



**INSLAW
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**Processing
and Trial
Preparation
Worksheet**

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PROMIS

PROSECUTOR'S MANAGEMENT
INFORMATION SYSTEM
An Exemplary Project of LEAA

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PROMIS (Prosecutor's Management Information System) is a management information system (computerized or manual) for public prosecution agencies and the courts. Developed under a grant from the United States Department of Justice, Law Enforcement Assistance Administration (LEAA), PROMIS has been in operation in Washington, D.C., since January 1971 and is in various implementation stages in more than 30 other jurisdictions.

LEAA has designated PROMIS an Exemplary Project. Such designation is reserved for criminal justice programs judged outstanding, worthy of national attention, and suitable for adoption by other communities.

The Institute for Law and Social Research (INSLAW) has prepared a series of 21 briefing papers to explain to nontechnical audiences of prosecutors, court administrators, criminal justice planners, and members of the bar the underlying concepts of management and organization inherent in PROMIS. It is expected that these briefings will assist other jurisdictions to evaluate and when appropriate, implement PROMIS in part or in its entirety. The implementation can range from adoption of the concepts of management and organization, to the use of PROMIS forms and paperwork procedures, to the application of the manual or semiautomated version of PROMIS, and, finally, to the installation of the computer software.

Other PROMIS documentation produced by INSLAW under grants from LEAA includes a handbook on *PROMIS For The Nonautomated or Semiautomated Office*, research designs for using PROMIS data bases in statistical studies of criminal justice policies, a six-volume set of computer software documentation, and a 20-minute color documentary of PROMIS (16mm film or video cassette) for nontechnical audiences.

The 21 briefings are as follows:

1. Management Overview of PROMIS
2. Case Screening
3. Uniform Case Evaluation and Rating
4. Special Litigation (Major Violators) Unit
5. Witness Notification Unit
6. Paralegals
7. Comprehensive Training
8. Reasons for Discretionary and Other Actions
9. Counting by Crime, Case and Defendant
10. Research Uses of PROMIS Data
11. Uniform Crime Charging Manual
12. Police Prosecution Report
13. Crime Analysis Worksheet
14. Processing and Trial Preparation Worksheet
15. Police Intake Worksheet
16. Standardized Case Jacket
17. Interface with Other CJIS
18. Privacy and Security
19. Analysis of Costs and Benefits
20. Transferability
21. Optional On-Line Inquiry and Data Input Capability

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PROMIS
BRIEFING SERIES***14. Processing and
Trial Preparation
Worksheet**

Used at the prosecutor's office in Washington, D.C., 1/ and prepared by an assistant prosecutor at the screening stage to determine the charges, if any, to bring against the accused, the Processing and Trial Preparation Worksheet contains information about the suspect, witnesses, and other details of the case.

OVERALL DESCRIPTION OF THE WORKSHEET

Illustrated at the end of this Briefing, the Worksheet has three pages:

1. The top page (yellow) is filed at the top on the right-hand side of the case jacket. 2/

2. The second page (white), a copy of page 1, serves as a data input document for PROMIS. The following data, more fully explained later, are extracted from the Worksheet for entry in PROMIS: court case number (P-2), PDID No. (P-3), number of codefendants (P-4), date papered (i.e., date the case is considered for prosecution--P-5), papering attorney code (P-6), reviewing prosecutor code (P-7), witness-related information (P-9), charge data (P-10), and type of court appearance (P-11).

3. The third page (yellow), in addition to being a copy of the top half of page 1 (Items P-1 through P-9), contains space at the bottom on which to record remarks and information obtained from witnesses. This page, called the Witness Worksheet, is filed at the top on the left-hand side of the case jacket.

Pages 1 and 3 occupy the top positions inside the case jacket so that, upon opening the jacket, prosecutors at other stages of the proceedings (arraignment, trial) immediately see the key details of the case and can review them in a minimum of time, which is particularly important considering that a trial attorney's lead time for case preparation is often just a matter of minutes. Contributing to the attorney's ability to

*One of a series of 21 Briefing Papers for PROMIS (Prosecutor's Management Information System), this publication was prepared by the Institute for Law and Social Research (INSLAW), Washington, D.C., under a grant from the Law Enforcement Assistance Administration (LEAA), which has designated PROMIS as an Exemplary Project. Such a designation is reserved for criminal justice programs judged outstanding, worthy of national attention, and suitable for adoption by other communities. Presenting a bird's-eye view of PROMIS capabilities, the Briefing Papers are one facet of INSLAW's LEAA-funded program designed to assist local prosecutors evaluate and, when appropriate, implement PROMIS. In January 1971, the computerized information system was initiated in Washington, D.C., where prosecutors continue to rely upon PROMIS to help them manage more effectively an annual work load involving allegations of 8,500 serious misdemeanors and 7,500 felonies. (A manual version of PROMIS is also available and parallels the capabilities of the computerized system.)



quickly review a given case are the clarity and overall design of the Worksheet. Note, for instance, that witnesses (P-9) are to be listed by the screening attorney in the sequence that they would be called to testify at trial. 3/

ITEM-BY-ITEM EXPLANATION

Many informational items requested by the Worksheet, which can be modified to meet the special requirements of any given jurisdiction, are self-explanatory. Those requiring elaboration are discussed below.

Item P-1: Defendant's Name. This is the accused's "true" name as determined by the police. 4/

Item P-2: Court Case No. The court case number, or docket number, is assigned subsequent to the screening stage by a court clerk. This number applies to all jointly triable charges against a defendant. To differentiate among these jointly triable charges and counts, the clerk assigns case suffixes (see column 5 of P-10) to the docket number. If a docket number were followed by suffixes "a," "b," "c," "d," this might represent three counts of aggravated assault against a defendant, and a companion charge of carrying a deadly weapon. Thus, with the docket number and its suffix(es), PROMIS can follow the history of any formal criminal action from arraignment through final disposition and sentencing, and account for each count or charge.

In the preceding example, the defendant may be found innocent on one of the aggravated assault counts and the deadly weapon charge, but guilty on the two other assault counts; he might be sentenced differently on each of his two guilty counts. PROMIS, through the docket number and suffixes, will record this. Moreover, the same numbering method is applied to those cases which are not prosecuted so that statistics are available for the full range of intake and screening decisions. 5/

Item P-3: PDID No. Based in part upon the accused's fingerprint classification, this unique identification number is assigned by police to the arrestee. Through this number, PROMIS can maintain criminal history files on offenders and note incidents of recidivism. 6/

Item P-5: Date Papered. This refers to the date on which a screening assistant considered the case for prosecution.

Items P-6 and P-7: Papered by/Reviewed by. Recorded here are the names of the screening assistant and the prosecutor reviewing the latter's decision. Each prosecutor has his or her own five-digit code, which is entered on the form.

Item P-8: PROMIS Check Completed. The box is checked if NCIC, PROMIS, and the local police information system have been queried for any prior information about the defendant, such as other pending cases or outstanding warrants.



Item P-9: Witnesses. If a witness was present during the screening process, a check mark is put in the appropriate column. In the "Unit" column, the prosecutor enters a two-digit code which identifies the police unit or squad of each officer-witness. A two-character witness code is entered in the "Code" column. The various code characters are listed at the bottom of the P-9 section; the second character of each code is either E (essential to a successful prosecution) or N (nonessential), while the first character is one of the 13 remaining designations. For example, 5E indicates the witness is a narcotic chemist who is essential to the case.

Statements and remarks of witnesses are recorded on the bottom half of page 3 (Witness Worksheet) and are keyed to each witness by the sequence number in front of each witness' name in the P-9 section. Information is recorded in a way that enables the prosecutor who subsequently tries the case to do so even though he or she might have only a few minutes to consult with witnesses prior to trial. For misdemeanor cases, the Witness Worksheet (page 3) amounts to an "order of proof" and the trial prosecutor should be able to try the case directly from this form. Note that space is available for the screening assistant to alert the trial prosecutor to "problems," such as those connected with search and seizure.

Item P-10: Complaint No. Assigned by police to the incident from which charges arose, this number permits PROMIS to track the full history of court actions arising from the crime even though they may involve multiple defendants, multiple cases, and multiple trials and dispositions. 7/ After entering the complaint number, the screening prosecutor records the standard abbreviations for all police and office charges, notes whether they are misdemeanors or felonies, assigns a sequence number to each charge whether prosecuted or not (the numbers are designed to distinguish police from prosecutor charges), and enters from one to four two-digit codes signifying the reasons why a charge was rejected for prosecution ("no paper reasons"). 8/ At arraignment, a clerk enters the Project SEARCH, police, and court charge codes.

Item P-11: Type of Court Appearance. The appropriate number is circled to indicate the type of court appearance that brought the arrestee into court.

Item P-12: Urinalysis Positive. The results and date of a urine test are entered here by a clerk at arraignment. Arrestees in lock-up undergo this test to determine if they are currently using drugs. The results, which cannot be used against the accused at trial, are considered by the court when deciding bail status and conditions of release.

Item P-13: No Paper Reasons. In narrative form, reasons are noted for any prosecutory decision to reject or to modify police charges. These English-text reasons correspond to the reason codes in column 6 of Item P-10.



Item P-14: On Probation/Parole. If the defendant is on probation or parole (as determined from the PROMIS check, Item P-8), the screening assistant contacts the probation/parole officer and enters the required information on the form, including whether there is the intent to request the court to revoke probation/parole.

Item P-15: Diversion Program. If a pretrial diversion program is recommended, the appropriate box is checked.

Item P-16: Felony. Certain laboratory tests may be required for some felonies. If so, this is noted.

Item P-17: Special Assignment Recommended. If a case requires special preparation, this is noted here. 9/

Item P-18: Prior Convictions. If official records indicate prior convictions, this information is entered here. And if a prior conviction corresponds to the current charge, "2nd offender" or "3rd offender," as appropriate, is printed in the top right corner of the Worksheet. This alerts attorneys who are assigned to give the case special preparation. 10/

IN CONCLUSION...

As with other PROMIS-related forms, the Processing and Trial Preparation Worksheet serves needs at a number of prosecutive levels: at screening, in court, and for PROMIS. Because the form is efficiently designed in multiple-part carbon-interleaved sets, the need to rewrite or copy is minimal, which in turn reduces transcription errors, cuts costs, saves time, and speeds the movement of information.



FOOTNOTES

1/In the District of Columbia, the U.S. Attorney serves as the local prosecutor. About 75 lawyers are assigned to the D.C. Superior Court (equivalent to a state court of general jurisdiction), where prosecution of local "street crime" cases is conducted. About 16,000 allegations of such crimes are considered for prosecution annually.

2/See Briefing No. 16, Standardized Case Jacket. Briefing Nos. 12, 13 and 15, Police Prosecution Report, Crime Analysis Worksheet, and Police Intake Worksheet, describe other screening-stage forms contained in the jacket, and Briefing No. 2, Case Screening, explains the overall screening process.

3/See Briefing No. 2, Case Screening, for additional comments on the value of well-designed forms.

4/See Briefing No. 12, Police Prosecution Report, for further details.

5/See Briefing No. 9, Counting by Crime, Case and Defendant, for a further explanation of the importance of the docket number and suffixes.

6/For more details on the PDID No., see Briefing No. 12, Police Prosecution Report, and Briefing No. 9, Counting by Crime, Case and Defendant.

7/For more information about the Complaint No., see Briefing No. 12, Police Prosecution Report, and Briefing No. 9, Counting by Crime, Case and Defendant.

8/For an explanation of the uses of reason data, see Briefing No. 8, Reasons for Discretionary and Other Actions.

9/See Briefing No. 4, Special Litigation (Major Violators) Unit.

10/Ibid.



**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-7 REVIEWED BY:	CODE
P-8 PROMIS CHECK <input type="checkbox"/> COMPLETED			

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 SPD 3 EYEWITNESS 6 FINGERPRINT 5 NARC. CHEMIST 9 OTHER EXPERT H NON ESSENTIAL
 B ASSISTING PO 1 OTHER MPD 2 COMPLAINING 4 OTHER-LAY 8 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

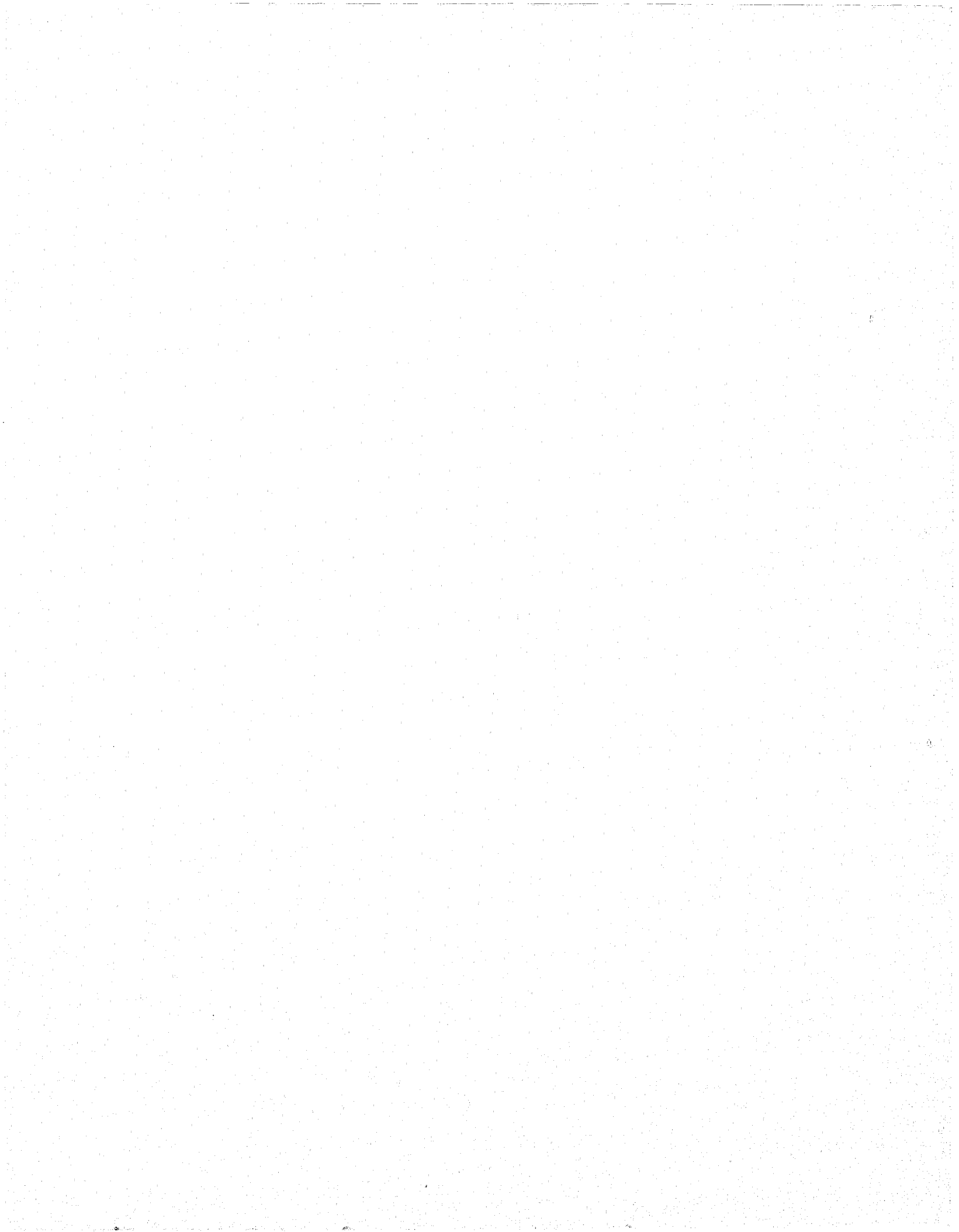
P-13 NO PAPER REASONS: Use English text from PROMIS "Standard Case Jacket Entries" booklet plus amplifying remarks

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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CASE NO	DATE	CHARGES	DISPOSITION

**FIGURE 1
PROCESSING AND TRIAL PREPARATION WORKSHEET**





END