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CRIMINAL COURTS TECHNICAL ASSISTANCE PROJECT

Institute for Advanced Studies in Justice

The American University Law School

Washington, D.C.

A Program of the
Adjudication Division
Office of Criminal Justice Programs
Law Enforcement Assistance Administration
U.S. Department of Justice

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ASSESSMENT OF RECORDS MANAGEMENT PRACTICES
IN THE CIRCUIT AND DISTRICT COURTS
OF LANE COUNTY, EUGENE, OREGON

NCJRS

AUG 11 1978

ACQUISITIONS

February 1978

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LAW ENFORCEMENT ASSISTANCE ADMINISTRATION CONTRACT NUMBER: J-LEAA-013-76

This report was prepared in conjunction with The American University Law School Criminal Courts Technical Assistance Project, under a contract with the Law Enforcement Assistance Administration of the U.S. Department of Justice.

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I. INTRODUCTION

The Court Administrator of the Lane County, Oregon Courts, Mr. Michael L. Terry, requested technical assistance from LEAA's Criminal Courts Technical Assistance Project at The American University for the purpose of studying current records management practices in the Circuit and District Courts, and to develop recommendations for their improvement.

Mr. Terry's request was prompted by a recognition that the County Courts needed to institute an improved filing system to insure file control, easy accessibility and required security. The need to review and revise the records system was further accentuated by the fact that Lane County was in the process of studying court facility needs precedent to developing architectural plans for locating the District and Circuit Court Clerk's offices in a single area (they are now physically and functionally separate). Such a unification would obviously impact the record management and storage practices of the court.

The consultant who was selected to provide this assistance was Mr. Mark Koenig. Mr. Koenig is a private management consultant specializing in court's records management and filing systems, and was formerly the director of the Records Management Division of the National Archives.

Through discussions with Mr. Terry, it was determined that Mr. Koenig would focus his site efforts in the following areas: 1) a review of existing records filing systems in the two courts, 2) an examination of existing storage areas to determine their spatial adequacy, and 3) an assessment of available technology which could be utilized to supply and improve the records management processes.

As a result of the fact that this project and Mr. Koenig were involved in a records management study in the Juvenile Department of the Clackamas County, Oregon Circuit Court, and because of a desire to build on past and on-going efforts in the Courts records management area in Oregon, a pre-site work planning meeting was held in Salem, Oregon on January 16, 1978. In addition to Mr. Koenig, this meeting was attended by Mr. Terry; Mr. Michael Maier, Court Administrator of the Clackamas County Court; Mr. Donald Welsh, Director of the Juvenile Department of the Clackamas County Court; Mr. Yosef Yacob, Court Specialist with the Oregon Law Enforcement Council (SPA); Mr. Michael Hall, Court Administrator of the Multnomah County, Oregon Circuit Court; and, staff of the Oregon State Court Administrator's Office.

Immediately following this meeting, Mr. Koenig began site work in Eugene, Oregon, the seat of Lane County, and spent two days on site. During this time he worked closely with Mr. Terry and his staff, as well as other appropriate court and county employees. Mr. Koenig also met with Mr. James D. Porter, the Oregon State Archivist, in Salem.

The following report contains Mr. Koenig's analysis and recommendations.

II. ANALYSIS OF EXISTING SITUATION

A. General Comments

The retention and destruction of court records is an area of great concern to the Court Administrator and the staff of the circuit and district courts of Lane County, Oregon. In many instances the destruction of records is withheld due to uncertainties about lines of authority, questions about the legality of destruction, and a general reluctance to become involved in the destruction of court records.

Records retention and disposition schedules are prepared by the Oregon state archivist and his staff. These schedules are based on statutes, administrative rules and court rulings. Arrangements were made to meet with Mr. James D. Porter, state archivist and his staff at the state archives building in Salem to discuss the retention and destruction of court records.

The Archivist agrees that early action is needed and endorses the suggestion that a state-level group be formally organized to deal with the records problems of the courts.

B. Managing Inactive Court Records

During the site work on this study, it was observed that the disposition of inactive records of the district and circuit courts in Lane County is at a virtual standstill. It was further observed that this lack of action is attributable to one or more of the following:

- ① Conflicting and ambiguous state statutes and administrative rules governing retention of court records,
- ① Incomplete coverage of court records in existing records schedules,

- Unreasonable retention of some court records brought about by arbitrary decisions or legislative mandates,
- One time clerical errors or loss of court files leading to wholesale permanent retention of records having little or no long term value,
- Lack of comprehensive records retention schedules which tends to encourage space-saving microfilming projects that are too costly and lack state-approved standards for quality and need,
- Built-in fears and trepidations about destroying court records even though destruction is authorized,
- Failure of the courts to take the initiative in appraising the values of its own records, and
- Lack of coordinated action at the state level to realistically appraise the values of court records for their long term administrative, legal, audit, investigative and historical values.

C. Records Retention and Destruction Schedules

1. Circuit Court

Records of the Circuit Court are covered in recent records retention and destruction schedules (Archives Control No. 77 - 133 dated 10/5/77) prepared by the State Archivist for the Multnomah County (Portland) Circuit Court. As written, these 106 schedules have application only to the Multnomah County Circuit Court records. They do furnish the Multnomah County Circuit Court with an excellent records inventory, and with the authority to destroy certain records.

The largest collections of court documentation is contained in the case files. Eight series of case files are identified in the records

retention and destruction schedule, and all eight are scheduled for permanent retention. Earlier records for the years 1855 through the 1970's (1970-1972) have been microfilmed. Reference or research in these earlier series is indicated to be from nil to daily.

Approximately 252,000 Circuit Court case records were created statewide during the five-year period 1972 through 1976. Available statistics show that case filings increased by 33 percent during the 1972 through 1976 period. This raises the question whether the courts can afford to microfilm 252,000 Circuit Court cases and if so, are the resources available for a continuing microfilm program in future years? The best estimates on the cost of such a microfilming effort is in the range of \$40 to \$50 per cubic foot for this type of record. Not included in this estimate are the initial make-ready costs of separating and identifying the records series in the mixed files. The next questions to be raised are: Should all of these records be filmed; should only selected documents be filmed; should a 40-50 year retention period and then destruction be established; what are the long-term values of these records; and, should a criminal case be retained longer than a civil case? All of these questions should be considered at an early date.

2. Recommendations

0 Establish a formal, state-level review and appraisal board or committee to establish records retention policies. The committee or board should have representation from the following state agencies:

- 1) Supreme Court - Court Administrators
- 2) Circuit and District judges

- 3) Attorney General
- 4) Comptroller (Auditor General)
- 5) Legislature
- 6) State Archivist

• The agenda for this group should include but not be limited to the following:

- 1) Establish priorities for the appraisal of the long-term values of court records.
- 2) Establish procedures for approval and sign-off on retention and disposal schedules.
- 3) Establish a microfilming policy based on cost-benefit factors and microfilm standards.
- 4) Establish policy concerning the disposition of criminal and civil exhibits and other evidentiary matter.

NOTE: The long-term (permanent) retention of the district court files of traffic citations is an example of how a minor change in terminology on the traffic citation form can affect the retention of the citation. When the reverse side of the court copy of the citation was labeled "docket" it became a permanent court record under strict interpretation of the statute. Questions such as this could be resolved quickly by the committee.

D. Circuit and District Courts, Lane County, Oregon

This report is concerned primarily with the management of circuit and district court records in Lane County, Oregon. The following three areas were studied:

- Existing filing systems,
- Existing file and records storage areas,

- Available technology that might simplify and improve the records management process.

As a corollary to the above, a review was made of selected clerical procedures that affect court record keeping. Also, Oregon state statutes and administrative rules relating to the retention and disposition of court records, court exhibits and evidential matter were examined.

1. Circuit Court

A. Existing Filing Systems

1. Case files - The following types of circuit court cases are the subject of this review:

<u>Type of Case</u>	<u>Filed 1976</u>
Criminal - Felony	1711
Civil Cases	2125
Dissolution	<u>2295</u>
TOTAL	6131

As these cases enter the circuit court they are consecutively numbered under one numbering system, regardless of the type of case. Thus, felony, civil and dissolution cases are intermingled and no measures are provided to visibly distinguish one from the other.

NOTE: A records inventory of the criminal case files of the Multnomah County Circuit Court (agency records series No. C3 -- 4 dated 10/3/77) shows that prior to 1931 the criminal files were mixed with civil and domestic case files. The inventory goes on to state that, "In 1976, criminal was again combined with civil and domestic case files."

(Underscoring provided)

The reasons for returning to the practice of mixing civil, criminal and domestic relations records are not clear.

The case files for the current year are stored in open shelf units which are mounted on tracks to allow for back and forth movement when filing or reference actions occur. Files for earlier years are either stored in standard filing cabinets or are released to the county records storage site for long-term storage.

2. Microfilming

For several years the circuit court has selectively microfilmed all journal entries and court orders, with no other case papers filmed. The filming is done by county personnel at the records storage site. These filmed documents have received only occasional use over the years. Most often they have been used to replace missing papers at the time a case is prepared for transfer on appeal. The microfilm reel and page numbers are posted in the register of actions.

3. Register of Actions (Case Progress Docket)

A register of actions sheet is prepared for all cases as they are filed in the court. The register of actions, a form of a case progress docket, is sent to the courtroom with the case file to record, in abbreviated form, the actions that occur during courtroom action on the case. Courtroom actions and decisions by the presiding judges are recorded on the form by the courtroom deputy/secretary, usually from notes kept during courtroom proceedings.

4. Statistical Reporting

In order to comply with existing statistical reporting requirements (see annual report published by the State Court Administrator) a number of clerical actions occur. Data on circuit court cases are reported to the State Court Administrator under the following categories:

- 0 Civil, Dissolution and Criminal cases filed and terminated
- 0 Criminal cases pending, less than six months, six months to one year, one year to two years and over two years
- 0 Civil cases tried, tried by jury, youngest in months, oldest in months
- 0 Dissolution cases tried, youngest in months, oldest in months

The method used to record the day-to-day accumulations of the above data appears to be overly complicated and requires the participation of too many individuals. Formal and informal case data are kept in books and in card files - some of which is used, some is not used. Card files are shuffled daily to indicate which cases are closed, which are less than six months old, six months to one year of age, one year to two years of age and over two years of age. At the close of each quarter, the card files and portions of the book records are used by a calendar clerk who prepares a quarterly report. Indications are that these reports are often out of balance and errors are common.

5. Records Storage-Disposition

The circuit court records lack comprehensive coverage in terms of scheduled periods of retention and records destruction authority. A county record storage area is located in the basement of the county building which also houses the Circuit and District courts. This storage area is overflowing and is experiencing acute storage problems due in part to the set aside of a restricted area (250 square feet) for the storage of court exhibits and other evidentiary material. Also, other storage problems of growing concern are the accumulation of court copies of traffic citations and other court records, which under existing statute and administrative rule must be permanently kept.

An interview with Mr. Randy Mafit, Records Analyst and Supervisor of the records storage site for the Lane County department of General Services, and on-site observation of the records storage site, leads to the conclusion that unless more court records are made eligible for destruction either by statute, administrative rule or state-approved records schedules, the inactive records of the court can no longer be accepted for storage, and, therefore, additional storage space must be acquired; either for the records storage site or the courts.

Mr. Mafit is to be commended for the excellent job he is doing to assist the court in solving its records-keeping problems. The courts, however, must do more to focus their own attention and that of the State Archivist on the growing accumulations of court records, statewide.

B. Conclusions and Recommendations

1. Circuit Court Case Files

There is only limited advantage to intermingling Civil, Dissolution, and Felony cases in one file series. Other than providing for centralized supervision, if such is intended or desirable, the disadvantages of such a file arrangement seem to outweigh the advantages. Some of the disadvantages of intermingling unrelated cases are:

- Case files are not located in the office responsible for their integrity - i.e. civil case in the civil section, felony cases in the criminal section, etc.
- Interfiling of papers covering transactions in open cases may be delayed if done by personnel working in a central file room instead of in the office responsible for the case file.
- Historically, the concept of centralized filing tends to encourage creation of a second or unofficial file by the office responsible for the case. Also, a log or file locator system

is often established to show when the case was sent to central files.

- Employee travel time is increased since the central file is usually located away from the office responsible for the case file.
- As presently filed, civil, felony and domestic relation cases are indistinguishable one from the other and file folders and numbering patterns are alike. Consequently, if one or more case numbers are not in file the type of case that is out of file must be determined by referring to the index records or register of action files.
- The register of actions file for each type of case - civil, felony, dissolution - cannot be arranged in straight numeric sequence because of gaps in numbers.
- Statistical and case management data-gathering is made more difficult. Sequential numbers assigned to each type of case aids in the collection of data because the numbers assigned represent case intake and case flow.

Finally, and of considerable consequence, are the problems this method of filing brings to those responsible for the appraisal, storage, microfilming and eventual destruction of the records. Statewide retention and destruction schedules have not yet been developed for circuit court case files, other than that they be retained permanently. When established, it is reasonable to assume that the retention and destruction schedules for felony, civil and dissolution cases will not be the same. If the cases are filmed, problems will occur in labeling film reels unless the three types

of cases are filmed by type of case or destroyed by type of case, in that event the clerical costs involved will more than double.

It is clear from examination of the October 1977 inventory and schedule of the Multnomah County Circuit Court records that the case files were indeed separated for inventory and appraisal purposes. Eight series of case files were inventoried and appraised separately:

- 0 Adoptions
- 0 Change of Name
- 0 Civic and Domestic
- 0 Criminal Cases
- 0 Delayed Births
- 0 Reciprocal Cases
- 0 Tax Foreclosure
- 0 Users of Drugs

All of the above are identified as having permanent values. They range in age from 1855 to present and many of the series have been microfilmed. (See introductory portion of this report for additional comment on disposition of court records).

In view of these disadvantages, it is recommended that the Lane County Circuit Court administrator and his staff observe how well the system works during the current year. While it appears to be working well at this time, it is suggested that it may eventually present more problems than it cures.

2. Microfilming Case Papers

The court administrator should review the practice of filming "journal entries" and "court orders" in terms of utility and cost. The filming process requires a number of burdensome clerical steps and

control actions by court employees and employees of the county records storage site. The statutory, or other requirements, for this selective filming of court documents should be reviewed in the light of today's requirements.

3. Register of Actions

The register of actions is a valuable records control document. It establishes the location of the case file, a record of actions taken, a record of papers filed and the final judgment or disposition of the case. It is recommended that the register of actions remain in the custody of the clerk's office at all times and the practice of removing the register from file and sending it to court with the case file be discontinued. Instead, a form similar to the one shown in Exhibit I be used to record the courtroom actions and other pertinent data, this form to remain in the case file at all times. An example of the arraignment worksheet shown in Exhibit II is another example of how courtroom data can be conveniently collected. When the case returns from court the significant actions are posted to the register of actions in abbreviated or rubber stamped fashion. It is further recommended that the Register of Actions form be reduced in size to a ledger-tray size as shown in Exhibit III.

4. Equipment Records Storage

During the site work it was indicated that the track-mounted shelf files now in use are to be replaced with standard shelf files when the office space for the clerk's office is remodeled. Data on shelf files developed by the National Archives is shown in Exhibits IV and V and may be helpful in determining the type and layout of shelf file units.

5. Statistical Reporting

The informal methods used to collect management and statistical data on case processing are inefficient and of questionable accuracy.

It is recommended that the county court administrators work closely with the State Court Administrator's Office in the development of a uniform statewide reporting format which will include a more efficient and less costly method of collecting, summarizing and verifying case filing and disposition data.

6. Records Storage Disposition

See introductory portion of this report for comments and recommendations on Records Storage and Records Disposition.

7. Numbering System

Much work has gone into the development of computerized information systems on a local and statewide basis. The Lane County computer files are tied into a statewide criminal justice information system (AIRS). Input to these systems has been programmed to accept limited numerical and alpha coding. The system will now accept seven numerical and two alpha codes. If additional codes (numeric or alpha) are added, all records in the local and statewide system will have to be re-programmed.

It is recommended that the case numbering system remain as simple as possible. Any attempt to expand the case number into an all-purpose data collection device will create unnecessary clerical steps, and will unduly complicate the filing, posting, recording, data collecting and control procedures in the clerk's office. A suggested numbering system follows:

	<u>Year</u>	<u>Number</u>	<u>Identifier</u>
Criminal	78	1234	CR
Civil (other than dissolution)	78	1211	CV
Dissolution	78	1016	CD

2. District Court

A. Existing Filing Systems

1. Case files - The following types of District Court cases are the subject of this review:

<u>Type of Case</u>	<u>Filed 1976</u>
Traffic	42,694
Misdemeanor	3,002
Felony	1,095
Civil	1,771
Small Claims	<u>5,447</u>
TOTAL	54,009

Unlike the Circuit Court case files, cases in the District Court are not intermingled. Separate numbering systems and separate file storage is maintained.

2. Traffic Case Files

Of increasing concern to the court is the growing volume of traffic offenses and the clerical, cash handling, research, follow-up and filing steps they entail. On a statewide basis, 82 percent of the 1976 filings in all district courts were traffic offenses (454,790 traffic cases were filed in 1976, a 27 percent increase over those filed in 1975). Total cases filed in all district courts increased from 200,000 in 1970 to 550,000 in 1976, a 175 percent growth in seven years.

Seventy-nine percent of all cases filed in the Lane County District Court during 1976 were traffic cases.

NOTE: Currently the processing of traffic citations is under study by the Court Administrator and his staff. Their study will include a comprehensive analysis of the computer processing steps now in use and those to be proposed to collect and process data on traffic violations.

Because this study is still underway any conclusions reached in this report would be premature. Consequently, these observations and recommendations are directed to those areas of file maintenance and file disposition which presumably will not be affected by the court study. The court is advised, however, to ascertain the validity of all manual steps now in use before automation of unnecessary clerical actions is proposed.

a. Traffic Citations: As is the case in most states, Oregon has adopted a uniform traffic citation form. Two copies of the citation reached the court; an original for court file and a court disposition copy for posting and mailing to the state Division of Motor Vehicles.

Because of its size (4" by 8"), the uniform traffic citation presents handling and filing problems wherever its copies are processed. The handwritten entries are difficult to read, spaces for posting entries are cramped, carbon copies are not always clear, and the form does not fit in standard filing folders or filing drawers.

Some courts use individual filing envelopes for each case. Some use improvised wooden or metal trays or boxes. Others file the forms loosely in filing cabinets having tab card size drawers. Because of the high volume of these cases, many courts are reviewing their systems of filing and processing these cases. The high cost of individual envelopes or file folders for each citation is being questioned as is the long-term retention of the court copies.

b. Lost or Out-of-File Cases: One of the problems said to exist in the traffic files of the Lane County District Court is the time lost in searching for cases which are out of file for one of

several reasons:

- 0 in court
- 0 in data processing
- 0 in extended payment file
- 0 in follow-up file
- 0 in outstanding warrant file

Many courts solve this problem by preparing a simple docket, index, or locator card for each case filed (see Exhibit VI). Lane County traffic court personnel indicated, however, that the out-of-file cases do not present a serious problem since they can find the file by a process of elimination. Again, the on-going study of traffic cases by ADP and court personnel should consider file control in its analysis and proposals for automation of the traffic files.

c. Extended Payment Traffic Fines: The Lane County Traffic Court, by judicial discretion, allows delayed and/or partial payment plans for traffic fines. There are presently an estimated 3,000 such cases in the traffic court. These citations with accompanying court papers are filed in alphabetical order in nine cardboard boxes. Each case has a small slip stapled to the citation on which payment dates or follow-up dates are recorded. This file is becoming increasingly more difficult to control as case filings increase and more extended payment plans are granted.

Because the file is arranged in alphabetical order, all 3,000 must be visually searched each day to establish payment due dates or the expiration of grace periods and mailing of citation letters. Most of this clerical work is done by a second shift employee. A sampling of the cases in this file indicated that files in several

cases were not current, payments were overdue, or citation letters had not been sent or were ignored by the recipients.

The cases are filed in alphabetical order to permit ready name reference when searching for a file at the time a payment is made by mail or over the counter. In discussing this problem with the staff of the traffic court and the ADP, the possibility of filing these citations by the due date of the time payment was considered. The comprehensive in-house review of the procedures used in processing traffic citations includes proposals for automation of this file, the automatic call-up of overdue payments and the simultaneous printing of the citation letters or other follow-up documentation.

d. Cash Handling of Traffic Fines: The County Court Administrator took early action to establish a system for more secure control over cash receipts in the traffic court. Individual cash boxes were replaced by locked cash drawers and only designated personnel now have access to these drawers.

Individual hand receipts in two copies are prepared for each over-the-counter transaction. The hand receipt is also prepared in two copies for each collection received by mail. Mailing one copy of the receipt back to the offender has been discontinued, instead the second copy is filed with the citation.

Currently the Court Administrator and his staff are studying the cash control procedures in all areas of the Circuit and District Courts. The need for cash handling equipment with automatic receipting, posting and memory capabilities is becoming more urgent due to increased workload and limited clerical resources.

3. Misdemeanor Case Files

The misdemeanor case files present no serious problem to the District Court. They contain only the required documentation, are filed flat in folders and are numbered sequentially starting with case number one at the beginning of each year (see numbering system below). The cases are stored in standard four-drawer cabinets and are transferred to the county records storage site at regular intervals.

a. Numbering System: The number assigned to each misdemeanor case includes an unusual two-digit prefix which serves as an identifying or cross-index number to the book in which the docket for the case is found. Thus, the docket sheet for a case number 40 - 165 will be found in docket book 40. Because each docket book contains 500 pages of dockets, the prefix 40 is used for 500 cases. When 500 dockets have been used, the case number prefix moves to the next consecutive number and 41 becomes the prefix.

The case numbers assigned to misdemeanor cases appears as follows:

<u>Type of Case</u>	<u>Docket Book</u>	<u>Case Number</u>
B	40	165

4. Felony Case Files

The District Court maintains case files on those cases which are presented for arraignment on informations filed by the District Attorney. These informations are subsequently dismissed if the district attorney refers the charges to the grand jury for indictment. The case is then heard in the circuit court as a felony charge.

The papers remaining in the district court are filed in folded style in standard four-drawer filing cabinets.

5. Civil Case Files

Civil case records are flat filed in file folders and are stored in standard four-drawer filing cabinets.

The numbering system is similar to that used for misdemeanor cases:

<u>Identifier</u>	<u>Docket Book</u>	<u>Case Number</u>
A	75	461

6. Small Claims Files

Small Claims records are filed in half-size folders, two rows to a file drawer. The numbering system is identified to the file drawer. Thus, case number 17 - 6 is the sixth case in drawer number 17.

B. Conclusions and Recommendations

1. Numbering Systems

a. General

The numbering systems used for cases filed in the district court are unique in concept. Identifying cases by using docket books and page numbers appears to be working well, as does the system of identifying small claims by file drawer number. During discussions with the staff of the district court it was agreed that changing the numbering system for the sake of change is not realistic. Some long range problems, however, need to be considered. Some of these are:

- possible repetition of case numbers
- training new employees
- eventual automation of case data
- statistical and reporting requirements
- uniform numbering systems
- records disposition and destruction

- 0 microfilming
- 0 lack of calendar year identifier

It was recommended that the Court Administrator and the staff of the district court devote further study to the numbering systems in use and consider adopting a more uniform approach on all district court cases.

It is suggested that the case numbers be kept simple yet informative enough to provide immediate identification of type of case, year filed and case number.

The consultant recommends against mixing or the intermingling of district court case files.

2. Traffic Case Files

a. Filing System

The Court Administrator and his staff have under consideration a proposal for installing a color coded filing system using primary, secondary and tertiary two-digit codes as identifiers. The need and costs to install such a system for traffic citations was discussed at some length during the on-site work. Because the system under consideration is a proprietary item, this report draws no conclusions as to the worthwhile features and advantages of such a system. Instead, the following observations are presented for consideration by the Court Administrator and his staff:

- 0 Traffic citation files are not sufficiently active to justify large expenditures for filing folders and filing equipment.
- 0 An estimated 20 percent or less of all traffic citations are referred to a second time.

- The remaining 80 percent are closed within the time limits established by the court or the arresting officials.
- The 20 percent referred to a second time are mandatory court appearances, not guilty pleas, and time payment plans. Other than the 3,000 cases under time payment arrangements, a specialized filing system is not required.
- The color coded system under consideration is designed to meet fixed or constant file reference requirements. Examples given are large insurance company policy holder files where a known reference rate is applied to 100 percent of the files at fixed intervals.

It is recommended that a simple and inexpensive filing system continue to be used for traffic citations - (see introductory portion of this report for recommendations on the disposition of traffic citations and see Exhibit VI for an example of traffic case docket used as a control record in many courts).

b. Extended Payment File

This file has grown to 3,000 names, has a high reference rate, and is checked daily for time payment due dates. Its alphabetical arrangement facilitates locating out-of-file cases and processing payments received by mail and over the counter. The file now contains so many names that arranging the citations by payment due date might expedite the mailing of citation letters, but would at the same time delay finding individual files for posting payments and other court actions.

It is recommended that the:

- time payment files be brought up to date
- alphabetical filing arrangement be continued
- automation of this file be expedited

c. Cash Handling

It is recommended that the Court Administrator continue his efforts to install cash handling systems throughout the court. Discussions held during the on-site work indicated a need for early policy and budgetary decisions in the following areas:

- type and make of equipment (cash handling machines)
- number and location of cashiers
- priority of installation
- posting, recording, reporting, auditing, and computer capabilities
- cost-benefit analysis (manual tasks eliminated)

3. Misdemeanor Case Files

The use of the two-digit cross reference code to the docket books is discussed under numbering systems above. As an immediate step, it is recommended that the filing year be included in the case number.

Misdemeanor files could be stored on shelf file units similar to those planned for circuit court case files. If, however, periodic transfers of closed cases to storage provides for an adequate number of filing cabinets, then the costs involved in converting to shelf file units should be considered. It is recommended this be an item for consideration by the Court Administrator.

4. Felony Case Files

It is recommended that the felony case files be flat filed in folders. Folding case papers is time consuming and creates filing problems because of size and bulk.

5. Civil Case Files

See recommendations on numbering system.

6. Small Claims Case Files

See recommendations on numbering system.

III. EXHIBITS

STATE OF
VS

CHARGE

FIRST APPEARANCE BEFORE

(JUDGE)

BOND AMOUNT

BONDSMAN

COURT APPOINTED COUNSEL

PRELIMINARY HEARING: ☐ WAIVED
☐ HELD FOR TRIAL
☐ DISCHARGED

INFORMATION FILED

CAPIAS ISSUED

CAPIAS RETURNED

ARRAIGNMENT

PLEA: ☐ GUILTY☐ NOT GUILTY

(DEFENSE COUNSEL)

☐ NOLO CONTENDERETRIAL: ☐ JURY☐ NON-JURY

CONTINUANCE BY

CONTINUANCE BY

MOTIONS TO BE FILED BY

MOTIONS TO SUPPRESS FILED

DOCKET SOUNDING

(TRIAL DATE)

CONTINUANCE BY

CONTINUANCE BY

DATE OF JURY TRIAL

ADJUDGED:

☐ GUILTY☐ NOT GUILTY

DATE OF NEGOTIATED PLEA

RESULTS

REMARKS

SENTENCE AND COMMITMENT

IT IS THE JUDGEMENT OF THE COURT AND THE SENTENCE OF THE LAW THAT YOU, THE ABOVE NAMED DEFENDANT

☐ BE CONFINED IN THE MONROE COUNTY JAIL FOR A PERIOD OF☐ PAY A FINE OF \$ AND \$ COURT COSTS☐ BE PLACED ON PROBATION FOR A PERIOD OF
WITH ADJUDICATION AND SENTENCE WITHHELD☐ SERVE IN STATE PRISON☐ CASE DISMISSED☐ ABSENTEE DOCKET☐ NOLLE PROSEQUI☐ DEFENDANT DISCHARGED FROM CUSTODY☐ DECLINES TO PROSECUTE☐ CASE CLOSED☐ OTHER

DONE, ORDERED AND ADJUDGED IN OPEN COURT THIS

day of

19

ARRAIGNMENT WORK SHEET

Case # _____

Date ____/____/____ | ____/____/____ | ____/____/____ Def. Present____, in custody____

am ____ FTA ____ am ____ FTA ____ Issue Warnt \$____, Bail____, Security____
pm ____ FTA ____ pm ____ FTA ____ Per Judge____, D.A.____

Def _____ True Name _____

Charge _____ Show Cause____, Fugitive____

Judge _____, D.A. _____ Def _____
Atty-ret'd____, aptd____, refrd____ATTY: Will get own____, Aptmt Requested____
Aprvd____, Denied____, based on: Fin Aff.____
Release Quest____, Aptmt in #____
Refer____, To File Fin Aff____, Atty WAIVED____
Atty Name____Plea: NG____, Jury____, Waived____, 15 day waiver____, Demur/Move____ or plead____ by____
G____, No Contest____, COP____, Reduction From____ #____

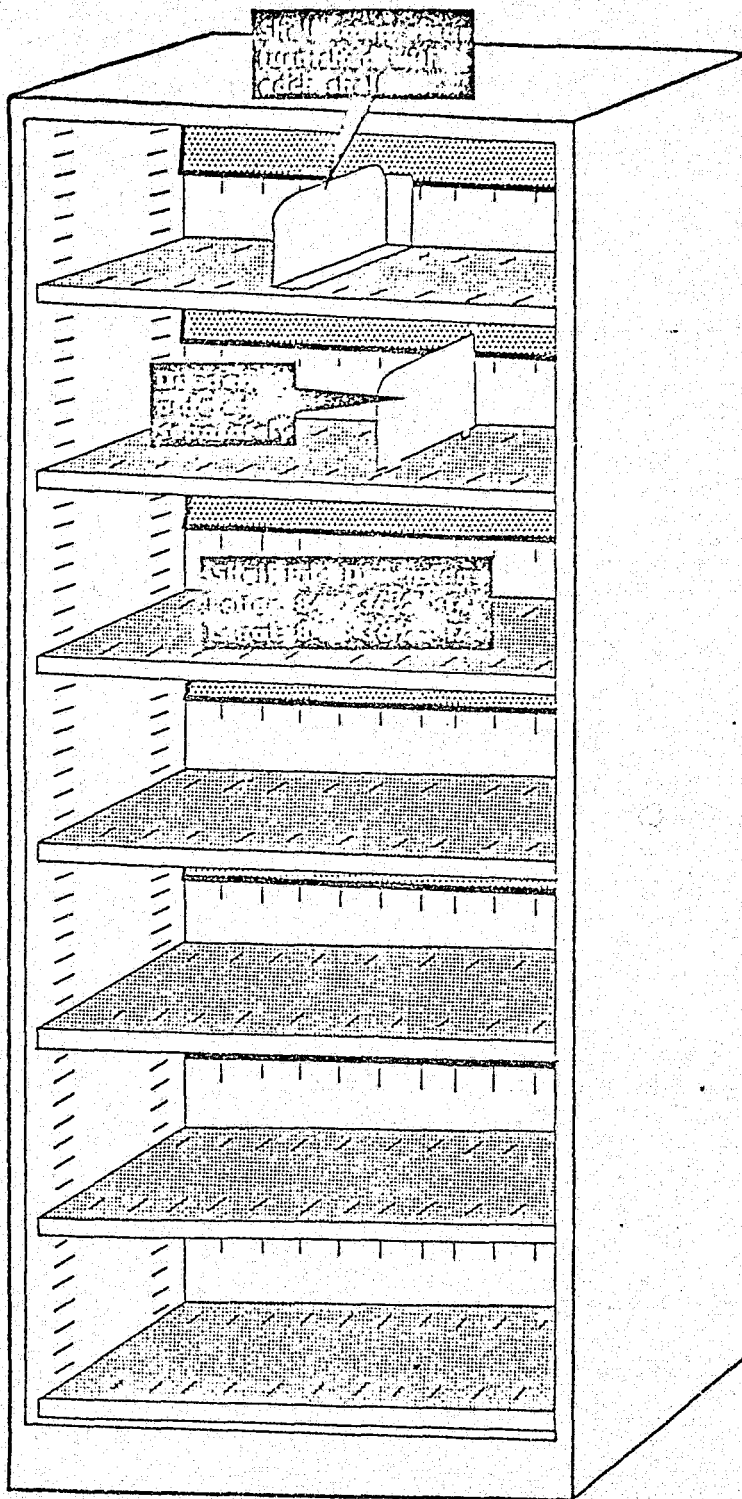
Dismissed: On State's Motion____, see disposition in #____

Hearing: P/H____, S/C____, Fug____, Date____ Waived____
S/C or Fug charges: Admits____ Denies____

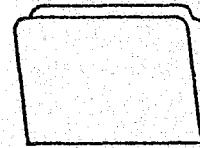
Release: C/R____, R/A____, Informal ROR____, \$____ Security____, Bail____

Continued to:____, Comments or SENTENCE:____

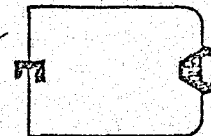
STANDARD SHELF FILE AND SUPPLIES



Folder



Guide card



Large card



EXHIBIT LV

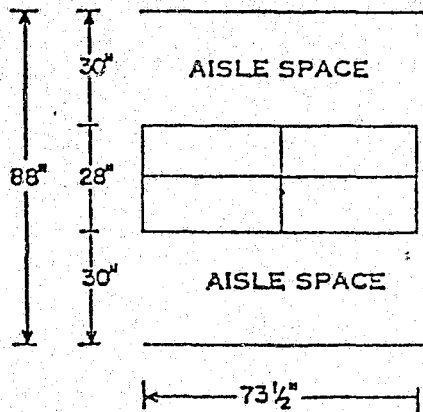
EXAMPLE OF SPACE-SAVING POTENTIAL FOR COURT CASE RECORDS

SHELF FILE UNITS vs FILE CABINETS

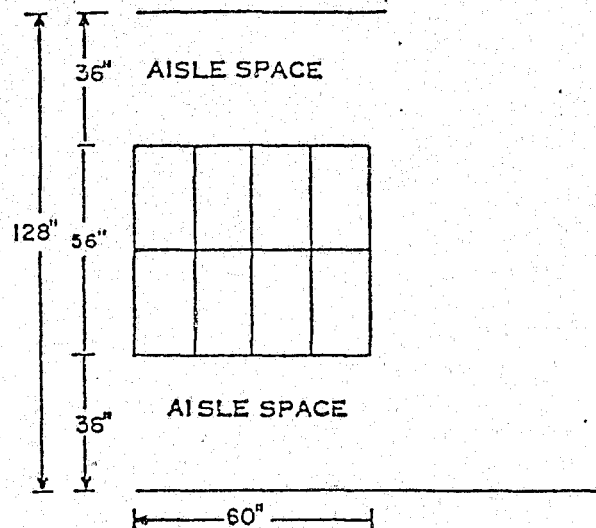
Shelf Type Units

Drawer Type Units

EXAMPLE NO. 1



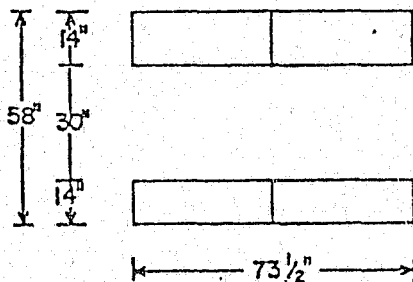
EQUIPMENT 14.3 SQ. FT.
AISLE 30.6 SQ. FT.
TOTAL 44.9 SQ. FT.



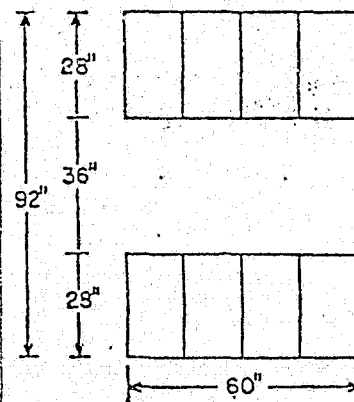
EQUIPMENT 23.3 SQ. FT.
AISLE 30.0 SQ. FT.
TOTAL 53.3 SQ. FT.

The total aisle space is 2% more for shelf files than for drawer type units. The total floor space for equipment and aisles is 16% less when shelf file units are used than when drawer type units are used.

EXAMPLE NO. 2



EQUIPMENT 14.3 SQ. FT.
AISLE 15.3 SQ. FT.
TOTAL 29.6 SQ. FT.



EQUIPMENT 23.3 SQ. FT.
AISLE 15.0 SQ. FT.
TOTAL 38.3 SQ. FT.

EXHIBIT V

DATE _____

JUDGE: McCLURE _____

JUDGE: ATKINSON _____

JT NJT

JUDGE: McCLAMMA _____

IH ARR

DEFENDANT _____

CASE NUMBER _____

CHARGE _____

OWN ATTORNEY _____

PUBLIC DEFENDER _____ WAIVED _____

PLEA: Guilty _____ Not Guilty _____ Nolo _____

INF. HEARING _____ NON JURY _____

JURY _____ ORDER OF NO IMP _____

FINE

AMOUNT _____ SENTENCE SUSP. _____

COURT COSTS _____

FINDINGS

GUILTY _____ NOT GUILTY _____ DISMISSED _____

CONTINUED TO _____

PROBATION _____ ADJWITHHELD _____

TRAFFIC SCHOOL _____ DWI SCHOOL _____

DL REST _____ TEMP PERMIT _____

TRAFFIC DOCKET T _____, COUNTY COURT

_____ DIVISION, ORANGE COUNTY

STATE OF FLORIDA

vs

CHARGE _____

DATE

COURT ACTION

Bond Estreated _____

Continuance to _____

Warrant issued _____

Warrant served _____

Adjudication withheld _____

ARRAIGNMENT, JUDGMENT, SENTENCE, AND ORDER

Said Defendant arraigned on this _____ day of _____

A.D., 19 _____, and entered a plea of guilty/nolo to the charge as set forth herein.

IT IS, THEREFORE, THE Judgment, Order, and Sentence of the Court that you, the Defendant, be imprisoned in the County

Jail at Orlando for _____ days/pay a fine of \$ _____

and \$ _____ the cost herein.

DONE, ORDERED, AND ADJUDGED in open court at

_____ Florida, this _____ day of

_____ A.D., 19 _____.

JUDGE

Traffic School _____

Probation _____

Driver's License: Suspension _____ Revocation _____

VIOLATIONS BUREAU

DATE _____ AMT. of Fine Paid \$ _____

_____ AMT. of Cost Paid \$ _____

JUDGES NOTES (or other Court Orders)

CDR: FILED _____ DISPOSITION _____

24-1 (7/73)

EXHIBIT VI

END