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PROMIS

**For The Nonautomated
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**NATIONAL CRIMINAL JUSTICE INFORMATION AND STATISTICS SERVICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
U.S. DEPARTMENT OF JUSTICE**

LOAN DOCUMENT

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For The Nonautomated or Semiautomated Office

By

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NCJRS

AUG 30 1976

ACQUISITIONS

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★ **Prosecutor's Management Information System**

APRIL 1976

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I. INTRODUCTION

This handbook describes both manual and semiautomated versions of the Prosecutor's Management Information System (PROMIS) which was originally developed by the Institute for Law and Social Research (INSLAW), Washington, D.C., as a computerized system for prosecutors in large urban areas. The versions of PROMIS described in this handbook address the same managerial and administrative problems for which the computerized system was designed but in a format suitable for installation in most small and medium sized prosecution agencies.

This document provides both the system descriptions and the procedures study guidance needed for implementation of the manual and semiautomated versions of PROMIS.

With the aid of this publication, any prosecutor should be able to conduct or plan and monitor a comprehensive study of the managerial and administrative activities within his or her office and, at the same time, determine what features of the manual or semiautomated PROMIS system his or her office may need.

This handbook, then, extends to all prosecution agencies some of the benefits of PROMIS--concepts of prosecution management and administration, model forms and procedures, paperwork and record management techniques and related innovations.

A. Capabilities of PROMIS

PROMIS is designed as a management tool for the prosecutor to improve the overall operating efficiency of an office. Many capabilities of the automated system are also found in the manual and semiautomated versions of PROMIS described in this handbook. They include:

- Improved case accountability. A uniform one-page Case Summary Record outlines the current status of a case as well as its history, including all previous actions taken by the police, prosecutor, or courts, and the reasons for the actions. For example, all continuances and charge dispositions and the reasons for them are recorded. It is also possible to account for every charge brought by a police agency that is later dismissed by the prosecutor. Calendars or dockets can be produced by specific court

event (e.g., preliminary hearing, arraignment, trial, sentencing). The system also can keep track of time that counts against speedy trial rules and of time exempted from these rules, in jurisdictions with this type of legislation.

- Research data. An important feature of PROMIS is that it provides an excellent resource for conducting research because of the comprehensive data recorded on the criminal event, defendant, witnesses, victims, and court events. Some specific topics a prosecutor may study within the jurisdiction include:

- Use of weapons in the commission of crimes;
- Relationships of defendants to victims and witnesses;
- Recidivism patterns;
- Identification of high crime areas;
- Analysis of case load by police agency;
- Evaluation of prosecutive performance; and
- Identification of delays in the prosecutive process between specific events or between arrest or indictment and final disposition of the case.

- Office performance reports. The chief prosecutor may be provided with periodic statistical reports showing an overview of cases currently being processed by the office, including those at various stages of prosecution and those disposed of, the type of disposition, and reason. Periodic work load reports can also be produced, covering pending cases being handled by each assistant prosecutor.

- Witness management. PROMIS enables a prosecutor to keep track of all witnesses involved in all cases handled by the office. A special form set is used to produce subpoenas and reports of service, and to create a Witness Record that lists all subpoenas and actual appearances in court. A problem facing many prosecutors' offices is that a witness will call wanting information on his case when he has lost his subpoena and does not

even know the defendant's name. The manual and semiautomated PROMIS system enables the clerk or prosecutor to locate the proper case by consulting a cross-reference index.

Assignment of case priorities. PROMIS utilizes a ranking scheme to identify cases that should receive priority attention from the prosecutor. Two ratings are assigned: a crime rating that measures the degree of harm done to society, and a defendant rating based on such factors as the defendant's prior criminal record and use of aliases. These ratings are computed through a questionnaire filled out at the time a case is screened.

B. Installing PROMIS

In developing this handbook, it soon became apparent that inherent differences among the target group of small to medium-size prosecution agencies precluded the use of a system where all the procedures, methods, forms and records are identical. It did seem feasible, however, to borrow from the computer-based PROMIS a variety of concepts and techniques from which individual prosecution agencies could choose in tailor-making modern administrative systems. To enable prosecution agencies to determine which concepts and techniques best suit local needs, the handbook constitutes a how-to-do-it kit that explains, to lawyers inexperienced in the arts of systems and procedures, a simple approach to the problems confronting them.

Regardless of the ultimate objective--a manual, semi-automated, or computerized PROMIS system--an essential prerequisite is a general rationalization and improvement of the present system while preparing for a new one, something that can be done only from within the prosecutor's office. This process, termed the PROMIS implementation study, is described in Chapter II. It is recognized that prosecutors usually do not have systems or procedures specialists on their staffs, and many lack funds to hire contractors to conduct the study. Even in offices where such resources are available, the prosecutor may be ill-equipped to plan, supervise, and evaluate the technical aspects of such a study. Consequently, Chapter II provides the prosecutor with the detailed, practical guidelines essential to the successful completion of any management improvement project.

II. PLANNING AND CONDUCTING THE PROMIS IMPLEMENTATION STUDY

A. Choosing Someone To Conduct the Study

Ideally, the implementation study should be a team effort. In very small offices, the team might consist of the prosecutor himself, or in larger offices, one of his principal assistants, and a systems or procedures specialist--someone with experience in designing and installing procedures and forms, preferably in prosecutors' offices or the courts. The systems or procedures specialist should make a detailed analysis of the present organizational structure, work flow, task assignments, procedures, forms, case documentation and user needs, and would design, test, and assist in the installation of the new PROMIS system. The responsibilities of the prosecutor member of the team (referred to as the prosecutor manager) should include providing general guidelines for the study and serving as the supervisor, coordinator, legal consultant, spokesman, and liaison official for the project.

If no systems or procedures specialist is available within the organizational structure, the next best alternative would be to hire a consultant on a contractual or other short term basis. However, it is realized that many prosecutors do not have sufficient funds to contract for a consultant, and that if any improvements are to be made in the administrative processes, it will have to be a do-it-yourself project. This handbook contains a sufficient level of detail to satisfy the do-it-yourself reader. For prosecutors who employ consultants, the handbook can serve equally well as a reference document to assist in preparing descriptions of tasks to be performed, to evaluate whether the consultant is employing suitable techniques, and to measure the final results.

Regardless of who conducts the study, the project will not be successful without the full cooperation, leadership, and assistance of the chief prosecutor. Unless the chief prosecutor and the principal assistants are willing to devote the time and attention needed to do the job thoroughly, there is virtually no prospect of success. Piecemeal, hastily conceived and installed changes are more likely to result in confusion and retardation of overall efficiency than in progress toward a better system.

B. Methodology for Conducting the Study

The implementation study should employ the following steps:

1. Conduct overall survey of administrative staffing, procedures, work flow, forms, records, physical facilities and user needs.
2. Identify and define all problems affecting speed, thoroughness, efficiency, and quality of administrative processes.
3. Analyze the problems to determine the causes (both the immediate and the core problem, if applicable), effects, and relative seriousness.
4. Develop alternative solutions for each problem.
5. Decide upon the best solution, testing where necessary.
6. Establish priorities and the schedule for installing changes.
7. Install the changes.
8. Reevaluate the changes and modify where necessary.

For the systems or procedures specialist, step 2, identifying and defining the problems, and step 3, analyzing them, are equally difficult. Of particular difficulty is posing the right question. Nothing can be more useless or even dangerous than the right answer to the wrong question. For this reason, early conclusions can be misleading. It therefore becomes necessary not only to examine the immediate or apparent cause of the problem but also to delve into the core problem, which may entail questioning the present day practicalities of certain legal practices and rules. The systems or procedures specialist will be primarily concerned with identifying and resolving unavoidable problems in the administrative aspects of case management, but he should be permitted to question and offer alternatives in connection with the legal aspects, particularly when adoption of one of those alternatives would relieve the prosecutor's office of a heavy burden and permit the staff to spend more time on serious criminal cases. Often, the specialist's comments will result from observations of how cases are handled in other jurisdictions, and will consequently be based on practices potentially transferable.

It is unlikely that time and resources would permit immediate installation of all the changes which it is agreed should be made; therefore, the prosecutor manager should personally make the decisions in step 6, establishing priorities and the installation schedule. It would be advisable, however, for the prosecutor to consult with the systems or procedures specialist since some compromises may be necessary for practical reasons.

Particular attention is called to step 8, reevaluating the changes and modifying the system where necessary. It is to be expected that further changes, mostly in the form of refinements, will be necessary after additional experience has been gained. This additional step of reevaluation and modification is a small price to pay for achieving the maximum benefits from the overall amount of time and money invested in the effort. As in the old proverb that begins, "for want of a nail, the shoe was lost," the changes may be aborted or the project discredited if there is a failure to follow through.

C. The Reconnaissance Survey

If a systems or procedures specialist is to be brought in from the outside, or other substantial resources are allocated to the project, a reconnaissance survey should first be conducted. The reconnaissance survey is a diagnostic technique to determine in a general way the present status of the administrative activities, develop recommendations as to the nature and scope of the work that should be done, and summarize the potential benefits. The reconnaissance survey report should also include the proposed study plan, schedule, and manpower requirements. The reconnaissance survey could be conducted by a proposed contractor and submitted as part of his proposal, or it could be conducted by someone else and the report used as the working document for preparing an invitation for bids or a proposal. A reconnaissance survey is always helpful in achieving a meeting of the minds between the parties involved in the study and thus enables the prosecutor to draw up a more precise and realistic contract or work plan for the main project.

D. Methods for Gathering the Facts and Developing Recommendations

The four basic methods for gathering the needed facts and developing recommendations are as follows:

1. Review of documents and records
2. Interviews
3. Questionnaires
4. Observations and analyses

All of these methods, with the probable exception of questionnaires, would ordinarily be employed. The exact method used for obtaining each specific type of information will vary according to such factors as the size, organizational structure, and physical layout of the office being surveyed; availability of existing records and data; time allocated for the fact gathering phase of the survey; the surveyor's existing knowledge of the office's operations; and preferences as well as restraints on fact gathering methods, as imposed by the prosecutor or the person conducting the survey, or dictated by the situation at hand.

b. Review of Documents and Records

Reviewing documents and records is the first order of business, the "homework" that should be performed prior to conducting interviews. A study of existing documents not only eliminates some of the potential questions, but also provides clues as to the most useful questions. It is an essential first step if the person conducting the survey is from outside the prosecutor's office; it also serves as a useful review technique if the person is familiar with the office's operations. Documents and records that should be studied include the following:

- . Rules of the court, statutes, and any orders or other documents that prescribe the overall responsibilities and authority of the prosecutor's office;
- . Locally issued instructions and procedures (usually limited to letters and memoranda, but may include procedural manuals or handbooks);
- . Budget and accounting records;
- . General correspondence files;
- . Reports and statistical data;

- . Case folders or files, index files, docket or summary record cards, and any other records pertaining to individual cases; and

- . Reports of any previous surveys or studies.

2. Interviews

Interviews are essential to fact gathering, but should not be overworked or used to take the place of obtaining information through other techniques, even though such other methods result in harder work for the person conducting the study. Interviews are necessary to secure information that is not available except through the person being interviewed. They also present an excellent opportunity to establish good working relationships which will prove valuable during the study.

Interviews are most useful when conducted after the general tour that initiates the observations and analysis process (see section D.4). Persons to be interviewed, and the purposes of the interviews, are as follows:

- . The chief prosecutor and principal assistants: To determine general attitudes, management philosophy, priorities, personal knowledge and interest in the administrative processes, overall management and organizational structure of the office, information needs, pending actions and plans for the future, problems in the administrative area and types of improvements needed.
- . Individual assistant prosecutors: To obtain detailed information about the administrative aspects of case processing, the time involved, adequacy of present system, weaknesses, information needs, problems, and ideas for improvement.
- . Secretarial and administrative personnel: To obtain general information about the nature and level of their responsibilities and work, record keeping practices, obvious weaknesses in the present system, unnecessary work, problems, and possible ideas for improvement, including use of semiautomated or automated equipment.

A few notes on the use of interviews as a fact gathering technique will be helpful:

Limitations

- . Information given may be guesses or approximations rather than precisely accurate.
- . Valuable information may be withheld because the person interviewed is not sure of the facts or fears the information will reflect unfavorably on him or the office.
- . Information obtained may be misleading, since some persons will unconsciously try to answer questions the way they believe the interviewer wishes rather than providing realistic and factual answers.
- . The interviewer is likely to get a distorted picture, particularly with respect to problems, since he is often told more about the exceptions and the unusual, humorous or dramatic incidents than the normal day-to-day experiences.

Hints and Precautions

- . Plan the general approach and types of information wanted in advance.
- . Use care in selecting people to be interviewed.
- . Arrange in advance for time and place of interview.
- . Inform the person to be interviewed, in advance, of the purpose of the interview and the type of information desired; however, avoid undue formality.
- . Conduct the interview in a natural, informal manner, not necessarily on a fixed format.
- . Try to make note taking as inconspicuous as possible in order not to create a formal atmosphere.
- . Limit the interview to information gathering--avoid aimless conversations.
- . Obtain samples of completed forms and other documents involved.
- . Do not make a commitment to a specific course of action or recommendation.

- . Do not attempt to be a crusader, sell ideas, or argue about statements made by the person being interviewed.
- . If it was not possible to take complete notes during the interview, expand upon them immediately after the interview.
- . Verify any doubtful points.
- . If possible, digest information gained from one interview before starting the next one.

3. Questionnaires

Questionnaires can be quite useful in gathering information but have been so overworked that many people have an intense dislike of them. Ordinarily, they should not be needed in conducting a study of a prosecutor's office unless one or more of the following conditions exists:

- . Time available for fact gathering is not sufficient to interview all the people from whom information is needed.
- . People from whom information is needed are in other locations.
- . Answers require reference to records, or compilation of data over a span of time, as in "diary" type questionnaires.

The following notes on the use of questionnaires as a fact gathering technique will be helpful:

Limitations

- . It is often difficult to phrase questions in such a way that they will be properly understood and interpreted.
- . The facts provided may be unreliable because key personnel often relegate the task of replying to less experienced personnel (even, in some instances, to the persons least qualified to answer the questions).
- . It is difficult or impossible to obtain "off the record" information and gain a personal impression of the people who supply the information.

Hints and Precautions

- . The questionnaire must have the support of the chief prosecutor, and if possible, should be transmitted by a memorandum from him.
- . Questionnaires should be discussed and explained in advance and the person conducting the study should be readily available to answer questions about them.
- . Questions should be as simple, direct, and clearly stated as possible.
- . Questions should require a minimum of writing. Check box "yes" and "no" or multiple choice questions should be used, being careful to include such alternatives as "other (explain)," "does not apply," etc., when appropriate.
- . Consider including a check box for the respondent's use to indicate if he would prefer to answer some of the questions in person, or for other reasons desires to discuss the matter.
- . The questionnaire should be designed for easy classification and tabulation of answers, if appropriate.
- . Be sure to follow up, since often the people who have not replied are those whose answers are needed the most.
- . Conduct interviews if the respondent has so requested; if the response indicates that he could provide valuable additional information; or if there are significant inconsistencies, irregularities, or allusions.

4. Observations and Analyses

Personal observations and analyses involve an overall look at the system of operations within the prosecutor's office, followed by a thorough, independent analysis of the individual aspects of the system. Only in this way can the person conducting the study determine the reliability of the information gained through the other fact gathering techniques --examination of documents and records, interviews, and questionnaires. Personal observations are essential for such purposes as gaining an intimate knowledge of the operations and becoming better acquainted with the staff; clarifying confusing, inconsistent, and misleading information gathered from other sources; correcting erroneous impressions; exposing

false assumptions which have resulted in unnecessary or otherwise inappropriate procedures; and obtaining factual information to support recommendations. The major tasks to be performed are:

- a. General tour
- b. Review of work assignment and supervision
- c. Desk audits and study of work flow
- d. Study of cases in process and completed
- e. Study of forms and form-like documents
- f. Examination of backlogs
- g. Review of mail and other communications
- h. Survey of office layout and equipment
- i. Analysis of special problems
- j. Study to determine feasibility of using microfilm

a. General Tour. A general tour is a brief walk-through to familiarize the person conducting the study with the location and purpose of the various administrative functions in the prosecutor's office. It is the essential first step in the fact gathering process and is helpful in gaining an overall knowledge of operations of the prosecutor's office and identifying matters that require special attention. The person conducting the general tour should be on the lookout for such conditions as (1) people with apparently little work to do, "socializing," doing personal work or carrying on private conversations over the telephone, walking about a great deal, and arguing; (2) piles of papers on tops of desks, particularly on desks of persons such as supervisors or secretaries, and not on the desks of others; (3) piles of incoming or outgoing mail and papers or records to be filed; (4) untidy, disorderly and poorly maintained files; and (5) collections of old records occupying office space.

The purpose of the general tour is to obtain an overall working knowledge of the office, identify problem areas, and obtain information on such matters as: major work assignments and responsibilities, personnel utilization, general work flow, procedures, backlogs, and work coordination and control; interrelationships with the courts, law enforcement agencies and other external organizations; and the degree

of cooperation and coordination in these matters; volume of records and excesses or inadequacies in record keeping; and physical layout and utilization of space.

It would be helpful to develop a preliminary, overall flowchart for each of the major activities at the time of the general tour. (Examples of flowcharting methods are provided in Appendix A.) However, the desk audits to be performed in task c will probably reveal some discrepancies and perhaps significant omissions in the original charts, which will make it necessary to revise them.

b. Review of Work Assignments and Supervision. The review of work assignments for each member of the staff should examine three elements: first, the continuing overall responsibilities that have been assigned to or assumed by each employee, including the chief prosecutor; second, the day-to-day specific duties and tasks which the employee performs routinely on his own; and third, the distribution and assignment of new work.

Preliminary information regarding work assignments should be obtained by requesting each employee to prepare a summary position description, which identifies the person who assigns new work to him. Also, each employee should be asked to indicate the percentage of time spent on each of the various types of work. If there are existing position descriptions for each job, the employees should be requested to review and update them, as appropriate, and indicate the percentage of time spent on each type of work.

The information obtained by reviewing the position descriptions will also be invaluable in conducting interviews and performing desk audits and a study of the work flow (task c below). These tasks and methods could and probably will to some extent be combined; however, the review and analysis in connection with each is for quite different purposes and the efforts are, therefore, treated as three separate parts of the study.

After reviewing the position descriptions, the person conducting the study should interview the employees, as necessary, to resolve any apparent omissions and inaccuracies or misleading and confusing statements. Finally, a check should be made to determine what controls or measurements exist in connection with work productivity, quality, and timeliness (setting and meeting deadlines), and how well each employee is performing in these regards.

Exhibit 1 is a suggested checklist for analyzing the facts and developing recommendations relating to this

Exhibit 1

CHECKLIST FOR REVIEW OF WORK ASSIGNMENTS AND SUPERVISION

- Is the organizational structure as logical, practical and simple as possible?
- Are there any improper or unnecessary overlaps or duplications in responsibilities and tasks (among organizational elements as well as among individual employees)?
- Are there any gaps in the assignment of responsibilities and tasks?
- Is there any confusion, inconsistency, or misunderstanding about organizational and job responsibilities and duties?
- Are there any illogical or impractical combinations of responsibilities or tasks?
- Are there any responsibilities or tasks that should be combined?
- Is there a reasonable relationship among the individual employee's responsibilities and duties?
- Do any administrative employees have responsibilities or perform tasks exceeding their professional level or level of competence, including any that might be assigned to a paralegal? (See Chapter VI.)
- Do members of the legal staff have responsibilities or perform tasks that could be reassigned to a paralegal? (See Chapter VI.)
- Do any other employees have responsibilities or perform tasks that should be reassigned to a person at a lower level?
- Do any employees have more responsibilities and tasks than they can reasonably be expected to perform, or to perform properly?
- Do any employees have too few responsibilities and less work than should be expected of them?
- Should any responsibilities be eliminated because they are no longer essential, or are more properly the responsibility of another office or agency?
- Is the assignment of new work being handled at the proper level by the proper person, and on the proper basis?
- Are there adequate reviews and controls for:
 - work quality and completeness?
 - work production?
 - work timeliness?
- Is there adequate backup (understudy or other trained person) for all key positions?
- Have standard performance evaluation criteria been established for each position; and, are employees periodically evaluated on the basis of these criteria and informed of the results? (See Appendix B.)

task. Individual prosecutor managers will no doubt want to add to the list.

c. Desk Audits and Study of Work Flow. This task and those that follow deal with the details of administrative activities in the prosecutor's office. If these tasks are conducted by a member of the legal staff, he should try to divorce himself from his day-to-day experiences as an attorney and instead assume the role of a pragmatic, hard-nosed individual who is in effect challenging every administrative activity, procedure, and specific action. Consequently, it is necessary to study and analyze each procedure, each step in each procedure, and the work flow. The best way to do this, is to conduct detailed interviews with individual employees during which they are asked to demonstrate and explain the various types of work performed and how they do it.

Exhibit 2 is a checklist of questions that the person conducting the study should bear in mind while observing and analyzing each detailed procedure.

In conjunction with the interviews, preparation of flowcharts that explain the key actions in detail can be of considerable help in analyzing overall procedures and work flows; developing, presenting, and implementing improvements; and conducting task h, Survey of Office Layout and Equipment. (See Appendix A for examples of flowcharting methods.) However, preparation of flowcharts is a somewhat tedious and time-consuming technique. If the procedures and work flow are uncomplicated and clear-cut, flowcharts may not be needed. The basic criterion for using flowcharts is whether they are necessary to obtain a full understanding of the procedures and work flows. Consequently, the person conducting the survey will have to decide whether to use flowcharts and, if so, what type and to what extent.

d. Study of Cases in Process and Completed. This task consists mostly of browsing through documents and records at various processing stages from start to finish, including a thorough sampling of records on closed cases. The review should examine case-related paperwork, including the document that initiates the action, new documents prepared along the way, the contents of the individual case files (folder, jacket, envelope, or batch of papers), all logs, indexes, docket or case summary records, calendars or court schedules, and minutes. In addition, office administrative records should be examined, including general correspondence and memoranda files, reports, and any other documents.

The purposes of this task are to determine how well all the pieces fit together; gain a clearer picture of the

Exhibit 2

CHECKLIST FOR DESK AUDITS AND STUDY OF WORK FLOW

- What is the frequency of the action? What are the manpower costs?
- What is the purpose of the action? How often is it used for that purpose? How well does it serve the intended purpose?
- Is it absolutely essential? What would be the results if it were discontinued?
- Is it being duplicated elsewhere? If so, does it need to be continued at both places? If not, which is the right place for the action?
- If it is absolutely essential and not duplicated elsewhere, is this the right place, the right time, and the right person to do it?
- If a particular procedure were developed to cope with special situations or exceptions rather than normal cases, could the problem be handled in a simpler manner?
- Are there any improper, unnecessary or unreasonable intrusions on the employee's time and work?
- Are any unwarranted reviews, clearances or approvals required by superiors or others?
- Are any delays or problems caused by others with whom the employee works or communicates?
- Are any delays or problems caused by lack of accurate, adequate, and current information?
- Are any problems being created because employees are not being given timely, complete and clear instructions?
- Is there a simpler, better or faster way to do it?
- Are any additional actions needed?
- Could some of the work be done by semiautomated or automated methods? (See Chapter V.)
- Are the processing steps being performed in the right sequence? Is the work flow smooth and straightforward, or is there a great deal of jumping about and backtracking?

work load patterns, complexity and volume; identify any gaps and unnecessary work or needless duplication in the administrative process; examine the degree of uniformity in the way things are done; determine currency of work and locate bottlenecks; determine elapsed time between key events or actions and the total time cases are in the system; compare what is supposed to be done with what is actually being done in the way of case documentation and record keeping, and explore the reasons for any deviations therefrom; and compare past performance and work load with current operations.

Exhibit 3 is a suggested checklist for analyzing cases in process and completed and preparing recommendations.

e. Study of Forms and Form-like Documents. The work of the prosecutor's office depends primarily on effective communication among the entire staff as well as with the courts, police, and other criminal justice agencies. The principal media for transmitting and recording key communications are forms and form-like documents. Consequently, the efficiency of the office depends largely on the quality of their design and reproduction. Unfortunately, however, forms design is often the weakest link in the systems and procedures used by the prosecutor's office.

Most prosecutors take pride, and rightfully so, in the fact that numerous forms have been developed to facilitate the work of the office. However, the forms are often created without sufficient consideration to their design, construction, and methods of reproduction, distribution and stocking. It is one thing to dash off a form that will momentarily satisfy a particular need, but quite another to design one that can be completed with a minimum of effort and special instructions; that is clearly understood by those who must prepare it as well as those who later act on it or use it as an information source; that is compact; that takes into consideration the users' needs; that is multipurpose, where possible; that is properly organized; that has built-in techniques for assuring proper distribution of the copies; and that is constructed and printed in the most efficient and economical method possible.

It is essential to weigh the costs of having the forms designed and printed by professionals against the inefficiencies, errors, confusion and additional man-hours and other costs required to reproduce and complete the forms when they are designed and produced in the prosecutor's office. Electrostatic and other office copiers would appear to be a panacea for the do-it-yourself forms designer and printer. However, use of copiers often proves too costly

Exhibit 3

CHECKLIST FOR STUDY OF CASES IN PROCESS AND COMPLETED

- Are the methods for identifying, processing and monitoring important cases adequate, but not so demanding that routine cases tend to be neglected or lost in the system?
- Are adequate controls and techniques in effect to ensure that important target dates are not overlooked?
- Are there any abnormal situations in connection with elapsed time between case processing steps, as well as between origination and disposition of the case?
- Is case documentation adequate in terms of completeness, accuracy, simplicity, quality, currency, and retrievability?
- Are any problems being encountered due to fragmentation of information among the various document and record files?
- Are any problems being encountered due to lack of uniformity in case processing, documentation and record keeping?
- Are individual employees maintaining informal, personal case files in addition to or instead of standard official files?
- Is there waste in manpower, supplies or equipment due to unnecessary documentation and record keeping, or duplication of information?
- Is there any indication of a need for training, improvements in the system for issuing instructions, or better supervision?
- Is the prosecutor's system for numbering cases redundant or unnecessary in view of other numbers assigned the case?
- If a separate numbering system is needed by the prosecutor, is it as meaningful and useful as it might be, yet not so elaborate or complex that it proves confusing and difficult to administer?
- Is full utilization being made of records or information available from other sources, including the courts and law enforcement agencies?
- Could prosecutory effectiveness be increased or manpower saved by standardizing or otherwise improving the action documents and methods employed by the law enforcement agencies, courts, etc.?
- If the court or law enforcement agencies now employ or plan to employ computers or electronic communication methods and devices, is the prosecutor manager working with them to determine what prosecutory improvements or benefits can be realized by taking advantage of these facilities and services? (Examples: computerized cumulative indexes, in paper and/or microfilm form; lists of pending cases; case disposition lists; lists of cases arranged by names of prosecutor and judges; fugitive lists; automated preparation of subpoenas.)
- Are reports adequate to keep the chief prosecutor properly informed of the case load, time lag, prosecutory effectiveness, personnel performance and crime trends? (See Chapter IV.)
- Are the reports and reporting system adequate to conduct analyses essential to improving prosecutory effectiveness or achieving specific goals, assuring evenhandedness in prosecution, documenting manpower utilization, and justifying requests for additional personnel or funds? (See Chapter IV.)
- Are there any documents now being prepared by typewriter that could be completed by hand to expedite processing?
- Are there any types of repetitive information or data now being entered by hand or typewriter that could be recorded by rubber stamps in order to save time and improve legibility?

Exhibit 3 (cont.)

- Are record keeping practices economical and efficient? Do they include such techniques as continuous separation of permanent and temporary papers; separate maintenance of active and inactive records; regular disposal of temporary records; annual or other periodic cutoff of records, and transfer (retirement) to an inactive records storage area of any records that must be retained for more than two years?
- Are papers pertaining to individual cases being physically maintained in the most efficient and practical way possible? (For example, consider use of folders or jackets if envelopes are now being used; low cost folders, if expensive folders are now in use; and folders with prong fasteners, if important papers are getting lost or the contents are in disarray.)

when a careful analysis is made of the total costs for paper; personnel time involved in travel to and from the copier, reproducing the blank forms and then returning to make duplicate copies of completed forms for distribution; and the machine rental or purchase and maintenance costs. Copies so produced are frequently of poor quality and lack the advantage of instant recognition, and the work of the office is subject to interruption when the copier is broken down or not available.

Consequently, funds expended to obtain the services of a competent professional forms designer and have the forms printed is usually money well spent. However, those in the prosecutor's office who are responsible for developing the paperwork system and methods should have sufficient overall knowledge of forms technology to determine when forms should be used; decide the general format and design; and evaluate the acceptability of the products developed by the forms designer. The checklist in Exhibit 4 will aid in the analysis of forms. (A prerequisite to this step is the advance collection of all forms and form-like documents, and a 30-day sampling [ideally] of all memoranda and letters, with each repetitive item annotated to indicate frequency of use and the number and distribution of copies.)

The checklist in Exhibit 4 will be more applicable to large and medium-sized prosecutors' offices than to small ones. The major consideration in deciding when to develop a special form is frequency of use. Obviously, it would be impractical and costly to print forms that are used only a few times a year. Another important consideration, of course, is the availability of funds for designing and printing forms. One possible solution is for several prosecutors to share the costs and the benefits. A possible approach is to persuade the state prosecutors, bar, or other organization or firm to sponsor and fund the effort, with individual prosecutors then purchasing the number of copies required to satisfy their own needs. Of the many joint efforts that might be undertaken to improve efficiency and reduce costs in the administrative processing of cases, probably none would be more worthwhile than this. The checklist in Exhibit 4 should provide the necessary overall guidelines and objectives for carrying out such an effort.

If there are a large variety of recurring instruments, orders, instructions to the jury and similar form-like documents, no one of which receives heavy usage, it may be more practical to prepare them as needed on an automatic typewriter (word processing machine), such as those employing magnetic cards, tapes or disks for storing the fixed information. (See Chapter V.) However, a careful study should be

Exhibit 4

CHECKLIST FOR STUDY OF FORMS AND FORM-LIKE DOCUMENTS

- Does each form have a concise, meaningful title printed in large type at the top or bottom?
- Is the language short, simple and easy to understand, or is it couched in archaic, overly legalistic, or unnecessarily lengthy or meaningless words and phrases?
- Are forms designed in a block format, the various items carefully organized and arranged, and where appropriate subdivided into separate sections for different types of data (see Exhibit 5), rather than in a free, open, and loosely organized style (see Exhibit 6)?
- Does the vertical spacing conform with the method used for filling in the form (typewriter single or double spacing, six lines to the inch, when completed by typewriter; typewriter double or triple spacing when prepared by hand or by both methods)?
- Has the space for entering each item been accurately measured so that it is adequate but not wasteful?
- Are the forms as self-instructional as possible, leaving no doubt as to the specific information desired and thus making it unnecessary to refer to a procedural manual or other set of instructions? (See Exhibit 7.)
- If more than one copy is routinely required of heavy use forms, have the forms been printed on carbon interleaf sets or paper that makes carbonless copies?
- Has a system of standard color coded paper or color stripes been adopted to facilitate distribution of copies and prevent confusion? (For example: Court - white; Prosecutor - yellow; Defendant/Defense Counsel - light pink; Witness - light green; and Law Enforcement Agency - light blue.) Alternatives: Print the title of the recipient at the bottom of each copy, or list the distribution of each copy on the top copy.
- Have check-off blocks rather than spaces requiring written entries been used wherever possible to reduce completion time, prevent errors and confusion, and assist in making the forms self-instructional? (See Exhibit 8.)
- Have separate forms that are used for similar purposes, or forms used in a single transaction or event, been combined wherever feasible to reduce overall completion time, printing costs, and paper stocking and handling problems? (Examples: form that combines appointment of a public defender or a private attorney for an indigent defendant with the defendant's oath of insolvency; use of the same form for both misdemeanor and felony cases; or a combined warrant or summons and the law enforcement officer's report of service.)
- Are preprinted forms or form-like documents being used, if practical, for heavy-use, repetitive documents such as informations, orders, and instructions to the jury? (See Exhibit 9.)
- Are preprinted form letters or notices being used instead of individually prepared repetitive letters, memoranda, and notices?
- Where the form or form-like document consists largely of text, has a special effort been made to avoid blank space fill-ins by consolidating the items in tabulated form to reduce completion time and improve the appearance of the form? (See Exhibit 10.)
- Have compaction techniques such as one and one-half typewriter spacing, photographic reduction, and rephrasing and reorganization of the contents been used to reduce two- and three-page forms to one page in order to reduce printing costs and the time required to read and complete the form?

Exhibit 4 (cont.)

- If a copy of the form is to be filed on prong fasteners in a folder, are forms prepunched at time of printing to save filing time?
- Have all the forms been assigned numbers, and are the number and the date of issue printed at the bottom or the top of the form to facilitate identification, ordering, stocking, and distribution of the forms, and prevent the use of obsolete editions?
- Are position and organizational titles, only, used on forms in lieu of individual's names to prevent the need for reprinting or crossing out and correcting names when changes in personnel occur?

SELF-INSTRUCTIONAL FORM

DO NOT DETACH

ATTENTION: DEFENSE ATTORNEY. If you desire to enroll the defendant in a pretrial diversion program, please make an appointment with an Assistant United States Attorney, Misdemeanor Trial Section, Rm. 118, Bldg. B, 400 F. Street, N.W., Washington, D.C. within 10 days of Arraignment. Complete Part II of this form and leave all copies with the United States Attorney's Office at the time you make the interview appointment.

UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA, SUPERIOR COURT DIVISION
PRETRIAL DIVERSION ● SCREENING AND ENROLLMENT ● REPORT

PART I - CASE IDENTIFICATION (To be completed by Assistant United States Attorney at papering)

△ Last, First, and Middle Name (print)	Sex	Date of Birth	PDID Number
Code/Defendant(s)	Office Charge(s)	Lab Number	Date

PART II - DEFENSE COUNSEL STATEMENT (To be completed by Defense Counsel)

Defendant's Home Address (Include ZIP Code)	Telephone Number	Court Case Number
	Length in D.C.	
Employer's Name and Address	Telephone Number	Type of Business
	Defendant's Occupation	Length Employed
Defendant's Educational Background	Any Drug or Alcohol Problems <input type="checkbox"/> Yes <input type="checkbox"/> No	Conditional Release Included: <input type="checkbox"/> NTA Testing <input type="checkbox"/> RCA Treatment
If Defendant has Previous Arrest Record, Give Date(s) and Charge(s):		
Present Offense	Date	Time Place
Remarks		
Name of Defense Counsel		
Telephone Number(s)		Date

PART III - REPORT OF INTERVIEW (To be completed by Assistant U.S. Attorney)

FBI Check Completed? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Criminal Record, explain below)	Lab Results (if applicable) Amt: Substance:	If X-roads or Narcotic Diversion case, has enrollment been approved? <input type="checkbox"/> Yes <input type="checkbox"/> No
Remarks - Notes		

<input type="checkbox"/> Defendant is not eligible for any pretrial diversion program and defense is being so notified	Interviewer	Date	Time
--	-------------	------	------

PART IV - INSTRUCTIONS TO DEFENDANT (To be completed by Asst. U.S. Attorney)

TYPE OF PRETRIAL DIVERSION PROGRAM AND ACTION REQUIRED	COMPLETED			
	Date	AUSA'S Init.		
<input type="checkbox"/> PROJECT CROSSROADS Report to Official in charge, Rm. 404, 613 G Street, N.W., Washington, D.C.				
<input type="checkbox"/> NARCOTICS DIVERSION <input type="checkbox"/> Deferred Acceptance of Guilty Plea and Supporting Documents Report to Official in charge, Rm. 714, 613 G Street, N.W., Washington, D.C.				
<input type="checkbox"/> REHABILITATION CENTER FOR ALCOHOLICS Report to Official in charge, Rm.				
<input type="checkbox"/> FIRST OFFENDER TREATMENT Report to Program Supervisor, Rm. 118, Bldg. B, 400 F Street, N.W., and complete the following:				
<input type="checkbox"/> FBI TOUR - Report to 9th and Pennsylvania Entrance to Justice Dept., Room 1732 at 9:00 a.m. on _____				
<input type="checkbox"/> COURT ORIENTATION - Time _____ Date _____ Place _____				
<input type="checkbox"/> COURT OBSERVATION - Total Hours Required: _____ (Report to Asst. U.S. Attorney, Rm. 310, Bldg. A, 515 5th St., N.W., Washington, D.C.)	Date	Time In	Time Out	Total Hrs.
<input type="checkbox"/> OTHER OBSERVATION - Total Hours Required: _____				
<input type="checkbox"/> RESTITUTION (Specify)				
<input type="checkbox"/> ESSAY Topic _____ No. of Words _____				
<input type="checkbox"/> OTHER (Specify)				

Diversion Program Completion Date	Next Court Appearance	Program Supervisor	Telephone No.
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FORM UTILIZING CHECK-OFF BLOCKS

STATE OF NEW MEXICO COUNTY OF _____
IN THE _____ COURT
STATE OF NEW MEXICO No. _____
v.
John Doe

BENCH WARRANT

THE STATE OF NEW MEXICO TO ANY OFFICER AUTHORIZED TO EXECUTE THIS WARRANT:

YOU ARE HEREBY COMMANDED to arrest _____ and bring (him) (her) forthwith before this Court to answer one or more of the following charges:

(Check appropriate box or boxes)

- Failure to appear at the time and place ordered by this Court
- Failure to appear as required by a summons issued by this Court
- Failure to appear as required by a subpoena issued by this Court
- Failure to appear in accordance with the conditions of release imposed by this Court
- Conditions of release previously imposed should be revoked
- Contempt of Court
- Failure to pay fines or costs previously imposed
- Failure to comply with conditions of probation

(Magistrate) (District Judge)

RETURN

I arrested the above-named person on the _____ day of _____, 19 _____, by taking such person into custody.

Signature

Title

Exhibit 9

EXAMPLE OF A FORM SERVING AS AN INFORMATION

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
Criminal Division

The United States Attorney for the District of Columbia informs the Court that within the District of Columbia:

DEFENDANT'S NAME: (FIRST)	(M)	(LAST)	FDID #
DEFENDANT'S ADDRESS			CC#

did on or about _____
commit the crime or crimes indicated herein and identified by an X-mark or X-marks:

- IMPLEMENT POSSESSION - in that he unlawfully had in his possession implements that may reasonably be employed in the commission of crime, to wit, narcotics paraphernalia, in violation of Section 22-3601, District of Columbia Code.
- DANGEROUS DRUG POSSESSION - in that he unlawfully had in his possession a dangerous drug consisting of _____ in violation of Section 33-702(a) (4), District of Columbia Code.
- NARCOTIC POSSESSION - in that he unlawfully had in his possession and under his control a narcotic drug consisting of _____ in violation of Section 33-402, District of Columbia Code.
- NARCOTIC POSSESSION - in that he unlawfully had in his possession and under his control a narcotic drug consisting of _____ in violation of Section 33-402, District of Columbia Code.
- PRESCRIPTION FORGERY AND UTTERING - in that he unlawfully made and uttered a false and forged prescription for the purpose of obtaining a dangerous drug, to wit; _____, in violation of Section 33-702(a) (5), District of Columbia Code.
- MAINTAINING A COMMON NUISANCE - in that he kept and maintained a common nuisance, to wit; _____ a place which is resorted to by narcotic drug addicts for the purpose of using narcotic drugs and which is used for the illegal keeping and selling of narcotic drugs, in violation of Section 33-416, District of Columbia Code.
- PETIT LARCENY - in that he took and carried away, with intent to steal, certain property of value consisting of _____ the property of _____, against the will of the owner in violation of Section 22-2202, District of Columbia Code.
- PETIT LARCENY - in that he took and carried away, with intent to steal, certain property of value consisting of _____ the property of _____, against the will of the owner in violation of Section 22-2202, District of Columbia Code.
- POSSESSION OF NUMBERS SLIPS - in that he did knowingly have in his possession and under his control, records, notations, receipts, tickets, certificates, bills, slips, tokens, papers and writings, current and not current, used and to be used in an illegal lottery commonly known as the numbers game, in violation of Section 22-1502, District of Columbia Code.
- MAINTAINING GAMBLING PREMISES - in that unlawfully he knowingly as owner, lessee, agent, employee, operator, occupant and otherwise maintained and aided and permitted the maintaining of a gambling premises, to wit; _____ in violation of Section 22-1505, District of Columbia Code.
- SEXUAL SOLICITATION - in that he unlawfully invited, enticed, persuaded and addressed for the purpose of inviting, enticing and persuading for the purpose of prostitution and an immoral and lewd purpose, _____ a person who had previously attained the age of sixteen years, in violation of Section 22-2701, District of Columbia Code.

UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA	
BY: ASSISTANT UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA	DATE
OFFICER:	DISTRICT:

USA-16x228 (Rev. 4-1-73)

1 DELIVER TO THE COURT

Exhibit 10

EXAMPLE OF FORM-LIKE DOCUMENT FEATURING TABULATED SPACING

UNITED STATES DEPARTMENT OF JUSTICE
OFFICE OF THE UNITED STATES ATTORNEY

WASHINGTON, D.C. 20531

ADDRESS ALL MAIL TO:
UNITED STATES ATTORNEY
SUPERIOR COURT DIVISION
BUILDING B
400 AND F STREETS N.W.

You are hereby notified to appear for a hearing at the United States Attorney's Office for the Superior Court of the District of Columbia, as explained below:

Place of Hearing:

- First floor, Bldg. E, 601 Indiana Avenue, N.W.
- Room 102, Bldg. B, 400 F Street, N. W.

Date:

Time:

Reason: Complaint charging you with --

You may, if you wish, have an attorney present with you. Failure to appear may result in a warrant for your arrest. If you have any questions concerning your appearance, call 386-6568 or 386-6569 (or 426-7590 after 5:00 p.m.).

UNITED STATES ATTORNEY
FOR THE DISTRICT OF COLUMBIA

By: _____
Chief, Superior Court Division

USA T-6 (Ed. 7-73)

DOJ-1973-08

made of the two alternatives, with attention to manpower and equipment costs, elapsed time, possible bottlenecks, and convenience. The best solution may be to print the more heavily used documents, and prepare individually the ones used only infrequently.

f. Examination of Backlogs. The first step in solving the backlog problem is to determine precisely at which point or points the backlogs exist. Since the real cause of the backlog is often not what it may at first appear to be, the second step is a comprehensive analysis of each situation to determine whether it is (a) a work load problem (too much work or too many tasks for the personnel to whom the work is assigned); (b) a staff problem (unqualified, poorly trained, inefficient, or incompetent personnel); (c) a systems problem (breakdowns and inefficiencies in procedures, work flow, assignment of tasks, work scheduling, distribution of work, controls, etc.); or (d), a combination of two or more of the foregoing. Once this determination is made, the person conducting the study should be able to devise specific remedies for solving the backlog problems.

Exhibit 11 is a checklist for analyzing the problem and developing possible solutions.

g. Review of Mail and Other Communications. This step of the study is primarily concerned with the overall speed, efficiency, manpower requirements and other costs for routing and processing incoming mail and the preparation and dispatch of outgoing mail. Although the handling of mail and other communications will come up time and time again in connection with various other aspects of the study, it pays to take a separate look at these practices, particularly in view of today's spiraling postage and manpower costs. Few managers are aware of the total costs involved in the handling of mail, although these costs can be considerable. The same manager who requires an extensive justification for the purchase of a piece of equipment costing \$1,000 often does not challenge annual expenditures of \$5,000 or more for processing of mail and postage.

The person conducting the study should follow the checklist in Exhibit 12 and recommend changes as needed. The term "action office," as used in the checklist, refers to the organizational element or (in small organizations) the individual employee who is responsible for preparing the reply or taking other action on the piece of incoming mail or communication, or initiating the action on outgoing mail.

Exhibit 11

CHECKLIST FOR EXAMINATION OF BACKLOGS

- Does the work load include a substantial volume of minor cases or activities not germane to the principal functions or major responsibilities of the prosecutor's office? (Possible solutions: Decriminalization of certain offenses or greater utilization of existing authorities; transfer of certain functions to other offices; discontinuance of certain functions or activities.)
- Could the work load be reduced by inauguration of a pretrial diversion (probation or rehabilitation) program for first offenders and certain other types of defendants, or greater utilization of existing programs?
- Is there an imbalance in the work load among the various offices and jurisdictions? (Possible solution: Reorganization of the prosecutors' offices and the courts.)
- If the major backlog is at an attorney's desk, is 10 percent or more of his time being spent in performing nonlegal administrative tasks such as contacting witnesses, answering routine inquiries, scheduling interviews, gathering evidence, etc.? (Possible solution: Use paralegals to perform such tasks, as discussed in Chapter VI, or train secretarial or clerical personnel to perform some of the tasks and assign the responsibilities to them.)
- Is the backlog due to lack of knowledge about the work, failure to perform tasks efficiently, or improper scheduling of tasks? (Possible solutions: Conduct additional training, develop more definitive position descriptions and procedure guides, and establish daily, weekly, and monthly work schedules.)
- Are any bottlenecks caused by overspecialization in assignment of responsibilities and tasks, or overconcentration of key processing steps at one point? (Possible solutions: Less specialization; reassignment of responsibilities and tasks; additional training; and arranging for backup personnel to assist automatically with the work during peak periods and to take over when regularly assigned personnel are not on duty.)
- Are the procedures or work flow unnecessarily complicated; do they include unnecessary steps; or are they otherwise inefficient or obsolete? (Possible solutions: Temporarily assign the person in the organization with the best systems and procedures knowledge to correct the deficiencies, or obtain the services of a systems or procedures specialist, following the guidelines in section 1 of this chapter.)
- Are the forms and records less efficient than they might be, or are new forms and form-like documents needed to simplify and expedite the processing actions? (Possible solutions: Using task e above as a guide, obtain the services of a professional forms designer, if at all possible; otherwise, try to make the improvements in-house.)
- Are there appropriate controls, such as tickler files, and adequate follow-up to assure that actions are taken in a timely fashion and that all required work is completed? (Possible solution: Install a simplified system for keeping track of deadlines and pending work, as discussed in Chapter IV, and then follow up to make sure that the work is being completed promptly.)
- If the bottleneck is largely a problem of communications with other agencies, particularly police departments, has a thorough study been conducted to resolve the problem? (Possible solution: Use mechanized methods such as teletype machines and other on-line remote terminals which permit direct querying of the other agency's computerized data bank; or, if the problem is partly due to interoffice communications, use direct telephone "hot" lines or an intercom system.)

Exhibit 12

CHECKLIST FOR REVIEW OF MAIL AND OTHER COMMUNICATIONS

- Are incoming letters and other communications promptly delivered to action offices?
- Is interoffice mail being promptly moved from point to point?
- If witness subpoenas and summonses are being returned by the Postal Service or the sheriff as undeliverable, have the law enforcement officers been requested to be more careful and thorough when obtaining, verifying, and recording addresses? (See Frank J. Cannavale, Jr., and the Institute For Law and Social Research. Witness Cooperation: With a Handbook of Witness Management. Lexington, Mass.: D.C. Heath and Company, 1976.)
- If outgoing mail must be dispatched over the signature or titles of supervisory officials, but the replies should be delivered to individual action offices, are correspondence symbols or similar identification techniques used to facilitate direct delivery to such action offices?
- Are personnel responsible for opening and distributing incoming mail fully knowledgeable and adequately trained to assure that items are delivered to the proper action offices without delay? (In larger organizations, it may be advisable to prepare a mail routing guide for the use of such persons.)
- If messengers are used, is there a pickup and delivery schedule? Is the frequency of pickup and delivery adequate and is the schedule coordinated with that of the Post Office? Are the pickup and delivery points at the right places and properly identified?
- Is the dispatch of outgoing mail centralized, in order to make it practical to use postage meters and possibly other mechanized equipment (if justified by volume) and provide tighter controls over the use of special mail services?
- Have rules been established on the basis of costs, benefits, and other considerations as to when special mail services will be used (special delivery, first class versus third or fourth class, and registered, insured, or certified mail)?
- Have deadlines been established for answering various types of incoming mail, and are all replies being made within a reasonable time? (Although difficult to administer, a central control is sometimes necessary over the handling of "VIP" mail from high ranking officials.)
- Have the number of reviews of outgoing mail been reduced to an absolute minimum and authority delegated to officials at lower levels to sign routine outgoing mail (either over their own signatures, or for the prosecutor)?
- Is a special effort being made to use short, simple words, phrases, sentences, and paragraphs, rather than "legalistic" language, particularly in correspondence and other documents prepared for the public?
- Are the following methods being employed, wherever appropriate, to reduce costs and expedite processing actions?
 - (a) Prepare reply by making handwritten entry on incoming letter or memorandum, then returning it to the sender and making a copy on an office copier, if necessary, for record purposes.
 - (b) Use forms and form letters wherever practical. Unless it is necessary to have a copy of the data entered in the blanks, do not prepare a copy for the file; instead, annotate the incoming mail or other record to indicate the date such form or form letter was sent. (Also, whenever feasible, return any incoming mail with the reply.)

Exhibit 12 (cont.)

- (c) Use automatic typewriters (see Chapter V) for repetitive letters and other documents when this method is more economical or practical than printing, stocking, and preparing forms or form letters.
- (d) Use window envelopes instead of closed individually prepared envelopes to save time. (They should be used for individually prepared letters as well as forms or form letters.)
- (e) When supplying correspondents with postage paid return envelopes for their use in replying, use U.S. Post Office printed permits in lieu of postage stamps or metered mail.
- If there is a considerable volume of point-to-point communications within the office and with other agencies, have such methods as telephone direct "hot" lines, intercom, teletype and other remote terminal equipment, and facsimile transmission systems been fully explored and evaluated?

h. Survey of Office Layout and Equipment. A separate survey should be made to determine if the office layout is as efficient as possible, taking into consideration procedures and work flow; whether the space and equipment is properly allocated and utilized; and whether increased efficiency or reduction in personnel costs could be realized by securing additional space or equipment. Most of the data needed to perform task h should have been obtained during task c, Desk Audits and Study of Work Flow. Flowcharts would be especially helpful in making the analyses required in task h.

In conducting the survey of office layout and equipment, it is necessary not only to consider procedures and work flow as they now exist, but as they would be affected by any changes being recommended. Consequently, it may be necessary to develop one or more alternatives for some of the recommended changes in office layout and equipment.

Exhibit 13 is a checklist that should be helpful in conducting this survey.

i. Analysis of Special Problems. The study tasks described above provide the guidelines for a detailed analysis of the administrative activities within the prosecutor's office in order to determine measures that can be taken to solve problems and improve efficiency. Once this is done, and the recommendations developed, any special problems and abnormal situations that emerged during the general tour or in interviews with office personnel should be reexamined to determine whether the proposed changes will alleviate them. Generally, the solution lies not in just one improvement (revision and development of forms, for example), but in a combination of corrective actions--some administrative in origin, and others perhaps of a legal nature. The major task is identifying both the immediate and underlying causes of the problem. The checklist in Exhibit 14, together with the detailed guidelines included in the preceding checklists, should be helpful in narrowing down the possible causes and developing solutions, if the problem is administrative in nature. Selected reference sources and aids are included in Appendix C to provide further guidance for the person conducting the study.

j. Study to Determine Feasibility of Using Microfilm. It is unlikely that microfilm will play a major role in reducing costs and increasing efficiency within the prosecutor's office, for two reasons: microfilming of records for space saving purposes alone is normally not justified or practical; and case files, which constitute the bulk of the prosecutor's records, are generally unofficial, privileged working files rather than official records. Once the case is closed, the

Exhibit 13

CHECKLIST FOR SURVEY OF OFFICE LAYOUT AND EQUIPMENT

- Is the layout of desks and equipment logical in terms of work flow?
- Are individual employees or groups of employees whose work requires frequent contact and communication located as close together as possible?
- Are office files and equipment located as close as possible to the primary users?
- Is specialized equipment such as office copiers, dictating machines, automatic typewriters, microfilm cameras, etc., "pooled" in order to achieve better utilization and to permit all potential users to share in the benefits?
- Are there any bottlenecks or lost time due to demand exceeding the capacity of the equipment, or equipment breakdowns?
- Where problems in the use of equipment are the result of peak loads, has proper consideration been given to scheduling its use and possible double or triple shift and weekend operation during such periods?
- Is the use of relatively expensive equipment and supplies being properly monitored and controlled to prevent waste and abuse?
- Could any of the problems or expenses in connection with equipment use be reduced by simplification of procedures or improvements in form design? (See task e.)
- Is the present equipment the best suited for the job in terms of speed, capability, reliability, quality, ease of use, servicing and cost?
- Are equipment operators properly trained? Are any problems arising due to use by inexperienced personnel?
- Is the equipment being properly maintained and serviced?
- Is there any surplus equipment that should be disposed of?
- If data processing equipment is in use, has adequate attention been given to simplifying and reducing the costs of input by the use of self-coding forms; producing the input documents as a by-product of existing paperwork; and adopting other source data automation techniques? (See Chapter V.)
- If data processing or other automated equipment is in use, has a comprehensive analysis been made of users' needs to assure that the full potential of the equipment and the data base is being utilized for both management and operational purposes, and that the output products are ideal in terms of contents, format, design, frequency, distribution, etc.?

Exhibit 14

CHECKLIST FOR ANALYSIS OF SPECIAL PROBLEMS

- Is the problem in any way due to the manner in which cases are assigned to judges and calendared?
- Is the problem attributable in any way to inappropriate work assignments or weaknesses in supervision? (See task b.)
- Is the problem due all or in part to inadequate, faulty, unnecessarily complex or needless procedures; improper work flows; inadequate controls; inadequate or faulty documentation or record keeping; or weaknesses in reports? (See tasks c and d.)
- Could the problem be reduced through improvements in the design, fabrication, printing, and stocking of forms, and in methods used in completing them; development of new forms or form-like documents; or clarification or simplification of the language? (See task e.)
- Is the problem in any way due to lack of witness cooperation or other aspects of witness management? (See Frank J. Cannavale, Jr., and Institute for Law and Social Research. Witness Cooperation: With a Handbook of Witness Management. Lexington, Mass.: D.C. Heath and Company, 1976.)
- Is the problem in any way due to a bottleneck, marginal or nonproductive activities, an imbalanced work load, or the fact that a great deal of the attorney's time is spent in performing administrative duties? (See task f.)
- Could the situation be improved by speeding up processing of incoming and outgoing mail, reducing the manpower requirements, or improving communications practices and methods? (See task g.)
- Could the use of microfilm help in any way? (See task j.)
- Is the problem in any way related to office layout or equipment? (See task h.)

files can be destroyed after a reasonable period (two to five years, or as prescribed by state statute or regulation).

There are three reasons why microfilming existing collections of case records to save space is seldom justified or practical: costs exceed the benefits; it is often difficult to produce microfilm of the desired legibility; and users normally find it more convenient and satisfactory to work with the original documents than the microfilm.

The costs for photographing existing case files are approximately \$35 to \$50 per linear foot of files, because of the time required to remove the individual documents from the folder, extract staples, and otherwise prepare the contents for filming; time required to operate the microfilm camera, inspect the film, make retakes and prepare labels; and costs for equipment, film, and processing. The original files could be stored in low-cost warehouse space for 50 to 100 years for the same cost. In addition to the initial costs, the use of microfilm requires expenditure of funds for equipment and supplies to view the film and make paper enlargements of individual documents.

Difficulty in obtaining a legible microfilm copy of case records is caused by such factors as lack of contrast between the color of the paper and the information recorded on it, and faint carbon impressions or handwriting. For this reason, it is difficult to obtain complete user acceptance. In addition, many persons find it inconvenient to leave their desks to view the film, especially since they must scan a large amount of material to locate the specific documents that interest them. There are other disadvantages as well, including the inability to enter written notations on the documents, and problems created when new material must be added to the case file. (There are solutions to these problems, but the additional costs usually outweigh the benefits realized from converting the case files to microfilm.)

Despite these limitations, microfilm may prove beneficial for operational and reference purposes in some prosecutors offices, particularly in the future. The possible use of microfilm should therefore be included in the study.

In recent years, a great deal of attention has been given to making microfilm a management improvement tool. Today, the microfilm reference copy is available not only in the old familiar roll form but in cartridges or cassettes, with special techniques and devices for quickly locating any specific document. There are also microfilm jackets (strips of microfilm inserted between two layers of transparent material

to form a card-size carrier) that make it possible to add new pages within the file, and microfiche (microfilm images arranged in rows, as in the jacket, but consisting of a single piece of film), which is an ideal medium for reproducing and distributing material such as voluminous publications, research documents, precedent decisions, statutes, codes, rules, alphabetical and other case indexes and directories. However, these special features add to the cost of the microfilm system.

The computer and related equipment have become vital working partners to microfilm in the following ways: by maintaining and producing indexes to the contents of the microfilm file, thus making it possible to locate documents quickly within a massive collection of microfilm; and by making it possible, through the use of COM (computer output microfilm) equipment, to produce microfilm copy directly from computer magnetic tape, thus eliminating preparation of a paper copy altogether.

As a systems tool, therefore, microfilm offers three possible advantages for the prosecutor: it permits storage of large quantities of documents or data at the point of use; it permits duplicate sets of documents or data to be maintained at various locations; and it offers possible savings in publications acquisition costs, since those available on microfilm normally cost less than paper copies.

It is obvious that no microfilm project should be undertaken until a thorough cost-benefit study has been made, all alternatives have been carefully considered, and the end product and system thoroughly tested for feasibility and user acceptance. The checklist in Exhibit 15 is divided into two parts: factors to be considered in converting paper records to microfilm; and factors to be considered in designing or selecting a microfilm retrieval system.

Exhibit 15

CHECKLIST FOR STUDY TO DETERMINE
FEASIBILITY OF USING MICROFILM

Factors to be considered in converting paper records
to microfilm

- What are the total costs for preparing the documents for filming, producing the film copies, and providing the equipment and supplies for the user, versus alternative costs for retaining and servicing the documents in paper form?
- Are the documents susceptible to fast, low cost filming (absence of two-sided copies, bound volumes, folded papers, irregular sizes, various colors, mutilated documents, and faded or poor copies)?
- Are the documents generally of sufficient quality to produce a legible microfilm copy?
- Is the camera operator properly skilled and trained?
- Is the camera of the proper type and quality?
- Is the film of proper type and quality? Regardless of the intended use, either the original camera film or the first duplicate copy should be of archival quality (suitable for permanent retention).
- Are there proper controls over the processing (developing and washing) of the film? (Processed film should satisfy standards for archival quality.)
- Is the film being properly authenticated and inspected? Is a separate (original or first duplicate) copy of the microfilm being stored in a safe, properly maintained location for protection against loss, destruction, or damage to the working copy? (A "security" copy should be stored under conditions specified for storage and care of archival microfilm.)
- Are all necessary and appropriate measures being taken at time of microfilming to assure fast and easy retrieval of documents, now and in the future?
- If updating is necessary, are all necessary and appropriate measures being taken at time of microfilming to assure that it can be done in an efficient and fully satisfactory manner?
- If a document series is to be microfilmed in the future, is everything practical being done today to revise the present paper copy system in order to reduce filming costs and improve the quality of the microfilm images for filming tomorrow?

Factors to be considered in designing or selecting
a microfilm retrieval system

- Is the system for locating and retrieving desired documents or data adequate, and the costs consistent with the need?
- Is the microfilm reference copy medium (conventional roll film, cartridges or cassettes, microfilm jackets, microfiche, or other) the best suited to the situation at hand?
- Is this system compatible with other microfilm systems in terms of type and size of medium and reduction ratio?
- Are the microfilm viewers or viewer printers of the proper number, type, and quality consistent with the need?
- Is the system being properly monitored and the equipment and film properly maintained?
- Has the system received proper user acceptance and are the costs fully justified?

III. GENERAL USES AND PURPOSES OF A MANUAL OR SEMIAUTOMATED PROSECUTOR'S MANAGEMENT INFORMATION SYSTEM

Upon completion of the study recommended in Chapter II, the prosecutor should have gained a comprehensive knowledge of the strengths and weaknesses of the present system for managing the administrative and operational aspects of his office and the improvements that should be made. Chapters IV and V, which follow, provide specific guidance in designing the type of PROMIS system configuration that is best suited to the prosecutor's resources, preferences, and needs, both present and future. (In addition, many of the principles and guidelines contained in Chapter II will be of assistance in implementing Chapters IV or V.) The purpose of this chapter is to give the prosecutor an insight into the full range of possible uses and general purposes of a manual or semiautomated PROMIS system, so that when designing the system, he can make certain that it will have the capabilities he considers essential or desirable.

These possible uses and general purposes are as follows:

- . Case monitoring
- . Improving operating efficiency
- . Case classification for priority processing and other purposes
- . Case calendaring
- . Information retrieval
- . Case status reporting
- . Case documentation
- . Witness management and issuance of subpoenas
- . Work load reporting and forecasting
- . Conducting analyses and research

A. Case Monitoring

PROMIS aids the prosecutor by providing a concise, convenient record for use in monitoring all aspects of the prosecution of individual cases. A complete description of

the case, the charges, the parties involved, and events which occurred in the courtroom as well as between court events are immediately available for determining the progress being made in the case, and making decisions about further actions to be taken. One of the most significant differences between PROMIS and other case management information systems is that it records the reasons for adverse action, including rejected or reduced charges, nolle prosequi, dismissal by the prosecutor or the court, and continuances (postponements). PROMIS is, therefore, of particular assistance to the prosecutor in monitoring cases to assure evenhandedness in the exercise of discretionary powers.

The various types of data immediately available to the prosecutor for monitoring a case include:

- . Information about the crime, the arrest, the charges, the accused and his criminal history, and the complainant and witness;
- . Record of any other pending cases against the defendant;
- . Decisions not to prosecute and the reasons therefor;
- . Decisions to reject, raise, lower, or add charges and the reasons therefor;
- . Negotiation and acceptance of pleas;
- . Decisions to allow defendants to enter a diversionary (rehabilitation) program instead of going to trial;
- . Decisions to nolle prosequi or dismiss and the reasons therefor;
- . Information about the cases assigned to each assistant prosecutor, each defense counsel, and judge; and
- . Information about court events and final disposition of the case (dates, names of principals, outcome and reasons therefor).

B. Improving Operating Efficiency

One of the major objectives of PROMIS is to provide an orderly, logical system for performing the administrative aspects of case processing by bringing order to what is often

a chaotic situation. The various forms and items of data contained in PROMIS also serve as a checklist to assure that due consideration is given all aspects of the case, thus substantially reducing the possibility that something of importance is overlooked.

The prosecutor is able to adapt to the needs of his office the latest, tried and proved methods used by government and private industry for increasing efficiency in their operations. Possible operational benefits of PROMIS include the following:

- . Improved service to members of the attorney staff;
- . Increased management information capability;
- . Increased flexibility;
- . Better communications;
- . More efficient forms;
- . Better records;
- . Increased practicability for using paralegals and administrative personnel to assist in the paperwork and administrative processes;
- . Reduction of elapsed time in case processing;
- . Reduction of errors and omissions;
- . Improved uniformity and consistency in case processing;
- . Easier monitoring for bottlenecks, backlogs, case assignment and reassignment, and productivity;
- . Better continuity in operations when changes in personnel occur;
- . Easier training of new assistant prosecutors; and
- . Potential for rendering new and valuable services or assistance, at little or no additional cost, to other agencies within the criminal justice system.

C. Case Classification for Priority Processing and Other Purposes

The ability of PROMIS to identify and rank cases according to the seriousness of the crime and the gravity of the defendant's criminal record (his danger to society) is obviously more needed for day-to-day operations in the large urban prosecutors' offices than in smaller ones. In a small or medium-sized office, the chief prosecutor and his principal assistants generally have a fairly detailed knowledge of the more serious cases; therefore, the classification and ranking capability of PROMIS may not be needed at the early stages of the prosecutory process. However, with the passage of time and the buildup in the case backlog, it becomes more difficult to keep track of these cases to assure that they receive special attention, particularly when attempting to evaluate the importance of the case on the basis of both the seriousness of the crime and the offender's threat to society.

When reviewing the list of pending cases, one is more likely to judge the importance of the cases on the basis of seriousness of the crime, possibly overlooking some of those cases where the current crime is not particularly serious, but the defendant's criminal record and known behavior place a special obligation on the prosecutor to assure that everything possible is done to obtain a conviction in the pending case or cases. (All too often, the criminal justice system has failed to obtain sufficient evidence to place criminal charges against such persons, and all too often even when arrested they continue to pass through the system unscathed.)

PROMIS offers a capability far beyond that of human memory when dealing with larger case loads and when viewing the situation over the long haul. Further, it can be disciplined to respond, without fail, in any manner the prosecutor may desire.

Potential uses of the case classification capability of PROMIS in small and medium-sized prosecutors' offices include the following:

- Ranking or identifying all pending cases to ensure that all serious ones receive special attention, particularly in such matters as investigation and keeping track of witnesses;
- Ranking or identifying cases on trial calendars to assure that any serious cases receive priority treatment; and

- Ranking or identifying closed cases to ascertain reasons why serious cases are being lost; to evaluate prosecutive effectiveness in serious cases; and to measure the extent and impact of plea bargaining, particularly in those cases where the accused has a serious criminal record.

D. Case Calendaring

Although the courts in many jurisdictions have traditionally been responsible for scheduling criminal cases for trial, it may not always be the most practical arrangement. The prosecutor is involved in selecting the trial date and scheduling cases, taking into consideration such factors as time needed to prepare the case for trial; priority scheduling of serious cases; whether the defendant is in custody; number of witnesses and estimated length of trial; likelihood of case being disposed of through plea bargaining, nolle prosequi, or dismissal; and availability of prosecutors for trying important cases. (Scheduling, of course, must always give due consideration to the timetable, resources and preferences of the court, and the rights and problems of the defense.) Many prosecutors schedule cases unofficially, even in states where case scheduling is by statute the responsibility of the court, and some prosecutors prepare and distribute the official court calendar.

The PROMIS system serves as an ideal vehicle for preparation of the calendar, not only for reasons of ease and simplicity, but also because it contains valuable data not always available for inclusion in a court calendar, such as names, numbers and types of police officers and other official and lay witnesses, and identification of continuances, dispositions and other actions and the reasons for them.

In those jurisdictions where the calendar is prepared by the court, PROMIS can be used by the prosecutor to prepare advance working copies of the court calendar at any frequency and listing arrangement desired.

Preparation of the calendar through the PROMIS system offers the following possibilities and advantages:

- Publishing the calendar at regular intervals in advance (for example, 15, 5 and 2 days before the trial date) to keep key personnel in the court and offices of the prosecutor, public defender, jail, bail agencies, and law enforcement agencies fully informed;

- Identifying and/or listing cases on one or more priority bases, such as importance of the case, length of time case has been in the system, whether the defendant is in custody, and release status of the defendant;
- Improving knowledge about which cases will actually be going to trial by removing from the trial calendar cases in which the defendant will plead guilty or there is to be a nolle prosequi or dismissal action;
- Improving the scheduling process by taking into consideration such trial time factors as number of defendants, number of witnesses, and type and complexity of case;
- Reducing confusion by identifying or bringing together records of codefendants; and
- Preparing special "operational" calendars such as separate listings by name of judge, assistant prosecutor, the public defender or other defense counsel; jurisdictional area; or law enforcement agency.

E. Information Retrieval

One of the more time-consuming activities of the prosecutor's office is responding to routine telephone and other inquiries made by law enforcement agencies, officials of the court, public defenders and other defense counsel, relatives and friends of the defendant and the victim, witnesses, probation and parole officers, the press and others. In addition, the prosecutor is frequently expected to furnish data to other local, state, and federal agencies.

In designing PROMIS, special consideration was given to the various techniques and equipment used in modern information storage and retrieval systems. Consequently, PROMIS offers the prosecutor an improved system for storing and retrieving information and permits the use of either low cost techniques (special cards and other manually prepared records) or more expensive techniques (machine printouts and cathode ray tube "TV" display). Retrieving information from such systems can often be accomplished on a self-service basis, or by members of the administrative staff.

Special attention has also been given to structuring the PROMIS data base so that it is as compatible as possible with

those used in other criminal justice data systems, including the National Crime Information Center (NCIC), the Computerized Criminal History (CCH) System, and Offender Based Transaction Statistics (OBTS).

PROMIS, therefore, offers the following advantages and potential benefits for information storage and retrieval:

- Time savings for attorneys and reduction of interruptions in their work;
- Faster and easier retrieval of information;
- Easier transfer and exchange of data with other agencies, including the courts and law enforcement agencies;
- Easier conversion or upgrading to a more sophisticated system; and
- Possible savings in costs of information storage and retrieval by utilizing or sharing the court's computer system.

F. Case Status Reporting

It is not enough to have a system that is efficient for information retrieval purposes. If the prosecutor is to be fully aware of the activities of the office, he and those who assist in managing the affairs of the office should be periodically reminded of the status of each pending case, in order to see that everything is under proper control and that all possible measures are being taken to expedite the disposition of the older cases as well as the important ones. PROMIS can regularly remind the prosecutor of what needs to be done by producing case status lists according to key characteristics, such as:

- All pending cases;
- All cases pending at a specific stage;
- All cases pending at a specific stage for over a given number of days;
- All pending cases scheduled for trial on a specific date; and

- Fugitive and outstanding warrant lists for cases where no arrest has yet been made or the accused has absconded.

If desired, these lists can be further sorted in several ways, including the name of the prosecutor assigned to the case, the case number, name of defendant, name of the judge, or by importance of the case, as described in section C above.

These case status lists would also help the prosecutor in processing new cases to determine if there are any pending cases or outstanding warrants against the accused. Judges and other officials of the court might find the pending case lists beneficial in their work. The fugitive and outstanding warrant lists might also prove useful to the police.

G. Case Documentation

It should be possible for anyone in the prosecutor's office, in reviewing a case, to determine precisely what has taken place within as well as outside the courtroom, when each action occurred, the reason for the action, and the parties involved. A second test of a properly documented case is to be able to ascertain with some reliability that certain things did not occur: for example, that there was no prior relationship between the accused and the victim; there was no provocation by the victim; the victim did not participate in the crime; and no plea bargaining has taken place.

Complete, accurate documentation becomes increasingly important as the size of the office case load grows and as new attorneys join the prosecutory staff. Reliance is too often placed on the memory of the person who handled the case, which can be a risky practice for that person, the prosecutor, and the state. Although the PROMIS system requires the prosecutor to record more facts than are probably being recorded now, the forms and records can be designed to minimize the time and effort required for documenting the case, as demonstrated in various places in this handbook. Experience has proved that the benefits listed below exceed any additional work that may be involved:

- Better case documentation (more facts, fewer errors and omissions);
- Easier and faster recording of facts;

- Easier and faster training of new prosecutors; and
- Increased practicability in using paralegals and administrative personnel to assist in case paperwork and administrative tasks.

H. Witness Management and Issuance of Subpoenas

No prosecutor is likely to challenge the contention that the successful prosecution of a case demands proper witness management and issuance of subpoenas. Typically, there are three impediments to efficiency in witness management:

- Procedures that are based on the premise that all cases will be going to trial. Viewed from the national norm, less than 10 percent of cases are disposed of by trial. Subpoenas are often issued in cases where the witnesses are not required, and witnesses frequently appear in court only to be told they are not needed.
- Inaccurate and incomplete witness addresses and related data. These problems are most often caused either by the failure of the arresting or investigating police officers to give proper attention to obtaining and verifying witness addresses and telephone numbers, or errors in recording this data. (It is also sometimes evident that witnesses give incorrect addresses because they do not want to get involved or fear reprisal, a situation that is no doubt precipitated when police officers question witnesses within earshot of the accused.)
- Weaknesses in the methods and controls for communicating with witnesses. The prosecutor has a vested interest in these matters, yet in many jurisdictions the responsibility is split among three agencies:
 - The court, which often issues or prepares the subpoenas, or both.
 - The sheriff's office (usually someone other than the arresting or investigating police officer), which serves the subpoenas or (in many jurisdictions) mails them. Procedures often provide for the sheriff to report the results of his efforts to the court, rather than to the prosecutor.

Because of this and the possibility of earlier errors or omissions, there is no assurance that the witness will appear in court when needed, unless the prosecutor takes the time to contact each witness personally.

- The prosecutor, who often does as much or perhaps more work than if he handled the matter himself.

One answer to these impediments is for the prosecutor to assume the responsibility for the preparation, issuance, and control of subpoenas. In addition, of course, the prosecutor could assume responsibility for monitoring witness-related matters to assure that the arresting or investigating police officers are doing everything possible to obtain the proper addresses and telephone numbers of witnesses, and that process servers perform their job properly.

PROMIS provides the prosecutor with the ideal vehicle for issuance and control of witness subpoenas and improvements in witness management in general. Possible advantages and benefits include the following:

- Reducing the number of subpoenas prepared and served by withholding the action until that point in the prosecutive process at which there is a reasonable assurance that the case will be going to trial;
- Reducing errors and omissions by having direct control over the preparation and serving of subpoenas and receiving reports of service or nonservice;
- Adopting subpoena procedures for placing witnesses on standby in all or certain types of cases;
- Reducing unnecessary appearances by witnesses, and realizing possible savings if witnesses are paid a fee or reimbursed for transportation;
- Reducing confusion and misunderstanding on the part of witnesses;
- Maintaining an alphabetical index by names of witnesses, making it possible to identify

quickly the case involved when inquiries are received, and to determine whether the same witness is involved in more than one pending case;

- Preparing "thank you" letters in instances where the witness appeared in court or indicated a willingness to serve but was not needed;
- Improving communications between witnesses, law enforcement agencies, and the prosecutor; and
- Improving relations between witnesses and the criminal justice system (police, court, and prosecutor).

In addition, in semiautomated or automated PROMIS systems, subpoenas can be prepared automatically, together with a witness index for use in identifying the case involved when witnesses call or appear and lack this information.

The prosecutor should find the following publication of interest and assistance in dealing with witness problems: Frank J. Cannavale, Jr., and the Institute for Law and Social Research. Witness Cooperation: With a Handbook of Witness Management. Lexington, Mass.: D.C. Heath and Company, 1976.

I. Work Load Reporting and Forecasting

Managing a prosecutor's office is much like any other business in one respect--facts and figures about the present work load are needed to determine current resources expended on cases and, even more important, to determine and justify future requirements for funds. The most common complaint expressed by prosecutors is the lack of adequate funds, but they are often hard pressed to produce the facts and figures needed to convince those controlling the budget that existing funds are being properly utilized, that additional funds are needed, and that the amount requested is accurate and justifiable.

The PROMIS system and its data bank provide a relatively simple means for preparing whatever reports are needed to reveal the present work load, in any manner or detail desired. After the system has been in operation for a while, it becomes possible to plot trends in the work load and thus formulate more accurate forecasts of future budgetary requirements.

There is no single measurement that provides an adequate picture of the work load. Various diagnostic classifications,

which can be compiled through the PROMIS system, are needed. These include such categories as:

- Case intake: number of cases considered, charged, rejected or reduced;
- Preliminary or pretrial hearings: number of cases bound over, dismissed, aborted;
- Grand jury: number of cases indicted, rejected, or charges reduced by grand jury, and withdrawn or dismissed by the prosecutor, where applicable;
- Motions and miscellaneous hearings: number and types considered, approved and dismissed;
- Trials: number of cases tried, by type (jury or nonjury) and verdicts, and possibly time spent in court for this purpose;
- Other case dispositions: number disposed of by guilty plea, nolo contendere, dismissal or nolle prosequi, and suspended due to defendant's disappearance;
- Pending case load: number of pending cases at various points in the prosecutive process;
- Case assignment: number of pending cases assigned each assistant prosecutor and number processed by each during any given period;
- Subpoenas: number of individual subpoenas issued;
- Continuances: number of times prosecutor participated in a court action which resulted in continuance rather than disposition; and
- Warrants and summonses: number issued and cancelled and number reviewed in connection with overall periodic review of outstanding warrants.

Not only can these figures be readily obtained from the PROMIS data, but the counts can be structured in the manner most meaningful for portraying an accurate picture of the total work involved: for example, counts that reflect the total

number of charges, the total number of defendants, the total number of witnesses, and total number of court appearances, as well as conviction and sentencing data.

J. Conducting Analyses and Research

Because of the paperwork and case documentation methods employed in most prosecutors' offices, it is impractical to conduct analyses and research except on a very limited scale. As situations change and problems arise, the prosecutor must often rely on assumptions rather than facts to determine the causes, take corrective action, and formulate office policies. Having done this, the prosecutor is again proceeding under fog-like conditions, for he usually has no way to obtain an accurate measurement of the results or the overall effect of changes in policy and management practices.

Data and statistics on the processing and disposition of cases in the prosecutor's office can also be highly beneficial to other criminal justice agencies in determining the effectiveness of their methods, identifying needed improvements and training, and formulating policies. In one large police department, for example, data comparing police charges with those filed by the prosecutor and the reasons for the differences are used to identify erroneous, ill-advised, or improper police procedures and the need for training, other corrective action, or changes in policy. Similarly, information on case dispositions, particularly rejected charges, nolle prosequi and dismissal actions, and the reasons for them can also serve as a guide for the police in determining how well they are doing and whether any additional changes need to be made.

Obviously, then, the public defender, the courts, probation and parole officers, and correctional institutions should also find the data available through PROMIS beneficial for conducting analyses and research within their areas of responsibility.

The PROMIS system and its data base also make it possible to analyze current experience and trends, with their causes and effects, and make judgments about the possible effects of changes in policy, statutes, and rules of procedure. The following are examples of the types of analyses that can be made:

- Are defendants with comparable criminal histories and current charges being given equal treatment?

- What percent of police arrest charges in each jurisdiction are modified by the prosecutor? What percent are totally rejected?
- What are the reasons for charge modification or rejection? Is there a need to brief the police or provide training assistance?
- What are the main reasons for nolle prosequi actions and dismissals? Do they reflect, for example, weaknesses that should have been detected at case intake?
- What percent of cases involve arrestees who were free on bail, parole or probation?
- What effect does a close victim/accused relationship have on case disposition in various types of crimes?
- What have been the final dispositions on all cases of a certain type (e.g., narcotics) for a recent period?
- What is the average delay between arrest, indictment/arraignment, trial, sentencing or other disposition?
- What effect does an increase or decrease in the time between arrest and trial have on case disposition?
- What would be the effect of curtailing or modifying plea bargaining?
- What are the effects of pretrial diversion (rehabilitation) and various correctional programs on recidivism?
- What are the patterns and trends in criminal behavior--overall and within different geographical areas?
- What is the relationship between the charges and the defendant's (or victim's) personal characteristics, such as age, place of residence, etc.?
- What would be the effect of working out arrangements with the police whereby they

would inform witnesses when to appear in court, rather than preparing and serving a separate notice?

- What would be the effect of initially scheduling cases for a pretrial hearing (rather than for trial) four weeks following arraignment, at which time only the defense, prosecutor and judge would be present, for the purpose of taking pleas and working out any other final dispositions possible at that time? The purpose of such a procedure would be to eliminate unnecessary call up of witnesses and jurors, increase efficiency in estimating the trial work load and scheduling cases for trial, and reduce the overall work and expenses of the prosecutor, the court and the public defender.
- What would be the effect of other alternate case scheduling methods and systems?

IV. DESIGN AND OPERATION OF A MANUAL PROSECUTOR'S MANAGEMENT INFORMATION SYSTEM

In developing the manual and semiautomated versions of PROMIS, the primary objective was to provide prosecutors with a system that is simple, yet retains the major features and benefits of the computerized system. Comments from prosecutors and others who have studied the manual and semi-automated versions of PROMIS presented in this handbook confirm that this objective has been accomplished. The basic components of the manual PROMIS system are:

- . the Case Progress Docket, a card that serves as the master record and main reference device;
- . a Subpoena/Witness Record with multiple copies, which facilitates issuance of the subpoena and provides detailed data about witnesses for both reference and research purposes;
- . the Calendar Card, which permits rapid preparation of either a comprehensive court calendar or working copies for the use of the prosecutor, with a minimum of effort;
- . the PROMIS Crime Analysis Score Sheet, which provides a means for rating each case according to the seriousness of the crime and the criminal's threat to society for use in establishing priorities and gathering statistics for research purposes; and
- . a low cost, everyday folder for housing the papers associated with the case.

The procedures and forms embody the design principles and concepts set forth in Chapter II, and make possible the uses and benefits of PROMIS described in Chapter III. Further, the manual PROMIS system provides the prosecutor with numerous alternatives to permit the flexibility needed in tailoring the system to the needs, objectives, and resources of the office. While it is essential that the prosecutor manager carefully consider the various alternatives before making choices, he can do this, as well as install the system, with little or no assistance from the outside. To be successful, it is essential that the prosecutor manager consider not only the contents of this chapter, but the material covered in the others, as well. It should then be possible to develop a system that is both effective and efficient.

The prosecutor manager has one general choice in addition to those specifically prescribed in this chapter. When establishing and maintaining the Case Progress Docket, the Subpoena/Witness Record, the Calendar Card, and the PROMIS Crime Analysis Scoresheet, it might be necessary or practical initially to collect complete data only on the more serious felony and misdemeanor cases, and maintain skeleton records on the others, or omit altogether from the system such minor, routine cases as violations of hunting and fishing laws and local ordinances. However, careful consideration should be given all the ramifications, particularly the disadvantages experienced by continuing obsolete and perhaps inadequate or inefficient methods and record keeping practices for the cases not included initially in the new system.

A. PROMIS Data Base

The Prosecutor's Management Information System will capture the following items of information on each case as it passes through the prosecutive process from arrest or grand jury indictments through final disposition and sentencing:

1. Facts About the Defendant

- . Name
- . Aliases
- . Date of birth
- . Place of birth
- . Identification numbers:
 - . Local
 - . State
 - . FBI
- . Names of any codefendants
- . Sex
- . Race
- . Marital Status

- . Place of residence
 - . Length of residence
 - . Employment status
 - . Previous criminal record
 - . Old or pending case number
 - . PROMIS criminal score
2. Facts About the Criminal Event
- . Incident number
 - . Arresting officer
 - . Arresting officer's agency/unit
 - . Victim's last name
 - . Relationship of victim(s) to defendant
 - . Date of offense
 - . Time of offense
 - . Place of offense
 - . Date of arrest
 - . Time of arrest
 - . Place of arrest
 - . Method by which defendant brought before the court (e.g., complaint, warrant, information, indictment)
 - . Possession of weapon, if any, by defendant
 - . Use of weapon or physical force, if any, by defendant
 - . Property stolen/evidence recovered
 - . PROMIS crime score

3. Facts About the Charges

- . Charge designation or abbreviation
- . Applicable statute number
- . SEARCH charge code
- . Charging agency(ies) (e.g., police, prosecutor, or grand jury)
- . Date charges filed
- . Disposition type:
 - . Diversion (defendant pretrial rehabilitation)
 - . Rejection of charges by prosecutor
 - . Not indicted
 - . Nolle prosequi
 - . Prosecutor dismissal
 - . Court dismissal
 - . Guilty plea
 - . Nolo contendere
 - . Jury (trial) conviction
 - . Jury (trial) acquittal
 - . Nonjury (trial) conviction
 - . Nonjury (trial) acquittal
 - . Mistrial
 - . Transfer to another jurisdiction
- . Reason for rejection, nolle prosequi, or dismissal:

Legal Problems

- . Prosecutive merit
- . Due process

- . Physical evidence
- . Scientific evidence
- . Testimonial evidence
- . Witness availability
- . Witness attitude
- . Witness credibility
- . Defendant problems
- . Prosecutor problems
- . Hung jury
- . Mistrial

Procedural/Administrative Reasons

- . No probable cause
- . Diversion (defendant pretrial rehabilitation)
- . Plea negotiation
- . Motion/special hearing
- . Other

. Disposition Date

4. Facts About Court Events

- . Current court case number
- . Old or pending cases
- . Prosecutor(s)
- . Defense counsel(s)
- . Judge(s)
- . Date of event

- . Old (defendant) release status (status at beginning of court event):
 - . Personal recognizance
 - . Jail
 - . Bond amount
 - . Other
- . Type of current court event:
 - . First hearing
 - . Preliminary or pretrial hearing
 - . Grand jury
 - . Arraignment
 - . Motion
 - . Trial
 - . Presentence investigation/sentence
 - . Appeal
 - . Other
- . Date and type of next court event
- . Reason for continuance (witness availability problem, court unable to reach case, sentencing, etc.)
- . New (defendant) release status (status at end of court event)
- . Sentencing information, as applicable:
 - . Confinement period
 - . Confinement type (concurrent, consecutive, confinement or fine, other)
 - . Fine amount
 - . Fine amount suspended

- . Special sentence period
- . Special sentence type
- . Special sentence suspended period, if any
- . Probation period
- . Probation type (supervised or unsupervised)

5. Facts About Witnesses and Victims

- . Name
- . Address
- . Home phone number
- . Work phone number
- . Witness type:
 - . Arresting police officer
 - . Assisting police officer
 - . Investigating police officer
 - . Other police officer
 - . Chemist
 - . Fingerprint
 - . Other professional type
 - . Complaining witness
 - . Eyewitness
 - . Other essential
 - . Nonessential
- . Sex
- . Age
- . Race

- . Relationship to accused:
 - . Spouse (including common law)
 - . Child
 - . Other family
 - . Ex-spouse
 - . Cohabiting
 - . Girlfriend or boyfriend
 - . Friend
 - . Acquaintance
 - . Neighbor
 - . Employer or employee
 - . Stranger
 - . Other
- . Testimony problems, if any
- . Witness criminal record, if any
- . Dates subpoenas issued
- . Dates subpoenas served, if applicable
- . Reason not served, if applicable
- . Name of officer serving subpoena, if applicable
- . Dates witness appeared

B. Record Descriptions and Purposes

This prototype manual PROMIS system contains four forms that capture the items of information for the data base described in section A. These forms are the Case Progress Docket, the Subpoena/Witness Record, the Calendar Card, and the PROMIS Crime Analysis Scoresheet. They are described here in sufficient detail to permit any prosecutor's office to develop a set of forms tailored to its particular requirements.

1. Case Progress Docket

The Case Progress Docket (shown in Exhibit 16) is the heart of the manual PROMIS system. It is the basic form upon which the key facts about the defendant, criminal event, charges, and court events are recorded. It is the principal operational record of the manual or semiautomated PROMIS system, and the primary source of data for reporting and research purposes.

These cards may be assigned a sequential number in the upper right corner, which can be used to keep track of criminal incidents in a decentralized system where there are two or more prosecutors' offices. The advantage of this number is that it ensures accountability for all cases handled within a given jurisdiction as well as ensuring that the correct disposition is tied to the correct incident if a defendant has more than one case pending at any time.

It is assumed that Parts I, II and the police charges in Part III will be entered by typewriter and the remainder completed by hand. However, all parts of the docket are designed for completion by either method. Since accurate spacing on this form is essential, detailed design specifications are provided in Appendix D.

a. Record Description. The following items of information are recorded on the Case Progress Docket card. If there is insufficient room in the allotted space, or an explanation is needed, use Part VII on the reverse.

PART I: DEFENDANT

Provides basic case identifiers (items 1 and 2), indicates the gravity of the crime and the defendant's criminal history (item 3), and describes the defendant (items 4 through 16).

- 1A. Case Number(s): For current case.
- 1B. Old or Pending Case Numbers: For cases in which a defendant has been previously convicted or in which charges are currently pending.
- 2. Suspense Dates: Dates by which specific court events must occur. These dates are mandated by speedy trial legislation in effect in many jurisdictions. This legislation often requires certain court events to take place within a specified number of days, or the case against a defendant may be dismissed. The legislation

usually also allows, under certain circumstances, for some periods to be excluded from the specified number of days between events. Examples are congested trial dockets and the unavailability of the defendant. These suspense dates will change when a time period is excluded from the specified number of days between events; consequently, the suspense dates must be entered in pencil to facilitate changes when necessary.

3. PROMIS Crime and Criminal Ranking Scores: Scores derived from filling out a PROMIS Crime Analysis Scoresheet described in section B.3. These scores are used to assign a case priority ranking based on the seriousness of the criminal event and the criminal's threat to society.
4. Name: Last, first, middle.
5. Date of Birth: Month, day, year.
6. Place of Birth: City and state.
7. Aliases: Names.
8. Sex.
9. Race: Uses identification or coding system of local jurisdiction.
10. Marital Status: M-Married and living with spouse; S-Single, living alone; D-Divorced; W-Widow; or C-Cohabiting.
11. Identification Numbers: Local, state, and FBI.
12. Place of Residence: City and state.
13. Length of Residence: Under 2 years or over 2 years.
14. Codefendant: Codefendant's name(s), if any.
15. Employment Status: Full time, part time, unemployed, nonworker (e.g., housewife, student, invalid).
16. Previous Criminal Record: Indicates whether a defendant has a previous criminal record, and if so, whether it is in connection with a local or

nonlocal crime, or both. Some jurisdictions may wish to add a check block item to indicate "statutory habitual criminal."

PART II: CRIMINAL EVENT

Lists essential facts about the criminal event and assigns an incident number that enables the prosecutor's office to track the event during charging, all court events, and sentencing or other disposition.

17. Incident Number: County, state or local number, if any, assigned to criminal event. If incident numbers are not presently being used, it may be desirable to assign "dummy" numbers, since the criminal incident number serves as the key to link together all the defendants and other parties, charges, dispositions, separate case numbers, etc., involved in any individual criminal event.
18. Arresting Officer: Name (and badge number, if desired).
19. Arresting Officer's Agency and/or Unit.
20. Victim: Last name only and relationship, if any, to defendant. Space is provided only for the names of two primary victims. A Subpoena/Witness Record (see section B.4) is also prepared for each witness/victim, and includes the full name, address, and other pertinent data. In cases involving deceased victims, the last two copies only (the Witness Record form and card) should be prepared and the card filed in the witness file discussed in section B.4.e. The words DECEASED VICTIM should be entered in the address area.
21. Date of Offense.
22. Time of Offense.
23. Place of Offense: City and state and/or local address.
24. Date of Arrest.
25. Time of Arrest.

26. Place of Arrest: City and state and/or local address.
27. Did Accused Possess Weapon at Time of Offense? Included in the Case Progress Docket and the PROMIS Crime Analysis Worksheet. This key item is frequently desired by the prosecutor for general information and statistical purposes, as well as for use in prosecuting the case.
28. Did Accused Use Weapon or Physical Force? See comments for item 27.
29. Stolen Property/Evidence Recovered: Lists all major items of stolen property that were recovered and used as evidence. If more space is needed, use Part VII on the reverse side of the form.
30. Method By Which Brought Before This Court: The means by which the defendant is initially brought before the court, e.g., warrant, indictment, arrest on scene.

PART III: CHARGES

Traces each charge from its origin through disposition and, if the charge was rejected, nolle prosequi, or dismissed, indicates the reason therefor. Although this part of the form is intended to cover only the four most serious charges in a case, additional charges may be listed in Part VII if desired.

31. Charges: The abbreviation commonly used in the jurisdiction installing the system; e.g., "CDW" for carrying a dangerous weapon. Charges resulting from previous criminal incidents may also be listed here and may be prosecuted in conjunction with this case.
- 31A. Incident No.: Identifies charges resulting from different incidents. The first incident number listed is the one shown in item 17, pertaining to charges in this case.
32. Statute: Applicable statute number of the offense.
33. SEARCH Code: NCIC charge code that describes the offense. These codes are used for reporting crimes to the FBI. (See Appendix E for a listing.)

34. Filed By and Date: Indicates which criminal justice authority(ies) filed the charge and the filing date. For example, if the charge was filed by the police and also by the prosecutor, the top two blocks would be checked and the appropriate dates entered. (This information is used to determine the origin of each charge.)
35. Disposition Type: Appropriate code number and alphabetical abbreviation from the list at the bottom of Part III. If there are any unusual circumstances incidental to the disposition, explain in Part VII. The codes are as follows:
1. DIV - Diversion or pretrial rehabilitation: The defendant is diverted from the criminal justice system, normally at or before the initial court proceedings. No charges are filed by the prosecutor, or if filed the charges are dismissed, depending upon the rules and practices of the court.
 2. R - Rejected: Police charge(s) rejected by the prosecutor.
 3. NI - Not indicted: (by grand jury).
 4. NP - Nolle prosequi.
 5. PD - Dismissal by or at request of prosecutor.
 6. CD - Court dismissal.
 7. PG - Plea of guilty.
 8. NC - Nolo contendere plea.
 9. JC - Jury trial conviction.
 10. JA - Jury trial acquittal.
 11. NJC - Nonjury trial conviction/judgment.
 12. NJA - Nonjury trial acquittal/dismissal.
 13. M - Mistrial.
 14. T - Transfer to another jurisdiction or change of venue.
 15. O - Other.

Note: The list of disposition types may have to be adapted to the local situation and terminology.

36. Reason Charge Rejected, Nolle Prosequi, or Dismissed: Appropriate two-digit reason code from the list at the bottom of the Case Progress Docket card. Enter the code to the right of the "2" prefix. (The "2" prefix distinguishes disposition reason codes from continuance reason codes, which have a "3" prefix [see item 44].) It is also suggested that a brief written explanation be included in Part VII, unless the rejection, nolle prosequi or dismissal was routine. Please note that the reason codes shown at the bottom of the Case Progress Docket also include those for case continuations. The following reason codes are normally the only ones that apply to case rejections, nolle prosequi, and dismissals.

Problem Reason Codes:

- 40 - Prosecutive Merit (e.g., violates letter, but not spirit of law, inconsistent with office policy)
- 41 - Due Process (No probable cause for arrest, unlawful search and seizure, etc.)
- 42 - Physical Evidence (Unavailable, missing, insufficient)
- 43 - Scientific Evidence (Analysis report incomplete, unavailable, insufficient)
- 44 - Testimonial Evidence (No corroboration of offense, insufficient nexus between defendant and crime)
- 45 - Witness Availability (No show, sick, unable to locate, etc.)
- 46 - Witness Attitude (Reluctant)
- 47 - Witness Credibility
- 48 - Defense Counsel (Not prepared, being replaced, no show; does not include defense request for continuance [code 74])

- 49 - Defendant (Problems other than code 75, Defendant Unavailability)
- 50 - Prosecution (Unavailable, ill, schedule conflict; does not include prosecution request for continuance [code 76])

51 - Hung Jury

52 - Mistrial

Procedural/Administrative Reason Codes:

53 - No Probable Cause

54 - Diversion (see disposition type 1 under item 35)

55 - Court Unable To Reach Case

56 - Plea Negotiation

37. Disposition Date: Month, day and year.

PART IV: TRIAL OFFICIALS

Lists the principal court officials. If any changes occur, the change is indicated by adding the alphabetical prefix from column 41, Part V, to identify the first court event at which the new official served. For example, if a new defense counsel took over the case at the second court event, the letter "B" would be placed in front of his name in item 39.

38. Prosecutor(s): Name(s).

39. Defense Counsel(s): Name(s).

40. Judge(s): Name(s).

PART V: COURT EVENTS

Lists all court events except for sentencing data, which are recorded in Part VI.

41. Date: The date of the court event. The preprinted alphabetic prefixes are provided to simplify identification of the event when remarks are entered in Part VII, and also to identify events at which changes in court officials occur. (See explanation for Part IV.)

42. Old Release Status: Reflects the defendant's release status at the beginning of the current court event. One of the following types is checked:

- (1) PR (Personal Recognizance)
- (2) Jail
- (3) Bond (Indicate amount in the space provided.)
- (4) Other (Fill in the appropriate release status if the above are not applicable.)

Note: It may be necessary to revise this item to suit the local situation.

43. Type of Event: Identifies each court event. Check one of the following:

- (1) 1st Hearing
- (2) PH-PTH (Preliminary Hearing - Pretrial Hearing)
- (3) GJ (Grand Jury)
- (4) Arraign (Arrestment)
- (5) Motion
- (6) Trial
- (7) PSI/S (Presentence Investigation/Sentence)
- (8) Appeal
- (9) Other

Note: It may be necessary to revise this item to suit the local situation.

44. Continued To and Reason: The date of the next continuance (case held over for next regular court event or postponement of an event) and the reason code for the continuance. The prefix "3" indicates a continuance as opposed to a disposition (see item 36). Enter the two-digit code indicating the reason for the continuance on the line to the right of the "3" prefix. The code is selected

from the reason codes listed on the bottom of the Case Progress Docket card. The list includes some that are applicable also, or possibly only, to case dispositions, and will probably have to be revised to suit the local situation and terminology. Continuance reasons are as follows:

Problem Reason Codes:

- 42 - Physical Evidence (Unavailable, missing, insufficient)
- 43 - Scientific Evidence (Analysis report incomplete, unavailable, insufficient)
- 45 - Witness Availability (No Show, sick, unable to locate)
- 46 - Witness Attitude (Reluctant)
- 47 - Witness Credibility
- 48 - Defense Counsel (Not prepared, being replaced, no show; does not include defense request for continuance [code 74])
- 49 - Defendant (Problems other than code 75, Defendant Unavailability)
- 50 - Prosecution (Unavailable, ill, schedule conflict; does not include prosecution request for continuance [code 76])
- 51 - Hung Jury
- 52 - Mistrial

Procedural/Administrative Reason Codes:

- 54 - Diversion (See disposition type 1 under item 35)
- 55 - Court Unable to Reach Case
- 56 - Plea Negotiation
- 57 - PH-PTH (Preliminary Hearing/Pretrial Hearing)
- 58 - Arraignment

- 59 - GJ (Grand Jury)
- 60 - Motion/Special Hearing
- 61 - J (Jury Trial)
- 62 - NJ (Nonjury Trial)
- 63 - PSI (Presentence Investigation)
- 64 - Sentencing
- 65 - Appeal
- 66 - Other

Suspense Date Extension Reason Codes: Applicable when speedy trial or other similar time periods observed in many jurisdictions are affected. These reasons are recorded in narrative form on the Calendar Card described in section 2 of this chapter.

- 70 - Other Defendant Proceedings (Could include periods when the defendant is undergoing physical or mental examination or competency hearing; is in another trial; has a case in which there is an interlocutory appeal; is having hearings on pretrial motions; is having his case transferred to another jurisdiction; is having proceedings against him taken under advisement; or is involved in other proceedings that prevent him from being present for a court event)
- 71 - Congested Trial Docket
- 72 - Nolle Prosequi and subsequent rebringing of charges
- 73 - Codefendant proceedings
- 74 - Defense Request
- 75 - Defendant Unavailable
- 76 - Prosecution Request
- 80 - Other

Note: The above list may have to be revised to suit the local situation and terminology.

- 45. New Release Status: Indicates the defendant's release status at the conclusion of the court event. The types are the same as those listed for item 42.

PART VI: SENTENCE

Captures information on the sentence imposed by the court for each charge in the case.

- 46. Charge: Preprinted prefixes, which must correspond to the charge prefixes assigned in item 31.
- 47A. Confinement Period: The period for which the defendant is ordered confined, expressed in years (Y), months (M), and days (D). For example, six years and four months would be expressed as 6Y, 4M.
- 47B. Confinement Type: A code that specifies:
 - 1 - Concurrent
 - 2 - Consecutive
 - 3 - Confinement or Fine
 - 4 - Other
- 47C. Suspended Confinement Period: Indicates any suspended time in the same manner as the confinement period described in item 47A.
- 48A. Fine Amount: Indicated in dollars.
- 48B. Fine Amount Suspended: Indicated in dollars.
- 49A. Special Sentence Period: Indicated in the same manner as the confinement period described in item 47A.
- 49B. Special Sentence Type: Used to record any type of special sentence imposed by the court, which may be applicable only in an individual jurisdiction. Examples are work release and alcoholic or drug treatment programs.
- 49C. Special Sentence Type Suspended Period: Indicated in years (Y), months (M), and days (D).
- 50A. Probation Period: Indicated in years (Y), months (M), and days (D).

- 50B. Probation Type: Supervised or unsupervised.
51. Date: The date of sentencing.
52. Judge: The name of the judge who imposed the sentence.
53. Prosecutor: The name of the prosecutor present for sentencing.

PART VII: EXPLANATIONS AND CONTINUATIONS

Records explanations and additional information for items appearing in Parts I through VI. All references should be identified by item number.

b. Purposes and Uses. The Case Progress Docket card serves as the master summary record of the manual PROMIS system. Whenever an inquiry is received, the status of a case can be immediately determined by referring to this record. In addition, the prosecutor handling the case can take the card or a photocopy into the courtroom for reference purposes. He may also update the Case Progress Docket in the courtroom by recording, in Part V of the card or photocopy, what happened to the case during that particular event. Another important use of the Case Progress Docket is to produce a wide variety of statistical reports, which may be compiled quite easily by manual methods. This can be done for closed cases, open cases, or a combination of the two. Examples of such statistical reports are described in the following paragraphs. Obviously, these are not the only reports that may be derived from the data on the Case Progress Docket card. Examples include statistics on crimes involving the use of weapons, defendants committing other crimes while on pretrial release for a previous offense, and numerous other types of information and statistics for operational, management, and research purposes, as explained in Chapter III.

No attempt has been made to develop preprinted forms for the reports described below. However, in determining the types and contents of the recurring reports, the prosecutor should consider development of special forms for this purpose, particularly those employing formats and design principles set forth in Chapter II, section D.4.e.

(1) Case Load Overview Report. The Case Load Overview Report (illustrated in Exhibit 17) provides the prosecutor manager with an overview of activities occurring within a given period, such as by month or term of the court. Data are captured on the number of incoming cases and charges, the types

Exhibit 17

CASE LOAD OVERVIEW REPORT

For period:

- Section I - Incoming Cases
1. Total Cases Considered:
2. Total Charged:
3. Total Rejected:

4. Total Charged Considered:
5. Total Charged:
6. Total Rejected:

- Section II - Case Dispositions
7. Total Cases Disposed:
8. Total Charges Disposed:

Type of Disposition:	9 Diverted	10 Rejected	11 Not Indicted	12 Nolled	13 Pros. Dism.	14 Court Dism.	15 Guilty Pleas	15a Nolo Con.	16 Jury Conv.	17 Jury Acq.	18 Nonjury Conv.	19 Nonjury Acq.	20 Mistrials (Not to be re-brought)
Total This Period:													

- Section III - Sentences Imposed (By Charge Count)
21. Total Sentenced:

Type of Sentence:	22 Confined	23 Fined	24 Special	25 Probation
Total This Period:				

- Section IV - Pending Cases (By Court Event)
26. Total Cases Pending at End of Reporting Period:

Pending Court Event:	27 First Hearing	28 PH-PTH	29 GJ	30 Arraignment	31 Motion	32 Trial	33 Appeal	34 Other
Cases Pending:								

Exhibit 18

SOURCES FOR PREPARATION OF CASE LOAD OVERVIEW REPORT

Overview Report Item Number	Case Progress Docket Item Number
1. Total Cases Considered	1. Case Number(s)
2. Total Charged	31. Charges, 35. Disposition
3. Total Rejected	31. Charges, 35. Disposition (Code R)
4. Total Charges Considered	31. Charges
5. Total Charged	31. Charges, 35. Disposition
6. Total Rejected	31. Charges, 35. Disposition (Code R)
7. Total Cases Disposed	Count Cards in Post-Disposition Holding File [See section B.1.e(1)]
8. Total Charges Disposed	35. Disposition
9. Total Diverted	35. Disposition (Code DIV.)
10. Total Rejected	35. Disposition (Code R)
11. Total Not Indicted	35. Disposition (Code NI)
12. Total Nolle	35. Disposition (Code NP)
13. Total Prosecutor Dismissals	35. Disposition (Code PD)
14. Total Court Dismissals	35. Disposition (Code CD)
15. Total Guilty Pleas	35. Disposition (Code PG)
15a. Total Nolo Contendere	35. Disposition (Code NC)
16. Total Jury Conviction	35. Disposition (Code JC)
17. Total Jury Acquittals	35. Disposition (Code JA)
18. Total Non-Jury Conviction	35. Disposition (Code NJC)
19. Total Non-Jury Acquittals	35. Disposition (Code NJA)
20. Total Mistrials	35. Disposition (Code M)
21. Total Sentenced	46. Charge Prefix (total of all charges sentenced during report period)
22. Total Confined	47. Confinement
23. Total Fined	48. Fine
24. Total Special Sentence	49. Special
25. Total Probation	50. Probation
26. Total Pending Cases	43. Type of event (total of all cases still pending at the end of the report period)
27. Total Pending First Hearing	43. Type of event (first hearing checked)
28. Total Pending PH-PTH	43. Type of event (PH-PTH checked)
29. Total Pending GJ	43. Type of event (GJ checked)
30. Total Pending Arraignment	43. Type of event (Arraign. checked)
31. Total Pending Motion	43. Type of event (Motion checked)
32. Total Pending Trial	43. Type of event (Trial checked)
33. Total Pending Appeal	43. Type of event (Appeal checked)
34. Total Pending Other	43. Type of event (Other checked)

of dispositions for charges or cases concluded during the reporting period, sentences imposed, and a breakdown of the total cases currently pending within the office by court event. Data for this report are extracted from the items on the Case Progress Docket card shown in Exhibit 16. Exhibit 18 lists the items of information obtained from the docket card.

(2) Report of Attorney Case Load by Type of Charge. The Attorney Case Load Report by Type of Charge, shown in Exhibit 19, provides the chief prosecutor and assistant prosecutors with a record of all cases by type of charge that have been disposed of during the reporting period, as well as those that are still pending at the end of the reporting period. The number of dispositions of each type is listed. The report may be expanded to include not only types of disposition, but also the disposition reasons as coded in item 37 of the Case Progress Docket cards, if the disposition is a rejected charge, nolle prosequi, or dismissal. The data elements for this report are captured from the items on the Case Progress Docket card indicated in Exhibit 20.

Please note that the charges listed in Item 2 of this report are examples only. Any charges that the prosecutor considers significant may be included in this section.

(3) Court Disposition/Sentencing Report. The Court Disposition/Sentencing Report provides the prosecutor with a recap, by charge type, of all cases handled by a particular judge during the reporting period (see Exhibit 21). The report provides summary statistics on the types of dispositions and the sentences imposed in cases resulting in convictions and guilty pleas. The items of information extracted from the Case Progress Docket card for this report are shown in Exhibit 22.

c. Creating the Case Progress Docket Card. The docket card is created initially by paralegal or administrative personnel in the prosecutor's office. Typically, a case first comes to the attention of the prosecutor when documentation is received from a police agency or a lower court such as a magistrate or justice of the peace. The Case Progress Docket card relies mainly upon information from the police for its initiation. Some states use standardized arrest/booking reports that include all Offender Based Transaction Statistics (OBTS) and Computerized Criminal History (CCH) system data elements, many of which are included in the manual PROMIS system. Many jurisdictions, however, do not have standard arrest and booking report forms. For those jurisdictions, and others wishing to consider changes in existing forms, a model "Police Department Arrest Report" has been developed for consideration

Exhibit 19

REPORT OF ATTORNEY CASE LOAD BY TYPE OF CHARGE

FOR PERIOD:

1. Prosecutor:

2 Charge Type*	3 No. Pending at End of Period	4 Number Disposed	DISPOSITIONS														
			5 Diverted	6 Rejected	7 Not Indicted	8 Nolled	9 Prosecutor Dismissed	10 Court Dismissals	11 Guilty Plea	11a Nolo Con- tendere	12 Jury Conv Acq	13 Jury Conv Acq	14 Non Jury Conv Acq	15 Non Jury Conv Acq	16 Mis- trial		
Murder I																	
Murder II																	
Manslaughter																	
Armed Robbery																	
Rape																	
Burglary I																	
Burglary II																	

Note that these charges are included only as examples. It is up to the chief prosecutor to determine which charges will be included in this report.

Exhibit 20

SOURCES FOR PREPARATION OF REPORT OF ATTORNEY CASE LOAD BY TYPE OF CHARGE

Attorney Case load Report Item Number	Docket Card Item Number
1. Prosecutor	38. Prosecutor
2. Charge Type	31. Charge
3. Number Pending at End of Period	31. Charge (count those still open)
4. Number Disposed	31. Charge (count those disposed)
5. Diverted	35. Disposition Type (Code DIV)
6. Rejected	35. Disposition Type (Code R)
7. Not Indicted	35. Disposition Type (Code NI)
8. Nolled	35. Disposition Type (Code NP)
9. Prosecutor Dismissal	35. Disposition Type (Code PD)
10. Court Dismissal	35. Disposition Type (Code CD)
11. Guilty Plea	35. Disposition Type (Code PG)
11a. Nolo Contendere	35. Disposition Type (Code NC)
12. Jury Conviction	35. Disposition Type (Code JC)
13. Jury Acquittal	35. Disposition Type (Code JA)
14. Non-Jury Conviction	35. Disposition Type (Code NJC)
15. Non-Jury Acquittal	35. Disposition Type (Code NJA)
16. Mistrial	35. Disposition Type (Code M)

Exhibit 21

COURT DISPOSITION/SENTENCING REPORT

FOR PERIOD:

1. Judge:

2 Charge Type*	3 Total Disposed	4 Court Dismissal	5 Jury Acquittal	6 Non-Jury Acquittal	7 Mis- trial	SENTENCED				SENTENCE				
						8 plea Guilty	8a Nolo Con- tendere	9 Jury Conv	10 Non Jury Conv	11 Con- finement	12 Fine	13 Special	14 Probation	
Murder I														
Murder II														
Manslaughter														
Armed Robbery														
Rape														
Burglary I														
Burglary II														

*Note that these are only sample charges for this report. The charges actually included must be selected by the local prosecutor implementing the system.

Exhibit 22

SOURCES FOR COURT DISPOSITION/SENTENCING REPORT

Court Disposition/Sentencing Report Item Number	Docket Card Item Number
1. Judge	40. Judge
2. Charge Type	31. Charge
3. Total Disposed	35. Disposition Type (Total all disposition during reporting period)
4. Court Dismissal	35. Disposition Type (Code CD)
5. Jury Acquittal	35. Disposition Type (Code JA)
6. Non-Jury Acquittal	35. Disposition Type (Code NJA)
7. Mistrial	35. Disposition Type (Code M)
8. Plea Guilty	35. Disposition Type (Code PG)
8a. Nolo Contendere	35. Disposition Type (Code NC)
9. Jury Conviction	35. Disposition Type (Code JC)
10. Non-Jury Conviction	35. Disposition Type (Code NJC)
11. Confinement	47. Confinement
12. Fine	48. Fine
13. Special	49. Special
14. Probation	50. Probation

CONTINUED

1 OF 4

by prosecutors and state and local law enforcement officials. (See Exhibit 23.) This report includes the arrest data required for the PROMIS system as well as information necessary for reporting OBTS and CCH data to the National Crime Information Center (NCIC) in Washington, D.C.

Data from the arrest and booking report(s) are used to fill in most of the items of information on Sections I, II, and III of the Case Progress Docket card. Only the following data need to be collected from other sources:

1. Case Numbers: This information is supplied by the court.
2. Old or Pending Cases: Obtained from checking closed and pending Case Progress Docket cards.
3. PROMIS Scores: Computed on the basis of the PROMIS Crime Analysis Scoresheet described in section B.3. The crime score is filled in immediately by the prosecutor or paralegal at the time the charging decision is made. The defendant score cannot be computed until the FBI rap sheet is available, since prior arrest and conviction data are needed. (If a recent previous case has been filed with the prosecutor, a copy of the rap sheet may possibly be obtained from the case jacket.)
11. Blanks B and C - State and FBI Identification Numbers: Normally obtained from state identification bureau or FBI rap sheets.
16. Previous Criminal Record: Derived mainly from FBI rap sheets, but should also take into consideration any state or local data and any records on file in the prosecutor's office.
33. SEARCH Code: A classification code assigned to the charge. See Appendix E for a listing of the codes.

There are two possible alternatives for capturing initial data (Parts I, II, and police charges in Part III) for the Case Progress Docket Card. The simpler method would be to have the prosecutor, a paralegal, or a member of the administrative staff enter the data directly on the card, using information obtained from the police. Under the second approach, the prosecutor, possibly with the assistance of a paralegal or a member of the administrative staff, would complete a worksheet containing information pertaining to the arrest, offense, and charges.

Exhibit 23

ARREST REPORT

POLICE DEPARTMENT ARREST REPORT				CRIME AGAINST (Check applicable one) <input type="checkbox"/> PERSON <input type="checkbox"/> PROPERTY <input type="checkbox"/> INCIDENT		
ARREST NO.	ARRESTING AGENCY NO.	ARRESTING AGENCY ID.	STATE ID NO.	FBI ID NO.		
1. DEFENDENT NAME (Last, First, Middle)				2. NICKNAME, ALIAS		
3. HOME ADDRESS				4. HOME PHONE		
5. EMPLOYED (Occupation, Student)			6. WHERE (Address)		7. BUS. PHONE	
8. SOCIAL SEC. NO.		9. IF MILITARY (Branch of Service)		10. MILITARY SERIAL NO.		
11. MARITAL STATUS		12. PLACE OF BIRTH		13. DATE OF BIRTH		14. SEX
15. RACE	16. SKIN TONE					
17. HEIGHT	18. WEIGHT	19. HAIR	20. EYES	21. SCARS, MARKS, TATTOOS, ETC. (Describe)		
CO-DEFENDENTS (If more space needed, use Continuation Report Form.)						
22. NAME (Last, First, Middle)		23. ADDRESS		24. PHONE NO.	25. SEX	26. RACE
27. AGE						
a.						
b.						
28. OFFENSE (Charge, Statute Citation, etc.)						
29. LOCATION OF OFFENSE (Describe)					30. DATE OF OFFENSE	
31. LOCATION OF ARREST (Describe)					32. DATE OF ARREST	
33. ARREST CHARGE NO.		34. ARREST RESULT OF <input type="checkbox"/> PICKUP <input type="checkbox"/> WARRANT <input type="checkbox"/> COMPLAINT		35. ADVISED OF CONSTITUTIONAL RIGHTS <input type="checkbox"/> YES <input type="checkbox"/> NO		36. BY (Officer Name)
37. RESISTED ARREST <input type="checkbox"/> YES <input type="checkbox"/> NO	38. ARMED <input type="checkbox"/> YES <input type="checkbox"/> NO	39. IF ARMED, DESCRIBE WEAPON				40. OBSERVED DRINKING <input type="checkbox"/> YES <input type="checkbox"/> NO
41. NARCOTICS USED <input type="checkbox"/> YES <input type="checkbox"/> NO	42. DESCRIBE NARC. (Heroin, Marijuana, etc.)			43. ADDICTION PROGRAM (If Yes, Name of Program) <input type="checkbox"/> YES <input type="checkbox"/> NO NAME:		
44. M.O. (Describe weapons, hangouts, habits, etc.)						
45. NARRATIVE (Briefly describe facts of case. Identify complainant for victim) by name, sex, race, age and other descriptive data. Use Continuation Report form if more space is needed.)						

(COMPLETE REVERSE SIDE OF THIS FORM)

Exhibit 23 (cont.)

2

CODE: Use In Col. 47 -- C = COMPLAINANT (or Victim) P = PARENT/GUARDIAN W = WITNESS

46. NAME (Last, First, Middle)	47. CODE	48. ADDRESS	49. HOME PHONE	50. BUS. PHONE
a.				
b.				
c.				
d.				
e.				
f.				

51. PARENT/GUARDIAN NOTIFIED BY (Officer Name) (Unit) (Badge No.) 51. DATE/TIME NOTIFIED AM PM

53. PARENT/GUARDIAN NOT NOTIFIED (Explain)

54. TREATMENT NEEDED VICTIM DEFENDENT 55. TAKEN TO (Name and Address of Facility)

56. BRIEFLY DESCRIBE INJURIES

PROPERTY, VEHICLE, ITEMS OF EVIDENCE (Check S = STOLEN, R = RECOVERED IF APPLICABLE COL)

57. DESCRIPTION	58. HOW, WHERE, WHEN	59. FROM	60. EST. VAL.	S	R
a.					
b.					
c.					
d.					
e.					
f.					

61. IF VEHICLE (a. Make) (b. Year) (c. Model) (d. Color) (e. Tag No.)
(f. State Issued) (g. Yr. Issued) (h. Operator's Permit No.)

62. FINGERPRINTED YES NO 63. FINGERPRINT CLASS. 64. ID OFFICER NAME (Badge No.)

65. DEF. SEARCHED BY (Officer Name) (Badge No.) 66. PROPERTY NO. 67. CASH 68. OTHER (Specify)

69. ARRESTING OFFICER (Name & Signature) (Badge No.) (Unit)

70. APPROVING OFFICER (Name & Signature) (Badge No.) (Unit)

71. BOOKING OFFICER (Name & Signature) (Badge No.) (Unit)

72. DATE BOOKED

73. LIST AVAILABLE INFORMATION ON BAIL, BOND, HELD, CITATION, COURT, ETC.

Exhibit 23 (cont.)

POLICE DEPARTMENT (Location) CONTINUATION FOLLOW-UP INFO.

ARREST REPORT (Continuation)

ARREST NO.	ARRESTING AGENCY NO.	ARRESTING AGENCY ID	STATE ID NO.	FBI ID NO.
1. DEF. NAME (Last, First, Middle)			2. DATE OF ORIG. REPT.	
3. ADDRESS			4. HOME PHONE NO.	
5. OFFENSE REPORTED				
ITEM NO.	INSTRUCTIONS: Give Item No. from original Arrest Report and continuation or follow-up information for each item.			

REPORTING OFFICER (Name, Unit, Badge No.) ASSISTING OFFICER (Name, Unit, Badge No.)

APPROVING OFFICER (Name, Unit, Badge No.) CASE STATUS (Check) OTHER
 OPEN CLOSED SUSPENDED (Specify)

REVIEWING OFFICER (Name, Unit, Badge No.) (Signature) DATE

Section C.1 describes the Processing and Trial Preparation Worksheet used by large urban prosecutors' offices employing the computerized PROMIS system. This worksheet is part of a multipurpose form set which captures initial information on the case, including data on defendants, charges, and witnesses. The third part of the form serves as a Witness Worksheet. The worksheet, along with other case documentation, would then be submitted to the person responsible for initiating the docket card.

Following the completion of Parts I, II, and the police charges in Part III, the Case Progress Docket card is submitted to the prosecutor assigned to the case. The prosecutor, upon making the charging decisions, completes Section III indicating those charges accepted, those rejected and the reasons therefor, and any new charges. All information available for Part IV, Trial Officials, should also be entered at that time, or as soon as it is available.

d. Updating the Case Progress Docket Card. After a case has been reviewed by the prosecutor and the charges filed with the court, the Case Progress Docket card is filed alphabetically by defendant's name, at a predetermined control point in the prosecutor's office. (Trays, bins, or boxes are available from commercial sources for housing the cards.) As court events transpire, the docket card is removed from the file and updated with information supplied by the prosecutor following the court event. Different techniques may, of course, be employed for capturing this update information. The preferred way is to have the person in charge of the Case Progress Docket card file make a photocopy of the card for each case scheduled for the court event and give it to the prosecutor to take into the courtroom. The prosecutor can then update the photocopy and return it to the docket card file custodian upon returning from court. The new information is then copied onto the master card. This method is preferred because it eliminates the need for physically removing the master docket card from the file, thus protecting the security and integrity of these all-important records. This method also provides the prosecutor with a summary of the case (including noncourt transactions) for use in the courtroom.

However, if preparation and use of a photocopy is impractical, the original docket card can be removed from the file, taken into the courtroom by the prosecutor, and returned to the file custodian at the end of the day. If this update technique is used, it is important that the card be given to the custodian and not personally refiled by the prosecutor, because the next court appearance date must be recorded on the Calendar Card. (See section B.2.) Another alternative

would be to provide the prosecutor with a transaction worksheet for recording what takes place in the court or in the grand jury. If the transaction worksheet method is adopted, a form should be developed by the local prosecutor's office following the principles outlined in Chapter II, section D.4.e, to include the following items:

- . Court case number
- . Defendant's name
- . Court event
- . Charge dispositions, date, and reason
- . List of new charges (if grand jury indictment)
- . Prosecutor
- . Defense counsel
- . Judge
- . Old release status
- . New release status
- . New continuance date
- . Sentence imposed, by charge, if applicable

Additional data may also be included if deemed necessary by the chief prosecutor. The transaction worksheet form is one that could initially be developed on a typewriter and reproduced by office quick copy equipment, but should, after thorough testing, be printed and stocked as a standard form. The case identification data available from the court calendar could be entered in the form in advance of the court event by a paralegal or a member of the administrative staff. The main disadvantage of this update technique is that it requires recording the same case identification data each time a court event occurs, whereas utilizing the Case Progress Docket card or a copy of it eliminates this step. (Very little writing is required, since most of the data are recorded by means of check boxes or filling in special blanks on the Case Progress Docket.) If the transaction worksheet is used, it should be given to the Case Progress Docket card custodian immediately when the prosecutor returns from the court event.

A still further and possibly workable alternative is to have the prosecutor on duty in the courtroom annotate a copy of the court calendar to include the data needed for updating the Case Progress Docket; however, this tends to be a less satisfactory method for both the prosecutor and the person responsible for maintaining the cards.

e. File Arrangement. The Case Progress Docket cards are maintained in three separate files: an active file containing cards related to all open cases, a post-disposition holding file for the current month or year, and a retired file for all closed cases from which any required recurring statistics have been extracted.

(1) Open Case File. This file contains docket cards on all defendants whose cases are pending. The cards are filed in alphabetical order by defendant's name, facilitating rapid retrieval of case summary information when inquiries are received from law enforcement agencies, defense counsels, or others. Most inquiries are by defendant's name; therefore, filing the docket cards alphabetically is the most practical arrangement and should normally eliminate any need for an alphabetical index.

(2) Post-Disposition Holding File. When a case is disposed of, the Case Progress Docket card is removed from the active file and placed in a holding file for the purpose of capturing statistics and answering inquiries on these recently closed cases. The cards should be kept in this file until the end of the reporting period, when all necessary recurring statistics are extracted. The cards are then removed from this file and interfiled with those in the retired file.

(3) Retired File. The retired file contains docket cards on all cases which have been closed out and processed through the post-disposition holding file. Cards should be maintained in this file for an indefinite period. This file is used as a local criminal history reference and for research purposes. The retired file can also be used for checking new cases to determine whether the accused has a local criminal record.

2. Calendar Card

The Calendar Card (shown in Exhibit 24) is the source document used to reproduce lists or calendars that either show all cases scheduled on a given date, or list cases by type of court event. This card may also be used to prepare

Exhibit 24
CALENDAR CARD

CASE NO.	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (Pencil) TYPE DATE	PERIODS EXCLUDED FROM SPEEDY TRIAL RULE						
						TRIAL SUSPENSE DATE (COL. 1)	NEXT SCHEDULED ACTION SUSPENSE DATE (COL. 2)	PERIOD FROM (COL. 4) TO (COL. 5)	REASON (COL. 6)	NO. OF DAYS Add to Col. 1 and Col. 3 Dates (Col. 7)	CUMULATIVE NO. OF DAYS (Col. 8)	PROSECUTOR'S INITIALS (Col. 9)
ARREST/SUMMONS DATE	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (Pencil) TYPE DATE	TRIAL SUSPENSE DATE (COL. 1)	NEXT SCHEDULED ACTION SUSPENSE DATE (COL. 2)	PERIOD FROM (COL. 4) TO (COL. 5)	REASON (COL. 6)	NO. OF DAYS Add to Col. 1 and Col. 3 Dates (Col. 7)	CUMULATIVE NO. OF DAYS (Col. 8)	PROSECUTOR'S INITIALS (Col. 9)
INDICTMENT/INFORMATION DATE	CODEFENDANT(S)	RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> BOND <input type="checkbox"/> PR		PROSECUTOR DEFENSE COUNSEL	PROMIS SCORES CRIME CRIMINAL							
ARR. DATE												
TRIAL DATE												

lists according to case age or priorities such as the crime and criminal scores computed on the PROMIS Crime Analysis Scoresheet (discussed in section B.3).

a. Record Description. The Calendar Card is printed on standard 5 by 8 inch card stock. The data elements recorded on the card are those most frequently required by a prosecutor when preparing cases for court. They are as follows:

- . Court Case Number: The number used to track a case through the courts.
- . Arrest/Summons Date: Important in determining the age of a case to ensure that any speedy trial or other time deadlines are met. It is also valuable in preparing lists of cases by case age.
- . Indictment/Information Date.
- . Arraignment Date.
- . Trial Date.
- . Defendant: Name.
- . Codefendant(s): Name(s). This information enables all codefendants to be listed on the calendar together, if desired, without resorting to cross-references.
- . Charges: The local terminology for each charge brought against a defendant in the case. If a charge is disposed of other than by trial, it should be lined through and a notation made indicating the event at which the disposition occurred (e.g., PH - Preliminary Hearing, GJ - Grand Jury, etc.)
- . Release Status: Informs the prosecutor of the defendant's release status at the time of the last court appearance.
- . Police Officer(s) and Agency/Unit: The names of any officers who may be required to be present for court events. The officer's agency and unit are also recorded to facilitate appearance notification and provide feedback on case disposition to the police agency having jurisdiction.
- . Judge: Name.
- . Prosecutor: Name.

- . Defense Counsel: Name. If a jurisdiction also desires to indicate whether counsel is a public defender or privately retained, check blocks should be added to the card.
- . Next Court Event: The next upcoming event. The event type is abbreviated in the space provided, using the same abbreviations specified for item 43 of the Case Progress Docket:
 - . 1st Hearing
 - . PH-PTH (Preliminary Hearing - Pretrial Hearing)
 - . GJ (Grand Jury)
 - . Arraign (Arraignment)
 - . Motion
 - . Trial
 - . PSI/S (Presentence Investigation/Sentence)
 - . Appeal
 - . Other

The month and day of the event are recorded in pencil, for use in filing the cards and assembling them for preparation of the calendar.

- . PROMIS Scores: Indication of the seriousness of the crime and the criminal's threat to society. The source document for these data is the PROMIS Crime Analysis Scoresheet discussed in section B.3. The crime score is entered at the time a case is screened and papered. The criminal score cannot be computed until the defendant's record is received from the FBI or state agency.

The lower portion of the Calendar Card captures information related to time periods excluded from speedy trial legislation in effect in many jurisdictions. Items of data recorded for each excluded period are:

- . Trial Suspense Date: The latest date on which the trial can occur. In most jurisdictions, this date changes each time the suspense date is changed for an event preceding the trial. This happens because

there are actually two time clocks running simultaneously for a given case. One pertains to time between two specified events; the other pertains to the time between arrest/indictment and trial.

- . Next Scheduled Action Type: The next court event.
- . Next Scheduled Action Suspense Date: The date by which the next court event must be held.
- . Periods Excluded from Speedy Trial Rule:
 - . Period: Beginning and ending dates of excluded period.
 - . Reason: Reason for excluded period. Examples are other defendant proceedings, congested trial docket, defense request, prosecution request, defendant unavailable, nolle prosequi and subsequent rebringing of charges, codefendant proceedings.
 - . Number of Days: Days excluded from the period.
 - . Cumulative Number of Days: Days excluded from the speedy trial act. This information provides a reference point for an audit trail to check dates and verify computations.
 - . Prosecutor's Initials.

b. Purpose and Uses. In those jurisdictions where the prosecutor prepares or supplies the information for preparation of the court calendar, the Calendar Cards are used as source documents to generate a variety of court event calendars, work load calendars, priority calendars, and disposition reports for law enforcement agencies. Possible calendars include:

- . Arraignment Calendars
- . Trial Calendars
- . Grand Jury Calendars
- . Preliminary or Pretrial Hearing Calendars
- . Sentencing Calendars
- . Multiple Event (Consolidated) Calendars

The above types of calendars may be produced at various intervals in advance of the court event (e.g., 30 days, 15 days, 5 days, 1 day). An example of a "5-day" Trial Calendar (that is, prepared five days in advance) is illustrated in Exhibit 25.

In jurisdictions where the official court calendar is prepared by the court, the prosecutor can use the Calendar Cards as a reference and working file. This makes it possible for the prosecutor's office to prepare working copies of the calendar at any time, arranged in any manner that may be beneficial in case management and office administration. For example, a 14-day or 10-day calendar could be prepared as a control to permit withholding issuance of subpoenas until there is reasonable assurance that the case will be going to trial, and making sure that all required subpoenas are issued. Equally important, these advance calendars serve as timely reminders of upcoming trials, so that the prosecutor can proceed with trial preparation work in an orderly manner. A one-day calendar is essential for all events, because it should contain nearly all last minute changes.

Work load calendars or lists are sorted and organized by date or period, and by name of judge or prosecutor. They are intended to show what cases these officials have pending on a given date.

Priority calendars or lists may be arranged by at least three different methods. The first is by age of the case, using the arrest date as a basis. This type of ranking can be quite useful, and is essential in those jurisdictions where speedy trial rules are in effect. A second ranking scheme is by crime score, which singles out those crimes that have a serious impact on society. A third priority ranking scheme is based upon a criminal score, which assesses the previous criminal history and assigns a numeric factor to identify more serious offenders. This information is important in helping to ensure that defendants with previous conviction records are dealt with more harshly than first offenders. On such calendars or lists, the names of defendants normally appear on the calendar in descending order of (1) case age or (2) crime or criminal score.

The bottom section of the Calendar Card is used to keep track of time excluded from speedy trial rules or other periods within which local legislation specifies that certain court events must take place. This information enables the prosecutor to keep informed both of upcoming suspense dates and of all the periods time was excluded from the mandated period and the reasons.

Exhibit 25

FIVE-DAY TRIAL CALENDAR

FIVE DAY TRIAL CALENDAR

Cases Scheduled for 1/29/76

CASE NO.	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (Pencil)
75-4139	Adams, Robert Tyrone	Car Theft	P. Harrigan City PD, # 217	Beckett	TRIAL 1/29/76
ARREST/SUMMONS DATE 4/22/75	CODEFENDANT(S)	RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> PR <input checked="" type="checkbox"/> BOND \$2,000		PROSECUTOR Morely	PROMIS SCORES CRIME 8.0
INDICTMENT/INFORMATION DATE 5/10/75				DEFENSE COUNSEL M. Vincent	CRIMINAL 12.5
ARR. DATE 5/15/75					
TRIAL DATE					
75-8076	McCracken, John Robert	Simple Assault	T. Durray County PD, 2D	Beatty	TRIAL 1/29/76
ARREST/SUMMONS DATE 11/25/75	CODEFENDANT(S)	RELEASE STATUS <input type="checkbox"/> JAIL <input checked="" type="checkbox"/> PR <input type="checkbox"/> BOND		PROSECUTOR Merrill	PROMIS SCORES CRIME 3.0
INDICTMENT/INFORMATION DATE 12/10/75				DEFENSE COUNSEL Hamilton	CRIMINAL 5.0
ARR. DATE 1/18/76					
TRIAL DATE					
75-9033	Parker, Thomas Edward	Bank Robbery	B. Lensford Deputy, Sher- iff's Dept.	Brosi	TRIAL 1/29/76
ARREST/SUMMONS DATE 12/18/75	CODEFENDANT(S)	RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> PR <input checked="" type="checkbox"/> BOND \$25,000		PROSECUTOR Deroy	PROMIS SCORES CRIME 14.0
INDICTMENT/INFORMATION DATE 12/29/75				DEFENSE COUNSEL Lone	CRIMINAL 22.5
ARR. DATE 1/13/76					
TRIAL DATE					

When a calendar for a given date and type of event is prepared, the cards for those cases are removed from the file and arranged in the order that the cases are to appear on the calendar. A header card is then prepared indicating the type of calendar and date or dates which it covers. The header card is positioned at the top of an 8 1/2 by 11 inch (letter size) or 8 1/2 by 14 inch (legal size) piece of paper. The calendar cards for cases to appear on that calendar are then "shingled" (positioned one at a time beneath the header card in such a manner that the top of each card is visible). (See Exhibit 26.) When the page is filled (with approximately five cases, if the calendar is reproduced on letter size paper, or six if legal size*), a clear acetate sheet is laid over the cards and the page of the calendar reproduced on an office copier. The same procedure is used to produce additional pages of the calendar, except that a header card is not required for the remaining pages.

Some jurisdictions may also wish to prepare a consolidated court event calendar listing all cases to be heard on a given date or during a given term or period, regardless of the type of court event. (This practice is common in jurisdictions with very small case loads.)

As soon as final disposition takes place, the calendar cards should be removed from the file. (In the case of a guilty verdict, a final disposition is considered to have taken place when sentence is imposed.) The procedures outlined above for producing calendars may also be employed to generate a Case Disposition Listing for police agencies. These cards are sorted by police agency and a Case Disposition Listing is prepared for each. This information is important to the police in closing out their file on the case and for their use in analyzing their activities, evaluating police performance, and instituting corrective measures. In many jurisdictions, the police agency's records do not reflect the disposition of cases following arrest and consequently this information is not passed on to the FBI.

c. Creating the Calendar Card. The Calendar Card is initially produced from data extracted from the Case Progress Docket. Since release status, next court event, and suspense dates are subject to change, these entries should be made in pencil.

*If desired, it should be possible to reduce the vertical space requirements by redesigning the card, thus increasing the number of cases that can be listed on a single sheet.

Exhibit 26

SHINGLING CALENDAR CARDS TO PRODUCE CALENDAR

FIVE DAY TRIAL CALENDAR									
Cases Scheduled for 1/29/76									
CASE NO	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (PANCH)	TRIAL TYPE	DATE	PROMIS SCORES	CRIME
75-4139	ADAMS, ROBERT TYRONE	CAR THEFT	P. HARRIGAN CITY PD, #217	BECKETT	TRIAL	1/29/76		8.0	CRIMINAL
ARREST/SUMMONS DATE 4/22/75				PROSECUTOR MORELY					
INDICTMENT INFORMATION DATE 5-10-75				DEFENSE COUNSEL M. VINCENT					
ARR DATE 5-15-75		RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> PR <input checked="" type="checkbox"/> BOND \$2,000							
TRIAL DATE									
75-8076	MORRACKEN, JOHN ROBERT	SIMPLE ASSAULT	T. DURRAY COUNTY PD, 2D	MYERSON	TRIAL	1/29/76		5.0	CRIMINAL
ARREST/SUMMONS DATE 11/25/75				PROSECUTOR COLLINGWOOD					
INDICTMENT INFORMATION DATE 10-12-75				DEFENSE COUNSEL H. FOLEY					
ARR DATE 1/15/76		RELEASE STATUS <input type="checkbox"/> JAIL <input checked="" type="checkbox"/> PR <input type="checkbox"/> BOND							
TRIAL DATE									
75-9033	PARKER, THOMAS EDWARD	BANK ROBBERY	B. LIENNEMAN DEPUTY SHERIFF'S DEPT	ROLAND	TRIAL	1/29/76		12.5	CRIMINAL
ARREST/SUMMONS DATE 12/15/75				PROSECUTOR GREENWOOD					
INDICTMENT INFORMATION DATE 12-29/75				DEFENSE COUNSEL S. ROSENBERG					
ARR DATE 1/13/76		RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> PR <input checked="" type="checkbox"/> BOND \$5,000							
TRIAL DATE									
75-9072	ROBERTS, PAUL VICTOR	SIMPLE ASSAULT	R. HIGH CITY PD #108	HOLLISTER	TRIAL	1/29/76		5.0	CRIMINAL
ARREST/SUMMONS DATE 12/22/75				PROSECUTOR MORELY					
INDICTMENT INFORMATION DATE 12/29/75				DEFENSE COUNSEL J. SINGMAN					
ARR DATE 1/14/76		RELEASE STATUS <input type="checkbox"/> JAIL <input type="checkbox"/> PR <input checked="" type="checkbox"/> BOND \$500							
TRIAL DATE									

TRIAL SUSPENSE DATE (COL 1)	NEXT SCHEDULED ACTION	CASE NO	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (PANCH)	TRIAL TYPE	DATE	PROMIS SCORES	CRIME
		75-9033	PARKER, THOMAS EDWARD	BANK ROBBERY	B. LIENNEMAN DEPUTY SHERIFF'S DEPT	ROLAND	TRIAL	1/29/76		12.5	CRIMINAL
		75-9072	ROBERTS, PAUL VICTOR	SIMPLE ASSAULT	R. HIGH CITY PD #108	HOLLISTER	TRIAL	1/29/76		5.0	CRIMINAL

TRIAL SUSPENSE DATE (COL 1)	NEXT SCHEDULED ACTION	CASE NO	DEFENDANT	CHARGE(S)	POLICE OFFICER(S) AND AGENCY/UNIT	JUDGE	NEXT COURT EVENT (PANCH)	TRIAL TYPE	DATE	PROMIS SCORES	CRIME
		75-9033	PARKER, THOMAS EDWARD	BANK ROBBERY	B. LIENNEMAN DEPUTY SHERIFF'S DEPT	ROLAND	TRIAL	1/29/76		12.5	CRIMINAL
		75-9072	ROBERTS, PAUL VICTOR	SIMPLE ASSAULT	R. HIGH CITY PD #108	HOLLISTER	TRIAL	1/29/76		5.0	CRIMINAL

TRIAL SUSPENSE DATE (COL 1)	NEXT SCHEDULED ACTION	PERIODS EXCLUDED FROM SPEEDY TRIAL RULE	PROSECUTOR'S INITIALS (COL 1)
TYPE (COL 2)	SUSPENSE DATE (COL 3)	PERIOD (COL 4)	REASON (COL 5)
FROM (COL 4)	TO (COL 5)	NO OF DAYS Add to Col 1 and Col 3 Dates (COL 7)	CUMULATIVE NO OF DAYS (COL 8)

A Calendar Card is completed only for those cases in which the prosecutor is filing charges, and not for those in which all police charges are rejected at intake. However, police agencies should find it helpful to receive a separate report on the cases in which all charges were rejected, and the reason therefor. This information can be of material assistance to law enforcement agencies, particularly when reasons for rejecting charges can be traced to improper or inadequate training of police officers. This type of feedback from the prosecutor can be taken into consideration in reviewing police practices and procedures and developing training programs, thereby increasing the overall operating efficiency of the police agency and the prosecutor's office.

d. Updating the Calendar Card. The source document for updating the Calendar Card will depend upon the method employed by the office in updating the Case Progress Docket card. As noted in sections B.1.c and d, there are several ways in which this information may be captured, including:

- Recording data directly onto the original Case Progress Docket card;
- Recording information on a photocopy of the Case Progress Docket card;
- Using a transaction worksheet to record the court event;
- Using an annotated copy of the court calendar.

Regardless of which method is used, it is important to change several items of information, as appropriate, on the Calendar Card immediately following each court event. These include:

- Release Status: If changed, indicate the defendant's new release status in pencil.
- Charges: Note any dispositions by lining through charges that were disposed of as a result of the court event, and indicate the reason therefor. Also add any new charges filed by the prosecutor.
- Judge: Note new judge and date of assignment, if applicable.
- Prosecutor: Note new assistant prosecutor and date of assignment, if applicable.

- Defense Counsel: Note new defense counsel and date of assignment, if applicable.
- Court Event: Erase the current court event and record the next event in pencil. Also change the month and day of the next scheduled court event.

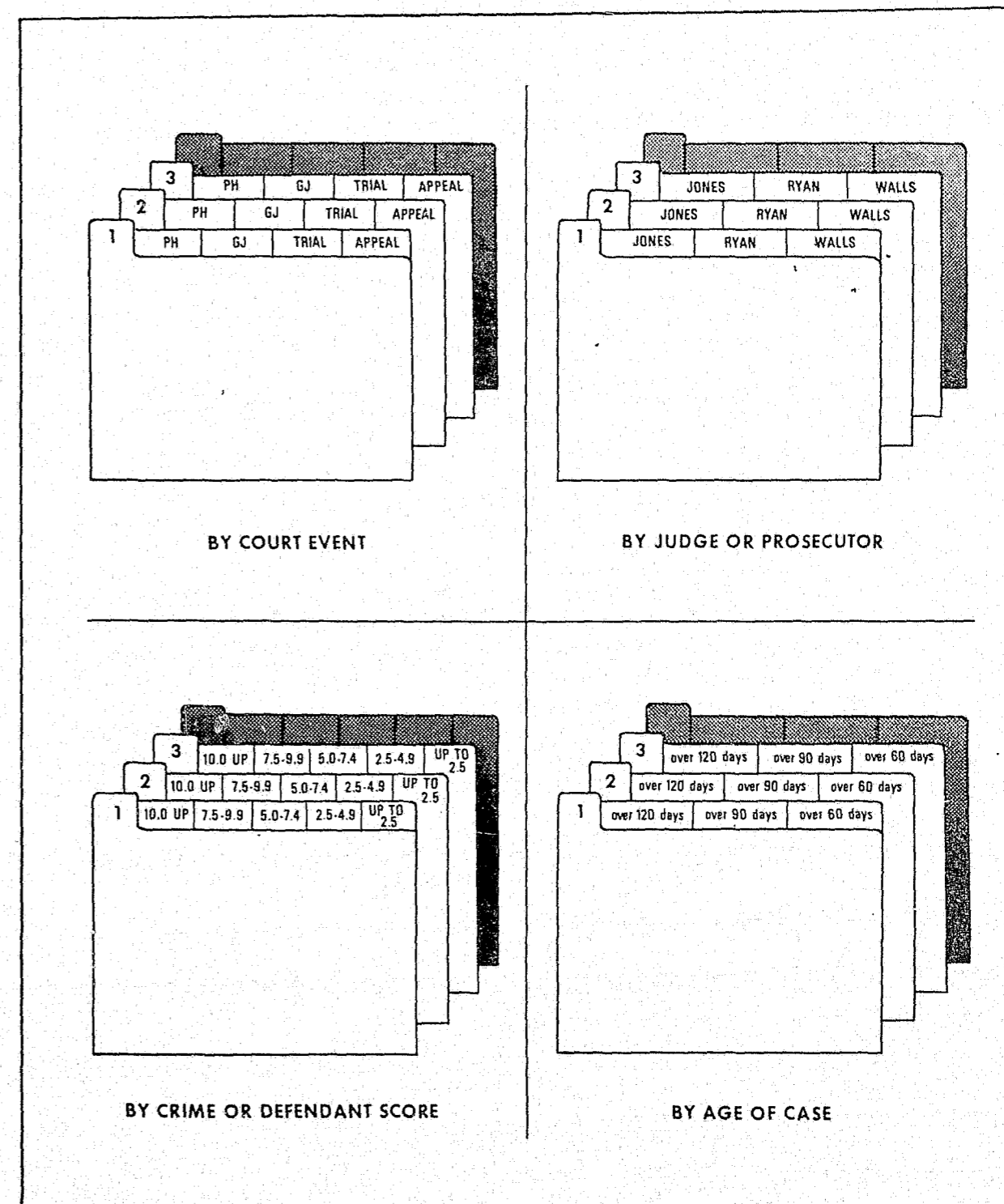
When the card has been updated, file it immediately in the Calendar Card file according to the next court event date.

e. File Arrangement. Several different filing arrangements and techniques might be used to organize and keep track of Calendar Cards. The primary file category must be by court event date. There are several commercially available guide cards which have the month of the year printed on tabs. Guide cards are also readily available with the numbers from 1 through 31 indicating the days of the month on tabs. The Calendar Cards can be placed in the file by the month and day of the next scheduled court event. (See Exhibit 27.)

Within the date file, cards may be further sorted by:

- Court Event: It is from this file category that cards are selected to prepare court event calendars (e.g., Grand Jury Calendar, Trial Calendar, Arraignment Calendar).
- Prosecutor or Judge: These classifications are normally used to produce case load listings for a particular prosecutor or judge on a given date.
- Case Ranking by Crime and Criminal Scores: The cards of all defendants scheduled for a court appearance date may be placed in descending order by either of these scores, beginning with the defendant having the highest score of all cases scheduled for that day and ending with the defendant with the lowest score. Guide cards may be used for score breakdowns (e.g., 0-10, 11-20, 21-30).
- Case Ranking by Age: It is important to know which cases have been in the system the longest. Therefore, some jurisdictions may want to file cases within court event date by age, using the arrest date (e.g., cases over 30 days old, over 60 days old, over 90 days old).

CALENDAR CARD FILE ARRANGEMENTS



Of course, in jurisdictions with small case loads, it is not necessary to use guide cards for file breakdowns below month and day of court event. When cases for a given day number 25 or less, it is a simple matter to pull all of the cards for that day and arrange them in a variety of sequences to produce calendar lists by event, score, case age, judge, or prosecutor.

There are alternatives to the use of guide cards for separating file breakdowns within court event date. All cards having an event scheduled for the same date can be kept together, but "signal" devices can be placed on the card indicating the type of event, judge, prosecutor, high score or case age. Two different common signal devices can be affixed to the top of a card: colored plastic clips or metal tabs and colored self adhesive labels. Both are readily available from most office supply stores. In using these signals, adoption of a color coding scheme is necessary. For example, the color red may indicate a high priority case on the basis of crime score or age of the case. Blue labels or clips may indicate a given court event such as grand jury or arraignment.

The obvious advantage to the use of signals is that they provide the capability to skim rapidly through the cards to identify cases that are scheduled for a particular event, those that have a high priority score, and those that have been in the system for more than a specified number of days. If the status of a case changes when it advances to the next court event, a different colored clip or label can replace the old one to indicate the next court event. The card is then refiled under the new event date. More than one signal may be used on a card for multiple classification. A card might possibly have as many as five signals representing the judge, prosecutor, court event, high priority score, and aging case.

A Calendar Card should be retained in the file until a defendant's case is disposed of and, in cases resulting in convictions, sentence is pronounced. The Calendar Card for that case may then be removed from the file and destroyed following preparation of the disposition report, if applicable, for the police agency of jurisdiction. Or, since this card is going to be destroyed, it could be annotated to show case disposition and sent directly to the police agency without preparing a report. The closed-out Case Progress Docket is all that is needed as a summary record of the case for information retrieval and research purposes.

3. PROMIS Crime Analysis Scoresheet

The PROMIS Crime Analysis Scoresheet (Exhibit 28) has been developed for rapid computation and assignment of a case priority score to both the crime and the criminal. While admittedly a ranking system is most useful in large prosecutors' offices where defendants tend to become anonymous and cases are processed on a production line basis, it can also be of considerable benefit to smaller offices, as discussed in Chapter III and summarized in section B.3.b. The factors included in the crime rating are derived from a modified version of a scale developed by criminologists Thorsten Sellin and Marvin E. Wolfgang.* The scale assesses the gravity of the crime in terms of the degree of harm done to society rather than in terms of legal nomenclature. The factors included in the criminal score are extracted from a scale developed by Donald Gottfredson and are associated with the gravity of the defendant's criminal history.**

a. Record Description. The scoresheet has two sections, one for the crime score and one for the criminal score. The crime score is based on the following ranking factors:

- . Whether the defendant possessed a weapon at the time of the offense, and if so, the type of weapon.
- . If the offense involved injury or death, the number of victims receiving minor injuries but not treated, number treated and released, number hospitalized and number killed.
- . Whether any victim was threatened or intimidated, and if so, whether by physical force or verbal only, or by display of weapon.

*See T. Sellin & M. Wolfgang, The Measurement of Delinquency New York: John Wiley and Sons, Inc., 1964.

**See D. Gottfredson and R. Beverly, "Development and Operational Use of Prediction Methods in Correctional Work," Proceedings of the American Statistical Association (Washington, American Statistical Association, 1962); D. Gottfredson and J. Bonds, A Manual for Intake Base Expectancy Scoring: Form CDC--BEGIA (Sacramento: California Department of Corrections, Research Division, 1961); Gottfredson and Ballard, "Differences in Parole Decisions Associated with Decision-Makers," Journal of Research in Crime and Delinquency, July 1966, p. 112.

Exhibit 28

PROMIS CRIME ANALYSIS SCORE SHEET

(To be completed by Prosecuting Attorney or Paralegal)

Immediately upon completion of each section, record the score on the Case Progress Docket and Calendar Card.

DEFENDANT'S NAME (Last First Middle)		Court Case No.	Prepared by	Arrest Date	
SECTION I--CRIME SCORE			SECTION II--CRIMINAL SCORE		
1. Complete this section at time of case intake for all cases including those in which charges are being filed.			Complete this section immediately upon receipt of the FBI rap sheet.		
2. Hold this form in a suspense file for 30 days or upon receipt of the FBI rap sheet then complete Section II.					
QUESTION	WEIGHTS*	SCORE FACTOR	QUESTION	WEIGHTS*	SCORE FACTOR
Did the defendant possess a weapon at the time of the offense? (Answer without regard to charges.)			Does the defendant have an arrest record? (Do not include drunk or disorderly, minor traffic or other petty offenses).....	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk	
1 (a) YES--firearm or replica (e.g., gun, starter pistol, toy pistol).	<input type="checkbox"/> (1x1)=		If NO, stop here and assign a criminal score of 0 below. No defendant ranking is necessary. If YES, complete the following:		
(b) YES--other dangerous weapon (e.g., knife, baseball bat, tire wrench).....	<input type="checkbox"/> (1x1)=		(a) Arrested in last 5 years.....	<input type="checkbox"/> Yes (1x10)= <input type="checkbox"/> No <input type="checkbox"/> Unk	
(c) NO or UNKNOWN			(b) Has used alias or aliases	<input type="checkbox"/> Yes (1x2.5)= <input type="checkbox"/> No <input type="checkbox"/> Unk	
Did the offense involve injury or death: (If YES, complete all that are applicable):	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk		(c) Arrested more than once	<input type="checkbox"/> Yes (1x5)= <input type="checkbox"/> No <input type="checkbox"/> Unk	
(a) No. receiving minor injuries but not treated.....	<input type="checkbox"/> (x1)=		(d) Arrested more than once for crimes against the person. [If greater than 1 arrest for crimes against person (e.g., assaults, rapes, homicides, robberies and all attempts to commit the same, and first degree burglaries which contain elements of the aforementioned offenses.)]	<input type="checkbox"/> Yes (1x5)= <input type="checkbox"/> No <input type="checkbox"/> Unk	
2 (b) No. treated and released.....	<input type="checkbox"/> (x4)=		CRIMINAL SCORE.....		
(c) No. hospitalized.....	<input type="checkbox"/> (x7)=		(Enter this score on the Case Progress Docket and the Calendar Card.)		
(d) No. killed.....	<input type="checkbox"/> (x26)=		SECTION III--CONVICTION DATA		
Was victim(s) threatened or intimidated? (If sex offense, go to Question 4)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk		The following conviction data is required for information purposes. Research is under way to determine the appropriate assignment of weights for each factor.		
3 If YES, complete the following:			Does the defendant have a conviction record? (Do not include drunk or disorderly, minor traffic or other petty offenses)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk	
(a) By physical force or verbal only	<input type="checkbox"/> (1x2)=		If YES, complete the following:		
(b) By display of weapon(s).....	<input type="checkbox"/> (1x4)=		Felony	Misdemeanor	
Did offense include a sex crime? (Only include forcible rape, sodomy, carnal knowledge, indecent liberties, and incest--If YES, complete all that are applicable):	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk		(a) Convicted in last 5 years	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk
4 (a) No. of victim(s) of forcible sexual intercourse.....	<input type="checkbox"/> (x10)=		(b) No. of previous convictions.....		
(b) If any type of weapon was used in the intimidation, specify the no. of victims so intimidated..	<input type="checkbox"/> (x2)=		(c) No. of convictions for crimes against the person.....		
Did offense involve theft, damage or destruction of property? (If YES, complete all that are applicable):	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unk		(d) Years of last 3 convictions (use last 2 digits; e.g., '73, '74).....		
5 (a) No. of premises forcibly entered.....	<input type="checkbox"/> (x1)=				
(b) No. of motor vehicles stolen....	<input type="checkbox"/> (x2)=				
(c) Dollar value of property stolen damaged, or destroyed: (Exclude automobiles recovered intact and undamaged)					
(1) Under \$10.....	<input type="checkbox"/> (1x1)=				
(2) \$10 through \$250.....	<input type="checkbox"/> (1x2)=				
(3) \$251 through \$2,000.....	<input type="checkbox"/> (1x3)=				
(4) Over \$2,001.....	<input type="checkbox"/> (1x4)=				
TOTAL CRIME SCORE					
Enter this score on the Case Progress Docket and the Calendar Card.					

*These are preestablished numerical values which were based on research by criminologists.

- Whether the offense included a sex crime, and if so, the number of victims of forcible sexual intercourse; also, if any type of weapon was used in the intimidation, the number of victims so intimidated.
- If the offense involved theft, damage or destruction of property, the number of premises forcibly entered; number of motor vehicles stolen; and dollar value of property stolen, damaged, or destroyed, excluding automobiles recovered intact and undamaged.

Ranking factors that determine the criminal score are: whether the defendant has an arrest record for other than drunk or disorderly, minor traffic or other petty offenses; whether he has been arrested in the last five years or used an alias; number of previous arrests; and the number of any previous arrests for crimes against the person.

Additional factors recorded, but not included in the criminal score, are: whether the defendant has a conviction record for other than drunk or disorderly, minor traffic or other petty offenses; the type of crime (felony or misdemeanor); number of convictions in last five years; total number of previous convictions; number of convictions for crimes against the person; and dates of last three convictions.

The PROMIS Crime Analysis Scoresheet represents a rather simple method for computing case ranking scores. The ranking factors have been proven reliable in nationwide studies; however, other ranking schemes have been developed which may be used instead. Examples are schemes developed by the Major Offender Bureau for use in the Bronx, New York (see Exhibit 29) and a scoresheet in use at the Manhattan District Attorney's office, New York for determining major felony cases (see Exhibit 30). These alternate ranking systems are cited as examples only. The data elements selected and the weighting factors for each should be carefully researched and tested locally before being placed in general use.

b. Purpose and Uses. The PROMIS Crime Analysis Scoresheet is intended to provide the prosecutor with a means for judging which pending cases should be given priority. In addition, this information may be used as the basis for initial or future bail bond recommendations to the judge, as well as aiding in determining which cases should be considered for plea bargaining. The data are also valuable for such research purposes as measuring evenhandedness in prosecutive discretion, comparing one office's charging and disposition

MAJOR OFFENDER BUREAU CRIME RANKING FORM

A. NATURE OF CASE		check if applicable	pts.	<input type="checkbox"/>	Arson with substantial damage or high potential for injury
Victim				<input type="checkbox"/>	Child abuse, child seven or under
one or more persons	<input type="checkbox"/>		2.0	<input type="checkbox"/>	Multiple robberies or burglaries
Victim Injury					
received minor injury	<input type="checkbox"/>		2.4		
treated and released	<input type="checkbox"/>		3.0		
hospitalized	<input type="checkbox"/>		4.2		
Intimidation					
one or more persons	<input type="checkbox"/>		1.3		
Weapon					
defendant armed	<input type="checkbox"/>		7.4		
defendant fired shot or carried gun, or carried explosives	<input type="checkbox"/>		15.7		
Stolen Property					
any value	<input type="checkbox"/>		7.5		
Prior Relationship					
victim and defendant—same family	<input type="checkbox"/>		-2.8		
Arrest					
at scene	<input type="checkbox"/>		4.6		
within 24 hours	<input type="checkbox"/>		2.9		
Evidence					
admission or statement	<input type="checkbox"/>		1.4		
additional witnesses	<input type="checkbox"/>		3.1		
Identification					
line-up	<input type="checkbox"/>		3.3		
B. NATURE OF DEFENDANT					
Felony Convictions					
one	<input type="checkbox"/>		9.7		
more than one	<input type="checkbox"/>		18.7		
Misdemeanor Convictions					
one	<input type="checkbox"/>		3.6		
more than one	<input type="checkbox"/>		8.3		
Prior Arrests—Same Charge					
one	<input type="checkbox"/>		4.5		
more than one	<input type="checkbox"/>		7.2		
Prior Arrests					
one	<input type="checkbox"/>		2.2		
more than one	<input type="checkbox"/>		4.2		
Prior Arrest—Weapons Top Charge					
more than one	<input type="checkbox"/>		6.4		
Status When Arrested					
state parole	<input type="checkbox"/>		7.1		
wanted	<input type="checkbox"/>		4.2		
C. REFER TO M.O.B. IF ANY OF THE FOLLOWING CONDITIONS APPLY:					
(check those applicable—offense is most serious charge)					
<input type="checkbox"/> Forcible sexual offenses between unrelated parties					
D. SUMMARY INFORMATION					
No. of Victims					
<input type="checkbox"/>	received minor injury				
<input type="checkbox"/>	treated and hospitalized				
<input type="checkbox"/>	hospitalized and/or permanent injury				
<input type="checkbox"/>	law officer				
<input type="checkbox"/>	attempted murder of officer				
Weapon					
<input type="checkbox"/>	gun				
<input type="checkbox"/>	knife				
<input type="checkbox"/>	bomb or explosive				
<input type="checkbox"/>	other				
Burglary					
<input type="checkbox"/>	night-time				
<input type="checkbox"/>	evidence of forcible entry				
<input type="checkbox"/>	Church, School, Public Bldg.				
<input type="checkbox"/>	no. of premises burglarized				
Value of Stolen Property	recovered	not			
<input type="checkbox"/>	under \$250	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	\$250 to \$1499	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	\$1500 to \$25,000	<input type="checkbox"/>		<input type="checkbox"/>	
<input type="checkbox"/>	over \$25,000	<input type="checkbox"/>		<input type="checkbox"/>	
Prior Relationship					
<input type="checkbox"/>	other family				
<input type="checkbox"/>	neighbor				
<input type="checkbox"/>	friend				
<input type="checkbox"/>	acquaintance				
<input type="checkbox"/>	other				
Identification					
<input type="checkbox"/>	photograph				
<input type="checkbox"/>	on or nearby scene				
<input type="checkbox"/>	other				
<input type="checkbox"/>	no. of persons making I.D.				
<input type="checkbox"/>	time delay of I.D.				
Supporting Evidence					
<input type="checkbox"/>	crime observed by police officer				
<input type="checkbox"/>	fingerprints recovered				
E. DISTRICT ATTORNEY'S EVALUATION					
TOTAL SCORE _____					
RANKING CLERK _____					
A.D.A. NOTICED yes <input type="checkbox"/> no <input type="checkbox"/>					
ACTION BY A.D.A.:					
<input type="checkbox"/>	accepted	<input type="checkbox"/>	furthered		
<input type="checkbox"/>	rejected	<input type="checkbox"/>	referred to M.O.B.		
reasons: _____					

MAJOR FELONY CRIME RANKING SCHEME FORM

Date: _____

MAJOR FELONY SCREENING

Defendant(s)	AGE	Docket No.	Charge
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Officer _____ Shield No. _____

Command _____ Phone No. _____

Please circle those points which apply to your case. Where there are multiple defendants, compute on basis of major defendant. (Categories are cumulative.)

I. NATURE OF CASE

A. VICTIM		E. ARSON	
1. Injured	10	1. Dwelling	10
2. Hospitalized (not including treated and released)	10	2. Person present	10
3. Permanent Injury	15	3. Extensive property damage	5
4. Police Officer	2	TOTAL "E" _____	
5. Att. Murder-Police Officer	10	F. VALUE OF STOLEN PROPERTY	
6. Victim-youth, elderly, disabled	5	1. Under \$250	1
7. Cab driver	5	2. Up to \$1,500	3
TOTAL "A" _____		3. Over \$1,500	4
		4. Over \$25,000	10
		TOTAL "F" _____	
B. WEAPONS		G. KIDNAPPING	
1. Explosives	15	1. Time of abduction (in excess of 12 hours)	5
2. Loaded Sawed-off Shotgun	15	2. Random demanded	15
3. Loaded Gun (includes not recovered)	10	3. Sexually abused	5
4. Unloaded or imitation	5	4. Victim under 12 years	10
5. Knife	5	TOTAL "G" _____	
6. Other (billy, club, etc.)	3	H. BRIBERY	
7. Weapon discharged	10	1. Tapes	5
8. Multiple weapons	5	2. In excess of \$250	5
9. Physical force applied directly to the person	10	3. Underlying crime (a) Felony	10
TOTAL "B" _____		(b) Misdemeanor	5
		(c) Violation	3
C. SEX CRIME		4. Money Vouchered	10
1. Force (physical, non-weapon)	10	TOTAL "H" _____	
2. Semen present	10		
3. Immediate outcry	10		
4. Prior relationship	-10		
TOTAL "C" _____			
D. BURGLARY (MUST BE DWELLING)			
1. Nighttime	10		
2. Evidence of forcible entry	5		
3. Person present	10		
TOTAL "D" _____			

SUBTOTAL I

Exhibit 30 (cont.)

II. DEFENDANT EVALUATION

A. PRIOR CRIMINAL RECORD

- 1. Felony conviction 8
- 2. Misdemeanor conviction 3
- 3. Prior arrests 5
 - (a) Same or related 5
 - (b) Violent crime 5
 - (c) Weapon (top charge) 3

TOTAL "A" _____

B. DEFENDANT'S STATUS WHEN ARRESTED

- 1. Pending cases 5
- 2. State Parole 5
- 3. Wanted 2

TOTAL "B" _____

SUB-TOTAL II _____

III. STRENGTH OF CASE

A. WEAPON RECOVERED

- 1. At scene 2
- 2. From defendant 3
- 3. Elsewhere but connected to defendant 3

TOTAL "A" _____

B. PROPERTY RECOVERED

- 1. At scene 3
- *2. From defendant's person 5
- *3. Elsewhere but connected to defendant 3

TOTAL "B" _____

C. PRIOR RELATIONSHIP BETWEEN DEFENDANT AND COMPLAINANT

Not to be deducted if relationship is only relevant on issue of identity and points have already been deducted under the sex crimes section -5

TOTAL "C" _____

D. ARREST

- 1. At scene 5
- 2. Shortly after occurrence (within 24 hours) 2

TOTAL "D" _____

E. SUPPORTING EVIDENCE

- 1. Admission or statement 3
- *2. Additional witnesses 3
- 3. Fingerprints recovered 5

TOTAL "E" _____

SUB-TOTAL III _____

IV. MULTIPLE CASES 10

SUB-TOTAL IV _____

V. D.A.'S EVALUATION

Consider in addition to the terms marked with asterisk, the evaluation of the People's witnesses. For example, prior record, credibility generally, identification, search and seizure and Wade and Miranda problems.

Please enter the number of points you feel the case is worth. You may add a maximum of 20 points or deduct up to 10 points.

SUB-TOTAL V _____

SUB-TOTAL I - _____

SUB-TOTAL II - _____

SUB-TOTAL III - _____

SUB-TOTAL IV - _____

SUB-TOTAL V - _____

TOTAL POINTS _____

A.D.A. _____

CMF

experience with another, and analyzing the local criminal population and criminal patterns for various purposes.

c. Creating the PROMIS Crime Analysis Scoresheet. The first section of the PROMIS Scoresheet, dealing with the computation of the crime score, should be filled out by the prosecutor at the time a case is presented by a police agency or lower court. Once the crime score is ascertained, it should immediately be entered in the proper spaces on the Calendar Card and the Case Progress Docket card. The scoresheet should then be placed in a suspense file to await the arrival of the defendant's FBI and state criminal record, if any.

d. Updating the PROMIS Crime Analysis Scoresheet. The only update necessary is the completion of Section II, Criminal Score. This score can be computed only upon receipt of the FBI record or perhaps the state criminal record. The score must then be entered on both the Calendar Card and Case Progress Docket card.

e. File Arrangement and Disposition. After the crime score is computed and the score is recorded on the Calendar Card and Case Progress Docket card, the scoresheet should be placed in a suspense or tickler file (usually for 30 days from date of arrest) unless the FBI rap sheet is already available. When the defendant's record is received from the FBI, the scoresheet should be removed from the suspense file and Section II completed. (If the criminal report is not received at the end of the 30-day period, follow-up action should be taken.) Once the criminal score is entered on the Case Progress Docket card and the Calendar Card, the PROMIS scoresheet is normally no longer required in connection with operation of PROMIS. However, it is recommended that the scoresheets be maintained in a separate file and arranged by case number or other identifying feature, as appropriate, for possible later use in compiling statistics.

4. Subpoena/Witness Record

The multipart Subpoena/Witness Record (Exhibits 31 and 32) is intended to serve witness management and operational functions described in section F of Chapter III. It is designed to produce three copies of the subpoena, as well as two copies of a Witness Record in the same typing operation. If the prosecutor is responsible for issuing notices to the defendant and defense attorney, a notice/record for the defendant and his attorney, similar to the Subpoena/Witness Record described below, may be developed and used.

a. Record Description. The Subpoena/Witness Record is normally a five-part "snap-out" carbon interleaved form

Exhibit 31

SUBPOENA

INSTRUCTIONS Step 1 Enter name and address of witness, name of accused, court case number and witness type. Step 2 If form was prepared by typewriter, remove all copies from typewriter. Step 3 Fold back all copies except final paper copy and card ("Witness Record" copies) and enter witness' home and work phone numbers and complete items 2 through 7. Step 4 Detach "Witness Record" copies, file card in "Witness File", and place all paper copies in the case jacket.

FORM

SUBPOENA
JONES COUNTY SUPERIOR COURT
 JONESVILLE, ALATUCKY 00000

You are hereby ordered to appear before the Jones County Superior Court, 800 Main Street, Jonesville, Ala., at the date and time shown below as a witness for the state of Alatucky. If you have any questions about this matter, or if any information on this subpoena is incorrect, please call the District Attorney's Office at DA 5-1000.

ACCUSED _____

COURT CASE NUMBER _____

COURT APPEARANCE DATE AND TIME _____

BY _____
 FOR THE CLERK OF THE COURT

TYPE DATE _____

REPORT OF SERVICE BY SHERIFF

Served _____ / _____ / _____
 Not served, reason: _____

SIGNATURE OF OFFICER _____

COURT CASE NUMBER _____

NAME OF WITNESS _____

Exhibit 32

WITNESS RECORD

PROSECUTORS REMARKS—PROBLEMS NOTED	DATES SUBPOENA ISSUED	DATES WITNESS APPEARED

FORM **WITNESS RECORD**

ACCUSED _____

COURT CASE NUMBER _____

HOME PHONE NO. _____

WORK PHONE NO. _____

1. WITNESS TYPE

2. SEX M F 3. AGE _____ 4. RACE W B O OTHER _____ 5. RELATIONSHIP TO ACCUSED: A Spouse (including common law) B Child C Other Family D Ex-Spouse E Co-habiting F Girl or Boy Friend G Friend H Acquaintance I Neighbor J Employer or Employee K Stranger L Other

6. TESTIMONY PROBLEMS? YES NO UNK

7. WITNESS CRIMINAL RECORD: NONE UNK AS FOLLOWS: _____

WITNESS TYPES—A—ARRESTING PO B ASSISTING PO C INVESTIGATING PO D OTHER E CHEMIST F FINGERPRINT G OTHER PROFESSIONAL TYPE H COMPLAINING I EYEWITNESS J OTHER ESSENTIAL WITNESS K NON-ESSENTIAL

-112-

-113-

set. The three subpoenas and the first Witness Record copy are printed on paper stock and the final copy, the Witness Record card, on card stock.

(1) Subpoena. Three copies of the subpoena are produced when the form set is originally typed in order to avoid retyping when subsequent ones must be issued. The following data are recorded on the subpoena at the time of initial preparation:

- . Witness name
- . Witness address
- . Name of accused
- . Court case number
- . Witness type (using letter code from bottom of Witness Record)

The court appearance date, name/signature of official, and dates of issuance are added at the time the individual subpoenas are issued. (Instructions for preparing the form set are printed on the stub at the top.)

This subpoena form has been designed so that it may be inserted without folding into a standard No. 10 window envelope, available at most office supply stores. This eliminates typing the witness' name and address on the front of an envelope in those jurisdictions where subpoenas are mailed. The return address of the prosecutor's office may be printed in the upper left corner of the window envelope or a rubber stamp used for this purpose to save printing costs.

The subpoena form has been designed with an optional tear off portion at the bottom for recording service by a sheriff or other law enforcement official in those jurisdictions where subpoenas are served in that manner. Items of information included on the "Report of Service by Sheriff" for completion by the law enforcement officer are as follows:

- . Court case number
- . Name of witness
- . If served, date
- . If not served, reason
- . Signature of officer

As reports of service are received, they should be placed in the case jacket so that the prosecutor will be aware of which witnesses have received a subpoena and which have not. (Those jurisdictions that do not serve the subpoena through a law enforcement officer, or do not require a report of service, may omit the printing of the tear-off portion.)

(2) Witness Record. The fourth and fifth copies of the form set serve as a record on the witnesses. The fourth, a paper copy filed in the case jacket, is used for recording the dates subpoenas are issued, and also includes space for the prosecutor to enter remarks about any witness problems and to record data about the witness' appearances in court. The fifth copy, printed on 5 by 8 inch card stock, is placed in a Witness Name and Data file, which is particularly helpful when inquiries are received from witnesses who have lost the subpoena or forgotten to bring it with them. Since the cards are arranged alphabetically by name of witness, the identity of the case can be determined immediately and details obtained, if necessary, from the Case Progress Docket. (Consequently, the Witness Name and Data file and the Case Progress Docket file should be kept in close proximity to each other.)

Data recorded on the Witness Record copies of the form set are as follows:

- . Name of Witness*
- . Address*
- . Name of Accused*
- . Court Case Number*
- . Witness Home Phone
- . Witness Work Phone
- . Witness Type:
 - A - Arresting Police Officer
 - B - Assisting Police Officer
 - C - Investigating Police Officer

*These items are typed on the original carbon interleaved form set and appear on all copies of the Subpoena/Witness Record.

- D - Other Police Officer
- E - Chemist
- F - Fingerprint Expert
- G - Other Professional Type
- H - Complaining
- I - Eyewitness
- J - Other Essential Witness
- K - Nonessential witness

- . Sex
- . Age
- . Race

- . Relationship to Accused: Check boxes are provided to indicate various types of relationships.
- . Prosecutors' Remarks--Problems Noted: This space is provided for explaining the nature of any testimony or other problems anticipated or experienced, and any other important information about the witness.
- . Dates Subpoena Issued and Witness Appeared: These dates should be recorded only on the paper copy retained in the case jacket, and not on the card copy maintained in the Witness Name and Data file.

b. Purposes and Uses. In addition to serving the specific purposes described above and as a source of general information in prosecuting the case, there are several other possible uses for the Witness Record, including identifying and analyzing witness problems and compiling statistics.

c. Creating the Subpoena/Witness Record. The form should be completed immediately upon determining that a person is to serve as a witness in a case. This will usually take place at the time of case intake; however, it is also essential that the forms be prepared if at any time additional persons are designated to serve as witnesses. All information should be typed on a full set of forms except the court appearance date and time; name of the person issuing the subpoena, and the date of issue. The code to be entered in the "witness type" block

below the witness' name and address can be ascertained by referring to the list at the bottom of the Witness Record (copies 4 and 5 of the form set). After this information is typed (or entered by hand, if necessary), the three subpoena copies are removed from the set and placed in the case jacket. The Witness Record copies are then completed as far as possible, either by typewriter or manually. Copy 4, the paper copy of the Witness Record, is then placed in the case jacket and copy 5 is placed in the Witness Name and Data file.

d. Updating the Subpoena/Witness Record. The only updating required for the subpoena copies is to enter the court appearance time and date, issuance date, and signature of the person issuing the subpoena. If more than three subpoenas are required for one witness, another form set can be typed, and the Witness Record copies discarded without any further action.

The only updating that is required on the Witness Record copy kept in the case jacket is entry of each date that a subpoena was issued, and that the witness appeared in court.

e. File Arrangement and Disposition. The copies of the subpoena produced as a result of the initial typing are placed in the case jacket until a court event is scheduled that requires the presence of the witness. A copy of the subpoena is then removed from the jacket, and the appropriate information entered in the blanks; the subpoena is then either mailed in a window envelope or dispatched to a law enforcement officer for serving, depending upon local procedures. If the "Report of Service by Sheriff" is used, those returns which have served their purpose (i.e., the witness appeared as ordered) can be discarded, unless it is determined that they should be retained. When a case is concluded or disposed of, all remaining copies of the subpoena should be removed from the jacket and destroyed.

The card copy of the Witness Record is retained in the active Witness Name and Data file until the case is closed. Until it is positively determined by the prosecutor's office that there will be no further need for the cards on closed cases, such as for research purposes, they should probably be retained in a separate file. The paper copy of the Witness Record, showing dates of court appearances, could be forwarded to the Clerk of the Court or used in connection with other appropriate action, such as payment of witness fees if applicable.

f. Alternative Witness Record. For jurisdictions in which the court issues subpoenas, the prosecutor may find

it advantageous to use the Witness Worksheet illustrated in Exhibit 33. This form provides a single place and a simple medium for recording information about police and other expert witnesses (witness numbers 1 through 4) and lay witnesses (witness numbers 5 through 8). Space is also provided for writing notes on the case and for recording dates that subpoenas were ordered and served. The Witness Worksheet has proved of significant benefit both in preparing cases for trial and presenting them in the courtroom.

5. Case Folder/Jacket

Because the Case Progress Docket, the Calendar Card, and the Subpoena/Witness Record contain most of the data essential to case management, it should be possible to use plain, low cost standard folders for housing the case papers. Type-written folder labels showing the defendant's name and case number should be sufficient to identify the cases. If absolutely necessary, the label could also contain such additional data as date of arrest, charges (in abbreviated form), and the name of the police officer in charge of the case. It should not be necessary to prepare a printed case jacket, unless the system concept presented in this chapter were to be modified to use the case jacket as a substitute for the Case Progress Docket. Studies conducted in connection with the development of this handbook, together with observations of the activities in small and medium-sized prosecutors' offices, disclose that the use of the printed case jacket would normally be less satisfactory than the Case Progress Docket. One of the main reasons is that prosecuting attorneys, who usually are responsible for recording data on the outside of the jacket, tend to be careless and negligent about such matters, whereas the paralegals or members of the administrative staff who maintain the Case Progress Docket have this task as one of their primary responsibilities. Another factor is the comparative costs. Printing folders, especially in the low volumes used by smaller offices, is usually expensive. Further, because changes are invariably necessary from time to time, it is not unusual for the prosecutor to be faced with the choice of discarding the existing stock and reprinting the case jackets, or having operations hobbled by an inefficient or obsolete format. Case Progress Docket cards, on the other hand, can be revised and reprinted at a nominal cost.

If selected data must be recorded on the outside of the case jacket, it should be possible to fabricate low cost rubber stamps for this purpose, including ones with check blocks or spaces for filling in needed data.

WITNESS WORKSHEET

WITNESS WORKSHEET

DEFENDANT'S NAME			NO. OF CO-DEFENDANTS		CHARGE												
WITNESSES																	
NO. INTERV.	POLICE RANK AND NAME				UNIT	CODE	WORK PHONE	HOME PHONE									
1																	
2																	
3																	
4																	
OTHER WITNESSES - IN ORDER OF CALL			ADDRESS			CODE	PHONE										
5							WORK	HOME									
6							WORK	HOME									
7							WORK	HOME									
8							WORK	HOME									
A. ARRESTING PO D. INVESTIGATING PO 7. SPO 8. EYEWITNESS 9. FINGERPRINT 10. LABORATORY 11. OTHER EXPERT (E) ESSENTIAL B. ASSISTING PO I. OTHER PO 2. COMPLAINING 4. OTHER-LAY 6. HANDWRITING C. OTHER CHEMIST (N) NON-ESSENTIAL																	
WITNESS NUMBER	STATEMENTS—FACTS—REMARKS																
PROBLEMS																	
SUBPOENAS																	
EVENT					EVENT												
WITNESS NUMBER	ORD.	SERV.	ORD.	SERV.	ORD.	SERV.	ORD.	SERV.	WITNESS NUMBER	ORD.	SERV.	ORD.	SERV.	ORD.	SERV.	ORD.	SERV.
1									5								
2									6								
3									7								
4									8								

Case jackets should be arranged and filed by court case number to provide a cross index to the Case Progress Docket cards, which are filed alphabetically, and to facilitate retirement and disposition of closed cases. Ideally, case jackets should be transferred to the inactive file as soon as the cases are closed.

C. PROMIS Related Forms

The forms described below are presented as supplements to the basic set of four forms described in section B. Some were developed in conjunction with the automated version of PROMIS; others were created to fill requirements uncovered in several jurisdictions during conduct of the PROMIS implementation study (described in Chapter II) prior to installing manual or semiautomated PROMIS systems.

Each form is aimed at solving specific problems, and consequently it is unlikely that any jurisdiction would need to employ all of them. After conducting the implementation study, the prosecutor manager can examine these PROMIS related forms with a view to selecting and adapting those that would enhance case processing and office management under the conditions experienced in the office.

1. Processing and Trial Preparation Worksheet (and Witness Worksheet)

The Processing and Trial Preparation Worksheet (Exhibit 34) was designed for use in connection with the computerized PROMIS system to serve as a source document for use in entering data into the computer and as a summary record for the case jacket. The top copy, printed on yellow paper, is inserted into the case jacket as a permanent part of the prosecutor's record. The second copy, white, is forwarded to the PROMIS data entry unit. The third copy is a Witness Worksheet, the lower portion of which is used to summarize witness statements and other information. A Continuation Worksheet is provided for "overflow" data from the Witness Worksheet. The Witness Worksheet and Continuation Worksheet are also filed in the case jacket, usually on top, to permit quick retrieval of data in the courtroom.

It would be possible, of course, to revise this form and have it completed by a prosecuting attorney or paralegal at time of case intake, and then use it as the source document for completion of the Case Progress Docket card. However, this would ordinarily involve more work than the methods recommended in section B.1.c.

TRIAL PREPARATION WORKSHEET

USA-82 (Sept. 73)

U.S. ATTORNEY'S OFFICE FOR THE DISTRICT OF COLUMBIA
SUPERIOR COURT DIVISION
**PROCESSING
& TRIAL PREPARATION
WORKSHEET**

P-1 DEFENDANT'S NAME LAST FIRST MIDDLE			P-2 COURT CASE NO.	P-3 PDID NO.
P-4 NO. OF CO-DEFENDANTS	P-5 DATE PAPERED	P-6 PAPERED BY:	CODE	P-8 PROMIS CHECK <input type="checkbox"/> COMPLETED
		P-7 REVIEWED BY:	CODE	

P-9 WITNESSES (Record Statements, Facts, and Remarks on page 3, yellow copy)

CHECK IF PRESENT	POLICE RANK AND NAME	BADGE NO.	UNIT	CODE	WORK PHONE	HOME PHONE
1						
2						
3						
4						

	OTHER WITNESSES - IN ORDER OF CALL	ADDRESS	CODE	PHONE
5.				WORK HOME
6.				WORK HOME
7.				WORK HOME
8.				WORK HOME

A. ARRESTING PO D. INVESTIGATING PO 7. SPO 3. EYEWITNESS 8. FINGERPRINT 5. NARC. CHEMIST 9. OTHER EXPERT N. NON-ESSENTIAL
B. ASSISTING PO 1. OTHER MPD 2. COMPLAINTING 4. OTHER-LAY 6. HANDWRITING C. OTHER CHEMIST E. ESSENTIAL

P-10 COMPLAINT NO.	CHARGE	M/F	SEQ NO.	CASE SFX	NO PAPER REASONS (4 MAX)	CHARGE CODE			P-11 TYPE OF COURT APPEARANCE:
						SEARCH	MPD	COURT	
									1. CITATION 2. WARRANT 3. INFORMATION 4. SUMMONS 5. LOCKUP 6. JAIL CALL UP 7. GR. JURY ORIG 8. BOND 9. OTHER
									P-12 URINALYSIS POSITIVE DATE

P-13 NO PAPER REASONS: Use English text from PROMIS "Standard Case Jacket Entries" booklet plus amplifying remarks

P-14 ON PROBATION/PAROLE OFFENSE _____ EXPIRATION DATE _____ TERMS OF P/P _____ INTENT TO REVOKE? Y. <input type="checkbox"/> N. <input type="checkbox"/> OFFICER'S NAME _____ PHONE NO. _____ FOR USE OF MV CHIEF: _____	P-15 DIVERSION PROGRAM <input type="checkbox"/> FOT <input type="checkbox"/> OTHER (SPECIFY) <input type="checkbox"/> X-ROADS <input type="checkbox"/> RCA <input type="checkbox"/> DATE _____ RECOMMENDED BY: _____ REVIEW'G ASST. _____ APPROVED BY: _____	P-16 FELONY MCL REPORT NO. _____ CHEMIST NO. _____ FILM STRIP NO. _____ PRINTS LIFTED AND SENT TO MCL YES <input type="checkbox"/> NO <input type="checkbox"/> P-17 SPECIAL ASSIGNMENT RECOMMENDED <input type="checkbox"/> B R A <input type="checkbox"/> MAJOR VIOLATOR <input type="checkbox"/> OTHER _____
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P-18 PRIOR CONVICTIONS

CASE NO.	DATE	CHARGES	DISPOSITION

2. Police Intake Worksheet

The Police Intake Worksheet (Exhibit 35) provides instructions to the police officer in charge of the case concerning the necessary actions to be taken. The top copy (blue) is given to the officer, and the second (yellow) copy is filed in the jacket. Like most of the other forms developed for use in PROMIS applications, it also serves as a check list for the prosecutor. This form was developed in response to a need to provide police officers with complete written instructions, rather than expecting them to take notes and try to remember verbal ones. By signing the form at the bottom, the police officer acknowledges receiving the instructions. Although this form was designed for use in large prosecutors' offices, it may also prove helpful in reducing confusion and improving efficiency in small and medium-sized offices.

3. Pretrial Diversion Screening and Enrollment Report

The Pretrial Diversion Screening and Enrollment Report (Exhibit 36) could be used, with some modification, by jurisdictions having pretrial diversion (rehabilitation) programs for persons such as first offenders and alcoholics. It is intended to be filled out and included in the case jacket at the time a case is initially reviewed, if the defendant is a potential candidate for a diversion program. If a defendant is selected for such a program, the report is presented to the defense counsel at the arraignment or initial presentment, with the approval of the court. If the defendant desires to enroll in the program, the defense counsel completes the form and returns it to the prosecutor. The prosecutor then interviews the defendant, completes Part III, Report of Interview, and the appropriate items in Part IV, Instructions to the Defendant. The defendant and defense counsel are furnished copies two and three, respectively. Part IV provides specific instructions to the defendant and also includes a space for the initials of the supervisory prosecuting attorney (AUSA-Assistant United States Attorney). The carbon coating is omitted from that area of the carbon paper in back of Part III, thereby confining the "Report of Interview" to the first copy and permitting substitution of the notice to defendant in the same area on copies 2 and 3.

This form illustrates the manner in which forms can be used to control and standardize procedures and simplify case monitoring. The self-instructional features eliminate the need for lengthy, separate written procedures.

POLICE INTAKE WORKSHEET
U. S. ATTORNEY'S OFFICE
DISTRICT OF COLUMBIA
SUPERIOR COURT DIVISION
POLICE INTAKE WORKSHEET

USA-84 (July 73)

CASE IDENTIFICATION		COURT CASE NO.	PDID NO.
DEFENDANT'S NAME LAST FIRST MIDDLE			
OFFENSE	M/F	LOCATION	DATE TIME
OFFICER IN CHARGE OF CASE	BADGE NO.	UNIT	WORK PHONE HOME PHONE
LINE-UP DATA			
LINE-UP DATE	TIME	SPECIAL REQUIREMENTS	
NOTE OFFICER IN CHARGE HAS RESPONSIBILITY TO SEE THAT THESE WITNESSES ARE AT THE LINE-UP	WITNESSES - NAMES		WORK PHONE HOME PHONE
GRAND JURY PRESENTMENT		WITNESSES - NAMES	WORK PHONE HOME PHONE
NOTE OFFICER IN CHARGE HAS RESPONSIBILITY TO SEE THAT THESE WITNESSES ARE AT THE GRAND JURY PRESENTMENT			
DO NOT BRING ANY WITNESSES TO A PRELIMINARY HEARING			
INVESTIGATIVE DATA AND MATERIAL TO BE PROVIDED BY POLICE OFFICER IN CHARGE OF THE CASE			
<input type="checkbox"/> ADDED INVESTIGATION <input type="checkbox"/> PRELIMINARY HEARING OR MISDEMEANOR TRIAL <input type="checkbox"/> GRAND JURY			
PRELIMINARY HEARING OR MISDEMEANOR TRIAL <input type="checkbox"/> GRAND JURY <input type="checkbox"/> PD 251 <input type="checkbox"/> LINE-UP SHEET <input type="checkbox"/> LINE-UP PHOTO <input type="checkbox"/> TEST FIRE CERTIFICATE <input type="checkbox"/> CERTIFICATE OF NO LICENSE <input type="checkbox"/> CERTIFICATE OF INCORPORATION <input type="checkbox"/> CERTIFICATE OF NO REGISTRATION <input type="checkbox"/> MEDICAL REPORTS <input type="checkbox"/> CERTIFIED COPY OF THE FOLLOWING PRIOR CONVICTIONS: CHARGE COURT CASE NO. DATE			
PRELIMINARY HEARING OR MISDEMEANOR TRIAL <input type="checkbox"/> GRAND JURY <input type="checkbox"/> HANDWRITING ANALYSIS REPORT <input type="checkbox"/> FINGERPRINT REPORT <input type="checkbox"/> CHEMIST REPORT <input type="checkbox"/> PHOTOGRAPH(S) OF VICTIM <input type="checkbox"/> PHOTOGRAPH(S) OF DEFENDANT <input type="checkbox"/> PHOTOGRAPH(S) OF SCENE <input type="checkbox"/> PROOF OF PROPERTY OWNERSHIP <input type="checkbox"/> DIAGRAM OF _____ <input type="checkbox"/> CRIMINAL RECORDS OF _____ <input type="checkbox"/> OTHER _____ WITNESS STATEMENTS			

POLICE OFFICER SIGNATURE

ASSISTANT UNITED STATES ATTORNEY

DATE

Exhibit 36

PRETRIAL DIVERSION SCREENING AND ENROLLMENT REPORT

ATTENTION: DEFENSE ATTORNEY: If you do not credit our defendant in a pretrial diversion program, please make an appointment with the Assistant United States Attorney, Modemanager Trial Section, Rm. 115, Bldg. B, 400 F Street, N.W., Washington, D.C., within 10 days of arraignment. Complete Part II of this form and leave all copies with the United States Attorney's Office at the time you make the interview appointment.

UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA, SUPERIOR COURT DIVISION
PRETRIAL DIVERSION SCREENING AND ENROLLMENT REPORT

PART I - CASE IDENTIFICATION (To be completed by Assistant United States Attorney at papering)

△ Last, First, and Middle Name (print)	Sex	Date of Birth	PDID Number
Codefendant(s)	Office Charge(s)	Lab Number	Date

PART II - DEFENSE COUNSEL STATEMENT (To be completed by Defense Counsel)

Defendant's Home Address (Include ZIP Code)	Telephone Number	Court Case Number
	Length in D.C.	
Employer's Name and Address	Telephone Number	Type of Business
	Defendant's Occupation	Length Employed
Defendant's Educational Background	Any Drug or Alcohol Problems <input type="checkbox"/> Yes <input type="checkbox"/> No	Conditional Release Included: <input type="checkbox"/> NTA Testing <input type="checkbox"/> RCA Treatment
If Defendant Has Previous Arrest Record, Give Date(s) and Charge(s):		
Present Offense	Date	Title Place
Remarks		
Name of Defense Counsel		
Telephone Number(s)	Date	

PART III - REPORT OF INTERVIEW (To be completed by Assistant U.S. Attorney)

FBI Check Completed? <input type="checkbox"/> Yes <input type="checkbox"/> No (If Criminal Record, explain below)	Lab Results (if applicable) Amitt: Substance:	If X-rays or Narcotic Diversion case, has enrollment been approved? <input type="checkbox"/> Yes <input type="checkbox"/> No
Remarks - Notes		

<input type="checkbox"/> Defendant is not eligible for any pretrial diversion program and defense is being so notified	Interviewer	Date	Time
--	-------------	------	------

PART IV - INSTRUCTIONS TO DEFENDANT (To be completed by Asst. U.S. Attorney)

TYPE OF PRETRIAL DIVERSION PROGRAM AND ACTION REQUIRED		COMPLETED	
<input type="checkbox"/> PROJECT CROSSROADS	Report to Official in charge, Rm. 401, 613 G Street, N.W., Washington, D.C.	Date	AUSA'S Init.
<input type="checkbox"/> NARCOTICS DIVERSION <input type="checkbox"/> Deferred Acceptance of Guilty Plea and Supporting Documents	Report to Official in charge, Rm. 714, 613 G Street, N.W., Washington, D.C.		
<input type="checkbox"/> REHABILITATION CENTER FOR ALCOHOLICS	Report to Official in charge, Rm.		
<input type="checkbox"/> FIRST OFFENDER TREATMENT	Report to Program Supervisor, Rm. 115, Bldg. B, 400 F Street, N.W., and complete the following:		
<input type="checkbox"/> FBI TOUR - Report to 9th and Pennsylvania Entrance to Justice Dept., Room 1732 at 9:00 a.m. on _____			
<input type="checkbox"/> COURT ORIENTATION - Time _____ Date _____ Place _____			
<input type="checkbox"/> COURT OBSERVATION - Total Hours Required: _____ (Report to Asst. U.S. Attorney, Rm. 310, Bldg. A, 515 5th St., N.W., Washington, D.C.)			
<input type="checkbox"/> OTHER OBSERVATION - Total Hours Required: _____			
<input type="checkbox"/> RESTITUTION (Specify) _____			
<input type="checkbox"/> ESSAY	Topic _____	No. of Words _____	
<input type="checkbox"/> OTHER (Specify) _____			
Diversion Program Completion Date	Next Court Appearance	Program Supervisor	Telephone No.

4. Report of Citizen's Complaint

The Report of Citizen's Complaint (Exhibit 37) was developed for a prosecutor's office that has specific responsibility for processing complaints made by citizens who for various reasons often seek the assistance and advice of the prosecutor's office rather than the police or other agencies. (In many instances the citizen has been referred to the prosecutor by a police officer.) Most cases are disposed of by referring the citizen to a social agency or a family or civil court. A Report of Citizen's Complaint is prepared in each case, and if the situation warrants, the prosecutor conducts a hearing attended by the complainant and the potential defendant (accused). The paralegal who conducts the initial interview completes the first copy of the form, "Report of Citizen's Complaint," except for the portion relating to issuance of a warrant or other legal action. If a hearing is held, the two lower portions of the fourth copy, "Citizen's Complaint Hearing Report," left blank by omission of the carbon coating, are completed by the prosecuting attorney who conducted the hearing. Copy 2, pink, is filed in an alphabetical file by name of the potential defendant. Copy 3, white, and copies 1 and 4, yellow, are filed in an alphabetical file by name of the complainant unless charges are made, in which event the yellow copies are filed in the case jacket.

5. Documents Prepared for the Court

Many other documents, of course, must be prepared by the prosecutor for presentation and approval by the court. Included are formal charging instruments such as informations and complaints, orders, and instructions to the jury. Since many of these documents contain identical or similar wording, preprinted form-like copies can be prepared in advance, or the text can be stored on automated typing equipment for preparation on demand. A series of forms was therefore developed for use in the District of Columbia Superior Court, in order to save typing time, eliminate errors and omissions in legal terminology, attain greater uniformity, and simplify the preparation and distribution of copies to the court, defendant, defense counsel, and others. A sample of one of these forms, an information, is illustrated in Exhibit 38. Another, an order for examination of mental competency, is shown in Exhibit 39. Other orders printed in advance include:

- . Booking and Processing
- . Fingerprinting
- . Handwriting

REPORT OF CITIZEN'S COMPLAINT

REPORT OF CITIZEN'S COMPLAINT

POTENTIAL DEFENDANT United States Attorney's Office, Superior Court Division

Form for Potential Defendant: Last, First, and Middle Name (Print), Sex, Date of Birth, or Age, Home Address, Work Address, Other Possible Contact Point, Any previous Complaint about this person?, Has this Person also been a Complainant?, Does Potential Defendant have an Arrest Record?, PDID Number, Date(s), Charge(s).

COMPLAINANT

Form for Complainant: Last, First, and Middle Name (Print), Sex, Date of Birth, Home Address, Work Address, Relationship of Complainant to Potential Defendant, Has this Person also been a Defendant?

OFFENSE

Form for Offense: Type of Offense, Date, Time, Location, Remarks (Have Police been contacted? Y N If yes list name, date, time and district), Interviewed By, Date, Time.

DISPOSITION

Form for Disposition: SET HEARING, HEARINGS SET FOR, CHARGE (attach copy of warrant), REFER TO, OTHER DISPOSITION (Explain), REMARKS, AUSA, DATE, DATE REFERRED TO CORPORATION COUNSEL.

FOURTH COPY OF CITIZEN'S COMPLAINT (HEARING REPORT)

CITIZEN'S COMPLAINT HEARING REPORT

POTENTIAL DEFENDANT United States Attorney's Office, Superior Court Division

Form for Potential Defendant: Last, First, and Middle Name (Print), Sex, Date of Birth, or Age, Home Address, Work Address, Other Possible Contact Point, Any previous Complaint about this person?, Has this Person also been a Complainant?, Does Potential Defendant have an Arrest Record?, PDID Number, Date(s), Charge(s).

COMPLAINANT

Form for Complainant: Last, First, and Middle Name (Print), Sex, Date of Birth, Home Address, Work Address, Relationship of Complainant to Potential Defendant, Has this Person also been a Defendant?

HEARING

Form for Hearing: HEARING AUSA, DATE, TIME, LOCATION, WITNESSES NAMES, ADDRESS, TELEPHONE NO., NAMES OF ADDITIONAL WITNESSES ON REVERSE, HEARING NOTES, ADDITIONAL HEARING NOTES ON REVERSE.

HEARING DISPOSITION

Form for Hearing Disposition: HEARING DISPOSITION NOTES, ADDITIONAL HEARING DISPOSITION NOTES ON REVERSE.

Exhibit 38

EXAMPLE OF A PREPRINTED INFORMATION

SUPERIOR COURT FOR THE DISTRICT OF COLUMBIA
Criminal Division

The United States Attorney for the District of Columbia informs the Court that within the District of Columbia:

DEFENDANT'S NAME: (First) (MI) (Last) PDID #

DEFENDANT'S ADDRESS CCR#

did on or about _____
commit the crime or crimes indicated herein and identified by an X-mark or X-marks:

- PETIT LARCENY - in that he took and carried away, with intent to steal, certain property of value consisting of _____ the property of _____ in violation of Section 22-2202, District of Columbia Code.
- ASSAULT - in that he unlawfully assaulted and threatened in a menacing manner _____, in violation of Section 22-504, District of Columbia Code.
- ASSAULT - in that he unlawfully assaulted and threatened in a menacing manner _____, in violation of Section 22-504, District of Columbia Code.
- THREATS - in that he made threats to do bodily harm to _____, in violation of Section 22-507, District of Columbia Code.
- CARRYING DEADLY WEAPON - in that he carried openly and concealed on and about his person a deadly and dangerous weapon, namely _____, capable of being concealed on and about his person, in violation of Section 22-3204, District of Columbia Code.
- POSSESSION OF PROHIBITED WEAPON (a) - in that he possessed a _____, in violation of Section 22-3214(a), District of Columbia Code.
- POSSESSION OF PROHIBITED WEAPON (b) - in that he possessed, with intent to use unlawfully against another _____, in violation of Section 22-3214(b), District of Columbia Code.
- POSSESSION OF PROHIBITED WEAPON (Knife over 3 inches long) - in that he possessed, with intent to use unlawfully against another, a knife with a blade longer than three inches, in violation of Section 22-3214(b), District of Columbia Code.
- CARRYING PISTOL WITHOUT A LICENSE - in that he carried openly and concealed on and about his person, a pistol without a license therefor issued as provided by Section 22-3206, District of Columbia Code, in violation of Section 22-3204, District of Columbia Code.
- OBLITERATION OF IDENTIFYING MARKS - in that he changed, altered, removed and obliterated the _____ on a pistol, in violation of Section 22-3212, District of Columbia Code.
- UNLAWFUL POSSESSION OF PISTOL (After felony conviction) - in that he owned, kept, and had within his possession and under his control a pistol, having previously been convicted of a felony, in violation of Section 22-3203, District of Columbia Code.
- UNLAWFUL POSSESSION OF PISTOL - in that he owned, kept, and had within his possession and under his control a pistol, having previously been convicted of a violation of a provision of Sections 22-3202 through 22-3214, District of Columbia Code, and not being licensed to sell weapons under the provisions of Section 22-3210, District of Columbia Code, in violation of Section 22-3203, District of Columbia Code.
- UNLAWFUL POSSESSION OF PISTOL - in that he owned, kept, and had within his possession and under his control a pistol, having previously been convicted of a violation of 22- _____, District of Columbia Code, in violation of Section 22-3203, District of Columbia Code.
- FAIL TO REGISTER FIREARM - in that he did possess a certain _____ without being the holder of a valid registration certificate, in violation of Article 51, Section 1, of the Police Regulations of the District of Columbia, for which a penalty is provided in Article 55, Section 11 thereof.
- AMMUNITION VIOLATIONS - in that he did possess ammunition without being the holder of a valid registration certificate for a firearm in violation of Article 53, Section 2, of the Police Regulations of the District of Columbia, for which a penalty is provided in Article 55, Section 11 thereof.

UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA
BY: ASSISTANT UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA DATE
OFFICER: DISTRICT:

USA-16X237 (Ed. 9-11-72)

1. DELIVER TO THE COURT

Exhibit 39

EXAMPLE OF A PREPRINTED COURT ORDER FORM

SUPERIOR COURT OF THE DISTRICT OF COLUMBIA
CRIMINAL DIVISION

UNITED STATES OF AMERICA

v. Court Case No. _____

ORDER

Upon consideration of the motion by the _____ for an examination of the mental competency of the defendant, pursuant to Title 24, Section 301, of the District of Columbia Code, as amended August 9, 1955, and the representations made in support thereof, it is this _____ day of _____, 197 _____;

ORDERED, that the defendant be and is hereby committed to _____ for a period not to exceed _____ days for examination by the psychiatric staff of that hospital and that after such examination a report be made to this Court as to:

1. Whether the defendant is presently mentally competent to understand the proceedings against _____ and to properly assist in the preparation of _____ defense herein; and
2. Whether the defendant, at the time of the alleged criminal offense, committed on or about _____ was suffering from a mental disease, or defect which substantially affected his mental or emotional processes and substantially impaired his behavior controls, and if so, whether the criminal act(s) (was)(were) the product(s) of that mental condition; and it is

FURTHER ORDERED, that in the event there is no bed immediately available at _____ the defendant remain in the District of Columbia Jail to await transfer to _____ when a bed becomes available, and it is

FURTHER ORDERED, that upon receipt by the Court of the report of the Superintendent of that hospital, the United States Marshal, or his designated deputy, is hereby authorized to bring the defendant _____ before this Court for such further proceedings in this matter as may be necessary, or, in the event the hospital report indicates that the defendant is competent to stand trial, the United States Marshal, or his designated deputy, is hereby authorized to transport the defendant to the District of Columbia Jail to await further action of this Court.

JUDGE

Psychiatric Examination Order

USA-513 (10-71)

COURT COPY

- . Lineup
- . Blood and Saliva Exemplar
- . Hair Sample
- . Voice Sample

6. Miscellaneous Documents Prepared for Witnesses

As explained in Chapter III, particular attention has been given, in the development and refinement of the PROMIS system, to improving witness relations, communications, and procedures. In addition, individual prosecutors can do much to assist in these matters. An example is the referral guide shown in Exhibit 40, which provides a witness with a map of the courthouse complex. Many cities and counties have complexes of buildings occupied by the courts and other offices which may make it confusing to locate a specific reporting point. Another aid for witnesses is the Certificate of Attendance illustrated in Exhibit 41, which a witness may present at each appearance in court in order to provide evidence required by an employer or other person. While the use of the prototype Witness Record described in section B.4.a could perform a similar function, some jurisdictions may prefer to design a separate form for accounting purposes or other reasons. Another form the prosecutor may use for keeping track of witness appearances is the bilingual Witness Appearance Card shown in Exhibit 42.

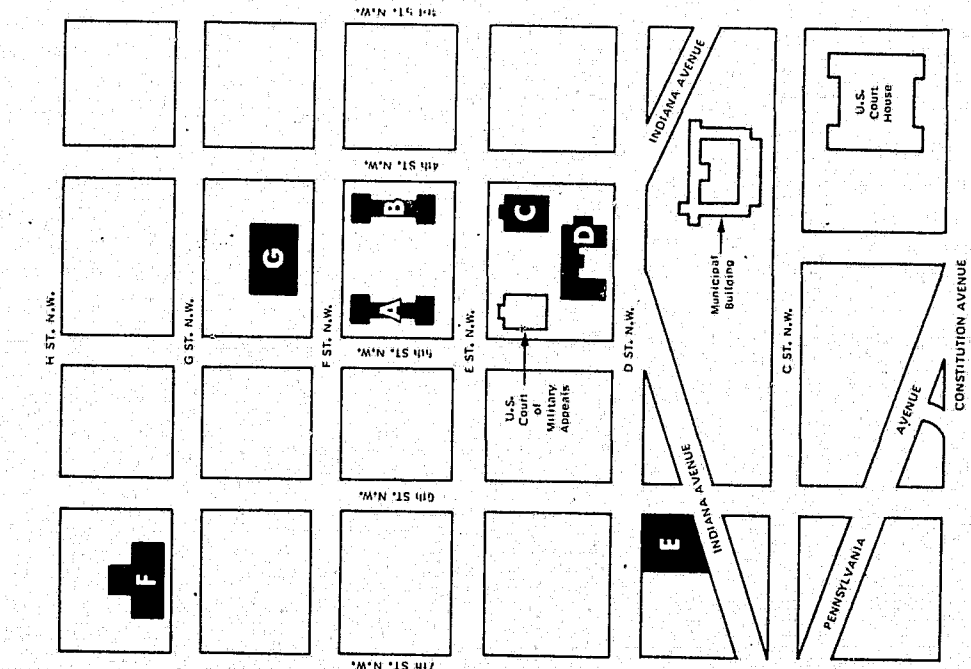
An excellent illustration of a special effort by a prosecutor to improve witness relations is the series of letters used by the Prosecuting Attorney for Marion County, Indiana, to add a personal touch to these matters. (See Appendix F.)

Yet another form that may prove useful to a prosecutor in witness management is the Report of Returned Mail shown in Exhibit 43. This form, intended for periodic use in conducting studies, provides the prosecutor with a record of subpoenas or other notices sent by mail that were not received by the addressee. The report shows the reason why the mail was not delivered and any follow-up action that may have been taken to notify the person.

Also shown is a Court Appearance Record (Exhibit 44) developed jointly by a police department and a prosecutor to obtain information concerning when the police officer and witness will be available for appearance in court and to keep a record of the police officer's attendance in court.

Exhibit 40

REFERRAL GUIDE



- REFERRAL GUIDE**
U.S. Attorney's Office, Superior Court Division
 BUILDING A - 515 5th St., N.W.
 Arraignment Ct. (Ct. Rm. A-317, formerly 17) 3rd Floor
 Assignment Ct. (Criminal) Rm. 307
 Assignment Ct. Ct. Rm. A-315, formerly 151 3rd Floor
 Central Files (Superior Court Jacket) Rm. 104
 Control Center (Numbering, ct. cases) Rm. 104
 Corporation Counsel, Rm. 127
 Court Rooms A-210 through A-214, 2nd Floor (formerly 10 through 14)
 Court Rooms A-315 through A-316, 3rd Floor (formerly 15 through 18)
 Criminal Information Center, Rm. 111
 Criminal Calendar Control ("Assignment") Court (Court Rm. A-315, formerly 15) 3rd Floor
 D.C. Bail Agency, 3rd Floor
 Finance Office (Criminal), Rm. 116-C
 Notions Court (Ct. Rm. A-315, formerly 15, j.m. only), 3rd Floor
 Preliminary and "Short" Hearings Court (Ct. Rm. A-212, formerly 12), 2nd Floor
 Traffic Branch (D.C.), Corporation Counsel, 1st Floor
 Warrant Office (Criminal), Rm. 116-A
 Witness Lounge (Room), 3rd Floor

 BUILDING B - 400 F St., N.W.
 Citizens Complaint Center, Rm. 102, 5:00 p.m. to 10 p.m. only, Mon.-Fri., and 8:30 a.m. to noon, Sat. (Bldg. D, Rm. 135, 8:30 a.m. to 5:00 p.m., Mon.-Fri.)
 Control Center (U.S. Attorney Files) Rm. 112
 Court Rooms B-101 through B-103, 1st Floor (formerly 1-2-3)
 Court Rooms B-204 through B-207, 2nd Floor (formerly 4-5-6-7)
 Court Rooms B-308 and B-309, 3rd Floor (formerly B&9)
 Grand Jury, Basement, (Stairway at Rm. 109, F St. Exit)
 Intake ("Papering") Section, Rm. 102
 Major Violators Section, Rm. 110
 Misdemeanor Trial Section, Rm. 118
 Police Hearings, Rm. 102
 Police Court Liaison Office, Rm. 115
 U.S. Attorney's Office, Rm. 102

- BUILDING C - 410 E St., N.W.
 Juvenile Court (Ct. Rms. C-224 through C-226) 2nd Floor (formerly 24-25-26)

 BUILDING D - 451 Indiana Ave., N.W.
 Citizens Complaint Center, Rm. 135 - 8:30 a.m. to 5:00 p.m., Mon.-Fri., (Bldg. B, Rm. 102, 5-10 p.m., Mon.-Fri., and 8:30 a.m. - noon, Sat.)
 Court Rooms D-219 through D-223, 2nd Floor (formerly 19-20-21-22-23)
 Intrafamily & Neglect Branch, Rm. 135

 BUILDING F ("South Potomac") - 613 G St. N.W.
 Citizens Complaint Center, (8:30 a.m. to 10:00 p.m., Mon.-Fri. and 8:30 a.m. to noon, Sat.) 4th Floor
 Court Room 344 (formerly 44) (Report to Clerks Ofc. Rm., 307)
 Court Room 345 (formerly 45) (Report to Clerks Ofc. Rm., 306)
 Intrafamily & Neglect Branch, 4th Floor
 Landlord & Tenant Ct. (Report to Clerks Ofc., Rm. 307)
 Small Claims Ct. (Report to Clerks Ofc., Rm. 306)

 BUILDING G ("Pension") - 440 G St., N.W.
 Civil Clerks Office, Rm. 310
 Civil Court, Ct. Rms. G-127 through G-143, 1st Floor (formerly 27 through 43)
 Family Trials Section, Rm. 329
 Juror Officer & Lounge, Rms. 317-320

 BUILDING _____ Rm. _____

Exhibit 41
 CERTIFICATE OF ATTENDANCE

USA T-9 (Oct. 1973)

U.S. ATTORNEY'S OFFICE FOR THE DISTRICT OF COLUMBIA
 SUPERIOR COURT DIVISION

CERTIFICATE OF ATTENDANCE - WITNESS FOR THE UNITED STATES

Name of Witness		Employer		Court Case No.
Date of Attendance	Arrived	AM PM	Departed	AM PM
UNITED STATES ATTORNEY FOR THE DISTRICT OF COLUMBIA	By:	Assistant U.S. Attorney		
		<input type="checkbox"/> Grand Jury/Intake Section <input type="checkbox"/> Misdemeanor Trial Section <input type="checkbox"/> Felony Trial Section		

U.S. GOVERNMENT PRINTING OFFICE : 1973 O - 588-378

Exhibit 42

BILINGUAL WITNESS APPEARANCE CARD

U.S. Attorney for the District of Columbia
 Superior Court Division
 WITNESS APPEARANCE CARD

WITNESS NAME _____
 DEFENDANT'S NAME _____
 COURT CASE NUMBER _____ ARREST DATE _____
 POLICE OFFICER'S NAME _____

Reimbursable Court Appearances

DATE OF COURT APPEARANCE	REASON FOR APPEARANCE	SIGNATURE OF ASSISTANT U.S. ATTORNEY	NEXT SCHEDULED APPEARANCE

Keep this card with you at all times. It is a record of your court appearances in this case. You will be notified as to the date of your first appearance. After each court appearance, write on this card the day of your next appearance. If you have any questions concerning your court appearances in this case, call the U.S. Attorney's Office for the District of Columbia at 426-7626.
 You will receive \$20.00 for each authorized court appearance; but payment is not made until the final disposition of the case.

USA 16-233 (Ed. 6-28-72)

TARJETA DE COMPARECENCIA PARA TESTIGOS

NOMBRE DEL TESTIGO _____
 NOMBRE DEL DEMANDADO _____
 NUMERO DE PLEITO _____ FECHA DE ARRESTO _____
 NOMBRE DEL POLICIA _____

Reembolso De Comparecencias

Fecha de Comparecencia	Razon de La Comparecencia	Firma del Fiscal Adjunto Federal	Proxima Comparecencia

Guarde esta tarjeta con Usted siempre. Le servira como testimonio de sus comparecencias. Usted recibira notificacion acerca de la primera fecha de su comparecencia. Despues de esta comparecencia, anote en esta tarjeta la fecha de su siguiente cita. Si tiene alguna pregunta acerca de sus comparecencias llame cuanto antes a la Oficina del Fiscal Federal, numero de telefono 426-7626.

Usted recibira \$20.00 por cada comparecencia autorizada; pero no recibira este sueldo hasta que se resuelva finalmente el caso ante el tribunal.

Exhibit 43
REPORT OF RETURNED MAIL

Form USA-T (December 1973) REPORT OF RETURNED MAIL

1. Court Case No.	2. Last Name of Defendant	3. Last Name of Addressee
4. Appearance Date	5. Date Mail Sent	6. Date Mail Returned

7. REASON UNDELIVERABLE (Check any which apply)

a. Not at this address b. Moved - no forwarding address c. No such address d. Building vacant e. Address is a vacant lot	f. Address is a construction site g. Address is a street corner only h. Address inadequate-no street number i. Address inadequate-section not shown j. Other (specify)
--	--

8. ACTION TAKEN

9. Error found in address through check of record, item remailed and address changed in records. Type of error:

a. Wrong Section of City b. Wrong Street c. Wrong Street Number d. Other

10. Addressee contacted by telephone and correct address entered in records 11. Mail referred to MPD for appropriate action

BY: _____ DATE: _____
 _____ ORG: _____ DOJ

Exhibit 44
COURT ATTENDANCE RECORD

◀ CLOCK IN METROPOLITAN POLICE DEPARTMENT WASHINGTON, D.C. ▶
 ▶ CLOCK OUT METROPOLITAN POLICE DEPARTMENT WASHINGTON, D.C. ◀

P.D. 140 Rev. 5/75 COURT ATTENDANCE RECORD

NAME (LAST, FIRST, MI.) - PRINT		ORG. ELEMENT	DATE	DAY OF WK	TIME DUE	<input type="checkbox"/> COURT HEARING
TOUR OF DUTY	DAYS OFF THIS WEEK	WORKING DAY OFF <input type="checkbox"/> YES <input type="checkbox"/> NO	<input type="checkbox"/> ON DUTY <input type="checkbox"/> SICK LEAVE	<input type="checkbox"/> OFF DUTY <input type="checkbox"/> ANNUAL LEAVE	<input type="checkbox"/> DAY OFF <input type="checkbox"/> OTHER	ATTENDING SUPERIOR COURT US DISTRICT COURT
NAME OF DEFENDANT OR RESPONDENT		CHARGE	DISPOSITION OR CONTINUED TO	DATE OF PRIOR APPEARANCE	APPEARANCE NUMBER	TIME IN OUT
SIGNATURE OF OFFICER		BADGE NUMBER	REMARKS			

DO NOT WRITE IN THIS SPACE (FOR USE BY TIME AND ATTENDANCE CLERKS ONLY)

TOTAL TIME ELAPSED		COMPENSATORY COURT TIME		PAID COURT TIME		Initials of T & A Clerk Computing Time.
HOURS	MINUTES	HOURS	MINUTES	HOURS	MINUTES	

The above-named officer has lined out on the calendar all dates that he will NOT be available for Court due to:

- 1) days off
- 2) dates not acceptable to witnesses
- 3) times not on day work tour of duty
- 4) previously committed court dates
- 5) approved annual leave for the next three (3) months

(FOR USE BY PROSECUTING ATTORNEY)

TIME OFFICER ARRIVED AT YOUR OFFICE _____

TIME OFFICER DEPARTED YOUR OFFICE _____

PROSECUTING ATTORNEY'S SIGNATURE _____

DATES AVAILABLE FOR COURT

ASSIGNED COURT DAY - circle your court day

M T W Th F

1975 JULY 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 AUGUST 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 SEPTEMBER 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 OCTOBER 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 NOVEMBER 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 DECEMBER 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	1976 JANUARY 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 FEBRUARY 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 MARCH 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 APRIL 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 MAY 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 JUNE 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30
--	--

Distribution: Green - Temp Ct Liaison/Officer
 White - T & A Clerk
 Yellow - Prosecutor
 Pink - Court

J-55222

V. USES OF TEXT-EDITING TYPEWRITERS

Government and industry have used text-editing typewriting systems for several years. The current systems have evolved from the pioneering work done during the 1960s by IBM and others. Basically, these systems consist of three components: an input/output device, a storage medium, and a memory unit that processes the stored text in a logical manner. Different systems can have from one to three pieces of equipment, depending on the manufacturer of the machine.

The purpose of text-editing systems is to record in typewritten form information that is likely to have to be repeated at a future point. Examples of equipment applications are high volumes of repetitive correspondence to different addresses, lengthy reports that may undergo numerous revisions before being typed in final draft, and standard information that is often routinely repeated verbatim or with only minor modifications in the text.

The primary advantages of text-editing systems are savings in personnel costs, reduction in elapsed time for the preparation of documents, and elimination of typographical errors as well as the need to proofread material each time it is re-typed. The more expensive systems feature a cathode ray tube (CRT), which not only further increases a typist's production, but also allows the system to be used as a simulated computer display, as discussed below in section A.2.

Text-editing typewriters operate on somewhat the same concept as tape recorders. On a tape recorder, sound impulses are recorded on a magnetic tape for playback at a later date. On a text-editing typewriter, letters, numbers, special characters, and machine typing action codes such as spacing, back-spacing, and tabulating are translated into a machine readable code and stored as magnetic impulses on a magnetic cassette, diskette, or card storage medium that may be played back whenever desired to produce a typewritten document. As with tape recorders, magnetic storage media for text-editing typewriters may also be erased to permit correcting errors and editing or updating information to reflect changes in court dates, assigned prosecutor, defense counsel, etc.

Using such equipment permits high volumes of repetitive paperwork, such as subpoenas, complaints, informations, and instructions to the jury, to be prepared in a fraction of the time that would be required if a conventional manual or electric typewriter were used. Other applications of this equipment for the prosecutor and courts, discussed in section E, include preparation and maintenance of case status records;

preparation of reports, court calendars, case assignment and other listings by judge, prosecutor, or other category; maintenance of a witness name index; and numerous other operational and management purposes.

A. Equipment Categories

Two major categories of text-editing typewriting systems may be utilized in a prosecutor's office. Both types should be considered by a chief prosecutor for applications similar to those discussed in this chapter.

1. Text-Editing Typewriters without CRTs

Typewriters without CRTs are excellent aids in the preparation of repetitive documents but have somewhat limited use in case management. For example, a system without a CRT can be used to record hundreds of standard paragraphs and phrases that may be used on warrants, complaints, informations, grand jury indictments or true bills, instructions for jurors, motions, and any number of other legal documents. With this type of system, a copy of all material recorded on the magnetic cards or cassettes is printed out, given an identification number, and inserted in a book of standard paragraphs. Copies of the book should then be provided to all assistant prosecutors or paralegals. When they are preparing case documentation, they simply refer to the book and indicate the appropriate phrases or paragraphs required in their instructions to the typist.

The numbering scheme for identifying phrases and paragraphs is typically by record number, page, and line. A magnetic card holds only one or two pages of text, whereas 30 pages may be recorded on both sides of a cassette. Therefore, the numbering scheme to identify a paragraph recorded on card 16, line 8 would be 16-8; the numbering scheme on the cassette might be 16-4-8, indicating that the desired paragraph will be found on cassette 16, page 4, line 8. If, for example, a system of this type were used for preparing misdemeanor charging documents, standardized wording could be developed for any charge. When the police present the charges, the prosecutor could merely indicate to the typist the record number, rather than drafting the entire instrument by hand or dictating it and then having to proofread it in its entirety.

The major disadvantage of systems without CRTs is that, to determine whether the stored information is current and accurate, a copy must be printed out. It is contemplated that a typed copy of the Case Progress Docket and the Witness Record would be prepared when the record is established to

serve as the basic reference tool and official record. However, it can be costly and inefficient to correct and print out a document each time a minor change or addition is made. A possible substitute procedure would be to enter the change on the reference copy by hand, change the information on the magnetic record medium by keying it in on the typewriter, and then type out the entire record periodically or at the time of major changes, court events, or upon request. Most probably, it would also be necessary to retain any previously typed record copies in a case file, since some may contain information or remarks not reflected in the magnetic storage medium. Further, it may be more practical, in certain instances, to make a photocopy of existing typed copy than to type out a new copy for use in the courtroom or to meet other needs. The proper combination of methods and practices to be adopted would be governed by the case load, volume and types of changes, equipment and machine operator availability, reliability and accuracy of the operators, and user needs and preferences.

2. Text-Editing Typewriters with CRTs

Typewriters with CRTs are the most versatile on the market today. They not only perform all of the functions of equipment without a CRT, but also are capable of displaying stored information without having to type out a copy. Information may also be changed when it appears on the screen and the change recorded on the cassette or diskette without producing a paper copy, unless it is needed for other purposes. With this capability, it is easy to change variable data on case status reports, calendars, and other documents. Section D.1 discusses the preparation of these types of documents using text-editing typewriters as the basic equipment for semiautomated PROMIS.

Another advantage to CRT equipment is that an operator can type or modify a page displayed on a CRT screen at the same time the equipment is typing out the preceding page on paper. An instruction is keyed into the machine to remove the preceding page from the screen, store it on the cassette or diskette, and print out a paper copy. In this way, a typist is kept constantly busy producing material, since it is not necessary to wait to start a new page until the one just completed is typed out, as is the case in systems without CRTs. The typing speeds of the printers attached to systems with CRTs are typically much faster than equipment without this feature. Some printers produce documents at a typing speed in excess of 360 words per minute. However, these high-speed printers are also available on some systems without CRTs.

B. Recording Media

All text recorded on a text-editing typewriting system is captured on some type of magnetic medium. Most typing systems use magnetic cards, cassettes, or diskettes. The major differences in these devices are the amount of information that can be stored on them and the speed with which a particular item of information can be retrieved for display or reproduction. All of these storage media can be erased and reused almost indefinitely. The table in Appendix G indicates the types of recording media used by various manufacturers, as well as comparing other characteristics of the systems.

1. Magnetic Cards

The primary drawbacks to magnetic cards are that only one or two pages of typing may be recorded on one card, and the cards must be manually loaded into the equipment before a page may be printed. It is also a relatively slow process to locate a specific line of type on the card when making corrections or changes. Another factor to consider is the cost of cards, about a dollar each. These cards may also become cumbersome to store and handle in systems where several hundred or perhaps even several thousand are required. Cards are used on equipment that does not feature a CRT.

2. Cassettes

The capacity of a cassette ranges from 15 to 40 pages of material, depending upon the equipment manufacturer. The primary consideration in selecting a piece of equipment using the cassette as the text-storing device is the speed with which a page can be accessed on the tape. Some types of equipment perform this task in a second or two, while others may take a much longer time, slowing down production. The cost range for cassettes is between \$6 and \$9 each, making the per page cost between \$.20 and \$.30 each (\$.70 to \$.80 less per page than most magnetic cards). Cassettes are used both with machines having CRTs and those without.

3. Diskettes (Floppy Disks)

This medium resembles a 45 rpm phonograph record. It is capable of recording 60 pages of text on one diskette. The term "floppy disk" denotes the flexible texture of the plastic base material from which the diskette is made. If equipment utilizing diskettes is selected, the per page storage charge is approximately \$.13 each, a considerable difference from the \$1 per page cost with a magnetic card. Other capabilities inherent with equipment using diskettes include instantaneous retrieval of a page of text simply by pushing a button, and

the ability to transfer data from one diskette to another in a fraction of a second. Automatic typing systems using diskettes as a storage medium typically have the largest number of applications in any office. However, these machines are also the most expensive.

C. Guidelines for Selecting a Text-Editing Typewriting System

This section discusses a series of factors that must be considered in the selection of text-editing equipment. Each of these considerations is important in determining what features the selected equipment should have. Before analyzing these factors, an office should attempt to list all possible anticipated applications of the equipment and estimate the volume of work for each task the equipment is to perform. This list will aid in identifying the most desirable equipment and eliminating those that may not justify additional expense. For example, the review may indicate that the greatest need for a text-editing capability is in preparing standardized documents such as informations, complaints, indictments, and jury instructions, and that only about five percent of the anticipated work load would involve recording information with variable data requiring a CRT. Therefore, it would be imprudent to spend an extra \$200 per month to rent equipment with a CRT, when magnetic card or cassette equipment without a CRT could be used to do the job.

By considering and weighing the relative importance of the following factors, the prosecutor manager should be able to select the equipment that will best suit the needs of the office.

1. Equipment Cost

The cost factor is of primary concern to most offices. Manufacturers usually offer several different lease/purchase plans. Some lease on a one-, three-, and five-year basis with an option to apply a percentage of the lease payments toward the purchase price at the end of the lease. The monthly rental cost typically decreases with longer leases. For example, a system leased for one year may cost \$500 per month, whereas the same system leased for three years might cost \$425 per month. Appendix G provides a comparison of purchase and lease rates for different types of equipment.

Another factor to consider in pricing equipment is service and supply costs. Some manufacturers include service costs in the basic monthly rental, but others charge an extra fee.

Supplies may also be very expensive for a system with many applications. (See section C.5 for guidance in this area.)

An alternative approach to leasing is purchase. However, this may not be the wisest choice, since technology in this field is developing rapidly. Equipment with new features and higher production speeds is constantly becoming available. In addition, because of increased competition and possibly lower production costs, prices tend to decrease. Therefore, leasing may be the best choice today. This arrangement will permit the office to obtain the latest equipment available when the lease expires.

2. Availability of Service

Most manufacturers have service representatives available all over the country, but a few do not. Therefore, check on the availability of service for any equipment that the office is considering purchasing. The time between receipt of a service call and arrival of a service representative should also be checked. A company should be able to provide service within 24 hours in large metropolitan areas, or within 48 hours in outlying areas. A good way to determine the quality and reliability of service is to ask the sales representative for a list of other users, and then to check with these users about the frequency of repairs and how long it normally takes service personnel to arrive after being notified.

3. Printer Typing Speed

Several different models of printers are presently available which provide typing speeds ranging from 150 to 360 words per minute. This factor becomes important after the total daily work load is determined. For example, if the average daily work load might require a machine that could print 275 words per minute, but the speed of the device under consideration is only 150 words per minute, either two of the 150 word-per-minute systems must be procured, or equipment with a faster typing capability must be selected. In nearly all instances, it is much less expensive to lease or purchase one high-speed machine than two slower machines--a faster printer can increase production by as much as 140 percent. The manufacturer's representative should be consulted to determine if a particular piece of equipment has optional printers, or whether only one type is available.

To determine the average number of words of typing done in a prosecutor's office, the typists should be instructed to make an extra copy of each document typed for a period of at

least 15 days. Make certain that the period selected has a mix of heaviest and lightest days. Then, using the following formula, determine the minimum typing speed acceptable for an automatic typing system:

$$\begin{array}{l} \text{Approx. total no.} \\ \text{of letters, numbers,} \\ \text{characters, spaces} \\ \text{on documents} \end{array} \div 4 = \begin{array}{l} \text{Approx. no.} \\ \text{of words in} \\ \text{sample mini-} \\ \text{mum} \end{array} \div 15 = \begin{array}{l} \text{Approx.} \\ \text{no. of} \\ \text{words/day} \end{array} \div 6$$

$$\begin{array}{l} \text{Approx. no.} \\ \text{of words/} \\ \text{productive} \\ \text{typing hour} \end{array} \div 60 = \begin{array}{l} \text{No. of words} \\ \text{per minute} \\ \text{typing speed} \\ \text{of equip-} \\ \text{ment} \end{array}$$

4. Equipment with a CRT

For some applications, it may be advantageous to select equipment with a CRT. See section A.2 of this chapter for the advantages of selecting equipment utilizing a CRT.

5. Cost of Supplies

The cost of supplies for text-editing systems is another factor that must be included in the budget. Supplies normally consist of a stock of the magnetic storage medium (cards, cassettes, or diskettes), typing ribbons, and in some cases, typewriter print elements. The most costly item will be the recording medium. In systems maintaining several thousand documents, the cost of the recording medium can greatly increase the overall cost of a system. As an example, the table on the following page compares the cost of recording media and equipment rentals for a system that maintains 3,000 pages.

The cost of other supplies has little or no effect on the pricing of a typing system, since such supplies would normally be purchased for an electric typewriter.

6. Complexity of Operation

Some text-editing systems require several days of operator training, while others require only a few hours. In some systems it is necessary to learn a complex series of machine instructions in order to record, play back, and modify written instructions. In situations where several persons may be called upon to operate the equipment, or the typing operation

Exhibit 45

EQUIPMENT RENTAL AND RECORDING MEDIA COSTS

Features	Recording Media		
	Magnetic Card Equipment	Cassette Equipment Both CRT and non-CRT	Diskette Equipment (CRT)
Hypothetical no. of pages	3,000	3,000	3,000
No. of media required to record pages	3,000	100	50
Average media cost/ 3,000 pages	\$3,000	\$1,200.	\$ 400
Average equipment rental	\$2,520	\$3,600	\$4,656
Total first year cost, excluding supplies other than recording medium and service	\$5,520	\$4,800	\$5,056

is not continuous, problems may arise. If the system will be used as a data base for PROMIS, as described in section D, then it may be desirable for the attorneys to be able to operate the equipment. In that case, the simpler the operation of the equipment, the easier it will be for all personnel to learn how to use it.

D. Developing a Semiautomated PROMIS Using Text-Editing Typewriters

A semiautomated PROMIS employs essentially the same system concept and records and forms as the manual PROMIS described in Chapter IV. Consequently, this chapter will concentrate on how to use text-editing typewriters to operate the PROMIS system.

Because text-editing typewriter systems have memory and can record data on a magnetic storage medium for recall at a later date, they can be used, with some limitations, to simulate a computer system for storing, manipulating, and printing out data on demand. A text-editing typewriter cannot, however, process data and make computations for such purposes as developing statistics or compiling data for

reports. These functions can only be performed by a computerized system.

As discussed in section A, text-editing systems are of two basic types: those with CRTs and those without. The advantages of the CRT feature become very obvious when this equipment is utilized as the basic component of a semiautomated PROMIS. The major advantage is that the data stored in the system can be displayed, thereby facilitating the retrieval, verification, or updating of data without producing a paper copy each time. However, it is contemplated that many offices using CRT equipment will still find it advantageous or more practical to maintain a printed copy for general reference purposes, particularly where self-service is desired or necessary. A printed copy also facilitates updating and can serve as the prosecutor's official record. Also, of course, throw-away copies can be produced by the typewriter on demand for such purposes as providing a record for courtroom use.

Where equipment without a CRT is used, the Case Progress Docket would be maintained in both the magnetic storage medium and printed form, since there is no other way to display the data for reference purposes, and a printed copy is essential for verification and updating.

The records developed for a semiautomated PROMIS are described below.

1. Case Summary Record

In a semiautomated PROMIS, the Case Summary Record serves as a master file of all actions related to a case from the time charges are brought by the police through final disposition and sentencing. By merely instructing the equipment to search out the record on the cassette or diskette, the prosecutor can obtain a status report on the case at any time. If the equipment has a CRT, the case summary can be displayed on the screen. If the equipment has no CRT, a paper copy of the record will have to be generated. Information may also be extracted from this record for the preparation of calendars, subpoenas, notices, or other correspondence to witnesses or defendants, and statistical reports.

The Case Summary Record is recorded on two pages. The first page is similar to the Case Progress Docket described in Chapter IV, section B.1. It includes facts about the defendant, the case, the criminal event, the history of the charges filed, court events, final disposition, and sentencing. (See Exhibit 46.) The second page is similar to the Witness Record discussed in Chapter IV, section B.4. Exhibit 47 is a sample of the Witness Information portion of the Case Summary Record.

Exhibit 46

CASE PROGRESS DOCKET

<u>DEFENDANT</u>	<u>CASE NO.</u>	<u>POL. OFF./</u>	<u>JUDGE</u>	<u>EVENT/DATE</u>
JOHNSON, SAMUEL EDWARD	409675	AGENCY/ UNIT	J. PARKER	PH/ 111675
<u>ARREST DATE</u>	<u>CHARGES</u>	<u>F. JONES/</u>	<u>PROSECUTOR</u>	<u>CRIME SCORE</u>
102875	ADW	MPD/ 3D	HAMILTON	12.5
<u>RELEASE STATUS</u>	<u>APO</u>		<u>DEFENSE CNSL.</u>	<u>DEF. SCORE</u>
\$1000 SB			T. HARRISON	16.5
<u>CO-DEFENDANTS</u>				
NONE				

<u>DOB</u>	<u>POB</u>	<u>SEX</u>	<u>RACE</u>	<u>MAR. STAT.</u>	<u>ID NOS.</u>
032149	WASHINGTON, DC	M	N	S	LOCAL STATE FBI
<u>RESIDENCE</u>	<u>PERIOD</u>	<u>EMPLOYMENT</u>	<u>CRIM. REC.</u>	<u>INCIDENT NO.</u>	
314 G. St. NW Washington, DC 20005	5 yrs.	Unemployed	3A, 2C	4993075	
<u>OFFENSE COMMITTED ON (DATE)</u>	<u>ARRESTED ON (DATE)</u>	<u>POSSESS</u>	<u>USE OF WEAPON OR</u>		
<u>AT (TIME)</u>	<u>AT (TIME)</u>	<u>WEAPCN</u>	<u>FORCE</u>		
102875/7:45 p.m.	102875/8:10 p.m.	yes	yes		
<u>STOLEN PROPERTY/EVIDENCE RECOVERED</u>	<u>INITIAL COURT APPEARANCE METHOD</u>				
none	Warrant				

<u>INC. NO.</u>	<u>CHARGE</u>	<u>SEARCH</u>	<u>FILED</u>	<u>DATE</u>	<u>DISP. REASON</u>	<u>DISP.</u>	<u>SENT.</u>
		<u>CODE</u>	<u>BY</u>			<u>DATE</u>	<u>DATE</u>
A 4993075	ADW	2514	Pol.	102975			
B 4993075	APO	3716	Pol.	102975			
C							
D							

<u>DATE</u>	<u>OLD REL. STAT.</u>	<u>EVENT</u>	<u>CONT. TO</u>	<u>REASON</u>	<u>NEW REL. STAT.</u>
111675	\$1000 SB	PH	Indef.	Bound over to GJ	\$1000 SB

<u>CONFINEMENT PERIOD</u>	<u>FINE</u>	<u>SPECIAL</u>	<u>PROBATION</u>
A			
B			
C			
D			

Exhibit 47

WITNESS INFORMATION

WITNESS INFORMATION

<u>NAME/ADDRESS</u>	<u>ACCUSED:</u>
James D. Gallagher 3D	Samuel E. Johnson
	COURT CASE NO. : 409675
	COURT APPEARANCE DATE/TIME: 111675/9 a.m.
	DATE OF ISSUE : 110475
<u>HOME PHONE:</u>	<u>WORK PHONE:</u>
(202)543-7806	(202)459-1320
<u>SEX:</u>	<u>AGE:</u>
NA	NA
<u>RACE:</u>	<u>RELATIONSHIP TO DEF.:</u>
NA	NA
<u>TESTIMONY PROBLEMS:</u>	<u>CRIMINAL RECORD:</u>
None	NA
<u>DATES ORDERED TO APPEAR (STATUS):</u>	111675 (S)

<u>NAME/ADDRESS</u>	<u>ACCUSED:</u>
Robert A. Baker 2231 16th St. NE Washington, D.C. 20004	Samuel E. Johnson
	COURT CASE NO. : 409675
	COURT APPEARANCE DATE/TIME: 111675
	DATE OF ISSUE : 110475

<u>HOME PHONE:</u>	<u>WORK PHONE:</u>
(202)397-4803	(301)736-1906
<u>SEX:</u>	<u>AGE:</u>
M	38
<u>RACE:</u>	<u>RELATIONSHIP TO DEF.:</u>
N	None
<u>TESTIMONY PROBLEMS:</u>	<u>CRIMINAL RECORD:</u>
None	NA
<u>DATES ORDERED TO APPEAR (STATUS):</u>	111675 (S)

<u>NAME/ADDRESS</u>	<u>ACCUSED:</u>
Mary L. Johnson 314 G. St. NW Washington, D.C. 20005	Samuel E. Johnson
	COURT CASE NO. : 409675
	COURT APPEARANCE DATE/TIME: 111675
	DATE OF ISSUE : 110475

<u>HOME PHONE:</u>	<u>WORK PHONE:</u>
(202)440-2306	N/A
<u>SEX:</u>	<u>AGE:</u>
F	24
<u>RACE:</u>	<u>RELATIONSHIP TO DEF.:</u>
N	Wife
<u>TESTIMONY PROBLEMS:</u>	<u>CRIMINAL RECORD:</u>
Possible	NA
<u>DATES ORDERED TO APPEAR (STATUS):</u>	111675 (NS)

<u>NAME/ADDRESS</u>	<u>ACCUSED:</u>
	Samuel E. Johnson
	COURT CASE NO. :
	COURT APPEARANCE DATE/TIME:
	DATE OF ISSUE :

<u>HOME PHONE:</u>	<u>WORK PHONE:</u>	<u>WITNESS TYPE:</u>
<u>SEX:</u>	<u>AGE:</u>	<u>RACE:</u>
<u>RELATIONSHIP TO DEF.:</u>	<u>CRIMINAL RECORD:</u>	
<u>DATES ORDERED TO APPEAR (STATUS):</u>		

a. Case Progress Docket Data Elements. The following data elements are recommended for the Case Progress Docket (Exhibit 46). The sections are discussed in order, beginning at the top of the form.

(1) CALENDAR SECTION

Contains the items of information most frequently required for court event calendars and other types of case listings.

- . Defendant: True name.
- . Case Number.
- . Police Officer's Name/Agency/Unit: Abbreviations for agencies and units designated by the implementing jurisdiction. For example, Albuquerque Police Department - APD; Albuquerque Sheriff's Office - ASO; Third District - 3D; Fifth Precinct - 5P.
- . Judge: Name.
- . Event/Date: Next upcoming court event and its date. The following abbreviations are recommended for events:
 - 1H - First Hearing
 - GJ - Grand Jury
 - PH - Preliminary Hearing
 - PTH - Pretrial Hearing
 - ARR - Arraignment
 - MOT - Motion
 - TRI - Trial
 - PSI - Presentence Investigation
 - SEN - Sentence
 - APP - Appeal
 - OTH - Other

Dates should be indicated in mmddyy format.

- . Arrest Date: mmddyy.
- . Charges: Abbreviations commonly used by each local jurisdiction implementing the system. Only current open charges are to be recorded in this space.
- . Prosecutor: Name.
- . Crime Score: Computed on the basis of a Crime Analysis Scoresheet for PROMIS discussed in Chapter IV, section B.3.
- . Defendant Score: Also computed using the PROMIS Crime Analysis Scoresheet.
- . Release Status: Current release status, indicated by one of the following abbreviations:
 - PR - Personal Recognizance
 - J - Jail
 - CB - Cash Bond (with amount)
 - SB - Surety Bond (with amount)Codes may be developed for other types of release status.
- . Codefendants: Names. Case numbers may also be entered if defendants are to be tried separately or have different case numbers.

(2) DEFENDANT/OFFENSE SECTION

Records facts about the defendant's previous criminal history, employment, and other personal characteristics, and some information about the offense.

- . DOB: Date of birth (mmddyy).
- . POB: Place of birth (city and state). Standard two letter U.S. Postal Service abbreviations should be used to identify state.
- . Sex: M-Male, F-Female.
- . Race:
 - W - White (including Mexicans and Latins)
 - N - Negro

- I - Indian
- C - Chinese
- J - Japanese
- O - Other (including Asian Indians, Eskimos, Filipinos, Indonesians, Koreans, Polynesians, other nonwhites)
- U - Unknown
- . Marital Status:
 - M - Married
 - S - Single
 - D - Divorced
 - W - Widowed
 - O - Other
- . ID Numbers: Local, state, and FBI identification numbers.
- . Residence: Defendant's house number, street name, city, state, zip code.
- . Period: Defendant's length of residence at current address. This may be expressed as a number of Y-years and M-months (e.g., 5 years and 8 months would be 5Y 8M).
- . Employment: Defendant's occupation.
- . Criminal Record: Indicates previous arrests and convictions. Enter all of the following codes that are applicable:
 - . Number of Previous Arrests: Enter number followed by the letter "A" (e.g., 3A indicates three previous arrests).
 - . Number of Previous Convictions: Enter number followed by the letter "C" (e.g., 2C indicates two previous convictions).
 - . No previous record: Enter NR.

- . Incident Number: The control number assigned to the event by the police department, if applicable. If a separate incident number is assigned to each charge, this space should be left blank and the "Incident Number" entry completed in the Charge Section of this docket.
- . Offense Committed on (Date) at (Time): The date and time the offense was committed. Indicate a.m. or p.m.
- . Arrested on (Date) at (Time): The date and time that the defendant was arrested. Indicate a.m. or p.m.
- . Possess Weapon: Indicates whether defendant possessed a weapon at the time the offense was committed.
- . Use of Weapon or Force: Indicates whether defendant used a weapon or force in committing the crime. "Yes" specifies that one or both were used and "no" specifies that no weapon or force was used.
- . Stolen Property/Evidence Recovered: Lists items stolen, followed by an "S." Place a comma after the "S" and enter "RE" if the property is recovered evidence. (For example, a recovered stolen shotgun to be used as evidence would be entered as Shotgun-S, RE).
- . Initial Court Appearance Method: The means by which the defendant's case was originally brought to the attention of the court. Examples are complaint, warrant, information, and indictment.

(3) CHARGE SECTION

Contains information pertaining to any charges presented in this case, regardless of where they originated, and follows each charge through to a disposition. Only the four most serious charges in a case are recorded in this section.

- . Charge Prefix: An alphabetic prefix (A through D) assigned for cross reference purposes to each of the four most serious charges in the case.
- . Incident Number: Typically a number assigned by the police to each charge resulting from a criminal incident. Some jurisdictions use the same incident number to cover all charges associated with an incident.

- Charge: A listing of local abbreviations developed by the jurisdiction implementing the PROMIS system.
- SEARCH Code: A standardized charge code used by the FBI for reporting crimes to the National Crime Information Center (NCIC). Appendix E lists these codes.
- Filed by: An indication of which group filed the charges, such as:
 - POL - Police
 - PROS - Prosecutor
 - GJ - Grand Jury
- Date: The date the charges were filed.
- Disposition: Reports the type of disposition for the charge. Suggested abbreviations for disposition types are:
 - DIV - Diversion or Pretrial Rehabilitation
 - R - Rejected
 - NI - Not Indicted
 - NP - Nolle Prosequi
 - PD - Prosecutor Dismissal
 - CD - Court Dismissal
 - PG - Plea of Guilty
 - NC - Nolo Contendere
 - JC - Jury Conviction
 - JA - Jury Acquittal
 - NJC - Nonjury Conviction
 - NJA - Nonjury Acquittal
 - M - Mistrial
 - T - Transfer to Another Jurisdiction

- Reason: The reason for disposition of the charge. Examples are:

Problems

- Prosecutive Merit
- Due Process
- Physical Evidence
- Scientific Evidence
- Testimonial Evidence
- Witness Availability
- Witness Attitude
- Witness Credibility
- Defense Counsel
- Defendant
- Prosecutor
- Hung Jury
- Mistrial

Procedural/Administrative Reasons

- No Probable Cause
- Diversion
- Plea Negotiation
- Grand Jury
- Motion
- Special Hearing
- Jury Trial
- Nonjury Trial

An explanation of these and other disposition types may be found in Chapter IV, section B.1.a, in the discussion of Case Progress Docket items 36 and 44.

- . Disposition Date.
- . Sentence Date.

(4) COURT EVENTS SECTION

Tracks the case through the various court events from the initial hearing through the final disposition of the case.

- . Date: Date of the court event.
- . Old Release Status: The defendant's release status from the previous court event. Suggested abbreviations are:
 - PR - Personal Recognizance
 - J - Jail
 - CB - Cash Bond (with amount)
 - SB - Surety Bond (with amount)
- . Event: The same abbreviation used in the calendar section of this record may be used here.
- . Continued to: The scheduled date of the next court event.
- . Reason: The reason for the continuance. Refer to the charge disposition record, since many will also apply here. Additional reasons are:
 - . Court Unable to Reach Case
 - . Presentence Investigation
 - . Sentencing
 - . Appeal
- . New Release Status: This is the defendant's release status at the conclusion of the court event. The same codes that apply to the old release status are to be used in this entry.

(5) SENTENCING SECTION

Records the sentence(s) imposed by the court.

- . Charge Prefix: A letter that cross-references the charge from the charge section of the record to this section (e.g., sentence A must correspond to charge A, sentence B to charge B).
- . Confinement Period: Expressed as years (Y), months (M), and days (D). The confinement type is also indicated using the following codes:
 - CONC - Concurrent
 - CONS - Consecutive
 - C or F - Confinement or fine
 - OTHER - Other

If any portion of the sentence is suspended, indicate as years (Y), months (M), and days (D), followed by SUSP (for example 6M, 15D CONS - 6M, 15D SUSP).
- . Fine: Amount. If fine is suspended, enter SUSP and amount.
- . Special: Any special types of sentences authorized by law or rules of the court. Examples are alcoholic and drug rehabilitation programs.
- . Probation: Period expressed as years (Y), months (M), days (D) followed by probation type: SUP (Supervised) or UNSUP (Unsupervised).
- b. Witness Information Data Elements. The second page of the Case Summary Record contains facts about witnesses in a case (see Exhibit 47). This information is used to keep track of witnesses involved in the case. The recommended data elements are as follows:
 - . Name/Address: Witness name and complete address (house number, street, city, state, zip code). If the witness is a police officer or other official, omit address and indicate duty station.
 - . Home Phone.
 - . Work Phone.

- . Witness Type:
 - . Arresting Police Officer
 - . Assisting Police Officer
 - . Investigating Police Officer
 - . Chemist
 - . Fingerprint
 - . Other Professional Type
 - . Complaining
 - . Eyewitness

Following the witness type, it is indicated whether the witness is essential (E) or nonessential (N) to the successful prosecution of the case.

- . Accused: Defendant's name.
- . Court Case Number.
- . Court Appearance Date/Time: A listing of all dates and times on which the witness is directed to appear.
- . Date of Issue: The dates on which subpoenas are issued for the witness to appear.
- . Sex: M or F.
- . Age.
- . Race. See listing of abbreviations under Defendant/Offense section.
- . Relationship to Defendant.
- . Testimony Problems: Yes, no, or possible.
- . Criminal Record: Any criminal record of the witness.
- . Dates Ordered to Appear (Status): Lists all dates on which the witness has been ordered to appear. Indicate appearance status of the witness by noting S (show) or NS (no show) after each date listed.

c. Creating the Case Summary Record. Information for the Case Summary Record can come from several sources. To initiate the record, information must be obtained about the offense and defendant, either through a police arrest report similar to the one illustrated in Exhibit 23, or from other documents providing the same information, such as arrest warrants or booking reports. Once the matter comes to the attention of the prosecutor's office, additional information must be captured, including the charging decision, crime and defendant scores, assignment of trial officials (judge, prosecutor, and defense counsel), and information on witnesses. To capture these data, a worksheet similar to the one shown in Exhibit 34 may be developed and used.

d. Updating the Case Summary Record. As a case passes the various stages of the prosecutive process, different techniques can be devised to update the Case Summary Record. Suggested methods are as follows:

(1) Overprinted Case Jackets. Case jackets similar to the one shown in Exhibit 48 may be utilized by the prosecutor to record what happens in a case during a court event. At the end of the day, the jackets can be given to the person maintaining the system so that the update information can be extracted and recorded.

(2) Transaction Sheets. The prosecutor in the courtroom could prepare a transaction sheet such as the example in Exhibit 49, which can be submitted to the system operator at the end of the day. One drawback of this method is that the prosecutor must write in basic case identification information on a transaction sheet each time a case is heard, a procedure that can become somewhat time consuming if a large number of cases are heard during a day.

(3) Annotated Calendars. The prosecutor may take the court event calendar produced by the system into the courtroom, and annotate it as a case is heard. The annotated copy could then provide a source for updating a case.

(4) Record Copies. Another alternative is to provide the prosecutor with a copy of the entire Case Summary Record to take into the courtroom. This requires more time to produce than the calendar, but also provides more information.

e. Data Entry. The method by which data will be recorded in the system depends upon the type of equipment utilized. Equipment with a single magnetic card, a single magnetic cassette tape, or a single diskette will require the use of preprinted forms for the Case Summary Record.

Exhibit 49

TRANSACTION SHEET

CASE UPDATE TRANSACTION SHEET

SECTION I - GENERAL CASE INFORMATION

Defendant's Names: D1. _____ D2. _____ D3. _____

Transaction Type: Arraignment _____ Continuance _____ Disposition _____ Sentence _____

Case No.: _____ PDPD: D1. _____ D2. _____ D3. _____

Transaction Date: _____ Prosecutor: _____

Judge: _____

SECTION II - ARRAIGNMENT INFORMATION

Defense Attorney: _____ Action Reason: _____

Continued Date: _____

Release RECOMMENDED	Release DECISION
Type: _____	Type: _____
Cash/Bond Amount: _____	Cash/Bond Amount: _____
Percent-Deposit: _____	Percent Deposit: _____
Arraignment Plea: _____	Jury/Nonjury: _____ Lab No.: _____
Urine Test	
Date: _____	Lineup Date: _____
Results: _____	Lineup Time: _____
Drug Type: _____	

SECTION III - CONTINUANCE/DISPOSITION DATA

Defense Attorney: _____ Action Reason: _____

Action Party: _____ Continued Date: _____

Release Type: _____ Cash/Bond Amount: _____ Deposit: _____ Percent _____

Charge	Suffix	Action	Charge Pled	Sentencing Date	Charge Type
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

SECTION IV - SENTENCING DATA

Action Reason: _____ Action Party: _____ Continued Date: _____

Suffix: _____

Confinement: _____

Type: _____

Special Program: _____

Type: _____

Fine: _____

Suspended: _____

Probation: _____

Type: _____

Data positions on the forms are defined to coincide with the positioning of the data on the word processing equipment. These forms must be designed especially for the type of equipment installed. Data are entered onto this form from the source documents described above. The information is then typed into the system using exactly the same format and positioning as on the form.

Equipment utilizing dual recording devices (cards, tapes, or diskettes) can usually store the format for the blank forms on one medium and transfer a copy of it to the other medium without disturbing the original copy. This type of format is used in the Case Progress Docket shown in Exhibit 45. The second medium thus contains a duplicated blank copy of the form which is filled in with the case status information..

To update a case, the system operator merely inserts the card, tape, or diskette into the machine and obtains a display of the case (if the machine has a CRT) or produces a paper copy of the case summary. On equipment without a CRT, an alternative method is to produce a copy of the Case Summary Record when the case is originally entered into the system and to file the records by defendant's name or case number in a book. It would then only be necessary to post changes to the paper copy in the book and to update all cases on the typing system at predetermined intervals, such as monthly, quarterly, or by term of court. This alternative is definitely less time consuming when utilizing equipment without a CRT. Cases on CRT equipment may be quickly updated by displaying the case on the screen and typing in the update. It is not necessary to produce a paper copy.

f. Filing Structure. Case Summary Records are filed in sequential order by case number. It would be impractical to record cases in alphabetical order on tapes or diskettes because large gaps would have to be allowed in the file to accommodate new cases, thereby unnecessarily increasing the number of storage media required for the system. A cross-reference index file must therefore be maintained by defendant name for rapid location and retrieval of case records. A cross-reference index file must also be maintained by witness name (see section 2 below). These indexes will enable a clerk to answer inquiries from witnesses concerning the status of a case, and to readily locate a defendant's Case Summary Record when only the name is provided. As cases are closed, a paper copy of the record is printed out and filed by the defendant's true name for future reference. This file becomes the defendant's criminal history record. In addition, the cross-reference records of the witness and defendant names should be deleted from the file when the case is disposed of.

2. Cross-Reference Records

a. Description and Purpose. Five types of cross-reference records may be used in conjunction with the Case Summary Record described above:

- Defendant Name File: A defendant name file is maintained to facilitate location and retrieval of case records, since cases are entered on the tape or diskette in case number order.
- Calendar File by Date: This file records the date of the next upcoming court event, the name of the event, and the defendant's name and case number. This record is used to keep track of what cases are scheduled for which events on what days. Using the file, information is extracted from the calendar section of the Case Summary Record to produce various court event calendars.
- Witness Name File: This file records the name of a witness, the case number, and the defendant's name. The file is alphabetical by witness name and is used to answer routine inquiries on case status which may be made by witnesses. This record permits a lawyer or paralegal to look up the witness name in the file, obtain the case number, and then refer to the Case Summary Record.
- Judge File (Optional): The first of two optional files is a judge file containing the name of the judge assigned to the case, case number, a list of all open charges, and the next court event date. This file, which is alphabetical in judge name order, enables a paralegal or lawyer to identify cases scheduled for a given event and to prepare a calendar of upcoming cases by judge, using the calendar section of the Case Summary Record.
- Prosecutor File (Optional): The second optional cross-reference record is the prosecutor file, which is similar to the judge file but records prosecutors assigned to a case. This file not only permits an office to produce calendars of upcoming cases for each prosecutor, but also provides the chief prosecutor with a record of attorney assignments to cases.

These files may be maintained in a manual system, utilizing 3 x 5 inch file cards, or on a machine storage medium for display on a CRT or for periodic printout on systems without

CRT. The machine storage medium is recommended because it is less cumbersome to work with.

If the machine storage medium is used, it is necessary to know in advance how much of the cross-reference file arranged alphabetically by names will fit under each letter of the alphabet. In this way, adequate space on the recording medium can be allowed. The simplest file breakdown is by letter of the alphabet, resulting in 26 breakdowns. However, research has shown that most last names begin with the letters "S," "B," "M," "H," "C," or "W." Therefore, these breakdowns would require more space, making it extremely difficult to establish the number of pages required for each file breakdown. To eliminate this problem, alphabet divisions of 60, 100, 150 and 200 are listed in Appendix H. Typically, it is advisable to use one page of a recording medium for each file division. The table in Exhibit 50 will provide a quick reference of the number of recording media required to maintain the file.

b. Updating and Disposing of Cross-Reference Records. All cross-reference records are updated at the same time the Case Summary Record is updated, utilizing the same source documents described in section D.2.1.c. of this chapter. As a case is disposed of, all cross-reference records should be deleted from the file. If cards are used, they should be removed from the file and destroyed. If the files are recorded on magnetic storage media, each entry or case that has been disposed of should be erased.

3. Statistical Report Records

a. Description. A variety of statistical reports may be produced with a semiautomated PROMIS system, including those described in section B.1.b of Chapter IV: the Case Load Overview Report, the Attorney Case Load Report by Type of Charge, and the Court Disposition/Sentencing report. Other types of statistical reports may also be generated if the chief prosecutor determines they are required. Formats for these reports are designed to suit the requirements of the prosecutor's office. Once a report format is selected, it may be recorded on the text-editing typewriter, with blank spaces for data to be filled in. Each time a court event takes place, information about the case, is extracted and entered into the text-editing typewriter to update the statistical report.

A statistical report is nothing more than a series of counts about the same fact or event occurring in different cases. For example, a disposition report may cover 15 cases disposed of during the reporting period; of these, five defendants may have been found not guilty in jury trials, five were

Exhibit 50

NUMBER OF STORAGE MEDIA REQUIRED FOR
AN ALPHABETICAL CROSS-REFERENCE FILE

Feature	Type of Medium		
	Card	Cassette	Diskette
PAGE CAPACITY	1	30	60
APPROXIMATE NO. OF NAMES PER PAGE	50	50	50
NO. OF MEDIA REQUIRED UTILIZING 26 DIVISIONS	26	1	1
NO. OF MEDIA REQUIRED UTILIZING 60 DIVISIONS	60	2	1
NO. OF MEDIA REQUIRED UTILIZING 100 DIVISIONS	100	4	2
NO. OF MEDIA REQUIRED UTILIZING 150 DIVISIONS	150	5	3
NO. OF MEDIA REQUIRED UTILIZING 200 DIVISIONS	200	7	4

found guilty in nonjury trials and five were nolle. In a report, an event or the reason for it receives a "+1" value for taking place and a "0" value for not taking place. At the end of a reporting period, the current totals for all categories of information called for on the report are produced by the operator on the text-editing typewriter.

b. Source Documents and Data Entry. The same source documents that provide data to the Case Summary Record may also serve as data sources for the statistical reports. At the beginning of the reporting period a blank report format, such as the one shown in Exhibit 19, is printed out. As cases are processed during the reporting period, the appropriate facts are extracted and posted to the statistical report. If a text-editing typewriter featuring a CRT is utilized, the report format is shown on the CRT and updated each time an action takes place in a case that affects the report. This is a simple action on the CRT, since counts need only be changed on the screen. A paper copy of the report is not needed until the end of the reporting period. If a text-editing typewriter without a CRT is utilized, the format for the report is recorded on a cassette card or diskette and printed out in blank format. The blank copy is then constantly annotated with statistical data during the reporting period. The final counts are entered on the storage medium at the end of the period and a final copy of the report is produced.

E. Additional Uses of Text-Editing
Typewriters in a Prosecutor's Office

In addition to maintaining a semiautomated PROMIS, text-editing typewriters can serve a number of other purposes. It is important that a prosecutor understand all of the tasks that an automatic typing system can perform, in order to reduce time spent by both attorneys and secretarial/clerical personnel in the preparation of case processing paperwork. Specific applications are discussed in the following paragraphs.

1. Witness Correspondence

One of the most important functions of any prosecutor's office is to maintain good relations with witnesses. To do this job effectively, it is necessary to correspond periodically with witnesses to advise them of upcoming court appearance dates, reasons for continuances, and notification of case status changes, such as reasons for dismissals or nolle. Such communication makes a witness feel that he has made a significant contribution toward law enforcement and has done

his civic duty. Appendix F contains examples of letters mailed out to witnesses under different circumstances. The letters could be recorded on a magnetic storage medium and produced for witnesses whenever necessary.

2. Notices to Defendants or Defense Attorneys

In many jurisdictions, the prosecutor's office notifies defendants and defense attorneys of upcoming court events such as arraignments and initial trial dates. In some instances, plea bargains are also furnished to defense counsel in writing. These types of notices could be recorded on a text-editing system, with spaces allowed for variable information such as names, addresses, court dates, and charges.

3. Instructions

It is often the job of the prosecutor's office to submit proposed copies of instructions to the jury and to the court for approval. These instructions often vary from case to case, depending upon the type of charge, evidence presented and other factors. Some instructions are applicable to different types of cases. Therefore, all these instructions would be recorded on the typing system and only those required for a specific type of case printed, as necessary.

4. Motions

A great deal of a prosecutor's time is spent in drafting motions for presentations to the court. The same type of motion is often filed in several different cases. Therefore, a standard text with spaces allowed for variable information could be stored on a recording medium for printout whenever necessary.

5. Charging Instruments

All types of charging instruments used by the courts and the prosecutor's office, including warrants, informations, complaints, and indictments, frequently contain identical wording with regard to specific charges. The text for these charges could be recorded on the typing system to be entered on the appropriate instrument whenever required.

6. Appeals

Many hours are spent drafting appeals, including writing and rewriting briefs. It is a great time-saver to secretarial personnel to be able to record a brief on a text-editing typing system. Then each change made to the original draft can be

entered onto the recording medium and a revised copy produced in a fraction of the time that would have been required if the document had been completely retyped.

7. Trial Transcripts

Text-editing equipment is ideal for preparing transcribed recordings of courtroom proceedings. The tape recording can be played back and an original typed version recorded onto a magnetic storage medium. The text could then be edited, corrections made, and a final copy prepared without completely retyping the entire transcript manually.

8. Other Repetitive or Frequently Edited Case Documentation or Reports

Any other types of documents prepared by the prosecutor's office in which repetitive wording is used extensively on any items requiring periodic updates, such as reports, may also be candidates for preparation on a text-editing typewriter.

VI. USE OF PARALEGALS IN A PROSECUTOR'S OFFICE

A. Benefits of Employing Paralegals

Private law offices were among the first to recognize the benefits that can be realized by employing paralegals (legal paraprofessionals) to provide support for attorneys. Only a few prosecutors, however, are taking advantage of this opportunity to provide a measure of relief to assistants and expedite the work of their offices. Today's typical prosecutor is not only overtaxed by increases in case load and the amount of legal work involved in processing cases, but must deal with myriad administrative tasks, which, like the legal aspects of the work, are becoming more and more complex.

Although the prosecutor's legal expertise and attention to legal detail are the paramount considerations in the prosecutive process, it is an undeniable fact that cases can be lost, and sometimes are, because of an oversight or lack of knowledge or full understanding of the administrative aspects of case processing. At the same time, secretarial and clerical personnel cannot normally be expected to have the requisite knowledge and competence in the intermediate aspects of case processing--the tasks and responsibilities that are more than clerical but are not primarily legal. The most practical way to fill this gap is to employ skilled paralegals.

The major benefits of using paralegals in a prosecutor's office are as follows:

- . Liberation of a significant amount of attorney time for purely legal tasks;
- . Improved quality and reliability in the conduct of administrative responsibilities, since paralegals will perform these tasks more meticulously than attorneys whose training and interests lie elsewhere;
- . Improved continuity and uniformity in the administrative processes and case documentation to compensate for attorney turnover and rotation;
- . Reduction of attorney time and work interruptions caused by telephone calls;

- . Improved communications and relations with the court, police, and other agencies within the criminal justice system by reason of the paralegal's constant availability and increased attention to these matters; and
- . Improved witness cooperation and relations by reason of better communications, closer case monitoring, and more personalized treatment.

B. Possible Responsibilities and Tasks That Could Be Delegated to Paralegals

Throughout this handbook, particular attention has been given to the possible use of paralegals to meet the prosecutor's need for improved support. One objective of Chapter II, Planning and Conducting the PROMIS Implementation Study, was to identify the present responsibilities and tasks that could be delegated to paralegals. In developing the conceptual and operational details of a manual or semiautomated PROMIS system (Chapters IV and V), special attention was given to designing the procedures and forms so that paralegals can be utilized to relieve the prosecutor of a major portion of the administrative tasks, if desired.

Many of the responsibilities and tasks described below are presently being carried out by paralegals employed by prosecutors, private law firms and other attorney groups. Others represent new responsibilities and duties made possible by the special design considerations of the PROMIS system. Further, some of the activities may be altogether new, not because they are presently not needed or worthwhile, but simply because the prosecuting attorneys do not have the time to undertake them, and the responsibilities and tasks exceed the normal capability of the secretarial and clerical staff.

It should also be noted that the list which follows comprises the typical responsibilities and tasks within a prosecutor's office. However, most prosecutors also have a conglomeration of supernumerary responsibilities that were inherited from their predecessors, or that have been assigned to the office somewhat arbitrarily because there was some remote relationship to the prosecutor's responsibilities or there was no other agency to which they could be assigned. Consequently, the prosecutor should also give special consideration to these "supernumerary" responsibilities when perusing the following list, since it is quite likely that most of the actual work involved could be assumed by paralegals.

1. Case Screening and Intake

a. Checks for presence and proper completion of forms submitted by law enforcement agencies and initiates action, if necessary, to correct deficiencies.

b. Checks to determine if there are any pending cases or outstanding warrants against the accused and whether the accused has a previous criminal record, initiating action to obtain the records, as appropriate.

c. Assembles documents needed to process case at initial stage and enters identifying data and other information, except that which is based on the attorney's determination. This includes, but is not limited to, the following records:

- . Case Progress Docket (Parts I, II and III through police charges)
- . PROMIS Crime Analysis Scoresheet (all, including computing scores)
- . Witness Record Card/Subpoena (all except item 6)
- . Police Intake Worksheet (case identification)
- . Case jacket (label)
- . Calendar Card (case identification data)
- . Witness Information/Appearance or Attendance Card (case identification)
- . Information, indictments, warrants, or complaints (case identification)
- . Orders (case identification)

d. Contacts other interested parties such as probation officer, clerk of the court, and public defender when it is necessary to put them on notice or secure information from them.

e. Assists in interviewing witnesses, taking statements, providing information about their role, and answering questions.

f. Screens case to determine possible potential for enrollment of accused in a pretrial diversion (rehabilitation)

program, obtains and partially completes any necessary forms, such as Pretrial Diversion Screening and Enrollment Report (Exhibit 36), and secures any additional data required.

g. Conducts initial interview of citizens who visit the prosecutor's office to discuss problems and seek advice. If matter is clearly not within the jurisdiction of the prosecutor's office, refers citizen to the proper office, completing the arrangements therefor, if appropriate, and providing any other information or advice that might be helpful to the citizen in resolving the problem. If the matter is possibly within the purview of the prosecutor's office, completes Report of Citizen's Complaint (Exhibit 37) or prepares other summary statement for perusal by the prosecutor, who determines whether legal action is in order.

In order to perform this function with the utmost efficiency, the paralegal should obtain complete information on the public and private social agencies and others to whom the citizen can turn for help, since it is assumed that no prosecutor would want to turn a citizen away without rendering assistance of some sort.

h. Assists prosecutor in other possible ways in the case screening and intake stage, including case scheduling and responding to telephone and personal inquiries from relatives and friends of the accused and the complainant, defense counsel, bondsman, officials of the court, police officers, jailor, etc.

2. Case Preparation and Monitoring

a. Prepares evidentiary lists and assists in constructing evidentiary chains of custody and gathering evidence, possibly including accompanying police officers on field investigations.

b. Assists in preparing cases for grand jury, motion hearings, trials and other court events.

c. Monitors cases to assure that timely action is taken, advising prosecutor well in advance of those matters requiring personal attention.

d. Prepares or assists in preparing (drafting) of forms and form-like documents to be presented in court or delivered to other parties including the defendant, defense counsel, law enforcement agencies, jailors, etc.

- e. Processes routine discovery requests.
- f. Monitors pretrial diversion (rehabilitation) cases to assure that accused is complying with the requirements.
- g. Monitors cases involving mental incompetency to assure that no oversights or errors occur.
- h. Screens incoming mail and prepares replies or takes other appropriate action in routine matters, and immediately notifies the prosecutor of those items requiring his personal attention or those of interest or concern to him.
- i. Prepares or assists in preparing (drafting) routine correspondence originated by the prosecutor's office.
- j. Keeps prosecutor informed of any problem situations and possibly assists in other ways in case preparation and monitoring.

3. Witness Management

- a. Dispatches subpoenas, follows through to make sure that they have been served, and initiates action to locate witness when a subpoena is returned unserved. (If insufficient time remains for serving subpoena, contacts witness by telephone or through police channels.)
- b. Maintains personal contact with witnesses in the more important cases or in situations where problems with witness cooperation appear likely.
- c. Answers routine questions asked by witnesses; assists in "persuasive counseling" of reluctant and recalcitrant witnesses; counsels them as otherwise necessary and appropriate; and assists in resolving their problems.
- d. Arranges for witness interviews or conferences.
- e. Arranges for security protection of key witnesses in homicide and other cases where the safety of the witness may be in jeopardy.
- f. Arranges for transportation of handicapped witnesses and others who need assistance in getting from their home to the courtroom.
- g. Monitors cases where witness is on standby subpoena, and initiates action to notify witness immediately when it is time for him to appear.

h. Notifies witnesses immediately when it becomes evident that they will not be required to appear due to guilty or nolo contendere pleas, dismissals, nolle prosequi, disappearance of the defendant, court continuances (postponements), etc.

i. Negotiates or assists in negotiating court continuances (postponements) requested between court events by the court, defense counsel, witness, or prosecutor; notifies all parties of new date; and takes any action necessary to change court calendar control records.

j. Takes any special actions necessary in connection with issuing subpoenas and arranging for appearance and accommodations for out-of-state witnesses.

k. On day of court event, checks to make sure that witnesses are present, greets witnesses, and maintains close contact with them until they are excused.

l. Maintains witness appearance or attendance records and any others needed for payment or reimbursement of witnesses, where applicable, and completes any paperwork required of the prosecutor's office in authorizing payment of the fees.

m. Prepares "thank you" letters for those witnesses who appeared, as well as those who were willing to serve but were not needed.

n. Keeps prosecutor informed in advance of any problems observed in connection with witness appearance or testimony.

4. Case Calendaring

a. Maintains the prosecutor's court calendar control record.

b. If the prosecutor's office is responsible for preparation of the official court calendars, or supplying information used for issuance of the calendars, takes all action necessary to assure fulfillment of the prosecutor's obligations.

c. Verifies prosecutor's records of upcoming court events against those maintained by the court and reconciles any discrepancies.

d. If the prosecutor's office is responsible for notifying defense counsel, bondsman, jailor or others of court event, checks to make sure that this is being properly handled by secretarial or clerical personnel.

e. Prepares any tentative 14-day, 5-day, or other preliminary calendar used by the prosecutor and assistant prosecutors in preparing cases for trial, planning, and case management.

5. Courtroom Assistance

a. Assembles and reviews all records and other items required for the court event.

b. Prepares or assists in preparing (drafting) documents to be presented in court, e.g., indictments, complaints, informations, orders, instructions to the jury, responses to motions, nolle prosequi.

c. Prepares or assists in processing of jury lists.

d. Documents or assists in documenting court events.

e. Serves as the prosecutor's "troubleshooter" or backup by assisting in emergency situations. While the prosecutor is before the bench or concentrating on preparing the case, the paralegal can be working quietly behind the scenes to make telephone calls, search for missing records or evidence, obtain additional witnesses or evidence, answer inquiries, etc.

6. Liaison

a. Maintains liaison with the court, public defender, law enforcement agencies, correctional institutions, and parole and probation offices in the development and coordination of administrative procedures and forms.

b. Serves as the point of contact in the prosecutor's office for resolving administrative problems, responding to emergencies, and assisting officials from other agencies when the prosecutor is not available.

c. Where there are several assistant prosecutors, investigators or other professional employees in the prosecutor's office, provides internal liaison and coordination support.

7. Record Keeping and Case Documentation

a. Maintains or monitors maintenance of Case Progress Dockets, calendar records, and witness records.

b. Records or monitors recording of court transactions.

c. Records or monitors recording of transactions which occur between court events and outside the courtroom.

d. Reviews case jackets to ensure that all documents have been properly processed or acted upon and copies distributed.

8. Preparation of Reports and Statistics

A paralegal might also be the logical person to compile and prepare operational reports and develop the statistics needed for research purposes, or to administer these activities. Chapter III provides suggestions as to the types of reports and statistics that might be prepared from the records maintained in the PROMIS system, while Chapters IV and V cover recommended procedures for compiling or extracting the data and formatting it for presentation to the prosecutor and the members of the legal staff. Following is a summary of the typical reports and statistics involved:

a. Case status reports, including those covering all pending cases; all cases pending at a specific date; all cases pending at a specific stage for over a given number of days; and all fugitive and outstanding warrant cases.

b. Work load and forecasting data, including number of cases considered, charged, rejected, and charges reduced at case intake; number of cases bound over, dismissed or aborted at preliminary or pretrial hearing; number of cases considered, indicted, rejected, or charges reduced by grand jury; number of motions considered, approved and dismissed; number of cases tried and verdicts; number of cases disposed of by guilty plea, nolo contendere, dismissal, or nolle prosequi; number of pending cases at various stages; number of pending cases assigned each assistant prosecutor and number processed by each during any given period; and number of subpoenas issued, case continuances (postponements), and warrants or summonses issued.

c. Statistics compiled for such purposes as determining whether defendants with comparable criminal histories and charges are given equal treatment; percent of police arrest charges rejected and modified by the prosecutor and the reasons therefor; principal reasons for nolle prosequi and dismissal; effect of time period between arrest and trial or case disposition; effect of curtailing or modifying plea bargaining; patterns and trends in criminal behavior; and effectiveness of pretrial diversion (rehabilitation and correctional programs) with respect to recidivism.

C. Administering a Paralegal Program

It is essential that particular attention be given to determining the precise responsibilities and duties of the paralegals, their selection, instruction, and training. These are responsibilities that must be assumed by the prosecutor manager or a senior member of the staff.

The material presented in this chapter should provide sufficient guidelines and ideas for determining the precise responsibilities and duties to be assigned to the paralegal. It would be advisable to phase in the work gradually, however, making sure that the paralegal becomes proficient in each area before assuming additional responsibilities and duties.

The matter of selecting the paralegal will be governed partly by the types of persons available. While many colleges offer courses for paralegals, the type of training received may not be particularly beneficial for persons working in a prosecutor's office. Most of the paralegal's expertise must be acquired through on-the-job training and experience. Among the most important attributes of a paralegal are above-average intelligence, a quick mind and rapid learning capacity, industriousness, dependability, initiative, ability to get along well with others, and ability to carry out responsibilities with a minimum of supervision. Appendix I, which includes examples of job standards and qualifications for paralegals employed by the Federal Government, should prove helpful in developing guidelines for local application.

1. Guidelines for the Paralegal

Ideally, detailed written instructions should be developed for the paralegals. However, it is realized that most prosecutors would not have the time to do this. Therefore, the following represent the minimum written guidelines that should be developed for each different paralegal position:

- . A position description covering the general responsibilities and duties;
- . A checklist of the specific actions to be taken each day;
- . A checklist of the specific, continuing actions and responsibilities in connection with each case;
- . A list of the tasks the paralegal is not to do (i.e., those reserved for the attorneys and secretarial and clerical personnel);

- . A list of the common problems that arise and how to dispose of them;
- . General information about the statutes, codes, rules and procedures pertinent to the position and a list of the reference tools the paralegal should use in learning the job and carrying out responsibilities.

2. Guidelines for the Attorney Staff

It is to be expected that unless special attention is given the matter, paralegals may be assigned duties other than those intended, and that this situation will grow worse with the passage of time. Therefore, the prosecutor may not realize the full potential of the paralegal position, and the paralegal may become disillusioned and disgruntled with the job. To minimize these risks, it is recommended that the following guidelines be prepared for attorney staff:

- . Basic rules on how the attorneys are to use the capabilities of the paralegal.
- . A list of those responsibilities and duties the attorney will no longer perform, but instead will delegate to the paralegal.
- . A list of those responsibilities and duties which either the attorney or the paralegal can perform, at the option of the attorney. (The attorney should be careful to make sure that there is complete agreement and understanding between himself and the paralegal in these matters.)
- . A list of those responsibilities and duties which the paralegal is not to perform, including those which only the attorney can perform and those which are to be done by secretarial or clerical personnel.

One of the problems frequently faced by the paralegal is that of having more than one boss. Therefore, it is necessary to determine in advance: first, who will be responsible for general supervision in such matters as hours of duty, time and attendance, and work assignments; and second, which members of the staff will be responsible for technical supervision and training. These arrangements should be made clear to the staff and the paralegal from the outset; otherwise, there is likely to be a great deal of confusion caused by conflicting, inconsistent instructions. Finally, it is

suggested that if more than one type of paralegal position is established, the incumbents be rotated to assure adequate backup for each position, to give the paralegals a better understanding of the work of the office and thus become more knowledgeable, useful employees, and to make their jobs more interesting and challenging.

Appendix A

EXAMPLES OF FLOWCHARTING METHODS

	<u>Page</u>
A-1: How are Flowcharts Prepared?	183
A-2: Florida State Courts System: Typical Workflow - Civil Cases - Circuit and County Courts	189
A-3: Checklist for Layout Flow Charts	191
A-4: Prosecutorial System of the DC Superior Court	193
A-5: Case Jacket Flow	195

CONTINUED

2 OF 4

How are flowcharts prepared ?

Only a few basic rules are involved in preparing flowcharts:

TITLE The chart should be headed with a title that clearly states the name of the unit being surveyed and the process under investigation. The columnar headings of the chart should show the office or work unit involved.

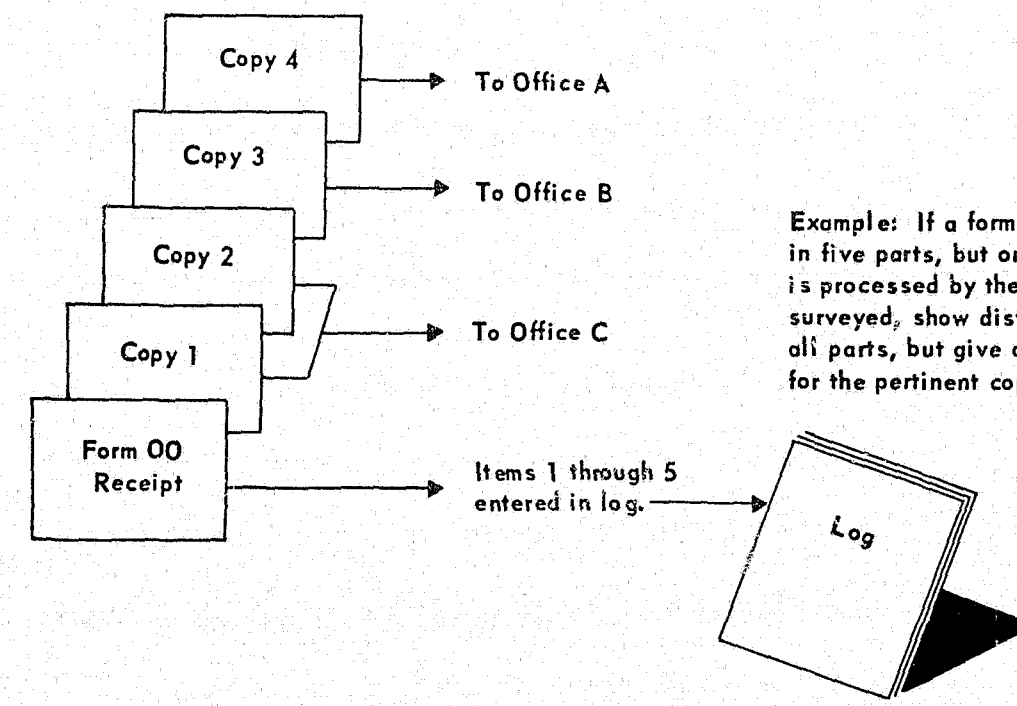
SYMBOL IDENTIFICATION Don't force the reader to guess at the meanings of any symbol. Show inside of them what they represent.

ACCURACY A flowchart should show exactly how a job is done or how it is proposed to be done. It is the analyst's duty to picture the work exactly as he sees it - or proposes it - based on careful observation and analysis.

BREVITY Don't worry about rules of grammar. Just make certain that explanations are brief, clear, and to the point. Use the explanations to make understandable the procedural steps covered by the symbols.

ELIMINATE BACKTRACKING Have continuous flow. If a document flows back to an office later in the procedure, make a new column on the chart for that step.

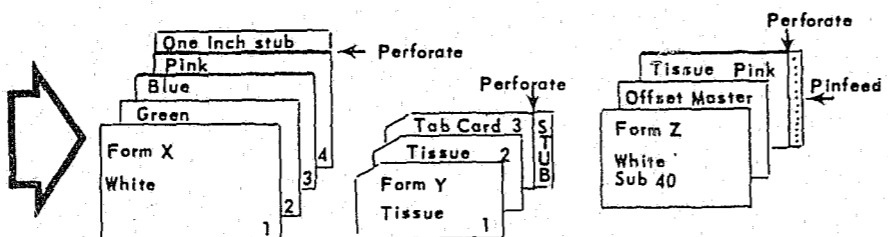
ELIMINATE MINUTIAE Don't go into elaborate details unless they are vital to your explanations.



Example: If a form is prepared in five parts, but only one part is processed by the office being surveyed, show distribution of all parts, but give details only for the pertinent copy.

Use your template to illustrate:

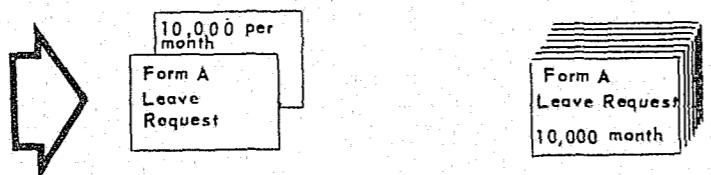
Construction of form sets



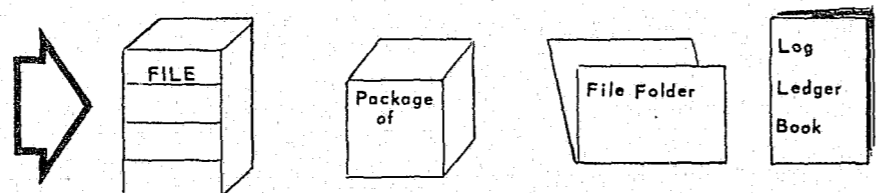
Number and distribution of copies



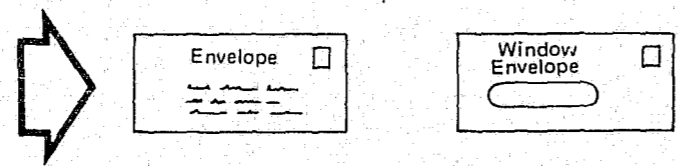
Volume of papers



Three-dimensional objects



To highlight improved practices



Where do you start ?

STEP ONE

GATHER THE FACTS

First you must gather data for your flowchart. Write down, step by step, every operation involved in the procedures in question. Where possible, obtain statistical data such as time required to process, number of transactions processed daily, weekly, etc., number of persons performing identical tasks, number of edits, etc.

Talk to people. By discussing a situation with others you win their confidence. They are more cooperative and they often contribute ideas for improvements.

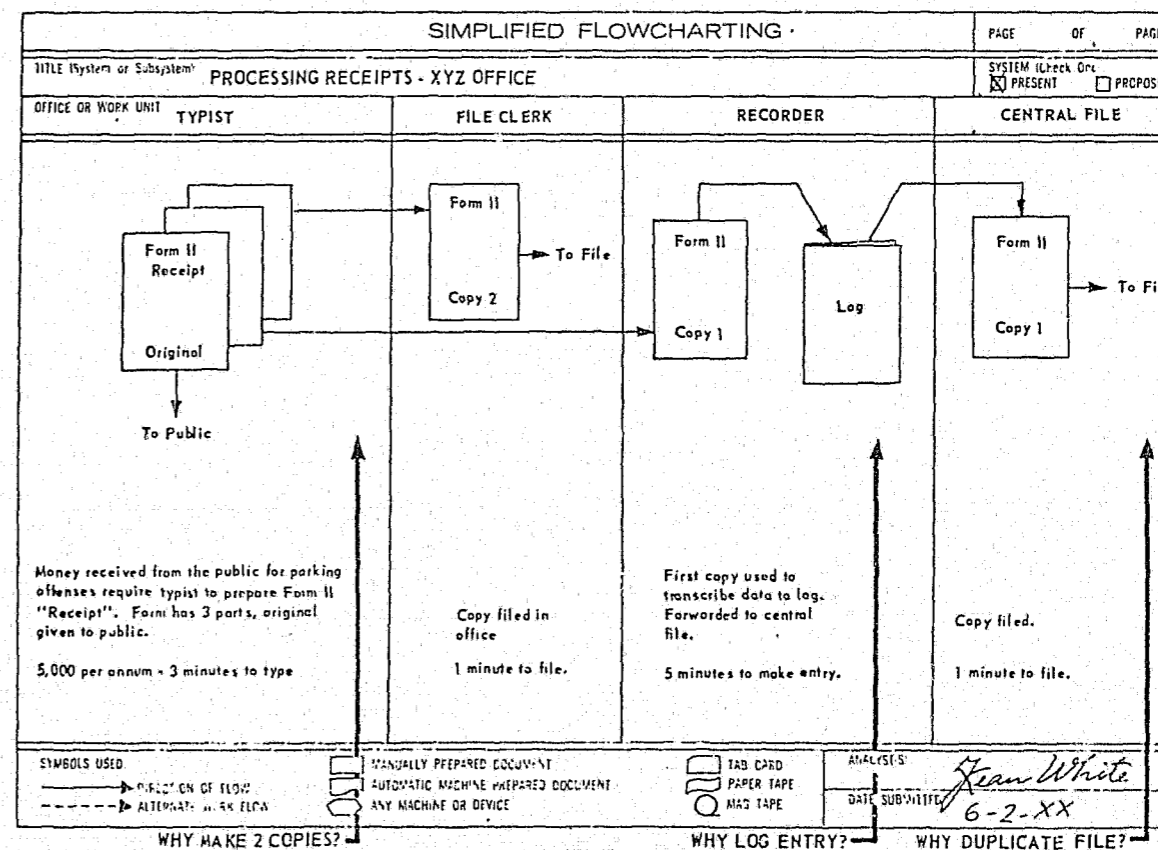
STEP TWO

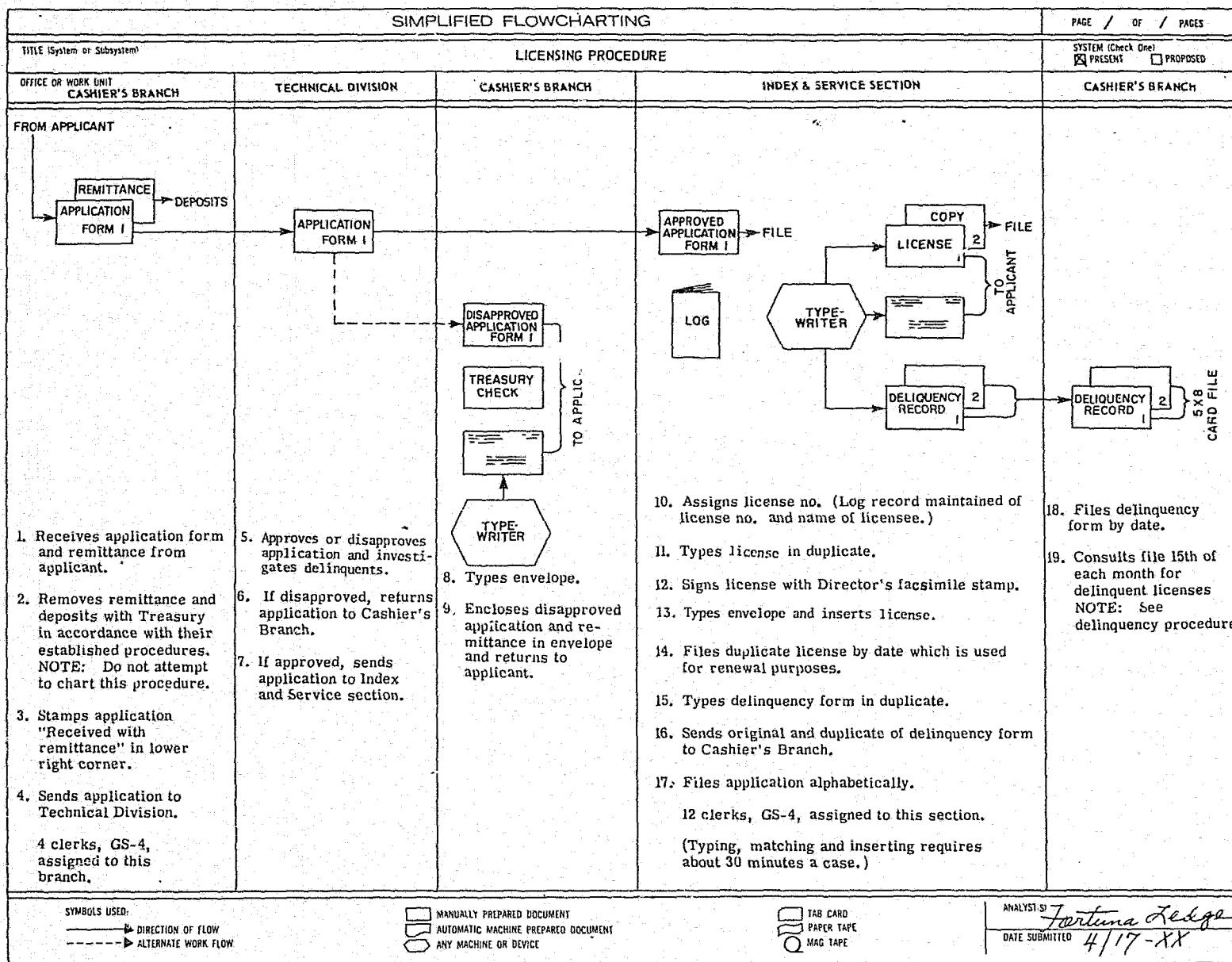
ANALYZE THE FACTS

After you have the procedures roughed out draft a preliminary flowchart. There will be some areas which can obviously be improved. Duplicated efforts, bottlenecks, too many reviews, overlapping duties, unnecessary work steps, etc., are often revealed when you can visualize the procedures shown on the preliminary flowcharts.

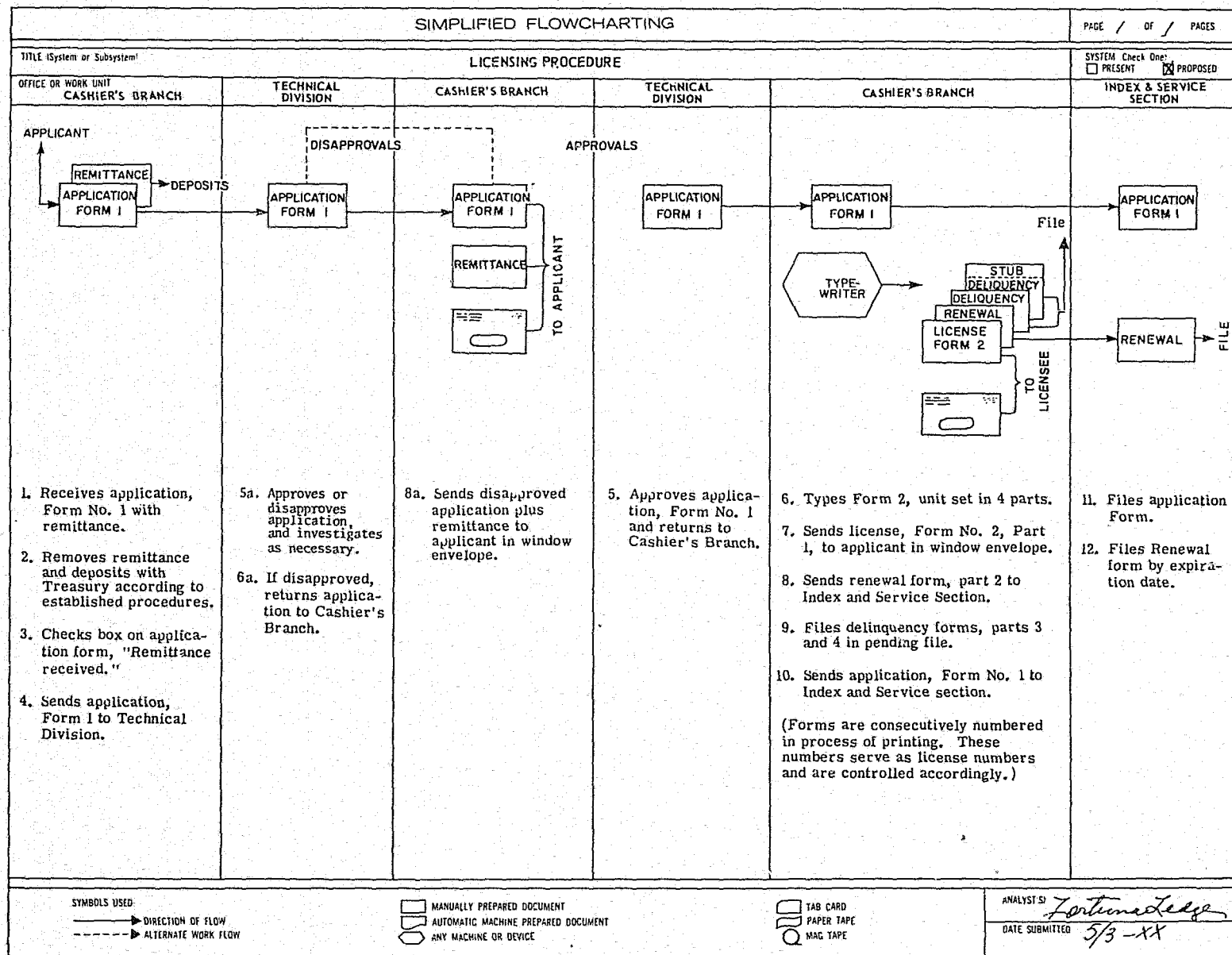
EXAMPLE OF PINPOINTING AREAS FOR IMPROVEMENT

Ask yourself "WHY" to every operation shown. (See next page for checklist of questions which will help you.)





Example of Flowchart of Present System



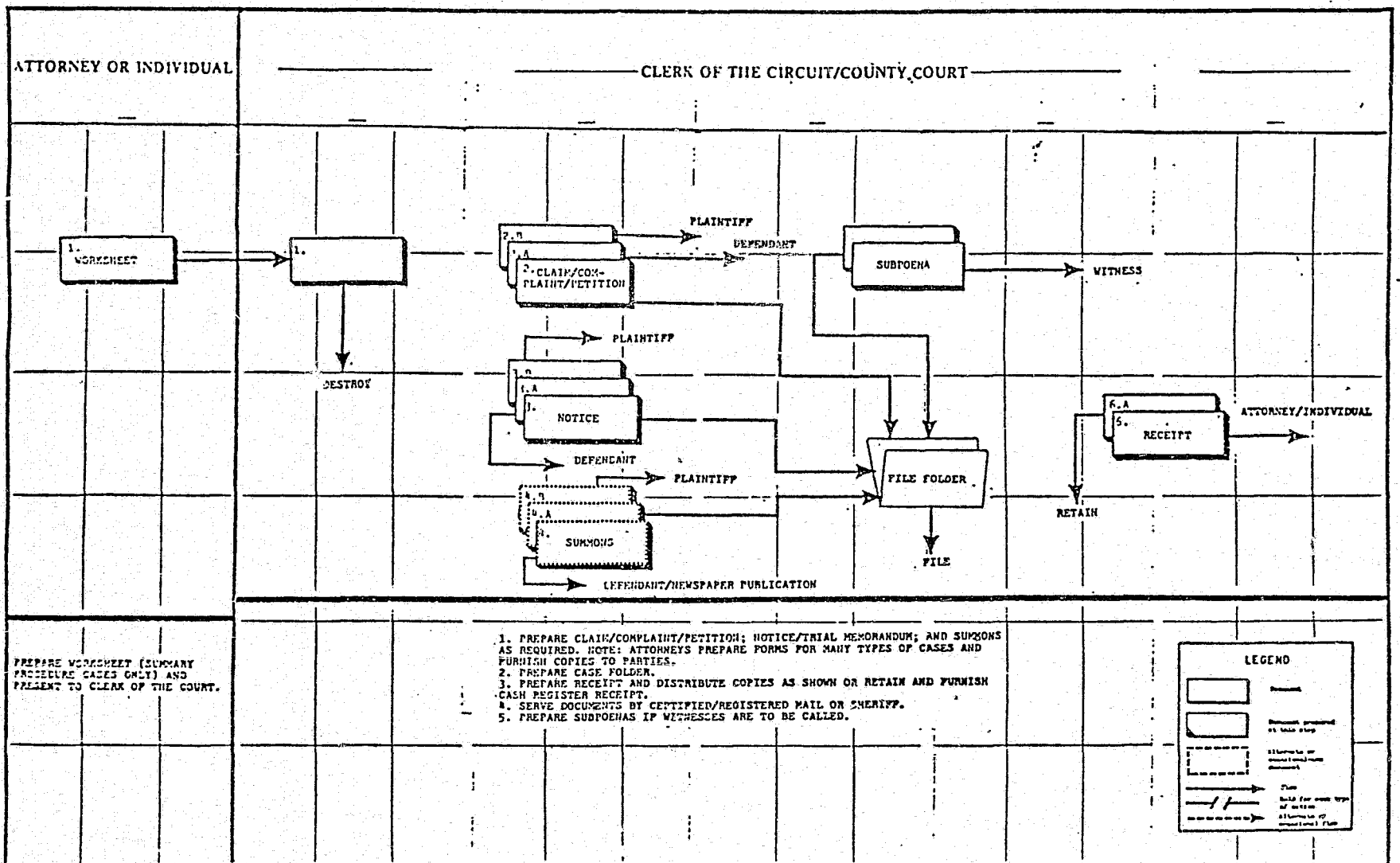
Example of Flowchart of Improved System

Appendix A-2

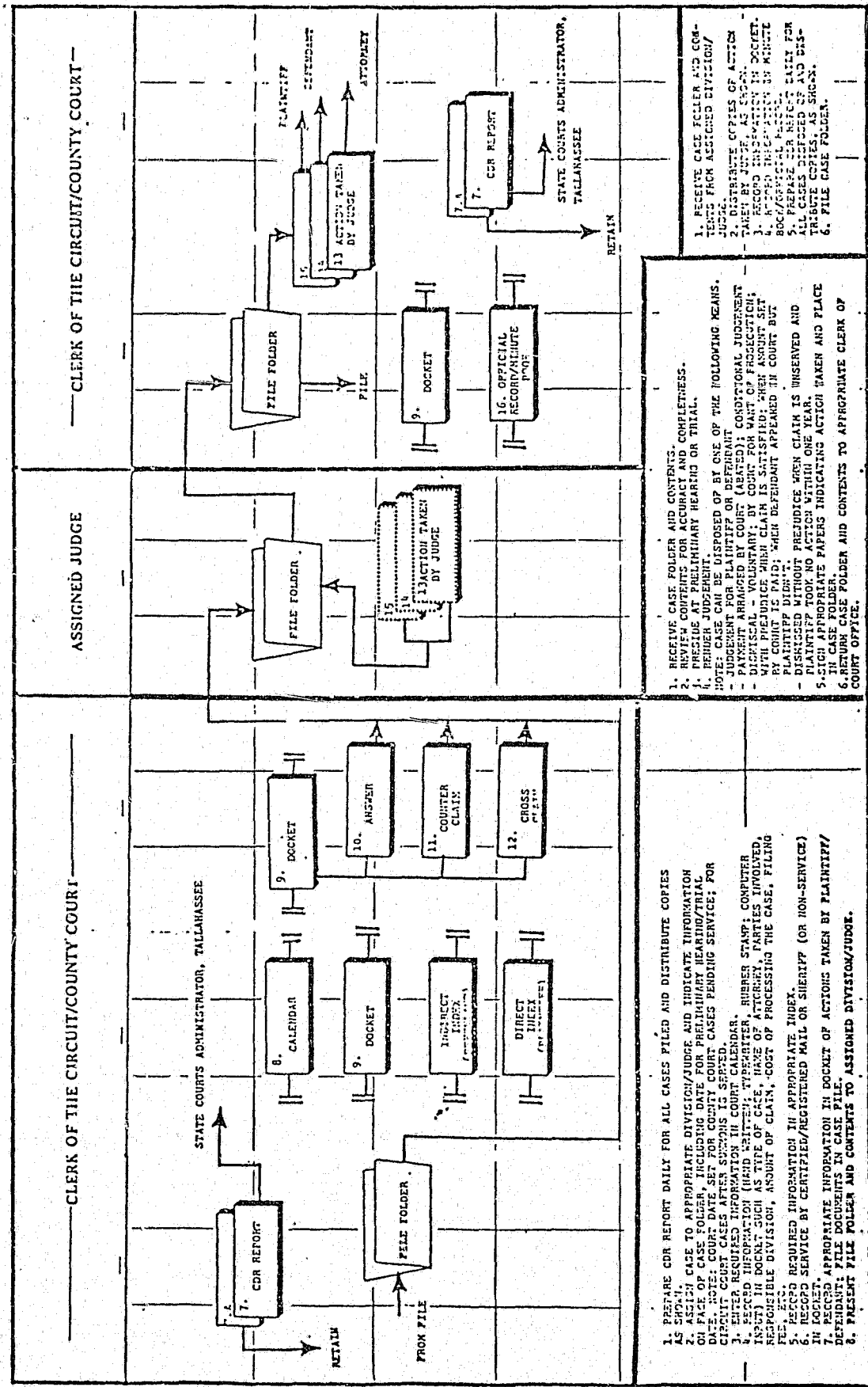
FLORIDA STATE COURTS SYSTEM
TYPICAL WORKFLOW - CIVIL CASES - CIRCUIT AND COUNTY COURTS

FIGURE 4-1
page 1 of 2

-189-



FLORIDA STATE COURTS SYSTEM
TYPICAL WORKFLOW - CIVIL CASES - CIRCUIT AND
COUNTY COURTS



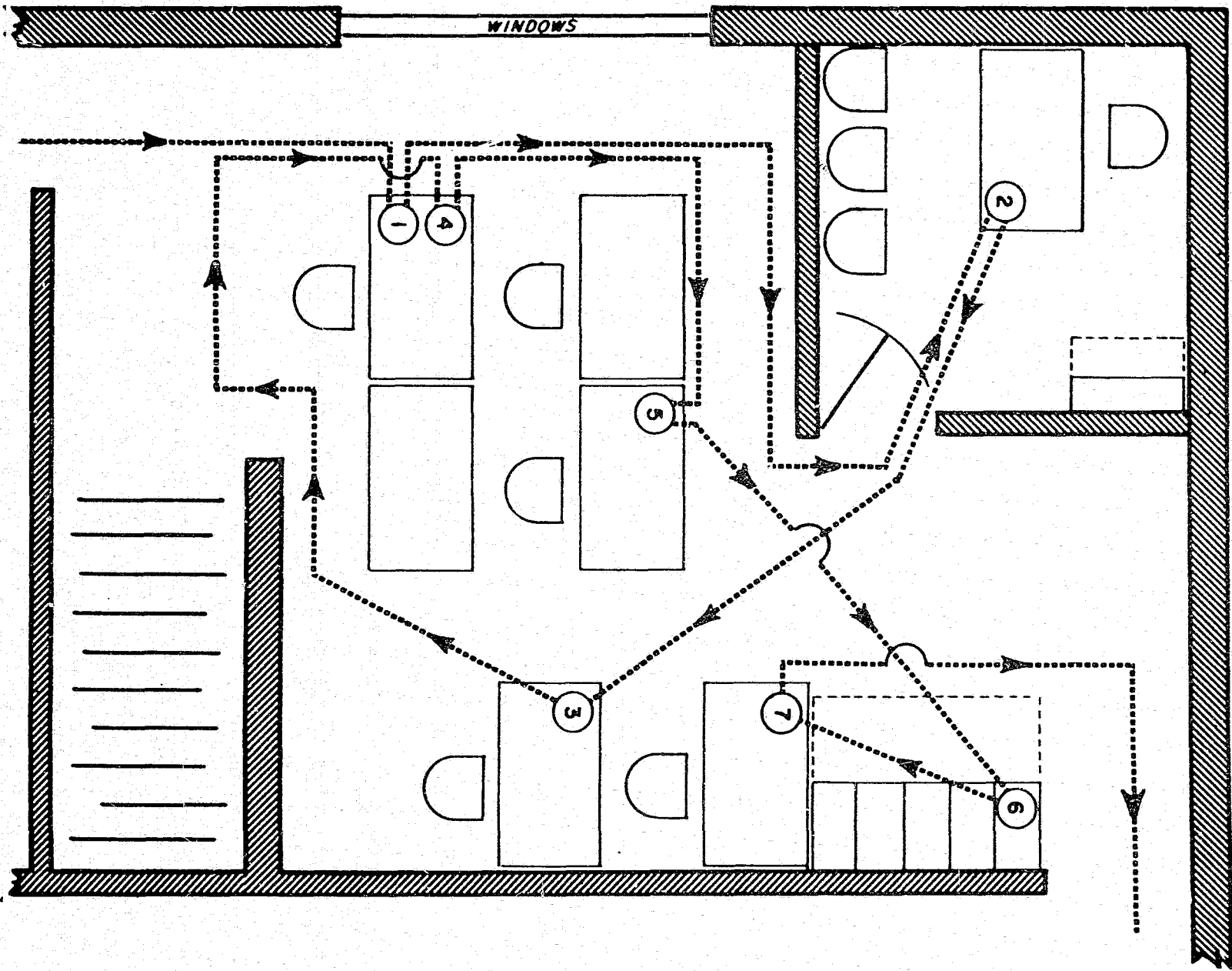
1. PREPARE CDR REPORT DAILY FOR ALL CASES FILED AND DISTRIBUTE COPIES AS SHOWN.
2. ASSIGN CASE TO APPROPRIATE DIVISION/JUDGE AND INDICATE INFORMATION ON FACE OF CASE FOLDER, INCLUDING DATE FOR PRELIMINARY HEARING/TRIAL DATE. NOTE: COURT DATE SET FOR COUNTY COURT CASES PENDING SERVICE; FOR CIVIL CASES PENDING SERVICE IN COUNTY COURT.
3. RECORD INFORMATION (HAND WRITTEN; TYPEWRITER, RUBBER STAMP; COMPUTER INPUT) IN DOCKET SUCH AS TYPE OF CASE, NAME OF ATTORNEY, PARTIES INVOLVED, RESPONSIBLE DIVISION, AMOUNT OF CLAIM, COST OF PROCESSING THE CASE, FILING FEE, ETC.
4. RECORD REQUIRED INFORMATION IN APPROPRIATE INDEX.
5. RECORD SERVICE BY CERTIFIED/REGISTERED MAIL OR SHERIFF (OR NON-SERVICE) IN DOCKET.
6. APPROPRIATE INFORMATION IN DOCKET OF ACTIONS TAKEN BY PLAINTIFF/DEFENDANT; FILE DOCUMENTS IN CASE FILE.
7. PRESENT FILE FOLDER AND CONTENTS TO ASSIGNED DIVISION/JUDGE.

1. RECEIVE CASE FOLDER AND CONTENTS. COMPLETENESS.
2. REVIEW FOR CORRECTNESS OF PRELIMINARY HEARING OR TRIAL.
3. RETURN JUDGMENT.
NOTE: CASE CAN BE DISPOSED OF BY ONE OF THE FOLLOWING MEANS.
- JUDGMENT FOR PLAINTIFF OR DEFENDANT
- PAYMENT ARRANGED BY COURT (ABATED); CONDITIONAL JUDGMENT
- DISCRETIONAL - VOLUNTARY; BY COURT FOR WANT OF PROGRESS WITH PLAINTIFF OR WHEN CLAIM IS DISMISSED BY COURT
- PLAINTIFF WITHDRAWN; WHEN DEFENDANT APPEARED IN COURT BUT DISMISSED WITHOUT PREJUDICE WHEN CLAIM IS UNSERVED AND PLAINTIFF TOOK NO ACTION WITHIN ONE YEAR.
5-SUCH APPROPRIATE PAPERS INDICATING ACTION TAKEN AND PLACE IN CASE FOLDER.
6. RETURN CASE FOLDER AND CONTENTS TO APPROPRIATE CLERK OF COURT OFFICE.

1. RECEIVE CASE FOLDER AND COMMENTS FOR ASSIGNED DIVISION/
2. DISMISSED COPIES OF ACTION TAKEN BY JUDGE, AS SHOWN.
3. RECORD INFORMATION IN DOCKET.
4. APPROPRIATE INFORMATION BY MINUTE BOOK/OFFICIAL RECORD.
5. PREPARE CDR REPORT AS SHOWN.
6. PREPARE COPIES AS SHOWN.
7. FILE CASE FOLDER.

Appendix A-3
CHECK LIST FOR LAYOUT FLOW CHARTS

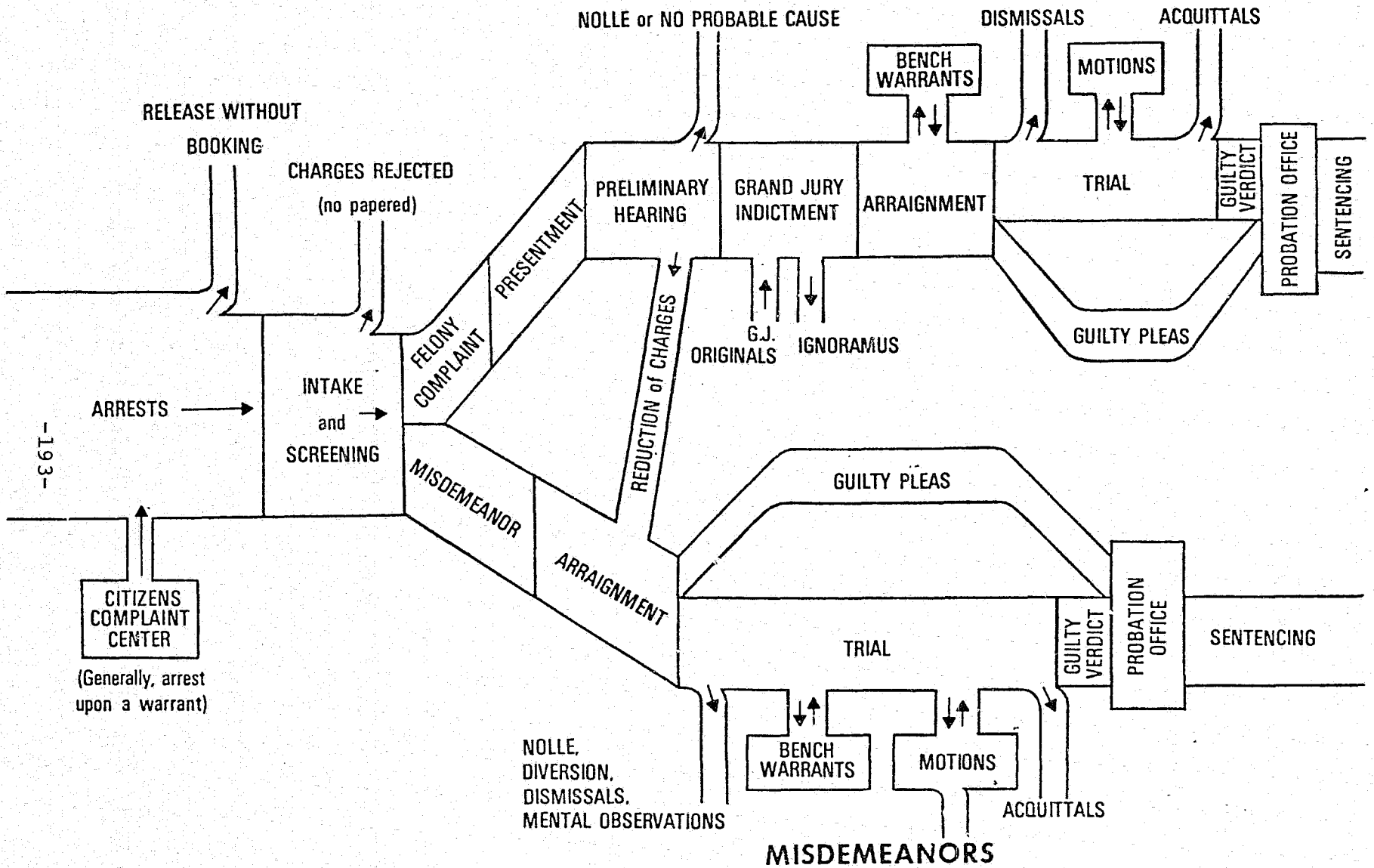
1. Does the flow follow a relatively straight line with minimum back-track and cross over?
2. Has the flow of other systems and procedures been considered?
3. Have private office allocations been minimized and made in accordance with criteria other than grade level?
4. Does furniture and equipment spacing consider at least minimum allowances?
5. Does the layout consider person-person and person-equipment work flow relationships?
6. Is there excess furniture and equipment which should be turned in to provide more area and be available to other users?
7. Has the reflectancy factor been given consideration in color and texture in the area?
8. Does equipment and furniture open into traffic aisles?
9. Is the ventilation, humidity and temperature suitable in view of the nature of the work?
10. Has excessive noise been minimized by prevention, isolation or deadening?
11. Are desks placed so as to not face windows, entrances or traffic aisles, other desks (face to face or back to back) or receive excessive drafts from air conditioning equipment?
12. Are aisles of at least minimum width to accommodate average traffic?
13. Does the layout recognize the nature of the work such as confidential or security considerations?
14. Is the color and light adequate for the work process?
15. Does the layout comply with applicable fire standards?
16. Has the layout been evaluated in terms of applicable space utilization measure factors?



SPECIMEN LAYOUT FLOW CHART

Appendix A-4

FELONIES



PROSECUTORIAL SYSTEM OF THE D.C. SUPERIOR COURT

Appendix A-5

Case Jacket Flow

MISDEMEANOR CASES

Intake through Arraignment

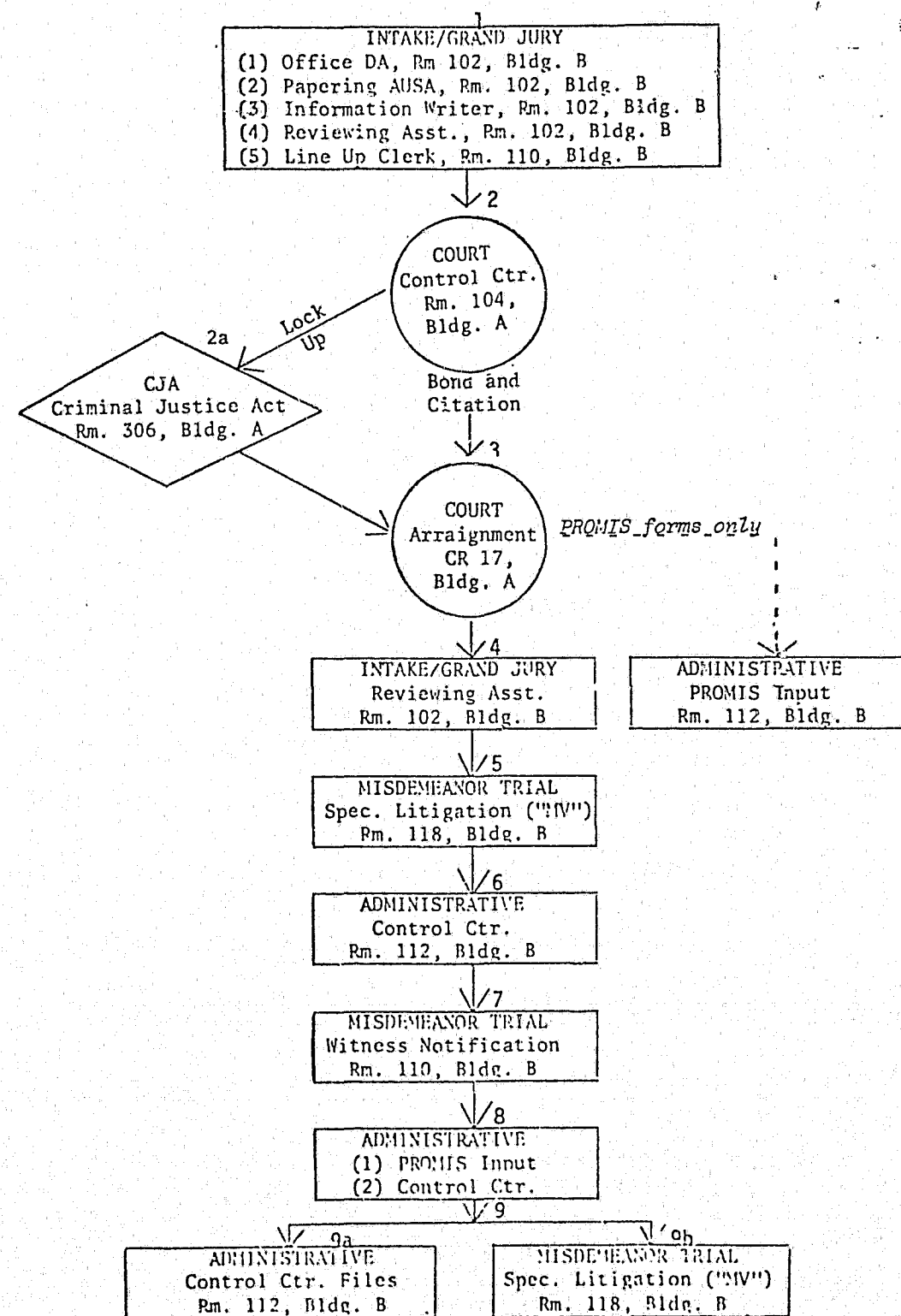


CHART A-1

1. Intake/Grand Jury

(1) Office DA

The office "DA" is a legal paraprofessional. He is the initial intake point for police prosecution reports (PD 163). Checks for completion of paper work. Schedules papering interviews in misdemeanors. Makes PROMIS pending case inquiry and WALES check for outstanding warrants via computer terminal. Refers felony cases to felony section. Begins preparation of case jacket.

(2) Papering AUSA

- Interviews P.O. and witnesses.
- determines charges to be brought, if any.
- completes the Processing and Trial Preparation Worksheet (USAS-2), case jacket (USAS-1) and related forms.
- takes all action necessary for case preparation such as ordering additional investigation, line-ups, etc.

(3) Information writers

- Receive the case after preparation by the papering AUSA.
- choose the correct information form or forms according to the charges selected by the papering AUSA.
- complete the informations and insert in the jacket.
- check the jacket for completeness and arrangement of required documents.

(4) Reviewing Assistant

- Ensures accountability for all cases scheduled for arraignment or presentment.
- reviews the case for legal sufficiency of the charging decision.
- He exercises approval authority in all matters requiring approval and or filing by the United States Attorney.

(5) Line-up Clerk

- Arranges and schedules line-ups and prepares and files requests for court orders.
- files requests for orders for handwriting, fingerprints and blood analyses, ballistics tests, chemical analysis and other laboratory tests.

2. Court

- Police officer takes the case jacket to the Court's numbering desk where a serialized docket number is assigned.

Jackets for cases in which the defendant is in the lock-up are sent to the criminal Justice Act (CJA) Office where defense counsel are assigned for indigent defendants.

3. Arraignment Court

U.S. Attorney's case jackets and court case jackets are received from the court's numbering desk or CJA. The court receives the Bail Agency report. Defense counsel enters his appearance.

- The charges are read
- Plea entered
- Jury trial demanded or waived
- Release conditions set
- Date set for trial.

PROMIS update coding sheets are prepared for each case by the paraprofessional assigned to the courtroom. He also reviews case jacket entries made by the AUSA for completeness and accuracy and resolves inconsistencies.

4. Reviewing Assistant

After arraignment, the reviewing assistant accounts for all cases appearing on the lock-up, citation, bond, and late van lists for that day. He determines that all cases have been properly handled.

4A. Copies of the Crime Analysis Worksheet for PROMIS, the Police Prosecution Report, the Processing and Trial Preparation Worksheet, Witness worksheet, and the PROMIS update coding sheet are delivered to the Data Entry section for initial entry into PROMIS. The material is coded and entered in machine readable format on magnetic tapes which are delivered to the Department of Justice for overnight processing.

5. Special Litigation Team ("Major Violators")

All cases are reviewed by the chief of the special litigation team for potential special assignment to a team member for pre-trial preparation. Those selected are prepared through witness interview, documentation and investigation. Except in rare instances, the members of the team do not try the cases.

6. Control Center

All case jackets are delivered to the file control center where they are again accounted for by comparison with the annotated lock-up, bond, and citation lists.

7. Witness Notification Section

Subpoenas are dated and mailed to witnesses. Subpoenas returned as undeliverable are referred by the witness notification unit to the Police Liaison office. In short continuances, witnesses are notified by telephone.

8. Administration

(1) PROMIS Input

After return from the witness Notification Section, the name of the AUSA in specially assigned ("MV") cases is entered in the PROMIS record for each case.

(2) Control Center

Cases are sorted into specially assigned and routine categories. Charge-out cards are prepared for each case. The name of the AUSA in specially assigned cases are entered on the charge-out card.

9A. Routine Cases

Those case jackets not specially assigned are filed in the open case file in court case number sequence.

9B. Special Litigation ("MV")

Cases specially assigned are returned to the Special Litigation Team where they are kept until the day of trial. The AUSA specially assigned takes cognizance of all pre-trial matters.

The charge-out cards are filed in case number sequence in the open case file.

Appendix B

SAMPLES OF PERFORMANCE EVALUATION CRITERIA

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PROMOTION APPRAISAL <i>(Supervisory and Non-Supervisory Personnel)</i>		APPRAISAL PERIOD FROM _____ TO _____
NAME OF EMPLOYEE	SERIALS AND GRADE	POSITION TITLE
ORGANIZATION DESIGNATION (Service, division, branch, etc.)		CITY AND STATE

INSTRUCTIONS

- Check the appropriate box below for the category of person being appraised.
- Do NOT check factors which are not applicable to the job.
- Meaningful distinctions between candidates depend on fair and objective appraisals of their performance by rating officials and critical surveillance by the raters' superiors. To assist both, the cues appearing below are defined here:
 - A. WORK PERFORMANCE - WORK MANAGEMENT**
 - (1) ALWAYS MEETS - No exceptions - a rarity even in outstanding employees.
 - EXCEEDS MOST OF THE TIME - In at least 50% of cases - exceptional employee.
 - (2) MEETS MOST OF THE TIME - In at least 50% of cases.
 - EXCEEDS SOME OF THE TIME** - In at least 1 of 4 cases - to be expected from some.
 - (3) MEETS MOST OF THE TIME - In at least 50% of the time but rarely exceeds - close to or a bit above average employee.
 - (4) MEETS NOW AND THEN - less than half the time.
- B. CHARACTERISTICS - PERSONNEL MANAGEMENT**
 - (1) ALWAYS TRUE - No exceptions - a rarity.
 - (2) TRUE MOST OF THE TIME - At least 50% of the time and always true in crucial or significant situations.
 - (3) TRUE MOST OF THE TIME WITH IMPORTANT EXCEPTIONS - At least 50% of the time but not true in all crucial or significant situations.
 - (4) TRUE SOME OF TIME - Up to half the time.
 - (5) RARELY OR NEVER TRUE - Self-explanatory.

<input type="checkbox"/> NON-SUPERVISORY PERSONNEL		<input type="checkbox"/> SUPERVISORY PERSONNEL	
A. WORK PERFORMANCE <i>(Meeting requirements of job)</i>		A. WORK MANAGEMENT <i>(Supervisor's performance in his job)</i>	
1. QUANTITY OF WORK PERFORMED	ALWAYS MEETS AND EXCEEDS MOST OF THE TIME	MEETS MOST OF THE TIME AND EXCEEDS SOME OF THE TIME	MEETS MOST OF THE TIME
2. QUALITY OF WORK PERFORMED			MEETS NOW AND THEN
B. CHARACTERISTICS		B. PERSONNEL MANAGEMENT	
1. DEFENDABILITY	a. PRESENT WHEN NEEDED	ALWAYS TRUE	TRUE MOST OF THE TIME
	b. REQUIRES MINIMUM SUPERVISION	TRUE MOST OF THE TIME	TRUE MOST OF THE TIME WITH IMPORTANT EXCEPTIONS
2. MAINTAINS GOOD WORK RELATIONS WITH SUPERVISOR AND FELLOW WORKERS		TRUE SOME OF THE TIME	RARELY OR NEVER TRUE
3. SEEKS IMPROVEMENT IN JOB METHODS			
4. LEARNS QUICKLY - NEW ASSIGNMENTS, IDEAS, METHODS, TECHNIQUES, JOB REQUIREMENTS			
5.			
6.			
7.			
8.			

RATING OFFICIAL (Signature and Date) _____ REVIEWING OFFICIAL (Signature and Date) _____

FEDERAL SERVICES ADMINISTRATION (Use reverse for any remarks) GSA

Appendix B-2

APPRAISAL OF EMPLOYEE FOR PROMOTION TO NONSUPERVISORY OR FIRST LEVEL SUPERVISORY POSITION						
NAME OF EMPLOYEE		INSTRUCTIONS An employee's performance in the present position or assignment will be rated <i>only</i> on those factors that are directly related to the requirements of the position to be filled. The rating factors checked below represent these requirements. Check the gradation that reflects the employee's performance in the identified factors and sign and date the form. Single appraisals must be reviewed by a higher level supervisor.				
PRESENT POSITION AND GRADE						
STATION NAME AND LOCATION						
RATING FACTOR	PERFORMANCE LEVEL					NOT OBSERVED
<input type="checkbox"/> 1. Amount of work produced. (Consider the work produced in relation to requirements of the position.)	<input type="checkbox"/> A. Work output is far below level expected.	<input type="checkbox"/> B. Work output is slightly below level expected.	<input type="checkbox"/> C. Work output meets requirements.	<input type="checkbox"/> D. Work output exceeds requirements in most cases.	<input type="checkbox"/> E. Work output consistently exceeds requirements.	<input type="checkbox"/> F.
<input type="checkbox"/> 2. Acceptability of work.	<input type="checkbox"/> A. Work frequently has to be redone.	<input type="checkbox"/> B. Work occasionally must be redone.	<input type="checkbox"/> C. Work is generally acceptable.	<input type="checkbox"/> D. Work is of high quality.	<input type="checkbox"/> E. Work is of exceptional quality.	<input type="checkbox"/> F.
<input type="checkbox"/> 3. Application to the job and the extent of supervision and direction required.	<input type="checkbox"/> A. Work habits are irregular. Requires considerable supervision.	<input type="checkbox"/> B. Get behind schedule unless closely supervised.	<input type="checkbox"/> C. Completes work with normal supervision.	<input type="checkbox"/> D. Completes work with minimal supervision.	<input type="checkbox"/> E. Consistently completes assignment with minimal supervision and seeks out additional assignments.	<input type="checkbox"/> F.
<input type="checkbox"/> 4. Compliance with rules and approved procedures.	<input type="checkbox"/> A. Disregards rules and procedures so frequently that disciplinary action is warranted.	<input type="checkbox"/> B. Occasionally fails to comply and must be reminded of responsibilities.	<input type="checkbox"/> C. Complies with clearly defined requirements.	<input type="checkbox"/> D. Not only complies with requirements but makes an effort to follow their intent.	<input type="checkbox"/> E. Follows full intent of rules and procedures and inspires other to do so.	<input type="checkbox"/> F.
<input type="checkbox"/> 5. Ability to establish and maintain effective work relationships.	<input type="checkbox"/> A. Gets along fairly well with some people but often antagonizes and irritates others.	<input type="checkbox"/> B. Occasionally creates problems through lack of diplomacy.	<input type="checkbox"/> C. Maintains satisfactory work relationships with most people.	<input type="checkbox"/> D. Maintains effective work relationships with all types of people.	<input type="checkbox"/> E. Is highly effective in dealing with all types of people, even in most difficult situations.	<input type="checkbox"/> F.
<input type="checkbox"/> 6. Effectiveness of skills and degree of job knowledge.	<input type="checkbox"/> A. Exhibits deficiencies in essential job knowledge. Depends largely on others.	<input type="checkbox"/> B. Demonstrates minimum knowledge of job. Rarely has ideas for improving work methods.	<input type="checkbox"/> C. Has satisfactory knowledge of job. Recognizes need to improve work methods.	<input type="checkbox"/> D. Has better than average knowledge of job. Looks for methods to improve work.	<input type="checkbox"/> E. Has exceptional knowledge of job. Independently solves many of the problems presented by the job.	<input type="checkbox"/> F.
<input type="checkbox"/> 7. Acceptance of instructions and direction.	<input type="checkbox"/> A. Often resists instructions or directions.	<input type="checkbox"/> B. Occasionally resists instructions or directions and supervisory decisions.	<input type="checkbox"/> C. Normally accepts and follows supervisory direction.	<input type="checkbox"/> D. When requested, readily accepts and performs additional assignments. Works well as a team member.	<input type="checkbox"/> E. Recognizes and assumes additional assignments without being told. Strongly supports supervisory authority.	<input type="checkbox"/> F.

RATING FACTOR (Continued)	PERFORMANCE LEVEL			NOT OBSERVED
	A	B	C	
<input type="checkbox"/> 8. Ability to present ideas logically, clearly, and concisely in writing.	<input type="checkbox"/> A. Needs assistance to express thoughts and ideas.	<input type="checkbox"/> B. Works slowly but eventually is able to express ideas fairly well.	<input type="checkbox"/> C. Generally completes acceptable written products in a reasonable period of time.	<input type="checkbox"/> E. Is able to communicate in writing exceptionally well.
<input type="checkbox"/> 9. Ability to present ideas orally.	<input type="checkbox"/> A. Has some difficulty with individuals and great difficulty with groups.	<input type="checkbox"/> B. Expresses ideas fairly well with individuals but has some difficulty with groups.	<input type="checkbox"/> C. Normally has little difficulty in presenting ideas orally and getting them across.	<input type="checkbox"/> F. Has exceptional ability to put ideas across with both individuals and groups.
<input type="checkbox"/> 10. Ability to adjust to work changes and pressures.	<input type="checkbox"/> A. Actively resists new or changing situations.	<input type="checkbox"/> B. Has difficulty adjusting to new or changing situations.	<input type="checkbox"/> C. Adjusts satisfactorily to new situations.	<input type="checkbox"/> F. Is extremely flexible in adjusting to sound proposals and inspires others to do the same.
<input type="checkbox"/> 11. Ability to make decisions.	<input type="checkbox"/> A. Has difficulty in grasping important aspects of problems and frequently makes unsound decisions.	<input type="checkbox"/> B. Struggles with problems for lack of ideas but usually comes up with sound solutions.	<input type="checkbox"/> C. Generally is able to identify all essential facts and make sound decisions.	<input type="checkbox"/> F. Demonstrates exceptional ability to make sound decisions and anticipates developments.
<input type="checkbox"/> 12. Ability to think along original lines and to find new ways of doing things.	<input type="checkbox"/> A. Shows little initiative and originality.	<input type="checkbox"/> B. Follows established methods and procedures, but rarely proposes a change.	<input type="checkbox"/> C. Questions established methods and procedures when difficulties arise, and generally proposes acceptable solutions.	<input type="checkbox"/> F. Is constantly alert to improving ways of doing things, and almost always develops better methods and procedures.
<input type="checkbox"/> 13. Observance of safe work habits.	<input type="checkbox"/> A. Disregards safe working practices.	<input type="checkbox"/> B. Must occasionally be warned about common hazards.	<input type="checkbox"/> C. Works with reasonable care.	<input type="checkbox"/> F. Sets example and actively promotes safe practices.
<input type="checkbox"/> 14. Maintenance of materials, tools, and equipment.	<input type="checkbox"/> A. Frequently does not exercise proper care.	<input type="checkbox"/> B. Must be warned occasionally.	<input type="checkbox"/> C. Exercises satisfactory care.	<input type="checkbox"/> F. Exercises exceptional care and practices good preventive maintenance.
SIGNATURE AND TITLE OF APPRAISER				
SIGNATURE AND TITLE OF REVIEWER				
SIGNATURE OF EMPLOYEE (If applicable)				
DATE				

EMPLOYEE PERFORMANCE RATING AND ASSESSMENT RELEVANT TO PROMOTION POTENTIAL <i>(Read Instructions on reverse before completing form.)</i>		POSITION TYPE <input type="checkbox"/> SUPERVISORY <input type="checkbox"/> NONSUPERVISORY	RATING PERIOD FROM TO
NAME OF EMPLOYEE		POSITION TITLE	GRADE
ORGANIZATION (Service, division, branch, etc.)		DUTY STATION	

SECTION I - EMPLOYEE PERFORMANCE RATING

DIRECTIONS FOR COMPLETING SECTION I

Rate all employees on the first four factors and rate supervisors on the fifth and sixth factors as well. **INADEQUATE** - Performance falls so short of requirements that corrective action is urgently required. **MARGINAL** - Performance that is barely satisfactory. **FULLY MEETS REQUIREMENTS** - Performance has been as expected of any average employee in the same position. **EXCEEDS REQUIREMENTS** - Performance has been better than could reasonably be required. **EXCEPTIONAL** - Performance has been so much better than could reasonably be required that it deserves special commendation.

- QUANTITY** - The amount of satisfactory work completed by the employee or by the group that the employee supervises.
- QUALITY** - The excellence of finished work of the employee or the group the employee supervises, regardless of the amount completed.
- COOPERATIVENESS** - Teamwork, willing acceptance of authorized orders or instructions and willing assistance to coworkers in the interest of meeting group objectives.
- DEPENDABILITY** - Availability when needed; punctuality; ability to work effectively without close supervision.
- DEVELOPMENT OF SUBORDINATES** - Ability to help subordinate employees in improving their ability to perform assigned duties.
- AFFIRMATIVE ACTION FOR EQUAL EMPLOYMENT OPPORTUNITY** - Ability to identify, utilize, and/or recommend the highest talents of all employees without regard to race, color, religion, sex, national origin, age, or physical handicap.

	SATISFACTORY				
	INADEQUATE	MARGINAL	FULLY MEETS REQUIREMENTS	EXCEEDS REQUIREMENTS	EXCEPTIONAL
1. QUANTITY					
2. QUALITY					
3. COOPERATIVENESS					
4. DEPENDABILITY					
5. DEVELOPMENT OF SUBORDINATES					
6. AFFIRMATIVE ACTION FOR EQUAL EMPLOYMENT OPPORTUNITY					

OVERALL PERFORMANCE RATING UNSATISFACTORY SATISFACTORY OUTSTANDING

SECTION II - ASSESSMENT OF ABILITIES AND TRAITS RELEVANT TO PROMOTION POTENTIAL

DIRECTIONS FOR COMPLETING SECTION II

The employee must be rated on the first six items. Rate the employee on any of the remaining items for which you have sufficient information to make an evaluation. Supervisors should be rated on all factors. Refer to OAD P 3630.1A, Chapter 3, Part 2, for definitions of assessment ratings.

- JUDGMENT** - Choosing the best way to accomplish work; deciding when and from whom to seek advice; choosing best alternatives in decision making.
- PROBLEM SOLVING** - Defining and analyzing problems; using all necessary means to solve problems; resourcefulness; ability to improvise.
- INITIATIVE** - Self-starting action; assuming responsibility; self-reliance; independently recognizing unassigned requirements and recommending action.
- FOLLOWING THROUGH ON ASSIGNMENTS** - Pursuing work to conclusion; coordinating various tasks involved in getting a job done; meeting deadlines.
- LEARNING CAPACITY** - Understanding job procedures and instructions; speed and retention of learning; profiting from past mistakes; applying basic knowledge to new situations.
- ADAPTABILITY** - Shifting readily to other tasks or assignments; transferring and applying skills and knowledge to changes in the job.
- PLANNING AND ORGANIZING** - Setting goals; organizing resources to achieve goals; establishing timetables to accomplish tasks.
- COMMUNICATING ORALLY** - Effectively presenting ideas; persuading others; clarity.
- COMMUNICATING IN WRITING** - Effectively presenting ideas; persuading others; clarity; proper use of grammar and punctuation; skill in developing reports.
- CREATIVITY** - Contributing new or different ideas; developing new procedures.
- LEADERSHIP** - Inspiring teamwork and productivity; delegating responsibility; maintaining discipline; utilizing others effectively.

	LESS THAN AVERAGE	AVERAGE	ABOVE AVERAGE	SUPERIOR	UNABLE TO DETERMINE
	1. JUDGMENT				
2. PROBLEM SOLVING					
3. INITIATIVE					
4. FOLLOWING THROUGH ON ASSIGNMENTS					
5. LEARNING CAPACITY					
6. ADAPTABILITY					
7. PLANNING AND ORGANIZING					
8. COMMUNICATING ORALLY					
9. COMMUNICATING IN WRITING					
10. CREATIVITY					
11. LEADERSHIP					

RATING OFFICIAL (Signature and date)	EMPLOYEE ACKNOWLEDGEMENT OF RECEIPT I have received a completed copy of this form.
REVIEWING OFFICIAL (Signature and date)	SIGNATURE AND DATE

MERIT PROMOTION VACANCY APPLICATION

SECTION I - APPLICATION (Applicant must complete all blocks in this section.)

1. TITLE AND GRADE OF POSITION APPLIED FOR		2. GEOGRAPHICAL LOCATIONS IN WHICH YOU WILL ACCEPT POSITION (City and State)		3. VACANCY ANNOUNCEMENT NO.	
4. NAME OF APPLICANT		5. SERVICE, DIVISION, BRANCH, ETC IN WHICH YOU WORK		6. PRESENT GRADE	
7. DATE YOU RECEIVED PRESENT GRADE	8. NAME OF PRESENT SUPERVISOR	FOR PERSONNEL OFFICE USE ONLY			
		<input type="checkbox"/> ELIGIBLE <input type="checkbox"/> INELIGIBLE (Reason)		SEC. III SENT DATE	SEC. II SENT DATE
9. DATE YOU STARTED WORKING FOR PRESENT SUPERVISOR	10. DATE YOU STARTED WORK IN PRESENT POSITION				
11. REMARKS (If more space is needed, use reverse side)					

12. SIGNATURE		13. DATE OF APPLICATION	
---------------	--	-------------------------	--

SECTION II - NOTICE OF ELIGIBILITY DETERMINATION (Applicant will complete 14, 15, and 19 only)

14. TITLE AND GRADE OF POSITION APPLIED FOR		15. VACANCY ANNOUNCEMENT NO.	
16. YOUR APPLICATION WAS REVIEWED AND YOU ARE:			
(a) <input type="checkbox"/> BASICALLY ELIGIBLE. YOU WILL BE FURTHER EVALUATED WITH OTHER CANDIDATES.			
(b) <input type="checkbox"/> INELIGIBLE BECAUSE YOU DID NOT:			
<input type="checkbox"/> MEET THE TIME-IN-GRADE REQUIREMENT		<input type="checkbox"/> MEET MINIMUM EDUCATION OR EXPERIENCE REQUIREMENTS	
<input type="checkbox"/> OTHER			

19.		17. <input type="checkbox"/> THE POSITION WILL NOT BE FILLED AT THIS TIME.	
		18. DATE OF THIS NOTICE	

APPLICANT: TYPE OR PRINT YOUR NAME AND ADDRESS WITHIN THE 4 DOTS AT LEFT. INCLUDE YOUR ZIP CODE. IF YOU USE YOUR WORK ADDRESS, INCLUDE YOUR OFFICE MAILING SYMBOL.

SECTION III - ACKNOWLEDGMENT OF RECEIPT OF MERIT PROMOTION VACANCY APPLICATION (Complete 20, 21, and 24 only.)

20. TITLE AND GRADE OF POSITION APPLIED FOR		21. ANNOUNCEMENT NO.	
22. YOUR APPLICATION HAS BEEN RECEIVED		23. DATE OF ACKNOWLEDGMENT	
<input type="checkbox"/> YOU WILL BE NOTIFIED OF YOUR ELIGIBILITY OR INELIGIBILITY IN THE NEAR FUTURE.			
<input type="checkbox"/> NO VACANCY EXISTS AT THIS TIME. YOUR APPLICATION WILL BE RETAINED FOR USE WHEN AN APPROPRIATE VACANCY OCCURS.			
<input type="checkbox"/> YOU WILL NOT BE CONSIDERED BECAUSE YOU DID NOT SUBMIT YOUR APPLICATION IN TIME.			
24.		APPLICANT: TYPE OR PRINT YOUR NAME AND ADDRESS WITHIN THE 4 DOTS AT LEFT. INCLUDE YOUR ZIP CODE. IF YOU USE YOUR WORK ADDRESS, INCLUDE YOUR OFFICE MAILING SYMBOL.	

PERFORMANCE APPRAISAL		Date of Rating
Name of Employee	Division or Office	Unit
Title of Present Position	Grade	Series
Period Covered	Reason for Evaluation (Probationary, Annual or Short Term) PROMOTION EVALUATION	

This form is to be used to appraise the employee's actual performance for the rating period as measured against established requirements. "Average," "Below Average-Acceptable," and "Above Average" levels will be considered as "Satisfactory" for performance appraisal purposes. For factors which are not applicable, or where the rating official has insufficient evidence on which to rate the factor, the "Don't Know" level will be checked and explained under Comment.

INSTRUCTIONS:

1. Consider each factor separately and independently of all others. (See attached)
2. Don't let your rating on one factor influence your ratings on the other factors. An employee may be rated low on one factor and high on another.
3. Don't allow one recent atypical incident to unduly influence the complete picture.
4. If factor is not applicable to the job being evaluated, do not use it.
5. For supervisory jobs also use factors 13-18 as applicable.
6. Circle the number of the applicable factors which you feel are most significant for the job, if applicable.
7. Rating Levels:
1-Outstanding
2-Above Average
3-Average
4-Below Average-Acceptable
5-Unsatisfactory
6-Don't Know

***Explanation of Factors and Rating Levels Attached.**

	1	2	3	4	5	6		1	2	3	4	5	6
GENERAL FACTORS							SUPERVISORY FACTORS						
1. Job Knowledge							13. Employee Relations						
2. Utilization of Time							14. Employee Recognition and Development						
3. Job Attitude							15. Planning						
4. Learning Ability							16. Organizing						
5. Dependability							17. Directing Operations						
6. Initiative							18. Controlling Operations						
7. Judgment							OVERALL FACTORS						
8. Oral Expression							19. Overall Performance						
9. Writing Ability							20. Promotability						
10. Independence							OTHER FACTORS						
11. Quality of Work							21.						
12. Cooperation							22.						

ANY NARRATIVE In addition to comments on rating levels a complete evaluation should compare performance with written or unwritten performance standards for the employee's position. If overall rating of the employee is outstanding, or unsatisfactory, you should indicate what action you have taken or plan to take as a result of such rating. For any comments you feel are necessary, use the reverse side.

BASED ON THE ABOVE EVALUATION I HAVE RATED THIS EMPLOYEE: (Complete if Annual or Probationary Performance Rating is being made.)

- Satisfactory
 Unsatisfactory
 Outstanding
 Performance Rating Postponed

Signature	Supervisor	*Employee	Approving Official
Date			

*Employee may make his comments on reverse. Employee signature does not indicate his concurrence in the rating but only his acknowledgement that his supervisor discussed the rating with him and he received a copy of this appraisal.

COMMENTS

A. Supervisory Comments, If Any:

B. Employee Comments, If Any:

C. Approval Official's Comments, If Any:

Appendix B-6

PROSECUTOR'S PERFORMANCE EVALUATION

Name	Entry on Duty	Period Covered by Evaluation			
		Excellent	Very Good	Adequate	Unsatisfactory
<u>Performance Factors</u>					
A. Professional Effectiveness and Judgment					
B. Knowledge and Ability					
C. Industriousness and Dependability					
D. Interest and Initiative					

Subjective Performance Rating: State as briefly or in as much detail as you feel is necessary (using the reverse side if needed) your views as to the quality of the Assistant's performance, including those areas of greatest strength and in most need of improvement, and how the Assistant compares in overall quality of performance with Assistants whom you have supervised during the past year.

Courtroom or Performance Observation: Indicate date(s) of observation, supervisor(s) who observed performance, and comments on quality of performance. (Use reverse side if necessary.)

Counselling Session: Describe the session briefly, noting the date of the session, the supervisor who conducted it, the strengths and weaknesses of the Assistant's performance that were discussed, the Assistant's response, the length of time the supervisor and the Assistant feel the Assistant should remain in the section (if the Assistant is still there), and the Assistant's desires and the supervisor's recommendation as to which section the Assistant should next be transferred. (Use reverse side if necessary.)

Signed (Chief of Section or Division)

PLEASE RETURN THIS FORM TO EXECUTIVE AUSA BY _____

Appendix C
SELECTED REFERENCES

	<u>Page</u>
C-1: High Cost of the Written Word	215
C-2: Records Management Handbooks	221
C-3: Walking Time Costs	223

HIGH COST OF THE WRITTEN WORD*

YOU can talk about the high cost of planting pine trees, drilling wells, running the copying machine, or spraying sagebrush, and people will understand you. You'll get through to them; they'll see what you are talking about and they'll know right off, for a fact, that these things cost a lot of money.

But try talking to these same people about the high cost of the written word and see what happens. They'll nod agreement and be shocked that words can cost so much. They'll shake their heads and mumble something about such high cost being "absolutely unbelievable." But do they really understand? Do they realize what you're talking about; do they see these high costs for what they are?

We can't buy words like we buy pine seedlings, or stockwater wells, so it's as though words have no inherent value and can't be measured in money or evaluated in terms of costs.

The fact is that in BLM, as in all Government agencies and private industries, more people are working at producing words than at anything else. Producing words is the biggest single work program we have, and, like any other big work program, it costs hard, cold cash, cash by the hundreds of thousands of dollars, dollars we wouldn't spend lightly if we were buying something we could yardstick out, count and weigh, and get a bid on.

Why is it that the most expensive work activity we have, the one that involves the greatest number of employees, that requires acquired skill and human understanding, the one on which all other work programs depend, is the one that gets the least attention and consideration?

Prof. W. F. Carstens of the Sandia Corporation says that one-fourth of the most expensive manpower in any organization is devoted to turning out written words, and when one adds the fact that a high percentage of the product of all this effort is of poor quality, it is clear something should be done about it.

Using this one-fourth figure and considering salaries alone, we get a writing cost of \$275,000 a year for our own top echelon. This does not include the cost of paper, typing, duplicating, mailing, reading, or—more important—the cost for salaries of others who write and the hundreds who read.

Now if you add three-fifths of that \$275,000, or \$165,000, as the cost of getting the words typed and mailed, you come out with a total of \$440,000 for a portion of BLM writing for a single year. We can't treat costs like these as though they were insignificant.

For every word you write in a letter or a memo, you pay 1.6 cents; for every 10 words you write, you could buy 16 one-year-old pine seedlings. Or

*Source: Reprinted from "Goobledygook Has Gotta Go," Department of Interior, Bureau of Land Management.

for the cost of the 38 million words BLM writers put into memos, letters, and news releases in 1 year, you could buy 60.8 million pine seedlings, enough to cover 101,000 acres with 600 trees per acre. Or you could spray 204,000 acres at \$2.50 an acre, or plow and reseed 60,800 acres of range land at \$10 per acre.

Do these costs sound like words come cheap, as though they were a minor item in the annual budget?

Here's the way we figured our costs on an average 250-word BLM memo or letter:

Writer's costs:

- (1) 15 minutes—preparation time, researching, thinking, etc.;
- (2) 15 minutes—dictating time, proofing, signing, etc.;
- Total: 30 minutes at \$5 per hour (middle of Grade 11)----- ¹\$2.50

Secretary's costs:

- (1) 10 minutes—dictating time;
- (2) 20 minutes—transcribing, proofing, folding, etc.;
- Total: 30 minutes at \$3 per hour (top of Grade 5)----- \$1.50

Total cost of memo or letter----- \$4.00

Now let's see how we arrived at the total of 152,000 letters and memos written in the Bureau in 1 year:

BLM letters-memos for 1 year at average cost of \$4 per letter-memo

Office(s)	Total 1 year	Average per week per office(s)	Total cost for office(s)	Total cost to bureau
Washington.....	¹ 42,000	807	\$168,000
11 State offices.....	58,000	² 102	232,000
66 District offices.....	52,000	³ 16	208,000
Total.....	⁴152,000	925	608,000	⁵\$608,000

¹ This 42,000 figure is an estimate by the Washington office.
² Each.
³ This 152,000 total does not include the letters that pour out of land offices and service centers by the thousands each month; nor does it include the bundles of special reports, studies, and publications prepared yearly by BLM. The 102 weekly average for each State is no doubt low, as some States probably put out two or three times that many each week. And the 16-each weekly average for district offices also probably is low, as some of the bigger districts may put out 16 or more a day.
⁴ This \$608,000, it should be remembered, represents only a small part of the total cost BLM pays for the written word each year.

⁵ Actually, this \$2.50 writing cost is low for an average 250-word memo or letter, if it is to be readably well done. Tests and checks in our own office show that for a writer to start off cold on a 250-word memo, he probably needs (and takes) 60 to 80 minutes, or even more. This is especially true of memos that have to be read and understood by a number of people on the receiving end. Moreover, this \$2.50 figure is unrealistic in that it does not permit any time for rough drafting, editing, or rewriting, time which most readable memos demand, need, and sometimes get.

The thing to remember here is that this \$608,000, which for convenience, we'll round off at \$600,000, does not include reading and translating costs at the other end, where word-costs skyrocket. One thing is certain: \$600,000 is not peanuts, is a big budget item, does deserve careful attention and scrutiny.

And here are a few national statistics: Writing-cost analyst Richard Morris figures that 15 percent of all letters and memos are fog-induced, are merely requests for clarification of a previous letter or memo. This would mean that in the year under review, 15 percent of 152,000 letters and memos, or 22,800, which means 5,700,000 words costing \$91,200 were wasted and unnecessary, were written solely because of and in answer to fog. That's nearly \$100,000 down the drain, plus the cost of wasted time and energy in reading, plus the cost of confusion in trying to translate and in writing for clarification.

Another waste-factor in BLM writing is the "no-need-for" letters and memos, those which shouldn't have been written in the first place. There is no exact way of knowing what percentage of the total these make up, but our own records for 6 months show a 6-percent figure; 6 out of every 100 letters and memos were "no-need-fors." This 6-percent figure is lower by several percentage points than many BLM readers think it should be. If we use this figure, and we, too, suspect it is far too low, then a total of 9,120 memos and letters were wasted, or 1,365,000 words at a cost of \$36,480.

Now if we add the fog-induced memos and the no-need-for memos, we get a total of 31,920 wasted copies, 7,980,000 words costing \$127,680. Which also doesn't come under the heading of peanuts, nor in the category of small budget items.

Nor are we finished with these waste-cost figures. It's commonly accepted that business writing is twice as wordy as necessary and that government writing is wordier than business writing. This doesn't mean that writing costs are double for a double-length memo or letter, but it does mean that BLM writers produced 38 million words in memos and letters in 1 year, when 19 million would have been enough. So if BLM letters and memos had been put in simple, direct English during the year under review, the Bureau would have saved \$304,000! Added to the costs of no-need-for and fog-induced memos, this totals \$431,680.

That's only one side of the word-cost coin, the writing side, where costs are lowest. On the other side of the coin, the reading-translating side, costs are devastating. Just how long has it been since you sat in on a special, executive-level meeting that was called solely for the purpose of figuring out exactly what a memo meant, what a directive said, or what a study or report recommended? These costs, too, are generally ignored or looked upon as trivial. Nobody seems to understand them well enough to do something about them.

Before we show you these reading-translating costs, we'd like to make a point: The extra time the writer gives to making a memo clear and readable is time economically spent, is money saved. Too many writers feel time spent in writing has no economic value, that if you are a competent writer, you're also a fast writer. Patience and time-consuming care are sneered at and quickness is extolled.

The table at the end of this chapter shows you that if the writer of the tabulated memo had spent a full 8 hours making it clear and readable, he could have saved the Bureau \$422.50. This is where we ought to learn a simple economic principle: A writer can afford to increase his writing time in direct proportion to the number of people who have to read and understand his memo.

In practice this principle works like this: If you write a gobbledygooked memo that goes to 100 people for action, a memo that takes 30 minutes to read and translate when it should have taken only 5, then your bad writing consumes 50½ hours (\$252.50) of writing and reading time when it should have consumed only 8⅝ hours (\$44.17).

In other words, even though you cost the Bureau only \$2.50 for the half-hour you took to write the memo, you cost it another \$208.33 for the time you DIDN'T take to write it clearly, for the time you caused your readers to wrestle with words and meanings.

What's more, you could have spent 42 hours writing this same memo to make it readable, down to 5 minutes, and the memo wouldn't have cost the Bureau one single penny more than it did by your flapping it out in 30 minutes.

Therefore, when you figure the actual cost of the written word, you always have to figure in the reading and translating time on the other end of the line, where costs bunch up and multiply. The cost formula on anything written, and you can figure this very easily yourself, is worked out like this:

PT (preparation time) plus RT (reading time) times NR (number of readers) equals: Total cost of the written word.

Remember that a very slight increase in writing time can often result in a very large total savings in reading time; or, a very large increase in writing time can also result in a very large increase in total savings in reading time.

Now, see this formula and these principles at work in the following table, which was built from an actual 250-word BLM memo that by actual count was circulated for action to 230 readers. The original memo was rated very difficult reading, but it was edited down and rewritten several times until it rated as very easy reading. See how, even though the preparation time increases radically each time, the reading and translating costs continue to go down, and the savings continue to multiply:

250-word instruction memo—rated "very difficult reading"—mailed to 230 BLM employees "for action"

Time writer spent preparing memo at \$5/hr.	Writing cost totals			Total reading-writing costs and savings			
	Time secretary spent preparing memo for mailing at \$3/hr.	Total cost to prepare and mail memo	Average cost per reader to prepare and mail memo (cents)	Average time for reader to read-understand memo at \$5/hr.	Cumulative costs for 230 readers to read-understand memo	Total writing reading costs	Total dollars saved
30 min. = \$2.50 Writer doubles preparation time to 1 hour = \$5.	30 min. = \$1.50 30 min. = \$1.50	\$4.00 6.50	1.7 2.8	30 min. = \$2.50 each. Reading time cut to 20 min. = \$1.67 each.	\$575.00 Down to \$384.10	\$579.00 390.60	\$188.40
Writer doubles preparation time to 2 hours = \$10.	30 min. = \$1.50	11.50	5	Reading time cut to 15 min. = \$1.25 each.	Down to \$287.50	299.00	280.00
Writer doubles preparation time to 4 hours = \$20.	30 min. = \$1.50	21.50	9.3	Reading time cut to 10 min. = \$0.83 each.	Down to \$190.90	212.40	366.60
Writer doubles preparation time to 8 hours = \$40.	30 min. = \$1.50	41.50	18	Reading costs cut to 5 min. = \$0.50 each.	Down to \$115.00	156.50	422.50
Writer reduces preparation time to nothing.	Nothing	Nothing	Nothing	Nothing	Nothing	Nothing	1,579.00

1 This was a "no-need-for" memo; it never should have been written in the first place.

Appendix C-2
RECORDS MANAGEMENT HANDBOOKS

The following Records Management Handbooks prepared by the National Archives and Records Service provide most of the guidance needed to achieve efficiency and economy in office paperwork operations.

(Order from the Government Printing Office, Washington, DC, unless otherwise indicated.)

	<u>Date</u>	<u>No. Pages</u>	<u>Price</u>	<u>GPO Catalog Number</u>
<u>Managing Correspondence</u>				
Correspondence Management	1973	35	\$.65	GS4.6/2:C81
Form and Guide Letters	1973	45	.80	GS4.6/2:L56
Plain Letters (How to improve official letter writing)	1973	51	.95	*2202-00041
U.S. Government Correspondence Manual	1968	68	1.75	GS1.6/6:C81
<u>Managing Directives:</u>				
Communicating Policy and Procedure	1967	62	1.15	GS4.6/2:C73
<u>Managing Forms:</u>				
Forms Analysis	1960	62	.90	GS4.6/2:F76
Forms Design	1960	89	1.25	GS4.6/2:F76/2
Forms Management	1969	34	.60	GS4.6/2:F76/3
Specialty Forms	1974	57	1.00	*2201-00058
<u>Mechanizing Paperwork:</u>				
Copying Equipment	1966	82	1.25	GS1.6/6:C79
Source Data Automation	1965	78	.50	GS4.6/2:S08
<u>Managing Current Files:</u>				
Files Operations	1964	76	1.05	GS4.6/2:F47
File Stations	1967	52	.85	GS4.6/2:F47/3
Subject Filing	1966	40	.30	GS4.6/2:F47/2
<u>Managing Information Retrieval:</u>				
Information Retrieval	1972	132	1.65	GS4.6/2:IN3/2
Information Retrieval Systems	1970	150	2.25	GS4.6/2:IN3
Microform Retrieval Equipment Guide	1974	90	1.50	GS4.6/2:M58/974
Microfilming Records	1974	168	2.35	GS4.6/2:M58/2
Computer Output Microfilm	1975	48	1.05	GS4.6/2:M58/3
<u>Managing the Mail:</u>				
Managing the Mail	1971	94	1.40	GS4.6/2:M28
<u>Managing Noncurrent Files:</u>				
Applying Records Schedules	1961	23	.20	GS4.6/R24/3
Federal Records Centers	1967	39	.20	GS4.6/R24/2
Federal Vital Records Program	1968	16	.20	GS4.6/2:R24/968

*GPO Stock Number

Appendix C-3

WALKING TIME COSTS

Employee Labor Cost

Annually	\$4368.00	4576.00	4784.00	4992.00	5200.00	5408.00	5616.00	5824.00	6032.00	6240.00	7280.00	8320.00	9360.00
Monthly	364.00	381.33	398.67	416.00	433.23	450.67	468.00	485.00	503.00	520.00	607.00	693.00	780.00
Weekly	84.00	88.00	92.00	96.00	100.00	104.00	108.00	112.00	116.00	120.00	140.00	160.00	180.00
Hourly	2.10	2.20	2.30	2.40	2.50	2.60	2.70	2.80	2.90	3.00	3.50	4.00	4.50
Per Minute	.0350	.0367	.0383	.0400	.0417	.0433	.0450	.0467	.0483	.0500	.0583	.0667	.0750

Distance and Time Cost Per Trip To Use Copy Machine

Feet	Minutes (Round Trip)													
50	.20	.0070	.0073	.0077	.0080	.0083	.0087	.0090	.0093	.0097	.0100	.0117	.0133	.0150
100	.40	.0140	.0146	.0154	.0160	.0166	.0174	.0180	.0187	.0193	.0200	.0233	.0267	.0300
150	.60	.0210	.0219	.0231	.0240	.0249	.0261	.0270	.0280	.0290	.0300	.0350	.0400	.0450
200	.80	.0280	.0292	.0308	.0320	.0332	.0348	.0360	.0374	.0386	.0400	.0466	.0534	.0600
250	1.00	.0350	.0365	.0385	.0400	.0415	.0435	.0450	.0467	.0483	.0500	.0583	.0667	.0750
300	1.20	.0420	.0438	.0462	.0480	.0498	.0522	.0540	.0560	.0580	.0600	.0700	.0800	.0900
350	1.40	.0490	.0511	.0539	.0560	.0581	.0609	.0630	.0654	.0676	.0700	.0816	.0934	.1050
400	1.60	.0560	.0584	.0616	.0640	.0664	.0696	.0720	.0747	.0773	.0800	.0933	.1067	.1200
450	1.80	.0630	.0657	.0693	.0720	.0747	.0783	.0810	.0841	.0869	.0900	.1049	.1201	.1350
500	2.00	.0700	.0730	.0770	.0800	.0830	.0870	.0900	.0934	.0966	.1000	.1166	.1334	.1500
550	2.20	.0770	.0803	.0847	.0880	.0913	.0957	.0990	.1027	.1063	.1100	.1283	.1467	.1650
600	2.40	.0840	.0876	.0924	.0960	.0996	.1044	.1080	.1121	.1159	.1200	.1399	.1601	.1800
650	2.60	.0910	.0949	.1001	.1040	.1079	.1131	.1170	.1214	.1256	.1300	.1516	.1734	.1950
700	2.80	.0980	.1022	.1078	.1120	.1162	.1218	.1260	.1308	.1352	.1400	.1632	.1868	.2100
750	3.00	.1050	.1095	.1155	.1200	.1245	.1305	.1350	.1401	.1449	.1500	.1749	.2001	.2250
800	3.20	.1120	.1168	.1232	.1280	.1328	.1392	.1440	.1494	.1546	.1600	.1866	.2134	.2400
850	3.40	.1190	.1241	.1309	.1360	.1411	.1479	.1530	.1588	.1642	.1700	.1982	.2268	.2550
900	3.60	.1260	.1314	.1386	.1440	.1494	.1566	.1620	.1681	.1739	.1800	.2099	.2401	.2700
950	3.80	.1330	.1387	.1463	.1520	.1577	.1653	.1710	.1775	.1835	.1900	.2215	.2535	.2850
1000	4.00	.1400	.1460	.1540	.1600	.1660	.1740	.1800	.1868	.1932	.2000	.2332	.2668	.3000
1050	4.20	.1470	.1533	.1617	.1680	.1743	.1827	.1890	.1961	.2029	.2100	.2449	.2801	.3150

Note. Interference allowance of 10 percent should be added to cost.

Appendix D
DESIGN SPECIFICATIONS FOR
CASE PROGRESS DOCKET CARD

Spacing on this form is critical; therefore, detailed specifications are provided. The form is printed edge-to-edge on 8½ by 11 inch card stock, with Parts I through V on the front and Parts VI and VII printed head-to-toe on the reverse.

a. Vertical Spacing in One-Sixths (1/6s) of an Inch

FRONT SIDE		REVERSE SIDE	
Item	1/6 ins. Spaces	Item	1/6 ins. Spaces
Part I Heading	2	Part V Heading	1
Item 1A	3	Items 41-45 Headings	1
Item 1B	3	Rows E-H	2
Item 2	4	Reason Codes	4½
Item 3 Heading	1	Part VI Heading	1
Items 3A & 3B	3	Item 46 Heading	3
Items 4-6	2	Items 47-50 Headings	1
Items 7-13	3	Items 47-50 Sub- headings	2
Item 14	7	Rows A-D	2
Item 15	3	Items 51-53	3
Item 16	4	Confinement Types	2
Part II Heading	1	Part VII, each line	2
Items 17-29	3		
Item 30	9		
Part III Heading	1		
Items 31-37 Headings	2		
Rows A-D	3		
Disposition Types	2		
Part IV Heading	1		
Items 38-40	2		
Part V Heading	1		
Items 41-45 Headings	1		
Rows A-D	2		
Reason Codes	4½		
Form Title	1½		

b. Horizontal Spacing in One-Tenths (1/10s) of an Inch

FRONT SIDE

Item	1/10 ins. Spaces	Item	1/10 ins. Spaces
Items 1-3	21	Item 40	25
Row 3A	10	Item 41	6
Row 3B	11	Item 42	19
Item 4	38	Item 43	28
Item 5	11	Item 44	13
Item 6	15	Item 45	19
Item 7	38		
Item 8	5		
Item 9	6		
Item 10	15		
Item 11	38		
Item 11A	11		
Item 11B	13		
Item 11C	14		
Item 12	15		
Item 13	10		
Item 14	38		
Items 15-16	26		
Item 17	10		
Item 18	20		
Item 19	12		
Item 20	31		
Item 21	12		
Item 22	6		
Item 23	19		
Item 24	12		
Item 25	6		
Item 26	18		
Item 27	18		
Item 28	19		
Item 29	36		
Item 30	12		
Item 31	22		
Item 31A	8		
Item 32	7		
Item 33	6		
Item 34	14		
Item 35	7		
Item 36	13		
Item 37	8		
Item 38	25		
Item 39	34		

REVERSE SIDE

Item	1/10 ins.
Item 41	6
Item 42	19
Item 43	28
Item 44	13
Item 45	19
Item 46	2
Item 47	22
Item 47A	7
Item 47B	3
Item 47C	12
Item 48	17
Item 48A	8
Item 48B	9
Item 49	25
Item 49A	8
Item 49B	8
Item 49C	9
Item 50	19
Item 50A	8
Item 50B	11
Item 51	12
Item 52	29
Item 53	44

c. Items Most Likely to Need Modification for Adaptation to Local Situations

Item	Description
9	Race (possibly use check blocks with letters or other codes or abbreviations)
11	Identification Numbers
30	Method by Which Brought Before this Court
34	Filed By and Date
36	Reason if Rejected, Nolle Prosequi or Dismissed "Disposition Types" (Following Part III)
38	Prosecutor(s)
42	Old Release Status
43	Type of Event
45	New Release Status
49	"Reason Codes" (Following Part V) Special (Sentence) "Special Sentence Type" (Following Part VI--requires specifying various types of special sentences, such as work release, and assigning a code number to each.)

Appendix E
SEARCH CODES

Appendix E
SEARCH CODES

<u>SOVEREIGNTY</u>	0100
TREASON	0101
TREASON MISPRISION	0102
ESPIONAGE	0103
SABOTAGE	0104
SEDITION	0105
SELECT SVC	0106
<u>MILITARY</u>	0200
DESERTION	0201
<u>IMMIGRATION</u>	0300
ILLEGAL ENTRY	0301
FALSE CITIZEN	0302
SMUGGLE ALIENS	0303
<u>HOMICIDE</u>	0900
KILL-FAMILY-GUN	0901
KILL-FAMILY	0902
KILL--NONFAM-GUN	0903
KILL--NONFAM	0904
KILL-PUB OFF-GUN	0905
KILL-PUB OFF	0906
KILL-POL OFF-GUN	0907
KILL-POL OFF	0908
NEG MANSL-VEHICLE	0909
NEG MANSL-NOT VEH	0910
<u>KIDNAPPING</u>	1000
RANSOM-MINOR-GUN	1001
RANSOM-MINOR	1002
RANSOM-MINOR-STGARM	1003
RANSOM-ADULT-GUN	1004
RANSOM-ADULT	1005
RANSOM-ADULT-STGARM	1006
HOSTAGE FOR ESCAPE	1007
ABDUCTION-FAMILY	1008
ABDUCTION-NONFAMILY	1009

<u>SEXUAL ASSAULT</u>	1100
RAPE-GUN	1101
RAPE	1102
RAPE-STGARM	1103
SODOMY-BOY-GUN	1104
SODOMY-MAN-GUN	1105
SODOMY-GIRL-GUN	1106
SODOMY-WOMAN-GUN	1107
SODOMY-BOY	1108
SODOMY-MAN	1109
SODOMY-GIRL	1110
SODOMY-WOMAN	1111
SODOMY-BOY-STGARM	1112
SODOMY-MAN-STGARM	1113
SODOMY-GIRL-STGARM	1114
SODOMY-WOMAN-STGARM	1115
STAT RAPE	1116
<u>ROBBERY</u>	1200
ROB BUSINESS-GUN	1201
ROB BUSINESS	1202
ROB BUSINESS-STGARM	1203
ROB STREET-GUN	1204
ROB STREET	1205
ROB STREET-STGARM	1206
ROB RESIDENCE-GUN	1207
ROB RESIDENCE	1208
ROB RESIDENCE-STGARM	1209
FORC PURSE SNATCH	1210
<u>ASSAULT</u>	1300
ASLT AGG-FAMILY-GUN	1301
ASLT AGG-FAMILY	1302
ASLT AGG-FAMILY-STGARM	1303
ASLT AGG-NONFAMILY-GUN	1304
ASLT AGG-NONFAMILY	1305
ASLT AGG-NONFAMILY-STGARM	1306
ASLT AGG-PUB OFF-GUN	1307
ASLT AGG-PUB OFF	1308
ASLT AGG-PUB OFF-STGARM	1309
ASLT AGG-POL OFF-GUN	1310
ASLT AGG-POL OFF	1311
ASLT AGG-POL OFF-STGARM	1312
ASLT SIMPLE	1313
<u>ABORTION</u>	1400
ABORT OTHER	1401
ABORT SELF	1402
SOLICIT SUBMIT ABORT	1403
SOLICIT PERFORM ABORT	1404
ABORTIFACIENT SELL	1405

<u>ARSON</u>	2000
ARSON BUS-LIFE	2001
ARSON RES-LIFE	2002
ARSON BUS-INS	2003
ARSON RES-INS	2004
ARSON BUSINESS	2005
ARSON RESIDENCE	2006
<u>EXTORTION</u>	2100
EXTORT THREAT PERSON	2101
EXTORT THREAT PROPERTY	2102
EXTORT THREAT REPUTATION	2103
<u>BURGLARY</u>	2200
BURG SAFE-VAULT	2201
BURG FORCED-RES	2202
BURG FORCED-NONRES	2203
BURG NO FORCED-RES	2204
BURG NO FORCED-NONRES	2205
BURG TOOLS	2206
<u>LARCENY</u>	2300
POCKET PICK	2301
PURSE SNATCH	2302
SHOPLIFT	2303
LARC PARTS FM VEH	2304
LARC FM AUTO	2305
LARC FM VEH TRANS	2306
LARC FM COIN MACH	2307
LARC FM BLDG	2308
LARC FM YARDS	2309
LARC FM MAILS	2310
<u>STOLEN VEHICLE</u>	2400
VEH THEFT SALE	2401
VEH THEFT STRIP	2402
VEH THEFT FOR CRIME	2403
VEH THEFT	2404
VEH THEFT BY BAILEE	2405
VEH RCVNG	2406
VEH STRIP	2407
VEH POSS	2408
TRANSPORT	2409
AIRPLANE THEFT	2410

<u>FORGERY</u>	2500
FORG CHECKS	2501
FORGERY	2502
COUNTERFEIT	2503
COUNTERFEIT-TRANSPORT	2504
COUNTERFEIT TOOLS	2505
PASS COUNTERFEIT	2506
PASS FORGED CHECKS	2507
POSSESS COUNTERFEIT	2508
<u>FRAUD</u>	2600
CON GAME	2601
SWINDLE	2602
MAIL FRAUD	2603
IMPERSONATION	2604
FRAUD CREDIT CARDS	2605
NSF CHECKS	2606
FALSE STATEMENT	2607
<u>EMBEZZLE</u>	2700
<u>STOLEN PROP</u>	2800
STOL PROP THEFT SALE	2801
STOL PROP THEFT TRANSPORT	2802
STOL PROP THEFT	2803
STOL PROP TRANSPORT	2804
STOL PROP RECEIV	2805
STOL PROP POSSESS	2806
STOL PROP CONCEALED	2807
<u>PROPERTY DAMAGE</u>	2900
DAM PROP BUS	2901
DAM PROP PRIV	2902
DAM PROP PUB	2903
<u>DANGEROUS DRUGS</u>	3500
HALLUC-MANU	3501
HALLUC-DIST	3502
HALLUC-SELL	3503
HALLUC-POSSESS	3504
HALLUC	3505
HEROIN-SELL	3510
HEROIN-SMUG	3511
HEROIN-POSSESS	3512
HEROIN	3513

DANGEROUS DRUGS (Continued)

OPIUM-SELL	3520
OPIUM-SMUG	3521
OPIUM-POSSESS	3522
OPIUM	3523
COCAINE-SELL	3530
COCAINE-SMUG	3531
COCAINE-POSSESS	3532
COCAINE	3533
SYNTH NARC-SELL	3540
SYNTH NARC-SMUG	3541
SYNTH NARC-POSSESS	3542
SYNTH NARC	3543
NARC EQUIP	3550
MARIJUANA-SELL	3560
MARIJUANA-SMUG	3561
MARIJUANA-POSSESS	3562
MARIJUANA-PROD	3563
MARIJUANA	3564
AMPHET-MANU	3570
AMPHET-SELL	3571
AMPHET-POSSESS	3572
AMPHET	3573
BARBIT-MANU	3580
BARBIT-SELL	3581
BARBIT-POSSESS	3582
BARBIT	3583
<u>SEX OFFENSE</u>	3600
SEX CHILD	3601
HOMOSEX GIRL	3602
HOMOSEX BOY	3603
INCEST MINOR	3604
INDEC EXP MINOR	3605
BESTIALITY	3606
INCEST ADULT	3607
INDEC EXP ADULT	3608
SEDUCE ADULT	3609
HOMOSEX WOMAN	3610
HOMOSEX MAN	3611
PEEPING TOM	3612

<u>OBSCENE MATERIAL</u>	3700
MANU OBSCENE	3701
SELL OBSCENE	3702
MAIL OBSCENE	3703
POSSESS OBSCENE	3704
DIST OBSCENE	3705
TRANSPORT OBSCENE	3706
OBSCENE COMM	3707
<u>FAMILY OFF</u>	3800
NEGLECT FAM	3801
CRUEL CHILD	3802
CRUEL WIFE	3803
BIGAMY	3804
CONTRIB DELINQ MINOR	3805
NEGLECT CHILD	3806
NONPAY ALIMONY	3807
NONSUPPORT PARENT	3808
<u>GAMBLING</u>	3900
BOOKMAKE	3901
CARDS-OP	3902
CARDS-PLAY	3903
DICE-OP	3904
DICE-PLAY	3905
GAMBLING DEVICE-POSSESS	3906
GAMBLING DEVICE-TRANSPORT	3907
GAMBLING DEVICE-NOT REGIS	3908
GAMBLING DEVICE	3909
GAMBLING GOODS-POSSESS	3910
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LOTTERY-OP	3912
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LOTTERY-PLAY	3914
SPORTS TAMPER	3915
WAGERING INFO-TRANSMIT	3916
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<u>COMMERCIAL SEX</u>	4000
KEEP BROTHEL	4001
PROCURE PROSTITUTE	4002
HOMOSEX PROST	4003
PROSTITUTION	4004

<u>LIQUOR</u>	4100
MANU LIQUOR	4101
SELL LIQUOR	4102
TRANSPORT LIQUOR	4103
POSSESS LIQUOR	4104
MISREPRESENT AGE	4105
LIQUOR	4106
<u>DRUNK</u>	4200
<u>OBSTRUCT POLICE</u>	4800
RESIST OFF	4801
AID PRIS ESC	4802
HARBOR FUGTV	4803
OBSTRUCT CRIM INVEST	4804
MAKE FALSE REP	4805
EVIDENCE-DESTROY	4806
WITNESS-DISSUADE	4807
WITNESS-DECEIVE	4808
REFUSING AID OFF	4809
COMPOUND CRIME	4810
UNAUTH COMM W PRISONER	4811
ARREST-ILLEGAL	4812
<u>FLIGHT-ESCAPE</u>	4900
ESCAPE	4901
FLIGHT AVOID	4902
<u>OBSTRUCT JUDIC (Congr., Legis.)</u>	5000
BAIL-SECURED BOND	5001
BAIL-PERSONAL RECOG	5002
PERJURY	5003
PERJURY	5004
CONTEMPT COURT	5005
OBSTRUCT JUST	5006
OBSTRUCT COURT	5007
MISCONDUCT-JUDIC OFF	5008
CONTEMPT CONGR	5009
CONTEMPT LEGIS	5010

<u>BRIBERY</u>	5100
BRIBE GIVE	5101
BRIBE OFFER	5102
BRIBE RECEIVE	5103
BRIBE SOLICIT	5104
CONFLICT INT	5105
GRATUITY GIVE	5106
GRATUITY OFFER	5107
GRATUITY RECEIVE	5108
GRATUITY SOLICIT	5109
KICKBACK GIVE	5110
KICKBACK OFFER	5111
KICKBACK RECEIVE	5112
KICKBACK SOLICIT	5113
<u>WEAPON OFFENSE</u>	5200
ALTER ID ON WPN	5201
CARRY CONCLD WPN	5202
CARRY PROH WPN	5203
EXPLOS-TEACH USE	5204
EXPLOS-TRANSPORT	5205
EXPLOS-USE	5206
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INCEND DEV-USE	5208
INCEND-TEACH USE	5209
WPN LIC	5210
POSSESS EXPL	5211
POSSESS WPN	5212
FIRE WPN	5213
SELL WPN	5214
<u>PUBLIC PEACE</u>	5300
ANARCHISM	5301
RIOT-INCITE	5302
RIOT-ENGAGE	5303
RIOT-INTERFERE FIRE	5304
RIOT-INTERFERE OFF	5305
RIOT	5306
ASSEMBLY-UNLAW	5307
FALSE ALARM	5308
HARRASS COMM	5309
DESECRATE FLAG	5310
DISORDERLY COND	5311
DISTURB PEACE	5312
CURFEW	5313
LOITER	5314

<u>TRAFFIC OFF</u>	5400
HIT RUN	5401
TRANSP DANG MATL	5402
DRIV INFLU DRUGS	5403
DRIV INFLU LIQ	5404
MOVING TFC	5405
NONMOVING TFC	5406
<u>HEALTH-SAFETY</u>	5500
DRUGS ADLTD	5501
DRUGS-MISBRAND	5502
DRUGS	5503
FOOD ADLTD	5510
FOOD-MISBRAND	5511
FOOD	5512
COSMETICS ADLTD	5520
COSMETICS-MISBRAND	5521
COSMETICS	5522
<u>CIVIL RIGHTS</u>	5600
<u>INVADE PRIVACY</u>	5700
DIVULGE EAVESDROP INFO	5701
DIVULGE EAVESDROP ORDER	5702
DIVULGE MSG CONTENTS	5703
EAVESDROP	5704
EAVESDROP EQUIP	5705
OPEN SEALED COMM	5706
TRESPASS	5707
WIRETAP-FAILURE REP	5708
<u>SMUGGLE</u>	5800
CONTRABAND	5801
PRISON CONTRABAND	5802
AVOID PAYING DUTY	5803
<u>ELECTION LAWS</u>	5900
<u>ANTITRUST</u>	6000
<u>TAX-REVENUE</u>	6100
INCOME TAX	6101
SALES TAX	6102
LIQUOR TAX	6103

CONSERVATION

ANIMALS CONSERV
BIRDS CONSERV
FISH CONSERV
LICENSE CONSERV

VAGRANCY

6200

6201

6202

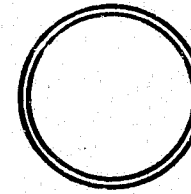
6203

6204

6300

Appendix F

SAMPLE CORRESPONDENCE WITH WITNESSES



OFFICE OF THE PROSECUTING ATTORNEY
OF MARION COUNTY INDIANA
JAMES F. KELLEY PROSECUTOR
CITY-COUNTY BUILDING
INDIANAPOLIS, INDIANA 46204
PHONE 317 633-3522

July 1, 19XX

Name: Robert William
Address: 4608 W. 37th St.
Indianapolis, Indiana

Re: State v. Rodney Reed
Cause No. CR75-102D
Courtroom Four
City County Bldg.
Indianapolis, Indiana

We have been unable to reach you to inform you that the defendant was found guilty of First Degree Burglary. The penalty in this offense carries a prison sentence of 10 to 20 years. The judge will pass sentence on the defendant in the next few weeks.

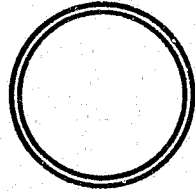
Only by citizens participating fully in the criminal justice system, can we as Prosecuting Attorneys, responsibly perform our duties.

We hope that you have not been greatly inconvenienced in fulfilling your responsibility as one of the witnesses in this case. If you still have questions regarding the outcome of the proceedings, please do not hesitate to call upon us.

Again, thank you for your cooperation and support in this case.

Yours truly,

James F. Kelley
Prosecuting Attorney



OFFICE OF THE PROSECUTING ATTORNEY
 OF MARION COUNTY INDIANA
 JAMES F. KELLEY PROSECUTOR
 CITY-COUNTY BUILDING
 INDIANAPOLIS, INDIANA 46204
 PHONE 317 633-3522

July 1, 19XX

Name: James Mullins
 Address: 2355 E. New York
 Indianapolis, Indiana

State v. Phillip Masey
 Cause No. CR73-455C

We have been unable to reach you by phone to inform you that the case in which you were scheduled to testify has been dismissed due to insufficient evidence. You may disregard any subpoena received in this case.

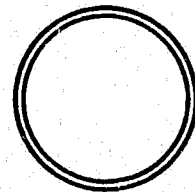
Although this matter did not reach trial, your role was an important one.

We hope that you have not been greatly inconvenienced in fulfilling your responsibility as one of the witnesses. If you still have questions regarding the outcome of the proceedings, please do not hesitate to call upon us.

Again, thank you for your support and cooperation in this case.

Yours truly,

James F. Kelley
 Prosecuting Attorney



OFFICE OF THE PROSECUTING ATTORNEY
 OF MARION COUNTY INDIANA
 JAMES F. KELLEY PROSECUTOR
 CITY-COUNTY BUILDING
 INDIANAPOLIS, INDIANA 46204
 PHONE 317 633-3522

July 1, 19XX

Name: Carol Huffman
 Address: 4599 E. 10th St.
 Indianapolis, Indiana

Re: State v. Billy Rodgers
 Cause No. CR74-309A
 Courtroom One
 City County Bldg.
 Indianapolis, Indiana

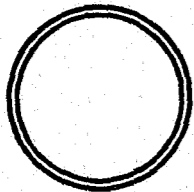
We have been unable to reach you to inform you regarding the completion of this case. The defendant was found not guilty.

The burden of proving a criminal case "beyond a reasonable doubt" is not an easy one. It was intentionally made that way to reduce the possibility of innocent persons being convicted. The important thing is that, with your help, we vigorously prosecuted this case within the framework of our criminal justice system.

In being a witness, you have fulfilled a most vital and necessary function within our system. You have been invaluable to us during the process of this case. We truly thank you for all of your assistance and cooperation.

Yours truly,

James F. Kelley
 Prosecuting Attorney



OFFICE OF THE PROSECUTING ATTORNEY
OF MARION COUNTY INDIANA
JAMES F. KELLEY PROSECUTOR
CITY-COUNTY BUILDING
INDIANAPOLIS, INDIANA 46204
PHONE 317 633-3522

July 1, 19XX

Name: Lori Donaldson
Address: 5532 West 43rd
Indianapolis, Indiana

State v. John Jones
Cause No. CR74-123A

We have been unable to reach you by phone to inform you that the defendant in the case State v. John Jones, has pled guilty to Commission of a felony while armed to-wit: robbery, consequently there will be no trial in this case. The penalty for this offense carries a prison sentence of 15 to 25 years. The judge will pass sentence on the defendant in the next few weeks. You may disregard any subpoena received in this case.

We could not have secured this conviction without your assistance and cooperation. Even though this matter did not reach trial, your role was an important one.

We hope that you have not been inconvenienced too much in fulfilling your responsibility as one of the witnesses. If you still have questions regarding the outcome of the proceedings, please do not hesitate to call upon us.

Again, thank you for your support and cooperation in this case.

Yours truly,

James F. Kelley
Prosecuting Attorney

Appendix G

COMPARISON OF TEXT-EDITING TYPEWRITERS.

TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Model Char- acteristics	AES-90	Editext 80	MT/ST-II	MT/ST-IV	MC/ST-I	CMC/ST
CRT	Standard	None	None			
Storage Medium	Single Diskette	Single 3M Cartridge	Single Tape Cartridge	Dual Tape Cartridge	Single Mag Card	Single Mag Card
Typing Speed	150 wpm	150 wpm	150 wpm	150 wpm	150 wpm	150 wpm
Cost Base Purchase Price	\$14,900	\$8,000	\$5,850	\$7,650	\$7,875	\$10,575
Base Rental	--	\$255	\$195	\$255	\$185	\$245
Base Lease	\$345 (5 yrs)	\$222 (5 yrs)	N/A	N/A	\$160 (2 yrs)	\$230 (2 yrs)
Storage Medium	\$25 each	\$20 each	\$1 each	\$1 each	\$1 each	\$1 each
Serviced By	Manufacturer	Manufacturer	Manufacturer	Manufacturer	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	Automatic Electronic Systems, Inc. 570 McCaffrey Street Montreal, Quebec H4T1N1, Canada (514) 341-5930	Editext Word Processing Corp. 18-20 Ray Avenue Burlington, MA 01803 (617) 273-2700	IBM Office Products Division Parsons Pond Drive Franklin Lakes, NJ 07417 (201) 848-1900			
Remarks						

TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Char- acteristics / Model	MC/ST-II	Memory Typewriter	Videotype 91	Videotype 92
CRT	None	None	Standard	Standard
Storage Medium	Single Mag Card	Internal Memory (See Remarks)	Single Cassette	Single Cassette
Typing Speed	150 wpm	150 wpm	150 wpm	150 wpm
Cost Base Purchase Price	\$11,800	\$5,400	\$17,470	\$19,770
Base Rental	\$295	\$165	\$475	\$535
Base Lease	\$260 (2 yrs)	\$145 (2 yrs)	\$399 (5 yrs)	\$459 (5 yrs)
Storage Medium	\$1 each	N/A	\$15 each	\$10 each
Serviced By	Manufacturer	Manufacturer	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	IBM Office Products Division Parsons Pond Drive Franklin Lakes, NJ 07417 (201) 848-1900		Lexitron Corporation 9600 De Sota Avenue Chatsworth, CA 91311 (213) 882-5040	
Remarks		This machine has a limited capacity of 50 pages of stored material. The internal memory medium is a magnetic belt. Its applications are extremely limited in any area of prosecution management other than preparing some routine correspondence.	Cassette capacity is 30 pages.	Cassette capacity is 30 pages.

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TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Char- acteristics / Model	Word Processor	Quintype 82
CRT	Standard	None
Storage Medium	Dual Cassette	Dual Cassette
Typing Speed	180 wpm (est.)	150 wpm
Cost Base Purchase Price	\$17,990	\$7,695
Base Rental	\$555 90 day trial period	Unknown
Base Lease		\$245 (1 yr)
Storage Medium	\$10 each	\$8 each
Serviced By	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	Linolex Systems, Inc. 5 Esquire Road North Billerica, MA 01862 (617) 667-4151	Quinn Data, Inc. 1071 Route 22 Mountainside, NJ 07092 (201) 379-7400
Remarks	Cassette capacity is 62 pages. Equipment may be programmed for nonword processing tasks.	

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TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Char- acteristics \ Model	Dual Card-B	Single Tape-B	Dual Tape-B	Power Typewriter-B	Dual Media System-B
CRT	None	None	None	None	None
Storage Medium	Dual Mag Card	Single Cassette	Dual Cassette	Single Mag Card.	Single Mag Card & Single Cassette
Typing Speed	150 wpm	150 wpm	150 wpm	150 wpm	150 wpm
Cost Base Purchase Price	\$8,870	\$7,195	\$8,350	\$5,770	\$9,070
Base Rental	\$285	\$195	\$275	\$175	\$330
Base Lease	\$258 (2 yrs)	\$180 (2 yrs)	\$255 (2 yrs)	N/A	\$330
Storage Medium	\$1.00 each	\$9.00 each	\$9.00 each	\$1.00 each	\$1.00 each (card) \$9.00 each (cassette)
Serviced By	Manufacturer	Manufacturer	Manufacturer	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	Redactron Corporation 100 Parkway Drive South Houppauge, NY 11787 (516) 543-8700				
Remarks		Cassette ca- pacity is 30 pages	Cassette ca- pacity is 30 pages		Cassette capacity is 30 pages

TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Char- acteristics \ Model	MT-200	1500	1800 TR-11	1900
CRT	None	None	None	None
Storage Medium	Dual Cassette	Single Cassette	Single Cassette	Single Cassette
Typing Speed	150 wpm	150 wpm	150 wpm	150 wpm
Cost Base Purchase Price	\$8,400	\$5,995	\$4,500	\$4,995
Base Rental	\$275	\$180	\$145	\$165
Base Lease	\$225 (5 yrs)	\$165 (2 yrs)	\$134 (1 yr)	\$152 (1 yr)
Storage Medium	\$9.75 each	\$8.50 each	\$8.50 each	\$8.50 each
Serviced By	Manufacturer	Manufacturer	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	Sperry Remington Office Machines Division P.O. Box 1000 Blue Bell, PA 19422 (215) 542-4011		Trendata Corporation 610 Polomar Avenue Sunnyvale, CA 94086 (408) 732-1790	
Remarks	Cassette capacity is 30 pages	Cassette capac- ity is 15 pages	Cassette capac- ity is 15 pages	Cassette capac- ity is 15 pages

TEXT-EDITING TYPEWRITER
CHARACTERISTIC COMPARISON

Char-acteristics \ Model	Ty-Tape-Editor 3600/2	Editor-1	1200
CRT	None	Standard	None
Storage Medium	Dual Cassette	Single Diskette	Dual Cassette
Typing Speed	150 wpm	360 wpm	150 wpm
Cost Base Purchase Price	\$7,900	\$15,500	\$7,900
Base Rental	\$225	\$430	\$275
Base Lease	\$182	\$350	\$186
Storage Medium	\$6.00 each	\$8.00 each	\$6.25 each
Serviced By	Manufacturer	Manufacturer	Manufacturer
Manufacturer's Address and Telephone Number	Ty-Data, Inc. 109 Northeastern Blvd. Noshua, NH 03060 (603) 889-1155	Vydec, Incorporated 130 Algonquin Parkway Whippany, NJ 07981 (201) 386-9191	Wang Laboratories 836 North Street Tewksbury, MA 01876 (617) 851-4111
Remarks	Cassette capacity is estimated to be 24 pages	Diskette capacity is 60 pages	Cassette capacity is 40 pages

Captions for Divisions of the Alphabet

60 Divisions*

A	Cr	H	Li	Pe	St
Am	D	He	M	Pi	Su
B	De	Ho	Mar	Q	T
Be	Do	Hu	Mc	R	To
Bi	E	I	Me	Ri	U
Br	F	J	Mo	Ro	V
Bu	Fi	K	Mu	S	W
C	G	Ki	N	Sch	We
Ch	Gi	L	O	Se	Wi
Co	Gr	Le	P	Si	XYZ

100 Divisions*

A	Cl	Fr	John	Ni	Sp
Al	Co	G	K	O	St
Am	Con	Ge	Ke	P	Sto
Ander	Cor	Go	Ki	Pe	T
Ar	Cr	Gr	Kn	Pi	Tho
B	Cu	Gro	L	Pr	Ti
Bar	D	H	Le	Q-R	Tr
Be	De	Ham	Li	Ri	U
Ber	Di	Har	Lo	Ro	V
Bi	Do	Hat	M	Ros	W
Bo	Dow	He	Man	S	War
Br	E	Hi	McA	Sch	We
Bro	El	Ho	Me	Se	Wh
Bu	Et	Hon	Mi	Sh	Wi
C	F	Hu	Mo	Si	Wo
Car	Fi	I	Mu	Smith	XYZ
Ch	Fo	J	N		

See footnotes at end of table.

150 Divisions*

A	Co	Gar	Jones	Mu	Sp
Al	Con	Ge	K	N	St
Am	Coo	Gi	Ke	Ni	Sto
Ander	Cor	Go	Kel	O	Su
Ar	Cr	Gr	Ki	Or	T
At	Cu	Gre	Kn	P	Te
B	D	Gro	Kr	Pe	Tho
Baker	Davis	H	L	Pet	Tr
Bar	De	Hal	Lar	Pi	U
Be	Del	Ham	Le	Pr	V
Ber	Di	Har	Lei	Pu	Ve
Bi	Do	Harr	Li	Q-R	W
Bl	Dow	Hat	Lo	Re	Wall
Bo	Du	He	Lu	Ri	War
Bon	E	Hen	M	Ro	We
Br	El	Her	Man	Ros	Wei
Bro	Et	Hi	Mas	Ru	Wh
Bu	F	Ho	McA	S	Wi
Bur	Fe	Hol	McD	Sch	Williams
C	Fi	Hon	McK	Schm	Wilson
Car	Fl	Hu	Me	Se	Wo
Cas	Fo	Hun	Mi	Sh	Wr
Ch	Fr	I	Miller	Si	XY
Che	Fri	J	Mo	Smith	Z
Cl	G	John	Mor	Sn	

See footnotes at end of table.

200 Divisions**

A	Con	Green	Lar	Or	Sn
Ad	Coo	Gri	Le	P	Sp
Adams	Cor	Gu	Li	Par	St
Al	Cr	H	Lo	Pat	Stone
Allen	Cu	Ham	Lor	Pe	Str
Am	D	Har	Lu	Per	Su
American	Davis	Harr	M	Ph	Sw
Ar	De	Has	Mah	Pi	T
As	Dem	He	Man	Po	Th
B	Di	Hen	Mar	Pr	Ti
Bal	Do	Her	Mart	Pu	To
Bar	Dor	Hi	Mas	Q	Tr
Bas	Dr	Ho	Mc	R	Tu
Be	Du	Hom	McD	Re	U
Ben	E	Hos	McI	Ri	United
Bi	Ed	Hu	McM	Rid	V
Bl	El	Hun	Me	Roc	Ve
Bo	En	I	Mer	Ros	Vo
Br	Es	J	Mi	Ross	W
Bre	F	Je	Miller	Ru	Wal
Bro	Fe	Jo	Min	S	War
Brown	Federal	John	Mo	San	We
Bu	Fi	Jon	Mor	Sc	Wel
Bur	Fl	Jones	Mos	Sch	Wes
C	Fo	K	Mu	Schu	White
Cam	Fr	Ke	Mur	Se	Wi
Car	Fri	Kem	N	Sh	Wil
Cas	G	Ki	National	Sher	Wils
Ch	Ge	Ko	Ne	Si	Wo
Che	Gi	Kr	Ni	Sim	Wr
Ci	Gl	Ku	No	Sk	X
Cl	Go	L	O	Sm	Y
Co	Gold	Lan	OI	Smith	Z
Collins	Gr				

*Records Management, Files Systems and Standards, AR 345-210, Headquarters, Department of the Army.

**Files Handbook for Congressional Offices, Senate Members, National Archives and Records Service, General Services Administration.

Appendix I

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I-1: U.S. Civil Service Commission Classification Standards For Paralegals	265
I-2: U.S. Civil Service Commission Classification Standards For Legal Clerks and Technicians	271

Appendix I-1

U.S. CIVIL SERVICE COMMISSION
CLASSIFICATION STANDARDS FOR PARALEGALS

Attachment 1 to Btn, No. 930-17

GS-950

PARALEGAL SPECIALIST SERIES

GS-950

This series includes positions which involve paralegal work not requiring professional legal competence where such work is of a type not classifiable in some other series. The work requires discretion and independent judgment in the application of specialized knowledge of particular laws, regulations, precedents or agency practices based thereon. The work includes such activities as (a) legal research, analyzing legal decisions, opinions, rulings, memoranda, and other legal material, selecting principles of law, and preparing digests of the points of law involved; (b) selecting assembling, summarizing, and compiling substantive information on statutes, treaties, contracts, other legal instruments and specific legal subjects; (c) case preparation for civil litigation, criminal law proceedings or agency hearings, including the collection, analysis and evaluation of evidence, e.g., as to fraud and fraudulent and other irregular activities or violations of laws; (d) analyzing facts and legal questions presented by personnel administering specific Federal laws, answering the questions where they have been settled by interpretations of applicable legal provisions, regulations, precedents, and agency policy, and in some instances preparing informative and instructional material for general use; (e) adjudicating applications or cases on the basis of pertinent laws, regulations, policies and precedent decisions; or (f) performing other paralegal duties. Work in this series may or may not be performed under the direction of a lawyer.

Note: These standards were developed largely through the efforts of Frank Vargo and other officials of the Superior Court Division, Office of the United States Attorney, U.S. Department of Justice, Washington, D.C.

Paralegal Specialist Qualification Standard GS-950
Series (p.1)

Paralegal Specialist, GS-5 and above

DESCRIPTION OF WORK

Paralegal specialist positions involve such activities as (a) legal research, analyzing legal decisions, opinions, rulings, memoranda, and other legal material, selecting principles of law, and preparing digests of the points of law involved; (b) selecting, assembling, summarizing, and compiling substantive information on statutes, treaties, contracts, other legal instruments, and specific legal subjects; (c) case preparation for civil litigation, criminal law proceedings or agency hearings, including the collection, analysis, and evaluation of evidence, e.g., as to fraud and fraudulent and other irregular activities or violations of laws; (d) analyzing facts and legal questions presented by personnel administering specific federal laws, answering the questions where they have been settled by interpretations of applicable legal provisions, regulations, precedents, and agency policy, and in some instances preparing informative and instructional material for general use; (e) adjudicating applications or cases on the basis of pertinent laws, regulations, policies and precedent decisions; (f) performing other paralegal duties requiring discretion and independent judgment in the application of specialized knowledge of particular laws, regulations, precedents, or agency practices based thereon. These duties may or may not be performed under the direction of a lawyer.

EXPERIENCE AND TRAINING REQUIREMENTS

Except for the substitution of education provided for below, candidates must have had both general and specialized experience as follows:

Grade	General (years)	Specialized (years)	Total (years)
GS-5 -----	3	0	3
GS-7 -----	3	1	4
GS-9 -----	3	2	5
GS-11 and above---	3	3	6

General Experience

This is progressively responsible experience which demonstrated the ability to explain, apply or interpret rules, regulations, procedures, policies, precedents, or other kinds of criteria. Such experience may have been gained in administrative, professional, investigative, technical, high level clerical, or other responsible work.

GS-950
(p. 2)

Paralegal Specialist
Series

Qualifying general experience may have been gained, for example, as a legal clerk, claims examiner, claims adjuster, voucher examiner, investigator, or contact representative.

Specialized Experience

This is legal, quasi-legal, paralegal, legal technical or related work that demonstrated:

- Ability to evaluate pertinent facts and evidence;
- Ability to interpret and apply laws, rules, regulations, and precedents;
- Skill and judgment in the analysis of cases;
- Ability to communicate effectively orally and in writing;
- As required, ability to deal effectively with individuals and groups;
- As required, knowledge of the pertinent subject area.

Qualifying specialized experience may have been acquired in positions which involved, for example:

- (1) Preparation, development, examination, review, or authorization of action on claims in accordance with applicable laws, rules, regulations, precedents, policies, office practices and established procedures; or
- (2) Examination and/or preparation of contracts, legal instruments, or other documents to assure completeness of information and conformance to pertinent laws, rules, regulations, precedents, and office requirements which has required the application of a specialized knowledge of particular laws, or of regulations, precedents or practices based thereon; or
- (3) Analysis of legal decisions, opinions, rulings, memoranda, and other legal material and preparation of digests of the points of law involved for the internal use of the agency; or
- (4) Interpretation and application of laws and related regulations in determining individual or agency responsibility, e.g.,

Paralegal Specialist
Series

GS-950
(p. 3)

potential liability of individuals to the Government for fraud, over-payment of benefits, taxes, etc., and potential liability of an agency for tort, loss of personal property, etc.; or

- (5) Selection, compilation, and summarization of substantive information on statutes, treaties, and specific legal subjects for the use of others; or
- (6) Conduct of hearings or adjudication of appeals arising under statute or regulations of a Government agency; or
- (7) Investigation and analysis of evidence of alleged or suspected violations of laws or regulations.

Quality of Experience

For positions at any grade, the required amount of experience will not in itself be accepted as proof of qualification. The candidate's record of experience and training must show the ability to perform the duties of the position. For positions at grades GS-11 and below, at least 6 months of the required specialized experience must have been at a level of difficulty and responsibility equivalent to that of the next lower grade, or 1 year of such experience at a level equivalent to the second lower grade in the federal service. For positions at grades GS-12 and above, at least 1 year of the required specialized experience must have been at a level equivalent to the next lower grade in the federal service.

Supervisory Positions

For supervisory positions, the qualification standard for "Supervisory Positions in General Schedule Occupations" in part III of Handbook X-118 should also be used.

Substitution of Education for Experience

- (1) Successful completion of a full 4-year course in an accredited college or university leading to a bachelor's degree may be substituted for 3 years of general experience. Such education successfully completed in a residence school above high school level may be substituted at the rate of 1 academic year of study for 9 months of experience up to a maximum of 4 years of study for 3 years of general experience.

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Paralegal Specialist
Series

- (2) Completion of all requirements for an LL.B., J.D., or higher degree from a recognized law school, including at least 6 full years of resident college work, will meet the requirements for grade GS-9.
- (3) Successful completion of 1 full academic year of study, e.g., 30 semester hours, in a paralegal or legal curriculum may be substituted for 1 year of specialized experience required for grades GS-7 and above; less than 1 full year of study will be credited on a pro-rata basis.

WRITTEN TEST

Candidates for competitive appointment to grades GS-5 and GS-7 may pass an appropriate written test. For in-service placement actions, the test is not required and, therefore, may not be used on a pass-fail basis. In addition, the test may not be used in evaluating or ranking eligible employees unless the test is approved for this purpose by the Civil Service Commission.

BASIS OR RATING

Competitors for all positions are rated on a scale of 100. Rankings are made:

1. For competitive appointment at grades 5 and 7: on the basis of the written test.
2. For competitive appointments above GS-7: on the basis of the extent and quality of experience and training relevant to the duties of the position.

PHYSICAL REQUIREMENTS

Candidates must be physically able to perform the duties of the position efficiently and without hazard to themselves or to others. Ability to read without strain printed material the size of typewritten characters is required, corrective lenses permitted. Ability to speak without impediment may be required for some positions. Ability to hear the conversational voice, with or without a hearing aid, is required for most positions; however, some positions may be suitable for the deaf. In most instances, an amputation of arm, hand, leg, or foot, will not disqualify for appointment, although it may be necessary that this condition be compensated by use of satisfactory prosthesis. Candidates must possess emotional and mental stability.

Appendix I-2

U.S. CIVIL SERVICE COMMISSION CLASSIFICATION STANDARDS
FOR LEGAL CLERKS AND TECHNICIANS

Attachment 2 to Btn. No. 930-17

GS-986

LEGAL CLERK AND TECHNICIAN SERIES

GS-986

This series includes positions which involve legal clerical or technical work of a type not classifiable in other series in the Legal and Kindred Group, GS-900. The work requires the ability to apply established instructions, rules, regulations and procedures relative to legal or paralegal activities.

Note: These standards were developed largely through the efforts of Frank Vargo and other officials of the Superior Court Division, Office of the United States Attorney, U.S. Department of Justice, Washington, D.C.

Legal Clerk and
Technician Series

Special Qualification Standard

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Note: This special qualification standard has been developed for interim use until a standards study of the occupation can be made. It is intended for use primarily for in-service placement but the education and experience requirements may be used in filling positions competitively from appropriate registers.

Legal Clerk and Technician, GS-4 and above

DESCRIPTION OF WORK

Candidates appointed to these positions perform legal clerical or technical work of a type not classifiable in other series in the Legal and Kindred Group, GS-900. This work requires the ability to apply established instructions, rules, regulations and procedures relative to legal or paralegal activities.

EXPERIENCE, TRAINING AND RELATED REQUIREMENTS

Candidates must have had qualifying experience in the amounts shown in the following table:

Grade	General (years)	Specialized (years)	Total (years)
GS-4 -----	2	None	2
GS-5 -----	2	1	3
GS-6 -----	2	2	4
GS-7 -----	2	3	5
GS-8 and above	2	4	6

General Experience

General experience is responsible general office clerical experience which has demonstrated the ability to perform clerical duties satisfactorily.

Note: The qualification standard issued in June 1962, for positions at GS-4, 5, and 6 in the Legal and Kindred Group, GS-900, is rescinded.

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Legal Clerk and
Technician Series

Specialized Experience

This is responsible experience in clerical, administrative, technical or other responsible work related to legal or paralegal activities that demonstrates the ability to interpret, explain, and/or apply established instructions, rules, regulations, procedures, policies, precedents, or other kinds of criteria.

Examples of qualifying specialized experience include legal clerical or secretarial work and legal instruments examining. This experience involves such duties as maintenance of legal files and case controls, extraction of information from legal files and preparation of legal forms and documents.

Quality of Experience

For positions at GS-4, 5, and 6, at least one year of the required experience must have been at a level comparable to that of the next lower grade in the Federal service. For positions at GS-7 and above, candidates must show at least one year of experience comparable to the second lower grade in the Federal service. In all cases, the candidate's total experience and training must give evidence of his ability to perform the duties of the position to be filled.

Substitution of Education for Experience

For the first two years of required general experience, successful completion of resident education in a school above the high school level may be substituted on the basis of 1/2 academic year of study or the equivalent (e.g., 15 semester hours of college work or 18 weeks of business school), for 6 months of experience. Only limited credit will be allowed for training which has been obtained only or primarily in remedial or refresher courses or in the basic skills of shorthand or typing. Two academic years of study fully meets the education and experience requirements for GS-4.

For GS-5, successful completion of the requirements for a bachelor's degree at an accredited college, which included or was supplemented by at least 12 semester hours of course work in law or paralegal subjects fully meets the education and experience requirements. Other education and training will be given appropriate credit on a pro rata basis.

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Legal Clerk and
Technician Series

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Supervisory Positions

For supervisory positions, the qualification standard for "Supervisory Positions in General Schedule Occupations," in part III of Handbook X-118 should also be used.

Attachment 3 to Btn. No. 930-17

GS-942

DEPORTATION AND EXCLUSION EXAMINING SERIES

GS-942

This series includes all classes of positions the duties of which are to supervise or perform legal work involved in the conduct of formal hearings accorded to aliens in deportation or in deportation and exclusion proceedings, the development of a record thereof, and the preparation of reports or orders containing findings of fact, conclusions of law, and decisions reached.

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