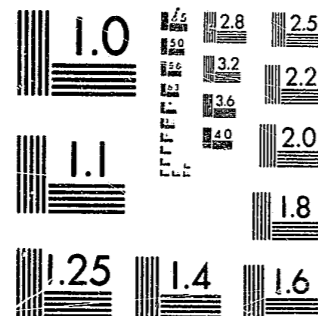


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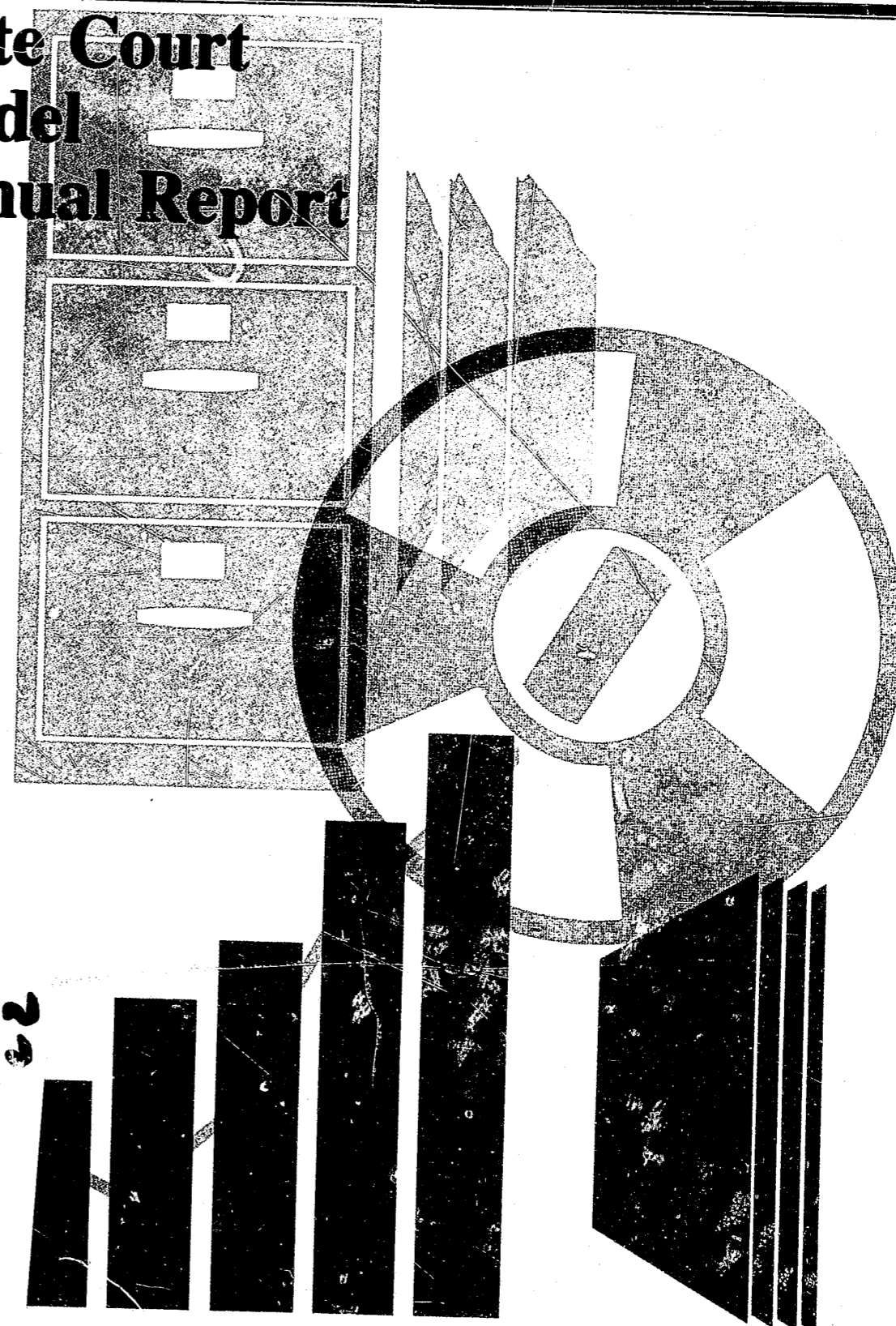
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National Center
For State Courts



State Court Model Annual Report



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**National Center
For State Courts**

State Court Model Annual Report

U.S. Department of Justice
National Institute of Justice

77929

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**National Court
Statistics Project**

September, 1980

I M P O R T A N T

We have provided an evaluation sheet at the end of this publication. It will assist us in improving future reports if you complete and return it at your convenience.

This project was supported by Federal Grant No. 79-SS-AX-0010 awarded to the National Center for State Courts, Williamsburg, Virginia, by the Statistics Division, National Criminal Justice Information and Statistics Service, Law Enforcement Assistance Administration (now the Bureau of Justice Statistics), U.S. Department of Justice, under the Omnibus Crime Control and Safe Streets Act of 1968, as amended. The National Court Statistics Project is directed by Francis J. Taillefer for the National Center for State Courts and monitored by Sue A. Lindgren for LEAA (now the Bureau of Justice Statistics). Points of view or opinions stated in this document are those of the author and do not necessarily represent the official position or policies of the U.S. Department of Justice.

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The Conference of State Court Administrators has given its support to the National Court Statistics Project, which will establish in the National Center for State Courts the capability of gathering, analyzing, and disseminating statistical information on each state court system in the nation.

The NCSP has produced this model annual report to help state court systems improve their own annual reports by the compilation of caseload statistics within uniform classification categories. *This model should be viewed as a first effort—a working tool for the states to try and to evaluate.* This first edition attempts to display the critically needed and basic management data; each state must determine its own need to collect additional detail, both for its published annual report and for analysis and internal use without publication.

Future editions of the model annual report will build upon this first effort, considering items such as greater detail and expanded scope. Two useful enhancements that merit further examination are the addition of non-case-related workload and the expansion of case processing information. The former can be used to account for non-case judicial activities such as administrative and ministerial duties, while the latter can be used to show the state of disposition, patterns of case decisions and processing, additional detail about case and defendant dispositions and total case-related workload including hearings, motions, etc.

Comments and contributions from the states are welcome. As states use this document, useful ideas can be identified for future editions of the model annual report.

Future annual statistical reports to be published by the National Court Statistics Project will permit an ongoing assessment of the extent to which states have improved data collection and display techniques. As state court statistics improve, so will the validity of using and comparing caseload data among jurisdictions and among states. I recommend that each state court administrator carefully review this model and make as much use as possible of the suggestions for compilation of and display of caseload statistics.



James R. James, Chairman (1977 to 1979)
NCSP Committee
Conference of State Court Administrators

This *State Court Model Annual Report* has been produced by the National Center for State Courts (NCSC) and the Conference of State Court Administrators (COSCA) as part of a continuing effort to develop within the National Center a national data base of state court statistics, and to help state courts collect more comprehensive and accurate statistics.

This report identifies the need for an annual report for state courts, discusses relevant considerations and presents a suggested model. The suggested case categories and manner of disposition terms are defined in the *State Court Model Statistical Dictionary*, a companion volume to this document.

The preparation of the model annual report has been supervised and greatly assisted by the National Court Statistics Project (NCSP) committee of COSCA, chaired by James R. James. The committee members have given generously of their time, talent, and experience. The control exerted by COSCA through this committee, following a review and approval process, has been invaluable in enhancing the quality of this report by providing guidance to project staff. The success of the joint NCSC/COSCA relationship underscores the need for, and benefits to be derived from, state judicial control over the design and development of systems that collect state court statistical information.

In addition to the committee, the entire COSCA membership has assisted in the review process that has been vital to the production of this document and they will continue to be the crucial element in the compilation of high quality statistics. The extent to which the caseload classification, counting, and reporting structures suggested herein are adopted will determine the quality and comparability of state court caseload statistics for years to come. The suggested model classification and counting structure will facilitate commonality in terms used and consistency in their application. Much of the present guesswork will be removed from state court statistics, both for in-state reporting and national statistical series purposes.

On behalf of the NCSC project staff and the COSCA NCSP Committee, we wish to recognize and thank all the many individuals who have contributed to this model annual report.



Edward B. McConnell
Director
National Center for State Courts

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I. INTRODUCTION TO MODEL ANNUAL REPORT

THE NEED FOR AN ANNUAL REPORT

Is the annual report of a state court system worth the effort that goes into it? With many legitimate demands already competing for court personnel time, why bother to collect, preserve, analyze, and publish information about court operations for the preceding 12 months?

Publishing an annual report is a well-established practice in many states, yet the effort has too frequently become a tradition, undertaken automatically each year. Both the author of the report and the interested reader might find it difficult to outline valid reasons for writing the report or to identify whom it meaningfully serves.

Many state court annual reports are severely restricted by their format and focus, with the result that content is haphazard. In those situations, the best that can be said is that the annual report meets a legal requirement to publish an account of the business of the court system. An alternative conclusion is that the report carries on tradition, but its value cannot be assessed. In both instances, the full potential of uses for a yearly report is not realized.

With the possible exception of researchers, few would choose to read several hundred or more pages replete with raw numbers but containing no interpretative analysis and little cohesiveness of structure or consistency in application of terms. How many readers can assimilate incomplete and scattered data, or digest data that lack a summary highlight narrative, a historical and operating environment perspective, a definition of terms, and an explanation of classifications? Does anybody really care about bingo licenses that were processed?

Submitting an existing annual report for evaluation by its prospective audiences would be rewarding. In one state where this was done, the vast majority of judges said they used the annual report for comparison only, i.e., as a conversation piece. Their most common response was that it was "interesting reading." Many judges believed that the statistics were inaccurate. While some of them enjoyed receiving the annual report, they did not employ it for decision making or caseload management.

Clerks were also queried in the same state regarding the usefulness of the annual report. The responses of this audience were particularly interesting, because the annual report was compiled from data they collected. The survey of clerks showed that the accuracy of the reported data was directly affected by the individual clerk's perception of the usefulness of the annual report. Only about a quarter of the clerks found it useful. Most did not give the state court administrator's reporting procedures much priority, with predictable results.

Clearly, a problem exists, but abandoning the annual report is not necessarily the solution. The same judges and clerks thought that a well-structured, accurate annual report could be very useful, especially in demonstrating the performance of their courts. A constructive use of the annual report would limit the widespread tendency to collect and publish numbers, regardless of their practical utility. This orientation directly relates to accountability concerns regarding court operations.

An annual report has limited operational utility for local court management. Efficient local workload and resource administration cannot be based on simple case count summaries done yearly. For a local judge to manage his caseload, he must be able to identify and attend to individual problem cases. The summary nature of the annual report precludes this. The judge must also know in what respect certain cases pose problems—whether there has been an excessive number of continuances, or whether cases have been pending too long. A reporting system that collects filings and dispositions but has no status information available has limited value for trial court operation. Further, the judge must have case information on a timely basis if he is to address caseload problems. A once-a-year compilation, if it is the only output product generated by a case reporting system, does not help local caseload management.

At the state level, the annual report is much more useful. It becomes a data resource for trend analysis, caseload balancing, resource needs identification and allocation, and evaluation of system performance. Obviously, the state court administrator should not wait a year to gather needed data, but should be collecting, compiling, and analyzing interim reports on a more frequent basis.

Goals must be set to determine the purpose of the annual report. Such purposes may include one or more of the following:

- provide management information;
- rally support for an increase in staff or court system funds;
- publish general education information;
- make the courts accountable to the public; or
- persuade people to change or behave differently.

Determination of the report's objectives (focus) will help define the dissemination list (audiences). For example, if one objective of an annual report is improvement of the relationship between the judiciary and the legislature, members of the judiciary committees and other legislators are likely recipients. Similarly, knowledge of probable audiences will help define the best method of presentation (style), as well as determine what topics will be of interest and in what depth these subjects should be treated (content).

Once the purpose of the annual report is clearly defined, the state court administrator can weigh the cost of compilation against expected benefits, structuring the report to achieve maximum effectiveness with intended audiences. The basic orientation of the annual report should be shifted from raw numbers toward interpreted information about the courts generally. Changes in annual report orien-

tation and structure need not, and often cannot, occur all at one time: they should be adopted in step with improvements in the state's information system and staff capability to collect and handle new data. The potential uses for an annual report are diverse, and each state should recognize the advantages accruing from a broader conception of an annual report.

Decisions regarding the content of an annual report should also consider the relationship between the annual report and other types of court reports, such as newsletters or bulletins, which complement the annual report by informing people of immediate changes in rules or procedures.

The ultimate worth of an annual report is its contribution to the accountability of the court system: it can inform the public, legislature, and the courts themselves about the performance of the judiciary. It can alert them to problems facing the courts that may interfere with their performance. Urgent needs can be identified for public officials. Above all, an annual report can provide a cohesive vehicle for informing those whom the court system serves.

PURPOSE OF THIS DOCUMENT AND HOW TO USE IT

Purpose

The primary purpose of this model annual report is to produce useful guidelines for those states initiating or considering modifications to a state court annual report.

The methodology has been to analyze existing annual reports, to learn from them, select their best features, and develop a workable, consistent terminology and classification structure that can accommodate each state's reporting needs.

The contents of this document should not be misconstrued as standards to be imposed. Quite the contrary. What follows are merely suggestions—based on extensive COSCA NCSP Committee and staff experience and reflection—about how to structure an annual report for maximum usefulness and effectiveness. In fact, the model suggested here is more a collage of the best of many reports. It owes much to the innovations made by these reports. Their best ideas and common denominators have been distilled for the benefit of all.

No detailed scrutiny has been directed to the hidden consequences of the reporting process itself—that is, changes in behavior brought about when people know they are being watched. The very act of reporting is associated with the concept of accountability and is likely to have an impact on judges, clerks, and the administrative office of the courts. For instance, judges quickly learn the potential effect of reported caseload statistics on their assignments. In this document, the concept of accountability is used as a fundamental measure of the value of the annual report: Does the report help people know what their courts are doing and how well they are doing it?

The model is presented in an effort to share what has been learned and thought about, and to reinforce the idea that preparation of the annual report can be more than a task. It also can be an opportunity to collect, analyze, and interpret uniform, accurate, reliable, and comparable court system statistics.

Related and Future Efforts

Reference Aid 1, on the next page, is a list of related efforts and documents which the reader should be aware of when initiating or modifying a state court annual report.

The greatest challenge facing the states in the court system statistics area is the resolution of existing problems in collection methodology, data capture, and classification. Some of these problems are:

- lack of a common terminology;
- lack of uniform definitions;
- lack of a common classification structure;
- tendency to produce more complex statistics than necessary;
- failure to integrate monthly statistical reports into the annual report compilation effort so that the year-end effort is reduced;
- unreported pending cases;
- inconsistent and unreliable basic court records;
- ambiguous reporting and classification procedures;
- case counting (filing and disposition) variations occasioned by local processing;
- the need for training and technical assistance to promote data integrity;
- vague court procedures for docketing of and accounting for certain kinds of actions; and
- financial accounting practices that affect reporting.

These problems need to be tackled in a systematic manner. Each state needs to take action to solve these problems.

The future quality of state annual reports remains entirely up to the states. The possibilities for improved annual reports are exciting, but will depend upon the success each state has in improving its collection, analysis, and interpretation of state court statistics.

REFERENCE AID 1: Documents and Efforts Related to State Court Annual Report Development

1. For purposes of using the terms and classification structure suggested in the model annual report, refer to *State Court Model Statistical Dictionary* (printed by the U.S. Government Printing Office (GPO) in 1980). This is the companion document of the model annual report.
2. For a historical perspective on court statistics, refer to *State Court Caseload Statistics: The State of the Art*, U.S. GPO NCJ-46934 (August, 1978).
3. For comparative and research statistics about state court caseloads, refer to the national statistical series, which began with *State Court Caseload Statistics: Annual Report, 1975*, U.S. GPO NCJ-51885 (May, 1979). The 1976 annual report will be printed in 1980.
4. To see the interrelationship of state reporting, the model annual report, and the national statistical series on state court caseload statistics, refer to the "State Court Model Statistical Dictionary Annex" (available on a loan basis from the NCSP). This shows how states classified cases in their 1976 annual reports, how these cases were reclassified by NCSP staff in the 1976 annual report, and how the state case classifications fit into the *Model Annual Report* classification schemes.
5. For state court organizational statistics, refer to the national statistical series, *State Court Organization Survey*, (will be printed by early 1981).
6. For a historical perspective on implementing and improving judicial reporting systems, which generate annual report statistics, refer to *State Judicial Information Systems: State of the Art Report, 1978*, National Center for State Courts Publication No. F0004 (May, 1979).
7. For criminal justice data terminology and definitions in general, refer to *Dictionary of Criminal Justice Data Terminology*, 2nd edition (will be printed by the U.S. GPO in late 1980). Prepublication copies are available from the Bureau of Justice Statistics.
8. Reports of potential interest from the State Judicial Information Systems (SJIS) Project include *A Review of OBTS and CCH Program Requirements in the Judiciary*, *An Assessment of the Adaptability of New PROMIS to a State Judicial Information System*, and *Cost-Benefit Methodology for Evaluation of State Judicial Information Systems*, National Center for State Courts Publication Nos. F0005, F0003, and F0002 (1979).

How to Use This Document

Reference Aid 2, below, presents a skeletal view of the display structure used to present the model for state court annual reports (Chapter III).

For each major section suggested for inclusion in an annual report, the model offers an "Overview" of the appropriate content. This commentary is presented in brackets and is followed by an "Essential Features" listing, which attempts to identify those elements necessary for an effective presentation.

If other topics seem to be desirable but their inclusion in the annual report is deemed most appropriately left to a state's discretion, this fact is identified by a bracketed "Option" discussion and appears in its logical place in the subsection.

Commentary in the nature of an editorial enhancement or suggestion or which simply expands upon the topic is located in the bracketed "Comment" sections. Comments offer logical-extension ideas. They can appear anywhere, including within examples which support the model.

Examples, including both graphic displays and narrative, to illustrate each main point are provided and are identified in the text. Each referenced example is numbered and has the word "EXAMPLE" on each page to separate it from main text.

REFERENCE AID 2: Display Structure Used to Present Model Annual Report

(SECTION TITLE FOR MODEL ANNUAL REPORT)

[Overview:]

[Comment:]

(Subsection Title)

[Comment:]

Essential Features:

- o
- o
- o

[Option:]

- o
- o

[Comment:]

Example: Refer to Examples _____, _____, _____

[Comment:]

II. BUILDING AN ANNUAL REPORT: CONSIDERATIONS

Once a court system has decided to improve its existing annual report or to initiate one, a number of preliminary decisions should be made regarding focus, content, style, audiences, design, and timing for release.

It is not enough simply to decide to have an annual report and then delegate its preparation to whoever is available. To be effective, the report must have a purpose. This requires a thoughtful framework around which the annual report can be built.

This chapter identifies the major considerations that should precede compilation of the annual report. Relevant factors are discussed and suggestions made to guide the process. The intent is not to force all annual reports into a single mold; rather, it is to encourage a process of self-analysis by indicating options available to a state.

Before designing the annual report, the administrative office of the courts should answer at least these questions:

1. What is the judicial branch trying to accomplish by issuing an annual report?
2. Who are the audiences for the annual report?
3. What can be done to make the report as simple and effective as possible?
4. What should be included in the report?
5. What are the limits within which the information will be timely and useful?

The first section of this chapter will address question 1; the second section will address the second question, and the later sections will take up the remaining questions.

ESTABLISHING A FOCUS: ORIENTATION AND OBJECTIVES

Though annual reports are diverse, there are themes or purposes which are common to all. For example, an annual report should contain information about the cost of running the court system, including how funds are spent.

Following are objectives which are appropriate to any state court annual report:

1. Serve as a yearly account of the court business, in accordance with statutory requirements. It should be recognized that what is counted and how it is counted (caseload, fiscal resources, etc.) significantly affects both the court system's reporting of information and the response to court workloads by the public, media, legislature, and even the court system itself.
2. Convey a theme, direction, sense of purpose of the role of the judicial branch.
3. Make the courts accountable to the public beyond minimal compliance with statutory requirements.
4. Increase legislative awareness of the needs of the judiciary, its resources, and its operations, with special emphasis on the success of legislatively funded programs or projects.
5. Keep other governmental entities apprised of recent developments and ongoing activities.
6. Provide accurate information for the media summarizing court system activity, status, needs, problems, and successes.
7. Publish general educational information as part of the court system's continuing program to improve relations with the general public by increasing the public's familiarity with court operations. The key question here is: Does the annual report help citizens know what the courts are doing, and how well? The annual report is the only management document available in which to present the facts and philosophy of court system operation.
8. Provide a data base that can be used by the judicial branch for planning, budgeting, needs analysis, and resource allocation purposes.
9. Identify programmatic, structural, and administrative changes that have affected or will affect the courts.
10. Publish, and thereby historically preserve, a ready reference on court system operation and caseload (e.g., for independent research purposes).
11. Inform judicial system personnel of court programs and activities that would not otherwise be brought to their attention.
12. Promote communication with judicial departments and other interested parties in other states and nationally, by providing a base of comparable caseload and organizational information.

Each state will have to set its own objectives for its annual report, and will have to prioritize those objectives for accomplishment. Even so, the degree to which objectives can be realized is contingent largely upon the ability of the judicial information system to collect for use in the annual report pertinent information concerning each objective.

IDENTIFYING THE AUDIENCES

The annual report should address varied—not solely judicial—audiences, thus serving as a report to other governmental and public entities as well as an annual review internal to the judicial branch. Specific users should be identified, and the style and format should be appropriate to their interests and expertise.

The annual report has potential for improving relations with persons outside the court system. This is so because of its visibility as the official publication of the judiciary. From a public relations perspective, wide dissemination of the annual report provides a unique opportunity to inform the public about the work of the court system.

The annual report also can be used as an operations report to clerks and judges. The local orientation of trial courts not only isolates clerks and judges from their counterparts in other regions, but also insulates the trial courts as a whole from the state-level structure. The annual report should be used to keep judicial personnel informed about state court activities, services, and programs which might not otherwise be reported to them. Overall, the annual report should serve as an informative publication of widespread interest.

Working from the list of objectives given in the previous section, the determination of the identity of groups to which the report will be disseminated should take into account the following considerations.

1. The yearly account of court business is not really addressed to a specific person or audience outside the judiciary which has sole oversight authority. The relevant readers, for accountability purposes, are:
 - citizens;
 - the legislature; and
 - the court itself.
2. The administrative office of the courts cannot afford to distribute its annual report to every citizen, but individual copies can be made available on a request basis. In this way the public can be exposed to the workings of the judicial system and its role in government. Initial distribution can be to key, public-minded special-interest groups, to help convey to "the public" the availability of the annual report. Specifically, such audiences are:
 - concerned public interest groups;
 - law and other school libraries; and
 - the media in general.
3. Target audiences for the annual report should include all legislators because they vote on appropriations and statutes affecting the entire court system. Important subgroups within this audience are:
 - judiciary committee legislators; and
 - finance committee legislators.
4. State and local governmental entities that interact with the courts or are affected by court activities are potential audiences. The following

organizations, as a minimum, should receive the annual report:

- state statistical analysis center;
- state planning agency;
- department of corrections;
- secretary of state;
- department of public safety;
- department of welfare;
- bureau of vital statistics;
- state comptroller;
- governor; and
- county commissions (on request).

5. Court system personnel most in need of information are:

- judicial planning committees;
- advisory councils;
- judges;
- local court administrators; and
- local court chief clerks.

Beyond these audiences, and as a way of counteracting potential feelings of isolation and unfamiliarity with the judicial system, it may be desirable to include:

- all clerks of court;
- prosecutors and public defenders; and
- state and local bar associations.

6. One of the primary audiences in other states will be the state court administrators (SCA). A copy should be sent to each SCA and a copy of each recipient state's annual report should be requested, so that a reference library of state court annual reports can be developed. This will facilitate inter-state comparisons of caseloads and case processing times, and will promote the exchange of useful new ideas. The annual report should also be sent to the headquarters and regional offices of the National Center for State Courts for use in its library (one copy to each office). In addition, a copy should be sent to the National Court Statistics Project for use in its *State Court Caseload Statistics: Annual Report* national statistical series. General information and research audiences include:

- other state court administrators;
- National Center for State Courts;
- National Court Statistics Project;
- Federal Judicial Center;
- other court-related or court-oriented groups (on request); and
- independent researchers and citizens (on request).

In summary, a broad focus is suggested for the annual report in order to accommodate many different audiences. Identification of these audiences will help to clarify what information the annual report should contain and how it should be displayed.

EFFECTIVE COMMUNICATION: STYLE OF PRESENTATION/PACKAGING

The style and level of presentation and packaging of material within the annual report must match the interests and knowledge of its recipients. Most material should be treated on several levels and presented in such a way that the reader can choose the treatment most closely aligned to his needs. Many legally trained readers will not be familiar with complex statistical techniques; many busy legislators will not be interested in studying pages of raw data; some organizations such as corrections agencies may primarily want tabulated data. No single style or level of treatment will be of interest or use to all audiences.

Most material can be treated on four levels:

1. Raw summary data (e.g., county-by-county or statewide caseload lists).
2. Analyzed data (e.g., comparisons to previous years' caseloads, computed growth factors, ratio of cases per judge).
3. Interpreted information (e.g., "This increase, coupled with the rising case-to-judge ratio, implies that X judge-years more benchtime will be required to handle anticipated caseflow next year.').
4. Executive summary (e.g., "The court needs more judges to meet rising criminal caseloads.').

Of these, raw summary data are of the least use to anyone except researchers; interpreted information evokes the most widespread interest, followed by analyzed data; busy high-level administrators find the brief, broad strokes of the executive summary best suited to them. The choice of treatment depends upon individual state circumstances, and must be decided by each state for the intended audience and use. All topics need not be present at all levels. The question "who will read this, and what will they use it for?" should be kept constantly in mind as each topic is determined.

Organization of the document is important to effective communication. Segmentation of the annual report into component parts, each oriented to a specific primary audience, is an effective way of arranging material. Packaging can be further enhanced by using dividers and tabs between sections. This allows the reader access to material of particular concern, as well as easy bypass of material of low interest.

Complementing the narrative and tabular presentations should be a reliance on the use of graphics, such as pie charts, bar graphs, shaded maps, and time lines, to permit easy visual interpretation of the significance of otherwise complex material. The availability of photo-reduction, easy-to-use transfers, and similar techniques allows preparation of quality visual displays that have a vivid impact.

Packaging to communicate effectively with the intended audience has led to several imaginative innovations by the states. One state has experimented with producing, in an annual, updatable fixed format, a brief document for general public education purposes. The essence of this report is a summary of state court operations in simple terms—it even includes a glossary of court terms defined in plain language. The complete annual report is available for other court audiences.

Another state publishes two volumes. One is a brief (about 30 pages) executive summary report with text and graphics, which is professionally printed and sent to public officials, the news media, and other general audiences. The second volume, printed by the administrative office of the courts in-house, is much more lengthy and detailed in its treatment of caseload and other statistics because it is aimed primarily at judges. It is available, however, upon request.

A third state varies this latter approach by preparing a general report with a companion statistical volume, which can be requested by the reader of the general report.

A fourth state has yet another cost-effective variation. A capsule summary of the annual report is published in its judicial newsletter (a periodic court system mechanism for in-house communication). Another very brief summary pamphlet is prepared as a general circulation document to the public.

The point is clear: the style, tone, and format of the annual report should match the legal and statistical expertise of its audiences, and the material presented should rely extensively upon graphic techniques.

SETTLING ON CONTENT AND EXTENT OF INTERPRETATION/ANALYSIS

The annual report should be a concise document which communicates specific material and messages to particular audiences and accounts to the public for the work of the courts and the administrative office of the courts during the year. Summary comparisons among courts within the state and with prior years can help achieve this end, as can a report/presentation that identifies existing or potential problems, not of a confidential nature, which threaten the smooth operation of the court system.

What is emphasized and what is omitted, and what statistics are included and why, should not be left for the reader to interpret; contents should be highlighted and explained as part of the introductory material to the report and data sections. A structure that promotes brevity and understanding while achieving accuracy and completeness is of benefit both to the reader and to those who prepare the annual report.

The content and emphasis of the annual report need not remain static from year to year, but should reflect the increasing sophistication of the state's judicial information system. Ideas for possible content and progression of detail follow, some of which either may not be appropriate to a particular state or may not be available through the information system for several years. Thus, some desirable improvements may be evolutionary by necessity.

Court Organization

Many readers of the annual report will not be familiar with the structure of the state court system, the lines of appeal, or the history of the judicial branch. An overview should orient a reader to the courts, including their jurisdictional relationships and their administrative features and support services. Other helpful aids include charts that give facts about the number and type of court employees, charts that show appeal routes and administrative flows, and maps that show the judicial district boundaries.

In addition, potentially useful annual report topics include unusually important legislative changes, the impact of recent U.S. Supreme Court rulings, the erection of new courthouses, and the like. Some "catch-all" section might exist, so that relevant material is not excluded solely for the lack of an appropriate place to include it.

The report should also discuss programs of the administrative office of the courts aimed at improving judicial administration and expanding court services. Many of these go unnoticed even by many judges in the system. In addition, other states could benefit from learning about the various projects in the state. Educational or training programs, basic records projects, technical studies (e.g., pretrial diversion, sentencing, plea bargaining) could be reviewed. Narrative on their approximate cost, effectiveness, and results of implementation could be included. Funding sources ought to be clearly acknowledged. Projects that have only recently been initiated could be discussed in terms of their objectives in order to alert readers to the tasks ahead and to solicit information and assistance from individuals who possess valuable expertise.

Court Resources

The annual report should devote substantial attention to court resources, especially financial information, to show in a graphic way the portion of the state's budget that is allocated to the judiciary. The modest proportion of state funding typically given the judicial branch is surprising to many people, and should be brought to the attention of the legislature. Funding sources, amounts, and uses should be shown. Within overall figures, some individual sources might be analyzed further, e.g., to show where the money appropriated by the legislature is spent, or to show the sources of funds. Comparisons with similar-size states, as well as with other states in geographic proximity, could also show the relative position of the state's system.

The legislative and executive departments may be interested in a display of the court's personnel system. They may also want to see a display of its financial system, one which shows an overall financial summary with breakdowns into expenditure line items and special computations, such as cost in dollars-per-case-adjudicated as compared with past years. These would probably be useful to other states.

Court Caseload Summary

Court administrators both within and outside the state want to see county and circuit/district populations, filing to disposition time intervals, and caseload descriptions and analyses. Case processing time lapses certainly would be valuable and of widespread interest; such data may not be available, however, because of limitations in the capacity of the state's information system.

Discussions of backlog and delay should be avoided unless data and analyses can inventory and address both. Delay in case processing time is the more important of the two and should be treated first. A discussion and analysis of case backlog that ignores delay is weak. The reader should be able to tell how long it takes to process a case, determine progress in reducing delay, and compare it with other states.

Of general and research interest are statewide totals for each case category such as divorces, driving while intoxicated/driving under the influence (DWI/DUI), etc., with totals for each judicial district. However, displays should not be limited to overall numbers of cases because, taken alone, this statistic is an inadequate indicator of the need for judicial resources. There are two reasons for this. First, all case types are not equal in their demands on benchtime: for example, one hundred uncontested divorces are insignificant when compared to one hundred first-degree felonies. A measure of caseload (or even total workload) that incorporates some weighting factor is needed for proper analysis. Second, even cases within the same case type should not receive equal priority: as an example, one hundred felonies that have been pending for only three months are not necessarily a problem, whereas half that many felonies pending for over a year may require immediate attention. The contents of the state's annual report should note these differences.

Data sections that contain raw caseload figures should be limited to county-by-county totals for each trial court, showing only major case type breakdowns unless photo-reduction is used to compress detailed figures into relatively few pages. Interpretation of the data and related computations should be emphasized. Examples could include: cases filed and disposed and pending per judge; cases of a certain type per 1,000 population (e.g., divorce rates); jury trials and appeals per 1,000 cases; the ratio of appeals to trials; juror utilization factors; and cost per case. The number of cases filed and disposed over time could be charted to show the fluctuations in litigation and the peak months of the year. The list of possible types of analysis is endless, but analysis should be included only if it conveys meaningful information to the reader.

Statistics should, generally speaking, be limited to simple arithmetical expressions such as ratios (which need only division), and basic techniques such as average (mean), median, ranges, and percentiles. As they become available, time lapse analyses of the time between key processing points can assist in showing how long cases take to be adjudicated. These should be displayed showing medians and percentiles (as well as averages) in graphic exhibits. In all cases, breakdowns into statewide, metropolitan, and rural categories, by each type of court, will usually be informative.

Appendices

When advanced mathematical techniques such as regression analysis for growth factors are used, only the result should be displayed with a simple indication of the technique used. The supporting narrative and analysis should appear in a technical appendix to the annual report.

Summary of Content

To recapitulate, the annual report should review and summarize the significant aspects of court operations during the reporting period. Financial and caseload graphics, data, and statistics should be presented to reflect the business of the judicial branch. The annual report should also present information about the structure of the state court system, judicial personnel, ongoing programs, and special studies. It should highlight the significant changes and statistics that affect a court system's capability to deal effectively with its workload.

In deciding upon content and extent of analysis and interpretation appropriate to the state court annual report, the annual report should, like any other court program or major investment of resources, be evaluated on the basis of its cost-effectiveness.

The preceding discussions about aims, audiences, and subject matter can be graphically seen in Reference Aid 3, which follows on page 6.

TIMING A RELEASE DATE

The timeliness of distribution of a state court's annual report will greatly influence its usefulness to potential audiences. Information has a definite time value: the longer the interval necessary to obtain it, the less useful the information. If decision makers do not have relevant, timely information, decisions are likely to be less informed. Other audiences and the public, too, will lose interest if the production of the annual report is delayed too long. They probably will not care about an annual report's absence or simply will attribute it to court inefficiency, secrecy, and nonresponsiveness. A belated publication is little better than no publication; the court system will have either lost or significantly decreased its opportunity to capture the attention of its intended audiences.

Currently, the time lag for state court annual report distribution ranges widely. A few have the report out within three months of the close of the reporting period. A few produce their annual report more than a year after the reporting period has ended. Most states take four to twelve months after the close of the reporting period to do it.

Because of the importance of having timely data, the state court administrator should examine carefully whether the annual report is being issued as close to the end of the reporting period as possible. The ideal situation would be to issue the report within three months after the close of the reporting period.

REFERENCE AID 3: Matching Aims, Audiences, and Subject Matter for an Annual Report

AIM	AUDIENCE	SUBJECT MATTER (CONTENT LEVEL TO VARY TO MATCH AUDIENCE BACKGROUND)
Report courts' business (to meet statutory and public accountability requirements)	<ul style="list-style-type: none"> — State legislature — The "public" — Supreme Court 	<ul style="list-style-type: none"> — All Contents below (desirably) — Caseloads, and financial and personnel (minimally)
Keep judicial personnel informed of statewide activities not otherwise reported to them	<ul style="list-style-type: none"> — Judges — Judicial management — Operational staff (all are an informed, legal-oriented audience) 	<ul style="list-style-type: none"> — Caseloads — Finances — Programs — Judicial personnel — Judicial year in review
Increase legislative branch awareness of courts' needs, resources, etc. (creating a "higher profile" for the court system)	<ul style="list-style-type: none"> — All legislators (are often not legally or statistically trained; most are busy; executive summaries usually most desirable) 	<ul style="list-style-type: none"> — Finances and caseloads (court appropriations compared to total legislative appropriations; also, this compared to other states; court appropriations compared to total court funding from all sources; ratios of appropriations to total caseload to get unit case processing costs; recent years compared; and ten-year expense trends shown) — Programs (especially those dependent on legislative appropriations or match money; to show what good those projects do) — Introduction to judicial system (to orient those who are not familiar with the state court system) — Personnel
Inform other state agencies (within executive branch) about the courts' business	<ul style="list-style-type: none"> — Court support agencies (e.g., child welfare) — Criminal justice agencies 	<ul style="list-style-type: none"> — Caseload statistics — Programs — Personnel
Promote interstate communication	<ul style="list-style-type: none"> — SCA and AOC of other states — Supreme Courts of other states — Court organizations (management audience, with strong technical support orientation) 	<ul style="list-style-type: none"> — Caseloads (Caseload—derived information for comparison, e.g., cases/judge) — Finances — Programs — Personnel
Improve image and relations with the public at large by increasing familiarity	<ul style="list-style-type: none"> — The "general public" (non-technical) in all respects — Interest groups (support for research of public interest groups such as students, etc.) 	<ul style="list-style-type: none"> — Introduction to state court system — Caseload statistics — Finances — Programs — Personnel

III. THE MODEL PRESENTED

The reader should refer to page 6 of Chapter I for an explanation of the format in this chapter and of the use of this document.

SECTION I—INTRODUCTORY MATERIAL

[Overview: The introductory material of the annual report gives the reader his first impression of the document. The letter of transmittal should provide information about who prepared the report and under what authority. The table of contents and the list of tables, charts, and graphs should provide an easy guide to the location of material of interest to the reader.]

[Comment: The title on the cover of the annual report should include the state name and the period covered by the report. The state name and period covered should also appear on the binding of the report.]

Letter of Transmittal and Acknowledgment

Essential Features:

- o The letter of transmittal should be a succinct letter which tells the reader who is sending the annual report, under what authority, and to whom it is being sent.
- o The letter may go to the governor, the state legislature, the supreme court, or the judicial council.
- o The letter may be written by the chief justice of the court of last resort or the state court administrator, depending upon local requirements and custom.
- o The letter should be dated, both for citation purposes and to indicate the time lag before the report was published.

[Option: The transmittal letter could be used to acknowledge efforts of those who put it together, stress the major accomplishments of the court system during the reporting period, or spotlight both short-term and long-range factors that may influence court operations. The letter of transmittal can provide a forum for interpretive comment on court performance and for advocacy of court needs.]

[Comment: Flexibility in content is needed to accommodate local circumstances.]

Example: Refer to Example 1.

Table of Contents, Including Appendices

Essential Features:

- o Section headings should be descriptive and organized in a manner which facilitates easy access to any part of the annual report.
- o Major sections should accommodate executive summary material, court organization, court resources, court caseload summary data, and relevant appendices.

[Comment: Actual headings may vary and should be organized to emphasize the major purpose of the report or appeal to its primary audience. Care should be taken to avoid creating a table of contents that is either too short or too long. If it is overly brief, it will not assist the reader in finding material. If it is overly detailed, it will be more confusing than beneficial.]

Example: Refer to Example 2.

List of Tables/Charts/Graphs

Essential Features:

- o All figures, tables, charts, and graphs used in the annual report should be identified by a title and be listed immediately after the Table of Contents.
- o Titles should clearly identify the content of the listed item.

[Comment: Graphics should be used to enhance understanding and allow quick absorption of presented material. Because they are a proven method of communication, their extensive use is encouraged.]

[Comment: The report can be enhanced by the use of section dividers. This would enable easier reference to a particular section. On the face of the dividers themselves, the outline of section contents could be repeated for ease of reference.]

Example: Refer to Example 3.

Example 1: Letter of Transmittal and Acknowledgment

STATE OF POWHATAN
ADMINISTRATIVE OFFICE OF THE COURTS
CAPITAL CITY, POWHATAN

JANUARY 31, 1980

To the Chief Justice and the
Justices of the Supreme Court
of the State of Powhatan:

[Option: To the Governor of the State of Powhatan:]

[Option: To the Members of the Powhatan Legislature:]

Pursuant to Public Law 50, Section 5, I hereby transmit the annual report of the state court system. This annual report describes judicial system activities and presents statistics relating to calendar year 1979.

It is hoped that this report will provide its users with useful information about judicial branch activities during the past year, and help identify resource needs during the coming year. The usefulness of the compiled data results from the untiring efforts of the various court officials and staff who assisted in the data collection, analysis, and presentation process.

/s/ _____
State Court Administrator

[Option: Chief Justice of the Supreme Court]

EXAMPLE

Example 2: Table of Contents, Including Appendices

TABLE OF CONTENTS	Page
Forward	
List of Tables	
List of Charts	
List of Graphs	
Part I—Executive Summary/Powhatan Judicial Year in Review	
Part II—Court Organization	
Historical Development of Court Organization	
Present Organization and Review of Operations	
A. Appellate Courts	
B. Trial Courts	
C. Administrative Office of the Courts	
D. Adjunct Support Organizations	
Part III—Court Resources	
Financial	
A. Funding Sources, Amounts, and Trends	
B. Funding Uses: Expenditure Types, Amounts, and Trends	
C. Revenue Generated by Court Operations: Sources, Amounts, and Trends	
The Personnel System	
Part IV—Court Caseload Summary	
Appellate Court Caseload Data	
A. Caseload Inventory	
B. Manner of Disposition	
C. Time Interval Data for Disposed Cases, and Number of Pending Cases by Status and Age	
D. Trend Data	
Trial Court Caseload Data	
A. Caseload Inventory	
B. Manner of Disposition	
C. Time Interval Data for Disposed Cases, and Number of Pending Cases by Age	
D. Trend Data	
Appendices	
Glossary of Terms	
Technical and Special Appendices	

EXAMPLE

Example 3: List of Tables/Charts/Graphs

LIST OF TABLES	Page
1. Powhatan Judicial Branch Expenditures, by Court Level; July 1, 1978 to June 30, 1979	
2. Powhatan County Court Caseload Inventory Per Judge, by Judicial District and Major Case Category, 1979	
3. Powhatan Circuit Court Number and Percent of Pending Criminal Cases by Age, 1979	
4., etc.	

LIST OF CHARTS	Page
1. Powhatan Court System with Routes of Appeal, 1979	
2. Administrative Organization of the Powhatan Judiciary, 1979	
3. Powhatan Circuit Court Felony Defendant Dispositions, 1979	
4., etc.	

LIST OF GRAPHS	Page
1. Trends in Powhatan Judicial Branch Expenditures by Type, 1975-1979	
2. Powhatan Supreme Court Civil and Criminal Appeals Filed, 1975-1979	
3. Comparison of Powhatan Circuit Court Auto Tort Case Filings Before and After Passage of No-Fault Legislation	
4., etc.	

EXAMPLE

SECTION II—EXECUTIVE SUMMARY/JUDICIAL YEAR IN REVIEW

[Overview: Some readers of the annual report will want a general summary of the relevant information in the document. The executive summary/judicial year in review should provide these highlights of the annual report.]

Essential Features:

- o The executive summary should comment briefly on significant items relating to court system performance from the perspective of the chief justice or the state court administrator.
- o It should highlight the primary achievements, problems, and resource needs of the state judicial system, including the state court administrator's office. This section should contain summary information about newly passed or proposed legislation, supreme court rules, or other events that affected the operation of courts in the state during the reporting period, or which may affect future operation. The summary also should highlight definitions adopted for caseload reporting, the time period reflected by the data, and the methodological procedures used to collect and analyze data. Data availability and collection problems should be briefly discussed along with limitations on the use and quality of the data contained in the report. If key points are brought out, they should be cross-referenced to the supporting table or narrative in the body of the report.

[Comment: Strong caveats about the data are appropriate, such as "the caseload information from Circuit 2 has not been verified and should be used with caution," or "the data in this year's report are more complete/accurate than the caseload data reported last year, but more complete data are still needed."]

[Comment: An annual report built strictly around raw summary data is of little use to anyone except researchers and persons needing reference material (e.g., press and speech writers). Interpreted information is of the most widespread interest. Busy, high-level administrators and legislators will find the brief, broad strokes of the executive summary best suited to their time pressures. All topics need not be presented at all levels. The question "who will read this and what will they use it for?" should be kept constantly in mind.]

Example: Refer to Example 4.

Example 4: Executive Summary/Judicial Year in Review

EXECUTIVE SUMMARY/POWHATAN JUDICIAL YEAR IN REVIEW

This annual report, covering judicial branch operations during calendar year 1979, consists of five sections. The first two summarize the entire report and review the programs and developments within the judicial branch during the past year. The third section describes the organizational structure of the Powhatan judicial system in detail, laying out both the routes for appeal from each level of court and the organizational flow for administrative purposes. The fourth section concentrates on court financial and personnel resources. The fifth section, which comprises the bulk of the report, provides aggregate and detailed caseload statistics describing the activities for all state courts during the reporting period.

The year 1979 saw many new activities commence while others came to a successful conclusion. Probably the most important of these was the Court Reorganization Act of 1979 which revamped the administrative structure of the judiciary so as to provide a more efficient and comprehensive system of case and resource management. The supreme court is now developing for implementation in 1980 new administrative procedures and techniques to accommodate the changes made by the legislature.

In addition to administrative reorganization, the legislature created six additional judgeships at the trial court level to address the problem of escalating caseloads, and responded to the public mandate by enacting a new criminal code effective July 1, 1979. The new criminal code required that the supreme court promulgate new Rules of Criminal Procedure and Revised Rules of Evidence, both effective on July 1, 1979.

Other programs reaching fruition during 1979 included a weighted caseload reporting system to identify the need for judicial resources, the establishment of the Powhatan Judicial Information System (PJIS), and the establishment of the State Judicial College as an in-state, cost-effective supplement to the National Judicial College and the American Academy of Judicial Education. Two major education programs were held and attended by over 80 percent of the state's judges. Programs are also being developed for judicial support personnel.

The temporary State Board of Judicial Apportionment, established by the legislature to realign the boundaries of judicial circuits, completed its deliberations. Its report to the legislature will play a major part in determining the geographical boundaries of court circuits effective January 1, 1981.

On January 8, 1979, the supreme court, by per curiam order, established the Powhatan Judicial Planning Committee. It directed the committee to engage in both long- and short-range planning for improving the judicial system. This marks the first attempt at formal planning for the entire court system, and the project is made possible by funding from the Powhatan Crime Commission.

Caseloads in all the state's courts continued to grow. Trial and appellate court filings during the past year represent more than a 15 percent increase over 1978 and a 150 percent increase over court activity a decade ago (1969). With this steadily rising caseload, the Powhatan court system was not able to keep up with 1979's increased volume. The pending caseload is large and has been steadily increasing. While case filings over the past 10 years have risen 150 percent and case pendings 100 percent (after adjustment due to physical inventory—see below), available judicial manpower has risen by only 24 percent over the last decade. Hence, the need for additional judges is clear.

The data appearing in this annual report have been collected using the Powhatan Case Reporting System (newly implemented in 1979), which captures case data at time of filing, and again at disposition. It is believed that, for the first time, the pending caseload figures accurately reflect the court system's dockets at year's end. A physical inventory of cases on hand revealed that the 1978 total reported pendings were overstated by 10,000 cases. Insufficient recordkeeping and case monitoring procedures were responsible for this inaccuracy. Better procedures have been developed and adopted to preclude recurrence of this type of data error. Nonetheless, users of the data contained in earlier reports are cautioned that direct comparisons among pending caseloads may not be valid.

In summary, 1979 saw continued improvement in the operation of Powhatan's courts. 1980 should be much the same, thereby coming even closer to our ideal of an efficiently functioning and just judicial system, one to which the state's citizens can point with pride.

EXAMPLE

SECTION III—COURT ORGANIZATION

[Overview: Many readers of the annual report will not be familiar with the administrative structure of the state court system, the routes for appeal, or the history of the judiciary. This narrative section should briefly orient the reader who is unfamiliar with the courts. Material covered should include the history of the court system, jurisdictions, relationship of courts to each other, and summary operating facts (number of judges and support employees, the total number of cases handled, etc.). Maps showing the court system circuits and divisions should be included.]

Historical Development of Court Organization

Essential Features:

- o The present organization should be placed in historical perspective. This should consist of a short history of the development of court organization within the state.
- o Major changes to the court system's organization or structure that took place during the past year should also be described.

[Option: Some states may not want to repeat a full historical account of court system development each year. Other states may favor its inclusion on the ground that many readers will not have been exposed to previous reports. A compromise solution would be to give the full history only periodically, with very brief summaries being used in intervening years. Using this technique, a state would publish a full history in Year "X" and brief update summaries in all other years, with a note to the reader that the full history is in the Year "X" report, a copy of which is available upon request. If the history of the state judiciary prior to a certain point is not repeated in more recent reports, the annual reports could reference the last report with such information and indicate the availability of copies from the administrative office of the courts.]

Example: Refer to Example 5.

Example 5: Historical Development of Court Organization

HISTORICAL DEVELOPMENT OF POWHATAN COURT ORGANIZATION

The Early Times

The Territory of Powhatan was established by Act of Congress in 1829 and admitted to the Union in 1864. Judicial power was vested initially in a three-judge circuit court, county courts (limited courts as established by the legislative department of the territory), and justices of the peace. Two judicial districts were formed for the circuit court, and circuit jurisdiction encompassed all cases at law and equity. Both grand and petit juries were an integral part of its operation. Any two of the three circuit judges could sit as an appeals court.

This structure changed in 1846 when the territorial legislature divested the circuit court of appellate jurisdiction, although its judges continued to serve as circuit judges. The Powhatan Supreme Court, elected by the legislature and consisting of a chief justice and two associate justices plus an appointed clerk, took over the appellate jurisdiction.

The Constitution of 1884 established the same structure as earlier, added probate and municipal courts, increased supreme court membership to five, and made provision for appointment of all the justices by the Governor, with Senate confirmation. That system continued virtually intact until 1973, when substantial organizational changes were made. Justice of the peace courts were set for phase-out over five years, the court of appeals was created to serve as the intermediate appellate court with three districts of four judges each, the chief justice was designated administrative director of all courts, and an Administrative Office of the State Courts was created, headed by a state court administrator who serves at the pleasure of the chief justice.

In 1979, the Court Reorganization Act again altered the judicial system and its administrative operations by consolidating all limited and general jurisdiction courts into one trial court. Looking to the future, changes in appellate jurisdiction will be proposed to the 1980 legislature, to eliminate direct appeals to the supreme court on workman's compensation matters, thereby relieving caseload congestion mounting at that level.

EXAMPLE

Present Organization and Review of Operations

[Comment: This section should begin with a chart showing the routes for appeal in the state. This chart should be dated, and should include the number of judges at each level of court and the number of judicial administrative districts or locations during the reporting period. A separate chart should show the administrative lines of authority. Commentary pertaining to each court level within the state should support these charts.]

A. Appellate Courts

1. Court of Last Resort and List of Judges

a. Descriptive Profile

Essential Features:

- o The introductory paragraphs should present basic descriptive information about the court of last resort. Examples of the type of information this section should contain are:
 - the name and location(s) of the court.
 - the starting date and length of court term(s).
 - the number of judges who sit on the court, their term of office, and method of selection.
 - whether the court sits only *en banc* or also in panels.
 - a list of the names of the judges on the court.
- o A discussion of the subject matter jurisdiction of the court, including the types of appeals that are discretionary, the types of appeals heard as a matter of right, the scope of original jurisdiction, and special functions of the court should be presented.

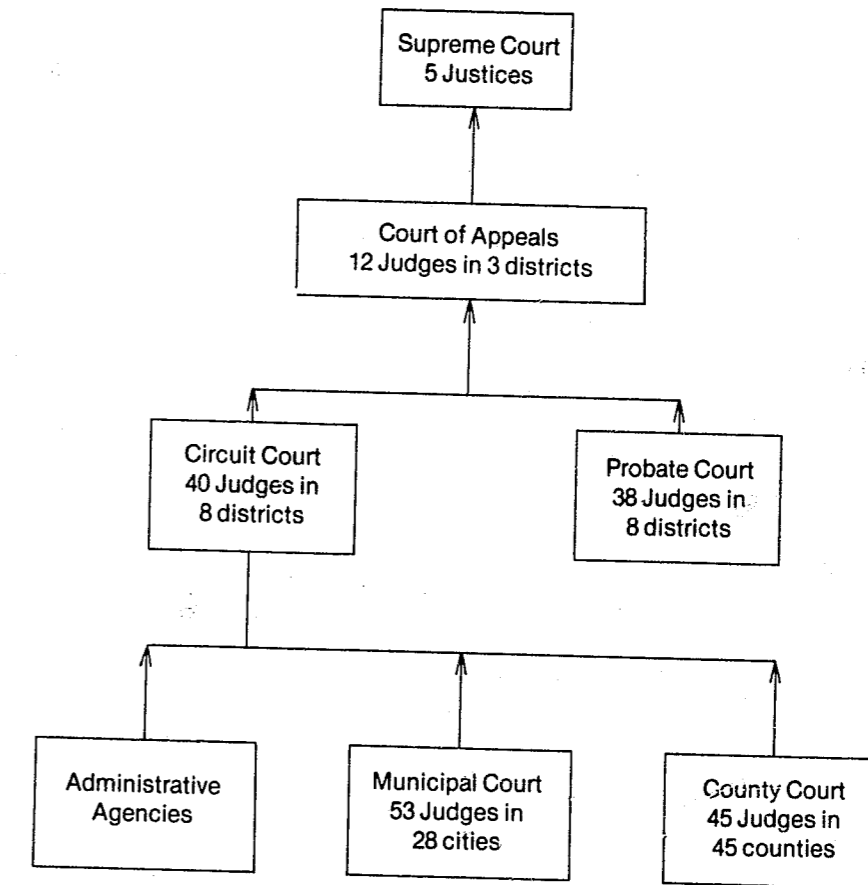
[Comment: Each subsection should contain a detailed descriptive narrative of the particular court level as well as a summary profile of its operating structure, jurisdiction, and authority.]

Example: Refer to Examples 6 and 7.

[Comment: Example 6 describes the routes of appeal within the court system, while Example 7 describes the administrative organization of the court system.]

Example 6: Routes of Appeal (Hypothetical Example)

POWHATAN COURT SYSTEM WITH ROUTES OF APPEAL, 1979

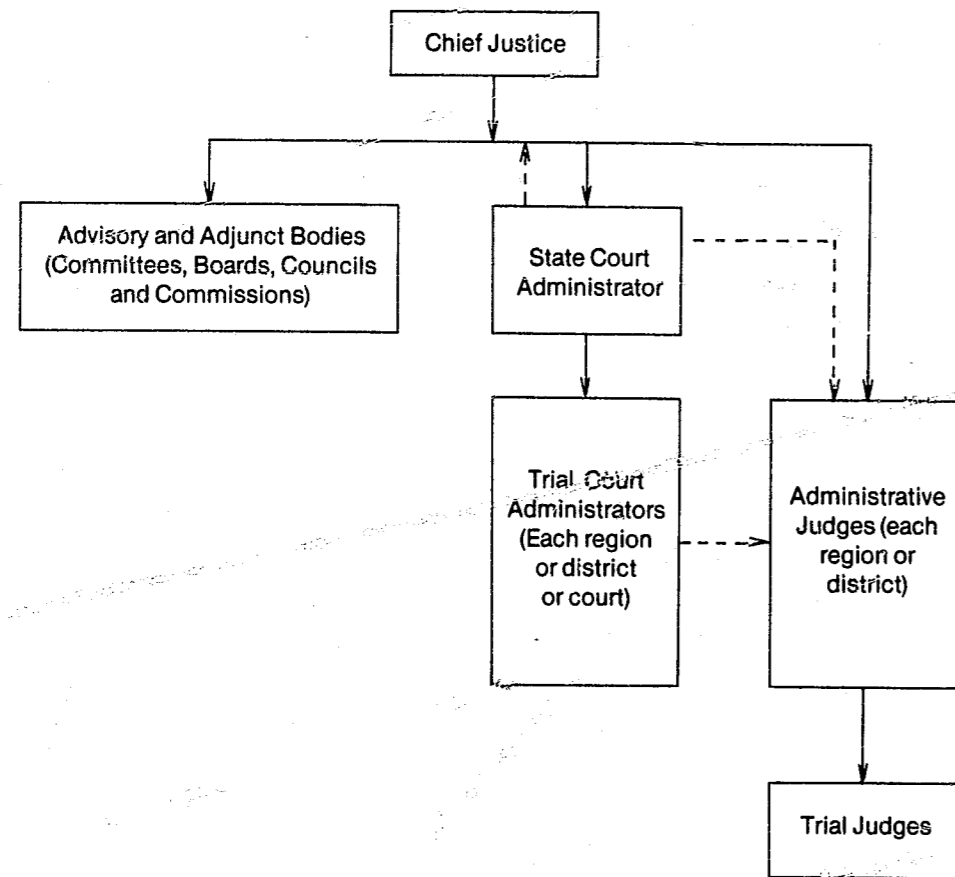


↑
Indicates route of appeal.

EXAMPLE

Example 7: Administrative Organization (Hypothetical Example)

ADMINISTRATIVE ORGANIZATION OF THE POWHATAN JUDICIARY, 1979



↓ Indicates line of administrative authority.

- - - Indicates assistance provided for carrying out administrative duties.

EXAMPLE

o The narrative also should focus on the administrative structure of the court of last resort. The existence of administrative duties and support personnel justify the inclusion of a separate administrative organization chart, one that reflects the administrative flow from the court of last resort to each other court level in the court system. Listed in general terms should be the administrative responsibilities and policy-setting authority of the chief justice or other administrative justice, or of the court of last resort as a whole, as appropriate. The basis for their administrative authority (statutes, court rules, etc.) should also be given.

Example: Refer to Examples 6 and 7.

[Comment: These charts are those used in the preceding discussion to describe the state court system's routes of appeal and administrative organization.]

b. Review of Operations

Essential Features:

- o This section should highlight the year's key activities in the court of last resort, including summaries of caseloads, finances, personnel, significant legislation, and changes in court rules or administrative practices that affect this court.
- o Use of brief summary charts or graphics, cross-referenced to supporting data should supplement the discussion as appropriate (see example graphics in Section IV of the model).

2. Intermediate Appellate Court and List of Judges

[Comment: As applicable, the format for describing this court will follow the pattern set for the court of last resort.]

a. Descriptive Profile

Essential Features:

- o The introductory paragraphs should present basic descriptive information about the intermediate appellate court(s). Examples of the type of information this section should contain are:
 - name and location(s) of the court(s).
 - starting date and length of court term(s).
 - number of judges who sit on the court, their term of office, and method of selection.
 - whether the court sits only *en banc* or also in panels.
 - list of the names of the judges on the court.

- o A discussion of the subject matter jurisdiction of the court, including the types of appeals that are discretionary, the types of appeals heard as a matter of right, the scope of original jurisdiction (if any), and special functions of the court should be presented.
- o The narrative should focus on the administrative structure of the intermediate appellate court, including support personnel and administrative lines of authority. Listed in general terms should be the administrative responsibilities of the chief judge or other administrative judge, or of the intermediate appellate court as a whole, as appropriate. The basis for the administrative authority (statutes, court rules, etc.) should also be given.
- o Geographic administrative boundaries (if any) for the intermediate appellate court(s) should be shown by a map.

Example: Refer to Examples 6, 7, and 8.

[Comment: The first two charts are those used earlier in the discussion of the present organization and review of operations to describe the state court system's routes of appeal and administrative organization.]

[Comment: Example 8 is a map showing the geographic administrative or jurisdictional boundaries (districts) for the intermediate appellate court.]

b. Review of Operations

Essential Features:

- o This section should highlight the year's key activities in the intermediate appellate court, including summaries of caseloads, finances, personnel, significant legislation, and changes in court rules or administrative practices that affect this court.
- o Use of brief summary charts or graphics, cross-referenced to supporting data should supplement the discussion as appropriate (see example graphics in Sections IV and V of the model).

B. Trial Courts

1. *Court of General Jurisdiction and List of Judges*

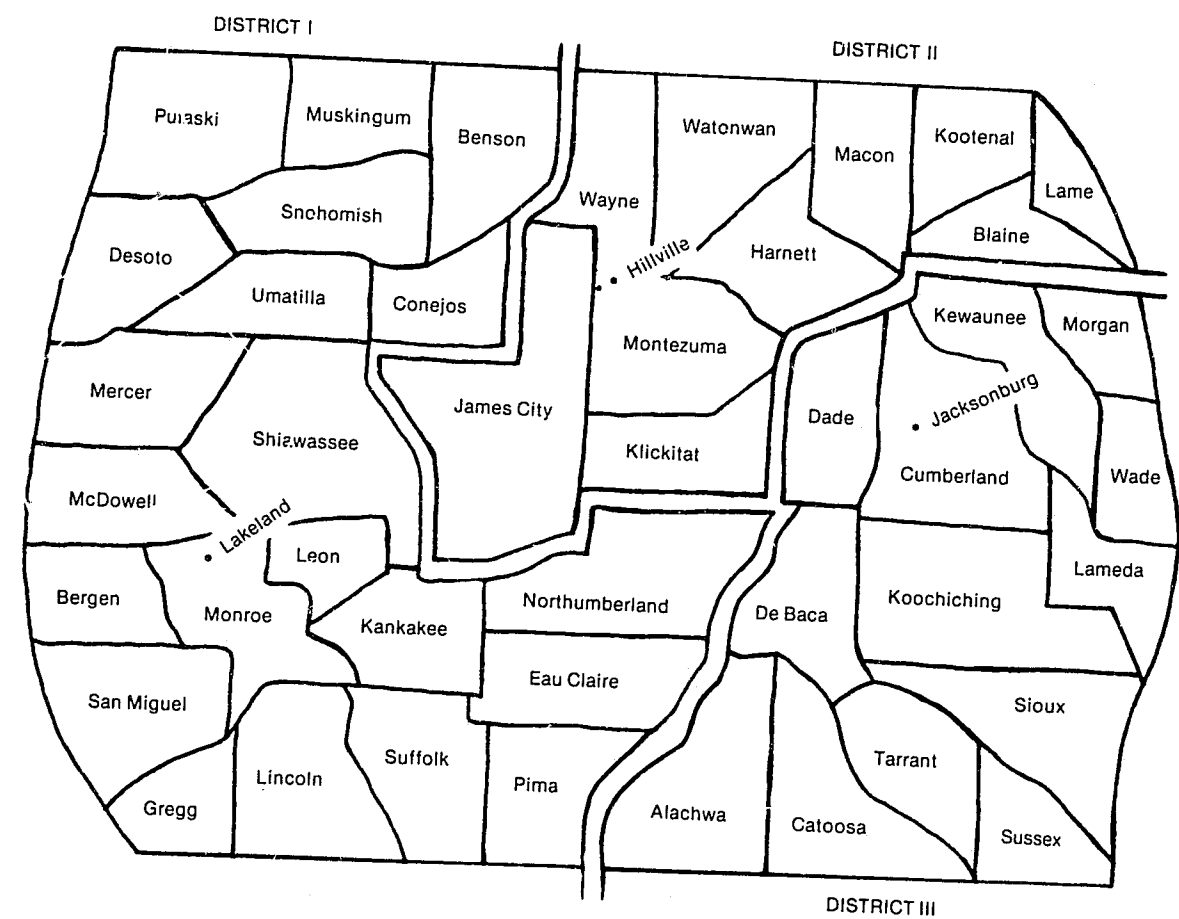
a. Descriptive Profile

Essential Features:

- o Listed should be each type of trial court of general jurisdiction, along with its total number of courts and judges.

Example 8: Geographic Administrative Boundaries (Hypothetical Example of Intermediate Appellate Court Divisions)

DIVISION BOUNDARIES FOR POWHATAN COURT OF APPEALS, 1979



EXAMPLE

[Comment: For each court, these items should be included on a separate map:

1. State name.
2. In large boldface, the district or division number.
3. The names of the counties.
4. A thick black line or open white space showing the judicial district or division for geographical, administrative, or jurisdictional boundaries.
5. The location where the court sits (show city on the map).]

- o Geographic administrative or jurisdictional boundaries for each type of court should be shown by maps. For example, the geographic boundaries of circuit court circuits should be superimposed on a map of the state.
- o Basic descriptive information should be given, such as: how the judges are selected; term of office; whether judges must be attorneys; start and length of court term(s), if any; non-judicial governmental functions, if any; and methods of rotation, if any are used. This should be done for each type of trial court of general jurisdiction, e.g., circuit court, superior court, chancery court. A list of the names of the judges on each court should also be provided.
- o Subject matter jurisdiction of each court type should be described, including types of cases handled, types of appeals handled (administrative agency, on the record from a trial court, or trial *de novo*), and whether or not the court holds jury and non-jury trials.
- o Identified in general terms for each type of court should be the administrative duties and responsibilities of the chief judge or other administrative equivalent. Trial court and regional court administrators, as appropriate, should be identified for each type of court, giving their general administrative duties and responsibilities within the court system, their numbers and locations. The basis for their administrative authority (statutes, court rules, etc.) should also be given.

Example: Refer to Examples 6, 7, and 8.

[Comment: Example 6 is the same chart used previously in the discussion of the state court system's routes of appeal.]

[Comment: Example 7 is the same chart used previously to describe the state court system's administrative organization.]

[Comment: Example 8 is a map used previously to show geographic administrative or jurisdictional boundaries for the intermediate appellate court. A similar map(s) should be given for the general jurisdiction court(s).]

b. Review of Operations

Essential Features:

- o This section should highlight the year's activities for the general jurisdiction courts, including summaries of caseloads, finances, personnel, significant legislation, and changes in court rules or administrative practices that affect these courts.
- o Use of brief summary charts and graphics, cross-referenced to supporting data should supplement the discussion as appropriate (see example graphics in Section IV and V of the model).

2. *Court of Limited or Special Jurisdiction and List of Judges*

a. Descriptive Profile

Essential Features:

- o Listed should be each type of court of limited or special jurisdiction, along with its total number of courts (districts, counties, etc.) and judges.
- o Geographic administrative or jurisdictional boundaries for each type of court should be shown by maps whenever multiple counties are subsumed within such lines.
- o Basic descriptive information should be given, such as: how judges are selected; whether judges are full-time or part-time; term of office; whether judges must be attorneys; start and length of court term(s), if any; non-judicial governmental functions, if any; and methods of rotation, if any are used. This should be done for each type of court of limited or special jurisdiction, e.g., county court, probate court, family court, small claims court, traffic court, municipal court, magistrates court, justices of the peace. A list of the names of the judges on each court should also be provided.
- o Subject matter jurisdiction of each court type should be described, including case categories handled, routes for appeal, whether or not the court handles probable cause or preliminary hearings, and whether or not the court holds jury and non-jury trials.
- o Identified in general terms for each type of court should be the administrative duties and responsibilities of the chief judge or other administrative equivalent. Local court administrators, as appropriate, should be identified for each type of court, giving their general administrative duties and responsibilities within the court system, their numbers and locations. The basis for their administrative authority (statutes, court rules, etc.) should also be given.

Example: Refer to Examples 6, 7, and 8.

[Comment: Example 6 is the same chart used previously to describe the state court system's routes of appeal.]

[Comment: Example 7 is the same chart used previously to describe the state court system's administrative organization.]

[Comment: Example 8 is the map used previously to show geographic administrative or jurisdictional boundaries for the intermediate appellate court. A similar map should be given for each limited or special jurisdiction court.]

b. Review of Operations

Essential Features:

- o This section should highlight the year's activities for limited and special jurisdiction courts, including summaries of caseloads, finances, personnel, significant legislation, and changes in court rules or administrative practices that affect these courts.
- o Use of brief summary charts or graphics, cross-referenced to supporting data should supplement the discussion as appropriate (see example graphics in Sections IV and V of the model).

C. Administrative Organization

1. Administrative Office of the Courts

a. Descriptive Profile

Essential Features:

- o How the state court administrator is selected and retained should be described, e.g., "... serves at the pleasure of the chief justice."
- o The basic functions performed by the administrative office of the courts should be described, along with the number of staff in each function and how they are selected.
- o Support programs and projects operated by or through the administrative office of the courts should be described.
- o The organizational structure of the administrative office of the courts should be shown by use of a chart.
- o The relationship of the administrative office of the courts and the state court administrator, for administrative purposes, to the highest judicial body (supreme court or judicial council) should be described.
- o The administrative relationship of the administrative office of the courts to each level of court, trial and local court administrators, and court system personnel should be identified.
- o The administrative office of the courts relationship (staff support, coordination, liaison, information dissemination) with supreme court adjunct advisory bodies, other governmental branches and agencies, and the public should be identified.

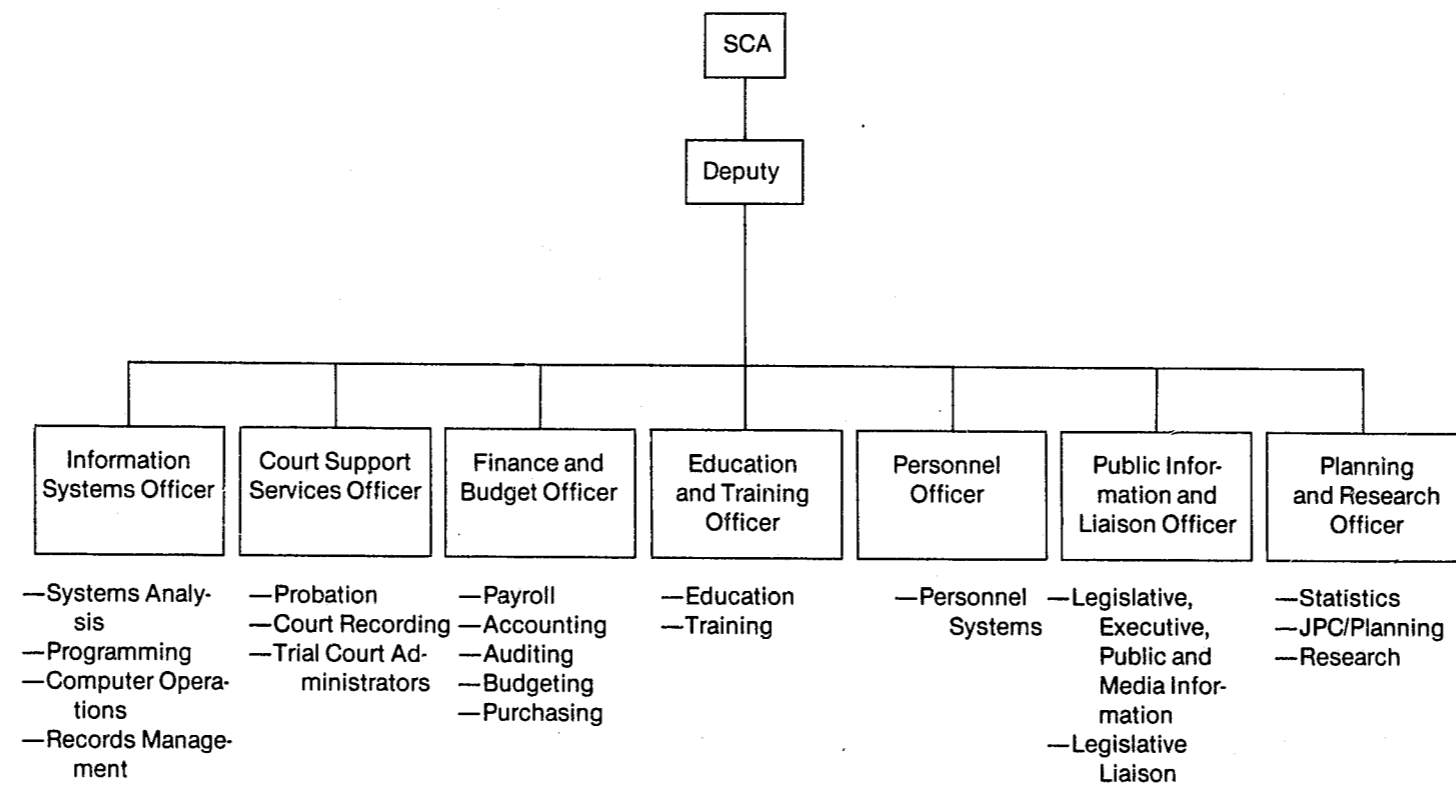
Example: Refer to Examples 7 and 9.

[Comment: Example 7 is the same chart used earlier to describe the state court system's administrative organization.]

[Comment: Example 9 shows an example, not a model, of the detailed functional organization possible within the administrative office of the courts.]

Example 9: Structure of Administrative Office of the Courts (Hypothetical Example)

ADMINISTRATIVE OFFICE OF THE POWHATAN COURTS, 1979



[Comment: In smaller states several functions may be combined within one person. There may or may not be a deputy.]

EXAMPLE

b. Review of Operations

Essential Features:

- o This section should highlight the year's key activities of the administrative office of the courts including summaries of workloads, finances, personnel, significant legislation, and changes in administrative practices. The discussion should summarize activities of the administrative office of the courts according to major functional subdivision within the office, e.g., information systems, finance and budget, personnel.
- o Use of brief summary charts or graphics, cross-referenced to supporting data should supplement the discussion as appropriate (see example graphics in Section IV and V of the model).

2. Adjunct Support Organizationsa. Descriptive Profile

Essential Features:

- o Special advisory or adjunct organizations that provide ancillary or direct support to the judicial system should be identified in this section and described as to purpose, membership, and relationship to the judicial system. The list should include such organizations as judges' associations, clerks' associations, discipline committees, judicial selection committees, judicial councils, judicial planning committees, educational committees, technical committees such as computer users groups, etc.

[Comment: The method employed to present these organizations and their functions will vary from state to state. Some states will choose to present detailed listings of organizations, with extensive narrative and graphic descriptive material. Others may choose to use only brief summaries or graphic displays or membership lists. The primary objective should be some form of recognition in the body of the report of the contributions of these organizations to the system and its operation.]

b. Review of Operations

Essential Features:

- o This section should highlight the year's activities for adjunct support organizations, including summaries of workloads, finances, personnel, significant legislation, and changes in administrative practices.
- o Use of brief summary charts or graphics should supplement the discussion as appropriate.

SECTION IV—COURT RESOURCES

[Overview: Information on the financing of the courts will be of particular interest to those in the court system and the legislature. This section should provide information on sources, amounts, and trends of court funding, funding uses, and revenue generated by operations. This will aid in interstate comparisons by these individuals and by those in other states. Also of interest to court officials, legislators, and other state agencies is the personnel system of the judiciary. This section should provide information about the number and types of positions funded for the judiciary.]

[Comment: This section could be expanded, as appropriate, to include discussions of other major resources available to the court system, e.g., building facilities at both the state and local level.]

[Comment: There is considerable variability in the types of expenditures and programs financed by the judiciary in the various states. For allocation of funds appropriated for judicial employee fringe benefits, probation supervision is financed by the judicial branch. Other areas of variability include capital outlay expenditure, financing of public defense activities, and retirement of debt. It is important that each State Court Administrator's annual report contain enough information on what is included and excluded in financial and employment data to allow readers who may be unfamiliar with that particular state's judicial system to accurately make use of the data contained in the report. The National Court Statistics Project hopes to be able to develop a model reporting scheme for use by State Court Administrators that will address these problems of interstate comparability in the future.]

Financial

[Comment: The introductory portion of the financial section should provide general financial background information, such as budgetary methods followed, intergovernmental fiscal relationships, and whether funds are allocated on a fiscal-year (if so, cite start and end dates) or calendar-year basis.]

A. Funding Sources, Amounts, and Trends

Essential Features:

- o Sources and amounts of state court system expenditures should be presented. The source information should indicate the original source of the funds.
- o Successive pie charts or other graphics should be used to display the relative proportions of judicial branch expenditures by funding source. Each graphic display should be accompanied by narrative that guides the reader through, and helps interpret the material displayed.
- o Useful graphic displays showing judicial branch funding relationships include:
 - the amount expended by the state for the judicial branch compared to the total state budget for all government services.
 - total judicial branch expenditures, showing state, local, and federal sources and amounts.
 - trends in funding.

[Comment: Illustrative comparisons of statewide governmental expenditures to court system actual dollar expenditures should provide the user of the state court annual report with a good "feel" for the dollar resources the judicial system has had at its disposal when trying to effectively and efficiently carry out its constitutionally and legislatively mandated duties and public services. It also provides the user with a sense of perspective regarding public choices for court system services compared to all other government services.]

Example: Refer to Examples 10a, 10b, 10c, 11, and 12.

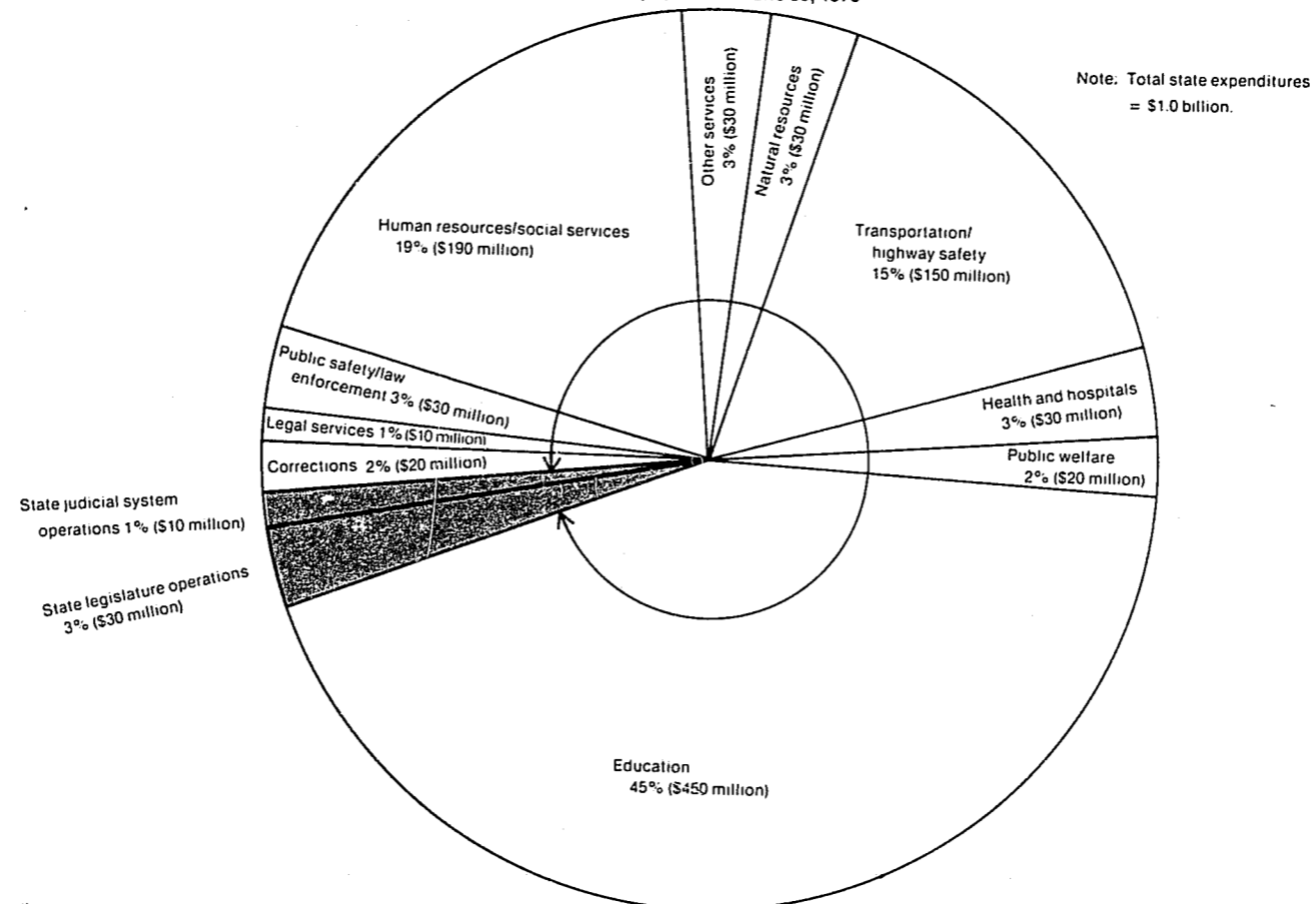
[Comment: The referenced figures illustrate the graphic display comparisons suggested earlier as being useful.]

[Option: Example 10a, 10b, or 10c could be supplemented with a narrative note that translates the judicial branch share of state resources into a per capita cost of providing justice services to the public.]

Example 10a: Amount Expended by State for Judicial Branch Compared to Total State Expenditures for All Government Services

(This hypothetical example uses a pie chart and some detail; for optional techniques, see Examples 10b and 10c.)

COMPARISON OF POWHATAN JUDICIAL BRANCH EXPENDITURES TO TOTAL STATE EXPENDITURES
July 1, 1978 to June 30, 1979

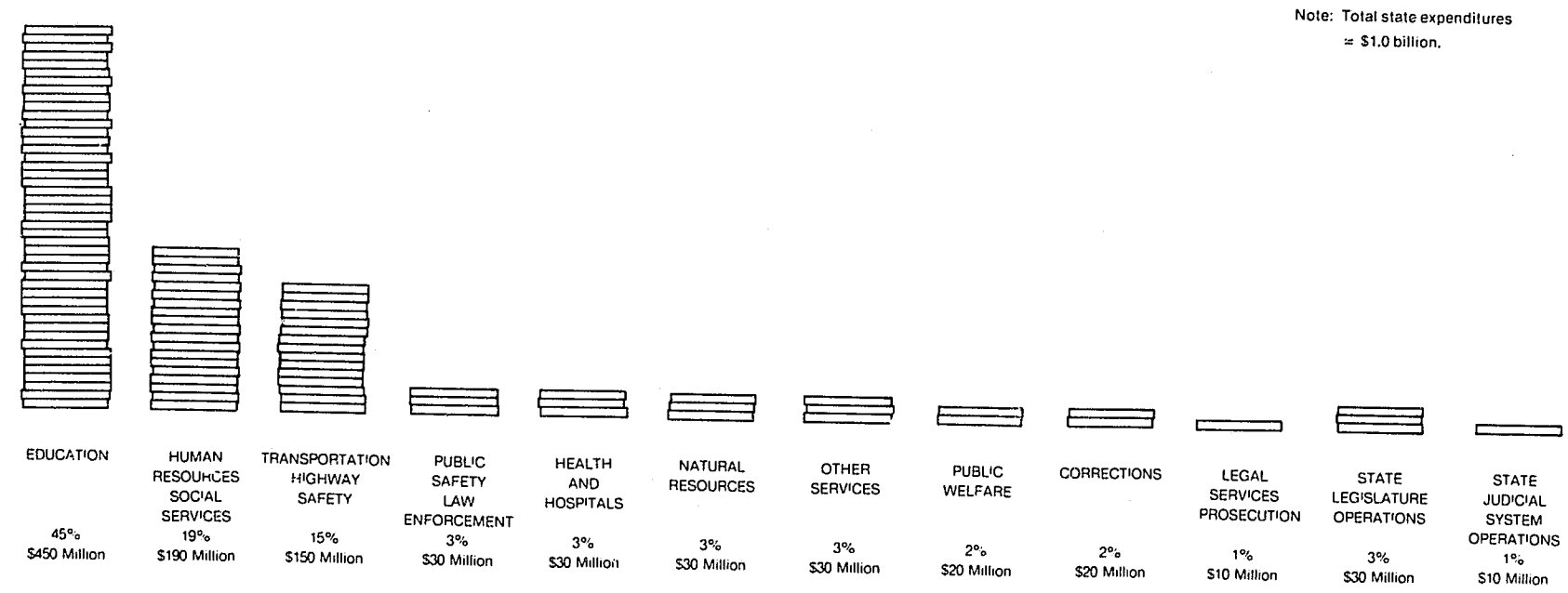


[Comment: The displayed figures include state agency payments and intergovernmental payments. Figures selected for display should be further interpreted by accompanying narrative. The narrative could stress the magnitude of differences among governmental services, such as, "Judicial system state expenditures represents less than one-half the amount that went to support recreation and cultural services."] EXAMPLE

Example 10b: Amount Expended by State for Judicial Branch Compared to Total State Expenditures for All Government Services

(This hypothetical example uses stacks of coins to show relative magnitude, as an optional technique to Examples 10a and 10c.)

COMPARISON OF POWHATAN STATE JUDICIAL BRANCH EXPENDITURES TO TOTAL STATE EXPENDITURES
JULY 1, 1978 TO JUNE 30, 1979



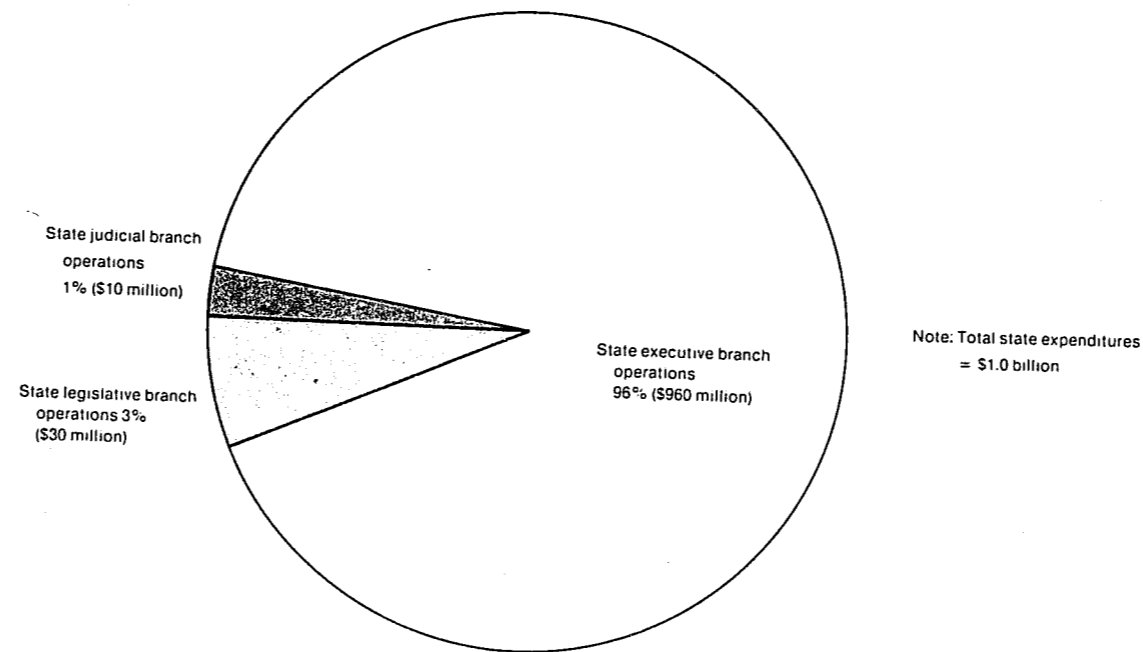
[Comment: The displayed figures include state agency payments and intergovernmental payments. Figures selected for display should be further interpreted by accompanying narrative. The narrative could stress the magnitude of differences among governmental services, such as, "Judicial system state expenditures represents less than one-half the amount that went to support recreational and cultural services."]

EXAMPLE

Example 10c: Amount Expended by State for Judicial Branch Compared to Total State Expenditures for All Government Services

(This hypothetical example uses a pie chart that consolidates detail and shows only branches of government, as an optional technique to Examples 10a and 10b.)

**COMPARISON OF POWHATAN STATE JUDICIAL BRANCH EXPENDITURES TO TOTAL STATE EXPENDITURES
JULY 1, 1978 TO JUNE 30, 1979**



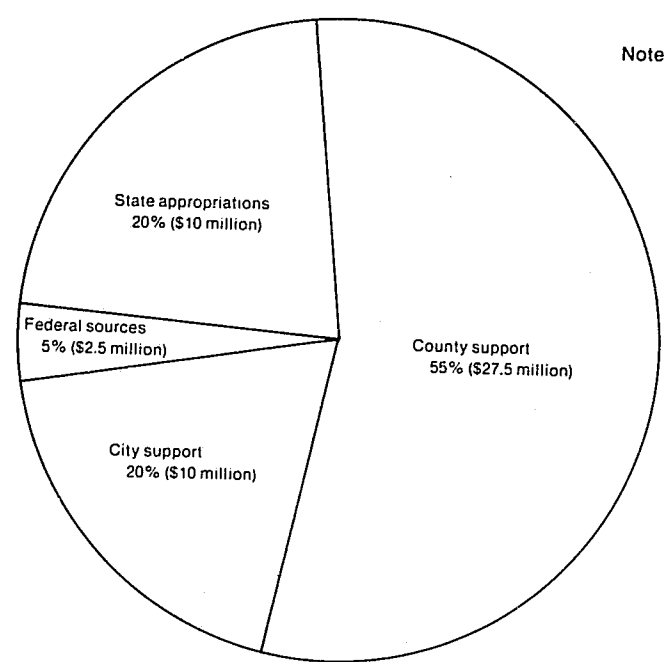
[Correction: The displayed figures include state agency payments and intergovernmental payments. Figures displayed should be further interpreted by accompanying narrative, stressing the magnitude of differences among governmental services.]

EXAMPLE

The Model Presented 41

Example 11: Sources of Funding for Total Judicial Branch Expenditures, Showing State, Local, and Federal Sources and Amounts

SOURCES OF FUNDING (STATE, LOCAL, FEDERAL) AND AMOUNTS FOR POWHATAN JUDICIAL BRANCH EXPENDITURES; JULY 1, 1978 TO JUNE 30, 1979



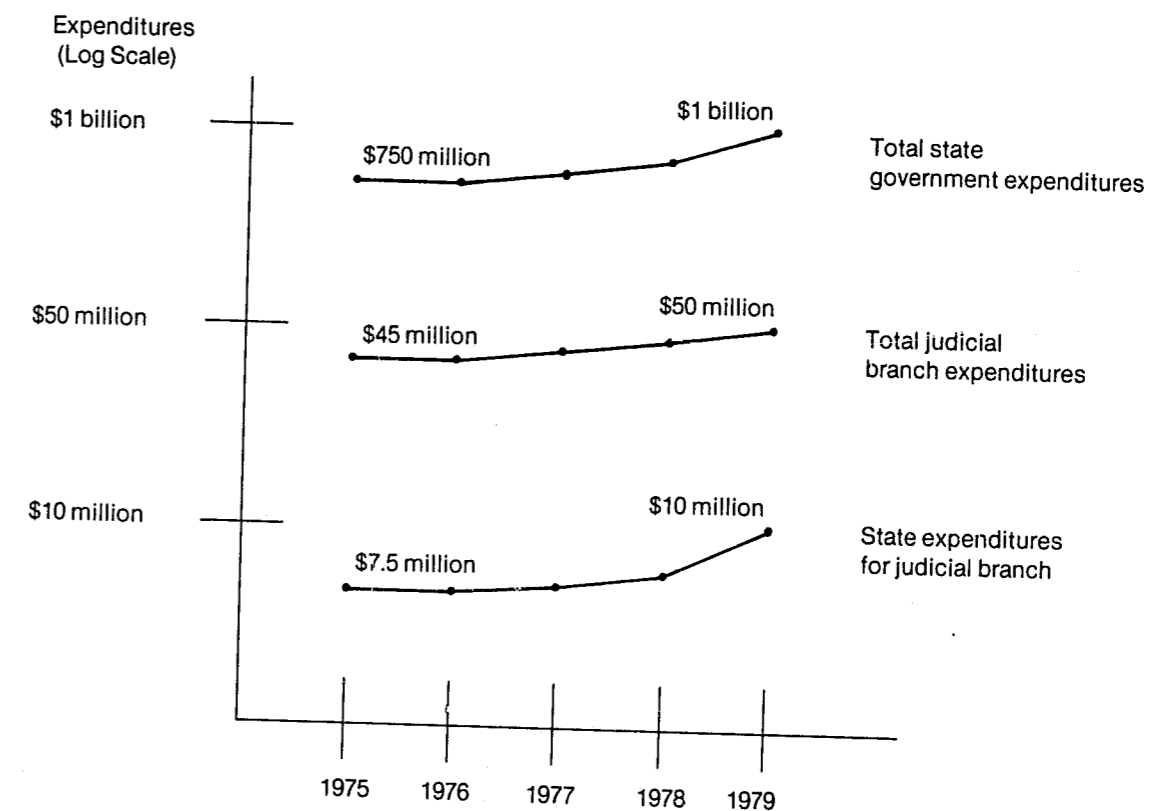
Note: Total judicial branch expenditures = \$50 million.

[Comment: This display can be used to identify *all sources* of funding used to support Judicial Branch operations. The source of funding should indicate the original source. For example, federal funds processed by the state and distributed to local courts should be displayed as from a federal source. Note that this hypothetical example encompasses *sources of funding for all courts*, even those local courts not defined to be strictly state-level courts. The premise here is that the court of last resort has supervisory responsibility over all courts created by power of the state. If only state-level courts are to be displayed, then this fact should be made clear on all figures and in descriptive or interpretive narrative.]

EXAMPLE

Example 12: Trends in Expenditures by Source

TRENDS IN POWHATAN STATE EXPENDITURES FOR JUDICIAL BRANCH, TOTAL JUDICIAL BRANCH EXPENDITURES, AND TOTAL POWHATAN STATE EXPENDITURES, 1975-79



[Comment: Expenditure charts could be supplemented by charts showing this information over a period of years to establish trends in funding. Use of a logarithmic scale, as in the example above, allows the simultaneous display of both very large and very small numbers on the same chart in order to emphasize trends rather than absolute magnitudes. Such a simplified visual display permits an easy understanding of sometimes complex information. For example, interpretation of the figure above could be: "Over the preceding five years, the court system has been able to hold even in its proportion of state-level dollar resources (one percent), however the state funding increased from one-sixth the total judicial expenditures in 1975 to one-fifth in 1979. Therefore, the dollar support from local and federal sources increased only slightly over the period (from \$37.5 million to \$40 million) and became a proportionately lesser share of total judicial branch expenditures. Assuming court system expenditure needs kept pace with total state government expenditures growth, this situation created a \$10 million shortfall in funding of court system needs." Accompanying narrative could describe the programmatic and operational effects of this under-funding.]

EXAMPLE

B. Funding Uses: Expenditure Types, Amounts, and Trends

Essential Features:

- o Uses of funds made available to the state court system (use total judicial branch expenditures) should be identified by major direct expenditure category; that is, by each major type of expense item actually paid for out of court system funds.
- o Expenditure data should be broken down by functional unit, such as court of last resort, intermediate appellate court, court of general jurisdiction, court of limited or special jurisdiction, and administrative office of the courts. Geographic stratification (by county or judicial division) of data may also be possible, depending upon data collection and analysis capabilities of the state judicial information system.
- o Each major funding source's contribution to the expenditure total for each line item should be identified.
- o Useful graphic displays showing judicial branch expenditure interrelationships include:
 - summary of judicial branch expenditures, by court level.
 - expenditures by the judicial branch (total).
 - trends in expenditures.

[Comment: Within each major stratification, the following major expense items should be presented:

- salaries/personnel services;
- retirement fund;
- other fringe benefits;
- other operating (should separately show: probation, legal services, court reporters, law library, clerk's office, local court administrator's office, supplies, equipment/rentals/maintenance);
- capital equipment; and
- capital improvements.]

[Comment: Other analyses are possible and potentially revealing. The relationship between court system expenditures and caseloads could be explored. For instance, a comparison might be made of the percentage change in caseload relative to the percentage change in expenditures over a period of time. As expenditure and caseload data permit, a study of dollars expended per case processed (possibly by type) might also be made.]

Example: Refer to Examples 13, 14, and 15.

Example 13: Summary of Judicial Branch Expenditures, by Court Level

POWHATAN JUDICIAL BRANCH EXPENDITURES BY COURT LEVEL JULY 1, 1978 to JUNE 30, 1979

Expenditure	COLR			IAC			COGJ			COLSJ			AOC			Totals				
	S	L	F	Sub.	S	L	F	Sub.	S	L	F	Sub.	S	L	F	Sub.	S	L	F	Total
1. Salaries/personnel services (excludes retirement and other fringe benefits)																				
2. Retirement fund																				
3. Other fringe																				
4. Other operating (excludes capital equipment and improvements)																				
5. Capital equipment																				
6. Capital improvements																				
[Option: Additional subdivisions of expenditures can be listed as needed.]																				
Totals																				

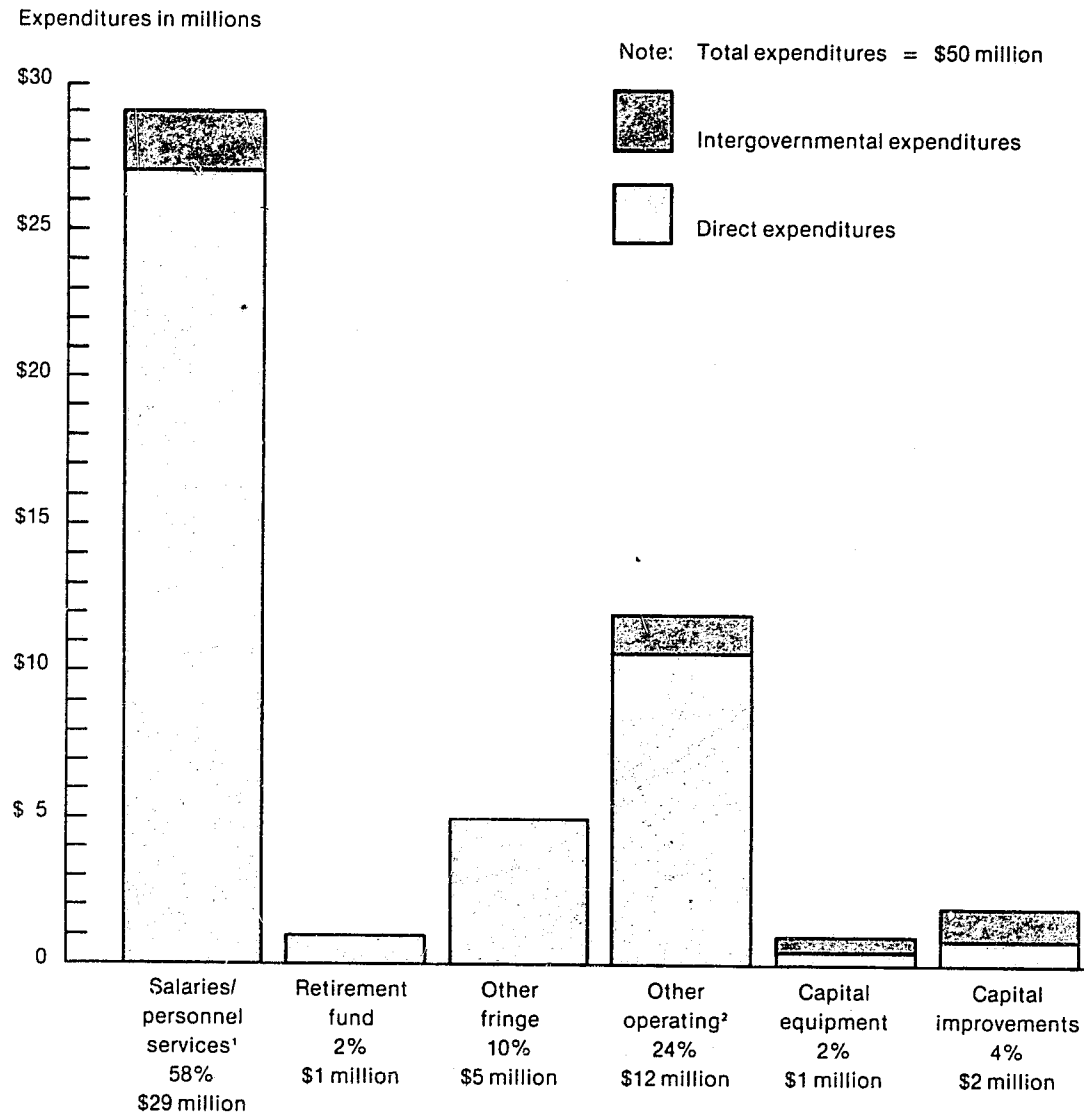
- Legend:
- S = State
 - L = Local
 - F = Federal
 - Sub. = Subtotal
 - COLR = Court of Last Resort
 - IAC = Intermediate Appellate Court
 - COGJ = Court of General Jurisdiction
 - COLSJ = Court of Limited or Special Jurisdiction
 - AOC = Administrative Office of the Courts

[Comment: This kind of summary table can provide a wealth of data for resource allocation analysis, and can serve as a public accounting for funds used. The amount of detail presented, including the specific expenditure categories chosen, will depend upon how financial data are organized and the level of available detail. All categories used for display of data should be defined as to content.]

EXAMPLE

Example 14: Total Expenditures by the Judicial Branch

POWHATAN TOTAL JUDICIAL BRANCH EXPENDITURES; JULY 1, 1978 TO JUNE 30, 1979



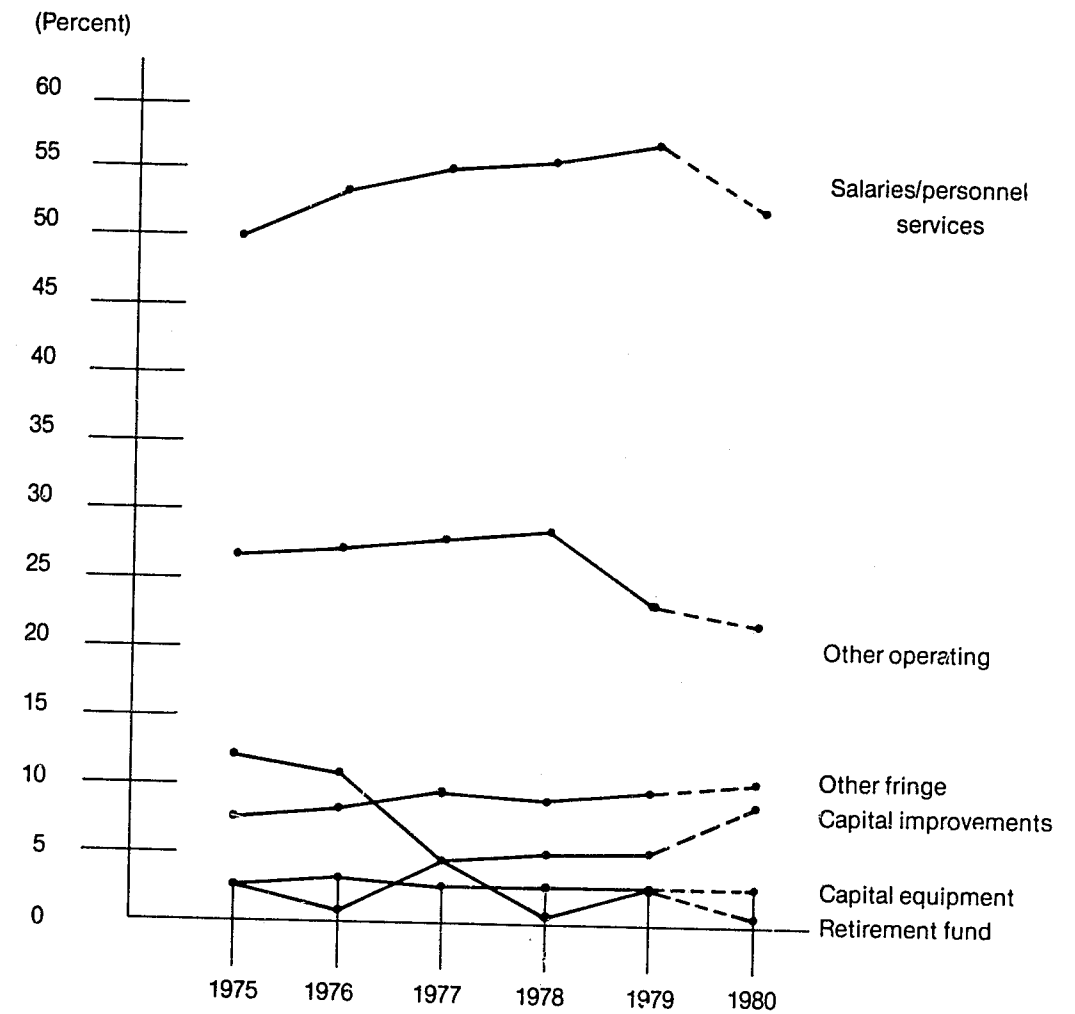
¹Excludes retirement and other fringe benefits.
²Excludes capital equipment and improvements.

[Comment: This type of chart serves to consolidate all expenditures in a graphic display of the relative consumption of dollar resources by each major expenditure category. All expenditure categories should be defined as to content. This could be done for total expenditures, as done here. Similar charts could show how each major funding source (state, local, federal) was used for expenditures. Subsumed in the functional breakout can be any inter-governmental transfer (e.g., state pays county for court building maintenance). Intergovernmental expenditures should be counted only once.]

EXAMPLE

Example 15: Trends in Expenditures by Type

TRENDS IN POWHATAN JUDICIAL BRANCH EXPENDITURES BY TYPE, 1975-1979



Note: Total expenditures are used.

— Indicates past years expenditures.
 - - - Indicates expected expenditures for 1980.

[Comment: Five- or ten-year trend lines might be plotted and projected to show the relative importance of various expenditure items at each court level or for each funding source. The yearly data for these trend charts can come directly from the previous chart, *Summary of Judicial Expenditures, by Court Level*. Narrative should accompany each such chart, for descriptive, analysis, and interpretation purposes.]

[Option: An even more revealing trend analysis might be derived from graphing actual expenditures and caseloads for a five- or ten-year period.]

EXAMPLE

C. Revenue Generated by Court Operations: Sources, Amounts, and Trends

Essential Features:

- o The sources and amounts of revenue generated through operation of the court system should be presented.
- o A pie chart or other graphic should be used to show the relative contribution to revenue of each source.
- o Revenues from court operations should be accounted for as a topic separate from court system funding sources.
- o Trends should be identified with the aid of graphics.

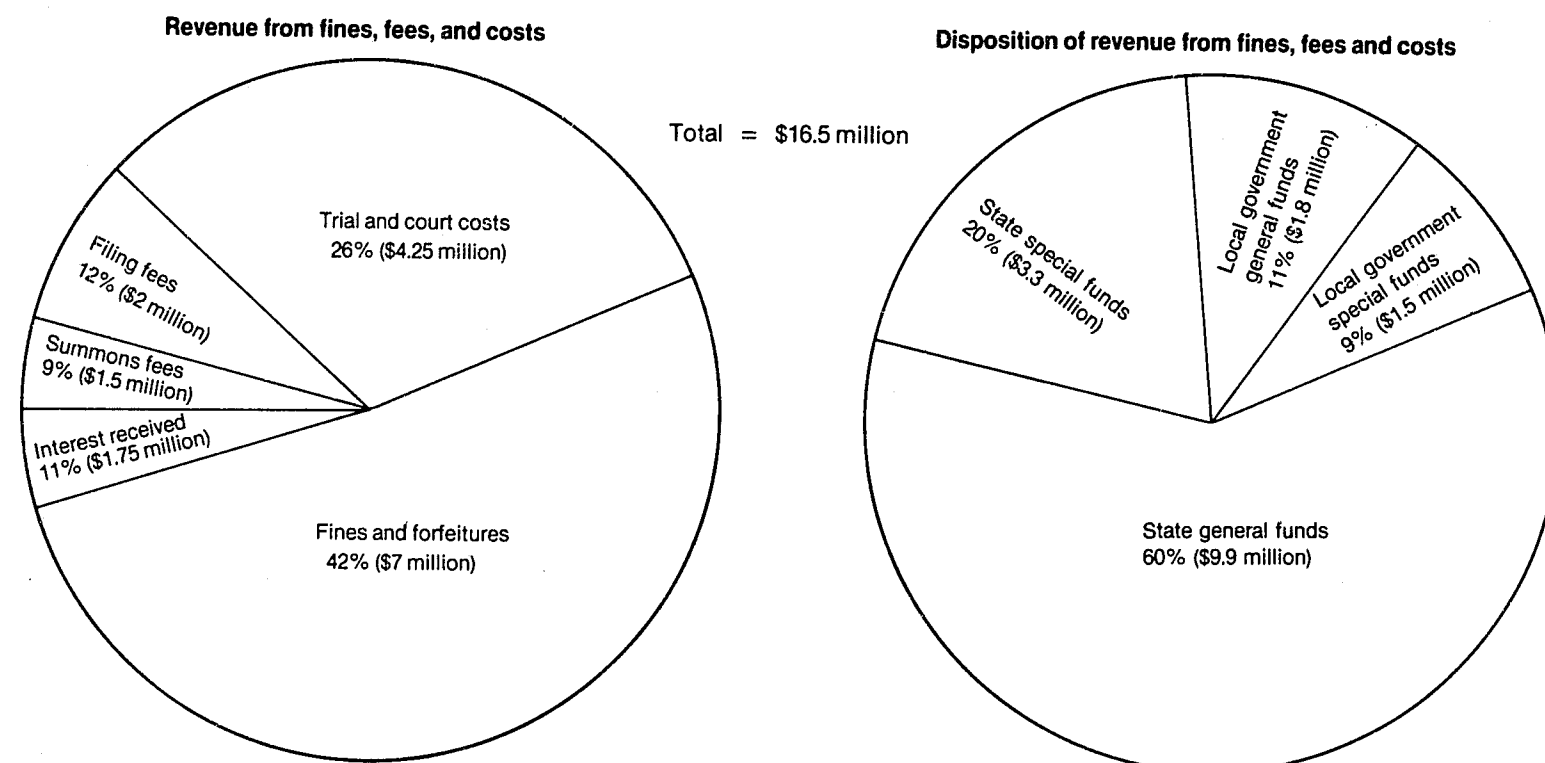
[Comment: Court system funding levels should not suffer the onus of being determined by the court system's ability to generate revenue. To avoid institutionalizing a bias toward revenue generation in the justice delivery process, the commentary should emphasize that court system operation should be funded by means of general fund monies, with no reference to or reliance on revenue generation.]

Example: Refer to Examples 16 and 17.

[Comment: The cited figures show ways of displaying current year and trend information on revenue generation.]

Example 16: Disposition of Revenue from Fines, Fees, and Costs with Sources and Amounts of Revenue

SOURCES AND AMOUNTS OF REVENUE FROM FINES, FEES, AND COSTS IN THE POWHATAN JUDICIARY
WITH DISPOSITION OF REVENUE; JULY 1, 1978 TO JUNE 30, 1979

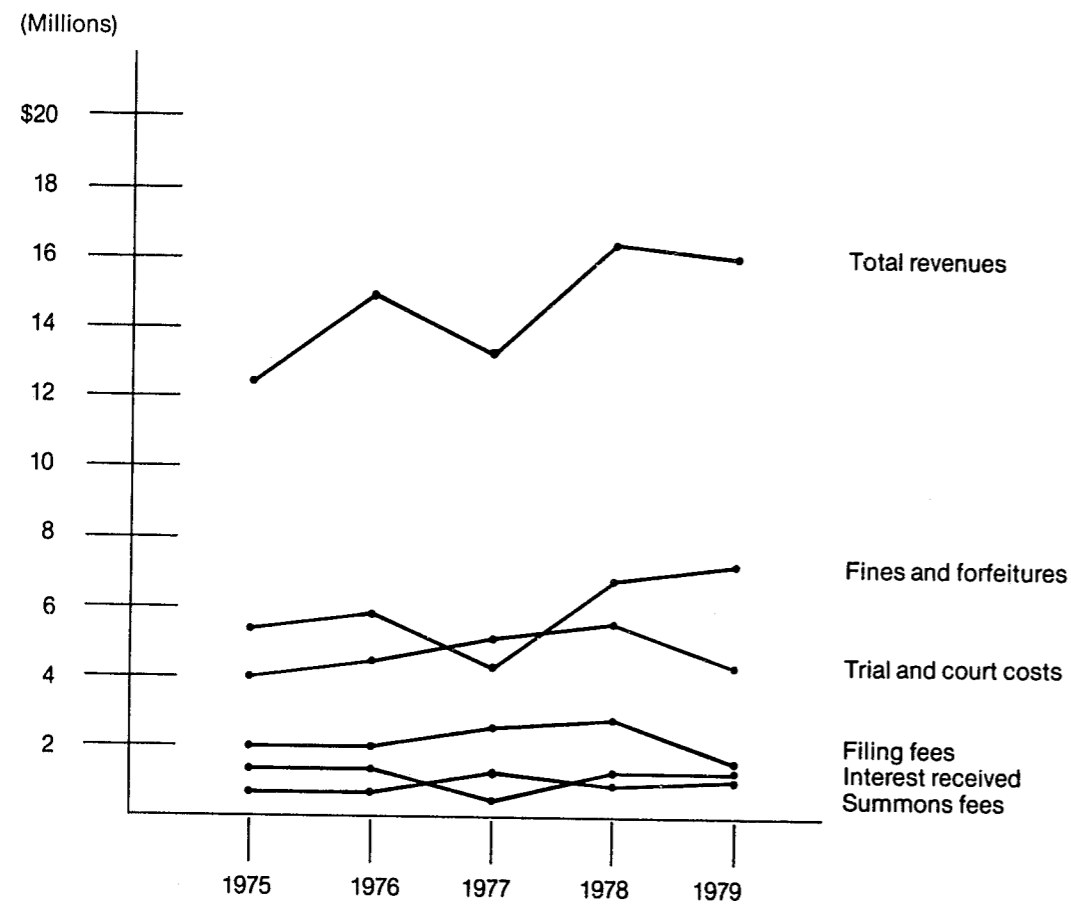


[Comment: This chart should be accompanied by narrative which identifies points of special significance and any peculiarities behind the data. To avoid institutionalizing a bias toward revenue generation in the justice delivery process, the commentary should emphasize that court system operation should be funded by means of general fund monies, with no reference to or reliance on revenue generated.]

EXAMPLE

Example 17: Trends in Revenues from Fines, Fees, and Costs

TREND IN POWHATAN JUDICIARY REVENUE FROM FINES, FEES, AND COSTS, 1975-1979



EXAMPLE

The Personnel System

Essential Features:

- o This should be a broad-stroke, general section that concentrates on identifying the numbers of each major type of personnel on the judicial branch payroll. Taking this broad perspective, it would be helpful to inform the reader of the general structure of the judicial branch personnel system.

[Comment: A brief positional profile could be given, citing types and number of full or full-time equivalent employees, number of part-time or temporary employees, judges on senior status, number of clerical staff, number of administrative staff, number of service staff, etc.]

- o Personnel position types are usually best described by function. A very short description of key position types and their primary functions may be helpful (for example, an explanation that court services are a "people intensive" activity would be highly informative to the readers).

- o For further detail the reader of the state court annual report should refer to the classification of state court personnel data being collected by the National Court Statistics Project for inclusion in the national statistical series on court organization, entitled *State Court Organization Survey*.

[Comment: Number of employees probably will be highly correlated with financial expenditures.]

Example: Refer to Example 18.

[Comment: Example 18 shows a display that could be used to visually accentuate brief summary data about the personnel system.]

Example 18: Judicial Branch Personnel System in Profile
(This chart visually displays personnel data.)

NUMBER OF POWHATAN JUDICIAL BRANCH PERSONNEL BY PERSONNEL TYPE, 1979

Personnel type	Total number of personnel statewide
1. Judicial Personnel (statutorily authorized judge positions)	359
2. Administrative office of the courts (authorized full-time)	33
3. Clerk of court operations	1,055
4. Other non-judicial	725
5. Probation and court services	174
Total	2,346

[Comment: This could also be done by court level as desired.]

EXAMPLE

SECTION V—COURT CASELOAD SUMMARY

[Overview: Most readers of the annual report will be interested in the caseload data, but the level of detail desired may vary greatly. This part of the annual report should be introduced by a brief explanation of the presentation structure and types of caseload information to be found in this section. The chapter itself should begin with key findings and conclusions drawn from the summary data. These should highlight, for example, unusual caseload activity, marked changes in caseload inventory, or significant changes in the number of new filings or dispositions. Any statewide trends, and the implications of such trends for court operations or resources, should be noted.]

[Comment: Summary information should be presented from a statewide perspective, both for all courts (appellate plus trial) and for each individual level of court and major case type. Highly useful would be a table of summary statistics accompanied by a line graph showing trends over five or ten years in appellate as opposed to trial court filings. A variation of or addition to this trend graph would be to show filings for each court type (court of last resort as opposed to intermediate appellate court as opposed to court of general jurisdiction as opposed to court of limited or special jurisdiction). A comparison of appeals to trials can help show the interaction and interdependence between the trial and appellate levels, and would enhance the overview discussion.]

[Comment: The court caseload summary section of the annual report should progressively increase the amount of data and analysis detail. After presenting summaries for all courts (appellate plus trial), statewide caseload by court level should be presented and supported by detail and totals for judicial districts and local political subdivisions within judicial district (e.g., county). When county-by-county data are presented, consideration should be given to isolating this rather bulky array of figures from the mainstream of the report. An appendix might be appropriate.]

The specific extent of detail adopted within major case categories and court level should reflect state needs. As a suggested starting guide, however, a classification and display structure has been included herein.

The court caseload summary section is most conveniently split into two parts: one for appellate court caseloads and one for trial court caseloads. The data presentation and analysis for each should cover the same basic material relating to caseload composition, manner of disposition, time interval data (processing time to disposition, age analysis of pending cases), and trend data.

For purposes of data display and interpretation, intermediate appellate court caseload analysis can use the same approach as used for the court of last resort if the intermediate appellate court sits in one location.

If not, the intermediate appellate court analysis may have to be supplemented by a display of caseload data by judicial division/district. At the trial court level, this judicial division/district analysis is appropriate and should be included for both general jurisdiction courts and limited or special jurisdiction courts.

Whenever graphic display material (tables, charts, graphs, illustrations) is presented, narrative explanation and analysis should accompany, synthesize, and interpret the data. Raw data should not be presented alone. Whenever extensive technical analyses and detailed derivations are *essential* to support data and findings, they should be relegated to their proper background information status and be included as a technical appendix to the annual report.]

[Comment: The suggestions offered in this model annual report do not at this time address the concept of workload, which is an expansion beyond the concept of caseload. Workload can cover things such as bar examinations, ministerial duties, administrative duties, etc. The related statistics can be used to track, analyze, and interpret the impact of key non-case-related activities that require consumption of significant court system resources. Workload may be addressed in a future edition of the model annual report, but for the present, each state should determine its needs for workload measures and handle the reporting and display of workload as appropriate.]

Appellate Court Caseload Data

[Comment: A general statement should open the discussion of caseload in the appellate courts, summarizing and putting into context these data and analyses for these courts. For example, if the statement is made that courts are being inundated with appeals, the reader can be directed to tables showing the increase in appeals filed over the past several years. If fewer requests for leave to appeal are being accepted, but those appeals that are accepted are taking more time to decide, the reader can be guided to tables and narrative that analyze (including synthesis and interpretation) caseload inventory, status of pending cases, and time to disposition.]

[Comment: If there is an intermediate appellate court, there should be a data presentation and analyses of its caseload activities. Separate data presentation and analyses should be made for each appellate division within this court if the court sits as divisions in more than one location.]

A. Caseload Inventory

Essential Features:

- o These data and analyses should present a clear explanation of what is included in appellate caseload.
- o Descriptions should cover data availability, limitations, and potential uses.
- o Definition of case-related terms (e.g., point of filing) should be given.

[Comment: The suggested terms for use in caseload inventory classification, counting, and reporting for both appellate and trial courts, are defined in the *State Court Model Statistical Dictionary*. Reference can also be made to the cross-classification matrix in the *State Court Model Statistical Dictionary Annex*. That matrix will show the reader each state's current use of caseload-related terms, how cases are classified for statistical purposes for the *State Court Caseload Statistics: Annual Report, 1976* national statistics series, and how case types would be subsumed within the classification structure suggested in this *Model Annual Report*.]

- o Specifications of the case filing types (by subject matter of the original case according to the trial court case classification scheme) included in the appellate caseload should be given. Case filing types that should be used are as follows:
 - Requests to appeal case
 - Civil (by subject matter)
 - Criminal (by subject matter)
 - Postconviction remedy
 - Appeal of administrative agency case
 - Juvenile (by subject matter)
 - Sentence review only
 - Appeals
 - Civil appeals (by subject matter)
 - Requests to appeal granted that became civil appeals
 - Criminal appeals (by subject matter)
 - Requests to appeal granted that became criminal appeals
 - Postconviction remedy
 - Requests to appeal granted that became postconviction remedy cases
 - Appeal of administrative agency case
 - Requests to appeal granted that became appeals of administrative agency cases
 - Juvenile appeals (by subject matter)
 - Requests to appeal granted that became juvenile appeals

- Original proceedings
 - Original jurisdiction
 - Disciplinary matters
 - Advisory opinions
- o Items of count (caseload inventory phases) for each reporting period should be:
 - Beginning pending
 - Filed
 - Disposed
 - End pending
- o Statewide totals should be included, as well as the period covered.

[Comment: The foregoing recommended caseload composition classifications and counting structure can be used for both courts of last resort and intermediate appellate courts that sit in one location. If the intermediate appellate court sits in permanent divisions, separate displays and analysis should be presented for each division and totaled for all divisions together.]

[Comment: If workload-related items (beyond caseload alone) are displayed, these non-case-related items should be shown on separate tables and separately analyzed to avoid confusing the caseload inventory count and analysis. Since workload is not addressed in this model, treatment of workload items is left to each state.]

[Comment: If the annual report contains only total volume statistics (for all cases together, number of beginning pending cases, filings, dispositions, end pending cases), with no indication of the major kinds of cases included in the appellate caseload, then no analyses for management and planning purposes can be made.]

Example: Refer to Example 19.

[Comment: Also refer to Examples 29 and 30 to see how a caseload per judge analysis might be structured for display purposes.]

B. Manner of Disposition

Essential Features:

- o This data should present a clear picture of the various ways the appellate court disposes of its caseload.
- o Disposition terms that should be used to classify and count civil, criminal, and other case disposition volumes are:

Example 19: Appellate Caseload Inventory: Volume of Filings, Dispositions, Pending Cases

POWHATAN SUPREME COURT CASELOAD INVENTORY: VOLUME OF FILINGS, DISPOSITIONS, PENDING CASES; JANUARY 1, 1979 TO DECEMBER 31, 1979

Case types	Beginning pending 1/1/79	Filed	Disposed	End pending 12/31/79
Requests to appeal				
Civil				
Criminal				
Postconviction remedy				
Appeal of administrative agency case				
Juvenile				
Total requests to appeal				
Appeals				
Civil				
Requests to appeal granted that became civil appeals				
Criminal				
Requests to appeal granted that became criminal appeals				
Postconviction remedy				
Requests to appeal granted that became postconviction remedy cases				
Appeal of administrative agency case				
Requests to appeal granted that became appeals of administrative agency cases				
Juvenile				
Requests to appeal granted that became juvenile appeals				
Total appeals				
Sentence review only				
Original proceedings				
Original jurisdiction				
Disciplinary matter				
Advisory opinion				
Total original proceedings				
Total cases				

[Comment: If the 1/1/Year beginning pending figure differs from the 12/31 (Year-1) end pending figure, an explanation should be given in a footnote.]

EXAMPLE

- Opinion
 - Affirmed
 - Modified
 - Reversed
 - Reversed and remanded
 - Remanded
 - Granted
 - Denied
 - Memorandum decision
 - Affirmed
 - Modified
 - Reversed
 - Reversed and remanded
 - Remanded
 - Granted
 - Denied
 - Order (decision without opinion)
 - Affirmed
 - Modified
 - Reversed
 - Reversed and remanded
 - Remanded
 - Granted
 - Denied
 - Dismissed/withdrawn/settled
 - Transferred
 - Other manner of disposition
- o The above breakdown should be presented for each case filing type included in the caseload composition, as appropriate. Opinions, memorandum decisions, and orders will indicate the number of each written by the court. The type of decision in each case will indicate a case count.

[Comment: The foregoing recommended classification structure for manner of caseload disposition can be used for both courts of last resort and intermediate appellate courts that sit in one location. If the intermediate appellate court sits in permanent divisions, separate displays and analysis should be presented for each division and totaled for all divisions together.]

[Comment: If workload related items (beyond caseload) are displayed, these non-case-related items should be shown on separate tables and separately analyzed to avoid confusing the case disposition count and analysis. Since workload is not addressed in this model, treatment of workload items is left to each state.]

[Comment: If the annual report contains only total volume statistics (for all cases together, for each disposition classification type), with no indication of the major kinds of cases included in the appellate caseload, then no analyses for management and planning purposes can be made.]

[Comment: The suggested terms for use in case disposition classification, counting and reporting are defined in the *State Court Model Statistical Dictionary*. Reference can also be made to the cross-classification matrix in the *State Court Model Statistical Dictionary Annex*. That matrix will show the reader each state's current use of caseload composition and disposition related terms, how cases are classified for statistical purposes for the *State Court Caseload Statistics: Annual Report, 1976* national statistical series, and how case types would be subsumed within the classification structure suggested in this *Model Annual Report*.]

Example: Refer to Example 20.

C. Time Interval Data for Disposed Cases and Number of Pending Cases by Status and Age

Essential Features:

- o The time it takes for disposed cases to be processed from notice of appeal to decision should be reported by case category. In addition, states should report the key intermediate steps in case processing; that is, the mean and median time between notice of appeal and ready for oral argument or submission, between ready for oral argument or submission and under advisement (argued or submitted), and between under advisement (argued or submitted) and decision. Particular nomenclature used by the state for such intermediate steps should be defined in the accompanying text.

[Comment: The suggested terms for use as intermediate steps in time interval data as defined in the *State Court Model Statistical Dictionary*.]

[Option: For a particular court, it might be of interest to further analyze the time that specific types of cases take to reach these or other events.]

[Option: If a particular state uses only submission in lieu of oral argument, or vice versa, the steps reported for time interval statistics should be modified to reflect this usage.]

- o The mean, or average, time to process a case should be reported. Because the statistical mean is so sensitive to extreme values (several extremely long cases could influence the "average" time to disposition and therefore distort the time interval for all cases), the median (time it takes to process the "middle" case) should also be reported.

Example 21: Appellate Caseflow: Time Interval Data (in days) for Disposed Cases

POWHATAN SUPREME COURT TIME INTERVAL DATA FOR DISPOSED CASES, 1979

Case Type	Notice of appeal to ready for oral argument or submission			Ready for oral argument or submission to under advisement			Under advisement (argued or submitted) to decision			Total time notice of appeal to decision		
	Number of cases	Median	Mean	Number of cases	Median	Mean	Number of cases	Median	Mean	Number of cases	Median	Mean
Appeals:												
Civil												
Requests to appeal granted that became civil appeals												
Criminal												
Requests to appeal granted that became criminal appeals												
Postconviction remedy												
Requests to appeal granted that became postconviction remedy cases												
Appeal of administrative agency case												
Requests to appeal granted that became appeals of administrative agency cases												
Juvenile												
Requests to appeal granted that became juvenile appeals												
Total appeals												
Sentence review only												
Original proceedings:												
Original jurisdiction	X	X	X							X	X	X
Disciplinary matter	X	X	X							X	X	X
Advisory opinion	X	X	X							X	X	X
Total original proceedings	X	X	X							X	X	X
Total cases												

NOTE: "X" means data are not relevant for that cell.

[Comment: In states that use only oral argument or submission, the time interval steps should be accordingly modified.]

EXAMPLE

Example 22: Appellate Caseflow: Number of Pending Cases by Status and Age (in days)

POWHATAN SUPREME COURT NUMBER OF PENDING CASES BY STATUS AND AGE; DECEMBER 31, 1979

Case type	Not ready for oral argument or submission									Ready for oral argument or submission			Under advisement (argued or submitted)			Total pending cases	Average age of pending cases (in days)
	Awaiting court reporter's transcript			Awaiting appellant's brief			Awaiting respondent's brief			0-90 days	90-180 days	>180 days	0-90 days	90-180 days	>180 days		
	0-60 days	61-120 days	>120 days	0-60 days	61-120 days	>120 days	0-60 days	61-120 days	>120 days								
Requests to appeal	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X		
Appeals:																	
Civil																	
Requests to appeal granted that became civil appeals																	
Criminal																	
Requests to appeal granted that became criminal appeals																	
Postconviction remedy																	
Requests to appeal granted that became postconviction remedy case																	
Appeal of administrative agency cases																	
Requests to appeal granted that became appeals of administrative agency cases																	
Juvenile																	
Requests to appeal granted that became juvenile appeals																	
Total appeals																	
Sentence review only																	
Original proceedings:																	
Original jurisdiction	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Disciplinary matter	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Advisory opinion	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Total original proceedings	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Total Cases																	

NOTE: "X" means data are not relevant for that cell.

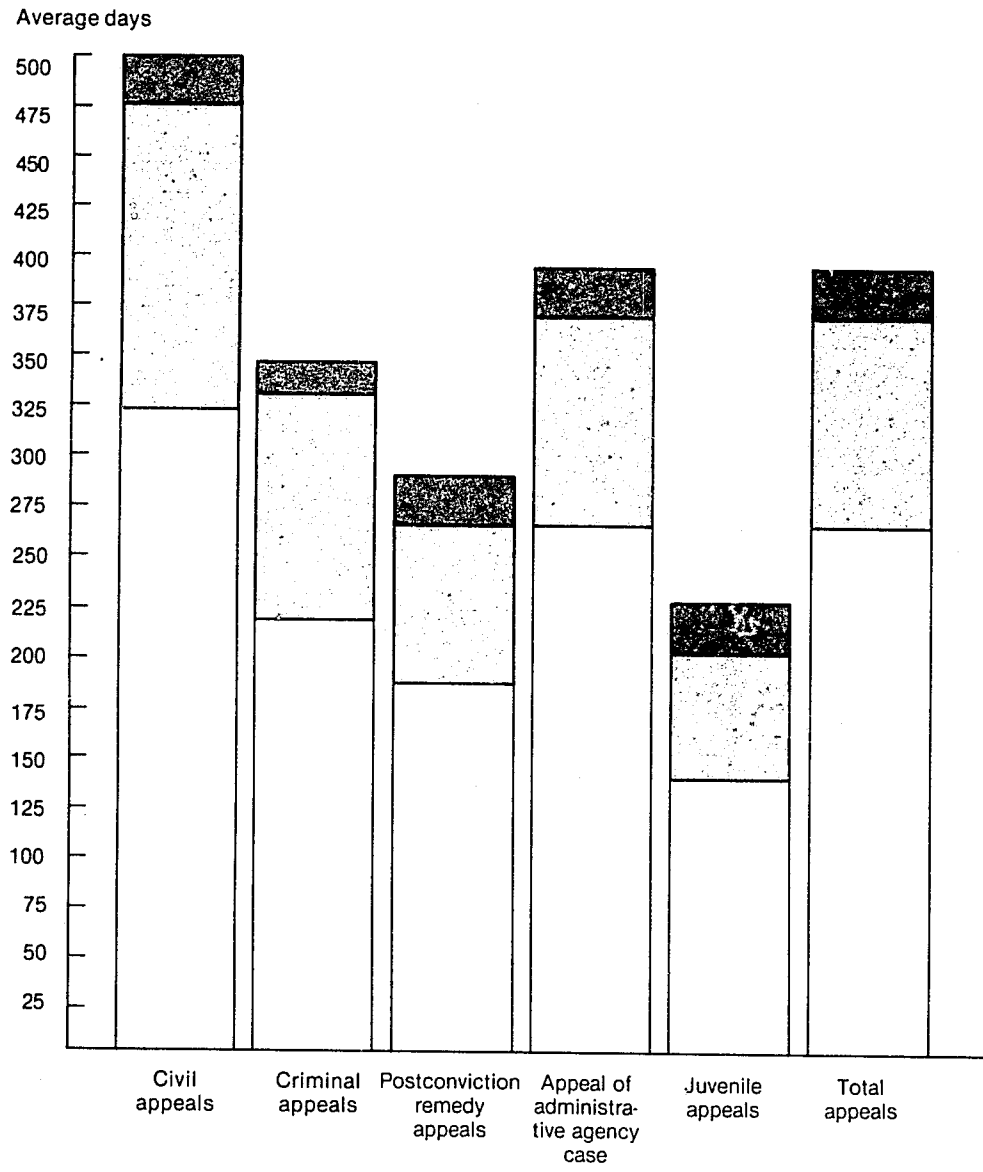
[Comment: "Not Ready for Oral Argument or Submission" plus "Ready for Oral Argument or Submission" plus "Under Advisement" equals total pending. Total pending cases shown here should equal the pending total shown on the data display for appellate caseload volumes.]



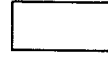
[Comment: In states that use only oral argument or submission, the time interval steps used should be accordingly modified.]

EXAMPLE

Example 23: Appellate Caseflow: Time Interval Data (in average days) for Disposed Appeals

POWHATAN SUPREME COURT TIME INTERVAL DATA FOR DISPOSED APPEALS, 1979



-  Under advisement (argued or submitted) to decision.
-  Ready for oral argument or submission to under advisement.
-  Notice of appeal to ready for oral argument or submission.

[Comment: A similar type display could be presented for case aging data.]

EXAMPLE

D. Trend Data

Essential Features:

- o Caseload data should be reported, by suggested case category, for at least a five- and preferably a ten-year period. This should be in a tabular form of summary totals by case type. Multi-year caseload trend data puts case filing and disposition information into perspective and aids the user in identifying statistical "bumps" in time series data.
- o In any event, each table, chart, or graph included should be accompanied by a narrative explanation of the significant features. The narrative should be used to link one table or chart or graph to another in order to form a cohesive whole and to explain any unusual findings.
- o Any unusual use of or change in terminology that could influence the way in which a table or chart or graph or a series of them might be perceived should be identified and explained. In addition, events that have an impact upon the trend data should be identified and explained.

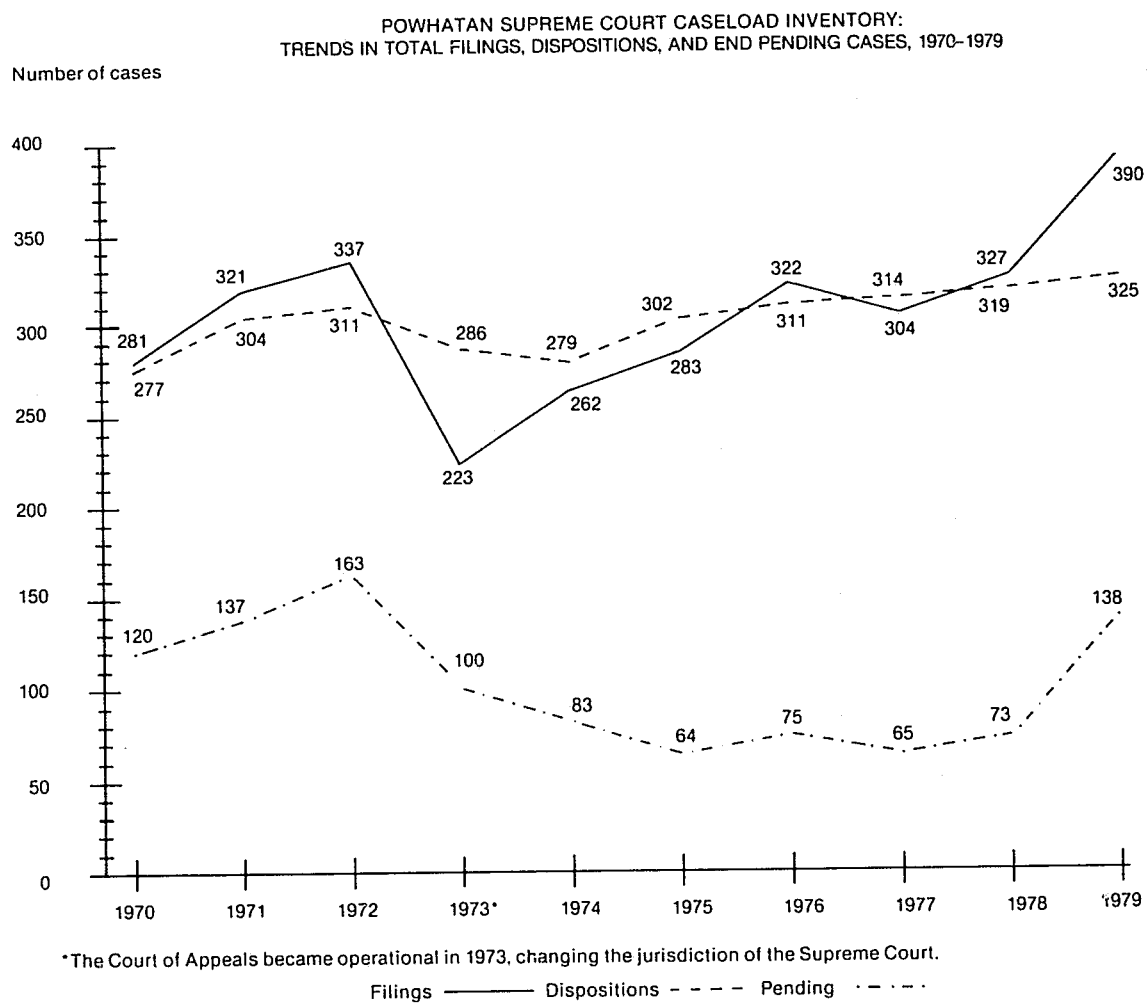
[Comment: Trends can be illustrated dramatically using a wide variety of graphic display techniques, several of which are illustrated in this section. The use of a particular graphic display technique should suit the individual state's intended audience. Toward this end, experimentation and flexibility in the use of graphics is encouraged.

For example, one method of indicating the change in court caseload inventory over time is the line (sometimes called curve) chart. Various points are plotted and connected on a graph, which usually contains the number of cases on the vertical axis and a time period (e.g., year) on the horizontal axis. Multiple lines can be used to plot trends of such variables as filings, dispositions, and pendings of different case types or court levels (Example 24).

Another popular method of showing changes in court caseload over time is the bar chart. Comparisons of appeal caseload over a period of years can be seen readily by the length of the bars (Example 26). Again, these examples are only a few of many possible techniques which could be used.]

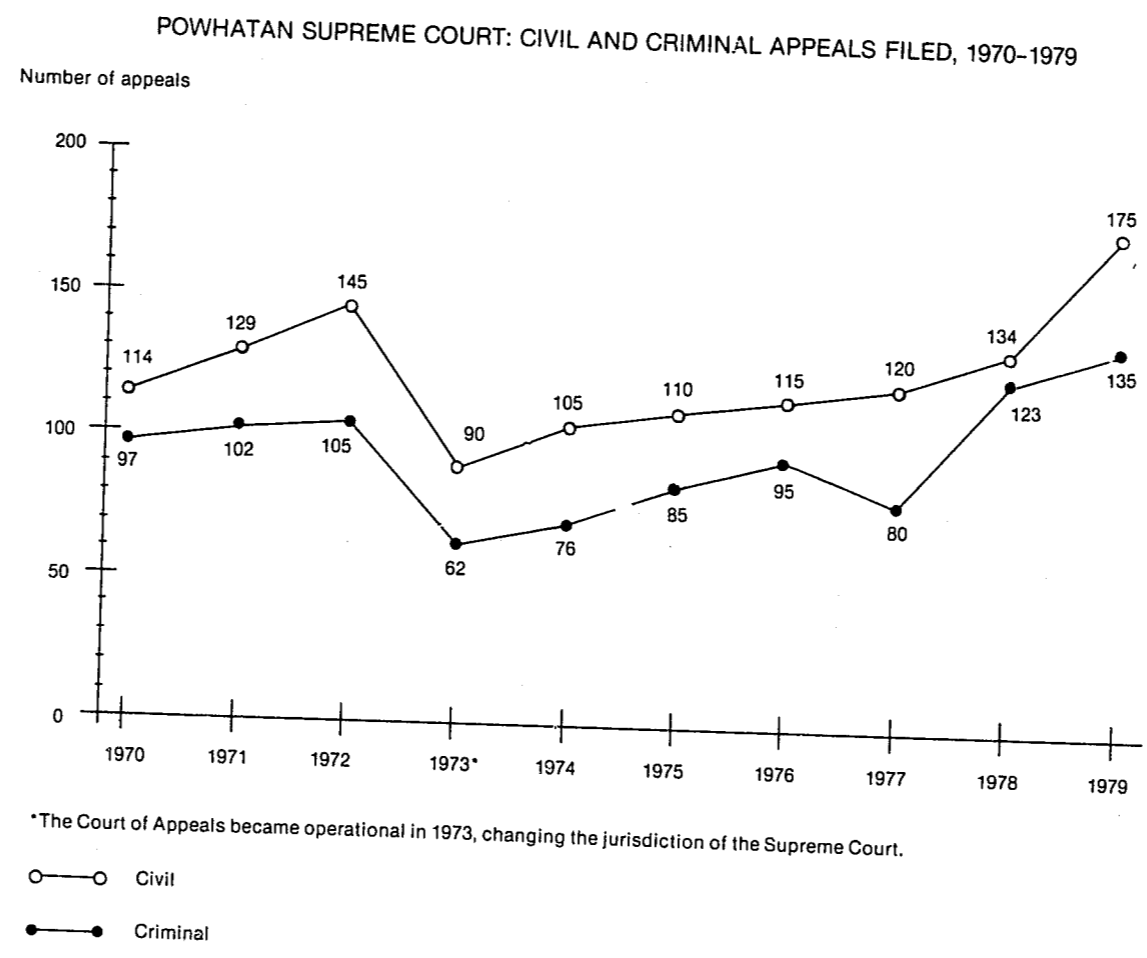
Example: Refer to Examples 24, 25, and 26.

Example 24: Appellate Caseload Inventory: Trends in Total Filings, Dispositions, End Pending Cases



EXAMPLE

Example 25: Appellate Caseload Inventory: Trends in Civil and Criminal Appeals Filed (Line Chart)
 (For an optional technique, see Example 26.)



EXAMPLE

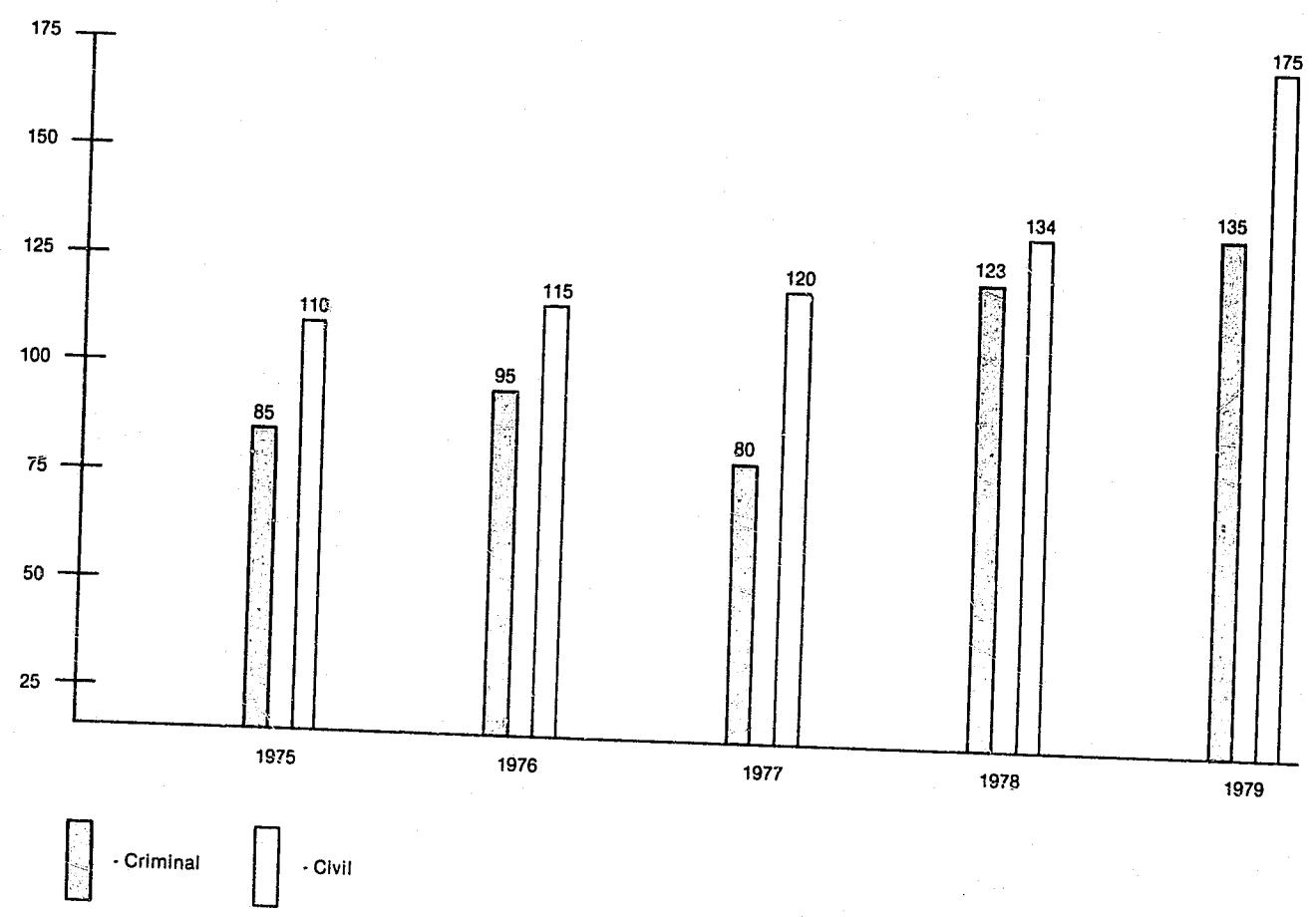
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CONTINUED

1 OF 2

Example 26: Appellate Caseload Inventory: Trends in Civil and Criminal Appeals Filed (Bar Chart)
(This is an optional technique to Example 25.)

POWHATAN SUPREME COURT: CIVIL AND CRIMINAL APPEALS FILED, 1975-1979



EXAMPLE

Trial Court Caseload Data

[Comment: A general statement summarizing the tables to come and highlighting key aspects and conclusions should open the discussion of the caseload situation in the trial courts in order to put the data in context. Within the trial court caseload data section itself, caseload data, analysis, and interpretation should be presented for courts of general jurisdiction and separately for courts of limited or special jurisdiction. The presentations should include caseload inventory, manner of disposition, time interval (for disposed cases), age of pending cases, and trend data. The approach suggested below for data presentation, analysis, and graphic display techniques is applicable to both types of courts.]

A. Caseload Inventory

Essential Features:

- o These data and analysis should present a clear explanation of what is included in the trial court caseload.
- o Descriptions should cover data availability, limitations, and potential uses.
- o Definition of case-related terms (e.g., filing, unit of count, etc.) used in reporting the data should be included.
- o Specification of the case filing types included in the trial court caseload should be made. Case filing types that should be used are:
 - Civil
 - Tort
 - Auto tort
 - Professional tort
 - Product liability tort
 - Other tort
 - Contract
 - Real property rights
 - Small claims
 - Domestic relations
 - Marriage dissolution
 - Support/custody
 - Adoption
 - Other domestic relations
 - Mental health
 - Estate
 - Probate/wills/intestate
 - Guardianship/conservatorship/trusteeship
 - Other estate

- Appeal
 - Appeal of administrative agency case
 - Appeal of trial court case
 - Extraordinary writ
 - Postconviction remedy
 - Other civil
 - Criminal
 - Felony
 - Misdemeanor
 - Preliminary hearing (limited jurisdiction court only)
 - Ordinance (non-traffic) violation
 - Appeal of trial court case
 - Extraordinary writ
 - Postconviction remedy
 - Sentence review only
 - Other criminal
 - Traffic
 - DWI/DUI
 - Other traffic violation
 - Parking violation
 - Juvenile
 - Criminal-type offender
 - Status offender
 - Non-offender
 - Other juvenile matters
- o Items of count (caseload inventory phases) for each reporting period should be:
- Beginning pending
 - Filed
 - Disposed
 - Defendants disposed (criminal, traffic, juvenile)
 - End pending
- o Statewide totals, as well as the time period covered, should be included on all tables.

[Comment: Caseload statistics by county or district will be of little meaning if statewide totals are not also given. The reader should not be expected to compile the statewide totals.]

- o Types of tables that should be included in this section are:
- statewide caseload totals by case type and significant subtype for beginning pending cases, filed, disposed, and end pending cases (Example 27); and
 - judicial district caseload totals, by major case type within district, for beginning pending cases, filed, disposed, and end pending cases (Example 28).

o Include in this section a list of other sources of court data published in the state (local court reports, reports of special jurisdiction courts, reports on special court projects).

[Option: If additional case category detail is desired, the judicial district caseload table (Example 28) can be expanded (or augmented by another more detailed table) to show every recommended case filing category. Alternatively, if less detail is desired, the judicial district caseload table can be collapsed (or augmented by another, summary table) to show only judicial district totals, without case category types.]

[Option: If caseload analysis is desired, particularly for caseload measures based upon weighted judicial activity, caseload-per-judge data tables could be prepared, as appropriate, to show caseload per judge both statewide by major case category (Example 29) and by judicial district and major case category (Example 30).]

[Comment: The foregoing recommended caseload classification and counting structure should be used, as appropriate to the state judicial system structure, for both general jurisdiction courts and limited or special jurisdiction courts.]

[Comment: If workload-related items (beyond caseload) are displayed, those non-caseload items should be shown on separate tables and separately analyzed to avoid confusing the caseload count and analysis. Since workload is not addressed in this model, treatment of workload items is left to each state at present, however, workload will be addressed in future editions of this model.]

[Comment: If the annual report contains only volume statistics (for all cases together, number of beginning pending cases, filings, dispositions, and end pending cases), with no indication of the kinds of cases included in the trial court caseload, then no analyses for management and planning purposes can be made.]

[Comment: The suggested terms for use in trial court caseload classification, counting, and reporting for both courts of general jurisdiction and courts of limited or special jurisdiction, are defined in the *State Court Model Statistical Dictionary*. Reference can also be made to the cross-classification matrix in the *State Court Model Statistical Dictionary Annex*. That matrix will show the reader each state's current use of caseload-related terms, how they are classified for statistical purposes for the *State Court Caseload Statistics: Annual Report, 1976* national statistical series, and how they would be subsumed within the classification structure suggested in this *Model Annual Report*.]

Example: Refer to Examples 27, 28, 29, and 30.

Example 27: Statewide Totals For Trial Court Caseload Inventory: Volume of Filings, Dispositions, Pending Cases

STATEWIDE TOTALS FOR POWHATAN CIRCUIT COURT CASELOAD INVENTORY: VOLUME OF FILINGS, DISPOSITIONS, PENDING CASES; JANUARY 1, 1979 TO DECEMBER 31, 1979

Case Type	Beginning pending 1/1/79	Filed	Disposed	Defendants disposed	End pending 12/31/79
Civil					
Tort				X	
Auto tort				X	
Professional tort				X	
Product liability tort				X	
Other tort				X	
Contract				X	
Real property rights				X	
Small claims				X	
Domestic relations				X	
Marriage dissolution				X	
Support/custody				X	
Adoption				X	
Other domestic relations				X	
Mental health				X	
Estate				X	
Probate/wills/intestate				X	
Guardianship/conservatorship/trusteeship				X	
Other probate				X	
Appeal				X	
Appeal of administrative agency case				X	
Appeal of trial court case				X	
Extraordinary writ				X	
Postconviction remedy				X	
Other civil				X	
Total civil				X	
Criminal					
Felony					
Misdemeanor					
Preliminary hearing (limited jurisdiction court only)					
Ordinance (nontraffic) violation					
Appeal of trial court case					
Extraordinary writ					
Postconviction remedy					
Sentence review only					
Other criminal					
Total criminal					
Traffic					
DWI/DUI					
Other traffic violation					
Parking violation					
Total Traffic					
Juvenile					
Criminal-type offender					
Status offender					
Non-offender					
Other juvenile matters					
Total juvenile					
Statewide totals					

Note: "X" means data not relevant for that cell

[Comment: If the beginning pending figure is not equal to the end pending figure for the previous year, an explanation should be given in a footnote.]

EXAMPLE

Example 28: Caseload Inventory by Judicial District and Major Case Category

POWHATAN CIRCUIT COURT CASELOAD INVENTORY BY CIRCUIT, COUNTY, AND MAJOR CASE CATEGORY; JANUARY 1, 1979 TO DECEMBER 31, 1979

Case type by county and circuit	Beginning pending 1/1/79	Filed	Disposed	Defendants disposed	End pending 12/31/79
Circuit #1					
Macon County					
Civil	203	570	435	---	338
Criminal	23	263	272	294	14
Traffic	2,073	6,056	7,197	7,212	932
Juvenile	78	139	101	101	116
County total	2,377	7,028	8,005	7,607	1,400
Wayne County					
Civil				---	
Criminal					
Traffic					
Juvenile					
County total					
Circuit total					
Circuit #2					
James City County					
Civil				---	
Criminal					
Traffic					
Juvenile					
County total					
Circuit total					
•					
•					
•					
•					
Statewide totals					

EXAMPLE

Example 29: Caseload Inventory Per Judge, Statewide (within court type) by Major Case Category

POWHATAN CIRCUIT COURT CIVIL AND CRIMINAL FILINGS AND DISPOSITION PER JUDGE, 1979

Average judge strength 1979	Case category	Total 1979 filings	Average filings/judge	Total 1979 dispositions	Average dispositions/judge
190	Civil	310,508	1,634.3	300,100	1,579.5
	Criminal	104,220	548.5	101,024	531.7
	Total	414,728	2,182.8	401,124	2,111.2

Total judgeships needed to terminate 1979 filings at the 1979 dispositions per judge rate = 196.4

[Comment: This chart is representative of the type of statewide analysis that could be used with caseload data to show judicial activity. The data could be further broken down by sub-categories within the case categories and could be most appropriately used in those states that applied a weighted caseload measure to judicial activity. Also see Example 30.]

[Comment: As a part of this table, an explanation of the determination of the average judge strength in 1979 and of the method of computation of the total judgeships needed for termination of 1979 filings should be given.]

[Option: To obtain the number of cases per judge theoretically available for processing, the above analysis could be enlarged to include:

$$\text{Average (beginning pending + filings)/Judge}$$

This would require the addition of a beginning pending column as well.]

EXAMPLE

Example 30: Caseload Inventory Per Judge, by Judicial District and Major Case Category

POWHATAN COUNTY COURT CASELOAD INVENTORY PER JUDGE, BY JUDICIAL DISTRICT AND MAJOR CASE CATEGORY, 1979

Judicial district	Present number of judges 12/31/79	Population per county 7/1/79	Judges/1000 population	Cases filed				Cases disposed				Cases end pending				Total cases filed		Total cases disposed		Total cases end pending	
				Civil/judge	Criminal/judge	Traffic/judge	Juvenile/judge	Civil/judge	Criminal/judge	Traffic/judge	Juvenile/judge	Civil/judge	Criminal/judge	Traffic/judge	Juvenile/judge	Number	Filed/judge	Number	Dispos- ed/judge	Number	End pend- ing/judge
First district:	(Total for district)	(Total for district)																			
Macon County	Judges per county)	(Population per county)																			
Wayne County																					
Second district:	(Total for district)	(Total for district)																			
James City County	Judges per county)	(Population per county)																			
Third district:	•	•																			
Gregg County	•	•																			
Fourth district:	•	•																			
Tarrant County	•	•																			
•	•	•																			
•	•	•																			
Statewide totals																					

[Comment: This chart is representative of the type of judicial district analysis that could be used with caseload data to show judicial activity. Also see Example 29.]

EXAMPLE

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B. Manner of Disposition

Essential Features:

- o The data should present a clear picture of the manner in which the trial courts dispose of their caseload. These data will indicate the number of trials held, and, in criminal and traffic cases, the number of defendants disposed of.
- o Case disposition types that should be used are shown below.
 - Civil case manner of disposition:
 - Jury trial
 - Non-jury trial
 - Uncontested/default
 - Dismissed/withdrawn/settled (before trial)
 - Transferred (before/during trial)
 - Arbitration
 - Other manner of disposition
 - Criminal case manner of disposition:
 - Jury trial
 - Conviction
 - Guilty plea
 - Acquittal
 - Dismissed
 - Non-jury trial
 - Conviction
 - Guilty plea
 - Acquittal
 - Dismissed
 - Dismissed/nolle prosequi (before trial)
 - Bound over
 - Transferred (before/during trial)
 - Guilty plea (before trial)
 - Bail forfeiture
 - Other manner of disposition
 - Traffic case manner of disposition:
 - Jury trial
 - Conviction
 - Acquittal
 - Non-jury trial
 - Conviction
 - Acquittal
 - Transferred (before/during trial)
 - Guilty plea
 - Bail forfeiture

- Dismissed/nolle prosequi (before trial)
- Parking fine
- Other manner of disposition
- Juvenile case disposition.

[Comment: The foregoing structure for classifying case disposition can be used, as appropriate to the judicial system in the state, for both general jurisdiction and limited or special jurisdiction court.]

[Comment: The suggested terms for use in case disposition classification and counting are defined in the *State Court Model Statistical Dictionary*. Reference can also be made to the cross-classification matrix in the *State Court Model Statistical Dictionary Annex*. The matrix will show the reader each state's current use of caseload related terms, how they are classified for statistical purposes for the *State Court Caseload Statistics: Annual Report, 1976* national statistical series, and how they would be subsumed within the classification structure suggested in this *Model Annual Report*.]

Example: Refer to Examples 31, 32, and 33.

[Comment: Example 31 is an example of how one major case type, civil, could be displayed to show manner of disposition. More or less detail can be shown as desired. A very detailed data table showing all recommended major case types and subcategories could be supplemented by a data table showing just major case types and another showing disposition types by judicial district.

Pie charts and bar charts with various shadings (Example 32), or other graphic devices, should supplement the disposition data in the tables. A tree diagram (Example 33) can be particularly helpful in displaying the disposition of defendants in criminal cases.]

Example 31: Trial Court Caseload Inventory: Manner of Disposition by Civil Case Category (Statewide)

POWHATAN COUNTY COURT CIVIL CASE MANNER OF DISPOSITION BY CASE CATEGORY, 1979

CIVIL CASE TYPE	Dismissed/with-drawn/settled	Uncontested/default	Transferred	Arbitration	Jury trial	Non-jury trial	Other	Statewide totals
Tort:								
Auto tort								
Professional tort								
Product liability tort								
Other tort								
Total								
Contract								
Real property rights								
Small claims								
Domestic relations:								
Marriage dissolution								
Support/custody								
Adoption								
Other domestic relations								
Total								
Mental health								
Estate:								
Probate/wills/intestate								
Guardianship/conservatorship/trusteeship								
Other estate								
Total								
Appeal:								
Appeal of administrative agency case								
Appeal of trial court case								
Total								
Extraordinary writ								
Postconviction remedy								
Other civil								
Statewide totals								

[Comment: This is an example of only one major case classification's manner of disposition. All the major case classifications should be done, and the amount of case category detail varied as desired. These data will indicate the number of trials held, and in criminal and traffic cases, the number of defendants disposed of.]

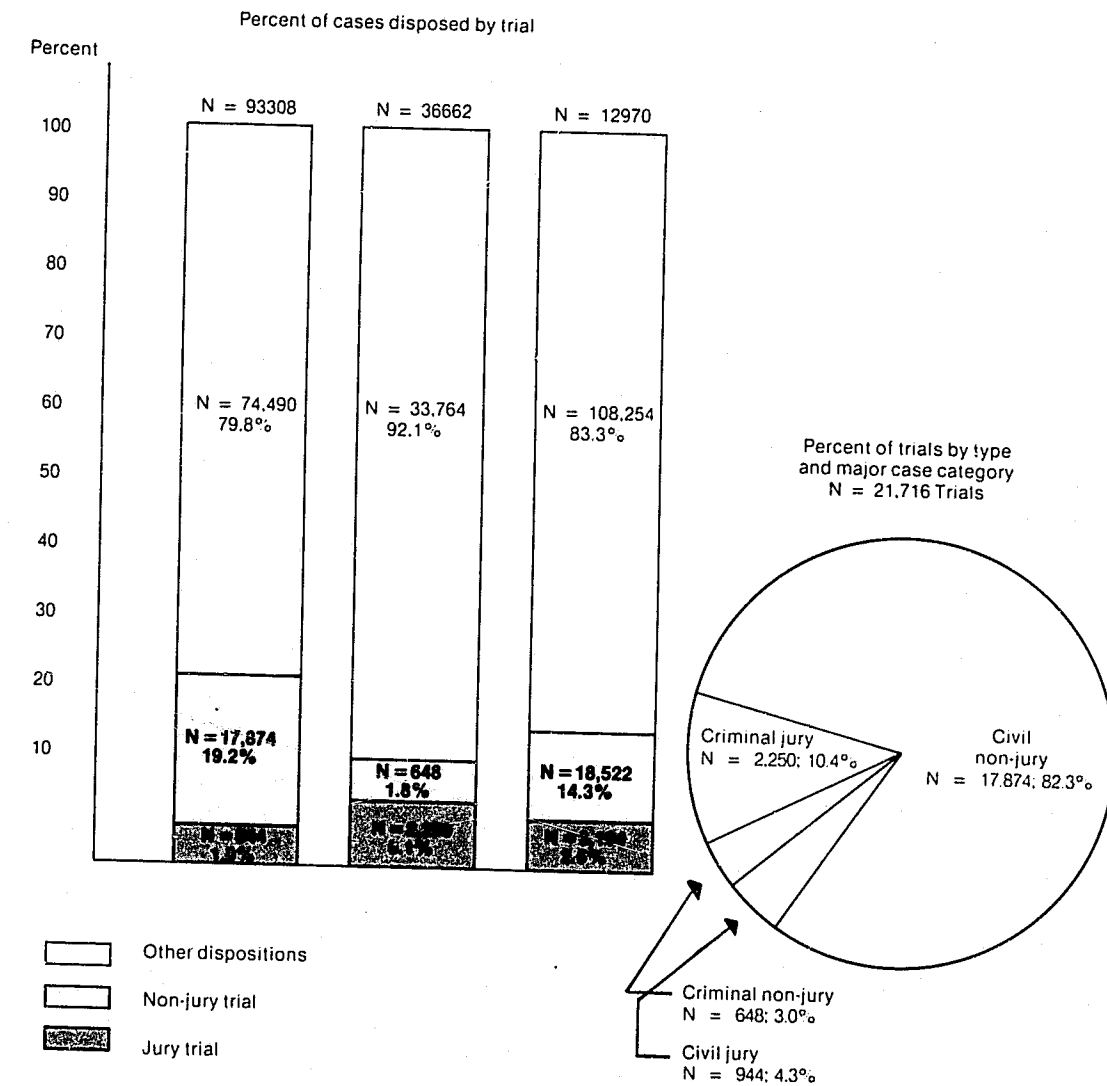
EXAMPLE

Example 32: Trial Court Caseload Inventory: Number of Trials by Major Case Category (Statewide)

POWHATAN COUNTY COURT NUMBER OF TRIALS HELD BY MAJOR CASE CATEGORY, 1979

	Total dispositions	Jury Trials		Non-Jury Trials		Total Trials	
		Number	Percent of dispositions	Number	Percent of dispositions	Number	Percent of dispositions
Civil	93,308	944	1.0	17,874	19.2	18,818	20.2
Criminal	36,662	2,250	6.1	648	1.8	2,898	7.9
Total	129,970	3,194	2.5	18,522	14.3	21,716	16.7

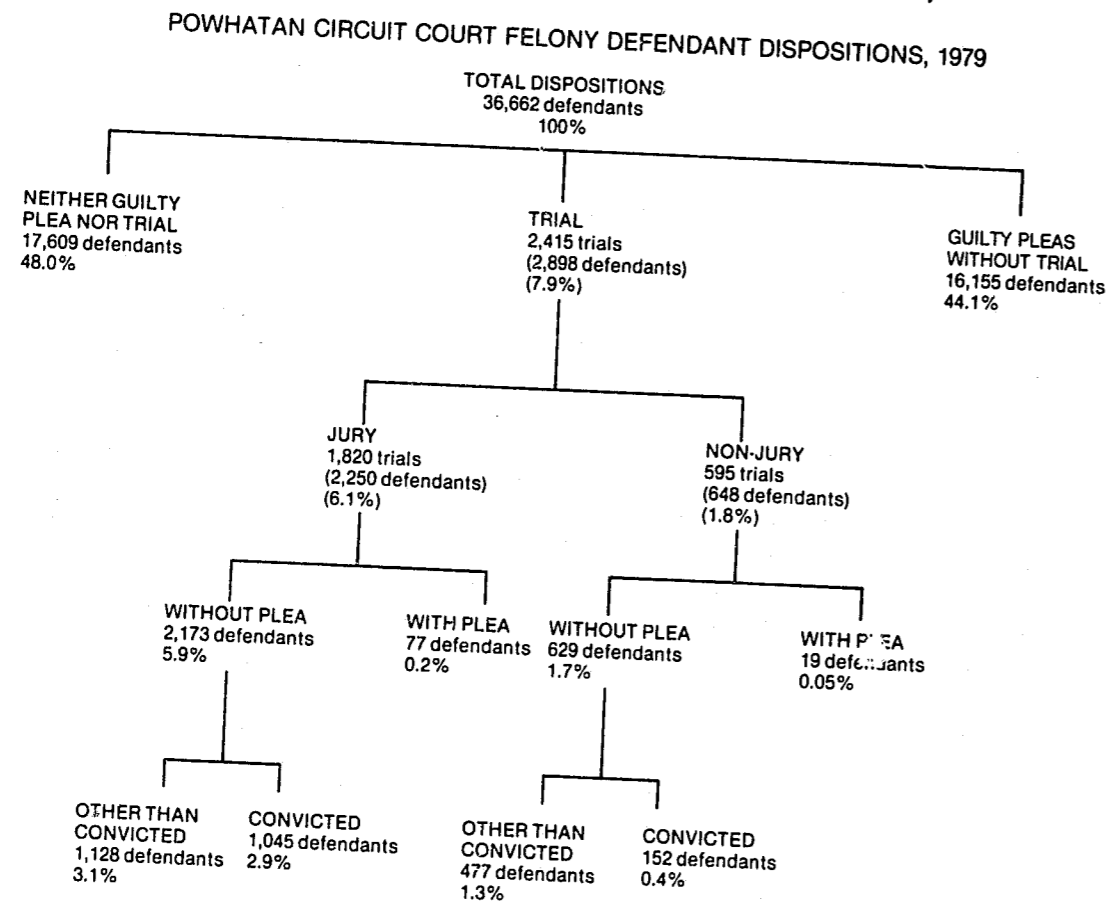
[Comment: Following are two examples of ways to display graphically the trial information presented above.]



[Comment: The trial data should indicate the number of trials held not the number of cases or defendants disposed of.]

EXAMPLE

Example 33: System Flow Chart for Criminal Trials and Criminal Defendant Dispositions in General Jurisdiction Courts (Statewide)



[Comment: This chart provides information on the number of trials held and the number of defendants disposed by trial.]

EXAMPLE

C. Time Interval Data for Disposed Cases and Number of Pending Cases by Age

Essential Features:

o This section should present a clear picture of the time the trial courts take to process cases. To measure this, the pending caseload should be grouped by age (from case filing). The age groupings (in calendar days) for civil cases should be:

- 0-90 days.
- 91-180 days.
- 181-360 days.
- 361-720 days.
- over 720 days.

[Option: The state may desire a further extension beyond the last age category above (over 720 days) for civil cases to reflect resource allocation priorities given to criminal case processing as well as local custom and practice. For example, in place of the last category, the state may add:

- 721-1,080 days.
- over 1,080 days.]

o The groupings for age of traffic, juvenile, and criminal cases should be:

- 0-30 days.
- 31-60 days.
- 61-90 days.
- 91-180 days.
- over 180 days.

[Option: The state may desire further extension beyond the last age category (over 180 days). For example, in place of the last category, the state may add:

- 181-360 days.
- 361-720 days.
- over 720 days.]

o Age of cases at disposition (from time of filing) should be shown. Information displayed should be:

- number of cases disposed.
- mean (average) age at time of disposition.
- median age at time of disposition.
- percent of disposed cases 0-90 days in age.
- percent of disposed cases 91-180 days in age.
- percent of disposed cases over 180 days in age.

o The above information should be displayed, as a minimum, for each major case filing type. More detailed data are preferred, and display by case filing type and subtype is encouraged.

[Option: For a particular court, it might be of interest to further analyze the time that particular types of cases take to reach intermediate processing events.]

[Comment: Data by case type and subtype are much more useful than undifferentiated caseload data. This is so because different cases require different amounts of court time and judicial preparation. A small claims case may require only a few minutes of judge time, while a contract case may take several weeks. Simple caseload reporting gives equal weight to both kinds of cases. To compensate for this situation, some courts assign weights according to the amounts of time necessary to process the different types of cases.]

- o Summary data displays by judicial district should be made.
- o When displaying age of cases at disposition, the mean, or average, time to process should be reported. Because the statistical mean is so sensitive to extreme values, (several extremely long cases could influence the "average" time to disposition and therefore distort the time interval for all cases), the median (time it takes to process the "middle" case) should also be reported.

[Option: Another technique that could be used to counter the sensitivity of the mean to extreme cases would be to report the average (mean) time only for those cases that fall within two standard deviations of the mean. Cases that fall outside those limits could be examined to see if they possess characteristics that would distinguish them from other cases processed. If cases with specific characteristics could be identified as cases that require an extraordinary amount of time, they could be singled out for special attention.]

[Option: The "trimmed mean" is another technique for handling extreme cases. In this instance, a mean is calculated after a percentage (between 1 and 5 percent) of the cases at each extreme have been removed. Whatever the technique used, it should always be specified.]

[Option: States may find it useful to examine the cases with extreme values. Such an examination might point to reasons for some cases requiring a long processing time and to ways of reducing this processing time.]

[Comment: It would be helpful to provide visual aids to assist in understanding the data.]

Example: Refer to Examples 23, 34, 35, and 36.

[Comment: Example 23 uses a bar chart to display time interval data for appellate courts. Similar charts can be generated for time interval and case aging data in trial courts.]

D. Trend Data

[Comment: Trends can be dramatically illustrated using a wide variety of graphic display techniques, several of which are illustrated in the section on trend data for appellate courts, Section D. Please refer to that section for a more detailed description.]

Example 34: Trial Court Caseload Inventory: Age of Pending Criminal Cases (Statewide)

POWHATAN CIRCUIT COURT NUMBER AND PERCENT OF PENDING CRIMINAL CASES BY AGE, 1979

Criminal case type	Number and percent of pending cases by age (in days) 12/31/79									
	0-30 days		31-60 days		61-90 days		91-180 days		>180 days	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Felony										
Misdemeanor										
Preliminary hearing (limited jurisdiction court only)										
Ordinance (non-traffic) violation										
Appeal or trial court case										
Extraordinary writ										
Postconviction remedy										
Sentence review only										
Other criminal										
Total										

[Comment: This shows age of pending cases data for one major case category, criminal. All major case types and their sub-categories should be displayed. A supplementary summary chart by major case type would be helpful. Age of pending cases data should be presented by judicial district.]

EXAMPLE

Example 35: Trial Court Caseload Inventory: Age of Disposed Criminal Cases (Statewide)

POWHATAN CIRCUIT COURT NUMBER AND PERCENT OF DISPOSED CRIMINAL CASES BY AGE, 1979

Criminal case type	Number and percent of disposed cases by age (in days)								
	Number of dispositions	Mean age	Median age	0-90 days		91-180 days		> 180 days	
				Number	Percent	Number	Percent	Number	Percent
Felony									
Misdemeanor									
Preliminary hearing (limited jurisdiction court only)									
Ordinance (non-traffic) violation									
Appeal of trial court case									
Extraordinary writ									
Postconviction remedy									
Sentence review only									
Other criminal									
Total									

[Comment: This shows age of disposed cases data for one major case category, criminal. All major case types and their sub-categories should be displayed. A supplementary summary chart by major case type would be helpful. Age of disposed cases data should be presented by judicial district.]

EXAMPLE

Example 36: Trial Court Caseload Inventory: Age of Disposed Criminal Cases by Manner of Disposition (Statewide)

POWHATAN CIRCUIT COURT AGE OF DISPOSED CRIMINAL CASES BY MANNER OF DISPOSITION, 1979

Number and percent of disposed cases by age (in days)

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	Cases disposed by jury trial						Cases disposed by non jury trial						Cases disposed after guilty or nolo contendere plea						Cases dismissed, nolle prosequed or other disposition					
	Number of cases disposed	Mean age	Median age	0-90 days Number Percent	91-180 days Number Percent	> 180 days Number Percent	Number of cases disposed	Mean age	Median age	0-90 days Number Percent	91-180 days Number Percent	> 180 days Number Percent	Number of cases disposed	Mean age	Median age	0-90 days Number Percent	91-180 days Number Percent	> 180 days Number Percent	Number of cases disposed	Mean age	Median age	0-90 days Number Percent	91-180 days Number Percent	180 days Number Percent
Felony																								
Misdemeanor																								
Preliminary hearing (limited jurisdiction court only)																								
Ordinance (nontraffic) violation																								
Appeal of trial court case																								
Extraordinary writ																								
Postconviction remedy																								
Sentence review only																								
Other criminal																								
Totals																								

[Comment: This shows age at disposition data for one major case category, criminal. All major case types and their subcategories should be displayed. A supplementary summary chart by major case type would be helpful. Age at disposition data should be presented by judicial district for each general or limited jurisdiction court.]

EXAMPLE

SECTION VI—APPENDICES

[Overview: Supporting appendices, as appropriate, should accompany the annual report to provide the reader with helpful background or technical material. This kind of material, if presented in the main body of the report, would interrupt the flow. The appendices section should include a glossary of terms, as well as any special appendices for further explanation of analytical techniques used in the report.]

Glossary of Terms

[Comment: Regardless of the court terminology used by the states, terms used in the annual report should be defined. This is particularly true of terms unique to a state. Terms should be selected for inclusion based upon what is needed to clarify the annual report and what may be unfamiliar to readers outside the state.]

[Comment: Terms used in the annual report and tables should be explained in layman's language, as in Example 37, which is an example glossary page taken from the state of Washington.]

Example: Refer to Example 37.

Technical and Special Appendices

[Comment: This subsection should contain essential detailed narrative explanations of techniques for analysis that support data tables and findings.]

Example 37: Glossary of Terms
(Taken from the state of Washington.)

immunity—Freedom from duty or penalty.

indeterminate sentence—See *sentence, indeterminate*

indictment—Written accusation of a grand jury, charging that a person or business committed a crime.

information—A written accusation by a public officer charging a person or business with a criminal offense.

injunction—Writ or order by a court prohibiting a specific action from being carried out by a person or group.

instruction—Direction given by a judge to the jury regarding the law in a case.

interrogatories—Written questions developed by one party's attorney for the adversary in a case who must respond in writing and under oath.

intervention—Proceeding in a suit where a third person is allowed, with the court's permission, to be a party.

judge—An elected or appointed public official with authority to hear and decide cases in a court of law.

judgment—Final determination by a court of the rights and claims of the parties in an action.

judge, protem—Temporary judge.

jurisdiction—Authority of a court to exercise judicial power.

jury—Specific number of people (usually 6 or 12), selected as prescribed by law to render a decision in a trial.

EXAMPLE

NATIONAL CENTER FOR STATE COURTS
National Court Statistics Project

USER EVALUATION
State Court Model Annual Report

Dear Reader:

The National Court Statistics Project is interested in your comments and suggestions about this report. We have provided this form for whatever opinions you wish to express about it. Please cut out both of these pages, staple them together, and mail to the preprinted address.

Thank you for your help.

1. For what purpose did you use this report?

2. For that purpose, the report— Met most of my needs Met some of my needs Met none of my needs.

3. How will this report be useful to you?

- | | |
|---|---|
| <input type="checkbox"/> Compiling organizational data | <input type="checkbox"/> Other (please specify) _____ |
| <input type="checkbox"/> Compiling financial data | _____ |
| <input type="checkbox"/> Compiling personal data | <input type="checkbox"/> Will not be useful to me |
| <input type="checkbox"/> Compiling appellate court data | (please explain) _____ |
| <input type="checkbox"/> Compiling trial court data | _____ |

4. Which parts of the report, if any, were difficult to understand or use? How could they be improved?

END