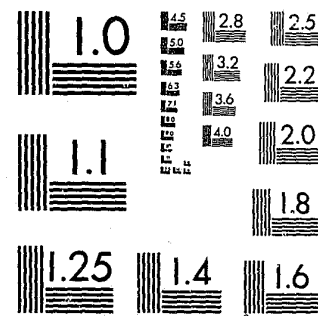


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REPORT ON THE  
TECHNICAL ASSISTANCE VISIT TO THE  
PROSECUTING ATTORNEY

60TH JUDICIAL CIRCUIT  
SOUTH BEND, INDIANA  
AUGUST 18-20, 1981

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BUREAU OF SOCIAL SCIENCE RESEARCH, INC.

WASHINGTON, D. C.

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REPORT ON THE  
TECHNICAL ASSISTANCE VISIT TO THE  
PROSECUTING ATTORNEY

60TH JUDICIAL CIRCUIT  
SOUTH BEND, INDIANA  
AUGUST 18-20, 1981

CRIMINAL PROSECUTION TECHNICAL ASSISTANCE PROJECT

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This study was performed in accordance with the terms of Law Enforcement Assistance Administration Contract #J-LEAA-010-80.

The views expressed in this report are not necessarily those of the Law Enforcement Assistance Administration.

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## INTRODUCTION

On August 18-20, 1981, a Technical Assistance team from the Criminal Prosecution Technical Assistance Project visited the offices of Michael P. Barnes, Prosecuting Attorney for the 60th Judicial District, Indiana. The Technical Assistance team examined the Prosecuting Attorney's management and operations functions in accordance with the terms of a contract with the Law Enforcement Assistance Administration. Members of the team included:\*

Leonard R. Mellon, Director  
Criminal Prosecution Technical Assistance Project  
Washington, D. C.

Thomas Humphrey, Consultant  
City Attorney  
Minnetonka, Minnesota

The purpose of the visit was to analyze problems related to the intake and screening of felony cases, the possibility of alignment with the County computer systems and the IV-D portion of the office. An overall assessment of the office was not attempted, not was it desired. The purpose of a technical assistance visit is to evaluate and analyze specific problem areas. It is designed to address a wide range of problems stemming from paperwork and organizational procedures, financial management and budgeting systems, space and equipment requirements and specialized operational programs, projects and procedures unique to the delivery of prosecutorial services.

During the visit, interviews are conducted with those members of the office who are most directly involved in the problem area. Their functions

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\*Vitae are attached as Appendix A.

and tasks are examined as well as their perceptions of the problem. The flow of paperwork and statistical system may also be examined if they are problem areas. Interviews may also be conducted with personnel involved with other component areas of the criminal justice system; such as police, courts and the public defender's office. The basic approach used by the Technical Assistance team is to examine the office with reference to its functional responsibilities. This means that the process steps of intake, accusation, trials, post-conviction activities, special programs and projects, juveniles and other areas are examined, as required, with respect to their operations, administration and planning features. Taking a functional analysis approach permits observation of the interconnecting activities and operations in a process step and identification of points of breakdown if they exist.

Once the problem and its dimensions have been specified, an in-depth analysis is made which results in an identification of the major elements and components of the problem, and an exposition of needed change, where applicable.

After the office has been fully examined, its dimensions discussed, and the analysis of the critical component factors undertaken, recommendations which are practicable and feasible are made.

The visit to the Prosecuting Attorney for the 60th Judicial District, Indiana, focused on the problems related to the intake and screening of felony cases, the possible alignment with the County's computer system and the IV-D portion of the office.



The Technical Assistance team would like to thank Mr. Barnes and his staff for their cooperation and assistance during the visit. Reception of the team was excellent, and the staff's willingness to discuss the strengths and weaknesses of the office was of considerable assistance to the Technical Assistance team in carrying out its tasks.

# II. SUMMARY OF RECOMMENDATIONS

1. Develop an overall case management system to exert a stronger policy role in the office.
2. Designate assistants, on a rotating basis, to perform the screening and review function. The Prosecuting Attorney's role in the intake area should be limited to setting policy and determining compliance with that policy.
3. Assign cases to felony attorneys on a rotating basis rather than by case type. This will provide a more diverse experience for the attorneys.
4. Replace the present alphabetical indexing system with a numerical system, with cross-indices for defendant's name and victim's name.
5. Create a file clerk position to maintain felony files and the indexing system.
6. Redesign the case file jackets and have them preprinted to provide uniform spaces to record case information.
7. Redesign all forms using the principles supplied in the body of this report.
8. Develop a differential pay scale for the clerical and support staff based on periodic performance reviews.
9. Designate the Executive Secretary as an administrative assistant/manager for the office and adjust the salary accordingly.
10. Assign secretaries to specific attorneys rather than to individual courts.
11. Collect statistics using the forms provided in Appendix E. Use these to publish an annual report on the office's activities.
12. Consider developing a Criminal Justice Users Group which could meet over time to discuss the possibility of a fully integrated system with a complete jurisdictional data base.
13. For the present purposes, consider a mini-computer system which could incorporate word processing features.
14. Develop a policy and procedures manual outlining the policies of the Prosecuting Attorney with regard to the operations of the office.
15. Hold periodic staff meetings with the attorneys in the office to review unusual cases, or new case law development.
16. Conduct periodic performance evaluations of the attorney staff.
17. Increase the level of staffing in the Child Support Enforcement Unit and replace the old filing system with a numerical system.

18. Secure the capability for automatically computing child support delinquencies. The county system should be available to perform this task.
19. Be aware of the effects of "burn out" by assigning one assistant to the Night Prosecutor Program on a permanent basis. This assignment may be better rotated among the other staff on a part-time basis.
20. Require that all attorneys handling felony cases to route their cases to the Victim/Witness Unit to fully utilize the services provided there.
21. Switch to a numerical filing system for misdemeanor and traffic offenses and secure the advance printout of trials scheduled to allow maximum time for preparation.

### III. SYSTEM OVERVIEW

The population of the 60th Judicial Circuit, Indiana, is approximately 250,000. The Prosecuting Attorney for the circuit, who has held that position for the last 30 months, oversees a staff of 29 employees. The Prosecuting Attorney and his chief deputy are constitutional officers and are state-funded. The assistants in the office are funded locally by the county. Seventeen deputy prosecutors serve at the Prosecuting Attorney's pleasure; nine of the most experienced serve on a part-time basis, and eight serve the office full-time. The part-time deputies are governed by Indiana statute as to the type of practice that they are permitted to do. The Prosecuting Attorney's office also employs one investigator. The office maintains one branch office, out of which misdemeanor and traffic offenses are prosecuted.

There are 10 police agencies that work in the 60th Judicial Circuit. The largest is the South Bend Police Department, which brings approximately 50-70 percent of the total number of arrests that the Prosecuting Attorney's office receives. The three most prevalent felonies prosecuted by the Prosecuting Attorney's office are residential and commercial burglary, theft and armed robbery. The office participates in many different programs, including diversion, child support enforcement, drug and alcohol abuse and sexual abuse. In addition, they receive federal funding for their career criminal program and their victim/witness program. Three deputy prosecutors are assigned to the career criminal section, one full-time and two part-time. Priority docketing is given career criminal cases, with the court's cooperation.

Two Superior Court judges devote full-time to criminal matters. In addition, one circuit judge hears criminal matters and has a civil case calendar.

The office maintains a Night Prosecutor Program which processes citizen mediation matters ("barking dog" cases, for example) and worthless check cases. The program operates four nights a week and on Saturday mornings.

#### IV. ANALYSIS

The analysis of the Prosecuting Attorney's office of the 60th Judicial District, Indiana, focused on the overall management plan for the office and also included an examination of the Child Support Enforcement program, the Night Prosecutor program and the Traffic and Misdemeanor Prosecution System.

##### A. Case Management

During the technical assistance visit, many of the people interviewed commented on the high quality of the prosecutions undertaken by this office. If this is so, the immediate question that comes to mind is "why change anything?" The answer is that without greater attention to case management, the reputation for quality work will decline. As with any prosecution system, the failure to emphasize case management in the office will lead to more serious problems in the future. At the time of the on-site visit by the Technical Assistance team, there were already indications that problems were beginning to develop.

In the body of this report, suggestions and recommendations will be made concerning such areas as file control, forms design, the use of statistics and the overall office structure. However, the primary recommendation of the Technical Assistance team is that the Prosecuting Attorney place increased emphasis on case management. That is vital to provide information necessary to evaluate staff performance, to maintain an effective operation and to ensure a cohesive, efficient structure to provide the highest caliber prosecutorial and other services possible with minimum wasted time and effort on the part of both professional and support staff.

Many of the procedures in place at the present time have either been carried over from prior administrations or have been developed by staff to

meet what they anticipate are the management needs of the office. This is not an acceptable situation. Procedures must be efficient and should serve goals established in general terms by the Prosecuting Attorney. He has to decide the degree of efficiency for office systems, what management information is important and what programs will receive priority attention.

The balance of this report will be concerned with suggestions to stimulate new directions in the internal operations of the office.

#### 1. Felony Case Processing

The present procedures for felony case processing are unnecessarily complicated and give rise to wasted time, the possibility of lost files, and, in general, inefficiency. There is no system for logging police reports, keeping track of files sent to the Court for probable cause review, or keeping current information on the status of each case. With few exceptions, the procedures can be altered without impact on the other components of the criminal justice system.

Under the current system, reports are delivered to the office by the police and the office manager ensures that cases are referred to the Prosecuting Attorney or one of his chief deputies for screening and charging. Other assistants in the office may screen and determine the charge if these attorneys are unavailable. All cases are then returned to the office manager. For the declined cases, the reports are placed randomly in a file folder. No notation is generally made as to the reason for declination. If the case is accepted, it is given to the secretary for the Court division where the case would be tried, who then: (1) types the charge according to the Indiana Prosecutors' Association formbook; (2) types docket sheets for the Court; (3) types information (computer) sheets for the sheriff if defendant is not in custody; (4) contacts complainant to sign charge; and

(5) places file aside until charge is signed by complainant. Once the complainant signs the charge, the secretary then has the Prosecuting Attorney or his chief deputy sign the charge, calls the Clerk for the cause number and enters this on the charge, the folder, the docket sheet and the information sheet, makes five copies of each original report, including exhibits, and sends the Clerk the entire file. The case is then reviewed by the Court for probable cause, the bond is set and the case file is returned to the secretary with all copies except one removed by the Court. At this point, the secretary prepares a numerical card, an alphabetical card and an alphabetical card on the victim, completes the form motions for discovery, makes one copy of the charging information for the victim/witness unit, and makes two copies of the motion for discovery. The case is then placed in the file drawer for the first time until the date of arraignment. These cases are then given to the assistant in charge of handling arraignments for that day. The arraignment assistant will note the action taken on the file and return it to the secretary, who will make the note in her calendar and give the file to the office manager, who assigns the file to the attorney who handles that particular type of charge. The secretary then prepares all responses to discovery requests, numbers all police reports, lists all witnesses and copies the information and sends it to defense counsel. The attorney assigned to the case then has the responsibility for the case file.

The Technical Assistance team suggests a number of changes that could be made to this system which would still preserve the continuation of a manual system.

The Police Department would continue to deliver reports to the office but would deposit them in a basket for this purpose. A file clerk would

prepare index cards and a case jacket and deliver the case to an attorney assigned to screening. The screening of felony cases should be handled on a rotational basis among the full-time attorneys in the office. Each attorney should carry the responsibility for review and screening for a minimum of one week at a time. A backup attorney should be designated in the event the attorney assigned this function is unavailable for a period. The Prosecuting Attorney should not participate in this process except in a supervisory capacity. It will be his responsibility to set charging standards and periodically review the cases charged to determine compliance with his standards. He may also wish to review those cases that are declined. This will place the Prosecuting Attorney in more of a managerial role. Additionally, it will promote career development among staff attorneys and share the burden of the charging task.

The attorney assigned the screening and review function should review the file and decide whether to charge. If the case is declined, the reason for the denial should be entered on the file jacket or in a separate memo to the file. An example of this is provided in Appendix B. If the case is accepted, the attorney should determine the type and level of the charge and return the file to the secretary.

If the case is denied, the secretary would make a copy of the file entry or the memo showing the reason for the denial. The Prosecuting Attorney's present practice or orally discussing declinations with the various St. Joseph's County law enforcement officers is one approved by the officers with whom it was discussed during the technical assistance visit.

The index cards should then be removed and placed in the file and the case should then be filed in a section for closed cases. If the defendant is charged, the secretary should type the charge, prepare a docket sheet for

the Court, type an information sheet for the sheriff if the defendant is not in custody, and refile the case in the file for cases pending signatures. A tickler filer should be established to diary cases for one week to see if the complainant comes in. Once the complainant signs the charge, the secretary should remove the diary card and place it in the file, have the Prosecuting Attorney or his chief deputy sign the charge, call the Clerk for the cause number and enter it in the appropriate places, make six copies of the police reports and exhibits (the complaints should have already been copied), send the Court the original and four copies of reports, exhibits and complaints, keeping the file with one set of copies of the office, diary the file sent to the Clerk for one week, and enter log information on the case jacket. Once the cases are reviewed by the Court for probable cause, the file is returned to the secretary, who pulls the diary card, makes the log entry on the case jacket and refiles the case. Each day the secretary will continue to call the Court and pull the appropriate files for the arraignment attorney. After the arraignment, the secretary should diary the file back for the date of subsequent appearance and prepare the discovery documents. At this point, the attorney assigned the case is notified of case assignment by the secretary.

Cases should be assigned to criminal (felony) attorneys on a rotation basis instead of on the basis of case type. This creates a more evenly distributed caseload, provides a more diverse experience for the attorney, and allows cross-specialization. The last benefit is important in the event an attorney leaves so that there are others capable of carrying on. Obviously in certain instances the Prosecuting Attorney may assign a case based on an attorney's greater experience in an area. The rule should be applied with flexibility.



## 2. Case Indexing

A case index card for a felony matter is not prepared unless a decision is made to charge a defendant. When a police report is received it is given to one of the three screeners who decide whether or not to issue a complaint. If a case is declined, the reports are placed in a file folder with other declinations in a random order.

If a decision is made to charge a defendant, two index cards are separately prepared; each card is a different size, and each card contains slightly different information. The larger card is filed numerically according to the "cause number" assigned to the case by the Clerk of Court. The smaller card is filed alphabetically by the defendant's last name.

One secretary maintains cards for Circuit Court matters; while another maintains the index for Superior Court cases. The indexes are kept at each secretary's desk.

For traffic and misdemeanor cases, no index cards are prepared. For probate and juvenile and bad check cases, records are indexed alphabetically. Another index is maintained for victims by the victim/witness unit and the child support enforcement program has its own system as well.

The Technical Assistance team recommends that the present system of case indexing be replaced by a numerical system with cross-indexes for a defendant's name or a victim's name. Filing strictly by name creates problems in file retrieval and planning for index expansion.

At the time a case is received from a police department, a case index card should be prepared and a case number (different than the cause number) assigned. The index card should be prepared at least in three copies by using NCR or carbon surfaced paper. The information currently used on the

alphabetical cards can be printed on multiple copy cards. A blank for witnesses' names or victims can be added.

Cards should be kept in a central location and not by individual secretaries.

A file clerk should be assigned the task of preparing the cards. At the same time the cards are prepared, a file folder should be put together.

Distribution of the cards would be as follows:

- 1 - master alphabetical file
- 1 - tickler file (kept initially in file folder)
- 1 - victim/witness alphabetical file

A fourth card may be made to cross-index by cause number, although this appears to be unnecessary unless the Clerk of Court prefers to refer to cases by this number.

The master control card would remain in the master index at all times until the cases were closed, when it would be transferred to a closed case index. The tickler card (preferably a different color) would be kept in the case file or a calendar file.

Such a system facilitates case tracking and eliminates preparation of different cards. Juvenile records and bad check case files should be handled in a similar manner. Consideration should be given to consolidating all these cards in one master index. Different types of cases can be color-coded for easier identification. Again, a file clerk should be placed in charge of this responsibility.

## 3. File Control

The secretary handling Superior Court matters, and the one responsible for Circuit Court cases, have separate filing cabinets. Cases are filed in the cabinets numerically. Generally, once a case has been assigned to an

attorney, the case file is turned over to him/her, and the secretary loses track of it. Locating a file can be difficult since there is no check-out system for filing. At times attorneys will return files to the file cabinets without informing the secretary. Secretaries complained to team members of lost files and the difficulty of determining the status of a case at any given time.

The Technical Assistance team recommends that the Prosecuting Attorney create the position of file clerk to maintain the felony case files and indexing system. This would not require a person with secretarial skills and could possibly be a part-time position. This person could also assist in the child support enforcement unit, in which case a portion of the salary would be eligible for federal financial participation.

Files for felonies should be consolidated into a single system in one location. There should be only two sets: one for open, and one for closed cases.

The files should be organized according to numbers assigned when a file is opened. They should be sequential, continuous and designed to provide certain information without requiring a check of the folder itself. For example, 81-1000-F would be a felony file opened in 1981 assigned the case number 1000. If juvenile, bad checks and misdemeanor files were consolidated, another letter code might be assigned for each, e.g., 81-1001-M for misdemeanor. Alternatively, different colored labels might be used -- a different color for felony, misdemeanor or juvenile or a different color for type of crime.

The old style file cabinets should be replaced with modern, open front files, with locking slide-out doors. This will increase ease of locating, removing and replacing files.

File cabinets should be located so that access can be monitored. Only designated personnel should be authorized direct access to files.

Large colored cards should be available to be placed in a file cabinet when a file is removed. The name of the person who will have possession of the file should be written on the card and the card inserted in the space for the file. When the file is returned, the card is removed and the name crossed out.

A series of filing baskets should be set up so that no one other than file clerk or specifically designated persons has to get involved with filing. In a review of the current system, one case was found for which there was no index card. One basket should be for the desposit of police reports on a daily basis. The file clerk should make up index cards and files on each incident at the start of each day.

#### 4. Case Jackets

Currently, case jackets consist of plain manila file folders. While materials are supposed to be fastened inside, this was not done in the majority of cases reviewed. This can cause materials to easily fall out of the file folders. It was also reported that on several occasions police officers and others have inadvertently picked up the wrong papers because they were not secured in the appropriate file. In addition, there are no cover sheets inside any of the files. A large stamp containing the same information as the numerical file card is placed on the inside of the file folder. In the majority of the cases reviewed, however, the information on the inside of the file did not correspond to the file card information.

For traffic and misdemeanor cases, except reckless driving and DWI, there are no file folders created. Police reports and any formal complaints are stapled together and filed alphabetically by the defendant's last name.

The Technical Assistance team recommends that the Prosecuting Attorney redesign his case jackets and have them preprinted. In this way they would contain information necessary to identify the status of a case at a glance. Examples of case file jackets are attached as Appendix C.

The following is an example of how the case jacket is used in conjunction with the index card:

The attorney handling the arraignments takes the case jacket with him. If a defendant pleads guilty, the attorney would make a note in the appropriate blank on the pre-printed case jacket. Upon returning to the office, the file would be placed in a filing basket. The file clerk would enter on the master index card the disposition and refile the card and the case file. With this method, the file card and case file are accurate, accounted for and the case status is available on the index card without having to pull the file.

All material must be securely fastened inside the file. Metal clips, as opposed to pockets, are the preferred method. While this is supposed to be done presently, more often than not papers are kept loosely in files giving rise to lost documents and misfiling. Inside the file, it is useful to keep legal documents on one side and correspondence fastened on the other.

## 5. Forms Design

A variety of forms are used in the office, most of which are inefficient in their design. There is unnecessary duplication of information as well as a lack of careful placement of blanks to be completed. The use of forms is supposed to reduce preparation time. Yet, often the design of forms is so poor as to not accomplish this objective efficiently.

Forms currently in use should be carefully reexamined keeping these principles in mind:

- A. "Write it once." Rather than saying "this matter came on before the Honorable \_\_\_\_\_" say "This matter came on before the undersigned Judge of Superior Court." This eliminates having to type in the name more than once.
- B. "Flush left" Forms should not have a date at the top right. Instead, date at the bottom left. For example: August 21, 1981  
8-21-81  
8/21/81.
- C. "Combine forms when possible." For example the Motion for Discovery and State's Response to Defendant's Motion for Discovery currently used could be prepared as a NCR set. Thus, certain information which is the same on both forms, e.g. heading and certificate of service, would only have to be typed once.
- D. "Minimize the number of blanks."
- E. "Vertical Space." Insure that forms are printed so that it is not necessary to move the typewriter roller up and down to hit a line.
- F. "Color code." This is quite useful in locating and identifying different documents. A prominent color should be used for documents that are most frequently needed. This system should not be arbitrary, but logical.

The Technical Assistance team recommends that a procedures manual for the use of forms also be developed. It should contain instructions on what forms to use when, how they are completed and form distribution. It should also include samples of completed forms. In this way, when new staff are added they will have a complete reference book on what to do with forms being used in the office.

#### 6. Clerical and Support Staff

A review of the clerical and support staff needs showed that the felony prosecution area appeared to be adequately staffed. This was not found to be true in the child support enforcement unit, however this problem will be addressed later in this report. In addition, the preparation of misdemeanor complaints was an area that was found to be backlogged thus indicating a need for at least an additional part-time person.

Of greater concern is the morale of the support staff. At the present time secretaries are paid at a uniform rate without regard to experience, training or performance. It is the recommendation of the Technical Assistance team that a differential pay scale be developed based on periodic, meaningful performance review. A good personnel management program is an essential component of an effective, working prosecutor's office. Performance reviews for the clerical and support staff should be structured and employees rated against an average performance concept for their job classification, not against some overall ideal standard. A structured appraisal form is attached as Appendix D. The specific rating criteria may be varied according to the needs of the office, however, this type of evaluation form has been found to be

useful in other prosecutor's offices. Not only should a form be completed, but a personal interview held. For support staff, this interview should be with the office manager.

Any rating system is only as effective as the people administering it. Good supervisors can make any system work well. The Technical Assistance team recommends that the Prosecuting Attorney formally designate one of the clerical and support staff members as administrative assistant/office manager. The Prosecuting Attorney's Executive Secretary is already recognized as performing some of the functions of an office manager, and would be the likely candidate for the position. The administrative assistant/office manager's duties should be clearly enumerated and should include:

- supervision of all clerical staff
- periodic evaluation in writing and orally of each support staff member
- preparation of job descriptions for each office position
- responsibility for all files, ensuring each is completed in timely fashion, orderly, complete and accessible (developing a strict file control policy)
- evaluation of mechanics of internal paperflow to simplify this system
- supervision of data collection
- file security
- responsibility for physical facilities and equipment
- budget management
- development of policy and procedural management
- cross-training of secretarial staff

Some of these responsibilities may be delegated to other support staff under the office manager's supervision. The salary for any employee promoted to this position should be adjusted. The Prosecuting Attorney's Executive Secretary's duties and responsibilities currently are quite extensive. She is woefully underpaid presently. It is recommended

that her position be reclassified to administrative assistant.

The Technical Assistance team also recommends that secretaries be assigned to specific attorneys rather than on the basis of which court the cases are filed in. Again, this provides an element of cross-training in the procedures of both courts.

#### 7. The Use of Statistics

Statistics should be kept to meet only the identified needs of the Prosecuting Attorney. Those needs may be for measuring efficiency, the accountability of the staff, budget justifications, or public information. The Prosecuting Attorney needs to determine what his statistical needs are, and to use the data collected on a regular basis. Otherwise, the time spent gathering the figures is wasted.

At the present time the office collects the following statistics:

- Number of walk-in clients to the office
- Number of felonies filed in Superior Court
- Number of felonies filed in Circuit Court
- Number of misdemeanors filed
- Number of juvenile cases filed
- Amount of child support support collected
- Number of felony cases disposed of each month
- Size of caseload for each attorney

These statistics are reviewed periodically by the Prosecuting Attorney, although the staff is unaware of the use to which they are put. The statistics are generally collected in a disorganized fashion and their accuracy was also questioned by a number of the staff.

It is the recommendation of the Technical Assistance team that the Prosecuting Attorney keep statistical records by making a determination to count cases and defendants as they enter the system.

This can be accomplished manually by the use of a tally sheet such as Form 1 found in Appendix E. This form is a weekly intake report to be filled out each day by the use of simple hash marks in the appropriate boxes. The amount of detail which is to be used may be determined by the needs of the prosecutor. On Form 1, both cases and defendants are counted, and the detail is sufficient to permit analysis of changes in charges filed, as well as cases accepted, referred or rejected. The clerk enters a hash mark in the appropriate box to indicate the result of the intake process.

At the end of the week, all of the columns are totalled and the monthly total from the previous week's report is entered in the next to the last row. The new monthly total to date is obtained by adding the weekly total to the monthly total from the last week.

Form 2 in Appendix E is a disposition report having basically the same format as the intake report. The headings should include all possible dispositions. While these may vary from one jurisdiction to another, the most common ones are listed on the form. Cases and defendants reaching disposition and the bottom half should be counted, as there are too many variations in the disposition of individual cases involving multiple defendants to use cases as the basis of the count. Therefore, the various categories, such as pled to original, pled to reduced, and so forth all refer to the number of defendants.



There are several ways in which this information can be collected.

It has been found to be highly successful to either analyze the court calendar for each day, which has been appropriately annotated with the courtroom results, or to use a master list of all defendants reaching final disposition in a given month.

To use the latter approach, a form such as Form 3 in Appendix E should be used. Each day, whether the calendar is prepared in the prosecutor's office or returned to the prosecutor at the conclusion of the day's work, a clerk should review the calendar to obtain the information and place it on this report. The date called for on the form is the date that the case was heard. The case number, defendant's name, docket number and charge should be listed individually and the disposition should be shown for each charge. The name of the assistant prosecutor who tried the case or handled the plea and of the trial judge, if applicable, should also be listed. The disposition categories should correspond to the weekly disposition report. The clerk should determine what occurred for each defendant at the trial or plea and mark only one column. At the end of the day, this information should be transferred to the weekly summary report.

Form 4 in Appendix E is an example of a calendar report. This report measures the amount of delay arising in the system and the reason it is occurring. The first column indicates, for any given day, the total number of cases scheduled. The third column, "Defendants Rescheduled" is a measure of the number of continuances being granted during a particular day. The next boxes enumerate the reasons why the defendant was rescheduled. This will show whether delays in the system are due to court backlog prosecutor-requested continuances or defense-requested continuances.

By using these four forms, the Prosecuting Attorney will be able to keep useful statistics for the office with a minimum of burden to the clerical personnel who will be performing these tasks.

The Prosecuting Attorney should consider publishing an annual report of his activities. This serves a very useful public information purpose. It also removes the disadvantage of having the public rely on statistics generated by other agencies which information may not be accurate or complete or which may distort a true accounting of work completed. It is also a reminder of what has been accomplished in the criminal justice system. The report, if timed correctly, is also useful in justifying budget increases to coincide with increased workloads.

Finally, those required to keep statistics should understand why and the use to which they are put. Proper motivation and discipline will insure statistical accuracy. Also there should be alternates designated to keep these records if the person normally assigned is absent.

#### 8. Data and Word Processing

At the present time the office does not have word processing or text editing equipment. Data processing is available through the County's contractual relationship with the local school district. There are two full-time software technicians available, although both are fully occupied presently with a desegregation/transportation plan for the school district. Interviews with school district staff members assigned specifically to criminal justice programming disclosed the fact that the current information system for the Courts and the South Bend Police Department was not functioning properly. The data base system for the South Bend Police Department was obtained from the Tulsa, Oklahoma Police Department before it was totally completed and functioning properly. This has resulted in data, especially the dispositions of felonies, that is unreliable.

While the equipment is certainly capable of handling the entire data programming needs of the prosecutor's office, the management system is not geared to allow this to happen soon. Also, the lack of commitment on the part of those agencies such as the Clerk of Court's office required to input information, will make it extremely difficult to develop an overall Criminal Justice Information System.

As a long term goal (5-10 years) the Technical Assistance team recommends that an effort should be made to form a Criminal Justice Users Group. This group should begin to discuss a fully integrated system with a complete jurisdictional data base.

In summary, the present system is not untypical in that it gives priority to accounting type functions. While the possibility for use by the prosecutor's office exists, as an immediate solution to case management it is not readily available.

Increasing caseload and increasing concern about the expenditure of public dollars justify examining what available computer technology can do for this office. While a criminal justice information system bringing together all the law enforcement agencies in the county would be an ultimate goal, the prosecuting attorney should be more concerned with developing a computerized case management system to accomplish the following:

1. An inventory of caseload
2. Indexes to the caseload
3. A summary of the status of each case
4. Assistance in the preparation of forms
5. Statistics useful to the District Attorney in management of the office
6. Scheduling and calendaring information
7. Word Processing.

While the county has an adequate capability to assist the prosecutor in both the area providing hardware and software technology, the system is complicated by the control which vests with various committees in assigning authority to implement new systems. At the present, the cost of so called mini computers with new software technology is such that for an initial investment of \$8,000 to \$15,000 the prosecutor can obtain what is necessary to develop an information system "in house." Such a system would not necessarily mean that additional programming staff would have to be hired. Rather, the systems are such that existing personnel can be retrained to develop simple programs that will accomplish the objectives outlined above.

Much of the system's design can actually become part of the purchase contract with the vendor. With competition being as it is, companies are willing to provide systems analysis and assist in developing simple software programs.

Any in-house data processing system can also incorporate word processing through the acquisition of letter quality printers. Appendix F outlines a system overview diagram and functional overview which shows graphically how a case management system could function in this office.

The data elements which could be included in this system are: prosecutor's case number, originating police department, police department case number, police officer responsible, defendant's names, unique identifiers, witnesses and addresses, dates of subpoenas sent or to be sent, date served, victim names, date case received in the office, original charge, charge type, final charge, case weight for prioritization, division, deputy, public defender or defense attorney, Court, cause number, judge, case milestones, case status indicator, automatic reactivation date, and disposition.

By manipulation of this data, virtually all of the statistical information required can be gathered automatically. Additionally, the system would minimize the chances for cases to "fall between the cracks" and get lost.

With respect to word processing, once the basic data is entered, the computer can produce the necessary legal forms virtually automatically. For example, once the data base for a file is entered into the computer, by keying for a particular form, e.g. Motion for Discovery, the machine

can rearrange the basic data and complete the form without a secretary having to do anything more than insert paper in the machine and key the appropriate button.

The costs for an in-house system are modest particularly if the cost of acquiring simple word processing equipment for three secretaries is considered. The cost becomes even a lesser consideration if the in-house system is used as part of the child support collection effort, which will be discussed later in this report. If handled in this fashion, it is possible to recover up to 75% of the hardware and software costs.

The space requirements for such computer equipment are quite modest as it would not occupy more room than a simple file cabinet. Each secretary should be furnished with a CRT, and there should be at least one letter quality printer along with a standard striker printer.

#### 9. Miscellaneous Management Tools

An effort should be made by the Prosecuting Attorney to develop and use a policy and procedures manual. A strong argument for the development of a policy and procedures manual or of effective implementation of policy in a prosecutor's office is that the success of the prosecutor often depends upon the conception that the local constituents have of the prosecutor and the office. The manual should reflect the policies of the Prosecuting Attorney for staff conduct, hours of operation, leave of absence and other matters affecting personnel within the office. It should also incorporate an organizational chart, job descriptions, and a salary schedule showing various levels and steps through which staff may expect to progress in the office. The manual should also contain

procedures to be followed in each program in the office: felony prosecutions, misdemeanors, juvenile cases, child support enforcement, bad checks and victim/witness matters. It should be written clearly enough so that new staff coming in to the office can use it as a thorough reference for learning their job. Responsibility for the development of the manual can be shared by the staff in the office, though the policies should be those of the Prosecuting Attorney alone. Most important, the manual must be kept current. It should be annually reviewed by the staff.

Periodic staff meetings should be scheduled. For attorneys, the time can be spent reviewing unusual cases, new case law developments, procedural problems and the like. Bi-weekly "brown bag" lunch meetings are one way to handle this. An attorney could be assigned to lead a discussion of new Supreme Court cases at each meeting.

The office manager, on a less frequent basis, should also meet with support staff to review what is happening in the office and to discuss any problems that are being encountered.

Performance evaluations should also be conducted with the professional staff. Staff generally appreciates knowing how their performance measures up. Performance evaluation is also a vital part of salary determination. A sample form is attached as Appendix G for attorney evaluation. Not only should a form be completed, but a personal interview should be held with the Prosecuting Attorney or his chief deputy.

#### B. Child Support Enforcement

From the brief time the Technical Assistance team spent examining the Child Support Unit, it became apparent that this area of the office

is in the greatest need of additional attention. Because of the availability of incentive money for increased collections, more effort and resources must be directed in this area. The deputy in charge is aware of the potential for turning the current system into a top notch collection unit. He has pinpointed the problem areas but needs the support of the Prosecuting Attorney in getting more staff and better equipment to do the job. The problem areas can be pinpointed as staffing, filing, data processing and program structure.

#### 1. Staffing

Experience in other jurisdictions has shown that a caseworker is capable of effectively managing 300-500 active cases, i.e. cases where a defendant owes child support. The Child Support Unit reports a caseload in excess of 10,000 open cases. To manage this caseload, there is one full-time deputy, one part-time deputy, four clerical workers, one intern and a receptionist. This works out to be approximately 2,000 cases per clerical worker. An attorney can generally handle the casework generated by 3-4 case workers. Together, the unit should generate \$3-5 dollars collected for every dollar expended.

The level of staffing in this office is almost hopelessly inadequate. With federal financial participation, the out-of-pocket expenses are minimal. Efforts to bring staff levels into line with the figures indicated should be made immediately.

## 2. Filing

The Technical Assistance team recommends that the old filing system should be totally replaced with newer, open shelf filing where files are stored side by side in numerical sequence. For security purposes, shelf filing equipment should be protected with retracting doors and locking mechanisms.

At the present time, files are filed alphabetically by the last name of the mother. The files are then broken into four separate groups: paternity; divorce and separations; reciprocal (in); reciprocals (out). The Technical Assistance team recommends that the Child Support Unit switch to a numerical filing system. To properly index a numerical system, a master index by defendant's name is used. A cross index by custodial parent's name is used. A cross index by custodial parent's name is also helpful. At the time of intake or receipt of a IV-D referral, a three by five inch index card can be prepared in triplicate. On the card is the defendant's name, custodial parent's name and case file number. The original card is placed in the defendant's index alphabetically. The second card is cross filed in a separate index by the custodial parent's name. The third is placed in the file folder and can be used as a charge out or diary card. Both the defendant and custodial parent indexes should contain active and closed sections. This acts as a control feature and provides a quick visual on active and closed status cases.

## 3. Data Processing

At the present time, information on support delinquencies must be manually computed by staff after pulling each file and comparing what has been received, according to a court printout, with what should have been paid according to the file. While a suspension note is made to review each case once every three months to make the computation of arrears, often this time period is not followed.

The single most vital need in the child support operation is to secure the capability for automatically computing child support delinquencies. The present system is grossly inefficient and must be replaced. The county system is capable of handling this automated process. Since the county system already records payments made, it is readily capable of performing the delinquency calculations and preparing dunning notices.

After a pre-determined closing date each month, the computer should calculate any deficiencies in support owed in each case. This will require an input capability in the Child Support Unit to keep the amount of support ordered in each case current. For any case that is delinquent, the computer should be able to generate a written delinquency notice to the obligor. After the notice is sent, the obligor should be given another 30 days to bring himself current. If he fails to do so, then the computer should produce a list of delinquent cases for the Prosecuting Attorney's office. Further collection efforts can then be made.

This is a simple collections programs to which the present computer system can be well adapted. An "off the shelf" computer



collections program might even be purchased for this purpose. A mini-computer in the Prosecuting Attorney's office should be acquired to further assist in the collection effort. It should be used for the same functions indicated previously in this report for felony case management. Up to 75% federal financial participation is available to pay for the cost of hardware and software. If the computer is used for other than child support purposes, the cost would have to be apportioned. But in any event, this offers the opportunity to get state of the art technology at a bargain price in terms of out-of-pocket county dollars.

#### 4. Program Structure

In exploring the organizational structure for the Child Support Enforcement Unit, it is important to examine the functions that will be performed. Organizationally, the unit can be set up as follows:

- A. Unit supervision by Deputy Assistant.
- B. Two workers are assigned to intake function to receive referrals, create files, gather preliminary information from obligee. They also determine the nature of the support obligation e.g. paternity, divorce decree, reciprocal, etc.
- C. If the location of the obligor is unknown, the case is transferred to a location clerk. That person utilizes available resources to locate a defendant.
- D. When a defendant's whereabouts are known, a case is referred to a caseworker. Each worker should carry a caseload of 300-500 open cases. That person's responsibilities are to contact a defendant to secure voluntary compliance with a court order or to secure a stipulation, etc. Also, each worker gathers information about each obligor and his/her ability to pay, potential defenses and other relevant information. Once a defendant is ordered to pay, the worker monitors his/her payment record. When the computer notice to bring a delinquent account current fails, the worker contacts the obligor. If that fails, the worker can prepare the necessary affidavits and legal motions for

court action. All that paperwork would be reviewed by an attorney or legal intern prior to being sent out. The payment counselor (caseworker) can also keep in contact with the obligee regarding status of the case.

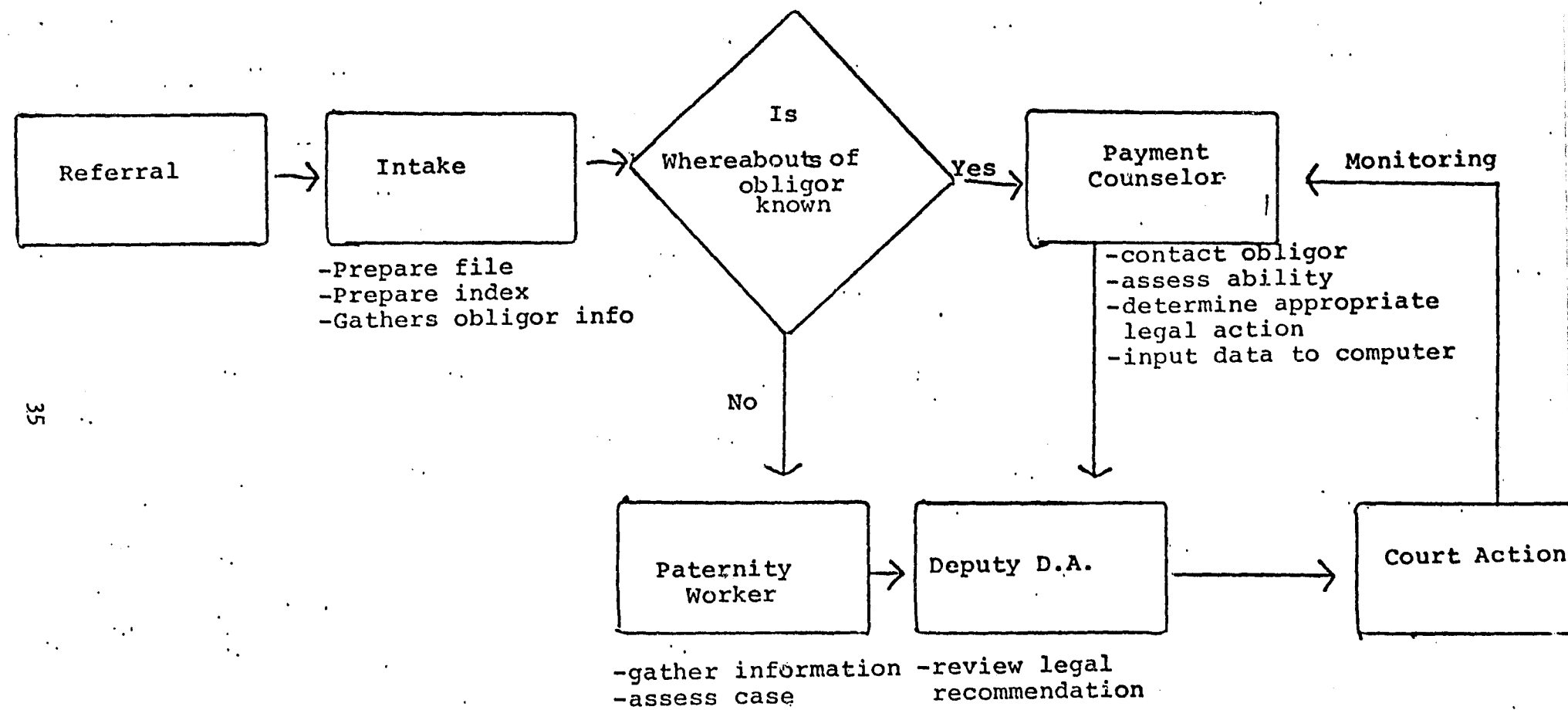
At the time of hearing, the worker can assist the attorney in negotiating stipulations while waiting for the Court.

- E. Cases where paternity must be established should be assigned to a single caseworker specialist. That person should have tact and patience in dealing with the cases. Once the order to support has been established, however, the case can be assigned to a regular caseworker

A flow chart for the operations performed is shown on page 35.

In refining the support effort, the Technical Assistance team recommends that a number of additional tasks should be performed. First, a detailed flow chart should be developed. In doing so ask: Is each step necessary? Is each step in proper sequence? Who has to handle the paperwork? Second, develop a standard operating procedure detailing the responsibilities of each staff person. Third, develop and maintain a case log to reflect the current status of each case. Fourth, maintain statistical data on cases opened, type of each case, disposition of cases, number of stipulations, number of cases closed, and dollars collected and expended. Fifth, utilize forms to the maximum.

In summary, the Child Support System currently in place is operating with marginal effectiveness. With the fiscal incentives available to the County and the availability of federal financial participation, the program can become much more successful without interfering with the other programs in the office.



### C. Night Prosecutor Program

The Night Prosecutor Program is an excellent concept for the non-judicial resolution of disputes. The program appears to be functioning quite well. During the day, the program is staffed with volunteers to handle the intake function. Hearings are conducted by a part-time deputy in the evening. There are approximately 30 hearings a month.

Indexing is by complainant's name with a cross-index by the defendant's name. Files are color coded by year and they are kept at the police station where the hearings are held. It takes about ten days from the filing of a complaint to hearing.

The cost of the system is \$8.00 per case compared to \$150.00 for a case processed through the Court system. This program appears to be not only cost effective but an excellent functioning alternative for dispute resolution.

The only significant potential problem area is the impact of this assignment on a permanent basis to one individual. Burn-out is a natural consequence when handling this volume of generally repetitive problems. The Prosecuting Attorney should consider whether he wishes to continue to run that risk or rotate the assignment among other part-time staff.

### D. Victim/Witness Unit

The Technical Assistance team was particularly impressed with the quality of the work done by the Victim/Witness Unit in the Prosecuting Attorney's office. The unit has heretofore been funded through a federal grant which has terminated. It is the strong recommendation of the Technical Assistance team that St. Joseph's County fund this vital program on a continuing basis.

In addition to support services being provided for victims and witnesses the two persons assigned to the unit do a great deal of pre-trial preparation of cases for those assistant prosecutors who wish to utilize the services of the unit. It was indicated that approximately 95 percent of the attorneys in the office do in fact take advantage of the services offered by the unit. However, there is no systematic procedure in place by which cases are routed through the unit. Many times the unit will not get cases until three weeks before trial. In other instances, they receive them quite early in the process. It is the recommendation of the Technical Assistance team that the Prosecuting Attorney establish a policy requiring all of his assistants handling felony matters to route their cases to the Victim/Witness unit after arraignment or at the earliest possible time. This will allow for full utilization of the services provided by the unit.

### E. Misdemeanor Prosecution

Misdemeanor and traffic prosecution is handled by two full-time deputies with one secretary. Roughly 80 traffic cases are heard by

the Courts Monday through Thursday each week. Each month the department prepares 200-225 supplemental Affidavits for misdemeanor charges.

When a police report is received, one of the attorneys reviews it and completes a formal complaint. Cases which are brought up are not logged in. When typed, the complaint is put in an out basket for pick-up by the police department to be signed. Sometimes the officer may be called.

Files are made for reckless driving or DWI cases. They are filed alphabetically. Other cases have no file folder. Every day the secretary takes the court sheets with the dispositions entered and marks on the office file the dispositions of each case. The case is then placed in a closed file. Court sheets are kept 3-4 months.

This is a high volume system which is functioning satisfactorily. The Technical Assistance team recommends that the Prosecuting Attorney switch to a numerical filing system with numbers assigned as police reports are received and to secure the advance computer print-out of trials scheduled to allow maximum time for preparation.

## CONCLUSIONS

The analysis and these recommendations are presented with the knowledge that the Prosecuting Attorney for the 60th Judicial District, Indiana, Michael P. Barnes, already has an effective, working system in place. The areas highlighted in this report are those areas that should next be addressed as the Prosecuting Attorney strives to constantly improve the delivery of prosecution services to the citizens of the community.

There is an urgent need for the Prosecuting Attorney to place increased emphasis on case management in his office. As with any prosecutor's office, the failure to emphasize case management leads to the decline in the quality of prosecutions. Although the Prosecuting Attorney has an effective working staff, there was an indication at the time of the technical assistance visit that the need exists for a stronger case management system.

In the area of felony case processing, the present procedures are unnecessary complicated and give rise to wasted time, the possibility of lost files and general inefficiency. The Prosecuting Attorney should designate each one of his assistants to review and screen felony cases for a minimum of one week at a time. A back-up attorney should also be designated. The Prosecuting Attorney should not participate in this process except in a supervisory capacity. He should set charging standards and periodically review cases to determine compliance with those standards. He should also review cases that are declined. It is important to rotate the reviewing authority to each of the assistants as it promotes career development and shares the charging duties among the staff.

The attorney assigned the reviewing authority should examine the file, decide on an appropriate charge, and return the file to the secretary. If the case is declined, the reasons should be noted on the file jacket, and discussions held with the appropriate St. Joseph's County law enforcement officer. The index cards would then be placed in the file and the folder filed in a section for closed cases.

For those cases charged, a tickler file should be established to diary cases for one week pending the complainant's signature. Once the charge is signed by both the complainant and the Prosecuting Attorney, the Clerk should be called for the cause number and the office should make six copies of the file, sending the original and four copies to the Clerk's office.

Cases should be assigned to felony attorneys on a rotation basis instead of on the basis of case type. This creates a more evenly distributed caseload, provides a more diverse experience for the attorney, and allows cross-specialization. In certain instances the Prosecuting Attorney may wish to assign a case based on an attorney's greater experience in an area, but this practice should be watched closely lest the old system return.

In the area of case indexing, the Technical Assistance team recommends that the present system be replaced by a numerical system with cross indexes for the defendant's name and the victim's name. Filing strictly by name creates problems in file retrieval and planning for index expansion. A Prosecuting Attorney's case number (different from the cause number) should be assigned at the time the case is received from a police agency. A file clerk should be assigned to

prepare an index card (in three copies, using NCR paper), which should be kept in a central location, and to put together a file folder. One card would become the master alphabetical file, one card would be used in a tickler file kept initially in the file folder, and one card would become the victim/witness alphabetical file. Such a system facilitates case tracking and eliminates preparation of different cards. Juvenile records and bad check records should be handled in a similar manner. Consideration should be given to consolidating all these cards in one master index. Different types of cases can be color coded for easier identification.

In the area of file control, the Technical Assistance team recommends that the Prosecuting Attorney create a file clerk position to maintain felony files and the indexing system. This would not require a person with secretarial skills and could possibly be a part-time position.

Files for felony cases should be organized in two sets: one for open and one for closed cases. These files should be organized numerically and designed to provide certain information without opening the file itself. For example, the number 81-1000-F would be a felony file opened in 1981 assigned the case number 1000. In addition, it is suggested that the current filing cabinets be replaced with open front cabinets with locking slide out doors. This will increase the ease of locating, removing and replacing files. A series of filing baskets should be set up so that no one other than the file clerk needs to get involved with filing.



With respect to case file folders, the Technical Assistance team recommends that the Prosecuting Attorney redesign the case jackets and have them preprinted. In this way, the status of a case could be identified at a glance. Inside the file, it is useful to keep legal documents on one side and correspondence fastened on the other.

A variety of forms are used in the office, most of which are designed inefficiently. The use of forms is supposed to reduce preparation time. Some principles for use in redesigning the forms can be found in Section A Part 5 of the body of this report. The Technical Assistance team also recommends that a procedures manual for the use of forms be developed. This will serve as a reference book for training of new staff.

The Technical Assistance team recommends some changes with regard to the clerical and support staff. The Prosecuting Attorney should consider developing a differential pay scale for the clerical staff based on periodic performance reviews. These reviews should be structured (a sample form is attached as Appendix D) and should include a personal interview with the office administrative assistant/manager. The Prosecuting Attorney should formally designate his Executive Secretary as the administrative assistant/manager. She is already recognized as performing some of the functions of an office manager, and would be a likely candidate for the position. With this appointment, the salary for this position should be adjusted. The Technical Assistance team also recommends that secretaries be assigned to specific attorneys rather than on the basis of which court the cases are filed in. This will provide an element of cross-training in the procedures of both courts.

Statistics are generally collected in a haphazard fashion at the present time and their accuracy was questioned by a number of the staff. The Technical Assistance team has enclosed some data collection forms (Appendix E) to assist the Prosecuting Attorney in collecting statistics in an orderly fashion. Their use is explained in Section A Part 7 of this report. These statistics can be very useful in allocating resources, predicting the need for additional resources and managing the case flow in an office. In addition, the Prosecuting Attorney should consider using the statistics collected and publishing an annual report of the office's activities. This removes the disadvantage of having to rely on information collected by other criminal justice agencies, which may distort a true accounting of the work completed.

In the data and word processing area, while the equipment available through the County is certainly capable of handling the entire data programming needs of the office, the management system is not geared to allow this to happen soon. As a long term goal, the Prosecuting Attorney should work to develop a Criminal Justice Users Group to discuss a fully integrated system with a complete jurisdiction data base. In the meantime, the Prosecuting Attorney might consider developing an "in house" mini computer information system. Such systems can be purchased for \$8,000 to \$15,000 and can include system design and the training of existing personnel as part of the purchase contract. With the acquisition of letter quality printers, the system can incorporate word processing functions. The space requirements for such computer equipment are quite modest; it should not occupy more room than a simple file cabinet.

A policy and procedures manual should be developed by the Prosecuting Attorney which would reflect policies for staff conduct, hours of operation, leave of absence and other matters affecting personnel within the office. It should also incorporate an organizational chart, job descriptions and a salary schedule showing various levels and steps through which staff may expect to progress in the office. It can also be used as a reference tool for new staff learning the job.

Periodic staff meetings should be held with the attorneys in the office. These can be spent reviewing unusual cases, new case law developments, procedural problems and the like. Performance evaluations of attorneys should also be conducted. A sample form is attached as Appendix G for this purpose. In addition a personal interview should be held concurrently with the Prosecuting Attorney or his chief deputy.

The Child Support Enforcement Unit is in need of additional attention. The level of staffing is almost hopelessly inadequate. With federal financial participation the out of county pocket expenses are minimal. Efforts should be made to bring staffing up to a level where a caseworker is managing no more than 300-500 active cases. The unit should be generating \$3-5 dollars collected for every dollar expended.

The Technical Assistance team recommends that the old filing system be replaced with newer, open shelf filing where files are stored side by side in numerical sequence. To properly index a numerical system, a master index by defendant's name is used. At the time of intake, an index card can be prepared in triplicate. The original card is placed in the defendant's index alphabetically. The second card is

cross filed in a second index by custodial parent's name. The third is placed in a file folder and can be used as a charge out or diary card. Both the defendant and the custodial parent indexes should contain active and closed sections. This acts as a control feature and provides a quick reference on active and closed status cases.

The single most vital need in the child support operation is to secure the capability for automatically computing child support delinquencies. At the present time these are computed manually, which is totally inefficient. The county system is capable of handling this automated process. Since the county already records payments made, it is readily capable of performing the delinquency calculations and preparing dunning notices.

Additionally, the child support effort needs to be refined. The Technical Assistance team recommends that a detailed flow chart of the operations be developed; a manual detailing the responsibilities for each staff person be developed; a case log to reflect the current status of each case be developed; statistics be maintained; and forms used to the maximum. In summary, the unit was felt to be able to become much more successful if these recommendations are incorporated.

The Night Prosecutor Program appears to be functioning quite well. It is not only cost effective but an excellent functioning alternative for dispute resolutions. The only potential problem observed by the Technical Assistance team is the impact of the assignment of this program to one individual on a permanent basis. Burn-out is a natural consequence when handling this volume of generally repetitive problems. The

Prosecuting Attorney may want to rotate this assignment to other staff on a part-time basis.

The Technical Assistance team was particularly impressed with the quality of work performed by the Victim/Witness Unit. It is the strong recommendation of the team that St. Joseph's County fund this vital program on a continuing basis. The individuals assigned to this unit perform a great deal of pre-trial preparation for the attorneys who take advantage of this service. The Technical Assistance team recommends that the Prosecuting Attorney require all the assistants in the office handling felony matters to route their cases to this unit after arraignment to fully utilize the services provided by this unit.

Misdemeanor and traffic prosecutions are handled by two full-time assistants with one secretary. This is a high volume system which is functioning satisfactorily. The suggestion made by the Technical Assistance team in this area is that the filing system be switched to a numerical system and the unit secure the advance print-out of trials scheduled to allow the maximum time for preparation.

The implementation of these suggestions and recommendations should result in a more efficient and effective office for the Prosecuting Attorney as well as a savings to the taxpayers of St. Joseph's County as a result of a more productive office.

#### APPENDIX A

## RESUME

LEONARD R. MELLON

RESIDENCE: 3008 Federal Hill Drive  
Falls Church, Virginia 22044  
(703) 241-8982

EDUCATION: BS (Political Science), Florida State University  
BSFS (History, International Law) School of Foreign Service,  
LLB, School of Law, Georgetown University

### PROFESSIONAL EXPERIENCE:

Deputy Executive Director, Jefferson Institute For Justice Studies - Currently  
Research Associate, Bureau of Social Science Research, 1978 - Present  
Director, Project on Child Support Enforcement, National District  
Attorneys Association, Washington, D. C., 1975-1978  
Special Counsel, National Center For Prosecution Management, Washington,  
D.C., 1974-1975  
Chief Deputy State Attorney, 12th Judicial Circuit of Florida,  
Sarasota, 1974  
Assistant State Attorney, 11th Judicial Circuit of Florida, Miami, 1971-1974  
Counsel, Transcommunications Corp., New York, Miami, 1969-1971  
Sole practitioner, Miami, Florida, 1965-1969  
Assistant Attorney General, Florida, 1958-1965

### CURRENT EMPLOYMENT

Project Director, Criminal Prosecution Technical Assistance Project--  
Designed the format for and directed the operation of a technical assistance  
project which provides short-term, on-site technical assistance to state attorneys  
general, district and local prosecutors, and other relevant agencies in the areas  
encompassing the operations, management and planning function of an office.  
Coauthored a series of monographs in the field aimed at technology transfer of  
proven management and operational techniques and processes; supported by the  
Law Enforcement Assistance Administration.

Deputy Executive Director of Jefferson Institute For Justice Studies --  
Assist in the qualitative development of methods designed to measure performance  
of prosecutors and public defenders under a National Institute of Justice grant.  
Participate in the design of tools to assist prosecutors, judges and others in  
developing charging guidelines and sentence recommendation procedures in studies  
commissioned by state and local authorities.

### PAST EXPERIENCE

#### 1978-1980

As Deputy Project Director, participated at the Bureau of Social Science  
Research in a three year nation-wide research project to develop techniques  
and procedures for increasing uniformity and consistency in decisionmaking  
in prosecutors offices. Among the 15 prosecutors cooperating in the research  
were those in Brooklyn, New York, Detroit, Michigan, Seattle, Washington,  
New Orleans, Louisiana, Minneapolis, Minnesota and Kansas City, Missouri.  
Out of this research was developed a new policy and management evaluation  
tool called the "Standard Case Set" which allows a prosecutor to measure the  
amount of agreement that exists in his office between himself and his attorney  
staff (called consistency) and among his staff (called uniformity).

#### 1975-1978

As Director of the National District Attorneys Association Project On Child  
Support Enforcement, developed and directed a DHEW supported project which  
assisted and encouraged prosecutors and others nationally to participate in  
the Federal Child Support Enforcement Act (Title IV-D of the Social Security  
Act). During the project, conducted regional orientation and training  
conferences nation-wide; produced a monthly child support enforcement news-  
letter; developed a reference source and telephone hotline for prosecutors  
and other persons involved in IV-D activities, and a clearinghouse on current  
child support data; directed and participated in technical assistance visits  
by child support enforcement consultants nationwide.

#### 1974-1975

As special counsel to the National Center for Prosecution Management, prepared  
under an LEAA grant, standards and goals for homogeneous groups of prosecutors  
in the United States, organized the groups, supervised the meetings and assisted  
in the preparation of documentation on standards and goals.

#### 1974

As Chief Deputy State Attorney, 12th Judicial Circuit of Florida (Sarasota)  
had total responsibility, directly under State Attorney, for administration  
and operation of prosecutor's office. Acted as State Attorney in the absence  
of State Attorney.

#### 1971-1974

As assistant state attorney, 11th Judicial Circuit of Florida, Dade County,  
Miami, created special trial division for speedy processing and trial of  
defendants, assisted in the development of pretrial intervention (diversion)  
program under an LEAA grant and established a Magistrate's Division in the  
State Attorney's Office. After undertaking a survey of case intake and  
screening, recommended the establishment of a new system and was appointed  
head of the new Intake and Pre-Trial Division in the State Attorney's Office.

## 1969-1971

Acted as house counsel for Transcommunications Corporation, a public corporation, in both Miami and New York City. Corporation was involved in television videotape production and post-production, and motion picture film processing. Job responsibility was primarily concerned with administration and the monitoring and supervision of the collection of accounts receivable.

## 1965-1969

Conducted general law practice including real estate and probate, commercial and administrative law. Specialized in appellate work both in state and federal courts. Practice also devoted in large measure to trial litigation, civil and criminal, in both state and federal courts.

## 1958-1965

As assistant attorney general of Florida was initially assigned to civil division handling general legal and administrative law matters for a variety of state agencies. In April 1960, appointed as Director of Law Enforcement under the Attorney General and acted at the same time as counsel for, among others, the Florida Hotel and Restaurant Commission, the State Beverage Department, the Florida Board of Pharmacy, the State Narcotics Bureau and the Florida Racing Commission. In this capacity drafted a variety of regulatory bills which were enacted into law affecting horse and dog racing in Florida, the hotel, restaurant and liquor industries, and the profession of pharmacy.

Selected Publications

"The Prosecutor Constrained By His Environment--A New Look At Discretionary Justice In The United States," (with Joan Jacoby and Marion Brewer), The Journal of Criminal Law and Criminology, Spring, 1981.

"The Standard Case Set: A Tool For Criminal Justice Decisionmakers" (with Joan E. Jacoby) (in press, G.P.O.), 1981.

"Prosecutorial Decisionmaking: A National Study" (with Joan E. Jacoby) (in press, G.P.O.), 1981.

"Policy and Prosecution" (with Joan Jacoby and Walter Smith) (in press, G.P.O.), 1981.

"Measuring Evidentiary Strength of Criminal Cases", Criminal Justice

Research: New Models and Findings, Sage Publications, Beverly Hills, London, 1980.

Transmitting Prosecutorial Policy: A Case Study in Brooklyn, New York (with Joan E. Jacoby, et al.). Bureau of Social Science Research, 1979

A Quantitative Analysis of the Factors Affecting Prosecutorial Decisionmaking (with Joan E. Jacoby, et al.). Bureau of Social Science Research, 1979

Policy Analysis for Prosecution (with Joan E. Jacoby) Bureau of Social Science Research, April 1979.

Policy Analysis for Prosecution: Executive Summary (with Joan E. Jacoby) Bureau of Social Science Research, April 1979.

"Probable Cause Determination," (Commentary) National Prosecution Standards, National District Attorneys Association, Chicago, 1977.

"The Child Support Enforcement Act." (with Sharon Biederman) Prosecutors' Deskbook, Washington, D.C.: National District Attorneys Association, 1976.

Handbook on the Law of Search, Seizure and Arrest, Florida Attorney General's Office, 1960; revised, 1962

"Can Effective Restrictive Legislation Be Written" The Journal of the American Pharmaceutical Association, Spring, 1963



BIOGRAPHICAL INFORMATION

Thomas B. Humphrey, Jr.

HOME ADDRESS: 3858 Independence Road  
Maple Plain, Minnesota 55359

PHONE: (612) 479-1113 (Home)  
(612) 421-4760 (Office)

AGE: 33 HEALTH: Excellent

PROFESSIONAL EXPERIENCE:

Executive Director, National District Attorneys Association,  
Chicago, Illinois - November 1979 - March 1980:

While on leave of absence, directed activities and planning for non-profit organization representing 24,000 prosecutors. Planned and conducted training conferences (Rural/Suburban and Metropolitan Prosecutors Conferences; Juvenile Justice Conferences; Civil Liability Crisis in County Government Conferences; Family Violence Conference). Supervised staff for central administration, Economic Crime Project, Child Support Enforcement Project, Victim/Witness Project and Alternatives to Incarceration Project. Maintained liaison with Congress on criminal justice legislation. Assisted in budget preparation. Reported to Executive Committee and Board of Directors.

Assistant County Attorney, Anoka, Minnesota,  
June 1971 - present:

Presently responsible for labor and employment law problems of County, civil litigation with emphasis on federal practice (EEOC and discrimination suits), and land acquisition. Also represented and advised Comprehensive Health Board (Public Health Nurses, Environmental Services, and Daytime Activity Centers); County Welfare Board (Social Services and Financial Assistance); Sheriff; Auditor; Highway Engineer; and Recorder.

Training Coordinator, Minnesota County Attorneys Council,  
St. Paul, Minnesota, January 1978 - September 1978:

While on leave of absence, administered Law Enforcement Assistance Act (LEAA) training grant for Minnesota Prosecutors. Identified training objectives; organized programs (civil and criminal); selected faculty; developed comprehensive, written, training materials; and implemented programs.

Management Consultant, National District Attorneys Association,  
Chicago, Illinois:

Assisted in analysis of internal operations of Prosecutors' offices in Contra Costa, County, California; Sauk County, Wisconsin; Opelika, Alabama; and Selma, Alabama.

Conference Planner, National District Attorneys Association,  
Chicago, Illinois:

Planned and organized 1978, 1979, and 1980 Civil Liability Crisis Conferences for NDAA and National Association of Counties (NACo).

Commander, Headquarters Company, 47th Infantry Division,  
Minnesota Army National Guard, St. Paul, Minnesota:

Managed and directed personnel, food services, supply and training in support of Division staff for four years. Currently assigned as Assistant G-2 (Intelligence Officer).

MISCELLANEOUS:

Former Commissioner for Hennepin County Park Reserve District. Elected to a four year term.

Recipient of Distinguished Faculty Award from National College of District Attorneys, Houston, Texas, and National District Attorneys Association, Chicago, Illinois, June 1976.

Faculty member for NDAA, Minnesota County Attorneys Council, and HEW Child Support Enforcement Project.

Author of articles for NDAA, and Minnesota County Attorneys Council including Administration of a Child Support Program in a Prosecutor's Office (NDAA, 1978); Competitive Bidding for Counties (MCAC, 1978); Procedural Guide to Condemnation Proceedings (MCAC, 1970); and Liability of Public Officials (NDAA, 1979).

Former Consultant for Office of Child Support Enforcement, Department of Health, Education and Welfare, Washington, D. C., 1977.

LAW SCHOOL:

University of Minnesota  
J. D. 1971  
(Legal Aid Clinic, 1969 - 1971)

UNDERGRADUATE SCHOOL:

Claremont Men's College

Claremont, California

B. A. Political Science with emphasis in International  
Relations, 1978

(Dean's List, 1968; Distinguished Military Graduate; President  
Newman Club; Member Pi Sigma Alpha; Member Student Court.)

BAR ADMISSIONS:

Supreme Court, State of Minnesota

United States Court of Appeals (8th Cir.)

United States District Court (D.C., Minn.)

MEMBERSHIPS:

Committee on Civil Affairs, National District

Attorneys Association

Minnesota State Bar Association

Hennepin County Bar Association

Committee on Local Government

Anoka County Bar Association

American Bar Association

Woodhill Country Club

AVOCATIONS:

Tennis, Skiing, Polo, French, Hobby Farming

APPENDIX B

Filed For EA. Case Where

DISPOSITION REPORT

Charge is Denied

\_\_\_\_\_  
Suspect's Name  
\_\_\_\_\_  
Police Agency Event Number  
\_\_\_\_\_  
Officer's Name  
\_\_\_\_\_  
District Attorney's Intake Number  
\_\_\_\_\_  
Deputy District Attorney's Name  
\_\_\_\_\_  
Requested Charge

The above-referenced case is:

I. ☐ Rejected for the following reasons:

- ( ) Civil controversy
- ( ) Victim refuses to cooperate
- ( ) Crime occurred in another jurisdiction
- ( ) Expense of extradition not justified
- ( ) Will be filed as violation of probation or parole
- ( ) Statute of limitations has run
- ( ) Insufficient evidence due to:
  - ( ) Bad search
  - ( ) Bad arrest
  - ( ) Confession not admissible - insufficient advice of rights
  - ( ) Other: Specify \_\_\_\_\_

( ) Others: \_\_\_\_\_

II. ☐ Returned for police action. We will be unable to consider filing charges until the case is resubmitted with the following item(s):

( ) Witness statements from the following persons:

\_\_\_\_\_  
\_\_\_\_\_

( ) Results of line-up ( ) photo ( ) in person

( ) Lab analysis of the following: \_\_\_\_\_

\_\_\_\_\_

( ) Chain of evidence report

( ) Photographs and/or ( ) diagrams of the following: \_\_\_\_\_

\_\_\_\_\_

APPENDIX C

### MODEL CASE FILE JACKET

Minimum guidelines and standards for the design of a case file folder have recently been developed by the National Center for Prosecution Management. The folder may be utilized by prosecutors or modified for adaptation to a given jurisdiction's procedures. The secondary purpose of this model is to stimulate the thinking of the prosecutor in this area and to present him with standards and guidelines that formulate a base for designing his own case file jacket that will be responsive to his local procedural and information needs.

A report entitled "Minimum Standards for the Design and Use of a Prosecutor's Case Jacket" has been developed as an attachment to the Case File Jacket by the Center for the effective utilization of the Model, and is available upon request.

**DEFENDANT'S NAME:**

CASE NO.

TITLE AND ADDRESS OF OFFICE

P.D.I.D.

D.O.B.

MO.

DAY

YR.

LAST

FIRST

MIDDLE

CHARGES

DATE OF ARREST:

DATE CHARGED:

SPEEDY TRIAL DATES

DEMAND

NO DEMAND

DATE

DATE

RELEASE DECISION

☐ JAIL  
☐ PERSONAL RECOGNIZANCE  
☐ CASH BOND  
☐ THIRD PARTY CUSTODY  
☐ PSYCHIATRIC OBSERVATION  
☐ NAME OF SURETY

DEFENSE COUNSEL

(NAME, ADDRESS, PHONE)

POLICE OFFICER

(NAME, DEPT./UNIT, BADGE NO.) REPORTING (R) COMPLAINING (C)

REQUISITE NOTICE TO DEFENDANT

PO AVAILABILITY

ITEM CHECK IF TO BE USED DATE NOTICED

PRELIM \_\_\_\_\_

CONFESSION \_\_\_\_\_

MOTIONS \_\_\_\_\_

IDENTIFICATION \_\_\_\_\_

PRETRIAL \_\_\_\_\_

DISCOVERY \_\_\_\_\_

TRIAL \_\_\_\_\_

OTHER \_\_\_\_\_

COMPLAINING WITNESS

(NAME, ADDRESS, HOME PHONE, BUSINESS PHONE)

MODEL CASE JACKET

National Center for Prosecution Management  
1900 L St., N.W., Suite 701, Washington, D.C. 20036

August, 1973

Work Performed under LEAA Grant No. 72-DP-99-0038

Reverse Side Front Cover

NEEDED	IN FILE	EVIDENTIARY MATTER
<input type="checkbox"/>	<input type="checkbox"/>	Autopsy
<input type="checkbox"/>	<input type="checkbox"/>	Ballistics
<input type="checkbox"/>	<input type="checkbox"/>	Chain of Evidence List
<input type="checkbox"/>	<input type="checkbox"/>	Chemical Report
<input type="checkbox"/>	<input type="checkbox"/>	Confession
<input type="checkbox"/>	<input type="checkbox"/>	Contraband
<input type="checkbox"/>	<input type="checkbox"/>	Damages Listed
<input type="checkbox"/>	<input type="checkbox"/>	Evidence
<input type="checkbox"/>	<input type="checkbox"/>	Indictment
<input type="checkbox"/>	<input type="checkbox"/>	Investigative Reports
<input type="checkbox"/>	<input type="checkbox"/>	Motions
<input type="checkbox"/>	<input type="checkbox"/>	Newspaper Articles
<input type="checkbox"/>	<input type="checkbox"/>	Office Memorandum
<input type="checkbox"/>	<input type="checkbox"/>	Photographs
<input type="checkbox"/>	<input type="checkbox"/>	Police Reports
<input type="checkbox"/>	<input type="checkbox"/>	Rap Sheet
<input type="checkbox"/>	<input type="checkbox"/>	Research Material
<input type="checkbox"/>	<input type="checkbox"/>	Restitution Made
<input type="checkbox"/>	<input type="checkbox"/>	Trial Memorandum
<input type="checkbox"/>	<input type="checkbox"/>	Weapons
<input type="checkbox"/>	<input type="checkbox"/>	Witness List
<input type="checkbox"/>	<input type="checkbox"/>	Witness Statements

MODEL CASE JACKET INSERT

National Center for Prosecution Management  
1900 L Street, N.W., Suite 701, Washington, D.C. 20036  
August, 1973

MODEL WITNESS LIST

NAME :	D.O.B.:	I.D. NO.:	DATE APPEARED
RES. ADDRESS :	PHONE:		
BUS. ADDRESS:	OCCUPATION:	PHONE:	
ALTERNATE CONTACT:	SUBPOENAS		
WILL TESTIFY TO:	ACTION	DATE ISSUED	RETURN DATE
TESTIMONY			
DESCRIPTION OF WITNESS:	TAKEN: <input type="checkbox"/>		
	TRANSCRIBED: <input type="checkbox"/>		

NAME :	D.O.B.:	I.D. NO.:	DATE APPEARED
RES. ADDRESS :	PHONE:		
BUS. ADDRESS:	OCCUPATION:	PHONE:	
ALTERNATE CONTACT:	SUBPOENAS		
WILL TESTIFY TO:	ACTION	DATE ISSUED	RETURN DATE
TESTIMONY			
DESCRIPTION OF WITNESS:	TAKEN: <input type="checkbox"/>		
	TRANSCRIBED: <input type="checkbox"/>		

NAME :	D.O.B.:	I.D. NO.:	DATE APPEARED
RES. ADDRESS :	PHONE:		
BUS. ADDRESS:	OCCUPATION:	PHONE:	
ALTERNATE CONTACT:	SUBPOENAS		
WILL TESTIFY TO:	ACTION	DATE ISSUED	RETURN DATE
TESTIMONY			
DESCRIPTION OF WITNESS:	TAKEN: <input type="checkbox"/>		
	TRANSCRIBED: <input type="checkbox"/>		

Work performed under LEAA Grant No. 72-DF-99-0038



一、二、三、四、五、六、七、八、九、十、十一、十二、十三、十四、十五、十六、十七、十八、十九、二十、二十一、二十二、二十三、二十四、二十五、二十六、二十七、二十八、二十九、三十、三十一、三十二、三十三、三十四、三十五、三十六、三十七、三十八、三十九、四十、四十一、四十二、四十三、四十四、四十五、四十六、四十七、四十八、四十九、五十、五十一、五十二、五十三、五十四、五十五、五十六、五十七、五十八、五十九、六十、六十一、六十二、六十三、六十四、六十五、六十六、六十七、六十八、六十九、七十、七十一、七十二、七十三、七十四、七十五、七十六、七十七、七十八、七十九、八十、八十一、八十二、八十三、八十四、八十五、八十六、八十七、八十八、八十九、九十、九十一、九十二、九十三、九十四、九十五、九十六、九十七、九十八、九十九、一百。

## This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or printed text on the paper.

[illegible]

STATE of MICHIGAN  
COUNTY of WAYNE

*PROSECUTOR ATTORNEY*

DEF. NAME:

WARRANT APA:

Def #1

CHARGES:

WARRANT DATE:

PERSONNEL

PROCEEDING DATES

ACTIONS

Examination APA

Examination Judge

Pre-trial APA

Pre-trial Judge

EXAMINATION SET FOR

EXAMINATION ADJOURNED TO

EXAMINATION COMPLETED ON

PRE-TRIAL CONFERENCE ON

PLEA TAKEN ON

MOTION/HEARING ON

COURT CERTIFIED FOR TRIAL ON

TRIAL SCHEDULED FOR

TRIAL ADJOURNED TO

TRIAL ADJOURNED TO

VERDICT ON

SENTENCING SCHEDULED FOR

- ☐ Adjourned  
☐ Adjourned for Forensic  
☐ Capias  
  
☐ Waived, Bound Over  
☐ Held, Bound Over  
☐ Dismissed - No Testimony  
☐ Dismissed After Testimony  
☐ Guilty Plea

☐ Diversion  
PLEA - NRP - AUTHORIZED

GUILTY PLEA TO

- ☐ Granted and All  
Charges Dismissed

- ☐ Jury Trial Held  
☐ Waiver Trial Held

- ☐ Dismissed During Trial  
☐ Plea to Original Charge  
☐ Guilty As Charged  
☐ Guilty Of:

- ☐ Not Guilty  
☐ Hung Jury/Mistrial

SENTENCE:

Motion Judge

Certifying APA

Trial APA

Trial Judge

STATE of MICHIGAN  
COUNTY of WAYNE

*PROSECUTOR ATTORNEY*

DEF. NAME:

WARRANT APA:

Def #

CHARGES:

WARRANT DATE:

PERSONNEL

PROCEEDING DATES

ACTIONS

Examination APA

Examination Judge

Pre-trial APA

Pre-trial Judge

EXAMINATION SET FOR

EXAMINATION ADJOURNED TO

EXAMINATION COMPLETED ON

PRE-TRIAL CONFERENCE ON

PLEA TAKEN ON

MOTION/HEARING ON

COURT CERTIFIED FOR TRIAL ON

TRIAL SCHEDULED FOR

TRIAL ADJOURNED TO

TRIAL ADJOURNED TO

VERDICT ON

SENTENCING SCHEDULED FOR

- ☐ Adjourned  
☐ Adjourned for Forensic  
☐ Capias  
  
☐ Waived, Bound Over  
☐ Held, Bound Over  
☐ Dismissed - No Testimony  
☐ Dismissed After Testimony  
☐ Guilty Plea

☐ Diversion  
PLEA - NRP - AUTHORIZED

GUILTY PLEA TO

- ☐ Granted and All  
Charges Dismissed

- ☐ Jury Trial Held  
☐ Waiver Trial Held

- ☐ Dismissed During Trial  
☐ Plea to Original Charge  
☐ Guilty As Charged  
☐ Guilty Of:

- ☐ Not Guilty  
☐ Hung Jury/Mistrial

SENTENCE:

Motion Judge

Certifying APA

Trial APA

Trial Judge

APPENDIX D.

CLERICAL PERSONNEL EVALUATION

NAME (LAST, FIRST, INITIAL)

SOCIAL SECURITY NUMBER

JOB CLASS

SALARY

DEPARTMENT

RATING PERIOD

COMMENT:

	Does not apply	Outstanding	Exceeds requiremts	Meets requiremts	Improvement needed	Unacceptable
1 Attendance and punctuality						
2 Compliance with rules						
3 Personal Neatness						
4 Ability to work with others						
5 Self Expression						
6 Operation and care of equipment						
7 Accuracy and neatness						
8 Quantity of work						
9 Completion on schedule						
10 Willingness to accept extra duty						
11 Performance under pressure						
12 Adaptability						
13 Performance with little superv.						
14 Professional attitude						
EMPLOYEES WHO SUPERVISE						
Training and leading staff						
Planning and assigning work						
Fairness and impartiality						

GENERAL EVALUATION: IN MY OPINION, THIS INDIVIDUAL IS:

1. Performing in an outstanding manner.
2. Performing in excess of the requirements of the position.
3. Performing adequately.
4. Not performing satisfactorily. Should be retained only if significant improvement in the next \_\_\_\_\_ months.
5. Unacceptable. Should not be continued in this position.

SIGNATURE OF EMPLOYEE

SIGNATURE OF EVALUATOR

DATE

APPENDIX E

**FORM 1**

# INTAKE REPORT

WEEK OF \_\_\_\_\_ TO \_\_\_\_\_, 1980

[illegible]





1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100 101 102 103 104 105 106 107 108 109 110 111 112 113 114 115 116 117 118 119 120 121 122 123 124 125 126 127 128 129 130 131 132 133 134 135 136 137 138 139 140 141 142 143 144 145 146 147 148 149 150 151 152 153 154 155 156 157 158 159 160 161 162 163 164 165 166 167 168 169 170 171 172 173 174 175 176 177 178 179 180 181 182 183 184 185 186 187 188 189 190 191 192 193 194 195 196 197 198 199 200 201 202 203 204 205 206 207 208 209 210 211 212 213 214 215 216 217 218 219 220 221 222 223 224 225 226 227 228 229 230 231 232 233 234 235 236 237 238 239 240 241 242 243 244 245 246 247 248 249 250 251 252 253 254 255 256 257 258 259 260 261 262 263 264 265 266 267 268 269 270 271 272 273 274 275 276 277 278 279 280 281 282 283 284 285 286 287 288 289 290 291 292 293 294 295 296 297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314 315 316 317 318 319 320 321 322 323 324 325 326 327 328 329 330 331 332 333 334 335 336 337 338 339 340 341 342 343 344 345 346 347 348 349 350 351 352 353 354 355 356 357 358 359 360 361 362 363 364 365 366 367 368 369 370 371 372 373 374 375 376 377 378 379 380 381 382 383 384 385 386 387 388 389 390 391 392 393 394 395 396 397 398 399 400 401 402 403 404 405 406 407 408 409 410 411 412 413 414 415 416 417 418 419 420 421 422 423 424 425 426 427 428 429 430 431 432 433 434 435 436 437 438 439 440 441 442 443 444 445 446 447 448 449 450 451 452 453 454 455 456 457 458 459 460 461 462 463 464 465 466 467 468 469 470 471 472 473 474 475 476 477 478 479 480 481 482 483 484 485 486 487 488 489 490 491 492 493 494 495 496 497 498 499 500 501 502 503 504 505 506 507 508 509 510 511 512 513 514 515 516 517 518 519 520 521 522 523 524 525 526 527 528 529 530 531 532 533 534 535 536 537 538 539 540 541 542 543 544 545 546 547 548 549 550 551 552 553 554 555 556 557 558 559 560 561 562 563 564 565 566 567 568 569 570 571 572 573 574 575 576 577 578 579 580 581 582 583 584 585 586 587 588 589 590 591 592 593 594 595 596 597 598 599 600 601 602 603 604 605 606 607 608 609 610 611 612 613 614 615 616 617 618 619 620 621 622 623 624 625 626 627 628 629 630 631 632 633 634 635 636 637 638 639 640 641 642 643 644 645 646 647 648 649 650 651 652 653 654 655 656 657 658 659 660 661 662 663 664 665 666 667 668 669 670 671 672 673 674 675 676 677 678 679 680 681 682 683 684 685 686 687 688 689 690 691 692 693 694 695 696 697 698 699 700 701 702 703 704 705 706 707 708 709 710 711 712 713 714 715 716 717 718 719 720 721 722 723 724 725 726 727 728 729 730 731 732 733 734 735 736 737 738 739 740 741 742 743 744 745 746 747 748 749 750 751 752 753 754 755 756 757 758 759 760 761 762 763 764 765 766 767 768 769 770 771 772 773 774 775 776 777 778 779 780 781 782 783 784 785 786 787 788 789 790 791 792 793 794 795 796 797 798 799 800 801 802 803 804 805 806 807 808 809 810 811 812 813 814 815 816 817 818 819 820 821 822 823 824 825 826 827 828 829 830 831 832 833 834 835 836 837 838 839 840 841 842 843 844 845 846 847 848 849 850 851 852 853 854 855 856 857 858 859 860 861 862 863 864 865 866 867 868 869 870 871 872 873 874 875 876 877 878 879 880 881 882 883 884 885 886 887 888 889 890 891 892 893 894 895 896 897 898 899 900 901 902 903 904 905 906 907 908 909 910 911 912 913 914 915 916 917 918 919 920 921 922 923 924 925 926 927 928 929 930 931 932 933 934 935 936 937 938 939 940 941 942 943 944 945 946 947 948 949 950 951 952 953 954 955 956 957 958 959 960 961 962 963 964 965 966 967 968 969 970 971 972 973 974 975 976 977 978 979 980 981 982 983 984 985 986 987 988 989 990 991 992 993 994 995 996 997 998 999 1000 1001 1002 1003 1004 1005 1006 1007 1008 1009 1010 1011 1012 1013 1014 1015 1016 1017 1018 1019 1020 1021 1022 1023 1024 1025 1026 1027 1028 1029 1030 1031 1032 1033 1034 1035 1036 1037 1038 1039 1040 1

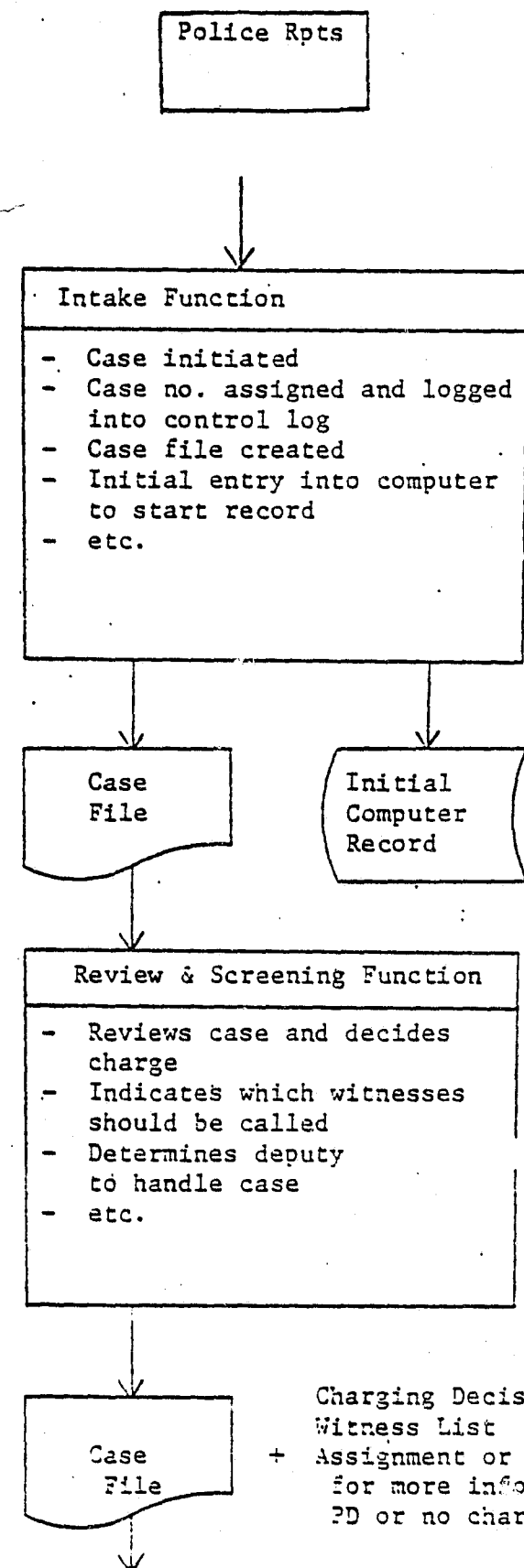
[illegible]

## WEEK OF: \_\_\_\_\_ TO \_\_\_\_\_, 1980

[illegible]

# APPENDIX F

## FUNCTIONAL OVERVIEW



### Computer Reports Used

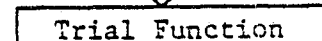
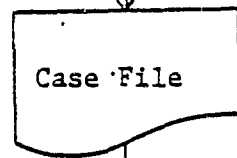
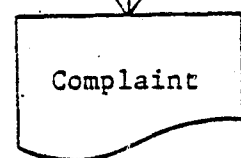
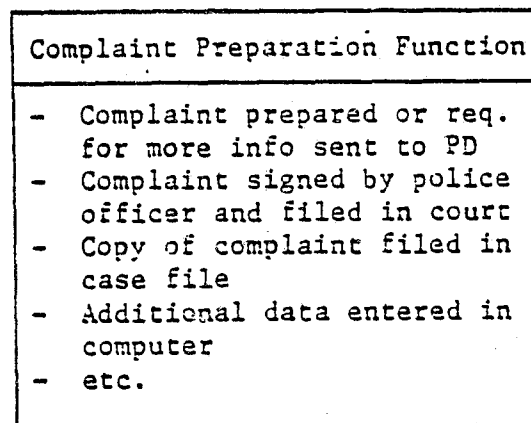
Master Name Index  
to check if prior history on defendant  
Numerical Log of Cases  
added prior day for control purposes

### Computer Entry

Basic Case Data  
Case #  
Defendant Name and ID  
PD & PD#  
Date Received  
etc.

### Computer Reports Used

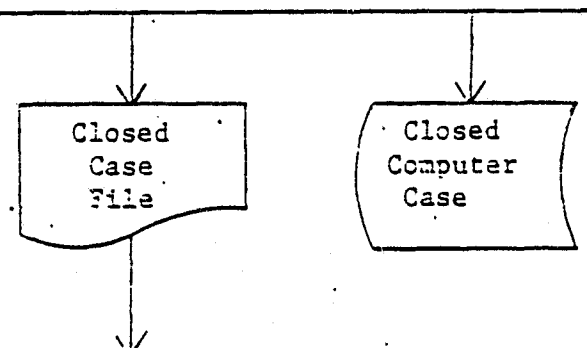
Weekly Statistical Report  
to determine caseload and evenly distribute cases



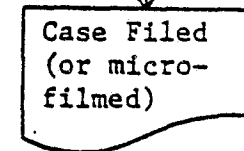
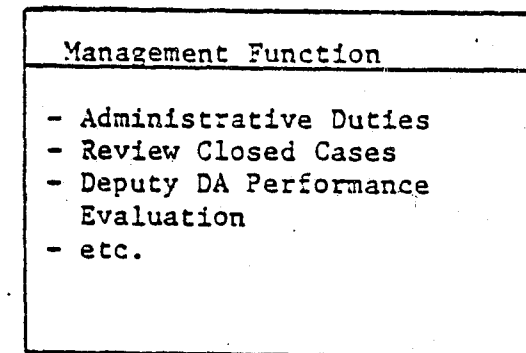
# Computer Reports Used

- |                        |  |                                      |
|------------------------|--|--------------------------------------|
| Police Court Calendar  | -General Typing                        | -Review Cases                        |
| Pull cases going       | -Prepare Subpoena for mailing          | -Arraignment                         |
| Court appearance       | -Pull Case Files for Court Appearances | -Plea Negotiations                   |
| #3                     | -Records Checks on Jury Lists          | -File Motions                        |
| Master Name Index      | -Request RAP Sheets                    | -Witness Interrogation               |
| and Inquiry            | -Log in Witnesses, prepare cost bills  | -Case Preparation                    |
| Find current case      | -Computer Entry                        | -Court Appearances                   |
| Status or other info   | -Answer Questions to Status of Cases   | -Report Case Status to Support Staff |
| #11                    | -etc.                                  | -Sentencing                          |
| Master Case # Index    |  | -etc.                                |
| Inquiry                |  |                                      |
| Find current case      |  |                                      |
| Status or other info   |  |                                      |
| Exception Report       |  |                                      |
| Deputy                 |  |                                      |
| check for exceptions   |  |                                      |
| used by lack of input  |  |                                      |
| computer               |  |                                      |
| Subpoena/Warrant Print |  |                                      |
| have computer print    |  |                                      |
| poena/warrant for case |  |                                      |

Computer Entry  
 License Attorney  
 Case Status Information  
 Court Dates  
 Position Information



Computer Entry  
 Charge  
 Deputy Assigned  
 Witness names and address  
 Court #  
 Date Filed



Record destroyed after appropriate time period.

## Reception and Miscellaneous Function

- Answer and Route Telephone Calls
- Answer Questions about Cases
- Meet Public and Assist them with their problems
- Route mail to proper persons

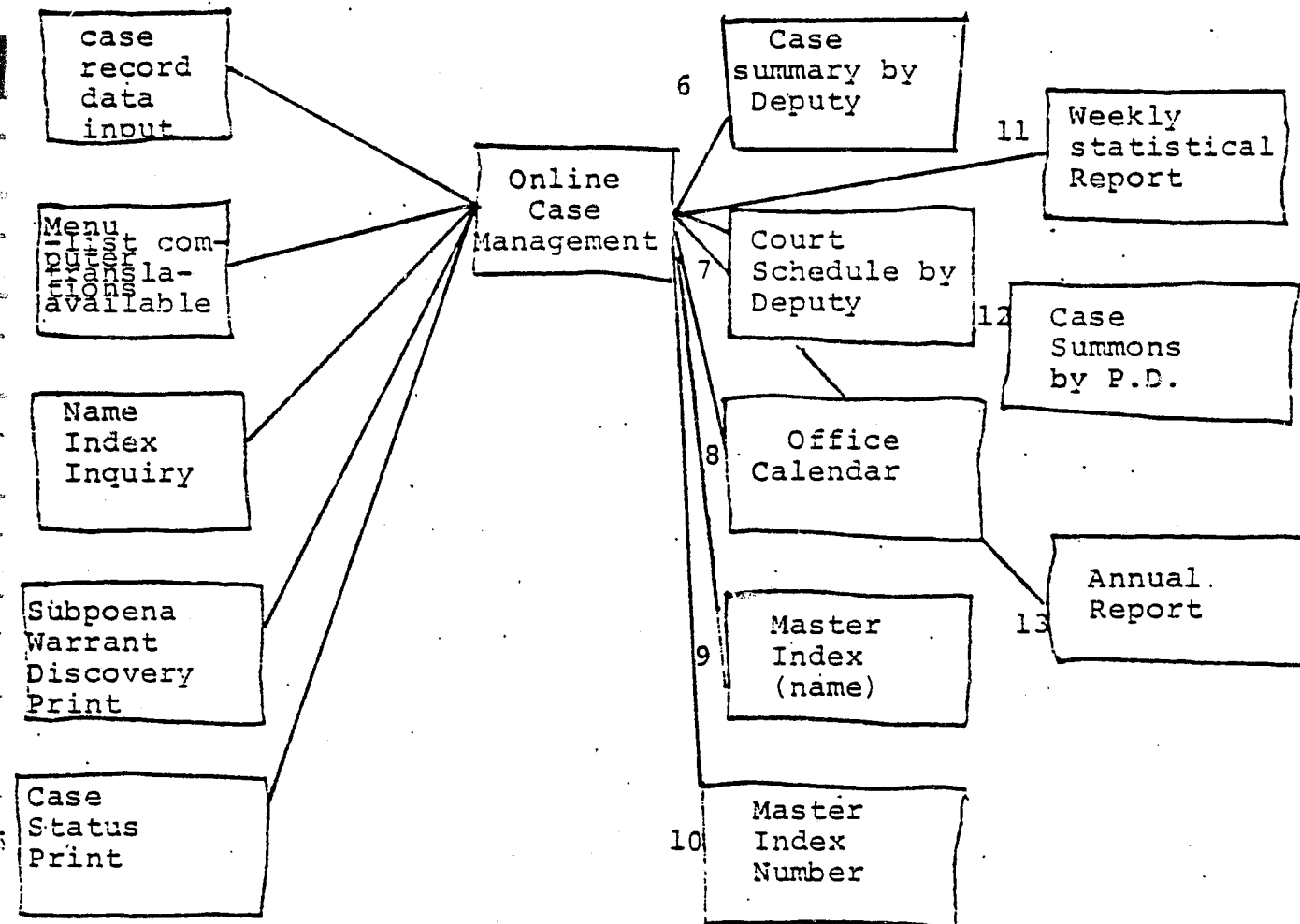
## Computer Reports Used

- Case Summary by Deputy or Team
- To review individual deputy caseload
- Weekly Statistical Report
- To review statistics to identify potential problem areas or successes. To compare quantitative performance between deputies and office as a whole
- Annual Report
- To publish or send to state

## Computer Reports Used

- #5 & #7  
 Master Name Index  
 Master Case # Index
- To route telephone call to proper deputy
  - To route mail to proper deputy
  - To answer questions about current case status

# SYSTEM OVERVIEW



## Transaction Description:

1. Maintains case file records.
2. Lists all available transactions.
3. Search of case files by Defendant's name--provides case number
4. Prepares legal documents.
5. Shows all information on file cover sheet.
6. Case summary for each case by Deputy--allows review by Deputy
7. Shows court appearances by Deputy--serves as individual calendar
8. Office calendar by court, division, week.
9. Status information on each case by Defendant's name.
10. Status information on each case by case number.
11. Basic statistics about caseload of each deputy and office--cases opened, cases closed, etc.
12. Provide each P.D. with weekly list of cases sent and cover closed.
13. Annual report recapping all activity for prior year

System may be expanded to include Victim/Witness index and other programs as desired.

APPENDIX G



NAME (LAST, FIRST, INITIAL)

SOCIAL SECURITY NUMBER

JOB CLASS

DEPARTMENT

STRENGTHS:

WEAKNESSES:

GENERAL EVALUATION: IN MY OPINION, THIS INDIVIDUAL IS:

1. PERFORMING IN AN OUTSTANDING MANNER. (EXPLAIN ON REVERSE.)
2. PERFORMING IN EXCESS OF THE REQUIREMENTS OF THE POSITION.
3. PERFORMING ADEQUATELY.
4. NOT PERFORMING SATISFACTORILY. SHOULD BE RETAINED IN THIS POSITION ONLY IF SIGNIFICANT IMPROVEMENT IN NEXT \_\_\_\_ MONTHS.
5. UNACCEPTABLE. SHOULD NOT BE CONTINUED IN THIS POSITION. (EXPLAIN ON REVERSE.)

FUTURE PERFORMANCE OBJECTIVES:

SIGNATURE OF EMPLOYEE

DATE

SIGNATURE OF EVALUATOR

TITLE

DATE

**END**