

IDENTIFYING AND ANALYZING THE ADMINISTRATIVE WORK FLOW OF THE  
YORK COUNTY COURT

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**Abstract**

At some point in time, every court manager has asked the “why” question about a business practice only to hear the reply, “we’ve always done it this way”. It is a common experience in courts in the United States and all over the world. One of the primary responsibilities a court administrator has is to examine existing process and develop policies and procedures that continually improve the efficiency of the court. For several years in York County, Pennsylvania the office of Court Administration stopped asking “why” and was content to step quietly aside while others shaped and directed the policies of the court. In 2011, the entire Court Administration management team turned over and the challenge of re-establishing appropriate governance authority and bringing updated improvements to the office and the court as a whole began.

This project identifies areas in which Court Administration is lacking governance authority and discovers spaces of administrative time within the life cycle of specific case types that can be used more effectively or eliminated. The first step was to gather the data needed to appropriately evaluate governance authority and administrative time. Sixteen other Pennsylvania counties, all similar to York County in population, resource and caseload, were surveyed to determine their governance structure and common tasks. Three case types - criminal, dependency and delinquency - were sampled and the time spent on the administrative tasks of scheduling, document processing and automation categorized as value added time, non-value added time and necessary non-

value added time attributed to due process and rule requirements. An Automation Focus Group was conducted to evaluate the impact that automation has had on the efficiency of the court and how it can further enhance process. A Juvenile Focus Group was also conducted to identify changes to that business practice.

Several of the findings that resulted from the surveys, time analysis and focus groups were not a surprise, while others were. For example, while the existing structure of the criminal court calendar is the shining star of a process that works, and works well, the time it takes for a file to be transmitted from the lower court to the trial court is in violation of Pa.R.Cr.P. 547(B), which requires that time frame to be 5 days or less. Non-value added time was prevalent in the scheduling processes for dependency and delinquency cases. The reason problems exist in those two case types was partially due to outdated and redundant processes, but the crux of the issue was the lack of governance authority demonstrated by the fact that two other entities - Children Youth and Families Solicitor and Juvenile Probation - currently schedule those cases for the court. Other county structures revealed that York was lacking in these key areas. Consideration of the automation projects and improvements introduced in York over the last 10 years resulted in an overwhelming improvement of communication and information sharing among other departments and business partners as well as improvements in cost benefits and improved efficiency. Finally, the case management system administered by the Administrative Office of Pennsylvania Courts (AOPC) was confirmed as the source driving the court's business process change for juvenile delinquency cases.

York County Court Administration should develop a best practices policy for the transfer of criminal cases from the lower court to the trial court and actively lobby the state rules committee to modify Pa.R.Cr.P. 547(B) to allow for electronic submission of the original record. They should build upon the success of the structure of the criminal court calendar that incorporates block scheduling and take back the responsibility of scheduling dependency and delinquency cases from the office of Children Youth and Families and Juvenile Probation, thus re-establishing governance authority over the court's schedule. In addition, practical efficiencies can be gained by providing additional staffing to Master's in the courtrooms, scheduling from the courtrooms and coordinating scheduling with judicial chambers to eliminate non-value added time. Automation solutions and electronic document flow currently in place in the Criminal Division should be replicated in the juvenile court.

## Introduction

Imagine a busy Judicial Center. Hundreds of people come and go each day. Fifteen Judges and 750 staff handle a large caseload of more than 15,000 cases spanning the divisions of criminal, family (juvenile) and orphan's court cases each year. This center serves the citizens of York County, a 3<sup>rd</sup> class county located in south central Pennsylvania. With a population of roughly 430,000 people, York is ranked the 8<sup>th</sup> county in the state in population, yet it is 4<sup>th</sup> in actual criminal caseload (2013 Caseload Statistics, AOPC). In Pennsylvania the governance structure for the local court is shared by the Administrative Office of Pennsylvania Courts (AOPC) and the local President Judge. While judges are independently elected officials, court administrators and their deputies are appointed by the President Judge with confirmation and approval of the AOPC.

By its very definition, the office of Court Administration should be the central nervous system of this complex organization. Directing administrative support, facilitating case flow management, steering technology enhancements, ensuring fair and equal access to the court and leading cooperation among the divisions of the court are just a few of the common responsibilities Court Administration offices are tasked with across the state and nationwide. However, rather than acting as the epicenter, work is being diverted around this office while other agencies, advocates and departments are performing the duties that are necessary to ensure the day to day court operations are completed.

Over time and through changes in the court culture, the office of Court Administration in York had become an isolated "bubble" of antiquated business

practices. Boggled down in the habits and mantra of “we’ve always done it this way” left them behind in key areas of expertise enjoyed by many of their colleagues. While they were doing it “their way” court operations had moved on without them in several key areas. Other advocates, including some executive branch agencies who were more knowledgeable or who had more access to technology resources, stepped in and became the driving force for advancements. By allowing them to do so, the court inadvertently gave away the rightful authority and management control over valuable resources that supported judicial services within their jurisdiction. While this authority can be shared with professional court administrative staff within the court system, it should not be exercised by anyone outside the court system. Courts must resist being absorbed or managed by other branches of government (Principles for Judicial Administration, NCSC 2012).

Specifically the introduction of new software and a statewide mandate from the AOPC in 2004 that required the use of the Common Pleas Case Management System (CPCMS) impacted the business practices of the court to include scheduling and document processing. The implementation of an independent document imaging system by the Clerk of Courts from 2005 to 2007 and the addition of custom software impacted not only document processing but also the paper flow among departments and in the courtroom. This introduction of automation and enhanced use of technology would essentially begin a ripple effect that would build upon that initial implementation and become a catalyst for other decisions that would develop new technology solutions throughout the criminal justice departments in York.

Unfortunately, as these changes were unfolding, the office of Court Administration, directed by the sitting President Judge maintained a different philosophy and did not engage in the dialogue of improvement. As a result, they became disengaged, uniformed and relegated to obsolete manual processes that were often unnecessary because they had been replaced by more advanced techniques. In 2011 a combination of management retirements and a change in President Judge aligned, which provided an unusual opportunity to completely restructure the organization of Court Administration. The result was a complete turnover in the management team and staff of the office. With the new team came a new focus and desire to re-engage and become active participants in the improvement of the court and properly perform the tasks appropriate to Court Administration.

Although significant progress has been made since 2011 in the area of restructuring the office and putting appropriate administrative staff in place, York still has growing and changing to do. For the first time ever each division of the court (criminal, family, civil, orphan's) has a dedicated administrator who has been specifically educated and trained to perform these duties. Previously judges had been wearing multiple hats with administration being one of many. The history of judges as administrators in York has been diverse, some judges had a strong affinity for administration and made great strides while others were reluctant administrators and preferred to remain aloof. Currently, while not absolute, there is a general consensus of the bench to take advantage of the expertise that now exists within the office of court administration and let go of administrative tasks.

In order to properly perform the appropriate tasks, it has become necessary to identify the current practices and reclaim the authority over court operations for which the court had either never taken responsibility, or had quietly relinquished the responsibility to another agency. That is the purpose of this paper. The project will be to identify the existing administrative workflow of specific cases types, specifically criminal, dependency and delinquency. Three areas in particular within each case type will be examined: scheduling, document processing and the use of automation and technology.

A secondary focus is to determine if the appropriate party is currently performing those tasks, and if the methods being utilized to perform the work are necessary and efficient. This is not a caseload measurement project. The focus is not on the case processing, but rather the administrative workflow and the evaluation of the time spent on those tasks. Value added time as compared to non-value added time in addition to the identification of necessary non- value added time to afford appropriate due process. Value added time is time that is necessary in the life cycle of the case because it provides efficiency and cost savings. Non- value added time is time that can be eliminated from the life cycle. Non-value added necessary time is time that can't be eliminated or adjusted for efficiency because it is statutorily required to protect a defendant's right to due process. It is vitally important to identify the administrative workflow and uncover non value added time for several reasons.

The first reason this is so important is due to how non-value time affects available judicial resources. Currently in York there are fifteen judicial positions, two of which have been vacant since 2013 and will remain vacant until the 2015 election in

November. An additional judge is on active military duty for ten months, which leaves the court with three vacancies. Looming ahead next year are additional vacancies due to upcoming retirements. While a mechanism exists for the Governor to make interim appointments to the bench prior to the next election cycle, to date that has not occurred. In response to our request for assistance from the AOPC, several senior judges have been temporarily assigned to York for no more than ten days per month. This presents a situation where available judicial resources must be ever more scrutinized and each moment used efficiently if we are to see justice served in a timely manner.

While not as pressing, but certainly as important, the second reason it is important to evaluate who is performing administrative tasks for the court is the matter of governance and appropriate authority. Decisions for the court should not be made by other agencies. Two agencies in particular, the District Attorney and Children and Youth Services are executive agencies. While the court certainly should be working in conjunction and cooperation with these agencies, other agencies should not be making the court's business process decisions or dictating the court's schedule. For example, in the past, for convenience sake, the District Attorney's office had been given a greater role in scheduling the court's time in addition to the managing of judicial assignments. That scenario has since been corrected. However, the office of Children and Youth, again for convenience sake, currently coordinate scheduling for dependency cases. This process needs to be evaluated.

The third reason it is important to evaluate administrative time is to ensure that administrative process is not responsible for delays in due process being afforded to defendants and litigants. Case creation, document routing, judicial assignments and

scheduling of hearings may seem disconnected and strictly a clerical function, but those tasks translate into the passage of time; time that may be impacting due process rights.

This project has been designed to help identify processes or existing business practices that can either be eliminated or adjusted to improve efficiency and reclaim the administrative authority of Court Administration from other advocates and agencies that have been performing these tasks. It is expected that through process improvement and reengineering concepts that those changes can be made.

The project was conducted using three separate activities. The first activity was to create a cycle time analysis of administrative time for the three different case types previously mentioned (criminal, delinquency and dependency). The second activity was to conduct a survey of other 1st, 2<sup>nd</sup> and 3<sup>rd</sup> class counties (classifications are based on population - York is a 3<sup>rd</sup> class county) in Pennsylvania to compare their governance structure and administrative task to York's. The third activity was to conduct two focus groups. One focus group discussed automation. The other focus group, made up of the juvenile staff working with delinquency and dependency cases, discussed the level of efficiency in those areas. The analysis was not only to clearly show where time gaps occur within the process and where efficiencies can be gained, but also where the lines of authority and governance had been blurred. These conclusions would allow Court Administration to make decisions to ensure that judicial time is as productive as possible, that administrative time within case processing is as efficient as possible, and that due process according to the law is afforded to defendants and minor children and their families,

## Literature Review

### A Closer Look at York-How Did We Get Here?

Within the last 30 years the National Center for State Courts completed three studies for the County of York Pennsylvania. The first study was conducted by David Steelman in 1985. The report, *A Plan for Automating the York County Court of Common Pleas*, is invaluable for the institutional knowledge of the prior existing structure and how that impacted the development of the existing court culture. The report's purpose was to make recommendations for the development of a computer system for case management. In order to determine what would be needed in such a system, Steelman reviewed each division of the court and mapped the case flow. The report (Steeleman, 1985) tracks the same three cases types that this report will track which gives a unique perspective of almost thirty years of court culture, growth, and lack thereof.

The recommendation from the report (Steeleman, 1985) for Children Youth and Families to develop a case management system and actively monitor case flow for dependency cases, would eventually, contribute to the development of a lack of governance authority in the office of Court Administration. This is likely because there was no re-evaluation of the efficiency and appropriateness of the practice,

An unfortunate pattern seems to exist in York that when a new requirement or rule change happens, rather than asking the question of who is the appropriate party to implement the change, the question asked is who is the most convenient party to implement the change. It seems that this is how we have gotten to the place of an executive agency dictating the court's schedule in dependency cases. With the exception of removing the district attorney from scheduling criminal cases the overall

business practices related to scheduling and document flow have not changed in almost 30 years. Another example of this is from Steelman's report (1985). He notes that "time for adjudication and disposition hearings for non-detention cases must be set aside from openings in the personal calendars of the judges, often resulting in a delay in scheduling." This is still true today.

The second report, a study of the York County Clerk of Courts, was also completed by David Steelman in 2005. It speaks directly to the inner workings of the Clerk of Courts office and demonstrates why a governance issue exists in York County. In 2004 a newly elected clerk took office and immediately began reengineering the work processes within the office. This reengineering would be ongoing over the next three years, until 2007. The process would unfortunately coincide with three events that negatively impacted court culture.

The first event was a move from the existing courthouse to the newly constructed judicial center. The judicial center differed from the original building and was designed with enhanced security and office space. The new building had a negative impact on the relationship between the bench and other departments because they were no longer as readily accessible to one another. The atmosphere changed from a collegial space to separate floors, separate office space, secure parking, and private elevators and separate entrances which created a physical and psychological barrier to communication. The bench became more isolated and decisions that impacted business process and work flow were easily dictated without input from the affected departments. Essentially the attitude was out of sight and out of mind.

The second event was the implementation of the AOPC's docket management system for criminal cases, dubbed the Common Pleas Case Management System or CPCMS. CPCMS was not only a docketing system, it was a case management system that was meant to be widely used by the court and related departments. It was rules based and not user friendly. Because the Clerk of Courts had historically been designated a role by the court prior to the existence of court administration, the president judge tasked all of the administrative responsibilities in the new case management system to the clerk because he did not want the court to be bothered. He even referred to the program as "the clerk's system" and held the clerk accountable for the impact the new state mandated system had on the local court processes. In response, the new clerk had no problem reminding the court that he too, was an independently elected official and had the authority to change processes within his office that potentially impacted the court. The court perceived a threat to their judicial independence which led to a complete breakdown in communication and a crisis between the court and the clerk of courts. This situation clearly demonstrates how the lack of a strong office of Court Administration contributed to the inefficiency and governance issues.

The third event was the election of a new president judge who implemented a new court calendar. The new court calendar changed the trial term cycle from every other month, to every month and consolidated all criminal pre-trials for five judges within one week each month. This change in the calendar created a scenario that in practice meant staffing multiple courtrooms all at the same time. The clerk was not adequately staffed to handle that schedule. Coupled with the new case management system, the

new imaging system and staffing multiple courtrooms, efficiency temporarily suffered as did business process.

Fortunately, through advancements in technology and a commitment to clearer communication over the last seven years, the court gradually realized the benefits in efficiency that the reengineering of the Clerk of Courts office had accomplished and began to employ these techniques in other offices.

In 2012, a third review for York for the office of Court Administration was completed. The analysis and recommendations in the report influenced the current management structure and gave an outline for the continued reengineering of the York County Court of Common Pleas. Some of the specific recommendations include increased use of technology to improve the efficiency of court business processes and the quality of some court outputs, an enhanced court structure that can adapt to new ways of doing business and more networked communication among court administration, the bench, and individual departments. In response to the latest report the office has been re-organized as suggested and a specific recommendation, that of a common court calendar is still a work in progress. While the report gave specific recommendations to restructure court administration and noted the distinct spirit of collegiality among the stakeholders in York, the report did not identify governance as an issue; however, it clearly is an issue.

This research path was chosen because it was important to establish the past culture and practice of the court to identify problems and evaluate if recommendations that have been made in the past worked or were even attempted.

## **Governance and the Role of the Judiciary**

Court governance is not a new concept. But it is one that has evolved over the course of our country's history from the ratification of the constitution to the introduction of the judicial act. When examined, the principles of local trial court governance reveal how they have been influenced by two distinct factors. The first factor is the constitution's intentional design of three independent and separate branches of government. The second factor is the practical application of the modern thought of a "loosely coupled" organization. Other external factors that have broadened our definition of governance over time include court unification and centralization.

Governance is currently defined as the way a city, company, etc. is controlled by the people who run it ("*Governance*" *Merriam-Webster.com*. Merriam-Webster, n.d. Web. 7 Aug. 2014). According to Principle 4 of the Principles for Judicial Automation, court leaders should maintain management control of court resources and not allow the usurping of that authority by other branches of government. Pennsylvania is not a completely unified state; therefore, for the purposes of this paper, the reference to "unification" will primarily be defined as administrative unification that encompasses judicial rule making, policies and procedures, efficiencies, management information systems and financial reliefs.

The focus on the structural and administrative unification of state courts that began in the 1960's and continues in some states today, has been a major contributor to our current accepted "standard" of governance principles in the local court. For example, when the Administrative Office of Pennsylvania Courts (AOPC) developed and

introduced standardized docket management systems to 67 individual Pennsylvania counties (MDJS for the lower courts and CPCMS for the trial courts), they established security roles within these systems that corresponded to the level of authority appropriate to the individual user based on their position. While other court related agencies may have had access to specific information within the system, those external users were not given rights to change or make policy. The way the systems were designed, only individuals with true governance authority were to be given that access and allowed to contribute to the customizable features of the programs that would allow for local business practices to be preserved. In essence, governance principles were built into the very programming of a docket management system.

Although local input was solicited in the creation of the statewide docketing systems, and limited customization was provided, the main focus was on statewide governance, not necessarily local practices. In the interest of centralization, some practices were dictated in the systems. This in turn required local practices to be changed or eliminated. The practices dictated in the system were intended to be rules based and drive the business process of the courts, rather than the court driving the system. At least changing or eliminating a practice in favor of a unified practice statewide was the expected result.

Not surprisingly, some counties with York being one of them, chose to exercise their local governance authority and made the choice to duplicate efforts rather than give up a local practice. Quite simply, they did it AOPC's way in addition to the local way. Scheduling, for example, was provided for in the CPCMS version the court calendar. Rather than embrace this functionality, the local court insisted upon having

local customized programming that would continue to produce a calendar list in the same format as the former docketing system that had been replaced. Although the AOPC and the local court are both “the Court” and clearly the judicial branch, tension over the governance authority for the local court exists. The general understanding is that there is a partnership of the local court with the state administrative office. However, the influence of one entity will generally outweigh the other depending upon the scenario. While AOPC and the Chief Justice are ultimately the authority as granted in the state constitution, often they will give deference to the local court’s direction in the practical application of the docketing systems.

On the one hand, unification (largely the use of management information systems and the creation of policies and procedures) compelled a common structure to the courts in Pennsylvania that laid the foundation of a framework that would later provide information and a detailed analysis of court operations. That would, in turn, influence policy decisions. But on the other hand, in the 1990’s in addition to unification, another factor impacted governance principles. Court Administrators were a new profession and many were Political Science majors that went on to earn Master’s degrees in Public Administration or Business Administration. That perspective and education led them down the path of applying private sector business concepts and authority models to the organizational structure of the courts which again, impacted policies and procedures. This evolution of unification and private sector practice has now led us to consider the concept of the courts as a “loosely coupled organization”.

In the paper *Governance: The Final Frontier*, (McQueen, 2013) current National Center for State Courts President, Mary Campbell McQueen makes a compelling

argument that the governance in the local trial courts is very similar to the governance principles followed in hospitals and universities. The core concept is that court leaders and stakeholders all have autonomy and independent decision making authority but are all striving to meet the same standards and goals.

There was much value in researching the history of governance in the court for this project and considering this new way of looking at governance for York because the current culture that exists already promotes the four governance mechanisms the paper recommends:

- Leadership Mechanism: The importance of legitimacy
- Process Mechanism: Protecting and guiding
- Fairness Mechanism: Collaborative decision-making
- Communication Mechanism: The importance of the inner branch

In the last 20 years the increased influence of Administrative Offices of Courts in each state has led to enhancements such as state wide case management docketing systems, focused judicial education and guidance and active communication with the Legislature. There has been a dramatic improvement in the quantity and quality of the case level information that flows not only in the form of information sharing between courts but also from trial courts to the Administrative Offices for the purpose of statistical analysis. This provides the raw material for planning and policy development. At the same time, sophisticated performance measurement systems and workload assessment methodologies have been developed that can provide a standard of management information never before available to court managers at both the local and state levels (Durham & Becker, 2007).

## **History of Case Management Measures**

While governance is certainly an important consideration to this project, the actual process and the efficiency of administrative time is as well. Court procedures should be simple, clear, streamlined and uniform to facilitate expeditious processing of cases with the lowest possible costs (NCSC 2012). This of course, translates to the number of individuals who are employed to perform the work of court operations and the methods and tools they use to accomplish the task.

Current methodology of case management depends on the production of weighted caseload studies and caseload measures which are primarily focused on specific points in time in the life cycle of a case and the time it takes to get to those points. Judicial and support staff time studies using the status quo of the local court culture and existing business practices are added to this mix and a standard measure of cases per person is produced and used to make staffing recommendations. The measure is then applied across the board. Although good information can be gained for the purpose of justifying staffing by utilizing a weighted caseload study, the administrative time it takes to complete specific tasks is not analyzed. A further problem with weighted caseload studies is that it does not measure the efficiency of the time spent on tasks (Flango & Ostrom, 1995). Value added time (time that is necessary in the life cycle of the case because it provides efficiency and cost savings), non-value added time (time that can be eliminated from the life cycle), and non-value added necessary time (time that can't be eliminated or adjusted for efficiency because it is statutorily required to protect a defendant's right to due process) are not factors in these

studies. Clearly without researching current methods of case management, there would be a danger of repeating what has already been accomplished.

### **Current Thought: Reengineering and the High Performance Court**

Responding to business needs is the driving force behind both process improvement and process reengineering. These two terms can be easily confused or thoughtlessly interchanged when in fact they are at opposite ends of the spectrum.

In 2003 the Joint Technology Committee (JTC) comprised of COSCA and NACM professionals defined the terms in this way: “process improvement focuses on fine-tuning existing processes”. (p. 2) “Business process reengineering is the discipline that assumes that in order to be effective, we must allow technology to drive changes in processes and we must change processes to leverage the potential of technology” (p.vi).

The recommendation of the JTC included a 4-step process designed to enhance business processes in the courts. Step 2 in particular outlines the concept of a “gap analysis” which is to compare an “as is” process to a “to be” process and identifying the solutions to get from one to the other. At first glance this step would appear to be similar to the goal of this project in producing a cycle time analysis to identify non-value added time, but it is different in that the goal of the gap analysis is to change the process once the need has been defined. In step 3 of the guide, “choose the desired solution and plan for its implementation”, the criteria that is recommended to assist in decision making includes taking into consideration the strategic mission and goals of the courts, meeting the needs of internal customers, overcoming barriers to change, and yielding benefits that will justify court expenditures. The implication is that the “to be”

process would automatically assume efficiency, but it seems to place more value on the strategic mission of the court than efficiency of the process and value added time.

More helpful is the use of critical path method (CMP) and program evaluation review technique (PERT) to demonstrate the cycle time in the specific case types the project will review.

### **Impact of Automation and Technology**

Researching the impact of automation and technology in the courts is challenging due to the abundance of projects such as Access to Justice, working groups, teams and ever present local practices that vary court to court and state to state. There is no doubt that advancements in automation and technology have changed the way courts do business every day. In the case of York, the first effort at automation really began in the late 1970's with the creation of a county-wide warrant data base nicknamed Missile. Administered by the county 911 call center, the data base provide valuable information for law enforcement and allowed the court to hold defendants accountable for cases that were still at the lower court. In the 1980's, partially due to the recommendations from the automation recommendation report (Steelman, 1985) the county undertook the local creation and administration of case management systems for Children Youth and Families, the Prothonotary and the Clerk of Courts. In the early 1990's, AOPC introduced the first statewide document management system for the Magisterial District Justices (MDJS). It would be another twelve years until the Common Pleas Case Management System (CPCMS) was introduced at the trial level. The new systems that the state had designed and administered were comprehensive case management systems, not just docketing or financial systems. These systems were interactive from

the point of case creation to disposition and post sentence issues and designed to work as a resource for all of the justice partners not just individual offices. The culture of the court was dramatically changed as the control over the design and capabilities of the docket management system was removed from local hands.

With the introduction of the CPCMS system in 2004 came state-provided computer terminals. These were installed in the courtrooms of the newly built Judicial Center. For many counties in Pennsylvania this would be their first software based document management system, but York already had a local system (appropriately named Lightspeed) and the courtroom clerks were already used to docketing from the courtroom. Unfortunately, CPCMS was not as user friendly as the old system and it caused delays which frustrated not only the clerks, but the judges as well. In the next three years, AOPC would drastically improve the system and the clerk would introduce a document imaging system (Laserfiche) that would allow immediate access to court files from the courtroom desktop without the need for a paper file. In addition, an electronic document flow would be developed using the minute sheet from the courtroom that, once entered into the imaging system would automatically message other departments with necessary information. York County prison would receive court orders directly to the printer in prison records before the prisoner was transported the five miles to their site. Adult probation would receive notice of a sentence and requirement for a pre-sentence investigation by the close of business on the day it was ordered. PennDot clerks and state commitment clerks who processed driver's license suspensions and state prison commitment packets would receive notice electronically as well. Dedicated staff from the District Attorney's office and the Public Defender's

office used to spend hours each day in the clerk's office copying files to create their own case files now had access to them from their own desktop. Late filings that had not had time to be filed in the paper file prior to the court session were now available. In 2008, the document imaging process York undertook in addition to the electronic document flow that had been created was highlighted in Laserfiche's Electronic Content Management (ECM) blog. Senior project manager for York County, Mary Jane McClusky referred to the culture of paper as the "sneakernet nightmare" due to the amount of time that was spent trying to locate documents on any one of 16 clerk's desks. The implementation of Laserfiche in the clerk's office was the catalyst that led to similar systems and additional electronic document flow in the office of Children Youth and Families, the Sheriff's Department in regards to central booking and the preliminary arraignment procedure, and a paperless solution in the Adult Probation office.

Although we can claim much success and great strides in automation and technology over the last 10 years, York has not examined the practical impact automation has had and where they would like to expand.

### **Methods**

A variety of methods were used in the development of this project. Three case types were tracked, criminal, juvenile delinquency and juvenile dependency cases, to create a cycle time analysis of the administrative time spent scheduling and routing documents on these cases. A survey of 1st, 2nd and 3rd class counties to compare governance structure was conducted, in addition to a focus group that examined the impact of automation on the York County courts and a working group that studied the existing structure of the family division.

## Analysis by Case Type

In 2014 the numbers of cases for the three case types examined in this project were:

Criminal (CR) 8,254      Dependency (DP) 258      Delinquency (JV) 992

A random sampling was selected from 2014 cases. The lowest number of total cases by case type was dependency. Two percent of the total number of dependency cases filed were examined. Therefore, 2% or 165 criminal cases were examined and 2% or 20 delinquency cases were tracked.

### Criminal

The sampling for the criminal cases began with a case timeline statistics report (AOPC report 1013) that was generated from CPCMS.

The search criteria for this report were a simple date range of dates of disposition. As shown in Figure 1, the report tracks specific

points within the case timeline and then provided the number of days between each.

When the report was pre-tested, it was discovered that the date points were not consistent. They were a combination of when the event actually occurred and when the event was either docketed or scheduled within the case management system. For example, the second point in the timeline is labeled "Preliminary Hearing" and it was in fact, the date the preliminary hearing occurred. However, the next data point was "Arraignment" and that date was the day the arraignment had been scheduled within the case management system, rather than the date of the actual court event. "Omnibus",

Figure 1. Snapshot of Report 1013

Docket Number	Magisterial District Judge	Common Pleas Judge
Lead Offense	Interval (Days)	
<b>CP-67-CR-0007348-2014</b>		
Dubs, Dwayne A.	Kelley, Thomas H.	
Theft By Unlaw Taking-Movable Prop		
Date Filed: 07/04/2014		
Preliminary Hearing: 11/17/2014	136	
Arraign: 11/18/2014	1	
Omnibus: 12/19/2014	31	
Dispositon: 12/30/2014	11	
Sentence: 12/30/2014	0	
<b>Total Days:</b>	<b>179</b>	

indicating the first event scheduled after arraignment, was also the date the hearing had been scheduled, while “Disposition” and “Sentence” were the dates the events actually occurred. The report had been custom developed for another county and was unable to be adjusted, so for the purposes of this project each case docket of the sample cases was individually examined in CPCMS. When the docket was not clear and it became necessary to verify information, the actual scheduling order or document on file in the Clerk of Courts electronic case file (Laserfiche) was reviewed. The cases were examined with a focus on the administrative time frames between the typical case flow management tracking points. Rather than focusing on the dates specific court events were held, the dates events were scheduled or document flow was received were gathered manually and tracked using an excel spreadsheet. The sampling was gathered from all cases that were disposed of from January 1, 2014 to October 31, 2014. This totaled 5,597 cases. In order to select the 165 cases needed for the sample, cases that had been initiated in prior years were eliminated. They were eliminated from the sample because these cases previously had outstanding warrants or detainers and their inclusion in the study would unfairly impact the administrative timeline due to circumstances beyond the court’s control. After the elimination, every 10th case that remained was selected and the first 165 of those cases were chosen as a part of the tracking. The cases were varied and several offense based event tracks were included (See Appendix A).

### **Dependency and Delinquency**

Both the five dependency cases and the 20 delinquency cases were chosen at random from the total list of cases filed in 2014 and tracked the same way the criminal cases were. See Appendix F for the generic life cycle of a dependency case.

### **Governance Survey**

From August to October of 2014 a six question governance and administrative structure survey (See Appendix B) of the Court Administrators (or their designee) of a number of counties in Pennsylvania was conducted. Of sixty-seven total counties, sixteen counties classified as 1<sup>st</sup>, 2<sup>nd</sup> or 3<sup>rd</sup> class (counties are classified by population) were asked to take part in the survey. Fourteen agreed to participate. These counties were chosen due to their similar population, available resource and case load to York's. The survey was conducted in person in the form of an interview when possible, and over the phone in those cases that the participant was unable to meet. This survey was tested by other administrative professionals within York and as a result of their feedback two questions were adjusted to make a clearer distinction between administrative time and administrative tasks.

### **Automation Focus Group**

In September 2014, sixteen individuals representing a variety of roles within the criminal justice system were asked to participate in an automation focus group. These individuals included: a common pleas judge, the district court administrator, the administrator for the district attorney, a judicial administrative assistant, the clerk of courts, an office manager from a magisterial district justice office, the chief deputy to the

director of adult probation, the 1<sup>st</sup> assistant public defender, the lieutenant in charge of central booking in the sheriff's department , the assistant director of information services, an information services project manager and the captain in charge of prison records. The group filled out 2 surveys online via Survey Monkey (See Appendices C & D) prior to the focus group. The focus group met together for 2 hours to discuss the results of both surveys and to specifically review automation initiatives identified in the surveys. The scope of the projects discussed included all technology projects that had been implemented in York over the last 10 years. The first survey consisted of seven questions. It focused on the participants' decision making process that led to their use of automation. It included a discussion on what their expectations were prior to implementation. The second survey was a five question follow-up to the first that further clarified the benefits of automation and what the participants would have done differently in hindsight. The goal of the focus group was to determine if automation and advancements in technology have resulted in more administrative time or less. The results of the focus group and the data gathered for evaluation are displayed with that goal in mind.

### **Juvenile Court Working Group**

The last tool, the working group for juvenile cases, began to meet in earnest in June of 2014. The nucleus of the group had already been established six months prior to this due to a new delinquency module being introduced within the CPCMS system. Part of the preparation for the new module entailed a "JV Project Go-Live checklist" (See Appendix F) provided by AOPC that encompassed case initiation, case creation, case scheduling, the juvenile petition, calendaring, outcomes, determinations and

dispositions, financials, case processing and case clean up. Governance decisions and agreement on customization of processes in addition to new state requirements for court orders to be completed within the case management system had to be decided. It was necessary to evaluate each step, and make any needed changes, which made it the perfect time to do an analysis of the administrative time spent on case process.

### Findings

#### Finding 1: The existing calendar structure has a positive impact.

As stated previously in the introduction, the cycle time analysis has three focused assessment areas; scheduling, document processing and the impact of automation and technology. Before using the data to break the time down and examine specific administrative tasks based on the information collected for the project, it was important to establish an understanding of the business process that currently exists. In York County there is a specific local practice that impacts the administrative cycle of criminal cases. The annual court calendar sets specific pre-trial conference dates and trial terms based on the trial court’s arraignment date. From the time of the preliminary hearing when the case is held for court (or in the event the defendant has waived their preliminary hearing) the defendant knows when his trial term is scheduled. See example (Figure 2) of the 2014 calendar.

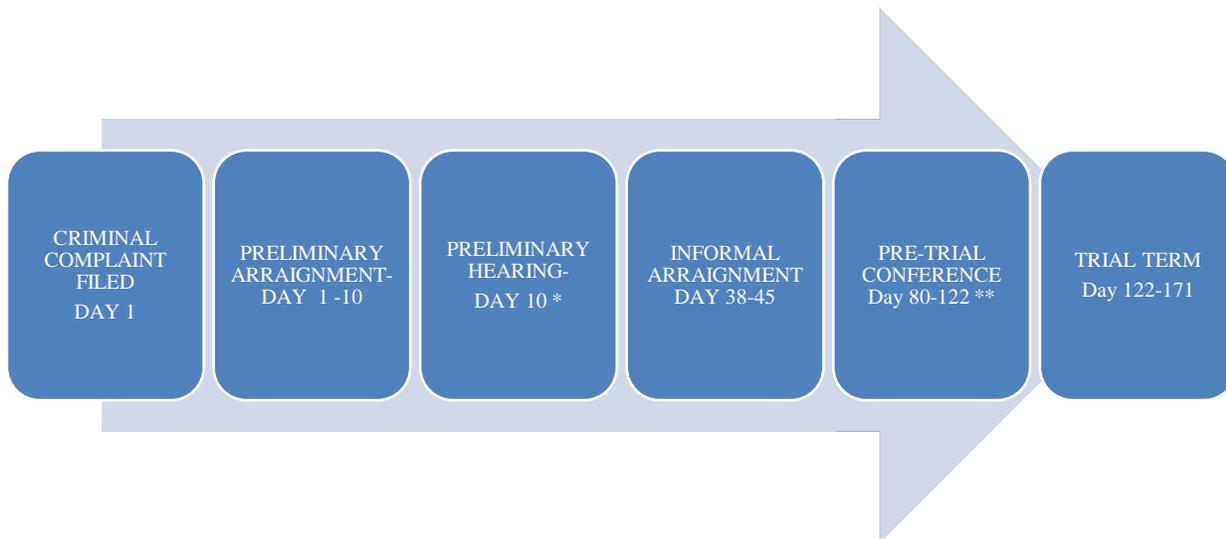
Figure 2. 2014 Criminal Division Calendar

CRIMINAL COURT DIVISION		
Criminal Pretrial Conferences		
<u>Arraignment Dates</u>	<u>PTC Dates</u>	<u>Term Begins</u>
09/20/13 09/27/13 10/04/13 10/11/13	11/25/13 - 11/27/13	01/13/14
10/18/13 10/25/13 11/01/13 11/08/13 11/15/13	01/06/14 - 01/09/14	02/10/14
11/22/13 12/06/13 12/13/13 12/20/13 12/27/13	01/27/14 - 01/30/14	03/03/14
01/03/14 01/10/14 01/17/14	02/18/14 - 02/21/14	03/31/14
01/24/14 01/31/14 02/07/14 02/14/14	03/17/14 - 03/20/14	05/05/14
02/21/14 02/28/14 03/07/14 03/14/14	04/14/14 - 04/17/14	06/02/14

The specific purpose of this calendar was to keep cases moving in a timely manner in order to comply with Rule 600 of the Pennsylvania Rules of Criminal Procedure (Pa.R.Crim.P. 600) which lays out the specifics of a defendant's right to speedy trial within 365 days. Of particular concern to the originators of this practice in York was the 180 day requirement within the rule that does not allow for a defendant to be incarcerated past 180 days while awaiting trial. At the 180 day mark, the defendant is entitled to nominal bail, unless he is otherwise denied by law.

With the existing structure of the court calendar (Figure 3) as a starting point, a case tracking was undertaken to compare the structure to the actual administrative time frames of specific cases (Figure 4).

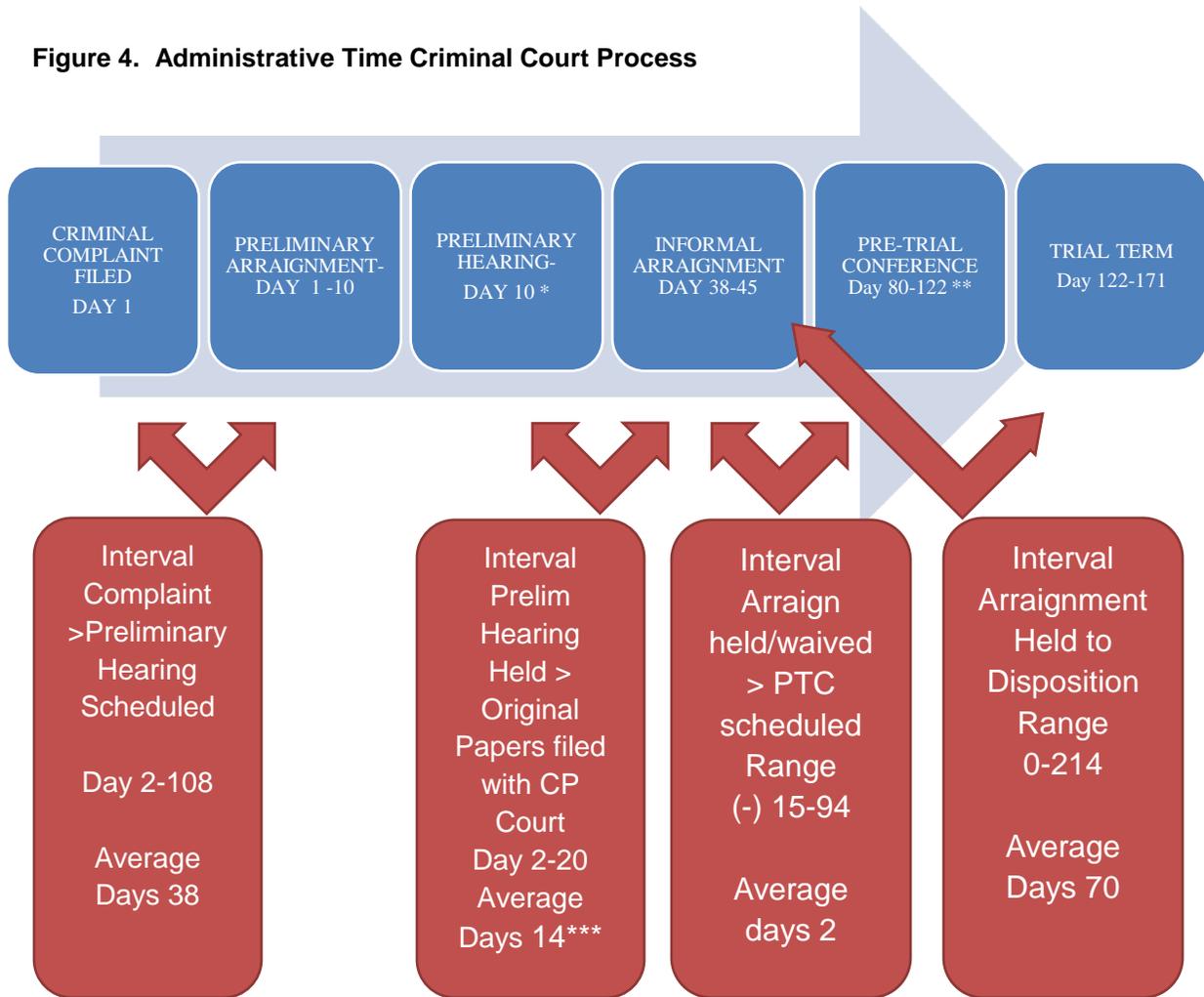
**Figure 3. Existing Calendar Driven Criminal Court Process**



\*timeframe is set per rule

\*\*Omnibus pre-trial motions are to be filed within 30 days of arraignment per rule

**Figure 4. Administrative Time Criminal Court Process**

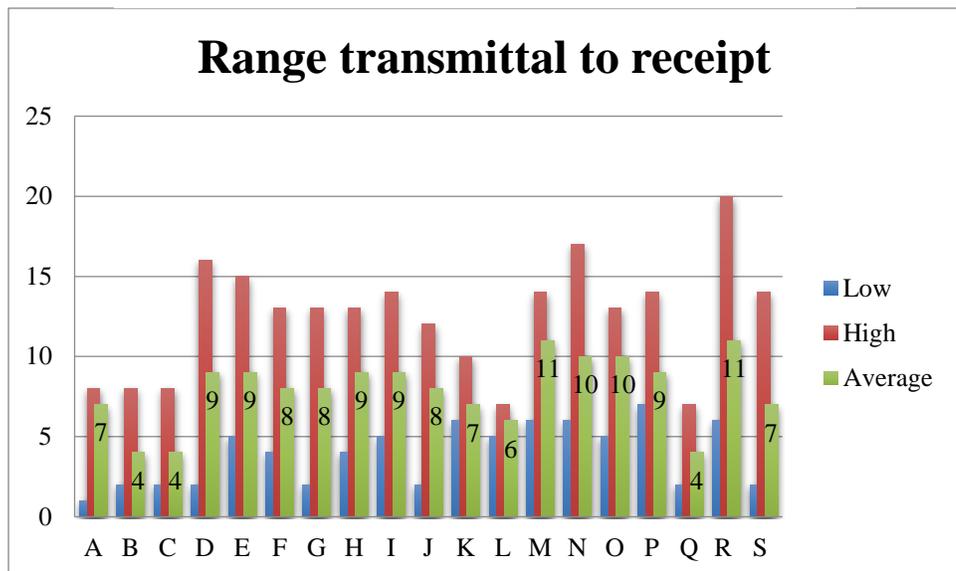


\*\*\*Time frame is set by rule to be no more than 5 days to transmit

The interval between the time of the filing of the criminal complaint and the date the preliminary hearing was scheduled ranged from a low of 2 to a high of 108 days with an average of 38 days. The span of time is wide due to the case sample including cases that were initiated by summons as well as by arrest. In those cases that a summons was issued, subsequent communication and scheduling of preliminary arraignment took place. In cases initiated by arrest, the preliminary arraignment is held before the duty magistrate within 24 hours and the preliminary hearing date is set at the same time. It is in these cases that the impact of automation can be seen. Central booking's use of the Laserfiche application and electronic work flow allows case paperwork from the preliminary arraignment to be imaged into an organized electronic file structure. An automatic email is sent to the Magisterial District office that will handle the case to notify them that a new case has been filed. The support staff at the office simply logs in and has access to all of the pertinent information needed to create the case in the Magisterial District Justice System, MDJS. The interval from the date the preliminary hearing was held and clerical staff processed the file and prepared it for transmittal to the Common Pleas

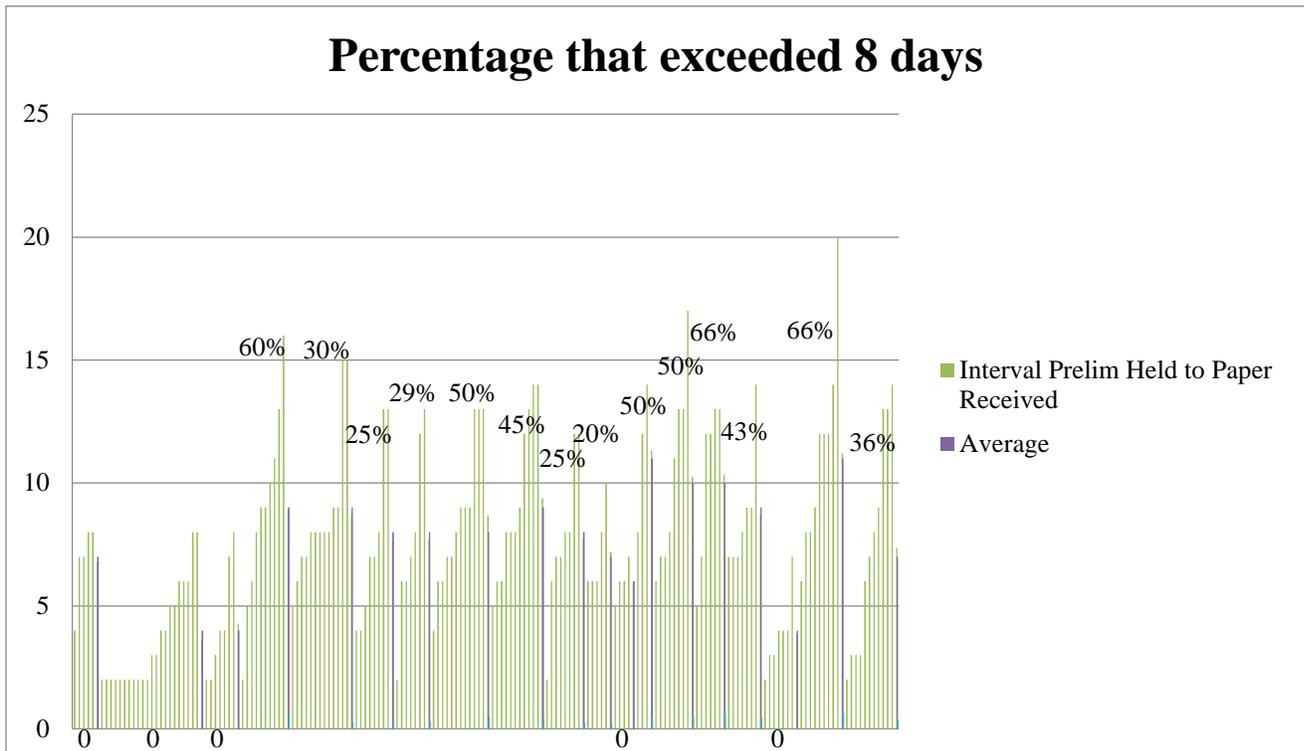
court is required by law to be five days or less. The range in each grouping in Figure 5 showed a total transit time, transmittal to receipt,

Figure 5. Transmittal to Receipt



of a low of two days to a high of twenty with an average of fourteen. However, the rule clearly states five days to transmit, not receive. To determine the approximate total time from the case being transmitted to the receipt at the clerk’s office in the Court of Common Pleas, the following assumptions were made: each office sends each packet on or before the 5<sup>th</sup> day (most offices verbally represented they are transmitting on day 1 or 2 not day 5) and the Postal Service’s average delivery time for 1<sup>st</sup> class mail is three days. Therefore, a reasonable time frame of eight days or less is expected. Five offices hit the mark on every case sampled. None of their packets took more than eight days to be received. Of the other fourteen, six exceeded eight days in 50-66% of the cases sampled. Five offices exceeded the eight days between 25-45% of cases sampled and three offices were between 20-25%. This is clearly not in compliance with the rule. Figure 6 shows all cases in each sample and the percentages by which they exceed eight days.

**Figure 6. Non-compliance Percentages**



By contrast, the interval from arraignment held to pre-trial conference scheduled was 15 days prior to the arraignment event to 94 days after the arraignment. The conferences scheduled prior to the arraignment are a result of defendants who have multiple criminal cases and already have a case in process when the new one is filed. The new case, at the request of defense counsel, joins the one already on the docket and is heard at the same time. The cases scheduled 94 days after the arraignment were cases that had applied to and had been subsequently rejected for diversionary programs.

**Finding 2: Non-value added time exists within document processing and dependency scheduling.**

Of the five dependency cases that were reviewed, 80% had a significant time delay in document processing. The time elapsed from the day of the hearing to the day that the order issued at the time of hearing was entered and the outcomes entry finalized in CPCMS ranged from 10-64 days. In 40% of the cases, orders were found in the file, but not docketed in the case management system. Scheduling of court events is currently being performed by the solicitor for the office of Children Youth and Families (CYF) who depend on their internal case management system to track the appropriate times for 6-month and 90 day review hearings. No scheduling is currently being entered during courtroom proceedings. Automation has impacted the handling of these cases due to the AOPC's requirement of recording outcomes and producing orders from CPCMS. Masters are not afforded courtroom clerks in dependency proceedings and are acting as their own clerk, actively listening to hearings and producing draft outcome orders at the same time. Judges are afforded courtroom clerks, yet some insist upon

drafting their own outcome orders while participating in the hearing. This practice has resulted in mistakes being made in orders and redundant information.

**Finding 3: Scheduling for delinquency cases is outdated and redundant.**

The scheduling of hearings is initiated by the Juvenile Probation Officer requesting a hearing. A support staff in the Juvenile Probation Office( JPO) uses established guidelines to determine the amount of time necessary for the hearing (Figure 6). The rules are based on the type of hearing, the number of co-defendants and the number of witnesses. Once the length of the hearing is determined, an available date and time is selected while also keeping within the appropriate time frames. The defense attorney is consulted to ensure the hearing date/time won't have to

**Figure 7. Delinquency hearing types and time frames for scheduling**

be rescheduled. Once the hearing is scheduled, it is written in an appointment book. Summons, subpoenas and victim letters are prepared in Word.

Each Tuesday, the information in the appointment book for the following week is entered into Outlook and JPO's

Hearing Type	Time Frame
Probable Cause Hearing	½ hour
Fact Finding/Denial	1-3 hours
Fact Finding/Admits	½ hour
Fact Finding/Disposition	½ hour
Disposition Hearing	½ hour
10 Day Hearing	½ hour
Transfer Disposition Hearing	½ hour
20 Day Hearing	½ hour
Review Hearing	½ hour
Placement Review Hearing	½ hour
Status Hearing	½ hour
Certification Hearing	½ hour
Warrant Hearing	½ hour

case management system and a separate listing of the schedule is typed in Word and then delivered to the Clerk of Courts office to be entered into the CPMS calendar, thus

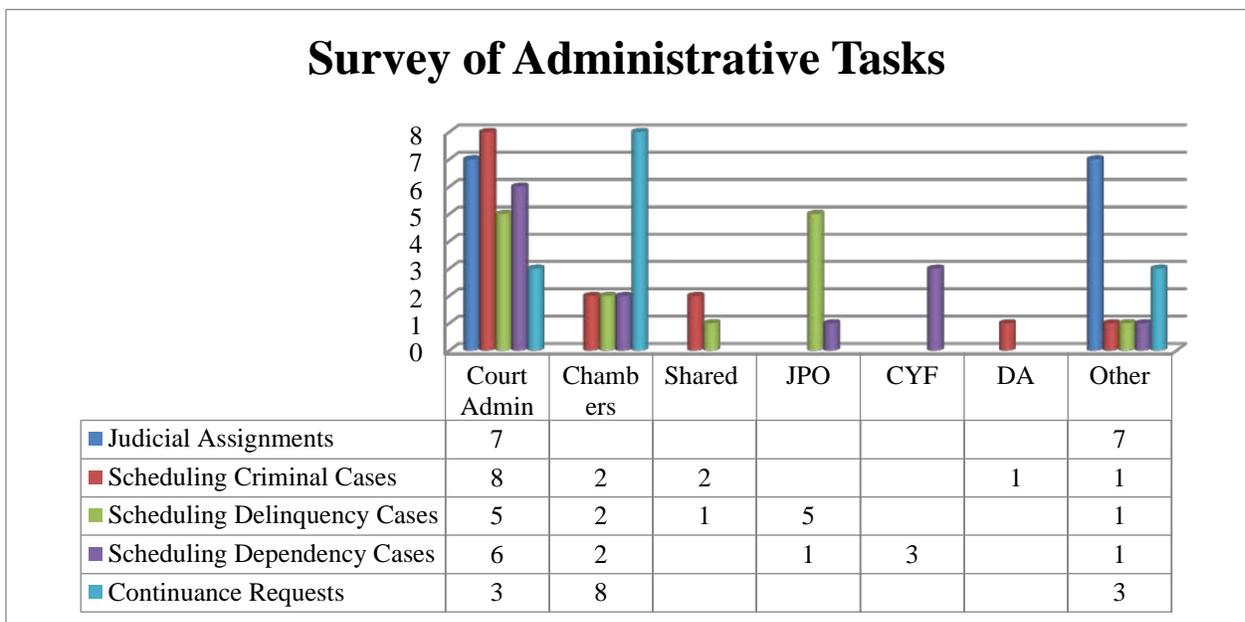
creating three different calendars. Chambers also maintains a separate Outlook calendar for the judge.

Similar to dependency cases, the analysis of the delinquency cases revealed non-value added time from the time an order was given to the time it was finalized and the outcome recorded in CPCMS in 20% of cases.

**Finding 4: Other governance structures hold more authority.**

Decision making authority in all courts surveyed was reported as a collaboration between the President Judge and the Court Administrator. In several counties the administrative judges or board of judges as a whole would be consulted on decisions impacting the whole bench. All counties had specific court divisions for which they had deputy court administrators, although not all counties had the same divisions or staff. The divisions most common were criminal, civil, family, orphans and specialty courts.

**Figure 8. 16 County Governance Survey**

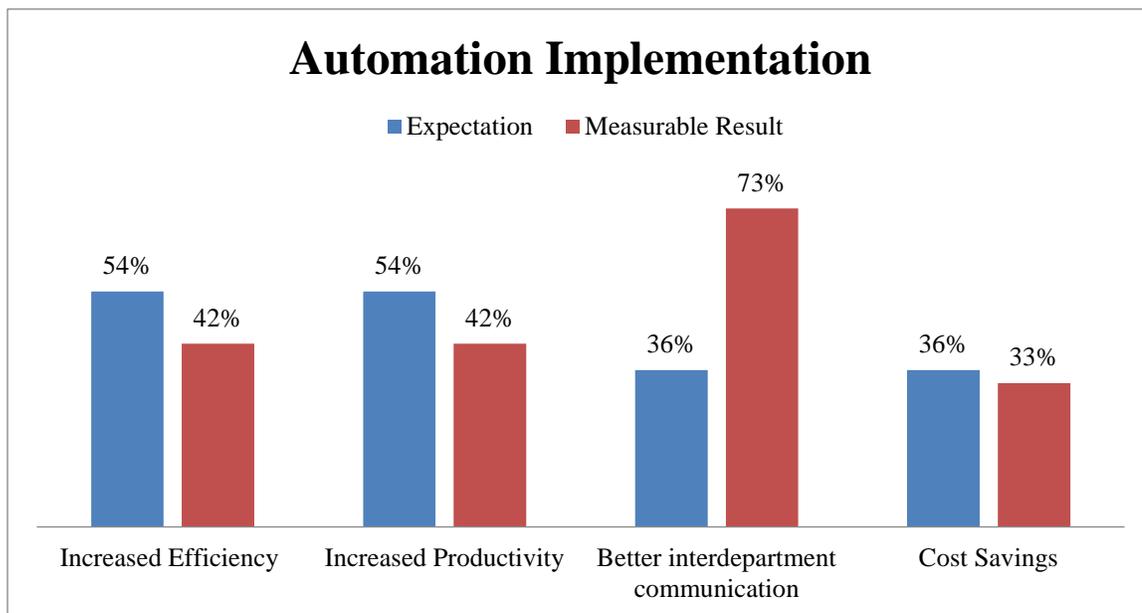


In the larger counties deputies were assigned by their assigned tasks rather than division, for example, court records or budget/financial. The survey revealed with the exception of the granting of continuances, court administration offices across the state are the responsible party for the majority of administrative tasks.

**Finding 5: Automation has improved communication and information sharing.**

The stakeholders that implemented automation had higher expectations than measurable results in all but one category; inter department communications. The measurable result in that category was more than double the expectation. Ironically the best benefit was not an anticipated one. The level of improved communication and information sharing that has resulted has had the greatest impact on the culture and efficiency of the court.

**Figure 9. Automation Results**



**Finding 6: CPCMS is driving the court's business process change.**

New requirements to enter delinquency orders and outcomes into CPCMS have resulted in a complete review of local business process. The Juvenile Delinquency Project Work Group, comprised of staff in Court Administration, Juvenile Probation, Clerk of Courts Office, Public Defender's Office and the District Attorney's Office, has been working for the last ten months to prepare for these changes. The pre go-live checklist provided by AOPC has given the work group an outline of processes that need to be evaluated and options to customize the case management system. Some vital steps were missed in the checklist resulting in a redundant and incomplete result.

**Conclusions and Recommendations****Conclusion 1: Value added time and non-value added time occupy the same space.**

The time interval between the time the criminal complaint is filed and the time the preliminary hearing is scheduled is considered to be both value added in the case that is initiated by summons, and non- value added in the case initiated by arrest. In the case initiated by summons, Pa.R.Cr.P. 510(A) states "The date set for the preliminary hearing shall be not less than 20 days from the date of mailing the summons unless the issuing authority fixes an earlier date upon the request of the defendant or the defendant's attorney with the consent of the affiant". In the case initiated by arrest, the non-value added time is due to district magistrate staff attempting to accommodate affiant's preference and granting multiple continuances.

**Conclusion 1A: We are violating Pa.R.Cr.P. 547(B).**

The average time between the Preliminary Hearing being held and the original papers being transmitted to the Common Pleas court is greater than the time required by Pa. R. Cr. P. 547(B), resulting in delays in the time to disposition. When the original papers are filed and the case created in CPCMS, the Clerk of Courts images the file into the Laserfiche application to create an electronic file. Other departments, including the DA, utilize the electronic file for their own case creation. In the average 28 days between the time the arraignment is scheduled and the arraignment is held, the DA's office is reviewing the file and gathering discovery. Their goal is to have offers prepared by the day of arraignment so that cases can be resolved as quickly as possible. Not only is the rule of law not being followed, the practical impact is that the delay gives the DA less time to prep the case resulting in delays in the time to disposition. When asked why the paperwork is delayed on specific cases from the sampling, staff in the district justice offices indicated they were waiting until the end of the week to send in all of the cases that had been held during that time to save postage. In some cases it was due to lack of staffing, due to vacancies or a lack of cross training other employees to prepare the packets.

**Recommendation 1: Develop a best practices policy.**

A best practices policy should be developed for the support staff that process criminal cases at the district justice level that cases held/waived for court should be sent the same day. Cross training of district justice support staff to ensure cases can be processed by more than just one staff member should occur.

**Recommendation 1A: Allow for electronic submission.**

The criminal rules committee should re-examine the requirement in Pa.R.Cr.P. 547(B) for the original paper copies of the record to be physically submitted to the Clerk Courts and consider modifying the rule to allow for the option of electronic submission to eliminate the time it takes to mail the packet. My research revealed that AOPC has actually already made this request to the rules committee twice, but has not been successful.

**Conclusion 2: Document flow from Master's hearings is delayed.**

Due to time constraints, the DP outcome order is done in a Word template and then it is filed with the clerk who will enter the order into the CPCMS docket, produce a final order and service the parties at a later time. This practice of having the order produced twice in two different formats is redundant and causes unnecessary delay.

**Recommendation 2: Court Administration should schedule.**

Court Administration having control over the dependency schedule rather than CYF and over the delinquency schedule rather than JPO would result in a more consistent and efficient use of judicial resources.

**Recommendation 2A: Provide Clerks to Masters.**

Master's should have a clerk in the courtroom to process the outcome orders in both dependency and delinquency proceedings. This would allow for quicker proceedings because the Master could focus on the case before them, not the data entry of the outcome order. Having a clerk present to perform what is a purely

administrative task present would save judicial time and resource. Master's salaries are far greater than a clerk's.

**Recommendation 2B: Schedule from the Courtroom.**

Courtroom clerks in all juvenile proceedings should be scheduling the next event while all parties are present and service can be accomplished in person. The criminal division has been scheduling from the courtroom for at least 10 years.

**Conclusion 3: Court Administration in York County is less autonomous than other similar size counties.**

York, although in general collegial, has a fiercely independent bench that has a long history of being involved in the details of administrative tasks. As a result Court Administration is not being used to its full benefit or potential particularly in the areas of scheduling and business process management. Judicial resource should not be being expended on administrative tasks.

**Recommendation 3: Court Administration should be coordinating all scheduling jointly with chambers.**

Members of the local bar are often former colleagues and friends of commissioned judges. Personally handling scheduling with those attorneys could give an appearance of impropriety that would be alleviated if Court Administration facilitated. In addition, Court Administration staff has resources at their disposal to eliminate attorney conflicts and evaluate the whole picture of judicial time across multiple judges in several divisions.

**Conclusion 4: Automation has resulted in more efficient operations within the criminal division of the court.**

From the implementation of CPCMS, to each installation of the Laserfiche software in multiple departments, to the current focus of a Unified Case Management System (UCM) for Adult Probation and the District Attorney, the focus on automation over the last 10 years has resulted in less administrative time, increased productivity and cost savings. Ironically the best benefit was not an anticipated one. The level of improved communication and information sharing that has resulted has had the greatest impact on the culture and efficiency of the court.

**Recommendation 4: Automation solutions should be replicated in the family division.**

Electronic work flow should be implemented in Juvenile Probation and the Prothonotary's office. Local rules governing outdated business processes should be evaluated and updated. Policies and procedures should also be evaluated and adjusted as appropriate.

**Conclusion 5: The family working group has improved communication and business process.**

Since beginning this project much work has been accomplished in the Family Division largely to due to the juvenile court working group led by a newly hired Deputy Court Administrator of the Family Division. In September 2014, a new juvenile delinquency module was introduced in CPCMS. Due to that implementation and the

second year of reorganizing the management structure of the juvenile division of probation, gradually business processes and communication have been improving.

**Recommendation 5: The juvenile court working group should continue.**

Much work remains to be done in the Family Division. The court has never had dedicated administrative resources in court administration to focus on this growing area of the court. The family working groups of the division including the juvenile court group should continue to gradually evaluate existing practices, maintain regular meetings and keep open communication.

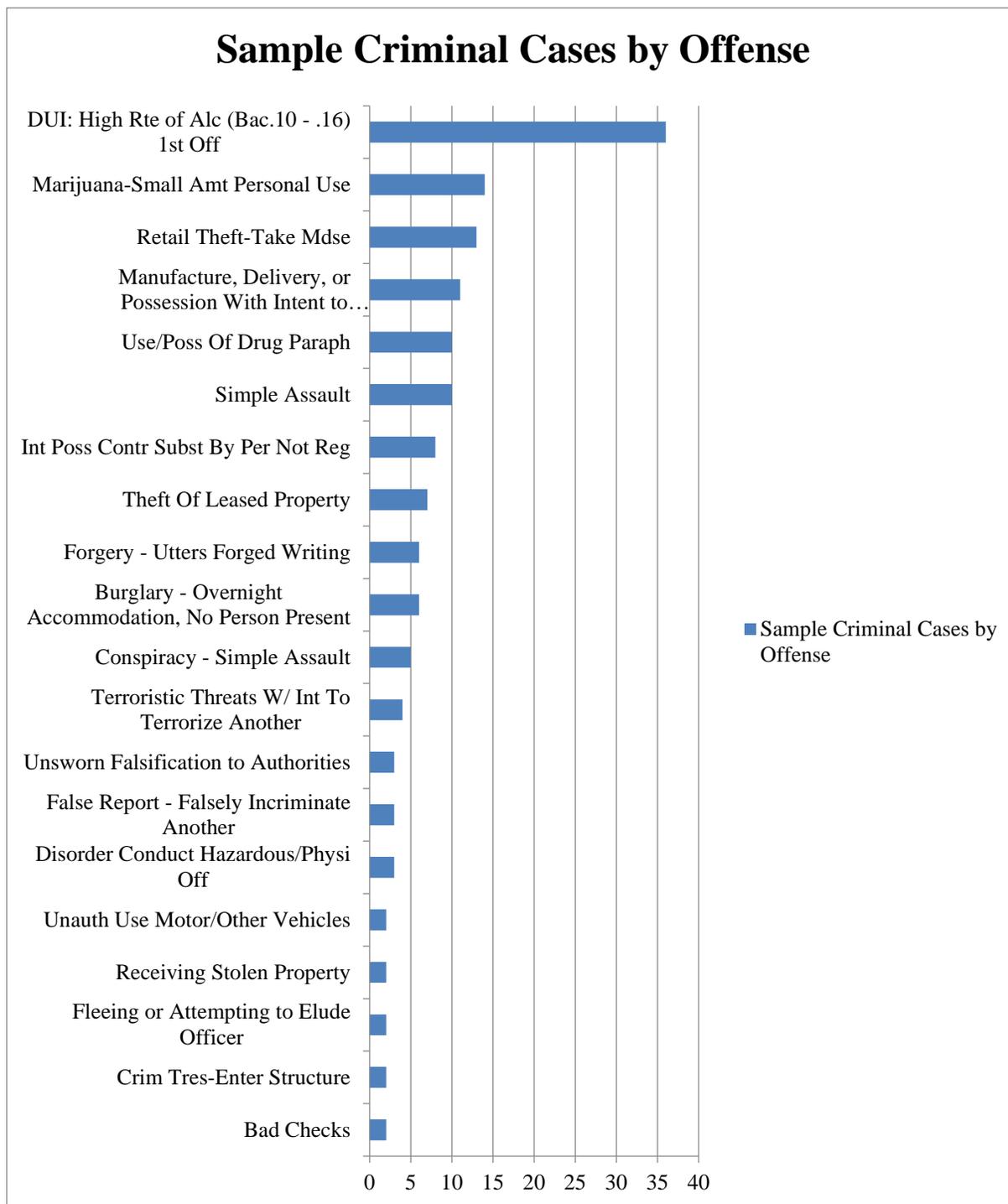
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## Appendices

### Appendix A: Sample Criminal Cases by Offense



**Appendix B: 16 County Survey**

**Interview Questions for 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> class PA Counties**

**How is the administration function of your court organized?**

- President Judge makes all decisions
- Court Administrator makes all decisions
- Court Administrator + President Judge
- Board of Judges
- Other:

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**What structured divisions if any, do you have in your court for which you have dedicated deputies and/or administrative staff?**

- Criminal     Civil     Family     Orphans
- Specialty Courts
- Other: \_\_\_\_\_

**Please indicate which of the following tasks Court**

**Administration is responsible for in your County:**

Pre-trial Services

Processing Continuance

Requests

Bail

Attorney Conflict Panel

Judicial Assignments

Appointments of Counsel

Scheduling of Cases:

Service of Court Orders

Criminal  Delinquency  Dependency

**Which of the following, if any, automated processes do you  
utilize?**

E-filing of Criminal Cases

Electronic work flow

Document Imaging

Criminal Form orders from

CPCMS

Dependency Form order from CPCMS

Delinquency Form orders from CPCMS

**If you utilize automated processes, what has been your greatest  
efficiency achieved from an administrative standpoint?**

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**What was the biggest challenge you faced when you employed automated processes in your office?**

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## Appendix C: Automation Survey #1

When you made the decision to automate your individual work process, what was your initial expectation of the benefits you would receive? Select all that apply.

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### Answer Choices –

- increased efficiency
- elimination of paper processes/files
- reduction of staff
- increased productivity of existing staff
- better communication with other departments
- improved public access
- improved public safety
- cost savings
- no expectation of benefits, automated work process was a result of mandated use of new technology
- my department has not implemented any automated processes, I'm strictly a user of other departments resources

How has the implementation of automation and technology impacted the workflow in your office? Select all that apply.

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### Answer Choices –

- it completely changed our workflow, it's like night and day
- it had a minimum impact
- it's more efficient, less steps
- it's more cumbersome, we have more steps
- we have more steps, but we gained benefits from those steps
- we don't know the complete impact, it's an ongoing process
- no impact at all
- Responses**  
Other (please specify)

☐ certified mail project

**From your perspective, how has the implementation of automation and technology in your department impacted the workflow in other offices that interact with you? Select all that apply.**

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Answer Choices –

- no impact at all, implementation was internal to my department
- increased information sharing with all offices
- duties shifted from another office to ours
- duties shifted from our office to another office
- improved information access and communication between our departments
- the impact on other offices was not considered when we implemented automation

**Responses**

Other (please specify)

- ☐ access to electronic green cards benefit to all depts.

**Are you or another office performing additional administrative tasks, that you weren't doing before, as a direct result of the implementation of automation? Select all that apply.**

---

Answer Choices –

- Yes, in my office
- Yes, in my office and in others
- No, not in my office
- No, not in my office or any other

**Did the implementation of automated work flow in your office meet or exceed your expectation?**

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Answer Choices –

- A great deal better
- Quite a bit better
- Somewhat better
- About what was expected
- Somewhat worse
- Quite a bit worse
- A great deal worse

**In what ways did the implementation of automation present a challenge in your department? In other offices?**

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Answer Choices –

- IT requirements
- Cost
- employees were resistant to change
- training
- lack of buy in from other departments
- [Responses](#)
- Other (please specify)

**Which of the following does your department regularly use? Select all that apply.**

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Answer Choices –

- CPCMS
-

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**Answer Choices –**

**MDJS**

–

**Prison Records Database**

–

**Laserfiche, Clerk of Courts Records**

–

**Laserfiche, MDJ**

–

**Laserfiche, Sheriff**

–

**Probate**

–

**Missile**

–

**Responses**

**Other (please specify)**

-CountyFusion (Orphans Court System)

-UJS Portal

-JNET

## Appendix D: Automation Survey #2

**In the last survey 100% of the respondents indicated that their expectation of implementing automation was an increase in either productivity or efficiency. In what ways have you evaluated whether or not automation has increased productivity or efficiency in your office?**

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Answer Choices –

- Productivity reports
- Quality Control audits of work product
- Time study
- Cost Benefit Analysis
- Customer Feedback (consider other departments to be internal customers)
- Observation of the amount of work accomplished in a given time frame
- Comparison of processing time before and after implementation
- No specific methods have been used to measure productivity or efficiency

**Which of the following has your office experienced? Choose all that apply.**

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Answer Choices –

- Elimination of office equipment (filing cabinets, fax machines, copiers)
- Acquisition of new equipment as a result of automation
- Revised or newly created job descriptions that reflect automated work process duties
- Creation of new positions as a result of automation
- Elimination of staff positions as a result of automation
- Restructuring or reorganization of staffing due to changed job duties as a result of automation
- Permanent increase in budget line items to support automation
- Decrease in budget line items as a result of cost savings from automation

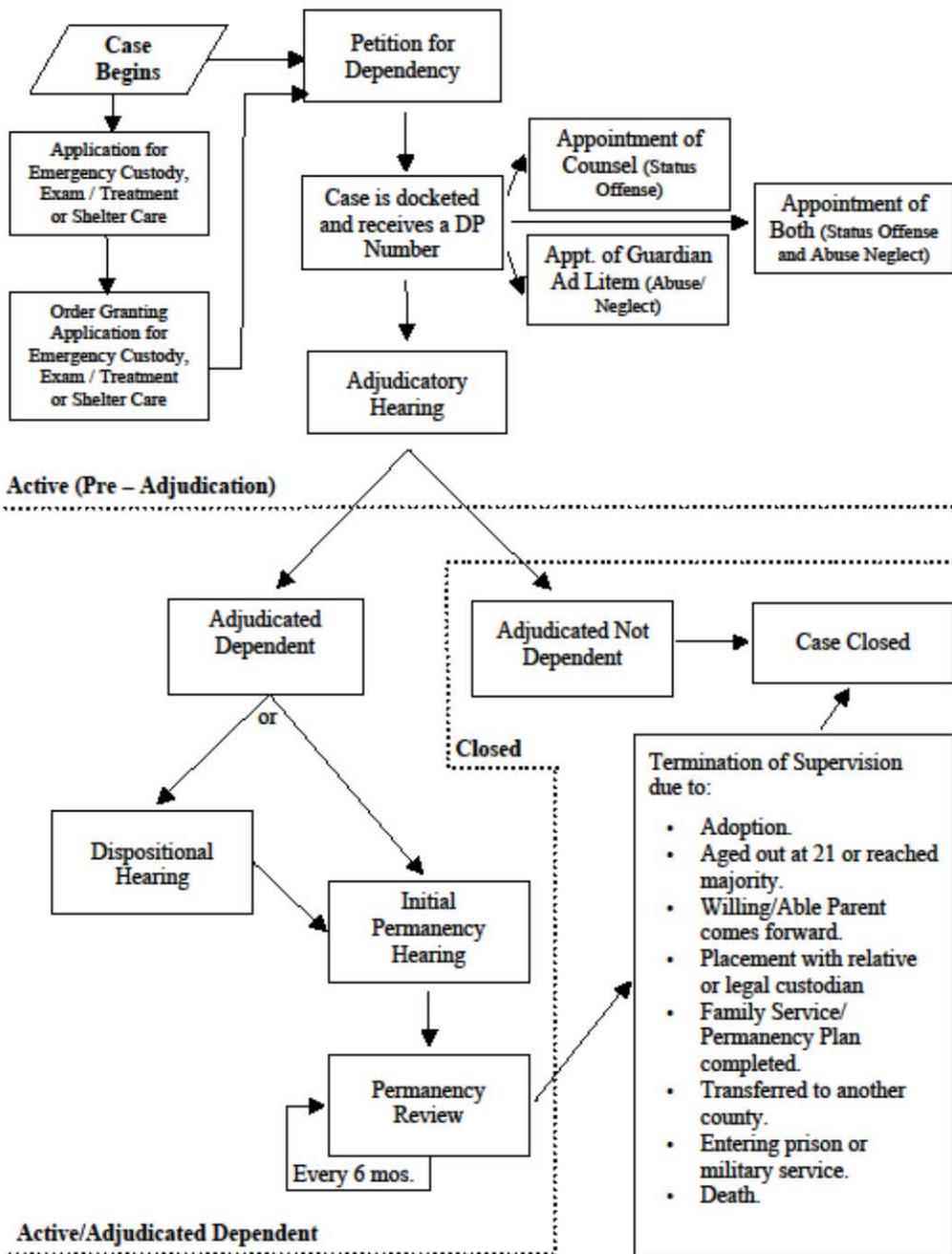
**What is the best benefit you have received from either implementing automation in your department or from utilizing another department's resource?**

**What was the greatest challenge you faced in implementing automation in your own department or utilizing another department's resource?**

**If you could implement your project again, what would you do differently?**

Appendix E: Generic Life Cycle of a Dependency Case

Generic Life Cycle of a Dependency Case



## Appendix F: Juvenile Delinquency Checklist

# JUVENILE DELINQUENCY PRE-GO LIVE CHECKLIST



This document contains a comprehensive list of items that are needed by the AOPC to prepare CPCMS for the go-live of the Juvenile Delinquency Project in your county. Please review the items and provide this information by contacting Christy Bean at [Christy.Bean@pacourts.us](mailto:Christy.Bean@pacourts.us). If you already provided the information in one or more items during their site visit, you do not need to provide it again.

### Case Creation

- Determine which office or users will create the cases in CPCMS.
- If different offices or users will create different cases, determine who will create MDJ Certifications, case transfers, and Miscellaneous cases.
- Do you use unique case types for juvenile delinquency cases, such as mental health commitments, involuntary drug/alcohol commitments (Act 53), and emancipations?
- For informal adjustments, the cases will be created in CPCMS but may not be filed at the clerk of courts office. Determine a business process for these scenarios and how case files and information will be shared between the departments involved.

### Calendar and Scheduling

- Determine if a separate calendar should be established for juvenile case calendar events.
- Determine which office or users will schedule case calendar events.
- Provide a list of hearing types that are scheduled in your county.
- Provide a copy of your county's 2014 juvenile calendar.

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## Juvenile Delinquency Pre-Go Live Checklist

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### Dispositions, Determinations and Penalties

- Provide program details and conditions used for consent decrees.
- Determine which office or users will record case determinations and dispositions.
- Determine which office or users will record outcomes.

### Case Processing

- Determine which office or users will record warrants issued and returned in CPCMS.
- Determine which office or users will record docket entries.
- Determine which office or users will maintain attorneys, victims/witnesses and case addresses.

### Case Participants

- Determine which office or users will record victims and witnesses.
- Determine which office or users will record parents and guardians.
- Determine which office or users will record juvenile placement.
- Determine which office or users will maintain attorneys for participants.
- Determine which office or users will maintain addresses for participants.

### Financials

- Determine which office or users will record assessments.
- Determine which office or users will create payment plans.
- Determine which office or users will receipt payments.
- Determine which office or user will manage your master account process for juvenile cases.
- Determine if your county wants to use ePay to allow online payment.
- Determine which office or users will manage overdue payments.

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**Juvenile Delinquency Pre-Go Live Checklist**

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- Determine if your county will utilize one or more outside collection agencies.
- Does your county use the Juvenile Restitution Fund assessment? If so, are there any restrictions in your county on the use of this assessment.
- Provide details on how you handle financials/money associated with Informal Adjustments.
- Provide details on how you handle financials/money associated with cases where the juvenile fails to pay costs/fines at the MDJ.

**Courtroom Processing**

- Determine if your county will process any cases in the courtroom and, if so, which users will be in the courtroom.
- If proposed orders are brought to court by parties, determine who will prepare the orders.
- If proposed orders are not used, determine who will prepare the court's orders.

**Probation**

- Provide a list of Juvenile Probation Officers.
- Provide the preferred name of your Juvenile Probation Department or Office (how you wish them to be displayed on forms, reports and fields in the application).
- Describe if you assign more than one probation officer to an offender.
- Provide a list of probation officer types, if used by your county.
- Provide a list of probation districts, if used by your county.
- Determine which probation officers will be responsible for collections.
- Provide a list of your detention centers and placement locations for juvenile delinquency cases.

**Court Personnel and Other Items**

- Provide a list of active juvenile delinquency cases in your county.

#### Juvenile Delinquency Pre-Go Live Checklist

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- Prepare a list of any business processes you feel are unique to your county.
- Provide a list of Hearing Officers/Masters.
- Provide a list of any facilities or other resources used only in your juvenile business process, such as courtrooms, court reporters, etc.
- Provide samples of the various stamps your county uses on various documents, such as Certified, Filed + date/time, etc.
- Determine if your county will be utilizing secure signatures in CPCMS and, if so, provide a list of signatures and who should be able to apply each of those signatures.