

A COMPUTERIZED COURT DESIGN FOR LAFAYETTE DISTRICT COURT



48173

JUDICIAL ADMINISTRATOR
THE JUDICIAL COUNCIL
OF THE SUPREME COURT
OF LOUISIANA

OCTOBER, 1975

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ACQUISITIONS

A COMPUTERIZED COURT DESIGN
FOR LAFAYETTE DISTRICT COURT

Submitted by

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To

James A. Gainey
Deputy Judicial Administrator
Supreme Court of Louisiana

Final report of work performed
under Law Enforcement Assistance
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"If democracy is to live, democracy must be made efficient; for the survival of the fit is as much a law of political economy as it is of the life of the jungle. If we would preserve free government in America, we must make free government, good government. Nowhere does government touch the life of the people more intimately than in the administration of justice; and nowhere is it more important that the process be shot through with efficiency and common sense."

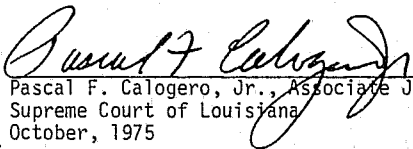
Judge John J. Parker, Improving the Administration of Justice, 27 American Bar Association Journal 76 (1941).

PREFACE

In July, 1974, Chief Justice Joe W. Sanders of the Supreme Court of Louisiana delegated to the Judicial Administrator's office the responsibility to design and develop an information processing system for the district courts in our state. As a result of the Chief Justice's action, the office of the Judicial Administrator has developed a computerized court design for Lafayette Parish; however, its flexibility will permit implementation of the system in other parishes with only minor modifications.

With the cooperation and consultation of the Special Advisory Committee and the leadership of Lucien J. Bertrand, Chief Judge, O. C. Guilliot, Clerk of Court, and J. Nathan Stansbury, District Attorney for Lafayette Parish, this study design was completed in August, 1975. This report documents the study by the Judicial Administrator's office and sets forth recommendations for a computerized design for a district court.

It is my hope that the work, the information and the increased understanding of the court process that were generated by this study will not be regarded as an end result. Rather, I hope that the information system which emerges from this study will be regarded as a symbol of our judicial leadership's commitment to utilizing all available technology and resources to advance the administration of justice in this state and will be used by personnel at all levels of the court system to help fulfill this commitment.


Pascal F. Calogero, Jr., Associate Justice
Supreme Court of Louisiana
October, 1975

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Our thanks also are extended to Mike Barry, Ronald Cox, Bennette Fontenot, Ronald Goins, Joan Melancon, Joan Slaughter, Frank Spellman, and other personnel throughout the judicial system whom we interviewed, for their willingness and ability to cooperate in providing ever-improved judicial service to the people of Louisiana.

We would also like to acknowledge Associate Justice Mack E. Barham, former Chairman of the Special Advisory Committee, the Advisory Committee members, Associate Justice Pascal F. Calogero, Jr., Mr. Gene Freeman, Honorable John T. Hood, Mrs. Elayn Hunt, Mr. Robert Pugh, Honorable Kaliste J. Saloom, Jr., Honorable G. William Swift, Jr., Colonel Donald J. Thibodeaux, Honorable Clyde R. Webber, Jr., and Honorable Jack E. Yelverton; William V. Courtney, Dr. Hugh M. Collins and Marie L. Wall of the Judicial Administrator's office; and Mr. James F. Martin, III of the Attorney General's Louisiana Criminal Justice Information System for their contributions to this report.

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EXECUTIVE SUMMARY

This report is the product of the system design portion of a two-phase project to design and implement an automated criminal court management and information system for a metropolitan district in Louisiana. The system design was developed specifically for implementation in Lafayette Parish as a pilot installation; however, its flexibility will permit implementation of the system in other metropolitan parishes with only minor modification.

The design phase included a comprehensive requirements analysis for the proposed system, evaluation of various automated system alternatives, and overall system design and specification of an integrated court information system to be implemented during phase two of this project.

The requirements analysis stage emphasized both local case flow management and reporting needs, and the informational requirements at national as well as state levels. Thorough documentation of case flow procedures and informational requirements formed a firm foundation for subsequent alternatives analyses and system design tasks.

Evaluation of various system alternatives produced the following conclusions:

1. A five-year cost comparison of a stand-alone computer configuration versus a shared computer configuration showed the shared configuration to be the more cost-effective.

2. A search for existing computer systems which could be adopted or adapted for use by the Lafayette Parish Criminal Court yielded no results among criminal court systems, but did find a highly capable, but only partially utilized law enforcement system available on the City of Lafayette computer.

EXECUTIVE SUMMARY

3. An evaluation of data processing facilities available in the Lafayette area determined that the City of Lafayette Data Processing Department would be the most suitable location for implementing the automated court system.

The system itself was designed to provide offender-based tracking capabilities coupled with extensive user aids for caseload management. Unnecessary frills were avoided to keep the system well within the bounds of economic feasibility for Lafayette. The resulting system meets all applicable information requirements for input to state and federal OBTS/CCH systems, is compatible with current and projected system development of the Louisiana Criminal Justice Information System and the Louisiana Supreme Court, and provides local and external reporting requirements of the district criminal court in Lafayette.

The Lafayette implementation of the system will feature an outline database containing detailed case, defendant, and status information. Real-time data input and display using crt terminals in the Clerk of Court and District Attorney office areas will enable determination of the up-to-date status and information on any case or defendant. Flexible inquiry and screen display capabilities coupled with computer preparation of management reports and many court documents will reduce delays and ensure a more orderly and efficient criminal court system for Lafayette Parish.

I. INTRODUCTION

This report presents the design of an automated judicial information and management system to handle criminal court cases processed by the District Court in Lafayette, Louisiana. The major emphasis of the report is to describe the automated system itself rather than to exhaustively document either the manual system which currently exists or the methodology used in arriving at the automated system design. Documentation of the definition of systems requirements and the analysis of alternatives is provided in Section II. A detailed description of the automated system, its features, and how it would be used in Lafayette is contained in Section III. Technical specifications follow in Section IV and installation requirements in Section V. The implementation plan contained in Section VI provides information required to plan for the implementation phase of the Lafayette system.

The design study began with a requirements analysis phase which incorporated an in-depth on-site study and a comprehensive research of background documents and publications. The on-site study included, in addition to its emphasis on local needs and requirements, a series of meetings and

I. INTRODUCTION

contacts with the Judicial Administrator's Office and LCJIS personnel to determine state-level interface and reporting requirements. The background research included the review of national standards and goals for criminal justice systems, Project SEARCH technical reports, State Judicial Information System Project reports, and descriptive material on the courts in Louisiana.¹

Following completion of the requirements data analysis, an analysis of various system alternatives was made. This included:

- 1) a five-year comparative cost analysis of a stand-alone computer approach versus a shared computer approach;
- 2) a search for compatible systems as transplant candidates; and
- 3) selection of the most favorable computer configuration for the Lafayette system implementation.

The next phase, the system design task, was based on an iterative methodology which developed the system definition in successively greater levels of detail as the design proceeded from the analysis of major processing functions to the detailed definition of each separate task performed within that function. As the system design progressed, it was verified by two methods. First, it was checked against the informational and functional requirements and objectives derived during the requirements

¹This material included data on court operations in a number of different parishes which was made available by the Judicial Administrator's Office. This information was helpful in highlighting differences and similarities between districts which were subsequently taken into account in designing for system transplantability.

I. INTRODUCTION

analysis phase. Second, a test-run of the system was performed using a scenario of case processing which simulated how processing would be handled in Lafayette.¹ The system design phase was considered complete when it had attained the level of detail at which every system operation required to complete the case processing scenario had been defined.

Following the system design itself, the system description was expanded and system specifications and installation requirements were prepared in order to complete the supporting references.

The final step in the project was the production of an implementation plan which included recommendations for system administration, implementation tasks and time phasing supported by estimates of the required implementation budget and system operating costs.

¹This "scenario" (which is included in Section III-D) was developed from several actual case histories combined in such a way as to describe most major court events likely to occur. The scenario becomes an extremely valuable tool in identifying "holes" in the system design which might not be otherwise discovered until the final implementation stage.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

A. Caseflow

This section presents the criminal caseflow and major transactions as observed during the on-site period of the requirements analysis. Figure II-1 diagrams this flow from arrest through sentencing. A more detailed picture of the caseflow is provided in the following caseflow narrative (additional details are contained in the Appendix).

NARRATIVE

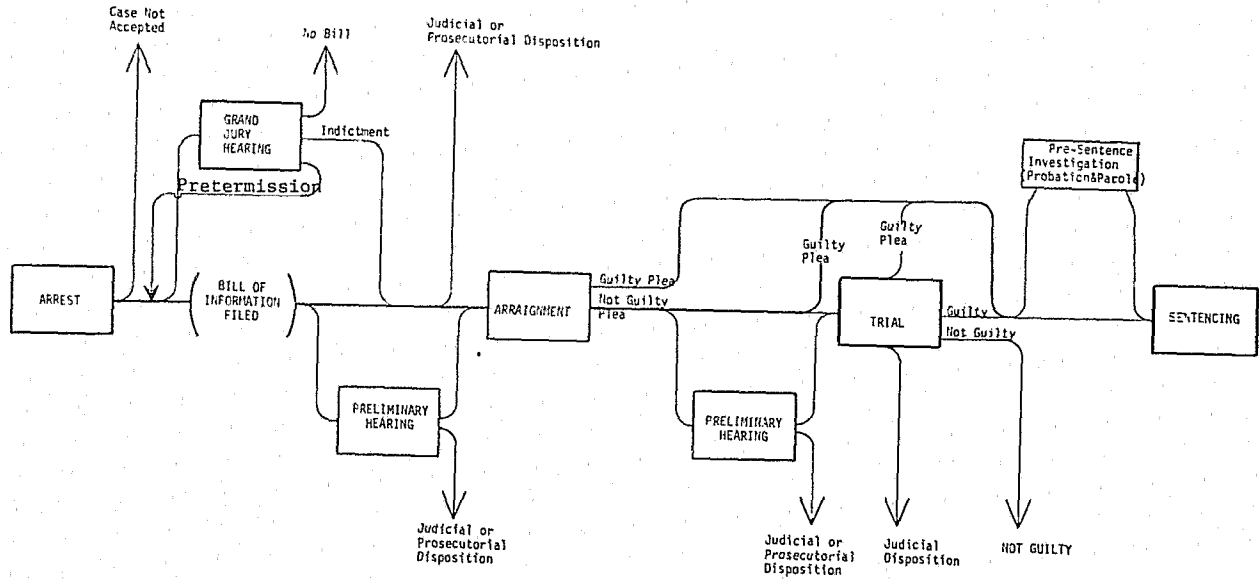
A law enforcement agency becomes aware of a crime and presents evidence on the suspect(s) to the District Attorney's¹ office.

The law enforcement agency and District Attorney's office jointly prepare an affidavit listing the charge to be made which the D.A. feels he can

¹In this report, reference to the D.A. or the D.A.'s office will be used as a general term to refer to the appropriate person in the District Attorney's department.

Figure II - 1

CRIMINAL COURT CASE FLOW DIAGRAM



II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

support. The affidavit is sent to the clerk¹ who files it in the Affidavit File.²

Alternatively, an indictment may be brought at this point instead of an affidavit. The D.A. types a strip for the case and inserts it in the strip file.³

¹ In this report, reference to the clerk or clerk's office will be used as a general term to refer to the appropriate person in the Clerk of Court's department.

² When affidavits are received by the clerk's office, an entry is made in the Affidavit Book and the next sequential number is assigned the "affidavit number" to be used internally. The Affidavit Book contains the defendants' names and the affidavit numbers divided into spring and fall terms of the year and arranged in chronological order within that subdivision. The affidavits themselves are filed in the clerk's office by affidavit number within each term. The affidavits also may have additional documents attached to them, e.g., in the case of extradition proceedings, all related documents will be included. In the case of a material witness whom the D.A. suspects may be motivated to escape, any arrest warrant issued and bond documents will also be included.

³ The District Attorney's office uses what is referred to as the "strip file" to provide a mechanism for keeping track of case status for the purpose of scheduling. Basic case information is typed on a ½-inch manila strip which is inserted in the appropriate section of the strip file. The D.A. prepares a strip for each of the cases when it is originated and keeps it under one of the various classifications he has set up. The movement from one classification to another occurs as case processing progresses through its various stages in the court system. The classifications which the D.A. uses are: (1) awaiting grand jury action; (2) pending initial arrest; (3) to be arraigned - date set; (4) preliminary or sanity hearing; (5) misdemeanor trials - pending without a date; (6) misdemeanor trials - date set (strips filed by date); (7) felony trials - pending without a date; (8) felony trials - date set (strips filed by date); (9) motions; (10) presentence investigations - filed by judge; (11) awaiting sentencing; (12) extradition or revocation hearing; (13) miscellaneous docket; (14) fugitive warrant outstanding. When a case moves from one stage to another, the strip for that case is moved to the new classification.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

If the suspect(s) is (are) not in custody, the D.A. prepares a warrant which is signed by a judge and given to the Sheriff¹ for service. (The amount of the bond is also on the warrant.)

The Sheriff arrests the suspect(s) and makes out an arrest report, a copy of which is sent to the D.A. The arrest report contains a jailor's report section which indicates the suspects' detention status at the time the form is filled out, as well as a time and date of incarceration, time and date of release, particulars of the bond, and the name of the bonding company.

If the prisoner is released on bond, the D.A. receives the bond notice from the Sheriff and sends it to the clerk. If the prisoner is released through Pre-Trial Release, PTR sends the appropriate paperwork to the clerk and the D.A. The prisoner could be released by these means at any time after arrest.

When the D.A. receives the arrest report, the case is given the next case docket number. (A case is entered in the next empty pre-numbered line in the docket book kept by the D.A.--the number being the docket number used

¹In this report, reference to the Sheriff or Sheriff's Office will be used as a general term to refer to the appropriate person in the Sheriff's Department.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

throughout by all court agencies to identify the case). The D.A. fills out the first section of the LCJIS D.A. report and types up a case file index card.¹

The D.A. prepares a Bill of Information against the defendant unless the case is to be brought before the Grand Jury. Occasionally a bill is prepared for a case subsequently going to the Grand Jury. In this latter case, the D.A. will generally follow the finding of the Grand Jury.

If the case is to go to Grand Jury, the D.A. will enter the case on the Grand Jury docket which is sent to the clerk.

Using the appropriate summonses, the clerk will notify the persons indicated on the Grand Jury docket of the required appearance date and time.

On the appointed day the Grand Jury will take up the case and return a No True Bill (drop charges), Pretermission (no decision), or True Bill (indictment). If an indictment is returned, the D.A. sends it to the clerk.

¹ A file containing these cards acts as a defendant-case index for the D.A. The cards are arranged by the defendant's name. For each case the defendant is involved with, there is a separate card filed. Also for each alias name that is known, a separate card is kept. The card contains personal information about the defendant such as date of birth and social security number, case information including the charge, date of offense, the date billed and final disposition, and cross reference information such as the docket number and D.A. file number which are used to locate the case folder in which the D.A. keeps all case related documents and information (the D.A. file number refers to the old defendant file that the D.A. used to keep prior to switching to the docket number as the method for filing and referencing defendants).

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

Upon receipt of a Bill of Information, a Grand Jury Docket, or a Grand Jury Indictment, a case folder¹ is opened by the clerk using the docket number which was assigned by the D.A. (if a folder was not previously opened). An entry to a docket book kept by the clerk is made which cross references defendant name to the docket number. Case folders are then filed according to D.A. docket number.

The D.A. schedules the case for arraignment, at which time the strip for the case is put under "To be arraigned-date set" in the D.A.'s office. When there are enough cases accumulated for that date, an arraignment docket is prepared by the district attorney's office and sent to the clerk's office, sheriff, city police, bailiff, indigent defender board, judges office (two copies), state police, detention if the defendant is a juvenile, and to the welfare department if the defendant is on welfare.

The clerk's office prepares the Notification of Arraignment to the defendant stating the charge against him and sends a copy to the sheriff's

¹All documents related to a case, except the affidavit, are kept in a case folder filed by docket number in the criminal clerk's area. When a case folder is started, an entry is also made in the case Docket Book. This book has a list of defendants' names entered in the front in (somewhat) alphabetical order. Beside each name is the docket book page number identifying the sheet on which the case information is entered. The case entry (on the page referenced) includes the D.A. docket number, the defendants' names, date of billing or indictment, and the charge. The docket is used primarily as a name index to the case files.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

office to be served on the defendant (and his bondsman, if he is out on a bond). If the defendant is released under the Pretrial Release (PTR) Program on his own recognizance, PTR notifies the clerk's and D.A.'s offices. There are five copies of this arraignment notification: one is served on the defendant, one on his bondsman, one copy is retained by the clerk's office and two are the return copies from the sheriff's office. A notice of hearing is also sent to the attorney for the defendant if the clerk's office is informed of one. Otherwise, the determination of whether the defendant has an attorney, and who he is, is made at the time of arraignment.

There may be written motions filed by the defense attorney anytime during the life of the case. The written motion is filed in the clerk's office and after a copy is sent to the D.A.'s office, it is kept in the case folder. The district attorney's office prepares the answer which may be written or oral. The written answer is sent to the clerk's office where it is kept in the clerk's case folder. A copy of the answer is retained in the case folder in the district attorney's office. After the answer is filed, the motion is scheduled and subsequently shown on a docket for a motion day. The docket is sent to the clerk's office and others normally receiving it. The clerk's office then prepares the summons and notification forms for the defendant, the defense attorney and the witnesses involved and sends them to the sheriff's office to be served.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

There are three copies of the summons form. One copy is kept in the clerk's office, one used for service on the person concerned and the third returned by the sheriff to the clerk's office. If the person cannot be reached, the returned copy from the sheriff will be marked to that effect.

In court on the scheduled arraignment day, the defendant is called for arraignment. If he does not have an attorney and does not waive his right to legal representation, he will not be arraigned, and the case must be rescheduled (by the D.A.) for a later arraignment docket. The Indigent Defender will provide an attorney if the defendant cannot afford one. If the defendant pleads not guilty, he is given a period (usually 10-15 days) to file motions and pleadings. If the defendant pleads guilty, a date will be set for sentencing unless sentencing delay is waived by the defendant and sentencing is done immediately.

While in court, the minute clerk records the proceedings on magnetic tape and also notes significant events on the clerk's copy of the docket for that court session. After court, the clerk types up the minutes using the notes and recordings. The minutes are then filed in chronological order in the minute book and the docket filed in chronological order in the docket book.

On days of motion hearings or any other court appearances, the minutes are recorded and typed as described above, and the minutes and docket filed as described above.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

Once all the outstanding motions are taken care of, the D.A. moves the case strip to "date to be set for trial" category. The case will subsequently be scheduled for trial on the next available petit jury week, and the case strip moved to "trial date set" category. Two to four weeks before the petit jury week, the docket is prepared by the D.A. The copies are sent to all the concerned agencies as described previously.

The clerk now notifies all the participants. The forms are specially printed for notifying the defendant, defense attorneys and bonding companies. All other participants are notified using the summons form. The notification information flow is exactly the same as explained previously. The defense attorney can request the clerk to summon any witnesses he desires, in which case the clerk's office sends out summons to these persons also.

Pleading dockets are sometimes prepared for persons wishing to plead whose cases had not been put on the trial docket for that date.

The D.A. and the defense each notify their summoned witnesses that they need not appear if plea bargaining or another event makes their appearance unnecessary.

Pleadings and motions are heard on the Monday morning of the designated trial week. The D.A. calls the cases and will also set trial dates at this time. (Most defendants plead guilty at this time and may be sentenced immediately or later as described previously.)

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

On the date of the trial, any outstanding motions are taken care of prior to polling the jury.

During the trial, motions may be taken up and disposed of. All scheduling during the trial is handled by the judge.

If the defendant is acquitted, the clerk reports the disposition to law enforcement departments by sending them copies of the applicable minutes. The D.A. reports disposition to the Attorney General on the LCJIS form.

If the defendant is found guilty, he is scheduled for sentencing by the D.A. unless he (the defendant) waives the sentencing delay. The judge may order a presentence investigation which is conducted by the Department of Probation and Parole. If a presentence investigation is ordered, the clerk notifies the Department of Probation and Parole by sending them a copy of the appropriate minutes. The report from the subsequent investigation is sent directly to the judge. The D.A. gets notification from probation of the transmittal of the report to the judge, and will then schedule sentencing.

When the defendant is sentenced, the sentence is recorded by the clerk. (The court reporter makes no record after the verdict.) The sentence may be for hard labor (Angola), incarceration in the Parish Jail, or probation, among others. The sentence segment of the minutes is Xeroxed by the clerk when they have been typed up, and sent to the various agencies

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

requiring dispositions: law enforcement, the D.A., and Probation and Parole if sentenced to probation. A commitment form is completed by the clerk and sent to the Sheriff's Department. A case report is prepared by the D.A. to be sent to the Warden of the prison receiving the defendant.

Probation and Parole uses the information received to send for a rap sheet from the state. (A person cannot be accepted for probation if he has a prior felony conviction.) After receipt of confirmation of search from the state, the defendant is brought in for an interview by a Probation Officer. Detailed information on that person is then entered into the state corrections data processing system using the teletype terminal which is installed in the Probation and Parole Office.

Defense may file a motion for an appeal--normally within 90 days. If the appeal is granted, the judge sets a returnable date for the transfer of the case to the jurisdiction of the appellate court. Until that date is reached, the defense can continue to make motions, including motions for continuance of the returnable date. Motions are handled in the same manner as they are prior to conviction.

In case of a request for extradition of a defendant to another state, the affidavit, bill and other relevant documents are received by the District Attorney's office from the requesting state. The sheriff prepares the

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

affidavit with the help of the D.A. The sequence of events from here is similar to that described previously, except that the court appearance takes the form of an extradition hearing. The supporting documents from the state requesting extradition are sent to the clerk's office along with the affidavit. These supporting documents are filed with the affidavit in the affidavit folder. The disposition of the case is transmitted to the sheriff's office by sending a copy of the court minutes. No case folder is kept for these cases.

If a case has multiple defendants, the case may be severed. The same case folder is still kept, however, and all documents, present and future, relative to any or all of the defendants are kept in the same folder.

B. Informational Criteria

Since information is the life-blood of a court management and information system, considerable emphasis has been placed upon defining the informational criteria which a fully responsive system design must meet. This has been accomplished for the Lafayette Criminal Court Information System by tabulating informational/data element requirements identified at the national, state, and local levels. Included in the data file design for Lafayette is information generated within the participating court agencies as a case is processed through the criminal court as well as information

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

originated outside the system (i.e., not generated by the Criminal Court in Lafayette), which is used for identification or reporting purposes¹ and to facilitate interfaces with other criminal justice agencies.

Figure II - 2 summarizes the categories for which informational criteria have been defined. The remainder of this subsection contains the detailed information requirement:² Sections 1 and 2 cover national requirements, Section 3 and 4 cover Louisiana State level requirements, and Section 5 covers local requirements.

¹Of course, the system has no way of capturing and reporting information on persons who are not processed by the participating court agencies. For example, if a person is arrested, but because of lack of evidence, the district attorney does not initiate a court case by issuing a Bill of Information or by presenting the case to a Grand Jury, no information on that arrest or its disposition will be entered in the system.

²It should be recognized that although the information requirements identified in this section are fully satisfied by the Lafayette system, not all data elements will be kept on a one-for-one basis in the system files. Those data elements which are not kept, however, can be derived from other elements which are.

Figure II - 2

SUMMARY OF INFORMATIONAL CRITERIA CATEGORIES

NATIONAL

OBTS

- Identification elements
- Police, Prosecutor elements
- Court (District) Prosecutor/Grand Jury elements
- Criminal Court/Felony Trial elements

CCH (NCIC)

- Identification segment
- Arrest segment
- Judicial segment

STATE

JAMIS

- Heading/Identification data
- Charge data
- Trial data
- Disposition data

LCJIS District Attorney Reporting System

- Heading data
- Charge data
- Judicial data
- Trial data
- Conviction data

LOCAL

Identification

Arrest

Prosecutor/Case Flow Management

- Case information
- Defendant information
- Motion information
- History information

Local Documents/Reports

- Case information
- Defendant information
- Witness information
- Motion information

Disposition Reporting

- Case information
- Defendant information

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

1. OFFENDER BASED TRANSACTIONAL STATISTICS (OBTS)

a. Identification Elements

- *¹State Identification Number
- * FBI Identification Number
- * State Record Number
- Name
- AKA (Alias, nickname)
- * Sex
- * Race
- * Date of Birth
- LCJIS Tracking Number
- Social Security Number
- Vehicle Operators License Number
- Local Law Enforcement Number

b. Police/Prosecutor Elements

- * Arresting Agency Number
- Arresting Agency Identification Number
- FBI Identification Number
- Name
- AKA
- * Date of Arrest
- Arrest Offense - Most Serious
- * Charged Offense - Most Serious
- * Prosecutor Disposition
- * Prosecutor Disposition Date

c. County (District) Prosecutor Grand Jury Elements

- * Prosecutor Identification
- * Date of Filing
- * Type of Filing
- * Date of Arraignment
- * Charged Offense (Most Serious)
- * Initial Plea
- * Release Action
- * Release Action Date

¹* Signifies the OBTS minimum data requirements specified by LEAA.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

1. OBTS (continued)

d. Criminal Court/Felony Trial Elements¹

- * Court Identification Number
- * Initial Appearance Date
- * Initial Plea
 - Date Trial Set
 - Date Appeared for Trial
- * Trial Date
- * Trial Type
- * Final Plea
- * Trial Ending/Disposition Date
 - Appeal Date
- * Charged Offense (Most Serious)
- * Type of Charge
- * Final Charge (Most Serious)
- * Type of Charge (Final)
- * Court Disposition
- * Sentence Date
- * Sentence Type
- * Confinement - Prison (Years)
- * Confinement - Jail (Days)
- * Probation (Months)
- * Type of Counsel

2. COMPUTERIZED CRIMINAL HISTORY² (CCH)

a. Identification Segment

Originating Agency
FBI Identification Number
Name
Sex
Race
Place of Birth^{#3}
Date of Birth
Height[#]
Weight[#]
Color of Eyes[#]

¹ Lower Court and Felony Trial categories are combined here since the district court in Louisiana is a court of original jurisdiction for criminal matters.

² Contains applicable segments of the NCIC-CCH system.

³# Signifies not provided for in Lafayette system.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

2. CCH (continued)

a. Identification Segment (continued)

Color of Hair^{#1}
Skin Tone[#]
Scars, Marks, Tattoos, etc.[#]
Social Security Number
Miscellaneous Ident. No. (LCJIS No.)
Fingerprint Classification
Identification Comments[#]
State Establishing Record
Date Record Established[#]
Date of Latest Update[#]

b. Arrest Segment

Message Key[#]
Arrest Agency Identifier
Date of Birth
State Identification No.
FBI Identification No.
Name Arrestee Used
Sequence Letter
Date of Arrest
Arrest Charge No.
Date of Offense
Statute Citation
General Offense Character
Arrest Offense - Numeric
Arrest Offense - Literal
Arrest Disposition - Numeric[#]
Additional Arrest Disposition Data[#]

c. Judicial Segment

Message Key[#]
Agency Identifier
State Identification No.
FBI Identification No.
Sequence Letter
Date of Arrest
Court Count No.
Court Disposition Date
Statute Citation
General Offense Character
Court Offense Classification - Numeric

¹# Signifies not provided for in Lafayette system.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

2. CCH (continued)

c. Judicial Segment (continued)

Court Offense Classification - Literal
Court Disposition - Numeric
Sentence Suspended
Confinement
Probation
Fine
Other Court Sentence Provisions - Literal
Other Court Sentence Provisions - Numeric
Date Case Appealed
On Bail Pending Results of Appeal

3. JUDICIAL ADMINISTRATORS MANAGEMENT INFORMATION SYSTEM (JAMIS)

a. Heading/Identification Data

Control Number
Parish Judicial District
Case Number
Court Division
Person Sequence Number
Defendant Name
Number of Codefendants
LCJIS Control Number
Date Filed

b. Charge Data

Type Filing
Offense Charged
Felony/Misdemeanor
General Offense - Actual/Attempted/Accessory/Conspiracy/
Inciting
Code Number
Statute

c. Trial Data

Date of Request for a Trial Assignment
Original Schedule Trial Date
Date of Disposition
Was a trial begun
Date Trial Began
Type of Disposition
Was this case consolidated with another case for trial
Number of Defendants for this trial

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

3. JAMIS (continued)

d. Disposition Data

Date of Disposition
Type of Disposition
Counsel to Indigent Defendant - Court Appointed/Public
Defender/Other
Offense Convicted
Felony/Misdemeanor
General Offense - Actual/Attempted/Accessory/Conspiracy/
Inciting
Code Number
Statute
Date of Sentence
Type of Sentence

4. LOUISIANA CRIMINAL JUSTICE INFORMATION SYSTEM (LCJIS), D.A. REPORTING SYSTEM

a. Heading Data

Judicial District
District Attorney's Identification Number
Arresting Agency's Identification Number
Offenders Name
LCJIS Control Number
State Identification Number
Agency Identification Number
District Attorney's Case Number
Charge Date

b. Charges

Charge Count Number
General Offense Code
Offense Code
Drug Activities
Louisiana Statute
Felony/Misdemeanor
Prosecutive Dispositions
Date Prosecutive Dispositions
Extra-Judicial Dispositions
Date Extra-Judicial Dispositions

c. Judicial Data

Court Case Number (Docket)
Court Identification Number
Name of Presiding Judge

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

4. LCJIS D.A. System (continued)

d. Trial Data

Charge Count Number
General Offense Code
Offense Code
Drug Activities
Louisiana Statute
Felony/Misdemeanor
Arrestment
Arrestment Date
Trial No Jury
Trial Jury
Trial Date
Date Judicial Disposition

e. Conviction Data

Charge Count Number
General Offense Code
Offense Code
Drug Activities
Louisiana Statute
Felony/Misdemeanor
Sentence
Sentence Date
Place of Confinement
Term
Fine

5. Local Categories

a. Identification

Defendant Name
Aliases
Codefendant names
Case Number
Defendant Number
Date of Birth
Sex
Race
Social Security Number
Driver's License Number (State and the Number)
Address
NCIC Number
State Identification Number
Local Law Enforcement Number
LCJIS Tracking Number

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

5. Local Categories (continued)

b. Arrest

Defendant Name
Aliases
Date of Birth
Sex
Race
Social Security Number
Driver's License Number (State and the Number)
Address
NCIC Number
State Identification Number
Local Law Enforcement Number
LCJIS Tracking Number
Date of Incident
Arresting Agency (Code)
Date of Arrest
Charge on Which Arrest Made (State Statute No.,
Description)

c. Prosecutor/Case Flow Management

1) Case Information

Docket Number
Docket Number Suffix (Used If Case Severed)
Parish Code
Division Code
Part Code
Judge (Code)
Bill Date
Indictment Date
Case Type
New/Reopened Indicator
Trial Type
Case Status Code
Prosecutor Name
Witness Names, Addresses, Type and Comments
Case Comments

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

5. Local Categories (continued)

c. Prosecutor/Caseflow Management (continued)

2) Defendant Information

Defendant Name
Codefendant Names
Charge on Which Being Prosecuted (State Statute No.,
Description)
Charge on Which Convicted (State Statute No., Description)
Disposition Code
Presentence Investigation Indicator
Sentence Type
Sentence Date
Time to be Served in Confinement (minimum - maximum)
Time Suspended (minimum - maximum)
Time on Probation (minimum - maximum)
Acceptance of Offender for Supervision by Department of
of Probation and Parole
Fine (Amount)
Sentence Description
Defendant Status
Detention Status
Bail/Bond Amount
Next Court Appearance Date
Next Court Appearance Time
Next Court Appearance Type
Next Scheduled Event Date
Next Scheduled Event Type
Defense Attorney's Name
Whether Public or Privately Retained

3) Motion Information

Type of Motion
Made by (D.A. or defense)
Defendant Number Motion Pertains To
Judge (Code)
Written/Oral Motion Indicator
Status of the Motion
Date Motion Filed
Answer Filed Date
Next Scheduled Court Appearance Date (for motion)
Date Motion Taken Under Advisement
Date of Decision by Judge
Comments

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

5. Local Categories (continued)

c. Prosecutor/Caseflow Management (continued)

4) History Information

Transaction Code
Transaction Information (Dates, etc.)
Date Transaction Entered
Narrative

d. Local Documents/Reporting

1) Case Information

Docket Number
Docket Number Suffix (Used If Case Severed)
Parish Code
Division Code
Part Code
Judge (Code)
Bill Date
Indictment Date
Case Type

2) Defendant Information

Defendant Name
Defendant Aliases
Codefendant Names
Defendant Number
Defendant Address
Defendant Telephone Number
If-On-Welfare Indicator
Charge on Which Being Prosecuted (State Statute No.,
Description)
Charge on Which Convicted (State Statute No., Description)
Sentence Type
Sentence Date
Time to be Served in Confinement (minimum - maximum)
Time Suspended (minimum - maximum)
Time on Probation (minimum - maximum)
Probation Acceptance Indicator
Fine (Amount)

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

5. Local Categories (continued)

d. Local Documents/Reporting (continued)

2) Defendant Information

Sentence Description
Defendant Status
Detention Status
Bonding Firm Name
Bonding Firm Address
Next Court Appearance Date
Next Court Appearance Time
Next Court Appearance Type
Next Scheduled Event Date
Next Scheduled Event Type
Defense Attorney's Name
Defense Attorney's Address
Whether Public or Privately Retained

3) Witness Information

Name
Address
Type of Witness
Next Court Appearance Date
Next Court Appearance Time

4) Motion Information

Type of Motion
Made by (D.A. or Defense)
Defendant to Which Motion Pertains
Judge (Code)
Status of the Motion
Next Scheduled Court Appearance Date

e. Disposition Reporting

1) Case Information

Docket Number
Docket Number Suffix
Parish Code
Judge (Code)
Trial Type

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

5. Local Categories (continued)

e. Disposition Reporting (continued)

2) Defendant Information

Defendant Name
Defendant Aliases
Date of Birth
Sex
Race
If-On-Welfare Indicator
NCIC Number
State Identification Number
Local Law Enforcement Number
LCJIS Tracking Number
Date of Incident
Arresting Agency (Code)
Date of Arrest
Charge on Which Arrest Made (State Statute No.,
Description)
Charge on Which Convicted (State Statute No., Description)
Disposition Code
Sentence Type
Sentence Date
Term
Time to be Served in Confinement (minimum - maximum)
Time on Probation (minimum - maximum)
Time Suspended (minimum - maximum)
Probation Acceptance Indicator
Fine
Sentence Description

C. Analysis of Alternatives and Comparison of Stand Alone vs. Shared Configurations

As part of the alternatives analysis for the automated court system a comparative analysis of stand-alone versus shared configurations was made. The following criteria were incorporated into this analysis. Does the alternative being investigated

- o provide the most cost effective short and long term configuration to the District Court and its user agencies?

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

- o fulfill the functional design specifications necessary to meet user requirements?
- o provide sufficient teleprocessing and batch processing power, and storage facilities?
- o allow for functional expansion?
- o provide capable, on-time system maintenance support?
- o support COmmon Business Oriented Language (COBOL)?

1. Hardware Comparison Selection

In order to conduct this comparative analysis the City of Lafayette's IBM 370 model 125 was selected as a representative candidate for a shared machine configuration.¹ After preliminary investigation of several manufacturers the Hewlett-Packard 3000 was chosen as a suitable candidate for the stand-alone configuration since it included certain specific functions and software deemed necessary for proper support of the Lafayette Court System and, hence for accurate comparative purposes.

<u>Specifications</u>	<u>IBM 370</u>	<u>Hewlett-Packard 3000</u>
model	125	3000
operating system	DOS/VS	MPE
core availability	192K	96K
disk storage	six 3330 drives	47M
COBOL compiler	Yes	Yes
tape drive availability	1-3410 & 1-3411	Minimum (one)
facility site	existent	to be round
operations personnel	existent	to be hired

¹The City of Lafayette machine was subsequently selected as the most suitable for installation of the automated court system. Section V contains the details of this selection.

II. REQUIREMENTS DEFINITION AND ALTERNATIVES ANALYSIS

2. Hardware Economic Comparisons

To accurately compare the costs of shared versus stand-alone configurations, a breakdown of the major cost items was made. Both purchase and lease options were compared and illustrated for the stand-alone alternative. Figure II-3 presents projected costs associated with each of the alternatives.

In making a decision between shared and a stand-alone environment, two cost factors must be considered: total cost of implementing the system and the operational cost experienced in the short and long runs.

The shared environment allows the parish to turn to one source for all technical information and problem solving. The shared approach allows for minimum additional in-house support of the hardware and interfaces.

The stand-alone configuration brings with it many "hidden" overhead costs and duplication of already existent overhead factors.

To support the stand-alone system, a minimum of one computer operator and one senior operator analyst would be required. The senior operator could then be the resource needed for system maintenance (software and applications programs) and would be available to backup the prime operator. Under the shared configuration a maintenance resource would also be needed but this could be handled on a part-time basis.

In the stand-alone configuration additional administrative management support would be required.

Figure II-4 shows the comparative analysis over a five-year operating period.

Figure II - 3 SYSTEM PROCESSING SUPPORT

- SHARED - City of Lafayette	- STAND ALONE - Hewlett-Packard 3000	
<u>LEASE</u>	<u>LEASE*</u>	<u>PURCHASE</u>
CPU Usage (Batch & T/P) @ \$96.00/CPU hour x 10 hrs. \$960/mo. Supplies 100/mo. Video display (2) 3270 (amortized) 307/mo. Disk Drive Cost* 600/mo. Data Module Cost 70/mo. Adapter Cost (\$59/mo x 2) 118/mo. Line Cost (2400 baud) <u>40/mo.</u> \$2,195/mo.	CPU (96K) Line printer (200 LPM) Card reader (600 CPM) Console Disk (47m) Tape drive \$6,100/mo. Supplies 100/mo. Operators (2)** 2,250/mo. Site*** 417/mo. Video display (2) 242/mo. Line Cost (2400 Baud) <u>40/mo.</u> \$9,149/mo.	CPU (96K) Line printer (200 LPM) Card reader (600 CPM) Console Disk (47m) Tape drive *\$2,916/mo. Supplies 100/mo. Operators (2)** 2,250/mo. Site*** 417/mo. Video display (2) 150/mo. Maintenance (mainframe) <u>1,200/mo.</u> \$7,033/mo.
*The actual usage of the disk drive by the court system amounts to approximately 10% of the drive's capacity. However, since the current disk drives are fully allocated to city users, it is the position of the Data Processing Department that the full cost of the additional drive required should be borne by the court system.	*42 month lease-own agreement **Sr. operator and operator with benefits ***\$5.00/square foot; 1,000 square feet for computer, stockroom and work space.	*\$175,000 purchase price amortized at useful life of 60 months (IRS standards) **Same as "lease" schedule ***Same as "lease" schedule

Figure II - 4 FIVE YEAR COMPARATIVE ANALYSIS

<u>Shared vs Stand-Alone</u> <u>Configurations</u>		
	<u>Shared</u>	<u>Stand-Alone</u> <u>(Purchased)</u>
System Processing Support (T/P support included) times: 60 months	\$ 2,195/mo. 60 \$131,700.	\$ 7,033/mo. 60 \$421,980.
plus: terminal maintenance for 60 months	3,240. \$134,940.	3,120 (52/mo x 60 mos.) \$425,100.
Stand-Alone	\$425,100.	
Shared	-134,940.	
	290,160.	
Shared cost at system operation & maintenance for shared configura- tion	- 30,000. \$260,160.	
\$260,160 net five years cash savings realized under shared environment alternative or \$52,032. per year.		

II. REQUIREMENTS DEFINITION AND ALTERNATIVE ANALYSIS

D. System Transplant Search

Once the requirements analysis had identified the informational and reporting needs of the court agencies, the operational interfaces between uses, and the division of functions among the court agencies, a preliminary functional description of a responsive court information and tracking system was developed. Other analysis pointed towards the sharing of facilities with the Lafayette City Data Processing Department as the most viable and cost effective alternative for the District Court in Lafayette.

Based on the above, four major criteria were identified as a basis for evaluation of potential transplant candidates. These criteria are outlined below:

1. System Operational Status: The candidate system (software) must be completely operational and running. At least one year of full operational status is preferable to minimize the number of unidentified system problems.
2. Hardware Considerations: The system should be capable of being installed on an IBM 125. Hardware requirements of the system to be transplanted must be relatively small to avoid major impact on the present system.
3. Software Considerations: The system should be compatible with a CICS/COBOL environment. System size and complexity should not impose undue operational burden with respect to program run times, system maintenance, etc.

II. REQUIREMENTS DEFINITION AND ALTERNATIVE ANALYSIS

4. Functional Compatibility: The system must exhibit functional compatibility with the courts in Louisiana in general and in Lafayette in particular. System functions of the candidate system should be appropriate for Lafayette.

With respect to these compatibility criteria, there were several factors encountered which were major contributors to the elimination of transplant candidates. These are identified below.

- o In Lafayette (and in varying degrees elsewhere in Louisiana) calendaring and case scheduling functions are controlled by the District Attorney, while the judges maintain control of judge scheduling functions. Many systems were build around different calendaring/scheduling procedures which were functionally incompatible with the district court in Lafayette.
- o Most of the systems encountered were designed for courts processing a much larger case load and/or having a more complex set of procedures for handling criminal cases than in Lafayette. It was found that the features and accompanying complexity of many of these systems would be a major over-kill for a court the size of that in Lafayette.
- o Another contributing factor is that in Louisiana, judges serve all parishes in a multi-parish district, while there are separate clerks of court and separate court facilities for each individual parish. This complicates the use of calendaring modules since the system was to be installed for only one of the parishes in the district.

II. REQUIREMENTS DEFINITION AND ALTERNATIVE ANALYSIS

Figure II-5 presents the results of the transplant search in tabular form. As can be seen, no system proved suitable for the Lafayette criminal court. However, the transplant search itself proved fruitful in two ways: 1) Design features of systems which tended to inhibit their transplantability were identified and subsequently avoided where possible in the Lafayette design so as to increase the opportunity for its use in other jurisdictions. 2) In the City of Lafayette itself, a law enforcement and traffic court reporting system was encountered which offers major opportunities for improving court operation and overall criminal justice effectiveness in the parish.

Currently operational on the Lafayette City computer for the Lafayette City Court is a traffic violation court docketing and reporting module capturing all ticketable offenses occurring in the City of Lafayette. This module is part of a system currently providing police, traffic, and court activity reporting for the city. Figure II-6 is an excerpt from documentation on this system obtained during the transplant search which illustrates the scope of this system. Also available, but not currently in use, is an on-line inquiry capability for use by law enforcement agencies.

Although the functions of law enforcement and traffic court handled by this system fall outside the scope of this study, it is strongly recommended that the traffic court module be expanded to include all parish as well as city traffic cases,¹ and that the full capabilities of the law enforcement system be activated for all law enforcement agencies in the parish.

¹This recommendation was communicated verbally in Lafayette to both O. C. Guilliot, Clerk of Court, and J. Nathan Stansbury, District Attorney.

Figure II - 5

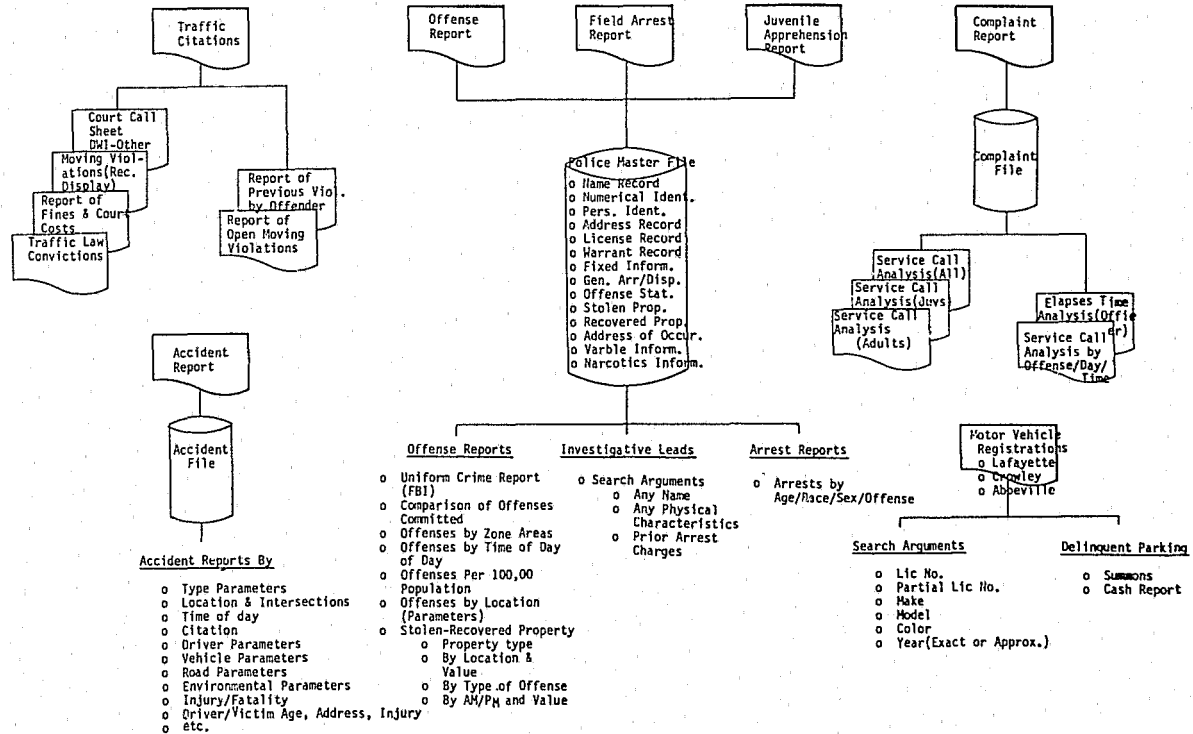
ALTERNATIVE SYSTEM EVALUATION FINDINGS

Jurisdiction	Operational	Hardware Compatibility	Software Compatibility	Functional Compatibility ¹
Cleveland, Ohio	Yes	Yes	Poor	Poor
Hillsborough County, Florida	Partial	Yes	Poor	
Maricopa County, Arizona	Yes	Yes	No	Poor
Cincinnati, Ohio	Yes	No	No	
PROMIS	Yes	Yes	Yes	Poor
Jacksonville, Florida	Yes	No	No	
Nassau County, New York	Yes	Yes	No	Poor
Monroe County, New York	No	Yes	No	
Pima County, Arizona	Yes	Yes	Poor	Poor
Cook County, Illinois	Yes	Yes	No	Poor
Newark, New Jersey	No	Yes	No	
Buffalo, New York	Yes	No	No	Poor

¹ Where no entry is shown, the system was found to be incompatible without a determination of the degree of functional match.

Figure II - 6

COMPUTER-BASED REPORTING OF POLICE
TRAFFIC AND COURT ACTIVITIES
City of Lafayette Data Processing Department



III. SYSTEM DEFINITION

This section describes the general characteristics and special features of the computer system which was designed for handling criminal cases in the Lafayette District Court once it was determined that there were no compatible existing systems for the purpose of transplanting to Lafayette Parish. System inputs, outputs, and user participation are identified. Also described in this section are the major changes which will (and those which won't) be made in the Lafayette Court procedures as a result of this system. The description of major changes is followed by an illustrative scenario of a felony case describing user interactions with the computer.

A. System Description

The system designed for Lafayette is basically a defendant/case tracking and court information system which will:

- o Provide local caseflow management and information needs.
- o Provide OBTS/CCH information and the required court information reporting to state level government.
- o Enable future interfaces with law enforcement and corrections agencies at the local and state levels.

III. SYSTEM DEFINITION

- o Enable future interfaces with a State Judicial Information System.
- o Be sufficiently independent of local procedures to enable implementation in other court districts without major modifications.
- o Be economically feasible for implementation and operation in Lafayette.

The system's complexity and hardware requirements have been kept at a minimum without sacrificing performance, flexibility, or expandability. It features two on-line CRT terminals¹--one in the Clerk of Court's Criminal and Traffic Area and the other in the district attorney's clerical office area. Each terminal provides access to a common data base for inquiry and update of defendant, case and docket/schedule information

The system will track each defendant in each case, recording each court related event from the point of billing or indictment² until final disposition (or transfer to a higher court for appeal). The system also provides for separate reporting of events relating to post conviction activities, and various other hearings and proceedings which constitute part of the criminal court workload but which fall outside the above tracking period.³

¹Additional terminals can be added at a later date should they be required.

²This starting point conforms with recommendation 2.0 of SJIS Requirements Subcommittee Report.

³This capability will provide the information necessary to conform with recommendations 2.0 and 4.0 of SJIS Requirements Subcommittee Report.

III. SYSTEM DEFINITION

All case/defendant data and case transaction and status information need be entered only once (either by the Clerk of Court's or the D.A.'s personnel) using the typewriter-like keyboard of their respective computer terminals. This data is formatted, indexed, and stored in the computer to enable selective extraction for display on the computer terminal, for document preparation, or for report production as needed by the users.¹ The system functions available using the terminals are identified by transaction category in Figure III-1. Figure III-2 shows the screen displays which can be requested on either the clerk's or the district attorney's computer terminals, while Figures III-3 and III-4 summarize the report outputs produced by the system, identifying the frequency and recipients of each. The clerk or district attorney terminals will be used to input virtually all data into the system.² Likewise, any display and most reports can be requested using the computer terminal keyboard.

Authorized persons in the clerk or D.A. offices will initiate the desired transaction by entering a code for the desired transaction group (i.e., inquiry or data entry) into the terminal using the keyboard. The computer will then specify on the terminal screen those categories or functions available under that transaction group and what additional information the user must enter. When the user selects the desired system transaction category, the computer will then display on the terminal the information requested by

¹The term "users" in this report refers to personnel in the criminal justice agencies in Lafayette who have a valid need for the information from the court system.

²The one exception to this is the District Court Schedule which is inputted annually and updated as required using card input.

Figure III - 1
SYSTEM TRANSACTION CATEGORIES

Data Entry and Update (online)

1. Case Data Entry Transaction
 - i) Case general information
 - ii) Defendant information (all defendants)
 - iii) Witness information (all witnesses)
2. Case Information Update Transaction
 - i) Case general information
 - ii) Defendant information (all defendants)
 - iii) Witness information (all witnesses)
3. Motion Entry and Update Transaction
4. Case Status Update Transaction (any court or non court action)
5. Case Scheduling Transaction (schedule court appearance)
6. Motion Scheduling Transaction (schedule court appearance)
7. Alias Adding Transaction
8. Case Number Change Transaction
9. Case Severance Transaction
10. Request Transaction for
 - i) Docket and summons generation and printout
 - ii) Case information and history listing
 - iii) District Court schedule listing

Inquiry (online)

1. Case Information Inquiry
 - i) Case general information
 - ii) Defendant information (all defendants)
 - iii) Witness information (all witnesses)
 - iv) Motion information (all motions)
 - v) History
2. Name Inquiry
 - i) All cases associated with a name
 - ii) Case information as in 1, for a selected case
3. Judge schedule inquiry by docket category
4. Judge schedule inquiry for total schedule by date
5. Pending cases by category

Figure III - 2

ON LINE INQUIRY-- SCREEN DISPLAYS

<u>SCREEN DISPLAYS</u>	<u>CLERK</u>	<u>DISTRICT ATTORNEY</u>
Summary Case Information Display	X	X
Defendant Information Display (any defendant, by case)	X	X
Witness Information Display (any witness, by case)	X	X
Motion Information Display (any motions, by case)	X	X
Chronological History Display (all case events, by case)	X	X
Judge Schedule Display (all scheduled days and number of cases scheduled, by docket category)	X	X
Judge Schedule Display (total District Court schedule in date sequence)	X	X
Pending Cases Display (by case status/docket category, in age sequence)	X	X
Name/Alias Case Number Display (by name showing aliases, case number, charge and disposition)	X	X

Figure III - 3

SYSTEM OUTPUTS AND AGENCY PARTICIPATION

	Clerk	District Attorney	Judges Office	Sheriff (Jail)	Sheriff	City Police	State Police	Bailiff	Defendant	Witness	Defense Attorney	Indigent Def. Office	Bonding Agency	Pretrial Release	Welfare Dept.	Police Jury	Dept. of Probation and Parole	State Judicial Admin. Office	LCJIS/JANIS	LCJIS (Attorney General Reports)
Printed Court Docket	X	X	(2)	X	X	X	X	X		(6)		X		X	(3)					
Summons for Grand Jury (1)	(4)				(5)					(6)										
Summons	(4)				(5)					(6)										
Arraignment Notice (billed)	(4)			(6,3)	(5)					(6)	(5)	(5,3)		(5,3)						
Arraignment Notice (indicted)	(4)			(6,3)	(5)					(6)	(5)	(5,3)		(5,3)						
Notice to Surety	(4)									(6)	(5)	(5,3)	(5)							
Notice of Trial	(4)			(6,3)	(5)					(6)										
Notice of Trial to Attorney	(4)										(5)	(5,3)								
Case Aging Report (includes totals)		X										X								
Cases Hearing Prescription (includes totals)		X																		
Case Exception Reports (includes totals)		X																		
Case Data and History Listing	X	X	(7)																	
Sentence Document (commitment)				X																
Disposition Report (Sheriff)					X															
Disposition Report	X	X		X		(3)	(3)					(3)					(3)			
Disposition Report (sentenced to probation)																				
District Court (Judges) Schedule Listing	X	X	X																	
Cases Pending Report (all cases)	X	X																		
Defendants Incarcerated Report		X		X								X			(3)					
D. A. Workload Report (includes statistics)		X																		
Defense Attorney Workload Report (includes statistics)		X										X								
Cases Pending U. A. Action Report		X																		
Two-month Look-ahead Court Appearance Schedule	X	X																		
Daily Transaction Report	X	X																		
Name File Listing	X	X																		
New Names Added Listing (month-to-date)	X	X																		
Case/Name Index Listing	X	(7)																		
Days-In-Court Report	(4)															(5)				
Ad Hoc Reports	(7)	(7)	(7)	(7)	(7)	(7)	(7)					(7)		(7)		(5)	(7)		(7)	(7)
Court Activity Statistics Reports	X	X	X									X								
Clerk's Case Statistics Report	X																	X		
JANIS Clerks Report Data (8)																			X	
D. A. Disposition Report Data (8)																				X

NOTES: 1. Because of the similarity in information, most of the summons and notifications may be combined to reduce the number of form changes required.
2. Two copies received.
3. Received only if document contains persons of interest to indicated agency.

4. Received by clerk for validation and/or signature.
5. Received from clerk after validation and/or signature.
6. Served by Sheriff.
7. Receives report only when requested.

8. This data will be recorded on a suitable machine-readable medium (such as magnetic tape) for processing at the state level by LCJIS.

Figure III - 4

SYSTEM OUTPUT FREQUENCY

	Daily	Weekly	Biweekly	Monthly	Yearly	When Requested	Automatic (1)
Printed Court Dockets						X	
Summons for Grand Jury							X
Summons							X
Arrestment Notice (billed)							X
Arrestment Notice (indicted)							X
Notice to Surety							X
Notice of Trial							X
Notice of Trial to Attorney							X
Case Aging Report (includes totals)		X					
Cases Nearing Prescription (includes totals)			X				
Case Exception Reports (includes totals)		X					
Case Data and History Listing						X	X
Sentence Document (commitment)		X					
Disposition Report (Sheriff)		X					
Disposition Report		X					
Disposition Report (sentenced to probation)		X					
District Court (Judges) Schedule Listing							X
Cases Pending Report (all cases)		X					
Defendants Incarcerated Report		X					
D. A. Workload Report (includes statistics)				X			
Defense Attorney Workload Report (includes statistics)				X			
Cases Pending D. A. Action Report		X					
Two-month Look-ahead Court Appearance Schedule		X					
Daily Transaction Report	X						
Name File Listing				X			
New Names Added Listing (month-to-date)	X						
Case/Name Index Listing						X	
Days-In-Court Report				X			
Ad Hoc Reports						X	
Court Activity Statistics Reports				X	X		
Clerk's Case Statistics Report				X	X		
JAMIS Clerks Report Data				X			
D. A. Disposition Report Data				X			

NOTE: 1. Automatically triggered by another event, (e.g. docket request triggers summons unless indicated otherwise; case information and history report triggered by case closing).

III. SYSTEM DEFINITION

the user if an inquiry was made, or an input form if data is to be entered. The design of the system minimizes the amount of data entry required for each transaction by presenting choices to the user and allowing him to simply select the entry he desires.

B. System Features

The system design provides a number of features to enhance court operations in both the current and future criminal justice environment. Several of these features are highlighted below.

1. Expansion Capabilities

The basic system design is based upon processing only criminal cases in Lafayette District Court. However, the design includes features which simplify expansion of the system to include additional parishes and to include juvenile and traffic cases.¹ The judge schedule portion of the system already includes civil, criminal and juvenile categories as well as all three parishes. Jurisdictional identity is maintained throughout the system to simplify expansion to other parishes.

The D.A. could utilize without change, many of the system functions designed for Lafayette for the other parishes in the District by manually entering the appropriate case numbers through his terminal. To provide the

¹Because of basic differences between civil and criminal case processing, expansion of the system to include tracking of civil cases would require a significant amount of additional design effort. However, certain of the criminal docket preparation functions could be utilized without major re-design.

III. SYSTEM DEFINITION

full system capabilities to other parishes it will be necessary to 1) provide at least one terminal in each parish. 2) arrange for handling the additional docket numbers in the computer, 3) provide the means for transmitting printed documents from data processing, and 4) to implement in each parish a case numbering system which is common to both the clerk and the D.A. such as currently used in Lafayette.

A division identity code is maintained (although not currently used in Lafayette) throughout the system. This code can be used to discriminate between criminal, juvenile, and any other type cases, should the system be expanded to include them. Expansion of the scheduling and docket functions to handle juvenile cases can be accomplished with minor system changes--principally in the area of additions to system tables. Expansion of the case tracking and reporting functions to handle juvenile cases would require some additional design work to develop the necessary tracking categories and reporting requirements. It is recommended that for traffic cases the traffic court docketing and reporting system utilized by the City of Lafayette be expanded to include the parish traffic cases.

2. System Transplantability

The system has a number of features which will greatly contribute to its suitability for transplant. These features include:

- o Compatibility with nationally established requirements and standards for QBTS/CCH data elements to the degree that they apply to the Louisiana court organization.

III. SYSTEM DEFINITION

- o Compatibility with reporting and information requirements of the Louisiana Supreme Court, the State Attorney General, and the Louisiana Criminal Justice Information System.
- o Freedom from system constraints on assignment of system functions to particular system users.
- o Freedom from system dependence on, or control of, a particular set of local court operating procedures.
- o Provision for user specification of parameters controlling exception reporting produced by the system for each stage of court processing.
- o Inclusion of data elements (such as jurisdiction, court division, court part) which are commonly required for court processing elsewhere in and outside Louisiana but which are not currently required for the Lafayette system.
- o Inclusion of data elements (LCJIS tracking number, NCIC number, driver's license number, social security number) which are commonly required by other criminal justice agencies interfacing with the courts, but which have no current court usage in Lafayette.
- o Limitation of system size and complexity to permit installation on small computers and to minimize demand for system resources on large computers.
- o Freedom from dependence on system software facilities which are only available on large computers, while not precluding use of such facilities should they be available.

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3. Features to Aid District Court Personnel

A major emphasis in the design of this system has been to provide caseflow management capabilities to aid local court personnel in the performance of their required functions without constraining them to a particular mode of operation. The results of this emphasis should be apparent by the types of displays and reports available to system users as described in the technical requirements section.

User functions receiving special attention during the design include:

- o Scheduling of cases for court.
- o Monitoring of outstanding motions and their status.
- o Elimination of manual tasks of typing summons and notifications.
- o Elimination of manual reporting tasks.
- o Scheduling, tracking, and reporting court time spent on revocation hearings, extradition hearings, writs, and similar activities not part of the major case processing sequence.
- o Reduction of clerical tasks associated with preparation of case files for appeals.

An example of this emphasis is illustrated by the following description of features available to aid in case scheduling.

III. SYSTEM DEFINITION

- o Display of pending cases: For each case status category¹ a display can be requested showing, with oldest cases first, defendant name, case number, incarceration status, charge and case age (from bill or indictment date).
- o A display showing for the docket category² and judge which the user requests, each day on which the judge is scheduled. Also displayed will be a count of the cases, by docket categories which have been scheduled by the D.A. for each day shown for that judge.
- o Display of judges' schedules by date: For each day starting with the current date, a display of the complete schedule for each District judge showing parish and case type, plus counts of any cases scheduled by the D.A.³

¹These case status categories correspond to those currently in the D.A.'s strip file for scheduling cases as follows: 1) awaiting Grand Jury action 2) pending initial arrest 3) to be arraigned - date set 4) preliminary or sanity hearing 5) misdemeanor trials - pending without a date 6) misdemeanor trials - date set (strips filed by date) 7) felony trials - pending without a date 8) felony trials - date set (strips filed by date) 9) motions 10) presentence investigations - filed by judge 11) awaiting sentencing 12) extradition-revocation hearing 13) miscellaneous docket 14) fugitive warrant outstanding.

²Docket categories anticipated for Lafayette include: 1) grand jury 2) preliminary hearing 3) arraignment 4) misdemeanor trial 5) felony trial 6) motion hearing 7) sanity hearing 8) sentencing 9) revocation hearing 10) writ of habeas corpus 11) miscellaneous.

³These counts of scheduled cases will be only those entered in the computer by the D.A., i.e. for Lafayette criminal cases. The judges' schedule, however, is complete, including all case types (criminal, juvenile, civil) for the three parishes as is currently shown on the (Green) District court schedule printed for the 15th Judicial District.

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- o List of cases nearing prescription: A biweekly listing by type of charge (capital, felony, misdemeanor) of all cases nearing their prescription periods based upon calendar time since date of billing or indictment.
- o List of cases pending D.A. action: A weekly listing, by type of action required, of all cases for which the next event requires the D.A.'s action.
- o District court schedule: A complete listing of the District Judges' schedule for the year. It can be changed at any time when agreed to by the judge affected by submitting a "change judge schedule" form to Data Processing. The schedule is reprinted by the computer whenever any such change is made.
- o Dockets: Computer-printed dockets for any docket category. Produced whenever the D.A. requests docket printing (using his terminal) for a given docket type. All required summons and notification forms are also printed at this time (unless otherwise indicated at time of request).
- o Scheduling of a case for court: Accomplished by entering the case number, the type of appearance being scheduled, the date, and by selecting from the display the participants to be summoned or notified. This information is stored by the computer and used to assemble the docket when it is requested by the D.A.

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A typical use of these scheduling facilities might be as follows:

On Monday the 3rd, the D.A. checks for pending cases using the terminal Display of Pending Cases by category (or alternatively, the printed List of Cases Pending D.A. Action) and finds that an unusually large number of cases are awaiting scheduling for arraignment. He requests the terminal display of Judges' schedule by the docket category "Arraignment" and finds that only two arraignment days are scheduled for the next four weeks. He then checks the Judges' overall schedule using the terminal display of Judges' schedule by date and determines that only ten cases have been scheduled for Judge A on his scheduled motion day Thursday, the 20th. After checking with Judge A to determine if acceptable, the D.A. uses his terminal to schedule, for that Thursday afternoon, six of the cases awaiting arraignment and requests the preparation of the arraignment docket for that day. The following day, Tuesday the fourth, the clerk receives the summonses and a copy of the docket for the defendants scheduled. A check by the clerk or D.A. of the Judge schedule by date using a computer terminal would show for the twentieth of the month, that Judge A is scheduled for motion hearings and that ten motion cases will be heard and six cases will be arraigned by him on that date.

C. Impact of the Computer System on Current Lafayette Procedures

The computer system will not require changes in either the organization or in operating procedures and policies for the Lafayette District Court. Neither the Clerk of Court, the District Attorney nor the Judges need give up any control of, or responsibility for, their respective organizations' operation.

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The computer system will not require major changes in the records kept--case folders filed by docket numbers will continue to be kept in both the clerk's and the D.A.'s offices. Court minutes will continue to be typed and maintained as they are currently.

Current responsibilities for scheduling, notifying, issuing summons, and maintaining records will not require changes.

During the implementation phase clerks will be trained to operate the terminal equipment and will maintain, as before, the records.

The computer system will not, on the other hand, hinder changes in procedures or recordkeeping which may be made to improve efficiency. (For example, it is not expected that this system would inhibit implementation of recommendations which may result from the manual court recordkeeping study being conducted by the NCSC under the direction of the Louisiana Clerks of Court Association.)

The computer system will, however, bring with it significant improvements in a number of areas. The following thirteen paragraphs identify those which directly affect or replace a task currently accomplished manually.

1. District Court Schedule and Update: The system will provide facilities for storage, update, and printout of the complete judges schedule for the District (including the three parishes and civil, juvenile, and criminal court).

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2. Criminal Court Docket: The system will assemble the necessary information to print all criminal court dockets for Lafayette Parish. This will directly replace the current IBM equipment used by the D.A. to print dockets.

3. Summonses and Notifications for Criminal Court Appearances: The system will automatically prepare (on the appropriate preprinted, multi-part forms) the required summons and notifications for all persons placed on the docket by the D.A.

4. Attorney General's Report: The system will produce computer outputs on a suitable medium (such as tape) to satisfy the Louisiana Criminal Justice Information System requirements for offender reports on cases taken to court. This will remove the requirement for the D.A. to fill in the current District Attorney's Disposition Report Forms for these cases.

5. Supreme Court Reports: The system will produce computer outputs on a suitable medium to satisfy all Supreme Court reporting requirements.

6. Case Disposition Reports: The system will prepare case/defendant disposition reports for all agencies requiring them in lieu of sending copies of the minutes. These will be prepared in formats most suitable for each agency's use of the information.

7. Index to Case Files: The computer will produce upon demand an alphabetic listing of all defendants, their case numbers, and appropriate additional information. This listing will include only the names of those

III. SYSTEM DEFINITION

defendants in the range of case numbers requested by the clerk, and serve to replace the current criminal case docket book and index prepared by the clerk.

8. Commitment or Sentence Document: The computer will prepare, on the appropriate preprinted form, the sentence document which is now filled in by the clerk.

9. Monthly Days-in-Court Report: The computer will prepare this report to the Police Jury which is currently manually prepared by the clerk.

10. Monthly and Yearly Statistics Reports: The system will prepare all monthly and yearly statistics reports required to adequately assess the criminal caseload and court operation, removing the requirement to manually prepare them.

11. Minute Extractions for Appeals: The computer will produce upon demand, a complete chronological transaction history of a case. This can replace the current practice of manually typing minute extractions. This printout will also serve as a table of contents for the appeals folder since there will be a transaction or event associated with each document produced during the case.

12. Display of Case Status by Category: The system will display for any case status category currently maintained in the D.A.'s strip file, all cases in that category, with the oldest cases first. This, and a hard copy printout of the same information, will remove the requirement to keep the strip file currently maintained by the D.A.

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13. Counts of Cases Scheduled by Date and Category: The system will produce upon demand a count, by date scheduled, of the number of cases currently scheduled for each judge for any category of appearance. These counts will be displayed along with the associated judge's schedule. This, with additional displays and hard copy printouts, will simplify the D.A.'s case scheduling.

D. Illustrative Case Narrative

The following chronology traces the processing of a two-defendant felony case from arrest to appeal. The narrative outlines each event and the use of the computer facilities which would be associated with that event. Every attempt has been made to be as accurate as possible in describing the case processing sequence which would be followed in Lafayette; however, since the purpose of this chronology is primarily to illustrate how the computer is used, some license has been taken in the presentation by including certain combinations of events which might never occur in practice, and in leaving out certain events which would not add to the discussion. The term D.A. is used to refer to any person in the District Attorney's office, and clerk refers to anyone in the criminal section of the Parish Clerk of Court.

Case Tracking--Two Defendants, Felony Trial

Sept. 14 A warrant and affidavit are completed naming offender A and offender B as having committed a felony. The affidavit is

III. SYSTEM DEFINITION

sent to the court clerk for filing in the clerk's affidavit book. The clerk types a strip¹ and inserts it in the affidavit index.

Sept. 17 The warrant is signed and the bond amount set by the judge.

Sept. 18 The subjects are arrested by the Sheriff's Department and subsequently bonded out (Sheriff's bonding department). The arrest report and bond notice are sent to the D.A. who uses his terminal (Case Data Entry transaction) to enter known information on each defendant, including name, address, identification numbers, personal description, date of offense, date of arrest, arresting agency, arrest charge, witnesses, bonding information, prosecution charge, date of billing/indictment, etc. (See Section IV B for a complete list of possibilities.) The computer assigns the next case docket number and stores all information entered.

Sept. 19 The D.A. files a Bill of Information with the clerk. (The bond notices should also be sent to the clerk at this time for filing in the case folder.) The clerk locates the proper case on the computer by entering the case docket number and then

¹It is recommended that a strip file physically similar to that used in the D.A.'s department, be used as an alphabetical index to the affidavits. Whenever a new affidavit was received, the name(s) would be typed on strips and inserted in alphabetic order in the strip panel. Each time a book was filled (every six months) a Xerox copy of the panel(s) could be made and inserted in the front of the book as a permanent index, and the strips for that period discarded.

III. SYSTEM DEFINITION

updates the case status to show that each defendant was billed on Sept. 19. The clerk notes when viewing the terminal display of the defendant information that both defendants are out on bond. The clerk opens a case folder and files the bill and bond notices in it.

Oct. 5 The D.A. notes that the case in question is listed on the computer-produced D.A.'s case pending report as one of several cases awaiting scheduling of arraignment (alternatively, the D.A. could have used the computer terminal to check for cases pending arraignment scheduling). The D.A. uses the terminal to check for the next arraignment day scheduled and notes that on the next arraignment date (Oct. 20) a large number of cases are already scheduled for Judge C and that the docket has already been printed. On the same display he notes that few cases have been scheduled for the following arraignment date on Nov. 6 before Judge B, and that the docket has not been printed for that date. He thereupon uses his terminal to set the arraignment date for Defendants A and B on Nov. 6 before Judge B.

Oct. 6 The D.A. enters a print docket request for an arraignment docket for Nov. 6. (That night the computer prints the arraignment docket and all summons and notifications.)

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- Oct. 7 The D.A., the clerk, the judge, and other departments receive the newly printed arraignment docket (which looks much like the docket format currently used). The clerk also receives filled-out summonses and notifications for all cases shown on the arraignment docket. The clerk signs each summons/notification and sends it to the sheriff or person/agency being notified, checking off the names on the clerk's copy of the docket as each is sent.
- Oct. 10 The defense attorney for Defendant A files a motion with the clerk for a preliminary hearing. After the order is signed by the judge, the clerk enters the motion information in the computer which stores it as a pending motion. The clerk also enters the defense attorney's name and address. The clerk files the motion in the case folder and sends a copy to the D.A.
- Oct. 12 The D.A. completes his answer to the motion and delivers it to the clerk. The clerk updates the case using the computer terminal by entering today's date for the "date answer to motion filed" (using Motion Entry and Update Transaction). The clerk then files the answer to the motion in the case folder.
- Oct. 20 The D.A. schedules the hearing on the motion by Defendant A for preliminary hearing for Nov. 26, Judge C's next scheduled hearing date (using Motion Scheduling Transaction).

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Nov. 6 Both defendants are arraigned before Judge B and both plead not guilty. Ten days are granted for the defense to file motions and pleadings. While in court the minute clerk uses a copy of the docket to note down this basic information much as is done currently. After court the minute clerk enters this information (noted on the docket copy) into the computer using the terminal (Case Status Update Transaction).

A case status inquiry would now show on the case summary display that the billed date was Sept. 19, that the case is active, that motions are outstanding, the names of the defendants, defense attorneys, and witnesses (who had been entered so far by the D.A.) and the name of the judge (Judge B) entered when the case was last scheduled for a non-motion appearance. (The judge scheduled for a motion hearing will be shown on the motion status display.)

Nov. 7 The assistant D.A. who will handle the case is assigned and this information is entered in the computer by the D.A. (using the Case Information Update Transaction).

Nov. 10 The D.A. enters, using his terminal, the print motion docket request for Judge C on Nov. 26.

Nov. 11 Printed dockets, summons and notifications are sent out as before.

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Nov. 26 Motion for preliminary hearing is taken up. Judge C decides to take the motion under advisement and instructs the defendant to return on Dec. 11 for the decision. This information is subsequently entered into the computer by the clerk (using the Motion Entry and Update Transaction).

The motion status display for this case would now show that the motion had been presented to the judge and was awaiting his decision with a scheduled decision date of Dec. 11.

Dec. 11 The motion for preliminary hearing is denied by the judge. The clerk enters this information using the motion entry and update transaction.

After this entry is made the motion will no longer appear on the outstanding motion display. However, all events related to this motion can be viewed by displaying the case history.

Dec. 12 The D.A. uses his terminal to schedule the case for trial on Feb. 19, entering the date, time, type of appearance, and judge. The system stores this data and also Dec. 12 as "date set for trial".

Jan. 15 The D.A. enters a docket request through his terminal for felony trials on Feb. 19 for Judge C.

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- Jan. 16 The printed docket, summons and notifications are received and sent out by the clerk as before.
- Jan. 18 A motion for continuance of the Feb. 19 trial date is filed by the counsel for Defendant A. The judge signs the motion order. The clerk enters the motion information (using Motion Entry and Update Transaction) and sends a copy of the motion to the D.A.
- Jan. 20 The D.A. files an answer to the motion and schedules the motion hearing for Jan. 28 (using Motion Schedule Transaction) and requests the motion docket for that date.
- The clerk enters the date the motion answer was filed (using Motion Entry and Update Transaction).
- Jan. 21 The docket and notifications are printed and handled as before.
- Jan. 28 The judge grants the motion for continuance. The clerk enters this information in the computer (using Motion Entry and Update Transaction).
- Feb. 19 The defendants and their lawyers appear (briefly) in court per the original trial schedule. Per the motion for continuance which has been granted, the trial is reset to 1:00 p.m. on Feb. 21 and the judge instructs all participants to return on that date and time. After court the minute clerk enters the court appearance information (using Case Status Update Transaction) and the D.A. enters the schedule information (using the Schedule Transaction).

III. SYSTEM DEFINITION

When entering the schedule information, the D.A. would select "no summons/notification" since the participants were notified in court, but would still indicate which participants were to appear. He would then request that a felony trial docket for that date be printed. The system would respond that the docket had already been printed and ask if an addendum was desired. The D.A. would signify "yes" and as a result would receive, (as would others on the docket distribution list), a printed docket clearly marked as an addendum to the previously issued docket.

Feb. 20 Several motions are made by the defense--the clerk enters the information in the computer (using Motion Entry and Update Transaction), and sends the motions to the D.A.

Feb. 21 Court convenes and Defendant B appears, but Defendant A does not. The clerk is instructed to issue a bench warrant for Defendant A. All motions are disposed of. The trial is recessed until Feb. 22 at 9:00 a.m. After court, the minute clerk enters the information (using Case Status Update Transaction) that court was convened for trial, but that the trial was not begun and a bench warrant was issued for Defendant A. (Issuance of a bench warrant puts the case in inactive status until either the case is reactivated directly by the clerk or D.A., or reactivated automatically when there is any court action on that case entered.)

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Feb. 22 Both defendants appear for trial and the trial begins. The warrant is withdrawn. During the trial a motion is made by the defense and denied. After court the minute clerk (using Case Status Update) indicates that the trial began but was not yet completed (this action automatically reactivates the case) and (using Motion Entry and Update) enters the information on the motion.

Feb. 23 Court reconvenes for continuation of the trial. The jury returns a verdict of guilty. The defense for Defendant A requests and is granted a presentence investigation. The judge sets sentencing date for Defendant B as March 13. The clerk (using Case Status Update Transaction) enters that court was reconvened for trial, and that a verdict of guilty was returned. She also uses the Case Status Update Transaction to enter the order for presentence investigation for Defendant A. The clerk uses the Scheduling Transaction to enter the March 13 sentencing date for Defendant B.

Feb. 24 The order for presentence investigation is included on the report to the Department of Probation and Parole.

March 13 Defendant B is sentenced. The minute clerk enters the sentencing information for Defendant B (using the Case Status Update Transaction). The following day the clerk receives

III. SYSTEM DEFINITION

the sentence document (commitment) filled in by the computer. She signs the document and sends it to the parish jail (Sheriff's Department).

May 1 -
May 30

A number of motions are made by the attorney for Defendant A. Each is handled as previously described (using Motion Entry and Update Transaction).

June 1

The D.A. (using Motion Schedule Transaction) schedules outstanding motions for hearing on June 21 before Judge C.

June 10

An additional motion is made and the clerk enters it in the usual manner. The D.A. schedules this motion for the appearance on June 21.¹ He then requests (using Docket Request Transaction) the motion docket and summons/notifications. These are received by the appropriate people the following morning.

June 12

The judge receives the presentence investigation report and the D.A. receives notice of its completion from the Department of Probation and Parole. The D.A. enters this information using the Case Status Update Transaction. The D.A. schedules sentencing for June 27 and requests the sentencing docket printout. The docket and the summons/notifications are sent out the next morning.

¹ Motions for a given case, cannot be scheduled for a second docket date until the docket for any previously scheduled hearings have been printed. However, additional motions can be scheduled for the same date as those previously scheduled at any time prior to printing of that docket. After a docket is printed, but prior to the scheduled appearance date, additional cases can be scheduled, but a warning message will be printed stating that the docket has already been printed. The user can override this warning, and can also request a docket addendum if he so desires.

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June 27 Defendant A is sentenced. The defense makes a motion for appeal and the motion is granted with an appeal return date of July 27. The clerk updates the defendant information to show sentence (using the Case Status Update Transaction), enters the information on the motion (using the Motion Entry and Update Transaction), and enters appeal information (using the Case Status Update Transaction). The clerk (using the Case History Report Request Transaction) requests the case history report. (This report will be used both as the court minutes extraction for the appeals package and as the index to the appeals package contents.) The following morning the clerk receives this report. At the end of the week the disposition reports and the sentence document are printed by the computer, signed by the clerk and sent to the appropriate agencies.

July 10 The defense makes a motion for continuance of the appeals return date. The motion information is entered by clerk and a copy of the motion is sent to the D.A.

July 12 The motion for Extension of Return Date is granted by the trial judge for an additional 30-day period or until the attorney for the defendant completes his specifications of error.

Sept. 1 (First monthly closed case purge since transfer of case to

III. SYSTEM DEFINITION

Appellate Court.) The computer removes the case from the online Open Case File and adds it to the Closed Case History File, removing all witness names for the case from the Name File and adding charge and disposition to defendants' records in the Name File. A computer printout of all case and defendant information and a chronological history of all case events is produced and sent to the clerk and to the D.A. for inclusion in their respective files for the case.

CONTINUED

1 OF 2

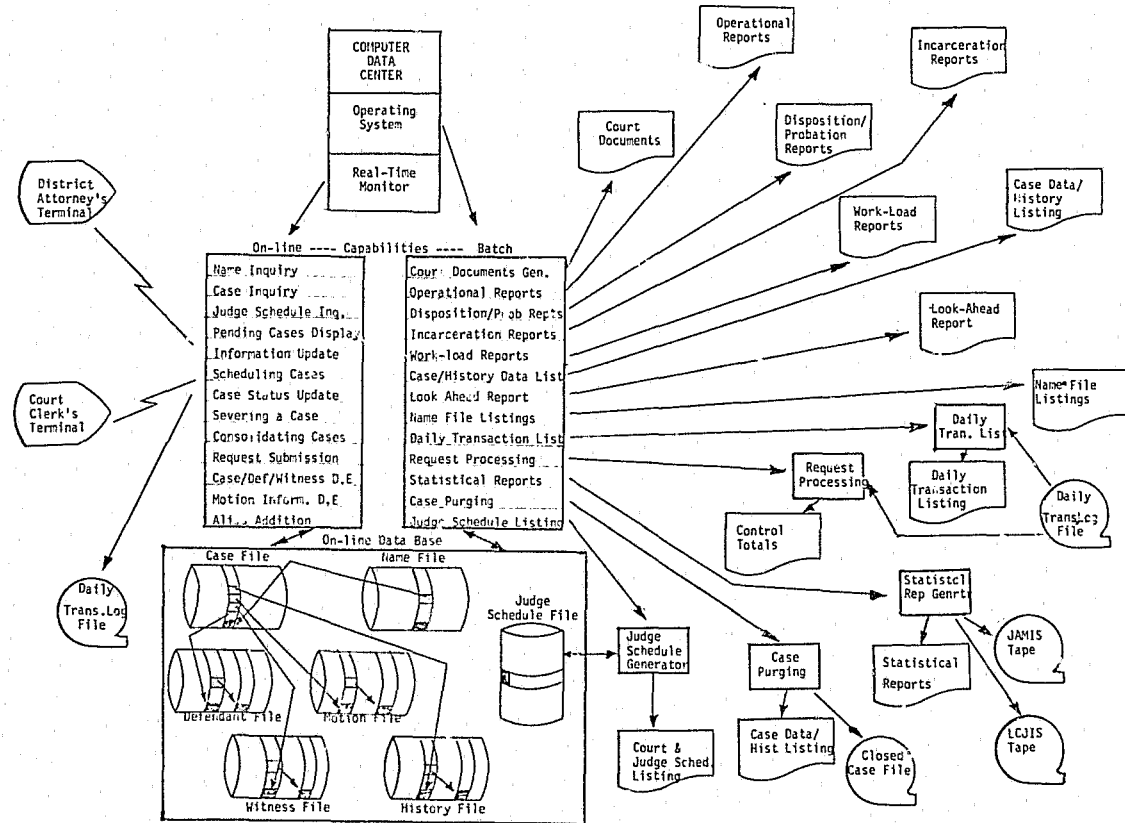
IV. SPECIFICATIONS

This section presents the details of the system from the data processing standpoint.¹ The section begins with the system flow chart (Figure IV-1) which shows the integration of the various components of the system, the on-line and batch capabilities of the system, and outlines the relationships between the data files which make up the on-line system data base. The various system components are then taken up individually. The on-line system data base and the off-line stand-alone data files are described first. Following this, the system on-line capabilities and the system batch capabilities are each described in detail. General operational guidelines that the system shall follow when interacting with the user have been addressed when relevant. The transactional capabilities of the system, both on-line and batch, have been described extensively. Finally, this section outlines the requirements for those specifications which must be developed as part of detailed design during the System Implementation Phase.

¹Although every attempt has been made to ensure that the use of the terminology is kept consistent with the previous sections, sometimes it has been necessary to deviate from this rule so that conformity with data processing terminology is also maintained. Whenever this has occurred it has been mentioned specifically.

Figure IV - 1

LAFAYETTE CRIMINAL COURT INFORMATION
SYSTEM FLOW DIAGRAM



IV. SPECIFICATIONS

A. System Data Base Specification

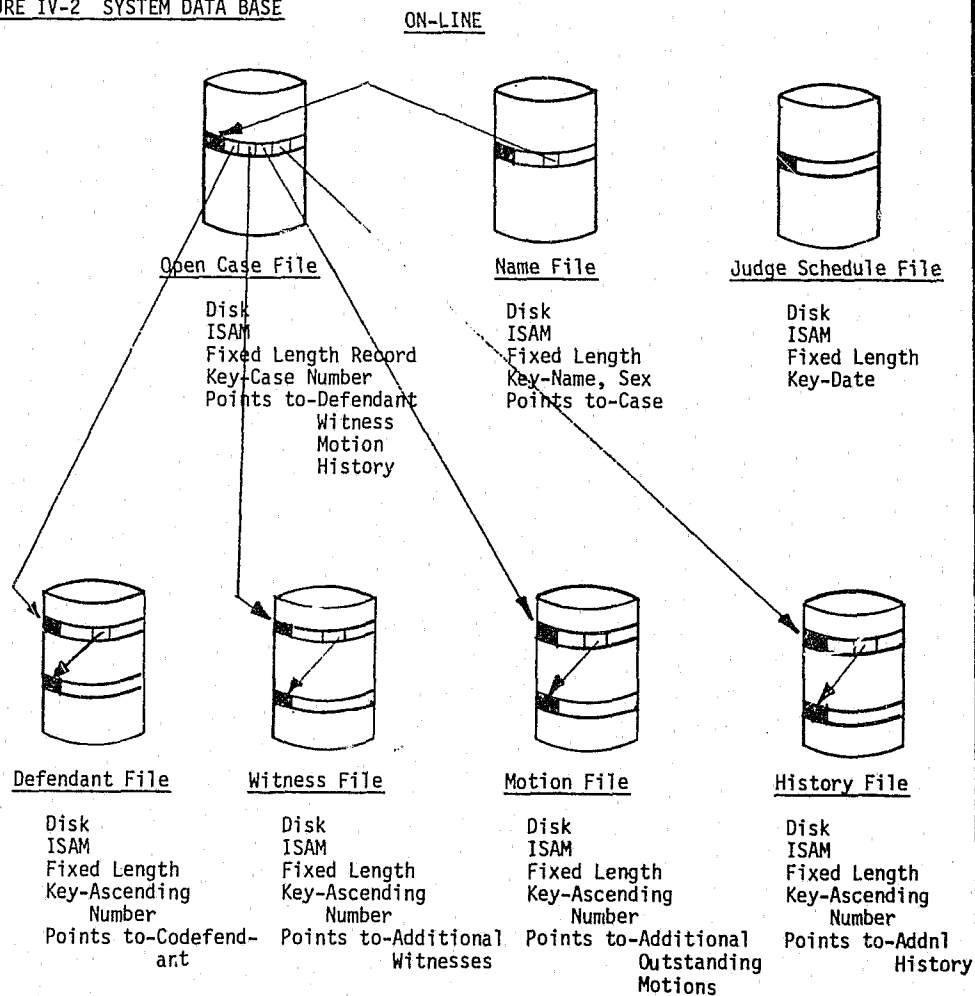
A data base is defined as a nonredundant collection of interrelated data items processable by one or more applications. Organizing the data storage of the information about a case or defendant in this manner to provide common information to the multiple members of the criminal justice community is a classical application of the data base concept. This concept was therefore incorporated as an essential part of the computerized criminal court system design for Lafayette.

The system data base, shown in Figure IV-2, consists of seven on-line data files along with two off-line files. The on-line files will be available for terminal inquiry and data entry/update transactions. They also will be used for batch processing data retrieval so that the various action-oriented and backup reports can be generated. From a real-time response point of view, the availability of a direct access feature in the file organization is essential. On the other hand, the batch processing requires that the files should be amenable to data being retrieved from them sequentially. These two seemingly opposing requirements can best be reconciled with an indexed sequential file organization. Therefore, all the on-line files in the data base for this system will have an indexed sequential (ISAM) file organization. Following is a description of each of these files in terms of their structure and data content.

1. Open Case File

This file contains the data elements which describe the case at the

FIGURE IV-2 SYSTEM DATA BASE



IV. SPECIFICATIONS

general level. It also acts as the index to the defendant, witness, motion and history files. The records are keyed by the docket number in this file and contain the pointers to the other four files mentioned above. The data content of this file is shown in Figure IV-3.

2. Defendant File

This file shall contain the defendant name, his personal information, the arrest information, the charge and disposition data, the bonding information and dates of the defendant's court and other appearances, both those scheduled for the future and those recorded from the past. This shall provide the information on each defendant-based transaction for the basic tracking capability.

The records in this file shall be keyed on a sequentially increasing number which is pointed to by the case record. The record shall contain the defendant number¹ which is unique only within the case. All the defendant's records within a case shall be kept chained by using the codefendant pointer field present in each of these records. If there is no codefendant, this field shall contain the end-of-chain value. The data content of this file is shown in Figure IV-4.

3. Witness File

This file shall contain all the witnesses involved with the current open cases, along with their addresses, and their scheduled court appearance information. The records shall be keyed by a number as described for

¹System generated at data entry.

Figure IV-3

Case Record Data Elements

1. Docket number^{5,9}
2. Docket number suffix^{1,9}
3. Parish (code)²
4. Division (code)^{2,3}
5. Part (code)^{2,3}
6. Judge (code)¹²
7. Bill date
8. Indictment date
9. Case type⁴
10. New or Reopened case indicator
11. Trial Type⁶
12. Active/Inactive code⁷
13. Prosecutor name
14. Notification flag⁸
15. Case comments
16. Pointer to defendant segment
17. Pointer to witness segment
18. Pointer to motion segment
19. Pointer to history segment

Note: Numbers shown to the right of the data elements refer to numbered notes which are listed in Figure IV-9.

Figure IV-4

Defendant Record Data Elements

1. Numeric key⁹
2. Defendant name (last, first, middle initial)
3. Defendant number (unique within the case)¹⁰
4. Date of birth
5. Age (approximate)
6. Sex
7. Race (code)²
8. Social Security number
9. Driver's license number (state and the number)
10. Address
11. Telephone number
12. If-on-welfare indicator¹¹
13. NCIC number
14. State identification number
15. Local law enforcement number
16. LCJIS Tracking number
17. Docket number
18. Docket printed flag⁸
19. Motion docket printed flag⁸
20. Date of incident
21. Name of victim
22. Arresting agency (code)²

(continued)

Note: Numbers shown to the right of the data elements refer to numbered notes which are listed in Figure IV-9.

Figure IV-4

(continued)

23. Date of arrest
24. Charge on which arrest made (state statute no., description)
25. Charge on which being prosecuted (state statute no., description)
26. Charge on which convicted (state statute no., description)
27. Disposition (code)²
28. Presentence investigation indicator¹²
29. Sentence type for LCJIS purpose (3 Byte) (code)^{2,13}
30. Sentence date
31. Time to be served in jail (min.-max.)
32. Time suspended (min.-max.)
33. Time on probation (min.-max.)
34. Fine amount
35. Probation acceptance indicator¹⁴
36. Sentence description
37. Defendant status¹⁵
38. Detention status
39. Bonding firm name
40. Bonding firm address
41. Bail/Bond amount
42. Next court appearance date
43. Next court appearance time
44. Next court appearance type

(continued)

Figure IV-4

(continued)

45. Next scheduled event date
46. Next scheduled event type
47. Defense attorney's name
48. Defense attorney's address
49. Whether public or privately retained (code)²
50. Dates of major case processing stages¹⁶
51. Pointer to next co-defendant record

IV. SPECIFICATIONS

the defendant file, and the access to these records shall be provided through a pointer in the case record. All the witnesses associated with a case shall be chained together by a pointer kept in each of these records. The data content for this file is shown in Figure IV-5.

4. Outstanding Motion File

The file shall contain information about the outstanding motions associated with each open case in the case file. A sequential number shall be assigned to each of the records and used as the key, as described for the defendant and witness records. Besides keeping information about the motion, the motion record shall also contain the scheduling information regarding its court appearance. The dates of the major stages in the motion processing shall also be kept in the record.¹ All the outstanding motions for a case shall be chained together using the pointer field in the record. The data content for this file is shown in Figure IV-6.

5. History File

This file shall contain the records that the system generates whenever a significant case event is entered into the system² by the user. All the history records for a case shall be chained together by using the pointer field in the record. The history record chain shall be arranged

¹Motion filed, answer filed, taken up by judge, decision by judge.

²An event is significant if it describes the progress of the case through the court system. An update transaction merely to rectify case data which was entered incorrectly previously will not be considered significant.

Figure IV-5

Witness Record Data Elements

1. Numeric key⁹
2. Name (last, first, middle initial)
3. Witness number (unique within the case)¹⁰
4. Address
5. Type of witness (code)^{2,17}
6. Docket printed flag⁸
7. Motion docket printed flag⁸
8. Next court appearance date
9. Next court appearance time
10. Comments
11. Pointer to next witness record

Note: Numbers shown to the right of the data elements refer to numbered notes which are listed in Figure IV-9.

Figure IV-6

Motion Record Data Elements

1. Numeric key⁹
2. Motion number (unique within the case number)¹⁰
3. Type of motion (code)²
4. Made by D. A. or defense (code)²
5. Defendant number, motion pertains to
6. Judge (code)²
7. Written/Oral motion indicator (code)²
8. Status of motion¹⁸
9. Docket printed flag⁸
10. Date motion filed
11. Answer filed date
12. Next scheduled court appearance date
13. Date motion taken under advisement
14. Date of decision by judge
15. Comments
16. Pointer to next motion record within the same case

Note: Numbers shown to the right of the data elements refer to the numbered notes which are listed in Figure IV-9.

IV. SPECIFICATIONS

in the order in which the history records were generated so that when the history records are retrieved and displayed, they will be in chronological order. The data content of this file is shown in Figure IV-7.

6. Name File

This file shall contain the name records of all the defendants associated with open as well as closed cases. The name file shall also contain the name records for the witnesses associated with each open case. The name records shall be keyed on the Soundex code¹ of the last name of the person, first initial, sex and a tie breaker sequence number.² The name file shall also contain alias records which will be trailer records and shall point to the original name record of the defendant. The docket number of the case that the defendant and witnesses are associated with shall be kept in the name record to provide the tie-in to the case and therefore to the other above mentioned files. The data content of this file is shown in Figure IV-8.

7. Judge Schedule File

This file shall contain the District Court schedule information for the entire year. The records shall be keyed by date and shall contain the court function for the day in all three parishes and the judges handling it.

¹A code generated by Soundex code algorithm using last name.

²If there are two identical names of the same sex, this number is given a value so that it breaks the tie.

Figure IV-7

History Record Data Elements

1. Numeric key⁹
2. Event (code)²
3. Event date
4. Docket number
5. Defendant number
6. Today's Date
7. Narrative
8. Pointer to next history record

Note: Numbers shown to the right of the data elements refer to the numbered notes which are listed in Figure IV-9.

Figure IV-8

Name Record Data Elements

1. Soundex code^{9,19}
2. First initial⁹
3. Sex⁹
4. Sequence number^{9,20}
5. Type of record (code)^{21,2}
6. Last name, first name, middle initial
7. Type of involvement (code)^{22,2}
8. Charge (state statute no., description)
9. Disposition (code)²
10. Aliases²³
11. Docket number

If an alias record:

1. Soundex code^{9,19}
2. First initial⁹
3. Sex⁹
4. Sequence number^{9,20}
5. Type of record (code)^{21,2}
6. Key of original name record

Note: Numbers shown to the right of the data elements refer to numbered notes which are listed in Figure IV-9.

Figure IV-9

TABLE OF NUMBERED NOTES ON DATA ELEMENTS For Figures IV-3 through IV-9

1. Docket number suffix is a qualifier of the docket number and is used when the case is severed. If the case is severed into two different cases, the docket number is still maintained but the suffix will take the values one and two.
2. Represented by a code value.
3. Not being used currently but designed into the system for transplantability purposes.
4. The case type is used for recording proceedings also such as (extradition or revocation hearings).
5. Can be used as a temporary number to enter proceedings such as extradition or revocation hearings.
6. Type of jury trial or type of nonjury trial.
7. The code shall be set up as major and minor sub-codes. The major sub-code for an active case will denote the processing stage case is in (for the definition of processing stages. See note 16) and the minor sub-code will be determined by the consideration of all the defendant statuses and choosing the one which is earliest in the case processing chronology.
8. For system control purposes.
9. File key.
10. System generated when data first entered.
11. This field used to determine if to include the defendant on incarceration report for welfare department.

(continued)

12. Off position, investigation ordered, completed.
13. For interface purposes with state level attorney general's office.
14. Off position, sentenced for probation, accepted by probation.
15. The stage of case processing, the defendant is in. For definition of stages, see note 16.
16. The stages in the case processing are as follows: 1) initial appearance 2) charged 3) arraignment completed 4) set for trial 5) appeared for trial 6) trial begun 7) trial completed 8) sentenced 9) exit from the system.
17. Whose witness, i.e., for defense or for prosecution.
18. The stages in motion processing are: 1) motion filed 2) answer to the motion filed 3) motion scheduled 4) taken under advisement 5) motion disposed of (granted or denied).
19. A code generated by soundex code algorithm using the last name.
20. If there are two identical names of the same sex, the sequence number is given a value so that it breaks the tie.
21. Original name record, alias record.
22. Defendant, witness.
23. It is recommended that five aliases be kept.

IV. SPECIFICATIONS

8. Closed Case File

This file shall contain the cases which are purged from the open case file after they have been closed. The file shall contain the case, defendant and history records with the same data content as exists in the open on-line files. Records shall be stored in case number sequence.

9. Daily Transaction Log File

This sequential file shall contain the transactions performed by the system through the day by type, the docket number, defendant, motion or witness number and other information necessary to reconstruct the transaction for reentry on the user terminals. This file shall also contain the requests submitted through the terminal during the day.

B. On-line Program Capability Specification

The on-line system programs shall be capable of performing the various terminal transactions the user requires for the day to day operations of the criminal court case flow management. These transactions fall mainly into four broad classifications, 1) Data Entry, 2) Update, 3) Inquiry and 4) Other Capabilities. The data entry transactions shall be for use by the terminal operator to enter data on case, defendant, witness, etc. into the files. Update and inquiry transactions shall be for use to update the entered data and to inquire into the various system files, respectively. Other miscellaneous capabilities have been pooled under the

IV. SPECIFICATIONS

fourth category. In each of these four modes the system shall have specific capabilities which are outlined below.

1. Data Entry Mode

This mode of the system shall be used to enter all the information related to a case once it is initiated in the court system. Upon the user's entering the transaction code, the system shall display the blank case data entry screen. After it is filled in, the system shall edit for data validity and if there are any errors shall flash an appropriate message back to the user. Only when all the data is valid, shall the system enter the information into the system files. The system shall then automatically go on to the defendant blank data entry screen and repeat the same procedure. Once the operator responds that the data for all defendants have been entered into the system, the blank witness data entry screen will be displayed. After all witnesses have been entered and this information given to the system, it shall go on to a blank motion data entry screen. After receiving the data for all motions (if any) the data entry transaction shall be terminated by the system. The user shall have the option of stopping the transaction at any stage of data entry process and shall be able to pick up from where the transaction was left off. It is recommended that the data entry transaction be so set up that the user has to enter the transaction code only once. The various data entry functions are listed below.

IV. SPECIFICATIONS

a. Case Information Data Entry: When a new case is entered into the system, the system shall generate a case number. The system, however, shall also provide the user the capability of entering the case number from the keyboard. This will permit the user to enter an older case number for a case which is being reopened, as for a revocation hearing or due to an appellate court decision, or to enter a temporary number prior to a defendant's being billed or indicted. Also, as in the case of extradition hearings, a regular case docket number may not be used by the court. In such cases, the system shall accept the case on a temporary or special case number when so designated by the user.¹ If the user wishes to change this temporary number to a regular case docket number once it is assigned, the system shall enable the change using the case number change transaction.

b. Defendant Information Data Entry: When information on a new defendant is entered by the user, the system shall generate a two-digit defendant number which will be prefixed by the case docket number and assigned to the defendant. This numbering system makes the defendant identification unique. The detailed defendant information, after being checked for validity, shall be entered into the defendant file.

c. Witness Information Data Entry: Upon the entry of information on a new witness, the system shall generate a witness number which, like the defendant number, will be unique within a case number. The witness data, after a validity check, shall be entered into the witness file.

¹This unique temporary or special case number shall be structured so that it can be differentiated from the usual docket number, and be automatically generated, when requested, as is the normal case docket number.

IV. SPECIFICATIONS

d. Motion Data Entry: In response to a user provided transaction code, the system shall display the data entry blank screen for adding a motion. The motion data entry shall capture the type of motion, the case number, the defendant number (if the motion pertains to one specific defendant), the date the motion is filed, who made the motion (D.A. or the defense), whether the motion was written or oral and any comments. The system shall enter this information under a motion number which will be a system generated number. The motion number will be a unique number within the case associated with a motion.

e. Adding an Alias: The system shall enable the user to add an alias for a defendant using this transaction. The system shall generate a name record for the alias which shall point to the original name record within the name file. The original name record has space for five aliases and the alias added shall be entered in the next available space there.

2. Inquiry Mode

The system shall initiate the inquiry mode when the user enters a transaction code specially assigned for the purpose. The user shall be able to inquire 1) by case or 2) by name. Both types of inquiries shall provide access to essentially the same data except that the system shall have certain additional displays for name inquiry as described below.

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a. Name Inquiry: The system shall provide inquiry capability by name of a defendant or a witness. Since a defendant or a witness could be associated with more than one case, a selection by the user of the case of interest is required. The system shall display all the cases the person is associated with and shall permit the user to select one of them. After the user has selected the case number, the system shall automatically go into the case inquiry mode using the selected case number without the necessity for the user's entering the number directly.

b. Case Inquiry: In a direct case inquiry, the user will supply the case number when initiating the inquiry. In a case inquiry the system shall display "case summary information" first. The data content of the case summary information is tabulated in Figure IV-10. The user shall have the option of selecting the sublevel that is of interest after this (Case Summary) display. The sublevels contain detailed information about a specific subject. The sublevels available shall be 1) Defendant, 2) Witness, 3) Motions and 4) History. The data contents of each of these sublevel displays are tabulated in Figure IV-11 through IV-14.

Once a sublevel, i.e., defendant, motion, witness and history, has been specified by the operator, the inquiry mode remains within the sublevel specified until all the information available to the system at that sublevel has been exhausted. The operator has the option of selecting a new sublevel at this point or, alternatively, of selecting a new sublevel

Figure IV - 10

CASE SUMMARY INFORMATION DISPLAY DATA CONTENT

1. Case number with suffix, if any
2. Date Billed
3. Date Indicted
4. Case Type
5. Active or Inactive
6. Status of the case, if active
7. Basis of inactivity, if inactive
8. Type of Trial/Non Trial
9. Judge name
10. Defendants' names
11. Witnesses' names
12. Any motions outstanding (yes or no)
13. Prosecutor's name
14. Defense attorneys' names
15. Case comments

Figure IV - 11

DEFENDANT INFORMATION DISPLAY DATA CONTENT

1. Docket number
2. Name of the defendant
3. Defendant number
4. Address
5. Telephone number
6. Sex and Race
7. Date of birth
8. Approximate age
9. Social security number
10. Driver's license number (state and number)
11. NCIC number
12. State identification number
13. Local law enforcement number
14. LCJIS tracking number
15. Arrest information
 - a) Incident date
 - b) Victim name
 - c) Arresting agency
 - d) Arresting date
 - e) Arresting charge
16. Court charge
17. Conviction charge
18. Disposition
19. Sentence information
20. Detention status
21. Bond/Bail information
 - a) Bond/Bail amount
 - b) Bonding firm name and address
22. Next scheduled court appearance type, date and time
23. Next scheduled event type, date and time
24. Defense attorney name (public or private)
25. Defense attorney address
26. Dates of major case processing stages

Figure IV - 12

WITNESS INFORMATION DISPLAY
DATA CONTENT

1. Name of the witness
2. Number of the witness
3. Address
4. Type of witness (D. A.'s or Defense's)
5. Court appearance date
6. Court appearance time
7. Comments

Figure IV - 13

MOTION INFORMATION DISPLAY DATA CONTENT

1. Motion number
2. Type of motion
3. Made by D.A. or Defense
4. Defendant number motion pertains to
5. Whether written or oral
6. Status of the motion
7. Date motion filed
8. Date answer filed
9. Date of next court appearance
10. Date motion taken up by judge
11. Date of decision by judge
12. Granted/Denied
13. Comments about motion
14. Narrative to go into history--for update transaction only
15. Witnesses to be notified (yes or no)--for motion scheduling transaction only

Figure IV - 14

HISTORY INFORMATION DISPLAY
DATA CONTENT

1. The date history record written
2. Docket number
3. Defendant number
4. Event
5. Event date
6. Narrative

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at any stage of display. In this latter case, the system inquiry shall skip to the specified sublevel and continue in that sublevel.

Within a sublevel, the information available to the system may take more than one screen. The system shall be capable of paging through the information one screen at a time. At each sublevel, the information contained on a screen will be maximized but without sacrificing the logical grouping of the information being displayed. The capability of paging backwards shall not be available within a sublevel since the extent of usage of that capability is not expected to offset the complexity it would introduce into the system.

c. Judge Schedule Inquiry: This inquiry may be done for two purposes, (1) to see the total schedule for the year by date for all judges, (2) to see the number of a specific type of court appearance as of yesterday scheduled by date. Requirements for each are outlined below.

(1) District Court Schedule: This display shall show the original schedule for each judge for each calendar date. It shall also show the number of cases scheduled for each of these dates for each judge by the type of appearance. If a docket has been printed for any of these cases, it shall be indicated on this display with the number of cases scheduled.

(2) Specific Type of Court Appearance Display: This display shall show the number of cases scheduled so far for a day which was

IV. SPECIFICATIONS

set up for a specific type of court appearance for each judge. If there are any cases scheduled for a different type of court appearance than that which the day was set up for, the system will display by type, the number of those cases also. This conflict, if unintentional, can only be resolved by rescheduling the cases causing it. If a docket has been printed for a date for a type of court appearance, it will be indicated in the display.

d. Pending Case Display: All the pending cases, by category, shall be displayed upon entering this transaction code. The display will be arranged by case age (oldest first) within each category. The docket number, the defendant name(s) and charge shall be included in this display. The cases with incarcerated defendants shall be flagged.

3. Update Mode

a. Information Update: To update any information already entered into the system files, the system shall provide a different transaction code from the one used for the inquiry. The system shall display all the information available exactly as in inquiry mode. Once the information to be updated appears on the screen, the user will update it by overwriting the contents of the field and enter it into the system files using a special function key. Some data fields shall be updateable only through special transaction codes and if any attempt is made to update these fields through the regular update mode, an error message shall be flashed to the user. One example of such an improper entry using the Information Update Transaction is updating of case number, which can only be done using a special transaction for that purpose.

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b. Change of Case Number: The system shall provide the capability for changing a case number. The use of this transaction would be one of the following: 1) The user initiated the case under a temporary case number and wishes to assign a permanent docket number. When the user signifies this by selecting the appropriate option, the system shall replace the temporary number with the next docket number available. 2) The user wishes to correct an erroneous case number. The system shall permit the user to replace it with the next available docket number as above, or to replace it with a number to be keyboard-entered. In this latter case, the system shall check to determine that the number does not already exist for an open case, and if it does already exist provide an error message to that effect and terminate the transaction.

In either of the above situations, the system shall delete the older case record in the case file and create a new case record with the new case number as the key. This new record will have all the old pointers to defendant, witness, motion and history records. The system will also correct the case number field in the defendant record, witness record, motion record and the history record. The name record in the name file shall also be corrected by the system to show the new case number.

c. Scheduling for Court Appearance (Non-Motion): The scheduling shall be performed on cases individually. When the transaction code for scheduling and the case number are entered by the user, the system shall display the case summary information with all the defendant and witness names. As part of the scheduling action, the system shall let the user

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select the defendants and the witnesses to be included for this court appearance. The system upon receiving this information shall post flags on the selected defendant and witness records so that their name and address information will be printed on the docket when the request for the docket is made. After the user selects and enters the names, all the possible scheduling actions available to the user will be displayed enabling the user to select one of them. The available actions are shown in Figure IV-15. The screen shall also capture the defendant number (if the scheduling affects only one defendant), the date and time at which the case is being scheduled, judge's name, and the narrative as shown in Figure IV-18. The system shall check the judge schedule file to see if the judge is scheduled to be in the parish on that day and if he is not, a warning to that effect will be issued to the user. The system shall permit the user to override this warning and schedule the case for that judge. Also the system shall check to determine if the case was already scheduled for a court appearance other than for a motion hearing. If so, an appropriate error message shall be transmitted to the user and the transaction terminated. If, however, these initial checks and additional validity checks show that the data entered was okay, the system shall perform the following actions: (1) Update the judge's name in the case file with the one entered. (2) Capture in the proper defendant record the next court appearance date and time and the type of appearance (derived from the option selected).

Figure IV - 15
CHART OF USER OPTIONS
FOR SCHEDULING

Being scheduled for:

1. Arraignment
2. Motion hearing
3. Other hearings
 - a. Grand Jury
 - b. Preliminary
 - c. Sanity
 - d. Extradition
 - e. Revocation, writs
 - f. Other
4. Misdemeanor trial
5. Felony trial
6. Sentencing
7. Non court event (description in comment field)

Figure IV - 16

CHART OF COURT ACTIONS AVAILABLE

Actions Available:

1. Arraignment
 - a. Completed
 - b. Incomplete (with or without a rescheduled for date)
2. Grand Jury hearing
 - a. True billed
 - b. No billed
 - c. Pretermission
3. Other hearings
 - a. Completed (granted or denied)
 - b. Continued to another court appearance (with or without a new schedule date)
4. Trial (Misdemeanor/Felony)
 - a. Completed - guilty
 - b. Completed - not guilty
 - c. Incomplete but trial began
 - d. Incomplete - trial didn't begin
5. Sentencing
 - a. Completed
 - b. Continued to another court appearance (with or without date)
6. Court appearance for any other purpose
 - a. Completed
 - b. Continued to another court appearance (with or without date)
7. Appearance on scheduled date cancelled
 - a. Continued but without a court appearance
 - b. Postponed for some other reason (reason in comments)
8. Other terminations (description in the comments field)

Figure IV - 17

CHART OF OTHER STATUS UPDATE
ACTIONS AVAILABLE

1. Bill issued
2. Indictment issued
3. Mental examination ordered
4. Mental examination completed
5. Presentence investigation ordered
6. Presentence investigation completed
7. Bench/Fugitive warrant ordered
8. Any other investigation ordered (describe in comments field)
9. Any other investigation completed (describe in comments field)
10. Case to be made inactive (Reason stated in comments field)
11. Case to be made active (Reason stated in comments field)
12. Consolidated with another case¹
13. Appeal granted (reporting the return date)

¹The docket number of the case with which this case is being consolidated shall also be captured.

Figure IV - 18

SCHEDULING TRANSACTION SCREEN
DATA CONTENT

1. User options¹
2. Date and time
3. Defendant number
4. Judge's name
5. Narrative (to go into history)

¹See Figure IV - 15

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If the user had provided no defendant number, the scheduling shall be assumed to be for the entire case, and the date and type of appearance shall be updated on each of the defendant records within the case. The narrative field shall be used to generate the history record.

d. Scheduling for Court Appearance (Motion): There shall be a separate transaction for scheduling a motion hearing in the court. This is because of the motion hearings' being handled differently from the regular stages the case goes through--motion hearings can occur any time independent of the stage the case is in. When the transaction code for this action along with the case number is entered, the system shall display all the outstanding motions in the format listed in "Motion Information Display" (Figure IV-13). The system captures the date of the motion hearing and the narrative. The system shall also capture whether the notifications and summonses are to be printed. If there is another motion scheduled for a different date from the date just entered and the docket for that date has not yet been printed, the system shall not permit this scheduling to go through. An error message shall be displayed and the transaction terminated. The docket for the other motion hearing will have to be printed before a new motion hearing on the same case can be scheduled. Also, if the system finds that the motion docket for the date for which the present motion is being scheduled is already printed out, a warning message to this effect shall be issued to the user. If this

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warning message is overridden, the motion being scheduled shall be printed later as an addendum to the previous docket. After these initial checks and the usual validity checks, the date for which the motion was being scheduled will be entered into the motion record.

e. Case Status Update: This transaction shall be used to enter the follow-up information on a case which was scheduled for an event. Since the status update on different defendants in a multi-defendant case could be different, it is necessary that the user update the defendant status individually. The user will provide the case docket number for the case which is to be updated and the system shall display the status update screen for updating each of the defendants' status individually. The defendant identification (name and the defendant number) shall also be displayed by the system so the user knows which defendant is being updated. All possible status update actions, shown in Figures IV-16 and IV-17, shall be displayed on the screen so that the user can select one of them. Other data fields to be on this screen are listed in Figure IV-19. Some of the status update actions require additional updating of the case information. Follow-up on the court appearance for sentencing is one example in which, after entering the standard status update information, the user must also provide the sentence information. The system shall, after accepting the standard information, automatically display the sentencing/disposition screen.¹ The transaction is completed only after the user provides the sentencing/disposition information.

¹This screen shall capture the disposition and the sentencing information.

Figure IV - 19

STATUS UPDATE TRANSACTION
SCREEN DATA CONTENT

1. Court and other status update actions available
2. Date relevant to the transaction
3. Narrative (to go to history)

¹See Figures IV - 16 and IV - 17

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The entering of a status update action that, for example, a bench warrant has been issued, shall put the case into an inactive status to be reflected in the active/inactive code kept in the case file. The user shall also be able to explicitly place the case in the inactive status. The case shall remain in inactive status until either reactivated explicitly or reactivated by entering any other activity on the case. In the latter instance, the case is assumed by the system to be active again and the status is changed to reflect that.

f. Severing a Case: The system shall permit severance of a case into multiple associated cases using this transaction. The case numbers of the severed cases shall be the same as the original number except for the suffix. The suffix shall be a sequential number assigned to each severed case and shall be appended to the original case number to make up the new case number. Which defendants are to be associated with which severed cases shall be user specified. The system shall generate case records with the new case numbers as the keys. It shall also generate the required number of copies of the witness records, motions records and the history records of the original case. The deletion of the witnesses so that the new cases have the right witnesses associated with them, shall be user specified. Until this is done, each of the new cases will have all the original witnesses associated with them. A history inquiry on a new severance-generated case shall have all the common history from the beginning to the point of severance and then its own history displayed.

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g. Consolidating Two Cases: The system shall permit two cases to be consolidated into one by the use of a status update transaction. One of the status update options as shown in Figure IV-17 is the consolidation of a case with another one. The status update shall be performed on the case whose docket number will be changed as a result of the consolidation. A history record will show this status update action on the case. The system shall also generate a history record for the other case the number of which is being retained as the docket number of the consolidated case. A history inquiry on the first case (the docket number of which was changed) should show the event of consolidation and the new docket number. A similar inquiry on the second case (the docket number of which is being retained) should show the event of consolidation and also the docket number of the case with whom consolidation was performed.

4. Other Capabilities

a. Submitting a Request for Docket and Summons Generation:

After having scheduled all the cases desired for a given date for a specific type of appearance, the user shall be able to generate the fully assembled docket using this transaction. The transaction shall be on a request form displayed on the screen when requested which will capture the type of docket¹ desired and the date of the docket. Since the user has

¹The various types of dockets anticipated for Lafayette are: 1) grand jury 2) preliminary hearing 3) arraignment 4) misdemeanor trial 5) felony trial 6) motion hearing 7) sanity hearing 8) sentencing 9) revocation hearing 10) writ of habeas corpus 11) miscellaneous.

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the responsibility for selecting all the participants required when scheduling for the court appearance, the selection of witnesses will have been done by the user before the request for the docket generation is submitted. Before this request is put into the request file, the system shall check to determine whether the docket has already been printed and, if it has, a warning shall be issued to the user to that effect. If the user still wishes to print the docket, as he would for an addendum to the previously printed docket, it shall be allowed. In such a case the title of the docket printed will have "addendum" clearly displayed on top so that it is not mistaken for an original (complete) docket.

b. Submitting a Request for Case Data and History Listing:¹

This request is submitted to obtain a to-date hard copy of the information on a case. The request will specify the docket number of the case and whether it is an open or closed case. If an open case, the system shall validate the docket number by checking the existence of the case with that docket number in the open case file. For closed files, the validation shall be done at the time of request processing. The request processing transaction is described in Section IV C as one of the batch capabilities.

c. Submitting a Request for a District Court Schedule Listing:

This request is submitted to obtain a copy of the court schedule for the entire year. The description of the listing and its data content is included in Section IV C.

¹This printout should prove very helpful to a judge or other authorized person wishing to see a brief recap of all activity for a given case.

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C. Batch Program Capability Specifications

The system batch programs shall be capable of performing the functions described herein which are necessary to satisfy the internal operational needs as well as external reporting requirements of the court system. The various batch actions the system shall perform are outlined below.

1. Request Processing (Daily)

A Daily Transaction file shall contain the user-entered requests for various batch actions since the last request processing run. This transaction file will be processed daily by the system and every request acted upon individually. The requests which may be submitted for batch actions include docket generation, summons and notification generation, case data and history listing, and district court schedule listing. These batch actions are described individually as the next four transactions in this section.

2. Docket and Summons/Notifications Generation

The system shall, upon receiving a request for docket and summons/notification generation, retrieve all the cases scheduled for the date and type of court appearance which had been specified in the docket generation request. All the required information will be extracted from the case, defendant and witness records for use in printing the docket. The system shall determine if the docket to be printed is an original one or an addendum. If it is an addendum, the title shall clearly indicate that fact.

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The system then shall print summons/notifications to the defendant, defense attorney, all witnesses and any other persons required. The summons/notifications will not be printed if the user had selected the no-notification option when submitting the request for docket generation (see Figure IV-20 for data content).

3. Case Data and History Listing

The system shall be capable of dumping, in the form of a report, all the information available for the case docket number requested. The request will have been submitted through the terminal as described in Section IV B and will have captured the docket number of the case, whether the case is open or closed and the number of copies desired. The system shall provide a listing of any invalid or unused docket numbers encountered. The case and history listing shall include all the file information on the case, all defendants, all witnesses, all outstanding motions and the history. The printing of this report shall be automatically initiated when a case has been closed and is being purged from the open case file to the closed case file.

4. District Court Schedule--Data Entry and Update

The data describing the schedule for the district court shall be entered and updated as a batch function. The schedule data will include, for each date and for each judge, the type of court appearances scheduled, and for which parish. This data shall be entered into the Judge Schedule file and used to produce schedule listings and schedule displays.

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5. District Court Schedule Listing

There shall be a listing of the judges' schedule showing for each day for the full year, parish, judge and function. This report should be in a calendar format for better readability. It shall be printed out every time an update on the schedule is processed. The format of this schedule should be similar to the current green District Court schedule.

6. Case Aging Report

This weekly report shall list all outstanding cases, arranged in the order of the case age. The age of a case is defined as the days from date of billing or indictment. Only the outstanding cases which have aged more than a certain number of days (a parameter to be decided by the user) will be included in this report. The cases with incarcerated defendants shall be flagged to that effect on this report. Active and inactive cases shall be listed as separate categories in this report.

7. Pending Cases Report

This weekly report shall list all the cases pending by case category¹ and within that, by case age, oldest first. The cases with incarcerated defendants shall be flagged on this listing.

¹The case categories are: 1) Awaiting Grand Jury Action 2) Pending initial arrest 3) To be arraigned--date set 4) Preliminary/Sanity Hearing 5) Misdemeanor Trials--Pending without a date 6) Misdemeanor Trials--date set 7) Felony Trials--Pending without a date 8) Felony Trials--date set 9) Pre-sentence investigation ordered 10) Awaiting sentencing 11) Extradition/Revocation Hearing 12) Fugitive/Bench warrant ordered--inactive 13) Miscellaneous

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8. Days-In-Court Report

This monthly report shall be derived from the transaction log file. It shall contain a listing of the days on which court was in session for handling criminal cases, broken down by division (judge).

9. Cases Nearing Prescription

This bi-weekly report shall list all cases by type of charge (capital, felony, misdemeanor) which have an age beyond a certain number of days (parameters for each to be entered when the system is initiated). The listing shall contain the same data elements as the case aging report. Another report shall also be prepared for the Indigent Defender listing all cases nearing prescription, in the same format as above, but for publicly defended cases only.

10. Case Exception Reports (weekly)

This weekly report shall list those cases showing no activity for a certain number of days (a parameter to be decided when the system is initiated). The report shall contain the docket number of the case, jurisdiction, defendant names, assistant D.A. handling it, the charge, the next appearance date and the reason for it, and the defense counsel and whether he is public or retained.

11. Disposition Reports

These weekly reports shall be prepared on a defendant basis, i.e., for each defendant in a case disposed of, a disposition will be reported. The

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disposition reports will be prepared for the following agencies with their individual criteria as listed.

Sheriff's Office - in sheriff identification number sequence (or the "red number"¹ if one exists), all the defendants' dispositions.

Indigent Defender Board - in alpha sequence by defendant name, the disposition on all defendants publicly defended.

Jail, D.A. and Others - in alpha sequence by defendant name, the disposition on all the defendants.

Arresting Police Agency - in alpha sequence by the defendant name, the dispositions on all defendants arrested by the agency.

12. Incarceration Report for D.A., Jail, Indigent Defender and Welfare

This report on a weekly basis will list all defendants who are incarcerated in alpha sequence by name. The listing will also contain all the data elements as in the case aging report. Another report, in exactly the same format, will be prepared for the Indigent Defender listing all the defendants who are publicly defended. A report in the same format listing only the cases involving defendants on welfare shall be printed to be sent to the Welfare Department.

13. Department of Probation and Parole Report

This weekly report shall have two sections, one for probation sentences, and the other for presentence investigations. The report shall list, in alpha

¹"Red Number" is the state rap sheet number (State Identification Number).

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sequence by name, all defendants sentenced to probation and all defendants for whom presentence investigations have been ordered. This report will also contain, for each defendant, the docket number and all the case summary and defendant information available on file excluding the case history. The defendant information, including address, the NCIC number, and local sheriff number, is of particular importance.

14. D.A. Workload Report (monthly)

This monthly report shall list individually for each assistant D.A., all the open cases being handled by him. For each case, the names of the defendants, the docket number, the charge, the case status and the date of arrest shall be listed. The total number of cases for each assistant D.A. shall be listed at the end.

15. Defense Attorney Workload Report

This monthly report shall list individually for each defense attorney, all the open cases handled by him. The format of this report may be identical to the D.A. workload report. The publicly retained attorneys' workloads shall be listed separately from the privately retained ones.

16. Pending for D.A. Report

This weekly report shall contain all the open and active cases which have a district attorney's action outstanding. This listing shall have the same format as the case aging report.

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17. Sentence Document Generation

On a weekly basis, the system shall generate the sentence documents for each defendant who was sentenced since the report was last run. This report shall be printed on a special form so that it can be signed and used as the legal commitment document (see Figure IV-20 for data content).

18. Court Activity Statistical Reports

The system shall generate statistical reports, monthly and annually, on the court activity. This report shall contain the count of cases initiated, disposed of and in various other categories which correspond to the state level statistics recommended in the SJIS requirements analysis subcommittee report.¹

19. External Reporting Requirements

a. The exact format of the information requirements for interfacing with the LCJIS District Attorney Disposition Reporting System² shall be defined and the data provided using a suitable medium, a magnetic tape preferably, on a monthly basis.

b. Clerk's Case Statistics Report: This shall be as is currently produced to meet the state level statistical reporting requirements (monthly).

c. JAMIS Report: Information shall be on a suitable medium

¹Other case categories to be included are: 1) initial appearance 2) charged 3) arraignment completed 4) set for trial 5) appeared for trial 6) trial begun 7) trial completed 8) sentenced 9) exits from the system.

²Final details on the state level reporting formats were not available at this writing. This information will be available through the Judicial Administrators Office and from LCJIS.

Figure IV - 20

DATA CONTENT OF SYSTEM GENERATED COURT DOCUMENTS

DATA CONTENT OF SYSTEM GENERATED COURT DOCUMENTS																					
	Distribution Code	Judge Name	Defendant Name & Addr	Codefendant Names	Def Att Name & Addr	Witness Names & Addr	Victim Name	Bonding Co Name & Addr	Docket Category	Summons Type	Docket Number	Charge	Detention Status	Whose Witness	Det'n Locat & Term	Sentence Description	Date of Incident	Date of Docket	Date of Indictment	Court Appearance Date & Time	Date of Sentence
Court Docket	X	X	X	X	X	X	X		X		X	X	X				X	X			
Grand Jury Summons	X			X		X					X	X								X	
Arraignment Notice (Billed)	X		X	X			X				X	X								X	
Arraignment Notice (Indicted)	X		X	X							X	X						X	X		
Notice to Surety	X		X	X			X				X									X	
Notice of Trial to Attorney	X		X	X	X						X	X								X	
Notice of Trial	X		X	X							X	X								X	
Summons	X		X ¹	X		X				X	X	X		X						X	
Sentence Document	X		X								X	X			X	X					X

¹Name only

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(magnetic tape) to provide data for State Judicial Administrators Management Information System¹ (JAMIS) on a monthly basis.

20. Case Purging

The cases once closed will be purged with all the case data and history information to the off-line closed case file. When the case is purged, the name file record for the defendants being purged shall be accessed and the final charge and disposition filled in so that a name inquiry through the terminal will show the dispositions for closed cases. The case data and history listing shall be printed out for the case as described in Section IV C 3.

21. Back Up and Recovery Reports

a. Two month look ahead report: This report shall be produced weekly. Listed by date, the docket numbers of the cases scheduled for the next two months shall be arranged by category and within that in the order of case number.

b. Daily Transaction Report: This report shall be generated daily. The report shall be generated by using the daily transaction file generated by the system and shall list sufficient supporting information about the transactions so that the user can recover by reentering the information through the terminal. The supporting information shall include

¹Final details on the state level reporting formats were not available at this writing. This information will be available through the Judicial Administrators Office and from LCJIS.

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the case number, defendant number, motion number, witness number and type of transaction. The listing shall be by the type of transaction. The report shall also contain summary totals so that it can be used for the analysis of transactions handled by the system. This listing shall also be generated, for recovery purposes, as part of the operational procedure if the on-line system failed at any time temporarily.

c. Name File Listing: This report shall be generated monthly. The report shall be a dump of the name file with the listing arranged in alphabetical sequence of the name. Numbers of all the cases associated with each of the names are to be listed with case numbers, whether active or inactive if the case is an open one, and the charge and disposition information if the case is a closed one.

d. New Names Added Listing: This report shall be generated month-to-date on a weekly basis. The report is to act as an addendum to the monthly name file listing and will be in the same format as the name file listing.

e. Case-Name Index Report: This report shall be in the same format as the name file listing, but to be generated only when requested for the case number range which will be specified by the user.

22. Ad Hoc Reporting

A frequent occurrence in the criminal justice environment is the requirement for certain one-time, upon-demand type reports. These reports vary in content and have no set pattern to their reporting cycle. It will be necessary, therefore, to provide participating agencies with a mechanism

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to allow them to specify reporting parameters and receive ad hoc reports within a short turnaround time frame.

The system shall have an ad hoc reporting capability. The mechanism could be achieved either by a generalized retrieval and reporting capability in the installation or by developing a generalized retriever or reporter specifically for the files involved in this system. Forms and procedures shall be designed so that the use of this capability by the end user is facilitated.

D. Implementation Specification Requirements

Following are the areas in which detailed specifications must be developed before implementation of the system begins.

1. Interface Specifications

This report has addressed system interfaces at the state and local levels to the extent necessary to define and assure information compatibility. However, because of the current implementation status of identified operational or pre-operational systems, additional detail has not been available in final form.

It will therefore be necessary early in the next phase to generate specifications for external system interfaces.

These specifications must address the specifics of all required interfaces between the Lafayette Court Information System and the following:

Judicial Administrator's Management Information System (JAMIS)

The LCJIS District Attorney Disposition Reporting System

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Local and state law enforcement systems

The LCJIS Corrections Information System

2. Detailed System Specifications

One of the key objectives of the design of the system was the transplantability of the system to other jurisdictions. The feature of transplantability should be carried through during the development of the detailed system specifications and implementation. The programs specified should be set up so that they are modular in structure. The modularity will facilitate, on one hand, the maintenance of the system once it is operational and, on the other, the tailoring of the system to new user needs and so the transplantability.

The detailed specifications for the system must be developed and should address the following areas.

- a. Detailed System Flow Chart: This will be a graphical representation of the relationships between the programs, the data files, input data and output data displays and reports.
- b. Program Specifications: For each of the programs individually, the following shall be described in detail: a) purpose b) logic required and c) input-output requirements.
- c. Data File Specifications: Information on each of the data files as a whole, the exact format of the records within a file and the detailed description of each of the data elements within a record shall be established as part of the data file specifications.

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d. Report and Screen Layout Specifications: Layouts for all the reports generated by the batch capabilities of the system and all the terminal screen displays produced by the on-line capabilities of the system shall be developed and approved prior to the system implementation.

3. Detailed System Test Specifications

Before the final program implementation task, system performance criteria must be defined and approved. These criteria will be used to measure the performance of the operational system prior to final acceptance. This set of specifications shall include the following:

a. System Test Plan: The system test plan shall document the testing procedures necessary to prove that the system functioning is in accordance with the design specifications. The system test plan must 1) explain the purpose of the test designs, 2) define test inputs and files, 3) specify test procedures, and 4) define the outputs to be achieved.

b. Acceptance Criteria: A set of criteria must be developed which the implemented system shall meet prior to being accepted by the user as operational.

4. System Documentation Specifications

The following areas must be addressed by the documentation task as part of the implementation phase.

a. System Manual: This will supply the general system documentation by explaining the overall system, its functions as related to

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the user needs and the overall logic. The system documentation must also include the program documentation. For each of the programs, the following will be included as program documents: 1) the purpose 2) the logic 3) detailed flow chart 4) input-output 5) data files handled 6) restart considerations.

b. Computer Operator Manual: Instructions to the operator to efficiently run the system on the computer.

c. Terminal Operator Manual: Step-by-step instruction to the terminal operator to perform the on-line transactions of the system.

d. User Manual: A detailed description of the system input and output to serve as a reference document for the user.

e. Data File Dictionaries: For each of the data elements in each of the data files, a detailed description of its format and characteristics.

V. INSTALLATION REQUIREMENTS

This section deals with the selection of the system configuration and with the demands of the system on the selected hardware and software environment. The system configuration was determined by evaluating the alternative configurations and then selecting the most viable one. The hardware requirements and the software requirements are described primarily to enable an evaluation of the impact of the court system on the selected installation site's current workload.

A. System Configuration

The alternative configurations were evaluated against a set of criteria derived from considering all the relevant requirements that the system will have to meet. The available alternatives were defined and matched against these criteria. The alternative best meeting the system needs was chosen and described in full.

1. Evaluation Criteria

- o Hardware operational reliability and adequate service support.
This criterion is important so that the system is assured an adequate continuity of operation once it is operational.
- o Good hardware error recovery capability. This consideration is especially important for a system which depends on a reliable teleprocessing segment.
- o Upward capability. This must be a primary consideration when planning a hardware upgrade. Otherwise, an unacceptable operation disruption and cost burden can result from the conversion.

V. INSTALLATION REQUIREMENTS

- o Hardware ability to handle an efficient third generation terminal display system. This will be considered a positive factor since this impacts the real time response characteristics of the system.
- o Adequate core availability. This is necessary to ensure that the processing times do not become unreasonably large thus having a deteriorating effect on the performance of the system.
- o Availability of a teleprocessing monitor. If not available, the development and maintenance of the teleprocessing segment of the system will be less efficient and more costly. The monitor's ability to interface with ANS/COBOL is considered necessary.
- o Availability of a compiler to process ANS/COBOL programs. This is considered necessary due to easier maintainability and better transplantability of an ANS/COBOL system.
- o Future interface with existing law enforcement and corrections systems. Since this is a prime consideration in the design of the system, the configuration of the computer installation should not be such that any such future merger is hampered.
- o Adequate operational support available in the installation for the day to day operation of the system is essential.

2. Candidates and Selection

In Section II, a comparative analysis was done of representative shared and stand-alone configurations and it was found that for the court system a shared operational environment was a more viable and cost-effective alternative. Following this determination, various installations were considered

V. INSTALLATION REQUIREMENTS

with the sharing of the facilities in mind for the system implementation and operation. The preliminary screening narrowed down the viable alternatives to two, namely the City of Lafayette data center and the facilities available at the computer science department at the University of Southwestern Louisiana at Lafayette.

The computing facilities at the university consist of an RCA Spectra central processing unit which is planned to be upgraded to a Honeywell mainframe. This upgrading is being considered to support the new and more advanced research projects being handled in the department. Hardware reliability and the service support are considered very adequate. The terminal hardware support is satisfactory, and so is the core availability. The installation operations are mainly directed towards processing the research and educational training projects as opposed to providing service support to ongoing information systems. Such an operational philosophy can tolerate the types of disruptions encountered during a system conversion process. Because of this, it is expected that the upward compatability would be a secondary consideration in university hardware upgrades. For an operational criminal justice system, on the other hand, the upward compatability feature of the hardware upgrade is a crucial factor. The automated court system will be an ongoing operation in nature and the lengthy conversion effort associated with any incompatibility in this hardware upgrade would be unsatisfactory.

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The future interface with the existing law enforcement systems which are developed and made operational in the City of Lafayette data center is a very important consideration in the implementation of the system. If the system is made operational at the university installation, this future interface will involve a major effort in tying the two central processing units together so that a cpu to cpu information exchange can take place. The very feasibility of this interface development is to be seriously doubted because of a lack of commonality in the general installation objectives and operations in the university and the city installations.

The city of Lafayette data center, on the other hand, has an IBM 370 model 125 mainframe, has a CICS/VS teleprocessing monitor and currently supports eight IBM 3270 terminal display systems. The installation objectives include supporting ongoing operational financial and law enforcement systems with a high quality of operational support. The data center has the capability of achieving and maintaining these objectives. The data center has developed and partially implemented an integrated law enforcement system for the Lafayette Police Department.

The city installation does not have any configuration upgrade planned in the near future. The last upgrade was very recent and now with the capabilities available under this configuration, the installation is very responsive towards the addition of a new system. The criteria of a teleprocessing monitor and the COBOL compiler are met, as are the hardware and operational support criteria. The merger of the criminal court information

V. INSTALLATION REQUIREMENTS

system with the existing law enforcement systems will be a relatively easy task since the law enforcement systems are operational on the same machine. The operation and maintenance support which will be extended to the court system is estimated to be of a high quality judging from the level of support to the existing system.

Therefore, it is recommended that the court information system for Lafayette district court be implemented in the City of Lafayette data center. The detailed information of the data center is attached as Figure V-1.

B. System Hardware and Support Requirements

This subsection describes the requirements which the proposed system demands of the installation where it will be operational. The requirements set forth here are presented specifically to show the impact that the system will have on the current installation load. Hardware requirements are described first and the support requirements taken up next.

1. Hardware Requirements:

- o Two remote terminals. The system uses two remote terminals, both to be in the parish court house, one in the court clerk's office and the other in the district attorney's office. The terminals will be IBM 3270 or equivalent.
- o Usage of a card reader and a line printer. The batch segment of the system requires a card reader to input job streams which activate the batch capabilities and a line printer to print the court documents and the reports.

V INSTALLATION REQUIREMENTS (continued)

Figure V. 1 Configuration of the City of Lafayette Data Center

Model	IBM 370 model 125
Operating System	DOS/VS
Core Avail-ability	192 K (Four Partitions)
Disk Storage	Six 3330 disk drives
COBOL compiler	Available
Teleprocessing Monitor	CICS/VS
Tape drive availability	one 3410 drive one 3411 drive

V. INSTALLATION REQUIREMENTS

- o Usage of two tape drives. The batch capabilities require the use of usually one but occasionally two tape drives.
- o On-line disk storage of 6.9 million bytes. The on-line file sizes are estimated and attached in Figure V-2.

2. Support Requirements:

- o Maintenance support. The system will require an on-going maintenance activity to ensure it is kept up-to-date in its capabilities and in satisfying the user needs.
- o Operation Support. The system, once developed and installed, will need on-going technical support to ensure and maintain its performance level.
- o Minimal keypunching support. This is a system non-requirement rather than a requirement. The data entry and update functions will be performed on-line and therefore the keypunch support required will be minimal.

3. Other Requirements:

- o Special preprinted forms. System generates various court documents, some of which will be printed on special preprinted forms.

C. System Security and Privacy Considerations

In the implementation of a criminal justice information system the protection of the file security and personal privacy is a primary consideration.

Fig. V-2 LAFAYETTE COURT SYSTEM ON-LINE FILES (approximate sizes)

		<u># Of Bytes</u>
Open case file:	600 records 400 bytes/record	240,000
Defendant file:	1,000 records 1,000 bytes/record	1,000,000
Witness file:	3,000 records 200 bytes/records	600,000
Motions file:	6,000 records 200 bytes/record	1,200,000
History file:	12,000 records 150 bytes/record	1,800,000
Name file:	20,000 records 100 bytes/record	2,000,000
Judge Schedule File	366 records 200 bytes/record	<u>73,200</u>
	Total Number of Bytes	6,913,200

V. INSTALLATION REQUIREMENTS

The increased dependence of criminal justice personnel on automated files leads to a greater need to protect these files from accidental or intentional invasion or injury. A complete assurance is necessary that the information in the system will not be freely available to all comers but will be available only to law enforcement and criminal justice agencies with both the right and the need to know. In the manual information storage and processing, the very inefficiencies such as scattering of data in many files, slower access and the absence of an effective linkage between files all served to provide some protection to individual privacy. But with the computer based information system, these inefficiencies are removed and so also is the inherent protection they offered. Thus a conscious planning is required to ensure the protection of individual privacy and that of file security in such a system.

1. Data Protection Considerations

The degree of protection and the corresponding levels of security and/or backup provided shall be a function of both the type of data and the data itself.

As a general rule, data access and system functional capabilities shall be restricted to those persons having a valid need for the particular data segment of the function in question. Protection of personal data shall emphasize non-disclosure to unauthorized persons outside the court information system. Protection of proprietary data shall include additional

V. INSTALLATION REQUIREMENTS

safeguards to restrict access to the originating organizations. Critical data protection shall emphasize backup provisions and strict limitations on persons able to originate, change or delete such data.

Implementation of this protection will ultimately be accomplished by invoking various safeguards available to the system. These safeguards fall within three general categories:

- o Physical facilities safeguards
- o Procedural and organizational safeguards
- o Hardware/software safeguards

Those data safeguards which shall be applied at various levels for the Lafayette Court Information System are detailed in the following section.

2. Security Provisions

a. Physical Facilities Safeguards

The most traditional approach to security in the data processing environment has been the physical isolation and protection of computer facilities. The physical safeguards which shall be applied to the Lafayette Court Information System facilities are as follows:

(1) Data Processing Centers

- o The building shall be locked and patrolled at night and during holidays.
- o There should be a single point access to entire facility.

V. INSTALLATION REQUIREMENTS

- o A locked vault outside the data center building shall be used for backup data sets and confidential data.

(2) User Terminals

- o Terminals shall be installed in locations controlled by the user agency.
- o The buildings housing the user agencies shall be locked and patrolled at night and during holidays.
- o Terminals shall be equipped with physical locks to prevent their use by unauthorized persons.

b. Procedural and Organizational Safeguards

There are numerous procedural safeguards which are followed by the data processing department and operational safeguards which shall be implemented as part of the Lafayette Court Information System. The safeguards include the following:

- o Access to secured areas such as the computer room and library shall be restricted to data processing operations personnel and certain other data processing supervisors.
- o There will be, preferably, two computer operators on duty in the computer room.
- o The user terminals shall have system access only during normal working hours.

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- o Detailed information on a person shall be maintained only while that person is being processed in the court system.
- o Computer backup files shall be generated daily and maintained for all system data and transactions.
- o Hard copy documents generated on a periodic basis shall provide sufficient data for manual operation should the system become temporarily unavailable. Examples of such supportive documents are the two month look ahead report, listing of name file and names added report.

Ultimately, it will be the responsibility of each user to protect the confidentiality of the data within his own facility.

3. Software Safeguards

A comprehensive capability for protection of system data from unauthorized access shall be provided as part of the implementation of Lafayette Court Information System. These provisions can be broadly grouped into three categories: Functional safeguards, information protection safeguards and data backup provisions.

a. Functional Safeguards

At the functional level there are a number of safeguards against unauthorized or improper use of a terminal. These include the following:

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- o The ability of any terminal to perform any given function can be inhibited.
- o The use of any system transaction (program function) by a particular terminal can be password protected.

b. Information Protection Safeguards

In addition to the functional safeguards above, the system shall provide safeguards directed towards the data files themselves. Protection codes shall be assigned to each data file. This assignment shall be made relative to all application programs having access to this data file. The basic actions which can be authorized are:

- o Read--File records may only be retrieved
- o Add--New records may be added
- o Update--An existing record may be replaced
- o Delete--An existing record may be deleted

4. File Recovery Provisions

The recovery procedures shall, using a series of programs, provide (1) backup data file copies, (2) a system log of all transactions through the day and (3) facilities to reconstruct the data files if they are rendered unusable. These facilities shall include the capability for:

- a. Creating an image copy of all data files.
- b. Restoring the data files from the image copy.
- c. Listing of all the transactions through the day with sufficient information on each transaction so that they can be reentered manually.

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The transaction log shall be generated continuously and backup tapes created daily. Backup and historical files shall be maintained, for system and data file recovery, in the computer room as well as in an outside vault location.

VI. IMPLEMENTATION PLAN

A. System Administration

After the development/implementation effort is complete, operation, control, and supervision of the system will be the responsibility of the District Court in Lafayette. To this end the following organization is suggested.

1. The User Governing Board

A functional, ongoing committee should be established. It should include the Lafayette Court System Manager and representatives from: the Judicial Administrator's Office of the Supreme Court, the Lafayette Clerk of Court, the Chief Judge for the Fifteenth Judicial District, the District Attorney, City of Lafayette Data Processing, Indigent Defender, participating law enforcement agencies, and the Department of Probation and Parole.

2. Lafayette Court System Manager (whose duties should include)

- o Liaison between the User Governing Board and the technical personnel involved in system operations.
- o Establishment of priorities and coordination of the requirements of the user population.
- o Liaison between the Lafayette court system and LCJIS and other state and local agencies.
- o Planning and design of modifications and expansions as necessary.
- o Performance of the ongoing managerial and operational audits.

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- o Responsibility for the delivery of the system to the satisfaction of the governing board.
- o Provision of task definition for system maintenance.

3. System Technical Maintenance Resource

An agreement should be made with the City of Lafayette Department of Data Processing for the specific purpose of providing ongoing maintenance to the system.

B. Implementation Tasks and Implementation Timetable

1. Software Development

This report represents the results of a general systems design. The Phase II implementation, therefore, does not represent merely a "programming/coding" effort. The following are the major tasks that the Phase implementation contractor must accomplish:

- a. Completion of detailed system specifications.
- b. Development of program specifications.
- c. Determination of requirements for interface with the Lafayette Police Department system when it is made operational.
- d. Finalization of the interface requirements with the proposed changes and additions to LCJIS systems.
- e. Finalization of interface requirements with JAMIS when that system becomes operational.

VI. IMPLEMENTATION PLAN

- g. Testing of program and system.
- h. Technical documentation.
- i. Preparation of user training and operator manuals.
- j. Training of personnel.

It is estimated that the Phase II (implementation) timetable would be ten to twelve months. This estimate is based upon a manageable project team size, and the facilities (work space, computer time, etc.) available.

2. Hardware

An anticipated lead time for delivery of the hardware will be eight (8) months. Hardware should be installed in six (6) to seven (7) months after the beginning of the implementation phase to allow the software contractor to terminal and system test his applications. This will necessitate formal hardware equipment bidding preceding the award of the software contract.

C. Implementation Budget

The implementation budget for the Lafayette Court System is shown in Figure VI-1.

Two items within the Phase II budget will require formal competitive bidding: The software development and the hardware purchase. For budget purposes, these figures were developed based upon the system design presented herein.

The equipment to be purchased includes two (2) 3270 crt terminals at \$5,700.00 each.

Figure VI - 1
IMPLEMENTATION BUDGET

	Judicial Administrator Support (LEAA)	Lafayette Parish Hard Match	Data Processing Center (Support Per- sonnel not in- cluded)	Total
A. PERSONNEL				
(1) Salaries				
a) Administrator	\$14,000			
b) Secretary/Data Entry Person	5,200			
(2) Fringe Benefits @ 25%	4,800			
CATEGORY TOTAL				\$24,000
B. PROFESSIONAL SERVICES				
(1) Software Develop- ment Contractor	91,000	24,000		
(2) Contractor Techni- cal Support	10,000			
CATEGORY TOTAL				125,000
C. EQUIPMENT				
(1) Purchase	11,400			
(2) Lease (6 mos.) (includes line lease)	4,968			
CATEGORY TOTAL				16,368
D. TRAVEL	500			500
E. SUPPLIES AND OTHER OPERATING EXPENSES				
(1) Computer test time @ \$96 hour for 200 hours			19,200	
(2) Telephone			600	
(3) Postage			200	
(4) Office Supplies			200	
(5) Duplication & Printing			500	
(6) Technical manuals, books & publica- tions			200	
CATEGORY TOTAL				20,900
PHASE II TOTAL				\$186,768

¹Data Processing Center personnel support would include the director, operations supervisor, systems analyst, key punch operator and systems operator.

Figure VI - 2

SYSTEM PROCESSING COSTS

CPU usage (Batch & T/P)	
@ \$96.00/CPU hour x 10 hours	\$960/mo
Supplies	100/mo.
Disk Drive Cost*	600/mo.
Data Module Cost	70/mo.
Adapter Cost	118/mo.
Line Cost (2400 baud)	<u>40/mo.</u>
	\$1,888/mo.

*The actual usage of the disk drive by the court system amounts to approximately 10% of the drive's capacity. However, since the current disk drives are fully allocated to city users, it is the position of the Data Processing Department that the full cost of the additional drive required should be borne by the court system.

APPENDIX

Included here is the description of manual files currently being used in the district attorney's office and in the court clerk's office to support the day-to-day case processing operations. Also provided is a detailed breakdown of the data elements taken from the documents used in the criminal court. (Samples of the documents used in Lafayette are available in the Judicial Administrators Office.)

A. Files Used In District Attorney's Office

1. Card File: This file acts as a defendant-case index. The cards are arranged by the defendant name. For each case the defendant is involved with, there is a separate card filed. Also for each alias name that is known, a separate card is kept. The card contains: a) the personal information about the defendant such as date of birth and social security number, b) the case information such as the charge, date of offense, the date billed and c) cross reference information such as the docket number and the D.A. file number. The docket number refers to the case folder that the D.A.'s office keeps. The D.A. file number refers to the old defendant file that the D.A.'s office used to keep.

2. Strip File: The strip file is the filing mechanism by which the district attorney schedules cases for court processing. A strip is prepared for each of the cases when it is originated and is kept under the applicable case category. The movement from one category to another occurs as case processing progresses through its various stages in the court system. The case categories which the D.A. uses are:

Awaiting Grand Jury action

Pending initial arrest

Preliminary/sanity hearing

To be arraigned

Misdemeanor trials - pending without a date

Misdemeanor trials - date set (strips filed by date)

A. D.A.'s Office Files

Felony trials - pending without a date

Felony trials - date set (strips filed by date)

Motions

Presentence investigations (strips filed by judge)

Awaiting sentencing

Extradition/Revocation hearing

Fugitive warrant outstanding

Miscellaneous docket

When a case moves from one stage to another, the strip for that case is moved to the new category.

3. Case Folders: Case documents are kept in these folders. The folders are filed by docket number.

4. Defendant Files: These are the files kept in the old system of filing. They contain all the information about a defendant and all the cases he was associated with. These files are not originated anymore, but the old files are left filed by the D.A. file number which is a unique defendant number.

B. Files Used In Court Clerk's Office

1. Docket Book: This book is a case-defendant index. The book has a list of the defendants' names arranged alphabetically in the front and a reference after each name to the page numbers which contain the entries for the defendants' cases. Each case entry contains the docket number, the defendants' names, the indictment or bill filing date and the charge.

B. Court Clerk's Office Files

2. Case Folders: The case folder contains all the information and documents related to a specific case. The case folders are filed by docket number.

3. Affidavit Book: This book is the affidavit-defendant index. It contains the defendants' names and the affidavit numbers arranged in chronological order for the spring and fall terms of the year.

4. Affidavit Folder: The affidavits are filed by "affidavit number", an internal number used by the clerk's office. All the affidavits filed in the clerk's office within the same term (spring or fall) of the year are kept together in one book. The affidavits also may have additional documents attached to them, e.g., in case of extradition proceedings, all related documents are kept, and in the case of a warrant for a material witness associated with the case whom the D.A. suspects is motivated to escape, the arrest warrant and bond documents will be kept.

5. Court Docket File: The court dockets are filed in chronological order. The various types of dockets filed are:

Grand Jury hearing

Preliminary hearing

Arraignment

Misdemeanor trial

Felony trial

Motion hearing

B. Court Clerk's Office Files

Sanity hearing
Sentencing
Revocation hearing
Writ of Habeas Corpus
Juvenile hearing
Traffic arraignment
Traffic trial
Rule to show cause
Non-support
Family court
Miscellaneous

6. Court Minutes: Court minutes are filed in chronological order.

C. Criminal Court Documents Data Elements

1. Grand Jury Summons

Name and address of the witness
Date and time of hearing
Defendant's name
Charge
Docket number
Name of the deputy clerk of court issuing the summons
Service information (personal or domiciliary)

C. Criminal Court Documents Data Elements

2. Affidavit

Complainant name

Offender name

Date of incident

Incident and charge

Signature of the complainant

Date of issue

The issuing police officer's signature and name

Witnesses' names

To whom the warrant delivered

Date warrant delivered

3. Warrant for Arrest

Agency to whom being given

Defendant name

Complainant name

Date of incident

Description of event

Date of issue

Issuing judge's name

Defendant's last known address

Bond order

Defendant name

Bond amount

Date of issue

Issuing judge's name

C. Criminal Court Documents Data Elements

4. Court Docket

Docket number

Defendant name and AKA (alias), if any

Defendant address

Charge

Date of crime

Victim's name

Attorney's name and address

Witnesses' names and addresses

If defendant on pretrial release, so indicate

Docket type, date and judge's name

5. Arraignment Notice

Docket number

Names of codefendants

Defendant name and address

Charge

Date and time of arraignment

Bonding company name and address

Date of issue of notice

Name of deputy clerk issuing the notice

C. Criminal Court Documents Data Elements

6. Notice of Arraignment After Indictment

Defendant name and address

Docket number

Codefendants' names

Date of indictment

Charge

Date of arraignment

Time of arraignment

Date of issue of notice

Name of deputy clerk of court issuing the notice

7. Notice to Surety

Docket number

Defendants' names

The name of the person bonded

Date of court appearance

Time of court appearance

The bonding company (name and address)

Name of deputy clerk issuing the notice

C. Criminal Court Documents Data Elements

8. Summons

Docket number

Defendants' names

Witness name and address

Date and time of court appearance

Agency on whose behalf witness appearing

Date of issue

Name of deputy clerk issuing the summons

Service information (personal or domiciliary)

9. Notice of Criminal Trial

Docket number

The defendant's name and address

Date and time of trial

Date of notice

Name of deputy clerk of court issuing the notice

Service information (personal or domiciliary)

10. Notice of Trial Date of Suit

Docket number

Defendants' names

Attorney's name and address

Names of clients

Date of trial

Charge

Date of issue

Name of the deputy clerk of court issuing the notice

C. Criminal Court Documents Data Elements

11. Bench Warrant

Docket number

Defendants' names

Person for whom warrant being issued (name and address)

The charge, if any

Bond amount set

Judge's name

Date of issue

Name of deputy clerk of court issuing the warrant

12. Fugitive Warrant

Docket number

Defendants' names

Agency to whom being sent

Date billed

Defendant's name and address

Judge's name

Date of issue of warrant

Name of deputy clerk of court issuing the warrant

C. Criminal Court Documents Data Elements

13. Notice for Medical Exam (mental exam, sanity hearing, etc.)

Docket number

Defendants' names

Names of the two doctors

Date of the order

Name of the defendant being examined

Date of notice

Judge's names (preprinted)

Name of deputy clerk of court issuing the notice

14. Subpoena for Documents (Subpoena Duces Tecum)

Docket number

Defendants' names

Name and address of person from whom the documents being
subpoenaed

Date of court appearance

Description of the documents being subpoenaed

Judge's name

Date of issue of the subpoena

Name of deputy clerk issuing the subpoena

C. Criminal Court Documents Data Elements

15. Sentence Document

Defendant name

Defendant address

Charge

Date of sentence

Location of detention

Period of detention (term)

Date of issue of the document

Deputy clerk of court issuing the document