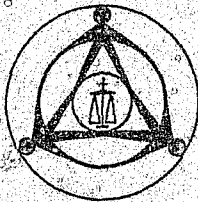




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THE AMERICAN UNIVERSITY

Criminal Courts Technical Assistance Project
Institute for Studies in Justice and Social Behavior
The American University Law School
Washington, D.C.

CONVERSION TO A COUNTY-WIDE
MUNICIPAL COURT

A TASK DESCRIPTION AND
COST ESTIMATE

FOR
RAMSEY COUNTY, MINNESOTA

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May, 1974

NCJRS

MAR 8 1977

ACQUISITIONS

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I. INTRODUCTION

The Minnesota Legislature recently passed a bill (S.F. no. 1896, Chapter 708) providing for the establishment on January 1, 1975 of a municipal court of Ramsey County through the consolidation of the St. Paul Municipal Court and the five suburban courts within the county. The bill also abolished the remaining justice courts and the position of Clerk of Municipal Court. To implement this legislation, Chief Judge Allan Markert of the St. Paul Municipal Court requested assistance through LEAA's Criminal Courts Technical Assistance Project at The American University.

Judge Markert's immediate concerns were two-fold. First: in order to secure 1974 funds for implementation planning, a cost estimate for preparing a phased implementation plan was required by September 1, 1973. Second: in order for the Ramsey County Board of Commissioners to appropriate adequate funds in the 1975 budget for the first year's operation of the county-wide municipal court, an "orderly implementation plan for the county court system" was required by June 1, 1974. In this regard, Judge Markert desired to include in the implementation plan the following tasks:

- 1) a preliminary assessment of space needs,
- 2) an analysis of operational and procedural disparities which must be reconciled,
- 3) development of a phased planning process, terminating with a final implementation plan and a realistic annual budget, and
- 4) recommendations regarding the particular administrative and procedural elements which should be present in the county municipal court system when implemented.

In response to Judge Markert's request, the Technical Assistance Project assigned the National Center for State Courts to conduct a preliminary analysis of the situation in Ramsey County to ascertain the scope of effort involved in this request. Specifically, the Center was directed to (1) assist local officials in determining the tasks to be included in a subsequent county-funded study for developing a phased implementation plan for the court consolidation and (2) develop a timetable, the specific resource needs, and a cost estimate for the implementation study which would form the basis for an appropriations request for planning costs to the County Commissioners by September, 1973.

To accomplish these tasks, three staff members from the Center were assigned to provide the requested assistance. They were R. Hanson Lawton, Acting Regional Director in the North Central Office; Susan C. Beerhalter, Research Associate; and James A. Gainey, Program Director. They interviewed judges,

clerks, deputies and other staff in the county's six municipal courts located in St. Paul, Roseville, New Brighton, Maplewood, North St. Paul and White Bear Lake. Discussions included analyzing current operations in these various courts, identifying anticipated changes resulting from the court consolidation, and consideration of numerous factors within each of the affected courts which might have bearing on the consolidation. These factors included the current jurisdiction of each court, caseload, accounting and recordkeeping procedures, accessibility, facilities, personnel, jury use, and staff expectations of the consolidated court system. In addition to these interviews, the Center team contacted individuals with expertise in the various areas of particular concern to Judge Markert to ascertain their suggestions on undertaking the implementation study and their estimated cost for such an effort. Utilizing these recommendations as a supplement to their own analysis, the team developed a timetable with a description of appropriate tasks for the implementation study as well as identified personnel currently employed in the affected courts who possessed background in the various areas to be studied. These areas included personnel, bookkeeping and accounting, calendaring, recordkeeping and filing, data processing, court organization and administration, facility planning, budget preparation, and court rules and procedures.

II. ANALYSIS OF EXISTING SITUATION

Currently, Ramsey County is served by six municipal courts. The five suburban courts each have a part-time judge and one to three full-time clerks and deputies. The municipalities range from 11,900 to 34,000 in population and had 1972 caseloads ranging from 294 to over 4,076. St. Paul Municipal Court, serving a city of 309,000, has six judges and a support staff of forty-nine. The court disposed of 21,501 cases in 1972. The municipal courts jurisdiction includes civil cases to \$1,000 in the suburban courts and \$6,000 in St. Paul; forcible entry and detainer; petty misdemeanor, misdemeanor, and ordinance violations; and preliminary hearings in felony matters. All courts operate a Traffic and Ordinance Violations Bureau. Judges are elected for six year terms in municipal elections.

The recordkeeping, accounting, jury selection and scheduling systems for the five suburban courts were simple but apparently effective. Backlog was not a problem. The courts' main concerns in anticipation of the new system were inadequate facilities; the current lack of court reporters; storage or destruction of old records; what degree of centralization would occur and how it would effect paperflow and filing, jury administration, book-keeping and traffic and ordinance violations bureaus.

In St. Paul Municipal Court, juror selection was handled through District Court. The internal records and information system was a complex and fragmented manual one with procedures based on custom more than rational organization. According to the Ninth Annual Report of the Minnesota Courts, the addition of one judge to the St. Paul Municipal Court resulted in a reduction of court delay to 3.4 months in court cases and from 17.3 months to 6.7 months in jury cases. Primary requirements of the new consolidated court system as identified by St. Paul courts personnel were: the analysis of current recordkeeping system and the development of an improved manual system of recordkeeping treating paperflow, forms, record retention and written procedures; the assessment of current calendaring techniques, caseload and backlog and the development, if necessary, of a new or modified manual calendaring system for the country-wide municipal court; and, the development of a uniform financial accounting system that is more simple and effective than those presently employed.

These six municipal courts, then, have to be consolidated into one county municipal court system served by 11 full-time judges, one full-time court administrator and a support staff of approximately 66 people. To see that "an orderly process [is] developed to insure that the availability of justice for Ramsey County Citizens is not jeopardized in any way,"¹ the following implementation planning study is recommended.

¹July 6, 1973, letter to Robert Crew, Jr., from the Honorable Allan Markert.

III. RECOMMENDATIONS

The major tasks that must be performed prior to the implementation of the County Municipal Court are as follows:

A. Study Elements and Tasks to be Performed Prior to Implementation

1. Personnel Tasks and Requirements

- a. Task Analysis
- b. Requirements
- c. Caseload
- d. Evaluation

2. Information Analysis

- a. Basic Study
- b. Bookkeeping/Accounting
- c. Calendaring
- d. Case Record/Recordkeeping
- e. Data Processing

3. Court Management

- a. Organization and Administration
- b. Facility Planning
- c. Budget
- d. Procedures and Rules

4. Program Management

- a. Management
- b. Reports
- c. Evaluation

B. Tasks to be Performed in a Subsequent County Funded Study

Those which should be included in a subsequent county-funded study are described in detail below:

1. Personnel Tasks and Requirements

- a. Job descriptions for approximately sixty-six court personnel.
- b. Skill levels available and desired for groups within the court system.
- c. Evaluate basis for assigning caseloads.
- d. Review the backgrounds and training of present personnel and evaluate their levels of skill in relation to those desirable for the court system.
- e. Identification of potential overlap of tasks between various court departments.
- f. Analysis of salary and fringe benefits of the various classes of jobs and such factors as the pay and financial policies of the county and state.
- g. Review of any proposed changes and review of allocations with the judiciary and appropriate officials.
- h. Notification of employees of proposed changes and review of allocations with employees.
- i. Revision plan as may be desirable in light of review procedures.
- j. Work with court personnel to implement plan.
- k. Preparation of estimates of budgetary effects of plan.

2. Information Analysis

a. Basic Study

(1) Description

- (a) The initial task to be accomplished by studying personnel is to elicit subjective responses from all levels of court personnel. This can be accomplished through the use of interviews

with the various court personnel. The interviews will attempt to construct a description of court operations and procedures. This would include the identification of various decision points.

- (b) Further information will be obtained regarding problems that are perceived concerning operations or procedures.
- (c) Once this information has been obtained, the interviewee will be asked for potential solutions that might be implemented in resolving these problem areas.
- (d) In order to accomplish the detailed systems analysis required, study personnel will analyze the complex network of paths which information or a specific type of case might take.

This initial survey will serve several purposes

- (a) Primarily, the initial survey accomplishes the objective of obtaining a description of court operations, problems, and potential solutions from a wide cross section of the court population.
- (b) Secondly, the interview technique is a most satisfactory method of "breaking the ice." This should allow for the development of close working relations with various segments of the court personnel.

b. Bookkeeping/Accounting Work Plan

In pursuing the objective of designing a practical and workable accounting and financial reporting system for the county municipal court system and its components, the generalized work plan that will be followed is:

- (1) Review, to the extent necessary, the current practices and procedures.
 - (a) Identify the reporting requirements, reporting relationships, types of transactions, and transaction volumes which must be accommodated by the system.
 - (b) Review the form and content of existing accounting records and reports.
- (2) Design recommended forms of required financial reports to be provided the various levels of government, both within and without the judiciary.
- (3) Define the system's data needs using the financial reporting and statutory requirements as the basis.
- (4) Develop the necessary documents and records (cash receipt journals, case disbursement journals, receipt forms, distribution ledgers, etc.) to provide for all cash, negotiable instruments, bail or bond received by the court, i.e. to support the data requirements of the system.
- (5) Prepare a written procedure manual.
- (6) Assist in the implementation of a manual system.
- (7) Follow-up audit on adherence to system.

c. Calendaring

- (1) Study Existing Backlog

Prior to a determination of potential methodological improvements in the court's calendaring system, an analysis of the backlog of the cases will be made. This analysis will determine queue lengths and queue disciplines for the various court activities.

(2) Method of existing system

The identification and emirical determination of court perimeters, with their associated queues, will allow assessment of proposed calendaring alternatives.

(3) Recommendations concerning the preparation of a court calendar will be based on the above analysis. This may result in the modification of existing procedures, either by inclusion or exclusion of specific policies.

(4) Development of a manual calendaring system (if required) will take into consideration provisions for jail personnel to assign date and time of appearance.

(5) Assistance in the implementation of the calendaring system will be provided.

d. Case Record/Recordkeeping

(1) Analysis of adequacy of present system. The analysis will allow :

(a) An evaluation of the adequacy of the court recording system(s) for each municipal court in the county.

(b) The identification of redundant information, and its source(s) as well as primary areas of incomplete information.

(2) Determine through an intensive series of interviews the basic information needs of each user agency in the system. This step would include:

(a) Flow charting the movement and generation of records associated with defendants.

(b) Identifying common data elements in records, areas where errors most often occur.

(c) Determining the volume of transactions now taking place and projected over the next two years.

- (3) Define a comprehensive list of data elements required and by whom, for two basic purposes.
 - (a) Court operations (the actual movement of defendants through the system)
 - (b) Court management (the summary data on backlogs, workloads, resources expended, versus results, etc., required for effective administration)
- (4) Survey existing municipal data processing facilities available to the courts in the area, and any improvements now planned for these facilities.
- (5) Analyze the data collected, and define in general terms a system which will meet user needs for the next five years.
 - (a) The system definition will include:
 1. A basic flow diagram
 2. Roughly defined file layouts
 3. An analysis of benefits to be derived
 4. An estimate of the cost of implementing the system
 5. Suggested plan for implementation
 - (b) The system design will also identify and recommend whatever additional hardware and software the system will require.
- (6) Provide a design package from the detailed study of the traffic/ordinance violation bureaus, which can be directly used as the basis for procurement of hardware and software.

3. Court Management

a. Organization and Administration

- (1) The study team will determine:

- (a) What is the role of management per se in the Municipal Court of Ramsey County
- (b) What is the current status of management as a defineable function in the courts
- (c) What is the direction to be taken to better achieve the role of the Court Administrator for the new system
- (d) To what extent does the court management plan organize, delegate, supervise, coordinate, and review

(2) Purpose

- (a) The role of the court management as developed by any study in all instances contains one premise: To provide administrative support to the judiciary and not to control or administer the judiciary.

(3) Tasks

- (a) Determine the lines of organizational responsibility in order to show the degree of administrative responsibility of court personnel from typing pool supervision to the Chief Judge.
 - 1. The purpose of this organizational definition is to determine the management load on those personnel who have been delegated some degree of court responsibility
- (b) An assessment of the amount of time each administrative member of the court has to perform each of the several management functions will be an immediate outgrowth of task "a". Functions to be assessed will include:
 - 1. How to organize and/or reorganize departments of the court as the number of personnel increases.
 - 2. How to project program costs for new methods of operation.
 - 3. How to decide the degree of computer processing of information.

4. How to prepare space utilization programs.
5. How to strengthen ties to budget and financial agencies outside the court.
6. How to establish manpower training and development programs.
7. How to establish effective court rules and procedures.

(c) Prepare a report at the conclusion of the study; dependent upon the circumstances, this report might actually be in the form of written procedures for the administration of the court.

b. Facility Planning/Space Management

The Space Management study will include:

- (1) Inventory of existing facilities.
- (2) Review of information on operations, caseload, and personnel gathered in other completed tasks.
- (3) Analysis and projection of facility needs.
- (4) Programming of facility needs.
- (5) Recommendation of long term improvements and master plan.
- (6) Preparation of implementation plan (Phased plan).
- (7) Final written report.

c. Budget

- (1) Prepare for the Ramsey County Board of Commissioners a detailed budget adequate to sustain the full cost for the first year of operation of the County Municipal Court.
 - (a) This task include assessment of current budgets and expenditures for each municipal court.
- (2) Assess cost to implement figures for any expansion programs resulting from the County Municipal Court legislation.

(3) Project budgets for the years 1976 and 1977.

d. Procedures and Rules

(1) Review present and proposed rules of procedures.

(2) Review present and proposed special rules.

(3) Prepare recommendations for the most effective implementation of any new or proposed rules and procedures.

4. Program Management

The objective of a program management function in the Ramsey County Municipal Court Study and implementation is to provide for close integration of activities and careful management of work efforts with respect to individual program tasks and schedules. This can only be accomplished by providing a program manager, who has both a technical and management orientation. Thus, within the program management office, technical decisions can be made and will be assured to have included the management constraints of time and cost.

The tasks of the program manager for the study will include the following:

a. Background Research

The program manager will research the state constitution, statutes of Minnesota court rules of procedure, directives of the State Court Administrator's Office, and other appropriate materials. This task will indicate some of the constraints of the project as well as provide the framework for all analysis.

b. Management

- (1) The program manager will maintain current management status of the study. Particular attention will be given to the:
 - (a) Cost, and
 - (b) the schedule of completion for the tasks outlined in the previous section.

c. Reports

- (1) The submission of all the reports specified for the study will be made through the program management office.
- (2) The program manager will be responsible for the technical content and timeliness of the reports.
- (3) In addition, the program manager will be responsible for the submission of payment vouchers, travel vouchers, and any other document required by contract to be submitted by the consultant.

d. Evaluation

The Ramsey County Municipal Court Committee and its chairman, Judge Allan R. Markert, can evaluate the effectiveness of the program management function through the day to day coordination of the project and the project reports.

Attached is a time phased chart for each element described in the preceding implementation study outline (See Appendix A). It indicates manpower allocation for each task and total manpower required on a week by week basis. Also provided is an estimate of the total cost for consulting services and a breakdown according to the four main study tasks (See Appendix B). Travel estimates

for the study are detailed separately (See Appendix C). An estimated budget for October 1, 1973 through December 31, 1973, given a project starting date of October 1, 1973, is also included (See Appendix D). The final attachment identifies current courts personnel available for substantial participation in the implementation planning study (See Appendix E).

IV. SUMMARY

In accordance with the foregoing guidelines, an implementation plan for the consolidation of the suburban and St. Paul Municipal Courts should produce the following:

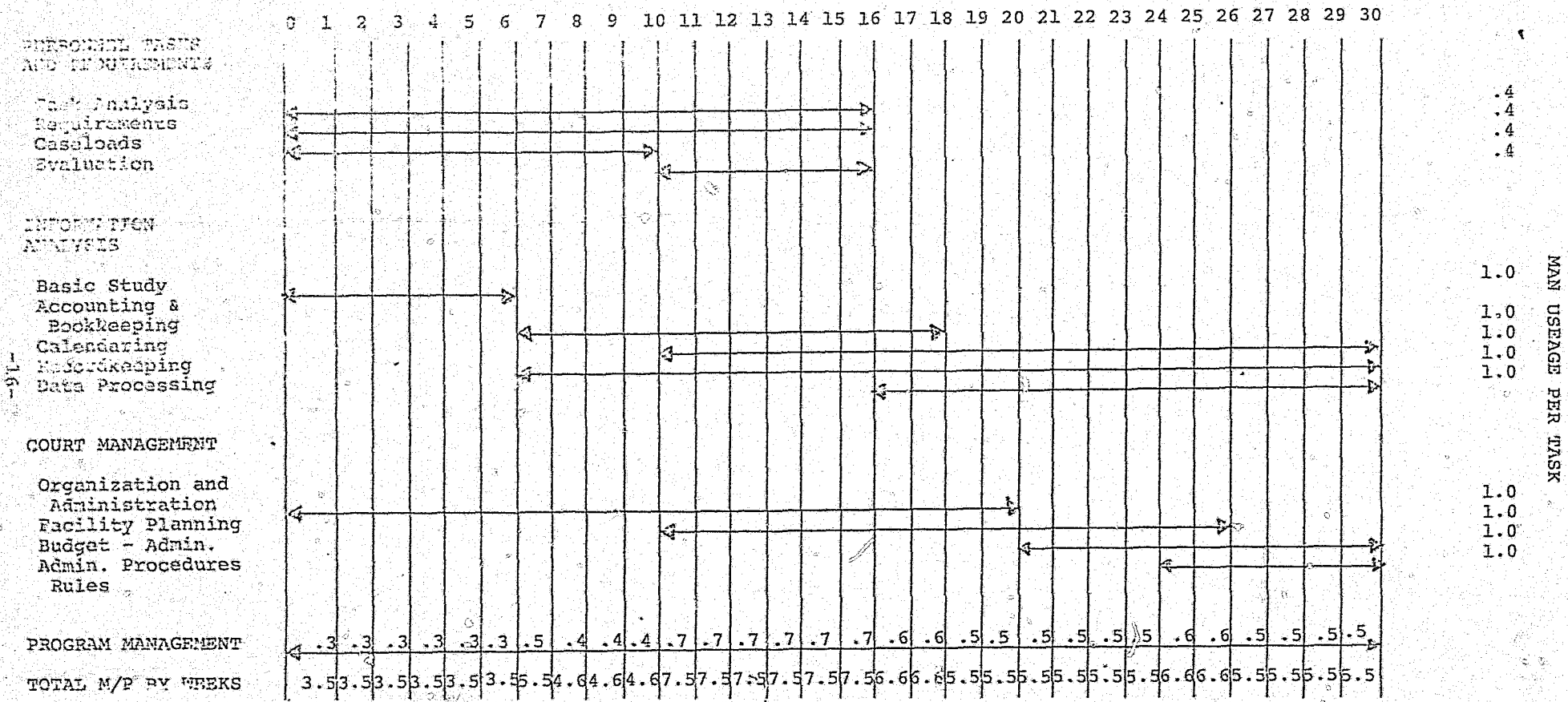
- 1) A personnel package to include job descriptions, qualifications, salaries and fringe benefits, proposed changes and their budgetary effects and help in implementing the plan.
- 2) A systems analysis to include the accounting, calendaring and recordkeeping procedures which analysis will provide: a manual accounting system complete with document, record and report forms, a procedural manual and implementation assistance; recommendations for preparation of a court calendar and development of a manual calendaring system; development of guidelines for standardization of necessary documents and docketbooks to support the data needs of the system and assistance in the detailed design and implementation of the system; and, definition of a data processing system which will meet the court's needs over the next five years and a design package based on a detailed study of the traffic/ordinance violations bureaus which would be used as the basis for procurement of hardware and software.
- 3) A court management study which will: analyze current court administrative functions and organization and make recommendations thereon; analyze current facilities and develop a program to meet long term facilities needs and assist in the implementation of the phased plan; prepare a budget for first year County Municipal Court operations and project budgets for 1976 and 1977; review current and proposed rules of procedure and make recommendations for the most effective implementation of any new or proposed rules and procedures.
- 4) The above task and projects would be coordinated and directed by a program manager who would be responsible for keeping costs at their projected limits, for the technical content of project reports, for the timeliness of task completion and report submission, and for the submission of payment vouchers, travel vouchers, and other required documents.

The total implementation study would span a 30-week period.

Consulting services are estimated at \$79,600, travel expenses at \$7,883 and printing of final reports at \$1600 for an estimated total project cost of \$89,083.

APPENDICES

WEEKS AFTER GO AHEAD AND/OR CONTRACT AWARD



APPENDIX B

CONSULTING SERVICES

I.	PERSONNEL TASKS AND REQUIREMENTS		\$ 9,600
	Task Analysis		
	Requirements		
	Caseloads		
	Evaluation		
II.	INFORMATION ANALYSIS		
	Basic Study	3,000	
	Bookkeeping/Accounting	6,000	
	Calendaring	10,000	
	Recordkeeping	12,000	
	Data Processing	7,000	\$38,000
III.	COURT MANAGEMENT		
	Organization and Administration	10,000	
	Facility Planning	8,000	
	Budget	5,000	
	Procedures and Rules	1,500	\$24,500
IV.	PROGRAM MANAGEMENT		\$ 7,500
	TOTAL CONSULTING SERVICES		<u>\$79,600</u>

D. Recordkeeping

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Senior Associate	\$8.89	900	8,000
Burden of 50% of Direct Labor charges 50% x 8000 =			<u>4,000</u> 12,000

E. Data Processing

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Senior Associate	\$8.89	525	4,667
Burden of 50% of direct labor charges 50% x 4667 =			<u>2,333</u> 7,000

Task III

Court Management

A. Organization and Administration

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Senior Associate	\$8.89	750	6,667
Burden of 50% of direct labor charges 50% x 6,667 =			<u>3,333</u> 10,000

B. Facilities Planning

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Senior Associate	\$8.89	600	5,333
Burden of 50% of direct labor charges 50% x 5,333 =			<u>2,667</u> 8,000

C. Budget

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Senior Associate	\$8.89	375	3,334
Burden of 50% of direct labor charges 50% x 3,334 =			<u>1,666</u> 5,000

D. Procedures and Roles

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Principal Associate	\$8.89	112	1,000
Burden of 50% of direct labor charges 50% x 1,000 =			<u>500</u> 1,500

Task IV

Program Management

<u>Personnel</u>	<u>Rate/Hour</u>	<u>Hours</u>	<u>Cost</u>
Principal Associate	\$8.89	562	5,000
Burden of 50% of direct labor charges 50% x 5,000 =			<u>2,500</u> 7,500

* This burden rate of 50% of direct labor charges is derived from experience and projections resulting in the following estimated percentages: employee fringe benefits - 16%, supplies - 4.0%, administration and supervision - 10.0%, communication and postage - 3.0%, clerical support - 8.0%, space and equipment - 9.0%.

APPENDIX C

Travel Estimate Details

I	1) St. Paul/NYC	Air fare	\$220.00
		Taxi	20.00
	2) St. Paul/Denver	Air fare	150.00
		Taxi	10.00
II	1) Hotel	\$20.00	
	Meals	<u>13.00</u>	
		33.00	

Tasks	I	II	III	IV	Totals
St. Paul/NYC trips	0	0	13	0	13
Expenses	0	0	40	0	40
St. Paul/Denver trips	5	4	2	0	11
Expenses	25	20	6	0	51

Total Travel - \$7,883

Consulting Services	\$79,600
Travel	7,883
Final Reports	<u>1,600</u>
TOTAL	<u>\$89,083</u>

APPENDIX D

Start date, October 1, 1973

Estimated budget for October 1, 1973 through December 31, 1973

Task I	\$ 8,000
II	18,000
III	5,000
IV	<u>3,000</u>

Total Consulting Services	<u>\$34,000</u>
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Task F	1,625
II	650
III	2,100
IV	<u>Ø</u>

Total Travel	\$ 4,375
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Required Funding for
Calendar Year '73

34,000
<u>4,375</u>

\$38,375

Required Funding For
Calendar Year '74

89,083
<u>38,375</u>

\$50,708

APPENDIX F

	PERSONNEL	BOOKEEPING & ACCOUNTING	CALENDARING	RECORDKEEPING FILING	DATA PROCESSING	COURT ORG. AND ADMIN.	FACILITY PLANNING	BUDGETS	COURT RULE PROC.
	Bob Shir	X			X				
	Mitch Deeb	X				X			
	Ed Bodin	X			X	X		X	
	Bob Nalipinski	X							
	Gene Lovell	X							
	Joe Gocekowski		X			X			
	Dennis McCo		X		X				
	Cecil McCo			X					
	Margaret Melius			X					
	Lou Schroth					X			
	Mike Barthe				X	X			
	John Schleck					X			
	Bud Hutson							X	
	Bob Kraft							X	
	Mike O'Rourke								X
	Dave Ott								X
	Mike Driscoll								X

PROGRAM MANAGEMENT
 Ron Bushinski
 Judges

END