the State Criminal Justice Information System (CJIS) to Facilitate the Furnishing of Court-Oriented Criminal Histories.

Statewide criminal history in felony and serious misdemeanor cases is of interest to the arresting agency, prosecuting attorney, probation office and the courts. Ideally, the judiciary needs a clear and concise synopsis of the defendant's criminal record that is easily comprehended and free of extraneous information not of interest to the courts. Further, the printout should contain the defendant's:

- prior convictions
- outstanding wants and warrants
- current conditions of parole and probation
- pending criminal cases.

The new CJIS criminal summary teletype printout represents a major step in the achievement of this requirement. Except for perhaps the listing of pending criminal cases, the other content elements listed are either planned for or implemented in the current CJIS design.

The Department of Justice Should Develop the Means for Accepting Arrest/Disposition Data from the Courts on Magnetic Tape.

The information required by the Bureau of Identification to maintain its criminal history files is collected from several sources. The courts presently complete the CII-15 Arrest/Disposition Report on persons arrested and fingerprinted by supplementing previously entered arrest and prosecutor data with the court disposition. This is a time consuming activity that is prone to clerical error and which duplicates data already entered in the recommended ICAIS.

Given the current constraints of the Bureau of Identification with respect to the inability to accept court

dispositions separately from the arrest data, the following recommended alternatives exist for improving the present manual procedures.

- In counties with integrated criminal justice systems, the CII-15 (or the newer BI-8715) form can be totally printed on the computer or be made available on magnetic tape to the Bureau of Identification.
- In counties without an integrated criminal justice system but with an automated court system, the disposition portion of the form should be computer-printed and then attached to the CII-15 by the court.
- In courts without automated systems, the disposition portion of the arrest disposition form would be completed by the courts and then forwarded to the Bureau of Identification.

Following a sufficient period of testing the operations under these policy statements, appropriate rules should be adopted by the Judicial Council to provide for their uniform application on a statewide basis.

9. ADOPT RULES TO FACILITATE THE IMPLEMENTATION OF ICAIS

Following the passage and approval of the legislation described in recommendation number four above, the Judicial Council should adopt a series of rules to facilitate the implementation of ICAIS and improve certain clerical and administrative processes. Work should begin on drafting of the rules by the Judicial Council staff in January, 1973 and implementation of the rule changes should occur during the latter half of 1973.

The changes recommended are not the product of an exhaustive analysis of the relevant statutes, and the following examples are illustrative only. The recommended changes may have ramifications affecting statutes or codes other than those referenced.

Set Standards for Register of Actions Entries

In courts utilizing manual methods only or otherwise maintaining a hard copy Register of Actions, there is a need to define the types and the content of entries onto the Register of Actions.

Currently, most courts make an entry for virtually every document filed in the case folder, including an abstract of major court actions. This procedure requires time consuming clerical effort and often causes updating backlog. Accordingly, the Judicial Council should adopt rules prescribing the types, content and entry method of necessary Register of Actions entries which are consistent with its use and which recognize the associated cost of maintenance.

Define Acceptable Methods of Recording Criminal Court Proceedings

Provision should be made in the rules to define the nature of acceptable minutes and docket entries for purposes of recording proceedings. Further, the design of ICAIS necessitates the use of minute orders and a Register of Actions in serious criminal matters in the municipal courts as well as in the superior courts, and the use of standardized entries on preprinted dockets for citation filings.

Allow the Courts to Substitute Microphotographic, Electronic, or Mechanical File Records for Court Files of Original Documents and Records

A rule should be enacted to permit the municipal and superior courts to utilize microphotographic, electronic, or mechanical files for storing the indexes, judgment book and any other court records.

Statutes already in existence permit the use of such substitutes for the hard copy Register of Actions. By extending the coverage to other files, the court would have greater flexibility in the design of their information systems and the implementation of ICAIS would be facilitated.

Provide for Consistent Purging Rules for Both the Municipal and Superior Courts

Currently, Section 69503 G.C. prescribes conditions under which the superior courts may optionally substitute microfilm for hard copy case-related documents. Section 71007 G.C. (as limited by Section 72052 G.C.) provides a similar capability for the municipal courts. Differences between these laws hinder integration of systems and otherwise make purging and case file control difficult.

The requirements relating to substituting microfilm reproductions for hard-copy case-related documents should be aligned for the superior and municipal courts and should recognize the use of microfilm as an operational substitute in instances where cases have proceeded to a disposition and the expiration of their appeal period. This can best be accomplished by:

- setting the shortest possible waiting time before case-related documents can be destroyed after microfilming
- tolling the purge waiting period from the date of judgment, or from the commencement of the proceeding when no judgment is rendered
- deeming microfilm reproductions of all case-related documents as originals for purposes of litigation (i.e., remove limitations in Section 69844.5 and 71007 G.C. as to types of microfilmed documents to be deemed originals)
- including all case-related documents as applicable to changes.

Although destruction of microfilm records is of subordinate concern because of its minimal space requirements, nevertheless consideration should be given to extending the applicability of Section 69503.1 G.C. to cover case types and case records currently designated with infinite life in both courts. Should this recommendation be accepted, criminal records should have a life greater than the 30 year limit currently prescribed in the statute in instances where the imposed sentence is not completed.

Modifications should be made to permit microfilming and destruction of juvenile records five years after dismissal from juvenile court jurisdiction or immediately after a juvenile reaches 18 years of age (Section 826 W & I). Utilization of juvenile case records after a juvenile reaches his majority is generally limited to sealing actions and occasional inquiries as permitted by court orders.

Permit Substitutions of Chronologically Sequenced Minutes for Minute Books in Municipal Courts

The superior courts are currently permitted to file minutes chronologically in the case folder in lieu of a Minute Book (Section 69844.7 G.C.). This provision should be extended to the municipal courts, provided that a Judgment Book is maintained for civil actions. This will reduce unnecessary record keeping activities and provide for uniformity with superior court practice.

Prescribe Uniform State/County Citation Numbering Method

Rules should be established to prescribe citation numbering procedures on a state and countywide basis. The numbers should be in a format identical for all counties and an issuing agency prefix should be prescribed to eliminate the possibility of interagency duplication of citation numbers.

Currently, law enforcement agencies within a county (and the California Highway Patrol on a statewide basis) set their own policies with regard to the format and sequences of their citation numbers. Consequently, these numbers vary in length and format, and sequences may be skipped.

This procedure would assist the courts in storing, retrieving and filing of citations in their open and closed citation files.

Provide the Courts with the Option to Utilize Blanket Complaints for Traffic and Parking Warrants

Each year, the courts generate thousands of warrants for persons who fail to appear to answer alleged traffic or parking offenses. In many instances, the violator either is never served with the warrant or the case is disposed through bail forfeiture accepted in lieu of a court appearance. Yet, the municipal courts are obliged to complete, and attach to the violator's records, an individual complaint alleging the original charges and a failure to pay or appear under Section 40508 CVC.

The courts should be provided with the option to utilize a blanket complaint in lieu of individual complaints for failure to appear. The blanket complaint would be filed and then referenced on the violator's docket thereby amending the original charges. This procedure would avoid the time and effort required to print and attach a complaint document to the citation. It would also standardize complaint preparation practices which vary from the issuance of individual failure to appear complaints in most courts to non-issuance unless demanded by the defendant in a few courts.

Simplify Issuance Procedures for Juvenile Traffic Warrants

Rules should be adopted which permit the issuance of arrest warrants in juvenile traffic cases where the minor fails to answer, and which eliminate the need to file a petition under Section 601 W & I. Currently, many juvenile courts do not issue juvenile warrants because of the time and effort required by the probation office and the court in obtaining a delinquency petition.

Establish Uniform Rules for Dismissing Cases with Outstanding Warrants

Uniform rules should be established on a statewide basis for dismissing cases with outstanding warrants for lack of prosecution. In particular, dismissal rules are needed for warrants issued in parking, traffic and other misdemeanor cases for failure to appear or failure to pay a court-imposed fine.

Define Policy for Adjudicating Failure to Appear (FTA) and Failure to Pay (FTP) Violations from Other Courts

With the availability of statewide driver history as recommended through ICAIS, courts can identify, and cause to appear, persons who have outstanding traffic warrants issued (per Section 40508 CVC) by another court. Since extradition or transfer in these cases is not always practical, some alternate method should be prescribed for enforcing the authority of a court other than the court of original jurisdiction.

Possible approaches to resolving this situation are as follows:

- Require persons to post bail for each outstanding FTA or FTP violation from another court noted on their statewide driver history at the time they dispose of their current citation. The bail amount would then be transferred to the other court, along with a transmittal list indicating each citation number for which bail is posted and the corresponding amount collected. The defendant would have the option of forfeiting the posted amount or making a voluntary court appearance in the other court for adjudication of the original case.
- Continue the imposition of sentence pending satisfaction of the outstanding FTA or FTP.
- Place the defendant under probation with a condition of probation being the satisfaction of the FTA or FTP within a prescribed time.

Clarify and Update Juror Selection Requirements

The present procedures for selecting jurors as specified in the Code of Civil Procedure are interpreted in varying ways in different jurisdictions.

Clarification and standardization is required for the following provisions of the statutes:

- the requirement to provide an annual list of qualified jurors if a continuous process is utilized to provide jurors for trials
- the criteria and methodology for qualifying jurors, including questionnaire format and content and the use of interviews
- the responsibility of clerks, administrators, and judges in selecting jurors once qualified by the Jury Commissioner

- the need to incorporate multiple randomization procedures provided summoning and impaneling procedures do not bias the juror population initially selected in a random manner
- the current practice, in some courts, of providing juror panel lists in advance of the voir dire process
- a requirement that the jury services function be combined for municipal and superior courts to eliminate duplicate services
- the criteria for the fulfillment of juror service including the maximum number of appearance days, the maximum number of trials or trial days, and the maximum period during which a juror may be summoned
- the permissible use of computers in selecting, summoning, notifying, impaneling, and juror service recording procedures.

Clarify the Option to Maintain the Civil Active List in Other than Printed Form

Presently, the California Rules of Court (Rules 207 and 508) specify the preparation of a civil active list of cases at-issue.

The rules should be revised to permit options on the form of the civil active list so as to be in conformance with present practice and the design concepts of the ICAIS.

The adoption of these rule changes will facilitate the implementation of ICAIS and improve the clerical and administrative activities of the court.

II. GENERAL SYSTEM DESCRIPTION

II. GENERAL SYSTEM DESCRIPTION

The purpose of this section is to summarize the key features of the Integrated Court Automation/Information System (ICAIS). The system will be described under the following topics.

- . System Design Criteria
- . General Module Structure
- . Identification and Definition of Modules
- . Principal Design Characteristics

The design concepts for ICAIS were derived from a number of general design criteria. These criteria are discussed in the following portion of the report.

1. SYSTEM DESIGN CRITERIA

The criteria described in the following paragraphs constitute the foundation for the design of the modules by stating certain assumptions and by specifying design factors relating to the achievement of the goals of the project.

The overall goal of this project is to develop a plan for an Integrated Court Automation/Information System that will maximize the economical and effective use of automated techniques in the internal administration and control of the municipal and superior court operations in the 70's. To achieve this goal, the objectives and criteria to be met by the conceptual designs can be stated as follows:

. Satisfy Fundamental Information Requirements

The conceptual designs must satisfy the fundamental information requirements of the courts. Portions of the statutes and Rules of Court specify the form and the timing constraints for many information requirements. The conceptual designs satisfy the intent of such specifications, but recommendations for change are made where important to achieve improved procedures. Although

the conceptual designs are predicated on the assumption that recommended changes in the statutes and Rules of Court will be adopted, they are designed to accommodate existing interpretation and policy.

Improve the Availability of Court Management Information Necessary to Expeditiously Process Cases

Increased court case load has led to actual or potential problems of excessive backlog and delay in the courts. The ICAIS conceptual design not only provides the means to more expeditiously process case related data, but also provides information for use by judiciary, administrators, and clerks in improving the court processes.

Develop Approaches to Provide for the More Efficient and Effective Utilization of Court Resources

The proper use of improved manual and automated concepts can result in more efficient and effective utilization of the clerical and administrative manpower within the courts. This will help provide the capability to handle expanding case loads within existing manpower levels or substantially suppress staff and expenditure increases when growth occurs. The ICAIS designs must be capable of handling volumes five to ten years hence.

Provide Information Services Necessary to Other Agencies and the Public Involved with Court Proceedings

The conceptual designs consider the need to provide services to other agencies and the public by improving the accessibility of information while maintaining the security and integrity of the data. In addition, the design concepts for highly automated court systems consider the present trend toward total criminal justice systems and the interaction of such systems. Although the total design of a criminal justice system was not within the scope of this project, the conceptual designs provide the proper means for the integration of ICAIS into a criminal justice system.

Address the Needs of the Broad Range of Court Size

Although the fundamental information requirements of the courts are similar regardless of size, the methods used to provide required information may differ. To the extent possible, design concepts apply to small courts as well as large courts. The conceptual designs and the implementation guidelines provide a direction for the development of methods to be employed in the future growth of the courts of various size.

Provide for the Development of Improved Work Methods on a Uniform and Orderly Basis, and Reduce the Duplication of EDP Development Efforts through the Mutual Interchange and Transference of Procedures

These are the underlying criteria for the development of modular conceptual designs. To satisfy these criteria, modules were designed to:

- be oriented to the need for information outputs or to clerical processes rather than oriented to existing types of court organizations or case categories, thereby providing a module design applicable to as many case categories as practical.
- combine related processes or outputs which would be impractical to separate
- not be so large or encompassing as to hinder orderly development, implementation and adoption of changes, or to unnecessarily prevent use by small courts
- promote the use of efficient manual and automated procedures, particularly with respect to minimizing redundant data entry and processing
- optimize court work flow and resource utilization associated with the court's high volume case categories.

The design concepts of ICAIS were also developed in relation to the general modular structure described below.

2. GENERAL MODULE STRUCTURE

A modular approach was taken in developing the conceptual design for ICAIS. A module can be described as a group of clerical and administrative activities which are separable and which produce certain specific outputs. The modular approach allows for the implementation in small, medium or large courts of only those modules which are best suited to their particular needs. It also allows for the installation of the modules on an orderly basis one at a time or in groups over an extended period.

A conceptual illustration of the modular approach is shown on Exhibit III. The exhibit shows that the clerical and administrative activities can be analyzed and classified from three separate viewpoints:

- . the clerical and administrative function
- . the case category
- . the level of automation.

Each of these factors has been studied and refined throughout the project so that the final conceptual designs of ICAIS can be oriented to a realistic and efficient interrelationship among the modules. The module factors used as a basis for the conceptual designs are defined in the following paragraphs.

(1) Clerical and Administrative Functions

The following clerical and administrative functions of the court fall within the scope of this project:

- . Case Following
- . Calendaring
- . Jury Services
- . Financial Accounting
- . Statistical Reporting
- . Internal Administrative Control.

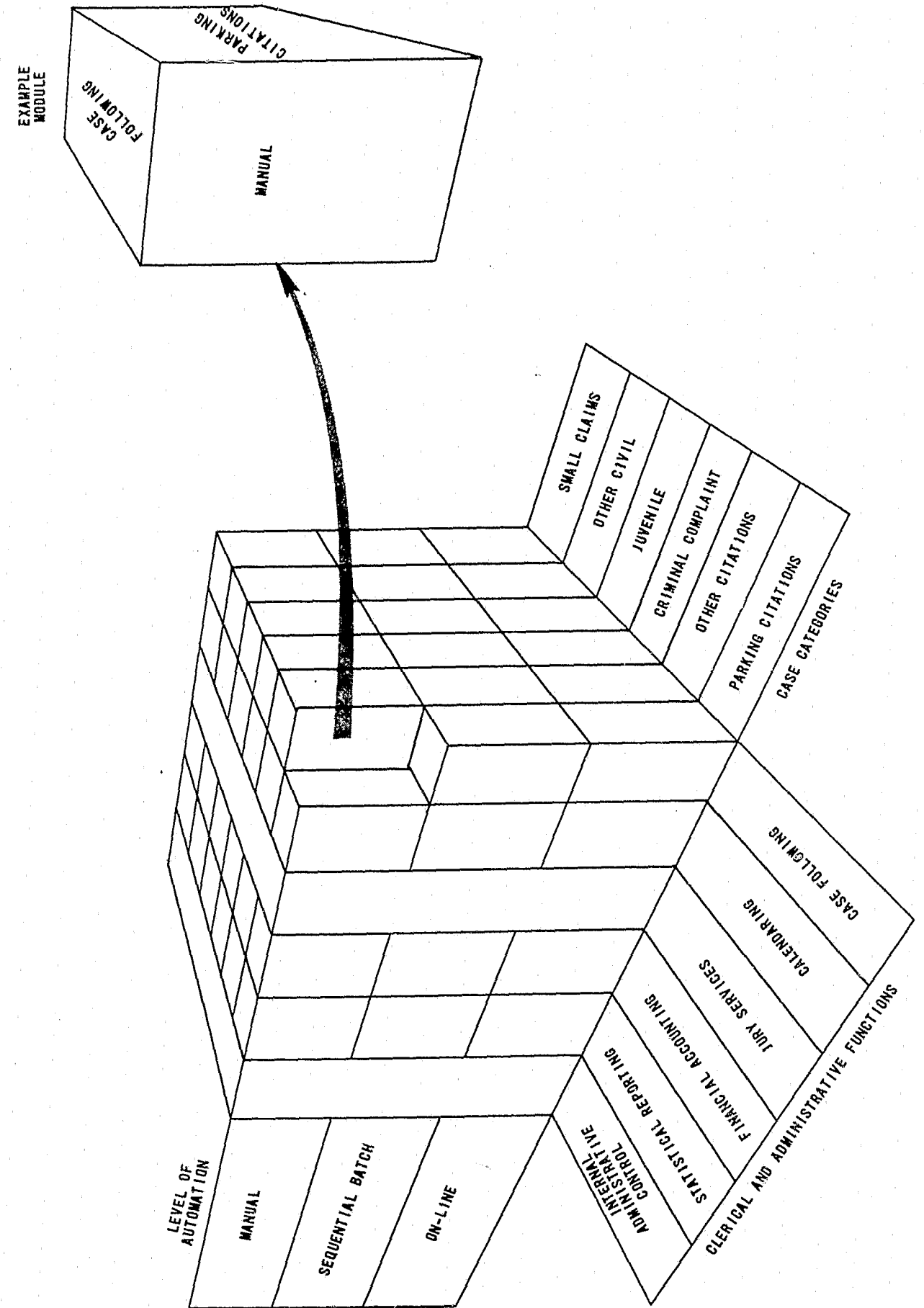
The functions are structured to correspond with the manner by which the courts typically organize their work activities, and in a manner which may facilitate their improvement and, where appropriate, their modular automation. The functions are defined briefly in the following discussion.

. Case Following

The case following function includes all clerical activities that process, record, and disseminate information arising from court proceedings with respect to a particular case or defendant. It also includes the collection, storage and retrieval of documents filed with the court in support of litigation. Case following activities typically consist of the following:

- initiation and maintenance of case files
- initiation and maintenance of Registers of Action or dockets
- preparation of minute orders

CONCEPTUAL ILLUSTRATION OF MODULES
INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM



- maintenance of minute order files and Judgment Books
- issuance of court orders
- notification to interested parties of individual case related actions including Criminal Identification and Investigation (CII) and Federal Bureau of Investigation (FBI) reports and Department of Motor Vehicles (DMV) abstracts
- preparation of court indexes
- exhibit control
- response to inquiries.

Calendaring

The calendaring function consists of all the activities required of the court to bring litigants, other interested parties, and court resources together for the purpose of conducting the adjudication of a case. Specifically, calendaring activities include:

- the setting of appearance dates
- the notification of participants of the date, time, and place of appearance, excepting witnesses and jurors
- the assignment of departments to hear scheduled cases
- the preparation of court calendars for scheduled cases by date and department
- the preparation of reports to assist in performing the foregoing activities.

Jury Services

The jury services function includes those activities required to supply a sufficient number of qualified jurors to permit the court to conduct jury trials. These activities typically consist of:

- establishing a list of qualified jurors
- drawing and summoning jurors to appear
- providing the necessary number of jurors to a courtroom for a specific trial
- maintaining juror attendance records and statistics related specifically to jury services.

Financial Accounting

The financial accounting function consists of the collection of court revenues, maintenance of trust accounts, and the distribution of payments in accordance with law, particularly as specified in the California Government Accounting Manual and Government Code. These activities typically include:

- collection and distribution of revenues from service fees, fines, and forfeitures
- installment fine payment accounting
- cash bail and bond control
- authorization of disbursements from trust accounts
- payment of jurors, witnesses and court reporters.

Statistical Reporting

The statistical reporting function consists of those activities which result in the preparation of reports summarizing the activities of the court in relation to the processing of cases. These reports are prepared at the request of court management, the judiciary, or outside agencies. Statistical reporting includes the preparation of:

- Judicial Council reports on filings and dispositions, condition of calendar, and judicial assistance
- historical case load statistics necessary for internal resource planning, evaluation, and development of master department schedules
- statistical reports for the evaluation and development of court procedures and local court rules
- special reports requested by the judiciary.

Internal Administrative Control

This function consists of those administrative activities which monitor and control internal court resources. Specifically, these activities include:

- annual budgeting and control
- personnel and attendance records
- operational expenditure and encumbrance accounting (as opposed to the financial accounting of court revenues)
- forms inventory control
- physical inventory control.

Each clerical and administrative function will be performed in a varying manner depending upon case categories which are defined in the following paragraphs.

(2) Case Categories

At the outset of this project case categories were defined in a manner similar to the breakdown utilized by the Judicial Council for statistical reports. These categories by municipal and superior court were as follows:

Municipal Court Case Categories

- Parking
- Non-parking Traffic
- Misdemeanors
- Felony Preliminaries
- Civil
- Small Claims

Superior Court Case Categories

- Criminal
- Juvenile Traffic
- Juvenile
- Mental Health
- Probate
- Appeals
- Family Law
- Other Civil

Clerical and administrative functions were studied and analyzed for each of the above case categories. As a result of the analysis, case categories were combined where similarities or direct relationships existed from an information or procedural point of view. These combined categories provide for identical conceptual designs for municipal and superior courts for both civil and criminal complaint case categories. Although the designs are identical, they could be implemented separately for each court. When combined, the identity of specific case type and status of litigation by court will be retained in the system by assigning code design-

nations. The following case categories were used for the development of conceptual designs:

. Parking Citations

This case category encompasses the processing of parking citations which are disposed of by bail forfeiture or at arraignment. If contested, further citation processing is conducted as a criminal complaint case category.

. Other Citations

Moving traffic and minor misdemeanor citations which are disposed of by bail forfeiture, at arraignment, or at juvenile traffic hearings are included within this case category. Cases requiring court or jury trials after arraignment are reclassified to the criminal complaint case category.

. Criminal Complaint

This case category includes the processing of all selected traffic, non-cited misdemeanor filings, felony preliminary, felony, and other types of cases resulting from a complaint or Grand Jury indictment. Also included are criminal appeals from the lower court to the superior court appellate department.

. Juvenile

Juvenile dependency and delinquency processing is included in this case category.

. Other Civil

The civil case category encompasses the processing of municipal and superior civil cases, family law, mental health, criminal insanity, probate, small claims trial de novo, adoptions, and other civil oriented case proceedings. Also included are civil appeals from the lower court to the superior court appellate department.

. Small Claims

Processing of small claims cases in municipal court is covered under this category.

(3) Level of Automation

Depending upon numerous factors including the volume of filings and the availability of automated equipment, clerical

functions may be conducted with the assistance of automated techniques. For design purposes we have classified the extent of automated assistance into the following three major levels of automation:

. Manual Level (No Automation)

All procedures are performed manually unassisted by punched card, or computer techniques.

. Sequential Batch Level

System concepts designed for this level of automation utilize punched card and computer applications oriented to magnetic tape, card, or disk files with data organized sequentially.

. On-line Level

On-line system concepts expand the computer processing techniques to include the storage of information on random magnetic card or disk file devices organized for the direct retrieval of data via on-line terminals.

It should be emphasized that the clear distinction between levels of automation, as described above, is for conceptual design purposes. Detailed automated system design must be performed by each court taking into account the specific type of EDP equipment available. A court may utilize modules simultaneously at more than one level of automation depending upon the local environment and needs of the court. Design concepts utilizing automation, as described in Volume II of this report, include the definition of related manual procedures. These procedures have been designed to the extent possible, to minimize change as automated modules are implemented.

Microfilming techniques are incorporated in the sequential batch and on-line conceptual designs. However, this does not preclude their use in the manual modules. Similarly, random access data files are described as being related to the on-line level of automation since the prime benefit of random access is to accommodate direct access to stored information through on-line terminals. However, a court anticipating a

future need for on-line terminals should utilize random access files in the sequential batch design concepts. Considerations such as these are more fully addressed in Section III of this report, Implementation Guidelines.

Exhibit IV illustrates the information flow in ICAIS for the sequential batch and on-line levels of automation.

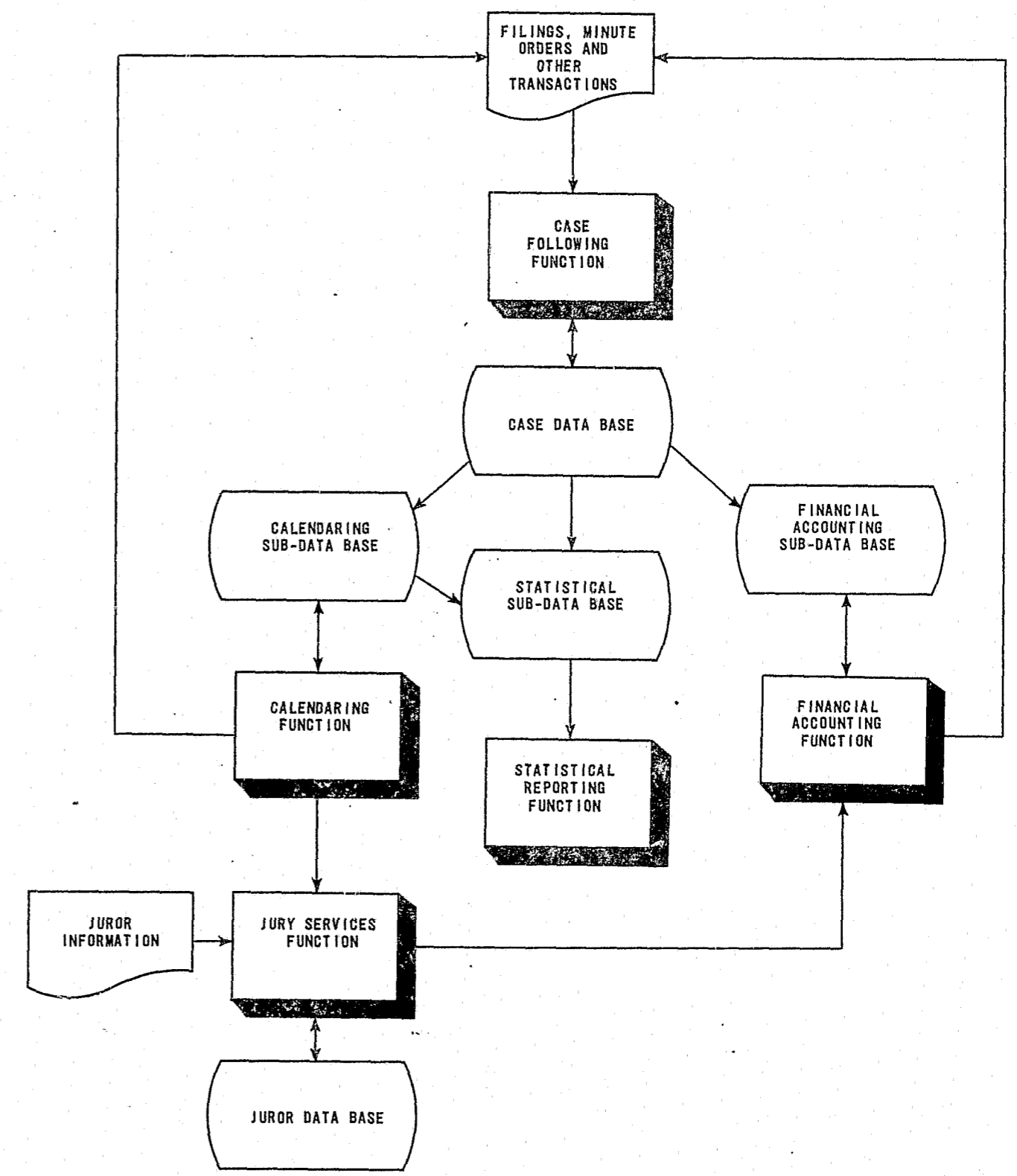
The case following function will serve as the focal point of ICAIS. Case related information regarding case description and parties involved, the dates and nature of various actions that take place in processing the case, and the description of the final disposition will enter ICAIS via the case following function. For the sequential batch and on-line levels of automation, this case related record will be stored on a computer master file (called the Case Data Base) used in the case following function. The information in the Case Data Base can then be transmitted by means of the computer to "sub-data bases" utilized by the calendaring, statistical reporting, and financial accounting functions. Information for the Juror Data Base, which is juror related rather than case related, will come from other sources.

Information from the calendaring function will be provided to jury services in the form of jury trial calendars for use in determining the number of prospective jurors to call. Trial setting dates from the calendaring function will also be utilized in the statistical reporting function to prepare the Judicial Council statistical reports.

Juror fee and mileage payment data will be supplied to the financial accounting function by the juror services function for juror payment.

The Case Data Base will actually be made up of four case following master files and associated indexes. The master files employed in ICAIS will encompass the following case categories:

INFORMATION FLOW FOR SEQUENTIAL BATCH AND ON-LINE LEVELS OF AUTOMATION INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM



Case Following
Master File

Applicable
Case Categories

Citation

{ Parking Citations
Other Citations

Criminal

Criminal Complaint

Civil

Other Civil

Juvenile

Juvenile

A cross reference index file will be employed in the processing of small claims cases since the clerical and administrative activities are of a relatively minor nature dealing generally only with filing and disposition statistics and calendaring of the court appearance.

The four master files making up the Case Data Base will include a number of different types of information called "data elements." These data elements are listed in detail in the appendix to Volume II of the final report. Examples of the types of data elements that will be included in the Case Data Base, the Juror Data Base and the sub-data bases are listed below.

- . Person and Case Identifiers
 - Person Identification and Location
 - Person Descriptors
 - Attorney Descriptors
 - Case Identifiers
 - Case Type
- . Case Characteristics
 - Filing Date
 - Charge/Violation Descriptors
 - Warrant Descriptors
 - Amount of Claim
- . Case History/Status
 - Prior Traffic Violations
 - Case Activity to Date
 - Next Action Set
 - Custody Status/Location
- . Case Disposition Description
- . Exhibit Identification

- . Juror Service Description
 - Juror Descriptors
 - Service Descriptors
- . Accounting Data

Information will be entered into the Case Data Base as the case progresses through the various stages of processing. Initial entry of the data setting up the case record, and removal of the data from the Case Data Base will take place at different points in the process depending on the case category. Exhibit V, following this page, summarizes the data base retention criteria for each case category. It should be noted that removal of the case records from the Case Data Base would normally be done to a hard copy record for retention and additional processing on a manual basis.

The next portion of the report identifies the specific modules designed.

3. DEFINITION AND IDENTIFICATION OF MODULES

The modules comprising ICAIS are identified in Exhibit VI, following Exhibit V. The modules are listed in matrix form by clerical and administrative function and case category. The identification code for each module has a unique number and a direct reference to the detailed module flow charts contained in the appendix to Volume II of this report as follows:

A S - 1 - 021

A unique module number. This number will be the same for situations where the same module may be used for more than one case category (e.g., exhibit control).

A number code indicating the initial appendix page number of the module.

A letter code indicating the degree of automation as manual (M), sequential batch (S), or on-line (O).

A letter code indicating the appendix section of Volume II containing the flow charts.

RECORD RETENTION CRITERIA ON-LINE AND SEQUENTIAL BATCH CASE DATA BASES

CASE CATEGORY	POINT IN PROCESS WHEN RECORD IS:	
	ENTERED	REMOVED*
Parking Citations Other Citations	. Citation	. Disposed Cases - in the monthly purging cycle subsequent to disposition . Not Guilty Pleas - transferred to the Criminal Complaint module group upon entry of plea . Warrants - retained for pre-determined time period (i.e., until dismissed for lack of prosecution) if not served, or transferred to the Criminal Complaint module group and removed from the Parking and Other Citation module group upon arrest . Fugitive Cases - annually transferred to manual control . Disposed Cases - in the monthly purging cycle subsequent to disposition upon expiration of appeal period
Criminal Complaint	. Bail Slip or Bail Bond (interim until complaint is issued) . Complaint** . Grand Jury Indictment . Not Guilty Plea on a Citation	. Dismissal from Jurisdiction of Court - five years subsequent to the entry of dismissal order . All Other Instances - subsequent to the juvenile reaching 18 years of age and no active petitions
Juvenile	. Initial Petition	. Disposed Cases*** - master records purged upon expiration of appeal period and purge control records retained until document destruction is permitted
Other Civil	. Initiating Document	. All Cases - expiration of a minimum pre-determined period or subsequent to the printing of the annual index, whichever occurs last
Small Claims	. Plaintiff's Statement	

* Index data are retained until master records are purged or printing of the annual index is performed, whichever occurs last

** Except complaints issued for FTA or FTP citations. In this instance the case is entered in the Criminal Complaint data base upon arrest.

*** Includes cases settled out of court whose settlement is reported, and cases dismissed under Sections 501 and 503 C.C.P.

IDENTIFICATION OF MODULES
MODULE NUMBER AND VOLUME II APPENDIX LOCATION

CLERICAL AND ADMINISTRATIVE FUNCTION	MODULE TITLE	CASE CATEGORY					
		PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
CASE FOLLOWING	INTAKE AND FILE MAINTENANCE	AM-1-011 AS-1-021	BM-1-011 BS-1-021 BO-1-031	CM-1-012 CS-1-022 CO-1-032	DM-1-013 DS-1-023 DO-1-033	EM-1-014 ES-1-024 EO-1-034	FM-1-015 FS-1-025
	RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	AM-3-041 AS-5-051	BM-8-041 BS-7-051 BO-7-061	CM-9-042 CS-11-052 CO-11-062	DM-4-042 DS-8-052 DO-8-062	EM-8-043 ES-7-053 EO-7-063	FM-8-044 FS-7-054
	CROSS REFERENCE	AM-10-071 AS-9-081	BM-7-071 BS-12-081 BO-12-091	CM-14-071 CS-17-081 CO-17-091	DM-8-071 DS-9-081 DO-9-091	EM-8-072 ES-8-082 EO-8-092	FM-10-072 FS-8-082
	NOTIFICATION OF COURT ACTIONS	AM-9-101 AS-8-111	BM-13-101 BS-14-111 BO-14-121	CM-15-101 CS-18-111 CO-18-121	DM-7-101 DS-10-111 DO-10-121	EM-9-102 ES-9-112 EO-9-122	FM-7-103 FS-9-113
	AGING AND PURGING	AM-4-131 AS-8-141	BM-10-131 BS-13-141 BO-13-151	CM-17-132 CS-20-142 CO-20-152	DM-8-134 DS-11-144 DO-11-154	EM-10-135 ES-10-145 EO-10-155	FM-8-136 FS-10-146
	VEHICLE REGISTRATION DATA RETRIEVAL	AM-8-161 AS-7-171					
	STATEWIDE DRIVER HISTORY RETRIEVAL		BM-8-181 BS-5-181 BO-5-201	CM-13-182 CS-15-192 CO-15-202			
	JUVENILE CITATION PROCESSING		BM-3-211 BS-9-221 BO-9-231				
	BAIL SCHEDULE MAINTENANCE		BM-15-241 BS-15-251 BO-15-261				
	STATEWIDE CRIMINAL HISTORY RETRIEVAL			CM-12-271 CS-18-281 CO-18-291			
	EXHIBIT CONTROL			CM-18-301 CS-18-321 CO-18-331	DM-10-301 DS-13-321 DO-13-331	EM-13-301 ES-11-321 EO-11-331	
	CALENDARING	APPEARANCE SCHEDULING		HM-1-401 HS-1-402 HO-1-403			
		NOTIFICATION OF COURT APPEARANCES		HM-5-411 HS-5-412 HO-5-413			
CALENDAR PREPARATION			HM-6-421 HS-6-422 HO-6-423				
DEPARTMENT ASSIGNMENT			HM-8-431 HS-8-432 HO-8-433				
JURY SERVICES	JUROR SELECTION		JM-1-501 JS-1-502				
	JUROR QUALIFICATION		JM-2-511 JS-3-512				
	JUROR SUMMONS		JM-3-521 JS-4-522				
	JUROR ASSIGNMENT AND SERVICE RECORD		JM-4-531 JS-7-532				
	JUROR USAGE STATISTICS		JM-6-541 JS-8-542				
FINANCIAL ACCOUNTING	ACCOUNTING FOR FINES, SERVICE FEES, AND FORFEITURES		JM-1-601 JS-1-802 JO-1-603				
	ACCOUNTS RECEIVABLE		JM-2-611 JS-2-612 JO-2-613				
	BAIL, BOND AND TRUST ACCOUNTING		JM-4-621 JS-4-622 JO-4-623				
	DISBURSEMENTS		JM-6-631 JS-5-632 JO-5-633				
	STATISTICAL REPORTING TO OUTSIDE AGENCIES		KM-1-701 KS-1-702				
INTERNAL STATISTICAL REPORTING		KM-2-711 KS-2-712					
INTERNAL ADMINISTRATIVE CONTROL	BUDGET PLAN						
	DISBURSEMENTS AND ACCOUNTING						
	PERSONNEL SYSTEM						
	PHYSICAL INVENTORY						
	FORMS INVENTORY						
PURCHASING							

MODULE CODING EXAMPLE:

AM-3-041

UNIQUE MODULE NUMBER

INITIAL PAGE NUMBER WITHIN THE APPENDIX

LEVEL OF AUTOMATION

APPENDIX SECTION OF DETAIL FLOW CHARTS

NOTE:

THE INTERNAL ADMINISTRATIVE CONTROL MODULES ARE NOT DESIGNATED BY AN IDENTIFICATION CODE. SUMMARY CONCEPTS OF THE INTERNAL ADMINISTRATIVE CONTROL MODULES ARE CONTAINED IN VOLUME II OF THIS REPORT.

The above example is the "intake and file maintenance" module that may be used for both the "parking citations" and "other citations" case category and designed for the "sequential batch" degree of automation. The detail flow charts for this module start on page 1 of the sequential batch section of Appendix A for the "parking citations" category and page 1 of the sequential batch section of Appendix B for the "other citation" case category.

As shown in the exhibit, only the case following function modules differ by case category. The calendaring, jury services, financial accounting, and statistical reporting modules were designed for all case categories. Summary concepts of the internal administrative control modules are contained in Volume II of this report. Internal administrative control modules were not designed in detail since this function is heavily dependent upon local county-wide administrative procedures.

The appendix to Volume II of this report contains a complete set of flow charts for the module groups. The appendix is organized to group modules for the same case category and level of automation together. The same module (e.g., exhibit control) is repeated in each applicable portion of the appendix to maintain continuity.

4. PRINCIPAL DESIGN CHARACTERISTICS

The design concepts of ICAIS have certain key characteristics that evolved from observations during the data collection phase of the project, from analysis of methods to satisfy court information needs, and from extensive review meetings and interviews with court personnel during the course of the project.

For the purposes of system definition and discussion, the key characteristics are described under the following headings:

- . Court Organization
- . Support of the Judicial Function
- . Information Interchange with Outside Agencies
- . Recordkeeping and Controls
- . Utilization of Court Resources.

In the following paragraphs, the specific design characteristics, their justification, and their scope in terms of applicable case categories and degree of automation are described.

(1) Court Organization

Under this heading, design characteristics which relate to organizational matters within the courts are discussed.

Uniform Design for the Processing of Municipal and Superior Court Cases

The design of the modules for all levels of automation specify:

- one system design to encompass the civil case processing in both the municipal and superior courts
- one system design to service the criminal case category in the superior court, and all criminal matters in the municipal court resulting in a criminal complaint (or acceptable substitute)
- one system design to service parking, traffic and misdemeanor citations disposed of by bail forfeiture or upon initial court appearance.

This uniformity will be accomplished through:

- Recognition that two levels of recordkeeping and control are required. For instance, a misdemeanor citation, or any other violation that is unlikely to go on appeal or require extensive litigation, can be processed for expedience (e.g., handwritten docket entries, no individual case folders, etc.), while the more serious matters should utilize stringent recording and recordkeeping techniques which are consistent for both municipal and superior courts.
- Standardization of forms and certain clerical procedures, particularly those affecting automated data entry
- Flexibility in the design of the automated system to handle the unique processing requirements of either court which do not lend themselves to standardization (e.g., lower court pre-trial release processing, notifications requirements unique to each court, etc.)
- Changes to, and extensions in the coverage of, statutes affecting the definition of required

court records, length of storage, and acceptable substitutes for original copies of documents.

Uniform design and integrated processing will minimize duplication of systems and will reduce the cost of systems development and maintenance. In addition, the cost of operating fewer automated systems will, in all likelihood, be less than operating individual systems, particularly with respect to on-line applications.

Court Responsibility for Intake and Control of Court-Related Data

A key characteristic of ICAIS is that the court retains responsibility for administration and control of its case-related information stored in the automated data bases. This will be accomplished by:

- Assigning court management the responsibility and authority for the personnel performing data intake and key entry activities
- Implementing procedures assuring adequate screening and control of incoming and court-generated documents
- The design of court data bases whose content, accessibility, and utilization are administered by the court.

Personnel performing data intake and key entry should be well acquainted with court clerical procedures and policies, and should be directed by court supervisory personnel. This would assure the requisite high quality of data entered in the computer; and would provide appropriate security for certain types of cases and/or documents (e.g., adoptions and juvenile cases, probation reports, etc.)

The design of the data entry procedures for the sequential batch and on-line versions of ICAIS specify centralized controls and key data entry activities performed by court personnel in their clerical area. All incoming documents will be reviewed by a controls clerk. In addition, the controls clerk will review, verify, and code court-generated documents, principally minute orders. Snapout copies of documents requiring fairly extensive data entry will be forwarded to court data entry personnel. Miscellaneous entries will be forwarded on transmittal forms prepared by the controls clerk.

The controls clerk will screen data entering to minimize the likelihood of bad data input, and assure that all necessary data is properly routed to the key entry

staff. By performing key data entry near its source using trained personnel knowledgeable in court procedures and nomenclature, the control over data entered in the automated system and its quality will be enhanced. Court personnel will be more discriminating in interpreting the various types of data input they will encounter since they can more readily resolve questions as they arise.

Once the data is entered in the computer, it will be retained in court-administered data bases which will be separate from, but coordinated with, specialized data bases maintained principally for other criminal justice agencies. This approach will:

- provide the court with control over the accuracy, accessibility and retention period of the data
- provide for orderly steps in the implementation of a criminal justice system
- reduce the complexity of data base management

This concept of a separable data base takes cognizance of practical considerations with respect to questions of data base control, information security, and the varying requirements for data organization, content, accessibility and longevity in the system.

Centralized Screening of Documents Filed with the Court

In the ICAIS design, the court will initially accept any submitted document meeting the requirements of Rule 201. Under the criminal complaint group of modules, no documents will be accepted by the court prior to the filing of a complaint or indictment except pre-arraignment release documents. Subsequent to submittal, the same controls clerk who is responsible for the screening of court-generated documents will review the submitted documents to determine their appropriateness as to timing and the necessity of court-initiated action (e.g., request for a clerk's default judgment). Acceptable documents will then be file stamped and entered in the automated system and/or document files. Depending on local policy, the court may:

- file the documents not meeting the requirements
- return the unacceptable documents to the submitter
- inform the submitter that his documents are unacceptable.

This procedure takes cognizance of the court's legal and ethical responsibility with respect to document review, but does not burden the court with time consuming and unnecessary screening procedures that are the responsibility of others. The centralized controls activity specified in the design makes more efficient use of court staff time and reduces delays caused by screening at the counter.

Centralized Financial Collections Activity

The collection of installment accounts of court-imposed fines (or other payments) and the collection of fines, service fees and bail forfeitures is often diffused among several agencies, including the county clerk, probation office and the courts. Accordingly, these agencies maintain similar financial accounting activities which are duplicative in nature. The recommended ICAIS design will facilitate the establishment of a countywide collections agency for receivables and administrative centralization of (1) one-time payments for fines, service fees and forfeitures, (2) bail, bond and trust accounting, and (3) disbursements.

This concept has been successfully implemented in several counties including San Diego and Alameda Counties. The benefits achieved will include better financial control, higher rate of collections, reduced operating personnel requirements, and reduced systems development costs.

(2) System Facilities Directly Supporting the Judicial Function

In this group, the design characteristics that provide information supporting the adjudicative process are described.

Acquisition of Criminal History in Felony and Serious Misdemeanor Cases

Statewide criminal history is of interest to the arresting agency, prosecuting attorney, probation office and the courts. The judiciary needs a clear and concise synopsis of the defendant's prior convictions, outstanding warrants, pending cases and current conditions of parole or probation in order to set bail, determine the merit of "own recognizance" release or reduction of charges, and to properly impose sentence.

The prosecuting attorney will be the responsible party for the timely retrieval of statewide criminal history

utilizing law enforcement staff, files and/or communications facilities.

Acquisition of Statewide Driver History and Calculation of Graduated Bail

Driver histories will be retrieved in the other citations and criminal complaint groups of modules by either teletype or off-line telecommunications facility for adults and juveniles charged with moving traffic violations (in courts utilizing manual processes, this retrieval would be limited to "selected" traffic violations and the more serious non-selected violations). This information will be utilized:

- at the courts option, to compute graduated bail based upon prior convictions
- to determine the need for a mandatory court appearance based upon an analysis of prior convictions, driver's license status and outstanding failures to appear or pay fine
- to assist the judiciary in sentencing of persons appearing for a mandatory or voluntary court appearance
- to identify outstanding FTA or FTP warrants from other courts.

Statewide driver history and graduated bail computation equitably focus the court's attention on the driver who has demonstrated repeated disrespect for traffic laws and provides a more equitable basis of penalties.

Provision of Case Setting History

For selected court appearances in the civil and criminal complaint groups of modules, a summary of prior and future calendar settings made in the case, the reason for the setting, the requesting party and the outcome will be made available to the judiciary.

This information is intended to assist the judiciary in implementing a calendar management policy leading to reduced court congestion, particularly with respect to priority settings and continuances.

(3) Information Interchange with Outside Agencies

In this group, the design characteristics which relate to the method of information interchange between the courts and others are defined.

Provision of Machine-Readable Media to the Department of Motor Vehicles and the Department of Justice

The sequential batch and on-line versions of ICAIS provide for the use of machine-readable media, preferably magnetic tape, for situations when the courts furnish large volumes of case-related data to state agencies for the purpose of updating their automated files. Specifically, the design provides that Department of Motor Vehicles abstracts and Bureau of Identification arrest disposition data be forwarded to these agencies on magnetic tape through the mails. In addition, the modules will generate district attorney filing statistics for the Bureau of Criminal Statistics since this information is readily available in the Case Data Base.

A primary objective of providing data in machine-readable form is to assist state agencies in the processing of court information. Recognizing that there are instances where state agencies require printed information, ICAIS modules are designed to optionally provide data in hard copy form.

Provision of Data From the Department of Motor Vehicles

The ICAIS design specifies that the request and retrieval of driver history data from the Department of Motor Vehicles be accomplished for persons charged with moving traffic violations using a magnetic tape transmission facility and/or teletype. For the automated groups of modules, most requests will be generated automatically as a function of the citation master file update activity. In instances of retrieval exceptions or when immediate response is required, the teletype facility will be utilized. The manual group of modules will retrieve driver history data via teletype on selected and other serious traffic violations only.

The ICAIS design assumes, but is not dependent upon the provision of vehicle registration data from the Department of Motor Vehicles on magnetic tape. This media will preclude the use of punched cards or lists and is therefore less susceptible to errors resulting from the mishandling (e.g., through loss or mutilation) of punched cards or the key entry of data from lists.

(4) Recordkeeping and Controls

In this group, the design characteristics are defined that affect the method of recording court proceedings and the storage and retrieval of case-related documents and automated records.

Assignment of Meaningful Case Numbers

Cases will be controlled by unique identifying numbers assigned on the following basis:

- In parking and other citations modules, the citation number (and issuing agency code if required to insure uniqueness) will control the case until it proceeds past arraignment.
- In juvenile modules, a court-assigned case number will be allocated to each minor.
- In all other groups of modules, including cases initiated by the filing of a citation but proceeding past arraignment, a court-assigned number will be allocated to each case.

The case number to be assigned consists of three parts:

- Case Category Code

The case category code will be assigned by the court of original jurisdiction. It will indicate the case type at filing. The final disposition code will be matched against the original filing code to identify reclassification of cases.

- Case Serial Number

A serial number, consisting of the filing year, court/branch code and a unique sequence number will be assigned to each case filed with the court. This number will be assigned permanently at the time of initial filing. As such, the court/branch code would be assigned once by the court of original jurisdiction.

- Plaintiff, Defendant and/or Parcel Identification Number

In cases involving multiple plaintiffs or defendants, and in eminent domain cases involving multiple parcels, there is a need to identify court actions and submitted documents associated with particular parties to the action. This will be accomplished by assigning to each plaintiff, defendant or parcel at case initiation time a unique two digit identification number, while in civil cases, each plaintiff and defendant (or parcel) is provided a number. When a particular court action (e.g., disposition) or submitted document affects only particular parties, the applicable identification numbers must be encoded to complete the case number. Otherwise, identification numbers will be omitted and the entered data will apply to all parties to the action.

The case number may be assigned centrally in criminal matters and utilized by the other criminal justice agencies as their case identifying number if they so desire. The

use of a single case number for all agencies from complaint filing time onward would be highly desirable in counties with integrated criminal justice systems. However, ICAIS provides a numerical cross-referencing capability so that criminal cases can be located when the other agency's case numbers are known.

While the recommended case number provides the means of uniquely identifying case records both manually and in the computer for case following purposes the following additional data elements are required for external reporting purposes in order to properly classify and analyze the filings:

- date of filing
- code of county with current jurisdiction
- code of court with current jurisdiction
- total number of defendants or parcels
- total number of plaintiffs.

Automated Transfer of Citation-Initiated "Not Guilty" and "Warrant Arrest" Cases in the Verified Complaints Group

The verified complaints group will take cognizance of cases initiated by citation after a not guilty plea is entered or when a person is arrested on a warrant for failure to appear or pay fine. In these instances, the original citation will be cleared from the other citations group and will be transferred to the criminal complaint group. For Judicial Council statistical reporting purposes, this process will be treated as a single filing.

In the on-line and sequential modules, when a not guilty plea is entered, the corresponding automated citation record will be closed and copied onto the not guilty interface file for automatic transfer onto the criminal master file.

When a warrant for failure to appear or pay fine is issued, the automated other citation group will retain cognizance of the case for a predetermined time span or until the defendant is arrested. Up until his arrest, the defendant may dispose of his citation in the other citations group. If his automated records are still active (i.e., not closed and purged due to their exceeding the predetermined time span), a regular disposition will be entered. If his automated records are purged from active status, the citation data will be re-entered along with the disposition. If the defendant is arrested on the warrant, the automated citation records will be closed and automatically transferred from the automated other citations group on the not guilty interface file

if still active; otherwise, the case will be initiated by manual data entries.

Microfilm Substitutes for Register of Actions and Judgment Book

The automated modules will provide for the widespread use of microfilm to reduce the number of document files maintained and accessed by clerical personnel.

Microfilming will produce three common types of output media:

- Rolls or Cassettes in which the documents are filmed and retrieved sequentially on spools
- Microjacket in which the individual microfilm frames are inserted into a card carrier
- Microfiche in which the microjacket is "photographed" thereby becoming a permanent card which cannot be supplemented.

In all systems, microfilming will be utilized as soon as permissible to facilitate purging of hard copy case files and as a substitute for large computer-produced reports that have an extended life.

Microfilm will also be utilized as a substitute for the traditional Register of Actions and Judgment Book. The procedure will operate in the following manner:

Virtually all documents will be microfilmed after passing through the controls activity. The resultant film will be placed in a microjacket and filed by case number. The microjacket then will serve as the Register of Actions, and together with case status data generally available either on-line or on printed reports, provide sufficient backup to the case folder and serve as a reference for answering most inquiries. The Judgment Book will also be microfilmed in lieu of hard copy and provide a means of locating misfiled judgments.

The use of microfilming in this manner will eliminate much of the clerical effort required to maintain the traditional Register of Actions and Judgment Book; it will improve case file control and backup; it will facilitate case file purging at the earliest possible time; and, reduce document and file maintenance requirements. Microfilming can be performed on a regular schedule to meet or exceed existing maintenance cycles of the Register of Actions or Judgment Book in most courts.

Automated Case Monitoring and Notification

In the design, the automated groups of modules will take cognizance of cases at filing time and monitor their progress until purged. Notifications of scheduled appearances and of court action will be automatically prepared at the proper times.

Hence, the computer's role will encompass not only routine processing, but also analysis of case status. Exceptional conditions will be reported to the clerk to assure conformity to legal requirements, particularly those that are time-dependent, and to inform the clerk when manual intervention is required. For example, the following will be monitored:

- unprosecuted filings, including those eligible for dismissal under Sections 581 and 583 C.C.P.
- cases ready for warrant issuance
- cases ready for dismissal due to lack of filing an Information (Section 1382 P.C.)
- progression of criminal cases to assure timely adjudication
- defendants released prior to arraignment but for whom no complaint is filed
- dissolution cases for which an interlocutory decree has been granted but for which a final decree has not been requested
- age of juveniles under jurisdiction of juvenile court
- cases under submission
- probate cases in which an estate representative is not appointed, an inventory of assets is not on file, or a final distribution has not been made as required by law
- exhibit inventory status.

Notices will be prepared as required, including but not limited to:

- courtesy notices to persons cited on a traffic or misdemeanor violation
- DMV abstracts mainly via magnetic tape
- notices of entry of judgment, findings or entry of a pre-trial conference order
- notices of conservatorship termination and/or annual accounting
- notice of juvenile reaching age of majority or annual juvenile dependency review

- information required to complete adoption and dissolution/nullity notices to state agencies
- notice of court appearance in civil and juvenile actions when appearance dates are set by a calendar clerk or notice of hearing is required by law.

In addition, a report will be prepared for attorneys listing their scheduled and unscheduled cases on the civil active list. The attorneys may then confirm their case status by returning an updated copy of the list to the court.

Use of Multipart Snapout Forms

Use will be made of multipart snapout forms which are prepared both manually and by computer. Use of these forms is predicated on the fact that many of the documents produced by the court utilize several common data elements, such as case number, event date, case entitlement, party's name, attorney's name, and charges. For example, snapout forms will be utilized for:

- checkoff minute orders (case folder, data entry in automated systems, referrals and other "informal" notices of court orders or judgments)
- manual citation processing (courtesy notice, index slip, Department of Motor Vehicles abstract, docket and referral)
- automated citation processing (docket/priors list and referral)
- hearing notices (case folder and sufficient copies for the parties to the action)
- automated warrant packages (warrant, warrant notice law enforcement index card if desired).

The use of multipart forms can significantly reduce the effort expended in document preparation, filing, and retrieval when commonality exists between data elements. Preparation of these forms should be coordinated with all interested parties to insure conformity to their requirements.

On-line Case Summaries

All the on-line modules will support on-line case summaries. The civil and juvenile groups of case summaries will consist principally of case setting for all previous and future court appearance dates, purposes,

outcomes and requestors. The other citations and criminal complaint case summaries will consist of case setting history, case status and defendant custody data. In neither instance will the case summary be as comprehensive as, or replace, the microfilm Register of Actions. That is, entries not initiating calendaring, accounting, or transactions required for statistical data, such as the filing of depositions, will not be entered in the on-line system.

On-line Indexes

The on-line design will provide multiple cross-references to the case folder and to the on-line case summary. These indexes will locate case number by name in all systems, and by other criminal justice agency case identifying numbers, warrant number, and consolidated case number in criminal matters. In addition, a cross reference of the parcel number to the master case number will be provided for eminent domain cases.

Automated Indexes in the Sequential Batch Systems

Two types of printed indexes will be produced by the sequential batch designs. The criminal complaint and other citations groups will prepare daily indexes of active cases in alphabetic sequence containing the same type of case summary data available in the corresponding on-line modules' case summaries. The remaining sequential batch systems will produce regular alphabetic indexes of filings on a daily and cumulative weekly, monthly and annual basis.

In lieu of the multiple reference indexes available on-line, the printed indexes will contain one or more columns of numerical cross references to the index entries. For example, a column on the index may be devoted to a sequential list of arrest numbers and the corresponding index entry line number. By placing the numerical cross-references on the same printout as the daily index of active cases, the automated system will eliminate the cost and inefficiencies of producing separate reports.

Preparation and Filing of Minute Orders

The module designs will provide for the preparation of minute orders by the court clerk on multipart forms using a checkoff procedure where possible. The minute orders need not be typed for non-trial activities.

Following review by a controls clerk, a copy of the minute order will serve as the means for data entry

in the automated systems with the original copy filed in the folder in chronological order. This method of filing will eliminate the need for a Minute Book in superior court, per Section 69844.7 G.C. The Minute Book currently required in municipal court for civil cases can be eliminated by statute change. In its place, a microfilm Judgment Book should be maintained, thereby providing consistency in this practice between the municipal and superior courts.

Purging of Case Folders in Blocks

Purging of case-related documents will be performed periodically in all systems. To the extent possible, purging will be performed in blocks of case numbers within case category to assure positive case file control. A recommended statute revision will relate the purging cycle for all cases, except juvenile cases, to the date of judgment, or date of filing if no judgment is rendered, thereby facilitating block purging.

Blanket Complaint and Order to Issue for Traffic Warrants

A blanket complaint and order to issue warrants for failure to appear or failure to pay a fine will be utilized in the parking and other citations groups in lieu of preparing individual complaints. This procedure will avoid the time and effort required to attach a full sized complaint document to the smaller citation, which aside from the complaint, could be easily filed in books or compact document files. Instead of the individual complaint, the docket will be updated and a reference will be made to the blanket complaint and order which will be filed separately.

The legality of this procedure, which is subject to question, should be clarified.

Utilization of Violator's Citation Copy in Lieu of Court Copy

The automated modules will utilize the violator's citation copy if presented by the defendant in lieu of the court copy unless a court appearance is to be made. The automated module data files will be updated to maintain the status of all citations.

The use of the violator's copy will eliminate searches of the open citation file in many instances. Since the modules will provide notification to the clerical staff of which citations and dockets are to be pulled at warrant issuance time, the remaining citations in the open citation file may be discarded after an appropriate waiting period.

Provision of Calendaring, Financial Accounting, and Statistical Data by the Case Following Modules

The case following modules are designed to provide the majority of information required by the calendaring, financial accounting, and statistical reporting modules. This applies to manual as well as automated designs. This approach will enhance the concept of a central document intake function and improve the element of control.

In the automated sequential batch and on-line modules, interface magnetic tape files (which can be considered temporary transaction files) will be utilized to transmit data from case following to the other modules. These files will contain only the data specifically required by each system. This data, having been edited and screened with respect to the case following master file, should have a high degree of reliability.

The degree to which other modules can be developed around the case following modules will depend upon the data elements selected during detailed design for maintenance in the case following master file. For example, implementation of that portion of the "intake and file maintenance" module dealing with the initial filing of a case will permit the implementation of a statistics module which would be limited to the reporting of filing statistics. Numerous courts have developed systems limited to this level of master file maintenance. Others have expanded the scope of automated applications by maintaining case setting, disposition, or financial data with the master file. By designing and installing the case following module initially, the effort to initiate other applications will be reduced.

In addition to filing and disposition statistics, the automated case following modules will provide the statistical reporting modules with the case setting history of finally disposed cases. Statistical reports prepared from this data will trace key events, and their timing, leading to final disposition. This type of statistical reporting, sometimes referred to as "disposition tree" statistics, will alleviate the problem of currently compiled dispositions not being related to filings reported in the same period.

Interfaces in manual systems will be accomplished at key points in document flow. For example, the case following procedures include the preparation of financial accounting transactions and statistical tallies

for the respective modules. The calendar interface will be accomplished by the preparation of a calendar card at the time of filing as a by-product of preparing other case initiating documents. Once created, the calendar card will be maintained separately from case following records to monitor and control case status. The calendar card will provide a means to compile "disposition tree" statistics not practically available in most manual systems.

(5) Utilization of Court Resources

The increase in case load, the changing nature of litigation, and the increased demands on available funds have directed attention to methods for effective utilization of court resources. The design objectives include the provision of information to assist courts in improving the utilization of court resources. The designs under this heading emphasize the following key characteristics related to utilization:

- . Scheduling of appearance dates
- . Notification of involved parties
- . Organizing and planning of available resources.

The major design characteristics pertaining to each of these areas are discussed below:

. Scheduling of Appearance Dates

The calendaring modules have been designed considering two fundamental types of court appearances. For purposes of discussion, court appearances can generally be categorized by those for which work load (required court resources) can be predicted relatively accurately, and those having a high degree of unpredictability. The underlying assumption is that a court which is able to accurately predict work load can more effectively plan and manage case flow.

Court resources required to adjudicate a given number of traffic, parking, small claims, civil defaults and other short duration, high volume actions, can usually be relatively accurately predicted. The calendaring modules are designed to schedule appearances in these types of actions in court, at the counter upon filing, or at the time of citation issuance. Criminal arraignment and bail setting hearings, although less predictable due to lower

volume, will be scheduled as necessary due to the high priority of prompt hearing, thus requiring the court to adjust schedules as necessary for exceptional criminal case loads.

Long cause court and jury trials are less predictable in terms of work load since they are more variable both in frequency of occurrence and in duration. A calendaring system unable to manage long cause cases may create severe backlogs. The designs are based on a system established to control and schedule long cause cases.

The calendar preparation modules will produce court calendars for scheduled cases except for parking, other citations, and small claims cases regardless of the use of master or individual calendaring procedures. When individual calendars are maintained, dates scheduled in court will be recorded and entered on minute orders. The only major difference in the modules employing master and individual calendars would be the determination of the department assigned for hearing the action.

Since court calendars will be centrally prepared by the system, the modules can also prepare minute orders pre-printed with the necessary heading information. In addition, the minute orders will include check off boxes for recording standard entries, thereby further reducing the clerical effort in the preparation of minutes.

The calendaring modules are not designed to schedule court actions. The emphasis is placed upon the provision of adequate information for manual scheduling. Automated scheduling systems have not been successful to date and generally create problems in notifying involved parties of appearance dates.

. Notification of Involved Parties

The system designs promote the concept of notifying parties of future appearance dates in person. For example:

- at the point of citation issuance
- upon appearance at the counter for filing or bail forfeiture
- upon release from custody
- in court
- at pretrial conference.

Where formal notification is required by law in civil and juvenile actions and notification in person is not practical, involved parties will be notified of appearance by mail.

The modules are not designed to automatically prepare witness subpoenas because in the case of a witness for the prosecution, the issuance is the responsibility of the prosecuting attorney, while defense witnesses usually appear voluntarily. The benefits of entering data for defendant witnesses does not appear to be justified when the cost of data input and maintenance is considered.

The automated sequential batch and on-line systems will provide the capability of avoiding many attorney conflicts when setting trial dates. This capability will be provided by maintaining an attorney master file which includes previously scheduled dates by attorney.

The provision of jurors for trials will be an independent process from other modules, related only when scheduled jury trials are imminent. There are two characteristics of the jury services modules which represent significant deviations from current practices. First, the juror selection and qualification process will be continuous and not related to an "annual list of qualified jurors." Jurors will be qualified at a rate determined necessary on the basis of projections from juror statistical data. Second, jurors will be "randomized" only upon selection rather than also at summoning, and impaneling time. The jury services group of modules will take cognizance of the fact that the selection of subgroups from a random group of individuals is also random. This concept will permit streamlining clerical processing related to juror selection by eliminating redundant randomization procedures while retaining the intent of unbiased juror selection.

Organizing and Planning Available Resources

The case following and calendar modules are designed to provide data for statistical reporting. Fundamentally, the requirement for statistical data is established by the need to report filings and dispositions to the Judicial Council and the Bureau of Vital Statistics (family law cases only). The statistical reporting group of modules will provide the capability of producing these statistics as well as preparing reports for the internal administration of the courts. Potential use of statistics includes:

- the development of the master department schedule
- the development of guidelines for scheduling appearance dates for the variety of court hearings
- the preparation of operational budgets

- the analysis of the effects of pre-trial hearings and continuances upon final case dispositions.
- information for use in determining the need for additional clerical or judicial personnel.

It should be emphasized that the mere capability to produce such statistics will not justify their production. The full use of statistical reporting should be accompanied with an equal commitment to provide administrative resources for the analysis and resolution of existing problems in case flow.

Many of the system characteristics discussed above are dependent upon the recommended revisions in current statutes, Rules of Court, and policies described in Section I of this report.

III. IMPLEMENTATION GUIDELINES

III. IMPLEMENTATION GUIDELINES

The purpose of this section is to provide general guidelines for the use of the module designs of the Integrated Court Automation/Information System. The guidelines are intended to assist the courts which become involved in projects recommended in Section I of this report or which desire to apply the module designs to present or planned projects.

The following discussion reviews the cost/benefit factors to be considered when evaluating the potential of automation and the steps involved in progressing from manual procedures to procedures taking full advantage of automation.

1. COST/BENEFIT CONSIDERATIONS

At a time when automation is looked to as a means for solving the problems of the courts, there sometimes exists a tendency to automate for the sake of automation. Addressing the problems which arise during the complex automation process often causes those involved to lose sight of the original objectives and the true user benefits of automation. It should be strongly emphasized that realistic plans be developed which clearly state goals, objectives, specific benefits to be obtained, and the associated costs of implementation and operation. The plans should include a method of evaluating progress during project development and subsequent to its completion in terms of the original objectives.

The following paragraphs identify the general benefits of automation, establish guidelines as to the sizes of courts which should consider automation, and describe the key financial considerations involved.

(1) Benefits of Automation

There are a number of benefits that result from the automation of court clerical and administrative procedures. Some of these are discussed below.

Automation Forces a Detailed Review of Present Methods.

Effective automated procedures require a high degree of specification and documentation. In order to develop sound automated procedures which are oriented to the existing environment, existing manual methods must be reviewed, defined, and revised to relate with automated procedures. This results in the standardization of procedures, levels of recording, coding structures, and data content thereby improving the quality of data available to users.

Some of the major benefits of automation result from this introspective process of preparing for automation.

Large Volumes of Data Can Be Processed on a Timely Basis.

Large volumes of data can be rapidly and efficiently processed through the use of automated procedures. For extremely large processing volumes, automation is sometimes the only solution. It would be difficult to estimate, for example, the manpower which would be required to manually process citations in the Los Angeles Municipal Court. Automated processing permits data to be organized for more efficient manual use. For example, automatically prepared indexes can practically be listed in true alphabetic sequence on a daily basis even for large numbers of filings.

Large data volumes, however, should not be the sole criteria for entering data into an automated system. The cost of data entry, storage, and maintenance is significant and only that data which will be reused should be entered. Data in an automated system can be reused for various reasons including identification, classification, status reference, control, or analysis for management purposes. Data which has low reuse or highly specialized usage should not be entered into the automated system. For example, the detailed narrative portion of a minute order is primarily a specialized set of data to record proceedings and is not directly reused without specialized manual abstraction. On the other hand, certain minute order data identifying the nature of the action should be entered into the system for reuse in notification, scheduling, determining case status, etc.

Redundant Clerical Operations Can Be Reduced.

Most court documents for a case contain identical data elements which must be manually copied and manipulated. Through the reuse of automated system information such as case number, entitlement, parties' name and addresses, etc., manual reproduction of data can be eliminated. For example, the ICAIS automatically prepares notices of appearance and minute orders containing case identifying information which was entered into the system upon filing.

The Quality, Accuracy, and Control of Data Can Be Improved

As a result of standardization, data can be formally edited for accuracy and validity by an automated system. In addition, automated systems are established to include controls upon numbers of documents, and quantity totals to be reconciled at key points in the process. Error correction procedures are also established to identify invalid data or unbalanced controls. These features of an automated system provide the basis for improved data accuracy and quality.

Data controls in the automated system can be established which provides for the proper security of information, restricted access where required, and confidentiality of the data bases. This is particularly important in juvenile cases, adoption cases, and selected information in other case categories.

The improvement of data quality is normally a painful process since it exposes bad data that results from existing manual methods. The importance of high quality data in an automated system must be emphasized, since the achievement of the benefits of automation depend largely upon the accuracy of the data in the system. The ultimate success of a system therefore depends to a large extent upon the practicality of its design and the training of data entry personnel.

Automated Systems Are Able to Monitor Event Timing and Automatically Prepare Outputs.

Once a case is entered into an automated system there are numerous subsequent events which can be monitored by establishing sequence or timing criteria. For example, notification of appearance can be automatically prepared once a court date is established; traffic notices and warrants can be prepared based upon failure to appear within specific time periods; calendars can be prepared listing all cases to be heard on a given date; criminal cases can be monitored to insure prompt adjudication. As a result of automated case monitoring, the adjudication process itself can be monitored, improved, and consistently applied.

The Availability of Information is Improved

In addition to providing many of the documents required for court operation, an automated system can supply information for case flow management, evaluation of local rules and policies, public reference, and improved adjudication practices. For example, the conceptual design for ICAIS includes the preparation of a case setting history for the judiciary in such matters as assessing the merits of

motions for continuance. Statistical information on filings, dispositions, and events leading to disposition is useful in establishing local rules, departmental schedules, and calendaring criteria. The benefits derived from the preparation of such management information are entirely dependent upon the active analysis and application of such data.

Automated systems are beneficial when there is a need to provide information rapidly. Microfilm techniques are capable of indexing and retrieving copies of entire original documents. Terminals which are on-line to a computerized file of data, can respond to user requests for information on request with adequate control of confidential information.

The use of on-line computer terminals in the courts should be considered carefully. A sequential batch system is highly capable of producing the vast majority of information required by the courts on a timely basis. On-line terminals for use by the courts are justified given one of the following conditions:

- Terminal Facilities Are Available as a Result of Being Justified for Computer Applications Outside the Court.

When on-line computer capability already exists, the marginal costs of adding court terminals may be justified by the benefits of rapid information retrieval.

- A Total Criminal Justice System Involving the Exchange of Information with Other Agencies is Established as an Objective

When individual agencies depend upon data shared in a system, the practical means of exchange is via on-line terminals. When data is shared for purposes of multiple-agency access, there should be clear and distinct rules established for the maintenance of separate data bases in order to insure retaining data quality and confidentiality.

- The On-line Applications Improve the Operation of the Court Sufficiently to Outweigh their Operating Costs

Court-oriented on-line applications are justified in terms of their benefits, whether or not they are quantitatively measured, when the value of the benefits exceed the applications incremental cost. These benefits are often measured in terms of:

- .. a requirement for rapid access to information
- .. a requirement for man-machine interaction
- .. a substantial reduction in the volume of paper flowing through the court
- .. a substantial improvement in the quality of data entering the system because of improved screening and controls

Total Court Costs Can Be Reduced on a Long Term Basis.

The benefits of automation discussed above are difficult to quantify in terms of dollar costs or savings. As a result, most court applications are justified on the basis of improved information processing rather than dollar savings. However, the results of a statewide court survey conducted during Phase I of this project indicates that total court costs are reduced in the long term as a result of automation. Exhibit VII, following this page, illustrates how total court costs relate to total court filings for courts responding to the statewide questionnaire. The exhibit shows a total cost curve for those courts utilizing some level of automation regardless of how small. It can be concluded from the exhibit that courts without automation reach a point at which total costs increase sharply in relationship to filings. This probably occurs because at that point problems become so severe that staff must be increased significantly to keep up with the influx of filings.

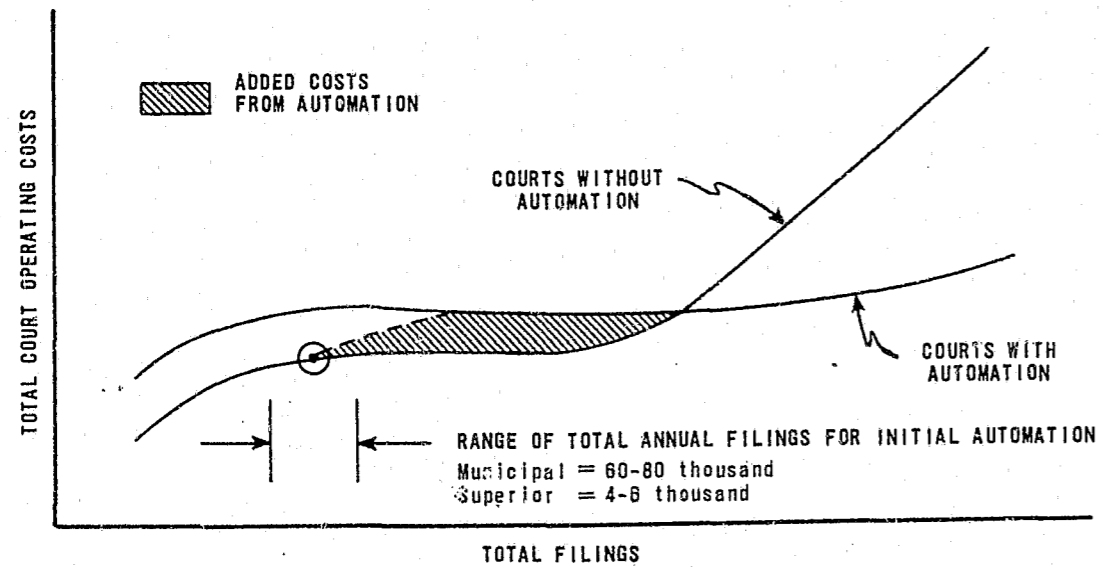
On the other hand, courts which have automated applications reflect a significantly reduced rate of total cost increase as total filing volumes increase. Although courts with automation initially have higher total costs, there is a point at which excessive cost increases are avoided thus resulting in long term savings. The exhibit does not reflect the effectiveness of automated procedures as opposed to manual procedures. It would be up to the judgment of an individual court whether the initially higher costs were justified on the basis of better and more information.

Although Exhibit VII indicates that manual procedures are effective (from a cost point of view) over a wide range of filing volumes, the point at which automation should begin, occurs prior to reaching the point of rapidly increasing costs. This is discussed in the following paragraphs.

(2) When to Begin Automation

By referring to Exhibit VII it is possible to establish a range of total filing volumes within which courts should consider revising manual procedures to utilize automated techniques. This analysis is strictly from a cost point of view and does not take into account any of the specific problems of an individual court. Figure 1, on the next page, is a reproduction of the total cost curves for reference.

FIGURE 1

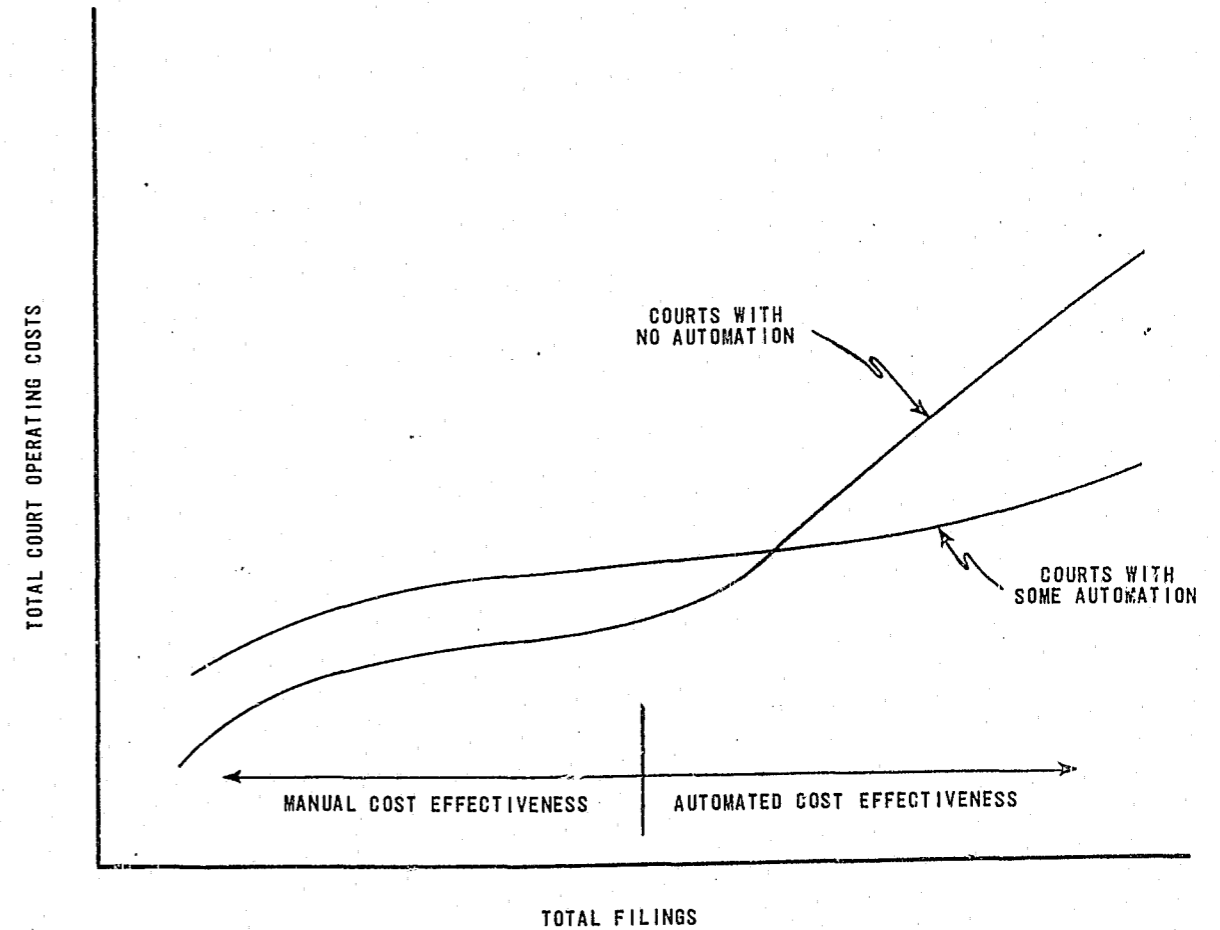


To initiate a long term program of automation and to avoid severe processing problems, municipal courts should consider initial implementation of automated modules when total filings reach a range of 60,000 to 80,000 filings per year. For superior courts, this point of initiation would be in the range of 4,000 to 6,000 total filings per year. A discussion of the sequence in which automation should take place is presented later in this report.

For purposes of reference, Exhibit VIII following Exhibit VII summarizes the present municipal and superior court applications in relation to total filings. The total volume criteria indicated above in Figure 1 is generally verified by comparing application areas to total filings for those courts utilizing automated techniques to some degree.

As a result of the increased costs associated with automation, it is important that objectives related to more effective processing be clearly stated and understood for

ILLUSTRATION OF THE IMPACT OF AUTOMATION ON TOTAL COURT COSTS



**MUNICIPAL AND SUPERIOR COURT APPLICATION AREAS
RELATED TO AVAILABLE COUNTY EDP SYSTEMS
AND CASE FILINGS**

COUNTY	MUNICIPAL COURT	SUPERIOR COURT FILINGS	MUNICIPAL COURT FILINGS				MAXIMUM EDP CAPABILITY 3/	MAXIMUM AVAILABLE CORE 4/	APPLICATION AREAS													
			PARKING	MOVING TRAFFIC 5/	OTHER	TOTAL			PARKING CITATION PROCESSING	NON-PARKING CITATION PROCESSING	INDICES	CALENDARING	FINANCIAL ACCOUNTING	STATISTICAL REPORTING	INDICES	CALENDARING	FINANCIAL ACCOUNTING	STATISTICAL REPORTING	CRIMINAL JUSTICE SYSTEMS	JURY SERVICES		
ALAMEDA	ALAMEDA	27,284	18,439	12,342	2,888	31,669	O	256	•	•	•	•	•	•	•	•	•	•	•	•	•	
	BERKELEY-ALBANY		285,733	28,852	10,128	325,713			•	•	•	•	•	•	•	•	•	•	•	•	•	•
	FREMONT-NEWARK-UNION CITY		2,288	18,748	7,517	28,553			•	•	•	•	•	•	•	•	•	•	•	•	•	•
	LIVERMORE		1,754	10,153	1,734	13,641			•	•	•	•	•	•	•	•	•	•	•	•	•	•
	OAKLAND-PIEDMONT		384,102	123,552	52,158	559,812			•	•	•	•	•	•	•	•	•	•	•	•	•	•
	SAN LEANDRO-HAYWARD		78,188	54,388	18,978	152,554			•	•	•	•	•	•	•	•	•	•	•			
BUTTE	CHICO	2,387	50,732	8,354	3,882	62,978	R	85	•	•	•	•	•	•	•	•	•	•	•			
CONTRA COSTA	MT. DIABLO	13,720	25,385	27,243	8,305	61,833	R	128	•	•	•	•	•	•	•	•	•	•	•	•		
	RICHMOND		15,234	11,084	8,880	35,198			•	•	•	•	•	•	•	•	•	•	•	•	•	
	RIVER		2,187	7,380	4,500	14,077			•	•	•	•	•	•	•	•	•	•	•	•	•	
	SAN PABLO		3,300	8,928	3,588	15,825			•	•	•	•	•	•	•	•	•	•	•	•	•	•
	WALNUT CREEK		30,804	23,033	8,008	58,845			•	•	•	•	•	•	•	•	•	•	•	•	•	•
EL DORADO		1,387				R	32															
FRESNO	FRESNO	8,817	88,885	83,278	27,005	157,248	R	188	•	•	•	•	•	•	•	•	•	•	•			
SONOMA	CENTRAL	5,384	28,852	20,581	8,444	58,887	R	85	•	•	•	•	•	•	•	•	•	•	•			
	SOUTHERN		17,015	8,280	2,410	28,705			•	•	•	•	•	•	•	•	•	•	•	•	•	
STANISLAUS	MODESTO	5,871	20,538	21,580	9,119	51,247	S	24														
SUTTER		1,047					C	18														
TULARE	VISALIA	4,152	880	12,014	4,383	17,387	R	131														
VENTURA	VENTURA	8,132	31,885	70,085	25,880	127,740	O	258	•	•	•	•	•	•	•	•	•	•	•			
YOLO		2,214					C	12														
COUNTIES WITHOUT EDP EQUIPMENT	ALPINE	22																				
	AMADOR	280																				
	CALAVERAS	515																				
	COLUSA	381																				
	DEL NORTE	548																				
	GLENN	420																				
	IMPERIAL 2/	2,082																				
	LASSEN	488																				
	MADERA 2/	948																				
	MARIPOSA	148																				
	MODOC 2/	240																				
	MONO	147																				
	NEVADA	739																				
	SAN BENITO	387																				
	SIERRA	45																				
	TEHAMA	803																				
	TRINITY	188																				
TUOLUMNE	887																					
YUBA	1,217																					

NOTES:

1/ OBTAINED FROM THE 1971/72 CACDP ANNUAL INVENTORY

2/ THESE COUNTIES PRESENTLY USE A SERVICE BUREAU. THE ONLY COURT APPLICATION IS MODOC JURY SERVICES.

3/ EDP CAPABILITY CODES:

- C - CARD ORIENTED
- M - MAGNETIC CARD
- S - SEQUENTIAL TAPE
- R - RANDOM ACCESS CAPABILITY
- O - ON-LINE CAPABILITY

4/ CORE IN 1,000 BYTES OF STORAGE

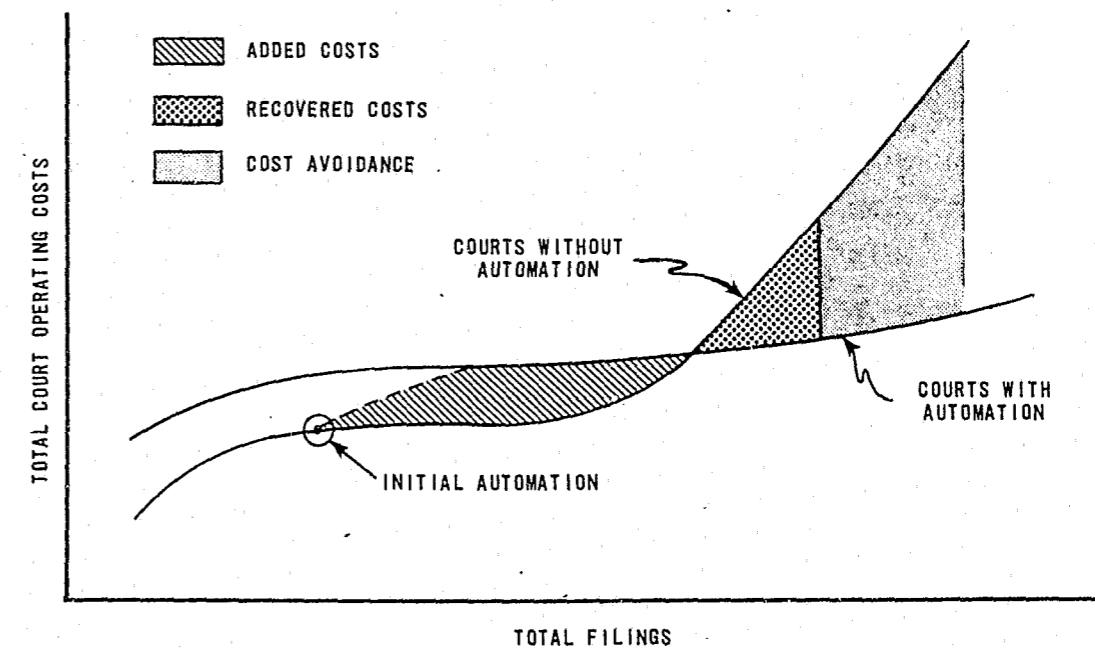
5/ EXCLUDES SELECTED TRAFFIC VIOLATIONS

purposes of justification and evaluation. More specifically, the long term goal of cost avoidance, as discussed in the following paragraphs, must be clearly identified.

(3) Cost Factors Related to Automation

Actual automation cost experience, as shown in Exhibit VII, indicates that costs will continue to increase but at a lower rate than without automation. On the long term, the lower rate of cost increase will result in cost avoidance and thereby offset the initial investment in automation. Figure 2 is a reproduction of the curves in Exhibit VII reflecting the eventual recovery of initial costs.

FIGURE 2



As shown in Figure 2, automation results in added costs over manual procedures which, over a period of growth in total filings, will be recovered due to the reduced rate of total cost increase. In the case of automated citation processing systems, the cost line on Figure 2 should be analyzed taking into account the increased revenues resulting

from improved bail forfeiture rates and from the use of graduated bail. These added revenues could be considered an offset to the costs of court operation.

Some of the factors related to automation which cause total costs to increase are as follows:

- . Added court personnel for data intake and entry into the computer
- . Computer operations including charges for computer time and program maintenance and supplies.

The specific magnitude of these costs depends upon the scope of automated modules which are selected for implementation and the manner by which county data processing department charges (or does not charge) for their services.

The costs experienced and the benefits achieved by automation will depend upon a court's approach to automation. The following paragraphs discuss a stepwise approach to automation to minimize costs and to achieve maximum benefits.

2. MODULE IMPLEMENTATION STEPS

The module designs presented in Volume II of this report encompass the broad range of court clerical and administrative functions as well as the different levels of automation. An individual court intending to automate certain functions must establish a sequential plan for the implementation of these modules. The plan must be developed to consider the local environment including:

- . The present use of automated applications
- . The availability of equipment and associated services
- . The immediate needs of the court to resolve present problems and those anticipated five to ten years hence

- . The developments occurring in other criminal justice agencies and in the case of jury services modules, the level of automation of the voter registration procedures
- . The interrelationships between modules planned for implementation on a long range basis in order to reduce the need for redesign.

Exhibit IX, following this page, is a general plan which can be used as a basis for more detailed planning by individual courts. The exhibit is a schematic development plan including initial implementation tasks, a sequential plan for implementing groups of modules, and the eventual integration of court modules into a total criminal justice system. The specific modules to be implemented in each of the six implementation groups are shown in Exhibit X following Exhibit IX.

Exhibit IX illustrates that there are certain initial tasks to be performed prior to beginning the implementation of module groups. The initial implementation tasks should include the following:

- . Coordinate plans with Judicial Council (Administrative Office of the Courts), local, regional, and state planning agencies and identify sources of development funds.
- . Establish a management advisory committee
- . Identify interrelationships between municipal court, superior court, and other justice agencies
- . Review and document present manual and automated procedures
- . Review present and planned developments in other jurisdictions
- . Identify present problem areas and those expected in the next five to ten year period
- . Improve present manual and automated systems and procedures
- . Evaluate results of initial improvements
- . Define goals and objectives for further improvements

Establish a comprehensive work plan, schedule and budget.

Initial planning prior to implementation is vital to assure adequate involvement of, and communication among, all interested parties. Once the proper planning has been performed, detailed design and implementation of one or more groups of modules can begin. The comprehensive work plan should identify the scope of the development program by identifying the sequence of module implementation within a 5 to 10 year period. The implementation of each group of modules within the work plan, assuming availability of adequate staff, will involve the following tasks:

Finalize conceptual design

- establish development task force
- revise objectives in view of results of prior module implementation
- review and evaluate alternative detailed designs
- select best alternative and prepare baseline (i.e., user-oriented system description) specifications
- develop a detailed implementation plan and schedule

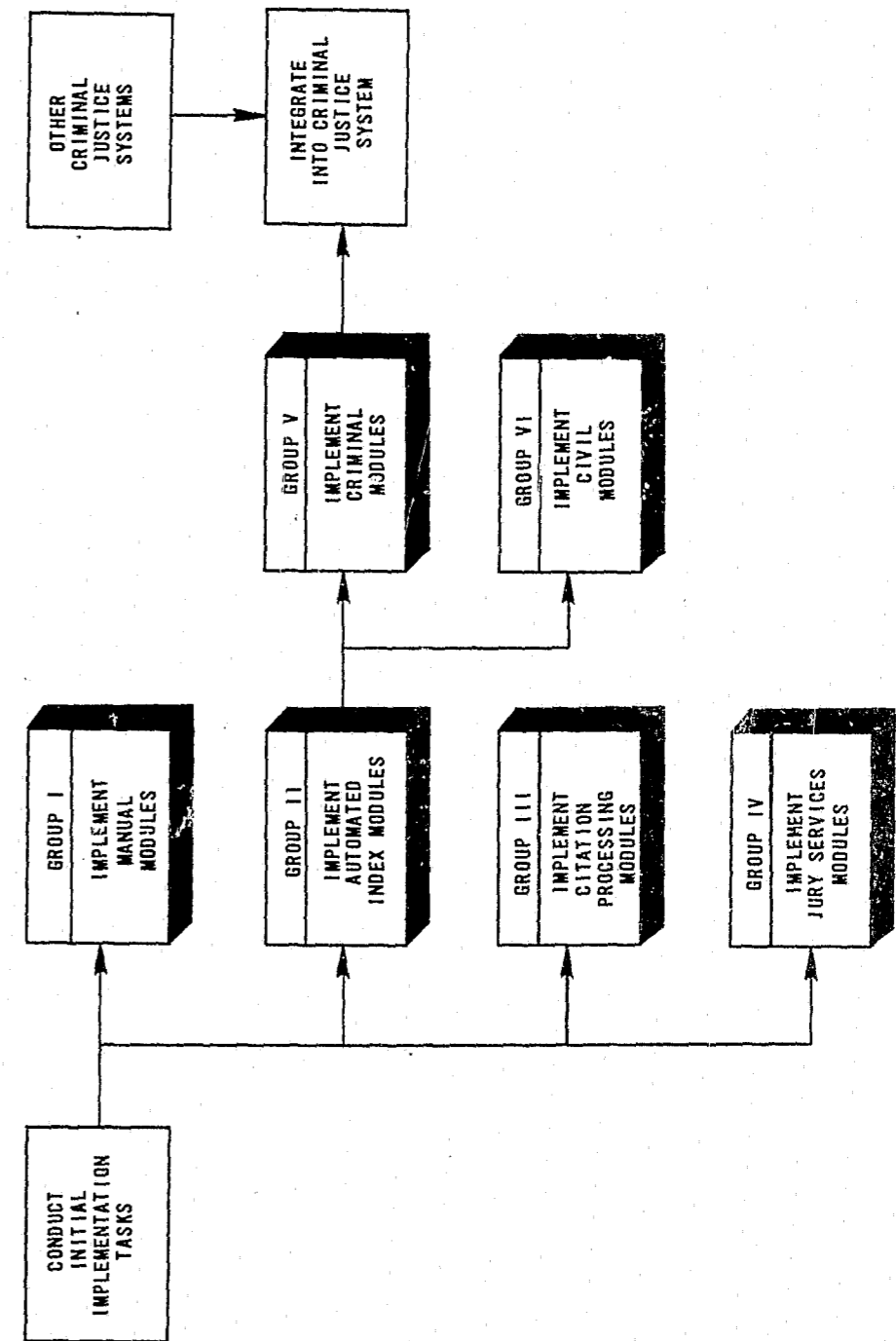
Design system in detail

- develop detailed design specifications including:
 - .. system data flow
 - .. program narratives
 - .. forms design
 - .. data entry controls and record retention criteria
 - .. data reference controls
 - .. data file organization
 - .. data record formats
 - .. document file organization
 - .. document intake requirements
 - .. output report formats
- acquire necessary equipment and facilities
- develop programming and test plan
- prepare computer programs
- test computer programs

Implement module group

- develop procedural and policy documents
- develop operational and controls instructions
- develop and conduct training programs

INDIVIDUAL COURT MODULE IMPLEMENTATION STEPS
INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM



CONTINUED

1 OF 5

**IDENTIFICATION OF MODULES BY IMPLEMENTATION GROUP
INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM**

GROUP I - IMPLEMENT MANUAL MODULES

MODULE TITLE	CASE FOLLOWING MODULE NUMBERS					
	PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
INTAKE AND FILE MAINTENANCE	011		012	013	014	015
RECORD OF PROCEEDINGS	041		042		043	044
CROSS REFERENCE		071				072
NOTIFICATION OF COURT ACTIONS		101			102	103
AGING AND PURGING	131		132	134	135	136
VR DATA RETRIEVAL	161					
STATEWIDE DRIVER HISTORY RETRIEVAL		181	182			
JUVENILE CITATION PROCESSING		211				
FAIL SCHEDULE MAINTENANCE		241				
CRIMINAL HISTORY RETRIEVAL			271			
EXHIBIT CONTROL				301		

FUNCTION	MODULE TITLE	MODULE NO.
CALENDARING	APPEARANCE SCHEDULING	401
	APPEARANCE NOTIFICATION	411
	CALENDAR PREPARATION	421
	DEPARTMENT ASSIGNMENT	431
JURY SERVICES	SELECTION	501
	QUALIFICATION	511
	SUMMONS	521
	ASSIGNMENT AND SERVICE	531
	USAGE STATISTICS	541
FINANCIAL ACCOUNTING	FEES, FINES, AND FORFEITURES	601
	ACCOUNTS RECEIVABLE	611
	BAIL, BOND, AND TRUST ACCOUNTING	621
	DISBURSEMENTS	631
STATISTICAL REPORTING	OUTSIDE AGENCIES	701
	INTERNAL	711

GROUP V - IMPLEMENT CRIMINAL MODULES

MODULE TITLE	CASE FOLLOWING MODULE NUMBERS					
	PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
RECORD OF PROCEEDINGS			052/052			
NOTIFICATION OF COURT ACTIONS			111/121			
STATEWIDE DRIVER HISTORY RETRIEVAL			192/202			
CRIMINAL HISTORY RETRIEVAL			281/291			
EXHIBIT CONTROL			321/331			

FUNCTION	MODULE TITLE	MODULE NO.
CALENDARING	APPEARANCE SCHEDULING	402/403
	APPEARANCE NOTIFICATION	412/413
	CALENDAR PREPARATION	422/423
FINANCIAL ACCOUNTING	DEPARTMENT ASSIGNMENT	432/433
	BAIL, BOND, AND TRUST ACCOUNTING	622/623
STATISTICAL REPORTING	INTERNAL	712

GROUP II - IMPLEMENT AUTOMATED INDEX MODULES

MODULE TITLE	CASE FOLLOWING MODULE NUMBERS					
	PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
INTAKE AND FILE MAINTENANCE			022/032	023/033	024/034	025
CROSS REFERENCE			081/091		082/092	
AGING AND PURGING			142/152	144/154	145/155	146

FUNCTION	MODULE TITLE	MODULE NO.
STATISTICAL REPORTING	OUTSIDE AGENCIES	702

GROUP VI - IMPLEMENT CIVIL MODULES

MODULE TITLE	CASE FOLLOWING MODULE NUMBERS					
	PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
RECORD OF PROCEEDINGS					053/063	054
NOTIFICATION OF COURT ACTIONS					012/122	013

FUNCTION	MODULE TITLE	MODULE NO.
FINANCIAL ACCOUNTING	ACCOUNTS RECEIVABLE	612/613
	DISBURSEMENTS	632/633

GROUP III - IMPLEMENT CITATION PROCESSING MODULES

MODULE TITLE	CASE FOLLOWING MODULE NUMBERS					
	PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
INTAKE AND FILE MAINTENANCE	021/031					
RECORD OF PROCEEDINGS	051/061					
CROSS REFERENCE	081/091					
NOTIFICATION OF COURT ACTIONS	111/121					
AGING AND PURGING	141/151					
VR DATA RETRIEVAL	171					
STATEWIDE DRIVER HISTORY RETRIEVAL		181/201				
JUVENILE CITATION PROCESSING		221/231				
BAIL SCHEDULE MAINTENANCE		251/261				

FUNCTION	MODULE TITLE	MODULE NO.
FINANCIAL ACCOUNTING	FEES, FINES, AND FORFEITURES	602/603

GROUP IV - IMPLEMENT JURY SERVICES MODULES

FUNCTION	MODULE TITLE	MODULE NO.
JURY SERVICES	SELECTION	502
	QUALIFICATION	512
	SUMMONS	522
	ASSIGNMENT AND SERVICE	532
	USAGE STATISTICS	542

- conduct integrated test or parallel run of computer programs and manual procedures with adequate administrative review and control

- implement modules on an operational basis

Post implementation

- evaluate results of module implementation
- maintain module design
- report to Judicial Council for benefit of other courts on project results.

The specific tasks performed during the implementation of each module group should fully consider subsequent module group implementation. Referring to Exhibit IX, the courts implementing the manual modules in Group I should consider eventual automation as scheduled in their comprehensive work plan. Module Groups II, III, and IV can be implemented independently of each other by courts embarking on the use of automation. Citation processing (Group III) and jury services (Group IV) modules can be implemented relatively independently of the implementation of other modules planned in the future. However, the index modules (Group II) are an integral part of the case following function and should be designed and implemented in a way to permit the implementation of module Groups V and VI.

Courts which presently plan criminal and civil case following systems should develop plans encompassing the coordinated implementation of module Groups II, V, and VI. In addition, specific provisions should be made for the eventual intergration of court modules with criminal justice applications planned by other agencies.

Note that Exhibit X identifies modules for the sequential batch and on-line levels of automation. The selection of the modules for the on-line level of automation should depend upon the criteria outlined on page 53. When future on-line facilities or the eventual integration of court modules with criminal justice applications are anticipated but not specifically planned, the sequential batch modules should be selected, but the data file structures should be designed for future random access devices.



Judicial Council of California
Administrative Office of the Courts

Final Report
for an Integrated
Court Automation/
Information System

Volume II

October, 1972

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ARTHUR YOUNG & COMPANY





Judicial Council of California
Administrative Office of the Courts

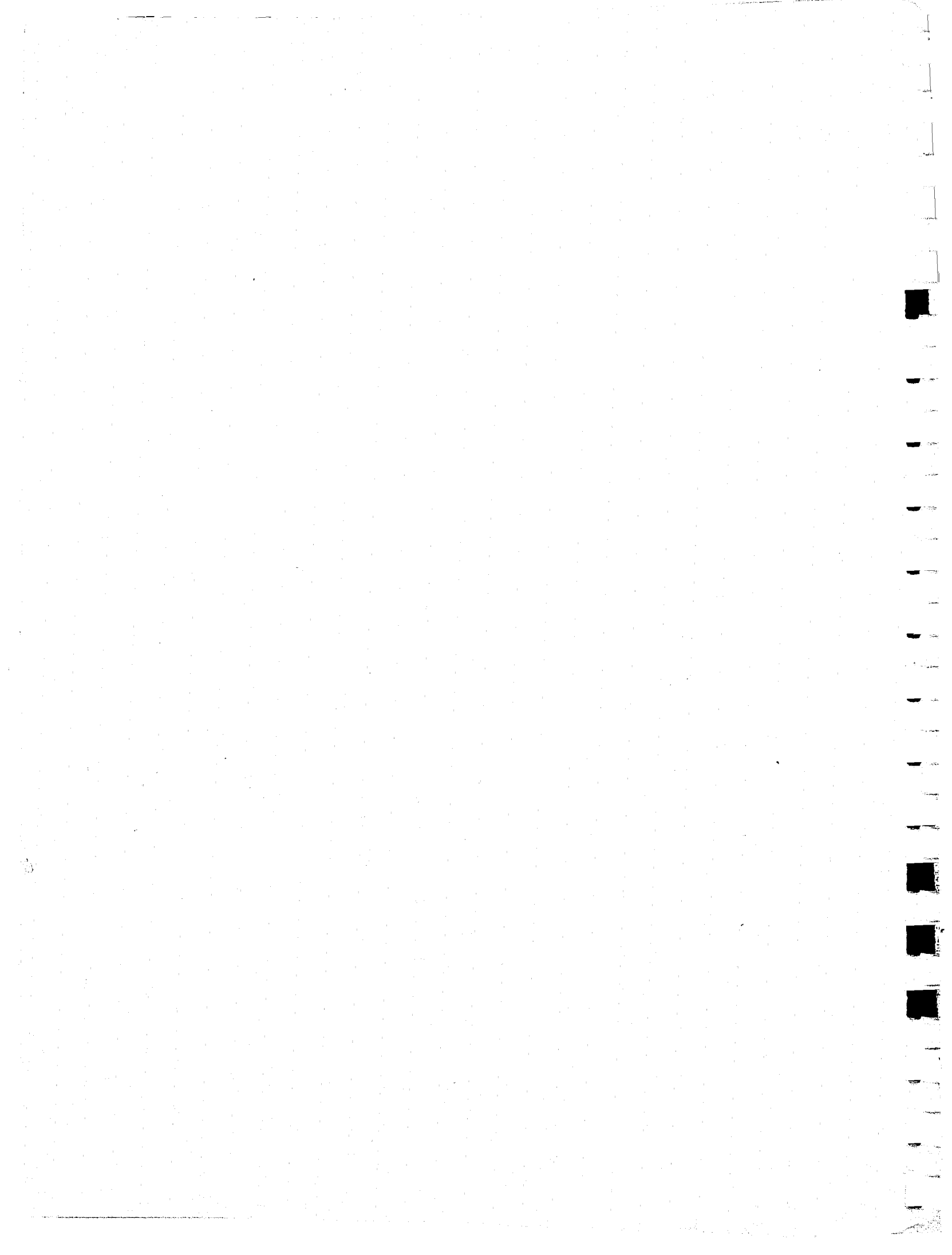
Final Report
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FOREWORD

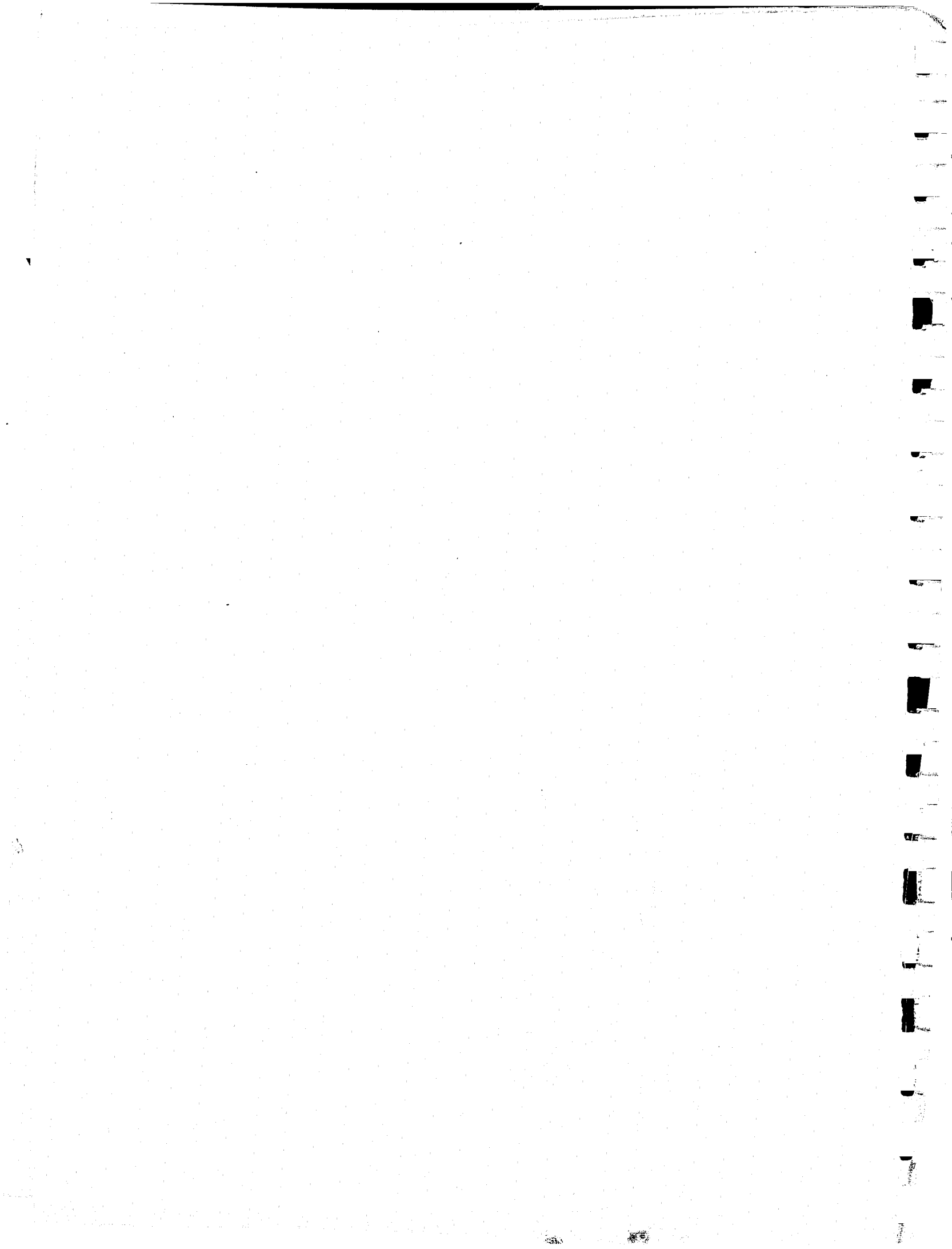
This report is Volume II of the final report and contains the conceptual designs of the Integrated Court Automated/Information System (ICAIS). Volume II is intended for use by court and data processing personnel who wish to utilize the ICAIS conceptual designs for detailed planning, design, and implementation of a court information system. Included in the volume is a general system description of ICAIS in Section II, an overview of the conceptual designs in Section III, and the ICAIS conceptual designs in the Appendix section of the report..

Volume I of the final report contains recommendations related to ICAIS implementation, and cost/benefit and implementation guidelines to assist courts in relating ICAIS to local requirements and planned implementation projects. Volume I also contains a general system description of ICAIS to aid those interested in obtaining a general overview of the project.

Additional background information is contained in prior project reports as follows:

• Phase I Report, Present Applications Analysis,
April 1972

- A comprehensive description of current clerical and administrative activities by function and case category. The description applies generally to the 14 courts which were studied in detail during the project, with unique characteristics for specific courts highlighted
- A summary of present clerical and administrative costs
- A description of the existing level of court use of automated techniques including a detailed description of applications in courts studied in detail and a statewide inventory of court automated applications



. Phase II Report, Potential Applications Analysis,
May 1972

- A definition of the information required by the courts to effectively process the flow of litigation
- An evaluation of the transferability of court EDP applications presently operational in California. In addition, applications provided by equipment vendors and court applications operational in other states were evaluated for their potential use by California courts.

During Phase III, two reports were published in draft form for review and comment by the 14 municipal and superior courts participating in the project. The two reports were:

- . Conceptual Design Criteria and Module Definition - June, 1972
- . Preliminary Conceptual Designs for an Integrated Court Automation/Information System - August 18, 1972.

These reports were distributed in draft form for review and comment by the 14 participating courts prior to publication in final form. Copies of the Phase I, Phase II, and both volumes of the Final Report are available from the Judicial Council of California upon request. These reports and the analysis of their contents were the basis for the ICAIS conceptual designs described in the following sections of this document.

While much of the information contained in this report resulted from the review and recommendations of the courts studied during the project, it should be noted that the opinions, findings and conclusions expressed in this publication are those of Arthur Young & Company and not necessarily those of the State of California or the Law Enforcement Assistance Administration.

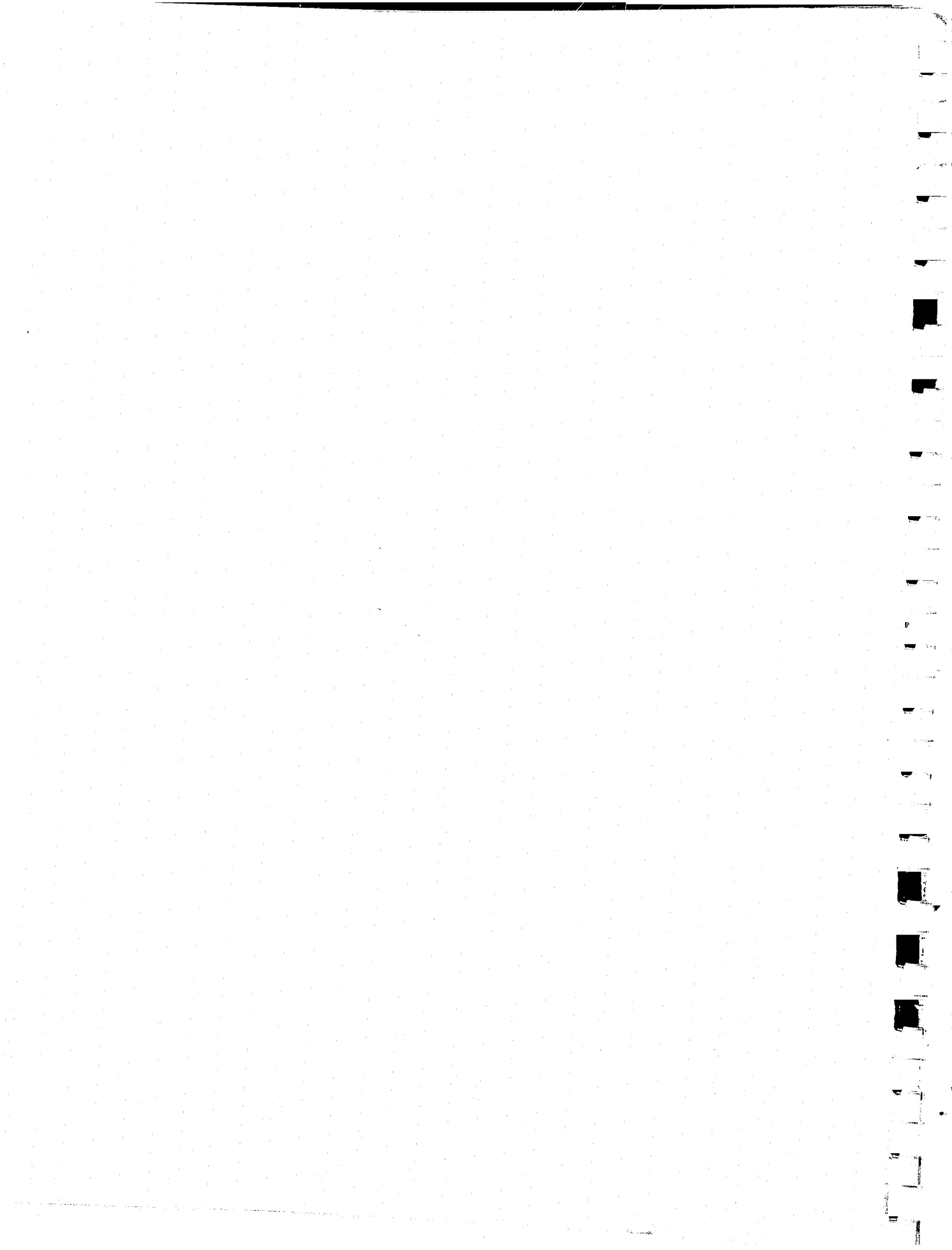
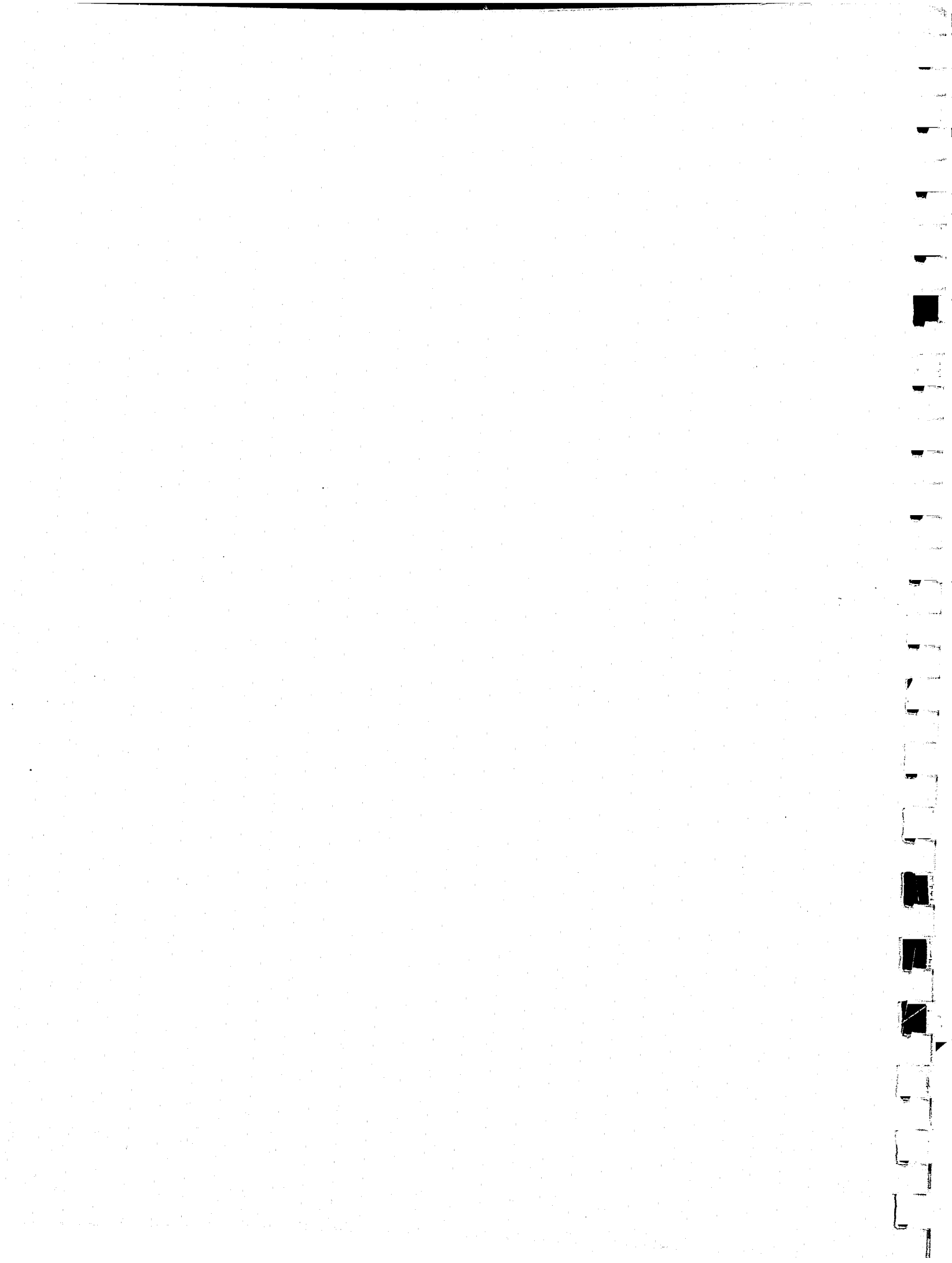


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3. Identification And Definition Of Modules	12
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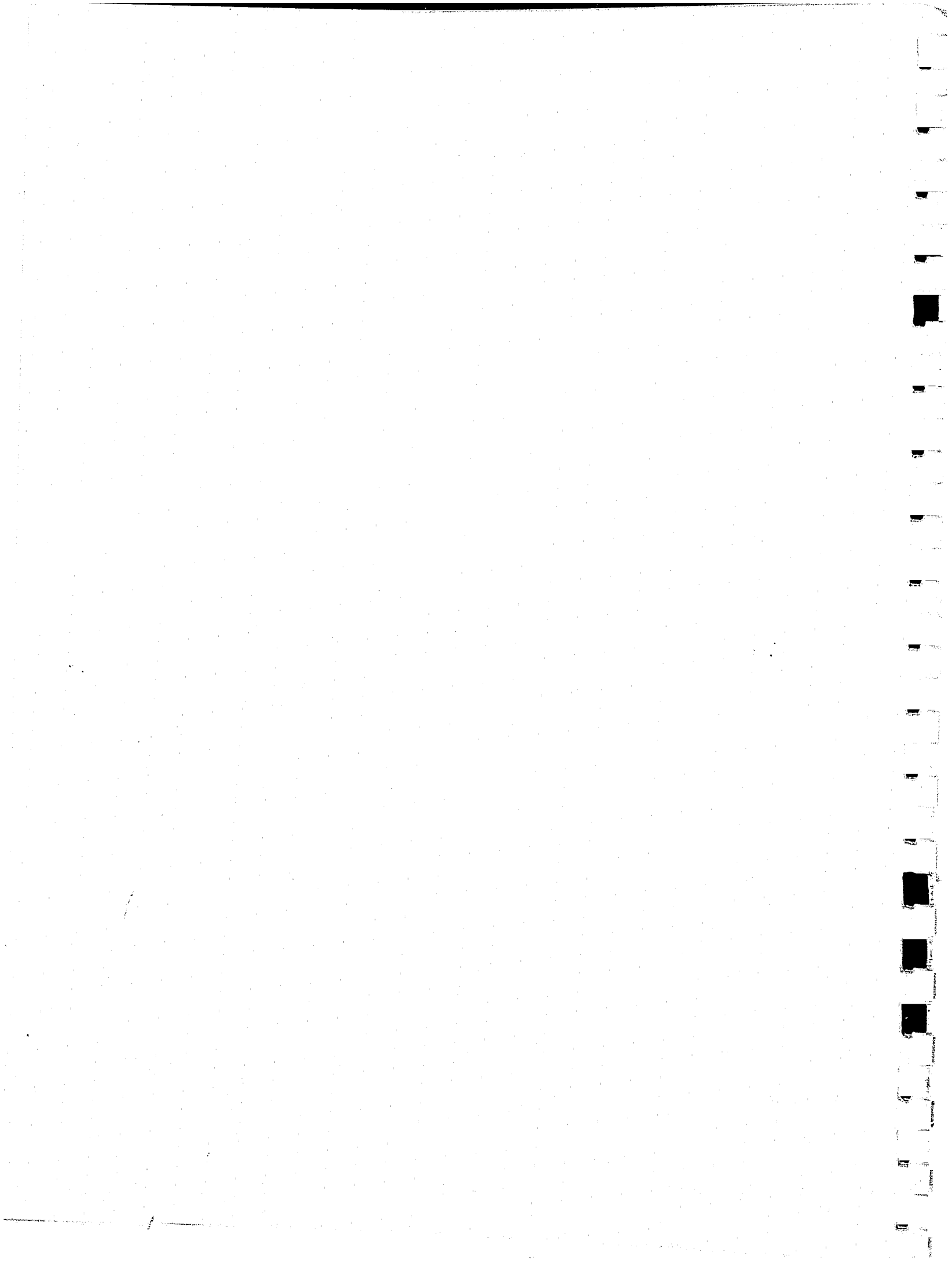
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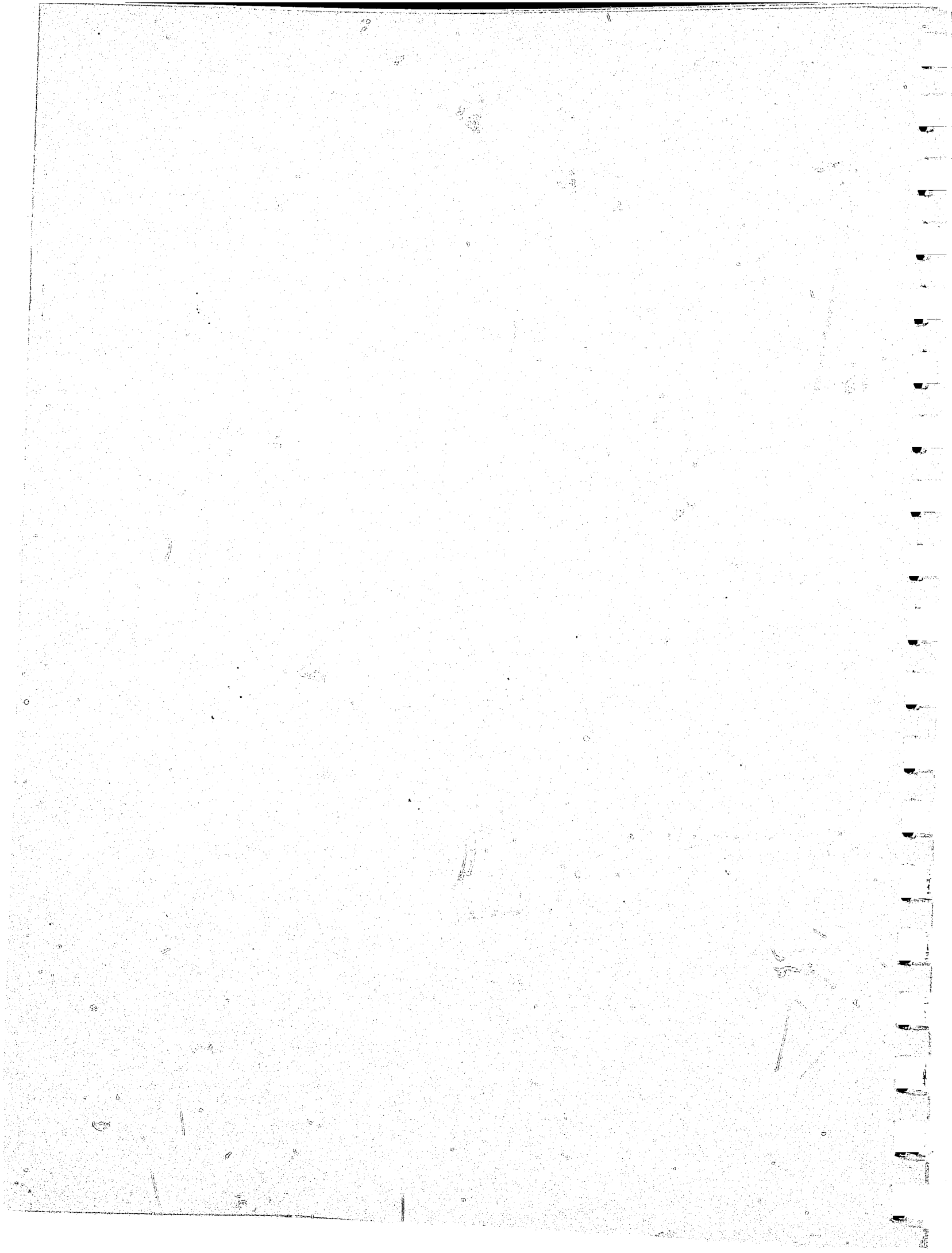


APPENDICES

- A Parking Citations/Case Following/Detailed Module Flow Charts
- B Other Citations/Case Following/Detailed Module Flow Charts
- C Criminal Complaint/Case Following/Detailed Module Flow Charts
- D Juvenile/Case Following/Detailed Module Flow Charts
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- I Jury Services/Detailed Module Flow Charts
- J Financial Accounting/Detailed Module Flow Charts
- K Statistical Reporting/Detailed Module Flow Charts
- L Document And Automated File Descriptions
- M Automated Files Data Element List
- N Sample Documents And Reports



I. GENERAL SYSTEM DESCRIPTION



I. GENERAL SYSTEM DESCRIPTION

The purpose of this section is to summarize the key features of the Integrated Court Automation/Information System (ICAIS). The system will be described under the following topics.

- . System Design Criteria
- . General Module Structure
- . Identification and Definition of Modules
- . Principal Design Characteristics

The design concepts for ICAIS were derived from a number of general design criteria. These criteria are discussed in the following portion of the report.

1. SYSTEM DESIGN CRITERIA

The criteria described in the following paragraphs constitute the foundation for the design of the modules by stating certain assumptions and by specifying design factors relating to the achievement of the goals of the project.

The overall goal of this project is to develop a plan for an Integrated Court Automation/Information System that will maximize the economical and effective use of automated techniques in the internal administration and control of the municipal and superior court operations in the 70's. To achieve this goal, the objectives and criteria to be met by the conceptual designs can be stated as follows:

- . Satisfy Fundamental Information Requirements

The conceptual designs must satisfy the fundamental information requirements of the courts. Portions of the statutes and Rules of Court specify the form and the timing constraints for many information requirements. The conceptual designs satisfy the intent of such specifications, but recommendations for change are made where important to achieve improved procedures. Although

the conceptual designs are predicated on the assumption that recommended changes in the statutes and Rules of Court will be adopted, they are designed to accommodate existing interpretation and policy.

Improve the Availability of Court Management Information Necessary to Expeditiously Process Cases

Increased court case load has led to actual or potential problems of excessive backlog and delay in the courts. The ICAIS conceptual design not only provides the means to more expeditiously process case related data, but also provides information for use by judiciary, administrators, and clerks in improving the court processes.

Develop Approaches to Provide for the More Efficient and Effective Utilization of Court Resources

The proper use of improved manual and automated concepts can result in more efficient and effective utilization of the clerical and administrative manpower within the courts. This will help provide the capability to handle expanding case loads within existing manpower levels or substantially suppress staff and expenditure increases when growth occurs. The ICAIS designs must be capable of handling volumes five to ten years hence.

Provide Information Services Necessary to Other Agencies and the Public Involved with Court Proceedings

The conceptual designs consider the need to provide services to other agencies and the public by improving the accessibility of information while maintaining the security and integrity of the data. In addition, the design concepts for highly automated court systems consider the present trend toward total criminal justice systems and the interaction of such systems. Although the total design of a criminal justice system was not within the scope of this project, the conceptual designs provide the proper means for the integration of ICAIS into a criminal justice system.

Address the Needs of the Broad Range of Court Size

Although the fundamental information requirements of the courts are similar regardless of size, the methods used to provide required information may differ. To the extent possible, design concepts apply to small courts as well as large courts. The conceptual designs and the implementation guidelines provide a direction for the development of methods to be employed in the future growth of the courts of various size.

Provide for the Development of Improved Work Methods on a Uniform and Orderly Basis, and Reduce the Duplication of EDP Development Efforts through the Mutual Interchange and Transference of Procedures

These are the underlying criteria for the development of modular conceptual designs. To satisfy these criteria, modules were designed to:

- be oriented to the need for information outputs or to clerical processes rather than oriented to existing types of court organizations or case categories, thereby providing a module design applicable to as many case categories as practical
- combine related processes or outputs which would be impractical to separate
- not be so large or encompassing as to hinder orderly development, implementation and adoption of changes, or to unnecessarily prevent use by small courts
- promote the use of efficient manual and automated procedures, particularly with respect to minimizing redundant data entry and processing
- optimize court work flow and resource utilization associated with the court's high volume case categories.

The design concepts of ICAIS were also developed in relation to the general modular structure described below.

2. GENERAL MODULE STRUCTURE

A modular approach was taken in developing the conceptual design for ICAIS. A module can be described as a group of clerical and administrative activities which are separable and which produce certain specific outputs. The modular approach allows for the implementation in small, medium or large courts of only those modules which are best suited to their particular needs. It also allows for the installation of the modules on an orderly basis one at a time or in groups over an extended period.

A conceptual illustration of the modular approach is shown on Exhibit I. The exhibit shows that the clerical and administrative activities can be analyzed and classified from three separate viewpoints.

- the clerical and administrative function
- the case category
- the level of automation.

Each of these factors has been studied and refined throughout the project so that the final conceptual designs of ICAIS can be oriented to a realistic and efficient interrelationship among the modules. The module factors used as a basis for the conceptual designs are defined in the following paragraphs.

(1) Clerical and Administrative Functions

The following clerical and administrative functions of the court fall within the scope of this project:

- Case Following
- Calendaring
- Jury Services
- Financial Accounting
- Statistical Reporting
- Internal Administrative Control.

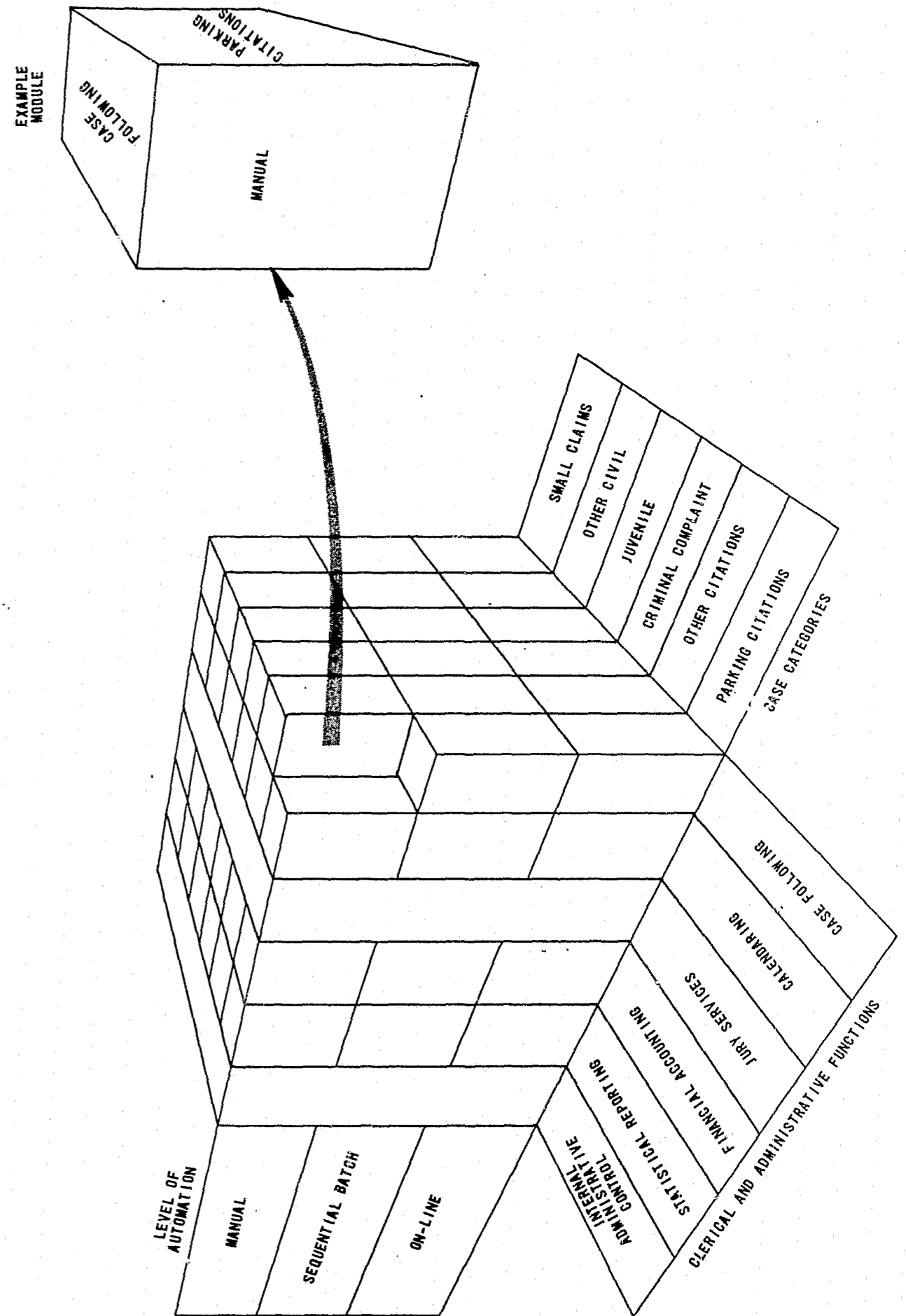
The functions are structured to correspond with the manner by which the courts typically organize their work activities, and in a manner which may facilitate their improvement and, where appropriate, their modular automation. The functions are defined briefly in the following discussion.

Case Following

The case following function includes all clerical activities that process, record, and disseminate information arising from court proceedings with respect to a particular case or defendant. It also includes the collection, storage and retrieval of documents filed with the court in support of litigation. Case following activities typically consist of the following:

- initiation and maintenance of case files
- initiation and maintenance of Registers of Action or dockets
- preparation of minute orders

CONCEPTUAL ILLUSTRATION OF MODULES
INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM



- maintenance of minute order files and Judgment Books
- issuance of court orders
- notification to interested parties of individual case related actions including Criminal Identification and Investigation (CII) and Federal Bureau of Investigation (FBI) reports and Department of Motor Vehicles (DMV) abstracts
- preparation of court indexes
- exhibit control
- response to inquiries.

Calendaring

The calendaring function consists of all the activities required of the court to bring litigants, other interested parties, and court resources together for the purpose of conducting the adjudication of a case. Specifically, calendaring activities include:

- the setting of appearance dates
- the notification of participants of the date, time, and place of appearance, excepting witnesses and jurors
- the assignment of departments to hear scheduled cases
- the preparation of court calendars for scheduled cases by date and department
- the preparation of reports to assist in performing the foregoing activities.

Jury Services

The jury services function includes those activities required to supply a sufficient number of qualified jurors to permit the court to conduct jury trials. These activities typically consist of:

- establishing a list of qualified jurors
- drawing and summoning jurors to appear
- providing the necessary number of jurors to a courtroom for a specific trial
- maintaining juror attendance records and statistics related specifically to jury services.

Financial Accounting

The financial accounting function consists of the collection of court revenues, maintenance of trust accounts, and the distribution of payments in accordance with law, particularly as specified in the California Government Accounting Manual and Government Code. These activities typically include:

- collection and distribution of revenues from service fees, fines, and forfeitures
- installment fine payment accounting
- cash bail and bond control
- authorization of disbursements from trust accounts
- payment of jurors, witnesses and court reporters.

Statistical Reporting

The statistical reporting function consists of those activities which result in the preparation of reports summarizing the activities of the court in relation to the processing of cases. These reports are prepared at the request of court management, the judiciary, or outside agencies. Statistical reporting includes the preparation of:

- Judicial Council reports on filings and dispositions, condition of calendar, and judicial assistance
- historical case load statistics necessary for internal resource planning, evaluation, and development of master department schedules
- statistical reports for the evaluation and development of court procedures and local court rules
- special reports requested by the judiciary.

Internal Administrative Control

This function consists of those administrative activities which monitor and control internal court resources. Specifically, these activities include:

- annual budgeting and control
- personnel and attendance records
- operational expenditure and encumbrance accounting (as opposed to the financial accounting of court revenues)
- forms inventory control
- physical inventory control.

Each clerical and administrative function will be performed in a varying manner depending upon case categories which are defined in the following paragraphs.

(2) Case Categories

At the outset of this project case categories were defined in a manner similar to the breakdown utilized by the Judicial Council for statistical reports. These categories by municipal and superior court were as follows:

Municipal Court Case Categories

- Parking
- Non-parking Traffic
- Misdemeanors
- Felony Preliminaries
- Civil
- Small Claims

Superior Court Case Categories

- Criminal
- Juvenile Traffic
- Juvenile
- Mental Health
- Probate
- Appeals
- Family Law
- Other Civil

Clerical and administrative functions were studied and analyzed for each of the above case categories. As a result of the analysis, case categories were combined where similarities or direct relationships existed from an information or procedural point of view. These combined categories provide for identical conceptual designs for municipal and superior courts for both civil and criminal complaint case categories. Although the designs are identical, they could be implemented separately for each court. When combined, the identity of specific case type and status of litigation by court will be retained in the system by assigning code design-

nations. The following case categories were used for the development of conceptual designs:

- . Parking Citations
This case category encompasses the processing of parking citations which are disposed of by bail forfeiture or at arraignment. If contested, further citation processing is conducted as a criminal complaint case category.
- . Other Citations
Moving traffic and minor misdemeanor citations which are disposed of by bail forfeiture, at arraignment, or at juvenile traffic hearings are included within this case category. Cases requiring court or jury trials after arraignment are reclassified to the criminal complaint case category.
- . Criminal Complaint
This case category includes the processing of all selected traffic, non-cited misdemeanor filings, felony preliminary, felony, and other types of cases resulting from a complaint or Grand Jury indictment. Also included are criminal appeals from the lower court to the superior court appellate department.
- . Juvenile
Juvenile dependency and delinquency processing is included in this case category.
- . Other Civil
The civil case category encompasses the processing of municipal and superior civil cases, family law, mental health, criminal insanity, probate, small claims trial de novo, adoptions, and other civil oriented case proceedings. Also included are civil appeals from the lower court to the superior court appellate department.
- . Small Claims
Processing of small claims cases in municipal court is covered under this category.

(3) Level of Automation

Depending upon numerous factors including the volume of filings and the availability of automated equipment, clerical

functions may be conducted with the assistance of automated techniques. For design purposes we have classified the extent of automated assistance into the following three major levels of automation:

- . Manual Level (No Automation)
All procedures are performed manually unassisted by punched card, or computer techniques.
- . Sequential Batch Level
System concepts designed for this level of automation utilize punched card and computer applications oriented to magnetic tape, card, or disk files with data organized sequentially.
- . On-line Level
On-line system concepts expand the computer processing techniques to include the storage of information on random magnetic card or disk file devices organized for the direct retrieval of data via on-line terminals.

It should be emphasized that the clear distinction between levels of automation, as described above, is for conceptual design purposes. Detailed automated system design must be performed by each court taking into account the specific type of EDP equipment available. A court may utilize modules simultaneously at more than one level of automation depending upon the local environment and needs of the court. Design concepts utilizing automation, as described in the appendices of this report, include the definition of related manual procedures. These procedures have been designed to the extent possible, to minimize change as automated modules are implemented.

Microfilming techniques are incorporated in the sequential batch and on-line conceptual designs. However, this does not preclude their use in the manual modules. Similarly, random access data files are described as being related to the on-line level of automation since the prime benefit of random access is to accommodate direct access to stored information through on-line terminals. However, a court anticipating a

future need for on-line terminals should utilize random access files in the sequential batch design concepts. Considerations such as these are more fully addressed in Section III of Volume I of the final report, Implementation Guidelines.

Exhibit II illustrates the information flow in ICAIS for the sequential batch and on-line levels of automation.

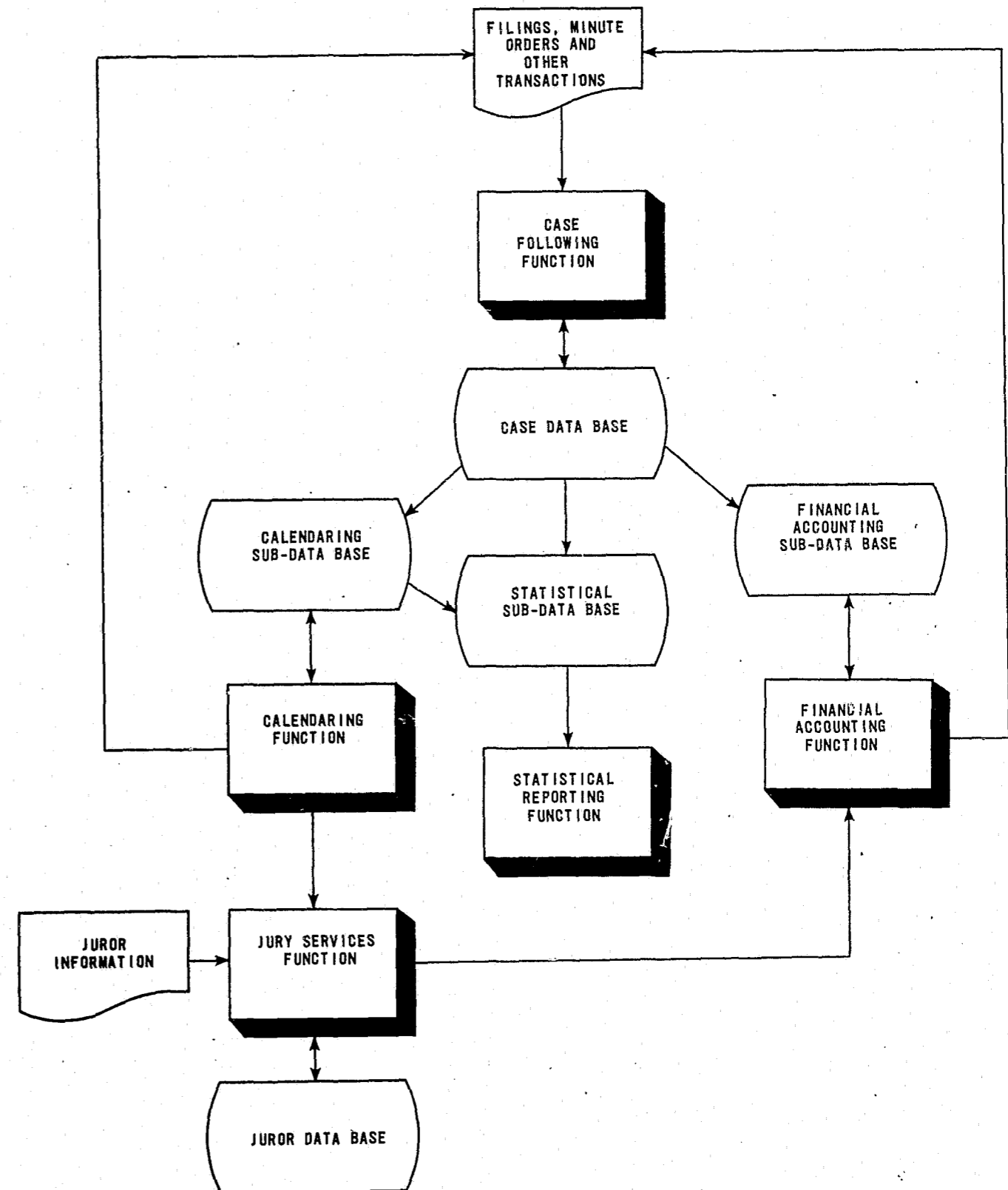
The case following function will serve as the focal point of ICAIS. Case related information regarding case description and parties involved, the dates and nature of various actions that take place in processing the case, and the description of the final disposition will enter ICAIS via the case following function. For the sequential batch and on-line levels of automation, this case related record will be stored on a computer master file (called the Case Data Base) used in the case following function. The information in the Case Data Base can then be transmitted by means of the computer to "sub-data bases" utilized by the calendaring, statistical reporting, and financial accounting functions. Information for the Juror Data Base, which is juror related rather than case related, will come from other sources.

Information from the calendaring function will be provided to jury services in the form of jury trial calendars for use in determining the number of prospective jurors to call. Trial setting dates from the calendaring function will also be utilized in the statistical reporting function to prepare the Judicial Council statistical reports.

Juror fee and mileage payment data will be supplied to the financial accounting function by the juror services function for juror payment.

The Case Data Base will actually be made up of four case following master files and associated indexes. The master files employed in ICAIS will encompass the following case categories:

INFORMATION FLOW FOR SEQUENTIAL BATCH AND ON-LINE LEVELS OF AUTOMATION INTEGRATED COURT AUTOMATION/INFORMATION SYSTEM



Case Following
Master File

Applicable
Case Categories

Citation	{ Parking Citations Other Citations
Criminal	Criminal Complaint
Civil	Other Civil
Juvenile	Juvenile

A cross reference index file will be employed in the processing of small claims cases since the clerical and administrative activities are of a relatively minor nature dealing generally only with filing and disposition statistics and calendaring of the court appearance.

The four master files making up the Case Data Base will include a number of different types of information called "data elements." These data elements are listed in detail in Appendix M of this report. Examples of the types of data elements that will be included in the Case Data Base, the Juror Data Base and the sub-data bases are listed below.

- . Person and Case Identifiers
 - Person Identification and Location
 - Person Descriptors
 - Attorney Descriptors
 - Case Identifiers
 - Case Type
- . Case Characteristics
 - Filing Date
 - Charge/Violation Descriptors
 - Warrant Descriptors
 - Amount of Claim
- . Case History/Status
 - Prior Traffic Violations
 - Case Activity to Date
 - Next Action Set
 - Custody Status/Location
- . Case Disposition Description
- . Exhibit Identification

- Juror Service Description
 - Juror Descriptors
 - Service Descriptors
- Accounting Data

Information will be entered into the Case Data Base as the case progresses through the various stages of processing. Initial entry of the data setting up the case record, and removal of the data from the Case Data Base will take place at different points in the process depending on the case category. Exhibit III, following this page, summarizes the data base retention criteria for each case category. It should be noted that removal of the case records from the Case Data Base would normally be done to a hard copy record for retention and additional processing on a manual basis.

The next portion of the report identifies the specific modules designed.

3. DEFINITION AND IDENTIFICATION OF MODULES

The modules comprising ICAIS are identified in Exhibit IV, following Exhibit III. The modules are listed in matrix form by clerical and administrative function and case category. The identification code for each module has a unique number and a direct reference to the detailed module flow charts contained in the appendix to Volume II of this report as follows:

A S - 1 - 021

- A unique module number. This number will be the same for situations where the same module may be used for more than one case category (e.g., exhibit control).
- A number code indicating the initial appendix page number of the module.
- A letter code indicating the degree of automation as manual (M), sequential batch (S), or on-line (O).
- A letter code indicating the appendix section of Volume II containing the flow charts.

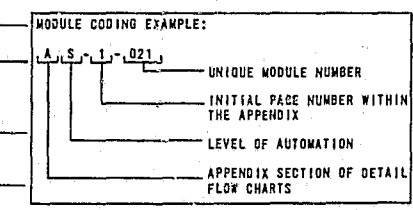
RECORD RETENTION CRITERIA
ON-LINE AND SEQUENTIAL BATCH CASE DATA BASES

CASE CATEGORY	POINT IN PROCESS WHEN RECORD IS:	
	ENTERED	REMOVED*
Parking Citations Other Citations	<ul style="list-style-type: none"> • Citation 	<ul style="list-style-type: none"> • Disposed Cases - in the monthly purging cycle subsequent to disposition • Not Guilty Pleas - transferred to the Criminal Complaint module group upon entry of plea • Warrants - retained for pre-determined time period (i.e., until dismissed for lack of prosecution) if not served, or transferred to the Criminal Complaint module group and removed from the Parking and Other Citation module group upon arrest
Criminal Complaint	<ul style="list-style-type: none"> • Bail Slip or Bail Bond (interim until complaint is issued) • Complaint** • Grand Jury Indictment • Not Guilty Plea on a Citation 	<ul style="list-style-type: none"> • Fugitive Cases - annually transferred to manual control • Disposed Cases - in the monthly purging cycle subsequent to disposition upon expiration of appeal period
Juvenile	<ul style="list-style-type: none"> • Initial Petition 	<ul style="list-style-type: none"> • Dismissal from Jurisdiction of Court - five years subsequent to the entry of dismissal order • All Other Instances - subsequent to the juvenile reaching 18 years of age and no active petitions
Other Civil	<ul style="list-style-type: none"> • Initiating Document 	<ul style="list-style-type: none"> • Disposed Cases*** - master records purged upon expiration of appeal period and purge control records retained until document destruction is permitted
Small Claims	<ul style="list-style-type: none"> • Plaintiff's Statement 	<ul style="list-style-type: none"> • All Cases - expiration of a minimum pre-determined period or subsequent to the printing of the annual index, whichever occurs last

* Index data are retained until master records are purged or printing of the annual index is performed, whichever occurs last
 ** Except complaints issued for FTA or FTP citations. In this instance the case is entered in the Criminal Complaint data base upon arrest.
 *** Includes cases settled out of court whose settlement is reported, and cases dismissed under Sections 581 and 583 C.C.P.

IDENTIFICATION OF MODULES
MODULE NUMBER AND APPENDIX LOCATION

CLERICAL AND ADMINISTRATIVE FUNCTION	MODULE TITLE	CASE CATEGORY					
		PARKING CITATIONS	OTHER CITATIONS	CRIMINAL COMPLAINT	JUVENILE	OTHER CIVIL	SMALL CLAIMS
CASE FOLLOWING	INTAKE AND FILE MAINTENANCE	AM-1-011 AS-1-021	BW-1-011 BS-1-021 BO-1-031	CM-1-012 CS-1-022 CO-1-032	DM-1-013 DS-1-023 DO-1-033	EM-1-014 ES-1-024 EO-1-034	FM-1-015 FS-1-025
	RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	AM-3-041 AS-5-051	BW-6-041 BS-7-051 BO-7-061	CM-9-042 CS-11-052 CO-11-062	DM-4-042 DS-6-052 DO-6-062	EM-6-043 ES-7-053 EO-7-063	FM-6-044 FS-7-054
	CROSS REFERENCE	AM-10-071 AS-9-081	BW-7-071 BS-12-081 BO-12-091	CM-14-071 CS-17-081 CO-17-091	DM-5-071 DS-9-081 DO-9-091	EM-8-072 ES-8-082 EO-8-092	FM-10-072 FS-9-082
	NOTIFICATION OF COURT ACTIONS	AM-9-101 AS-8-111	BW-13-101 BS-14-111 BO-14-121	CM-15-101 CS-18-111 CO-18-121	DM-7-101 DS-10-111 DO-10-121	EM-9-102 ES-9-112 EO-9-122	FM-7-103 FS-9-113
	AGING AND PURGING	AM-4-131 AS-6-141	BW-10-131 BS-13-141 BO-13-151	CM-17-132 CS-20-142 CO-20-152	DM-8-134 DS-11-144 DO-11-154	EM-10-135 ES-10-145 EO-10-155	FM-8-136 FS-10-146
	VEHICLE REGISTRATION DATA RETRIEVAL	AM-8-161 AS-7-171					
	STATEWIDE DRIVER HISTORY RETRIEVAL		BW-8-181 BS-5-191 BO-5-201	CM-13-182 CS-15-192 CO-15-202			
	JUVENILE CITATION PROCESSING		BW-3-211 BS-9-221 BO-9-231				
	BAIL SCHEDULE MAINTENANCE		BW-15-241 BS-15-251 BO-15-261				
	STATEWIDE CRIMINAL HISTORY RETRIEVAL			CM-12-271 CS-18-281 CO-18-291			
	EXHIBIT CONTROL			CM-16-301 CS-18-321 CO-18-331	DM-10-301 DS-13-321 DO-13-331	EM-13-301 ES-11-321 EO-11-331	
	CALENDARING	APPEARANCE SCHEDULING		HM-1-401 HS-1-402 HO-1-403			
		NOTIFICATION OF COURT APPEARANCES		HM-5-411 HS-5-412 HO-5-413			
CALENDAR PREPARATION			HM-6-421 HS-6-422 HO-6-423				
DEPARTMENT ASSIGNMENT			HM-8-431 HS-8-432 HO-8-433				
JURY SERVICES	JUROR SELECTION		JM-1-501 JS-1-502				
	JUROR QUALIFICATION		JM-2-511 JS-3-512				
	JUROR SUMMONS		JM-3-521 JS-4-522				
	JUROR ASSIGNMENT AND SERVICE RECORD		JM-4-531 JS-7-532				
	JUROR USAGE STATISTICS		JM-6-541 JS-8-542				
FINANCIAL ACCOUNTING	ACCOUNTING FOR FINES, SERVICE FEES, AND FORFEITURES		JM-1-601 JS-1-602 JO-1-603				
	ACCOUNTS RECEIVABLE		JM-2-611 JS-2-612 JO-2-613				
	BAIL, BOND AND TRUST ACCOUNTING		JM-4-621 JS-4-622 JO-4-623				
	DISBURSEMENTS		JM-6-631 JS-6-632 JO-6-633				
	STATISTICAL REPORTING TO OUTSIDE AGENCIES		KM-1-701 KS-1-702				
	INTERNAL STATISTICAL REPORTING		KM-2-711 KS-2-712				
INTERNAL ADMINISTRATIVE CONTROL	BUDGET PLAN						
	DISBURSEMENTS AND ACCOUNTING						
	PERSONNEL SYSTEM						
	PHYSICAL INVENTORY						
	FORMS INVENTORY						
PURCHASING							



NOTE:
THE INTERNAL ADMINISTRATIVE CONTROL MODULES ARE NOT DESIGNATED BY AN IDENTIFICATION CODE. SUMMARY CONCEPTS OF THE INTERNAL ADMINISTRATIVE CONTROL MODULES ARE CONTAINED IN SECTION 11 OF THIS REPORT.

The above example is the "intake and file maintenance" module that may be used for both the "parking citations" and "other citations" case category and designed for the "sequential batch" degree of automation. The detail flow charts for this module start on page 1 of the sequential batch section of Appendix A for the "parking citations" category and page 1 of the sequential batch section of Appendix B for the "other citation" case category.

As shown in the exhibit, only the case following function modules differ by case category. The calendaring, jury services, financial accounting, and statistical reporting modules were designed for all case categories. Summary concepts of the internal administrative control modules are contained in Section II of this report. Internal administrative control modules were not designed in detail since this function is heavily dependent upon local county-wide administrative procedures.

The appendices of this report contains a complete set of flow charts for the module groups. The appendix is organized to group modules for the same case category and level of automation together. The same module (e.g., exhibit control) is repeated in each applicable portion of the appendix to maintain continuity.

4. PRINCIPAL DESIGN CHARACTERISTICS

The design concepts of ICAIS have certain key characteristics that evolved from observations during the data collection phase of the project, from analysis of methods to satisfy court information needs, and from extensive review meetings and interviews with court personnel during the course of the project.

For the purposes of system definition and discussion, the key characteristics are described under the following headings:

- . Court Organization
- . Support of the Judicial Function
- . Information Interchange with Outside Agencies
- . Recordkeeping and Controls
- . Utilization of Court Resources.

In the following paragraphs, the specific design characteristics, their justification, and their scope in terms of applicable case categories and degree of automation are described.

(1) Court Organization

Under this heading, design characteristics which relate to organizational matters within the courts are discussed.

Uniform Design for the Processing of Municipal and Superior Court Cases

The design of the modules for all levels of automation specify:

- one system design to encompass the civil case processing in both the municipal and superior courts
- one system design to service the criminal case category in the superior court, and all criminal matters in the municipal court resulting in a criminal complaint (or acceptable substitute)
- one system design to service parking, traffic and misdemeanor citations disposed of by bail forfeiture or upon initial court appearance.

This uniformity will be accomplished through:

- Recognition that two levels of recordkeeping and control are required. For instance, a misdemeanor citation, or any other violation that is unlikely to go on appeal or require extensive litigation, can be processed for expedience (e.g., handwritten docket entries, no individual case folders, etc.), while the more serious matters should utilize stringent recording and recordkeeping techniques which are consistent for both municipal and superior courts.
- Standardization of forms and certain clerical procedures, particularly those affecting automated data entry
- Flexibility in the design of the automated system to handle the unique processing requirements of either court which do not lend themselves to standardization (e.g., lower court pre-trial release processing, notifications requirements unique to each court, etc.)
- Changes to, and extensions in the coverage of, statutes affecting the definition of required

court records, length of storage, and acceptable substitutes for original copies of documents.

Uniform design and integrated processing will minimize duplication of systems and will reduce the cost of systems development and maintenance. In addition, the cost of operating fewer automated systems will, in all likelihood, be less than operating individual systems, particularly with respect to on-line applications.

Court Responsibility for Intake and Control of Court-Related Data

A key characteristic of ICAIS is that the court retains responsibility for administration and control of its case-related information stored in the automated data bases. This will be accomplished by:

- Assigning court management the responsibility and authority for the personnel performing data intake and key entry activities
- Implementing procedures assuring adequate screening and control of incoming and court-generated documents
- The design of court data bases whose content, accessibility, and utilization are administered by the court.

Personnel performing data intake and key entry should be well acquainted with court clerical procedures and policies, and should be directed by court supervisory personnel. This would assure the requisite high quality of data entered in the computer; and would provide appropriate security for certain types of cases and/or documents (e.g., adoptions and juvenile cases, probation reports, etc.)

The design of the data entry procedures for the sequential batch and on-line versions of ICAIS specify centralized controls and key data entry activities performed by court personnel in their clerical area. All incoming documents will be reviewed by a controls clerk. In addition, the controls clerk will review, verify, and code court-generated documents, principally minute orders. Snapout copies of documents requiring fairly extensive data entry will be forwarded to court data entry personnel. Miscellaneous entries will be forwarded on transmittal forms prepared by the controls clerk.

The controls clerk will screen data entering to minimize the likelihood of bad data input, and assure that all necessary data is properly routed to the key entry

staff. By performing key data entry near its source using trained personnel knowledgeable in court procedures and nomenclature, the control over data entered in the automated system and its quality will be enhanced. Court personnel will be more discriminating in interpreting the various types of data input they will encounter since they can more readily resolve questions as they arise.

Once the data is entered in the computer, it will be retained in court-administered data bases which will be separate from, but coordinated with, specialized data bases maintained principally for other criminal justice agencies. This approach will:

- provide the court with control over the accuracy, accessibility and retention period of the data
- provide for orderly steps in the implementation of a criminal justice system
- reduce the complexity of data base management

This concept of a separable data base takes cognizance of practical considerations with respect to questions of data base control, information security, and the varying requirements for data organization, content, accessibility and longevity in the system.

Centralized Screening of Documents Filed with the Court

In the ICAIS design, the court will initially accept any submitted document meeting the requirements of Rule 201. Under the criminal complaint group of modules, no documents will be accepted by the court prior to the filing of a complaint or indictment except pre-arraignment release documents. Subsequent to submittal, the same controls clerk who is responsible for the screening of court-generated documents will review the submitted documents to determine their appropriateness as to timing and the necessity of court-initiated action (e.g., request for a clerk's default judgment). Acceptable documents will then be file stamped and entered in the automated system and/or document files. Depending on local policy, the court may:

- file the documents not meeting the requirements
- return the unacceptable documents to the submitter
- inform the submitter that his documents are unacceptable.

This procedure takes cognizance of the court's legal and ethical responsibility with respect to document review, but does not burden the court with time consuming and unnecessary screening procedures that are the responsibility of others. The centralized controls activity specified in the design makes more efficient use of court staff time and reduces delays caused by screening at the counter.

Centralized Financial Collections Activity

The collection of installment accounts of court-imposed fines (or other payments) and the collection of fines, service fees and bail forfeitures is often diffused among several agencies, including the county clerk, probation office and the courts. Accordingly, these agencies maintain similar financial accounting activities which are duplicative in nature. The recommended ICAIS design will facilitate the establishment of a countywide collections agency for receivables and administrative centralization of (1) one-time payments for fines, service fees and forfeitures, (2) bail, bond and trust accounting, and (3) disbursements.

This concept has been successfully implemented in several counties including San Diego and Alameda Counties. The benefits achieved will include better financial control, higher rate of collections, reduced operating personnel requirements, and reduced systems development costs.

(2) System Facilities Directly Supporting the Judicial Function

In this group, the design characteristics that provide information supporting the adjudicative process are described.

Acquisition of Criminal History in Felony and Serious Misdemeanor Cases

Statewide criminal history is of interest to the arresting agency, prosecuting attorney, probation office and the courts. The judiciary needs a clear and concise synopsis of the defendant's prior convictions, outstanding warrants, pending cases and current conditions of parole or probation in order to set bail, determine the merit of "own recognizance" release or reduction of charges, and to properly impose sentence.

The prosecuting attorney will be the responsible party for the timely retrieval of statewide criminal history

utilizing law enforcement staff, files and/or communications facilities.

Acquisition of Statewide Driver History and Calculation of Graduated Bail

Driver histories will be retrieved in the other citations and criminal complaint groups of modules by either teletype or off-line telecommunications facility for adults and juveniles charged with moving traffic violations (in courts utilizing manual processes, this retrieval would be limited to "selected" traffic violations and the more serious non-selected violations). This information will be utilized:

- at the courts option, to compute graduated bail based upon prior convictions
- to determine the need for a mandatory court appearance based upon an analysis of prior convictions, driver's license status and outstanding failures to appear or pay fine
- to assist the judiciary in sentencing of persons appearing for a mandatory or voluntary court appearance
- to identify outstanding FTA or FTP warrants from other courts.

Statewide driver history and graduated bail computation equitably focus the court's attention on the driver who has demonstrated repeated disrespect for traffic laws and provides a more equitable basis of penalties.

Provision of Case Setting History

For selected court appearances in the civil and criminal complaint groups of modules, a summary of prior and future calendar settings made in the case, the reason for the setting, the requesting party and the outcome will be made available to the judiciary.

This information is intended to assist the judiciary in implementing a calendar management policy leading to reduced court congestion, particularly with respect to priority settings and continuances.

(3) Information Interchange with Outside Agencies

In this group, the design characteristics which relate to the method of information interchange between the courts and others are defined.

Provision of Machine-Readable Media to the Department of Motor Vehicles and the Department of Justice

The sequential batch and on-line versions of ICAIS provide for the use of machine-readable media, preferably magnetic tape, for situations when the courts furnish large volumes of case-related data to state agencies for the purpose of updating their automated files. Specifically, the design provides that Department of Motor Vehicles abstracts and Bureau of Identification arrest disposition data be forwarded to these agencies on magnetic tape through the mails. In addition, the modules will generate district attorney filing statistics for the Bureau of Criminal Statistics since this information is readily available in the Case Data Base.

A primary objective of providing data in machine-readable form is to assist state agencies in the processing of court information. Recognizing that there are instances where state agencies require printed information, ICAIS modules are designed to optionally provide data in hard copy form.

Provision of Data From the Department of Motor Vehicles

The ICAIS design specifies that the request and retrieval of driver history data from the Department of Motor Vehicles be accomplished for persons charged with moving traffic violations using a magnetic tape transmission facility and/or teletype. For the automated groups of modules, most requests will be generated automatically as a function of the citation master file update activity. In instances of retrieval exceptions or when immediate response is required, the teletype facility will be utilized. The manual group of modules will retrieve driver history data via teletype on selected and other serious traffic violations only.

The ICAIS design assumes, but is not dependent upon the provision of vehicle registration data from the Department of Motor Vehicles on magnetic tape. This media will preclude the use of punched cards or lists and is therefore less susceptible to errors resulting from the mishandling (e.g., through loss or mutilation) of punched cards or the key entry of data from lists.

(4) Recordkeeping and Controls

In this group, the design characteristics are defined that affect the method of recording court proceedings and the storage and retrieval of case-related documents and automated records.

Assignment of Meaningful Case Numbers

Cases will be controlled by unique identifying numbers assigned on the following basis:

- In parking and other citations modules, the citation number (and issuing agency code if required to insure uniqueness) will control the case until it proceeds past arraignment.
- In juvenile modules, a court-assigned case number will be allocated to each minor.
- In all other groups of modules, including cases initiated by the filing of a citation but proceeding past arraignment, a court-assigned number will be allocated to each case.

The case number to be assigned consists of three parts:

- Case Category Code

The case category code will be assigned by the court of original jurisdiction. It will indicate the case type at filing. The final disposition code will be matched against the original filing code to identify reclassification of cases.

- Case Serial Number

A serial number, consisting of the filing year, court/branch code and a unique sequence number will be assigned to each case filed with the court. This number will be assigned permanently at the time of initial filing. As such, the court/branch code would be assigned once by the court of original jurisdiction.

- Plaintiff, Defendant and/or Parcel Identification Number

In cases involving multiple plaintiffs or defendants, and in eminent domain cases involving multiple parcels, there is a need to identify court actions and submitted documents associated with particular parties to the action. This will be accomplished by assigning to each plaintiff, defendant or parcel at case initiation time a unique two digit identification number, while in civil cases, each plaintiff and defendant (or parcel) is provided a number. When a particular court action (e.g., disposition) or submitted document affects only particular parties, the applicable identification numbers must be encoded to complete the case number. Otherwise, identification numbers will be omitted and the entered data will apply to all parties to the action.

The case number may be assigned centrally in criminal matters and utilized by the other criminal justice agencies as their case identifying number if they so desire. The

use of a single case number for all agencies from complaint filing time onward would be highly desirable in counties with integrated criminal justice systems. However, ICAIS provides a numerical cross-referencing capability so that criminal cases can be located when the other agency's case numbers are known.

While the recommended case number provides the means of uniquely identifying case records both manually and in the computer for case following purposes the following additional data elements are required for external reporting purposes in order to properly classify and analyze the filings:

- date of filing
- code of county with current jurisdiction
- code of court with current jurisdiction
- total number of defendants or parcels
- total number of plaintiffs.

Automated Transfer of Citation-Initiated "Not Guilty" and "Warrant Arrest" Cases in the Verified Complaints Group

The verified complaints group will take cognizance of cases initiated by citation after a not guilty plea is entered or when a person is arrested on a warrant for failure to appear or pay fine. In these instances, the original citation will be cleared from the other citations group and will be transferred to the criminal complaint group. For Judicial Council statistical reporting purposes, this process will be treated as a single filing.

In the on-line and sequential modules, when a not guilty plea is entered, the corresponding automated citation record will be closed and copied onto the not guilty interface file for automatic transfer onto the criminal master file.

When a warrant for failure to appear or pay fine is issued, the automated other citation group will retain cognizance of the case for a predetermined time span or until the defendant is arrested. Up until his arrest, the defendant may dispose of his citation in the other citations group. If his automated records are still active (i.e., not closed and purged due to their exceeding the predetermined time span), a regular disposition will be entered. If his automated records are purged from active status, the citation data will be re-entered along with the disposition. If the defendant is arrested on the warrant, the automated citation records will be closed and automatically transferred from the automated other citations group on the not guilty interface file

if still active; otherwise, the case will be initiated by manual data entries.

Microfilm Substitutes for Register of Actions and Judgment Book

The automated modules will provide for the widespread use of microfilm to reduce the number of document files maintained and accessed by clerical personnel.

Microfilming will produce three common types of output media:

- Rolls or Cassettes in which the documents are filmed and retrieved sequentially on spools
- Microjacket in which the individual microfilm frames are inserted into a card carrier
- Microfiche in which the microjacket is "photographed" thereby becoming a permanent card which cannot be supplemented.

In all systems, microfilming will be utilized as soon as permissible to facilitate purging of hard copy case files and as a substitute for large computer-produced reports that have an extended life.

Microfilm will also be utilized as a substitute for the traditional Register of Actions and Judgment Book. The procedure will operate in the following manner:

Virtually all documents will be microfilmed after passing through the controls activity. The resultant film will be placed in a microjacket and filed by case number. The microjacket then will serve as the Register of Actions, and together with case status data generally available either on-line or on printed reports, provide sufficient backup to the case folder and serve as a reference for answering most inquiries. The Judgment Book will also be microfilmed in lieu of hard copy and provide a means of locating misfiled judgments.

The use of microfilming in this manner will eliminate much of the clerical effort required to maintain the traditional Register of Actions and Judgment Book; it will improve case file control and backup; it will facilitate case file purging at the earliest possible time; and, reduce document and file maintenance requirements. Microfilming can be performed on a regular schedule to meet or exceed existing maintenance cycles of the Register of Actions or Judgment Book in most courts.

Automated Case Monitoring and Notification

In the design, the automated groups of modules will take cognizance of cases at filing time and monitor their progress until purged. Notifications of scheduled appearances and of court action will be automatically prepared at the proper times.

Hence, the computer's role will encompass not only routine processing, but also analysis of case status. Exceptional conditions will be reported to the clerk to assure conformity to legal requirements, particularly those that are time-dependent, and to inform the clerk when manual intervention is required. For example, the following will be monitored:

- unprosecuted filings, including those eligible for dismissal under Sections 581 and 583 C.C.P.
- cases ready for warrant issuance
- cases ready for dismissal due to lack of filing an Information (Section 1382 P.C.)
- progression of criminal cases to assure timely adjudication
- defendants released prior to arraignment but for whom no complaint is filed
- dissolution cases for which an interlocutory decree has been granted but for which a final decree has not been requested
- age of juveniles under jurisdiction of juvenile court
- cases under submission
- probate cases in which an estate representative is not appointed, an inventory of assets is not on file, or a final distribution has not been made as required by law
- exhibit inventory status.

Notices will be prepared as required, including but not limited to:

- courtesy notices to persons cited on a traffic or misdemeanor violation
- DMV abstracts mainly via magnetic tape
- notices of entry of judgment, findings or entry of a pre-trial conference order
- notices of conservatorship termination and/or annual accounting
- notice of juvenile reaching age of majority or annual juvenile dependency review

- information required to complete adoption and dissolution/nullity notices to state agencies
- notice of court appearance in civil and juvenile actions when appearance dates are set by a calendar clerk or notice of hearing is required by law.

In addition, a report will be prepared for attorneys listing their scheduled and unscheduled cases on the civil active list. The attorneys may then confirm their case status by returning an updated copy of the list to the court.

Use of Multipart Snapout Forms

Use will be made of multipart snapout forms which are prepared both manually and by computer. Use of these forms is predicated on the fact that many of the documents produced by the court utilize several common data elements, such as case number, event date, case entitlement, party's name, attorney's name, and charges. For example, snapout forms will be utilized for:

- checkoff minute orders (case folder, data entry in automated systems, referrals and other "informal" notices of court orders or judgments)
- manual citation processing (courtesy notice, index slip, Department of Motor Vehicles abstract, docket and referral)
- automated citation processing (docket/priors list and referral)
- hearing notices (case folder and sufficient copies for the parties to the action)
- automated warrant packages (warrant, warrant notice law enforcement index card if desired).

The use of multipart forms can significantly reduce the effort expended in document preparation, filing, and retrieval when commonality exists between data elements. Preparation of these forms should be coordinated with all interested parties to insure conformity to their requirements.

On-line Case Summaries

All the on-line modules will support on-line case summaries. The civil and juvenile groups of case summaries will consist principally of case setting for all previous and future court appearance dates, purposes,

outcomes and requestors. The other citations and criminal complaint case summaries will consist of case setting history, case status and defendant custody data. In neither instance will the case summary be as comprehensive as, or replace, the microfilm Register of Actions. That is, entries not initiating calendaring, accounting, or transactions required for statistical data, such as the filing of depositions, will not be entered in the on-line system.

On-line Indexes

The on-line design will provide multiple cross-references to the case folder and to the on-line case summary. These indexes will locate case number by name in all systems, and by other criminal justice agency case identifying numbers, warrant number, and consolidated case number in criminal matters. In addition, a cross reference of the parcel number to the master case number will be provided for eminent domain cases.

Automated Indexes in the Sequential Batch Systems

Two types of printed indexes will be produced by the sequential batch designs. The criminal complaint and other citations groups will prepare daily indexes of active cases in alphabetic sequence containing the same type of case summary data available in the corresponding on-line modules' case summaries. The remaining sequential batch systems will produce regular alphabetic indexes of filings on a daily and cumulative weekly, monthly and annual basis.

In lieu of the multiple reference indexes available on-line, the printed indexes will contain one or more columns of numerical cross references to the index entries. For example, a column on the index may be devoted to a sequential list of arrest numbers and the corresponding index entry line number. By placing the numerical cross-references on the same printout as the daily index of active cases, the automated system will eliminate the cost and inefficiencies of producing separate reports.

Preparation and Filing of Minute Orders

The module designs will provide for the preparation of minute orders by the court clerk on multipart forms using a checkoff procedure where possible. The minute orders need not be typed for non-trial activities.

Following review by a controls clerk, a copy of the minute order will serve as the means for data entry

in the automated systems with the original copy filed in the folder in chronological order. This method of filing will eliminate the need for a Minute Book in superior court, per Section 69844.7 G.C. The Minute Book currently required in municipal court for civil cases can be eliminated by statute change. In its place, a microfilm Judgment Book should be maintained, thereby providing consistency in this practice between the municipal and superior courts.

Purging of Case Folders in Blocks

Purging of case-related documents will be performed periodically in all systems. To the extent possible, purging will be performed in blocks of case numbers within case category to assure positive case file control. A recommended statute revision will relate the purging cycle for all cases, except juvenile cases, to the date of judgment, or date of filing if no judgment is rendered, thereby facilitating block purging.

Blanket Complaint and Order to Issue for Traffic Warrants

A blanket complaint and order to issue warrants for failure to appear or failure to pay a fine will be utilized in the parking and other citations groups in lieu of preparing individual complaints. This procedure will avoid the time and effort required to attach a full sized complaint document to the smaller citation, which aside from the complaint, could be easily filed in books or compact document files. Instead of the individual complaint, the docket will be updated and a reference will be made to the blanket complaint and order which will be filed separately.

The legality of this procedure, which is subject to question, should be clarified.

Utilization of Violator's Citation Copy in Lieu of Court Copy

The automated modules will utilize the violator's citation copy if presented by the defendant in lieu of the court copy unless a court appearance is to be made. The automated module data files will be updated to maintain the status of all citations.

The use of the violator's copy will eliminate searches of the open citation file in many instances. Since the modules will provide notification to the clerical staff of which citations and dockets are to be pulled at warrant issuance time, the remaining citations in the open citation file may be discarded after an appropriate waiting period.

Provision of Calendaring, Financial Accounting, and Statistical Data by the Case Following Modules

The case following modules are designed to provide the majority of information required by the calendaring, financial accounting, and statistical reporting modules. This applies to manual as well as automated designs. This approach will enhance the concept of a central document intake function and improve the element of control.

In the automated sequential batch and on-line modules, interface magnetic tape files (which can be considered temporary transaction files) will be utilized to transmit data from case following to the other modules. These files will contain only the data specifically required by each system. This data, having been edited and screened with respect to the case following master file, should have a high degree of reliability.

The degree to which other modules can be developed around the case following modules will depend upon the data elements selected during detailed design for maintenance in the case following master file. For example, implementation of that portion of the "intake and file maintenance" module dealing with the initial filing of a case will permit the implementation of a statistics module which would be limited to the reporting of filing statistics. Numerous courts have developed systems limited to this level of master file maintenance. Others have expanded the scope of automated applications by maintaining case setting, disposition, or financial data with the master file. By designing and installing the case following module initially, the effort to initiate other applications will be reduced.

In addition to filing and disposition statistics, the automated case following modules will provide the statistical reporting modules with the case setting history of finally disposed cases. Statistical reports prepared from this data will trace key events, and their timing, leading to final disposition. This type of statistical reporting, sometimes referred to as "disposition tree" statistics, will alleviate the problem of currently compiled dispositions not being related to filings reported in the same period.

Interfaces in manual systems will be accomplished at key points in document flow. For example, the case following procedures include the preparation of financial accounting transactions and statistical tallies

for the respective modules. The calendar interface will be accomplished by the preparation of a calendar card at the time of filing as a by-product of preparing other case initiating documents. Once created, the calendar card will be maintained separately from case following records to monitor and control case status. The calendar card will provide a means to compile "disposition tree" statistics not practically available in most manual systems.

(5) Utilization of Court Resources

The increase in case load, the changing nature of litigation, and the increased demands on available funds have directed attention to methods for effective utilization of court resources. The design objectives include the provision of information to assist courts in improving the utilization of court resources. The designs under this heading emphasize the following key characteristics related to utilization:

- . Scheduling of appearance dates
- . Notification of involved parties
- . Organizing and planning of available resources.

The major design characteristics pertaining to each of these areas are discussed below:

. Scheduling of Appearance Dates

The calendaring modules have been designed considering two fundamental types of court appearances. For purposes of discussion, court appearances can generally be categorized by those for which work load (required court resources) can be predicted relatively accurately, and those having a high degree of unpredictability. The underlying assumption is that a court which is able to accurately predict work load can more effectively plan and manage case flow.

Court resources required to adjudicate a given number of traffic, parking, small claims, civil defaults and other short duration, high volume actions, can usually be relatively accurately predicted. The calendaring modules are designed to schedule appearances in these types of actions in court, at the counter upon filing, or at the time of citation issuance. Criminal arraignment and bail setting hearings, although less predictable due to lower

volume, will be scheduled as necessary due to the high priority of prompt hearing, thus requiring the court to adjust schedules as necessary for exceptional criminal case loads.

Long cause court and jury trials are less predictable in terms of work load since they are more variable both in frequency of occurrence and in duration. A calendaring system unable to manage long cause cases may create severe backlogs. The designs are based on a system established to control and schedule long cause cases.

The calendar preparation modules will produce court calendars for scheduled cases except for parking, other citations, and small claims cases regardless of the use of master or individual calendaring procedures. When individual calendars are maintained, dates scheduled in court will be recorded and entered on minute orders. The only major difference in the modules employing master and individual calendars would be the determination of the department assigned for hearing the action.

Since court calendars will be centrally prepared by the system, the modules can also prepare minute orders pre-printed with the necessary heading information. In addition, the minute orders will include check off boxes for recording standard entries, thereby further reducing the clerical effort in the preparation of minutes.

The calendaring modules are not designed to schedule court actions. The emphasis is placed upon the provision of adequate information for manual scheduling. Automated scheduling systems have not been successful to date and generally create problems in notifying involved parties of appearance dates.

. Notification of Involved Parties

The system designs promote the concept of notifying parties of future appearance dates in person. For example:

- at the point of citation issuance
- upon appearance at the counter for filing or bail forfeiture
- upon release from custody
- in court
- at pretrial conference.

Where formal notification is required by law in civil and juvenile actions and notification in person is not practical, involved parties will be notified of appearance by mail.

The modules are not designed to automatically prepare witness subpoenas because in the case of a witness for the prosecution, the issuance is the responsibility of the prosecuting attorney, while defense witnesses usually appear voluntarily. The benefits of entering data for defendant witnesses does not appear to be justified when the cost of data input and maintenance is considered.

The automated sequential batch and on-line systems will provide the capability of avoiding many attorney conflicts when setting trial dates. This capability will be provided by maintaining an attorney master file which includes previously scheduled dates by attorney.

The provision of jurors for trials will be an independent process from other modules, related only when scheduled jury trials are imminent. There are two characteristics of the jury services modules which represent significant deviations from current practices. First, the juror selection and qualification process will be continuous and not related to an "annual list of qualified jurors." Jurors will be qualified at a rate determined necessary on the basis of projections from juror statistical data. Second, jurors will be "randomized" only upon selection rather than also at summoning, and impaneling time. The jury services group of modules will take cognizance of the fact that the selection of subgroups from a random group of individuals is also random. This concept will permit streamlining clerical processing related to juror selection by eliminating redundant randomization procedures while retaining the intent of unbiased juror selection.

Organizing and Planning Available Resources

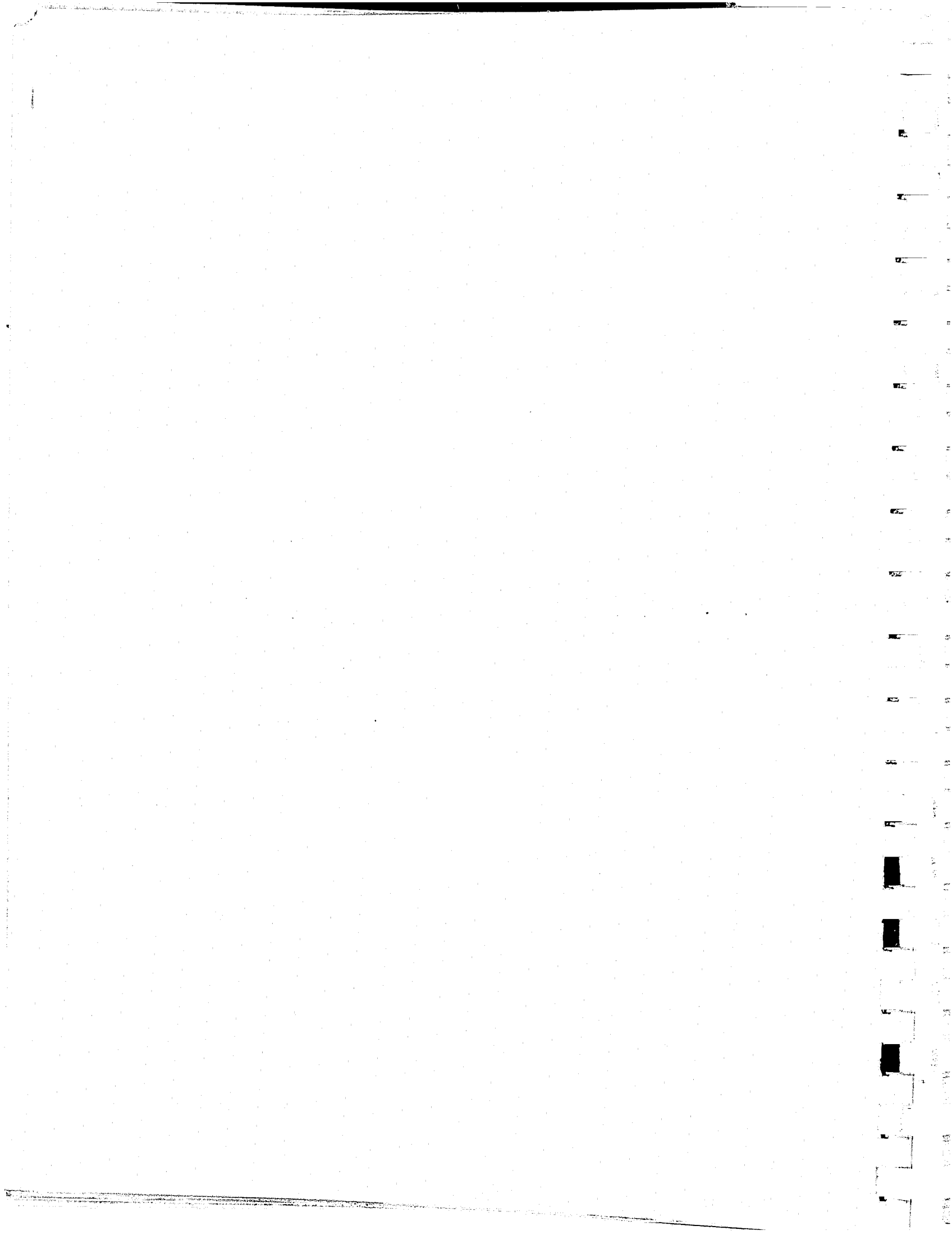
The case following and calendar modules are designed to provide data for statistical reporting. Fundamentally, the requirement for statistical data is established by the need to report filings and dispositions to the Judicial Council and the Bureau of Vital Statistics (family law cases only). The statistical reporting group of modules will provide the capability of producing these statistics as well as preparing reports for the internal administration of the courts. Potential use of statistics includes:

- the development of the master department schedule
- the development of guidelines for scheduling appearance dates for the variety of court hearings
- the preparation of operational budgets

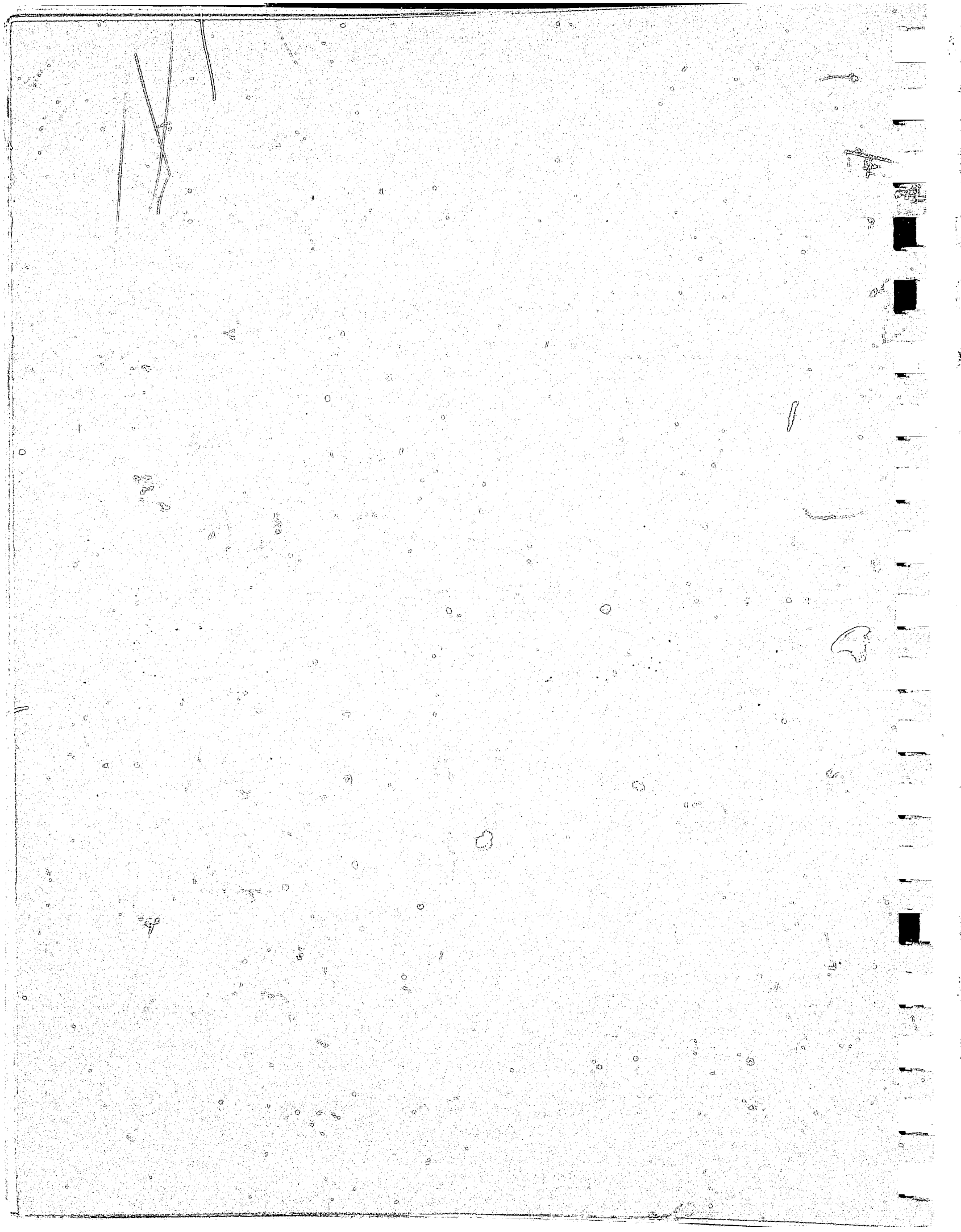
- the analysis of the effects of pre-trial hearings and continuances upon final case dispositions.
- information for use in determining the need for additional clerical or judicial personnel.

It should be emphasized that the mere capability to produce such statistics will not justify their production. The full use of statistical reporting should be accompanied with an equal commitment to provide administrative resources for the analysis and resolution of existing problems in case flow.

Many of the system characteristics discussed above are dependent upon the recommended revisions in current statutes, Rules of Court, and policies described in Section I of Volume I of the final report.



II. OVERVIEW OF SYSTEM CONCEPTS



II. OVERVIEW OF SYSTEM CONCEPTS

The objective of this section is to provide the non-technical reader with an understanding of the recommended system processes, and to identify their principal inputs and outputs.

The modular descriptions and definitions presented in flowchart form in the appendices present court activities in a manner to facilitate their detailed design and implementation by the experienced data processing analyst. This section summarizes the same modules in terms of the flow of litigation from filing through disposition and record destruction.

Modules at the various levels of automation are defined within the modular structure described in Section I of this report. These functions, including the levels of automation for which modules are defined, are:

- Case Following Function
 - Parking Citations Module Group
 - .. manual level
 - .. sequential batch level
 - Other Citations Module Group
 - .. manual level
 - .. sequential batch level
 - .. on-line level
 - Criminal Complaint Module Group
 - .. manual level
 - .. sequential batch level
 - .. on-line level
 - Juvenile Module Group
 - .. manual level
 - .. sequential batch level
 - .. on-line level
 - Other Civil Module Group
 - .. manual level
 - .. sequential batch level
 - .. on-line level

- Small Claims Module Group
 - .. manual level
 - .. sequential batch level
- . Calendaring Function
 - manual level
 - sequential batch level
 - on-line level
- . Jury Services Function
 - manual level
 - sequential batch level
- . Financial Accounting Function
 - manual level
 - sequential batch level
 - on-line level
- . Statistical Reporting Function
 - manual level
 - sequential batch level
- . Internal Administrative Control Function
 - manual level
 - sequential batch level.

The case following function is segmented into groups of modules corresponding to the case categories since processing techniques and requirements vary among case categories. The other functions and their respective module groups are applicable to all case categories.

Each function and group of modules has designs for manual and sequential levels of automation. Designs for the on-line level of automation have been limited to certain specific functions and groups of modules. Because of the incremental cost of development and operation, on-line systems were designed only if justified on the basis of:

- . A requirement for rapid access to information
- . A requirement for accessibility to information on a central file from remote locations

- . A requirement for man-machine interaction
- . A substantial reduction in the volume of paper flowing through the court
- . A substantial improvement in the quality of data entering the system because of improved screening and controls.

The incremental cost of on-line systems often cannot be justified in terms of offsetting staff or equipment cost reductions. Thus, such systems must meet the subjective tests described above to be worth the added cost. However, once the first on-line application is justified (or justified as groups of applications), the incremental cost of additional on-line applications is greatly reduced.

Each of the groups of modules are described in the remaining portion of this section of the report. This overview summarizes the recommended method for performing the clerical and administrative activities within each function.

1. CASE FOLLOWING FUNCTION SUMMARY

The case following modules designed for each case category provide for the storing, processing, recording and dissemination of information arising from court proceedings with respect to a particular case or defendant. They also include the collection, storage and retrieval of documents filed with the court in support of litigation.

For purposes of design and development we have grouped these activities into the following modules:

- . Intake and File Maintenance - the acceptance and processing of documents filed with the court; maintenance of manual and automated files for storing submitted and court-generated documents; and preparation of operational reports other than indexes
- . Record of Proceedings and Judicial Support - the completion of docket entries and minute orders in the courtroom; completion of formal court orders and judgments; and the provision of case-related data, including case setting histories and prior defendant records to the judiciary

- Cross Reference - the provision of indexes for use by the public and operational reports for use by the clerical staff to assist them in locating litigants' case records when the case identifying number is unknown and in some instances, to provide case status information as well
- Notification of Court Actions - to provide notices of impending or accomplished court actions to litigants and others as required by law, or when the notices serve the interests of justice or improve court administration
- Aging and Purging - to monitor case records to determine when time or event dependent actions are required by the court or necessitate clerical review; and the identification of filings eligible for dismissal for lack of prosecution or destruction
- Juvenile Citation Processing - the unique case following processes required in the other citations module group to process juvenile traffic filings
- Vehicle Registration Data Retrieval - the retrieval of the registered owner's or lessee's name and address from DMV in order to facilitate warrant and warrant notice preparation in parking violation cases
- Statewide Driver History Retrieval - the retrieval of statewide prior convictions, drivers' license status and outstanding FTA or FTP conditions from DMV for persons charged with a moving traffic violation
- Bail Schedule Maintenance - the maintenance of the countywide citation bail schedule for the purpose of computing bail in moving traffic violation cases
- Exhibit Control - the inventorying of exhibits received into evidence and the preparation of destruction notices as required by law.

The following process overviews describe the case following module groups developed for each case category.

(1) Parking Citations Module Group

The parking citations group will process parking citations from filing through arraignment. Citations for which a not guilty plea is entered or for which a warrant is issued

and served are handled as a criminal case in the criminal complaint module group.

Exhibit V, following this page, depicts, in schematic form, the major inputs, modular processes and outputs of the parking group, which are also described narratively in the following paragraphs.

An on-line parking system was not designed since most parking citations are disposed of by a straightforward bail forfeiture disposition and thereby do not typically necessitate extensive court actions. The parking group does not meet the justification criteria for on-line systems

Manual Level

Incoming citations are batched and logged. A list is maintained of citations disposed of prior to the filing by the issuing agency of the court's citation copy. When the court's copy arrives, it is discarded rather than filed in the Open Citation File. The issuing agency is informed when matching court copies of citations are not filed within an appropriate time. Citations are then filed in filing date and citation number sequence in the Open Citation File.

When the defendant appears (or forfeits bail by mail), the court copy is pulled and the citation is validated manually or by the cash register. A cash register or manually-prepared receipt is given to the defendant if he appears. The disposed citation is filed in disposition date and citation number sequence in the Closed Citation File.

Court proceedings are recorded on the back of the citation (i.e., minidocket). If an installment fine is ordered, an accounts receivable setup and agreement form is prepared. Continued cases are refiled in the Open Citation File in next appearance date sequence.

A DMV request list is prepared for past due citations residing in the Open Citation File. When owner's or lessee's name and address is returned by DMV, a notification packet is prepared consisting of:

- warrant notice
- warrant or summons

- index slip
- warrant recall notice.

The warrant notice and warrant are detached and distributed at the proper time.

The index slip from the notifications packet and manually-prepared index slips for persons entering a not guilty plea are filed alphabetically and serve as the index. The index slips indicate the date these citations and related documents are filed in the Closed Citation File in order to facilitate their retrieval.

Purging is performed after five years by destroying eligible citations located in the Closed Citation File and by issuing warrant recall notices.

Sequential Batch Level

Incoming citations are batched, logged, and entered in the automated system. Open citations are listed on the Open Citation Status Report in license plate number sequence, with a cross reference to citation number.

When the defendant appears (or forfeits by mail) his payment is accepted, a cash register receipt is prepared, and the defendant's citation copy is validated manually or by the cash register. The court copy is used if an appearance is requested or the defendant does not present his copy. The disposed citation is filed in disposition date and citation number sequence.

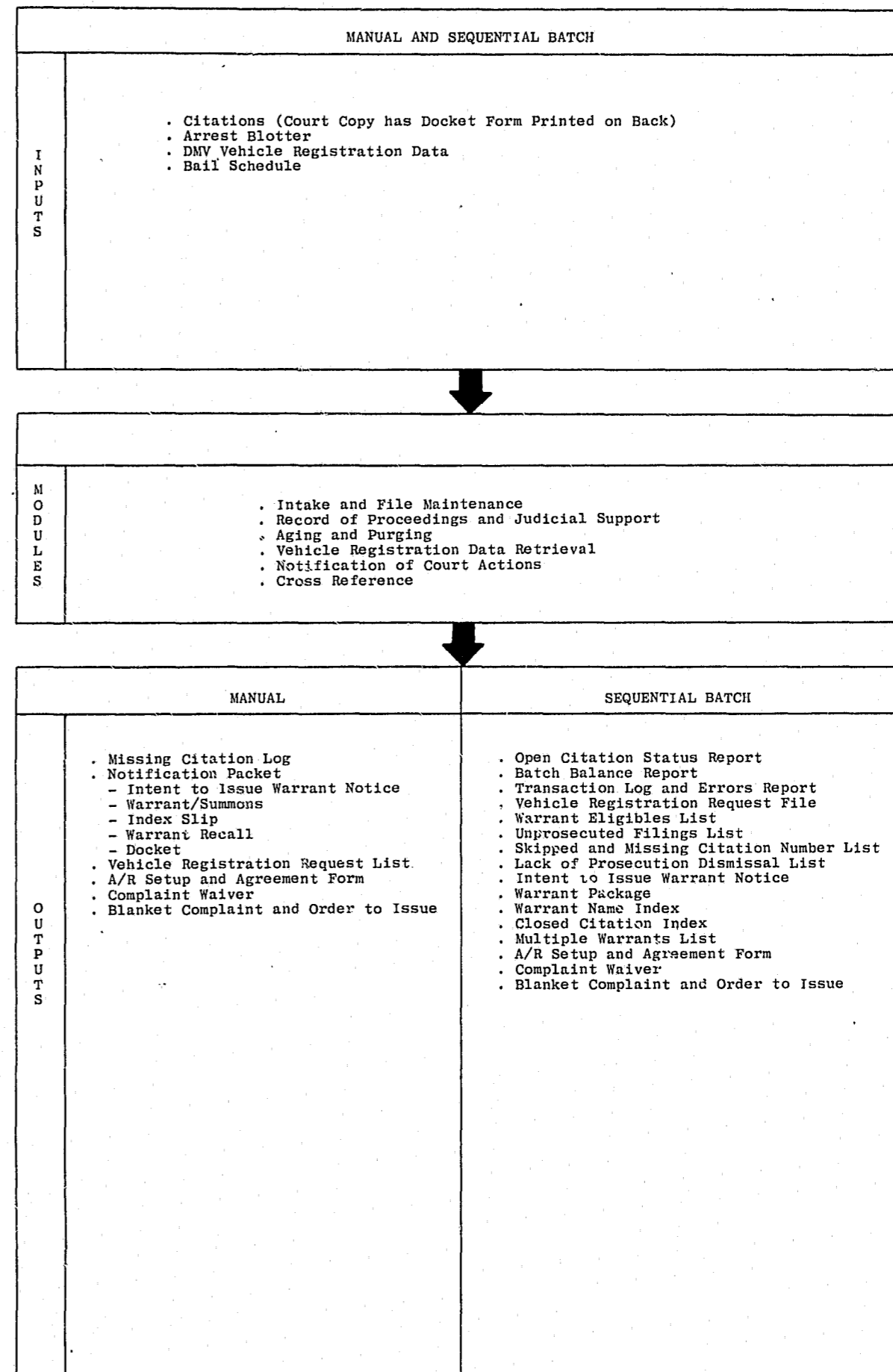
Court proceedings are recorded on the back of the citation (i.e., minidocket). If an installment fine is ordered, an A/R Setup and Agreement Form is prepared. Continued cases are filed in next appearance date sequence in the Appearance File.

Requests for owner's name and address are automatically generated at the proper time by the automated system. These request records are forwarded to DMV on magnetic tape. When the responses are received, a warrant eligible list is generated and the citations are pulled from the Open Citation File. They are then updated to indicate warrant issuance and a blanket complaint and order is attached to the warrants eligible list. Warranted citations are filed in the Closed Citation File, and together with not guilty pleas, appear on the printed indexes.

Citations are removed from active status and appear on the closed citation number index when:

- paid
- disposed of at arraignment

PARKING CITATIONS
CASE FOLLOWING OVERVIEW



- a not guilty plea is entered
- a warrant is issued and a predetermined time has passed without payment by the defendant

When the defendant enters a not guilty plea or when he is arrested on a FTA or FTP warrant, case data are automatically transferred to the criminal complaint group on the Not Guilty Interface File.

Purging is performed after five years by destroying citations and related documents located in the Closed Citation File.

(2) Other Citations Module Group

The other citations group of modules will process juvenile and adult traffic citations and adult misdemeanor citations through arraignment. As with parking citations, cases in which a not guilty plea is entered or for which a warrant is issued and served are handled as a criminal complaint case in the criminal complaint group.

Exhibit VI, following this page, depicts in schematic form the major inputs, processes and outputs of the other citation group, which are also described narratively in the following paragraphs.

Manual Level

Incoming citations are received by the court. A list is maintained of citations disposed of prior to the filing by the issuing agency of the court's citation copy. When the court's copy arrives, it is discarded rather than filed in the Open Citation File. The issuing agency is informed when matching court copies of citations are not filed within an appropriate time. Petty theft citations are routed to the prosecuting attorney to determine if a felony complaint is required. The citations are then batched and logged.

Adult misdemeanor and traffic citations are processed upon receipt from law enforcement agencies by preparing docket packets consisting of a:

- courtesy notice
- index slip
- DMV conviction abstract
- referral notice
- docket.

OTHER CITATIONS
CASE FOLLOWING OVERVIEW

The following docket packets are prepared for juvenile citations:

- first notice of hearing
- second notice of hearing
- index slip
- DMV conviction abstract
- minor's copy
- docket.

The statewide driver's history and license status are obtained by teletype for traffic citations alleging selected or serious non-selected moving violations. Graduated bail is calculated for citations with statewide driver history. Straight bail is calculated for all others. The bail amount or mandatory appearance requirement is noted on the docket packet. The courtesy notice (or first notice of hearing in the case of juveniles) is detached from the packet and is mailed to the defendant.

The citation, docket packet and associated priors printout are filed by filing date and citation number in the Open Citation File or Juvenile Open Citation File. The index slip is detached and is filed in alphabetic sequence.

When an adult defendant appears (or forfeits by mail, the court citation copy is pulled from the Open Citation File and the docket is validated manually or by the cash register. A cash register or manually-prepared receipt is given to the defendant if he appears. The disposed citation is filed in disposition date and citation number sequence in the Closed Citation File. The index slip is updated to indicate the disposition date under which the citations were filed.

Court proceedings are recorded on the docket copy of the docket packet. Referrals are noted on the referral copy, which is detached and forwarded to the appropriate agency. If an installment fine is ordered, an A/R Setup and Agreement Form is prepared. Continued cases are refiled in the Open Citation File in next appearance date sequence.

Past due citations are pulled from the Open Citation File. A warrant packet is prepared consisting of a:

- warrant notice (for law enforcement issuance)
- warrant
- warrant recall notice
- FTA hold
- FTA release.

MANUAL, SEQUENTIAL BATCH AND ON-LINE	
I N P U T S	<ul style="list-style-type: none"> . Citations . Arrest Blotter . Statewide Criminal History . Statewide Driver History . Graduated Bail Schedule

M O D U L E S	<ul style="list-style-type: none"> . Intake and File Maintenance . Statewide Driver History Retrieval . Record of Proceedings and Judicial Support . Juvenile Citation Processing . Cross Reference . Aging and Purging . Notification of Court Actions . Bail Schedule Maintenance
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		MANUAL	SEQUENTIAL BATCH/ON-LINE*
O U T P U T S		<ul style="list-style-type: none"> . Missing Citation Log . Adult Docket Packet <ul style="list-style-type: none"> - Courtesy Notice - Index Slip - DMV Conviction Abstract - Referral - Docket . Juvenile Docket Packet <ul style="list-style-type: none"> - First Notice of Hearing - Second Notice of Hearing - Index Slip - DMV Conviction Abstract - Minor's Copy of Disposition - Docket . Notifications Packet <ul style="list-style-type: none"> - Warrant Notice - Warrant - Warrant Recall - DMV Hold Abstract - DMV Release Abstract . Blanket Complaint and Order to Issue . A/R Setup and Agreement Form . Complaint Waiver <p>* The On-line level of automation will provide indexes, case summary, and warrant recall via terminals.</p>	<ul style="list-style-type: none"> . Juvenile Citation Receipt List . Transaction Log and Errors Report . Response Exceptions List . Batch Balance Report . Adult Docket Packet <ul style="list-style-type: none"> - Referral - Docket/Priors List . Courtesy Notices . Juvenile Docket Packet <ul style="list-style-type: none"> - Computer Disposition Input Form - First Notice of Hearing - Second Notice of Hearing - Minor's Copy of Disposition - Docket/Priors List . DMV Abstract File . Open Name Index (With Case Summary) . Closed Name Index (With Case Summary) . Annual Name Index . Warrant Eligibles List . Warrant Package/Warrant Interface File . Lack of Prosecution Warrant Dismissals . Unprosecuted Filings List . Complaints Referral List . Multiple Warrants List . Skipped and Missing Citation Numbers List . Blanket Complaint and Order to Issue . A/R Setup and Agreement Form . Complaint Waiver . Bail Schedule

The warrant notice is sent to the defendant and the dockets are updated to reflect notice issuance. The past due citations and packets are attached and returned to the Open Citation File. After thirty days, the FTA hold is forwarded to DMV and the warrant to law enforcement. The remaining documents are forwarded to the Criminal Complaint Module group for further processing.

Similar to citations involving adults, juvenile citations are filed by filing date and citation number in the Open Citation File. Dispositions are recorded on the docket. If the juvenile fails to answer, the second notice of hearing is detached from the packet and mailed. No response to the second notice results in the completion and mailing of an FTA hold to DMV. Disposed citations are filed by disposition date and citation File.

Purging is performed after five years by destroying eligible citations and related documents located in the Closed Citation File and by issuing warrant recall notices.

Sequential Batch Level

Incoming citations are received by the court. Petty theft citations are routed to the prosecuting attorney to determine if a felony complaint is required. The citations are then batched, logged and entered in the automated system to establish a citation master file.

The automated system retrieves statewide driver history for all moving traffic offenses, automatically computes graduated bail, and updates the citation master file.

When the defendant appears or forfeits by mail and no court appearance is made, the disposition is recorded on the defendant's citation copy if available. Otherwise, the court citation copy and docket packet are pulled from the Open Citation File. The daily index may be referenced to determine bail amount if the courtesy notice does not accompany the defendant's citation.

Court proceedings are recorded on the docket. If an installment fine is ordered, an A/R Setup and Agreement Form is prepared. Referrals are noted on the referral copy of the packet and are forwarded to the appropriate agency. Continued cases are filed in next appearance due date sequence in the Appearance File.

Past due citations are indicated on a warrant eligibles list. Citations appearing on this list are pulled from

the Open Citation File. They are then updated to indicate warrant issuance and a blanket complaint and order is attached to the warrant eligibles list. These citations are then filed in the Closed Citation File. FTA, FTP and conviction abstracts are generated on a magnetic tape which is mailed to DMV.

Changes in citation status as a result of the above activities are recorded on the Citation Master File. This file is updated daily and is used to prepare required outputs including courtesy notices in data mailers which are mailed to defendants. The notices indicate the bail amount or the need for a mandatory court appearance. A three-part docket, priors list and referral notice packet is generated in filing date and citation number sequence. The packets are filed in the same Open Citation File with the corresponding citations, but they are not merged. A daily index is printed containing all active and recently disposed of cases. Besides providing an alphabetic and numeric reference to the citation, the index includes status and bail calculation data.

Citations are removed from the active index on a monthly basis, and are placed on the monthly closed index when:

- paid
- disposed of at arraignment
- a not guilty plea is entered
- a warrant is issued and a predetermined time has passed without payment by the defendant.

Cases in which the defendant enters a not guilty plea or when he is arrested on a FTA or FTP warrant are automatically transferred to the criminal complaint module group on the Not Guilty Interface File.

Juvenile citations are separated from the adult citations using a receipt list generated by the automated system. A docket packet is also generated consisting of a:

- computer disposition input form
- first notice of hearing
- second notice of hearing
- minor's copy of disposition
- docket/priors list.

The first notice of hearing is mailed to the minor. Dispositions are recorded on the docket/priors list. If the juvenile fails to answer, the second notice of hearing is detached from the packet and mailed. No response to the second notice results in the completion and mailing of an FTA hold to DMV. Conviction abstracts are generated automatically from data supplied on the computer disposition input form. Disposed citations are

filed by disposition date and citation number in the Closed Citation File.

Purging is performed after five years by destroying eligible citations and related documents located in the Closed Citation File. Periodically, upon demand a list of citations which have remained unprosecuted for an extended period of time can be printed.

On-Line Level

The on-line level is similar to the sequential batch level except for the indexing, case summary, and warrant recall activities.

The on-line indexes provide name and numerical cross references to the citation number. On-line indexes are required for active and recently disposed of cases. The closed and annual indexes are prepared on a batch basis and are microfilmed.

The case summary provides case event-oriented data, statewide driver history summary and bail calculation data. A combination docket/priors list is printed by console typewriter activated by the on-line terminal for persons appearing in court.

This procedure eliminates the printing of daily indexes and unnecessary priors lists and dockets. It also expedites counter operation since the video display operator can locate an entry by real-time inquiry instead of by manual look up.

(3) Criminal Complaint Module Group

The criminal complaint module group processes cases initiated by formal criminal complaint, Grand Jury indictment, or information filed (for superior court cases stemming from a complaint filed in a justice court). Included are complaints stemming from not guilty pleas entered on citations, or arrest resulting from failure to appear or pay fine.

Exhibit VII, following this page, depicts in schematic form the major inputs, processes and outputs of the criminal complaint group, which are also described narratively in the following paragraphs.

Manual Level

Cases are initiated in the municipal courts by the filing of a complaint through the prosecuting

attorney's office. The court accepts only pre-arraignment release data, such as bail bonds and bail slips, from the other criminal justice agencies prior to the filing of the complaint. Along with the complaint, the prosecuting attorney typically submits the complainant's statement, arrest reports, evidence and a statewide criminal history summary.

The clerk accepts the submitted documents, establishes a case folder and assigns a case number. The arrest number serves as the case number before a permanent one is assigned at complaint receipt time.

An index card, Register of Actions card and a calendar card are also established for the case. The index card is filed alphabetically in a drawer which serves as the index. The Register of Actions card, with pre-printed checkoff entries, is filed in a tub file in case number order. The calendar card is forwarded to the calendaring clerk. These three documents may be prepared from a single multipart snapout form.

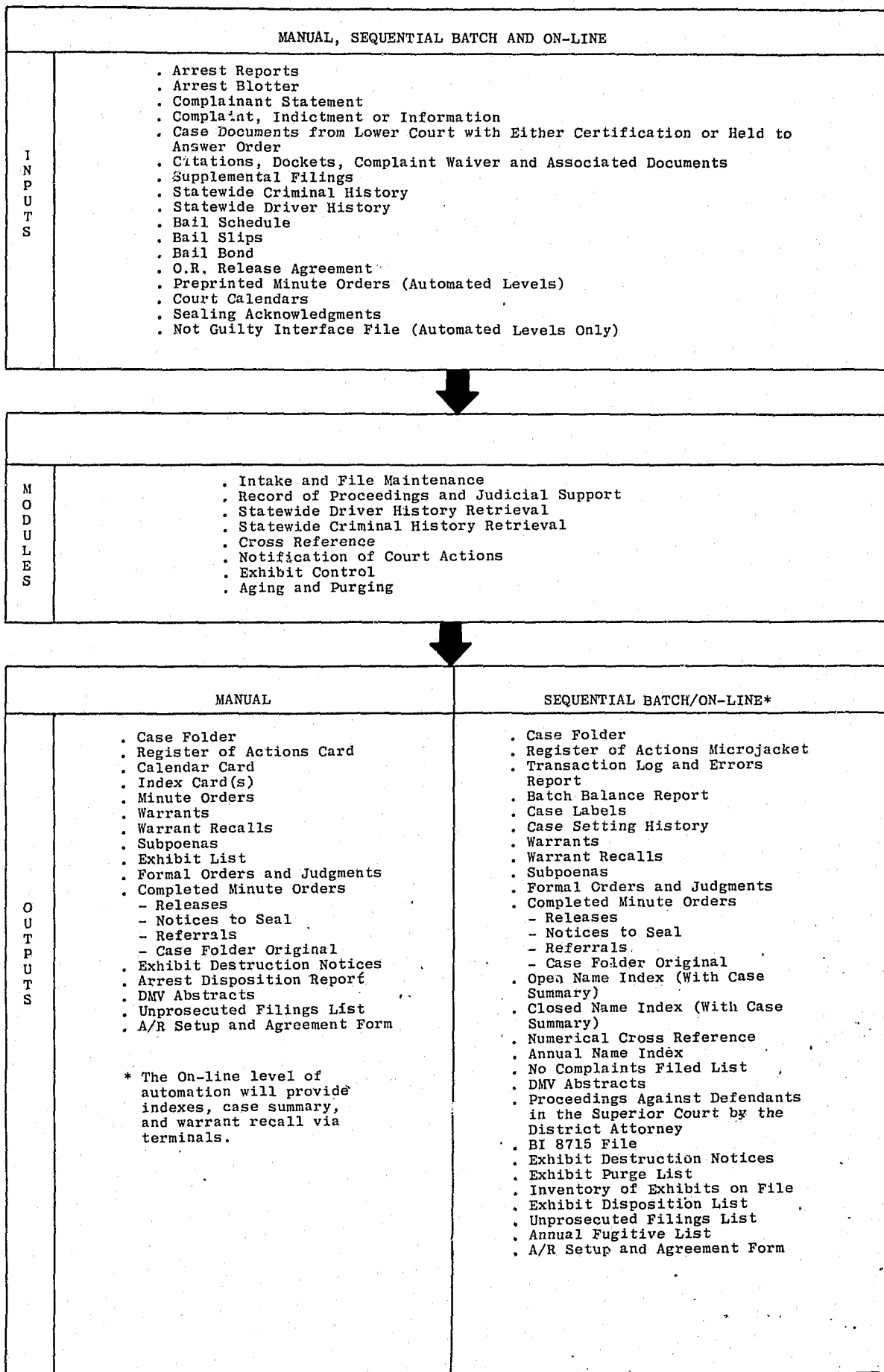
Appeals are initiated in the lower court by the filing of a notice of appeal. When the record of appeal and recorder's transcript are prepared, the case is transferred to the superior court's appellate department for hearing. Subsequent to adjudication a remittitur is prepared and returned with the originally submitted documents to the lower court. Copies of written opinions are distributed to the District Court of Appeal and the Reporter of Decisions.

Cases not on appeal are initiated in the superior courts by the filing of an information, certification order, or grand jury indictment. Documents for cases transferred from the lower courts on a held to answer order are held in a suspense file and logged onto a suspense sheet. If an information is not filed in these cases within a specified time period, a notice of impending dismissal is forwarded to the prosecuting attorney.

The superior court clerk initiates and prepares similar documents to those prepared in the municipal court.

As documents are submitted subsequent to the initial filing, the clerk makes a cursory check of proper case identifying data and accepts the documents. Documents (e.g., requests for motion) requesting a court appearance are scheduled at the counter and are updated to reflect the scheduled date. Later, the documents are validated against the Register of Actions and any required clerical actions are initiated. The documents are entered in the Register of Actions by dated checkoff entry and are stored in the case folders. If an appearance is required, the

CRIMINAL COMPLAINTS
CASE FOLLOWING OVERVIEW



requesting document (or a copy) is forwarded to the calendaring clerk.

Proceedings are recorded on checkoff multipart minute orders by the courtroom clerk. The clerk also prepares formal judgments and orders, as required, and maintains an exhibit list. During the proceedings, the judge is provided the case folder, criminal or statewide driver history (utilized during bail setting, sentencing, etc.), and the case's calendar card which serves as a case summary and setting history.

Based upon the court actions, the clerk prepares:

- warrants and warrant recall notices
- referrals to other criminal justice agencies (copy of minute order)
- unprosecuted filings list
- arrest disposition reports
- DMV conviction, hold and release abstracts
- exhibit notices.

Annually, the index cards are pulled and microfilmed for cases filed the previous year. Cases eligible for purging are also pulled, microfilmed and destroyed. The exhibit list is also monitored to determine when destruction notifications are required and when unrestrained exhibits can be destroyed or transferred, in the case of money, to the county.

Sequential Batch Level

Cases are initiated in the municipal court by the filing of a complaint through the prosecuting attorney's office. As with the manual system, the court accepts only pre-arraignment release data from the other criminal justice agencies prior to the filing of the complaint and related documents.

The clerk accepts the submitted documents, establishes a case folder and assigns a case number. The arrest number serves as the case number before a permanent one is assigned at complaint receipt time.

Appeals are initiated in the lower court by the filing of a notice of appeal. When the record of appeal and recorder's transcript are prepared, the case is transferred to the superior court's appellate department for hearing. Subsequent to adjudication a remittitur is prepared and returned with the originally submitted documents to the lower court. Copies of written opinions are distributed to the District Court of Appeal and the Reporter of Decisions.

Cases not on appeal are initiated in the superior courts by the filing of an information, certification order, or grand jury indictment. Documents for cases transferred from the lower courts on a held to answer order are held in a suspense file. However, a buck slip is entered in the system to monitor dismissal as prescribed by Section 1382 P.C.

In both the municipal and superior courts, documents submitted to the court are routed to a controls clerk. The controls clerk reviews and edits each submitted document, as well as case-related documents generated by the court (e.g., minute orders). Copies of documents to be entered in the automated system are coded as required, and are batched and routed to the data entry section. All original documents are microfilmed and the film is inserted in the Register of Actions microjacket. The documents are then filed in the case folder. The data entry copies are destroyed after an appropriate waiting period.

On a daily basis, the Criminal Master File is updated and interface files to the other modules, principally calendaring, statistical reporting and accounting are prepared. Operational reports are prepared to assist the clerk to monitor case status, system performance, and to locate case folders. These reports include:

- a daily index of active cases summarizing case and defendant characteristics, defendant custody status, court actions and settings made, and current case status
- a numerical cross reference to other criminal justice agency numbers, person identifying numbers and other court assigned numbers (e.g., consolidated cases)
- case labels
- data entry audit trail.

In addition, a case setting history is printed for those cases scheduled for a court appearance. This report, along with statewide driver and criminal histories for the appropriate cases, and the case folder are provided to the judiciary.

The courtroom clerk records proceedings on checkoff multi-part minute orders, most of which have computer-printed headings. The clerk also prepares formal judgments and orders, as required. These documents are then routed to the controls clerk for review, coding, and distribution.

In addition to the daily alphabetic and numerical indexes, cases disposed of during the month are listed on a closed

case index. An annual index is prepared for cases filed during the year. This report is microfilmed.

Notices of court actions are prepared for various criminal justice agencies. Arrest disposition data is generated on magnetic tape or hard copy for the Bureau of Identification. The Bureau of Criminal Statistics receives a report of felony case statistics requested of the district attorney, but prepared by the court. A list of cases with impending dismissal under the Section 1382 P.C. or for which no complaint has been filed is prepared for the prosecuting attorney. And, DMV abstracts are printed for defendants convicted of a traffic violation.

Exhibits received into evidence are inventoried and monitored by data entered from minute orders. Exhibit inventories, purge and disposition lists, and destruction notices are automatically generated as required by the system.

Cases are cleared from the Criminal Master File Annually. A case is considered cleared after court disposition or when a warrant has been outstanding more than a pre-determined time span. These "fugitive cases" may be dismissed for lack of prosecution in less serious matters, or monitored manually from the list provided in more serious matters.

Since the case documents are already microfilmed as the Register of Actions, cases eligible for document destruction need simply be removed from the case folder and destroyed.

On-line Level

The on-line level is similar to the sequential batch level except for the indexing, case summary and warrant recall activities.

The on-line indexes provide recall of name and numerical cross references to the court-assigned case number. On-line indexes are required for active and recently disposed of cases. The annual index of filings is prepared on a batch basis and is microfilmed.

The case summary provides case and defendant event-oriented data contained in the Criminal Master File including:

- basic defendant(s) and case identifiers
- case characteristics
- defendant custody status
- bail and bond status
- court actions taken
- case setting history
- current case status indicator.

The on-line case summary is not intended to replace the document-oriented Register of Actions microjacket.

Most courts that could justify an on-line information system are probably located in counties with law enforcement agencies who operate, or plan to operate, on-line want and warrant systems. Therefore, the design provides for an automatic interface to the law enforcement warrant system and the on-line entry of warrant recalls.

(4) Juvenile Module Group

The juvenile group of modules processes juvenile delinquency and dependency cases stemming from initial or subsequent petitions filed under Sections 600-602 W & I Code.

Exhibit VIII, following this page, depicts in schematic form the juvenile groups' major inputs, processes and outputs, which are also described narratively in the following paragraphs.

Manual Level

Initial and subsequent petitions are filed with the court following review by an intake officer.

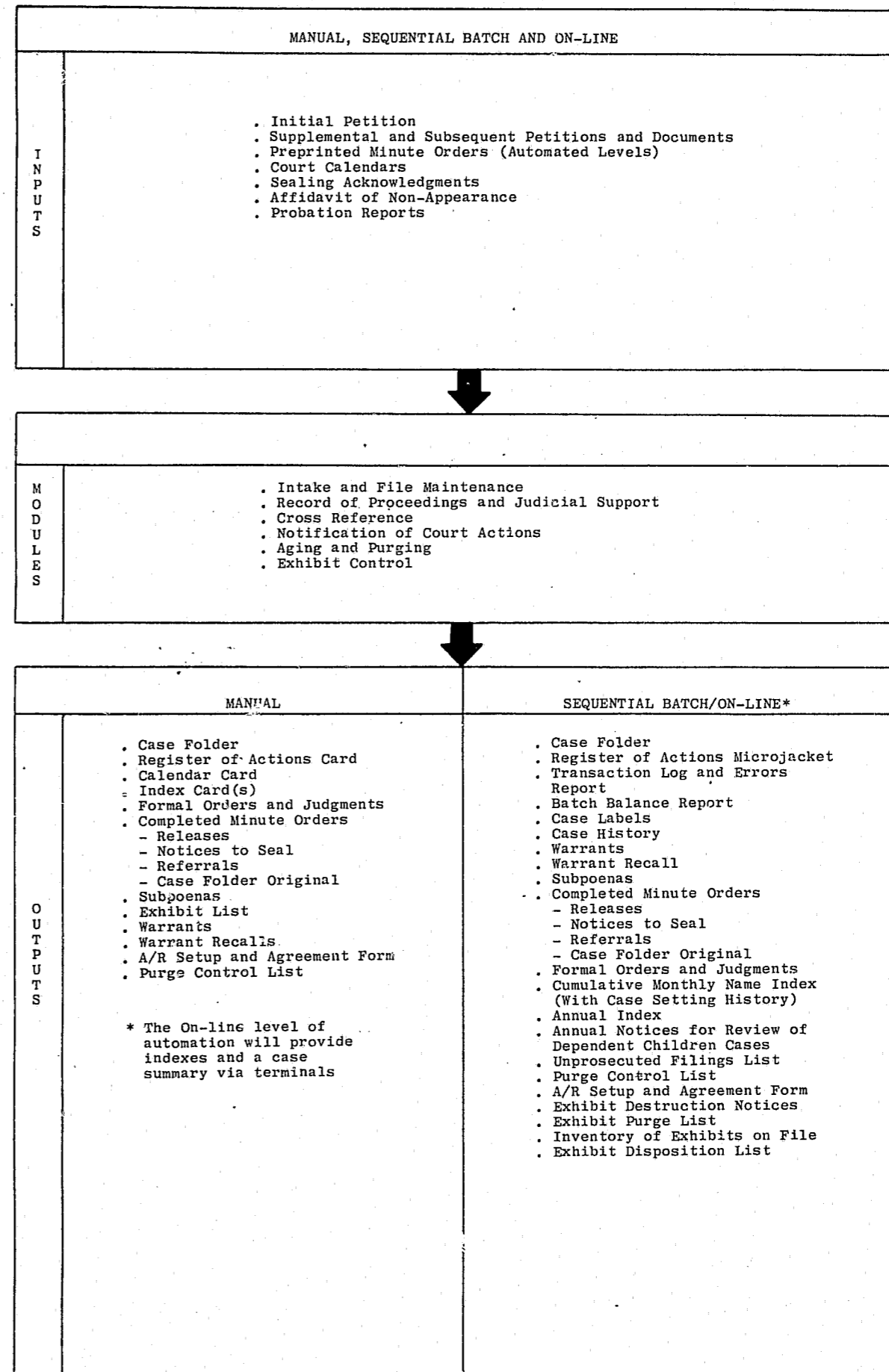
When the initial petition is filed, a case folder is established and an index card, calendar card and Register of Actions card are prepared on a multipart form. The index card is filed alphabetically. The Register of Actions card is stored in case number order in a tub file. And, the calendar card is provided to the calendaring clerk.

On filing of subsequent petitions, the juvenile's existing case folder and Register of Actions card are utilized. A new calendar card, however, is prepared. In addition, if the juvenile's index card has been microfilmed and destroyed, an index card is also prepared and filed alphabetically.

Cases scheduled for detention hearings are filed by date in the Appearance File. All other cases are filed in the case file.

Proceedings are recorded on checkoff multipart minute orders by the courtroom clerk. At the hearing, the judge or hearing officer receives the case folders for those juveniles scheduled for an appearance, and the corresponding calendar cards which serve as the case setting history. At the detention hearing, the courtroom clerk

JUVENILE
CASE FOLLOWING OVERVIEW



distributes hearing notices and completes the affidavit of service. Subsequent to the court session, the courtroom clerk prepares the required formal orders and judgment.

If the juvenile fails to appear as ordered, the probation office files an affidavit of non-appearance and the clerk issues an arrest warrant.

The Register of Actions maintained in the manual juvenile group is used somewhat differently than its counterpart in other case categories. Since only one Register of Actions card is prepared per person, its entries may become voluminous, thereby making look ups difficult particularly when many supplemental filings are made in a case. Hence, the major function of the juvenile Register of Actions is to verify documents filed, while inquiries are generally directed at the calendar card or case folder.

The court may order the sealing of a juvenile's records upon the filing of a petition and hearing. If granted, the clerk notes the agencies to whom an order to seal is forwarded on the outside of the juvenile's case folder. A copy of the minute order to seal is forwarded to each of these agencies and the case folder is physically sealed, and the index card and Register of Actions card are removed. When the acknowledgments are returned, their receipt is entered on the case folder and they are filed separately in a confidential file until they are microfilmed and destroyed.

Exhibits received into evidence are logged onto an exhibit list. At the proper time, destruction notices are forwarded to the appropriate parties and the evidence is returned, transferred to the county or destroyed.

Case folders are microfilmed and purged as soon as legally permissible. Since purging in blocks is particularly difficult with juvenile cases, a purge control list is maintained of cases destroyed. This list is maintained near the case file to facilitate the identification of missing case folders (i.e., cases must be in file, replaced with an out card, or on the purge control list).

Sequential Batch Level

Initial and subsequent petitions are filed with the court following review by an intake officer.

When the initial petition is filed, a case folder is established. On filing of subsequent petitions, the juvenile's existing case folder is utilized.

All documents submitted to the court are routed to a controls clerk. The controls clerk reviews and edits

each submitted document, as well as case-related documents generated by the court (e.g., minute orders). Copies of documents to be entered in the automated system are coded as required, and are batched and routed to the data entry section. All original documents are microfilmed and the film is inserted in the Register of Actions microjacket. The documents are then filed in the case folder. The data entry copies are destroyed after an appropriate waiting period.

On a daily basis, the Juvenile Master File is updated and interface files to the other modules, principally calendaring, statistical reporting and accounting, are prepared. Operational reports, including indexes containing case status information are prepared, along with active case histories (listing all petitions filed in the case and their dispositions) for the probation office.

The courtroom clerk records proceedings on checkoff multipart minute orders, most of which have computer-printed headings. The clerk also prepares formal judgments and orders as required. These documents are then routed to the controls clerk for review, coding and distribution. At the detention hearing, the courtroom clerk completes preprinted notice of hearing forms and distributes them to the parties.

If an order to seal is granted, the clerk notes the agencies to whom the order applies on the outside of the juvenile's case folder. A copy of the minute order to seal is forwarded to each of these agencies and the case folder is physically sealed. When the acknowledgments are returned, their receipt is entered on the case folder and they are microfilmed as part of the Register of Actions microjacket. The acknowledgments are then destroyed. To further maintain security, all entries in the previous years' annual indexes are marked out with parking pen, and the Register of Actions microjacket is transferred to a "sealed" Register of Actions microjacket file.

The automated system monitors cases and lists those not progressing as expected on an unprosecuted filings list.

Annual notices of dependency review are produced at the appropriate time.

The automated system maintains juvenile case records until they are eligible for purging. At that time, a purge control list is produced and the listed cases are destroyed (they have already been microfilmed as the Register of Actions).

Exhibit control is handled in the manner described in the automated criminal complaints case category.

On-Line Level

The on-line level is similar to the sequential batch level except for the indexing and case summary activities.

The on-line indexes provide recall of juvenile's name, last petition filing date, probation case number, court case number and charges (including the W & I section under which the petition is filed). A numerical cross reference is also maintained on-line to permit retrieval by probation case number

The case summary provides recall of previous and current court appearance schedules, their purpose and their outcome.

(5) Other Civil Module Group

The other civil group of modules processes complaints, petitions, prerogative writs, and de novo trials on appeal stemming from civil and small claims. This includes cases involving:

- Personal injury and property damage
- Dissolution or nullity of marriage and separate maintenance
- Adoptions
- Mental health proceedings except the insanity phase of criminal trials
- Probate of will, guardianship and conservatorship proceedings, and compromise of minor's claims
- Eminent domain and special equity actions
- Actions under the Uniform Reciprocal Enforcement of Support Law (Section 1650 C.C.P.)
- Small claims trials on appeal
- Any other civil action normally processed by the municipal or superior courts' civil division.

Exhibit IX, following this page, depicts in schematic form the other civil module groups' major inputs, outputs and processes which are also described narratively in the following paragraphs.

Manual Level

Cases are generally initiated by the filing of a civil petition, complaint or certification order (involving persons suspected of being insane, a mentally disordered sex offender, or an addict).

The clerk makes a cursory review of the initiating and supporting documents to assure that proper case identifying data is present. Copies are conformed and summons are issued as required. A case folder is established and a Register of Actions card, index cards and calendar card are prepared and filed.

Supplemental filings are submitted by parties to the action. Court dates for pre-trial events, such as motions, are noted on the requesting document or the resulting order. Each submitted document is then posted to the Register of Actions by checkoff and dated entry, wherever possible, and filed in the case folder.

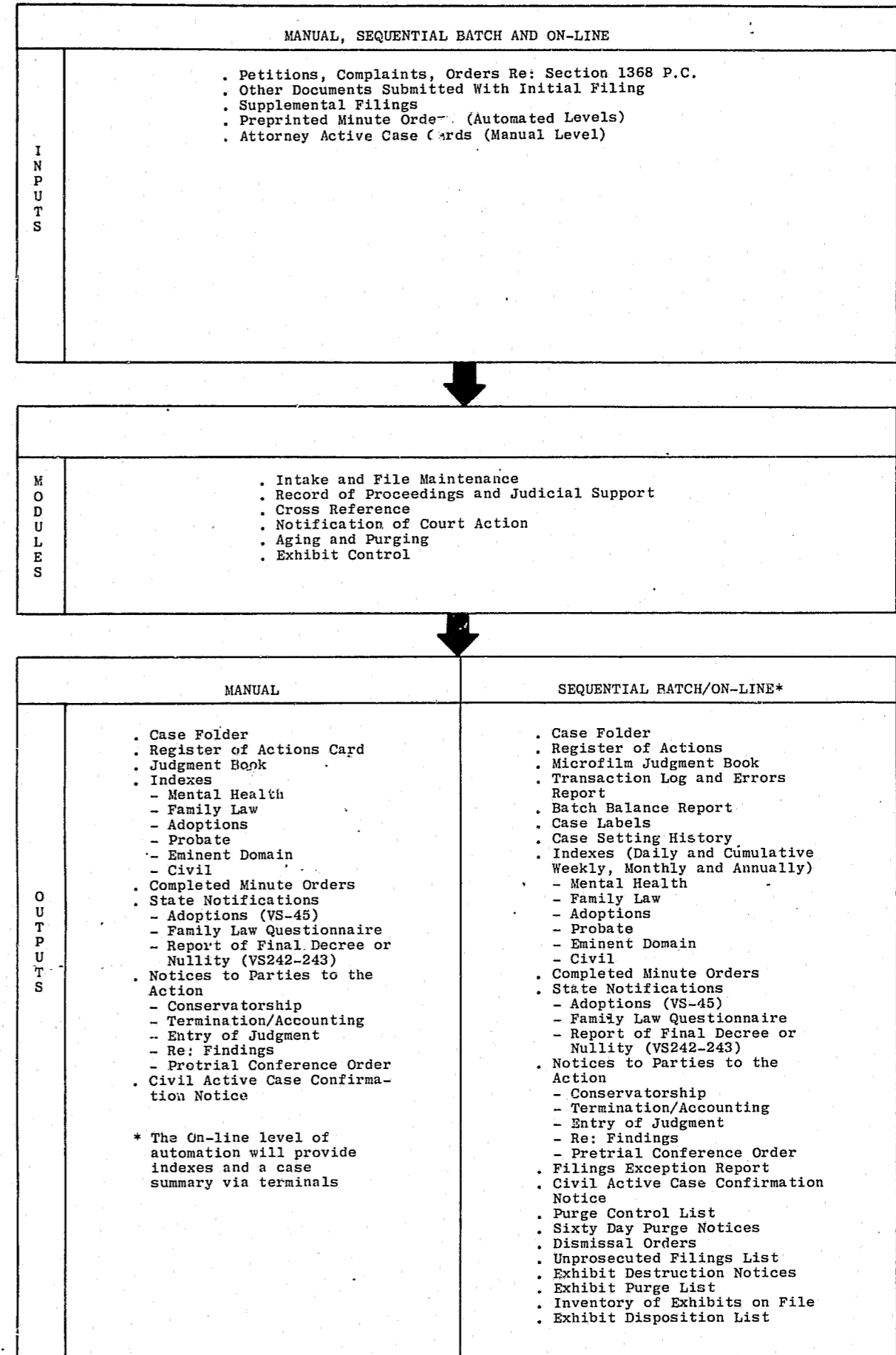
Appeals are initiated in the lower court by the filing of a notice of appeal. When the record of appeal and recorder's transcript are prepared, the case is transferred to the superior court's appellate department for hearing. Subsequent to adjudication a remittitur is prepared and returned with the originally submitted documents to the lower court. Copies of written opinions are distributed to the District Court of Appeal and the Reporter of Decisions.

Prior to each court session, the clerk pulls the case folders for cases appearing on the following day's court calendar. Requested jury instructions and verdict forms are removed from the forms inventory and are submitted to the courtroom clerk. The courtroom clerk also receives calendar cards and minute orders with the heading portion completed.

Proceedings are recorded on checkoff multipart minute orders which minimize the requirement for narrative entries. These minute orders, when completed, serve as the finished minutes. The calendar card, jury instruction forms and case folder are provided to the judge during adjudication of the case, with the calendar card serving as the case setting history.

Subsequent to court proceedings, the minute orders are reviewed for completeness by the courtroom clerk. Formal judgments and orders are prepared as required. Any exhibits received into evidence are posted to the exhibit list. The calendar card is updated to reflect any new settings made.

OTHER CIVIL
CASE FOLLOWING OVERVIEW



The court-generated documents are then distributed and/or filed as required by law. A copy of the judgment is filed in the Judgment Book. All original documents are posted to the Register of Actions and are filed in the case folder. The minutes are filed chronologically in the case folder to preclude the necessity of a minute book.

To the extent possible, court orders should be recorded solely on minute orders. However, formal notices are required to the state (adoptions and report of final decree or nullity), and to parties to the action (termination of conservatorship or annual accounting, entry of judgment, pretrial conference order, etc.). In addition, attorneys receive a quarterly notice listing their cases which are currently on the civil active list. By updating and returning a copy of this notice, the cases may be confirmed and thereby remain active.

The design provides for a combined family law questionnaire to handle the requirements of the courts' conciliation service (if the court provides the service) and the Bureau of Vital Statistics. Since the BVS form contains a subset of the questions contained on the conciliation service questionnaire, one form would suffice simply by making the conciliation service questionnaire a longer part of a multipart form along with the BVS questionnaire.

Annually, the courts' hard copy judgment book and indexes are replaced by microfilm copies. When the case folders are ready for purging, they are pulled from the case file in blocks (the case numbering system facilitates purging in series) and their documents are microfilmed and destroyed. Similarly, the corresponding Register of Actions cards are pulled, microfilmed and destroyed.

Sequential Batch Level

Similar to the manual system, the clerk makes a cursory review of the submitted documents to assure that proper case identifying data is present. Copies are conformed and summons are issued as required. A case folder is established, the documents are inserted, and the paper work is forwarded to a controls clerk.

The controls clerk reviews and edits each submitted document, as well as case-related documents generated by the court (e.g., minute orders). Copies of documents to be entered in the automated system are coded as required, and are batched and routed to the data entry section. All original documents are then filed in the case folder. The data entry copies are destroyed after an appropriate waiting period.

Appeals are initiated in the lower court by the filing of a notice of appeal. When the record of appeal and recorder's transcript are prepared, the case is transferred to the superior court's appellate department for hearing. Subsequent to adjudication a remittitur is prepared and returned with the originally submitted documents to the lower court. Copies of written opinions are distributed to the District Court of Appeal and the Reporter of Decisions.

On a daily basis, the Civil Master File is updated and interface files to the other modules, principally calendaring, statistical reporting, and accounting, are prepared. Operational reports are prepared to assist the clerk to monitor case status, system performance, and to locate case folders. These reports include:

- daily and cumulative weekly, monthly and annual indexes of filings by case type (i.e., mental health, adoptions, probate, family law, eminent domain and other civil)
- case labels
- data entry audit trail.

In addition, the case setting history is printed for those cases scheduled for an imminent court appearance. The case folder, case setting history and any requested special forms (e.g., jury instructions) are provided to the judiciary at each court session.

Proceedings are recorded on checkoff multipart minute orders which are generally pre-printed by the system. The minute orders, when completed, serve as the finished minutes.

Subsequent to the court session, formal judgments and orders are prepared as required. All court-generated documents are then routed to the controls clerk for review, coding and distribution.

All judgments are microfilmed and become part of the microfilm judgment book. The judgments' location on the microfilm is noted on the hard copy judgment so that it may be retrieved after it is again microfilmed as part of the Register of Actions.

The original minutes are filed chronologically in the case folder to preclude the necessity of a minute book.

To the extent possible, court orders should be recorded and disseminated on minute orders. The automated system, however, monitors filings and prepares formal notifications of court orders and judgments for:

- state notices of adoption or filing final decree or nullity (data is supplied to complete the special forms manually)
- notices to parties to the action (conservatorship termination or annual accounting, entry of judgment, notice regarding findings, entry of pre-trial conference order, tec.)
- notices to attorneys of their cases on the civil active list.

In addition, a filings exception report is prepared which monitors the progress of active filings and reports, by exception, condition such as:

- missing probate documents
- dissolution final decrees not requested
- mental health doctor's report due.

The Bureau of Vital Statistics and conciliation service family law questionnaires are combined as described in the manual system.

Exhibits received into evidence are inventoried and monitored by data entered from minute orders. Exhibit inventories, purge and disposition lists, and destruction notices are automatically generated, as required, by the system.

The system also monitors filings to determine their eligibility for dismissal and purging.

Unprosecuted filings are listed and dismissal orders are automatically prepared when permitted under Sections 581 and 583 C.C.P.

Filings meeting the purging criteria are listed on the purge control list. Sixty days prior to their appearance on this list, destruction notices are generated by the automated system and are forwarded to the Secretary of State. Case folders of filings to be purged are destroyed and the corresponding Register of Actions microjacket is placed in a historical file.

On-line Level

The on-line designs are similar to the sequential batch except for the indexing and case summary activities.

The on-line indexes provide recall of parties' names, relationship to case, entitlement, case type, filing date and case status indication for all cases filed

with the court and not disposed of through court judgment, dismissal, or out of court settlement. A cross reference is provided by parcel number to facilitate retrieval of the individual or master cases established in eminent domain actions.

The on-line case summary provides recall of the case setting history which shows all previous and future court dates set, purpose of the setting, requestor, and outcome.

(6) Small Claims Module Group

The small claims module group provides for the processing of small claims cases filed in the municipal courts. Specifically, these cases provide for money judgments of less than \$500, and for actions on unlawful detainer where the maximum term is month to month and the total claim is less than \$500.

Exhibit X, following this page, depicts in schematic form the small claims modules' major inputs, processes and outputs, which are also described narratively in the following paragraphs.

Manual Level

The plaintiff initiates a small claims action by completing, with the assistance of the clerk, a statement describing the nature and circumstances of his claim. The clerk collects the filing fee or the plaintiff requests and obtains an order to proceed without costs.

A multipart form is completed at the time of filing consisting of a:

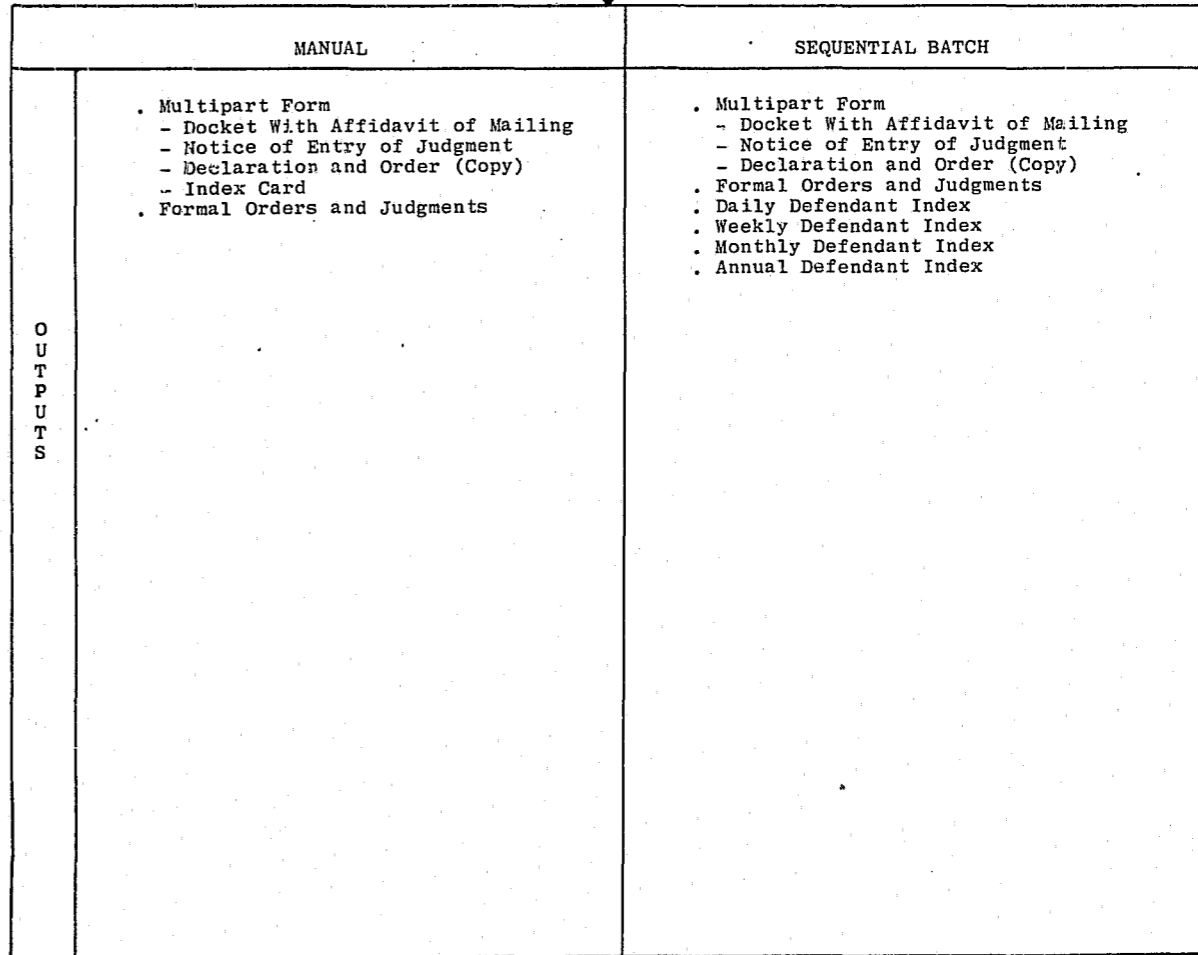
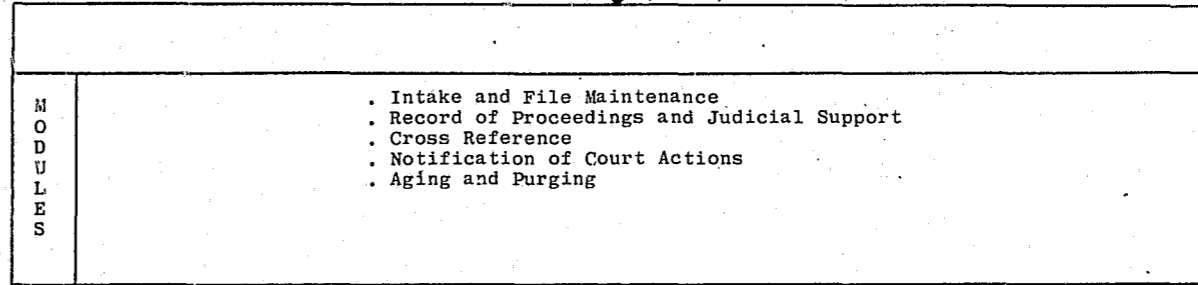
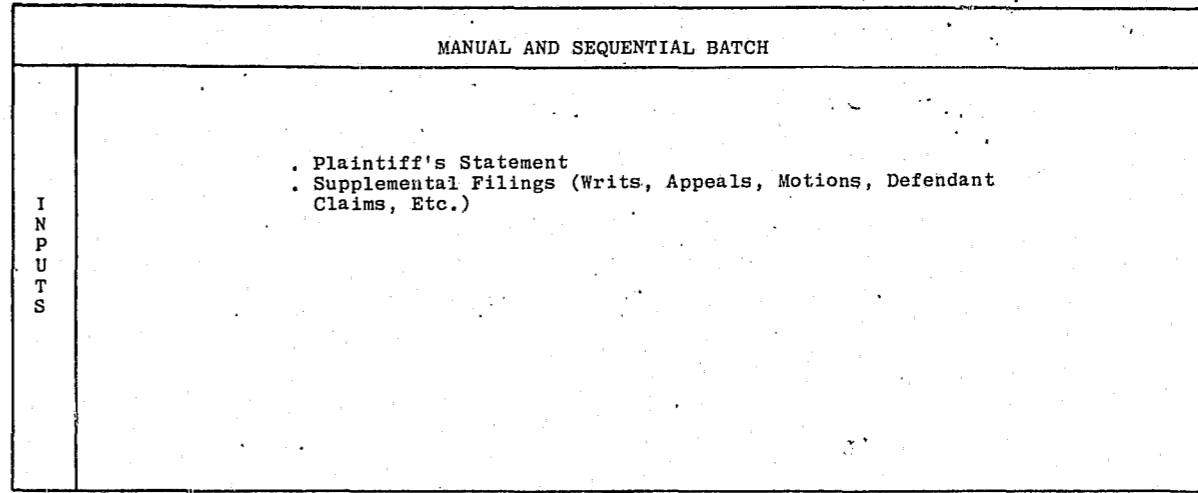
- prenumbered docket, affidavit of mailing, and declaration of non-military service
- two copies of the notice of entry of judgment (only the "heading" data is completed at this time)
- two copies of the declaration and order
- defendant index card.

A copy of the declaration and order is detached and served on the defendant(s) by mail (in which case the clerk completes the affidavit of mailing on the docket) or by personal service. An index card is stored in a tray type index file for each defendant in the action.

CONTINUED

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SMALL CLAIMS
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The case-related documents are then filed in appearance date sequence in the Appearance File until the scheduled court date. At that time, the documents are pulled and forwarded to the courtroom. The courtroom clerk records proceedings on the pre-printed docket. A copy of the declaration and order is provided to the judge during the proceedings.

Subsequent to judgment, the notices of entry of judgment are completed. They are detached from the multi-part form and are mailed to each plaintiff and defendant. The remaining case documents are stored in the case file subsequent to judgment.

When permitted by law, old dockets and related documents are purged from the case file. The dockets are then microfilmed and the documents are destroyed. The indexes are also microfilmed annually and the index cards are destroyed.

The post-adjudication procedures relating to the enforcement of judgment are similar to the comparable civil procedures.

Sequential Batch Level

The sequential batch process is similar to the manual process except for the methods of indexing, financial accounting and statistical reporting.

The sequential batch small claims modules do not utilize a case master file; only a cross reference file is utilized. Data is entered at filing and disposition time, and whenever a financial transaction occurs subsequent to filing. The financial and statistical data are passed to the appropriate modules via the Accounting Interface and Statistics Interface Files.

The automated cross reference module prepares daily, weekly, monthly and annual defendant indexes of filings. In addition, unprosecuted filings (i.e., those without a disposition in a reasonable period of time) are monitored on the Unprosecuted Filings List to facilitate their dismissal.

2. CALENDARING FUNCTION SUMMARY

The purpose of this section is to summarize the recommended automated and manual clerical procedures performed in the calendaring process. Calendaring is the process of scheduling the variety of court proceedings related to each type of case within the constraints of the law and available court resources. In addition,

the calendaring process must assure that parties to an action, witnesses, jurors, attorneys, and others are notified of impending proceedings.

Good calendaring procedures alone cannot resolve the problems of case backlog and delay which face many courts today. Case backlog and delay can be the result of insufficient resources such as judicial or clerical personnel or physical courtroom space. Court rules established to govern the process of adjudication, such as rules on continuances, settlement conferences, plea bargaining, etc., can have a significant impact. These rules must be accompanied by policies for court operation which assure equitable, consistent, and purposeful application of the rules. The combination of adequate resources, court rules, operational policies, and clerical and administrative procedures all contribute to effective calendaring.

The court, through the calendar department, schedules specific types of actions to be heard by a department within a specific time period. Court calendars, which itemize the cases to be heard during each time period, are prepared daily by the calendaring modules. For design purposes, it was assumed that the courts require the types of calendars shown on Exhibit XI. Additional special calendars can be added to this list if desired by a court. Smaller courts would probably combine certain of the types of hearings to appear on one calendar.

In actual practice, no physical calendar will be prepared for the parking citations, other citations, small claims, and juvenile traffic case categories. In these cases, the batch of dockets for the cases to be heard will serve as the calendar.

The actual preparation of these calendars should involve a balancing of cases assigned to each department in accordance with priorities established through statutes or rules of court. For background purposes useful in understanding the approach recommended for the calendaring function, the following observations can be made to illustrate its complexity:

LIST OF CALENDARS PROVIDED
EXAMPLES ONLY

MUNICIPAL COURT	
CASE CATEGORY	CALENDAR
Parking Citations	Voluntary Appearances
Other Citations	Voluntary Traffic Arraignment Mandatory Traffic Arraignment Misdemeanor Citation Arraignment
Criminal Complaint-Misdemeanor	Arraignments Plea Bargaining Conferences Trial Confirmation Hearing Pretrial Motions Court Trials (Including Traffic) Jury Trials (Including Traffic) Probation and Sentencing Hearings
Criminal Complaint-Felony	Bail Setting Arraignments Plea Bargaining Conferences Pre-hearing Motions Preliminary Hearings
Other Civil	Law and Motion Pretrial Conferences Settlement Conferences Defaults Master Calendar Court Trials Jury Trials
Small Claims	All Hearings

SUPERIOR COURT	
CASE CATEGORY	CALENDAR
Other Citations - Juvenile Traffic	Juvenile Traffic Hearings
Juvenile	Detention Hearings Adjudication/Disposition Hearings Annual Reviews
Criminal Complaint-Felony	Arraignments Plea Bargaining Conferences Pretrial Motions Trial Confirmation Hearings Court Trials Jury Trials Probation and Sentencing Hearings
Civil-Probate	All Hearings
Civil-Family Law	Default Hearings Orders to Show Cause Law and Motion Reciprocal Enforcement Support Law (RESL's) Contested Trials
Civil-Mental Health	Mental Health Hearings Criminal Insanity Hearings
Civil-Other Cases	Adoption Hearings Law and Motion Pretrial Conferences Trial Setting Conferences Settlement Conferences Defaults Master Calendar Short Cause Court Trials Long Cause Court Trials Jury Trials Small Claims Trial de Novo
Appeals	All Appeals from Lower Courts

EXHIBIT XI

- . In the competition for court resources, civil cases suffer from the need to adequately handle the ongoing day-to-day work load and from the higher priority given to criminal matters. Thus, civil cases are usually the backlogged cases.
- . Continued matters represent an additional demand on court resources, the size of which depends upon local continuance policies. Since continued matters in effect, create work load, they too can reduce the availability of court time for civil matters, thereby creating a backlog.
- . The amount of potential court work load, represented by at-issue cases or complaints filed, decreases as the appearance date approaches. This "fallout" of work load can be predicted with some degree of accuracy by statistical reporting and analysis. Fallout should be factored into appearance date setting guidelines, thereby "oversetting" the number of cases which can actually be heard. Particular attention should be given to long cause cases since the unpredictability of their occurrence or duration can either overload court resources, or when the "fallout" is greater than predicted, result in idle court resources.
- . Although civil cases are low in priority, appearance dates must be set in advance of criminal cases due to timing constraints specified in the statutes and rules of court. Civil trials must be set for appearance at least 90 days in advance. If courtrooms become available within the 90 day period due to excessive "fallout," civil cases cannot be reset to make use of the available time. If a calendar clerk schedules civil cases in anticipation of fallout which does not occur due to below normal "fallout", a severe trailing situation or continuances may occur.

The observations above illustrate some of the complex interrelationships which must be considered in scheduling court resources. A statistical reporting system is vital to the analysis and rationalization of these interrelationships including:

- . The relationships between civil and criminal work load
- . The relationship between continuance, trailing and case load oversetting policies and their effects upon backlog, delay, court room utilization, and witness, juror, and attorney waiting times.

The calendar function designs as described in Appendix H were developed to accommodate the variety of existing policies related to the above factors and to enhance the analysis and improvement of such policies. The modules designed are as follows:

- . Appearance Scheduling
- . Notification of Court Appearance
- . Calendar Preparation
- . Department Assignment.

Each of these modules is described below:

. Appearance Scheduling

This module includes determining the type of appearance and an appearance date. In all cases, scheduling is performed manually, assisted by listings of previously scheduled cases to assess total work load. Four methods of scheduling appearances are defined, depending upon the type of hearing and the individual actually setting the date, as follows:

- Law Enforcement - Dates for appearance in citation court are established at the time of citation issuance. The dates are normally 10 or more days from issuance. In addition, custodial officers set criminal complaint arraignment dates in conjunction with a court calendar clerk for those released on bail, bond, or O.R.
- Court Counter Clerk - appearance dates for short duration actions are scheduled by the counter clerk at the time of filing. Typically, defaults, OSC's, motions and small claims appearances can be scheduled in this manner.
- Judge - criminal hearings are scheduled in court at the prior appearance. The initial appearance for arraignment is scheduled by law enforcement if the defendant is released or within 48 hours of arrest if held in custody. Long cause criminal cases should be scheduled with the assistance of a calendar clerk, due to the impact of long trials on the overall court schedule (see next item).
- Calendar Clerk - the calendar clerk is responsible for the overall work load schedule of the court and maintains records of all pending cases. The

calendar clerk must be cognizant of the case load scheduled by others, as noted above, and should assist the judges in setting long cause criminal trials by providing alternative trial dates. Provided calendaring guidelines for others are established from accurate statistics, the calendar clerk should be able to schedule uncommitted resources for civil cases without creating a significant backlog. The setting of civil trial dates is the prime responsibility of the calendar clerk. The effective scheduling of civil cases is a complex matter if trailing, continuances, and excessive backlog are to be avoided.

With the exception of dates set by the calendar clerk, notification of appearance is given at the time of the setting with parties present. When dates are set by the calendar clerk not in the presence of parties, notice of appearance is given at a prior appearance where possible, or by mail otherwise.

. Notification of Court Appearance

The notification modules provide formal notices of appearance to parties to juvenile and civil actions. The modules promote the notification of future appearance at the time of a current appearance by providing pre-printed notices with the court calendar and pre-printed minute orders.

. Calendar Preparation

A file of all scheduled cases is used to prepare court calendars in accordance with the master department schedule. These modules also prepare listings of pending cases and the civil active list.

. Department Assignment

The department assignment activities have a major bearing upon the development of an effective calendaring system since they initially establish the master department schedule and review court calendars to make last minute adjustments in departmental assignment. Last minute assignments are often required to allow for work load variations from the statistical averages used to develop the master schedule. When excessive work load conditions exist, some cases may be trailed for hearing if time permits.

A primary objective of the calendaring function is to provide the clerks, administrators, and judges with information to address

calendar problems. Exhibit XII, following this page, summarizes the information outputs provided by the manual, sequential-batch and on-line levels discussed below.

Manual Level

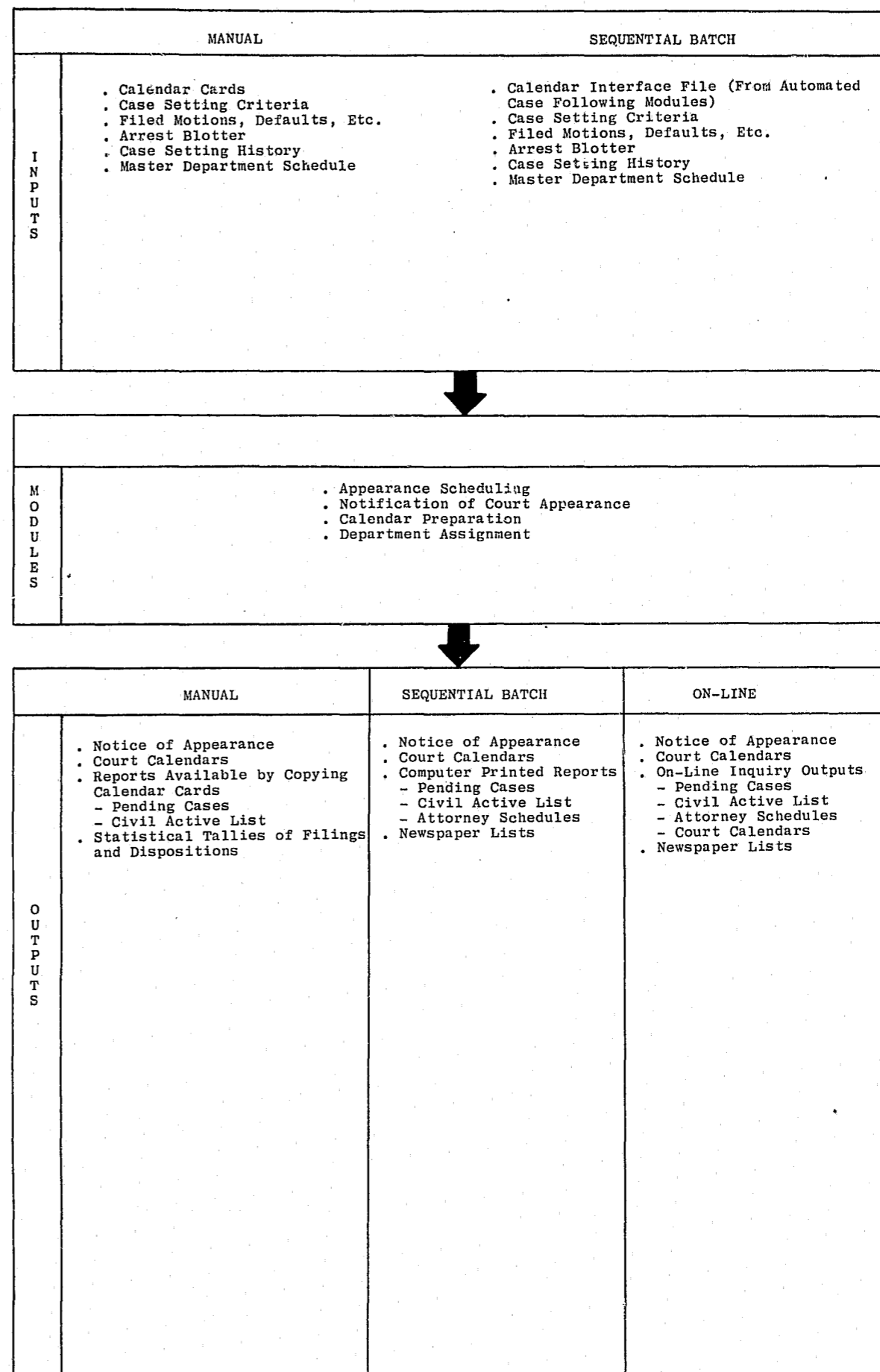
Calendar cards are created when a case is initiated as a part of the case following activities. The calendar clerk receives calendar cards daily and files them in the calendar master file by date of appearance. The cards are visibly arranged in a card rack or other similar holder organized by case type. Civil cases at issue but not scheduled for appearance constitute the civil active list and are maintained in a file apart from cases which are scheduled for appearance.

Calendar cards are removed from the civil active file by reviewing the scheduled case load and determining the amount of uncommitted court time. Depending upon resource availability, at-issue cases are scheduled for appearance and the appropriate notices of appearance are prepared. The calendar cards are updated with appearance date and verification of notice and are then filed by pre-trial conference, setting conference, or trial date, as appropriate. If a pre-trial or setting conference is scheduled prior to trial, a tentative trial date would also be scheduled and noted on the calendar card for confirmation and notification at the conference. Also at the conference, a settlement conference date would be set and noted on the calendar card.

Each day the calendar clerk would prepare court calendars for the next day by "xeroxing" the calendar cards filed in the calendar master file. Prior to calendar preparation, the calendar cards would be organized by department according to the master department schedule. The court calendar for each department would be accompanied by pre-printed minute orders, and the calendar card for each scheduled case.

Prior to the distribution of court calendars to each department, the court administrator or master calendar clerk would review the calendared case load and make adjustments to departmental assignments for equitable work distribution. A copy of the court calendars would be forwarded to a clerk to pull case files. The court calendars, along with the pre-printed minute orders and calendar cards, would then be distributed to the appropriate court room clerks. These would be updated by the court room clerks based on the court proceedings.

CALENDARING OVERVIEW



After recording court proceedings, the court clerk returns the calendars and calendar cards, showing disposition and any future dates scheduled in court. The calendar cards are then refiled by the next appearance date until final disposition has been rendered. Upon final disposition, the calendar cards are filed by month of disposition for statistical analysis of disposed cases.

Sequential Batch Level

The basic flow of information in the sequential batch system is similar to the manual level. Case scheduling and notification of appearance are performed in the same manner, except that an attorney schedule is utilized by the calendar clerk to reduce the occurrence of schedule conflicts.

The calendar card which is employed at the manual level is eliminated by automating the calendar master file on magnetic tape. Since the calendar card cannot be used to record dispositions and dates scheduled in court, these data elements are recorded in the minutes. The case following data entry procedures include the entry of these data elements which are passed to the calendar system by a Calendaring Interface file. This file is created when the case following master file is updated and thus has a high degree of reliability as a result of data editing at that time.

The Calendar Master file, maintained from Calendar Interface file transactions, is used to automatically prepare court calendars. The system also prepares pre-printed minute orders associated with each court calendar and prepares newspaper lists of calendared cases. Court calendars are organized by department in accordance with the master department schedule maintained on magnetic tape or as a table within the computer memory.

The Calendar Interface file also includes attorney identification data extracted from the case following master file, an indicator when notification of appearance is required, and the case setting history of cases reaching final disposition. The attorney data is used to maintain an attorney master file containing name, address, phone number, and scheduled appearance dates by attorney. Attorney schedules are prepared from the master file. Notices of appearance are automatically prepared by the system as indicated in the interface file.

The case setting history is retained in the calendar master file until the monthly purging of disposed cases

occurs. At this time, the system prepares a statistics file summarizing the condition of the calendars and the disposition history of cases. The civil active list along with listings of all pending cases is also prepared at this time.

On-Line Level

The on-line level differs from the sequential batch system by providing rapid access to the calendar master and attorney master files via on-line video display terminals. The following information is displayed upon request.

- civil active list by age and priority
- pending cases by date and department
- pending jury trials
- attorney schedules

The major benefit of placing this information on-line is the rapid availability of case schedule information upon request and the immediate up-dating of civil active, pending case, and attorney schedule listings.

3. JURY SERVICES FUNCTION SUMMARY

The jury services function discussed in the following paragraphs encompass the activities of the Jury Commissioner and the court in providing qualified jurors for trials. The activities include the selection, qualification, and summoning of jurors. In addition, the modules have provisions to maintain records for juror service and for the accumulation of statistics related specifically to the jury services function.

Five modules have been designed. The main features of both the manual and automated modules are discussed below:

Juror Selection

On a regular basis the court projects the number of jury trials expected during the next period. To determine the number of potential jurors which need to be selected for this projected number of trials, three statistical rates must be calculated. These rates are as follows:

- historical voir dire rate = $v = \frac{\text{no. jurors voir dired}}{\text{no. jury trials} \times 12}$
- absentee rate = $A = \frac{\text{no. summoned}}{\text{no. appearing}}$

$$\text{qualification rate} = Q = \frac{\text{no. selected}}{\text{no. qualified}}$$

The number of jurors to be selected is determined by multiplying these rates by the projected number of jury trials.

$$\text{Jurors Selected for Next Period} = \text{Project Jury Trials} \times 12 \times A \times Q$$

Voter registration lists serve as the starting point for the selection of the jurors required for the next period. A file of jurors who are exempt due to prior service may be optionally maintained and referenced to prevent the unnecessary mailing of affidavits.

As affidavits are prepared for mailing, a random number is assigned to each juror selected. This number remains with a juror throughout the service cycle to assure randomness for all subsequent jury service drawings.

Juror Qualification

The juror qualification module encompasses those activities performed by the Jury Commissioner necessary to determine the qualification status of potential jurors from returned affidavits. A juror master file is created of those potential jurors determined to be qualified for service. This file includes juror identity information as well as summons status, attendance, and service records. A follow-up or second notice is mailed to those potential jurors not responding to the initial affidavit mailing.

The juror qualification process is continuous throughout the year at a rate necessary to provide sufficient qualified jurors. Rather than produce an annual "list" of qualified jurors, those qualified are simply added to the master file.

Juror Summons

The master calendar clerk or court administrator determines the number of jurors to be summoned for pending jury trials at least two weeks in advance. The number summoned is based upon statistics reflecting the juror requirements by type of trial. The number of jurors actually summoned should be increased to account for the absentee rate. Juror status is updated in the master file to indicate summoning. When jury trials are cancelled, jurors are notified by phone not to appear.

JURY SERVICES OVERVIEW

Juror Assignment and Service Records

Jurors appearing on the date indicated by the summons are assembled in a jury room for roll call and for assignment to trials. All records used for roll call, assignment and voir dire are organized by the random number initially assigned to each juror. As a result, sequential selection of jurors from these lists results in a random selection.

Attendance cards, one per juror, are grouped by panel and accompany the panel into the assigned courtroom. These cards are retained by the court clerk for recording service through the jurors' participation in the assigned trial. The cards, with attendance recorded, are returned by the bailiff to the jury assembly room so jurors can be reassigned to another trial or dismissed for the day.

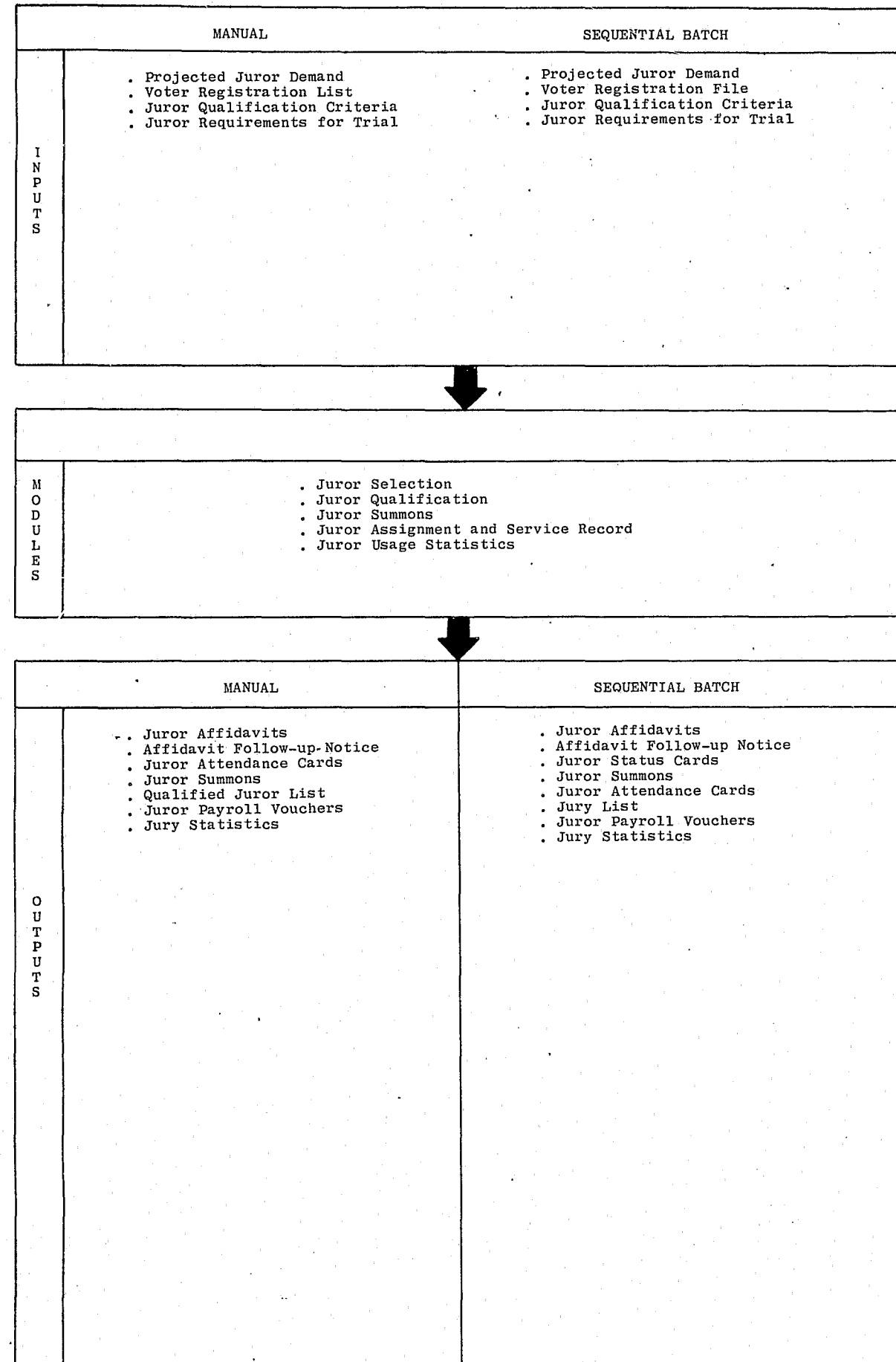
Juror Usage Statistics

This module accumulates juror selection, qualification, summoning, attendance, and voir dire statistics necessary to project juror needs. In addition, this data will assist in the development of local policies and procedures to improve the management of the jury services function.

Exhibit XIII, following this page, summarizes the inputs and output reports associated with the modules described above. The exhibit also identifies the differences between the use of the manual or sequential batch levels of automation. The major features of the manual and sequential batch modules are discussed below.

Manual Level

Those persons who are selected as potential jurors are sent an affidavit which is manually prepared by the Jury Commissioner. This affidavit is the first part of a multipart form which includes a follow-up notice, the summons, and an attendance card. Affidavits are removed from the packet and mailed to the potential jurors. The remaining forms are retained to form the juror master file. Follow-up notices and summons are removed from the file and mailed to selected jurors as the need arises. Attendance cards remain in the master file until the juror's service obligations are fulfilled. The attendance card provides a means to record service, to derive statistics, and to request juror payment.



Sequential Batch Level

The sequential batch level maintains the juror master file on magnetic tape which is sequenced by the random number assigned to each juror. Each new addition to the master file causes an affidavit and juror status card to be prepared. The affidavit is mailed and the status card retained to serve as a manual control for the Jury Commissioner during the qualification process; this card is later used to update the master file.

Summons, jury lists, and attendance cards are prepared as a result of the courts request for jurors. The system automatically selects qualified jurors from the master file by sequential (random) number and prepares the necessary outputs. Attendance cards similar to the manual system are used to record juror attendance and are submitted to the system each day to update the master tape file. The master file is then used to prepare payroll vouchers and statistical reports.

An on-line jury services module was not designed, since there is little advantage in the rapid access to juror information via terminals. One exception to this would be the on-line preparation of payroll warrants in order to pay jurors immediately upon the completion of service. This facility would require an interface to the County Auditor's system, authority for the court to issue juror warrants, and a procedure to secure blank warrants.

4. FINANCIAL ACCOUNTING FUNCTION

The financial accounting function provides for the collection of court revenues, maintenance of trust accounts, and the distribution of payments in accordance with the law.

For purposes of system design and development, we have grouped these activities into the following modules:

Accounting of Fines, Service Fees and Forfeitures - the preparation of daily and periodic accounting reports and audit trails required to properly account for and distribute cash (or cash equivalent) intake

FINANCIAL ACCOUNTING OVERVIEW

- Accounts Receivable - the establishment and maintenance of accounts for persons ordered to make installment or deferred payments to the court
- Bail, Bond and Trust Accounting - the establishment and maintenance of bail, surety bond, and general trust accounts
- Disbursements - the issuance of warrants (bank drafts) or vouchers for bail refunds, juror, witness payments, and disbursements to the state and local governmental agencies sharing fine, service fee and forfeiture revenues.

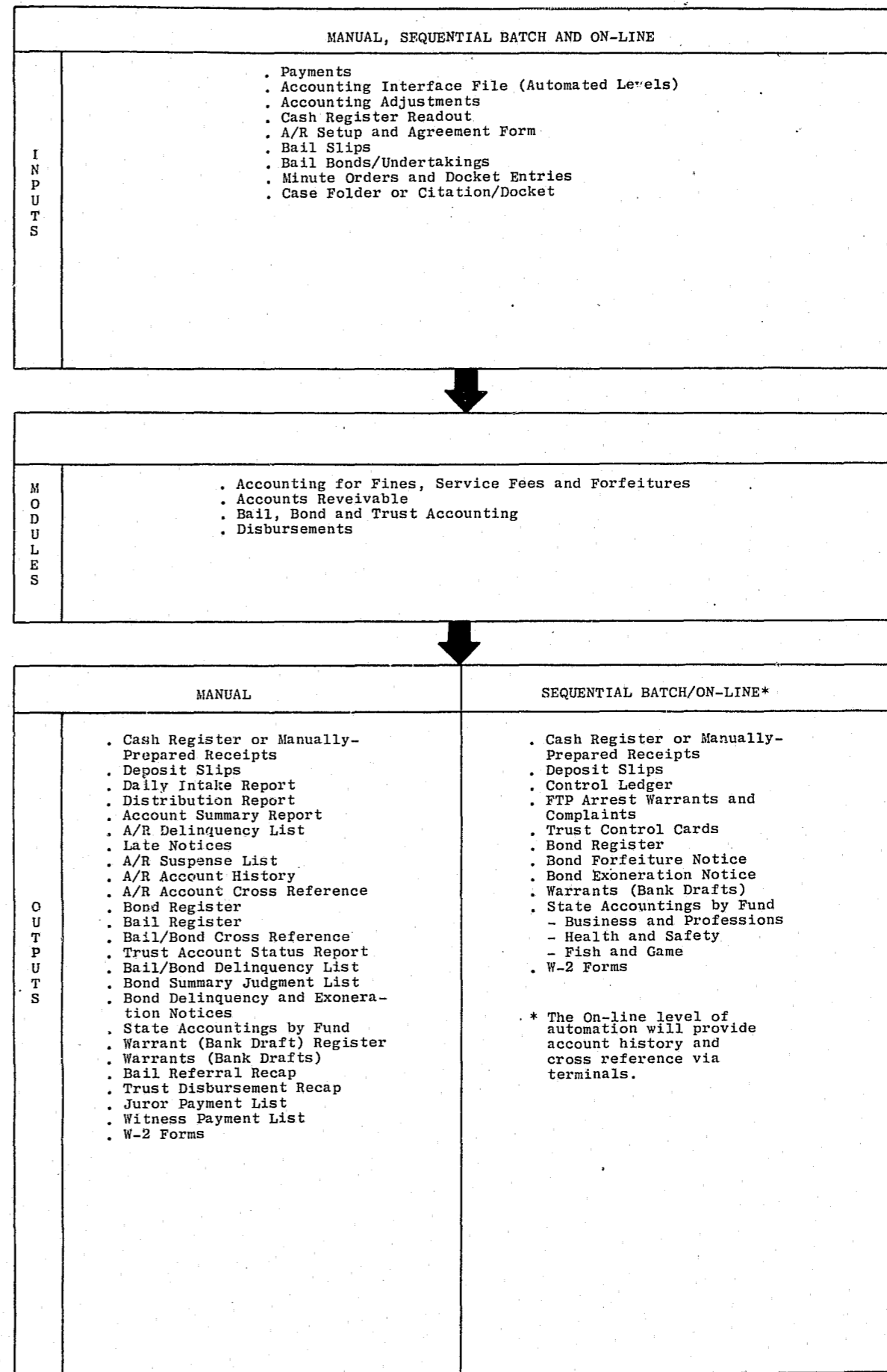
The following overviews describe the operation of the financial accounting modules at the manual, sequential batch and on-line levels of automation. Exhibit XIV, following this page, summarizes their major inputs, module processes and outputs in schematic form.

Manual Level

During the day, payments are collected for one-time and installment fines or court-ordered payments, service fees and bail forfeitures. In most courts, a cash register tabulates the distribution of the collected monies into the register's internal counters, and prepares receipts and an audit trail. As such, multiple entries on the cash register are normally required for a single payment. At the end of the day, the cash register is "read out" and the payments are reconciled with the audit trail. Any errors are rectified by either correcting the audit trail or obtaining judicial approval to accept the over or under charge.

Deposit slips are prepared and are forwarded with the payments to the auditor-controller. Additional copies of the deposit slips may be forwarded to other county departments as well. Bulk entries are made in the control ledger to distribute the payments to the various general trust accounts maintained on behalf of the state and local agencies sharing in the collections.

Subsequent to the imposition of an installment fine or other court-ordered installment payment, the clerk forwards two copies of the A/R Setup and Agreement Form to the accounting division. The accounting clerk files one copy of the form in name sequence to serve as an account cross reference, and a second copy in next payment due date sequence to record the submittal of payments and to age accounts in arrears.



As installment payments are received, they are posted to the A/R Setup and Agreement Form located by next payment due date in the Open A/R File. In order to locate the form, the clerk may refer by payor name to the copy in the Account Cross Reference File.

Prior to the submittal of the final installment, the form is refiled in the Open A/R File under the next payment due date. After the last payment is made, the form is filed with the rest of the case material and the cross reference copy is destroyed.

A/R Setup and Agreement forms are pulled from the Open A/R File when they are past due. A check is made against the case record to verify that a payment validation was not made for the past due amount. Accounts of juveniles and adults on formal probation are referred to the probation office. Warrant packages and complaints are prepared for persons subject to provisions of Section 40508 CVC. Any other account in arrears is subject to the issuance of a bench warrant.

Bail bonds and undertakings submitted to the court are recorded in a bond register. The original documents are filed in the case folder. When bail or other monies are accepted in trust by the court, a subsidiary ledger by individual is maintained in the form of trust control cards or bail slips. Bulk entries by trust account type are made in the control ledger at the end of each day. General trust accounts are also established and maintained for service fee, fine and forfeiture income until disbursements are made monthly to the appropriate state and local agencies.

As court actions take place, the bond register is updated. If the court orders a bond exonerated, a notice of exoneration is also prepared and forwarded to the bonding company and agent. A copy of the notice is placed in the case folder. If the court orders bond forfeiture, a notice of forfeiture is forwarded to the bonding company and agent and a follow up date is noted in a diary for 180 days hence. By that time, either the defendant appears or the bonding company must submit the surety amount (or be subject to civil penalties). This amount is then posted to the general trust accounts in the control ledger.

Warrants (bank drafts) are prepared for payments to jurors; refunds of cash bail and other monies held in trust; distributions of fine, service fee and forfeiture income to city, county, and state funds; and payments to court-appointed witnesses and attorneys. In order to maintain proper fiscal control, all

warrants (bank drafts) are forwarded to the auditor-controller for review and authorizing signature. Person-oriented accounts (e.g., witnesses and jurors) are controlled by name. Social security number is also retained in order to facilitate preparation of W-2 forms at year end.

Sequential Batch Level

Payments are collected at the counter and adjustments are noted for correcting recording errors. (Each correcting entry on the list must be initialed by a supervisor.) The source distribution code is entered at case initiation time so that fund distributions can be performed by the automated system. At the end of each day, the payments are forwarded with the audit trail to the accounting division. The cash is then reconciled to the audit trail and any adjustments are noted. Deposit slips are prepared and forwarded to the auditor-controller with the payments.

The accounting division receives reports which recap the previous day's financial activity, and which distribute the revenues to the appropriate accounts. These reports include the:

- Daily Intake Report
- Distribution Report
- Account Summary Report.

The Daily Intake Report is reviewed and its check totals are verified. Any required adjustments to the previous day's reports are included on the current day's Accounting Adjustments List.

Each installment account is set up, adjusted and credited from transaction records located on the Accounting Interface File. Account history and all transactions affecting the account is maintained on the A/R Master File.

Each person is assigned an account number (social security number) so that all receivable activity affecting that person is centrally located and available in a single reference to account history.

An Account Index is prepared to cross reference case number to account number.

Accounts in arrears are listed on the A/R Delinquency List. Juvenile accounts and accounts of persons on formal probation that are in arrears are printed separately, and are forwarded to the Probation Office for action. Arrest warrants are prepared by the computer for those persons chargeable under 40508 of the California Vehicle Code.

The payor submits installment payments per the schedule on his copy of the A/R Setup and Agreement Form. The clerk posts payments to the court's copy of the A/R Setup and Agreement Form. After the last installment is paid, the form is returned to the party's case folder, or it is attached to the docket and the case record is updated.

Monies posted with the court in trust such as cash bail and bail bonds or undertakings are monitored by the following reports prepared by the computer:

- Bond Register
- Cash Bail Register
- Bail/Bond Cross Reference
- Trust Account Status Report
- Bond Summary Judgment List.

Bond delinquency or exoneration notices are also generated to inform parent firms and their bonding agents of changes in the status of sureties.

In addition, revenues from fine, service fee and forfeiture payments are posted to interim general trust accounts in order to automate the audit trail and disbursement activities.

Warrants (bank drafts) are prepared for disbursements to jurors, refunds of cash bail and other monies held in trust, distributions of fine, fee and forfeiture income to city, county, and state funds, and payments to witnesses. In order to maintain proper fiscal control, all warrants (bank drafts) are forwarded to the auditor-controller for review and authorizing signature. Person-oriented accounts (e.g., witnesses and jurors) are controlled by social security number.

On-line Level

The on-line level is similar to the sequential batch level except for the accounts receivable activities. The on-line modules provide for the on-line access to individual receivable account history and to the account number cross references.

5. STATISTICAL REPORTING FUNCTION

Statistical reporting involves the summarization of court data for internal court management and reporting to outside agencies. Both types of reporting depend upon the case following or calendaring functions for the data to be summarized and reported.

An overview of the two modules which perform the statistical reporting function is presented below.

• Statistical Reporting to Outside Agencies

This module prepares monthly summary reports to outside agencies. This includes summaries of filings and dispositions, judicial assistance, and calendar condition to the Judicial Council and a Bureau of Vital Statistics report which summarizes family law petitions and decrees.

External reports relating to specific cases, such as those to CII and BCS, are produced under the case following activities and are discussed in that section of this report. Jury statistics reporting is provided by the jury services modules.

• Internal Statistical Reporting

Internal reports are prepared periodically to summarize filings and dispositions by case type and department. In addition, this module prepares a disposition flow trace report which displays the major court events and their timing for all cases reaching final disposition. This report has two major advantages over other filing and disposition reports:

- It accurately relates filings to major court events leading to final dispositions. This permits a projection of the court work load by appearance type represented by a given level of filings.
- It also permits a means to accurately determine case "fallout" for various case characteristics and categories.

Present reports include filings and dispositions occurring in the same period of time which are not directly related to the same cases. This fact and the fact that broad case categories are used for reporting, limit the accuracy and scope of analysis which can be performed.

The combined analysis of internal reports provides for the development of the following:

- projections of work load for budget preparation and annual juror requirements
- the master department schedule
- calendaring guidelines including the maximum numbers of appearances which should be scheduled for each type of hearing and the case setting criteria to be used to overset calendars in anticipation of case "fallout"

- local rules of court needed to resolve problems identified as a result of statistical analysis.

Exhibit XV, following this page, summarizes the inputs and outputs related to both modules described above. The specific manual and automated procedures used to prepare the outputs are briefly described below.

• Manual Level

At the manual level, filings and disposition statistics are tallied on a decentralized basis by clerks during the performance of case following and calendaring activities. Tallies are accumulated centrally by the court administrator, the master calendar clerk, or a clerk assigned the responsibility of statistical reporting. Monthly reports to the Judicial Council and Bureau of Vital Statistics are manually accumulated and copies are filed in a history file with the associated tally forms.

The condition of calendar report is prepared by referencing the calendar master file containing calendar cards filed by date of appearance within court calendar type. The report is forwarded to the Judicial Council and a copy is filed in the statistics history file.

The report of judicial assistance prepared each month summarizes the following records:

- Judicial Council judicial assignments
- Stipulations for Pro Tem judges
- Personnel time records for commissioners and referees.

The amount of assistance time is manually accumulated to prepare the Judicial Council report.

A historical file containing the monthly reports provides the basis for annual statistical summaries of filings and dispositions by case type and department. The disposition flow trace is prepared from the calendar cards for disposed cases. The cards contain the recording of each major court appearance leading to disposition. Further analysis of these two reports becomes a useful tool in the evaluation of and planning for court operations.

Sequential Batch Level

The sequential batch level is similar to the manual system in terms of output reports and the uses of the reports. However, the sequential batch system accepts statistical interface magnetic tape files from the sequential batch or on-line case following functions. The statistical history files are maintained on magnetic tape and contain summary statistics for the five preceding years as well as current year data by month. The statistical history files are used to automatically prepare monthly reports to outside agencies with the exception of judicial assistance and annual reports for internal court management use. The reporting of judicial assistance remains a manual process.

Statistical reporting modules at the on-line level are unnecessary due to the sequential nature of processing and the summary nature of the output reports. As previously mentioned, the sequential batch level accommodates either the sequential batch or on-line case following functions.

6. INTERNAL ADMINISTRATIVE CONTROL FUNCTION SUMMARY

This section summarizes the procedures related to the administrative control of internal court operations. The modules within the internal administrative control function are briefly described below:

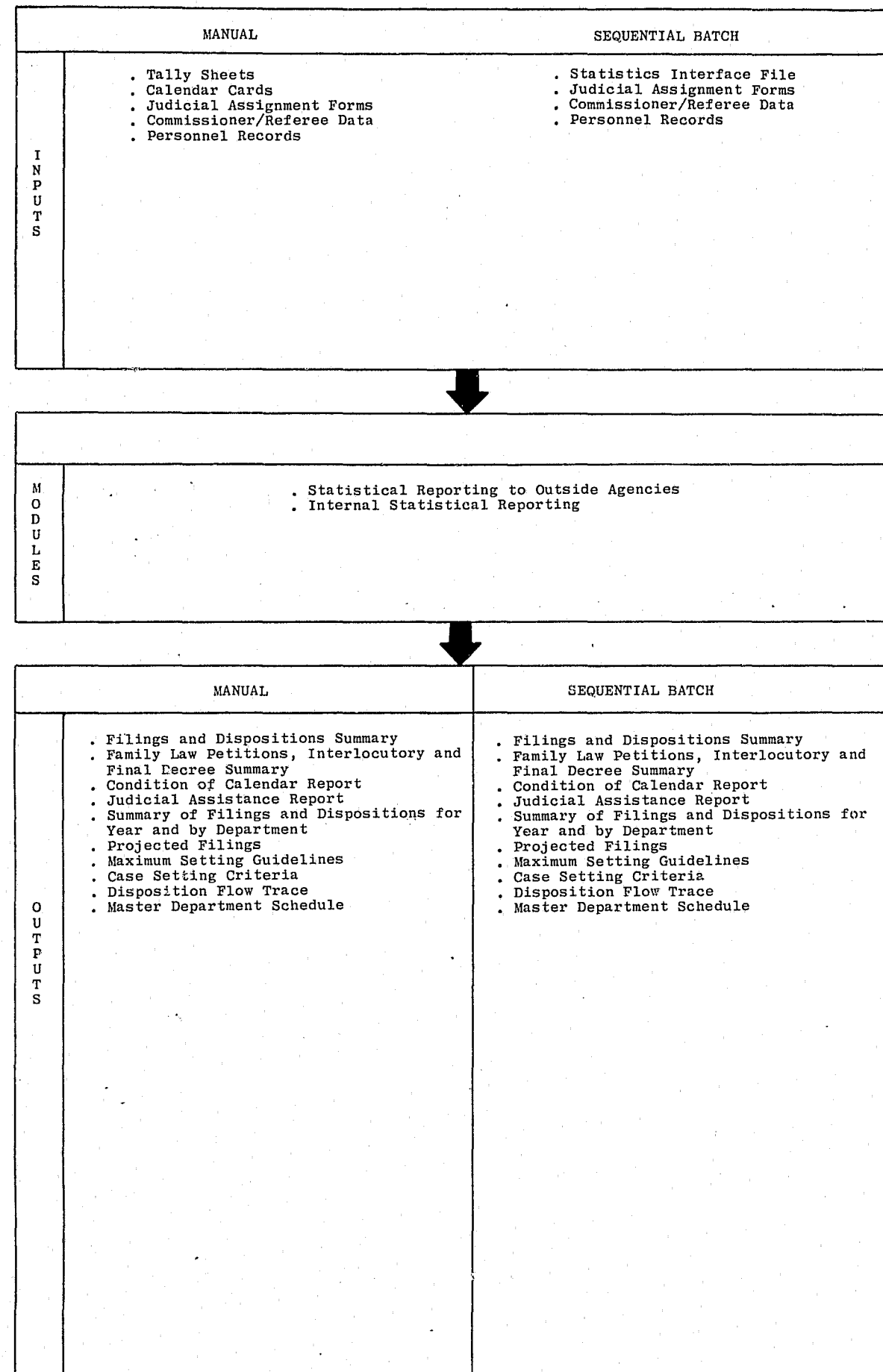
Personnel

This module encompasses the maintenance of personnel records, time and attendance report processing, and payroll preparation for court personnel.

Personnel records retain data regarding county civil service status, job classification, grade, and salary, and person identifiers such as name, address, social security number, deductions, etc. Salary and wage data in these records along with personnel time and attendance report data by pay period, provide the payroll activity with the data necessary to produce payroll warrants.

When time is reported by discrete activities, this data can be used to prepare reports which accumulate the time spent in each activity. If activities are defined to be related to case categories, work norms (e.g., activity hours per filing) can be prepared. Work norms coupled with projections of filings can be useful for planning man-year requirements by activity and position.

STATISTICAL REPORTING OVERVIEW



Purchasing

The purchasing module includes the activities to assist in the acquisition of equipment, services, forms, and supplies by dealing with vendors and receiving purchased items. The purchasing cycle is initiated by purchase requisitions. If the status of allotments indicates that funds are available, goods and services are purchased directly under blanket purchase orders or service agreements. Services would include those provided by court reporters and court-appointed attorneys. Requests for bids are prepared and sent to the appropriate vendors for items not covered by service agreements or blanket purchase orders. Purchase orders are prepared for a selected vendor upon evaluation of bids.

When the purchase order is prepared, the amount of the purchase becomes an encumbrance on the appropriate account allotment. Invoices for goods and services complete the purchase cycle and cause the encumbrance to become an expenditure. A request for a purchase warrant is then prepared to establish an accounts payable transaction.

Disbursements and Accounting

This module prepares purchase warrants and warrant registers. In addition, this module maintains the general ledger by processing all money transactions related to the internal administration of the court. General ledger accounts are maintained by processing:

- purchase expenditures
- personnel payroll expenditures
- transfer of funds.

At the completion of each accounting cycle, normally each month, this module generates the trial balance, general ledger and status of allotment reports. In addition, a program budget status report would be prepared for management control purposes. Each of these reports are valuable tools for the budget planning process.

Budget Plan

The activities required to prepare and approve an annual budget are included in this module. Budgets are prepared using the following data:

- filings projected for the budget year by case category
- work norms
- staffing reports listing authorized and filed positions

INTERNAL ADMINISTRATIVE CONTROL OVERVIEW

- historical cost reports including:
 - .. Program Budget Status Reports
 - .. Status of allotments.

Personnel man-year requirements by activity are determined by multiplying the work norms for each activity by the projected filings. Necessary increases to authorized positions and a dollar personnel budget are then determined using wage and salary data.

The annual budget is then finalized by using the historical cost reports to verify the estimated personnel dollars and to develop estimates of operating and capital expenditures. The final budget submitted for approval consists of the following:

- program budget requirements
- general ledger allotment requirements
- man-year requirements
- capital budget requirements.

Physical Inventory

The physical inventory module maintains a master file of all court physical equipment and annually prepares an inventory report. Each court department reviews the inventory list and updates the master file by submitting changes which occurred in the preceding period.

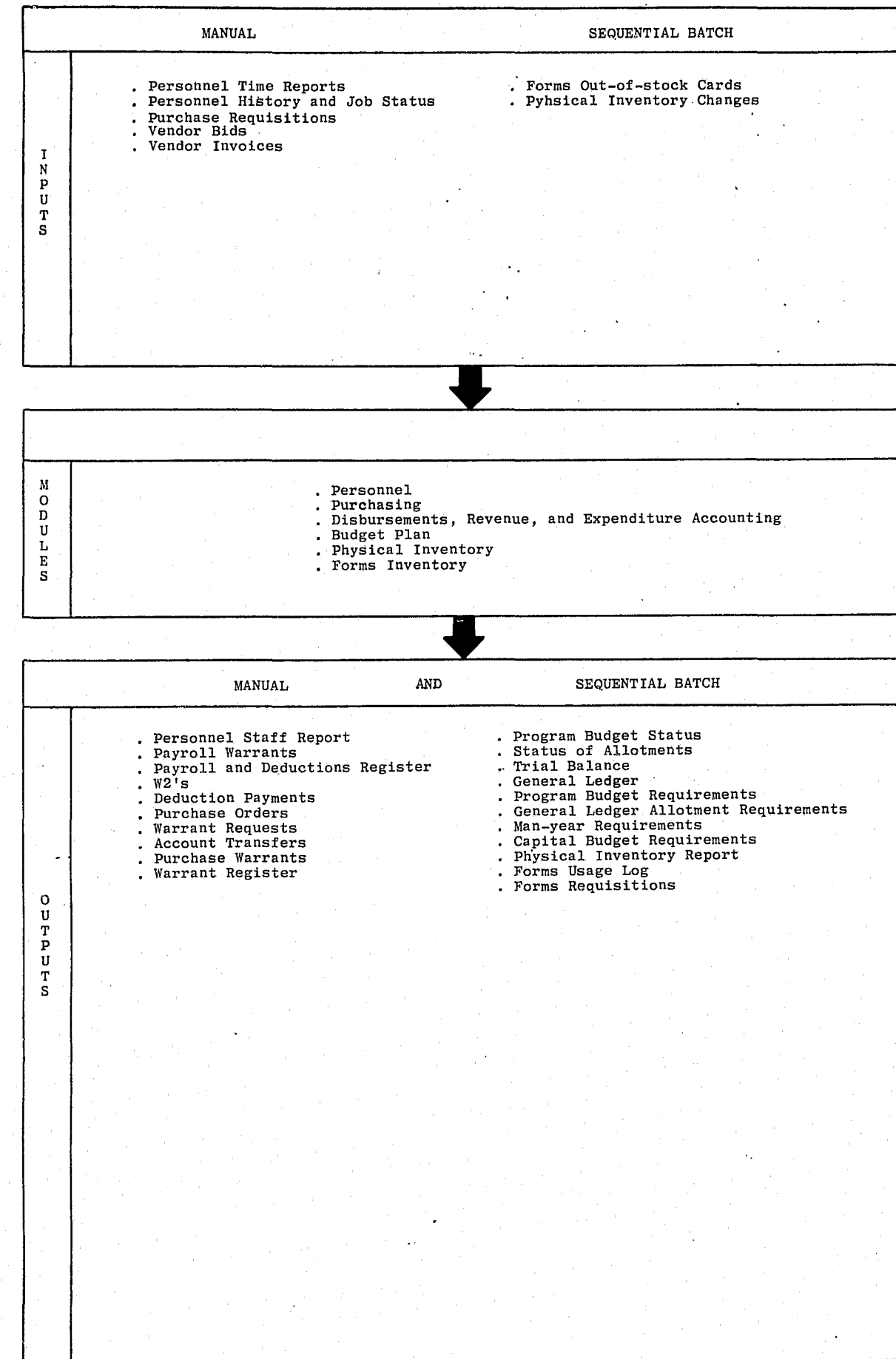
Forms Inventory

The court utilizes many forms and often furnishes them to attorneys or others to assure the use of standard forms. No precise inventory of forms need be maintained. Instead, each storage bin or stack of forms contains an out-of-stock card to be submitted for reordering when stocks are depleted. The card is marked with the form number and an appropriate reorder quantity.

A requisition form is completed and forwarded to purchasing. An entry is made in a forms requisition by indicating the form number, requisition date, and the order quantity. This data is used to analyze forms usage.

Exhibit XVI, following this page, summarizes the inputs, outputs, and modules associated with the internal administrative control function.

With the exception of the forms inventory activities, many internal administrative control services are performed as a part

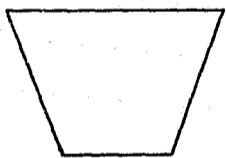


of a county-wide system. For example, although court personnel are under the control and direction of the court, each employee must be certified under county civil service rules. Also court budgets are a part of and conform to the county accounting structure. As a result, uniform internal and administrative control modules could only exist if county services were uniform.

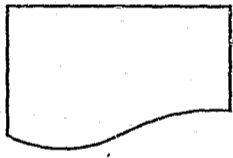
Since designing uniform county services is outside the scope of this project, the treatment of the internal administrative control function is limited to the above discussion.

APPENDIX SECTION
CONCEPTUAL DESIGNS

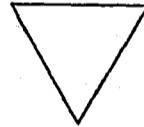
FLOW CHART SYMBOLS



Person Responsible for Activities Described (e.g., judge, clerk, etc.)



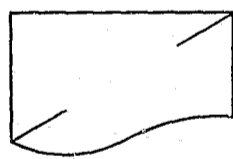
Computer Produced Document



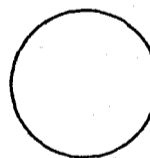
Manually Maintained File



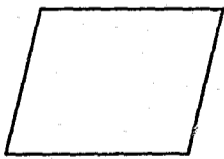
Process Performed by Computer



Manually Produced Document



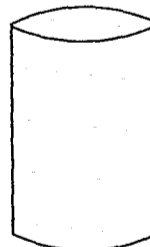
Magnetic Tape File



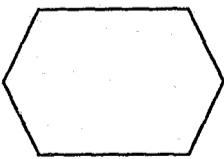
Process Performed Manually



Punch Card



Random Access Disk Files



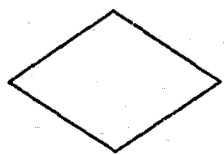
Process Conducted by an Agency Outside the Courts



Punched Tape, Cash Register Receipt or Adding Machine Tape



Flowchart Connector - For example, the reader is directed from page 2 connector D to page 3 connector A, within the same group of modules.



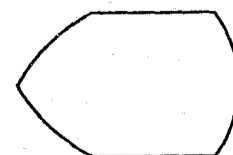
Decision Point



Payment, either Check or Cash



Connector Leading to a Person or Organization Outside the Courts



On-line Display Terminal



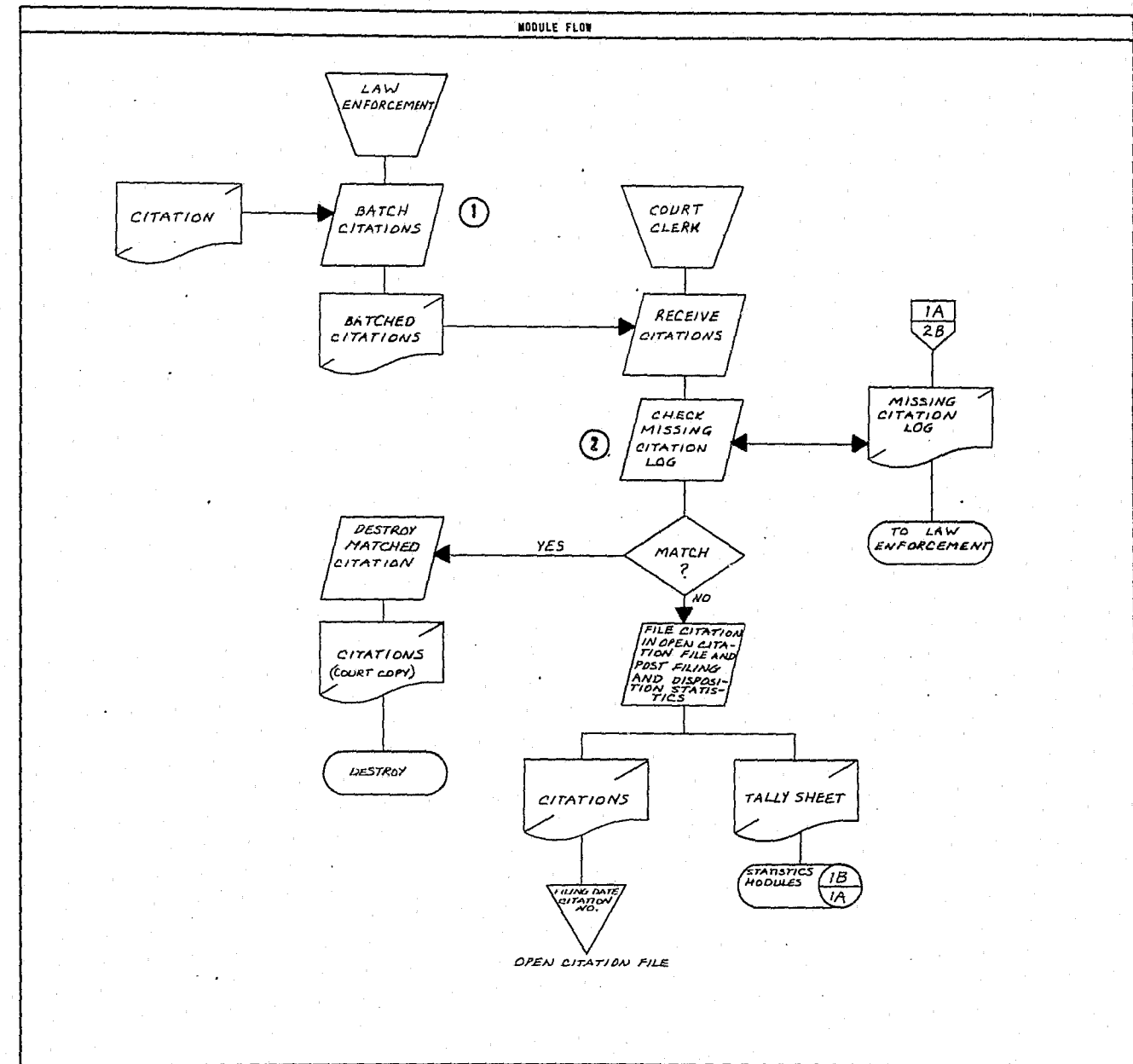
Flowchart Connector - For example, the reader is directed from page 2 connector E to page 2 connector B, within the calendar modules for the same level of automation.

APPENDIX A
PARKING MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-1-011	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 OF 10
MODULE PURPOSE To account for and file all incoming parking citations			



MODULE NARRATIVE

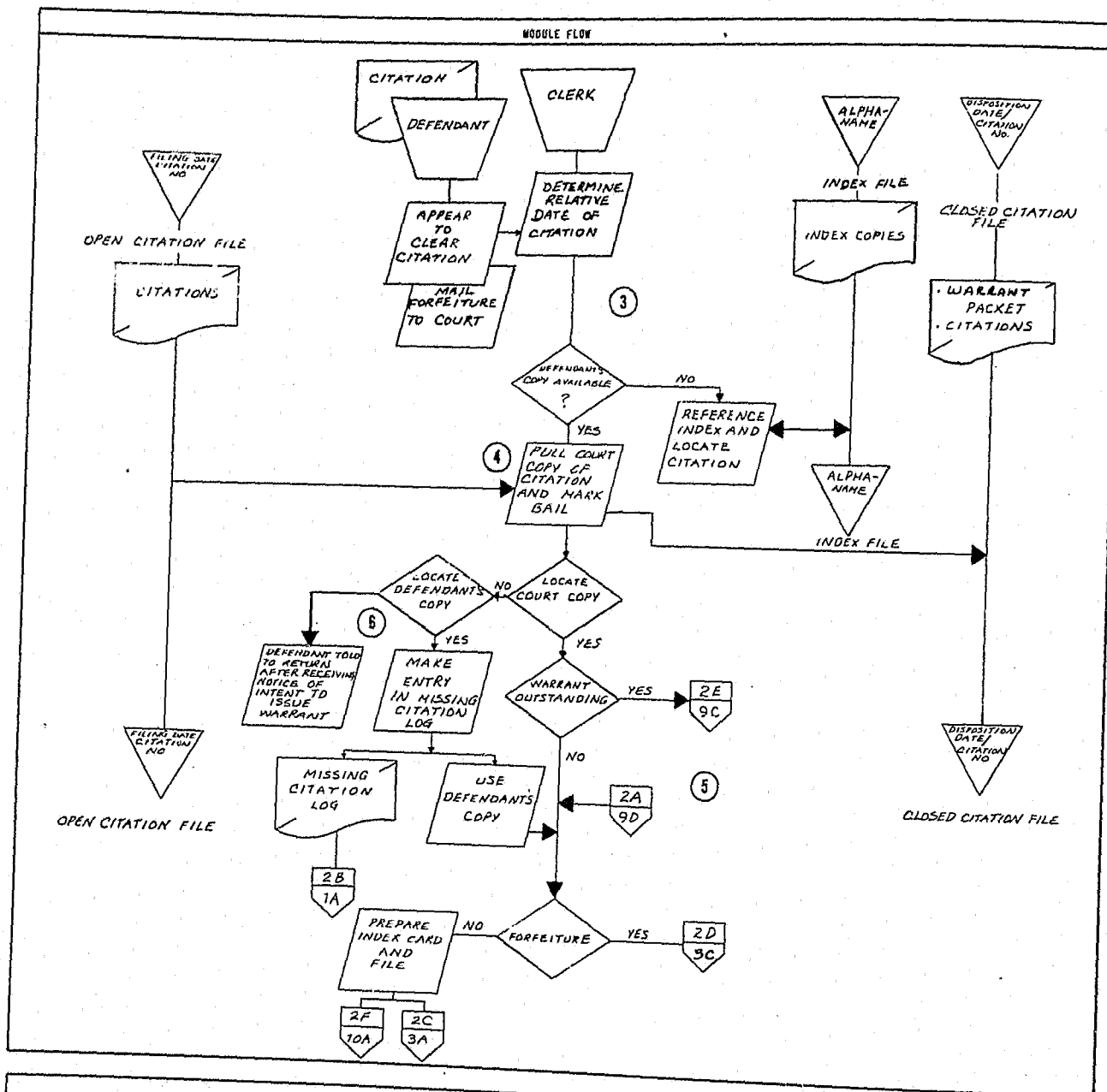
① All parking citations are received by the court from the issuing law enforcement agencies.

② Prior to filing, each citation is checked against the Missing Citation Log. For each citation located on the Missing Citation Log, a disposition has been filed at an earlier date. Each such citation is discarded. Since the defendant's copy has already been filed in the closed citation file.

All remaining citations are filed by citation number and filing date. Tally sheets are updated at this time.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-1-011	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 OF 10
MODULE PURPOSE To process bail forfeitures, court appearances, and actions necessary to the disposition of citations.			

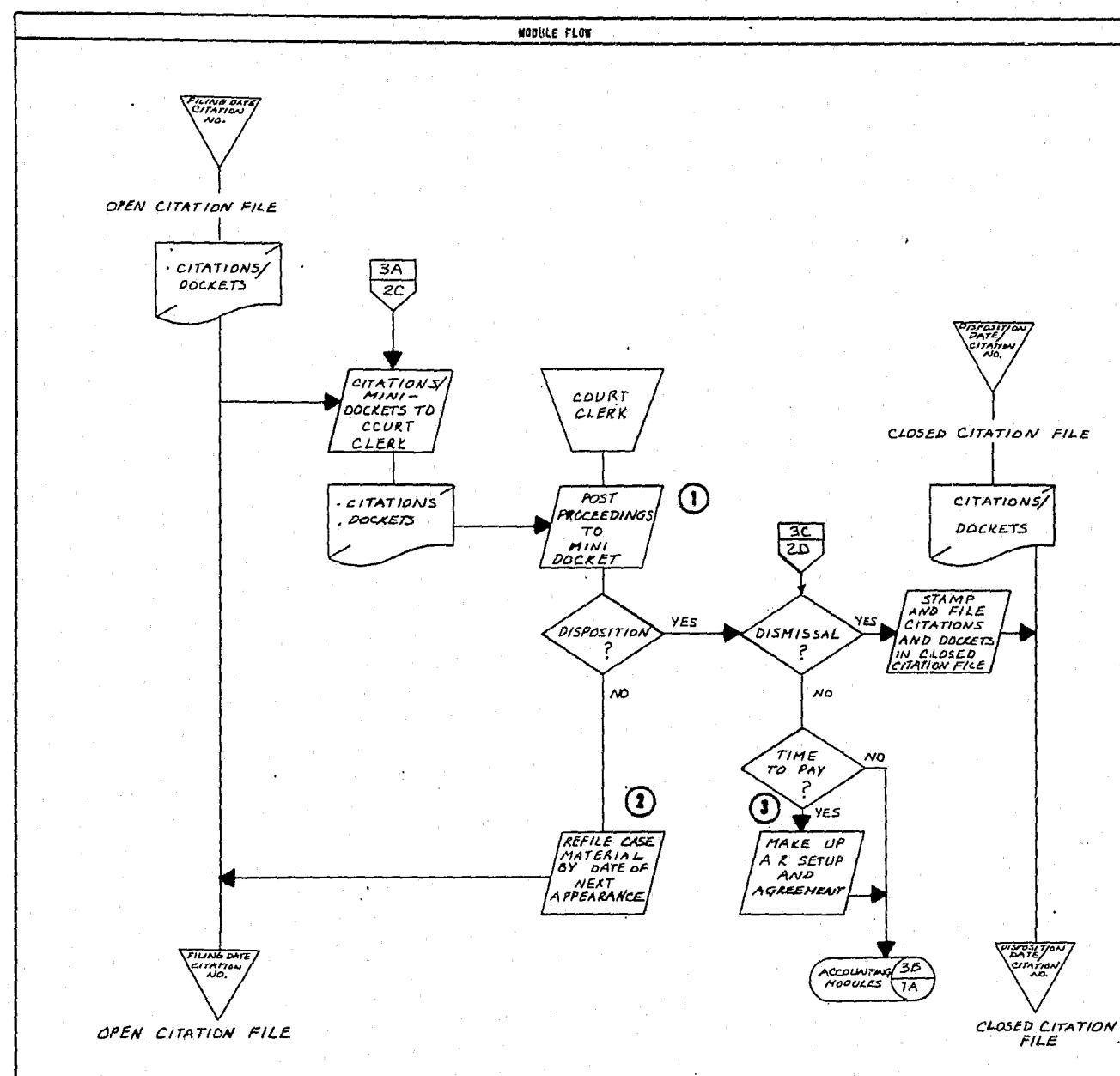


MODULE NARRATIVE

- ③ If the defendant appears with his copy of the citation, the clerk pulls the corresponding court copy from the Open Citation File. If a warrant has been issued, the court's copy of the citation is retrieved from the Closed Citation File.
- If the defendant does not present his citation copy, he is told to return after the Notice of Intent to Issue Warrant is forwarded to him by the court.
- ④ Once the court copy of the citation is located, the bail is marked on the citation and routed as indicated.
- ⑤ If a warrant is outstanding, a recall is issued. If a court appearance is requested, the court's citation copy is routed to the courtroom and the defendant is directed to appear.
- ⑥ If the court's copy cannot be located, the defendant's copy is used and an entry is made in the Missing Citation Log. If neither copy can be located, the money is returned to the defendant.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-3-041	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 3 OF 10
MODULE PURPOSE To record all activity associated with courtroom appearances			

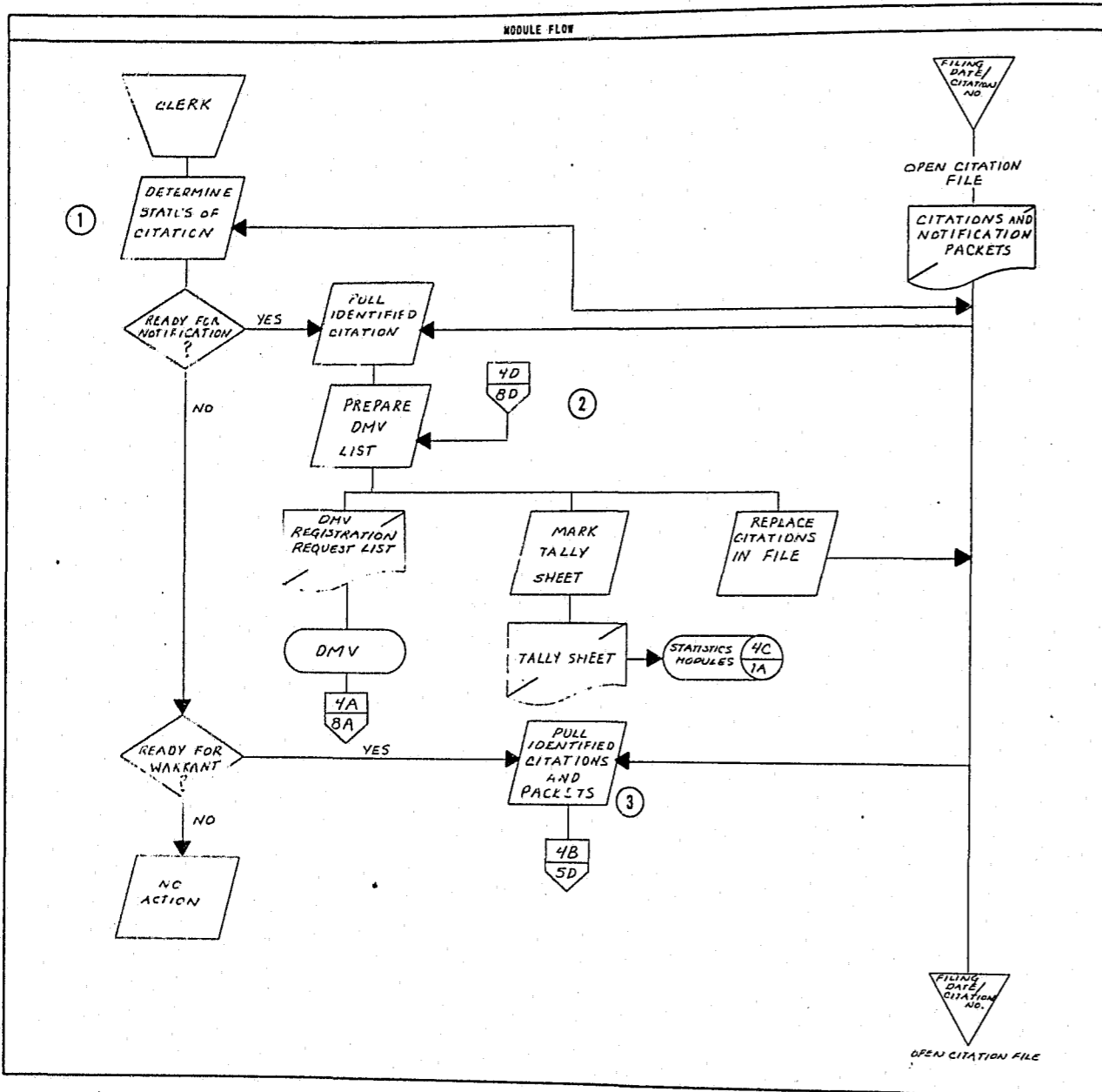


MODULE NARRATIVE

- ① All citations and dockets of persons requesting a court appearance are given to the courtroom clerk. The proceedings are recorded on the docket. Most of the entries consist of simple checkoff entries.
- ② All citations not disposed of at the initial appearance are refiled by their next date of appearance in the Open Citation File.
- ③ If a time to pay account is established, the clerk prepares an A/R Setup and Agreement Form prior to his leaving the courtroom.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-4-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 4 of 10
MODULE PURPOSE To identify and prepare citations for notification and warrant			



MODULE NARRATIVE

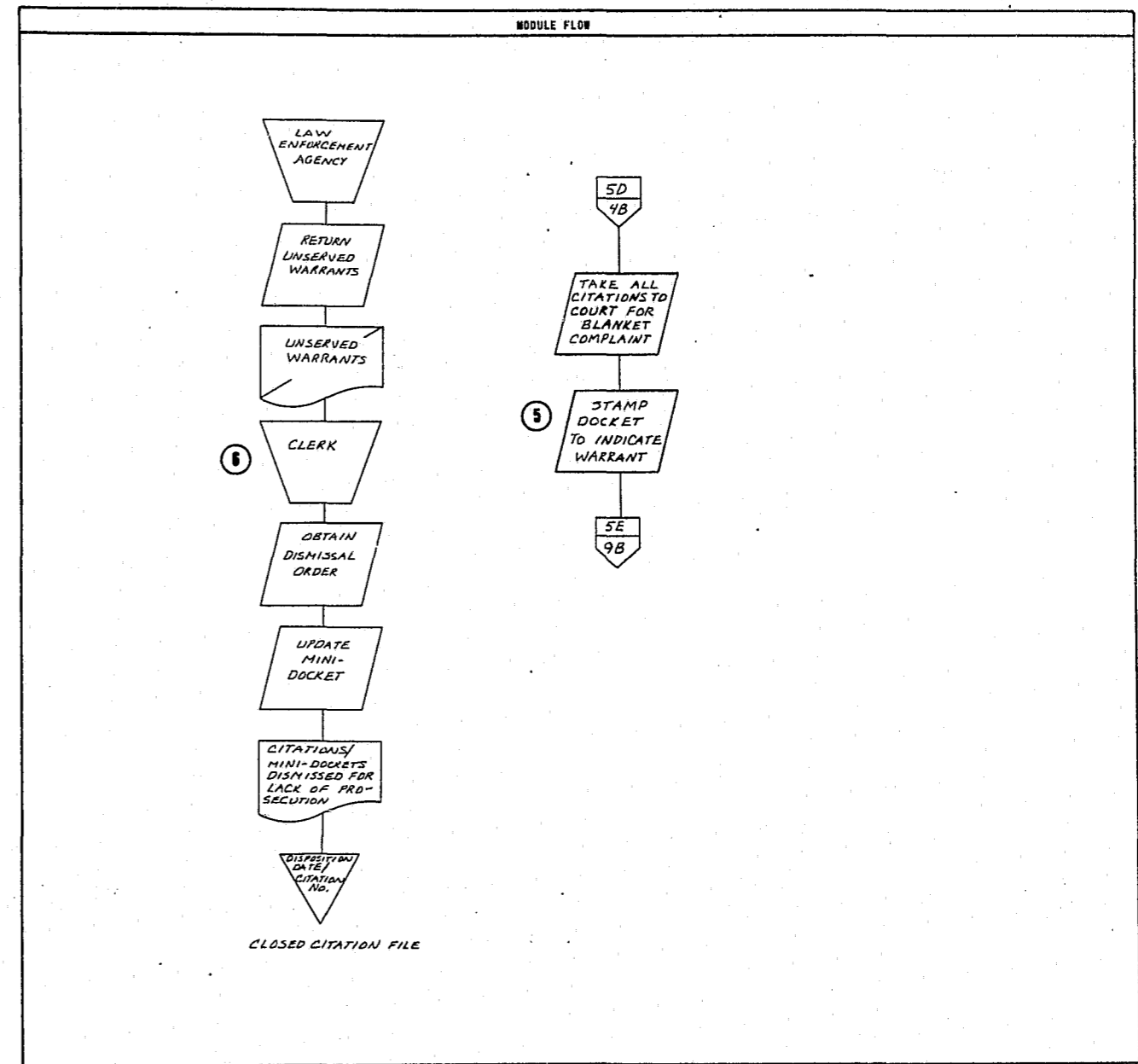
① All citations not yet disposed of through bail forfeiture, warrant, or court dismissal are kept in the Open Citation File. Certain citations will come due each day, either for noticing, issuance of warrant, appearance in court or time payment due date.

② Citations which have reached their appearance due date are pulled from the file and prepared for the DMV Registration Request List.

③ Those citations which have passed the warrant issuance date specified by the intent to issue notice are pulled from the Open Citations File. The warrant copy of the attached notification packet is distributed to law enforcement.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-4-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 5 of 10
MODULE PURPOSE To prepare warrants for issuance and to dismiss citations for lack of prosecution			



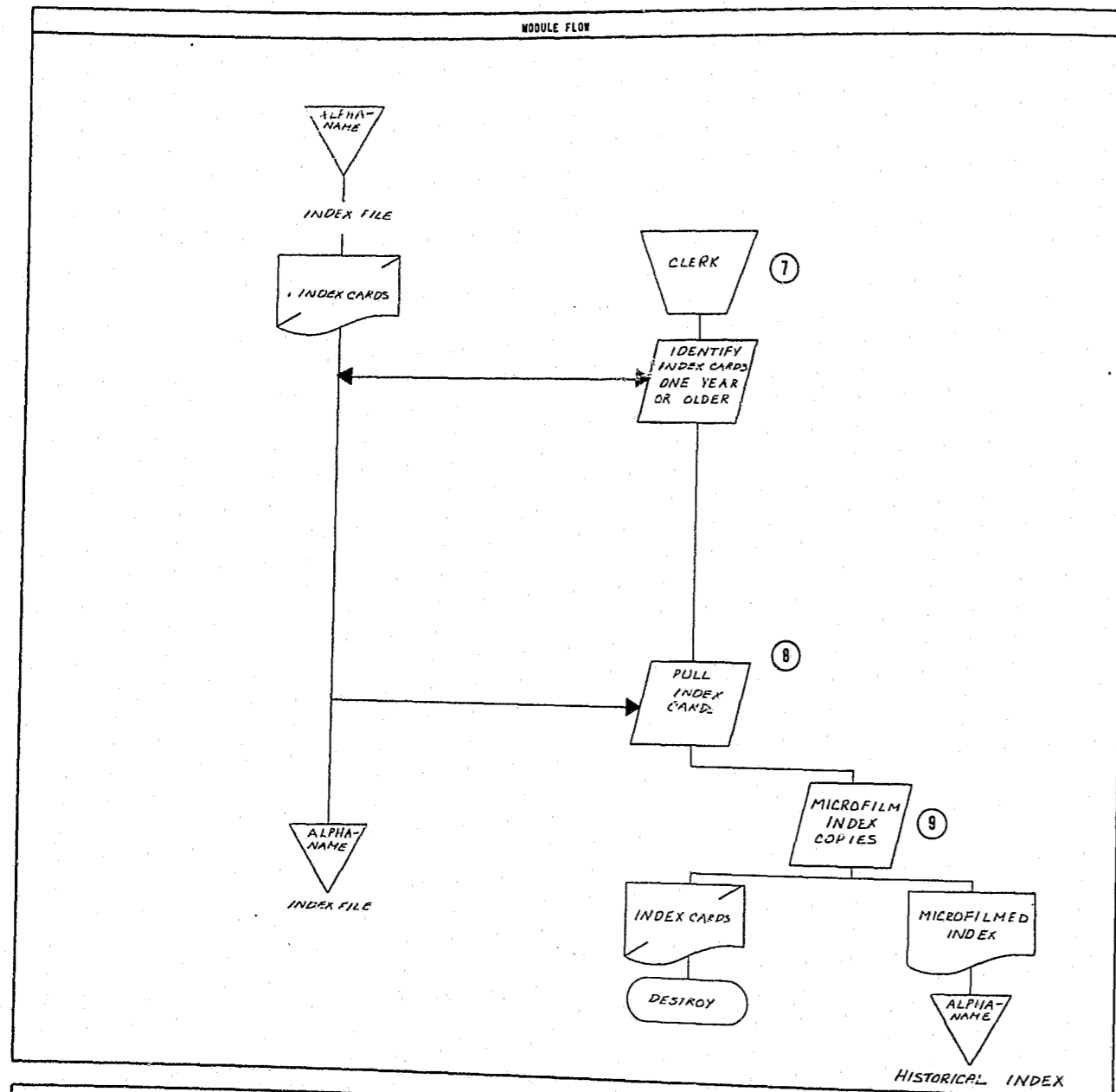
MODULE NARRATIVE

⑤ Citations pulled for warrant issuance are sent to court for the issuance of a blanket complaint and order to issue to authorize the issuance of the warrants.

⑥ Unserved arrest warrants initiate dismissal for lack of prosecution. A dismissal order is obtained and the dockets are updated to reflect the disposition. The documents are then filed in the Closed Citation File.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-4-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 6 OF 10
MODULE PURPOSE To purge index cards that are older than one year			



MODULE NARRATIVE

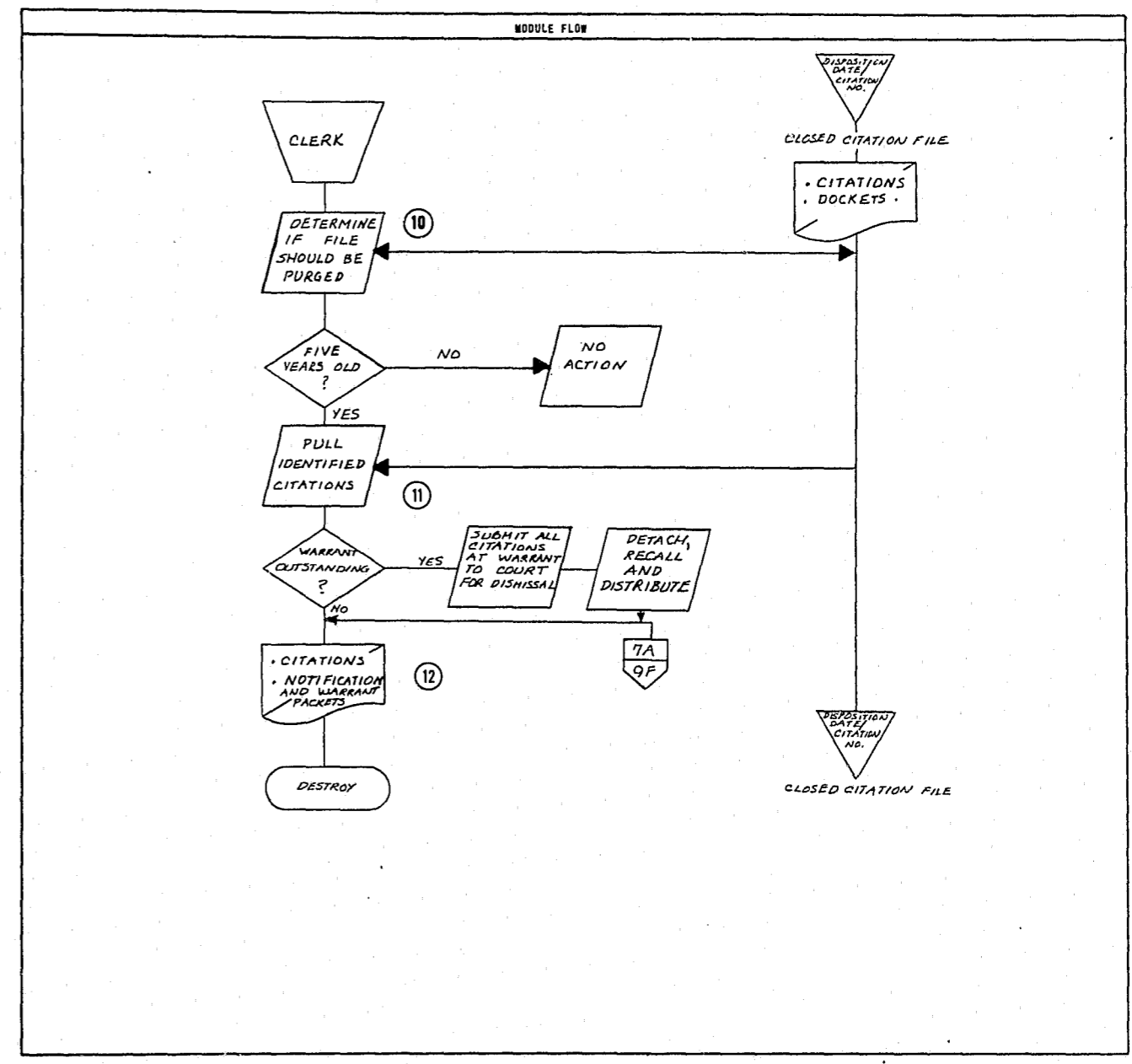
⑦ Once each year, the clerk purges the index cards from the index file.

⑧ All index cards are pulled from the file and submitted for microfilming.

⑨ The microfilm index serves as the permanent index file. The index cards are destroyed.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-4-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 7 OF 10
MODULE PURPOSE To purge citations from the disposition files as prescribed by statute			



MODULE NARRATIVE

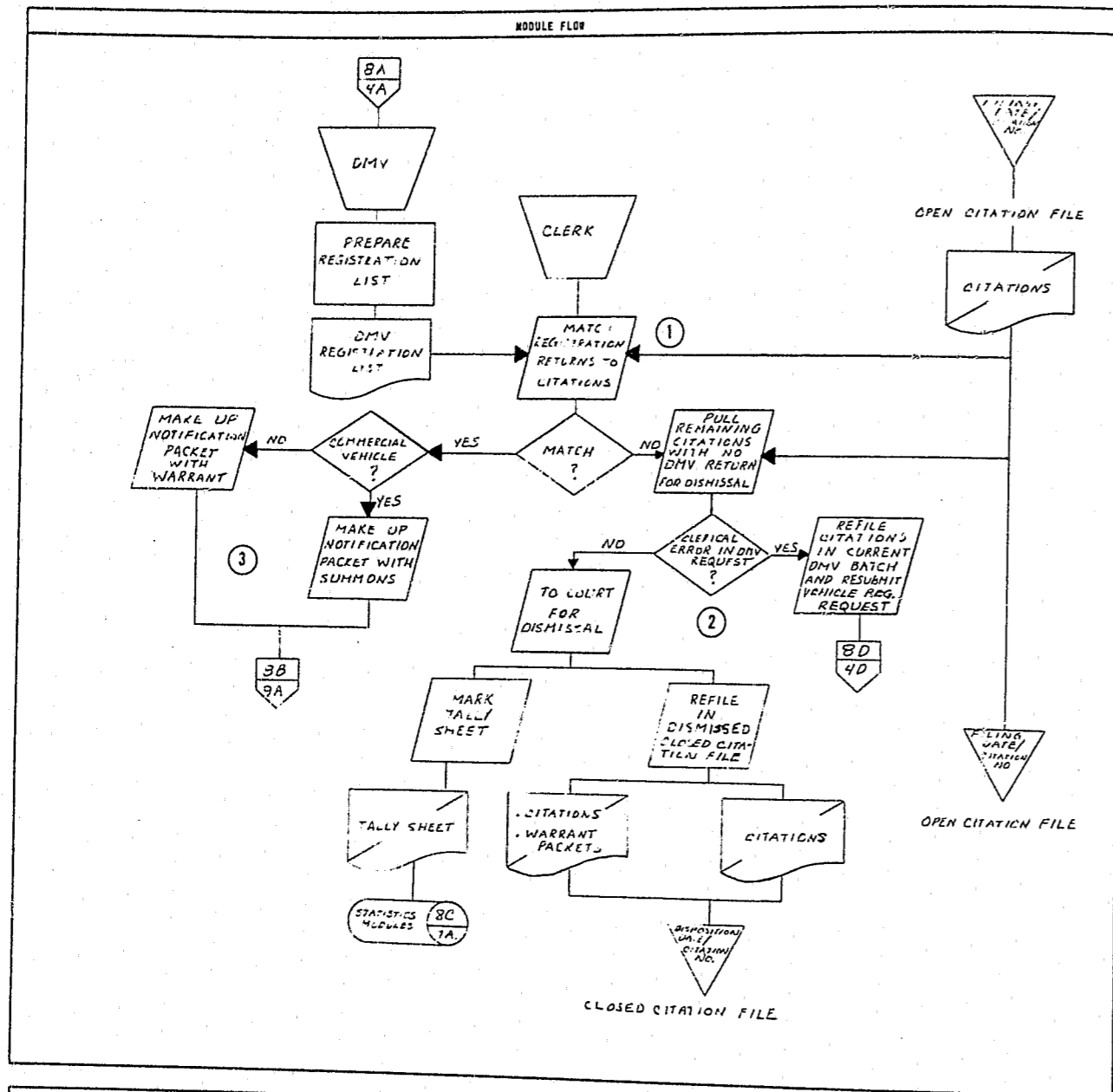
⑩ The purging of citations in this file is dependent upon the statutory requirements regarding the maintenance of these files.

⑪ All citations to be purged are pulled from the file. Citations with active warrants have a warrant packet attached. All citations with active warrants outstanding are submitted to the court for dismissal. The recall portion of the packet is removed and distributed to the proper law enforcement authorities after the dismissal is issued.

⑫ All citations and the attached packets are destroyed.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-8-161	MODULE NAME VEHICLE REGISTRATION RETRIEVAL	LEVEL OF AUTOMATION Manual	PAGE 8 of 10
MODULE PURPOSE To retrieve vehicle registration information for uncleared citations.			



MODULE NARRATIVE

① Registration information returned by DMV is in the same order as the citations for which it was requested. Each return is matched against the corresponding citation. Those citations with a matching return from DMV are pulled from the file for the preparation of a notification packet.

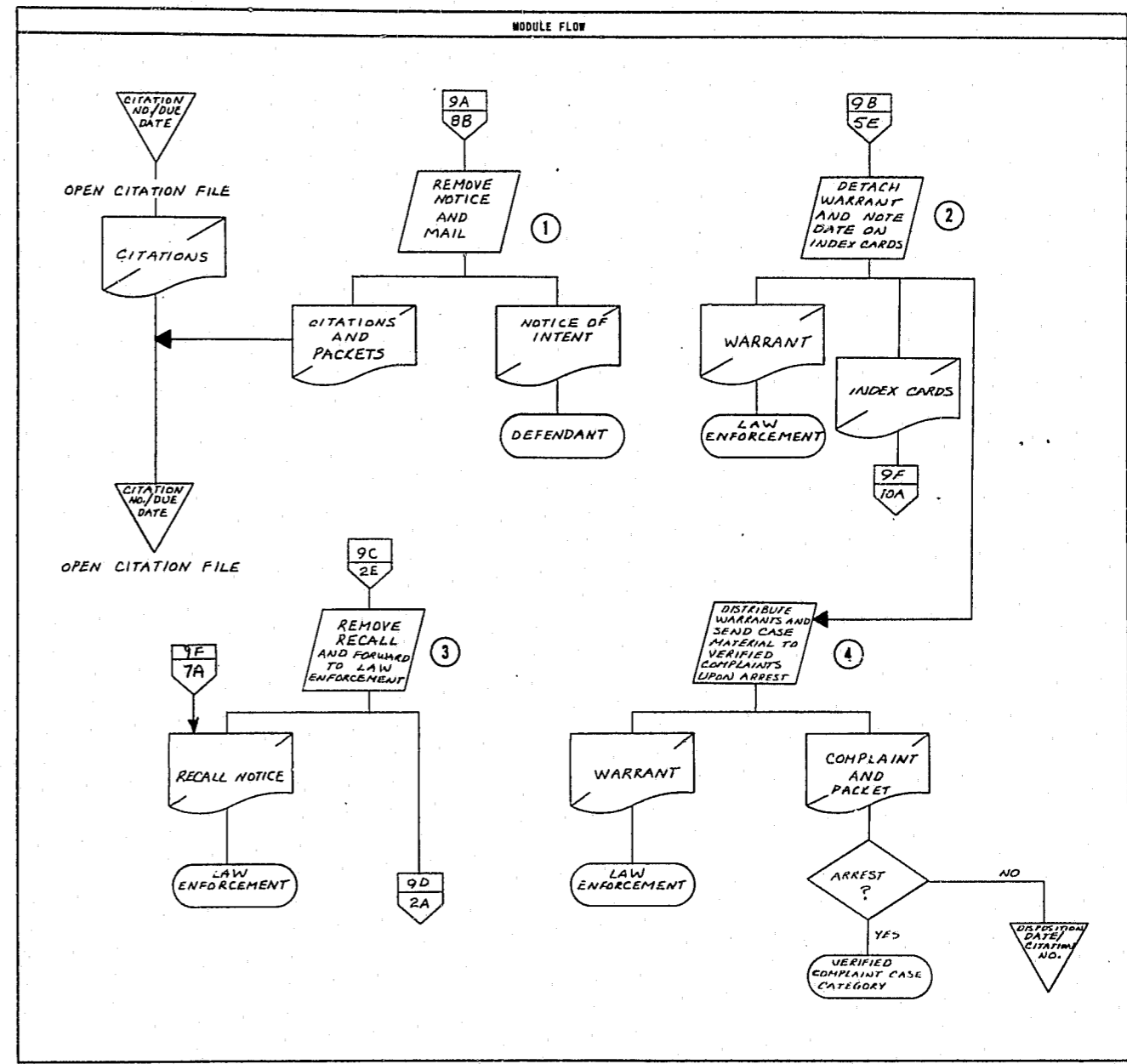
② Those citations for which no match could be found are resubmitted for registration retrieval if a clerical error was made in the initial request.

Those citations with no return from DMV are pulled from the file and submitted to the court for dismissal. Upon dismissal, these citations are filed in the Closed Citation File.

③ All citations with a registration return from DMV have a notification packet prepared. The packet consists of a Notice of Intent to Issue Warrant, warrant/warrant/summons, index card, and warrant recall.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-9-101	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 9 of 10
MODULE PURPOSE To notify defendants, law enforcement and public agencies of court actions.			



MODULE NARRATIVE

① When registration information is returned from DMV, the notification packet is prepared and the Notice of Intent to Issue Warrant is distributed.

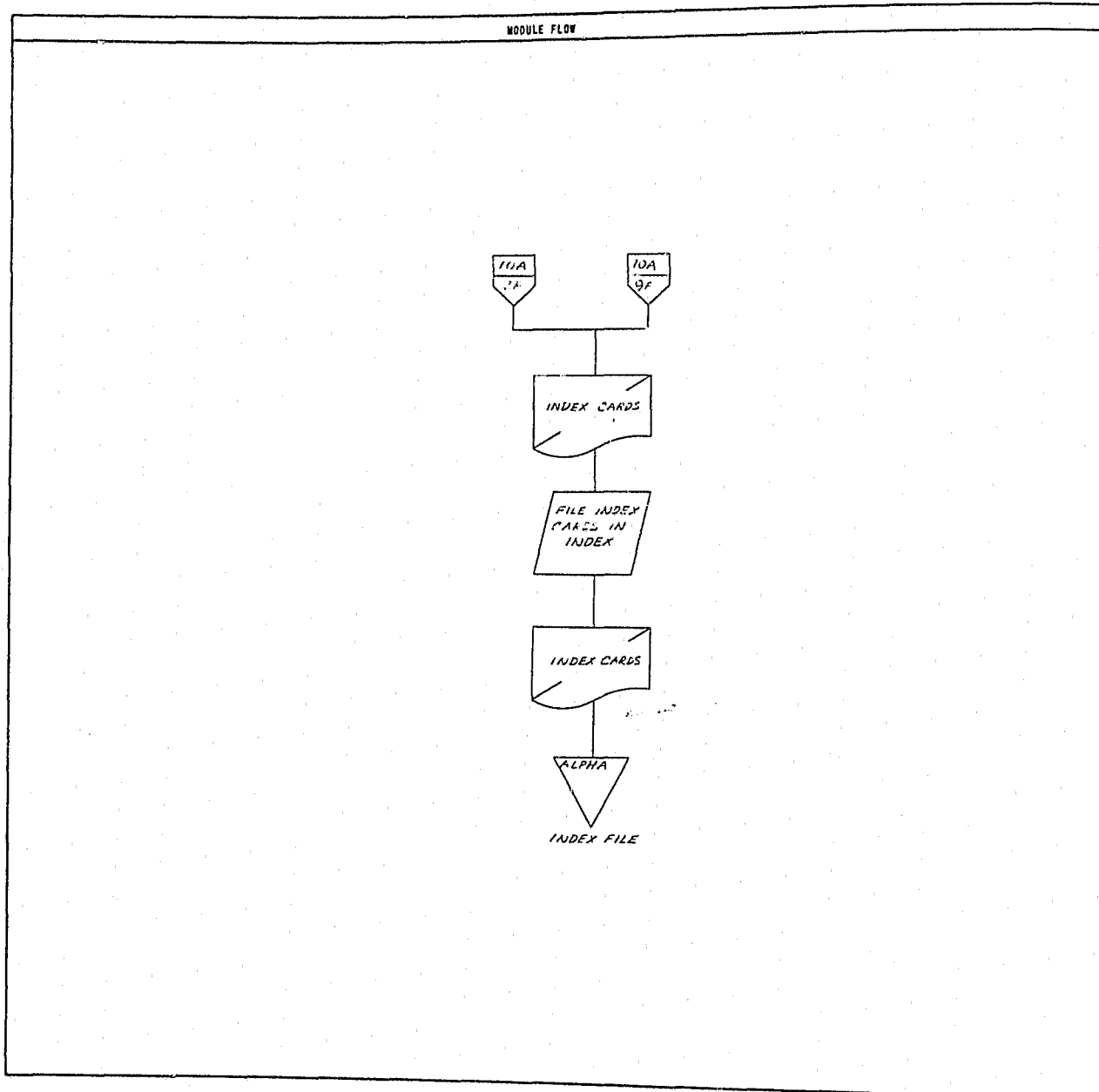
② When the citations pass the due date specified on the intent notice, the warrant or summons copy is removed from the associated packets and sent to the proper authorities.

③ Warrant recalls are detached from the appropriate packets and are distributed when necessary.

④ For all citations where a failure to appear warrant is required, a blanket complaint and order to issue is prepared and the warrant is detached from the packet and is forwarded to the appropriate law enforcement agency. The index card is updated to reflect the warrant issuance date, which is the date of filing in the Closed Citation File.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AM-10-071	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 10 OF 10
MODULE PURPOSE To provide an alphabetical index to the case number which will assist in locating case-related information			



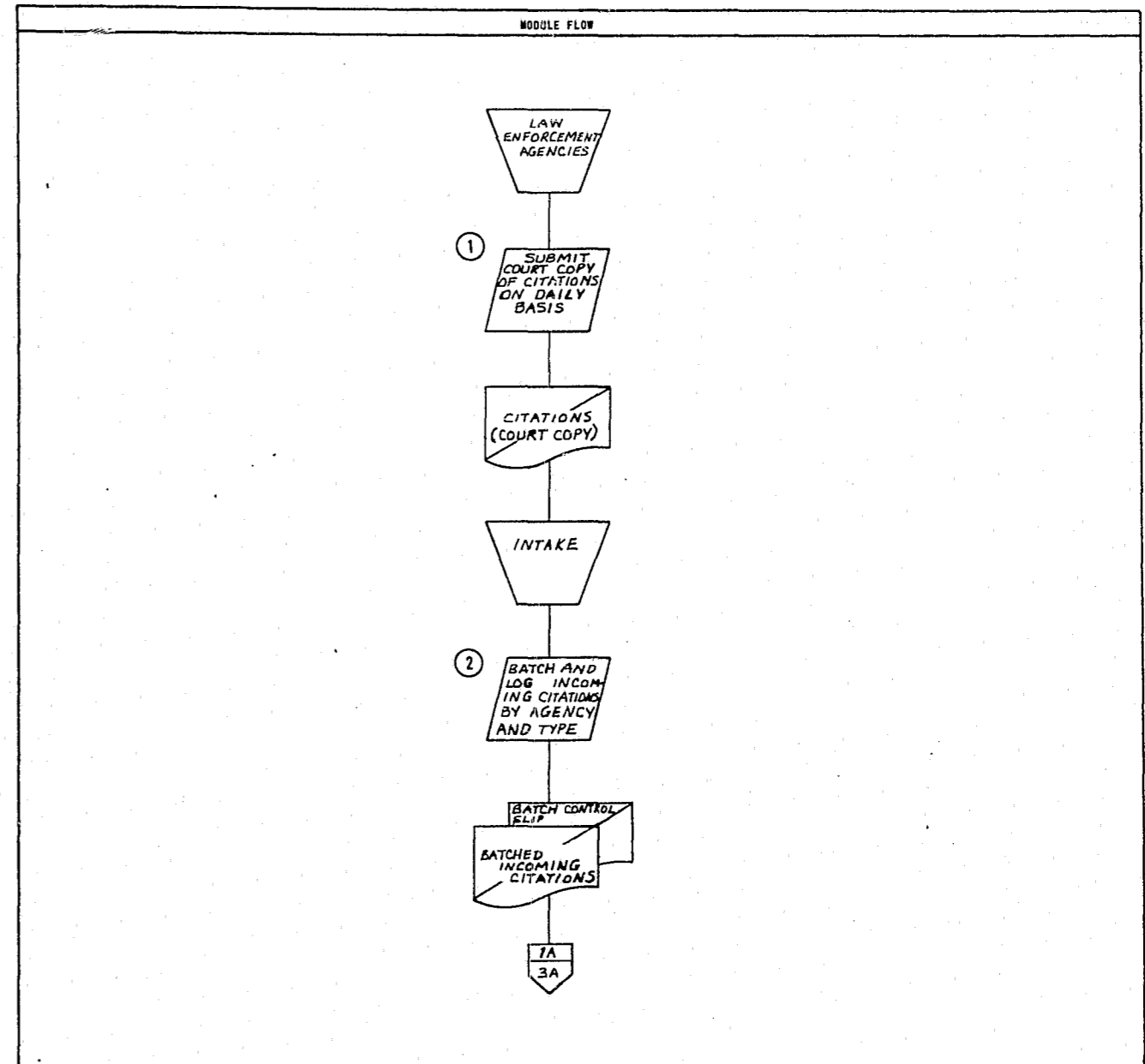
MODULE NARRATIVE

① All index cards are filed in a tray type file in alphabetical order. Information on the card includes the defendant's name, citation number, issuance date, charges and warrant issuance date.

FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 OF 9
MODULE PURPOSE To accept the filing of citations submitted by law enforcement agencies and to prepare them for entry into the automated system.			



MODULE NARRATIVE

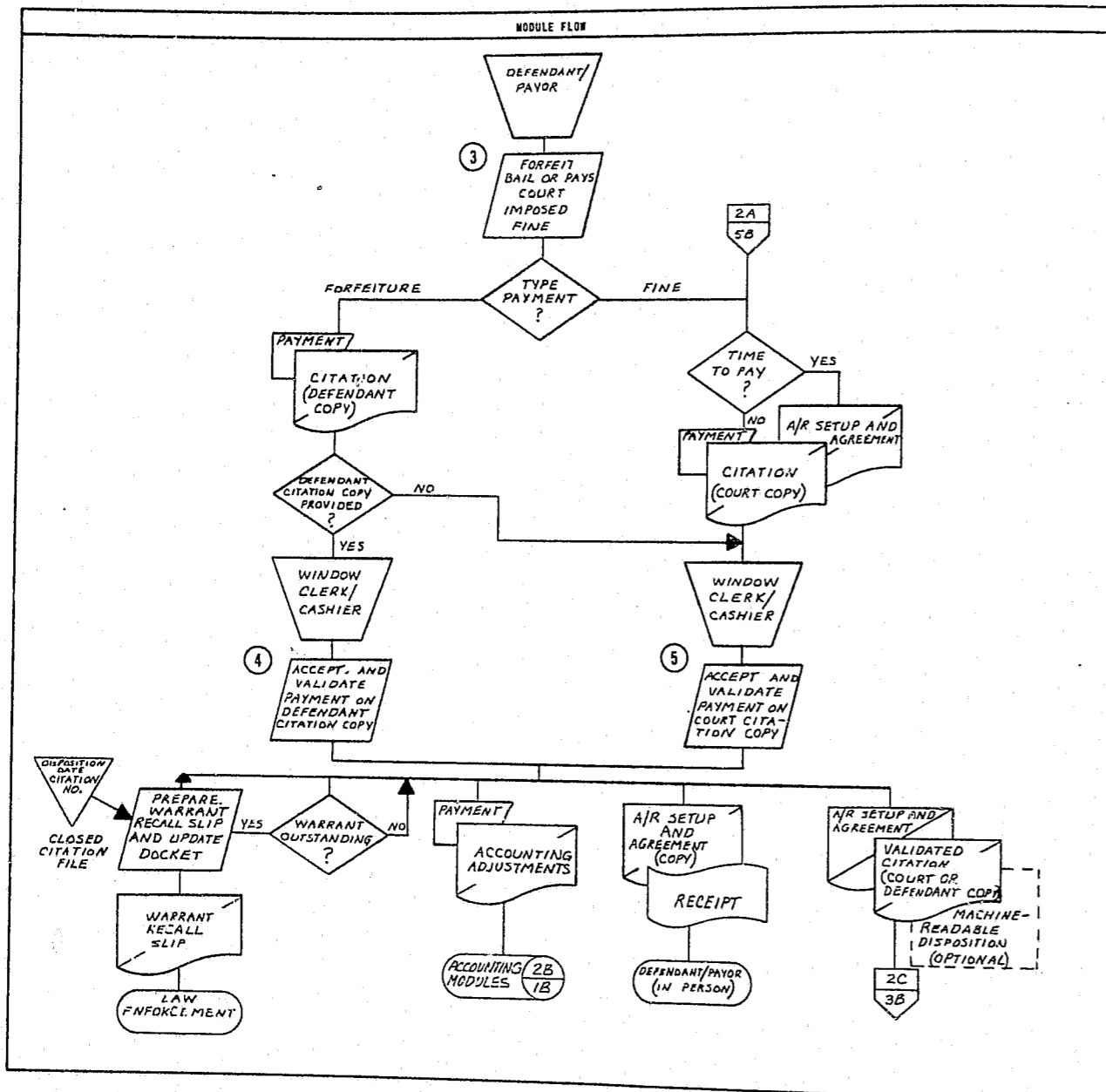
① One or more law enforcement agencies submit parking citations to the court on a daily basis.

② The citations are batched and logged on control sheets, and are prepared for entry into the automated system by court personnel

Note that in future references to citation number, an issuing agency prefix is implied which will be required for many courts until some uniform method of citation numbering is established.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 OF 9
MODULE PURPOSE To accept payment for citations disposed of through bail forfeiture or payment of a court-imposed fine, and to initiate disposing entries into the automated system.			



MODULE NARRATIVE

3 Along with new filings, the court generates transactions resulting from court actions and proceedings. The substantial proportion of these actions are dispositions resulting from bail forfeitures, most often submitted by mail.

4 On bail forfeitures, the defendant submits payment with or without his citation copy. If the defendant's copy is furnished, the clerk verifies the bail amount by referring to the violation code sections on the citation. Payment is accepted and the defendant's copy is validated by the cash register. It then serves as the copy of record for the court.

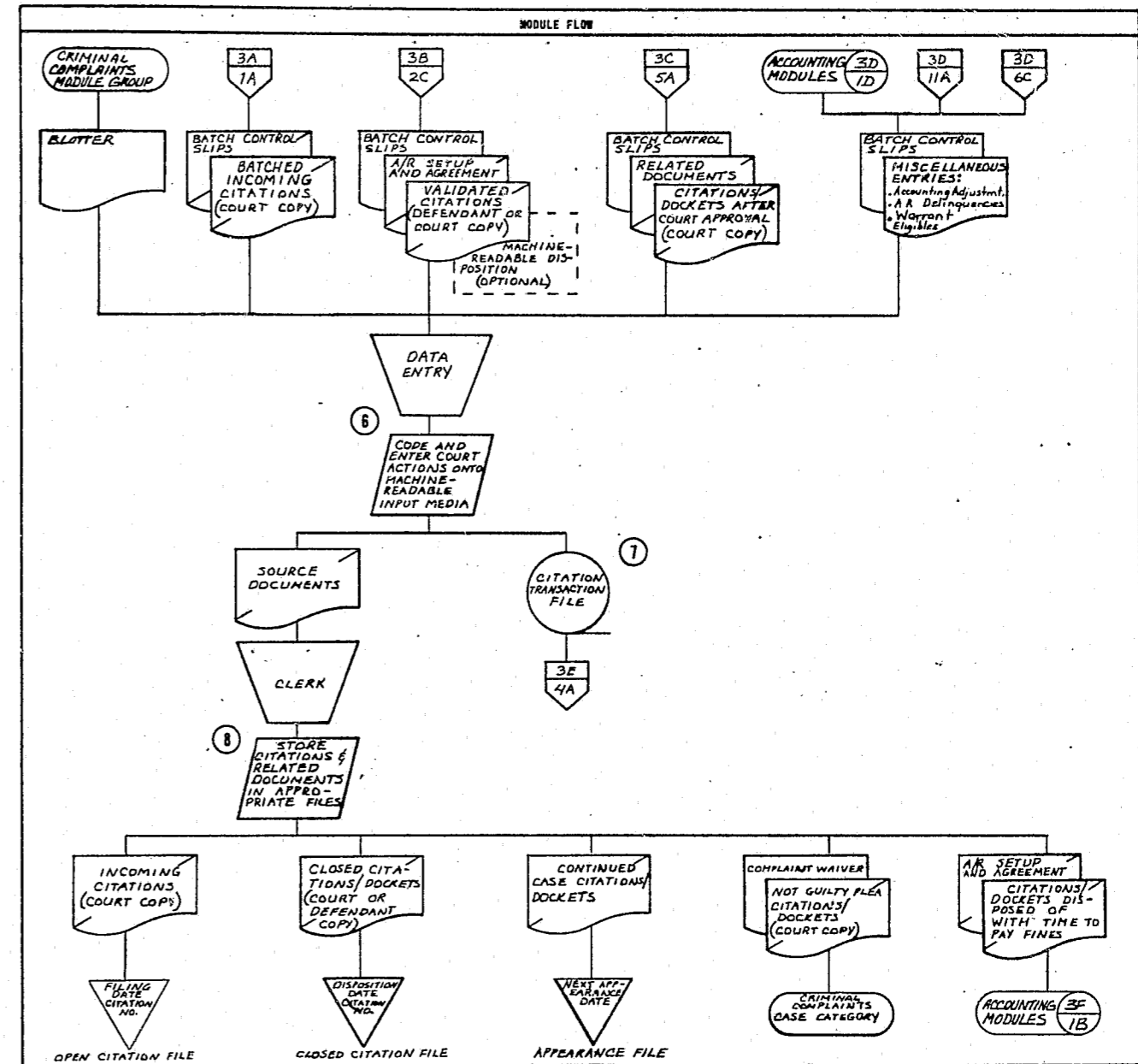
5 If no citation copy is furnished by the defendant, the court copy is located in the Open Citation File by referring to the Open Citation Status Report. This report can locate any open citation by either its citation number or license plate number.

Fine payments imposed by the court are validated on the court's citation copy. The back of these citations or an attached form serves as the docket for recording the court order establishing the fine.

Installment payments may also be ordered by the court when several parking violations are outstanding. In these instances, an A/R Setup and Agreement Form is prepared, and forwarded to the accounting division.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 OF 9
MODULE PURPOSE To enter incoming citations, citation dispositions and status updates onto machine-readable input media, and to file the citations and related documents subsequent to entry.			



MODULE NARRATIVE

6 All data entering this module group flow through a common entry function and automated editing procedure.

To the extent possible, initial citation entry, court actions updating previously entered citations, and miscellaneous entries will be key entered from the original source documents.

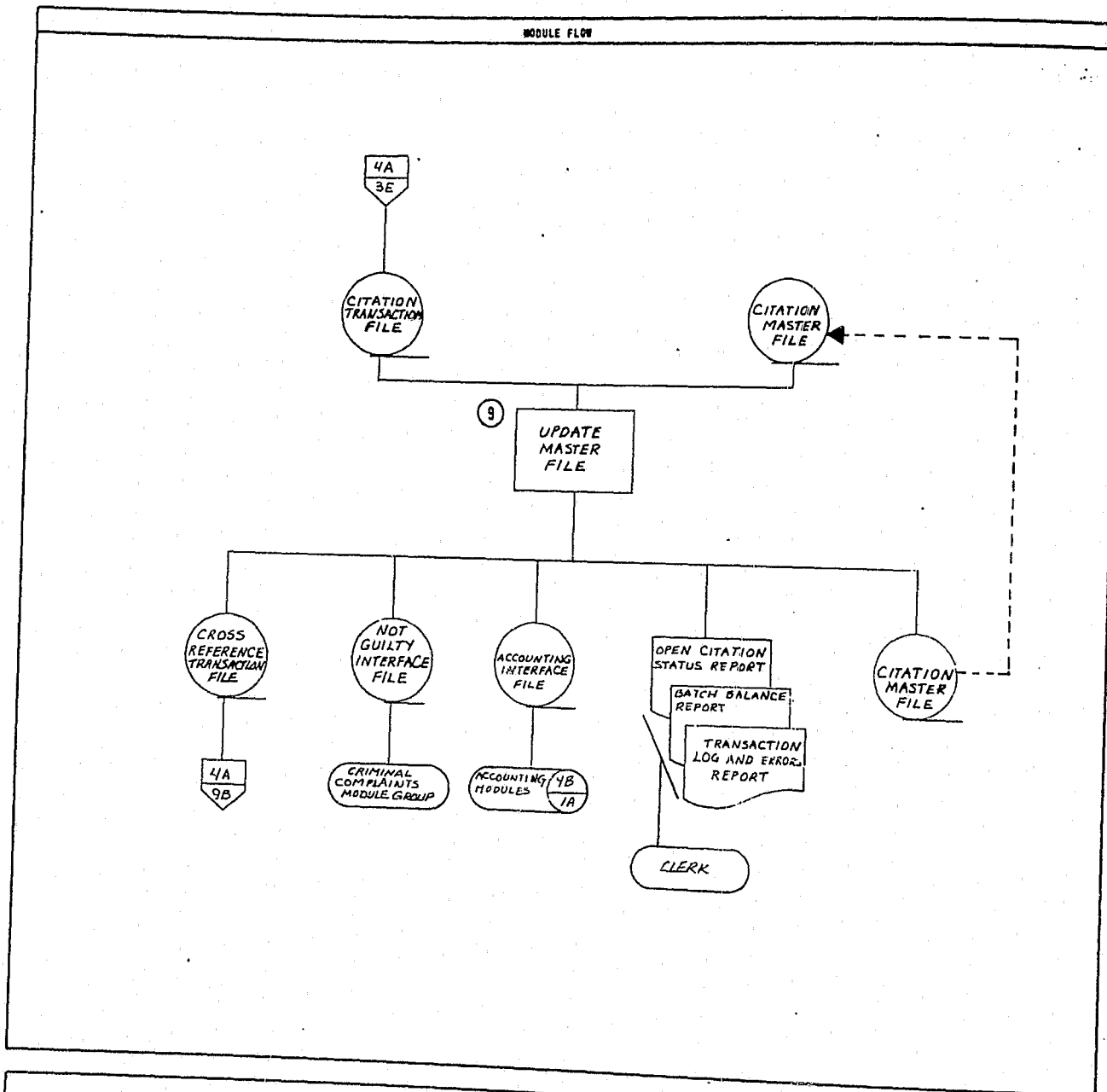
Note that the arrest blotter is used to clear the files of persons arrested on warrants.

7 The courts should consider magnetic key entry devices operated by court clerical staff located physically within the court clerical processing area.

8 Citations are filed as indicated. File sequencing is similar to that used in the Other Citations Case Category in order to achieve compatibility and to facilitate consolidation of the two module groups. As with the Other Citations Case Category, this filing method minimizes sorting and filing time, reduces the likelihood of error, provides for retrieval of court documents, and facilitates purging.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 of 9
MODULE PURPOSE To update the Citation Master File, to provide operational reports to determine the status of citations, and to interface with the other modules.			

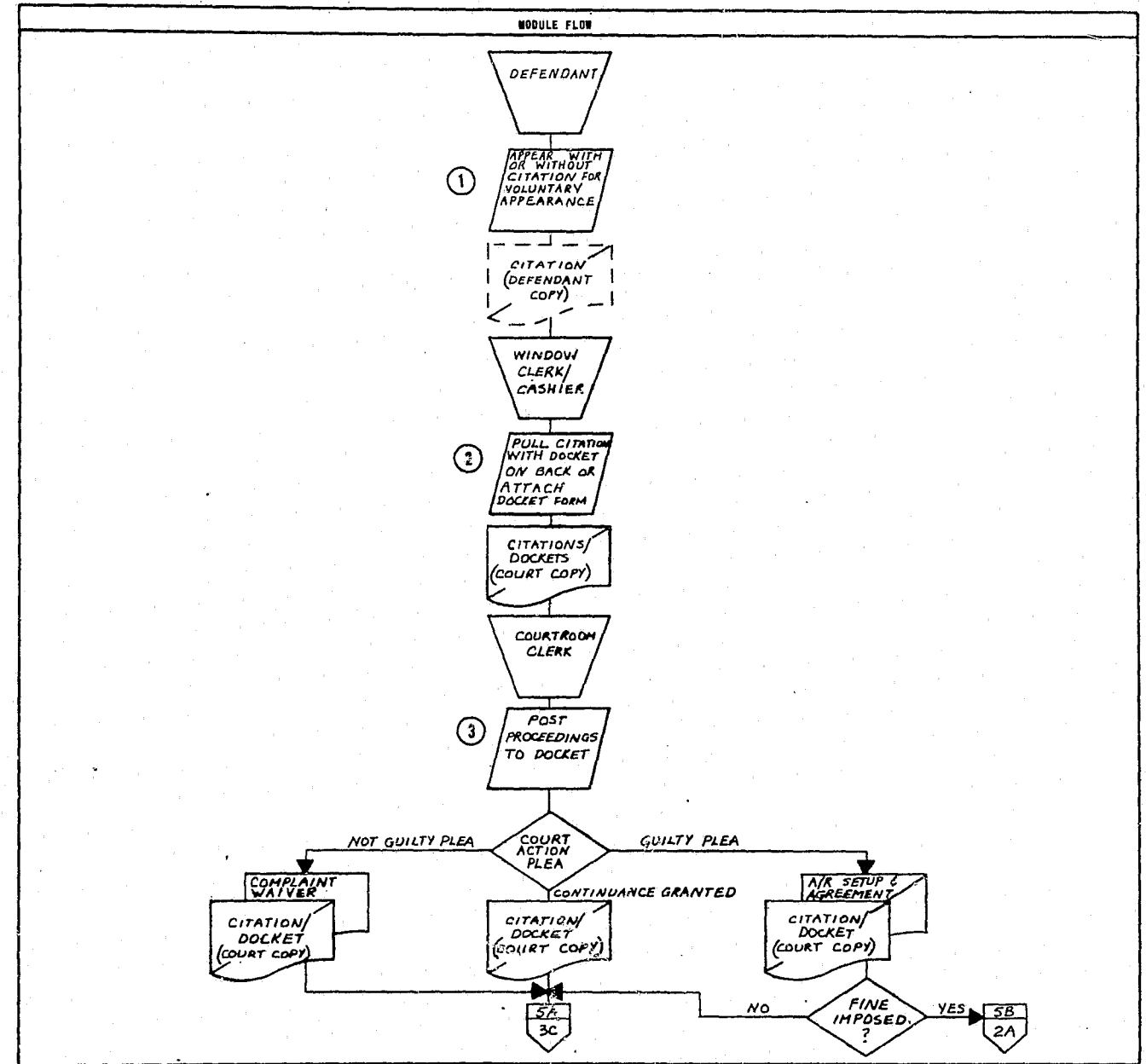


9 The automated system maintains a Citation Master File permanently and a number of temporary files to interface with other modules.

The major operational document, the Open Citation Status Report, identifies each open and recently cleared citation, providing its status and a reference to its location. The report is in license plate number sequence. However, one column of the report serves as a cross reference to citation number, thereby permitting the location of any entry by either its license plate number or citation number.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-5-051	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 of 9
MODULE PURPOSE To record proceedings stemming from a court appearance for arraignment, and to initiate corresponding entries to update the automated system.			



1 The defendant appears to make a voluntary court appearance. This happens infrequently except in San Francisco, where a special court session is conducted to adjudicate parking violations.

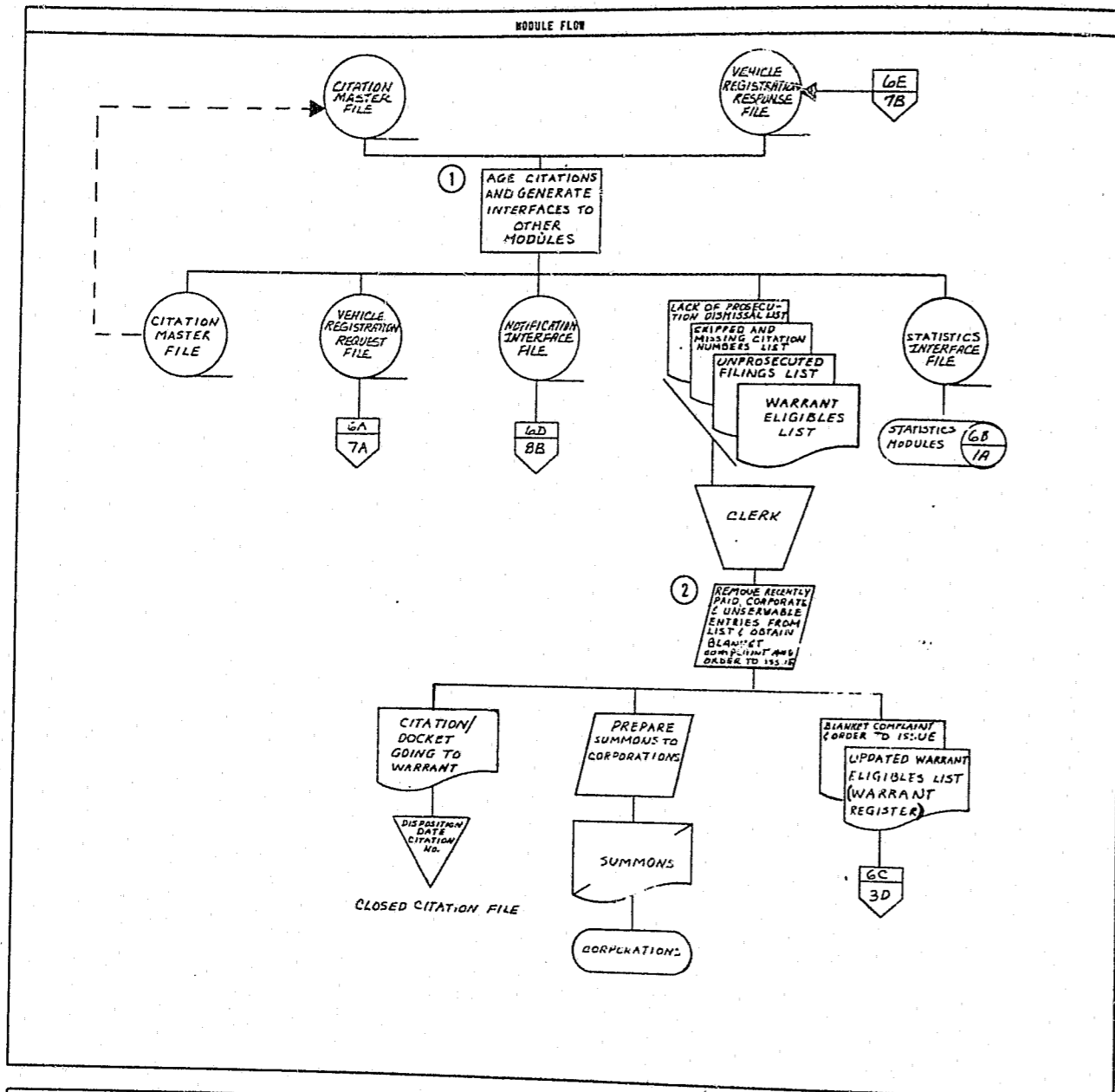
2 The clerk locates the court copy of the citation by referencing the Open Citation Status Report, or by reference to the defendant's citation copy.

Most preferably, the back of the court citation copy serves as the docket. Otherwise, a docket form is attached to the citation.

3 Court actions are posted to the docket. If installment fine payments are ordered, an A/R Setup and Agreement Form is prepared. If the defendant enters a not guilty plea, a complaint waiver is completed, if possible; or, a Judicial Council approved citation form is used, thereby eliminating the need for the preparation of a verified complaint document by the prosecuting attorney.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-6-141	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 9
MODULE PURPOSE To purge closed citations from the Citation Master File, to prepare an aging and-purging audit trail, and to generate interfaces to other modules.			



MODULE NARRATIVE

① The automated aging procedures examine each citation record to determine whether any of the following events should occur:

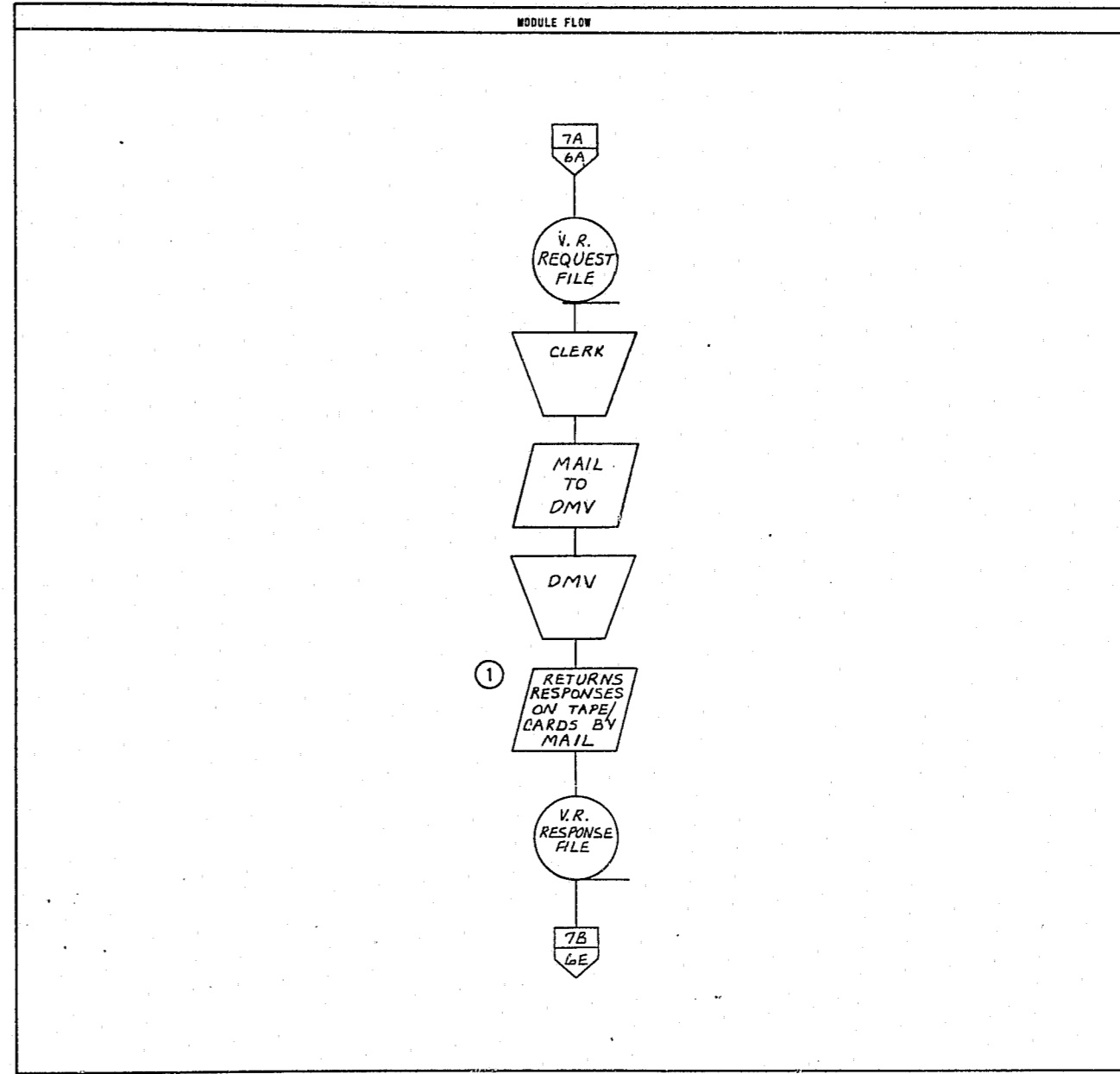
- Removal from the Citation Master File due to clearance (i.e., bail forfeiture, court disposition, not guilty plea, to warrant, or dismissal for lack of prosecution).
- Acquisition of vehicle registration data from DMV
- Preparation of a Notice of Intent To Issue Warrant
- Preparation of a warrant package.

② Citations eligible for warrant issuance are listed on the Warrant Eligibles List. Commercial citations are removed from the list and summons are prepared manually.

A blanket complaint and "order to issue" is prepared, and warrant numbers are stamped on the Warrant Eligibles List. The entry of this number in the computer initiates warrant preparation and serves as the warrant number which is computer-printed on the warrant. The additional violation section is stamped on each citation/docket going to warrant, along with the date and reference to the blanket complaint and order

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-7-171	MODULE NAME VEHICLE REGISTRATION DATA RETRIEVAL	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 9
MODULE PURPOSE To obtain vehicle registration owner's name and address from DMV via the mails, off-line terminal transmission, or computer-to-computer transmission.			

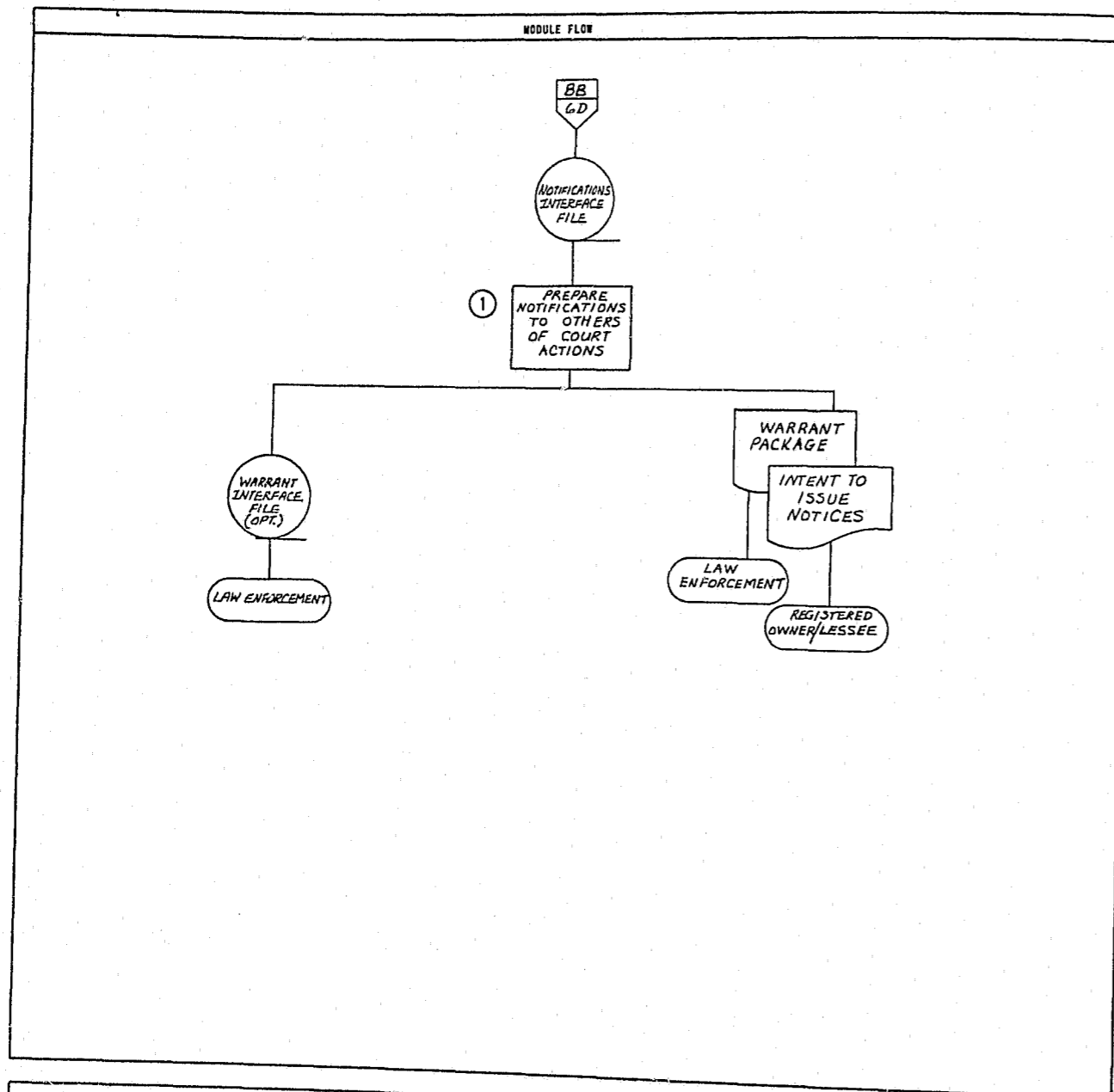


MODULE NARRATIVE

① Requests for owner's or lessee's name and address will be forwarded to DMV through the mails on magnetic tape. In turn, DMV's responses are returned on magnetic tape. This procedure eliminates the necessity of punched card handling.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-8-111	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 9
MODULE PURPOSE To prepare notifications of intent to issue warrants and warrant packages due to the registered owner's failure to answer.			



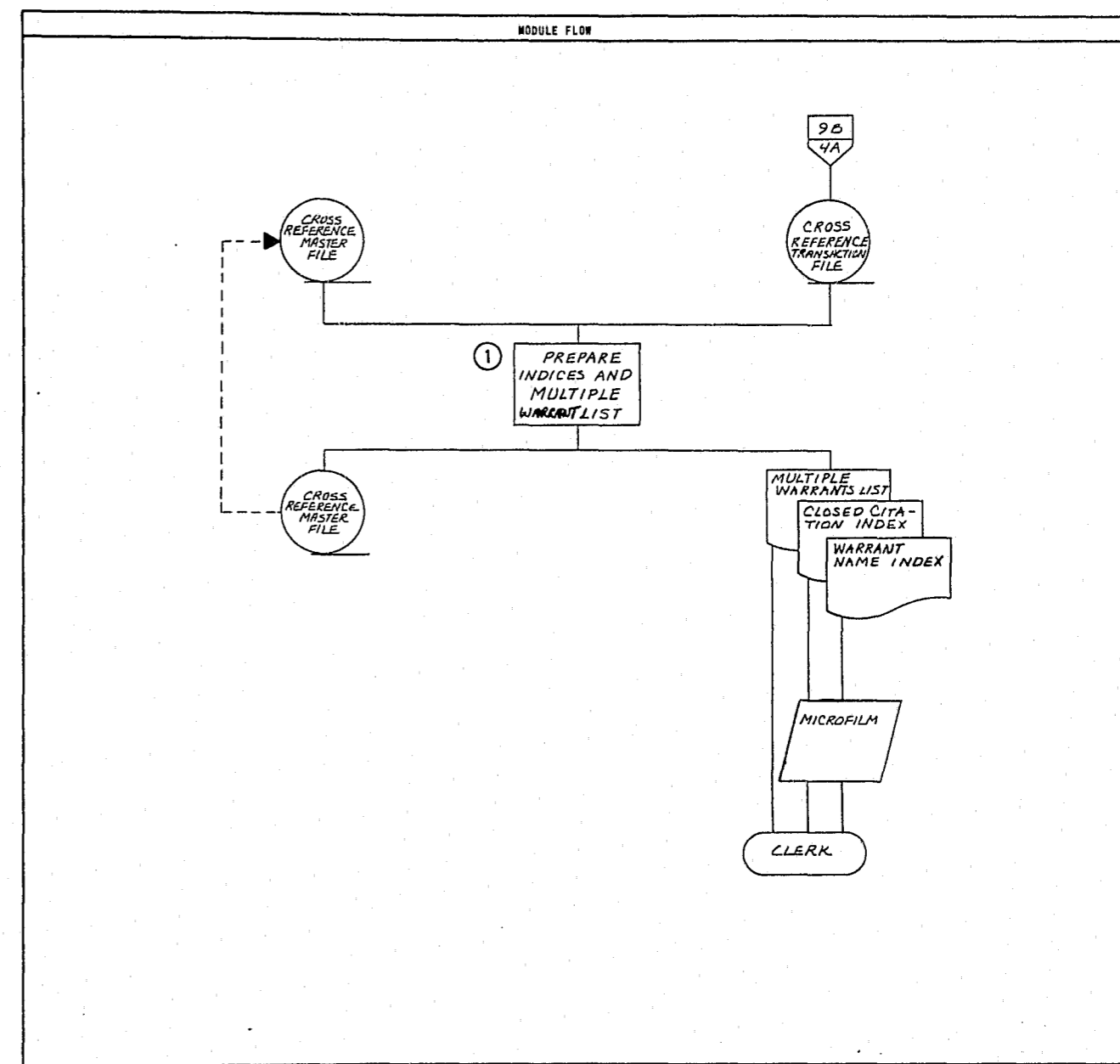
MODULE NARRATIVE

① Subsequent to the receipt of the vehicle registration data from DMV, Notices of Intent to Issue Warrant are prepared for each citation record flagged for notice preparation, except for those disposed of since being flagged by the Aging and Purging Module.

Similarly, citation records for which a warrant number has been entered (thereby authorizing warrant issuance), and which have not been disposed of in the interim, will initiate the printing of a warrant package.

PARKING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION AS-9-081	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 9
MODULE PURPOSE To prepare operational indexes and a list of persons with multiple registration "holds."			



MODULE NARRATIVE

① The Cross Reference Module prepares two types of indexes on a periodic basis (probably monthly).

The Warrant Name Index provides a one line entry in alphabetic sequence for each warranted citation. This entry includes the registered owner's or lessee's name, principal citation data, a document location reference, and the warrant number.

The Closed Citation Index lists all citations cleared during the period in citation number order. Each entry includes principal citation data, a document location reference and final status.

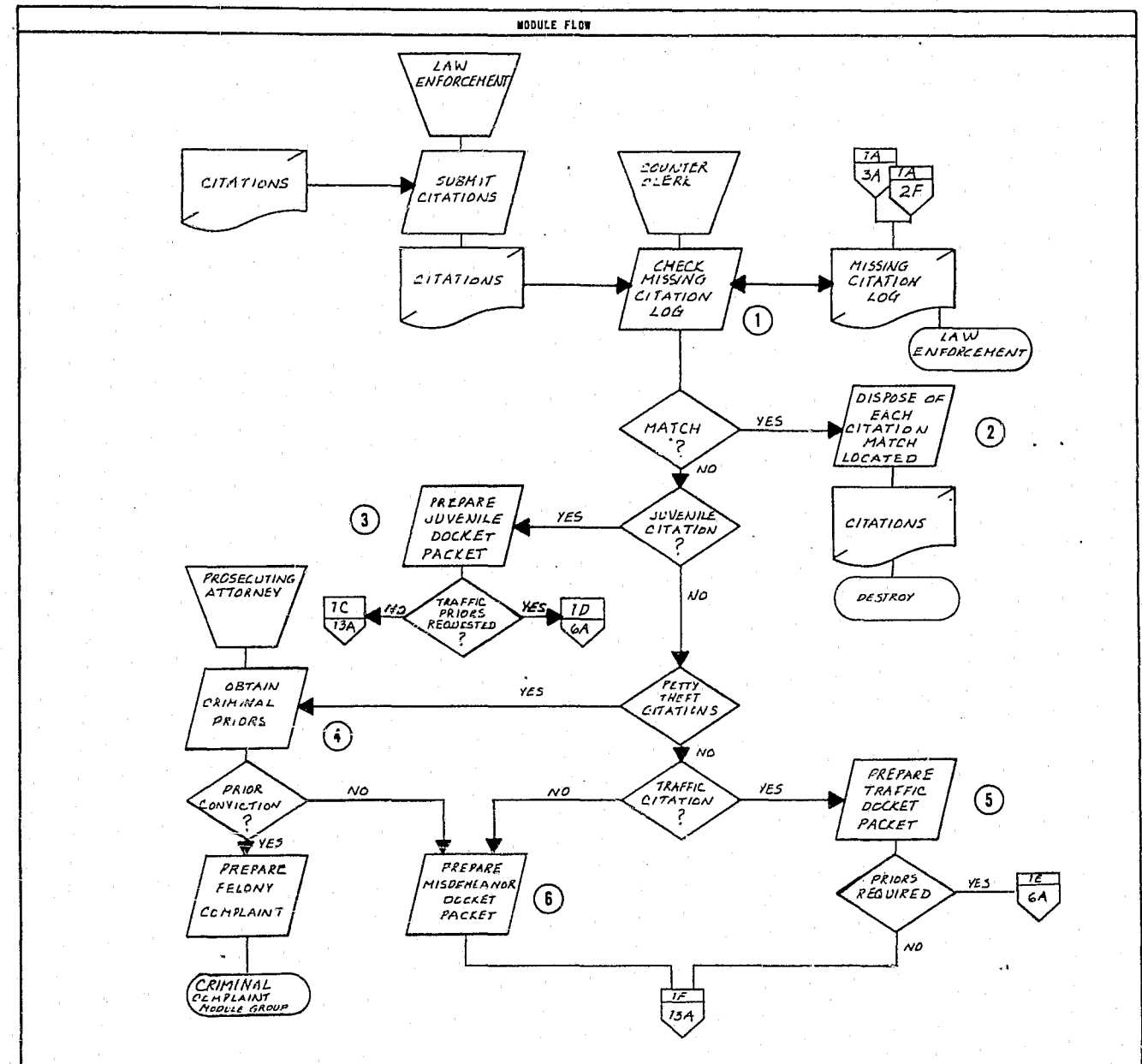
APPENDIX B

OTHER CITATION MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-1-011	MODUL'S NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 of 15
MODULE PURPOSE To accept citations from law enforcement and prepare the appropriate multipart form			



MODULE NARRATIVE

① All citations are received from the respective law enforcement authorities and checked against the Missing Citation Log. Misdemeanor, adult traffic and juvenile traffic citations are processed by this module.

② If a match is found, the citation is destroyed and the Missing Citation Log is updated to indicate this action.

③ Juvenile traffic citations are separated from the other citations and a docket packet (multipart form) is prepared which contains an index sheet, docket, two notices of hearing, a DMV conviction abstract and a copy of the disposition for the minor. If it is not feasible to retrieve priors on all traffic citations, the priors are retrieved on the more serious offenses only.

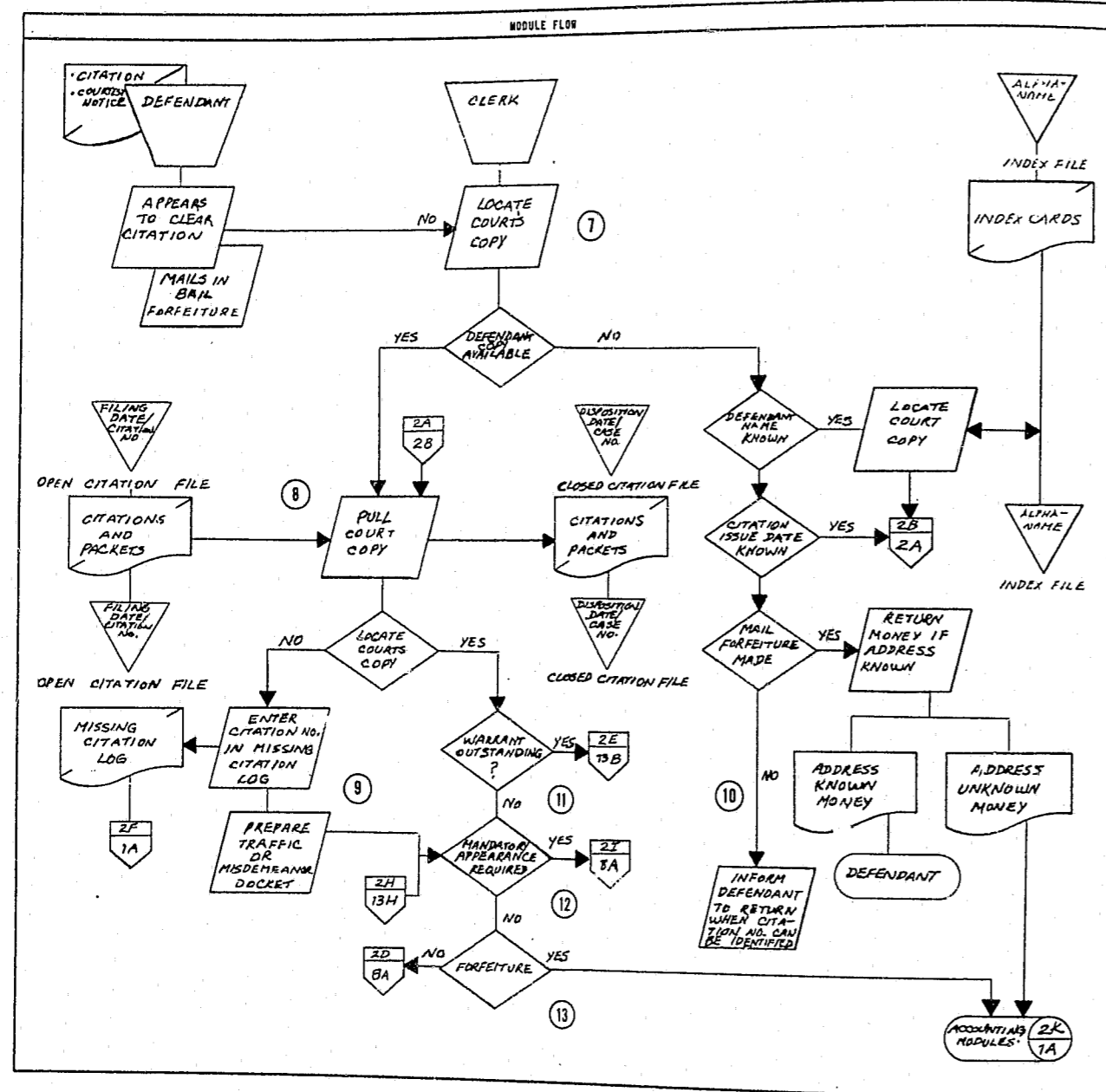
④ Petty theft citations are directed to the prosecuting attorney for the retrieval of criminal histories. Prior convictions on a petty theft necessitates the filing of a felony complaint and direct the case to the criminal complaints module group.

⑤ Multipart forms are prepared for all traffic citations. Included in this group of forms are: a docket, courtesy notice, DMV conviction abstract, referral slip, and index sheet.

⑥ Multipart forms are also prepared for all misdemeanor citations. These forms include a docket, referral slip, courtesy notice, and index sheet.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

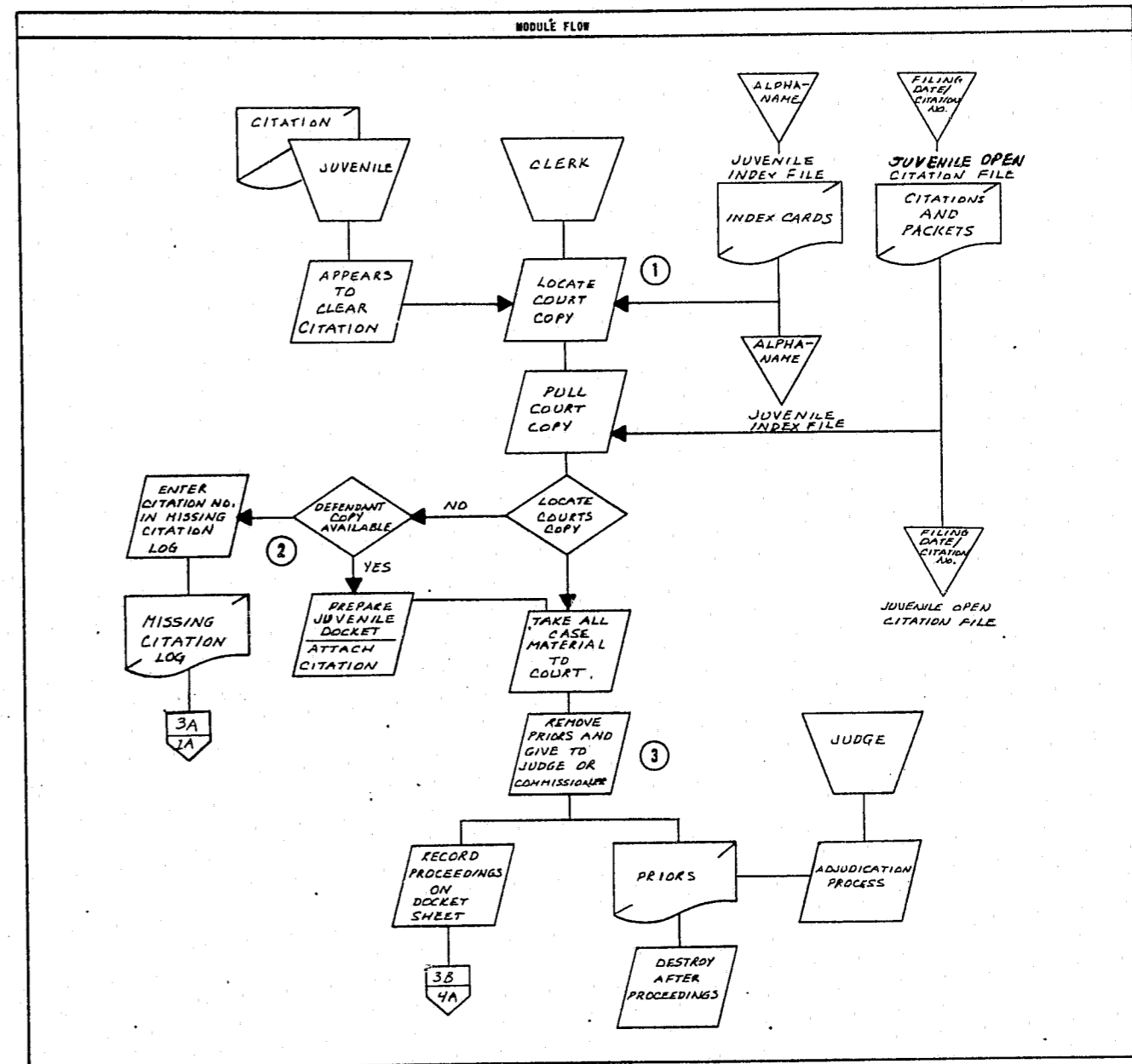
MODULE IDENTIFICATION BM-1-011	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 of 15
MODULE PURPOSE To locate the court's copy of the citation and determine the status of a citation			



- MODULE NARRATIVE
- If the defendant appears to clear his citation or mails in a bail forfeiture, the clerk must locate the court's copy of the citation. If the defendant's copy is available, the filing date and citation number are used to look up the corresponding court copy.
 - When the court's copy of the citation is located it is pulled from the appropriate file.
 - If the court's copy cannot be located but the defendant's copy is available, a docket is prepared and an entry is made in the Missing Citation Log. Once each month, this log is routed to the law enforcement agencies to assist them in locating the missing citations.
 - If the court's copy of the citation cannot be located and the defendant's copy is not available, the defendant is informed that no action can be initiated until the citation is located. All bail forfeitures submitted by mail are returned to the defendant after a waiting period has elapsed.
 - If a warrant is outstanding, the recall notice and DMV release are detached from the warrant packet and distributed.
 - If a mandatory appearance is required, the defendant is shown to court where the proceedings are recorded on the docket copy of the multi-part docket packet.
 - If a court appearance is requested the defendant is directed to court where all proceedings are recorded on the docket.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

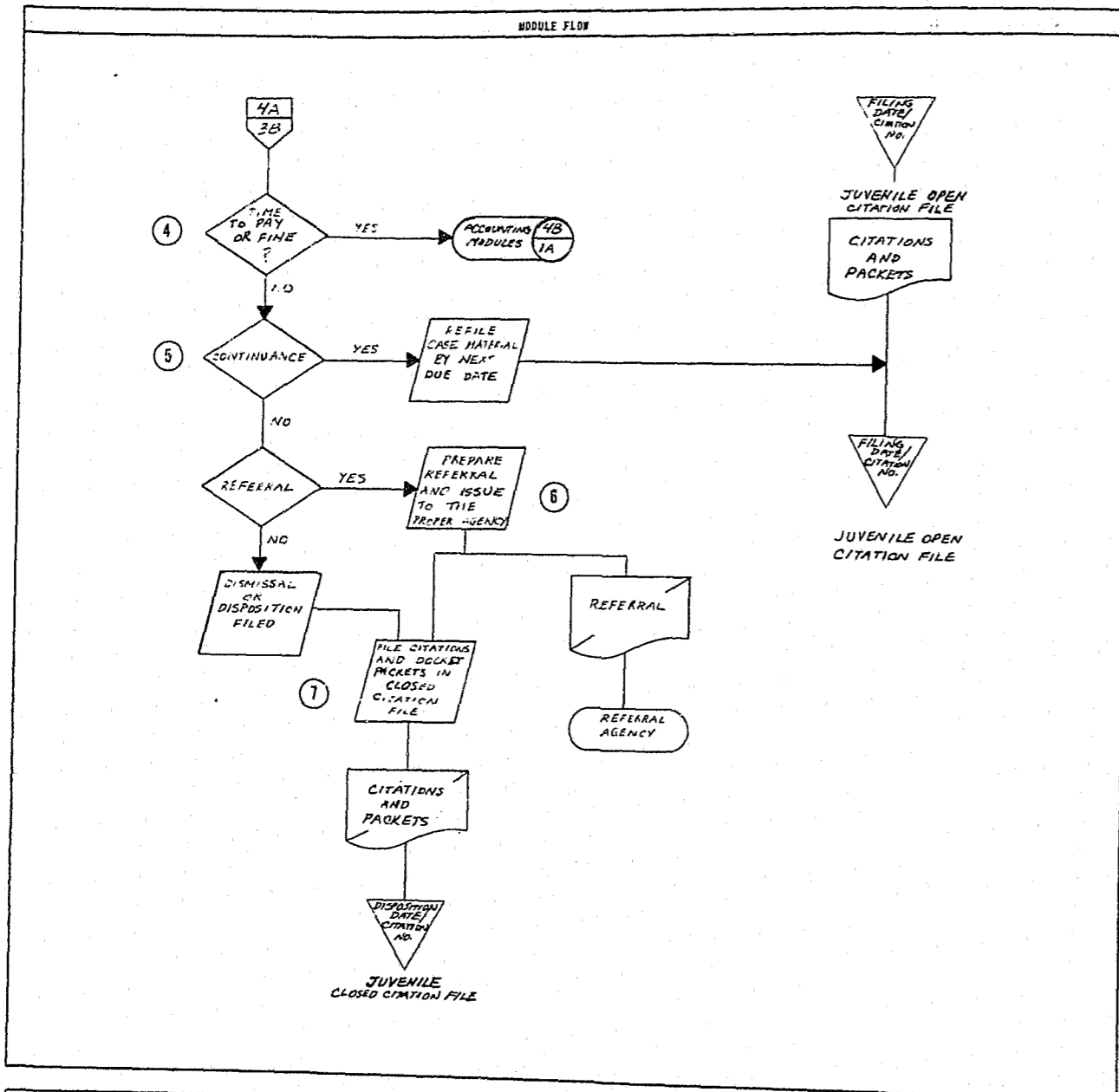
MODULE IDENTIFICATION BM-3-211	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Manual	PAGE 3 of 15
MODULE PURPOSE To locate the court's copy of the citation, determine the status of the citation and record court proceedings			



- MODULE NARRATIVE
- All juvenile citations are maintained separately from other citations due to the confidentiality of juvenile information. If the appearance date is not known the clerk uses the index to locate the citation and docket packet.
 - If a juvenile appears and the court copy can not be located, but the defendant's copy is available, a docket packet is prepared and an entry is made in the Missing Citation Log. If the defendant's copy is not available, no actions can be initiated.
 - The juvenile's citation, docket packet and driver history (when obtained) are taken to court. The attached priors are removed and given to the judge to use during adjudication. All proceedings are recorded on the docket.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-3-211	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Manual	PAGE 4 of 15
MODULE PURPOSE To determine the disposition status of juvenile citations			



MODULE NARRATIVE

④ If the disposition involves a time to pay account, an A/R Setup and Agreement Form is prepared and the case material is forwarded to the accounting division for further processing.

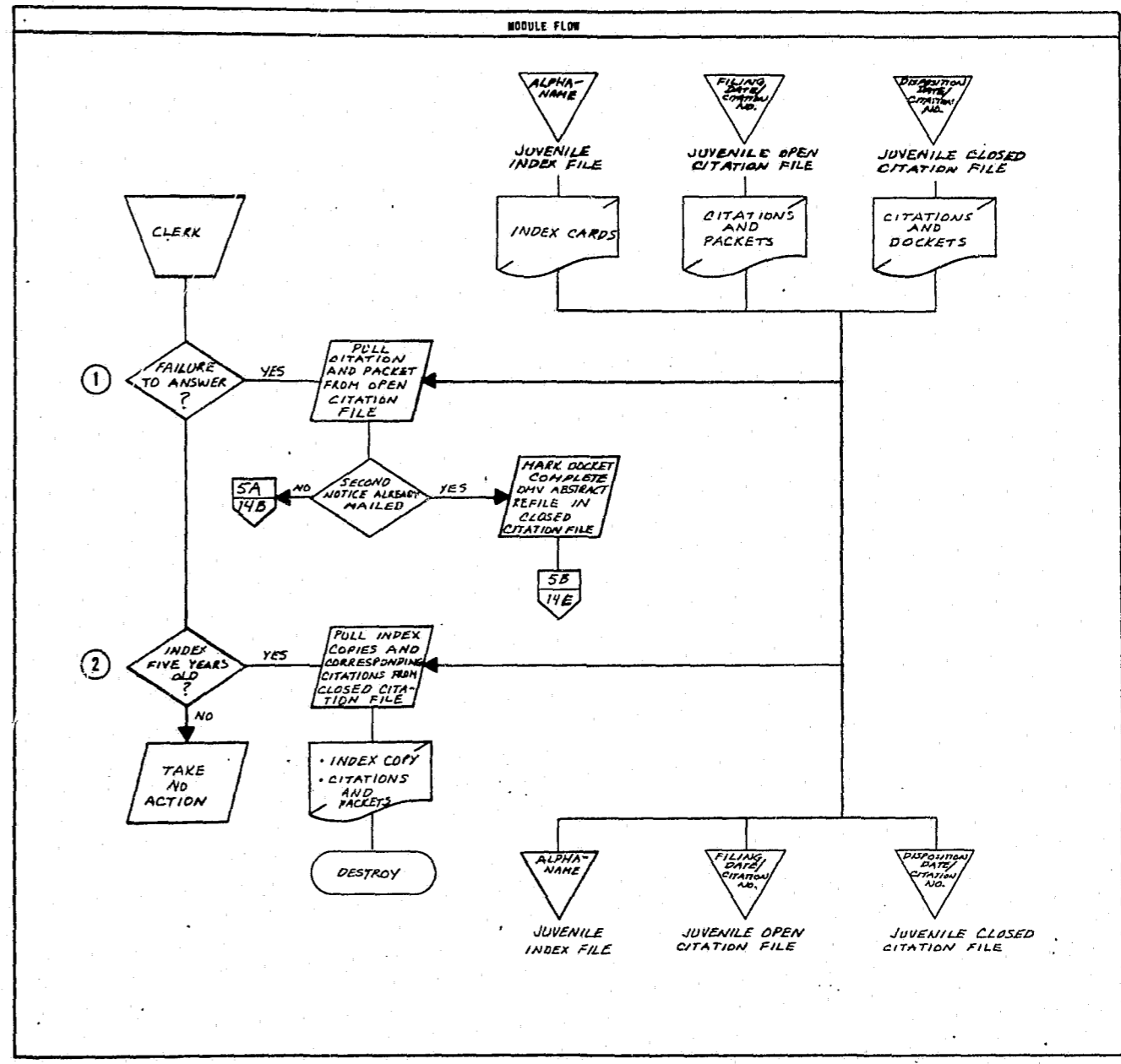
⑤ If a continuance is granted, the case material is refiled by the scheduled date of appearance in the Juvenile Open Citation File.

⑥ If a referral to the probation officer or public defender's office is made, the referral is detached from the docket packet and is distributed to the proper agencies. The case material is then filed in the Juvenile Closed Citation File.

⑦ Dismissed and disposed of cases are filed in the Juvenile Closed Citation File.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-3-211	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Manual	PAGE 5 of 15
MODULE PURPOSE To determine the status of active juvenile cases and initiate the appropriate followup action.			



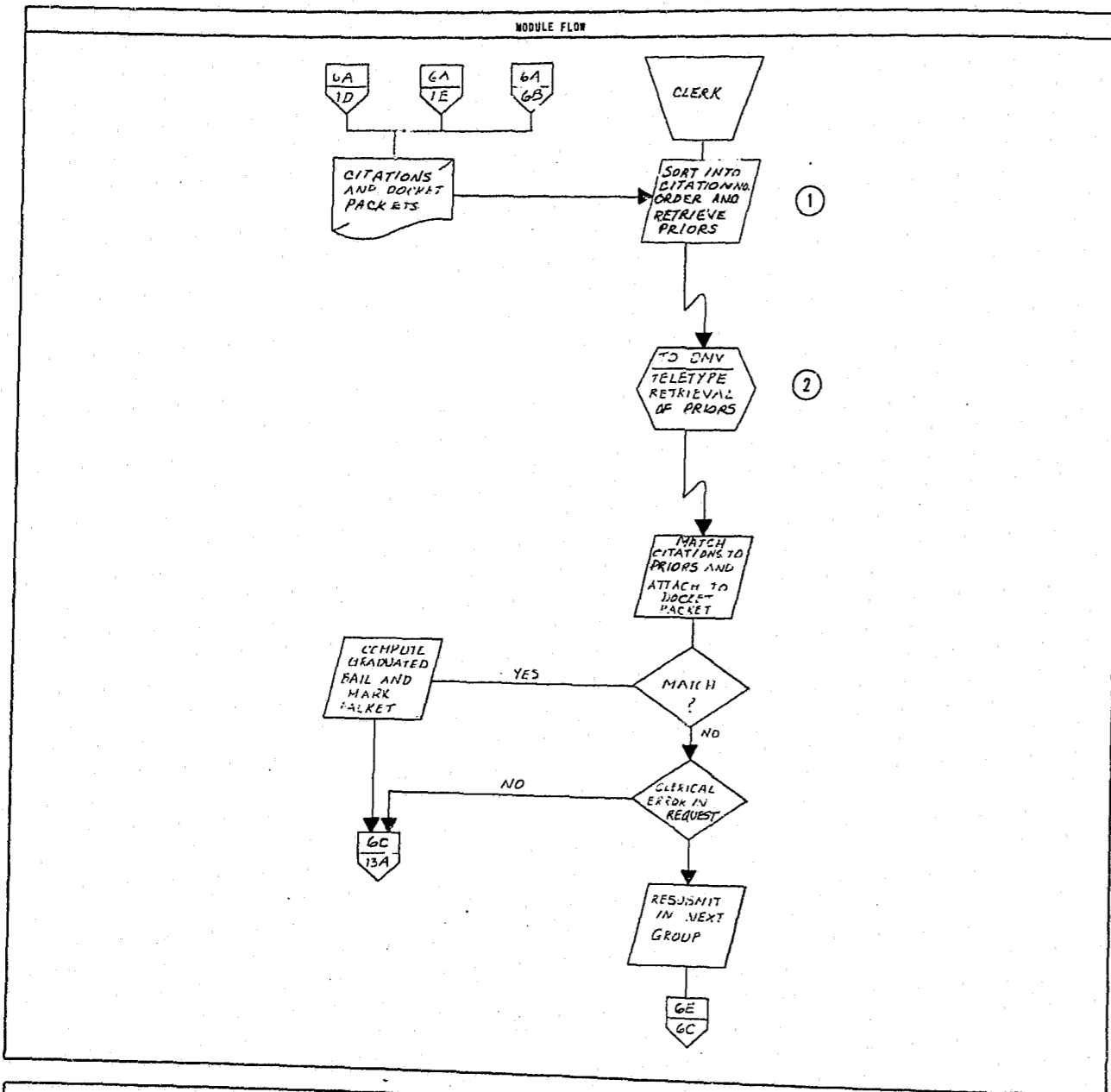
MODULE NARRATIVE

① Each juvenile offender is scheduled for a mandatory appearance. The citation and docket packet for each juvenile is filed by appearance date in the Juvenile Open Citation File. As the juvenile appears on his scheduled hearing date, his case documents are pulled from the file. If the juvenile fails to appear, either the second notice of hearing is mailed to him, or a failure to answer abstract is forwarded to DMV.

② All citations five years and older are purged from the Closed Citation File once each year.

OPEN CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-6-181	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION Manual	PAGE 6 OF 15
MODULE PURPOSE To retrieve prior driving records on traffic citations			

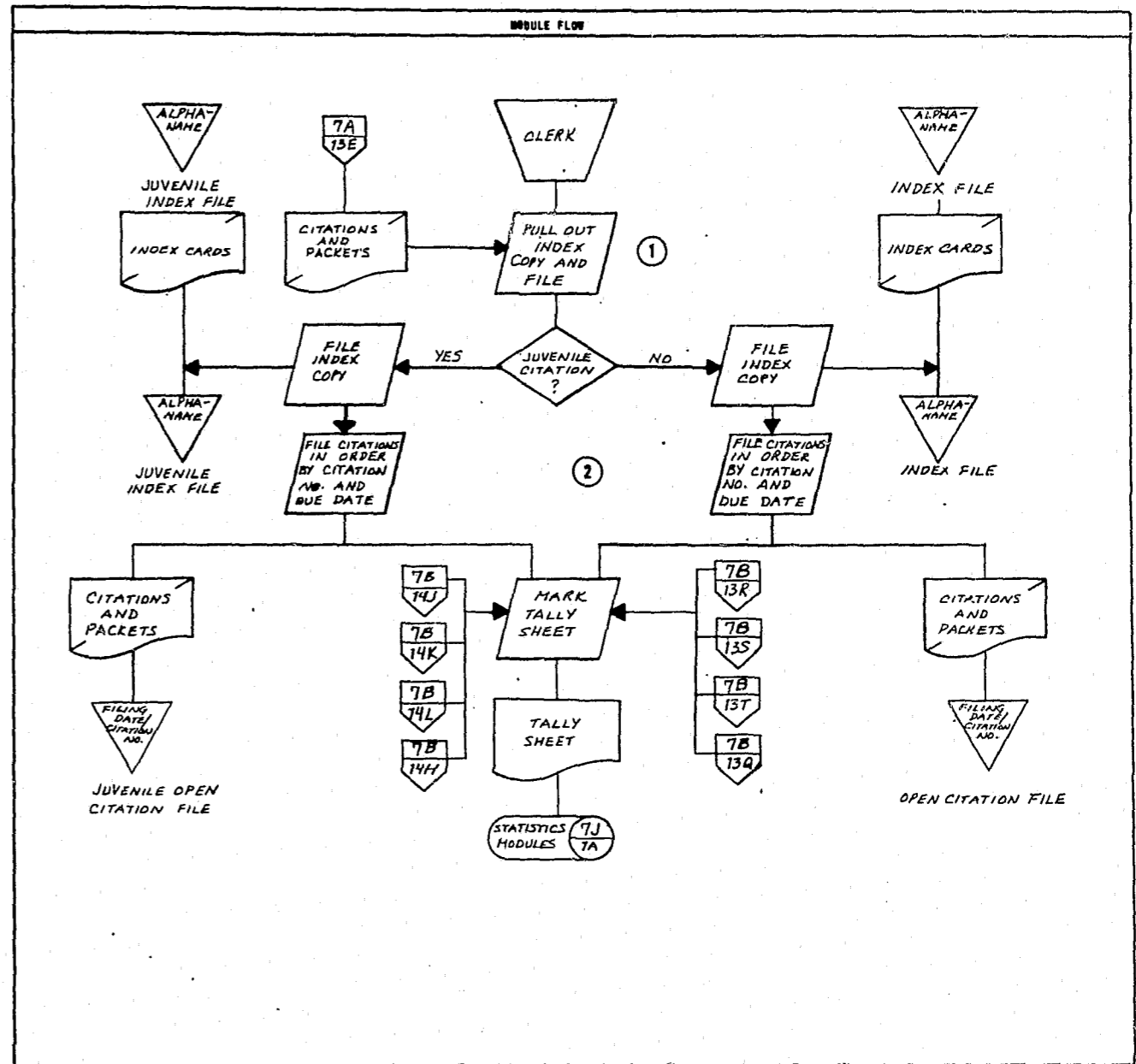


MODULE NARRATIVE

- ① If feasible, prior driver histories will be retrieved for all traffic offenders. If the retrieval of priors information on all offenders is not possible by virtue of the volume, then only the more serious offenses will be retrieved. Priors information are retrieved via the courts' or local law enforcement's teletype facilities.
- ② As the priors are retrieved, they are matched with the corresponding citation and docket packets. If a clerical error was responsible for the lack of DMV response, the request for the involved citation is resubmitted. For each match, graduated bail is calculated and marked on the docket.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-7-071	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 7 OF 15
MODULE PURPOSE To create indexes which create multiple references to the case file			



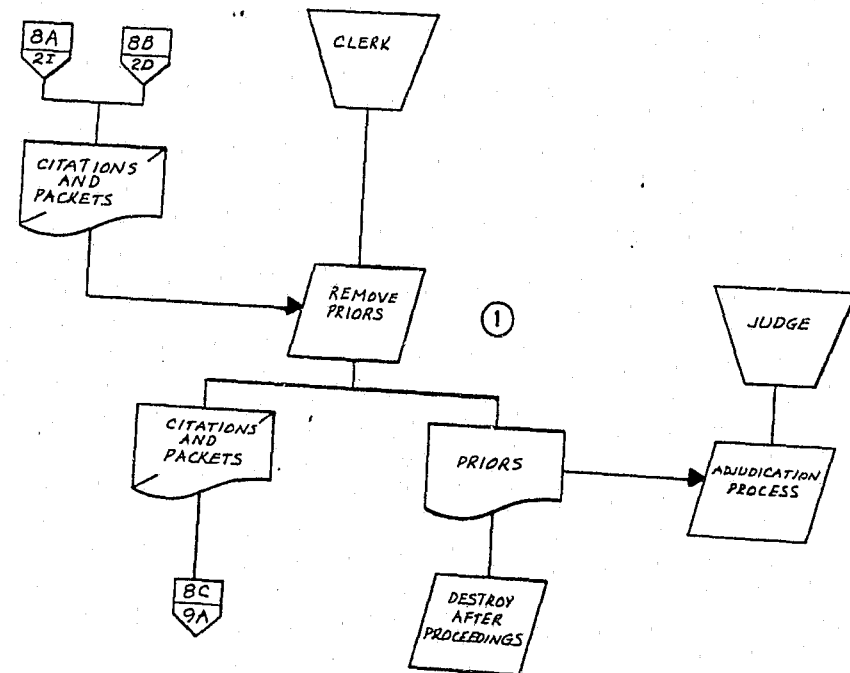
MODULE NARRATIVE

- ① The index cards are detached from the docket packet of each citation.
- ② Juvenile index cards are filed alphabetically in the Juvenile Index File. All other index sheets are filed in the index file in alphabetical order. The tally sheet is updated to reflect the filing of a new citation.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-8-041	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 8 OF 15
MODULE PURPOSE To provide prior conviction information to the judiciary			

MODULE FLOW



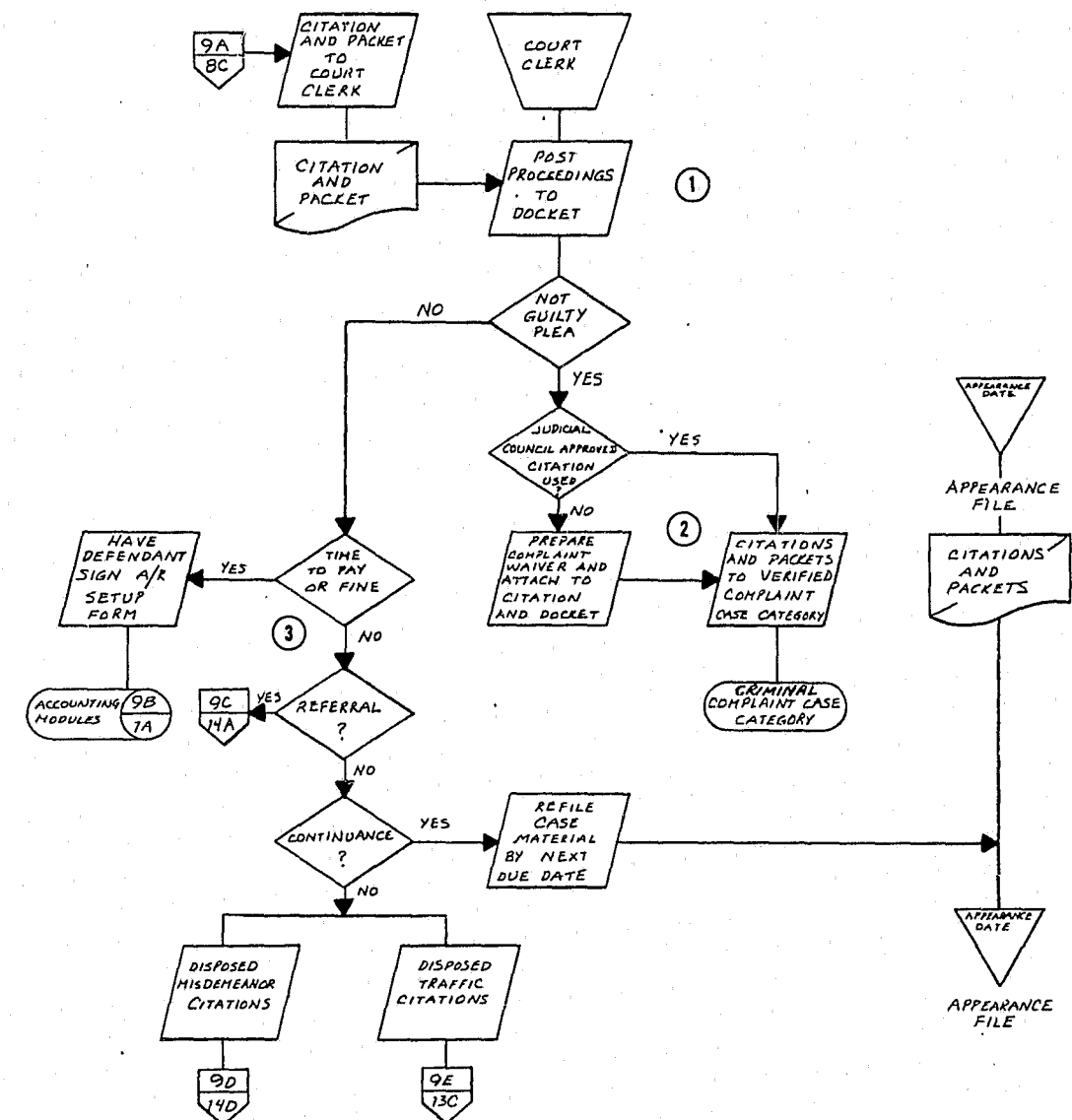
MODULE NARRATIVE

1 The DMV statewide driver histories are provided to the judge for use in the adjudication process for all defendants that appear in court.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-8-041	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 9 OF 15
MODULE PURPOSE To record all court actions and activities related to a specific case			

MODULE FLOW



MODULE NARRATIVE

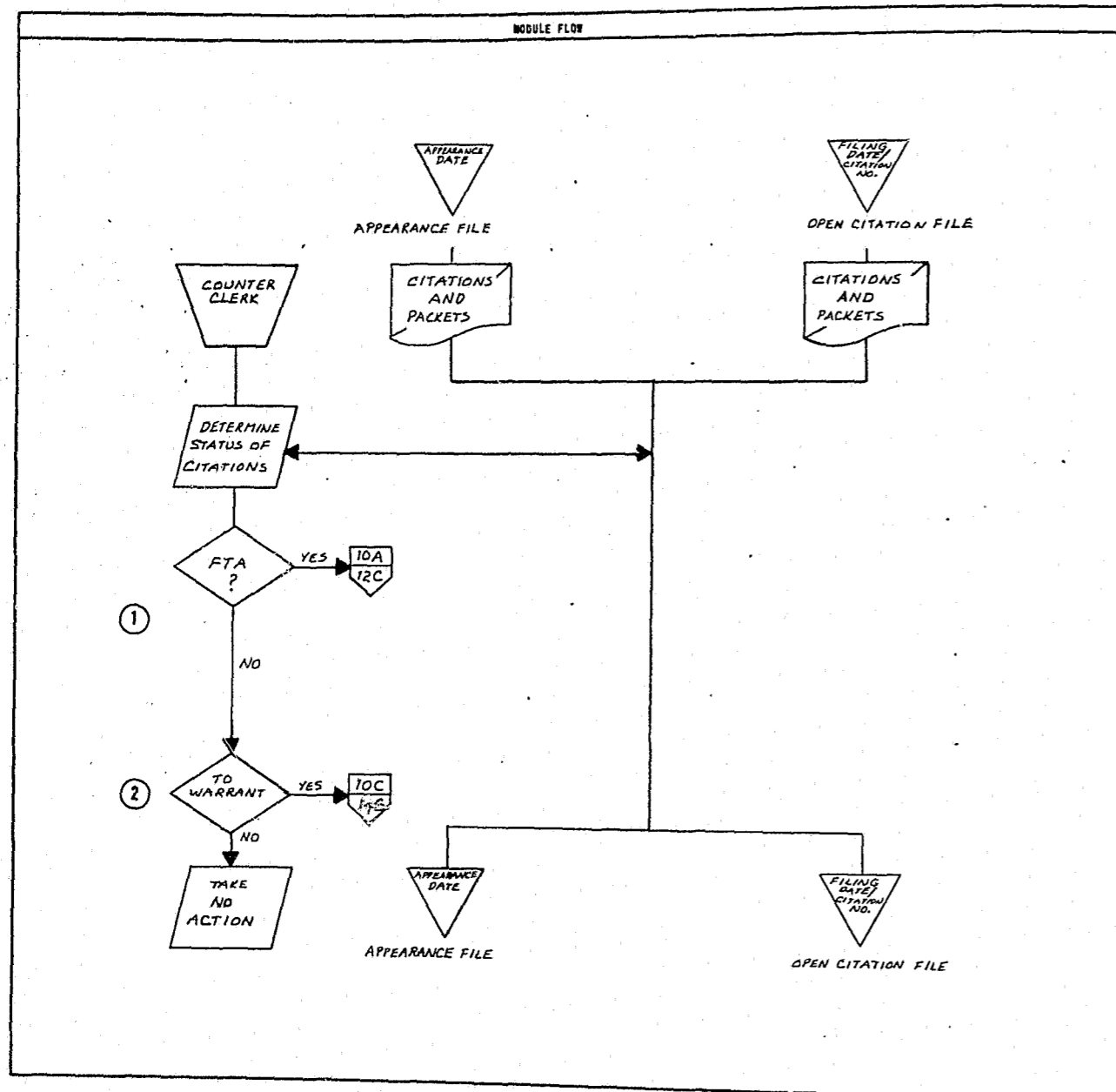
1 The proceedings for all court appearances are posted to the appropriate dockets. Most common entries are checkoff types which require initialing and/or dating.

2 If a trial is demanded, the case material is forwarded to the criminal complaint module group. If a Judicial Council approved citation is not used, a complaint waiver is prepared, signed by the defendant and is attached to the case material.

3 If a time-to-pay account is established an Accounts Receivable Setup Agreement Form is prepared and forwarded to accounting. All continuances are refiled by the next date of appearance in the Appearance File.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-10-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 10 of 15
MODULE PURPOSE To determine the status of active case files and the appropriate followup actions			



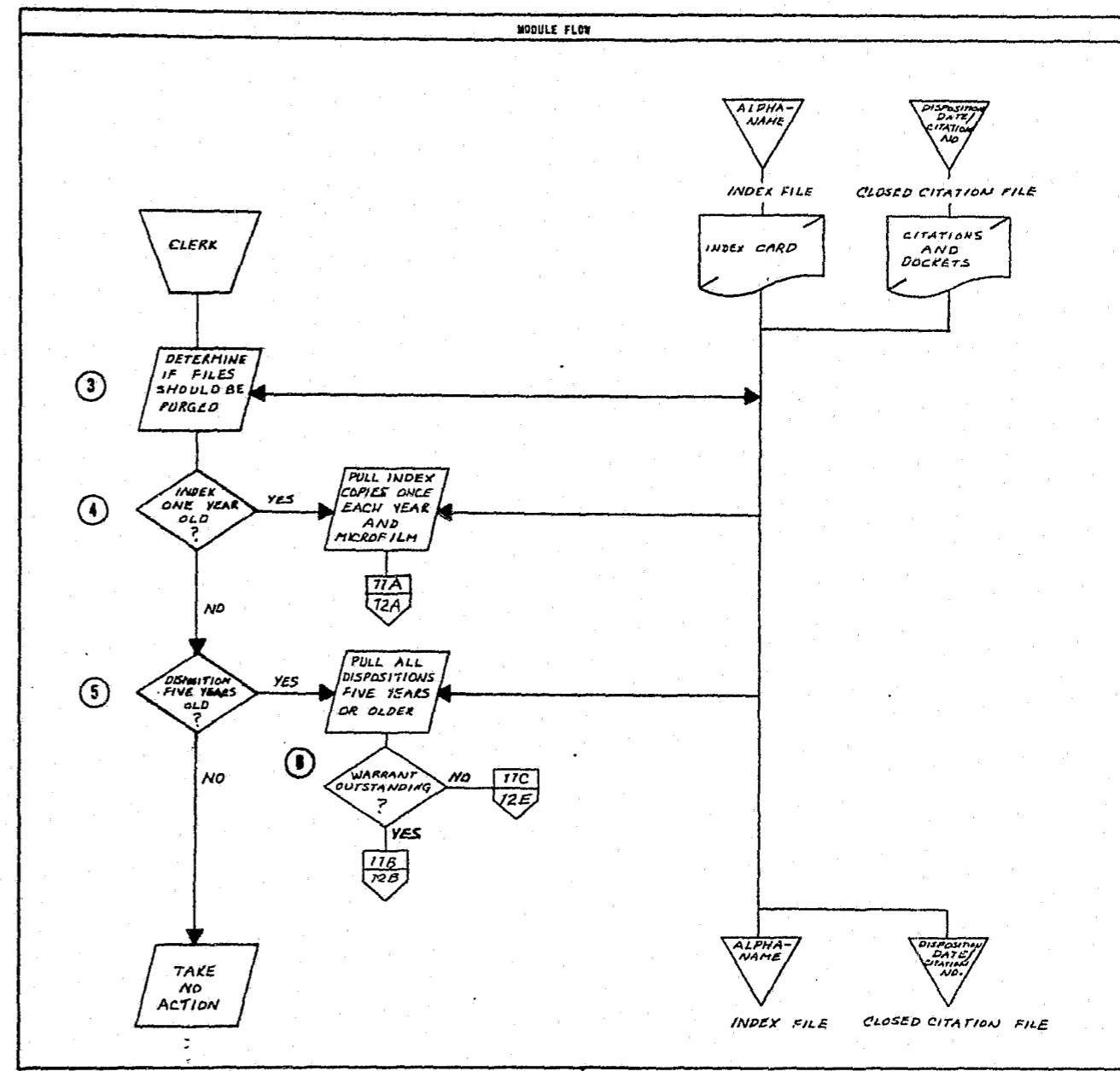
MODULE NARRATIVE

① All citations and packets corresponding to persons who failed to appear for their court date are removed from the Appearance or Open Citations File at the appropriate time so that a bench warrant or warrant re: Section 40508 CVC can be issued.

② Citations that have passed the court date are pulled from the active files and processed for the issuance of a warrant.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-10-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 11 of 15
MODULE PURPOSE To periodically purge inactive files			



MODULE NARRATIVE

③ All files are purged of unwanted citations on a yearly basis.

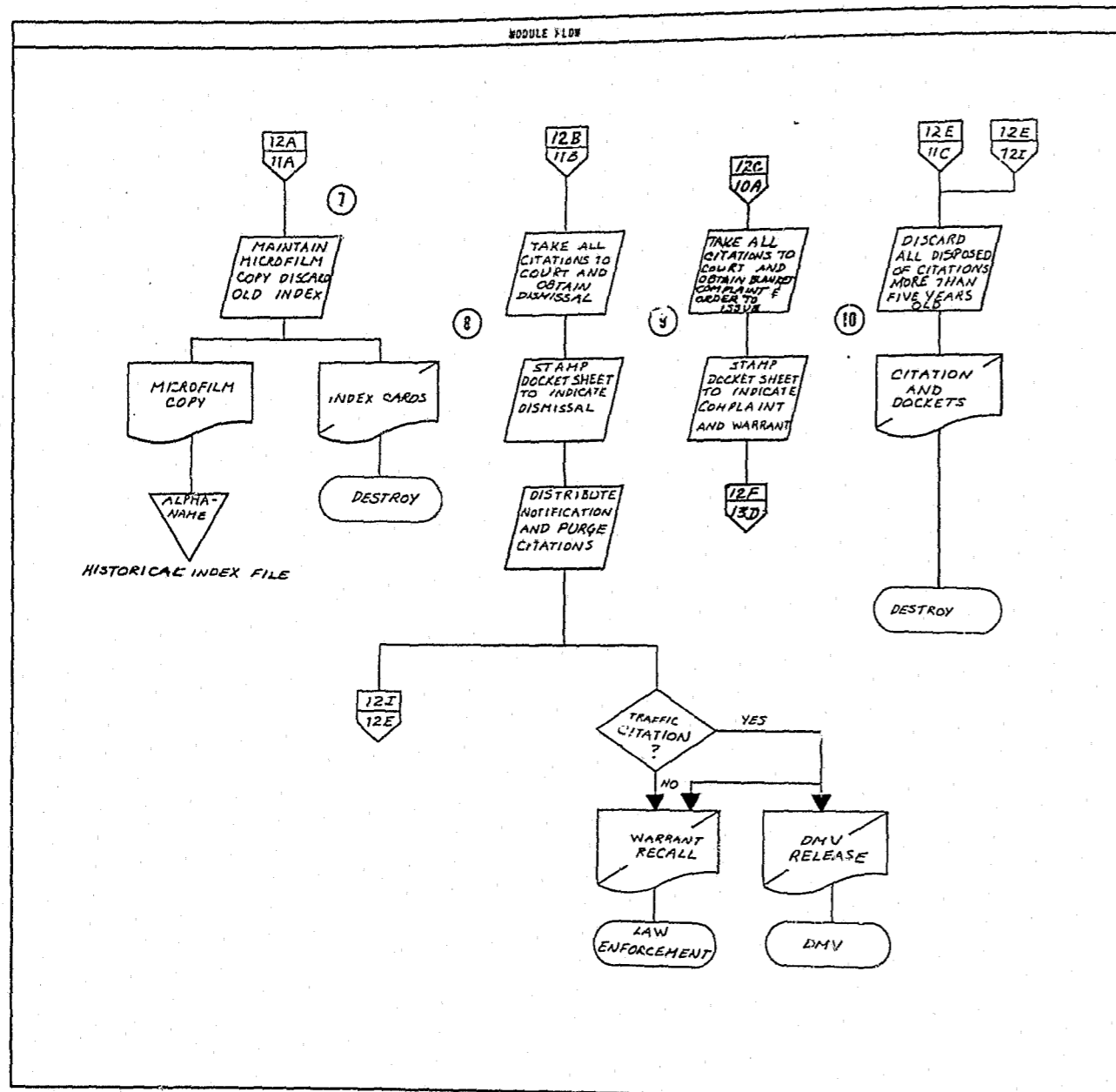
④ Once each year the index is microfilmed. The index cards are discarded and the microfilm is maintained as a permanent file.

⑤ All citations over five years old are pulled from the Closed Citation File.

⑥ If a citation is over five years old, it is examined to determine if a warrant is outstanding. Those with warrants are dismissed prior to document destruction.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-10-131	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 12 of 15
MODULE PURPOSE To determine the followup action to citations of a determined status			



MODULE NARRATIVE

⑦ All index cards are microfilmed and maintained as a Permanent Index File. The paper copies are destroyed.

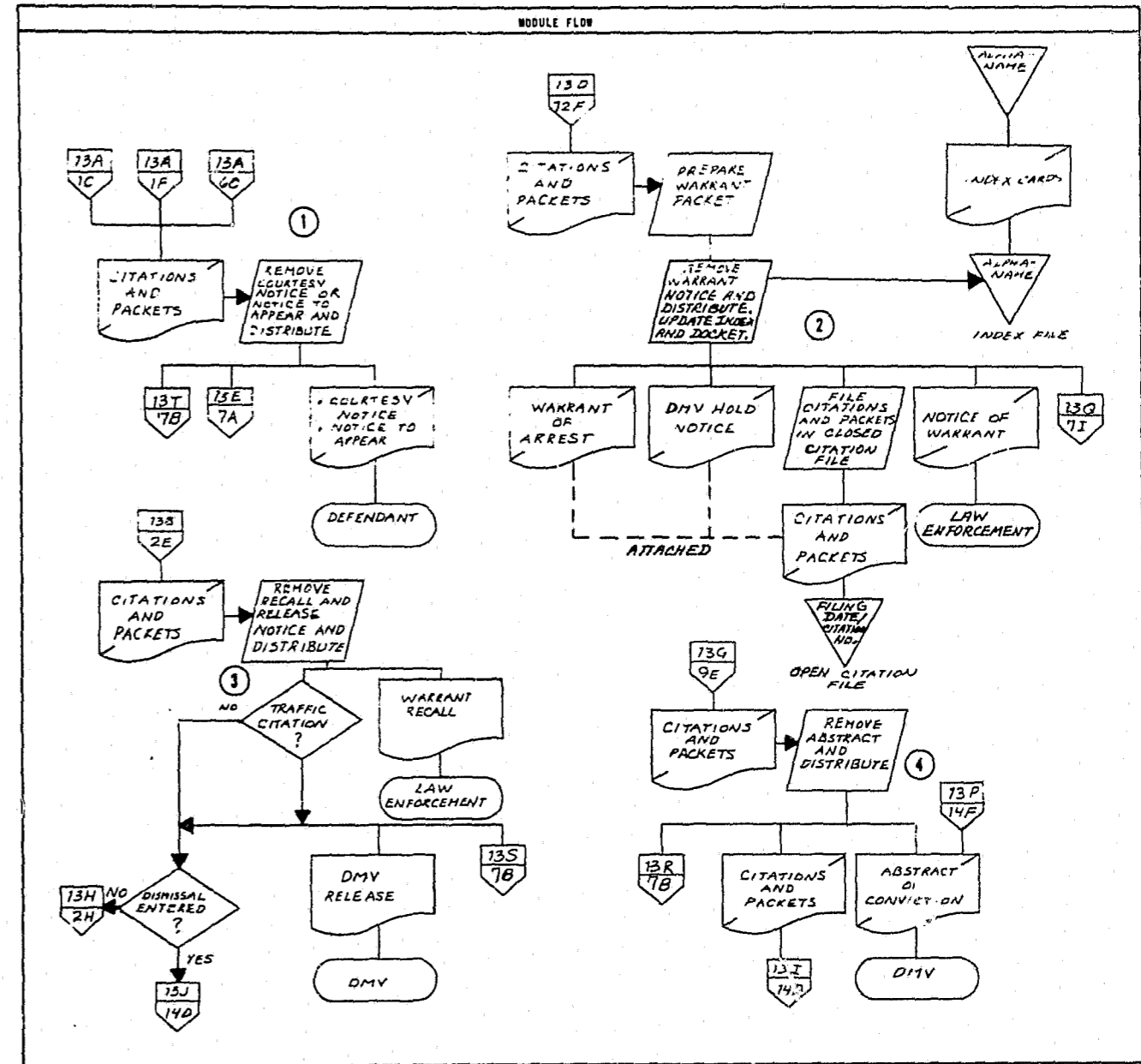
⑧ All citations with warrants outstanding are submitted to the court for dismissal for lack of prosecution. The docket of each such citation is stamped with the dismissal date. The release abstracts are detached from the corresponding notifications packets and are forwarded to DMV.

⑨ All citations pulled from the files for failure to appear are taken to court for the issuance of a blanket complaint so a warrant can be issued.

⑩ Disposed citations pulled from the Closed Citation File are destroyed.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-13-101	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 13 of 15
MODULE PURPOSE To notify the appropriate parties of court actions			



MODULE NARRATIVE

① The Courtesy Notice is removed from all citation packets and mailed to the defendants.

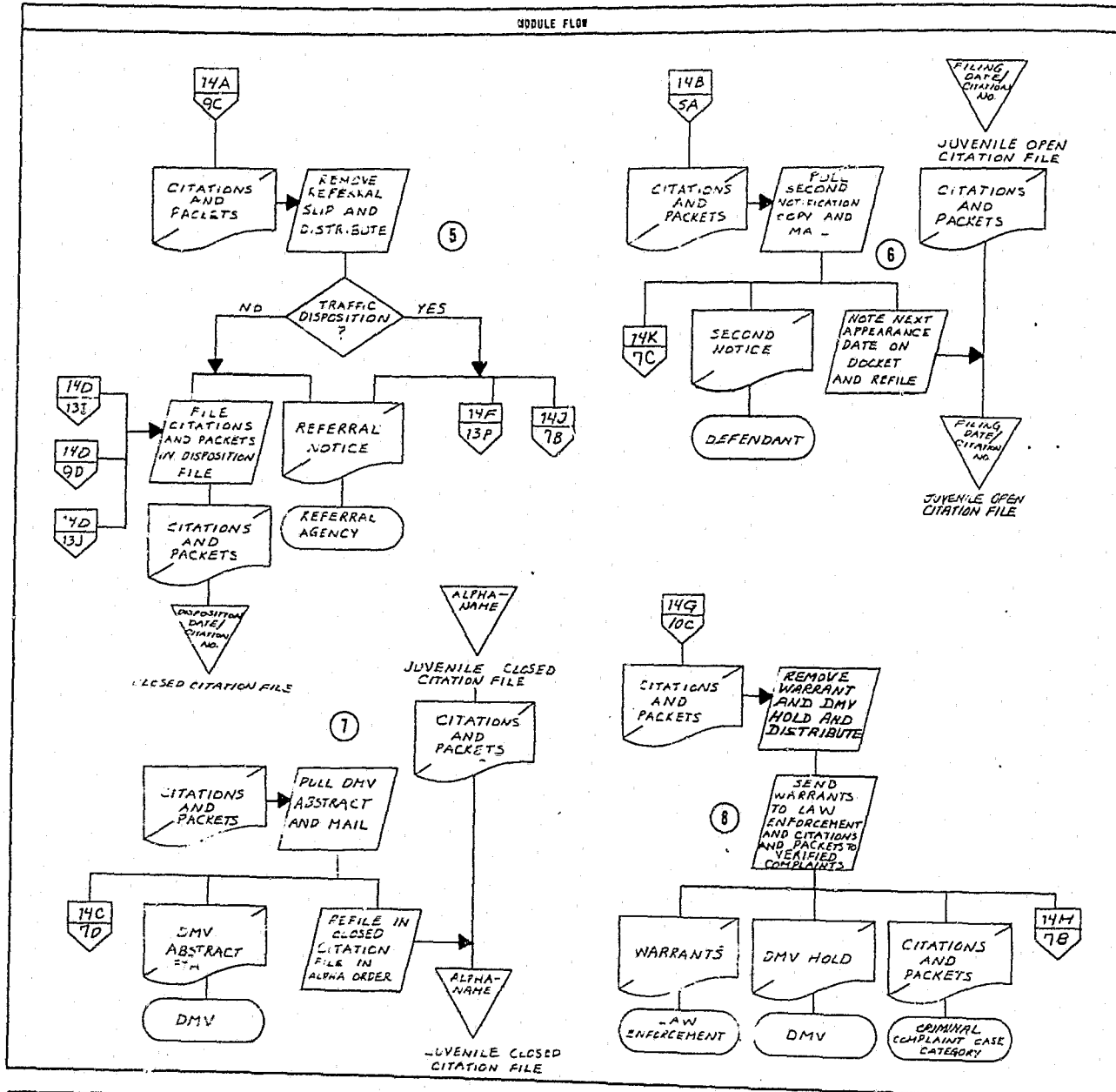
② A warrant packet containing a warrant, DMV hold and release abstracts, warrant recall and notice of warrant is prepared for each citation going to warrant. The required forms are removed from the packet and distributed as required. The remainder of the packet is attached to the case material and filed in the Open Citation File. The index card is marked to indicate the date of issuance.

③ If a recall notice is required, it is removed from the warrant packet and distributed; a DMV release abstract is distributed for all recalled traffic warrants.

④ An abstract of conviction is removed from the docket packet and distributed for every traffic citation disposed of by a guilty plea (including nolo) or verdict.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-13-101	MODULE NAME NOTIFICATION OF COURT ACTION	LEVEL OF AUTOMATION Manual	PAGE 14 of 15
MODULE PURPOSE To notify the appropriate parties of court actions			



MODULE NARRATIVE

5 If a referral to a county agency such as the probation office or public defender's office is ordered, the referral copy of the docket packet is removed and distributed. The citation and packet are then filed in the Closed Citation File.

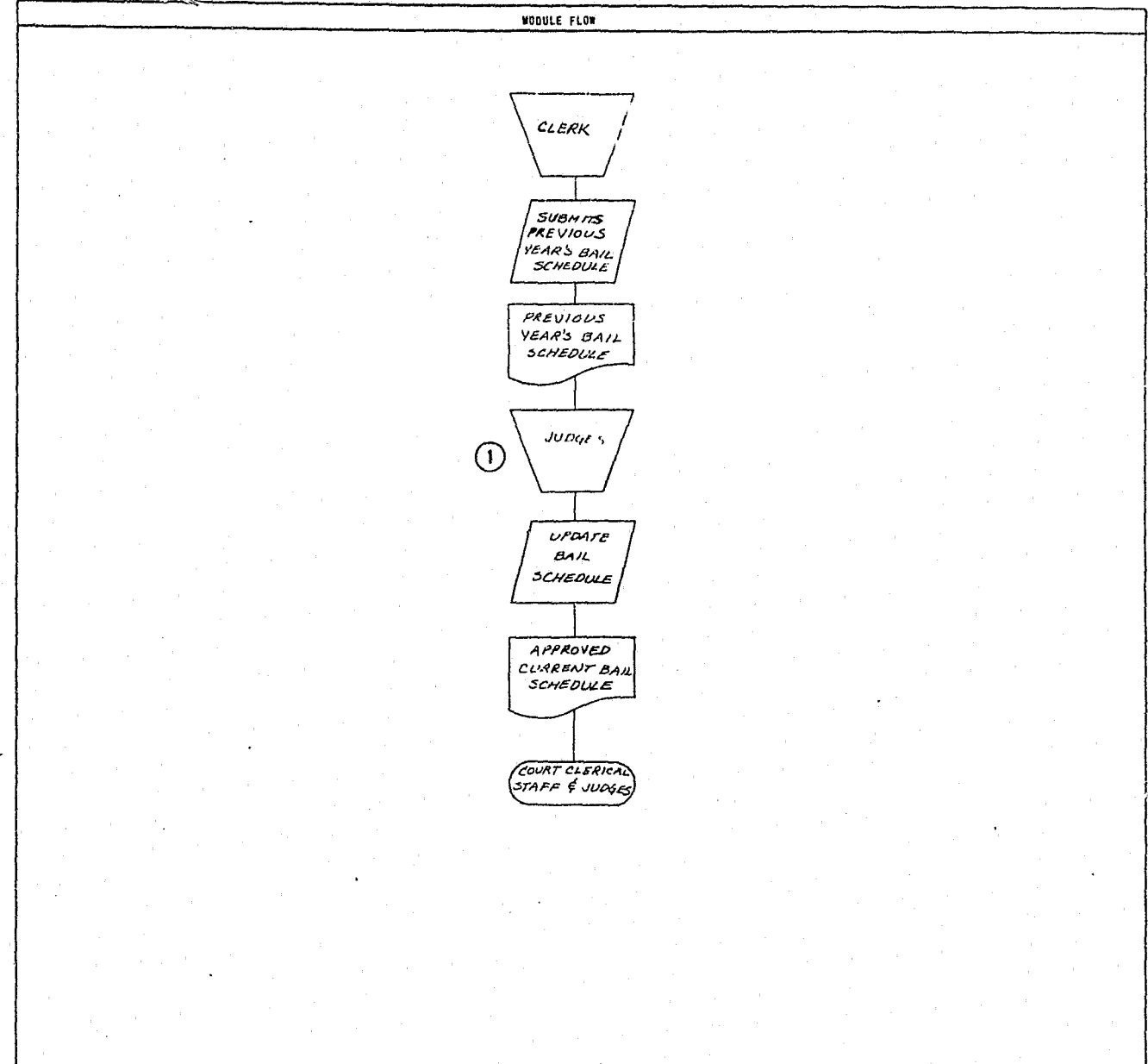
6 If a juvenile fails to appear for his scheduled hearing a second notice is mailed.

7 The conviction abstract is completed and detached from the juvenile docket packets and is forwarded to DMV when a guilty plea (including nolo) or verdict is rendered.

8 For FTP and FTA complaints, a warrant is issued, and a DMV hold is mailed if a traffic citation is involved. The citations and packets are then forwarded to the Verified Complaint Category.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BM-15-241	MODULE NAME BAIL SCHEDULE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 15 of 15
MODULE PURPOSE			



MODULE NARRATIVE

1 The judiciary meets at least once per year to update the countywide bail schedule for misdemeanor, ordinance and CVC violations which are citable so that a reference is available to counter personnel.

Each entry on the bail schedule will indicate:

- Violation code section
- Violation description
- Applicable statute
- Bail amount
- Penalty assessment indication
- Rules for calculating graduated bail

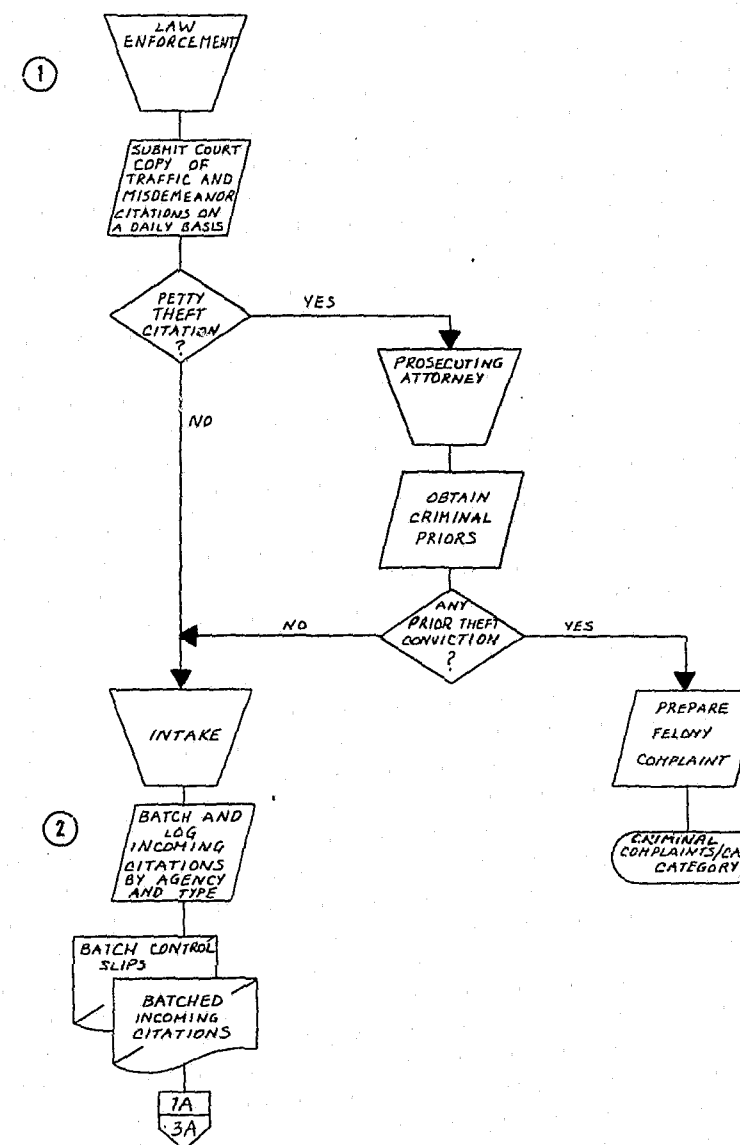
FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 of 15
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MODULE PURPOSE
To accept the filing of citations submitted by law enforcement and to prepare them for entry into the automated system

MODULE FLOW



MODULE NARRATIVE

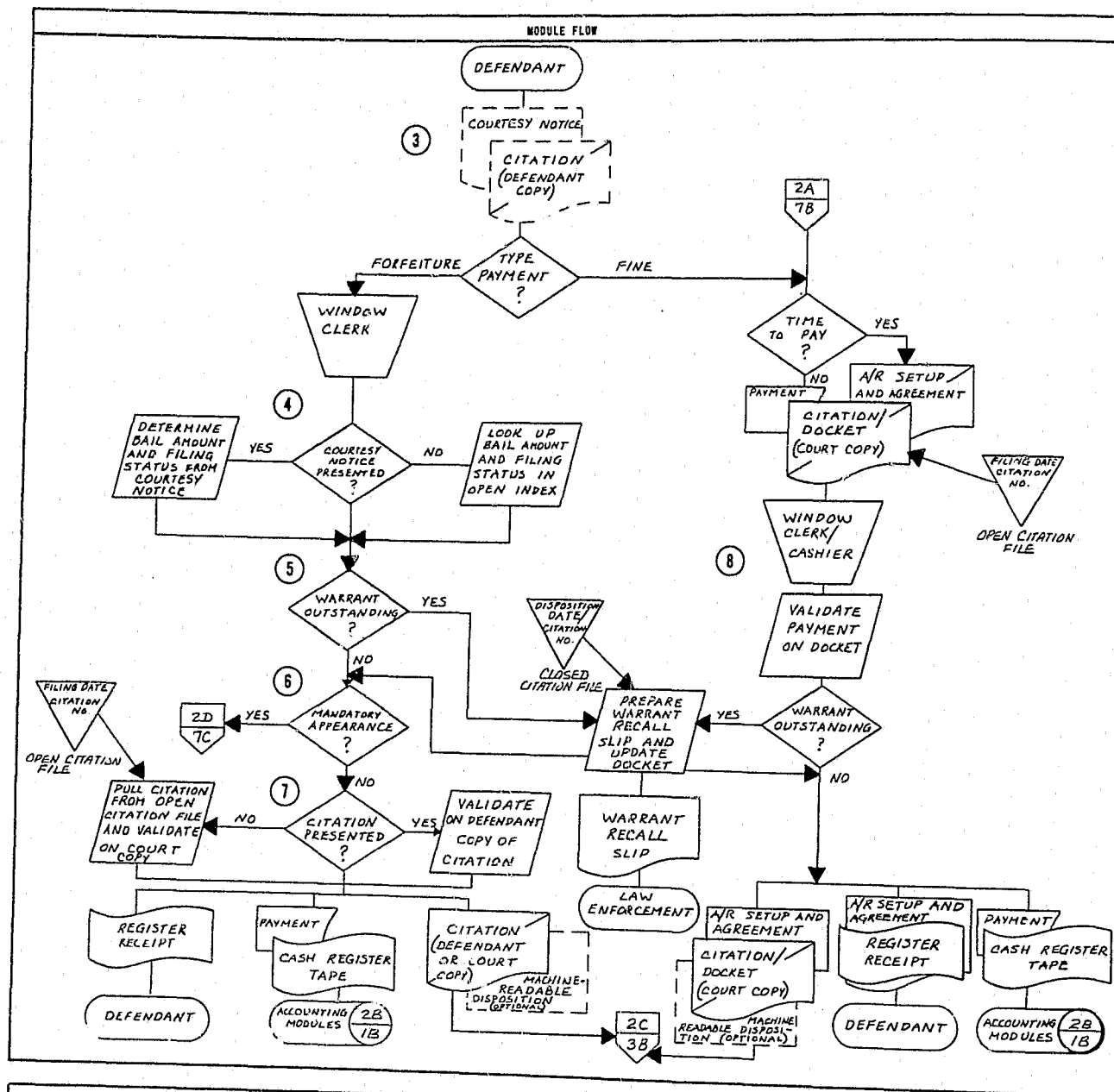
① One or more law enforcement agencies submit traffic and misdemeanor citations to the court on a daily basis. Petty theft citations are segregated and routed through the prosecuting attorney to determine if a felony complaint is required due to prior convictions.

② The citations, except for those where complaints are filed by the prosecuting attorney, are batched and logged on control sheets, and are prepared for entry into the automated system by court personnel.

Note that in future references to citation number, an issuing agency prefix is implied which will be required for many courts until some uniform method of citation numbering is established.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 OF 15
MODULE PURPOSE To accept payment for citations disposed of through bail forfeiture or payment of court-imposed fine, and to initiate disposing entries and warrants			

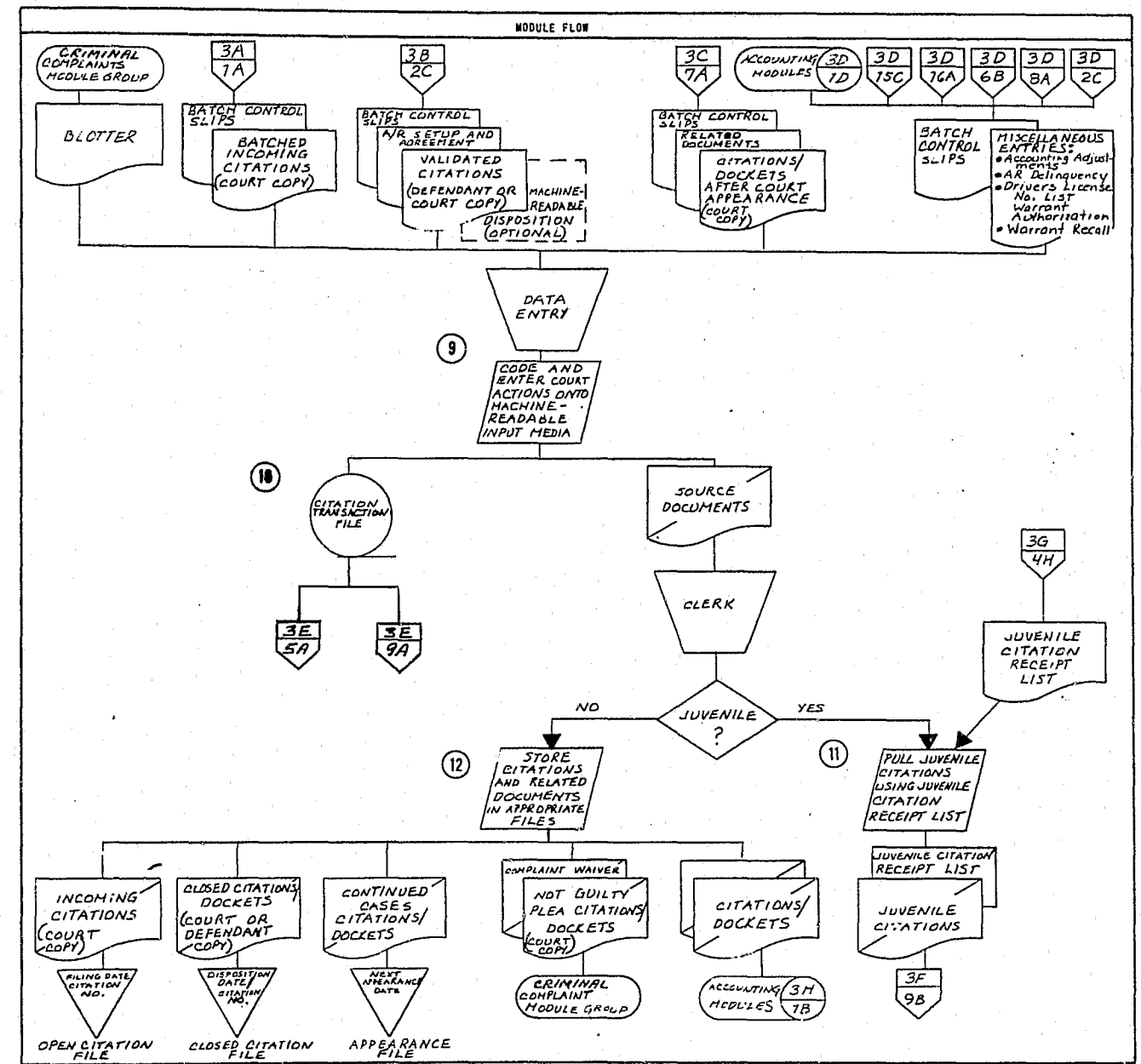


MODULE NARRATIVE

- 3 The defendant (or his agent) may appear with or without his copy of the citation and/or courtesy notice, or may submit payment (i.e., forfeiture) through the mail.
- 4 On bail forfeitures, the clerk must determine the bail amount and whether a warrant has been filed. If a courtesy notice is presented by the defendant, the bail amount and filing status (denoted by the appearance date printed on the notice) is readily available to the clerk. Otherwise, the bail amount and filing status are found in the Open Name Index, which is printed and updated daily for all active or recently cleared citations.
- 5 If a warrant is outstanding, it is recalled by a manual notice to the appropriate law enforcement agency. DMV clearance and conviction abstracting will be performed automatically as part of the Notifications Module's output.
- 6 If the Courtesy Notice or Open Name Index indicate that a mandatory court appearance is required, refer to the procedure on page 7.
- 7 If the defendant forfeits bail and supplies his copy of the citation, the defendant's copy is retained by the court as the copy of record and payment is validated on it by the cash register.
- 8 Fine payments and installment account setups are received from the courtroom clerk. Single fine payments are validated on the docket. The clerk also prepares the A/R Setup and Agreement Form. Payments are validated on this form as they are received.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 OF 15
MODULE PURPOSE To enter incoming citations, citation dispositions and status updates onto machine-readable input media, and to store citations and related documents subsequent to entry			

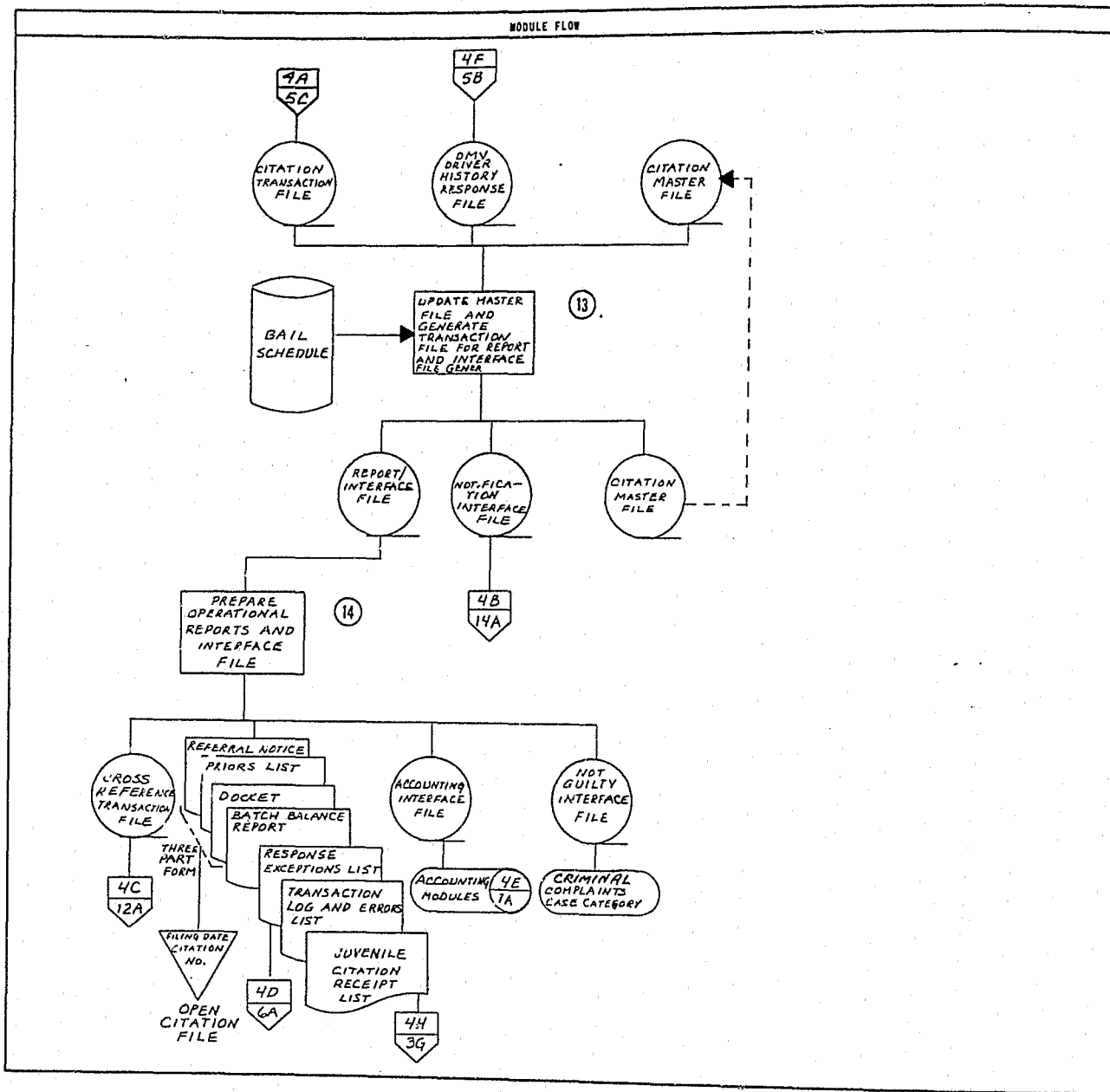


MODULE NARRATIVE

- 9 All data entering the module group flow through a common entry function and automated editing procedure.
To the extent possible, initial citation entry, court actions updating previously entered citations, and miscellaneous entries will be key entered from the original source documents.
Note that the arrest blotter is used to clear the files of persons arrested on warrants.
- 10 The courts should consider magnetic tape key entry devices operated by court clerical staff located physically within the court clerical processing area.
- 11 Juvenile citations received the day before are pulled from the Open Citation File (where they had been filed) using the Juvenile Citation Receipt List as a "pull list."
- 12 Citations are filed as indicated. Disposed citations are filed by disposition date and citation number in order to minimize filing time, to provide a means to easily retrieve the documents, and to facilitate purging.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-1-021	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 of 15
MODULE PURPOSE To update the Citation Master File, to provide operational reports to determine the status of citations, and to interface with the other modules			



13 The automated system maintains a Citation Master File. Each citation record consists of person, and event oriented data entered from the citation, disposition or status data entered from court actions, and a bail calculation and priors summary.

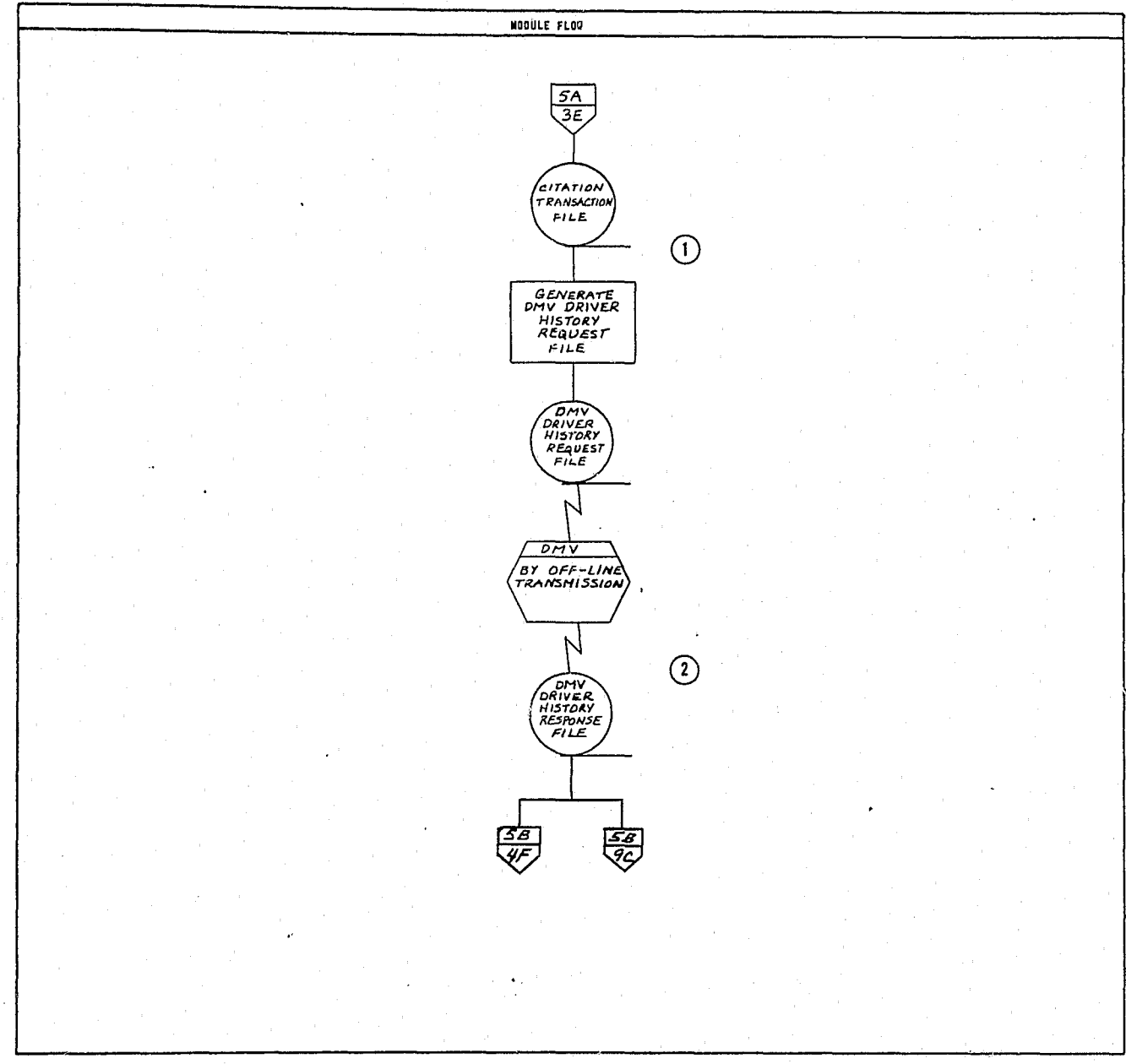
This procedure is used to minimize filing since most citations will be disposed of on the defendant's copy.

14 To prepare operational reports, a Report Interface File is generated containing individual records which are denoted as to output type and sequence in a common sort key field in each record. The tape is then sorted in sequence on this common field.

A three-part priors list, referral notice and docket form is printed for each incoming citation. This form is printed in the same sequence as the corresponding citation documents and filed in the Open Citation File. The multi-part form is placed in the same tray as their corresponding citations, but they are not merged together.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-5-191	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 of 15
MODULE PURPOSE To retrieve statewide histories from DMV on machine-readable media for all violators charged with a moving traffic offense			



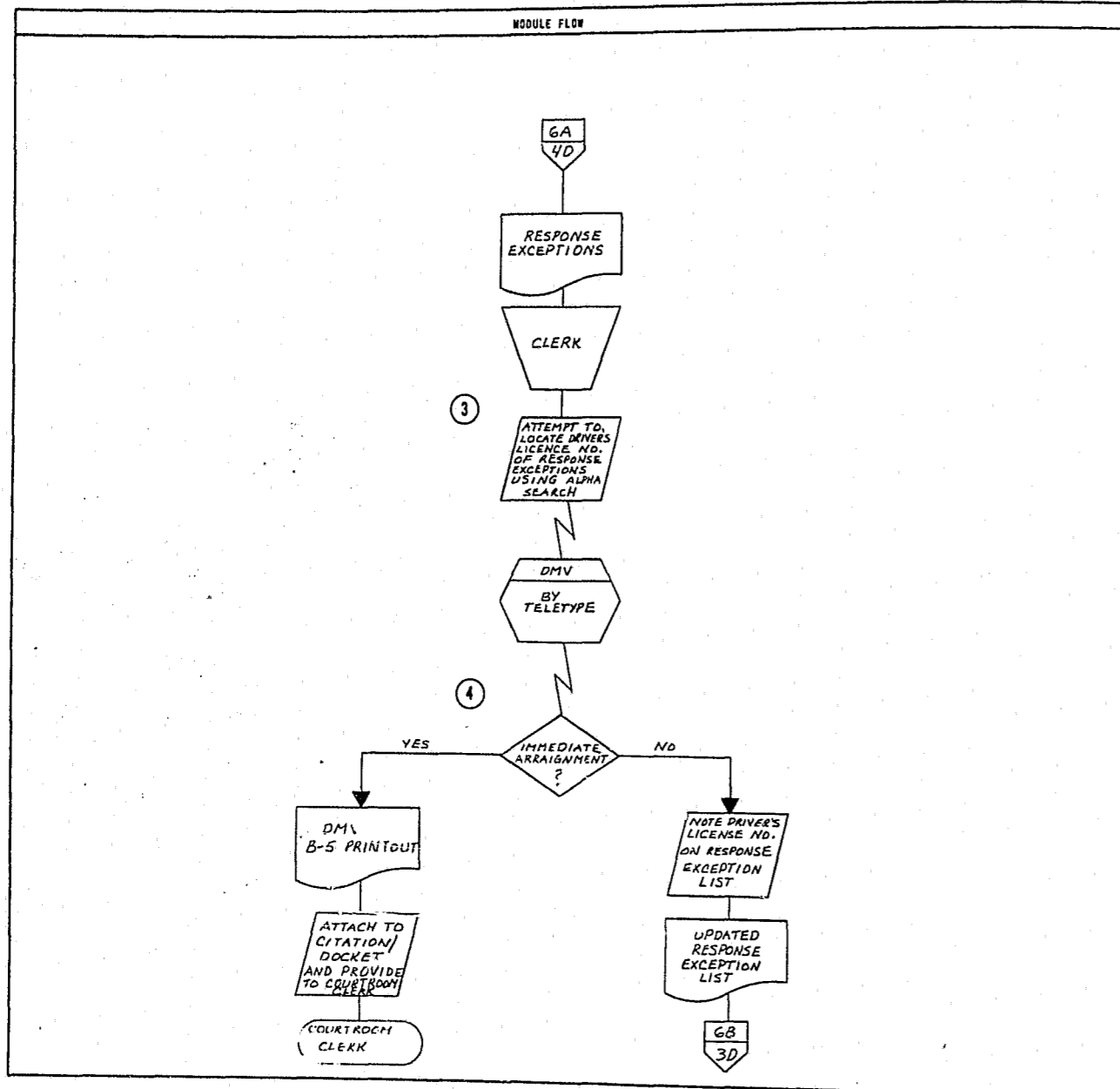
1 New moving traffic citations initiate DMV driver history request records. These records are placed on magnetic tape and are transmitted to DMV over an off-line terminal-to-terminal device.

2 DMV returns, using the same method, a response tape containing driver history records or exception records corresponding to each request transmitted to them.

It would be helpful to the courts if DMV could provide the defendant's personal description and the description of the defendant's vehicle(s) in the driver history response record. This would eliminate the entry of this information at warrant issuance time.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-5-191	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 OF 15
MODULE PURPOSE To determine the drivers license number of violators whose statewide driver histories cannot be obtained through automated methods without manual intervention			



MODULE NARRATIVE

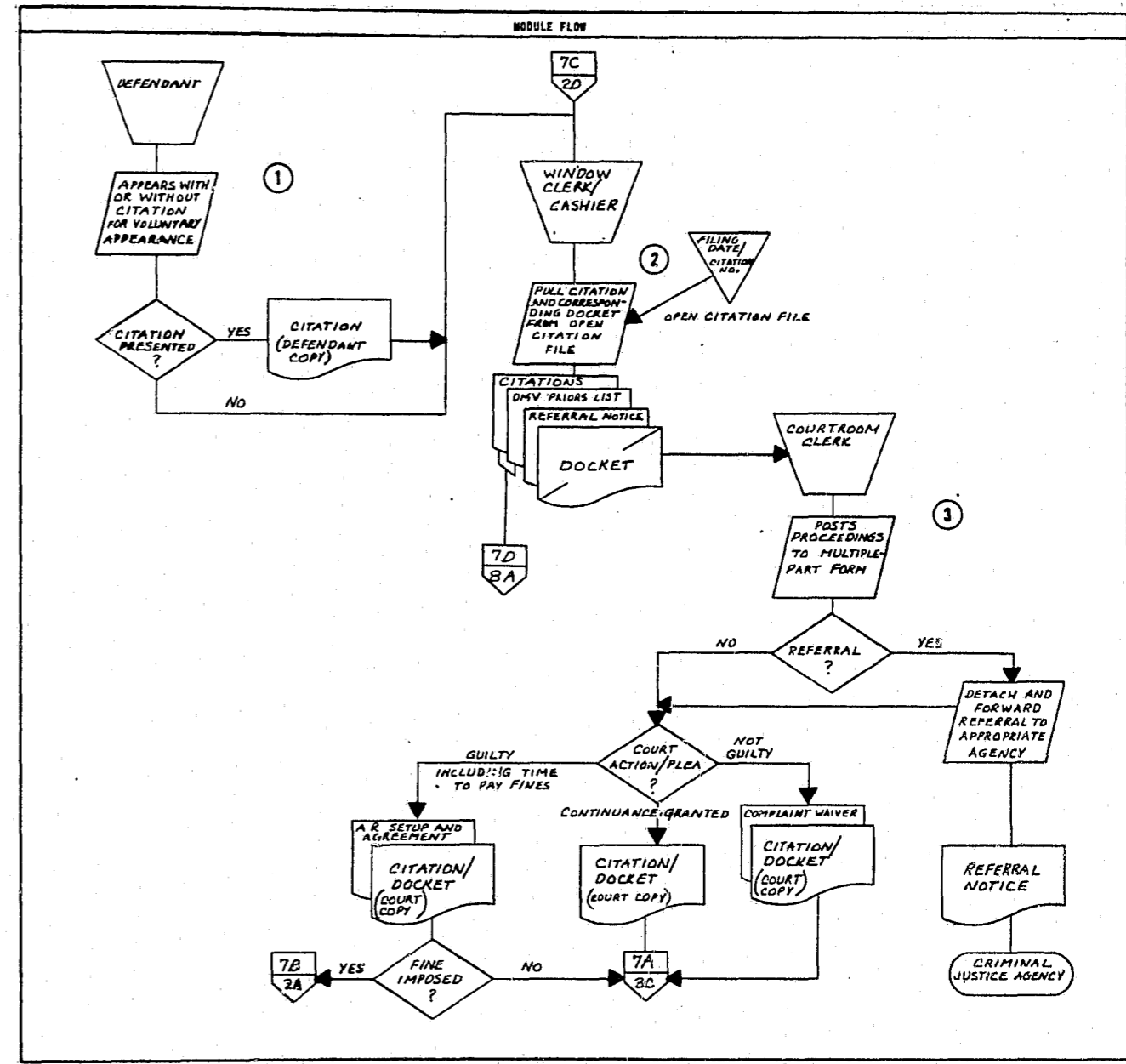
③ In cases where no driver's license number is noted on the citation, or certain types of automated response exceptions occur, or the defendant appears before priors are returned and processed, manual teletype inquiry must be made to DMV in order to retrieve driver history.

④ For defendants appearing before the automated procedures retrieve priors and compute bail, a driver history teletype (B-5) printout is made and bail is computed manually.

In the other instances, the driver's license numbers are found, where possible, using an attribute (personal identifiers) search. The identified driver's license numbers are then entered on the Response Exception List for an automatic retrieval of priors.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-7-051	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 OF 15
MODULE PURPOSE To record proceedings stemming from a voluntary or mandatory court appearance for arraignment, and to initiate corresponding entries to update the automated system			



MODULE NARRATIVE

① The defendant appears for a mandatory or voluntary court appearance.

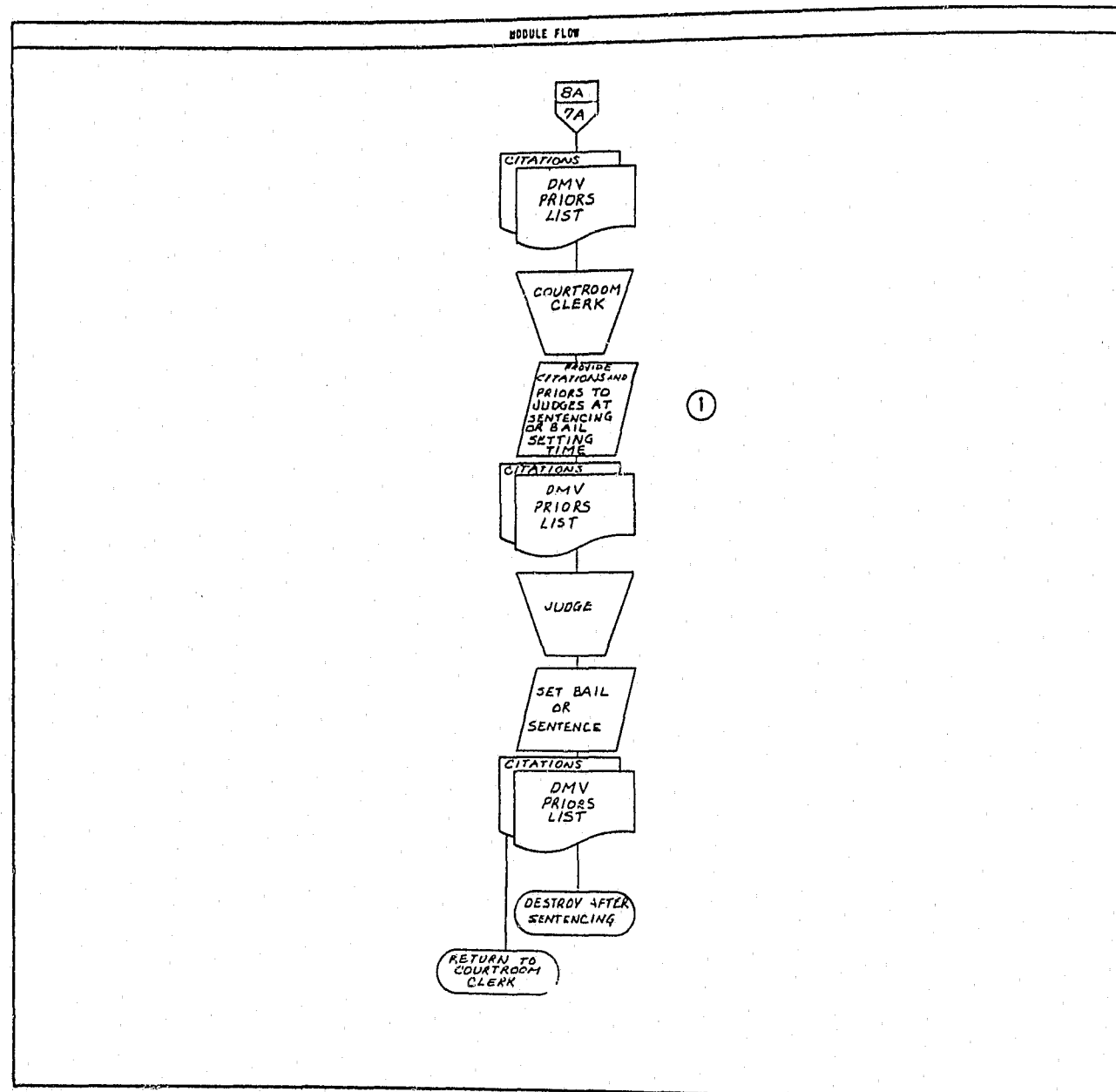
② The window clerk goes to the Open Citation File and pulls both the court copy of the defendant's citation and the corresponding multi-part form. These documents are attached to one another and then forwarded to the courtroom clerk. The priors list is detached from the multi-part form and given to the judge along with the citation and other evidence.

③ The courtroom clerk records the defendant's rights, waivers and the court's actions on the docket. The docket form should be designed to utilize checkoff entries wherever possible.

If the defendant enters a not guilty plea, a complaint waiver is sought if the citing agency does not use a Judicial Council approved citation form.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-7-051	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 15
MODULE PURPOSE To provide statewide driver history for the sentencing phase of all moving traffic cases, and to provide statewide criminal histories for the sentencing phase of designated misdemeanor cases			



CONTINUED

3 OF 5

MODULE NARRATIVE

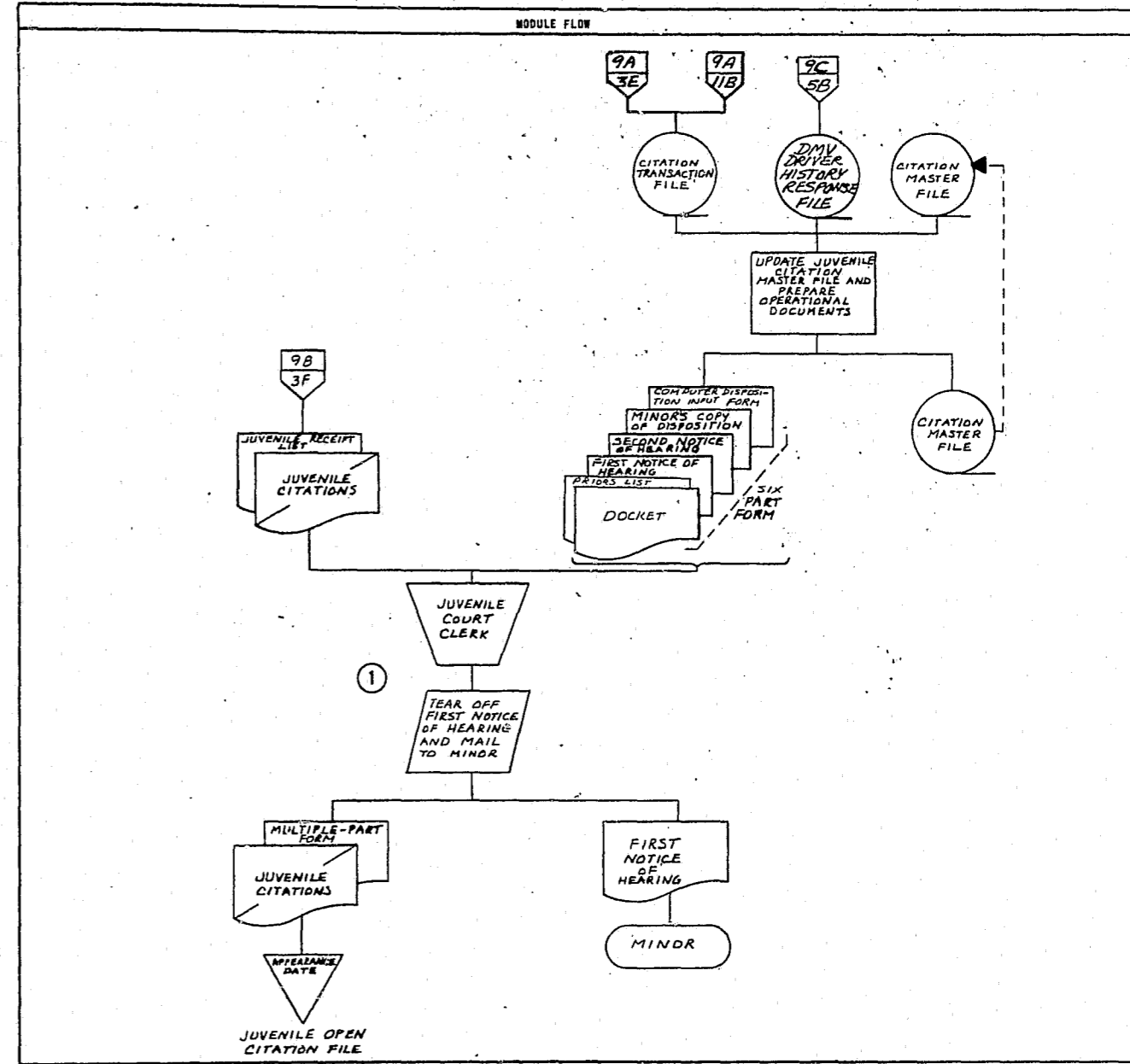
① The DMV priors list is detached from the docket and given to the judge at bail setting or sentencing time.

The DMV priors list can be destroyed after sentencing since the data is also printed on the docket. This form indicates the defendants:

- . Violations on the current citation
- . Details of the bail computation
- . Driver's license status
- . Prior convictions, FTA's and FTP's.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-9-221	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 15
MODULE PURPOSE To generate a multipart case following and notice form for each juvenile traffic citation, to prepare a citation number cross reference, and to update the Citation Master file			

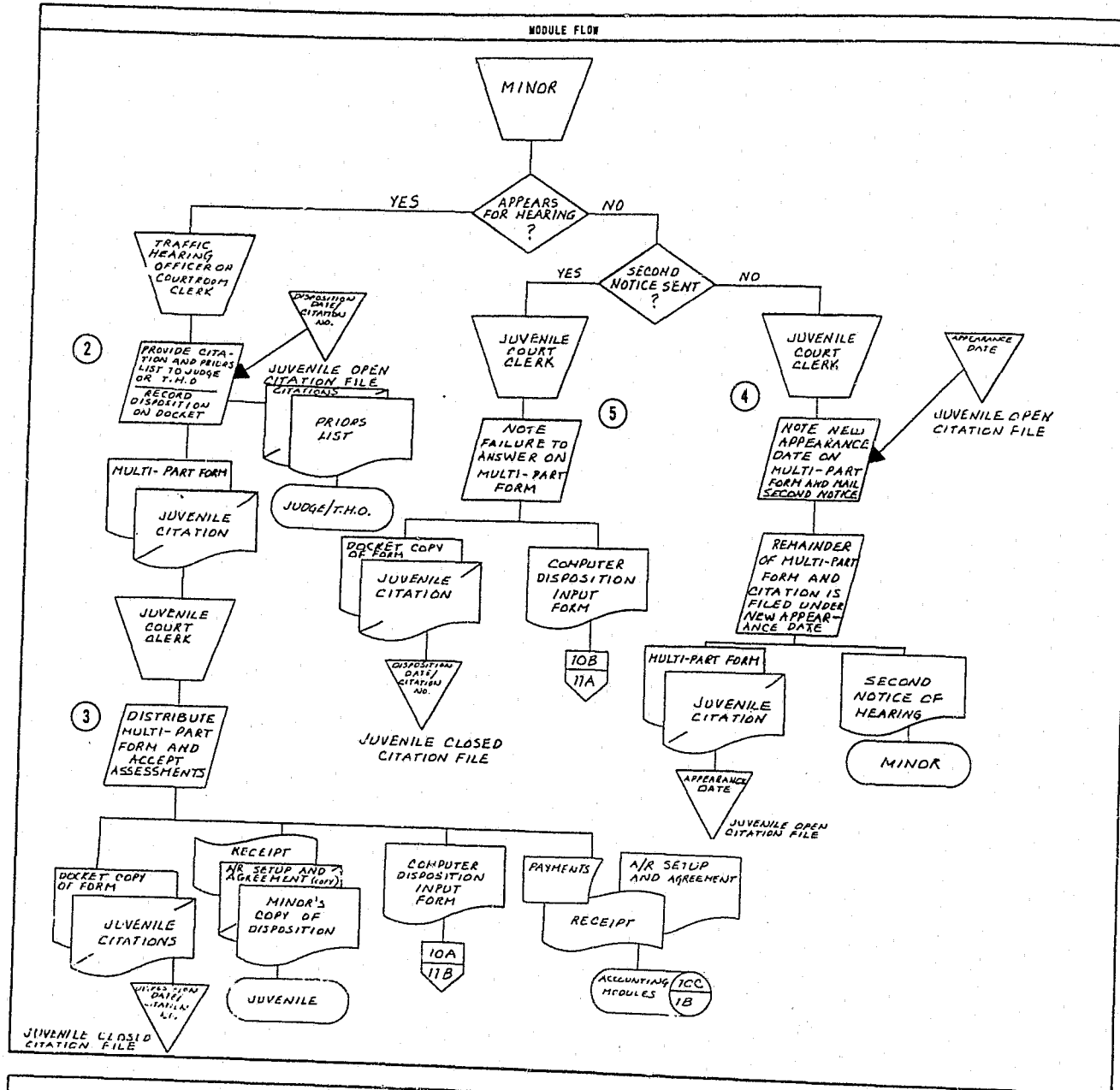


MODULE NARRATIVE

① A six-part case following and hearing notice form is printed for each juvenile citation. These forms are attached to the corresponding citations and the first hearing notice is detached and mailed. The citations and multi-part forms are stored in appearance date sequence.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-9-221	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Sequential Batch	PAGE 10 OF 15
MODULE PURPOSE To notice juveniles and their parents of required court appearances, to adjudicate cases, and to prepare disposing entries for the printed docket and for the automated system			



MODULE NARRATIVE

2 If the juvenile and his parents appear as scheduled on the hearing notice, the case is adjudicated. The disposition is then noted on the multipart form.

3 The copies of the multipart form and the citation are distributed as shown. The assessment is collected and, if ordered, an installment payment account is established.

4 Periodically, the contents of the Juvenile Open Citation File are reviewed to identify the records of juveniles who fail to appear.

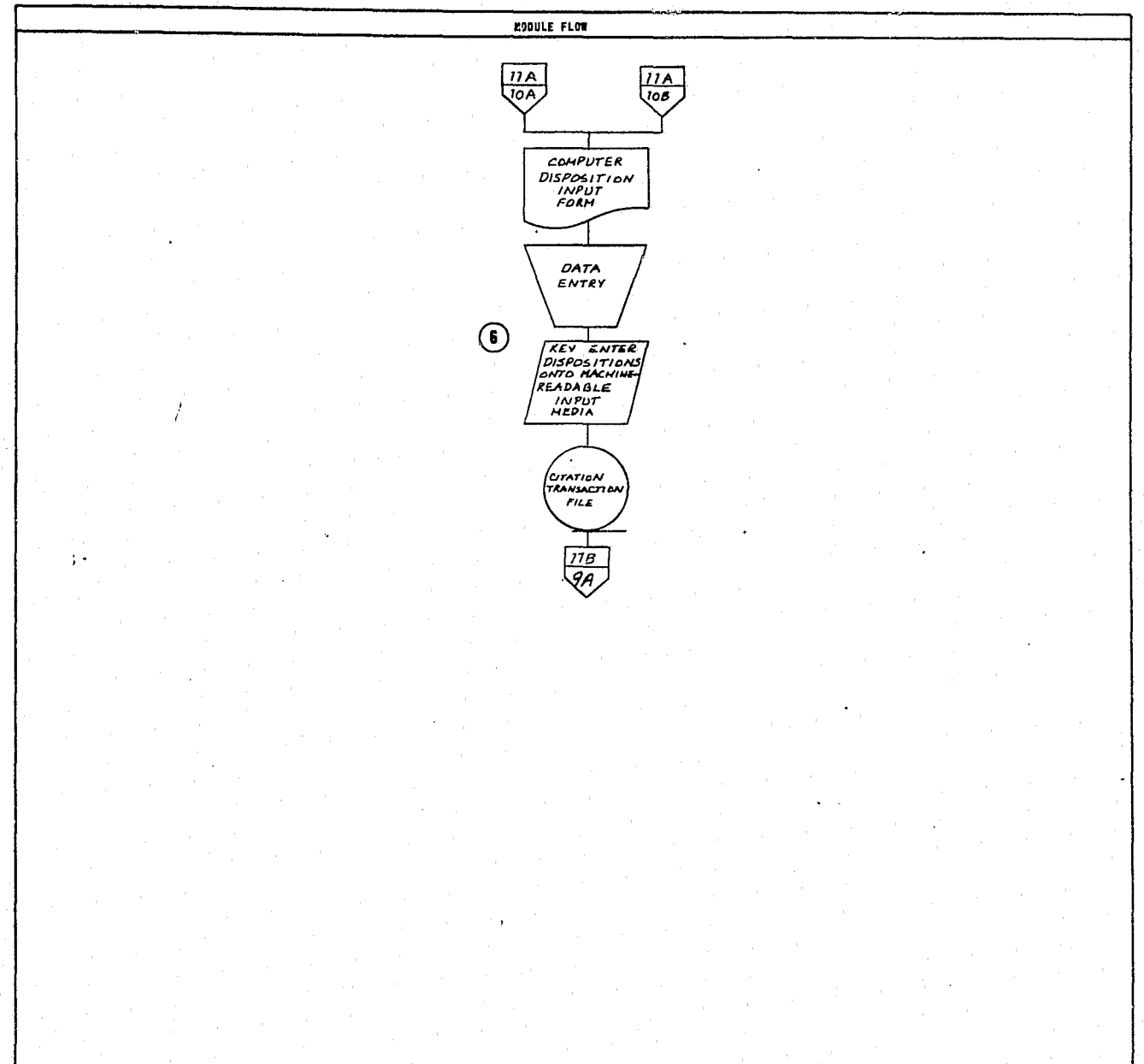
If the juvenile fails to respond to the first Notice of Hearing, a new appearance date is written on the multipart form, the second notice is mailed to the juvenile and his parents, and the remainder of the multipart form is refiled in new appearance date order.

5 If the juvenile fails to respond to the second notice, the multipart form is updated, and the copies are distributed as shown.

On rare occasions, the probation office may decide to file a petition under provisions of Section 601 of the Welfare and Institutions Code in order to pick up and detain a juvenile traffic violator with numerous PTA's and a poor driving record. See the Juvenile Delinquency and Dependency module group for the applicable procedure.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-9-221	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION Sequential Batch	PAGE 11 OF 15
MODULE PURPOSE To generate activity and disposition transactions for juvenile traffic matters			

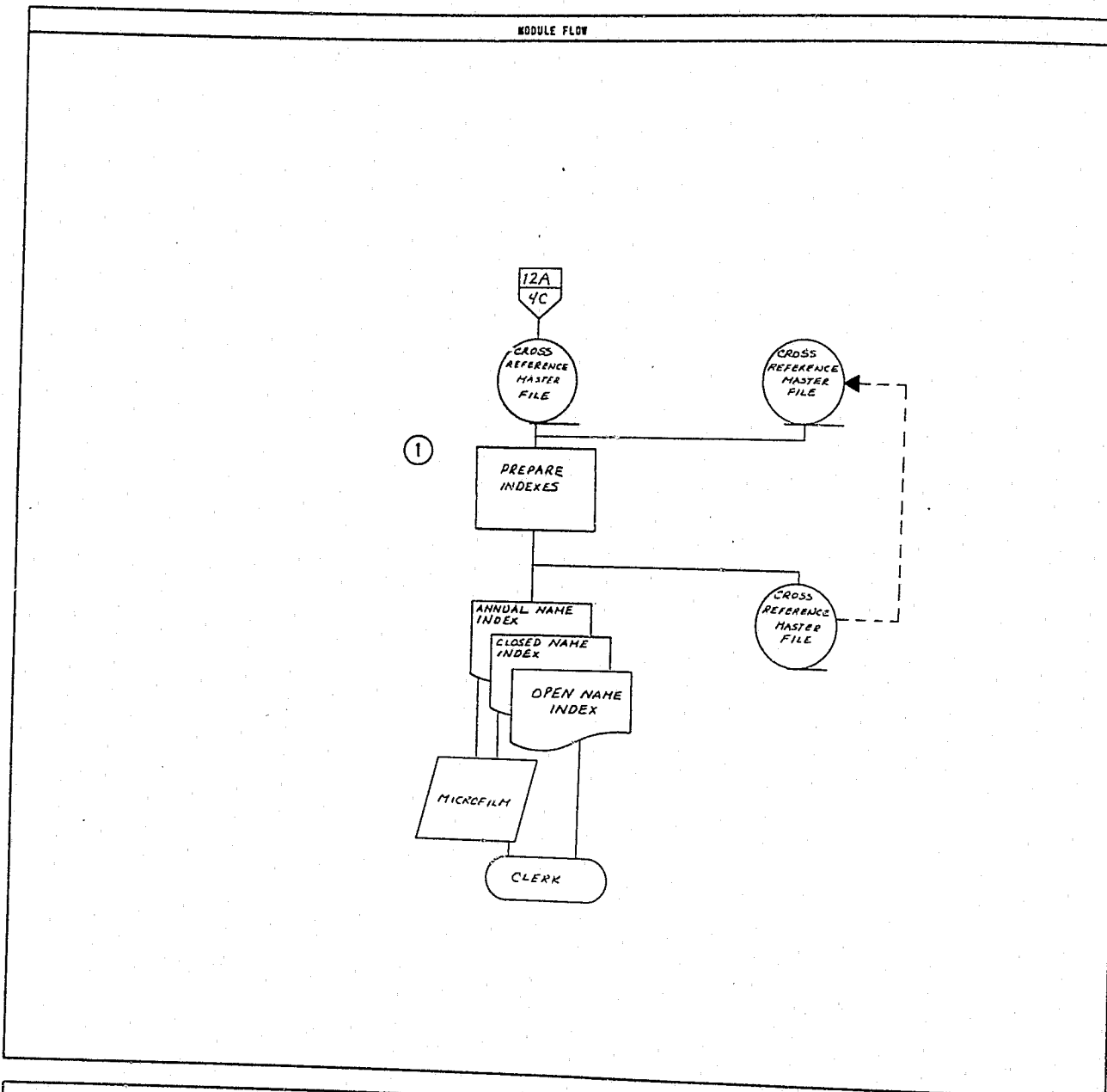


MODULE NARRATIVE

6 Court actions are recorded on computer disposition input forms (part of the multipart form). This entered information consists of the court actions taken and one-time or installment assessments levied. This form is utilized to eliminate the removal of dockets from the juvenile court and to secure the confidentiality of the data.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-12-081	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 12 OF 15
MODULE PURPOSE To provide a daily index and status of active citations, to provide an index and status to closed citations, and to provide an annual index for historical reference			



MODULE NARRATIVE

① The computer prepares the indexes shown. Each index contains a concise one or two time case summary consisting of case identifiers, bail amount, actions taken, current status, and references to the location of other associated documents.

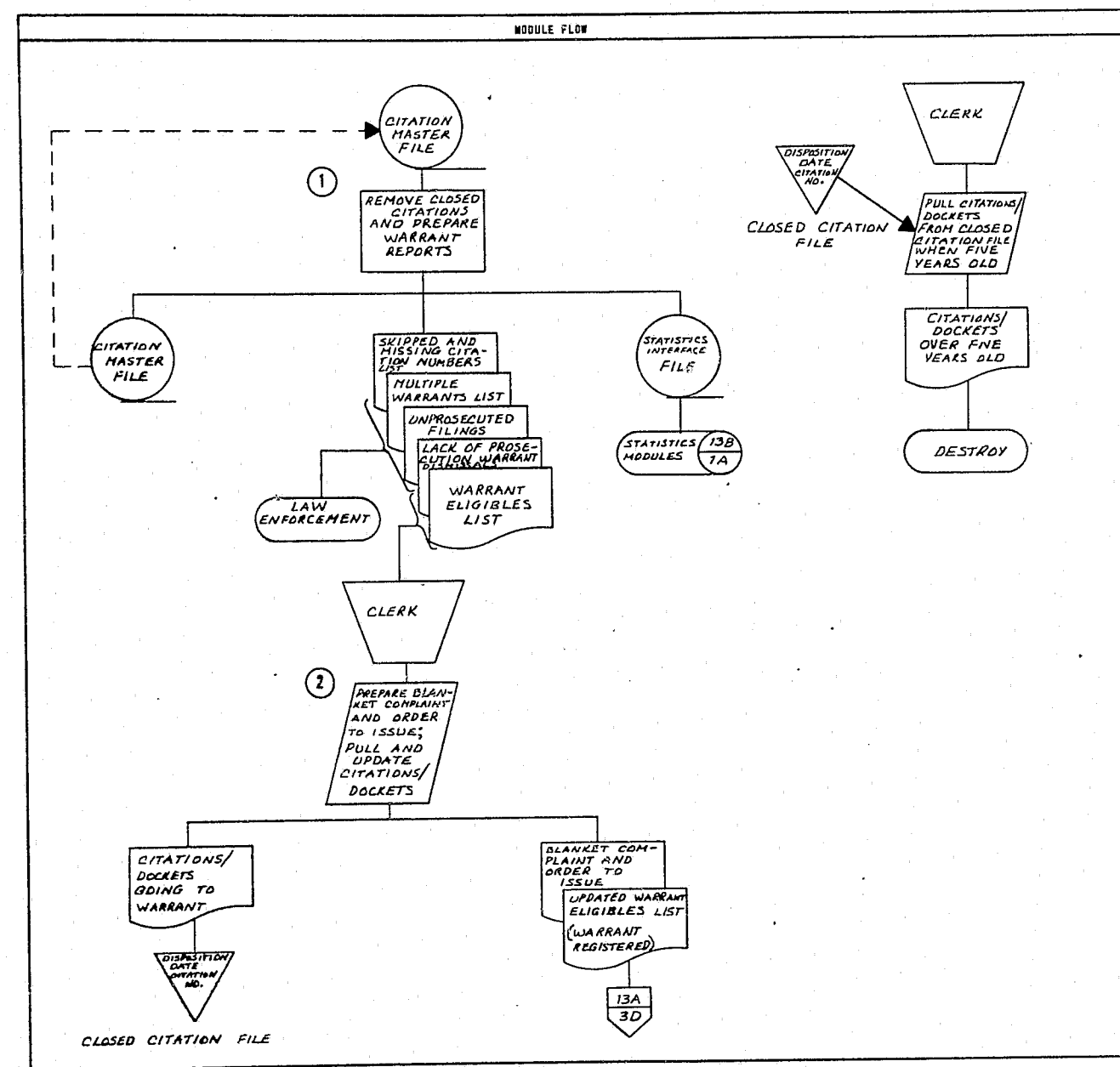
The Open Name Index is updated daily and serves as the principal reference document at the counter for determining bail and locating the court copy of the defendant's citation.

Since the other indexes are prepared at less frequent intervals, they may be microfilmed. To microfilm, the documents can be printed first or microfilming may be performed directly from magnetic tape print images.

The indexes also provide access by citation number. A column on each listing contains a cross reference of citation number to the line number corresponding to the alphabetic index entry on the listing.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-13-141	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 13 OF 15
MODULE PURPOSE To purge closed citations from the Citation Master File, to prepare an aging and purging audit trail, and to generate interfaces to other modules			



MODULE NARRATIVE

① The computer prepares the reports shown on a periodic basis. One of these reports is a multiple warrants list, which provides a list of persons with multiple warrants outstanding against them. This list can assist law enforcement agencies to concentrate warrant service activities on those persons who have shown repeated disrespect for the court. The list is keyed on driver's license number. Besides printing the reports, closed citations are removed from the Citation Master File, and their final status is noted in the Cross Reference Master File.

The clerk obtains a blanket complaint and "order to issue" for those persons remaining on this list. The additional violation code section (e.g., 40508a) is stamped on each docket going to warrant, along with the date and reference to the blanket complaint and order.

The clerk stamps the Warrant Eligibles List with a warrant number. This number is entered in the computer and initiates the warrant preparation process. This number is printed on the warrant by the computer, and serves as the official warrant identification number.

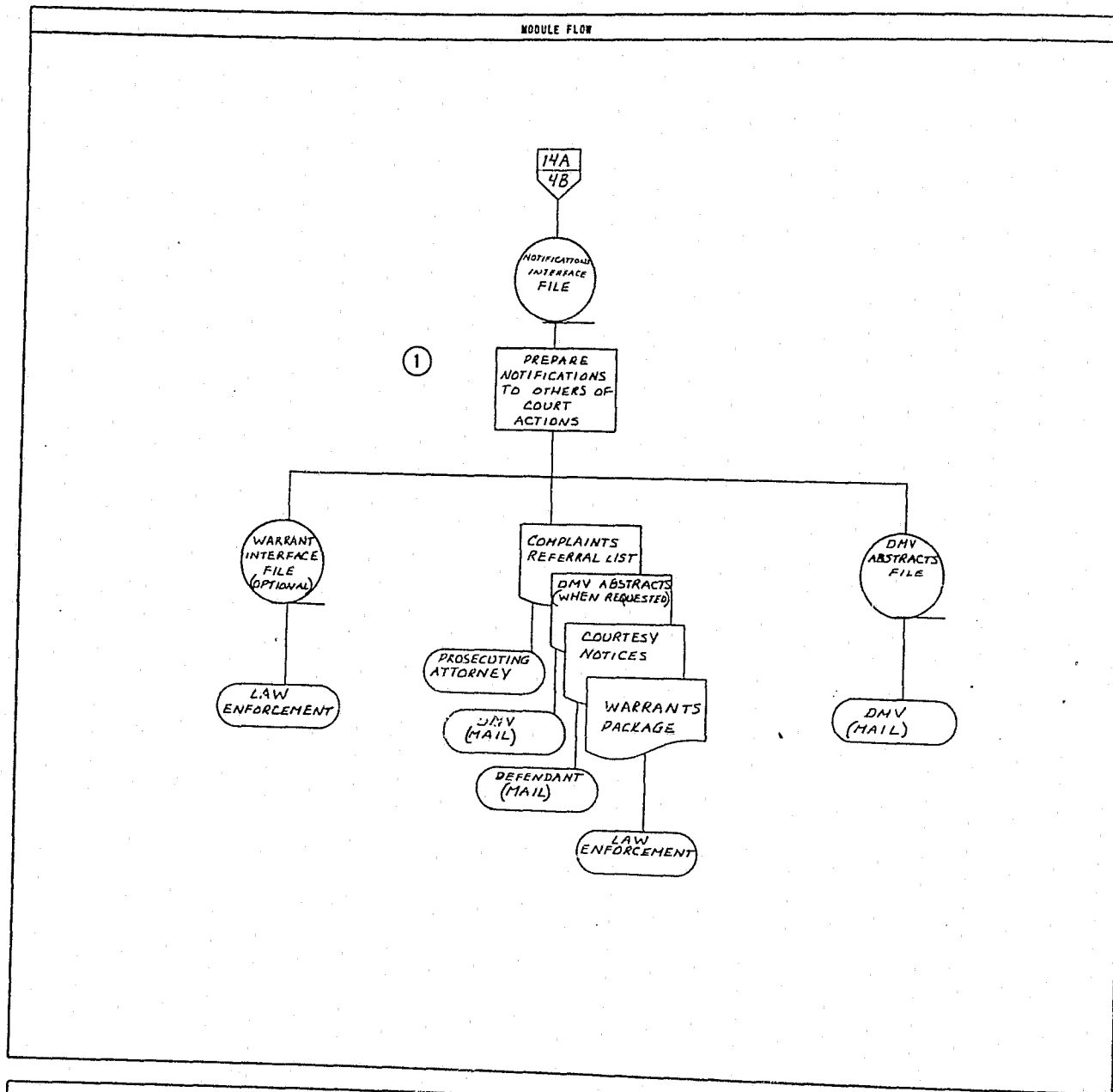
Purging of documents is easily accomplished since the Closed Citation File is sequenced in disposition date order.

② A Warrants Eligibles List is prepared of those persons who failed to appear or pay a court-imposed fine.

This list is examined by the clerk. Juvenile violators are printed separately, and generally do not go to warrant. Recently paid (those appearing since the list was printed) and certain other violators are removed from the list.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-14-111	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 14 of 15
MODULE PURPOSE To prepare notifications of court actions to local and state level criminal justice agencies as prescribed by law and as required to assure adequate communication of court orders and judgments			



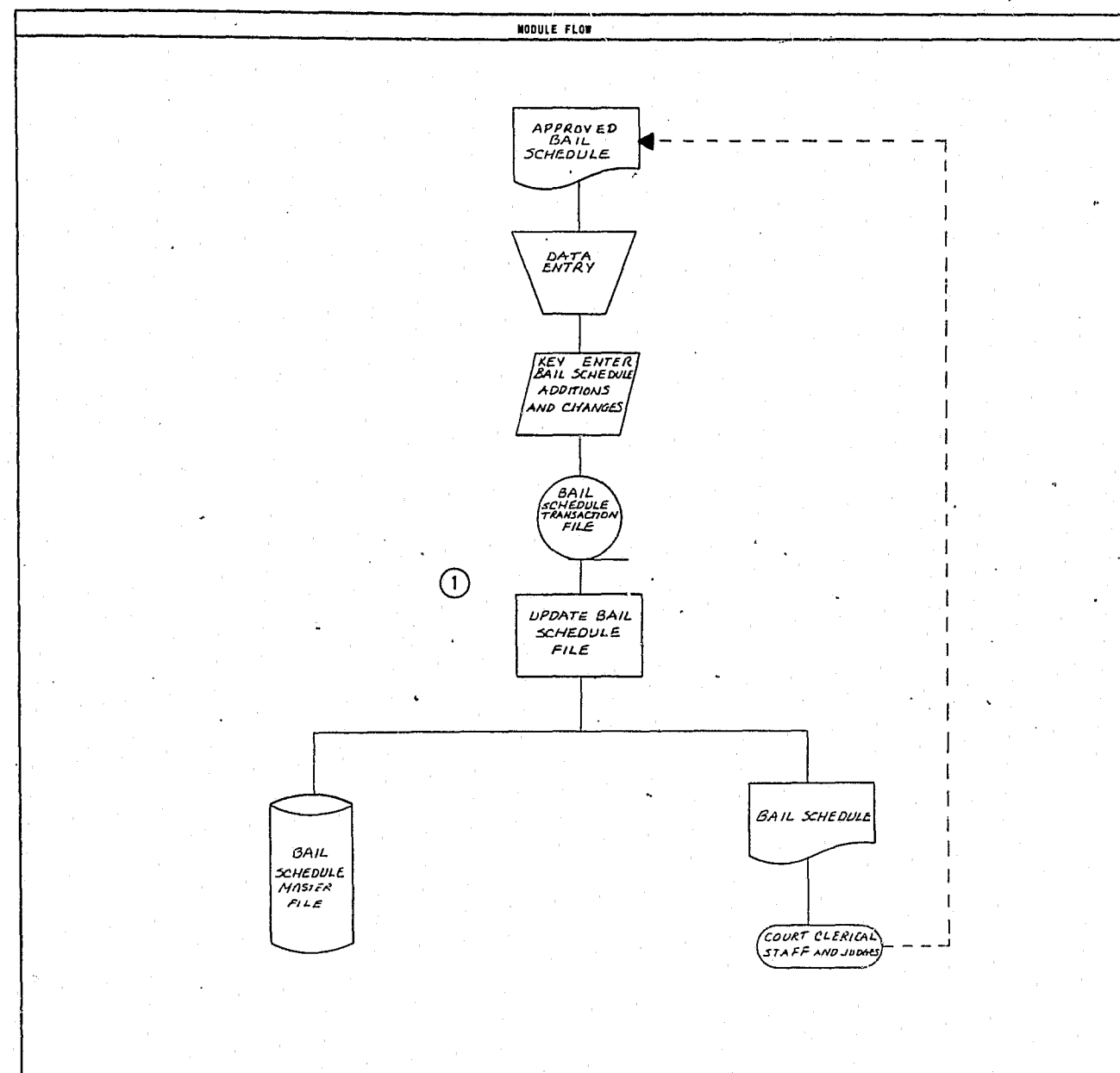
MODULE NARRATIVE

① The notices are prepared and distributed as shown. A Warrants Interface File may be generated in conjunction with, or in lieu of, the warrant package (warrant, notice and service history form) depending upon the automated capabilities of the law enforcement agency.

The Complaints Referral List will inform the prosecuting attorney of persons cited for a moving traffic violation and driving with a suspended or revoked driver's license (Section 14601 CVC). The list will also include persons entering a not guilty plea to any cited offense.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BS-15-251	MODULE NAME BAIL SCHEDULE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 15 of 15
MODULE PURPOSE To add, change and delete entries in the countywide bail schedule			



MODULE NARRATIVE

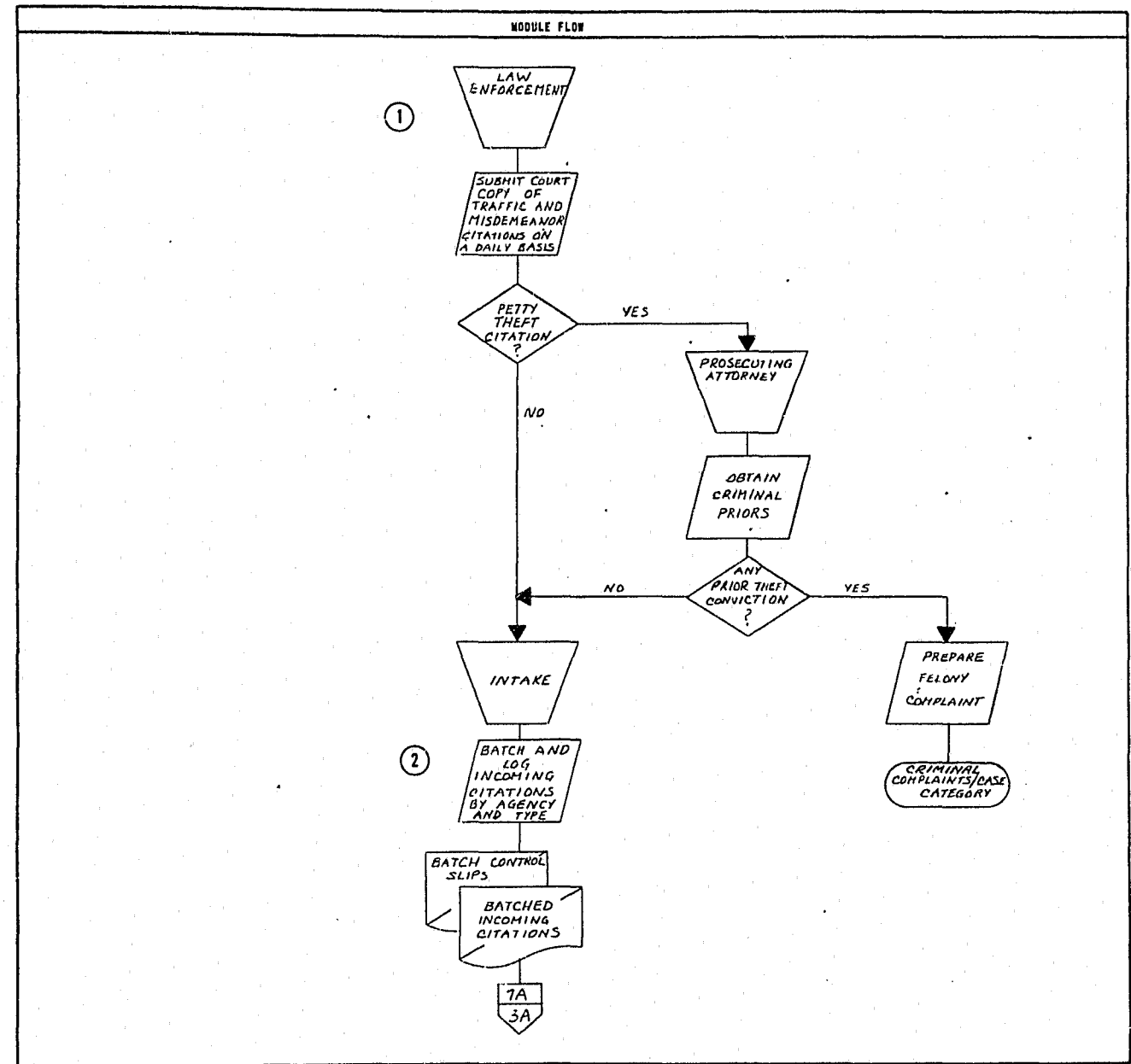
① The countywide bail schedule for misdemeanor, ordinance and CVC violations which are citable is entered in the computer in order to provide the parameters for calculating graduated bail automatically. Each entry on the bail schedule will indicate:

- Violation code section
- Violation description
- Applicable statute
- Bail amount
- Penalty assessment indication
- Rules for calculating graduated bail.

FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-1-031	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 1 of 15
MODULE PURPOSE To accept the filing of citations submitted by law enforcement and to prepare them for entry into the automated system			



MODULE NARRATIVE

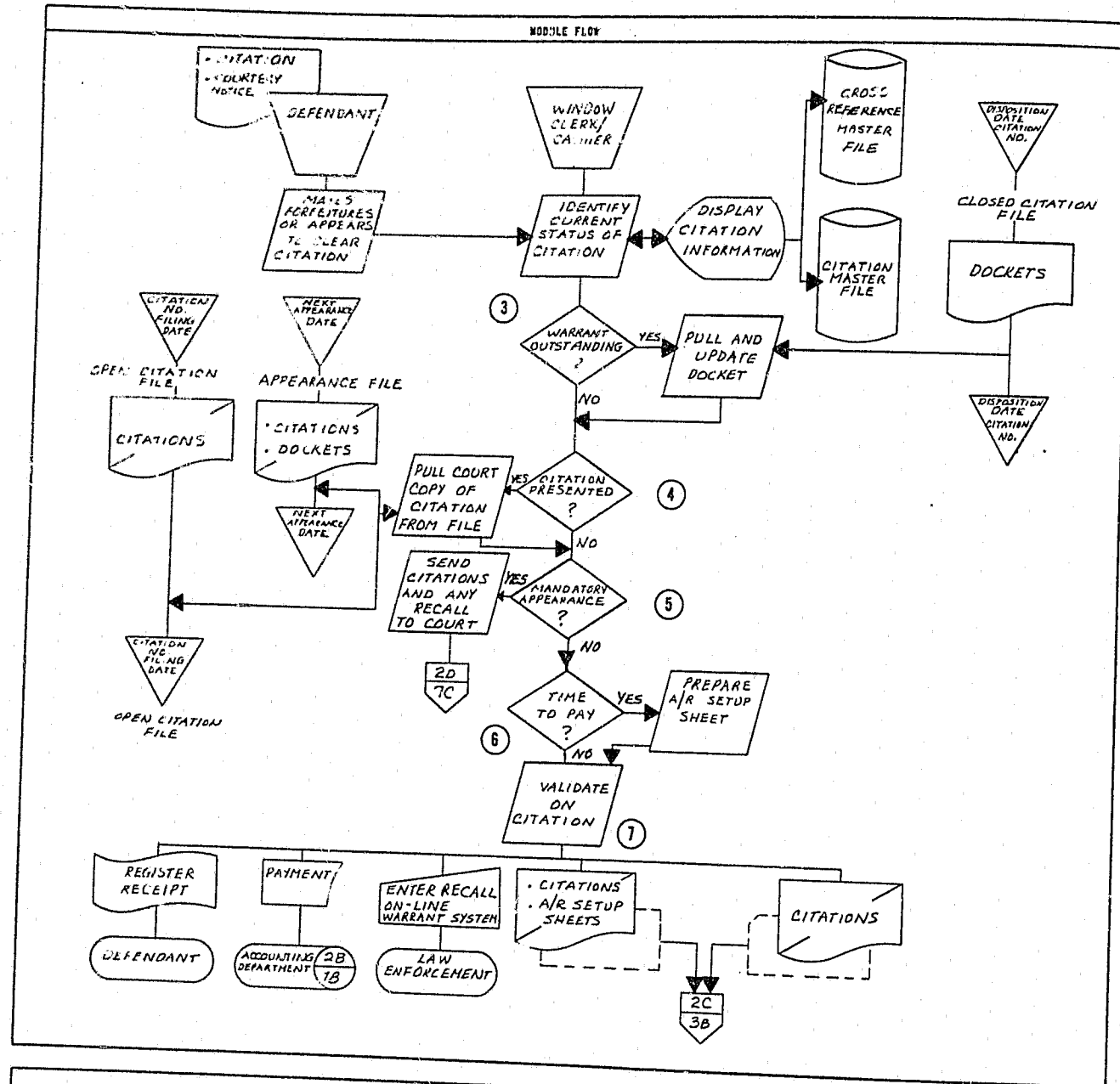
① One or more law enforcement agencies submit traffic and misdemeanor citations to the court on a daily basis. Petty theft citations are segregated and routed through the prosecuting attorney to determine if a felony complaint is required due to prior convictions.

② The citations, except for those where complaints are filed by the prosecuting attorney, are batched and logged on control sheets, and are prepared for entry into the automated system by court personnel.

Note that in future references to citation number, an issuing agency prefix is implied which will be required for many courts until some uniform method of citation numbering is established.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-1-031	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 2 of 15
MODULE PURPOSE To accept payment for citations disposed of through bail forfeiture or payment of court-imposed fine, and to initiate disposing entries and warrant results			



3 The defendant appears or mails in a bail forfeiture to clear his citation. The clerk determines the status of the citation by referencing the on-line index and displaying bail and status information from the case file. The index file is structured to permit name, citation number, warrant number, attorney, and special characteristic searches. If a warrant is outstanding, the case material and docket is pulled from the Closed Citation File.

4 If the defendant presents his copy of the citation processing will continue with his copy. If the defendant's copy is not available the court's copy of the citation is pulled.

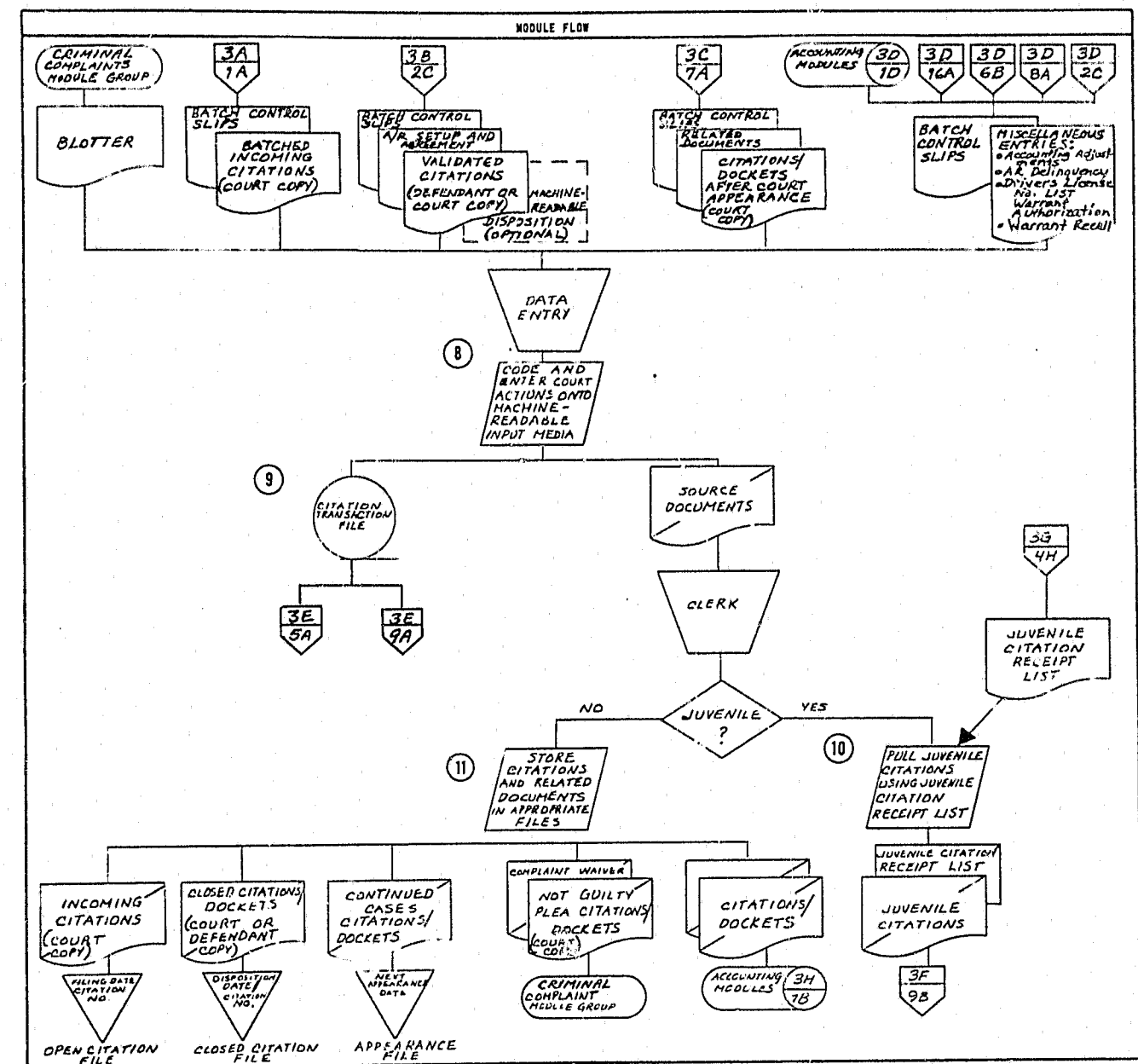
5 All defendants with mandatory appearances are directed to the proper courtroom and citations are forwarded to the courtroom clerk.

6 If a time payment is being made the payment is validated on the citation or an Accounts Receivable Setup Sheet is prepared and used for the validation.

7 Cash payment receipts are issued and court copies forwarded to the Accounting Department. Warrant Recalls are entered to an on-line warrant system.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-1-031	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 3 of 15
MODULE PURPOSE To enter incoming citations, citation dispositions and status updates onto machine-readable input media, and to store citations and related documents subsequent to entry			



8 All data entering the module group flow through a common entry function and automated editing procedure.

To the extent possible, initial citation entry, court actions updating previously entered citations, and miscellaneous entries will be key entered from the original source documents.

Note that the arrest blotter is used to clear the files of persons arrested on warrants.

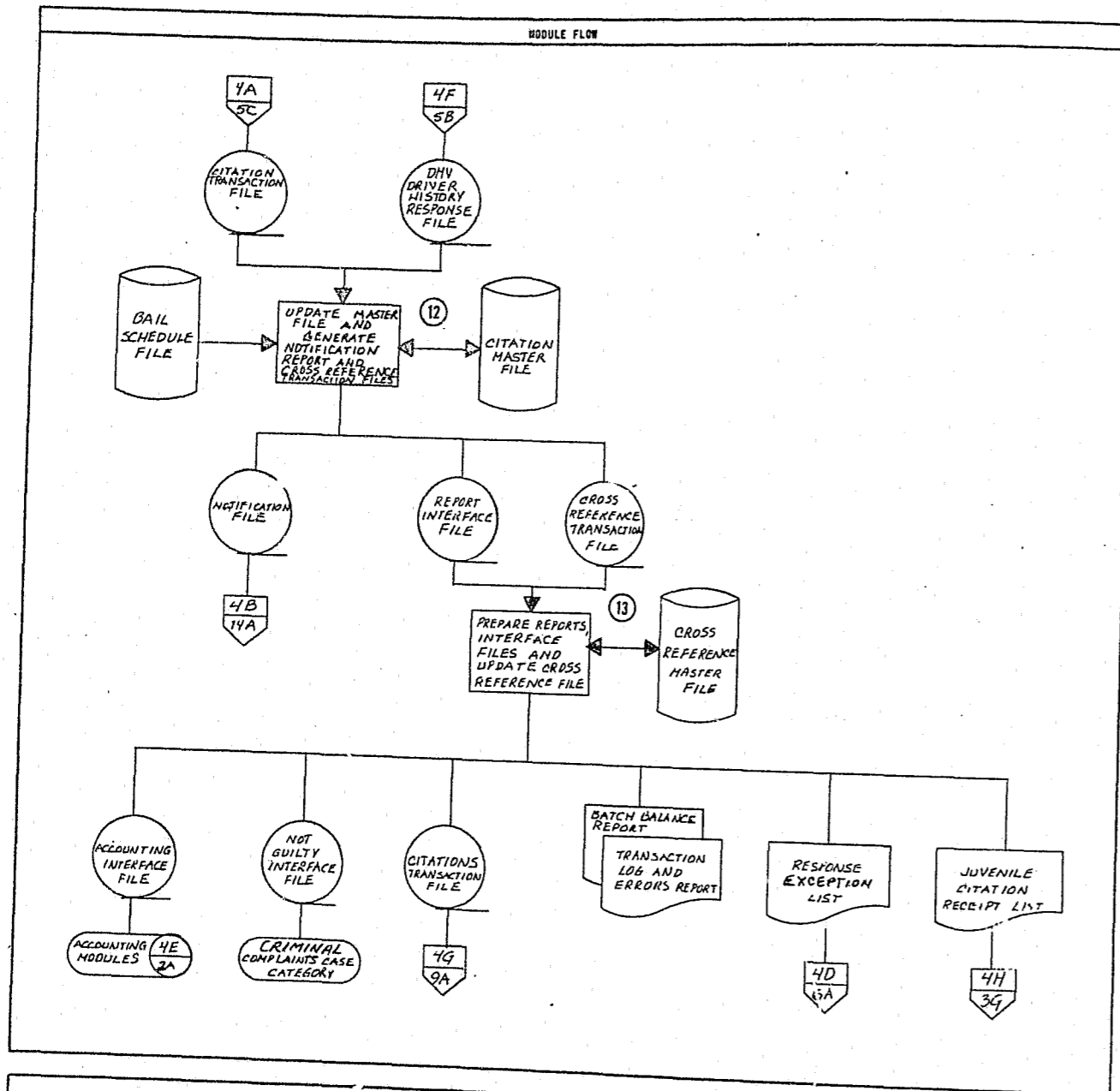
9 The courts should consider magnetic tape key entry devices operated by court clerical staff located physically within the court clerical processing area.

10 Juvenile citations received the day before are pulled from the Open Citation File (where they had been filed) using the Juvenile Citation Receipt List as a "pull list."

11 Citations are filed as indicated. Disposed citations are filed by disposition date and citation number in order to minimize filing time, to provide a means to easily retrieve the documents, and to facilitate purging.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-1-031	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 4 of 15
MODULE PURPOSE To update the Open Citation Master File, to provide operational reports to determine the status of citations, and to interface with the other modules.			



MODULE NARRATIVE

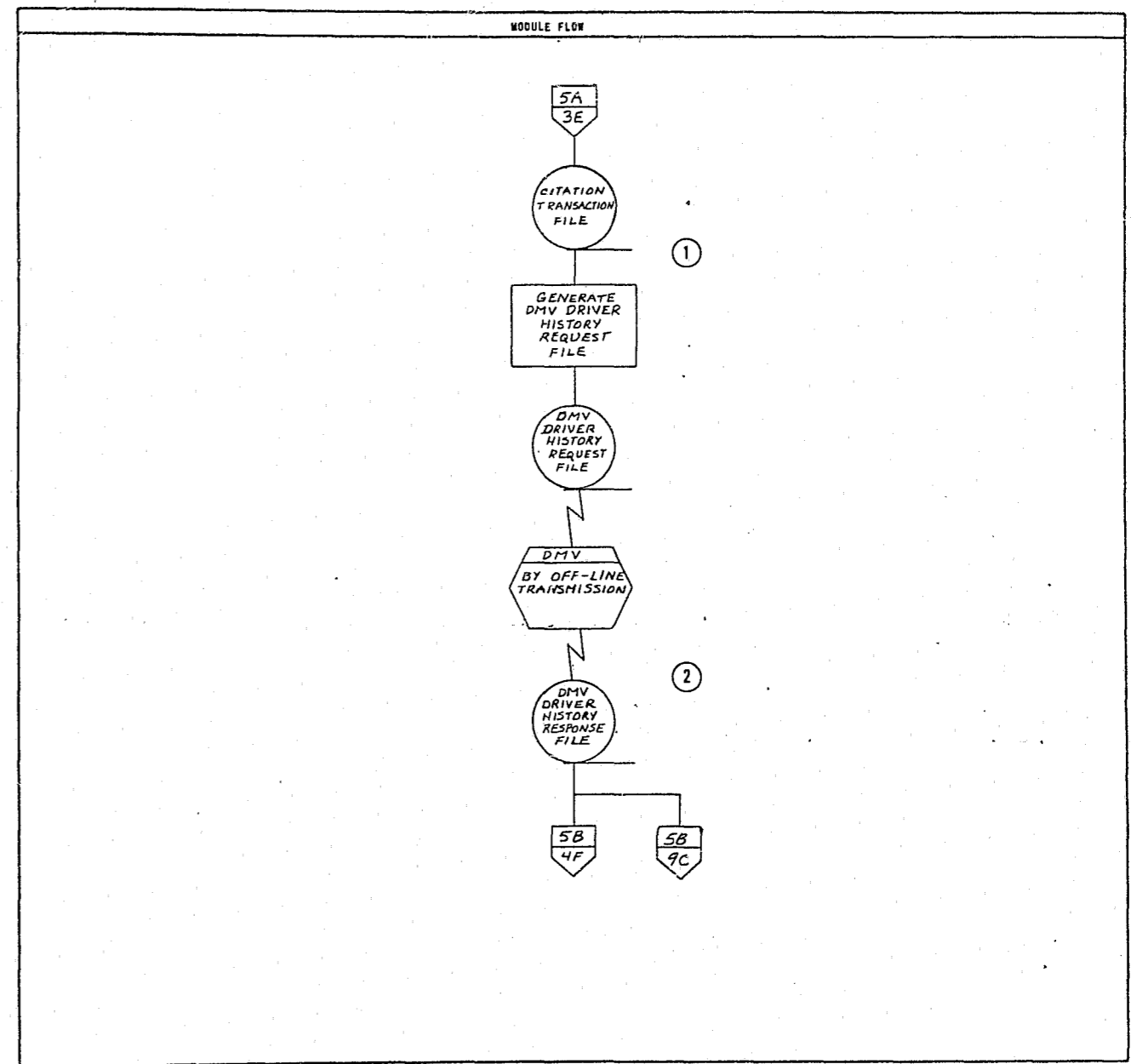
12 The automated system maintains a Citation Master File. All information pertinent to the case is maintained on the Open Citation Master File.

13 In preparing operational reports, a Report/Interface File is generated which contains individual records which are denoted as to output type and sequence in a common sort key field in each record. The tape is then sorted in sequence on this common field.

A Cross Reference Transaction File is also created which allows reference to the case file by all numbers associated with the case. The Cross Reference Master File is constructed to allow eventual Criminal Justice Interface to the case files.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-5-201	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION On-line	PAGE 5 of 15
MODULE PURPOSE To retrieve statewide histories from DMV on machine-readable media for all violators charged with a moving traffic offense			



MODULE NARRATIVE

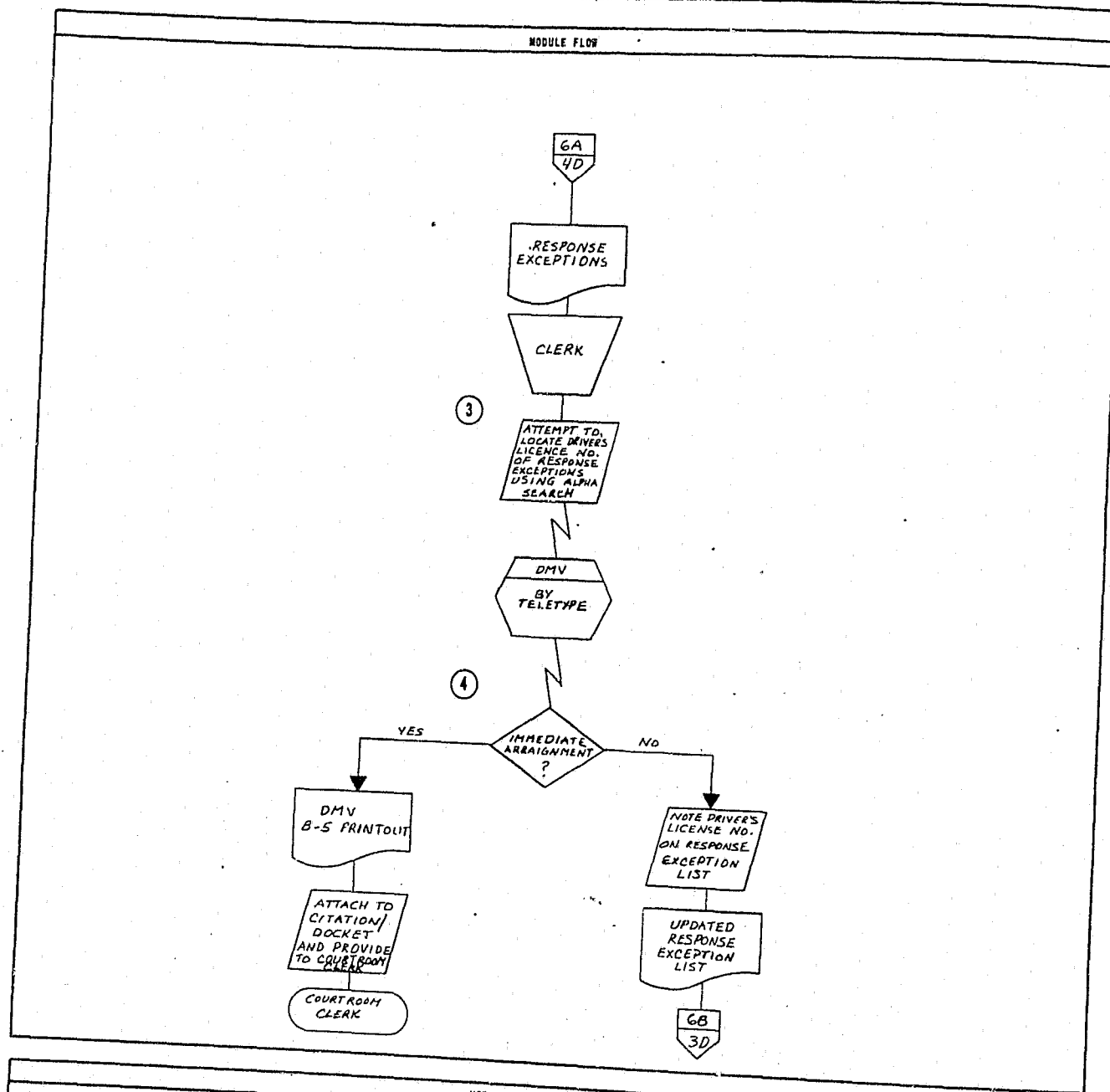
1 New moving traffic citations initiate DMV driver history request records. These records are placed on magnetic tape and are transmitted to DMV over an off-line terminal-to-terminal device.

2 DMV returns, using the same method, a response tape containing driver history records or exception records corresponding to each request transmitted to them.

It would be helpful to the courts if DMV could provide the defendant's personal description and the description of the defendant's vehicle(s) in the driver history response record. This would eliminate the entry of this information at warrant issuance time.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-5-201	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION On-line	PAGE 6 OF 15
MODULE PURPOSE To determine the drivers license number of violators whose statewide driver histories cannot be obtained through automated methods without manual intervention			



MODULE NARRATIVE

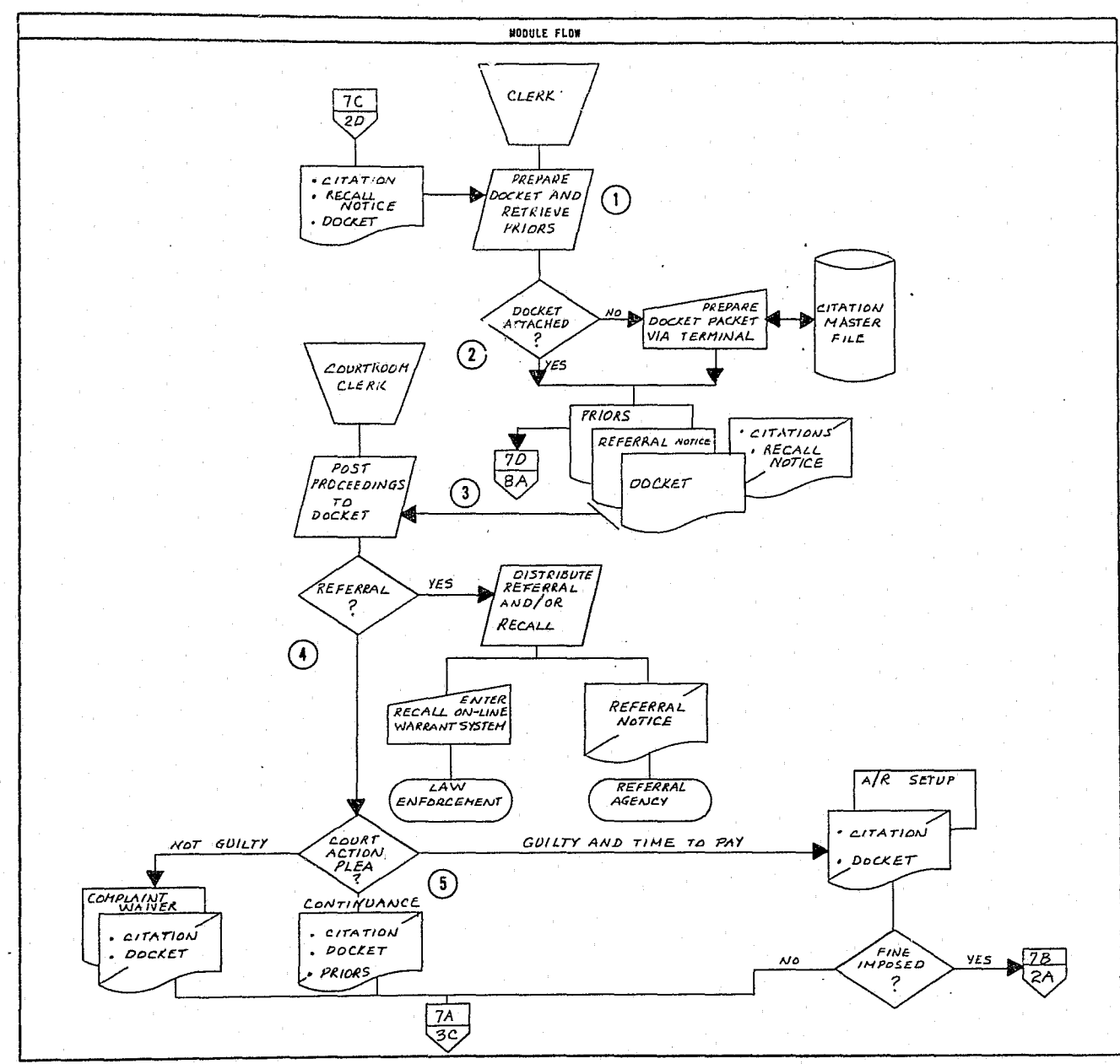
③ In cases where no driver's license number is noted on the citation, or certain types of automated response exceptions occur, or the defendant appears before priors are returned and processed, manual teletype inquiry must be made to DMV in order to retrieve driver history.

④ For defendants appearing before the automated procedures retrieve priors and compute bail, a driver history teletype (B-5) printout is made and bail is computed manually.

In the other instances, the driver's license numbers are found, where possible, using an attribute (personal identifiers) search. The identified driver's license numbers are then entered on the Response Exception List for an automatic retrieval of priors.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-7-061	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 7 OF 15
MODULE PURPOSE To record proceedings stemming from a voluntary or mandatory court appearance for arraignment and to initiate corresponding entries to update the automated system			



MODULE NARRATIVE

① For all citations not accompanied by a docket or priors, the clerk requests, via an on-line terminal, a printout of a docket packet and the associated priors information.

② All court proceedings are posted to the docket sheet. Most entries are summarized on the docket sheet in the form of "check box" entries and fill-ins.

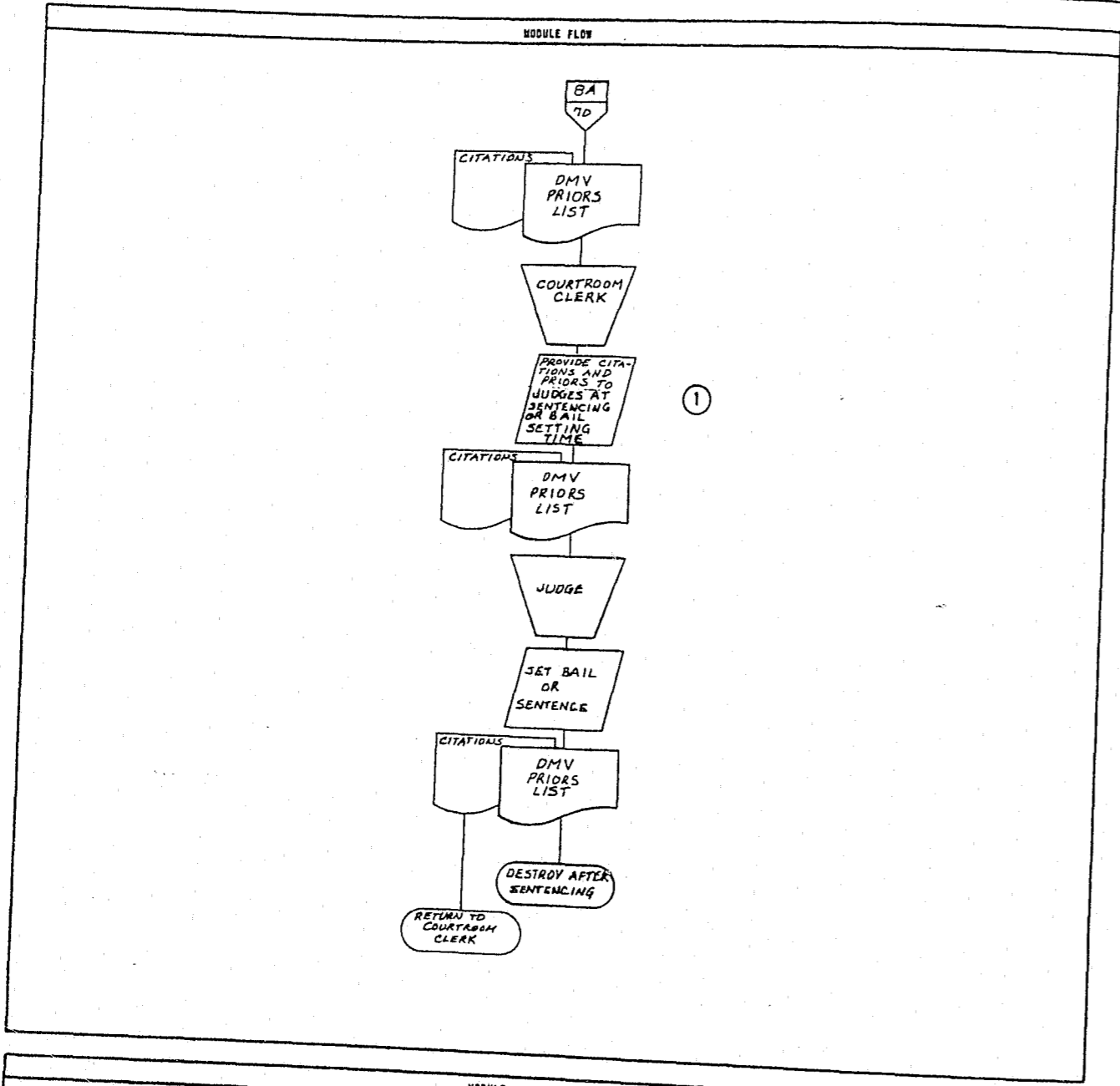
③ The courtroom clerk records the defendant's rights and waivers and the courts actions on the docket. The docket form should be designed to utilize check-off entries whenever possible.

④ If a referral to traffic school, a county work program or other program is required the referral sheet is detached from the docket packet and distributed. Warrant recalls are entered via an on-line warrant system.

⑤ If the defendant enters a not guilty plea a complaint waiver is prepared if the citing agency does not use Judicial Council approved citation forms.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-7-061	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 8 of 15
MODULE PURPOSE To provide statewide driver history for the sentencing phase of all moving traffic cases, and to provide statewide criminal histories for the sentencing phase of designated misdemeanor cases			



MODULE NARRATIVE

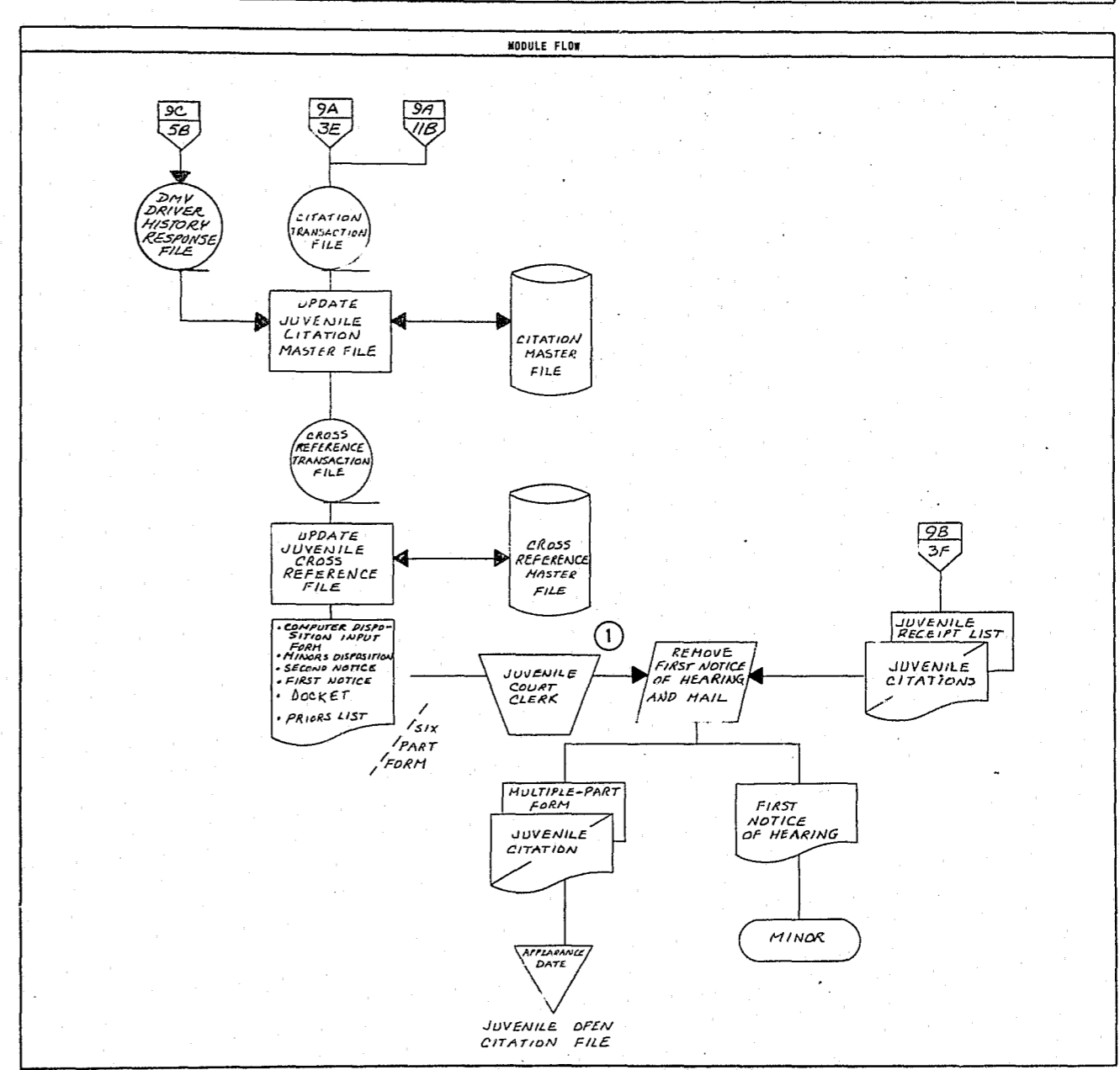
① The DMV priors list is detached from the docket and given to the judge at bail setting or sentencing time.

The DMV priors list can be destroyed after sentencing since the data is also printed on the docket. This form indicates the defendant's:

- Violations on the current citation
- Details of the bail computation
- Driver's license status
- Prior convictions, FTA's and FTP's.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-9-231	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION On-line	PAGE 9 of 15
MODULE PURPOSE To generate a multipart case following and notice form for each juvenile traffic citation, to prepare a citation number cross reference, and to update the Citation Master File and Cross Reference File			



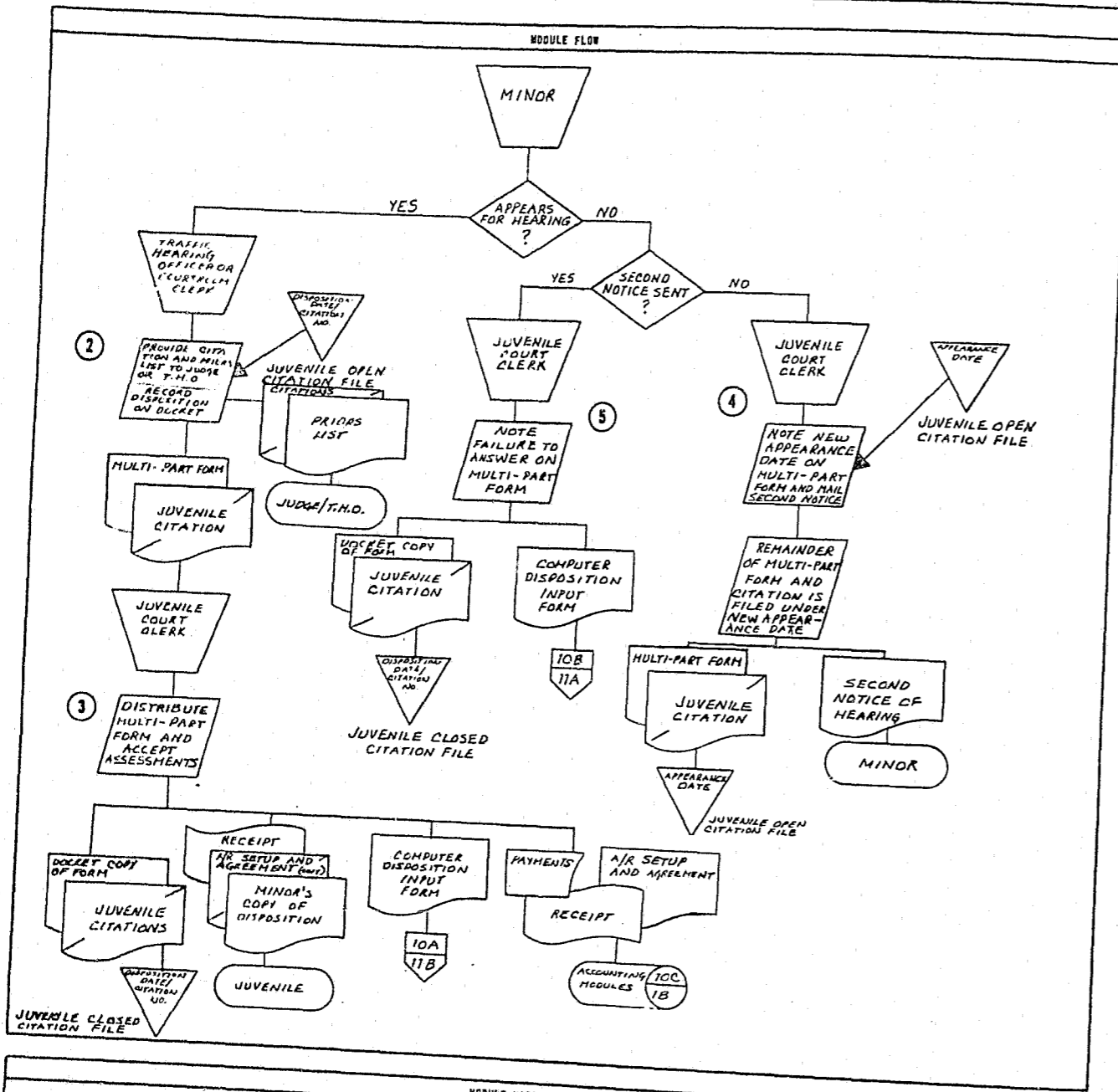
MODULE NARRATIVE

① A six-part case following and hearing notice form is printed for each juvenile citation. These forms are attached to the corresponding citations and the first hearing notice is detached and mailed. The citations and multi-part forms are stored in appearance date sequence.

The Cross Reference Master File allows search capabilities on name, citation number, and specific personal characteristics. This file is maintained in an on-line status.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-9-231	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION On-line	PAGE 10 of 15
MODULE PURPOSE To notice juveniles and their parents of required court appearances, to adjudicate cases, and to prepare disposing entries for the printed docket and for the automated system			



MODULE NARRATIVE

② If the juvenile and his parents appear as scheduled on the hearing notice, the case is adjudicated. The disposition is then noted on the multipart form.

③ The copies of the multipart form and the citation are distributed as shown. The assessment is collected and, if ordered, an installment payment account is established.

④ Periodically, the contents of the juvenile Open Citation File are reviewed to identify the records of juvenils who fail to appear.

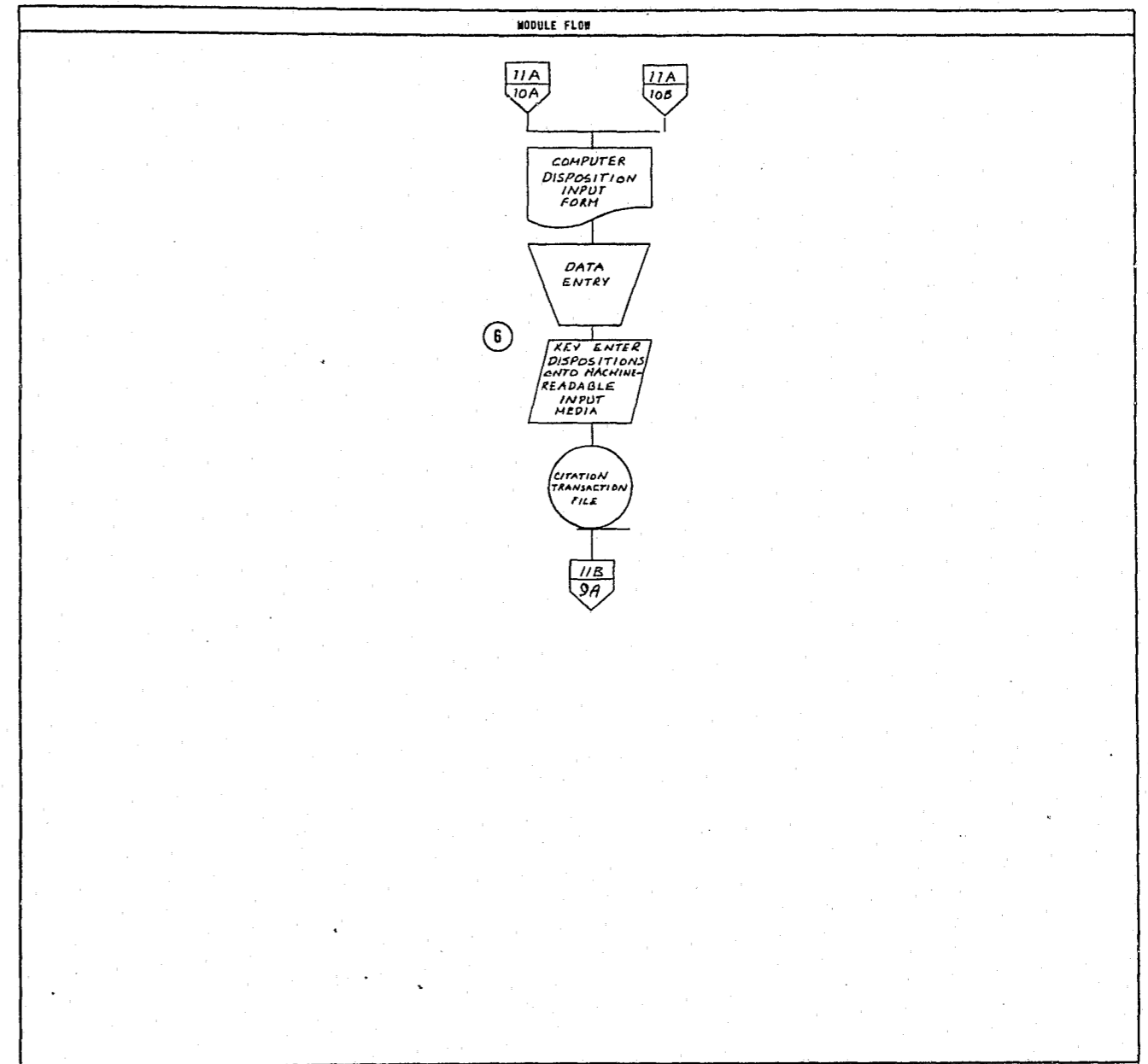
If the juvenile fails to respond to the first Notice of Hearing, a new appearance date is written on the multipart form, the second notice is mailed to the juvenile and his parents, and the remainder of the multipart form is refiled in new appearance date order.

⑤ If the juvenile fails to respond to the second notice, the multipart form is updated, and the copies are distributed as shown.

On rare occasions, the probation office may decide to file a petition under provisions of Section 601 of the Welfare and Institutions Code in order to pick up and detain a juvenile traffic violator with numerous FTA's and poor driving record. See the Juvenile Delinquency and Dependency module group for the applicable procedure.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-9-231	MODULE NAME JUVENILE CITATION PROCESSING	LEVEL OF AUTOMATION On-line	PAGE 11 of 15
MODULE PURPOSE To generate activity and disposition transactions for juvenile traffic matters			

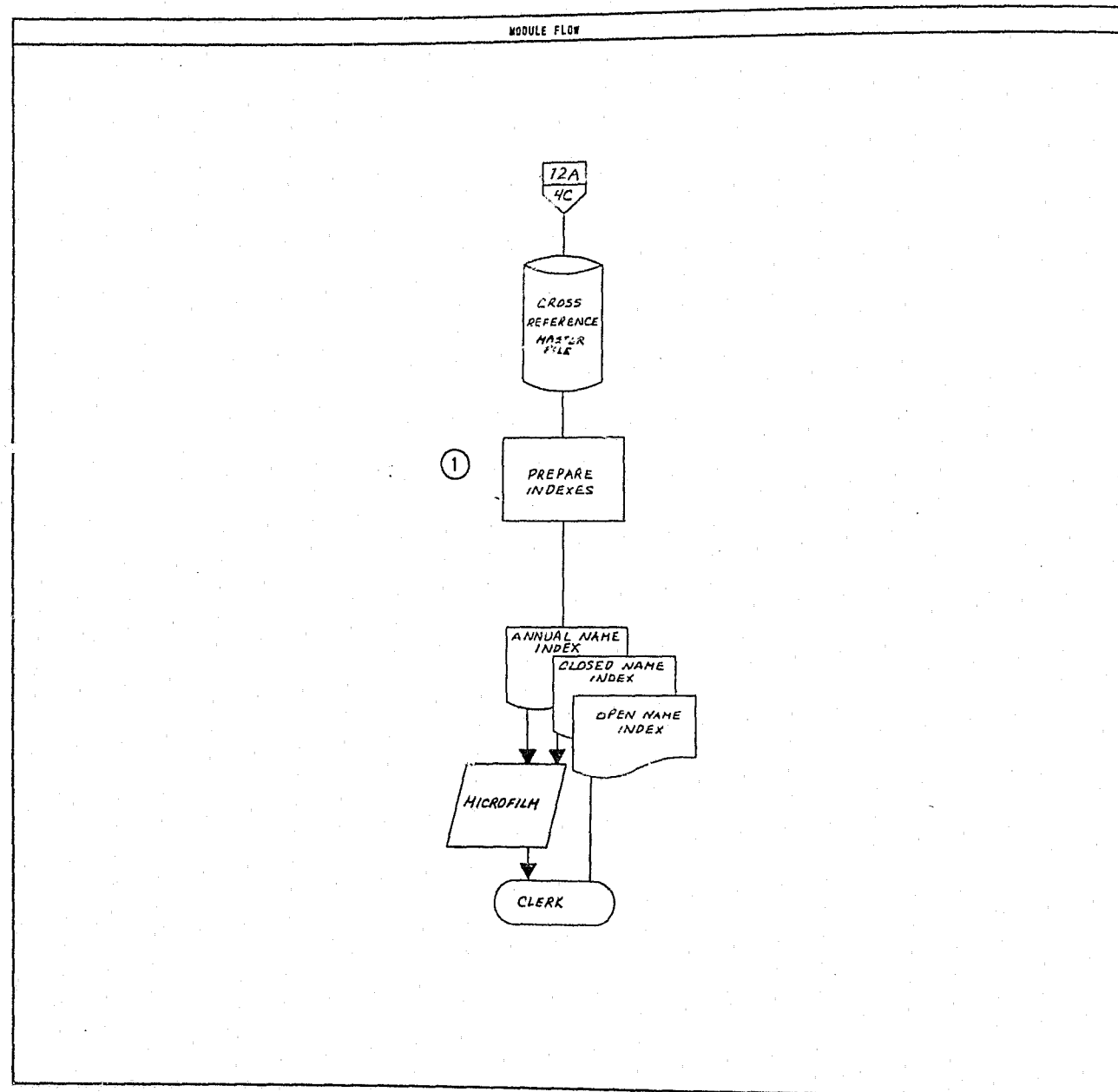


MODULE NARRATIVE

⑥ Court actions are recorded on computer disposition input forms (part of the multipart form). This entered information consists of the court actions taken and one-time or installment assessments levied. This form is utilized to eliminate the removal of dockets from the juvenile court and to secure the confidentiality of the data.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-12-091	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION On-line	PAGE 12 of 15
MODULE PURPOSE To provide a daily index and status of active citations, to provide an index and status to closed citations, and to provide an annual index for historical reference			



MODULE NARRATIVE

① The computer prepares the indexes shown. Each index contains a concise one or two line case summary consisting of case identifiers, bail amount, actions taken, current status, and references to the location of other associated documents.

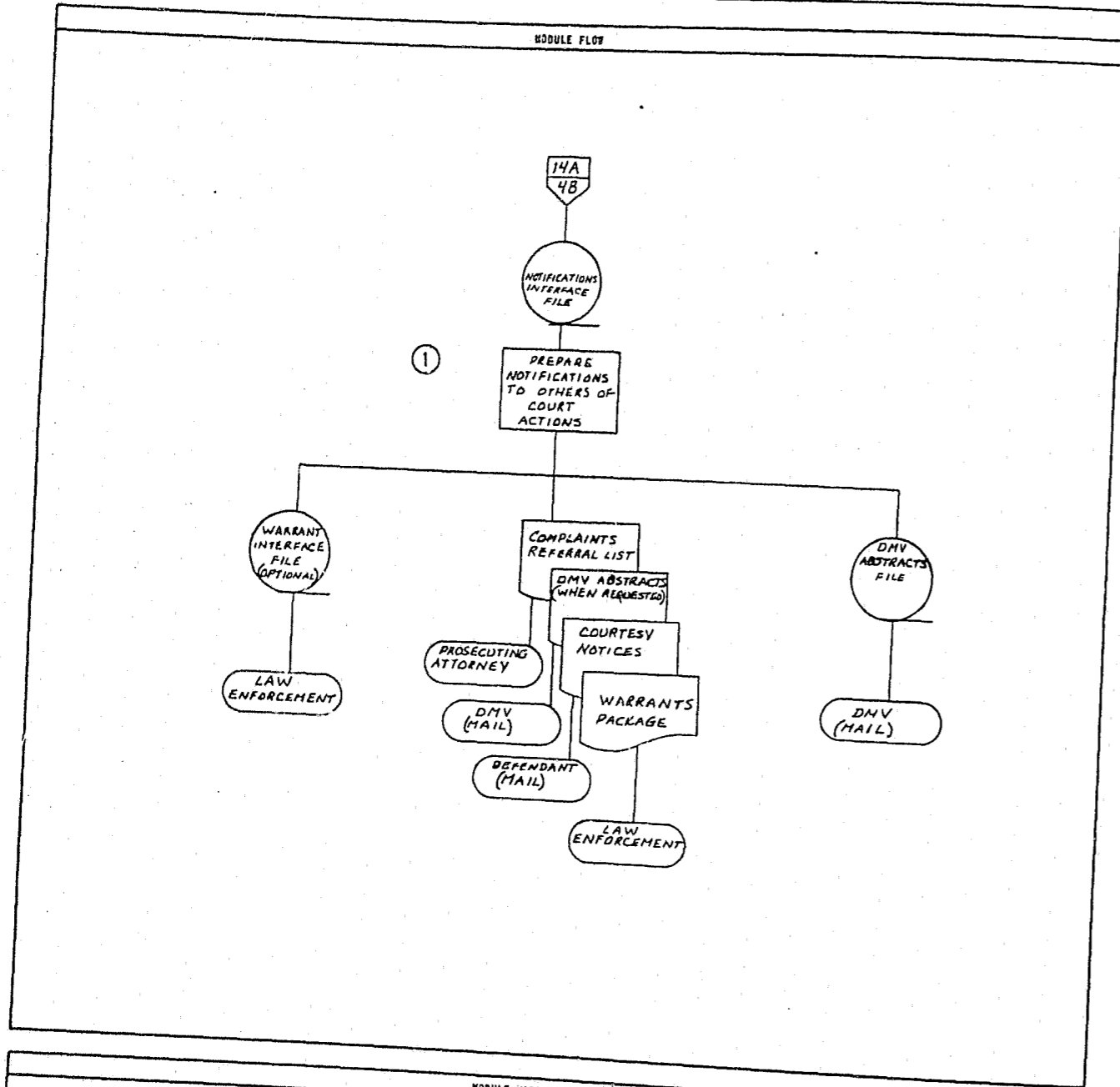
The Open Name Index is updated daily and serves as the principal reference document at the counter for determining bail and locating the court copy of the defendant's citation.

Since the other indexes are prepared at less frequent intervals, they may be microfilmed. To microfilm, the documents can be printed first, or microfilming may be performed directly from magnetic tape print images.

The indexes also provide access by the citation number. A column on each listing contains a cross reference of citation number to the line number corresponding to the alphabetic index entry on the listing.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-14-121	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION On-line	PAGE 14 of 15
MODULE PURPOSE To prepare notifications of court actions to local and state level criminal justice agencies as prescribed by law and as required to assure adequate communication of court orders and judgments			



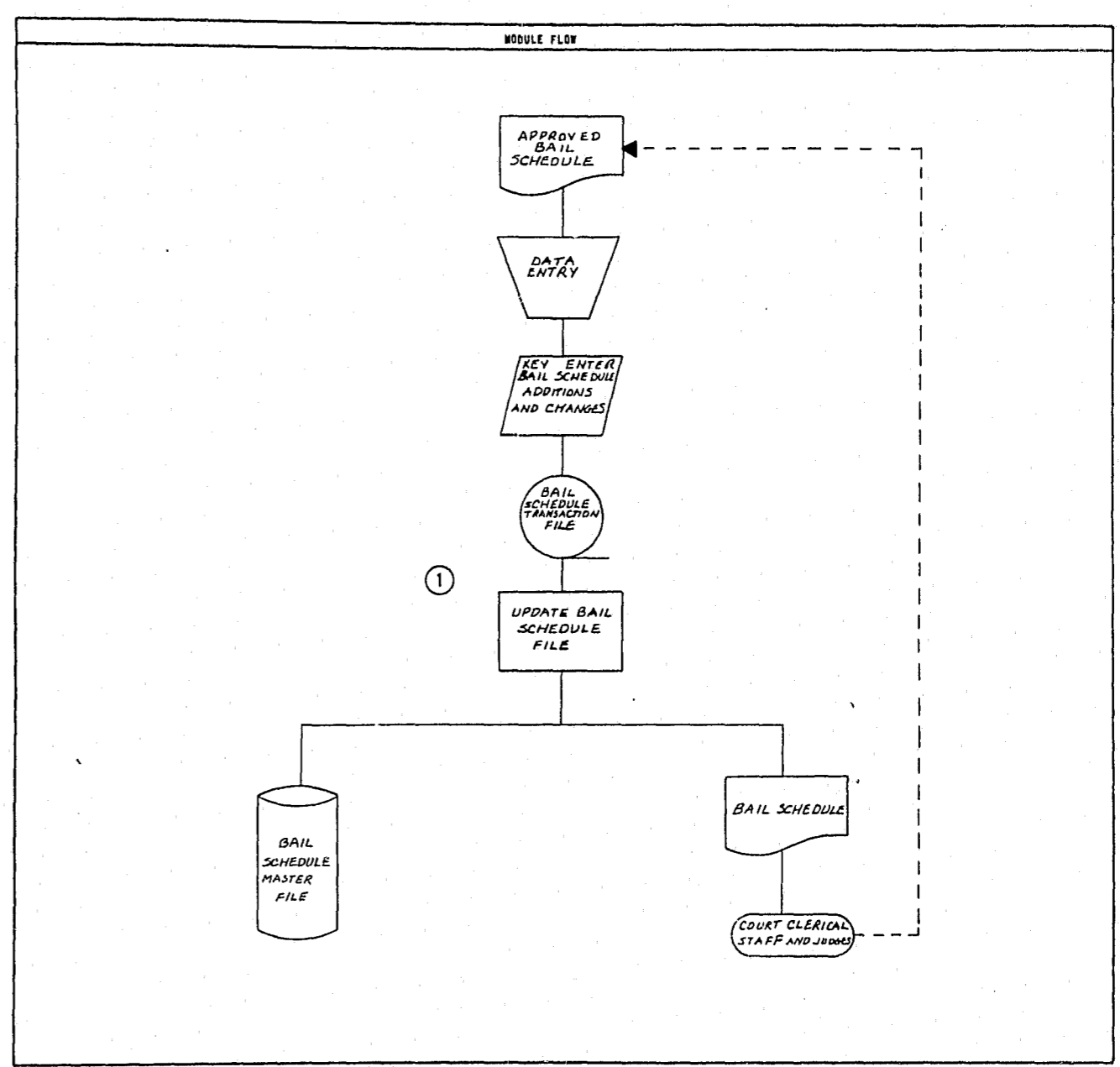
MODULE NARRATIVE

① The notices are prepared and distributed as shown. A Warrants Interface File may be generated in conjunction with, or in lieu of, the warrant package (warrant, notice and service history form) depending upon the automated capabilities of the law enforcement agency.

The Complaints Referral List will inform the prosecuting attorney of persons cited for a moving traffic violation and driving with a suspended or revoked driver's license (Section 14601 CVC). The list will also include persons entering a not guilty plea to any cited offense.

OTHER CITATIONS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION BO-15-261	MODULE NAME BAIL SCHEDULE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 15 of 15
MODULE PURPOSE To add, change and delete entries in the countywide bail schedule			



MODULE NARRATIVE

① The countywide bail schedule for misdemeanor, ordinance and CVC violations which are citable is entered in the computer in order to provide the parameters for calculating graduated bail automatically. Each entry on the bail schedule will indicate:

- . Violation code section
- . Violation description
- . Applicable statute
- . Bail amount
- . Penalty assessment indication
- . Rules for calculating graduated bail.

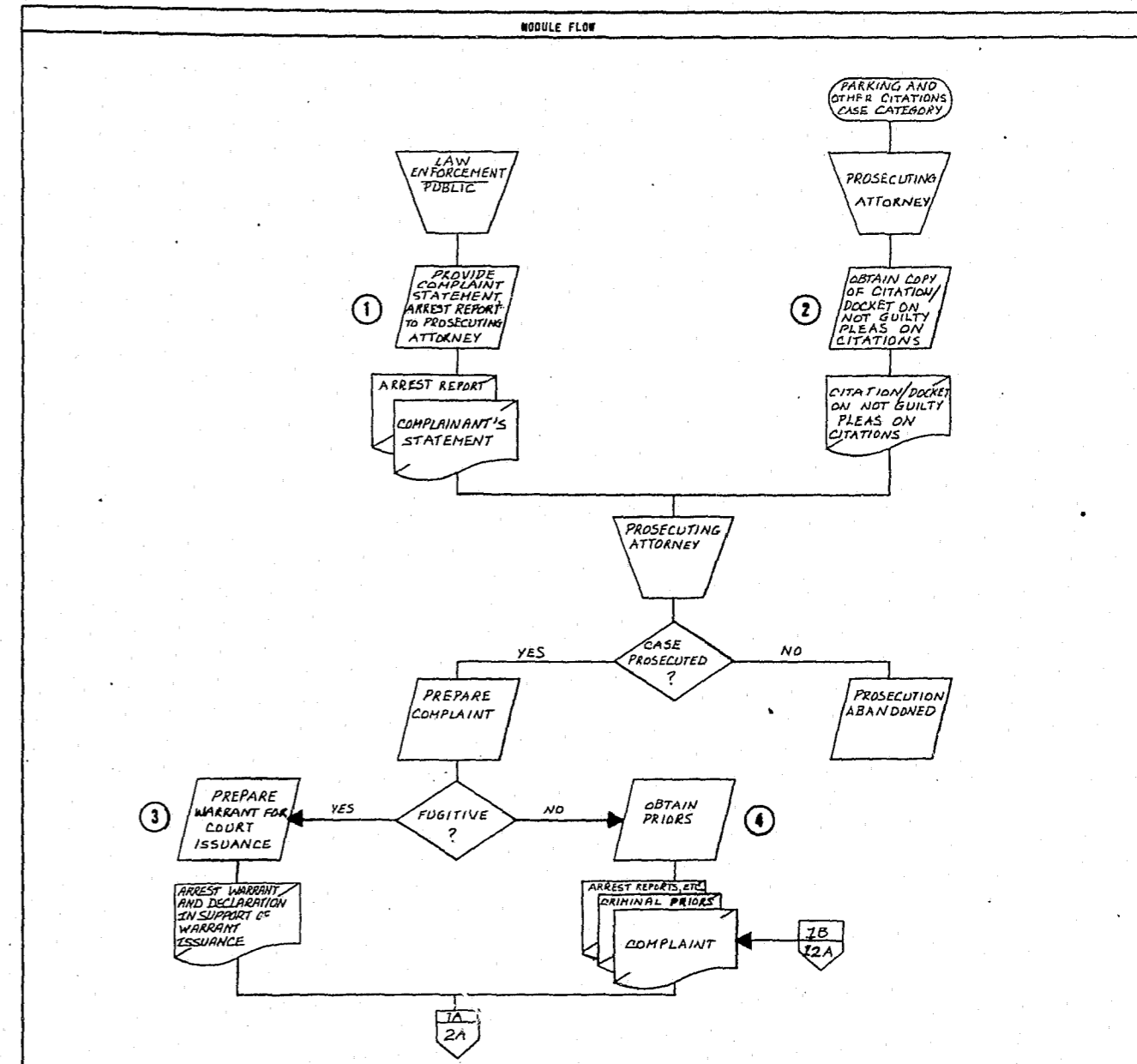
APPENDIX C

CRIMINAL COMPLAINTS

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 of 18
MODULE PURPOSE To initiate cases in the municipal court by the filing of an arrest warrant and/or criminal complaint			



MODULE NARRATIVE

① The prosecuting attorney generally initiates cases in the municipal court by the filing of a complaint. The complaint process is initiated by a statement by the complainant, who may be either a peace officer or a private citizen. The defendant may be arrested on either probable cause or a warrant. Hence, an arrest report is most often filed with the complaint and the complainant's statement.

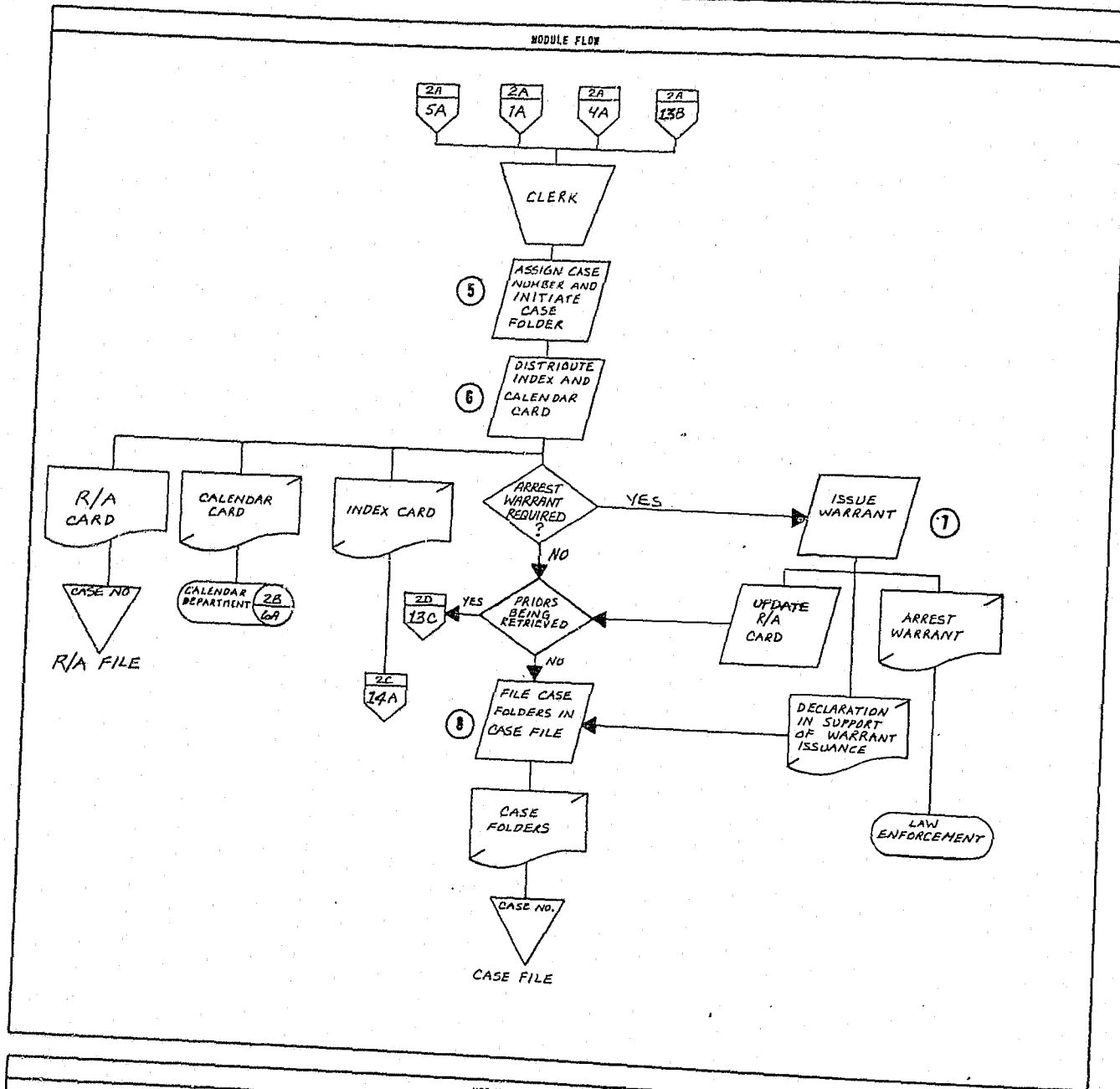
② Cases initiated through the citation process are prosecuted in this case category if the prosecuting attorney chooses to file a complaint (e.g., petty theft with prior convictions) and/or the defendant enters a not guilty plea. For minor traffic offenses, the citation may serve as the complaint if it is a Judicial Council approved form or a complaint waiver may be obtained from the defendant.

③ If the defendant is a fugitive, a warrant is prepared by the prosecuting attorney along with a declaration supporting its issuance.

④ The prosecuting attorney will be responsible for obtaining statewide criminal history on serious misdemeanor and all felony charges. Usually, criminal history is obtained through the mails from DOJ since fingerprints are required for a positive identification. A teletype short form abstract and/or a previously retrieved criminal history printout may be used for bail setting, or for sentencing when conducted at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 of 18
MODULE PURPOSE To initiate cases in the municipal court by the filing of an arrest warrant and/or criminal complaint or in superior court by an indictment.			

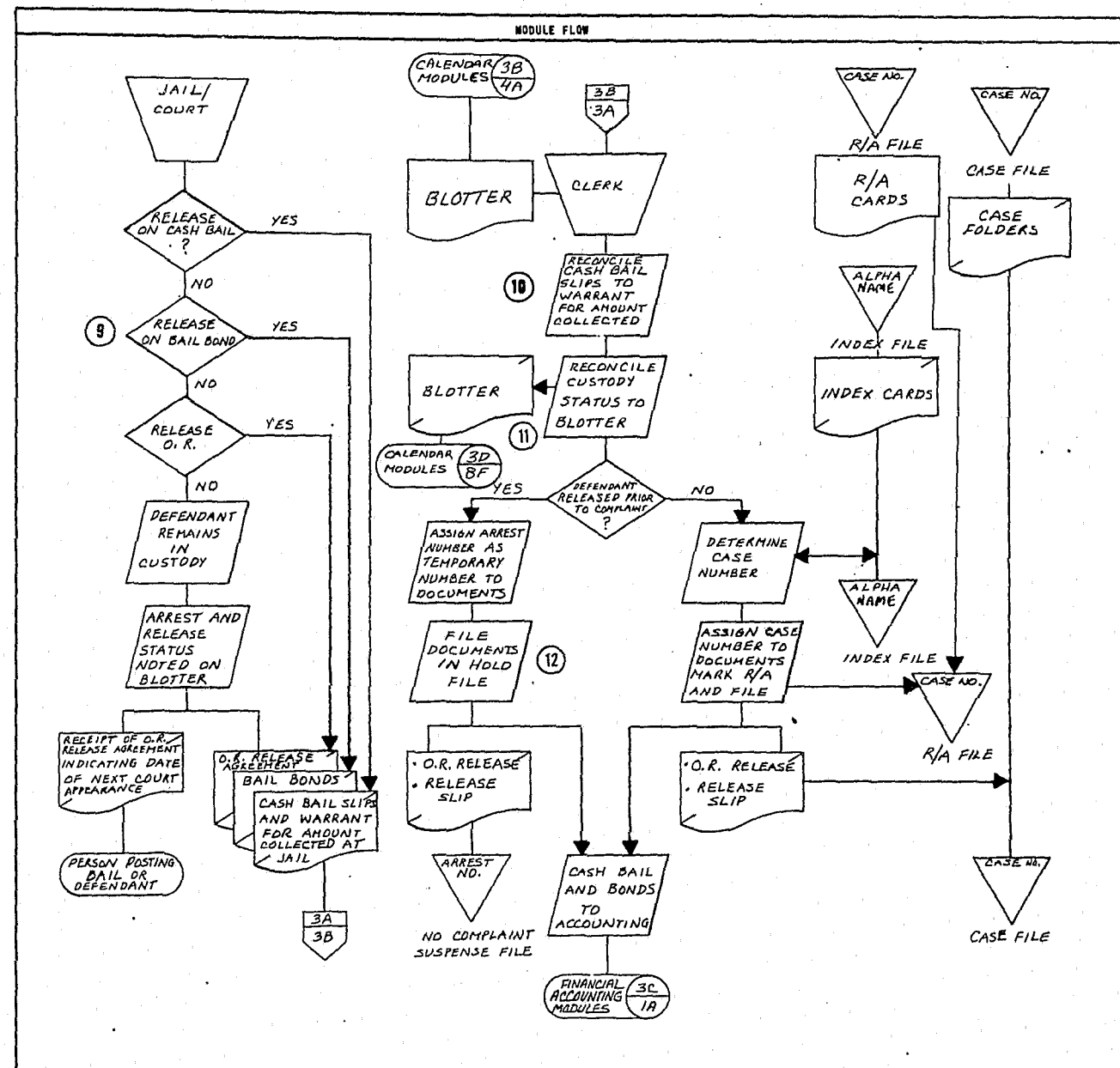


MODULE NARRATIVE

- 5 The clerk initiates the filing of a case by creating a case folder and assigning a case number.
- 6 Next, the clerk prepares an index card, Register of Actions card, and a calendar card. The Register of Action card records all filings and case activity. The calendar card is used to record all appearance statistics and to indicate upcoming court appearances. The index card is prepared for each defendant and is filed alphabetically by last name in an index tray.
- 7 If the prosecuting attorney requests a warrant of arrest, the warrant is issued and the R/A card is updated to indicate issuance.
- 8 All remaining case folders are filed in the Case File in case number sequence.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 3 of 18
MODULE PURPOSE To monitor the defendant's custody status and to maintain all case-related files.			

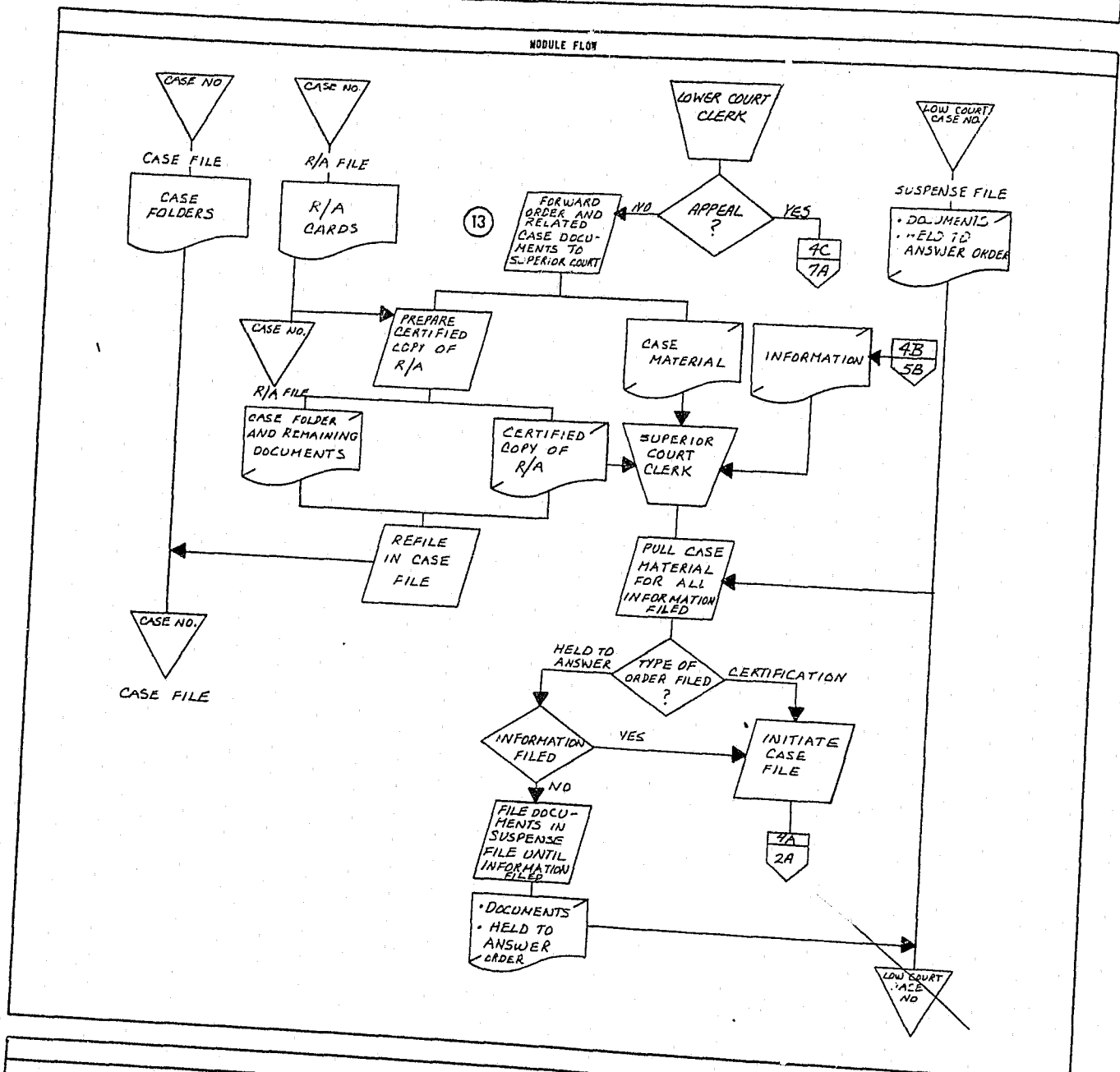


MODULE NARRATIVE

- 9 The defendant who is taken into custody on a warrant or for probable cause may be released prior to arraignment by posting cash bail or bond, through O.R. release handled by the jail, or by posting and forfeiting bail in lieu of fine.
- Generally, if the defendant posts cash bail or bond when the court is not in session, the money or bond is accepted at the jail. The documents collected and a warrant (bank draft) for the cash received is forwarded to the court the next morning.
- When the court is in session, bail is posted with the court and O.R. release is handled at arraignment.
- 10 All cash bail slips returned to the court from the jail are reconciled to the warrant.
- 11 As part of the pre-arraignment release process, the defendant's custody status is noted on the blotter.
- 12 If the defendant has been released prior to the complaint being filed, the arrest number is temporarily used to reference all documents. The case material is then filed in a suspense file until the complaint is submitted.
- When the complaint is submitted, the case is assigned a permanent case number and the case folder is transferred to the case file.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 4 of 18
MODULE PURPOSE To initiate cases in the superior court by the filing of a 'held to answer' order, certification order, or appeal.			



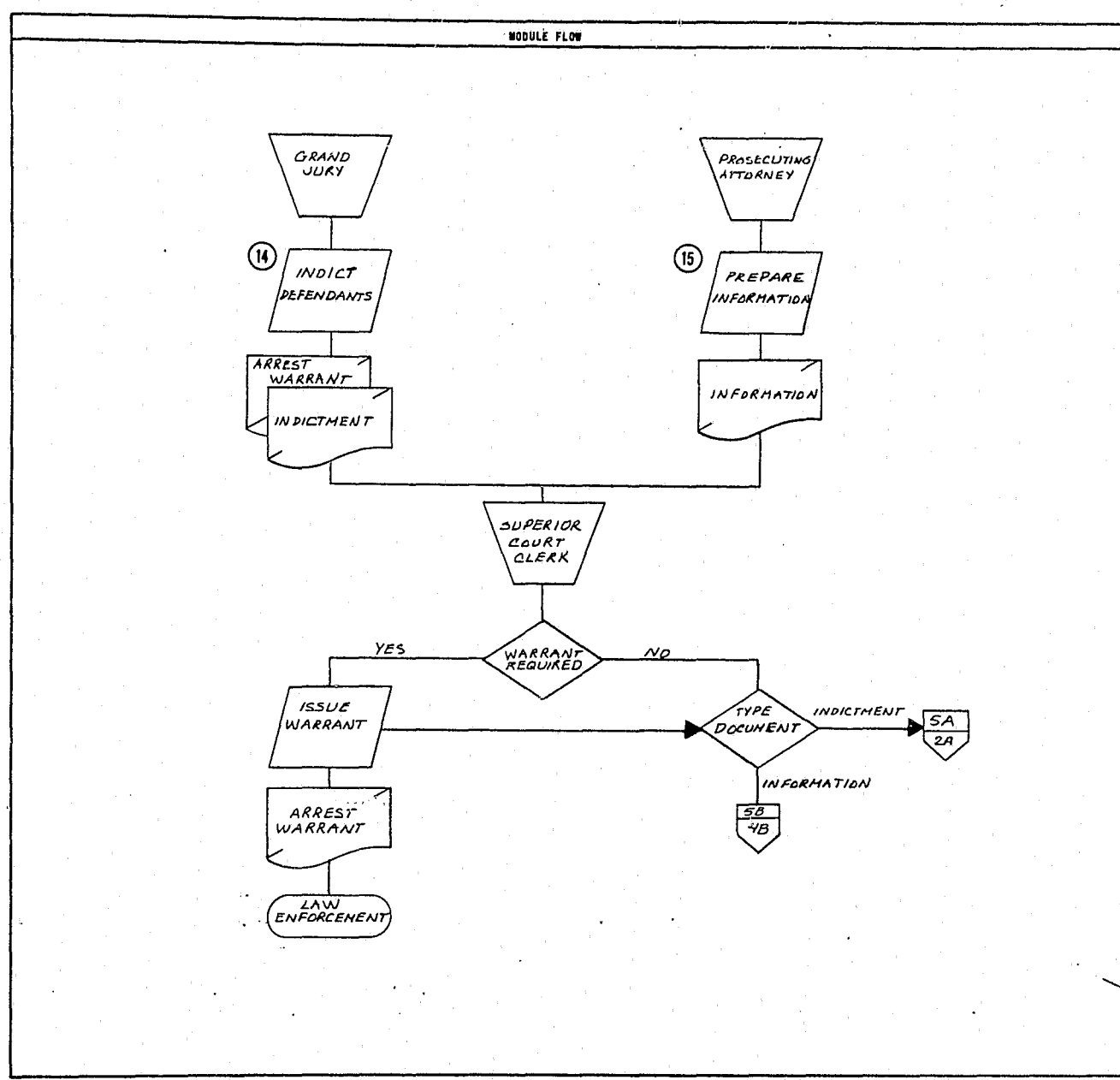
MODULE NARRATIVE

13 The lower court clerk transfers felony and misdemeanor insanity matters to the superior court by forwarding selected documents from the case folder, in particular, the "held to answer" order or certification order. The "held to answer" order is located on the back of the complaint.

The certification orders are manually prepared also, but on separate forms. These orders include certifications on a plea of guilty, insanity phases of trials on misdemeanors, MDSO and narcotic addict certifications, and certifications when the judge expresses doubt as to the current mental status of the defendant (Section 1368 P.C.)

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 5 of 18
MODULE PURPOSE To initiate cases in the superior court by the submittal of an indictment or information			



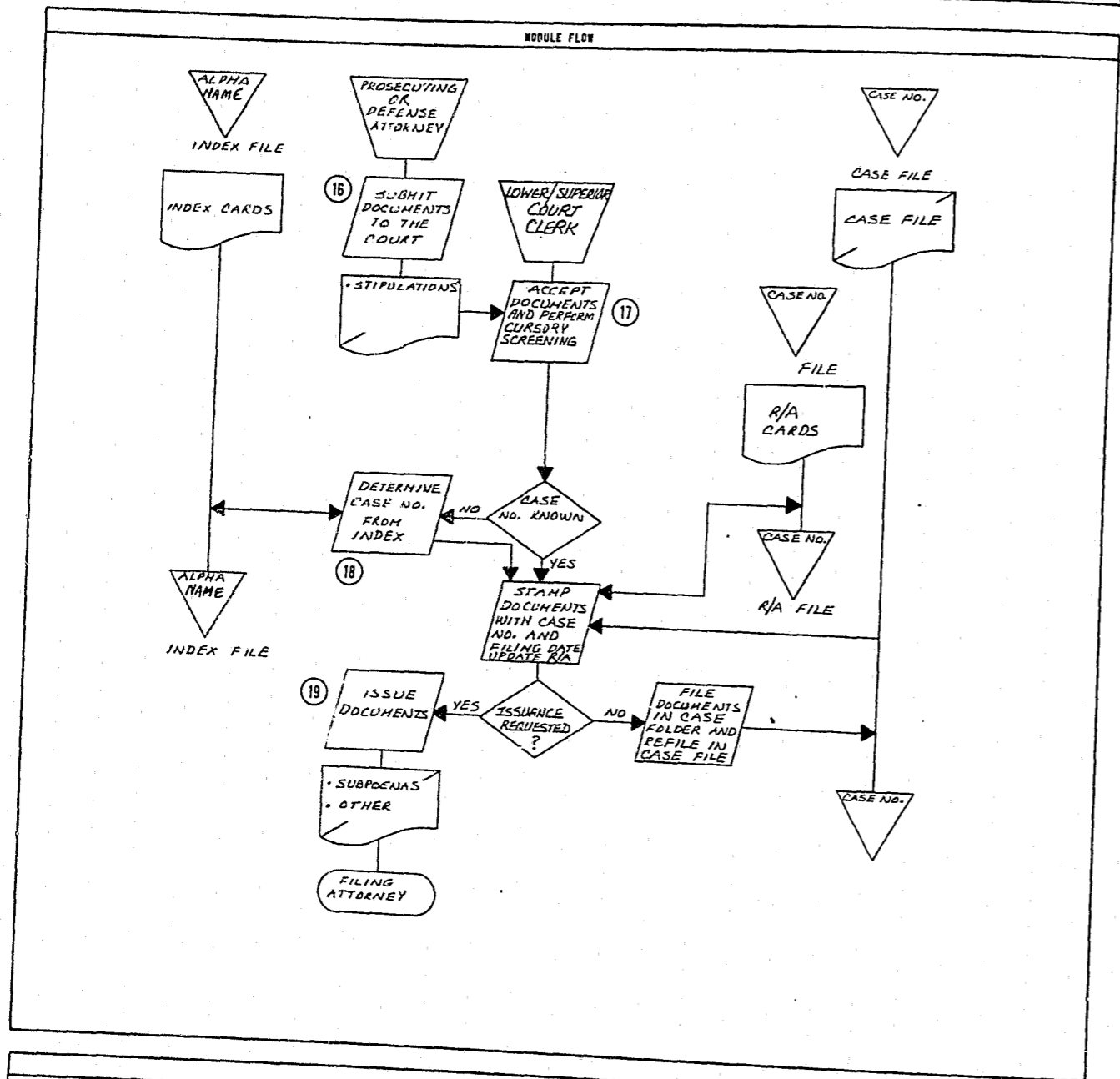
MODULE NARRATIVE

14 Cases may be also initiated in the superior court by a Grand Jury indictment. Indictments are generally brought against persons not presently in custody. Hence, a warrant of arrest is often issued at the time the indictment is filed.

15 An information must be filed by the prosecuting attorney in cases bound over on a "held to answer" order. In some instances, a warrant of arrest will be issued for the defendant, although custody status is generally carried over from the lower court proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 6 of 18
MODULE PURPOSE To accept documents from litigants, perform a cursory screening, and to issue documents as requested			



MODULE NARRATIVE

16 Subsequent to initiation, additional documents may be filed by the litigants. These documents often include stipulations, pre-trial motions, and amended complaints.

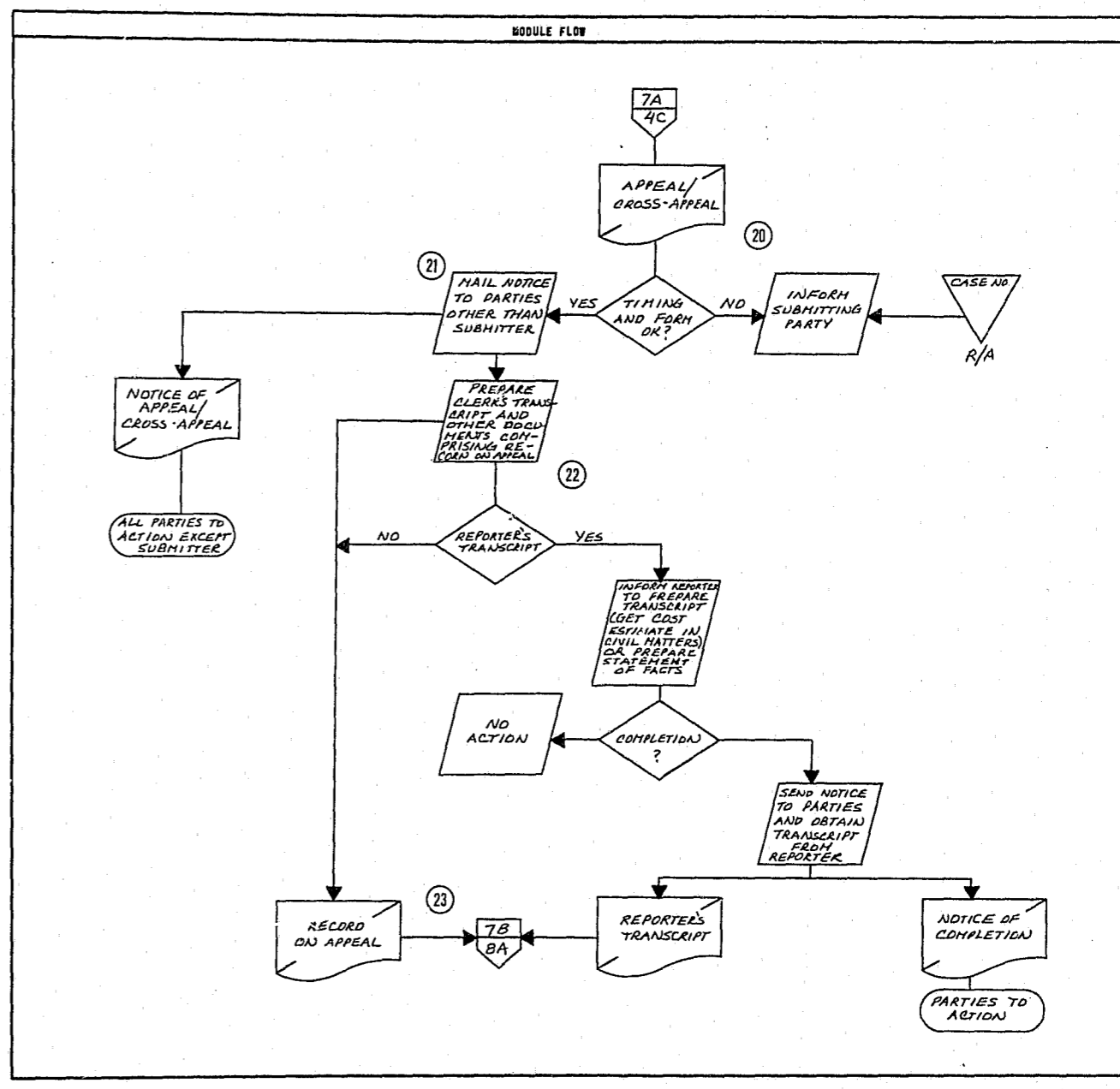
17 The accuracy of submitted documents rests with the submitter. The clerk, however, will perform a cursory screening for basic identifiers needed to locate the proper case folder, and to verify its association.

18 If a case number is unknown, it may be determined by referring to the Open Name Index, which lists all active cases in defendant's name sequence. The index, which is updated daily, provides a cross reference to the case number and summarizes case activity as well.

19 Documents, such as subpoenas, may be prepared by the litigants and issued by the court. Since the prosecuting attorney has his own subpoena powers, prosecution subpoenas are usually filed only to initiate contempt proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 7 of 18
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			



MODULE NARRATIVE

20 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actors to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)

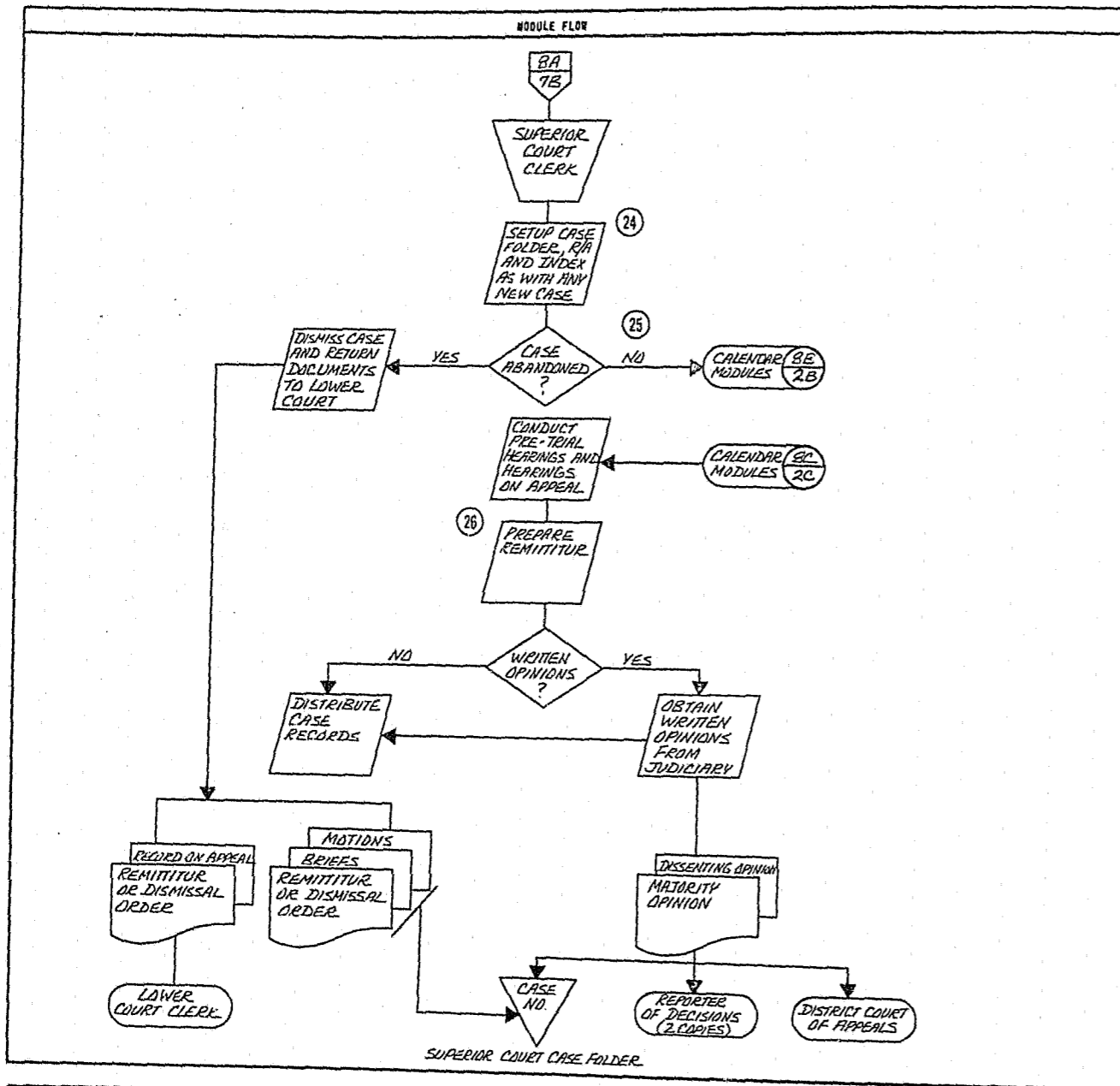
21 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.

22 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. A reporter's transcript or statement of facts is also prepared.

23 When the record on appeal has been completed in accordance with the Rules of Court, it is transferred to the superior court.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-1-012	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 8 of 18
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

24 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

25 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

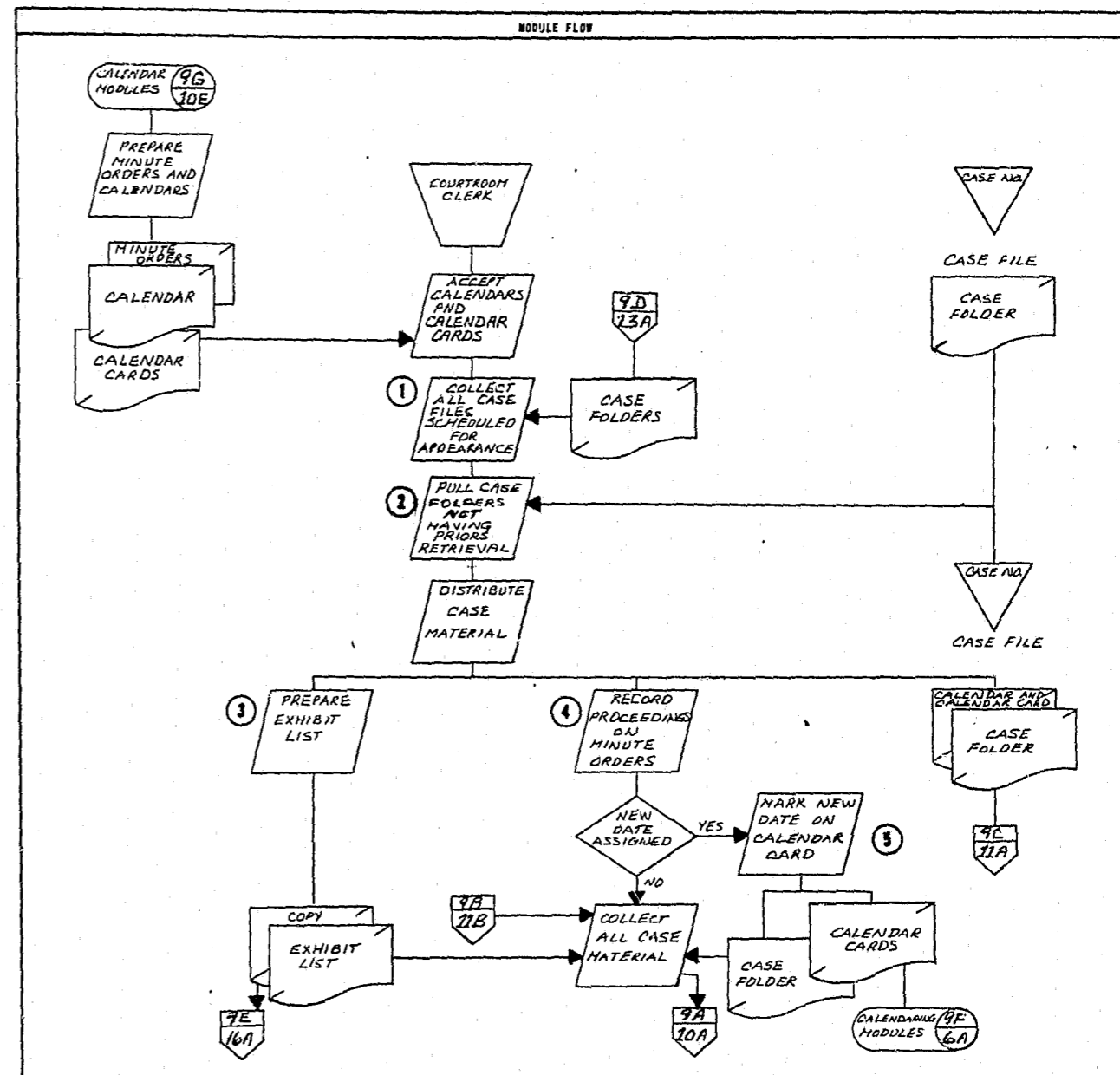
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

26 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-9-042	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 9 of 18
MODULE PURPOSE To record court proceedings on minute orders, and to process court imposed fines, referrals and other dispositions			



MODULE NARRATIVE

1 Case folders for persons scheduled for a court appearance are forwarded to the courtroom clerk along with the calendar, calendar cards and multipart minute orders.

2 Criminal histories are obtained for designated offenses by the prosecuting attorney and are attached to the corresponding case folders. Similarly, statewide driver histories are obtained by the court and are attached to the corresponding case folders. The printouts are inserted so as to preclude their accidental exposure.

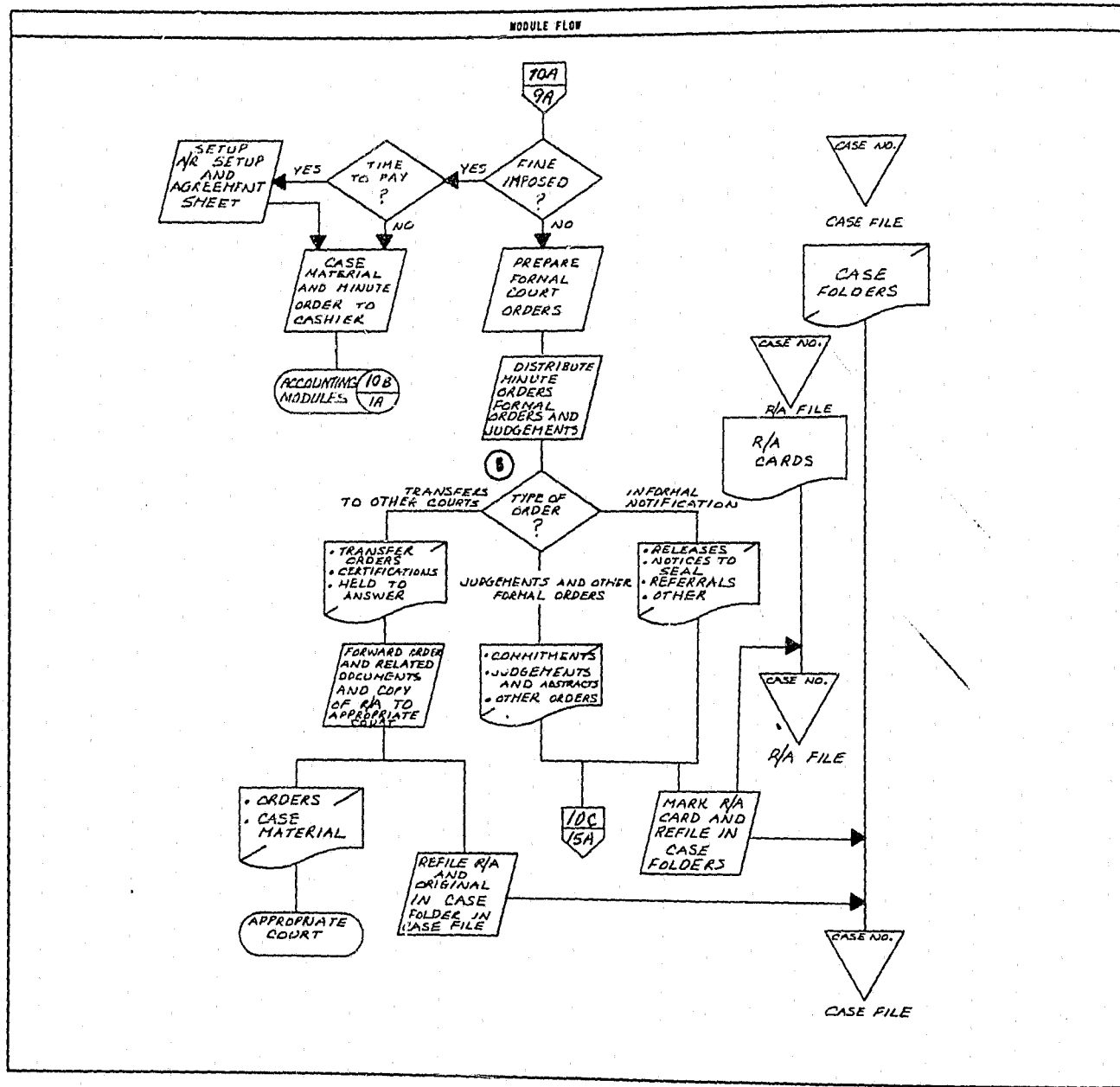
3 During the court proceedings, all submitted exhibits are recorded on a separate exhibit list for each case.

4 The court proceedings are recorded on pre-printed minute order forms. Most entries are "check box" or "fill-in" which require only dating and a signature by the courtroom clerk.

5 If a new appearance date is assigned during the proceedings, the calendar card is updated (also updated to indicate disposition), and the R/A card is posted with the appropriate entries.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-9-042	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 10 of 18
MODULE PURPOSE To record court proceedings on minute orders, and to process court imposed fines, referrals, and other dispositions			

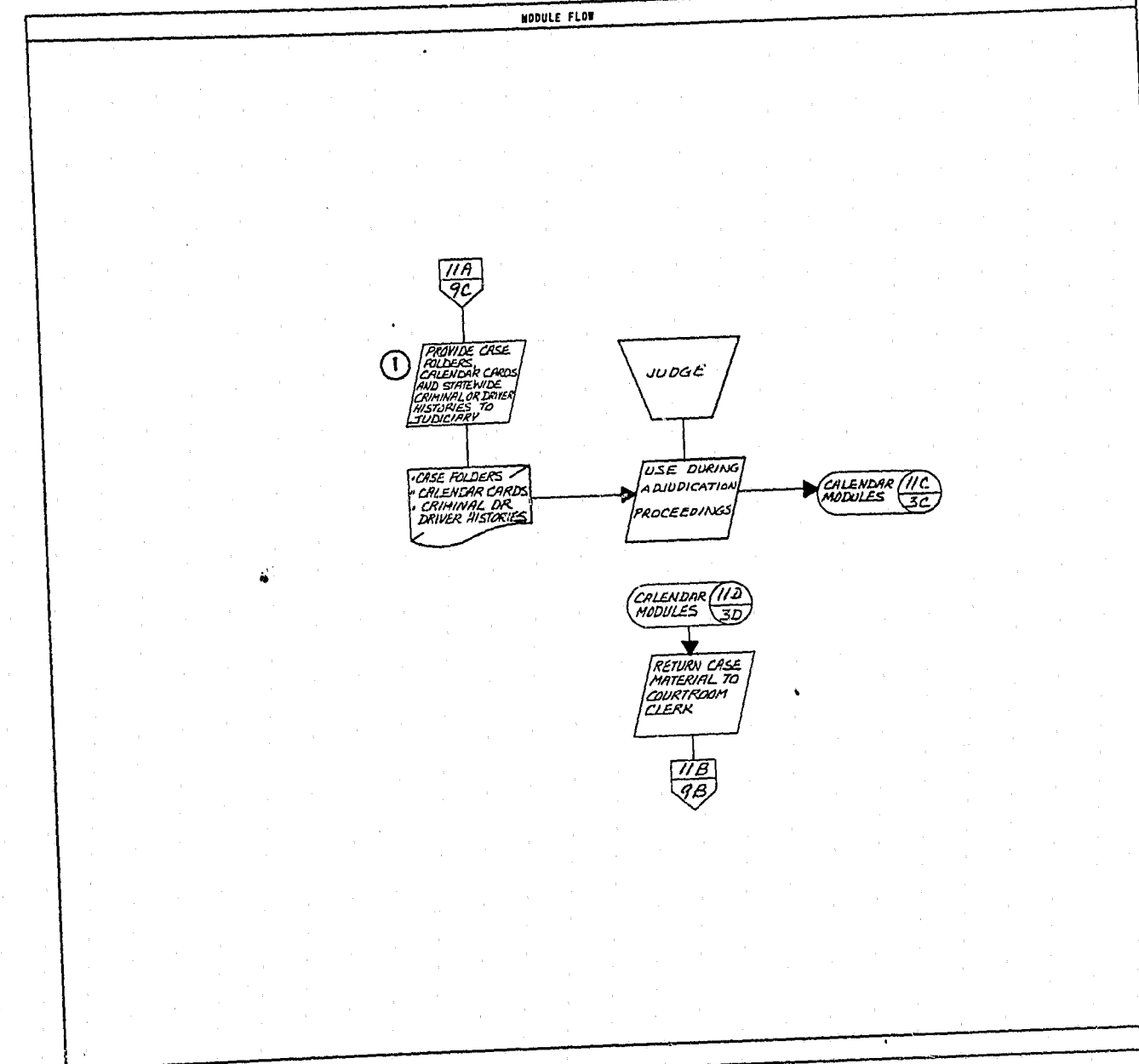


MODULE NARRATIVE

⑥ Notifications to others are made in one of three ways. Informal notifications are made by detaching a copy of the minute order form and forwarding it to the appropriate agency. Where required, copies of formal orders and judgments are made and forwarded to the appropriate individual or agency. Orders transferring jurisdiction are made formally and are accompanied by appropriate case-related documents. Note that the "held to answer" order is completed on the back of the complaint.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-9-042	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 11 of 18
MODULE PURPOSE To provide driver histories, criminal histories, and case setting histories to the judiciary to facilitate improved calendar management, bail setting policies and sentencing			



MODULE NARRATIVE

① At each court appearance, the clerk provides the judiciary with case folders, calendar cards and statewide criminal or driver histories.

The calendar cards provide a case setting history of each case, and a means by which calendaring prepares all calendars.

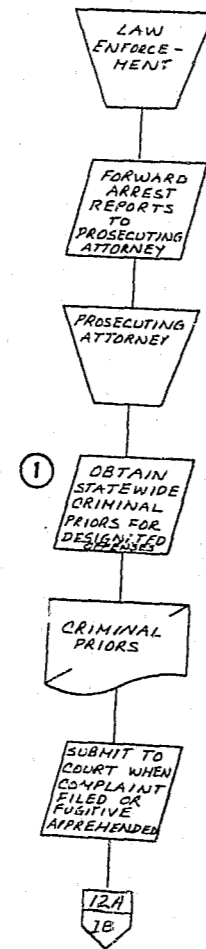
The statewide criminal histories are provided for designated criminal offenses. Driver histories are retrieved for each person charged with a C.V.C. violation.

The case material is used during the adjudication process and returned to the courtroom clerk at the end of the session.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-12-271	MODULE NAME STATEWIDE CRIMINAL HISTORY RETRIEVAL	LEVEL OF AUTOMATION Manual	PAGE 12 OF 18
MODULE PURPOSE To obtain statewide criminal histories (criminal priors) for persons arraigned on serious misdemeanor and felony offenses			

MODULE FLOW



MODULE NARRATIVE

1 The prosecuting attorney will be responsible for obtaining statewide criminal history for serious misdemeanor and felony offenses. He may rely upon law enforcement staff, files and/or communications facilities.

When a person is arrested on a serious misdemeanor or felony charge (except CVC violations), the jail prepares an identification card containing the defendant's fingerprints and personal description. This card is forwarded by mail to the Bureau of Identification for retrieval of a statewide criminal history form known as a Rap Sheet.

The courts need a criminal history printout of prior convictions, outstanding warrants, pending cases and current conditions of parole or probation in order to set bail, determine O.R. release, and to properly sentence. This printout should be formatted in a concise, easily understood manner.

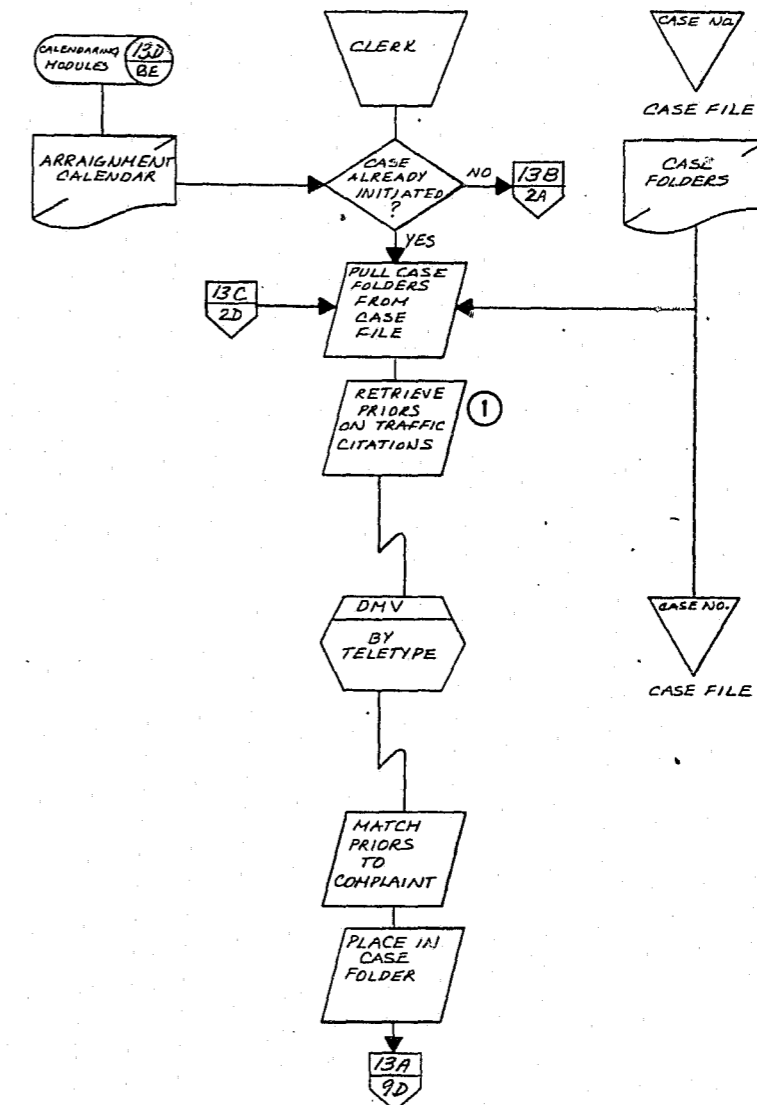
In the years to come, many larger law enforcement agencies will have facsimile transmission equipment so that up-to-date data can be made quickly available to the courts and the prosecuting attorney.

In lieu of this up-to-date printout, the courts may utilize a previous Rap Sheet supplemented by a summarized CJIS criminal history printout retrieved by teletype. This form of criminal history would be most useful for bail hearings, and for adjudication of misdemeanor cases disposed of at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-13-182	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION Manual	PAGE 13 OF 18
MODULE PURPOSE To retrieve statewide driver histories (DMV priors) for persons arraigned on a moving traffic offense (e.g., hit and run, drunk driving, speeding, etc.)			

MODULE FLOW



MODULE NARRATIVE

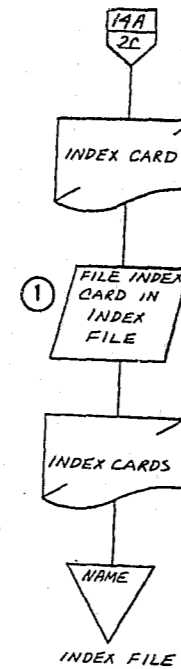
1 Driver history is retrieved by teletype for persons arrested on vehicle code violations.

The teletype operator prepares a punched paper tape of request records for B-5 printouts. The machine can then be operated with a minimal amount of clerical attention, as it automatically returns printed responses. Priority will be given to defendants remaining in custody since their cases could be adjudicated and disposed of during the morning arraignment session after arrest.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-14-071	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 14 of 18
MODULE PURPOSE To prepare an alphabetical index to the case number which will assist in locating case-related information			

MODULE FLOW



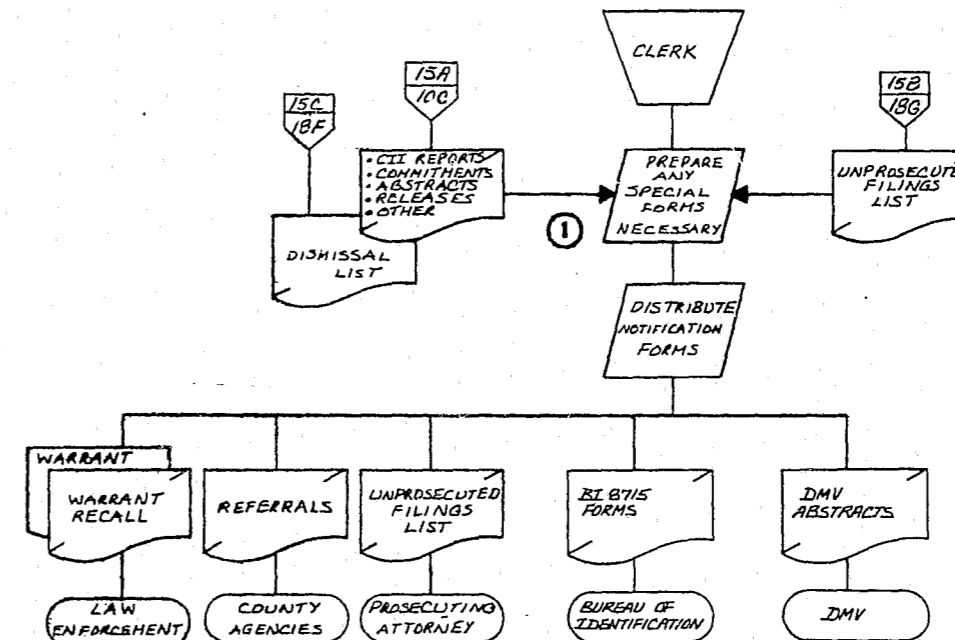
MODULE NARRATIVE

- ① The index cards are filed in a tray type file in alphabetical order. A card is prepared for each defendant containing the:
- Defendant's name
 - Attorney's name
 - Case number
 - Arrest and/or complaint issuance date
 - Charges.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-15-101	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 15 of 18
MODULE PURPOSE To provide a notification of court actions to other criminal justice agencies			

MODULE FLOW



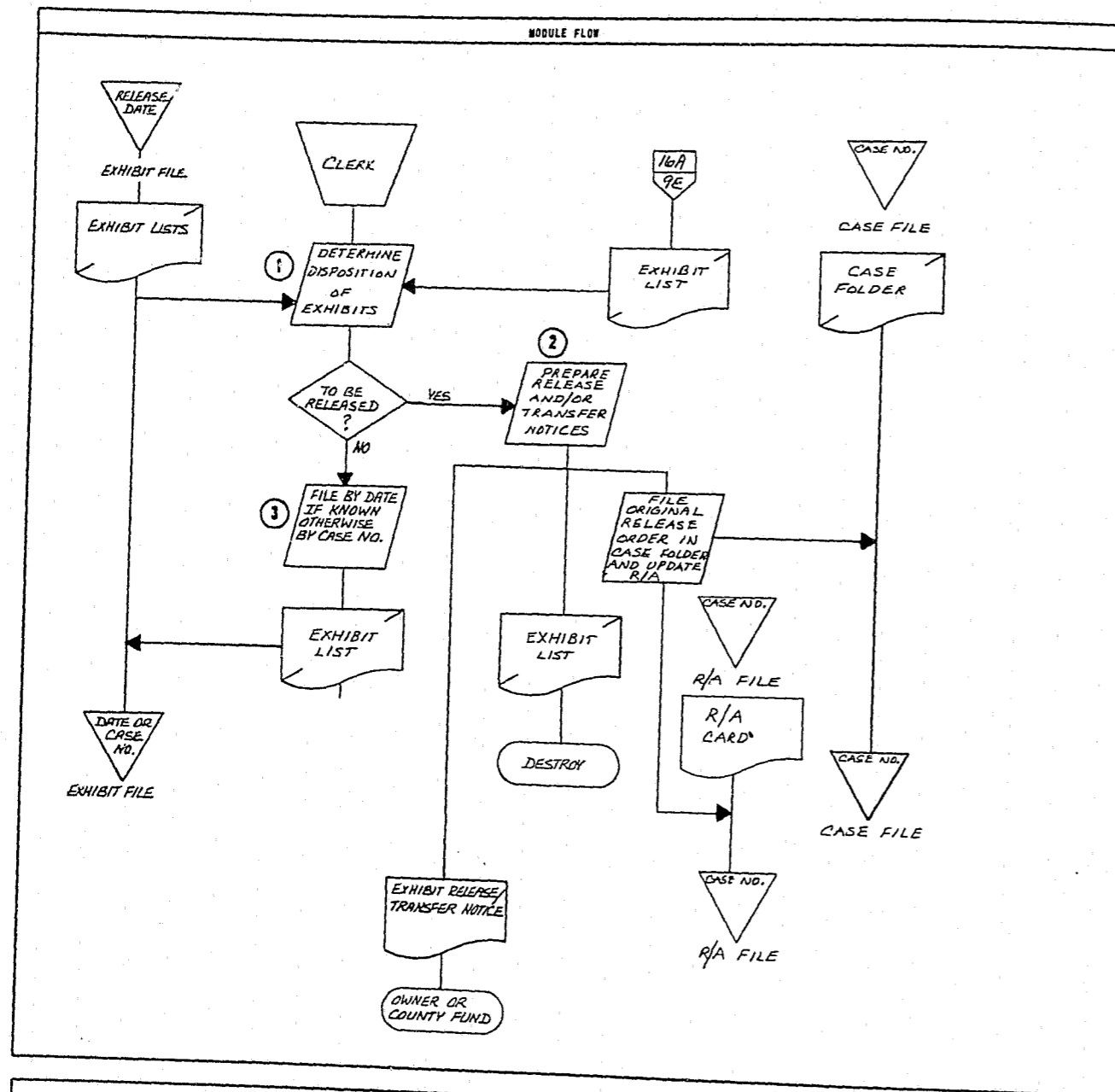
MODULE NARRATIVE

- ① Entries to the Notification Module come from minute orders prepared during court proceedings and the Aging and Purging Module which periodically checks defendant and file status. Depending upon the action taken, the appropriate notifications to the criminal justice agencies and case participants are generated.

A No Complaints Filed List will also be prepared for the prosecuting attorney to inform him of impending dismissals (re: Section 1382 P.C.) for lack of filing an information, or instances where a defendant has been released prior to arraignment but no complaint has been filed.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-16-301	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Manual	PAGE 16 OF 18
MODULE PURPOSE To monitor and control the acquisition, inventorying and destruction of exhibits received into evidence			

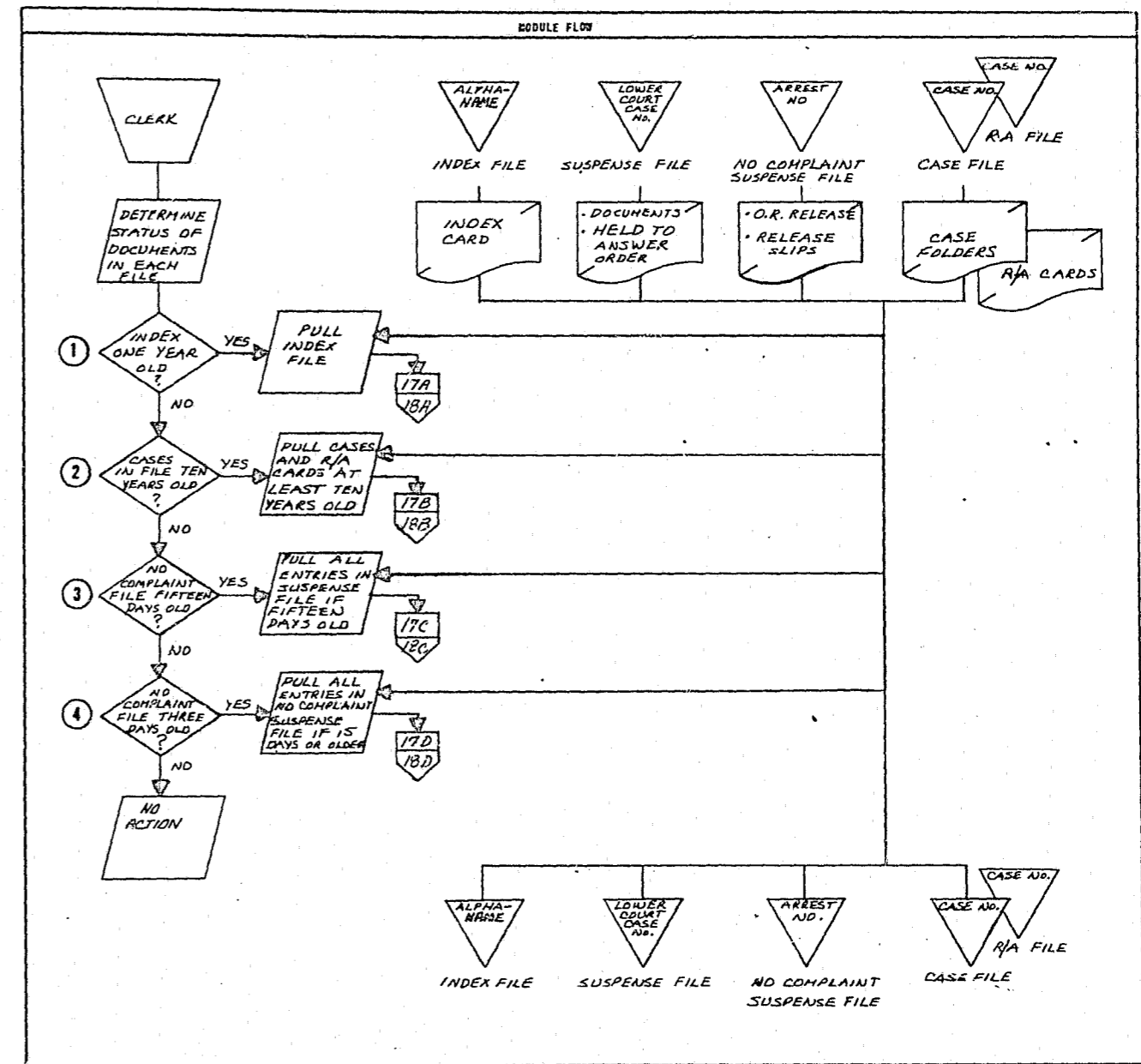


MODULE NARRATIVE

- All exhibits received into evidence are recorded on exhibit lists by the court clerk. Each exhibit is identified by case number, exhibit number, a brief item description, a reference to its storage location, the owner, and his relationship to the case.
- If the exhibit has been ordered released or the release date has passed, the proper notification forms are prepared by the clerk. The originals are filed in the case folder; copies are distributed to the concerned parties.
- Exhibit lists for those exhibits to be released at a later date are filed in the Exhibit File by the sentence expiration date/release date if known. If the release date is not known, the lists are filed by case number in the suspense area of the file.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-17-132	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 17 OF 18
MODULE PURPOSE To maintain the court's files and the case documents according to the appropriate statutory limitations			

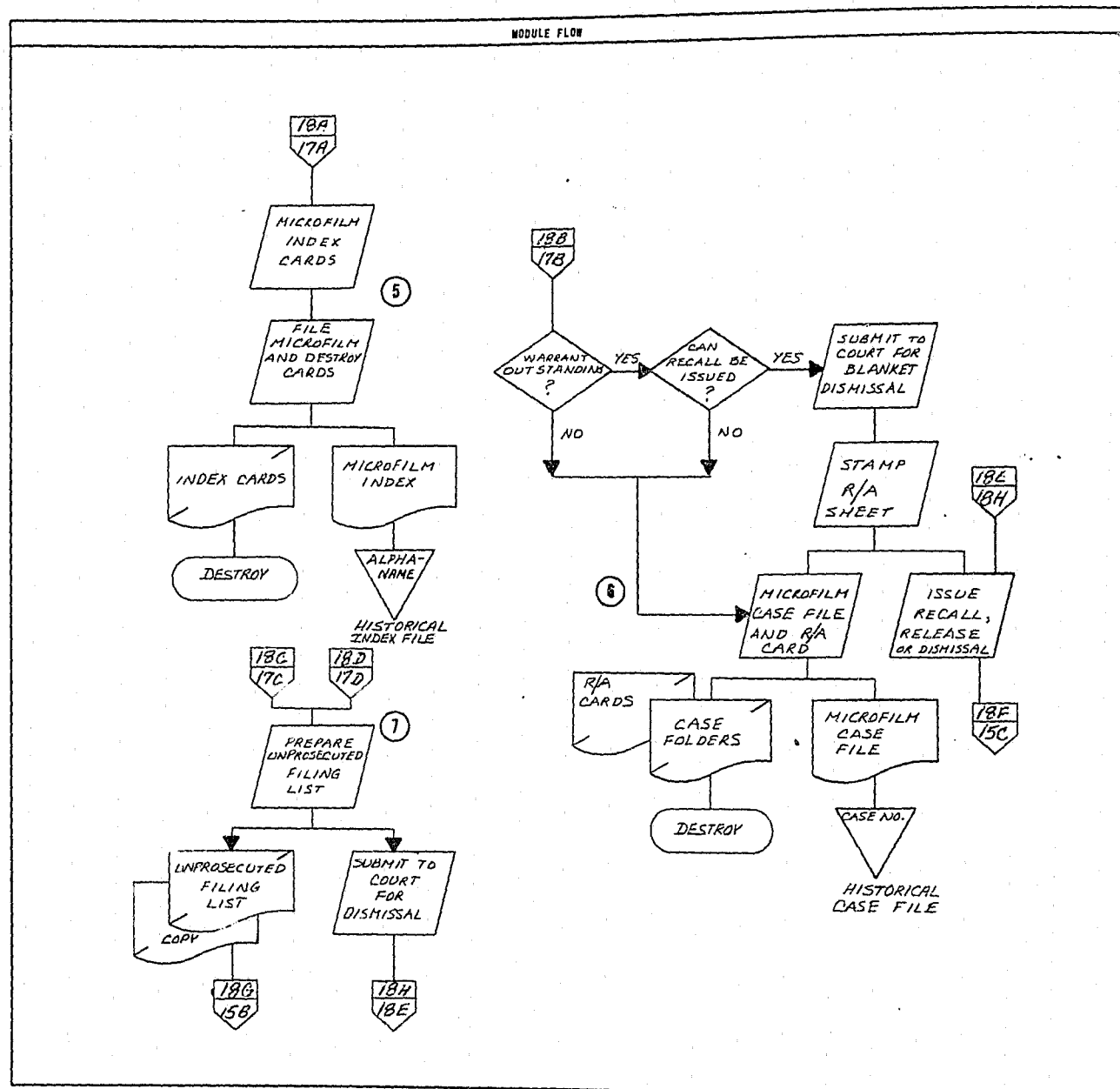


MODULE NARRATIVE

- Once each year the index cards in the index file are pulled and prepared for microfilming.
- All cases ten years or older (determined by case number) are pulled from the case file and prepared for microfilming.
- "Held to answer" orders for which no information has been filed are pulled from the Suspense File if fifteen days has elapsed since their filing. These documents are prepared for submittal to the court for dismissal.
- If the prosecuting attorney fails to file a complaint within the court days, the prearrestment release documents are pulled from the No Complaint Suspense File and the prosecuting attorney is notified of impending bail refund or bond exoneration.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CM-17-132	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 18 of 18
MODULE PURPOSE To maintain the court's files and the case documents according to the appropriate statutory limitations			



MODULE NARRATIVE

⑤ The index cards are microfilmed once each year. The original card is destroyed and the microfilm is maintained as a permanent index file.

⑥ The warrant status of each pulled case file is determined prior to microfilming. If a warrant is outstanding and subject to recall, the case is submitted to court for the issuance of a dismissal order.

The recall of the warrant is then issued. Serious cases such as murder would not be eligible for the recall of an outstanding warrant.

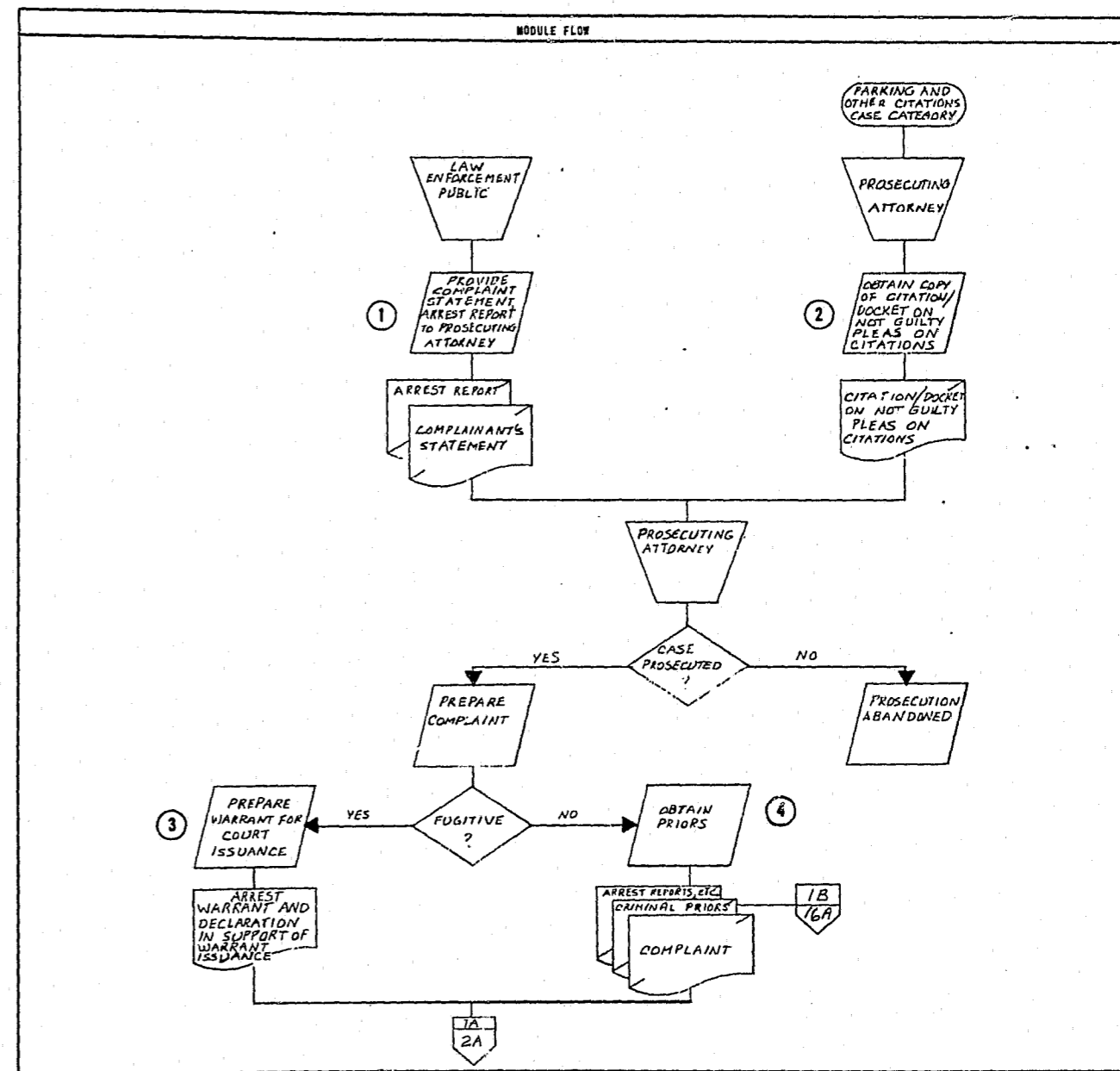
The case folders are microfilmed and the hard-copy documents are destroyed. The microfilm version of the case folder then serves as the permanent case record.

⑦ "Held to answer" orders without an information filed and other cases not prosecuted in a reasonable time are submitted to the court for dismissal for lack of prosecution.

FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 of 20
MODULE PURPOSE To initiate cases in the municipal court by the filing of an arrest warrant and/or criminal complaint			



MODULE NARRATIVE

① The prosecuting attorney generally initiates cases in the municipal court by the filing of a complaint. The complaint process is initiated by a statement by the complainant, who may be either a peace officer or a private citizen. The defendant may be arrested on either probable cause or a warrant. Hence, an arrest report is most often filed with the complaint and the complainant's statement.

② Cases initiated through the citation process are prosecuted in this case category if the prosecuting attorney chooses to file a complaint (e.g., petty theft with prior convictions) and/or the defendant enters a not guilty plea. For minor traffic offenses, the citation may serve as the complaint if it is a Judicial Council approved form.

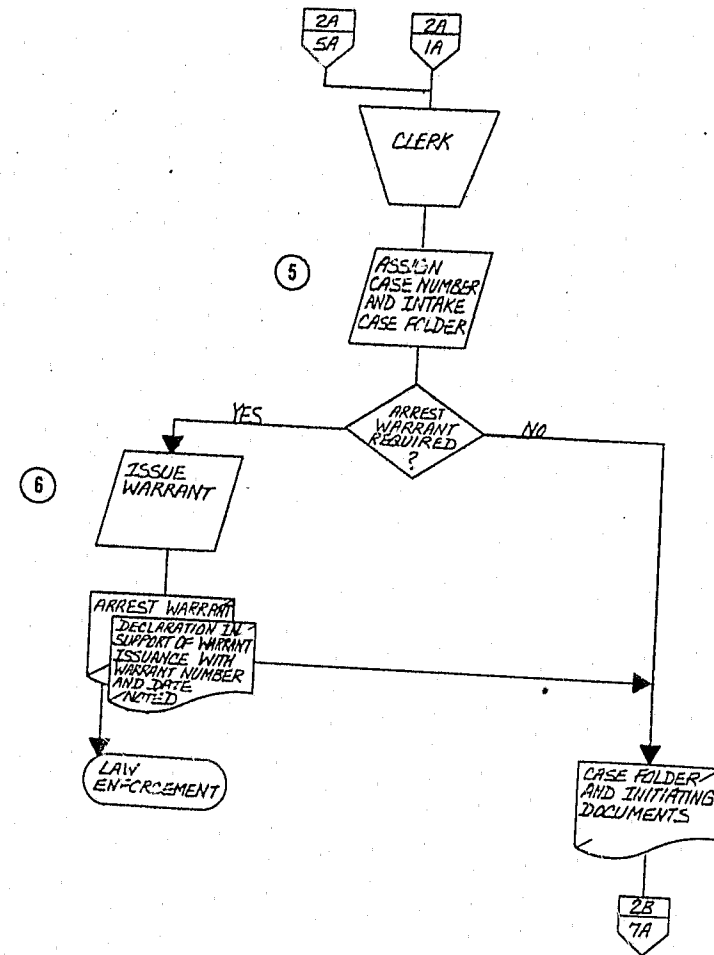
③ If the defendant is a fugitive, a warrant is prepared by the prosecuting attorney along with a declaration supporting its issuance.

④ The prosecuting attorney will be responsible for obtaining statewide criminal history on serious misdemeanor and all felony charges. Usually, criminal history is obtained through the mails from DOJ since fingerprints are required for a positive identification. A teletype short form abstract and/or a previously retrieved criminal history printout may be used for bail setting; or for sentencing when conducted at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 of 20
MODULE PURPOSE To initiate cases in the municipal court by the submittal of an arrest warrant and/or criminal complaint or in superior court by an indictment			

MODULE FLOW



MODULE NARRATIVE

5 A case is initiated by the assignment of a court-controlled case number and the preparation of a case folder. The folders are pre-numbered. A computer-printed label will be attached to the folder on the day following case initiation.

A case can be initiated only by the filing of a complaint (or citation in lieu of complaint). No case-related documents can be accepted unless accompanied by, or preceded by, a complaint (except bail slips or bail bonds).

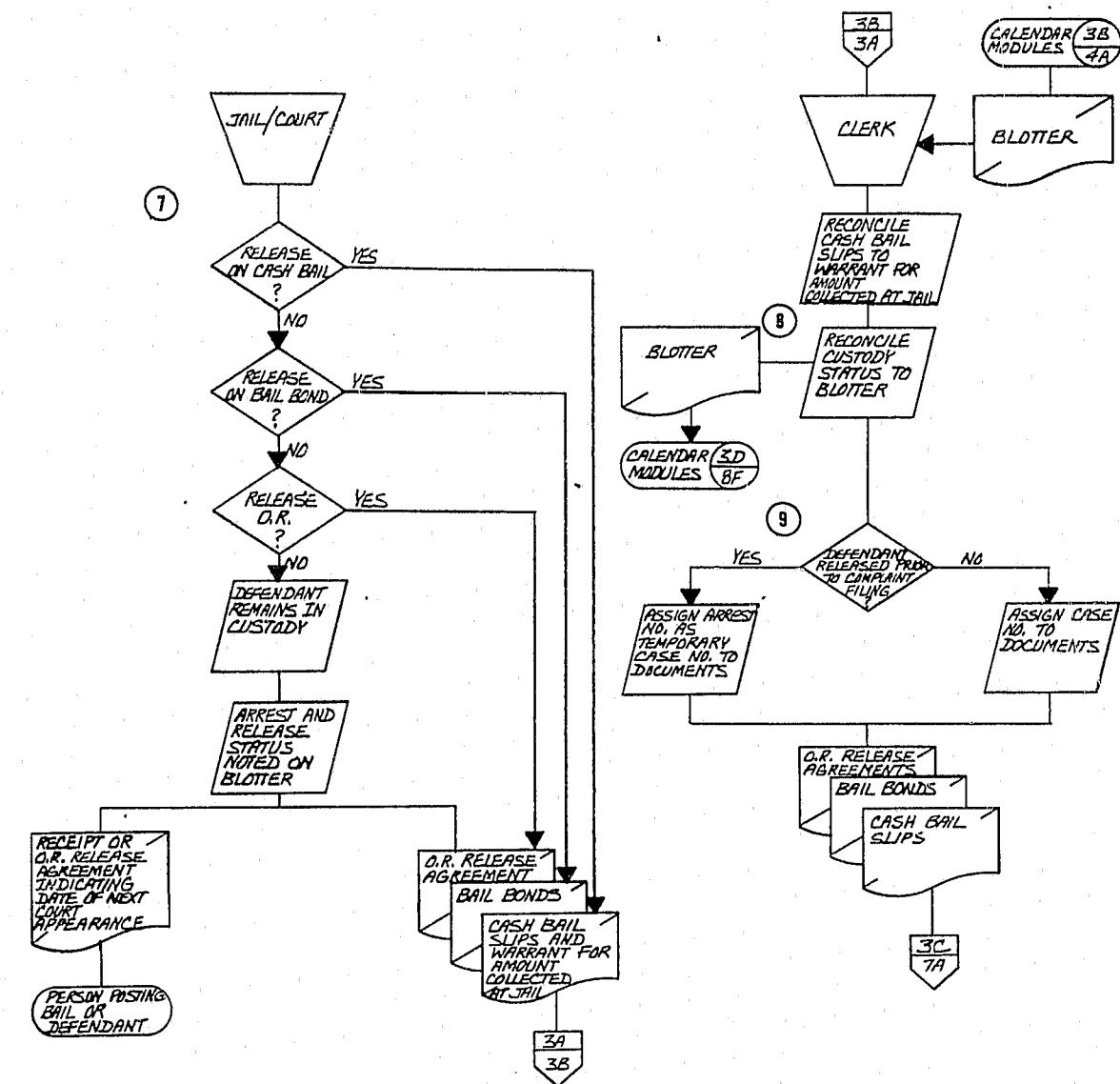
6 Warrants are prepared by the prosecuting attorney, signed by a judge and issued by the court.

The warrant number and date of issuance are noted on the declaration in order to provide documentation of warrant issuance with a minimum of forms.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 of 20
MODULE PURPOSE To initiate a case in the municipal court by the temporary assignment of the arrest number when the defendant is released prior to the filing of a complaint			

MODULE FLOW



MODULE NARRATIVE

7 The defendant who is taken into custody on a warrant or for probable cause may be released prior to arraignment by posting cash bail or bond, through O.R. release handled by the jail, or by posting and forfeiting bail in lieu of fine.

Generally, if the defendant posts cash bail or bond when the court is not in session, the money or bond is accepted at the jail. The documents collected and a warrant (bank draft) for the cash received is forwarded to the court the next morning.

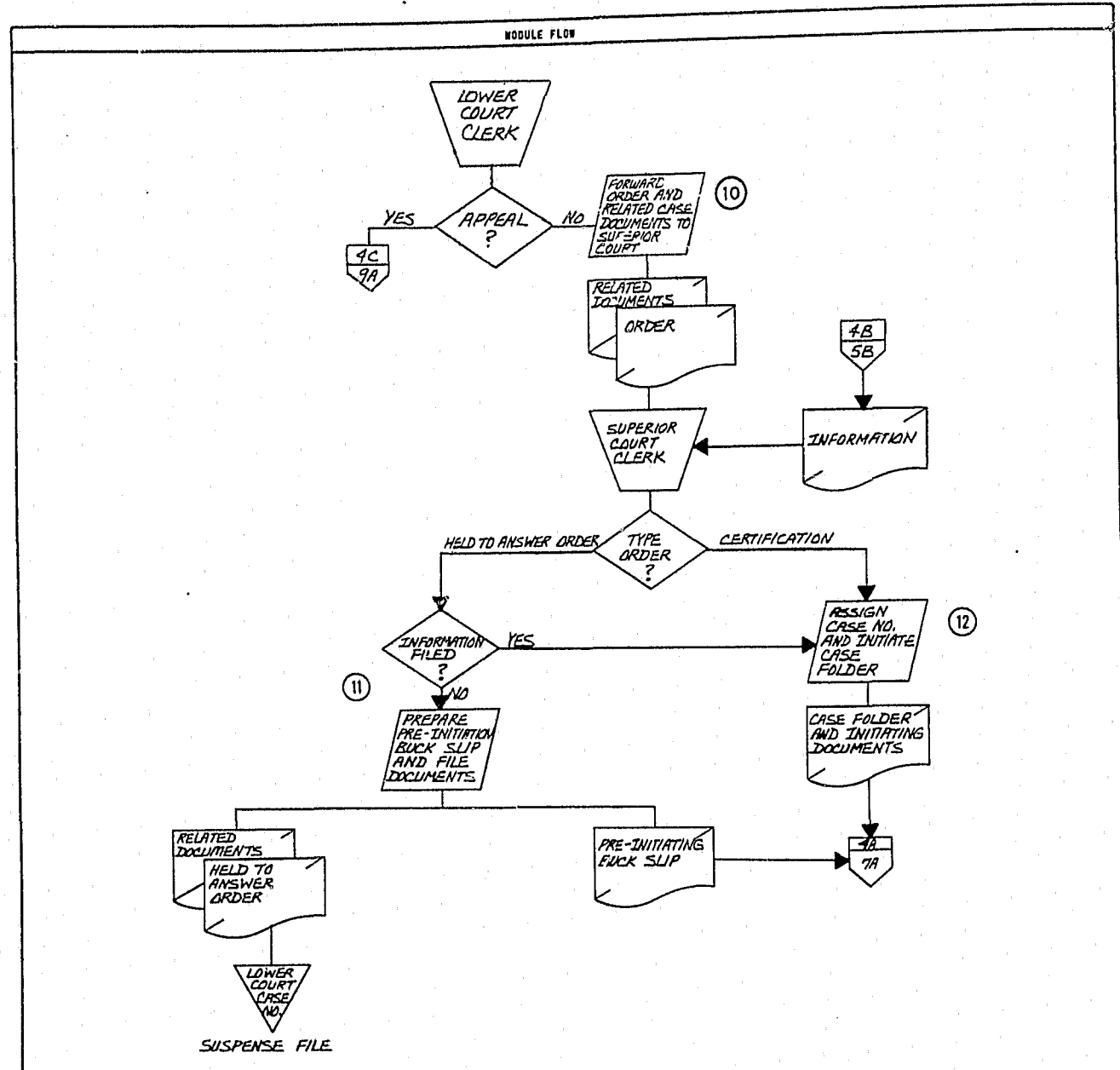
When the court is in session, bail is posted with the court and O.R. release is handled at arraignment.

8 As part of the pre-arraignment release process, the defendant's custody status is noted on the blotter.

9 If the bail, bond or O.R. release documents arrive prior to the filing of a complaint, the arrest number is assigned to these documents as their temporary case number. Otherwise, the case number is noted on the documents. These numbers will control entry into the automated system.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 of 20
MODULE PURPOSE To transfer jurisdiction on felony matters from the municipal to superior court on a certification, held to answer order or appeal			



10 The lower court clerk transfers felony and misdemeanor insanity matters to the superior court by forwarding selected documents from the case folder, in particular, the "held to answer" order or certification order. The "held to answer" order is located on the back of the complaint.

The certification orders are manually prepared also, but on separate forms. These orders include certifications on a plea of guilty, insanity phases of trials on misdemeanors, MDSO and narcotic addict certifications, and certifications when the judge expresses doubt as to the current mental status of the defendant (Section 1368 PC).

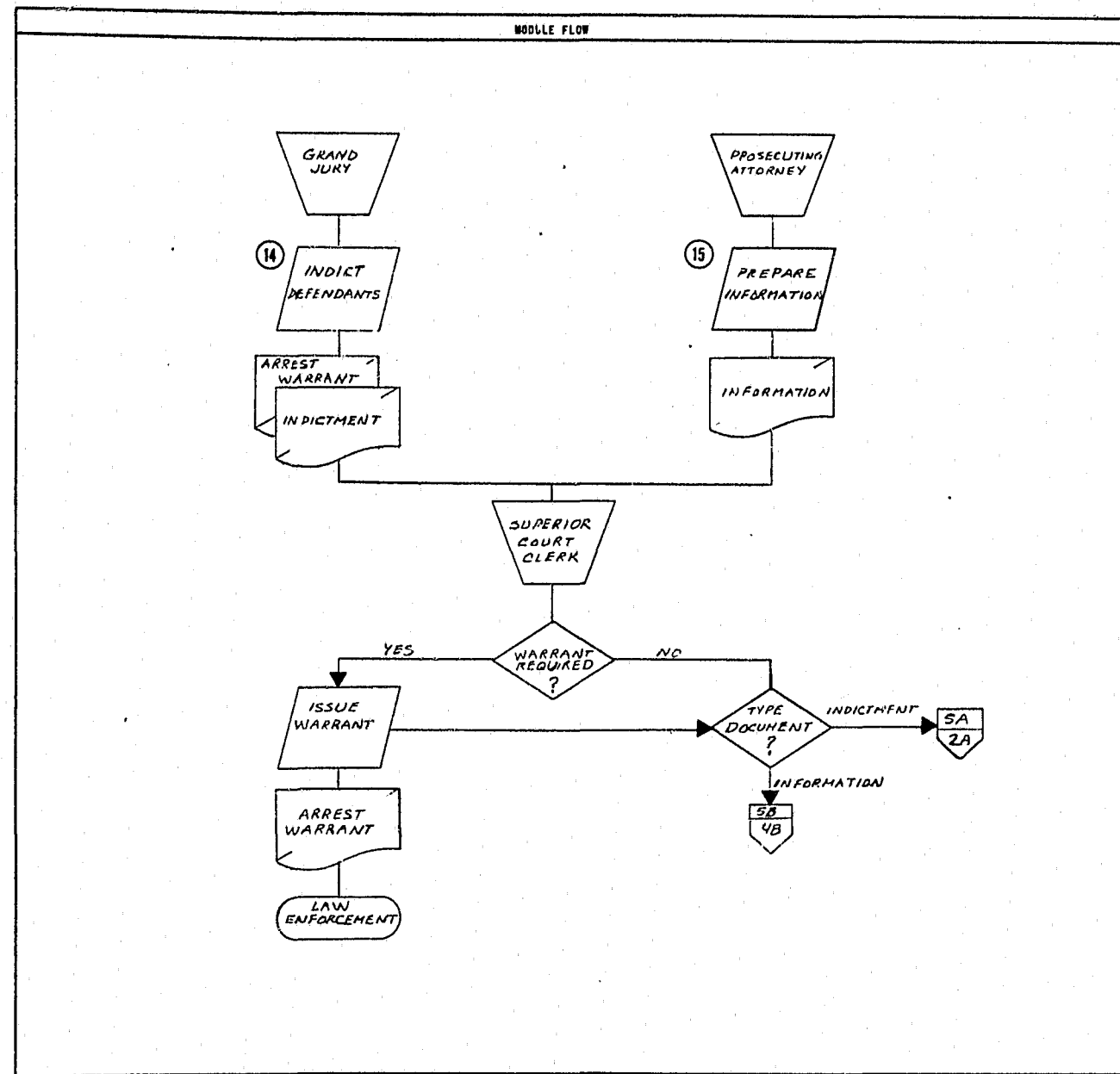
11 Cases bound over on a "held to answer" order are held in suspense until an Information is filed by the prosecuting attorney. To monitor the documents prior to the filing of an Information, a Pre-initiation Back Slip is completed

and entered into the computer. When an Information is filed, the lower court documents are retrieved from the Suspense File, a case number is assigned and a pre-numbered case folder is initiated. On the following day, a computer-printed case label will be attached to the case folder.

12 Cases transferred on a certification order are immediately assigned a case number and case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 of 20
MODULE PURPOSE To initiate cases in the superior court by the submittal of an indictment or information			

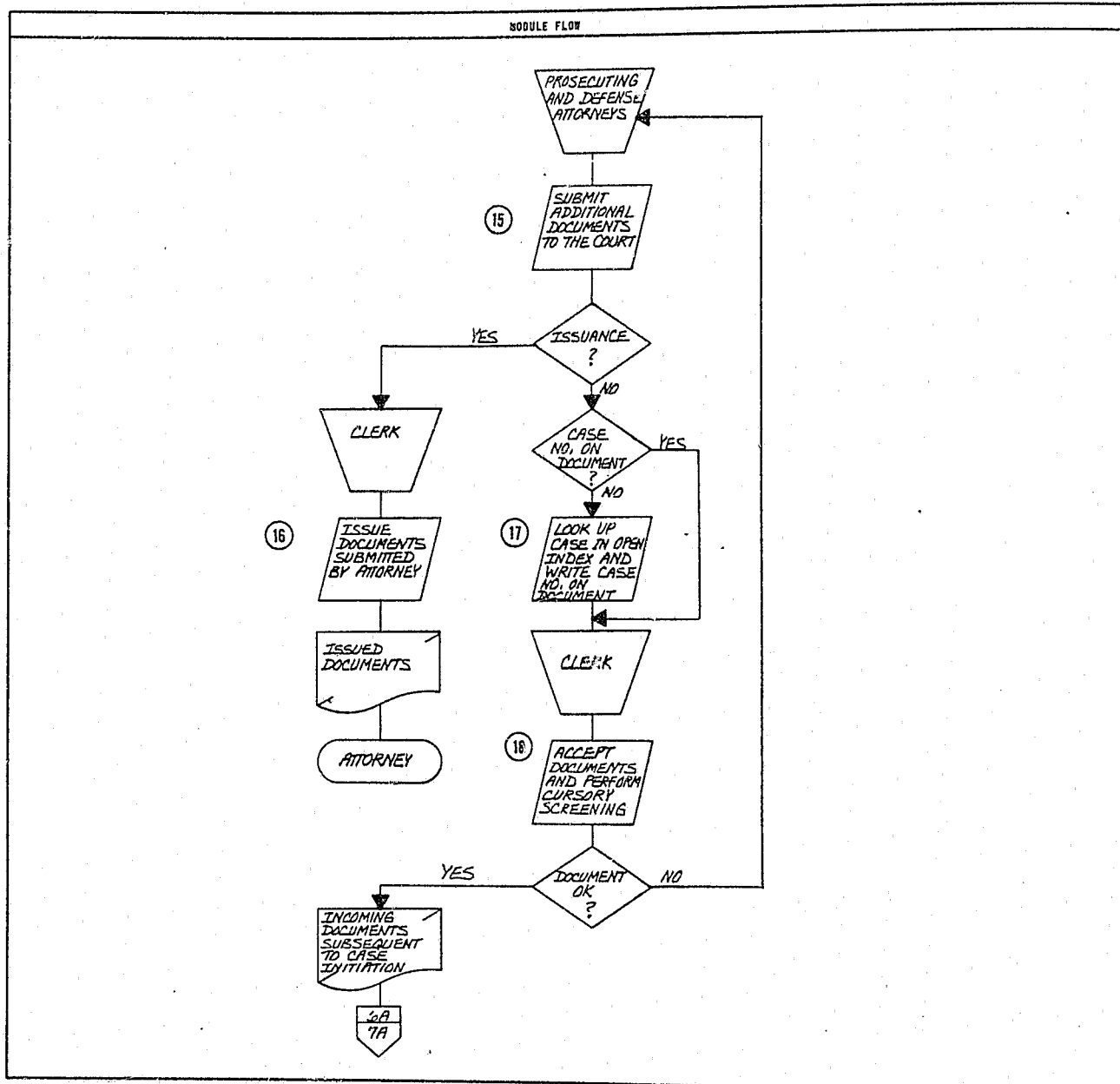


13 Cases may be also initiated in the superior court by a Grand Jury indictment. Indictments are generally brought against persons not presently in custody. Hence, a warrant of arrest is often issued at the time the indictment is filed.

14 An information must be filed by the prosecuting attorney in cases bound over on a "held to answer" order. In some instances, a warrant of arrest will be issued for the defendant, although custody status is generally carried over from the lower court proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 20
MODULE PURPOSE To accept documents from litigants and perform a cursory screening subsequent to case initiation, and to issue documents prepared by litigants			



MODULE NARRATIVE

15 Subsequent to initiation, additional documents may be filed by the litigants. These documents often include stipulations, pre-trial motions, and amended complaints.

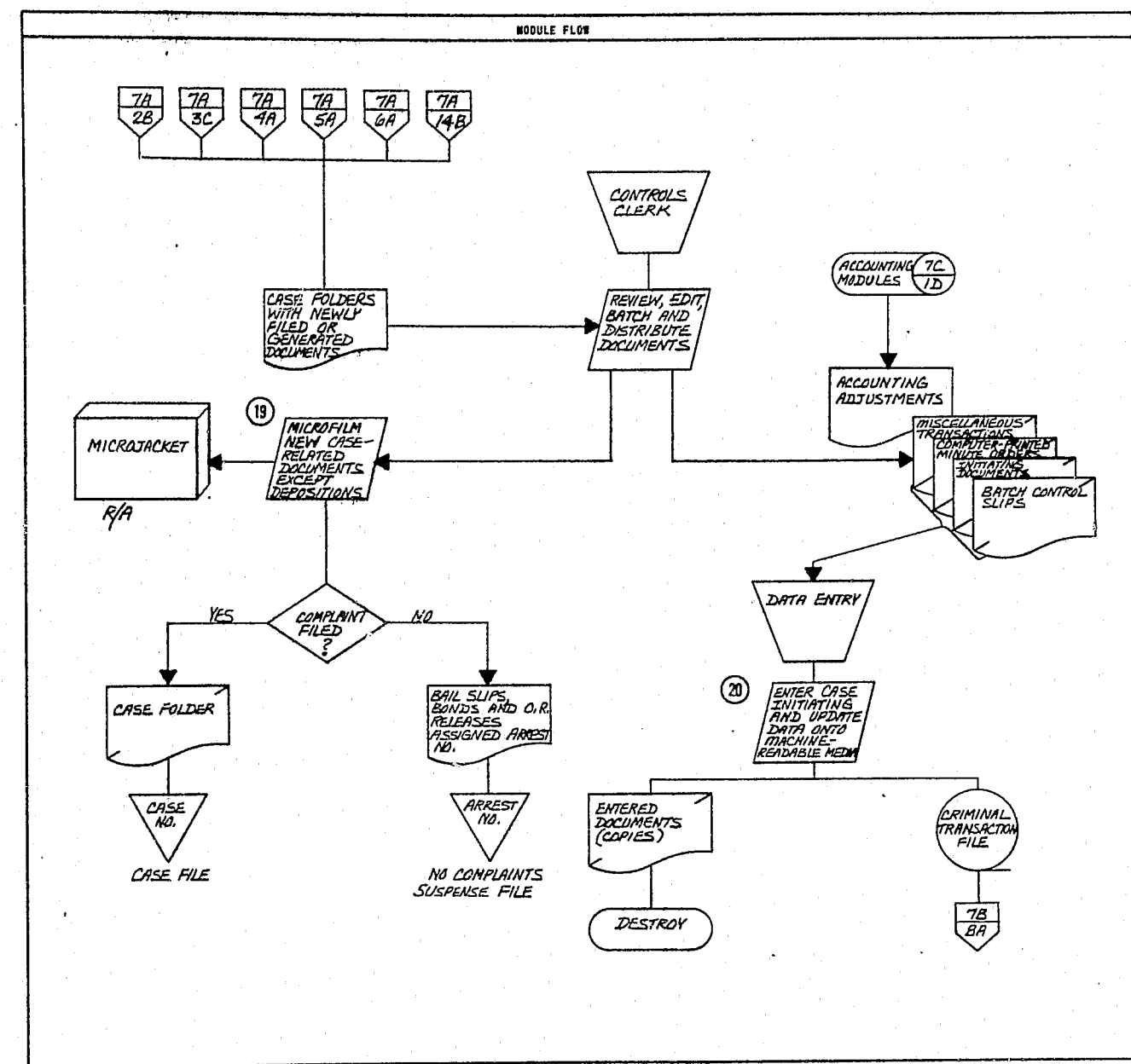
16 Documents, such as subpoenas, may be prepared by the litigants and issued by the court. Since the prosecuting attorney has his own subpoena powers, prosecution subpoenas are generally filed only to initiate contempt proceedings.

17 If a case number is unknown, it may be determined by referring to the Open Name Index, which lists all active cases in defendant's name sequence. The index, which is updated daily, provides a cross reference to the case number and summarizes case activity as well.

18 The accuracy of submitted documents rests with the submitter. The clerk, however, will perform a cursory screening for basic identifiers needed to locate the proper case folder, and to verify its association.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 20
MODULE PURPOSE To microfilm incoming and court-generated documents, to prepare machine-readable case data, and to store case-related documents			



MODULE NARRATIVE

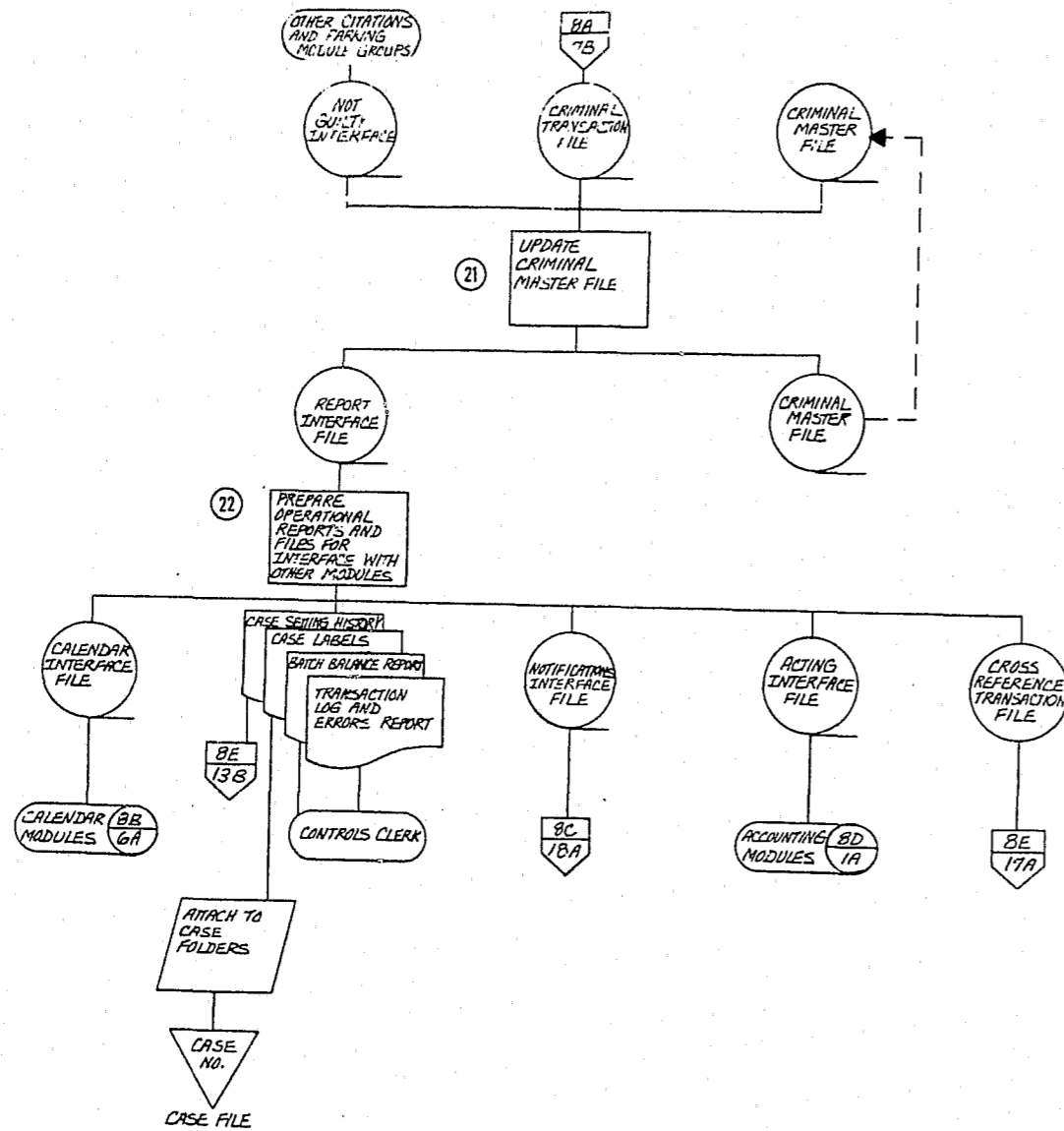
19 Case-related documents filed with the court or generated as part of the adjudicative process are microfilmed immediately. Microfilming is performed using microjackets. Each microjacket is identified and sequenced by case number. One film on each microjacket provides an index to the documents recorded on the card. The microjackets serve as the Register of Actions. Most inquiries will be directed at the Open Name Index, and therefore, the microjackets should have moderate to low usage. Large documents, such as depositions are not microfilmed (other than their first page) until the case documents are purged. With this exception, the microjackets serve as complete backup to the case folder and permit its destruction as soon as the law allows.

20 A limited amount of case-related information is entered in the computer. This data includes basic identifiers and case characteristics, custody status, bail and bond status, court actions taken (including court-ordered payments), events affecting the calendar, exhibit data, and current case status.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 20
MODULE PURPOSE Update Criminal Case File and prepare operational reports			

MODULE FLOW



MODULE NARRATIVE

21 A Criminal Master File is maintained containing all active criminal cases for the municipal and superior courts. This file contains case identifying, financial and calendaring data, and court activity and event data sequenced by case number. One record is generated per defendant but either individual, defendant or entire case-related updates can be made.

In addition, bail, bond and O.R. release records prior to complaint filing, and citation records of persons entering not guilty pleas are stored in this file under temporary control numbers until formal prosecution is initiated by the filing of a complaint. At that time, a permanent case number replaces the temporary control number.

22 Operational reports (other than indexes) and interface files are prepared from a temporary report interface file generated using a common sort key field.

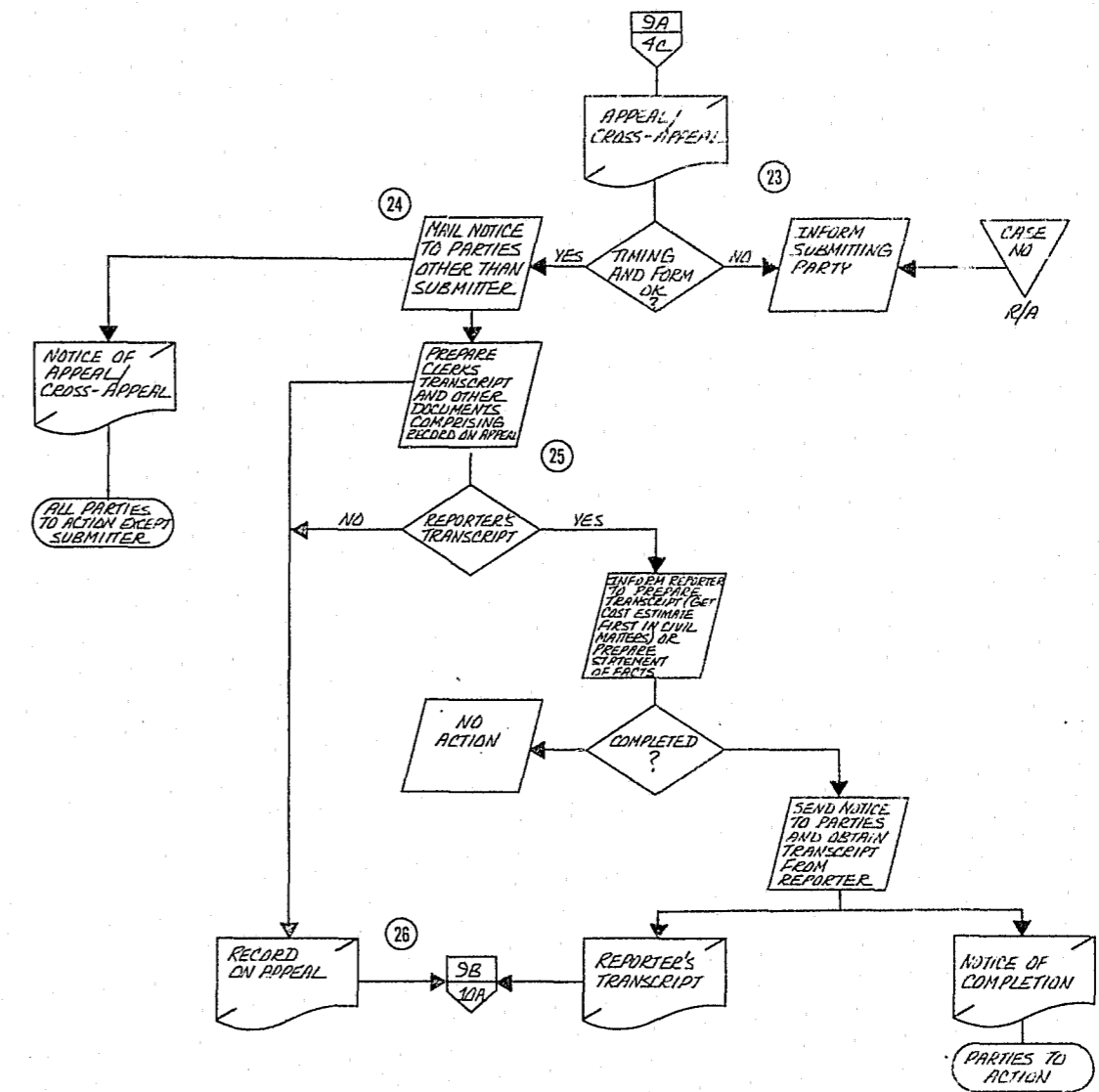
Events establishing, changing, or deleting calendar dates are communicated to the calendar modules on the Calendar Interface File.

Payments of fees and fines, establishment and updates to cash bail, bail bond and receivable accounts are communicated to the financial accounting modules on the Accounting Interface File.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 20
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			

MODULE FLOW



MODULE NARRATIVE

23 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actions to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)

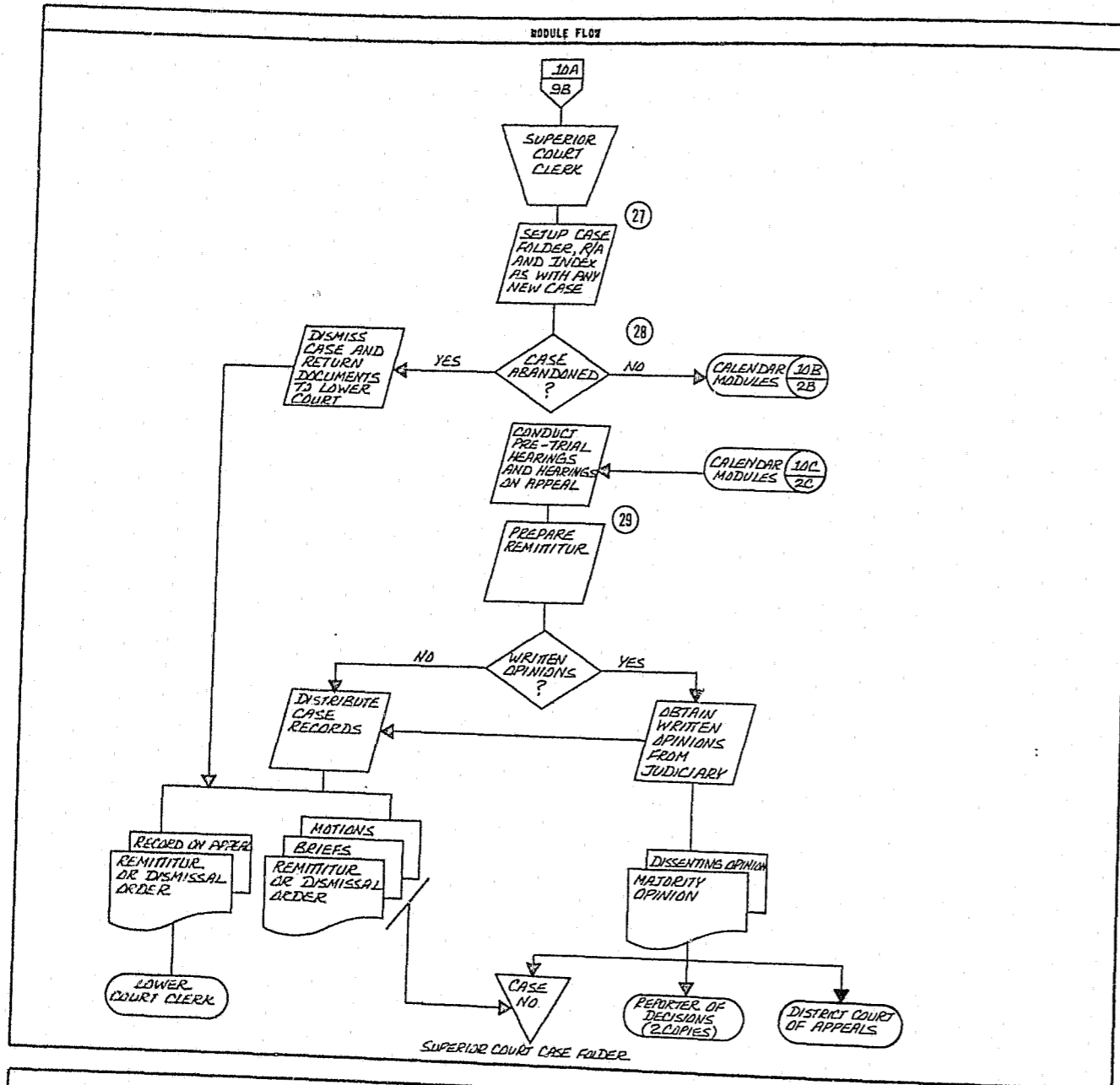
24 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.

25 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. A reporter's transcript or statement of facts is also prepared.

26 When the record on appeal has been completed in accordance with the Rules of Court, it is transferred to the superior court.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-1-022	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 10 OF 20
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

27 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

28 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

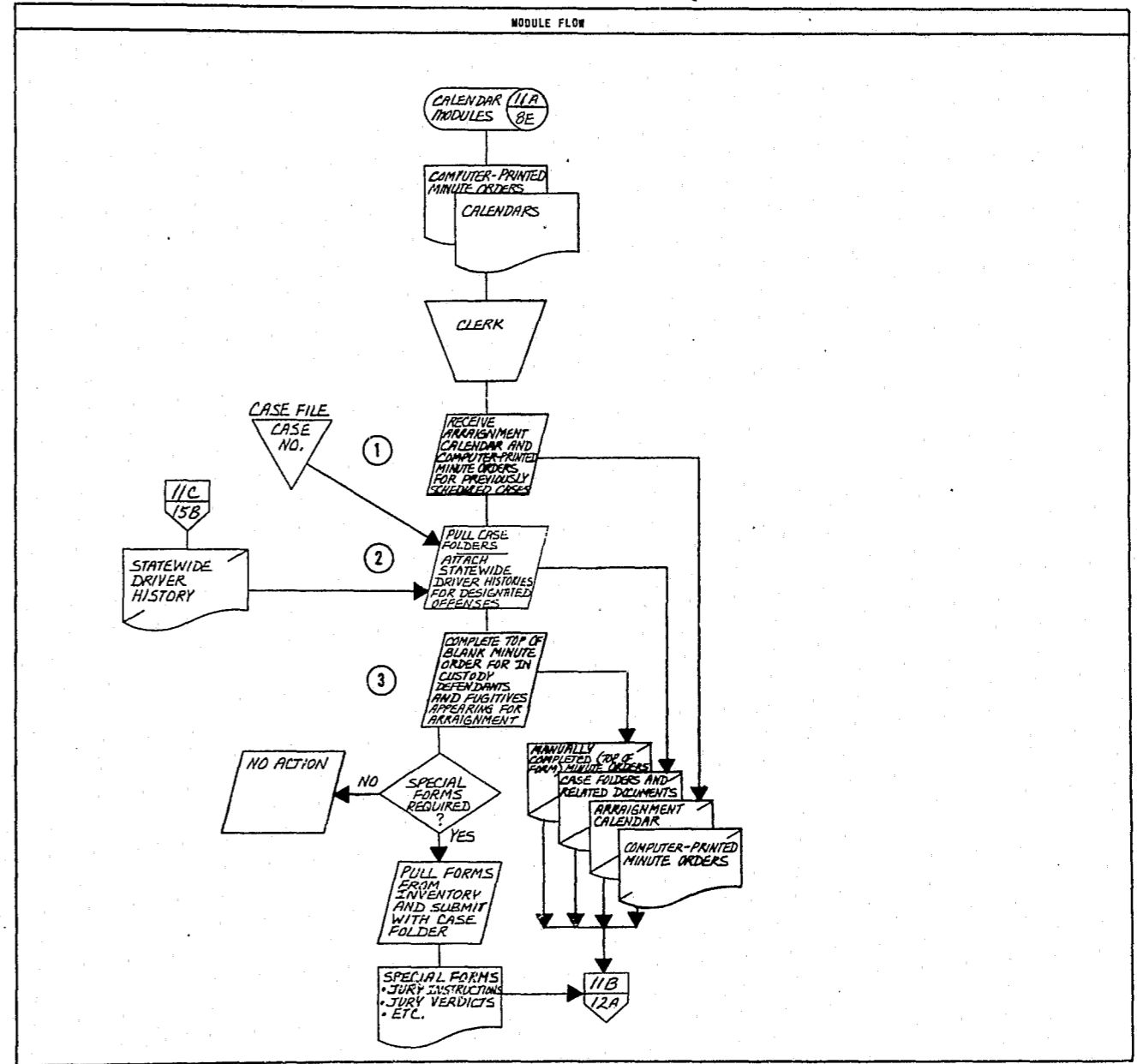
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

29 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-11-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 11 OF 20
MODULE PURPOSE To collect case folders for defendants scheduled for a court appearance, and to prepare minute orders for recording court proceedings			



MODULE NARRATIVE

1 The clerk receives daily calendars and computer-printed minute orders as outputs of the calendar modules. The top of each minute order form is completed by the computer and consists of case number, entitlement, attorney's names, other case identification data, and purpose of the court appearance.

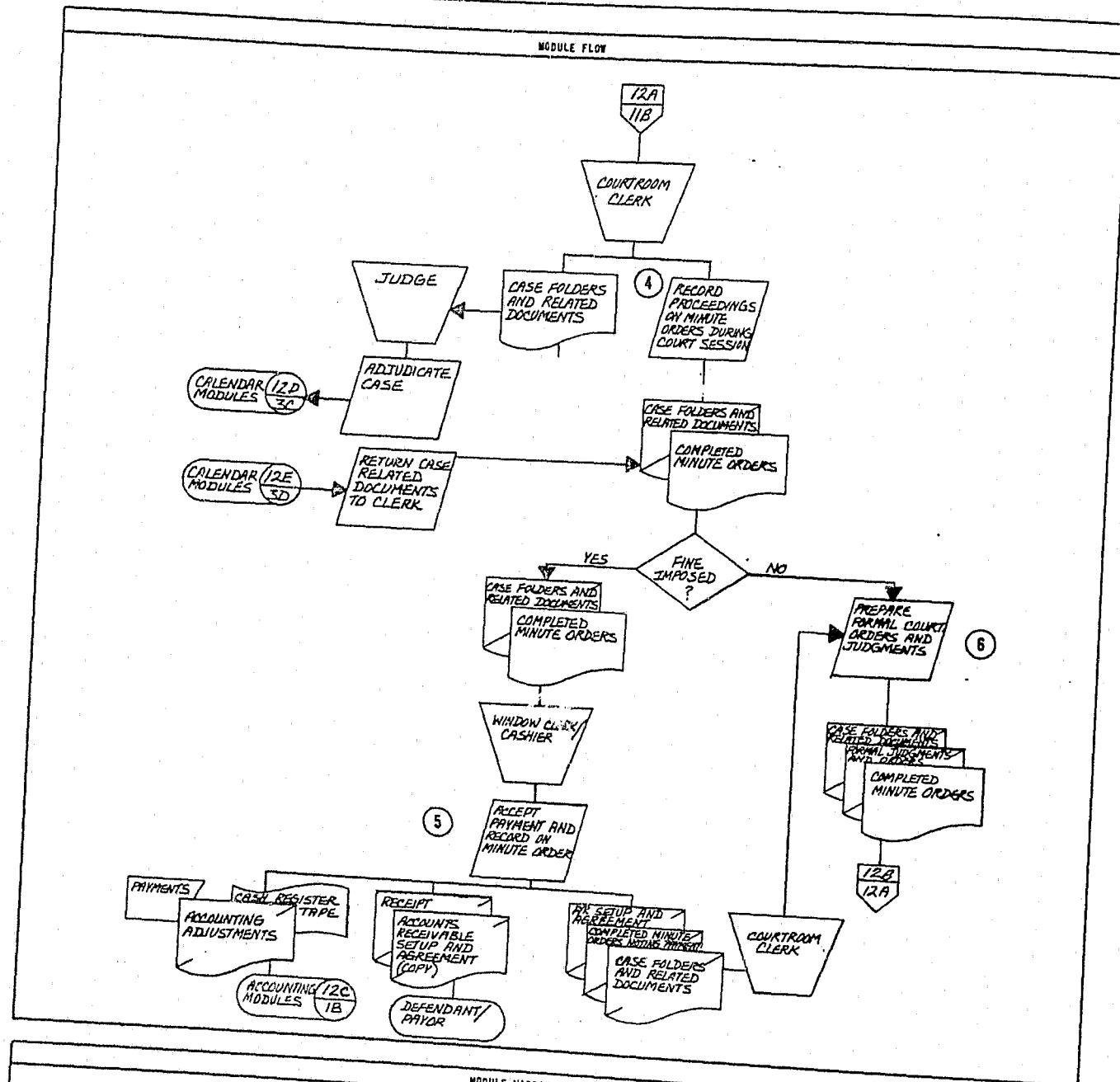
One computer-printed minute order form is prepared for each previously scheduled case.

2 The case folder for each entry on the calendar is pulled and the corresponding computer-printed minute order is attached.

3 In custody defendants are generally arraigned within 24 hours of arrest. Hence, for these cases, the top of the minute order form is manually completed and then attached to the corresponding case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-11-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 12 OF 20
MODULE PURPOSE To make recording of court proceedings on minute orders, and to accept payment for court-imposed fines			



MODULE NARRATIVE

④ The courtroom clerk calls the cases before the court from the calendar provided. Each case folder is given in turn to the judge for adjudication. The corresponding minute order is retained by the courtroom clerk for recording court proceedings.

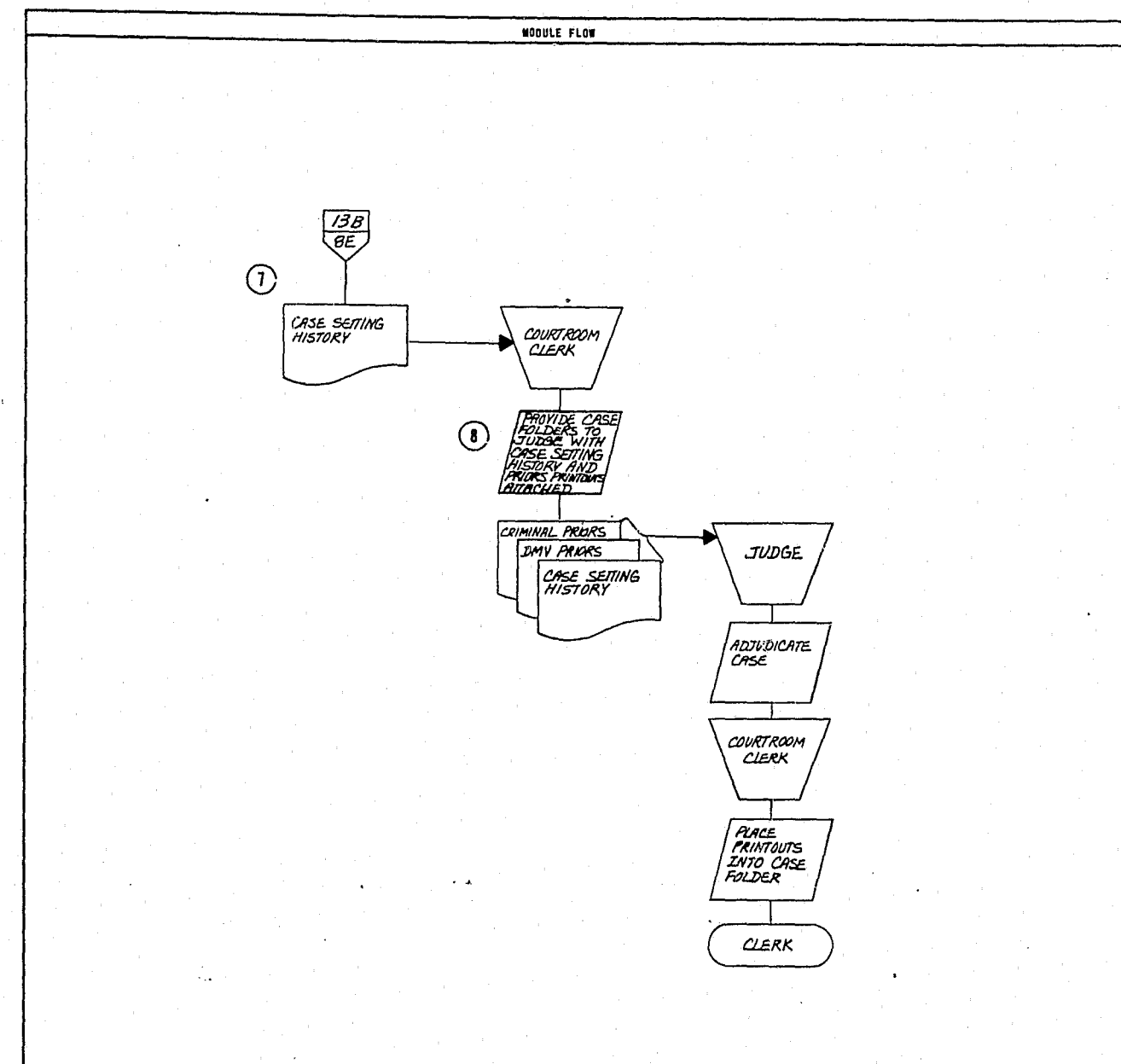
After adjudication, the case folder is returned to the courtroom clerk, who re-attaches the corresponding completed minute order.

⑤ If a single payment or installment fine is levied by the court, the defendant appears at the cashier. The cashier accepts payment, provides a receipt to the defendant, and validates the minute order in the cash register. If an installment account is required, an A/R Setup and Agreement Form is prepared and signed by the defendant. Installment payments are validated on this form as they are made.

⑥ Formal orders and judgments are prepared manually from information supplied on the minute order form.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-11-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 13 OF 20
MODULE PURPOSE To provide driver histories, criminal histories and case setting histories to the judiciary to facilitate improved calendar management, bail setting policies and sentencing			



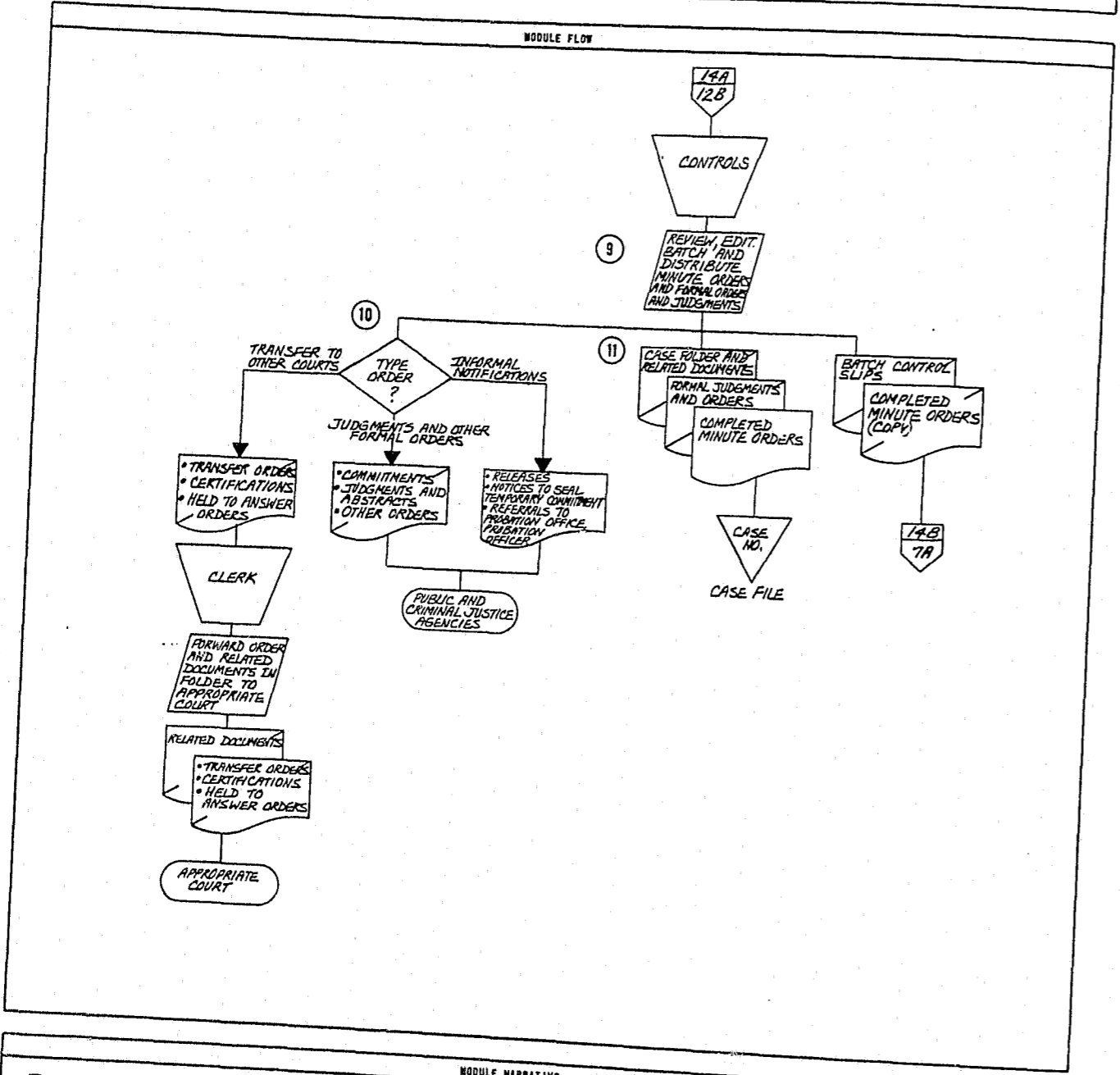
MODULE NARRATIVE

⑦ A Case Setting History is printed for each case scheduled for court. The history provides the judge with a summary of prior settings, the outcomes at each setting—and for continuances, the requesting party and a reason code.

⑧ The courtroom clerk attaches the Case Setting History to the front of the case folder. The priors printouts are provided to the judge as required during bail setting, O.R. release application or sentencing proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-11-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 14 of 20
MODULE PURPOSE To review, edit, batch and distribute minute orders, formal court orders and judgments resulting from court proceedings			



MODULE NARRATIVE

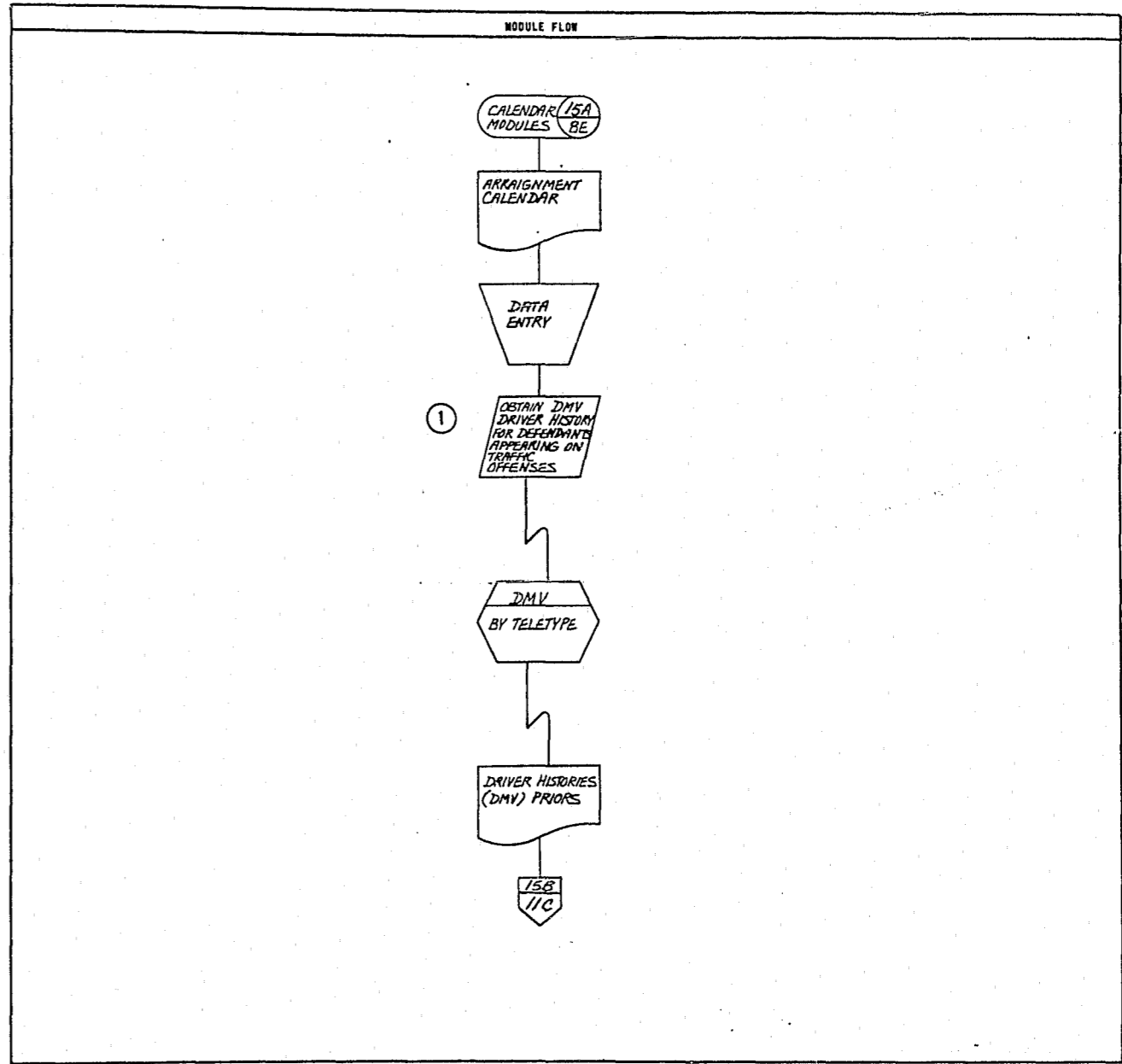
9 All minute orders, formal court orders and judgments are reviewed by a controls clerk who verifies accuracy, legibility and completeness.

10 Notifications to others are made in one of three ways. Informal notifications are made by detaching a copy of the minute order form and forwarding it to the appropriate agency. Where required, copies of formal orders and judgments are made and forwarded to the appropriate individual or agency. Orders transferring jurisdiction are made formally and are accompanied by appropriate case-related documents. Note that the "held to answer" order is completed on the back of the complaint.

11 The original of each document generated by the court is placed in the case folder after it is microfilmed. Minute orders will be designed to facilitate initial recording, and will not be typed onto a finished minute order form. This procedure will require due care by the courtroom clerks, particularly when completing the narrative portions of the form.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-15-192	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION Sequential Batch	PAGE 15 of 20
MODULE PURPOSE To retrieve statewide driver histories (DMV priors) for persons arraigned on a moving traffic offense			



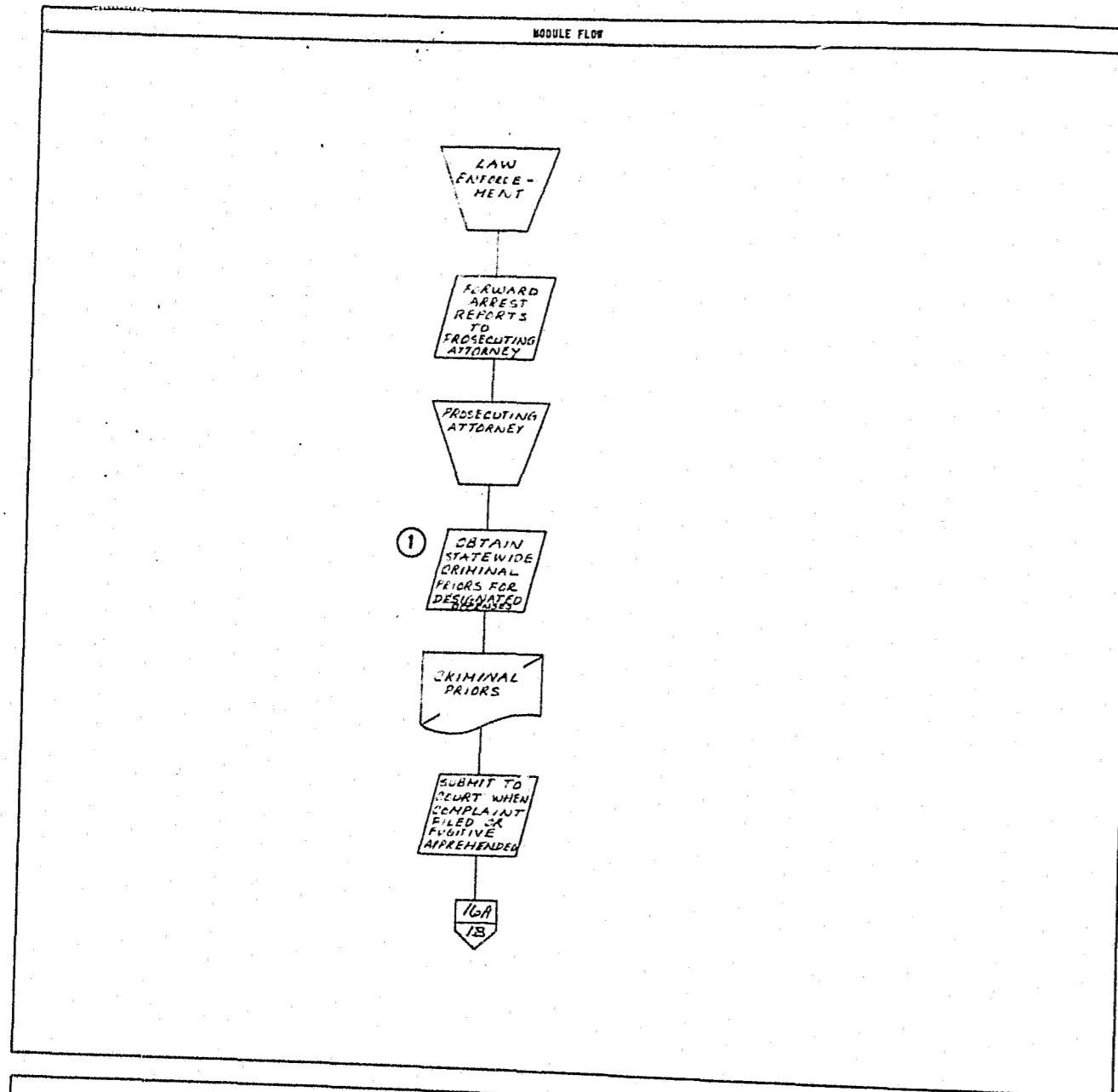
MODULE NARRATIVE

1 Driver history is retrieved by teletype for persons arrested on vehicle code violations.

The teletype operator prepares a punched paper tape of request records for B-5 printouts. The machine can then be operated with a minimal amount of clerical attention, as it automatically returns printed responses. Priority will be given to defendants remaining in custody since their cases could be adjudicated and disposed of during the morning arraignment session after arrest.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION (S-16-28)	MODULE NAME STATEWIDE CRIMINAL HISTORY RETRIEVAL	LEVEL OF AUTOMATION Sequential Batch	PAGE 16 OF 20
MODULE PURPOSE To obtain statewide criminal histories (criminal priors) for persons arraigned on serious misdemeanor and felony offenses			



MODULE NARRATIVE

① The Prosecuting Attorney should be responsible for obtaining statewide criminal history for serious misdemeanor and felony offenses. He may rely upon law enforcement staff, files and/or communications facilities. When a person is arrested on a serious misdemeanor or felony charge (except CVC violations), the jail prepares an identification card containing the defendant's fingerprints and personal description. This card is forwarded by mail to the Bureau of Identification for retrieval of a statewide criminal history form known as a Rap Sheet.

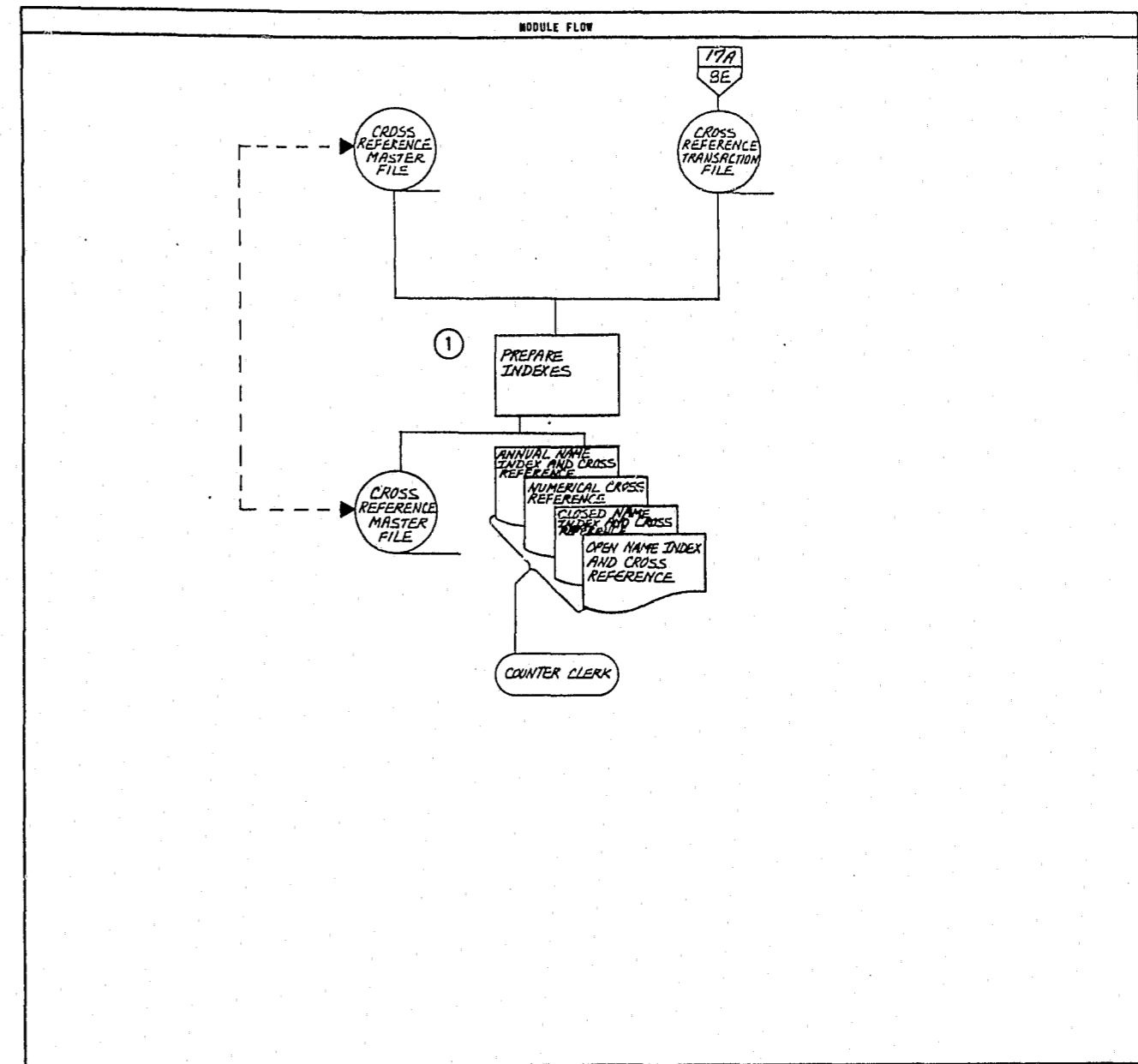
The courts need a criminal history printout of prior convictions, outstanding warrants, pending cases and current conditions of parole or probation in order to set bail, determine O.R. release, and to properly sentence. This printout should be formatted in a concise, easily understood manner.

In the years to come, many larger law enforcement agencies will have facsimile transmission equipment so that up-to-date data can be made quickly available to the courts and the Prosecuting Attorney.

In lieu of this up-to-date printout, the courts may utilize a previous Rap Sheet supplemented by a summarized CJIS criminal history printout retrieved by teletype. This form of criminal history would be most useful for bail hearings, and for adjudication of misdemeanor cases disposed of at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-17-081	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 17 OF 20
MODULE PURPOSE To prepare alphabetic and numerical indexes to the case number which will assist in locating case-related information, and which will provide a concise summary and status of case legal and processing history			



MODULE NARRATIVE

① The four indexes shown are prepared by the Cross Reference Module.

The Open Name Index is prepared daily. It provides a listing, in alphabetic sequence, of all active criminal cases. Each case entry consists of the defendant's name and a concise history of prior court actions, current case status and future court dates set. In addition, a column on the listing provides a sequential cross reference of case number to corresponding alphabetic entry. Hence, a summary of case activity can be accessed on the same report by either defendant's name (including AKA's) or case number.

The Closed Name Index is in identical format, but is prepared less frequently, and contains cases disposed of during the period (probably monthly).

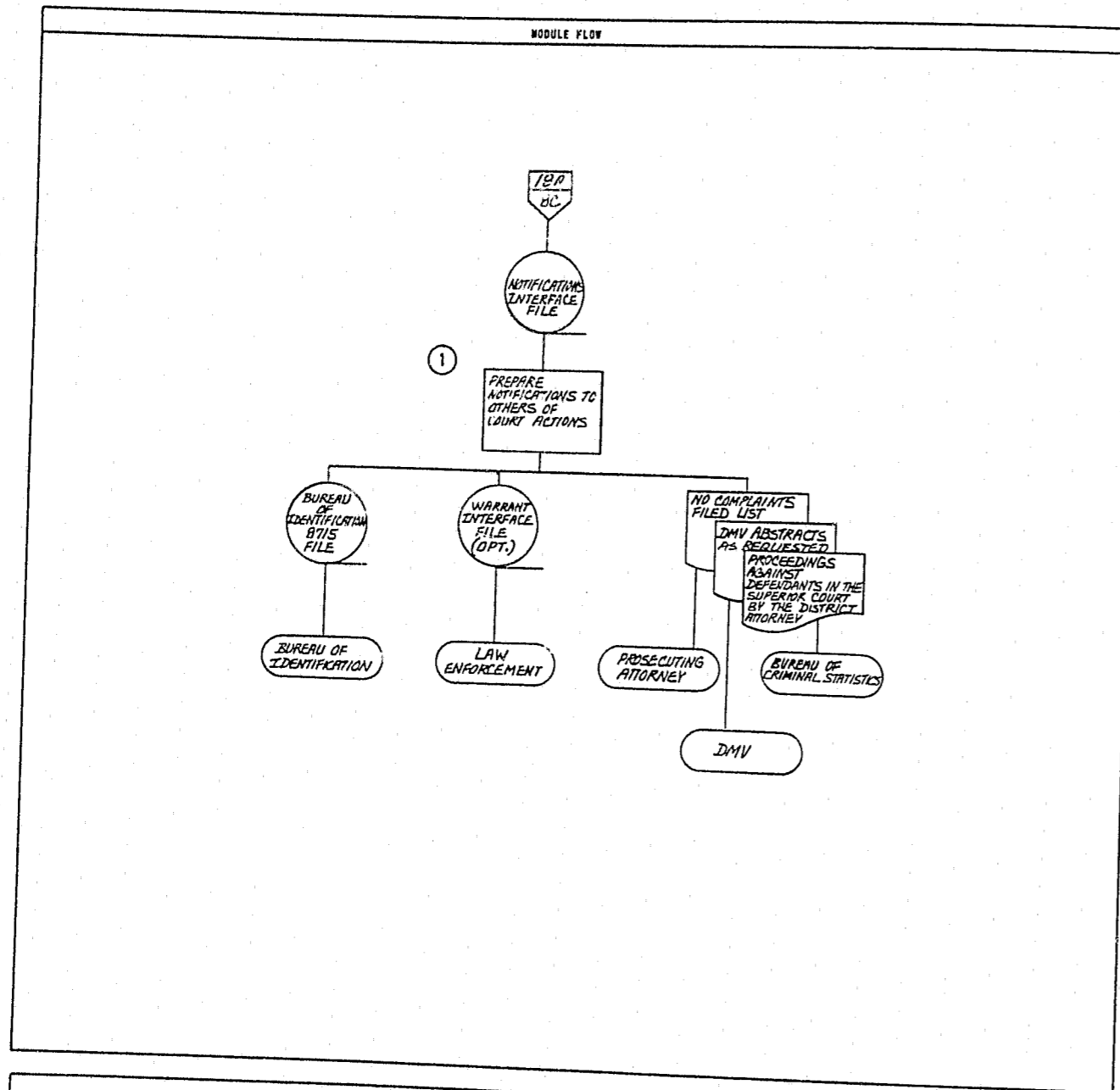
The Annual Name Index is in identical format, but is prepared annually, and contains all cases filed during the calendar year.

The Numerical Cross Reference consists of columns of other agency identification numbers arranged numerically by the corresponding case number. These columns consist of:

- Prosecuting Attorney Case Number
- Public Defender Case Number
- Probation Office Case Number
- Warrant Number
- Citation Number
- Arrest Number
- Consolidated Case Cross Reference.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-18-111	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 18 of 20
MODULE PURPOSE To prepare direct disposition reports and felony filing statistics to the Department of Justice, abstracts to DMV, and case monitoring reports to the prosecuting attorney			



MODULE NARRATIVE

1 The Notifications Module prepares the outputs shown.

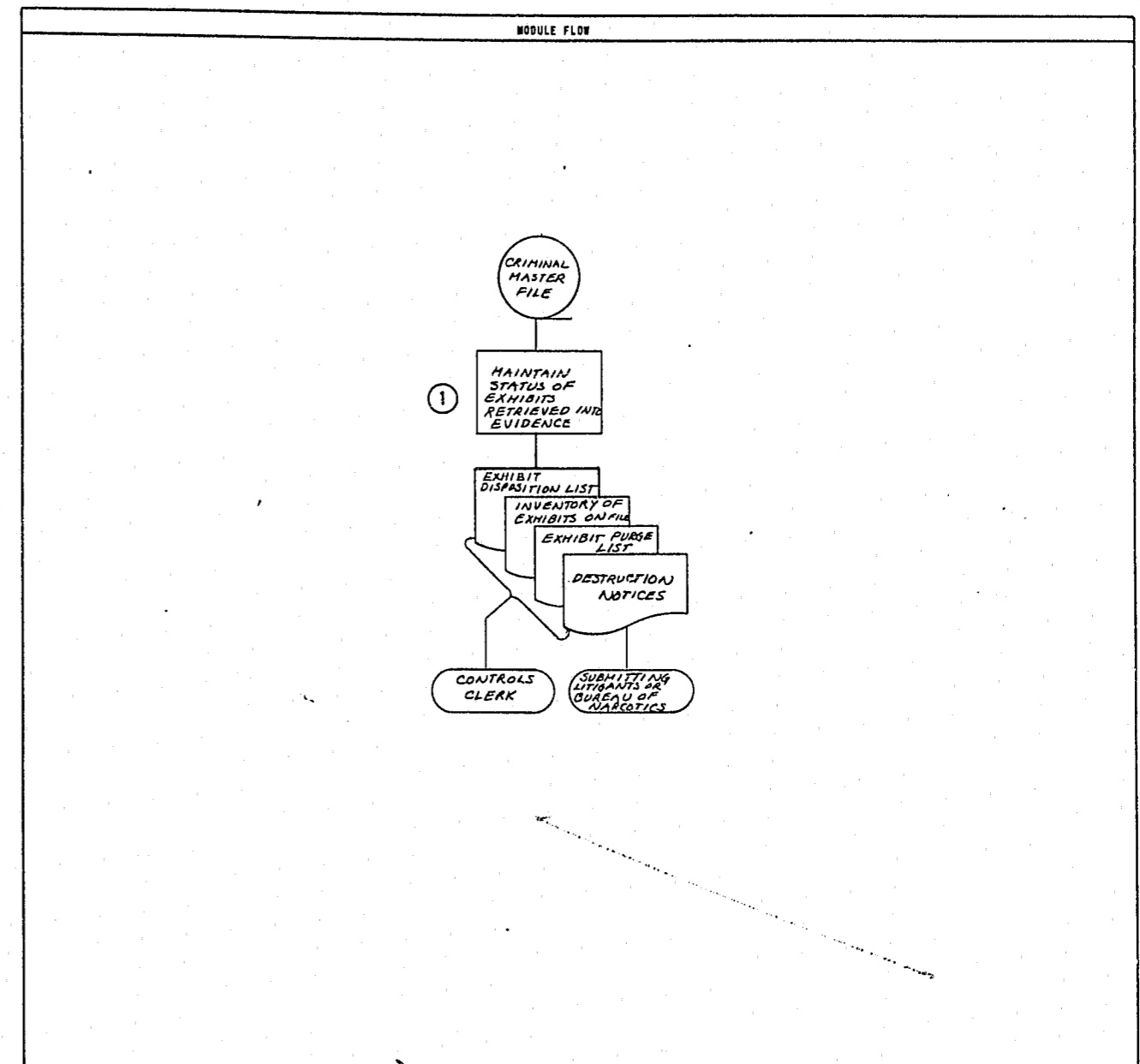
The B18715 file is a magnetic tape containing arrest disposition data previously prepared manually on CII 15 forms. This file will be mailed to the Bureau of Identification, and then returned after the data is transferred to their files. The BI 8715 file obviates both the manually prepared CII 15 report forms and the BCS felony statistics reports.

A BCS proceedings report (form JUS701) is prepared by the court for the district attorney.

A No Complaints Filed List will also be prepared for the Prosecuting Attorney to inform him of impending dismissals (re: Section 1382 P.C.) for lack of filing an information, or instances where a defendant has been released prior to arraignment but no complaint has been filed.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-19-321	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Sequential Batch	PAGE 19 of 20
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence			



MODULE NARRATIVE

1 Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown.

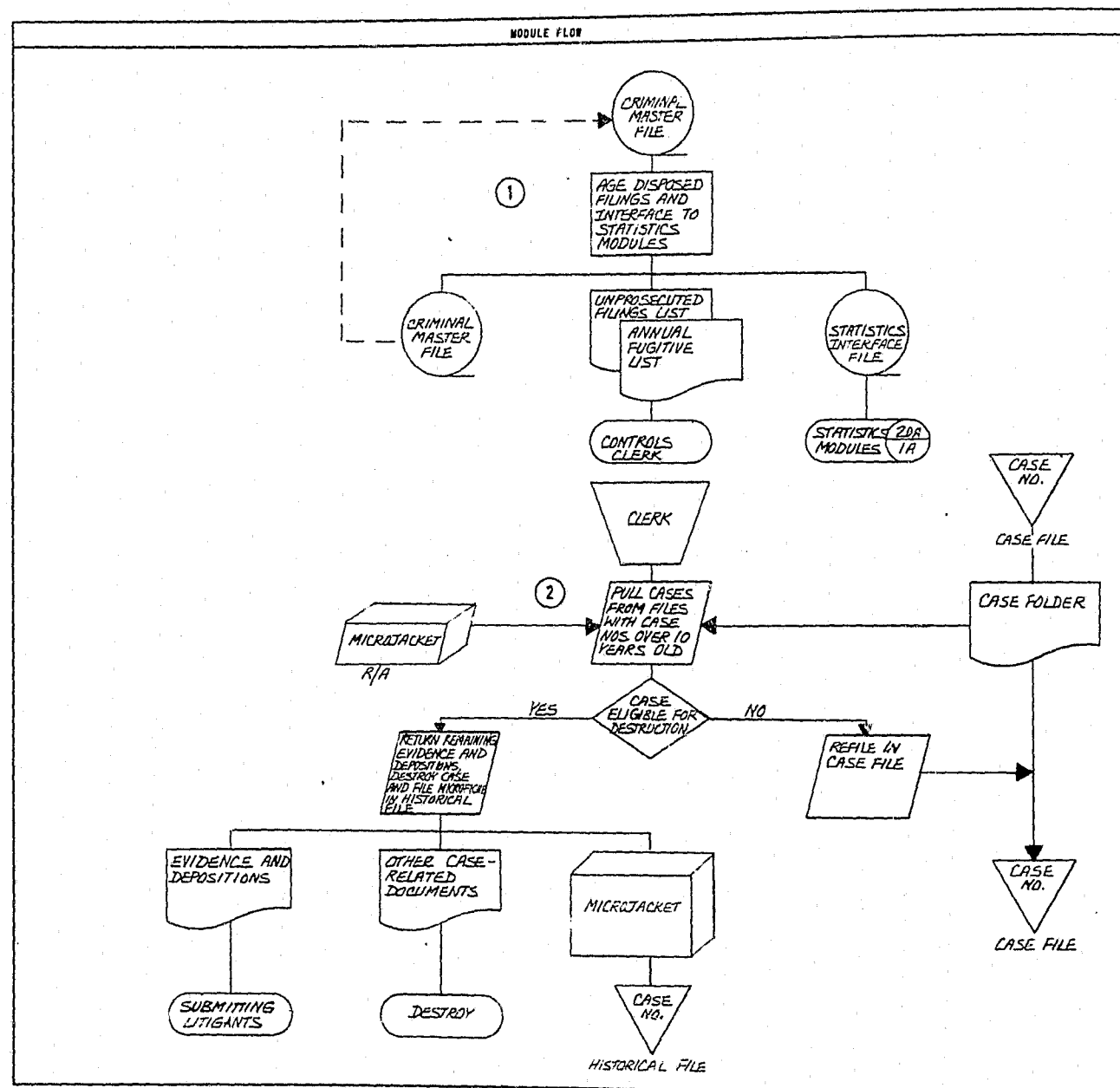
Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and an indication of whose exhibit it is (i.e., people's, defendant's).

Exhibits ready for destruction are listed on the Exhibit Purge List. Destruction Notices are also prepared to inform the exhibit's owners of impending destruction or transfer to the county. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court.

The final disposition of each item is recorded on the Inventory Disposition List.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CS-20-142	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 20 OF 20
MODULE PURPOSE To remove disposed of filings, to generate an interface to the statistics modules, and to prepare purging control reports			



FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

MODULE NARRATIVE

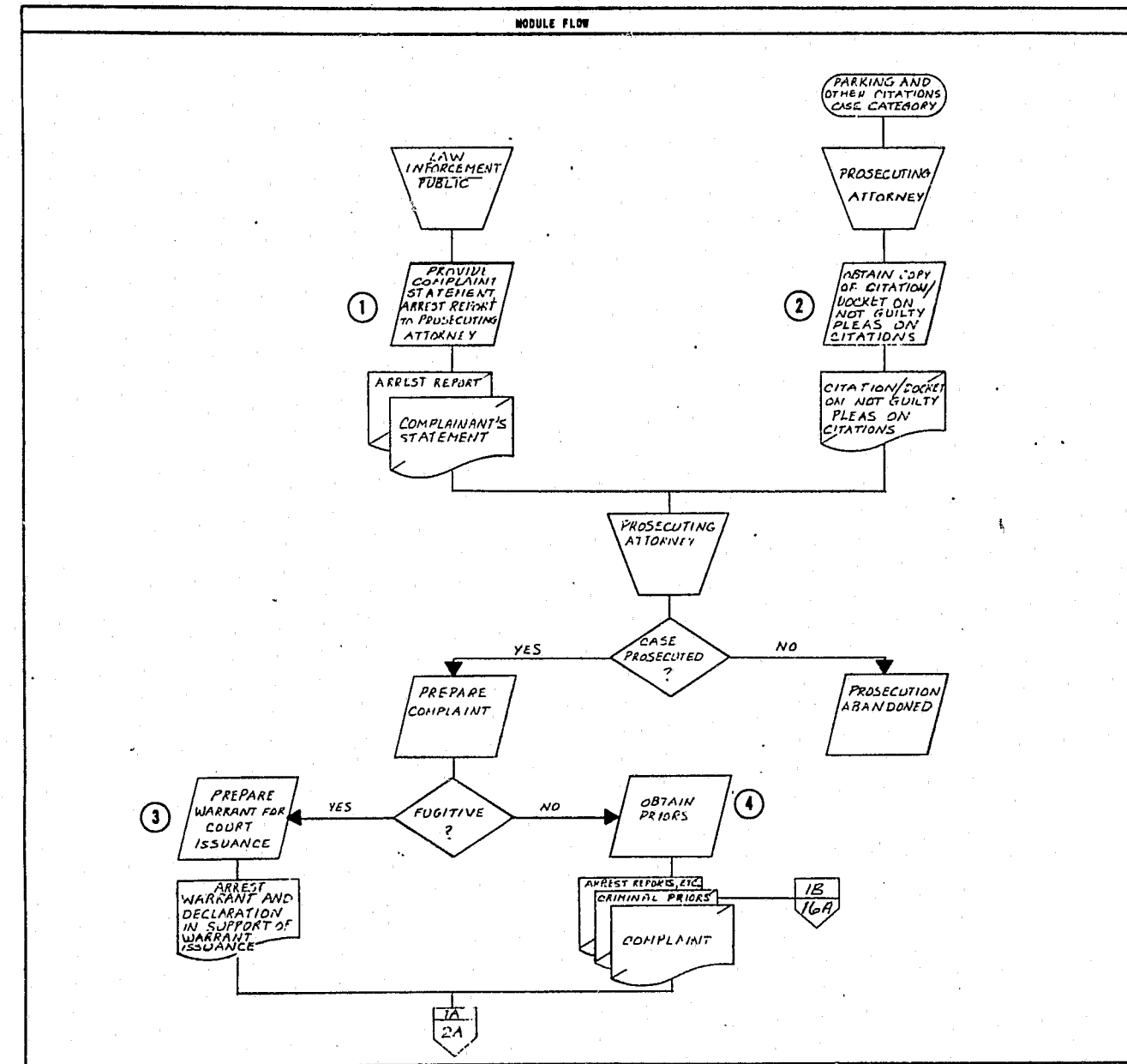
① The Aging and Purging Module removes cleared cases from the Criminal Master File. A cleared case is one that has been disposed of through court action, or that consists of a warrant and complaint that is outstanding for more than one year. Annually these "fugitive" filings are removed from the Criminal Case File and listed on the Annual Fugitive List.

Hence, any case removed from the Criminal Master File must be printed on either the Closed Name Index (see Cross Reference module) or the Annual Fugitive List.

② Cases that can be destroyed according to statute are purged, any remaining evidence or depositions are returned and the microjacket case backup is placed in the historical file.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 1 OF 20
MODULE PURPOSE To initiate cases in the municipal court by the filing of an arrest warrant and/or criminal complaint			



MODULE NARRATIVE

① The prosecuting attorney generally initiates cases in the municipal court by the filing of a complaint. The complaint process is initiated by a statement by the complainant, who may be either a peace officer or a private citizen.

The defendant may be arrested on either probable cause or a warrant. Hence, an arrest report is most often filed with the complaint and the Complainant's statement.

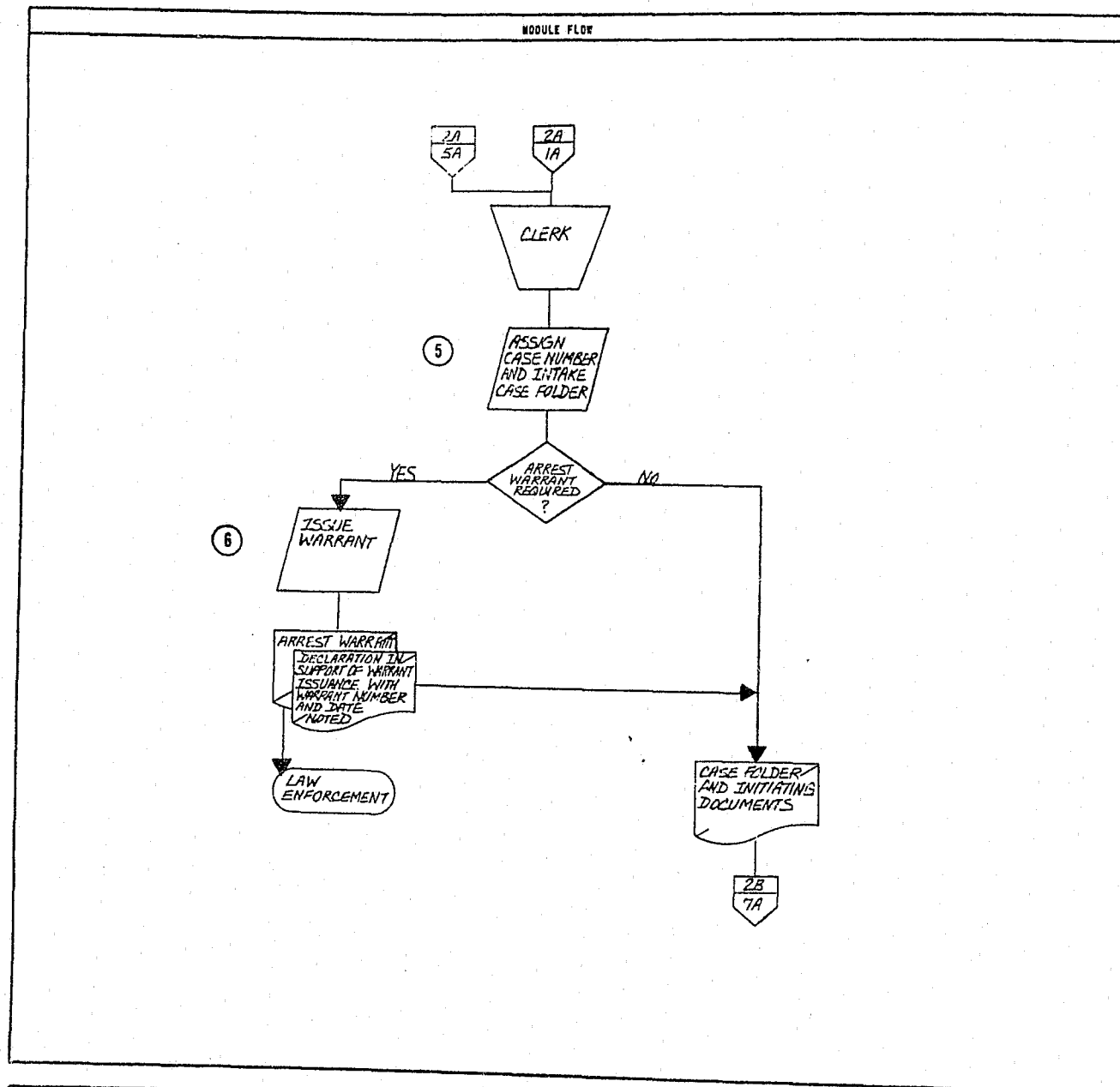
② Cases initiated through the citation process are prosecuted in this case category if the prosecuting attorney chooses to file a complaint (e.g., petty theft with prior convictions) and/or the defendant enters a not guilty plea. For minor traffic offenses, the citation may serve as the complaint if it is a Judicial Council approved form.

③ If the defendant is a fugitive a warrant is prepared by the prosecuting attorney along with declaration supporting its issuance.

④ The prosecuting attorney will be responsible for obtaining statewide criminal history on serious misdemeanor and all felony charges. Usually, criminal history is obtained through the mails from DOJ since fingerprints are required for a positive identification. A teletype short form abstract and/or previously retrieved criminal history printout may be used for bail setting, or for sentencing when conducted at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 2 of 20
MODULE PURPOSE To initiate cases in the municipal court by the submittal of an arrest warrant and/or criminal complaint or in superior court by an indictment			



MODULE NARRATIVE

5 A case is initiated by the assignment of a court-controlled case number and the preparation of a case folder. The folders are pre-numbered. A computer-printed label will be attached to the folder on the day following case initiation.

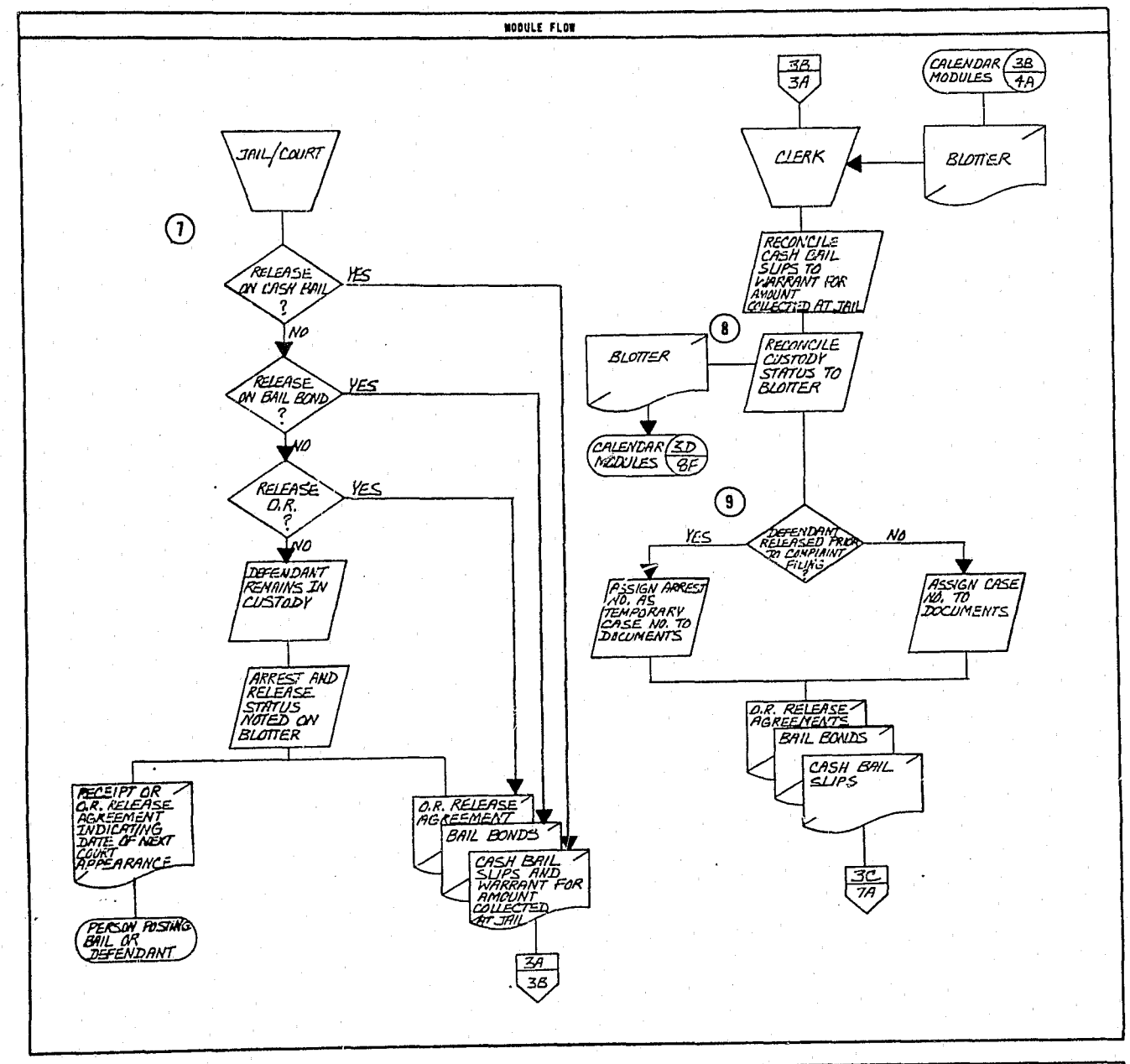
A case can be initiated only by the filing of a complaint (or citation in lieu of complaint). No case-related documents can be accepted unless accompanied by, or preceded by, a complaint (except bail slips or bail bonds).

6 Warrants are prepared by the prosecuting attorney, signed by a judge and issued by the court.

The warrant number and date of issuance are noted on the declaration in order to provide documentation of warrant issuance with a minimum of forms.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 3 of 20
MODULE PURPOSE To initiate a case in the municipal court by the temporary assignment of the arrest number when the defendant is released prior to the filing of a complaint			



MODULE NARRATIVE

1 The defendant who is taken into custody on a warrant or for probable cause may be released prior to arraignment by posting cash bail or bond, through O.R. release handled by the jail, or by posting and forfeiting bail in lieu of fine.

Generally, if the defendant posts cash bail or bond when the court is not in session, the money or bond is accepted at the jail. The documents collected and a warrant (bank draft) for the cash received is forwarded to the court the next morning.

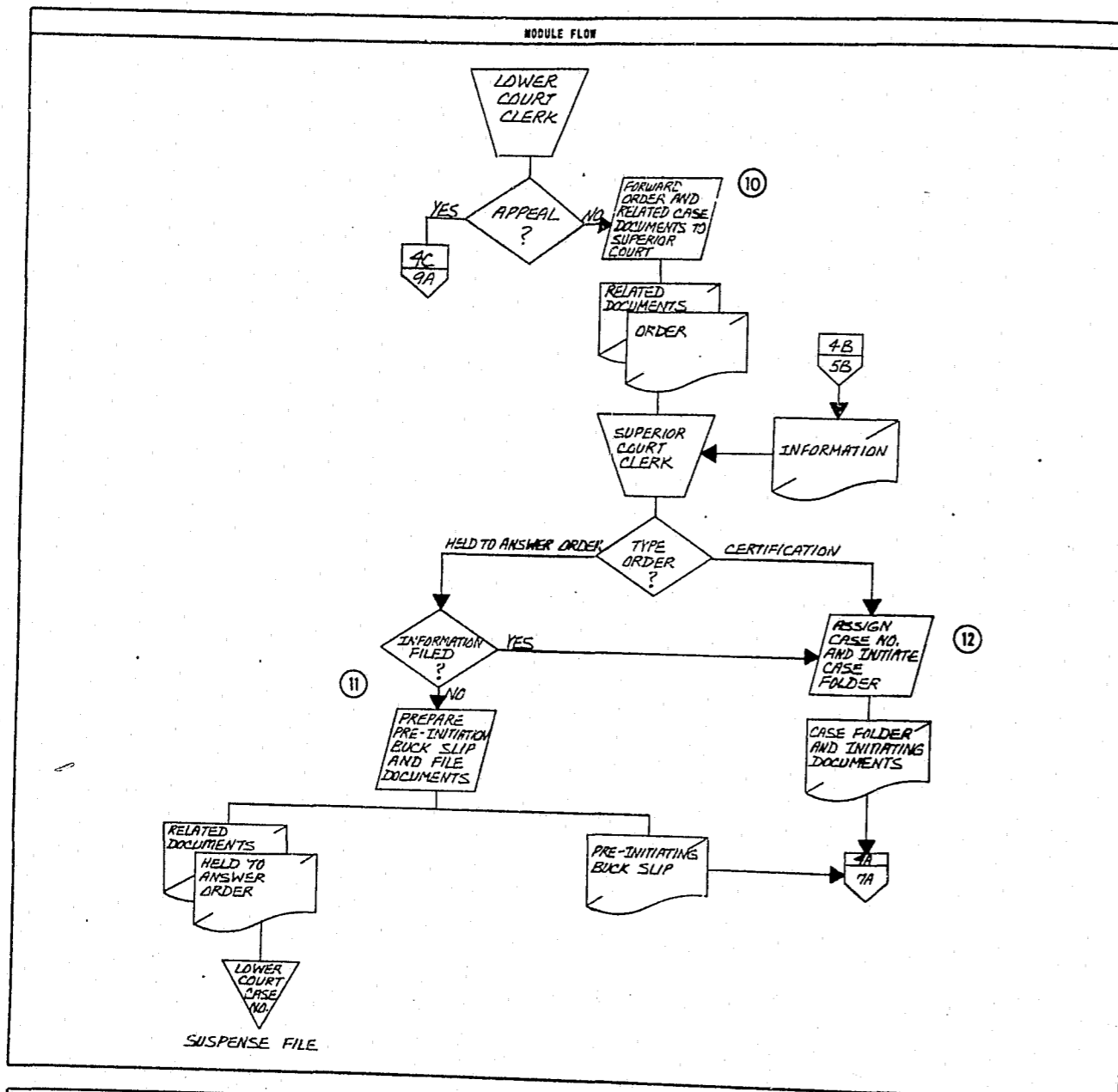
When the court is in session, bail is posted with the court and O.R. release is handled at arraignment.

8 As part of the pre-arraignment release process, the defendant's custody status is noted on the blotter.

9 If the bail, bond or O.R. release documents arrive prior to the filing of a complaint, the arrest number is assigned to these documents as their temporary case number. Otherwise, the case number is noted on the documents. These numbers will control entry into the automated system.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 4 of 20
MODULE PURPOSE To transfer jurisdiction on felony matters from the municipal to superior court on a certification held to answer order, or appeal.			



MODULE NARRATIVE

10 The lower court clerk transfers felony and misdemeanor insanity matters to the superior court by forwarding selected documents from the case folder, in particular, the "held to answer" order or certification order. The "held to answer" order is located on the back of the complaint.

The certification orders are manually prepared also, but on separate forms. These orders include certifications on a plea of guilty, insanity phases of trials on misdemeanors, MDSO and narcotic addict certifications, and certifications when the judge expresses doubt as to the current mental status of the defendant (Section 1368 PC).

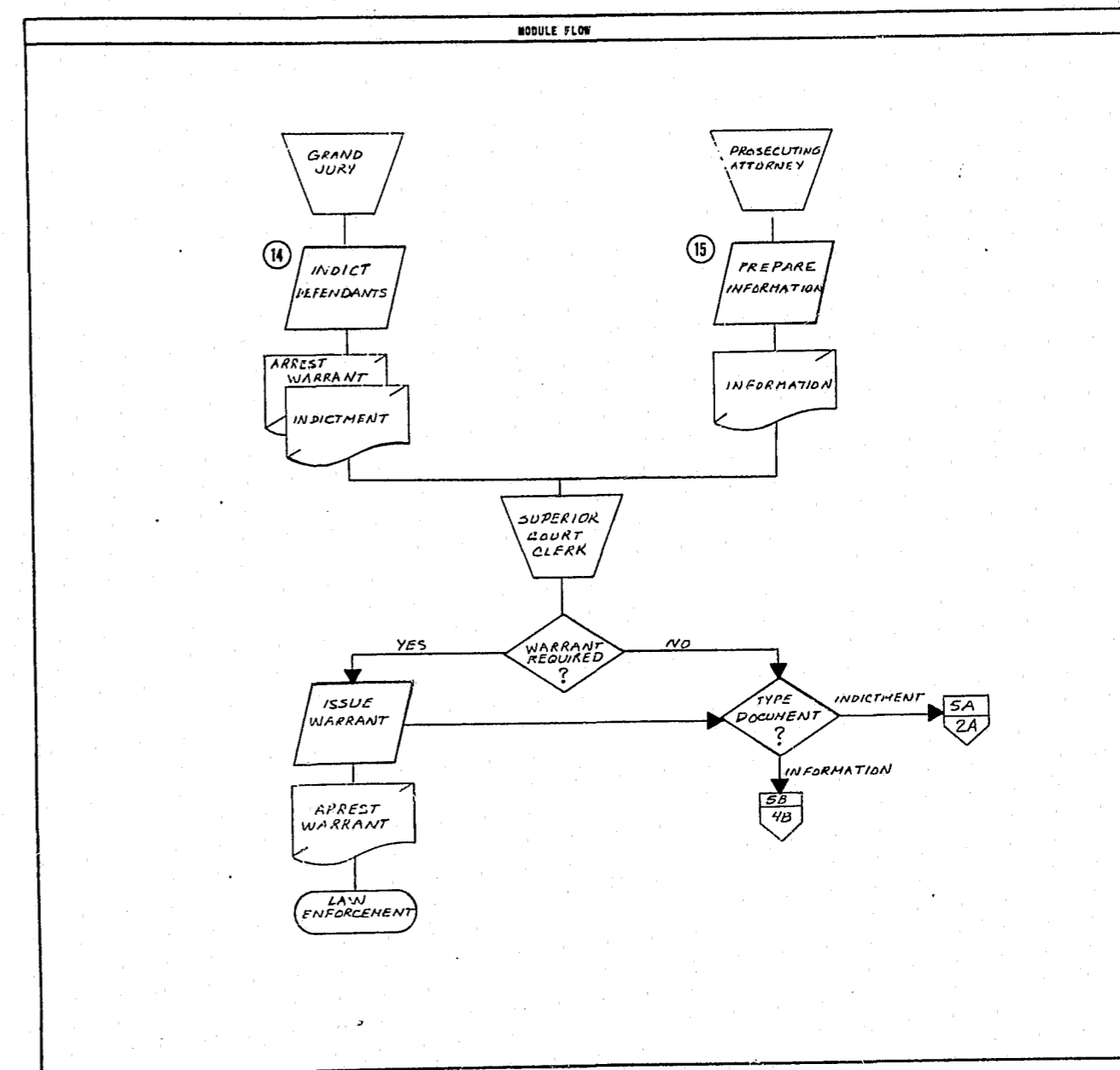
11 Cases bound over on a "held to answer" order are held in suspense until an Information is filed by the prosecuting attorney. To monitor

the documents prior to the filing of an Information, a Pre-initiation Back Slip is completed and entered into the computer. When an Information is filed, the lower court documents are retrieved from the Suspense File, a case number is assigned and a pre-numbered case folder is initiated. On the following day, a computer-printed case label will be attached to the case folder.

12 Cases transferred on a certification order are immediately assigned a case number and case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 5 of 20
MODULE PURPOSE To initiate cases in the superior court by the submittal of an indictment or information			



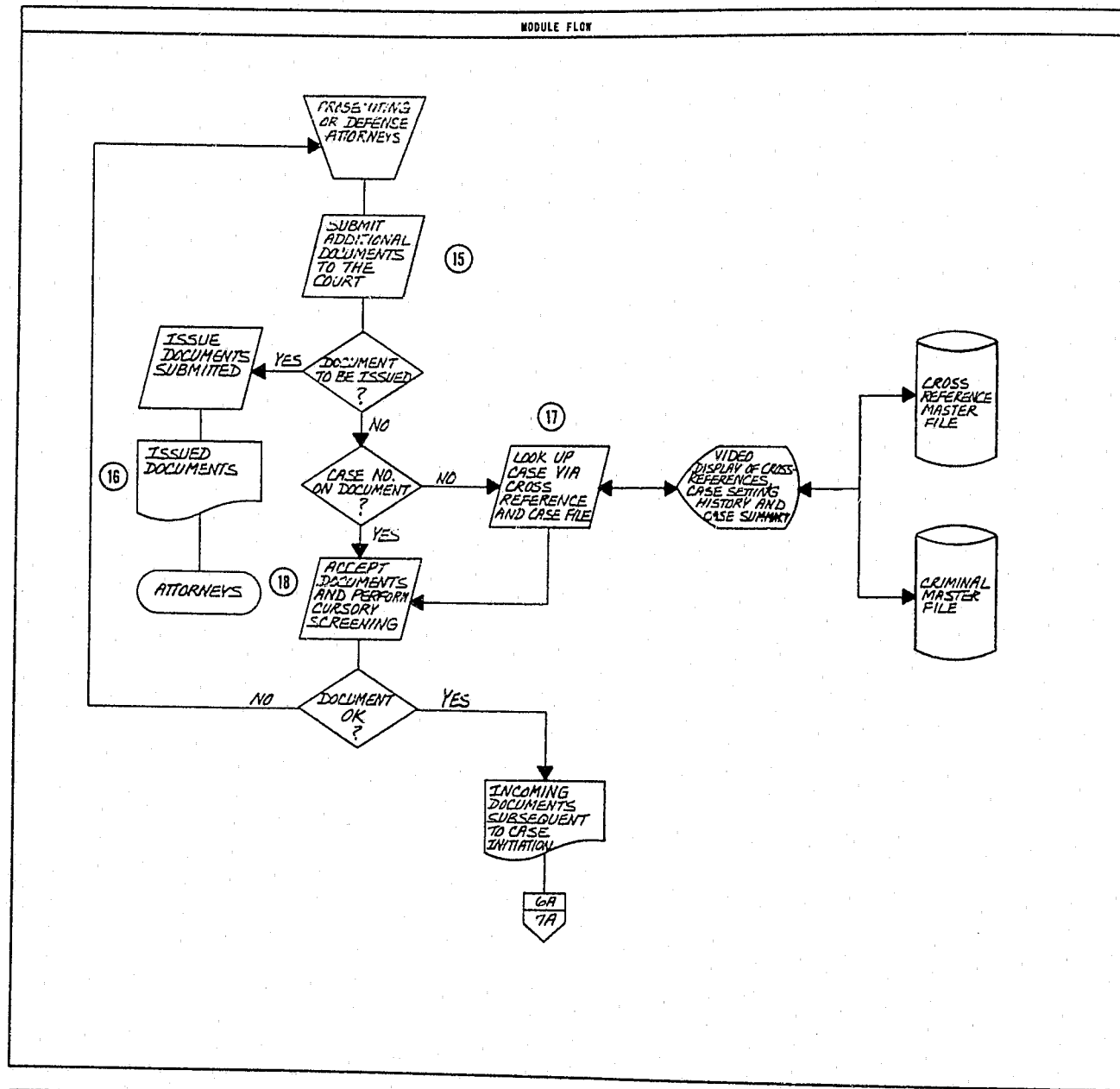
MODULE NARRATIVE

14 Cases may be also initiated in the superior court by a Grand Jury indictment. Indictments are generally brought against persons not presently in custody. Hence, a warrant of arrest is often issued at the time the indictment is filed.

15 An information must be filed by the prosecuting attorney in cases bound over on a "held to answer" order. In some instances, a warrant of arrest will be issued for the defendant, although custody status is generally carried over from the lower court proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 6 OF 20
MODULE PURPOSE To accept documents from litigants and perform a cursory screening subsequent to case initiation, and to issue documents prepared by litigants			



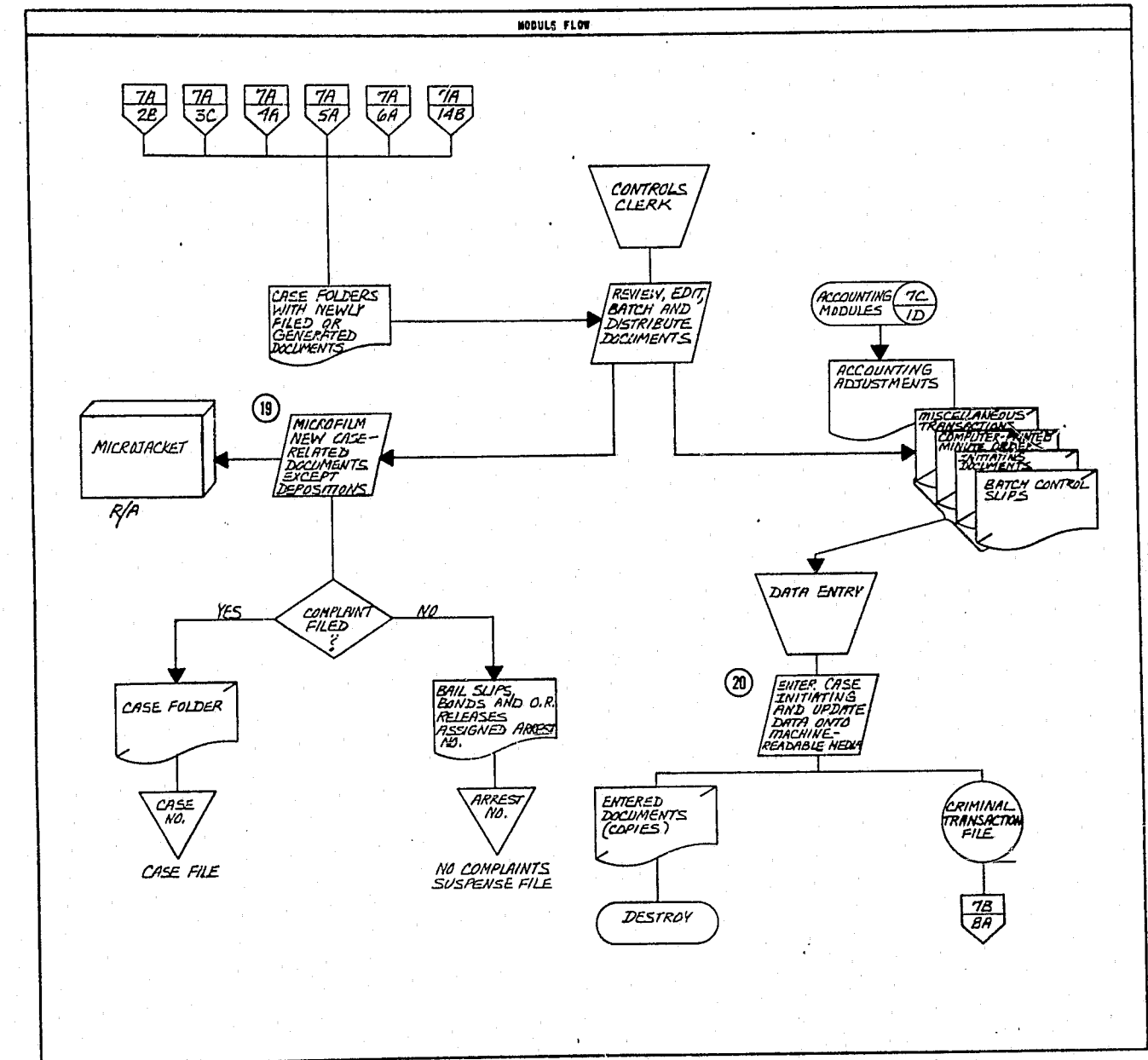
MODULE NARRATIVE

- 15 Subsequent to initiation, additional documents may be filed by the litigants. These documents often include stipulations, pre-trial motions, and amended complaints.
- 16 Documents, such as subpoenas, may be prepared by the litigants and issued by the court. Since the prosecuting attorney has his own subpoena powers, prosecution subpoenas are generally filed only to initiate contempt proceedings.
- 17 If the case number is not known the clerk makes inquiries via a video display terminal to the Cross Reference File. Reference may be made to this file on name, arrest number, and other personal characteristics or case associated numbers.

- 18 The accuracy of submitted documents rests with the submitter. The clerk, however, will perform a cursory screening for basic identifiers needed to locate the proper case folder, and to verify its association.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 7 OF 20
MODULE PURPOSE To microfilm incoming and court-generated documents, to prepare machine-readable case data, and to store case-related documents			



MODULE NARRATIVE

- 19 Case-related documents filed with the court or generated as part of the adjudicative process are microfilmed immediately.

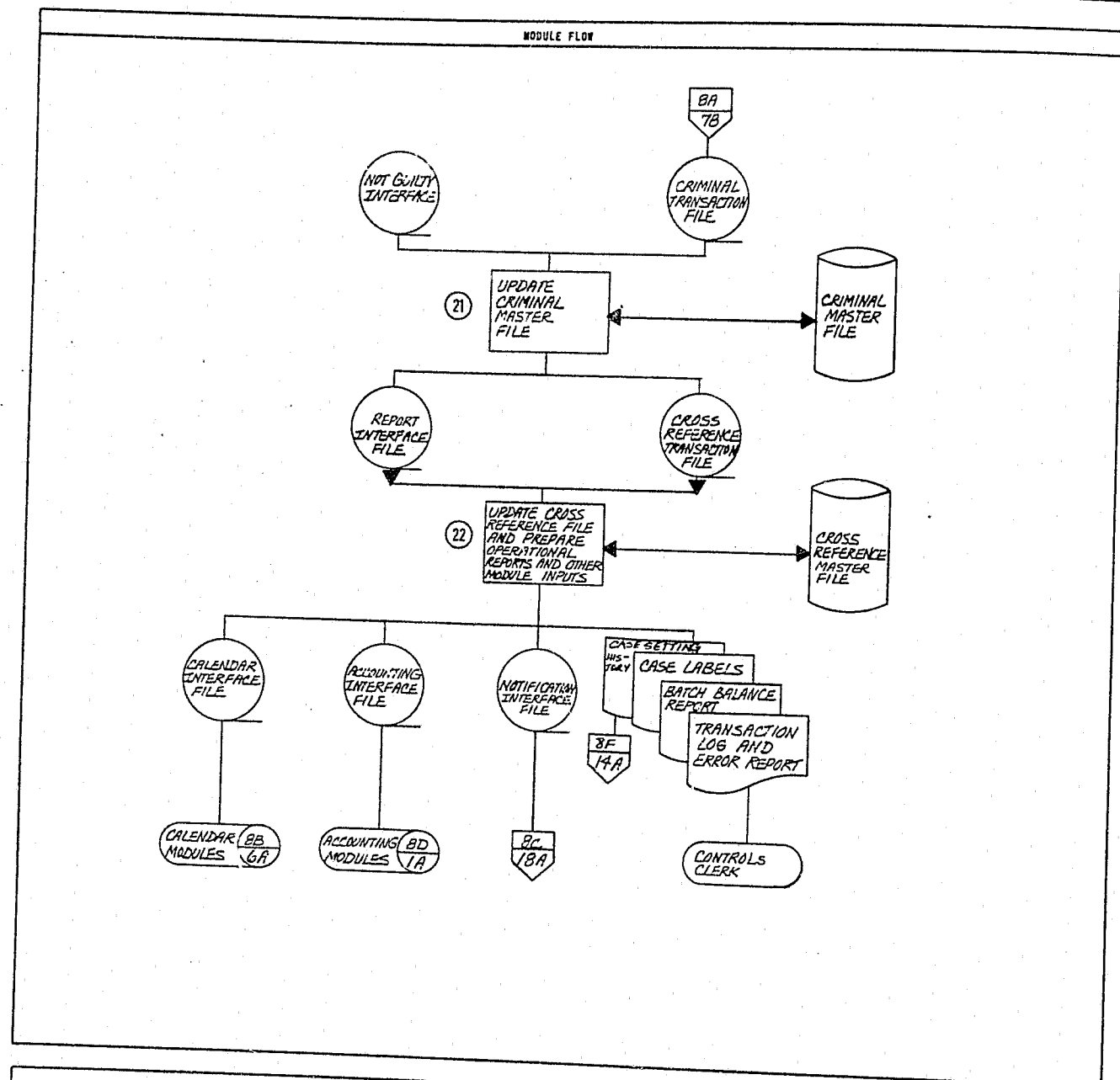
Microfilming is performed using microjackets. Each microjacket is identified and sequenced by case number. One film on each microjacket provides an index to the documents recorded on the card. The microjackets serve as the Register of Actions. Most inquiries will be directed at the Open Name Index, and therefore, the microjackets should have moderate to low usage.

Large documents, such as depositions are not microfilmed (other than their first page) until the case documents are purged. With this exception, the microjackets serve as complete backup to the case folder and permit its destruction as soon as the law allows.

- 20 A limited amount of case-related information is entered in the computer. This data includes basic identifiers and case characteristics, custody status, bail and bond status, court actions taken (including court-ordered payments), events affecting the calendar, exhibit data, and current case status.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 8 of 20
MODULE PURPOSE Update Criminal Case File and prepare operational reports			



MODULE NARRATIVE

21 A Criminal Master File is maintained containing all active criminal cases for the municipal and superior courts. This file contains case identifying, financial and calendaring data, and court activity and event data sequenced by case number. One record is generated per defendant but either individual, defendant or entire case-related updates can be made.

In addition, bail, bond and O.R. release records prior to complaint filing, and citation records of persons entering not guilty pleas are stored in this file under temporary control numbers until formal prosecution is initiated by the filing of a complaint. At that time, a permanent case number replaces the temporary control number.

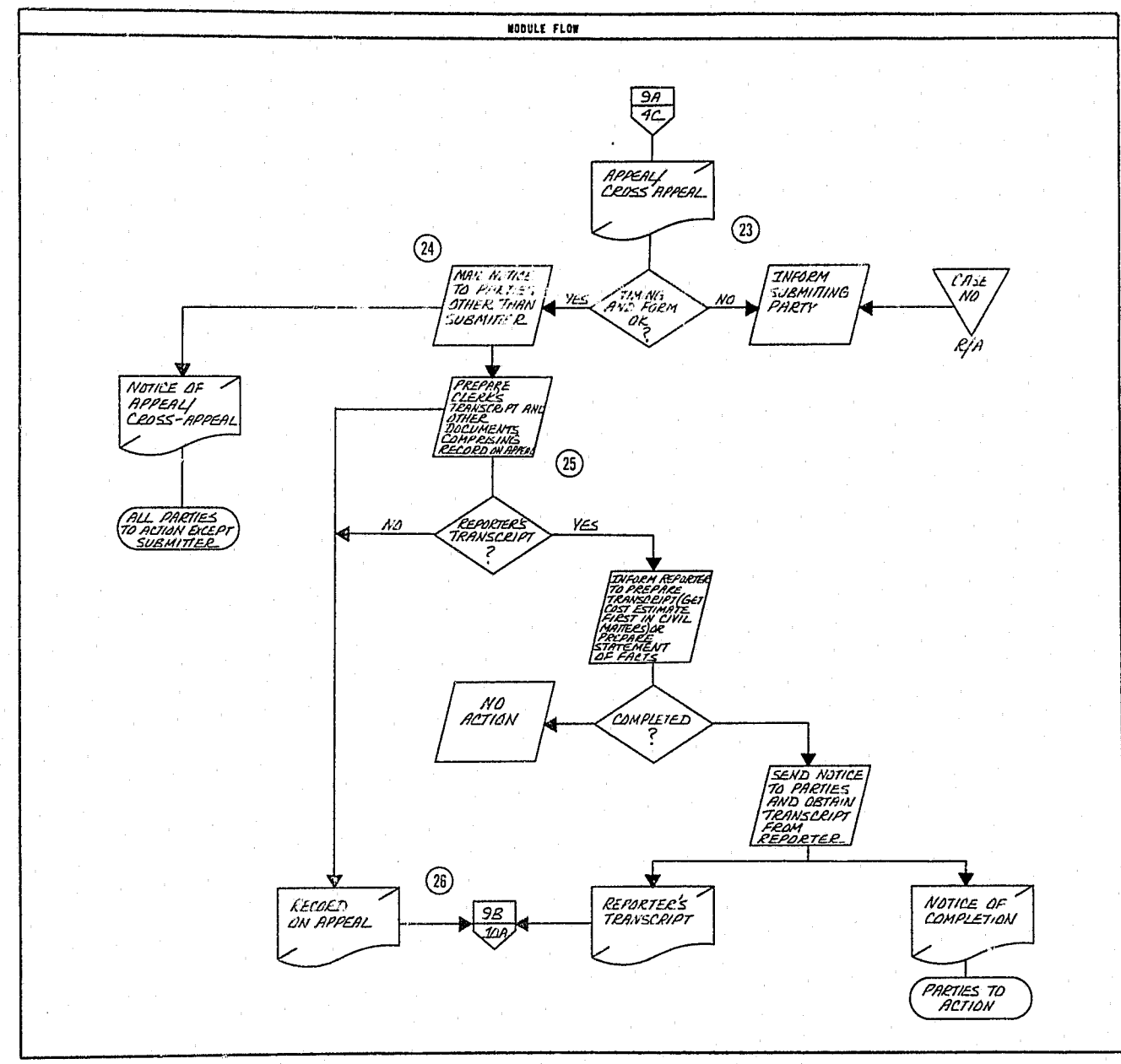
22 Operational reports (other than indexes) and interface files are prepared from a temporary report interface file generated using a common sort key field.

Events establishing, changing, or deleting calendar dates are communicated to the calendar modules on the Calendar Interface File.

Payments of fees and fines, establishment and updates to cash bail, bail bond and receivable accounts are communicated to the financial accounting modules on the Accounting Interface File.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 9 of 20
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			



MODULE NARRATIVE

23 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actions to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)

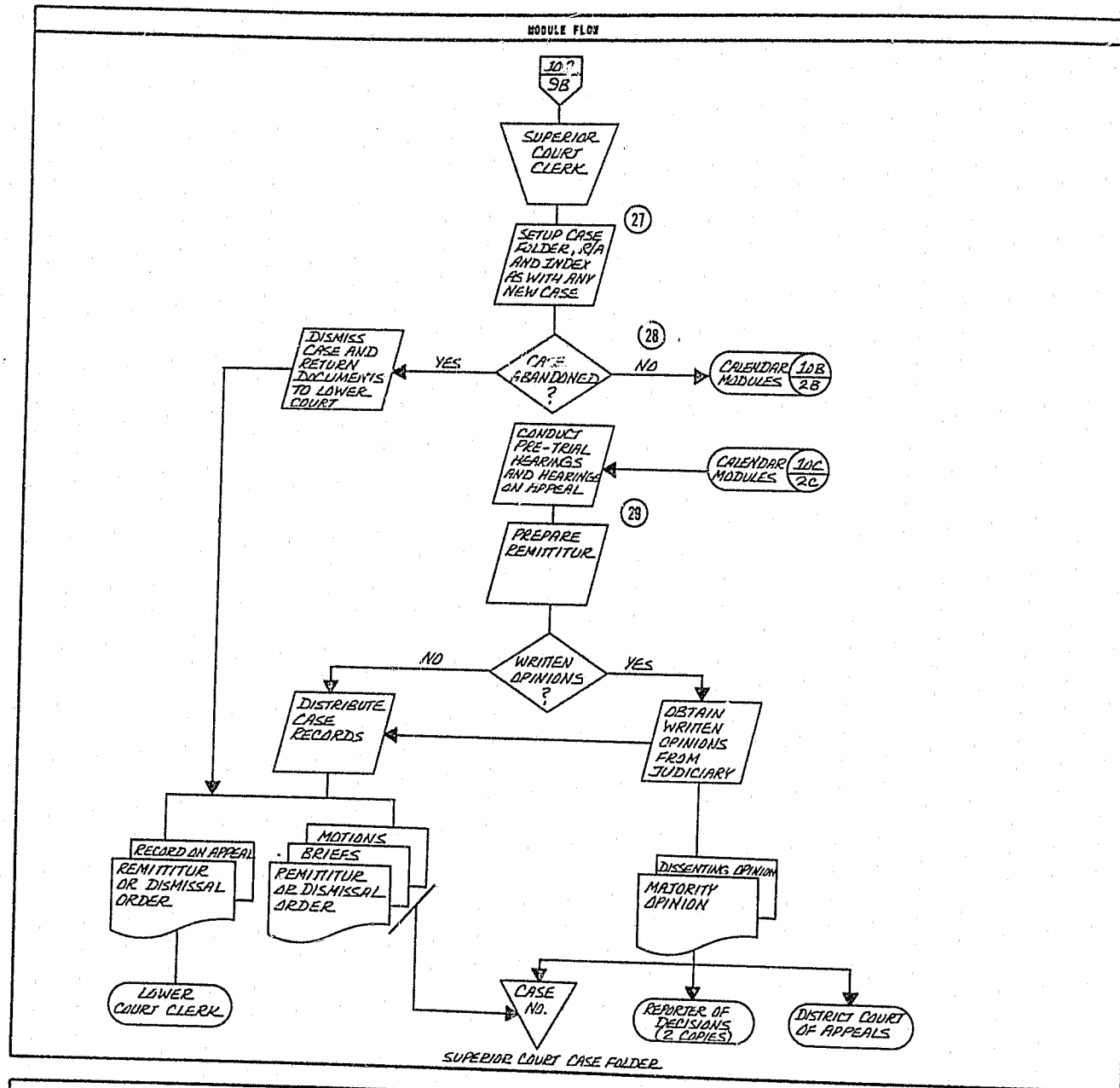
24 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.

25 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. A reporter's transcript or statement of facts is also prepared.

26 When the record on appeal has been completed in accordance with the Rules of Court, it is transferred to the superior court.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-1-032	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 10 of 20
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

27 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

28 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

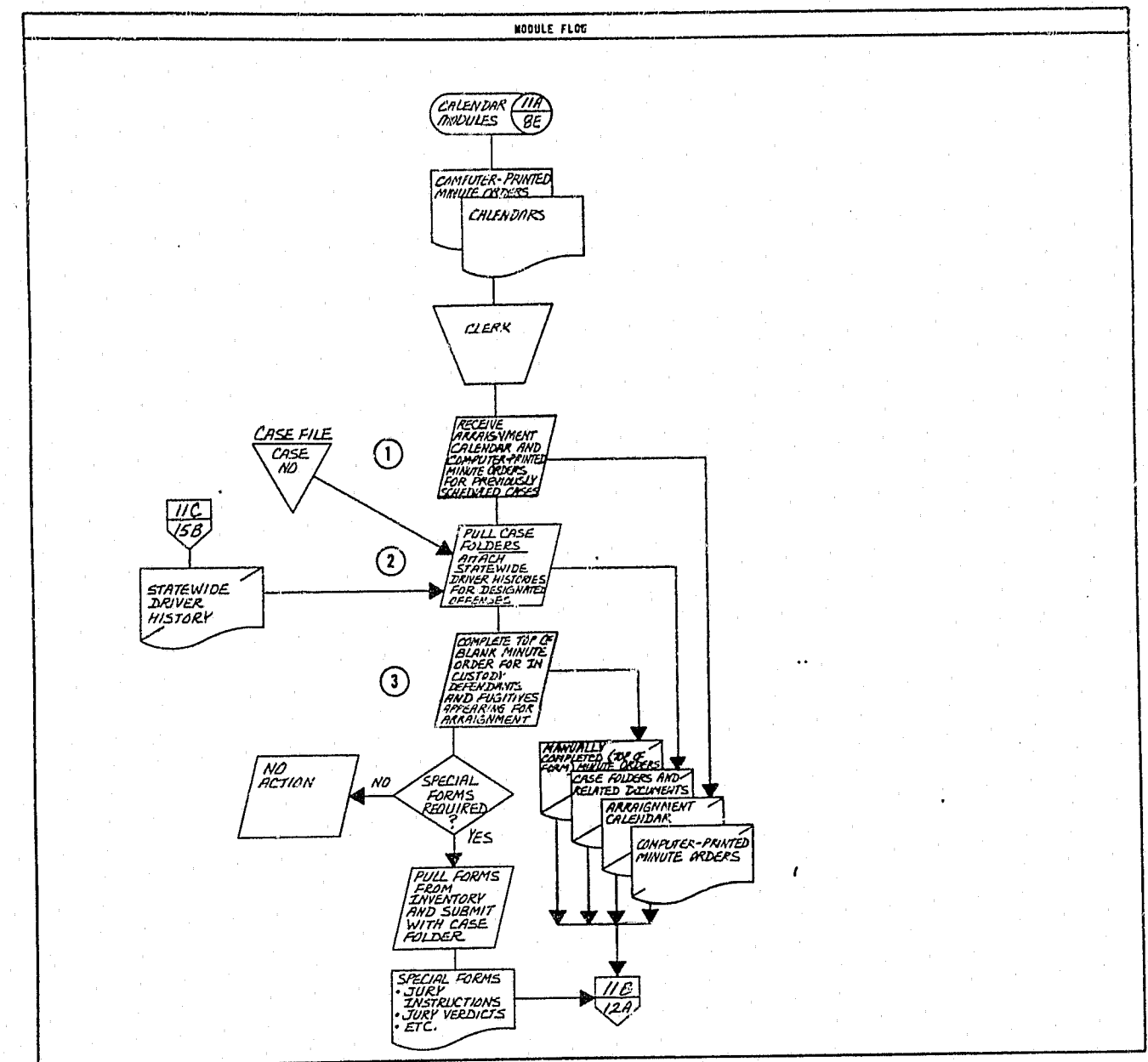
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

29 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-11-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 11 of 20
MODULE PURPOSE To collect case folders for defendants scheduled for a court appearance, and to prepare minute orders for recording court proceedings			



MODULE NARRATIVE

1 The clerk receives daily calendars and computer-printed minute orders as outputs of the calendar modules. The top of each minute order form is completed by the computer and consists of case number, entitlement, attorney's names, other case identification data, and purpose of the court appearance.

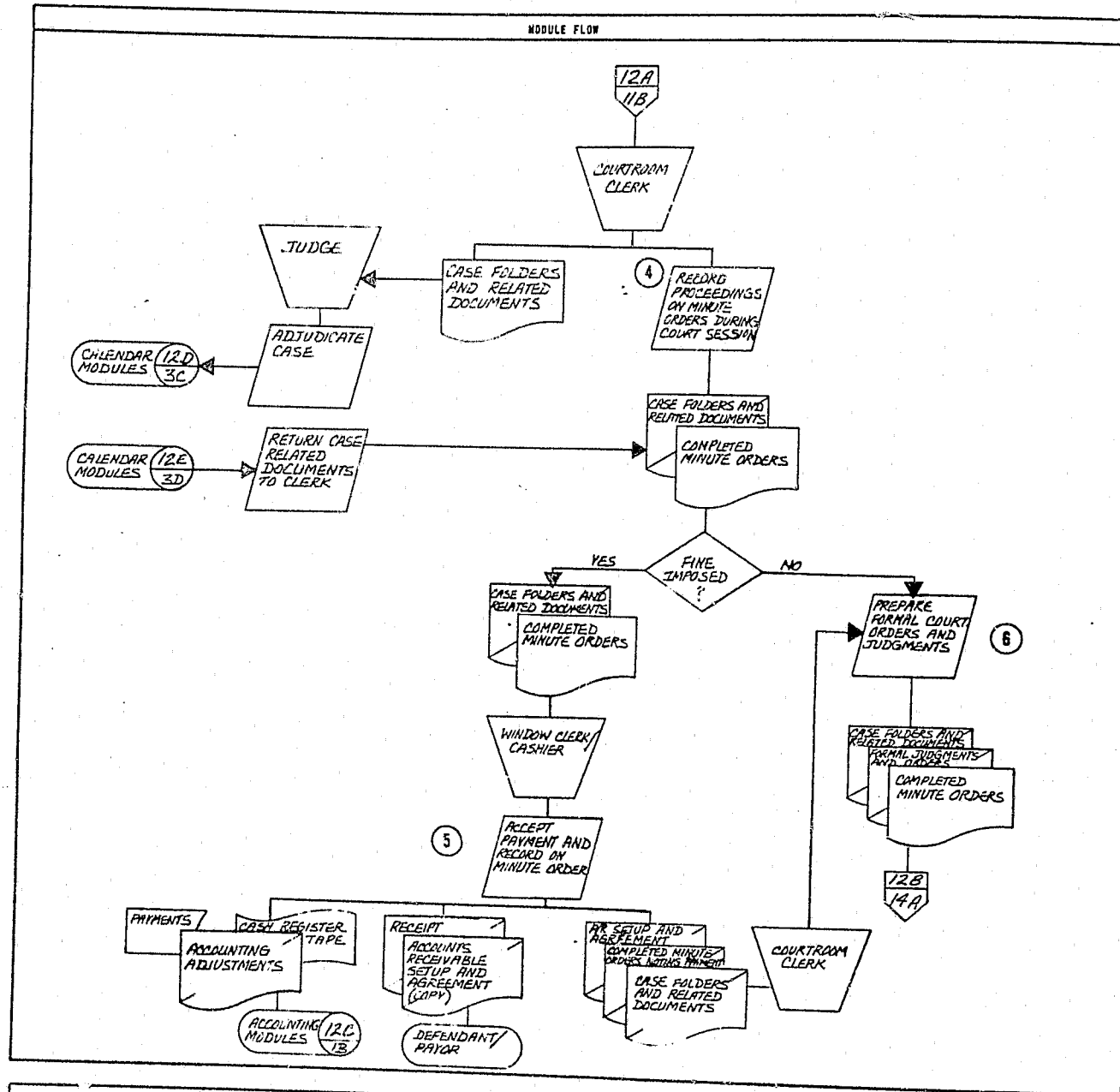
One computer-printed minute order form is prepared for each previously scheduled case.

2 The case folders for each entry on the calendar is pulled and the corresponding computer-printed minute order is attached.

3 In custody defendants are generally arraigned within 24 hours of arrest. Hence, for these cases, the top of the minute order form is manually completed and then attached to the corresponding case folder.

MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-11-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 12 OF 20
MODULE PURPOSE To make recording of court proceedings on minute orders, and to accept payment for court-imposed fines			



MODULE NARRATIVE

④ The courtroom clerk calls the cases before the court from the calendar provided. Each case folder is given in turn to the judge for adjudication. The corresponding minute order is retained by the courtroom clerk for recording court proceedings.

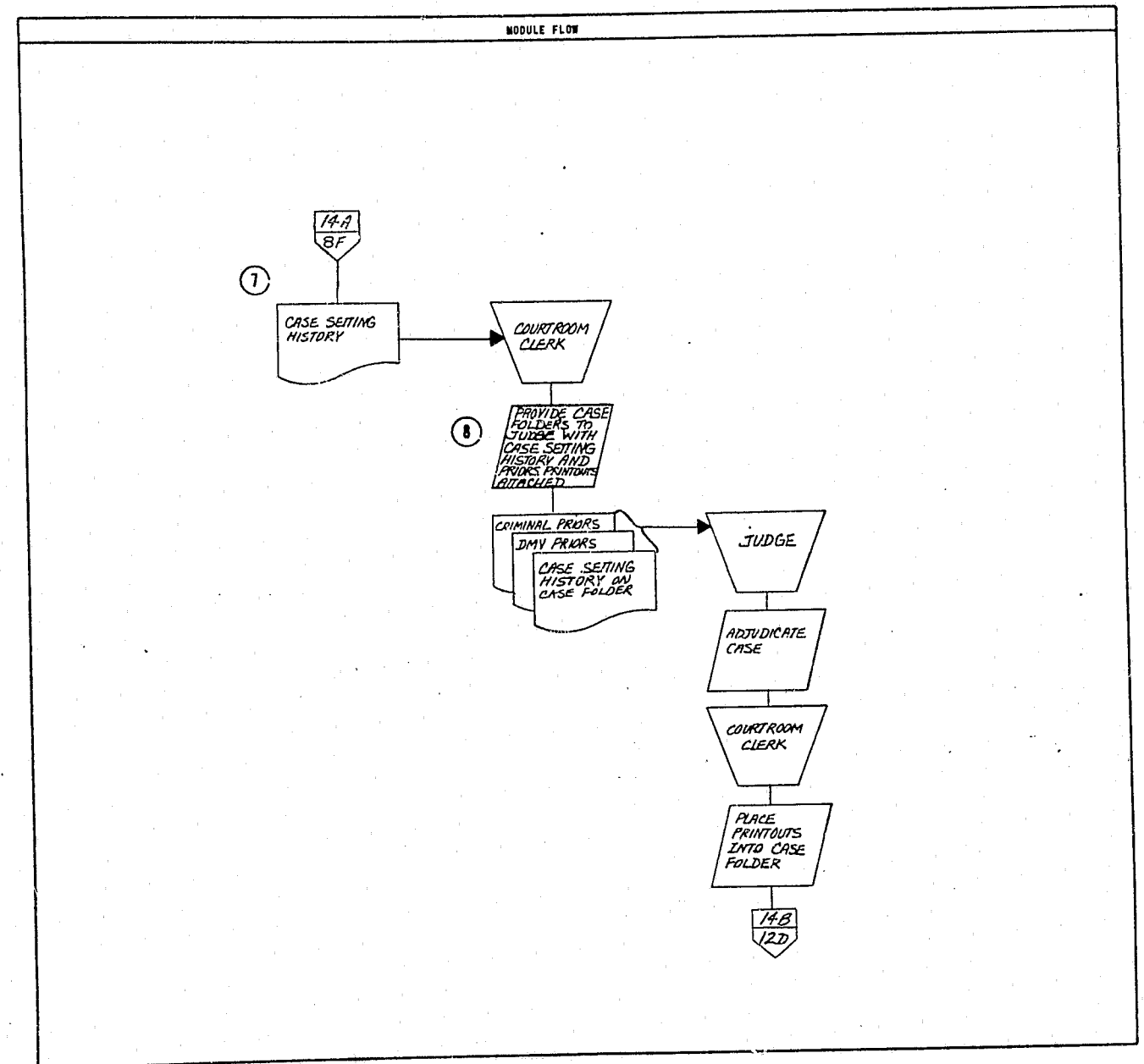
After adjudication, the case folder is returned to the courtroom clerk, who re-attaches the corresponding completed minute order.

⑤ If a single payment or installment fine is levied by the court, the defendant appears at the cashier. The cashier accepts payment, provides a receipt to the defendant, and validates the minute order in the cash register. If an installment account is required an A/R Setup and Agreement Form is prepared and signed by the defendant. Installment payments are validated on this form as they are made.

⑥ Formal orders and judgments are prepared manually from information supplied on the minute order form.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-11-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 13 OF 20
MODULE PURPOSE To provide driver histories, criminal histories and case setting histories to the judiciary to facilitate improved calendar management, bail setting policies and sentencing			



MODULE NARRATIVE

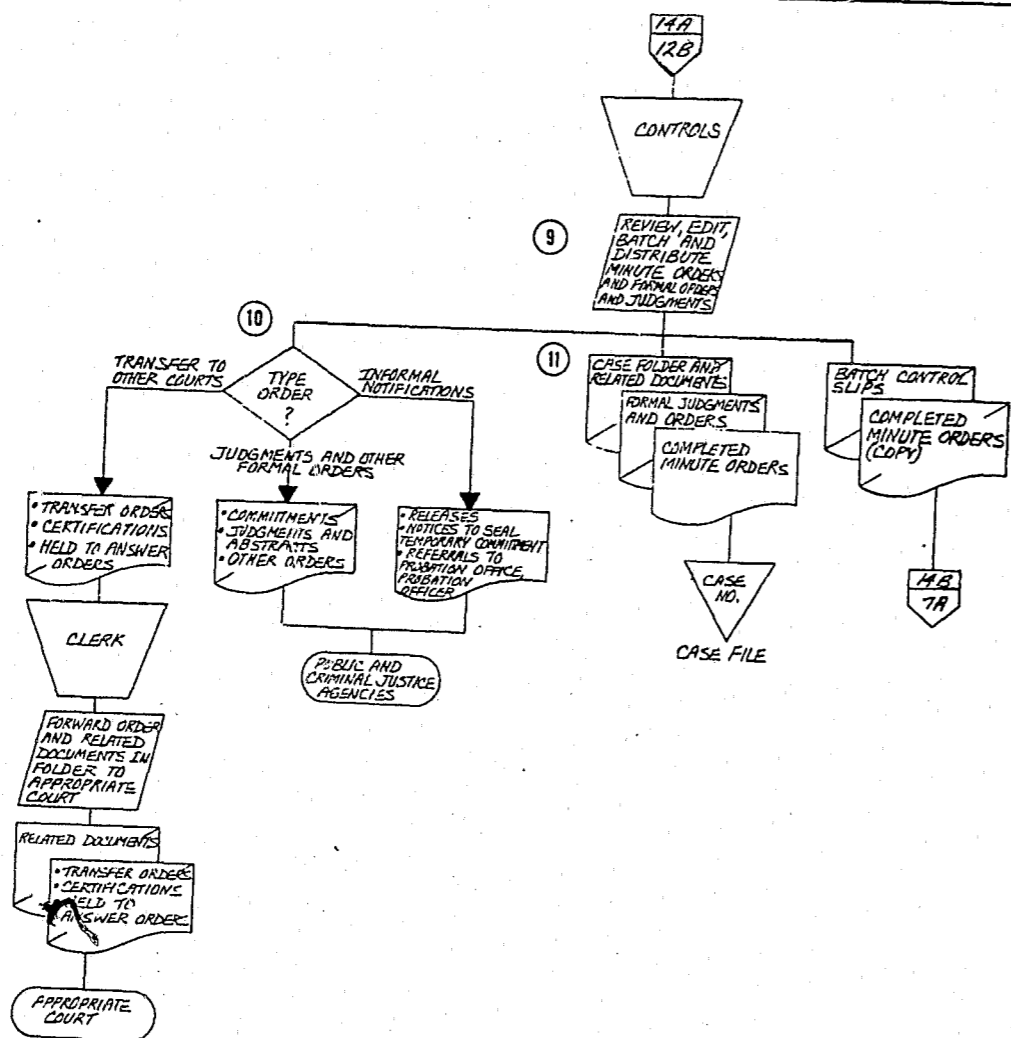
⑦ A Case Setting History is printed for each case scheduled for court. The history provides the judge with a summary of prior settings, the outcomes at each setting--and for continuances, the requesting party and a reason code.

⑧ The courtroom clerk attaches the Case Setting History to the front of the case folder. The priors printouts are provided to the judge as required during bail setting, O.R. release application or sentencing proceedings.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-11-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 14 of 20
MODULE PURPOSE To review, edit, batch and distribute minute orders, formal court orders and judgments resulting from court proceedings			

MODULE FLOW



MODULE NARRATIVE

9 All minute orders, formal court orders and judgments are reviewed by a controls clerk who verifies accuracy, legibility and completeness.

10 Notifications to others are made in one of three ways. Informal notifications are made by detaching a copy of the minute order form and forwarding it to the appropriate agency. Where required, copies of formal orders and judgments are made and forwarded to the appropriate individual or agency. Orders transferring jurisdiction are made formally and are accompanied by appropriate case-related documents. Note that the "held to answer" order is completed on the back of the complaint.

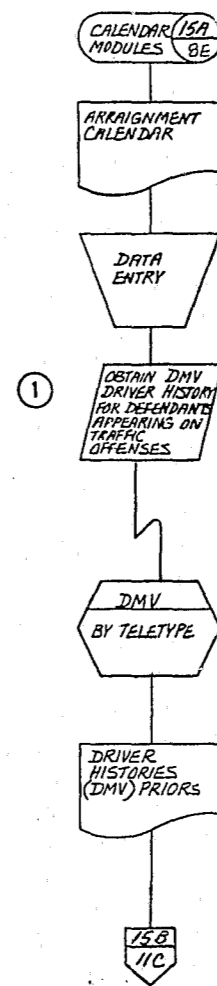
11 The original of each document generated by the court is placed in the case folder after it is microfilmed. Minute orders will be designed

to facilitate initial recording, and will not be typed onto a finished minute order form. This procedure will require due care by the courtroom clerks, particularly when completing the narrative portions of the form.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-15-202	MODULE NAME STATEWIDE DRIVER HISTORY RETRIEVAL	LEVEL OF AUTOMATION On-line	PAGE 15 of 20
MODULE PURPOSE To retrieve statewide driver histories (DMV priors) for persons arraigned on a moving traffic offense			

MODULE FLOW



MODULE NARRATIVE

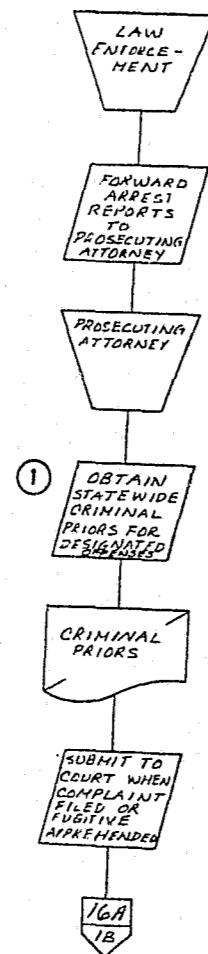
1 Driver history is retrieved by teletype for persons arrested on vehicle code violations.

The teletype operator prepares a punched paper tape of request records for B-5 printouts. The machine can then be operated with a minimal amount of clerical attention, as it automatically returns printed responses. Priority will be given to defendants remaining in custody since their cases could be adjudicated and disposed of during the morning arraignment session after arrest.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-16-291	MODULE NAME STATEWIDE CRIMINAL HISTORY RETRIEVAL	LEVEL OF AUTOMATION On-line	PAGE 16 OF 20
MODULE PURPOSE To obtain statewide criminal histories (criminal priors) for persons arraigned on serious misdemeanor and felony offenses			

MODULE FLOW



MODULE NARRATIVE

1 The Prosecuting Attorney should be responsible for obtaining statewide criminal history for serious misdemeanor and felony offenses. He may rely upon law enforcement staff, files and/or communications facilities. When a person is arrested on a serious misdemeanor or felony charge (except CVC violations), the jail prepares an identification card containing the defendant's fingerprints and personal description. This card is forwarded by mail to the Bureau of Identification for retrieval of a statewide criminal history form known as a Rap Sheet.

The courts need a criminal history printout of prior convictions, outstanding warrants, pending cases and current conditions of parole or probation in order to set bail, determine O.R. release, and to properly sentence. This printout should be formatted in a concise, easily understood manner.

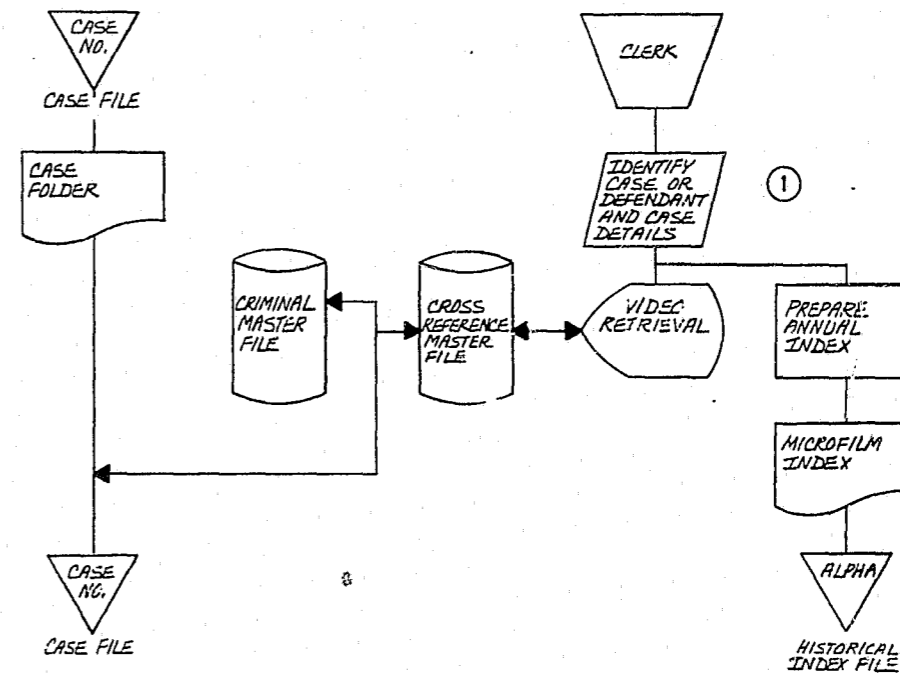
In the years to come, many larger law enforcement agencies will have facsimile transmission equipment so that up-to-date data can be made quickly available to the courts and the Prosecuting Attorney.

In lieu of this up-to-date printout, the courts may utilize a previous Rap Sheet supplemented by a summarized CJIS criminal history printout retrieved by teletype. This form of criminal history would be most useful for bail hearings, and for adjudication of misdemeanor cases disposed of at arraignment.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-17-091	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION On-line	PAGE 17 OF 20
MODULE PURPOSE To provide alphabetic and numeric indexes to the case numbers which will assist in locating case-related information and which will provide a concise summary of the case history to date			

MODULE FLOW



MODULE NARRATIVE

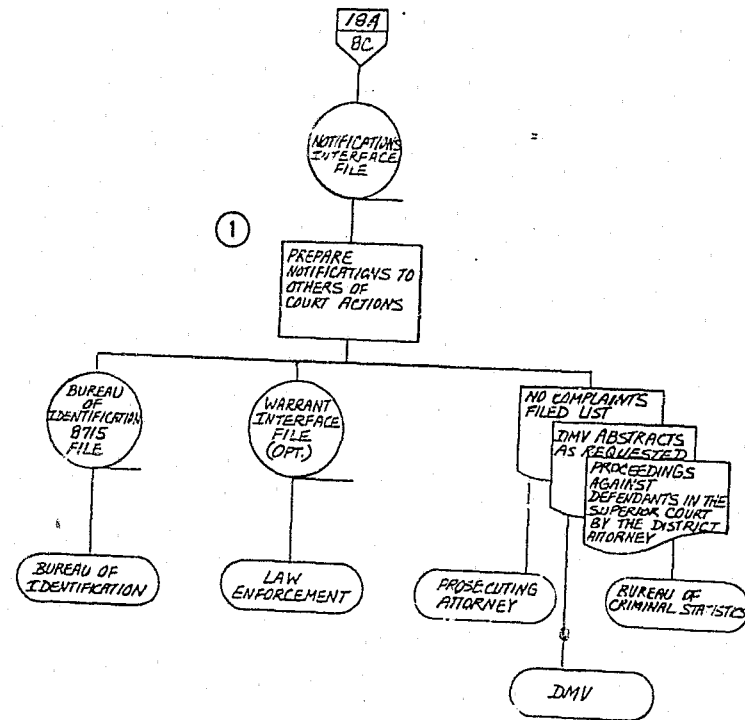
1 The Cross Reference File is used by the clerk or inquiring party to locate case material or status information if only a limited knowledge of the case now exists. The Cross Reference File provides an index to all files within the system via identifying personal characteristics and unique numbers associated to the defendant, attorneys, or case.

The Cross Reference File also provides the interface necessary for the establishment of a criminal justice interface between outside agencies and the courts.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-18-121	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION On-line	PAGE 18 OF 20
MODULE PURPOSE To prepare direct disposition reports and felony filing statistics to the Department of Justice, abstracts to DMV, and case monitoring reports to the prosecuting attorney.			

MODULE FLOW



MODULE NARRATIVE

1 The Notifications Module prepares the outputs shown.

The B18715 file is a magnetic tape containing arrest disposition data previously prepared manually on CII 15 forms. This file will be mailed to the Bureau of Identification, and then returned after the data is transferred to their files. The B1 8715 file obviates both the manually prepared CII 15 report forms and the BCS felony statistics reports.

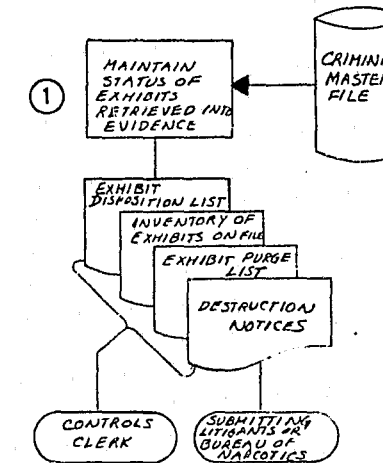
A BCS proceedings report (form JUS701) is prepared by the court for the district attorney.

A No Complaints Filed List will also be prepared for the Prosecuting Attorney to inform him of impending dismissals (re: Section 1382 P.C.) for lack of filing an information, or instances where a defendant has been released prior to arraignment but no complaint has been filed.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-19-331	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION On-line	PAGE 19 OF 20
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence.			

MODULE FLOW



MODULE NARRATIVE

1 Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown.

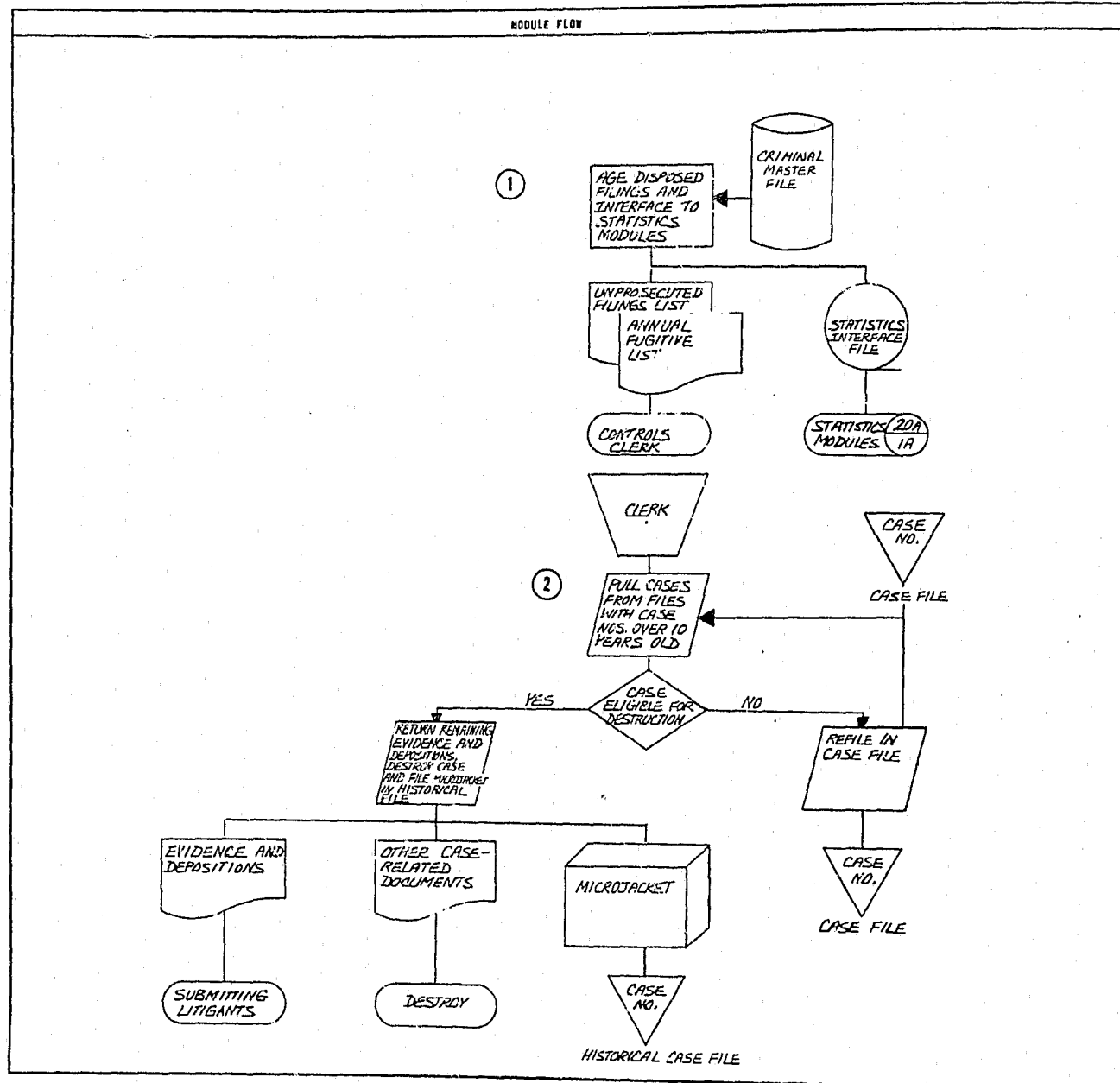
Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and an indication of whose exhibit it is (i.e., people's, defendant's).

Exhibits ready for destruction are listed on the Exhibit Purge List. Destruction Notices are also prepared to inform the exhibit's owners of impending destruction or transfer to the county. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court.

The final disposition of each item is recorded on the Inventory Disposition List.

CRIMINAL COMPLAINTS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION CO-20-152	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION On-line	PAGE 20 of 20
MODULE PURPOSE To remove disposed of filings, to generate an interface to the statistics modules, and to prepare purging control reports			



MODULE NARRATIVE

① The Aging and Purging Module removes cleared cases from the Criminal Master File. A cleared case is one that has been disposed of through court action, or that consists of a warrant and complaint that is outstanding for more than one year. Annually these "fugitive" filings are removed from the Criminal Case File and listed on the Annual Fugitive List.

Hence, any case removed from the Criminal Master File must be printed on either the Closed Name Index (see Cross Reference Module) or the Annual Fugitive List.

② Cases that can be destroyed according to statute are purged, any remaining evidence or depositions are returned and the microjacket case backup is placed in the historical file.

APPENDIX D
JUVENILE MODULES

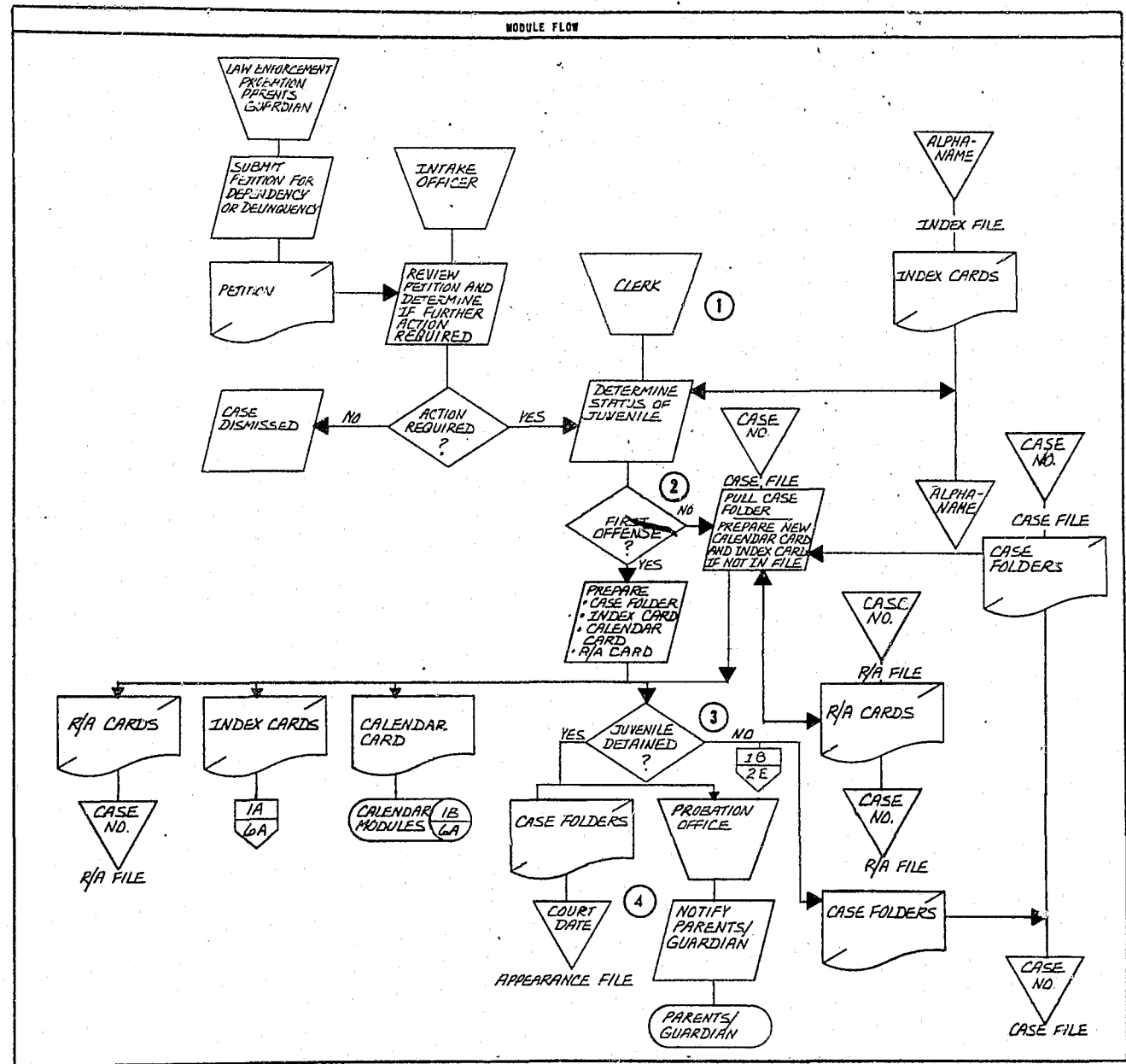
FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

CONTINUED

4 OF 5

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-1-013	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 OF 10
MODULE PURPOSE To accept petitions and initiate court actions.			



MODULE NARRATIVE

① Prior to the time that the court takes cognizance of the case, delinquency and dependency petitions are reviewed by an intake officer who is empowered to dismiss the petition and/or to release the juvenile until the hearing on the petition is held.

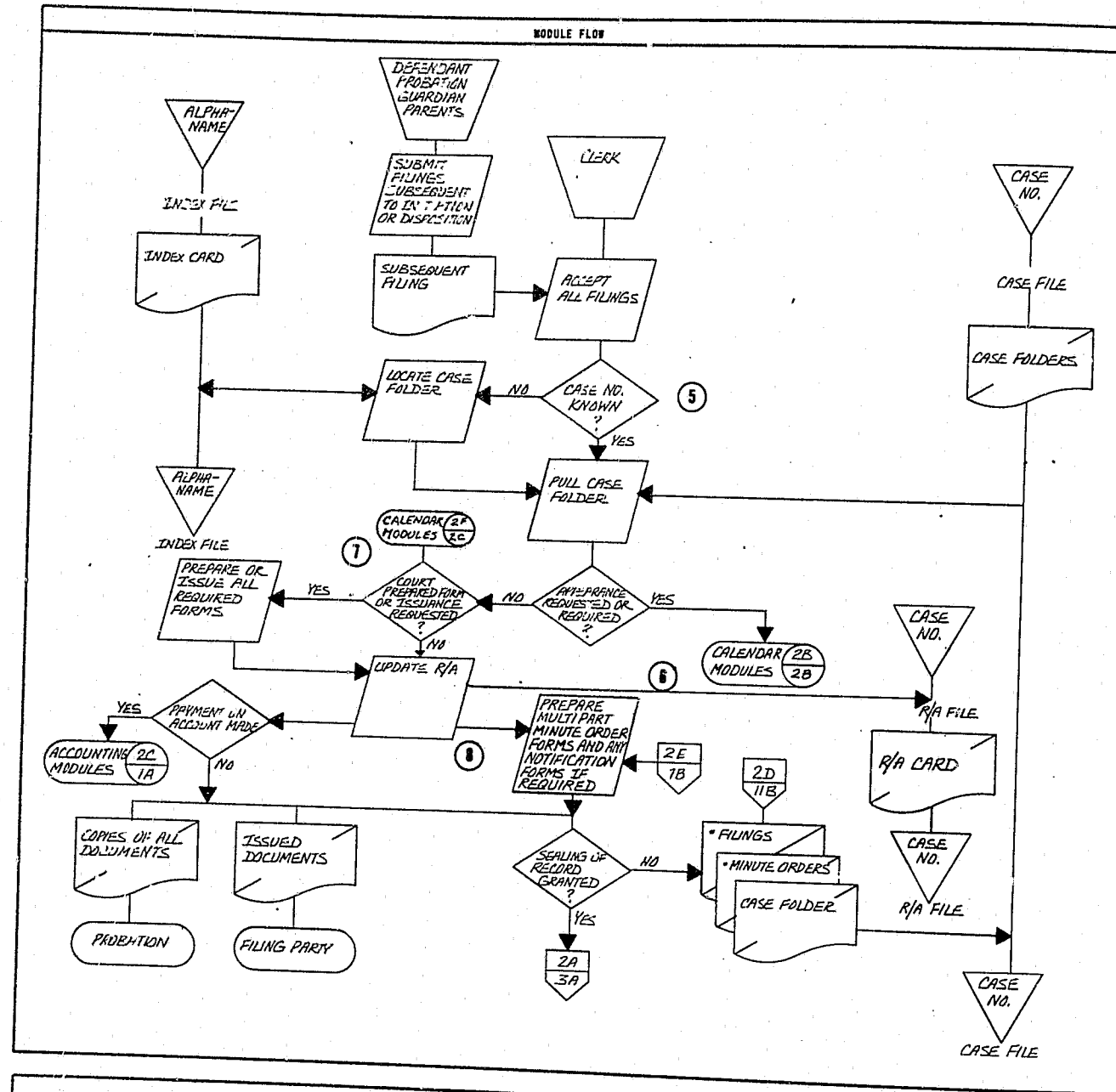
② If further action is required, the petition is filed with the court. A new case is established for first time offenders; otherwise, the existing case folder is utilized.

③ A detention hearing date is set unless the juvenile has been released. This hearing must be held within 18 hours of confinement.

④ The parents or guardian are notified by the probation office if the juvenile is detained pending the detention hearings. Otherwise, a citation to appear and/or Notice of Hearing is issued ordering the parents or guardian to appear at the hearing on the petition.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-1-013	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 of 10
MODULE PURPOSE To accept submitted and court generated documents subsequent to the of a case			

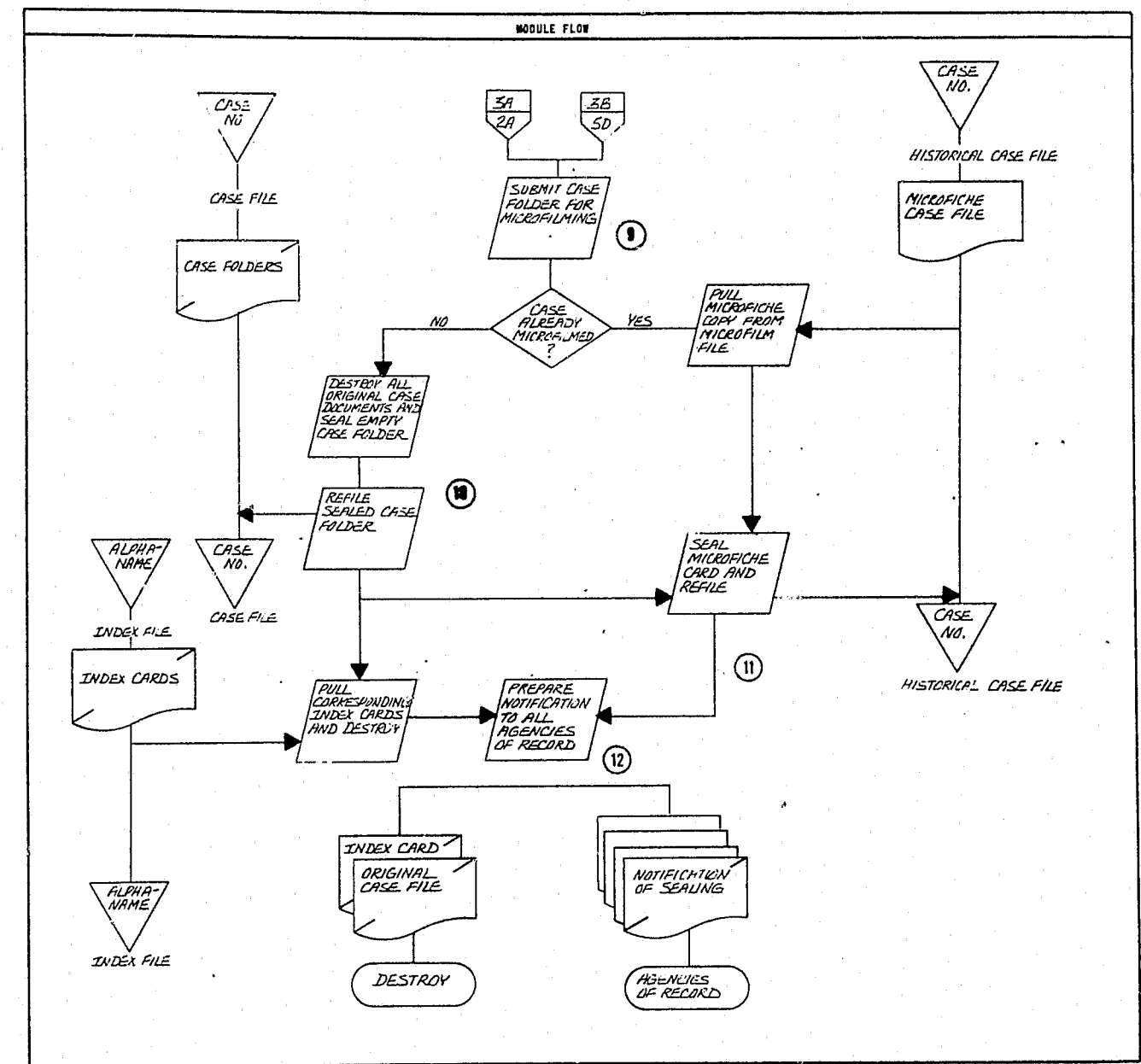


MODULE NARRATIVE

- ⑤ All documents filed or generated subsequent to the petition are accepted and processed by the clerk. Acknowledgments to sealing, minute orders, probation reports, and motions represent the most common types of documents filed subsequent to the petition.
- ⑥ If an appearance is requested or required by the petitioner, the clerk assigns a data from the appearance diary which lists available dates. A multipart minute order and any notification forms which may be required are also prepared at this time.
- ⑦ The clerk also completes any forms which may be requested by the filing party (i.e., subpoenas) and issues these documents if required.
- ⑧ Copies of the appropriate documents are distributed as shown. The probation office is provided a copy of every formal document and minute order filed or generated by the court. Notification forms for scheduled appearances are sent to the calendaring clerk so they can update the calendar card and distribute the forms to the required parties.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-1-013	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 3 of 10
MODULE PURPOSE To seal a juvenile's record upon receipt of a proper court order granting sealing			

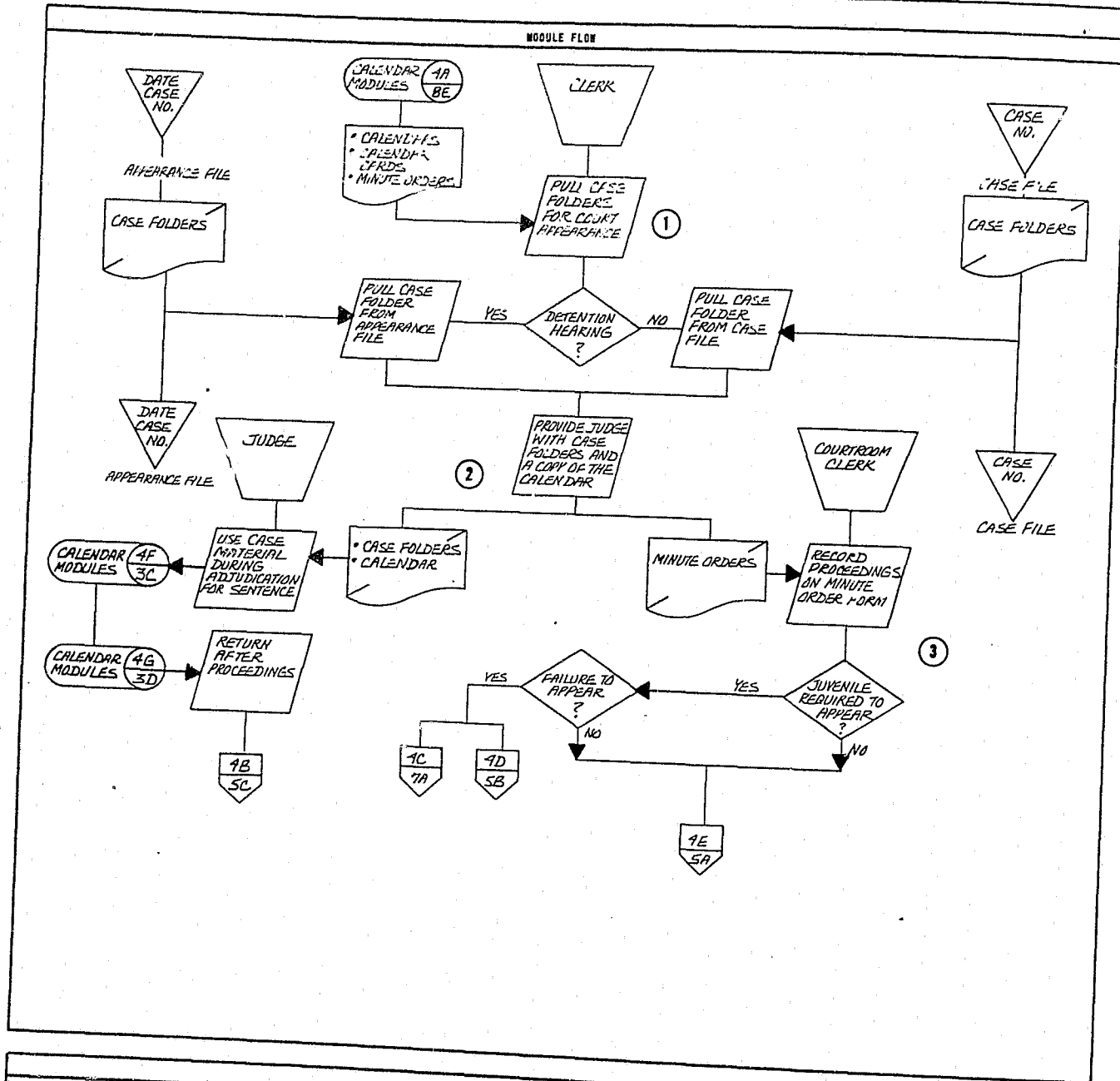


MODULE NARRATIVE

- ⑨ The case folders of all juveniles granted case sealing are microfilmed. If the case folder has already been microfilmed, the case record micro-jacket is pulled from the permanent case file.
- ⑩ All documents in the case folder are microfilmed and placed in a microjacket. All documents are then destroyed. The original case folder is sealed with tape and placed (empty) back in the case file. This preserves the order of the case file until the purging cycle is reached.
- ⑪ The microjacket is placed in an envelope and sealed. The case number is marked on the outside of the envelope and the card is replaced in the permanent case file.
- ⑫ If the index card for the sealed case still exists, it is pulled and destroyed. Notification to all agencies of record, that were notified of the juvenile's record, are prepared and distributed.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-4-042	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 4 of 10
MODULE PURPOSE To record court proceedings stemming from detention hearings, hearings on petition, annual reviews, and any other required or requested appearances			

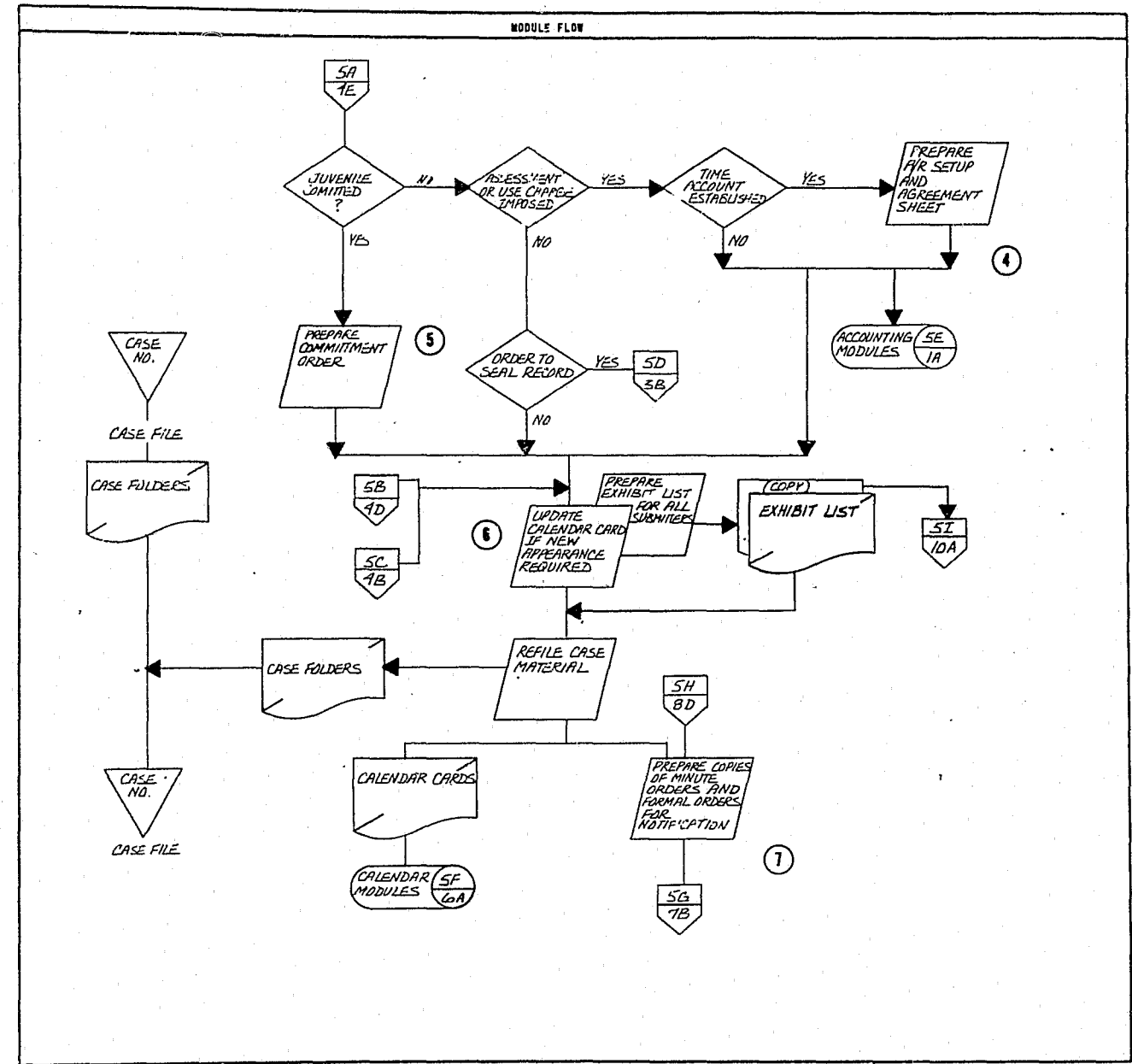


MODULE NARRATIVE

- 1 Prior to the appearance date, case folders for all juveniles scheduled to appear are pulled. Those juveniles appearing for detention hearings are not listed on the calendar due to the requirement that they must appear within 48 hours of being detained. The case folders for the detained juveniles are removed from the Appearance File.
- 2 The prepared minute orders are removed from the case folders by the clerk. The case folders and a copy of the calendar are given to the judge or hearing officer for his use during adjudication. The case material is returned to the clerk after the juvenile's appearance.
- 3 All proceedings are recorded on the minute order forms. Checkoff entries are utilized to the greatest extent possible to minimize the need for narrative type entries.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-4-042	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 5 of 10
MODULE PURPOSE To record court proceedings stemming from detention hearings, hearings on petitions, annual reviews, and any other required or requested court appearance			

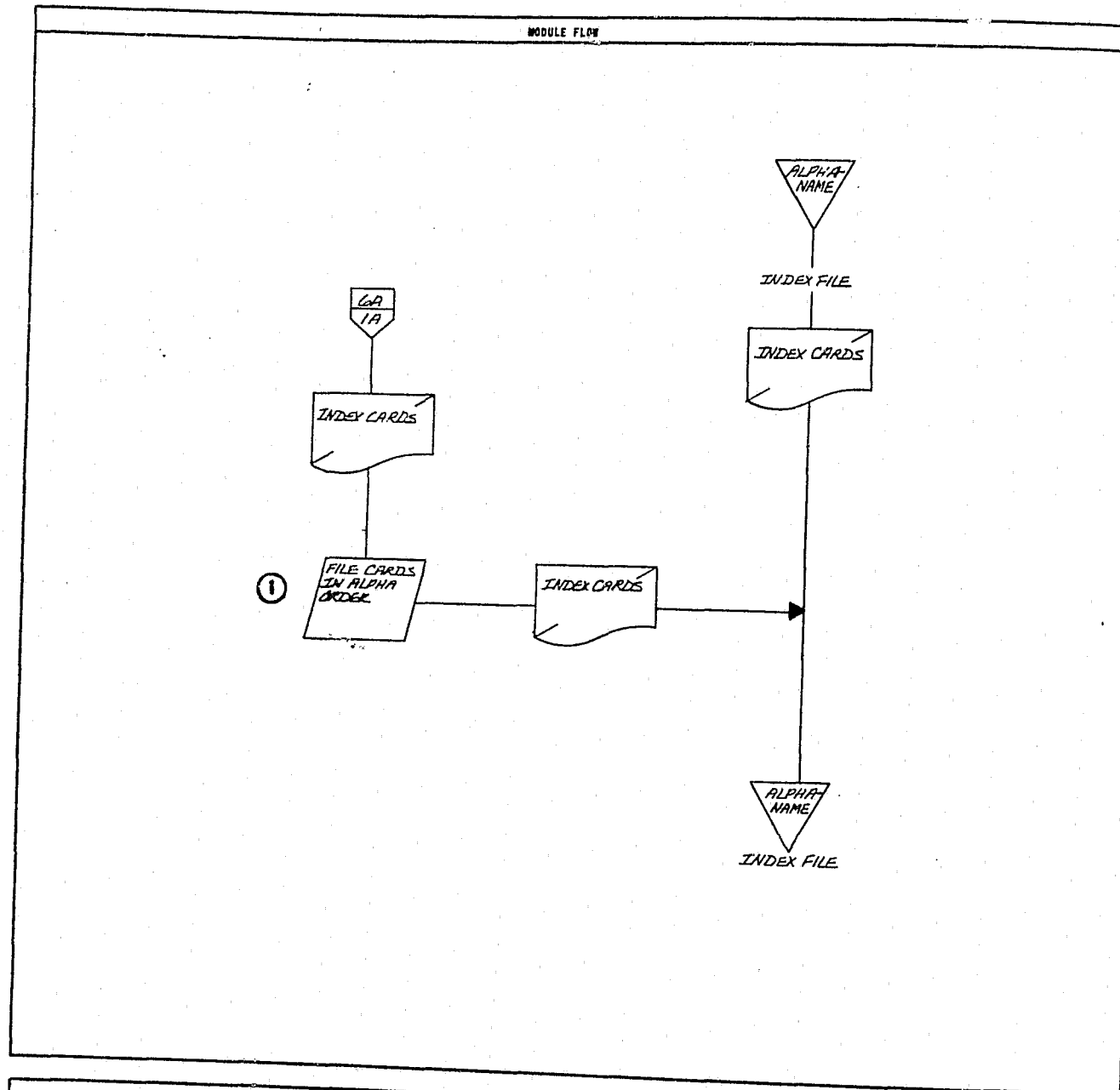


MODULE NARRATIVE

- 4 If court-ordered assessments or facility use changes are made and an installment account is established, an Accounts Receivable Setup and Agreement Form is prepared.
- 5 If the juvenile is to be committed, a commitment order is prepared.
- 6 All exhibits received into evidence are posted to the exhibit list.
If a new date is assigned, the calendar card is updated and sent to the calendaring area.
- 7 Copies of minute orders or formal court orders are prepared for entry in the case folder and Register of Actions, and to notify concerned parties when required.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-6-071	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 6 of 10
MODULE PURPOSE To provide a means to locate juvenile case folders if the case number is not known			



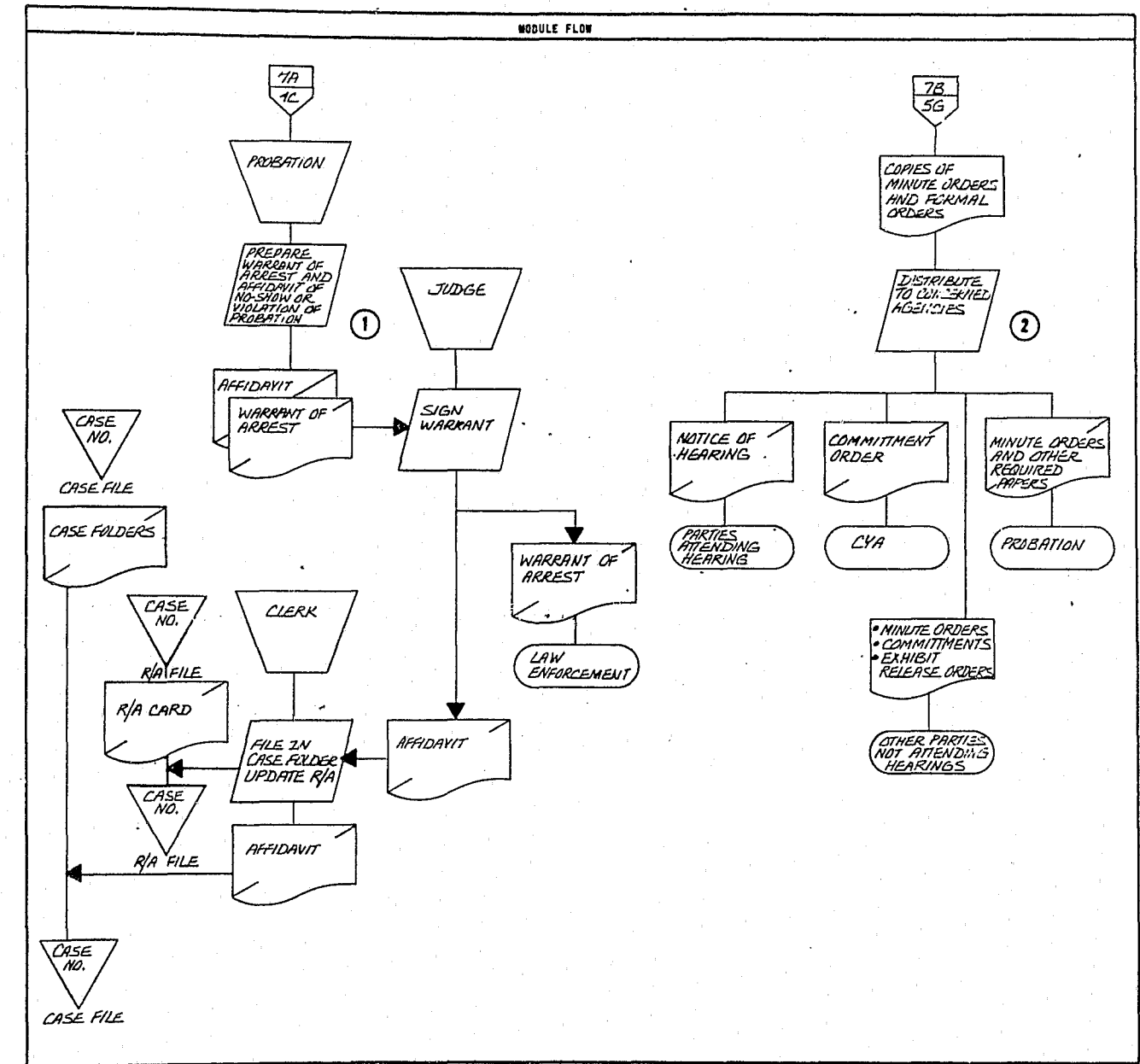
MODULE NARRATIVE

① Index cards prepared at case initiation time are filed in a card file in alphabetical order. Information included on the card includes juvenile's name, case number, petition number and may include a reference to any previous court action by listing the previous date of the last action filed.

Since the card is microfilmed and destroyed annually, it must be replaced each time a petition is filed more than a year subsequent to the previous petition.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-7-101	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 7 of 10
MODULE PURPOSE To provide notification to public agencies, probation, law enforcement and other parties concerned with the outcome of juvenile proceedings			



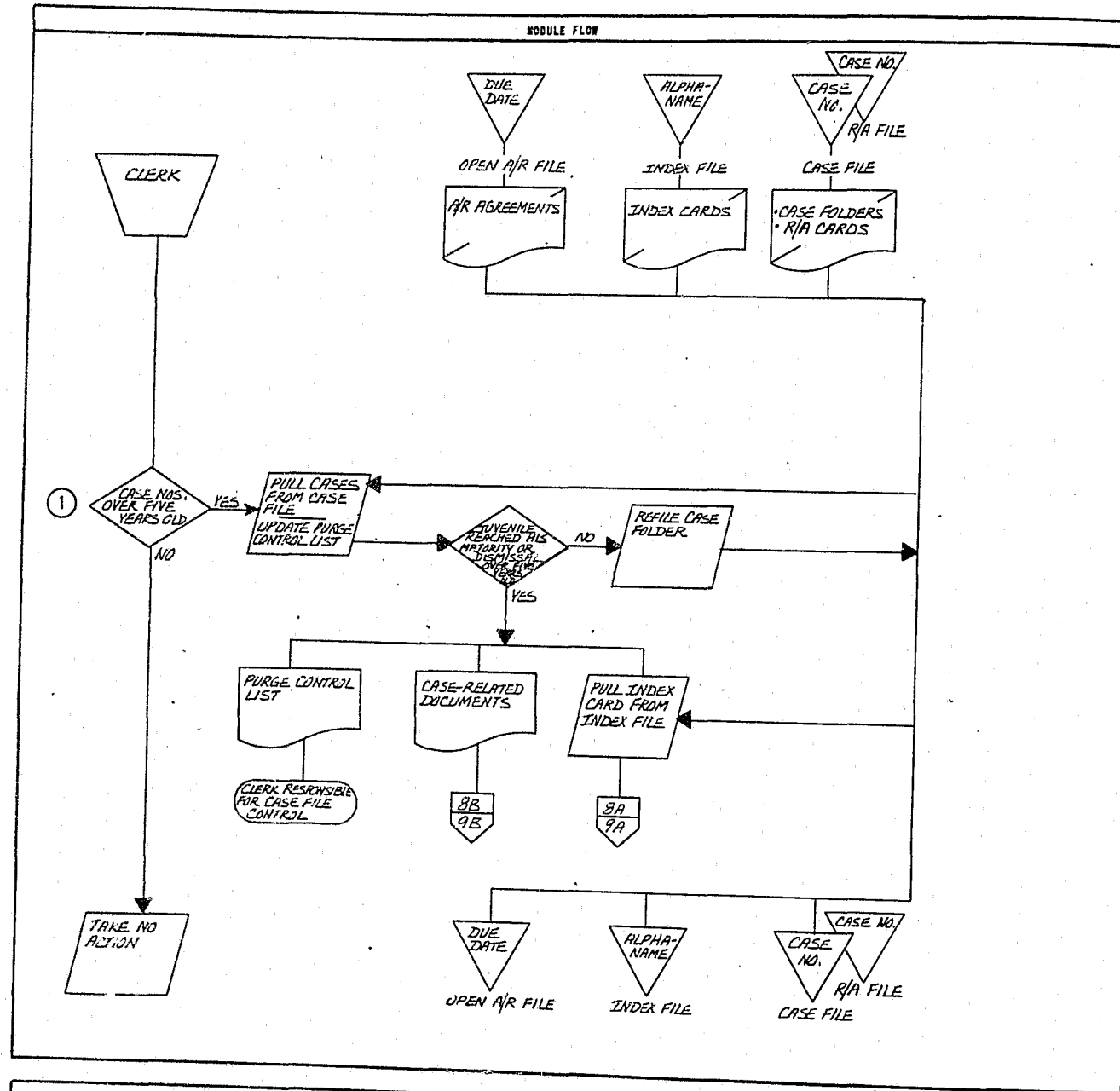
MODULE NARRATIVE

① If a juvenile released prior to his hearing on a delinquency or dependency petition fails to appear, the probation office, upon order of the court, may prepare an arrest warrant and affidavit of non-appearance for issuance by the court. A missing persons report may also be filed.

② All copies of the minute orders and formal orders are distributed by the clerk. The notice of hearing on the petition is handed to the concerned parties after the detention hearing and the affidavit of service is completed at this time.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-8-134	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 8 of 10
MODULE PURPOSE To periodically purge juvenile files			

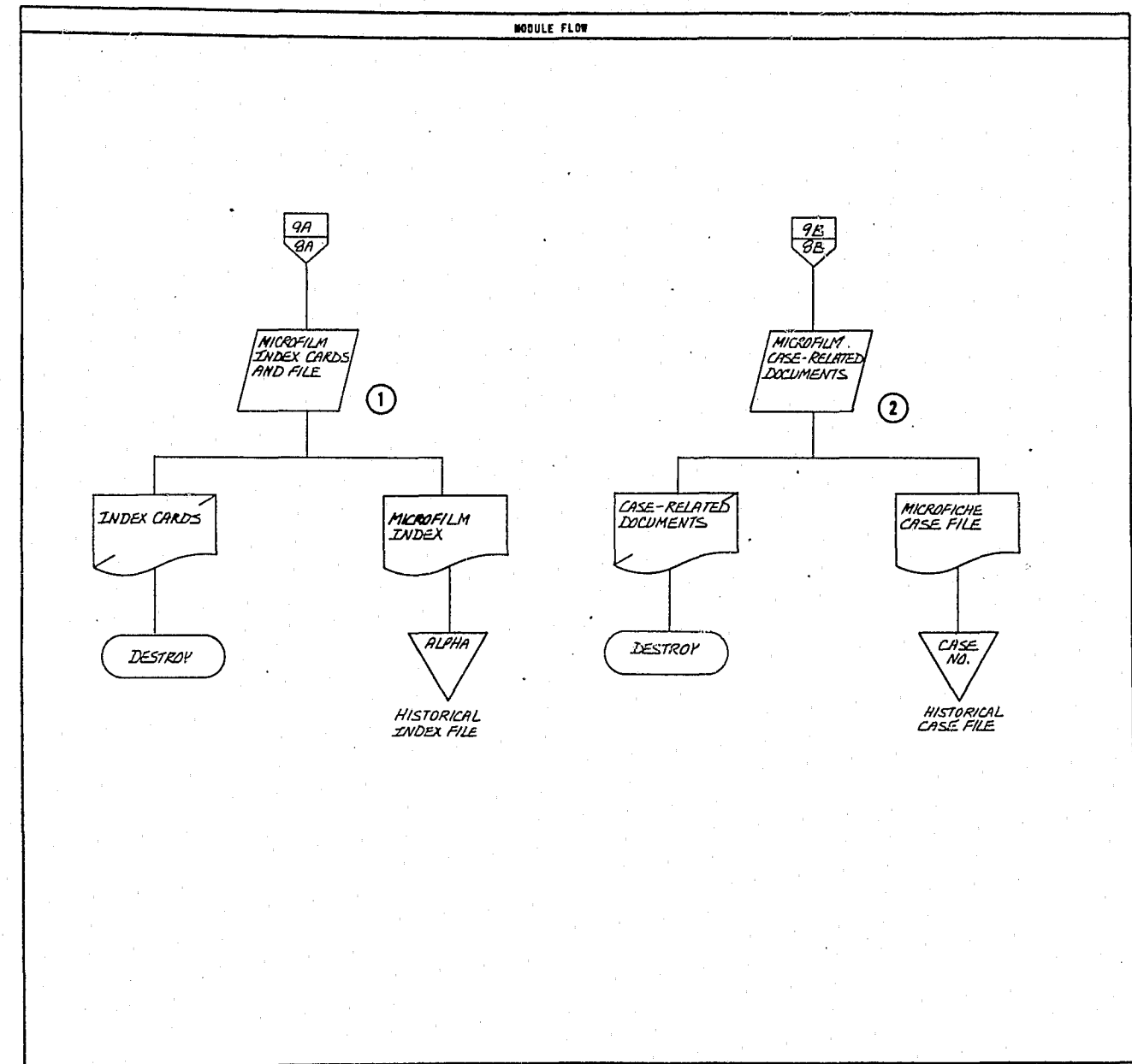


MODULE NARRATIVE

① All case folders and R/A cards with case numbers over five years old are removed from their files. If the juvenile has reached his majority or the dismissal order is over five years old, the corresponding index card is pulled from the Index File and submitted with the case-related documents for microfilming and destruction. Otherwise, the case folder is refiled and the index card remains active.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-8-134	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 9 of 10
MODULE PURPOSE To periodically purge juvenile files			

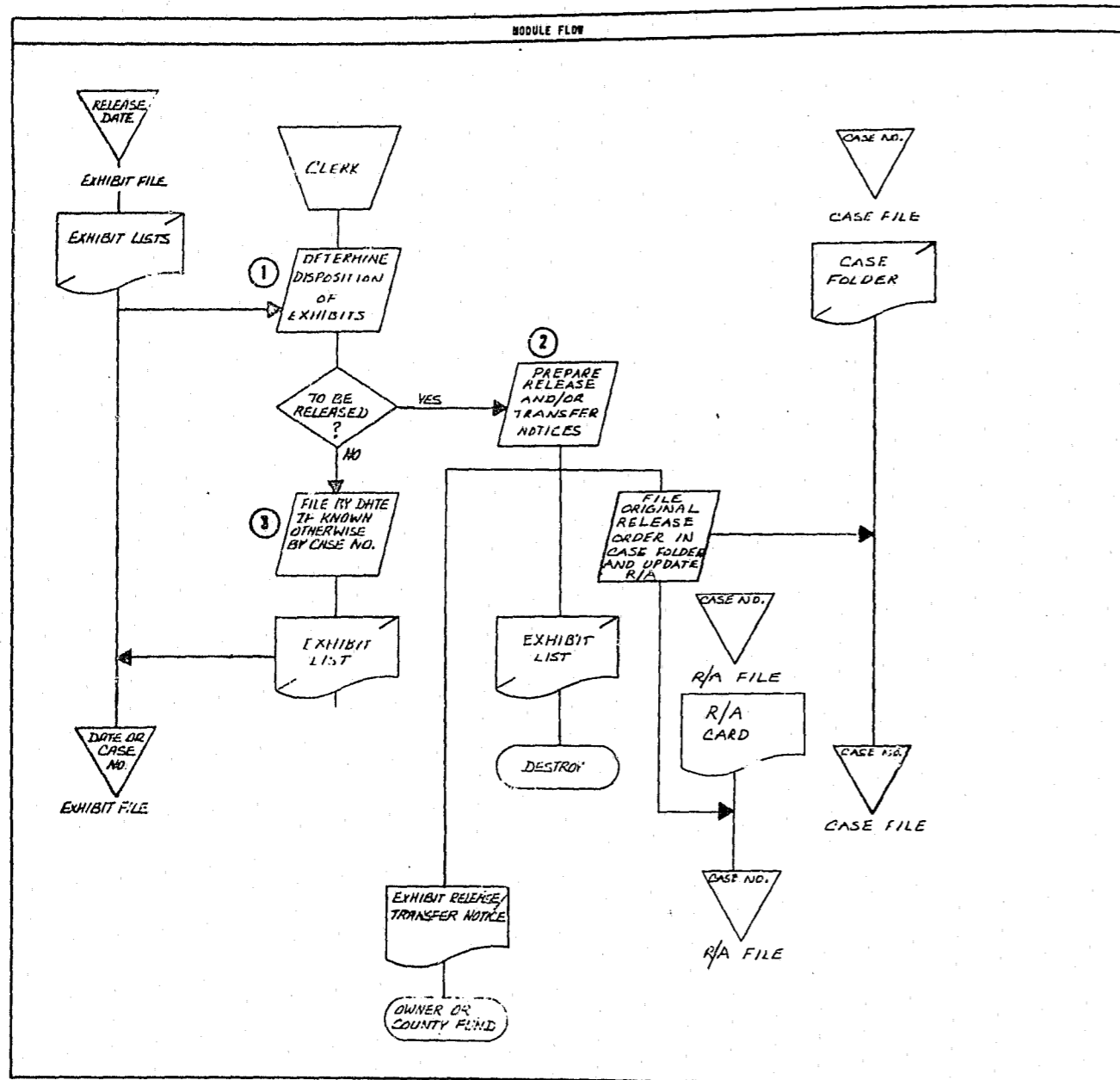


MODULE NARRATIVE

① All purged index cards are microfilmed. The original cards are destroyed.
② All case material is microfilmed. The original documents are destroyed while the microfilm are maintained in a permanent file.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DM-10-301	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Manual	PAGE 10 of 10
MODULE PURPOSE To monitor and control the acquisition, inventorying and destruction of exhibits received into evidence			



MODULE NARRATIVE

① All exhibits received into evidence are recorded on exhibit lists by the court clerk. Each exhibit is identified by case number, exhibit number, a brief item description, a reference to its storage location, the owner, and his relationship to the case.

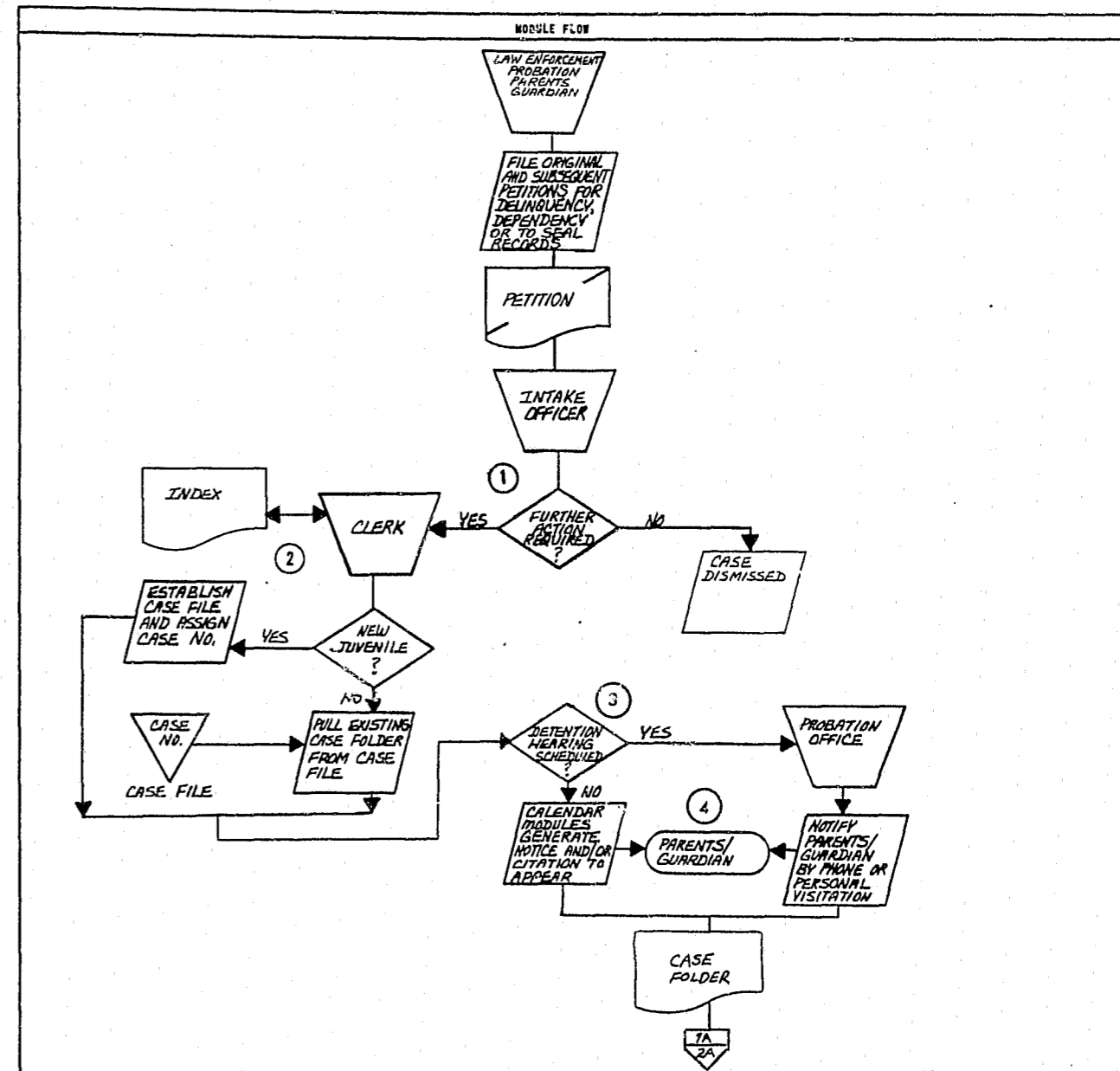
② If the exhibit has been ordered released or the release date has passed, the proper notification forms are prepared by the clerk. The originals are filed in the case folder; copies are distributed to the concerned parties.

③ Exhibit lists for those exhibits to be released at a later date are filed in the Exhibit File by the sentence expiration date/release date if known. If the release date is not known, the lists are filed by case number in the suspense area of the file.

FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-1-023	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 of 13
MODULE PURPOSE To initiate juvenile cases for dependency, delinquency or sealing of records			



MODULE NARRATIVE

① Prior to the time that the court takes cognizance of the case, delinquency and dependency petitions are reviewed by an intake officer who is empowered to dismiss the petition and/or to release the juvenile until the hearing on the petition is held.

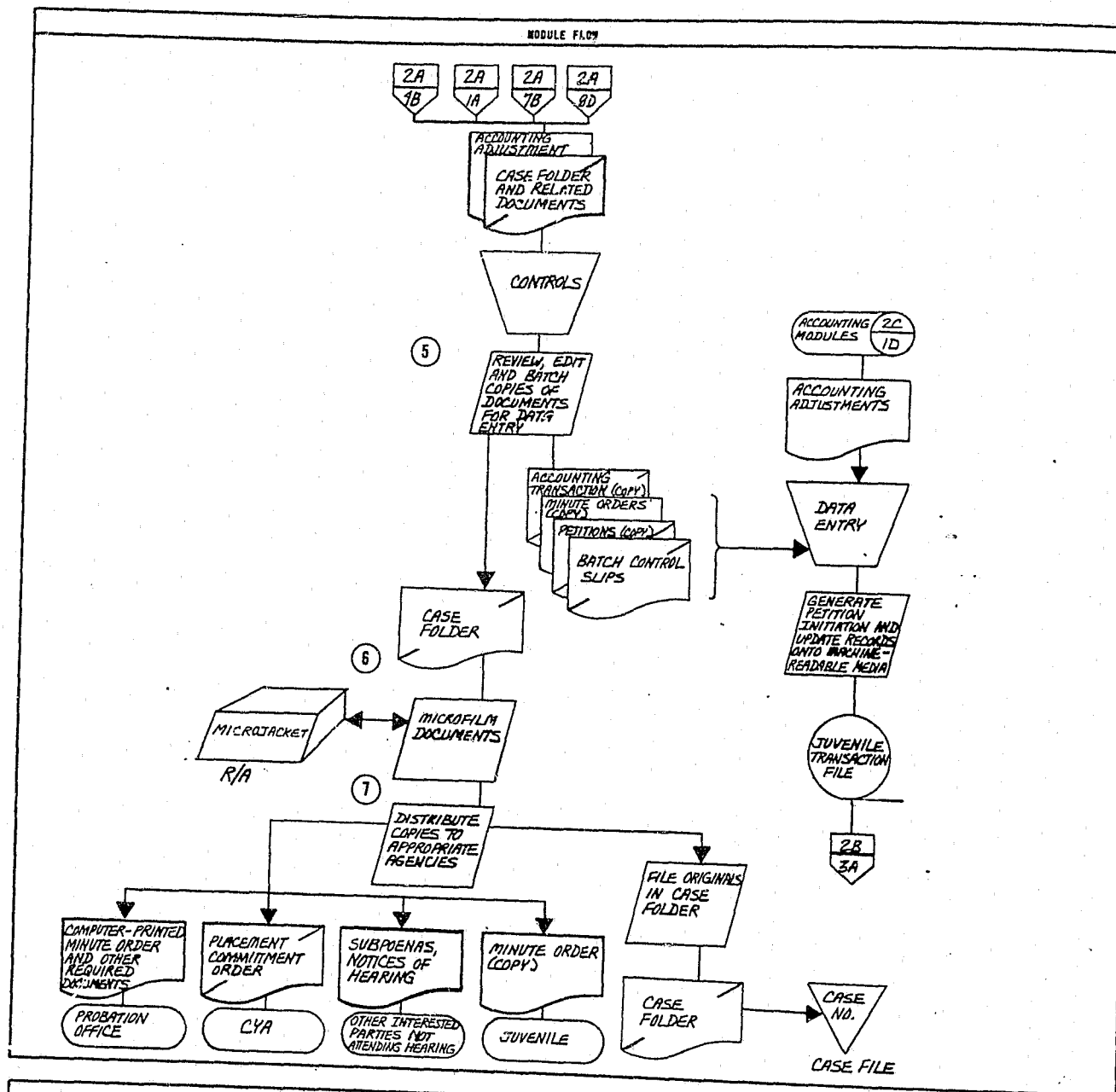
② If further action is required, the petition is filed with the court. A new case is established for first time offenders; otherwise, the existing case folder is utilized.

③ A detention hearing date is set unless the juvenile has been released. This hearing must be within 48 hours of confinement.

④ The parents or guardian are notified by the Probation Office if the juvenile is detained pending the detention hearing. A Citation to Appear and/or Notice of Hearing is issued by the automated calendaring system ordering the parents or guardian to appear at the hearing on the petition if the juvenile has been released prior to hearing.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-1-023	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 OF 13
MODULE PURPOSE To microfilm documents prior to their distribution and filing in the case folder, and to enter the data required to initiate and update the automated records			



MODULE NARRATIVE

5 Incoming documents and documents generated by the court are reviewed by a controls clerk. The carbon copies of petitions, minute orders, account setups, adjustments, and payments are batched and routed to data entry for input to the automated system.

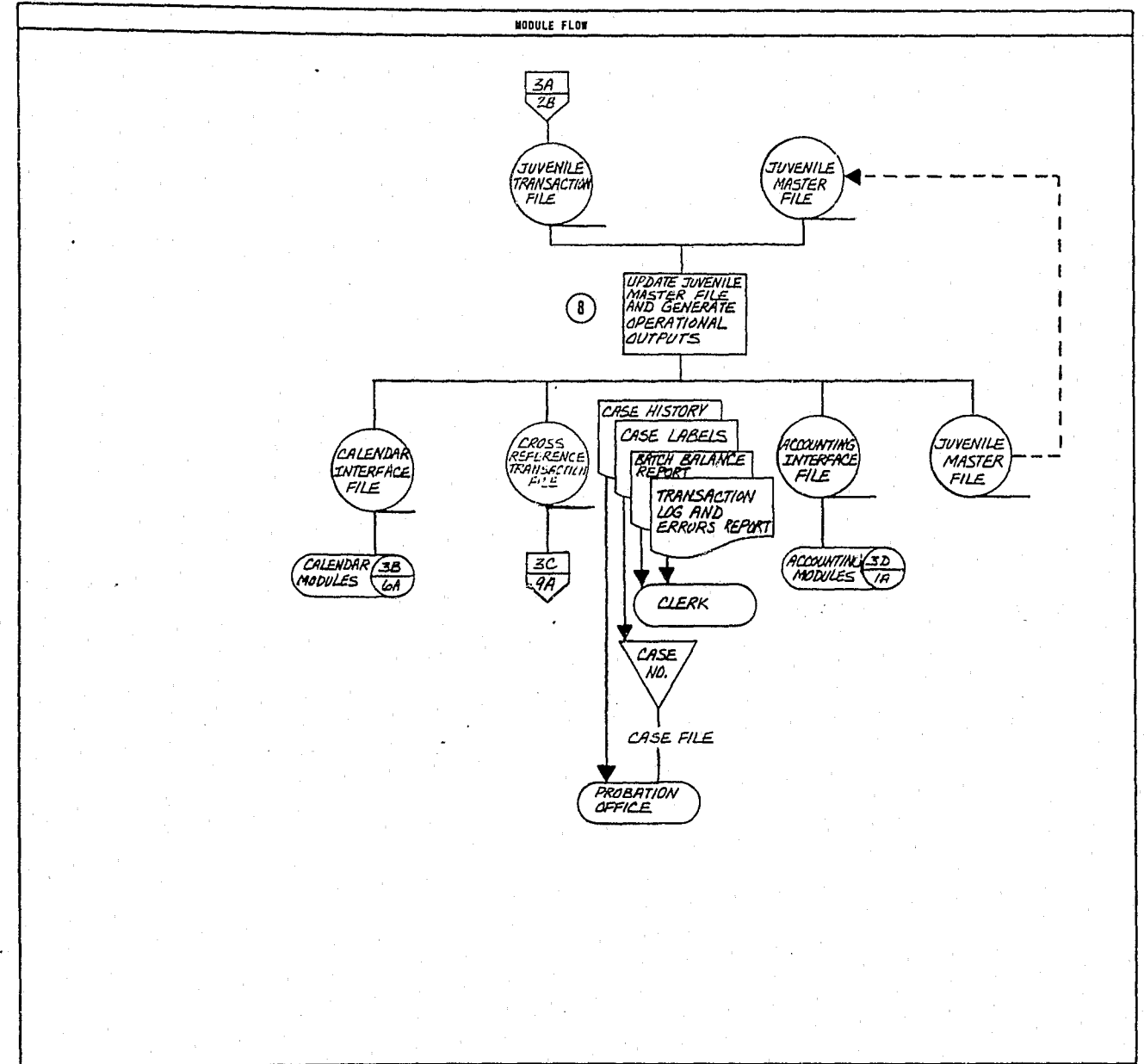
This information includes petition initiating data, calendared events, motions, continuances dispositions, and accounting transactions for payments of assessments, restitution, and facilities reimbursement on a one-time or installment basis.

6 The documents are microfilmed and placed in a microjacket prior to their filing in the case folder. The microjacket cards are sequenced in case number order and serve as the Register of Actions.

7 Copies of the appropriate documents are distributed as shown. The Probation Office is provided a copy of every formal document and minute order generated by the court. Subsequent to the hearing on the petition, further notices of hearing and case disposition are provided to the juvenile in the form of minute order copies.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-1-023	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 OF 13
MODULE PURPOSE To initiate and update automated juvenile master records, to prepare operational reports, and to generate interfaces to other modules			



MODULE NARRATIVE

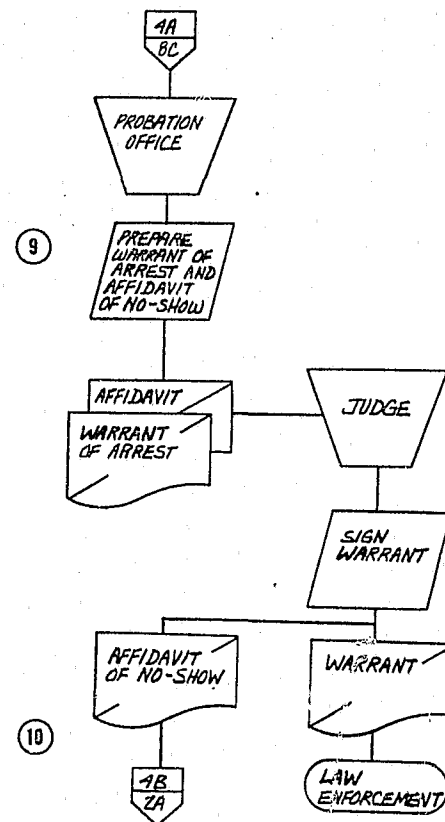
8 A record is generated by the automated system for each petition filed. In order to distinguish between petitions, a petition number suffix is appended to the case number. Future references to the automated records include petition number as well as case number. This procedure is necessary in order to match subsequent court actions to their corresponding filings.

The Juvenile Master File contains a record for each petition filed on behalf of a juvenile until he reaches his majority.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-1-023	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 OF 13
MODULE PURPOSE To process warrants for juveniles who fail to appear for the hearing on their delinquency or dependency petition			

MODULE FLOW



MODULE NARRATIVE

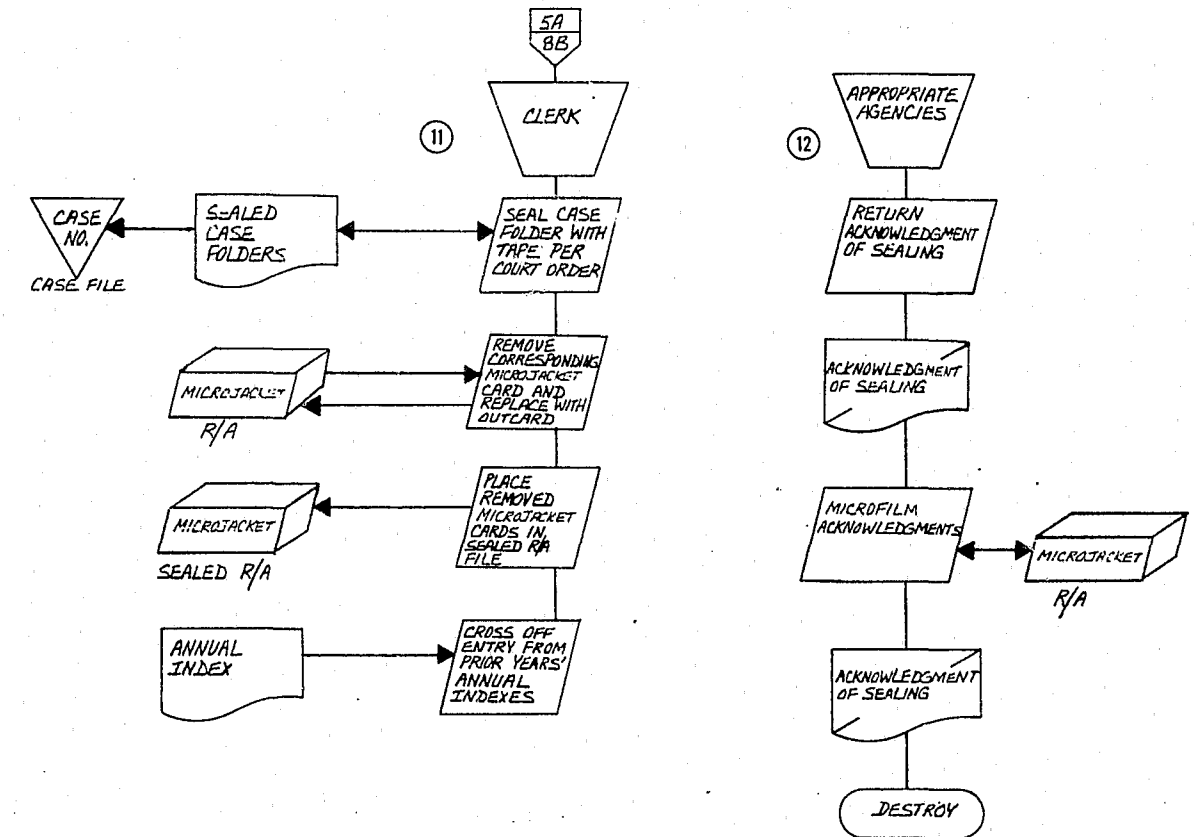
9 If a juvenile released prior to his hearing on a delinquency or dependency petition fails to appear, the Probation Office, upon order of the court, may prepare an arrest warrant and Affidavit of Non-appearance for issuance by the court. A missing persons report may also be filed.

10 The documents are microfilmed and filed in a microjacket prior to their filing in the case folder.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-1-023	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 OF 13
MODULE PURPOSE To seal court records pursuant to court order, and to process acknowledgments of sealing			

MODULE FLOW



MODULE NARRATIVE

11 When the court orders the sealing of a juvenile's records, all concerned agencies are notified. The clerk performs the following tasks for sealing:

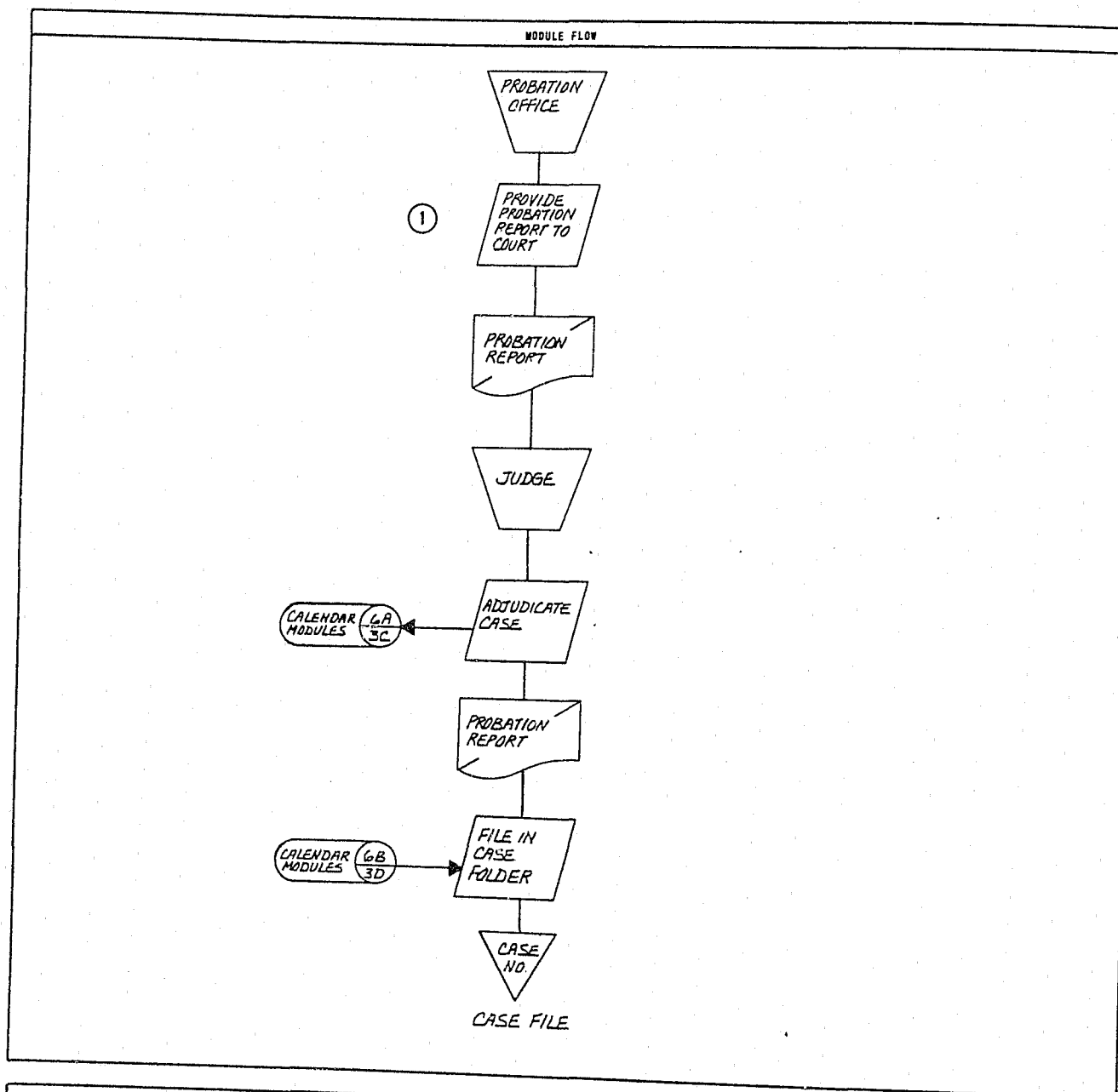
- Physically seals the case folder with tape immediately
- Removes the corresponding microjacket card from the Register of Actions and places it in a envelope which is sealed and filed in sealed Register of Actions File
- Crosses off the corresponding entry from prior Annual Indexes using a black marking pen.

12 Agencies ordered to seal their records acknowledge compliance by returning a form indicating that sealing has occurred. Since these documents usually arrive after the case folder

has been physically sealed, we recommend that the acknowledgments be microfilmed, filed with the microjacket card, and then destroyed.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-6-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 13
MODULE PURPOSE To provide a summary of prior criminal activity to the court along with a recommendation of the Probation Office			

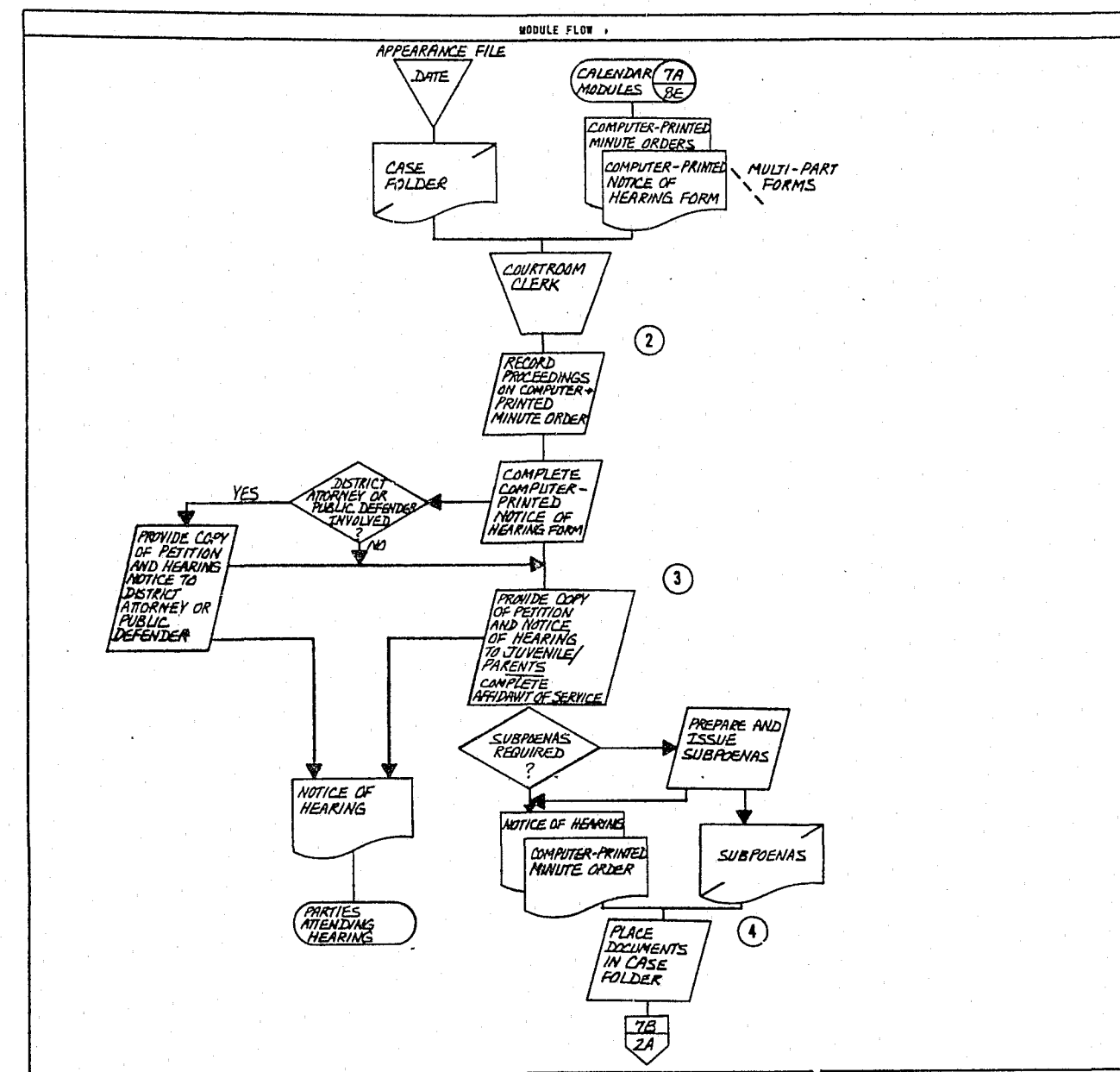


MODULE NARRATIVE

① Juvenile records maintained at the state level are presently incomplete for the purposes required by the court. Instead, the Probation Office located in the juvenile's area of residence receives and collects reports from other Probation Offices throughout the state, which are then incorporated in the juvenile's probation file. Based upon data in this file and supplementary investigation reports, a probation report of previous incidents and recommendations on the current matter before the court is presented to the judge during adjudication.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-6-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 13
MODULE PURPOSE To record proceedings stemming from the detention hearing			



MODULE NARRATIVE

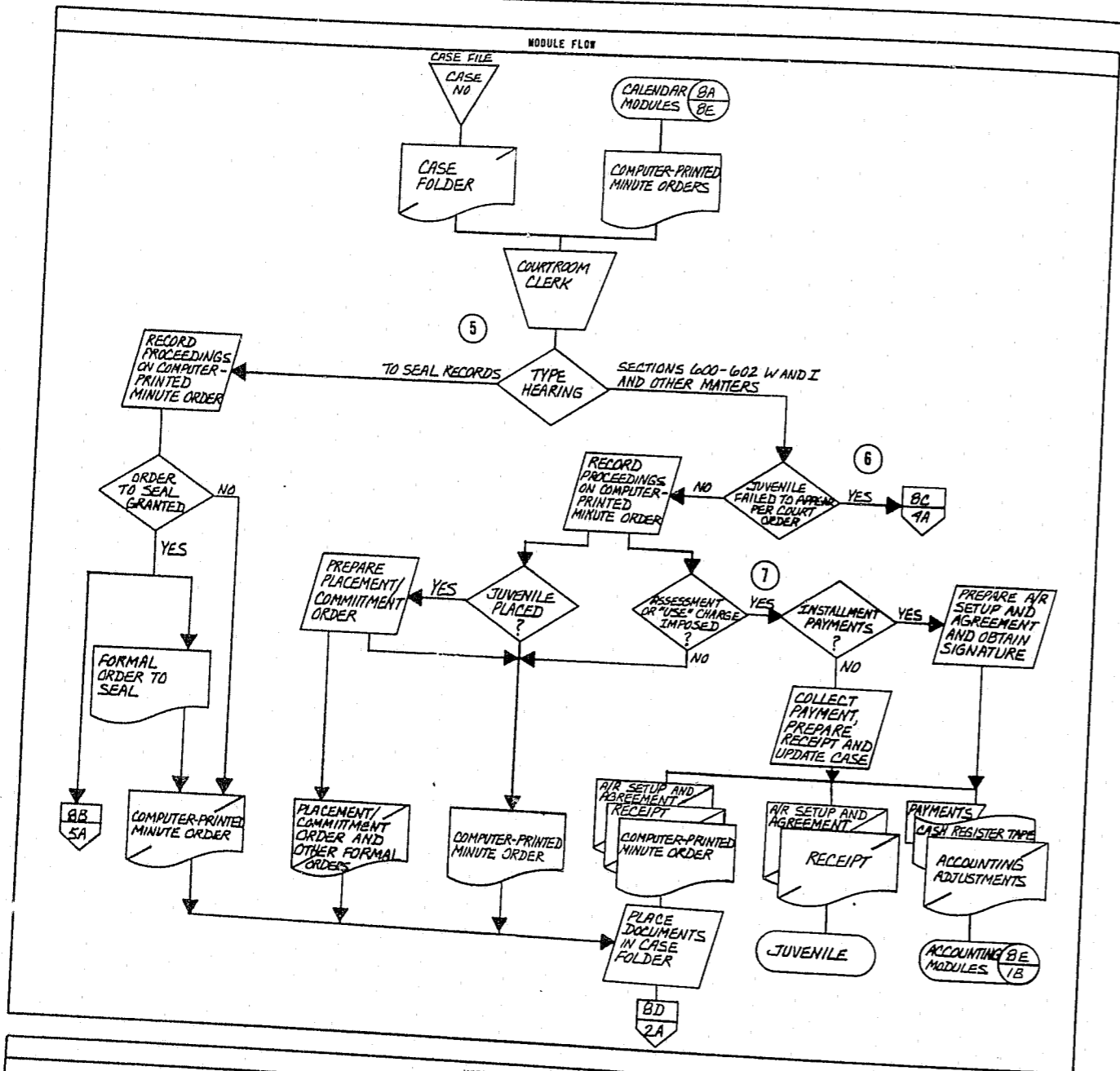
② The courtroom clerk receives a computer-printed minute order and a Notice of Hearing form for each court appearance before the detention hearing is held. Proceedings are recorded on the minute order form. Checkoff entries are utilized to minimize the need for long narratives.

③ The assigned court date for the hearing on the petition is entered on the multi-part Notice of Hearing form. The courtroom clerk then gives each party named in the petition a copy of the notice and completes the affidavit of service (on the back of the original), which is then filed in the case folder. A copy of this petition is also given to the juvenile.

④ The remaining copies of the Notice of Hearing form and minute order, plus any subpoenas that may be issued, are placed in the case folder and forwarded to the controls clerk for microfilming, distribution, and data entry.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-6-052	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 13
MODULE PURPOSE To record proceedings stemming from the hearing on the petition, motions and placement hearings			



MODULE NARRATIVE

⑤ Subsequent to the detention hearing, if held, the substantive matter is heard and may include a hearing:

- To determine delinquency or dependency on the initial or subsequent petition filed under Sections 600-602 W & I Code
- To seal juvenile records
- On a motion made orally or in writing
- To follow up on unplaced juveniles and to conduct annual reviews of dependent children cases.

⑥ If the juvenile's attendance is required and he does not appear, a warrant may be issued for the juvenile's arrest.

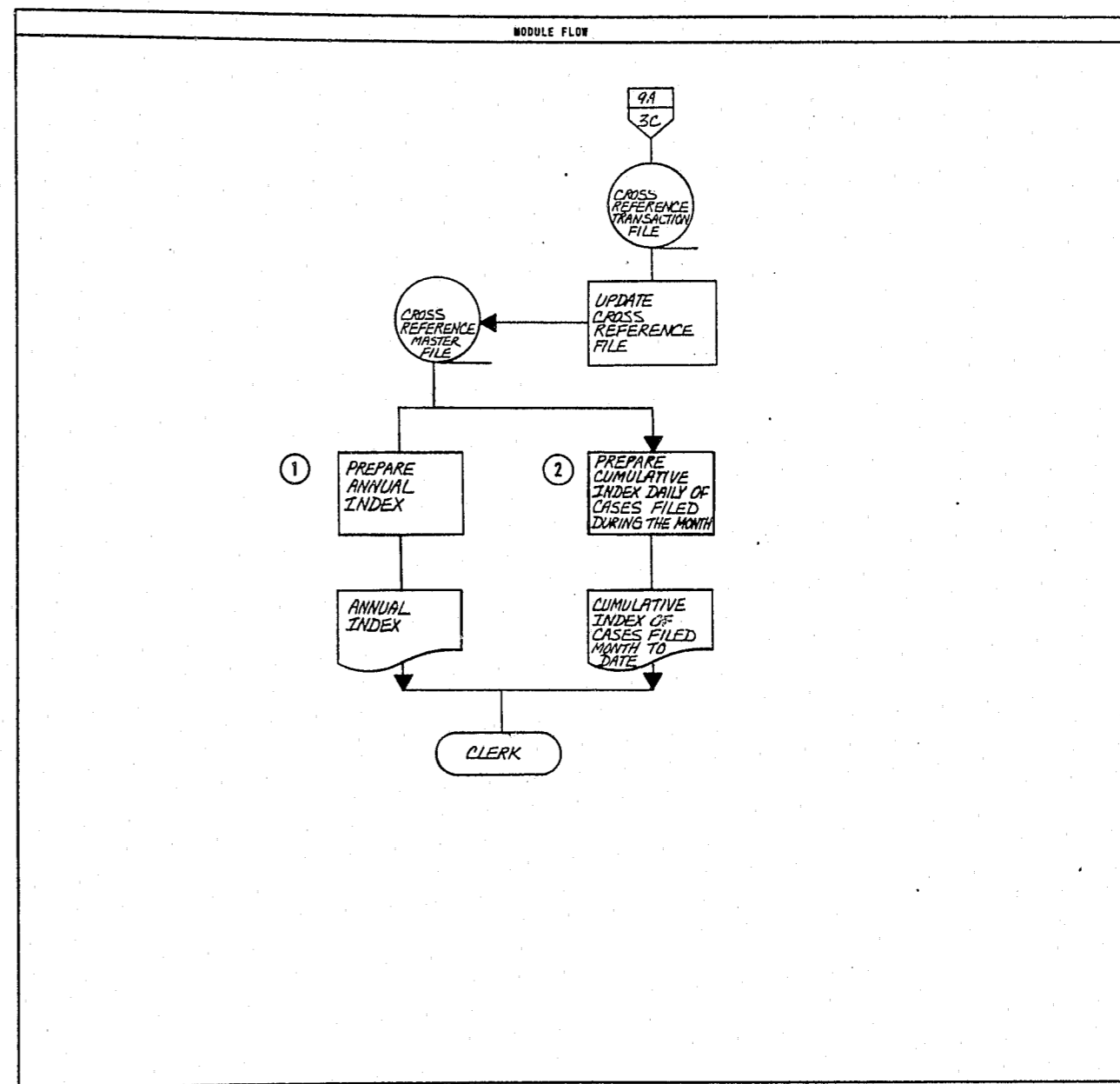
⑦ The court may order the submission of payments for:

- Assessments (fine)
- Restitution
- Reimbursement for the use of juvenile facilities.

These payments may be made at one time or the court may permit installment payments. In either case, the Probation Office is generally responsible for monitoring collections. The centralized accounting system will actually perform the financial processing of account setups, adjustments, and payments.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-9-081	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 13
MODULE PURPOSE To provide a daily cumulative index of cases filed during the month, and to provide an annual index of all unsealed cases filed during the calendar year			



MODULE NARRATIVE

① Once each year an Annual Index of all remaining unsealed cases filed during the calendar year is printed and distributed to the clerk.

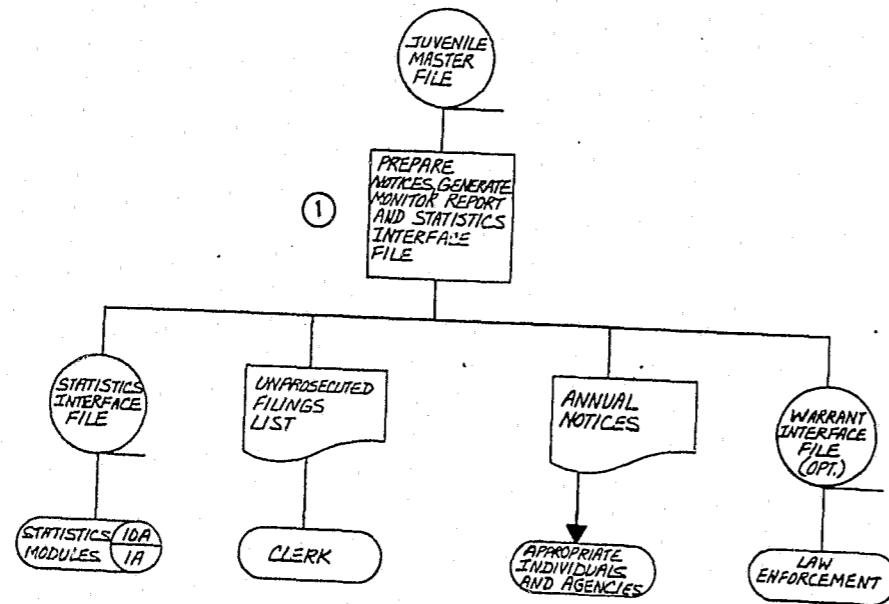
② An index is prepared daily of juveniles with petitions filed during the month. Each entry consists of, in alphabetical order, the juvenile's name, filing date, probation case number, court case number, charges, scheduled appearance date, and current case status.

A special column on the printout, in probation case number sequence, cross references probation case number to court case number, thereby providing reference to case number by either the juvenile's name or probation number.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-10-111	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 10 OF 13
MODULE PURPOSE To prepare notices to appropriate agencies and individuals, to monitor cases in the system and to generate an interface to the statistics modules			

MODULE FLOW



MODULE NARRATIVE

① Notices are generated weekly for annual reviews of dependent children placements.

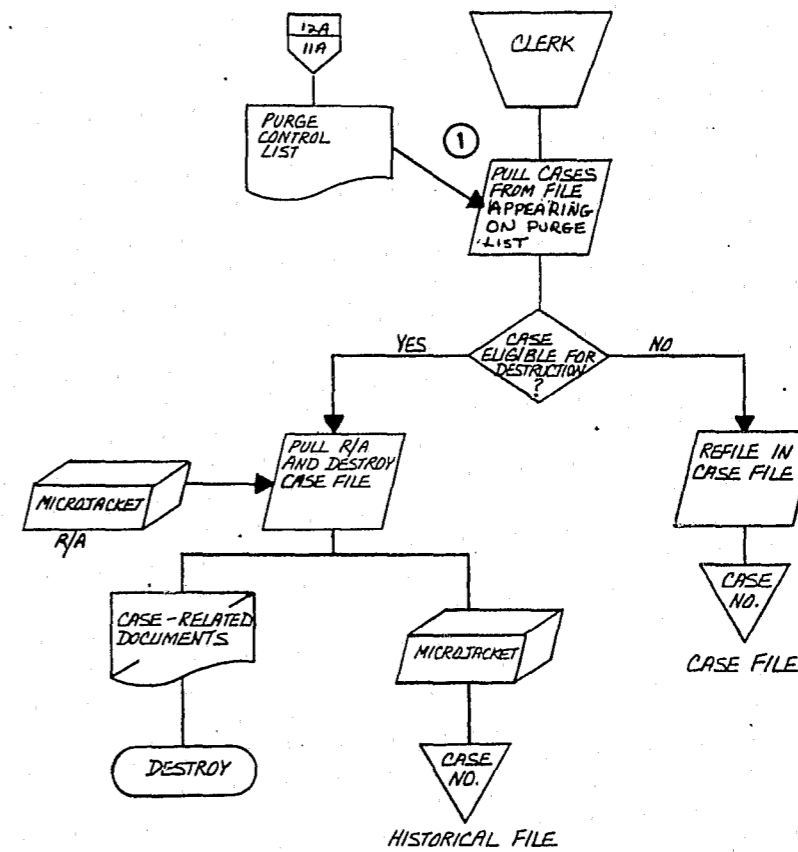
The Unprosecuted Filings List monitors all matters before the court and informs the clerk of cases not scheduled for hearing within the time constraints imposed by Section 547 of the Welfare and Institutions Code.

The Statistics Interface File is generated monthly. It contains filing, disposition, and processing statistics for production of statistical reports for internal management use and for reporting to outside agencies.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-11-144	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 11 OF 13
MODULE PURPOSE To purge case files eligible for destruction			

MODULE FLOW

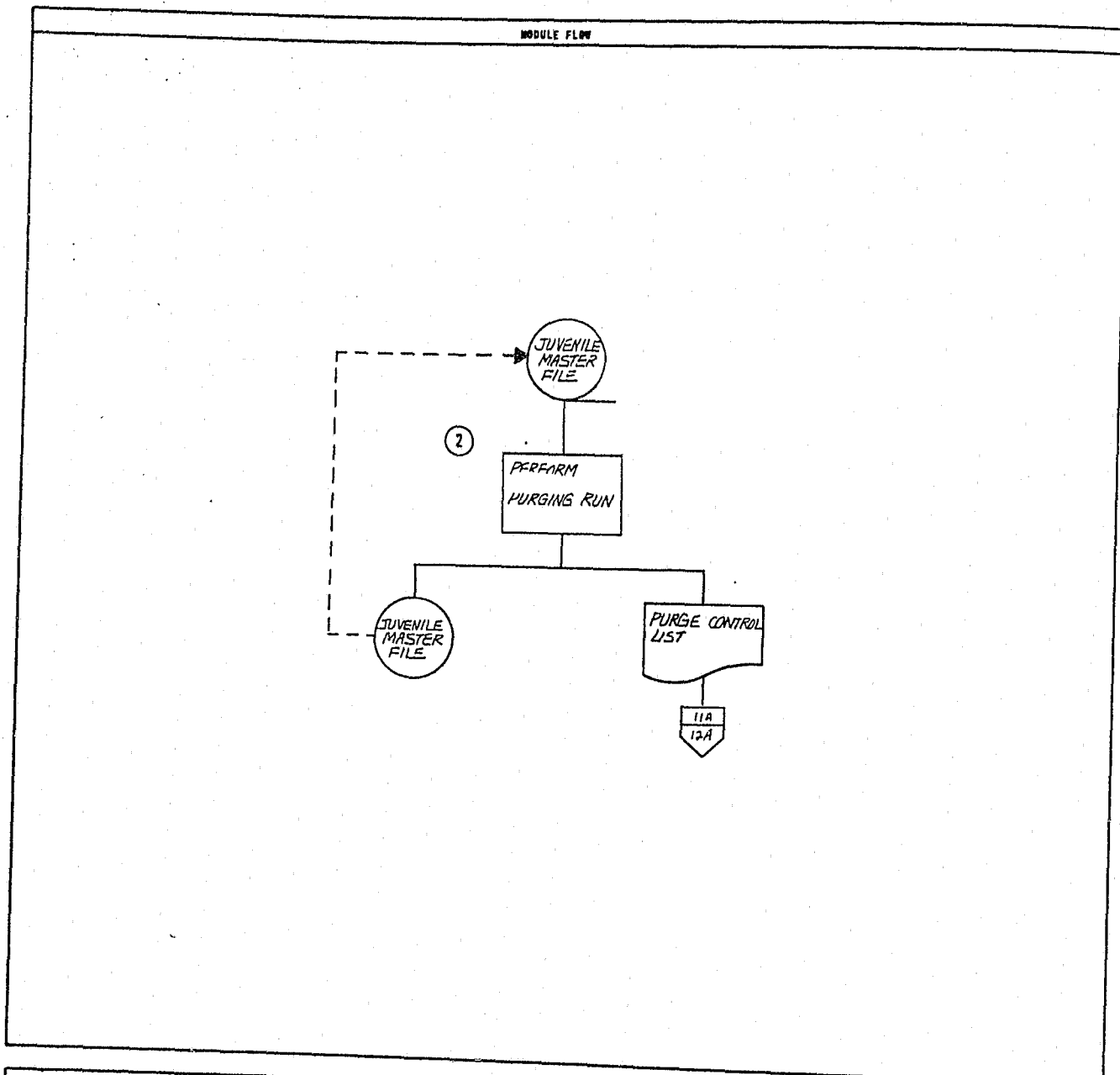


MODULE NARRATIVE

① All cases for which the juvenile has reached his majority or those cases inactive for five years from the date of disposition may be purged if adequate microfilm backup is maintained. Since the Register of Actions consists of micro-jacket copies of all case-related documents, purging consists solely of destroying the eligible case folders and transferring the corresponding microjacket cards to the Historical File.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-11-144	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 12 OF 13
MODULE PURPOSE To purge automated records of juveniles whose cases are inactive and who are over 18 years of age			



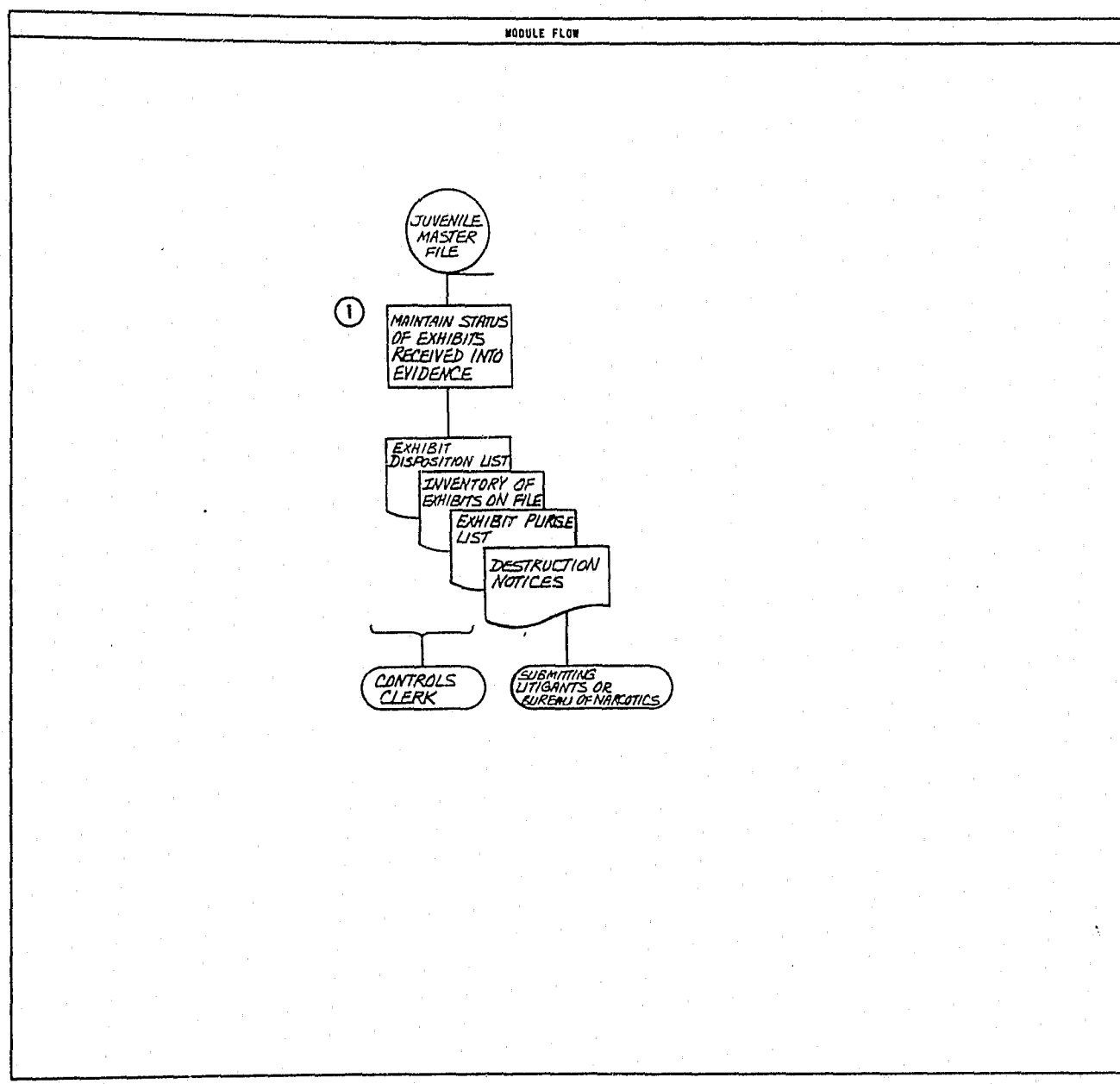
MODULE NARRATIVE

② The computerized records of "inactive" juveniles over 18 years of age are deleted from the Juvenile Master File and printed on the Purge List on an annual basis.

Orders to seal, filed by persons over 18 years of age, are deleted after one year.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DS-13-321	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Sequential Batch	PAGE 13 OF 13
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence			



MODULE NARRATIVE

① Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown.

Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and identification of the exhibit's owner.

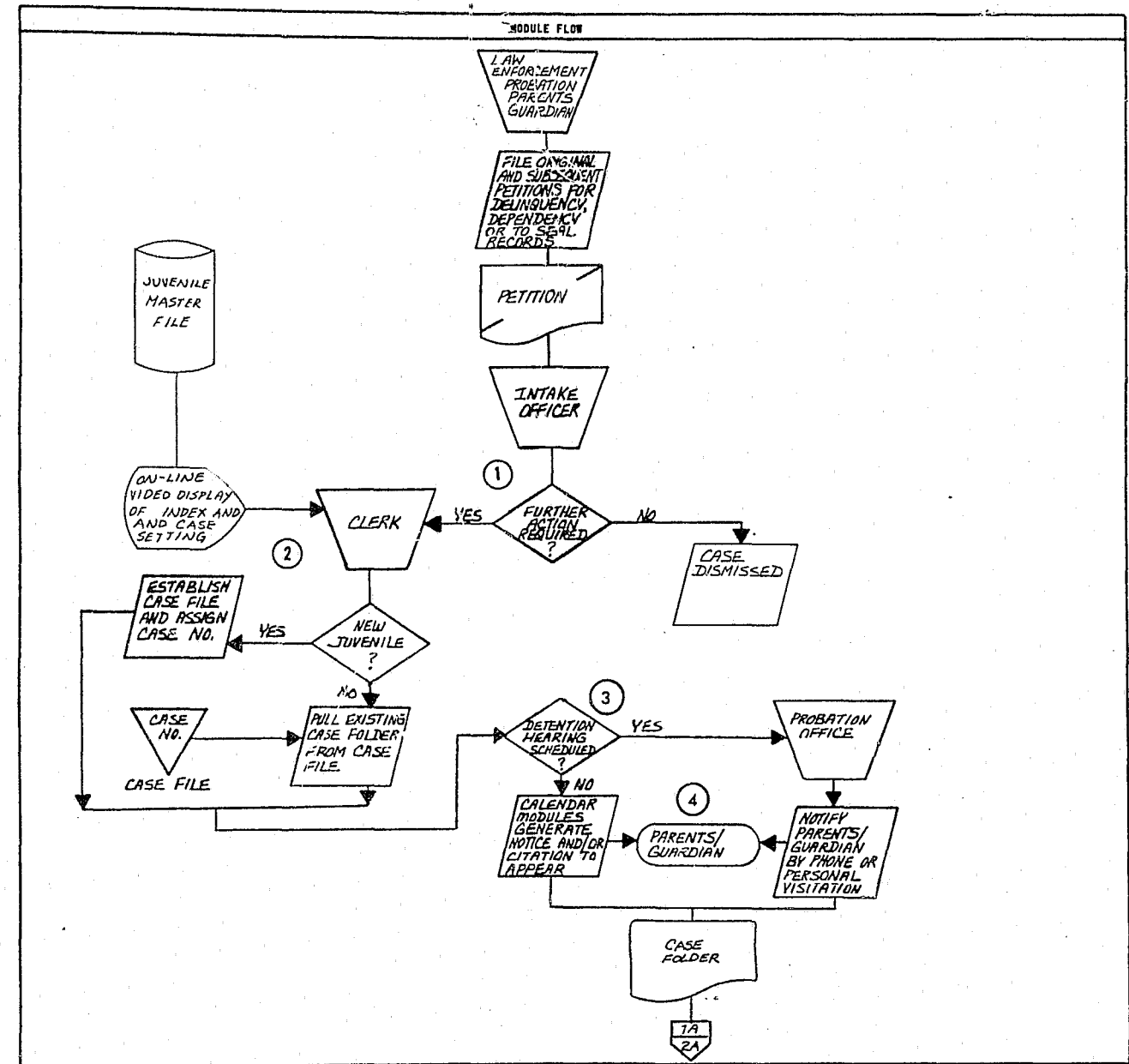
Exhibits ready for destruction or release are listed on the Exhibit Purge List. Notices are prepared to inform the exhibits' owners of impending action. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court.

The final disposition of each item is recorded on the Exhibit Disposition List.

FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-1-033	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 1 of 13
MODULE PURPOSE To initiate juvenile cases for dependency, delinquency or sealing of records			



MODULE NARRATIVE

① Prior to the time that the court takes cognizance of the case, delinquency and dependency petitions are reviewed by an intake officer who is empowered to dismiss the petition and/or to release the juvenile until the hearing on the petition is held.

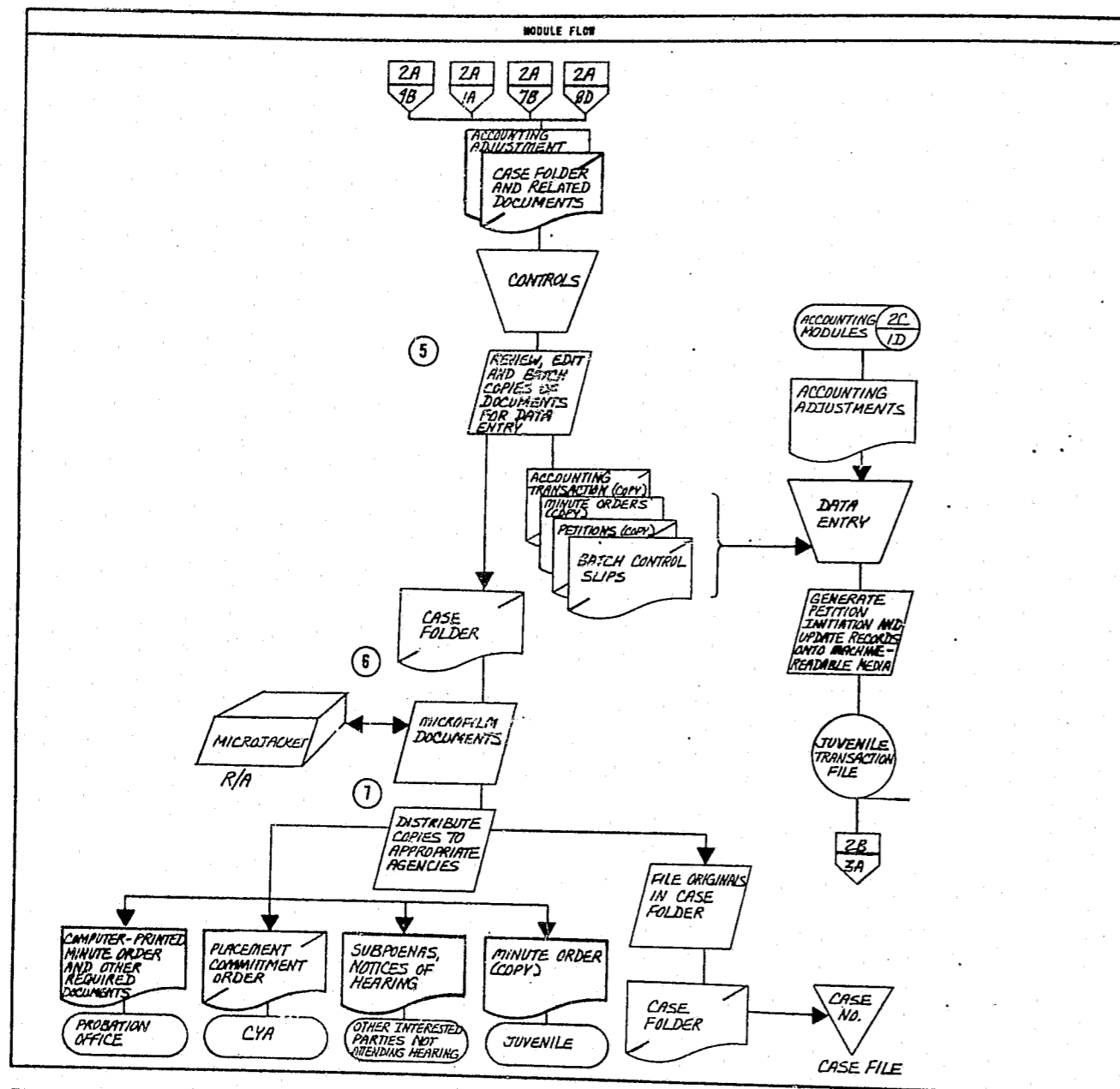
② If further action is required, the petition is filed with the court. A new case is established for first time offenders; otherwise, the existing case folder is utilized.

③ A detention hearing date is set unless the juvenile has been released. This hearing must be within 48 hours of confinement.

④ The parents or guardian are notified by the Probation Office if the juvenile is detained pending the detention hearing. A Citation to Appear and/or Notice of Hearing is issued by the automated calendaring system ordering the parents or guardian to appear at the hearing on the petition if the juvenile has been released prior to hearing.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-1-033	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 2 of 13
MODULE PURPOSE To microfilm documents prior to their distribution and filing in the case folder, and to enter the data required to initiate and update the automated records			



MODULE NARRATIVE

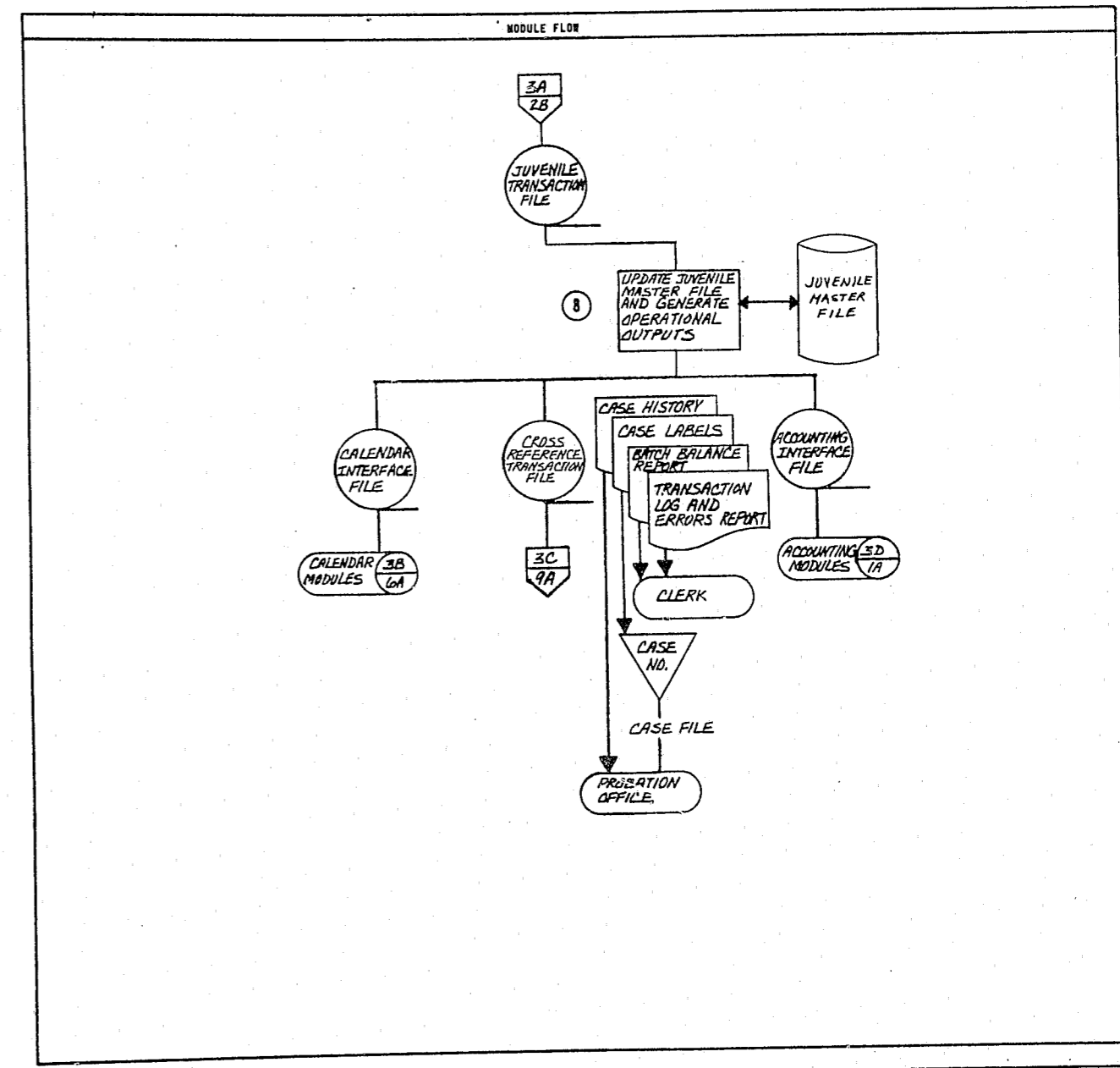
⑤ Incoming documents and documents generated by the court are reviewed by a controls clerk. The carbon copies of petitions, minute orders, account setups, adjustments, and payments are batched and routed to data entry for input to the automated system. This information includes petition initiating data, calendared events, motions, continuances dispositions, and accounting transactions for payments of assessments, restitution, and facilities reimbursement on a one-time or installment basis.

⑥ The documents are microfilmed and placed in a microjacket prior to their filing in the case folder. The microjacket cards are sequenced in case number order and serve as the Register of Actions.

⑦ Copies of the appropriate documents are distributed as shown. The Probation Office is provided a copy of every formal document and minute order generated by the court. Subsequent to the hearing on the petition, further notices of hearing and case disposition are provided to the juvenile in the form of minute order copies.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-1-033	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 3 of 13
MODULE PURPOSE To initiate and update automated juvenile master records, to prepare operational reports, and to generate interfaces to other modules			

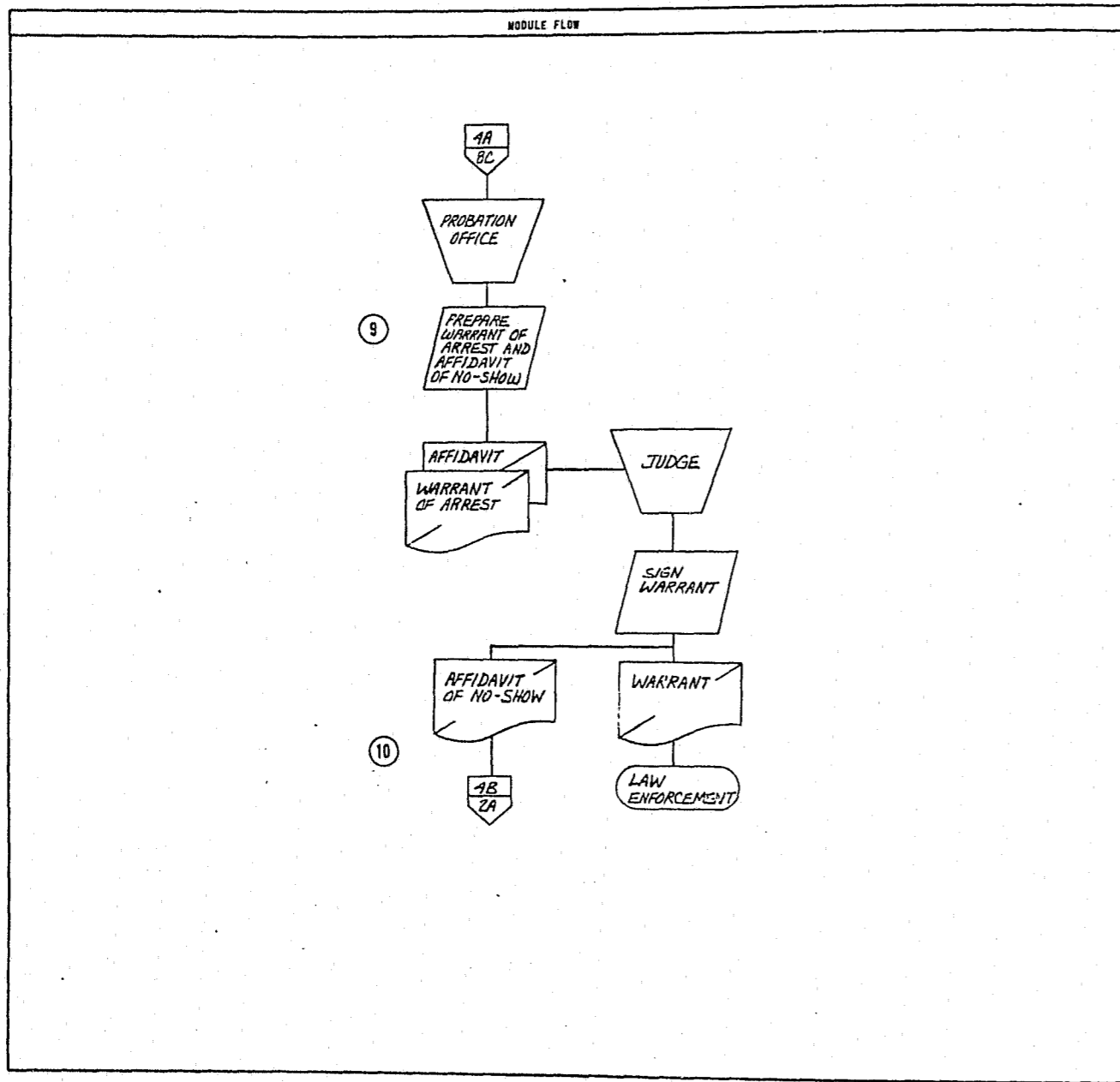


MODULE NARRATIVE

⑧ A record is generated by the automated system for each petition filed. In order to distinguish between petitions, a petition number suffix is appended to the case number. Future references to the automated records include petition number as well as case number. This procedure is necessary in order to match subsequent court actions to their corresponding filings. The Juvenile Master File contains a record for each petition filed on behalf of a juvenile until he reaches his majority.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-1-033	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 4 OF 13
MODULE PURPOSE To process warrants for juveniles who fail to appear for the hearing on their delinquency or dependency petition			



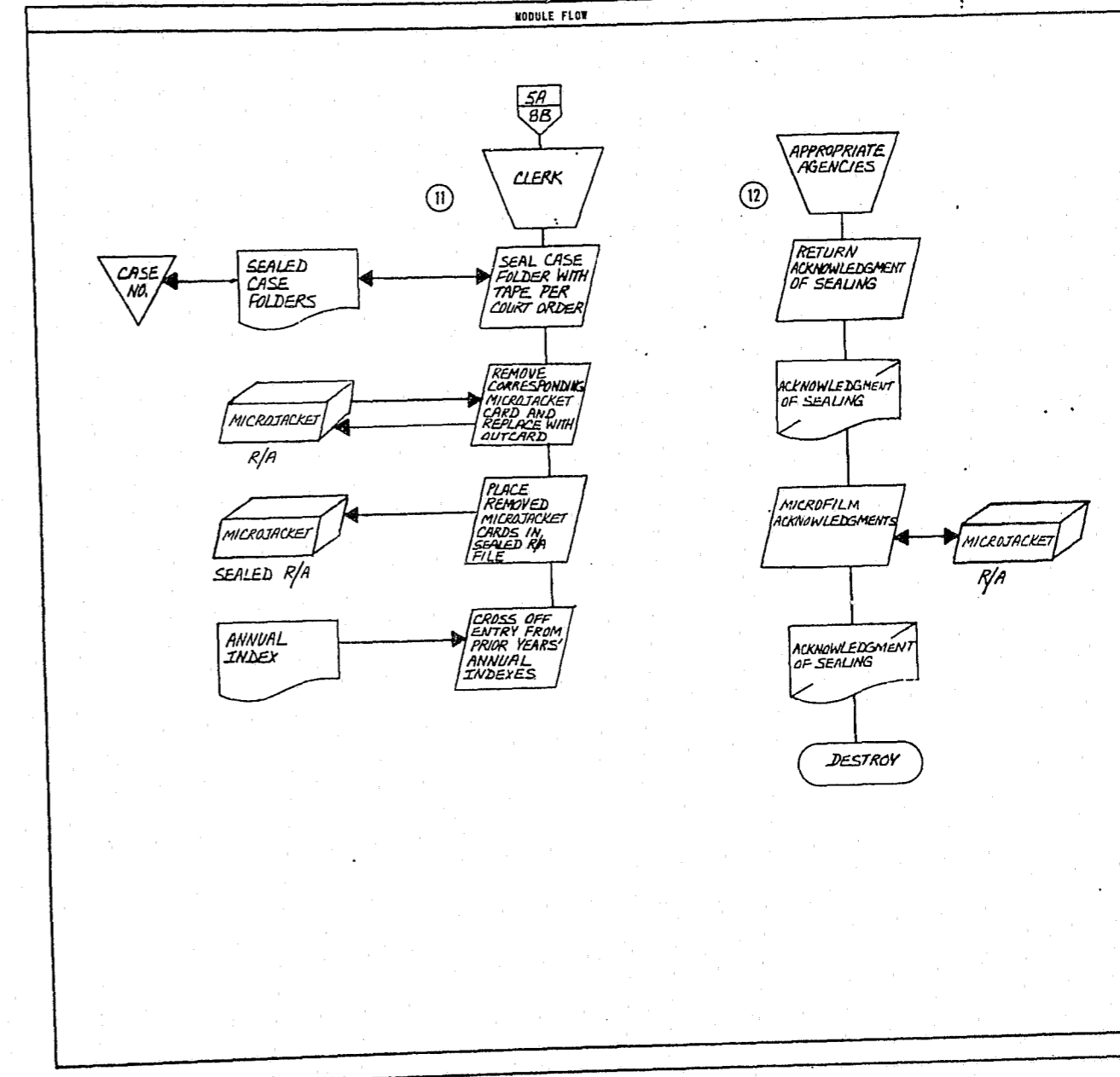
MODULE NARRATIVE

9 If a juvenile released prior to his hearing on a delinquency or dependency petition fails to appear, the Probation Office, upon order of the court, may prepare an arrest warrant and Affidavit of Non-appearance for issuance by the court. A missing persons report may also be filed.

10 The documents are microfilmed and filed in a microjacket prior to their filing in the case folder.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-1-033	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 5 OF 13
MODULE PURPOSE To seal court records pursuant to court order, and to process acknowledgments of sealing			



MODULE NARRATIVE

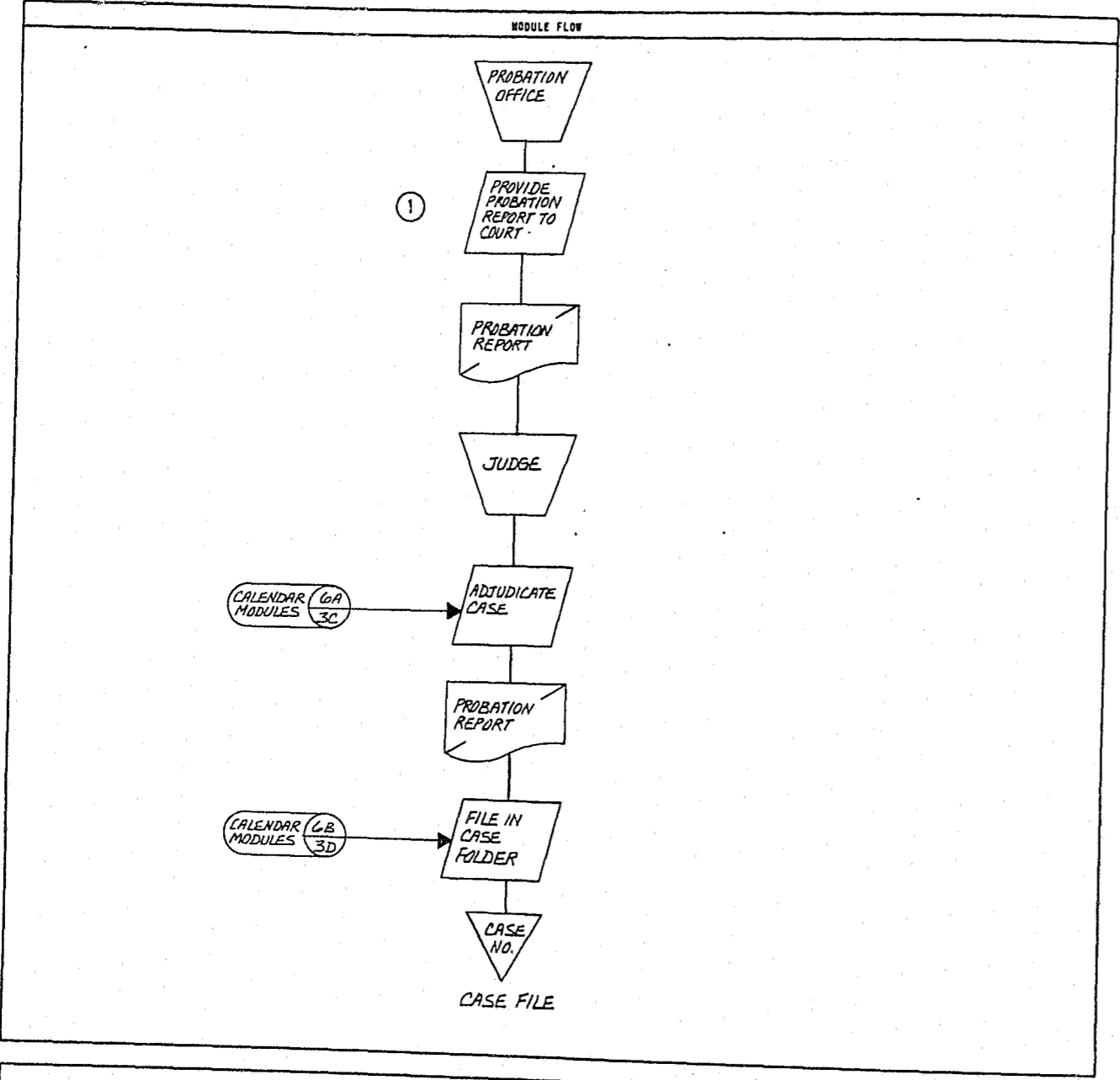
11 When the court orders the sealing of a juvenile's records, all concerned agencies are notified. The clerk performs the following tasks for sealing:

- Physically seals the case folder with tape immediately
- Removes the corresponding microjacket card from the Register of Actions and places it in an envelope which is sealed and filed in sealed Register of Actions file
- Crosses off the corresponding entry from prior Annual Indexes using a black marking pen.

12 Agencies ordered to seal their records acknowledge compliance by returning a form indicating that sealing has occurred. Since these documents usually arrive after the case folder has been physically sealed, we recommend that the acknowledgments be microfilmed, filed with the microjacket card, and then destroyed.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-6-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 6 of 13
MODULE PURPOSE To provide a summary of prior criminal activity to the court along with a recommendation of the Probation Office			

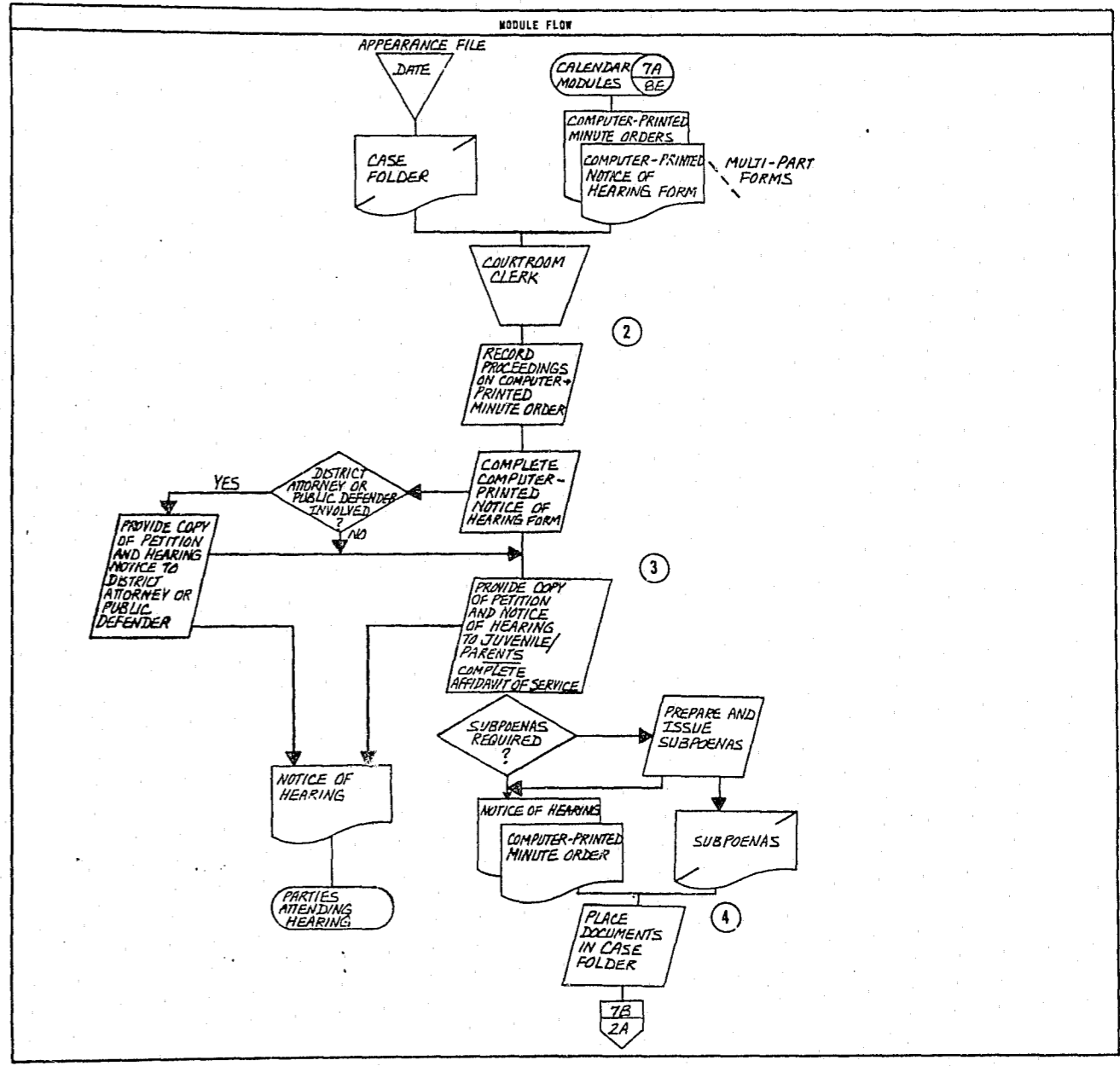


MODULE NARRATIVE

① Juvenile records maintained at the state level are presently incomplete for the purposes required by the court. Instead, the Probation Office located in the juvenile's area of residence receives and collects reports from other Probation Offices throughout the state, which are then incorporated in the juvenile's probation file. Based upon data in this file and supplementary investigation reports, a probation report of previous incidents and recommendations on the current matter before the court is presented to the judge during adjudication.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-6-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 7 of 13
MODULE PURPOSE To record proceedings stemming from the detention hearing			



MODULE NARRATIVE

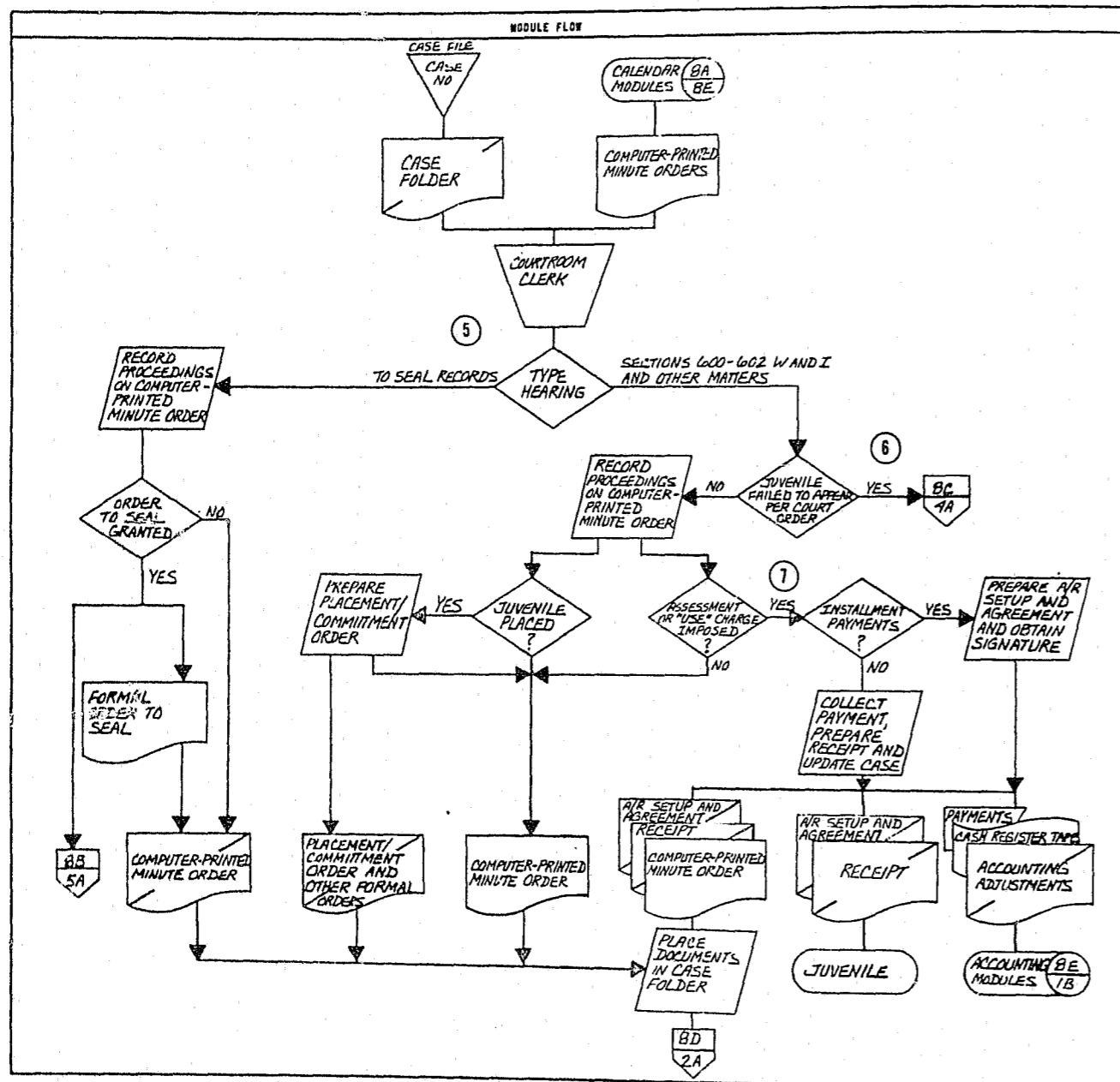
② The courtroom clerk receives a computer-printed minute order and a Notice of Hearing form for each court appearance before the detention hearing is held. Proceedings are recorded on the minute order form. Checkoff entries are utilized to minimize the need for long narratives.

③ The assigned court date for the hearing on the petition is entered on the multi-part Notice of Hearing form. The courtroom clerk then gives each party named in the petition a copy of the notice and completes the affidavit of service (on the back) of the original, which is then filed in the case folder. A copy of this petition is also given to the juvenile.

④ The remaining copies of the Notice of Hearing form and minute order, plus any subpoenas that may be issued, are placed in the case folder and forwarded to the controls clerk for microfilming, distribution, and data entry.

JUVENILE
MODULE CONCEPTUAL DESIGN

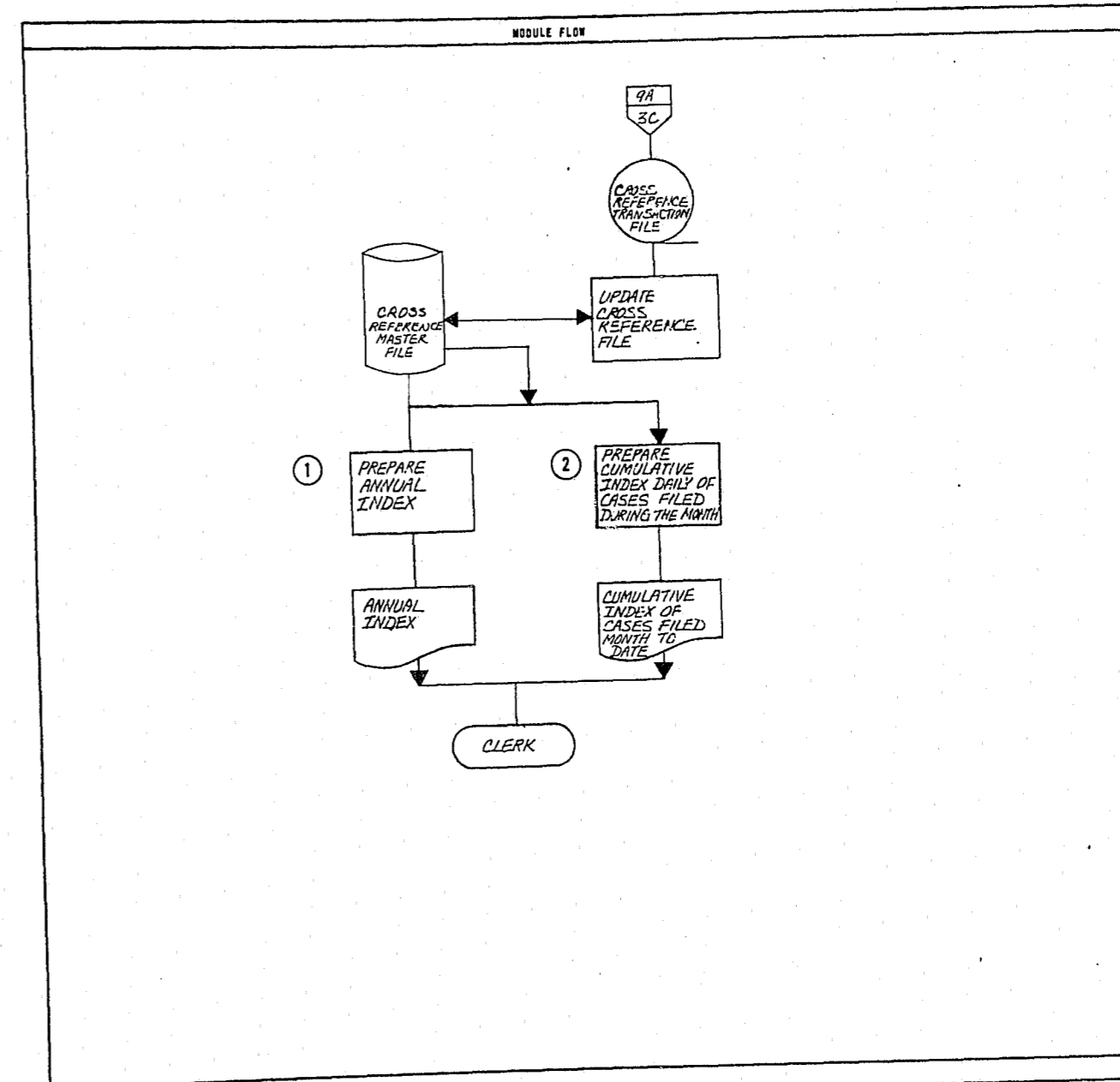
MODULE IDENTIFICATION DO-6-062	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 8 of 13
MODULE PURPOSE To record proceedings stemming from the hearing on the petition, motions and placement hearings			



<p>5 Subsequent to the detention hearing, if held, the substantive matter is heard and may include a hearing:</p> <ul style="list-style-type: none"> To determine delinquency or dependency on the initial or subsequent petition filed under Sections 600-602 W & I Code To seal juvenile records On a motion made orally or in writing To follow up on unplaced juveniles and to conduct annual reviews of dependent children cases. <p>6 If the juvenile's attendance is required and he does not appear, a warrant may be issued for the juvenile's arrest.</p>	<p>7 The court may order the submission of payments for:</p> <ul style="list-style-type: none"> Assessments (fine) Restitution Reimbursement for the use of juvenile facilities. <p>These payments may be made at one time or the court may permit installment payments. In either case, the Probation Office is generally responsible for monitoring collections. The centralized accounting system will actually perform the financial processing of account setups, adjustments, and payments.</p>
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JUVENILE
MODULE CONCEPTUAL DESIGN

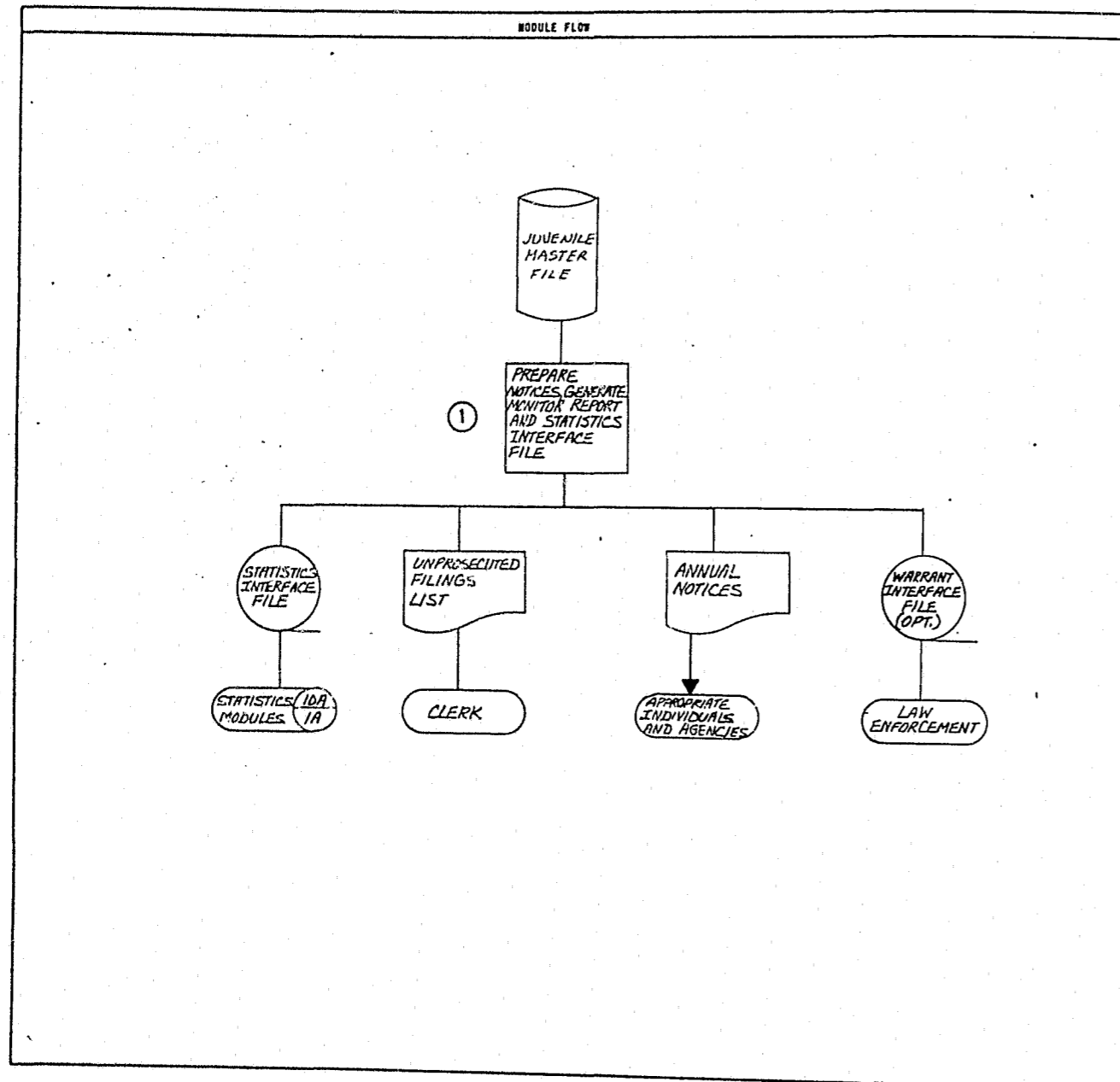
MODULE IDENTIFICATION DO-9-091	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION On-line	PAGE 9 of 13
MODULE PURPOSE To provide a daily cumulative index of cases filed during the month, and to provide an annual index of all unsealed cases filed during the calendar year			



<p>1 Once each year an Annual Index of all remaining unsealed cases filed during the calendar year is printed and distributed to the clerk.</p> <p>2 An index is prepared daily of juveniles with petitions filed during the month. Each entry consists of, in alphabetical order, the juvenile's name, filing date, probation case number, court case number, charges, scheduled appearance date, and current case status.</p> <p>A special column on the printout, in probation case number sequence, cross references probation case number to court case number, thereby providing reference to case number by either the juvenile's name or probation number.</p>
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JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-10-121	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION On-line	PAGE 10 of 13
MODULE PURPOSE To prepare notices to appropriate agencies and individuals, to monitor cases in the system and to generate an interface to the statistics modules			



MODULE NARRATIVE

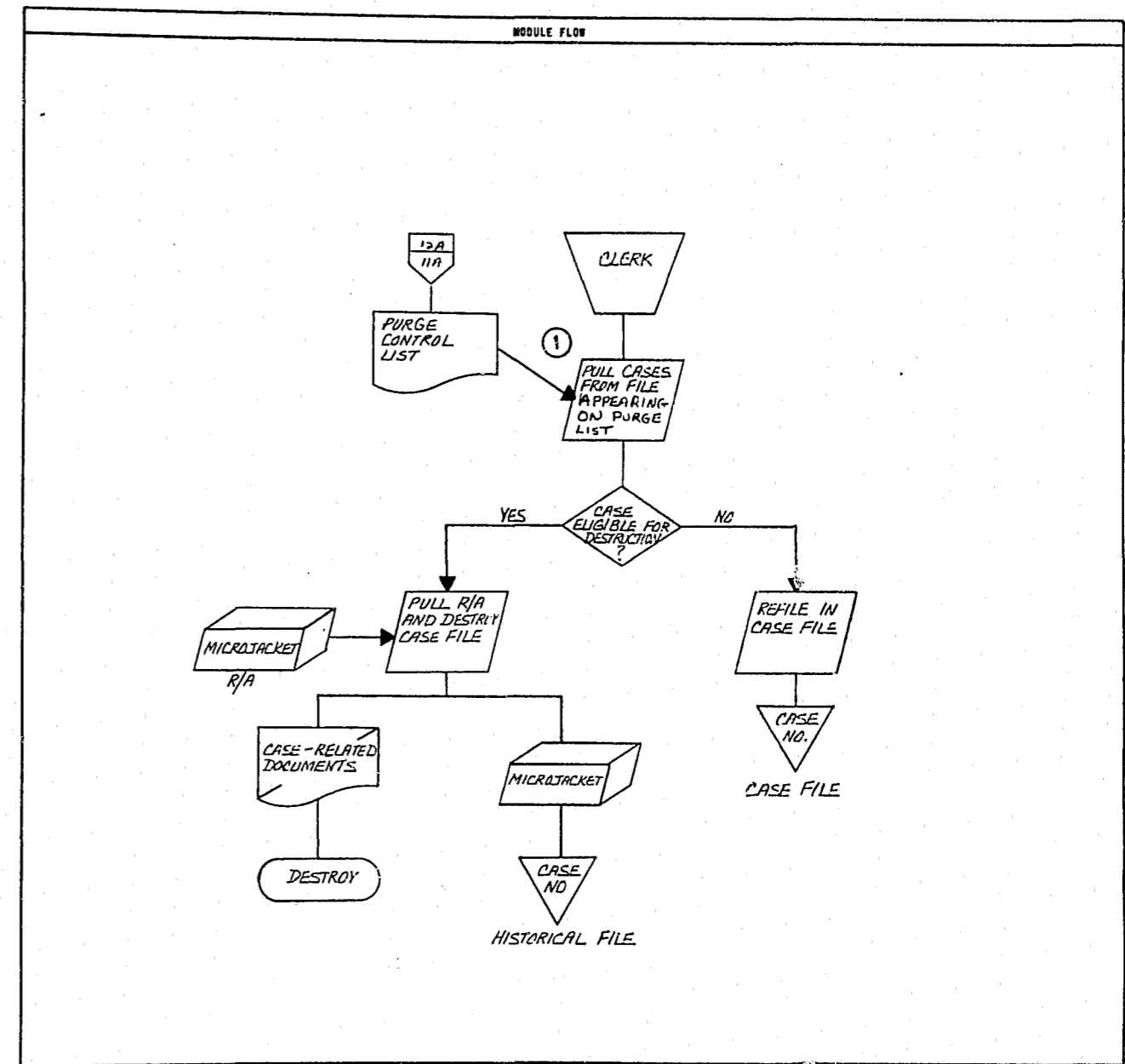
① Notices are generated in the same cycle for annual reviews of deponent children placements.

The Unprosecuted Filings List monitors all matters before the court and informs the clerk of cases not scheduled for hearing within the time constraints imposed by Section 547 of the Welfare and Institutions Code.

The Statistics Interface File is generated monthly. It contains filing, disposition, and processing statistics for production of statistical reports for internal management use and for reporting to outside agencies.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-11-154	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION On-line	PAGE 11 of 13
MODULE PURPOSE To purge case files eligible for destruction			



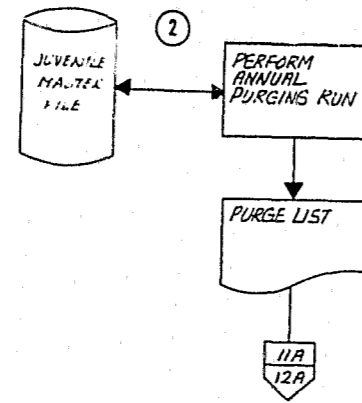
MODULE NARRATIVE

① All cases for which the juvenile has reached his majority or those cases inactive for five years from the date of disposition may be purged if adequate microfilm backup is maintained. Since the Register of Actions consists of micro-jacket copies of all case-related documents, purging consists solely of destroying the eligible case folders and transferring the corresponding microjacket cards to the Historical File.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-11-154	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION On-line	PAGE 12 OF 13
MODULE PURPOSE To purge automated records of juveniles whose cases are inactive and who are over 18 years of age			

MODULE FLOW



MODULE NARRATIVE

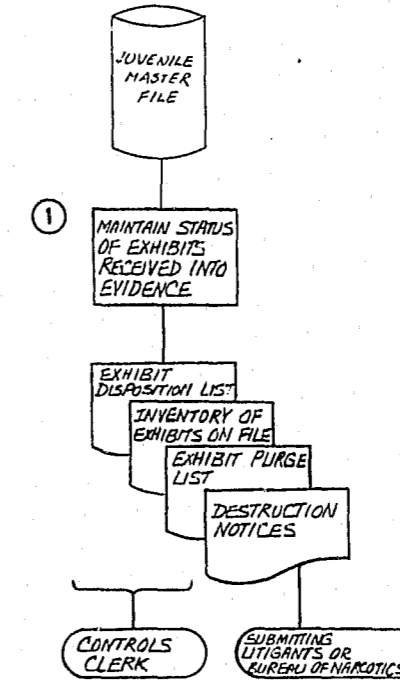
② The computerized records of "inactive" juveniles over 18 years of age are deleted from the Juvenile Master File and printed on the Purge List on an annual basis.

Orders to seal, filed by persons over 18 years of age, are deleted after one year.

JUVENILE
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION DO-13-331	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION On-line	PAGE 13 OF 13
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence			

MODULE FLOW



MODULE NARRATIVE

① Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown.

Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and an identification of the exhibit's owner.

Exhibits ready for destruction or release are listed on the Exhibit Purge List. Notices are prepared to inform the exhibits' owners of impending action. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court.

The final disposition of each item is recorded on the Exhibit Disposition List.

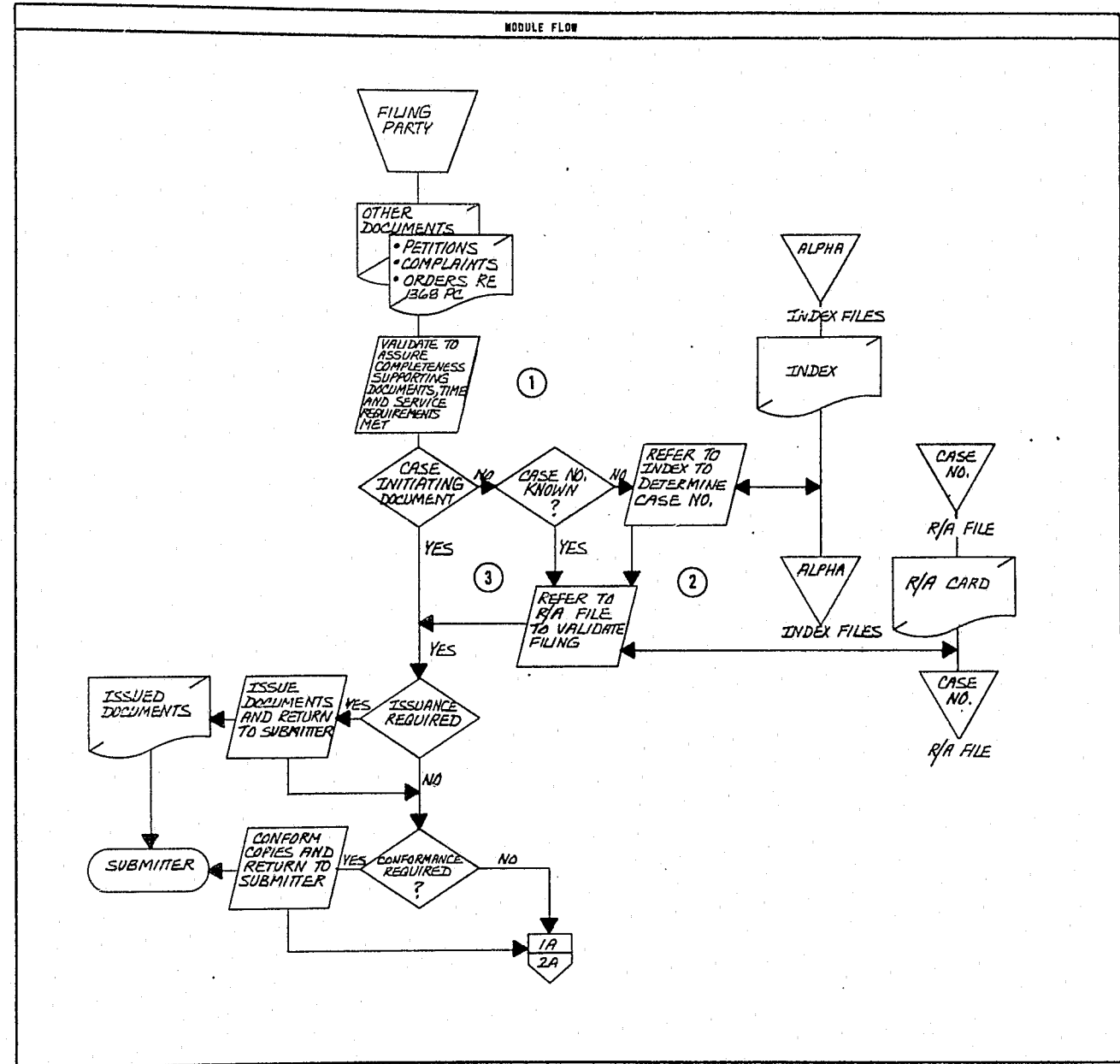
APPENDIX E

OTHER CIVIL MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-1-014	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 OF 13
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			



MODULE NARRATIVE

① Initial and subsequent documents are filed with the court by litigants. Filing fees often accompany the submittal of documents. In general, the clerk's role is to accept any document submitted by the party. In some rare instances, such as with defaults, the clerk may review either the contents of the case folder or the Register of Actions subsequent to the filing of the document in order to verify timing and service requirements. In general, however, the clerk performs a minimal amount of editing of documents and verification of appropriateness of the filing for the submitting party.

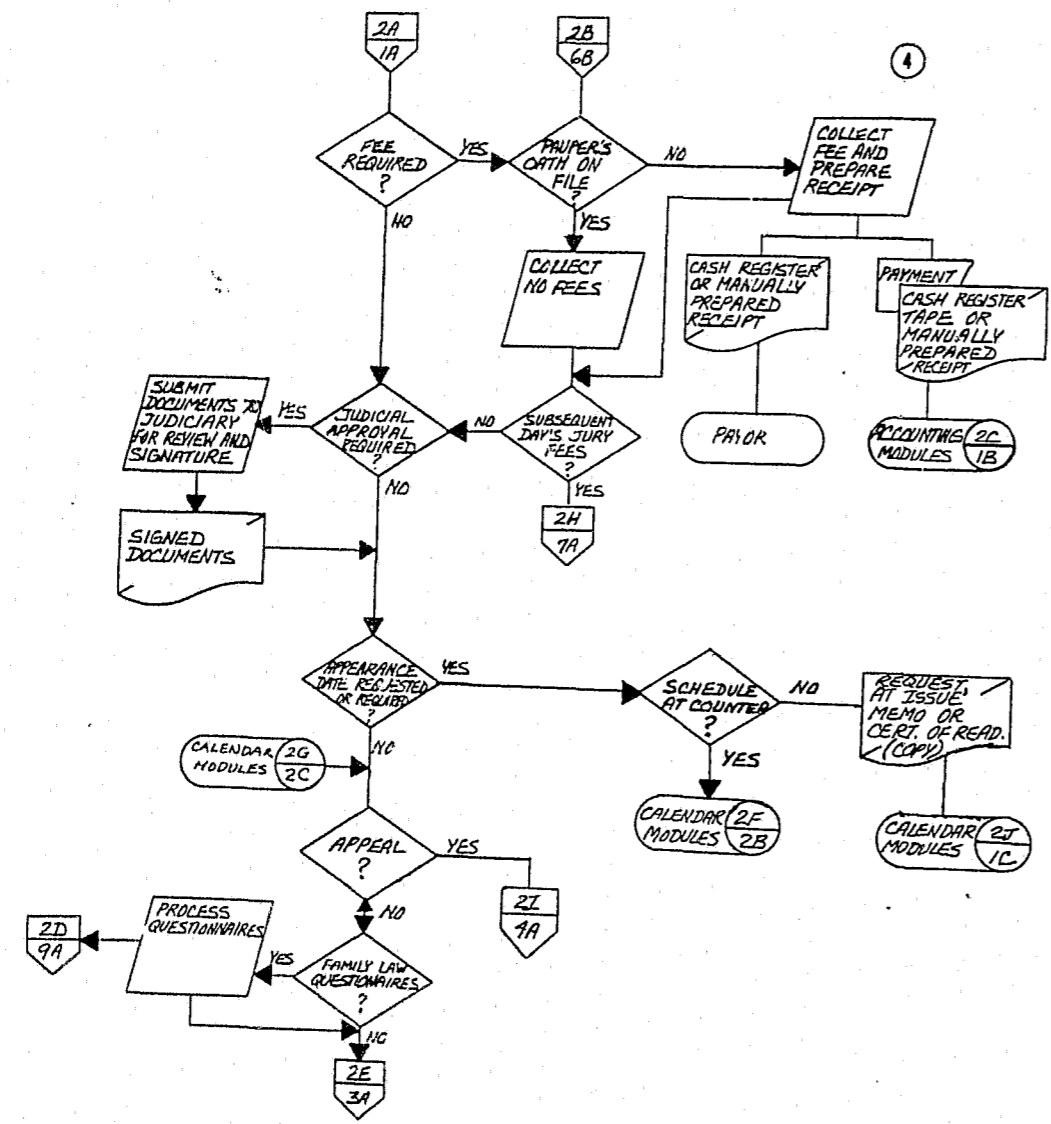
② The index files (segmented by case type) are utilized to determine or verify the case number of submitted documents or to identify the litigants in a case.

③ The Register of Actions, a card maintained in a tub file, identifies the dates and documents that have been filed. It is referenced as needed to ascertain case status and to answer inquiries.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-1-014	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 of 13
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			

MODULE FLOW



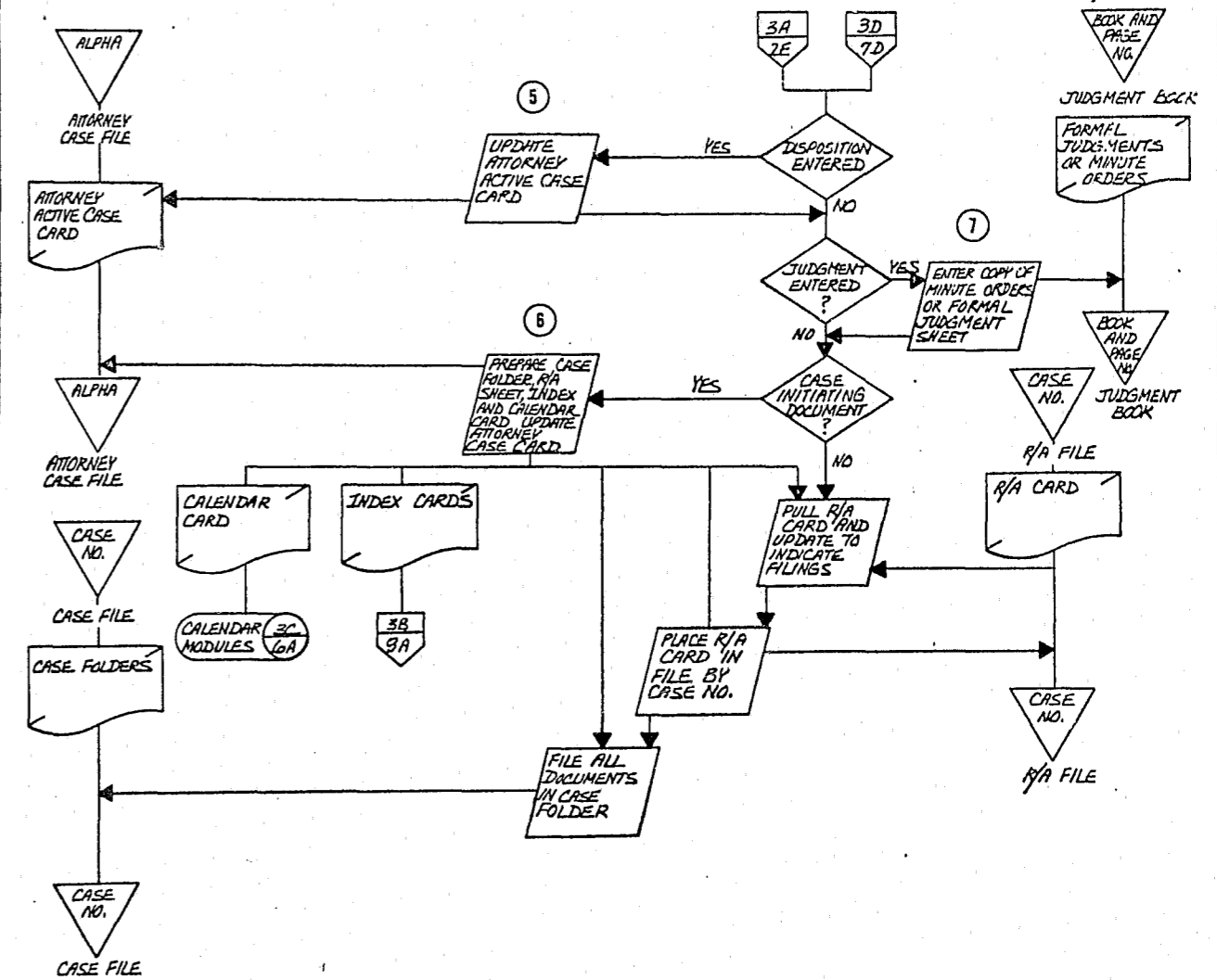
MODULE NARRATIVE

④ The clerk collects filing fees on documents requiring them and jury fees except when the submitter informs the clerk that either the fee has been previously paid (e.g., appearance fees on demurrers) or that a pauper's oath and order are on file. In those instances, the clerk verifies the case status in the Register of Actions or case file. When fees are received, the clerk validates the document (minute order in the case of jury fees) in the cash register and issues a receipt. The payments and the audit trail data are forwarded at the end of the day to the Accounting Department.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-1-014	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 3 of 13
MODULE PURPOSE To process documents generated by the court			

MODULE FLOW



MODULE NARRATIVE

⑤ A card is maintained for each attorney filing a case. The card lists each case number, date of filing, and trial date if set. The dates on these cards are used to produce the Civil Active Case Confirmation Notice. Every time a disposition is entered (e.g., default, dismissal, judgment) the attorney's card is updated.

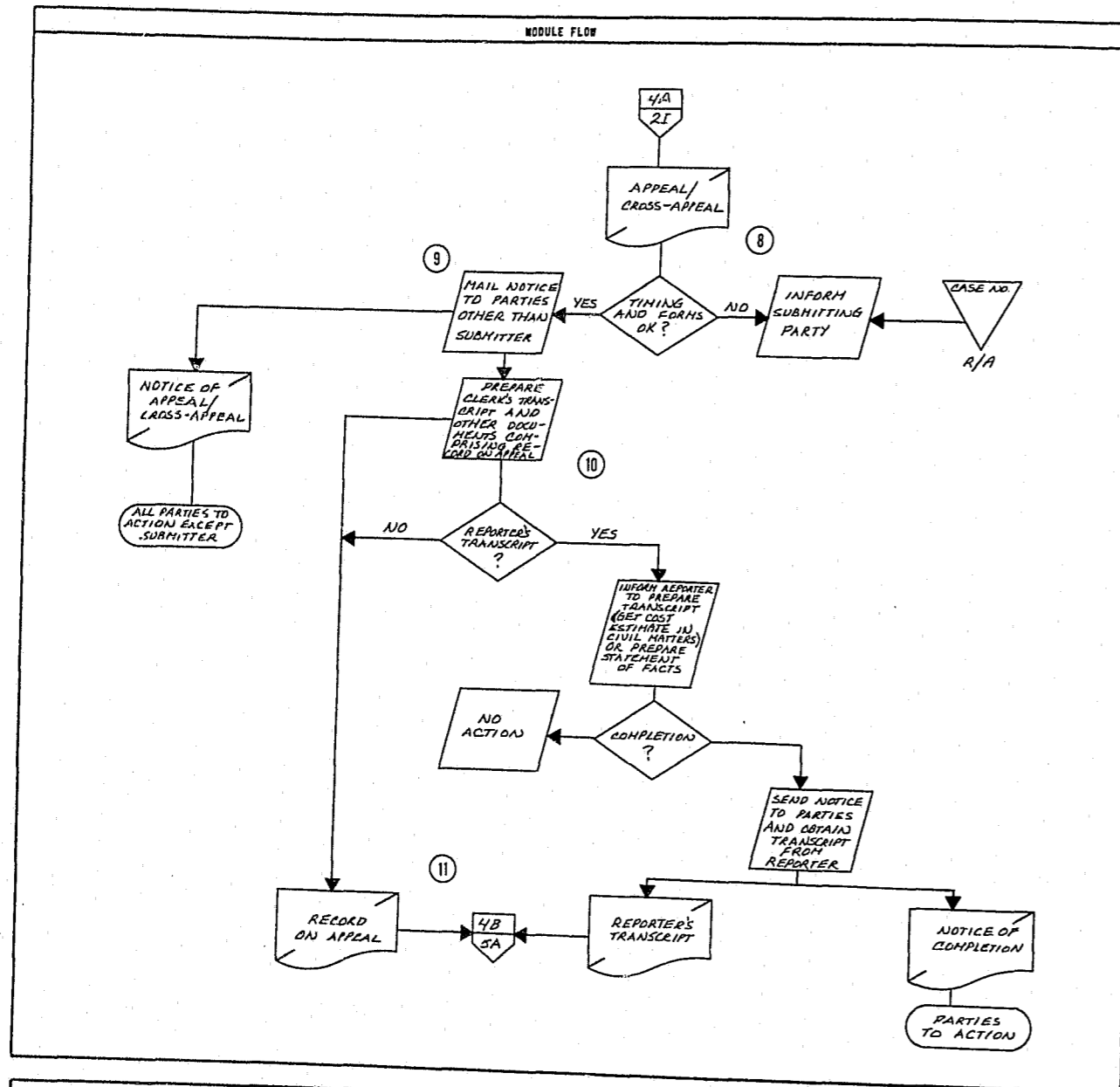
⑥ New cases are assigned a case folder and case number. The case numbers are established so a separate series of numbers is assigned to each case category.

An index card for each plaintiff and defendant, a calendar card for each new case, and an attorney card for each new attorney is prepared and maintained in the appropriate files.

⑦ If a judgment is entered, a copy of the judgment is entered in the Judgment Book. The book and page number is referenced in the Register of Actions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-1-014	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 4 of 13
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			



MODULE NARRATIVE

8 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actions to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)

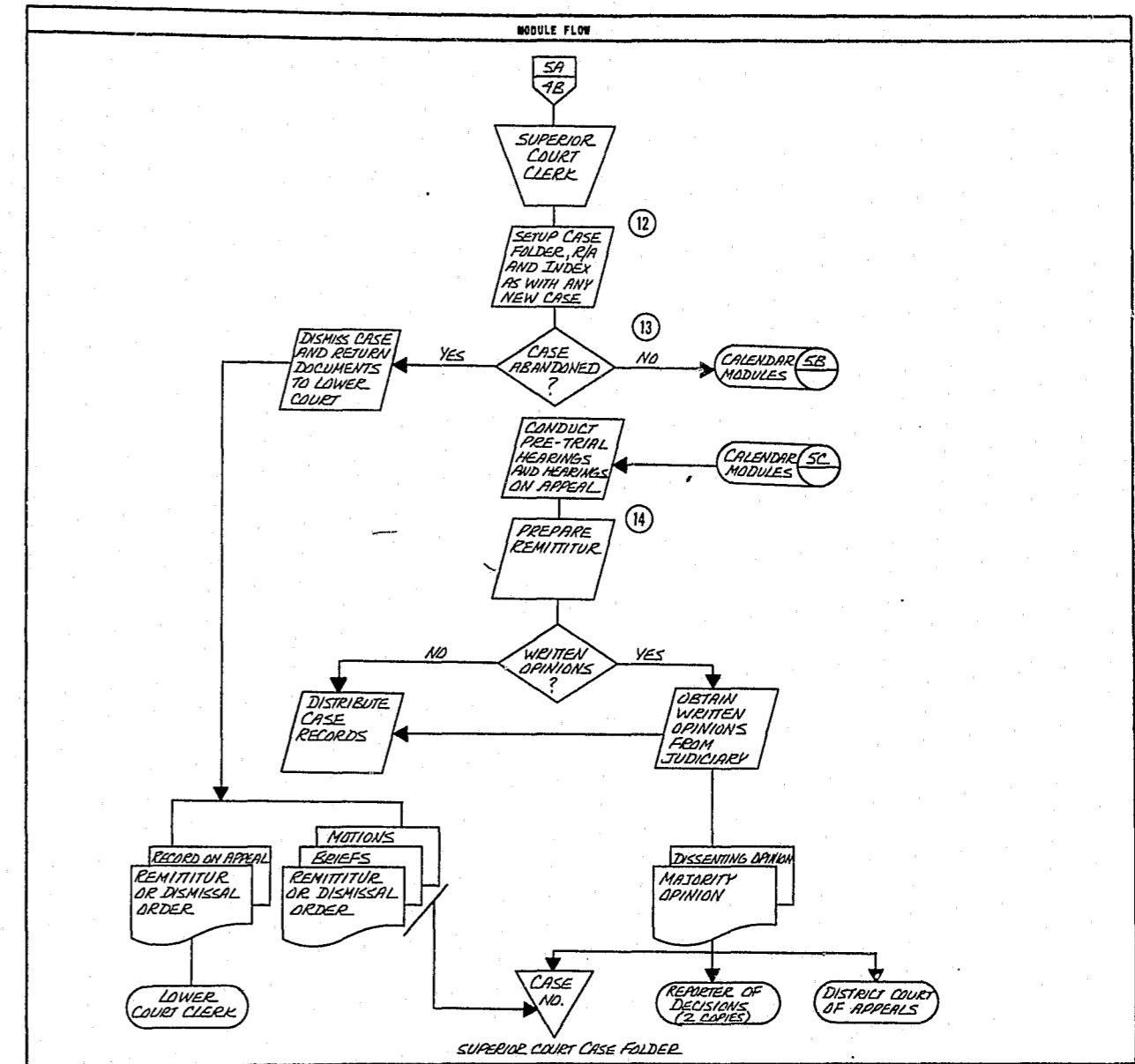
9 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.

10 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. The clerk obtains a cost estimate for the reporter's transcript and orders its preparation upon the request of the parties and the posting of the required fees.

11 When the record on appeal has been completed in accordance with the Rules of Court, it is transferred to the superior court.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-1-014	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 5 of 13
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

12 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

13 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

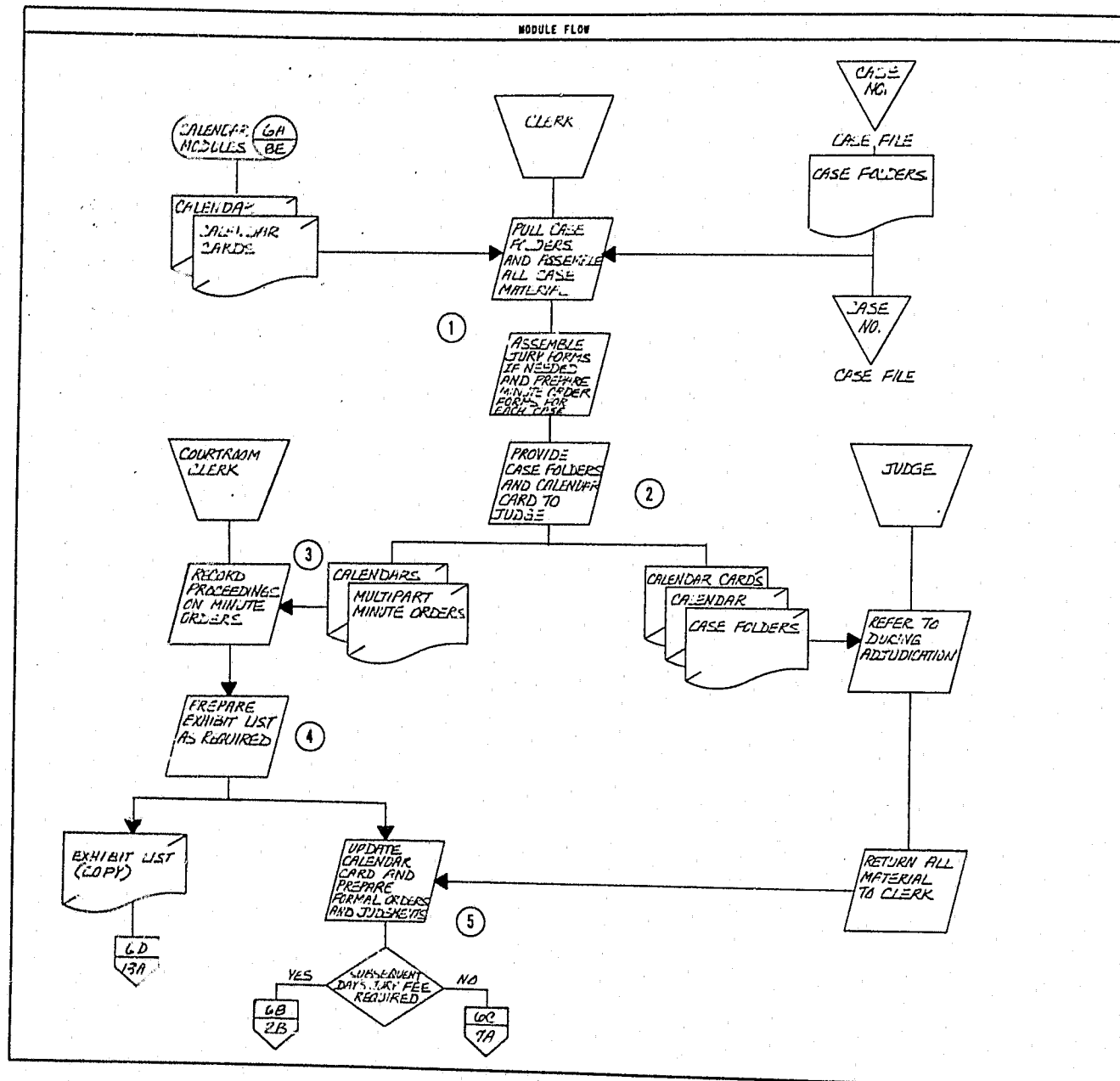
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

14 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-6-043	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 6 of 13
MODULE PURPOSE To provide the judiciary with case-related information and to record court proceedings			

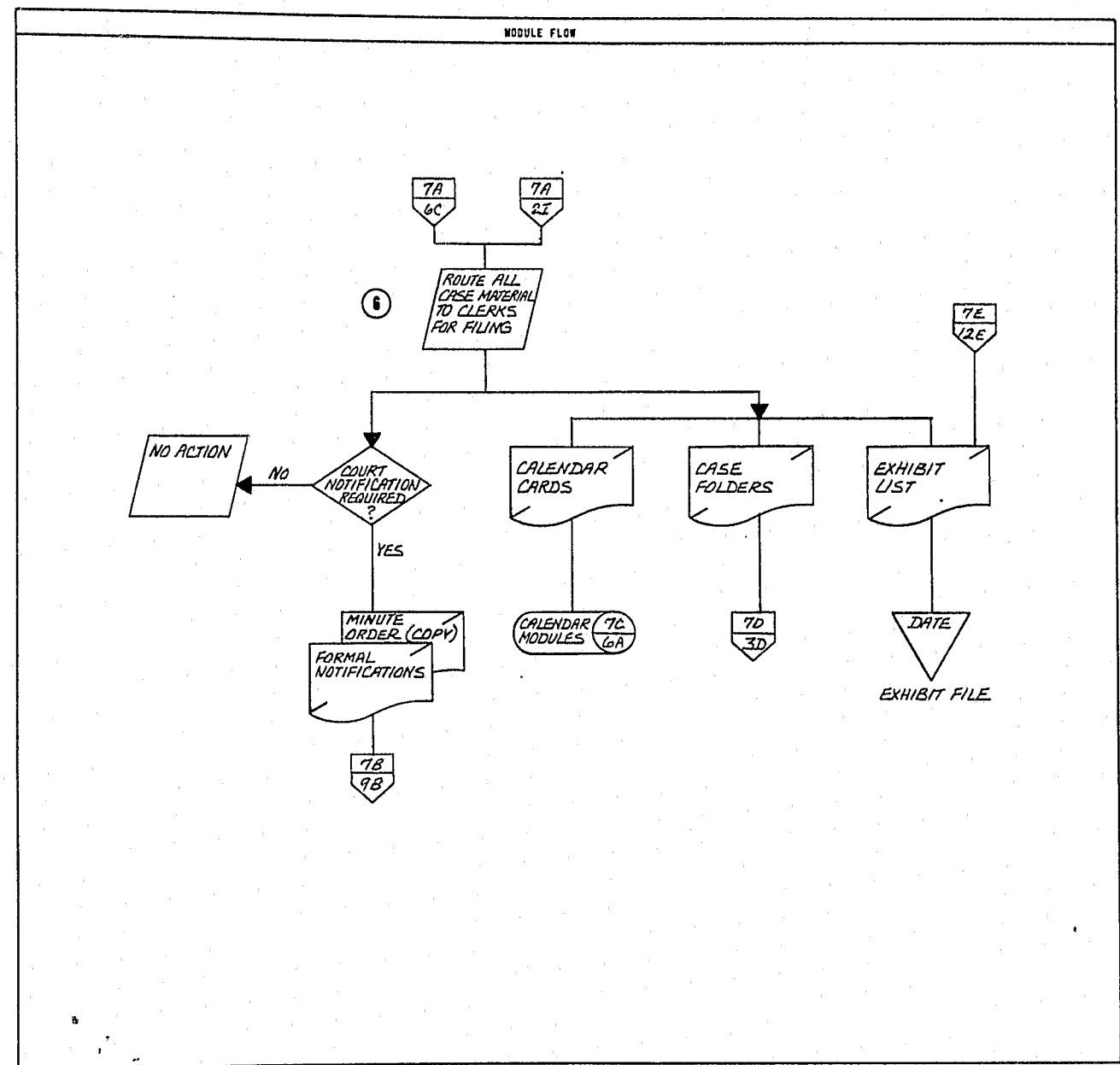


MODULE NARRATIVE

- ① Prior to the date of appearance all case material is assembled. The calendars and calendar cards are used to identify all case folders that are to be pulled. For each case folder taken from the case file, an out card is substituted to indicate the folders location.
- If special forms are required, they are assembled at this time and kept with the case material.
- Multipart minute orders are prepared for each case and kept with the case material.
- ② Prior to the court session, the clerk provides all folders, calendar cards (used as a reference to the case setting history) and a copy of the calendar to the judge for assistance during adjudication.
- ③ The proceedings are recorded on the prepared minute orders. Most entries require checkoff or fill in responses in order to limit long narratives.
- ④ An exhibit list is prepared for each case for which exhibits have been submitted. Each exhibit entry consists of case number, owner, relationship to case, exhibit description and storage location. A copy is filed in the Exhibit File.
- ⑤ If formal orders or judgments are required, the clerk prepares the appropriate forms. The calendar card is updated to reflect any new appearance date settings, reasons for continuance, or dispositions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-6-043	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 7 of 13
MODULE PURPOSE To provide the judiciary with case-related information and to record court proceedings			

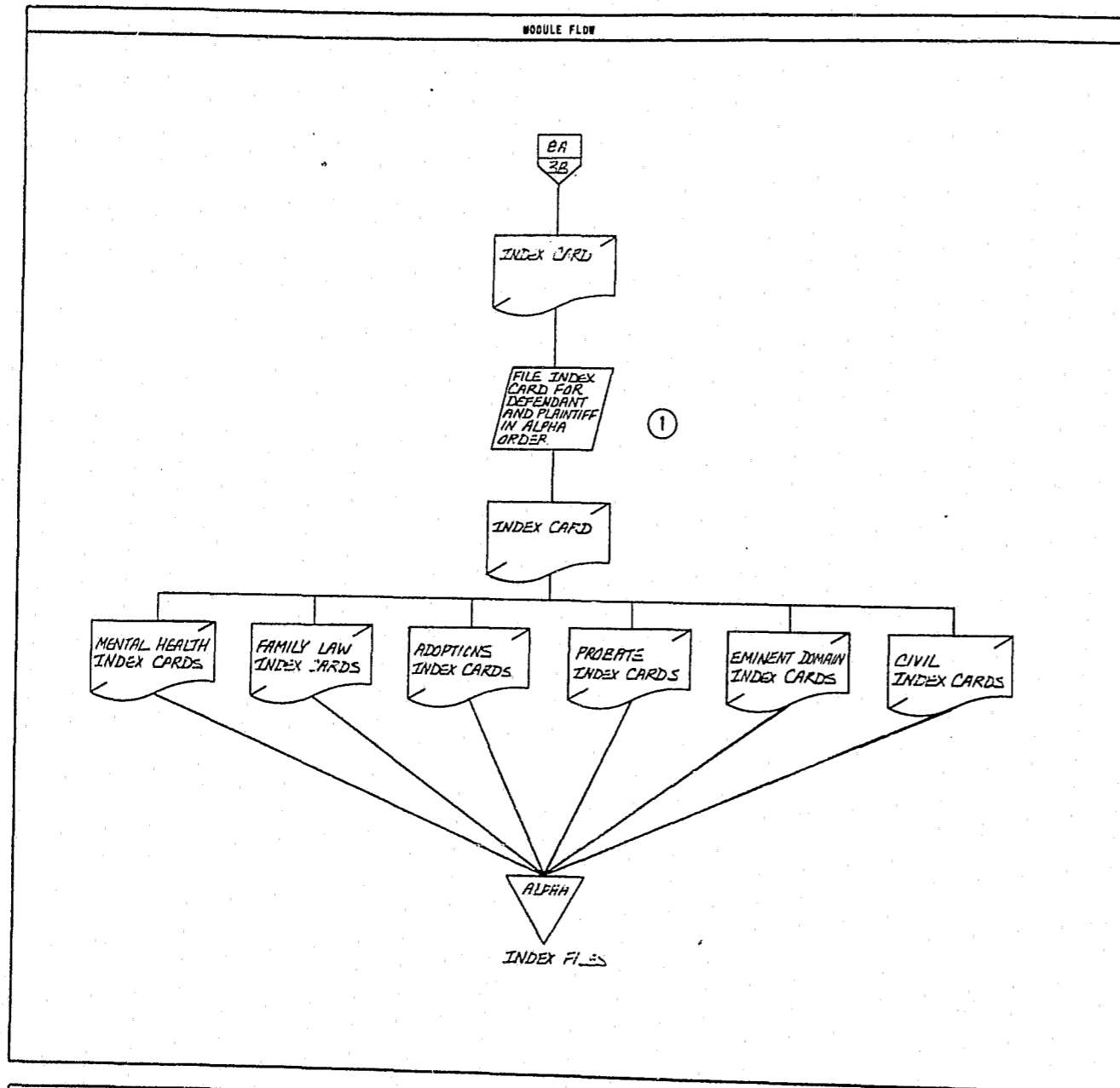


MODULE NARRATIVE

- ⑥ At the completion of a court appearance, all case material, completed forms, and calendar cards are routed to the appropriate clerical areas for filing and distribution.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-8-072	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 8 of 13
MODULE PURPOSE To provide a reference to the case folders by the plaintiffs' and defendants' names			

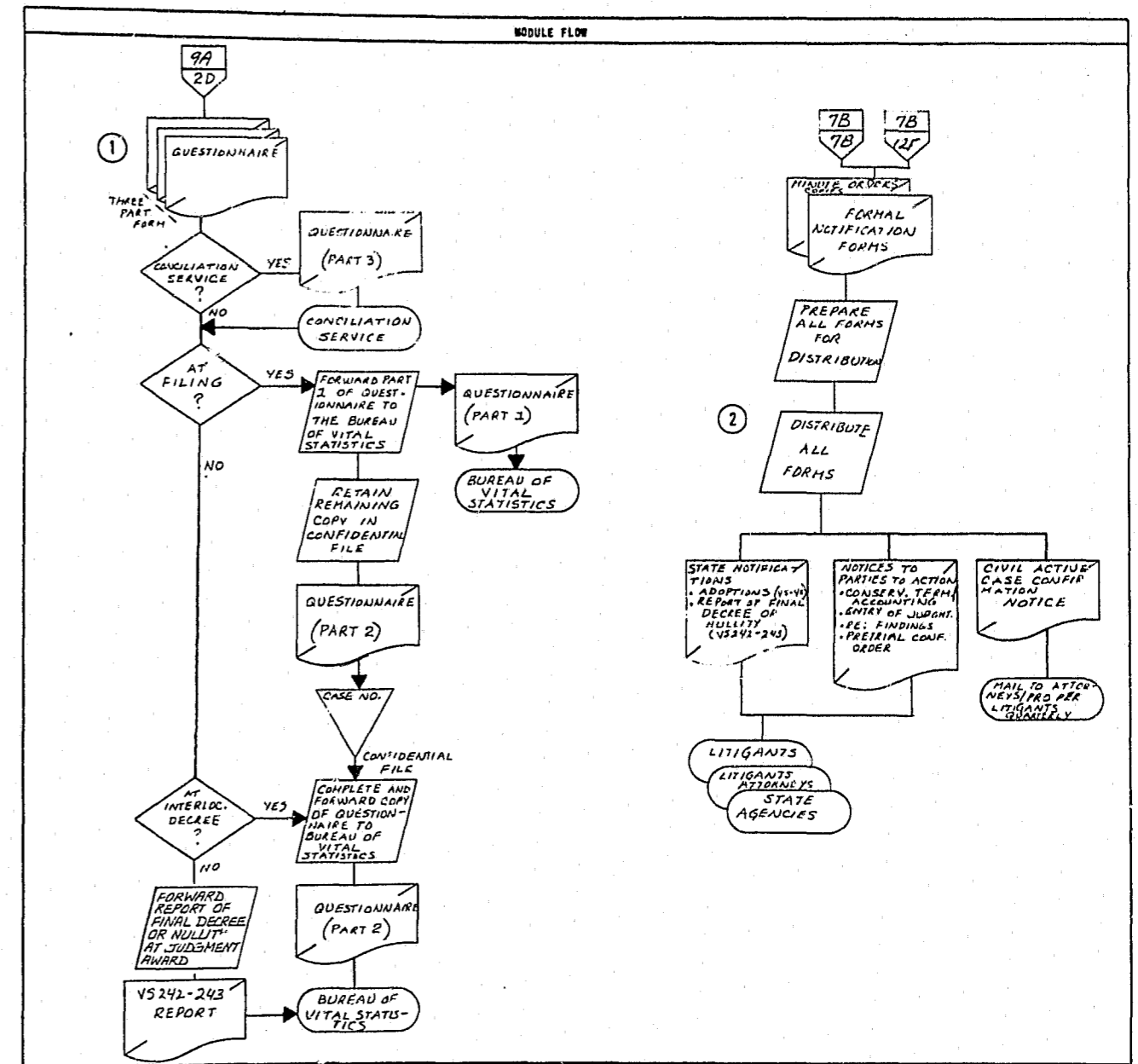


MODULE NARRATIVE

① The index cards prepared at case initiation time are filed in alphabetical sequence (last name) in the appropriate file. Each index is maintained in a tray type file until it is micro-filmed.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-9-102	MODULE NAME NOTIFICATION OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 9 of 13
MODULE PURPOSE To process domestic relations questionnaires, to prepare notices to the state, litigants and attorneys, and to monitor the progress of filings on an exception basis			



MODULE NARRATIVE

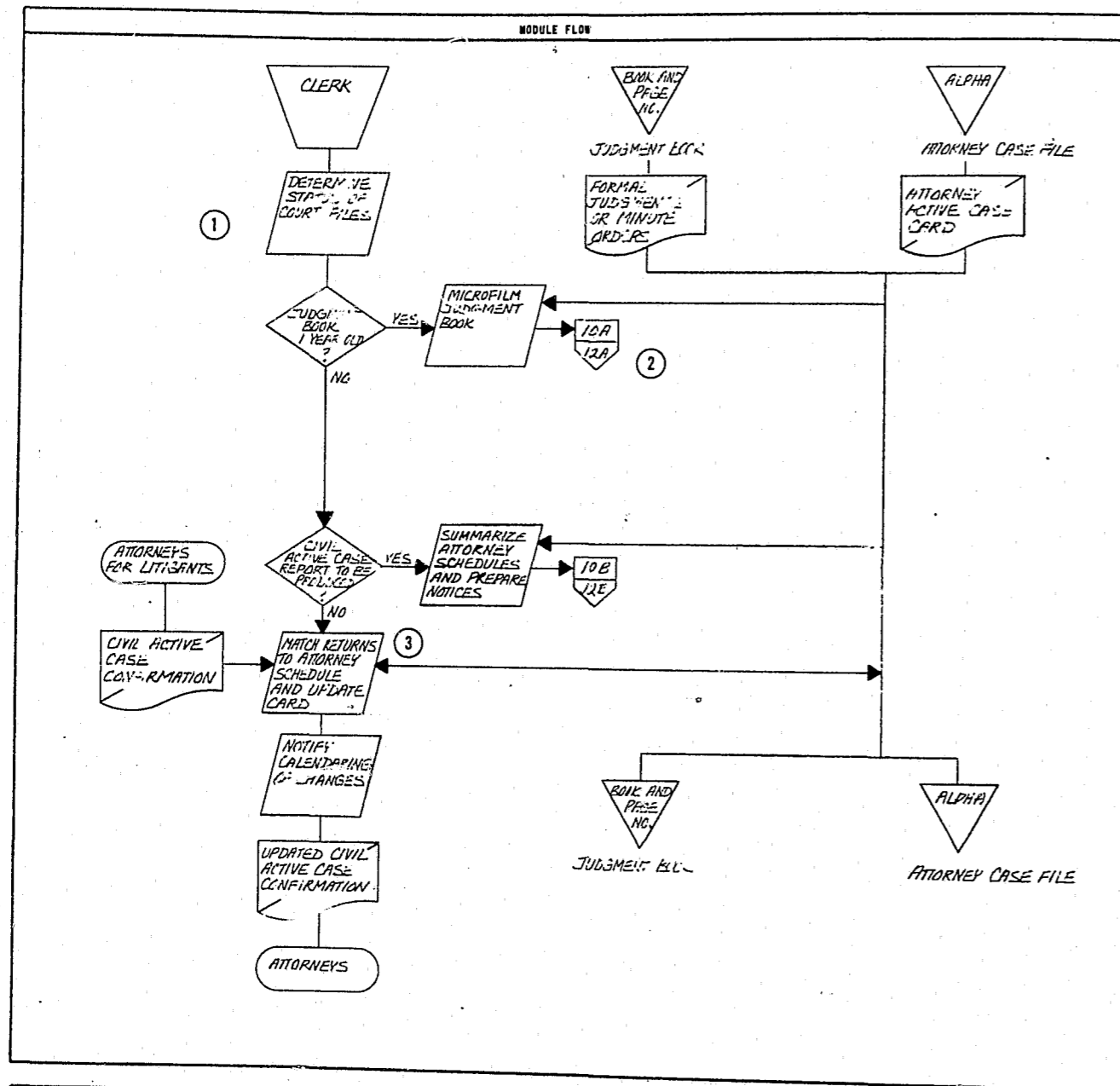
① In family law cases, the clerk processes a three-part questionnaire for the conciliation service and the Bureau of Vital Statistics. Presently, these are separate forms, but they are amenable to consolidation by making the third part of the questionnaire larger than the other two parts in order to accommodate additional questions of interest to the conciliation service only.

A copy of the questionnaire is forwarded to the Bureau of Vital Statistics at the time of filing and at the award of the interlocutory decree. A report of award of final decree (VS243) or nullity judgment (VS242) is completed by the clerk and forwarded to the Bureau of Vital Statistics at the appropriate time.

② Copies of the minute orders or formal notification forms are prepared and distributed by the clerk as indicated. The Civil Active Case Confirmation Notice, described under Aging and Purging, is distributed to the litigants' attorneys.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-10-135	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 10 of 13
MODULE PURPOSE To periodically identify and remove case-related documents eligible for destruction			



MODULE NARRATIVE

① On a periodic basis, to be determined by statute and the court's discretion, the case-related files are reviewed for the purpose of purging.

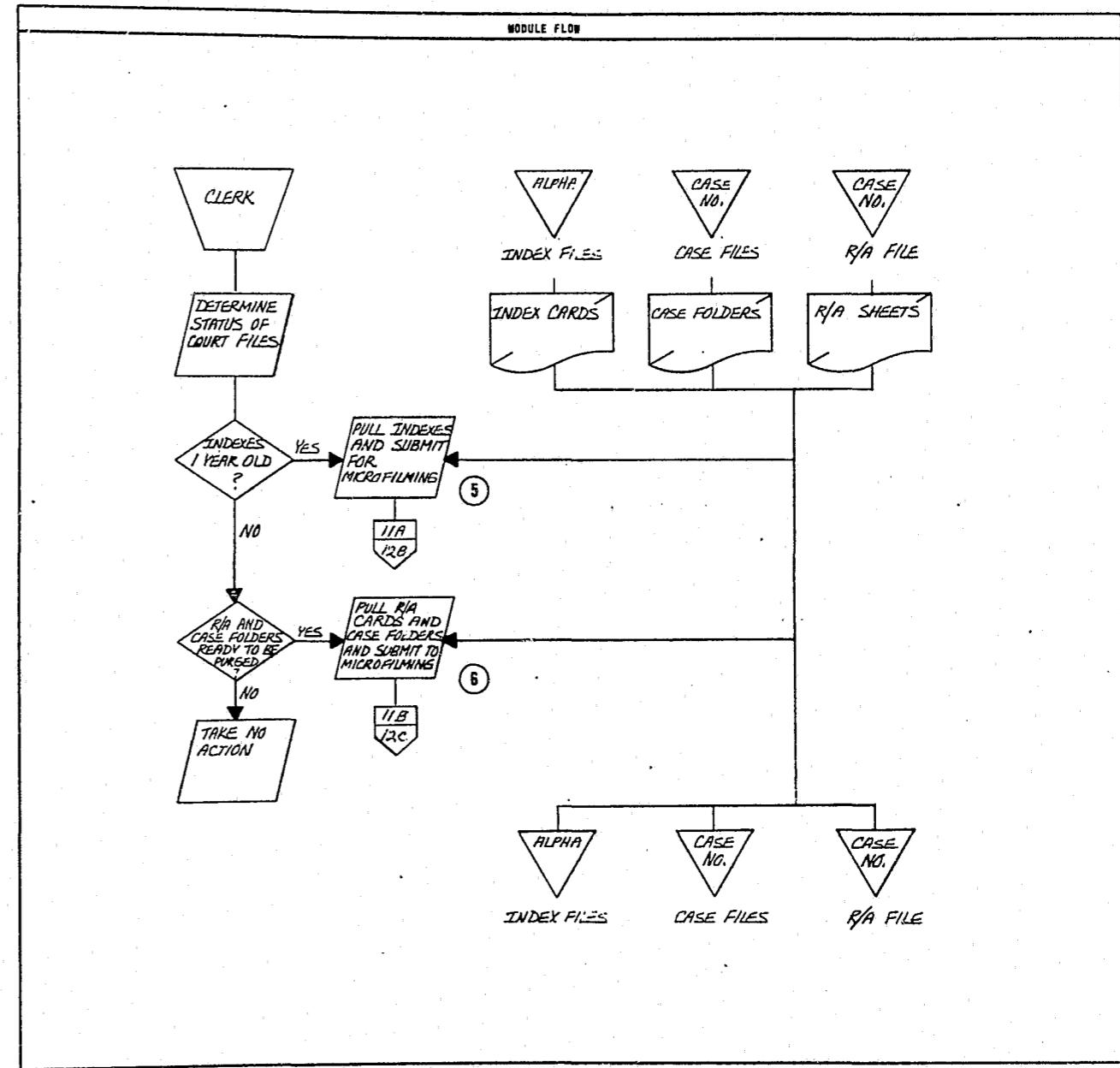
② Once each year the Judgment Book is micro-filmed.

③ On a regular basis (once each quarter or semi-annually) all attorney cards are pulled for the production of the Civil Active Case Confirmation Report.

Confirmations returned by attorneys are indicated on the attorney cards. Those cases not confirmed are stricken from the cards and the Civil Active List.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-10-135	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 11 of 13
MODULE PURPOSE To periodically identify and remove case-related documents eligible for destruction			



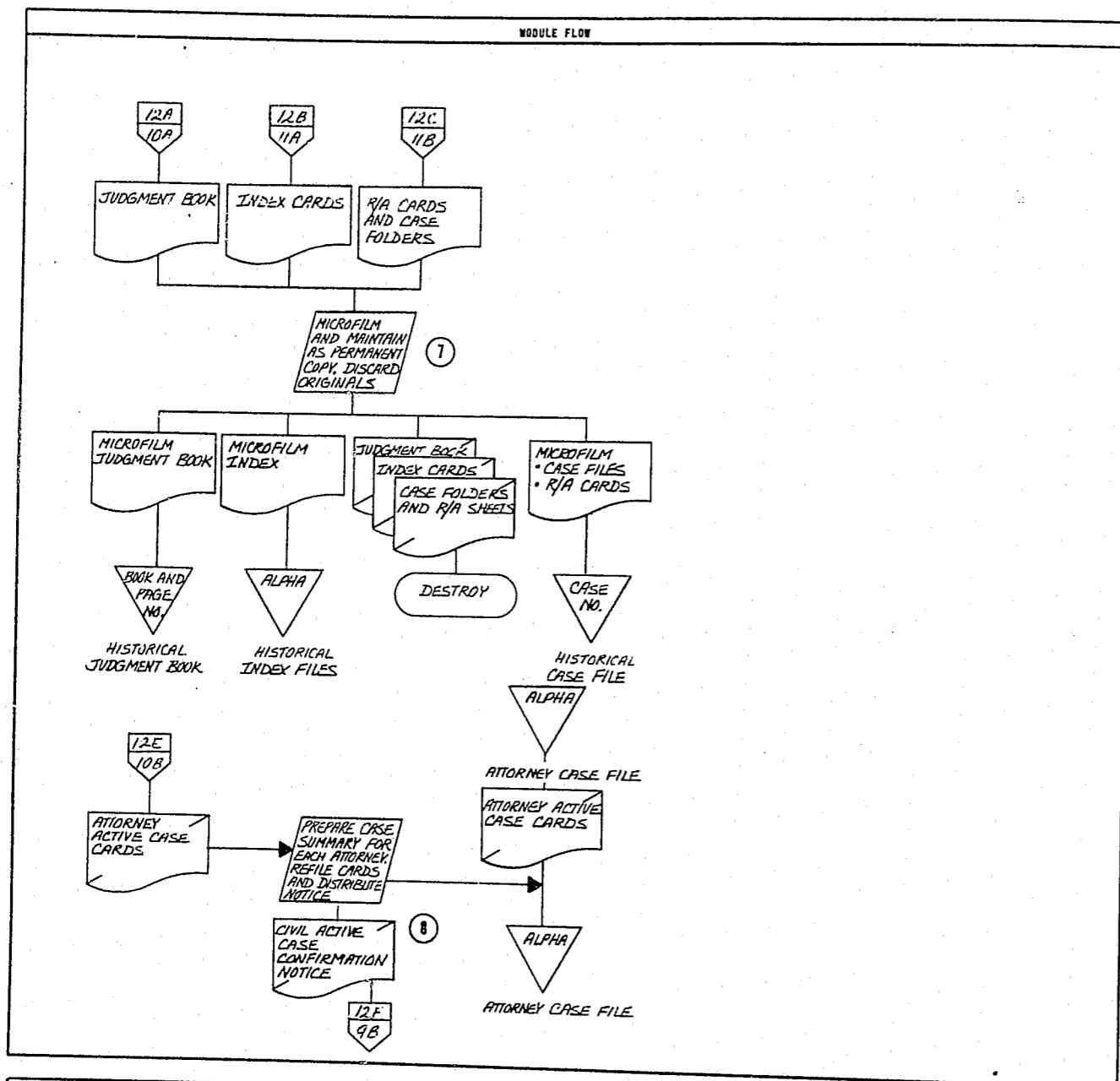
MODULE NARRATIVE

⑤ Once each year all index cards are removed from the file and microfilmed.

⑥ The recommended procedure for destroying case-related documents involves the removal of all case files and R/A cards ten years old from the date of case initiation.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-10-135	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 12 OF 13
MODULE PURPOSE To periodically identify and remove case-related documents eligible for destruction			



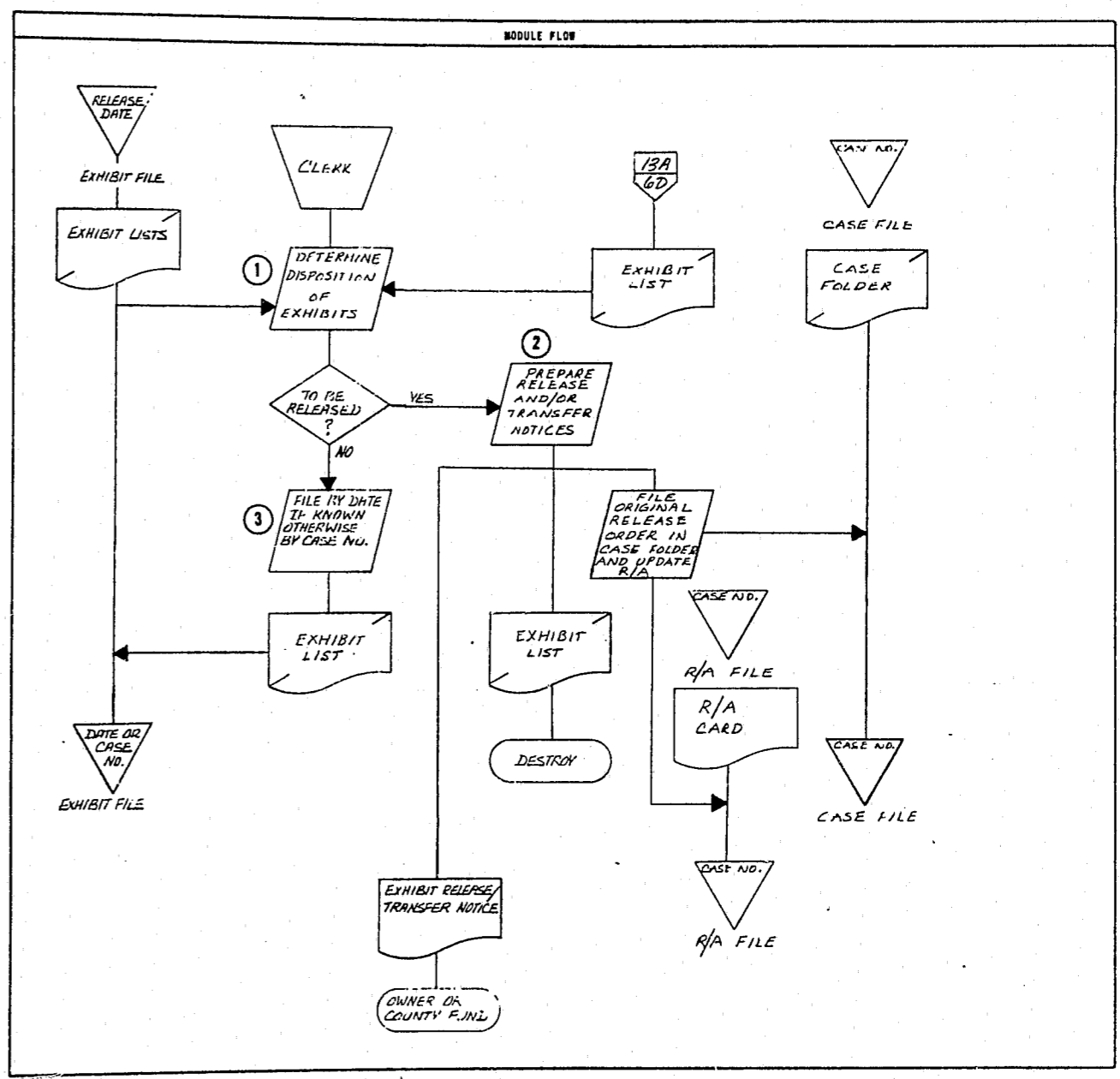
MODULE NARRATIVE

① Each of the indicated documents is microfilmed and filed as shown. The original case documents are destroyed.

② Each attorney card is summarized on a Civil Active Case Confirmation Notice. This notice is distributed quarterly to the concerned attorney for his review. The notice is used to confirm the active status of each scheduled case.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EM-13-301	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Manual	PAGE 13 OF 13
MODULE PURPOSE To monitor and control the acquisition, inventorying and destruction of exhibits received into evidence			



MODULE NARRATIVE

① All exhibits received into evidence are recorded on exhibit lists by the court clerk. Each exhibit is identified by case number, exhibit number, a brief item description, a reference to its storage location, the owner, and his relationship to the case.

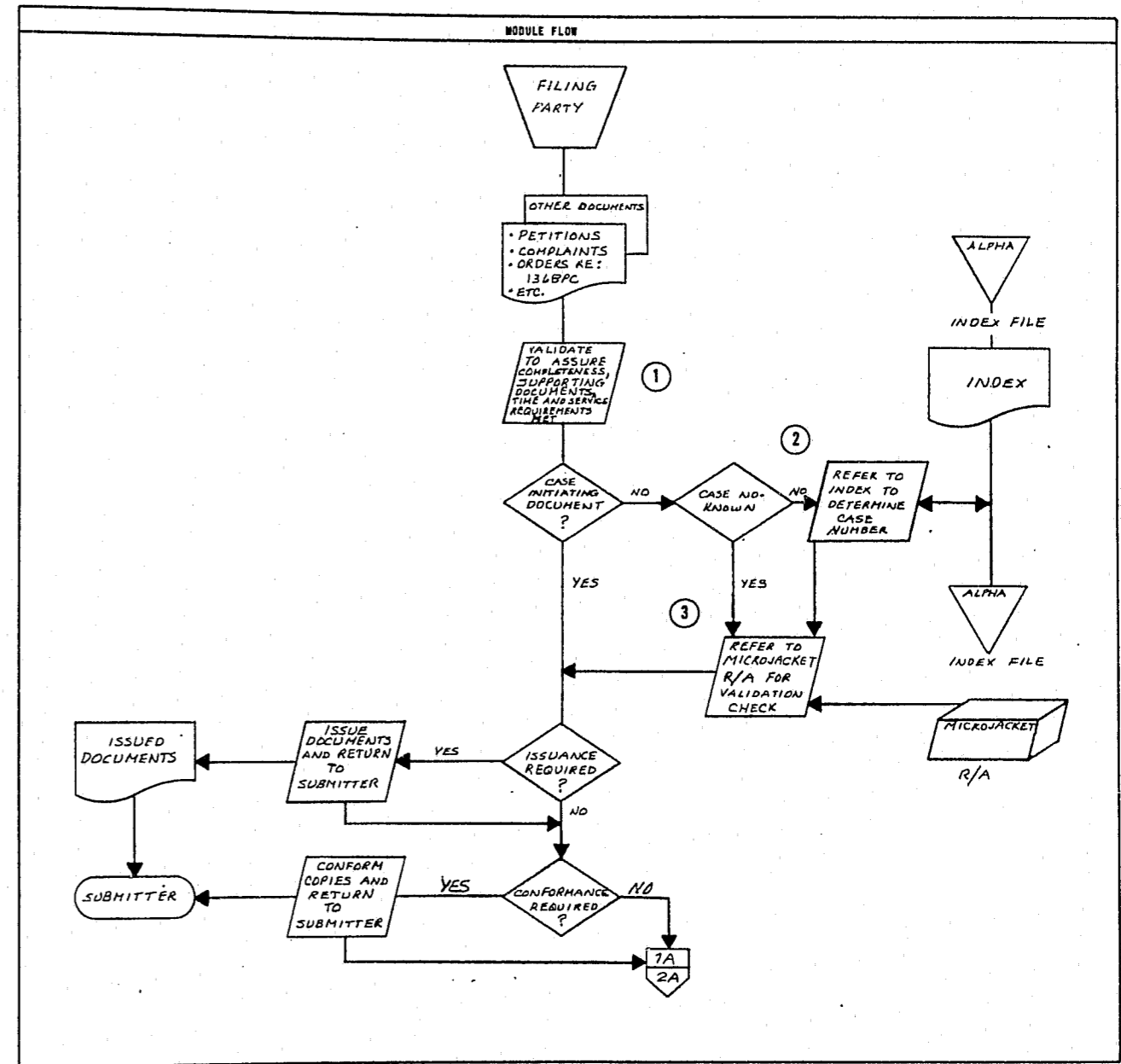
② If the exhibit has been ordered released or the release date has passed, the proper notification forms are prepared by the clerk. The originals are filed in the case folder; copies are distributed to the concerned parties.

③ Exhibit lists for those exhibits to be released at a later date are filed in the Exhibit File by the sentence expiration date/release date if known. If the release date is not known, the lists are filed by case number in the suspense area of the file.

FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 OF 11
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			



MODULE NARRATIVE

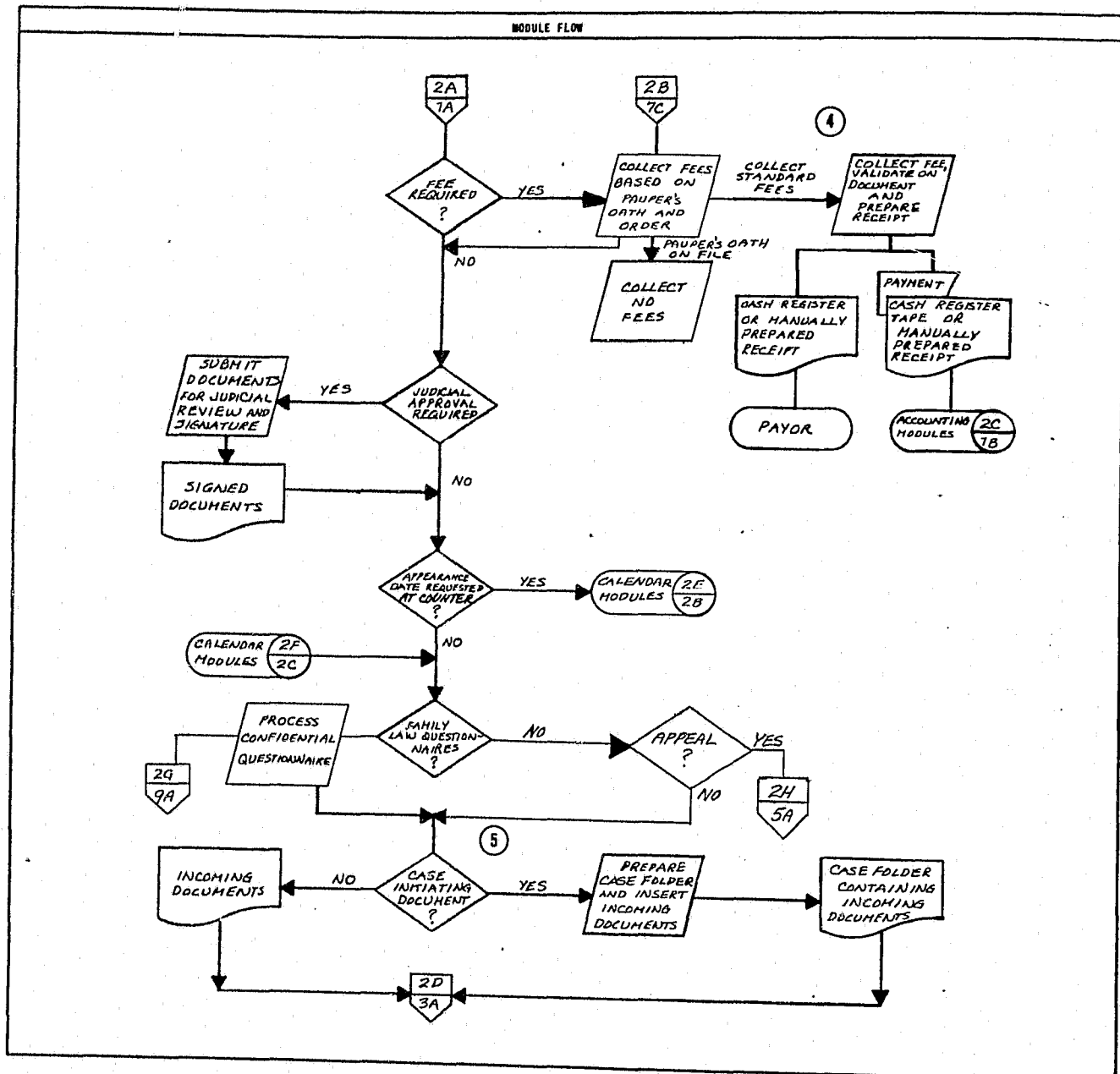
① All civil documents are filed with the court by the litigants. The clerk's role is to accept any document submitted by the party. In some instances, (e.g., defaults) the clerk may review either the contents of the case folder or the Register of Actions subsequent to the filing of the document in order to verify timing and service requirements. In general, however, the clerk performs a minimal amount of editing of documents and verification of appropriateness of the filing for the submitting party.

② A computer-printed index, segmented appropriately by case category or type (e.g., family law, adoptions, etc.) and relationship to case, (e.g., plaintiff, defendant) is utilized to identify or verify case numbers.

③ Case-related documents are microfilmed, placed in microjackets, and stored in case number sequence near the counter. This file serves as the Register of Actions and is referenced, as required, to ascertain case status and to answer inquiries.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 OF 11
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			



MODULE NARRATIVE

④ The clerk collects filing and jury fees except when the submitter informs the clerk that either the fee has been previously paid (e.g., first document fees for defendants) or that a pauper's oath and order are on file. In these instances, the clerk verifies the case status in the Register of Actions. When fees are received, the clerk validates the document (minute order in the case of jury fees) in the cash register and issues a receipt. The payments and audit trail data are then forwarded at the end of the day to the Accounting Department.

⑤ New cases are assigned a case folder and a case number. A computer-printed case label is attached to the case folder the day after initiation.

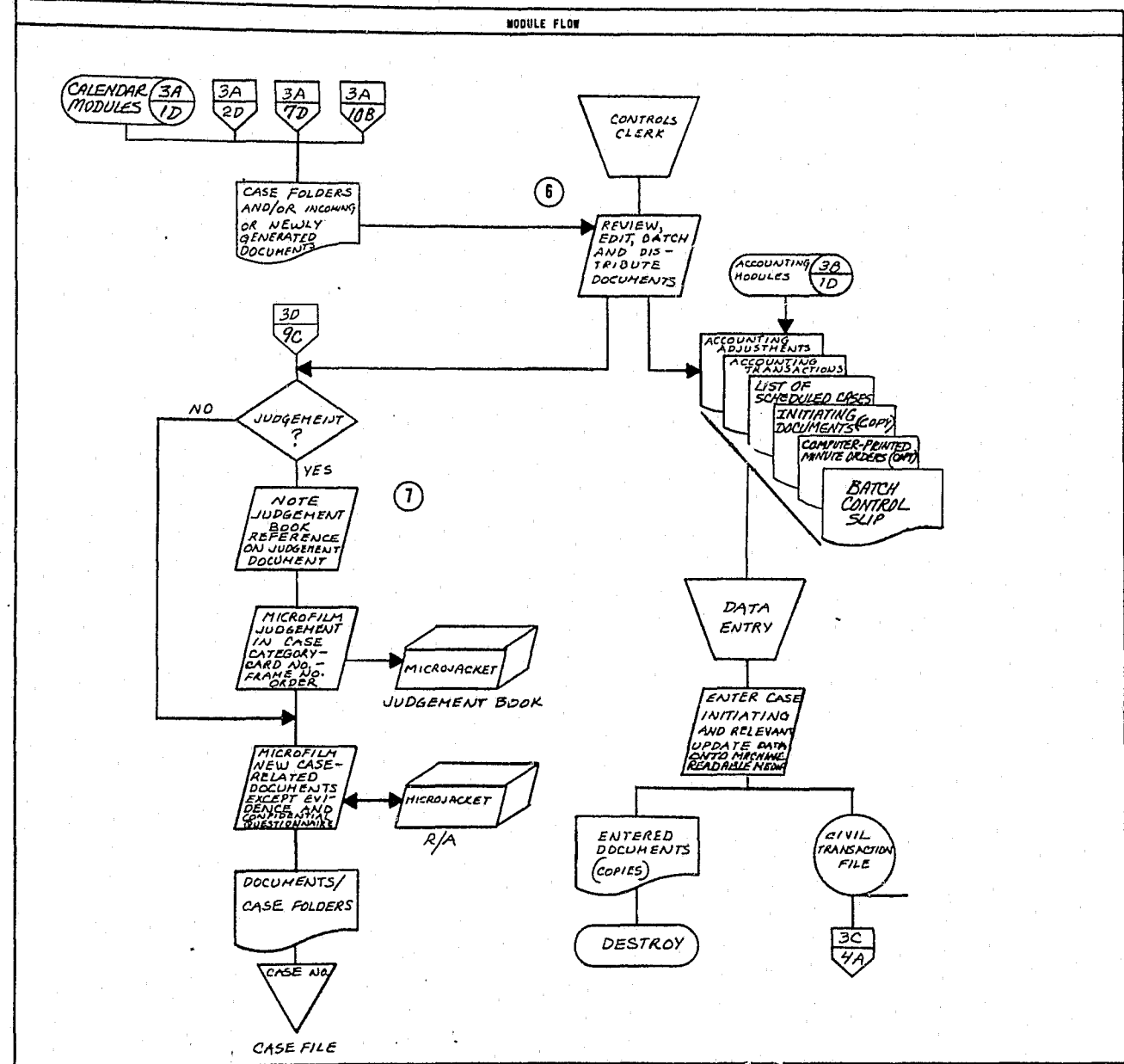
A separate series of case numbers is assigned to each unique case category or case type; a prefix code is assigned to each series. Typically, a separate series is assigned to:

- Adoptions
- Probate and Guardianship
- Mental Health
- Eminent Domain
- Family Law
- Other Civil.

This procedure provides better case file control and facilitates purging.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 OF 11
MODULE PURPOSE To enter submitted and court-generated documents in the automated system, to microfilm documents for the Judgment Book and Register of Actions, and to file the documents in the appropriate case folder			



MODULE NARRATIVE

⑥ All documents eventually filed in the case folder are routed to a Controls Clerk. The clerk determines the action needed and distributes the documents as shown. This procedure involves:

- Batching eligible documents and transactions for data entry.
- Forwarding of documents to microfilming.
- Filing documents and case folders in the case file.

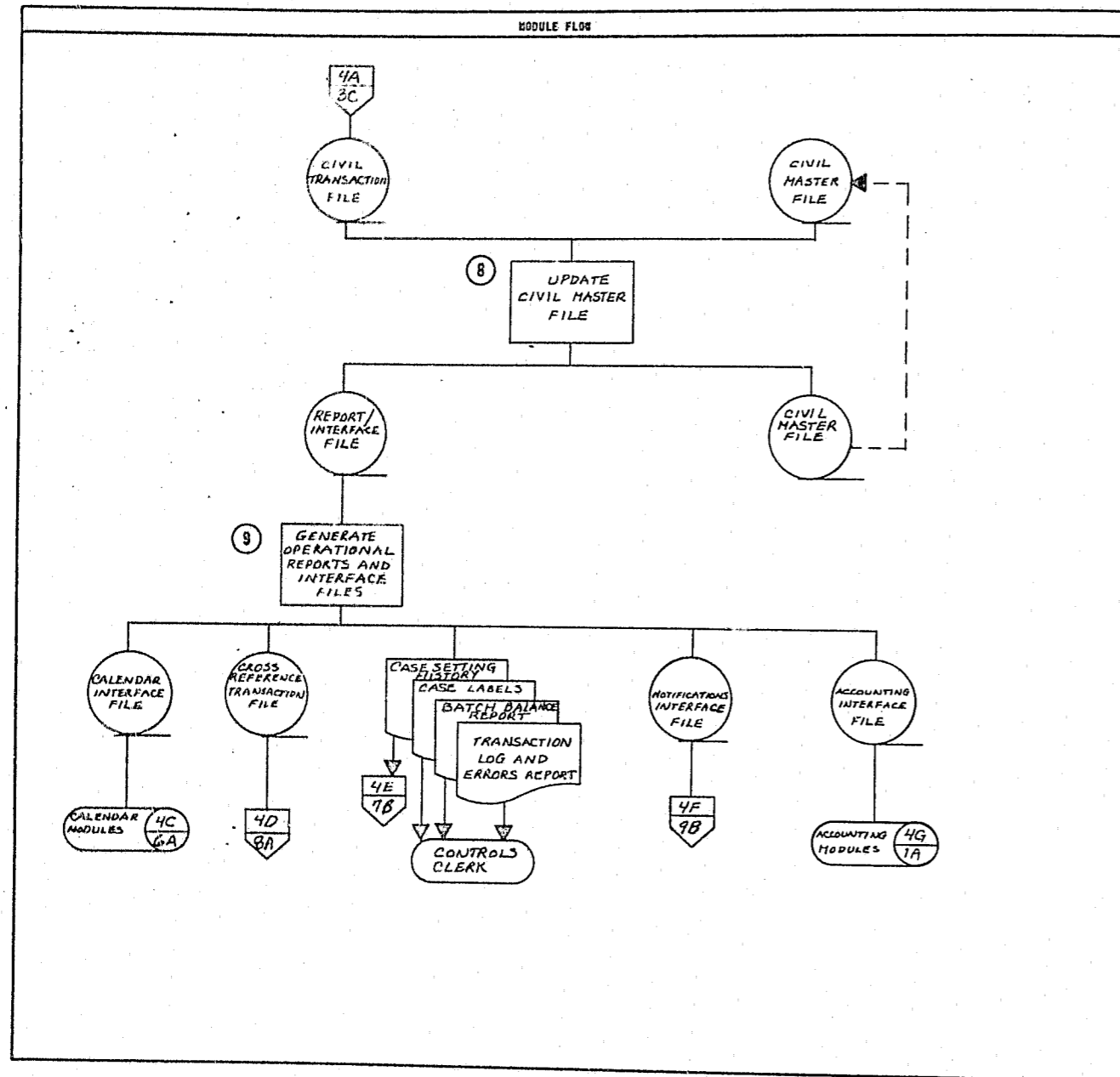
The copies of the documents used for data entry are destroyed.

⑦ All judgments are maintained in a microjacket Judgment Book in as-issued sequence. The judgment's location in the microjacket is noted on the document before submittal to Register of Actions microfilming. No Minute Order Book is maintained, but the minute orders are stored in chronological order in the case folder.

Note that the confidential questionnaires required in domestic relations cases and evidence, including depositions, are not placed in the Register of Actions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 of 11
MODULE PURPOSE To update the Civil Master File, and to generate operational reports and interface files			



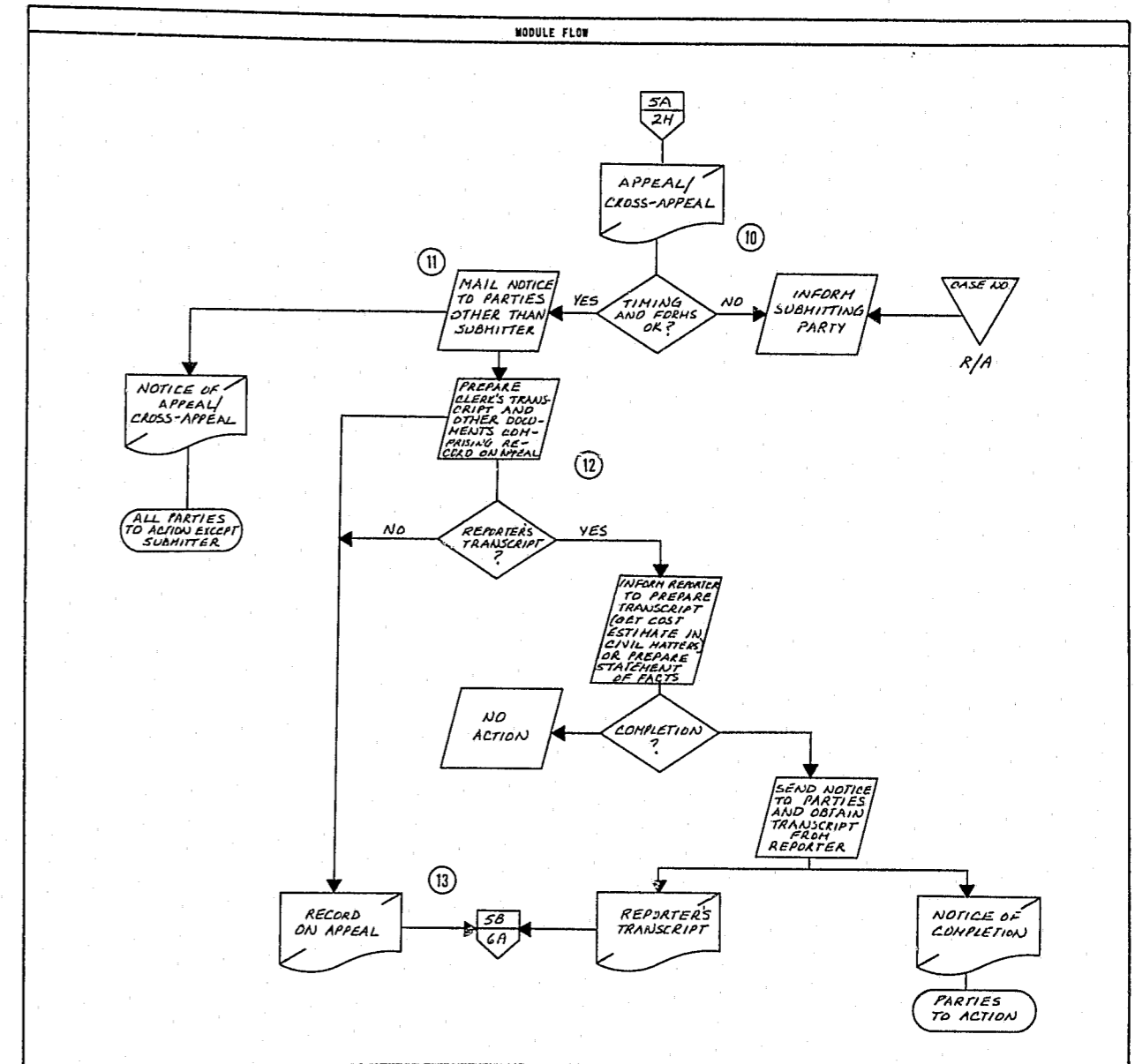
MODULE NARRATIVE

- 8 The automated system maintains cases on a Civil Master File. Data is entered at filing and disposition time, and at intermediate and subsequent points in time as required for calendaring, financial accounting, exhibit control, and statistical purposes. Since no automated case summary or Register of Actions is maintained by the automated system, the nature of the entered transactions can be more concise and somewhat less voluminous.
- 9 Interface files are generated for the following purposes:
- Calendar Interface File - to inform the calendar modules of settings made at the counter, of cases becoming at issue, and of changes to the status of cases affecting previously made settings
 - Cross Reference Transaction File - to

- generate the various daily and cumulative indexes by case category or type
- Notifications Interface and File - to generate notifications of court actions on a timely basis
- Accounting Interface File - to inform the Accounting Modules of account setups, payments, adjustments and miscellaneous financial transactions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 of 11
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			



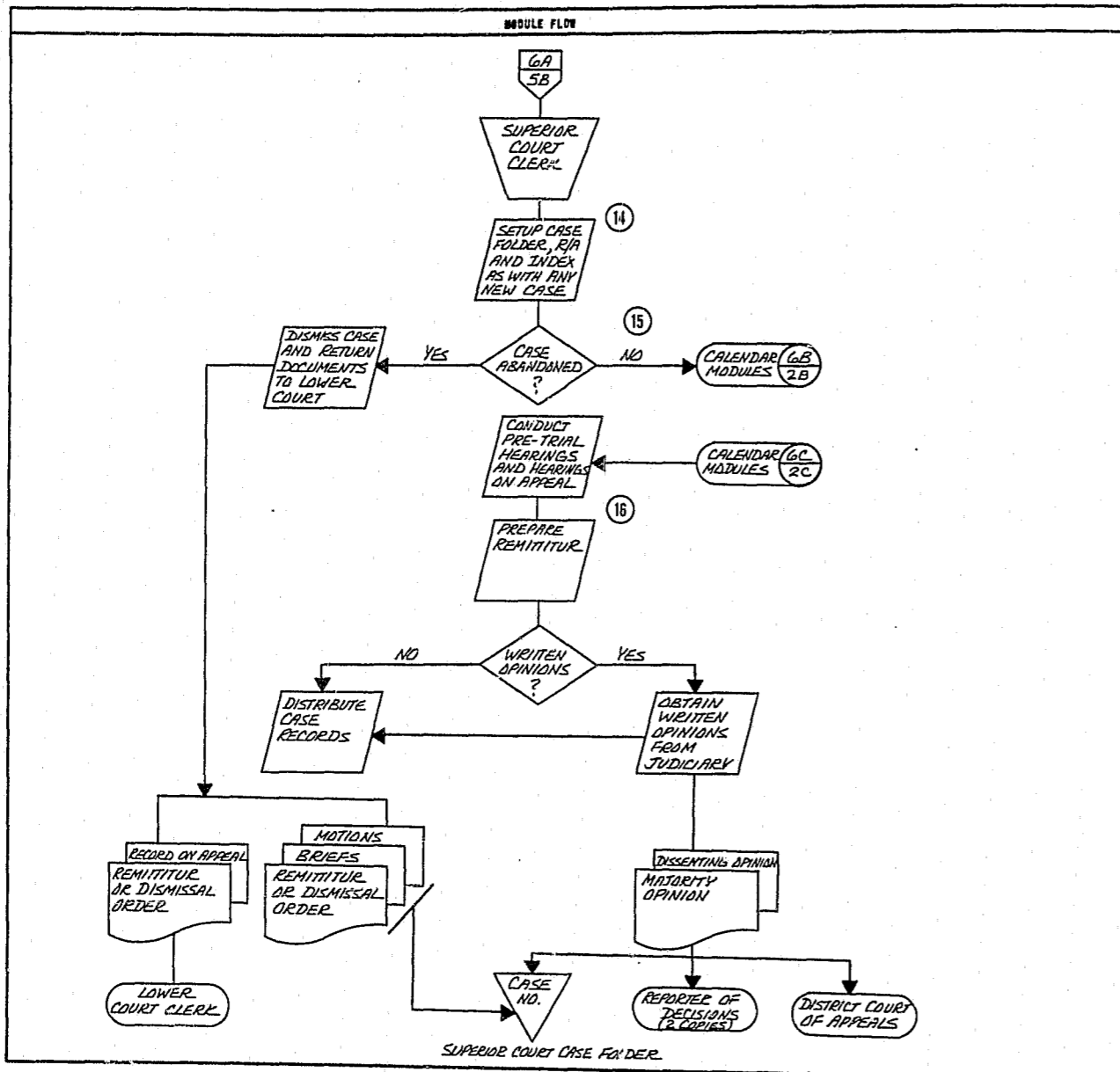
MODULE NARRATIVE

- 10 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actions to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)
- 11 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.
- 12 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. The clerk obtains a cost estimate for the reporter's transcript and orders its preparation upon the request of the parties and the posting of the required fees.
- 13 When the record on appeal has been completed

in accordance with the Rules of Court, it is transferred to the superior court.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-1-024	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 11
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

14 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

15 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

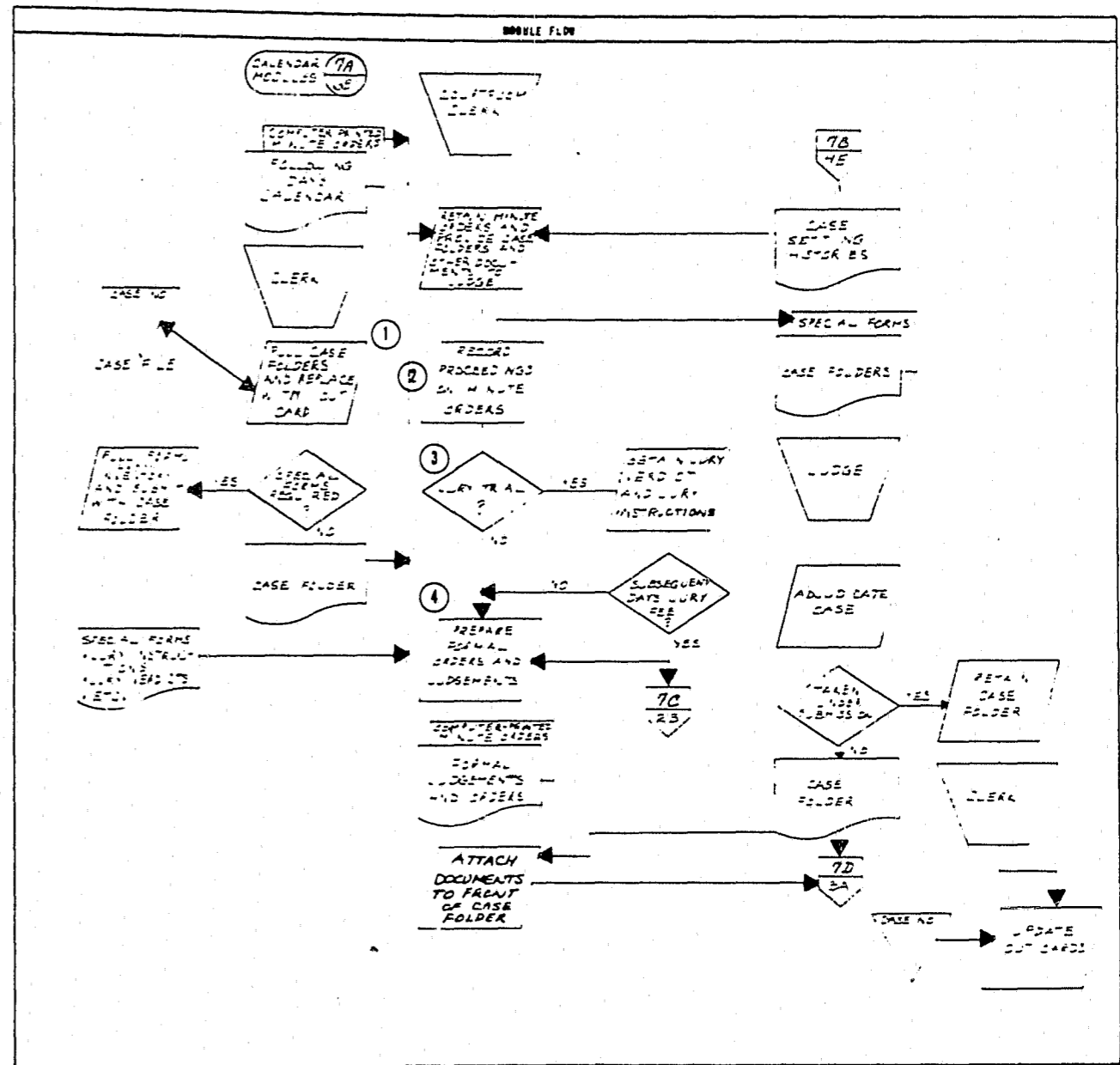
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

16 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-7-053	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 11
MODULE PURPOSE To prepare for court session and to record court proceedings on minute orders and formal orders and judgments.			



MODULE NARRATIVE

1 The day prior to their scheduled appearance, litigants' cases are pulled from the case file using the computer-printed calendar as reference. Should the judge request special forms, such as alternative jury instructions and verdict forms, the clerk will pull the required forms from the inventory. These documents, along with the corresponding computer-printed minute orders, are distributed to the trial departments no later than the following morning.

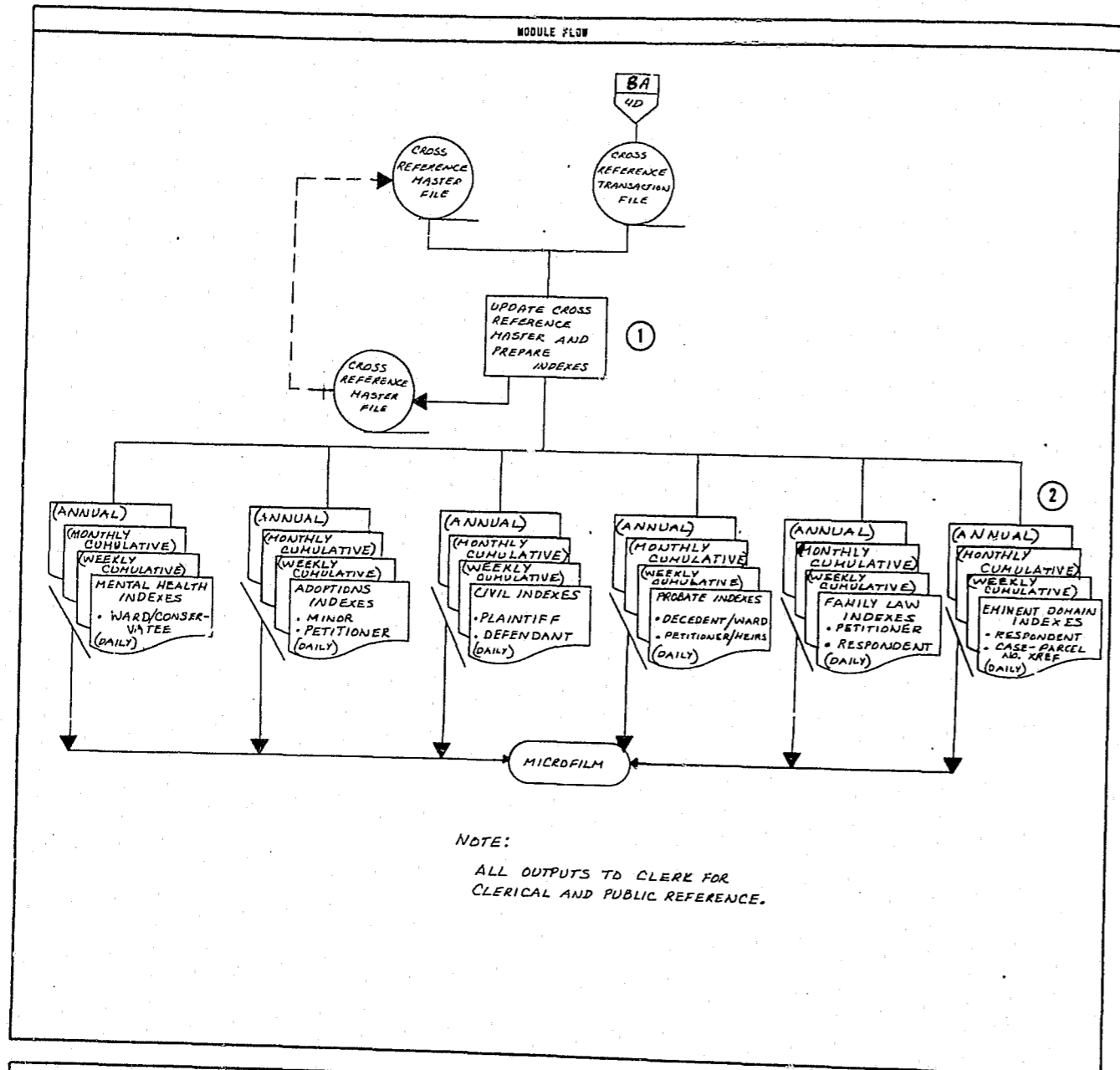
2 Court proceedings are recorded on a multi-part checkoff minute order form whose heading data is completed by the computer.

3 Subsequent to the court session, the courtroom clerk directs the appropriate party to post jury fees for the next day. The minute order is recorded on the minute order, and a receipt is issued by the cashier.

4 The courtroom clerk prepares formal court orders and judgments as required. To the extent possible, a copy of the minute order serves as the court order. The minute order is not typed into finished form. It is filed in chronological sequence in the case folder in order to eliminate the need for a separate minute book.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-8-082	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 11
MODULE PURPOSE To provide indexes of filings by case category and type on a daily, weekly, monthly and annual basis			



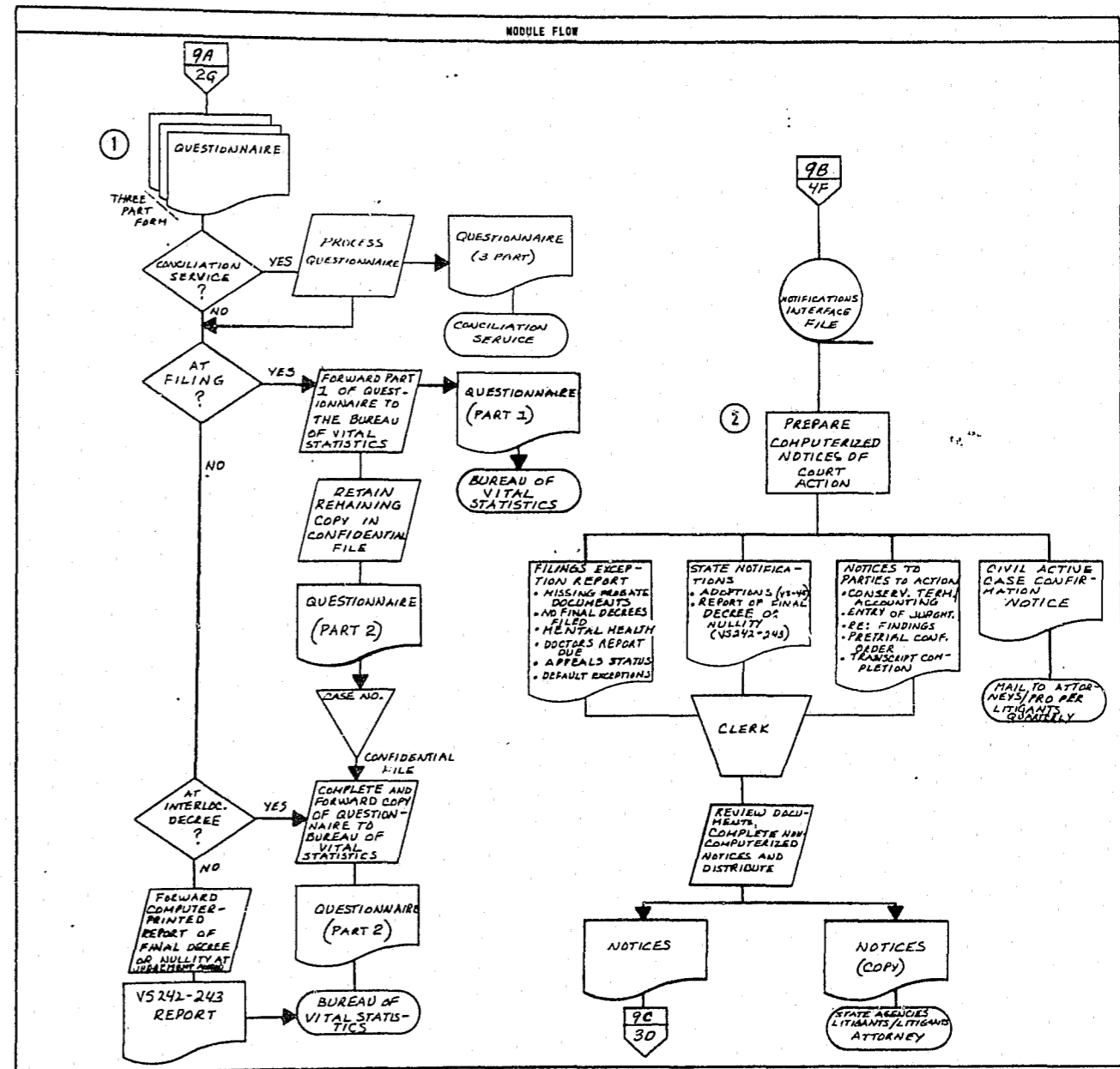
MODULE NARRATIVE

① Six types of indexes are prepared on a daily, weekly, monthly and annual basis.
An index is prepared four days of the week consisting of daily filings made. On the fifth day of the week, a cumulative weekly index is prepared of all filings made during the week. Similarly, cumulative monthly and annual indexes are prepared on the last day of the month, and the last day of the year, respectively.
Individual indexes are prepared by case category. In addition, adoptions cases are separately listed from other civil actions in order to maintain their confidentiality.
Each index is sectionalized by relationship of the party to the action in order to expedite location of the desired entry.
The annual indexes and possibly the monthly indexes, should be microfilmed in order to reduce space requirements and ease handling.

② The Eminent Domain Index is printed with a cross-reference to facilitate the identification of cases and parties by parcel number.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-9-112	MODULE NAME NOTIFICATION OF COURT ACTION	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 11
MODULE PURPOSE To process domestic relations questionnaires, to prepare notices to the state, litigants and attorneys, and to monitor the progress of filings on an exception basis			



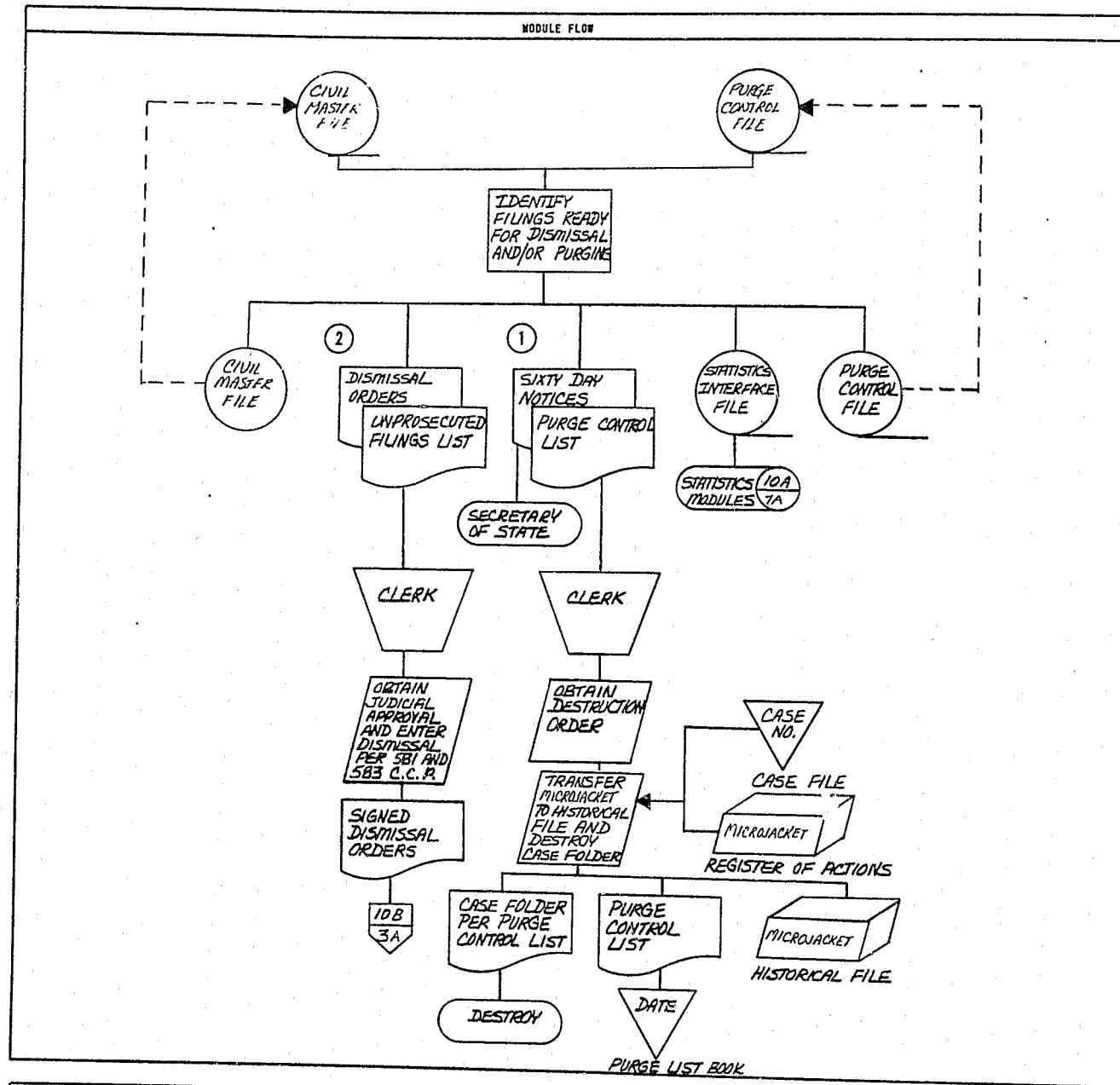
MODULE NARRATIVE

① In family law cases, the clerk processes a three part questionnaire for the conciliation service and the Bureau of Vital Statistics. Presently, these are separate forms, but they are amenable to consolidation by making the third part of the questionnaire longer than the other two parts in order to accommodate additional questions of interest to the conciliation service only.
A copy of the questionnaire is forwarded to the Bureau of Vital Statistics at the time of filing and at the award of the interlocutory decree. A report of award of final decree or nullity judgment (VS242) is generated by computer and forwarded at the appropriate time also.

② Notices and a report monitoring the progress of filings on an exception basis is prepared by computer at the appropriate times. In addition, attorneys are notified of their scheduled and unscheduled cases on the civil active list in order to provide feedback to the court of cases no longer at issue.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-10-145	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Sequential Batch	PAGE 10 of 11
MODULE PURPOSE To identify filings eligible for dismissal for want of prosecution and to purge filings eligible for destruction			

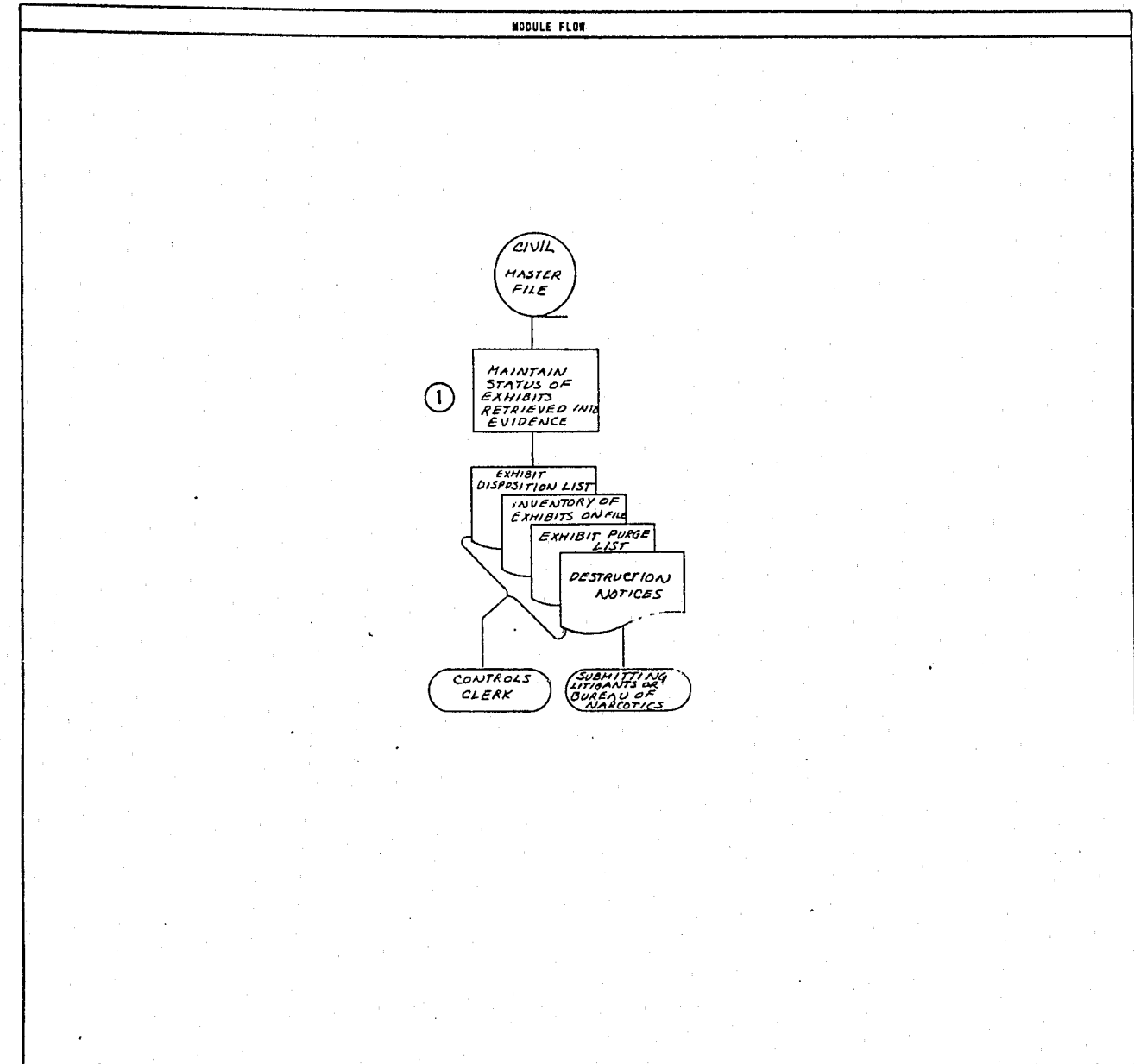


MODULE NARRATIVE

- ① A Purge Control File is maintained of all cases disposed of, but not physically destroyed, by the court. Periodically, the purge control date (for example, the date of judgment in municipal court civil actions) is updated in the file. Case numbers are organized in series by case category or type. Purging is carried out as permitted by law only when virtually all cases within a series meet the legal purging criteria. The few cases in the series that do not meet the criteria, plus the case number ranges to be purged, are listed on the Purge Control List. Sixty day notices to the Secretary of State's Office are also prepared on the computer as required by law. This procedure facilitates purging and maintains case number control in the case file in order to easily distinguish between "out of file" and purged folders.
- ② Filings eligible for dismissal for want of prosecution per sections 581 and 583 C.C.P. are also monitored by the Aging and Purging Module. Each eligible filing is summarized on the Unprosecuted Filings List and an individual dismissal order is prepared.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION ES-11-321	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION Sequential Batch	PAGE 11 of 11
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence			



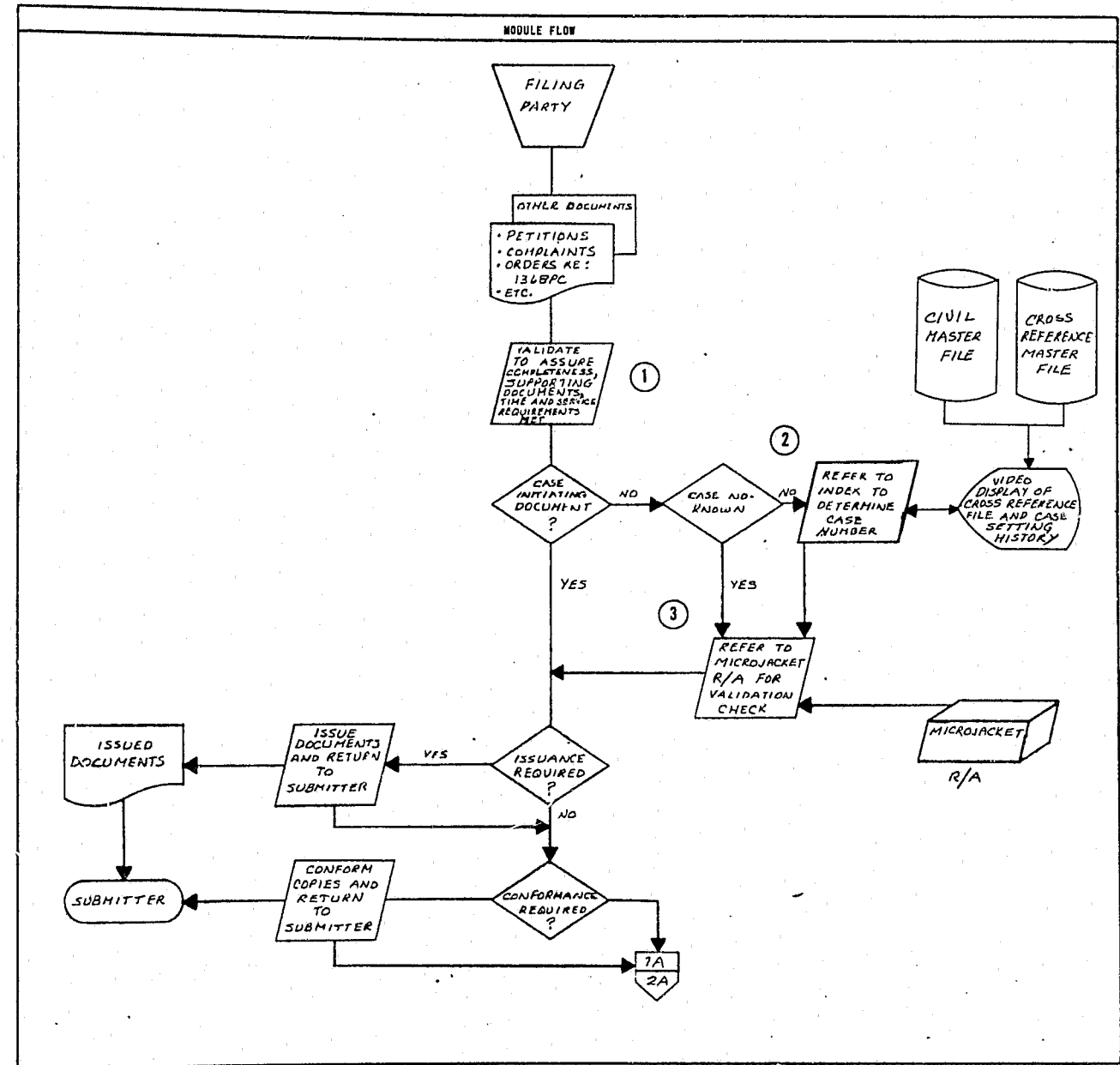
MODULE NARRATIVE

- ① Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown. Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and identification of the exhibit's owner. Exhibits ready for destruction or release are listed on the Exhibit Purge List. Notices are prepared to inform the exhibits' owners of impending action. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court. The final disposition of each item is recorded on the Exhibit Disposition List.

FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 1 of 11
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			



MODULE NARRATIVE

① All civil documents are filed with the court by the litigants. The clerk's role is to accept any document submitted by the party. In some instances, (e.g., defaults) the clerk may review either the contents of the case folder or the Register of Actions subsequent to the filing of the document in order to verify timing and service requirements. In general, however, the clerk performs a minimal amount of editing of documents and verification of appropriateness of the filing for the submitting party.

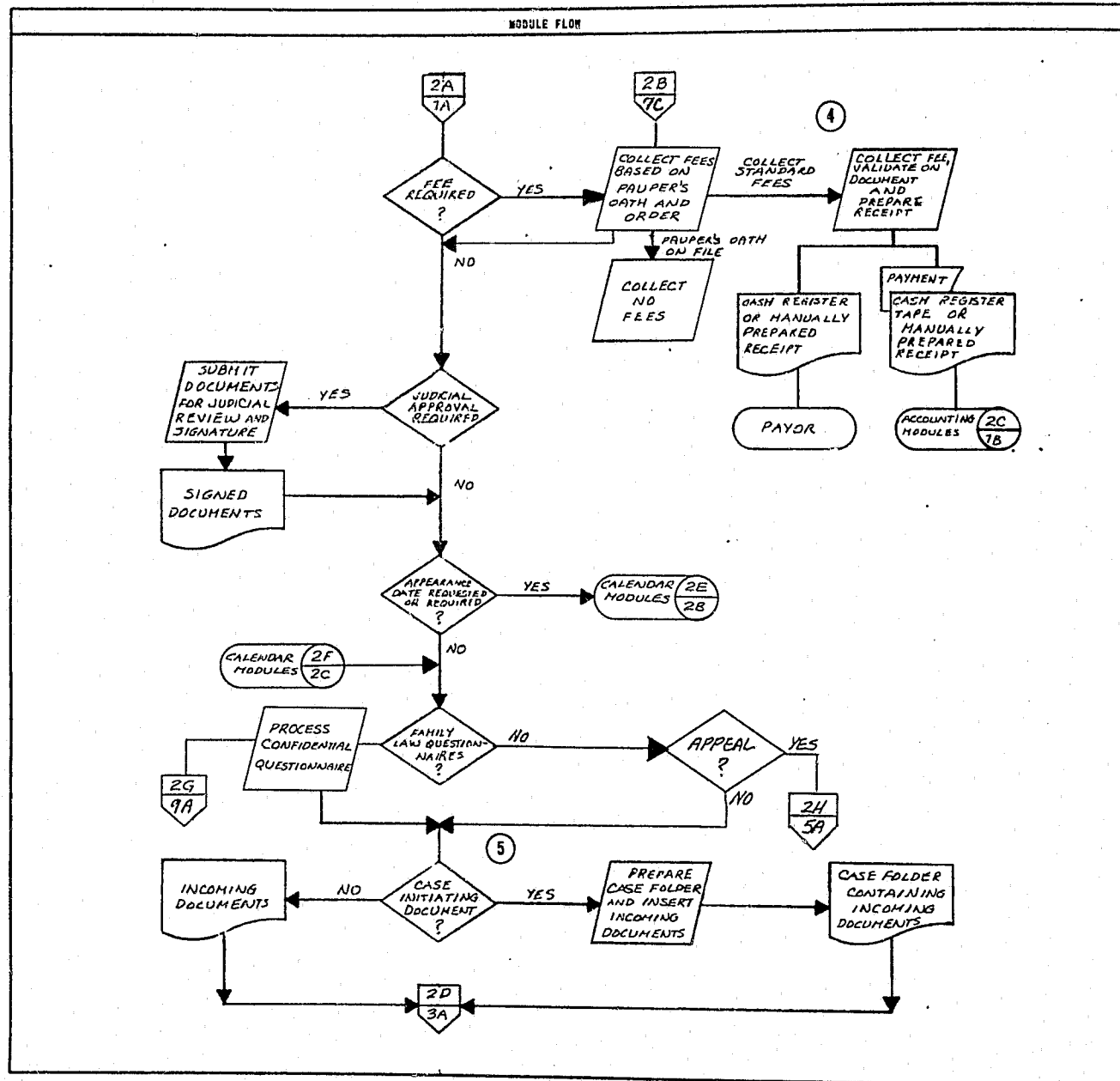
② The clerk refers to the on-line video display of the Cross Reference File to determine or verify the case number or litigants to a case. References may be made by case number, plaintiff and/or defendants name, and attorneys name.

The clerk may also access the Civil Master File for reference to the case setting history. The case setting history allows all prior and currently scheduled appearance dates to be displayed.

③ Case-related documents are microfilmed, placed in microjackets, and stored in case number sequence near the counter. This file serves as the Register of Actions and is referenced, as required, to ascertain case status and to answer inquiries.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 2 of 11
MODULE PURPOSE To process initial and subsequent filings submitted to the court by litigants			



MODULE NARRATIVE

④ The clerk collects filing and jury fees except when the submitter informs the clerk that either the fee has been previously paid (e.g., first document fees for defendants) or that a pauper's oath and order are on file. In these instances, the clerk verifies the case status in the Register of Actions. When fees are received, the clerk validates the document (minute order in the case of jury fees) in the cash register and issues a receipt. The payments and audit trail data are then forwarded at the end of the day to the Accounting Department.

⑤ New cases are assigned a case folder and a case number. A computer-printed case label is attached to the case folder the day after initiation.

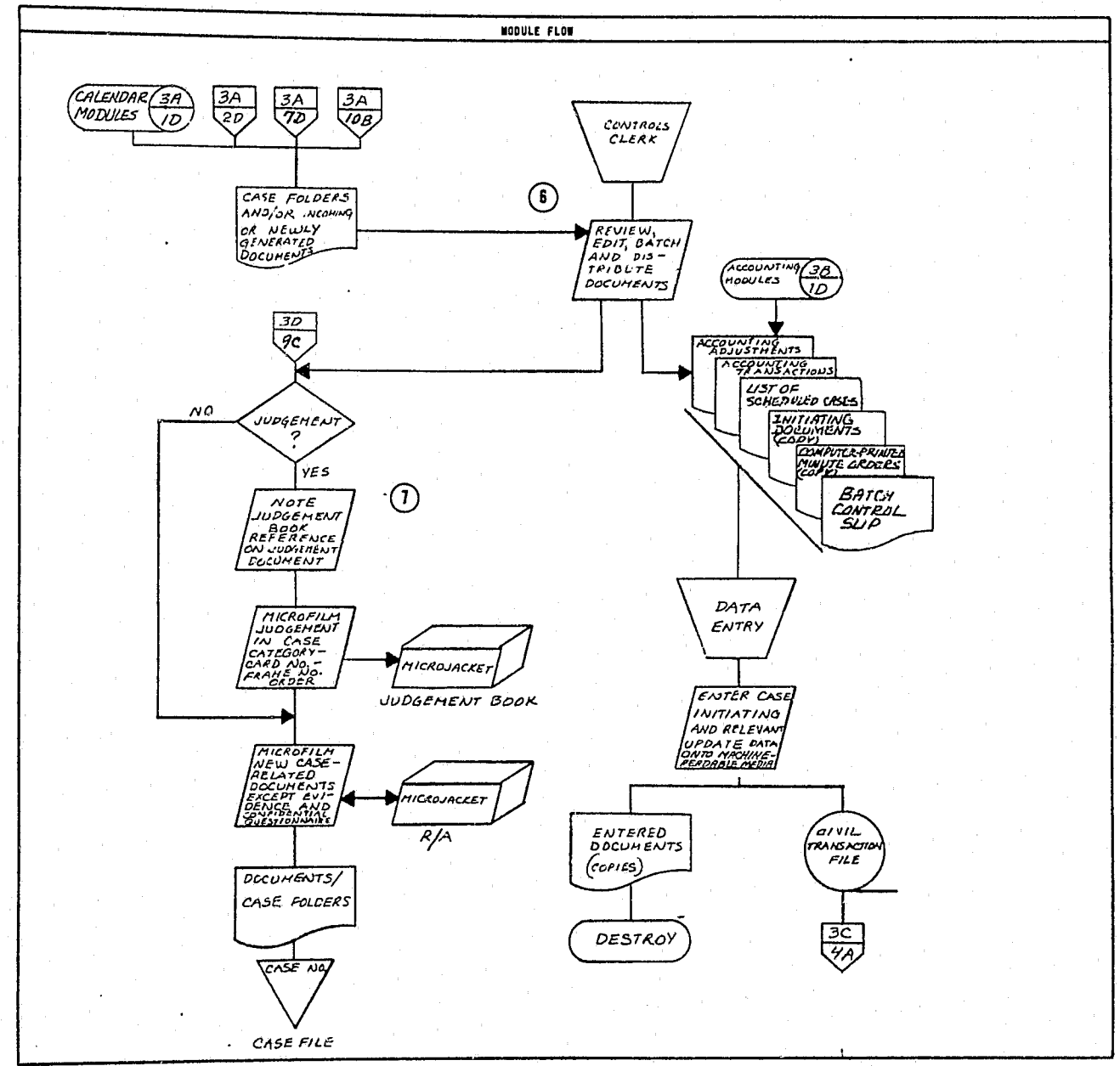
A separate series of case numbers is assigned to each unique case category or case type; a prefix code is assigned to each series. Typically, a separate series is assigned to:

- Adoptions
- Probate and Guardianship
- Mental Health
- Eminent Domain
- Family Law
- Other Civil.

This procedure provides better case file control and facilitates purging.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 3 of 11
MODULE PURPOSE To enter submitted and court-generated documents in the automated system, to microfilm documents for the Judgment Book and Register of Actions, and to file the documents in the appropriate case folder			



MODULE NARRATIVE

⑥ All documents eventually filed in the case folder are routed to a Controls Clerk. The clerk determines the action needed and distributes the documents as shown. This procedure involves:

- Reviewing case folders to determine whether a clerk's default can be entered per the request, monitoring the appeals procedure, verifying the correct collection of fees, etc.
- Determining when to detach copies of submitted or court-generated documents in order to route the copies through data entry for computer updating; when to prepare supplemental input sheets in order to capture more concise transactions that do not merit the submittal of the full document to data entry; and, when to forego computer data entry altogether.

Batching eligible documents and transactions for data entry

Forwarding of documents to microfilming

Filing documents and case folders in the case file.

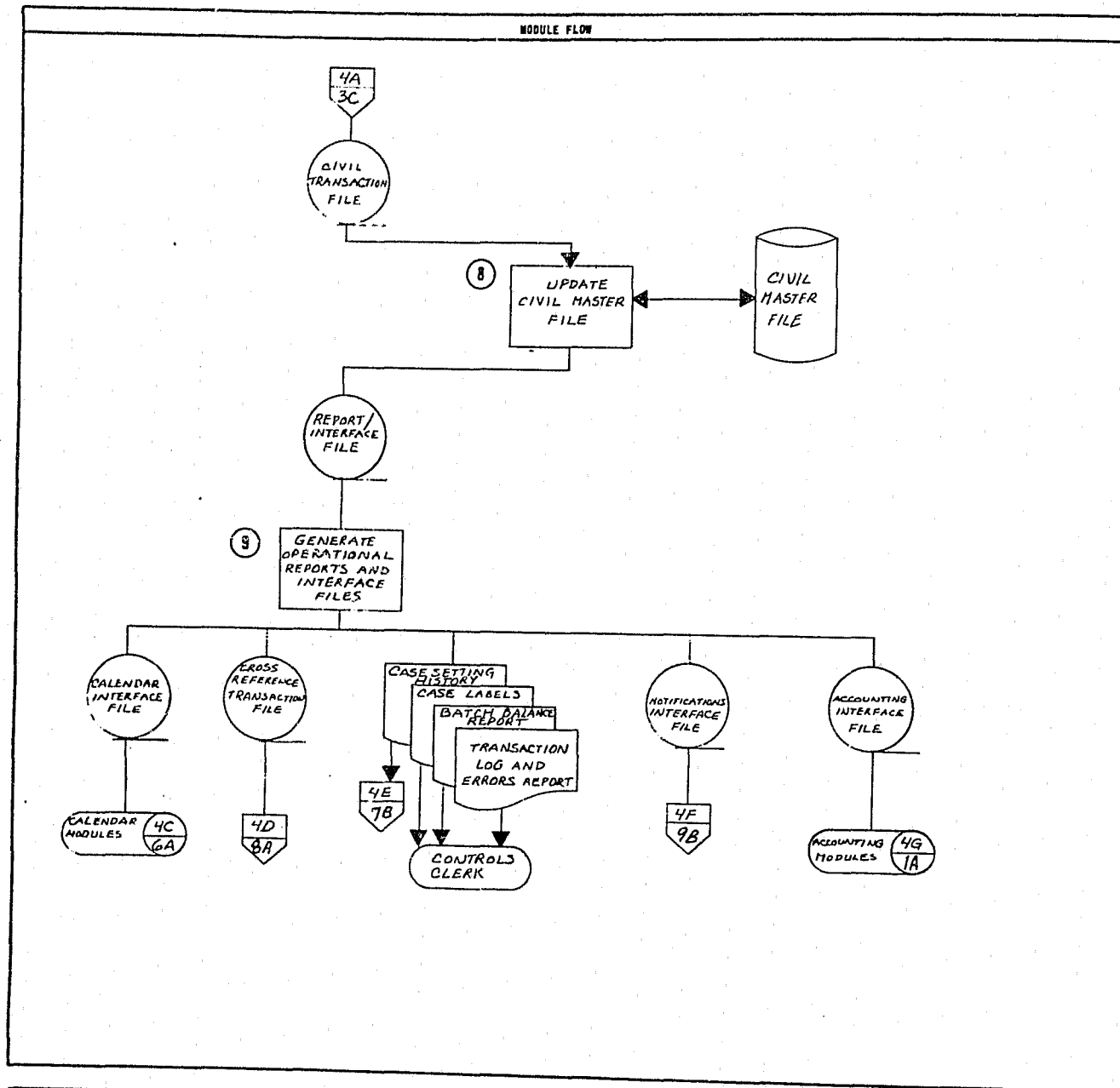
The copies of the documents, used for data entry are destroyed.

⑦ All judgments are maintained in a microjacket Judgment Book in as-issued sequence. The judgment's location in the microjacket is noted on the document before submittal to Register of Actions microfilming. No Minute Order Book is maintained, but the minute orders are stored in chronological order in the case folder.

Note that the confidential questionnaires required in domestic relations cases and evidence, including depositions, are not placed in the Register of Actions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 4 of 11
MODULE PURPOSE To update the Civil Master File, and to generate operational reports and interface files			



MODULE NARRATIVE

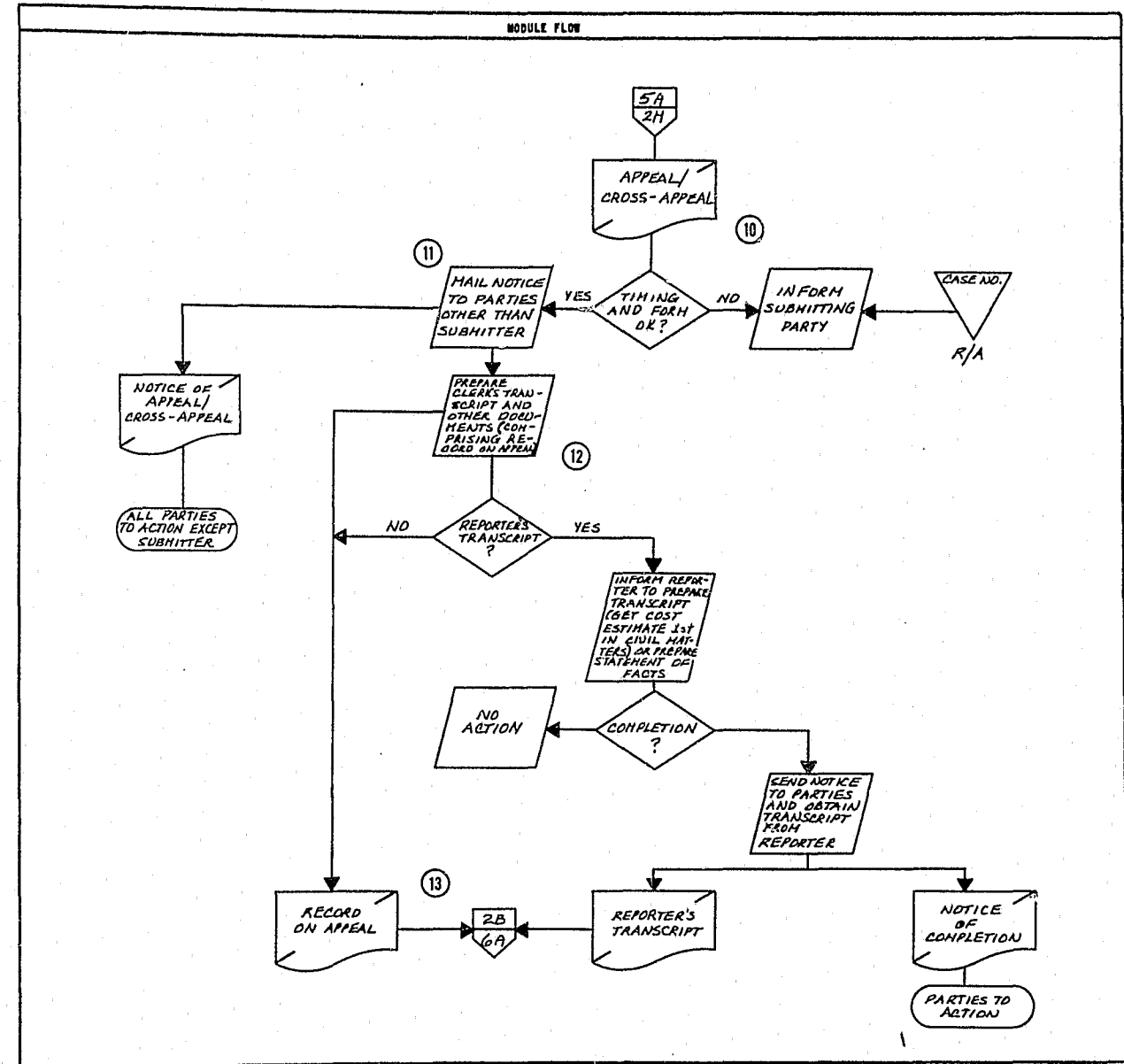
8 The automated system maintains cases on a Civil Master File. Data is entered at filing and disposition time, and at intermediate and subsequent points in time as required for calendaring, financial accounting, exhibit control, and statistical purposes. Since no automated case summary or Register of Actions is maintained by the automated system, the nature of the entered transactions can be more concise and somewhat less voluminous.

9 Interface files are generated for the following purposes:

- Calendar Interface File - to inform the calendar modules of settings made at the counter, of cases becoming at issue, and of changes to the status of cases affecting previously made settings
- Cross Reference Transaction File - to generate the various daily and cumulative indexes by case category or type
- Notifications Interface and File - to generate notifications of court actions on a timely basis
- Accounting Interface File - to inform the Accounting Modules of account setups, payments, adjustments and miscellaneous financial transactions.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 5 of 11
MODULE PURPOSE To prepare record on appeal and reporter's transcript for cases appealed from the lower court to the superior court.			



MODULE NARRATIVE

10 The appellant initiates the appeals process in the lower court by the filing of a Notice of Appeal. The judgment date is checked in the Register of Actions to determine whether an appeal meets the statutory time limitations. (Ten days in most criminal matters and thirty days in civil matters.)

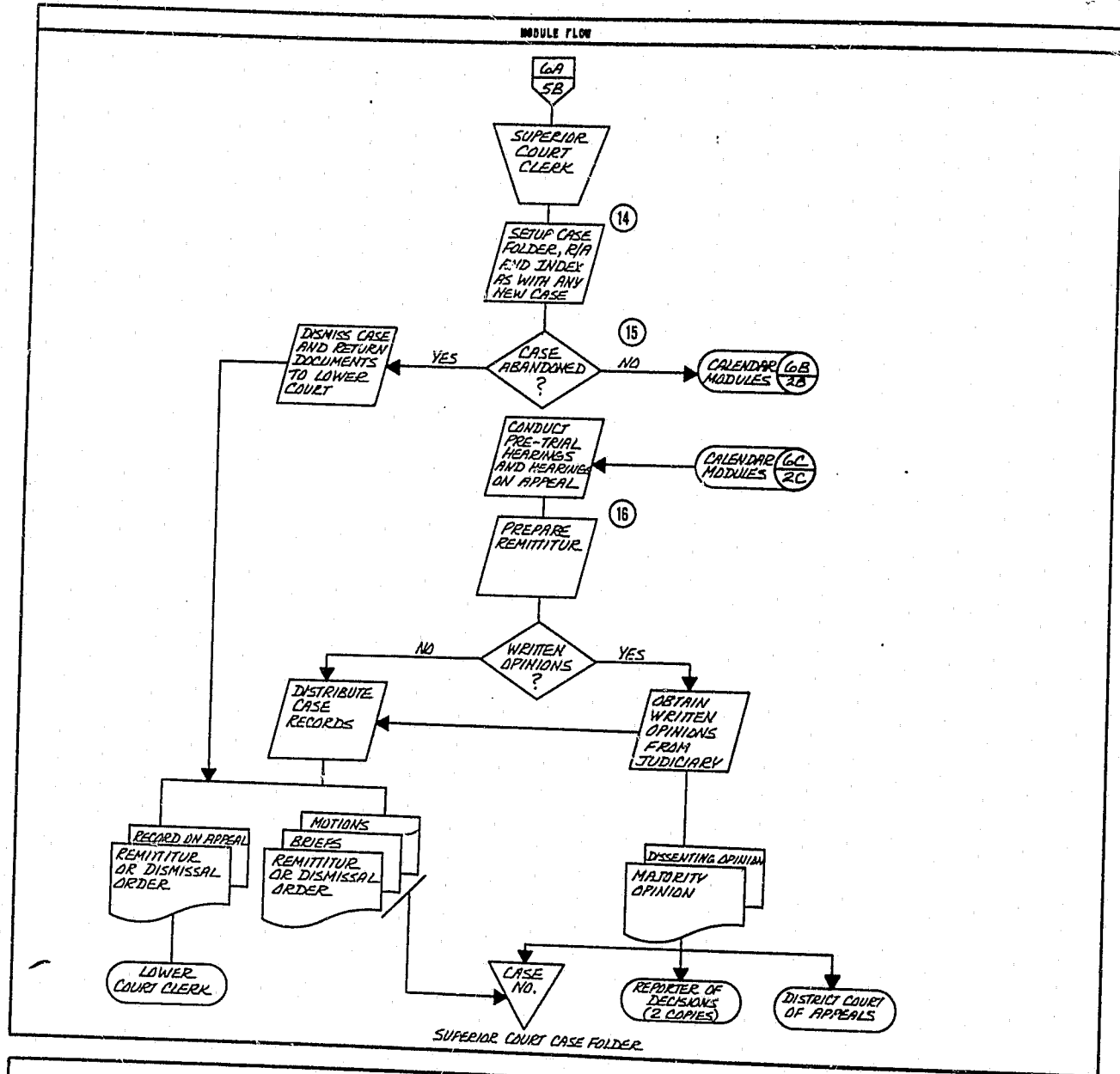
11 The clerk mails a copy of the Notice of Appeal, and Notice of Cross Appeal if one is filed, to each party other than the appellant or cross-appellant.

12 The clerk's transcript is prepared for transfer to the superior court per the appellant's request. The clerk obtains a cost estimate for the reporter's transcript and orders its preparation upon the request of the parties and the posting of the required fees.

13 When the record on appeal has been completed in accordance with the Rules of Court, it is transferred to the superior court.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-1-034	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION On-line	PAGE 6 of 11
MODULE PURPOSE To prepare remittitur, and to distribute opinions and case records subsequent to the hearing on appeal (or dismissal) in the superior court.			



MODULE NARRATIVE

14 The appellate department receives the record on appeal from the lower court. A new case folder is established along with the corresponding Register of Actions and indexes.

15 The hearing on appeal is set within thirty days of receipt of the record on appeal, and after proper noticing of the parties.

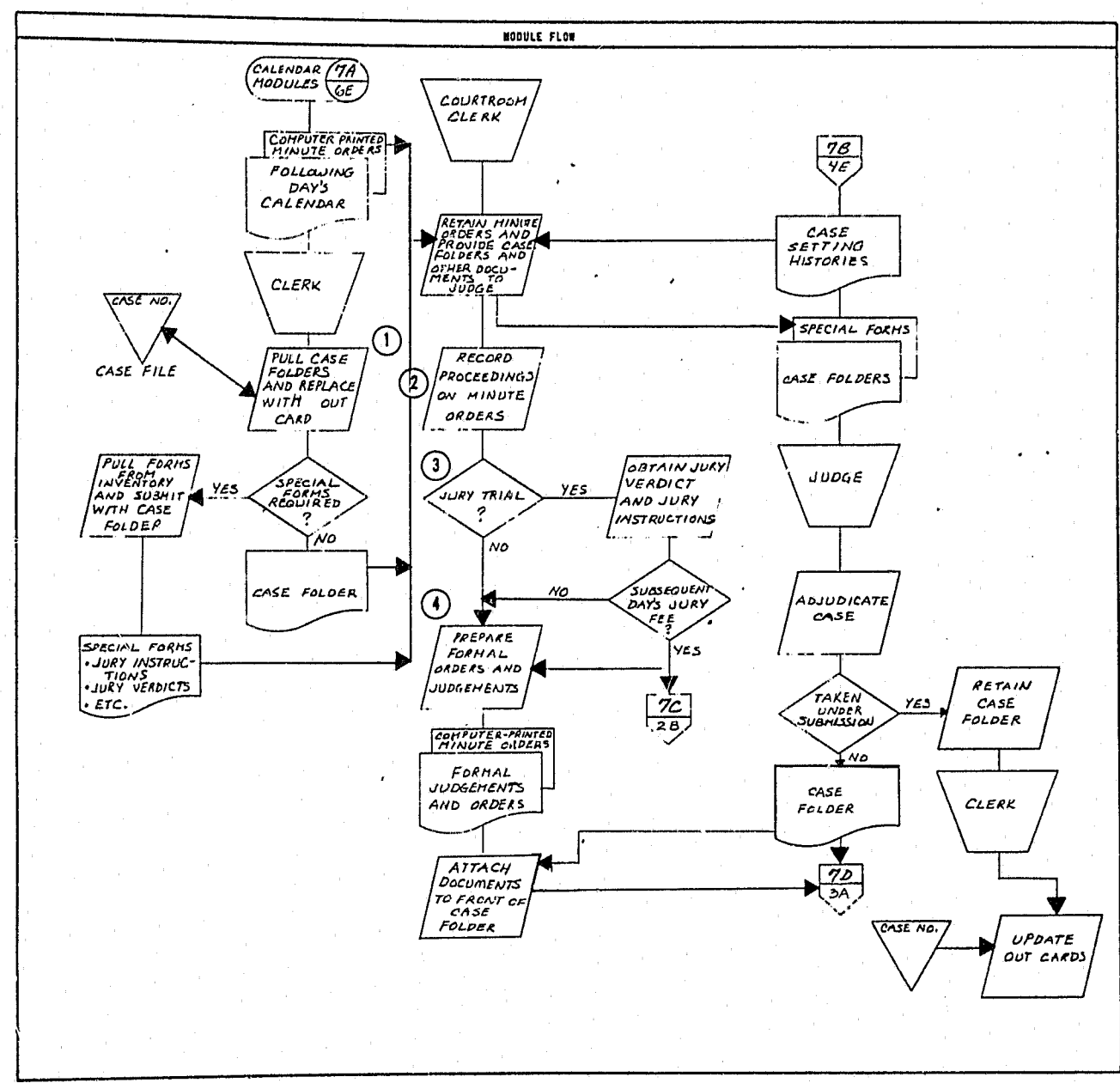
The appellant files his opening brief within fifteen days of the filing of the record on appeal. The respondent files his brief ten days thereafter, followed by the appellant's reply five days after the filing of the respondent's brief. The original briefs are filed with the court along with proof of service of copies to each adverse party.

16 The court hears the appeal and takes the case under submission. Upon judgment, the Remittitur is completed from the minutes prepared by the courtroom clerk. It is returned with the documents originally filed on appeal to the trial court. A copy of the Remittitur is also forwarded to each party along with the written opinions if they are prepared. The clerk forwards two copies of each written opinion to the Reporter of Decisions and one copy to the District Court of Appeal.

All documents generated while the case is on appeal in the superior court are retained by the court in an appellate department-maintained case folder.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-7-063	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION On-line	PAGE 7 of 11
MODULE PURPOSE To prepare for court session and to record court proceedings on minute orders and formal orders and judgments			



MODULE NARRATIVE

1 The day prior to their scheduled appearance, litigants' cases are pulled from the case file using the computer-printed calendar as reference. Should the judge request special forms, such as alternative jury instructions and verdict forms, the clerk will pull the required forms from the inventory. These documents, along with the corresponding computer-printed minute orders, are distributed to the trial departments no later than the following morning.

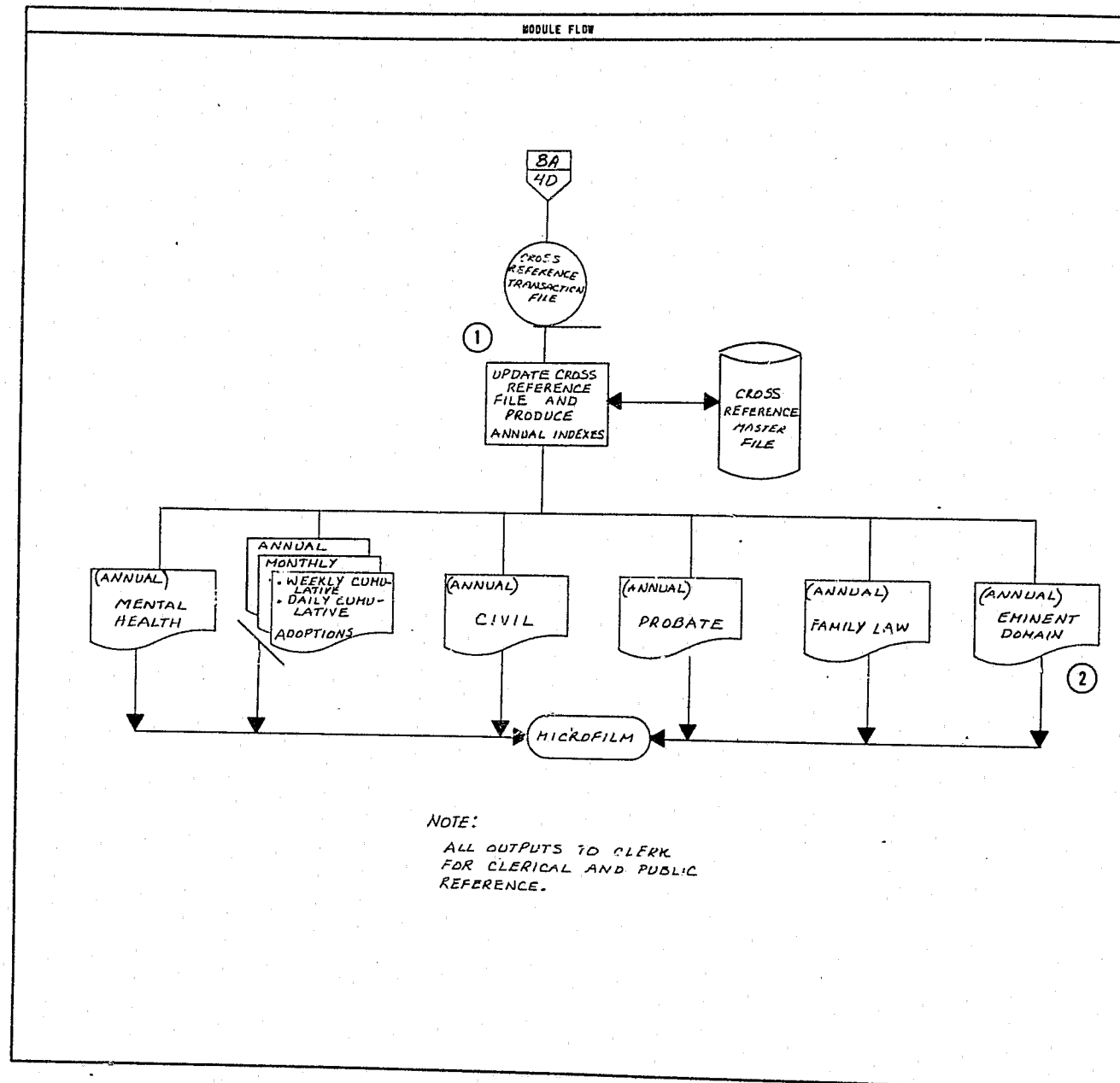
2 Court proceedings are recorded on a multi-part checkoff minute order form whose heading data is completed by the computer.

3 Subsequent to the court session, the courtroom clerk directs the appropriate party to post jury fees for the next day. The payment is recorded on the minute order, and a receipt is issued by the cashier.

4 The courtroom clerk prepares formal court orders and judgments as required. To the extent possible, a copy of the minute order serves as the court order. The minute order is not typed into finished form. It is filed in chronological sequence in the case folder in order to eliminate the need for a separate minute book.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-8-092	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION On-line	PAGE 8 of 11
MODULE PURPOSE To provide indexes of filings by case category and type on a daily, weekly, monthly and annual basis			



MODULE NARRATIVE

① The Cross Reference File is updated on a daily basis by the Civil Index File. Access to the file is provided for on case number, plaintiffs and/or defendants names, and attorneys names.

Adoption indexes are produced separately to maintain their confidentiality. An index is prepared from days of the week which lists the daily filings. The daily filings are summarized in weekly and monthly indexes.

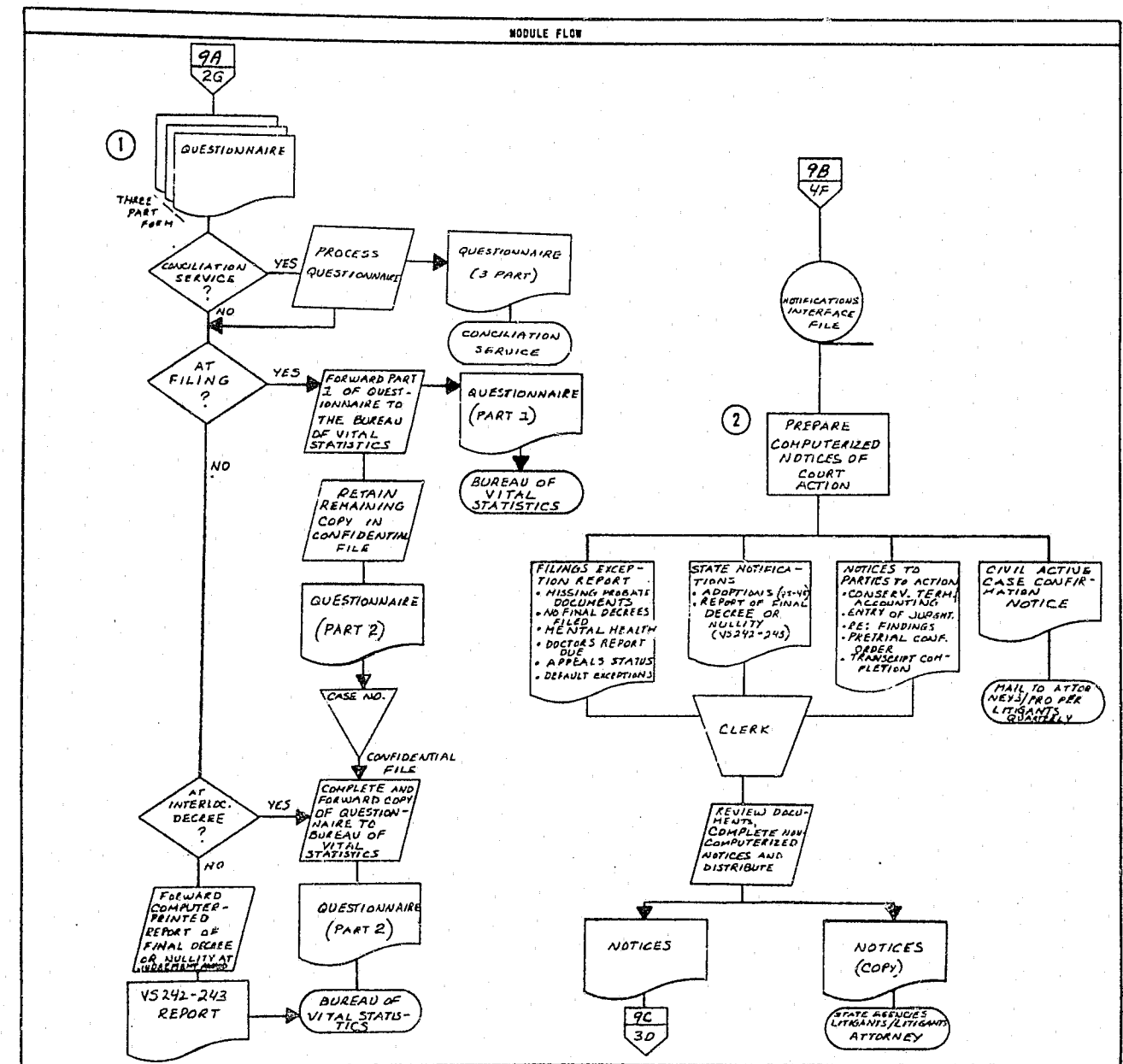
The annual indexes are maintained on micro-film.

Records are maintained on the Cross Reference File until the case file is purged.

② The Eminent Domain Index is provided with a cross-reference to facilitate the identification of cases and parties by parcel number.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-9-122	MODULE NAME NOTIFICATION OF COURT ACTION	LEVEL OF AUTOMATION On-line	PAGE 9 of 11
MODULE PURPOSE To process domestic relations questionnaires, to prepare notices to the state, litigants and attorneys, and to monitor the progress of filings on an exception basis			



MODULE NARRATIVE

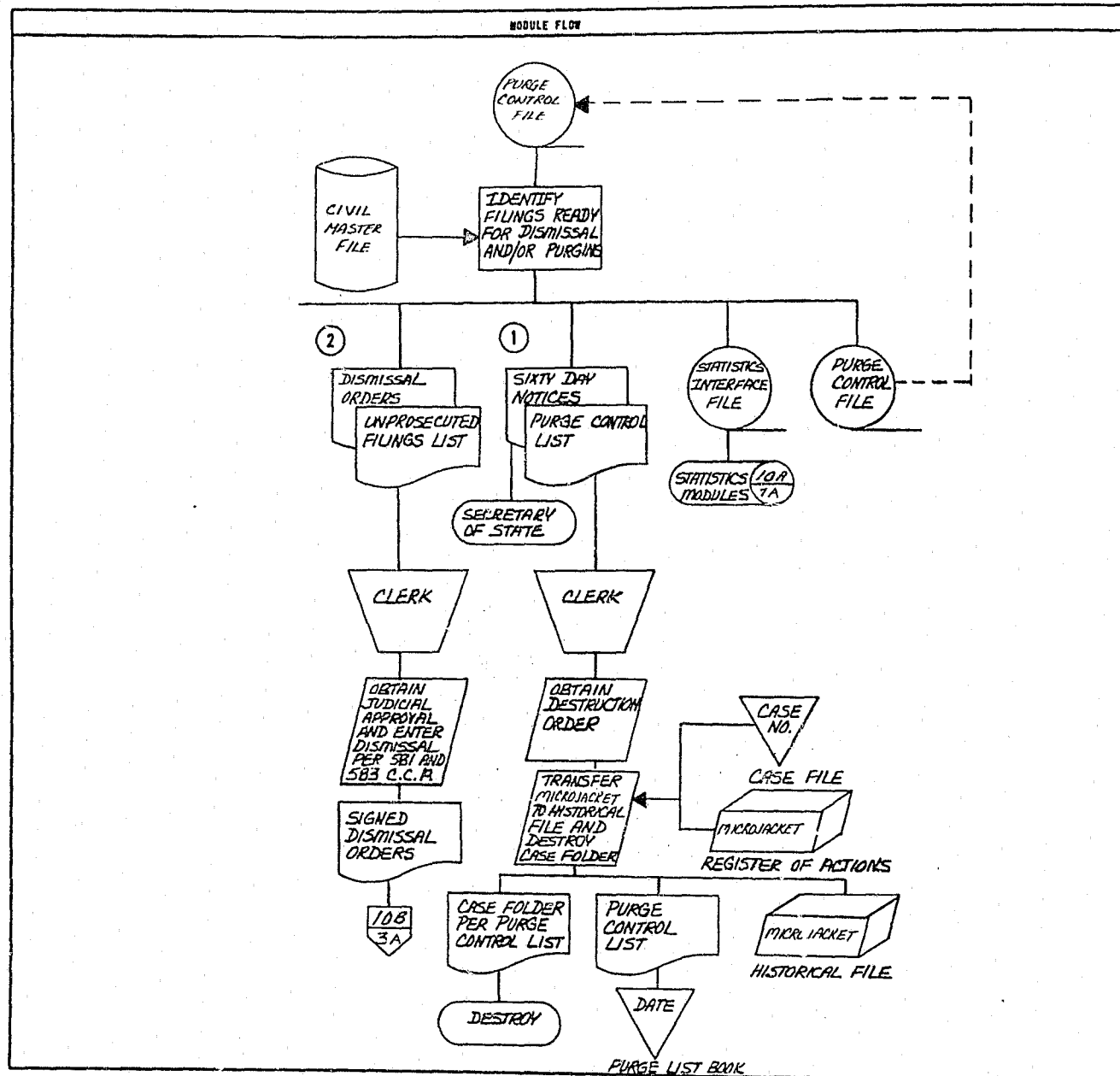
① In family law cases, the clerk processes a three part questionnaire for the conciliation service and the Bureau of Vital Statistics. Presently, these are separate forms, but they are amenable to consolidation by making the third part of the questionnaire longer than the other two parts in order to accommodate additional questions of interest to the conciliation service only.

A copy of the questionnaire is forwarded to the Bureau of Vital Statistics at the time of filing and at the award of the interlocutory decree. A report of award of final decree (VS243) or nullity judgment (VS242) is generated by computer and forwarded at the appropriate time also.

② Notices and a report monitoring the progress of filings on an exception basis is prepared by computer at the appropriate times. In addition, attorneys are notified of their scheduled and unscheduled cases on the civil active list in order to provide feedback to the court of cases no longer at issue.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-10-155	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION On-line	PAGE 10 of 11
MODULE PURPOSE To identify filings eligible for dismissal for want of prosecution and to purge filings eligible for destruction			



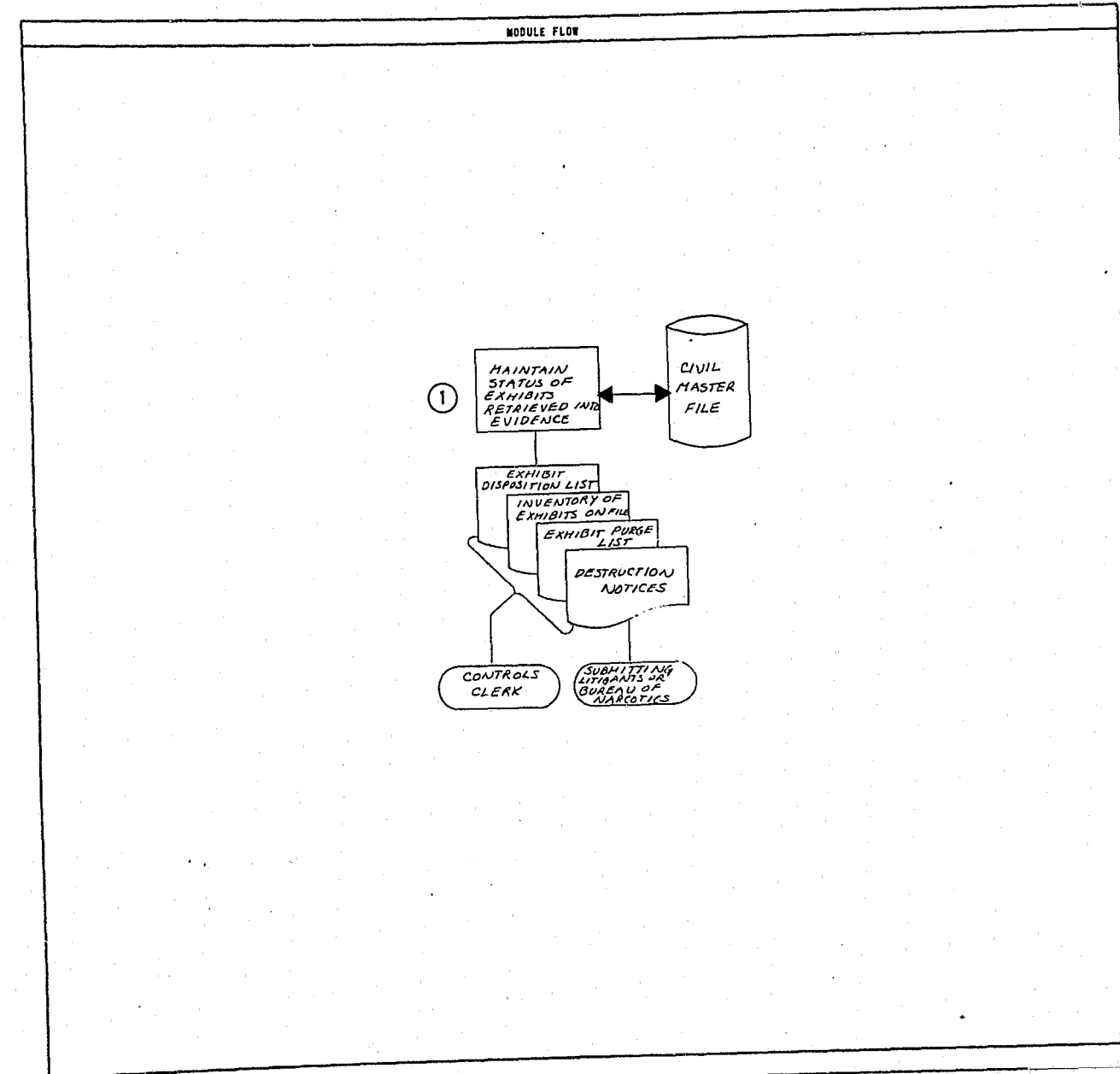
MODULE NARRATIVE

① A Purge Control File is maintained of all cases disposed of, but not physically destroyed, by the court. Periodically, the purge control date (for example, the date of judgment in municipal court civil actions) is updated in the file. Case numbers are organized in series by case category or type. Purging is carried out as permitted by law only when virtually all cases within a series meet the legal purging criteria. The few cases in the series that do not meet the criteria, plus the case number ranges to be purged, are listed on the Purge Control List. Sixty day notices to the Secretary of State's Office are also prepared on the computer as required by law. This procedure facilitates purging and maintains case number control in the case file in order to easily distinguish between "out of file" and purged folders.

② Filings eligible for dismissal for want of prosecution per sections 581 and 583 C.C.P. are also monitored by the Aging and Purging Module. Each eligible filing is summarized on the Unprosecuted Filings List and an individual dismissal order is prepared.

CIVIL
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION EO-11-331	MODULE NAME EXHIBIT CONTROL	LEVEL OF AUTOMATION On-line	PAGE 11 of 11
MODULE PURPOSE To monitor and control the acquisition, inventorying, release and destruction of exhibits received into evidence			



MODULE NARRATIVE

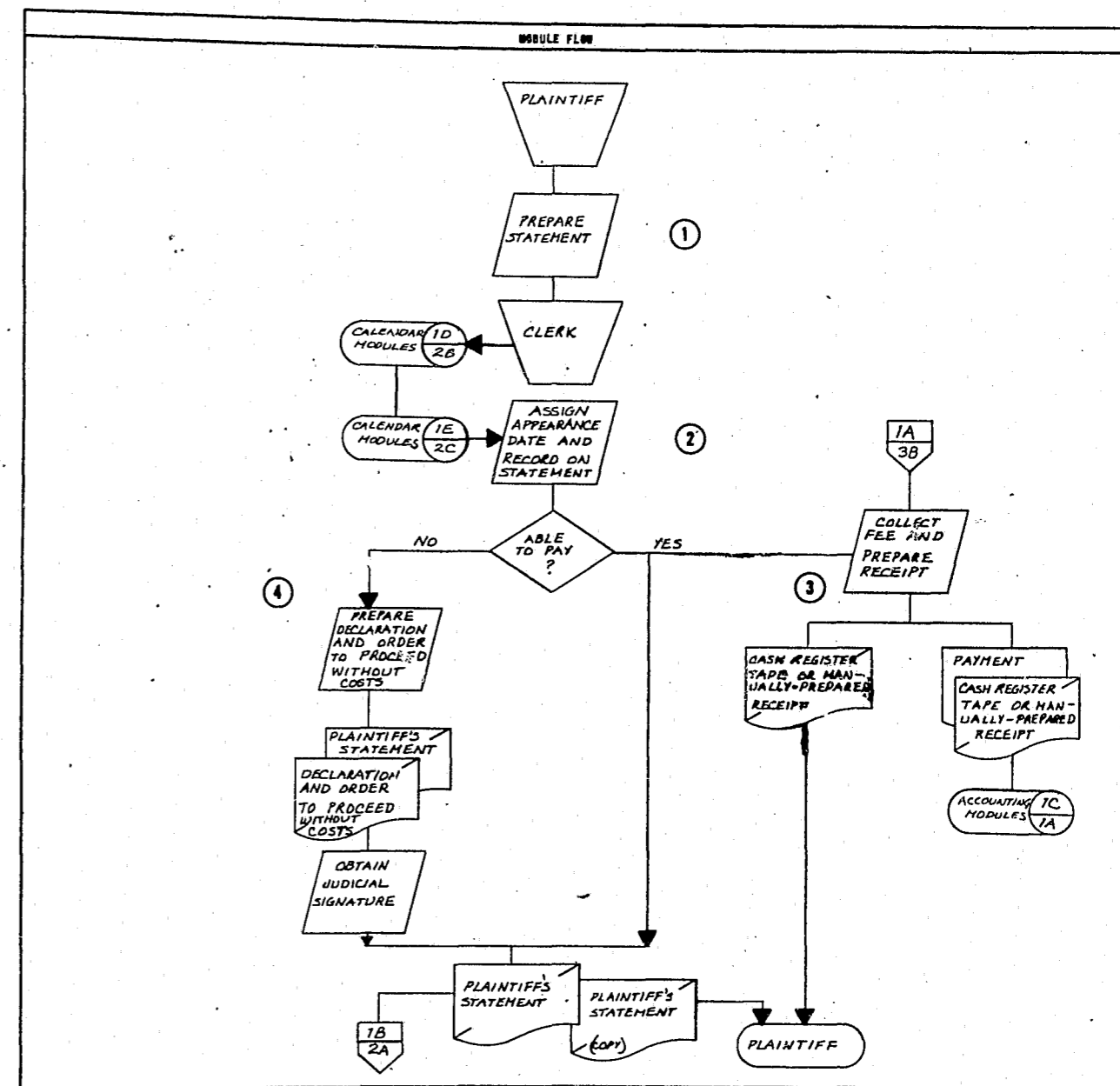
① Exhibits received into evidence, as noted by entries on the minute orders, are inventoried and monitored on the reports shown. Each exhibit is listed by case and exhibit number on the Inventory of Exhibits on File. This report also provides a short description of each item, a reference to its location, and identification of the exhibit's owner. Exhibits ready for destruction or release are listed on the Exhibit Purge List. Notices are prepared to inform the exhibits' owners of impending action. It should be noted that narcotics and dangerous drugs are confiscated by the Bureau of Narcotics when released by the court. The final disposition of each item is recorded on the Exhibit Disposition List.

APPENDIX F
SMALL CLAIMS MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-1-015	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 1 of 10
MODULE PURPOSE To prepare the initiation of a small claims case and determine the basis of the action			



MODULE NARRATIVE

① The plaintiff prepares a two-part Plaintiff's Statement. Included as a part of the Statement is a Declaration of Non-Military Service and a Request for Dismissal which the plaintiff can file at any time during the proceedings.

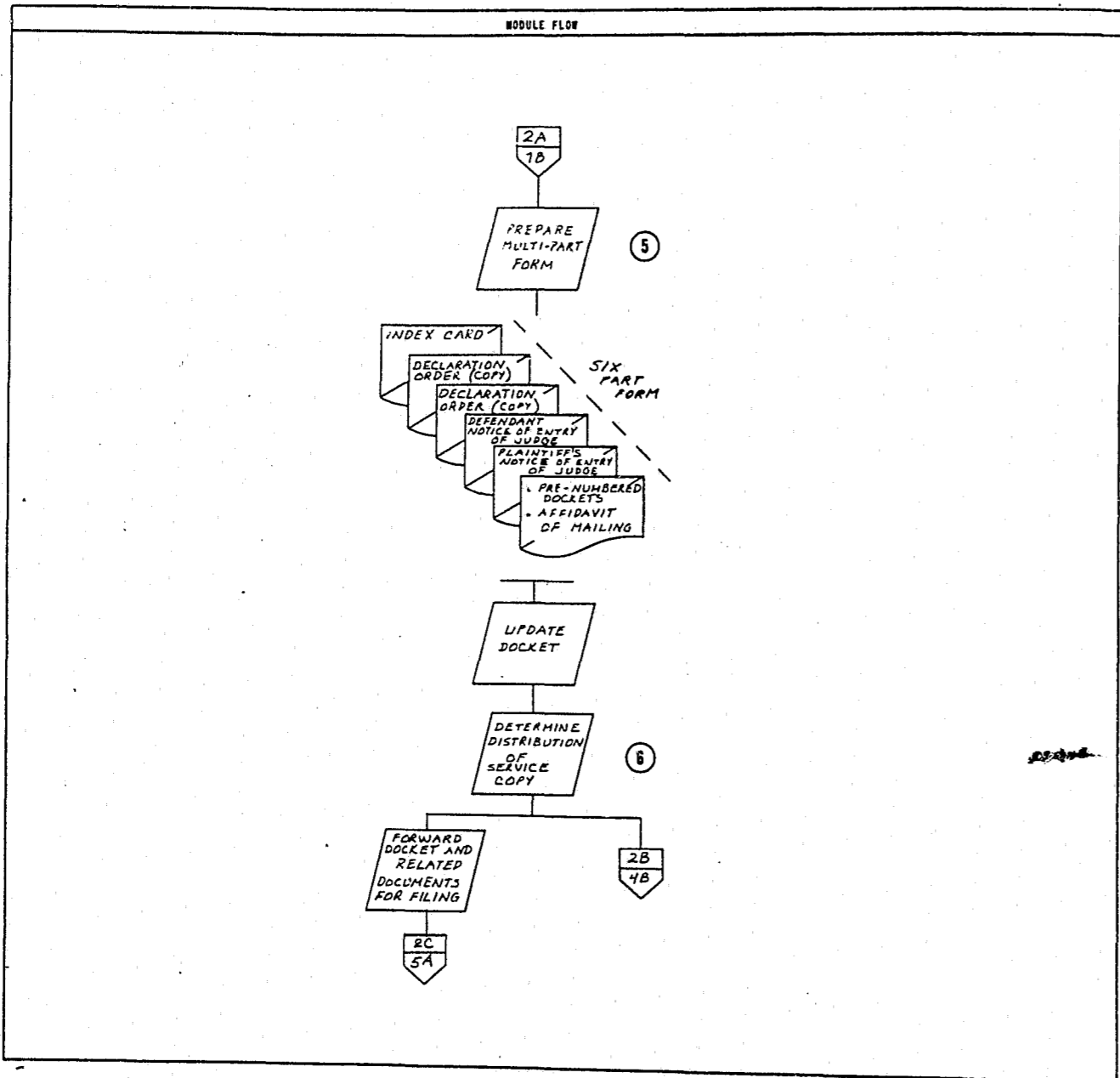
② A trial date is immediately assigned to the plaintiff and is recorded on the plaintiff's statement.

③ If the plaintiff is able to pay, the required fees are collected and a receipt is prepared.

④ If the plaintiff is not able to pay, a Declaration and Order to Proceed without Costs is prepared and submitted to a judge for approval.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-1-015	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 2 of 10
MODULE PURPOSE To prepare the complaint and determine the service method for the Declaration and Order			



MODULE NARRATIVE

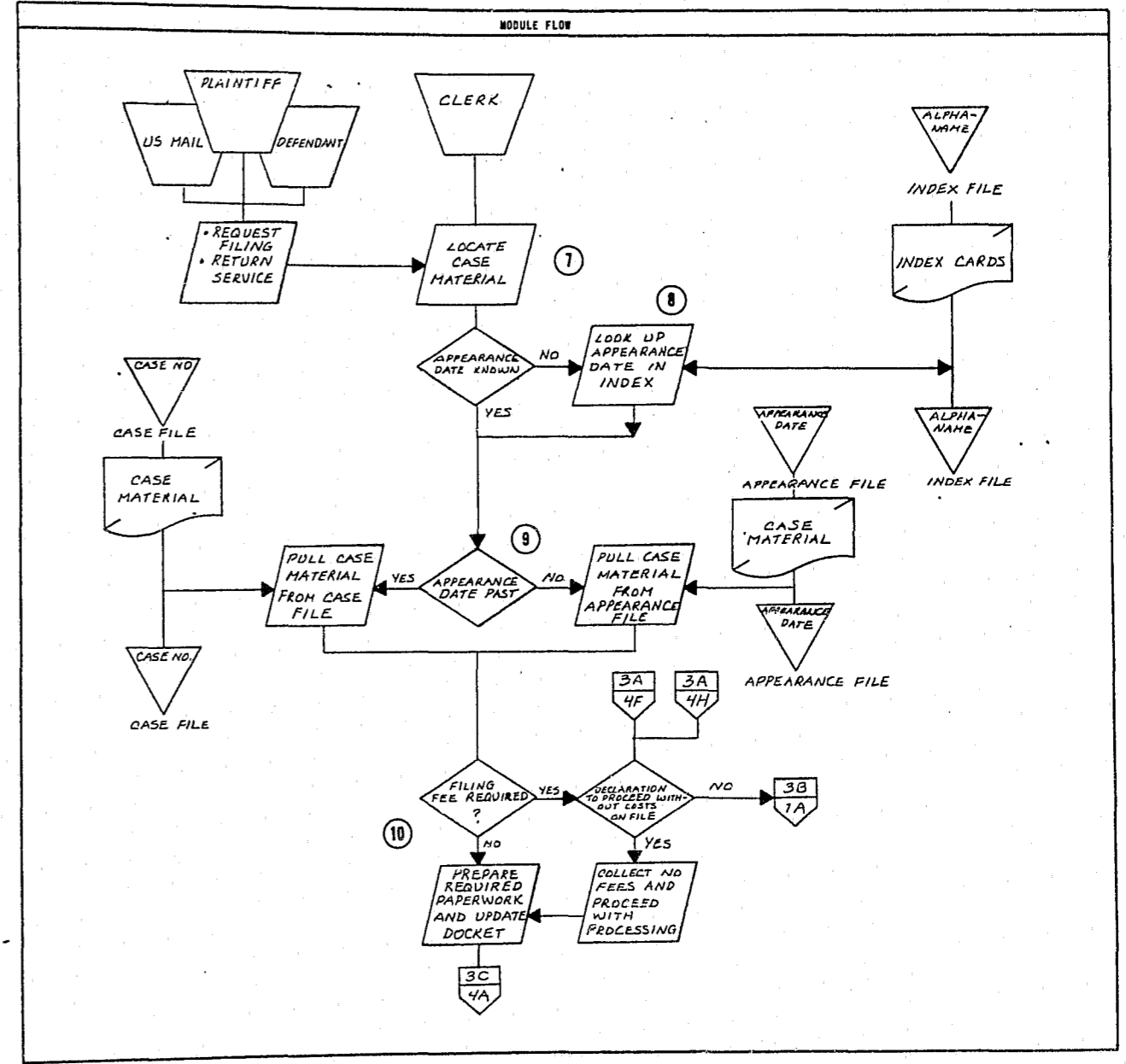
5 Using information from the Plaintiff's Statement, the clerk prepares a multipart complaint form. The collection of any filing fees and assignment of a trial date is indicated on the docket copy.

The front of the docket page contains the original Declaration and Order and an affidavit of mailing if mail service is chosen by the plaintiff. The back of the docket contains space for recording court proceedings. The most common court actions are recorded by check off entries when possible.

6 The clerk detaches one copy of the Declaration and Order and determines the type of service to be made.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-1-015	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 3 of 10
MODULE PURPOSE To determine the actions which should be taken on all filings subsequent to the original complaint.			



MODULE NARRATIVE

7 Documents subsequent to case initiation are submitted for filing by either party to the action, and may be submitted in person or through the mail.

8 If the appearance date is known, the clerk can determine the relative location of the case material. If the appearance date is not known, the index file is referenced and the appearance date determined from the index.

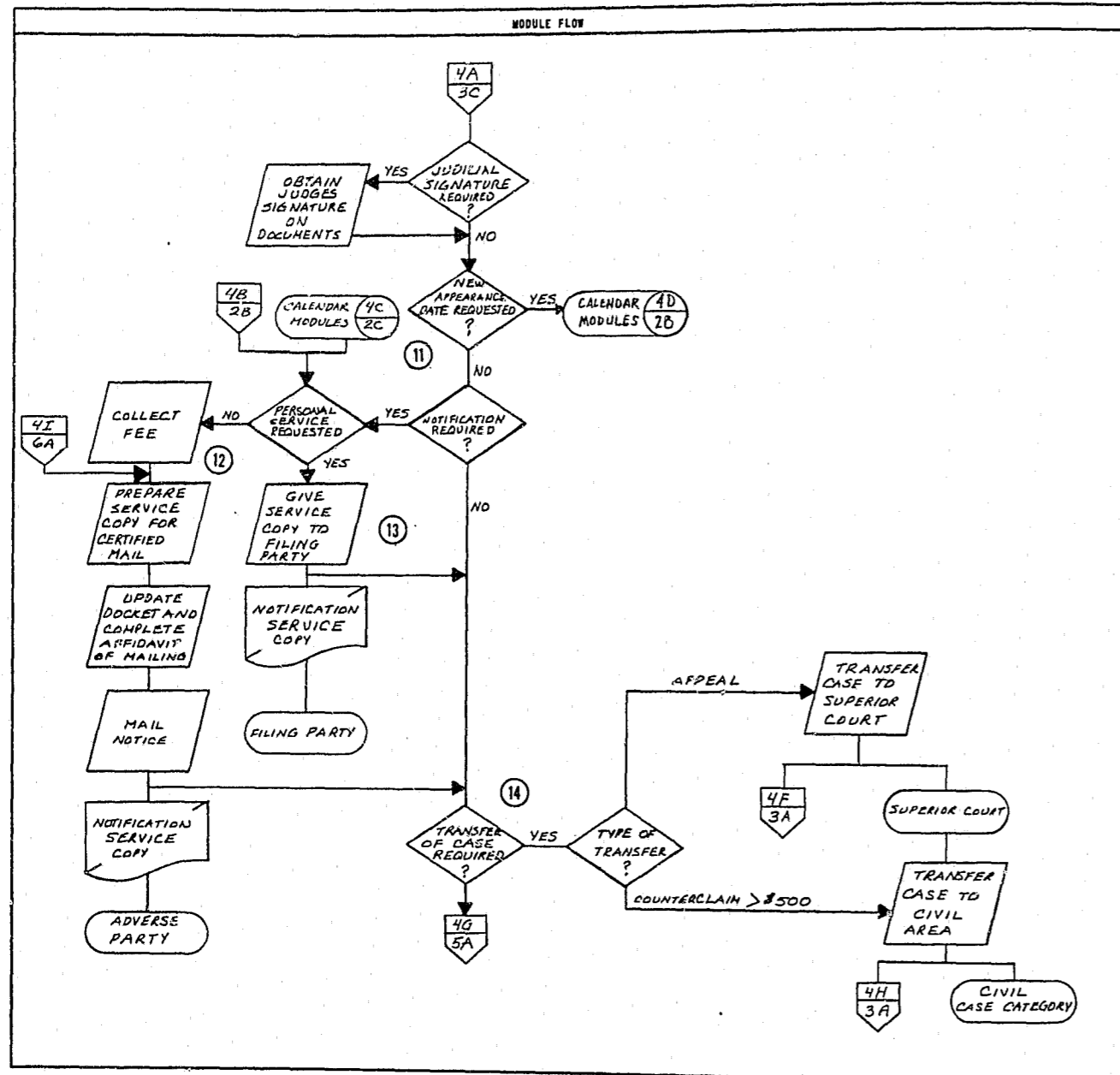
9 If the appearance date has passed, the case material is retrieved from the case file; otherwise, it is retrieved from the appearance file.

10 Required filing fees are collected and received. The docket is updated and any required forms are prepared. Some of the typical forms the clerk could prepare include:

- . Writs
- . Appeals
- . Motions
- . Claim of Defendant
- . Abstracts of Judgment
- . Orders (examination, vacating judgment, etc.)
- . Bench Warrants

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-1-015	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 4 of 10
MODULE PURPOSE To determine the action which should be taken on all filings subsequent to the original complaint.			



MODULE NARRATIVE

① Whenever a new appearance date is set or a notification of a filing is required, the case docket is updated and the necessary forms are prepared. Appeals, continuances, orders of examination, and notices of non-service are included in this category.

② If the court is requested to perform service by certified mail, the required fee is collected, the forms are prepared and mailed, and an affidavit of mailing is prepared.

③ If personal service is requested, the service copy is given to the filing party.

④ When an appeal or claim of defendant for more than \$500 is filed, the proper fees are collected and forms are prepared to effect the transfer. Filing fees for appeals and either an under-

taking on appeal or cash payment are collected and later transferred to the superior court.

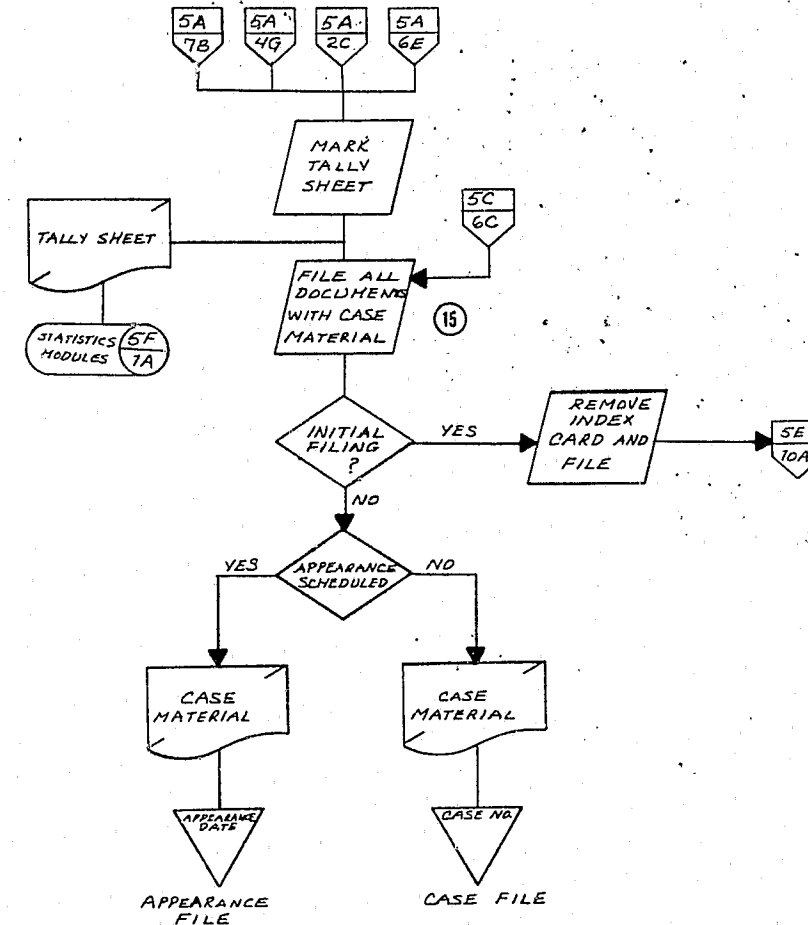
CONTINUED

5 OF 5

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-1-015	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Manual	PAGE 5 OF 10
MODULE PURPOSE To route the case material to data entry			

MODULE FLOW



MODULE NARRATIVE

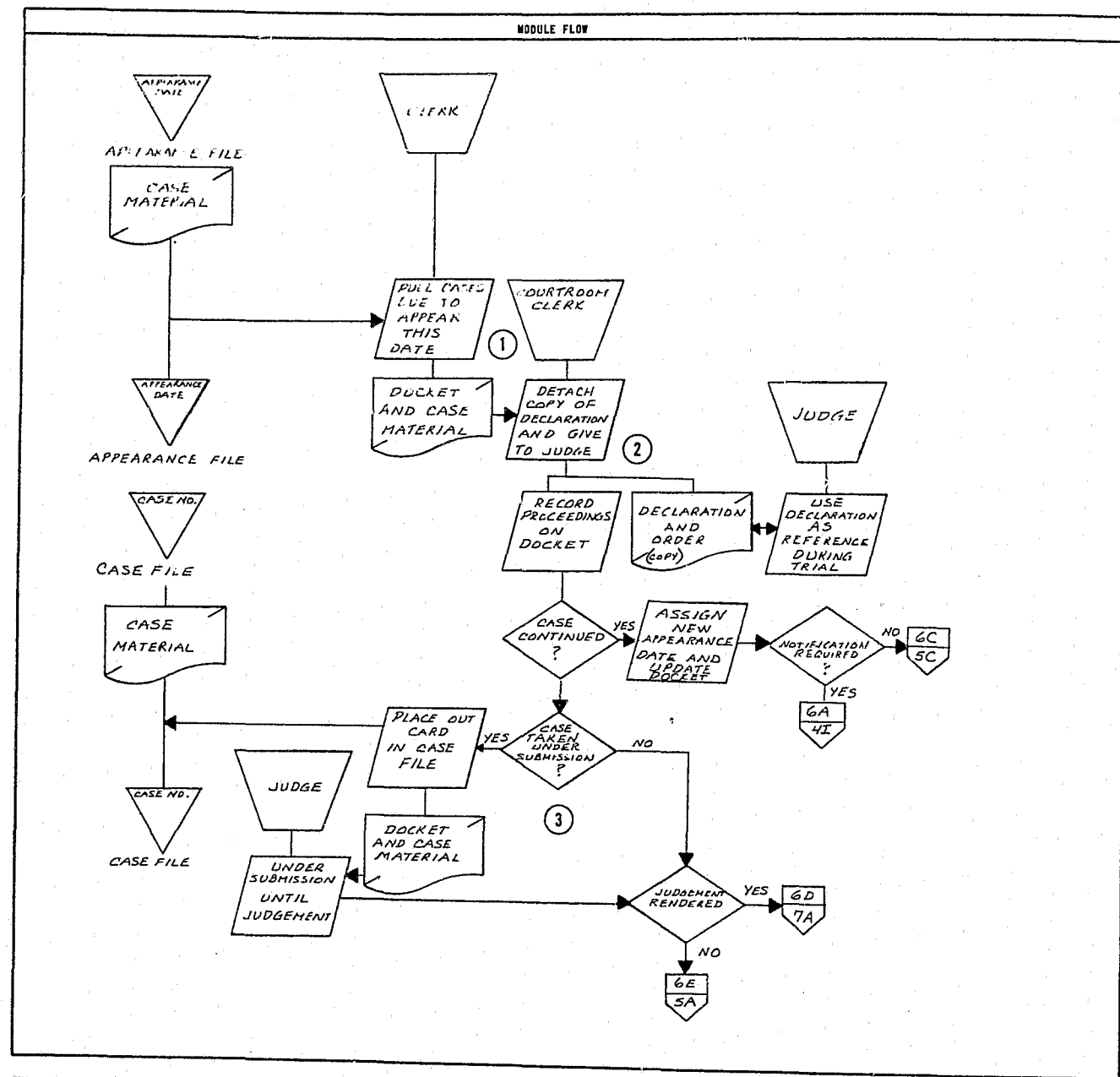
⑮ All new filings are attached to the other case material and docket. The index card is removed from the packet and filed in alphabetical order in the index file.

If an appearance date is scheduled, the case material is filed by appearance date in the appearance file.

Statistical information is maintained by updating the tally sheet prior to the filing or refiling of the case material.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-6-044	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION Manual	PAGE 6 OF 10
MODULE PURPOSE To record all courtroom related activities			



MODULE NARRATIVE

① All cases due to appear on a given day are pulled from the appearance file.

② The case material is forwarded to the courtroom clerk. The remaining copy of the Declaration and Order is detached from the docket and given to the judge for reference during trial.

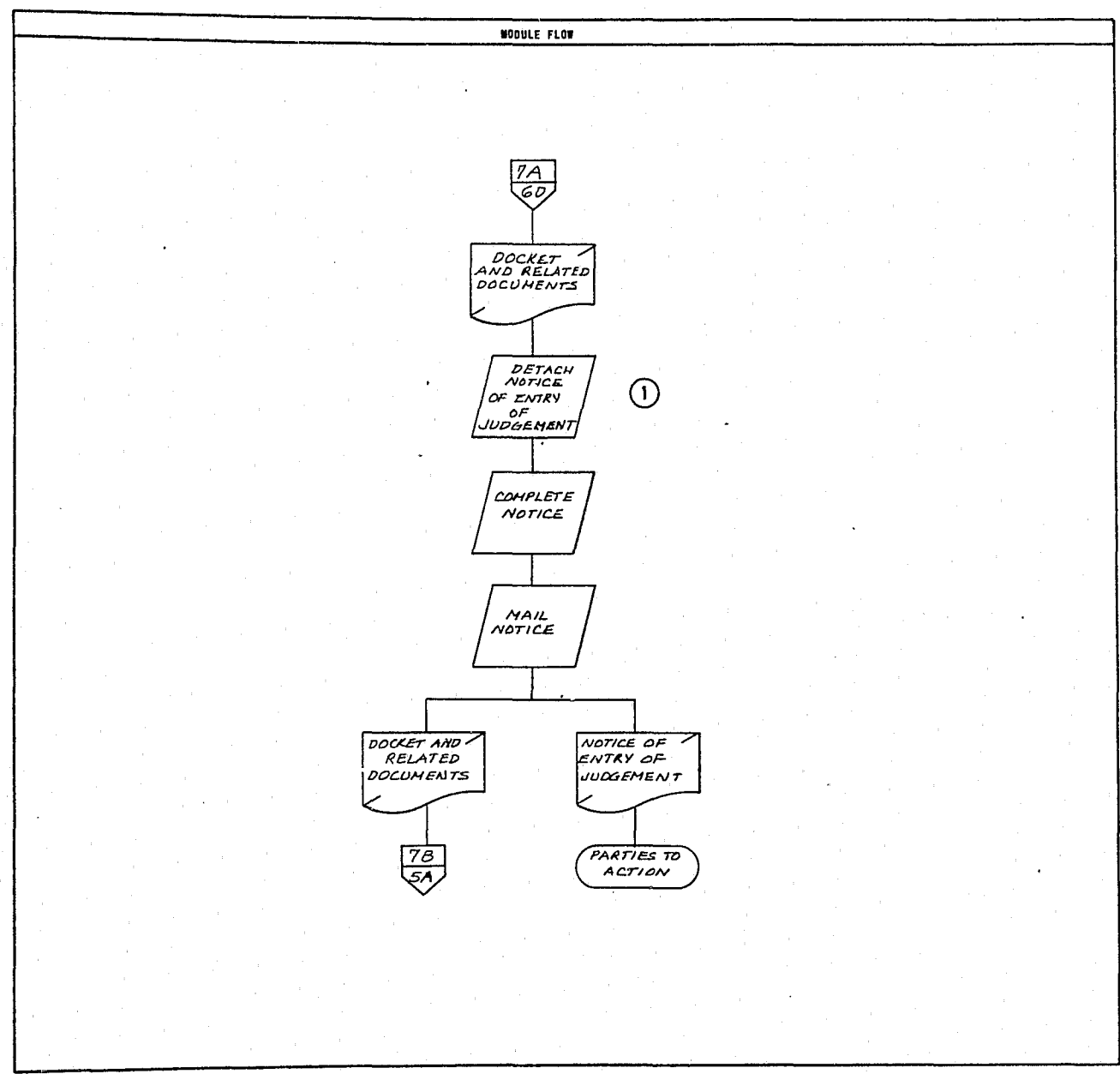
All proceedings are recorded on the docket. Check off entries minimize the effort required to record the proceedings.

If a continuance is granted, the proper notices are prepared, a new date is assigned, the docket is updated, and the case is refiled in the appearance file.

③ If the case is taken under submission, an out card is placed in the case file until the case is refiled.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-7-103	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION Manual	PAGE 7 OF 10
MODULE PURPOSE To notify the parties to the action of court imposed judgments			



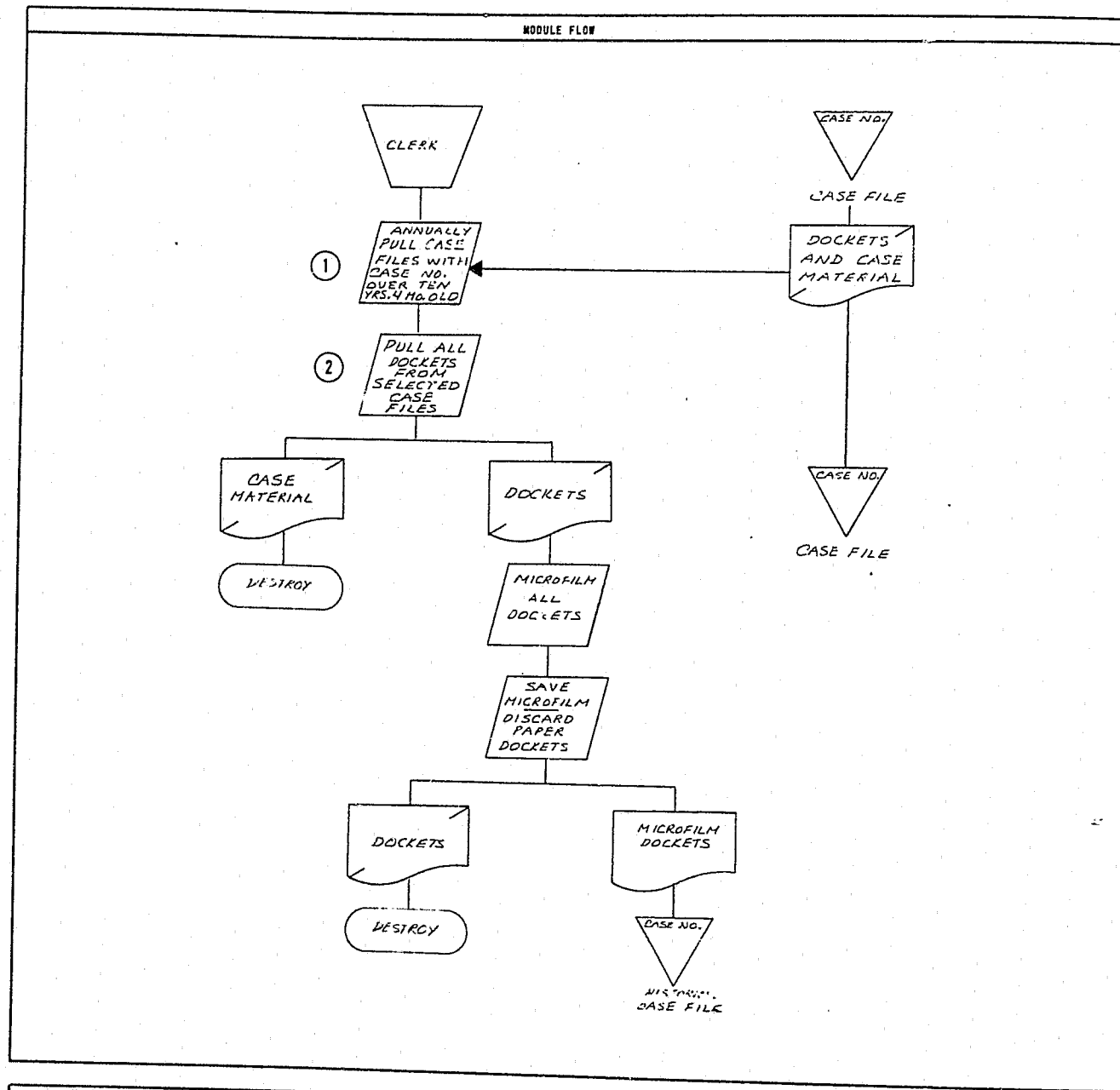
MODULE NARRATIVE

① When a judgment is rendered, the copies of the Notice of Entry of Judgment are completed and detached from the docket. The copy of the Notice sent to the judgment creditor also includes a Satisfaction of Judgment acknowledgment as a part of the form. When the judgment is satisfied, the Satisfaction is completed and returned to the court.

The clerk updates the docket when the Notices are mailed and when the Satisfaction is returned.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-8-136	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 8 of 10
MODULE PURPOSE To purge cases from the Case File that have passed the legally required period for file maintenance			



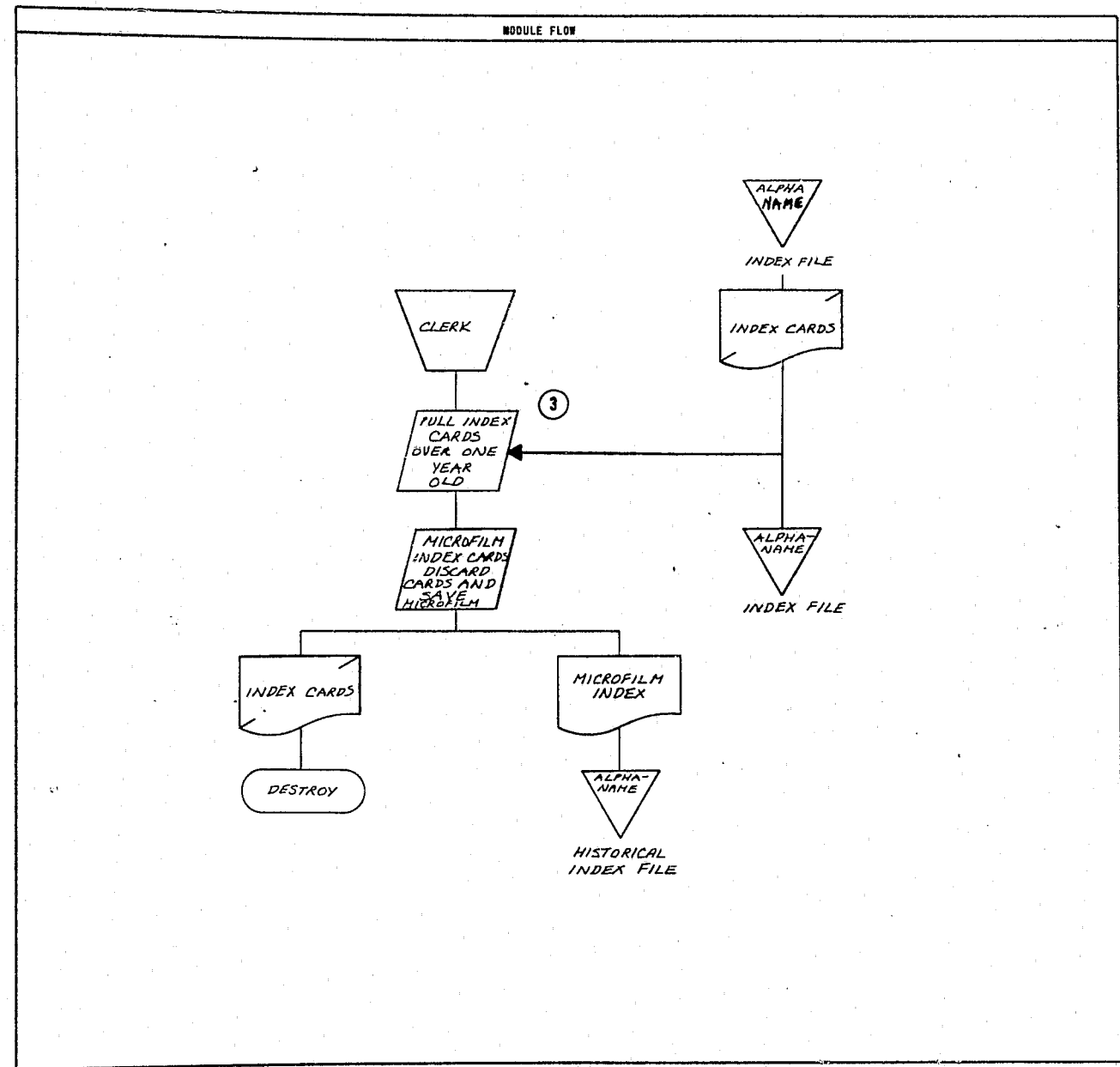
MODULE NARRATIVE

① On an annual basis, all cases bearing numbers which are older than the statutorily prescribed retention time period, are pulled from the case file for purging. The purge cycle will provide for the statutory requirements plus an additional four month period to allow for the possibility of appeal.

② The dockets and related documents from purged cases are pulled and microfilmed. The micro-filmed copy is then filed in a permanently maintained historical file in case number sequence. All hard-copy case-related documents are destroyed.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-8-136	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION Manual	PAGE 9 of 10
MODULE PURPOSE To remove index cards from the Index File and prepare a microfilm permanent copy.			

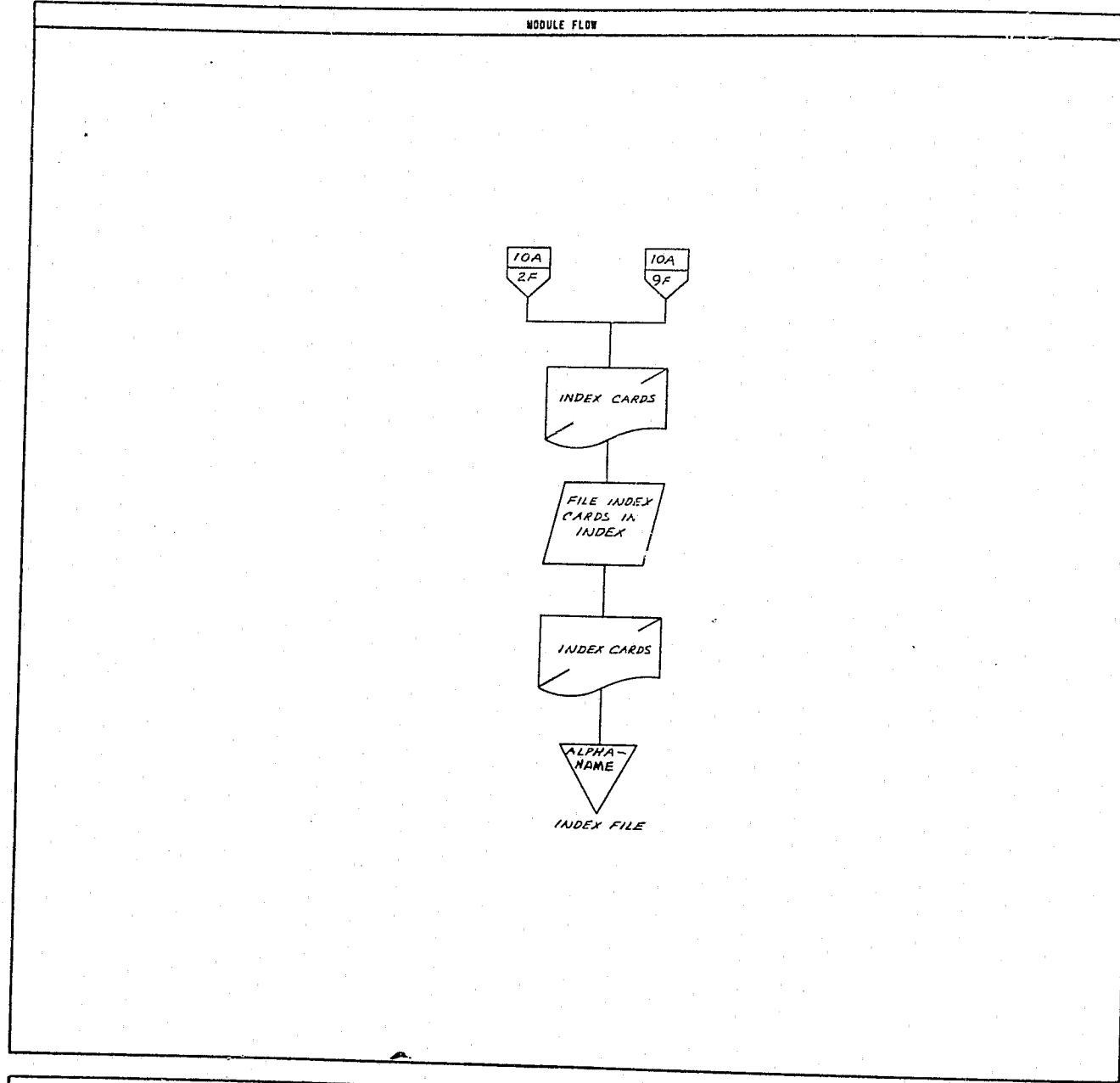


MODULE NARRATIVE

③ Once each year, all index cards at least one year old are removed from the Index File and microfilmed. The microfilmed index is maintained as the Permanent Index File. The index cards are discarded.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FM-10-072	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Manual	PAGE 10 OF 10
MODULE PURPOSE To provide an alphabetical index to the case number which will assist in locating case-related information			



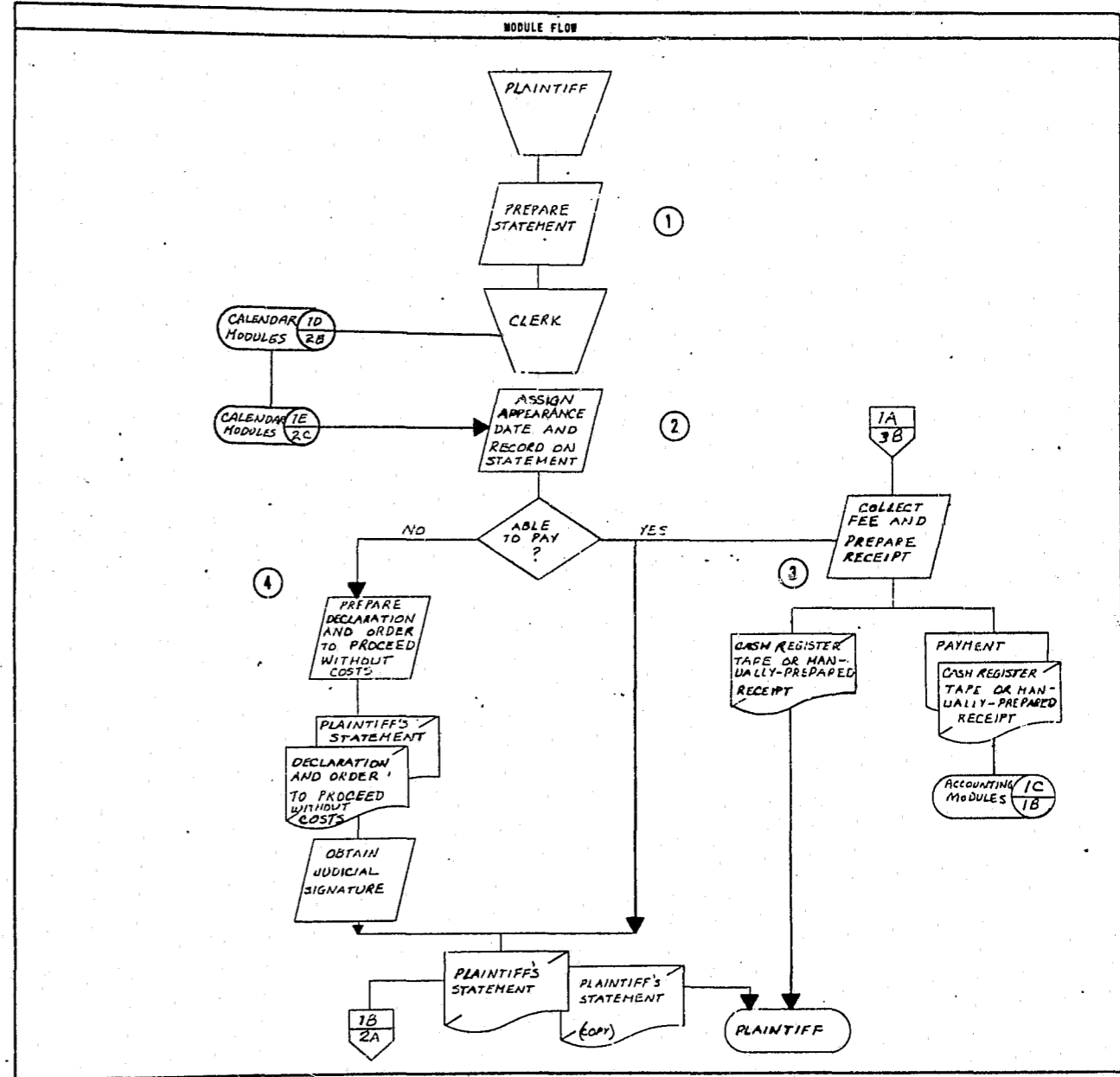
MODULE NARRATIVE

① All index cards are filed in a tray type file in alphabetical order. Information on the card includes the defendant's name, case number, filing date, and case type.

FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE _ 1 OF 10 _
MODULE PURPOSE To prepare the initiation of a small claims case and determine the basis of the action			



MODULE NARRATIVE

① The plaintiff prepares a two-part Plaintiff's Statement. Included as a part of the Statement is a Declaration of Non-Military Service and a Dismissal which the Plaintiff can file at any time during the proceedings.

② A trial date is immediately assigned to the plaintiff from available dates listed in the diary. The case number is entered onto the page in the diary corresponding to the selected date.

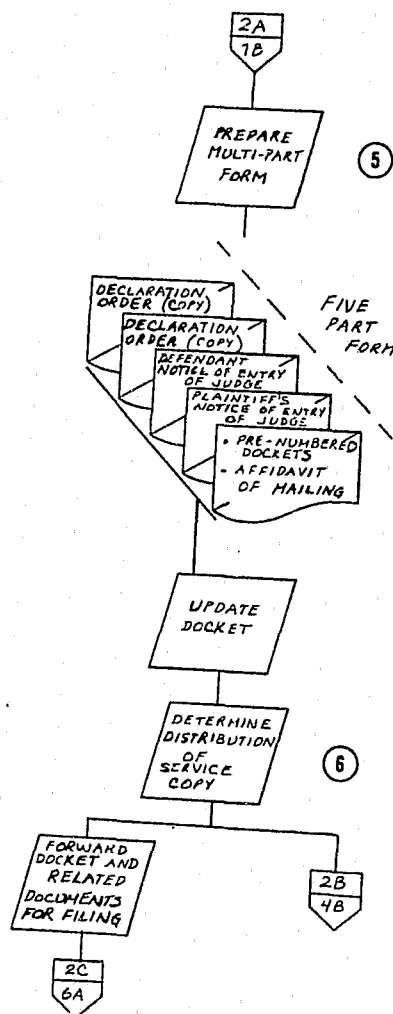
③ If the plaintiff is able to pay the filing fees, the required fees are collected and receipts prepared.

④ If the plaintiff is not able to pay, a Declaration and Order to Proceed without Costs is prepared and submitted to a judge for approval.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 2 OF 10
MODULE PURPOSE To prepare the complaint and determine the service method for the Declaration and Order			

MODULE FLOW



MODULE NARRATIVE

5 Using information from the Plaintiff's Statement, the clerk prepares a multipart complaint form. The collection of any filing fees and assignment of a trial date would be indicated on the docket copy.

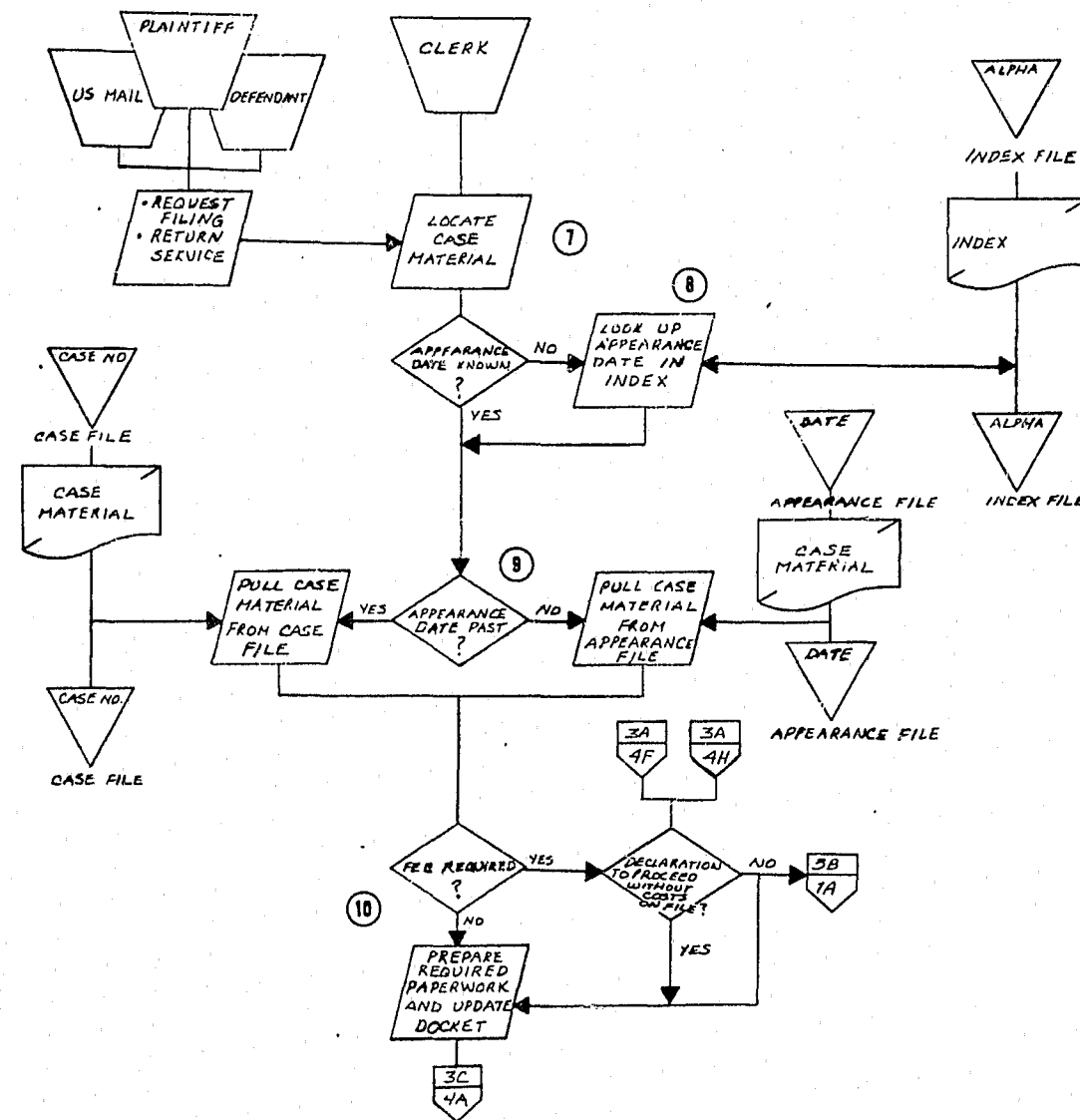
The front of the docket page contains the original Declaration and Order and an affidavit of mailing if mail service is chosen by the plaintiff. The back of the docket contains space for recording court proceedings. The most common court actions and fees have preprinted entries and are indicated by entering the date of that action.

6 One copy of the Declaration and Order is detached for service purposes and the type of service is determined. All case material is attached to the multipart form and filed by the date of appearance.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 3 OF 10
MODULE PURPOSE To determine the actions which should be taken on all filings subsequent to the original complaint.			

MODULE FLOW



MODULE NARRATIVE

7 Documents subsequent to case initiation are submitted by either party to the action, and may be submitted in person or through the mail.

8 If the appearance date is known, the clerk can determine the location of the case material. If the appearance date is not known, the Index File is referenced. The appearance date and case location is then determined by the Index.

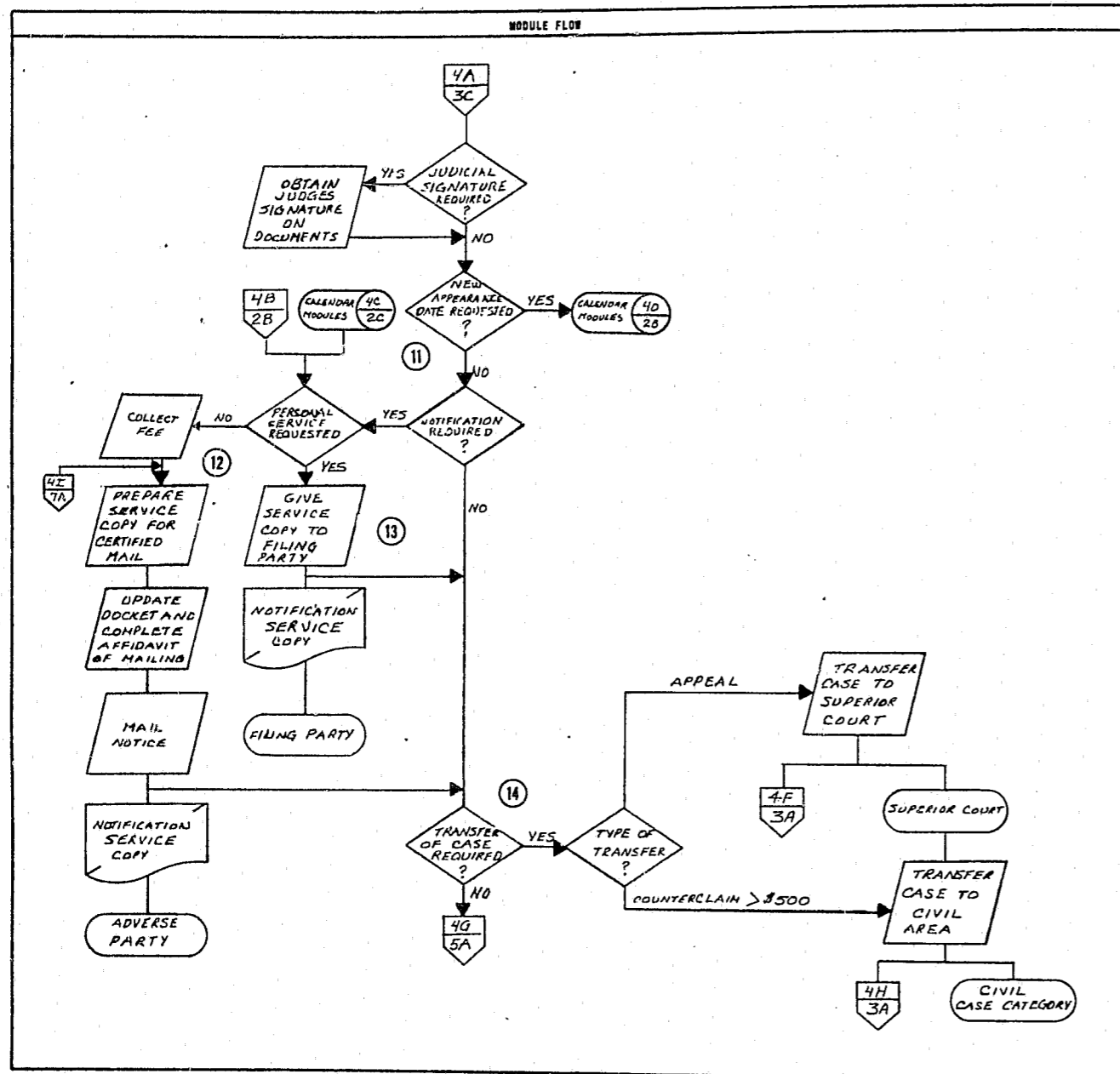
9 If the appearance date has passed, the case material is retrieved from the Case File; otherwise, it is retrieved from the appearance file.

10 Required filing fees are collected and receipted. The docket is updated and any required forms are prepared. Some of the typical forms the clerk could prepare include:

- . Writs
- . Appeals
- . Motions
- . Claim of Defendant
- . Abstracts of Judgment
- . Orders (examination, vacating judgment, etc.)
- . Bench Warrants

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 4 of 10
MODULE PURPOSE To determine the action which should be taken on all filings subsequent to the original complaint.			



MODULE NARRATIVE

⑪ Whenever a new appearance date is set, or a notification of a filing is required, the docket is updated and the necessary forms are prepared. Appeals, Continuances, Orders of Examination, and Notices of Non-service are included in this category.

⑫ If the court is requested to perform service by certified mail the required fee is collected, the forms are prepared and mailed, and an affidavit of mailing is completed by the clerk.

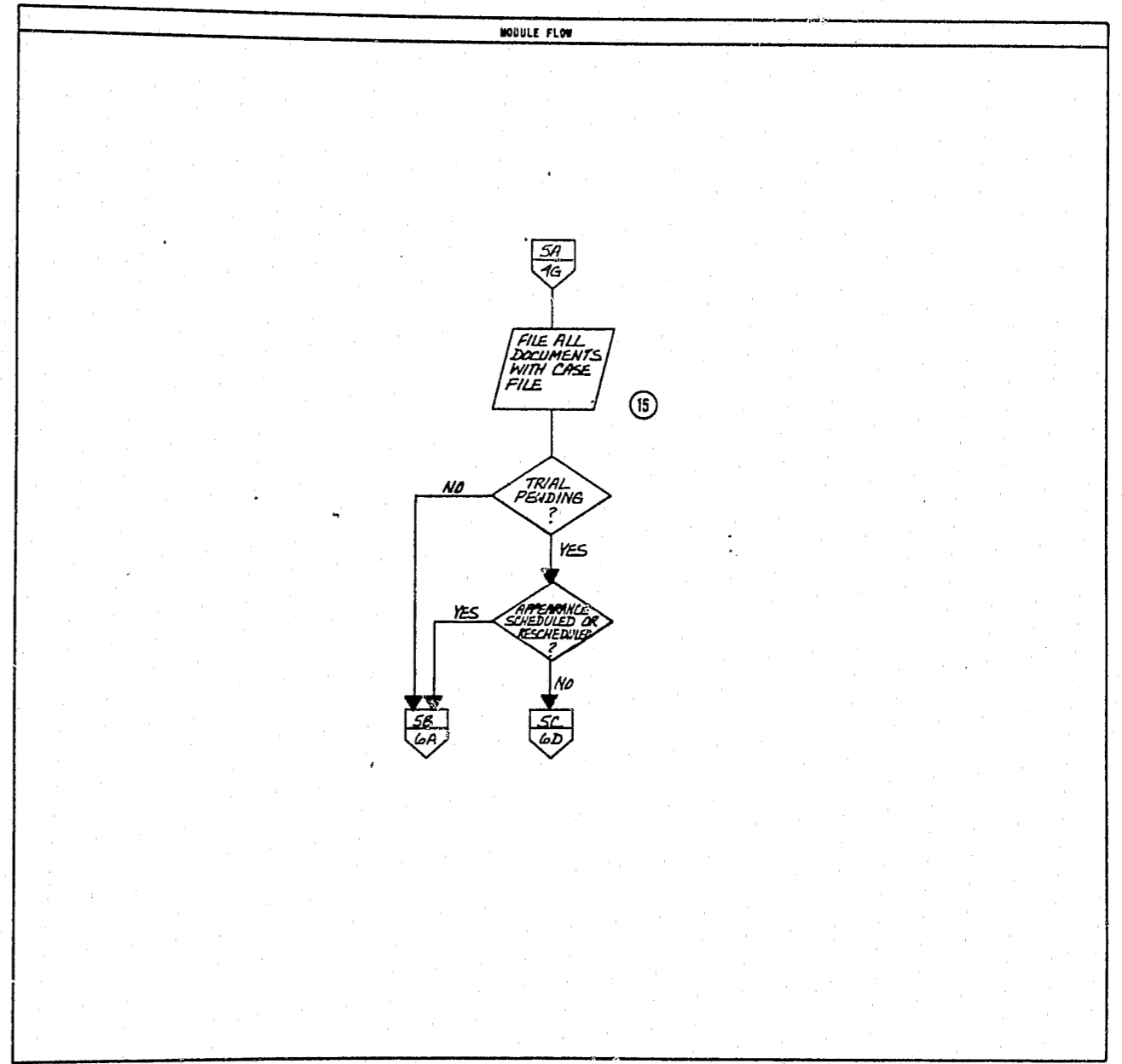
⑬ If personal service is requested, the service copy of the Declaration and Order is given to the filing party.

⑭ When an appeal or claim of defendant for more than \$500 is filed, the proper fees are collected and forms prepared to effect the transfer of this case to the Civil Case category.

Filing fees for appeals and Undertakings on Appeal or cash payments are collected and later transferred to the Superior Court. Cash payments are held in a trust account. Undertakings are processed in the same manner as a bail bond.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 of 10
MODULE PURPOSE To route the case material to data entry			

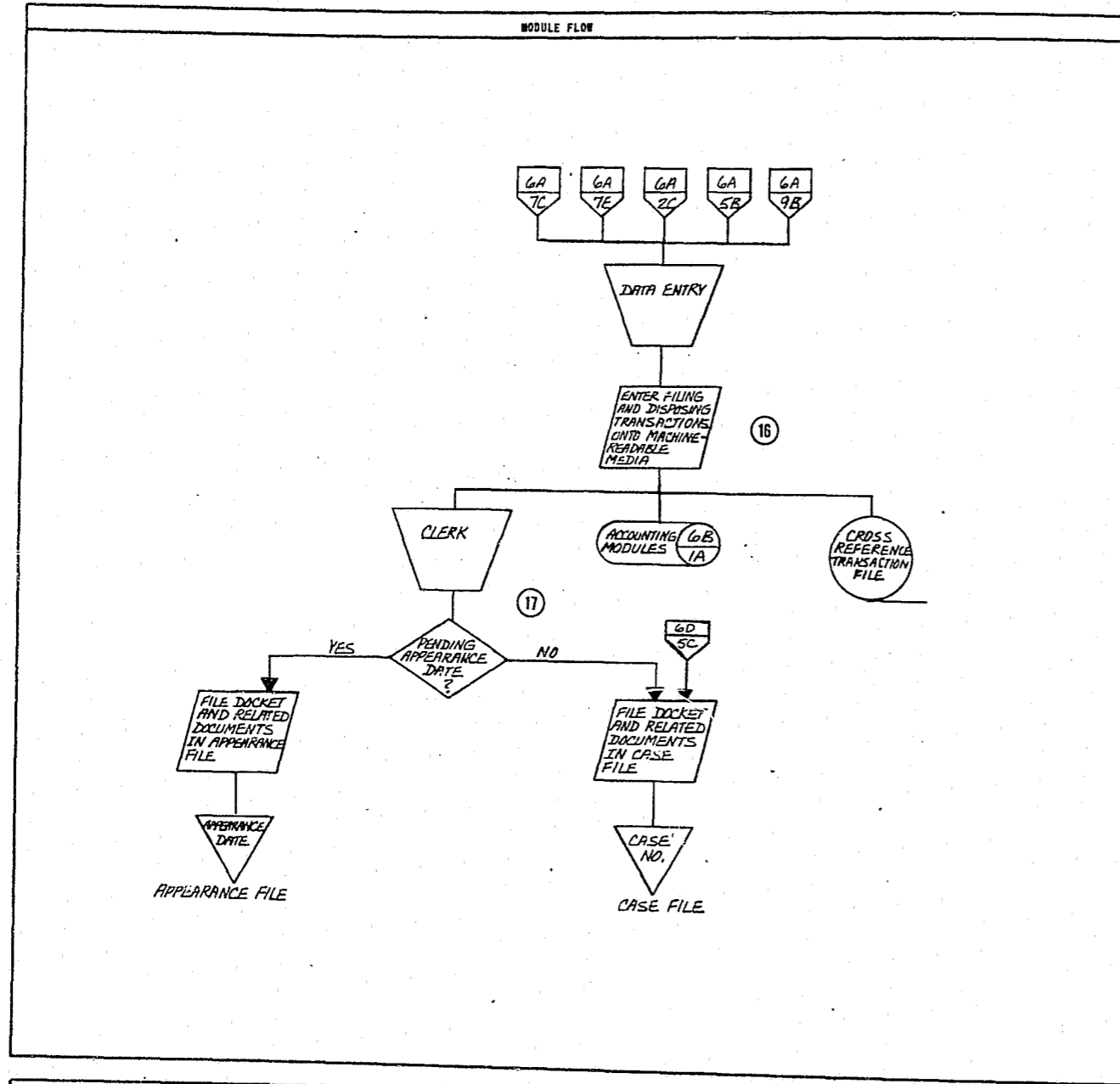


MODULE NARRATIVE

⑮ All new filings are attached to the other case-related documents and docket. If an appearance date is changed or post-adjudication filings are submitted, the case material is forwarded to data entry for the collection of statistical information and the updating of the Index. The case material is then refiled in the Appearance File by the new date of appearance.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-1-025	MODULE NAME INTAKE AND FILE MAINTENANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 10
MODULE PURPOSE To record in some machine readable form all case information necessary to produce the indexes and statistics			



MODULE NARRATIVE

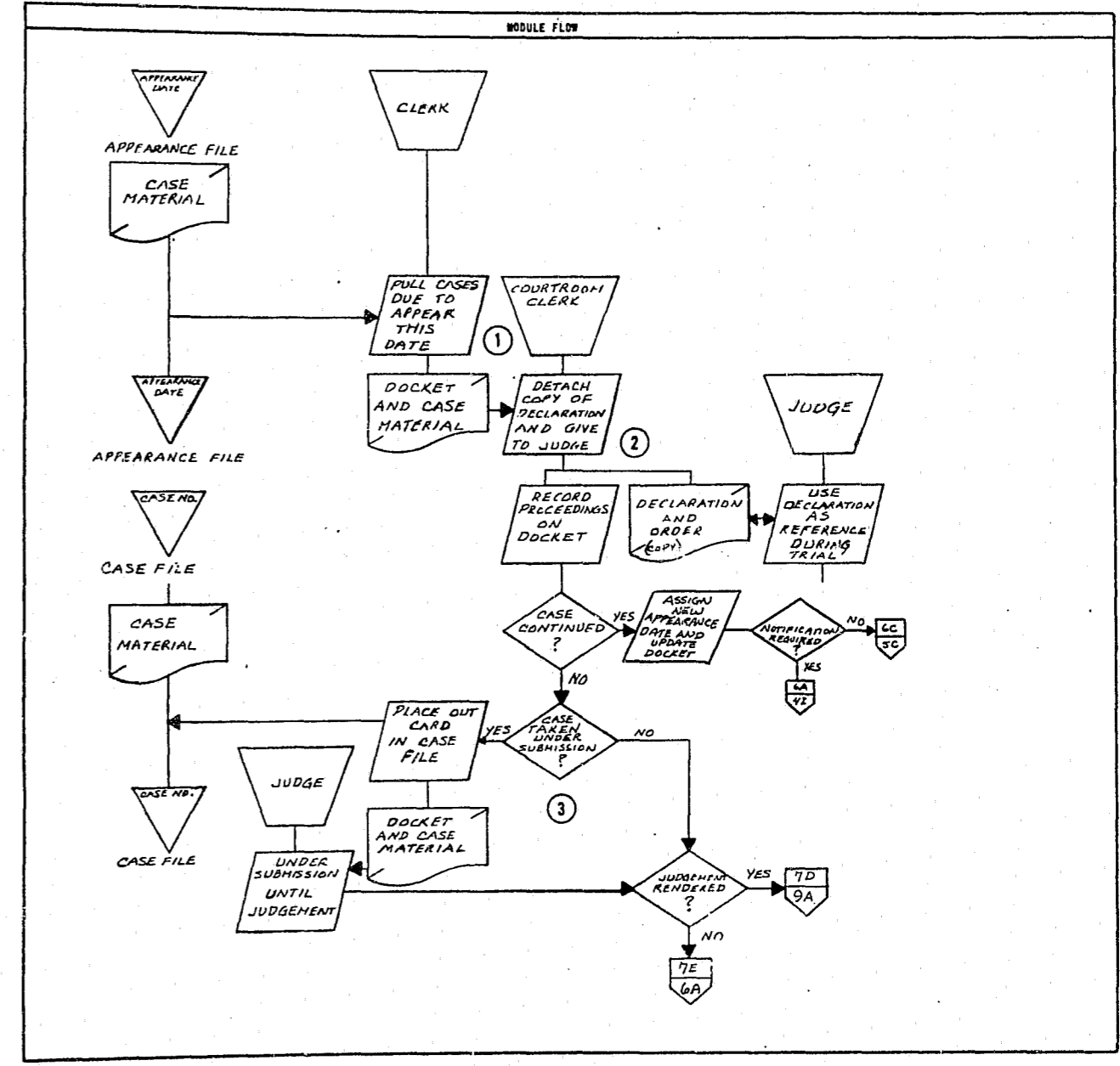
16 All filing, disposition, and appearance information is coded and entered onto a transaction file for the production of statistics and the updating of the indexes.

17 If an appearance date is pending, the case is filed by date of appearance in the Appearance File. All remaining cases are filed in the Case File by case number.

Case documents and the docket are securely attached and are filed in case folders in groups of ten.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-7-054	MODULE NAME RECORD OF PROCEEDINGS AND JUDICIAL SUPPORT	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 7 of 10
MODULE PURPOSE To record all courtroom related activities			



MODULE NARRATIVE

1 All cases due to appear on a given day are pulled from the Appearance File.

2 The case material is forwarded to the Courtroom Clerk where the remaining copy of the Declaration and Order is detached from the docket and given to the Judge for reference during trial.

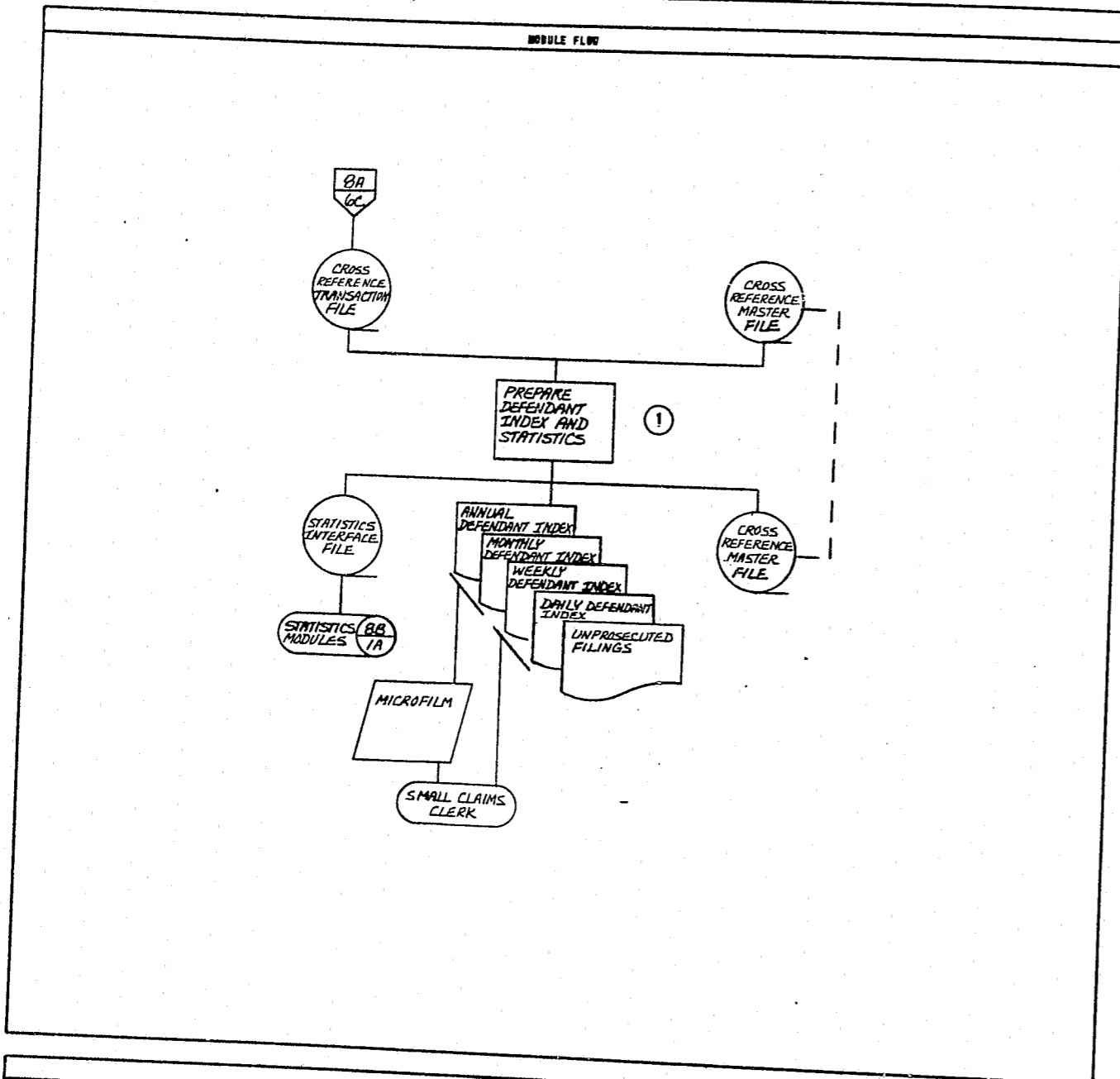
All proceedings are recorded on the docket; preprinted entries minimize the effort required to record the proceedings.

If a continuance is granted, the proper notices are prepared, a new date is assigned, the docket is updated, and the case is refiled in the Appearance File.

3 If the case is taken under submission, an out card is placed in the Case File until the case is refiled.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-8-082	MODULE NAME CROSS REFERENCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 10
MODULE PURPOSE To produce a defendants index which will aid the clerk to locate a case file			



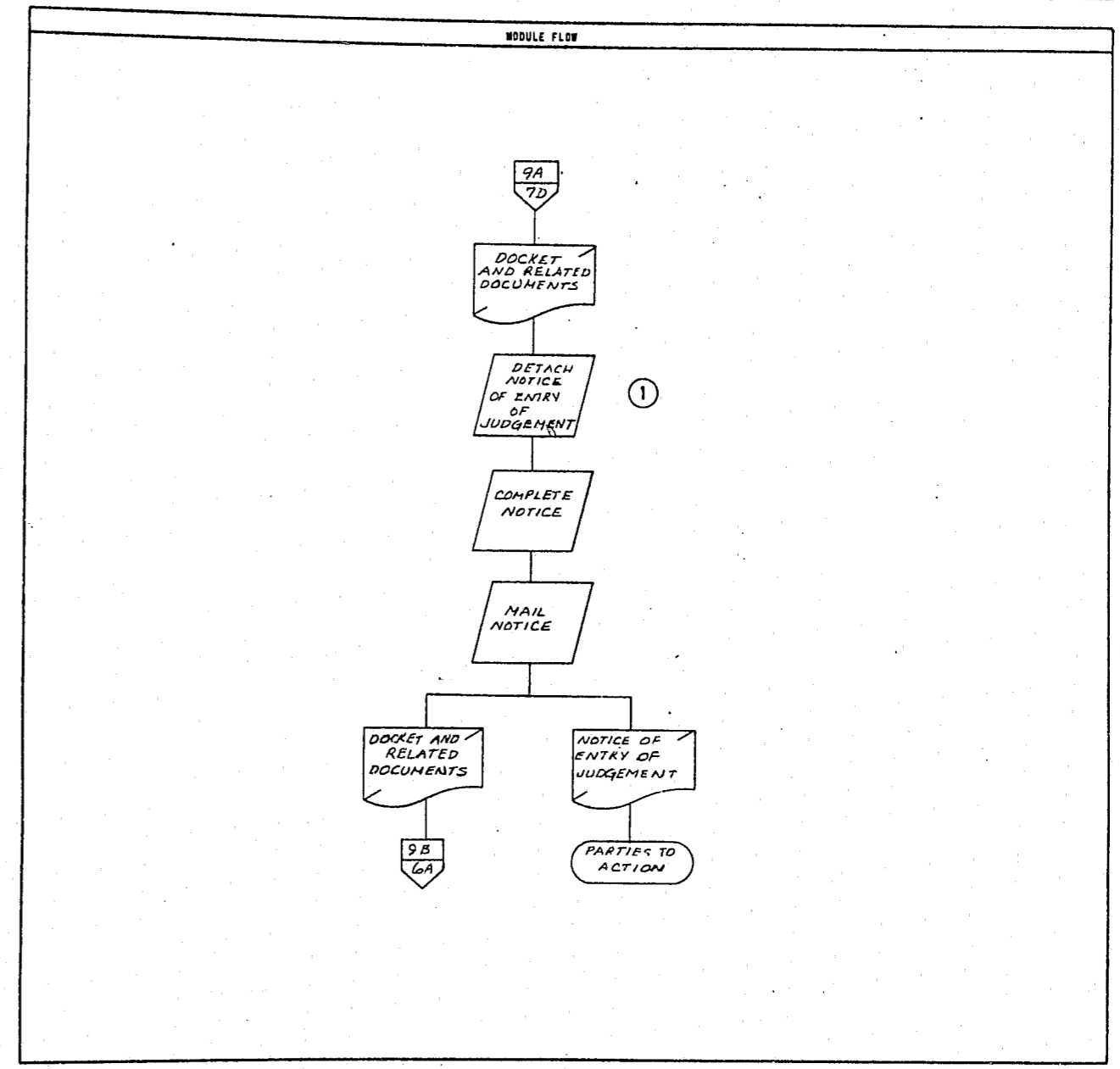
MODULE NARRATIVE

① The Cross Reference Transaction File updates the Cross Reference Master File. A Daily Defendant Index is prepared listing the defendants' names in all filings received the previous day. An index entry is made for the defendant's names and for any "DBA" names.

Each index entry contains the statutorily required data and the date of the next scheduled court appearance. Changes to this date result in the reprinting of the corresponding index entries on the subsequent daily printout. The Daily Defendant Index is printed the first four days of the week. A cumulative weekly Defendant Index is printed on the fifth day, comprising the previous four daily indexes and all new filings for the fifth day. A cumulative index is also printed monthly and on an annual basis in a similar manner.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-9-113	MODULE NAME NOTIFICATIONS OF COURT ACTIONS	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 9 of 10
MODULE PURPOSE To notify the parties to the action of court imposed judgments			



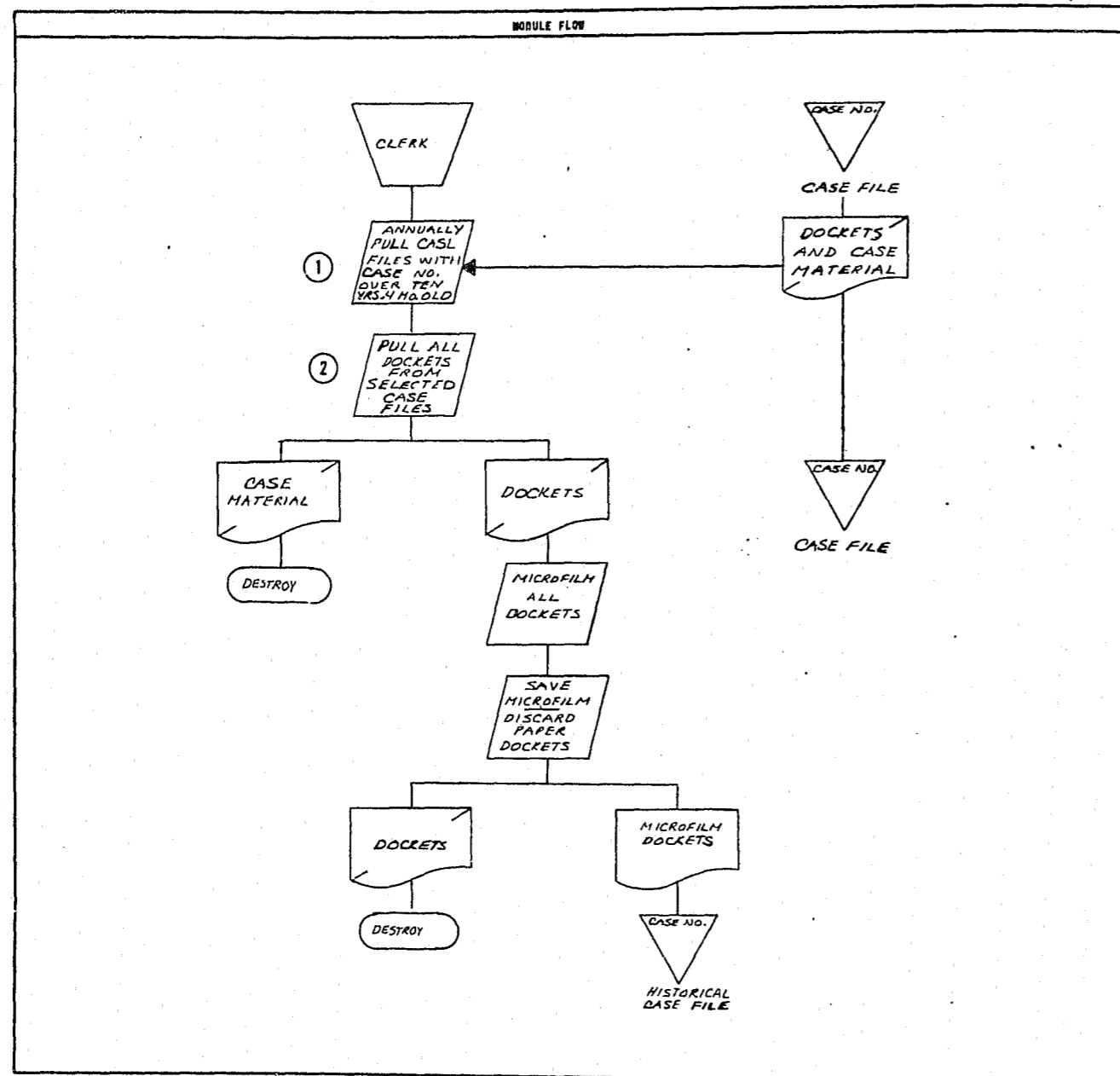
MODULE NARRATIVE

① When a judgment is rendered, the copies of the Notice of Entry of Judgment are completed and detached from the docket. The copy of the notice sent to the judgment creditor includes a Satisfaction of Judgment Acknowledgment as a part of the form. When the judgment is satisfied, the Satisfaction can be completed and returned to the court.

The clerk updates the docket when the Notices are mailed and when the Satisfaction is returned.

SMALL CLAIMS
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION FS-10-146	MODULE NAME AGING AND PURGING	LEVEL OF AUTOMATION SEQUENTIAL BATCH	PAGE 10 OF 10
MODULE PURPOSE To purge cases from the Case File that have passed the legally required period for file maintenance			



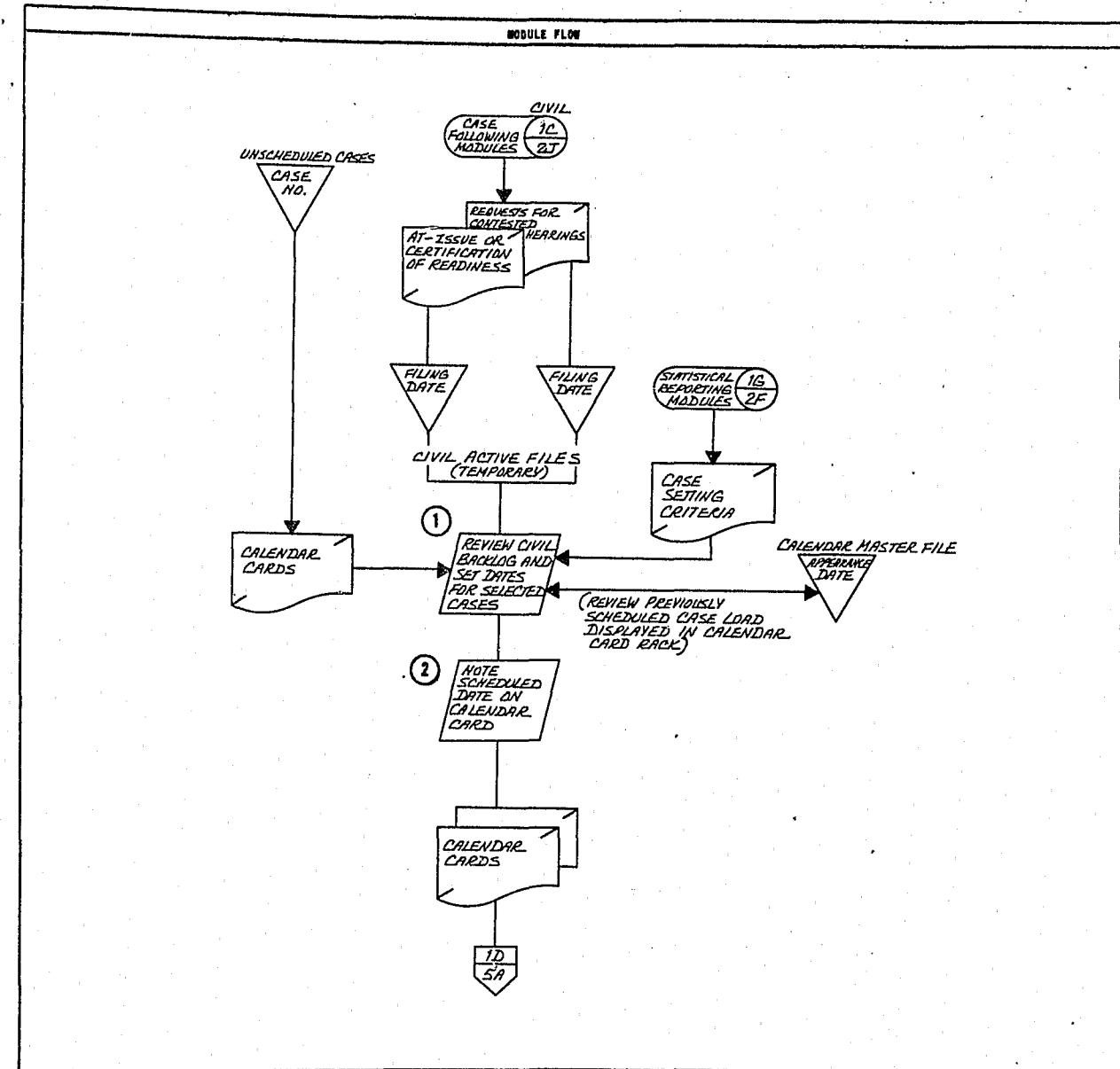
- MODULE NARRATIVE
- ① On an annual basis, all case files bearing case numbers at least ten years and four months old, are pulled from the case file for purging. This purge cycle provides for the statutory requirements including an additional four month period to allow for the possibility of appeal.
 - ② The docketts from cash purged case is pulled and microfilmed. The microfilmed copy is then filed in permanently maintained historical file in case number sequence. All of the other case documents are discarded.

APPENDIX H
CALENDARING MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-1-401	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION Manual	PAGE 1 OF 8
MODULE PURPOSE To schedule court appearances by a calendar clerk			



MODULE NARRATIVE

① Generally, the calendar clerk schedules long cause actions and hearings related to long causes. Typically, the calendar clerk schedules the following types of hearings:

- Civil jury trials
- Civil court
- Contested probate and family law hearings
- Mental health hearings
- Civil pretrial, setting, and settlement conferences

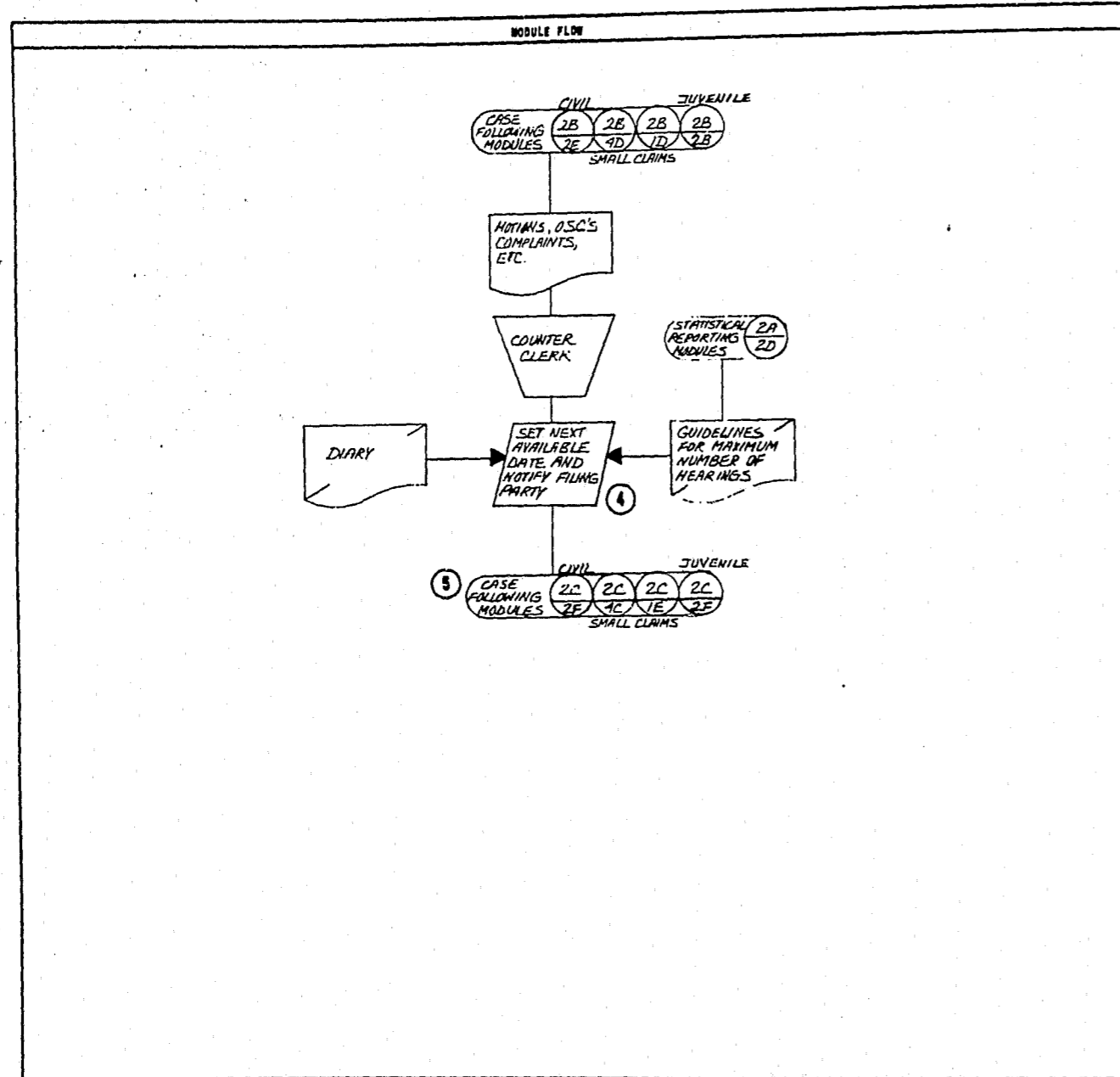
At-issue civil cases are selected from the civil active list as court resources are available and a tentative trial date is set. This date is in enough advance to permit pretrial, setting, and settlement conferences to be held according to court rules. Dates for conferences are determined from the tentative trial date which is confirmed during pretrial conferences. Court resources are over scheduled to account for the degree of disposition before trial as determined from statistical data.

Dates for appeals are normally set for the next convening of the appeals court permitting adequate time for the preparation of briefs and transcripts.

② Trial dates set for cases are noted on the calendar card for each case. The calendar cards are then batched for the preparation of appearance notices.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-1-401	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION Manual	PAGE 2 of 8
MODULE PURPOSE To schedule court appearances at the time of filing of case related documents by counter clerk			



MODULE NARRATIVE

④ Court appearances required for the hearing of motions, defaults, and other short duration hearings are scheduled upon filing in the court. The clerk utilizes a daily diary to note the case numbers for each hearing. The date set is normally the next available date which permits time for service to the adverse litigant and which does not cause the case load to exceed maximum guidelines. The types of hearings scheduled by the counter clerk include:

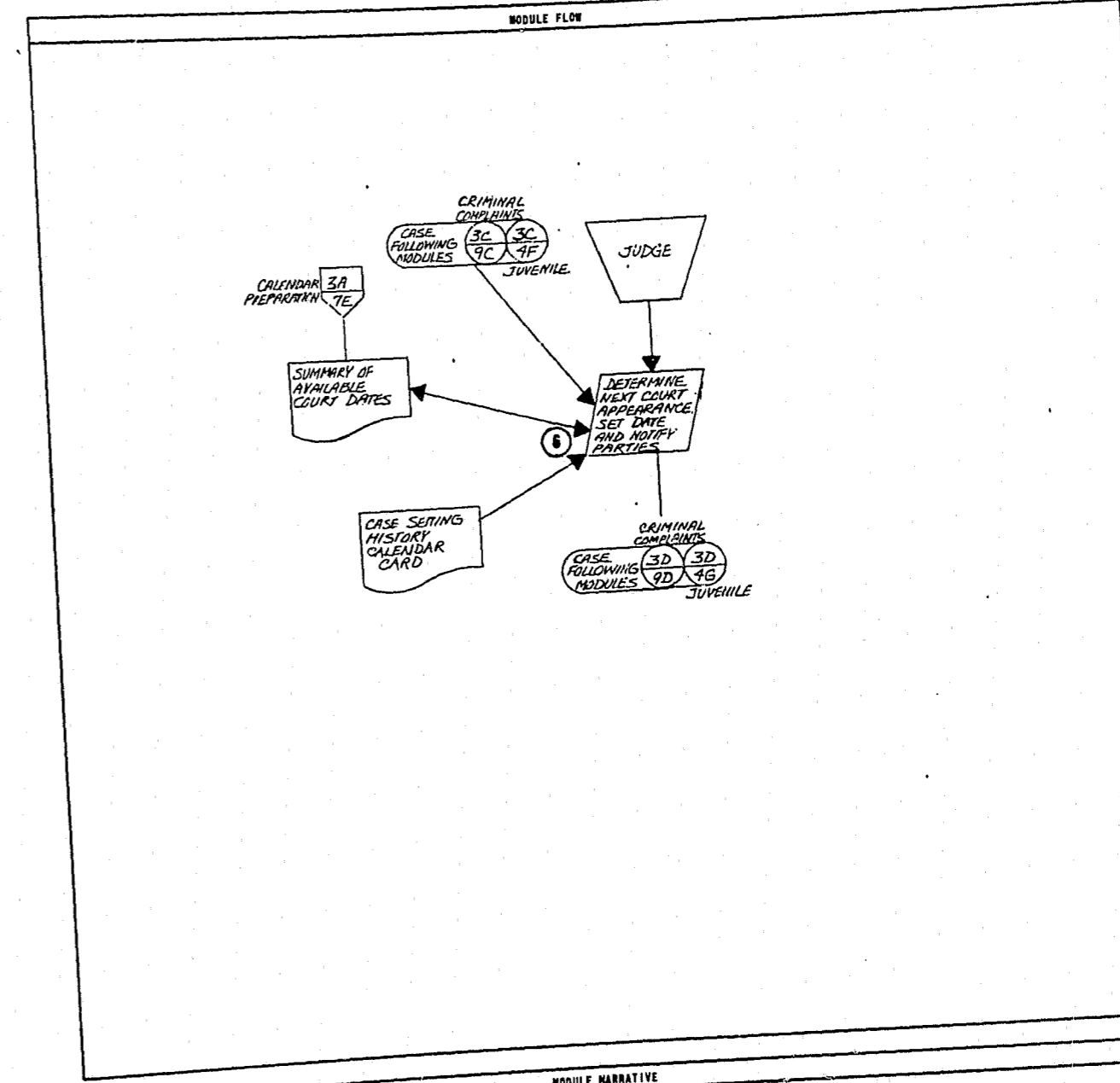
- Civil law and motions
- Defaults
- Orders to show cause
- Small Claims
- Uncontested probate
- Uncontested family law.
- Appeals

⑤ Each filing updated with the date of appearance is certified and recorded by the clerk.

Copies are given to the filing party for services upon the adverse litigants as required by law. The original filing is retained in the case file and serves as the data source to update the case history file maintained by the case following modules. Subsequent to the case following master file update, dates set at the counter are passed to calendaring via the calendar interface records.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-1-401	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Manual	PAGE 3 of 8
MODULE PURPOSE To schedule subsequent court appearances in court at the time of the present appearance, and in addition, to notify parties of appearance date			



MODULE NARRATIVE

⑥ Criminal and juvenile appearances with the exception of the initial appearances and jury trials are scheduled in court at the prior appearance. The presence of all parties in court at the time of setting serves as formal notification of appearance. The following types of appearances are scheduled in this way:

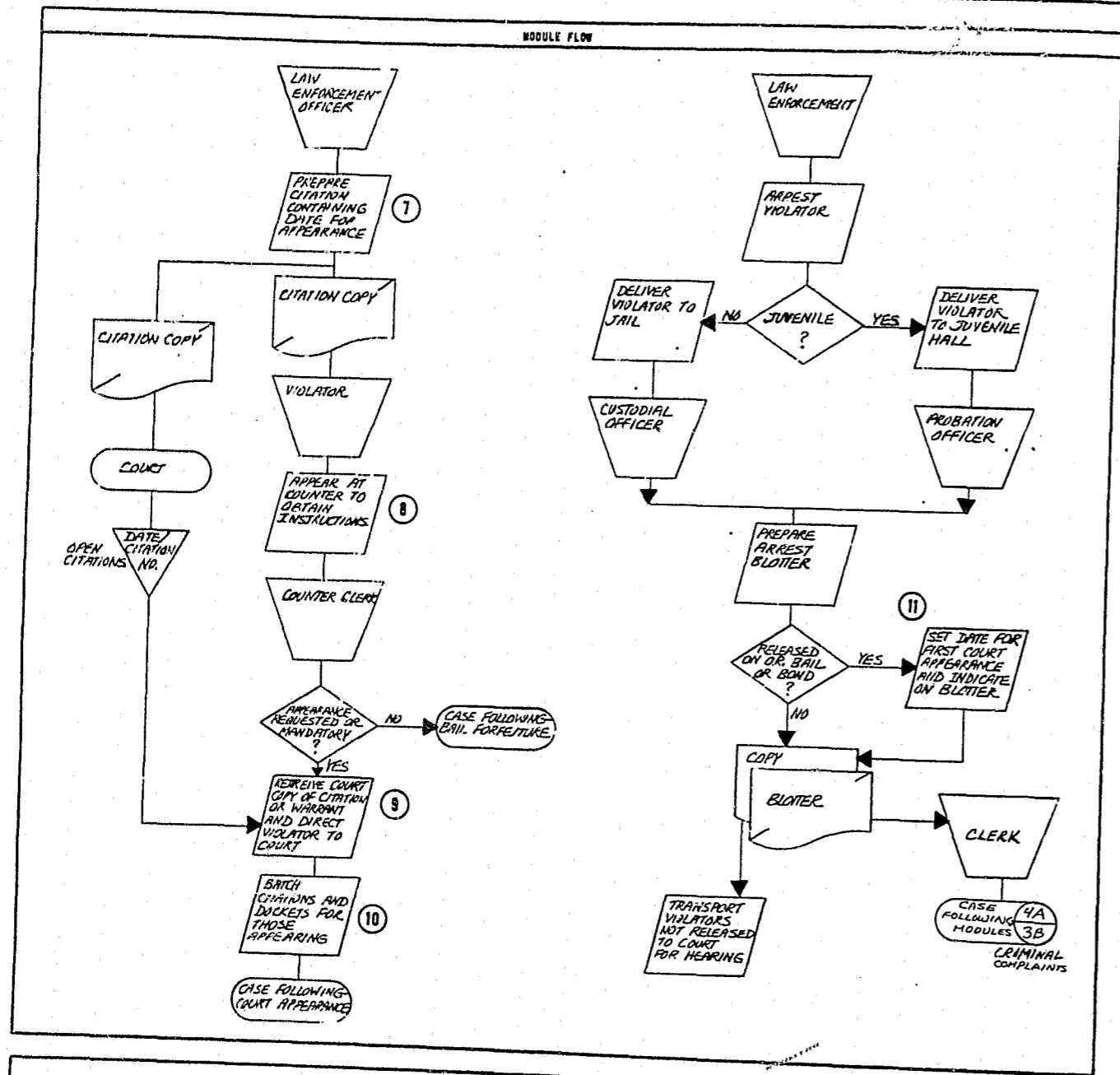
- Jury trial confirmations
- Plea negotiations
- Law and motions
- Misdemeanor and felony
- Court trials
- Probation and sentencing hearings
- Superior court arraignment (in municipal court following preliminary hearing or upon guilty plea)
- Felony preliminary hearings
- Juvenile delinquency hearings
- Juvenile dependency annual reviews.

Although alternative jury trial dates are set by a calendar clerk notification of the trial date is confirmed in court at pretrial. The case setting history is required to assure case disposition according to statute if time has not been waived.

The summary of available court dates is updated monthly during the summary of all pending cases. This form is retained by the court clerk and is updated during the month as dates are set for future appearances.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-1-401	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Manual	PAGE 4 of 8
MODULE PURPOSE To schedule court appearance by law enforcement officers at the time of citation issuance or upon arrest			



MODULE NARRATIVE

① Citations issued by officers contain a date for appearance normally ten days from the date of citation. Citations heard in citation court include:

- Parking citations
- Traffic citations
- "Dog" citations
- Petty theft or other misdemeanor citations.

Subsequent appearances not disposed of at initial appearance in citation court are processed and heard as verified complaints.

② The number of violators appearing for court trials is relatively constant due to the high volume of citations, and, accordingly, court appearances present few scheduling problems.

③ In all cases of court appearance the clerk must retrieve the court's copy of the citation or outstanding warrants for recall as a part of the case following activities. Upon retrieval the violator is directed to the citation court being convened or is given another appearance date if not convened.

④ Batches of citations along with dockets serve as the calendar and record of proceedings and no physical calendar is prepared.

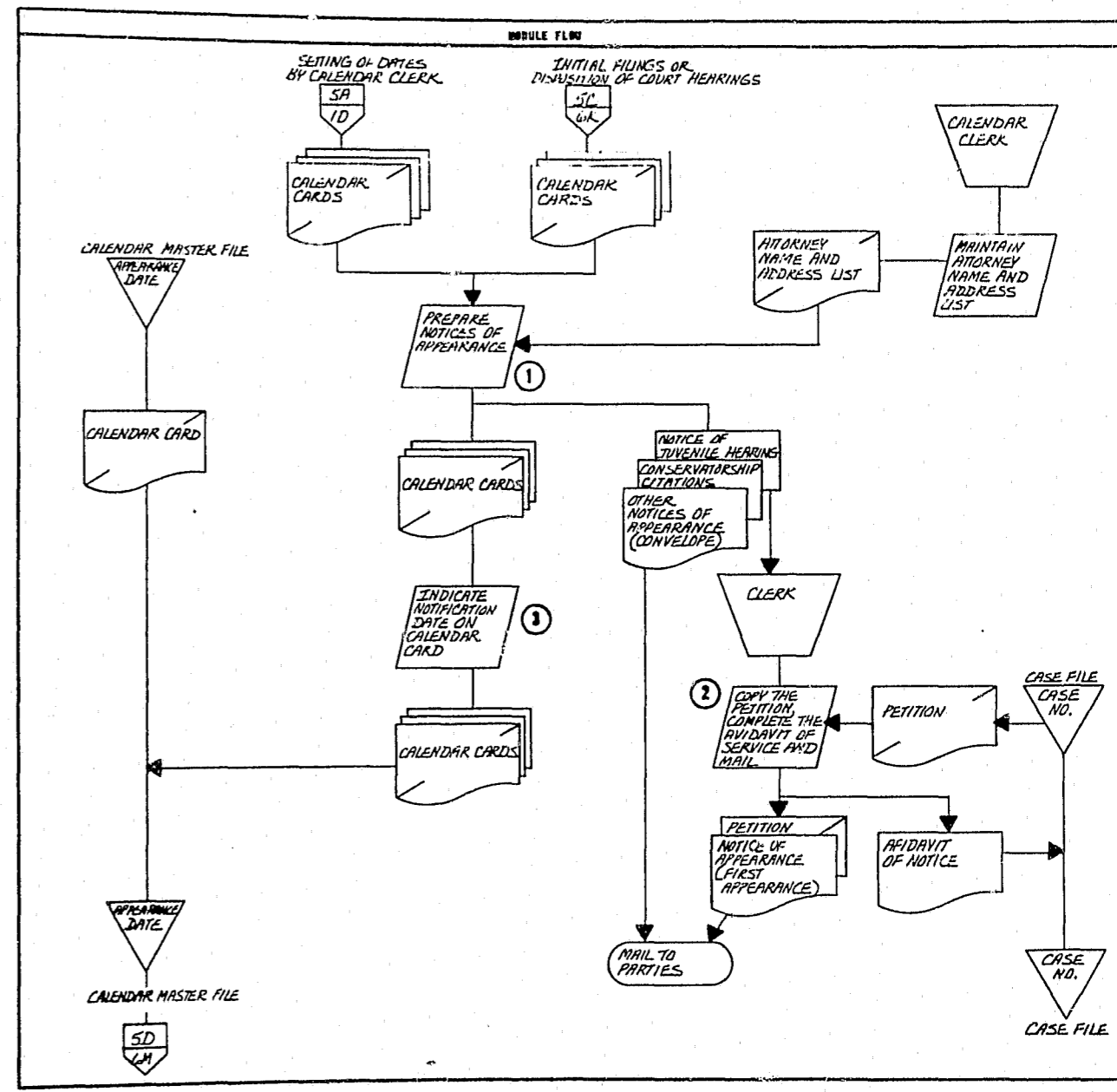
⑤ Law enforcement or the Probation Office, in the case of juveniles, set dates for:

- Misdemeanor and felony arraignments (municipal court)
- Felony bail setting
- Juvenile detention hearings (if in custody)
- Juvenile delinquency hearings (if released).

Those held in custody are brought to court the next day for a first court appearance, and the arrest blotter is used as a calendar. First court appearances for those released are scheduled in conjunction with the calendar clerk and the court calendars are computer printed.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-5-411	MODULE NAME NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Manual	PAGE 5 of 8
MODULE PURPOSE To prepare notices of court appearance in appeals, juvenile, mental health, probate, family law, and other civil actions			



MODULE NARRATIVE

① Formal written notification of appearance is required by the statutes or when parties cannot be notified by phone or at a prior court appearance. Written notices are prepared for:

- Civil pretrial or setting conferences along with invitations to settlement conference
- Civil trials
- Conservatorship hearings (a citation serves as notice to the conservatee)
- Contested family law hearings
- Mental health
- Contested probate hearings
- Juvenile delinquency and dependency hearings on the petition
- Appeals.

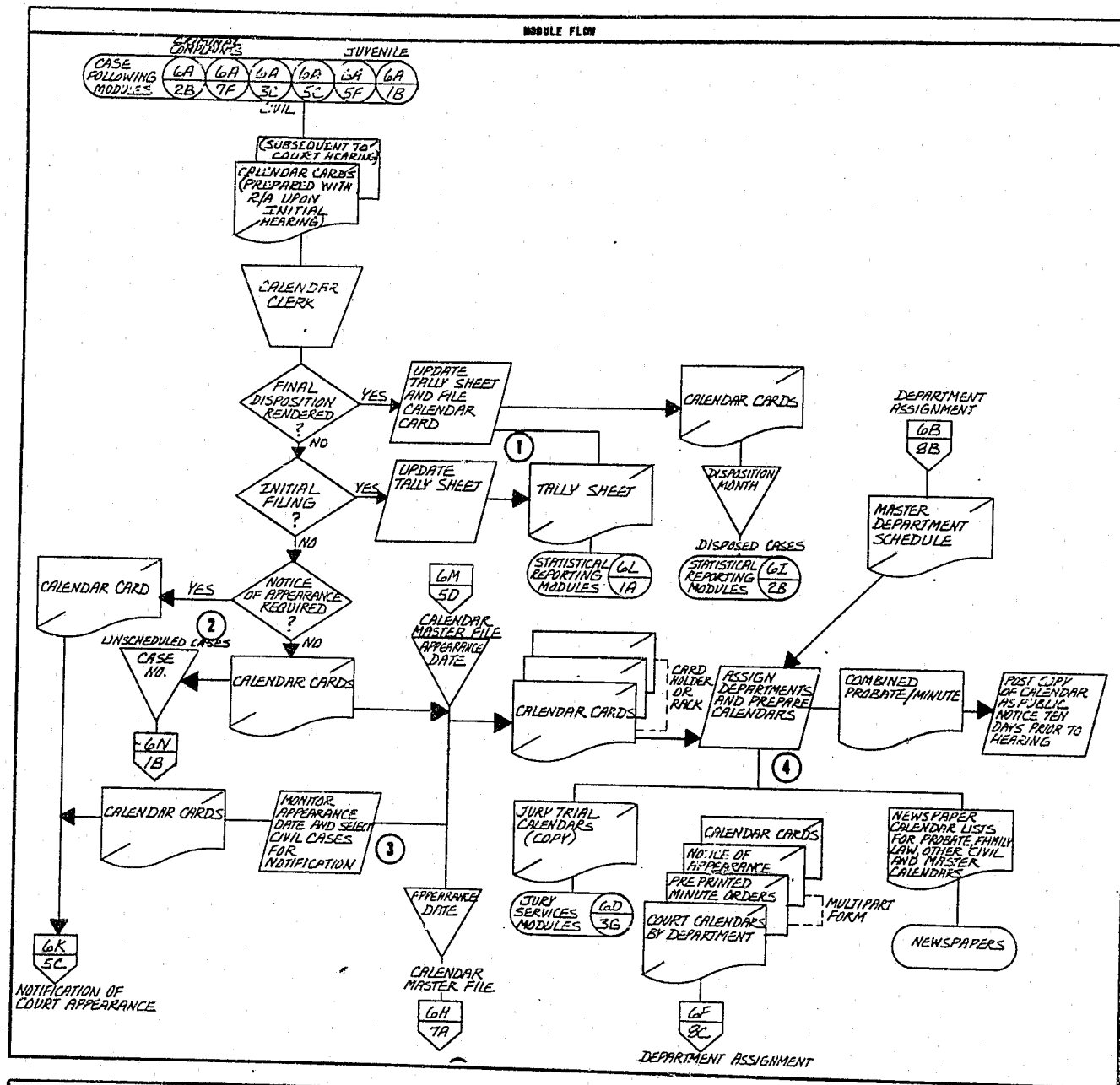
Dates for civil settlement conferences (if conducted) and criminal jury trials are confirmed at pretrial conferences and no formal notice is prepared. Written notice of juvenile hearings subsequent to the first appearance is given at the prior hearing. These notices are prepared when the calendar is prepared and are given to the court clerk with the case files for service at the time of hearing.

② The notice of juvenile hearing is mailed to the involved parties along with a copy of the petition if notice has not been provided a prior detention hearing.

③ The date of notification is indicated on the calendar card for control purposes. The cards are then filed by the date of next appearance. File drawers could be used to contain the calendar cards. However, card racks or a binder of plastic card holders organized by date is recommended for visibility, for reproduction, and for flexibility in changing scheduled dates.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-6-421	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION Manual	PAGE 6 of 8
MODULE PURPOSE To maintain the master file of case schedules and to prepare court calendars			



MODULE NARRATIVE

① Calendar cards are created upon verified complaint, petition, or at issue memo, and are updated as to continuances, dispositions, and dates set in court. The calendaring clerk receives the cards and tally filings and final dispositions by case type for Judicial Council statistical reporting purposes. Calendar cards for cases which have reached final disposition are retained by month of disposition, also for statistical purposes.

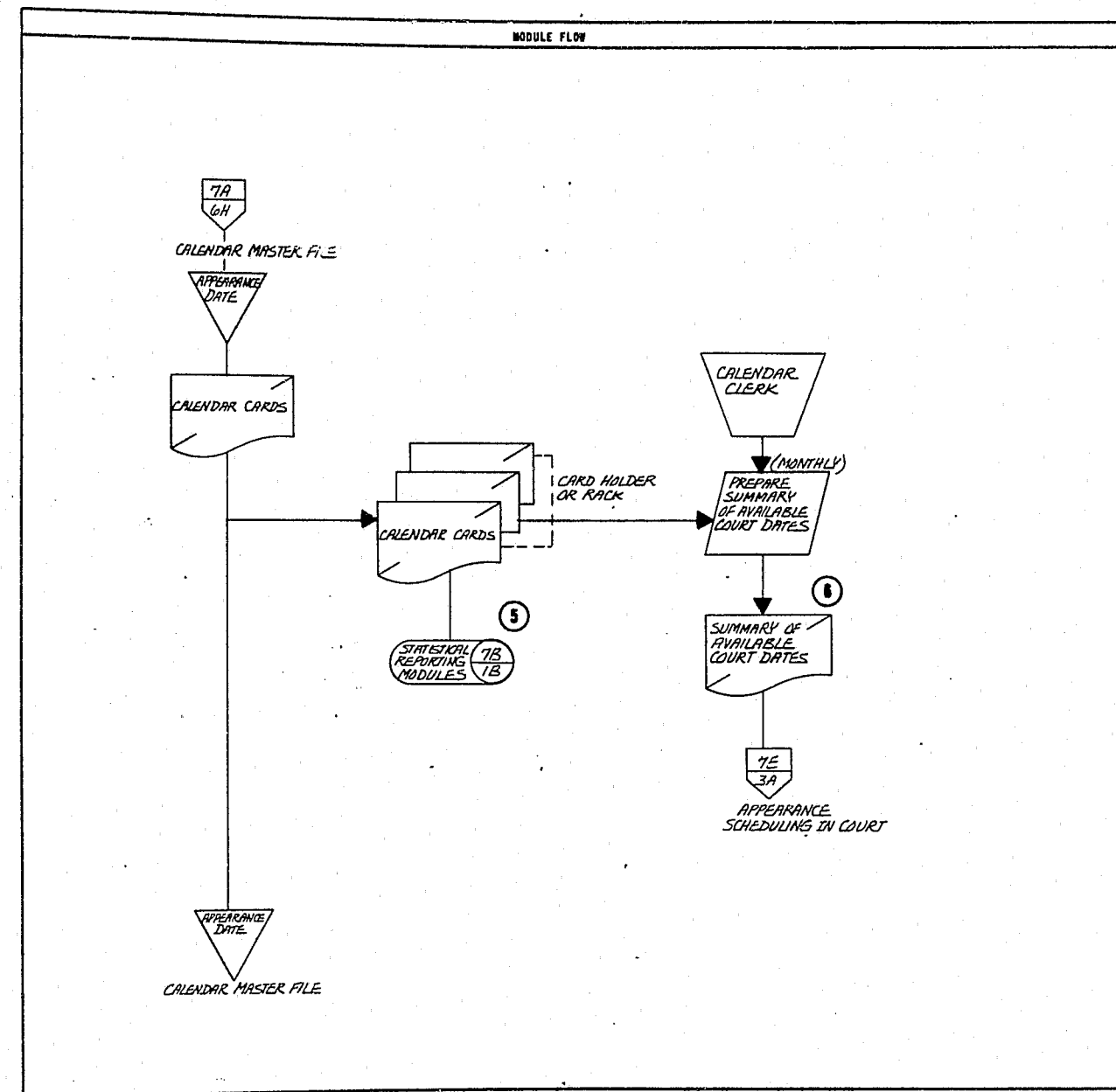
② If notification is required as a result of continuance, or other dates set in court and suitable notification cannot be performed in court, the court clerk requests notice on the calendar card. The cards are not filed in the master file until notifications has been prepared. Calendar cards not indicated as requiring notification are filed by the next appearance date. Active civil cases which have not been scheduled are maintained in a separate file by at issue date to form the civil active list.

③ Scheduled civil trials are maintained by appearance date. Cases are selected for notification of trial dates if notification has not been previously given at the time of conference or when selected from the civil active list.

④ Calendar cards are organized by department for a given appearance date according to the Master Department schedule. The calendar cards contained in racks or plastic holders are then xeroxed to produce the court calendars. Calendars are produced the day prior to the appearance date with the exception of probate calendars which are produced ten days in advance for public notice.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-6-421	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION Manual	PAGE 7 of 8
MODULE PURPOSE To prepare lists on the condition of scheduled and unscheduled cases			



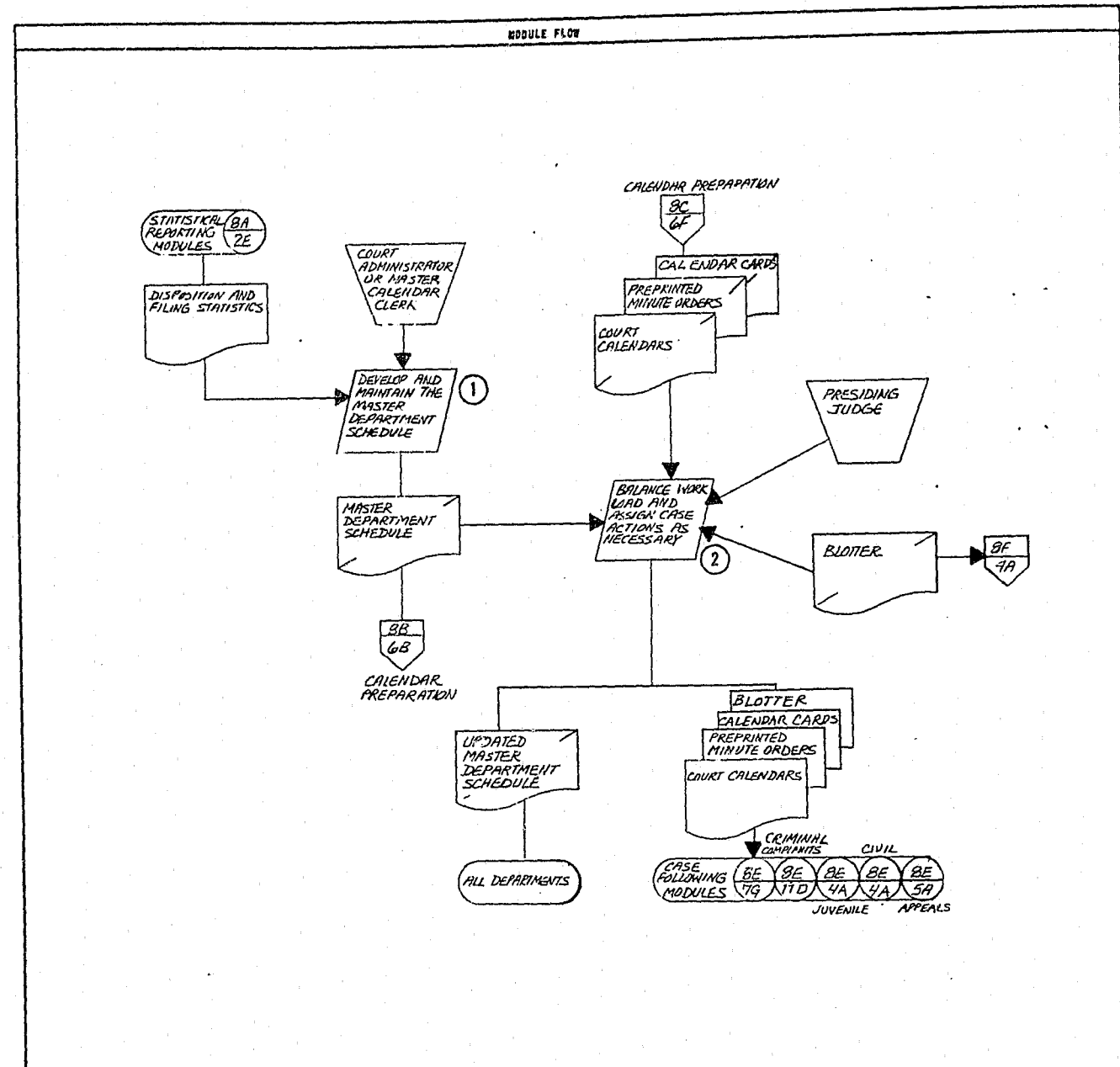
MODULE NARRATIVE

⑤ The master calendar file consisting of calendar cards filed by case type and appearance date provides the data source for the monthly summary of calendar condition statistics.

⑥ A monthly summary of available court dates for criminal trials would be prepared to assist the judge in setting dates in court. The summary would be used to log dates at the time of setting in court to reduce the potential of overcommitting court time.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HM-8-431	MODULE NAME DEPARTMENT ASSIGNMENT	LEVEL OF AUTOMATION Manual	PAGE 8 OF 8
MODULE PURPOSE To develop the master department schedule and to assign specific cases among departments as required to balance work load			



FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

MODULE NARRATIVE

1 A master department schedule is developed by the court administrator based upon data produced by the statistical reporting modules. The master schedule would designate the time schedule for each department normally over a week's period. The schedule would be determined by analyzing the court's work load by type of hearing and by spreading the work among the available departments based upon projections of future work load. Periodically the master schedule should be reviewed and updated considering changes in filings, court rules, the nature of litigation, and vacation and absentee rates.

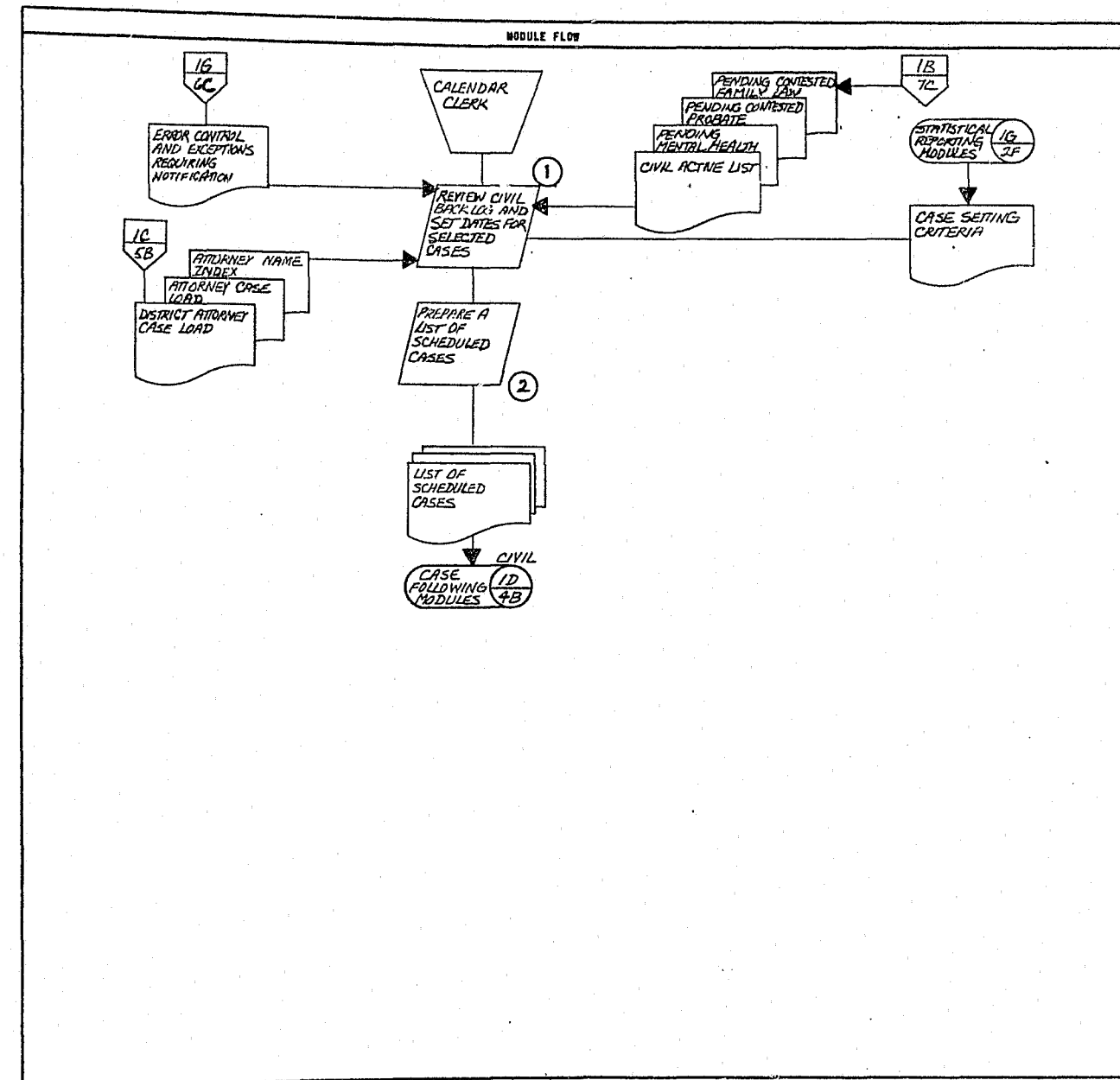
2 Since the master department schedule is based upon average historical statistics, exceptional work load conditions may occur on any one given day. As a result, the actual work load calendared for the next day must be reviewed to make adjustments to the master schedule as necessary.

Changes in the master schedule would be disseminated to all departments by an updated master department schedule for that date.

Cases assigned to new departments would be manually changed on the computer prepared calendars. The calendars and preprinted minute orders would then be forwarded to case following for pulling case files. The arrest blotter augments the computer printed calendars for prior day arrestees in custody.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-1-402	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 OF 8
MODULE PURPOSE To schedule court appearances by a calendar clerk			



MODULE NARRATIVE

① Generally, the calendar clerk schedules long cause actions and hearings related to long causes. Typically, the calendar clerk schedules the following types of hearings:

- Civil jury trials
- Civil court trials
- Contested probate and family law hearings
- Mental health hearings
- Civil pretrial, setting, and settlement conferences.

At-issue civil cases are selected from the civil active list as court resources are available and a tentative trial date is set. This date is in enough advance to permit pretrial, setting, and settlement conferences to be held according to court rules. Dates for conferences are determined from the tentative trial date which is confirmed during pretrial conferences. Court resources are over scheduled to account for the degree of disposition before trial as determined from statistical data. To avoid schedule conflicts, attorney case load listings are referenced when setting trial dates.

The calendar clerk also resolves errors or exceptional conditions which the computer cannot reconcile during the update of the calendar master file. Notices are issued as necessary in conjunction with the normal noticing process.

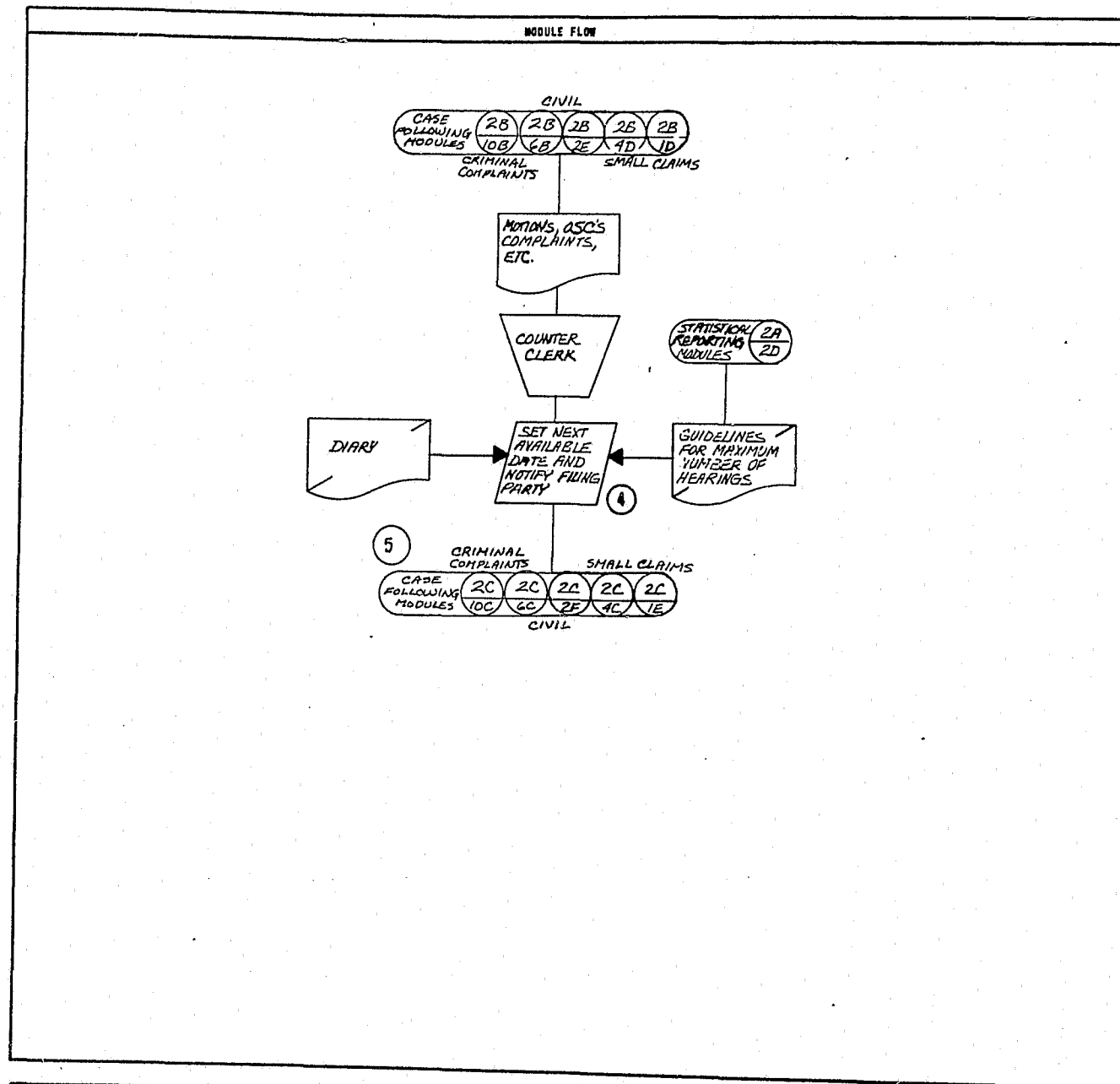
Dates for appeals are normally set for the next convening of the appeals court permitting adequate time for the preparation of briefs and transcripts.

② Alternative criminal jury trial dates are provided by the calendar clerk in order for the judge to set and confirm trial dates at pretrial.

③ A list of scheduled cases is prepared and forwarded for data entry. Scheduled dates are then added to the case master files.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-1-402	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 of 8
MODULE PURPOSE To schedule court appearances at the time of filing of case related documents by a counter clerk			



MODULE NARRATIVE

④ Court appearances required for the hearing of motions, defaults, and other short duration hearings are scheduled upon filing in the court. The clerk utilizes a daily diary to note the case numbers for each hearing. The date set is normally the next available date which permits time for service to the adverse litigant and which does not cause the case load to exceed maximum guidelines. The types of hearings scheduled by the counter clerk include:

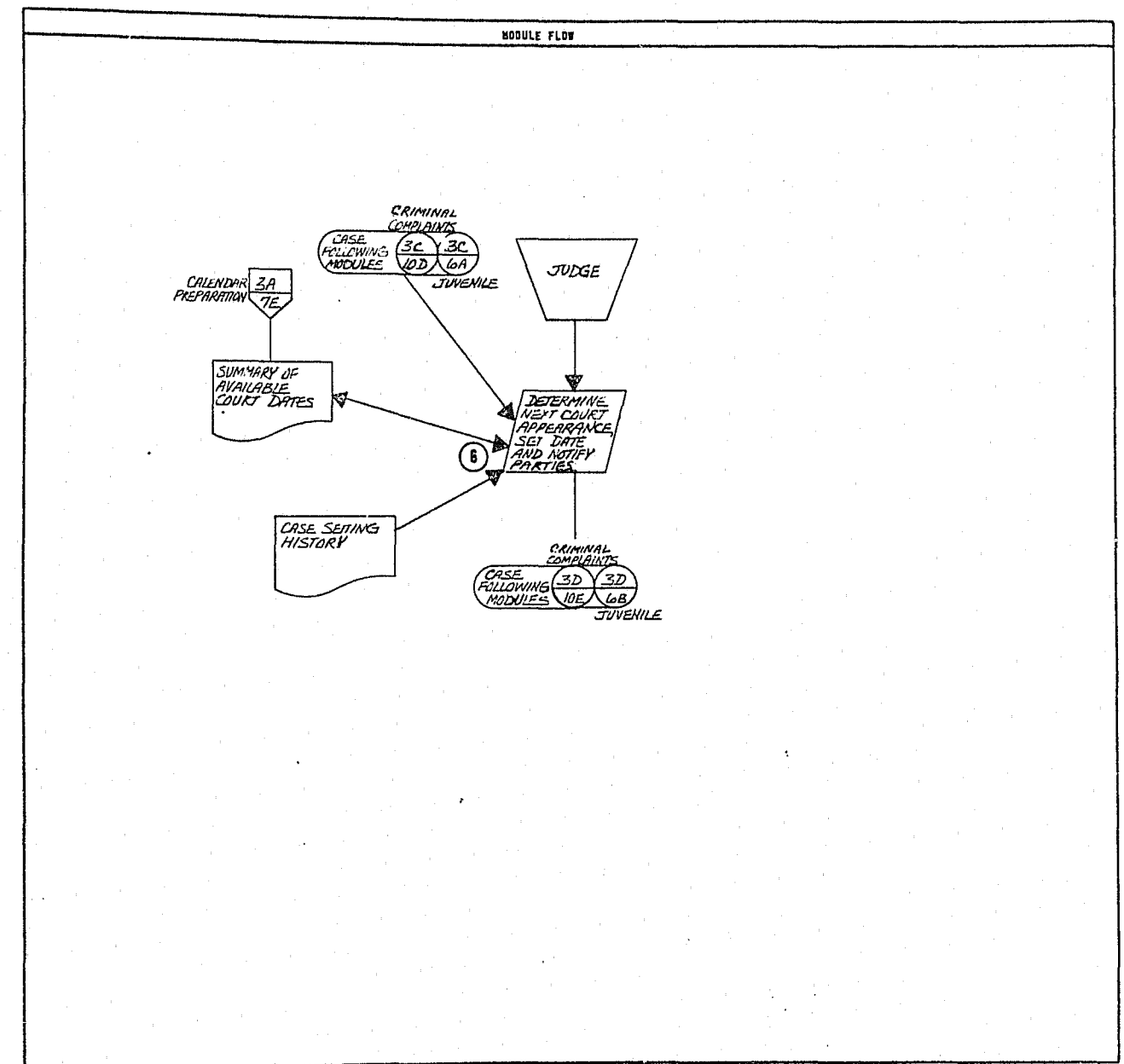
- Civil law and motions
- Defaults
- Orders to show cause
- Small Claims
- Uncontested probate
- Uncontested family law
- Appeals.

⑤ Each filing updated with the date of appearance is certified and recorded by the clerk.

Copies are given to the filing party for services upon the adverse litigants as required by law. The original filing is retained in the case file and serves as the data source to update the case history file maintained by the case following master file update. Subsequent to the case following master file update, dates set at the counter are passed to calendaring via the calendar interface records.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-1-402	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 of 8
MODULE PURPOSE To schedule subsequent court appearances in court at the time of the present appearance, and in addition, to notify parties of appearance date			



MODULE NARRATIVE

⑥ Criminal and juvenile appearances with the exception of the initial appearances and jury trials are scheduled in court at the prior appearance. The presence of all parties in court at the time of setting serves as formal notification of appearance. The following types of appearances are scheduled in this way:

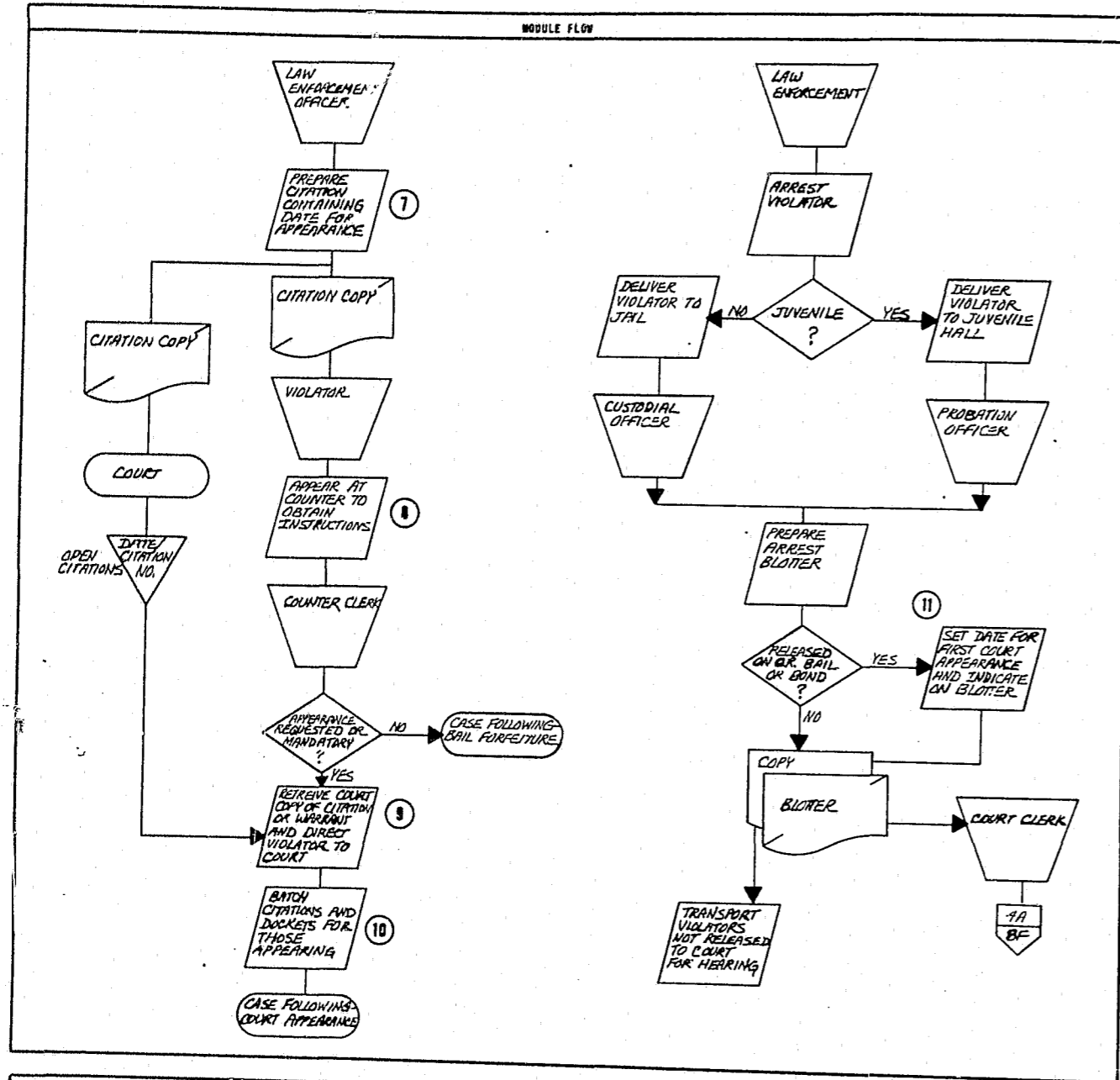
- Jury trial confirmations
- Plea negotiations
- Law and motions
- Misdemeanor and felony court trials
- Probation and sentencing hearings
- Superior court arraignment (in Municipal Court following preliminary hearing or upon guilty plea)
- Felony preliminary hearings
- Juvenile delinquency hearings (except for initial appearance)
- Juvenile dependency annual reviews.

Although alternative jury trial dates are set by a calendar clerk, notification of the trial date is confirmed in court at pretrial. The case setting history is required to assure case disposition according to statute if time has not been waived.

The summary of available court dates is updated monthly during the summary of all pending cases. This form is retained by the court clerk and is updated during the month as dates are set for future appearances.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-1-402	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 OF 8
MODULE PURPOSE To schedule court appearance by law enforcement officers at the time of citation issuance or upon arrest			

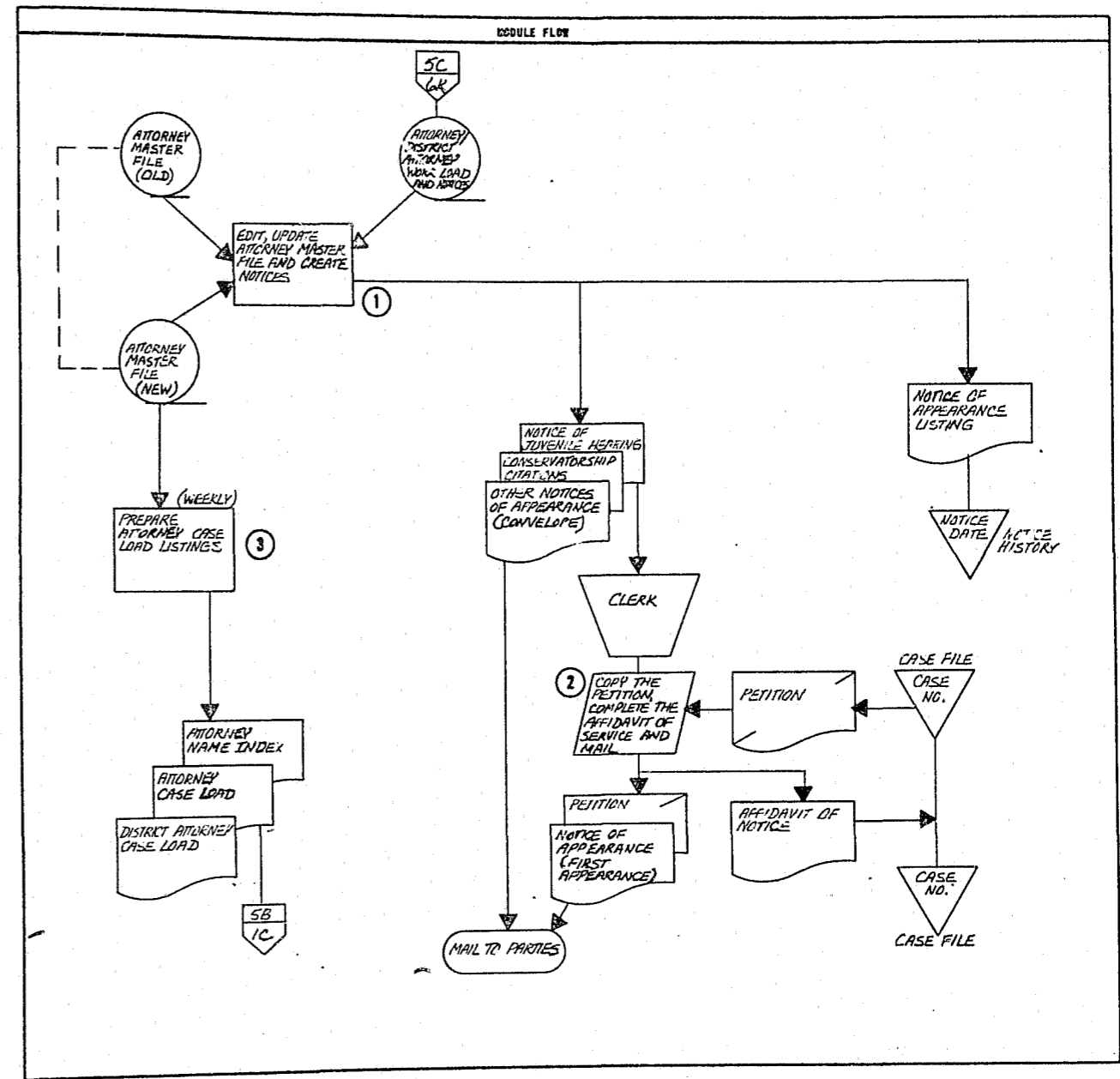


MODULE NARRATIVE

- ① Citations issued by officers contain a date for appearance normally ten days from the date of citation. Citations heard in citation court include:
- Parking citations
 - Traffic citations
 - "Dog" citations
 - Petty theft or other misdemeanor citations.
- Subsequent appearances not disposed of at initial appearance in citation court are processed and heard as verified complaints.
- ② The number of violators appearing for court trials is relatively constant due to the high volume of citations, and, accordingly, court appearances present few scheduling problems.
- ③ In all cases of court appearance the clerk must retrieve the court's copy of the citation or outstanding warrants for recall as a part of the case following activities. Upon retrieval the violator is directed to the citation court being convened.
- ④ Batches of citations along with dockets serve as the calendar and record of proceedings and no physical calendar is prepared.
- ⑤ Law enforcement or the Probation Office, in the case of juveniles, set dates for:
- Misdemeanor and felony arraignments (municipal court)
 - Felony bail setting
 - Juvenile detention hearings (if in custody)
 - Juvenile delinquency hearings (if released).
- Those held in custody are brought to court the next day for a first court appearance, and the arrest blotter is used as a calendar. First court appearances for those released are scheduled in conjunction with the calendar clerk and the court calendars are computer printed.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-5-412	MODULE NAME NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 OF 8
MODULE PURPOSE To prepare notices of court appearance in appeals, juvenile, mental health, probate, family law and other civil actions			

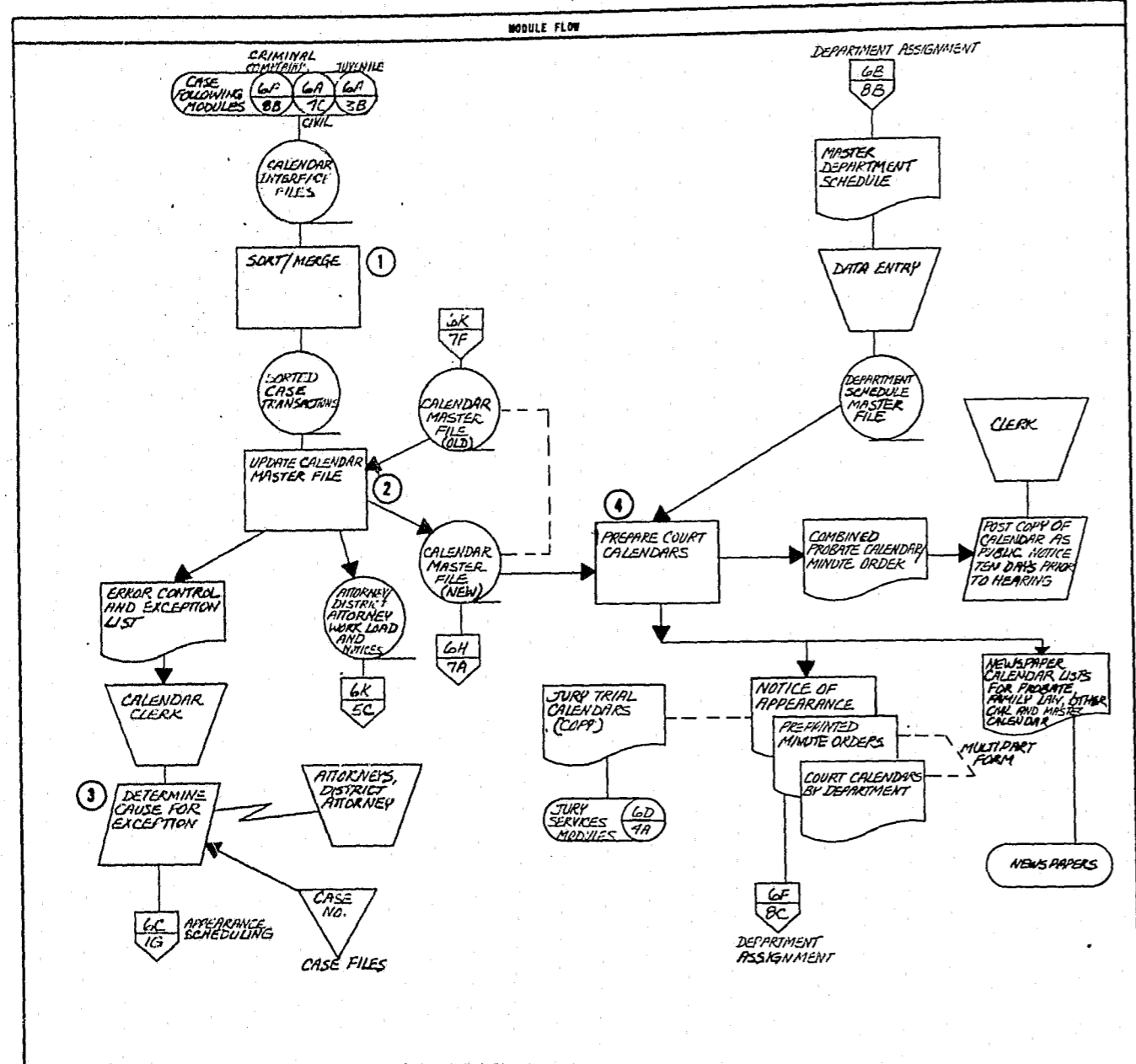


MODULE NARRATIVE

- ① Formal written notification of appearance is required by the statutes or when parties cannot be notified by phone or at a prior court appearance. Written notices are prepared for:
- Civil pretrial or setting conferences along with invitations to settlement conference
 - Civil trials
 - Conservatorship hearings (a citation serves as notice to the conservatee)
 - Contested family law hearings
 - Mental health
 - Contested probate hearings
 - Juvenile delinquency and dependency hearings on the petition
 - Appeals.
- Dates for civil settlement conferences (if conducted) and criminal jury trials are confirmed at pretrial conferences and no formal notice is prepared. Written notice of juvenile hearings subsequent to the first appearance is given at the prior hearing. These notices are prepared when the calendar is prepared and are given to the court clerk with the case files for service at the time of hearing.
- ② The notice of juvenile hearing is mailed to the involved parties along with a copy of the petition if notice has not been provided a prior detention hearing.
- ③ To assist the calendar clerk in setting conflict free dates, attorney case load is maintained in a master file. Reports from this file are referred to when a tentative trial date is set as cases are chosen from the civil active list. Attorney information such as firm, address, and phone are also maintained. This permits the clerk to revise or add attorney master file data when preparing notice of appearance.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-6-422	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 8
MODULE PURPOSE To maintain the master file of case schedules and to prepare court calendars			



MODULE NARRATIVE

1 The case following modules maintain a case following master file. Changes in case status such as filings, dispositions, scheduled dates, and other case status information necessary for calendaring are provided on the calendar interface files. These files are sorted and merged to update the calendar master file.

2 The calendar master file contains all cases, except for small claims, parking, and other citations, which are scheduled for hearing (pending) or which are active but not yet scheduled for appearance (at issue memo or memo to set filed). This file provides the information necessary to produce court calendars preprinted minute orders, and monthly reports on the status of calendars. Also notice transactions are created as determined necessary during the update.

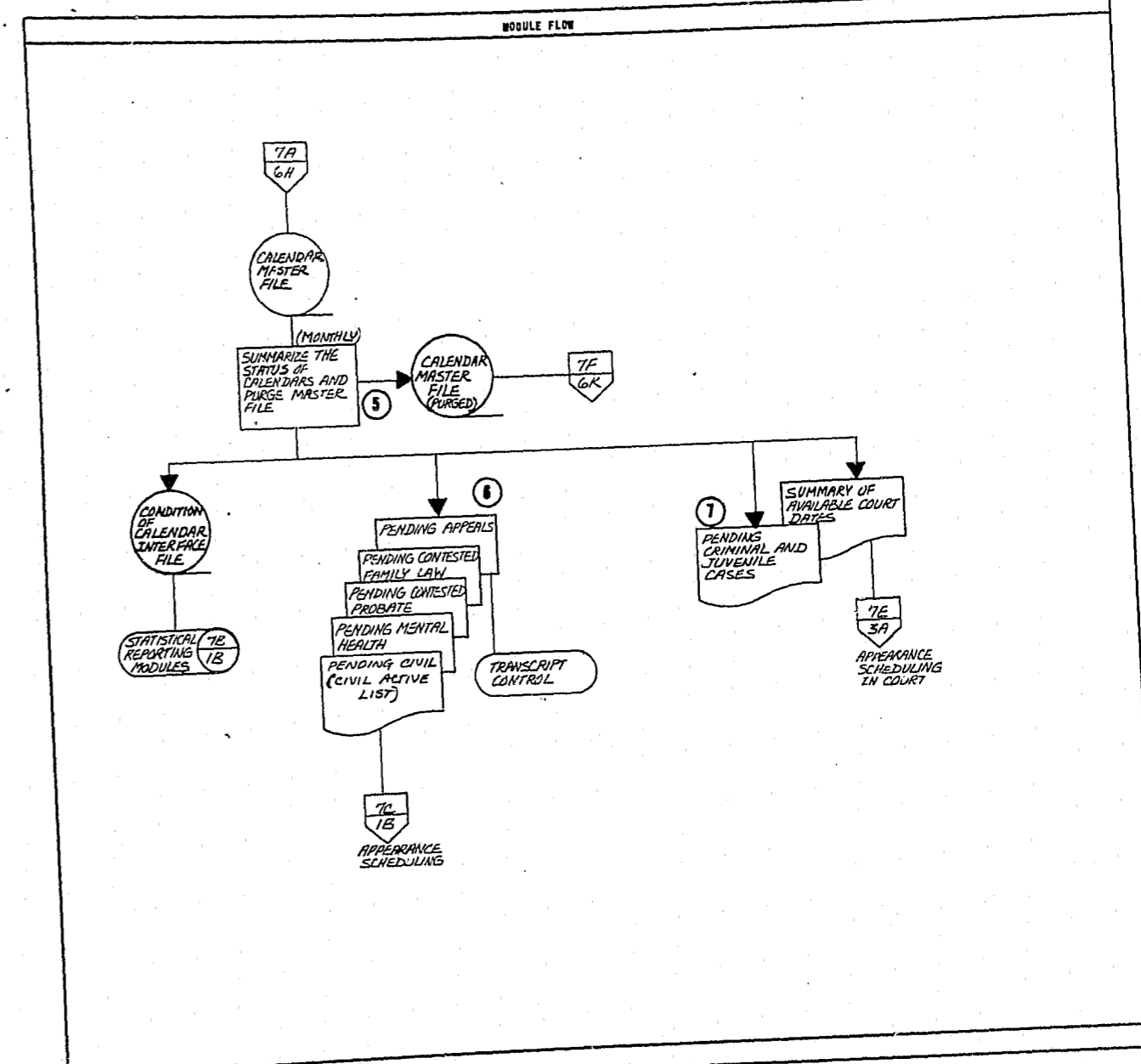
3 Case status changes which cannot be reconciled to the calendar master file are listed to clerically resolve the exceptions.

4 Daily department court calendars would be prepared from the calendar master file by assigning scheduled cases to departments according to the master department schedule. Cases types scheduled on individual calendars or assigned on a master calendar judge would not be assigned a department at this time. At least one day in advance of trial, criminal and civil calendars are produced and forwarded to the court administrator for verification. A multipart minute order form is preprinted with heading data for each case. These accompany the calendar for completion by the clerk in court. Copies of the minute order are used to formally notify parties of subsequent dates as appropriate.

Probate calendars are produced at least ten days in advance of hearing for public notice in the courthouse. Scheduled probate, family law, and civil cases are listed along with the master department schedule for publication in the newspapers. Copies of the jury trial calendars are used to determine imminent juror needs.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-6-422	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 8
MODULE PURPOSE To prepare lists on the condition of scheduled and unscheduled cases			



MODULE NARRATIVE

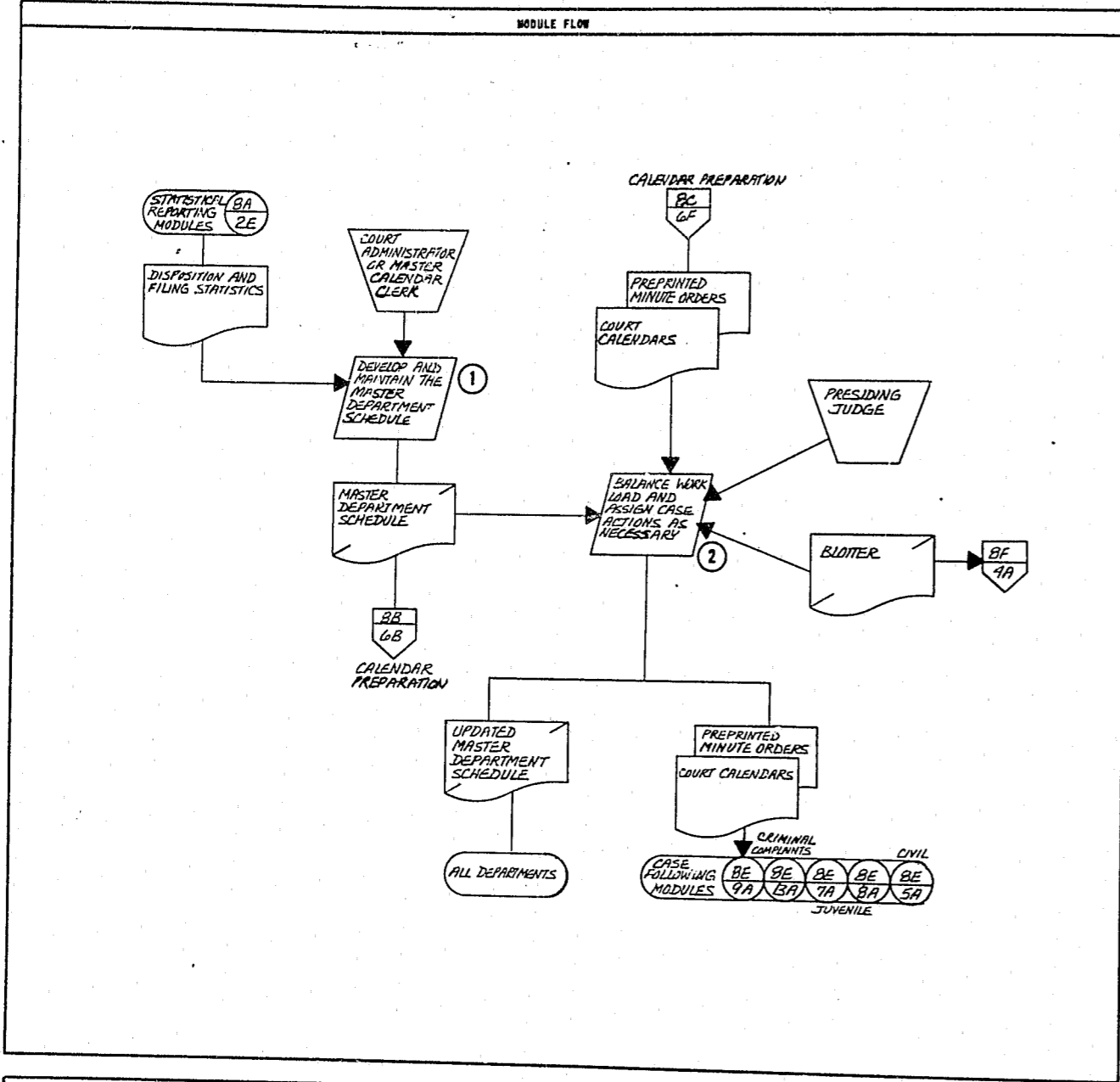
5 Monthly the calendar master file is used to provide detailed and summary information on the status of calendars. A summary of scheduled cases would provide statistical reporting data. Completed hearings would be purged from the master file at this time.

6 The civil active list containing scheduled and unscheduled cases and other case types scheduled by the calendar clerk would be listed by date for selecting and scheduling cases among court resources not committed to pending scheduled cases. The pending appeals list would be used to assure the timely preparation of transcripts.

7 Pending criminal and juvenile cases would be listed monthly in detail primarily for control and analysis purposes. In addition, the detailed list would be used by the calendar clerk to select alternative dates for criminal jury trials. A summary of available court dates would also be prepared to assist the judge in selecting dates for court trials and preliminary hearing dates.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HS-8-432	MODULE NAME DEPARTMENT ASSIGNMENT	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 8
MODULE PURPOSE To develop the master department schedule and to assign specific cases among departments as required to balance work load			



FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

MODULE NARRATIVE

① A master department schedule is developed by the court administrator based upon data produced by the statistical reporting modules. The master schedule would designate the time schedule for each department normally over a week's period. The schedule would be determined by analyzing the court's work load by type of hearing and by spreading the work among the available departments based upon projections of future work load. Periodically the master schedule should be reviewed and updated considering changes in filings, court rules, the nature of litigation, and vacation and absentee rates.

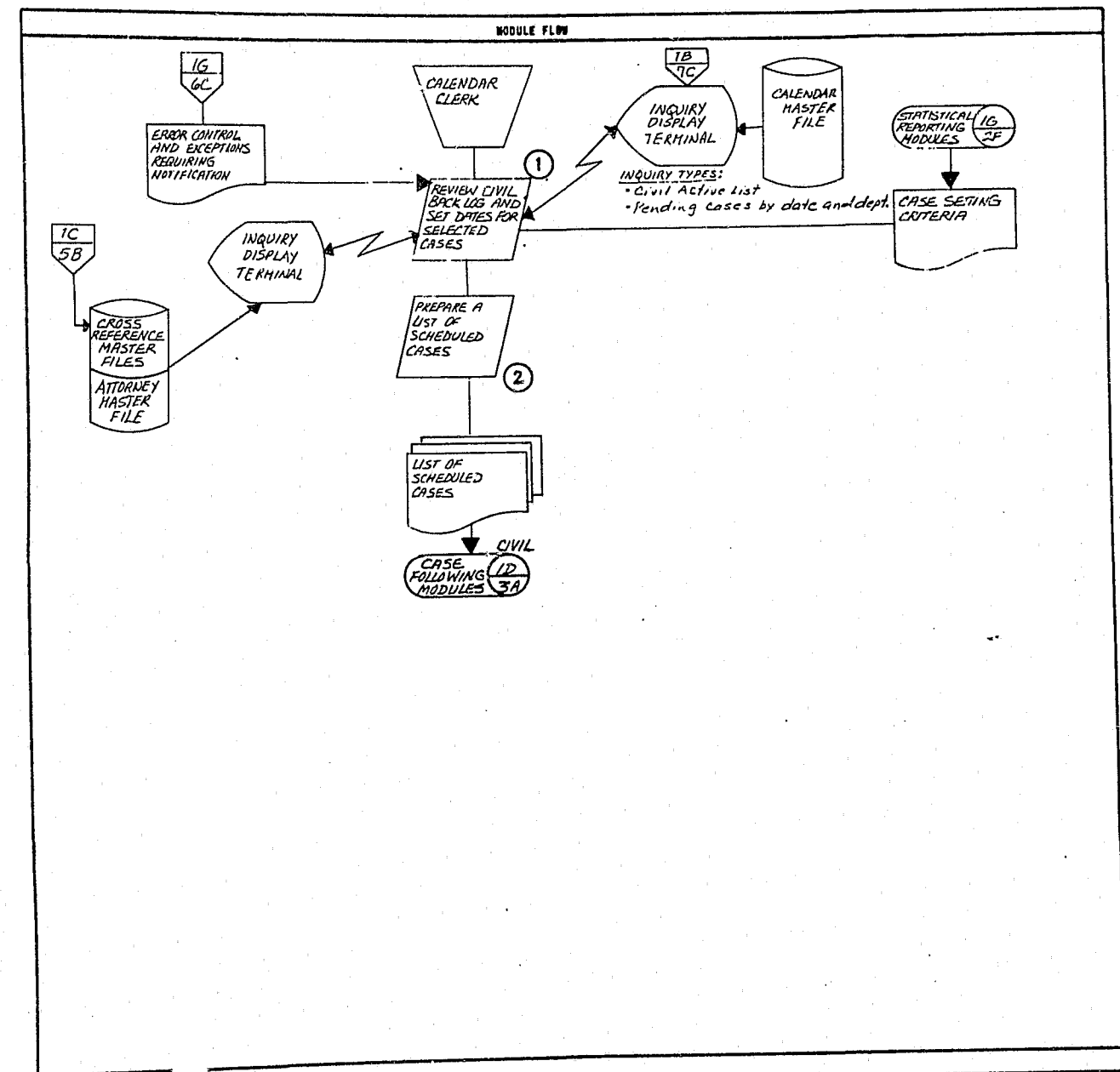
② Since the master department schedule is based upon average historical statistics, exceptional work load conditions may occur on any one given day. As a result, the actual work load calendar for the next day must be reviewed to make adjustments to the master schedule as necessary.

Changes in the master schedule would be disseminated to all departments by an updated master department schedule for that date.

Cases assigned to new departments would be manually changed on the computer prepared calendars. The calendars and preprinted minute orders would then be forwarded to case following for pulling case files. The arrest blotter augments the computer printed calendars for prior day arrestees in custody.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-1-403	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION On-line	PAGE 1 of 8
MODULE PURPOSE To schedule court appearances by a calendar clerk			



MODULE NARRATIVE

① Generally, the calendar clerk schedules long cause actions and hearings related to long causes. Typically, the calendar clerk schedules the following types of hearings:

- Civil jury trials
- Civil court trials
- Contested probate and family law hearings
- Mental health hearings
- Civil pretrial, setting, and settlement conferences.

At-issue civil cases are selected from the civil active list as court resources are available and a tentative trial date is set. This date is in enough advance to permit pretrial, setting, and settlement conferences to be held according to court rules. Dates for conferences are determined from the tentative trial date which is confirmed during pretrial conferences. Court resources are over scheduled to account for the degree of disposition before trial as determined from statistical data. To avoid schedule conflicts, attorney case load listings are referenced when setting trial dates.

The calendar clerk also resolves errors or exceptional conditions which the computer cannot reconcile during the update of the calendar master file. Notices are issued as necessary in conjunction with the normal noticing process.

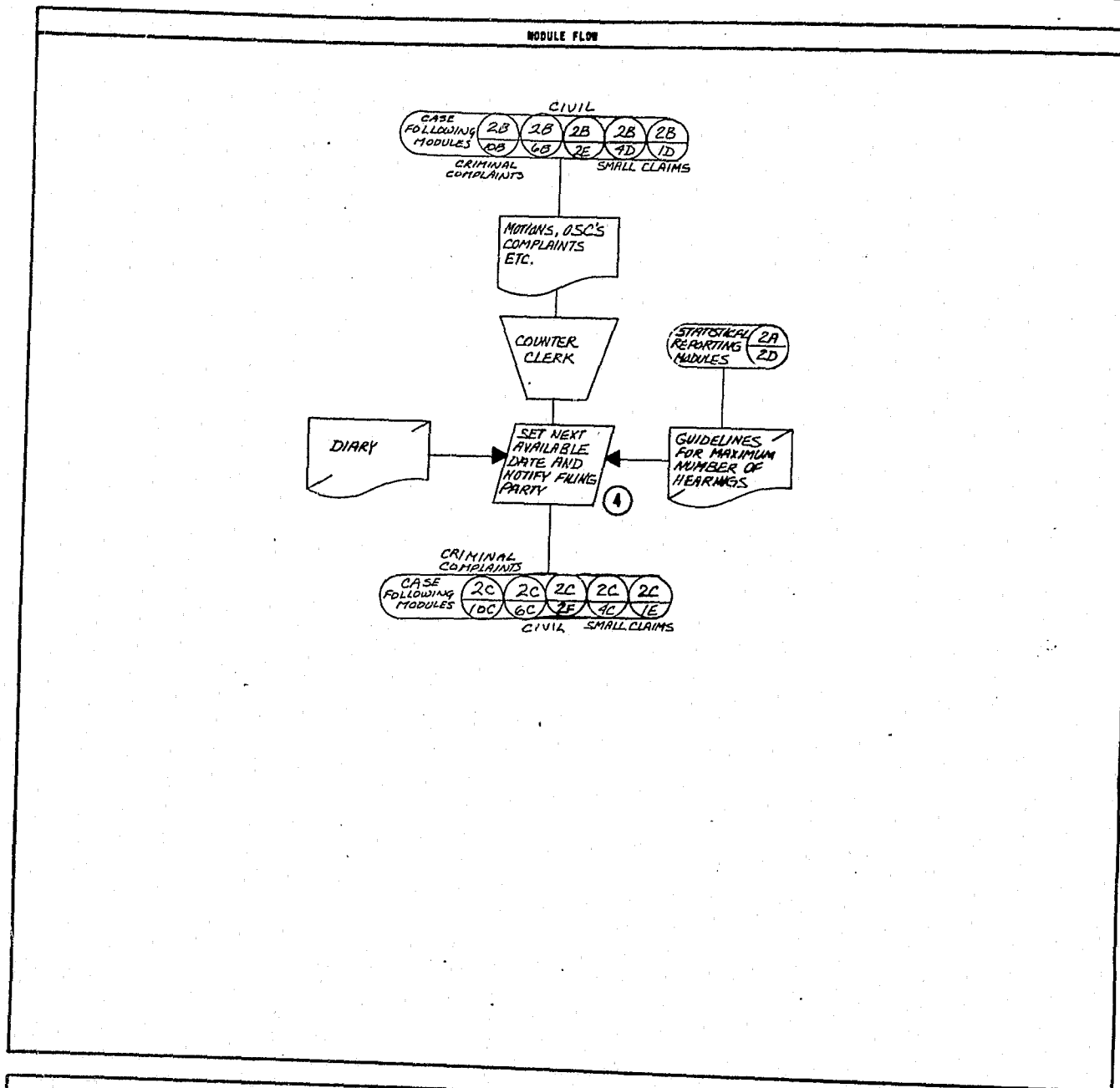
Dates for appeals are normally set for the next convening of the appeals court permitting adequate time for the preparation of briefs and transcripts.

② Alternative criminal jury trial dates are provided by the calendar clerk in order for the judge to set and confirm trial dates at pretrial.

③ A list of scheduled cases is prepared and forwarded for data entry. Scheduled dates are then added to the case master files.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-1-403	MODULE NAME APPEARANCE SCHEDULING	LEVEL OF AUTOMATION On-line	PAGE 2 of 8
MODULE PURPOSE To schedule court appearances at the time of filing of case related documents by a counter clerk			



MODULE NARRATIVE

① Court appearances required for the hearing of motions, defaults, and other short duration hearings are scheduled upon filing in the court. The clerk utilizes a daily diary to note the case numbers for each hearing. The date set is normally the next available date which permits time for service to the adverse litigant and which does not cause the case load to exceed maximum guidelines. The types of hearings scheduled by the counter clerk include:

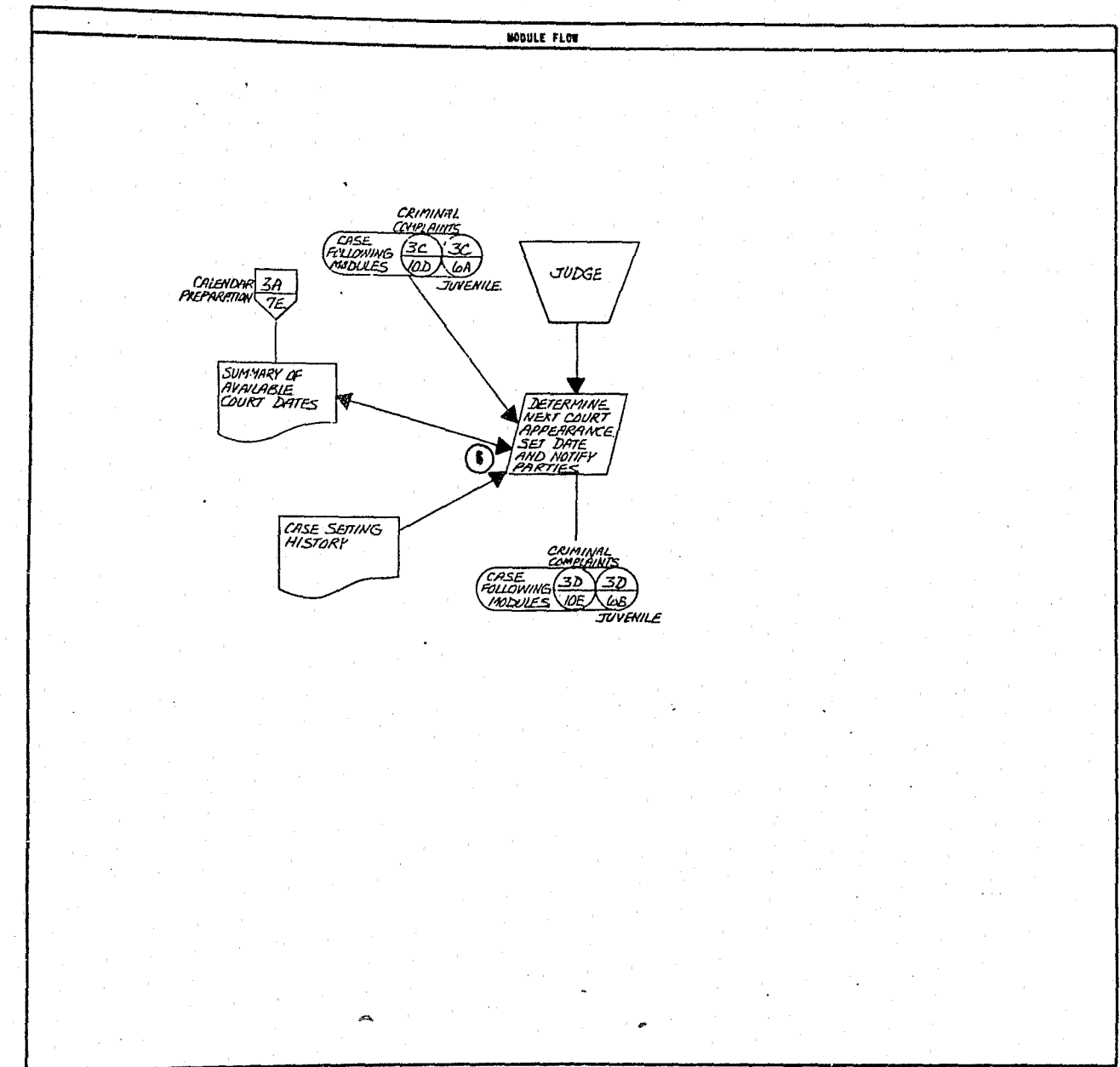
- Civil law and motions
- Defaults
- Orders to show cause
- Small Claims
- Uncontested probate
- Uncontested family law
- Appeals.

② Each filing updated with the date of appearance is certified and recorded by the clerk.

Copies are given to the filing party for services upon the adverse litigants as required by law. The original filing is retained in the case file and serves as the data source to update the case history file maintained by the case following modules. Subsequent to the case following master file update, dates set at the counter are passed to calendaring via the calendar interface records.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-1-403	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION On-line	PAGE 3 of 8
MODULE PURPOSE To schedule subsequent court appearances in court at the time of the present appearance, and in addition, to notify parties of appearance date			



MODULE NARRATIVE

① Criminal and juvenile appearances with the exception of the initial appearances and jury trials are scheduled in court at the prior appearance. The presence of all parties in court at the time of setting serves as formal notification of appearance. The following types of appearances are scheduled in this way:

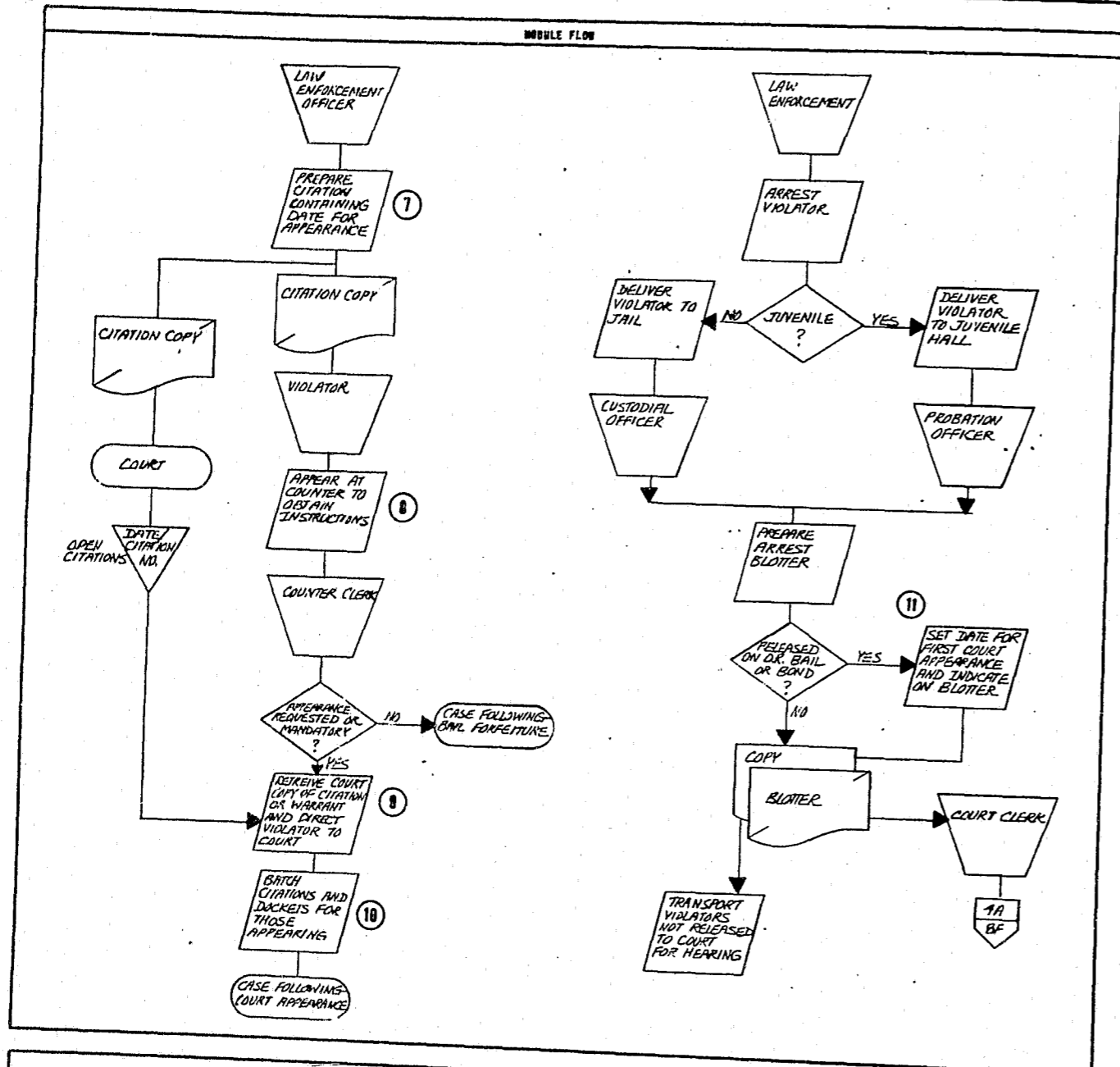
- Jury trial confirmations
- Plea negotiations
- Law and motions
- Misdemeanor and felony court trials
- Probation and sentencing hearings
- Superior court arraignment (in Municipal Court following preliminary hearing or upon guilty plea)
- Felony preliminary hearings
- Juvenile delinquency hearings (except for initial appearance)
- Juvenile dependency annual reviews.

Although alternative jury trial dates are set by a calendar clerk, notification of the trial date is confirmed in court at pretrial. The case setting history is required to assure case disposition according to statute if time has not been waived.

The summary of available court dates is updated monthly during the summary of all pending cases. This form is retained by the court clerk and is updated during the month as dates are set for future appearances.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-1-403	MODULE NAME APPEARANCE SCHEDULING AND NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION On-line	PAGE 4 of 8
MODULE PURPOSE To schedule court appearance by law enforcement officers at the time of citation issuance or upon arrest			



MODULE NARRATIVE

① Citations issued by officers contain a date for appearance normally ten days from the date of citation. Citations heard in citation court include:

- Parking citations
- Traffic citations
- "Dog" citations
- Petty theft or other misdemeanor citations.

Subsequent appearances not disposed of at initial appearance in citation court are processed and heard as verified complaints.

② The number of violators appearing for court trials is relatively constant due to the high volume of citations, and, accordingly, court appearances present few scheduling problems.

③ In all cases of court appearance the clerk must retrieve the court's copy of the citation or outstanding warrants for recall as a part of the case following activities. Upon retrieval the violator is directed to the citation court being convened or is given another appearance date if not convened.

⑩ Batches of citations along with dockets serve as the calendar and record of proceedings and no physical calendar is prepared.

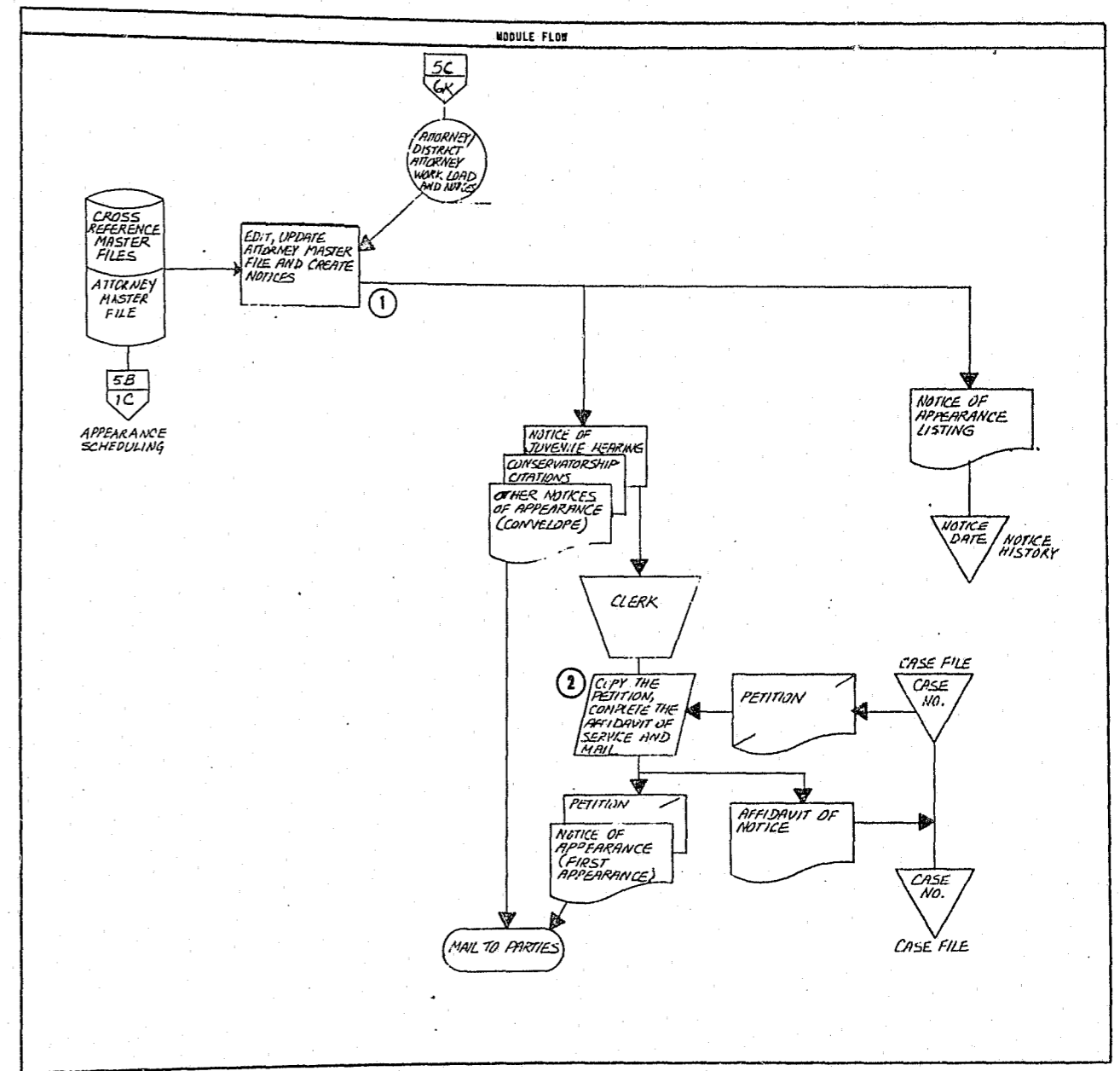
⑪ Law enforcement or the Probation Office, in the case of juveniles, set dates for:

- Misdemeanor and felony arraignments (municipal court)
- Felony bail setting
- Juvenile detention hearings (if in custody)
- Juvenile delinquency hearings (if released).

Those held in custody are brought to court the next day for a first court appearance, and the arrest blotter is used as a calendar. First court appearances for those released are scheduled in conjunction with the calendar clerk and the court calendars are computer printed.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-5-413	MODULE NAME NOTIFICATION OF COURT APPEARANCE	LEVEL OF AUTOMATION On-line	PAGE 5 of 8
MODULE PURPOSE To prepare notices of court appearance in appeals, juvenile, mental health, probate, family law and other civil actions			



MODULE NARRATIVE

① Formal written notification of appearance is required by the statutes or when parties cannot be notified by phone or at a prior court appearance. Written notices are prepared for:

- Civil pretrial or setting conferences along with invitations to settlement conference
- Civil trials
- Conservatorship hearings (a citation serves as notice to the conservatee)
- Contested family law hearings
- Mental health
- Contested probate hearings
- Juvenile delinquency and dependency hearings on the petition
- Appeals.

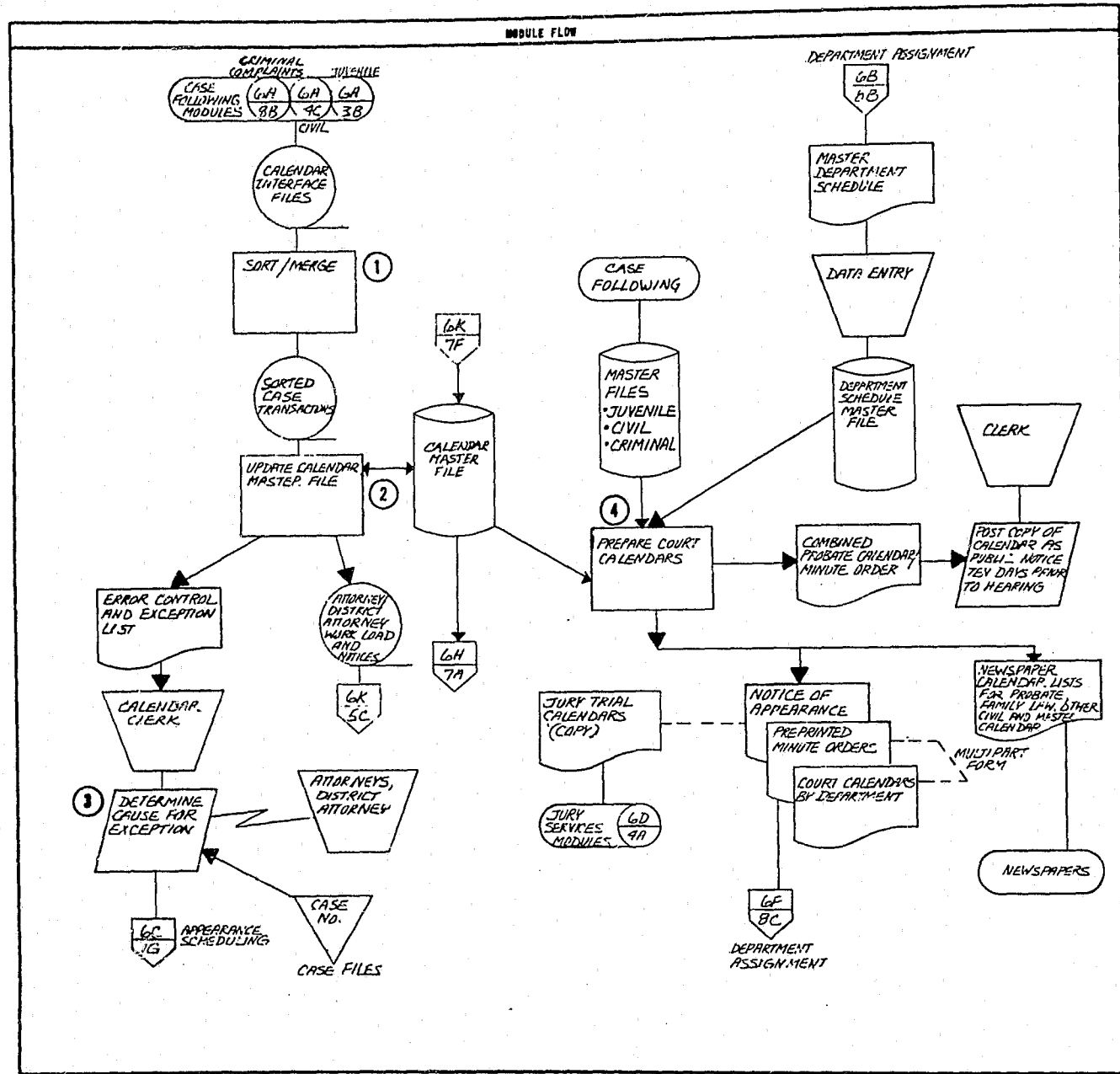
Dates for civil settlement conferences (if conducted) and criminal jury trials are confirmed at pretrial conferences and no formal notice is prepared. Written notice of juvenile hearings subsequent to the first appearance is given at the prior hearing. These notices are prepared when the calendar is prepared and are given to the court clerk with the case files for service at the time of hearing.

② The notice of juvenile hearing is mailed to the involved parties along with a copy of the petition if notice has not been provided a prior detention hearing.

③ To assist the calendar clerk in setting conflict free dates, attorney case load is maintained in an on-line master file. Attorney information such as firm, address and phone number are also maintained for notification purposes.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-6-423	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION On-line	PAGE 6 of 8
MODULE PURPOSE To maintain the master file of case schedules and to prepare court calendars			



MODULE NARRATIVE

1 The case following modules maintain a case following master file. Changes in case status such as filings, dispositions, scheduled dates, and other case status information necessary for calendaring are provided on the calendar interface files. These files are sorted and merged to update the calendar master file.

2 The calendar master file contains all cases, except for small claims, parking, and other citations, which are scheduled for hearing (pending) or which are active but not yet scheduled for appearance (at issue memo or memo to set filed). This file provides the information necessary to produce court calendars preprinted minute orders, and monthly reports on the status of calendars. Also notice transactions are created as determined necessary during the update.

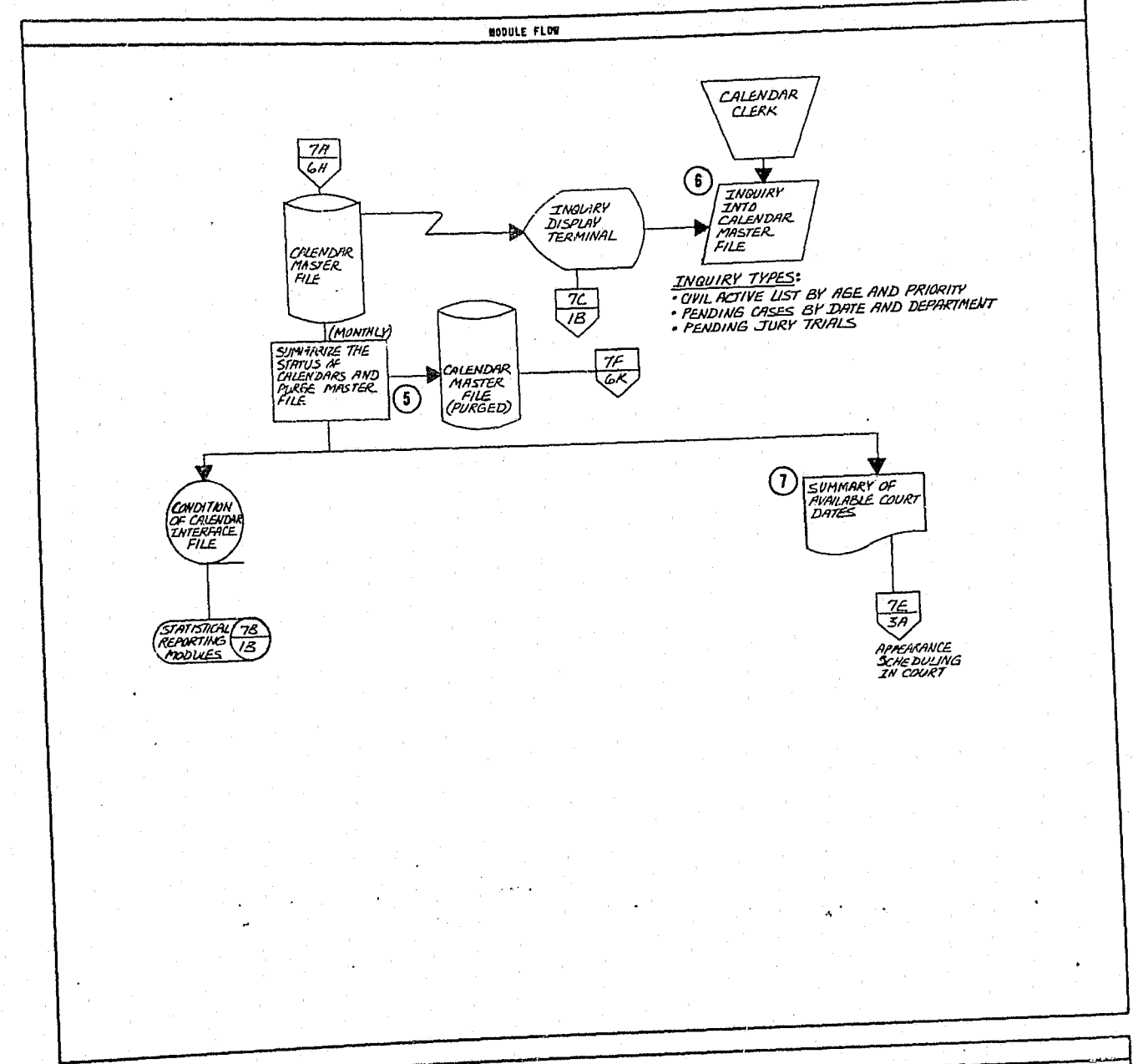
3 Case status changes which cannot be reconciled to the calendar master file are listed to clerically resolve the exceptions.

4 Daily department court calendars would be prepared from the calendar master file by assigning scheduled cases to departments according to the master department schedule. Cases types scheduled on individual calendars or assigned on a master calendar judge would not be assigned a department at this time. At least one day in advance of trial, criminal and civil calendars are produced and forwarded to the court administrator for verification. A multipart minute order form is preprinted with heading data for each case. These accompany the calendar for completion by the clerk in court. Copies of the minute order are used to formally notify parties of subsequent dates as appropriate.

Probate calendars are produced at least ten days in advance of hearing for public notice in the courthouse. Scheduled probate, family law, and civil cases are listed along with the master department schedule for publication in the newspapers. Copies of the jury trial calendars are used to determine imminent juror needs.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-6-423	MODULE NAME CALENDAR PREPARATION	LEVEL OF AUTOMATION On-line	PAGE 7 of 8
MODULE PURPOSE: To prepare lists on the condition of scheduled and unscheduled cases			



MODULE NARRATIVE

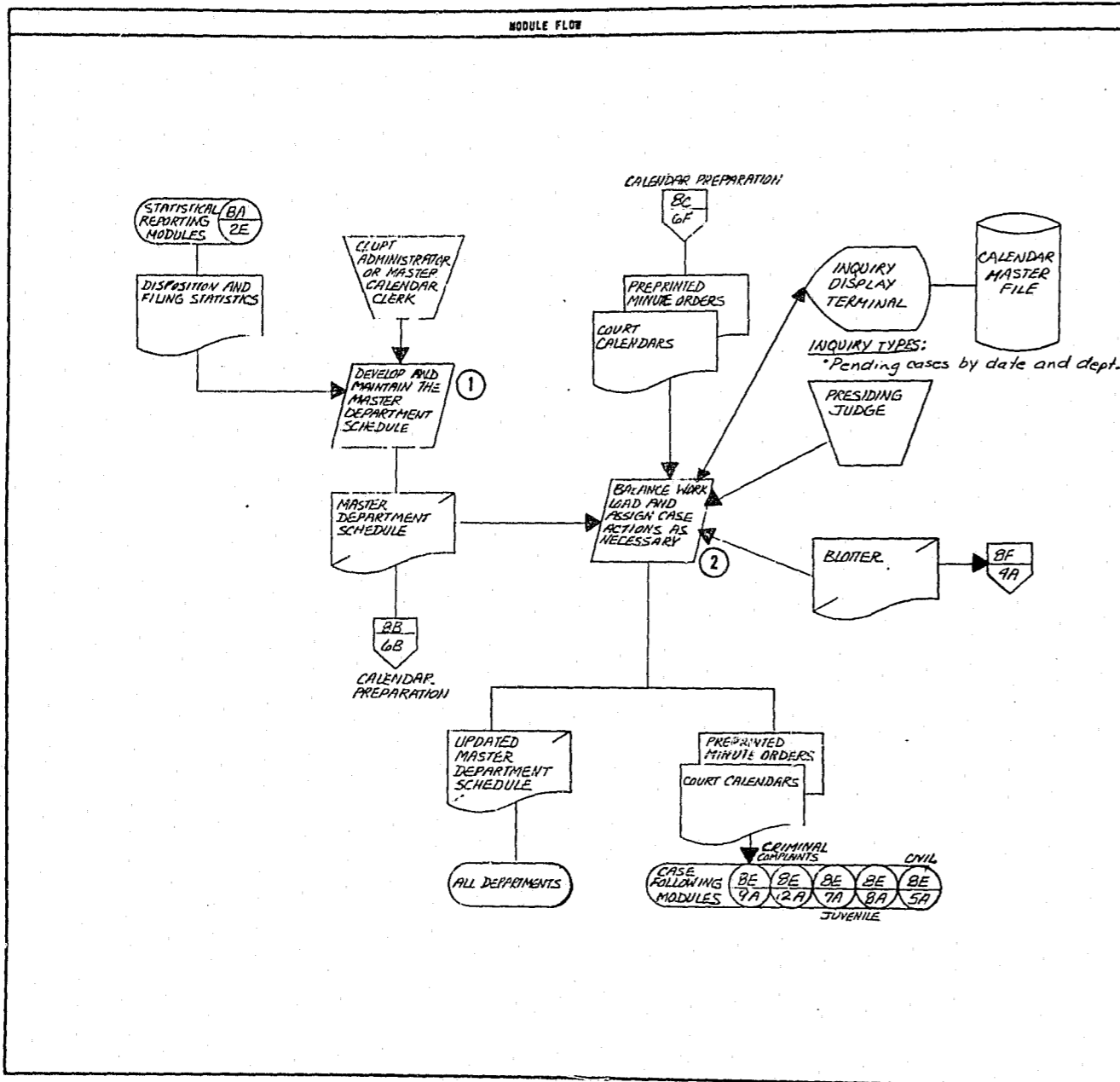
5 Monthly the calendar master file is used to provide detailed and summary information on the status of calendars. A summary of scheduled cases would provide statistical reporting data. Completed hearings would be purged from the master file at this time.

6 The calendar master file information is provided for clerical and administrative functions via video display terminals. Active and pending scheduled cases would be displayed as necessary to assist in appearance scheduling and department assignment.

7 A summary of available court dates would be prepared to assist the judge in selecting dates for court trials and preliminary hearing dates.

CALENDARING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION HO-8-433	MODULE NAME DEPARTMENT ASSIGNMENT	LEVEL OF AUTOMATION On-line	PAGE 8 of 8
MODULE PURPOSE To develop the master department schedule and to assign specific cases among departments as required to balance work load			



MODULE NARRATIVE

① A master department schedule is developed by the court administrator based upon data produced by the statistical reporting modules. The master schedule would designate the time schedule for each department normally over a week's period. The schedule would be determined by analyzing the court's work load by type of hearing and by spreading the work among the available departments based upon projections of future work load. Periodically the master schedule should be reviewed and updated considering changes in filings, court rules, the nature of litigation, and vacation and absentee rates.

② Since the master department schedule is based upon average historical statistics, exceptional work load conditions may occur on any one given day. As a result, the actual work load calendared for the next day must be reviewed to make adjustments to the master schedule as necessary.

Changes in the master schedule would be disseminated to all departments by an updated master department schedule for that date.

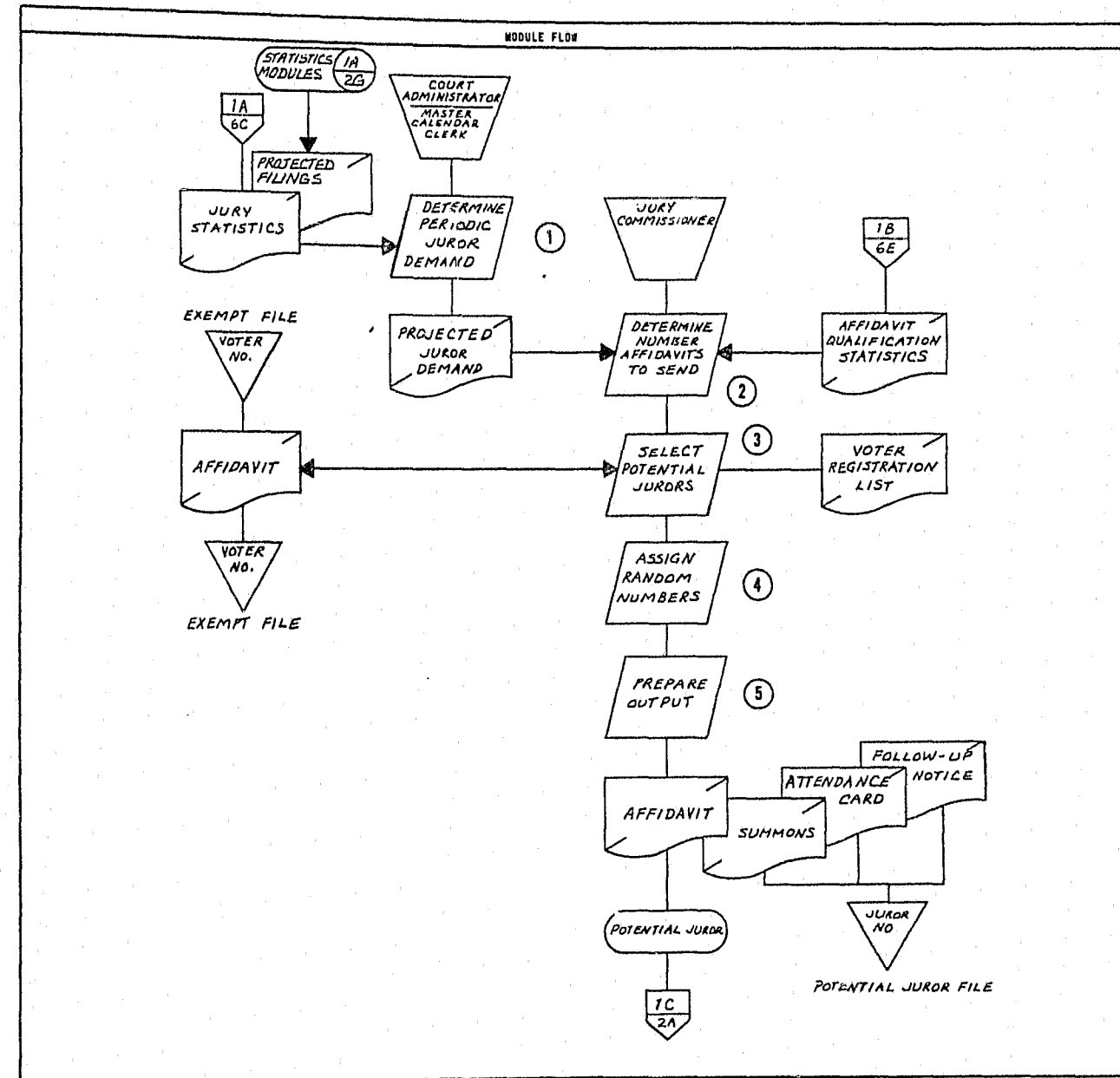
Cases assigned to new departments would be manually changed on the computer prepared calendars. The calendars and preprinted minute orders would then be forwarded to case following for pulling case files. The arrest blotter augments the computer printed calendars for prior day arrestees in custody.

APPENDIX I
JURY SERVICE MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-1-501	MODULE NAME JUROR SELECTION	LEVEL OF AUTOMATION Manual	PAGE 1 of 6
MODULE PURPOSE To periodically provide a file of potential jurors which will satisfy the juror needs of the court			



MODULE NARRATIVE

① The number of qualified jurors is determined through empirical methods based upon previously determined juror usage statistics and upon forecasts of impending jury trials. These projections are produced to coincide with the periodic processing of jurors by the Jury Commissioner.

② Based upon a determination of the number of qualified jurors required for a specific period, the Jury Commissioner, using previous qualification and response rates, determines the number of affidavits to distribute to provide the required jurors.

③ The required number of names is selected for the voter registration files. The following method is used to accomplish this selection:

- Divide the number of registered voters by the number of required jurors to arrive at N.
- check this name against the exempt file
- if this person is currently exempt, select the very next name and proceed as before.

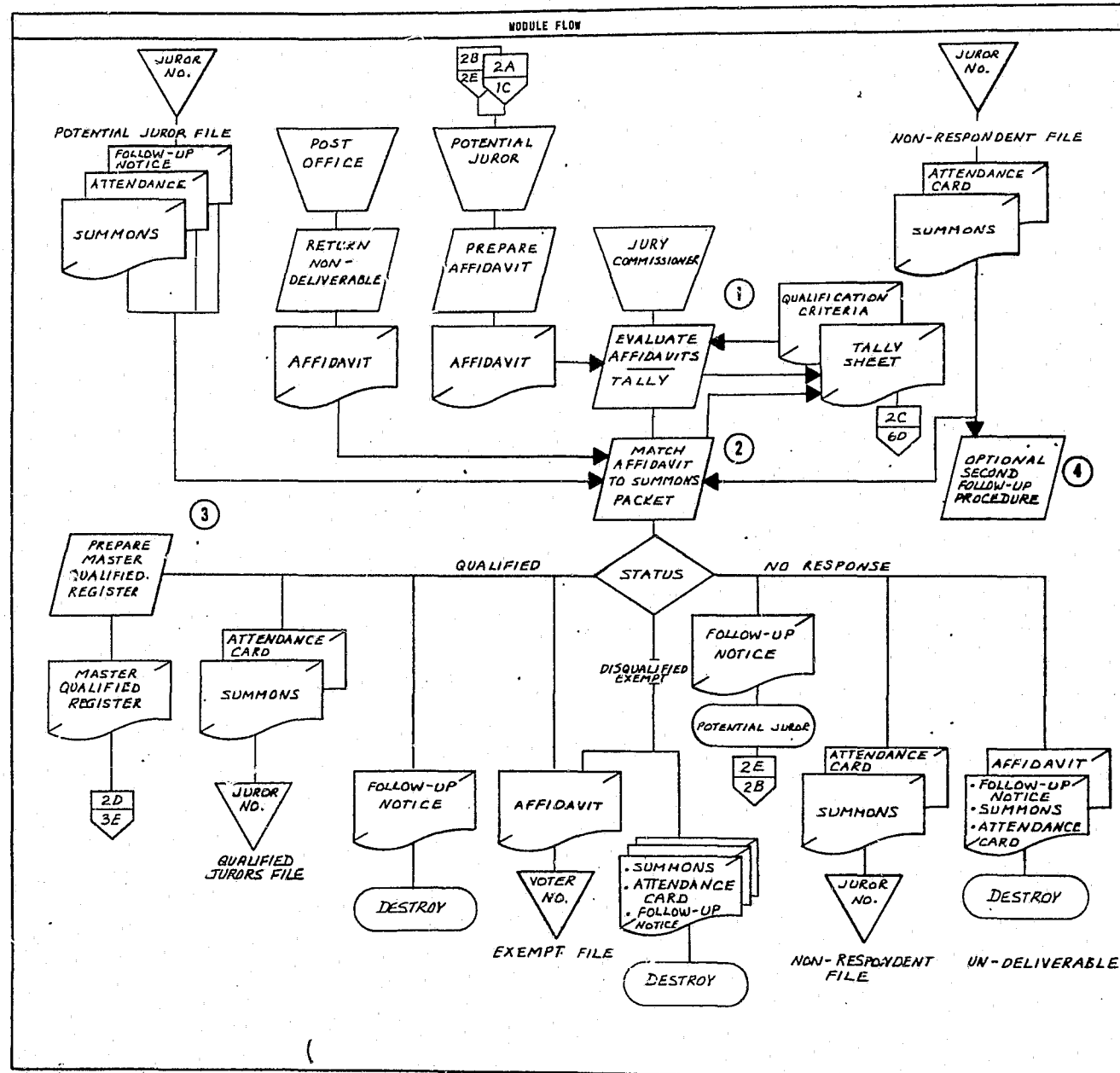
④ For every name selected, a random number is assigned from a random number table.

⑤ Prepare a juror packet for every name selected. The packet consists of an affidavit, summons, attendance card and followup notice.

The affidavit, summons and followup notice are self-contained mailers. The affidavit portion of the packet is removed and mailed to the prospective jurors. The remainder of the packets are filed in random number order to create a potential juror file.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-2-511	MODULE NAME JUROR QUALIFICATION	LEVEL OF AUTOMATION Manual	PAGE 2 OF 6
MODULE PURPOSE To determine the status of each potential juror relative to their ability to be certified for service as a juror			

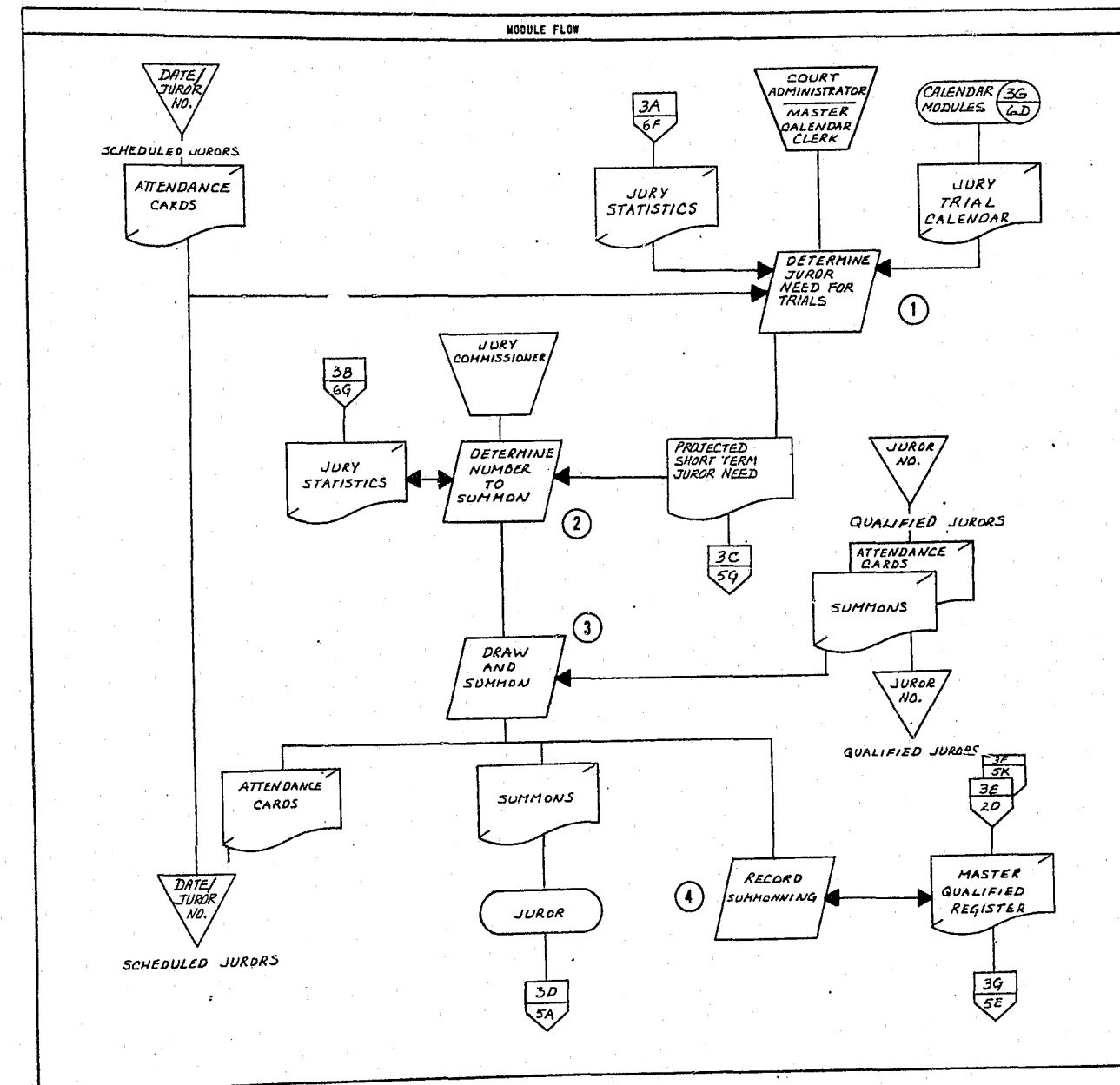


MODULE NARRATIVE

- As the affidavits are returned, they are evaluated according to the state and local criteria established for the qualification of jurors.
- Each returned affidavit is matched with the corresponding packet that remains either from the current potential juror file or the non-respondents to the original affidavit.
- Those jurors deemed qualified have their attendance cards and summons refiled, in random number sequence, in the qualified juror file. A master list is constructed of all qualified jurors for a particular period, once the affidavit deadline is passed. This list serves as the control register for all jurors used in this period.
- Jurors who have not responded to the original affidavit or a follow-up notice, will be identified by the summons and attendance cards remaining in the non-respondent file. Further follow-up action may be optionally taken by the court.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-3-521	MODULE NAME JUROR SUMMONS	LEVEL OF AUTOMATION Manual	PAGE 3 OF 6
MODULE PURPOSE To summon to the court enough jurors to satisfy the jury trial needs of the court			

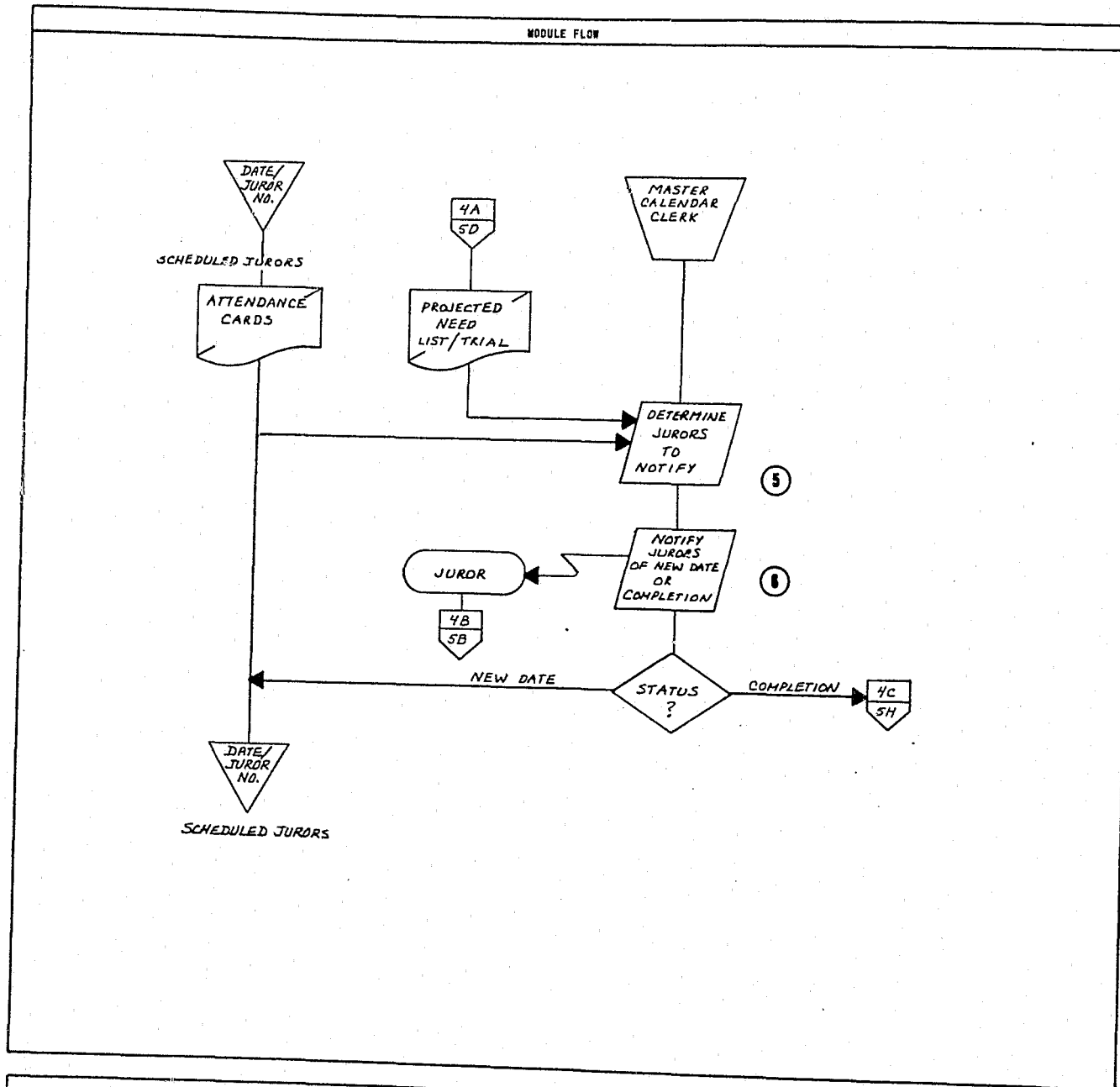


MODULE NARRATIVE

- Personnel within the court determine the number of jurors necessary for each scheduled jury trial. This need is projected through the use of prior juror usage statistics. The projection is then distributed to the Jury Commissioner for the preparation of summons. The required lead time necessary to produce and deliver a summons requires that all jury trials have a date certain at least two weeks prior to trial.
- The Jury Commissioner produces the number of summons necessary to call in the required number of jurors. The number of jurors summoned is dependent upon the number of jurors already scheduled for return and statistics on attendance rates.
- The number necessary for summons are sequentially taken from the Qualified Juror File. The summons have the date and time marked, are removed from the packet, and sent to the juror. The attendance card is refiled by random number within date in the Scheduled Juror File.
- The summoning of each juror is indicated on the Master Qualified Register.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-3-521	MODULE NAME JUROR SUMMONS	LEVEL OF AUTOMATION Manual	PAGE 4 of 6
MODULE PURPOSE To summon to the court enough jurors to satisfy the jury trial needs of the court			



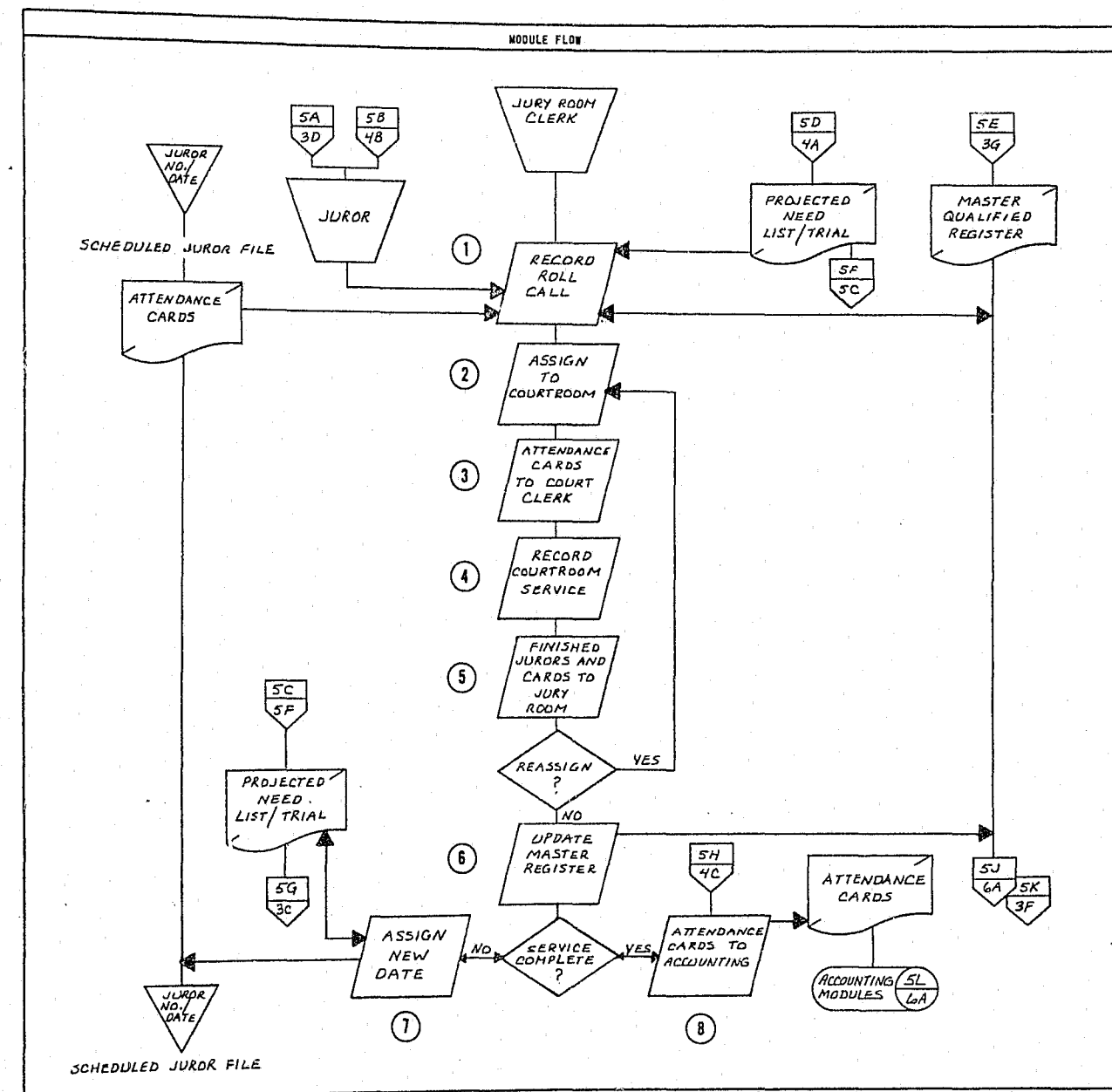
MODULE NARRATIVE

5 During the summoning process, or if jury trials are cancelled less than two weeks prior to trial the excess jurors must be notified to not report for service. The jury need for the concerned date is recalculated with the resulting difference being the number of jurors notified not to report.

6 The attendance cards are sequentially removed from the Scheduled Juror File until the required number have been contacted. Each juror so contacted is immediately reassigned to another trial or, based upon his remaining service commitment, dismissed from service. Those reassigned are replaced in the Scheduled Juror File under their new date.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-5-531	MODULE NAME JUROR ASSIGNMENT AND SERVICE RECORD	LEVEL OF AUTOMATION Manual	PAGE 5 of 6
MODULE PURPOSE To assign jurors to courtrooms for trial and to maintain records of their juror service activity			



MODULE NARRATIVE

1 On their day of service all jurors report to the jury assembly room where the initial roll call is taken and recorded on the individual attendance cards and Master Qualified Register.

2 The attendance cards, still in random number sequence, are sequentially divided into one group for each jury trial.

3 Each group of jurors and the associated attendance cards are sent with the bailiff to the appropriate courtroom. The attendance cards are given to the court clerk.

4 The disposition of each juror is recorded on the attendance card by the courtroom clerk. If a juror is dismissed, he returns to the juror assembly room with his attendance card.

5 If other trials need more jurors, the returning jurors are reassigned as needed.

6 Each day, as the jurors are dismissed, the Master Qualified Register is updated and the juror service records are summarized to accumulate daily service statistics. Attendance cards for those jurors serving on active trials remain with the courtroom clerk until the completion of the trial.

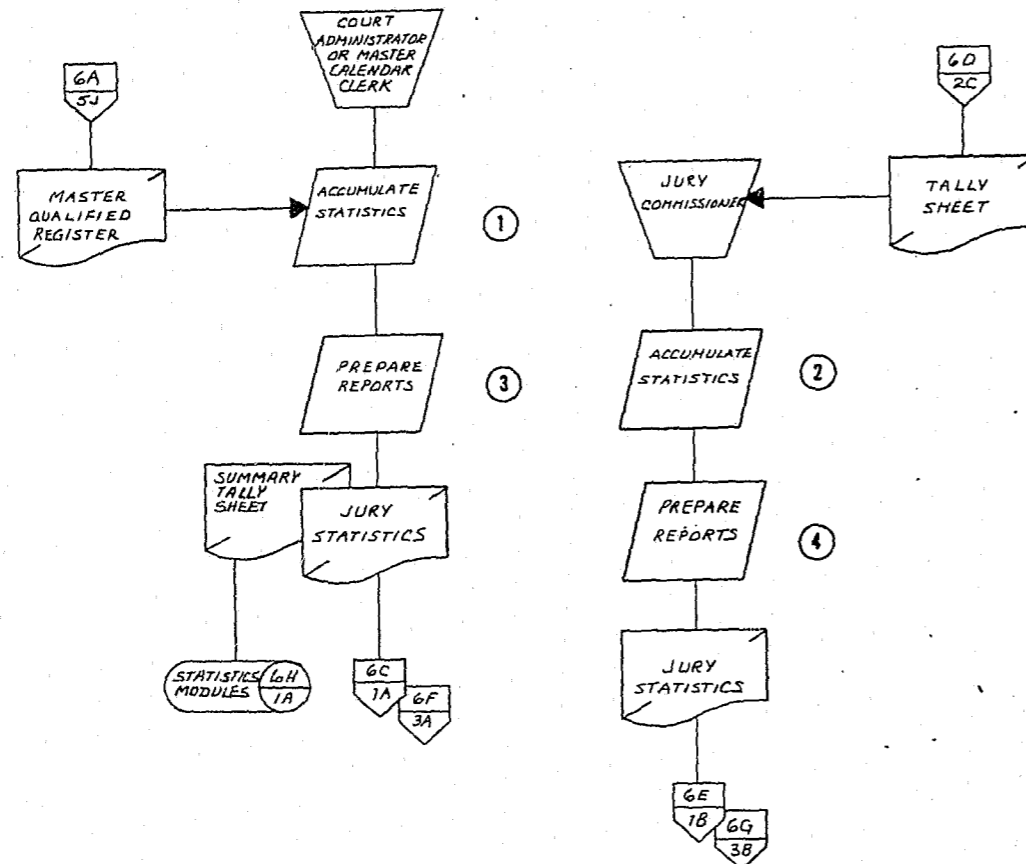
7 For each of those jurors dismissed for the day but with a remaining service commitment, a return date is reassigned at this time. The need list is marked and the jurors attendance cards are filed according to the reassigned date.

8 Each juror completing service has his attendance card marked and sent to the auditor for the issuance of his payroll warrant.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IM-6-541	MODULE NAME JUROR USAGE STATISTICS	LEVEL OF AUTOMATION Manual	PAGE 6 of 6
MODULE PURPOSE To produce statistical reports which can assist the Jury Commissioner and court administration in the management of the jury services function			

MODULE FLOW



FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

MODULE NARRATIVE

1 2 Periodically or as needed, the Master Qualified Register and Tally Sheets serve as the basis for the preparation of jury process statistics.

The Master Qualified Register contains the information necessary to produce the Judicial Council Reports, statistics for the determination of future juror needs, and the statistics necessary to evaluate the effectiveness and efficiency of the juror system. The information in the Master Qualified Register includes:

- Juror attendance data
- Juror usage statistics by trial and type of trial
- Trial, trial cancellation and challenge statistics.

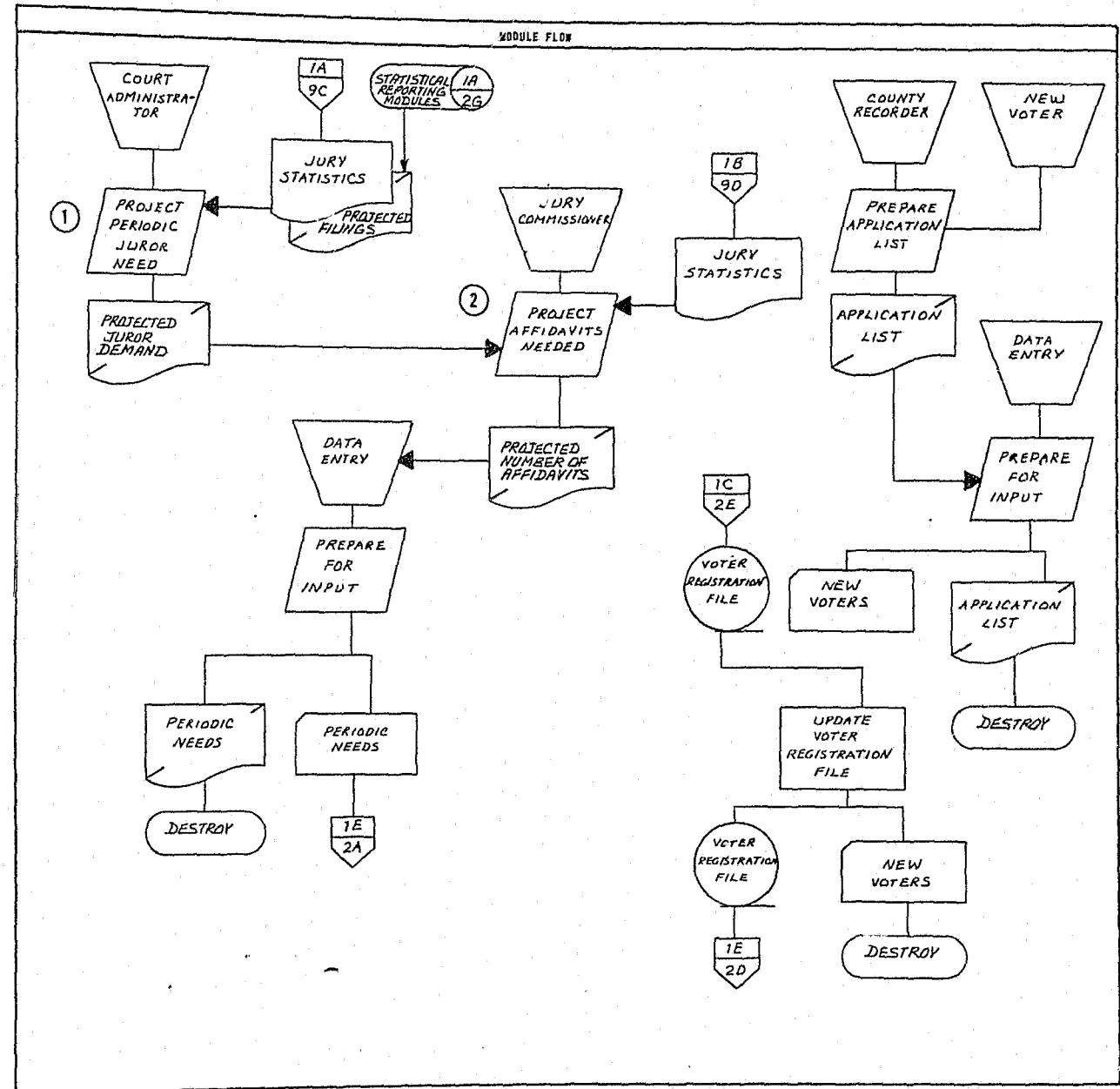
The tally sheets include the following statistics:

- Juror qualification counts
- Response rates to questionnaires and summons.

3 4 From the accumulated statistics, Judicial Council and other reports are produced, distributed, and used as needed.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-1-502	MODULE NAME JUROR SELECTION	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 of 9
MODULE PURPOSE To periodically provide a file of potential jurors which will satisfy the juror needs of the court			



MODULE NARRATIVE

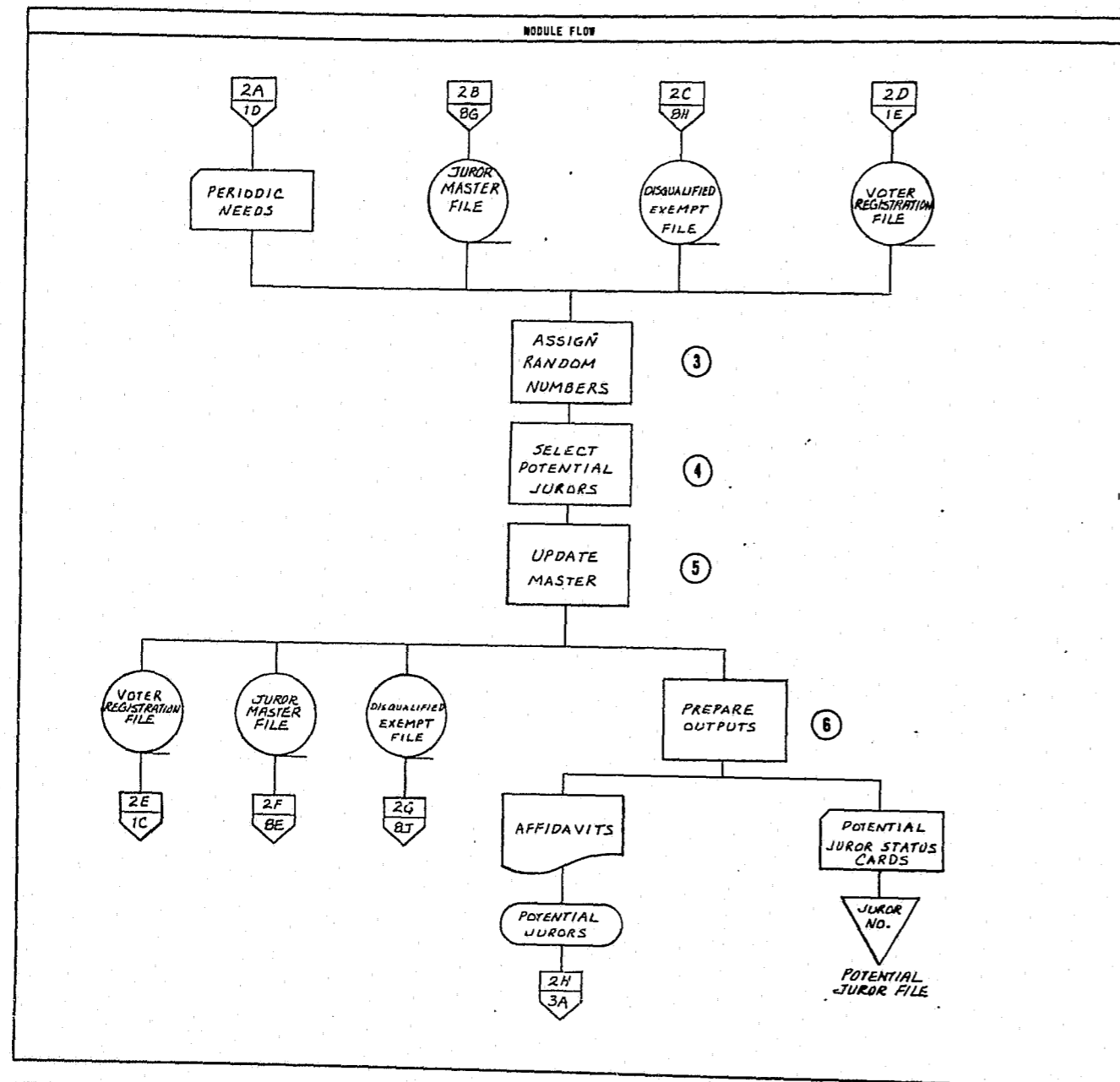
① Juror needs are projected on a periodic basis depending upon the processing cycle of the juror qualification system. For example, if jurors are qualified on a quarterly cycle then the projected juror needs calculation is also performed quarterly.

Based on prior jury trail and juror usage statistics, the court administrative staff prepares a projection of the qualified jurors necessary for the coming period. The projection considers trends in filings, juror absentee, challenge, and usage rates.

② The required number of affidavits necessary to provide enough jurors is based on the courts' projection of juror needs and statistics on prior affidavit response and juror qualification rates.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-1-502	MODULE NAME JUROR SELECTION	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 of 9
MODULE PURPOSE To periodically provide a file of potential jurors which will satisfy the juror needs of the court			



MODULE NARRATIVE

③ The most current voter registration file is used as the source from which potential jurors are selected. Each name on the voter registration list is assigned a random number prior to each period's selection process. Random number assignment is accomplished by a standard random number generator.

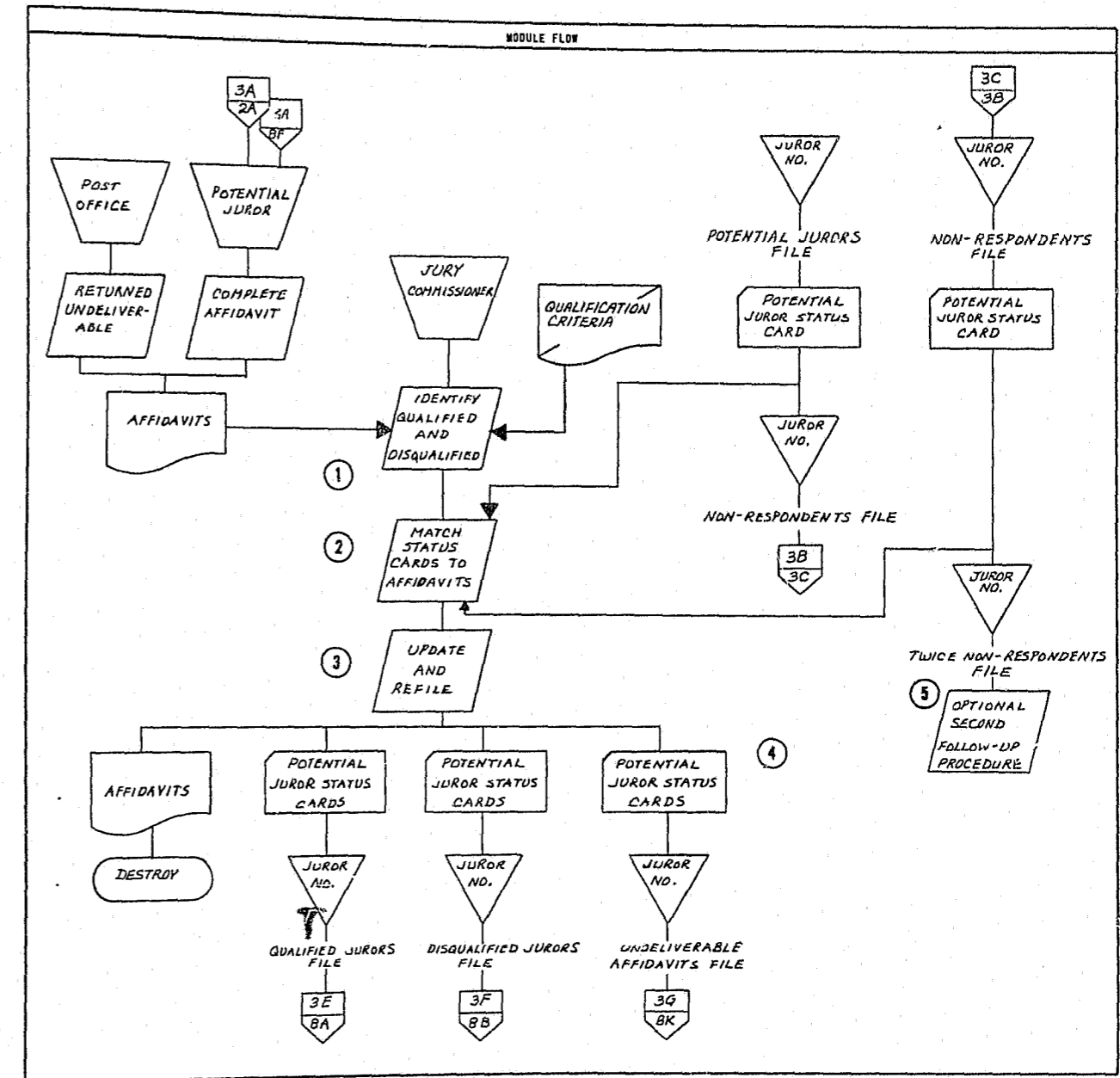
④ The voter registration file is sorted into random number sequence. All jurors currently qualified, serving or exempt by prior service or occupation, are eliminated from this list prior to the sort. Based on the projected juror needs, the first (N) names are selected from the sorted file.

⑤ The group of (N) names are added as a group, in random number sequence, to the end of the master file.

⑥ Affidavits and status cards are produced for each potential juror added to the master file.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-3-512	MODULE NAME JUROR QUALIFICATION	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 of 9
MODULE PURPOSE To determine the status of each potential juror relative to their ability to be certified for service as a juror			



MODULE NARRATIVE

① As the affidavits are completed and returned the Jury Commissioner and his staff decide, on the basis of affidavit response and predetermined qualification criteria, whether this person is qualified to serve as a juror for the coming period.

② The corresponding status card to each returned affidavit is pulled from the potential juror file or the previous periods non-respondent file. The status cards remaining in the potential juror file result from non-respondents to the affidavit. This file then becomes the non-respondent file for the next period. These cards are processed upon the receipt of affidavits as a result of a follow-up notice.

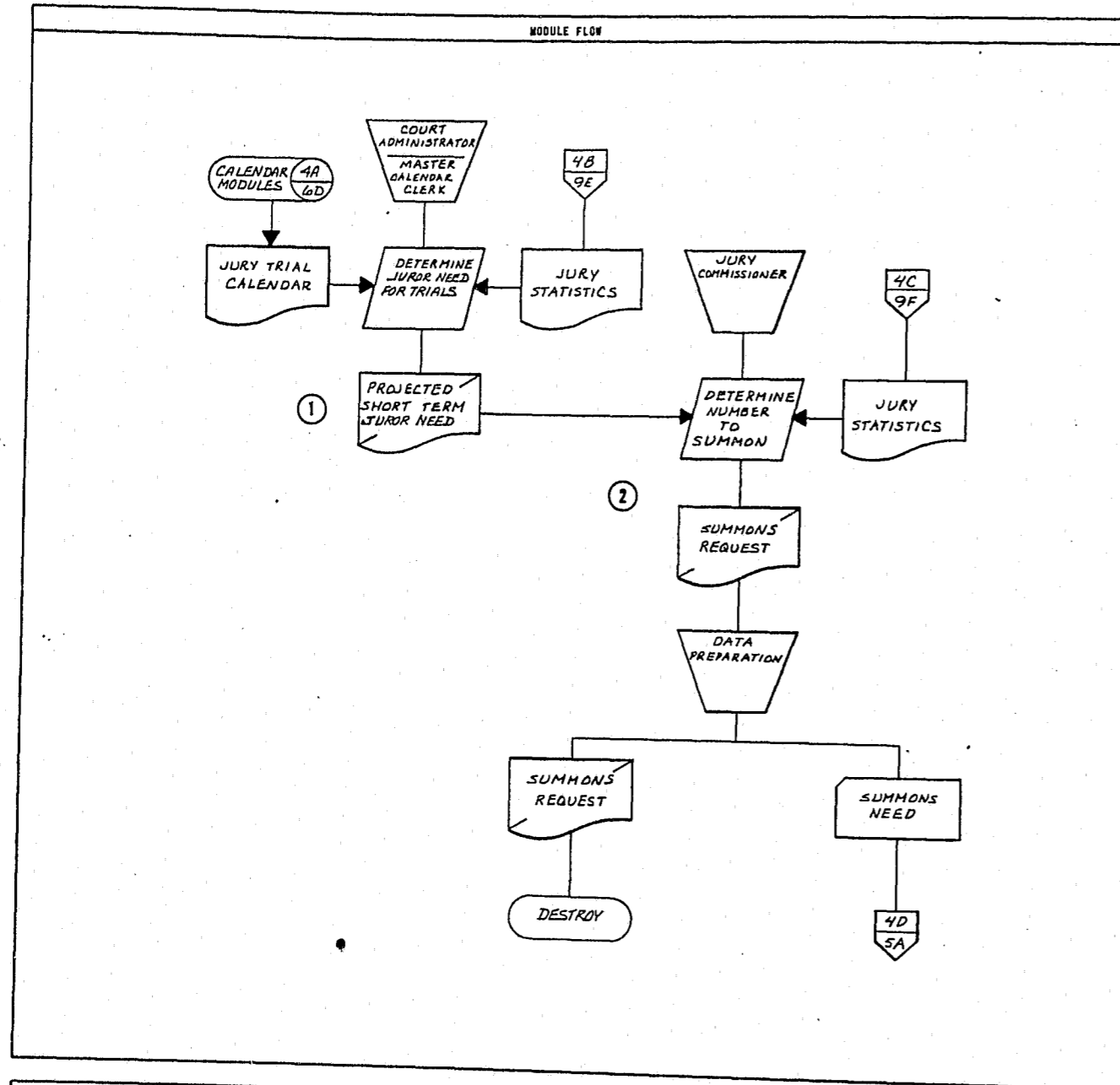
③ The status of respondents is indicated by checking the appropriate box on the status card. Updated juror information and juror preferred service times are also entered for the qualified jurors.

④ The previous non-respondent file consists of status cards for those persons failing to respond to the original affidavit and a follow-up notice. This file could be destroyed, or processed as the individual court desires for additional follow-up purposes.

⑤ Jurors who have not responded to the original affidavit or a follow-up notice, will be identified by the summons and attendance cards remaining in the non-respondent file. Further follow-up action may be optionally taken by the court.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-4-522	MODULE NAME JUROR SUMMONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 OF 9
MODULE PURPOSE To summon to the court enough jurors to satisfy the jury trial needs of the court			



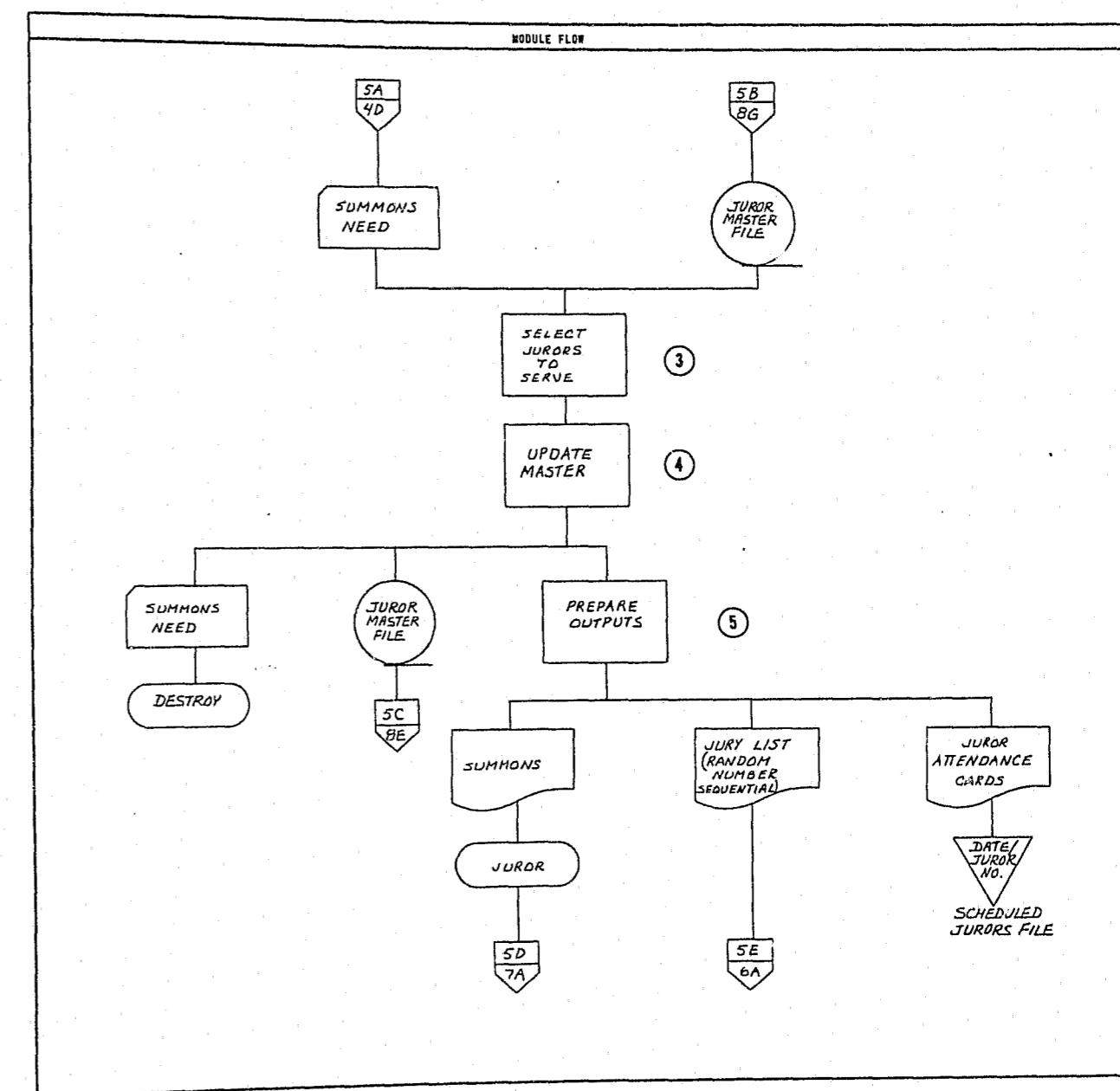
MODULE NARRATIVE

① All jury trials should be scheduled for a date certain two weeks in advance. Based on the jury trial calendar, a projected need for jurors is made. The projection is based on the number of trials, cancellation rates, type of trial and probability of the trial actually occurring. The projected need is based upon the assumption that each juror is summoned for each requested court appearance.

② The Jury Commissioner determines how many jurors to summon based on the number of jurors required for the scheduled trials and statistics on expected absentee rates.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-4-522	MODULE NAME JUROR SUMMONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 OF 9
MODULE PURPOSE To summon to the court enough jurors to satisfy the jury trial needs of the court			



MODULE NARRATIVE

③ Jurors are sequentially selected from the Master file. Selection starts at the beginning of the file and proceeds until enough qualified and available jurors have been selected, based on the projected need. Only those jurors with service and time commitments falling within the constraints of local rules should be selected.

④ The master record for each juror selected for summons is updated to reflect this selection and prevent summoning for another time period.

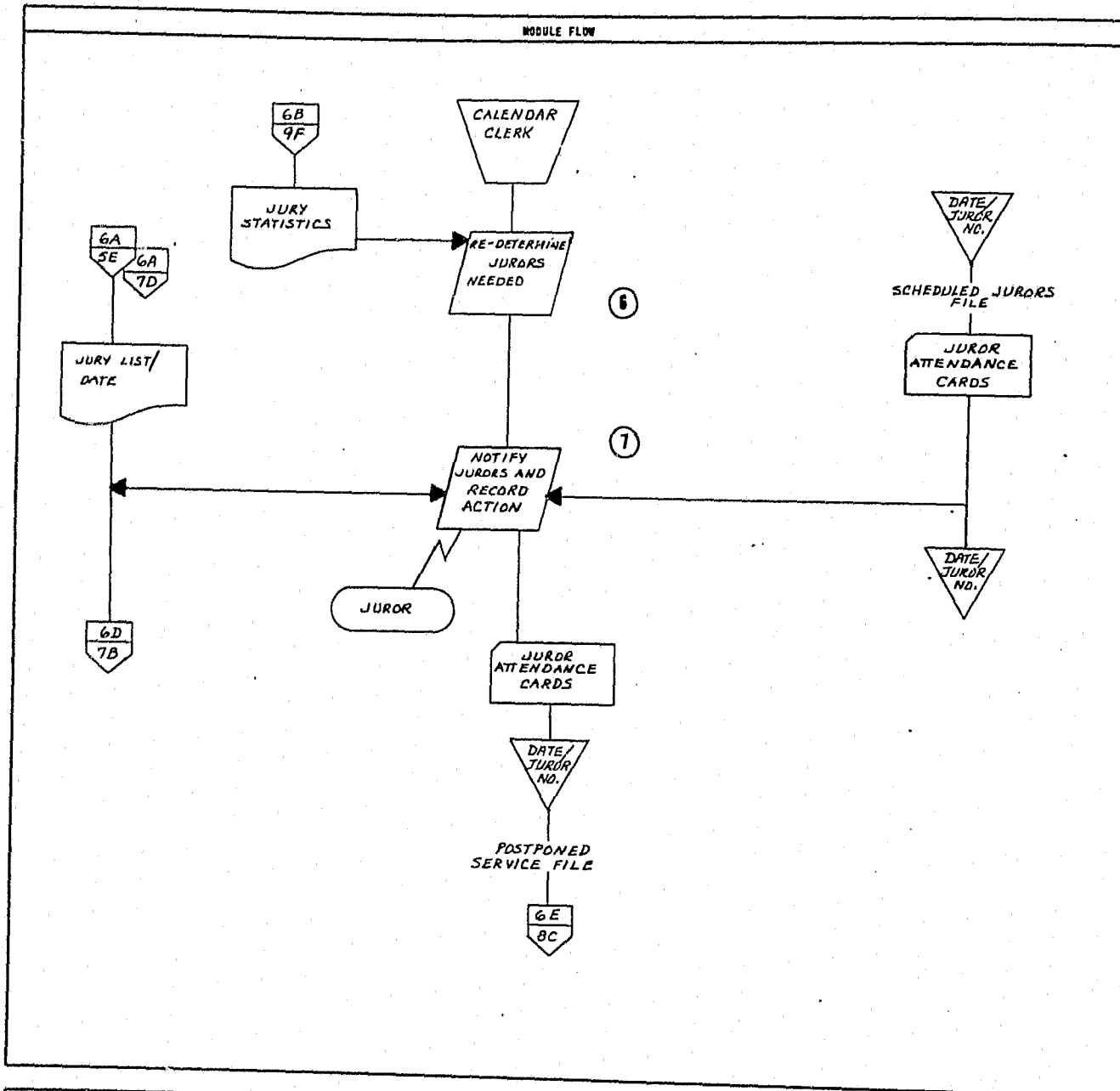
⑤ For each selected juror the following outputs are produced:

- Summons for each selected juror
- Juror attendance card for each selected juror

A master jury list for each juror summoned in this group.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-4-522	MODULE NAME JUROR SUMMONS	LEVEL OF AUTOMATION Sequential Batch	PAGE 6 of 9
MODULE PURPOSE To summon to the court enough jurors to satisfy the jury trial needs of the court			

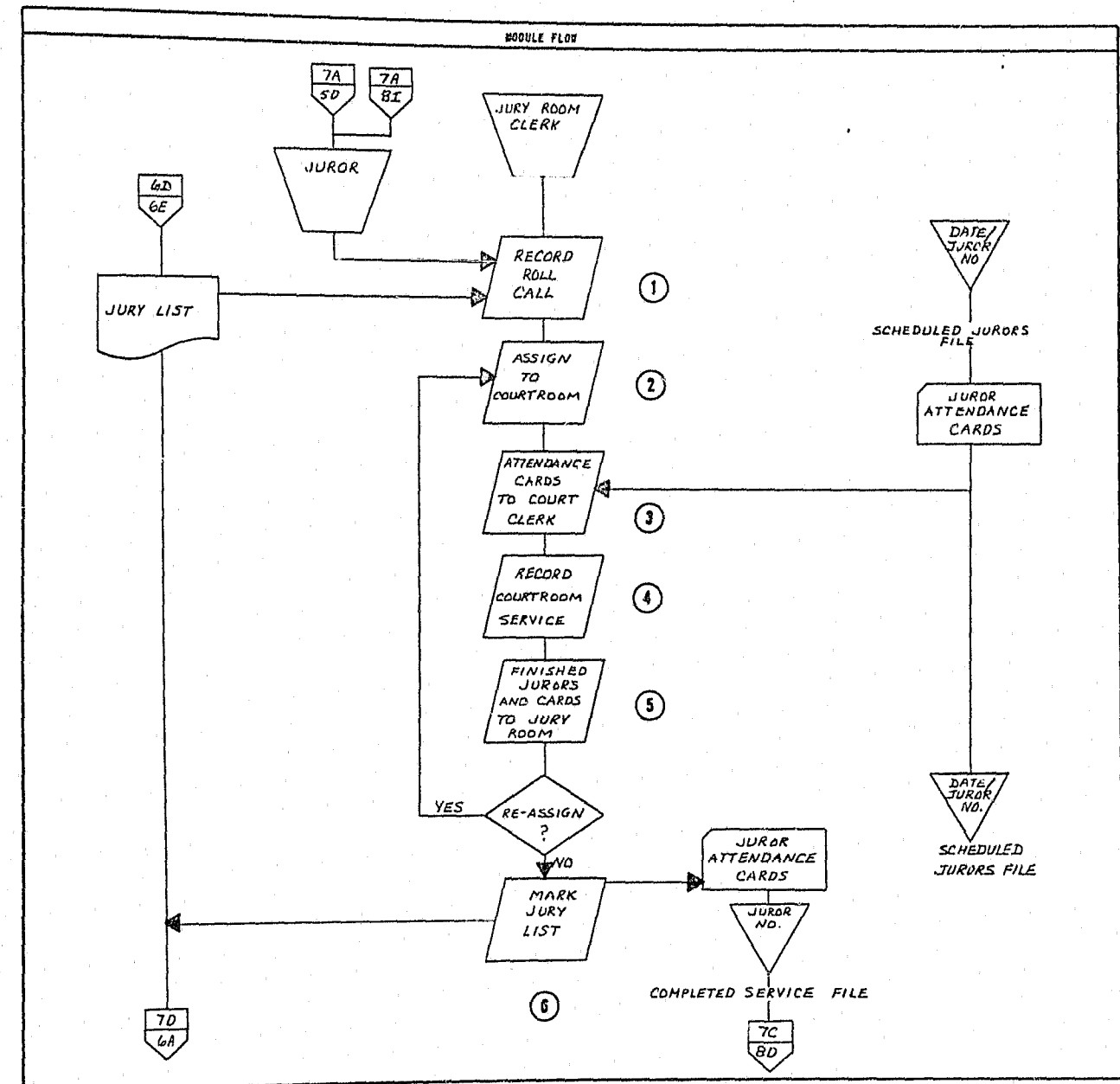


MODULE NARRATIVE

- ⑥ The cancellation of scheduled jury trials requires that the need for jurors as calculated for the summoning process be recalculated. Recalculating the juror need based on updated information allows only those jurors which will be necessary to be called for service.
- ⑦ The difference between those jurors summoned and those now necessary for service has to be contacted and informed of the change. Court personnel sequentially select names from the appropriate jury list and attempt to contact these persons and inform them of the change in service. Names are selected in this manner until the required number of persons have been informed of the cancellation in service.
- The attendance card for each juror so contacted is marked to indicate cancellation. These cards are submitted for updating the master file.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-7-532	MODULE NAME JUROR ASSIGNMENT AND SERVICE RECORD	LEVEL OF AUTOMATION Sequential Batch	PAGE 7 of 9
MODULE PURPOSE To assign jurors to courtrooms for trial and to maintain records of their juror service activity			

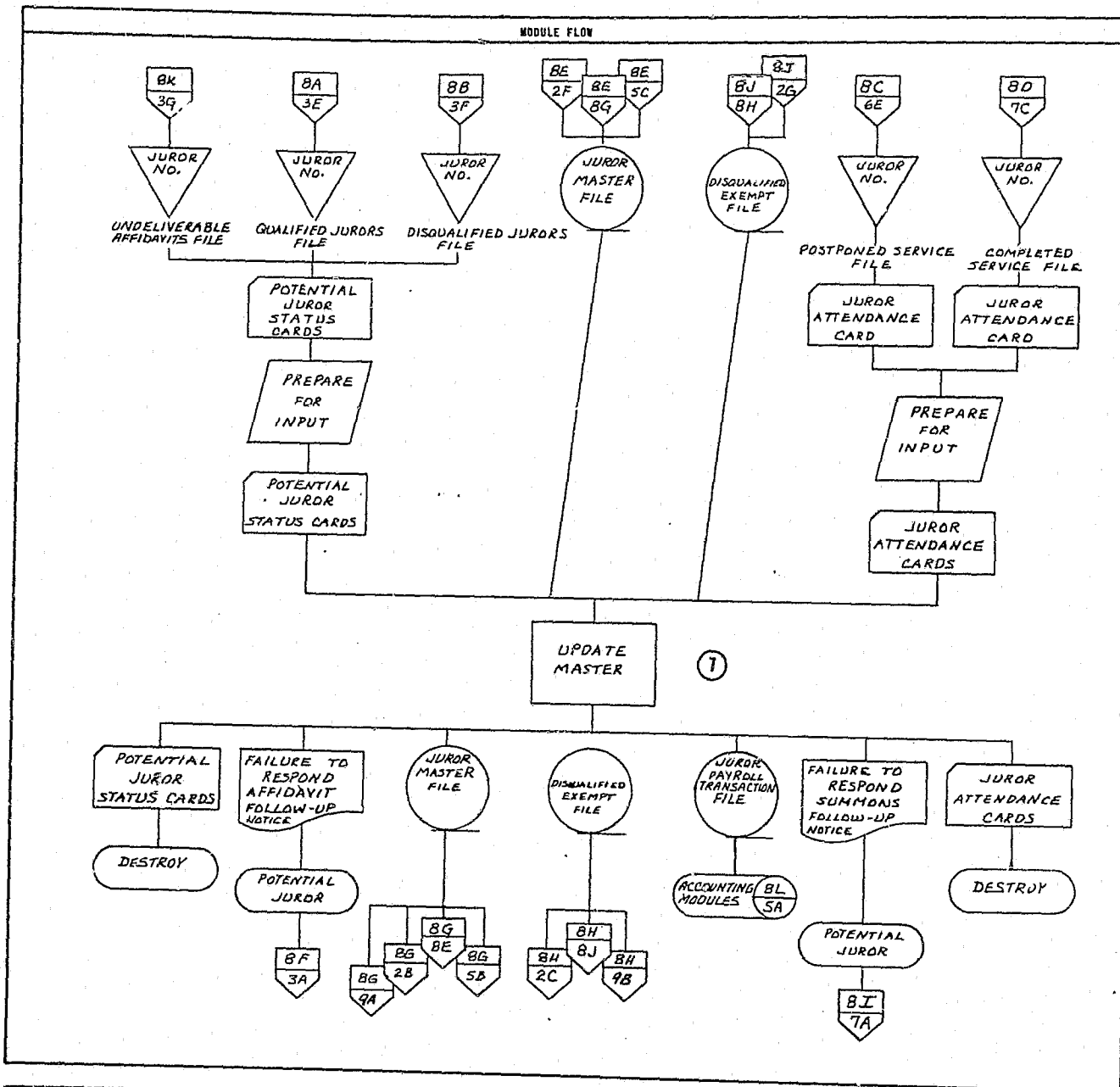


MODULE NARRATIVE

- ① On the day of the trial all jurors are assembled and roll call recorded on the appropriate attendance cards.
- ② Juror attendance cards should be maintained in random number sequence. Based on the number of trials and types, attendance cards are sequentially divided into panels for each trial.
- ③ Each stack of attendance cards, representing a panel, is then assigned to a courtroom. The jurors and their attendance cards are accompanied to the courtroom by the bailiff.
- ④ The courtroom clerk records the disposition of each juror on the appropriate attendance card.
- ⑤ As jurors are dismissed they are accompanied, with their attendance cards, back to the jury assembly room.
- ⑥ Those jurors sent back to the jury assembly room are available for reassignment to any trial requiring more jurors. If the jurors are not to be reassigned they are dismissed. The attendance cards for the dismissed jurors is then filed and prepared for the update module. Attendance cards for those jurors serving on a trial, are maintained by the courtroom clerk until the trial terminates. The jury list is marked to indicate those jurors still serving and those dismissed. This list then serves as a control sheet to prevent the loss or misplacement of attendance cards.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-7-532	MODULE NAME ASSIGNMENT AND SERVICE RECORD	LEVEL OF AUTOMATION Sequential Batch	PAGE 8 of 9
MODULE PURPOSE To maintain up-to-date individual juror records			

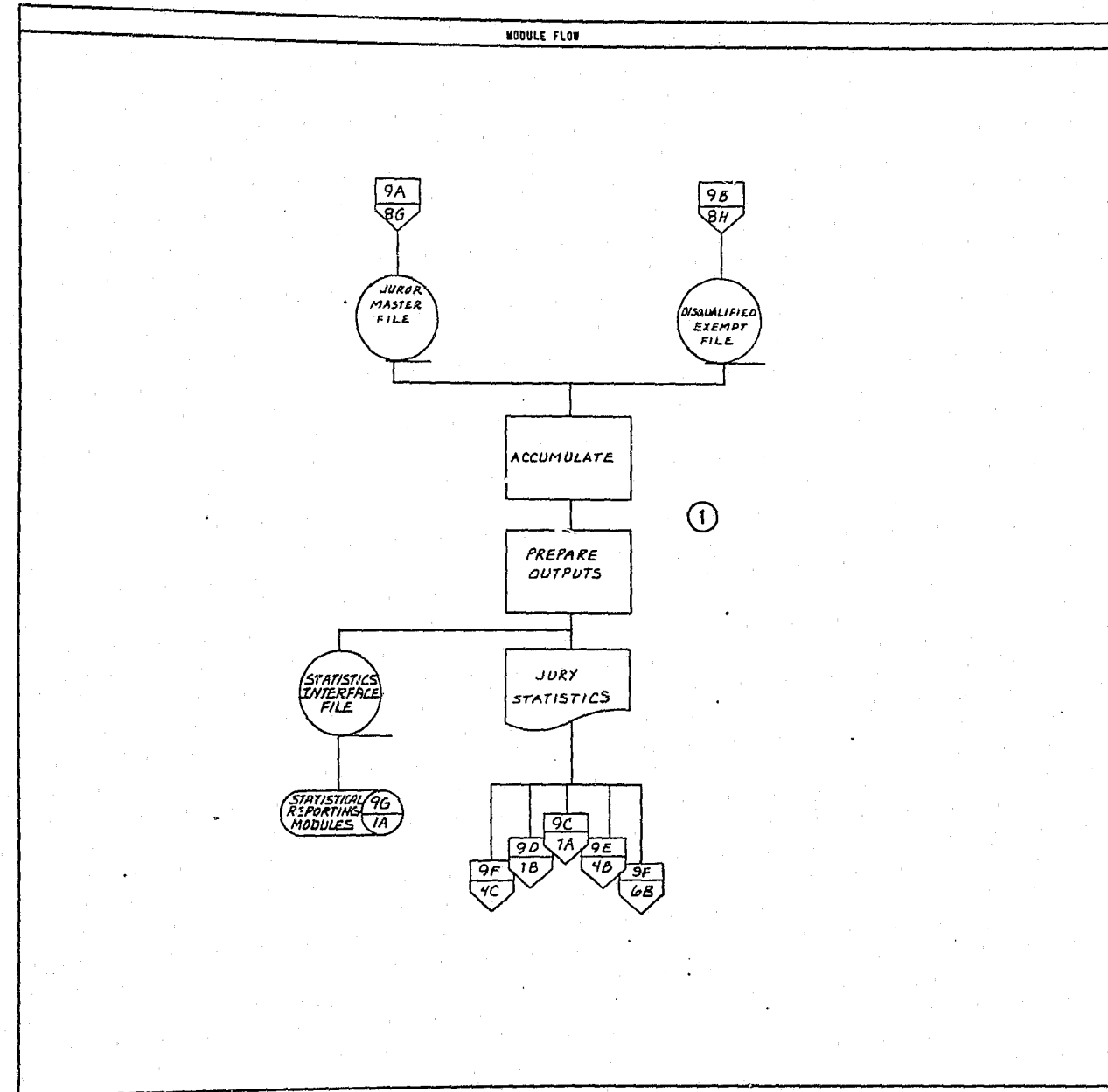


① All updates to the individual juror records are performed by this module. The following activities are performed:

- Potential Juror Status Cards are submitted by the jury commissioner. The individual juror records are updated to indicate their qualification status and changes in personal information. All exempted or disqualified jurors are taken off the master file and added to the disqualification file. Once the deadline for the return of affidavits has passed, followup notices are generated for each potential juror for which no status card was received.
- Juror Attendance Cards are submitted by the court staff and used to update individual juror records. All jurors completing their service commitment either through days of service or length of service are taken off the master file and added to the disqualification file. For each group of jurors completing service a payroll register or payment authorization is produced and submitted to the auditor for the generation of warrants. Attendance records are updated for those jurors with remaining service commitments; these jurors are then available for summons to another trial. If a juror fails to respond to a summons, a second notice is sent and if there is no response to the second notice his name is placed on a delinquency list, sent to the court and processed as desired.

JURY SERVICES
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION IS-9-542	MODULE NAME JUROR USAGE STATISTICS	LEVEL OF AUTOMATION Sequential Batch	PAGE 9 of 9
MODULE PURPOSE To produce statistical reports which can assist the Jury Commissioner and court administration in management of the jury services function			



① At regular intervals or as desired, the following statistics are accumulated from the master file and disqualification file:

- Affidavit response rates
- Qualification rates
- Exemptions by type
- Attendance rates
- Juror usage rates
- Comparative charts on each of the above rates to past rates
- Juror usage characteristics by trial type
- Projections of future juror needs and costs based on current trends.

The above statistics are useful to the court and jury commissioner as a basis for juror projections and as a monitor on the jury process.

Judicial Council Reports are also produced at periodic intervals to meet the reporting requirements.

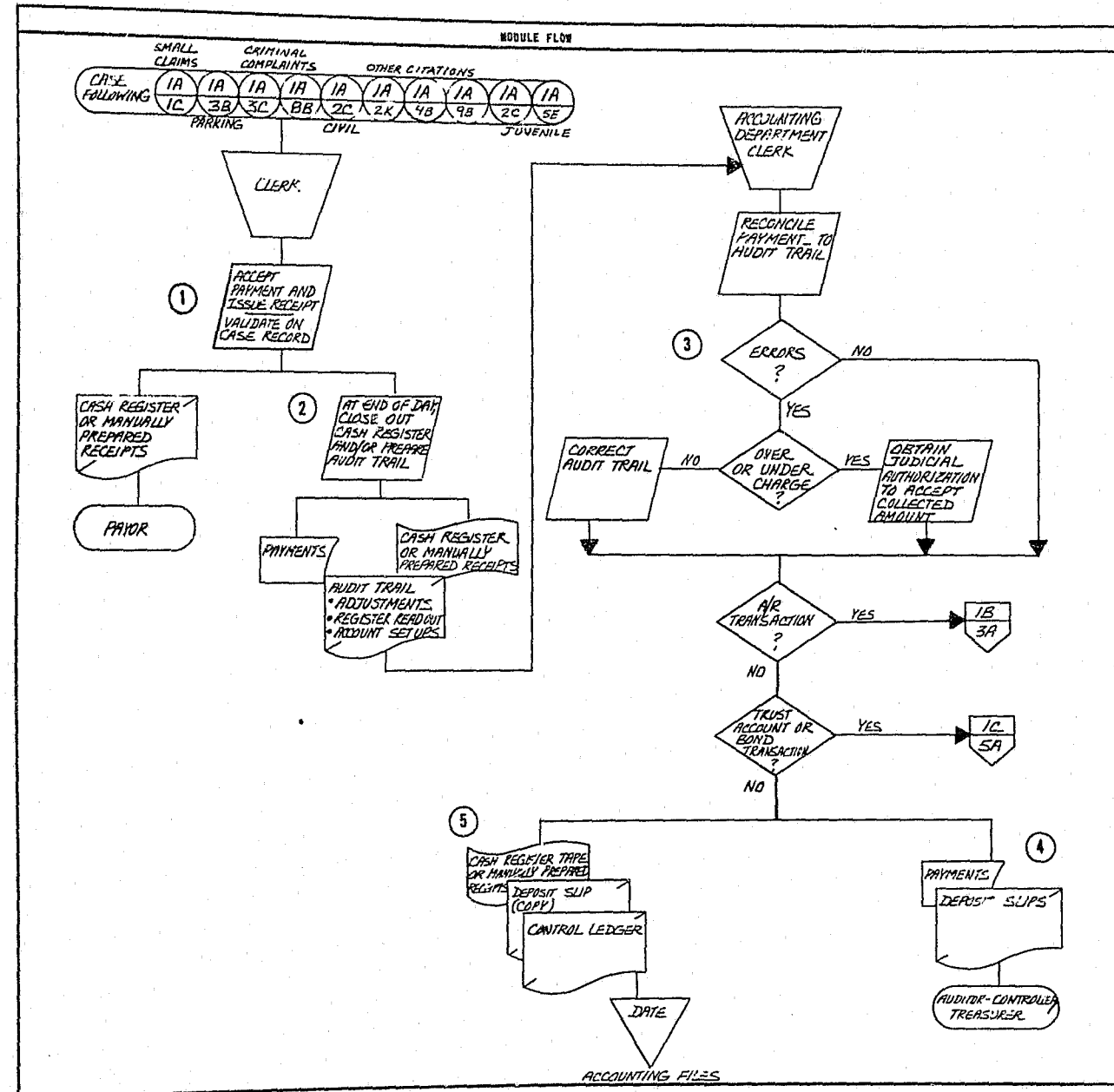
APPENDIX J

FINANCIAL ACCOUNTING MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-1-601	MODULE NAME ACCOUNTING FOR FINES, SERVICE FEES AND FORFEITURES	LEVEL OF AUTOMATION Manual	PAGE 1 OF 6
MODULE PURPOSE To prepare the daily and periodic accounting reports required to audit and distribute cash intake			



MODULE NARRATIVE

① During the day, payments are collected for one-time and installment fines or court-ordered payments, service fees and bail forfeitures.

In most courts, a cash register tabulates the distribution of the collected monies into the register's internal counters, and prepares receipts and an audit trail. As such, multiple entries on the cash register are normally required for a single payment.

② At the end of the day, the cash register is "read out" and the payments are reconciled with the audit trail.

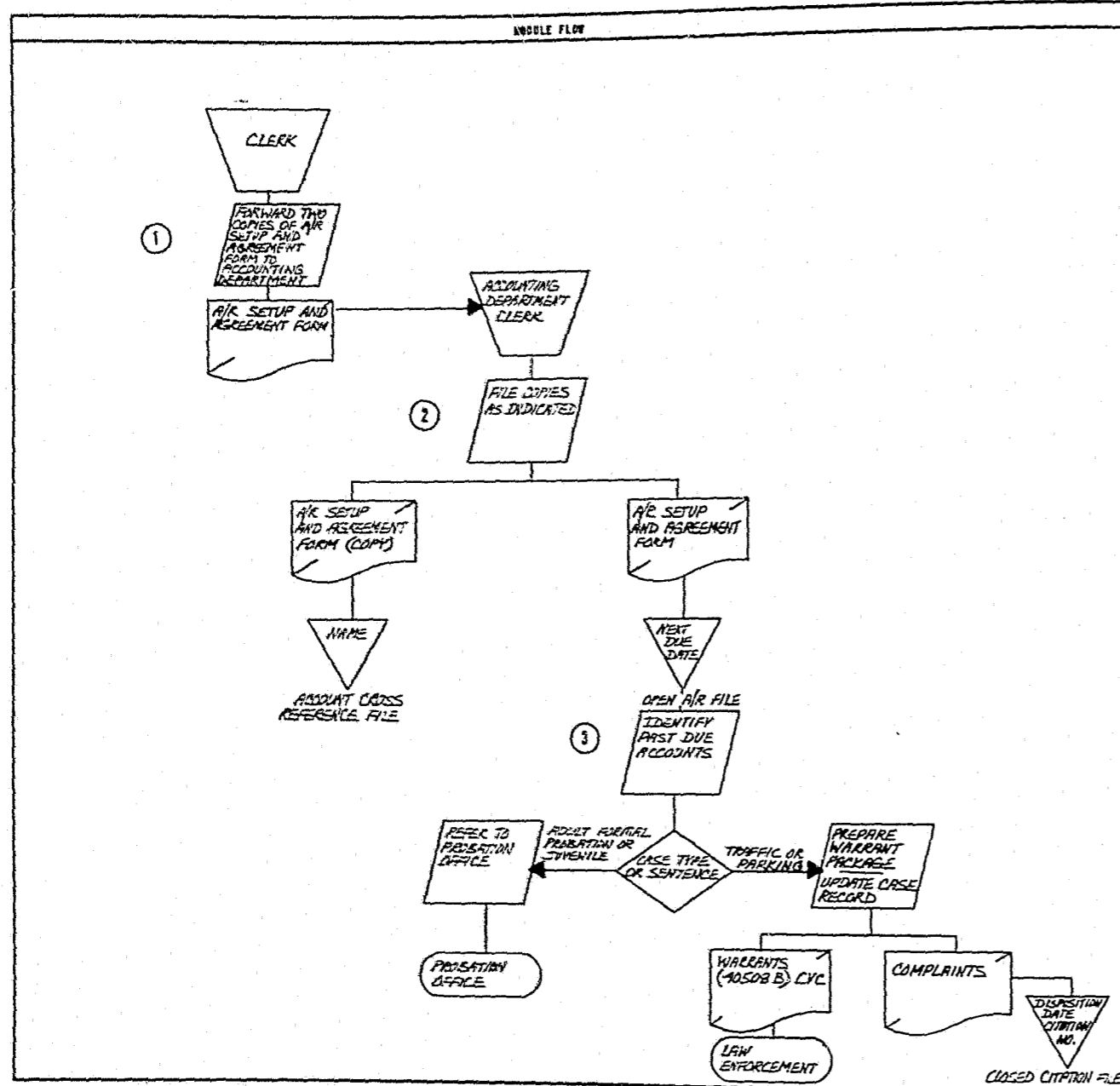
③ Any errors are rectified by either correcting the audit trail or obtaining judicial approval to accept the over or under charge.

④ Deposit slips are prepared and are forwarded with the payments to the auditor-controller. Additional copies of the deposit slips may be forwarded to other county departments as well.

⑤ Bulk entries are made in the control ledger to distribute the payments to the various general trust accounts maintained on behalf of the state and local agencies sharing in the collections.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-2-611	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION Manual	PAGE 2 OF 6
MODULE PURPOSE To establish receivable accounts for court-imposed installment payments and to identify those in arrears			



MODULE NARRATIVE

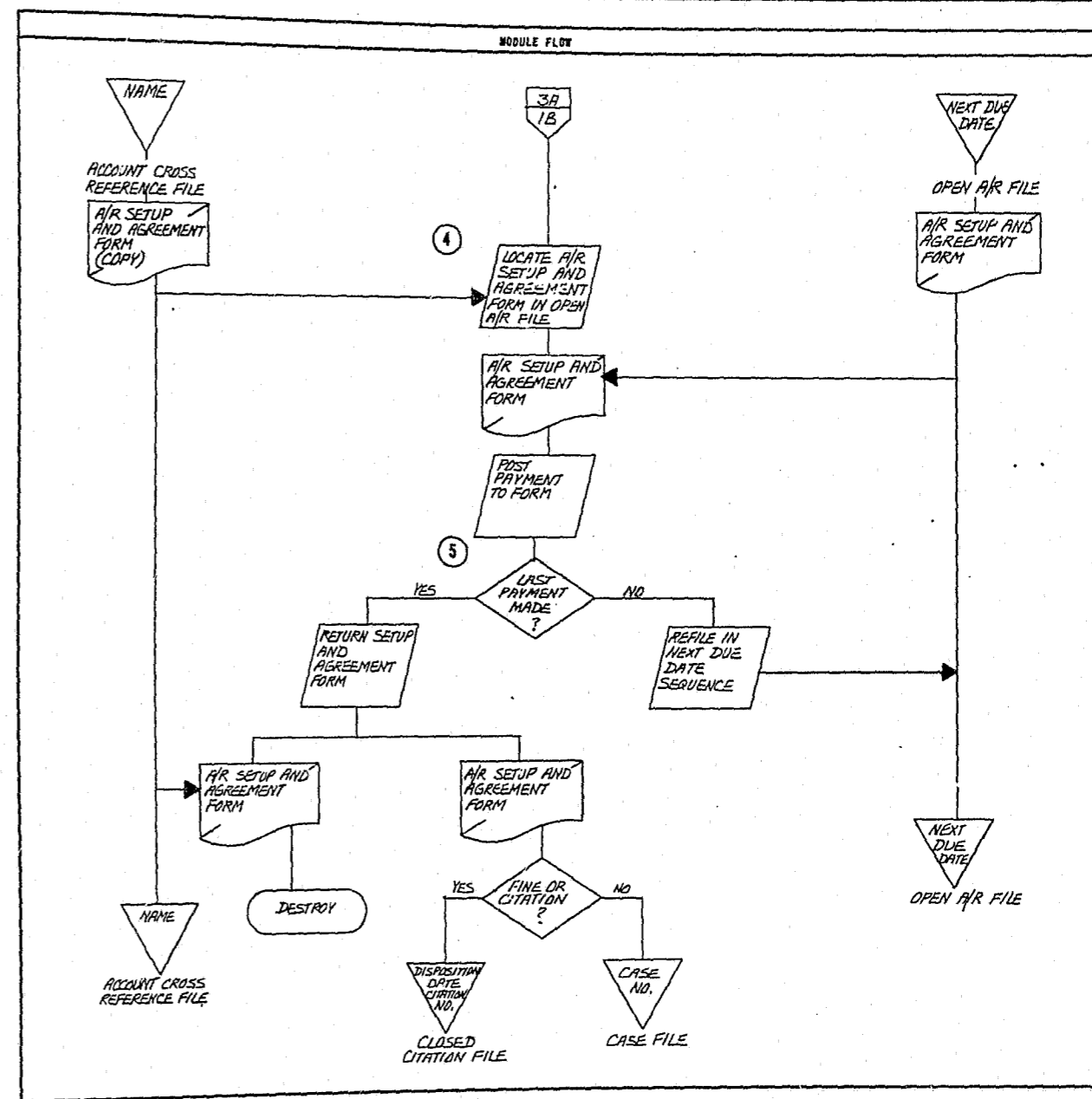
① Subsequent to the imposition of an installment fine or other court-ordered installment payment, the clerk forwards two copies of the A/R Setup and Agreement Form to the accounting division.

② The accounting clerk files one copy of the form in name sequence to serve as an account cross reference, and a second copy in next payment due date sequence to record the submittal of payments and to age accounts in arrears.

③ A/R Setup and Agreement Forms are pulled from the Open A/R File when they are past due. A check is made against the case record to verify that a payment validation was not made for the past due amount. Accounts of juveniles and adults on formal probation are referred to the probation office. Warrant packages and complaints are prepared for persons subject to provisions of Section 40508B CVC. Any other account in arrears is subject to the issuance of a bench warrant.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-2-611	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION Manual	PAGE 3 OF 6
MODULE PURPOSE To accept installment payments on receivable accounts			



MODULE NARRATIVE

④ As installment payments are received, they are posted to the A/R Setup and Agreement Form located by next payment due date in the Open A/R File.

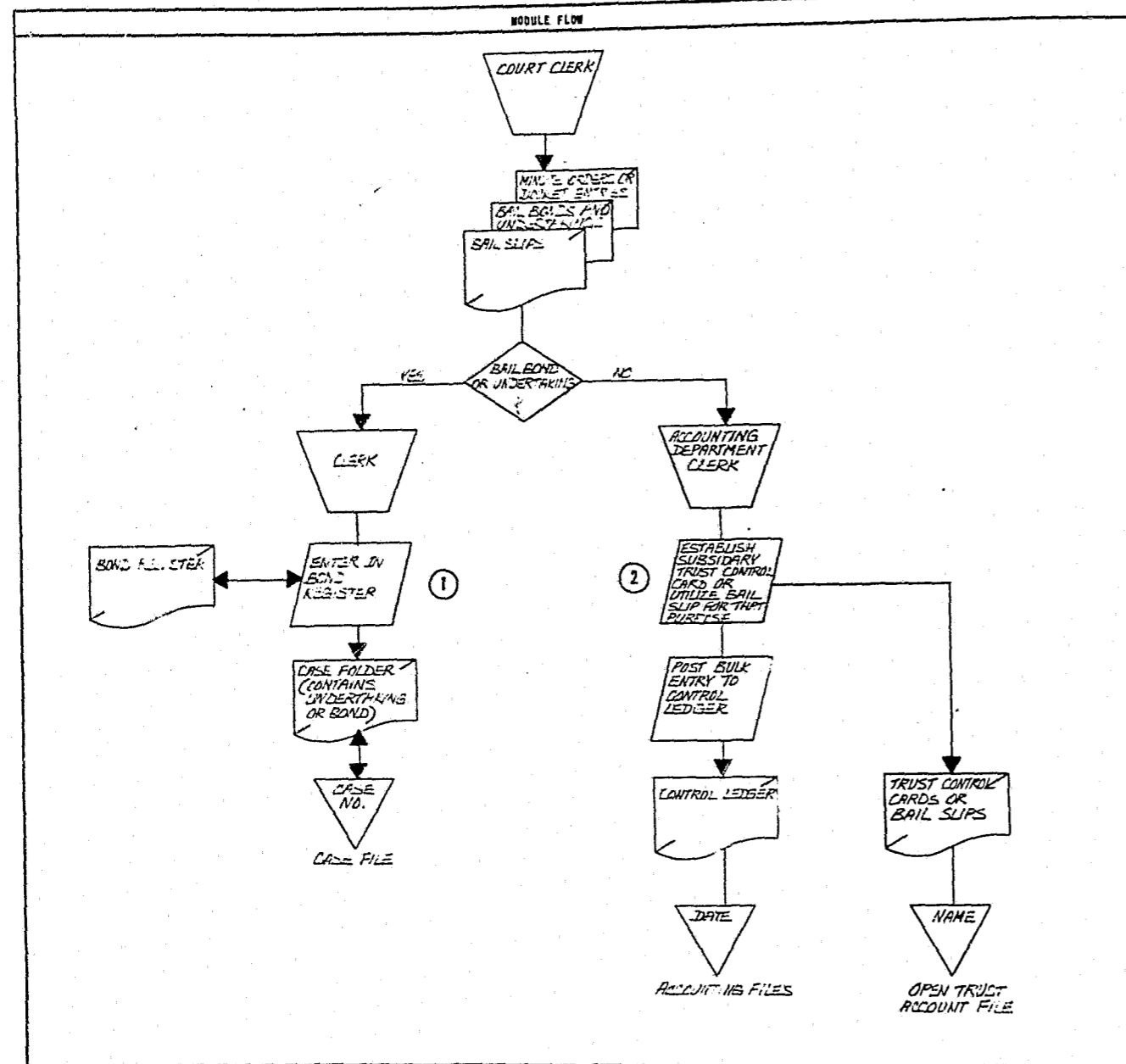
In order to locate the Form, the clerk may refer by payor name to the copy in the Account Cross Reference File.

⑤ Prior to the submittal of the final installment, the Form is refiled in the Open A/R File under the next payment due date.

After the last payment is made, the Form is filed with the rest of the case material and the cross reference copy is destroyed.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-4-621	MODULE NAME BAIL, BOND AND TRUST ACCOUNTING	LEVEL OF AUTOMATION Manual	PAGE 4 of 6
MODULE PURPOSE To establish bail, bond and trust accounts			



MODULE NARRATIVE

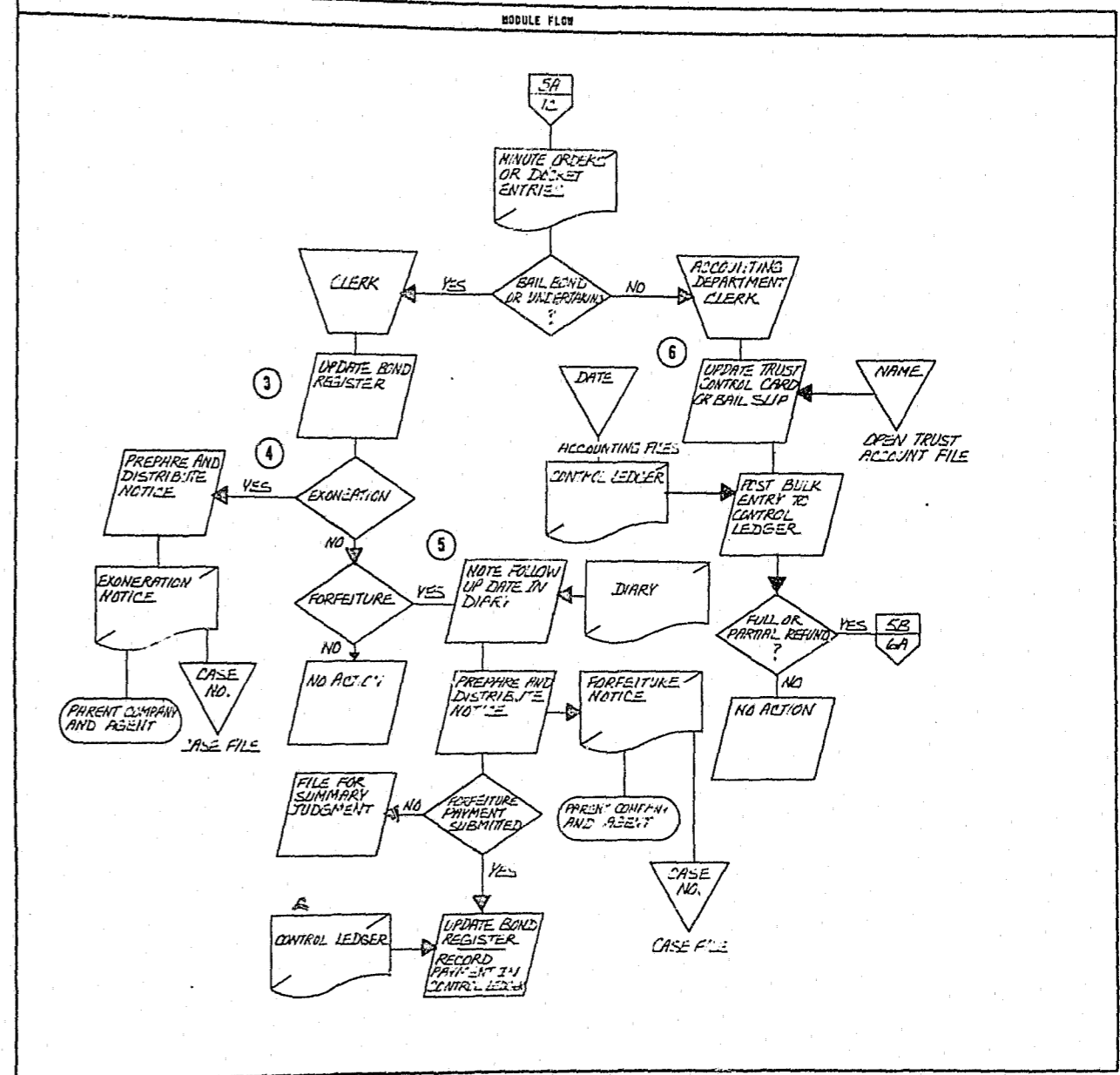
① Bail bonds and undertakings submitted to the court are recorded in a bond register. The original documents are filed in the case folder.

② When bail or other monies are accepted in trust by the court, a subsidiary ledger by individual is maintained in the form of trust control cards or bail slips. Bulk entries by trust account type are made in the control ledger at the end of each day.

Note that general trust accounts are also established and maintained by the Fines, Service Fees and Forfeitures Module for "revenue" collections.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-4-621	MODULE NAME BAIL, BOND AND TRUST ACCOUNTING	LEVEL OF AUTOMATION Manual	PAGE 5 of 6
MODULE PURPOSE To maintain bail, bond and trust accounts from activity entries made by the court			



MODULE NARRATIVE

③ As court actions take place, the bond register is updated.

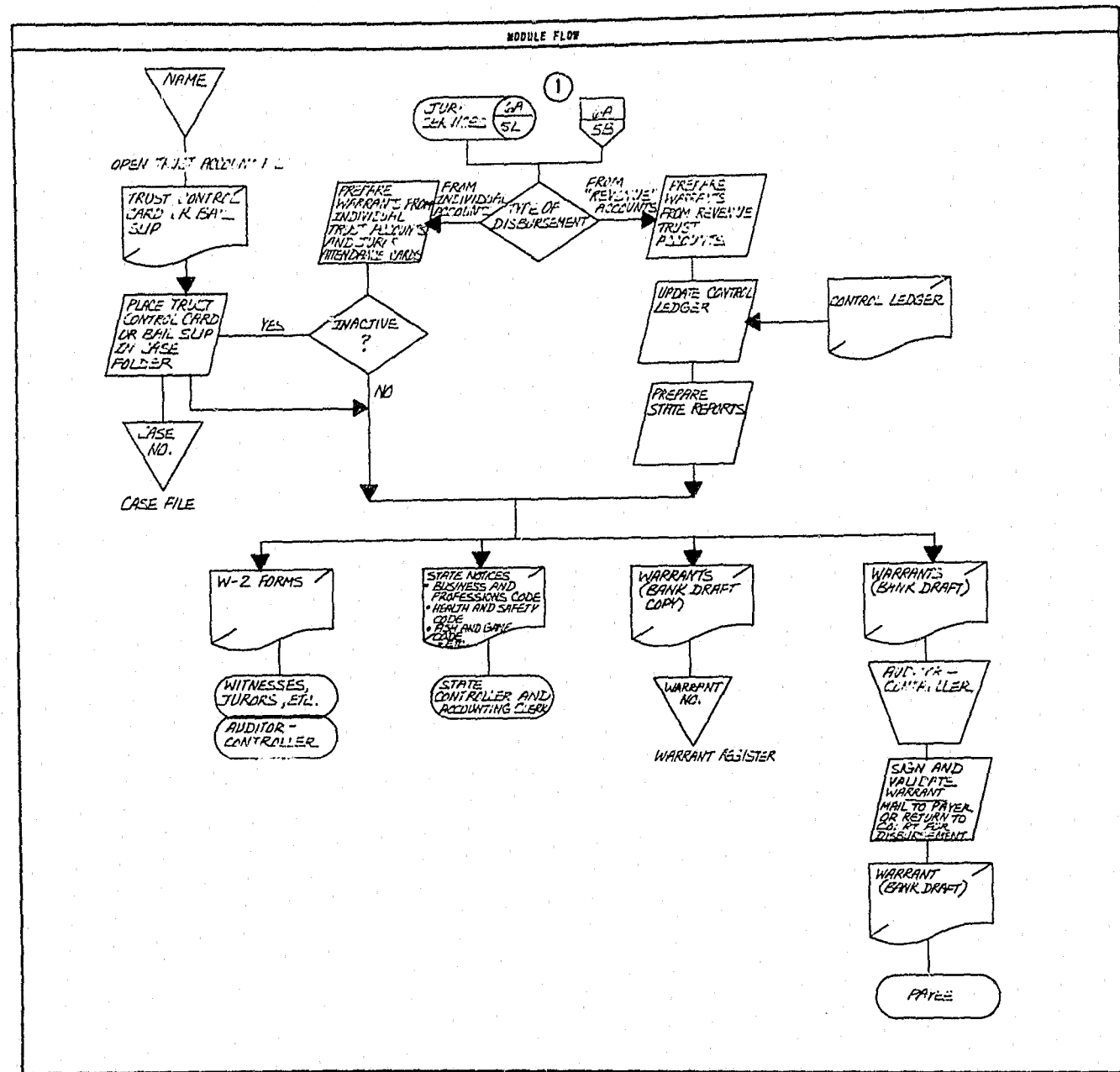
④ If the court orders a bond exonerated, a notice of exoneration is also prepared and forwarded to the bonding company and agent. A copy of the notice is placed in the case folder.

⑤ If the court orders bond forfeiture, a notice of forfeiture is forwarded to the bonding company and agent and a follow up date is noted in a diary for 180 days hence. By that time, either the defendant appears or the bonding company must submit the surety amount (or be subject to civil penalties). This amount is then posted to the general trust accounts in the control ledger.

⑥ If the court orders a partial or full refund, the individual trust account is updated and a refund is generated. If the court earns all or any part of the monies held in trust, as with fines imposed when bail is posted, a transfer entry is made from the individual to the general trust accounts.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JM-6-631	MODULE NAME DISBURSEMENTS	LEVEL OF AUTOMATION Manual	PAGE 6 OF 6
MODULE PURPOSE To issue warrants or vouchers for bail refunds and payments from trust accounts to individuals and to the state and local governmental agencies sharing fine and forfeiture revenues			



FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

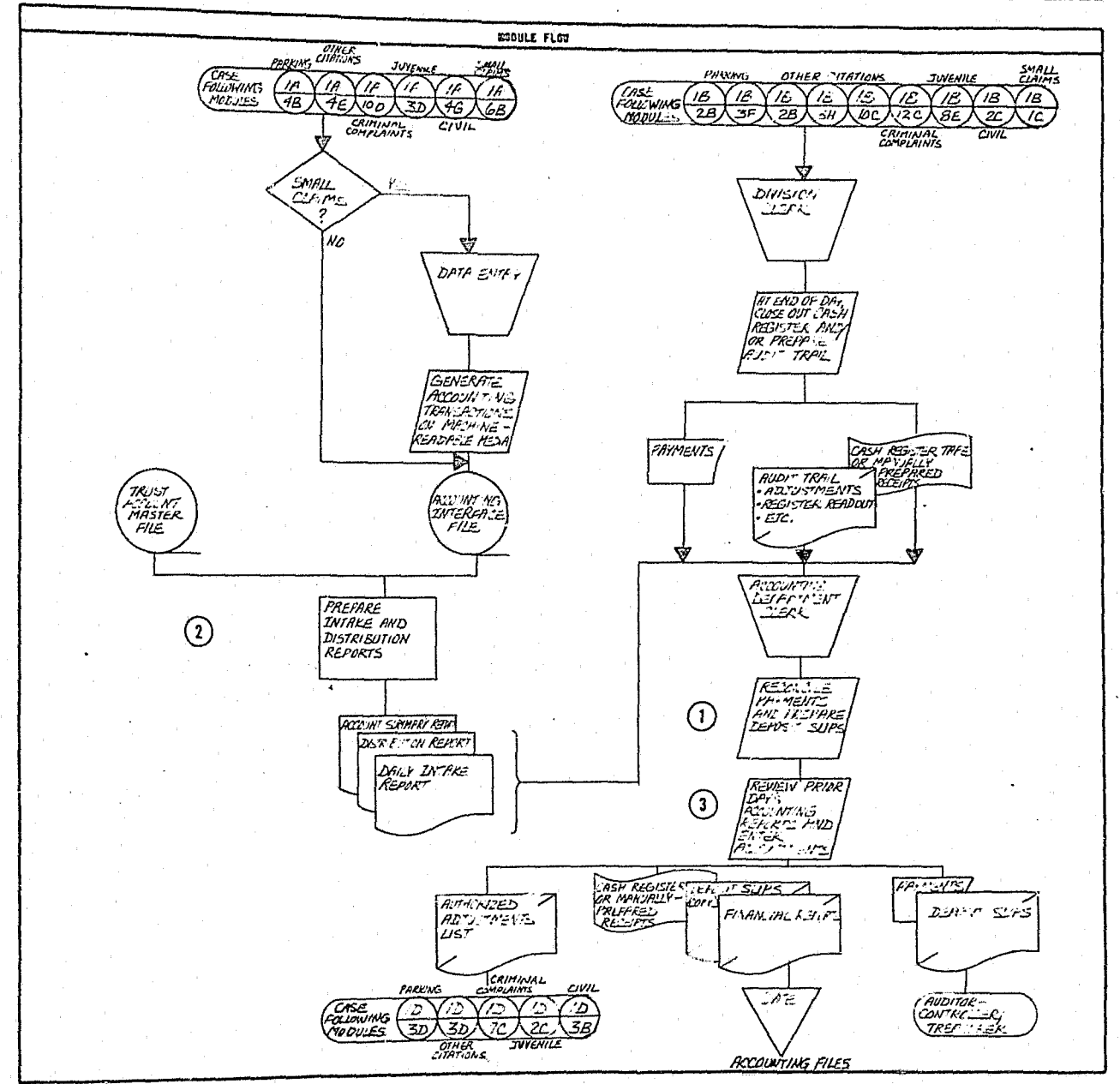
① The Disbursements Module issues warrants (bank drafts) for payments to jurors, refunds of cash bail and other monies held in trust, distributions of fine, service fee and forfeiture income to city, county, and state funds, and makes payments to court-appointed witnesses and attorneys.

In order to maintain proper fiscal control, all warrants (bank drafts) are forwarded to the auditor-controller for review and authorizing signature.

Person-oriented accounts (e.g., witnesses and jurors) are controlled by name. Social security number is also retained in order to facilitate preparation of W-2 forms at year end.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JS-1-602	MODULE NAME ACCOUNTING FOR FINES, SERVICE FEES AND FORFEITURES	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 of 5
MODULE PURPOSE To prepare the daily and periodic accounting reports required to audit and distribute cash intake			



MODULE NARRATIVE

① During the day, payments are collected at the counter and adjustments are noted for correcting recording errors. (Each correcting entry on the list must be initialed by a supervisor.) The source distribution code is entered at case initiation time so that fund distributions can be performed by the automated system.

At the end of the day, the payments are forwarded with the audit trail to the accounting division. The cash is then reconciled to the audit trail and any adjustments are noted. Deposit slips are prepared and forwarded to the auditor-controller with the payments.

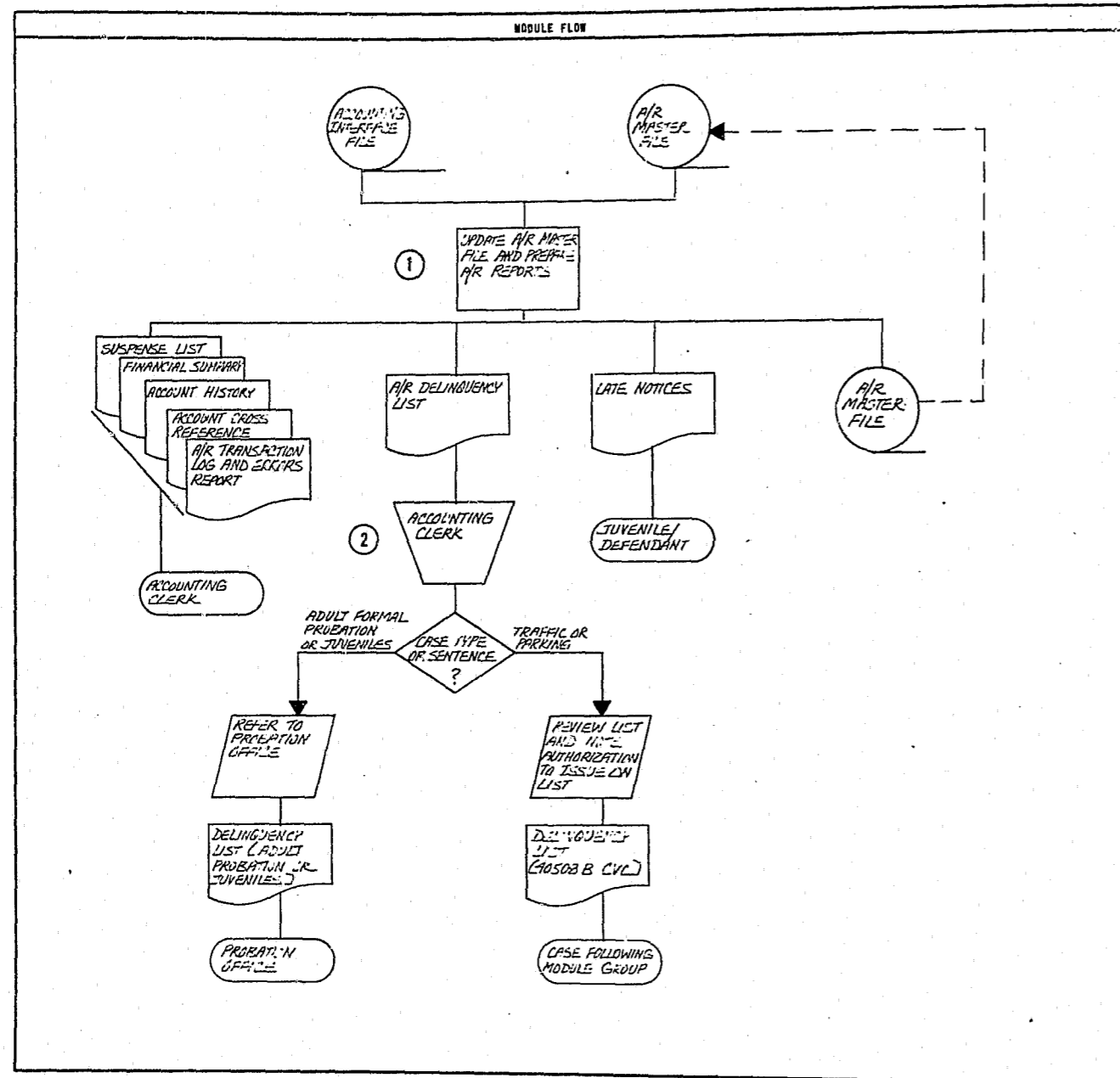
② The next morning, the accounting division receives the reports shown, which recap the previous day's financial activity, and which distribute the revenues to the appropriate accounts.

③ The Daily Intake Report is reviewed and its check totals are verified. Any required adjustments to the previous day's reports are included on the current day's Accounting Adjustments List.

Monthly, a cumulative Distribution Report is prepared from which warrants (bank drafts) are drawn in favor of the various city, state and county funds participating in service fee, fine and forfeiture revenue distribution.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JS-2-612	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 of 5
MODULE PURPOSE To establish receivable accounts for court-imposed installment payments and to identify those in arrears			



MODULE NARRATIVE

① Each installment account is set up, adjusted and credited from transaction records located on the Accounting Interface File. Account history and all transactions affecting the account is maintained on the A/R Master File.

Each person is assigned an account number (social security number) so that all receivable activity affecting that person is centrally located and available in a single reference to account history.

An Account Cross Reference is prepared to locate account number when the case number is known.

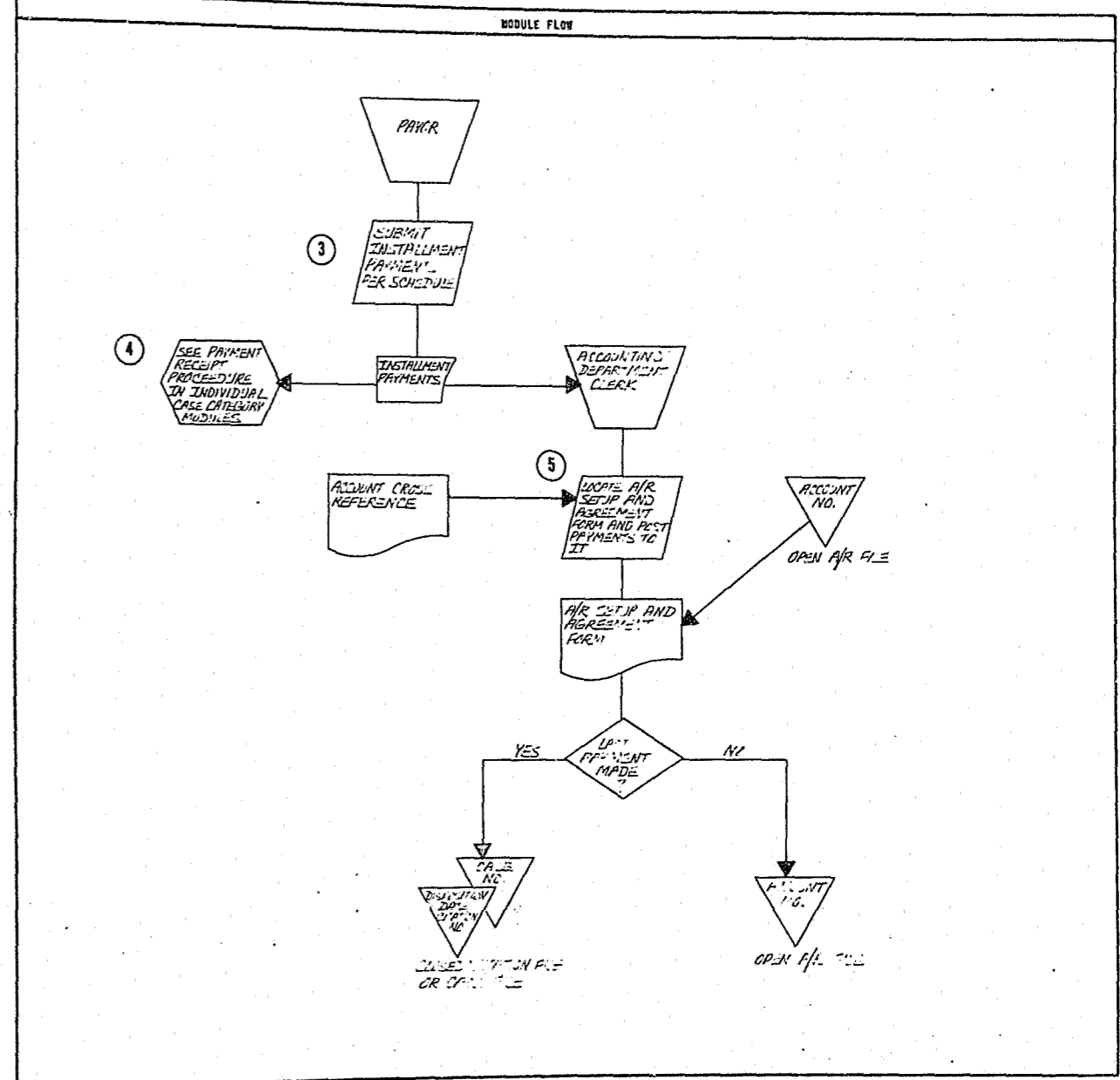
This procedure facilitates the centralized collections concept on a countywide basis.

② Accounts in arrears are listed on the A/R Delinquency List. Juvenile accounts and accounts of persons on formal probation that are in arrears are printed separately, and are forwarded to the probation office for action.

Arrest warrants are prepared by the computer for those persons chargeable under 40508B of the California Vehicle Code. See the procedure described in the appropriate Aging and Purging Modules.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JS-2-612	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION Sequential Batch	PAGE 3 of 5
MODULE PURPOSE To accept installment payments on receivable accounts			



MODULE NARRATIVE

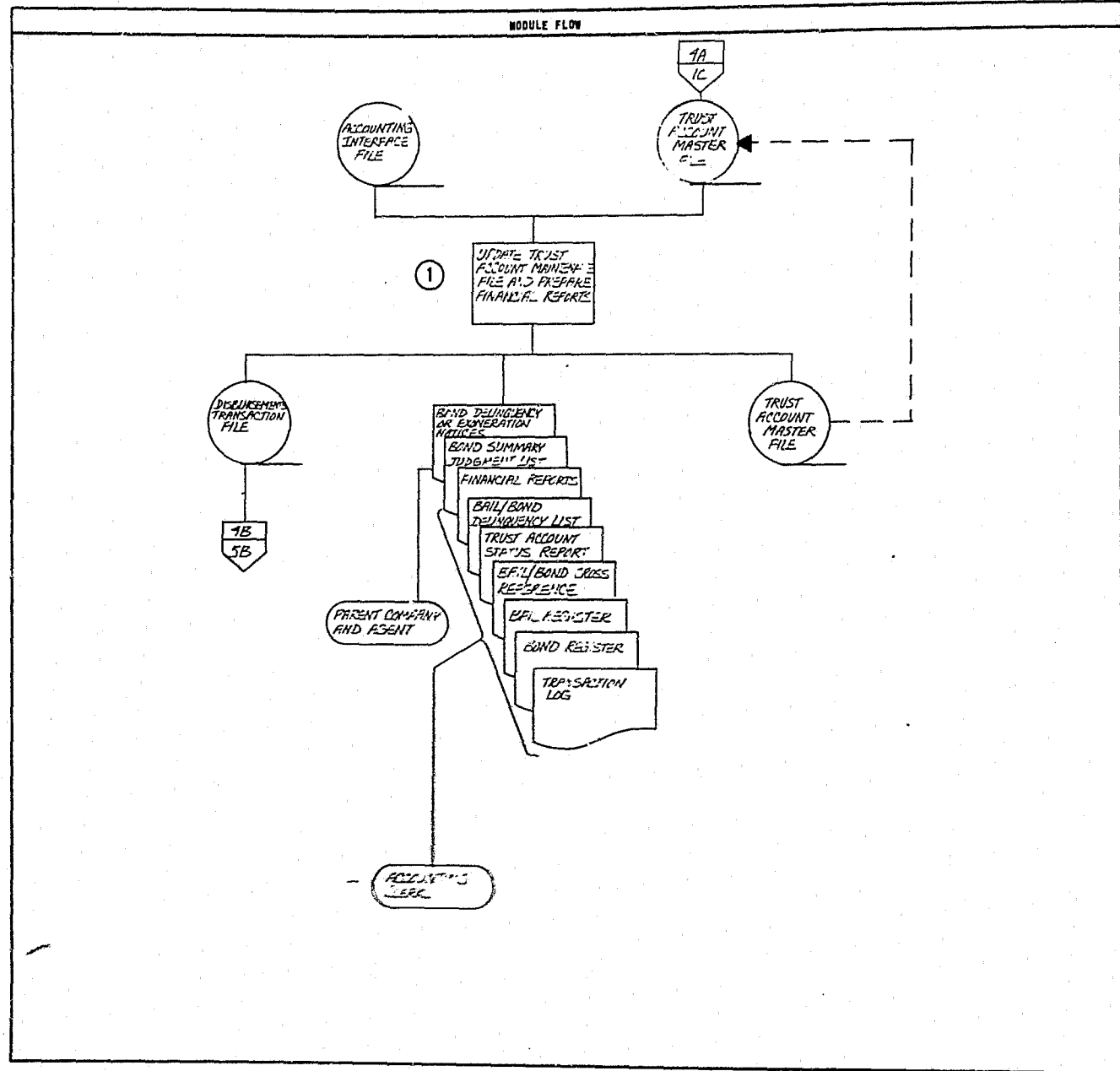
③ The payor submits installment payments per the schedule on his copy of the A/R Setup and Agreement Form.

④ The payment and the recording of the transaction for updating the computer files and generation of the audit trail is the same as a regular fine or service fee payment, as indicated for the case category. (See the appropriate Intake and File Maintenance modules.)

⑤ In addition, the clerk posts payments to the court's copy of the A/R Setup and Agreement Form. After the last installment is paid, the form is returned to the party's case folder, or is attached to the docket, and the case record is updated.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JS-4-622	MODULE NAME BAIL, BOND AND TRUST ACCOUNTING	LEVEL OF AUTOMATION Sequential Batch	PAGE 4 OF 5
MODULE PURPOSE To maintain bail and general trust accounts, to interface with the disbursements module, and to record bail bond status			



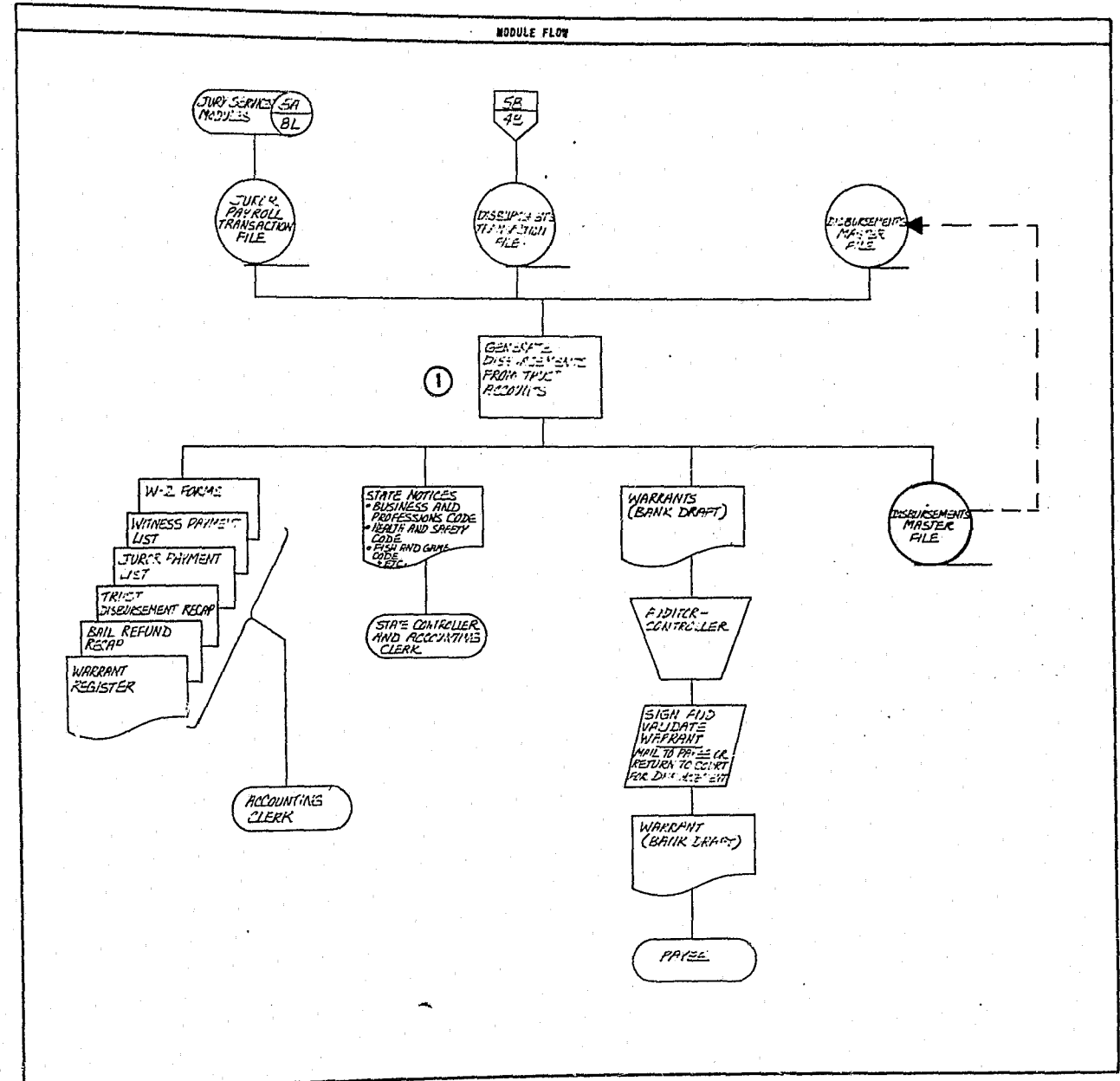
MODULE NARRATIVE

① This module monitors and accounts for funds posted with the court in trust per court order, the receipt of cash bail and the posting of bail bonds. In addition, courts post fine, service fee and forfeiture intake to interim trust accounts in order to automate the audit trail and disbursement accounting.

Interface to the other accounting modules is achieved through the Accounting Interface File and the Disbursements Transaction File. For example, court-imposed fines are deducted from the amount of cash bail posted at disposition time by the Fines, Service Fees and Forfeiture Module. The remaining bail is then refunded to the defendant through the Disbursements Module.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JS-5-632	MODULE NAME DISBURSEMENTS	LEVEL OF AUTOMATION Sequential Batch	PAGE 5 OF 5
MODULE PURPOSE To issue warrants or vouchers for bail refunds and payments from trust accounts to individuals and to the state and local governmental agencies sharing fine, service fees and forfeiture revenues			



MODULE NARRATIVE

① The Disbursements Module issues warrants (bank drafts) for payments to jurors, refunds of cash bail and other monies held in trust, distributions of fine, fee and forfeiture income to city, county, and state funds, and payments to court-appointed witnesses and attorneys.

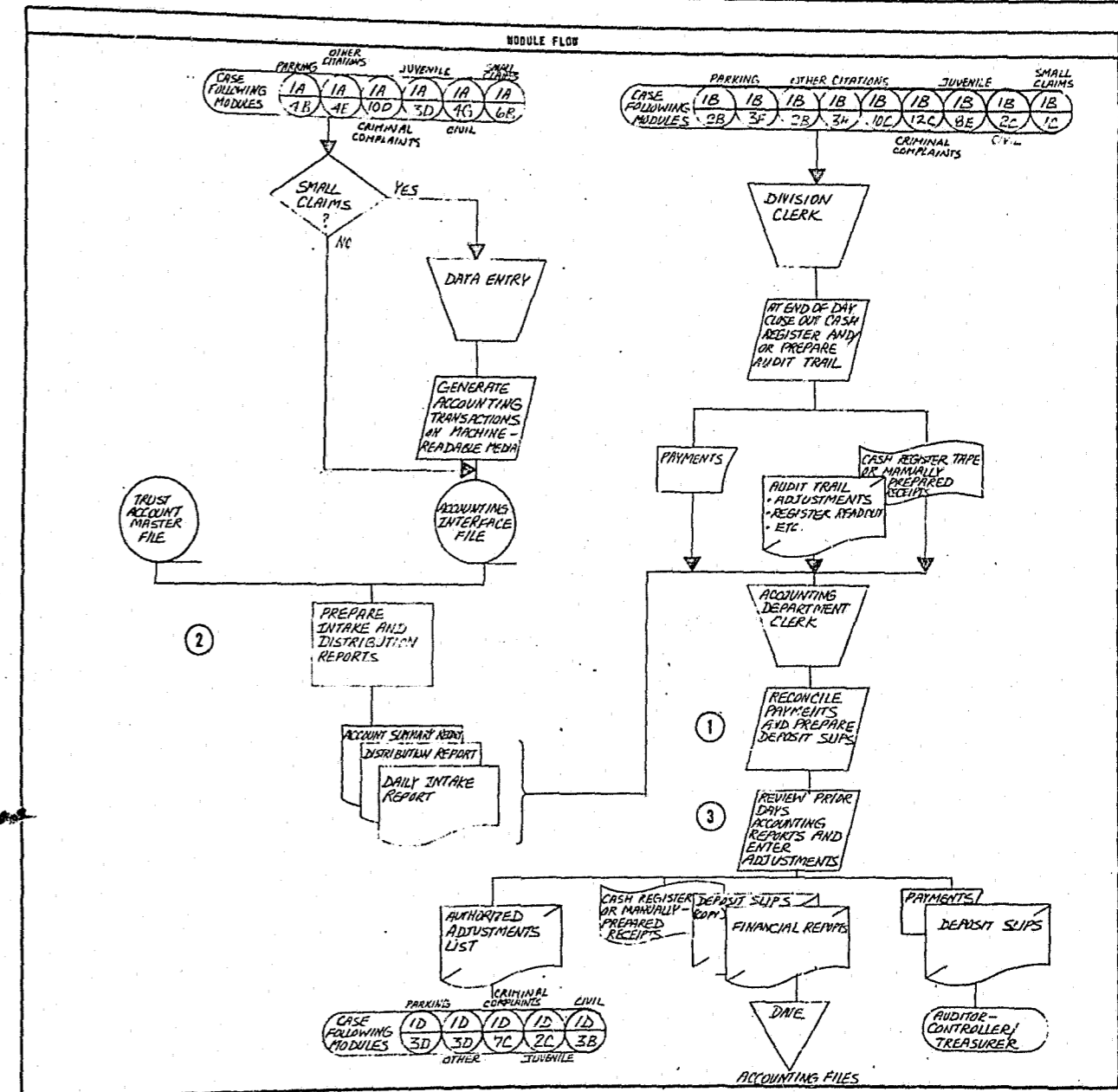
In order to maintain proper fiscal control, all warrants (bank drafts) are forwarded to the auditor-controller for review and authorizing signature.

Person-oriented accounts (e.g., witnesses and jurors) are controlled by social security number.

FLOWCHARTS FOR
ON-LINE LEVEL OF AUTOMATION

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JO-1-603	MODULE NAME ACCOUNTING FOR FINES, SERVICE FEES AND FORFEITURES	LEVEL OF AUTOMATION On-line	PAGE 1 OF 5
MODULE PURPOSE To prepare the daily and periodic accounting reports required to audit and distribute cash intake.			



MODULE NARRATIVE

① During the day, payments are collected at the counter and adjustments are noted for correcting recording errors. (Each correcting entry on the list must be initialed by a supervisor.) The source distribution code is entered at case initiation time so that fund distributions can be performed by the automated system.

At the end of the day, the payments are forwarded with the audit trail to the accounting division. The cash is then reconciled to the audit trail and any adjustments are noted. Deposit slips are prepared and forwarded to the auditor-controller with the payments.

② The next morning, the accounting division receives the reports shown, which recap the previous day's financial activity, and which distribute the revenues to the appropriate accounts.

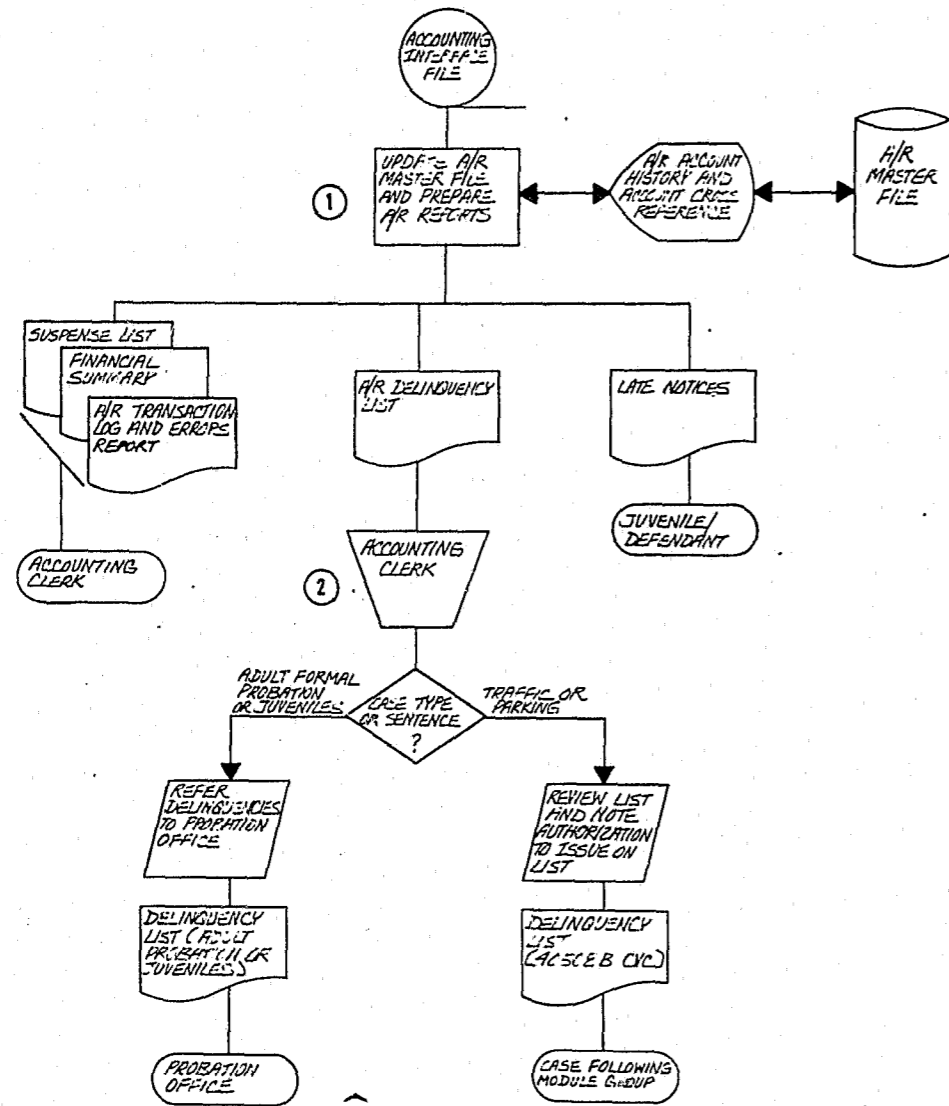
③ The Daily Intake Report is reviewed and its check totals are verified. Any required adjustments to the previous day's reports are included on the current day's Accounting Adjustments List.

Monthly, a cumulative Distribution Report is prepared from which warrants (bank drafts) are drawn in favor of the various city, state and county funds participating in service fee, fine and forfeiture revenue distribution.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JO-2-613	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION On-line	PAGE 2 of 5
MODULE PURPOSE To establish receivable accounts for court-imposed installment payments and to identify those in arrears			

MODULE FLOW



MODULE NARRATIVE

① Each installment account is set up, adjusted and credited from transaction records located on the Accounting Interface File. Account history and all transactions affecting the account is maintained on the A/R Master File.

Each person is assigned an account number (social security number) so that all receivable activity affecting that person is centrally located and available in a single reference to account history.

An Account Cross Reference is prepared to locate account number when the case number is known.

This procedure facilitates the centralized collections concept on a countywide basis.

② Accounts in arrears are listed on the A/R Delinquency List. Juvenile accounts and accounts of persons on formal probation that are in arrears

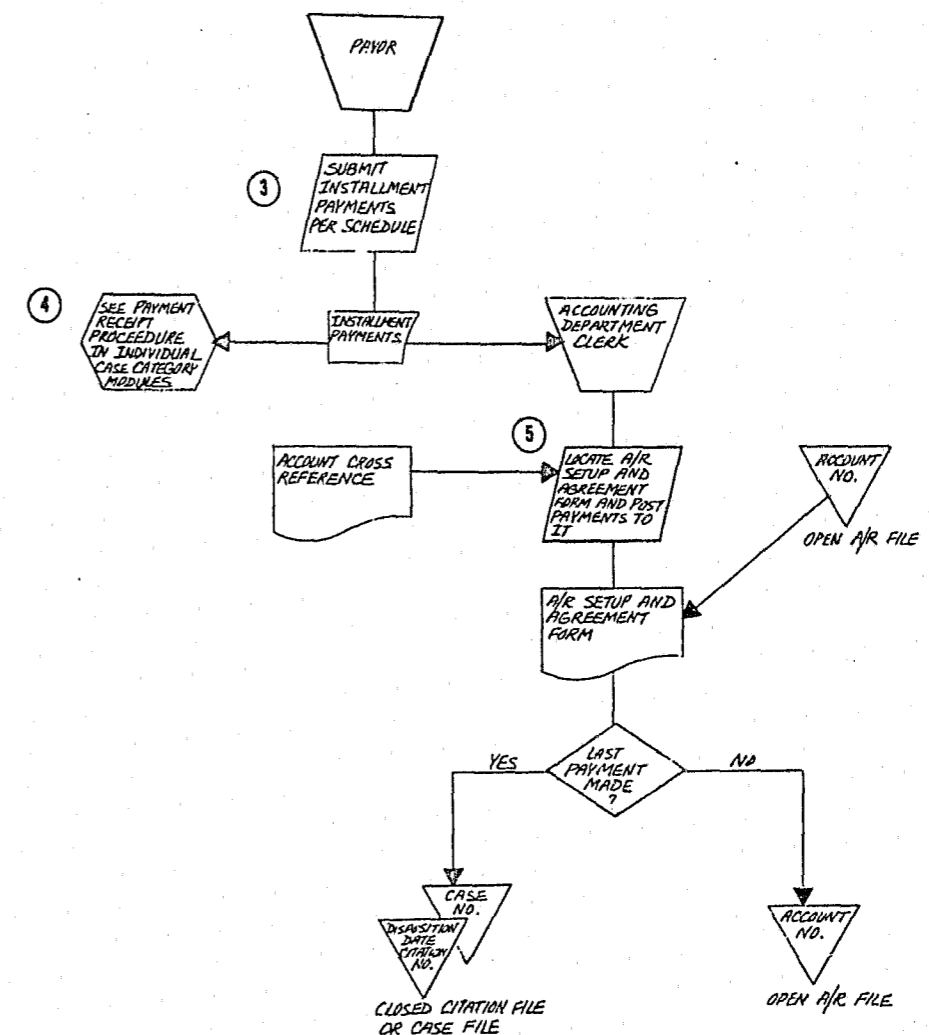
are printed separately, and are forwarded to the probation office for action.

Arrest warrants are prepared by the computer for those persons chargeable under 40508B of the California Vehicle Code. See the procedure described in the appropriate Aging and Purging Modules.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JO-2-613	MODULE NAME ACCOUNTS RECEIVABLE	LEVEL OF AUTOMATION On-line	PAGE 3 of 5
MODULE PURPOSE To accept installment payments on receivable accounts			

MODULE FLOW



MODULE NARRATIVE

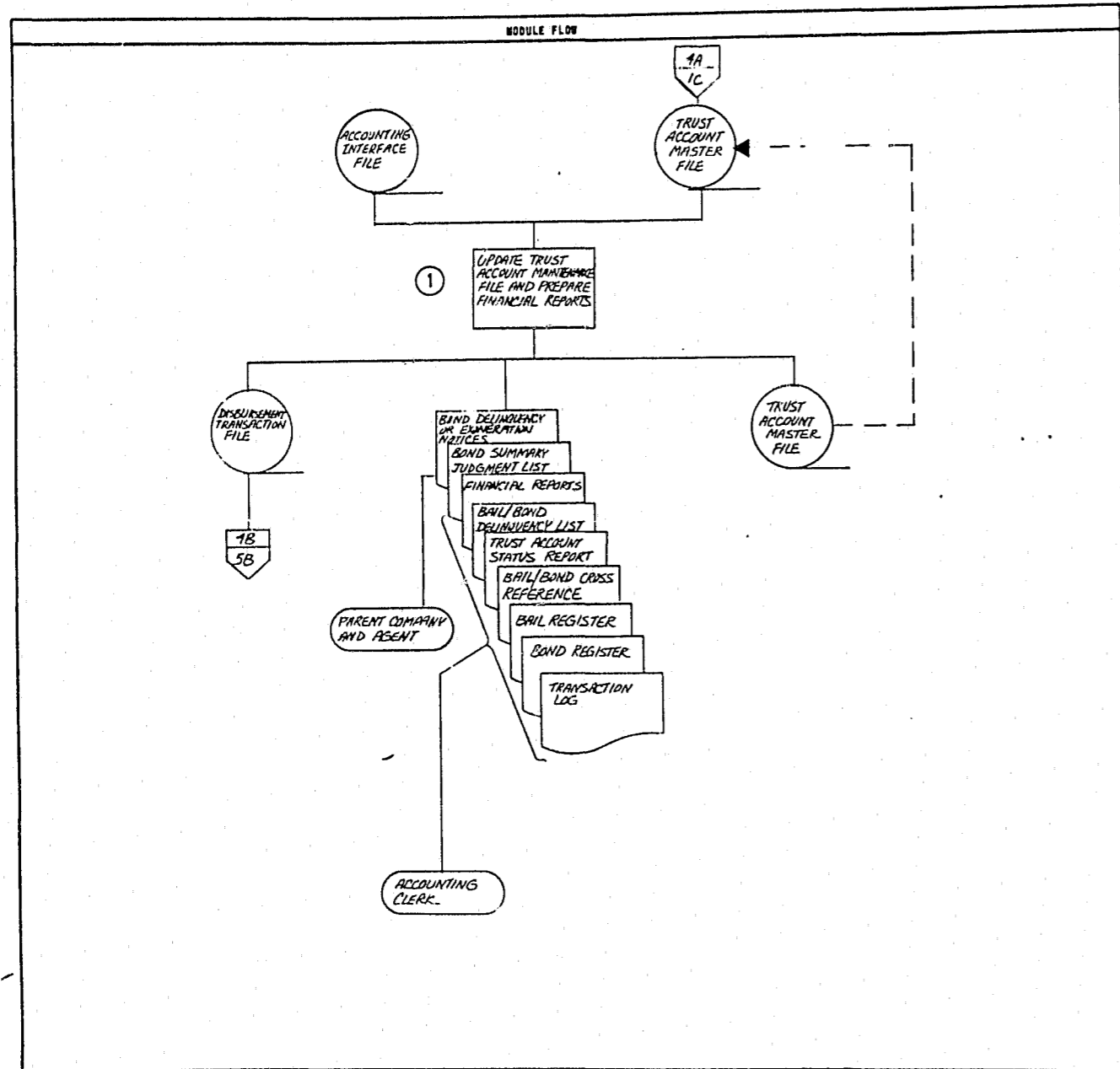
③ The payor submits installment payments per the schedule on his copy of the A/R, Setup and Agreement Form.

④ The payment and the recording of the transaction for updating the computer files and generation of the audit trail is the same as a regular fine or service fee payment, as indicated for the case category. (See the appropriate Intake and File Maintenance modules.)

⑤ In addition, the clerk posts payments to the court's copy of the A/R Setup and Agreement Form. After the last installment is paid, the form is returned to the party's case folder, or is attached to the docket, and the case record is updated.

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JO-4-623	MODULE NAME BAIL, BOND AND TRUST ACCOUNTING	LEVEL OF AUTOMATION On-line	PAGE 4 OF 5
MODULE PURPOSE To maintain bail and general trust accounts, to interface with the disbursements module, and to record bail bond status			



MODULE NARRATIVE

① This module monitors and accounts for funds posted with the court in trust per court order, the receipt of cash bail and the posting of bail bonds. In addition, courts post fine, service fee and forfeiture intake to interim trust accounts in order to automate the audit trail and disbursement accounting.

Interface to the other accounting modules is achieved through the Accounting Interface File and the Disbursements Transaction File. For example, court-imposed fines are deducted from the amount of cash bail posted at disposition time by the Fines, Service Fees and Forfeiture Module. The remaining bail is then refunded to the defendant through the Disbursements Module.

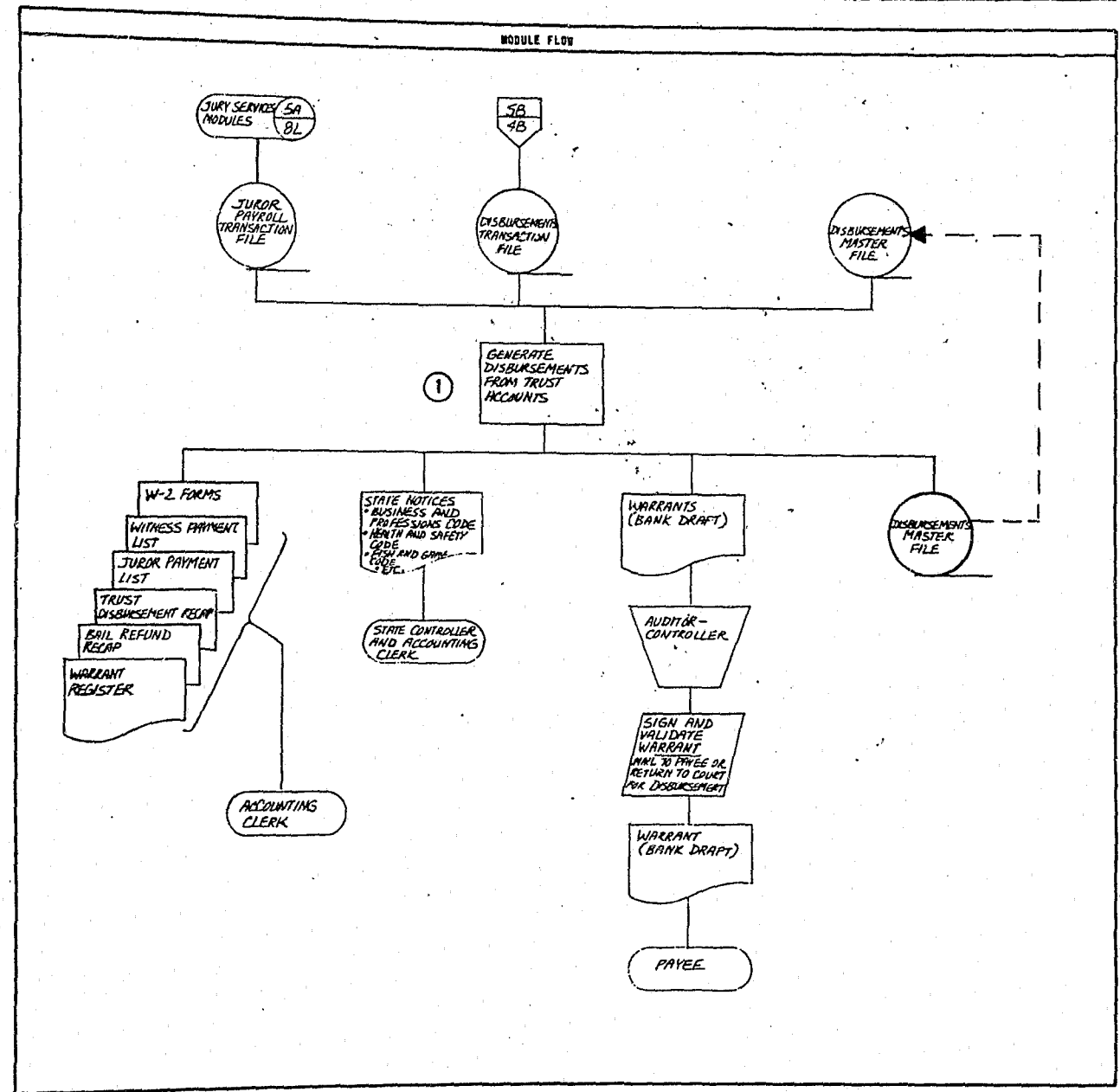
CONTINUED

1 OF 2

PART II

ACCOUNTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION JO-5-633	MODULE NAME DISBURSEMENTS	LEVEL OF AUTOMATION On-line	PAGE 5 OF 5
MODULE PURPOSE To issue warrants or vouchers for bail refunds and payments from trust accounts to individuals and to the state and local governmental agencies sharing fine, service fees and forfeiture revenues			



MODULE NARRATIVE

① The Disbursements Module issues warrants (bank drafts) for payments to jurors, refunds of cash bail and other monies held in trust, distributions of fine, fee and forfeiture income to city, county, and state funds, and payments to court-appointed witnesses and attorneys.

In order to maintain proper fiscal control, all warrants (bank drafts) are forwarded to the auditor-controller for review and authorizing signature.

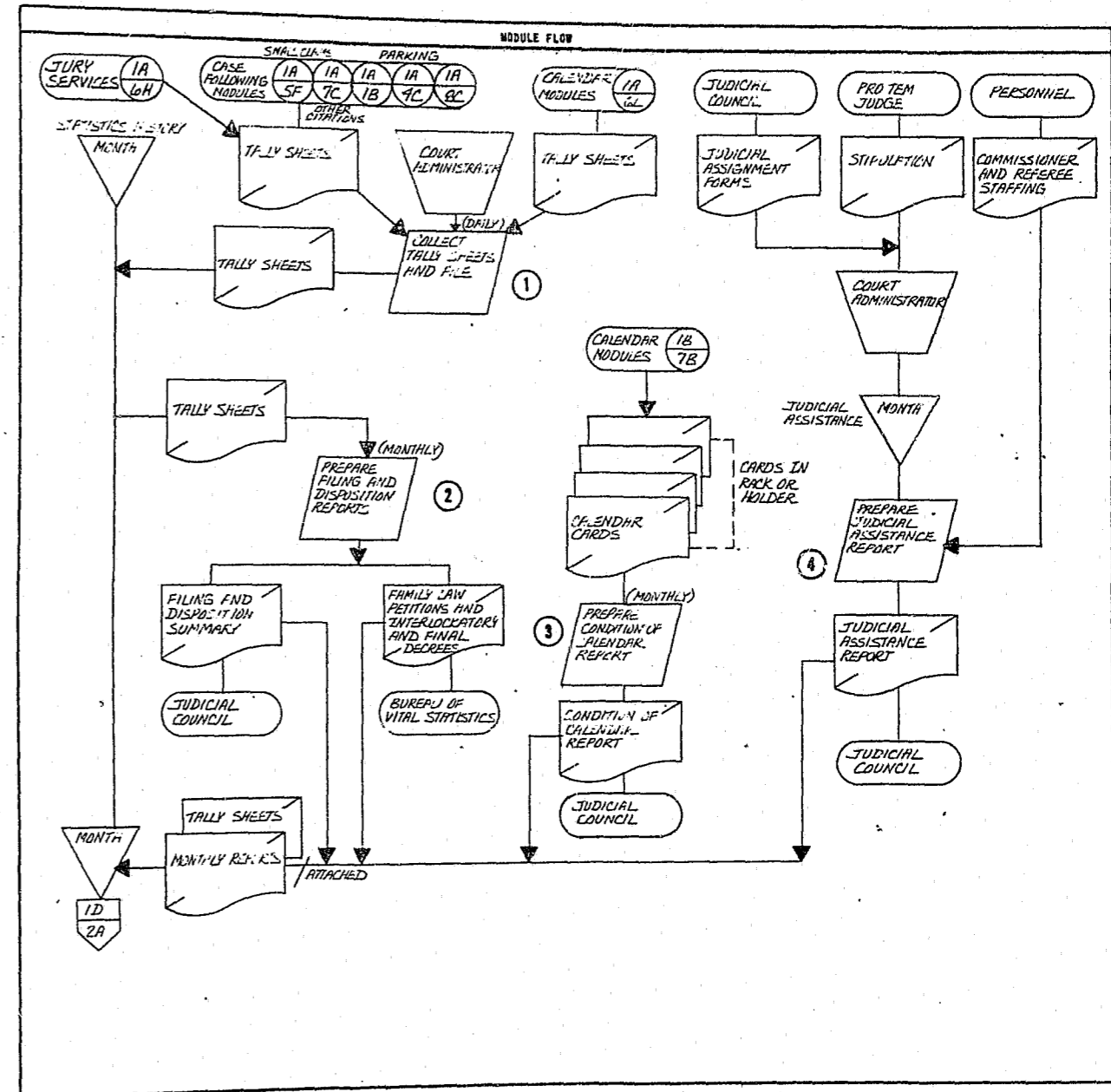
Person-oriented accounts (e.g., witnesses and jurors) are controlled by social security number.

APPENDIX K
STATISTICAL REPORTING MODULES

FLOWCHARTS FOR
MANUAL LEVEL OF AUTOMATION

STATISTICAL REPORTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION KM-1-701	MODULE NAME STATISTICAL REPORTING TO OUTSIDE AGENCIES	LEVEL OF AUTOMATION Manual	PAGE 1 of 2
MODULE PURPOSE To prepare filing and disposition reports of filings, dispositions, judicial assistance, and condition of calendar for the Judicial Council and the Bureau of Vital Statistics.			



MODULE NARRATIVE

① The Small Claims, Other Citations and Parking case following modules provide tally sheets of case statistics. Statistics for other case categories are provided by the calendar modules. These statistics are summarized monthly on three files for reporting the following:

- filings and dispositions by case type
- judicial assistance

Statistics are retained by month on a statistics history file for the determination of trends.

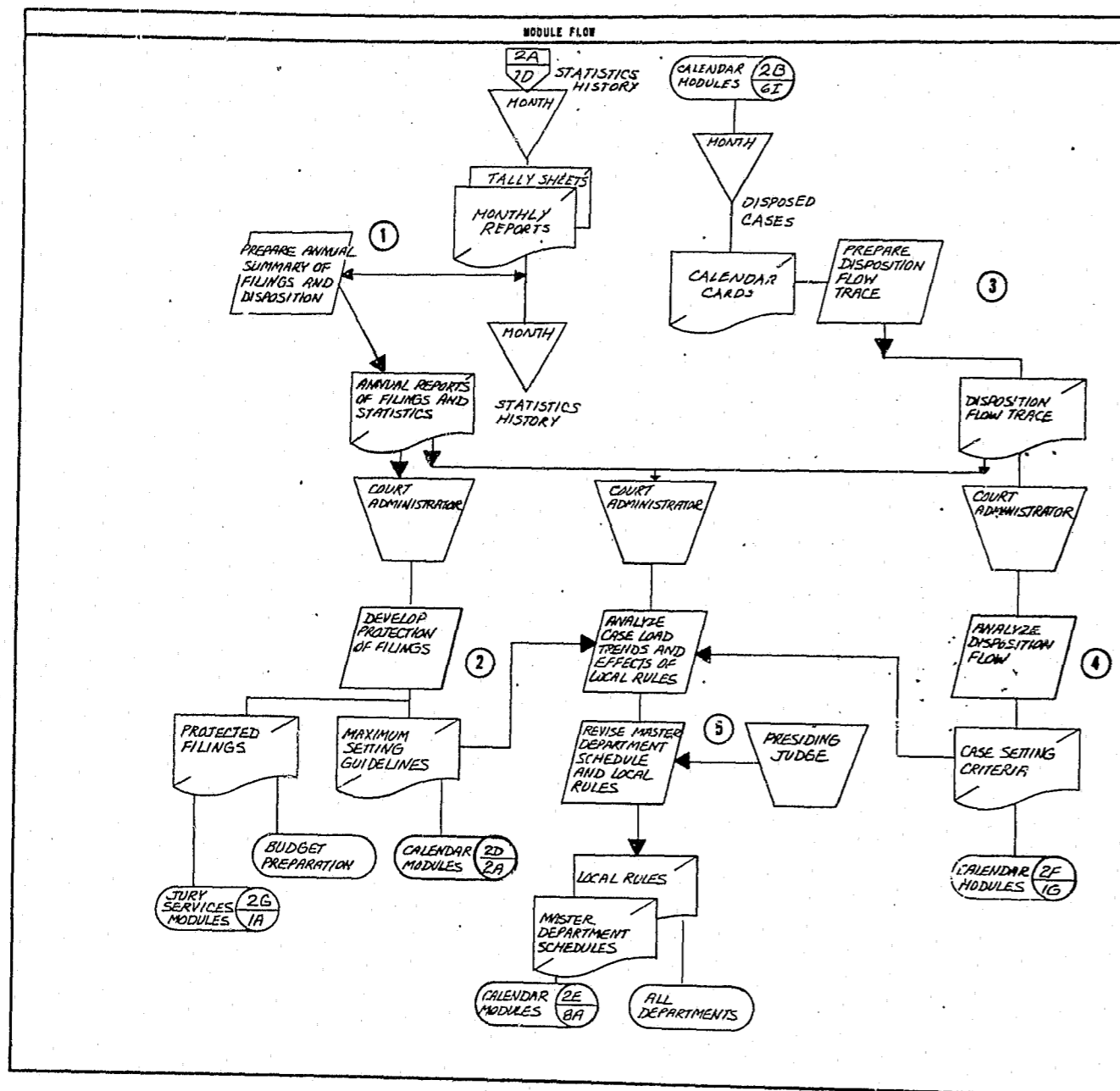
② The summary data on the statistics history file is used to prepare filing and disposition reports for the Judicial Council and the Bureau of Vital Statistics.

③ The condition of calendars is summarized from the calendar master file consisting of calendar cards filed in a rack or other similar holder.

④ Each month the court administrator prepares a report of judicial assistance days by tallying stipulations for pro tem judges, accumulating service of assigned judges, and sum service of permanent referees and commissioners.

STATISTICAL REPORTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION KM-2-711	MODULE NAME INTERNAL STATISTICAL REPORTING	LEVEL OF AUTOMATION Manual	PAGE 2 of 2
MODULE PURPOSE To prepare supplemental statistical reports for analysis and improvement of internal operating practices and procedures.			



FLOWCHARTS FOR
SEQUENTIAL BATCH LEVEL OF AUTOMATION

MODULE NARRATIVE

① Annually, filing and disposition statistics are summarized for the year and by department. The output reports include statistics for the five preceding years, and the statistics history master file is updated by aging the annual history.

② The annual reports are used to project trends to establish guidelines for maximum cases to be set on a given day for those types of hearings set by counter clerks. In addition, the projections provide a basis for budget preparation.

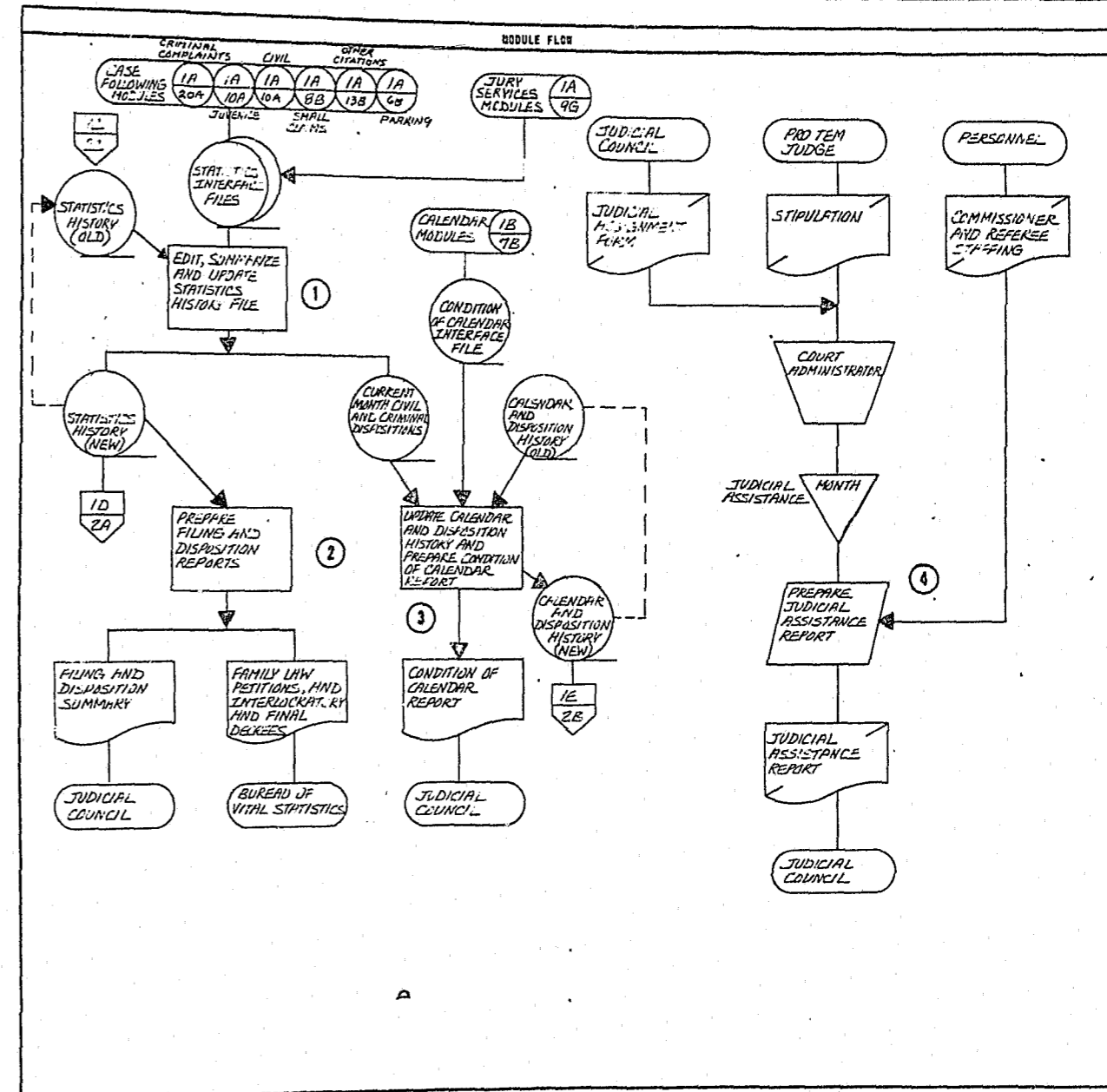
③ Calendar cards for disposed cases provide the data to prepare a report displaying filings, and events leading to final disposition.

④ The disposition flow traces the events which lead to the final disposition of cases. (Statistics of this type are often referred to as a "disposition tree"). Analysis of disposition flow results in case setting criteria accurately reflecting the extent of and reasons for disposition prior to trial.

⑤ The court administrator reviews trends in filings, calendar condition and disposition flow to identify problem areas and potential solutions. In conjunction with the presiding judge, the Master Department schedule and local rules of court are revised as appropriate.

STATISTICAL REPORTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION KS-1-702	MODULE NAME STATISTICAL REPORTING TO OUTSIDE AGENCIES	LEVEL OF AUTOMATION Sequential Batch	PAGE 1 OF 2
MODULE PURPOSE To prepare reports for filings, dispositions, judicial assistance, and condition of calendar for the Judicial Council and the Bureau of Vital Statistics.			



MODULE NARRATIVE

① Each of the case following modules provide case statistics as a result of the case master file aging and purging process. These statistics are summarized monthly on three files for reporting the following:

- filings and dispositions by case type
- judicial assistance
- disposition flow for civil and verified complaints case categories.

Statistics are retained by month on a statistics history file for the determination of trends.

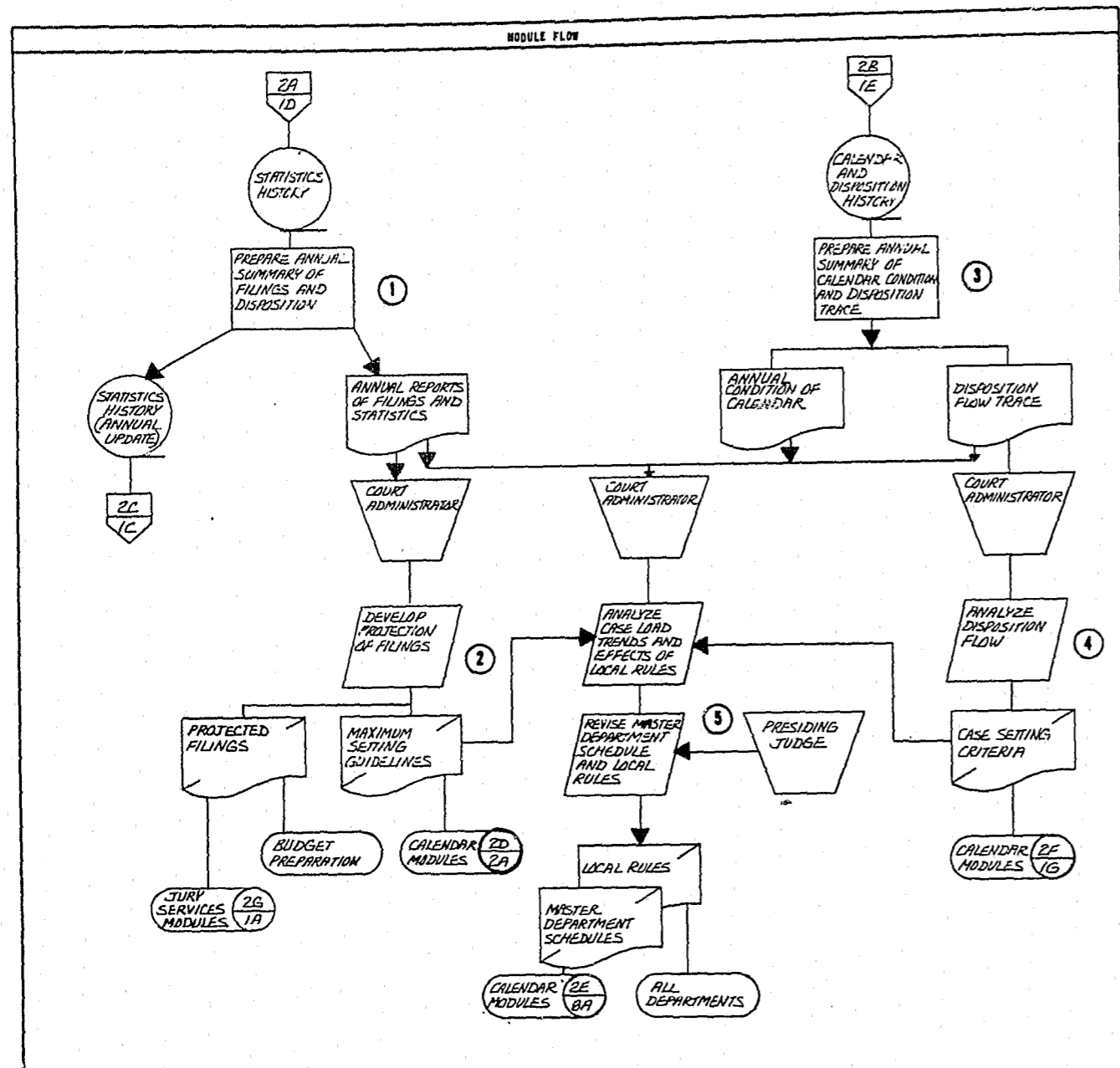
② The summary data on the statistics history file is used to prepare filing and disposition reports for the Judicial Council and the Bureau of Vital Statistics.

③ The condition of calendars as well as disposition flow for verified complaints and civil cases is retained in a history file by month. The disposition flow data includes all significant court events for those cases disposed of in the current month. This permits the tracing of events leading to disposition and the effects of court proceedings upon disposition. The condition of calendar report required by the Judicial Council is produced at this time.

④ Each month the court administrator prepares a report of judicial assistance days by tallying stipulations for pro tem judges, accumulating service of assigned judges, and sum service of permanent referees and commissioners.

STATISTICAL REPORTING
MODULE CONCEPTUAL DESIGN

MODULE IDENTIFICATION KS-2-712	MODULE NAME INTERNAL STATISTICAL REPORTING	LEVEL OF AUTOMATION Sequential Batch	PAGE 2 OF 2
MODULE PURPOSE To prepare supplemental statistical reports for analysis and improvement of internal operating practices and procedures.			



APPENDIX L

DOCUMENT AND AUTOMATED FILE DESCRIPTIONS

MODULE NARRATIVE

① Annually, filing and disposition statistics are summarized for the year and by department. The output reports include statistics for the five preceding years, and the statistics history master file is updated by aging the annual history.

② The annual reports are used to project trends to establish guidelines for maximum cases to be set on a given day for those types of hearings set by counter clerks. In addition, the projections provide a basis for budget preparation.

③ Calendar conditions and disposition flow trace reports are annually prepared from the history file.

④ The disposition flow traces the events which lead to the final disposition of cases. (Statistics of this type are often referred to as a "disposition tree"). Analysis of disposition flow results in case setting criteria accurately reflecting the extent of and reasons for disposition prior to trial.

⑤ The court administrator reviews trends in filings, calendar condition and disposition flow to identify problem areas and potential solutions. In conjunction with the presiding judge, the Master Department schedule and local rules of court are revised as appropriate.

DOCUMENT FILE DESCRIPTIONS

FUNCTION	FILE NAME	APPLICABLE LEVEL OF AUTOMATION			ORGANIZATION	DOCUMENT TYPES	APPLICABLE MODULES
		M	S	O			
Case Following	Case File	X	X	X	Case No.	Case Fol- ders	CM- 1-012 CM- 9-042 CM-13-182 CM-16-301 CM-17-132 CS- 1-022 CS-11-052 CS-20-142 CO- 1-032 CO-11-062 CO-17-091 CO-20-152 DM- 1-013 DM- 4-042 DM- 7-101 DM- 8-134 DM-10-301 DS- 1-023 DS- 6-052 DS-11-144 DO- 1-033 DO- 6-062 DO-11-154 EM- 1-014 EM- 6-043 EM-10-135 EM-13-301 ES- 1-024 ES- 7-053 ES-10-145 EO- 1-034 EO- 7-063 EO-10-155 FM- 1-015 FM- 6-044 FM- 8-136 FS- 1-025 FS- 7-054 FS-10-146 HM- 5-411 HS- 6-422 HS- 5-412 HO- 5-413 HO- 6-423 JM- 2-611 JM- 4-621 JM- 6-631 JS- 2-612 JO- 2-613
	Open Citation File	X	X	X	Filing Date/ Citation No.	Citations and Packets	AM- 1-011 AM- 3-041 AM- 4-131 AM- 8-161 AM- 9-101 AS- 1-021 BM- 1-011 BM- 7-071 BM-10-131 BM-13-101 BS- 1-021 BS- 7-051 BO- 1-031 HM- 1-401 HS- 1-402 HO- 1-403
	Closed Citation File	X	X	X	Disposition Date/ Citation No.	Citations and Packets	AM- 1-011 AM- 3-041 AM- 4-131 AM- 8-161 AM- 9-101 AS- 1-021 AS- 6-141 BM- 1-011 BM-10-131 BM-13-101 BS- 1-021 BS-13-141 BO- 1-031 BO-13-151 JM- 2-611 JS- 2-612 JO- 2-613
	Appearance File	X	X	X	Appearance Date	Citations and Packets	AS- 1-021 BM- 8-041 BM-10-131 BS- 1-021 BO- 1-031 DM- 1-013 DM- 4-042 DS- 6-052 DO- 6-062 FM- 1-015 FM- 6-044 FS- 1-025 FS- 7-054
	Suspense File	X	X	X	Lower Court Case No.	Case Awaiting Filing of an Informa- tion	CM- 1-012 CM-17-132 CS- 1-022 CO- 1-032
	No-Complaints Suspense File	X	X	X	Arrest No.	Bail Slips, Bonds or Releases Awaiting Filing of Com- plaint	CM- 1-012 CM-17-132 CS- 1-022 CO- 1-032
	Juvenile Open Citation File	X	X	X	Filing Date/ Citation No.	Citations and Packets	BM- 3-211 BM- 7-071 BM-13-101 BS- 9-221 BO- 9-231
	Juvenile Closed Citation File	X	X	X	Disposition Date/ Citation No.	Citations and Packets	BM- 3-211 BM-13-101 BS- 9-221 BO- 9-231
	Juvenile Index File	X			Name	Index Cards	BM- 3-211 BM- 7-071
	Index File	X	X		Plaintiff and/or Defendant Name	Index Cards	AM- 1-011 AM- 4-131 AM-10-071 BM- 1-011 BM- 7-071 BM-10-131 BM-13-101 CM- 1-012 CM-14-071 CM-17-132 DM- 1-013 DM- 6-071 DM- 8-134 EM- 1-014 EM- 8-072 EM-10-135 ES- 1-024 FM- 1-015 FM- 8-136 FM-10-072 FS- 1-025
	Register of Actions (Card)	X			Case No.	R/A Cards	CM- 1-012 CM- 9-042 CM-13-182 CM-16-301 CM-17-132 DM- 1-013 DM- 7-101 DM- 8-134 DM-10-301 EM- 1-014 EM-10-135 EM-13-301
	Register of Actions (Microjacket)	X	X		Case No.	Micro- film of Case Docu- ments	CS- 1-022 CS-20-142 CO- 1-032 DS- 1-023 DS-11-144 DO- 1-033 DO-11-154 ES- 1-024 ES-10-145 EO- 1-034 EO-10-155
	Attorney Case File	X			Attorney Name	Attorney Card	EM- 1-014 EM-10-135

DOCUMENT FILE DESCRIPTIONS

FUNCTION	FILE NAME	APPLICABLE LEVEL OF AUTOMATION			ORGANIZATION	DOCUMENT TYPES	APPLICABLE MODULES
		M	S	O			
	Confidential File	X	X	X	Case No.	Confidential Questionnaire	EM-9-102 ES-9-112 EO-9-122
	Purge List Book		X	X	Case No.	Purge List	ES-10-145 EO-10-155
	Judgment Book (Microjacket)		X	X	Book No./ Page No.	Microfilm of Judgment	ES-1-024 EO-1-034
	Judgment Book	X			Book No./ Page No.	Copy of Judgment	EM-1-014 EM-10-135
	Exhibit File	X			Release Date	Exhibit List	CM-16-301 DM-10-301 EM-6-043 EM-13-301
	Sealed Register of Actions (Microjacket)		X	X	Case No.	Microfilm of Case Documents	DS-1-023 DO-1-033
	Historical Case File	X	X	X	Case No.	Microfilm of Case Material	CM-17-132 CS-20-142 CO-20-152 DM- 1-013 DM- 8-134 DS-11-144 DO-11-154 EM-10-135 ES-10-145 EO-10-145 FM- 8-136 FS-10-146
	Historical Index File	X	X	X	Plaintiff or Defendant Name	Microfilm Index	AM-4-131 BM-10-131 CM-17-132 CO-17-091 DM-8-134 EM-10-135 FM-8-136
	Historical Judgment Book (Microfilm)	X			Book No./ Page No.	Microfilm	EM-10-135
Calendaring	Calendar Master File	X			Appearance Date	Calendar Cards	HM-1-401 HM-5-411 HM-6-421
	Notice History		X	X	Notice Date	Notice of Appearance List	HS-5-412 HO-5-413
Jury Services	Potential Juror File	X	X		Juror No.	Juror Packet or Juror Status Cards	IM-1-501 IM-2-511 IS-1-502
	Qualified Juror File	X	X		Juror No.	Attendance Cards, Summons	IM-2-511 IM-3-521 IS-3-512 IS-7-532
	Disqualified Juror File		X		Juror No.	Juror Status Cards	IS-3-512 IS-7-532
	Exempt File	X			Voter Registration No.	Juror Affidavits	IM-1-501 IM-2-511
	Undeliverable Juror File	X	X		Juror No.	Juror Packet or Juror Status Cards	IM-2-511 IS-3-512 IS-7-532
	Non-respondent Juror File		X		Juror No.	Attendance Cards, Summons or Juror Status Cards	IM-2-511 IS-3-512
	Twice Non-respondent File		X		Juror No.	Juror Status Cards	IM-2-511 IS-3-512
	Scheduled Juror File	X	X		Date/Juror No.	Attendance Cards	IM-3-521 IM-5-531 IS-4-522 IS-7-532
	Postponed Service File		X		Date/Juror No.	Attendance Cards	IS-4-522 IS-7-532
	Completed Service File		X		Juror No.	Attendance Cards	IS-7-532
Financial Accounting	Accounting Files	X	X	X	Date	Financial Reports, Deposit Slips, Cash Register Receipts	JM-1-601 JM-4-621 JS-1-602 JO-1-603
	Open A/R File	X	X	X	Account No.	A/R Setup and Agreement Forms	DM-8-134 JM-2-611 JS-2-612 JO-2-613
	Open Trust Accounting File	X			Name	Trust Control Cards	JM-4-621 JM-6-631
	Warrant Register	X			Warrant No.	Warrant Copy	JM-6-631
	Account Cross Reference File	X			Debtor Name	A/R Setup and Agreement Forms	JM-2-611
	Statistics History	X			Month	Monthly Reports Case Material	KM-1-701 KM-2-711

AUTOMATED FILE DESCRIPTIONS

FILE TYPE	FILE NAME	FILE ORGANIZATION	ON-LINE ACCESS MODE		APPLICABLE MODULES	
			SEQ	RAN		
Master	Citation Master File	Date/Citation No.		X	AS-1-021 AS-6-141 BS-1-021 BS-9-221 BS-13-141 BO-1-031 BO-7-061 BO-9-231 BO-13-151 HO-6-423	
	Criminal Master File	Case No.		X	CS-1-022 CS-19-321 CS-20-142 CO-1-032 CO-17-091 GO-20-152 HO-6-423	
	Civil Master File	Case No.		X	ES-1-024 ES-10-145 ES-11-321 EO-1-034 EO-10-155 EO-11-331 HO-6-423	
	Juvenile Master File	Case No.		X	DS-1-023 DS-10-111 DS-11-144 DS-13-321 DO-1-033 DO-10-121 DO-11-154 DO-13-331 HO-6-423	
	Purge Control File	Case No.		X	ES-10-145 EO-10-155	
	Cross Reference Master File (1 for each category)	XREF Element/ Case No.		X	AS-9-081 BS-12-081 BO-1-031 BO-9-231 BO-12-091 CS-17-081 CO-1-032 CO-17-091 DS-9-081 DO-9-091 ES-8-082 EO-1-034 EO-8-092 FS-8-082 HO-1-403 HO-5-413	
	A/R Master File	Account No./ Case No.		X	JS-2-612 JO-2-613	
	Disbursements Master File	Warrant No./ Case No.		X	JS-5-632	
	Trust Account Master File	Account No./ Case No.		X	JS-1-602 JS-4-622 JO-1-603 JO-4-623	
	Juror Master File	Juror No.		X	IS-1-502 IS-4-522 IS-7-532 IS-9-542	
	Bail Schedule Master File	Violation Code		X	BS-15-251 BO-1-031 BO-15-261	
	Juror Disqualified/ Exempt File	Voter Registration No.		X	IS-1-502 IS-7-532 IS-9-542	
	Attorney Master File	Attorney Bar No.		X	HS-5-412 HO-1-403 HO-6-423	
	Calendar Master File	Date/Case No.		X	HS-6-422 HO-1-403 HO-6-423 HO-8-433	
	Department Schedule Master	Date/Department No.		X	HS-6-422 HO-6-423	
	Statistics History	Case Category/Dept.		X	KS-1-702 KS-2-712	
	Calendar and Disposition History	Dispositions/Case Category		X	KS-1-702 KS-2-712	
	Transaction	Citation Transaction File	NOTE: The organization of transaction files depends upon the reports to be produced or master file to be updated.	X		AS-1-021 BS-1-021 BS-5-191 BS-9-221 BO-1-031 BO-5-201 BO-9-231
		Criminal Transaction File		X		CS-1-022 CO-1-032
Civil Transaction File		X			ES-1-024 EO-1-034	
Juvenile Transaction File		X			DS-1-023 DO-1-033	
Cross Reference Transaction File (1 for each case category)		X			AS-1-021 AS-9-081 BS-1-021 BS-12-081 BO-1-031 BO-9-231 CS-1-022 CS-17-081 CO-1-032 DS-1-023 DS-9-081 DO-1-033 DO-9-091 ES-1-024 ES-8-082 EO-1-034 EO-8-092 FS-1-025 FS-8-082	
Disbursements Transaction File		X			JS-4-622 JS-5-632 JO-4-623 JO-5-633	
Bail Schedule Transaction File		X			BS-15-251 BO-15-261	
Juror Payroll Transaction File		X			IS-7-532 JS-5-632	
Attorney Workload And Notices		X			HS-5-412 HS-6-422 HO-5-413 HO-6-423	

AUTOMATED FILE DESCRIPTIONS

FILE TYPE	FILE NAME	FILE ORGANIZATION	ON-LINE ACCESS MODE		APPLICABLE MODULES
			SEQ	RAN	
Interface	Report Interface File	NOTE: The interface files have the same organization as the master files they update.	X		BS-1-021 BO-1-031 CS-1-022 CO-1-032 ES-1-024 EO-1-024
	Notifications Interface File		X		AS-6-141 BS-1-021 BS-14-111 BO-1-031 BO-14-121 CS-1-022 CS-18-111 CO-1-032 CO-18-121 ES-1-024 ES-9-112 EO-1-034 EO-9-122
	Statistics Interface File		X		AS-6-141 BS-13-141 BO-13-151 CS-20-142 CO-20-152 DS-10-111 DO-10-121 ES-10-145 EO-10-155 FS-8-082 IS-9-412 KS-1-702
	Accounting Interface File		X		AS-1-021 BS-1-021 BO-1-031 CS-1-022 CO-1-032 DS-1-023 DO-1-033 ES-1-024 EO-1-034 JS-1-602 JS-2-612 JS-4-622 JO-4-623 JO-1-603 JO-2-613
	Calendaring Interface File		X		CS-1-022 CO-1-032 DS-1-023 DO-1-033 ES-1-024 EO-1-034 HS-6-422 HO-6-423
	Not Guilty Interface File		X		AS-1-021 BS-1-021 BO-1-031 CS-1-022 CO-1-032
	Condition of Calendar Interface File		X		HS-6-422 HO-6-423 KS-1-702
Interagency Communication	Bureau of Identification 8715 File	CII NO.	X		CS-18-111 CO-18-121
	DMV Driver History Response File	Drivers Lic. No.	X		BS-1-021 BS-5-191 BO-1-031 BO-5-201
	DMV Driver History Request File	Drivers Lic. No.	X		BS-5-191 BO-5-201
	DMV Abstracts File (Abstract Releases)	Drivers Lic. No.	X		BS-14-111 BO-14-121
	Voter Registration File	Voter Registration No.	X		IS-1-502
	Vehicle Registration Request File	License No.	X		AS-6-141 AS-7-171
	Vehicle Registration Response File	License No.	X		AS-6-141 AS-7-171
	Warrant Interface File	Warrant No.	X		AS-8-111 BS-14-111 BO-14-121 CS-18-111 CO-18-121 DS-10-111 DO-11-154

APPENDIX M

AUTOMATED FILES DATA ELEMENT LIST

DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTORS			MASTER FILES														INTERAGENCY COMMUNICATION FILES																				
	Length	Format	Occurrences if more than one	Citation Master File	Criminal Master File	Civil Master File	Juvenile Master File	Cross Reference Master File	A/R Master File	Disbursements Master File	Trust Account Master File	Juror Master File	Bail Schedule Master File	Juror Disqualified Master File	Attorney Master File	Calendar Master File	Department Schedule Master File	Statistics History	Calendar and Disposition History	Bureau of Identification 8715 File	DMV Driver History Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant Interface File											
CASE DESCRIPTION																																						
CASE IDENTIFIERS																																						
County	2	N		X	X	X	X													X																		
Court/Branch	3	N		X	X	X	X													X	X																	
Case Category/Type	2	AN		X	X	X	X																															
Filing Date	6	N		X	X	X	X													X																		
Case No.	5	N		X	X	X	X	X	X	X						X																						
No. Defendants/Plaintiffs/Parcels	2	N		X	X	X	X																															
Defendant/Plaintiffs/Parcel No.	2	N		X	X	X	X	X									X																					
CRIMINAL CASE DESCRIPTORS																																						
Complaint Status Code	1	N	1	X	X		X													X																		
Charge/Violation Code	7	AN	10	X	X		X						X							X																		
Felony Indicator	1	N		X	X		X													X																		
Priors Violations	7	AN	10	X	X		X													X	X																	
Citing Agency	2	AN		X	X		X													X	X																	
Officer No.	2	AN		X	X		X													X	X																	
Beat No.	3	AN		X	X		X													X																		
Citation No.	8	AN		X	X		X													X																		
Speed Zone MPH	3	N		X	X		X																															
Actual Speed	3	N		X	X		X														X																	
Max. Gross Laden Wt.	5	N		X	X		X														X																	
Actual Gross Laden Wt.	5	N		X	X		X														X																	
Auto License State	2	AN		X	X		X														X																	
Auto License No.	7	AN		X	X		X														X																	
Auto Make	4	AN		X	X		X														X																	
Auto Registration No.	10	AN		X	X		X														X																	
Auto Year No.	2	AN		X	X		X														X																	
Violation/Accd. Date	6	N		X	X		X														X																	

I-N

DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTORS			MASTER FILES														INTERAGENCY COMMUNICATION FILES											
	Length	Format	Occurrences if more than one	Citation	Criminal	Civil	Juvenile	Cross Reference	A/R	Disbursements	Trust Account	Juror	Bail Schedule	Juror Disqualified	Attorney	Calendar	Department Schedule	Statistics	Calendar and Disposition	Bureau of Identification	DMV Driver History	DMV Driver Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant	Interface File
				Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	8715 File	Response File	Request File					
COURT TRANSACTION DATA																													
Department Number	4	N		X	X	X	X		X	X	X																		
Judge Code	3	AN		X	X	X	X																						
Appearance Date	6	N		X	X	X	X																						
Event Code	4	AN		X	X	X	X																						
Next Appearance Date	6	N		X	X	X	X																						
Next Event Code	4	AN		X	X	X	X																						
Reason Code/Plea	2	AN		X	X	X	X																						
Requestor Code	2	AN		X	X	X	X																						
Department Set	4	AN		X	X	X	X																						
Appearance Time Set	4	N		X	X	X	X																						
Disposition Date	6	N	10	X	X	X	X													X									
Disposition Code	2	AN	10	X	X	X	X													X									
Penalty Assessment \$	6	N		X	X	X	X		X				X							X	X								
Fine/Forfeiture Amt.	6	N		X	X	X	X		X											X	X								
Confinement Terms	4	AN		X	X	X	X		X											X	X								
Confinement Agy.Code	4	AN		X	X	X	X																						
Traffic Probatn.Code	2	AN		X	X	X	X																						
License Suspension Terms	6	AN		X	X	X	X																						
Suspension Termin. Date	6	N		X	X	X	X																						
Judgment/Settlement Date	6	N				X																							
Judgment/Settlement Code	9	N				X																							
Amount	8	N				X																							
License Suspension Termination Date	6	N				X																							
Warrant No.	8	AN		X	X	X	X	X																					
Issue Date	6	N		X	X	X	X																						
Return Date	6	N		X	X	X	X																						
Warrant Type	1	N		X	X	X	X																						
Warrant Status	1	N		X	X	X	X																						
Calendar Type Code	2	AN																											
Day of Week Code	1	N																											
Time of Day	3	N	2																										

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DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTORS			MASTER FILES														INTERAGENCY COMMUNICATION FILES											
	Length	Format	Occurrences if more than one	Citation	Criminal	Civil	Juvenile	Cross Reference	A/R	Disbursements	Trust Account	Juror	Bail Schedule	Juror Disqualified	Attorney	Calendar	Department Schedule	Statistics	Calendar and Disposition	Bureau of Identification	DMV Driver History	DMV Driver Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant	Interface File
				Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	Master File	8715 File	Response File	Request File				
ACCOUNTING TRANSACTION DATA																													
Account No.	8	AN						X	X	X	X																		
Transaction Date	6	N							X	X	X																		
Amount	8	N							X	X	X																		
Payor/Distribution Code	2	AN							X	X	X																		
Transaction Code	2	AN							X	X	X																		
Transaction Descrip.	25	AN							X	X	X																		
Cashier Code	2	N							X	X	X																		
Warrant/Check No.	8	AN							X	X	X																		
Receipt No.	8	AN							X	X	X																		
ACCOUNTING DESCRIPTORS																													
A/R DESCRIPTORS																													
Source Distribution Code	2	N							X	X	X																		
Effective Date	6	N							X	X	X																		
Settlement Date	6	N							X	X	X																		
Obligation \$	8	N							X	X	X																		
No. Payments Scheduled	2	N							X	X	X																		
No. Payments to Date	2	N							X	X	X																		
Payment Cycle (Day/Per.)	3	N							X	X	X																		
Payment/Period \$	6	N							X	X	X																		
Last Payment Amount	8	N							X	X	X																		
Deferred Amount \$	6	N							X	X	X																		
Deferred Due Date	6	N							X	X	X																		
Payments To Date	8	N							X	X	X																		
Debit/Credit Code	1	N							X	X	X																		

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DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTORS			MASTER FILES														INTERAGENCY COMMUNICATION FILES											
	Length	Format	Occurrences if more than one	Citation Master File	Criminal Master File	Civil Master File	Juvenile Master File	Cross Reference Master File	A/R Master File	Disbursements Master File	Trust Account Master File	Juror Master File	Bail Schedule Master File	Juror Disqualified Master File	Attorney Master File	Calendar Master File	Department Schedule Master File	Statistics History	Calendar and Disposition History	Bureau of Identification 8715 File	DMV Driver History Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant Interface File		
TRUST ACCOUNT DESCRIPTORS																													
Trust Type Code	2	N																											
Bond No.	8	AN									X	X	X	X	X														
Bond Agency Code	2	N									X	X	X	X	X														
Bond/Bail Amount	8	N									X	X	X	X	X														
DMV TRANSACTION DATA																													
Abstract Item Identification	4	AN																											
Statute/Out-of-State Identification	3	AN																			X								
Abstract Filing Control No.	7	AN																											
Court/Accd. Location Code	15	AN																											
Department Action Code	9	AN																											
Order Mail Date	6	N																											
Authority Sections	15	AN																											
Reason for Action	30	AN																											
Service of Order For File No.	9	AN																											
DMV Court No.	7	N																											
Handled Code	5	N																											
Date Last Owner Change	1	N																											
Exhibit Identifiers	6	N																			X								
Admittance Date	6	N		X	X	X	X	X																					
Release Date	6	N		X	X	X	X	X																					
Owner Code	2	AN		X	X	X	X	X																					
Identification #	8	AN		X	X	X	X	X	X																				
Location Code	4	AN		X	X	X	X	X																					
Destroying Authority	2	AN		X	X	X	X	X																					
Recipient	3	AN		X	X	X	X	X																					
Description Code	4	AN		X	X	X	X	X																					

9-N

DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTORS			MASTER FILES														INTERAGENCY COMMUNICATION FILES											
	Length	Format	Occurrences if more than one	Citation Master File	Criminal Master File	Civil Master File	Juvenile Master File	Cross Reference Master File	A/R Master File	Disbursements Master File	Trust Account Master File	Juror Master File	Bail Schedule Master File	Juror Disqualified Master File	Attorney Master File	Calendar Master File	Department Schedule Master File	Statistics History	Calendar and Disposition History	Bureau of Identification 8715 File	DMV Driver History Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant Interface File		
STATISTICAL ELEMENTS ^{1/}																													
FILING STATISTICS																													
Current Count by Case Type/Mo./Dept.	6	N	Vary																										
Prior Year's Count	8	N	5																										
DISPOSITION STATISTICS																													
Current Count by Case Type/Mo. Before Trial	6	N	Vary																										
Current Count by Case Type/Mo. After Trial	6	N	Vary																										
Prior Year's History	8	N	5																										
CONDITION OF CALENDAR																													
Current Count of Trials by Case Type/Mo./Trial Type	6	N	Vary																										
Complaint to Disposition Time	4	N																											
At Issue to Disposition Time	4	N																											
Judicial Assistance/Mo.	4	N																											
Assistance History/Yr.	4	N	5																										
Aged List of Scheduled Cases	8	N																											

4-N

1/ NOTE: The number of case types multiplied by the number of months will determine the number of occurrences of each of the above statistical elements in the statistical file.

DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTIONS			Citation Master File	Criminal Master File	Civil Master File	Juvenile Master File	Cross Reference Master File	A/R Master File	Disbursements Master File	Trust Account Master File	Juror Master File	Bail Schedule Master File	Juror Disqualified Master File	Attorney Master File	Calendar Master File	Department Schedule Master File	Statistics History	Calendar and Disposition History	INTERAGENCY COMMUNICATION FILES									
	Length	Format	Occurrences if more than one																	Bureau of Identification 8715 File	DMV Driver History Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant Interface File		
DISPOSITION TRACE																													
Appearance Code/Case Type/Mo.	2	N	Vary																										
Disposition Code/Case Type/Mo.	2	N	Vary																										
Prior Event Code/Case Type/Mo./Appearance Count/Case Type/Mo.	2	N	Vary																										
JUROR SERVICE DESCRIPTIONS																													
JUROR DESCRIPTIONS																													
Juror Name	37	AN																											
Juror Address	50	AN																											
Voter Registration No.	8	AN																											
Status Code	2	N																											
Mileage Fee	6	N																											
Juror No.	8	AN																											
SERVICE DESCRIPTIONS																													
Service Code	2	AN	10																										
Dismissal Code	2	AN	10																										
Length of Service Trial No.	3	AN	10																										
SERVICE HISTORY																													
Days Called	3	N																											
Days Served	3	N																											

DATA ELEMENT LIST

DATA ELEMENT NAME	ELEMENT DESCRIPTIONS			Citation Master File	Criminal Master File	Civil Master File	Juvenile Master File	Cross Reference Master File	A/R Master File	Disbursements Master File	Trust Account Master File	Juror Master File	Bail Schedule Master File	Juror Disqualified Master File	Attorney Master File	Calendar Master File	Department Schedule Master File	Statistics History	Calendar and Disposition History	INTERAGENCY COMMUNICATION FILES									
	Length	Format	Occurrences if more than one																	Bureau of Identification 8715 File	DMV Driver History Response File	DMV Driver History Request File	DMV Abstracts File	Voter Registration File	Vehicle Registration Request File	Vehicle Registration Response File	Warrant Interface File		
CALL HISTORY																													
Summons Date	6	N	10																										
Non-Availability Period	12	N										X																	
JURY STATISTICS																													
Trials Last 3 Periods/Period Jurors Answering Roll																													
Jurors Summoned	5	N	3																										
Jurors Called to Trial	5	N																											
Jurors Dismissed	5	N																											
No. Completing Service Days to Completion																													
AVG. Dismissals/Case Type	5	N	Vary																										
Affidavits Sent	5	N																											
Jurors Qualified	5	N																											

APPENDIX N

SAMPLE DOCUMENTS AND REPORTS

PRIORS LIST DOCKET PACKET

T-N

DEFENDANT NAME SMITH, DONALD PHILLIP						DRIVERS LICENSE A 0682043		CITATION NO. 643001 A		
ADDRESS 2437 W CANFIELD FRESNO CALIF 93705				BIRTHDATE 01/07/53	SEX M	HT. 6'00	WT. 165	EYES HAZEL	HAIR BLOND	LIC. CLASS 3
ITEM	VIOL. DATE	CONV. DATE	SECTIONS VIOLATED OR ACC. LOC.	STAT.	DISPOSITION	COS	F/B	AMT	JAIL	LOCATION
ACC	01/29/70		FRESNO							
ABST	06/21/71	11/04/70	22650	VC	CGR			010		10200
ABST	01/14/71	02/08/71	22350	VC	G					10200
ABST	11/11/70	02/03/71	23109	VC	G					10200
ABST	11/23/70	02/08/71	22350	VC	G					10200
ABST	01/14/71	02/08/71	22350	VC	CG					10440
CURRENT DMV ADM. ACTIONS IN EFFECT NONE TO REPORT										
CURRENT VIOLATION(S)			P.A. ELIGIBLE	NOT ELIGIBLE	PRIORS	MATCH PRIORS	P.A.		TOTAL	
01	081272	22350 VC	20.00	0.00					20.00	
ELIG. PRIOR VIOL.(S)										
01	042172	22400 VC			4.00	0.00			4.00	
02	011172	22350 VC			4.00	6.00			10.00	
MANDATORY APPEARANCE REASONS IF REQUIRED									TOTAL	9.00
									TOTAL	43.00



FROM

TRAFFIC DEPARTMENT
FRESNO MUNICIPAL COURT
P.O. BOX 729 COURTHOUSE
FRESNO, CALIFORNIA 93712

COURTESY NOTICE

YOU HAVE BEEN CITED FOR A MOVING TRAFFIC VIOLATION,
CITATION NUMBER 0127627 DATED 09/18/72
TO SETTLE THIS CITATION,

YOU MAY SEND IN BAIL IN THE SUM OF \$24.50, OR APPEAR IN
THE ABOVE COURT AT 8:45 AM OR 1:45 PM ON TUE. THROUGH
FRI., EXCEPT HOLIDAYS

IF YOU HAVE NOT RESPONDED TO THIS NOTICE WITHIN ELEVEN (11) DAYS
FOLLOWING THE DATE OF YOUR CITATION A WARRANT MAY BE ISSUED FOR
YOUR ARREST (VC 40508a).

PLEASE RETURN THIS NOTICE
WITH PAYMENT IN ENCLOSED
ENVELOPE OR BRING NOTICE
WITH YOU IF YOU PREFER TO
APPEAR IN COURT.

TO: SMITH WALTER E
5042 E HAMPTON
FRESNO CA
FRESNO MUNICIPAL COURT 0542613
P.O. BOX 729 COURTHOUSE
FRESNO, CALIFORNIA 93712

DO NOT SEND CASH

MUNICIPAL COURT
TRAFFIC DIVISION REPORTING SYSTEM

INDEX AND STATUS OF ACTIVE CASES

<u>LINE NO.</u>	<u>DEFENDANT'S NAME</u>	<u>DEFENDANT'S BIRTHDATE</u>	<u>CITATION NUMBER</u>	<u>FILING DATE</u>	<u>SECTIONS VIOLATED</u>	<u>FINE/BAIL</u>	<u>STATUS</u>	<u>NEXT APPEAR DATE</u>	<u>LAST MAINTENANCE DATE</u>	<u>CITATION CROSS REFERENCE</u> <u>CITATION NUMBER</u>	<u>LINE NO.</u>
00001	ADAMS, MICHAEL	07/22/52	453687	09/16/72	21651+	19.50	OPEN		09/27/72	026051	03051
00002	ADAMS, RICHARD	09/16/43	486187	09/17/72	12951	MAND. APR.	CT. TRL.	11/01/72	09/28/72	026052	01001
										453687	00001
01001	SMITH, ADAM A.	07/14/36	026052	09/15/72	22406	32.00	OPEN		09/26/72	481687	00002

8-N

MUNICIPAL COURT
PRELIMINARY HEARING MINUTE ORDER AND DOCKET ENTRY

ENTITLEMENT <i>PEOPLE VS. JONES</i>			FILING DATE <i>08/16/72</i>	PROSECUTOR <i>DDA WILLIAMS</i>	PROSEC. CASE NO. <i>261011</i>	COURT CASE NO. <i>F107210115</i>					
DEFENDANT <i>01 JONES, WILLIAM</i>	CUST. STAT. <i>JAIL</i>	ATTORNEY <i>Pvt JOHNSON, M</i>	CHARGE <i>23101VC</i>	CHARGE <i>DIS</i>	CHARGE <i>DIS</i>	CHARGE <i>DIS</i>	CHARGE <i>DIS</i>	CHARGE <i>DIS</i>	CHARGE <i>DIS</i>		
CURRENT APPEARANCE			NEXT APPEARANCE								
DATE <i>08/19/72</i>	DEPT <i>101</i>	TIME <i>10:00</i>	EVENT <i>PRELIM</i>	JUDGE <i>HANSEN, R</i>	REPORTER <i>SANCHEZ, G</i>	REQUESTOR	EVENT	DATE SET	REASON	DEPT	TIME
COURT ACTION											
ACTION	JAIL	JAIL SUSP.	PROB. CODES	FINE	MO. PNT	DUE	BAIL	POSTING	DATE	POSTEE/AGENT	VALIDATION/BOND NO.

MOTIONS - ORDERS

On motion of Deputy District Attorney, the Court orders this matter be and it is hereby dismissed in the interest of justice in that the corpus delicti cannot be established.

At request of _____, this matter is continued to...(See calendar setting.)

Defendant not appearing for _____, and said non-appearance being without sufficient excuse, Court orders the defendant's...
 _____ release on his own recognizance be revoked; and a bench warrant be issued in the sum of \$_____
 _____ bail forfeited, and a bench warrant issued in the sum of \$_____

For held to answer, plea to PC 17 and change of plea, see other side.

Witnesses excluded on motion of _____

PROCEEDINGS:

Witnesses:

- _____
- _____
- _____
- _____

sworn and testified on behalf of the people.

1. _____

2. _____

3. _____

4. _____

sworn and testified on behalf of the defendant.

_____ People rest.

_____ Submitted (with - without) argument.

_____ Matter taken under advisement.

Exhibits:

- _____
- _____
- _____
- _____

admitted on behalf of the people.

A. _____

B. _____

C. _____

D. _____

admitted on behalf of the defendant.

_____ Defendant rest.

STIPULATIONS - MOTIONS:

CALENDAR SETTING

At the request of _____, (and with the consent of defendant) this matter is continued to _____ at _____ M. in Dept. No. _____ (Indicate long or short) _____ Defendant remains _____ Take off calendar _____

CERTIFICATION OF THE COURT CLERK

I do hereby certify the foregoing to be a true and correct copy of the proceedings, as indicated by my initials, had on this date, _____ N-4 _____

DO NOT DESTROY: THIS DOCUMENT IS A PERMANENT COURT RECORD.

CALENDAR CARD
(Manual Level Modules)

CASE NUMBER	DEFENDANT NAME	CHARGES	ATTORNEY	ARREST DATE	ARREST NUMBER
FILING DATE	RELEASE STATUS		PHONE		

CASE SETTING HISTORY

DATE	TIME	DEPT	REASON FOR SETTING	REQUESTOR	OUTCOME		
					ACTION	REQ	REASON

9-5

MUNICIPAL COURT - ARRAIGNMENT CALENDAR
MARCH 5, 1972
DEPARTMENT I

CASE NUMBER	ARREST NUMBER	DEFENDANT/CHARGES	RELEASE STATUS	ATTORNEY	CIT. AGENCY	ARREST DATE	FILING DATE
52959	41339	SUNDBERG, EDWARD 11500 H & S POSS. 11910 H & S POSS. DANGEROUS DRUGS	CR	TOMITA	1	6/21/72	6/23/72
53172	6F5492	SHOULTZ, RONALD A. 288 PC LEWD/IASCI- VOUS CONDUCT	IN CUST	BEASLEY	1	6/20/72	6/23/72
53173	41062	MC COMB, CRUARICH 459 PC BURGLARY - 2	IN CUST	DAVIES	1	6/22/72	6/23/72
53174	41112	RIGDON, REGINALD 459 PC BURGLARY 11910 H & S POSS. DANGEROUS DRUGS 11530 H & S POSS. MARIJUANA 23103 VC MISD. 148 PC MISD. 182.1 PC CONSPIRACY TO COMMIT BURGLARY	IN CUST	PD	1	6/21/72	6/23/72
53175	24135	BOYCE, ELLA MAE 4148 B & P MISD.	BAIL	HANFORD	1	6/23/72	6/23/72
53176	25048	FEARS, MARGARET 470 PC CHECK FORGERY PASSED ONLY 470 PC CHECK FORGERY PASSED ONLY 470 PC CHECK FORGERY PASSED ONLY	IN CUST	PD	1	6/20/72	6/22/72

CASE SETTING HISTORY

(Sequential Batch and On-line Modules)

CASE NO.: D107210511 DATE OF DATE OF APPEARANCE: 10-16-72 PURPOSE: Modification Of Award

ENTITLEMENT: Jones v Jones JUDGE: M. Johnson

CASE TYPE: Family Law PTNR ATTY: Miller, M. RSPN ATTY: Cooper J.

DATE	TIME	DEPT	REASON FOR SETTING	REQUESTOR	OUTCOME
8-16-72	9:00	A	OSC Hearing	Petitioner	Order Made
8-31-72	9:30	A	Hearing On Petn	Petitioner	Continuance - Respondent, Attorney Conflict
9-27-72	9:30	A	Hearing On Petn	Petitioner	Interlocutory Awarded
10-16-72	1:30	A	Modification Of Award	Respondent	

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SUPERIOR COURT
CIVIL INDEX OF FILINGS FOR 1972

PLAINTIFF'S INDEX

LITIGANT'S NAME	CASE NUMBER	FILING DATE	TYPE CASE	NO. PRYS		ATTY NO.	*	LITIGANT'S NAME	CASE NUMBER	FILING DATE	TYPE CASE	NO. PRYS		ATTY NO.
				DEF	PLNT							DEF	PLNT	
ADAMS, JOHN	P107201445	09-15	PI/PD	01	02	01201	*	COLBERT, CLAUDE	T107203022	10-14	PETITION	02	01	56785
ADAMS, WILSON	P107204317	06-12	PI/PD	01	04	12361	*	DURKEE, EMMA	P107204116	10-17	PI/PD	03	04	18920
ADAMSON, KYLE	P107205116	08-10	PI/PD	03	03	56785	*	DORSTON CORPORATION	C107202271	8-14	OTH CMPLT	05	04	13828
AKER CORPORATION	P107205118	12-09	PI/PD	01	01	34862	*	DORSTON CORPORATION	C107206324					
AKER CORPORATION	P107205119	07-23	PETITION	01	01	45907	*	DORSTON CORPORATION	C107205981					
ALINE, WILLIAM	P107206214	10-13				98320	*	DORSTON CORPORATION	C107204890					
AMKIE, DAVID	P107206515	08-14				78542	*	DRAKE & LILLY CORP	C107203654					
AROWSON, LEE	P107203141	11-09				20398	*	DRAKE & LILLY CORP	C107202655					
ARTHUR CORPORATION	P107204215	07-18				74083	*	DRAKE & LILLY CORP	C107201711					
ARTHUR CORPORATION	P107204216	04-15				23501	*	DRAKE & LILLY CORP	C107201117					
ARTHUR CORPORATION	P107204217	06-14				38620	*	DRUCKER, LYLE	C107206134					
ARTHUR CORPORATION	P107204314	10-13				18920	*							
ARTHUR CORPORATION	P107204315	11-19				13828	*							
ARTHUR CORPORATION	P107205161	05-28				49381	*							
ARTHUR CORPORATION	P107206171	07-04				63928	*							
BRANCH, CLIFFORD	P107205321	10-17				54290	*							
BRANCH CORPORATION	C107204411	01-10				32964	*							
BRANCH CORPORATION	C107204412	11-13				86264	*							
BRANCH CORPORATION	C107204413	09-19				24395	*							
BRANCH CORPORATION	C107204414	10-13				75429	*							
BRANCH CORPORATION	C107204415	12-04				61921	*							
CARSON, JOHN	T107206117	06-14				14390	*							
ADAMS TO CARSON							*	COLBERT TO						
							*	COLBERT TO DRUCKER						

8-N

JUROR SERVICE CARD
(MANUAL LEVEL OF AUTOMATION)

FRONT

MUNICIPAL COURT - JUROR SERVICE CARD																								
NAME LAST NAME SADLER		FIRST NAME WILLIAM	M INITIAL C																					
ADDRESS STREET ADDRESS AND APT. NO. 3082 CREST RD. APT. #31		CITY ALAMEDA	ZIP CODE 94700																					
EXEMPTIONS TEMPORARY JUDGE NOT AVAILABLE: <table border="1"> <tr> <td>2</td> <td>15</td> <td>TO</td> <td>4</td> <td>15</td> </tr> <tr> <td>MO</td> <td>DAY</td> <td></td> <td>MO</td> <td>DAY</td> </tr> <tr> <td></td> <td></td> <td>TO</td> <td></td> <td></td> </tr> <tr> <td>MO</td> <td>DAY</td> <td></td> <td>MO</td> <td>DAY</td> </tr> </table>		2	15	TO	4	15	MO	DAY		MO	DAY			TO			MO	DAY		MO	DAY	PERMANENT <ul style="list-style-type: none"> ___ 1. PROFESSION ___ 2. POOR HEALTH ___ 3. NON-RESIDENCE ___ 4. MINOR CHILDREN ___ 5. FULL TIME STUDENT ___ 6. OTHER 	TELEPHONE NUMBERS HOME PHONE NUMBER 598-6142	JUROR NUMBER 97145
2	15	TO	4	15																				
MO	DAY		MO	DAY																				
		TO																						
MO	DAY		MO	DAY																				
		WORK PHONE NUMBER EXT 587-4613 216	SERVICE EXPIRATION DATE 10/30/72																					
MILEAGE ONE WAY 3		TOTAL 42	VOTER REG. NUMBER VA 1234																					
		SOCIAL SECURITY NUMBER 357/80/3391	DAYS SERVED 7																					

BACK

SERVICE RECORD				
APPEARANCE	DAILY TRIAL			ACTIVITY CODE
	MONTH	DAY	TRIAL	
1st	6	1	2	
2nd	6	17	3	
3rd	7	7	C4	6
4th	7	21	K5	C1
5th	7	22		C1
6th	7	23		C1
7th	7	30	C1	
8th				
9th				
10th				
11th				
12th				
13th				
14th				
15th				

ACTIVITY CODE:
 1 - APPEARED/SERVED
 2 - APPEARED/NO SERVICE
 3 - NOTIFIED NOT TO REPORT
 4 - CHALLENGED/DEFENSE
 5 - CHALLENGED/PROSECUTION
 6 - EXCUSED/COURT
 7 - ABSENT
 8 - ASSENT/EXCUSED

TRIAL CODE:
 C - CIVIL
 K - CRIMINAL

SPECIAL ACTIONS
 1. JUROR NOTIFIED BY CERTIFIED MAIL, CLAIMED
 2. UNCLAIMED
 3. CONTEMPT HEARING SET
 4. JUROR DISCHARGED

JURY REPORT
QUALIFICATION STATISTICS

JANUARY 1, 1970 - DECEMBER 31, 1970

	JANUARY 1970		JUNE 1970		DECEMBER 1970	
	TOTAL	PERCENT	TOTAL	PERCENT	TOTAL	PERCENT
FIRST MAILING						
RETURNED BY POST OFFICE	437	8.74	495	9.90	441	8.82
NO RESPONSE	627	12.54	566	11.32	768	15.36
RESPONDED	3,936	78.72	3,939	78.78	3,791	75.82
TOTAL AFFIDAVITS MAILED	5,000	100.00	5,000	100.00	5,000	100.00
FOLLOW-UP MAILING						
RETURNED BY POST OFFICE	90	14.36	78	24.22	160	34.48
NO RESPONSE	189	30.14	86	26.71	59	12.72
RESPONDED	348	55.50	158	49.07	245	52.80
TOTAL FOLLOW-UP NOTICES MAILED	627	100.00	322	100.00	464	100.00
JURORS QUALIFIED FIRST NOTICE	1,424	28.48	1,638	32.76	1,485	29.70
JURORS QUALIFIED SECOND NOTICE	119	2.38	110	2.20	143	2.86
TOTAL JURORS QUALIFIED	1,543	30.86	1,748	34.96	1,628	32.56
AVERAGE PERCENT OF JURORS QUALIFIED						32.79

01-N

STATISTICAL SUMMARY
FELONY CASES DISPOSED IN JULY, 1972

