Court Technology Reports

Transferable Systems, 1988

National Center for State Courts

TECHNICAL SERVICES

COURT TECHNOLOGY REPORTS

Transferable Systems, 1988

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National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798

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INTRODUCTION

In September 1987, the National Center for State Courts was awarded a one-year grant from the State Justice Institute which provided funding for the continued refinement and enhancement of the existing Court Technology Database and for the preparation and publishing of a report detailing the operation, features and functions of six automated systems for limited jurisdiction courts. The grant provided for the establishment of a Systems Advisory Committee to oversee the work of the Technical Services staff involved in this project. This report contains a review of six automated systems that users have nominated as being effective in meeting their needs and that are available for transfer to other interested courts.

The Nomination & Selection Process. The National Center published an advertisement in its major publications inviting courts to nominate systems for review as part of this project effort. Over thirty nominations were reviewed by Technical Services Staff and by the Systems Advisory Committee. Six systems were selected for further review based on their use in high volume limited jurisdiction courts; the utilization of current microcomputer or minicomputer technology; ease of transferability as evidenced by system design and documentation; and improved efficiency and effectiveness of operations at the installed site. Of the systems nominated, the six selected most closely adhered to the selection criteria.

The Review Process. A team of two Technical Services staff visited each site and reviewed the system in operation. In addition to interviewing system developers and users, copies of documentation and user's manuals were collected. Where necessary, telephone interviews were conducted with users of the systems to ascertain their experiences. A draft of the system review was forwarded to the site and to the System Advisory Committee for review prior to publication.

Format of the System Reviews. Each report contains:

- Identification of courts that would benefit from the system
- A description of the Court where the system was developed or installed
- A description of the company that developed the system (if applicable)
- An overview of the system
- A detailed description of the system's primary functions and features with select screens reproduced
- Hardware and operating requirements
- Transfer issues and conclusions

For courts exploring technical solutions to increase their operating efficiency, these reports may serve as a resource during the development phase. Readers are encouraged to contact the persons listed in each report for further information on the systems.

An additional resource is the Court Technology Database which contains over 1,300 records detailing the status of automation in state courts. The National Center routinely updates and expands the database as it becomes aware of new applications of technology and answers a wide range of technical assistance requests from court professionals. By disseminating information on the efforts of courts in the technology area, the National Center aids the introduction of new technology applications by effectively reducing the time and cost of researching those applications. Court professionals, having successfully implemented a particular application, are able to share their experiences and are good reference sources for others considering similar solutions.

The National Center acknowledges the support of the State Justice Institute in providing funding for this project. SJI is committed to the improvement of court operations through the identification and support of quality research and project efforts. The provision of grant funds and the monitoring of these projects by a highly qualified staff ensures that SJI will play an active role in the improvement of justice nationwide.

For further information on this project or to obtain information from the Court Technology Database, please contact:

The National Center for State Courts
Technical Services
300 Newport Avenue
Williamsburg, Virginia 23187-8798
(804) 253-2000, ext. 343

For technical assistance with any aspect of automation planning, needs assessment, requirements analysis or the transfer of any system in this report or from other sources, please contact the National Center's regional office serving your state:

Mr. David C. Steelman, Director
Northeastern Regional Office
1545 Osgood Street
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(617) 687-0111

serving: Connecticut, Illinois, Indiana, Iowa, Kentucky, Maine, Massachusetts, Michigan, Minnesota, New Hampshire, New Jersey, New York, Ohio, Pennsylvania, Rhode Island, Vermont, and Wisconsin.

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serving: Alabama, Arkansas, Delaware, District of Columbia, Florida, Georgia, Kansas, Louisiana, Maryland, Mississippi, Missouri North Carolina, Oklahoma, Puerto Rico, South Carolina, Tennessee, Texas, Virginia, Virgin Islands, and West Virginia.

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serving: Alaska, American Samoa, Arizona, California, Colorado, Guam, Hawaii, Idaho, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oregon, South Dakota, Utah, Washington, and Wyoming.

For assistance with technology training and judicial education, please contact:

Mr. Harvey E. Solomon, Director
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National Center for State Courts
1331 Seventeenth Street, Suite 402
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(303) 293-3063

TECHNOLOGY TRANSFER

Many courts have developed relatively simple and increasingly complex automated systems to meet their operational needs. Ideas begin at the conceptualization stage when an automated application is identified that will more effectively address the operational needs of the court. The first stage of technology transfer may occur when one court, confronted with a similar operating inefficiency, identifies another court that has developed an effective application. By considering transfer systems, the court can identify a developed application with a proven track record for effectiveness and efficiency.

Other available options which address the same operational task fall in two categories: software developed by commercial vendors which may be adapted for use by the court; and original system development by the court using its own system staff. While these are certainly viable options in many instances, they can involve other complexities that must be considered. Commercial software firms while employing a large number of dedicated resources for software development often do not understand the needs of the court environment. A great deal of time must be spent orienting the firm to the particular operating atmosphere of the court. Commercial software packages may undergo significant change before they meet the needs of the court. The time and money required to effect these changes should be assessed prior to electing this option.

Developing software requires technical staff that many courts do not currently employ. Once an idea has been conceptualized, much time is spent in the design phase. Individuals involved at this phase must have a systems as well as a court background to develop a solution that is workable considering the needs of users and managers. Once developed, the paper design is submitted to administrative review and prototyping before the system is operational in a test environment. For the small court with a limited budget, it may not be feasible to increase its staff to include the programming capabilities that system development requires. If this option is chosen, reasonable timetables must be developed for acquiring the necessary staff and equipment to facilitate the development effort.

Provided a careful evaluation has been made of the transfer system, several advantages may accrue for the court electing this option. A transfer system offers the advantage of requiring a minimal amount of original programming. Because the court is able to view the system in operation prior to selecting it for transfer, it is possible to readily identify and document the necessary changes that will be required for an effective transfer. The court can at this point abandon the effort if it does not present a workable solution prior to devoting a large amount of time and resources. If the decision is made to initiate the transfer, the court is able to devote its programming time and resources to making modifications to the existing software to meet its needs. Courts considering a transfer system should review carefully the documentation, the structure of the programs, and the flexibility of the system to accommodate the required changes.

Transferred systems can provide significant savings during the early stages of system development. If there is a good fit, the court will proceed at a much faster rate into the implementation phase. Managers may feel more secure in committing the necessary funds and resources when there is evidence that the solution is an effective one. Users demonstrate a greater sense of confidence when there is evidence that the system has worked in a similar atmosphere.

During the later stages of automation, procedures must be utilized for implementing the system and for training the users. The court considering a transfer can review the procedures used by the donor court for implementation and training for applicability to its needs. User's manuals may exist that can be modified; the donor court may have individuals who can assist in the implementation and training period. These kind of arrangements should be outlined in the transfer agreement.

Later, when the system is fully operational, it may be possible to make arrangements for continued assistance from the donor court. The courts may agree to share in the future enhancement and development of the system to include other features and functions. This continued sharing of

information can be an added benefit to the transferring of systems. While opportunities for training, assistance, and a sharing of future enhancements may be available under the other options, they may come at a much higher cost.

For the court who does not opt to transfer a system, there are several benefits to reviewing the efforts of others:

- Ideas being developed in other courts may stimulate activity in areas where efficiency is lagging.
- Basic system design can be reviewed that may offer suggestions to get your own court's projects off the table.
- The successful experience of others may be a selling point for convincing others to commit the necessary resources and staff to a development effort.

In the final analysis, a transfer should only be considered when there is evidence of a good fit as indicated by the detailed system design; when changes are minimal and within reasonable cost; when sufficient documentation exists to facilitate the necessary changes; and when a careful demonstration has been conducted of operational features and functions. The court should understand the implications of transferring systems to different operating environments and should employ the necessary resources to make an accurate assessment of the required changes. If the cost and time estimates to transfer an existing system appear excessive, other options should be considered.

The National Center has several publications that address in greater detail the procedures involved in systems development and transfer. They include: **Automated Information Systems: Implementation Guidelines; Court Case Management Information Systems Manual;** and the **State Court Information Systems and Statistical Reference Series** (SCISSRS). Please contact: Technical Services, National Center for State Courts, 300 Newport Avenue, Williamsburg, Virginia 23187-8798, (804) 253-2000, for further assistance in this area.

LOWER COURT INFORMATION SYSTEM (LOCIS)

ADMINISTRATIVE OFFICE OF THE COURTS

PHOENIX, ARIZONA

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LOWER COURT INFORMATION SYSTEM (LOCIS)

ADMINISTRATIVE OFFICE OF THE COURTS

PHOENIX, ARIZONA

THE LOWER COURT INFORMATION SYSTEM (LOCIS) is designed for use by Arizona Justice of the Peace and Municipal Courts to manage the court's Traffic, Criminal and Civil caseload and accounts receivables. LOCIS grew out of a development effort that began in late 1984 when the Administrative Office of the Courts in Phoenix, Arizona received a request from Maricopa County for assistance in automating the case management functions of their eighteen Justice of the Peace Courts. The success of the Maricopa County system encouraged the AOC to examine the portability of the design for use in the development of a micro-based case management system for limited jurisdiction courts throughout Arizona.

After extensive investigation, design of the project began in the early part of 1986 using the KnowledgeMan (TM) database management product as the development tool. Upon completion of the initial effort, a single-user version of the case management system (LOCIS) was installed at the test site in July of that year. Following a 5-month testing period, the test site became fully operational January 30, 1987. While continuing the testing and modifications of the software, the AOC conducted a six month evaluation of Local Area Network equipment and released a hardware RFP in May 1987. Selecting Banyan as the Local Area Network vendor, the AOC staff began development of a multi-user version later that year. By February 1988, a LAN version of LOCIS was installed at Oro Valley Magistrate Court, Oro Valley, Arizona. Since its installation, LOCIS has improved the efficiency and productivity of the court clerical staff at the Oro Valley site.

The number of LOCIS installations has grown extensively in the last 18 months. More than 45 limited jurisdiction courts in Arizona and seven out-of-state courts have installed the system in either single or multi-user environments. A complete listing of LOCIS installations can be obtained from the Arizona AOC.

LOCIS is a valuable tool for the small, non-automated limited jurisdiction court looking for a more effective way to manage the tracking and collection of citation-related receivables through automation. The database design and use of coded entries offers flexibility to the recipient site who may wish to modify and/or enhance the basic system.

This Executive Summary provides a management overview of the system capabilities, its documentation and issues pertinent to its transferability to other courts. The AOC has requested that inquiries be coordinated through each individual state's AOC office to minimize staff time responding to requests. After reviewing this document, the reader is invited to contact the Arizona Administrative Office of the Courts, 1314 N. Third Street, Suite 200, Phoenix, AZ 85004, (602) 253-5700.

The Administrative Office of the Courts, State of Arizona

The AOC services four levels of court jurisdictions: the Supreme Court; Court of Appeals (2 Divisions); Superior Court (15 Counties); and Courts of Limited Jurisdiction (84 Justice of the Peace and 79 Municipal Courts). The Administrative Office of the Courts is charged with providing the support necessary for the operation of the state court system. This support may include implementation of new programs or procedures, development of operational systems, collection and dissemination of management and statistical information, support for the judiciary's legislative programs, provision of technical assistance to courts throughout the state, and other duties deemed necessary to enable the judiciary to effectively accomplish its constitutional and statutory obligations to the citizens of Arizona.

System Review Procedures

NCSC staff visited the AOC and one of the LOCIS test sites, Oro Valley Magistrate Court. Interviews were conducted with the principal developers of the product and court staff personnel. NCSC Staff also received a demonstration of the system, reviewed various components of the product and obtained copies of the documentation.

Interviews were conducted with Mr. James E. McMillan, Information Systems Coordinator, and

Mr. Frederick Hernandez, Computer Services Specialist of the Court Services Division. At the LOCIS test site in Oro Valley, Arizona, NCSC staff met with Joan Harphant, Court Clerk, and Toni Willis, Assistant Court Clerk.

ORO Valley Procedures

Oro Valley, Arizona, is a growing community of approximately 5,000 residents. The population has doubled in the past year. The staff of the Oro Valley Magistrate's Court consists of one Judge, a Community Services Supervisor, four clerks, and one volunteer. The 1987 caseload for Oro Valley Magistrate Court is noted below:

Criminal Traffic: 842
Civil Traffic: 2,583
Non-Traffic Misdemeanor: *288*
Total Case Filings: 3,713

SYSTEM OVERVIEW

LOCIS helps manage the court's traffic, criminal and civil caseload and accounts receivable. The system stores basic case information, party information, attorney information, and payment history (used for data viewing), statistical reporting, and notice and letter generation. The system is capable of generating the monthly statistical report required by the Arizona Supreme Court. It also prepares various financial report information and a variety of standard letters and notices to include: warrants; failure to appear letters; expired registration letters; and default judgment letters. Using a generic word processing package, a skeleton document is created and the appropriate information from LOCIS is merged with the skeleton WP document to create the final letter or notice. A warrant report and a DMV abstract for the state Motor Vehicle Department can be produced and either electronically transmitted or printed on-site. Help screens are available for each LOCIS screen.

The Criminal, Traffic and Civil menus provide for the creation, modification, editing and archiving of a case record. Additional submenus provide the following capabilities:

Calendar Menu is used to schedule a court date and time for a case or activity.

Party Menu is used to create, modify, or delete party records. It also provides name search capability and display of the party record. Through name search, all pending case numbers for a party are listed.

Proceedings Menu provides for the entry of standard narratives pertinent to the case, but not relating to a specific field.

Accounting Menu is used to report all financial transactions to the court, create payment receipts, and generate bookkeeping reports.

Attorney Menu is used to create a master list of attorneys licensed to practice before the court.

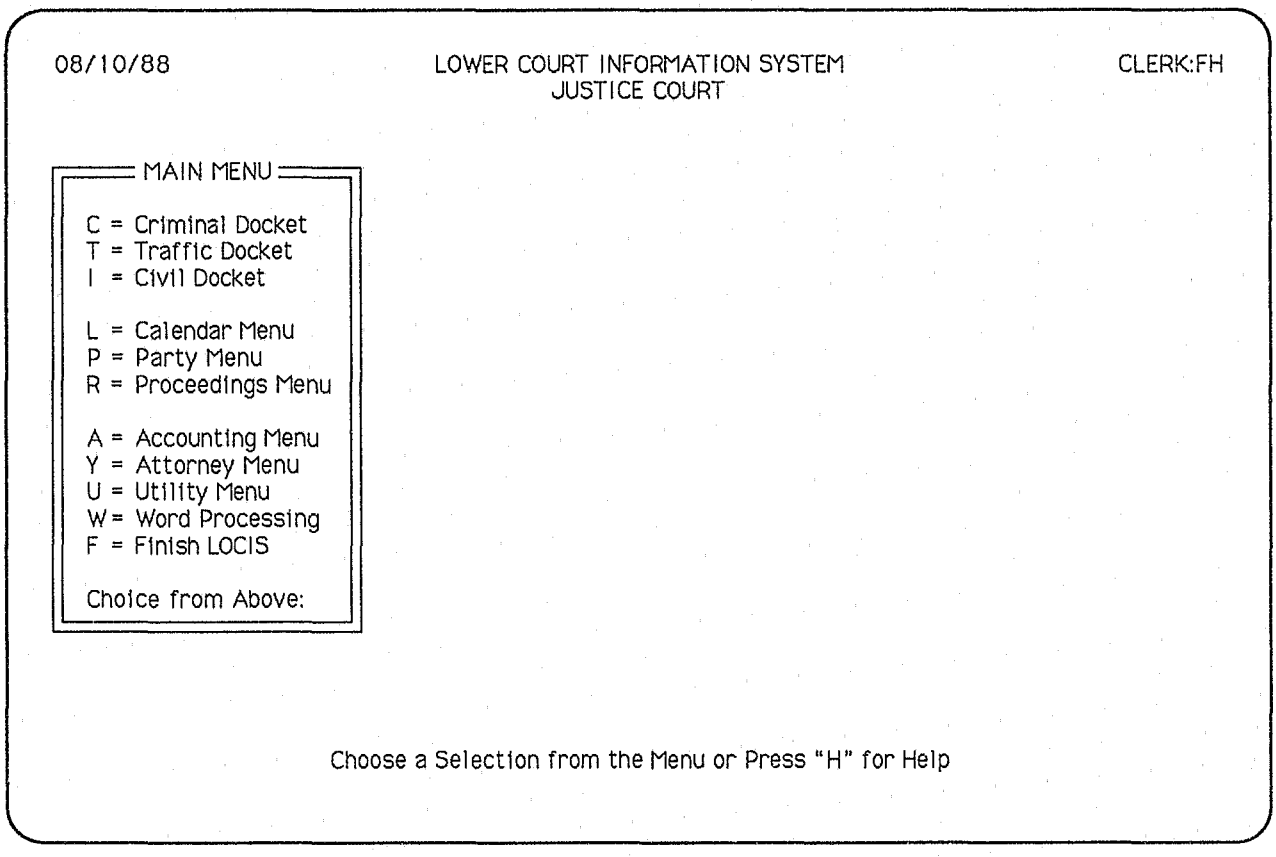
Backup/Utility Menu provides access to the system backup routines and the ability to perform various system utilities.

A Word Processing option allows the user to access any word processing package selected by the court for forms generation and document printing.

Using the relational capabilities of KnowledgeMan/2 (TM) as the programming tool for development, technical support staff at the AOC have been able to keep up with the rapid evolution of the system in response to the needs of the users. KnowledgeMan/2 (TM) is a relational database management system developed, marketed and supported by MDBS, Inc., 1834 Walden Office Square, Suite 250 Schaumburg, IL 60195 (800) 323-3629. The product supports an integrated array of capabilities which include database management, preprinted forms generation, spreadsheet analysis, statistics generation, fourth generation language programming, graphics, text processing, report generation and remote communications. Use of the preprinted forms generation capability would require either a dedicated printer or the manual change of paper. KnowledgeMan/2 (TM) is discussed further in the transfer issues section of this report.

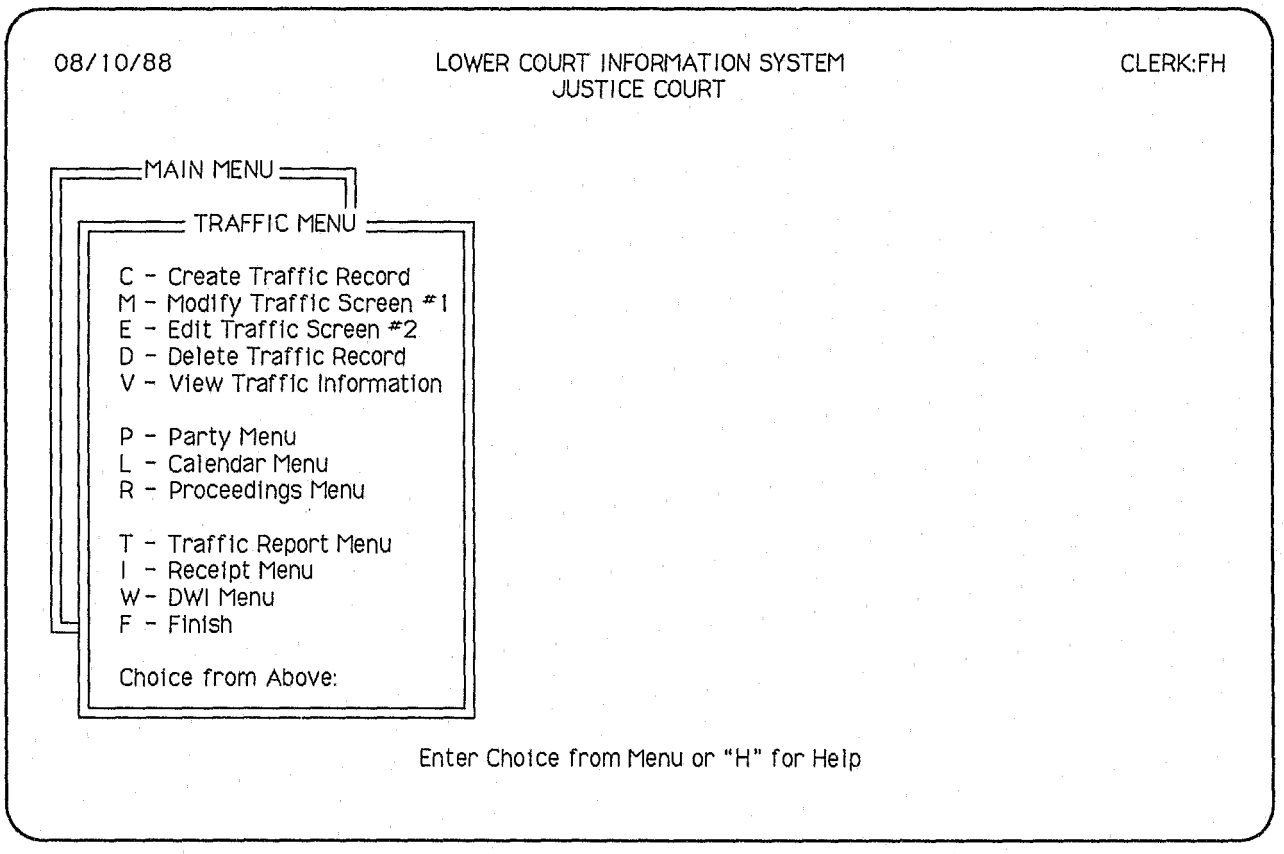
The following menus and screens illustrate the flow of citation information throughout the system. Because of space limitations, only a few of the screens are reprinted for illustration purposes.

MAIN MENU
FIGURE 1



After typing "LOCIS" at the C prompt (or appropriate Network prompt for multi-user systems), entry to the LOCIS database is permitted by the user typing a user ID and non-displayed password on the entry screen. The main menu (Figure 1) is then displayed, illustrating the options available to the user. Each of the displayed options retrieve submenus, which provide detailed data manipulation capabilities for each category.

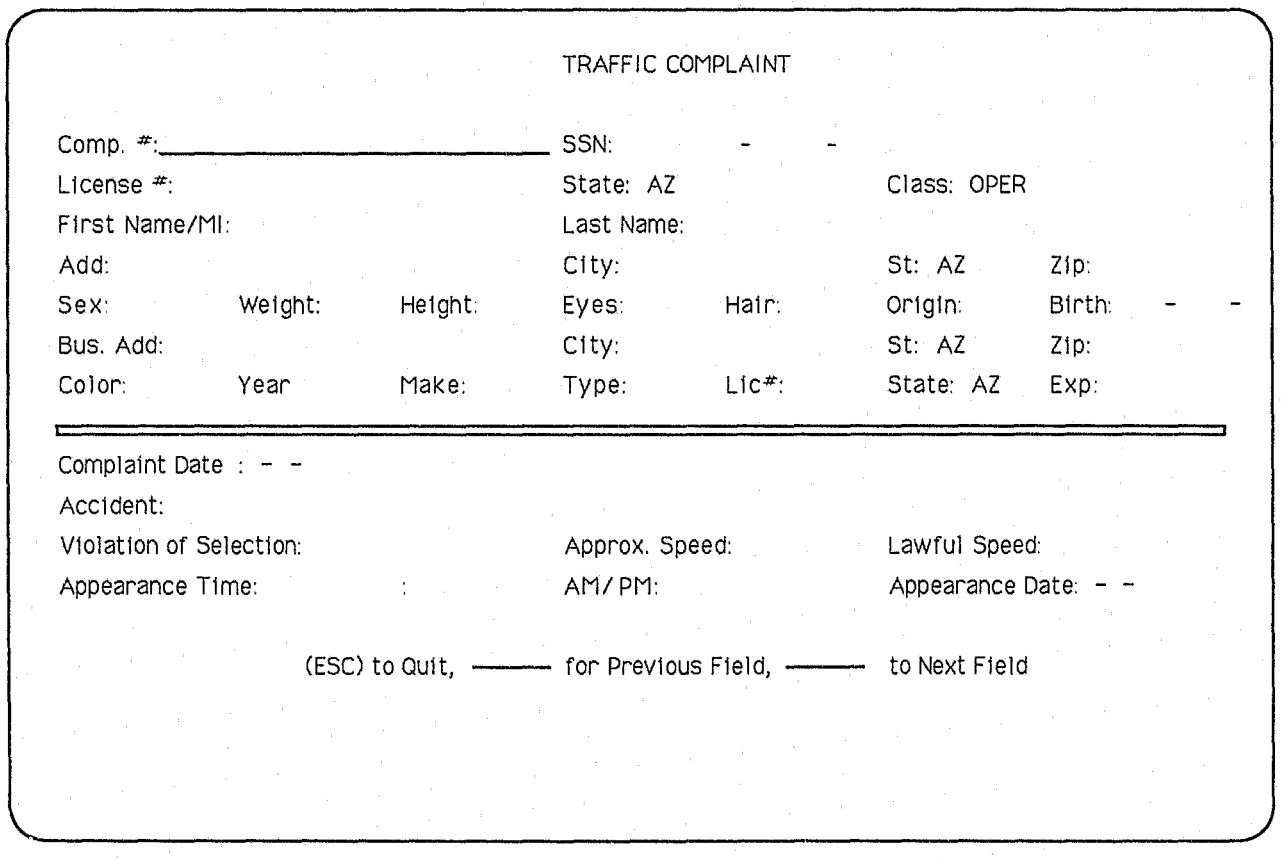
TRAFFIC MENU SCREEN
FIGURE 2



This screen and those that follow illustrate a traffic complaint from initial filing through final disposition. Upon receipt of the traffic citation, the user selects the Traffic Docket option 'T' from the LOCIS Main Menu screen. Once in the Traffic Menu (Figure 2), the user will select option 'C' to "Create Traffic Record". The Traffic Complaint screen is then displayed.

Layering the menu screens, as illustrated above, allows the user to quickly note their path through the system.

TRAFFIC COMPLAINT SCREEN
FIGURE 3



Using the citation as the source document, the user enters all appropriate data into the Traffic Complaint Screen (Figure 3). Once the information has been entered, the system automatically displays a docket record for the case.

DOCKET SCREEN
FIGURE 4

```
Case    Year          Type        Number      Subtype     Transfer                  CASE AGE      :    1
Number  88            TR          30          OC                                   CASE STATUS:  ACTIVE
———— DEFENDANT ————————————                 ————————— PROSECUTION ——————
   JUAN WININGER                                         Agency    : DPS          Citation # :  689999
   Plea Date  : - -                                      Charge    : 28-203
   Plea Type  :                                          Off Date  : 08-09-88     Arrst Date.  08-09-88
   Atty Type  :                                          Filed     : 08-10-88
   Atty Num   :                                          # Counts  :              Accident? :  N
   Atty Name  :                                          Speed     : 56/55

                                                         Atty Num :
                                                         Atty Name              :
——————————————————————— VEHICLE INFORMATION ———————————————————————
color:  BLU   Year:  88   Make:  CV   Type:  2D   LIC#:  CATCH ME   state:  AZ   Exp:  8/90
————————————————————————————————————————————————————————————————————
Judge  :  R. BEAN                                 Bail Bond     :  50.00
Reporter  :                                       Bond Amount   :  0.00        Bond Type :
                                                  Bond Paid     :  0.00
                                                  Bond Dispo    :
————————————————————————————————————————————————————————————————————
Calendar Date :  09-09-88   Cal Time : 10:00   AM/PM : AM   Type :  IA
Calendar Mssg :  Initial Appearence Hearing        Rescheduled :  0        Send :
Comment :
TRAFFIC CREATE/MODIFY (ESC) To Quit, < -for Previous Field,- > to Next Field
```

A number of fields in the docket record (Figure 4) are system generated: Case Number, Case Type, Case Age, and Case Status. Bail Bond is posted based on the charge entered. Calendar information is also generated based on the Appearance Time and Date entered on the Traffic Complaint screen. Calendar information is user-modifiable. Once the data is correct, the system automatically creates the case record, party record, proceeding entry, and calendars the case. This completes initial entry of the case record.

EDIT TRAFFIC SCREEN #2
FIGURE 5

```
88-TR-     30-OC          JUAN WININGER                    CASE AGE: 0
Sum Issued : - -          War Issued  : - -                CASE STATUS: ACTIVE
Sum Reiss  : - -          War Return  : - -                BAIL BOND: 50.00
Sum Return : - -          War Quash   : - -                Split Bail Bond? Y
Arraign    : - -          Pre-Trial   : - -                     Type      Amount Due
Hearing    : - -                                               10          50.00
Trial/Hear : - -          Trial Type  :                       20          18.50
Term Date  : - -          Term Type   :                       25           5.00
Appeal     : - -          Final Charge :                                   0.00
                                                                           0.00
MVD Code   :              MVD Date    : - -   Traf Sch   :                0.00
Susp Start : - -          Susp End    : - -   Susp Type  :     TOT DUE:   73.50
Susp Days  : 0                                               BAL DUE:    73.50
Rest Start : - -          Rest End    : - -   Rest Type  :
Weed Days  :              Wk Times    :       Sch Days   :   Sch Hrs :
Other Rest :

Calendar Date : 09-09-88     Cal Time: 10:00      AM/PM   Type: 1A
Calendar Mssg: Initial Appearance hearing   Rescheduled: 0   Send     :
Comment       :
TRAFFIC EDIT  < ESC > to Quit, < -for Previous Field,- > to Next Field
```

Docket events are entered through the Edit Traffic Screen #2 (Figure 5) option on the Traffic Menu. This screen is used to enter guilty pleas, pleas of responsibility, failure to appear, etc.

In LOCIS version 2.0, if the information entered results in final disposition of the case, the funds are automatically distributed into the proper accounts as shown on the Edit Traffic Screen #2.

Fee/fine collection will be done through the Accounting Menu scheduled for release in January 1989. Currently, the Oro Valley site uses the Q&A (™) database package for entering and processing fee/fine collection data. When the January 1989 version is released, Oro Valley hopes to eliminate use of the Q&A (™) package for this activity. NOTE: Q&A (™) is marketed and supported by Symantec, 10201 Torre Avenue, Cupertino, CA 95014 (408) 253-9600.

Management Reports

A number of statistical and management reports are available to users. In addition, ad hoc report requests may be generated using KnowledgeMan/2 (™) DBMS capabilities.

The *Criminal Case Docket* report provides a listing of the Criminal case record, Criminal date information record, the Proceedings record, and the associated party records for a user-specified case.

The *Traffic Case Docket* report provides a listing of the Traffic case record, Traffic date information record, the Proceedings record, and the associated party records for a user-specified case.

The *Civil Case Docket* report provides a listing of the Civil case record, Civil date information record, the Proceedings record, and the associated party records for a user-specified case.

The *Tickler Report* prints, by case type, the case number, tickle date, and tickle message for a user-specified date as well as for those dates prior to that date that have not been deleted.

The *Warrant Report* prints a listing of all outstanding traffic case warrants and outstanding criminal case warrants as of a user-specified date. The listing includes case number, party name, and date warrant was issued.

The *Pending Cases Report* provides a listing of all pending cases for a user-specified date range. The listing includes case number, party name, and filing date.

The *Party Index* prints an alphabetic listing of all party records. The listing includes party name, case number, and date of birth.

The *Attorney Index* prints an alphabetic listing of all attorney records. The listing includes attorney name, attorney number, and telephone number.

The *Party/Attorney Labels* option allows the user to generate mailing labels for a user-specified party or attorney.

The *Monthly Statistical Report* option generates the monthly statistics for a user-specified date.

The *Suspended License Report* lists all active cases with open suspended licenses. The report includes case number, party name and suspended license date.

Utility Functions

The Backup/Utility Menu provides system backup capabilities and various system utilities to the system administrator. The Backup function performs two types of backups necessary for system maintenance daily backup and an archival compression of the data. The daily backup routine deletes all case calendars that are more than 30 days prior to the backup date. In addition, this option backs up all data files onto floppy disk or tape drive. The archival compression routine copies "deleted" files from the system and stores them as archive copy on floppy diskette. Old cases are purged from the main system, yet retained on diskette to comply with the records retention schedule. The Utility function allows the user to set and reset case numbers and the year. It also provides the ability to establish and maintain user information, user names and passwords.

Security

Five levels of security are supported by the system. Every user is assigned a user ID and a password (which does not display on the screen at the time of input). Adding or changing logons requires System Administrator level access to the Backup/Utility Menu. Data files are encrypted and file and record level security is supported in the network versions by the Vines operating system.

Documentation

Documentation provided by the AOC for courts acquiring the software include a user's manual containing detailed instructions for operation of the system features and functions. Copies of the screens and output reports are appropriately placed throughout the manual for illustrative purposes. Also included, are instructions for installation of KnowledgeMan/2 (™) and the LOCIS application software.

Hardware Requirements

The minimum hardware configuration is an IBM PC/Compatible XT or AT level machine. The AT level machine (Intel 80286 processor) is recommended because of performance capabilities. A minimum of 512k RAM and a hard disk is required to operate the system in a single-user

environment. If the court plans to install the LAN version under Banyan, the VINES operating system requires 20 megabytes of hard disk and the DBMS product requires 1.5 megabytes of hard disk. The data files require a minimum of 1,024 bytes per record under the current file structure. The system does not support variable length records, hence more space is required. The Oro Valley site has entered approximately 7,500 records and have used over 45 megabytes of storage for the application software, operating system and data files.

The Oro Valley Magistrate Court has installed a Banyan Local Area Network which consists of a dedicated 16-bit, 80286-based network server running the Banyan Vines network operating system. The workstation configuration includes three 16-bit, 80286-based AT level and one 8-bit, 8088-based, XT level IBM compatible workstations. A dot matrix printer is also connected to the LAN for printing letters and documents. A variety of printers are supported, but choice is dependent on the hardware configuration at the site.

Transfer Issues and Conclusion

LOCIS provides an excellent automated solution for the small, non-automated limited jurisdiction court seeking to manage their caseload and fine/fee collection process in a more effective manner. Through database design and use of coded entries, the system offers flexibility to the recipient site in modifying and/or enhancing the basic system.

The Arizona AOC has copyrighted the application software and documentation in order to prevent the product from being sold. There is no charge for the LOCIS software and it has been given to many courts in the state and throughout the nation. Telephone support will be offered to courts inside Arizona, but support will not be available for out-of-state installations. AOC technical staff are currently working to enhance the accounting module, statistical reporting capability and to develop communication links to the DEC VAX machines at the AOC for the transmittal, through electronic mail, of traffic citation data to the state Motor Vehicle Department (MVD).

Customization is possible through the Backup/Utility Menu. Several tables are established and maintained by the user: case number, court ID, user password, citation, and chart of accounts. Through the Court ID Setting option, several variables relating to the court such as name, address, telephone number, judge's name, and MVD court code are entered. This information is used throughout the system on various screens, reports, notices and letters. The court may produce ad hoc reports through the KnowledgeMan/2 (™) DBMS product.

The KnowledgeMan/2 (™) product is available for a variety of computers: IBM PC, XT, AT, RT, Models 30, 50, 60, 80 and a wide variety of "IBM compatibles". It also operates under the DEC VAX-11, Micro Vax II VAXMATE Systems. It runs under MSDOS, PCDOS, some UNIX-based systems such as IBM's AIX, AIS, BANYAN Vines, as well as the DEC VAX/VMS operating systems. Courts selecting LOCIS for transfer must purchase either the single-user runtime version of KnowledgeMan/2 (™) ($50.00) or the multi-user version for LANS ($150.00) in order to run the product. The full version of KnowledgeMan/2 (™) is available from MDBS for a one-time fee of approximately $600-$50,000 dependent on the system configuration.

NOTE: Transfer of the AOC's LOCIS system to one or more of the aforementioned environments may require application and/or system level code changes for compatibility. No guarantee is expressed or implied for compatibility of LOCIS to any of these environments. The system requires MS or PCDOS 2.1 or above to operate in the microcomputer environment.

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GENESIS, ISD CORPORATION

SAN BERNARDINO COUNTY MUNICIPAL COURT DISTRICT

FONTANA, CALIFORNIA

Prepared By

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GENESIS, ISD CORPORATION

SAN BERNARDINO COUNTY MUNICIPAL COURT DISTRICT

FONTANA, CALIFORNIA

GENESIS is the case management application software installed in the Valley Division, San Bernardino County Municipal Court District. The software is the property of ISD Corporation, a local software development firm. Four case management modules are available: Traffic, Civil, Small Claims, and Criminal. All modules have integrated accounting functions and automatic disbursement of funds.

GENESIS was developed in response to the Court's concern over the ability of its judicial and non-judicial staff to meet the increase in filings, legal mandates, and public service demands. The initial step in upgrading the existing automated traffic and cash control system involved the preparation of a needs analysis which identified thirty-seven desired capabilities of the new system. The Court conducted an eighteen-month statewide search of existing systems to identify and evaluate their potential for transfer. An automated traffic system developed and being run in Riverside County Municipal Court was selected for transfer.

While the Riverside system closely matched the needs of the Court, several modifications and enhancements were desired prior to transfer. The Court contracted with ISD Corporation to tailor the software to meets its requirements. The system was completed and installed in the Valley Division in January 1988 and, after a 3-month acceptance and on-site testing period, the system was operational on April 1, 1988. Both Riverside and San Bernardino counties share all enhancements to the system. The resulting application software product is the property of ISD.

Installation of the system has substantially reduced case processing time and paperwork. The Court has been able to respond more effectively to the requests of other agencies thus reducing the time involved in clerical case processing functions and increasing the accuracy of the information provided. Court management personnel cite several benefits of the system: a significant reduction in the amount of law enforcement officer's overtime; a reduction in conflicts in scheduling court appearances; and a reduction in hardware maintenance costs.

ISD Corporation's court application software is an excellent solution for medium to large limited jurisdiction courts with a desire to automate their caseload and effectively manage fee/fine collections and funds disbursement in the areas of Traffic, Civil, Small Claims and Criminal case processing. It would be best suited to a site that would like to use a commercial vendor's expertise in the design, programming, installation and training phases involved in system implementation.

This Executive Summary provides an overview of the GENESIS application installed in San Bernardino County Municipal Court District-Valley Division. For further information on ISD court software applications, please contact: Mr. Ron Beach, President, ISD Corporation, 1271 Columbia Avenue, Suite F-2, Riverside, California 92507, (714) 788-1822.

ISD Corporation

ISD Corporation was founded in April 1981. ISD has acted as a systems integrator for single source data processing services and also as a systems consultant and architect for a number of Fortune 500 firms. The software staff have worked with major mini-computer vendors, IBM mainframe environments and multi-user micro-computer systems. ISD has been involved in Court automation for the past two years. The staff of six provides installation and telephone and on-site support for all installed systems. Pricing, installation, and support costs vary depending on the requirements of the site.

ISD has currently installed their court application software product in the site covered in this report, San Bernardino County Municipal Court District-Valley Division, and in the Riverside County Judicial District, California.

System Review Procedures

NCSC staff conducted a site visit in San Bernardino and Riverside counties and at ISD Corporation headquarters. A detailed demonstration of the system was conducted by the principal developers of the product and San Bernardino County

Municipal Court District-Valley Division court personnel. NCSC staff examined the system, reviewed various components of the product and obtained copies of the documentation.

NCSC staff met with the following San Bernardino and Riverside County staff to discuss the development of "GENESIS" and its impact on court operations at their location:

Ms. Inga E. McElyea, Division Manager
San Bernardino County Municipal Court
District-Valley Division

Mr. Michael J. Bayne, Clerk/Administrator
Riverside County Municipal Court

Mr. Arthur Sims, Executive Officer
Riverside County Superior Court

San Bernardino County Municipal Court District-Valley Division

San Bernardino County is the largest county in the United States, encompassing approximately 21,000 square miles and serving a population of one million plus residents. The county is larger than the combined area of the states of New Jersey, Massachusetts, Rhode Island, and Delaware. The county is subdivided into eight municipal court divisions. The Valley Division is one of the eight divisions that make up the San Bernardino County Municipal Court District and includes the Judicial Districts of Fontana, Rialto and Bloomington. Located in Fontana, the San Bernardino County Municipal Court District-Valley Division includes a staff of three judicial positions, one division manager, and twenty-six clerical employees. The citation filings caseload for the Court from July 1987 through June 1988 consisted of:

Non-Vehicle Misdemeanor:		3,462
Non-Vehicle Infraction	:	620
Traffic Misdemeanor	:	8,502
Traffic Infraction	:	33,609
Total	:	*46,193*

The citation filings caseload for the entire San Bernardino County Municipal Court District for the same time period (July 1987 through June 1988) consisted of:

Non-Vehicle Misdemeanor:		14,736
Non-Vehicle Infraction	:	7,299
Traffic Misdemeanor	:	16,241
Traffic Infraction	:	219,821
Total	:	*258,097*

San Bernardino County Municipal Court District is in the process of phasing the system into the other seven divisions that make up the District.

GENERAL PRODUCT OVERVIEW

ISD Corporation offers four modules of court case management software applications: Traffic, Civil, Small Claims, and Criminal. San Bernardino County Municipal Court District has installed the Traffic, Civil and Small Claims case processing modules. The Criminal module has been in use at the Riverside County Municipal Court since July 1988.

This report will focus on the Traffic System that is being used by both San Bernardino and Riverside counties. Highlights of major features and main menu screens for the Civil, Small Claims, and Criminal modules are included. The conventions used, structure and flow of information are consistent throughout the system.

Access to all system modules requires an operator code and password assigned by the system administrator. Upon entry of the operator code, the module's main menu is displayed.

The system provides for the generation of various types of reports and notices. A Daily Extract Program allows the user to designate and schedule the production of various types of output, e.g., warrants, calendars, bail quotes, and DMV (Department of Motor Vehicles) abstracts. The user selects the type of file to be created, specifies date range criteria and schedules the time when the program should be run. At the designated time, the system will automatically run the program and extract the records that meet the criteria. The selected records may be put into a print file, may be created on tape or may be electronically transmitted to a central processing system (i.e., DMV) depending on the configuration of the installation. NOTE: The extracting procedure is referenced throughout the modules described in this report.

Traffic Citation System Overview

The Traffic Citation System is designed to automate all areas of Traffic Citation processing. The citation information is entered via keyboard once and is carried throughout the system, eliminating the need for the citation to be handled again in the majority of cases. By eliminating repeated handling of the actual citation, the Court can more effectively respond to questions and requests from the public and significantly reduce the chance of

misfiled and lost citations. The system components are: case tracking; bail enhancement (increase); notice processing; payment calculation; bail processing; calendar processing; traffic school processing; miscellaneous payments; warrant processing; warrant recall processing; and DMV abstract processing.

Bail Processing

The functions supported through this feature include: add bail payment; add/update depositor; exonerate bail posted on a citation; void posted bail on a citation; forfeit bail; reinstate forfeited bail; and reduce bail trust ledger.

Bail is automatically enhanced on each violation to reflect the existence of prior citations. Dependent on the installation, the violator's driver's license number can be electronically transmitted to the Department of Motor Vehicles. A list of prior citations for the requested driver is returned and used by the system to make the necessary enhancements to bail.

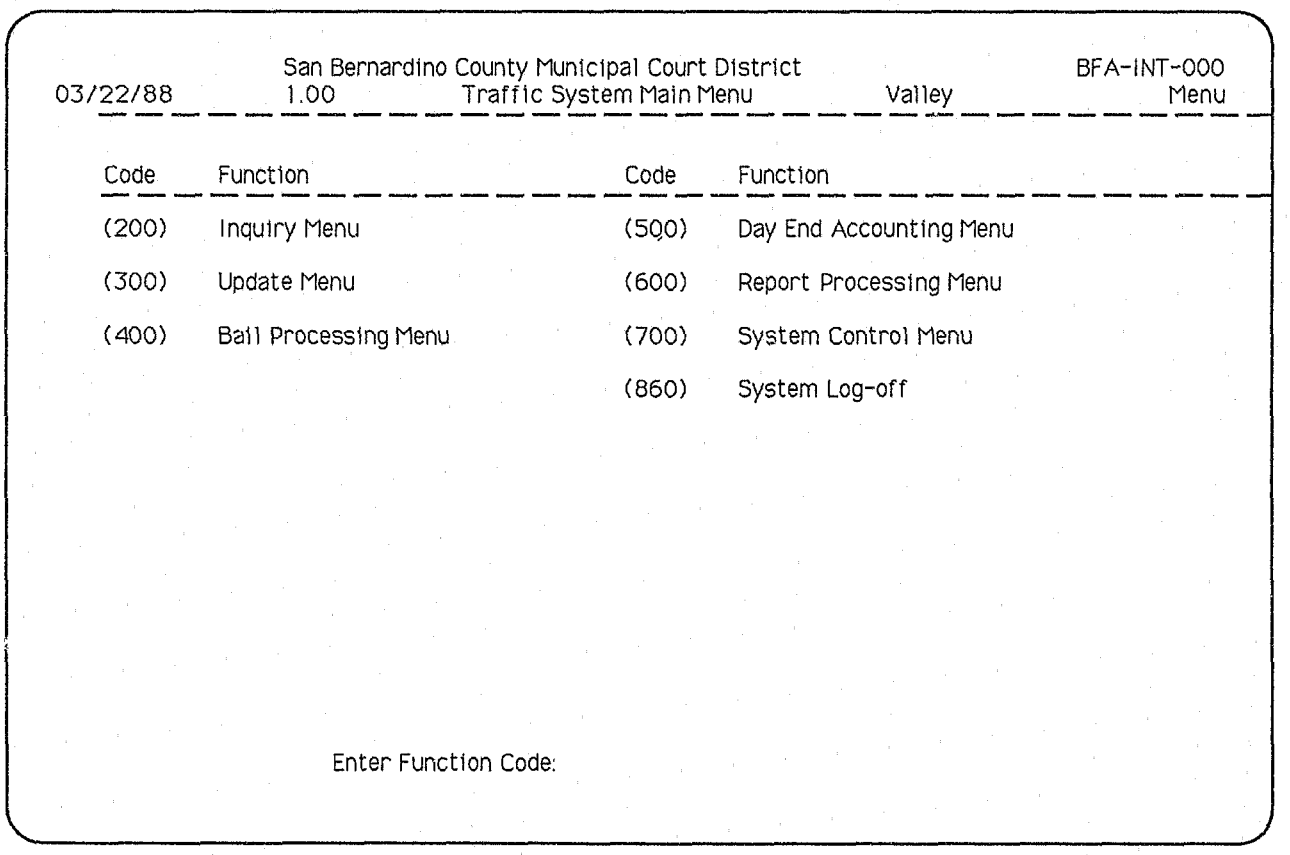
Bail for the citation is calculated from the automated bail schedule stored in the system. This bail may then be enhanced by prior citations from the DMV. To process a Bail Forfeiture, the operator need only enter each violation and disposition and the amount tendered. The system automatically calculates the ledger distribution, change amount, produces a receipt, distributes the payment to the appropriate accounts and adds the transaction to the Daily Transaction report. If the total bail amount is paid, the system will close the case and produce an electronic abstract for the DMV upon request. If the total amount is not paid, the system will add the Administrative fee to the case and require a future Date to Pay be set.

The Court can add Cash Bail, add depositors other than the defendant, Exonerate Bail, Forfeit Bail, or Reinstate Bail previously forfeited. Each function will generate a Receipt or Return of Trust Order and add the transaction to the Daily Transaction Report.

The traffic system is built upon an automated case record that retains all activity related to each case from the time of filing to disposition. A complete register of actions can be retrieved on any terminal or printer, providing court personnel with immediate access to case activity without handling the case file or original citation.

Miscellaneous payments may be entered for citations or cases that are not in the traffic system. Once the distribution and payment amount are entered, the system automatically produces a receipt, adds the appropriate action to the citation and adds the transaction to the Daily Transaction Report.

TRAFFIC MAIN MENU
FIGURE 1



From the main menu, Figure 1, the user is able to access the following system menus and capabilities:

Inquiry Menu. Through inquiry, the user is able to use name, citation number, or driver's license number to access system records. The system will display case number, name, violation date, violation and disposition for each case record. The system also provides the ability to access the register of actions for a user-specified case number.

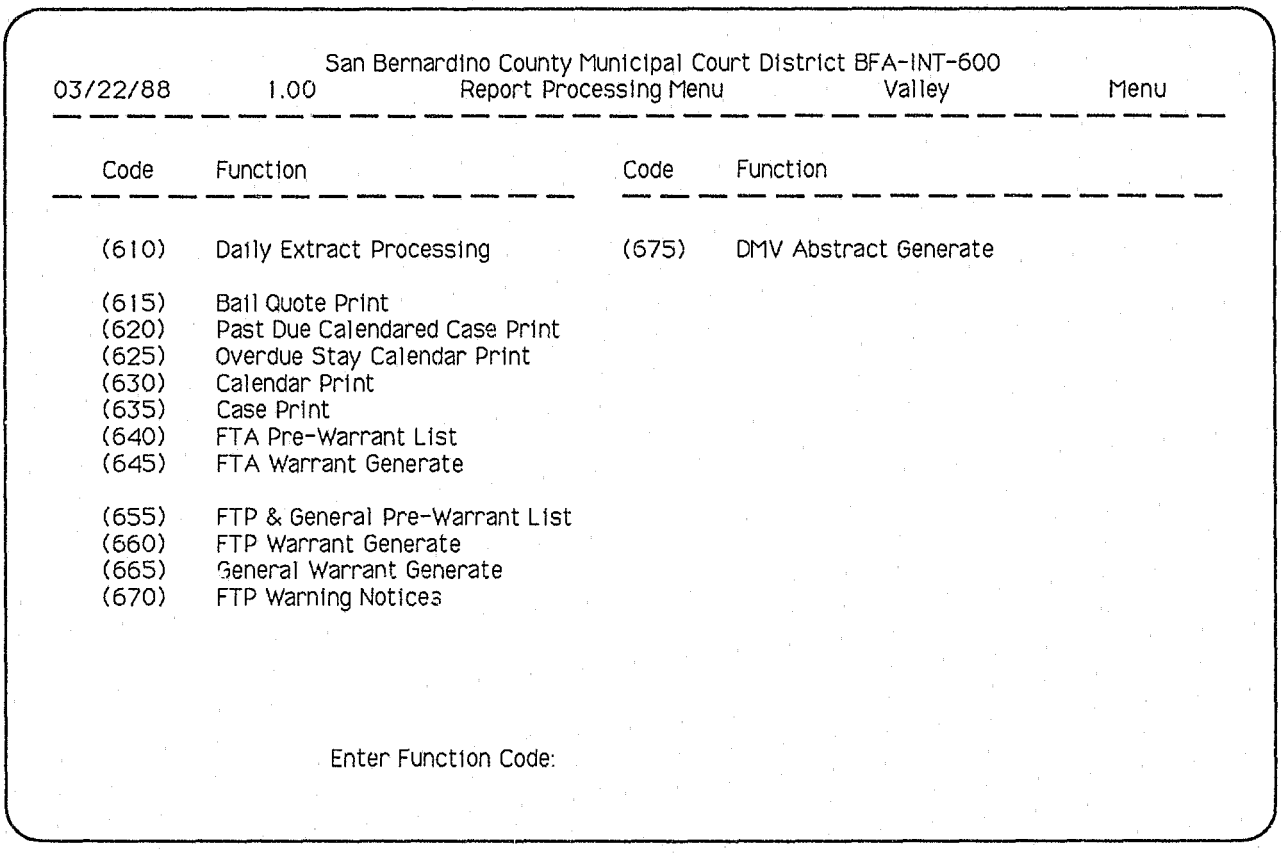
Update Menu. The options available on this menu provide the user entry and maintenance capabilities for the following: basic case record (citation); defendant record; violation record; and payment information record.

TRAFFIC CITATION ENTRY SCREEN
FIGURE 2

```
                        San Bernardino County Municipal Court District              BFA-INT-310
03/22/88      1.00             Traffic Citation Entry               Valley             Entry
------------------------------------------------------------------------------------------------
   Enter Operator Code ..:
   ( 1) Cita. Number .:   880322                ( 2) Issuing Agency .: FPD
   ( 3) Violation Date:   03/15/88              ( 4) Filing Date .....:   03/22/88         Sfx Bus
   ( 5) Name .........:   DENNIS                P           FULLINWIDER                    JR. N
   (10) Address ......:   4311 SECOND ST. APT# 103
   (11) City State Zip:   RIVERSIDE ,                       CA.     92507
   (14) Dr. Lic. # ...:   N5432234              (15) State .:   CA     (16) D.O.B. .:      03/20/50
   (17) Sex ..........:   M                     (18) Hair ..:   BLN    (19) Eyes ...:      BLU
   (20) Height .......:   601                   (21) WT. ...:   143
   (22) Veh. Lic. # ..:   1DEF432               (23) Veh. St:   CA
   (24) Violation # 1 :   21453A        VC      (26) Violation # 2 :          22350        VC
   (28) Violation # 3 :                 VC      (30) Violation # 4 :                       VC
   (32) Posted Speed .:   35                    (33) Rate of Speed:           45
   (34) Excess Weight :   00000
   (35) Location Code :   CT City               (36) Date to Appear:          04/05/88
   (37) Officer Badge :   1
   (38) Signed ? .....:   Yes                   (39) Owner Resp. ..:          No           Sfx
   (40) Owner Name ..:
   (44) Comment ......:
                          # #, S'ave :
          Bail Amount Not Found for this Violation ....
```

The Traffic Citation Entry screen (Figure 2) illustrates the information captured by the system from the primary source document—the traffic citation.

TRAFFIC REPORT MENU
FIGURE 3



The Traffic System Report Menu (Figure 3) offers a variety of options to users. Before printing many of the reports listed, it is necessary to run the appropriate extract program (see Extract Processing under General Product Overview). Some of the output is described below.

Calendar Processing. The Court can define several types of calendars. Upon calendaring a citation, the system will use the officer badge number to verify that the officer will not be on vacation and determine preferred court days. Calendars are generated through extract processing. The user specifies the date or range of dates for which a calendar is to be produced. The extract program is run to extract those records that meet the user-specified criteria. The system produces a variety of calendars based on calendar dates entered in the case record. A print program is run to produce the calendar.

Notice Processing. Bail Quotes (courtesy notices) are generated for each citation through extract processing. The Bail Quote indicates the Bail Amount With Corrections (if applicable) and Bail Amount Without Corrections. The Quote will also indicate if there is a mandatory appearance.

Warrant Processing. Warrants for failure to appear and failure to pay are produced through extract processing. Warrants are first reviewed by the court, printed or electronically transmitted to a central warrant system (dependent on the installation). Other types of warrants may also be produced.

Warrant Recall Processing. Upon updating a case with an outstanding warrant, the system requires a warrant recall. If a central warrant system is used, warrant recalls can be electronically transmitted while the system waits for a response before proceeding.

DMV Abstract Processing. DMV abstracts, Holds, and Releases can be electronically transmitted to the DMV (dependent on the installation). The production of the abstracts are integrated into the Payment/Disposition, Warrant, and Warrant Recall processing.

Civil and Claims System

The Civil and Small Claims systems were designed to automate three major areas of civil and small claims case processing: case indexing, calendar preparation and payment processing.

From the main menu the user is able to perform the following capabilities:

Case Indexing. This feature provides the user with an alphabetic listing of plaintiff and defendant names. In addition, AKA's (Also Known As), DBA's (Doing Business As), Case Number and Filing Date are listed. The report is produced for a user-specified range of dates and may be printed as a hardcopy report or microfiche.

Calendar Preparation. Calendars are generated through extract processing. The user specifies the date or range of dates for which a calendar is to be produced. The extract program is run to extract those records that meet the user-specified criteria. A print program is run to produce the calendar. The system has date edits and only schedules cases for valid court days and will not schedule for holidays. A maximum number of cases may be set to be heard on a particular day.

Payment Processing. This function will apply payments received for a case, produce a receipt, distribute the payment to the appropriate accounts, and provide a Daily Transaction Report which shows each payment and operator totals. The Payment Entry program displays the plaintiff and defendant in the case for verification that the payment is being applied to the correct case. A fee code is entered which describes the account and amount distribution for the payment. The payment type and amount received are also entered into the system. The payment program will calculate the change to be returned, produce a receipt, add the payment to the case record and make an entry in the daily transaction register.

In addition to these major functions, the systems provide for party inquiry; action code entry/update; party address entry/update; register of action print; AKA and DBA tracking; and caseflow management.

Cases are initially entered into the system through either the Case Entry/Update or Payment Entry program. Using the Payment Entry program, the personnel at the public service window are able to assign a case number, accept the payment and enter the first plaintiff and first defendant. The case is indexed and the filing fee is applied to the case. After this information is entered, personnel can service the next person at the window and can later use the Case Entry/Update program to add the additional information to the case record by using the Additional Plaintiff and Defendant Entry/Update programs to add additional parties if applicable. At this point, the party information is complete and the case may be calendared.

CIVIL AND SMALL CLAIMS MAIN MENUS
FIGURE 4 and 5

San Bernardino County Municipal Court District CVS-INT-000
11/30/87 1.00 Civil System Main Menu Valley Menu

Code	Function		Code	Function
(210)	Civil Case	Inquiry	(380)	Civil Case Delete
(215)	Additional Case Info	Inquiry	(390)	Split Calendaring Case Set-up
(220)	Plaintiff/Defendant	Inquiry		
(250)	Case Action	Inquiry	(510)	Civil Calendar Print
(310)	Civil Case	Entry/Update	(520)	Civil Index Print
(315)	Additional Case Info	Entry/Update		
(320)	Additional Plaintiff	Entry/Update		
(325)	Additional Defendant	Entry/Update		
(330)	Civil Payment	Entry	(700)	System Control Menu
(350)	Civil Action / Cal.	Entry/Update	(860)	System Log-off
(370)	Civil Void Payment	Entry		

Enter Function Code:

San Bernardino County Municipal Court District SCS-INT-000
02/09/88 1.00 Small Claims Main Menu Central Menu

Code	Function		Code	Function
(210)	Small Claims Case	Inquiry	(380)	Small Claims Case Delete
(215)	Additional Case Info	Inquiry	(390)	Split Calendaring Case Set-up
(220)	Plaintiff/Defendant	Inquiry		
(250)	Small Claims Action	Inquiry	(510)	Small Claims Calendar Print
(310)	Small Claims Case	Entry/Update	(520)	Small Claims Index Print
(315)	Additional Case Info	Entry/Update		
(320)	Additional Plaintiff	Entry/Update		
(325)	Additional Defendant	Entry/Update		
(330)	Small Claims Payment	Entry	(700)	System Control Menu
(350)	Small Claims Action	Entry/Update	(860)	System Log-off
(370)	Small Claims Void Payment	Entry		

Enter Function Code:

Figures 4 and 5 show the Civil and Small Claims Main Menu screens.

Criminal System

The Offender Tracking System provides for case management of each criminal case filed in the Court. An electronic docket is maintained for each case. This system provides for the following functions:

- Tracking of case from filing through disposition
- Tracking of potential problems through case audit reports which list all cases with actions that have not been updated within a user-specified number of days
- Calendar generation
- Maintenance of defendant register of actions
- Management of automated warrant processing
- DMV Abstract report generation
- Generation of case and defendant statistics for Judicial Council reporting
- Referral report generation for the Probation Department which lists all of the defendants and cases that have been referred to the probation department by the court
- Management of bail/bond processing
- Accounting for criminal fine payments
- Production of Failure to Pay and Allegation of Violation of Probation notices
- Case and party inquiry.

CRIMINAL MAIN MENU
FIGURE 6

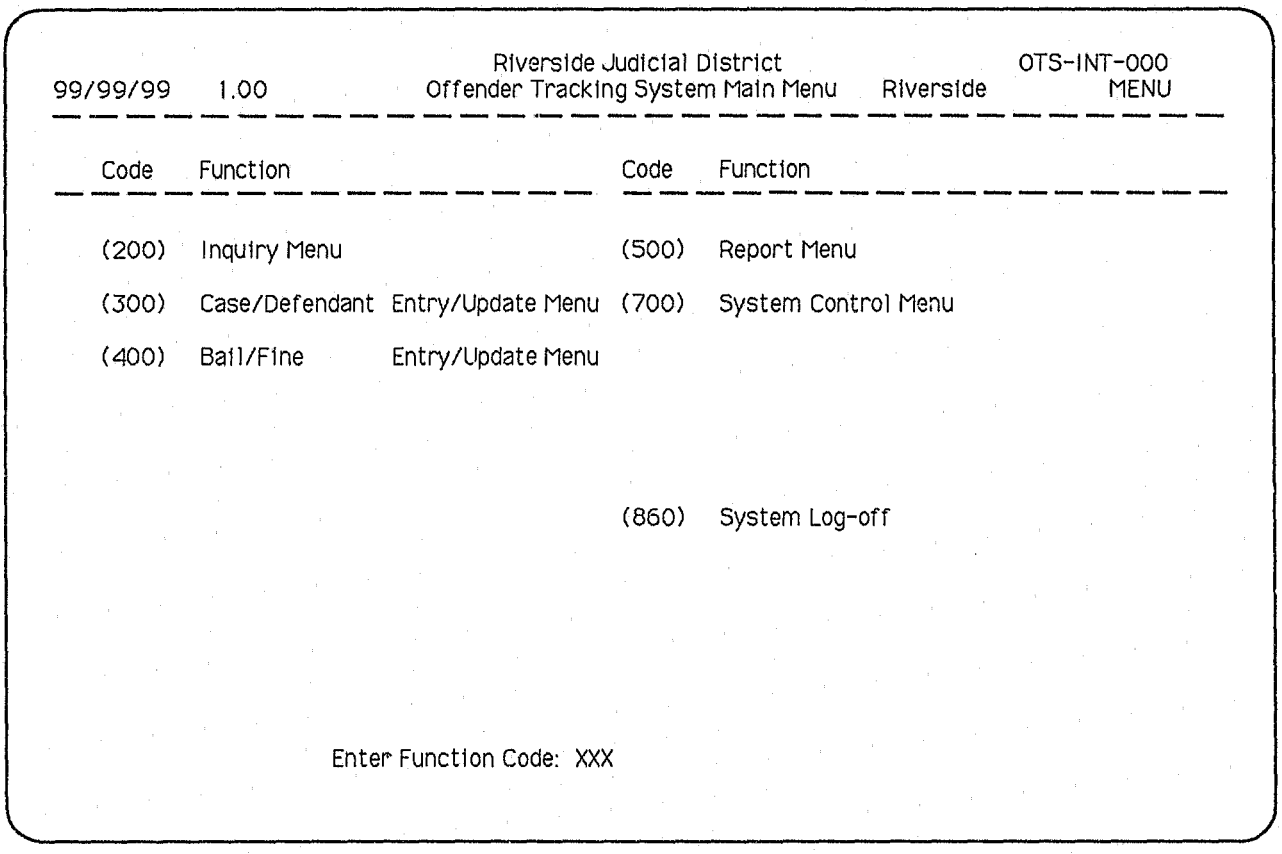


Figure 6 shows the Criminal System Main Menu. Cases are entered into the system via the Case Entry program. The user enters the case information and each defendant charged. The first scheduled court appearance for each defendant is entered through the Actions Entry/Update screen. Subsequent actions and minutes are entered through the Minute Entry program. Calendars and register of actions can be requested at any time during the case process. Warrants are printed upon request.

System Control

Each system module has a System Control Menu that contains supervisory functions necessary for operational security and integrity of the system. Using these menu options the system administrator can perform the following types of functions: establish all codes, court holidays, bail/bond amounts and their distribution; manipulate case records (delete, purge, split cases); establish operator codes/security; define help files; set up system printers; establish CRT/printer links; and manage the system configuration. The options available to the administrator vary from module to module, but the functionality is similar.

On-Line Help Facility

On-Line Help is provided for all fields throughout the system. If help is requested for a particular field on a screen, the system displays the table or description for the user. Upon termination of help, the system returns to the field at which the cursor was positioned when help was requested. The text used for on-line help descriptions is written and entered in the help file by the users.

Security

File, record and screen level security are supported by the application software. Operator codes must be entered at various points of access to each module. This enables multiple users to perform various system functions at the same terminal without logging on and off each time. At the system level, each user is assigned a user ID and a password.

Documentation

ISD Corporation provides a copyrighted User's Manual and System Specifications Manual for each module. The User's Manual contains the following sections:

- *System Overview*—A brief description of the major features and functions of the system.
- On-Line Screen Interaction Conventions—A description of the screen areas and values that are used consistently throughout the system.
- Commands—A description of the commands used to operate and proceed through the system.
- Program Numbering Conventions—An explanation of the naming scheme of the programs and what those program names mean to the user in the operation of the system.
- Program List—The COBOL name and description of each program. Programs are listed by category of function, i.e., menu programs, inquiry programs, update programs, system control programs, etc.
- Program Descriptions—Each program description includes screen layout, screen title, screen number, general program description, instructions for use, and error conditions or messages that might be encountered.
- File and Field Definitions—This section includes the following for each data file: data element name; length of data element; type of data element (alpha, alphanumeric, numeric); and a brief description of each data element.

The System Specifications Manual contains the following information:

- System Overview—A brief description of the major features and functions of the system.
- Program List—The COBOL name and description of each program. Programs are listed by menu on which they are accessed.
- Delivery Phase Description—This section describes each phase of the project and lists each deliverable.
- On-Line Screen Interaction Conventions—A description of the screen areas and values that are used consistently throughout the system.
- Office Automation Integration—A description of the Data General Office Automation products and how they interact with the application software.
- On-Line Screen Descriptions—Each screen description includes: screen layout, screen title, screen number, general description, instructions for use, and error conditions or messages that might be encountered.

- Report Descriptions—Each report description includes: report format, report title, report number, general description, and instructions for use.

- Database Layout and Record Descriptions—This section includes data flow diagrams and descriptions of each record type to be stored in the system.

Hardware Requirements

The ISD Corporation software products are supported on Data General MV series 32-bit super minicomputers. Six megabytes of core memory are required. Both San Bernardino and Riverside sites have installed Data General MV series machines using the AOS/VS operating system.

Data General super minicomputer machines (dependent on size) will support a minimum of 10 and up to 500 terminals per single machine. Connecting more than one machine will allow for larger numbers of terminals to be supported.

The ISD application software is written in the COBOL programming language. The INFOS relational database management system is used for file storage and retrieval. The application software programs interact with the INFOS database through a Host Language Interface. INFOS is marketed and supported by Data General. The file structure is hierarchical. The current version of the application software available is version 1.5.

Training and System Support

ISD Corporation provides user training at their Riverside, California office location. Audio-digital training technology (User Training Corporation Products) has been adapted to support the training effort. This technology uses audio tapes in conjunction with video screen display. Both San Bernardino and Riverside sites have been involved in creating the narrative used for the audio portion of the audio-digital training. This methodology promotes self-paced training and is a valuable tool in reaching the largest number of users. The audio-digital training is the property of ISD Corporation and may or may not be used in subsequent installations.

Each module of the system has a "training" mode and a "live" mode. Actual case information can be added in training mode, then dumped into the live system.

On-site support and remote support via modem are available to the installation. Terms and conditions of support are set forth in a contract between the site and ISD Corporation.

Future Enhancements

San Bernardino and Riverside counties are working with ISD Corporation in further enhancing the system. Bar code scanning, imaging and other technologies are being examined as possible methods for the input of data into the system. In the future, function keys will be utilized to allow quick access into other system modules or into frequently used screens within the same module. The use of automated audio response to telephone inquiries is also being examined for future adaptation.

Transfer Issues and Conclusion

The GENESIS system provides flexibility to the transfer site through extensive use of tables containing user-defined codes. Overall system design provides ease of customization in areas not controlled by tables. ISD will place the source code in escrow (held in trust by a third party), which will be turned over to the site should the company undergo major changes.

In addition to Data General, ISD Corporation will consider various hardware manufacturers for software implementation if the jurisdiction has already installed hardware or has a strong preference for a particular manufacturer.

The court application software products discussed in this report provide a medium to large limited jurisdiction court with an opportunity to significantly improve the management of their caseload and fine/fee collection through automation. ISD Corporation offers expertise in providing assistance to the court in the design, modification, installation and training involved in the system implementation process. Post-installation support on-site and/or via modem is available through terms and conditions outlined in the contractual agreement between the site and ISD. Specific cost information can be obtained from ISD Corporation.

JUVENILE COURT DOCKETING AND INDEXING SYSTEM

MICHIGAN JUDICIAL DATA CENTER

SOUTHFIELD, MICHIGAN

Prepared By

PEGGY A. SWEAT
Systems Analyst

THOMAS G. DIBBLE
Senior Staff Associate

JUVENILE COURT DOCKETING AND INDEXING SYSTEM

MICHIGAN JUDICIAL DATA CENTER

SOUTHFIELD, MICHIGAN

The Juvenile Court Docketing and Indexing System was developed by the Michigan Judicial Data Center (MJDC) for use in the smaller counties desiring a stand-alone automated system. Adapted from the on-line juvenile system operated by the MJDC, the microcomputer juvenile system provides smaller courts the advantages of a fully automated system for an initial total cost for a single workstation of about $2,500 and an $85 monthly maintenance fee. This cost includes an IBM PS 2 Model 30 microcomputer, a printer and color monitor screen. A two station configuration costs the county $5,251 and about $2,400 for each additional workstation beyond that. The system will allow court personnel to submit, store and retrieve case-related data.

In Michigan, exclusive juvenile jurisdiction rests in 79 locally funded probate courts located in the state's 83 counties. At the time of this review, the juvenile microcomputer system was being used in Cass and Leelanau Counties. Also nine counties are using the minicomputer version, five on-line to the MJDC and four on locally based computers. There is a potential application of the microcomputer juvenile system in Michigan to be used in 40 counties.

To receive information on the transfer of this system to other states, contact: Mr. Richard Wilhelm, Executive Director of the Michigan Judicial Data Center, 27300 Eleven Mile Road, Southfield, Michigan 48034 (313) 352-8990.

The Michigan Judicial Data Center

MJDC is a branch of the State Court Administrative Office and operates as a full-service automation resource for Michigan courts. MJDC develops and operates on-line, distributed and microcomputer systems with the configuration and method of processing being determined by the the court and the county funding agency. The juvenile system is being run on the the IBM System 38 mini-computer physically located at the MJDC.

MJDC was organized in 1972 following a joint study by the Michigan Supreme Court Computer Committee and a special industry advisory group composed of representatives from Ford, General Motors and the Chrysler Corporation. The industry group proposed the establishment of a systems department in the Office of the State Court Administrator. Additional recommendations included those allowing for user involvement and prioritization of automation projects by the court system. It was recommended that teams of judges, court administrators, attorneys and representatives from other criminal justice agencies be involved in the overall guidance of the Supreme Court Procedures and Technology Committee. The MJDC has developed numerous systems that are operational throughout the state.

The planning committees for the MJDC are made up of administrators and key personnel from the courts that are either using MJDC Systems or that have committed to use their systems. With the assistance of the committees and sub-committees, the MJDC has developed and refined systems to satisfy the needs of the courts. The systems are designed to be cost beneficial and easy to operate. As requirements change, the MJDC, working through committees, enhances the systems to keep the participating courts in compliance with changing laws, court rules and practices.

System Review Procedures

Staff visited the MJDC in Southfield, conducted interviews with the system staff and received a demonstration of the microcomputer juvenile system. The on-line juvenile system on the IBM system 38 was also reviewed for comparison. Staff met with:

Mr. Richard Wilhelm, Executive Director, MJDC;

Mr. Charles Taylor, Systems Supervisor, MJDC;

Mr. Mark Bateman, Programmer/Analyst, MJDC, who actually converted the programs from the IBM system 38 to the microcomputer system.

Ms. Susan White, Juvenile Court Register in Leelanau County, and Ms. Carol Lace, Juvenile Court Register in Cass County, were interviewed via telephone regarding benefits from the system and its impact on their court operations.

Leelanau County Demographics

Leelanau County installed the system in January 1988. The county asked to be the pilot for the system since they had previously been using MJDC's microcomputer probate system. At the time of the review, the juvenile register was the only member of the four-person juvenile court staff actively using the system. Other juvenile court staff include a referee, a probation officer and a youth action Bureau Counselor. The County is upgrading its computer hardware and plans to install the next version of the system which will network a number of PCs thus allowing for the entire staff to have access to the system.

Although information is being entered on the entire juvenile caseload, which numbers only about 50 active cases, the court is still using a dual system and paralleling all entries in their manual docket and other records. The juvenile caseload includes delinquency, neglect and abuse cases, adoptions and acknowledgment of paternity actions. One of the most useful features of the systems is the ability to enter probation requirements. A weekly report is produced for the probation officer which indicates all of the special requirements that juveniles on probation are to meet during the upcoming week. The population of Leelanau County is approximately 15,000.

Cass County Demographics

The system was installed in Cass County in March 1988. The Juvenile Court Register is in the process of training the six-person juvenile court staff to use the system. In addition to the Register (Clerk), the staff includes an in-house detention worker, a youth resource coordinator/probation officer, a probation officer, the deputy register and a juvenile court administrator/referee. Additional staff include the juvenile judge and a secretary/court reporter. Cass County also plans to expand to a network version of the system to be installed early next year. The Register anticipates that the system will aid in the management of their approximately 350 active cases. Cass County reports that the system is easy to learn and experienced no particular problems with training.

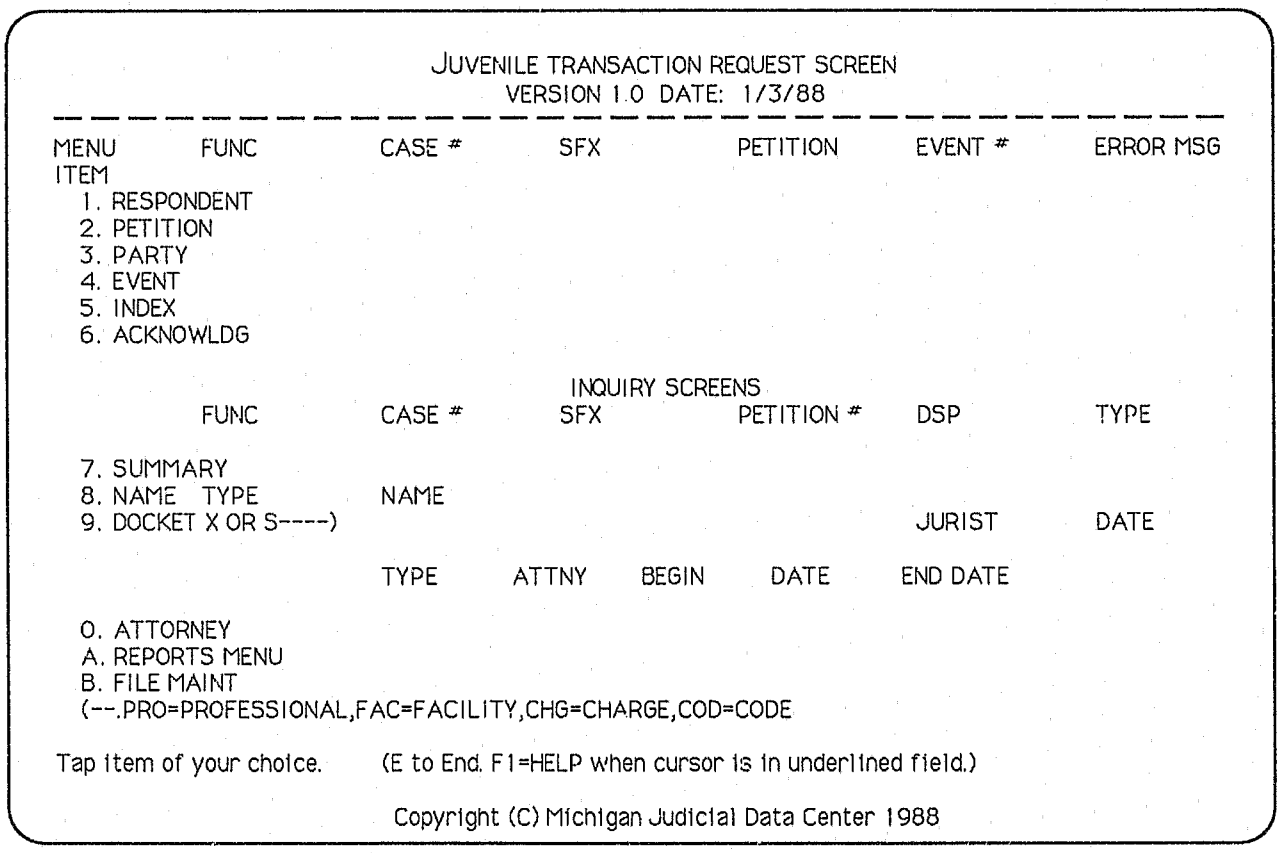
At the present time, Cass County has loaded about 80% of the active juvenile cases on the system, however, they are still paralleling the computer system with their old manual procedures. A future enhancement will include the addition of a financial program to monitor payments of restitution and monthly probation oversight fees. The population of Cass County is approximately 60,000.

SYSTEM OVERVIEW

The Juvenile Court Docketing and Indexing System is designed to provide assistance in the discharge of juvenile rules and statutes; uniformity in the administration and reporting of follow-up procedures; computer assistance in caseflow management to assure the efficient, accurate and equitable movement of cases through the juvenile process; scheduling and monitoring of case-related events; preparation and maintenance of the court calendar; statistical reporting; indexing of pertinent data; and includes user I.D. and password security that ensure that case data is not accidentally or intentionally disclosed, destroyed, or modified by any source other than the individual participant who entered the data. An advantage of the system is its ability to access data based on various characteristics or sequences and to display it on the terminal screen. For example: using the name, the user can examine the case numbers and related petitions associated with that name or using a case number, the user can request historical events and results on all petitions. Other inquiries can be made on charges, party data, case status and attorney information. Additionally, several printed reports can be produced for judicial, administrative and clerical personnel. The microcomputer based juvenile system has essentially all of the features that are contained on the IBM System 38 on-line system. The system is programmed in dBASE III Plus (™).

A few of the screens used in this system are depicted on the following pages to demonstrate some of the features and functions of the system.

MASTER MENU SCREEN
FIGURE 1



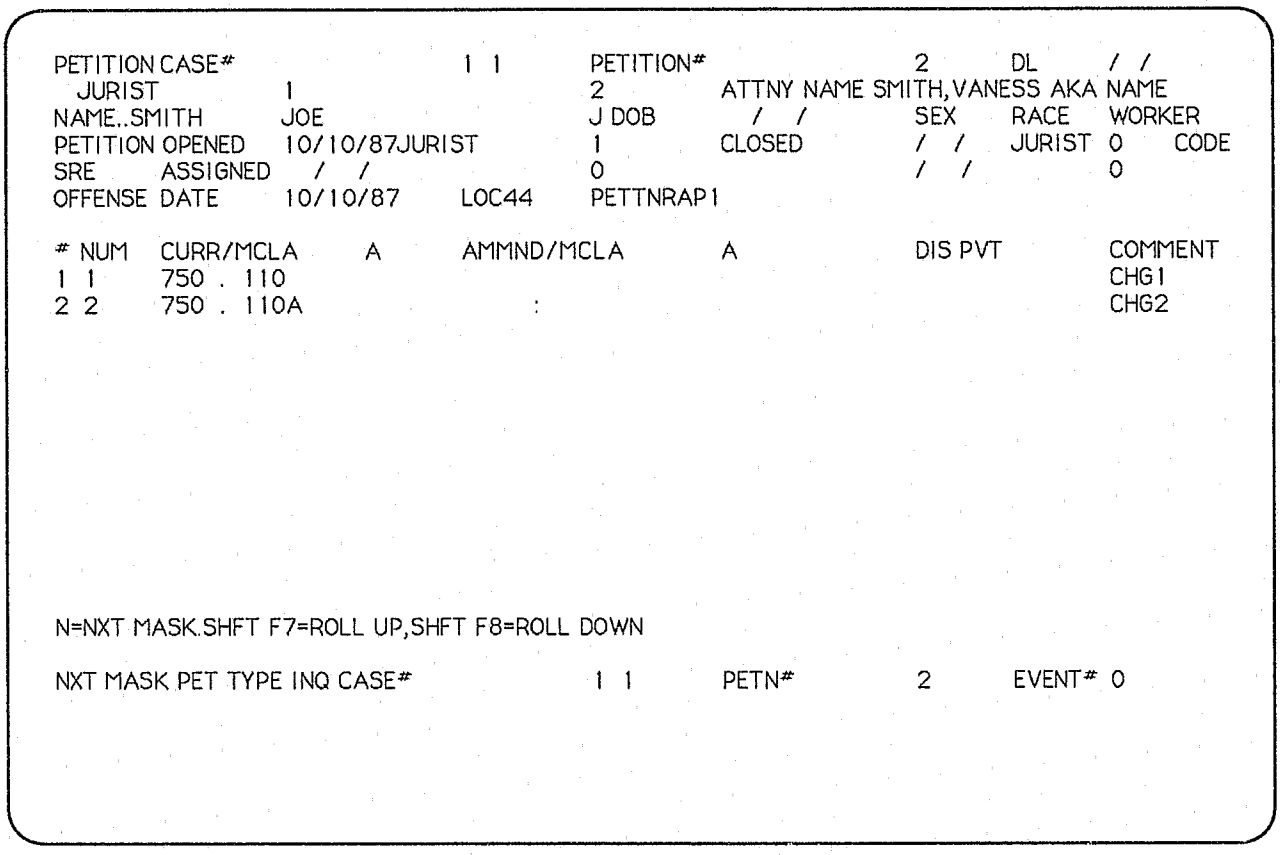
The Master Menu allows the user access to the various modules within the system. By making the appropriate selection, the authorized user can proceed with establishing or monitoring any active case. Inquiry is available from the Master Menu as well as from any other module in the system. In this system all information is entered and searched based on a case number, petition number or through name searches.

RESPONDENT MENU
FIGURE 2

```
RESPONDENT      MOD    CASE#            1  1            TYPE DL        FILED 12/11/87
JURIST          1      ATTNY  2 TYPE R ATTNY NAME SMITH VANESS WKR NAME STITT,SONNY
NAME...         SMITH,JOE,J   DOB 04/01/87             SEX M RACE OT WORKER       3
ADDRESS         1234 MAIN     CITY ST CLAIR SHORES      ST MI          ZIP 480000
PHONE..         333-3333  SCHOOL-HOME LSH ATTENDING LSH GRADE 12       SERVICE TYPE F
INSURANCE       POLICY                    EFFECTIVE  /  /          PURGE DATE  /  /
GROUP#          SERVICE CODE                                 SOC SEC NUMBER  -  -
MEDICAID I.D.                             EFFECTIVE  /  /          CASE#

STATUS INFORMATION:
CASE OPENED.              12/11/87
CASE CLOSED.                /  /
CASE REOPEN.                /  /
CUSTODY.....    NCU       12/11/87
LEGAL.......    CTS       12/11/87      COURT SUPERVISION
PLACEMENT...    ABC       12/11/87      ABC FACILITY
PROGRAM.....                /  /

                          Esc TO EXIT WITHOUT CREATING RECORD

NXT MASK RSP TYPE MOD CASE#               1  1          PETN#  0       EVENT#       0
```

This module allows the entry of basic information on the respondent, attorney, case worker, custody information, placement information, and case status. Coded entries are validated against the appropriate code tables. An on-line help function is available to determine valid codes. Data may be selected from the list and automatically written to the field. All data is verified according to pre-established rules. A respondent record cannot be accessed through the system without establishing the petition record.

PETITION
FIGURE 3



This module allows the user to establish the petition record. Information from the case information file is carried on the screen to eliminate the need to re-enter basic information and to eliminate possible errors. Here the offense can be entered and more than one petition may be established for a case. Coded entries are validated against the appropriate code tables. An on-line help function is available to determine valid codes. Data may be selected from the list and automatically written to the field. A petition record cannot be established without the respondent record and no record is established if the offense date is blank.

Other significant screens include:

The *party screen* enables the entry of all parties to a case. Basic information for each party is entered. Coded entries are validated against the appropriate code table. An on-line help function is available to determine valid codes. Data may be selected from the list and automatically written to the field.

The *event screen* enables the entry of all actions for a particular petition of a case. Disposition records are generated when an event is entered for bond, restitution, administrative costs, or reimbursement amounts. The respondent record is updated if the program, status, or custody fields are updated.

The *index screen* allows the court to add or modify party records for a closed case by entering the case number.

A *special acknowledgment screen* allows the court to add, modify or make inquiries related to the filing of acknowledgments of paternity. Paternity action must precede child support determinations in many of the matters in the court. Contested paternity and support matters are heard in the circuit court in Michigan.

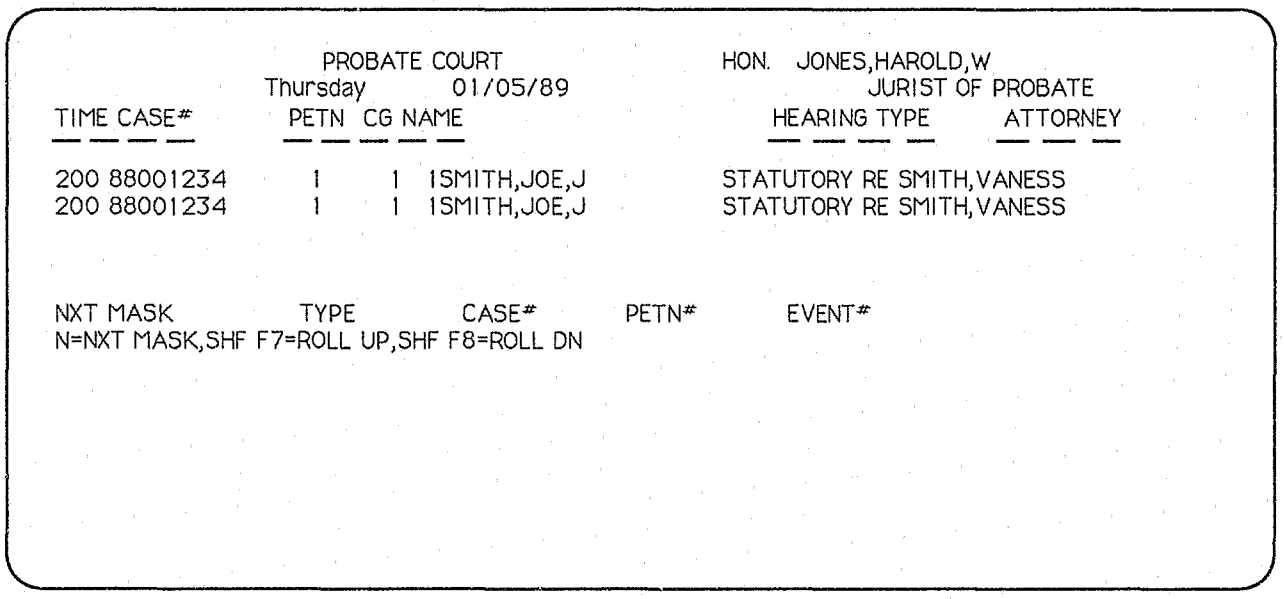
The *summary screen* comprises an inquiry module which allows the court to display all events for a particular petition of a case.

The *name type screen* is an inquiry module which allows the court to enter a name for a search of the database to display all names similar to the name entered. Names may be searched by last name, full name, or phonetic sound alike. This feature is used to gather case number and petition information when that information is not readily available. From the list screen the user can proceed to any other module of the system.

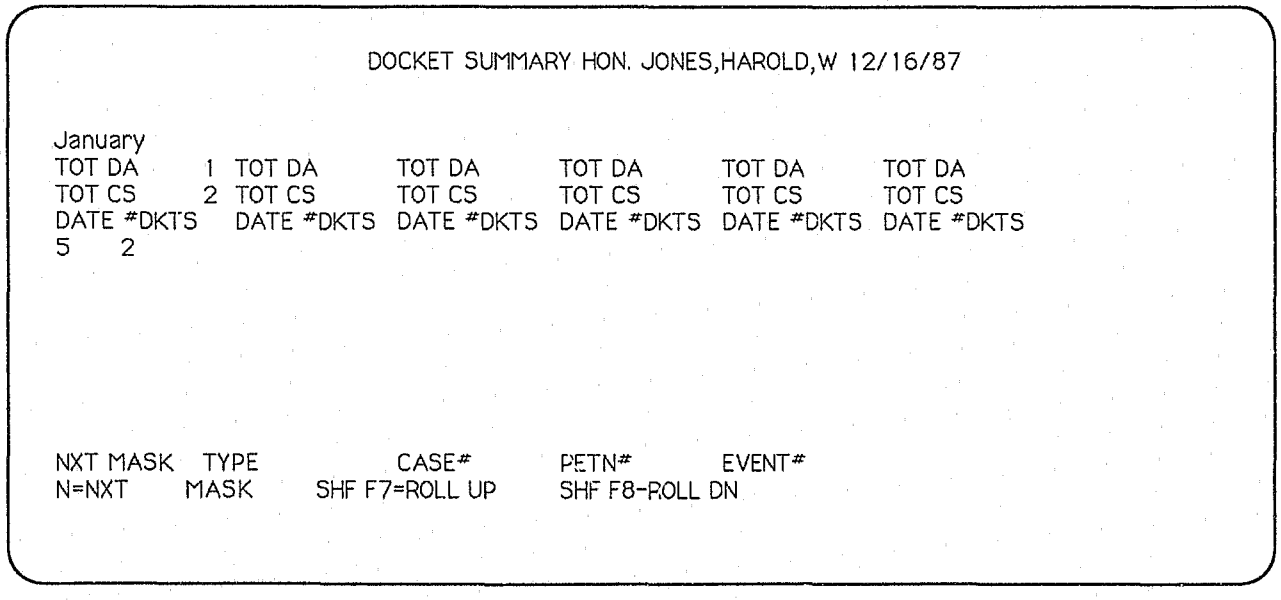
Other features of the system accessed through the menu for the management of juvenile cases include the ability to monitor the following:

Placement	-	of a juvenile in foster care or other situation
Programs	-	for assignment of a juvenile to a driver education, drug rehabilitation or other program
Payment	-	to monitor payment of administrative costs
Restitution	-	to monitor payment of restitution
Reimbursement	-	to track payment of reimbursements ordered by the court
Bond	-	to document information on bonds for juvenile court respondents
Disposition	-	to document case dis positions.

DOCKET: SCHEDULE FOR THE DAY
FIGURE 4A



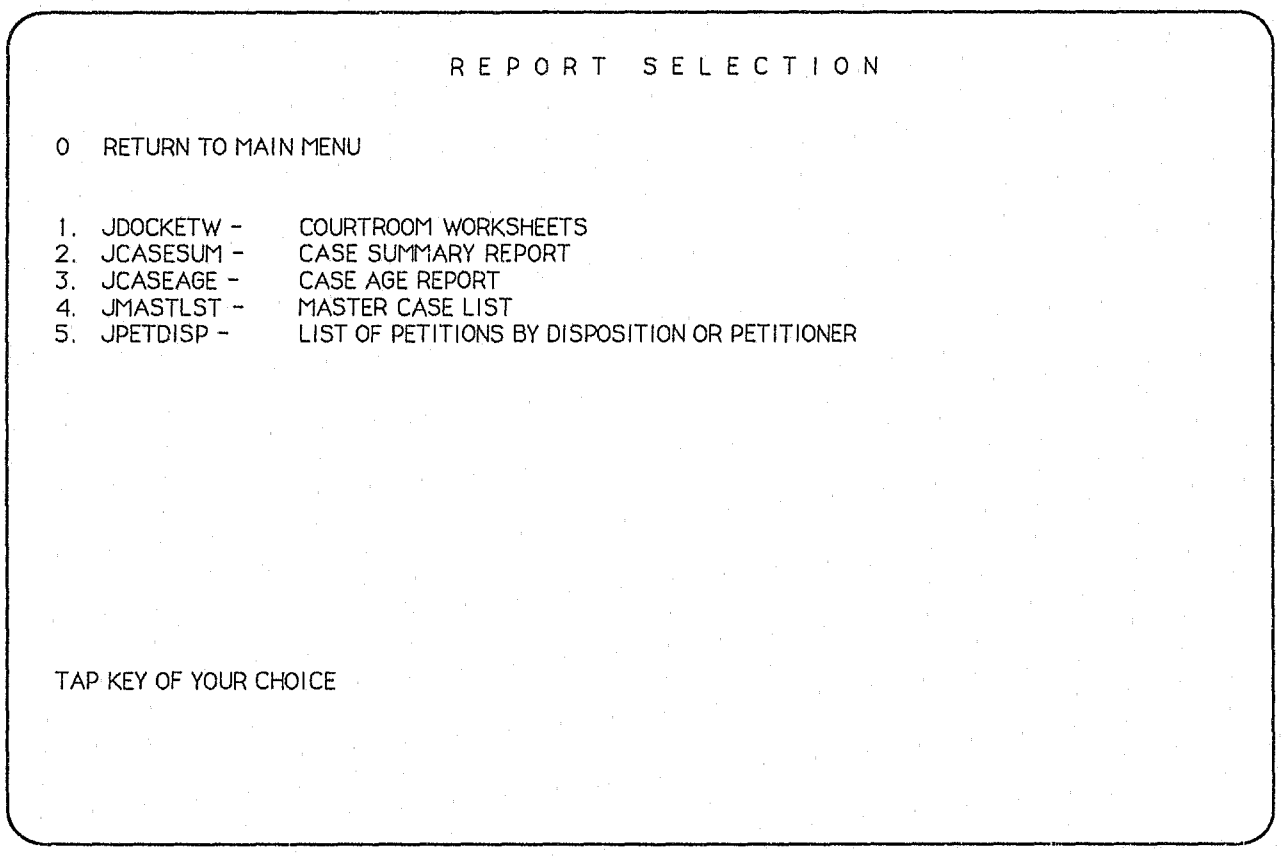
DOCKET: SUMMARY BY JUDGE
FIGURE 4B



This inquiry module allows the court to display all events scheduled for a particular day or for a specific jurist on a particular day. The information can be displayed in summary format or regular format. The summary format displays total cases scheduled for a month and displays six months at a time.

The similar attorney screen is an inquiry module which allows the court to display either all cases a particular attorney has been assigned for a range of dates or all events for the attorney for a range of dates.

REPORTS MENU
FIGURE 5



The report selection menu offers five reports. These reports may be run at request on demand.

The system includes a file maintenance module which allows the maintenance of all tables used throughout the system. By entering the PRO option, maintenance can be performed on all eligible attorneys, case workers, judges and referees. By entering the FAC option, maintenance can be performed on all eligible facilities for placement. By entering the CHG option, maintenance can be performed on all eligible charges. By entering the COD option, maintenance can be performed on any other established code table.

Hardware Requirements

The system runs on an IBM PC or compatible and requires MS DOS Version 3.3. A multi-user version has been developed by the MJDC and is ready for release.

Training Requirements

Hands-on training is provided on-site to court personnel over a 1-5 day period or until the user is comfortable with the system. A complete users manual is available through the Michigan Judicial Data Center and explains the various screens, how to enter data, and how to produce reports. MJDC provides users manuals to each site as needed.

Transfer Issues and Conclusion

Within Michigan, the microcomputer juvenile system is available to any county probate court who wishes to install it. There is also the mini-computer version of the system that runs on an IBM 36/38 either on-site or from the MJDC's computer. The microcomputer version of the system will be converted and installed by the MJDC. Most problems are solved via telephone or by sending a diskette to the court.

In Michigan, the Microcomputer Juvenile System does not allow for user customization. All programming must be performed by MJDC. All enhancements to the system are determined through and approved by a designated user group and the State Court Administrator before being implemented. All modified versions are installed at all sites.

Ad hoc report generation and inquiry modules will be available through the next release. These functions will allow the user more flexibility in retrieving information from the database. The multi-user version to support larger counties will enhance the transfer options and make the system more attractive.

The MJDC will provide the microcomputer Juvenile System Software and the source code for $2,000 to court sites outside of Michigan. The purchase price includes the application software and source code on diskette, the system user manual and a conference and demonstration by MJDC personnel. However, they would like to retain the right to purchase any enhancements made to the system.

ALLEGHENY COUNTY CHILD SUPPORT SYSTEM (ACCSS), ANACOMP, Inc.

ALLEGHENY COUNTY COURT OF COMMON PLEAS

PITTSBURGH, PENNSYLVANIA

Prepared By

THOMAS G. DIBBLE
Senior Staff Associate

ALLEGHENY COUNTY CHILD SUPPORT SYSTEM (ACCSS), ANACOMP, Inc.

ALLEGHENY COUNTY COURT OF COMMON PLEAS

PITTSBURGH, PENNSYLVANIA

In late 1984, the Allegheny County Child Support System (ACCSS) was installed in the Family Division-Adult Section of the Court of Common Pleas for Allegheny County. The system supports the following features and functions: Docketing; Automated Forms Generation; Scheduling/Calendar Administration; Diary/Case Event Recording; Management and Statistical Reporting; Automatic Enforcement including IRS offset and a complete Financial and Accounting system. The Court implemented this automated system to effectively manage their large Child Support Enforcement Program and to ensure compliance with the Federal Office of Child Support Enforcement guidelines and mandates.

An initial investigation revealed that Marion County, Indiana had installed a case management system developed by Anacomp, Inc. which closely met the requirements established in Allegheny County. The services of the consulting firm Arthur Anderson were procured to design the accounting and security system which was programmed by Anacomp. Initial development and implementation costs of $750,000 over an 18 month period for the child support system were largely financed by federal funds thus making the software public domain.

The development and implementation of this system and the efforts of a dedicated staff have enabled the Court to attain one of the most effective child support enforcement programs in the country. According to the Federal Office of Child Support Enforcement, in fiscal year 1987 the Court achieved the nation's highest rate of collections per full-time equivalent staff member with collections in excess of $56 million for a rate of $496,426 per FTE. In 1987, new support filings increased by over 15 percent from the previous year for a total of 23,467. The court estimates collections for 1988 to exceed $65 million on approximately 50,000 active accounts. This will represent an increase of over 300 percent when compared to ten years ago when collections were approximately $20.3 million.

The automation of the child support functions has allowed the court to implement an "expedited" support program, enforce on delinquent accounts and monitor payments. The turnaround time for payments has been reduced from 4-5 days to one day. Case inquiries are handled quickly and accurately. Staff members are able to immediately establish the information record and all applicable notices on-line. Typewriters previously used by interviewers, collection and disbursement processors, and Domestic Relations Officers have been replaced by terminals. This allows vastly improved case management, the ability to quickly enter all case data and same day processing of new cases including conferences or hearings.

Because the child support system is public domain, there is no charge for the software. Anacomp, Inc. contracts for enhancing and modifying the software to meet the needs of the recipient site. Anacomp offers a complete package including hardware, installation, training of staff and service.

This Executive Summary includes:

- A detailed description of ACCSS features and functions
- ACCSS hardware requirements
- Transfer issues and considerations

For further information on the system, please contact: Mr. John Raffauf, Technical Manager, Anacomp, Inc., 11550 N. Meridian, Suite 600, Indianapolis, IN, (317) 844-9666 or Mr. Gary Stout, Manager, Administrative Services, Family Court-Adult Section, Allegheny County Court of Common Pleas, 633 City-County Building, Pittsburgh, PA 15219, (412) 355-6930.

Anacomp, Inc.

Anacomp, Inc. was incorporated in 1968 as an Indiana Company and conducts all of its operations from its headquarters in Carmel, near Indianapolis. It is a publicly held company listed on the New York Stock Exchange. The firm has approximately 3,000 employees with expected combined annual revenue of $300 million. Approximately 125 employees are engaged in computer system development.

Over the past several years, Anacomp has been involved in the development and installation of a number of court related software packages including: Probate Court; Civil/Criminal Court; Municipal Court (traffic); Jury Management; Document Recording and Indexing; Personnel/Payroll for courts; Finance for courts; and Child Support Case Management/Collection. Allegheny County is the only location where the child support system is installed in a court. Anacomp, Inc. is a Prime Computer, Inc. distributor. All of its products have been designed for use with versions of the Pick operating system including Prime INFORMATION and UNIVERSE for Unix hardware.

System Review Procedures

NCSC project staff visited the Allegheny County Court of Common Pleas Family Division-Adult Section. Interviews were conducted with Court staff members involved with the automated child support system. NCSC staff received several demonstrations of various aspects of the system including the intake process and a complete walk-through of the case processing system and the computer facility.

NCSC staff met with the following Family Division-Adult Section staff members to discuss the development, implementation and use of this system:

Mr. Gary Stout, Manager, Administrative Services, Adult Section-Family Division;
Mr. Robert Franks, System Manager;
Mr. William Banks, Manager, Domestic Relations Office;
Ms. Julie Buannic, Programmer/Analyst;
Mr. Charles Starrett, Administrator of the Allegheny Court of Common Pleas; and
Presiding Judge Michael J. O'Malley.

The Allegheny Court of Common Pleas

A general jurisdiction court, the Allegheny County Court of Common Pleas was founded in 1788 in western Pennsylvania. Initially, serving a mountainous rural region, the Court now serves a large complex urban population of approximately 1.4 million people in the Commonwealth of Pennsylvania's Fifth Judicial District which comprises Allegheny County. The court's organization includes an administrative office, a civil division, criminal division, family division containing a juvenile section and adult section, the orphan's court division. Special courts in the district include 55 district courts located throughout Allegheny County.

The focus of this review was in the Family Division-Adult Section which employs approximately 105 staff members. Under the Manager of Administrative Services, there are four major sections: the Domestic Relations section, which contains the case management unit for intake and new case processing; the Collection and Disbursement office, which handles all of the financial transactions and initiation of enforcement actions; the Hearing Officer section, which contains four units of domestic relations officers which hold all of the hearings and conferences on child support matters; and the family division systems unit, which operates the computer systems.

SYSTEM OVERVIEW

The ACCSS is an on-line system that allows access to case data to aid in the enforcement of child support cases, including extensive reporting capability. The Allegheny County System contains a case management module; an automatic enforcement module including intake depicted on the case data screens; a locate module to track actions taken to find an absent parent; a scheduling module for court hearings and office appointments; an order entry module for both monetary and non-monetary orders; an insurance module to track health insurance arrangements for the child support cases; a forms generator module which uses case information from the database to produce needed forms and notices; a financial module for payment entry, posting, and distribution for state and AFDC cases and disbursement; an IRS module to produce tapes on cases eligible for income tax withholding interception to satisfy a child support arrearage; a wage attachment module; and a checkbook and ledger for bank accounts.

Allegheny County does not use the scheduling module because they feel it is easier to do scheduling for conferences and hearings the "old" way with personal communication and worksheets on clipboards. System managers also stated that some additional data elements are needed to make the insurance module truly effective. Additionally, an ideal system would provide for a computer interface between the IV-A System which pays out welfare funds under the AFDC program and the IV-D System which is the child support recovery system operated by the courts in Pennsylvania.

The system captures all relevant information from the time of the initial intake interview through the collection and disbursement phases. The system monitors wage attachment and has an IRS module that enables the withholding of the delinquent

payor's federal tax refund. The system allows for one day processing for new support applicants which includes generation of all forms pertaining to the case including the appropriate summons and notices that are needed to support the case. This ensures high volume processing and accuracy.

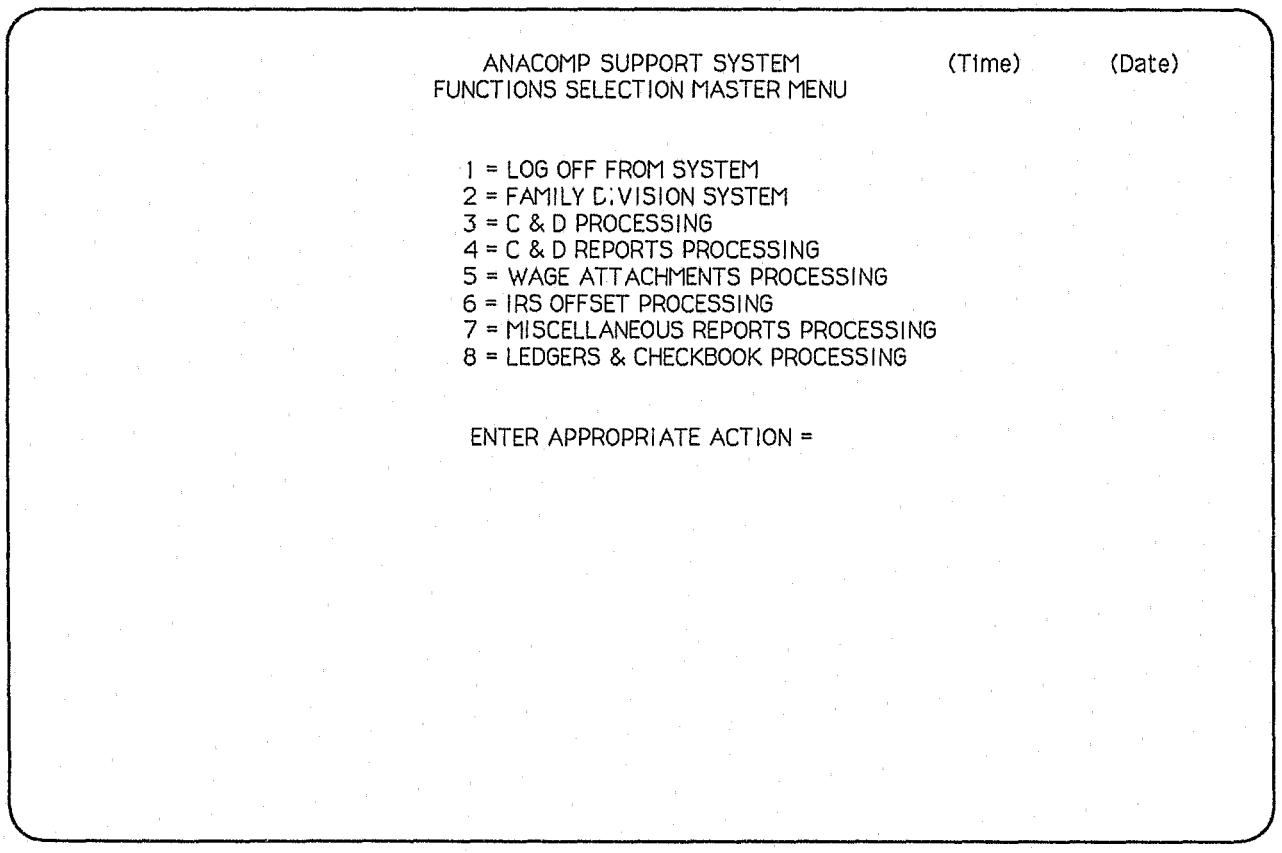
Case data is collected on-line in real time but the system also provides for batch processing to record payments, disburse checks and perform automatic enforcement. When payment delinquency criteria is recognized by the system, in a nightly polling of all cases, the appropriate letter, wage attachment of notice to appear in court is generated by the system. The level of enforcement action needed is determined by the system based on programmed criteria.

The Allegheny County System runs on a PRIME Model 9955II Computer and uses the PRIMOS, version 2.0 operating System. The application software is programmed in the Infobasic language and the relational database using "PRIME INFORMATION" version 7.1 is used. This allows the use of hash files with variable length records and fields so there is no limit to their number or size.

User access to all system modules requires a password assigned by the system administrator. The password restricts the user's ability to view, enter or change information.

In the pages that follow, selected menus and screens are presented that depict some of the features of the system.

FAMILY DIVISION MASTER MENU
FIGURE 1



The Master Menu provides access to the various modules within ACCSS. From this menu (Figure 1), the user is able to access the following system menus and capabilities:

The Family Division System menu allows entry to various screens to create or maintain case records, schedules, locate histories and disposition records.

The C & D (Collection & Disbursement) processing selection allows for the entry, modification and display of case data or payment information. It also prints disbursement checks. The C & D Report processing generates reports of C & D transactions.

The Wage Attachment Processing selection takes the user to the appropriate menu for entry, maintenance and display of wage attachment transactions.

Through the IRS offset processing menu, the operator may create an IRS offset record or generate reports on these records. It also creates tapes which are sent to the IRS.

The Miscellaneous Reports Processing menu lists various reports all of which are designated to be run by the system operator (See Figure 1.9).

The Ledger & Checkbook processing module is used to create and maintain general ledger and checkbook accounts, to generate reports on the activity of the accounts and to perform posting and year end processing functions.

FAMILY DIVISION MENU
FIGURE 2

```
SBR040                          MENU SELECTION FOR CSS FAMILY DIVISION


     CODES                      DESCRIPTION
 1 =                            RETURN TO PREV MENU
 2 = INTAKE                     CASE DATA
 3 = EN0100                     SCHEDULING
 4 = LH0100                     LOCATE HISTORY
 5 = IRS                        IRS OFFSET PROCESSING
 6 = DISP                       DISPOSITIONS
 7 = EN0350                     MONETARY DISP SUMMARY
 8 = FG0090                     PAYMENT HISTORY FORM
 9 = IN1000                     INTAKE/LOCATE FORMS 1
10 = IN1000                     INTAKE/LOCATE FORMS 2
11 = LH1000                     ORDER ENTRY FORMS 1
12 = LH1000                     ORDER ENTRY FORMS 2
13 = EN1000                     MISC FORMS 1
14 = EN1000                     MISC FORMS 2
15 = ES1000                     PATERNITY FORMS 1
16 = ES1000                     PATERNITY FORMS 2
17 = RPT170                     RECEIPT/DISBURSEMENTS

                                     *** 1 OF 1 ***
ENTER SELECTION 1 - 17
ERROR MESSAGES)
```

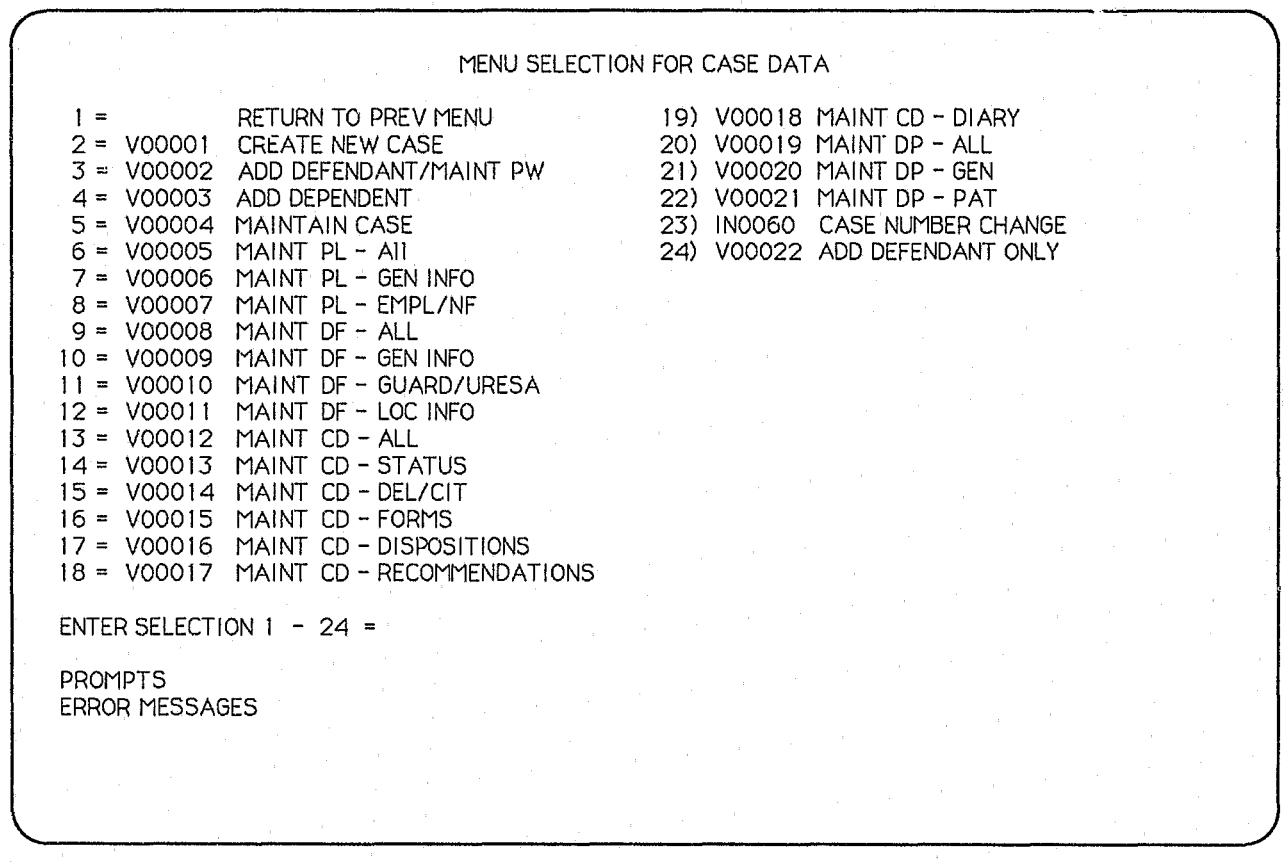
The Family Division Menu is used to establish, maintain and monitor active cases. Other capabilities accessed through this menu include:

The Case Data option provides for the creation and maintenance of case records.

Scheduling allows the user to find and establish an appropriate time and date for an office appointment or court hearing, but is not used in Allegheny County. Other selections from this menu allow the user to create or maintain "LOCATE" records, display payment history or an IRS offset record.

Also, various forms may be selected and printed from this screen.

CASE INFORMATION
FIGURE 3



MENU SELECTION FOR CASE DATA

```
 1 =          RETURN TO PREV MENU
 2 = V00001   CREATE NEW CASE
 3 = V00002   ADD DEFENDANT/MAINT PW
 4 = V00003   ADD DEPENDENT
 5 = V00004   MAINTAIN CASE
 6 = V00005   MAINT PL - All
 7 = V00006   MAINT PL - GEN INFO
 8 = V00007   MAINT PL - EMPL/NF
 9 = V00008   MAINT DF - ALL
10 = V00009   MAINT DF - GEN INFO
11 = V00010   MAINT DF - GUARD/URESA
12 = V00011   MAINT DF - LOC INFO
13 = V00012   MAINT CD - ALL
14 = V00013   MAINT CD - STATUS
15 = V00014   MAINT CD - DEL/CIT
16 = V00015   MAINT CD - FORMS
17 = V00016   MAINT CD - DISPOSITIONS
18 = V00017   MAINT CD - RECOMMENDATIONS
19) V00018   MAINT CD - DIARY
20) V00019   MAINT DP - ALL
21) V00020   MAINT DP - GEN
22) V00021   MAINT DP - PAT
23) IN0060   CASE NUMBER CHANGE
24) V00022   ADD DEFENDANT ONLY

ENTER SELECTION 1 - 24 =

PROMPTS
ERROR MESSAGES
```

The Case Information module provides for entry of basic information on the plaintiff, the defendant(s), dependent(s), attorney(s), employer, paternity information, location information (physical description), case status, URESA data, guardian information, petitions filed and dispositions, and "diary" information (free-form data) and tickler items on the case. An extensive group of menus are available to produce all necessary notifications and court order documents. The forms and orders produced by the system are normally not produced in hard copy for the court's paper case file, therefore, paper handling and filing tasks dramatically. A total of seven data entry screens are necessary for the establishment of the case information record on the plaintiff, defendant and dependents.

CASE INFORMATION: CREATE NEW CASE
FIGURE 4

```
IN0201 - 1 OF 1                    CSS PLAINTIFF          XXXXXXXXXXX

 1) SSN          : XXX-XX-XXXX
 2) L NAME       : XXXXXXXXXXXXXXXXXXXXX
 3) MAIDEN       : XXXXXXXXXXXXXXXXXXXXX
 4) F NAME       : XXXXXXXXXXXXXXXXXXXXX
 5) MI NAME      : XXXXXXXXXXXXXXXXXXXXX
 6) STREET 1     : XXXXXXXXXXXXXXXXXXXXX
 7) STREET 2     : XXXXXXXXXXXXXXXXXXXXX
 8) CITY         : XXXXXXXXXXXXXXXXXXXXX
 9) STATE        : XX       10) ZIP: XXXXXXXXX
11) H PHONE      : (XXX) XXX-XXXX XXXXXXX
12) A PHONE      : (XXX) XXX-XXXX XXXXXXX
13) B DATE       : MM-DD-YY
14) B STATE      : XX
15) B CITY       : XXXXXXXXXXXXXXXXXXXXX
16) ETHNIC       : XXXXXXXXXXXXXXX
17) SEX          : XXXXXX
18) MARITAL      : XXXXXXXXXXXXXXX
19) MEDICAID     : XXXXXXXXXXXXXXX

20) ADC RECP     : XXX
21) GRANT        : Z,ZZZ.99
22) IVD NMBR     : XXXXXXXXXXXX
23) ADC ASGN     : MM-DD-YY
24) ADC CLSE     : MM-DD-YY
25) OTHER IVD    : XXXXXXXXXXXX
                   XXXXXXXXXXXX
                   XXXXXXXXXXXX

26) ATTORNEY     : XXXXXXXXXXXXXXXXXXXXXX
    FIRM         : XXXXXXXXXXXXXXXXXXXXXX
    STREET 1     : XXXXXXXXXXXXXXXXXXXXXX
    STREET 2     : XXXXXXXXXXXXXXXXXXXXXX
    CITY         : XXXXXXXXXXXXXXXXXXXXXX
    STATE        : XX       ZIP: XXXXXXXXX
    PHONE        : (XXX) XXX-XXXX XXXXXXXXX
27) COMMENTS     : XXXXXXXXXXXXXXXXXXXXXX
28) INTRVIEW     : MM-DD-YY


DISPLAY / NAMES
PROMPTS
ERROR MESSAGES
```

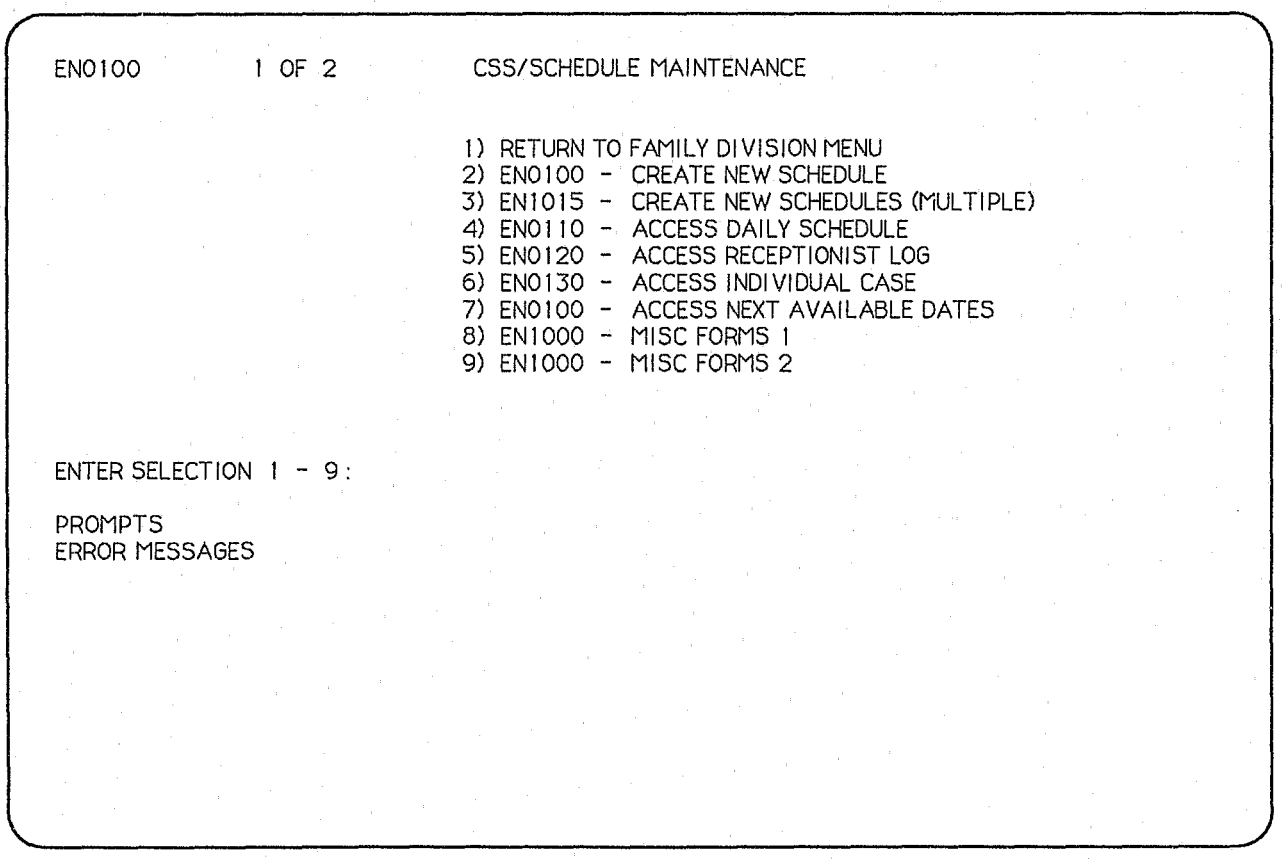
This Case Information screen controls the creation, maintenance, and display of Plaintiff data. The operator must proceed to at least the Defendant screen before the FORMS and DIARY options will be effective.

Information for entry on this screen is taken from a worksheet previously prepared by the plaintiff and through an interview by the case worker that proceeds as the data is being entered.

'HELP' screens are available for selected fields which display a table of acceptable codes.

Additional case information screens capture data on the defendant and dependents.

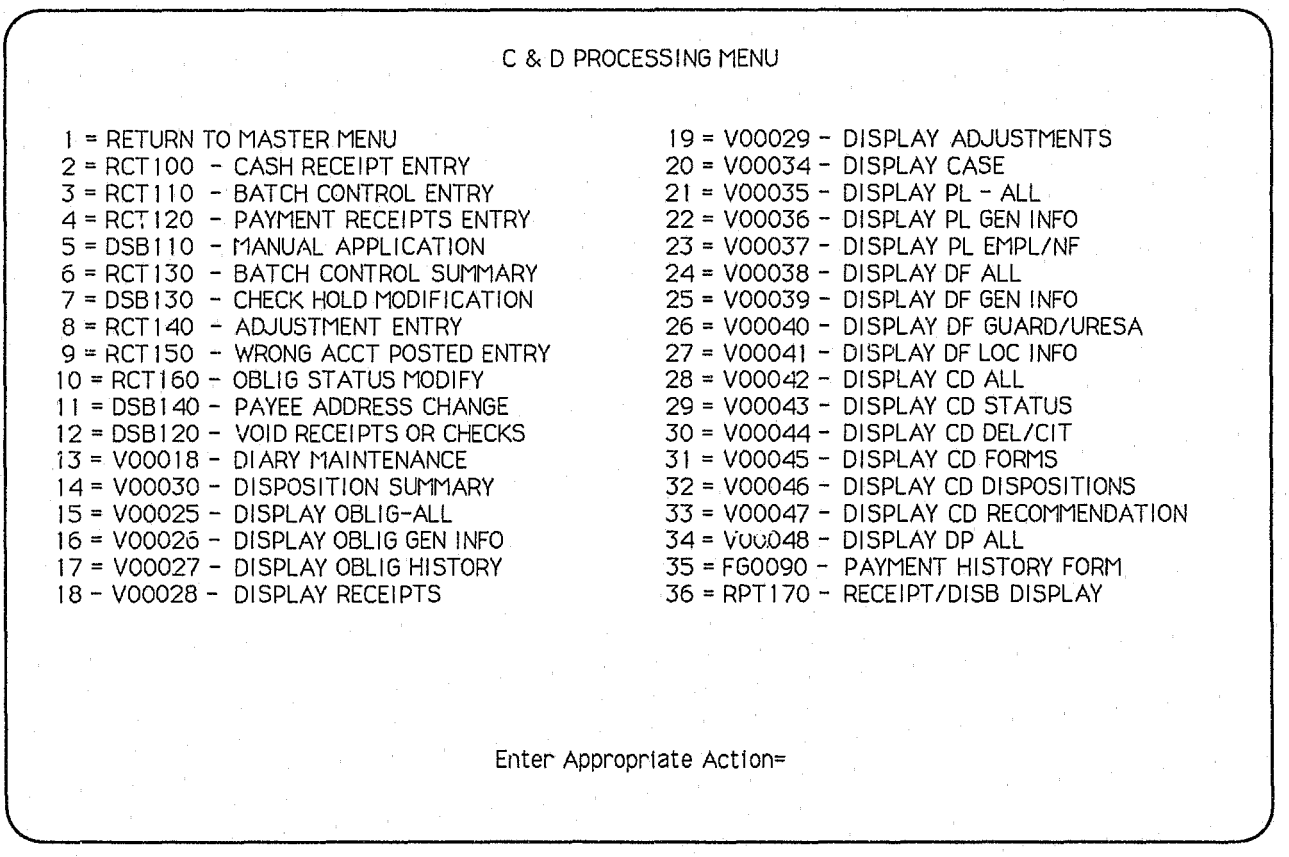
SCHEDULING
FIGURE 5



The scheduling maintenance module allows the user to schedule cases to be heard by a specified hearing officer. Each hearing officer record includes a maximum number of cases to be heard on a particular day. The system automatically creates a daily schedule and allows the user to reserve a time for the case. Through a cross reference function, the system can display all dates for which a particular case has been scheduled.

This module is available but not currently used in Allegheny County because the system doesn't "require" it and the manual method and personal contact seems to work alright at the present time.

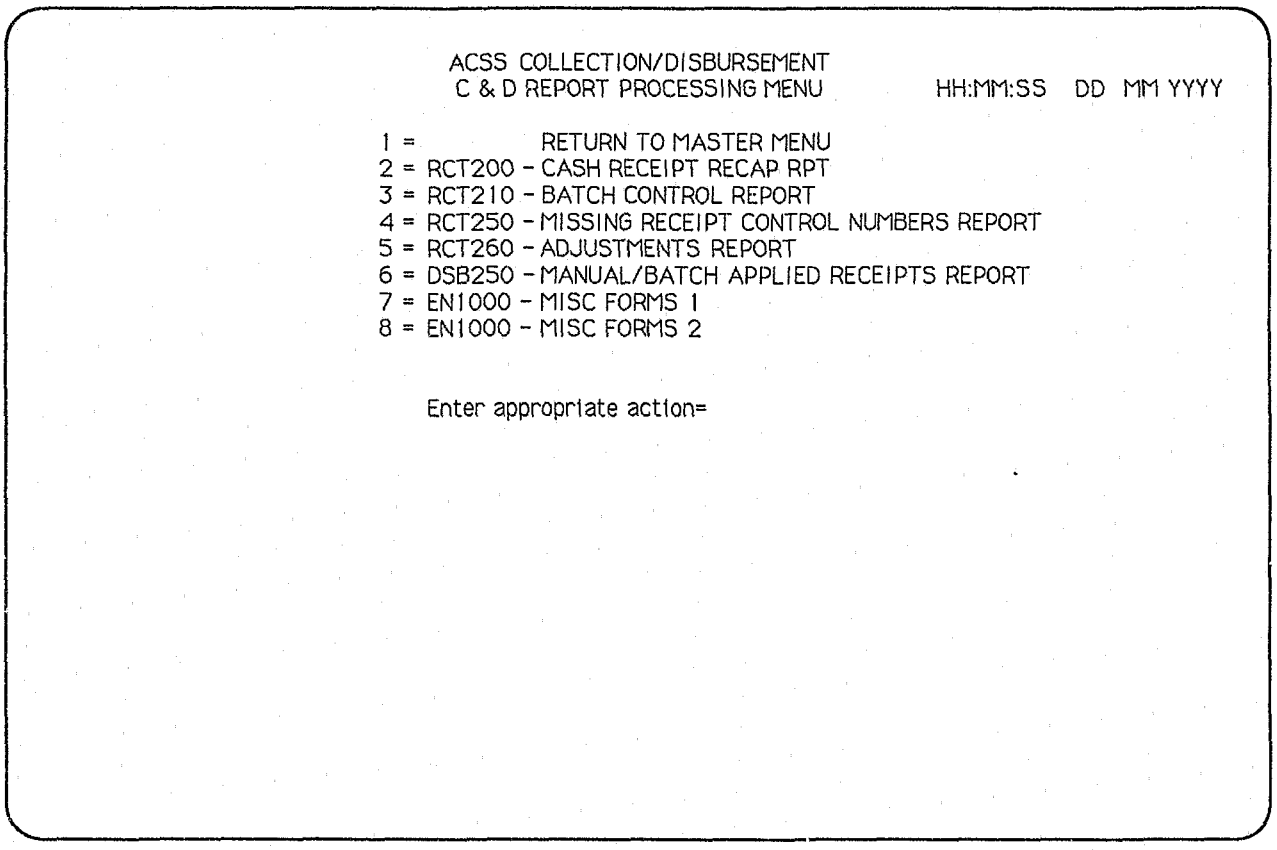
COLLECTION AND DISBURSEMENT PROCESSING
FIGURE 6



Over 90 percent of payments on child support accounts are received through the mail from individual obligors or employers for accounts in an income withholding status. This still leaves about 5,000 accounts to be paid over the counter. Payment cycles range from weekly to monthly. Payments are processed and entered into the system in batches.

The Cash & Disbursement Processing module allows the court to record all monies received and, through batch processing, disburse payments directly to the payee. Manual application can also be applied to override these automatic features of the system. An extensive amount of editing is performed to ensure that all receipts and disbursements agree. Batch processing and editing is done to ensure proper accounting controls and audit trails.

CASH AND DISBURSEMENT REPORTS
FIGURE 7



C & D Reports are produced for management information or accounting controls for review by the accounting supervisor. Some of the reports are produced regularly as a part of the nightly processing routine and some on request.

The C & D Report Processing Menu provides the following report capabilities:

Cash Receipt Recap Report contains a listing of the entries made on the Cash Receipt Entry Screen.

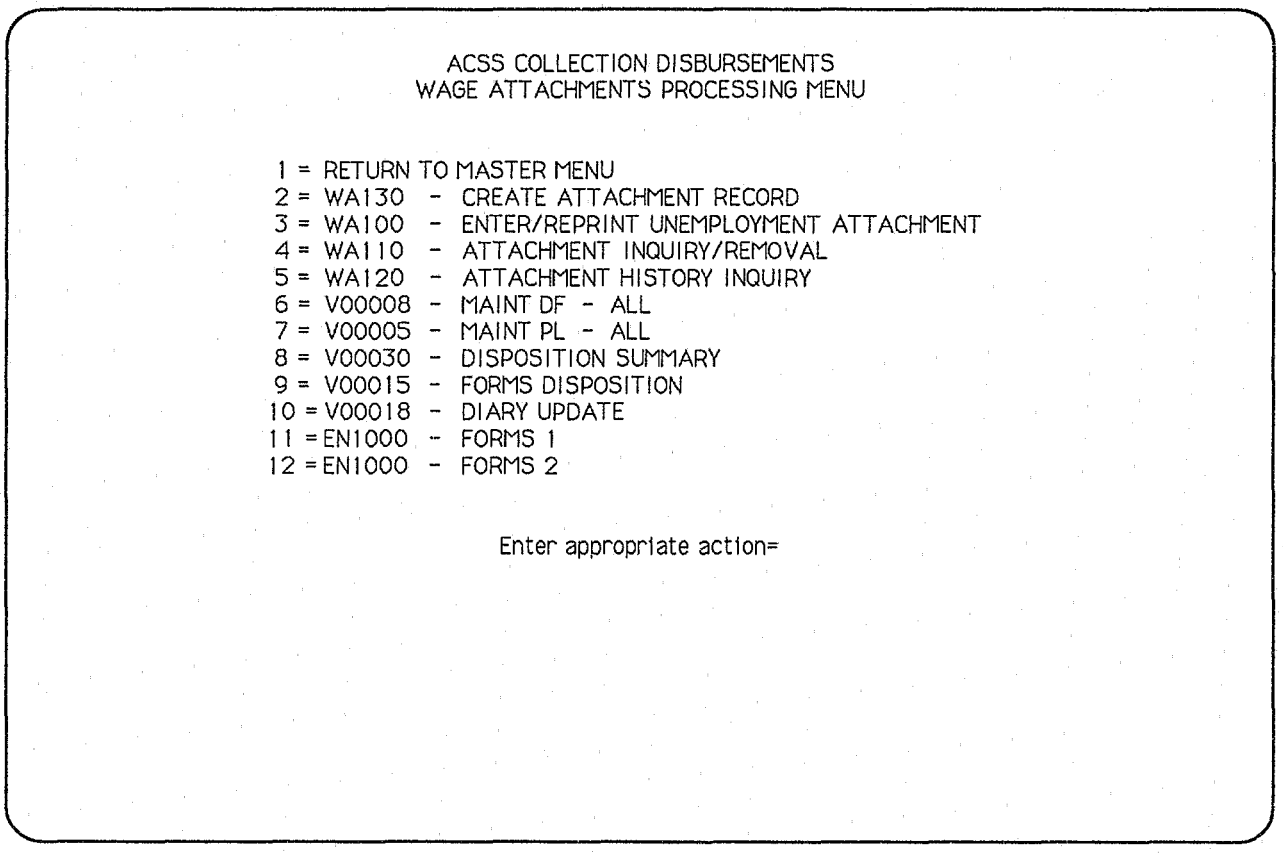
Batch Control Report lists a summary of the entries made in Batch Control Entry and Payment Receipts Entry.

Missing Receipt Control Numbers Report contains missing control numbers listed by receipt number for a user-specified range of days.

Adjustment Report lists adjustments made for a user-selected range of dates.

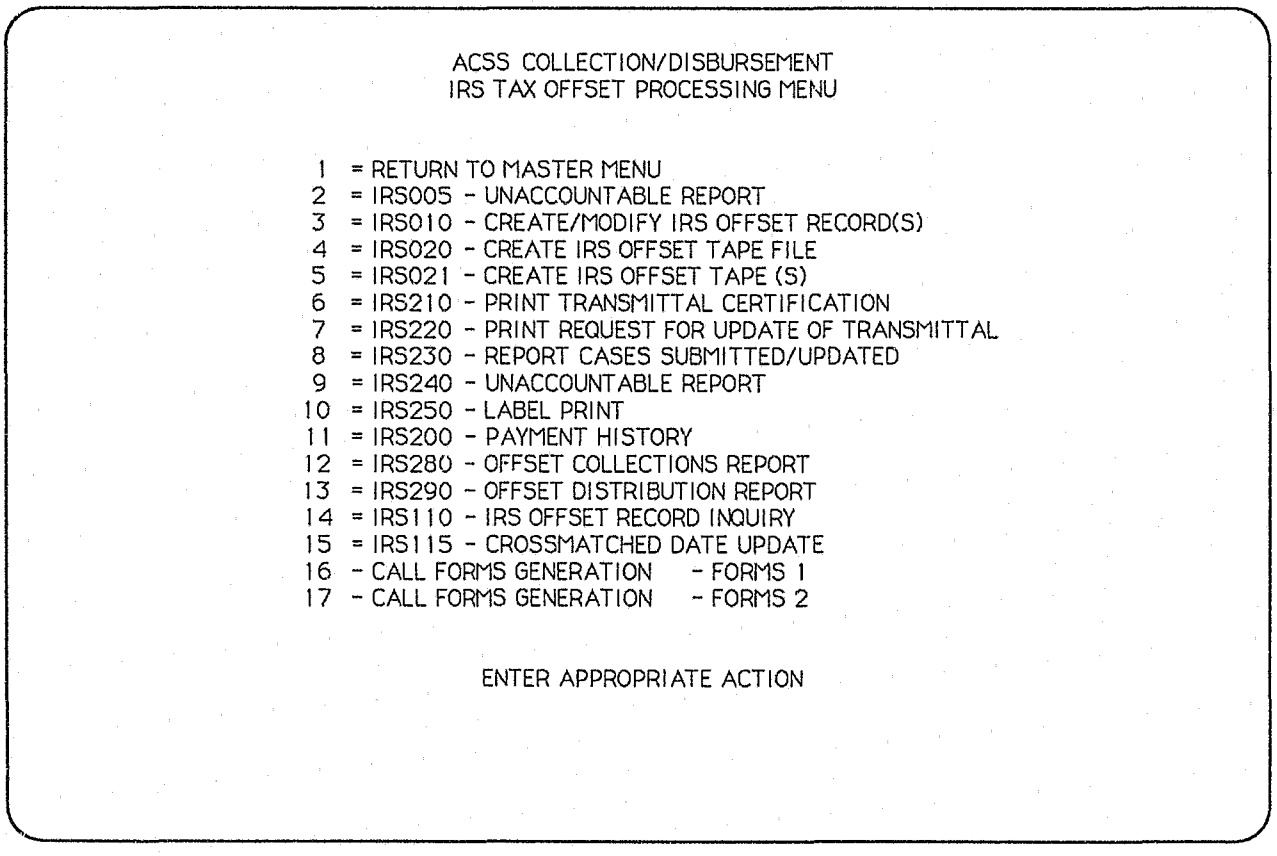
Manual/Batch Applied Receipts Report lists all receipts applied to a specific day through batch and/or manual application.

WAGE ATTACHMENT
FIGURE 8



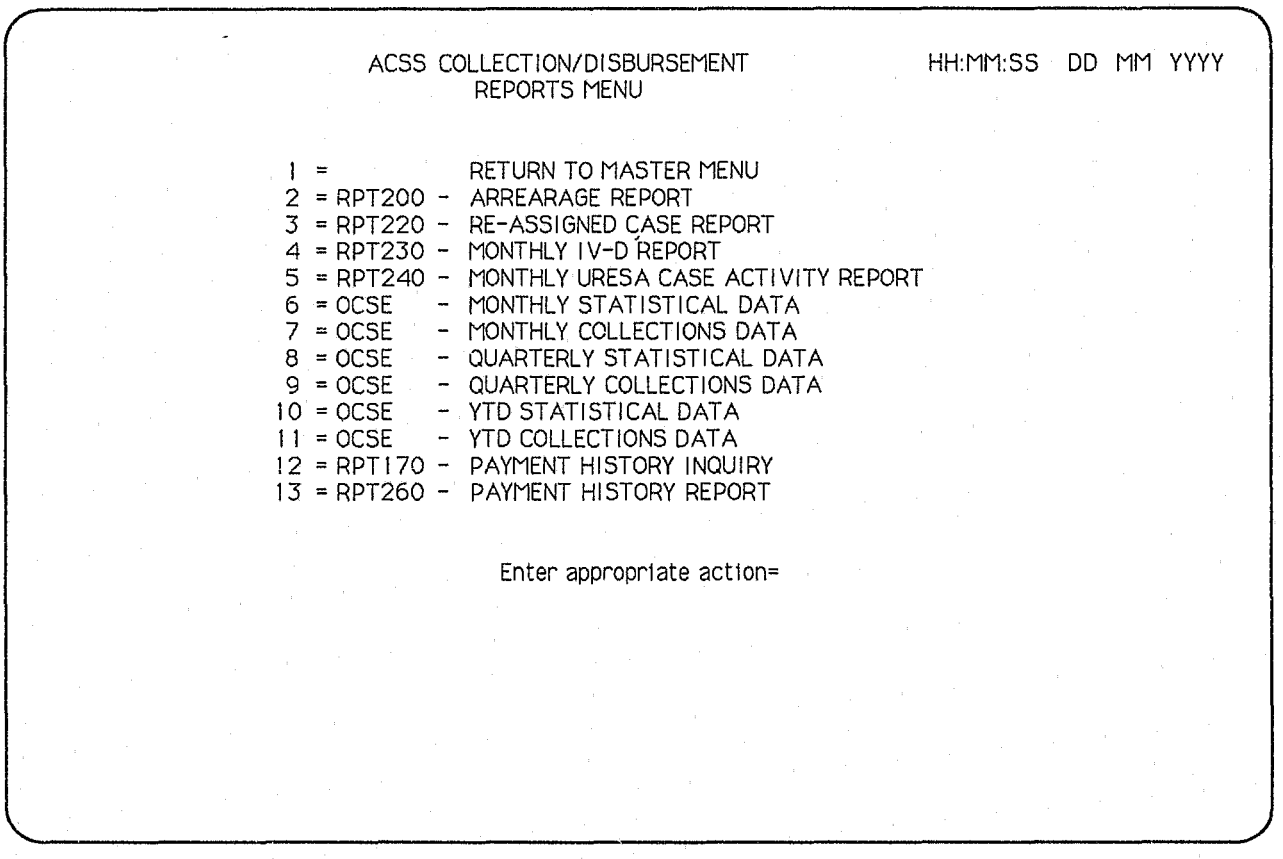
The Wage Attachment module allows the court to maintain and monitor all cases where voluntary or involuntary wage attachments are made for payment of child support or when an attachment is to be made to a payor's unemployment compensation. Attachment records are established, appropriate documents are produced, the defendent or plaintiff information records are made available for updating, and inquiry options allow the court to monitor receipts.

IRS OFFSET PROCESSING
FIGURE 9



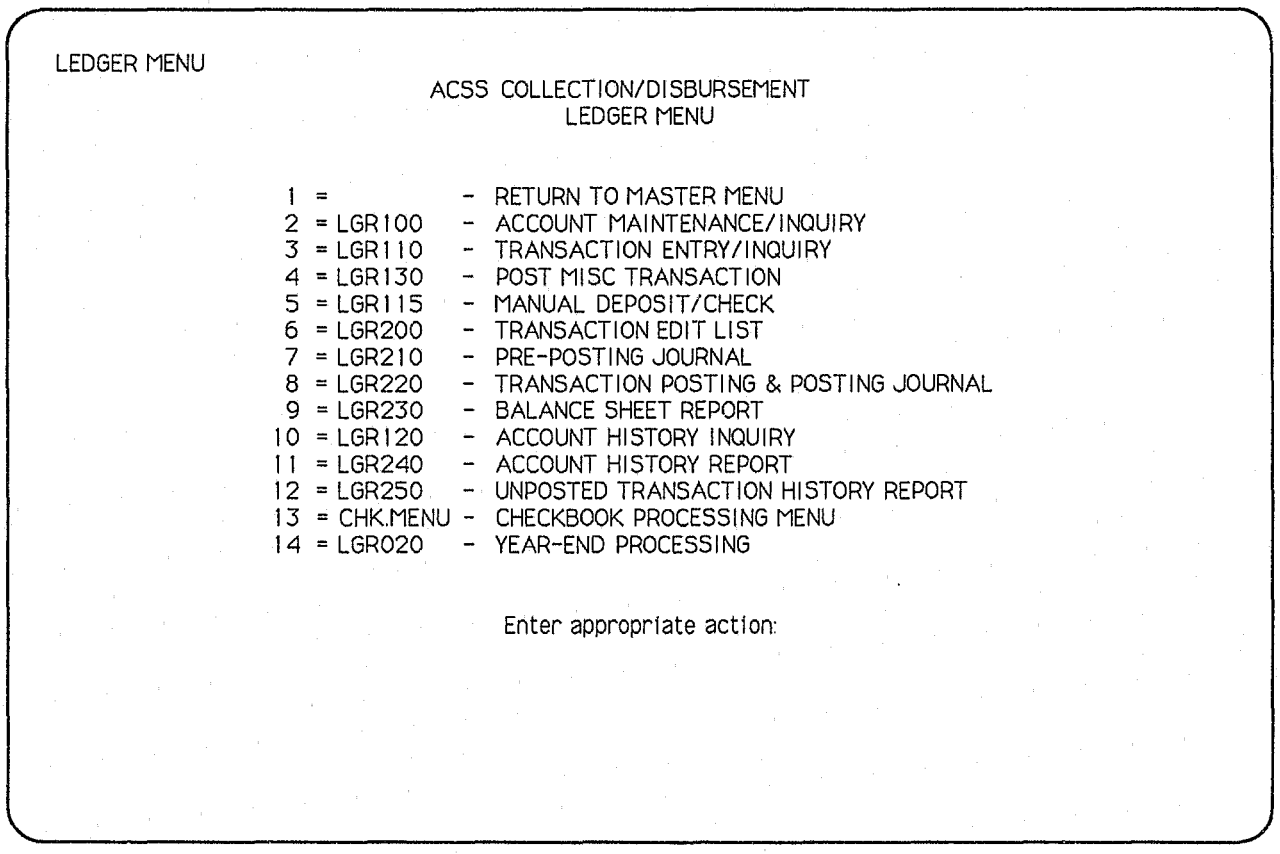
The IRS offset module provides for the creation and submission of original and updated tapes. It also allows IRS related activity to be tracked for five years.

MISCELLANEOUS REPORTS PROCESSING
FIGURE 10



The Miscellaneous Reports Processing module allows the selection of various reports including statistical data, monthly IV-D report, URESA case activity, and payment history reports.

LEDGER AND CHECKBOOK PROCESSING
FIGURE 11



This Ledger module is used to create and maintain general ledger and checkbook accounts, to generate reports on the activity of the accounts and to perform posting and year-end processing functions.

Documentation

Full system documentation is available and provided to the site as needed including user and training manuals, functional and technical specifications, a system operator manual, a code table manual, Data Dictionary and program specifications, Manager Reports Manual, Forms Manual, Security Manual and Installation Manual.

Hardware Requirements

The hardware configuration used in Allegheny County is the Prime Model 9955II using the PRIMOS Version 2.0 operating system. 4MB of core memory is required for the operating system and the application software. Other environments supported include any 80386 micro or micro-based multi-user machine as well as mini computers, including Unysis 5000, 6000 and 7000 series machines with the Unix operating system and Universe relational database.

Security

There are three levels of access security supported by the system: system access; recovery; and audit. The caseworker must first be authorized to log into the computer and then be authorized to use the child support account. Within the child support system each program has one or more sets of authorization lists each consisting of authorized users and authorized terminals. The authorized lists are used to specify create, modify, and display rights. A record of all logon activity is maintained as is a record of attempts at unauthorized access.

All on-line transactions are recorded in a log file. The record contains the image of the data before and after the change, caseworker identification, terminal identification and time. This data can be used to recover from catastrophic failures.

The log file data can be used to research caseworker activity and security problems.

Training and Support

Anacomp will customize the training program for each site. The site may choose to have all personnel trained, or may choose to train key individuals who will then train other staff members. Lecture and hands-on training is used. Training manuals are provided by the vendor. The length of the training sessions vary depending on the site's needs.
Post-installation support from Anacomp is available on-site as well as via modem. The response time varies depending upon the support contract. Currently, third party support is unavailable.

Future Enhancements

In addition to new technologies, Anacomp will tailor the system to communicate between the courts and IV-D agencies or other organizations as appropriate and desired by the site. Anacomp is committed to keeping all systems they develop and support in compliance with new federal CSE regulations and are open to the incorporation of any new technology, such as scanning and imaging, as appropriate.

Transfer Issues and Conclusion

Customization of this system is primarily made by Anacomp staff under contract to the site. The database design and the use of tables and menus provide some flexibility for on-site customization. Additional customization can be done for sites familiar with INFORMATION.

The Anacomp Child Support System reviewed in Allegheny County is a complete court based case management and support payment system. There are several additional modules and enhancements available which have been developed for other sites and can be discussed with Anacomp. As a child support system, it may be attractive to other large metropolitan courts or for statewide application. The approximate total cost for the Anacomp Systems, which include software modification development and hardware range from $250,000 for a county-based system to $2 million for a statewide system.

For further information, please contact:

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FAMILY COURT JUVENILE INFORMATION SYSTEM

RHODE ISLAND FAMILY COURT

PROVIDENCE, RHODE ISLAND

Prepared By

MAUREEN H. AVENO
Programmer/Analyst

FAMILY COURT JUVENILE INFORMATION SYSTEM

RHODE ISLAND FAMILY COURT

PROVIDENCE, RHODE ISLAND

In 1976, the Rhode Island Family Court was chosen by the National Council of Juvenile and Family Court Judges to become a national juvenile automated information system model. Through the combined efforts of the National Council of Juvenile and Family Court Judges, Arthur Young (PC), and the Rhode Island Judicial Systems and Sciences (RIJSS) staff, the Juvenile Information System Records Access (JISRA) was designed and installed on the state's IBM mainframe in 1979. In 1982, RIJSS staff assumed the responsibility for rewriting the system to operate on newly purchased Wang VS Computer equipment and to develop additional features of the system. The conversion and design enhancements were completed in July 1982.

Installation of the system has dramatically reduced the clerical workload and vastly improved the court's ability to manage caseloads, track individual cases and schedule hearings. The system allows users to answer inquiries without having to locate the physical file folder. A file location field in the system assists with paper file retrieval. Information regarding court hearings, filings and dispositions are entered the same day the action occurs. This provides timely data to all locations of the court. Two terminals have been installed on the bench for use by judges. Judges are able to quickly scan the system for historical data that can be used in the judicial decision making process.

The Family Court Juvenile Information System is an excellent system for medium to large limited and special jurisdiction courts with a need to more efficiently and effectively manage their caseload. The system's modular design, extensive use of menus and tables, and clear programming structure makes this an excellent system for transfer to other courts.

The Rhode Island Family Court Juvenile Information System is public domain software. A transfer fee is charged by the state of Rhode Island to partially defray development costs. The system may be obtained through the transfer agent, the National Center for State Courts.

For further information on the system, please contact Technical Services, National Center for State Courts, 300 Newport Avenue, Williamsburg, Virginia 23187 (804) 253-2000 (Ext. 343).

Rhode Island Court Organization/Administration

The State of Rhode Island and Providence Plantations is the smallest state in the United States. It is, however, one of the most densely populated states (905 persons per square mile in its 1,214 square miles of area).

Rhode Island has a court system consisting of four unified statewide courts: the Supreme Court is the court of review and last resort; the Superior court is the general jurisdiction trial court; the District and Family courts are courts of limited and special jurisdiction. The Probate and Municipal Courts are not in the unified system, but are also courts of limited and special jurisdiction. The unified court system is state funded while the Probate and Municipal Courts are locally funded.

All judicial data processing is the responsibility of the Rhode Island Judicial Systems and Sciences (RIJSS) department within the Administrative Office of the State Courts. In 1980, RIJSS began development of a new integrated information system for the state courts. These systems and the hardware they operate on are the responsibility of RIJSS. Due to the numerous inquiries within Family Court and its associated agencies, the court developed the staff capability for system design and development in the mid-1980's. The Rhode Island Family Court's program modification and file maintenance is now under Family Court control although the hardware responsibilities still remain with RIJSS.

Rhode Island Judicial Systems and Sciences operates with an annual budget of approximately $1 million. This budget is for the operation of all systems within the statewide integrated court system. It is estimated that Family Court's hardware budget is approximately 12-15 percent of this amount.

System Review Procedures

National Center project staff visited the Rhode Island Family Court, interviewed RIJSS system staff, and reviewed the system in operation. Staff interviewed included:

Mr. Earl J. Croft, Jr., Administrator of the Rhode Island Family Court
Ms. Arlene E. Maloney, Principal Deputy Clerk of Systems
Ms. Janet Diano, Chief Clerk, Juvenile Office
Ms. Elaine Wood, Data Entry Supervisor
Mr. Edward Plunkett, Director, RIJSS

Family Court Demographics

The Family Court is a statewide court that sits in four locations. It is a court of limited jurisdiction which hears all domestic relations and juvenile cases in the state of Rhode Island. The caseload consists of the following types of cases: wayward and delinquency petitions; adoptions; dependent/neglect/abuse cases; and termination of parental rights. The juvenile division processes approximately 7,000 petition filings per year.

SYSTEM OVERVIEW

The Rhode Island Family Court Juvenile Information System:

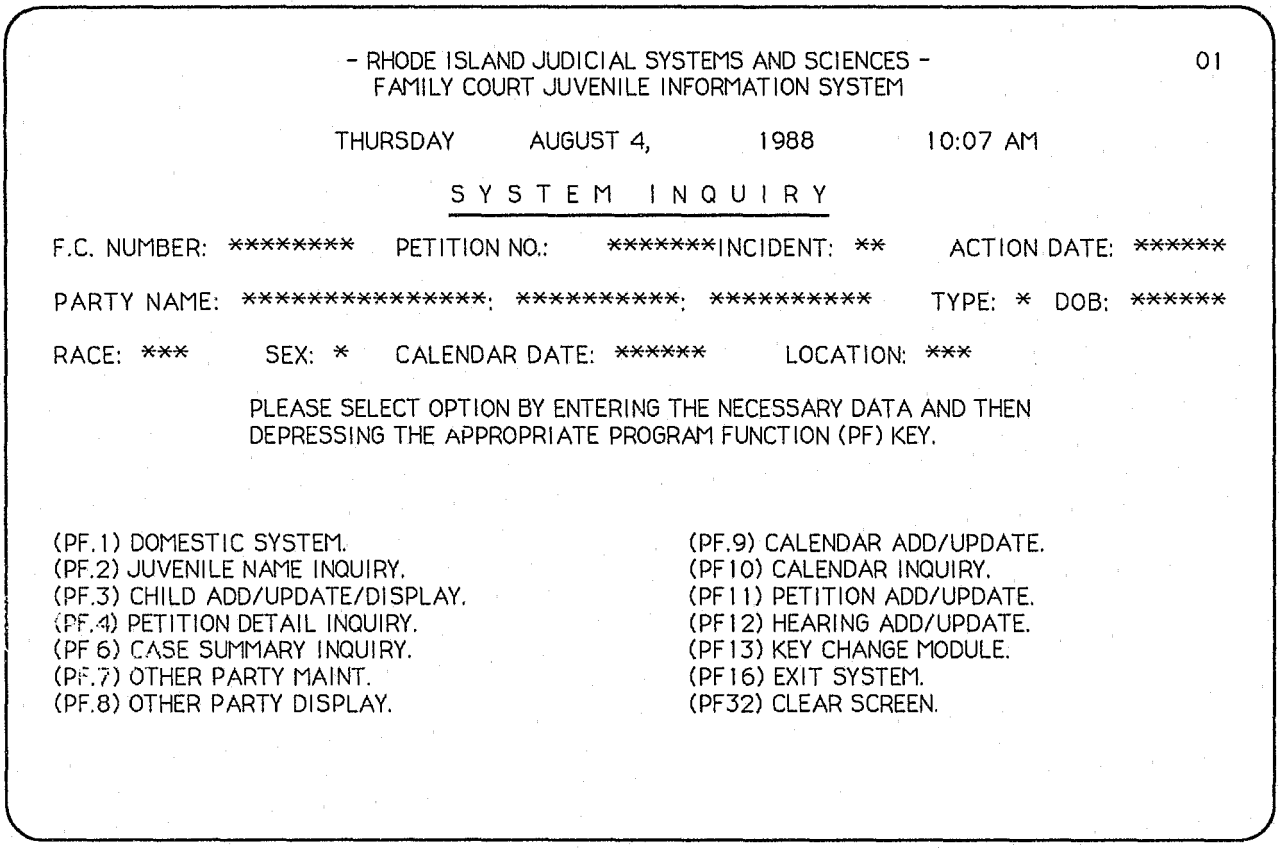
- Maintains court dockets
- Produces calendars, indexes, and caseload and caseflow reports.

The system was designed to be an integral part of court operations and has replaced most manual recordkeeping functions. It is used by clerical personnel in the Family Court to assist in juvenile case processing, by the Family Court judges and administrators to assist in case management, and by the Supreme Court in overall management of the Rhode Island Courts. The system does not generate notices and has no financial capabilities.

The system is connected via menus with the other systems being run by RIJSS. There is however, no data shared between any of the systems. The system is function key driven, with descriptions of available system functions listed on the bottom of the screens. The juvenile module is transaction driven and makes extensive use of tables that associate codes with textual translations (e.g., location of physical file, race, language spoken, living arrangement, job status, relationship of adult to child, marital status). The system is divided into distinct on-line inquiry, file maintenance, and printed output generation components and uses tables to secure functions to specific users.

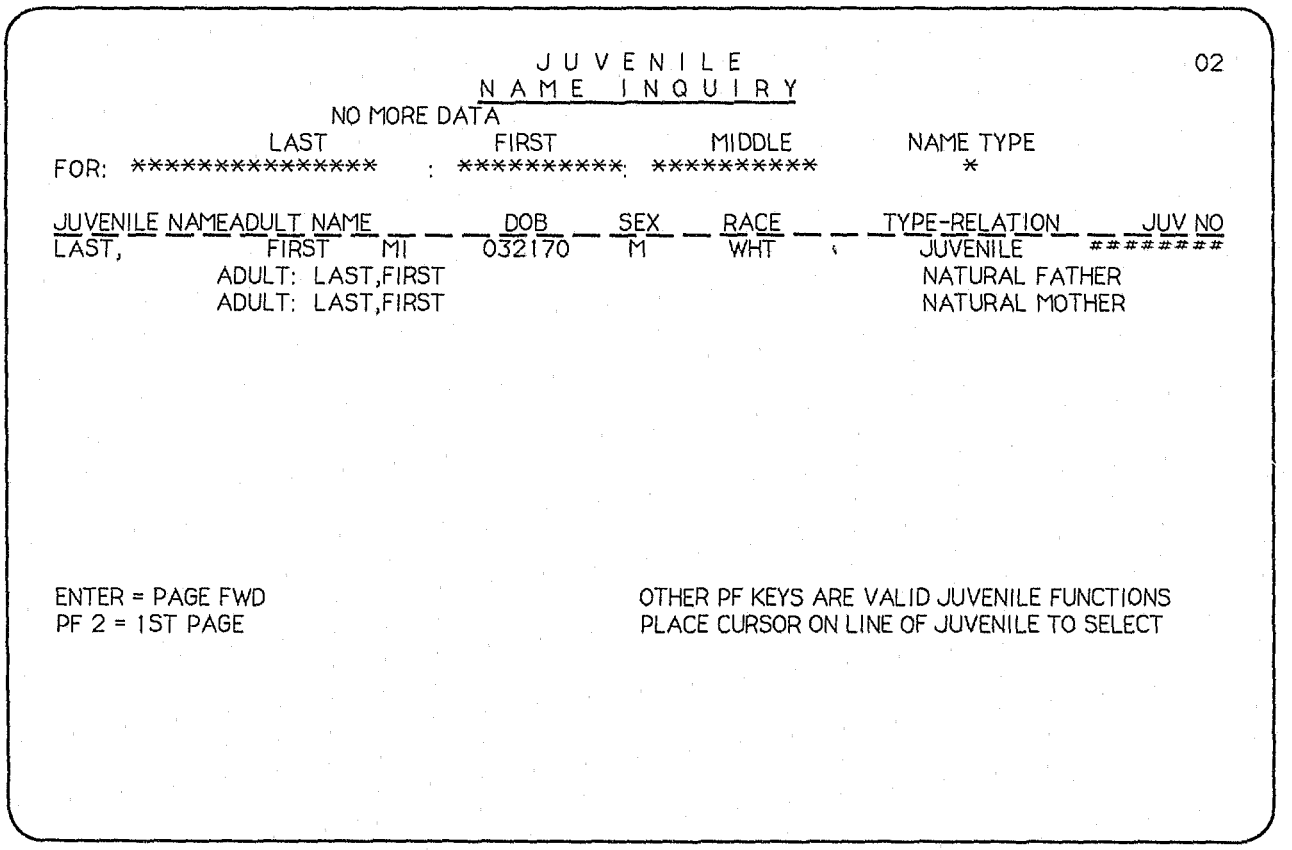
The following screens are reprinted to illustrate the flow of information within the system. The screens illustrate the ease of use and provide examples of the data element information captured by the system. For more information, please refer to the user's manual.

MAIN MENU
FIGURE 1



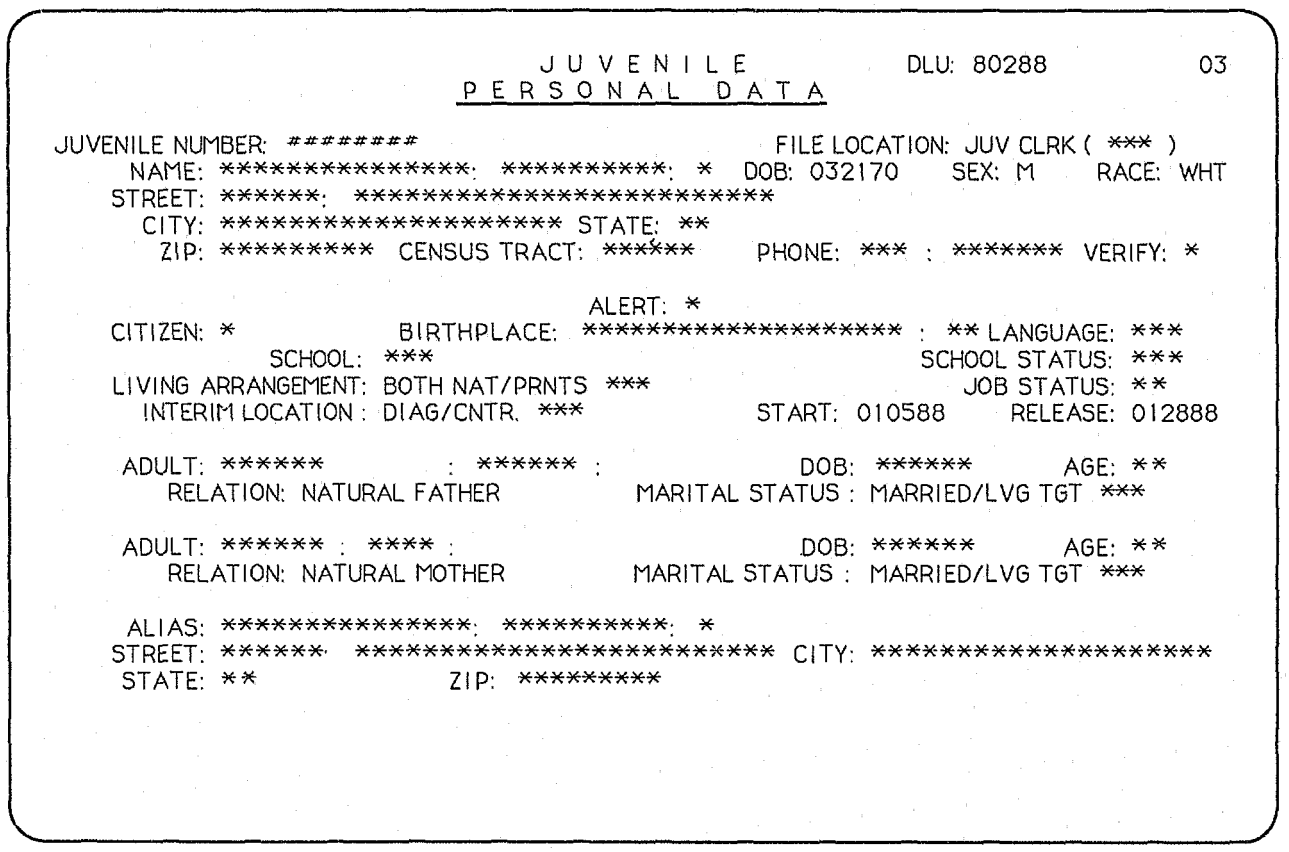
The system is modular in design and each of the functions listed on the main menu screen are a separate program. All programs are linked through the main menu program and users may proceed from function to function transparent of main menu processing.

JUVENILE NAME INQUIRY
FIGURE 2



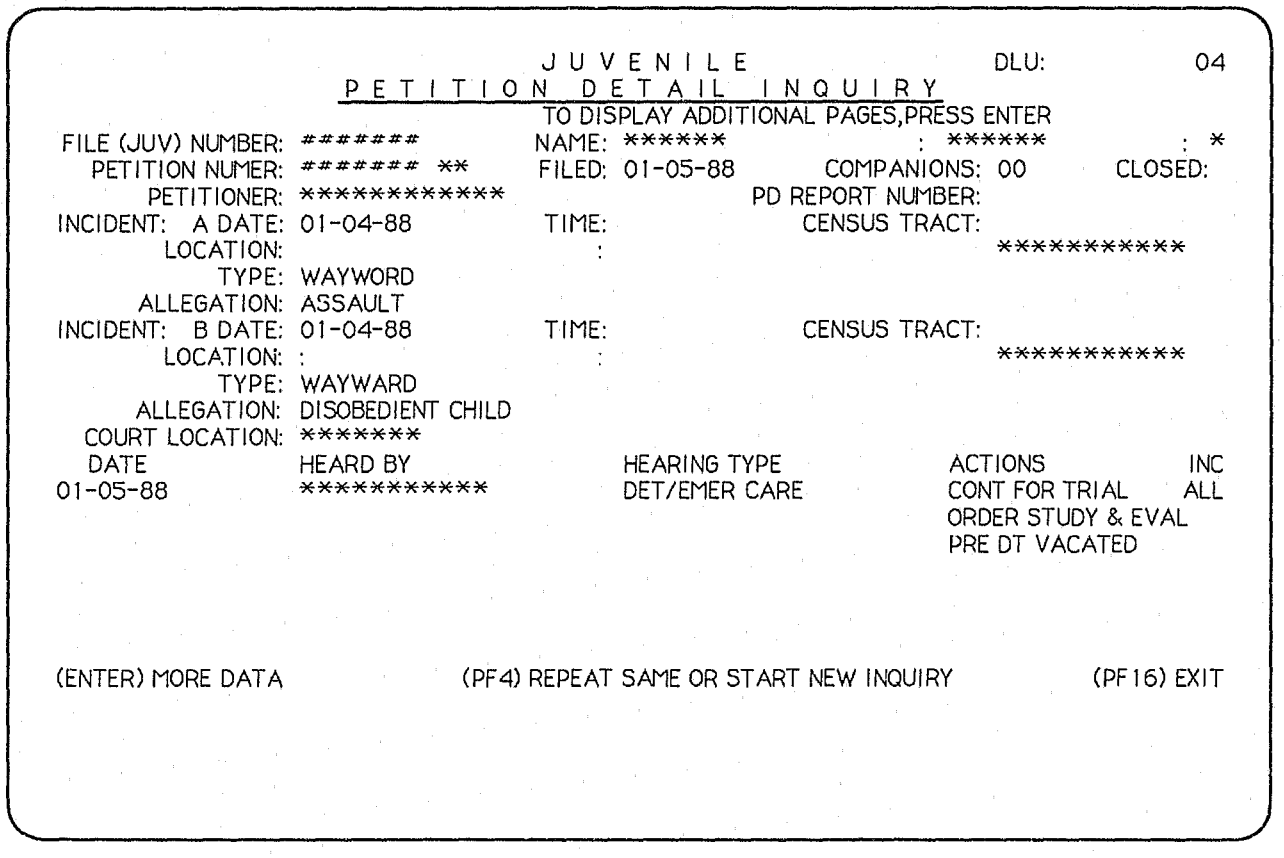
The system provides name searches for both juveniles and adults. The searches are based on a phonetic code generated by the system for each name. This allows the users to display names which sound similar if the exact spelling is unknown. The juvenile name is also stored in a coded format in the actual data file for protection to juvenile records. The name display lists the juvenile and adult names, the date of birth of the juvenile, sex, race, relation to adult, and juvenile number.

JUVENILE PERSONAL DATA
FIGURE 3



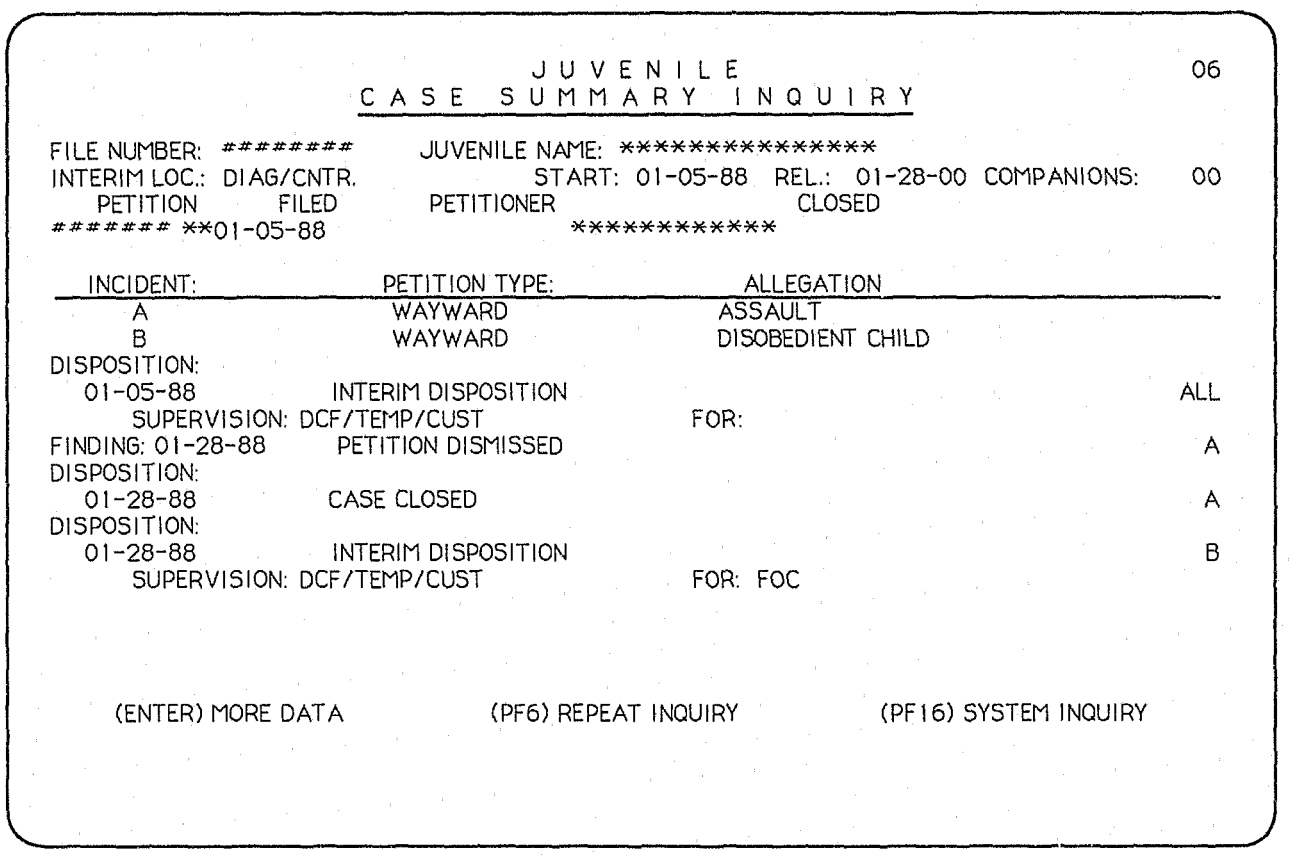
This is the only module in the system where all functions (add, update, and display) are performed on one screen. This screen contains all personal information on the juvenile.

PETITION DETAIL INQUIRY
FIGURE 4



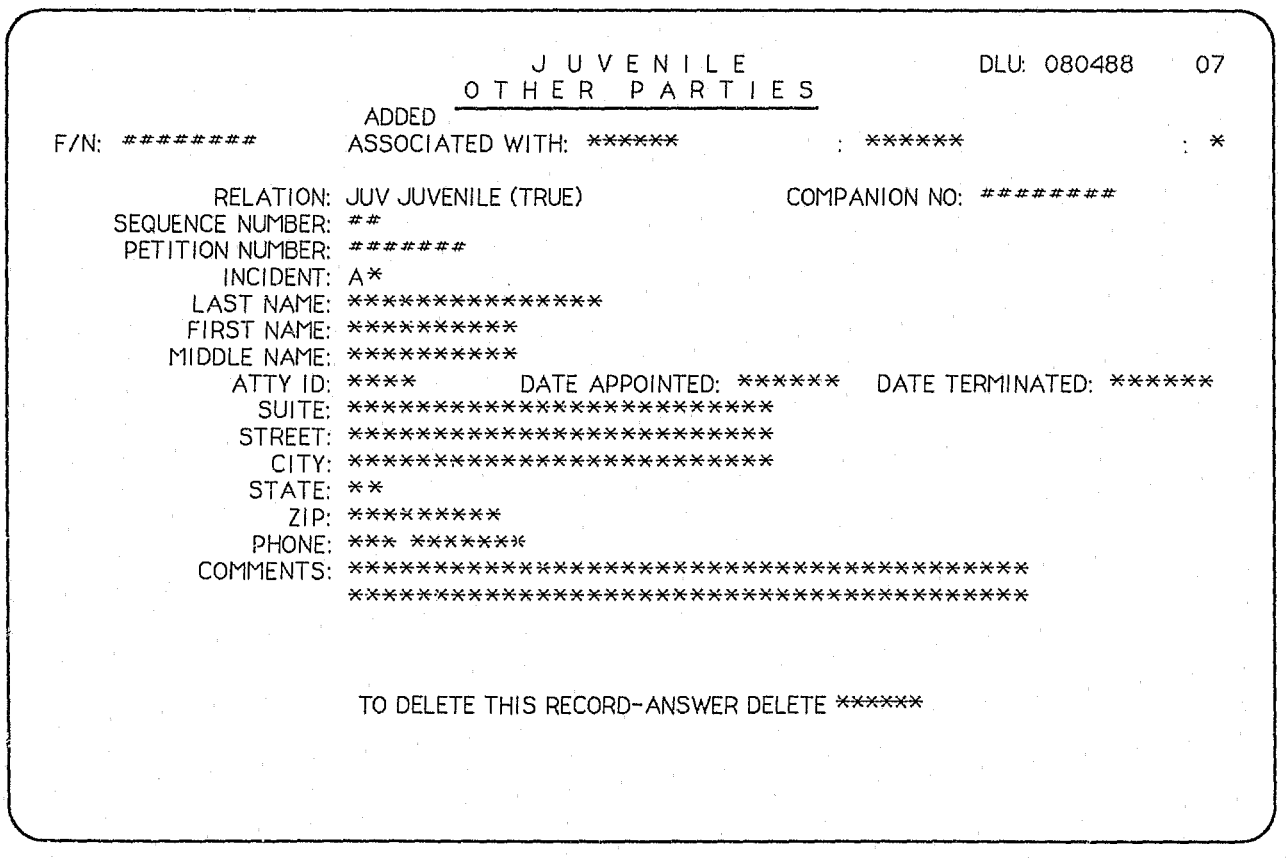
This module presents the petition information in display format only. Information includes the date and time of the incident, arresting police department, allegation, assigned intake officer and intake hearing and disposition information if available. All information entered in Petition Add/Update is displayed in this module.

CASE SUMMARY INQUIRY
FIGURE 5



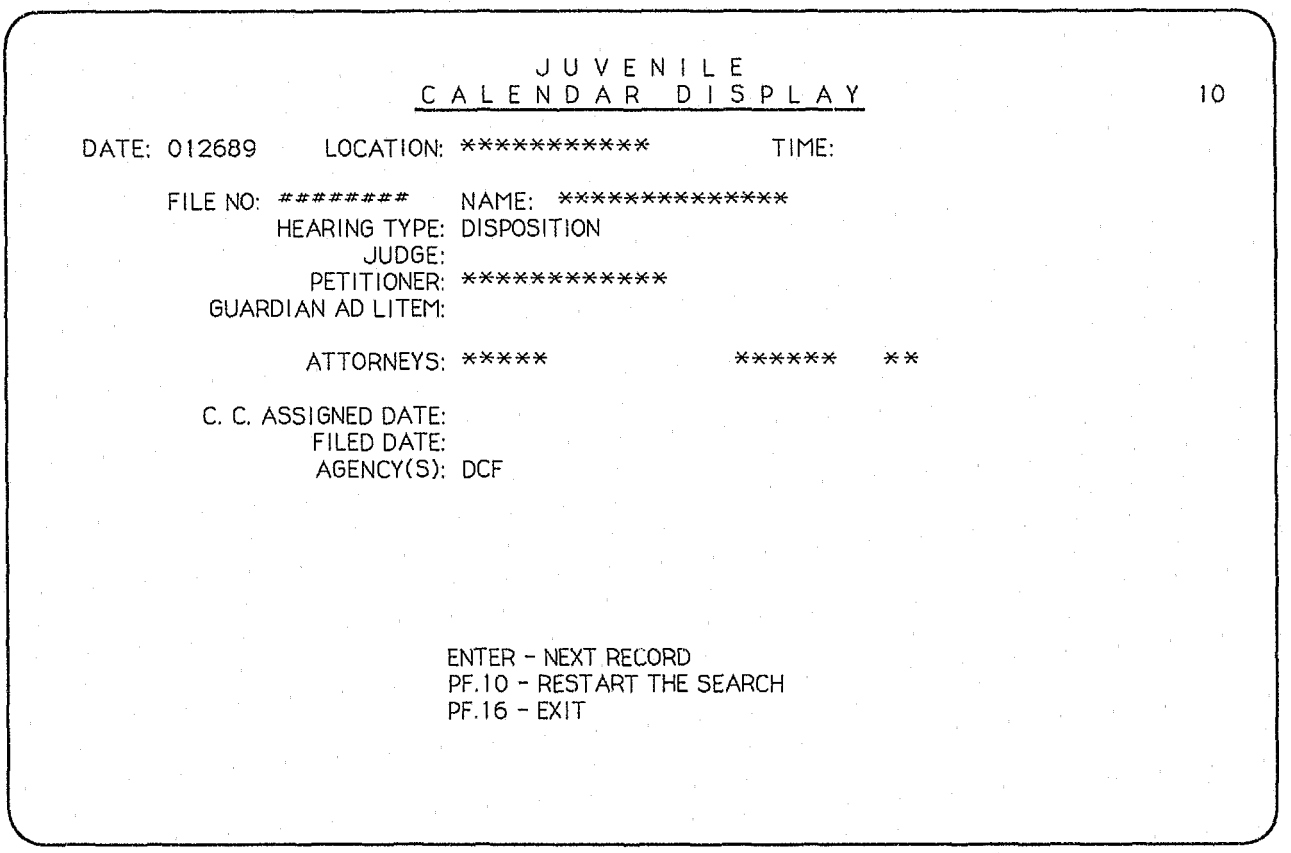
This module provides information on all petitions involving a juvenile. The user enters the juvenile number to display all petitions for a juvenile or the juvenile number and the petition number to display the summary of a specific petition.

OTHER PARTY MAINTENANCE
FIGURE 6



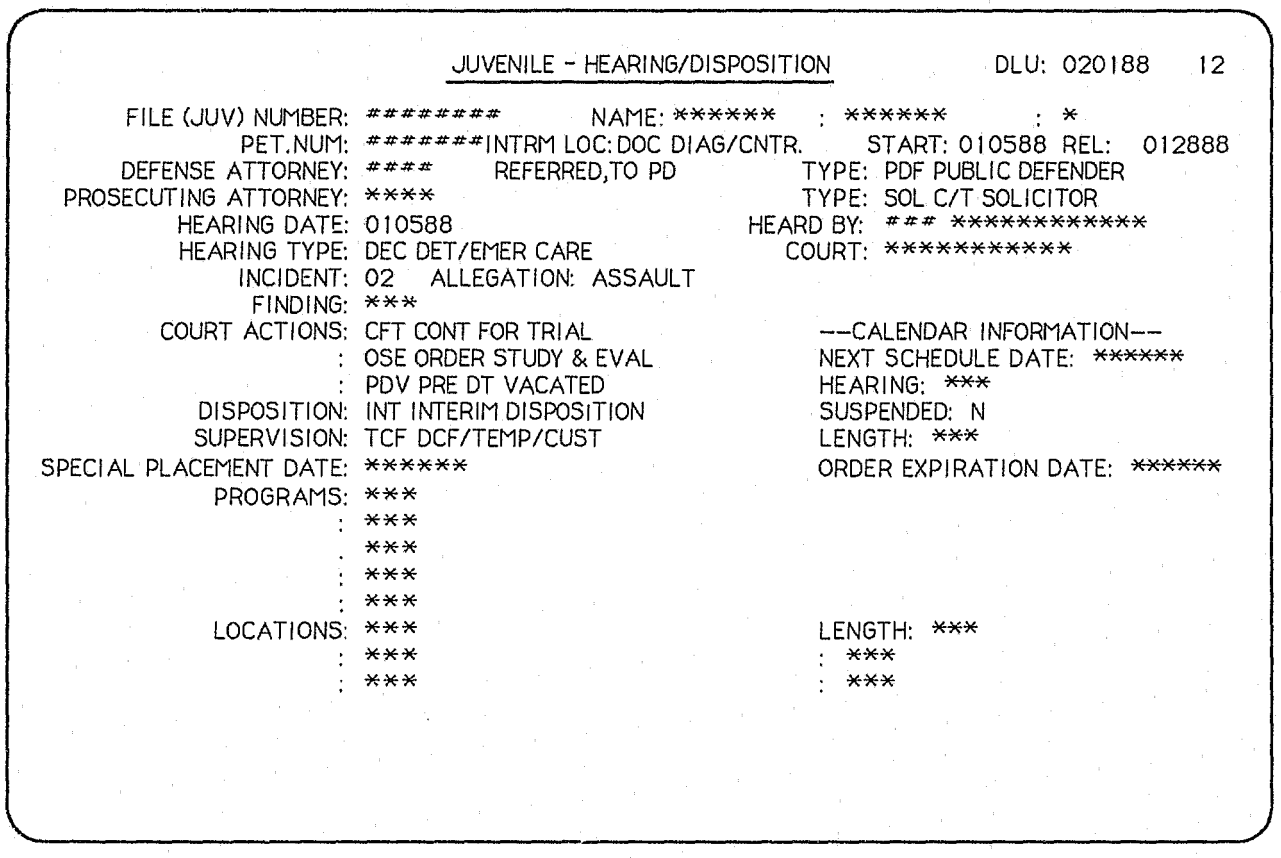
This module is used to add persons related to the juvenile or the petition in any way. These parties include companions, witnesses, agencies, or natural parents in an adoption case. The information added through this module may be displayed through the Other Party Inquiry module.

CALENDAR INQUIRY
FIGURE 7



Calendar inquiry allows the user to inquire by scheduled date, scheduled date and location, or juvenile number. Using inquiry by scheduled date, the system will display all cases scheduled for that date in juvenile number order. Using inquiry by scheduled date and location, the system will display all cases scheduled for that date and location in juvenile number order. Using inquiry by juvenile number, all scheduled actions for that petition will be displayed in date order. All information entered in Calendar Add is displayed in this module.

HEARING ADD/UPDATE
FIGURE 8



This module processes all court hearings. Future scheduled events may also be entered on this screen. This is the most complicated screen of the system and the most important. All statistics and most reports are based on the information entered in this module. The information entered in this module also appears in summary format in the Case Summary module and the Petition Detail module.

Management Reports

In addition to the docket, the juvenile system indexes all parties and attorneys and produces hearing calendars. It also produces all of the following management reports:

- Status of pending caseload by trial type and court location
- Manner of disposition by trial type and court location
- Manner of disposition by case age at disposition
- Manner of disposition by case type
- Age of disposed cases by trial type and court location
- Time intervals for case processing events in disposed cases by trial type and court location
- Age of pending caseload by case type, trial type and court location

Through utility programs in the Wang VS operating system, user-defined ad hoc reports that are not included in the system design may be obtained quickly and easily.

System Control

The Key Change module allows correction or deletion of those fields which comprise the primary index of the various files. The key change function is secured and can only be accessed by the system administrator.

The system has a full set of file maintenance programs that will allow the purge of all records, except the child information (to keep family history intact). Records are purged when the juvenile reaches 18 years of age; no action has occurred on any case in one year; or no probation until the age of 21 has been ordered.

Security

Module, file, and record security are supported by the application software. Through Wang security, each user is assigned a user ID and password to gain access to the system. Through table lookup, Wang security is used to determine the level of access to application software by particular users.

System Documetation

System documentation is available through an excellent set of utility programs in the Wang VS operating system. There is no detailed design document available for the juvenile system. However, there is an excellent users manual. System documentation is provided by the transfer agent as part of system implementation.

Hardware Requirements

The Rhode Island Family Court Juvenile Information System operates on a Wang VS100 super minicomputer that is shared with several other court applications. The juvenile system requires at least 512K of main memory. To process the juvenile caseload, the present system requires 288MB of disk storage to store its approximate 611,000 records; 15MB disk storage for applications software; 1 tape unit for backup; 30 data processing/word processing video display terminals; one 9600-baud modem, two 4800-baud modems (for the county locations), and eight printers. Terminals are located in the clerk's office, court administrator's office, judge's bench, probation department, public defender's office, intake, CASA (Court Appointed Special Advocate), and the Department of Children and Families. Printers are located in the clerk's office and the court administrator's office.

The application software may be run on any model of the Wang VS computer line with modifications needed only for system configuration and local device naming conventions. Thus, subject to adequate memory and disk storage requirements, the application software may be utilized for any size court or caseload using the Wang VS environment.

Training

Each new user in the Rhode Island Family Court Juvenile Information System is trained on-site by the data entry supervisor. Approximately one week of training is necessary. During this time the trainee enters actual data into the system. Many of the modules can be learned in one day, but the hearing module is more difficult and may take more time. An excellent user's manual is available for the Rhode Island Family Court Juvenile System.

Training for a newly installed system would be more complex. A system administrator for the new installation would need extensive training on

the on-line system as well as in backup, crash recovery, key change functions and security features. This training would consist of approximately two weeks of one-on-one training. There is presently no manual for system administrator functions although one would be provided by the transfer agent. The system administrator should be available for questions after the initial test period.

Customization/Future Enhancements

Much of the juvenile system software is table driven, making customization of the system relatively simple. The Family Court plans to enhance the system with a noticing module which is currently under study by the court. Post disposition tracking is another enhancement being considered by the court for installation. The application software does not include an ad hoc program generator. Through the Wang VS utilities, the recipient site system staff would be able to produce ad hoc reports.

Transfer Issues and Conclusion

A Wang VS series computer would be required to successfully transfer the system with a minimum of reprogramming effort. However, the juvenile system is modularly designed and clearly coded in the COBOL programming language and could be converted to run under other operating environments. The system runs under Wang VS control software, which is part of the Virtual Storage (VS) Operating System.

The Rhode Island Family Court Juvenile Information System software application is public domain. A $7,500.00 transfer fee is charged to partially defray development costs. Due to limited staff, the State of Rhode Island offers no support for this system. The recipient site should hire its own system support staff to make program modifications, perform system maintenance and support, and provide user training after initial transfer.

The capabilities of the Family Court Juvenile Information System software application provide an excellent solution for medium to large limited and special jurisdiction courts with a need to more efficiently and effectively manage their caseload. Documentation would be provided by the transfer agent to the recipient site as part of system implementation. The software's modular design, extensive use of coded fields for entry, and clear programming structure makes this system an excellent candidate for transfer.

The juvenile system application software may be obtained by contacting:

National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187
(804) 253-2000
Attention: Technical Services

As transfer agent, National Center technical staff can provide assistance to the site in development of the detailed requirements analysis, system design document, program modifications, system and user documentation, and staff training and installation as well as hardware configuration and specifications.

114550

COURT RECEIVABLES TRACKING SYSTEM (CORTS)

OFFICE OF THE ADMINISTRATOR FOR THE COURTS

OLYMPIA, WASHINGTON

Prepared By

MICHELE A. PANKNER-BERESH
Systems Analyst

RONALD H. JAYNE
Consultant

COURT RECEIVABLES TRACKING SYSTEM (CORTS)

OFFICE OF THE ADMINISTRATOR FOR THE COURTS

OLYMPIA, WASHINGTON

The Court Receivables Tracking System (CORTS) is a single-user micro-based accounts receivable tracking system developed by the Office of the Administrator for the Courts (OAC) for the State of Washington. In late 1986, the OAC, responding to concerns over the increasing backlog of accounts receivables, began design work on a micro-based tracking system that could be utilized by small, limited jurisdiction courts in their state to manage active time pay accounts. CORTS has been installed and is fully operational at one site, Grant County District Court. Grant County Court personnel report that the system has been effective in reducing the backlog of statement notifications and receivables collection with a significant increase in time pay revenue during the first year of operation. Total development time including documentation was approximately nine (9) months at a cost of $40,000.

CORTS has been effective in meeting its primary design objectives. The effectiveness of CORTS makes it a valuable tool for the small non-automated, limited jurisdiction court attempting to manage an increasing backlog of citation-related (fines, fees, restitution) receivables. CORTS is well documented and offers flexibility to the court that desires to modify and/or enhance the basic system to include other features. By signing a transfer agreement and paying a small fee (not to exceed $60.00), the system may be transferred outside the state of Washington. The transferee may receive the object and/or source code and a copy of the User's and the System Administrator's documentation as part of the transfer package.

For further information on CORTS, please contact the Office of the Administrator for the Courts, State of Washington, 1206 South Quince, Olympia, Washington 98504, (206) 753-3365.

The Office of the Administrator for the Courts, State of Washington

The Office of the Administrator for the Courts for the State of Washington services four levels of court jurisdictions: the Supreme Court, Court of Appeals (3 divisions), Superior Court (30 Judicial Districts) and Courts of Limited Jurisdiction (62 District Courts and 129 Municipal Courts). The Washington OAC has been active in introducing technological applications to their courts. In addition to CORTS, software development projects currently include: a single user micro-based Receipt Reporting System for the Superior Court (RRS); one mini-computer based system, the District Court Information System (DISCIS); and three mainframe based computer systems, the Superior Court Management Information System (SCOMIS), the Juvenile Information System (JUVIS), and the Appellate Court Record and Data System (ACORDS).

System Review Procedures

NCSC staff members visited the OAC in August 1988, conducted interviews with the developers of CORTS, and received a demonstration of the system. Interviews were held with the following OAC staff members to discuss the development of CORTS:

- Ms. Carola Norton, Information Systems Analyst/Client Services
- Mr. Geary Buxton, Information Systems Analyst/Client Services
- Ms. Carla Rutz, Information Systems Analyst/Client Services

To determine the effectiveness of CORTS on court operations, NCSC staff also conducted telephone interviews with Grant County personnel: Barbara Lesser, Court Administrator, and Junene Smith, Legal Assistant I.

Grant County Demographics

CORTS was completed and installed at the Grant County District Court on December 15, 1986. The system was fully operational by February 1987. As a Limited Jurisdiction Court, Grant County District Court serves a 2400 square mile area with a population of approximately 55,000. The cities served include: Electric City, Ephrata, Moses Lake, Quincy, Royal City, Soap Lake, Coulee City, Grand Coulee and Warden.

The 1987 caseload for Grant County District Court consisted of Criminal, Infractions, Civil and Parking case types as noted below:

Traffic Infractions: 10,775
Nontraffic, noncriminal: 148
DWI: 540
Criminal Nontraffic: 2,117
Criminal Misdemeanor: 1,916
(includes traffic other than DWI)
Civil: 797
Domestic Violence: 0
Small Claims: 313
Parking: 1,024
Total: 17,637

With a backlog of over 4,500 accounts receivable, the court realized that something had to be done to eliminate the backlog of cases and to collect or write off accounts receivable. Estimates revealed that about 300 new accounts were added per month, while approximately 500 payments were made per month, of which approximately 120 were final payments. Court personnel estimate a 66 percent increase in time pay revenue for 1987. Since the implementation of CORTS the backlog has been significantly reduced and a number of functions that were time consuming, tedious manual activities have become automated. Approximately 3,900 active cases are being processed by the CORTS system at this time.

SYSTEM OVERVIEW

CORTS primary features are that it provides:

- Defendant/Citation Information
- Account Statements and Delinquency Notices
- Administrative Reports

CORTS captures information about defendants and their citations, posts and calculates account balances as payments are entered or as time payment schedules are changed. Statements and delinquency notices are generated under the system. CORTS captures initial information and allows for tracking activities relating to the defendant's account and for relating other citations that are subsequently filed. The system can track defendants in "post-delinquency-notice" status. It finds who should receive a "Final Notice" and who is eligible for a warrant. It tracks defendants that have been issued Final Notices and Warrants as well as warrants that have been cleared. It is possible to quickly ascertain defendant/citation status under CORTS.

Report generation capabilities include individual transaction histories, a transaction log that includes all entries made in the system during a specified time period, a list of all defendants on the system, a list of defendants eligible to receive mailings, a list of defendants for whom mailings have been "permanently" suppressed, a list of delinquent defendants who have not paid since they were sent delinquency notices and an accounts receivable report for the end of the month.

To gain access to CORTS, the user must be issued a logon by the system administrator. The system has features for changing logon information, removing paid citations, paid defendants, old transactions, for backing up files, and for reindexing files.

CORTS was developed using the relational capabilities of dBase III PLUS (™) from Ashton Tate, which allows for the storage of defendant account, citation, and payment history thus effectively linking data files for viewing and report generation thereby keeping data redundancy to a minimum.

CORTS was compiled in Clipper and the system requires MSDOS or PCDOS 2.1 or above to operate and a minimum of 512K of memory.

SYSTEM FLOWCHART
FIGURE 1

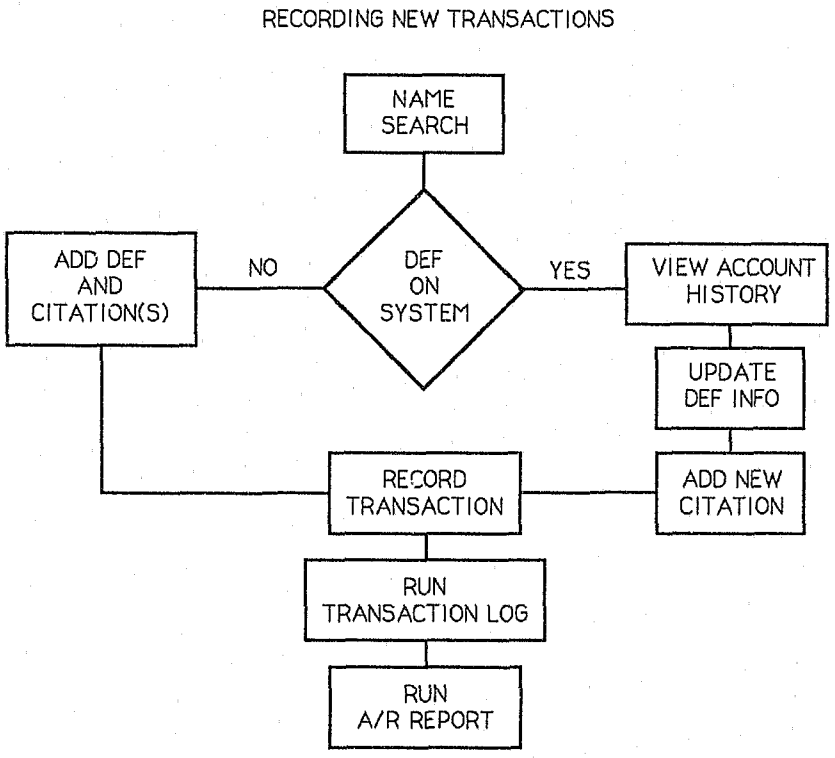


Figure 1 depicts the workflow supported by the system including: initial data entry, updating and addition of new records, search routines, recording financial transactions, printing the transaction logs and printing of the accounts receivable report.

STATEMENT/DELINQUENCY NOTICE FLOWCHART
FIGURE 2

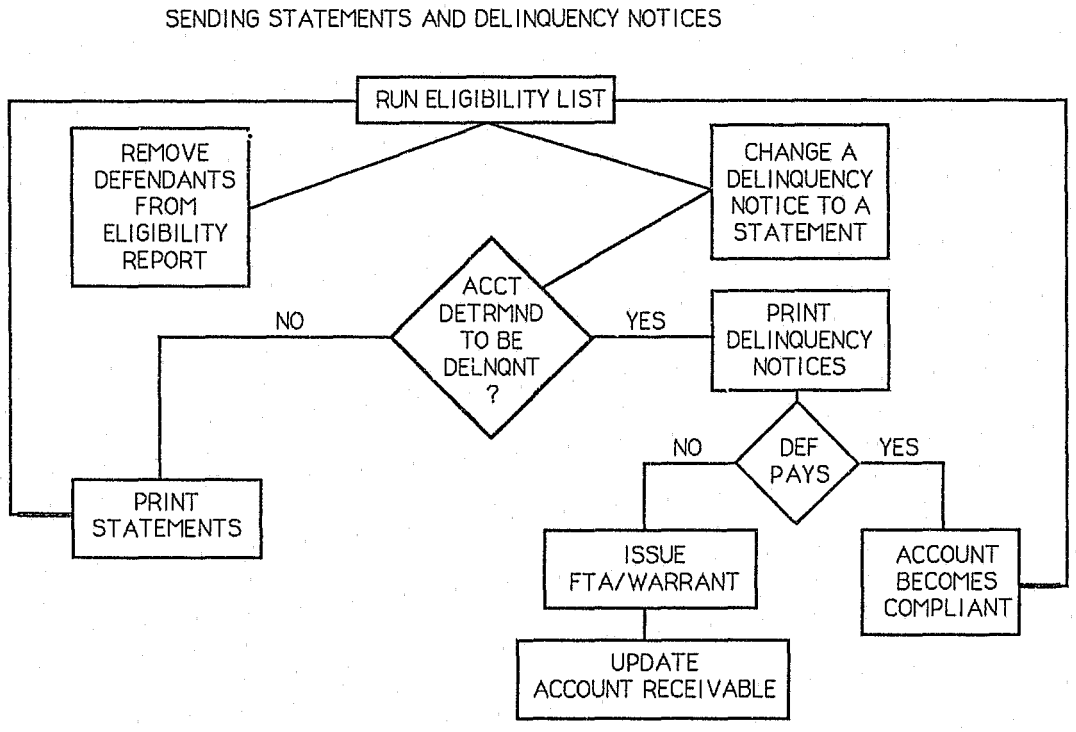


Figure 2 illustrates the procedure for statement and notice generation. The procedure begins with the preparation of the Eligibility Report. Court personnel review and modify the list to eliminate, online, defendants who should not be sent any mailing, or mark defendants that should receive a statement instead of a delinquency notice. The statements and delinquency notices are produced on forms with a preprinted design format which fit into windowed envelopes to eliminate the need to address any envelopes. The warrant portion of this flowchart has been expanded through the addition of the Warrant Module (Figure 3).

WARRANT MODULE FLOWCHART
FIGURE 3

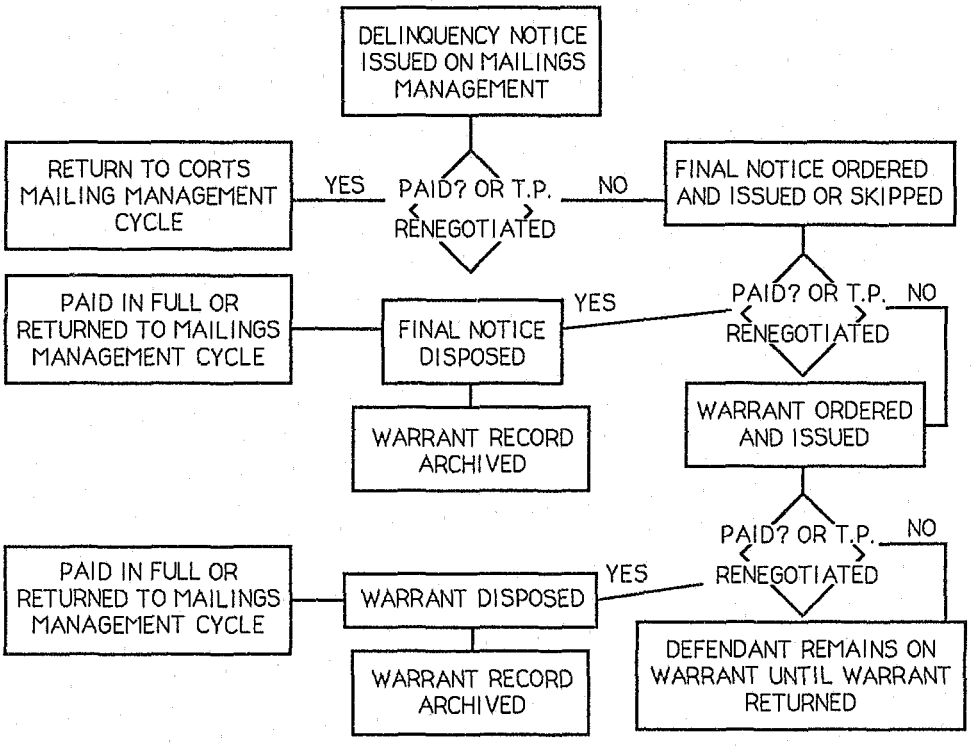
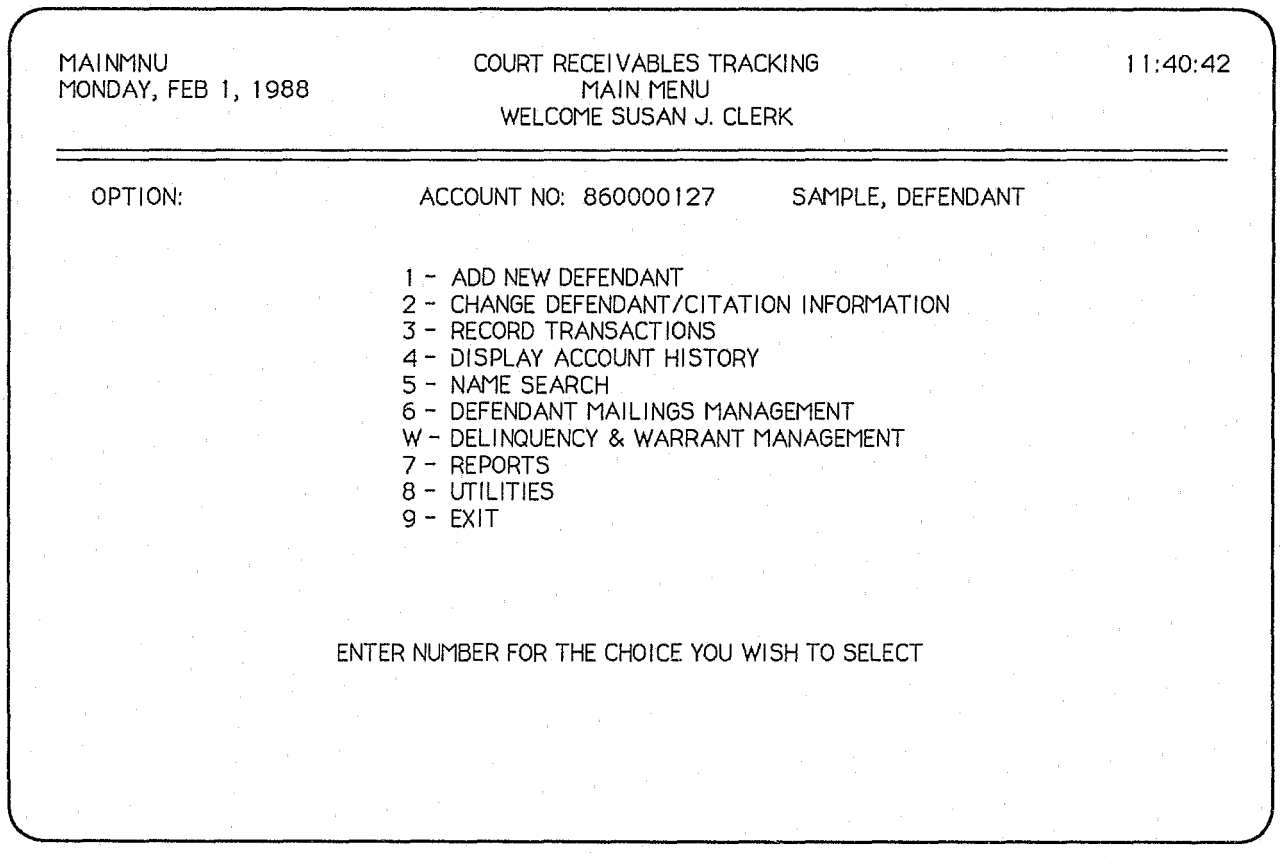


Figure 3 illustrates the Warrant Module, added to the system in February, 1988 to provide three basic functions: 1) identifies defendants who do not respond to a previously mailed Delinquency Notice, have they paid the account to date or was their time payment (T.P.) renegotiated, 2) records the final notice and warrant information in order to track defendants who do not respond and 3) produces reports to track defendants through the warrant management process. The reports produced by the Warrant Module are: Final Notice Ordered - Not Issued, Final Notice Issued - No Warrant, Warrants Ordered - Not Issued, Warrants Issued - Not Disposed, Warrants Disposed, and a Warrant Information File Dump. Note that the actual warrants are not produced automatically by CORTS. Information on defendants eligible for a warrant can be sent to a file which can then be used in conjunction with a word processing package to produce the warrants.

MAIN MENU
FIGURE 4



Access to the CORTS database is initiated by entering a User ID and Password (previously assigned by the System Administrator). Upon entry, the Main Menu is displayed as shown in Figure 4. At this time, the user may select option 1 for immediate input of a new record, or may choose to "search" the database for the previous history of the defendant. To perform this search, the user would select option number 5.

DEFENDANTS/CITATION ACCOUNT INFORMATION SCREEN
FIGURE 5

```
  ACCTSCRN        DEFENDANT ACCOUNT INFORMATION                          02/01/88
OPTION.....     : 1                                                      11:54:33
ACCOUNT.....    : 860000293                          CITATION 1 OF 1
CREATE DATE.....: 01/01/88                         DATE LAST PD.....:
NAME.....       : SAMPLE,SAMUEL ROGER              AMNT LAST PD.....:
AKA1..... .....  :                                 ACCT AMOUNT.....:
AKA2.....       :                                  ACCT CREDITS.....:
ADDRESS.....    :                                  ACCT PAID TD.....:
APARTMENT.....  :                                  ACCT BALANCE.....:
CITY/STATE/ZIP..:                                  WARRANT RECRD... : N
DATE OF BIRTH...: / /          DRIVER LIC NO.   :  EXPIRES.....    : YY
DELINQ NOTICE...: / /          SEND MAILINGS.   : Y Y/N WARRANT.....:
MNTHLY PAYMENT  :              PAYMENTS START   : / /
CITATION/LEA....:
DATE ORDERED....: / /          CASE TYPE.....   : (PR/IN/IT/CN/CT/FE)
NOTE.....       :              FTA DATE.....    : / /    ENTERED: 01/01/88
CIT RECEIVABLE..:
CIT AMOUNT.....  :             TRAN DATE.....   : 01/01/88
CIT BALANCE.....:

        OPTION: 1=ADD ACCOUNT   2=ADD ANOTHER CITATION   9=EXIT
```

If a defendant is already in the system, the account number is displayed on the Main Menu and the user can select any of the Main Menu options at that time. If the defendant has not previously been entered into the system, the user selects option number 1 from the Main Menu and enters the appropriate defendant and citation data from the source documents onto the input screen. In either case, Figure 5 illustrates the screen displayed for the user.

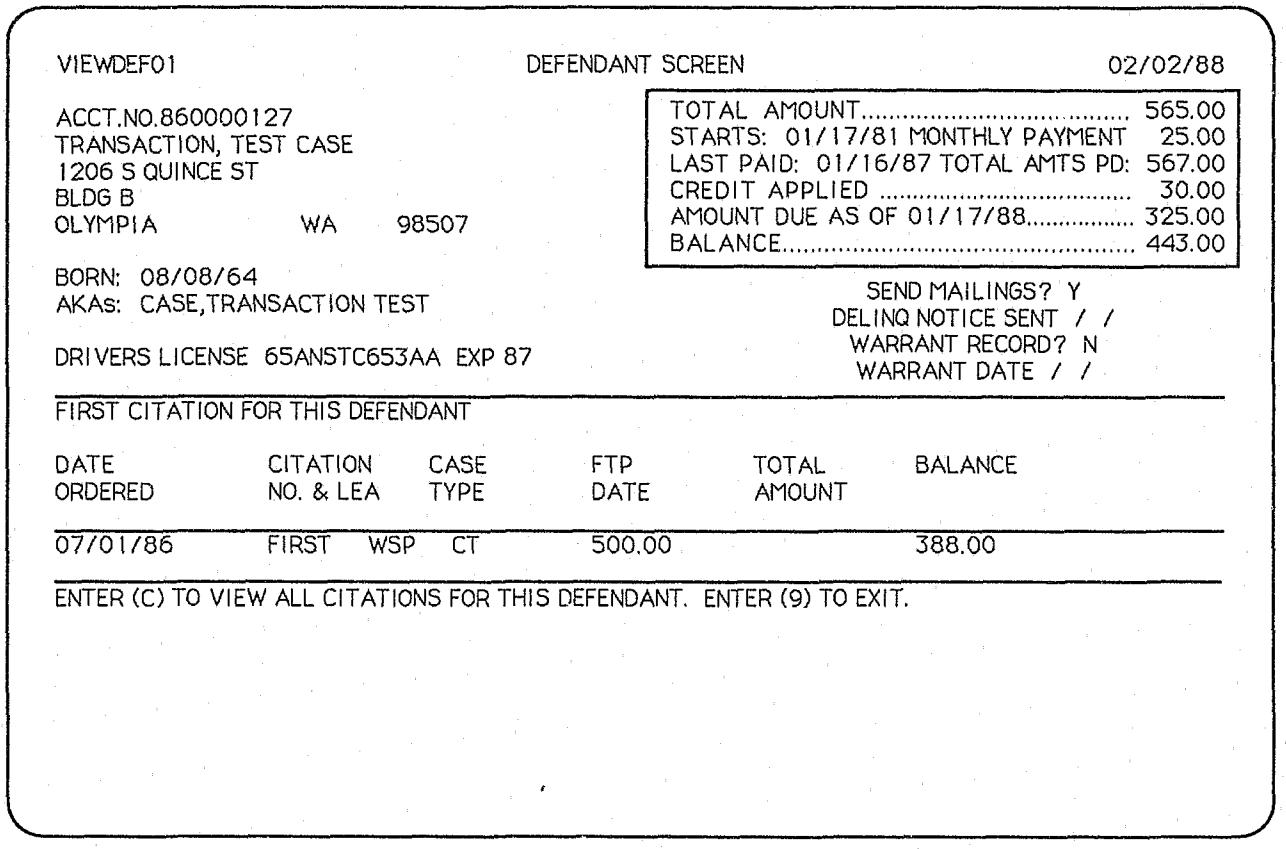
Updating or editing the defendant/citation information is performed by selecting option number 2 on the Main Menu. The system then displays the same screen (Figure 5) except the bottom of the screen reads: OPTION: 1-Update, 2-Add Citation, 3-Display Next Citation, 4-Display Previous Citation, or 9-Exit.) Using one of these options allow the user to: 1) view the account history, 2) update the defendants information record or 3) add a new citation to the file.

RECORD TRANSACTIONS SCREEN
FIGURE 6

```
TRANSCRN                          TRANSACTION ENTRY                  02/01/88
                                                                     11:59:53
OPTION.....

ACCCOUNT NO..... : 8600000292     NAME:  AARON,SELBY
CITATION..... : 111
DATE..... : 01/01/88
RECEIPT NO..... :
CASHIER ID..... : CWR
AMOUNT..... :
MEDIUM..... :                     CA-CASH, CH-CHECK, MO-MONEY ORDER
TYPE..... :                       R-RECEIVABLE, P-PAYMENT, C-CREDIT, A-ADJUST
COMMENT..... :

CITATION          BALANCE   MONTHLY PAYMENT:  50.00    ACCT AMOUNT...:  500.00
111               450.00    PAYMENTS START:  09/23/87  ACCT CREDITS..:
                            DATE LAST PAID:  10/18/87   ACCT PAID TD..:  50.00
                            AMOUNT LAST PAID:  50.00    ACCT BALANCE..:  450.00
                                                          WARRANT RECORD?  N

  OPTION:    1=ENTER TRAN    2=GET NEW ACCT    9-EXIT
```

During the life of the account, recording transactions is performed by accessing option number 3 on the Main Menu, the Transaction Entry Screen (Figure 6). Any transactions pertinent to the account are recorded on this screen and automatically calculated by the system.

ACCOUNT HISTORY SCREEN DEFENDANT/ACCOUNT INFORMATION
FIGURE 7



VIEWDEF01 DEFENDANT SCREEN 02/02/88

ACCT.NO.860000127
TRANSACTION, TEST CASE
1206 S QUINCE ST
BLDG B
OLYMPIA WA 98507

BORN: 08/08/64
AKAs: CASE,TRANSACTION TEST

DRIVERS LICENSE 65ANSTC653AA EXP 87

TOTAL AMOUNT	565.00
STARTS: 01/17/81 MONTHLY PAYMENT	25.00
LAST PAID: 01/16/87 TOTAL AMTS PD:	567.00
CREDIT APPLIED	30.00
AMOUNT DUE AS OF 01/17/88	325.00
BALANCE	443.00

SEND MAILINGS? Y
DELINQ NOTICE SENT / /
WARRANT RECORD? N
WARRANT DATE / /

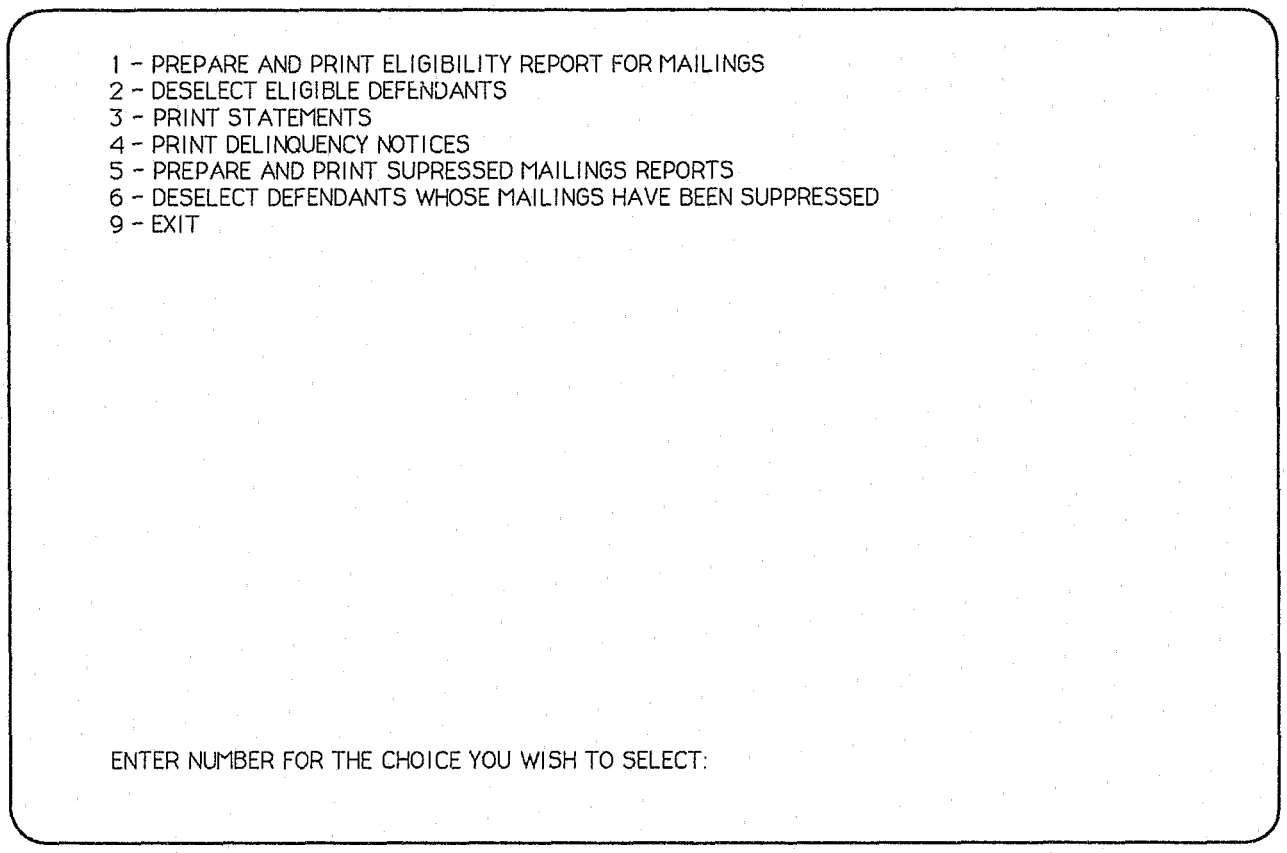
FIRST CITATION FOR THIS DEFENDANT

DATE ORDERED	CITATION NO. & LEA	CASE TYPE	FTP DATE	TOTAL AMOUNT	BALANCE
07/01/86	FIRST WSP	CT	500.00		388.00

ENTER (C) TO VIEW ALL CITATIONS FOR THIS DEFENDANT. ENTER (9) TO EXIT.

The account history can subsequently be displayed at any time through option number 4, Account History Screens. By entering this option at the Main Menu, the first of a series of screens will be displayed (Figure 7). The three major screens in the Account History series include 1) a summary of defendant and account status information, 2) a listing of all of the defendant's citations, and 3) a listing/summary of all transactions.

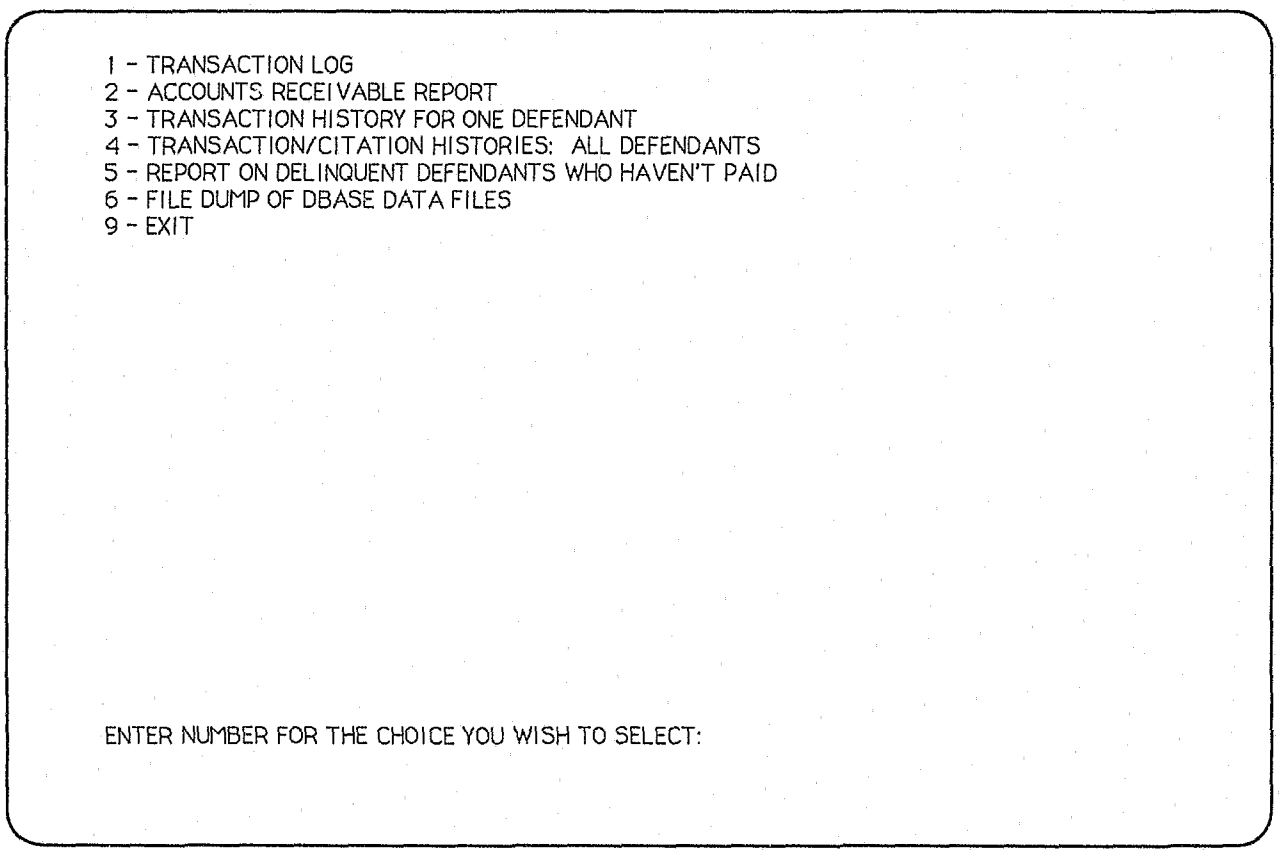
MAILING MANAGEMENT MENU
FIGURE 8



STATEMENTS AND DELINQUENCY NOTICES

Option number 6 on the Main Menu takes the user to the Defendant Mailings Management Menu (Figure 8) where Statements and Delinquency Notices can be automatically produced by the system.

REPORT MENU
FIGURE 9



Reporting on the data entered into the system is provided through the Report Menu (Figure 9). The standard reports produced by the system include: a Transaction Log, an Accounts Receivable Report, a Transaction History Report For One Defendant, a Transaction History Report For All Defendants, a Delinquency Report, and a File Dump Report. All of these reports can be run on demand, however some of the reports are run on a schedule as designated below.

The ***Transaction Log Report*** is a list of all transactions entered during a specified time period. This report can be run any time during the day and can be matched against the bank deposit or manual bookkeeping system as a security check.

The ***Accounts Receivable Report*** is a summary of the new account, account payments and adjustment activity through a specified date. A new accounts receivable balance is generated from this summary information. This report is produced monthly.

The ***Transaction History For One Defendant Report*** is a summary of the transaction and account history for a single defendant.

The ***Transaction/Citation Histories: All Defendants Report*** is a summary of information regarding the citations and account histories for all defendants on the system. This report is produced quarterly.

The ***Delinquency Report*** is a list of defendants that did not make a payment on or after the delinquency notice date as shown on the defendant information screen.

The ***File Dump Report*** is a complete listing of all data in the entire database.

Utility Functions

The Utilities Menu allows the System Administrator to 1) delete or archive citation information, 2) delete or archive defendant information, 3) delete or archive financial transactions, 4) change profile information, 5) add and/or delete users from the system, 6) define password protection, 7) perform backups and archival routines of data, and 8) reindex database files.

As is true for all micro-based systems, the OAC strongly recommends that users backup their data daily onto floppy diskettes. The backup procedures for CORTS are well documented and are primarily menu driven. CORTS includes a backup reminder screen within the system to emphasize the importance of this procedure.

Security

The OAC recommends the acquisition of equipment with lock and key devices for security purposes. Every user is assigned a user ID and a password which is not displayed on the screen at the time of input. Adding or changing logons require System Administrator level access to the CORTS Logon Management Utility. Accounting security can be maintained by using specific control procedures within the court. The Grant County office prints the Transaction Log daily and a supervisor reconciles the computer's Transaction Log to the daily bookkeeping records.

Documentation

Documentation provided by the OAC for courts acquiring the software include detailed design specifications, functional specifications, training manual, user's manual, and a system administrator's manual. The documentation includes copies of the screens and output reports utilized by the system.

Hardware Requirements

The minimum hardware configuration is an IBM PC/Compatible XT or AT level machine. The AT level machine (Intel 80286 processor) is recommended because of enhanced performance requirements. A minimum of 512k RAM and a hard disk are required to operate the system.

Customization/Future Enhancements

Some customization is possible through tables created for printer types, delinquency periods, warrant periods, billing groups and minimum acceptable payment amounts. Producing ad hoc reports using dBase III is possible. However, users must reindex the files each time a change to any of the tables is made.

No commitments have been made by the OAC to enhance the product beyond its current capabilities and single-user environment, however, several discussions have been held and a number of enhancements have been noted in the event future modifications are considered. Those mentioned include: FTA (Failure to Appear) notices, automatic generation of weekly statements, tracking of restitution and civil receivables and automatic tracking of violation numbers.

Although CORTS was developed as a single-user system, Grant County District Court has installed a Novell local area network and plans to upgrade the CORTS software to a multi-user environment. The OAC is not involved in this project, but courts that are interested in the multi-user version may contact Grant County directly.

Transfer Issues and Conclusion

The OAC has applied for copyright protection on the source code and documentation. They are willing to allow transfer of the system to other courts. However, for courts outside of the state of Washington a transfer fee and license agreement is required. A transfer fee of $60.00 for the source code or $30.00 for the object code will be charged, these fees include one copy of the users manual and one copy of the systems administrators manual. Telephone support will be offered to courts inside Washington, but no support will be offered to out-of-state installations.

CORTS was not designed as an accounting system and therefore does not generate receipts or feature accounting controls. Although CORTS is integrated with the relational capabilities of dBase, updating the Warrant and Receivables data files does require individual entries. In addition, the software does not separate the restitution and fines owed by a defendant at the current time, however these amounts can be added together and reviewed on case by case basis. Case types and transaction codes are hardcoded in the system rather than table-driven. Therefore, portability of the software outside of Washington may require code modifications. An export utility routine was developed by the OAC which will allow the court to use generic word processing software for the development of Warrants. Grant County currently uses WordPerfect (™) for this application.

The effectiveness of CORTS makes it a valuable tool for the small non-automated, limited jurisdic-

tion court attempting to manage an increasing backlog of citation-related (fines, fees, restitution) receivables. CORTS provides an excellent system for capturing defendant/citation information, for tracking and monitoring account status, for generating statements and notices on a timely basis, and for generating reports that provide the necessary information so crucial to time pay account management. CORTS is well documented and offers flexibility to the court that desires to modify and/or enhance the basic system to include other features.

NATIONAL CENTER FOR STATE COURTS

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Transferable Systems, 1988

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