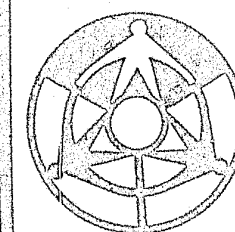


U.S. DEPARTMENT OF JUSTICE
FEDERAL BUREAU OF INVESTIGATION
WASHINGTON, D.C. 20535

39671



THE AMERICAN UNIVERSITY
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Institute for Advanced Studies in Justice
The American University Law School
Washington, D.C.

A Program of the
Office of Regional Operations
(Adjudication Division)
Law Enforcement Assistance Administration
U.S. Department of Justice

RECOMMENDATIONS FOR A
CIVIL AND CRIMINAL CASE REPORTING
SYSTEM FOR THE
SUPERIOR AND APPELLATE COURTS OF
MAINE

MAY 5 1977

February 1977

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FOREWORD

In an effort to develop a professional court planning capability, Maine's recently appointed state court administrator, Ms. Elizabeth D. Belshaw, identified as a key priority the development of a comprehensive court information system. Although computerization of such a system was not presently feasible, the development of a manual statistical reporting system was both necessary and warranted. In this regard, Ms. Belshaw requested LEAA's Criminal Courts Technical Assistance Project at The American University to make available the services of Ms. Beatrice Hoffman, Director of Research and Development for the Colorado Judicial Department, to begin development of a state court information system for Maine which could be implemented at this time and which could eventually be computerized. Initial application would be at the Superior Court (trial) level where the most significant data problems were encountered. Specifically, Ms. Belshaw requested that the assistance focus upon the following areas:

- (1) assessment of informational needs;
- (2) design of a manual system responding to the needs identified which can be computerized when resources permit;
- (3) design of appropriate data collection forms, report formats and definitions;
- (4) recommendations for implementation.

In the course of two site visits, during the period of July through September, Ms. Hoffman addressed the first three issues identified by Ms. Belshaw. Section I of this report documents that initial effort and includes recommendations for data gathering specific reporting forms, keypunch card formats for civil and criminal cases and an Instruction

Manual further explaining the reporting system are provided in the Appendix.

These recommendations were submitted to the State Court Administrator in September for further consideration and implementation. On November 18 and 19 Ms. Hoffman returned to Maine to assist in this implementation process and to focus, specifically, upon providing the following:

- (1) A recommended information system for the appellate courts, including a recommended form;
- (2) Recommendations for monthly and yearly descriptive and statistical output reports to be produced whether manually or by computer;
- (3) Training of the statistician in the maintenance of the reporting systems and in ways to compile data for the production of monthly and yearly reports;
- (4) Recommendations for compilation forms for use by the statistician who will be assigned responsibility for maintaining the court information systems; and
- (5) Assistance to the Regional Administrators in planning the clerk's training sessions.

A final site visit was made by the consultant on January 7, 1977 for the purpose of meeting with the state's Superior Court Clerks in their first training session to instruct them in the new statistical system. At that time, Ms. Hoffman gave an overview of the many tasks presently being handled by automation in some courts, the rationale for having court statistical systems, and a summary of the information obtainable from the Maine Superior Court Information System. During this visit, she also met with officials of the State Data Processing Division regarding the potential analytical and programming assistance which the Division might provide to the Courts.

The results of this site visit, together with recommendations for system implementation, are reported in Section II.

I. IDENTIFICATION OF INFORMATIONAL NEEDS AND SUBSEQUENT SYSTEM DESIGN

A. Background

In July 1975, the Law Enforcement Assistance Administration funded a state court administrative office in Maine. One of the goals of the new State Court Administrator, Elizabeth Belshaw, has been to provide accurate, timely information on the business of the courts for the use of judges, administrators, legislators, attorneys, and the general public.

The present information system for the Superior Courts consists of a monthly form for summary data, filled out manually by the clerk in each court, and sent to the Chief Clerk of Courts who compiles the statistics. The compilations are sent to the regional administrators and judges three to four months after the reporting month. Although timeliness is a problem, validity is a more serious one. Because the terms used in the form are not defined, and because there is no standard procedure for counting the cases, the figures are not comparable between courts or from year to year. In particular, the number of pending or open cases is felt to be unreliable for comparison purposes.

Information on appellate cases is provided in summary data reported by the Clerk of the Supreme Court. Because the number of appellate cases handled is smaller than the number of cases handled in trial courts, the problems with this system are not so acute. However, counts of cases handled by different divisions of the appellate court are not distinguished and some refinement in reported information has been desired.

Although the information system for the District Courts is also deemed inadequate the State Court Administrator felt that improvement for that level of court should await the improvement of information systems for the Superior Courts and the Appellate Court. Therefore, the consultant was not asked to examine or give advice concerning the District Court statistical system.

In focusing technical assistance upon the design and implementation of an information system for the Superior and Appellate Courts, the State Court Administrator emphasized that her highest priorities were: (1) accuracy; (2) low cost; (3) simplicity; and (4) utility to the court decision-makers. Since very limited resources were available, Ms. Belshaw was willing to sacrifice complex analysis and detailed knowledge of the court system for quick, simple results and accuracy on a limited number of critical items.

B. Methodology

Two site visits were made during the initial phase of assistance to identify informational needs and prepare a system design. The first site visit was made July 16 and 17, 1976. Initially the consultant met with the State Court Administrator, who further defined the situation and provided an overview of available resources, future possibilities, a quick overview of the present system, and an understanding of what results were expected. The remaining day was spent in a work session, participated in by the consultant, the State Court Administrator, and the four regional administrators.

Discussions initially centered on what the regional court administrators wanted in an information system to reconcile their desire for extensive data with the slim resources available in the budget. After a general system

design was agreed upon, two separate input forms were designed for the Superior Court: civil and criminal. Data elements were discussed one by one in great detail and agreed upon or discarded.

The consultant spent a second half-day completing a first draft of the Superior Court data entry forms and studying the present information forms used by the Maine Supreme Judicial Court. The data entry forms were left with the regional court administrators to show to the clerks in the Superior Courts and to receive their comments.

A second site visit was made on September 7, 1976. The regional court administrators had prepared for the site visit by defining the data elements suggested in the first data entry form. Nevertheless, it took an entire 10 a.m. to 7 p.m. day, with a half-hour break for lunch, to hammer out a manual of instructions and definitions to use with the data entry form. Suggestions made by clerks were discussed and incorporated within the form when agreed upon by the four regional court administrators, the State Court Administrator and the consultant. Preparation of the recommended manual and data entry forms plus keypunch card formats were completed later by the consultant and the State Court Administrator through mail and telephone and are included in the Appendix to this report.

C. Recommendations For A Case Counting System For The Maine Superior Court

1. For certainty of accuracy, data should be collected on a case by case basis, rather than through summary counts.
2. A simple three-part, no-carbon-required entry form should be printed and provided to clerks. The first sheet should include filing information only, and should be filled out at time of filing, and torn off to

be sent to the state office. The form should then be clipped to or placed into the case file. At the time a case terminates, the second sheet is filled out, with action and termination information. The third sheet is a carbon and remains with the file as a back-up. Filing and termination sheets should be different colors for easy identification. The recommended manual (Appendix D) gives instructions that further explain how the system will work.

3. Two forms should be used: one for civil and one for criminal cases. They should differ in color for easy identification. The recommended forms are attached (Appendices B and C) and the manual (Appendix D) further explains their use.

4. If no computer processing funds are available, figures can be compiled manually. It will take one full-time employee (hereinafter called the statistician) to handle the processing of the entry forms, to do manual counts, compile data, and prepare reports.

5. To reduce the time for more complex calculations, the closed cases should be keypunched, using the second sheet only. Counts can then be made quickly and accurately through the use of a card sorter. Key punching can be done once or twice a year at an approximate cost of 7¢ to 9¢ a card. The State Court Administrator is encouraged to have the cards keypunched and to find an economical means to use a sorter, if the budget permits. The possibility of the statistician's use of a card sorter at a state computer facility or local college should be explored. Often service is provided free or at minimum cost at a vocational education center.

6. As soon as funds are available, arrangements should be made to have such reports programmed and computer generated. Time reports are tedious to compute manually and a sorter will be of little help.

Costs of getting reports programmed and run vary. Many state or county computer centers function as a service bureau for state agencies. Some of them do the programming at no cost provided fast service is not demanded. Sometimes it is possible to contract with a college or vocational education student to write individual programs and run them on the school-owned computer at an hourly cost. It may be possible to persuade a programming instructor to make a program a class or a student project at no cost. Private service bureaus are a last resort since they are expensive.

7. Monthly tabulations on caseflow should be sent to the Chief Justice, Chief Judges, the State Court Administrator, and the Regional Administrators. Since these will be manually prepared, at least initially, the timeliness will not improve but accuracy will.

8. Yearly reports of a more analytic nature should be prepared and sent to the above named people not later than six months after the end of the year.

9. As budget allows, statistical reports should be programmed. It is anticipated that, eventually, little manual tabulation will be necessary and the statistician's work can be reduced to .50 or even .25 time, using the savings to help pay for the necessary computer processing time.

10. A decision must be made by the State Court Administrator as to when the new system will begin. More importantly, a decision must be made whether: (1) all pending cases will be reported through the new system prior to or on the opening date (so that the system can work as it is intended), or (2) only new cases will be reported through the new system prior to or on the opening date (thereby eliminating all

terminated cases except those filed after the opening date), or
(3) reporting the filing date and termination date at one time
for those cases which close after the opening date but had been filed
prior to the opening date.

The best plan is to audit all pending cases and have them filed
through the new system as of the opening date (#1 above) but it
means extra work for the clerks. The #3 solution is second best, and
will work if good training is provided the clerks, making clear the
different procedures necessary for those cases reported at filing
time and those not previously reported. The #2 solution is not
recommended since it delays the time termination figures become
accurate.

11. A training session must be planned for all clerks who will be
filling out the new forms. Forms and manuals must be ready to hand out
at the workshop session, and the session should occur as soon before the
opening date as possible, no more than two weeks ahead of time. It
is best if no more than 20 clerks attend one session, so that questions
can be asked and answered freely.

It is important to realize that training follow-up is essential,
particularly after the first and second month entries are received.
The statistician can work with the regional administrators to plan
follow-up of errors by phone or mail. It may be necessary for the
statistician to make court visits to work with individual clerks
having difficulty understanding the instructions.

D. Further Effort Required

To complete the planning required to develop the statistical system
additional site meetings were held during the November-January period to

prepare an information system for the appellate courts, including recommended forms, and to provide the following:

- Recommendations for monthly and yearly descriptive and statistical output reports to be produced either manually or by computer, including a listing of necessary data elements and a prioritized list for computerization efforts;
- Recommendations for data compilation forms to be used by the statistician assigned responsibility for maintenance of the court information systems;
- Training of the statistician in the maintenance of the reporting systems and in ways to compile data for the production of monthly and yearly reports;
- Assistance to the regional administration in planning the clerks training sessions;

A report of this assistance is provided in Section II.

II. System Development and Implementation

A. Summary of Assistance Provided

On November 18 and 19, Ms. Hoffman returned to Maine to work primarily with the Clerk of Courts regarding procedures for implementing, monitoring and correcting the recommended Superior Court System. Methods for compiling and reporting the data were discussed and agreement was reached regarding the procedures to be used. In addition, the present appellate data system was explored in depth. Since the State Court Administrator felt that planning for the training sessions could be handled by the regional administrators, the consultant met only briefly with them during this visit. Following these meetings, the consultant completed final preparation of the recommended forms, data presentation layouts, computer printout layouts, and system design. These sample forms are included in this report along with the consultant's specific recommendations regarding system implementation.

B. Recommendations

1. General Recommendations

a. To maintain the proposed statistical systems, it is recommended that a position of Administrative Assistant for Statistics be established in the State Court Administrator's office. This person would maintain all court statistical systems, including a District Court information system when that is developed in the future. This person would provide management information on a monthly basis to judges and administrators and caseload information to legislators, the media and the general public. Included in the duties would be preparation of an Annual Statistical Report. Such a person would be under the supervision of the State Court

Administrator. The position is envisioned at a cost of approximately \$8,000 per year.

b. It is recommended that until such a position is approved, the Chief Clerk of the Courts handle the statistical duties required. This person is presently handling monthly and annual statistical duties competently.*

c. A Statistical Report should be published annually. This report need not be expensively produced, but it should be as timely as possible. It should be printed within three months and no later than six months after the end of the year. It should include yearly caseload data for the Superior, District and Appellate Courts, by county and by state, plus aggregate budget and staffing information.

The Annual Statistical Report should be regarded as both a public relations document and a repository of relevant information about the operation of the courts. It should be sent to all legislators, justices and district attorneys and should be distributed to all major newspapers and libraries within the state. If produced annually, the reports will become historical references on the judicial system of Maine.

* For purposes of this report, the term 'statistician' is employed to describe the functions to be performed by either the Chief Clerk of Courts or an Administrative Assistant for Statistics.

2. Recommendations for the Maine Appellate Court Information System

a. A simple manual system is recommended at this time. In the 1976 special session, the Maine legislature provided funding for a seventh Supreme Court Justice. Since this additional judgeship should help to alleviate the backlog problem, at least temporarily, there appears to be no pressing need for detailed information. In addition, because of the small numbers of cases involved, data needs can be accommodated without difficulty, when desired, directly from the docket sheets. Consequently, a simple manual system is recommended at this time.

b. Two simple forms are recommended: one for the Law Court and one for the Appellate Division. These forms are included on pages 13 and 14. They each ask for summary data, and are to be filled out on an annual basis.

The Law Court form is to be filled out by the Clerk of the Law Court. Most of the information is presently being collected, so the Clerk should have no problems with the form. The Appellate Division form is to be filled out by the Clerk of the Knox County Superior Court, who is also the Clerk of the Appellate Division.

The completed forms are to be sent to the State Court Administrator's office to be reviewed by the statistician.

c. The Supreme Appellate Court data, including information from both the Law Court and the Appellate Division, should be included in the proposed Annual Statistical Report.

3. Further Recommendations for the Superior Court Case Counting System

The Superior Court system is envisioned as progressing through three stages, from a completely manual system to a partially manual one, to a completely automated batch system. If funding permits, the State

LAW COURT YEAR _____

I. CASEFLOW INFORMATION

	CIVIL	CRIMINAL	TOTAL
A. No. of Cases Pending at End of Previous Year	_____	_____	_____
B. No. of New Appeals This Year	_____	_____	_____
C. No. of Interlocutories (Reports) This Year	_____	_____	_____
D. Total Caseload This Year (A + B + C)	_____	_____	_____
E. No. of Dispositions This Year	_____	_____	_____
F. No. of Cases Pending at End of This Year (D - E)	_____	_____	_____

II. NO. CASES FILED BY COUNTY

Androscoggin _____	Kennebec _____	Piscataquis _____
Aroostook _____	Knox _____	Sagadahoc _____
Cumberland _____	Lincoln _____	Somerset _____
Franklin _____	Oxford _____	Waldo _____
Hancock _____	Penobscot _____	Washington _____
		York _____

III. DISPOSITION INFORMATION

	CIVIL	CRIMINAL	TOTAL
A. No. <u>Per Curiam</u> Opinions	_____	_____	_____
B. No. Written Opinions	_____	_____	_____
C. No. "Solemn Occasion" Opinions	_____	_____	_____
D. No. of Appeals Denied	_____	_____	_____
E. No. of Appeals Sustained	_____	_____	_____
F. No. of Appeals Dismissed	_____	_____	_____

IV. PENDING CASE INFORMATION

A. No. Not Yet At Issue ("O.K." Case)	_____
B. No. At Issue Awaiting Oral Argument	_____
C. No. Orally Argued Awaiting Opinion	_____

STATE OF MAINE
ANNUAL STATISTICAL REPORTING FORM

APPELLATE DIVISION YEAR _____

A. No. of Appeals Pending at End of Previous Year _____
 B. No. of Appeals Filed This Year _____
 C. Total Caseload This Year (A + B) _____
 D. No. of Appeals Disposed of This Year _____
 E. No. of Appeals Pending End of This Year (C - D) _____

F. No. of Hearings Held _____

G. Disposition Information:

1. No. Sentences Unchanged _____
 2. No. Sentences Reduced _____
 3. No. Sentences Increased _____

H. No. Cases Filed by County:

Androscoggin	_____	Oxford	_____
Aroostook	_____	Penobscot	_____
Cumberland	_____	Piscataquis	_____
Franklin	_____	Sagadahoc	_____
Hancock	_____	Somerset	_____
Kennebec	_____	Waldo	_____
Knox	_____	Washington	_____
Lincoln	_____	York	_____

I. No. Cases Pending Because Appeal Is Pending
In Law Court _____

Court Administrator may wish to go immediately to the second or third stage.

These stages are described below:

a. Stage I

The first stage consists of both manual monitoring of the system and manual compilation of the data. No computerization is involved. The following steps are required:

(1) One entry form per case is to be filled out by the clerk at the time of filing and at time of termination. All forms are to be sent to the regional administrator monthly, within three working days after the end of the month.

(2) The regional administrator will total caseload figures from the entry sheets and compile them per county on the Superior Court Monthly Caseload Totals Form. A sample is included on page 16. Retaining a copy of the totals form only, the regional administrator will forward the entry forms and the Caseload Totals Form to the state office within five working days after receipt of the entry forms from the clerks.**

(3) Upon receipt of the forms, the statistician should compile all 16 Caseload Totals into state summaries on the Superior Court Cumulative Caseload Report-Civil and the Superior Court Cumulative Caseload Report-Criminal forms on pages 17 and 18 of this report. These reports will provide cumulative information. That is, the January report will have one month's data, January of 1976 and January of 1977; the February report will have two month's data, and by the entire year. Therefore, readers will be able to compare filings and caseload of the ongoing year with the same period of time in the previous year. The report is designed to show each county and the state as a whole.

** This procedure is recommended to allow the regional administrators to get monthly totals as soon as possible. However, if the work gets burdensome, consideration might be given to having the clerk of each court prepare the Caseload Totals or having the statistician do it.

SUPERIOR COURT MONTHLY CASELOAD TOTAL FORM

COUNTY OF _____

MONTH OF _____, 19____

	CIVIL	CRIMINAL	TOTAL
A. No. of Cases Pending at End of Previous Month	_____	_____	_____
B. No. of New Filings This Month	_____	_____	_____
C. No. of Refiled Cases This Month	_____	_____	_____
D. Total Caseload This Month (A + B + C)	_____	_____	_____
E. No. of Dispositions This Month	_____	_____	_____
F. No. of Cases Pending at End of This Month (D-E)	_____	_____	_____
G. No. of Civil Cases on Pre-Trial List			_____
H. No. of Civil Cases on Jury Trial List			_____
I. No. of Civil Cases on Jury-Waived Trial List			_____
J. No. of Criminal Cases Currently Pending Because of Outstanding Warrants			_____

SUPERIOR COURT CUMULATIVE CASELOAD REPORT - CIVIL

PERIOD: January 1, 1977 to September 30, 1977, Compared to Same Time Period in 1976

COUNTY	PENDING AT START OF YEAR		NEW FILINGS		REFILINGS		CASELOAD		DISPOSITIONS		PENDING END OF TIME PERIOD	
	1976	1977	1976	1977	1976	1977	1976	1977	1976	1977	1976	1977

Androscoggin

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York
STATE

SUPERIOR COURT CUMULATIVE CASELOAD REPORT - CRIMINAL

PERIOD: January 1, 1977 to September 30, 1977, Compared to Same Time Period in 1976

COUNTY	PENDING AT START OF YEAR		NEW FILINGS		REFILINGS		CASELOAD		DISPOSITIONS		PENDING END OF TIME PERIOD	
	1976	1977	1976	1977	1976	1977	1976	1977	1976	1977	1976	1977
Androscoggin												
Aroostook												

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York
STATE

The 1976 monthly data was collected so that such a comparison report can be compiled and distributed as soon as desired.

(4) Upon receipt of the forms, the statistician may also wish to total trial and criminal charge information into a state summary. See the suggested Superior Court Cumulative Activity Report on page 20.

This report is also cumulative. However, it does not permit comparisons with previous years, since such data is not available for 1976. After the first year of operation of the Superior Court System, however, the report could be refined by including comparative two-year data.

To simplify the compilation of the data included in the Cumulative Activity Report, a suggested Caseload Compilation Sheet was designed. This is a simple form, to be used by the statistician only, to record data per county as it arrives each month. A sample form is provided on page 21.

A similar form was not designed for the Cumulative Caseload Reports, since the numbers can be copied off the Monthly Caseload Total Form directly. The trial information, etc., however, will have to be added manually by the statistician directly from the entry forms.

(5) It is strongly recommended that three cumulative reports be completed and sent, prior to the end of each month, to the following people: the Chief Justice, the State Court Administrator, each regional administrator, and each regional Presiding Justice. If possible, reports should be sent as well to each of the other ten Superior Court Justices and (criminal only) to the eight district attorneys.

SUPERIOR COURT CUMULATIVE ACTIVITY REPORT

PERIOD: January 1, 1977 to September 30, 1977

COUNTY	JURY TRIALS				JURY-WAIVED TRIALS				REFERENCE HEARINGS CIVIL	--CLASSES OF FILINGS--				
	---CIVIL---		-CRIMINAL-		---CIVIL---		-CRIMINAL-			CRIMINAL				
	TRLS	DAYS	TRLS	DAYS	TRLS	DAYS	TRLS	DAYS		A	B	C	D	E
Androscoggin														
Aroostook														

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↓

York
STATE

CASELOAD COMPILATION SHEET

COUNTY _____

YEAR _____

CIVIL JAN FEB MAR APR MAY JUNE JULY AUG SEPT OCT NOV DEC TOTAL

# Jury Trials													
# Jury Days													
# Jury-Waived Trials													
# Jury-Waived Days													
# Reference Hearings													

CRIMINAL

# Jury Trials													
# Jury Days													
# Jury-Waived Trials													
# Jury-Waived Days													
Class A													
Class B													
Class C													
Class D													
Class E													
Total Criminal													

(6) It is further recommended that the annual totals of the three cumulative reports, as mentioned above, be included in an Annual Statistical Report. The Report should include other annual compilations as time and available staff allow. Manual totalling of the entry forms may include such information as type of civil filings, ratio of acquittals to convictions, percentage distribution of type of sentence, etc.

(7) After compiling the data each month, the statistician should file the entry forms by county, further separated by type of case: civil or criminal.

(8) As the statistician works with the forms monthly for purposes of compiling the data, the forms should be checked for accuracy and completeness. Forms not completed correctly should be sent back to the clerk with a note asking for its return with the corrected information. However, since this process may become costly, time-consuming, and tedious, consideration should be given to having the statistician call the clerk and get the information on the phone immediately.

b. Stage II

The second stage consists of manual monitoring of the system, some manual compilation of data, and keypunching of terminated cases, allowing two computer generated reports and compilation of desired data using a mechanical keypunch card sorter. The following steps are required:

(1) All procedures and reports described in Stage I are to continue. However, in addition, all the data on the entry forms should be keypunched according to the keypunch specifications recommended in the first report. Only the second sheet of the data form is to be keypunched, since this gives both filing and action information. If possible, this should be done every six months, but annually, at a minimum.

(2) Civil and criminal time reports should be computer generated at least annually and, if possible, twice a year. See the suggested civil Caseflow Time Report and the Criminal Caseflow Time Reports on pages 24-27.

These reports are the most valuable court management tools this system can produce. Each should be printed on three-part paper, with one copy to the Chief Justice, one to be kept in the State Court Administrator's office for her use and the statistician's and a third to be divided according to the relevant counties, and sent to the regional Presiding Justices and be shared by their administrators.

(3) The Civil Caseflow Time Report measures the time cases take to go through the court process from various critical times on the way to disposition. Civil cases are sorted by type of case, and both the number of cases and the average (mean) number of days are listed. The report should be programmed so that any period of time can be requested. It should be printed so that there is one page per county plus a state total page.

(4) The Criminal Caseflow Time Report is similar to the Civil Caseflow Time Report, except that criminal cases are sorted by class, with sub-totals for what are essentially misdemeanor and felony cases, plus a total for all classes.

(5) After the Time Reports are produced, the keypunch cards should be returned to the state office. Any information on terminated cases which is desired by the Chief Justice of the State Court Administrator can then be obtained easily by running the cards through a mechanical sorter for counting purposes. This is a task that can be done by the statistician if use of a sorter can be obtained at a nominal charge.

CIVIL CASEFLOW TIME REPORT

FOR DISPOSITIONS IN PERIOD
01/01/77 TO 12/30/77

ANDROSCOGGIN COUNTY (01)

TYPE CASE	PRE/TR MEMO TO PRE/TR CONF	PRE/TR CONF TO JURY TRIAL	PRE/TR CONF TO JURY/WA TRIAL	PRE/TR CONF TO REFER HEARING	PRE/TR CONF TO OTHER DISPO	ALL CASES PRE/TR MEMO TO DISPO
DAMAGES						
# OF CASES	66	7	6	2	51	68
AVERAGE DAYS	32	112	57	21	46	59
PERSONAL INJ						
# OF CASES	80	9	1	2	68	82
AVERAGE DAYS	36	122	44	17	107	109
CONTRACT						
# OF CASES	41	4	7	8	22	43
AVERAGE DAYS	37	109	60	24	79	83
URESA						
# OF CASES						30
AVERAGE DAYS						27
DIVORCE						
# OF CASES	212		186		26	220
AVERAGE DAYS	34		197		78	210
TRA/INF/APPS						--
# OF CASES						8
AVERAGE DAYS						23
HABEAS/CORP						
# OF CASES						10
AVERAGE DAYS						5
OTHER APPLS						
# OF CASES						3
AVERAGE DAYS						11
OTHER CASES						
# OF CASES	1				1	16
AVERAGE DAYS	14				14	38
TOTAL CIVIL						
# OF CASES	400	20	200	12	168	480
AVERAGE DAYS	34	116	187	22		

CIVIL CASEFLOW TIME REPORT
FOR DISPOSITIONS IN PERIOD
01/01/77 TO 12/30/77

STATE

CRIMINAL CASEFLOW TIME REPORT

FOR DISPOSITIONS IN PERIOD
01/01/77 TO 12/31/77

ANDROSCOGGIN COUNTY (01)

CLASS	1ST APP TO PLEA GUILTY	GUILTY PLEA TO DISP	1ST APP TO JURY TRIAL	JURY TRIAL TO DISP	1ST APP TO JURY WAIV TR	JURY WAIV TR TO DISP	ALL 1ST APPEAR TO DISP
A							
# DEFENDANTS	7	7	5	5			12
AVERAGE DAYS	36	9	31	11			43
B							
# DEFENDANTS	22	22	11	11			33
AVERAGE DAYS	28	9	30	10			38
C							
# DEFENDANTS	112	112	30	30	13	13	175
AVERAGE DAYS	32	8	26	12	27	7	36
A + B + C							
# DEFENDANTS	141	141	46	46	13	13	220
AVERAGE DAYS	31	8	28	11	27	7	36
D							
# DEFENDANTS	76	76	1	1	4	4	98
AVERAGE DAYS	27	9	42	9	24	10	32
E							
# DEFENDANTS	86	86	2	2	8	8	118
AVERAGE DAYS	27	9	24	10	22	9	31
D + E							
# DEFENDANTS	162	162	3	3	12	12	216
AVERAGE DAYS	27	9	30	9	22	9	31
ALL CLASSES							
# DEFENDANTS	303	303	49	49	25	25	436
AVERAGE DAYS	29	8	28	11	24	8	33

c. Stage III

The third stage allows for a complete batch processing system, needing a minimum of personnel monitoring and data compilation. The following tasks are required:

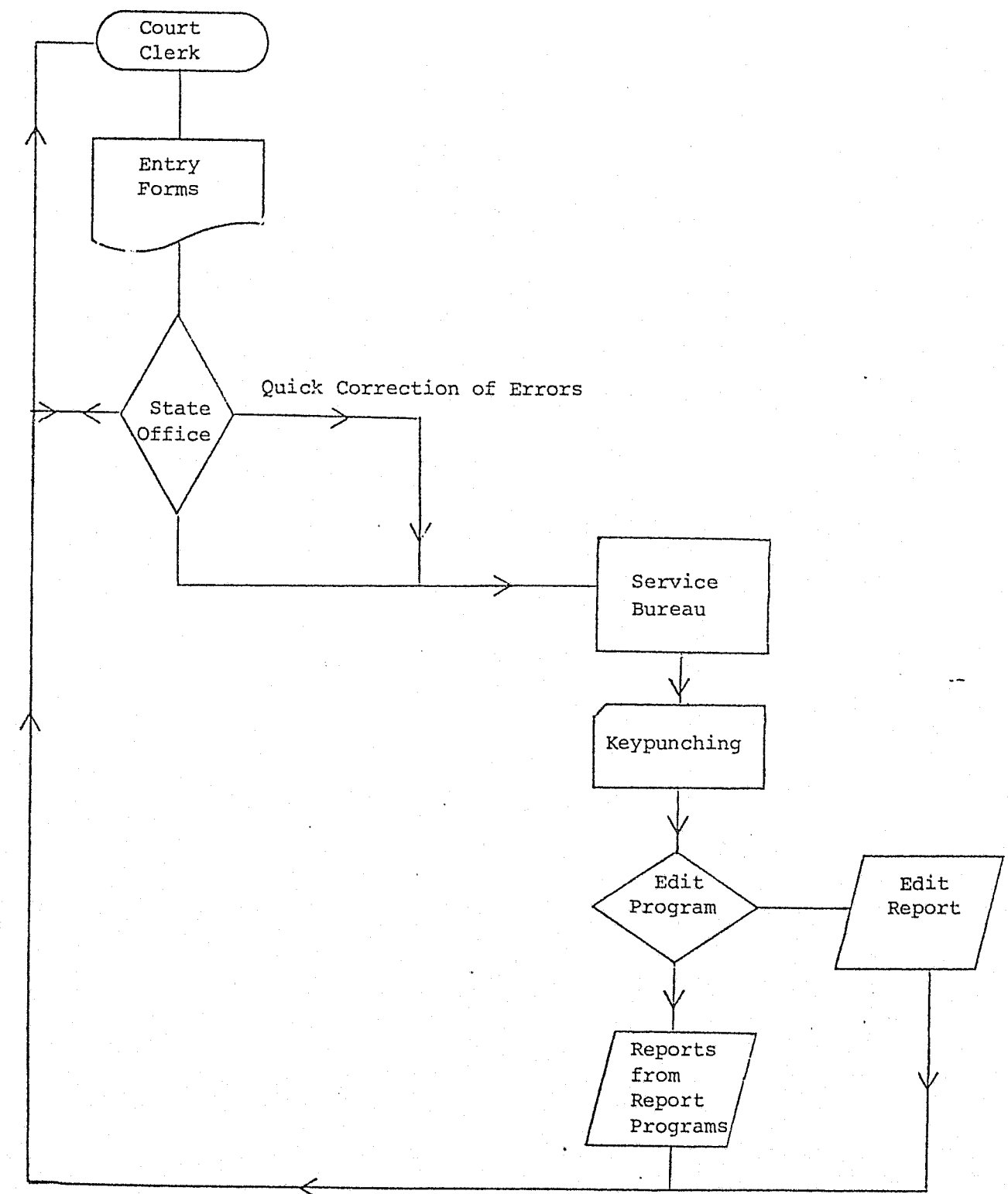
(1) The manual procedures described in the first stage are eliminated. The forms are sent directly to the State Court Administrator's Office, by-passing the regional administrators where the statistician will check them for errors and then deliver them to a private or public service bureau for processing.

(2) The service bureau will keypunch the data on all sheets, both the first (with just the filing information) and the second. A case file will be maintained, with the computer matching up the information according to docket number, class of case, and county. The file should be designed large enough to accomodate additional information should the entry form be expanded in future years.

(3) The service bureau will process the data monthly. After keypunching, the data will be run through an edit program which will sort and remove all cases which have incorrect or incomplete data. All approved cases will then be counted by a program which will produce the Superior Court Monthly Caseload Report, a sample of which is provided on pages 32-36. The incorrect cases will then be held on a tape, which will be sent to the state office for distribution. The Superior Court Batch Statistical System Flowchart on page 29 is a clarification of the recommended process.

(4) The Superior Court Monthly Caseload Report replaces the manual compilation done by the statistician in the previous two stages. Civil

SUPERIOR COURT STATISTICAL SYSTEM FLOWCHART



cases are sorted by type, with three types sorted by money amount. Criminal cases are sorted by class, within type of case. As in the other suggested reports, data should be printed by each county and then for the state.

(5) Variations on the Monthly Caseload Report may be made, such as a Cumulative Caseload Report and an Annual Caseload Report. Detailed description of the proposed batch system for stage three was beyond the scope of this consultancy. However based on the technical assistance provided, the State Court Administrator can develop, with recommendations from a systems analyst, a simple but adequate batch statistical system.

C. Summary

A manual case counting system has been recommended for the Appellate Courts of Maine. A manual statistical system has been recommended for the Superior Courts of Maine for immediate implementation. As funds permit, this system can be converted to a partial and, later, a fully automated system.

At the time of the consultant's visit, the input forms had not yet been prepared for bidding. The State Computer Center had been approached and was interested in working with the State Court Administrator, but only tentative costs had been discussed. For these reasons, the consultant was able to develop only very general cost estimates which are provided on the following page:

ESTIMATED ANNUAL COSTS OF THE
SUPERIOR COURT STATISTICAL SYSTEM

PHASE I.

1.0 Administrative Assistant for Statistics	\$ 7,900
Supplies and Operating for Assistant	400
Input Forms - one-time plate charges	100
- 15,000 forms @ 11¢ each	1,650
TOTAL	\$10,050

PHASE II.

1.0 Administrative Assistant for Statistics	\$ 7,900
Supplies and Operating for Assistant	400
Input Forms - 15,000 forms @ 11¢ each	1,650
Keypunching - 15,000 cards @ 11¢ each, including cards	1,050
Two Time Reports - development costs	1,000
production costs	600
Use of a Sorter - 80 hrs. @ \$3.00 hr.	240
TOTAL	\$12,840

PHASE III.

.25 Administrative Assistant for Statistics	\$ 1,650
Supplies and Operating for Assistant	100
Input Forms - 15,000 @ 11¢ each	1,975
Service Bureau - development costs of system	
including two new reports	4,000
- production costs including two	
monthly and two annual reports	10,000
Use of a Sorter - 80 hrs. @ \$3.00 hr.	240
TOTAL	\$ 17,965

SUPERIOR COURT MONTHLY CASELOAD REPORT
FOR PERIOD ENDING SEPTEMBER 30, 1977

ANDROSCOGGIN COUNTY (01)

TYPE CASE	PEND BEGIN+ MONTH	NEW CASES FILED	RE- FILED	TOTAL =CASE LOAD	DIS- -POSED CASES	PEND =END MONTH	# JURY TRLS	# JURY DAYS	JURY WAIV TRLS	JURY WAIV DAYS	REFER HEAR INGS
--------------	-------------------------	-----------------------	--------------	------------------------	-------------------------	-----------------------	-------------------	-------------------	----------------------	----------------------	-----------------------

CIVIL
DAMAGES
\$2000 UNDER
\$2001-10000
10001-20000
20001 UP
UNKNOWN
TOTAL DAM

PERSONAL INJ
\$2000 UNDER
\$2001-10000
10001-20000
20001 UP
UNKNOWN
TOTAL P/I

CONTRACT
\$2000 UNDER
\$2001-10000
10001-20000
20001 UP
UNKNOWN
TOTAL CONT

URESA
DIVORCE
TRA/INF/APP
HABEAS/CORP
OTHER APPLS
OTHER

TOTAL CIVIL

CRIMINAL
BAIL REVIEW
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL B/R

TRANSFER
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL TRANS

SUPERIOR COURT MONTHLY CASELOAD REPORT
FOR PERIOD ENDING SEPTEMBER 30, 1977

ANDROSCOGGIN COUNTY (01)

TYPE CASE	PEND BEGIN+ MONTH	NEW CASES FILED	RE- FILED	TOTAL =CASE LOAD	DIS- -POSED	PEND =END MONTH	# JURY TRLS	# JURY DAYS	JURY WAIV TRLS	JURY WAIV DAYS	REFER HEAR INGS
--------------	-------------------------	-----------------------	--------------	------------------------	----------------	-----------------------	-------------------	-------------------	----------------------	----------------------	-----------------------

APPEALS
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL APPLS

BOUNDOVER
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL B/O

INDICTMENT
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL IND

INFORMATION
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL INF

JUV. APPEAL
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL J/A

OTHER
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL OTHER

SUPERIOR COURT MONTHLY CASELOAD REPORT
FOR PERIOD ENDING SEPTEMBER 30, 1977

ANDROSCOGGIN COUNTY (01)

TYPE CASE	PEND BEGIN+ MONTH	NEW CASES FILED	RE- FILED CASES	TOTAL =CASE LOAD	DIS- POSED CASES	PEND =END MONTH	# JURY TRLS	# JURY DAYS	JURY WAIV TRLS	JURY WAIV DAYS	REFER HEAR INGS
--------------	-------------------------	-----------------------	-----------------------	------------------------	------------------------	-----------------------	-------------------	-------------------	----------------------	----------------------	-----------------------

ALL CRIMINAL
CLASS A
CLASS B
CLASS C
CLASS D
CLASS E
UNKNOWN
TOTAL CRIM

TOTAL CIVIL
AND CRIMINAL

SUPERIOR COURT CUMULATIVE CASELOAD REPORT
 FOR PERIOD BEGINNING JAN 01, 1977 AND ENDING SEPTEMBER 30, 1977
 ANDROSCOGGIN COUNTY (01)

TYPE CASE	PEND BEGIN YEAR	NEW CASES FILED	RE- FILED	TOTAL CASES LOAD	DIS- CASE CASES	PEND -POSED=TO DATE	# JURY TRLS	# JURY DAYS	JURY WAIV TRLS	JURY WAIV DAYS	REFER HEAR INGS
--------------	-----------------------	-----------------------	--------------	------------------------	-----------------------	---------------------------	-------------------	-------------------	----------------------	----------------------	-----------------------

CIVIL
DAMAGES

SUPERIOR COURT ANNUAL CASELOAD REPORT
FOR YEAR OF 1977

ANDROSCOGGIN COUNTY (01)

Form 14

TYPE
CASE

PEND NEW RE- TOTAL DIS- PEND
BEGIN+CASES FILED=CASE -POSED=END
YEAR FILED CASES LOAD CASES YEAR

JURY JURY REFER
JURY JURY WAIV WAIV HEAR
TRLS DAYS TRLS DAYS INGS

CIVIL
DAMAGES

SUPERIOR COURT CORRECTION REPORT

Form 15

COUNTY: YORK

REPORTING PERIOD: AUGUST 1977

CLASS OF CASE ENTRY FORMS RECEIVED ENTRY FORMS ACCEPTED

CIVIL 59 59 CONGRATULATIONS

CLASS OF CASE ENTRY FORMS RECEIVED ENTRY FORMS ACCEPTED

CRIMINAL 38 36 SEE BELOW

REFUSED DOCKET/DEF	AREA	LINE	DESCRIPTION	REASON REFUSED
12345678 /02	C/ACTION	4	TRIAL DAYS	NOT CHECKED
23456789 /01	D/DISPO	3	DISM COURT	TWO LINES CHECKED
23456789 /01	D/DISPO	4	DISM DAR48	TWO LINES CHECKED

CORRECT THE ABOVE ERRORS ON THE ENTRY FORMS AND RETURN TO STATE OFFICE

APPENDICES

- A. Summary Data Form Presently Being Used in Maine
- B. Recommended Reporting Form for Criminal Cases
- C. Recommended Reporting Form for Civil Cases
- D. Instruction Manual for the Superior Court Civil and Criminal Case Reporting System
- E. Recommended Key punch Card Format for Civil Cases
- F. Recommended Key punch Card Format for Criminal Cases

APPENDIX A

SUMMARY DATA FORM PRESENTLY BEING USED IN MAINE

STATE OF MAINE

County _____
 Date of filing _____, 19__

To be completed and filed by
 the Chief Clerk of Court
 P.O. Box 700
 Augusta, Maine 04302

SO LATE THAN THE DAY OF FILING THIS

CHIEF CLERK REPORT TO CHIEF JUSTICE CIVIL DOCKET

1. Total civil cases	_____
2. Pending on calendar month _____	_____
3. Total of judge's month _____	_____
4. Pending at the end of the month _____	_____
5. Total number of "Removal" cases _____	_____
6. Pending on judge's month _____	_____
7. Total of judge's month _____	_____
8. Pending at the end of the month _____	_____
9. Total of judge's month _____	_____
10. Pending at the end of the month _____	_____
11. Total of judge's month _____	_____
12. Pending at the end of the month _____	_____
13. Total of judge's month _____	_____
14. Pending at the end of the month _____	_____
15. Total of judge's month _____	_____
16. Pending at the end of the month _____	_____
17. Total of judge's month _____	_____
18. Pending at the end of the month _____	_____
19. Total of judge's month _____	_____
20. Pending at the end of the month _____	_____
21. Total of judge's month _____	_____
22. Pending at the end of the month _____	_____
23. Total of judge's month _____	_____
24. Pending at the end of the month _____	_____
25. Total of judge's month _____	_____
26. Pending at the end of the month _____	_____
27. Total of judge's month _____	_____
28. Pending at the end of the month _____	_____
29. Total of judge's month _____	_____
30. Pending at the end of the month _____	_____
31. Total of judge's month _____	_____
32. Pending at the end of the month _____	_____
33. Total of judge's month _____	_____
34. Pending at the end of the month _____	_____
35. Total of judge's month _____	_____
36. Pending at the end of the month _____	_____
37. Total of judge's month _____	_____
38. Pending at the end of the month _____	_____
39. Total of judge's month _____	_____
40. Pending at the end of the month _____	_____
41. Total of judge's month _____	_____
42. Pending at the end of the month _____	_____
43. Total of judge's month _____	_____
44. Pending at the end of the month _____	_____
45. Total of judge's month _____	_____
46. Pending at the end of the month _____	_____
47. Total of judge's month _____	_____
48. Pending at the end of the month _____	_____
49. Total of judge's month _____	_____
50. Pending at the end of the month _____	_____
51. Total of judge's month _____	_____
52. Pending at the end of the month _____	_____
53. Total of judge's month _____	_____
54. Pending at the end of the month _____	_____
55. Total of judge's month _____	_____
56. Pending at the end of the month _____	_____
57. Total of judge's month _____	_____
58. Pending at the end of the month _____	_____
59. Total of judge's month _____	_____
60. Pending at the end of the month _____	_____
61. Total of judge's month _____	_____
62. Pending at the end of the month _____	_____
63. Total of judge's month _____	_____
64. Pending at the end of the month _____	_____
65. Total of judge's month _____	_____
66. Pending at the end of the month _____	_____
67. Total of judge's month _____	_____
68. Pending at the end of the month _____	_____
69. Total of judge's month _____	_____
70. Pending at the end of the month _____	_____
71. Total of judge's month _____	_____
72. Pending at the end of the month _____	_____
73. Total of judge's month _____	_____
74. Pending at the end of the month _____	_____
75. Total of judge's month _____	_____
76. Pending at the end of the month _____	_____
77. Total of judge's month _____	_____
78. Pending at the end of the month _____	_____
79. Total of judge's month _____	_____
80. Pending at the end of the month _____	_____
81. Total of judge's month _____	_____
82. Pending at the end of the month _____	_____
83. Total of judge's month _____	_____
84. Pending at the end of the month _____	_____
85. Total of judge's month _____	_____
86. Pending at the end of the month _____	_____
87. Total of judge's month _____	_____
88. Pending at the end of the month _____	_____
89. Total of judge's month _____	_____
90. Pending at the end of the month _____	_____
91. Total of judge's month _____	_____
92. Pending at the end of the month _____	_____
93. Total of judge's month _____	_____
94. Pending at the end of the month _____	_____
95. Total of judge's month _____	_____
96. Pending at the end of the month _____	_____
97. Total of judge's month _____	_____
98. Pending at the end of the month _____	_____
99. Total of judge's month _____	_____
100. Pending at the end of the month _____	_____

CRIMINAL DOCKET

1. No. of criminal cases pending at beginning of month _____

(a) Indictments _____

(b) Transfers _____

(c) Informations _____

(d) Appeals _____

2. No. of criminal cases entered during month _____

(a) Indictments _____

(b) Transfers _____

(c) Informations _____

(d) Appeals _____

3. Total of Items (1) and (2) _____

(a) Indictments _____ [Item 1 (a) plus Item 2 (a)]

(b) Transfers _____ [Item 1 (b) plus Item 2 (b)]

(c) Informations _____ [Items 1 (c) plus Item 2 (c)]

(d) Appeals _____ [Items 1 (d) plus Items 2 (d)]

4. No. of criminal cases entered in "finished" docket _____

(a) Indictments _____

(b) Transfers _____

(c) Informations _____

(d) Appeals _____

5. No. of cases pending at end of month (Item 3 less Item 4) _____

(a) Indictments _____ [Item 3 (a) less Item 4 (a)]

(b) Transfers _____ [Item 3 (b) less Item 4 (b)]

(c) Informations _____ [Item 3 (c) less Item 4 (c)]

(d) Appeals _____ [Item 3 (d) less Item 4 (d)]

CRIMINAL DOCKET (continued)

Summary of criminal cases disposed of during month:

		Informations	Indictments	Transfer Cases	Appeals
TOTAL JURY TRIALS	_____ on _____	_____	_____	_____	_____
Results:					
Convictions	_____ on _____	_____	_____	_____	_____
Acquittals	_____ on _____	_____	_____	_____	_____
Mistrials	_____ on _____	_____	_____	_____	_____
Guilty Pleas	_____ on _____	_____	_____	_____	_____
		Informations	Indictments	Transfer Cases	Appeals
TOTAL JURY WAIVED TRIALS	_____ on _____	_____	_____	_____	_____
Results:					
Convictions	_____ on _____	_____	_____	_____	_____
Acquittals	_____ on _____	_____	_____	_____	_____
Guilty Pleas	_____ on _____	_____	_____	_____	_____
		Informations	Indictments	Transfer Cases	Appeals
TOTAL NO TRIALS	_____ on _____	_____	_____	_____	_____
Results:					
Guilty Pleas	_____ on _____	_____	_____	_____	_____
Dismissed	_____ on _____	_____	_____	_____	_____
Filed	_____ on _____	_____	_____	_____	_____

Justices in Attendance:	Name	Month	No. of Days
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

Traverse jury in attendance: _____ days for calendar month of _____

Dated: _____

Clerk: _____

APPENDIX B

RECOMMENDED REPORTING FORM FOR CRIMINAL CASES

1. Region 2 County 3 County No. 4
 5. Case No. 6 No. of Defendants 7 6. Date Filed: 8/9/10

1. TYPE OF CASE

- New Filings*
 1. ☐ Bail Review
 2. ☐ Transfer
 3. ☐ Appeal
 4. ☐ Bindover
 5. ☐ Indictment
 6. ☐ Information
 7. ☐ Juvenile Appeal
 8. ☐ Other

Refilings

1. ☐ Revocation
 2. ☐ New Trial
 3. *Date Refiled*
1/2/3

6. CLASS OF CHARGE

1. ☐ A
 2. ☐ B
 3. ☐ C
 4. ☐ D
 5. ☐ E

6. Date of First Superior Court Appearance: 7/8/9

6. ACTION INFORMATION

1. Date Capias Issued
 2. Court Appointed Counsel
 3. Date Trial Began
 4. Jury
 5. Jury Waived Trial
 6. No. of Trial Days
 7. Date Plead Guilty

Defendant

#1

1/2/3
☐
1/2/3
☐
1/2/3
☐
1/2/3
☐

Defendant

#2

1/2/3
☐
1/2/3
☐
1/2/3
☐
1/2/3
☐

Defendant

#3

1/2/3
☐
1/2/3
☐
1/2/3
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1/2/3
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DISPOSITION INFORMATION

1. District Court Bail Revised
 2. District Court Bail Affirmed
 3. Dismissed by Court
 4. Dismissed by D.A. R. 48 (a)
 5. Filed Case
 6. Juvenile Appeal Denied
 7. Juvenile Appeal Affirmed
 8. Juvenile Appeal, New Sentence
 9. Not Guilty, Reason of Insanity
 10. No Bill
 11. Probation Revoked

Defendant

#1

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Defendant

#2

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Defendant

#3

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12. Convicted
 13. Acquitted
 14. Mistrial
 15. Date Disposed
 16. Justice Initials

☐
☐
☐
1/2/3
1/2/3

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1/2/3
1/2/3

☐
☐
☐
1/2/3
1/2/3

SENTENCE AND COMMITMENT INFORMATION

1. Probation
 2. Correctional Center
 3. Youth Center
 4. State Prison
 5. County Jail
 6. Unconditional Discharge
 7. Fine
 8. Mental Health Commitment
 9. Partially Suspended Sentence
 10. Suspended Sentence
 11. Date Sentenced
 12. Justice Initials

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APPENDIX C

RECOMMENDED REPORTING FORM FOR CIVIL CASES

CONTINUED

1 OF 2

MAINE SUPERIOR COURT CIVIL STATISTICS REPORTING FORM

1. Region _____
 2. County _____ 3. County No. _____
 4. Case No. _____ 5. Date Filed _____
 6. Date Refiled _____

A. TYPE OF CASE

1. ☐ Damages
2. ☐ Personal Injury
3. ☐ Contract
4. ☐ URESA
5. ☐ Divorce
6. ☐ Traffic Infraction Appeals
7. ☐ Habeas Corpus
8. ☐ Other Appeals from District Court
9. ☐ Other

B. MONEY AMOUNT

1. ☐ \$2000 and under
2. ☐ \$2001 to \$10,000
3. ☐ \$10,001 to \$20,000
4. ☐ \$20,001 and up

C. ACTION INFORMATION

1. Date Pre-Trial Memo Filed: ____/____/____
2. Date of Pre-Trial Conference: ____/____/____ 3. Justice Initials _____

D. TRIAL INFORMATION

1. ☐ Jury 3. Justice Initials _____
2. ☐ Jury Waived
4. Date Trial Began: ____/____/____ 5. No. Trial Days _____
6. ☐ Reference Hearing Held 7. Cost: \$ _____

E. TYPE OF DISPOSITION

1. ☐ Default Judgment
2. ☐ R 41 (a)
3. ☐ R 41 (b)
4. ☐ Dismissal
5. ☐ Summary Judgment
6. ☐ Final Order
7. ☐ Divorce Decree
8. ☐ Appeal Sustained
9. ☐ Appeal Denied
10. ☐ Writ Denied
11. ☐ Writ Granted
12. ☐ Court Finding
13. ☐ Jury Verdict
14. ☐ Directed Verdict
15. ☐ Multiple Judgments

16. Date of Dispositon: ____/____/____

APPENDIX D

INSTRUCTION MANUAL
FOR THE
SUPERIOR COURT
CIVIL AND CRIMINAL
CASE REPORTING SYSTEM

STATE OF MAINE
ADMINISTRATIVE OFFICE OF THE COURTS
P.O. BOX 738, AUBURN, MAINE 04210

TABLE OF CONTENTS

	PAGE
General Instructions	1
Introduction	1
The Forms	1
Mailing Instructions	2
Specific Instructions	2
Civil Case Reporting Form	3
General Information	3
A. Type of Case	4
B. Money Amount	4
C. Action Information	5
D. Trial Information	5
E. Type of Disposition	6
Criminal Case Reporting Form	8
General Information	8
A. Type of Case	9
B. Class of Charge	10
C. Action Information	10
D. Disposition Information	11
E. Sentence and Commitment Information	13

GENERAL INSTRUCTIONS

Introduction

This manual gives instructions for reporting all cases in the Superior Court. The system is not intended to record all actions that occur within the life of a case as it progresses through the judicial system. It is designed to provide accurate information in a small number of vital areas, to assist judges and clerks in administering the courts as efficiently as possible.

The system is only as good as the accuracy of the information that you provide. It is important, therefore, to read this manual carefully, to refer to it when in doubt, and to ask for assistance when the manual does not provide an answer. If you have questions, do not hesitate to call 784-0183 or write

xxxx xxxxxxxxxxxx
Administrative Office of the Courts
P.O. Box 738
Auburn, Maine 04210

The Forms

Two forms are provided to the courts for reporting under this system. One is for civil cases (the yellow form). The other is for criminal cases (the green form). The forms are designed in three parts:

- 1) The top sheet (colored) is to be filled out at the time the case is filed. At that time, the top sheet is to be pulled off and retained until the end of the month when all sheets are to be mailed. The remaining part of the form is to be kept in the case file until the case is disposed.
- 2) The second sheet (white) is to be filled out at the time the case is disposed. At that time, the second sheet is to be pulled off and retained until the end of the month when all sheets are to be mailed.
- 3) The third, or bottom copy (colored), is kept in the case file as a back-up record.

The forms are self-duplicating so it is important that you print clearly and exert some pressure with your pencil. If you use a pen, use the hard type, not a felt-tipped kind. When you pull off the top copy, check to see if your marks have carried through to the bottom sheet.

Mailing Instructions

To assure accuracy, it is best to fill out the form immediately or, at the very least, daily, as you file or dispose of a case. Retain the copies to be mailed until the last day of the month. All that month's reports should then be sent to:

xxxx xxxxxxxxxxxxxxxx
Administrative Office of the Courts
P.O. Box 738
Auburn, Maine 04210

If, later on, you find a report that, by mistake, was not filled out and mailed in the proper month, be sure to include it in the next month's mailings, with a note that the date on the report is the correct one.

Specific Instructions

Civil and criminal cases will be treated separately in the two sections that follow. The instructions for each section define and discuss each item in the order in which it appears on the form.

CIVIL CASE REPORTING FORM

GENERAL INFORMATION

1. REGION is to be coded either 1, 2, 3 or 4, depending upon in which region your court is located.
2. COUNTY is the name of the county in which your court is located.
3. COUNTY NUMBER is to be coded according to the alphabetical list of counties below. The name alone will not suffice; it is important to fill out the county number as well. Be sure to use two digits.

Androscoggin	01
Aroostook	02
Cumberland	03
Franklin	04
Hancock	05
Kennebec	06
Knox	07
Lincoln	08
Oxford	09
Penobscot	10
Piscataquis	11
Sagadahoc	12
Somerset	13
Waldo	14
Washington	15
York	16
4. CASE NUMBER is to be recorded here. A civil case is defined as any non-criminal matter requiring judicial action.
5. DATE FILED is to be recorded in numbers: month first, then day, then year. For example, January 2, 1977 would be 01/02/77. Put the date the case is entered on the docket.
6. DATE REFILED is recorded in numbers as described above. A refiling date is that date upon which a matter previously reported disposed has been brought before the court for further action.

A. TYPE OF CASE

Be sure to check one, and only one, of the boxes below A. If the case appears to fit under more than one category, you must choose the one that appears to fit best or is the most important.

1. DAMAGES

is an action in which claim for relief is based on physical damage to property or reputation.

2. PERSONAL INJURY

is an action in which claim for relief is based on physical or mental injury.

3. CONTRACT

is an action in which claim for relief arises out of alleged violation of an agreement.

4. URESA

is an action resulting from non-payment of support by an individual ordered to pay support by a court outside of Maine.

5. DIVORCE

is an action brought in order to dissolve a marriage.

6. TRAFFIC
INFRACTION APPEAL

is a Superior Court review of a District Court decision under Title 29.

7. HABEAS CORPUS

is the demand of a party to be released from alleged illegal confinement.

8. OTHER APPEAL FROM
DISTRICT COURT

includes any Superior Court review of an action decided in District Court, with the exception of traffic infractions.

9. OTHER

includes all actions that do not fall in one of the above categories. Examples include, but are not limited to, quiet titles, legal separation, and mechanic's lien.

B. MONEY AMOUNT

Check one, and only one, of the boxes below B. If various amounts of money are listed, add up and round off to the nearest dollar, then check the total amount requested.

C. ACTION INFORMATION

1. DATE PRE-TRIAL
MEMO FILED

is the date the pre-trial memorandum is received and date stamped in the clerk's office.

2. DATE OF PRE-TRIAL
CONFERENCE

is the actual date the pre-trial conference is held. If more than one conference is held, enter date of final conference.

3. JUSTICE INITIALS

are the initials of the justice who presided over the pre-trial conference. Use three initials whenever possible.

D. TRIAL INFORMATION

1. JURY

Check this box if a jury trial begins. The start of a jury trial is defined as the time voir dire begins.

2. JURY WAIVED

Check this box if a justice begins a trial but no jury is empaneled. A trial occurs when there is contention on the main issue.

3. JUSTICE INITIALS

Record the initials of the justice who presided over the jury trial or the court (jury waived) trial. Use three initials whenever possible.

4. DATE TRIAL BEGAN

is the month, day and year the trial began. For jury trials, use the day voir dire began. For court (jury waived) trials, use the day opening arguments began.

5. NO. TRIAL DAYS

Record the number of trial days to the nearest half day, with one or two digits before the decimal point and one after the decimal point. For example: a trial that takes a half day or less should be coded 0.5; a trial that takes more than a half day up to a full day should be coded 1.0; ore than a day up to a day and a half should be coded 1.5; up to 2 days 2.0; etc. Never put in just zeros.

In jury cases, count the number of days from the beginning of voir dire to the jury verdict. In court (jury waived) cases, count the number of days from the opening argument to the justice's decision or when case is taken under advisement.

6. REFERENCE HEARING
HELD

Check here if referee holds hearing and files a report.

7. COST OF
REFERENCE HEARING

Record the total charges billed by referee. If cents is included, round off to the nearest dollar.

E. TYPE OF DISPOSITION

Be sure to check one, and only one, of the boxes below E. Fill out at the time the case is disposed. Do not hold if case is being appealed.

1. DEFAULT JUDGMENT

is an action where the justice or clerk enters a judgment resulting from the failure of the defendant to take a necessary step under the civil rules.

2. R. 41 (a)

is a voluntary dismissal by the plaintiff or by stipulation of all the parties.

3. R. 41 (b)

is a dismissal on court order for failure to take significant action in a case for two years.

4. DISMISSAL

is a judicial determination of dismissal after a motion and hearing. Example: dismissal for failure to state a claim.

5. SUMMARY JUDGMENT

is a judgment rendered on the basis of the pleadings.

6. FINAL ORDER

Use when an order is entered to dispose of an URESA case.

7. DIVORCE DECREE

is a court decree issued to dissolve a marriage.

8. APPEAL SUSTAINED

is a decision reversing the judgment entered in the district court.

- | | |
|-------------------------|---|
| 9. APPEAL DENIED | is a decision upholding the judgment entered in the District Court. |
| 10. APPEAL REMANDED | is recorded when an action is returned to the District Court without a Superior Court decision. |
| 11. WRIT DENIED | Use when a Writ of Habeas Corpus has been denied. |
| 12. WRIT GRANTED | Use when a Writ of Habeas Corpus has been granted. |
| 13. COURT FINDING | is a judgment entered by a justice in a court (jury waived) trial. |
| 14. JURY VERDICT | is a disposition rendered by a jury. |
| 15. DIRECTED VERDICT | is a direction by the justice to the jury to make a specific finding. |
| 16. MULTIPLE JUDGMENTS | Use this when there are multiple defendants and the disposition as to each defendant is different. |
| 17. DATE OF DISPOSITION | is the month, day and year the case is disposed. Record the date the judgment is entered on the docket. |

CRIMINAL CASE REPORTING FORM

GENERAL INFORMATION

1. REGION is to be coded either 1, 2, 3 or 4, depending upon in which region your court is located.
2. COUNTY is the name of the county in which your court is located.
3. COUNTY NUMBER is to be coded according to the alphabetical list of counties below. The name alone will not suffice; it is important to fill out the county number as well. Be sure to use two digits.

Androscoggin	01
Aroostook	02
Cumberland	03
Franklin	04
Hancock	05
Kennebec	06
Knox	07
Lincoln	08
Oxford	09
Penobscot	10
Piscataquis	11
Sagadahoc	12
Somerset	13
Waldo	14
Washington	15
York	16
4. CASE NUMBER is to be recorded here. A criminal case is any matter defined by statute or common law to be criminal, which may require judicial action. Enter the docket number assigned to the case in Superior Court.
5. NUMBER OF DEFENDANTS Count and record the number of defendants per docket number. If one defendant, record 1, two 2, etc.
6. DATE FILED is the date case is entered on the docket. Record in numbers: month first, then day, then year. For example, January 2, 1977 would be 01/02/77.

A. TYPE OF CASE

NEW FILINGS

1. BAIL REVIEW

Be sure to check one, and only one, of the boxes listed below either the New Filings or Refilings category.

is a review in Superior Court of bail set in District Court.

2. TRANSFER

is any criminal matter removed from the District Court to the Superior Court after the defendant has been arraigned and entered a plea of not guilty in the District Court.

3. APPEAL

is a criminal matter removed from the District Court to the Superior Court after judgment has been entered in District Court.

4. BOUNDOVER

is an action filed in the Superior Court after probable cause has been found in the District Court. Should indictment or information be filed subsequently, do not check Indictment below.

5. INDICTMENT

is an action brought to Superior Court for determination after the Grand Jury has found that the prosecutor has sufficient evidence to bring the case to trial. Do not check when Bindover has been previously received in Superior Court.

6. INFORMATION

is an action brought to Superior Court for trial after the defendant has waived his right to be indicted by the Grand Jury and allows the prosecutor to proceed on a complaint describing the alleged offense.

7. JUVENILE APPEAL

is a juvenile case removed to the Superior Court for review, after judgment has been entered in the juvenile court.

8. OTHER

Include here all other types of new cases not listed above. Examples include, but are not limited to, motions to suppress in a District Court case and reviews of indigency determination.

REFILINGS

Record here the refiling date and type of case. These are matters which have been previously reported disposed and which have been brought before the Superior Court for further action.

1. REVOCATION

is a petition to revoke probation.

2. NEW TRIAL

is a previously tried matter requiring retrial. Examples include, but are not limited to, a remand from the Law Court or a mistrial in Superior Court.

3. DATE REFILED

Month, day and year on which the case is reopened for further action.

B. CLASS OF CHARGE

Check the appropriate class as designated on the indictment, information or complaint. Check only one of the following:

1. A
2. B
3. C
4. D
5. E

6. DATE OF FIRST
SUPERIOR COURT
APPEARANCE

Enter the date the defendant appears in the Superior Court for the first time. Ignore if the case is an appeal.

C. ACTION INFORMATION

If there is only one defendant, record the relevant dates and check the appropriate boxes under the first row marked Defendant #1. If there is more than one defendant, be sure to record the information pertaining to each defendant in the correct row. Sometimes the information will be identical, but often it will differ. If there is more than one defendant, fill out enough forms to include them all, i.e., two forms will be necessary for four to six defendants, etc.

7. DATE CAPIAS ISSUED

If a capias is issued at any time prior to case disposition, enter the month, day and year. If there is more than one issued, record the date of the first one issued.

2. COURT APPOINTED
COUNSEL

Check this box if an attorney has been assigned to represent an indigent defendant at the state's expense.

3. DATE TRIAL BEGAN

is the month, day and year the trial began. For jury trials, use the day voir dire began. For court (jury waived) trials, use the day opening arguments began.

4. NO. OF TRIAL DAYS

Record the number of trial days to the nearest half day, with one or two digits before the decimal point and one digit after the decimal point. For example: a trial that takes a half day or less should be coded 0.5; a trial that takes more than a half day up to a full day should be coded 1.0; more than a day up to a day and a half should be coded 1.5; up to 2 days 2.0; etc. Never put in just zeros.

5. JURY

Check this box if a jury trial begins. The start of a jury trial is defined as the time voir dire begins.

6. JURY WAIVED TRIAL

Check this box if the justice begins a trial but no jury is empaneled. A trial occurs when there is contention as to the guilt or innocence of a defendant.

7. DATE PLEAD GUILTY

Enter the date the plea of guilty was accepted by the court.

D. DISPOSITION INFORMATION

Be sure to record the relevant dates and check the boxes under the appropriate rows, particularly if there is more than one defendant. Fill out at time of disposition or sentencing. Do not hold if case is being appealed.

1. DISTRICT COURT
BAIL REVISED

Check when bail set by the District Court has been changed by a justice of the Superior Court.

2. DISTRICT COURT
BAIL AFFIRMED

Check when bail set by the District Court is maintained at the same level by a justice of the Superior Court.

3. DISMISSED BY COURT

Check this if an action is dismissed by the justice, except for those that apply under Rule 48 (a).

4. DISMISSED BY D.A.
R. 48 (a)

Check this box when the D.A. and defendant have agreed to a plea to a lesser offense and the original charge is dismissed. Do not assign new docket number when this occurs. File the original dismissal and the new information in the original file under the original docket number.

5. FILED CASE

Check this when, upon consent of the defendant and D.A., the case is terminated without final judgment of guilt or innocence.

6. JUVENILE APPEAL
DENIED

Check this when a Superior Court justice upholds the decision in District Court, but gives no new sentence.

7. JUVENILE APPEAL
AFFIRMED

Check when the Superior Court reverses the decision of the District Court.

8. JUVENILE APPEAL,
NEW SENTENCE

Check when a Superior Court justice upholds the decision of the District Court, but imposes a new sentence.

9. NOT GUILTY,
REASON OF INSANITY

Check when the judgment reflects a finding of insanity by either the court or a jury.

10. NO BILL

Check this if the Grand Jury finds there is insufficient evidence to warrant return of an indictment.

11. PROBATION REVOKED

is a finding by the justice that probation conditions have been violated and probation is revoked.

12. CONVICTED

Check when there has been a finding of guilty by either the court or a jury.

13. ACQUITTED

Check when there has been a finding of not guilty by either the court or a jury.

If a defendant is acquitted of one or more charges but also convicted of one or more charges, check the box CONVICTED.

14. MISTRIAL

occurs when the presiding justice rules that an erroneous or invalid trial has occurred. Check this box and include the disposition date. Then fill out a new reporting form to record the subsequent action and probable new trial.

15. DATE DISPOSED

Enter the date on which the above type of disposition action was taken.

16. JUSTICE INITIALS

are the initials of the justice who disposed of the case. Use three initials whenever possible.

E. SENTENCE AND COMMITMENT INFORMATION

In this area only, more than one box may be checked. For example, if a defendant receives a fine and probation, check both boxes. Do not mail the form until all defendants are sentenced or cases disposed of.

1. PROBATION

is to be checked whenever an offender is put on probation, even if it is in conjunction with one of the other sentence categories.

2. CORRECTIONAL CENTER

is to be checked whenever an offender is committed for any period of time to this institution. Do not check if the sentence is suspended.

3. YOUTH CENTER

is to be checked whenever an offender is committed for any period of time to this institution. Do not check if the sentence is suspended.

4. STATE PRISON

is to be checked whenever an offender is committed for any period of time to this institution. Do not check if the sentence is suspended.

5. COUNTY JAIL

is to be checked whenever an offender is sentenced for any period of time to this institution. Do not check if the sentence is suspended.

6. UNCONDITIONAL DISCHARGE

Use when a defendant has been convicted but no conditions have been imposed.

7. FINE Check whenever an offender has been fined. If one of the other categories applies, check it also.
8. MENTAL HEALTH COMMITMENT Check whenever a defendant is committed for any period of time to this institution.
9. PARTIALLY SUSPENDED SENTENCE Check when the defendant has been placed on probation but sentenced to incarceration, as well, for a specific period of time. Check also the box that applies to the particular institution in which the defendant is incarcerated.
10. SUSPENDED SENTENCE Check when the individual is sentenced but the sentence is suspended and the individual is not incarcerated but given probation in its place. Check the box that applies to probation, as well.
11. DATE SENTENCED Enter the date on which one of the above sentences or commitments were imposed.
12. JUSTICE INITIALS are the initials of the justice who imposed the sentence or commitment. Use three initials whenever possible.

APPENDIX E

RECOMMENDED KEYPUNCH CARD FORMAT FOR CIVIL CASES

KEYPUNCH CARD FORMAT FOR CIVIL CASES

<u>Number On Card</u>	<u>Title</u>	<u>Code</u>
1	Type of Case	Civil= 1
2-3	Card number	01
4	Region	1, 2, 3, 4
5-6	County number	1 through 16
7-14	Case number	any combination; right justify
15-16	Month filed	00, 01 through 12
17-18	Day filed	00, 01 through 31
19-20	Year filed	0, 77 through 99
21-22	Month refiled	00, 01 through 12
23-24	Day refiled	00, 01 through 31
25-26	Year refiled	00, 77 through 99
27-28	Type of case	01 through 09
29	Money amount	1, 2, 3, 4
30-31	Month P-T Memo filed	00, 01 through 12
32-33	Day Pre-T Memo filed	00, 01 through 31
34-35	Year P-T Memo filed	00, 77 through 99
36-37	Month P-T Conference	00, 01 through 12
38-39	Day P-T Conference	00, 01 through 31
40-41	Year P-T Conference	00, 77 through 99
42-44	Justice initials	any combination of alpha
45	Jury	checked= 1; not checked= 0
46	Jury waived	checked= 1; not checked= 0
47-49	Justice initials	any combination of alpha
50-51	Month trial began	00, 01 through 12
52-53	Day trial began	00, 01 through 31
54-55	Year trial began	00, 77 through 99
56-57	Number of trial days	any combination; right justify
58	No. trial days	5 or 0
59	Reference hearing held	checked= 1; not checked= 0
60-62	Cost of refer. hearing	any combination of numeric
63	Type of disposition	01 through 15
64-65	Month of disposition	01 through 12
66-67	Day of disposition	01 through 31
68-69	Year of disposition	77 through 99

APPENDIX F

RECOMMENDED KEYPUNCH CARD FORMAT FOR CRIMINAL CASES

KEYPUNCH CARD FORMAT FOR CRIMINAL CASES

Number On Card	Title	Code
1	Type of case	criminal= 2
2-3	Card number	01
4	Region	1, 2, 3, 4
5-6	County number	01 through 16
7-14	Case number	any combination; right justify
15-16	No. of defendants	01 through 99
17-18	Month filed	00, 01 through 12
19-20	Day filed	00, 01 through 31
21-22	Year filed	00, 77 through 99
23-24	Type of new filing	01 through 08
25	Type of refiling	1, 2
26-27	Month of refiling	00, 01 through 12
28-29	Day of refiling	00, 01 through 31
30-31	Year of refiling	00, 77 through 99
32	Class of charge	1 through 5
33-34	Month of first appear.	00, 01 through 12
35-36	Day of first appearance	00, 01 through 31
37-38	Year of first appear.	00, 77 through 99
39-40	Defendant number	01
41-42	Month capias issued	00, 01 through 12
43-44	Day capias issued	00, 01 through 31
45-46	Year capias issued	00, 77 through 99
47	Court appointed counsel	checked= 1; not checked= 0
48-49	Month trial began	00, 01 through 12
50-51	Day trial began	00, 01 through 31
52-53	Year trial began	00, 77 through 99
54-56	No. of trial days	any combination, except that 56 can contain only 5 or 0; right justify
57	Jury	checked= 1; not checked= 0
58	Jury waived trial	checked= 1; not checked= 0
59-60	Disposition of case	01 through 14
61-62	Month case disposed	01 through 12
63-64	Day case disposed	01 through 31
65-66	Year case disposed	77 through 99
67-69	Justice initials	any combination of alpha
70-71	Sentence type	01 through 10
72-73	Month sentenced	00, 01 through 12
74-75	Day sentenced	00, 01 through 31
76-77	Year sentenced	00, 77 through 99
78-80	Justice initials	any combination of alpha

Second card, etc., if more than one defendant

1	Type of case	criminal= 2
2-3	Card number	02, etc.
4-22	Same as card #1 SKIP TO	same as card # 1
39-40	Defendant no.	02, etc.
41-80	SAME FORMAT AS ABOVE	

END