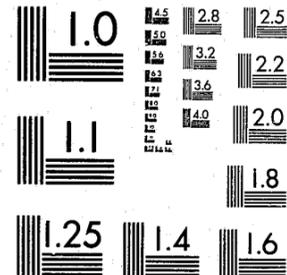


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Information Systems:

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A National Model

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Preface

One bane of the technological age is the cold computer language which tries to describe a function or activity accurately. "Information systems" is one of those phrases. Even though it's a cold name, it encompasses a warm area of concern: the record-keeping and data gathering systems found in most juvenile courts.

In this preface, I want to entice judges, court administrators and office managers into reading the following material, a cookbook of sorts, for recording, retrieving and analyzing data and for defining some important concepts such as "referrals."

Just for an instant picture your record-keeping system. Is the information for the swift administration of justice readily available? Or has your system swallowed the data and now refuses to give it up? Picture, too, the space problems in your office building. If you see the dwindling storage space, the swelling collection of records, boxed, stacked, misplaced and sometimes even lost, then now's the time to examine your record-keeping system. See if it's a Frankensteinian monster, or a proper servant of the courts.

The Model system presented in this document is designed to record pertinent information about a juvenile, allow quick retrieval of that information, including summary statistics for fast, factual analysis of the court's activities.

The system provides information for office managers or court administrators so that they can more easily make their management decisions. Also, the daily activities of recording and retrieval will be made easier. But beyond the daily benefits of the Model, there are several other important considerations.

The Model allows you to record and gather facts so that quantitative data can be prepared for various commissions and committees making recommendations related to juvenile justice. Since the *Gault* decision, many findings have been based on the opinions of "experts" and not on actual data gathered from the juvenile justice system. For "hard" data is not only difficult to locate, but, once found, often suffers from a myriad of methodological and definitional infirmities. Without an information system, it is difficult to extract reliable data about the activities of the juvenile court.

The information system can also become your buckler and shield in the growing war of accountability. While court system personnel intuitively "know" the dimensions of their world, they cannot readily employ factual data to show the disposition of the cases of the nation's children.

In addition, if you are involved in the preparation of reports for city, county and state governments, the Model system provides you with the summaries, the overview needed to help supply data to legislators and policymakers. The advantage, of course, is that with implementation of the Model, the courts can act instead of react to demands or criticism.

A few quick words about the Model. It's flexible. Size and complexity of the court were not considerations in its development. It's described and developed for non-technical juvenile court personnel. You can use the Model for either a computer system or a manual one. The Model's primary function is to establish a uniform system of core data that should be collected. It also demonstrates *how* information should be collected, and how an information system project should be conducted.

Included in this report are information requirements, system specifications, data elements needed, uses of information, and reports to be generated. These are all parts of the Model which are discussed in detail. The Appendix contains a glossary and a section on computer software documentation—more cold language jargon but important for standardizing usage.

The preparation of the materials contained in this book was immeasurably enhanced by the contributions of an extremely talented group of professionals. In particular, I wish to thank the JISRA Advisory Committee (Appendix I) for their guidance and diligence in the development of the Model.

Further thanks go to the Office of Juvenile Justice and Delinquency Prevention, National Institute for Juvenile Justice for providing the funds to support this work. I am particularly grateful to the Institute's Director, Dr. James C. Howell, who served as project monitor.

Finally, I thank the members of the National Council, and Dean Louis W. McHardy, Executive Director, for their continued encouragement and support.

Lawrence A. Boxerman
November, 1977

I. The JISRA Project

From its inception in 1975, the Juvenile Information System Requirements Analysis Project (JISRA) has dealt with the use of computers in the Juvenile Justice System. The results of the research done in the first phase were reported in *Juvenile Justice Information Systems: A National Assessment* (National Council of Juvenile and Family Court Judges, 1976). Along with a clear picture of the "state-of-the-art," one of the most important discoveries from Phase I was that, although there is a tremendous proliferation of automated juvenile justice information systems in the United States, no comprehensive material has been published on the form, functions and development of a standard system. This book, the result of JISRA—Phase II, endeavors to fill that need.

A. WHAT IS AN INFORMATION SYSTEM?

An information system in the context of this Model is both a repository of recorded information and a process by which data is collected about the activities of the court and assembled to show the user how the court is functioning. It is a tool for supporting the task of information management.

An information system is developed from a basic set of needs and requirements. And although this set is expanded and further detailed as the system is developed, there are certain basic juvenile court needs and requirements that must be clearly identified and thoroughly documented prior to beginning any system design. They are:

- Administration Procedural Requirements
- Daily Work Effort Needs
- Statistical Needs
- Management Planning Needs
- Research and Evaluation Requirements

The primary question to be answered is, "What must the information system be capable of doing in order to meet these needs and requirements?" To answer that question, each of the basic needs and requirements must be reviewed in detail in order to develop a clear picture of how the *present* court system is handling them.

Documenting the present-day system is the critical first step in building an information system. Without such documentation, no one can say with certainty what information the court needs nor what changes are necessary in the present system to fully develop a new information system. If

this step were omitted from the process, the likely result would be the creation of an information system inadequate for the court that it is supposed to serve; or one which duplicates needs already well served by the existing system.

After this first step is completed, conduct a needs and requirements analysis. Examine administrative procedures to determine the information required to support administrative activities. The same should be done with front line work effort, considering what kind of information is needed to support the workers in the system as they set about accomplishing their tasks (e.g., what does the probation case worker need by way of information to help get the job done more efficiently and effectively?). Statistical needs will be identified in large part by management during the process of developing management information needs and identifying external needs, e.g., state and federal reporting requirements.

The information requirements related to research will depend on each particular court system's definition of the kinds of research needed or desired. For purposes of the JISRA Model, research is tied closely with evaluation and both are to be conducted for pragmatic purposes (i.e., meeting the needs of the functional system rather than *primarily* supporting thesis development and other academic concerns).

Once the needs and requirements of the court have been identified, the design of the information system can evolve. Software and hardware can be identified for possible transfer and/or be developed, and specifications for both can be drawn up. Actual functions of the information system can be agreed upon by the system's developers and by the users of the system. In other words, the question, "What will the information system do?" can be answered, in detail, as it pertains to each functional area of the court.

There are several additional points that need to be made regarding the use of computer systems. Most of this discussion centers on the basic differences and relative virtues of the two main methods of processing information—batch processing and on-line processing.

On-line processing for both input and output can provide the user with more data faster than any other method available for information systems. The user can instantly update the file(s), can "reach into" the system and extract particularized information in seconds, and, perhaps more importantly for the management user, can massage the data and cause the computer to mold bits and pieces of information into comprehensive studies of what is going on in any particular work area of the court. This, too, can be done rapidly whereas with batch systems and manual systems such examination would take considerably longer to complete.

As demonstrated by the research conducted during Phase I of the JISRA Project, any on-line system will cost the user more in real dollars than

would a batch or manual system, at least initially. In the long run, however, the on-line system will save the user time and, quite possibly, the need for that amount of additional manpower which would have been required without the benefit of a good automated information system. Real time saved and fewer additions to staff translate into dollars saved. The amount of additional money spent on an on-line information system would then begin to be balanced through savings in other spending areas. This would *not* happen overnight; it would take a few years to see the savings begin. But, long-range planning can show the user *now* when to expect savings to occur in the future, how much savings can be anticipated, and from what areas the savings can reasonably be expected to come.

It should also be remembered that hardware costs are dropping rapidly (much like the small calculator) and, while computers still cost a lot of money, they are cheap in comparison to those systems sold just a few years ago. Software *can* be expensive. On the other hand, software can be reasonable, especially once a core set of programs is developed, tested, and made available to any juvenile court system. Using the Model described in this book, such a project is being developed by the National Council (JISRA—Phase III).

All of this is not to say that batch processing is without merit. Nor, for that matter, can it be said that a good manual system isn't workable. Both methods may be very appropriate for any given system and, when finances and/or other resource problems do not permit, these methods may be the user's only means of establishing an information system. If this should be the case, it is very important that the user look ahead and set up the information system with an eye toward eventual on-line capability. Using the same process and Model as described in this report, the developer can obtain an efficient manual or batch system that will certainly be adaptable to an on-line system.

Something should also be said concerning the issue of "dedicated" versus "shared" computers. With today's technology, it is a misconception to believe that one must own one's own computer in order to have a dedicated system. You can, and many systems do, share a computer (the physical part) and still maintain a dedicated system for the juvenile court. As soon as this issue is set aside, many courts will begin to look around in search of some existing computer facility with enough "time" on it to allow sharing of the facility. Of course the juvenile court must exercise more care *vis-a-vis* confidentially when sharing a computer facility, but this can be successfully achieved without compromising the data. Once a shared site is obtained, the cost of developing and maintaining an automated information system should drop. The only problem to be resolved, if necessary, might be intragovernmental in terms of who is in charge of the facility, who pays what to whom, etc. Judges ought to be able to resolve

such disputes should they arise. Also, the presence of comprehensive planning and systems development may, in the near future, necessitate the sharing of computer facilities. Conversely, with the drop in hardware costs, stand-alone minicomputers may be the wave of the future.

All of the above—from the initial identification and laying out of present system functions, to the hardware, software, and people who use the information for their day-to-day work and management of the court—make up the Information System. The process of the system is the way in which the various people relate to each other and to the system's production. In effect, it is the court process which defines the product. The information system (automated or manual) cannot operate on its own volition; people and court system needs dictate the character of the information developed. The court's daily routines must be successfully integrated into the information system, and vice versa.

B. WHY A MODEL?

The first important reason for using a model is *uniformity*. The assumption here is that the presence of uniform data collection among the many state and local variations of the juvenile court would enhance the operation of the Juvenile Justice System nationwide. After the model is developed, the core of which will be acceptable to court systems regardless of their size and/or complexity, some *standardization* of basic data terminology, system design, output reports, software uses, and types of data collected will follow.

Secondly, once a standard system becomes viable and acceptable, development costs and the time needed to build any given system can be significantly reduced. For its information system, a court need only take the Model and shape it to fit its needs. This Model has been constructed to fit any given court system rather than requiring the court to adjust itself to fit the Model. The Model contains the *core* (i.e., basic) elements of an information system and, while the core must remain, the Model can be stretched to fit the needs of any court. The "stretching" takes place through modular add-ons such as personnel control, fiscal accounting, child support and restitution components.

After the JISRA Model is actually installed and tested, this entire effort will be documented to the extent that the automated information system created by the Model can be transferred to other court systems. With the availability of the Model system software, such a transfer can be made with much greater ease than would be the case if, for instance, a court system in Indiana merely adopted (or tried to adopt) an information system created especially for a juvenile court in Oregon. Tailor-made systems are not easily adaptable.

Another reason for developing a Model system is the *accountability* issue. Once a prototype becomes the basis for the development of information systems by juvenile courts, the Juvenile Justice System as a whole can benefit by the establishment of uniform measurement criteria to show how the System is working in performing its principal task of taking care of children. With a good information system, the juvenile court can more easily account for its own activities and demonstrate the effective use of resources to its funding source. The information system can also play an important role in upgrading a court's research and help justify the need for additional resources.

II. System Overview

Before discussing the development of the Model system, it is necessary to outline the general assumptions and capabilities of the JISRA information system, and thereby identify its basic parameters. The basic question, "Why automate?" or "Why JISRA chose to automate?" will also be addressed.

A. Assumptions

The JISRA Model has several general assumptions built into its development, and one should be cognizant of these assumptions before considering the details. They are:

1. The model is a conceptual one for use in a juvenile or family court in any jurisdiction (i.e., county, circuit, and in a few cases, state, e.g. Utah, Rhode Island, Connecticut).
2. The system is MANAGEMENT/USER ORIENTED in the sense that it is designed to aid the judge, administrator, and court staff in managing their daily work.
3. The system, although applicable to all juvenile courts—small or large, sophisticated or basic—is not so general as to be useless to the reader.
4. The system is useful regardless of a given court's process flow. For example, although the system is designed with the assumption that intake and probation services are within the purview of the court, this situation is not necessary for the model to be applicable. In short, the model is flexible.
5. The system is modular in design (i.e., expandable as a function of individual needs) and has been constructed with the notion that

LESS IS BETTER for the core system. Further, the model assumes a centralized control of work flow.

6. The model system significantly enhances the records system.
7. The model is useful in either a batch or on-line environment, although the latter is preferred (see Chapter I for a discussion of the on-line preference).
8. The system is both a CHILD- and EVENT-tracking system.

B. Capabilities

The Model computer system supports five major internal and external capabilities.

1. Records Management (Internal Housekeeping)

- a. Internal information system management—keeping track of how the information system is working.
- b. Edits—quality control of data: making sure that the data is complete and accurate.
- c. Audits—providing a guide for analyzing and inspecting source documents and transactions to substantiate the information system's validity.
- d. Indexing—keeping an automated cross-reference on children's records and file numbers.
- e. Sealing/Expungement—closing a record to the public and/or physically removing a record from the files and destroying that record (or a portion thereof).

2. Case Management (Individual)

- a. Intake reports—reports on the activities of the court's intake unit.
- b. Detention reports—statistics and data, by name, on the children being detained and/or released.
- c. Assignment reports—information as to where the cases are assigned, date of assignment, etc.
- d. Court hearing reports—information on court hearings including dates, actions, and results.
- e. Disposition reports—data on types and methods of case dispositions.
- f. Caseload reports—reports on the caseloads of probation officers and other system personnel showing size and fluctuations.
- g. Placement reports—reports indicating the types and numbers of child placements made by the court, as well as placement reports by child's name.

3. **Agency Management**—A series of reports which concentrate on court activity in terms of:

- a. Time between events—how much time, for example, is taken between referral and disposition of a case (averages).
- b. Volume—for example, the number of referrals and hearings held showing increases/decreases by type.
- c. Geography—the locations from which referrals are being made; where referred children live.
- d. Summary statistics—these include reports showing the total number and kinds of referrals and dispositions by sex, age, geography and other reports of a summary nature.

4. Outside Reporting

- a. Annual report—the report made by the juvenile court each year showing its activities for the previous year.
- b. State reporting—providing required information to the state's highest court or other department for review and information purposes.
- c. National reporting—reporting summary statistics to a Federal Agency to help provide a national picture of juvenile delinquency and juvenile court activities.

5. Special Needs

- a. Evaluation—information to assist the court in assessing its own actions for purposes of internal improvement.
- b. Research—data needed to conduct research into special fields of delinquency (e.g., prevention, deinstitutionalization) and court activity.
- c. Federal compliance—data needed to comply with regulations and statutes, such as those dealing with privacy and security, and data for those courts with federally funded projects requiring quarterly reports.

C. Why Automate?

The ability of the computer to receive, process, store and retrieve large volumes of information makes it a *relevant* tool for the contemporary administration of juvenile justice.

Prior to describing the specific symptoms that predicate the need for a review of one's information system, it is important to note that a recurrent theme, the volume of work, will be at the heart of the following discussion. That is, the size of the workload, not merely the size of the court, is usually the underlying factor causing the maladies which afflict the management of a court's operation. As the workload increases, the chief probation officer or court administrator becomes less likely to know the name of each child under his care. Consequently, what was once a very efficient

“seat of the pants” management and planning method becomes ineffective and untenable.

What follows, then, is a description of how the volume problem may manifest itself in a juvenile court.

Symptoms:

1. Over-Extended Clerical and Record Room Staff:

When the volume of work increases, clerical and record room staff become strained as they try to answer an increased number of phone inquiries; perform more record checks; and keep up with file control (keeping track of the location of the files) and file maintenance (keeping the files current). Where once a 3x5 card system served as an adequate case index or summary, this arrangement—even when augmented by electro-mechanical filing systems—becomes burdensome and inaccurate as the case load grows. Misfilings occur and searches within common names become laborious. The net result is a heavy backlog.

2. Reporting System Begins to Suffer:

This symptom is usually evidenced by monthly reports being submitted late, containing too little data, and/or exhibiting inaccurate information; October's reports show up in December; data is missing; and case assignment totals don't match case load reports. This, then, is a symptom of uncontrolled volume growth. System “informants” (court staff) who see themselves primarily as direct service agents change priorities away from data generation duties in trying to keep up with daily events.

3. The Organizational Structure Becomes Unclear:

As an agency gets bigger, it appears inevitable that organizational and administrative changes occur often in a relatively haphazard manner. For instance, as a small court grows in terms of volume of cases and additional personnel, the record room may become an entity separate from the clerical pool resulting in two divisions rather than one. This mitosis, or splitting effect, may occur again with a resultant statistics unit, and even again with the creation of a research unit. So where there was once a nuclear clerical staff handling everything, the enlarged agency has four separate units and their relation to one another, both procedurally and administratively, can become blurred and troublesome.

4. Loss of the “Big Picture”:

(It requires a wide screen and Technicolor and all you have is a 12-inch black-and-white Sony).

This symptom is felt most by administrators as they struggle with minimal data to ascertain some clear notion of how the agency's

overall caseload process is working; what resources are used and which are needed, and try to deal with a myriad of other data-related decisions without the necessary data.

5. External Demands Outstrip Data Availability:

Legislatures, supreme courts, funding agencies and the public seem to have a proclivity for demanding data of courts at a rate and in amounts heretofore unheard of, and many courts are simply unable to comply. Pressure is then exerted on the unfortunate judge or administrator to find an immediate answer. Also, researchers from local academia, in an effort to investigate the causes of delinquency and gauge program effectiveness, request data for their samples—and it can't be easily obtained.

6. The uneven assignment of cases leads to disparate caseloads in terms of both size and complexity, making it difficult to meet the needs of the community.

7. Compliance reporting to state agencies (e.g., for reimbursement) becomes a burden as complex requirements are enacted by the legislature.

These are the most common events which precipitate the need for overhauling one's information system. They may occur singly, or in any combination, but all point to the fact that without some fairly concrete action, an information crisis will develop and affect the total operation of the court. The earlier the problem is recognized the better, because information system projects are certainly not overnight affairs. They take time, money and people who must be able to work diligently and with patience.

Computer systems offer the following qualities which relate to the solution of the problems above:

1. Multiple Outputs from Single Input: For example, by entering a child's name into an automated information system at intake, that single entry can be used for many purposes, such as system generated case listings, name indexing, and document generation.
2. Logical Editing: Computers can make some very basic checks as to the accuracy of incoming information. For instance, the system may compare the day's date with the date of the alleged violation as entered, and, if the latter exceeds the former, an error message will be generated automatically, before the error becomes part of the record.
3. Information Completeness Monitor: Supplied with the appropriate instructions, the computer can keep track of incomplete records. For example, if a child's birthdate is an important part of all records, the computer can search and identify those records which are missing this information and provide a listing of such records so they may be completed.

4. Enhanced Statistics: Number crunching is one of the computer's strong points. It counts, samples and does statistical analyses at a level which is intolerably laborious on a manual basis.

5. Quick Access: A computer system has the potential for improving and speeding up access to vital case information. Through devices such as a CRT (video screen) linked directly to a computer and its storage devices, record information may be retrieved in virtually seconds. Also, the ability to move data in a timely manner between agencies is greatly enhanced by automation.

In this overview, consideration has been given to the assumptions underlying the Model system, the applications it will support, and a review of potential benefits related to automation. Specifically, the Model is a prototype for use in any juvenile court, it is management/user oriented; flexible; and both a child and event tracking system. It is designed to support records management, case management, agency management, outside reporting and special reporting needs.

That the advantages of an automated information system can be substantial is evident from our earlier work (see page 6), and the material provided above. And, although much of what follows can be used for assessing and designing a manual set-up, the focus will be on developing and implementing an automated system.

III. System Development

The system development process is similar to the process by which buildings are designed and constructed. This method of development has proven its worth and should be recognized as necessary in establishing a computer-based information system as well as useful in assessing the adequacy of a manual system and planning for its possible redesign. This process consists of eight specific phases: (A) Initiation, (B) Design-In-Concept, (C) Design-In-Principle, (D) Design-In-Detail, (E) Programming and Testing, (F) Installation, (G) Post-Installation Audit, and (H) Maintenance and Operation. The key to the system development process is the use of successive iterations of design in progressively greater detail and precision. In the early phases, however, there is but small investment of effort with great potential benefit. Pitfalls can be foreseen before it is too late. Furthermore, each iteration provides a distinct checkpoint for users and management to approve or disapprove and to ask searching questions.

A. **Initiation Phase:** The information problem is identified by the administrator, chief probation officer and staff representatives then documented with formal approval given to proceed into the next phase. The initiation document is short, formal and outlines the

problem. Thereafter, one of the most important meetings to occur in the series of events leading to an information system project is that which occurs between the administrator and judge. As the first step in correcting the problem, the administrator describes the specific information-related problems noted in the outline and seeks the judge's ideas and approval for a complete review of operations. With the judge's consent, a Project Director is recruited to carry out the information system's review and design (see "Keys to Success," p. 20).

- B. Design-In-Concept:** In this phase, basic alternatives are investigated and major questions of policy defined. The question is asked: "Should basic processes be modified?" Goals for the system are established; conceptual solutions to meet these goals are developed; and costs and benefits are roughly estimated. This phase consists of two major activities: a review of operations and the setting of system goals.

Review of Operations:

1. **The first step** in the review is for the project director to discuss court-related policies and problems with the judge. Are the reports he receives timely and of value to him? What reports would he like to see? Are the cases coming into court properly prepared? Are they promptly scheduled on the docket, or is the length of time from receipt of referral to hearing too long? Are the workers knowledgeable of their cases? At this point in the review, we are trying to assess the judge's perception of court operations first as a jurist, and secondly, as the person usually responsible for the entire court operation.
2. **The second step** is to discuss with the administrator, or director of court services, his or her function in the court. Again, find out what types of reports he receives; what he uses them for; how often he gets them; and how accurate and valuable they are. At the same time, copies of these reports, forms, etc., should be collected for use later in the system design. At this point, it is necessary to discuss and prepare a flow of work loads through the court, from the administrator's viewpoint, employing an organization chart. If there isn't one, it should be prepared. A good functional structure lends itself to full utilization of all court resources and is required in implementing an automated information system. As the administrator is usually the person responsible for the day-to-day operation of the court, it is necessary to discern his viewpoint of the court and each of its functions (intake department, children's service, legal process, detention, and the administrative department).

3. **The third step** is to determine the viewpoint of each supervisor from each unit or division. In order to accomplish this, obtain copies of all forms for each area, along with a description of their use and meaning to each unit or division. Also, an inquiry should be made into what the supervisor would like to have in the way of information. In these areas, considerable time should be spent in defining the detailed system and operation of the juvenile court. This would include gathering information on such things as how workloads are received; whether or not they are received promptly; what and where one finds over-lapping areas of responsibilities in units or divisions; whether there is sufficient staff; and a description of the overall flow of work in each unit.
4. **The fourth step** is to talk with some of the line staff from each unit or division. This would include interviews with individuals involved in intake, caseload management, special services, detention, legal services, financial matters, clerical, etc. Again, copies will be requested of all forms with notes on their use and meaning. What the staff would like to see is also an important question. As in step three, time should be spent in learning the detailed duties of the line staff.
5. **The final step** is to have a meeting with the above groups to discuss the court's functions and the group's expectations. An agenda is set up by the Project Director to review his findings and to set some general system goals. At this time, representative committees are established for future problem solving.

Setting System Goals:

Based on the information gathered through the "Review of Operations" and the concomitant committee meetings, a set of goals for the improvements desired is spelled out in detail. This is one of the most critical parts of the information system project, for it is the goals which will provide guidance in deciding whether or not to automate and will direct all further decisions regarding system design, development and implementation. Literally every part of the final system will reflect these goals, and the success of the system will be gauged on how well the goals are met. Some general rules in setting the system goals are as follows:

1. Use measureable criteria for improvement where possible, e.g., timeliness of reporting; time to retrieve information, improved data accuracy.
2. Weigh possible liabilities against expected benefits when considering something like worker evaluation scores.
3. Guard against over-expectations, i.e., be sure system goals are *realistic* as a function of the resources available.

In our work, we have found three major classes of information systems' goals, and in order of utility, they are as follows:

- Management Information Improvement goals.
- Procedural Improvement goals.
- Evaluation Related goals.

In sum, this phase is analogous to creating and viewing renderings of a building prior to the detail design including rough estimates of cost and space requirements. Do we want two floors in the building or four? Do we want 200,000 or 400,000 square feet? Such basic questions must be answered before design can proceed. Design-in-concept normally requires only about 5 percent of the total development effort for the project. At this point, an often overlooked but useful strategy is to consider bringing in representatives of the funding agency(s) so they may have some background when the eventual request for funds is received.

- C. **Design-in-principle:** During this phase, one of the alternative types of systems to meet the basic needs of the court is selected; costs and benefits are estimated again; and detailed specifications are prepared. This is similar to the design of a building in the scale model stage. Design-in-principle usually requires about 10 percent of the total developmental effort. Design-in-concept and design-in-principle together ordinarily constitute about 15 percent of the total system project. Yet the user has already had two opportunities to review and to stop the work on the system if necessary.

At this point the decision must be made about the use of a computer. All of the material gathered up to this point and all of the discussions held by the various users of the system should be assimilated. The weight of authority, which includes finances and need, will control the use of either a computerized or manual information system. If a manual system is chosen, the following steps can still be used by substituting all reference to automation with manual system terms (e.g., "computer programming" becomes "rules for how the data will be handled, stored and retrieved").

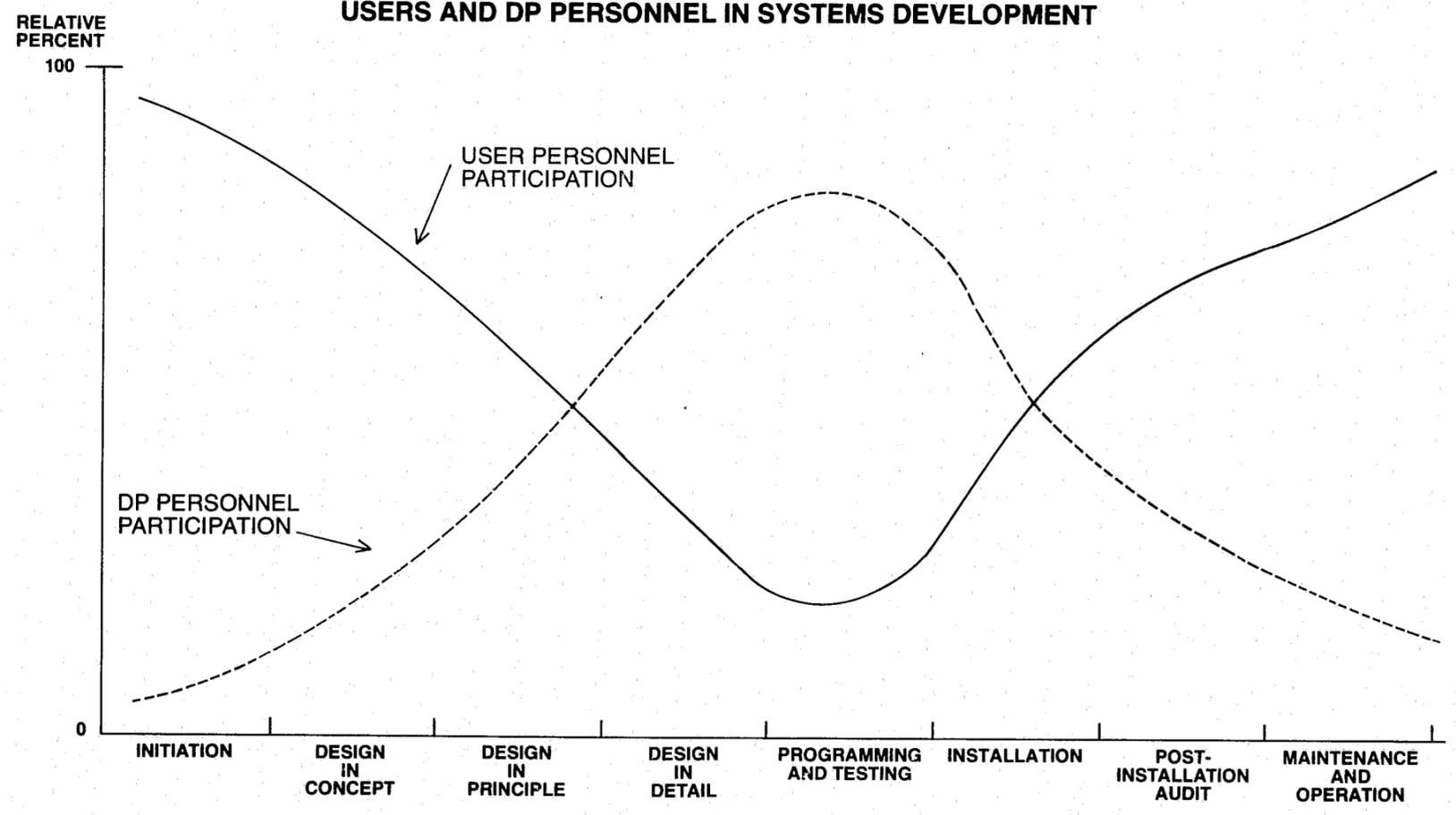
- D. **Design-in-detail:** This step is the true system design preparatory to performing the actual computer programming. It includes such tasks as preparing document layouts for reports and input; creation of detailed flow charts; and data element definition and justification. This phase resembles the development of detailed blueprints for the building. Too often EDP systems *start* with the design-in-detail, which is like starting the blueprints of the building before knowing space requirements or what general floor plan is desired.

- E. **Programming, testing and conversion:** In this phase, the actual computer programs are developed and tested. Here, too, the task of converting paper records to machine-storable form must begin. Often called "creating the data base," conversion can be a time-consuming step and should be approached with great care. The basic question is how much of what records should be stored at the outset. The answer can range from converting all information from all records (not recommended) to converting the essential information from active cases only (our choice), to converting nothing at all. In this step, programming is similar to constructing the building with furnishings added in the form of the converted data.
- F. **Installation:** During installation, the system, as developed by the designers and programmers, is turned over to the users; final flaws are corrected; and a smooth transition to full operation is assured. This parallels the cutover period when, for example, a new generating plant is turned over to a public utility from a contractor.
- G. **Post-installation audit:** The system as originally planned is compared against the system as it actually turns out. During the audit, the system is evaluated in light of the original objectives formulated during the design-in-concept, and if necessary corrective action is recommended and taken.
- H. **Maintenance and operation:** This is a very important phase, although not often recognized as such. It comprises actual operation of the system by both data processing (DP) personnel and users, and modifications are made as required through an evaluation process.

A significant factor in the systems development process is the relative involvement of users and DP staff. While user involvement is very high during the initiation and design-in-concept phases, it diminishes during programming and testing. However, the users' involvement again increases during the post-installation audit, and in the operation and maintenance of the information system. Note, however, that absolute work effort varies from phase to phase. The programming and testing phase requires far more man hours than the post-installation audit. Relative proportions of user and DP participation are illustrated in Figure 1.

In brief, this systems development process helps to further reduce DP expenditures by defining responsibilities and eliminating redundancies of effort. It reduces the possibility of costly system modification made necessary by incomplete systems design. The responsiveness of the system development effort to the user is increased, and the quality of the final product is more closely controlled.

FIGURE 1.
RELATIVE PARTICIPATION OF
USERS AND DP PERSONNEL IN SYSTEMS DEVELOPMENT



The four keys to the success of any information system are:

1. **Commitment** at all levels within the system but particularly at the highest level. This commitment is not only measured by rhetoric, but by the amount of actual time and effort the upper level people put into the design and development phases of the project.
2. **Good Systems Design** which comes from completing all the necessary front-end work and following each of the developmental steps outlined above.
3. **Adequate Resources** (people/money/machines). Automated systems are expensive. It is extremely important to determine design and start-up costs as well as to estimate costs for on-going operation and the possibility of future modifications. Identifying and cultivating funding sources for each set of costs should be done in the early phases of the project.
4. **Competent Project Staff**
As outlined below, and barring drastic legislative change in the court, competent project staff will assure the completion of the project without too many surprises. Several important questions regarding proper staffing follow:
 - a. **Who Designs:** The system design should be accomplished by a Project Director who has some knowledge of computers and a thorough knowledge of the court's operations, functions, and responsibilities. Preferably, this should be a court staff person who could be assigned full time to this project. If present staff cannot be considered, a person with the above qualifications should be employed to direct the design, to implement it, and be responsible for the on-going operation of the system. The system design cannot be accomplished by a staff person who already has a full workload and should not be done entirely by outside consultants who leave when the job is done. Beware of designer-dependent systems.
During the system's design, staff at all levels, including the judge and administrator, must participate in the planning. Involvement of staff naturally generates a commitment on their part to the successful development and operation of the information system. Efficient use of staff in planning and problem solving enhances the system and keeps the staff informed of the progress being made.
 - b. **Visitations:** It is strongly recommended that a court contemplating a computer-based information system visit one of the several courts having an operational system. The interested court can see and test the other system in operation, discuss with the judge, administrator, and other staff the successes and failures of the

system, and gain valuable insight into the system's effect on staff and treatment programs. In order to determine what system to see, one should review *Juvenile Justice Information Systems: A National Assessment* (National Council of Juvenile and Family Court Judges) as this book contains detailed information on 20 currently operational systems.

- c. **Who Programs:** For the best allocation of funds, as well as to insure on-going continuity of the system, a Project Programmer should be employed by the court or assigned full time from the computer center staff, instead of using a contractual programmer. The design and programming of an information system is very complex and to change programmers after implementation could require as much as 4-6 months for a new programmer to learn the program architecture.
- d. **Staff Changes:** As discussed in a and c, the addition of a Project Director and Programmer is recommended if present staff is not available or qualified. In most cases, the present clerical staff may be retrained and assigned to new tasks such as data entry. Reallocation of other staff normally would not be necessary, although insertion of a data interpreter between the system and administrator can be very effective.
- e. **Consultants:** Consultants should be used only on an "as needed" basis and only then for specific and very definable projects, with constant evaluation of the progress of their work. At least one in-house person should be assigned to work with any consultant(s) used. Contracts with consultants must be specific about the work to be accomplished and the completion dates for the work product.
- f. **Training:** From the start, the entire court staff should have a thorough understanding of what the computer system is, its goals, and how they are to be involved. All employees of the court must be trained in the areas that affect them. It may be necessary to train some of the employees in multiple operations for better control. The training should be supervised by the Project Director and should be provided during the project rather than afterwards. For a thorough discussion of training considerations, read *Guidelines for Development of Computer Training Curricula for Court Personnel* (National Center for State Courts publication No. R0015).

An information system project, then, is a complex interaction of many people with different interests. If carefully managed, the project will result in the creation of a viable system which meets the goals set for it. At times

it will seem as if the front-end work (Phase A-D) will take forever. And it will if you let it. There *is* a point at which too much design is as dysfunctional as not enough. On the other hand, although circumstances may allow you to telescope parts of the developmental process, any "quick and dirty" approach will result in less than a stellar product.

To complete this section, it is perhaps useful to reiterate the three most difficult areas in any information system project. They are: obtaining adequate resources and a good Project Director; training staff; and converting records. Each is critical, and each has the potential for wreaking havoc with or causing the demise of the system.

IV. System Specifications

The previous chapters have outlined the general scope of this Model system and provided guidance on the mechanics of information system projects. The remainder of this report deals with the specifics of the Model, its requirements, recommended minimum data elements, and a set of sample output reports and displays. Because this system may be implemented on a variety of hardware/software configurations, no discussion of file design is attempted. However, some sense of file structure can be taken from the manner in which the data elements are grouped.

Before proceeding, it is recommended that the reader review the system assumptions and capabilities (pp. 10-12).

A. System Flow

When a child comes in contact with the juvenile justice system, a number of things can happen. These "things," which we term events, range from the child being counseled and returned home, to the filing of a petition for a judicial determination of the child's status *vis a vis* the law. The specific events which may occur in the handling of a child brought to the attention of the court are as varied as the courts themselves. But the commonalities are equally striking.

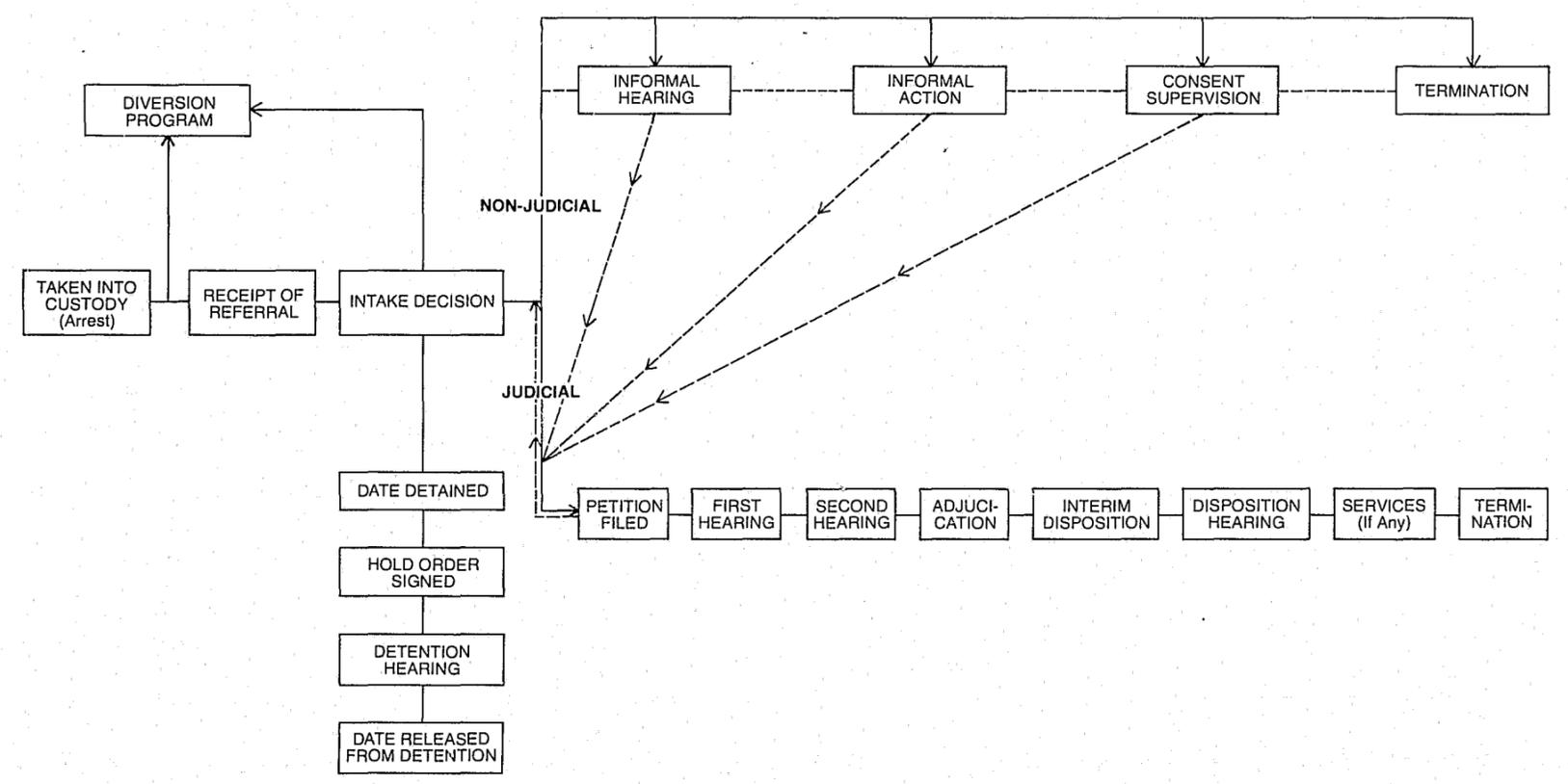
Therefore, based on a study of 40 juvenile courts, the following diagram represents the major events which could occur in the handling of a child (Fig. 2), and the Model system has been designed around it.

B. Data Elements

The following list of data elements was chosen for the JISRA Model after an extensive examination of the systems included in Phase I, the SEARCH Group, Inc. State Judicial Information System (SJIS), the Juvenile Court National Reporting System, and other relevant sources. These data elements conform to the basic criteria set by the JISRA

FIGURE 2.

MAJOR EVENTS MONITORED BY SYSTEM



Advisory Committee of collecting and using only those data elements needed for the applications outlined on pp. 11-12.

Along with the data element list is a data dictionary which describes the meaning of each data element. These descriptions may or may not conform to any particular system's definitions and are used for purposes of the Model. It may be necessary, due to statutory language or custom and usage, to modify these descriptions. However, if at all possible and in the interest of uniformity, the definitions used here should be maintained. The section beginning on page 30 contains a further elaboration of those data elements marked with an asterisk (*).

JISRA—Phase II Model System Data Elements

FILE INFORMATION

No.	NAME	DESCRIPTION
1.1	Date File Created	Date system accepts a new file.
1.2	Date of Last Update	Date the computer file was last altered or updated.
1.3	Agency I.D.	Identifies the agency creating the record on the child.
1.4	Family File Number	Permanent number assigned to the child's present family unit for grouping purposes—siblings, half siblings, step-siblings, foster siblings.
1.5	Child's Number	Identifies the child within the family (a suffix to family file number).
1.6	*Paper File Location	The physical location of the file.
1.7	File Status	Indicates if file is open/active-open/inactive or closed.

CHILD INFORMATION

No.	NAME	DESCRIPTION
2.1	Name	Child's surname; given name; middle initial.
2.2	Alias	Other known names used by child.
2.3	*Race	Identifies the race of child
2.4	*Sex	Identifies the sex of child.
2.5	Age	Age of child at time of referral.
2.6	D.O.B.	Child's date of birth—verified Y/N.
2.7	Place of Birth	City and state of child's birth place.

No.	NAME	DESCRIPTION
2.8	Address	House number, street name, city, zip municipality.
2.9	Phone	Area code and phone number of child.
2.10	*Living Arrangement	Indicates person(s) with whom child is currently living by the relationship of that person to the child.
2.11	*Job Status	Indicates employment status of child.
2.12	Attending School	Identifies whether or not child is currently in school (Y/N).
2.13	School Name	Name of a specific school or school district where child is enrolled.
2.14	School Grade	Current grade in school of child.
2.15	*Custody Status	Indicates person(s) having current legal custody of child by the relationship of that person to the child.
MOTHER:		
2.16	Name	Mother's last name; first name; and middle initial.
2.17	Maiden Name	Surname before marriage.
2.18	Address	Number, street, city, state, zip.
2.19	*Occupation	Identifies current work in which mother is employed.
2.20	Marital Status	Single; Married-living together; Divorced; Separated.
FATHER:		
2.21	Name	Father's last name; first name; and middle initial.
2.22	Address	Number, street, city, state, zip.
2.23	*Occupation	Identifies current work in which father is employed.
2.24	Marital Status	Single; Married—living together; Divorced; Separated.

REFERRAL INFORMATION

No.	NAME	DESCRIPTION
3.1	Referral Number	The number assigned consecutively to each separate referral as they are received (see glossary for definition of referral).
3.2	Date of Referral	Actual date the child was referred to the court.
3.3	*Reason for Referral	The specific reason the child was referred to the court (i.e., homicide truancy, neglect, etc.). This field includes all charges and "counts."
3.4	*Source	Indicates Police Department, municipal agency or other source referring child to the court.
3.5	P.D. Report Number	Number of Police Report associated with a referral.
3.6	Date of Offense	Date of alleged offense as reported by Police Department.
3.7	Location of Offense	Indicates the geographic location where the alleged offense took place (as determined by police report).
3.8	Time of Offense	Time of alleged offense, if delinquency (24-hr. clock).
3.9	Date Taken into Custody (arrest)	Date child is taken into custody for court purposes or apprehended for an alleged offense.
3.10	Detained	Indicates whether or not the child is placed in a secure detention facility (Y/N).

INTAKE & NON-JUDICIAL HANDLING INFORMATION

No.	NAME	DESCRIPTION
4.1	Current Worker I.D.	Identifies worker assigned to referral at each stage of the process.
4.2	*Intake Decision	Indicates basic decision or how case is to be handled, formally or informally, and if informally, the specific disposition
4.3	Intake Decision Date	Date the Intake Department makes a determination as to how the referral is to be handled.
4.4	Date-Informal Hearing	Date informal hearing was held.
4.5	Date-Informal Action	Date informal action was taken.
4.6	Date Closed (Informal)	Date upon which informal case will be closed.

DETENTION INFORMATION

No.	NAME	DESCRIPTION
5.1	Location	Location of secure facility where child was placed after being taken into custody.
5.2	Date Detained	Date of Detention (Mo., Day, & Year).
5.3	*Reason	Indicates why child was placed in detention.
5.4	Date of Final Release	Date child was released from detention.
5.5	Release to Whom	Indicates to whom the child was released.
5.6	Medical or other Special Problems	A flag to alert staff that child has a medical or other special problem.
5.7	Date Hold Order Signed	Indicates if a hold order was issued as a result of a detention hearing or if a child was held temporarily at time of referral.
5.8	Detention Hearing Date	Date of hearing needed to authorize or continue detention.

COURT ACTIVITY—JUDICIAL

No.	NAME	DESCRIPTION
6.1	Legal File Number	Number assigned by Clerk of Court to identify legal file if different from social file.
6.2	Type Petition	Indicates type of proceedings before the court, e.g. delinquency, neglect, adoption, etc.
6.3	Date Petition Filed	Date petition filed with court.
6.4	Date Supplemental Filed	Date supplemental petition filed.
6.5	Charges (Allegations)	Specifies alleged violations of code by statute reference or by specific charge where applicable.
6.6	Change from Referral	Indicates case where petition charges are different from reason for referral.
6.7	Case Number	Case number assigned for record keeping and referral grouping purposes.
6.8	Plea	Indicates the child's plea(s) (guilty, not guilty, nolo contendere) to allegation(s) in petition.
6.9	*Type of Representation	Child's attorney type.

HEARING: (multiple)

No.	NAME	DESCRIPTION
7.1	Docket Date	Scheduled date of hearing.
7.2	Date of Hearing	Actual date of hearing.
7.3	Court Number	Number identifying courtroom where hearing is to be held.
7.4	*Type	Identifies the nature of the hearing, e.g., 1st, 2nd Adjudication, Disposition, Review.
7.5	Heard by	Name of Judicial officer before whom case is being brought.
7.6	Motions	Indicates type of motions entered on case.
7.7	Continued to	Date to which hearing reset.

DISPOSITION

No.	NAME	DESCRIPTION
8.1	*Type	General class of court order.
8.2	*Placement	Placement ordered by the court.
8.3	Date Placement Commenced	Date treatment and/or placement (ordered by the court) begins.
8.4	Unit	Identifies facility where treatment takes place; if probation, identifies probation unit.
8.5	Worker	Person responsible for seeing that disposition is carried out.
8.6	Duration	Length of time ordered by the court for the treatment and/or placement.
8.7	Date Closed (Formal)	Date the child is released from the jurisdiction of the court.

REVIEWS

No.	NAME	DESCRIPTION
9.1	Review Date—Ordered	Notes date of case review ordered by the court.
9.2	Review Date—Optional	Notes review date at option of worker for his use only.

APPEALS

No.	NAME	DESCRIPTION
10.1	Date of Appeal	Date appeal filed
10.2	Date Transcript Ordered	Date transcript ordered

C. Data Element Values

In reviewing the data elements, it is apparent that some do not readily lend themselves to conversion into machine language as they have a range of values and need to be assigned codes. An example of this requirement would be the list of "Reason(s) for Referral" which provides a scheme for coding law violations and other reasons a child may be referred to the court. These reasons for referral can best be handled by assigning code numbers by offense category and by specific offense within each category. Such coding gives the user and the system greater speed and accuracy when dealing with this type of information. (NOTE: Coding is for *input* only, *output* reports will be written rather than noted numerically.)

JISRA—Phase II Data Element Values

1.6 Paper File Location

Intake
Detention
Prosecutor
Court
Probation Department

2.3 Race

White	Spanish Heritage
Black	—Central American
American Indian	—Cuban
Japanese	—Mexican
Chinese	—Puerto Rican
Filipino	—South American
Korean	—Other Spanish
	All Other

2.4 Sex

Male
Female

2.10 Living Arrangement

Both Natural Parents	Relatives
Mother Only	Independent
Father Only	Institution
Step Parent & Natural Parent	Group Care
Foster Family	Other

2.11 Job Status

Employed Full Time
Employed Part Time
Unemployed

2.15 Custody Status

Both Natural Parents	Relatives
Mother Only	Independent
Father Only	Institution
Step Parent & Natural Parent	Group Care
Foster Family	Other

2.23 Occupation

FROM: 1968 Supplement to Dictionary of Occupational Titles, 3rd edition, Bureau of Labor Statistics US

Professional, technical and managerial occupations
Clerical and sales occupations
Service occupations
Farming, fishery, forestry, and related occupations
Processing occupations
Machines trades occupations
Bench work occupations
Structural work occupations
Miscellaneous occupations

3.3 Reason for Referral

Note: What follows is a recommended structure for classifying the reasons a child is referred to the court. This is a generalized scheme because a detailed list of offenses will necessarily conform to each state's code. However, each court is *URGED* to use the major categories described below with the appropriate elaboration to insure uniformity in data collection & reporting.

Homocide

- Murder and nonnegligent manslaughter—The unlawful killing of a human being with malice aforethought.
- Manslaughter by negligence—The unlawful killing of a human being, by another, without malice aforethought.

General Rule—The killing may result from the commission of an unlawful act or from a lawful act performed with gross negligence. Traffic deaths, when due to the gross negligence of someone other than the victim, are classified in this category.

Forcible Rape

- Rape by force—The carnal knowledge of a female forcibly and against her will.
- Attempted forcible rape—All assaults and attempts to rape.

General Rule—FORCIBLE rape of a female—excluding carnal abuse (statutory rape) or other sex offenses.

Robbery

The felonious and forcible taking of the property of another, against his will, by violence or by putting him in fear. Includes all attempts.

- **Gun**—All robberies and attempted robberies involving the use of any type firearm (revolvers, automatic pistols, shotguns, zip guns, rifles, pellet guns, etc.).
- **Knife or Cutting Instrument**—All robberies and attempted robberies involving the use of cutting or stabbing objects (knife, razor, hatchet, axe, cleaver, scissors, glass, broken bottle, dagger, ice pick, etc.).
- **Other Dangerous Weapons**—All robberies or attempted robberies when any other object or thing is used as a weapon. (This includes clubs, bricks, jack handles, bottles, explosives, acid, etc.).
- **Strong Arm—Hands, Fists, Feet, Etc.**—All robberies which include mugging and similar offenses where no weapon is used, but strong arm tactics are employed to deprive the victim of his property. This is limited to hands, arms, fists, feet, etc. As in armed robbery, include all attempts.

Assaults

An assault is an attempt or offer, with unlawful force or violence, to do physical injury to another.

- **Gun**—All assaults and attempted assaults involving the use of any type of firearms (revolvers, automatic pistols, shotguns, zip guns, pellet guns, etc.).
- **Knife or Cutting Instrument**—All assaults and attempted assaults, involving the use of cutting or stabbing objects (knife, razor, hatchet, axe, cleaver, scissors, glass, broken bottle, dagger, ice pick, etc.).
- **Other Dangerous Weapon**—All assaults or attempted assaults when any other object or thing is used as a weapon (clubs, bricks, pick handles, bottles, acid, explosives, lye, poison, scalding water and cases of attempted drowning, burning, etc.).
- **Hands, Fists, Feet, Etc.—Aggravated**—assaults which are of an aggravated nature when hands, fists, feet, etc., are used. To be classified as aggravated assault, the attack must result in serious personal injury.
- **Other Assaults—Not Aggravated**—All offenses of simple assault and battery and others of a minor nature.

General Rule—All assaults will be classified in the above categories, excluding assaults with intent to rob or rape but including attempted murder.

Burglary (Breaking & Entering)

Breaking and Entering—Unlawful entry or attempted forcible entry of any structure to commit a felony or larceny.

- **Forcible Entry**—All offenses where force of any kind if used to enter unlawfully a locked structure, with intent to steal or commit a felony. This includes entry by use of a master key, celluloid, or other device that leaves no outward mark but is used to open a lock. Concealment inside a building, followed by the breaking out of the structure, is also included.
- **Unlawful Entry—No Force**—Any unlawful entry without any evidence of forcible entry.
- **Attempted Forcible Entry**—When determined that forcible entry has been attempted.

General Rule—Any unlawful entry or attempted forcible entry of any dwelling house, attached structure, public building, shop, office, factory, storehouse, apartment, house trailer (considered to be permanent structures), warehouse, mill, barn, camp, other building, ship or railroad car.

Larceny—Theft (Except Auto Theft)

The unlawful taking of the property of another with intent to deprive him of ownership.

General Rule—All larcenies and thefts resulting from pocket-picking, purse snatching, shoplifting, larceny from auto, larcenies of auto parts and accessories, theft of bicycles, larcenies from buildings, and from coin operated machines. Any theft that is not a robbery or the result of breaking and entering is included. Embezzlement, larceny by bailee, fraud or bad check cases are excluded.

Motor Vehicle Theft

The larceny or attempted larceny of a motor vehicle.

General Rule—This classification includes the thefts or attempted theft of a motor vehicle which, is described as a self-propelled vehicle that runs on the surface and not on rails. Excludes reported offenses where there is a lawful access to the vehicle, such as a family situation or unauthorized use by others with lawful access to the vehicle (chauffeur, employees, etc.). Includes "Joy riding." Excluded from this category are airplanes, boats, farm equipment and heavy construction vehicles, which are scored in the larceny category.

Arson

All violations of state laws and municipal ordinances relating to arson and attempted arson.

- Any willful or malicious burning to defraud, a dwelling house, church, college, jail, meeting house, public building or any building, ship or other vessel, motor vehicle or aircraft; contents of buildings, personal property of another, goods or chattels, crops, trees, fences, gates, grain, vegetable products, lumber, woods, cranberry bogs, marshes, meadows etc.

Note: In the event of a death from arson, the offense would be classified as murder and if personal injury results, the offense would be classified as assault.

Forgery and Counterfeiting

All offenses dealing with the making, altering, uttering or possessing, with intent to defraud, anything false in the semblance of that which is true.

- Altering or forging public or other records. Making, altering, forging, or counterfeiting bills, notes, drafts, tickets, checks, credit cards etc.
- Counterfeiting coins, plates, bank notes, checks, etc.
- Possessing or uttering forged or counterfeiting instruments.
- Non-sufficient funds.
- Signing the name of another or fictitious person with intent to defraud.
- All attempts to commit any of the above.

Fraud

Fraudulent conversion and obtaining money or property by false pretense. Includes bad checks, confidence games etc., except forgeries and counterfeiting.

Embezzlement

Misappropriation or misapplication of money or property entrusted to one's care, custody or control.

Stolen Property: Buying, Receiving, Possessing

Include in this class all offenses of buying, receiving, and possession of stolen property, as well as all attempts to commit any of these offenses.

Vandalism

Include in this class all willful or malicious destruction, injury, disfigurement or defacement of any public or private property, real or personal, without consent of the owner or person having custody or control, by cutting, tearing, breaking, marking, painting drawing, covering with filth, or any other such means as may be specified by law or ordinance. This offense covers a wide range of malicious behavior directed at property.

Weapons: Carrying, Possessing, Etc.

This class deals with violations of weapons laws such as:

- Manufacture, sale or possession of deadly weapons.
- Carrying deadly weapons.
- Aliens possessing deadly weapons.
- All attempts to commit the above.

Prostitution and Commercialized Vice

Include in this class the sex offenses of a commercialized nature, such as:

- Prostitution
- Keeping bawdyhouse, disorderly house, or house of ill repute.
- Pandering, procuring, transporting or detaining women for immoral purposes etc.
- All attempts to commit any of the above.

Sex Offenses

Except forcible rape, prostitution and commercialized vice. Include offenses against chastity, common decency, morals, and the like.

- Adultery and fornication
- Incest
- Indecent exposure
- Sodomy
- Statutory Rape—(No Force)
- All attempts to commit any of the above.

Narcotic Drug Laws

Narcotic drug law referrals are requested on the basis of the narcotics used. Include all referrals for violations of state and local ordinances, specifically those relating to the unlawful possession, sale, use, growing, manufacturing and making of narcotic drugs. Make the following subdivisions of narcotic drug law arrests.

- Opium or cocaine and their derivatives. Morphine, heroin, codeine.

- Marijuana.
- Synthetic narcotics, manufactured narcotics which can cause true drug addiction. Demerol, methadones.
- Dangerous non-narcotic drugs. Barbiturates, benzedrine.

Gambling

All referrals which relate to promoting, permitting or engaging in gambling. To provide a more refined collection of gambling referrals, the following breakdown should be furnished:

- Bookmaking (Horse and sport books)
- Numbers and lottery.
- All other.

Driving Under the Influence

This class is limited to the driving or operating of any vehicle while drunk or under the influence of liquor or narcotic drugs.

Liquor Laws

With the exception of "Drunkenness" and "Driving Under the Influence" liquor law violations, state or local, are placed in this class. Do not include federal violations.

- Manufacturing, sale, transporting, furnishing, possessing etc.
- Bootlegging.
- Operating still.
- Using vehicle for illegal transportation of liquor.

Drunkenness

Include in this class, all offenses of drunkenness or intoxication, with the exception of "Driving Under the Influence"

- Drunk and disorderly.
- Public intoxication.

Disorderly Conduct

In this class, count all disorderly persons referred except those counted in all classes above and in "vagrancy."

Vagrancy

Place in this class arrests for disorderly persons when the person is referred for failure to give a good account of himself.

All Other Offenses

Include in this class, every other state or local offense not included in the above classes.

- Abduction and compelling to marry.
- Abortion (Death resulting from abortion is homicide).
- Blackmail and extortion.
- Bribery.
- Contempt of Court.
- Perjury and subornation of perjury.
- Possession, repair, manufacture, etc., of burglar's tools.
- Possession or sale of obscene literature.

- Unlawful use, possession, of explosives, etc.

Curfew and Loitering Laws (Juveniles)

Include all referrals for violations of local curfew or loitering ordinances.

Runaway

Include referrals made by *other jurisdictions of runaways from your jurisdiction* and your own local cases. Do not include protective custody actions with respect to runaways you take from other jurisdictions.

Dependency (Neglect)

Include here all referrals for neglect or abuse of children.

- Desertion, abandonment, or non-support.
- Neglect or abuse of children.

Truancy

Ungovernable Behavior

Traffic Violations

Violation of Probation

Special Proceedings

Include cases initiated for actions such as termination of parental rights, marriage, adoptions, changes of custody, etc.

Administrative Actions

Include cases that are requested for special action such as requests for out of town investigations, sealing of records, courtesy supervision, etc.

3.4 Source

Self (walk-in)
Police
Family
Probation Officer
School
Neighbor
Other Court
Social Agency
Health Agency
Church
Other

4.2 Intake Decision

Adjust & Dismiss

- after investigation
- due to insufficient evidence
- with reprimand

Refer to Other Agency

Consent Supervision

Interstate Compact Handling

Transfer to Other Jurisdiction

Formal Court Process

Special Program (e.g., Diversion)

5.3 Reason Detained

Danger to Self

Danger to Community

Courtesy Detention

Parents Refuse Custody

Parents Not Available

Child Won't Go Home

Pending Court Action

Pending Placement

Warrant Issued

6.9 Type of Representation

Privately Retained

Public Defender

Court Appointed

Legal Aid Agency

Other

7.4 Type (Hearing)

Informal

Temporary Custody

Detention

First Hearing (Arrestment)

Second Hearing (Pre-trial)

Adjudicatory

Adjudicatory & Dispositional

Dispositional

Transfer (waiver, certification)

Probation Revocation

Contempt

Review

Expungement/Sealing of Record

Special

8.1 Type (Disposition)

Petition Denied

Petition Withdrawn

Matter Dismissed

Transferred (waived) to Adult Court

Transferred to other Jurisdiction

Institutionalization

Other Placement Ordered (including temporary)

Probation Ordered

Probation Revoked

Suspended Disposition

Restitution

Fine

Interim (deferred)

Counseling, Psychological, Psychiatric Services Ordered

Special Program

Vocational Program

Drug Rehabilitation

Legal Custody to Other Than Parents

Final Adoption Decree

Expungement Ordered

8.2 Placement

Own Home
 Foster Home
 Group Home
 Home of Relatives
 Department of Corrections
 State Institution/Residential School
 State Mental Hospital
 Other Public Institution
 Other Private Institution

D. System Output Reports

The reports in this section are based on the general needs of the juvenile court and the applications outlined on pp. 11-12. They provide a set of basic tools for monitoring and managing the court. For purposes of enhancing the Model system, several factors should be taken into consideration during the requirements analysis. These factors are:

1. The major **workload areas** of the court.
 - a. Do the court's activities include detention, intake, legal department, probation staff, treatment facilities, *etc.*?
2. The **special needs** of the various functional areas of the court.
3. The **legal requirements** mandated which require special treatment by or for the information system.

As for the workload areas of the court, the question to be answered is, "What amount of time is spent and how much cost is involved in each of the identified workload areas?" For instance, it is quite possible that the probation division (if one exists within the court system) will take up as much as 75% of the court's budget and almost as much manpower. Therefore, probation would be a major workload area (function) of the court and considerable effort should be given to the management of that area. The information system's design would reflect this need.

An example of one of the special needs of the court's functional areas would be that of information concerning the detention unit. This unit most probably requires a good deal of time and money, much like probation. However, detention requires special attention in that the information system must be able to provide *daily* reports on the children being detained, along with the reasons for detention. The system cannot afford to lose track of children at any time during their processing, but most especially during their detention.

Although the court is performing a judicial function and certain types of judicial information are mandatory (e.g., administrative or legal requirements for data on average detention times, number of children adjudicated

delinquent, etc.), it is also necessary to look at the total or overall picture of the court's responsibilities and functions so that reasonable judgments as to the types of information required for management of the court can be made. Also, determination must be made of the cost of data acquisition versus the benefits such data can provide. Such cost/benefit work will become one of the factors used to decide whether or not any given bit of information should be made part of the data system. One area where this test might not be applicable is that of *mandated* information, i.e., data required either by law or judicial rule: it will no doubt cost money to include in the information system without being of much benefit as far as managing the system is concerned. Nevertheless, such data must be included to satisfy the law or other reporting requirements.

The reports illustrated in this section are organized to allow ease of summarization and speed in selecting out particular data. As with any report, the way in which each is organized should be carefully studied by the user so that data can be obtained at a glance. Each report is numbered (e.g., JISRA 101) and the caption at the top explains its contents. Recommended frequency of distribution and distribution points are also indicated on each report at the top of the page. The data contained in the reports is, generally, self-explanatory. For clarity, however, the needs and uses for these reports precede each one.

Whenever possible, reports that are to be distributed to the judge or top management (administrator) should be summarized and trends noted by an assistant. This is necessary so that the manager will not be inundated with stacks of paper which require precious time to sort through. Summarized information will permit quick recognition of the strengths and weaknesses of the Court System and allow for appropriately timed action. The information system should be used to *benefit* the court and make things more efficient both operationally and in terms of management. It should not be allowed to inhibit the users from doing their jobs. However, the users of the system, including top management, should become thoroughly familiar with the entire contents of the reporting system so as to be the masters of the data, not the other way around. Once in a while, a user will need to dig into the body of a report to get at some data to answer a particular question from the news media or from a funding agency. To know the organization, format, and contents of each report is to permit the user quick access to the data and the ability to respond to outside questions without hesitation.

The following summary page was developed to give the reader an overview of the kinds of reports contained herein; the frequency with which each report is to be generated; and the recommended distribution points for each.

While these reports are management oriented, much of the information contained in each will prove useful to the daily user as well. Probation workers can use the reports as well as CRT-generated displays to obtain instant information on any individual or group of children on an *as needed* basis. The data system will be constructed to provide maximum data for daily use as well as for management. Thus, the system should allow workers more time to engage in direct service and deal more effectively with their caseload. It may also be used to reduce normally repetitive clerical tasks through computer generated document production.

Before getting into the actual reports, please note that whenever a report contains *names* or other personal identifiers of children, special care must be afforded the handling, distribution, and disposition of those reports. Confidentiality and security issues must be taken into account, and all laws, regulations, and court rules must be strictly followed.

JISRA—Phase II Model System Output Reports

		Frequency/Distribution				
			Judge	Top Mgmt.	Middle Mgmt.	Line Staff
JISRA 100						
JISRA 101	Daily Detention Report	D	X	X	X	
JISRA 102	Children Detained—Reason for Detention	Q		X	X	
JISRA 103	Children Detained and Days in Detention	M	X	X	X	
JISRA 200						
JISRA 201	Number of Referrals by Reason for Referral	M		X		
JISRA 202	Number of Children by Reason for Referral	M		X		
JISRA 203	Recidivism Report #1—All Referrals by Type of Referral—By Child	Q	X	X	X	
JISRA 204	Recidivism Report #2—Adjudications Only by Type of Referral—By Child	Q	X	X	X	
JISRA 205	Method of Handling—Judicial	Q	X	X		
JISRA 206	Method of Handling—Non-Judicial	Q	X	X		
JISRA 207	Referral Location Report—Tracking Report	D	X	X	X	X
JISRA 208	Referrals by Marital Status of Natural Parents	A		X		
JISRA 209	Referrals by Living Arrangements of Child	A		X		
JISRA 210	Referrals by School (or District)	A		X		

		Frequency/Distribution				
			Judge	Top Mgmt.	Middle Mgmt.	Line Staff
JISRA 400						
JISRA 401	Probation Workload Statistics	M		X	X	X
JISRA 402	Probation Report by Unit & Worker—Totals	M		X	X	
JISRA 500						
JISRA 501	Number of Dispositions by Type of Hearing	M	X	X		
JISRA 502	Dispositions—By Type of Referrals—Judicial	A	X	X		
JISRA 503	Dispositions—By Type of Referrals—Non-Judicial	A	X	X		
JISRA 504	Dispositions by Age & Type of Referral—By Child—Judicial	Q	X	X		
JISRA 505	Dispositions by Age & Type of Referral—By Child—Non-Judicial	Q	X	X		
JISRA 600						
JISRA 601	Child Placement Report	M		X		
JISRA 700						
JISRA 701	Court Activity Report	Q	X	X		
JISRA 800						
JISRA 801	Major Events Time Flow Overview by Referral (in days)—Judicial	Q	X	X		
JISRA 802	Major Events Time Flow Overview by Referral (in days)—Non-Judicial	Q	X	X		

Frequency of Reports

- D—Daily
- M—Monthly
- Q—Quarterly
- A—Annually

**REPORT JISRA #101—
DAILY DETENTION REPORT:**

This is a daily detention report listing every child that is in detention (boys and girls), the actual number of days detained, their name, age, the reason for referral, the worker's name, the reason detained, whether a hold order was signed (yes/no) and the present status of each case on each child. This report will be produced daily and should be submitted to the Judge, Top and Middle Management and any other personnel responsible for children being detained and released from detention. This report, at a glance, can indicate any bottlenecks or problems in relation to the holding of any child in detention.

JISRA—101

**DAILY DETENTION REPORT
AS OF 8:00 A.M.—6/23/77**

CURRENT DETENTION
TOTAL BOYS
TOTAL GIRLS
TOTAL

**—BOYS—
(GIRLS)**

FREQ: Daily
DIST: Judge
Top Mgmt.
Middle Mgmt.

ACTUAL DAYS	JUVENILE NUMBER	JUVENILE NAME	AGE	CHARGE	WORKER NAME	DETENTION REASON	HLD ORD	PRESENT STATUS
1	99999-01	Doe, John J.	8	Runaway	Jones	Par. Not Avail	N	open/active

• LAST PAGE •

24-Hour Detention Activity Summary
TOTAL DETAINED
TOTAL RELEASED
CURRENTLY DETAINED

Boys Girls Total

**REPORT JISRA #102—
CHILDREN DETAINED—REASON FOR DETENTION:**

This is a report that will be prepared quarterly and submitted to Top and Middle Management. This report reflects the reasons that the children have been detained (e.g., due to the nature of the offense) for the current quarter and the year to date. This is a general type of report to be utilized with other reports in determining the types of children detained and the reasons for detention.

JISRA-102

PERIOD COVERED: 1/77-3/77

**CHILDREN DETAINED
REASON FOR DETENTION**

FREQ: Quarterly
DIST: Top Mgmt.
Middle Mgmt.

REASON	DELINQUENCY		NEGLECT		TRAFFIC		SPECIAL PROCEEDING		TOTALS		
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	TOTAL
Danger to Community											
Current Quarter											
Current Year to Date											
Danger to Self											
Current Quarter											
Current Year to Date											

ALL CODES NOT LISTED

TOTAL
Current Quarter
Current Year to Date

**REPORT JISRA #103—
CHILDREN DETAINED AND DAYS IN DETENTION:**

This report is produced monthly and distributed to the Judge, Top and Middle Management and especially to the Detention Superintendent. It reflects the number of children detained by the various categories such as delinquency, neglect, traffic, special proceedings, and totals, as well as the number of days detained by the same categories. This report will indicate to Management the increases and decreases in the number of children detained over the prior year. It may also be used for reimbursement of funds for care of children detained.

MONTH ENDING: 12-31-76

CHILDREN DETAINED AND DAYS IN DETENTION

FREQ: Monthly
DIST: Judge
Top Mgmt.
Middle Mgmt.

	DELINQUENCY		NEGLECT		TRAFFIC		SPEC. PROC.		TOTALS		
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	TOTAL
THIS MONTH											
Children Detained											
Number of Days											
TOTAL TO DATE—THIS YEAR											
Children Detained											
Number of Days											
Average Days Detained											
*Standard Deviation											
TOTAL TO DATE—LAST YEAR											
Children Detained											
Number of Days											
Average Days Detained											
Standard Deviation											
PERCENT CHANGE THIS YEAR TO LAST YEAR											
Children Detained											

*The Standard Deviation is a statistical index of the variability of the raw data around the average (mean).

**REPORT JISRA #201—
NUMBER OF REFERRALS BY REASON FOR REFERRAL:**

This report is produced monthly and is distributed to Top Management. It reflects the number of referrals by offense codes by sex. Although this report is by sex there is duplication of child count in as much as there may be multiple referrals by the same boy or girl. Therefore, the referrals will be listed in the various categories under the sex classification. This report reflects the overall workload of the court by referrals and may be compared to the prior year, to reflect any increases or decreases. This report is needed for general purposes and for comparison to other courts throughout the country who report referrals as an indicator of workloads.

77

JISRA—201

NUMBER OF REFERRALS BY REASON FOR REFERRAL

MONTH ENDING: 12/31/76

FREQ: Monthly
DIST: Top Mgmt.

REASON FOR REFERRAL	PRIOR YEAR				TOTAL	CURRENT YEAR				TOTAL	% DEC./INC. TOTALS
	MONTH		YTD			MONTH		YTD			
	BOYS	GIRLS	BOYS	GIRLS		BOYS	GIRLS	BOYS	GIRLS		
DELINQUENCY											
Murder											
Assault											
Forcible Rape											

NOT ALL REFERRAL CODES LISTED

DELINQUENCY (Total)
 NEGLECT
 TRAFFIC
 SPECIAL PROCEEDINGS
 GRAND TOTAL—
 ALL REFERRALS

REPORT JISRA #202—

NUMBER OF CHILDREN BY REASON FOR REFERRAL:

This report is produced on a monthly basis and is distributed to the Top Management. It reflects the number of children referred by reason for referral. This is an unduplicated count of children referred to the court and is listed on the report by the most serious reason for referral.

This report gives an exact indication of the number of children referred to the court, and for what reasons. It is a general report and is used for looking at the court's overall workload both currently and in comparison to the previous year.

**NUMBER OF CHILDREN BY REASON FOR REFERRAL
(Most Serious)**

MONTH ENDING: 12/41/76

FREQ: Monthly
DIST: Top Mgmt.

REASON FOR REFERRAL	PRIOR YEAR				TOTAL	CURRENT YEAR				% DEC./INC. TOTALS
	MONTH BOYS	MONTH GIRLS	YTD BOYS	YTD GIRLS		MONTH BOYS	MONTH GIRLS	YTD BOYS	YTD GIRLS	
DELINQUENCY										
Assault										
Forcible Rape										

NOT ALL OFFENSE CODES LISTED

DELINQUENCY (Total)
NEGLECT
TRAFFIC
SPECIAL PROCEEDINGS
GRAND TOTAL—
 ALL REFERRALS

**REPORT JISRA #203—
RECIDIVISM REPORT #1—ALL REFERRALS—BY CHILD:**

This report is produced quarterly and distributed to the Judge, Top and Middle Management. It reflects the number of times that a child is referred to the court. If a child has been referred to the court four times, he or she is listed under the times referred "Number 4." This report is for the current year but has a column for a count which includes the prior two years for an overall three-year review of the number of times children are referred to the Juvenile Court.

JISRA—203

**RECIDIVISM REPORT #1—ALL REFERRALS—BY CHILD
(Excluding Dismissed at Intake)**

PERIOD COVERED: 1/77-3/77

FREQ: Quarterly
DIST.: Judge
Top Mgmt.
Middle Mgmt.

TIMES REFERRED	1975-1977 TOTAL	PERCENT	1977 TOTAL TO DATE	PERCENT
01				
02				
03				
04				
05				
06				
07				
08				
09				
10 & over				
TOTALS				

**REPORT JISRA #204
RECIDIVISM REPORT #2—**

ADJUDICATIONS ONLY BY TYPE OF REFERRAL BY CHILD:

This report is produced quarterly and distributed to the Judge, Top and Middle Management. It only reflects those children who have been adjudicated.

This report is for the current year but has a column for a count which includes the prior two years for an overall three-year view of the number of children who have been referred to and adjudicated by the Juvenile Court.

RECIDIVISM REPORT #2—ADJUDICATIONS ONLY—BY CHILD

PERIOD COVERED: 1/77-3/77

FREQ: Quarterly
DIST: Judge
Top Mgmt.
Middle Mgmt.

TIMES REFERRED	1975-1977 TOTAL	PERCENT	1977 TOTAL TO DATE	PERCENT
01				
02				
03				
04				
05				
06				
07				
08				
09				
10 & over				
TOTALS				

**REPORT JISRA #205—
METHOD OF HANDLING—JUDICIAL:**

This report is produced quarterly and distributed to the Judge and Top Management. It gives the major types of dispositions by referral codes. It is an indicator or guide for an overall view of the types of dispositions being made by specific referral categories on cases that have been handled by the Judge.

JISRA—205

**METHOD OF HANDLING
—JUDICIAL—**

PERIOD COVERED: 1/77-3/77

FREQ. Quarterly
DIST. Judge
Top Mgmt.

OFFENSE	PROBATION		PLACEMENT		CERT. TO CRIM. CT.		DISMISSED		TOTAL	TOTAL
	REF	OFF CHILD	REF	OFF CHILD	REF	OFF CHILD	REF	OFF CHILD	OTHER	REF OFF CHILD
DELINQUENCY										
Murder										
Assault										
Forcible Rape										

NOT ALL CODES LISTED

DELINQUENCY (Total)
NEGLECT
TRAFFIC
SPECIAL PROCEEDINGS
GRAND TOTAL ALL REFERRALS

**REPORT JISRA #206—
METHOD OF HANDLING—NON-JUDICIAL:**

This report is produced quarterly or as needed and distributed to the Judge and Top Management. It gives the major type of dispositions by referral codes. It is an indicator or a guide for an overall view of the types of dispositions being made by specific referral categories on cases that have been handled by personnel other than the Judge.

JISRA-206

**METHOD OF HANDLING
—NON-JUDICIAL—**

PERIOD COVERED: 1/77-3/77

FREQ: Quarterly
DIST: Judge
Top Mgmt.

OFFENSE	ADJUST & DISMISS		CONSENT SUPERVISION		REFER TO OTHER AGENCY		TOTAL		TOTAL
	REF	OFF CHILD	REF	OFF CHILD	REF	OFF CHILD	REF	OFF CHILD	
DELINQUENCY									
Murder									
Assault									
Forcible Rape									

ALL CODES NOT LISTED

DELINQUENCY (Total)
NEGLECT
TRAFFIC
SPECIAL PROCEEDINGS
GRAND TOTAL: ALL REFERRALS

REPORT JISRA #207—**REFERRAL LOCATION REPORT—TRACKING REPORT:**

This report is produced daily or as required and distributed to all levels of management and line workers. This is probably one of the most important reports generated because it reflects the flow of every referral through the court. This report, if utilized properly, will insure the rapid processing of a case through the court and will not allow a case to be lost or fall through the cracks.

This report indicates, by exception reporting, those referrals that are in need of immediate attention. The report may be produced by Units or by Worker.

JISRA—207

**REFERRAL LOCATION REPORT
TRACKING REPORT
(Status)**

CURRENT DATE: 7/4/77

FREQ: Daily or as Required
DIST: As Required

*NOTE: Exception REPORT—10 Days

PRESENT LOCATION—Unit Name

LOCATION DATE	TOTAL DAYS	JUVENILE CASE NUMBER	CASE NO.	NAME LAST FIRST	REF. NO.	REFERRAL DATE	REFERRAL REASON	WORKER
6/23/77	11	99999-01		Doe John	2	6/22/77	Runaway	Jones

*The above report reflects total referrals held for a period of more than 10 days.

REPORT JISRA #208—**REFERRALS BY THE MARITAL STATUS OF PARENTS:**

This report is prepared annually or as required and distributed to Top Management. It is broken down by the various categories such as delinquency, neglect, traffic, special proceedings, and by the status of the natural parents; married, living together, etc. This report is a general report and it can be reviewed in conjunction with the other reports in order to acquire the overall pattern of the type of referrals and the living conditions of children referred to the Juvenile Courts. It may indicate trends which have implications for changes in the treatment plans of the court.

YEAR: 1976

REFERRALS BY MARITAL STATUS OF PARENTS

FREQ: *Annually*
DIST: *Top Mgmt.*

	DELINQUENCY	NEGLECT	TRAFFIC	SPECIAL PROCEEDINGS	TOTAL
	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT
Single					
Married & Living Together					
Divorced					
Separated					

ALL CODES NOT LISTED

TOTAL REFERRALS

**REPORT JISRA #209—
REFERRALS BY LIVING ARRANGEMENT OF CHILD:**

This is a report that is prepared annually or as needed. Again it is broken down by the basic categories such as delinquency, and neglect, and it indicates the living arrangement of a child such as with both natural parents, with father only, with mother only, foster home, etc. Again, this is a general report that is to be reviewed in conjunction with the other types of reports available.

REFERRALS BY LIVING ARRANGEMENTS OF CHILD

YEAR: 1976

FREQ: *Annually*
DIST: *Top Mgmt.*

	DELINQUENCY	NEGLECT	TRAFFIC	SPECIAL PROCEEDINGS	TOTALS
	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT	TOTAL PERCENT

With Both Natural Parents
Mother only
Father only

ALL CODES NOT LISTED

TOTAL REFERRALS

CONTINUED

1 OF 2

**REPORT JISRA #210—
REFERRALS BY SCHOOL (DISTRICTS)
BY REFERRAL CATEGORY:**

This report is prepared annually and submitted to Top Management. It reflects the referrals to the juvenile court by school names or districts. It is one of the reports to be used in determining where most of the referrals are coming from and one method of assignment of workers by areas.

JISRA—210

REFERRALS BY SCHOOL (DISTRICTS) BY REFERRAL CATEGORY

PERIOD COVERED: 1/77-3/77

FREQ: Annual
DIST: Top Mgmt.

SCHOOL NAME (OR DISTRICT)	DELINQUENCY		NEGLECT		TRAFFIC		SPECIAL PROC.		TOTAL		TOTAL
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	
1											
2											
3											
4											
5											
TOTALS											

**REPORT JISRA #401—
PROBATION WORKLOAD STATISTICS:**

This report is prepared monthly and distributed to Top Management, Middle Management and Line Staff. This is a report by each worker, indicating by child the cases assigned to the worker, the referral number, the date assigned, the reason for referral and the status of the child. At the bottom of this report is a summary of the workload indicating the last month's workload, the new cases assigned, the cases terminated, and the current workload. This report could be utilized by the Chief Probation Officer in controlling the workloads from an overall standpoint and in terms of comparisons between the supervision units in his division. Also, it may be used by unit supervisors in assigning new cases. All active cases are listed on this report.

JISRA—401

MONTH ENDING: 7/31/77

PROBATION WORKLOAD STATISTICS

FREQ: Monthly
DIST: Top Mgmt.
Middle Mgmt.
Line Staff

WORKER'S NAME: John Nelson

JUVENILE NUMBER	LAST NAME	FIRST NAME	REF. NO.	REFERRAL REASON	DATE ASSIGNED	EXPECTED TER-DATE	ACTUAL TERMINATION DATE	TREATMENT AND DATE PLACED
99999-01	Doe	John	2	Runaway	7/26/77	12/77		

PENDING 1st of MONTH
NEW CASES ASSIGNED
CASES TERMINATED OR
TRANSFERRED
TOTAL ENDING WORKLOAD

**REPORT JISRA #402—
PROBATION REPORT BY UNIT AND WORKER:**

This report is prepared monthly and distributed to Top and Middle Management. It reflects the summary totals of all supervision cases assigned to the worker by unit showing the number of children under supervision to a particular worker and the referrals affiliated with those children. This report reflects the current month and current year to date as well as comparative figures for the prior year. This of course indicates an increase or decrease in the workloads. This is a first look at comparing the workloads of workers and Units. By using this report and a review of the individual workloads, one may determine whether or not the workloads assigned to each of the workers are evenly distributed.

JISRA-402

MONTH ENDING: 12/31/76

PROBATION REPORT BY UNIT & WORKER

FREQ: Monthly
DIST: Top Mgmt.
Middle Mgmt.

UNIT	WORKLOAD THIS MONTH		TOTAL WORKLOAD			
	1976		1975		1976	
	DECEMBER	REF.	YEAR TO DATE	REF.	YEAR TO DATE	REF.
	CHILD		CHILD		CHILD	
INTAKE						
Staff #1						
Staff #2						
Subtotal						
Average						
Std. Deviation						
SPECIAL UNIT						
Staff #1						
Staff #2						
Subtotal						
Average						
Std. Deviation						
GRAND TOTAL ALL UNITS						
AVERAGE						
STD. DEVIATION						

REPORT JISRA #501—**NUMBER OF DISPOSITIONS BY TYPE OF HEARING:**

This report is prepared on a monthly basis and submitted to the Judge and Top Management. This report reflects the hearing type, whether judicial or non-judicial. It notes the number of dispositions by each of those hearing types broken down by child, referral, offenses by months, and who heard the case. This report gives an indication of the workloads of the various hearing officers but, consideration must be given to the types of hearing in order to make adequate judgment based on the numbers. For example, the commissioner may hear a great number more cases than the judge because he is hearing only the less serious cases.

JISRA—501

NUMBER OF DISPOSITIONS BY TYPE OF HEARING

MONTH ENDING: 12/31/76

FREQ: Monthly
DIST: Judge
Top Mgmt.

HEARING TYPE	JAN. REF OFF CHILD	FEB. REF OFF CHILD	MAR. REF OFF CHILD	(APRIL-DEC. NOT SHOWN)	TOTAL CHILD REF OFF
JUDICIAL					
Judge #1					
TOTAL (Judicial)					
NON-JUDICIAL					
Commissioner #1					
TOTAL (Non-Judicial)					

TOTAL MONTHLY
DISPOSITIONS

**REPORT JISRA #502—
DISPOSITIONS BY TYPE OF REFERRALS—JUDICIAL:**

This report is prepared on an annual basis and distributed to the Judge and Top Management. It covers judicial dispositions broken down by delinquency, neglect, traffic, special proceedings, etc., and under each of the above categories, a breakdown by sex. Again, this is a general report that is reviewed and considered with other types of referral and disposition reports.

JISRA—502

DISPOSITIONS—BY TYPE OF REFERRALS
—JUDICIAL—

YEAR: 1976

FREQ: *Annually*
DIST: *Judge*
Top Mgmt.

DISPOSITIONS	DELINQUENCY		NEGLECT		TRAFFIC		SPEC. PROC.		TOTAL		GRAND TOTAL
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	
Probation											
Placement											
Petition Dismissed											

ALL DISPOSITIONS NOT LISTED

TOTAL

**REPORT JISRA #503—
DISPOSITIONS BY TYPE OF REFERRALS—NON-JUDICIAL:**

This report is prepared on an annual basis and is distributed to the Judge and Top Management. This report indicates the number of non-judicial dispositions by the various referral categories such as delinquency, neglect, traffic and special proceedings, and under each of the above categories by sex. Again, this is a general report which is to be reviewed and considered with other referral and disposition reports.

JISRA—503

DISPOSITIONS—BY TYPE OF REFERRALS
—NON-JUDICIAL—

PERIOD COVERED: 1/77-3/77

FREQ: *Annually*
DIST: *Judge*
Top Mgmt.

DISPOSITIONS	DELINQUENCY		NEGLECT		TRAFFIC		SPEC. PROC.		TOTAL		GRAND TOTAL
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	
Consent Supervision											
Adjust and Dismiss											

ALL DISPOSITIONS NOT LISTED

TOTAL

**REPORT JISRA #504—
DISPOSITIONS BY AGE AND TYPE OF REFERRAL—
BY CHILD (JUDICIAL):**

This report is prepared on a quarterly basis or as required and distributed to the Judge and Top Management. It breaks down the major referral categories such as delinquency, neglect, traffic, or special proceedings, and indicates the number of judicial dispositions by the sex and age groups of those formally disposed of by the Judge.

JISRA—504

DISPOSITIONS BY AGE & TYPE OF REFERRAL—BY CHILD
—JUDICIAL—

PERIOD COVERED: 1/77-3/77

FREQ: Quarterly
DIST: Judge
Top Mgmt.

AGE	DELINQUENCY		NEGLECT		TRAFFIC		SPEC. PROC.		TOTAL		GRAND TOTAL
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	
Under 2 yrs.											
2-5 yrs.											
6-9 yrs.											
10-11 yrs.											
12 yrs.											
13 yrs.											
14 yrs.											
15 yrs.											
16 yrs.											
17 yrs.											
18 yrs. & over											
Not Specified											
TOTAL											

**REPORT JISRA #505—
DISPOSITIONS BY AGE AND TYPE OF REFERRAL—NON-JUDICIAL:**

This report is prepared on a quarterly basis or as required and distributed to the Judge and Top Management. This is a report that is broken down by the major referral categories: delinquency, neglect, traffic, or special proceedings, and indicates the number of non-judicial dispositions by the sex and age groups of those disposed of by personnel other than the Judge.

JISRA—505

DISPOSITIONS BY AGE & TYPE OF REFERRAL—BY CHILD
—NON-JUDICIAL—

PERIOD COVERED: 1/77-3/77

FREQ: Quarterly
DIST: Judge
Top Mgmt.

AGE	DELINQUENCY		NEGLECT		TRAFFIC		SPEC. PROC.		TOTAL		GRAND TOTAL
	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	BOYS	GIRLS	
Under 2 yrs.											
2-5 yrs.											
6-9 yrs.											
10-11 yrs.											
12 yrs.											
13 yrs.											
14 yrs.											
15 yrs.											
16 yrs.											
17 yrs.											
18 yrs. & over											
Not Specified											
TOTAL											

**REPORT JISRA #601—
CHILD PLACEMENT REPORT:**

This report is produced on a monthly basis. It shows the placement of every child under the jurisdiction of the court and includes the child's name, juvenile number, the date of the disposition, and the number of months and days that each child has been at each location. This report is to be reviewed by Top Management to determine the time that a child has been in a particular location, and to specifically investigate a particular case for any special needs. If special criteria are presently set up for review of cases in various placement locations, this report would only be produced on an exception basis. In some states this report may be the basis for a foster care payroll system.

CHILD PLACEMENT REPORT

MONTH ENDING: 9/31/77

FREQ: Monthly
DIST: Top Mgmt.

LAST NAME	FIRST NAME	(IN.)	JUVENILE NUMBER	DISPOSITION DATE	DATE PLACED	TERMINATION DATE	DAYS IN PLACEMENT CURRENT MONTH	TOTAL TO DATE	REVIEW DATES
• NAME OF INSTITUTION A.									
Doe	John	J.	99999-01	8/10/77	8/12/77		31	49	12/77

**REPORT JISRA #701—
COURT ACTIVITY REPORT:**

This report is produced on a quarterly basis or as needed and distributed to the Judge and Top Management. It indicates the number of petitions filed, pending, disposed of, the number of supplemental petitions, the motions to certify, etc. This report is broken down by the major categories, delinquency, neglect, traffic, and special proceedings, etc. and contains data from the current year and the prior year in order to determine if there has been an increase or decrease in the total number of filings before the court.

JISRA—701

PERIOD ENDING: 12/31/76

COURT ACTIVITY REPORT

FREQ: Quarterly
DIST: Judge
Top Mgmt.

PROCEEDING	DELINQUENCY	NEGLECT	TRAFFIC	SPECIAL	TOTAL
NO. PETITIONS FILED					
This Quarter					
Year-to-Date					
Last Year-to-Date					
PENDING					
This Quarter					
Year-to-Date					
Last Year-to-Date					
DISPOSED					
This Quarter					
Year-to-Date					
Last Year-to-Date					
NO. SUP. PETITIONS FILED					
This Quarter					
Year-to-Date					
Last Year-to-Date					
PENDING					
This Quarter					
Year-to-Date					
Last Year-to-Date					
DISPOSED					
This Quarter					
Year-to-Date					
Last Year-to-Date					
MOT. TO CERTIFY					
This Quarter					
Year-to-Date					
Last Year-to-Date					

**REPORT JISRA #801—
MAJOR EVENTS TIME FLOW OVERVIEW (IN DAYS)
BY REFERRAL—JUDICIAL:**

This report is prepared quarterly and distributed to the Judge and Top Management. It shows the time flow of children through the court as previously outlined in Figure 2 by listing the time that has elapsed between each processing point, broken down by the major categories, delinquency, neglect, traffic and special proceedings. This report covers referrals handled judicially and can be used as a tool in improving the time required in processing referrals through the court.

JISRA—801

**MAJOR EVENTS TIME FLOW OVERVIEW
BY REFERRAL (IN DAYS)**

—JUDICIAL—

MONTH ENDING: 12/31/76

FREQ: Quarterly
DIST: Judge
Top Mgmt.

FROM:	ARREST	RECEIPT OF REFERRAL	INTAKE DE- CISION	PETITION FILED	1st HEARING	2nd HEARING	ADJUDICA- TION	INTERIM DIS- POSITION	DISPOSITION HEARING
TO:	RECEIPT OF REFERRAL AVG—*SD	INTAKE DECISION AVG—*SD	PETITION FILED AVG—*SD	1st HEARING AVG—*SD	2nd HEARING AVG—*SD	ADJUDICA- TION AVG—*SD	INTERIM DISPOSITION AVG—*SD	DISPOSITION HEARING AVG—*SD	TERMINA- TION AVG—*SD

BY:
DELINQUENCY
NEGLECT
TRAFFIC
SPECIAL
PROCEEDING
TOTAL

*Standard Deviation

**REPORT JISRA #802—
MAJOR EVENTS TIME FLOW OVERVIEW (IN DAYS)
BY REFERRAL—NON-JUDICIAL**

This report is prepared quarterly and submitted to the Judge and Top Management. It shows the time flow of children through the court as previously outlined in Figure 2 by listing the time that has elapsed between each particular processing point broken down by the major categories delinquency, neglect traffic, and special proceedings which were handed non-judicially.

This report may be utilized in determining the average time flows in the areas indicated to see if they are reasonable and if there is a possibility of improving the time flow within each area.

JISRA—802

**MAJOR EVENTS TIME FLOW OVERVIEW
BY REFERRAL (IN DAYS)
—NON-JUDICIAL—**

MONTH ENDING: 12/31/76

FREQ: Quarterly
DIST: Judge
Top Mgmt.

FROM:	ARREST	RECEIPT OF REFERRAL	INTAKE DECISION	INTAKE DECISION	CONSENT SUPERVISION
TO:	RECEIPT OF REFERRAL AVG- <i>SD</i>	INTAKE DECISION AVG- <i>SD</i>	INFORMAL ACTION AVG- <i>SD</i>	CONSENT SUPERVISION AVG- <i>SD</i>	TERMINATION AVG- <i>SD</i>

BY:
DELINQUENCY
NEGLECT
TRAFFIC
SPECIAL
PROCEEDING
TOTAL

*Standard Deviation

E. System Output Displays

The three graphics which follow show the types of visual displays which can be generated by an automated information system. The first graphic (Illustration I) depicts an indexing routine which can best be described as a name search on a CRT video screen. The operator enters a *last* name and only a first initial. The computer searches all files for such data and displays those last names with first names beginning with the same first initial and gives additional identifying information for each name so that the operator can be certain as to the individual being requested.

The second graphic (Illustration II) is also a CRT display which shows the operator a "snapshot" of all demographic and case activity information on a given juvenile. This type of visual report can give a worker an instant review of any juvenile's background and juvenile court history.

The third illustration is a display which gives, in detail, a history and chronological referral (or contact) list for a given juvenile and also shows the disposition action on each referral.

ILLUSTRATION I

DISPLAY JUVENILE NAME
ENTER CALL CODE: JNAM ... LAST NAME.FIRST NAME

JNAM .. BROWN.A	D.O.B.	Mother's Name	File No.
BROWN ALBERT	10/12/63	MARIE	00000
BROWN ALLEN	03/06/61	NANCY	99999
BROWN ANNIE	07/26/67	CAROL	99999
BROWN ANTHONY	05/24/62	NANCY	99999

ILLUSTRATION II
"SNAPSHOT DISPLAY"

FILE NO:	99999-01	DATE LAST UPDATE	8/77
STATUS:	OPEN/ACTIVE		
NAME:	DOE JOHN J.	SEX/RACE:	M/W DOB: 09/02/69
ADDRESS:	#15 BAKER ST.	SCHOOL:	WASHINGTON MIDDLE

NO.	DATE	REASON	BY	STATUS	DATE OF DETAINED	DISPOSITION	WORKER
01	4/14/76	RUNAWAY	P.D.	DISMISSED	NO	4/14/76	JONES
02	6/22/77	RUNAWAY	P.D.	INTAKE	YES		JONES
OPEN REFERRALS							1
CLOSED REFERRALS							1
TOTAL							2

V. Privacy and Confidentiality

Juvenile records, whether maintained in a manual or automated system, are unique. They are by statute, court rule, or tradition strictly confidential or severely restricted from public access. Consequently, the questions of privacy and confidentiality are of major concern when considering the design of any juvenile justice information system. The issues surrounding juvenile record creation, access, dissemination, and destruction are complex and controversial and to date, there has been only one comprehensive report in this area, the *IJA/ABA Standards Relating to Juvenile Records and Information* (1976, Ballinger Publishing Co.).

To fill this void, the National Council's Model Court Systems and Technology Committee is currently creating a set of minimum standards considered essential for proper record-keeping in the juvenile court. This committee, with support from the Edna-McConnell Clark Foundation, is engaged in a thorough analysis of the IJA/ABA standards, a complete analysis of the relevant sections from the 50 states juvenile codes, and a review of other documents currently available on the topic of juvenile record privacy and confidentiality.

The committee's final report will be available within the year, and further information may be obtained by writing the Council's Department of Systems and Technology.

VI. Conclusion

The Model juvenile court information system described in this book is not the "ultimate" system. For although the Model represents the culmination of four years of research and direct experience with more than a dozen systems by this author, as well as the input of many judges, administrators, probation staff, and data processing professionals, it will surely change in some minor ways as experience with its use accumulates.

The Model will be expanded by those responsible for handling child support payments, and the numbers and kinds of reports will be altered to fit the unique information needs of each court.

Nevertheless, the Model represents the most comprehensive base from which to build any future system. It is a template that can be used to guide the development of a system in any juvenile court and one against which current systems may be compared.

In Phase III of this project, the software and documentation necessary to support the Model will be developed, tested, and the prototype evaluated for transference to other juvenile courts.

ILLUSTRATION III CHRONOLOGY DISPLAY

FILE NO:	99999-01	DATE LAST UPDATE	8/77
STATUS:	OPEN/ACTIVE		
NAME:	DOE JOHN J.	MALE/WHITE	
MOTHER:	DOE JEAN	DATE OF BIRTH:	09/02/69
FATHER:	DOE DAVID		

ADDRESS:	#15 BAKER STREET		
BIRTHPLACE:	ST. LOUIS MO		
SCHOOL:	WASHINGTON MIDDLE	GRADE:	11
		OCCUPATION:	N/A

DATE:	REF.	
4/14/76	01	4/14/76 RUNAWAY REF SOURCE: P.D.:
4/17/76	01	WORKER ASSIGNED: JONES
4/26/76	01	HEARING—(1) REF. HGR. ADMISSION TO CHG. DISP: DISMISSED, ADJUSTED COURT ATTY: SMITH CHILD ATTY: COLE
6/22/77	02	6/22/77 RUNAWAY REF SOURCE: P.D.
6/22/77	02	DETAINED. PAR. REFUSE CUSTDY
6/24/77	02	WORKER ASSIGNED: JONES
6/27/77	02	RELEASED TO: PARENTS
7/1/77	02	WORKER ASSIGNED: JONES
7/1/77	02	HEARING—(1) CRT. HRG ADMISSION TO CHG— DISP: PROBATION ORDERED PLACEMENT—OWN HOME COURT ATTY: SMITH CHILD ATTY: COLE

Appendix I

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**JISRA PHASE II
ADVISORY COMMITTEE**

Richard Aldridge
Senior Probation Officer
First District, 91 Prospect St.
Connecticut Juvenile Court
Stamford, CT 06901
(203) 348-77355

Hon. Margaret C. Driscoll
784 Fairfield Avenue
Bridgeport, CT 06604
(203) 336-2191

Grace Elmore
Administrative Services Assistant
C.O.R.P.U.S.
125 12th Street
Oakland, CA 94706
(415) 874-6651

Ernesto Garcia
Director of Court Services
Maricopa County Juvenile
Court Center
3125 W. Durango
Phoenix, AZ 85009
(602) 260-4210 or 269-4011

O.J. Hawkins
Executive Director
SEARCH Group, Inc.
1620 35th Ave., Suite 200
Sacramento, CA 95822
(916) 392-2550

Hon. Enrique Pena
Court of Domestic Relations
City-County Building
El Paso, TX 79901
(915) 543-2902

Michael Phillips
Deputy Administrator
Utah Juvenile Court
339 S. Sixth East
Salt Lake City, UT 84104
(801) 533-5254

Hon. Romae T. Powell
Fulton County Juvenile Court
445 Capitol Avenue, S.W.
Atlanta, GA 30312
(404) 572-2241

Hon. John Toner
Cuyahoga County Juvenile Court
2163 E. 22nd Street
Cleveland, OH 44115

Hon. Marshall P. Young
Chairman
Pennington County Court
Rapid City, SD 57701

GRANT MONITOR:

Dr. James C. Howell
National Institute for Juvenile
Justice & Delinquency Prevention
U.S. Dept. of Justice, LEAA
633 Indiana Ave., N.W.
Washington, D.C. 20530
(202) 376-3660

EX-OFFICIO MEMBER:

Al Breuel
National Criminal Justice Information
& Statistics Service
U.S. Dept. of Justice, LEAA
633 Indiana Ave., N.W.
Washington, D.C. 20530
(202) 376-2616

Appendix II

Software Memo of LEAA dated May 5, 1976, to Harry Bratt, Assistant Administrator, NCJISS, from Wayne P. Holtzman, Director, Systems Development Division.

In the above memorandum LEAA requires, as a grant condition, that whenever possible all Application Programs for Minicomputers be written in ANS COBOL in order that they may be transferred readily to another authorized user.

The Systems Specialists in the Regional and Central Offices are authorized to grant exceptions to the above where justified.

Some general observations that have been made by the Systems Development Division are as follows:

1. All forecasts agree that minicomputers will take an ever-increasing share of the computer market in the next few years.
2. Increased speed and capacity combined with reduced costs are making minicomputers available to ever-smaller businesses, police departments, courts, and corrections institutions.
3. COBOL compilers are available for virtually all brands of minicomputers. Where the manufacturer does not supply a COBOL compiler, independent software firms will.
4. COBOL is the most widely used data processing language in business data processing as well as the smaller sub-set: criminal justice data processing.
5. By insisting on the use of COBOL with the minicomputers we will be instrumental in providing upward compatibility for small installations which may start with minicomputers and later graduate to larger machines.
6. The advantages which made COBOL the most widely used data processing language on full-sized machines likewise make it advantageous for use on the minicomputers:
 - a. Simplicity of documentation
 - b. Wide and relatively economical availability of programmers
 - c. Wide choice of machines
 - d. Wide choice of software already programmed under LEAA funding and thereby available without cost.

7. The present LEAA Special Condition requiring COBOL or FORTRAN may be retained unchanged.
8. The present policy of Regional Systems Specialists authorizing exceptions to the conditions should be continued. There is an exception to every rule. Our Regional Systems Specialists who have been in their jobs an average of four years are capable of differentiating between meritorious and spurious requests for waiver.

For more detailed information please refer to the above memo.

Appendix III

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GUIDELINES FOR DOCUMENTATION OF COMPUTER PROGRAMS AND AUTOMATED DATA SYSTEMS

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GUIDELINES FOR DOCUMENTATION OF COMPUTER PROGRAMS AND AUTOMATED DATA SYSTEMS

Introduction

The planning, design, development, and implementation of computer programs and automated data systems¹ represent a considerable investment of human and automated resources. To maximize the return on this investment, and to provide for cost-effective operation, revision, and maintenance, sufficient documentation is needed at each stage of the software development life cycle. This publication has been prepared in response to that need.

Documentation provides information to support the effective management of ADP resources and to facilitate the interchange of information. It serves to:

- Provide managers with technical documents to review at the significant development milestones, to determine that requirements have been met and that resources should continue to be expended.
- Record technical information to allow coordination of later development and use/modification of the software.
- Facilitate understanding among managers, developers, programmers, operators, and users by providing information about maintenance, training, changes, and operation of the software.
- Inform other potential users of the functions and capabilities of the software, so that they can determine whether it will serve their needs.

The quality and consistency of software documentation depend on management commitment and the technical environment. The criteria for evaluating the adequacy of documentation will vary directly with the perceived need for documentation. The utility, quality, and acceptability of the documents prepared will provide a measure of the management judgment exercised in implementing the documentation guidelines.

This publication provides guidelines for the content of software documentation and examples of how management might determine when and how to utilize the ten document types described. Part 1 states the purpose of each document type and its relationship to the software life cycle. Part 2 discusses considerations in using these documentation guidelines including examples of agency or organization level guidance criteria that can be applied to determine the extent of documentation required. Part 3 presents the content guidelines for the ten document types.²

PART 1. DOCUMENTATION WITHIN THE SOFTWARE LIFE CYCLE

1.1. Scope. Computer programs and automated data systems evolve in phases from the time that an idea to create the software occurs through the time that that software produces the required output. It is recognized that there are in current usage many different terminologies to identify these phases and the stages within these phases. Three phases applicable to the software life cycle are: initiation, development, and operation. The development phase is further subdivided into four stages.

This publication provides content guidelines for ten document types generally prepared during the development phase. Figure 1 relates the preparation of the ten document types to the stages in the development phase. The amount of documentation produced is flexible, and this flexibility is discussed in Part 2. Content guidelines for the ten document types is provided in Part 3. Each of these document types can stand alone or be combined with others to meet specific documentation requirements.

FIGURE 1. Documentation within the software life cycle

INITIATION PHASE	DEVELOPMENT PHASE				OPERATION PHASE
	Definition Stage	Design Stage	Programming Stage	Test Stage	
	Functional Requirements Document	System/Subsystem Specification	Users Manual		
	Data Requirements Document	Program Specification	Operations Manual		
		Data Base Specification	Program Maintenance Manual		
		Test Plan		Test Analysis Report	

1.2. Phases. While the terminology used to describe the phases is arbitrary, it provides a convenient framework within which the development of software may be discussed.

1.2.1. Initiation. During the Initiation Phase, the objectives and general definition of the requirements for the software are established. Feasibility studies, cost-benefit analyses, and the documentation prepared within this phase are determined by agency procedures and practices.

1.2.2. Development. During the Development Phase, the requirements for the software are determined and the software is then defined, specified, programmed, and tested. Documentation is prepared within this phase to provide an adequate record of the technical information developed.

1.2.3. Operation. During the Operation Phase, the software is maintained, evaluated, and changed as additional requirements are identified.

1.3. Stages. While the terminology used to describe the stages is arbitrary, it provides a convenient framework within which the development of the ten document types may be discussed. It is recognized that not all of the document types are required to document software in every case and that in some cases the various document types may need to be combined. The flexible nature of these guidelines is discussed in Part 2.

1.3.1. Definition. During the definition stage, the requirements for the software and documentation are determined. The Functional Requirements Document and the Data Requirements Document may be prepared.

1.3.2. Design. During the design stage, the design alternatives, specific requirements, and functions to be performed are analyzed and a design is specified. Documents which may be prepared include the System/Subsystem Specification, Program Specification, Data Base Specification, and Test Plan.

1.3.3. Programming. During the programming stage, the software is coded and debugged. Documents which may be prepared during this stage include the Users Manual, Operations Manual, Program Maintenance Manual, and Test Plan.

1.3.4. Test. During the test stage, the software is tested and related documentation reviewed. The software and documentation are evaluated in terms of readiness for implementation. The Test Analysis Report may be prepared.

1.4 Document Types. The purpose of each of the ten document types, described in further detail in part 3, is defined in the following paragraphs.

1.4.1. Functional Requirements Document. The purpose of the Functional Requirements Document is to provide a basis for the mutual understanding between users and designers of the initial definition of the software, including the requirements, operating environment, and development plan.

1.4.2. Data Requirements Document. The purpose of the Data Requirements Document is to provide, during the definition stage of software development, a data description and technical information about data collection requirements.

1.4.3. System/Subsystem Specification. The purpose of the System/Subsystem Specification is to specify for analysts and programmers the requirements, operating environment, design characteristics, and program specifications (if desired) for a system or subsystem.

1.4.4. Program Specification. The purpose of the Program Specification is to specify for programmers the requirements, operating environment, and design characteristics of a computer program.

1.4.5. Data Base Specification. The purpose of the Data Base Specification is to specify the identification, logical characteristics, and physical characteristics of a particular data base.

1.4.6. Users Manual. The purpose of the Users Manual is to sufficiently describe the functions performed by the software in non-ADP terminology, such that the user organization can determine its applicability and when and how to use it. It should serve as a reference document for preparation of input data and parameters and for interpretation of results.

1.4.7. Operations Manual. The purpose of the Operations Manual is to provide computer operation personnel with a description of the software and of the operational environment so that the software can be run.

1.4.8. Program Maintenance Manual. The purpose of the Program Maintenance Manual is to provide the maintenance programmer with the information necessary to understand the programs, their operating environment, and their maintenance procedures.

1.4.9. Test Plan. The purpose of the Test Plan is to provide a plan for the testing of software; detailed specifications, descriptions, and procedures for all tests; and test data reduction and evaluation criteria.

1.4.10. Test Analysis Report. The purpose of the Test Analysis Report is to document the test analysis results and findings, present the demonstrated capabilities and deficiencies for review, and provide a basis for preparing a statement of software readiness for implementation.

PART 2. DOCUMENTATION CONSIDERATIONS

Documentation preparation should be treated as a continuing effort, evolving from preliminary drafts, through changes and reviews, to the documentation and software delivered. The extent of documentation to be prepared is a function of agency management practices and the size, complexity and risk of the project.

2.1. Responsibilities. Separable responsibilities which are inherent in the flexible nature of these guidelines are:

a. Definition of agency guidance to project managers as to what documentation should be prepared under various conditions and, perhaps, to what levels of extent, detail, and formality. See Examples A and B in paragraph 2.5.

b. Determination by a project manager of the documentation plan for a specific project, including:

- (1) What document types apply and should be prepared.
- (2) The formality, extent, and detail of the documentation.
- (3) Responsibilities and a schedule of preparation for the documentation.
- (4) Procedures and schedule of review, approval, and distribution and the distribution list.
- (5) Responsibilities for documentation maintenance and change control through the development phase.

The formality, extent, and level of detail, and other determinations by the project manager in specific cases will be more consistent if agency guidance and criteria are established. In general, as the size, complexity, and risk of a project increase, so does the need for formality, extent, and level of detail of the documentation. The Users, Operations, and Program Maintenance Manuals should be formal since they support the use of the software, particularly if the software will be used outside of the developing organization or if extensive changes are expected during the life of the software.

2.2 Document Audiences. Each document type is written for a particular "audience." The audience may be an individual or a group of individuals who are expected to use the document contents to perform a function, e.g., operation, maintenance, design, programming. The information should be presented using the terminology and level of detail appropriate to the audience.

2.3. Redundancy. The ten document types in this guideline have some apparent redundancy. This apparent redundancy is of two types. Introductory material has been included in each document type to provide the reader with a frame of reference. This information has been included to provide the "stand alone" approach, and understanding of the document with a minimum need for cross-referencing to parts of other documents that may have been produced. A second type of apparent redundancy is that most document types specify, for example, descriptions of inputs, outputs, and equipment to be included. The information that should be included in each of the document types, differs in context and, perhaps, in terminology and level of detail, since the information is intended to be read by different audiences and at different points in the software life cycle.

2.4. Flexibility. Flexibility in the use of the document content guidelines is provided by the basic organization of contents. An attempt has been made to provide an internally consistent organization scheme. The following paragraphs describe various options which should be considered.

2.4.1. "Sizing" of Document Types. Each document type outline may be used to prepare documents that range from a few to several hundred pages in length. The size depends on the size and complexity of the project and the judgment of the project manager as to the level of detail necessary for the environment in which the software will be developed or run.

2.4.2. Combining and Expanding Document Types. It is occasionally necessary to combine several document types under one cover or to produce several volumes of the same document type. Document types that can be combined into one are, for example, the Users, Operations, and Program Maintenance Manuals. When this is done, the substance of the contents covered

by each document type should be presented using the outline of that document type, for example, Part I-Users, Part II-Operations, and Part III-Program Maintenance.

When a system is extremely large or is to be documented in a modular fashion, a document may be prepared for each module. In some cases, the size of a document may necessitate that it be issued in multiple volumes to allow ease of user reference. In such cases, the document should be separated at a section division. The contents of the Test Plan document type, for example, may be separated between the sections of plan, specifications and evaluation, and specific test descriptions.

2.4.3. Format. The content guidelines in Part 3 have been prepared using a generally consistent format. Use of this particular format is encouraged but is not essential. It is a tested and accepted format.

2.4.4. Sequencing of Contents. In general, the order of the sections and paragraphs in a particular document type should be the same as shown in the content guidelines in Part 3. The order may be changed if it significantly enhances the presentation.

2.4.5. Documenting Multiple Programs or Multiple Files. Many of the document type content outlines anticipate and are adaptable to documenting a system and its subsystems, multiple programs, or multiple files. All of these outlines can, of course, be used for a single system, subsystem, program, data base, or file.

2.4.6. Section/Paragraph Titles. In general, the titles of sections and paragraphs should be the same as shown in the content guidelines. The titles may be modified to reflect terminology unique to the software being documented if the change significantly enhances the presentation. Sections or paragraphs may be added or deleted as local requirements dictate.

2.4.7. Expansion of Paragraphs. Many of the document types have paragraphs with a general title and a list of factors that might be discussed within that paragraph. The intent of the content guidelines is not to prescribe a discussion of each of these items, but to suggest that these items be considered in writing that paragraph. These and all other paragraphs may be expanded and further subdivided to enhance the presentation.

2.4.8. Flowcharts/Decision Tables. The graphic representations of some problem solutions are treated best in the form of flowcharts, others in the form of decision tables. Either may be included in or appended to the documents produced.

2.4.9. Forms. The use of specific forms is dependent on practices in an agency. Some of the information specified in a paragraph in the content guidelines may be recorded on such forms. If so, the form can be referenced from the appropriate paragraph. The use of standard forms is encouraged.

2.5. Examples of Documentation Guidance and Criteria. The formality, extent, and level of detail of documentation to be prepared is a function of agency ADP management practices and the size, complexity, and risk of a project. The following examples were taken from two Federal agency directives, but are amended to conform to the naming of document types in this publication. The examples illustrate how criteria could be established to aid project managers in determining the extent and level of detail of documentation required.

Example A presents a scheme using development cost and document audience as two criteria to establish thresholds for documentation requirements. See the following pages and Figure 2.

Example B presents a scheme using twelve criteria with weighting factors and a scale of the total weighted criteria to establish formal documentation requirements. Figure 3 illustrates the application of the weighted criteria shown in Figure 4. The procedure to use these tables is:

1. Weight the software by each of the twelve criteria in Figure 4.
2. Sum the weights assigned. (Total weighted criteria.)
3. Find the row in Figure 3 that lists the document types to be prepared.

FIGURE 2. EXAMPLE A. Cost and/or usage threshold criteria for extent and formality

Level	If PROJECT COST:	Or USAGE	Then DOCUMENTATION ELEMENTS	And EXTENT OF EFFORT
1	Less than \$1000 Or One Man-month	One Shot (Single Use)	Software Summary plus any incidentally produced documentation.	No special effort, normal good practice.
2	\$1000 to \$5000	Special or Limited Purpose or Application	Level 1 plus Users Manual and Operations Manual.	Minimal documentation effort, spent on informal documentation. No formal documentation effort.
3	Over \$5000	Multipurposed, or Multiuser	Level 2 plus Functional Requirements Document, Program Specification, Program Maintenance Manual, Test Plan, Test Analysis Report, and System/Subsystem Specification.	All basic elements of documentation should be typewritten, but need not be prepared in finished format for publication or require external edit or review.
4	Over \$5000	Publicly Announced, or Critical to Operations	Level 3 produced in a form suitable for publication.	At a minimum, all basic elements prepared for formal publication, including external review and edit.

EXAMPLE A. LEVELS OF DOCUMENTATION

DEFINITIONS OF LEVELS

To protect against both over and under documentation, computer program documentation has been divided into four levels. From lowest to highest these levels of documentation are: (1) minimal level, (2) internal level, (3) working document³ level, and (4) formal publication level. The criteria determining these levels of documentation are described in the following paragraphs, and summarized in Figure 2. Additional criteria peculiar to an installation and/or judgment relative to program sharing potential, life expectancy, and usage frequency are also appropriate factors to be considered in the determination of documentation levels.

MINIMAL LEVEL (LEVEL 1)

Level 1 documentation guidelines are applicable to single use programs, or one-shot jobs, of minimal complexity. Although no significant documentation cost should be added, there exists the requirement to show what type of work is being produced and what a given program really does. Hence, it is desirable to keep on file for a minimum period of time the documentation which results from the development of the programs, i.e., program abstract, compile listing, test cases, etc. The criteria for categorizing a program as Level 1 can be its expected usage or the resource expended in its generation, in man-hours or dollars, and may be modified for the peculiar requirements of the installations. Suggested resource expenditure criteria are programs requiring less than one man-month effort or less than \$1,000 (these are not assumed to be equal).

INTERNAL LEVEL (LEVEL 2)

Level 2 documentation applies to special purpose programs which, after careful consideration of the possible interest of others, appear to have no sharing potential and to be designed for use only by the requesting scientist or manager in an environment over which he has cognizance. Large programs which have a short life expectancy also fall into this level. The documentation required (other than Level 1) is that necessary for deck setup and modifications. This requirement can be satisfied by the inclusion of detail input/output formats, setup instructions, and the liberal use of comment cards in the source deck to provide clarification in the compile listing. In summary, the effort spent toward formal documentation for Level 2 programs should be minimal.

³ The term "working document" or "working paper" as used in this guideline refer to typewritten documents, not necessarily prepared in finished format suitable for publication nor subject to external editorial review.

WORKING DOCUMENT LEVEL (LEVEL 3)

This level applies to programs which are expected to be used by a number of people in the same installation or which may be transmitted on request to other installations or to contractors or grantees. The format of the documentation at this level should include, as a minimum, all elements of documentation. All basic elements of documentation should be prepared in typewritten form, but not necessarily in a finished format suitable for publication. Normally, it will not be formally reviewed or edited above the review required for a working paper. However, if there are certain programs important to the activities of the installations, but not considered appropriate for publication, then local more stringent documentation review standards should be applied.

FORMAL PUBLICATION LEVEL (LEVEL 4)

This level applies to programs which are of sufficient general interest and value to be announced outside the originating installation. This level of documentation is also desirable if the program is to be referenced by a scientific publication or paper. The format of the documentation at this level should comply with the guidelines on elements of documentation suitable for inclusion in one of the scientific and technical publication series with the attendant review and editing procedures.

Also considered to be within this level are those programs which are critical to the activities of the installation. These programs should be documented in a formal, rigorous manner, with in-depth review and special configuration control procedures enforced. Recurring management applications, such as payroll, should be considered for inclusion in this category so as to maintain an accurate history of conformation to changing laws, rules, and regulations.

FIGURE 3. EXAMPLE B. Total weighted documentation criteria vs required document types
(See Figure 4 to determine total weighted criteria.)

TOTAL WEIGHTED CRITERIA	Software Summary	Users Manual	Operations Manual	Program Maintenance Manual	Test Plan	Functional Requirements Document	System/Subsystem Specification	Test Analysis Report	Program Specification	Data Requirements Document	Data Base Specification
0-12*	X										
12-15*	X	X									
12-26	X	X	X	X	X			**		***	***
24-38	X	X	X	X	X	X		**		***	***
36-50	X	X	X	X	X	X	X	X		***	***
48-60	X	X	X	X	X	X	X	X	X	***	***

NOTES: * Additional document types may be required at lower weighted criteria totals to satisfy local requirements.
** The Test Analysis Report logically should be prepared, but may be informal.
*** Preparation of the Data Requirements Document and Data Base Specification is situationally dependent.

FIGURE 4. EXAMPLE B. An example of weighting for twelve documentation criteria (See Figure 3 for application of total weighted criteria to determination of required documentation types.)

Criteria	WEIGHTS				
	1	2	3	4	5
1. Originality required	None—reprogram on different equipment	Minimum—more stringent requirements	Limited—new interfaces	Considerable—apply existing state of art to environment	Extensive—requires advance in state of the art
2. Degree of generality	Highly restricted. Single purpose	Restricted—parameterized for a range of capacities	Limited flexibility. Allows some change in format	Multi-purpose. Flexible format. Range of subjects	Very flexible—able to handle a broad range of subject matter on different equipment
3. Span of operation	Local or utility	Component command	Single command	Multi-command	Defense Department. World wide.
4. Change in scope and objective	None	Infrequent	Occasional	Frequent	Continuous.
5. Equipment complexity	Single machine. Routine processing	Single machine. Routine processing. Extended peripheral system	Multi-computer. Standard peripheral system	Multi-computer. Advanced programming. Complex peripheral system	Master control system. Multi-computer auto input/output and display equipment.
6. Personnel assigned	1-2	3-5	6-10	10-18	18 and over
7. Developmental cost	1-10k	10-50k	50-200k	200-500k	Over 500k
8. Criticality	Data processing	Routine operations	Personnel safety	Unit survival	National defense
9. Average response time to program change	2 or more weeks	1-2 weeks	3-7 days	1-3 days	1-24 hours
10. Average response time to data inputs	2 or more weeks	1-2 weeks	1-7 days	1-24 hours	0-60 minutes
11. Programming languages	High level language	High level and limited assembly language	High level and extensive assembly language	Assembly language	Machine language
12. Concurrent software development	None	Limited	Moderate	Extensive	Exhaustive

PART 3. CONTENT GUIDELINES FOR DOCUMENT TYPES

Part 3 provides content guidelines for the following ten document types discussed in Parts 1 and 2.

- 3.1 Functional Requirements Document
- 3.2 Data Requirements Document
- 3.3 System/Subsystem Specification
- 3.4 Program Specification
- 3.5 Data Base Specification
- 3.6 Users Manual
- 3.7 Operations Manual
- 3.8 Program Maintenance Manual
- 3.9 Test Plan
- 3.10 Test Analysis Report

The document types are presented in the order of development within the software life cycle. Included for each document type are a table of contents and a description of the contents of that document type. The page numbers given in the table of contents for each document type are those within the boxes.

Appendix IV

GLOSSARY

The following glossary, with the exception of the entry "Referral," is an excerpt taken directly from the *Dictionary of Criminal Justice Data Terminology*. (1976, SEARCH Group, Inc. Reports No. SD-DCJ1.)

It's inclusion here is for informational purposes only and is not meant to reflect definitions espoused by the National Council of Juvenile and Family Court Judges. In fact, the definitions of such terms as "dependent," "child neglect" and "child abuse" are as yet problematic.

Nevertheless, this material provides the best available delineation of what many words mean in terms of "how to count" events. It's an excellent place to start.

Entry terms are of two types: statistical terms capable of uniform national usage; and nonstatistical or peripheral terms. Statistical terms are marked with number signs (#).

ENTRIES

adjudication (juvenile) *n* The juvenile court decision terminating an adjudicatory hearing, that the juvenile is either a delinquent, status offender, or dependent, or that the allegations in the petition are not sustained.

recommended conditions of use Do not include transfer to adult court as an adjudication.

annotation The decision at a transfer hearing to transfer a juvenile to criminal court for prosecution as an adult is not considered to be an adjudication in this dictionary since it is not an outcome of an adjudicatory hearing. • The possible adjudications are that a juvenile is a delinquent, a status offender, a dependent, or that the petition is not sustained, which is similar to acquittal. • An adjudication that a juvenile has committed a delinquent act is similar to a conviction in a criminal court, in that a court has made a finding that the juvenile has committed an act that could be prosecuted as a crime if he were an adult. • See adjudicated for a special usage in correctional contexts.

adjudicatory hearing *n* In juvenile proceedings, the fact finding process wherein the juvenile court determines whether or not there is sufficient evidence to sustain the allegations in a petition.

defining features

- hearing by a judicial officer in a juvenile court
- concerns matters of fact
- determination whether to sustain or dismiss petition

recommended conditions of use Do not include transfer hearings or disposition hearings.

annotation An adjudicatory hearing occurs after a petition (juvenile) has been filed and after a detention hearing (if any). If the petition is not sustained, no further formal court action is taken. If it is sustained, the next step in the proceeding is a disposition hearing to determine the most appropriate treatment or care for the juvenile. • For statistical purposes, the adjudicatory hearing ends when a finding is entered, that is, an adjudication (juvenile) is made. • An adjudicatory hearing concerning an alleged delinquent is analogous to a trial in criminal proceedings since both proceedings determine matters of fact concerning alleged acts. An adjudication of delinquent requires proof "beyond a reasonable doubt." An adjudication of status offender requires that the "preponderance of evidence" support the allegation(s).

alias *n* Any name used for an official purpose that is different from a person's legal name.

annotation Nicknames and monikers not used on official documents are not aliases. An alias is a false name that has been substituted for a correct legal name on such documents as a driver's license or a check, or a name established for that purpose. • Criminal records often list aliases but do not usually list nicknames or monikers. • In criminal history records, false names may be designated by "AKA," an abbreviation for "also known as."

appeal *n* A request by either the defense or the prosecution that a case be removed from a lower court to a higher court in order for a completed trial

to be reviewed by the higher court.

defining features

- request by defense or prosecution
- that a case which has reached judgment
- be reviewed by a higher court

annotation When a judgment is appealed, the court in which it was first given cannot be a party to the review process. • Appeals may be either on the record or *de novo*. In the latter instance, matters of fact as well as law may be reviewed. • The right to hear appeals is an important factor in distinguishing among types of courts. • Types of **judicial officers** are distinguished by whether their decisions in criminal or juvenile cases are subject to *de novo* review. • *De novo* review proceedings are counted as trials in computations of court workload.

appearance, first *syn* **Initial appearance** *n* The first appearance of a juvenile or adult in the court which has jurisdiction over his case.

defining features

- first appearance in court
- juvenile or adult
- court has jurisdiction over the case

annotation Various procedural steps may be taken during a first appearance. The accused may be informed of the charges against him, a plea may be entered, and bail set; or the accused may merely be informed of his rights and of the general nature of the proceedings and it may be determined whether the accused has counsel. A first appearance may include a determination of **probable cause** and the **arraignment**. • Despite this variety, the use of "first appearance" in information systems is justified by the need to capture elapsed time information. It describes the time at which court proceedings begin, following the filing of the charging document, regardless of what the first appearance may actually entail in specific cases. • A first appearance is often called a "preliminary arraignment," or a "presentment," and occasionally a "magistrates preliminary hearing" or a "preliminary hearing." These terms are not recommended for purposes of interstate or national information exchange.

arrest *n* Taking a person into custody by authority of law, for the purpose of charging him with a criminal offense or for the purpose of initiating juvenile proceedings, terminating with the recording of a specific offense.

defining features

- taking into custody by placing under control by actual or potential physical restraint
- by authority of law
- specific offense(s) recorded by law enforcement agency in relation to identified adult or juvenile, by booking or other official registration

recommended conditions of use Do not count as arrests events not terminated with booking or other official registration of an offense(s). Do not use **booking**, **citation (appear)**, or **summons** as synonyms. Include juvenile arrests where either a criminal or status offense is recorded.

annotation See **probable cause** and **rights of defendant** for legal aspects of arrest. • This definition differs from the legal definition of the term, which does not require that the purpose of holding to answer a criminal charge be

fulfilled. Interagency and state level data systems conventionally treat arrest together with most serious offense charged as an indivisible unit of count.

- **UCR** includes in counts of arrests those instances where a person is taken into custody on the grounds of "suspicion" and no offense is recorded.
- The definition excludes those events commonly described as "field interviews," "field interrogations," or "temporary detentions" in any location, whether or not the officer considers the person under arrest during some part of the episode. • "By authority of law" is included as a defining feature because, although the existence of the legally necessary probable cause for arrest can later be challenged, at the police level of action and reporting it must be assumed that it does exist.

case (court) *n* A single charging document under the jurisdiction of a court; or a single defendant.

recommended conditions of use Specify whether the case count is based on **defendant** or **charging document**. • Specify whether only active cases, or both active and inactive cases are counted. • Begin a count of cases at **filing**. Specify whether **adjudication (criminal)** or **court disposition (disposition, court)** is taken as endpoint.

annotation Although there are advantages to reporting with respect both to charging documents and individual criminal defendants, a defendant-based system is to be preferred in order to determine how the system is treating individuals. A judicial information system which is part of a larger system designed to trace the progress of individuals throughout all portions of the criminal justice system (an **OBTS** system) needs to provide defendant-based case data. • In a system based on defendants, if a single charging document names multiple defendants, then each defendant is recorded in statistical reports as a separate unit. If an individual is named as a defendant in separate charging documents, he is counted as a separate unit in each, unless the charging documents are consolidated into a single proceeding. • A distinction is made between "active" and "inactive" cases. Inactive cases are those which cannot be acted upon and are not likely to come to trial anytime soon because, for example, the defendant is a fugitive, incompetent, in a mental hospital, etc. • For statistical purposes, a court case may be counted as disposed of either when the case reaches adjudication (criminal) or when it reaches court disposition. The case remains under the jurisdiction of the court until sentence, or longer in the case of a suspended sentence. However, there are advantages to the use of adjudication as the endpoint. In the time between conviction and sentencing, the case is effectively in the hands of the agency responsible for any presentence investigation and not under the direct control of the court. Calculations of court workload and of court time needed to dispose of cases may therefore exclude the interval from conviction to sentencing. • The distinction between defendant-based and charging document-based systems, the distinction between active and inactive cases, and the choice of adjudication or final disposition as endpoint, figure crucially in the definition of **caseload (court)**, **pending caseload (caseload, pending)**, and **backlog**.

charge *n* A formal allegation that a specific person(s) has committed a specific offense(s).

annotation This word is frequently used in general discourse as a synonym for accusation, and also as a cover term for the various formal actions, occurring at different steps in the criminal justice process, accusing persons

of offenses. More specific terms recommended in this edition for statistical use are **complaint requested (police)** and **complaint, information, and indictment**. See also **arrest**.

child abuse *n* A willful action or actions by a person causing physical harm to a child.

recommended conditions of use Count as **dependents** all children over whom a **juvenile court** has assumed jurisdiction because of child abuse.

annotation Child abuse, meaning assault upon a child, is sometimes a codified criminal offense. It may include actions that result in the withholding of food or medical care from a child. A juvenile court determination that abuse has occurred can be a reason for an adjudication of dependent.

child neglect *n* Willful failure by the person(s) responsible for a child's well-being to provide for adequate food, clothing, shelter, education and supervision.

recommended conditions of use Count as **dependents** all children over whom a **juvenile court** has assumed jurisdiction because of willful child neglect.

annotation Child neglect, meaning willful neglect, is sometimes a codified criminal offense. A juvenile court determination that neglect has occurred can be a reason for an adjudication of dependent.

commitment *n* The action of a judicial officer ordering that an adjudicated and sentenced adult, or adjudicated delinquent or status offender who has been the subject of a juvenile court disposition hearing, be admitted into a correctional facility.

annotation In this terminology an adult can be committed only after he has been convicted and **sentenced**, or a juvenile adjudicated to be a delinquent or status offender only after a **disposition hearing**, whereas an adult or juvenile can be held in detention during any portion of the criminal or juvenile justice process before commitment.

correctional institution, juvenile *n* A confinement facility having custodial authority over delinquents and status offenders committed to confinement after a juvenile disposition hearing.

defining features

- confinement facility
- for delinquents and status offenders
- committed after a juvenile disposition hearing

recommended conditions of use Do not use **correctional facility** as a synonym. Indicate **level of government**. Indicate whether all or part of facility is intended for special dispositions pursuant to a **youthful offender** statute, or as a **diagnosis or classification center**.

annotation See **correctional institution**. • This definition includes all juvenile facilities of which the primary function is the custody of juveniles who have been adjudicated to be delinquents or status offenders and committed to confinement by a judicial officer. It includes facilities in which a small number of inmates participate in work release or other furlough programs. • This class includes facilities commonly called "training schools,"

"reform schools," "reformatories," and "boy's ranches," or "camps" and "farms". • The national Juvenile Justice Act of 1974 apparently uses "correctional facility" to mean "correctional institution."* • See correctional facility for a list of recommended standard facility descriptors.

delinquency *n* Juvenile actions or conduct in violation of criminal law, and, in some contexts, status offenses.

recommended conditions of use Do not use in statistical reporting or in connection with quantified systems data. Use the specific terms **delinquent acts** or **status offenses** where applicable. Do not combine counts of these two categories of offenses.

annotation Common usage of this term frequently includes not only **criminal offenses** (see **crime**), but also status offenses, and may include violations of accepted conventions of behavior, or "tendencies" to engage in such conduct. Thus it is too often used in connection with unspecified numbers of

delinquent *n* A juvenile who has been adjudicated by a judicial officer of a juvenile court, as having committed a delinquent act, which is an act for which an adult could be prosecuted in a criminal court.

defining features

- juvenile
- subject of completed juvenile court adjudication
- found to have committed an act for which an adult could be prosecuted in a criminal court

recommended conditions of use Do not combine counts of delinquents and **status offenders** in interstate or national information exchange.

annotation The other possible adjudications (juvenile) are **status offender** and **dependent**. • See **status offense** for a discussion of the relationship between **delinquent act** and status offense, and the need for separate categories. • In some jurisdictions a status offender who commits repeated status offenses can be adjudicated a delinquent. These should not be counted as delinquents in interstate or national information exchange. • Juveniles alleged, but not adjudicated, to have committed delinquent acts should be described as alleged delinquents.

delinquent act *n* An act committed by a juvenile for which an adult could be prosecuted in a criminal court, but for which a juvenile can be adjudicated in a juvenile court, or prosecuted in a criminal court if the juvenile court transfers jurisdiction.

recommended conditions of use Do not combine counts of **delinquent acts** and **status offenses**. See **transfer to adult court** for recommended reporting conventions concerning delinquent acts prosecuted as **crimes**.

annotation See status offense for discussion of the relationship between delinquent act and status offense. • Although some state statutes do not

*LEAA's Office of Juvenile Justice and Delinquency Prevention has begun to develop working definitions of "shelter care," "juvenile detention facility," and "juvenile correctional facility," for use in monitoring compliance with the statutory provisions of the Juvenile Justice and Delinquency Prevention Act of 1974. The terminology in this edition of the dictionary is not intended to be used for that purpose, which may require different names and definitions.

distinguish between these offenses, basic court record information usually enables separate reporting. Since the range of behavior covered by both categories may extend from murder to truancy, statistical reporting should maintain separate categories.

dependent *n* A juvenile over whom a juvenile court has assumed jurisdiction because the court has found his care by parent, guardian or custodian to fall short of a legal standard of proper care.

defining features

- juvenile
- court has assumed jurisdiction because of lack of proper care

recommended conditions of use Use to describe all juveniles over whom a court has assumed jurisdiction because of lack of proper care, regardless of the reason for the finding.

annotation This recommended usage separates the result of the court finding that a juvenile is dependent, in the general sense of dependent for proper care upon persons other than his parents, from the various reasons for that finding. The reasons may be unintentional neglect, where the responsible adult is mentally disabled or lacks financial resources, usually called "dependency," or willful **child neglect** or willful **child abuse**. These are inconsistently named and codified in different jurisdictions and therefore are not easily standardized for interstate and national information exchange. • This definition includes only juveniles who have been found dependent by a **judicial officer** of a court. It excludes juveniles designated dependent by, for example, welfare agencies. Since to be a dependent is not an offense, it is included in this terminology only to account for juvenile court adjudications, of which the other two major types are delinquent and status offender.

detention hearing *n* In juvenile proceedings, a hearing by a judicial officer of a juvenile court to determine whether a juvenile is to be detained, continue to be detained, or released, while juvenile proceedings are pending in his case.

defining features

- hearing by a judicial officer in juvenile court
- concerns juvenile subject to juvenile proceedings
- determination whether juvenile can be lawfully detained while proceedings are pending

annotation A detention hearing must be held to determine the lawfulness of the authority under which a juvenile is confined if he is to be held beyond some specified length of time. • If the juvenile's detention is not to be continued he is usually released to the custody of his parents or guardian, but in some jurisdictions provision is also made for the setting of bail, as in adult criminal proceedings. • In some jurisdictions, a decision to detain can only be made after a **petition** has been filed in **juvenile court**. In others, a juvenile may be detained while the intake investigation is proceeding, and before a decision has actually been made whether to file a petition. • A detention hearing decision must precede an **adjudicatory hearing**.

disposition, juvenile court *n* The decision of a juvenile court, concluding a disposition hearing, that a juvenile be committed to a correctional facility, or placed in a care or treatment program, or required to meet certain standards of conduct, or released.

recommended conditions of use Do not include transfer to adult court as a juvenile court disposition.

annotation The decision at a **transfer hearing** to transfer a juvenile to criminal court for prosecution as an adult is not considered to be a juvenile court disposition in this dictionary since it is not an outcome of a disposition hearing. See **petition (juvenile)**. • A juvenile court disposition of a delinquent or a status offender is similar to an adult sentence in that both are decisions that may result in confinement or other restrictions on behavior. Dispositions of dependents, however, are not described as correctional commitments. • A juvenile court disposition is not necessarily final since the disposition may include provision for review of the decision by the juvenile court at a specific later date. • Probation and commitment to a correctional facility are types of juvenile court dispositions. However, no subclass terminology is proposed in this edition of the dictionary because of the complexity and jurisdictional variation of juvenile court dispositions. Many jurisdictions have several types of probation, and unique categories of juvenile correctional facility or program commitments.

diversion *n* The official halting or suspension, at any legally prescribed processing point after a recorded justice system entry, of formal criminal or juvenile justice proceedings against an alleged offender, and referral of that person to a treatment or care program administered by a non-justice agency, or a private agency, or no referral.

defining features

- subject alleged, on grounds sufficient to require governmental action, to have committed actions that would bring him within the jurisdiction of a criminal or juvenile court
- recorded system entry, that is, recorded arrest, police referral to juvenile intake, first appearance in court, or other recorded initial processing step
- recorded criminal or juvenile justice agency decision, at a legally prescribed processing point prior to adjudication, to halt or suspend further criminal or juvenile justice processing
- referral to a treatment or care program administered by a private agency or a non-justice agency, or no referral

recommended conditions of use In interstate and national statistical data presentations identify type of **criminal** or **juvenile justice agency** causing the diversion, the legally prescribed processing point in criminal or juvenile proceedings at which diversion occurs, and the type of private or non-justice agency or program to which the subject is diverted, if a referral is made.

annotation This definition limits diversion to that which (1) is recordable, (2) takes place after an official system entry but prior to **adjudication**, and (3) at least temporarily halts judicial proceedings. Actions that only "minimize penetration" without suspending judicial proceedings are not included. • The requirement that an initial recorded process step be taken is designed to exclude the frequently used procedure whereby a law enforcement officer counsels and releases a juvenile without taking any formal action. The definition also requires that diversion take place prior to adjudication, to avoid including such actions as probation in lieu of a sentence to confinement, suspended sentences, and the like, which may be used for purposes other than diverting the person from the system. • Diversion ordinarily refers to formal, organized efforts that offer program alternatives to continued justice system processing, but a diversion made by any official

is included in this category of events if it fits the above definition. • The question of what is the best statement of the underlying principle of diversion policies is not addressed in this entry. The definition addresses only the problem of insuring that only recordable actions, and actions that clearly constitute alternatives to adjudication or criminal or juvenile justice agency supervision, are included in statistical descriptions of diversion intended for national use.

expunge *v* The sealing or purging of arrest, criminal or juvenile record information.

recommended conditions of use Do not use in interstate or national information exchange.

annotation Used in some jurisdictions as a synonym for **purge**, in others as a synonym for **seal**. • In many jurisdictions a judicial officer will issue an order stating only that a record or portion of a record be "expunged," without any instructions as to precisely what is required. Such a statement could be interpreted either as an order to seal a record or as an order to purge a record.

group home *n* A nonconfining residential facility for adjudicated adults or juveniles, or those subject to criminal or juvenile proceedings, intended to reproduce as closely as possible the circumstances of family life, and at minimum providing access to community activities and resources.

recommended conditions of use Classify government facilities fitting this definition as **community facilities**.

annotation "Group home" is variously defined in different jurisdictions. • Most of the facilities known by this name are privately operated, though they may be financed mainly from government funds. Classification problems unique to private facilities have not been dealt with in this terminology, although most recommended standard descriptors for publicly operated facilities are also applicable to the private sector. See **correctional facility** for a list of recommended standard descriptors. • The data collection questionnaire for the LEAA series "Children in Custody" defines "group home" as, "Allows juveniles extensive contact with the community, such as through jobs and schools, but none or less than half are placed there on probation or aftercare/parole." It is distinguished from **halfway house** in this series by the percent of residents on probation or parole.

intake *n* The process during which a juvenile referral is received and a decision is made by an intake unit either to file a petition in juvenile court, to release the juvenile, to place him under supervision, or to refer him elsewhere.

annotation Intake is a preliminary screening process to determine whether the court should be requested to take action or whether the matter should be treated otherwise. It is normally a function of a **probation agency**. Intake screening decisions that refer the client out of the justice system or away from the next procedural steps of court processing are now often called **diversion**. • The current trend is for a prosecutor to review **petitions** alleging delinquent acts or status offenses after the **intake unit** has considered the social aspects of the case but before the petition is filed in court. In the past, this prosecutorial review of the adequacy of the factual basis of the allegations was more often conducted after the petition was filed. • Intake is sometimes referred to as "probation intake" or "preliminary screening."

intake unit *n* A government agency or agency subunit which receives juvenile referrals from police, other government agencies, private agencies, or persons, and screens them, resulting in closing of the case, referral to care or supervision, or filing of a petition in juvenile court.

recommended conditions of use Include in summary counts of intake units, any government agency that performs the juvenile intake function, whether or not the function is assigned to a special unit.

annotation The intake function can be assigned to individual personnel as in many probation departments, or to a special subunit within a **probation agency**, or can be performed by an agency that has no other primary function. • The intake unit is the point of entry into the juvenile justice system. It usually operates under the authority of a **juvenile court**. If its personnel, who are usually probation officers, exercise judicial authority, then their decisions are considered equivalent to juvenile court decisions in this terminology.

juvenile *n* A person subject to juvenile court proceedings because a statutorily defined event was alleged to have occurred while his age was below the statutorily specified limit of original jurisdiction of a juvenile court.

annotation Jurisdiction is determined by age at the time of the event, not at the time of judicial proceedings, and continues until the case is terminated. Thus a person may be described in a given data system as a juvenile because he is still subject to **juvenile court** proceedings even though his actual age may be several years over the limit. Conversely, criminal process data systems may include juveniles if the juvenile court has waived jurisdiction. • Although the age limit varies in different states, it is most often the 18th birthday. The variation is small enough to permit nationally aggregated data to be meaningful, although individual states should note their age limit in communications with other states. • UCR defines juvenile as anyone under eighteen years of age. • See **youthful offender**.

juvenile court *n* A cover term for courts which have original jurisdiction over persons statutorily defined as juveniles and alleged to be delinquents, status offenders or dependents.

annotation A juvenile court can be a separate **court**, a division of a court, or a special session of a court. Any court with juvenile jurisdiction should be included in summary counts of juvenile courts regardless of the name and organizational level of the court, and regardless of whether it also has jurisdiction over other kinds of cases. • The decisions of a **probation officer** exercising judicial powers are considered juvenile court decisions in this terminology. • Courts dealing with juveniles range in different states from the lowest level of courts to the highest courts of general jurisdiction. • For juvenile court processes see **detention hearing**, **petition**, **adjudicatory hearing**, **transfer hearing**, and **disposition hearing**.

juvenile justice agency *n* A government agency, or subunit thereof, of which the functions are the investigation, supervision, adjudication, care or confinement of juveniles whose conduct or condition has brought or could bring them within the jurisdiction of a juvenile court.

annotation No prescriptive definition of this term is proposed. The functions of **adjudication** and care or treatment of juveniles are not uniformly organized among different jurisdictions. They are sometimes assigned to

special government units, but may also be carried out by agencies with adult jurisdiction, or by private organizations. What should be classified as a juvenile justice agency therefore varies greatly according to the jurisdiction and the purpose of the data presentation.

juvenile record *n* An official record containing, at a minimum, summary information pertaining to an identified juvenile concerning juvenile court proceedings, and, if applicable, detention and correctional processes.

annotation This term is the generic name for the type of record which is typically the subject of a statutory provision permitting or requiring sealing by court order when the juvenile reaches a certain age. The nature of the actual document(s), of course, varies from jurisdiction to jurisdiction. • See **criminal history record information**.

petition (juvenile) *n* A document filed in juvenile court alleging that a juvenile is a delinquent, a status offender, or a dependent, and asking that the court assume jurisdiction over the juvenile, or asking that the juvenile be transferred to a criminal court for prosecution as an adult.

annotation Petitions may be filed by a prosecutor, by an officer of an intake unit, or by a social welfare agent or other government officer in cases of dependency. In some states private citizens may also file petitions. • A juvenile need not have been taken into custody in order for a petition to be filed. See **detention hearing**. • Filing of a petition results in an **adjudicatory hearing** to determine the truth of the allegations, or a **transfer hearing** to determine if jurisdiction should be waived, or both. • In accounting for the flow of juveniles through the judicial system, **transfers to adult court** and specific **adjudications (juvenile)** may be outcomes of the filing of a petition. A **juvenile court disposition (disposition, juvenile court)** may be an outcome of an adjudication (juvenile).

petition not sustained *n* The finding by a juvenile court in an adjudicatory hearing that there is not sufficient evidence to sustain an allegation that a juvenile is a delinquent, status offender, or dependent.

annotation This type of adjudication (juvenile) corresponds to an **adjudication (criminal)** of acquittal or dismissal.

plea *n* A defendant's formal answer in court to the charges brought against him in a complaint, information, or indictment.

annotation For statistical purposes, there are two types of pleas: **not guilty plea** and **guilty plea (plea, not guilty; plea, guilty)**. The latter includes pleas of **nolo contendere**. Since **initial plea** and **final plea** may be different, both should be recorded (**plea, initial; plea, final**).

probation *n* The conditional freedom granted by a judicial officer to an alleged offender, or adjudicated adult or juvenile, as long as the person meets certain conditions of behavior.

recommended conditions of use In interstate and national information exchange concerning probation decisions and probationers, indicate whether probation status was granted before **adjudication** or after **conviction**.

annotation Probation for an adjudicated person is a **court ordered conditional freedom**, whereas **parole** is a conditional freedom granted either by a **parole authority** or by statute after confinement. • Probation is usually a

continuation of freedom previously granted by the court during court proceedings. It may be granted after conviction, but also may be granted before adjudication, as when the defendant concedes guilt, prosecution is suspended, and the subject placed on probation. • Juveniles may be placed on probation by a **probation officer** in lieu of the filing of a petition. • Probation may occur following a short local confinement, as when **jail (sentence)** is a condition of probation. • Probation may be granted when either execution or imposition of the sentence is suspended. In the former case, a violation of probation and consequent revocation may cause the sentence to be executed. In the latter, a sentence may be set and executed.

probation (sentence) *n* A court requirement that a person fulfill certain conditions of behavior and accept the supervision of a probation agency, usually in lieu of a sentence to confinement but sometimes including a jail sentence.

annotation See **sentence**.

probation violation *n* An act or a failure to act by a probationer which does not conform to the conditions of his probation.

recommended conditions of use Do not use as a synonym for **revocation**.

annotation Whereas a probation violation is an act committed by a **probationer**, a **revocation** is the action taken by a court in response to that violation. Probation revocation may result in the execution of a previously suspended sentence. • A probation violation need not necessarily result in a probation revocation. • Conditions of adult probation, as set forth by the court which granted the probation, frequently include such admonishments as not committing another offense, abstaining from drugs and alcohol, not associating with known offenders or other specified persons, regularly reporting to a probation officer or other designated person, and/or remaining within a designated geographic area.

prosecutor *n* An attorney employed by a government agency or subunit whose official duty is to initiate and maintain criminal proceedings on behalf of the government against persons accused of committing criminal offenses.

recommended conditions of use In interstate and national data exchange, describe prosecuting attorneys by a term indicating the **level of government** plus the term "prosecutor," for example "county prosecutor."

annotation Customary names of government attorneys, such as "U.S. Attorney," "district attorney," and "state's attorney," are not recommended in this statistical terminology because nomenclature and definition vary among states. The employing level of government and the prosecutorial function are the basic classification features in statistics concerning prosecutors. Specific employing agencies can be designated where necessary. • Excluded from this category are **law enforcement officers** and **probation officers** who present cases in court, but only incidentally to their other duties.

public defender *n* An attorney employed by a government agency or subdivision, whose official duty is to represent defendants unable to hire private counsel.

defining features

- a defense attorney

- assigned by the court to defend private persons unable to hire private counsel
- regularly employed by the government

recommended conditions of use Do not use as a synonym for **assigned counsel**.

annotation An assigned counsel is one who may be paid by the government for defending a client in a particular case but is not regularly employed by the government. • The third type of **defense attorney** is **retained counsel**.

purge (record) *v* The complete removal of arrest, criminal, or juvenile record information from a given records system.

recommended conditions of use Do not use as a synonym for **seal**.

annotation Purging differs from sealing in that sealing only transfers information from routinely available access to greatly restricted access. • Purging does not necessarily mean the destruction of all records of a given fact. Original records that often remain after purging of a central record from a central file include precinct arrest books, other original entry records, chronological court files, and reported court opinions. • Some jurisdictions use **expunge** as a synonym, but this usage is not recommended because expunge is sometimes used to mean seal or purge or both.

recidivism *n* The repetition of criminal behavior; habitual criminality.

annotation In statistical practice, a recidivism rate may be any of a number of possible counts of instances of arrest, conviction, correctional commitment, and correctional status changes, related to counts of repetitions of these events within a given period of time. • Efforts to arrive at a single standard statistical description of recidivism have been hampered by the fact that the correct referent of the term is the actual repeated criminal or delinquent behavior of a given person or group, yet the only available statistical indicators of that behavior are records of such system events as rearrests, reconvictions, and probation or parole violations or revocations. It is recognized that these data reflect agency decisions about events and may or may not closely correspond with actual criminal behavior. Different conclusions about degrees of correspondence between system decisions and actual behavior consequently produce different definitions of recidivism, that is, different judgments of which system event repetition rates best measure actual recidivism rates. This is an empirical question, and not one of definition to be resolved solely by analysis of language usage and system logic. • Resolution has also been delayed by the limited capacities of most criminal justice statistical systems, which do not routinely make available the standardized offender-based transaction data (OBTS) which may be needed for the best measurement of recidivism. • Pending the adoption of a standard statistical description of recidivism, and the ability to implement it, it is recommended that recidivism analyses include the widest possible range of system events that can correspond with actual recidivism, and that sufficient detail on offenses charged be included to enable discrimination between degrees of gravity of offenses. The units of count should be clearly identified and the length of community exposure time of the subject population stated. • The National Advisory Commission on Criminal Justice Standards and Goals recommends a standard definition of recidivism in its volume *Corrections* (1973): "Recidivism is measured by (1) criminal acts that resulted in conviction by a court, when committed by individuals who are

under correctional supervision or who have been released from correctional supervision within the previous three years, and by (2) technical violations of probation or parole in which a sentencing or paroling authority took action that resulted in an adverse change in the offender's legal status." Neither of these formulations is endorsed as adequate for all purposes. Both limit the measure and concept of recidivism to populations which are or have been under correctional supervision. Yet the ultimate significance of data concerning the repetition of criminal behavior often depends upon the comparison of the behavior of unconfined or unsupervised offenders with the behavior of those with correctional experience.

runaway *n* A juvenile who has been adjudicated by a judicial officer of a juvenile court, as having committed the status offense of leaving the custody and home of his parents, guardians or custodians without permission and failing to return within a reasonable length of time.

recommended conditions of use Do not use to describe juveniles who have left a **correctional facility** without authorization.

annotation Runaways, if **adjudicated**, are a subclass of **status offender**. • Statutes defining the status offense usually specify either a length of time that the juvenile must be away, or declare habitual running away a status offense. The codification of this offense varies greatly among different states.

referral Is the receipt of a written report or complaint alleging one or more violations (one or more acts or conditions) of the applicable statute.

seal (record) *v* The removal, for the benefit of the subject, of arrest, criminal or juvenile record information from routinely available status to a status requiring special procedures for access.

recommended conditions of use Do not use as a synonym for **purge**.

annotation Seal differs from purge in that purging is the total removal of information within a given system. Sealing is typically done to prevent general access to information concerning juvenile offenses, minor offenses committed by young adults, or **criminal history information** concerning persons who have been outside the jurisdiction of the criminal justice system for a given period of time. See **youthful offender**. • Records may be sealed by court order or because of a statute requiring, for example, all juvenile records to be sealed when the subject reaches a certain age. • Sealing may or may not extend to information contained in precinct arrest books, other original entry records, chronological court files, and reported court opinions. • Some jurisdictions use **expunge** as a synonym, but this usage is not recommended because expunge is sometimes used to mean purge or seal or both.

security and privacy standards *n* A set of principles and procedures developed to insure the security and confidentiality of criminal or juvenile record information in order to protect the privacy of the persons identified in such records.

annotation The U.S. Department of Commerce, National Bureau of Standards, Technical Note 809, provides these definitions of the key terms: "Privacy is a concept which applies to *individuals*. In essence, it defines the

degree to which an individual wishes to interact with his social environment and manifests itself in the willingness with which an individual will share information about himself with others . . . *Confidentiality* is a concept that applies to data. It describes the status accorded to data and the degree of protection that must be provided for it. It is the protection of data confidentiality that is one of the objects of *Security* . . . *Security* is the realization of protection for the data, the mechanisms and resources used in processing data, and the security mechanism(s) themselves [their emphasis].” • Both system security and confidentiality of data are necessary for the protection of the privacy of persons who have been subject to police and judicial proceedings, whether or not the proceedings have been completed and irrespective of the adjudication. • Components of security and privacy standards include: limitations on direct access to data, limitations on non-criminal justice dissemination, procedures to insure completeness and accuracy of individual records, the right of an individual to correct his or her own record, and requirements for sealing and purging of records. See **seal (record)** and **purge (record)**. • The need for security and privacy standards has developed from problems arising from the increasing use of centralized criminal justice information systems of great size.

status offender *n* A juvenile who has been adjudicated by a judicial officer of a juvenile court, as having committed a status offense, which is an act or conduct which is an offense only when committed or engaged in by a juvenile.

defining features

- juvenile
- subject of completed juvenile court adjudication
- found to have committed an act or engaged in conduct which is an offense only for a juvenile

recommended conditions of use Do not combine counts of status offenders and delinquents in interstate or national information exchange.

annotation The other possible adjudications (juvenile) are delinquent and dependent. • See **status offense** for a discussion of the relationship between delinquent act and status offense and the need for separate categories. • In some jurisdictions a status offender who commits repeated status offenses can be adjudicated a delinquent. These should not be counted as delinquents. • Typical subclasses of status offenders are **runaways** and **truants**. • Juveniles alleged, but not adjudicated, to have committed status offenses should be described as alleged status offenders.

status offense *n* An act or conduct which is declared by statute to be an offense, but only when committed or engaged in by a juvenile, and which can be adjudicated only by a juvenile court.

recommended conditions of use Do not combine counts of delinquent acts and status offenses in interstate or national information exchange.

annotation Despite the variation in statutory classification, basic court record information usually permits the differentiation of status offenses from delinquent acts for the purposes of statistical reporting. Since the range of behavior covered by both categories may extend from murder to truancy, statistical reporting should maintain separate categories. • In the oldest juvenile codes, no distinction was made between delinquent acts and status offenses, or, respectively, criminal behavior and non-criminal behavior. The

recent legislative trend has been to separate delinquents from status offenders. • Typical status offenses are violation of curfew, running away from home, truancy, possession of an alcoholic beverage, incorrigibility, having delinquent tendencies, leading an immoral life, and being in need of supervision. The status offender and sometimes the delinquent is called a CHINS, PINS, MINS, or JINS (child, person, minor or juvenile in need of supervision) in some jurisdictions. • The National Center for Juvenile Justice study, *Juvenile Court Organization and Status Offenses: A Statutory Profile*, describes the various state codifications of juvenile offenses. • “Status offense” is most frequently applied to juveniles, but the term is occasionally used when referring to adults who are charged with the status offense of being vagrant or an addict.

transfer hearing *n* A preadjudicatory hearing in juvenile court for the purpose of determining whether juvenile court jurisdiction should be retained or waived over a juvenile alleged to have committed a delinquent act(s), and whether he should be transferred to criminal court for prosecution as an adult.

recommended conditions of use Do not include in counts of adjudicatory hearings.

annotation A transfer hearing determines whether a juvenile is amenable to rehabilitation or treatment within the juvenile justice system. If the juvenile court certifies that neither the facilities nor the programs are appropriate for that juvenile, then he is transferred to criminal court for further prosecution as an adult. See **transfer to adult court**. After such a transfer, the prosecutor decides whether prosecution will take place. • In some jurisdictions a transfer hearing is called a “certification hearing,” “waiver hearing,” or “fitness hearing.”

transfer to adult court *n* The decision by a juvenile court, resulting from a transfer hearing, that jurisdiction over an alleged delinquent will be waived and that he should be prosecuted as an adult in a criminal court.

recommended conditions of use In criminal court adjudication statistics, indicate which cases originated in juvenile court but were subsequently transferred to criminal court for prosecution.

annotation Juvenile courts usually waive jurisdiction over alleged delinquents only when a serious felony has been alleged, and when the juvenile is near the statutory age limit between juvenile and adult. • At a transfer hearing, probable cause to believe that the juvenile committed the offense must be shown. After a transfer to adult court, the prosecutor decides whether prosecution will take place and what offense will be charged. • This action is sometimes called “waiver.”