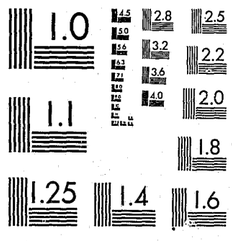
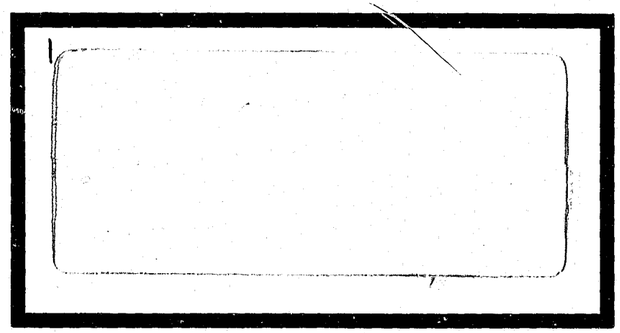




10

NATIONAL EVALUATION PROGRAM
PHASE I FINAL REPORT
PROSECUTION MANAGEMENT INFORMATION SYSTEMS

Volume II. Appendices

Prepared by:

Sidney H. Brounstein
Joseph M. Firestone, Ph.D.
Jerry W. Hogg
Judith S. Robinson, J.D.

WESTAT
An Employee-Owned Research Corporation
11600 Nebel Street • Rockville, Maryland 20852 • 301 881-5310

In affiliation with:

Center for Management and Policy Research, Inc.
Suite 922
1625 I Street, N.W.
Washington, D.C. 20006

"This project was supported by Contract Number J-LEAA-024-78 awarded by the Law Enforcement Assistance Administration, U.S. Department of Justice under the Omnibus Crime Control and safe streets of 1968, as amended. Points of view or opinions stated in this document are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice."

October 1979

APPENDIX A
LITERATURE SEARCH INFORMATION

BIBLIOGRAPHY

Adams, Eldridge. Courts and Computers. Chicago, Illinois. The American Judicature Society, Library of Congress, 1972.

American Bar Association Commission on Standards of Judicial Administration. Trial Courts, Standards Relating To, Chicago, Illinois, American Bar Association, 1975.

Association of Trial Attorneys. Automated Court Case Management in the Prosecutor's Office.

Blaine, Gerald. "Computer-Based Information Systems Can Help Solve Urban Court Problems," Judicature, November 1970.

Blumstein, A. and Larson, R. "Models of a Total Criminal Justice System." Operations Research. March-April 1969.

Bockelman, Melvin F. ALERT II - Progress Toward A Computerized Criminal Justice System. National Symposium on Criminal Justice Systems. October 1972.

Brounstein, Sidney H. "The Potential Impact of Information Systems In Evaluating Prosecution and Court Policy." Proceedings of the First Annual National Evaluation Converence LEAA, Washington, D.C.: February 1977.

Burroughs. PROMIS/JUSTIS, Prosecutor's Management Information System. February 1977.

Church, T., Carson A., Lee, J. and Tan, T. Justice Delayed - The Pace of Litigation in Urban Trial Courts, The National Center for State Courts, 1978.

Ebersole, Joseph L. and Hall, James A. Jr.. "Courtran: A Modular Management Information and Research System For Courts." Proceedings of the International Symposium on Criminal Justice Information and Statistics Systems. Washington, D.C. Project Search, LEAA, October 1972.

Friesen, E.C., Gallas, N.M. and Gallas, E.C.. Managing The Courts. Bobbs-Merrill Co., 1971.

Greenwood, Peter. Potential Uses of The Computer In Criminal Courts. (P-4581) Rand Corporation. February 1971.

Hann, Robert G. Decision Making In The Canadian Criminal Court System: A Systems Analysis. Center of Criminology, University of Toronto. July 1973.

Institute of Judicial Administration, State Judicial Information Systems: A State Of The Art Review, New York 1967.

Institute for Law and Social Research (INSLAW)

____. Decision-Related Research on Technology Utilized By Local Government: Court Scheduling, November 1975.

____. INSLAW Briefing Papers

1. Management Overview of PROMIS, Aug. 1976
2. Case Screening, Aug. 1976
3. Uniform Case Evaluation and Rating, Aug. 1976
4. Special Litigation (Major Violators) Unit, Aug. 1976
5. Witness Notification Unit, Aug. 1976
6. Paralegals, Aug. 1976
7. Comprehensive Training, Aug. 1976
8. Reasons for Discretionary and Other Actions, Aug. 1976
9. Counting by Crime, Case and Defendant, Aug. 1976
10. Research Uses of PROMIS Data, March 1977
11. Uniform Crime Charging Manual, Aug. 1976
12. Police Prosecution Report, Aug. 1976
13. Crime Analysis Worksheet, Aug. 1976
14. Processing and Trial Preparation Worksheet, Aug. 1976
15. Police Intake Worksheet, Aug. 1976
16. Standardized Case Jacket, Aug.1976
17. Interface with other OTIS, Aug. 1976

19. Analysis of Costs and Benefits, Jan. 1977
20. Transferability, March 1977
21. Optional On-Line Inquiry and Data Input Capability, Aug. 1976

INSLAW - Prosecutor's Management Information System (PROMIS) Manual

Vol. I - System Overview
Vol. II - System and Program Description
Vol. III - Data Preparation Guide
Vol. IV - Software Implementation Guide

INSLAW Special Reports

1. Management Report Package for PROMIS, Oct. 1976
2. Generalized Inquiry Package for PROMIS, Oct. 1976

The Pocket PROMIS - A Basic Guide to the System and its Use, Oct. 1976 (for D.C.)

The Pocket PROMIS - A Basic Guide to the System and its Use, Jan. 1978 (for N.Y.)

INSLAW PROMIS Research Project

Publication	Title
1.	Highlights of Interim Findings and Implications, 1977
2.	Expanding the Perspective of Crime Data: Performance Implications for Policymakers, 1977
3.	Curbing the Repeat Offender: A Strategy for Prosecutors, 1977
4.	What Happens After Arrest, Aug. 1977
7.	The Prosecution of Sexual Assaults, Nov. 1978 (Executive Summary)
8.	Does the Weapon Matter, no date (Executive Summary)
12.	The Role of the Victim in the Prosecution of Violent Crimes, May 1978 (Executive Summary)
14.	Plea Bargaining: Who Gains? Who Loses?, no date (Executive Summary)
16.	Pretrial Release and Misconduct in the District of Columbia, Oct. 1978 (Executive Summary)
(Draft)	The Deterrent Effect of Capital Punishment: A Cross-State Analysis of the 1960's, no date
(Draft)	A Descriptive Profile of Case Processing Time in the District of Columbia Superior Court, June 1976
(Draft)	A Description of Patterns of Recidivism in the District of Columbia, Nov. 1976
	Progress Report, PROMIS Transferability Contract, 1-31 Oct. 1978

INSLAW - PROMIS Newsletters

Vol. 1, Number 2, Sept. 1976
Vol. 2, Number 2, Dec. 1977
Vol. 3, Number 1, Apr. 1978
Vol. 3, Number 2, Oct. 1978

Accelerating Reform in the Courts Through Technology Transfer, June 1975 (presented to NATO)

Guide to Court Scheduling - A Framework for Criminal and Civil Courts, 1976

(Draft) An Overview of MINICOMPUTER PROMIS, 10/78

(Draft) MINI PROMIS Documentation, Volume I: Technical System Description, 10/78

PROMIS Research Project, Research Design Report, End of First Year, Dec. 1975

PROMIS For the Nonautomated or Semiautomated Office, April 1976

Cost/Benefit Analysis Reports (Reports cover 71 sites including the 20 PROMIS sites which are currently operational).

Jacoby, Joan E. The Prosecutor's Changing Decision: A Policy Perspective. U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice. January 1977.

Jennings, John B. Final Evaluation Of Manhattan Criminal Court's Master Calendar Project (R-1285-NYC) New York City Rand Institute. November 1973.

Judicial Data Center, PROMIS Feasibility Study, State of Michigan, Detroit, Michigan, July 1978.

Kramer, K.L., Lucas, H.C. Jr., Hackathorn, R.D., and Emrey, R.C.. Computer Utilization In Local Governments: A Critical Review and Synthesis of Research. University of California, Irvine. September 1973.

Maltz, Michael D.. "Privacy, Criminal Records and Information System." Operations Research In Law Enforcement, Justice and Social Security., D.C. Heath and Co., Lexington, Mass. 1976.

Merrill, Dean C. Accelerating Reform In The Courts Through Technology Transfer. Institute For Law and Social Research. June 1975.

MITRE Corporation. National Evaluation Program, Phase I Final Report: Court Information Systems: Preliminary Findings and Issues. November 1975.

____. National Evaluation Program, Phase I Final Report: Court Information Systems: Phase II Study. July 1976.

____. National Evaluation Program, Phase I Final Report: Court Information Systems: A Single Court Information System Project Evaluation Design. August 1976.

National Advisory Commission On Criminal Justice Standards and Goals. Courts, Washington, D.C. U.S. Government Printing Office, January 1973.

____. Criminal Justice Research and Development.

____. Criminal Justice System. January 1973.

National Advisory Commission On Law Enforcement and Administration Of Justice. Task Force Report: The Courts, Appendix E. U.S. Government Printing Office, 1967.

National Center for State Courts, Reference Manual. Data Processing and the Courts, Publication No. R0033g. September 1977.

National Criminal Justice Information and Statistics Service. Privacy and Security Planning Instructions - Criminal Justice Information Systems'. U.S. Department of Justice, LEAA. Revised April 1976.

National District Attorneys Association. Automated Court Case Management In The Prosecutor's Office.

National Legal Aid and Defender Association, Defender Management Information Systems Feasibility Study LEAA, 1979.

Navarro, Joseph A. and Taylor, Jean G. "An Application Of Systems Analysis To Aid In The Efficient Administration of Justice," National Institute On Computers In Courts, Battle Creek, Michigan. W.K. Kellogg Foundation, 1972.

Nay, J.N. et al. Working Paper 5070-3, Work Description for a Phase I Study. The Urban Institute, February 1977.

Office of Criminal Justice Plans and Analysis Information Systems and Statistics Division. A Quality Control Analysis of Criminal Justice Information System Data In The District of Columbia, OBTS Technical Report Number Six. September 1977.

Oklahoma Crime Commission. Material concerning Arrest Disposition Reporting System. December 1978.

____. Arrest Disposition Reporting System (ADRS). December 1978.

Organization for Economic Cooperation and Development. Automated Information Management In Public Administration. France, 1973.

Polansky, Larry P. "Contemporary Automation In The Courts." Law And Computer Technology. November 1973.

____. The Computer Use in the Courts: Planning, Procurement and Implementation Considerations. American University, June 1978.

____. "Contemporary Automation In The Courts." Proceedings Of The Second International Symposium On Criminal Justice Information And Statistics System. May 1974.

President's Commission On Law Enforcement And Administration Of Justice. Task Force Report: The Courts. 1967.

____. The Challenge Of Crime In A Free Society. 1967.

Programming Methods, Inc. Report On The Development Of A Criminal Court Calendar Scheduling Technique. New York, N.Y.

Project SEARCH. Proceedings Of The Second International Symposium On Criminal Justice Information And Statistics Systems. May 1974.

The Rand Corporation, Criminal Justice Models: An Overview, April 1976.

____. Indicators of Justice: Measuring the Performance of Prosecution, Defense, and Court Agencies Involved in Felony Proceedings - A Guide to Practitioners, June 1976.

SEARCH Group, Inc. SJIS--State Judicial Information Systems State Of The Art. Sacramento, California 1975.

____. Standards For Security And Privacy Of Criminal Justice Information, Second Edition: Technical Report No. 13 (Revised). January 1978.

____. Gavel - A National Model Trial Court Information System Project - Technical Report #22. 1978.

____. Listings Of Prosecutor's Management Information Systems Currently In Use.

Taylor, S., Navarro, J. and Cohen, R. Data Analysis And Simulation Of The District Of Columbia Trial Court System For The Processing Of Felony Defendants - Research Paper P-415. IDA Science and Technology Division. June 1968.

United Nations Social Defense Research Institute. "Evaluation Research In Criminal Justice." Publication No. 11, Rome, N.Y. January 1976.

____. Evaluation Research In Criminal Justice, Publication No. 11, Rome. January 1976.

U.S. Department of Justice (LEAA). National Survey Of Court Organization. October 1973.

United States Department of Justice, Washington, D.C., Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice. Report On The National Evaluation Program. June 1975.

U.S. Department of Justice, Law Enforcement Assistance Administration. Quantitative Tools For Criminal Justice Planning.

U.S. Department of Justice, Law Enforcement Assistance Administration, National Institute of Law Enforcement and Criminal Justice. National Evaluation Program Phase I Summary Report: Court Information Systems. March 1977.

____. Dictionary of Criminal Justice Data Terminology. 1976.

____. State and Local Prosecution and Civil Attorney Systems, March 1978.

____. Offender-Based Transaction Statistics: New Directions In Data Collection and Reporting. 1975.

United States Senate, Committee On The District Of Columbia. Court Management Study, Part I, Summary. Washington, D.C. U.S. Government Printing Office. May 1970.

Urban Institute. Work Description for a Phase I Study (Working Paper 5070-03). February 1977

Weidman, D.R. et al. "Intensive Evaluation for Criminal Justice Planning Agencies." LEAA, July 1975.

Weimer, David Leo. Improving Prosecution: The Inducement and Implementation of Innovations For Prosecution Management. 1978.

Arthur Young & Co. Detailed Design For The Automated Case Following Statistical Reporting And Calendaring System - Fresno Superior Court. Vols. I-III. December 1972.

APPENDIX B
MAIL SURVEY QUESTIONNAIRE

U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
WASHINGTON, D.C. 20531

FORM APPROVED
OMB # 45-S79003
EXPIRES: SEPT. 1979

DUE DATE

ASSESSMENT OF PROSECUTOR'S MANAGEMENT INFORMATION SYSTEMS

GENERAL INSTRUCTIONS

- FOR EACH QUESTION, CHECK THE APPROPRIATE BOX OR ENTER THE INFORMATION SPECIFIED.
- FOR Q'S 7 AND 8, IF DATA ARE REASONABLY AVAILABLE FROM RECORDS, PLEASE USE THOSE RECORDS AS THE SOURCE OF INFORMATION. IF DATA ARE NOT REASONABLY AVAILABLE, PLEASE ENTER YOUR BEST ESTIMATE. CHECK THE APPROPRIATE BOX TO INDICATE IF DATA WAS TAKEN FROM RECORDS.
- FOR EACH SECTION WE HAVE SPECIFIED THE TYPE OF PERSON (PROSECUTOR OR SYSTEM STAFF PERSON) WHOM WE FEEL WOULD BEST BE ABLE TO ANSWER THAT PARTICULAR SET OF QUESTIONS.
- IF YOU NOW HAVE OR PLAN TO HAVE A MANAGEMENT INFORMATION SYSTEM, PLEASE COMPLETE THE ENTIRE QUESTIONNAIRE. IF YOU DO NOT HAVE OR PLAN TO HAVE A MANAGEMENT INFORMATION SYSTEM THERE ARE SEVERAL QUESTIONS YOU MAY SKIP. THE QUESTIONNAIRE WILL SPECIFY WHICH QUESTIONS THESE ARE. IF YOU HAVE ANY QUESTIONS OR NEED ASSISTANCE IN DECIDING HOW TO COMPLETE YOUR QUESTIONNAIRE, PLEASE CALL DIANE WARD AT (301) 881-5310. YOU MAY CALL COLLECT.

DEFINITIONS

- FOR THE PURPOSE OF THIS SURVEY, A CASE IS DEFINED AS A TRIABLE UNIT CONSISTING OF ALL CHARGES AND COUNTS AGAINST A SINGLE DEFENDANT ARISING FROM A CRIMINAL INCIDENT.
- FOR THE PURPOSE OF THIS SURVEY, FELONIES ARE DEFINED AS THE MORE SERIOUS CRIMES THAT ARE NORMALLY TRIED IN AN UPPER COURT SUCH AS A CIRCUIT OR SUPERIOR COURT. MISDEMEANORS ARE THE LESS SERIOUS CRIMES USUALLY TRIED IN A LOWER COURT.

THIS SURVEY IS AUTHORIZED BY LAW. WHILE YOU ARE NOT REQUIRED TO RESPOND, YOUR COOPERATION IS NEEDED TO MAKE THE RESULTS OF THE SURVEY COMPREHENSIVE, ACCURATE AND TIMELY.

SECTION I: ORGANIZATIONAL DESCRIPTORS (PROSECUTOR)

1. What (is/are) the name(s) of the court(s) in which your prosecutors try adult criminal cases?

2. How many judges are assigned fulltime to this/these court(s)?

# of Judges	Felonies Only	Misdemeanors Only	Both
	☐	☐	☐

3. What type of case assignment system is used for judges? (CHECK APPLICABLE BOX FOR EACH CATEGORY.)

	FELONIES	MISDEMEANORS
A. MASTER CALENDAR (Different judge may handle case at different stages of court proceedings)	☐	☐
B. INDIVIDUAL CALENDAR (One judge from arraignment through final disposition)	☐	☐

4. What is your source of case intake? (CHECK APPLICABLE BOX FOR EACH CATEGORY.)

	FELONIES	MISDEMEANORS
A. POLICE (ALL AGENCIES)	☐	☐
B. LOWER COURTS REFERRAL	☐	☐
C. WALK-IN COMPLAINTS	☐	☐
D. OTHER: (SPECIFY) _____	☐	☐

5. What area is served by your office? (CHECK BOX AND SPECIFY IN SPACE PROVIDED.)

A. ☐ THE CITY OF _____
B. ☐ THE COUNTY OF _____
C. ☐ THE STATE OF _____
D. ☐ OTHER (SPECIFY) _____

6. Does your office use any type of special assignment policy for cases? (BY SPECIAL ASSIGNMENT WE MEAN, ARE CERTAIN TYPES OF CASES ASSIGNED FOR SPECIAL TREATMENT; I.E., CAREER CRIMINALS.)

A. ☐ YES → DESCRIBE _____
B. ☐ NO _____

SECTION II: CASE FLOW (SYSTEM STAFF)

7. For cases reaching the following court events, what is the average number of days from arrest to each of the events? (PLEASE ENTER THE NUMBER IN THE SPACE PROVIDED FOR EACH CATEGORY. ENTER NA [NOT APPLICABLE] WHERE APPROPRIATE.)

	FELONIES	MISDEMEANORS	DATA FROM RECORDS
A. FILING (Acceptance For Prosecution)			☐YES ☐NO
B. INDICTMENT			☐YES ☐NO
C. TRIAL VERDICT			☐YES ☐NO
D. GUILTY PLEA			☐YES ☐NO
E. GUILTY PLEA			☐YES ☐NO
(1) PRE-INDICTMENT			
(2) POST-INDICTMENT			
F. NOLLE/DISMISSAL			☐YES ☐NO

SECTION III: CASE LOAD (SYSTEM STAFF)

8. What was the total number of criminal cases, in each of the following categories, processed by your office in the most recent year? (PLEASE CLASSIFY BY MOST SERIOUS CHARGE IN THE CASE.)

INTAKE	FELONIES	MISDEMEANORS
A. Total Cases Screened		
B. Cases Accepted for Prosecution		
DISPOSITION		
A. Guilty Plea		
B. Guilty-Trial Verdict		
1) Bench		
2) Jury		
C. Not Guilty-Trial Verdict		
1) Bench		
2) Jury		
D. Dismissal by Judge		
E. Nolle by Prosecutor		
F. Other (SPECIFY)		

☐ DATA FROM RECORDS ☐ DATA NOT FROM RECORDS

SECTION IV: MIS DESCRIPTORS (SYSTEMS STAFF)

9. Does your office use a management information system?

A. ☐ YES - SKIP TO Q. 12

B. ☐ NO - CONTINUE WITH Q. 10

10. Are you planning to institute such a system?

A. ☐ YES→WHEN? ___/___ MO YR

SKIP TO Q.12.

B. ☐ NO - ANSWER Q. 11.

11. Listed at the top of the next column are some factors you may have taken into consideration in your decision not to establish a management information system. Using a scale from 0 to 10 with 0 being "Not Important", and 10 being "Most Important", please rate the importance of each of these factors in your decision by placing the appropriate number in the box provided.

A. PRIVACY CONSTRAINTS ☐

B. BUDGETARY CONSTRAINTS ☐

C. STAFFING CONSTRAINTS ☐

D. NO NEED FOR A MIS ☐

E. OTHER (SPECIFY) ☐ _____

SKIP TO Q.25

12. What type of management information system do you have or plan to have? (CHECK ALL THAT APPLY.)

A. ☐ PROMIS

B. ☐ NON-PROMIS _____ (SPECIFY SYSTEM TITLE)

C. ☐ MANUAL

D. ☐ SEMI-AUTOMATED

E. ☐ LARGE-SCALE BATCH

F. ☐ ON-LINE QUERY

G. ☐ MINI-COMPUTER

H. ☐ TIME-SHARED WITH OTHER AGENCIES

I. ☐ OTHER _____ (SPECIFY)

IF YOUR MIS IS ONLY IN THE PLANNING STAGE, SKIP TO Q.22

13. What types of system documentation are readily available? (PLEASE INDICATE "YES" OR "NO" BY CHECKING THE APPROPRIATE BOX FOR EACH TYPE.)

	YES	NO
A. SYSTEM FLOW CHARTS.....	☐	☐
B. DATA PREPARATION FORMS...	☐	☐
C. FILE DESCRIPTIONS (DATA ELEMENTS).....	☐	☐
D. OUTPUT DESCRIPTIONS.....	☐	☐
E. PROGRAMMING SPECIFICATIONS.....	☐	☐
F. ENTRY INSTRUCTIONS.....	☐	☐

14. From what source did you receive funds to develop your management information system?

A. ☐ INTERNAL FUNDING

B. ☐ EXTERNAL FUNDING→(SPECIFY SOURCE) _____

15. When was funding for this system approved?

DATE: ___/___ MONTH / YEAR

16. What were the total costs for developing this system for your office? (PLEASE DO NOT INCLUDE RECURRING OPERATIONS COSTS.)

TOTAL COST: $ _____

17. Approximately what are your monthly operational costs?

MONTHLY COSTS: $ _____

18. When was this system first operational? (PLEASE ENTER THE DATE IN "A" OR CHECK THE BOX AND ENTER THE TARGET DATE IN "B".)

A. DATE: ___/___ MONTH / YEAR

B. ☐ NOT YET OPERATIONAL→ENTER ESTIMATED TARGET DATE BELOW.

TARGET DATE: ___/___ MONTH / YEAR

19. How was the system developed? (CHECK ALL THAT APPLY.)

A. ☐ IN-HOUSE

B. ☐ CONTRACTOR

C. ☐ TRANSFERRED FROM (SPECIFY SOURCE) _____

20. Did you receive any technical assistance to implement your management information system?

A. ☐ YES - ANSWER Q.21.

B. ☐ NO - SKIP TO Q.22.

21. Was this technical assistance LEAA funded?

A. ☐ YES B. ☐ NO

22. What general MIS applications do you use or plan to use on a regular basis? (CHECK ALL THAT APPLY.)

A. ☐ CALENDARING AND SCHEDULING

B. ☐ WORKLOAD REPORTS

C. ☐ CASE STATUS REPORTS

D. ☐ RESEARCH AND ANALYSIS REPORTS

E. ☐ FORMS GENERATION

F. ☐ OTHER _____ (SPECIFY)

23. Is access to your MIS provided to others in the criminal justice community? If your MIS is in the planning stage, do you plan to provide access to others? (PLEASE INDICATE "YES" OR "NO" FOR EACH CATEGORY LISTED. IF "YES" IS CHECKED, PLEASE SPECIFY THE PRIMARY APPLICATION FROM THE LIST IN Q.22 BY ENTERING "A", "B", ETC.)

	YES		NO
A. POLICE	☐→	_____	☐
B. COURTS	☐→	_____	☐
C. PUBLIC DEFENDER	☐→	_____	☐
D. CORRECTIONS	☐→	_____	☐
E. OTHER (SPECIFY)	☐→	_____	☐

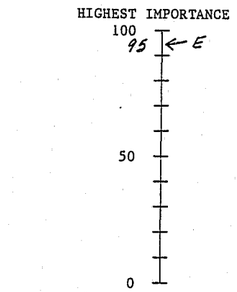
24. Are data from your MIS readily available in the following categories? If your MIS is in the planning stage, do you expect to have such data available? (IF DATA ARE AVAILABLE, PLEASE CHECK THE BOX IN THE "YES" COLUMN FOR THAT CATEGORY. IF DATA ARE NOT AVAILABLE, PLEASE CHECK THE BOX IN THE "NO" COLUMN AND INDICATE EITHER THE APPROXIMATE DATE IT WILL BE AVAILABLE OR CHECK THE BOX STATING THAT YOU HAVE NO PLANS TO USE YOUR MIS FOR THE CATEGORY LISTED.)

	YES	NO	DATE		NO PLANS TO USE
A. CASE LOAD MEASURES (i.e., cases screened, filed, or indicted)	☐	☐→	___/___ MO/YR	OR	☐
B. CASE DISPOSITION RATES (i.e., conviction rates, dismissal rates)	☐	☐→	___/___ MO/YR	OR	☐
C. COURT DELAYS	☐	☐→	___/___ MO/YR	OR	☐

SECTION V: ASSESSMENT OF OFFICE GOALS (PROSECUTOR)

25. Below is a list of goals relating to the management effectiveness of the prosecutor's office. Next to the goals is a "RATING RULER" with "0" representing lowest importance and "100" representing highest importance. Since the contribution of the listed goals to overall effectiveness can vary in importance, we would like you to use the "RATING RULER" to indicate the relative importance of each goal to you. Indicate your rating for each goal by placing the letter preceding the goal next to the ruler in the appropriate place. Then draw, an arrow from the letter to the ruler and specify the number that corresponds to the rating you have assigned. For example, if you feel that the "CAPABILITY FOR OFFICE AND ASSISTANT PROSECUTOR PERFORMANCE EVALUATION" was very important to you, you might assign it a rating of 95. You would indicate this rating on the ruler as follows:

EXAMPLE:



If you perceive two or more goals as having the same amount of importance you would assign the same rating number to each. In addition, please add to this list any other goals that you consider important and relevant to MIS applications. Assign a rating indicating degree of importance to each goal that you add.

GOALS	RATING RULER
A. ALLOCATION OF STAFF BASED ON PROSECUTION PRIORITIES (For example, career criminals, serious offenses, etc.)	HIGHEST IMPORTANCE 100
B. MONITORING OF EVENHANDEDNESS (Cases with similar offenses involving defendants with comparable records receive equal treatment.)	
C. CONTROL OF SCHEDULING AND LOGISTICAL PROBLEMS	
D. RESEARCH AND ANALYSIS CAPABILITY	
E. CAPABILITY FOR OFFICE AND ASSISTANT PROSECUTOR PERFORMANCE EVALUATION	50
F. INCREASE CONVICTION RATE	
G. _____	
H. _____	0 LOWEST IMPORTANCE

SECTION VI: ASSESSMENT OF MIS (PROSECUTOR)

NOTE: PLEASE ANSWER THIS QUESTION IF YOU HAVE OR PLAN TO HAVE A MANAGEMENT INFORMATION SYSTEM. IF YOU DO NOT HAVE A MIS, DO NOT COMPLETE THE THIRD COLUMN "YOUR MIS ACTUAL CONTRIBUTION."

26. In the previous section you rated the listed goals as to the relative importance of each in relation to its contribution to management effectiveness for the prosecutor's office.

In this section, we have listed the same goals on the left and provided three boxes on the right. Given the conditions that currently exist in the criminal justice system, please do the following. On a scale from "0" to "100", with "100" representing full achievement of the goals:

- ASSESS THE CONTRIBUTION THAT YOU BELIEVE AN IDEAL MIS COULD MAKE TOWARD ACHIEVING THE LEVEL OF CAPABILITY THAT YOU CONSIDER OPTIMAL WITHIN YOUR OFFICE.
- ASSESS THE CONTRIBUTION THAT YOU EXPECT YOUR MIS TO MAKE TOWARD ACHIEVING THE LEVEL OF CAPABILITY THAT YOU CONSIDER OPTIMAL WITHIN YOUR OFFICE.
- ASSESS THE ACTUAL CONTRIBUTION THAT YOUR MIS IS CURRENTLY MAKING TOWARD ACHIEVING THE LEVEL OF CAPABILITY THAT YOU CONSIDER OPTIMAL WITHIN YOUR OFFICE.

Please indicate your assessment by placing the number representing your assessment in the box provided. For example, if you feel that the maximum contribution an ideal MIS could make toward a particular goal is 80% and you expect that your MIS can contribute about 70% but actually it is only contributing 50% so far, you would indicate your assessment as follows:

EXAMPLE:

GOALS	% OF GOAL ATTAINMENT: IDEAL MIS CONTRIBUTION	YOUR MIS EXPECTED CONTRIBUTION	YOUR MIS ACTUAL CONTRIBUTION
A. ALLOCATION OF STAFF BASED ON IMPORTANCE OF CASE	80	70	50

GOALS	% OF GOAL ATTAINMENT: IDEAL MIS CONTRIBUTION	YOUR MIS EXPECTED CONTRIBUTION	YOUR MIS ACTUAL CONTRIBUTION
A. ALLOCATION OF STAFF BASED ON PROSECUTION PRIORITIES			
B. MONITORIING OF EVENHANDEDNESS			
C. CONTROL OF SCHEDULING AND LOGISTICAL PROBLEMS			
D. RESEARCH AND ANALYSIS CAPABILITY			
E. CAPABILITY FOR OFFICE AND ASSISTANT PROSECUTOR PERFORMANCE EVALUATION			
F. INCREASE CONVICTION RATE			
G. _____			
H. _____			

27. How would you assess the quality of data that are entered into your system? Indicate your assessment by assigning a number from 0 to 10 with "0" representing the poorest quality data, "10", the highest quality data and "5", average quality data. (ENTER THE NUMBER IN THE BOXES PROVIDED.)

POOREST QUALITY — AVERAGE QUALITY — HIGHEST QUALITY

0 1 2 3 4 5 6 7 8 9 10

A. ASSESSMENT OF DATA QUALITY AT INTAKE:... ☐

B. POST INTAKE (UPDATES)..... ☐

28. What changes to your system of information processing are planned or considered desirable in the future? (PLEASE CHECK ALL THAT APPLY AND ADD ANY OTHER CHANGES THAT YOU CONSIDER APPROPRIATE.)

	Planned	Desirable
A. NO CHANGES.....	☐	☐
B. DESIGN AND IMPLEMENT A MIS.....	☐	☐
C. CHANGE TO A MINI-COMPUTER BASED MIS.....	☐	☐
D. CHANGE TO A MIS WITH AN ON-LINE QUERY CAPABILITY.....	☐	☐
E. SCRAP THE CURRENT MIS AND NOT REPLACE IT.....	☐	☐
F. OTHER (SPECIFY) _____	☐	☐

29. Whom may we contact for further information? (PLEASE PRINT HIS/HER NAME, TITLE AND TELEPHONE NUMBER IN THE SPACE PROVIDED.)

NAME:	TITLE:	TELEPHONE #: ( ) -

THANK YOU FOR YOUR COOPERATION

Please return in the enclosed envelope to:

WESTAT
An Employee-Owned Research Corporation
1650 Research Boulevard • Rockville, Maryland 20850 • 301 251-1500

APPENDIX C

SITE VISIT REPORTS

APPENDIX C

SITE VISIT REPORTS

Introduction

This appendix contains a site visit report for each on-site survey conducted during this phase of the study.

The same format is used for all reports; comparable data for each site is thereby contained in a corresponding paragraph (number) of each report for easy reference.

To the extent possible, statistical data contained in these reports (such as caseload, dispositions) were obtained from available site records, and reports or from the PMIS itself; where such data were not readily available, a "best estimate" was obtained from prosecution management personnel on-site. These data were used in this Phase I study to help characterize the various PMIS projects and to aid in assessing the evaluability of PMIS projects for a Phase II in-depth analysis.

Chapters 1 through 4 of each report contain information gathered from the literature search and on-site surveys. The accuracy of this information must be viewed in relation to the survey date. Some aspects of the organizations and systems change with time (such as personnel assignments, upgrading of equipment, and additions/deletions of application programs).

Chapter 5 of each report represents the opinions of the survey teams:

- A "user satisfaction rating" has been assigned to each system by the survey teams (paragraph 5.1). The rating is based on a 1-10 scale with 1 being assigned to the site (1 out of 17) where the users appeared to be least satisfied with the support received from the system; a 10 rating has been assigned to the site where users appear to be most satisfied; all other ratings represent the survey team's judgments as to the relative position on the scale for each of the other systems when compared to the two extremes.

- The paragraph describing influences of the system (5.7) includes, where appropriate, the team's judgmental assessments of the impacts of the system on the organization and/or caseflow as reported by site personnel; and also indicates those factors (if any) that have influenced the development of the information system.

Site Visit Report
Los Angeles, CA A19

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

District Attorney
600 Hall of Justice
Los Angeles, CA 90012

1.2 System Title and Brief Description

PROMIS - applied to felony cases only.

This implementation is based on the transfer of INSLAW, batch version of PROMIS (PROMIS II) with on-line inquiry. Extensive modifications were performed under contract by Peat, Marwick, Mitchell & Co. (PMM).

1.3 Primary Site Contact

Niel Riddle (213) 974-3521
Systems Administrator

1.4 Dates of Visit

Dates of the visit were June 19-20, 1979.

1.5 Survey Team Members

Sidney Brounstein
Judith Robinson

1.6 Site Personnel Contacted

Niel Riddle, Systems Coordinator, (213) 974-3521

Robert Johnson, Assistant Director, Bureau of Special Operations

Florence Lynn, Assistant Director, Central Operations

Mike Genolin, Career Criminal Chief

Joseph Seilen, Special Assistant to DA

Larry Donohue, Assistant DA, (213) 603-7483

Eloise Williams, LA DA Staff DP Coordinator

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Area served is Los Angeles County.

2.2 Population Served

A population of approximately 7,035,000 is served by this office.

2.3 Names of Courts

Superior court - 8 branches
Municipal courts - 18 areas

2.4 Number of Judges

Superior court judges - criminal - 62.7

2.5 Number of Prosecuting Attorneys

A total of 700 prosecuting attorneys are assigned to this office.

2.6 Caseload

Felonies

Felony arrests a year - 50,000
Defendants filed - 17,550
Trials - 2,314
Guilty pleas - 11,886

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

About $1 million was spent over three years. a feasibility study was conducted in 1973; funds were approved July 1, 1974.

3.1.2 Source of Funds

LEAA provided developmental funds.

3.1.3 Means of Development

Original software was transferred and modified by PMM contract of $276K. LA made extensive modifications to PROMIS to summarize case volume by office and to produce management reports by crime, by court, by judge, etc.

LA also produced extensive generalized inquiry and statistical reports. There was little user involvement in systems development according to Eloise Williams.

3.2 Operational Date and Costs

3.2.1 Operational Date

The operational date was July, 1977.

3.2.2 Operational Costs

The operational costs were about $600,000 per year; $500 per report, $200 per inquiry.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

The CPU is an IBM 370/158 with disk and tape storage.

3.3.2 Input/Output Devices

Fifty (50) IBM 3270 video display terminals are used as input devices.

3.3.3 Cost of Hardware

Leased by county data processing facility.

3.4 Software

3.4.1 Programming Language

COBOL is used for application programs; IBM Faster for the teleprocessing monitor.

3.4.2 Operating System

IBM-OS is the operating system used.

3.4.3 Data Base Management System (DBMS)

There is no data base system.

3.4.4 Response Time

This appears to be a problem both in time to obtain responses to inquiries on-line and in obtaining DP response to developing new computer programs. Response to inquiries is about 15-20 seconds when working normally; during peak periods, it's much slower.

3.5 Personnel

County data processing personnel support the system, plus the prosecutor has two systems people on his staff.

3.6 System Control

County DP maintains control of system. Relation between DA and county DP is not very good.

Back-up consists of a second mainframe. Printed indices, back-up tapes and three generators, one offsite, are also back-up features.

The DA is frustrated with lack of responsiveness of county DP.

3.7 System Security

3.7.1 Physical Security

All 50 terminals have equal access.

3.7.2 Protection of Computer Files

User numbers (employee number) and passwords are used.

3.8 Mode of Operation

Batch update and data entry and on-line inquiry.

Each deputy DA has immediate access to any case; filing deputy must check PROMIS.

3.9 System Users

The system is dedicated to prosecutor use which includes prosecution managers and line prosecutors as users. Police and public defenders have access for inquiry; and municipal courts also have inquiry access.

3.10 System Goals

The following are system goals with ratings of relative importance in parentheses:

- Improve case management control (50);
- Provide better management information for improved resource allocation according to prosecutor priorities (90);
- Increase conviction rate (95);
- Research and analysis (95);
- Monitoring evenhandedness (85); and
- Office and prosecutor performance evaluation (50).

3.11 Current Applications

3.11.1 Capabilities

Capabilities include case following and defendant tracking.

Management and statistical information is available for research and analysis and for performance measurement.

3.11.2 Outputs Supporting Office Operations

Generalized inquiries are used; want information is available when needed.

Status of case, status of defendant, and other cases pending are also used.

Production of court calendars was eliminated as they were not being used; similarly, most printed reports were not used, so they were discontinued to save money.

3.11.3 Outputs Supporting Management Functions

Case-aging reports, special inquiries on case aging, defendant status, types of dispositions, and extensive management reports are produced.

3.11.4 Files

Files include:

- Defendant status and ID;
- Case ID and status
  - Charges
  - Transactions
  - Dispositions; and
- Witnesses.

3.12 Data Input Control and System Operations

Input is accomplished by key to mag tape after police fill out offense report.

Clerical support people enter data; often they must second guess prosecutors' notes - "Can't depend on prosecutor". Prosecutors feel they are papered to death. Many of INSLAWS codes and formats have been simplified.

PROMIS edits input data and produces batch error lists for correction. LA is up-to-date on corrections. HELP format has been an aid to prosecutor inquiries.

3.13 Availability of Statistical Data

Extensive statistics are available to include:

- Attorney caseloads;
- Disposition analyses; and
- Delay statistics.

3.14 Interface with Other Systems

Automated Index - terminal to computer index. This is an automated interface of various LA County CJ agencies to offender personnel history and event indices. It is not interfaced to PROMIS, but the DA has an automated index terminal.

AJIS - Tracks inmates from time of arrest to release. On-line booking is not a shared data base. Network is not compatible between LAPD system and PROMIS. AJIS is not interfaced with PROMIS, just with DA's office.

3.15 System Benefits

Benefits include:

- Capacity to evaluate aspects of change in policy;
- Ability to aid investigators on specific cases;
- Research and analysis tool; and
- Availability of statistical information to respond to external inquiries.

3.16 Future Applications

3.16.1 Plans

Mini-PROMIS is being evaluated for the next generation of prosecutor MIS; the DA desires to improve responsiveness to new applications. Witness subpeona generation is planned.

3.16.2 Application Desired by Prosecutor

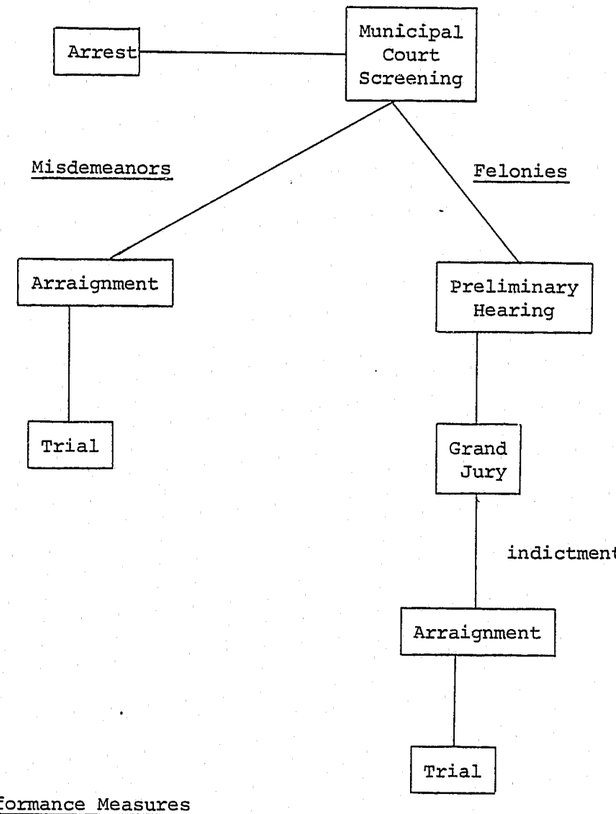
The DA desires:

- Witness subpeonas;
- Flexibility to make changes as needed with more rapid response; and
- Lower cost of operation.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



Performance Measures

Dismissal rate
Backlog reduction
Plea rate - timing of pleas
Court delay
Conviction rate

4.2 Characteristics of the Process

4.2.1 General

This is the largest DA's office in the nation. It is highly decentralized with branch operations (8 branch offices and 18 municipal court locations). The Supreme Court is not automated. Criminal case filings have lessened in the past four years. There is a high turnover of personnel in DA's office. They try to match the prosecutor and public defender based on experience. Witnesses' failure to appear is a common problem. LA has both charge and sentence bargaining.

4.2.2 Special Assignment Policies

Special assignments are made for career criminals.

4.2.3 Calendar Control

"Master calendars" are used for misdemeanors and felonies; felonies are under "individual calendar" after arraignment. Vertical assignment (same prosecutor follows case) is being tried in one branch; this is increasing pleas and reducing dismissals.

4.3 Judicial Performance Measures*

4.3.1 Case Processing Time (from questionnaire)

Felonies: Arrest to indictment - 29 days
Arrest to trial verdict - 142 days

Misdemeanors: Data not reported

4.3.2 Conviction Rate

Jury trials - 76 percent convicted (1,042 out of 1,371).
Non jury trials - 70.3 percent convicted (663 out of 943).

4.3.3 Rate of Dismissal

Felonies
Guilty pleas - 73 percent (11,886 out of 16,226 criminal dispositions)
Dismissals - 1,652
Trials - 2,314
Acquittals - 609
Not guilty - 373
Guilty verdicts - 1,705

*Mr. Riddle said he would send annual report.
See Felony Case Processing Report - Cross City Comparisons by K. Brosi (INSLAW) includes LA.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

User satisfaction varies, some attorneys use the system, some do not. Training and orientation is a problem.

One assistant director (Linn) complains that one system is not cost effective - it imposes a great burden on the clerical staff and is not worth it. When they were sold on the system, they had no idea and were not told how much of a burden it would be to feed in the data. She says PROMIS statistics are not reliable. She says they were over sold. Error lists "drove clerical people nuts." She doesn't believe PROMIS counts the right things; the manual statistics are more reliable; e.g. mistrials and motions are important. She doesn't like the format of the PROMIS reports. She and another D.A. did a study and recommended PROMIS be abandoned but were overridden by D.A. himself for his own reasons.

Another prosecution management person (Seiler) makes extensive use of the statistics generated by PROMIS to recommend changes in office policy and resource allocations. Also, effects of different procedures used are evaluated.

Larry Donohue uses PROMIS as a tool in preparing cases. He investigates defense witnesses and looks for other cases pending for defendant.

Judges are reportedly not interested in PROMIS outputs.

The press office, in DA's office, likes PROMIS as a public information tool.

A major problem is data entry - clerical vs. legal load; training is needed due to high turnover of personnel.

Satisfaction rating - 5

5.2 Duplication of Effort

There is redundant data collection by police, prosecutor, courts, etc.

The prosecutor questions that he can trust other agencies' data collection.

Redundant statistical compilations are made; some users do not trust PROMIS.

5.3 Use of Outputs

Printed PROMIS outputs are not used. On-line inquiries have been useful.

5.4 State-of-the-Art

This is not a current state-of-the-art implementation. FASTER and PROMIS II are over ten years old.

The DA and county are re-evaluating LA needs and are looking to mini-PROMIS and DBMS capabilities.

5.5 Assessment of Prosecutors' Information System

Data quality at intake is rated as eight (8).
Data quality at update is rated as seven (7).
(It is least accurate in probation.)

Superior court has no automated capability. The prosecutor controls this system, but applies it only to felonies. PROMIS data was found to be more reliable than court data, although some prosecutors think the court calendars are better.

LA emphasizes the management information features of PROMIS. The management types feel that statistics are essential in policy development.

Downtime has been a problem.

5.6 System Transferability

PROMIS II is written entirely in ANS COBOL, it is well documented and has proven to be transferable.

On the other hand, the LA implementation is outmoded. The only interesting items for transfer are the generalized inquiry capabilities. Possibly some of the applications of PROMIS in investigation are also interesting conceptually.

5.7 Influences of the System

Changes in personnel have hindered system development and implementation: L. Donohue left in January, 1978; L. Morrison, in early 1979.

The shift in felony filing procedures has resulted in more felonies filed as misdemeanors.

Proposition 13 slowed down the development of enhancements.

5.8 Need for Technical Assistance

LA has gotten much technical assistance from INSLAW.

Site Visit Report

Oakland, CA A13

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

District Attorney
1225 Fallon
Oakland, CA 94612

1.2 System Title and Brief Description

Criminal Oriented Records Production Unified System (CORPUS) - A system that tracks adult criminals through the arrest and prosecution process in Alameda County, with access to the system being provided to 28 county criminal justice agencies via on-line terminals.

1.3 Primary Site Contact

Dan George
CORPUS Project Manager
(415)874-6651

1.4 Dates of Visit

Dates of the visit were June 18-19, 1979.

1.5 Survey Team Members

Michael Shea
Jerry Hogg

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other System Discussed

Although CORPUS provides the district attorney with direct support via on-line terminals and with batch reports, the DA has developed a dedicated management information system called DALITE (District Attorney Legal Information System). See Attachment 2 for additional information about DALITE.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Alameda County, California is the area served by this office.

2.2 Population Served

The population of this area is approximately 1,100,000.

2.3 Names of Courts

The superior court handles felony cases. Six (6) municipal courts try misdemeanor cases.

2.4 Number of Judges

Approximately 19 judges try felony cases; approximately 17 judges try misdemeanors.

2.5 Number of Prosecuting Attorneys

Approximately 120 attorneys are assigned to this office: Ninety (90) of these attorneys are line prosecutors; the other thirty (30) attorneys work in various administrative positions.

2.6 Caseload

Caseload data was provided in response to the mail survey. The response indicated that information was immediately available only for the first three quarters of 1978:

- Felony cases accepted for prosecution - 8,797; and
- Misdemeanor cases accepted for prosecution - 41,230.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Cost of development was, reportedly (Directory of Criminal Justice Information Systems), $500,000.

3.1.2 Source of Funds

Developmental funds were provided by Alameda County.

3.1.3 Means of Development

The basic system was transferred from Santa Clara County (see site visit report for San Jose), but extensive modifications have been made and interface programs had to be written to permit processing using the Alameda County "home-grown" teleprocessing monitor called FRED.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

CORPUS became operational in November 1973. By July 1974, all participating agencies had on-line access to the system.

3.2.2 Operational Cost

The total annual cost of operating CORPUS is approximately $1,000.000.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

Three CPU's are used to process CORPUS data: One IBM 370/158 is used for on-line (teleprocessing) functions; two IBM 370/155 computers are used to perform batch processing.

3.3.2 Input/Output Devices

Input/output devices include between 140-150 video display devices used in an on-line mode, and high speed printers for production of batch reports.

3.3.3 Cost of Hardware

The CPU's and some peripheral equipment have been purchased (a purchase price was not available). Approximately $113,000 (of the $1,000,000 annual cost) goes for lease of equipment and communication costs.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL.

3.4.2 Operating System

IBM OS/VSI is the operating system used in processing CORPUS.

3.4.3 Data Base Management System

FRED, a locally produced system, is used as the teleprocessing monitor and performs some basic DBMS functions; FRED is to be replaced with CICS.

3.4.4 Response Time

During observations of the system, screen were displayed in 3-5 seconds; a ten second delay was about the maximum observed.

3.5 Personnel

3.5.1 System Management

The Alameda County Committee on Criminal Justice and Data Processing is charged with responsibilities for CORPUS which include its definition, content, policy matters, and procedures. The committee is composed of the district attorney, the sheriff, the county clerk/recorder, the presiding judge of the superior court, two municipal court judges, two chiefs of police, two municipal court/clerk administrators, the public defender, the chief probation officer, the superior court administrator, five public members, and a member of the board of supervisors.

3.5.2 System Operation

A project group, within the county ADP facility, is responsible for direct management and operation of CORPUS. The group has 17 positions:

- Project director;
- Project manager;
- Project staff, with five positions -- two liaison officers, one training officer, a secretary, and a clerk; and
- Three support units, consisting of a total of 10 programmers.

3.6 System Control

The Alameda County ADP organization has direct control of CORPUS.

3.7 System Security

3.7.1 Physical Security

Only assigned ADP personnel are authorized in the ADP facility. Terminals located in the various agencies are rendered inoperative whenever assigned personnel are absent by automatic deactivation during non-business hours or with a key-operated lock.

3.7.2 Protection of Computer Files

Software controls the terminal's ability to access or change information based on the authorizations for the agency concerned.

3.8 Mode of Operation

Data input and inquiries are accomplished in an on-line mode; output reports are produced mainly in a batch mode.

3.9 System Users

The following agencies are system users; all agencies have on-line access to CORPUS:

- Courts-superior and six municipal courts;
- District attorney;
- Public defender;

- Law enforcement - sheriff and police departments; and
- Probation department.

3.10 System Goals

CORPUS regulations define objectives of the system as:

- Improving the day-to-day operation of the criminal justice system in Alameda County; and
- Furnishing long-range planning support through modern data processing technology.

3.11 Current Applications

3.11.1 Capabilities

The system is capable of providing on-line displays for data entry and in response to inquiries. It also generates various output reports in a batch processing mode.

3.11.2 Outputs Supporting Office Operations

A variety of outputs, many of which can be obtained in either printed or visual (displayed on terminal) form, are available to users. These include:

- Criminal history - RAP sheets;
- Booking lists;
- Calendars and schedules;

- Case assignments, by court and by prosecutor;
- Dockets; and
- Defendant lists.

3.11.3 Outputs Supporting Management Functions

Management types of outputs include:

- Counts of cases filed, by month, by type of case, by department;
- Future workload, by court department; and
- Summary of future hearings.

3.11.4 Files

Initial input data is stored on disk files. Each evening, disks are dumped on tape files. These tape files are then compared to the previous day's data to identify significant actions.

Files contain:

- Booking information;
- Court records;
- Persons associated with the case;
- Custody records; and
- Criminal history records.

3.12 Data Input Control and System Operations

System users input their own data via on-line terminals located in their own areas. These inputs include such items as:

- Arrest and booking data - entered by the police
- Determinations are entered by the DA, and charges may be added;
- Public defender assigned to the case, entered by public defender's office; and
- Trial dates, court events and dispositions- entered by the court clerk's office.

Control of input data; that is, allowing only authorized offices (terminals) to update specific records, is accomplished via the software; file protection in this manner is exercised down to the fields within records.

3.13 Availability of Statistical Data

Data needed to perform statistical analysis and to generate statistical reports are captured by the system; however, little processing of a statistical nature is presently accomplished.

3.14 Interface with Other Systems

CORPUS is one of several components which make up a countywide automated information system. The total system is

called the Alameda County Criminal Justice Information System (ALCO-CJIS). As a component of this system, CORPUS interfaces with the Management Information System (MIS) which provides outputs for planning and management based on CORPUS information. Although not directly linked to CORPUS, terminals are available to various agencies for access to PIN (Police Information Network), CLETS (California Law Enforcement Telecommunications System) and NCIH.

3.15 System Benefits

Benefits of the system include:

- Rapid retrieval of criminal histories (RAP sheets) -- a police officer on the street can ask the dispatcher to check CORPUS for prior arrests on a suspect, for example;
- Reduction to manual records -- in one agency, the comment was made that without CORPUS the room would be full of file cabinets;
- Reduction of clerical work -- through the automatic generation of booking packets, schedules, dockets, minutes, and subpoenas, for example; and
- Reduction in investigation workload -- investigators now use CORPUS to retrieve information rather than resorting to manual records.

3.16 Future Applications

3.16.1 Planned

There was no indication given of new applications being planned. One major output, being programmed at the

present time, is the generation of a mag tape file of dispositions which will be used as a report vehicle in lieu of a manually prepared report for submission to the State.

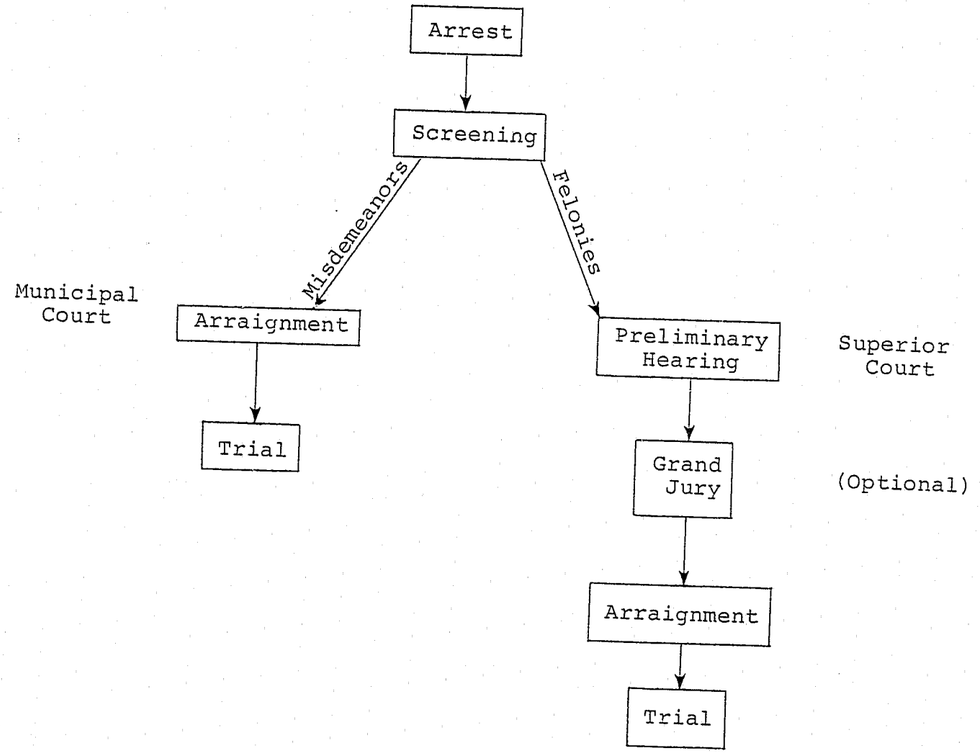
3.16.2 Applications Desired by Prosecutor

The prosecutor's office is in the process of implementing DALITE (see Attachment 2) and did not indicate desire for additional outputs from CORPUS.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated by the following flowchart.



4.2 Characteristics of the Process

4.2.1 Screening Policies

No special screening policies were indicated.

4.2.2 Special Assignment Policies

Special assignments are made for the following types of cases:

- Career criminal;
- Drugs; and
- Major fraud.

4.2.3 Calendar Control

The "master calendar" control system is used for both felonies and misdemeanors.

4.3 Judicial Performance Measures

Data to measure various aspects of the system have been captured by CORPUS. At the present time, only tabulations of cases (by department and by reason on calendar) are produced as statistical outputs for use in managing caseflow.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

A high degree of satisfaction was expressed by all CORPUS users interviewed. Particular note was made of the following comments:

- CORPUS provides an aid to identify suspects and their criminal histories, which has enhanced the career criminal program. There is now about a two to three percent error in the recording of court events, which has been achieved through the current training effects. (These comments were made by the deputy district attorney.)
- In one police agency, it was indicated that 11 more people would be needed to handle the administrative workload without CORPUS. Investigators, who now use CORPUS rather than manual records, were surprised that the error rate is so low.

  Satisfaction rating - 8

5.2 Duplication of Effort

It was reported that the Oakland Police Department still uses manual booking procedures and then enters the data into CORPUS to satisfy the needs of the other users. These procedures obviously represent a duplication of recording data.

No other areas of duplication were noted with regard to CORPUS; implementation of DALITE, however, does represent some degree of duplication (see Attachment 2).

5.3 Use of Outputs

Outputs, both visual displays and batch reports, appear to satisfy user needs for daily operations. The users who were observed operating the terminals had no difficulty in obtaining desired displays or printed outputs.

5.4 State-of-the-Art

The hardware and software appear to represent state-of-the-art; the locally developed teleprocessing system (FRED) was not examined because FRED is to be replaced with the IBM CICS.

5.5 Assessment of Prosecutors' Information System

The scope of this system extends beyond the realm of a prosecutor's system and is considered to have excellent concepts relevant to addressing the needs of the overall criminal justice community. The system has the capability to respond quickly to user's daily operational needs; the staffing by ADP technicians indicates a capability for reasonable response to requests for new applications, but this aspect of response was not specifically determined. Additional management type reports (statistics) could be generated.

5.6 System Transferability

CORPUS concepts could be transferred to a jurisdiction that is interested in developing a system for the entire criminal justice community. The software is not considered

transferable because the teleprocessing software currently employed is not in common usage.

5.7 Influences of the System

CORPUS has creater greater cooperation among the members of the Alameda County criminal justice community; and it has caused the standardization of procedures (all police departments now use the same "consolidated arrest report," for example).

5.8 Need for Technical Assistance

Alameda County used in-house personnel to transfer and revise the Santa Clara system. The revisions completed and additional developmental work accomplished indicates that technical assistance is not required in the ADP area.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

Dan George, CORPUS Project Manager, (415) 874-6602

Don Ingraham, Deputy District Attorney, (415) 874-6565

Bill Cleman, Assistant Prosecutor

Mike Scanlon, Public Defender's Office, (415) 874-7931

Bill Cook, Records Section Director, Hayward Police Department, (415) 881-7038

C. J. Moret, Chief, Criminal Division, Clerk's Office, Oakland Piedmont Municipal Court, (415) 874-5884

Peggy Hunter, CORPUS Input Section, Alameda County Superior Court, (415) 847-5044

Yvonne Ayres, DALITE Programmer/Operator, District Attorney's Office, (415) 874-6565

ATTACHMENT 2

OTHER SYSTEM DISCUSSED
DALITE (District Attorney's Legal Information System)

The Alameda County District Attorney operates a prosecutor-dedicated system called DALITE. Information relevant to this system was provided in response to the mail survey and during a visit to the office in conjunction with the CORPUS survey.

DALITE was started in October 1974 using Singer hardware. Development of the system was funded by NDAA and LEAA; developmental work was accomplished by contractor and in-house personnel. The original system operated for almost four years, until the demise of Singer. Efforts were then initiated to convert DALITE to a different hardware system; a HP 3000 mini-computer was selected. At the time of the site visit, the conversion was considered almost complete. The total developmental cost is reported to be $250,000 plus $15,000 for one-half a year of project management costs. It is estimated that monthly operating costs will be about $2,500, including telecommunications.

DALITE was developed as a felony management system. Conversion to new hardware also included a redesign of case management, reflecting experience gained from the original system and California's revised sentencing laws, and a research recovery component.

The research recovery component involves a "felony case weight analysis." Input for this analysis is provided

that is completed by prosecutors at screening. Entry requirements call for the prosecutor to identify the principal offense and subordinate offenses, determine "fixed term ranges" for each and then compute the "base term" and "total fixed term" (the total number of months that could make up a sentence). Items are also checked on this form to reflect "case weight," "win probability," and "estimated trial time."

A second form entitled "Felony Charge Set/Post-PX" is then prepared by the prosecutor which includes the entry of data derived from the "Felony Case Weight Analysis" form.

Court events are recorded by the prosecutor on a form called "Superior Court Activity Sheet."

All forms are sent to the DALITE computer area for entry of data into the system by the two persons who operate and program the DALITE system.

At the present time, five of six DA branches have terminals for on-line inquiry to DALITE. Outputs include management data relevant to attorney workload, case status and research and analysis reports.

Indications were made that CORPUS was developed to support daily operations of the criminal justice system while DALITE was implemented as a prosecutor's felony management information system.

On the surface, it appears that CORPUS could be used to satisfy the prosecutor's requirements; several reasons, however, were given to the utilization of DALITE rather than CORPUS:

- Confidentiality -- The prosecutor desires to maintain complete control of "sensitive information;"
- Time factors -- CORPUS data is not as up-to-date as desired by the prosecutor; and
- Accuracy -- Too frequently, information regarding court events, as entered into CORPUS by the courts, does not coincide with the information held by the prosecuting attorney.

Site Visit Report
San Bernardino, CA A27

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

San Bernardino County District Attorney
316 N. Mountain View Avenue
San Bernardino, CA 92415
(714) 383-2022

1.2 System Title and Brief Description

The Automated Court Information System (ACI) is an on-line, interactive, operationally-based civil and criminal courts' information system. Data is entered principally by the court clerk's office with access provided to the public defender, prosecutor, sheriff, probation department and judges. The system runs under IMS in a county controlled IBM 370-168 environment.

1.3 Primary Site Contact

Thomas H. Hudson, Manager
Automated Court Information System
Courthouse
San Bernardino, CA 92415
(714) 383-3404, 383-3405

1.4 Dates of Visit

Dates of the visit were June 19-20, 1979.

1.5 Survey Team Members

Judith Robinson
Sidney H. Brounstein

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other System Discussed

See Attachment 2.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

ACIS serves San Bernardino County, which with 20,160 square miles, is the largest county in the nation.

2.2 Population Served

Approximately 700,000 people live on less than 30 percent of the land; the remainder is largely desert.

2.3 Names of Courts

San Bernardino County

Superior Courts - (All have ACIS access)

- Ontario District
- Victorville District
- Central District

Municipal Courts

- Fontana*
- Rancho Cucomanga
- Ontario*
- Chino
- Barstow*
- 29 Palms/Morongo Basin
- Victorville*
- Redlands
- Yucaipa
- Central*

*Indicates courts with ACIS access.

Justice of the Peace Courts

- Needles
- Corona
- Mission
- Big Bear
- Coulton
- 29 Palms/Morongo Basin .

(All are in the private residence/office of the justice; these courts are gradually being eliminated.)

2.4 Number of Judges

Superior Courts: 23
Municipal Courts: 14
Justice of Peace: 6
Traffic Commissioners: 2

2.5 Number of Prosecuting Attorneys

Approximately sixty full-time assistants staff the 10 branch offices of the district attorney.

2.6 Caseload

Approximate 1978 data indicates 5,000 felonies and 20,000 misdemeanors were filed.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

The county received a $730,000 grant which allocated $646,000 to design and programming of the criminal system and $84,000 for the civil system.

3.1.2 Source of Funds

Ninety percent (90%) of the $730,000 was provided by the Law Enforcement Assistance Administration with five percent from the county and state.

3.1.3 Means of Development

Both the civil and criminal ACIS components were developed by system manager Thomas H. Hudson and Application Development Systems, Inc. (ADS) technical staff. ADS retained a private consultant, Joe Jordon, to advise them on design of the criminal system. Participation of ADS ceased with the operation of the civil system; however they are bid as sole source contractor for the civil and criminal courts management information system package and the juvenile court ACIS.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The criminal ACIS system was operational in October, 1977; the civil component has been up since October, 1978. See Attachment 3 for chronology.

3.2.2 Operational Cost

Total monthly ACIS cost is approximately $10,000. Since October 1, 1978 this expense has been completely borne by the county.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/168 is shared with other county agencies and maintained by the county data processing department.

3.3.2 Input/Output Devices

Thirty-five terminals and twenty-five printers support ACIS and are distributed throughout the users' offices.

3.3.3 Cost of Hardware

The mainframe is owned by the county and the peripheral equipment is leased. Lease costs are as follows: Thirty-five terminals (primarily Memorex-1377 but including a few IBM's) at $65.00/month; twenty-five printers: IBM 3286 "slow printer" at $117/month and Memorex Model lineprinter at $405/month.

3.4 Software

3.4.1 Programming Language

The IBM 370/178 uses ANS COBOL application programs.

3.4.2 Operating System

IBM's OS is used for ACIS.

3.4.3 Data Base Management System

The IBM developed Information Management System (IMS) is used by ACIS.

3.4.4 Response Time

ACIS averages a four second response.

3.5 Personnel

Currently one part-time county programmer is sufficient to handle the ACIS program.

3.6 System Control

All hardware (excluding printers and terminals) supporting ACIS are located in the county data processing facility.

3.7 System Security

3.7.1 Physical Security

Access to the county data processing facility is restricted to authorized personnel; the building is protected by alarm systems.

3.7.2 Protection of Files

With the exception of witnesses, the database consists of public records and presents no security problems. Only Hudson and Johnson (of ADS) are authorized to delete entries. The district attorney and public defender enter their own witness lists and cannot raise each other's lists. The clerks' terminals cannot access witness lists.

3.8 Mode of Operation

ACIS uses on-line inquiry with batch entry through the XL 40 terminals. All data is entered by the staff of the clerk's office (except for witnesses which are added by the prosecutor and public defender). Training sessions were conducted for the clerk's staff; no additional staff was hired solely for ACIS implementation.

3.9 System Users

Access to ACIS has been extended to the following offices: district attorney; sheriff; public defender; probation office; judiciary (superior and municipal courts); clerk's office (civil and criminal divisions); court administration.

3.10 System Goals

ACIS had a number of goals. Several have been met successfully and several remain to be attained. The goals which have been accomplished include controlling scheduling and logistical problems, maintaining clerical staff at a constant level despite increasing caseload, reduction of space and equipment costs and the generation of court calendars and other operational outputs. Yet to be implemented are a management information system, automatic witness notification procedure and development of a civil trial readiness list that includes case-age and pleading information.

3.11 Current Applications

3.11.1 Capabilities

ACIS has a great variety of civil and criminal case applications consonant with any table-driven, register-of-actions system. Functions can be broadly characterized as calendaring, indexing and name identification.

3.11.2 Outputs Supporting Office Operations

The following outputs are available from ACIS in civil matters:

- Case Filing Index Register of Actions
  - Requests for notices/letters to attorneys;
  - Superior courts calendars*;
  - Municipal courts calendars*;
  - Minute-order labels*; and
  - Print any ACIS table*.

  Civil index*, includes all cases filed and can be requested at intervals of year-to-date, weekly, daily, as of today. Cases entered appear on this index within one nano second of their entry. This feature has been operational since July 1979.

- Criminal Case Output Includes:
  - Case filing index;
  - Register of actions*;
  - Case summary report;

*Indicated data available on-line as well as in batch mode.

  - Superior courts calendar*;
  - Municipal courts calendars* (on-line access is available; batch production access overnight);
  - Subpoena print register;
  - Law enforcement witness list (sent to all police agencies in lieu of subpoenas to individual police officers);
  - Print any ACIS table*;
  - Probation referral report*;
  - Case activity reports*; (both are also available on-line);
  - Minute-order labels; and
  - Appearance frequency report (duration and frequency for each type of court activity e.g., arrangements, sentencing, motion hearings -- records how court time is apportioned by minutes and percentages).

- Attorney Appearance List - (Includes all defense attorneys with each case and future court dates for each case);

- Offender Information Reports including:
  - Number of felony defendants entering system;
  - Number pleading guilty;
  - Number tried;
  - Number dismissed; and
  - Number convicted, in prison, on probation, fined; and number of defendants at each stage of the process and percentage that represents the whole.

- Monthly ACIS users, problem/enhancement reporting system includes suggestions for improvements and frequency of problems which are then rectified on priority basis. Also reports amount of time required for corrections.

*Indicated data available on-line as well as in batch mode

3.11.3 Outputs Supporting Management Functions

Many of the above listed outputs are also useful in managerial decisionmaking. A grant application for a management information system has been pending with LEAA since the spring of 1979.

3.11.4 Files

Data elements are organized according to names, cause number, date, and action codes.

3.12 Data Input Control and System Operations

All data (except for witnesses) is public record and is entered by the staff of the clerk's office on their terminals. Criminal cases appear on the system from arraignment onward. Arrest information is therefore not on the system, since ACIS records only court activity and arraignment is the defendant's first court appearance. Source documents for data entry are the pleadings filed in either civil or criminal cases.

3.13 Availability of Statistical Data

The California Judicial Council has required monthly submission of caseload data for some time. Information collected includes cases filed by type, dispositions, jury trials, settlement conferences and appeals.

3.14 Interface With Other Systems

ACIS interfaces with the city's Traffic Citation System (TCS) and a program to access the sheriffs Central Name Index (CNI) exists. TCS data is entered by the San Bernardino Police Department and can be simultaneously entered into both the TCS and ACIS data bases. Once the case is entered to the ACIS database and court appearances are scheduled, the TCS screen indicates by a "flag" that the case is in court. The CNI interface is not operational due to the sheriff's concern with security, specifically, arrests not followed by prosecution. According to Hudson, this concern is unwarrented because no exchange of data would occur until the defendant has been arraigned; therefore merely arrest data would never be on ACIS.

3.15 System Benefits

In addition to greatly improved file organizations in the clerk's office, ACIS has had a significant impact on case backlog and personnel costs. According to Hudson, in 1975 the central district criminal court's clerk's office employed 6-7 full-time and 5-6 part-time workers (and was constantly "borrowing" more) just to copy with the new caseload; nevertheless, a thirteen month backlog posting dispositions and closing cases existed. Currently three full-time (and no part-time) workers handle an increased caseload and no backlog exists.

The original feasibility study predicted the only savings that could be anticipated would be in personnel costs and that appears to have been accurate.

There continues to be a problem of employee attrition (approximately 25 percent annually) in the clerk's office. The

county has consistently refused to increase the starting salary for clerks from $500/month. Despite the staff's increasingly technical data entry responsibilities, they are still classified as "clerical" with few changes in salary or skill upgrading.

3.16 Future Applications

3.16.1 Planned

Grant applications remain pending to finance extension of ACIS to the juvenile courts and to implement a civil and criminal MIS. There delays have caused serious concern among users who desire the information MIS reports would supply. An additional output, the civil trial readiness list, is expected to be operational in the near future.

3.16.2 Applications Desired by Prosecutor

While acknowledging the usefulness of the calendars, and subpoena register, the prosecutor is anxious to receive MIS reports. The desire to obtain management reports has lead him to investigate PROMIS and minicomputers, but he has taken no active steps in that direction hoping that duplication can be avoided. The delays in the MIS grant application are naturally a source of frustration. The investigators within his office are the most frequent users of ACIS's inquiry capabilities; they use the name index to look for connections between participants in sending as well as closed cases.

4. JUDICIAL PROCESS

4.1 Caseflow

See Attachment 3.

4.2 Characteristics of the Process

4.2.1 Screening Policies

Screening receives serious emphasis with experienced prosecutors handling this responsibility.

4.2.2 Special Assignment Policies

Specialized units include career criminal, juvenile, non-support, organized crime and consumer fraud.

4.2.3 Calendar Control

Vertical prosecution is encouraged on felonies; a "master calendar" is used for both felonies and misdemeanors.

4.3 Judicial Performance Measures

Reliable data on these factors is not available.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Except for the frustration generated by the lack of MIS capabilities, all users were highly satisfied with the system.

Satisfactory rating - 8

5.2 Duplication of Effort

For a time during implementation the manual system was maintained. There is no duplication of effort now.

5.3 Use of Outputs

All outputs are regarded as completely reliable and are used daily.

5.4 State-of-the-Art

This system is consistent with the current state-of-the art both in data processing and court recordkeeping. The data base management system is well implemented with good response time and reliable data processing. A nucleus for evolutionary development of additional applications exists. There is little or no operator intervention.

5.5 Assessment of Prosecutors' Information System

The system is court oriented and permits case and defendant tracking. There is little MIS capability at present, i.e., analyses of case delay, disposition and performance statistics. However, there is useful data being collected on duration and frequency of various court proceedings which can be very useful in resource requirements studies.

5.6 System Transferability

ACIS was specifically designed to be compatible with other equipment and to be adaptable to other applications. The system is well documented and the software appears to be well designed. Use of an interface control program facilitates transfer of ACIS since only one module would need to be programmed. Hudson estimates ten days' work would be required for this reprogramming. Currently several counties are investigating implementation of ACIS.

5.7 Influences of the System

The presiding judges in both the superior and municipal courts were highly influential in ensuring the success of ACIS. Judge Williams, who had requested the ACIS grant in 1973, remained as Project Director throughout its implementation and had the professional and political stature to ensure county funds would be allocated. Judge Krumm in the municipal courts had a similar influence on both his colleagues and the community and obtained the unanimous consent of all municipal court judges. The district attorney was also supportive and all concurred that

it was best for the clerk to run the system as their record-keeping was statutorily mandated; if the responsibility for data entry were given to any other office (e.g., the prosecutor) and that official decided to cease data input, the system would fail. They all knew the clerk would always have to keep court records.

5.8 Need for Technical Assistance

The district attorney's office could benefit from technical assistance on the best method of tying into ACIS or obtaining MIS capacity.

ATTACHMENT 1

SITE PERSONNAL CONTACTED

Thomas H. Hudson, Manager
Automated Court Information System (ACIS)
(714) 383-3404, 383-3405

James R. Johnson, Vice-President
Application Development Systems, Inc.
1894 Commercenter West
San Bernardino, CA 92408
(714) 889-0226

James M. Cramer, District Attorney
San Bernardino County
316 N. Mountain View Ave.
San Bernardino, CA 92415
(714) 383-2022

Rex Victor, Assistant District Attorney
San Bernardino County
(714) 383-2022

Kay Skawienski
Office of the Public Defender
364 N. Mountain View Avenue
San Bernardino, CA 92415
(714) 383-2816

Debra A. Haskins, Data Processing Coordinator
San Bernardino County Clerk
Courthouse
San Bernardino, CA 92415
(714)

Jesse Pointer, Data Processing Coordinator
San Bernardino Municipal Courts
Courthouse
San Bernardino, CA 92415
(714)

ATTACHMENT 2

OTHER SYSTEMS

The Organized Crime Analysis Program (OCAP) was designed by ADS for the district attorney's office and has been operational since January 1979. The system was established to organize the extensive evidentiary elements (e.g., money orders, deeds, land transaction records, financial information, pyramid ownership, etc.) common to organized crime schemes. OCAPS can select relevant information and analysis interrelationships in a short turnaround time and produce both a computerized index to investigative reports and documents and a chart showing links and relationships between people, property and entities (e.g. "dummy corporations").

ATTACHMENT 3

SAN BERNARDINO CHRONOLOGY

1973 - Grant application filed with Judge Williams, Presiding Judge of the superior courts as Project Director.

August 1974 - Senior program analyst hired; designing of criminal system begins.

October 1975 - Criminal system design completed.

May 1976 - Application development systems awarded contract; writing of criminal programs begins.

January 1977 - Criminal system on-line in superior courts' central division. Branch courts clerks' staff training begins.

October 1977 - ACIS operational in clerk's office at all superior courts' locations.

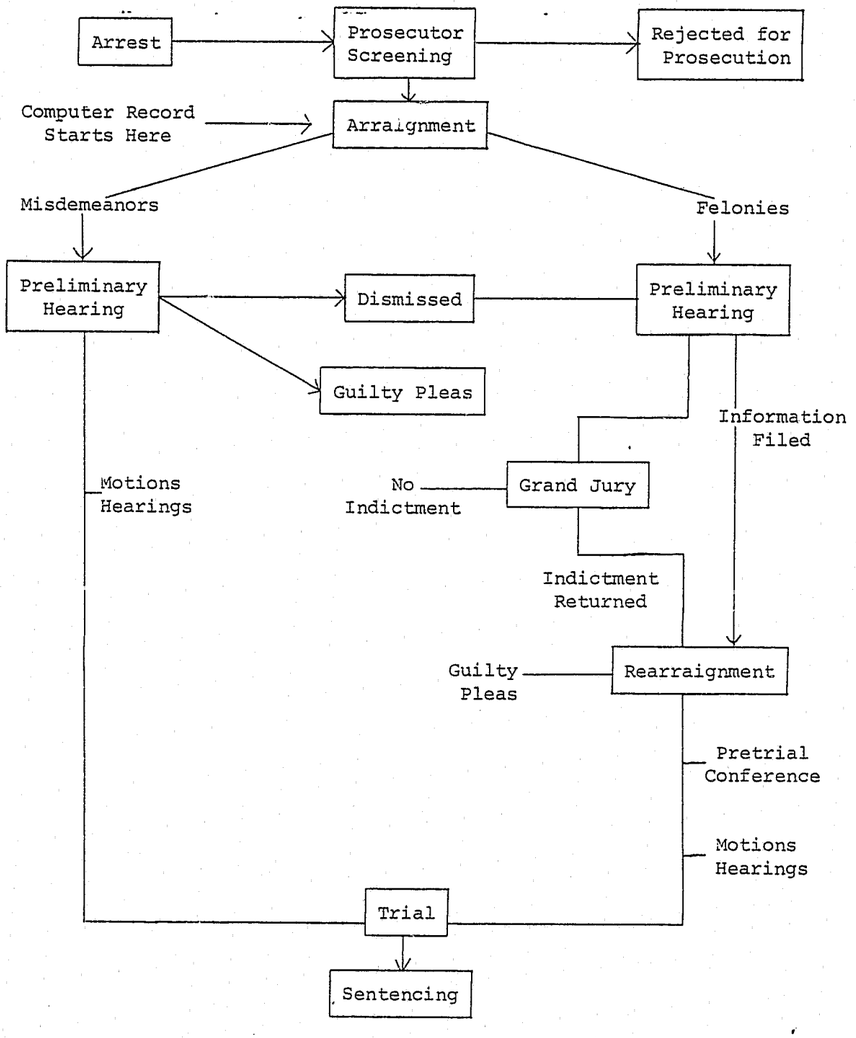
April 1978 - Civil system design completed.

October 1978 - Civil system operational; totally county financed.

July 1979 - Application Development Systems, Inc. contract expires.

ATTACHMENT 4

CASEFLOW



Site Visit Report
San Jose, CA A35

CONTINUED

1 OF 6

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

District Attorney
Santa Clara County
San Jose, CA 95110

1.2 System Title and Brief Description

Criminal Justice Information Center (CJIC) - a "subject-in-process" system that integrates data from criminal justice agencies throughout the county via terminals that feature on-line input, inquiry and outputs by both video display devices and printers located in the user's area.

1.3 Primary Site Contact

Ray W. Rule
Management Analyst
County of Santa Clara
(408) 299-4399

1.4 Dates of Visit

The dates of the visit were June 20-21, 1979.

1.5 Survey Team Member

Jerry W. Hogg

1.6 Site Personnel Contacted

Robert Webb, Assistant Prosecutor, (408) 275-9651

Jim Hagen, System Manager

Ray Rule, Management Analyst, County Executive Office, (408) 299-4311

Joel Berger, Sheriff's Office (408) 299-3894

Alice Wheatly, Municipal Court

Pete Kiefer, Superior Court

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Santa Clara County is the area served by this office.

2.2 Population Served

The population served by this office is approximately 1,200,000.

2.3 Names of Courts

Superior court, which handles felonies, and five municipal courts (Palo Alto, San Jose, Santa Clara, Sunnyvale, and West Valley), which handle misdemeanors, are the courts in which prosecutors try adult criminal cases.

2.4 Number of Judges

Twelve (12) judges try felony cases; twenty-five (25) judges try misdemeanors.

2.5 Number of Prosecuting Attorneys

Approximately ninety (90) assistant prosecutors are assigned to this office.

2.6 Caseload

The caseload for this office includes approximately 7,500 felonies and 36,700 misdemeanors that are screened on an annual basis. Approximately 6,000 felonies and 29,200 misdemeanors are accepted for prosecution.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

A specific cost for development of the system has not been determined. During the site survey, it was stated that approximately $800,000 of LEAA funds were used for development of the system. Review of various reports and briefing charts indicate different development costs:

- A December, 1978 report[1] states that $650,000 was received from LEAA in 1970-71 to develop the system. If matching funds were provided by the county, then developmental funds for that 70-71 period would amount to $1,300,000;[2]
- Briefing charts indicate that design costs for 1970-71 totaled $515,000 with additional developmental costs of $1,000,000 during 1971-72 and $479,345 during 1972-73 for a grand total of $1,994,345;[3]
- Another report states that the development costs of CJIC approached $4.5 million.[4]

For the purpose of our analysis we will use the figure determined during the previous study - $4.5 million.

3.1.2 Means of Development

The system was developed by the county General Services Administration Data Processing Department.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system was considered operational in January, 1972.

3.2.2 Operational Cost

During the site survey, a figure of $100,000 a month was cited as the operational cost of the system (or $1,200,000 a year for computer and peripheral hardware). Operational costs reported in a 1976 SRI report shows a "total cost" of $1,395,200 for the period of 1974-75.[2] The other report states that $2,042,260 was budgeted for the county in F4 78-79, which included $968,480 for the computer/hardware and $1,072,780 for the cost of personnel, and an additional $70,000 for hardware cost to the cities, bringing the total F4 78-79 budget to approximately $2,112,260.[1]

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

Two IBM 370/158's are used to process data for this system.

3.3.2 Input/Output Devices

Approximately 100 terminals are currently used in support of this system. During the 1974-75 period, it is reported that 89 terminals and 43 printers were being used.[2]

3.3.3 Cost of Hardware

In FY 78-79, $1,038,480 was budgeted for hardware cost, which included costs estimated for the cities as well as the county. During the site survey, it was indicated that the CPU was purchased; however, the various reports that have been reviewed do not reflect a "purchase price" for the computer.

3.4 Software

3.4.1 Programming Language

COBOL is used to program the CJIC system.

3.4.2 Operating System

The IBM OS/VS operation system is used.

3.4.3 Data Base Management System

There is no data base management system.

3.4.4 Response Time

Response time is approximately 10-15 seconds on the average.

3.5 Personnel

Two staff members perform management functions:

- One individual within the executive office of the county government serves as administrative coordinator; and
- One individual within the general services administration - data processing division (GSA-DP) serves as system manager for technical operations.

Four other staff members within GSA-DP perform programming tasks for the criminal justice agencies involved in the system. Approximately half of their time is devoted to developing new programs and the rest of their time is used for program maintenance.

3.6 System Control

Control of the data processing facility is maintained by county's general services administration - data processing division.

Management control is exercised by a committee comprised of user representatives, along with members of GSA-DP providing technical input. The top level segment of this committee is called the Policy Committee and is comprised of senior representatives from the user agencies who meet on a quarterly basis. A management team, along with various subcommittees, is made up of second-level managers of the user agencies (see

Attachment 1). The management committee meets on a monthly basis and deals with problems as they occur and also plan for long-range system improvements.

3.7 System Security

3.7.1 Physical Security

Access to the computer facility is controlled by a badge system; visitors must be under escort of authorized personnel. Terminal facilities observed were also maintained in secure areas where only authorized personnel are permitted without an escort.

3.7.2 Protection of Computer Files

Terminals are permitted access to only specific files according to their location; control is maintained by computer program which allows data retrieval and/or updating of specific records based on the authorization for the terminal. Additional security is provided by a "badge reader" which is a small device attached to the terminal which requires the insertion of a card, similar to a credit card, in order for the terminal to function.

3.8 Mode of Operation

The CJIC systems is operated in primarily an on-line mode with users entering and retrieving data via terminals and printers located in their individual areas. Data entry is performed on-line, by operators calling for specific "screens"

that display the format for the record to be entered or updated from a set of 60-70 on-line computer programs; data is keyed into the system using the terminal keyboard.

The system appears to be complex and no on-line operator aids are available; comments at the municipal court CJIC facility indicated that it takes six months to completely train a terminal operator.

It was interesting to note that two outputs (calendars and dockets) that are normally generated in a batch mode at other sites are produced on-line by use of remote printers located in the user's area.

3.9 System Users

Users of the system include:

- Superior court;
- Municipal courts;
- District attorney;
- Sheriff's office;
- Police departments;
- Adult probation;
- Pre-trial release program;
- Welfare fraud unit;
- Social services division; and
- Crime lab.

The primary users of the system, listed above, have access to CJIC via on-line terminals. At the present time, municipal courts produce schedules for the public defenders.

It was also of interest to note that the district attorney's office does not update records; data relating to case status is entered by the courts.

3.10 System Goals

Ten goals for CJIC were established by the Santa Clara County Board of Supervisors in 1969.[1] The system was to:

- Be an integrated intergovernmental information system;
- Support criminal justice planning;
- Use or maintain modern administrative techniques;
- Establish and maintain effective relations among criminal justice agencies;
- Provide improved management skills and techniques;
- Support related criminal justice projects that require or share CJIC data;
- Support daily criminal justice operations;
- Use modern data-processing technology;
- Promote system transferability; and
- Safeguard security and privacy.

In the evaluation conducted by SRI in late 1975, the conclusion was drawn "that CJIC is now achieving, at least to some extent, all of its ten objectives. However, all but one objective, employment of modern data processing techniques, have the potential for further development."[2] This report stresses the differences in users' philosophies and expectations wherein some users are satisfied with the system because it has met user needs based on user expectations; in other cases, the user considers the system a hindrance because user needs (based on expectations) are not being met.

It is interesting to note that, based on the SRI evaluation, T.R. Lyman reports that the clear achievement of the goal to "establish and maintain effective relations among criminal justice agencies" can be viewed as the standout performance of the system.[4]

3.11 Current Applications

3.11.1 Capabilities

The on-line features of this system appear to provide excellent capabilities to the users. Inquiries can be made to six different files (see paragraph 3.11.4, below) and outputs needed on a timely basis can be generated by individual users via remote printers located in the user's office area.

3.11.2 Outputs Supporting Office Operations

- Court calendars/dockets;
- Prosecutors schedules;
- Booking packets;
- Public defender referral lists;
- Booking and release lists;
- Arrest and disposition reports;
- Criminal history (RAP sheets); and
- Status of defendant-via on-line displays.

3.11.3 Outputs Supporting Management Functions

Workload reports support management functions.

3.11.4 Files

The system contains six files:

- Event file ("subject in process"), contains approximately 2 million records;
- Person file ("RAP sheet"), also contains about 2 million records
- Alphabetic person index (with aliases);
- Custody file (subset of event file, includes names of all persons in county jails);
- Report file (transactions for proceeding three months); and
- Cross reference file (pointer to location of each individuals records within the system).

3.12 Data Input Control and Operational Procedures

- Booking information is entered on-line by the police.
- Arraignment calendar is prepared manually by the district attorney.
- Docket numbers are assigned by the courts and, along with trial dates noted on the DA's arraignment calendar, entered on-line via terminals located in court administrative areas.
- Results of court events are entered on-line by the court terminal operators.

3.13 Availability of Statistical Data

The Arrest and Disposition Report appears to be the primary statistical output, which is generated to satisfy State

requirements. Since all court events are recorded and relevant data entered into the CJIC system, various other statistical reports could be generated.

3.14 Interface with Other Systems

- Police Information Network (PIN), CPU to CPU; and
- Sheriff's Law Enforcement Teletype System (SLETS) via separate terminals.

3.15 System Benefits

General benefits of the CJIC system have been reported as[1]:

- Provides speedy and efficient processing of subjects through the criminal justice system;
- Provides accurate, relevant and timely data to all users;
- Provides reliable and responsive service to users; and
- Facilitates the sharing of information among users.

Specific measures of success cannot be made without data reflecting the speed and accuracy of case/defendant processing prior to the implementation of CJIC; indications are that such data are not available for pre-CJIC operations. System reliability is also difficult to measure without an in-depth analysis. Some users interviewed during the site visit indicated that they are satisfied with the quality of data, but the response to the mail questionnaire indicates that data quality is below

average; system operations (which can be measured in terms of downtime appears to rate very high with an average of only 2 percent downtime.)

Specific benefits accrue from the ability of the system to manipulate the data and generate printed reports, notices and schedules through automated techniques, thus reducing the clerical burden to accomplish such tasks. Workload data, using both manual and automated methods, would be needed to measure this benefit.

3.16 Future Applications

3.16.1 Planned

It is planned to generate warrants from the "non-arrest" entries.

3.16.2 Applications Desired by Prosecutor

No specific applications were identified, but the comment was made that "management needs" have to be identified and more computer programming time should be devoted to the development of management reports.

3.17 Operational Procedures

Use of badge readers for security purposes has not been observed at any other site. As a security check, an Access Report is generated daily for the GSA-DP system manager who

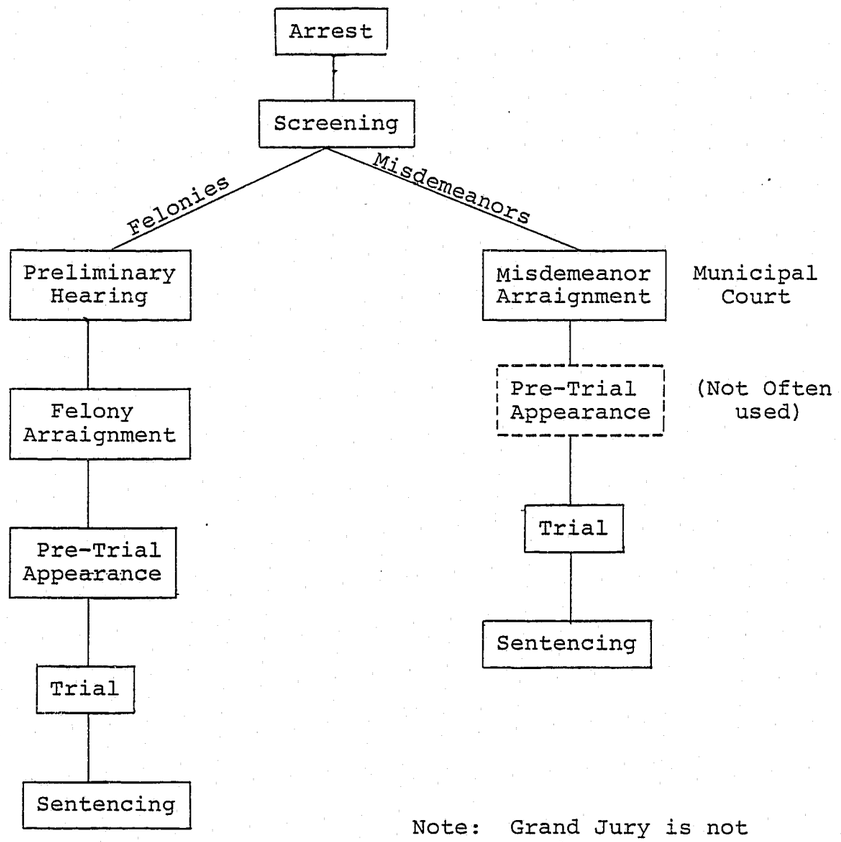
checks the report for unauthorized use of the system. No real breach of security was disclosed to the investigator; however, the effectiveness of the system was indicated by one incident where a police officer attempted to use his badge (card) on a terminal that was not authorized to accept his card; entry to the system was denied and the resultant report provided the information necessary to conduct a rapid investigation of the incident.

It appears that CJIC is used extensively: The municipal court surveyed indicated that approximately 500 cases are processed daily and that between 1100-1200 cases are processed daily on a countywide basis; terminals are operated 12 hours a day with approximately 90,000 inquiries made each month at the one municipal court; 555,000 inquiries were made during the month of May 19, 1979 by all agencies.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



Note: Grand Jury is not used.

4.2 Characteristics of the Process

4.2.1 Screening Policies

No special provisions have been made for screening; all prosecutors perform screening of cases assigned to them individually.

4.2.2 Special Assignment Policies

Special assignments are made for cases that fall into the following categories:

- Career criminal;
- Homicide;
- Rape; and
- Consumer fraud.

4.2.3 Calendar Control

All cases are assigned on a "master calendar" basis. Initial appearances are scheduled by the district attorney's office at the time that the complaint is prepared. Subsequent appearances are set by the courts.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time

	Felonies	Misdemeanors
Arrest to filing	48 hours	24 hours
Arrest to trial verdict	90 days	90 days
Arrest to guilty plea	90 days	21 days

4.3.2 Conviction Rates

Data not available.

4.3.3 Rates of Dismissal

Data not reported.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Users interviewed appear to be satisfied with the quality of data although the response to the questionnaire rated data quality below average. The large number of system inquiries (555,000 in one month, countywide) indicates some degree of satisfaction.

The large quantity of terminals connected to the system provide easy accessibility.

The heavy caseload (1,100-1,200 cases a day countywide) requires heavy usage of the system for the data entry operations. It appears that clerical personnel perform all the functions of data preparation and data entry, ergo, there is no burden on the users, per se.

Satisfaction rating - 8

5.2 Duplication of Effort

The only duplication noted was in the superior court where a manual backup system is in use.

5.3 Use of Outputs

Outputs in use during the survey appeared to satisfy most of the requirements for daily operations; warrants, for example, could be produced by the system and this particular

application is to be implemented. Additional outputs to support management functions could be generated, but specific requirements have not as yet been defined by the prosecutor's office.

5.4 State-of-the-Art

The equipment and processing methods represent state-of-the-art techniques.

5.5 Assessment of Prosecutors' Information System

CJIC, being an integrated system serving all criminal justice agencies within the county, has the potential for excellent support to prosecutor management functions. At present it appears that the system has a high degree of usage at the court level with the prosecutor having a much lower usage; development of management applications would increase usage by the prosecutor (it should be noted that the system was designed primarily as a "subject in process system", but improving management skills and techniques was stated as a system objective).

5.6 System Transferability

This system was transferred to Alameda County, California, but a great deal of modifications were required primarily because of differences in the teleprocessing monitors. Since the initial transfer, modifications have continued to be made to the Alameda County version, which is called CORPUS (see site visit report for Oakland, CA).

CJIC applications are of general interest and should be useful to most jurisdictions; they are written in COBOL and are well documented.

Transfer of concepts and various aspects of CJIC design have reportedly been made to San Mateo and Orange Counties. SRI predicted that transfer of concepts and design would probably continue, but transfer of the entire system (such as attempted with Alameda County) would be highly unlikely.

5.7 Influences of the System

CJIC has greatly influenced the cooperation among the criminal justice agencies in Santa Clara County; it is reported that the CJIC Policy Committee represents the only forum within the criminal justice community and has generated greater cooperation in areas other than CJIC.

Funding of the system has been a problem, mainly because of Proposition 13. In the past, each county user budgeted for its share of CJIC and was charged for its share of system usage. Now, the County Executive Office handles the entire CJIC funding in one special appropriation budget.

5.8 Need for Technical Assistance

Santa Clara County has elected to use ADP personnel assigned to their General Services Administration Data Processing Department to satisfy the technical needs of the county users. It appears that the only limiting factor in this approach is the availability of funds, which would also be a limitation for any other source of technical assistance. Areas requiring technical

assistance (development of management reports, for example) have been identified and it is a matter of devoting resources to satisfy the requirements.

REFERENCES

1. Michael Meyers, CJIC: A Look at a Local Criminal Justice Computer System, December 13, 1978.

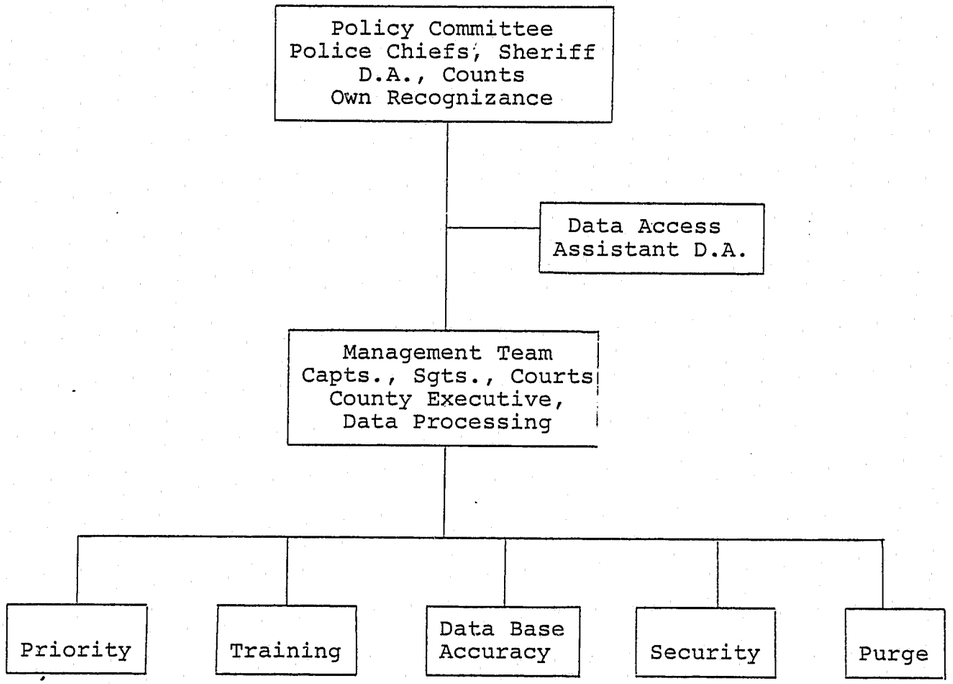
2. Stanford Research Institute (SRI), CJIC - A System Evaluation, January, 1976.

3. Briefing charts, Criminal Justice Information Control, A Criminal Justice Information System in Santa Clara County, no date.

4. Theodore R. Lyman, Performance Evaluation of a Criminal Justice Information System: A Transferable Methodology, extracted from Urban Systems, Vol. 2, pp. 63-73, Pergamore Press, 1977.

ATTACHMENT 1

MANAGEMENT ORGANIZATION FOR CJIC, SANTA CLARA COUNTY, CA



Site Visit Report

Santa Ana, CA A24

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Orange County District Attorney
Courthouse
Santa Ana, CA 92702

1.2 System Title and Prief Description

Superior court/county clerk (Super/CC) is a table driven on-line civil case management information system. It is teleprocessing oriented and has sophisticated case scheduling, legal editing and logistical control capabilities.

1.3 Primary Site Contact

Truman T. Legg, Senior Systems Analyst
Superior Court Project
Orange County Courthouse
Santa Ana, CA 92702

1.4 Dates of Visit

The dates of the visit were June 18-19, 1979.

1.5 Survey Team Members

Sidney L. Brounstein
Judith S. Robinson

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other System Discussed

See Attachment 2.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Area served is Orange County, California.

2.2 Population Served

Population served is approximately 1.8 million.

2.3 Names of Courts

2.3.1 Orange County Superior Courts

Probate Division (1 judge)
Civil Division (10 judges)
Criminal Division (11 judges, plus 5 civil judges)
hear criminal matters as needed)

2.3.2 Orange County Municipal Courts

Harbor District (Newport Beach)
South District (Laguna Niguel)
West District (Westminster)
Central District (Santa Ana)
North District (Fullerton)

In addition, there are approximately 44 full-time associate municipal court judges and 10 traffic commissioners distributed throughout the municipal courts. Alan Slater,

Assistant Court Administrator, estimates that at least 10 superior court judges should be added to deal with the present caseload.

2.4 Number of Judges

Superior Court:

Civil - 16 judges
Criminal - 11 judges

Municipal Courts: 49 judges

2.5 Number of Prosecuting Attorneys

There are 127 deputy prosecutors assigned to courts throughout the county. Size of assistant district attorney staffs at the municipal courts range from 4 to 14.

2.6 Caseload - 1978

Felonies screened:	8065
Felony charges:	3800
Misdemeanor charges (after arrest for felony):	4265
Misdemeanors filed:	61,248

According to Walter Germond of the district attorney's office, the criminal caseload has not increased faster than the population.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Total design and development costs of Super/CC were $876,000.

3.1.2 Source of Funds

LEAA provided 90 percent (approximately $788,400), and the county and State supplied 10 percent (or approximately $87,600) of the development funds.

3.1.3 Means of Development

System design and application programming has been the main responsibility of Computer Science Corporation (CSC) under a data processing facilities management contract. Truman Legg, the senior systems analyst hired by the clerk's office, has been principally involved in tailoring the system to the user's requirements.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

Super/CC became operational during November, 1978. See Attachment 3 for chronology.

3.2.2 Operational Cost

According to Legg, the cost runs from $10,000 - $15,000 depending upon the number of transactions.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

Super/CC runs on dual Univac 1110 central processing units and an X-Mark minicomputer. Core capacity is 327,000.

3.3.2 Input/Output Devices

Included are the following:

Centronix printers	3
Printronix printer	1
Shugart disc drivers	3
Ontel X-Mark Smart "masters:	3
Ontel "slaves"	13

The Ontel peripherals are run from an Ontel X-Mark 2001 microcomputer.

3.3.3 Cost of Hardware

Equipment was purchased by the county and CSC through Howard Dix, county data services contract administrator. Exact costs were not available.

3.4 Software

3.4.1 Programming Language

The X-Mark microcomputer uses BTL and the Univac 1110 uses COBOL.

3.4.2 Operating System

Univac EXEC-8 is the operating system.

3.4.3 Data Base Management System

DMS 1100 is the data base management system. The estimated response time for on-line transactions is 1.6 seconds; terminal update and inquiry is estimated at 17 seconds.

3.5 Personnel

At present the Super/CC staff consists of Truman Legg, who is assisted by another systems analyst, three (3) data entry people and several temporary entry people as the budget permits. CSC currently has one maintenance analyst assigned to Super/CC.

3.6 System Control

Operational control of the mainframe rests with Computer Sciences Corporation (CSC) personnel at the county data processing facility located within the county government complex.

Data are entered into the X-Mark from unsecured terminals in the clerk's office.

3.7 System Security

The data processing facility is secured and includes a 24 hour guard. Computer files contain only public records. Legg is the only person able to delete data. Updating can be accomplished only with use of the data entry person's initials. There are no passwords and no physical protection of the terminals.

3.8 Mode of Operation

The system includes batch updating (store and forward on the X-Mark 2001) and on-line inquiry. The Super/CC system is designed to automate the clerk's office - civil division and eventually (a grant application is pending) to provide management reports. Since November 1978, new cases have been entered on the system as filed.

Due to a shortage of data entry personnel in the office, approximately 30,000 old cases have not been added to the system. Eventually all of the clerk's counter personnel will be trained to enter data. The system automatically edits pleadings for

legal errors (e.g., papers filed out of order or before deadlines have passed) and administrative errors (e.g., case cannot be closed until all fees are paid). Word processing edits (e.g., spelling errors) are also performed.

3.9 System Users

The clerk's office is the principal beneficiary of the system; calendars are used by judges, attorneys and court administrators.

3.10 System Goals

The system goals include:

- Reducing court delay by providing conflict-free case scheduling and tracking capabilities;
- Providing automated analytical and statistical information for improved management of court resources;
- Providing accurate and timely reports to the California Judicial Council; and
- Automating recordkeeping.

3.11 Current Applications

3.11.1 Capabilities

Presently the system generates calendars for all of the superior courts - civil division. It also prepares

statistical reports on the types and number of cases adjudicated. On-line inquiry capacity is limited to cases on the database making the addition of pre-November 1978 cases imperative.

3.11.2 Outputs Supporting Office Operations

Daily court calendars, status conference calendars, pre-printed minute sheets and notices are produced regularly.

3.11.3 Outputs Supporting Management Functions

Statistical reports on types and volume of civil caseload are the principal output at present.

3.11.4 Files

The database is organized into areas with access by order of filing and includes:

1. Case area
   - Parties
   - Documents
   - Proceedings
   - Other
2. Calendar area
   - Dates
   - Court events
3. On-line transactions area
4. Attorney area
   - Plaintiff
   - Defendant
   - Bar registration numbers

5. Table area

A register of actions is also maintained

3.12 Data Input Control and System Operations

Off-line batch input via key-to-disk is accomplished between 10 p.m. and 8 a.m. Thirty-nine (39) video screens are available for updating and inquiries and perform extensive prompting, editing and validity checking functions. Five thousand daily transactions are expected with an average of 75 percent transaction.

3.13 Availability of Statistical Data

The Judicial Council of California has required reports on caseloads and dispositions for both civil and criminal courts and prior to Super/CC, these reports have been compiled manually from the clerk's records. The district attorney's office has not kept statistics other than case results by individual assistants.

3.14 Interface with Other Systems

There is no interface with other systems.

3.15 Systems Benefits

The system is presently in an embryonic stage; as envisioned by Legg (and if funded by the county) it offers the only realistic tool for dealing with an expanding caseload. The county is apparently unwilling to increase the clerk's staff to anything approaching the proportionate caseload increase. See Section 3.10.

3.16 Future Applications

3.16.1 Planned

The county has been approved by the State planning agency for an $84,000 grant from LEAA to enhance Super/CC to generate management reports, additional calendars and to do the "formatting" to add the felony caseload. According to Legg, the one-year grant would permit hiring 6-8 more data entry people. The county must come up with five percent of the cost; Legg, Slater and the DA are hopeful that funds will be appropriated.

3.16.2 Applications Desired by Prosecutor

The district attorney's chief request is for an information system for misdemeanors, which constitute the bulk of their caseload. They need on-line inquiry capacity on cases pending in all of the municipal courts by defendant. The office has no automation at all; filing especially is a haphazard non-system. They would like a central name index on defendants encompassing all municipal courts as well as the superior courts. Subpoenas and complaints for all courts are prepared

manually. Automatically generated calendars for every court they are required to staff would be a significant management aid. Legg noted no one from the DA's office has been assigned to work on the felony system although he does converse with Bill Morrison.

3.17 Operational Procedures

(See diagram at Attachment 5.)

4. JUDICIAL PROCESS

4.1 Caseflow

Standard court procedures (arrest, screening, filing and prosecution). See chart in Attachment 6.

4.2 Characteristics of the Process

4.2.1 Screening Policies

Experienced prosecutors handle the felony and misdemeanor screening duties. Office policy is to file as felonies only cases that can be "proven" in court. Therefore felony arrests are frequently filed as misdemeanors. Screening is conducted at each of the DA's branch offices (housed with the area superior courts). Either an indictment or information can be used to commence a felony prosecution.

4.2.2 Special Assignment Policies

The district attorney's office has staff assigned to several specialty units including career criminal, fraud, grand jury, training, extradition, writs and appeals, juvenile and civil.

4.2.3 Calendar Control

In the superior court's criminal division, the presiding judge conducts all arraignments and assigns cases to courtrooms based on the sitting judge's backlog, duration of trial, type of case and other caseload management factors. An individual calendar is subsequently used in each of the criminal courtrooms.

The municipal courts use a "master calendar" system to handle the variety of matters within their jurisdiction; e.g., traffic arraignments, misdemeanor arraignments, small claims trials, misdemeanor trials, etc.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time (from Questionnaire)

The California Judicial Council collects statistical information on conviction rates, processing time, dismissal rates and numerous other parameters. However, the results are not available to the counties for as much as one year after their collection. In addition, according to Slater, the frequent statutory changes in the criminal code make year-to-year comparisons inaccurate.

The district attorney's office maintains manual records on conviction rates by assistant DA's but relies on the State statistics for other information (including number of cases rejected and filed).

According to the DA's representatives, the following durations are typical:

Arrest to filing:	Three days
Arrest to preliminary hearing:	Two weeks
Arrest to trial (felonies):	184 days

4.3.2 Conviction Rates

The DA's representatives estimate 64 percent of misdemeanors filed result in conviction.

4.3.3 Rates of Dismissal

Approximately 12 percent of felony charges are dismissed.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

The assistant court administrator reported the superior court judges are very pleased with the calendars produced and are looking forward to additional outputs. The clerk's office staff is also eager to get the system fully operational to diminish the amount of manual recordkeeping.

Deputy District Attorney Germond noted the system looks good for civil cases and he only hopes something can be done soon on the criminal side.

Satisfaction rating - 8

5.2 Duplication of Effort

There is none; new filings are entered on-line by terminals in the clerk's office.

5.3 Use of Outputs

All of the outputs available are used daily by the judges, clerks, attorneys and public.

5.4 State-of-the-Art

The legal editing and case scheduling features of Super/CC contribute to the sophistication of this civil case management system. Following an in-depth analysis, an independent consultant characterized Super/CC as efficient, well modularized and flexible.

5.5 Assessment of Prosecutors' Information System

No automated prosecutors' MIS exists in Orange County.

5.6 System Transferability

The system is adequately documented, highly modularized and amenable to transfer at concept, design and application program module levels. According to Legg, officials of Dade County, Florida, are considering transfer.

5.7 Influences of the System

Proposition 13 and the memory of the OASIS failure (see Attachment 5) couple with a very conservative political climate to make implementation of the full Super/CC some years off. In addition, the data processing facilities management contract with CSC expires in October 1979 and renewal is not necessarily a foregone conclusion. If a new company receives the contract, substantial lag time in the full implementation of Super/CC could be expected.

5.8 Need for Technical Assistance

The district attorney's office needs technical assistance to plan for and use any MIS. They do not anticipate adopting PROMIS, feeling it is felony oriented: their main problem is managing the misdemeanor caseload. They may need guidance to decide whether to go their own way or wait until the criminal version of Super/CC is evolved.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

Truman T. Legg, Senior Systems Analyst, (714) 834-6621

Alan Slater, Assistant Court Administrator, (714) 834-3266

Walter F. Germond, Deputy District Attorney, (714) 834-3600

William J. Morrison, Administrative Services Officer, District Attorney's Office, (714) 834-2702

Don McClure, Manager, Systems and Programming, Computer Sciences Corporation, (714) 834-2713

Keith L. Concannon, Director, Orange County Criminal Justice Council (714) 834-3284

Ross F. Penne, Center Director, Computer Sciences Corporation, (714) 834-2702

ATTACHMENT 2

OTHER SYSTEMS

The Municipal Courts' Automated Processing/Warrant Service (MCAPS) began in 1968-1969 as a traffic ticket processing system operating in all (5) of the municipal courts. According to Slater, the system had many problems which were substantially rectified by 1972 when automated warrant control was added. Apparently there had been a severe problem of police serving inactive and recalled traffic arrest warrants (including civil suits and false arrest). Since 1974-1975 all police agencies have had on-line access to central traffic warrant control via their radios.

While expansion to misdemeanor case processing and warrant control has always been anticipated, it has not occurred. There is presently no automated system addressing the misdemeanor caseload.

MCAPS does not interface with any other system. The district attorney had no easier access than the public generally, i.e., assistant district attorneys must check the terminals at each of the five district municipal courts to compile a traffic violators' "rap sheet."

Concannon pointed out that had MCAPS not been implemented even in its presently limited form, the county would have needed a minimum of 100 additional clerks to handle the traffic caseload.

The first two phases of OASIS were automated jail processing and the traffic ticket system. The latter evolved into MCAPS described above. The automated jail system was operational for approximately two years ending June 15, 1979 when Sheriff Brad Gates "pulled the plug." According to Concannon of the Criminal Justice Council, the sheriff had wanted his "own" computer all along and used the downtime problems and failure to implement the OASIS (a SIP concept) to justify terminating the jail component. Slater noted the sheriff had recently requested additional personnel to run the automated booking terminals in the jail and the Board of Supervisors rejected his request. Why additional personnel were thought necessary to do automated booking was not explained by Slater. Perhaps the sheriff was purposely setting up another "reversal" to build his case for terminating. Legg noted it might not have been cost justified to continue the jail program without the entire SIP/OASIS system. The sheriff is now reportedly interested in a minicomputer...Slater noted the sheriff is presently 100 people below staff due to the effects of Proposition 13.

ATTACHMENT 3

ORANGE COUNTY CHRONOLOGY

1968	- MCAPS traffic ticket processing began in municipal courts.
1972	- Traffic warrant control capacity added to MCAPS.
	- County data processing department abolished; Computer Sciences Corporation (CSC) awarded seven (7) year data processing facilities management contract.
1974	- Initial LEAA funds awarded for OASIS and Super/CC
Early 1978	- Super/CC data entry began
May 1978	- Board of Supervisors halts OASIS
November 1978	- Super/CC begins adding cases to database to counter terminals; two (2) data entry people hired.
June 15, 1979	- Sheriff halts automated jail booking system
Summer 1979	- California Criminal Justice Planning Agency approves $84,000 grant for enhancements to Super/CC and addition of felony data base. LEAA approval pending. Planned start date October 79 for one-year program.

ATTACHMENT 4

HISTORY AND BACKGROUND

Government Structure

Orange County is part of the Los Angeles metropolitan area and has a population of approximately 1.8 million. County government consists of a five (5) person Board of Supervisors who hire a county administrator to manage all county departments and agencies. The county clerk is elected but except for immediate administrative aides, the staff is civil service. The county clerk functions exclusively for the superior courts which include civil, criminal, probate and domestic relations divisions. The superior court administrator and staff is appointed by the presiding judge. The position of "presiding judge" rotates to another superior court judge every six (6) months but practice has been to serve two consecutive times.

California law authorizes a municipal court for every 40,000 people but Orange County has only five (5) municipal courts. Each municipal court judge is elected and then appoints full-time associate judges. All 49 judges serve full-time and exercise traffic, misdemeanor, felony (preliminary matters only) and small claims jurisdiction. There is no presiding municipal court judge in Orange County (although one is statutorily authorized; each judge operates his/her own court autonomously appointing a clerk-court administrator (CCA) and marshalls. The clerk-court administrators have generally outlasted the judges in tenure and keep the operation running while judges come and go. Nevertheless the CCA functions solely at the direction of the judge is not connected in any

way with the other municipal court CCA's or with the superior courts' court administration staff. The "local rules" of court procedure differ in each of the five courts and, according to Concannon, confuse police, attorneys and the public. The only significant "advance" in recent years has been the adoption of a standard bail schedule for traffic and misdemeanor offenses.

The district attorney maintains branch offices with 4 to 14 assistant district attorneys and support staff at each municipal court site. The incumbent district attorney, Cecil Hicks, is beginning his third 4-year term and was chairman of the OASIS steering committee.

Data Processing

Prior to 1972, Orange County maintained a data processing department staffed by county employees. In 1972 the results of a board of supervisors' decision, ordering a 5-year data processing needs projection (done by Arthur Andersen and Company) were released. Some board members attacked the report alleging it had not considered all available options and had favored the county DP department. The Andersen Report was rejected and its principal opponent, Ralph Diederick, a prominent member of the county board (presently serving a prison sentence for activities stemming from his county government duties) convened his own "Blue Ribbon Commission" which wrote a request for proposals and thereafter received several bids for a county data processing facilities management contract. Principal bidders were EDS, the county DP department and Computer Sciences Corporation (CSC). According to Legg, there was a wide discrepancy in the bids of EDS and CSC with CSC receiving a (7) year contract to staff and operate the county DP facility (apparently

the county DP department was never seriously in the running). CSC chose the hardware picking two (2) Univac 1110's although many management people favored IBM equipment. According to Legg the subsequent criminal investigation of board member Diederick revealed some evidence of irregularities in the awarding of the contract to CSC and in the joint purchase of the Univacs.

CSC has a fixed price contract with an inflation clause pegged to the cost of living. Legg noted CSC's philosophy seems to be "keep it cheap" which frustrates his attempts to get more out of the Super/CC system. Basically Legg is not satisfied with CSC's performance. Not only does Legg continue to do all the "front-end programming" but he noted every slight variation in a task seems to precipitate disagreement on the scope of the contractual provisions.

CSC has similar data processing facilities management contracts with the Torrance, California and Cleveland, Ohio Police Departments and with Pierce County (Tacoma) Washington for "local government operations". Penne of CSC noted their DP facilities management contracts are usually for 5-7 years and the present contract with Orange County expires in October 1979. According to Slater, CSC's landing the Orange County contract was a major selling point in attracting other government business. Slater expects CSC's contract will be renewed.

OASIS

The history of OASIS is a fiasco in which many political figures and government entities played a part. As

planned, OASIS had several components:

1. On-line processing of traffic and criminal complaints in the municipal, superior and juvenile courts;
2. A "subject-in-process" (SIP) tracking system from arrest to sentencing (which would require the cooperation of the sheriff, DA, clerks and judges); and
3. Automated warrant processing for all courts.

According to Slater, the assistant court administrator since 1972, OASIS was to be modeled on the proposed Los Angeles system of an integrated horizontal, defendent tracking system (which itself never materialized). Funded by LEAA in 1974 at 3.5 million, the development and design was done by CSC and, according to Penne and Culver, of CSC, was 60-70 percent completed and the database partially implemented in 1978 when the project was scrapped by the board of supervisors.

The reasons given for halting OASIS are numerous. Orange County traditionally is conservative, both fiscally and politically. Proposition 13 has halted expansion of existing programs and in some cases precluded replacing employees lost through ordinary attrition. After Proposition 13, all of the entities involved in OASIS became even more protective of their budgets, personnel and responsibilities. Long term solutions to difficult problems such as court congestion were rejected when they entailed an unfamiliar medium (like computers) and new appropriations. Basically the county is attempting to get more work out of fewer employees battling an increasing caseload. Especially with civil litigation they are losing the battle.

The municipal court's misdemeanor processing was to be Phase III in the OASIS implementation. Unopposed to OASIS from its inception in 1974, two (2) municipal court judges became radically opposed when their proportionate share was allocated to their court budget (despite the fact they had signed off on all preceding steps). Apparently only when it was Federal money or general county funds was it acceptable. They also argued they wouldn't get any benefit from OASIS. A third municipal court judge was noncommittal and the last two were strong proponents of OASIS; but it was 3-2 within the municipal courts. The municipal court clerks - court administrators were generally opposed, viewing OASIS as an encroachment of their territory, an affront to their authority and a diversion of their staff for entering data not used exclusively by their court.

The district attorney strongly supported OASIS but in May of 1978 when the county had to pick up the implementation costs (LEAA having funded 95 percent of design and development) two (2) members of the board of supervisors were under indictment. Some sources suggested that this factor may have increased the board's relish for quashing OASIS. All of these factors contributed to the board's vote not to fund implementation of OASIS in the municipal courts.

No attempt to implement OASIS in the superior courts was made at that time. Estimates of the amount spent on OASIS range from 2 to 3.5 million. Postmortems on OASIS have included comments that the problem was that no one individual was given the authority to make decisions; none of the potential users would relinquish any control to a central decision maker. The municipal court judges couldn't agree among themselves on court procedures and were almost permanently angry at the DA, whose assistants kept running for municipal judgeships. Absence of a presiding municipal court judge created a leadership vacuum.

The various offices (DA, clerk, sheriff) didn't trust the data entered by another office and resented having to enter data they personally wouldn't need to use (e.g., the DA entering next of kin of a defendant for the sheriff's record).

The DA's personnel noted "the more people involved, the more disasters" and Slater felt the most successful systems were developed by the courts with other agencies added later. CSC personnel faulted the rigidity of the municipal court administrators and narrowmindedness of the judges.

ATTACHMENT 5

SYSTEM DIAGRAM

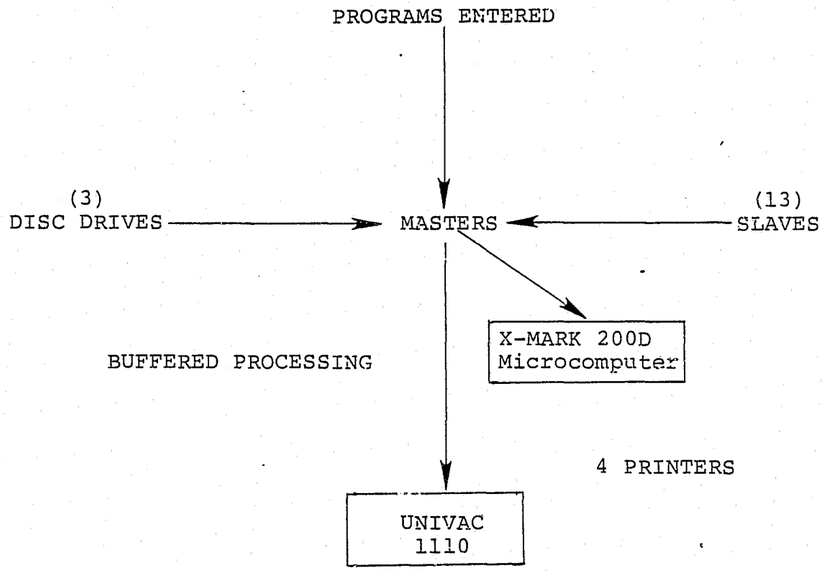
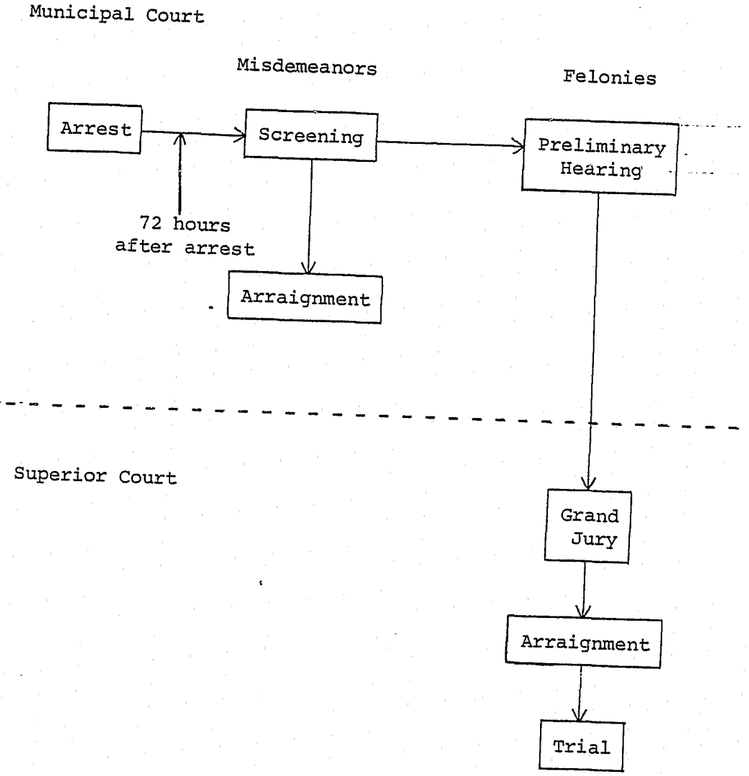


TABLE DRIVEN
COBOL: VERY FLEXIBLE

ATTACHMENT 6

CASEFLOW



Site Visit Report
Washington, D.C. A54

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

U.S. Attorney of the District of Columbia
Washington, D.C.

1.2 System Title and Brief Description

PROMIS II

This is the site of the original PROMIS implementation. It is primarily a batch oriented MIS; with on-line inquiry capabilities.

1.3 Primary Site Contact(s)

Terry Russell, Assistant U.S. Attorney, 724-6145
Sue Ellen Hais, Systems, 724-6065

1.4 Dates of Visit

Dates of visit were January 10, 1979 and April 12, 1979.

1.5 Survey Team Members

Sid Brounstein
Joe Firestone
Jerry Hogg

1.6 Site Personnel Contacted

Terry Russell, Special Assistant

David Hetzel, Chief, Misdemeanors

H. Greene, Chief, Superior Court Division

Joe Valder, Deputy Chief, Grand Jury Unit

John Hume, Chief, Felony Trials

John DePaolis, Assistant U.S. Attorney

Gloria Dellavalle, Chief, Systems

John Middleton, Systems, D.C. Office of CJ Analysis

Sue Ellen Hais, Systems, U.S. Attorney's Office

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Area served is the District of Columbia.

2.2 Population Served

The population of D.C. is about 700,000.

2.3 Names of Courts

The court serving the area is the D.C. Superior Court.

2.4 Number of Judges

Felony - 9
Misdemeanor - 14

2.5 Number of Prosecuting Attorneys

Attorneys in D.C. Superior Court Division - 80:

- Prosecutors in felony trials - 27;
- Prosecutors in ICAS (Individual Case Assignment System) used in misdemeanor section - 15 to 20;
- Prosecutors in Grand Jury Section - 22; and
- Prosecutors in Career Criminial Division - 4.

2.6 Caseload

	Felonies	Misdemeanors
Brought to prosecution	7520	9348
Filed in court	4022	8730
True bill (indicted)	2705	
Guilty pleas	2458	3603
Guilty trial verdict		
Bench	8	266
Jury	431	230
NG trial verdict		
Bench	0	75
Jury	134	169
Dismissals	4810	5202

(Source: PROMIS 1977 Workload Report)

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Development costs were $71,889 (source: INSLAW Cost Study).

3.1.2 Source of Funds

LEAA provided developmental funds.

3.1.3 Means of Development

Original PROMIS was developed by PMM & Co. PROMIS was originally under contract from D.C. Office of Crime Analysis. PROMIS was originally written in PL/1. This system was reprogrammed in COBOL and packaged for transfer by INSLAW under LEAA PROMIS transfer grant.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

Operational date was January, 1971.

3.2.2 Operational Costs

Operational costs were about $200,000 per year (INSLAW) Cost Study, 15 October 1976, $186,137).

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/158 with about 327K core is the central processor. The U.S. Attorney is one user on the D. C. Share System.

3.3.2 Input/Output Devices

Nineteen (19) ITT Courier Terminals (CRT's) are installed in the U.S. Attorney's Office for inquiries. Original data entry accomplished under contract for about $26,000 per year.

3.3.3 Cost of Hardware

As reported in INSLAW Cost Analysis, 15 October 1976, $16,680 is spent for terminals and lines per year, and $15,000 for computer processing per year.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL.

3.4.2 Operating System

OS/VIS FASTER is the operating system.

3.4.3 Response Time

Average time is estimated at about eight seconds (Dave Sullivan - paralegal). Response is estimated to vary from three to over 30 seconds, depending on time of day.

3.5 Personnel

There is a systems manager in the U.S. Attorney's Office assisted by about four data entry clerks.

3.6 System Control

The U.S. Attorney's Office controls all PROMIS data entry. The data processing system is under the control of the city's share computer center. The U.S. Attorney's Office controls the running of PROMIS by submitting batch processing jobs or by inquiring via CRT terminals. INSLAW has assisted in special projects from time to time.

3.7 System Security

3.7.1 Physical Security

The computer center has a security guard.

3.7.2 Protection of Computer Files

Authorized user account codes are used to protect files.

3.8 Mode of Operation

Data entry and update is accomplished in a batch mode; Inquiry via CRT terminals is performed on-line.

3.9 System Users

Assistant U.S. attorneys, superior court personnel, and arresting police officers inquire into the system.

3.10 System Goals

Goals of the system are:

- Improve case scheduling and logistical control;
- Monitor evenhandedness;
- Increase conviction rate;
- Provide research and analysis capability; and
- Reduce court delay.

3.11 Current Applications

3.11.1 Capabilities

System capabilities include:

- Defendant and case tracking;
- Preparation of trial calendars;
- Caseload statistics;
- Research; and
- Inquiries on case and defendant status and management information questions.

3.11.2 Outputs Supporting Office Operations

Outputs for office operations include:

- Court hearing calendars;
- Trial calendars;
- List of cases pending, by prosecutor and judge; and
- Inquiries on case and defendant status.

3.11.3 Outputs Supporting Management Functions

Management type outputs include:

- Statistical reports on caseloads of attorneys and judges;
- Crime-specific statistical analysis of cases and attrition rates; and
- Special research reports.

3.11.4 Files

System files include:

- Defendant records;
- Case header records;
- Charge records;
- Witness records; and
- Case/defendant history records.

3.12 Data Input Control and System Operations

PROMIS has extensive data input edit and validity checking, and prints out daily error lists as part of the batch data entry and update process. Errors are then corrected through special update transactions.

There is at least one PROMIS data entry clerk in each section of the office: intake, assignment, indictment. Disposition clerks do much of the coding.

3.13 Availability of Statistical Data

This site probably has the most extensive set of descriptive statistics of any in the nation, due to the length of time during which PROMIS has been installed and the existence of the PROMIS research project at INSLAW for more than four years.

Data are available on caseload, attrition rates, crime-specific analyses, delay and other performance measures.

3.14 Interface with Other Systems

PROMIS is an independent prosecutor dedicated system, but its terminals can be used for inquiry in to the WALES police system (Washington Area Law Enforcement System).

3.15 System Benefits

An INSLAW cost-benefit analysis dated 15 Oct. 1976 reports the following benefits:

- Reduced police overtime through more efficient witness notification, police calendar management and court calendars;
- Higher plea rates - reduced trial costs;
- Reduced witness fees - avoidance of unnecessary appearances;
- Reduced costs of manual operators; and
- Savings in responding to inquiries.

During interviews with prosecution managers, the benefits of having case backlog listings for each judge and prosecutor were cited. These help keep the backlogs under control through better accountability.

3.16 Future Applications

3.16.1 Plans

Evaluate mini-PROMIS as a possible replacement.

3.16.2 Applications Desired by Prosecutor

Prosecution managers indicate they would like the following types of information:

- Reasons for cases being continued;
- Reasons for cases being dismissed; and
- Performance measures, by Assistant U.S. Attorney.

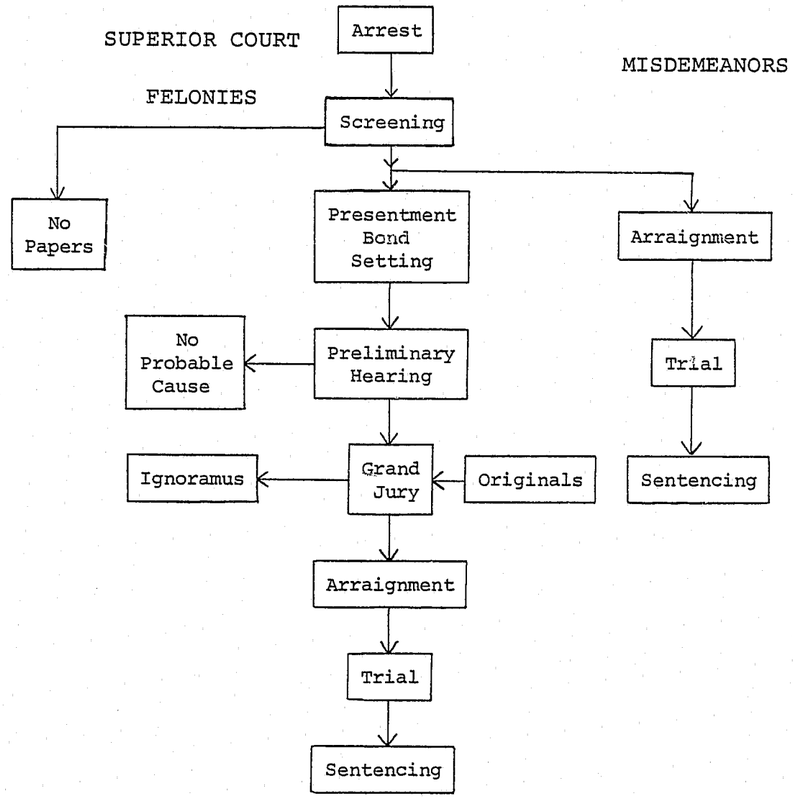
One prosecution manager wants PROMIS to be changed so that it meets the needs of practitioners (not researchers).

The prosecutors would like more cooperation with the court in capturing necessary data and avoiding duplication of effort.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



Source: A Cross-City Comparison of Felony Case Processing, INSLAW, 1979.

4.2 Characteristics of the Process

The D.C. Superior Court is the trial court of general jurisdiction for serious misdemeanors and felonies. Both types of cases are screened by the Superior Court Division of the U.S. Attorney's Office which makes the decision on which charges to file. If felony charges are filed, preliminary hearings are held by a superior court judge who, on a rotation basis, handles all preliminary hearings during a period of time.

This office does careful screening, declining 22 percent of felony cases brought by the police. Another 27 percent are dropped by the prosecutor or judge after filing. Five percent of arrests and 13 percent of cases filed go to trial. There is a relatively high degree of plea bargaining (of charges) and 52 percent of the felony cases filed are disposed of by means of guilty pleas. This high volume office can be classified as one which follows a policy of moderate screening - to accept all cases with consideration of culpability, criminal record and a reasonable likelihood of conviction (accept trial-able cases). There does not seem to be an inordinate concern with speedy case processing and reducing backlogs. Individual prosecutor judgment rather than office policy pressure seems to influence the decision.

The office has various special assignment policies. These include career criminal, white collar, and certain other offenses.

The following are caseload per attorney figures given us by prosecution management:

- Felony 2 - 50 defendants; and
- Felony 1 - 20 defendants.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time

In interviews of prosecutors, the mean time from arrest to indictment was estimated at 45 to 118 days; the goal is to speed up the process to 45-50 days from arrest to indictment.

From INSLAW's report on "A Cross-City Comparison of Felony Processing" the average time (mean) from arrest to post indictment disposition was 224 days.

4.3.2 Conviction Rate

Of cases brought to prosecutor (arrests), 6 percent end in conviction at trial with another 40 percent conviction through plea.

Of felony arrests, 46 percent end in conviction by trial or plea.

Of felony cases filed, 60 percent end in conviction.

4.3.3 Rates of Dismissal

About 22 percent of felony cases brought by police (arrests) are rejected at screening.

About 27 percent of cases (defendants) brought to the prosecutor (arrests) are dropped after filing through Nolle Prosequi or dismissals.

Number of non-procedural continuances is 1.6 per case.

Forty percent (40%) of arrestees enter a plea of guilty.

Of the convictions, 87 percent are obtained through guilty pleas.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

INSLAW reports about 73,000 inquiries are made per year, indicating a fairly wide user acceptance of the value of PROMIS data.

Interviews with prosecution management, line prosecutors and systems personnel in the U.S. Attorney's Office indicate a moderate level of satisfaction. Opinions vary as discussed below.

Ninety percent of the action codes are of no use to prosecutors according to one official. There is general dissatisfaction with the data collection burden. For example, Harry Greene reports that a prosecutor's office should stay on a manual system if it can keep up with the administrative workload; only if absolutely necessary due to volume should it consider automation. Most lawyers consider PROMIS a real burden on a day to day basis (Hume). On the other hand, some prosecution management types have found the case listings for each court and each prosecutor extremely useful in enhancing accountability.

Individual assistant U.S. attorneys express varied reactions to the system. One reports difficulty in knowing exactly what PROMIS is counting. PROMIS is difficult to understand. Pam Stuart reports an unsatisfactory experience with inquiries. PROMIS has been criticized for not recording bail changes (needed to manage the calendar), for not recording motions, fugitiveness, etc.

One prosecution management type reports PROMIS does not help in making screening and dismissal decisions.

Satisfaction rating - 6

5.2 Duplication of Effort

The prosecutors keep their own manual statistics, computing conviction rates, fugitiveness, etc.

The superior court has its own computer system; much of the same data on cases are captured by the court.

5.3 Use of Outputs

Prosecution management uses the caseload listing and disposition statistics, by prosecutor to monitor prosecutor performance.

Individual prosecuting attorneys use the inquiry capabilities for rapid response.

5.4 State-of-the-Art

This is not a current state-of-the-art system. The on-line inquiry system uses IBM's FASTER which is outdated. The batch system is vintage early 1970's.

D.C. is interested in evaluating mini-PROMIS in order to have more control over meeting new programming requirements.

5.5 Assessment of Prosecutors' Information System

PROMIS is used both for misdemeanors and felonies. This office has more experience in using PROMIS than any other, and shows some level of sophistication in making it a useful management tool.

On the other hand, data collection has always been a problem in this office. Prosecutors vary in their motivation to properly record their decisions and reasons; for example, reason codes for decisions were recorded inadequately. As a result, some of the data and research results were suspect. Now clerks attempt to do PROMIS coding by reading the prosecutor's notes.

Prosecutors report a problem in obtaining an understanding of how to make PROMIS work; knowing what it can do. There is a resource problem in making PROMIS work. Prosecution managers report a "tremendous number of man hours needed to update PROMIS."

5.6 System Transferability

PROMIS II was designed for transfer by INSLAW with D.C. as the demonstration site. This system has been widely transferred. It is well documented. The software is thoroughly tested and transferable with limitations on conditions.

5.7 Influences of the System

There was a court reorganization in 1972-73. This office is unique in that it is a Federal agency. There is much pressure to have the District of Columbia take over its own prosecution responsibilities.

The U.S. Attorney resigned in 1979 after more than three years in office.

The presence of INSLAW in Washington, D.C. with its computer system and research support has been a factor.

The recent change in chief judge of the superior court has been very significant in increasing the use of PROMIS management information, particularly in accounting a judge's caseload and changes in backlog.

5.8 Need for Technical Assistance

There does not appear to be any special needs for technical assistance beyond that already provided by INSLAW.

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

State's Attorney
Dade County
1351 N.W. 12th Street
Miami, FL 33125

1.2 System Title and Brief Description

Dade County Criminal Justice Information System (CJIS) - a large scale computerized system that provides on-line inquiry capabilities and batch reports to all agencies within the county criminal justice community. The segment of this system which is of greatest interest to the prosecutor is referred to as the Case Management Information System.

1.3 Primary Site Contact

Steve Levenson
Program Management Analyst
(305) 547-5166

1.4 Dates of Visit

The dates of the visit were March 27-29, 1979.

1.5 Survey Team Members

Sidney Brounstein
Jerry Hogg

1.6 Site Personnel Contacted

Henry N. Adorno, Prosecution Management

Jay Kolosky, Assistant Prosecutor

Steven Levenson, Administrative Assistant, (305) 547-5166

Ed Peabody, Office of Computer Services and Information Systems, (305) 596-8421

Robert Castille, Systems Analyst, Dade County Criminal Justice Council, (305) 547-7788

Bill Stoiloff, Clerk's Office, Dade County Court

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Dade County, Florida is the area served by this office.

2.2 Population Served

The population of this area is approximately 1,400,000.

2.3 Names of Courts

The courts in which prosecutors try adult criminal cases are:

- Dade County Court; and
- Eleventh Judicial Circuit Court.

2.4 Number of Judges

Twelve (12) judges are assigned to the circuit court to handle felony cases; five (5) judges are assigned to the county court to hear misdemeanor cases.

2.5 Number of Prosecuting Attorneys

Ninety (90) prosecuting attorneys are assigned to this office.

2.6 Caseload

It was estimated that approximately 52,000 cases are processed annually (no breakdown between misdemeanors and felonies was given).

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Approximately $270,321 was used to develop the case management segment of CJIS.

3.1.2 Source of Funds

Developmental funds in the amount of $234,842 were provided by LEAA. The remaining $35,479 was provided by the local jurisdiction.

3.1.3 Means of Development

The Dade County CJIS was started as a police information system and gradually grew into its present configuration. Development was accomplished by a systems analyst hired to support the project along with programmers assigned to the Dade County Office of Computer Services and Information Systems. The system was originally implemented on an IBM 370/158 computer, and is now running on an IBM 3032 hardware system.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The original system became operational on June 1, 1970. The system has been expanding since that time.

3.2.2 Operational Cost

The annual operating cost for this system is reported to be $1,800,000 ($150,000 a month). This figure represents only the criminal justice system. The total annual budget for data processing operations is $7,000,000.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

Two IBM 3032 computers are used as the CPU's. (The 3032's are replacements for an IBM 370/158 and an IBM 370/148.)

3.3.2 Input/Output Devices

Approximately 140-150 terminals (video display devices) are available to the criminal justice agencies. Remote, on-line printers are also available. The exact number used by criminal justice agencies was not available.

3.3.3 Cost of Hardware

The CPU's were purchased by the county for use by the Office of Computer Services and Information System to support county-wide requirements in all functional areas (not only criminal justice). CPU cost to the CJIS is, therefore, not applicable. The terminals used by the criminal justice community are leased at a cost of approximately $14,500 a month.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL, Assembly Language, and FORTRAN.

3.4.2 Operating System

The IBM OS operating software is used.

3.4.3 Data Base Management System

The DBMS in use is called System 2000 (MRI Systems Corporation).

3.4.4 Response Time

Response to on-line inquiries, observed during the visit, took about four to five seconds. Comments made by one individual interviewed indicated that he had experienced "bad

response times." He also stated that the system had been "down" much of the time.

3.5 Personnel

One person in the office of the state's attorney serves as coordinator for the automated system. Additionally, specific personnel within the county ADP facility are designated to support the criminal justice system. The positions involved are:

- Unit administrator - 1;
- Program supervisors - 2; and
- Programmer/analyst - 23.*

3.6 System Control

The computer system that supports CJIS is housed, operated, and controlled by the Dade County Office of Computer Services and Information Systems which is under the supervision of the county manager.

3.7 System Security

3.7.1 Physical Security

The CPU and terminals are located in "restricted areas" to which only authorized personnel are granted access.

*It was indicated that most of the criminal justice programming time is devoted to program maintenance and little time is available for programming new applications.

3.7.2 Protection of Computer Files

The police portion of the system uses passwords to protect against unauthorized access to the system. Access by all other users (other than police) is controlled by software that provides access and updating of files according to authorizations applied to each terminal.

3.8 Mode of Operation

System users who are responsible for recording criminal justice information are also responsible for entering their data into the system and for making subsequent corrections. Data entry is accomplished in an on-line mode using terminals located in the users' areas. The terminals are also used to access the system for data retrieval and for the on-line generation of printed outputs such as RAP sheets.

3.9 System Users

According to the master chart showing "current distribution of data processing services," all elements of the county criminal justice community participate in this system. Primary users include:

- Police departments;
- State's attorney;
- Public defenders;
- Court (both circuit and county);
- Corrections; and
- Probation.

3.10 System Goals

During the interview with the prosecutor in charge of office management, he rated on a scale of 1 to 100, the contribution that an ideal information system should make toward achieving an optimal level of capability within his office. He then rated the actual contribution that CJIS is making toward achieving the following goals:

Goals	Ideal	Actual
• Allocation of staff based on prosecution priorities	50	0
• Monitoring of evenhandedness	100	unknown
• Control of scheduling and logistical problems	75	35
• Research and analysis capability	100	75
• Capability for office and assistant prosecutor performance evaluation	50	unknown
• Increase conviction rate	0	0

3.11 Current Applications

3.11.1 Capabilities

The system provides the capability for on-line input and data retrieval and batch reports that, at present, support office operations.

CONTINUED

2 OF 6

3.11.2 Outputs Supporting Office Operations

The data processing services distribution chart reflects the following outputs available for support to office operations:

- Civilian and police witness information;
- Criminal name index;
- Criminal cases;
- Crimes (misdemeanors);
- Magistrate cases;
- Jail booking;
- Branch court cases;
- Wanted messages; and
- Subpoenas (28 days prior to trial date).

3.11.3 Outputs Supporting Management Functions

Outputs supporting management functions were not made obvious during this survey. Although functions listed in the Directory of Criminal Justice Information Systems lists the general categories of "jury management" and "prosecution management," only one positive comment was made with regard to management outputs: one attorney cited the weekly listing of cases by prosecutor as a tool for managing caseload.

The assistant prosecutor in charge of management of the office stated that the system does not capture data that are needed for management purposes. The system should contain complete case history information to include:

- The name of the person who filed the charges;
- Court events; and
- It should permit total control of all witnesses.

3.11.4 Files

All criminal justice files are maintained on disks, in an on-line environment. There are 60 disks associated with the system that contain records on approximately 500,000 persons. The files have been maintained in this manner since the system was implemented, and criteria for purging the files have not yet been established.

3.12 Data Input Control and System Operations

Various forms are used to record CJIS data throughout the agencies participating in the system. These forms are then used as "source documents" for the entry of the data into the system via on-line terminals located in the users' areas.

Users may update only those files on which they are designated as the update authority. Users do have access to other files in the system but may make on-line inquiries to those files.

Police departments enter booking data. In support of this function, the police query the system for defendant's criminal histories.

Bond hearings are held within 24 hours after arrest by a judge (weekdays by a county court judge; weekends by a circuit

judge). After the bond hearing, screening attorneys may query the system for criminal histories to determine how best to handle the case.

Court clerks manually prepare calendars, and query the system to determine those continuances and probation cases that may already be scheduled for the judge on the day a case is to be scheduled. Clerks enter into the system dates for cases scheduled for pre-trial conferences 14 days hence. The prosecutor's office enters the name of the attorney assigned to the case and names of witnesses. Various forms are also available for recording court events with subsequent data entry by personnel of the clerk's office.

Case records are also reproduced on microfilm. These are then distributed to various agencies as a secondary source of criminal justice information.

3.13 Availability of Statistical Data

According to both the prosecution manager and the systems analyst interviewed, this system does not provide good statistics for management.

3.14 Interface with Other Systems

This system interfaces, CPU to CPU, with the Florida Criminal Information Center (FCIC).

The Directory of Automated Criminal Justice Information Systems and the administrative assistant (prosecutor's CJIS) coordinator) both indicate that CJIS also interfaces with the

National Criminal Information Center (NCIC). The court clerk, however, states that because the county ADP facility is not controlled by a criminal justice agency, they must use a separate terminal that by-passes CJIS, in order to query NCIC.

3.15 System Benefits

This system allows for rapid access of criminal justice information by all members of the criminal justice community. This capability has greatly reduced the number of phone calls and search of manual records to acquire desired information. Prosecutors retrieve RAP sheets on the day of trail, thus acquiring the most current information about the defendant's criminal history.

Since the system encompasses all criminal justice agencies, files, other than those relating only to CJIS, are available for access by the users. Prosecutors have been successful in finding "missing witnesses" by making inquiries into the auto-registration files, thus expediting case processing.

Prosecutors feel that the system has helped in the identification of career criminals thereby providing a benefit to the career criminal program.

3.16 Future Applications

3.16.1 Planned

Indications were made that the following applications are being planned:

- Jail card-automatic generation; and
- Notice to witnesses (postcard) informing them of outcome of the case-automatic generation.

3.16.2 Applications Desired By Prosecutor

Not only did the prosecutor indicate desire for new applications, but the county clerk and the systems analyst interviewed also voiced concern about the need for other applications. These desires and needs included:

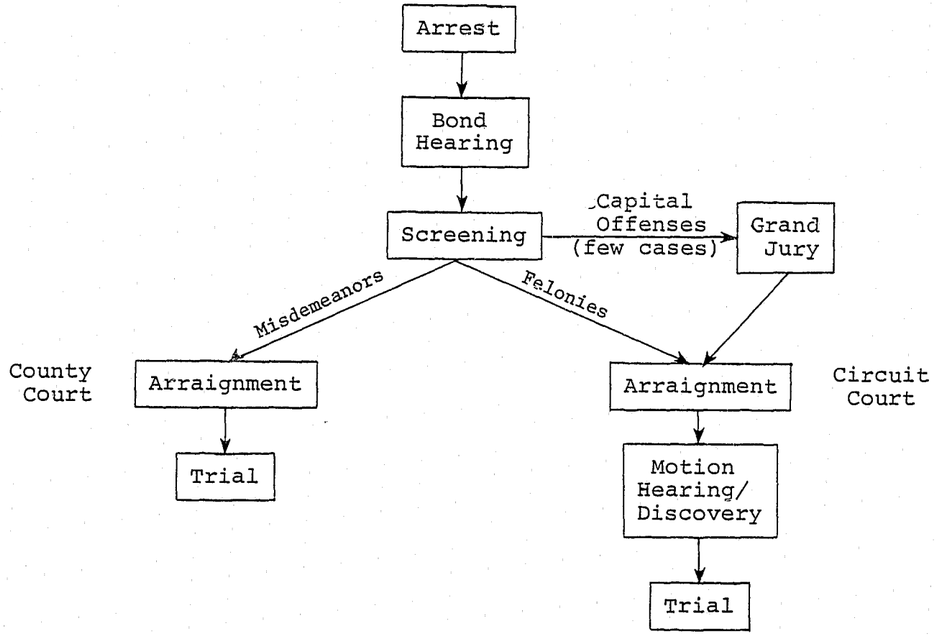
- Management reports and statistical analysis reports - these reports were discussed in general terms with the prosecutor;
- Case-aging reports - specified as a need by the court clerk and systems analyst;
- Arresting police officer schedules (to insure availability at time of trial) - specified by court clerk; and
- Civilian attorney schedules (same as above) - specified by court clerk.

It was indicated that development of new application programs has been in a "hold" status for about a year. (The system coordinator stated that the computer programmers spend most of their time on "program maintenance.") The prosecution manager is very disappointed with the delays he has encountered in obtaining new outputs from the system. He indicated that perhaps the prosecutor needed a dedicated system.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



Note: Preliminary hearings discontinued

4.2 Characteristics of the Process

4.2.1 Screening Policies

Experienced prosecutors are used to perform screening functions. At the time of the survey, four (4) prosecuting attorneys and three (3) administrative assistants were assigned screening duties.

It was indicated that strong emphasis is not placed on screening of misdemeanors, but plea bargaining is conducted at a high rate. About 64 percent of felony cases go to trial, the remainder plead guilty. This office is not concerned about conviction rates because at the present time the conviction rate is very high. The primary concern appears to be with case processing delays. (Dade County is participating in the Court Delay Project being conducted by Ernie Friesen's group.)

4.2.2 Special Assignment Policies

Special handling for career criminals was the only special assignment policy indicated.

4.2.3 Calendar Control

Calendars are controlled by the court clerks using the "individual calendar" method. ("Master calendars" were previously used, but using this method for case processing was found to be too slow.)

4.3 Judicial Performance Measures

Available system documentation indicates that data are captured by the system to measure such items as case processing time, conviction rates, and dismissal rates. Results of all court events and reasons for specific court actions may not be available. Comments about the lack of statistical outputs indicate that obtaining statistics from this system may be difficult because application software is not available.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Batch reports appear to satisfy prosecutor and court clerk needs (in the words of the court clerk) "fairly well." Additional applications are desired.

Problems with response time to on-line inquiries, down-time of the system, and the inability of the support staff to respond rapidly to requests for new outputs weigh heavily on the negative side of user satisfaction.

Satisfaction rating - 1

5.2 Duplication of Effort

The prosecutor's office employs approximately 258 secretaries and administrative clerks. It appears that a great deal of time is spent, by some of these employees, recording case-related information for entry into CJIS and maintaining manual records such as witness control cards.

5.3 Use of Outputs

The outputs currently produced are being used on a day-to-day basis. Several additional outputs to support office operations are desired and strong emphasis is being placed on the need to develop applications to support management functions.

5.4 State-of-the-Art

Hardware represents state-of-the-art. The requirement for extensive maintenance of application software leaves doubt as to whether computer programs represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

The overall scope of CJIS, encompassing all criminal justice elements, provides a framework for an effective system. However, problems revealed during this survey must be solved before the system can reach a level of effectiveness that is acceptable to the prosecutor.

5.6 System Transferability

Documentation for this system, both user manuals and software documentation, is incomplete. The system is not operating at an acceptable level of effectiveness; the system is not considered transferable.

5.7 Influences of the System

It was indicated that CJIS has had a positive effect on the career criminal program within Dade County, but the criminal has merely moved his or her criminal activities to another jurisdiction. One feature of CJIS is the use of a statewide identification number which officials expect will aid in identifying career criminals that cross jurisdictional lines.

The Speedy Trial Act, which requires felonies to be tried within 180 days from arrest, and misdemeanors to be tried within 90 days from arrest, has increased the need for efficient case processing. The use of "discovery" by defendants can cause processing delays if the prosecutor is not fully aware of the facts of the case at the time that discovery occurs. Effective utilization of a system such as CJIS could help ease the pressures created by these characteristics of the judicial process.

It was indicated that about 63 percent of the defendants "bond-out" at the bond hearing. It was also indicated that a high percentage of these "bondouts" fail to appear at subsequent hearings. No statistics on failure-to-appear rates are currently generated by CJIS, but the potential exists for the system to influence actions that could counter this problem.

Review of CJIS, performed by Dade County personnel during the preparation of the most recent five-year Criminal Justice Information System Master Plan, revealed that objectives of the system are not being fully met. This has prompted a proposal for the formation of a Criminal Justice Coordinating Committee, representing all user agencies, to handle managerial and policy issues; and a procedural advisory group to analyze existing systems, determine problems, analyze training needs and focus on methods for system improvement. This two-tier organization should certainly influence the condition of the system over the long range, but the prosecutor is interested in immediate results which, under the present situation, may be difficult to achieve.

5.8 Need for Technical Assistance

There appears to be a great need for technical assistance for improvement of current operations and for the development and design of new applications.

5.8.1 Current Operations

Complaints about system downtime, slow response rates, and the apparent excessive time devoted to program maintenance leads one to surmise that the present ADP operations need a great deal of improvement.

5.8.2 New Applications

There is a need for an active systems analysis effort in the prosecutor's office to define the specific managerial support needs that should be satisfied by the system. Because of existing delays in obtaining programming support for new requirements, it may also be appropriate for the prosecutor to acquire an in-house capability to write application programs in addition to the systems analysis effort.

Site Visit Report
Waukegan, IL A90

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Offices Surveyed

State's Attorney
Lake County, (Waukegan) Illinois

Department of Management Services
Lake County, (Waukegan) Illinois

1.2 System Title and Brief Description

The Judicial Automated Records System (JARS) has automated record keeping of the criminal division of the circuit court clerk's office. This system is being implemented in civil, traffic and support divisions. (See Attachment 1 for diagram.) Several other systems coexist with JARS (see 1.7); however, none could be considered a prosecutor's management information system. Presently, the prosecutor's office is neither a participant nor a recipient of any data from the systems and has access equivalent to any member of the public.

1.3 Primary Site Contact

Randall Murphy, Administrator
Department of Management Services (DMS)
Lake County (Waukegan) Illinois
(312) 689-6554

1.4 Dates of Visit

The dates of the visit were May 14-16, 1979.

1.5 Survey Team Members

Judith Robinson
Joseph Firestone

1.6 Site Personnel Contacted

See Attachment 2.

1.7 Other Systems

See Attchment 3 for description of the Criminal Justice Information System (CJIS) and Adult Probation Tracking System.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The area served is Lake County, Illinois.

2.2 Population Served

Population served is approximately 400,000.

2.3 Names of Courts

The court serving the area is the Circuit Court, 19th Judicial Circuit, State of Illinois.

2.4 Number of Judges

The county judiciary includes seven (7) circuit judges and ten (10) associate judges. All handle both civil and criminal matters.

2.5 Number of Prosecuting Attorneys

The Lake County Office of the State's Attorney includes 20 full-time attorneys.

2.6 Caseload

Approximately 1,234 felonies were filed in the past year, of which, 707 were concluded. Between 8,000 - 10,000 misdemeanors were filed.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Approximately $224,000 was required to implement JARS. This figure includes both hardware and software expenses and the consultation fee of the Public Systems Corporation.

3.1.2 Source of Funds

The Law Enforcement Assistance Administration provided 95 percent of these funds in two separate grants awarded through the Illinois Law Enforcement Commission. The State financed the remaining five percent.

3.1.3 Means of Development

The staff of the County Department of Management Facilities (at that time 1½ people) developed JARS with assistance from the Public Systems Corporation. IBM's Basic Court System became only a point of departure as the programs were tailored specifically to local requirements. The PROMIS software was not on the market when JARS was developed.

3.2 Operational Date and Costs

3.2.1 Operational Date

JARS has been operational in the criminal division of the clerk's office since 1974. The civil division will be completely automated by July, 1979. (See Attachment 4 for chronology.)

3.2.2 Operational Costs

The total DMS budget for 1979 is $840,000; however, this includes all county data processing services. The amount allocated to JARS is not available.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/148, owned by the county, constitutes the basis of the system.

3.3.2 Input/Output Devices

DMS has leased 75 IBM 3270 terminals for all county data processing users. The number supporting JARS is unavailable. Currently DMS has one IBM 3289 printer and will add a second, an IBM 3287, this year.

3.3.3 Cost of Hardware

All hardware is leased. Specific equipment expenses were not available.

3.4 Software

3.4.1 Programming Language

The original JARS was written in FASTER; presently both FASTER and COBOL are used. A few programs are in RPG and Assembler.

3.4.2 Operating System

DOS/VS, is utilized at present.

3.4.3 Data Base Management System

The current system is DL/1.

3.4.4 Response Time

The system averages a 1-3 second response time.

3.5 Personnel

Presently the justice group within the Department of Management Services consists of three full-time people. The DMS staff was largely attracted from private industry by a competitive salary and creative environment. Attrition is low.

3.6 System Control

Data entry is done by the respective users but the system is housed in, managed, and programmed by the Department of Management Services.

3.7 System Security

3.7.1 Physical Security

The mainframe and associated equipment is located in a secured, detached, and enclosed area of the county office building. Only "authorized personnel" may be admitted. Duplicate files are stored at an abandoned missile site outside the city. Source documents are retained by the user and are subject to the security procedures established by the user office.

3.7.2 Protection of Computer Files

File access is limited by passwords and terminal controls. As an additional precaution, the CJIS system includes a timed security log.

3.8 Mode of Operation

Inquiry and data entry is done on-line. Caseload reports are generated by batch production.

3.9 System Users

Principal users include judges, court administrators, probation officers, clerks, attorneys, police officers, jail personnel, sheriff's department, and the public. During a previous administration, the prosecutor's office had terminals which accessed JARS. The terminals were removed due to lack of use. The current prosecutor has expressed interest in MIS, but no formal steps have been taken.

3.10 System Goals

The system has the following objectives:

- Reduce case backlog;
- Stabilize clerk's staff despite increasing caseload (from 60,000 in 1966 to 128,000 in 1978);
- Decrease duration of case processing;
- Eliminate duplicate record keeping; and
- Provide subject-in-process tracking.

3.11 Current Applications

3.11.1 Capabilities

JARS terminals display a variety of information on CRT screens including case history (parties, case type, judge,

attorneys, court events), fees, courtroom number, court minutes and calendars.

3.11.2 Outputs Supporting Office Operations

Regularly produced outputs are: daily court calls for judges and attorneys; monthly and weekly trial calls; daily motion calls; active cases by judge or attorney; cases under advisement; final case dispositions; case status summaries; dockets for active and completed cases; and cases appealed or transferred.

3.11.3 Outputs Supporting Management Functions

Plans exist to add a managerial report capacity to JARS. At present, court caseload reports are the principal management tool. CJIS generates management and statistical reports for the sheriff's use.

3.11.4 Files

ISAM file organization is used. The JARS criminal case data base is organized into the following files:

- Case History File - Includes case number, type, filing date, all offense data, disposition of each charge, all parties, court actions to date, all papers filed, coded minutes, and fees.
- Name Index File - With a complete or partial name, JARS can display all cases (with their case number and filing date) involving the individual and

give their relation to the case; e.g., victim, juror, witness, judge, prosecutor, etc.

- Calendar File - Stores court schedules, appearance dates, summaries of occurrences, dispositions, judges, court reporters, judgments, and future appearance information.

The CJIS data base has two linked files:

- Person File - Organized by phonetic and literal spelling of names and includes physical description and personal identifications (e.g., driver's license number) of case participants (e.g., arresting officer, victim, witness, etc.).

- Event File - Organized by offense case number and includes date, geographic district, method of operation, caution comments and other crime report information.

3.12 Data Input Control System Operations

Entry of JARS criminal court activity data is done by the staff of the clerks office at their CRT screens. Editing and validity checks are done on-line. CJIS data is entered by the sheriff's records division personnel from police reports. Probation officers enter the information for their tracking system.

3.13 Availability of Statistical Data

Prior to JARS (i.e., before 1974) little numerical information was available and it is not considered reliable. No information exists which could permit a "before and after" comparison of court activities. In addition, Mr. Randall Murphy,

administrator at DMS, feels it would be politically dangerous to attempt any such study.

3.14 Interface with Other Systems

Neither JARS, CJIS nor the probation system interfaces with any other system. The sheriff has access to NCIC and the Illinois Law Enforcement Assistance Data System (LEADS) through their communication network; future plans call for an actual interface between CJIS and these other law enforcement systems.

3.15 System Benefits

The principal advantages of JARS are improved production and efficiency of the clerk's office. The staff has not increased in proportion to the caseload increase. The caseload reports are a valuable tool for those judges who view themselves as active managers of the cases in their court. Old cases can be "found" and rescheduled and backlog can be attacked systematically, as Judge Strouse has done.

3.16 Future Applications

3.16.1 Plans

The following systems are planned:

- Traffic Case Reporting System - An automated record-keeping system for all traffic, municipal, and ordinance conservation violations in the

county. Would be operational in all central and branch courts and would automatically apportion fines to their respective jurisdictions. Estimated caseload = 88,000. Estimated operational date = December, 1979.

- Support Case Tracking System - Automated recordkeeping and printing of arrearage notices, checks and annual statements. Estimated operational date = December, 1979.

- McHenry County, which is also part of the 19th Judicial Circuit is adopting JARS for their criminal caseload and will run it from the DMS mainframe. The McHenry County Sheriff is interested in the CJIS system but no formal steps have been taken. According to Randall Murphy (DMS), it is doubtful that either the JARS or CJIS data bases will be shared by the two counties.

The feasibility study for the prosecutor's office has been delayed in part because the prosecutor has filed criminal charges against the circuit court clerk (alleging fraud in bond accounts) and cooperation between the offices on an MIS appears remote.

3.16.2 Applications Desired by Prosecutor

According to a deputy prosecutor, the office is interested in management capabilities, particularly caseload, sentencing, and plea bargaining reports. In addition, on-line access to criminal histories and the tracking of multiple counts would assist in charging decisions. The office is still operating totally manually and would like word processing equipment, on-line generation of complaints and subpoenas, and automated filing and recordkeeping.

4. COURT PROCESS

4.1 Caseflow

See Attachment 5.

4.2 Characteristics of the Process

4.2.1 Screening

There appears to be no formal screening of cases; charging decisions are made in the courtroom at the preliminary hearing by the deputy assigned to that courtroom. Non-attorneys do initial interviews on "walk-in" complaints and consult with any available attorney if charges are to be filed. New prosecutors handle traffic, misdemeanor and juvenile cases with the more experienced staff assigned to felonies. Specialization appears to be limited and informal.

4.2.2 Calendar Control

The prosecutor's office prepares the calendars for all criminal cases.

4.3 Judicial Performance Measures

Data are available within JARS to generate various statistical measurements, but relevant statistical reports are not presently produced. Statistics are being maintained by manual methods.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

The quality of the data and the response times (both to on-line inquiries and to new applications) appear reasonably satisfactory. There is some variation but the judges and court users appear very satisfied with the JARS capabilities and understand their use.

Satisfaction rating - 7

5.2 Duplication of Effort

The manual system was retained by the clerk's office during the 30-60 days of JARS' implementation. With the exception of the prosecutor's office, there is currently no duplication in clerk's files or workload.

5.3 Use of Outputs

All outputs are relied upon and appreciated by the users.

5.4 State-of-the-Art

The hardware is up-to-date. The JARS software system is outdated. It is based on 1960's state-of-the-art reflected in IBM's Basic Court System as adapted by the DMS staff.

The subject-in-process conceptual framework has provided an excellent basis for evolving a rational coordinated justice

system, component by component. The CJIS component appears to be based on a more advanced state-of-the-art software design than the JARS mainly because it is a later development.

Lake County appears to have one of the more progressive, capable and forward looking management services and data processing organizations and seems to be following a sound, cost effective approach to system development.

5.5 Assessment of Prosecutors' Information System

Participation by the prosecutor's office in JARS appears to be inhibited by a number of internal factors. Office organization is informal (e.g., screening responsibilities are not centralized; duplicates of all the clerk's criminal records are maintained; cases are assigned to a courtroom, not to a deputy with more experience in a particular type of case). While the office is interested in securing management reports, they appear to have little conception of the demands MIS places on office staff. In addition, cooperation with the clerk's office is essential but difficult to achieve in the present highly politicized atmosphere where the prosecutor is charging the clerk with fraud.

5.6 System Transferability

Local personnel believe both the JARS and CJIS system modules are transferable. Applications are of general interest for court recordkeeping and law enforcement. Most of the application programs are written in COBOL and are felt to be transferable. Much of CJIS including the jail booking program has been transferred to Allen County (Fort Wayne) Indiana and,

as noted above, JARS is being implemented in neighboring McHenry County, Illinois.

5.7 Influences on the System

The Department of Management Services (DMS) headed by Randall Murphy enjoys a reputation for competence, professionalism and nonpartisanship within the user community. This reputation is partially attributable to Murphy himself, a Waukegan native with astute political judgment and a cool management style. He seems to intuitively know how far he can push people in which areas in order to achieve his objectives. DMS has never had difficulty locally funding enhancements to JARS or the other systems. In addition, Murphy has a strong ally for DMS in the current county administrator (who was formerly DMS head and Murphy's boss for several years simultaneous with the development of JARS). Murphy noted he and the county administrator have a good working relationship.

Implementation of JARS has also been supported by the judiciary, principally Judge Harry D. Strouse. Judge Strouse was the Chief Judge of the 19th Judicial Circuit in the early 1970's when the expanding caseload made the need for court reform obvious. Budgetary constraints precluded hiring additional court staff and automation was viewed as the only way of making a permanent impact on the problem of court congestion. Judge Strouse urged automation of the circuit clerk's office as the first step toward an integrated management information system to eventually include courts, police, probation and prosecution.

No longer chief judge, Strouse is still on the bench and had several comments on the uses of a JARS system. Clearly

pleased with the JARS outputs, Strouse uses his monthly caseload reports to schedule progress calls for forgotten cases and uses JARS to verify the court records in long-contested matters. The monthly trial calendar, which JARS provides, lists the phone numbers of all attorneys and conveniently allows Strouse to check on the attorney's progress toward trial. Judge Strouse noted that most of his colleagues do not use the JARS reports to move cases as vigorously as he does. He attributes this to differences in judicial philosophy: the "active" vs. the "passive" judge. Strouse ascribes to the activist philosophy, believing the judge is responsible for the speedy and efficient administration of justice. Other jurists eschew an active role and rely on the litigants to prosecute the case as they see fit. Strouse notes this viewpoint necessarily permits long delays in litigation and allows parties to "forget" cases when convenient. According to Judge Strouse, even the most sophisticated MIS cannot rectify the problem of conjested courts unless the judges view their roles as active participants in the administration of justice.

5.8 Need for Technical Assistance

The Department of Management Services is strong in both management capabilities and data processing skills and appears unlikely to need technical assistance. The prosecutor's office, on the other hand, may benefit from an internal staff reorganization, the installation of word processing equipment and a better filing system.

ATTACHMENT 1

SUBJECT-IN-PROCESS (SIP) CONCEPT

Three data processing systems developed by Lake County are major components of a subject-in-process system which is now being developed and is intended to eventually link all county criminal justice agencies. The systems are:

- The Judicial Automated Records System (JARS), which automates recordkeeping procedures in the Lake County Circuit Clerk's Office;
- An adult probation tracking system, which handles probation records; and
- The Criminal Justice Information System (CJIS), which computerizes records of the Lake County Sheriff's Office.

The subject-in-process concept focuses on the defendand in developing information needed to operate law enforcement and judicial agencies. The defendant first becomes involved in the criminal justice process at the time of arrest. Then the defendant is booked and possibly placed in custody. The state's attorney prosecutes, a court tries the case, the clerk enters the court record in the files, and the probation department sees that certain terms of sentencing are met. One element is common to all of these procedures -- activity involving the defendant as the defendant moves through the system.

Each agency needs information from other agencies to complete its work. The sheriff, for example, must know when prisoners are due in court, dispositions of cases, etc. Other agencies have different needs. Thus, a subject-in-process system is built around a shared database, which is organized around

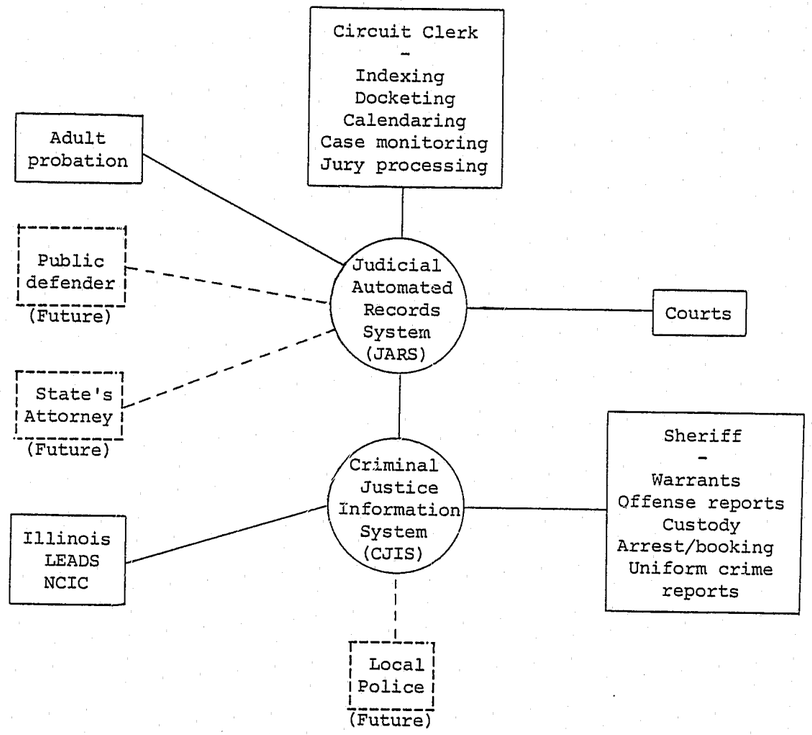
the defendant, and cooperation becomes a by-product of each agency serving its own interests.

The primary objectives of such a system are as follows:

- Reduction of time required to handle defendant records;
- Utilization of data developed in process to promote more productive administrative efforts and to help evaluate the quality of criminal justice delivered;
- Reduction of cost through one-time entry of information into the files for multiple users; and
- Protection of data through centralization of data files.

Two kinds of information are needed for a complete justice system, as envisioned by Lake County. The first is information used by more than one agency - data on an individual's status and progress through judicial procedures. The second is information needed for efficient operation of a single agency - statistics and management reports. See the following diagram of the Lake County Justice System.

Lake County Justice System



Lake County Justice System

ATTACHMENT 2

SITE PERSONNEL CONTACTED

Randall Murphy, Administrator
Lake County Department of Management Services
18 No. County Street
Waukegan, Illinois 60085
(312) 689-6554

Richard Hilton, Department of Management Services
Rhonda Brandhorst, Department of Management Services
John Roberts, Project Leader - Justice Systems,
Department of Management Services

P. Randall Knowles, Assistant States Attorney
Lake County Office Building
Waukegan, Illinois 60085
(312) 689-6644

Hon. Harry D. Strouse, Judge
19th Judicial Circuit
Lake County Office Building
Waukegan, Illinois 60085
(312) 689-6600

Lt. Eugene McGaughey
Lake County Sheriff's Department
Waukegan, Illinois 60085
(312) 689-6300

ATTACHMENT 3

OTHER SYSTEMS

General

The Department of Management Services (DMS) also developed the Probation Tracking System and the Criminal Justice Information System (CJIS). Except for the clerk's capacity to access some probation data through JARS (and vice versa), JARS, CJIS, and the probation tracking system do not interface. As Murphy explained, for a police officer to learn what cases are pending against a suspect, the officer must "let his/her feet do the walking" over to the clerk's office. This feature contributes to the clerk's or sheriff's sense of control over access to "their" system. As mentioned above, all data is entered by the principal user agency.

Adult Probation Tracking System

In 1975, terminals were placed in the Adult Probation Office to give probation officers access to JARS information. In addition, new programs were written by the DMS staff which automated probation recordkeeping and monitoring of cases. Lists of all cases by assigned probation officers are compiled monthly and schedules for reporting visits maintained and verified. Absentee lists are generated routinely and case files updated with current information on the status of each case. As in the clerk's office, all information on probation cases is entered, maintained and retrieved by the probation staff.

Criminal Justice Information System (CJIS)

In 1976, the Law Enforcement Assistance Administration directly funded the Criminal Justice Information System (CJIS). The total grant was $222,223 of which 95 percent was Federal and 5 percent State funds. Tied to this grant were three deliverables Lake County was to provide LEAA:

1. A general overview document identifying the principals and techniques of technology transfer;
2. A site report and needs assessment on the Department of Management Services; and
3. An operational system.

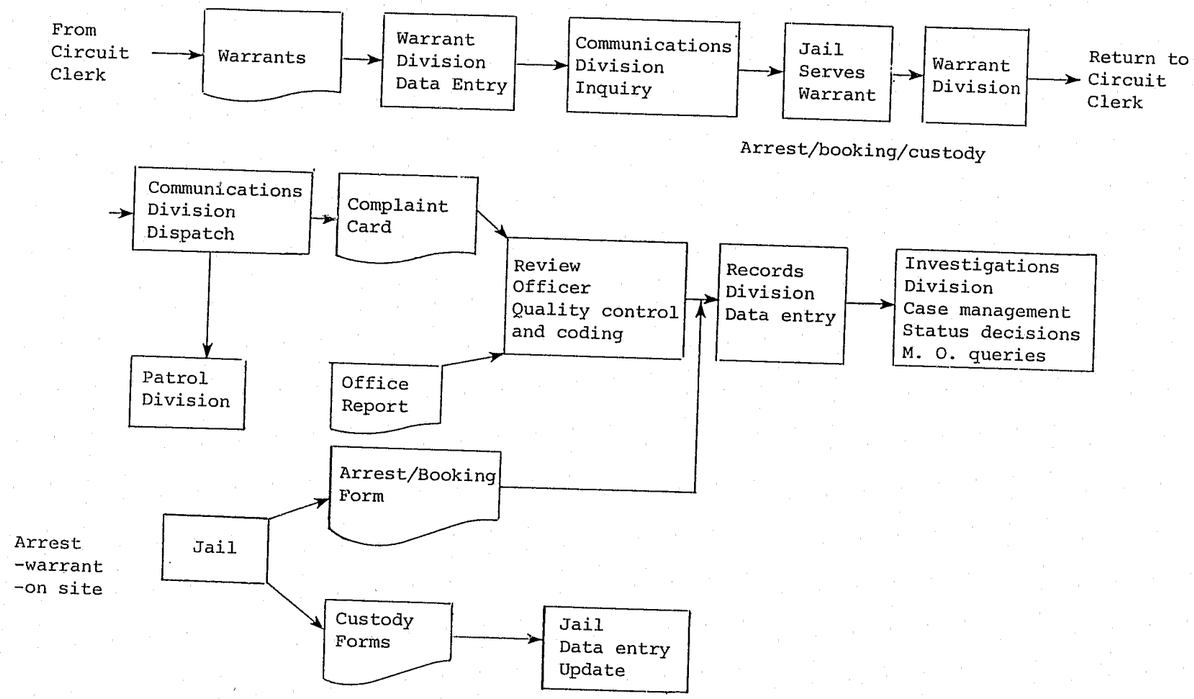
According to Murphy, Lake County was one of the few recipients of Technology Transfer funds that actually has an operational system. CJIS has automated numerous functions of the sheriff's office including booking, jail census, offense reports, and warrants. Statistics for the Uniform Crime Report (UCR), as well as a daily active warrant list, are sent from CJIS via magnetic tape to the Illinois State Police in Springfield. According to Lt. McGaughey, head of the records division, automating that monthly task alone has relieved many hours of tedious compilation. All data entry for CJIS is done by the sheriff's personnel and no source documents leave the office. Since October 1978, all offense reports and other police runs have been stored on computer; old cases are presently being converted to computer storage. McGaughey was delighted with this CJIS application as the records division was quickly becoming inundated with filing cabinets.

In addition, CJIS information on a subject was previously duplicated in the jail, records and investigative

branches. Since CJIS, officers are able to track a subject's progress through the criminal justice system by checking JARS as well as internal police information.

The principal complaint expressed by McGaughey is the delay in getting new programs written. As police familiarity grows, new applications are conceived and the delays in implementation cause frustration. Nevertheless, McGaughey was very satisfied with the progress of CJIS.

Murphy noted that since CJIS and the documentation it provides of the sheriff's services, he no longer must fight the sheriff at budget hearings. Since CJIS records all requests for assistance routed through the sheriff's communications section, the sheriff now has hard data on the types of services provided, distances traveled, areas of high police activity and other factors salient to any request for additional budget or personnel. See the following diagram of a criminal justice information system.



Criminal justice information system

ATTACHMENT 4

LAKE COUNTY CHRONOLOGY

1972 - Office of Technology Transfer, Law Enforcement Assistance Administration funds JARS.

1974 - Judicial Automated Records System (JARS) operational in Criminal Division, circuit court clerk's office.

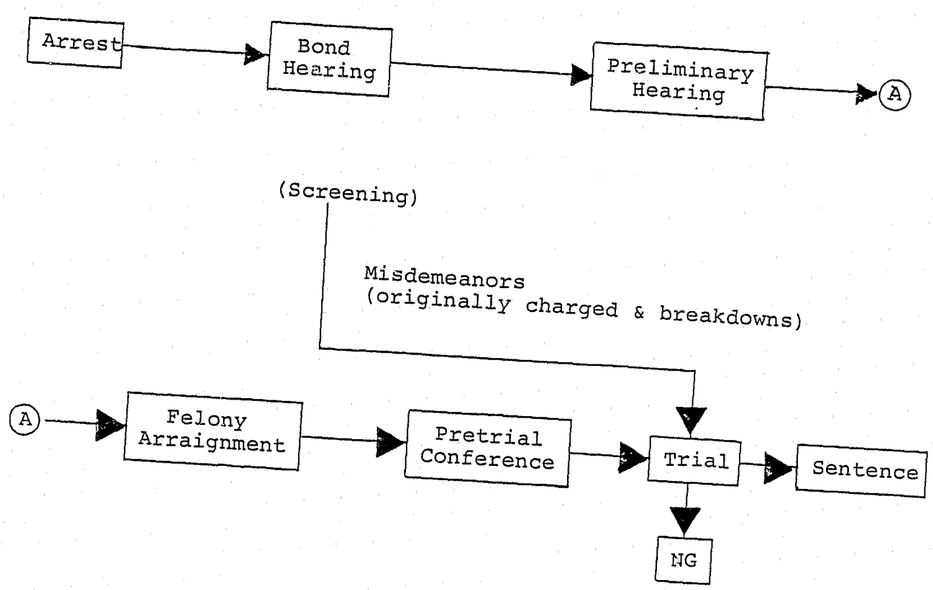
1975 - Probation Tracking System operational.

1976 - Law Enforcement Assistance Administration funds Criminal Justice Information System (CJIS). Operational.

December, 1979 - Traffic Case Reporting System (which includes ordinance and conservation offenses) and Child Support System operational.

ATTACHMENT 5

CASEFLOW



Site Visit Report
Indianapolis, IN A97

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Marion County Prosecuting Attorney
City-County Building
Indianapolis, IN 46204
(317) 633-3522

1.2 System Title and Brief Description

Marion County was an original PROMIS transferee and has been operational since 1976 and running on county maintained equipment. Currently INSLAW is implementing the Juvenile PROMIS on a minicomputer, located within the prosecutor's office.

1.3 Primary Site Contact

Beth Walpole
PROMIS Coordinator
(317) 633-3522

1.4 Dates of Visit

Dates of the visit were April 17-18, 1979.

1.5 Survey Team Members

Jerry W. Hogg
Judith S. Robinson

1.6 Site Personnel Contacted

See Attachment 1.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Area served is Marion County (Indianapolis) Indiana.

2.2 Population Served

Population served is approximately 850,000 persons.

2.3 Names of Courts

The courts are the Marion County Circuit Court with four criminal divisions (courtrooms) and the Municipal Court with ten (10) courtrooms handling criminal matters (misdemeanor and traffic).

2.4 Number of Judges

Ten (10) judges handle misdemeanor, traffic and preliminary felony matters (e.g., bind-over hearings); and four (4) judges handle felony cases full-time.

2.5 Number of Prosecuting Attorneys

Professional staff ranges from 20-24 full-time deputies augmented by 40-50 part-time deputies.

2.6 Caseload

Approximately 2,000 felonies and 35,000 misdemeanors were filed in 1978. Numbers screened were not available.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Two (2) grants were awarded for implementation of PROMIS:

$80,000	5-11-75	- 5-10-76
$40,000	7-1-76	- 6-30-77

3.1.2 Source of Funds

Both grants were awarded by the Law Enforcement Assistance Administration.

3.1.3 Means of Development

The Adult PROMIS was transferred to Marion County with the on-site technical assistance of the Institute for Law and Social Research (INSLAW).

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The Adult PROMIS has been operational since 1976.

3.2.2 Operational Cost

Including data processing by the county staff, the annual cost for PROMIS is approximately $100,000.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

PROMIS runs on the county owned IBM 370/158. A PDP-11 minicomputer has been purchased for the Juvenile Career PROMIS system.

3.3.2 Input/Output Devices

Four (4) terminals made by Computer Optics are located in the prosecutor's office.

3.3.3 Cost of Hardware

Cost of hardware is not available.

3.4 Software

3.4.1 Programming Language

COBOL is utilized by PROMIS.

3.4.2 Operating System

The IBM/OS operating system is currently in use.

3.4.3 Data Base Management System

There is no data base management system.

3.4.4 Response Time

Currently adult PROMIS averages a one second response.

3.5 Personnel

3.5.1 Prosecutor's Staff

Three (3) data entry clerks transfer information from police report to a computer form. These forms are then submitted to county data processing for keypunching.

3.5.2 County Data Processing Staff

The county employs seven (7) keypunchers and, according to Bill O'Connor, approximately six hours per week are required for the prosecutor's data.

3.6 System Control

Operational control and maintenance of hardware rests with the county data processing department, also located in the City-County Building.

3.7 System Security

3.7.1 Physical Security

The CPU and files are located in a secured area with admission to authorized personnel only.

3.7.2 Protection of Computer Files

Access is controlled by a "sign on" system.

3.8 Mode of Operation

Data elements are extracted from police reports, transferred to data recording forms and submitted to the county data processing facility for keypunching. On-line inquiry is available approximately 18 hours per day. Batch reports are generated overnight.

3.9 System Users

PROMIS is used exclusively by the prosecutor's staff.

3.10 System Goals

The principal goal has been to compile statistical information on the office's operation to support management and planning decisions.

3.11 Current Applications

3.11.1 Capabilities

The standard applications of the Adult PROMIS system exist but are not totally utilized.

3.11.2 Outputs Supporting Office Operations

Inquiries, and subpoena generation and calendars are produced.

3.11.3 Outputs Supporting Management Functions

The PROMIS statistical package is run every two weeks. In addition a software package, "Statistical Package for the Social Sciences" is currently being used. According to an office spokesman, SPSS has greater flexibility and therefore more uses than the PROMIS management reports.

3.11.4 Files

The standard PROMIS data elements are maintained.

3.12 Data Input Control and System Operations

Data entry and operational control rests with the county data processing facility.

3.13 Availability of Statistical Data

Prior to PROMIS, little statistical data (of any degree or reliability) was maintained.

3.14 Interface with Other Systems

Minimal interface with the municipal courts system, "Transmission and Retrieval of Automated Court Information" (TRAC) exists but is limited to case numbers, defendants' names and identification numbers.

3.15 System Benefits

The principal benefit is the automatic generation of management and statistical reports.

3.16 Future Applications

Present plans are to get Juvenile PROMIS operational by the end of 1979. INSLAW is currently studying the feasibility of removing Adult PROMIS from county data processing control and also running it on the mini computer. It is anticipated that the mini computer could handle the Adult PROMIS as that data base presently exists but that the future will require the procurement of additional storage capacity.

4. JUDICIAL PROCESS

4.1 Caseflow

See Attachment 2.

4.2 Characteristics of the Process

4.2.1 Screening Policies

Experienced prosecutors (two at present) screen all felonies except sex offenses. PROMIS is not used during the screening process. Misdemeanor screening is done by less experienced prosecutors and paralegals at the front desk (which also handles "walk-ins"). Deputies rotate their screening responsibilities.

4.2.2 Special Assignment Policies

With the exception of narcotics and sex offenses, cases are assigned to the deputy prosecutors by case (resulting in random assignment). All sex offenses are screened and tried by one deputy; narcotics cases are tried by one team but screened by the regular screening deputy.

4.2.3 Calendar Control

Individual court calendars are maintained. No formal assignment exists; the prosecutor's offices files 100 cases in

each of four courts on a rotating basis. There is no common motion or pretrial hearing judge.

4.3 Judicial Performance Measures

The SPSS program is currently generating sentence data and the standard PROMIS includes case-aging reports and other information including dismissal rates. No other performance criteria exist.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

There appears to be moderate satisfaction with the PROMIS management reports. The repetitive delays in the Juvenile PROMIS operational date are a great source of concern, especially because maintenance of the equipment costs $1,100 per month (whether used or not).

Satisfaction rating - 5

5.2 Duplication of Effort

There is considerable duplication with the source documents (e.g., police reports) being handled by three agencies before data is actually in the system. (See Section 3.8.)

5.3 Use of Outputs

Few inquiries are made by the trial or screening prosecutors although they do use the calendars. Management personnel indicated considerable reliance on the batch output reports.

5.4 State-of-the-Art

Hardware and software represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

There appears to be a very limited system analysis/development capability in this office; PROMIS offers the potential for far greater MIS support than is currently being provided, but experienced analysts are not available to the prosecutor to develop the procedures and techniques necessary to acquire such support. Problems in implementing, mini-PROMIS (primarily with software) for the Juvenile System have been frustrating for the prosecutor and expectations for adequate computer support for the office seems to be diminishing.

5.6 System Transferability

PROMIS, at this point, is considered transferable.

5.7 Influences of the System

There continues to be considerable friction between the prosecutor's staff and the data processing department despite the election of a new prosecutor. The prosecutor's office has no control or input to lease agreements or other equipment matters and is told only to allocate a flat amount (here $100,000 annually) for data processing services. That budget is not itemized and other county agencies are reportedly also challenging the current method of operation. Political conflicts similarly exist with the clerk, city police and sheriff's department which makes an integrated information system highly unlikely.

5.8 Need for Technical Assistance

INSLAW is presently working on a conversion program and retailoring of Juvenile PROMIS. The prosecutor's office could use technical assistance to develop procedures and techniques for effective use of the data captured in the PROMIS system.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

Stephen Goldsmith, Marion County Prosecuting Attorney, (317) 633-3522

Beth Walpole, PROMIS Coordinator, Office of the Prosecuting Attorney, (317) 633-3522

Bill Divine, Deputy Prosecuting Attorney, (317) 633-3522

Bill O'Connor, Marion County Data Processing, (317) 633-8327

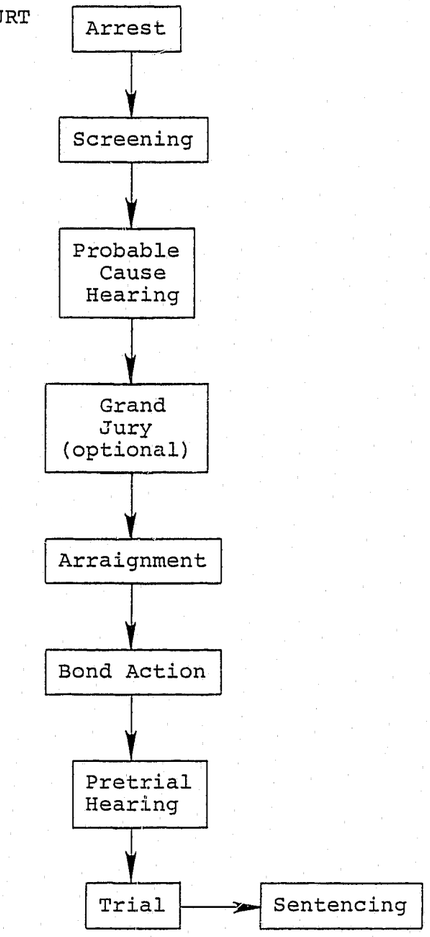
E.W. (Chick) Wieting, Business Manager, Office of the Prosecuting Attorney, (317) 633-3522

ATTACHMENT 2

Caseflow

Caseflow for the judicial process is indicated in the following flowchart.

FELONIES
CRIMINAL COURT



Site Visit Report
Louisville, KY A111

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Commonwealth Attorney
Courthouse Annex
600 West Jefferson
Louisville, KY 40202

1.2 System Title and Brief Description

Commonwealth Attorney's Tracking and Case History System (CATCH) - the Milwaukee version of PROMIS which features on-line data entry and retrieval.

1.3 Primary Site Contact

William Chiquelin
CATCH Project Manager
(502) 581-6040

1.4 Dates of Visit

The dates of the visit were May 30 - June 1, 1979.

1.5 Survey Team Members

Sidney Brounstein
Jerry Hogg

1.6 Site Personnel Contacted

Paul Richwelvky, First Assistant
Richard Cooper, Assistant Prosecutor
William Chiquelin, CATCH Project Manager

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Jefferson County and the city of Louisville make up the area served by this office.

2.2 Population Served

The population of this area is approximately 700,000.

2.3 Names of Courts

The Jefferson Circuit Court, 30th Judicial District, is the court in which felony cases are tried (only felonies and accompanying misdemeanors are handled by CATCH).

2.4 Number of Judges

Sixteen (16) circuit court judges are assigned to this court.

2.5 Number of Prosecuting Attorneys

Twenty-nine (29) prosecutors are assigned to this office.

2.6 Caseload

Approximately 1700 felony cases are screened annually; about 1648 cases are accepted for prosecution.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

The total cost of development is reported to be $140,000.

3.1.2 Source of Funds

LEAA provided $126,000 of developmental funds; the balance of developmental funds was provided by the State (4 percent) and county (6 percent).

3.1.3 Means of Development

This system is the Milwaukee version of PROMIS. Transfer began in December 1976; technical assistance was obtained by the hiring of Bill Chiquelin who had assisted in the transfer of the Milwaukee version of PROMIS to two other jurisdictions. The greatest transfer problem at Louisville was converting from the IBM OS, operating system, to IBM DOS. The system was considered "transferred" in June 1977.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system became operational in November 1977.

3.2.2 Operational Costs

Monthly operational costs are approximately $6,000. These costs include:

- CPU time and communications - $1,720;
- Lease of terminals - $680; and
- Personnel wages - $4,200.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/155 is used as the central processor.

3.3.2 Input/Output Devices

Six (6) video display terminals are used for on-line input/output.

3.3.3 Cost of Hardware

CATCH was implemented on a computer that had been previously purchased for the city ADP facility; no CPU cost was incurred by the prosecutor.

Terminals are leased for about $680 a month.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL.

3.4.2 Operating System

The operating system is IBM DOS/VS.

3.4.3 Data Base Management System

No DBMS is used with this system.

3.4.4 Response Time

The normal response time is 1-3 seconds. No excessive downtime has been experienced lately.

3.5 Personnel

Four (4) people in the commonwealth attorney's office provide support to CATCH. They are the project manager/programmer and three data entry operators.

3.6 System Control

The mainframe for CATCH is housed in and operated by the city-county data center.

3.7 System Security

3.7.1 Physical Security

The CPU is located in a secure area. Terminals are available only to authorized personnel.

3.7.2 Protection of Computer Files

Passwords are used for access to the system; updating can be accomplished only by the use of authorized passwords. Only the prosecutor or the system manager is authorized to delete information.

3.8 Mode of Operation

Data entry is accomplished in an on-line mode. Data can also be retrieved on-line using video display terminals. Reports are generated in a batch mode of operation.

3.9 System Users

System users, with on-line access to the system, include:

- Prosecutors - all assistant prosecutors know how to use terminals to access the system; and
- Police - two police departments have terminals.

The court does not participate in on-line operations of CATCH, but outputs (such as schedules, dockets, and subpoenas) are supplied to the court as a result of batch processing.

3.10 System Goals

The goal of the system, as implied in available CATCH publications, is to assist the commonwealth attorney in:

- Coordinating case processing among the various criminal justice agencies and with persons involved in the case; and
- Scheduling cases with the availability of all involved persons.

The prosecutor, in response to the mail survey, rated office goals, on a scale of 1-100, as follows:

- Allocation of staff based on prosecution priorities - 95;
- Capability for office and assistant prosecutor performance evaluation - 95;
- Control of scheduling and logistical problems - 80;
- Increase conviction rate - 80;
- Monitoring evenhandedness - 60; and
- Research and analysis capability - 60.

3.11 Current Applications

3.11.1 Capabilities

The basic capabilities of this system include on-line data input and retrieval along with the generation of batch reports.

3.11.2 Outputs Supporting Office Operations

All on-line displays are designed to support office operations. These include information about case status or defendant status and are generated by use of cross indices stored in the computer that permit inquiries by names or by case number.

Batch reports also support office operations. These include outputs generated on a scheduled basis:

- Daily
  - Subpoenas --
  - Subpoena summary listings;
- Weekly
  - Felony specially assigned cases --
  - Master case file summary,
  - Cross reference lists,
  - Circuit court calendars;
- Monthly
  - Detailed open case reports --
  - Detailed closed case reports,
  - Detailed bench warrant reports,
  - Monthly trial reports.

3.11.3 Outputs Supporting Management Functions

Other batch reports are available to support management functions:

- Weekly
  - Attorney felony pending case statistics
  - Case error list (system management);
- Monthly - Management report package.

3.11.4 Files

Files are maintained on disks, in an on-line environment and also updated in an on-line mode.

More than 150 data elements are included for each case. These data fall into four general catagories:

- Criminal incident of event information - time and place occurred, nature of crime, whether injury occurred, personal property loss;

- Defendant information - detailed identification, aliases, case status, any other pending cases or charges, codefendant's charges;
- The case and its progress - the arrest and its circumstances, charges issued, court events with results (hearings, continuances and trials) including date and time, action taken, reason for action, party requesting action, disposition and sentence; and
- Participant information - victims and witnesses, police officers and special experts, prosecutors, defense attorneys, judges, court reporters and clerks.

3.12 Data Input Control and System Operations

Initial CATCH data are recorded by the police on a "CATCH" intake form; a fictitious case number is assigned at this time. A secretary in the commonwealth attorney's office uses this form to check the system to determine if the defendant is already recorded in CATCH. It then takes about two weeks for prosecutors and investigators to prepare the case for presentation to the grand jury (all felonies go to the grand jury).

When a case number is assigned by the court, the actual case number is entered in CATCH, replacing the fictitious number. This information, along with all other data pertaining to the case, is recorded by assistant prosecutors on various CATCH worksheets.

Copies of the worksheets are used by data entry operators as source documents for entering the data, via on-line terminals, into the CATCH system. All data are entered into CATCH by persons assigned to the commonwealth attorney's office. Terminals available to the police are used for inquiry only. Forms are also used to request a CATCH report and for submitting

entries for corrections and/or missing data.

When a case is closed, data entry is accomplished after the case folder is received, which causes a four to six week delay in entering final information.

3.13 Availability of Statistical Data

Data is available to produce statistical reports; a major batch report is the "Management Report Package." Available statistics, however, relate only to felonies.

3.14 Interface with Other Systems

Terminals are available to the prosecutors for access to the National Criminal Information Center (NCIC), National Law Enforcement Telecommunications System (NLETS), and the Law Enforcement Information Network of Kentucky (LINK).

3.15 System Benefits

The primary benefits of this system appear to be:

- The ability to track felony cases through the judicial process and to be able to account for all such cases in the system; and
- The capability of the system to automatically generate various reports that would otherwise have to be prepared manually or not at all.

3.16 Future Applications

3.16.1 Planned

There was no indication given of new applications being planned.

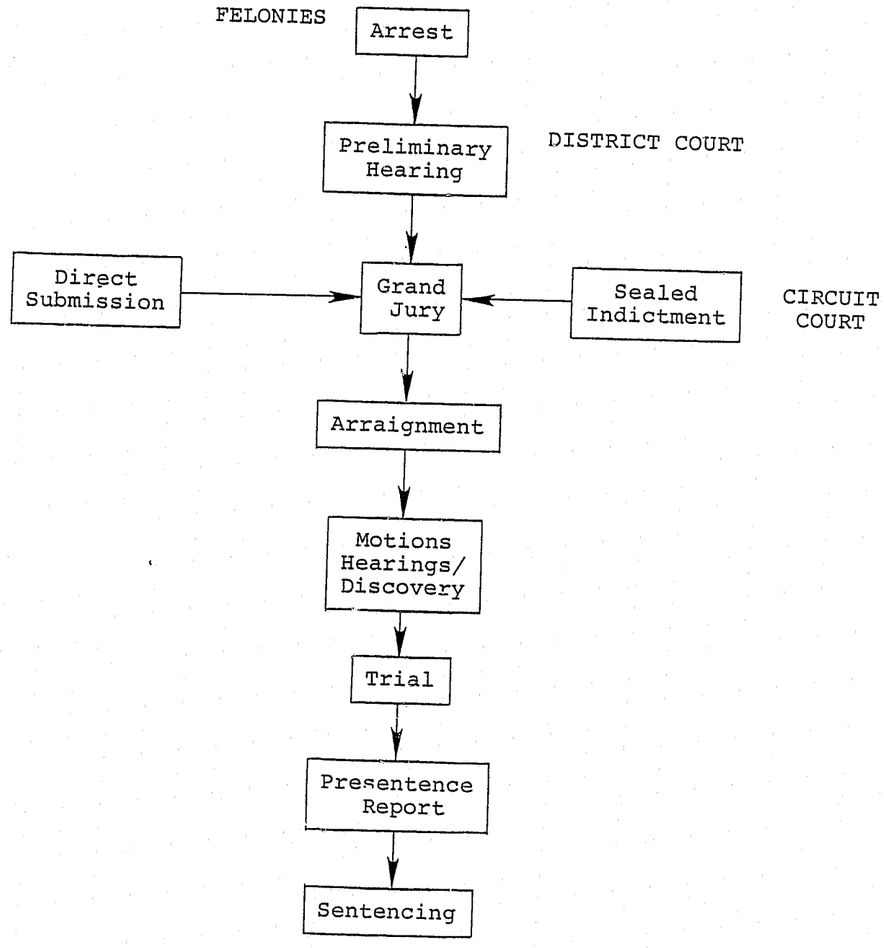
3.16.2 Applications Desired by Prosecutor

The response to the mail survey indicated a desire to have additional information on the defendant's social and economic background.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flow chart.



4.2 Characteristics of the Process

4.2.1 Screening Policies

Screening is not performed by this office; screening is accomplished prior to reaching the commonwealth attorney.

4.2.2 Special Assignment Policies

Special assignments are made for cases that fall into the categories of:

- Career criminal;
- Economic crimes; and
- Special Prosecutions Unit.

4.3 Judicial Performance Measures

Data are available to measure many facets of the judicial process, but only as those measures would relate to the felony process.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Two widely different impressions of user satisfaction were detected during this survey:

- One assistant prosecutor stated that the burden on prosecutors of recording data for entry into CATCH was far too great to justify the results provided by the system;
- A second opinion indicated that the system was considered to be satisfactory, but this was not an enthusiastic endorsement.

Response to the mail survey indicates a high degree of satisfaction with the contributions of CATCH compared to expectations; the quality of data was also rated high.

Informal discussions during the PROMIS Users' Group Conference, attended in conjunction with this survey, indicated two distinct views of CATCH: the management level reflecting satisfaction with the system; and line prosecutors complaining about the burden associated with the system.

Satisfaction rating - 7

5.2 Duplication of Effort

There were no areas of duplication noted. (Apparently, copies of CATCH worksheets, which are prepared in multiple copies, are kept for the case jacket thus avoiding duplicate recording of information.)

5.3 Use of Outputs

The actual utilization of outputs was not observed.

5.4 State-of-the-Art

Hardware, software and applications appear to represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

The scope of this system is limited to use by only the prosecutor's office and two police departments, and is further limited to tracking only felony cases. The court does not participate in the system, although outputs are provided to the court. The system provides rapid responsiveness and has the capability to generate management data. Delays in entering data relating to closed cases (4-6 weeks) does not allow, however, retrieval of current information on those cases.

Comments about the clerical burden on prosecutors indicate the need for a close examination of the actual workload involved in data recording and a comparison of those findings against actual system benefits to determine cost effectiveness.

5.6 System Transferability

Since this system was transferred, and the person who implemented the system has transferred others, it would appear reasonable that this system is transferable. It should be noted that a major problem was encountered with regard to the

operating system. The project manager of the Milwaukee system commented that if a jurisdiction wants to install a PROMIS system similar to CATCH, the Louisville system should be transferred, provided the IBM DOS operating system is to be used. However, if IBM OS is in use, the Milwaukee system should be transferred.

5.7 Influences of the System

The availability of an individual experienced in the transfer of the PROMIS system was an obvious advantage to the implementation of this system. Requirements for prosecutors to record CATCH data is considered, by some attorneys, to be an additional clerical task and a burden.

5.8 Need for Technical Assistance

Technical assistance could possibly be helpful in developing techniques and procedures for recording CATCH data that would be less burdensome for the prosecutors.

Site Visit Report

New Orleans, LA A120

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

District Attorney
Parish of New Orleans
2700 Tulane Avenue
New Orleans, LA 70119

1.2 System Title and Brief Description

District Attorney's Record Tracking System (DARTS) - This is a version of PROMIS that was originally implemented on an IBM 370 system operated by city hall and then modified to operate on a Burroughs 1726 (medium scale) computer which is owned, housed and operated by the district attorney as a prosecutor dedicated system.

1.3 Primary Site Contact

Glen Christina
System Manager
(504) 822-2414

1.4 Dates of Visit

Dates of the visit were April 23-25, 1979.

1.5 Survey Team Members

Sidney H. Brounstein
Jerry W. Hogg

CONTINUED

3 OF 6

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other System Discussed

General comments were offered by site personnel relevant to a Criminal Justice Information System (CJIS). See Attachment 2.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Orleans Parish, which is the same as a county in other states, is served by this office.

2.2 Population Served

A population of approximately 600,000 is served by this office.

2.3 Name of Court

The court is the Orleans Parish Criminal Court.

2.4 Number of Judges

Ten (10) judges try both felony and misdemeanor cases in this court. Additionally, five (5) magistrates are assigned to this court.

2.5 Number of Prosecuting Attorneys

Approximately fifteen (15) assistant prosecutors are assigned to this office.

2.6 Caseload

Approximately 5000-6000 cases are disposed of by the court each year.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

It was indicated that approximately $314,000 of LEAA grants were used to develop and implement this system: original grant - $160,000; second grant - $154,000.

3.1.2 Source of Funds

LEAA provided developmental funds.

3.1.3 Means of Development

This system originally consisted of the INSLAW Batch-PROMIS system and was initially installed on the city hall IBM 370 in April 1975. Because of concerns about confidentiality of the data and because the city expected to have to upgrade their system to accept other processing jobs (other than criminal justice applications), DARTS was modified for operation on a Burroughs 1726 computer and the processing was transferred to the district attorney's office in January, 1976.

Modifications included displays for on-line inquiries which were reported as being developed by Burroughs personnel.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

January 1, 1976 is considered as the operational date for this system as records (files) prior to that time are not available.

3.2.2 Operational Cost

Approximately $2,050 a month is required for lease of terminals ($100 a month each) and for maintenance of the CPU ($750 a month). According to an INSLAW study, annual administration costs are approximately $11,600; total operating cost is $126,652.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

A Burroughs 1726 computer with 196K storage capacity is used as the CPU.

3.3.2 Input/Output Devices

- Terminals - 13;
- High speed printer - 1;
- Disk units - 2; and
- Tape drive - 1.

3.3.3 Cost of Hardware

- CPU and 2 disk units were purchased for approximately $60,000;
- The tape drive, printer and support unit were purchased for approximately $40,000; and
- The terminals, of which there are 13, are leased at a cost of $100 a month.

3.4 Software

3.4.1 Programming Language

The programming language is COBOL.

3.4.2 Operating System

The operating system is MCP II.

3.4.3 Data Base Management System

There is no data base management system.

3.4.4 Response Time

Screens were displayed in 5-10 seconds at terminals co-located with the CPU. Operation of remote terminals was not observed.

3.5 Personnel

Ten (10) ADP personnel are assigned to the district attorney's office to manage and operate DARTS. These personnel consist of:

- System manager/analyst/programmer - 1;
- Assistant system manager/analyst, programmer - 1;
- Computer operators - 3; and
- Data entry clerks - 5.

3.6 System Control

The system is owned, housed and operated by the district attorney.

3.7 System Security

3.7.1 Physical Security

Computer room is secured by a push button combination lock. All terminals are located within the offices of the district attorney, except for one which is in the sheriff's office.

3.7.2 Protection of Computer Files

Updating of records is accomplished only by ADP personnel on the terminals located in the computer room and Career

Criminal Division. Only DA personnel and the sheriff's office have access to the remote terminals.

3.8 Mode of Operation

- Date entry and inquiries are accomplished in an on-line mode;
- Scheduled reports are produced in a batch mode.

3.9 System Users

Only personnel of the district attorney's office and sheriff's office have hands-on access to the system.

3.10 System Goals

The primary goal for the system, as implied by both prosecutors and clerk of the court, has been to reduce the back-log of cases. It was indicated that the number of pending cases has steadily decreased since implementation of DARTS.

3.11 Current Applications

3.11.1 Capabilities

DARTS provides an on-line inquiry capability as well as outputs produced on a batch processing basis.

3.11.2 Outputs Supporting Office Operations

- Calendars - daily;
- Criminal history - video display;
- Attorney case assignments - daily;
- Open inventory of cases, by court section - daily;
- Police scheduled for court appearance - weekly;
- Witness list - weekly;
- Cases scheduled for next month; and
- Capias match lists - 3 lists showing:

  (1) matches of "at large" as identified by both DA and sheriff,

  (2) "at large" identified by DA but not on sheriff list, and

  (3) "at large" identified by sheriff but not on DA list.

3.11.3 Outputs Supporting Management Functions

- Statistical reports - quarterly (were also being run on a monthly basis, but discontinued in favor of only quarterly reports);
- Error list - daily (for data quality control).

3.11.4 Files

The "master file" contains approximately 76,200 records; each record consists of approximately 450 characters.

Files contain the following records:

- Defendants - 27,400
- Cases - 5,300;
- Charges - 11,500;
- Continuances - 15,500;
- Witnesses - 16,500

A special file -- personnel on parole -- has been developed.

3.12 Data Input Control and System Operations

Data entry is accomplished by data entry clerks using on-line terminals during normal office hours (8:30 a.m. - 5:00 p.m.). During the evening hours (after 5:00 p.m.), data entered throughout the day is processed through edit and update programs from which new master and inquiry files are created and the daily error list is produced. Outputs scheduled for production by batch processing are then generated for distribution to users by the start of the next work day.

3.13 Availability of Statistical Data

Statistical data are available for the period of January 1, 1976 to the present time. Data collected since 1977 are considered to be of good quality. Manual statistical records are also being maintained by the first deputy prosecutor for comparison of accuracy with the DARTS statistics.

3.14 Interface With Other Systems

DARTS does not interface directly with any other system. A DARTS terminal is located, however, in the sheriff's office where access is also available to MOTION (Metro Orleans Total Information On-Line Network) via a separate terminal.

3.15 System Benefits

The primary benefit of DARTS, as expressed by both prosecutors and the court clerk, has been the improvement achieved in case processing which has helped to reduce the back-log of cases within the court system.

The capability of DARTS to rapidly display criminal history data is of benefit to the prosecutors who screen cases to determine if a suspect qualifies as a career criminal.

3.16 Future Applications

3.16.1 Planned

No plans for future applications were revealed to the investigators. It was indicated, however, that mini-PROMIS was being considered for DARTS but because of the buffered terminals in use by DARTS, they would probably wait for maxi-PROMIS before deciding about any conversion. ADP personnel would like to have the capability to update the system as events occur and more terminal displays be made available.

3.16.2 Applications Desired by Prosecutor

The first deputy indicated that efforts are underway to develop methods for tracking defendants after conviction, through the appellate process.

3.17 Operational Procedures

Prosecutors prepare DARTS source documents which include:

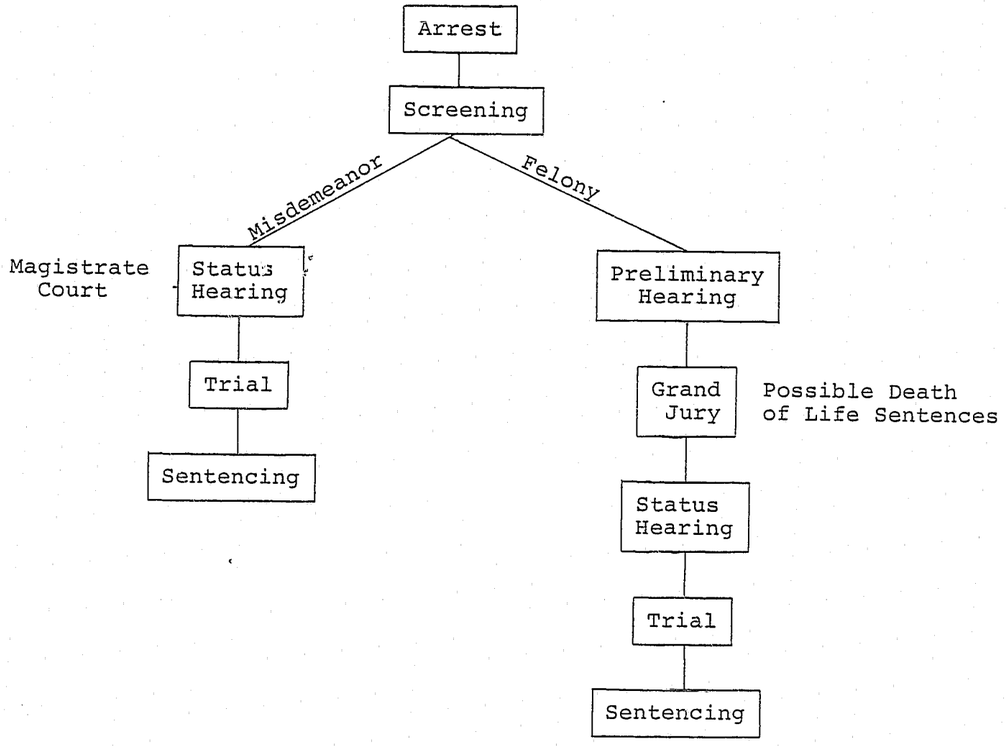
- Screening action forms;
- Witness worksheets;
- Nol-pros forms;
- Continuation forms;
- Motion hearing forms; and
- Disposition/sentencing forms.

Data entry is accomplished by ADP personnel using on-line terminals; but data input does not automatically update DARTS files; this is accomplished at a later time in a batch mode.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



Data are available to measure time between events.

4.2 Characteristics of the Process

4.2.1 Screening Policies

The screening policy was stated as "accepting quality cases."

Screening procedures include an initial examination of cases by a law clerk who checks the suspect's criminal history using a DARTS terminal to determine if the case should be handled by the Career Criminal Division or one of the other special divisions (narcotics, homicide/rape or armed robbery). Further screening is performed by the most experienced prosecutors within each division. It was estimated that 55 percent of all cases screened are accepted for prosecution.

4.2.2 Special Assignment Policies

Cases are assigned to specific divisions depending on the nature of the offense. These divisions include:

- Narcotics;
- Armed robbery;
- Homicide/rape;
- Career criminal; and
- General screeining.

If a suspect has had 2 felony convictions or 5 misdemeanor arrests, the suspect is processed as a career criminal regardless of the current offense.

If more than one offense is involved in the current case and those offenses cross divisional responsibilities (narcotics and homicide, for example), the case is assigned to the division that is responsible for the more severe offense (homicide division, in the example case).

Cases that do not fall within the scope of a specific division are assigned to general screening.

4.2.3. Calendar Control

The district attorney has full responsibility for case processing in this jurisdiction. He handles the court docket and controls the court calendar. Cases are assigned to court sections, of which there are 10, on an allotment basis (using the "bingo" method). Assignments are made on an "individual calendar" basis.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time

Data are available to measure case processing time since implementation of DARTS. Processing time limits established at this jurisdiction include:

- Arrest to hearing by magistrate - 24 hours; and
- Status hearing - within 10 days.

It was indicated that approximately 75 percent of all cases take from 60-90 days to be tried.

4.3.2 Conviction Rates

Data are available to measure conviction rates. It was indicated that approximately 91-93 percent of cases heard by a jury result in convictions.

4.3.3 Rates of Dismissal

Data are also available to measure these rates, for the period that DARTS has been operational.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Although the first deputy is maintaining manual statistics to check the accuracy of DARTS data, the overall indication was that users are satisfied with the system.

Satisfaction rating - 6

5.2 Duplication of Effort

Manual statistics, as previously mentioned, are being maintained. Indications were made, however, that once DARTS data is proven reliable, these manual records will be discontinued.

5.3 Use of Outputs

Outputs appear to be serving the needs of users.

5.4 State-of-The-Art

DARTS hardware represents state-of-the-art.

Software improvements could be made, as indicated by the system manager, to allow for updating records as events occur and as data are entered into the system.

5.5 Assessment of Prosecutors' Information System

DARTS, in its present stage, appears to satisfy most of the presecutor's requirements; however, there did not appear to be a high degree of utilization by the prosecutors.

From the standpoint of an overall criminal justice system, providing on-line linkage for arrest/booking data and for entry of data subsequent to conviction, and providing on-line access to other criminal justice agencies would increase the utility of the system.

5.6 System Transferability

Since DARTS is a modified version of PROMIS, it should be considered highly transferable; however, display programs developed by Burroughs and the operating system software should be evaluated to determine their applicability to other systems.

5.7 Influences of the System

Implementation of DARTS created the need for experienced ADP personnel to be assigned to the district attorney's staff.

5.8 Need for Technical Assistance

Technical assistance could possible be helpful in the areas of developing software to update files as data are entered and of developing specific management techniques utilizing data already captured in the system.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

Ralph Capatelli, First Deputy
John Meyer, Assistant Prosecutor
Robert Early, Assistant Prosecutor
Lance Afrik, Assistant Prosecutor
Denis Waldron, Assistant Prosecutor
Emmett Fremaux, Chief Deputy Clerk, District Court
Glen Christina, System Manager
Jim Rousselle, Assistant System Manager

ATTACHMENT 2

OTHER SYSTEMS DISCUSSED

Approximately three years ago, a Criminal Justice Information System (CJIS) was proposed by a committee consisting of representatives of the district attorney, police department and the court.

Members of the criminal justice community worked for two years to develop and document criteria and requirements for CJIS. A vendor (Burroughs) was selected to provide the system design work and hardware. At this point, the proposal was presented to the Major (Moon Landrieu) for approval.

The mayoral election had just been completed at that time and the incumbent had been defeated. Landrieu approved the CJIS proposal contingent upon approval of the new (incoming) mayor.

For reasons unknown the site personnel interviewed, the new mayor disapproved the CJIS proposal and no further work was done to develop such a system.

Site Visit Report
Boston, MA A133

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Suffolk County District Attorney
New Courthouse Building
Boston, MA 02108

1.2 System Title and Brief Description

Case Management System (CMS) -- a "case tracking" system that operates on a minicomputer (Data General, NOVA II) dedicated to use by the prosecutor.

1.3 Primary Site Contact

John Duffett, System Manager
(617) 725-8671

1.4 Dates of Visit

The dates of the visit were July 5-6, 1979.

1.5 Survey Team Members

Sidney H. Brounstein
Jerry W. Hogg

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other System Discussed

The Office of Supreme Court Judicial Information Systems, located in Cambridge, Massachusetts, was visited for the purpose of discussing the mini-PROMIS system that is being implemented on a statewide basis (see Attachment 2).

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The city of Boston and the county of Suffolk are served by this District Attorney's Office.

2.2 Population Served

The population of this area is approximately 723,000.

2.3 Names of Courts

Prosecutors try criminal cases in the following courts:

- Suffolk Superior Court*;
- Boston Municipal Court;
- Eight (8) district courts; and
- Boston Juvenile Court.

2.4 Number of Judges

Superior court, felony cases -- nine judges. The other courts normally have a total of 22 judges assigned to handle both felony and misdemeanor cases.

---

*Note: The Case Management System is used to process data relating to cases handled only by the superior court.

2.5 Number of Prosecuting Attorneys

Superior court -- 50 prosecutors. Two or three prosecutors are normally assigned to each of the other courts.

2.6 Caseload

In 1978, 2,144 felony cases and 878 misdemeanor cases were screened for the superior court; 2,021 felony cases and all (878) misdemeanor cases were accepted for prosecution. Court reorganization will eliminate misdemeanor cases in superior court except for such cases that may be processed under an appeal.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

The total cost for developing this system is reported to be $130,785.

3.1.2 Source of Funds

LEAA provided a $102,000 grant in January 1974 for this project and part of the developmental work was funded by the Massachusetts Committee on Criminal Justice.

3.1.3 Means of Development

The Case Management System was developed by the Systems Development Staff of the National District Attorneys' Association (NDAA) in conjunction with the Suffolk County District Attorney's Office.

(Background information relevant to development of the system was provided by telephone conversations with Mr. Philip Murray, who participated in the system design.)

Boston was one of 10 sites that NDAA had considered for the development of a pilot project aimed at designing a standard system for use by district attorneys. Initially, NDAA conducted a five-day technical assitance visit to the Boston

office to determine system requirements. The resultant systems design was found to be inadequate, which, along with problems in funding the project, caused delays in the system development. NDAA also had problems with providing manpower to the project. Additional problems were caused by a lack of cooperation from the Suffolk County District Attorney's Office, stemming from political aspects at the time of the election.

Once the manpower, money and political problems were reduced, a "single system" approach was taken: Manual procedures were established and documented and system specifications were prepared and documented based on the manual procedures (the goal was to permit conversion to an automated system with minimum disruption of normal operations); plans were made to develop and implement the system in phases with Phase I being designed to produce only operational data (and to remove associated clerical tasks) and Phase II to generate management information.

As part of the development, personnel performing manual tasks were trained to operate the automated system. Once automated processing was begun, the prosecutors' caseload reports were used as vehicles for performing quality control and cleaning up the data base. (Mr. Murray left the project in April, 1978. At that time, efforts were underway to contract for additional "clean up" of the system, another disk pack for the system, and for preliminary design of statistical reports).

Complete documentation of the system was not accomplished during the developmental stage. An organization called F&S Systems has been hired under a $14,000 contract to update and document the system software.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system became operational in November 1977.

3.2.2 Operational Cost

Total monthly cost is about $5,100 ($500 for maintenance and supplies; $4,600 for personnel).

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

The CPU is a Data General Corporation NOVA 2 mini-computer with disk storage.

3.3.2 Input/Output Devices

The I/O devices consist of three video display terminals with keyboards and a high speed printer, all hardwired directly to the CPU.

3.3.3 Cost of Hardware

The equipment was purchased (with funds from NDAA - according to Mr. Murray) at a cost of $70,000. Maintenance of the hardware is provided through a $5,000 a year contract with the vendor.

3.4 Software

3.4.1 Programming Language

System software has been written in Data General's "extended BASIC."

3.4.2 Operating System

The programs are controlled by operating software called "MICOS."

3.4.3 Data Base Management System

There is no data base management system.

3.4.4 Response Time

Response time is immediate.

3.5 Personnel

Six (6) people are directly associated with the automated system. (None of these individuals are professional ADP personnel).

3.5.1 System Management

Three persons serve in management capacities: The office supervisor of the DA's Assignment Section also serves as office manager for the system; two other members of this section serve as system manager and assistant system manager, respectively. (The two system managers also perform operational functions).

3.5.2 System Operation

Two persons, also from the Assignment Section, perform duties as data entry clerks; and one other member of the DA's office acts as a data recorder/coder.

3.6 System Control

The automated system is owned, housed and operated by the district attorney.

3.7 System Security

3.7.1 Physical Security

The CPU, two terminals and the printer are located in one room in the office area of the DA's Assignment Section; the third terminal is located in an adjacent room, also within the same section. Access to the area is controlled by a security guard stationed at the main entrance to the DA's office area; only employees and authorized visitors are allowed to enter the area.

3.7.2 Protection of Computer Files

A password is used to gain access to the system via the terminals. The software will allow data entry/updating only from the terminals that are located in the same room as the CPU. Inquiries that are performed by other than personnel assigned to the system (prosecutors) are made from the terminal located in the room adjacent to the CPU; this terminal is not permitted, by lock-out features in the software, to make changes to the data base. All terminals are hardwired to the CPU, therefore communications to the CPU via a remote source is not possible.

3.8 Mode of Operation

All system operations are performed in an on-line mode.

- Data entry is accomplished using the on-line terminals, adding to or updating disk files directly through the CPU;
- Outputs, both video displays and printed reports, are generated in an on-line mode; and
- Video displays are augmented with a computer program that assists the operator (if needed) by prompting for specific input needed by the system to complete the inquiry.

3.9 System Users

3.9.1 On-Line Operations

Only personnel of the DA office have hands-on use of the system. Other members of the criminal justice community

may obtain information from the system by informally asking for the data from a system manager/operator.

3.9.2 Printed Reports

Printed outputs are used by the following:

- Judges (schedules);
- Prosecutors (schedules and caseload reports); and
- Defense attorneys (schedules).

3.10 System Goals

In response to the questionnaire, the following goals were rated (0-100) in order of importance as follows:

- Control of scheduling and logistical problems -- rating of 95;
- Capability for office and assistant prosecutor performance evaluation -- rating of 85;
- Allocation of staff based on prosecution priorities -- rating of 65;
- Research and analysis capability -- rating of 60; and
- Increase conviction rate -- rating of 20.

3.11 Current Applications

3.11.1 Capabilities

The system operates in an on-line mode providing video displays in response to inquiries and generating printed reports (also on-line) on a scheduled basis.

3.11.2 Outputs Supporting Office Operations

- Court schedules are produced daily and used in the superior court for calling cases and for recording/coding results of the court events;
- Prosecutor's caseload reports are generated twice monthly and used to track cases and for quality control; and
- Video displays are used mainly by line prosecutors, as required, to check case status.

3.11.3 Outputs Supporting Management Functions

No outputs are being generated that could be classified as management reports. Indications were made, however, that programs are to be written to generate statistical reports that should support management functions.

3.11.4 Files

Files are maintained on disk packs which contain records on approximately 4,200 defendants. Records contain: defendant name, DOB, sex race, SSN, address, ID numbers, aliases, and status; also included in the record are number of codefendants. names of complaining police officer, judge, defense attorney, and prosecuting attorney; disposition, docket information, event history section and notification section are also included.

3.12 Data Input Control and System Operations

Initial data entry is accomplished by using the case jacket as a source document, after the case has been presented to the grand jury (if grand jury is not waived) and a docket number has been assigned by the clerk of the court. On a daily basis, an output called the "workbook" (court schedule) is generated which lists all cases scheduled for hearing at the first criminal session for that day. Included on this listing are columns for recording (coding) the court results for each case. The DA's staff member who is assigned as the data recorder attends the court session and records (codes) the result of each case as it is heard by the judge. When the session is concluded, the workbook is then returned to the Assignments Section where data entry clerks update the computer files via the on-line computer terminals using the workbook as a source doument. Twice monthly, a report entitled Prosecutor Caseload Summary is produced. This report is used by the prosecutors to keep track of their cases and also serves as a quality control document whereby errors detected on the report are brought to the attention of the systems personnel for updating of the computer file. All system functions (input, processing and outputs) are performed in an on-line mode of operation. On-line inquiries can be made to an index file or

to the case detail file by use of a name, DA case number or docket number.

On occasion, line prosecutors use one of the computer terminals to make on-line querys to the automated system. A program called "HELP" has been written to assist in making such inquiries by prompting the operator to enter the appropriate data to cause the system to properly respond to the query.

The primary users of the system are the prosecutors for case/defendant status information, and the superior court for schedules. (It was interesting to note while observing a first criminal session that all of the court actors have access to and use the court schedule.)

3.13 Availability of Statistical Data

Data has been collected since November 1977 and stored in the system; manual records are available for pre-CMS operations. No statistical reports are currently generated by the system, but plans to do so are under way.

3.14 Interface with Other Systems

There is no interface with other systems at the present time; when the statewide PROMIS system is implemented for Suffolk County, some means of interface will be needed (see Attachment 2).

3.15 System Benefits

The primary benefit, as expressed by the users, has been the ability to easily account for all cases being processed; prior to CMS, it was difficult to track case status using manual methods.

The system appears to operate efficiently and has a high degree of reliability; however, a complete manual backup system is still maintained; benefits which should accrue from the elimination of manual tasks have not been achieved.

3.16 Future Applications

3.16.1 Planned

Plans have been made for the development of statistical reports.

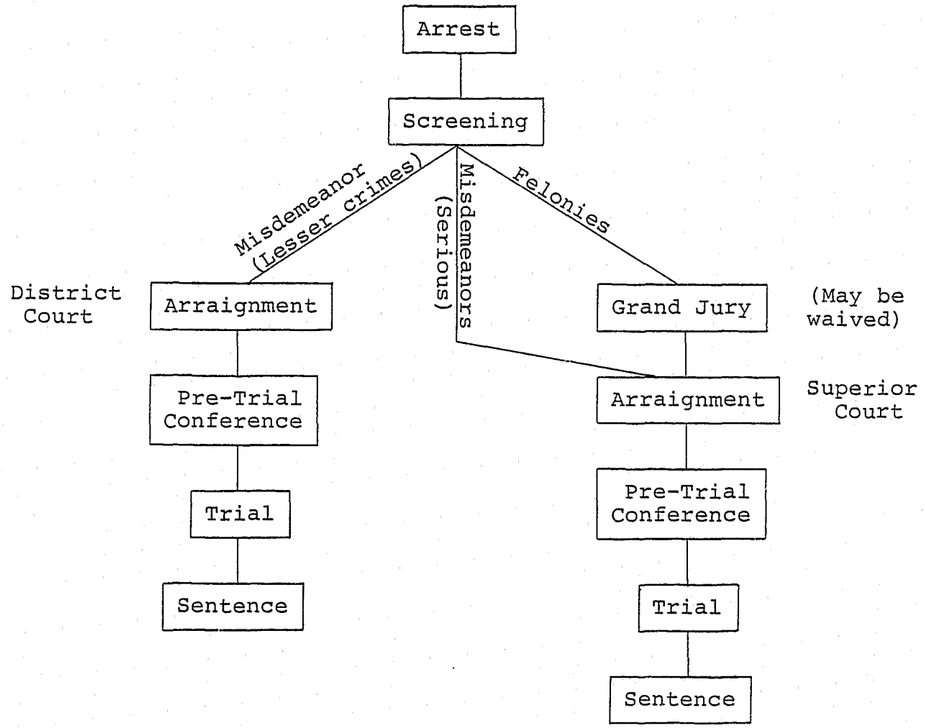
3.16.2 Applications Desired By Prosecutor

Prosecutors in management positions expressed a desire for statistical reports, but did not appear to be aware of the plans for such reports.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



4.2 Characteristics of the Process

4.2.1 Screening Policies

Screening is normally accomplished just prior to the preliminary hearing; the case is then discussed with the judge to determine probable cause; and the case proceeds or is dismissed depending on the judge's decision.

4.2.2 Special Assignment Policies

Special assignments are made for the following types of cases:

- Career criminals;
- Organized crime;
- White collar crimes;
- Drugs; and
- Political corruption.

4.2.3 Calendar Control

The "master calendar" system is used in superior court.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time (from Questionnaire)

	Felonies	Misdemeanors
Arrest to filing	30 days	45 days
Arrest to indictment	30 days	N/A
Arrest to trial verdict	220 days	120 days
Arrest to guilty plea	190 days	90 days
Arrest to dismissal	60 days	60 days

4.3.2 Conviction Rates

Data are available in the system to make this determination.

4.3.3 Rates of Dismissal

Data are available in the system.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Line prosecutors appear to be very satisfied with the Case Management System. It does not appear that they make frequent use of the on-line inquiry capabilities, but this may be because most of the information they need is at hand in the case jacket or in the caseload listings that they receive twice a month.

Prosecutors in management positions use the caseload listings to help control case processing with regard to speedy trial requirements, but do not use them as a tool for determining assignment of cases or for evaluating prosecutor's performances. (In regard to performance measures, it was pointed out to the investigators that caseload, per se, cannot be used as a measurement of performance because such data does not reflect the workload involved with those cases.) It was indicated that some research and analysis reports would be useful, but there was also an indication that the management personnel were not aware that such reports were already planned by the system's staff.

The personnel who manage and operate the automated system are not data processing technicians, but have been trained to enter and retrieve data. Requirements for new outputs cannot, therefore, be satisfied by in-house personnel and the response time to satisfy such requirements would probably be extensive if handled through the contractual process.

Satisfaction rating - 7

5.2 Duplication of Effort

The procedures used to record and enter data into the automated system appear to work well. The manual records (logs,

index cards) are still maintained and represent a complete duplication of data that are entered into the automated system. Although there was no indication that the automated system is considered unreliable (no extensive downtime), the Assignments Section personnel feel that a manual backup is needed.

5.3 Use of Outputs

The outputs generated by this system, although very limited at this time, appear to be excellent applications and are used effectively by the prosecutors and the court. The primary use of the outputs has been to control and account for the cases being processed; this task can now be accomplished with relative ease and much more efficiently than by manual means. Requirements for other applications (management reports, for example) have been recognized and steps are being taken to program those outputs. The approach has been to develop and implement the system in phases and not to do too much at one time; this approach seems to be working well.

5.4 State-of-the-Art

The sytem represents state-of-the-art technology in both hardware and software.

5.5 Assessment of Prosecutors' Information System

CMS is currently limited in scope in that it is used to process data relating only to cases prosecuted in superior court. It does not pick up cases brought by police (arrest) to

the district court, and does not provide outputs to support management functions. The present scope of the system, is, however, consistent with the development plan which calls for implementation of applications in phases, allowing one phase to be perfected before proceeding to the next.

Manual and automated procedures relating directly to CMS appear to function efficiently and utilization of outputs appear to be satisfactory.

Maintaining manually prepared records as backup to CMS is considered, by the investigator, to be unnecessary. Eliminating this task would provide CMS with a measurable benefit.

5.6 System Transferability

The system, in its present stage of operation, is not considered transferable because:

- Documentation of current applications has not been completed;
- Current applications are limited in scope (management reports are in the planning stage); and
- The operating system software (MICOS) is proprietary and is not in common usage and should be evaluated for applicability to other systems.

Once CMS has been fully developed and documented, the system should be evaluated for transferability, particularly from the standpoints of cost (relatively inexpensive) and the possibility of its use in a distributive processing environment.

5.7 Influences of the System

The system has apparently increased interest in management techniques. Since experienced ADP personnel are not employed by the DA's office, development of management applications may be a time consuming process.

5.8 Need for Technical Assistance

Technical assistance is needed to fully develop CMS, and to exploit its potential as a management tool. The outputs thus far developed appear to be excellent applications; experienced ADP systems/programmer personnel should be used to complete the development.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

The following members of the Suffolk County District Attorney's office were contacted:

Dave Rodman, Executive Assistant to DA
Paul Buckley, First Assistant to DA
Jim Caffrey, Assistant Prosecutor
Bob Long, Assistant Prosecutor
George Gushue, Office Supervisor, Assignments Section
John Duffett, Systems Manager, Assignments Section
Mary McCarthy, Data Recorder/Coder

The following members of the Judicial Information System of the Superior Court, Middlesex County were contacted:

Bob Mitchell
Bob Stacey

ATTACHMENT 2

MASSACHUSETTS (STATEWIDE) COURT CASE MANAGEMENT SYSTEM

The State of Massachusetts is implementing a Court Case Management System (CCMS) on a statewide basis using mini-PROMIS operating on two Burroughs 1870 computers. Implementation is being accomplished by the office of Judicial Information Systems of the Supreme Court which is located in Cambridge, MA.

System development began in October 1978 using the DEC 1170 version of mini-PROMIS. Funding was obtained from a $2 million LEAA Discretionary Grant of which $1 million was allocated for ADP activities, $500,000 for data recordation, and $500,000 for court reorganization.

Developmental work done by this office was included in the version of mini-PROMIS released by INSLAW in December 1978. This version of mini-PROMIS was then modified to run on the Burroughs computers and by March 1979, on-line terminals had been installed in Norfolk County to operate as a "prototype system." The modifications involved the tailoring aspects of defining the data base, records and inquiries; an edit check for case trial unit number, which is not part of the tailoring features, was also added to the system.

Aspects of this system include:

- Phased implementation, one county at a time, with Middlesex County scheduled next;
- All "indexed" items;
- All names involved in cases;

- All continuances and reasons therefore;
- Data entry performed by personnel of district attorney offices;
- Response rate of 4-5 seconds using 1200 band lines; and
- Inclusion of civil cases in the future.

Site Visit Report
Baltimore, MD A123

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

State's Attorney's Office of Baltimore City
204 Court House
North Calvert Street
Baltimore, Maryland 21202

1.2 System Title and Brief Description

The system title is the Maryland Court System (MCS).

This is an on-line case management system. The criminal court controls all the data entry and processing. Access is provided to the state's attorney, police and public defender.

1.3 Primary Site Contact

Barbara G. Daly
Chief, Interagency Liaison Division
State's Attorney's Office
(301) 396-5527

1.4 Date of Visit

Date of the visit was April 19, 1979.

1.5 Survey Team Members

Sid Brounstein
Joe Firestone

1.6 Site Personnel Contacted

Barbara Daly, Office of the State's Attorney

Maryann Willin, Deputy State's Attorney

Mike Nieberding, State Judicial Information Systems Project Director

Jim Salb, Project Manager, Baltimore Courts Project

George Riggin, Criminal Assignment Commissioner Supreme Bench of Baltimore

Linda Crowley, State Judicial Information Systems

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The area served is the city of Baltimore.

2.2 Population Served

The population of Baltimore is approximately 950,000.

2.3 Names of Courts

Supreme bench of Baltimore (criminal court)

District courts

2.4 Number of Judges

Felonies - 10

Misdemeanors - 10

Both - 2

2.5 Number of Prosecuting Attorneys

Attorneys - 70

Investigators - 4

2.6 Caseload

The caseload was distributed as shown in the following items. Note that use of the word defendant means all charges arising out of one criminal incident against one defendant.

- Defendants closed in 1978 - 60,000;
- Felony trials - 869;
- Felony defendants screened - 4,325;
- Felony defendants nolled - 971;
- Felony defendants accepted - 3,587;
- Misdemeanors accepted - 31,947;
- Felony guilty pleas - 1,542;
- Dismissals - 20;
- Guilty verdicts (felonies) - 722;
- Acquittals (felonies) - 147; and
- Jury trials - 400.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Development costs were $275,000 (1976 Directory).

3.1.2 Source of Funds

LEAA provided grant funds which were approved in 1971.

3.1.3 Means of Development

A contractor developed software programs (IBM) with participation by State court information systems staff.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The operational date was April, 1972.

3.2.2 Operational Cost

Cost of operation is about $30,000 per year (estimated in mail survey response). Upon further questioning of Linda

Crowley of the State Judicial Information System staff, annual costs in excess of $100,000 are estimated. Costs are borne by State.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370-158 located in Annapolis, Maryland with 2048K core storage is used as the central processor.

3.3.2 Input/Output Devices

Twenty-four 3277 CRT Terminals are used in the criminal court system. One (1) Card Reader and one (1) Modem are also used.

3.3.3 Cost of Hardware

Hardware cost is estimated to exceed $60,000.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL. Tele-processing uses assembly language and DL/1 for message handling.

3.4.2 Operating System

OS/VS is the operating system.

3.4.3 Data Base Management System

DL/I is used for data base management.

3.5 Personnel

The following types of personnel are associated with the system:

- Court systems analyst/programmer (Tom Kessler) - 1;
- Programmers - 2;
- RJE operator - 1; and
- Data entry personnel - 1 per 24 terminals.

3.6 System Control

The ADP facility is housed in the State facility; it is budgeted and run by the State. The computer is shared by many agencies under control of State comptroller. The State court administrator funds the system; $3.1 million in the budget; $1.4 million to the comptroller for computer system. The court system goes through State lines of authority and through chief judge.

3.7 System Security

3.7.1 Physical Security

Security guards are used for physical security.

3.7.2 Protection of Computer Files

Authorized user ID codes are used to protect the files.

3.8 Mode of Operation

The system is primarily an on-line data entry and retrieval system. Many inquiries are provided on-line with prompting screens. There are some batch reports; but no comprehensive statistical or ad hoc report generation capabilities.

3.9 System Users

Supreme bench, state's attorney, public defender and police use the system.

All users have access to entire data base via remote display terminals and predefined inquiry capabilities.

3.10 System Goals

The following are system goals:

- Speed flow of cases through court;
- Reduce court backlog;
- Maintain high quality of justice;
- Reduce paperwork; and
- Provide up-to-date information on status of cases, defendant and parties involved in court cases.

The prosecutor's major goal for the system is scheduling and logistics. He would like to do more research and analysis.

3.11 Current Applications

3.11.1 Capabilities

System capabilities include:

- Defendant tracking;
- Case status tracking;
- Defense attorney and judge inquiries; and
- Calendar management.

3.11.2 Outputs Supporting Office Operations

Outputs supporting operations include:

- Displays of case status;
- Displays of defendant status;
- Displays of parties involved in court;
- Displays of calendars;
- Case continuances;
- Case transactions; and
- Case dispositions.

3.11.3 Outputs Supporting Management Functions

Batch reports on caseload, calendars, case inventory, by judge are used to support management functions.

3.11.4 Files

System files include:

- Case History
  - Case number;
  - Type;
  - Filing date;
  - Names of parties;
  - Scheduled dates;
  - Continuances; and
- Name Index
  - Defendant;
  - Attorneys;
  - Judges; and
  - Witnesses.

3.12 Data Input Control and System Operations

The computer case file is established after prosecutor screening of felony cases; after preliminary hearings and grand jury stages of processing. There is no computer record of cases screened out by prosecutor. The court clerk is responsible for all computer data entry and verification.

3.13 Availability of Statistical Data

The state's attorney's office has compiled an extensive set of statistics on caseflow, workload and performance measures since 1973. There is a potential for constructing a time series data analysis. Continuances and reasons for continuances, time in processing and dispositions are all tracked in the computer.

3.14 Interface with Other Systems

The State of Maryland maintains a comprehensive set of statewide court caseflow and disposition statistics for all jurisdictions in the State. In attempts to provide comparable data for jurisdictions, but the city of Baltimore has several special problems in comparability. There is no link between the city of Baltimore court information system and state CCH or OBTS projects.

3.15 System Benefits

Benefits of the system are:

- The court and prosecutors appear to have satisfactory access to current status of all active court cases, defendants and parties involved in case;
- Efficient case scheduling and monitoring of postponements; with apparently reduced court delay. Delay is still a problem; and
- Reduced clerical manpower and costs in tracking case and defendant status.

3.16 Future Applications

3.16.1 Planned

The State is pursuing the implementation of PROMIS in many jurisdictions under the Incentives Program. The State is considering alternatives for providing a statistical and ad hoc report generation capability to the city of Baltimore.

3.16.2 Applications Desired By Prosecutor

The prosecutor desires the capability of retrieving data from the host computer data base (maintained by the court) and preparing his or her own statistical reports, preferably on the prosecutor's own microcomputer.

- Word processing;
- Ad hoc management inquiries; and
- Statistical analysis.

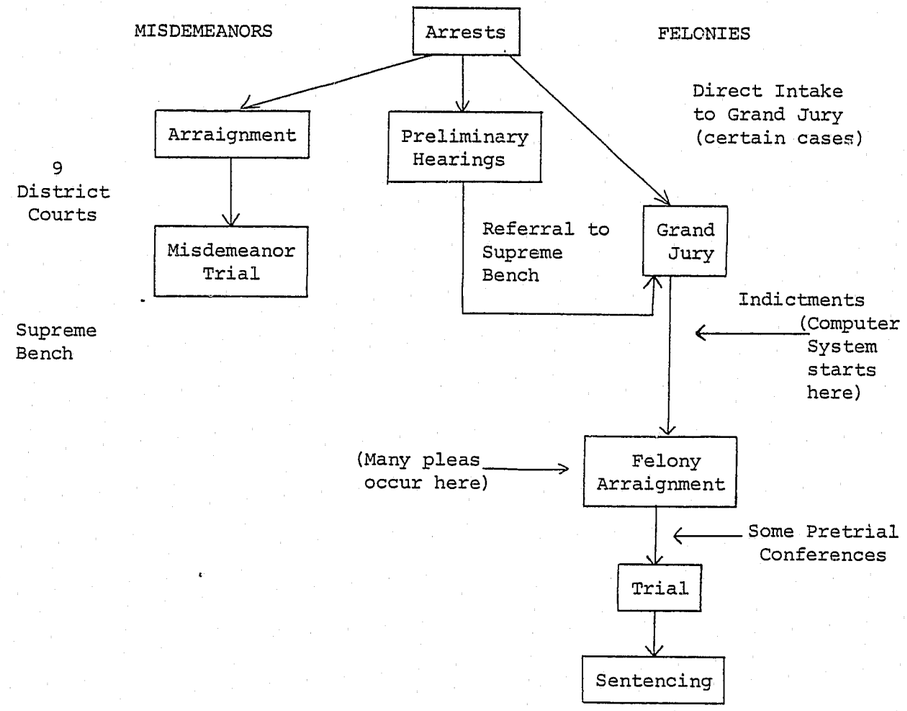
The prosecutor has expressed interest in an evidence tracking capacity being developed by the National District Attorney's Association (NDAA), under the direction of Greg Phillips.

The prosecutor expressed interest in the statistical analyses conducted by Lee Falkey in Dayton, Ohio. Ms. Daly stated she is not interested in quantitatively evaluating seriousness of crimes and defendant's histories for prioritization of cases. She would like statistics on judicial accountability and defense counsel performance with respect to speedy trial.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart:



4.2 Characteristics of the Process

There is little or no screening by the prosecutor at the district court level; i.e., misdemeanors are not screened, and felonies are screened only in preparation for preliminary hearing by the grand jury. As a result, the caseload is excessive. A special arraignment court for all indicated cases provides the major vehicle for case screening and has proven effective. Many cases are pled at the arraignment stage. The prosecutor who screens the case takes it through grand jury. One grand jury meets four days per week. Between 60-70 percent of indictments are tried. Criminal assignment offices does scheduling for all judges at Supreme bench level, under a "master calendar" approach.

Special assignment policies include:

- Sex offenders;
- Serious crime liaison project; and
- Career criminal project.

4.2.1 Screening Policies

The prosecutor appears to use legal sufficiency criterion for screening and prosecution decisions, rather than an emphasis on increasing the conviction rate or reducing backlog. About 17 percent of felony cases were rejected at screening in 1978. About 43 percent of felony filing result in a guilty plea. This is a high volume court with overburdened prosecutors.

4.3 Judicial Performance Measures

4.3.1 Case Processing Time

- Felonies
  - Arrest to indictment — 28 days
  - Arrest to trial verdict — 204 days
  - Average time to closure (by trial, plea, or dismissal) — 160 days
- Misdemeanors
  - Arrest to district court trial — 14 days
  - Arrest to jury trial (Supreme bench) — 190 days

4.3.2 Conviction Rates

- Felonies
  - About 92 percent of trail verdicts are guilty;
  - About 64 percent of closed cases end in guilty verdict (pleas, dismissals, Nolles).

4.3.3 Rates of Dismissal

About 20 percent of defendants are either screened out or plead guilty in arraignment court. About 28 percent of cases filed are dropped by prosecutor. About 68 percent of all filings result in a plea of guilty.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

The quality of the data and response times to inquiries appear to be quite satisfactory. The prosecutors seem satisfied with the operational use; particularly since they incur no burden of data entry and do not have to contribute to the costs of operation out of their budget. The courts and public defender appear equally satisfied.

The prosecutor has indicated a desire to prepare statistical reports, but wants confidentiality preserved for these statistics. The data processing staff is exploring the use of the MARK IV file management system to enable the user to generate his or her own reports without intervention by DP.

The response of DP to programming new applications appears satisfactory, since the court has its own small programming staff dedicated to Baltimore applications.

User satisfaction rating - 7

5.2 Duplication of Effort

There is no apparent duplication of effort in this system.

5.3 Use of Outputs

The users appear to understand the terminal displays, inquiry capabilities and management reports.

5.4 State-of-the-Art

The hardware and software is reasonably up-to-date even though the system has been operational for more than seven years. An area in which the system could be improved is the management information component. There is a need for ad hoc statistical and report generation capabilities under user control. State court DP staff is exploring the use of MARK IV to enhance retrieval and report generation capacity.

5.5 Assessment of Prosecutors' Information System

Since the system is initiated only at the indictment stage, there is a significant gap in measuring prosecution performance in screening, etc. between arrest and indictment. There is a separate district court information system, but it does not appear to generate very useful information for the prosecutor; only caseload and disposition statistics for the nine district courts.

There is little regular management information generated for use by the prosecutor or courts. For example, no reports are produced on case aging, delay disposition rates and postponement rates. An on-line booking system linked to the court system would be an excellent addition to the utility of the MIS.

5.6 System Transferability

Applications are of general interest, though limited in scope. Application programs are written in COBOL as part of CICS-DL/1 environment. Design concepts are quite transferable. The system appears to be inadequately documented from the transferability point of view. The system could be transferred to another IBM 370 environment using CICS-DL/1.

5.7 Influences of the System

Baltimore has been a very tight budget situation, whereas the State of Maryland has been in a better budget situation. The State has been promoting modernization of information systems and management techniques. Most recently, PROMIS has been made available to jurisdictions within Maryland, including Montgomery and Prince Georges County. This program may affect future efforts for the city of Baltimore.

5.8 Need for Technical Assistance

The office of the state's attorney is a strong generator and user of performance statistics, and could provide technical assistance to other prosecutor's offices.

Site Visit Report
Oklahoma City, OK A232

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Oklahoma Crime Commission
Statistical Analysis Center (SAC)
3033 N. Walnut
Oklahoma City, OK 73105

1.2 System Title and Brief Description

Arrest Reporting Disposition System (ARDS) - a statewide case status system serving all 77 counties and 27 districts via on-line terminals to the five largest counties, and via telephone (WATTS - hotline) between the other counties and SAC where on-line inquiries are made and answers supplied via the hotline.

1.3 Primary Site Contact

Jim Wilson
System Manager
(405) 521-2821

1.4 Dates of Visit

The dates of the visit were May 10-11, 1979.

1.5 Survey Team Members

Joe Firestone
Jerry W. Hogg

CONTINUED

4 OF 6

1.6 Site Personnel Contacted

See Attachment 1.

1.7 Other Systems Discussed

Oklahoma County attempted to implement PROMIS and is now in the process of developing and implementing a system which is, reportedly, similar to the Fort Worth system (see Attachment 2).

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The entire State of Oklahoma is served by this system.

2.2 Population Served

The State population is approximately 2,766,000.

2.3 Names of Courts

Oklahoma courts do not receive ARDS outputs directly. If a court desires an output, it is requested through a district attorney's office.

2.4 Number of Judges

The number of judges is not applicable to the evaluation of ARDS.

2.5 Number of Prosecuting Attorneys

There are between 100-120 prosecuting attorneys within the State.

2.6 Caseload

During 1978, approximately 50,000 cases were processed through ARDS; approximately 20,000 of those cases were felonies.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Development of the system cost approximately $248,000.

3.1.2 Source of Funds

LEAA provided initial funding of approximately $200,000.

3.1.3 Means of Development

The system was developed by members of the Oklahoma Commission Statistical Analysis Center with assistance from two part-time programmers.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system was considered operational in January, 1977.

3.2.2 Operational Cost

Approximately $200,000 a year; $100,000 to pay for computer time; $100,000 for personnel.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

The central processing unit is an IBM 370/158.

3.3.2 Input/Output Devices

The devices currently used in support of this system are:

- Video display terminals with keyboard entry; and
- High speed printer.

3.3.3 Cost of Hardware

Approximately $100,000 a year is spent for the SAC share of operating costs.

3.4 Software

3.4.1 Programming Language

The programming language is COBOL.

3.4.2 Operating System

The operating system is IBM-OS.

3.4.3 Data Base Management System

IMS is presently in use; conversion to CICS is planned.

3.4.4 Response Time

Response time varied during observation. It averaged about 15 seconds; exceeded 30 seconds at times.

3.5 Personnel

Nine persons staff the office of the Statistical Analysis Center. Positions include:

- Center director (office manager) - 1;
- System manager - 1;
- System operators - 2;
- Training officer (responsible for training new personnel in the counties) - 1;
- Secretaries - 2; and
- Data entry clerks - 2.

3.6 System Control

Although management control of ARDS is maintained by SAC, the computer is housed and controlled by the Oklahoma County ADP facility.

3.7 System Security

3.7.1 Physical Security

Terminal facilities observed are maintained in "secure areas."

3.7.2 Protection of Computer Files

Passwords are not used with this system, but software protection recognizes specific terminals/transactions.

3.8 Mode of Operation

Inquiries are made in an on-line mode from five counties and by SAC responding to phone queries from the other 72 counties. Scheduled reports are generated in a batch processing mode. Those counties that have on-line terminals enter data via those terminals; all other sites mail source documents to SAC for entry by on-line terminals at that location.

3.9 System Users

Users of the system include:

- District attorney offices - statewide;

- Courts - statewide; and
- Police departments - statewide.

3.10 System Goals

The primary goals of the system, as expressed during the site visit and in written reports, are:

- Provide a statewide capability to identify career criminals; and
- Provide an efficient means for reporting disposition and statistical information to state and national agencies.

3.11 Current Applications

3.11.1 Capabilities

ARDS provides on-line inquiry capabilities to only five of the 77 counties within the State; however, 80 percent of the statewide caseload is originated within those five jurisdictions. Inquiries for the other 72 counties are handled by phone to SAC where the query is initiated in an on-line mode and response provided to requestor by phone. A series of "utility reports" and "statistical reports" are generated on a batch processing basis.

3.11.2 Outputs Supporting Office Operations

Approximately 12 outputs classified as "utility reports" are generated on a weekly or monthly basis. These include:

- Cases
  - Pending, by court number
  - Pending, by name
  - By type of case
  - Assigned to prosecutor, by prosecutor name;
- Deferred judgements;
- Missing court numbers;
- Hit list (matches new defendants with names and DOB's of defendants already on file);
- Filed in other county;
- Dispositions; and
- Subpoenas.

3.11.3 Outputs Supporting Management Functions

Seventeen outputs are on the list of statistical reports that are produced on a monthly or quarterly basis. They include:

- Cases filed (number of felony/misdemeanor cases filed in current month compared to previous month and same month of previous year);
- Occurrence of charges;
- Felony disposition summary;
- Felony and misdemeanor workload;

- Hearing results
  - By attorney
  - By judge;
- Defendant analysis;
- Time analysis; and
- Cases
  - Duration by disposition
  - Continuances
  - Reductions
  - Dismissals
    - by judge
    - by attorney
  - Summaries.

3.11.4 Files

Files are maintained on IBM 3330 dual-density disk storage units. Over 200,000 criminal records and 52,000 case disposition records are on file. Approximately 4,000 new master records are added each month. Records contain:

- Names of all persons associated with the case;
- Dates of all events;
- Results of each court event and reason for the various actions; and
- Dispositions.

3.12 Data Input Control and System Operations

Data entry is accomplished in an on-line mode via terminals located in five counties and at Statistical Analysis Center (SAC). In the counties where terminals are installed,

data are entered by secretarial personnel who use the case jackets as source documents. In the counties that do not have terminals, case record reports are prepared manually by secretarial personnel and sent to SAC for entry via the terminals located there; data from these sources, ergo, can be several days old by the time that it is entered into the system.

In addition to the methods of on-line inquiries (direct via terminals and indirect via the hotline) microfiche copies of case records are sent out each month to all jurisdictions.

3.13 Availability of Statistical Data

Statistical data are available beginning approximately January 1977. The data set and the statistical reports available from ARDS represent the most complete and comprehensive statistical package that has been observed among the sites visited.

3.14 Interface with Other Systems

ARDS interfaces with Oklahoma State Bureau of Investigation (OSBI) through software capabilities that permit the merging of information from the files of each system.

3.15 System Benefits

It appears that the goals of the system are being satisfied by providing prosecutors, on a statewide basis, a means to help identify career criminals, and by relieving the

various statewide jurisdictions of the task of preparing required disposition and statistical reports.

3.16 Future Applications

Additional statistical reports are being planned.

4. JUDICIAL PROCESS

4.1 Caseflow

Since a specific jurisdiction was not being surveyed, caseflow was not discussed.

4.2 Characteristics of the Process

See 4.1, above.

4.3 Judicial Performance Measures

Data are available from ARDS to measure case processing time, conviction rates, rates of nol pros, dismissals, etc. Contact would have to be made with each jurisdiction involved in order to determine if such data are available for periods prior to the implementation of ARDS.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Because of the scope of this system (statewide), a general assessment of ARDS could not be made through direct contact with the users. Local users (Oklahoma County) are in the process of developing a different system (see Attachment 2) and their opinions could not be considered objective.

Satisfaction rating - 8

5.2 Duplication of Effort

The preparation of source documents in the 72 counties that do not have terminals represents a duplication of effort in that data are recorded three times (case jacket, source document, and keyed into ARDS). Since 80 percent of data entry is accomplished on-line from the five counties that do have terminals, installation of additional terminals to eliminate this duplication, would probably not be cost effective.

5.3 Use of Outputs

The real need for outputs has been tested by the system manager distributing reports to the various users. Instructions to request discontinuance of the report, if it is not needed, accompany the reports. Very few requests for discontinuance have been received, and it was indicated that the "hit list" has become very popular with the users.

5.4 State-of-the-Art

ARDS hardware and software represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

Considering the (statewide) scope of this system, applications in use, cost of development, and the relatively short development time (six months), ARDS is an excellent system that appears to meet the goals for which it was established.

5.6 System Transferability

It appears, from the standpoint of commonality of hardware/software applications and the status of documentation, that this system is transferable. Comments from the system manager, however, indicated that he would consider only transfer of concepts, not software. He felt that an automated system should be developed around existing procedures and prosecutors, that police and the courts should not be required to change their procedures to fit an automated system.

5.7 Influences of the System

Development of ARDS has precluded the need for state-wide jurisdictions to generate and prepare statistical reports which are required by the State. (This was the main thrust behind ARDS development.) ARDS has improved the ability of criminal justice agencies to identify career criminals across jurisdictional boundaries.

5.8 Need for Technical Assistance

ARDS appears to operate efficiently and the outputs, particularly the statistical reports, appear to be excellent applications. The technical expertise of the system personnel precludes the need for technical assistance.

ATTACHMENT 1

SITE PERSONNEL CONTACTED

Dr. Glen Wallace, Director, Statistical Analysis Center (SAC), Oklahoma Crime Commission

Jim Wilson, ARDS System Manager, SAC

Jon Steen, SAC

Niel Gilson, ARDS Training Officer, SAC

Pat Sweeny, SAC

Del Woodruff, Oklahoma County

Del Woodruff, Oklahoma County

ATTACHMENT 2

OTHER SYSTEMS DISCUSSED

During the visit to the Oklahoma Crime Commission, the Oklahoma County District Attorney's automated information system was also discussed. This discussion was continued during a visit to Oklahoma County D.A.'s office.

Oklahoma County had attempted to implement a version of PROMIS. This endeavor was unsuccessful because, reportedly, Oklahoma County did not have personnel who were technically qualified to accomplish the task.

Although ARDS appears to contain all the data needed by the D.A.'s office and although an ARDS terminal is located in the D.A.'s area, other systems were examined for possible transfer to Oklahoma County. The system selected for implementation is similar to the Tarrant County Criminal Justice Information System which is currently operating in Fort Worth, Texas.

According to the response to our mail survey, this system will be called the Criminal Justice Information Network. Development costs will be approximately $50,000, funded from internal (county) sources. It will cost approximately $8,500 a month to operate. The questionnaire response also indicates that the system will produce calendars, workload reports, case status reports, research and analysis reports and will generate various forms.

Personnel now working on the implementation of this system are new to the job and did not have information relevant to the specific reasons for the unsuccessful implementation of

PROMIS. Nor were they aware of the reasons for installing this new system when ARDS is readily available to the D.A.'s office. (Mr. Andrew Colts, the District Attorney, was not available for interview.) SAC personnel stated that the "official reason" given them for installing a separate system is the concern of the D.A.: if LEAA funding of ARDS is discontinued, ARDS operations will cease, although the Crime Commission and the county have been assured that the State will pick up funding for ARDS if LEAA funds are stopped.

Site Visit Report

Fort Worth, TX A263

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Tarrant County District Attorney
Courthouse
100 W. Weatherford
Fort Worth, TX 76102

1.2 System Title and Brief Description

Tarrant County Criminal Justice Information System (TCCJIS) - a computerized telecommunications system with real-time, on-line data storage and retrieval, serving police, prosecutors, courts and corrections agencies.

1.3 Primary Site Contact

William Roberts,
Director of Information Systems
(817) 334-1180

1.4 Dates of Visit

The dates of visit were May 7-9, 1979.

1.5 Survey Team Members

Joe Firestone
Jerry Hogg

1.6 Site Personnel Contacted

Wayne Hyde, System Manager, (817) 334-1180
J. J. Heinemann, Assistant Prosecutor
Steve Chaney, Assistant Prosecutor

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

Tarrant County is the area served by this office.

2.2 Population Served

The population of this area is approximately 800,000.

2.3 Names of Courts

Courts in which prosecutors try adult criminal cases include:

- Criminal district courts - 5
- County criminal courts - 4

2.4 Number of Judges

Judges assigned to these courts include:

- Felonies only - 5
- Misdemeanors only - 4

2.5 Number of Prosecuting Attorneys

A total of 54 prosecutors are assigned to this office.

2.6 Caseload

According to the response to the mail survey, approximately 13,200 cases (both felony and misdemeanor) were screened last year; about 13,000 of these cases were accepted for prosecution.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Approximately $855,000 was spent to develop this system according to the Directory of Criminal Justice Information Systems.

3.1.2 Source of Funds

LEAA provided $646,479; the balance was provided from internal sources.

3.1.3 Means of Development

A county level ADP organization was formed in May, 1973 for the purpose of developing this system. Existing systems at 13 locations were studied by the development staff and relevant concepts and ideas were then used to develop TCCJIS. The system was considered operational on June 14, 1975. The total project duration supported by Federal funds ran from October 1, 1972 through January 1, 1976. Seven people were used to develop the system.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system was operational as of June 14, 1975.

3.2.2 Operational Cost

Approximately $354,000 a year is needed to operate TCCJIS. This figure represents 30 percent of the total $1,180,000 budget for county ADP operations and includes the cost of personnel wages, equipment rental and maintenance costs.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/145 is used as the CPU; an IBM 3031 is on order and is expected to be installed later this year.

3.3.2 Input/Output Devices

Approximately 60 IBM 3270 and 3284/3286 terminals are available to the criminal justice agencies.

3.3.3 Cost of Hardware

The CPU was purchased (cost is not available); other equipment is leased at an annual cost of approximately $103,500.

3.4 Software

3.4.1 Programming Language

Application programs (for prosecutor/court applications) are written in COBOL.

3.4.2 Operating System

The IBM OS/VSI operating software is used for this system.

3.4.3 Data Base Management System

The IBM DL-1 data base management system is to be installed later this year.

3.4.4 Response Time

The normal response time is 4-6 seconds; maximum response time is about 10 seconds. System downtime averages two percent; maximum time down has been 30 minutes; the normal time down runs about 20 minutes.

3.5 Personnel

At the present time, six (6) data processing personnel handle TCCJIS requirements:

- Project director - 1; and
- Programmer/analyst - 5.

3.6 System Control

The computer system is housed, managed and operated by the Tarrant County Information Systems Division.

3.7 System Security

3.7.1 Physical Security

The ADP facility is housed in a secure area; only authorized personnel are permitted access. Terminals are also in secure areas with access limited to authorized persons.

3.7.2 Protection of Computer Files

Passwords, controlled by software, are used for both terminals and files.

3.8 Mode of Operation

Users enter their own data using on-line terminals located in their individual areas. A variety of displays can be called for by on-line inquiry to the system. On a scheduled basis, approximately 110 batch reports are available daily, weekly, monthly or quarterly. For on-line operations, the system features a prompting technique to aid operators in completing a query.

3.9 System Users

The following agencies are served by this system:

- Sheriff;
- District attorney;
- Grand jury;
- Justice of peace;
- Court coordinators;
- Criminal district clerk;
- Criminal county clerk; and
- Police agencies (in 40 municipalities).

3.10 System Goals

The Tarrant County Criminal Justice Information Systems manual describes many goals and objectives of the system. The following is a summary of objectives that relate to the prosecutor and courts and that fall into the overall goal of "providing law enforcement and prosecution/courts personnel with information systems which support daily operations and furnish relevant management and statistical information":

- Improve utilization of prosecutor's and judge's time and of court room facilities;
- Improve case preparation, tracking, coordination and accounting procedures;
- Reduce clerical duties throughout the CJ community;
- Reduce exploitation of the CJ system by criminals; and
- Provide management with positive and effective methods of monitoring and evaluating operations.

3.11 Current Applications

3.11.1 Capabilities

This system provides the capability to enter and retrieve information in an on-line mode of operation and provides a host of batch reports on a scheduled and "as required" basis.

3.11.2 Outputs Supporting Office Operations

Outputs supporting office operations include:

- Visual displays based on inquiry on case, defendant, various I.D. number, etc.;
- Listings of defendants by
  - All cases in progress;
  - Defense attorney;
  - Bondsman;
  - Court assignment; and
  - Awaiting grand jury action;
- Probation cases by court;
- Appeal cases by court;
- Dockets for each court; and
- Quash lists by court.

3.11.3 Outputs Supporting Management Functions

Management reports include:

- Case filings;
- Indictments;
- Dispositions;
- Case evaluations; and
- Prosecutor evaluations.

3.11.4 Files

Information is consolidated into a hierarchically structured data base that consists of several major subsystems:

- Booking/custody;
- Warrants;
- Bonds;
- Jury selection;
- Case management;
- Scheduling/calendaring;
- Grand jury; and
- Justice of peace.

3.12 Data Input Control and Systems Operations

System participants are responsible for entering their own data via on-line terminals and are also responsible for data accuracy. On a monthly basis, a series of "error" lists are

produced using software edit techniques and provided to system participants for quality control purposes.

3.13 Availability of Statistical Data

Data capable of producing statistical information have been captured by this system since 1976. Data are available to measure such performances as:

- Conviction rates;
- Dismissal rates;
- Processing times; and
- Dispositions by type offense.

Reports are currently produced that reflect the above statistics.

3.14 Interface With Other Systems

This system interfaces, CPU to CPU, with the Texas Criminal Information Center (TCIN) and through TCIN to the National Criminal Information Center (NCIC).

3.15 System Benefits

Benefits of the system include:

- The ability to handle an increased caseload without an increase in clerical staff -- pending cases have increased from 5,000 to 15,000 because of increased population and increased crime rate -- no additional clerical staff has been needed to handle the increase;

- Automated techniques permit rapid response to changes that may occur during case processing -- if, for example, a grand jury wants charges altered, this can be done using TCCJIS in time for resubmission on the same day;
- The automatic generation of reports and forms offers an obvious savings in clerical tasks; and
- Methods of preparing, tracking and accounting for cases have definitely been improved.

3.16 Future Applications

3.16.1 Planned

At the time of the site visit, plans were under way to implement a "probation subsystem" which is to include providing probation officers with terminals for access to the system.

3.16.2 Applications Desired by Prosecutors

Prosecutors indicated a desire for only one additional output -- a chronological list of cases, with the oldest case first (a case-aging-report).

3.17 Operational Procedures

In addition to the procedures previously described, other unique applications and uses of this system were noted.

3.17.1 Charging Prose

Prosecutors normally spend a great deal of time drafting charges because it is important to use language that has been tested in the courts. To aid in this time consuming task, prosecutors who are considered experts in specific criminal areas drafted prose for specific charges, the charges were coded and the codes along with the charging prose were entered into the computer system. Now, when a prosecutor selects a specific charge, the code for the selected charge is entered into the system along with data identifying the offense and defendant; and a charging document is then generated by the system in a form suitable for presentation to the grand jury. If the grand jury decides to change the charge, a new charging document can be rapidly generated by using the code for the new charge. Trial results are continuously monitored by the prosecutor's office to ensure that charging prose is kept up-to-date.

3.17.2 Terminal Use in the Courtroom

One judge in this jurisdiction (Judge Duval) has a terminal installed in his court. If he has a question about a case or the reason given for a request for continuance, he may have case information or attorney's schedules displayed via the on-line terminal to assist him in making a decision. He also causes dispositions to be immediately entered into the system as they occur.

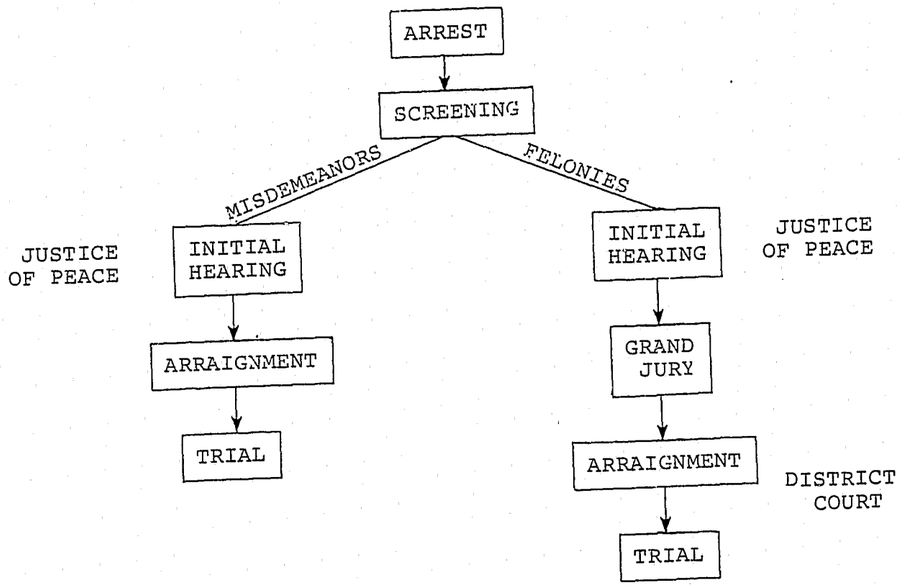
3.17.3 Overview of System Procedures

A summary of TCCJIS operational procedures is contained in Appendix A.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



4.2 Characteristics of the Process

4.2.1 Screening Policies

Screening is accomplished as soon after arrest as possible. Experienced prosecutors do the screening and use the TCCJIS to check prior records of defendants for the purpose of identifying habitual criminals.

4.2.2 Special Assignment Policies

Special assignments are no longer made. (Previously, special assignments were made for career criminals, capital murder and some economic crimes.)

The prosecutor now uses a training process to insure that the most serious cases are handled by the best qualified assistant prosecutors. This training process calls for prosecuting attorneys to start their practice at the lowest level (complaint department), then progress to handling misdemeanors, and finally progress to trying felony cases.

4.2.3 Calendar Control

The "individual calendar" method is used in this jurisdiction for both felonies and misdemeanors.

4.3 Judicial Performance Measures

Data should be available in TCCJIS to measure the performance of the judicial system; however, the response to our mail survey indicated that data relevant to caseflow (average number of days from arrest to specific court events) were not taken from records, and a comment in reference to caseload data stated "stats unreliable."

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

Users appear to be satisfied with the system response times and with outputs that are provided. Comments in response to the mail survey indicated that the quality of data could be improved, particularly updating data.

Satisfaction rating - 9

5.2 Duplication of Effort

There were no areas of duplication noted during this survey.

5.3 Use of Outputs

It appears that on-line displays and the generation of charging prose receive heavy usage. Batch reports appear to satisfy daily operations and provide a great deal of information for management purposes.

5.4 State-of-the-Art

Hardware, software and processing techniques represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

The scope of this system provides capabilities beyond the needs of just the prosecutor and therefore provides greater efficiency of operations throughout the criminal justice system. The ability of the system to respond rapidly to on-line inquiries and the reduction of clerical burdens by use of the system are important factors that have improved the efficiency of operations.

5.6 System Transferability

Applications of the system are of general interest; the programming language and operating system software are in common usage and system documentation appears to be complete.

During development of this system, technicians concluded that transfer of a system from another jurisdiction should not be attempted because local procedures would have to be changed to fit the requirements of the transferred system. Instead, the system designers developed TCCJIS around existing manual procedures by using concepts and ideas gleaned from the other systems that they had studied.

Because of the complexity of this system, total transfer to include software, is not recommended; however, concepts and the design features of the various applications are considered appropriate for transfer.

5.7 Influences of the System

Development of the system appears to have created greater cooperation among criminal justice agencies. The

availability of in-house experienced ADP personnel seems to have had a positive affect on a reasonably smooth transition to the automated system.

5.8 Need for Technical Assistance

There is no apparent need for technical assistance.

ATTACHMENT 1

OVERVIEW OF SYSTEM PROCEDURES*

The Tarrant County Criminal Justice System, broadly speaking, serves two major areas, law enforcement and judiciary.

In the area of law enforcement, target areas involve the automation of the sheriff's booking and custody process, and bonding process.

When a person comes into custody of the sheriff, he must be booked into the county jail. The Criminal Justice Information System provides for automation of the booking function through the use of CRT terminals and printers in the booking area. When a prisoner is initially brought into the booking area, the system is queried to determine whether this individual has ever been entered into the system before. If he has, he will already have been assigned a CID (County Identification) number. If not, a CID is established for the person at this time. This number is permanently associated with a particular person in all present and future contacts with the County Criminal Justice System.

Once a CID has been found or established for this person, he is booked into jail using the booking functions of the system. A series of transactions entered through the CTR terminal will establish the booking data into the system. An entry for the desk sergeant's report and a booking data card are automatically printed on the terminal printers in the booking area.

*King and Flaa, Tarrant County Regional Criminal Justice Information System, A Synopsis

Information on the location of the prisoner by floor and tank and judicial status (felony/misdemeanor, sentenced/unsentenced) may be entered at this time and later updated as the location or status of the prisoner is changed. As further identifying information on a prisoner (such as fingerprint class or FBI number) becomes available it may be entered by the ID section to build a more complete identification profile of the individual. This profile may be entered on request.

Whenever a prisoner is discharged from the sheriff's custody, a booking-out function is performed to notify the system that this person is no longer in the jail.

Several inquiry functions are available based on the booking and ID information. CRT terminal lists may be called up to show current jail population statistics by prisoner judicial status, an alphabetical list of all prisoners currently in jail; or an alphabetical list of prisoners in a given judicial status. An inquiry may also be made to display a list of any outstanding warrants on a person. All prior bookings information on a person may be inquired upon through the booking terminal.

At the end of each month a comprehensive listing of all prisoners curently in jail along with their current judicial status is prepared as a management information tool for the sheriff. At the end of each 24 hour period a complete desk sergeant's report is printed in both a gains and losses format and by chronological sequence of book-in/book-out transactions.

All of the above services combine to give the sheriff's department an efficient system for managing the jail operation.

Among the judicial agencies, a criminal cases system will track a case from initial complaint, through issuance of a warrant, booking, bond information, grand jury indictment (if required), court assignment, court proceedings, and final case disposition. This system includes provisions for automatic changes to all records of the case to reflect each step in the case process. This means that information concerning significant events in a case will be available to all interested agencies immediately after the record of the event is entered into the system. This eliminates the usual wait for the "paperwork" to come around.

When a case is originally filed in the district attorney's office, the initiation of the case is begun through a CRT terminal, the prose of the complaint is selected and entered, and a terminal printer prints the actual form which comprises the indictment or misdemeanor information.

If the offense is a felony then the complaint is carried to the appropriate justice of the peace for issuance of felony warrant. When the accused is apprehended under the warrant and he is booked into jail, bond information may be entered if the bond is posted. If the offense is a misdemeanor, the justice of the peace is not involved and the misdemeanor information is forwarded to the county clerk criminal section for issuance of Capias warrant.

When the grand jury returns an indictment in a felony, the system allows modification of the charge or the complaint prose if the grand jury wishes a change. The felony indictment is then forwarded to the district clerk's office where the initial data is entered. The clerks then produce the writs to serve indictments and Capias warrants through the terminal printer in their office. The writs, the defendant's copy of the indictment and any necessary Capias warrants are then forwarded to the sheriff for service.

From this point on, processing of felonies and misdemeanors is essentially the same. Defense attorney assignments, prosecutor assignments, and settings data are entered as they become known. Changes in bond status may be entered. As the case progresses, more information is compiled into the system until final disposition is reached and entered. As long as the defendant is in county jail, the case is on appeal, or probation is being served, a disposed case remains on the active files of the system until these conditions are removed. Then a case is copied to a history file after a month. If needed, a case can be reactivated from the history to the active file.

The court coordinators for the district courts are also tied into the system. They enter data on waivers of indictment, on settings and prosecutor assignments, and on defense attorneys.

Many inquiry functions are available to show current case information in detail or summary functions. These inquiry functions are available to all areas of the criminal justice community for their use.

A series of reports is produced each week and distributed to all concerned users. These reports reflect case data current to the time the reports are produced. Through the system functions described above, a criminal case can be continuously monitored as it progresses from initiation to final disposition.

Site Visit Report
Norfolk, VA A274

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

Commonwealth's Attorney
800 East City Hall Avenue
Norfolk, VA 23513

1.2 System Title and Brief Description

Total Recall Adult Criminal Element Record (TRACER) is an on-line computerized system that serves police, prosecutors, courts and correction officials in the tracking of subjects through the entire criminal justice system.

1.3 Primary Site Contact

J. W. Nixon
Data Processing Manager
(804) 441-2537

1.4 Dates of Visit

The dates of the visit were March 20-22, 1979.

1.5 Survey Team Members

Sidney Brounstein
Jerry Hogg

1.6 Site Personnel Contacted

Tommy Miller, Assistant Prosecutor

Tom Baldwin, Administrative Assistant, Commonwealth's Attorney's Office

J.W. Nixon, Data Processing Manager, General Services, City of Norfolk (804) 441-2537

A.C. Hooper, Clerk of Court's Office, District Court

Charlie Greene, Clerk of Court's Office, Circuit Court

Bill Garbee, Systems Analyst, Data Processing Division, (804) 441-2537

Sgt. D.H. Mason, Central Files Division, Norfolk Police Department, (804) 441-2506

Capt. Niel Koch, Commander, Central Files Division, Norfolk Police Department

Mary Mendelsen, Assistant City Manager for General Services.

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The city of Norfolk is the area served by this office. The TRACER system serves the region known as The Tidewater Area.

2.2 Population Served

Norfolk has a population of approximately 320,000. The Tidewater Area has a population of approximately 1,250,000.

2.3 Names of Courts

Adult criminal cases are tried in the circuit court (felonies) and district court (misdemeanors).

2.4 Number of Judges

The circuit court has nine judges assigned; the district court has three judges assigned.

2.5 Number of Prosecuting Attorneys

There are 16 prosecuting attorneys assigned to this office.

2.6 Caseload

In 1978, a total of 8,865 cases appeared on the circuit court docket. These cases consisted of:

- Felony 1 and 2 - 343;
- Other felony - 4,081;
- Misdemeanor - 4,398;
- Habeas, post conviction - 43

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

Development of the system cost $221,000.

3.1.2 Source of Funds

LEAA provided $199,558 for system development; the balnce (21,442) was provided by local sources.

3.1.3 Means of Development

The system development of TRACER began in November, 1975 and continued for approximately 18 months. The project was under the direction of Sergeant Mason of the Norfolk Police Department. Technical development and computer programming was under the supervision of Mr. Nixon of the data processing division who employed, for this purpose, a contractor as well as his own in-house personnel.

Requirements for the system were developed through coordination with the various user agencies. The system was developed in two phases:

- Phase I - to provide service to the police department, the jail, the sheriff's office and the district court; and

- Phase II - to provide service for the circuit court, commonwealth's attorney, city attorney, and the probation/parole department.

3.2 Operational Date and Costs

3.2.1 Date System Became Operational

The system was considered operational as of May 1977, with the implementation of Phase II.

3.2.2 Operational Cost

The monthly operating cost of TRACER is approximately $13,160 ($157,920 a year). This cost includes personnel wages, equipment, communications and all other support items.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 370/145 is used as the CPU.

3.3.2 Input/Output Devices

Input/output devices include IBM 3277 and 2740 video display terminals located in user-agencies and IBM 3284 and 3286 high speed printers. Approximately 100 terminals and printers are used for TRACER.

3.3.3 Cost of Hardware

The CPU had been purchased and installed in the city ADP facility long before the development of TRACER began. No CPU cost was incurred by TRACER. During the development stage, $62,568 was used for rental of terminals, printers and data storage equipment. It is estimated that rental of terminals/printers cost approximately $2,000 a month.

3.4 Software

3.4.1 Programming Language

Application programs are written in COBOL.

3.4.2 Operating System

The IBM DOS/VS is the operating system in use.

3.4.3 Data Base Management System

No data base management system is in use with TRACER.

3.4.4 Response Time

Response time expected from this system should be only several seconds and this type of response was observed. The

only complaint expressed by the users, however, was the excessive time (more than five minutes in some cases) for the system to respond. The system managers were well aware of the situation and were taking steps to overcome the problem.

3.5 Personnel

Three data processing personnel are devoted to TRACER: one system manager and two analyst/programmers.

3.6 System Control

The system is housed, operated, and controlled by the city of Norfolk Data Processing Division.

3.7 System Security

3.7.1 Physical Security

Computer operations are performed in a "restricted area." User agencies control access to their terminals.

3.7.2 Protection of Computer Files

Access to the computer files is controlled by the software which permits updating or data retrieval based on terminal identification.

3.8 Mode of Operation

Each user is responsible for data input which is accomplished only in an on-line mode; little downtime has been experienced of late and no backup is provided to the on-line data entry operation.

The system provides the capability for on-line inquiry and over 100 batch type reports are generated on a scheduled basis.

3.9 System Users

Users of the system include:

- Police;
- Courts;
- Corrections;
- State criminal justice agencies;
- Grand jury; and
- Local FBI.

3.10 System Goals

An assistant prosecutor was asked to rate, on a scale of 0-100, what he felt the "ideal" MIS contribution should be toward achieving office goals and what "actual" contribution is being provided by the TRACER system. His ratings were as follows:

GOALS	IDEAL	ACTUAL
• Allocation of staff based on prosecution priorities	50	15
• Monitoring of evenhandedness	80	0
• Control of scheduling and logistical problems	100	60
• Research and analysis capability	50	10
• Capability for office performance evaluation	75	15
• Capability for assistant prosecutor performance evaluation	40	05
Increased conviction rate	25	0

3.11 Current Applications

3.11.1 Capabilities

TRACER provides on-line inquiries to determine defendant and case status and generates a variety of batch reports for office operations and management functions.

3.11.2 Outputs Supporting Office Operations

The following types of outputs are generated in support of office operations:

- Court dockets;
- Defendant tracking;

- Case tracking;
- Subpoenas and notices;
- Criminal histories;
- Prisoner control;
- Workload reports; and
- Disposition reports (gum labels).

3.11.3 Outputs Supporting Management Functions

Outputs generated in support of management functions include:

- Caseload statistics by court and by prosecutor;
- Cases continued;
- Disposition statistics;
- Case-aging reports; and
- Event-duration averages.

3.11.4 Files

The publication, "A Plan For Progress" (Data Processing Division, 1978), lists five TRACER files consisting of 600,500 records. These include:

Files	Records
• Docket	10,000
• Jail population	1,500
• Name index	33,000

• Numeric index	156,000
• Persons	400,000

Records are stored on-line, on disks, for a two-month period; jail and docket files are "dumped" onto tape after the two-month period and retained, off-line, for an indefinite period.

The "Person Master File" is the main component of TRACER. This file contains:

- Names and aliases;
- Addresses;
- Identification elements, such as local, state and FBI numbers and fingerprint codes;
- Arrest charges;
- Docket numbers or arrest report numbers;
- Custody status;
- Dispositions; and
- Previous confinements.

3.12 Data Input Control and System Operations

TRACER provides on-line data entry by all users. Each user is responsible for the accuracy of the data entered by them.

A "menu function" is available to operators. This permits the display of the various codes to be used for calling up various inquiry or updating screens.

Criminal histories are called for at the time of arrest/booking. If the defendant has a record, it is merely updated with the arrest and booking information relevant to the current offense; if no record exists, one is created by the booking officer. When the arrest and booking data are entered a Central Criminal Report (arrest report) is automatically generated in multiple copies on a high speed printer located in the booking facility.

If the defendant is not released on bond, a commitment form is also generated on a second printer. A docket entry is also created for each charge at this point in the process. One copy of the arrest report is sent to the police central files division. When disposition for that defendant is entered into the TRACER system a "gum label" is automatically printed, in the central files office, showing disposition information. That label is then matched with the arrest report, attached to the report, and filed in the completed file without any further recording of the information.

As the case flows through the system (prior to final disposition) appropriate information relating to assignment of attorneys, court events, trial dates, etc., is entered into the system by the office responsible for recording such data.

Even before TRACER implementation, the clerk of the court required that all dispositions and court events be recorded in manual records by the end of the day. This policy is still followed, but with TRACER, manual records are no longer kept and data are recorded faster with fewer people, and current information is accessible to all system users.

3.13 Availability of Statistical Data

TRACER contains, what appears to be excellent statistical data. Therefore, statistical reports are generated that show information on defendants pertaining to:

- Race and sex;
- Marital status;
- Age, education and employment status;
- Average bond set;
- Event duration averages, such as arrest to grand jury, arrest to conviction, etc.;
- Punishments;
- Total defendants;
- Cases commenced, pending, concluded and reasons for conclusions; and
- Cases commenced, by charge.

3.14 Interface with other Systems

TRACER interfaces, CPU to CPU, with the Tidewater Electronic Network of Police Information (TENPIN) which, in turn, interfaces with the Virginia Criminal Information Network (VCIN) and, in turn, the National Crime Information Center (NCIC).

3.15 System Benefits

Specific benefits of the system include:

- Easy access to current information about defendants, cases and criminal histories for all members of the criminal justice community. This has reduced the number of phone calls to various agencies to obtain such information and precludes the workload required to manually search out the information;
- Automatic generation of documents, such as subpoenas, notices, arrest reports, commitment orders, disposition labels, etc. This capability saves and extensive workload that would be required to accomplish the same tasks manually;
- The case of recording data using on-line terminals, as opposed to the manual recording of the same data. This has permitted the clerk of the court to reduce his staff by seven people through attrition; and
- The capability to identify career criminals, by the automatic accessing of criminal records at the local, state and national levels. This had enhanced the career criminal program.

3.16 Future Applications

There were no indications that new applications were planned or desired. Plans had been made, however, for Newport News, Hampton and Chesapeake to participate in the TRACER system (Virginia Beach is currently participating).

3.17 Operational Procedures

A unique feature of the overall criminal justice system in this jurisdiction, not previously discussed, is the use of a

locally developed fingerprint classification system called FAST (Fingerprint Access and Searching Technique).

This technique uses a single-print method of classification. Each finger is identified by an eight-digit code; hence, eighty digits are required for both hands. Prints of known criminals are coded in two categories: primary (active suspect); and secondary (all others). After classifying each set of prints by the single method, they are entered into the computer disk file creating a record for each individual as classified. Latent prints are then classified using the same method and inquiries are made against the existing file.

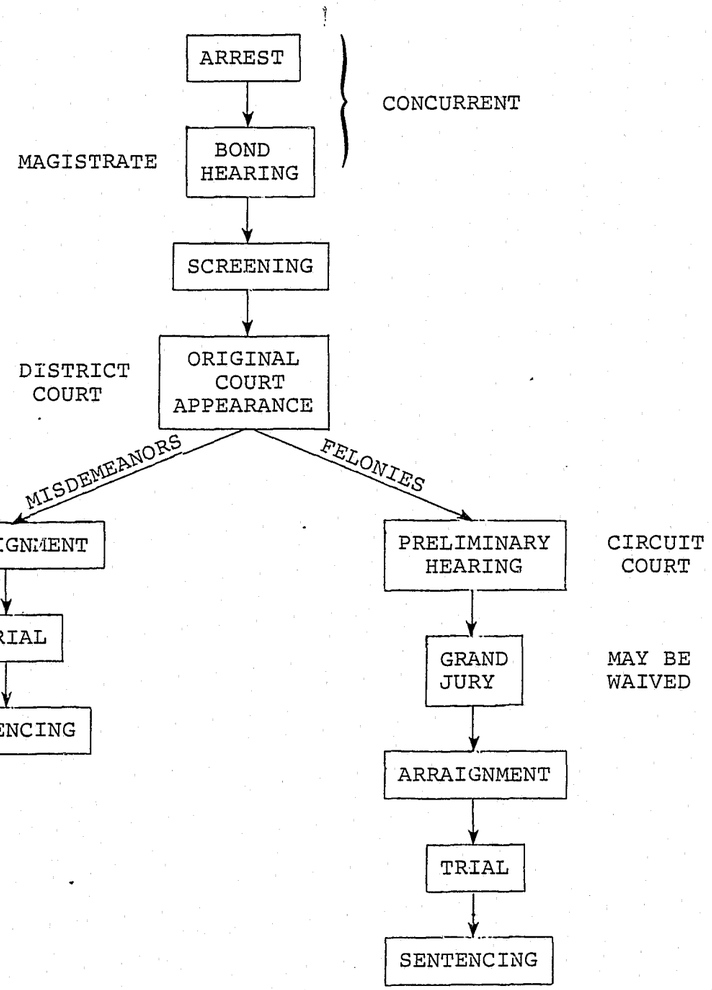
Four computer programs are required for this technique: additions, modifications, deletions and searches.

FAST contains over 50,000 prints and has a response time of about two seconds. Use of the system has obvious advantages over the normal delay of waiting for fingerprint identification through FBI channels.

4. JUDICIAL PROCESS

4.1 Caseflow

Caseflow for the judicial process is indicated in the following flowchart.



4.2 Characteristics of the Process

4.2.1 Screening Policies

Screening is accomplished at the district court level, prior to the preliminary hearing. No special screening policies were identified.

4.2.2 Special Assignment Policies

Three prosecutors are assigned to the Career Criminal Unit at the district court level.

4.2.3 Calendar Control

The "individual calendar method" is used for capital murder cases only; the "master calendar method" is used for all other cases.

4.3 Judicial Performance Measures

Data are available and outputs are generated to reflect judicial performance measures such as:

- Case processing time;
- Convictions;
- Dismissals;
- Reductions;
- Acquittals;

- Nolle Prosequi; and
- Withdrawals.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

The only aspect of this system that did not receive high praise from all users interviewed was the response rate, which at that time was causing problems for data entry personnel as well as users desiring to query the system. Since the visit, this problem has been resolved: maximum response time is now 15 seconds (as opposed to 5 minutes previously experienced) and users are now satisfied.

Satisfaction rating - 10

5.2 Duplication of Effort

There was no duplication of effort noted in this system. Forms, such as arrest reports, are prepared manually in the event of system outage. It was reported that manual recording is not usually performed, but the user will merely wait for the system to come back up (downtime has been minimal). Therefore, this function is not considered a duplication of effort.

5.3 Use of Outputs

Outputs supporting both daily operations and management functions appear to satisfy user needs.

5.4 State-of-the-Art

Hardware and software represent state-of-the-art.

5.5 Assessment of Prosecutors' Information System

This is one of the most efficient and effective systems observed during this study. The system encompasses all facets of the criminal justice community and appears to provide a very high degree of satisfaction to its users.

5.6 System Transferability

System applications are of general interest: hardware and software are in common usage; and the system is well documented. Some programs, dealing with the various codes in use, are table driven which allows codes to be changed quickly and easily.

It would appear, based on the above factors, that the possibility that this system could be transferred is very high.

5.7 Influences of the System

It was apparent that the successful development and implementation of this system was strongly influenced by the personalities involved, particularly the System Manager (Jay Nixon). Notwithstanding the extensive technical experience needed to design and program TRACER, the ability to gain cooperation from the users of the system was essential to its development, and this aspect of the development has been accomplished extremely well.

5.8 Need for Technical Assistance

There is no apparent need for technical assistance for this system.

Site Visit Report
Milwaukee, WI A285

TABLE OF CONTENTS

TABLE OF CONTENTS (Continued)

1. GENERAL

1.1 Office Surveyed

District Attorney
Milwaukee County
821 West State Street
Milwaukee, WI 53233
(414) 278-4646

1.2 System Title and Brief Description

The Justice Information System (JUSTIS) was established to automate recordkeeping for the criminal justice agencies including the clerk of court's office and the sheriff's and prosecutor's offices. Outputs include working documents such as calendars and complaints, on-line visual terminal displays with current data on cases in progress and printed managerial and statistical reports.

1.3 Primary Site Contact

Louis A. Metz III, Coordinator
JUSTIS
Safety Building
821 W. State Street
Milwaukee, WI 53233
(414) 278-5034

1.4 Dates of Visit

Dates of the visit were May 17-18, 1979.

1.5 Survey Team Member

The investigator was Judith Robinson.

1.6 Site Personnel Contacted

Louis A. Metz, III, Coordinator
JUSTIS
Safety Building
821 W. State Street
Milwaukee, Wisconsin 53233
(414) 278-4646

William Gardner, Deputy District Attorney
Safety Building
821 W. State Street
Milwaukee, Wisconsin 53233
(414) 278-4646

Sgt. Richard Krizan
Milwaukee County Sheriff's Office
(414) 278-4987

Donald Thorgaard, Chief Deputy
Clerk of Courts - Criminal Division
(414) 278-4588

Robert Erdman
Clerk of Courts - Criminal Division
(414) 278-4588

Franklin Lotter, Superintendent
Milwaukee County House of Corrections
(414) 425-2022

Herman B. John
Chief Assistant District Attorney
Safety Building
821 W. State Street
Milwaukee, Wisconsin 53233
(414) 278-4646

2. DESCRIPTION OF ORGANIZATION

2.1 Area Served

The area served is Milwaukee County, Wisconsin.

2.2 Population Served

Population served is approximately 1.5 million.

2.3 Names of Courts

Milwaukee County Circuit Court - Criminal Division-consisting of 12 courtrooms which handle felonies, misdemeanors, traffic and ordinance violations.

2.4 Number of Judges

Twelve (12) judges handle all felony, misdemeanor, traffic and ordinance cases. Three judges are assigned to juvenile court and twenty-four handle civil matters.

2.5 Number of Prosecuting Attorneys

The district attorneys staff includes fifty-seven (57) full-time assistants, five investigators, eight social workers, and forty-four (44) clerical and other support personnel for a total staff of one hundred and fourteen (114).

2.6 Caseload

For 1978, the office screened approximately 3,200 felonies of which 2,800 were filed. Seventy-two hundred (7,200) misdemeanors were screened and sixty-two hundred (6,200) filed.

3. DESCRIPTION OF THE INFORMATION SYSTEM

3.1 Development

3.1.1 Cost of Development

The three year Law Enforcement Assistance Administration (LEAA) "Project Turnaround" grant totaled $1,080,000. Of that amount, approximately $860,000 was allocated to JUSTIS with the balance funding a number of programs dealing with victim/witness assistance, a "sensitive crimes" unit and a research and planning unit. The grant was awarded to the county under the discretionary grant program.

3.1.2 Source of Funds

During the three years of the project the county/Federal proportions changed; in year one: 8 percent county/92 percent LEAA, in year two 20 percent county/80 percent LEAA and in year three, 33 percent county/67 percent LEAA. Since January 1, 1979, JUSTIS has been funded 100 percent by the county.

3.1.3 Means of Development

Project Turnaround funds allowed employment of two analysts and two programmers to assist Louis Metz in implementing JUSTIS. The PROMIS package was transferred in December, 1975 and substantially altered by the above in-house staff.

3.2 Operational Date and Costs

3.2.1 Date System Become Operational

The PROMIS system was tested from December 1975 until February 1978 when according to Metz, several conclusions became evident:

- PROMIS was prosecution oriented and had little to offer the courts or law enforcement;
- PROMIS was a second generation computer design oriented to tape with limited inquiry and data entry capability;
- PROMIS was programmed to operate with the FASTER monitor which the county data processing department did not use;
- FASTER was not compatible with the county's data processing technology; and
- The batch mode was not timely where the mainframe had to be shared by numerous county agencies.

As a result of these findings, approximately 30 percent of the PROMIS programs were dropped; all of the PROMIS programs were substantially changed and many new programs written. Felony data began in October 1976 and the first outputs were received in early 1977. See Attachment 1 for complete chronology.

3.2.2 Operational Cost

The JUSTIS system is a separate line item in the county budget, but the costs are allocated among the users (e.g., for FY80 the district attorney has been assessed $200,000). For FY79 $666,000 was appropriated; the FY80 budget is $92,000.

3.3 Hardware

3.3.1 Central Processing Unit (CPU)

An IBM 3032 has recently (February 1979) been purchased by the county to replace the IBM 370-158 on which JUSTIS was implemented.

3.3.2 Input/Output Devices

The county leases 32 Memorex 1377 terminals and eleven IBM 3287 printers to support JUSTIS. An IBM 3350B2 is used for disc storage and the line control device is an IBM 3705.

3.3.3 Cost of Hardware

The new IBM 3032 was purchased by the county; cost was not available. The Memorex 1377 terminals are leased for $100/month per terminal; the IBM 3287 printers rent at $188/month each.

3.4 Software

3.4.1 Programming Language

The JUSTIS programs are written in ANS COBOL.

3.4.2 Operating System

The IBM OS is used by JUSTIS.

3.4.3 Data Base Management System

JUSTIS uses the IBM Customer Information Control System (CICS).

3.4.4 Response Time

JUSTIS is ranked eleventh in priority on the mainframe and has a 2.7 second response time for 97 percent of its transactions. JUSTIS averages 350,000 transactions per month.

3.5 Personnel

As of January 1, 1979, Metz and his staff were severed from the district attorney's office. Metz was reassigned to the office of the clerk of court and his staff, the original two analysts and two programmers, were transferred to the department of administration's data processing division. As a result of this action the staff is being diverted to other projects and, according to Metz, the pace of development has decreased.

3.6 System Control

The county data processing division has operational control of JUSTIS.

3.7 System Security

3.7.1 Physical Security

The mainframe and file library are located in a secure facility with access only to authorized personnel.

3.7.2 Protection of Computer Files

Data entry access is controlled by the operator's code and control tables which authorize certain functions (e.g., adding witnesses) from designated terminals only.

3.8 Mode of Operation

All data entry and inquiry is done on-line. Reports, calendars, subpoenas and other quantity outputs are run overnight in batch form.

Data is entered by the office with "primary responsibility" for its use; not changes in responsibilities were made when JUSTIS was introduced, therefore alleviating fears of "loss of control" by any office.

At present data is entered to on-line terminals in the offices of the district attorney and the clerk of courts. In both offices, existing staff were trained to perform their job duties on the automated equipment - no new staff were hired specifically to implement JUSTIS. The ability to enter (or delete) data is controlled by use of the operator's code and a algorithm keyed to an internal date and time clock.

CONTINUED

5 OF 6

The district attorney is responsible for entry of all data concerning offenses, arrests, defendants, and rejected charges; also for witness and victim information needed for computer preparation of subpoenas and others notices.

The clerk's office enters all case information concerning arraignments, continuances, dispositions and sentences as well as data necessary for the preparation of court calendars (e.g., attorneys, judge, courtrooms.) Reporters, researchers, and the public generally have inquiry access to the court files through terminals on the countertops in the clerk's office. Clerk office staff now direct questionnaires to the terminals for answers.

The sheriff's department has terminals in the jail to provide on-line booking and census information.

All terminals access prompting screens with step-by-step instructions for locating data.

3.9 System Users

Criminal justice agencies with access to JUSTIS by terminals in their offices include: the clerk of court, district attorney, sheriff (jail and investigations divisions) and House of Corrections (a minimum security detention facility).

3.10 System Goals

3.10.1 Initial Goal

The initial goal of JUSTIS has been to automate record-keeping at all levels of the county justice system and to eliminate duplicate information collection and maintenace. (While JUSTIS was principaly oriented to the criminal justice system, it will be implemented in civil areas too.)

3.10.2 Implementation of JUSTIS

Implementation of JUSTIS was planned in three stages:

Phase I	Entry of all felony, misdemeanor and traffic cases. Felony caseload is completely on-line; misdemeanors are substantially completed (new cases are added as filed; problem has existed in getting older cases added. Traffic files have not been automated.
Phase II	On-line booking (completed). House of Corrections (partial - more programs and additional terminals are planned). Juvenile court records are to be added by September 1979. Access to JUSTIS by the public defender and Milwaukee Police Department and development of bond information programs are pending.
Phase III	Automation of the civil division of the clerk's office is expected to begin by February 1980.

3.11 Current Applications

3.11.1 Capabilities

Since JUSTIS implementation, the public and all users have had immediate access to all felony case records and their accompanying schedule in the clerk's office. These public records can be accessed 24 hours a day, 7 days a week.

3.11.2 Outputs Supporting Office Operations

The users receive the following outputs:

- Clerk's office - schedules, dockets, indices, judgement rolls, case cross-reference lists, error lists, master case lists and felony case pull lists.
- District attorney's office - Complaints, subpoenas, and case filing index.
- Sheriff's office - Jail census and prisoner location lists, booking records, bench warrant list.
- Milwaukee Police Department - Daily arrest and trial disposition logs. (Note, MPD is not a JUSTIS user; nevertheless in addition to these logs, their court liaison officer is permitted to access JUSTIS from the sheriff's terminals.
- House of corrections - Booking records, census information, job assignment lists monitor release and return of work-release prisoners.

3.11.3 Outputs Supporting Management Functions

By office these are:

- Clerk's office - Bench warrant reports, statistical caseload reports.
- District attorney - Monthly caseload report by assitant district attorney, misdemeanor and felony specially assigned (e.g., speciality units); caseload reports, felony cases pending by assistant, or by type of charge; disposed cases list by assistant (includes case processing time, charges and sentence, new cases issued list, master case file summary (all defendants and their charges whether recidinist, ADA assigned etc.), list of cases specially assigned by teams (e.g., organized crime, sensitive crimes), misdemeanor and felony bench warrant lists (both pre-trial and post-conviction).
- Sheriff's office - Statistical reports.
- House of corrections - Statistical reports, prisoner status reports (e.g., work-release probation, parole, extradition).

3.11.4 Files

Currently approximately 50,000 cases and 44,000 defendants are on JUSTIS. Four files are maintained:

- Criminal event file - Time, place, date, inquiries, offense.
- Defendant file - Personal identification, alias, other pending cases.
- Case file - Charges, court events (date, time courtroom), parties, disposition and sentence.
- Participant's file - Names of victims, witnesses, police officers, defense attorneys, judges, clerk, court reporter, and the case(s) in which they are involved.

3.12 Data Input Control and System Characteristics

JUSTIS presently has a 2.7 second response time for 97 percent of transactions. Typically, response time increases following morning and afternoon court sessions when the clerk is updating files. Data is entered by the court clerk and district attorney's office as described in Section 3.8.

3.13 Aavailability of Statistical Data

Pre-JUSTIS statistical records in court and prosecutor activities exist, although on a limited scale. These records were developed by compilation of manual index card filing systems. In Metz's opinions, there is sufficient data for a "before and after" analysis.

3.14 Interface with Other Systems

At present, the JUSTIS central processing unit can interface with the CPU of TIME, the statewide police communication system located in Madison, Wisconsin. The TIME mainframe can access NCI as well as computers at the State department of transportation (for motor vehicle records) and at the criminal information bureau.

3.15 System Benefits

3.15.1 Clerk of Court

Implementation of JUSTIS has had the greatest direct impact on the clerk's office. Faced with an increasing caseload

and limited budget, automation was deemed essential for efficient operations. Indexing, scheduling and docketing of felonies (and all new misdemeanors) has been facilitated and some paperwork (e.g., master card file, docket sheets and judgment books) have been eliminated. All docketing is done on-line creating a complete case record. Court records can be "certified" directly from the screen format.

The office remains handicapped by a shortage of personnel. The office is under a Federal court order to meet affirmative action guidelines and can only hire in accordance with those guidelines. They reported difficulty in finding qualified employees.

Compounding this is the practice of the chief criminal court clerk and his assistant doing all the dispositions themselves. As a result felony and misdemeanor cases are closed months before JUSTIS so indicates.

3.15.2 District Attorney

JUSTIS has had a significant and positive effect on this office, particularly its screening functions. More time is available to study the evidence prior to charting decisions because the "clerical crunch" has been eliminated. Now a stock charge is called up on a terminal and the variables (names, dates, details) inserted, entered and printed. JUSTIS is accessed to find out whether other charges have been filed; "cases pending" tables cannot be trusted due to the delays in entering disposition data.

In addition to automating complaints, use of printers to generate subpoenas has eliminated that typing duty. The printer also prepares recall subpoenas and administrative messages

which are sent through JUSTIS to TIME (statewide police communication system) to radio the officer of last minute continuances or other delays. Metz estimates this feature alone has saved over $150,000 in police overtime pay.

The principal criticism of prosecutors is based upon the delays (sometimes up to 3 months) in the entry of disposition data.

3.16 Future Applications

3.16.1 Milwaukee Police Department

As noted, the MPD is not a JUSTIS participant. According to Metz, this is largely due to the reluctance of the chief of police to introduce automation. Nevertheless, MPD has been receiving a daily log of their arrest and trial dispositions for some time and is reportedly happy with that JUSTIS output. Metz is negotiating an arrangement to bring MPD into JUSTIS providing they agree to enter arrest, offense and other data. If agreement is reached, the screening process in the district attorney's office will be enhanced as preliminary information would already be on the screen when the officer arrives to file changes.

3.16.2 House of Corrections (HC)

The Superintendent, Franklin Lotter, has requested a third terminal to augment the two terminals and two printers presently in use. In addition to accessing the JUSTIS database,

Lotter uses this equipment for internal recordkeeping and report compilation. Lotter noted that since JUSTIS, the sheriff, DA and courts no longer need to call the HC in an attempt to locate a defendant. Now questioners are directed to "check your tube." There are some cases, however, where due to the delay in entering dispositions at the clerk's office, the information is not on JUSTIS or is not current.

In January 1979, the HC terminals were enhanced to access TIME and now these terminals are the busiest in the JUSTIS network with up to 23,000 transactions per month. Metz noted 5,000 transactions per month are required for a terminal to pay for itself.

Lotter is requesting a third terminal for use in the entrance area to schedule visitors' appointments with inmates and to enforce the HC rule that ex-inmates cannot return as visitors for six months following their own last incarceration. In addition, Lotter expects that running visitors names through JUSTIS to TIME could turn up some active warrants among the visitors.

3.16.3 District Attorney

Overall, this office was satisfied with JUSTIS, conceding it surpasses their manual system. The extreme delays in entering disposition data make most of the outputs useless due to their unreliability. The delay in implementing the MIS coupled with the hefty annual use assessment is also a source of consternation.

4. JUDICIAL PROCESS

4.1 Caseflow

See Attachment 2.

4.2 Characteristics of the Process

4.2.1 Screening Policies

According to Herman John, the police agencies do a fairly good job in screening cases before presenting them to the prosecutor. The office is organized into teams and all felony teams do one week rotations in screening. Each assistant is assigned a small private office within the screening area to meet with police officers, victims/witnesses and defendants. The screening assistant then handles the case at all subsequent stages through sentencing. John noted the change to vertical prosecutors has reduced the felony caseload substantially.

Assistants are given discretion in making charging decisions with a few guidelines: Charges are filed which can be proven beyond a reasonable doubt (e.g., overcharging and pleading down is not permitted), exceptions are made only for crimes of violence, thefts or where a gun is involved. Assistants are expected to try the call as they filed it.

4.2.2 Special Assignment Policies

In addition to divisions among felony, misdemeanor and juvenile courts, the office has several specialty units including career criminal, organized crime, sensitive crimes (sexual and child abuse), nonsupport, and training.

4.2.3 Calendar Control

Cases are scheduled by the clerk of court on a rotating basis. The criminal court judges rotate through "intake court" at two week intervals. Intake court is the defendant's first appearance where preliminary matters are handled (e.g., bail setting, appointment of attorney). Cases are assigned to one of the ten criminal courtrooms for all subsequent action, i.e., a vertical system is then followed.

4.3 Judicial Performance Measures

JUSTIS can produce the following data: case processing time, conviction rates, dismissals and other parameters. According to Metz, the judges have not requested any reports of this nature. No reliable data exists prior to JUSTIS.

5. FINDINGS, OBSERVATIONS AND JUDGMENTAL ASSESSMENTS

5.1 User Satisfaction

All agencies involved were satisfied and remarked their staff would never return to the manual methods. A spokesman for the sheriff's department noted that as people became more familiar with the advantages and multiple applications of JUSTIS they developed new program ideas. Subsequent delays in implementing new programs caused some frustration. Metz added that as the immediate problems are resolved, items that were not originally preceived as problems take their place and generate a momentum of change and enhancement.

Satisfaction rating - 8

5.2 Duplication of Effort

With the exception of the Milwaukee Police Department which does not participate, there appears to be no duplication of recordkeeping among JUSTIS users.

5.3 Use of Outputs

With the exception of the disposition data delays, outputs, both printed and visual, are in regular use and are considered generally reliable.

5.4 State-of-the-Art

The JUSTIS technology is contemporary with the 3.5 generation of computers. All input is on-line (uses punch cards) and no forms are converted to key tape. It is definitely state-of-the-art.

5.5 Assessment of Prosecutors' Information System

JUSTIS appears to be meeting the needs of the prosecutor's office in automating many repetitive functions. The relief-JUSTIS has brought to the clerical staff is obvious. The reports are less helpful due to the unreliability of disposition data.

5.6 System Transferability

According to Metz, JUSTIS can be transferred to any IBM environment and in fact, thirty-five (35) jurisdictions are transferees and twenty are operational. See Attachment 3 for complete listing. Generally three months is required for a successful transfer; Metz provides a tape with test files and a tape with programs as well as the manual. The system is fully documented.

The Wisconsin Council on Criminal Justice is sponsoring installation of JUSTIS in Waukeska County and then to six bordering counties. The technical plan is due September 1979 for each county, with work to start January 1980 for a September 1980 startup. The counties will share a mainframe located in Waukeska and will have almost identical software and use identical hardware.

5.7 Influences of the System

The history of JUSTIS' implementation contrasts with the difficulties of many jurisdictions which have also transferred PROMIS. A number of factors have coalesced to make JUSTIS successful.

The need to automate county government was recognized and accepted during the early 1970's, and by 1972 a committee of criminal justice agency representatives and county officials was actively exploring the technical capabilities of a number of systems. Unlike other jurisdictions, there was no debate in Milwaukee County on whether to automate.

Once the grant had been awarded, a Users' Group was formed composed of the highest ranking civil servant in each user agency and, in a few cases, 2-3 other people, for a total of eleven. Unlike most jurisdictions where political patronage determines employment, in Wisconsin the staff of the clerk and sheriff are on a civil service system. Even the assistant district attorneys have a labor agreement with the county which protects them from summary dismissal after each election. In addition, the sheriff, district attorney, clerk and treasurer are elected for only two-year terms. As a result of this system, the senior civil servant handles the daily operations and decisionmaking. Most members of the Users' Group had years of experience in their respective offices. Because most group members had been involved in previous "automation committees" the predominant mood was "what's in it for me," rather than generalized hospitality to automation. All had concluded increased funding for personnel, space and supplies would not be available to cope with the soaring caseload and concomitant court congestion.

As coordinator, Metz guided implementation of JUSTIS by his philosophy of the "office of primary responsibility." He emphasized to the users that where by law or custom a particular function had been performed by one office, that office would retain responsibility for the function after JUSTIS' implementation. In this way no user could feel the importance or empire of his office was diminished relative to any other user - the status quo would be preserved (whether it made sense or not). Problems and conflicts arising between users (e.g., clerk vs. district attorney) were resolved only at users' meetings; Metz refused to rule on complaints or attempt to "supervise" the users and restricted his role to that of coordinator. The users were forced to air their disputes in public before their colleagues. Not only did tensions surface for resolution by the group but no user could accuse Metz of partisanship. Mezt felt he and his staff were recognized as independent technical people rather than as part of the prosecutor's, or any other user's staff. The staff was assigned individual user offices and worked on a first-name basis to write appropriate programs for their "client" offices. Intra office problems were handled only in the general Users' Group meetings. Metz reiterated that it was essential from the early developmental stages that JUSTIS not be viewed as the "prosecutor's system" (witness the name change). They recognized that the consolidation of information in the prosecutor's office would be viewed as a threat to the empire of other criminal justice agencies and endeavored to avoid that pitfall. The desire to establish an integrated foundation system upon which individual users could develop their own internal applications rested upon the shared database and data entry capabilities.

The Users' Group also fostered a sense of "pride of authorship"; members ostensibly were the most knowledgeable about the duties and problems of their own offices. They were called upon to develop a system that would meet their needs and were assigned technical staff to do the job. They were making

the decision for their offices. An additional ego boost was that through their work in the Users' Group they knew more about automation and JUSTIS than anybody else in their office - including the elected officials who head it. The technical staff were in the same building as the users and always available for formal and informal consultations. Membership of the presiding judge of the criminal courts in the Users' Group added prestige and importance to their task. According to Metz this combination of practical and psychological factors coalesced to make an efficient working organization that was not wracked by political antagonisms. At the same time the Users' Group of the top civil servants was organized, an Executive Design Committee was also convened, composed of the elected officials in each user office. Rather than a working group like the users, the Executive Design Committee primarily kept these political figures informed of JUSTIS progress, blunted their antagonisms and solicited their policy concerns. The details of making JUSTIS work (like the details of running their offices) were left to the civil servants in the Users' Group. Each of the users were required by Metz to establish both short and long term priorities for their offices. The consolidated list of twenty-seven (27) items was then compared with PROMIS abilities. Despite the variance that became apparent, the stock PROMIS package was tested from December 1975 until Feburary 1976 when approximately 30 percent of the PROMIS programs were scrapped and Metz and his staff began rewriting the program to meet their own specifications. The batch terminals were pulled and they switched to IBM's VSAM disc orientation for files and CICS for data inquiry and maintenace. Reprogramming lasted from February to September 1976 when they began data entry with test files. Testing continued until mid-October 1976 when the first actual felony data was entered. The first outputs were received in early 1977.

5.8 Need for Technical Assistance

JUSTIS has been developed from the original PROMIS with in-house staff. There appears to be no need for technical assistance.

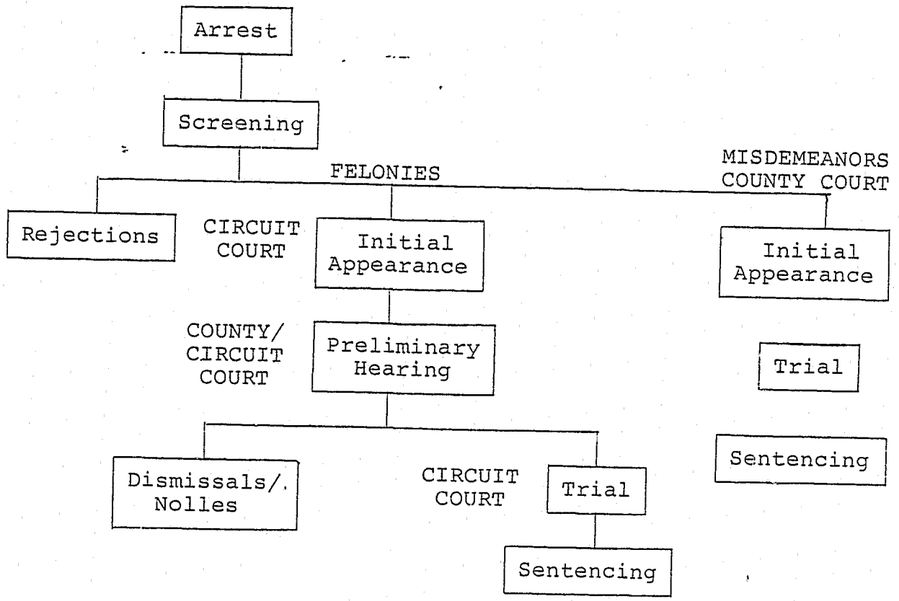
ATTACHMENT 1

JUSTIS CHRONOLOGY

Early 1970's	-	County board makes decision to automate criminal justice agencies and courts
January 1975	-	Funds requested from LEAA
March 1975	-	LEAA approves funding
April 1975	-	Project Turnaround launched
May-August 1975	-	Users, representatives visit MIS sites and study capabilities
August 1975	-	Metz hired as coordinator
October-November 1975	-	Metz recruits staff
December 1975	-	PROMIS transferred; Users' Group established
February 1976	-	PROMIS reevaluated; decision to reprogram made
March-September 1976	-	Reprogramming
September-mid October 1976	-	Data entry programs up with test files. Checked entry, batch and inquiry programs
October 15, 1976	-	Actual felony data entered
Early 1977	-	First outputs
January 1, 1979	-	Completely local funding of JUSTIS begins; Metz and staff separated and reassigned
October 19, 1979	-	Juvenile JUSTIS operational; implementation in civil courts begins.
February 1980	-	Civil courts JUSTIS operational

ATTACHMENT 2

CASEFLOW



ATTACHMENT 3

JUSTIS TRANSFEREES

Operational

Milwaukee County, Wisconsin
Second Judicial Circuit, Florida
(Tallahassee and 6 counties)
Jefferson County, Kentucky (Louisville)
Kane County, Illinois (Geneva)
Berrieu County, Michigan (St. Joseph)
Multnomah County, Oregon (Portland)
Scott County, Iowa (Davenport)
DuPage County, Illinois
Jefferson County, California (Golden)
Clinton County, Iowa (Clinton)
Cedar County, Iowa (Tipton)
Jackson County, Iowa (Maquoteta)

Planning

Polk County, Iowa (Des Moines)
Contra Costa County, California
San Mateo County, California
Province of Alberta, Canada
Oklahoma City, Oklahoma
Muscative County, Iowa (Muscative)
Rock Island County, Illinois
Henry County, Illinois (Kewanee)
Mercer County, Illinois (Aledo)
Whiteside County, Illinois
Prince Georges County, Maryland (from Louisville)

APPENDIX D
QUESTIONS FOR DISCUSSION DURING
SITE VISITS

Appendix D

Questions for Discussion During Site Visits

A. System Development

1. Was a system requirements analysis performed?

2. How was the system developed (in-house, contractor, or transfer)? If the system was transferred, what modifications were made? If the system was developed locally, were systems operating in other jurisdictions examined?

3. What was the total cost for developing the system? What was the source of developmental funds?

4. Did you receive any technical assistance to help implement your system? If so, what was the source of technical assistance?

5. What is the status of system documentation (user manuals, general system description, software specifications/ coding and flow charts)? May we obtain a copy of the general system description?

6. What programming language was used for applications programming? Were special techniques used to enhance transferability?

B. System Operation

1. What date did your system become operational?

2. What agency or office operates the computer for your system? What computer model is used? What operating system is used? Do you use a data base management system?

3. How many data processing technicians are assigned to your project? What functions do these technicians perform? Are any technicians employed by the prosecutor's office?

4. What agencies or offices have access to your system? How is data entered into the system? Who performs data entry functions? What input/output devices are available to the users? May we obtain copies of source documents?

5. What are the procedures used to provide system security (both physical security and file protection)?

6. Does your system interface with other systems? If so, how?

7. What are the on-line and batch processing transactions performed by the system? What are the computer files created by these transactions and how many records are currently contained in each file? May we obtain a copy of documentation describing the files?

8. What are the on-line and batch type outputs produced to support the daily operations of each user? What are the outputs produced to support user management functions? May we obtain examples of each output report?

Appendix D. (Continued)

10. What are the steps in the caseflow process in your jurisdiction? How does the information system support the decisionmaking and caseflow process at each step?

11. What are the monthly operating costs for your system?

12. Do you plan or desire to make any changes in your information system?

C. Possible Measurements

1. What goals have you set for your system? On a scale of 0-100, what contribution did you expect your system to make toward achieving an optimal level for each goal? On the same scale, what contribution has your system actually made toward the achievement of each goal?

2. How many judges and how many prosecuting attorneys are supported by the system? What area is served by your office? What is the area population?

3. How many felony cases and how many misdemeanor cases did your office screen during the past year? What dispositions were made of these cases? Are data available in your system to generate this type of information?

4. What are your procedures for screening cases? What type of case assignment system (calendar) is used for judges?

Appendix D. (Continued)

5. What is the average number of days from arrest to each court event for felonies and for misdemeanors? Are data available in your system to generate this type of information?

6. What benefits have accrued from the use of your information system?

7. Are records available from which caseload and caseflow data can be retrieved for time periods prior to the implementation of your information system?

APPENDIX E

CANDIDATES FOR ON-SITE SURVEYS

Appendix E. Candidates for On-Site Surveys

Selected Sites	Site Location (County)	Project Name	Operational Date	Area Served by MIS	Status of Documentation	MIS USERS APPLICATIONS: Police	Courts	CDHR	Calendars	Case Tracking	Defendant Tracking	Prosecutor Management	Research	Remarks
	15th Judicial Circuit, (Montgomery) AL	PROMIS	10/77	CO	C					X	X	X	X	Dedicated to prosecutor. New Orleans appears to have a more interesting system under prosecutor control.
	Little Rock (Pulaski) AR	PROMIS	9/77	CO	C	X	X	X	X	X	X	X	X	Does not use a common programming language.
	Phoenix (Maricopa) AZ	Law Enforcement Judicial Information System	1/1/73	CO	C	X	X		X	X	X			No indication of research capability.
X	Los Angeles (Los Angeles) CA	PROMIS	1/75	CO	C	X	X		X	X	X	X	X	Largest prosecutors office in country. Has automated index to interface various systems. Integrated system.
X	Oakland (Alameda) CA	Criminal Oriented Records Prod Unified System (CORPUS)	11/1/73	CO	C	X	X	X	X	X	X		X	Integrated, on-line system. Transferred from Santa Clara County. Co-located with prosecutor dedicated system - DALITE
	San Diego (San Diego) CA	PROMIS	9/78	CO	C	X	X		X	X	X	X	X	Considered as alternate to other PROMIS sites.
	San Francisco (San Francisco) CA	Court Management System (CMS)	6/1/75	MU	C		X		X	X	X		X	Baltimore appears to have a more interesting municipal system.
X	San Jose (Santa Clara) CA	Criminal Justice Information Control (CJIC)	1/1/72	CO	C	X	X	X	X	X	X		X	Transferred to Alameda County.
X	San Bernardino (San Bernardino) CA	Automated Court Information System ACIS)	1/77	CO	C		X		X	X	X	X	X	Visit concurrent with Orange County survey.
X	Santa Ana (Grange) CA	Superior Court/ County Clerk (SUPER/CC)	8/1/77	CO	C		X		X	X			X	System praised by judges and prosecutors from Dade County, FL; should visit San Bernardino concurrently.
	Golden (Jefferson) CO	PROMIS	12/79	CO	P	X	X		X	X	X	X	X	Not yet fully operational.
	Clearwater (Pinellas) FL	Pinellas County Justice Information System (PCJIS)	2/1/76	CO	C	X	X		X	X	X	X	X	Identified by Dade County personnel as an excellent system.
	Gainesville (Alachua) FL	Alachua County Criminal Justice Information System (ACCJIS)	10/1/74	CO	C		X		X	X				Limited applications. No indication of research capability.
	Jacksonville (Duval) FL	Criminal Justice Information System (CJIS)	7/1/63	CO	C	X	X	X	X	X	X	X	X	Old system; may not be state-of-the-art. Questionnaire response indicates statistics not available.
X	Miami (Dade) FL	Dade County Criminal Justice Information System (DCCJIS)	6/1/70	CO	P	X	X	X	X	X	X	X	X	Site contact indicates strong opposition to the PROMIS system. Should examine even though documentation not complete.

Appendix E. Candidates for On-Site Surveys (Continued)

Selected Sites	Site Location (County)	Project Name	Operational Date	Area Served by MIS	Status of Documentation	MIS USERS APPLICATIONS: Police	Courts	CORR	Calendars	Case Tracking	Defendant Tracking	Prosecutor Management	Research	Remarks
	Tallahassee, 2d Judicial Circuit FL	PROMIS	2/77	MU CO	C	X	X		X	X	X	X	X	Version of JUSTIS.
	Decatur (Dekalb) GA	Dekalb County Judifical Information System (DCJIS)	1/78	CO	P	X	X	X	X	X	X	X	X	Appears to be similar to other county systems that have complete documentation.
	Marietta (Cobb) GA	PROMIS	74	CO	P		X		X		X	X		Batch system. No indication of research capability.
	Edwardsville (Madison) IL	Felony Criminal Justice System	1/1/76	CO	P		X		X	X	X		X	Other county systems appear to be more interesting and have complete documentation.
X	Waukegan (Lake) IL	Judicial Automated Records System (JARS)	1/1/74	CO	C		X		X	X	X	X	X	Suggested by contacts at other sites; uses data base management system.
X	Indianapolis (Marion) IN	PROMIS	76	CO	C				X	X	X	X	X	Implementing MINI-PROMIS for juvenile; may switch to MINI for adult criminal; may be able to observe two environments.
X	Louisville (Jefferson) KY	PROMIS	11/77	CO	C	X	X	X	X	X	X	X	X	Can survey concurrent with attendance at PROMIS User's Group Conference.
X	New Orleans (Orleans Parish) LA	PROMIS	1/76	CO	C				X	X	X	X	X	Control of system has been changed from city ADP facility to prosecutor controlled computer.
X	Boston (Suffolk) MA	Case Management System (CMS)	4/77	CO	P		X		X	X	X		X	System developed by NDAA. Strong indication of cooperating with NEP study. Documentation being completed by contractor.
X	Baltimore MD	Criminal Court Status Information System (CCSIS)	1/1/72	MU	P		X		X	X	X		X	Interfaces with city jail system. ADP under control of state facility.
	Detroit (Wayne) MI	PROMIS	*	CO	C	X	X	X	X	X	X	X	X	* Not yet operational.
	Kalamazoo (Kalamazoo) MI	PROMIS	1/77	MU CO	C					X	X		X	In process of transferring to MINI-PROMIS.
	Jefferson City MO	Attorney General Information System (AGIS)	2/1/74	ST	C		X		X	X	X	X	X	Statewide system; Oklahoma appears to have more interesting system.
	Kansas City (Jackson) MO	Automatic Law Enforcement Response Team (ALERT II)	7/1/68	CO	P	X	X	X	X	X	X	X	X	Appears to be similar to other county systems that have complete documentation.
	St. Louis (St. Louis) MO	PROMIS	U	MU	P		X		X	X	X	X	X	Refused to answer questionnaire; "tired of having people study my PROMIS system."
	Omaha (Douglas) NE	Criminal Justice System	6/1/70	CO MU	P	X	X	X	X	X	X			Limited applications and documentation.

Appendix E. Candidates for On-Site Surveys (Continued)

Selected Sites	Site Location (County)	Project Name	Operational Date	Area Served by MIS	Status of Documentation	MIS USERS APPLICATIONS: Police	Courts	CORR	Calendars	Case Tracking	Defendant Tracking	Prosecutor Management	Research	Remarks
	Las Vegas (Clark) NV	PROMIS	4/78	MU CO	C	X	X	X	X	X	X	X	X	Batch system.
	Manhattan (New York) NY	PROMIS	1/78	CO	C	X	X		X	X	X	X	X	May change to MINI-PROMIS.
	Rochester NY	PROSPER	6/79	CO	C	X	X	X	X	X	X	X	X	Not operational long enough.
	Cincinnati (Hamilton) OH	County Law Enforcement Applied Regionally (CLEAR)	3/1/69	CO MU	C	X	X		X	X	X	X	X	System is 10 years old; may not represent state-of-the-art.
	Columbus/London (Franklin) OH	Criminal Justice Information System (CJIS)	6/1/76	ST	C	X	X	X		X			X	Limited applications.
X	Oklahoma City OK	Arrest Disposition Reporting System (ADRS)	77	ST	C	X	X	X	X	X	X	X	X	Statewide system. Developed quickly at a low cost. Good statistical applications.
	Salem (Marion) OR	State Judicial Information System (SJIS)	6/1/75	ST	P		X		X	X	X		X	Statewide system. Oklahoma appears to have a more interesting system with complete documentation.
	Philadelphia PA	PROMIS II	10/1/75	MU	P		X			X		X	X	Limited applications indicated.
	Providence RI	PROMIS	3/1/76	ST	C				X	X		X	X	Did not respond to questionnaire.
	Nashville (Davidson) TN	Tennessee Information Enforcement System (TIES)	11/1/73	ST	P	X	X	X	X	X	X	X	X	Statewide system. Oklahoma appears to have a more interesting system with complete documentation.
	Austin TX	Police and Courts	11/1/67	MU	P	X	X		X	X		X	X	Documentation not complete.
	San Antonio (Bexar) TX	San Antonio/ Bexar County Criminal Justice Information System	9/1/73	MU CO	P	X	X	X	X	X	X	X	X	Appears to be similar to Tarrant County, but documentation is not complete.
X	Fort Worth (Tarrant) TX	Tarrant County Criminal Justice Information System (TCCJIS)	6/14/75	CO	C	X	X	X	X	X	X	X	X	Strong interest in participating in study. Good statistics.
	Salt Lake City (Salt Lake) UT	PROMIS	9/1/76	CO	C				X	X	X	X	X	Considered as alternate to other PROMIS sites.
X	Norfolk VA	Tidewater Regional Adult Criminal Element Record (TRACER)	7/1/76	RE	C	X	X	X	X	X	X	X	X	Strong interest in participating in study. Regional system.

Appendix E. Candidates for On-Site Surveys (Continued)

Selected Sites	Site Location (County)	Project Name	Operational Date	Area Served by MIS	Status of Documentation	MIS USERS			APPLICATIONS					Remarks
						Police	Courts	CORR	Calendars	Case Tracking	Defendant Tracking	Prosecutor Management	Research	
	Everett (Snohomish) WA	Snohomish County Offense Reporting System (SCORE)	U	CO	C	X	X	X	X	X	X	X	X	Refused to answer questionnaire.
X	Milwaukee (Milwaukee) WI	PROMIS	77	CO	C	X	X	X	X	X	X	X	X	Responsible for development of JUSTIS version of PROMIS.
X	Washington, D.C.	PROMIS	1/1/71	MU	C				X	X	X	X	X	Original PROMIS development. Research statistics.
	Commonwealth of Puerto Rico	PROMIS	6/1/75	ST	C				X	X		X	X	Too remote.

END