

State Court Guide to Statistical Reporting

2003



State Court Guide to Statistical Reporting

A joint project of the Conference of State Court Administrators and the National Center for State Courts.

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This product was developed under Grant SJI-01-N-005 from the State Justice Institute. Points of view are those of the authors and do not necessarily represent the official position or policies of the State Justice Institute.

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Acknowledgments

The *State Court Guide to Statistical Reporting, 2003*, has benefited greatly from the assistance and guidance of many groups and individuals within the court community, and we gratefully acknowledge the commitment of time and creative energy of everyone who contributed to this work.

This project would not have been possible without the guidance of the twelve members of the Conference of State Court Administrators (COSCA) Court Statistics Committee. The committee gave generously of their time, talent, and experience, and their participation was invaluable to project staff. Also critical to the project's success was the participation of the COSCA/National Association for Court Management (NACM) Joint Technology Committee members, especially Janet Cornell, Linda Freeman, and Marcy Podkopacz.

Project staff also wish to offer special thanks to Greg Halemba of the National Center for Juvenile Justice for his contributions to the juvenile section; Donald D. Goodnow, Director of the New Hampshire Administrative Office of the Courts, for his numerous contributions to the *Guide*; John T. Olivier of the Supreme Court of Louisiana, for his careful review of the appellate section; Ted Wood, former county judge, Randall County, Texas, for his definition of *deferred adjudication*; Dale Kasperek of the National Center for State Courts' Technology Division; Sherry Keesee of the NCSC's Research Division for her precise formatting and proofing of the manuscript; and Chuck Campbell, Lorri Montgomery, and Lorie Gomez of the NCSC's Communications Office, for their careful editing.

Finally, we are grateful to the State Justice Institute for its financial support, and to Sandra Thurston and Kathy Schwartz, the project's monitors, for their oversight and guidance.

State Court Guide to Statistical Reporting, 2003

Introduction

The Purpose of the Guide

This *Guide* is the result of an ongoing collaboration between the Conference of State Court Administrators (COSCA), the Court Statistics Project (CSP) of the National Center for State Courts (NCSC), trial court administrators, state and trial court statisticians, and other court experts from around the country. Since the first edition of the *State Court Model Statistical Dictionary*, published in 1980, and the subsequent revisions of 1984 and 1989, these groups and individuals have worked together to assist all state courts in organizing information on their caseloads. The nature of the assistance is a suggested way of counting, defining, and classifying cases at the initial stage when they are filed, and at the final stage when they are resolved. Guidelines are offered for both trial and appellate courts and for the full variety of matters that they handle.

The authors understand and acknowledge that state courts vary, sometimes dramatically, in their caseloads, procedures, and techniques for resolving cases. For this reason, significant emphasis was placed on gathering as much information as practical, from as many states and courts as possible, to ensure that the *Guide* is applicable to a broad range of courts. It is meant to be a flexible tool that courts can adapt to fit their legal and subject matter jurisdictions. It is *not* a uniform standard that all courts should strive to use in exactly the same way.

The improvements to this *Guide* are also designed to achieve another goal. Whereas earlier versions strove to provide a tool with which all courts could report *caseloads* in a comparable and meaningful way, this document also sets out to capture and provide much of the information necessary to present a clearer picture of court *workload*. A court that is capable of gathering most or all of the data sought here would be well on the way to generating the types of reports critical in conducting studies of the need for judges and judicial officer support staff.

Background

The CSP's first attempt at compiling comparable national court caseload statistics was in 1975. At that time, it was evident that there were profound differences in how states defined and reported their caseload data. It was clear that, without common caseload definitions and a standard format for classifying and reporting data, the goal of the CSP could never be achieved. The need for a statistical dictionary was finally met when the first edition was published at the end of 1980.

This *Guide* builds on the previous editions of the *Dictionary*. However, the *Guide* is more than an updated and refined version of the last edition published in 1989. It is qualitatively different because of developments in the law, the influx of new and previously undefined cases (e.g., domestic violence), enhancements in technology, and the growing professionalism of court managers during the past 15 years. The reader will find many improvements in the current *Guide* that are intended to keep pace with the changing world of court management.

The most visible change over its predecessor is that the *Guide* is no longer a dictionary as such. The *Guide* has been redesigned to provide a comprehensive set of model reporting matrices, rather than an alphabetized list of terms. The new focus is on clearly differentiating and defining the primary components of data classification reporting. Hence, only terms from the matrices are defined, and they appear on the matrices themselves. The reasons for this are twofold. First, widely available law dictionaries already define many of the terms that appeared in earlier editions. Second, limiting the definitions to the terms used in the matrices provided a logical point to curtail the definition process.

Organization

The *Guide* is divided into two parallel sections, one for trial courts and one for appellate courts. Each section has five common elements: (1) an *Introduction*; (2) Unit of Count, which explains counting rules for that case type; (3) a *Caseload Summary* matrix that captures aggregate filings, dispositions, and pending cases in ten discrete categories; (4) a *Manner of Disposition* matrix designed to report case dispositions in greater detail; and (5) *Case Type Definitions*, which clarifies case types and case subcategories as used in the *Guide*.

The section introductions describe significant changes implemented since publication of the 1989 *Dictionary*, including new case types or disposition types, the reasons to incorporate those changes, and any other information that may be deemed helpful to the user. Each introduction also includes several case examples that demonstrate the use of the new *Caseload Summary* matrix. Each introduction is followed by a Unit of Count discussion, which describes and defines the recommended rules for counting cases for the type of case in question.

The *Caseload Summary* matrix is where total pending cases, filings, reopened cases, reactivated cases, and dispositions are counted, by case type. Included here are the definitions for the reporting categories (e.g., *Begin Pending – Active*).

A second matrix, titled *Manner of Disposition*, provides a platform upon which to report the manner of disposition by each type of case. This *Manner of Disposition* matrix defines each type of case resolution and is designed to allow courts to monitor the extent of judicial involvement needed during the resolution stage of the court process. Note that all categories and case classifications are defined *as they apply* to the *State Court Guide to Statistical Reporting* and, therefore, may vary somewhat from other definitions or common usage.

Using the Guide

One of the first changes that users of the 1989 *Dictionary* will notice is the introduction of several new reporting categories within the trial court *Caseload Summary Matrix*. Previously, courts were asked to report aggregate data for begin pending, filed, disposed, and end pending cases, by case type, for both appellate and trial courts. While the reporting categories for the appellate court caseload summary remain the same, trial courts now are asked to report aggregate data, by case type, for both *active* and *inactive pending* cases (at the beginning and end of the reporting period); *newly filed*, *reopened*, and *reactivated* cases; original *entry of judgment* and *reopened dispositions*; and cases that are *placed on inactive status*. These reporting categories were chosen because they allow for a better understanding of both court workload and caseflow management.

The following *Caseload Summary* reporting category definitions apply to both the appellate and trial court matrices, with appellate courts needing only to report their total number of begin pending, filed, resolved (or disposed), and end pending cases.

Begin pending

- *Active*: cases that, at the start of the reporting period, are awaiting disposition.
- *Inactive*: cases that, at the start of the reporting period, have been classified by the court as inactive.

Filings

- *New filing*: cases that have been filed with the court for the first time.
- *Reopened*: cases that had previously reached a final disposition, but have been restored to the court's pending caseload due to the requirement of additional judicial activity in the case.
- *Reactivated*: cases that had previously been placed in inactive pending status, but for which further court proceedings and activities can be resumed so that the case can proceed to disposition (to be used only by those courts that can distinguish active versus inactive pending cases).

Dispositions

- *Entry of Judgment*: cases for which an *original* entry of judgment was filed.
- *Reopened*: cases that were disposed of by a modification to, and/or enforcement of, the original judgment of the court.

Placed on inactive status

- Cases whose status has been administratively changed to inactive because the court will take no further action in the case until an event restores the case to the court's active pending caseload (to be used only by those courts that can distinguish active versus inactive pending cases).

End pending

- *Active*: cases that, at the end of the reporting period, are awaiting disposition.
- *Inactive*: cases that, at the end of the reporting period, have been administratively classified as inactive.

In an effort to further clarify the new reporting categories, examples are provided that illustrate the distinctions between the categories within each trial court reporting matrix. These examples are located within each introduction, and the above definitions are reiterated within both the introductions and the *Caseload Summary* matrix.

In addition to defining the reporting categories, case types are also defined. In the trial court section, there are five general case categories: civil; domestic relations; criminal; juvenile; and traffic, parking, and local ordinance violations. Within each general case category (e.g., civil), specific case subcategories are identified (e.g., tort), and definitions are given for specific case types (e.g., medical malpractice). In the appellate court section, there are four general case categories: appeals, petitions for review, death penalty, and other appellate.

Combined, these case type categories make up the court's caseload composition. Users of the 1989 *Dictionary* will notice that the caseload composition for each general case category has been expanded and that, in some instances, the caseload composition has actually been restructured to capture caseload data in a more meaningful manner. In the appellate reporting matrices, for instance, there is no longer a distinction between mandatory and discretionary jurisdiction. Instead, the appellate court reporting matrices are structured so courts can track specific workload issues related to their appeals caseload, petitions for review caseload, death penalty caseload, etc. In the trial court reporting matrices, domestic relations has been identified as a general case category separate from civil cases, and domestic violence, as a specific case type, has been included in the criminal reporting matrices.

Similarly, users will find an expanded and redesigned *Manner of Disposition* matrix to capture the extent of judicial intervention in case resolutions. The appellate court matrix distinguishes between manners of resolution (decided, dismissed, denied, etc.), types of court opinions for decided cases (published, memorandum, order, etc.), and the outcomes of decided cases (affirmed, reversed, remanded, etc.). The trial court matrix contains both trial and non-trial disposition events, distinguishes between jury and bench trials, and includes the previously unreported disposition categories of alternative dispute resolution and deferred adjudication. As with the *Caseload Summary* matrix, the *Manner of Disposition* matrix attempts to capture more detailed information that describes the overall workload of the court.

Benefits

An indispensable ingredient of effective practice is valid, reliable, and useful information on the nature, scope, and volume of work before the court. This information is relevant to the request for public resources; the distribution of available judges, staff, and technology; and the assessment of how well courts are doing in fulfilling their functions. Use of the *Guide* should increase the court's understanding of its caseload, answer questions about a court's workload more quickly and easily, and permit more fruitful communication with other courts. For example, courts able to distinguish active versus inactive pending cases are in a better position to measure the age of their pending caseload accurately, to determine meaningful case-processing times, and to manage court resources. Similarly, courts that report their reopened cases can more reliably

discuss their *actual* workload, can more easily track filing trends, and can more readily justify the need for additional resources.

Trial and appellate courts vary in size, structure, and procedures, and in social, economic, and legal contexts. Taking these complex realities into account, the *Guide* tries to provide a general framework that is adaptable by every court. Courts are encouraged to use the *Guide* as a sounding board for improving their current recordkeeping systems. After courts have had experience in applying the framework, a natural consensus will develop regarding exactly how cases should be defined, recorded, counted, and reported. Using the *State Court Guide to Statistical Reporting* is a step in that desired direction.

Civil Case Reporting

Civil Case Reporting

Introduction

The civil case reporting matrices appearing in this *State Court Guide to Statistical Reporting* have undergone significant changes since the publication of the *State Court Model Statistical Dictionary, 1989*. Three features of the new reporting scheme deserve special mention and discussion.

First, the *General Civil* (i.e., tort, contract, and real property) segment of the new format has been expanded to reflect recent studies that show that some types of general civil cases (e.g., premises liability torts) heretofore not specifically counted by the Court Statistics Project constitute a sizable portion of the court's caseload and should be included in national caseload statistics. General civil case type categories now include ten subcategories of tort cases, nine subcategories of contract cases, and two subcategories of real property cases. The remaining civil case type categories, the non-general civil cases, have also been expanded to include more concise subcategories for probate/estate cases, civil appeals, and writs.

Second, the redesigned *Caseload Summary* matrix captures more detailed information about case activity. In addition to reporting new filings and dispositions, the prototype now allows for the reporting of **Active** and **Inactive** pending cases, **Reopened** and **Reactivated** cases, **Entry of Judgment** and **Reopened Dispositions**, and cases that are **Placed on Inactive Status**. The reporting categories have been augmented to gain a better understanding of court *workload*, and examples have been included to explain how to record different case management events.

Third, the revised civil *Manner of Disposition* matrix provides options that (1) distinguish whether cases were disposed *with* or *without* judicial intervention (e.g., conference or hearing) and (2) capture the *extent* of judicial intervention needed (i.e., whether trials reached a conclusion or were settled or dismissed before a verdict or judgment). A new category captures civil cases that were disposed through *court-annexed* alternative dispute resolution (ADR) programs. Cases resolved by ADR—primarily mediation or arbitration proceedings—should be included in the court's caseload since the case typically remains within the jurisdiction of the court that made the referral. Thus, the new matrix provides a means to track both traditional court and ADR civil case resolutions.

Unit of Count: Civil

A petition or civil complaint begins a civil case in most trial courts. The civil complaint informs the defendant of the facts and legal grounds upon which the plaintiff bases a claim for legal redress and requests that legal action begin. Count the *filing* of the complaint/petition with the clerk of court as the beginning of a civil case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that case type category disposed by the court during the reporting period. Report the number of civil filings and dispositions by case type, according to the subject matter at issue as defined in the *Civil Case Type Definitions*. The *Manner of Disposition* matrix provides a means to report the manner in which trial court civil cases were disposed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved. When there is more than one type of dispositive action in a case, count as the disposition that action which requires the most judicial involvement. In other words, prioritize the dispositive actions as follows:

- Jury trial
- Bench trial
- Summary judgment
- Settlement
- Default judgment
- Dismissed—want of prosecution
- Transfer to another court
- Other

Notes:

Alternative Dispute Resolution (ADR): When a case has been referred *by the court* to alternative dispute resolution, we recommend that the court note the referral and track subsequent case activity under the case number initially assigned. The court should also report the number of cases resolved through ADR processes in the **Alternative Dispute Resolution** column of the *Manner of Disposition* matrix.

Consolidated case: This is a case in which two or more actions are combined and tried/processed as one case. In reporting trial court dispositions, all the cases except the one into which the cases were consolidated should be reported as disposed at the time of consolidation, and the disposition(s) should be reported in the *Manner of Disposition* matrix under **Other Civil Dispositions**. When the consolidated case has been decided, the disposition should be reported under the appropriate manner of disposition category.

Inactive case: Cases that are administratively classified as inactive should be reported in the *Caseload Summary* matrix as **Placed on Inactive Status**. When the case is reactivated, report it as a **Reactivated** case, classified by case type. For example, a civil case should be placed on inactive status if one of the parties has filed for bankruptcy, and the case is subject to an automatic stay.

Reopened case: Cases in which a judgment has previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce that existing judgment should be reported in the *Caseload Summary* matrix as **Reopened**. When the reopened case is disposed of, report the case in the *Caseload Summary* matrix in the **Dispositions** column in the column labeled **Reopened**. For example, a civil case that was previously disposed, but later returned to the court's pending docket due to a motion that requests periodic payments on a judgment should be considered a reopened case.

Civil - Caseload Summary Examples

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Civil					
<i>Example 1</i> - Automobile Tort		5 (a)	50 (b)		5 (c)
<i>Example 2</i> - Fraud	80 (a)			40 (c)	
<i>Example 3</i> - Seller Plaintiff			100 (a)		
<i>Example 4</i> - Guardianship		20 (a)	60 (b)		20 (d)
TOTAL Civil	80	25	210	40	25

Example 1: At the beginning of the reporting period, 5 Automobile Tort cases were classified as *Begin Pending - Inactive* (a). During the reporting period, 50 Automobile Tort cases were filed with the court (b) and the 5 *Begin Pending - Inactive* cases were *Reactivated* (c). Thirty-five (35) cases were then disposed of during the reporting period (d). The remaining 20 cases are still awaiting disposition at the end of the reporting period and were recorded as *End Pending - Active* (e).

Example 2: Eighty (80) Fraud cases were in *Begin Pending - Active* status at the beginning of the reporting period (a). All 80 cases were disposed of during the reporting period (b). Forty (40) defendants filed motions and were granted permission to submit new evidence. Because new evidence was submitted, the cases were reported as *Reopened* cases (c), the hearings ended in new dispositions, and the cases are then counted as *Reopened Dispositions* (d).

Example 3: During the reporting period, 100 Seller Plaintiff (Debt Collection) cases were *New Filings* with the court (a). Seventy-five (75) defendants appeared in court and their cases were disposed by *Entry of Judgment* (b). The 25 remaining defendants filed for bankruptcy. While awaiting the results of the bankruptcy proceedings, these 25 cases were *Placed on Inactive Status* (c). The reporting period ended while all 25 cases are still in *End Pending - Inactive* (d).

Example 4: At the beginning of the reporting period, 20 pending Guardianship cases were carried over, having been previously classified as *Begin Pending - Inactive* (a). Sixty (60) new guardianship cases were filed with the court (b). In 30 of the *New Filing* cases, declaratory judgment proceedings began, and those 30 cases were then *Placed on Inactive Status* (c). All 20 of the original *Inactive* cases were *Reactivated* and subsequently disposed of, along with the remaining 30 newly filed cases (for a total of 50 *Entries of Judgment*) (d). At the end of the reporting period, the 30 cases *Placed on Inactive Status* remain inactive and are counted as *End Pending - Inactive* (e).

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
35 (d)			20 (e)	
80 (b)	40 (d)			
75 (b)		25 (c)		25 (d)
50 (d)		30 (c)		30 (e)
240	40	55	20	55

Calculating Pending Caseloads

When using all ten available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending - Active* caseload is calculated by adding the *Begin Pending - Active*, *New Filing*, *Reopened*, and *Reactivated* cases, and subtract the sum of the *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status* cases.

Begin Pending - Active	80	
+ New Filing	210	
+ Reopened	40	
+ Reactivated	<u>25</u>	355
Entry of Judgment	240	
+ Reopened Dispositions	40	
+ Placed on Inactive Status	<u>55</u>	(335)
End Pending - Active		20

The inactive pending caseload calculation is also straightforward. Add the number of *Begin Pending - Inactive* and *Placed on Inactive Status* cases and subtract the number of *Reactivated* cases.

Begin Pending - Inactive	25	
+ Placed on Inactive Status	<u>55</u>	80
Reactivated	<u>25</u>	(25)
End Pending - Inactive		55

1A. Civil - Caseload Summary Matrix

Case Type		Begin Pending		New Filing	Reopened	Reactivated
		Active	Inactive			
General Civil	Tort					
	Automobile Tort					
	Intentional Tort					
	Malpractice - Medical					
	Malpractice - Legal					
	Malpractice - Other Professional					
	Total Malpractice					
	Premises Liability					
	Product Liability - Asbestos					
	Product Liability - Tobacco					
	Product Liability - Toxic/Other					
	Total Product Liability					
	Slander/Libel/Defamation					
	Other Tort					
	TOTAL Tort					
	Contract					
	Buyer Plaintiff					
	Employment Dispute - Discrimination					
	Employment Dispute - Other					
	Total Employment Dispute					
Fraud						
Landlord/Tenant - Unlawful Detainer						
Landlord/Tenant Dispute - Other						
Total Landlord/Tenant						
Mortgage Foreclosure						
Seller Plaintiff (Debt Collection)						
Other Contract						
TOTAL Contract						
Real Property						
Eminent Domain						
Other Real Property						
TOTAL Real Property						

Civil - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

Reactivated: A count of cases that had previously been placed in an inactive pending status, but for which further court proceedings and activities can now be resumed so that the case can proceed to disposition.

(continued next page)

2A. Civil - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened
	Active	Inactive		
Small Claims				
Probate/Estate				
Guardianship - Adult				
Guardianship - Juvenile				
Total Guardianship				
Conservatorship/Trusteeship				
Probate/Wills/Intestate				
Elder Abuse				
Other Probate/Estate				
TOTAL Probate/Estate				
Mental Health				
Civil Appeals				
Administrative Agency				
Limited Jurisdiction Trial Court Ruling				
Other Civil Appeals				
TOTAL Civil Appeals				
Miscellaneous				
Habeas Corpus				
Non-Domestic Relations Restraining Order				
Tax				
Writ Involving Prison Conditions				
Other Writs				
TOTAL Miscellaneous				
Other Civil				
GRAND TOTAL				

Civil - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

(continued next page)

1B. Civil - Manner of Disposition Matrix

Case Type		Non-Trial Dispositions					
		Dismissed Want of Pros.	Default Judgment	Summary Judgment	Settled / Withdrawn		
Without Judicial Action	With Judicial Action				Alternative Dispute Resolution		
General Civil	Tort						
	Automobile Tort						
	Intentional Tort						
	Malpractice - Medical						
	Malpractice - Legal						
	Malpractice - Other Professional						
	Total Malpractice						
	Premises Liability						
	Product Liability - Asbestos						
	Product Liability - Tobacco						
	Product Liability - Toxic/Other						
	Total Product Liability						
	Slander/Libel/Defamation						
	Other Tort						
	TOTAL Tort						
	Contract						
	Buyer Plaintiff						
	Employment Dispute - Discrimination						
	Employment Dispute - Other						
	Total Employment Dispute						
Fraud							
Landlord/Tenant Dispute - Unlawful Detainer							
Landlord/Tenant Dispute - Other							
Total Landlord/Tenant Dispute							
Mortgage Foreclosure							
Seller Plaintiff (Debt Collection)							
Other Contract							
TOTAL Contract							
Real Property							
Eminent Domain							
Other Real Property							
TOTAL Real Property							

Civil - Manner of Disposition Definitions

Civil Case Manner of Disposition: The manner in which a civil case pending before a trial court is disposed. The statistics in the subcategories under civil case manner of disposition should indicate a count of cases, not of plaintiffs or defendants.

Civil Non-Trial Dispositions: A major classification category of civil case dispositions in which a case is disposed of by a form of dismissal, default, summary judgment, transfer, or any other type of disposition not entailing a jury or bench trial.

Dismissed for Want of Prosecution: A subcategory of civil non-trial dispositions involving cases dismissed by the court because the plaintiff has ceased to pursue a case.

Default Judgment: A subcategory of civil non-trial dispositions involving cases in which the defendant either chose not to or failed to respond to (i.e., answer) the plaintiff's allegations.

Summary Judgment: A subcategory of civil non-trial dispositions. A procedure designed to provide a prompt disposition of the controversy without a trial when there is no dispute as to the facts or if only a question of law is involved. For statistical reporting purposes, a case should only be categorized as having been disposed of by summary judgment if that was the dispositive action in the case, i.e., no claims or parties remained to be disposed of.

Settled/Withdrawn Without Judicial Action: A subcategory of civil non-trial dispositions for cases settled and voluntarily withdrawn from the court docket by the plaintiff without action by a judge or judicial officer.

Settled/Withdrawn With Judicial Action: A subcategory of civil non-trial dispositions for cases settled and voluntarily withdrawn from the court docket by the plaintiff following a conference or hearing with a judge or judicial officer.

Settled/Withdrawn by Alternative Dispute Resolution (ADR): A subcategory of civil non-trial dispositions involving cases that were referred by the court to programs such as mediation or arbitration and, through those processes, were successfully settled and/or withdrawn from the court docket during the reporting period.

Other Dismissal: A subcategory of civil non-trial dispositions including ones of unknown specificity or dispositions not attributable to one of the other previously defined civil non-trial disposition categories.

(continued next page)

2B. Civil - Manner of Disposition Matrix

Case Type	Non-Trial Dispositions						
	Dismissed Want of Pros.	Default / Uncontested	Summary Judgment	Settled / Withdrawn			Other Dismissal
				Without Judicial Action	With Judicial Action	Alternative Dispute Resolution	
Small Claims							
Probate/Estate							
Guardianship - Adult							
Guardianship - Juvenile							
Total Guardianship							
Conservatorship/Trusteeship							
Probate/Wills/Intestate							
Elder Abuse							
Other Probate/Estate							
TOTAL Probate/Estate							
Mental Health							
Civil Appeals							
Administrative Agency							
Limited Jurisdiction Trial Court Ruling							
Other Civil Appeals							
TOTAL Civil Appeals							
Miscellaneous							
Habeas Corpus							
Non-Domestic Relations Restraining Order							
Tax Cases							
Writ Involving Prison Conditions							
Other Writs							
TOTAL Miscellaneous							
Other Civil							
GRAND TOTAL							

Civil - Manner of Disposition Definitions

Civil Case Manner of Disposition: The manner in which a civil case pending before a trial court is disposed. The statistics in the subcategories under civil case manner of disposition should indicate a count of cases, not of plaintiffs or defendants.

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Default Judgment: A subcategory of civil non-trial dispositions involving cases in which the defendant either chose not to or failed to respond to (i.e., answer) the plaintiff's allegations.

Summary Judgment: A subcategory of civil non-trial dispositions. A procedure designed to provide a prompt disposition of the controversy without a trial when there is no dispute as to the facts or if only a question of law is involved. For statistical reporting purposes, a case should only be categorized as having been disposed of by summary judgment if that was the dispositive action in the case, i.e., no claims or parties remain to be disposed.

Settled/Withdrawn Without Judicial Action: A subcategory of civil non-trial dispositions for cases settled and voluntarily withdrawn from the court docket by the plaintiff without action by a judge or judicial officer.

Settled/Withdrawn With Judicial Action: A subcategory of civil non-trial dispositions for cases settled and voluntarily withdrawn from the court docket by the plaintiff following a conference or hearing with a judge or judicial officer.

Settled/Withdrawn by Alternative Dispute Resolution (ADR): A subcategory of civil non-trial dispositions involving cases that were referred *by the court* to programs such as mediation or arbitration and, through those processes, were successfully settled and/or withdrawn from the court docket during the reporting period.

Other Dismissal: A subcategory of civil non-trial dispositions including ones of unknown specificity or dispositions not attributable to one of the other previously defined civil non-trial disposition categories.

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Civil Case Type Definitions

Civil Cases

A broad classification category for trial court cases in which a plaintiff requests the enforcement or protection of a right or the redress or prevention of a wrong. The complaint or petition that begins an action is the unit being counted in each civil case (see unit of count). Civil cases are divided into ten major subcategories: tort case, contract case, real property case, small claims case, estate case, mental health case, civil appeals case, miscellaneous civil case, other civil case, and reopened case. Similar terminology: civil action.

Specific types of civil cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Tort Cases

A major classification subcategory of civil cases alleging an injury or wrong committed against a person, their reputation, or their property by a party who either did something that he was obligated not to do or failed to do something that he was obligated to do. The three elements alleged in every tort action are existence of a legal duty from defendant to plaintiff, breach of that duty, and damages as a proximate result. Similar terminology: negligence.

Automobile Tort Case: A subcategory of tort cases involving personal injury, property damage, or wrongful death resulting from alleged negligent operation of a motor vehicle. Negligent operation of air or water vehicles should be counted among "other tort" cases. Similar terminology: auto tort, motor vehicle tort, auto negligence.

Intentional Tort Case: A subcategory of tort cases in which injury to property or person is alleged to be willfully brought upon one party by another. Similar terminology: assault, battery, vandalism.

Malpractice Case

A subcategory of tort cases in which the defendant is alleged to have failed to provide reasonable professional care, attention, or skill toward their patient or client, thereby causing physical or financial harm. Defendants in these cases are typically doctors, lawyers, or accountants.

Malpractice - Medical Case: A subcategory of malpractice cases that allege misconduct or negligence by a person in the medical profession acting in a professional capacity, such as doctors, nurses, physician assistants, dentists, etc.

Malpractice - Legal Case: A subcategory of malpractice cases that allege misconduct or negligence by a person in the legal profession acting in a professional capacity, such as lawyers and paralegals.

Malpractice - Other Professional Case: A subcategory of malpractice cases that allege misconduct or negligence by a person not involved in the medical or legal professions acting in a professional capacity, such as accountants or architects.

Premises Liability Case: A subcategory of tort cases involving claims brought against the owner of real property, the condition of which is purported to be the cause of personal injury. Similar terminology: slip and fall.

Product Liability Case

A subcategory of tort cases involving the alleged responsibility of the manufacturer or seller of an article for an injury caused to a person or property by a defect in, or the condition of, the article sold or an alleged breach of duty to provide suitable instructions to prevent injury.

Product Liability - Asbestos Case: A subcategory of product liability cases in which it is alleged that injury has been caused by exposure to, or ingestion of, asbestos.

Product Liability - Tobacco Case: A subcategory of product liability cases in which it is alleged that injury has been caused by the use of, or exposure to, tobacco products, including cigarettes, cigars, and chewing tobacco.

Product Liability - Toxic/Other Case: A subcategory of product liability cases in which it is alleged that injury has been caused by the use of, or exposure to, a toxic substance (other than asbestos or tobacco) or cases of unknown specificity.

Slander/Libel/Defamation Case: A subcategory of tort cases alleging harm to the reputation, community standing, or livelihood of the claimant caused by false or misleading statements made by the defendant.

Other Tort Case: A subcategory of tort cases involving cases of unknown specificity or cases not attributable to one of the other previously defined tort case categories (e.g., conversion, animal attack).

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Civil Case Type Definitions *(continued)*

Contract Cases

A major classification subcategory of civil cases involving a dispute over an agreement (express or implied) between two or more parties. For statistical reporting purposes, contract cases involving real property rights claims should be reported under the real property category.

Buyer Plaintiff Case: A subcategory of contract cases involving a buyer of goods or services bringing suit against a seller of goods or services for failure either to deliver said goods or services or to honor a warranty as promised in an expressed or implied contract.

Employment Dispute Case

A subcategory of contract cases involving any dispute between an employer and employee over the conditions, terms, or termination of employment.

Employment Dispute - Discrimination Case: A subcategory of employment dispute cases in which the plaintiff/employee alleges that the defendant/employer denied hiring, salary increases, or other forms of advancement based on the employee's race, gender, national origin, or sexual orientation. Although discrimination is typically regarded as a tort, these cases arise from the contractual relationship between employer and employee and, for the purposes of statistical reporting, should be counted in this category.

Employment Dispute - Other Case: A subcategory of employment dispute cases involving cases of unknown specificity or cases not involving an allegation of employment discrimination.

Fraud Case: A subcategory of contract cases. Fraud, as applied to contracts, is the intentional misrepresentation of fact for the purpose of financial or legal gain. Although certain aspects of contract fraud are, by nature, tortious, these cases should be counted among contract cases for the purposes of statistical reporting. Similar terminology: bad faith.

Landlord/Tenant Dispute Case

A subcategory of contract cases alleging a breach of contract (lease) between a landlord and tenant. The case can be brought by either party against the other for some failure in adhering to the terms of the lease.

Landlord/Tenant Dispute - Unlawful Detainer Case: A subcategory of landlord/tenant dispute cases. These cases are typically brought by landlords against tenants after repeated attempts to collect rent or make reasonable accommodations have failed and the tenant refuses to relinquish the property. Although these cases are based on the unlawful inhabitation of real property, the underlying dispute involves the contractual agreement between the landlord and tenant and, therefore, these cases should be classified in the contract category.

Landlord/Tenant Dispute - Other Case: A subcategory of landlord/tenant dispute cases involving cases of unknown specificity or cases not classified as unlawful detainer cases.

Mortgage Foreclosure Case: A subcategory of contract cases in which a mortgage holder petitions to sell mortgaged property to satisfy a mortgage debt. Although these cases are typically brought by a mortgage holder for a failure on the part of the mortgagor to make complete or timely payments on real property, the foundation of the case is the breach of the contractual agreement between the parties; therefore, for the purposes of statistical reporting, these cases should be classified in this category.

Seller Plaintiff (Debt Collection) Case: A subcategory of contract cases wherein the plaintiff/seller brings suit against a buyer of goods or services for failure to pay for said goods or services as promised in an expressed or implied contract.

Other Contract Case: A subcategory of contract cases involving cases of unknown specificity or cases not attributable to any of the other previously defined contract case categories.

Real Property Cases

A major classification subcategory of civil cases involving disputes over the ownership, use, boundaries, or value of real property. The legal remedies sought to protect real property rights can involve both actions at law and suits in equity, but cases should be classified according to the subject matter at issue.

Eminent Domain Case: A subcategory of real property cases wherein a property owner challenges the amount of remuneration offered by the state or federal government for the taking of a parcel of land. Similar terminology: condemnation, expropriation.

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Civil Case Type Definitions *(continued)*

Real Property Cases *(continued)*

Other Real Property Case: A subcategory of real property cases including cases of unknown specificity or cases not classified as eminent domain cases (e.g., quiet title, other title disputes).

Small Claims Cases

A major classification subcategory of civil cases (either tort, contract, or real property claims) that are governed by statutorily defined summary procedures and in which the remedy sought is a specific, limited amount of monetary damages.

Probate/Estate Cases

A major classification subcategory of civil cases that includes the establishment of guardianships, conservatorships, and trusteeships; the administration of estates of deceased persons who died testate or intestate, including the settling of legal disputes concerning wills; and the hearing of elder abuse allegations.

Guardianship - Adult: A subcategory of estate cases that includes cases involving the establishment of, or a controversy over, the relation existing between a person (guardian) lawfully invested with the power and charged with the duty of taking care of the rights of another adult (ward) who is considered by the court as incapable of caring for himself/herself.

Guardianship - Juvenile: A subcategory of estate cases that includes cases involving the establishment of, or a controversy over, the relation existing between a person (guardian) lawfully invested with the power and charged with the duty of taking care of the rights of another juvenile (ward) who is considered by the court as incapable of caring for himself/herself.

Conservatorship/Trusteeship Cases: A subcategory of estate cases that includes cases involving the establishment of, or a controversy over 1) the relation existing between a person (conservator) lawfully invested with the power and charged with the duty of taking care of the property of another person (ward) who is considered by the court as incapable of managing his or her own affairs and 2) the legal possession of real or personal property held by one person (trustee) for the benefit of another.

Probate/Wills/Intestate Cases: A subcategory of estate cases that includes cases involving 1) the determination of whether a will is a valid instrument; 2) the statutory method of establishing its proper execution; and 3) the determination, in the absence of a will, of the disposition of the decedent's estate. Court actions providing for estate administration, appointment of executors, inheritances, and so forth should be included in this category.

Elder Abuse Case: Although the definition of elder abuse varies by state, seven types of offenses are usually included: physical abuse, sexual abuse, psychological abuse, neglect, abandonment and isolation, financial or fiduciary abuse, and self-neglect. Physical abuse is generally defined as improper use of physical force that may or does result in bodily harm, injury, physical pain, or restraint of an individual. Sexual abuse is any non-consensual sexual touching or contact with an elderly person or a person who is incapable of giving consent (e.g., a mentally disabled individual). Psychological abuse is the intentional or reckless infliction of psychological pain, injury, suffering, or distress through verbal or nonverbal acts. Neglect is the failure to provide for the care and treatment or safety of an elder. Abandonment is the desertion of an elderly person by an individual responsible for providing care or by a person with physical custody of an elder. Financial or fiduciary abuse is the illegal or improper use of an elder's funds, property, or assets, or the conversion or misappropriation of such property, for uses other than for the elder. Self-neglect is behavior of an elderly person that threatens his/her own health or safety.

Other Probate/Estate Case: A subcategory of estate cases including cases of unknown specificity or cases that are not attributable to any of the previously defined probate/estate categories.

Mental Health Cases

A major classification subcategory of civil cases that includes cases in which a court is requested to make a legal determination as to whether an individual is mentally ill or incompetent and should be placed, or should remain, under care, custody, and/or treatment.

Civil Appeals Cases

A major classification subcategory of civil cases typically brought in the court of general jurisdiction disputing the finding of a limited jurisdiction trial court, department, or administrative agency.

Administrative Agency Case: A subcategory of civil appeals cases brought in the court of general jurisdiction disputing the ruling or finding of an administrative agency.

Limited Jurisdiction Trial Court Ruling Case: A subcategory of civil appeals cases brought in the court of general jurisdiction disputing the ruling or judgment of a limited jurisdiction trial court.

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Civil Case Type Definitions *(continued)*

Civil Appeals Cases *(continued)*

Other Civil Appeals Case: A subcategory of civil appeals cases brought in the court of general jurisdiction, including cases of unknown specificity or cases that are not an appeal of an administrative agency, a limited jurisdiction trial court, or department ruling.

Miscellaneous Civil Cases

A major classification subcategory of civil cases for less prevalent types of civil cases, such as tax and writ cases.

Habeas Corpus Case: A subcategory of miscellaneous civil cases. A type of writ designed to test the legality of the detention or imprisonment of an individual, not the question of guilt or innocence.

Non-Domestic Relations Restraining Order Case: A subcategory of miscellaneous civil cases, including any petition for a restraining order that does not result from a domestic altercation or is not between parties typically in a domestic relationship.

Tax Case: A subcategory of miscellaneous civil cases typically brought by a government agency against an individual or business for failure to pay taxes previously assessed.

Writ Involving Prison Conditions Case: A subcategory of miscellaneous civil cases. A type of extraordinary writ wherein a prisoner petitions the court for relief from the treatment or conditions in the prison.

Other Writs: A subcategory of other civil cases including writs of unknown specificity or not involving writs of habeas corpus or prison conditions.

Other Civil Cases

A major classification subcategory of civil cases, including cases of unknown specificity or cases not attributable to one of the other previously defined civil case categories.

Civil - Caseload Summary Matrix

General Civil

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Tort					
Automobile Tort					
Intentional Tort					
Malpractice - Medical					
Malpractice - Legal					
Malpractice - Other Professional					
Total Malpractice					
Premises Liability					
Product Liability - Asbestos					
Product Liability - Tobacco					
Product Liability - Toxic/Other					
Total Product Liability					
Slander/Libel/Defamation					
Other Tort					
TOTAL Tort					
Contract					
Buyer Plaintiff					
Employment Dispute - Discrimination					
Employment Dispute - Other					
Total Employment Dispute					
Fraud					
Landlord/Tenant - Unlawful Detainer					
Landlord/Tenant Dispute - Other					
Total Landlord/Tenant					
Mortgage Foreclosure					
Seller Plaintiff (Debt Collection)					
Other Contract					
TOTAL Contract					
Real Property					
Eminent Domain					
Other Real Property					
TOTAL Real Property					

Civil - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Small Claims					
Probate/Estate					
Guardianship - Adult					
Guardianship - Juvenile					
Total Guardianship					
Conservatorship/Trusteeship					
Probate/Wills/Intestate					
Elder Abuse					
Other Probate/Estate					
TOTAL Probate/Estate					
Mental Health					
Civil Appeals					
Administrative Agency					
Limited Jurisdiction Trial Court Ruling					
Other Civil Appeals					
TOTAL Civil Appeals					
Miscellaneous					
Habeas Corpus					
Non-Domestic Relations Restraining Order					
Tax					
Writ Involving Prison Conditions					
Other Writs					
TOTAL Miscellaneous					
Other Civil					
GRAND TOTAL					

Civil - Manner of Disposition Matrix

General Civil

Case Type	Non-Trial Dispositions						
	Dism'd- Want of Pros.	Default Judgment	Summary Judgment	Settled / Withdrawn			Other Dismissal
				Without Judicial Action	With Judicial Action	Alternative Dispute Resolution	
Tort							
Automobile Tort							
Intentional Tort							
Malpractice - Medical							
Malpractice - Legal							
Malpractice - Other Professional							
Total Malpractice							
Premises Liability							
Product Liability - Asbestos							
Product Liability - Tobacco							
Product Liability - Toxic/Other							
Total Product Liability							
Slander/Libel/Defamation							
Other Tort							
TOTAL Tort							
Contract							
Buyer Plaintiff							
Employment Dispute - Discrimination							
Employment Dispute - Other							
Total Employment Dispute							
Fraud							
Landlord/Tenant - Unlawful Detainer							
Landlord/Tenant Dispute - Other							
Total Landlord/Tenant Dispute							
Mortgage Foreclosure							
Seller Plaintiff (Debt Collection)							
Other Contract							
TOTAL Contract							
Real Property							
Eminent Domain							
Other Real Property							
TOTAL Real Property							

Civil - Manner of Disposition Matrix

Case Type	Non-Trial Dispositions						
	Dism'd- Want of Pros.	Default / Uncontested	Summary Judgment	Settled / Withdrawn			Other Dismissal
				Without Judicial Action	With Judicial Action	Alternative Dispute Resolution	
Small Claims							
Probate/Estate							
Guardianship - Adult							
Guardianship - Juvenile							
Total Guardianship							
Conservatorship/Trusteeship							
Probate/Wills/Intestate							
Elder Abuse							
Other Probate/Estate							
TOTAL Probate/Estate							
Mental Health							
Civil Appeals							
Administrative Agency							
Limited Jurisdiction Trial Court Ruling							
Other Civil Appeals							
TOTAL Civil Appeals							
Miscellaneous							
Habeas Corpus							
Non-Domestic Relations Restraining Order							
Tax Cases							
Writ Involving Prison Conditions							
Other Writs							
TOTAL Miscellaneous							
Other Civil							
GRAND TOTAL							

Domestic Relations Case Reporting

Domestic Relations Case Reporting

Introduction

The domestic relations case reporting matrices are new to this edition of the *State Court Guide to Statistical Reporting*. Previously, domestic relations cases were reported as a subcategory of civil cases. However, since domestic relations cases make up approximately 25 percent of the total state court civil caseload, there are sound management and policy reasons for improved understanding of these unique, sensitive, and resource-intensive cases.

Three features of these new reporting matrices deserve special mention and discussion since they are not typically distinguished in state court caseload reporting at the state or local trial court level.

First, a reporting category has been included for domestic relations cases involving individuals who have not been married to each other. Typically, these cases stem from an action for child support brought by the state under Title IV-D of the Social Security Act of 1973 (Title IV-D). Given the continued emphasis on establishing paternity and support obligations, such cases are likely to contribute to the court's workload and should be counted and distinguished from post-judgment, divorce-related custody and support cases.

Second, a subcategory has been created under child support-related matters to distinguish and report child support cases that are brought by private parties outside the framework of Title IV-D. Making this distinction allows courts to accurately record and analyze what percentage of the child support caseload qualifies for financial support from the federal government through the state IV-D agency.

Third, the *Caseload Summary* matrix has been redesigned to capture more detailed information about case activity. In addition to reporting new filings and dispositions, the prototype now allows for the reporting of **Active** and **Inactive** pending cases, **Reopened** and **Reactivated** cases, **Entry of Judgment** and **Reopened Dispositions**, and cases that are **Placed on Inactive Status**. The reporting categories have been augmented to gain a better understanding of court *workload*. Examples assist in explaining how to record different case management events.

Unit of Count: Domestic Relations

Count the *filing* of a complaint or petition with the clerk of court as the beginning of a domestic relations case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that case type category disposed by the court during the reporting period. Report the number of domestic relations filings and dispositions by case type according to the subject matter at issue as defined in the *Domestic Relations Case Type Definitions*.

Marriage dissolution cases include provisions for custody, support, alimony, and the like in the decree or judgment. Thus, for purposes of statistical reporting, the initial filing and disposition of a divorce case (including all related issues) should be classified under **Marriage Dissolution/Divorce**. If after disposition of the case related issues arise and are brought back into the court, the case should be counted as reopened and reported in the appropriate case type category.

Child support and custody/visitation cases are only counted as the original filing if they are not part of a marriage dissolution case. In general, cases of this type will be initiated by non-married individuals.

The *Manner of Disposition* matrix provides a means to report the manner in which trial court domestic relations cases were disposed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved. When there is more than one dispositive action in a case, count as the disposition the action requiring the most judicial involvement. In other words, prioritize the dispositive actions as follows:

- Jury trial
- Bench trial
- Summary judgment
- Settlement
- Default judgment
- Dismissed—want of prosecution
- Transfer to another court
- Other

Notes:

Alternative Dispute Resolution (ADR): When a case has been referred *by the court* to alternative dispute resolution, we recommend that the court note the referral and track subsequent case activity under the case number initially assigned. The court should also report the number of cases resolved through ADR processes in the **Alternative Dispute Resolution** column of the *Manner of Disposition* matrix.

Inactive case: Cases that are administratively classified as inactive should be reported in the *Caseload Summary* matrix as **Placed on Inactive Status**. When the case is reactivated, report it as a **Reactivated** case, classified by the case type. For example, a divorce case should be placed on inactive pending status if the parties to the divorce announce their intention to reconcile, and the court suspends further activity in the case.

Reopened case: Cases in which a judgment has previously been entered, but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce that existing judgment should be reported in the *Caseload Summary* matrix as **Reopened**. When the reopened case is disposed of, report the case in the *Caseload Summary* matrix in the **Dispositions** column in the column labeled **Reopened**. For example, a divorce case that was previously disposed of, but later brought forward on a request to change the support order, should be considered a reopened case.

Domestic Relations - Caseload Summary Examples

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
<i>Example 1 -</i> Custody (non-divorce)		5 (a)	50 (b)		5 (c)
<i>Example 2 -</i> Marriage Dissolution	80 (a)				
Visitation (non-divorce)				40 (c)	
<i>Example 3 -</i> Support (non-divorce)			100 (a)		
<i>Example 4 -</i> Adoption			60 (a)		60 (c)
TOTAL Domestic Relations	80	5	210	40	65

Example 1: At the beginning of the reporting period, there are 5 Custody (non-divorce) cases that have been classified as inactive (a). During the reporting period, 50 Custody (non-divorce) cases are filed with the court (b) and the 5 inactive pending cases are reactivated (c). Thirty-five (35) cases are disposed during the reporting period (d). The remaining 20 cases are still awaiting disposition at the end of the reporting period and are recorded as *End Pending - Active* (e).

Example 2: Eighty (80) Marriage Dissolution cases are in *Begin Pending - Active* status at the beginning of the reporting period (a). All 80 cases are disposed during the reporting period (b). In 40 of the cases, the parties file motions to amend the original visitation orders. The new hearings are filed during the reporting period as *Reopened* Visitation cases (c), the visitation orders are modified, and the cases are then counted as *Reopened Dispositions* under Visitation (d).

Example 3: During the reporting period, 100 Support (non-divorce) cases are newly filed with the court (a). Seventy-five (75) defendants appear for court and their cases are disposed of (b). The 25 remaining defendants file for bankruptcy. While awaiting the results of the bankruptcy proceedings, these 25 cases are *Placed on Inactive Status* (c). The reporting period ends while all 25 cases are still in inactive status (d).

Example 4: During the reporting period, 60 Adoption cases are filed with the court (a). In all 60 cases, declaratory judgment proceedings begin for related civil cases, and the Adoption cases are *Placed on Inactive Status* (b). Judgments are entered for those related cases during the reporting period, and all 60 Adoption cases are restored to active status; i.e., *Reactivated* (c). All 60 cases are then disposed of (d) during the reporting period.

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
35 (d)			20 (e)	
80 (b)				
	40 (d)			
75 (b)		25 (c)		25 (d)
60 (d)		60 (b)		
250	40	85	20	25

Calculating Pending Caseloads

When using all ten available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending - Inactive* caseload is calculated by adding the *Begin Pending - Active*, *New Filing*, *Reopened*, and *Reactivated* cases, and subtract the sum of the *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status* cases.

Begin Active Pending	80	
+ New Filing	210	
+ Reopened	40	
+ Reactivated	65	
	<u>395</u>	
		395
Entry of Judgment	250	
+ Reopened Dispositions	40	
+ Placed on Inactive Status	85	
	<u>(375)</u>	
End Active Pending		20

The inactive pending caseload calculation is also straightforward. Add the number of *Begin Pending - Inactive* and *Placed on Inactive Status* cases and subtract the number of *Reactivated* cases.

Begin Inactive Pending	5	
+ Placed on Inactive Status	85	
	<u>90</u>	
		90
Reactivated	65	
	<u>(65)</u>	
End Inactive Pending		25

3A. Domestic Relations - Caseload Summary Matrix

	Case Type	Begin Pending		New Filing	Reopened	Reactivated
		Active	Inactive			
Newly Filed or Reopened Cases	Marriage Dissolution/Divorce				N/A	
	Paternity					
	Custody (non-divorce)					
	Support (non-divorce)					
	IV-D Intrastate					
	IV-D UIFSA					
	IV-D Other					
	Private (non-IV-D)					
	Other Support (non-divorce)					
	TOTAL Support (non-divorce)					
	Visitation (non-divorce)					
	Adoption					
	Civil Protection/Restraining Order					
	Other Domestic Relations					
	Reopened Cases	Custody (divorce)			N/A	
Support (divorce)						
IV-D Intrastate				N/A		
IV-D UIFSA				N/A		
IV-D Other				N/A		
Private (non-IV-D)				N/A		
Other Support (divorce)				N/A		
TOTAL Support (divorce)				N/A		
Visitation (divorce)			N/A			
GRAND TOTAL						

Domestic Relations - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

Reactivated: A count of cases that had previously been placed in an inactive pending status, but for which further court proceedings and activities can now be resumed so that the case can proceed to disposition.

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3B. Domestic Relations - Manner of Disposition Matrix

Case Type	Non-Trial Dispositions						
	Dism'd- Want of Pros.	Default Judgment	Settled/Withdrawn			Transfer to Another Court	Other Dismissal
			W/o Judicial Conf. or Hearing	With Judicial Conf. or Hearing	Alternative Dispute Resolution		
Marriage Dissolution/Divorce							
Paternity							
Custody (non-divorce)							
Support (non-divorce)							
IV-D Intrastate							
IV-D UIFSA							
IV-D Other							
Private (non-IV-D)							
Other Support (non-divorce)							
TOTAL Support (non-divorce)							
Visitation (non-divorce)							
Adoption							
Civil Protection Order/Restraining Order							
Other Domestic Relations							
Custody (divorce)							
Support (divorce)							
IV-D Intrastate							
IV-D UIFSA							
IV-D Other							
Private (non-IV-D)							
Other Support (divorce)							
TOTAL Support (divorce)							
Visitation (divorce)							
GRAND TOTAL							

Domestic Relations - Manner of Disposition Definitions

Domestic Relations Non-Trial Dispositions: A major classification category for domestic relations case dispositions in which a case is disposed of by a dismissal, default, transfer, or other non-trial action.

Dismissed for Want of Prosecution (nonsuit): A subcategory of domestic relations non-trial dispositions involving cases dismissed by the court because the plaintiff has ceased to pursue a case.

Default: A subcategory of domestic relations non-trial dispositions involving cases in which the defendant(s) either chose not to or failed to respond to (i.e., answer) the plaintiff's allegations. Similar terminology: default judgment.

Settled/Withdrawn Without Judicial Conference or Hearing: A subcategory of domestic relations non-trial dispositions for cases settled out of court and voluntarily withdrawn from the court docket by the plaintiff and/or by joint stipulation without a conference or hearing with a judicial officer.

Settled/Withdrawn With Judicial Conference or Hearing: A subcategory of domestic relations non-trial dispositions for cases settled and voluntarily withdrawn from the court docket by the plaintiff and/or by joint stipulation following a conference or hearing with a judicial officer.

Settled/Withdrawn by Alternative Dispute Resolution (ADR): A subcategory of domestic relations non-trial dispositions involving cases that were referred *by the court* to programs such as mediation or arbitration and, through those processes, were successfully settled and/or withdrawn from the court docket during the reporting period.

Transfer/Removal: A subcategory of domestic relations non-trial dispositions including cases not disposed of by the trial court in which they were filed, but rather removed to different trial courts with jurisdiction over those cases for the purpose of disposition.

Other Dismissal: A subcategory of domestic relations non-trial dispositions including ones of unknown specificity or dispositions not attributable to one of the other previously defined categories.

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Domestic Relations Case Type Definitions

Domestic Relations Case

A broad classification category for trial court caseloads that includes cases involving actions between family members (or others considered to be involved in a domestic relationship), such as marriage dissolution/divorce, paternity, custody/visitation, support, adoption, civil protection/restraining orders, and other domestic relations cases. These may include actions by unmarried individuals to resolve issues of support or custody.

Specific types of domestic relations cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Marriage Dissolution/Divorce Case

A major classification of domestic relations cases that includes cases involving divorce or annulment.

Paternity Case

A major classification category of domestic relations cases that includes cases intended to establish the identity and/or responsibilities of the father of a minor child.

Custody (non-divorce) Case

A major classification category of domestic relations cases that includes cases in which an individual requests that a court make a determination regarding the control or care of a child. Do not include in this category cases in which custody/visitation issues are part of a marriage dissolution/divorce proceeding.

Support (non-divorce) Case

A major classification category of domestic relations cases that includes cases filed by a parent/guardian to request maintenance of that parent/guardian or a minor child by a person who is required, by law, to provide such maintenance. Do not include in this category cases in which support issues are part of a marriage dissolution/divorce proceeding.

IV-D - Intrastate: A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or minor child by a person living in the same state who is required, under Title IV-D of the Social Security Act of 1973, to provide such maintenance.

IV-D - UIFSA (Uniform Interstate Family Support Act): A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or a minor child by a person living in a different state who is required, under Title IV-D of the Social Security Act of 1973, to provide such maintenance.

IV-D - Other: A subcategory of IV-D support (non-divorce) cases that includes cases of unknown specificity or cases not attributable to one of the other previously defined IV-D support (non-divorce) categories.

Private (non-IV-D): A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or a minor child by a person who is required by law, but who is not under the auspices of Title IV-D of the Social Security Act of 1973, to provide such maintenance.

Other Support (non-divorce): A subcategory of support (non-divorce) cases that includes cases of unknown specificity or cases not attributable to one of the other previously defined support (non-divorce) categories.

Visitation (non-divorce) Case

A major classification category of domestic relations cases that includes cases in which an individual requests that a court schedule the time the individual will spend with the minor children. Such requests can be brought before the court by parents, grandparents, or other family members. Do not include in this category cases in which custody/visitation issues are part of a marriage dissolution/divorce proceeding.

Adoption Case

A major classification category of domestic relations cases that includes cases involving a request for the establishment of a new, permanent relationship of parent and child between persons not having that relationship naturally.

Civil Protection Order/Restraining Order Case

A major classification category of domestic relations cases that includes cases in which the court has issued a protection or restraining order designed to limit or eliminate the contact between two or more individuals.

(continued on next page)

Domestic Relations Case *(continued)*

Other Domestic Relations Case

A major classification category of domestic relations cases that includes cases of unknown specificity or cases not attributable to one of the other previously defined domestic relations categories.

Custody (divorce) Case

A major classification category of domestic relations cases that includes cases in which an individual requests that a court make a determination regarding the control or care of a child. These cases arise from previously decided marriage dissolution/divorce cases and must be reported as reopened cases.

Support (divorce) Case

A major classification category of domestic relations cases that includes cases filed by a parent/guardian to request maintenance of that parent/guardian or a minor child by a person who is required, by law, to provide such maintenance. These cases arise from previously decided marriage dissolution/divorce cases and must be reported as reopened cases.

IV-D - Intrastate: A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or minor child by a person living in the same state who is required, under Title IV-D of the Social Security Act of 1973, to provide such maintenance.

IV-D - UIFSA (Uniform Interstate Family Support Act): A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or a minor child by a person living in a different state who is required, under Title IV-D of the Social Security Act of 1973, to provide such maintenance.

IV-D - Other: A subcategory of IV-D support (divorce) cases that includes cases of unknown specificity or cases not attributable to one of the other previously defined IV-D support (divorce) categories.

Private (non-IV-D): A subcategory of support (non-divorce) cases that includes cases filed to request maintenance of a parent/guardian or a minor child by a person who is required by law, but who is not under the auspices of Title IV-D of the Social Security Act of 1973, to provide such maintenance.

Other Support (divorce): A subcategory of support (divorce) cases that includes cases of unknown specificity or cases not attributable to one of the other previously defined support (divorce) categories.

Visitation (divorce) Case

A major classification category of domestic relations cases that includes cases in which an individual requests that a court schedule the time the individual(s) will spend with the minor children. These cases arise from previously decided marriage dissolution/divorce cases and must be reported as reopened cases.

Domestic Relations - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Marriage Dissolution/Divorce				N/A	
Paternity					
Custody (non-divorce)					
Support (non-divorce)					
IV-D Intrastate					
IV-D UIFSA					
IV-D Other					
Private (non-IV-D)					
Other Support (non-divorce)					
TOTAL Support (non-divorce)					
Visitation (non-divorce)					
Adoption					
Civil Protection/Restraining Order					
Other Domestic Relations					
Custody (divorce)			N/A		
Support (divorce)					
IV-D Intrastate			N/A		
IV-D UIFSA			N/A		
IV-D Other			N/A		
Private (non-IV-D)			N/A		
Other Support (divorce)			N/A		
TOTAL Support (divorce)			N/A		
Visitation (divorce)			N/A		
GRAND TOTAL					

Newly Filed or Reopened Cases

Reopened Cases

Domestic Relations - Manner of Disposition Matrix

Case Type	Non-Trial Dispositions						
	Dismissed for Want of Pros.	Default Judgment	Settled/Withdrawn			Transfer to Another Court	Other Dismissal
			W/o Judicial Conf. or Hearing	With Judicial Conf. or Hearing	Alternative Dispute Resolution		
Marriage Dissolution/Divorce							
Paternity							
Custody (non-divorce)							
Support (non-divorce)							
IV-D Intrastate							
IV-D UIFSA							
IV-D Other							
Private (non-IV-D)							
Other Support (non-divorce)							
TOTAL Support (non-divorce)							
Visitation (non-divorce)							
Adoption							
Civil Protection/Restraining Order							
Other Domestic Relations							
Custody (divorce)							
Support (divorce)							
IV-D Intrastate							
IV-D UIFSA							
IV-D Other							
Private (non-IV-D)							
Other Support (divorce)							
TOTAL Support (divorce)							
Visitation (divorce)							
GRAND TOTAL							

Criminal Case Reporting

Criminal Case Reporting

Introduction

The criminal case reporting matrices have been completely redesigned, with changes emphasizing the collection of more detailed information on offense seriousness and the ability to capture the offense elements that often determine how a case will be processed through the system. Three features of the new reporting scheme deserve special mention and discussion.

First, as under the old reporting scheme, a distinction is made between felony and misdemeanor cases. The new *Caseload Summary* and *Manner of Disposition* matrices encourage a more comprehensive count by distinguishing major subcategories of the criminal caseload: **Person, Domestic Violence, Property, Drug, Weapon, Public Order**, and three **Motor Vehicle** offenses. In addition, categories track the number of **Appeals from Limited Jurisdiction Courts**, and an **Other Criminal** category tracks cases that do not fit within the specified classifications.

Second, the *Caseload Summary* matrix has been redesigned to capture more detailed information about case activity. In addition to reporting new filings and dispositions, the matrix now allows for the reporting of **Active** and **Inactive** pending cases, **Reopened** and **Reactivated** cases, **Entry of Judgment** and **Reopened Dispositions**, and cases that are **Placed on Inactive Status**. The reporting categories have been augmented to gain a better understanding of court *workload*. Examples assist in explaining how to record different case management events.

Third, the revised *Manner of Disposition* matrix allows for consistency with the *Caseload Summary* matrix by using more descriptive and up-to-date disposition types to better describe workload in the courts. The *Manner of Disposition* matrix is separated into **Trial Dispositions** and **Non-Trial Dispositions**. Non-Trial dispositions include **Guilty Plea, Nolle Prosequi, Deferred Adjudication, Dismissal, Transfer to Another Court, Bindover** (for lower jurisdiction courts), and **Other Non-Trial** categories. Trial categories distinguish between **Jury Trial** and **Bench Trial** dispositions, with subcategories of **Guilty Verdict or Guilty Judgment, Acquittal, and Guilty Plea After Trial Start**.

An important advantage of the new criminal case reporting scheme is the ability to better match offense types with other justice system coding schemes for purposes of case tracking and data unification. The new definitions, developed by the Court Statistics Project (CSP) advisory committee and staff, are general categories for reporting the types of criminal cases that flow through the courts. They are not meant to be legal definitions of crimes; rather, they are a means to map various criminal case type terminologies across states into similar categories. State statutes must be very specific in defining crimes so that persons facing prosecution will know the exact charges being placed against them. Unlike state statutes, CSP definitions must be generic in order not to exclude varying state statutes relating to the same type of offense. Accordingly, the new CSP offense-reporting categories represent groups of offenses based in the Uniform

Crime Reporting (UCR) and National Incident-Based Reporting System (NIBRS) definitions maintained by the FBI.

The FBI uses common legal definitions found in *Black's Law Dictionary*, the *Uniform Crime Reporting Handbook*, and the National Crime Information Center (NCIC) Uniform Offense Classifications. Since many state statutes are also based on common legal definitions (though they may vary as to specifics), most should be able to translate their unique case types into the new CSP categories. In fact, many states are already capable of this.

Since some states are already capable of reporting criminal cases using various coding schemes (like NIBRS, UCR, or NCIC), the Court Statistics Project has created cross-reference tables to translate the most common coding formats into the new CSP categories. Two are included here: (1) the new CSP case categories cross-referenced to NIBRS codes and (2) the new CSP case categories cross-referenced to UCR codes.

Other tables and publications cross-reference frequently used offense-coding schemes. A good site for this type of reference information is the Justice Research and Statistics Association Incident-Based Reporting (JSRA IBR) Resource Center at www.jrsainfo.org/ibrrc/index.html. In addition, complete definitions of UCR and NIBRS offenses are available on the FBI UCR Web site at www.fbi.gov/ucr/ucr.htm.

Unit of Count: Criminal

Count the *filing* of the original charging document (complaint, information, or indictment) as the beginning of the case in trial courts. A criminal case is generally initiated by a complaint while trial proceedings at the second step of a felony case are usually initiated by an information/indictment. In some jurisdictions the document filed to bind over a defendant until a grand jury decides whether to issue an indictment is also called a “complaint” (from *Dictionary of Criminal Justice Data Terminology*).

The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category disposed by the court during the reporting period. Report the number of criminal filings and dispositions by case type, according to the subject matter at issue as defined in the *Criminal Case Type Definitions*.

In a criminal case, count the defendant and all charges involved in a single incident as a single case. If the charging document contains multiple defendants involved in a single incident, count each defendant as a single case.

- Report the number of felonies and misdemeanors separately, and define the limits of punishment as set by constitution or statute.
- Report filings by the most serious offense (either felony or misdemeanor); counting the filing of the original charging document as the beginning of the case. In the *Caseload Summary* matrix, report the disposition of a criminal case by the same case type category that was reported when the case was filed. For example, when a criminal case is filed as a felony, but is subsequently reduced to a misdemeanor, either in general or limited jurisdiction court, report both the filing and disposition as a felony on the *Caseload Summary* matrix.
- In the *Manner of Disposition* matrix, report dispositions according to the case type that was disposed. For example, if the criminal case type category changes, either from a felony to a misdemeanor or from one felony or misdemeanor case type to another felony or misdemeanor case type, report the disposition according to the final case type category.
- If the defendant pleads guilty to a reduced charge, the manner of disposition should be reported under **Guilty Plea** (classified by the case type that was pled to) in the *Manner of Disposition* matrix.
- If the charge is reduced and a trial is held, report the trial outcome under the appropriate jury or bench trial disposition category (classified by the case type for which the trial was held).
- Preliminary hearings, when held in the same court that will try the case, are only one step in case processing and should not be reported separately.
- When preliminary hearings are held in a limited jurisdiction court, their manner of disposition should be reported. If probable cause is found, and the defendant is *bound over* to a general jurisdiction court, report the manner of disposition in the limited jurisdiction court as a **Bindover** disposition in the *Manner of Disposition* matrix.

- If a preliminary hearing is held and no probable cause is found, report the termination under **Dismissal** in the *Manner of Disposition* matrix.
- When a misdemeanor is filed in a limited jurisdiction court, but is subsequently upgraded to a felony, report the filing as a misdemeanor and the disposition as a **Bindover** disposition in the *Manner of Disposition* matrix. The filing and disposition of the case in the general jurisdiction court should be reported as a felony (the assumption being that if a misdemeanor case is bound over to the general jurisdiction court, it must have been reclassified as a felony).

The *Manner of Disposition* matrix provides a means to report how trial court criminal cases were disposed. For cases involving multiple parties/issues, and for which the court does not sever those parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved. When there is more than one type of dispositive action in a case, count as the disposition the action requiring the most judicial involvement. In other words, prioritize the dispositive actions as follows:

- Jury trial
- Bench trial
- Deferred adjudication
- Guilty plea
- Nolle prosequi
- Dismissed
- Bindover (in lower jurisdiction court)
- Transfer to another court
- Other

Notes:

Consolidated case: This is a case in which two or more charges/defendants named in separate filing documents are tried/prosecuted together, or where a given defendant is prosecuted on matters contained in two or more filing documents. In reporting trial court dispositions, all the cases except the one into which the cases were consolidated should be reported as disposed at the time of consolidation, and the disposition(s) should be reported in the *Manner of Disposition* matrix under **Other Dispositions**. When the consolidated case has been decided, the disposition should be reported under the appropriate manner of disposition category.

For reporting purposes, the consolidated case will account for only one disposition, but an accounting of what happened to the defendants will appear in the appropriate subcategories for type of decision, since these statistics indicate what happened to the defendant(s).

Severance: In trial court criminal proceedings, severance is the separation, for purposes of pleading or trial, of multiple defendants named in a single filing document, or of multiple complaints or charges against a particular defendant listed in a single filing document. If severance is ordered in a multiple defendant case, maintain the original case, and count each severed defendant as a new filing in a separate case. If complaints or charges are severed, count each new or severed filing document as a new case filing.

Inactive case: Cases that are administratively classified as inactive should be reported in the *Caseload Summary* matrix as **Placed on Inactive Status**. When the case is reactivated, report it as a **Reactivated** case, classified by case type. For example, a criminal case should be placed on inactive pending status if the defendant has absconded, an arrest order has been issued, and the court has suspended activity until the defendant is apprehended.

Reopened case: Cases in which a judgment has previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce that existing judgment should be reported in the *Caseload Summary* matrix as **Reopened**. When the reopened case is disposed of, report the case in the *Caseload Summary* matrix in the **Dispositions** column in the column labeled **Reopened**. For example, a criminal case that was previously disposed, but then returned to the court's pending docket by an allegation that the offender has violated the terms of his or her probation should be considered a reopened case.

Uniform Crime Reporting (UCR and NIBRS coding)

The following table cross-references the CSP's criminal case types with the FBI's UCR and NIBRS codes. Complete definitions of UCR and NIBRS offenses are available on the FBI UCR Web site at www.fbi.gov/ucr/ucr.htm.

Person (CSP case type)

UCR Part I Offenses

Murder/Manslaughter
Rape
Robbery
Aggravated Assault
Other Assaults
Sex Offenses (not Rape and Prostitution)

NIBRS Offenses

Assault Offenses
 Aggravated Assault (13A)
 Simple Assault (13B)
 Intimidation (13C)
Homicide Offenses
 Murder and Non-negligent Manslaughter (09A)
 Negligent Manslaughter (09B)
 Justifiable Homicide (09C)
Kidnapping/Abduction (100)
Robbery (120)
Sex Offenses, Forcible
 Forcible Rape (11A)
 Forcible Sodomy (11B)
 Sexual Assault with an Object (11C)
 Forcible Fondling (11D)
Sex Offenses, Nonforcible
 Incest (36A)
 Statutory Rape (36B)

Property

UCR Part I Offenses

Burglary
Larceny
Auto Theft
Arson
Forgery and Counterfeiting
Fraud
Embezzlement
Stolen Property; Buying, Receiving

NIBRS Offenses

Arson (200)
Bribery (510)
Burglary/Breaking and Entering (220)
Counterfeiting/Forgery (250)
Destruction/Damage/Vandalism of Property (290)
Embezzlement (270)
Extortion/Blackmail (210)
Fraud Offenses
 False Pretenses/Swindle/Confidence Game (26A)
 Credit Card/Automated Teller Machine Fraud (26B)
 Impersonation (26C)
 Welfare Fraud (26D)
 Wire Fraud (26E)
Stolen Property Offenses (Receiving, etc.) (280)
Bad Checks (90A)
Trespass of Real Property (90J)

Drugs

UCR Part I Offenses

Drug Abuse Violations

NIBRS Offenses

Drug/Narcotic Offenses
 Drug/Narcotic Violations (35A)
 Drug Equipment Violations (35B)

Weapons

UCR Part I Offenses

Weapons; Carrying, Possessing, etc.

NIBRS Offenses

Weapon Law Violations (520)

Public Order

UCR Part I Offenses

Prostitution and Commercialized Vice
Gambling
Liquor Laws
Drunkenness
Disorderly Conduct
Vagrancy

NIBRS Offenses

Gambling Offenses
Betting/Wagering (39A)
Operating/Promoting/Assisting Gambling (39B)
Gambling Equipment Violations (39C)
Sports Tampering (39D)
Pornography/Obscene Material (370)
Prostitution Offenses
Prostitution (40A)
Assisting or Promoting Prostitution (40B)
Curfew/Loitering/Vagrancy Violations (90B)
Disorderly Conduct (90C)
Drunkenness (90E)
Liquor Law Violations (90G)
Peeping Tom (90H)

DWI/DUI

UCR Part I Offenses

Driving Under the Influence

NIBRS Offenses

Driving Under the Influence (90D)

Other

UCR Part I Offenses

All Other Offenses
Suspicion

NIBRS Offenses

All Other Offenses (90Z)

Criminal - Caseload Summary Examples

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Felony					
<i>Example 1</i> - Person		5 (a)	50 (b)		5 (c)
<i>Example 2</i> - Domestic Violence	80 (a)			40 (c)	
<i>Example 3</i> - Property			100 (a)		
<i>Example 4</i> - Drug			60 (a)		60 (c)
TOTAL Felony	80	5	210	40	65

Example 1: At the beginning of the reporting period, there are 5 felony Person cases that have been classified as *Begin Pending - Inactive* (a). During the reporting period, 50 felony Person cases are filed with the court (b), and the 5 inactive pending cases are *Reactivated* (c). Thirty-five (35) cases are resolved—a judgment is entered—(d). The remaining 20 cases are still awaiting disposition at the end of the reporting period and are recorded as *End Pending - Active* (e).

Example 2: Eighty (80) felony Domestic Violence cases are in *Begin Pending - Active* status at the beginning of the reporting period (a). A judgment is entered for all 80 cases (b). Forty (40) offenders violate the conditions set forth in their probation orders and must reappear before the court. The reappearances are filed during the reporting period as *Reopened* cases (c), sentences are imposed, and the cases are then counted as *Reopened Dispositions* (d).

Example 3: During the reporting period, 100 felony Property cases are newly filed with the court (a). Seventy-five (75) defendants appear for court and judgments are entered for those cases (b). The 25 remaining defendants fail to appear in court and arrest warrants are issued. After a period of time, these 25 cases are classified as inactive (c). The reporting period ends while all 25 cases are still considered to be in inactive status and are recorded as *End Pending - Inactive* cases (d).

Example 4: During the reporting period, 60 felony Drug cases are filed with the court (a). All 60 defendants fail to appear and warrants for their arrest are issued. After the requisite period, the cases are *Placed on Inactive Status* (b). The defendants are arrested during the reporting period, and the cases are restored to active status; i.e., *Reactivated* (c). All 60 cases are disposed of (d) during the reporting period.

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
35 (d)			20 (e)	
80 (b)	40 (d)			
75 (b)		25 (c)		25 (d)
60 (d)		60 (b)		
250	40	85	20	25

Calculating Pending Caseloads

When using all ten available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending - Active* caseload is calculated by adding the *Begin Pending - Active*, *New Filing*, *Reopened*, and *Reactivated* cases, and subtract the sum of the *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status* cases.

Begin Pending - Active	80	
+ New Filing	210	
+ Reopened	40	
+ Reactivated	<u>65</u>	
		395
Entry of Judgment	250	
+ Reopened Dispositions	40	
+ Placed on Inactive Status	<u>85</u>	
		(375)
End Pending - Active		20

The inactive pending caseload calculation is also straightforward. Add the number of *Begin Pending - Inactive* and *Placed on Inactive Status* cases and subtract the number of *Reactivated* cases.

Begin Pending - Inactive	5	
+ Placed on Inactive Status	<u>85</u>	
		90
Reactivated	<u>65</u>	
		(65)
End Pending - Inactive		25

4A. Criminal - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened
	Active	Inactive		
Felony				
Person				
Domestic Violence				
Property				
Drug				
Weapon				
Public Order				
Motor Vehicle - DWI/DUI				
Motor Vehicle - Reckless Driving				
Motor Vehicle - Other				
Total Motor Vehicle				
Other Felony				
TOTAL Felony				
Misdemeanor				
Person				
Domestic Violence				
Property				
Drug				
Weapon				
Public Order				
Motor Vehicle - DWI/DUI				
Motor Vehicle - Reckless Driving				
Motor Vehicle - Other				
Total Motor Vehicle				
Protection Order Violation				
Other Misdemeanor				
TOTAL Misdemeanor				
Appeals from Limited Jurisdiction Courts				
Other Criminal				
GRAND TOTAL				

NOTE: See Introduction for a table that translates UCR (Uniform Crime Reporting) and NIBRS (National Incident-Based Reporting System) offense-reporting categories into the CSP's case types.

Criminal - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

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Case Type	Non-Trial Dispositions							
	Guilty Plea	Nolle Prosequi	Deferred Adjudication	Dismissal	Transfer to Another Court	Bindover (in LJ Court)	Other Non-Trial	Total Non-Trial Dispositions
Felony								
Person								
Domestic Violence								
Property								
Drugs								
Weapons								
Public Order								
Motor Vehicle - DWI/DUI								
Motor Vehicle - Reckless Driving								
Motor Vehicle - Other								
Total Motor Vehicle								
Other Felony								
TOTAL Felony								
Misdemeanor								
Person								
Domestic Violence								
Property								
Drugs								
Weapons								
Public Order								
Motor Vehicle - DWI/DUI								
Motor Vehicle - Reckless Driving								
Motor Vehicle - Other								
Total Motor Vehicle								
Protection Order Violation								
Other Misdemeanor								
TOTAL Misdemeanor								
Appeals from Limited Jurisdiction Courts								
Other Criminal								
GRAND TOTAL								

Criminal - Manner of Disposition Definitions

Criminal Case Manner of Disposition: The manner in which a criminal case pending before a trial court is disposed. The statistics in the subcategories under criminal case manner of disposition should indicate a count of defendants, not counts or charges.

Criminal Non-trial Dispositions: A major classification category for criminal case dispositions for those cases in which the defendant enters a guilty plea, a case will not be prosecuted (nolle prosequi), adjudication is deferred, a case is dismissed, or any other type of disposition that does not entail either a jury or bench trial.

Guilty Plea: A subcategory of criminal non-trial dispositions for those cases in which the defendant admits having committed an offense with which he or she is charged. Classify as a guilty plea a plea that occurs before the trial begins. After trial begins, a guilty plea should be classified as a trial. Include in this category pleas to a lesser-included offense, less than all charges, substituted charge, etc. Include nolo contendere cases under guilty plea. Nolo contendere is not an admission of guilt, but it exposes the defendant to a finding of guilt. In some jurisdictions the defendant must appear before a judge to plead guilty. This should not be counted as a trial because no evidence is introduced.

Nolle Prosequi (before trial): A subcategory of criminal non-trial dispositions wherein the prosecutor formally declares before the start of a trial that he or she will not proceed further in a criminal case. In some jurisdictions the judge has discretion to control the prosecutor's right to nolle prosequi.

Deferred Adjudication: A subcategory of criminal non-trial dispositions that occurs when a judge, upon accepting a criminal defendant's plea of guilty, chooses to place the defendant on probation for a set term instead of making an adjudication of guilt. If the defendant successfully completes the term of probation then the judge will dismiss the case and discharge the defendant. In such a case, no conviction will be shown on the defendant's criminal record for the purpose of disabilities imposed by law for conviction of an offense. If, however, the defendant violates a provision of probation, the judge, after a hearing, may (and usually does) adjudicate the defendant's guilt (for the offense to which the defendant originally pleaded guilty) and impose punishment.

Dismissal (before trial): A subcategory of criminal non-trial dispositions in which any or all charges against a defendant are withdrawn or dropped by the court before trial.

Transfer/Removal: A subcategory of criminal non-trial dispositions including those cases not disposed of by the court in which it was originally filed, but rather removed to a different trial court with jurisdiction over that case for disposition. A new filing should be reported in the court to which the case is transferred. Also included under transferred cases are such dispositions as change of venue.

Bindover: A subcategory of criminal non-trial dispositions that occurs when a limited jurisdiction court, following a preliminary hearing for a felony case, finds probable cause, and the defendant is removed to a general jurisdiction court for trial.

Other Non-trial Disposition: A subcategory of criminal non-trial dispositions of unknown specificity or not attributable to one of the other previously defined criminal non-trial disposition categories.

(continued on next page)

Criminal Case Type Definitions

Criminal Case

A broad classification category for trial court caseloads that includes cases in which a defendant is charged with violation(s) of state law(s). Criminal cases are subdivided into five categories: felony cases, misdemeanor cases, appeals of limited jurisdiction trial court cases, other criminal cases, and post-judgment (reopened) cases.

Specific types of criminal cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Felony Case

A major classification subcategory of criminal cases involving an offense usually punishable by incarceration or death. Incarceration limits, which may be one year or more, are prescribed by statute. Probation or parole violations are counted as reopened felony filings and dispositions.

Person Case: A subcategory of criminal cases involving murder/manslaughter, sexual assault (including rape and sexual battery), robbery, and assault (including simple assault). These crime types are classified and defined by the Federal Bureau of Investigation's Uniform Crime Reporting (UCR) section.

Domestic Violence Case: A subcategory of criminal cases involving violence, coercion, or intimidation by a family or household member against another family or household member that could result in the filing of felony or misdemeanor charges, the issuance of a civil protection order, or an action for civil damages. Family or household members may include (a) persons who are current or former spouses; (b) persons who are intimate partners and who live together or have lived together; (c) persons who are dating or who have dated; (d) persons who are engaged in, or have engaged in, a sexual relationship; (e) persons who are related by blood or adoption; (f) persons who are related or formerly related by marriage; (g) persons who have a child in common; and (h) minor children of a person in a relationship that is described in paragraphs (a) through (g). Counting cases within the domestic violence category means the victim-offender relationship was known at the time of filing or disposition.

Property Case: A subcategory of criminal cases involving burglary, larceny, auto theft, arson, forgery and counterfeiting, fraud, embezzlement, stolen property (buying or receiving), and vandalism. These crime types are classified and defined by the Federal Bureau of Investigation's Uniform Crime Reporting (UCR) section.

Drug Case: A subcategory of criminal cases involving the illegal possession, sale, use, or manufacture of drugs. The following drug categories are specified: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics—manufactured narcotics (Demerol, Methadone); and dangerous non-narcotic drugs (barbiturates, Bensedrine). These crime types are classified and defined by the Federal Bureau of Investigation's Uniform Crime Reporting (UCR) section.

Weapon Case: A subcategory of criminal cases involving violations of regulations or statutes controlling the carrying, using, possessing, furnishing, and manufacturing of deadly weapons or silencers. These crime types are classified and defined by the Federal Bureau of Investigation's Uniform Crime Reporting (UCR) section.

Public Order Case: A subcategory of criminal cases involving violations of liquor laws, drunkenness, disorderly conduct, vagrancy, gambling, prostitution, and commercial vice. Some jurisdictions refer to these as "public nuisance" or "quality of life" offenses, or "crimes against society."

Motor Vehicle - DWI/DUI Case: A subcategory of criminal cases that involves a charge of driving while intoxicated (DWI), driving under the influence of either alcohol or drugs (DUI), or driving while impaired. The Uniform Crime Reporting definition includes "driving or operating any vehicle or common carrier while drunk or under the influence of liquor or narcotics." Report all DWI/DUI cases separately, whether they are classified locally as moving traffic violations or as criminal cases.

Motor Vehicle - Reckless Driving Case: A subcategory of criminal cases that involves a charge of driving a motor vehicle in such a way as to knowingly or intentionally endanger the safety of others or with disregard for the consequences.

(continued on next page)

Criminal Case Type Definitions *(continued)*

Felony Case *(continued)*

Motor Vehicle - Other Case: A subcategory of criminal cases including ones of unknown specificity or cases not attributable to one of the other previously defined motor vehicle case categories.

Other Felony Case: A subcategory of felony cases including ones of unknown specificity or cases not attributable to one of the other previously defined felony case categories.

Misdemeanor Case

A major classification subcategory of criminal cases involving an offense usually punishable by fine or incarceration or both. The fine amount and incarceration limits are prescribed by statute and are generally less than those prescribed for a felony.

Person Case: See definition under Felony Case Type definition.

Domestic Violence Case: See definition under Felony Case Type definition.

Property Case: See definition under Felony Case Type definition.

Drug Case: See definition under Felony Case Type definition.

Weapon Case: See definition under Felony Case Type definition.

Public Order Case: See definition under Felony Case Type definition.

Motor Vehicle - DWI/DUI Case: See definition under Felony Case Type definition.

Motor Vehicle - Reckless Driving Case: See definition under Felony Case Type definition.

Motor Vehicle - Other Case: See definition under Felony Case Type definition.

Protection Order Violation Case: A subcategory of criminal cases alleging violation of a court order that was issued to help protect an individual from harassment or abuse. Though these cases often stem from an earlier civil or criminal case, they should be counted as new filings in this category.

Other Misdemeanor Case: A subcategory of misdemeanor cases including ones of unknown specificity or cases not attributable to one of the other previously defined misdemeanor case categories.

Appeals from Limited Jurisdiction Courts Case

A major classification subcategory of criminal cases. An appeal case is one in which a trial court, in those states where statutes give those courts the authority, reviews the judgment of another trial court—most frequently a court of limited jurisdiction. Criminal case appeals heard in trial courts include appeals of other trial courts. These cases can be heard de novo, on the record, or de novo on the record. The filing in a trial court having incidental appellate jurisdiction of a notice of appeal or of a complaint should be considered the beginning of an appeal case—the unit being counted. If the reviewing court uses some other event, such as filing of record, to determine the number of appeals, it should explain that it does so. If the notice of appeal in an appellate court case is filed in the trial court, do not count it as an appeal case in the trial court.

Other Criminal Case

A major classification subcategory of criminal cases including ones of unknown specificity or cases not attributable to one of the other previously defined criminal case categories.

Criminal - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Felony					
Person					
Domestic Violence					
Property					
Drug					
Weapon					
Public Order					
Motor Vehicle - DWI/DUI					
Motor Vehicle - Reckless Driving					
Motor Vehicle - Other					
Total Motor Vehicle					
Other Felony					
TOTAL Felony					
Misdemeanor					
Person					
Domestic Violence					
Property					
Drug					
Weapon					
Public Order					
Motor Vehicle - DWI/DUI					
Motor Vehicle - Reckless Driving					
Motor Vehicle - Other					
Total Motor Vehicle					
Protection Order Violation					
Other Misdemeanor					
TOTAL Misdemeanor					
Appeals from Limited Jurisdiction Courts					
Other Criminal					
GRAND TOTAL					

NOTE: See Introduction for a table that translates UCR (Uniform Crime Reporting) and NIBRS (National Incident-Based Reporting System) offense-reporting categories into the CSP's case types.

Case Type	Non-trial Dispositions							Total Non-trial Dispositions
	Guilty Plea	Nolle Prosequi	Deferred Adjudication	Dismissal	Transfer to Another Court	Bindover (in LJ Court)	Other Non-Trial	
Felony								
Person								
Domestic Violence								
Property								
Drug								
Weapon								
Public Order								
Motor Vehicle - DWI/DUI								
Motor Vehicle - Reckless Driving								
Motor Vehicle - Other								
Total Motor Vehicle								
Other Felony								
TOTAL Felony								
Misdemeanor								
Person								
Domestic Violence								
Property								
Drug								
Weapon								
Public Order								
Motor Vehicle - DWI/DUI								
Motor Vehicle - Reckless Driving								
Motor Vehicle - Other								
Total Motor Vehicle								
Protection Order Violation								
Other Misdemeanor								
TOTAL Misdemeanor								
Appeals from Lim. Juris. Courts								
Other Criminal								
GRAND TOTAL								

Juvenile Case Reporting

Juvenile Case Reporting

Introduction

The juvenile case reporting matrices have been expanded to encourage states to gradually move toward more specific and consistent reporting of juvenile caseloads. Considerable assistance concerning the new terms and definitions was provided by the National Center for Juvenile Justice (NCJJ). Three features of the new reporting scheme deserve special mention and discussion.

First, the two new juvenile **reporting matrices** include five subcategories under the *Delinquency* case type: **Drug, Person, Property, Public Order, and Other Delinquency** cases. The *Dependency/Child Victim* case type also has five subcategories: **Abuse, Neglect, Dependent (no fault), Petition for Termination of Parental Rights, and Other Child Victim**. The **Dependent** subcategory is included on the advice of the NCJJ staff to capture dependency cases in which a dependency condition is established without implied “fault” on the part of the parents (see the case type definitions that follow). A **Status Offense/Petition** category remains its own case type for classifying the total number of curfew violations, runaways, trancies, and other traditional juvenile status offenses.

Second, the *Caseload Summary* matrix has been redesigned to capture more detailed information about case activity. In addition to reporting new filings and dispositions, the prototype now allows for the reporting of **Active** and **Inactive** pending cases, **Reopened** and **Reactivated** cases, **Entry of Judgment** and **Reopened Dispositions**, and cases that are **Placed on Inactive Status**. The reporting categories have been augmented to gain a better understanding of court *workload*. Examples have been included to assist in explaining how to record different case management events.

Third, more descriptive and up-to-date *Manner of Disposition* types have been added to better describe workload in the juvenile courts. The disposition categories include **Dismissed/Non-adjudicated, Adjudicated by Default, Adjudicated by Plea/Stipulation, Disposed by Alternative Dispute Resolution, Deferred or Stayed Adjudication or Findings, Adjudicated after Evidentiary Hearing, Waivered/Certified/Transferred to Adult Court, Transferred to Another Court, and Other Juvenile Dispositions**. All of these dispositions are defined in the matrix; two of them are new: **Waivered/Certified/Transferred to Adult Court** and **Adjudicated by Alternative Dispute Resolution (ADR)**. Note that ADR dispositions in this category refer to *court-annexed* ADR only. Examples of ADR programs are mediation and arbitration proceedings, since these cases typically remain within the jurisdiction of the court that made the referral and the court is able to track adjudication of cases through these processes.

Unit of Count: Juvenile

The filing document in a juvenile action is generally a petition. Count the *filing* of the petition with the clerk of court as the beginning of a juvenile case. For juvenile cases of a criminal nature, count the *filing* of the original charging document (petition, complaint, or information) as the beginning of the case in trial courts. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category disposed by the court during the reporting period. Report the number of juvenile filings and dispositions by case type, according to the subject matter at issue as defined in the *Juvenile Case Type Definitions*.

In a juvenile case, count each juvenile and all actions involved in a single incident as a single case. If the filing document contains multiple juveniles involved in a single incident, count each juvenile as a single case.

Please note that the following case types involving juveniles should *not* be reported in the **Juvenile** caseload:

- Juvenile traffic cases should be included in the appropriate **Traffic, Parking, and Local Ordinance** case type category.
- Child support cases and paternity/bastardy cases should be included in the appropriate **Domestic Relations** case type category.
- Criminal cases involving the molesting or abuse of children should be included in the appropriate **Criminal** case type category.
- Guardianship petitions involving juveniles are *civil* cases and should be reported in **Civil** as part of the **Probate/Estate** caseload under **Guardianship - Juvenile**.
- Court actions that are directed against adults as the result of adult relationships to juveniles should not be classified as juvenile petitions. An example of these types of cases is support/custody cases; such a case would be reported in the appropriate **Domestic Relations** case type category.

The *Manner of Disposition* matrix provides a means to report the manner in which juvenile cases were disposed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved. When there is more than one type of dispositive action in a case, count as the disposition the action requiring the most judicial involvement. Prioritize the dispositive actions as follows:

- Adjudicated after evidentiary hearing
- Waivered/certified/transferred to adult court
- Other trial dispositions
- Deferred or stayed adjudication or findings
- Adjudicated by plea/stipulation
- Disposed by alternative dispute resolution
- Adjudicated by default
- Dismissed/non-adjudicated
- Transferred to another juvenile court
- Other

Notes:

Alternative Dispute Resolution (ADR): When a case has been referred *by the court* to alternative dispute resolution, we recommend that the court note the referral and track subsequent case activity under the case number initially assigned. The court should report the number of cases resolved through ADR processes in the **Alternative Dispute Resolution** column of the *Manner of Disposition* matrix.

Consolidated case: This is a case in which two or more petitions/petition subjects (either adult or juvenile) named in separate filing documents are adjudicated together, or in which a given adult/juvenile is adjudicated on matters contained in two or more filing documents. In reporting trial court dispositions, all the cases except the one into which the cases were consolidated should be reported as disposed at the time of consolidation, and the disposition(s) should be reported in the *Manner of Disposition* matrix under **Other Juvenile Dispositions**. When the consolidated case has been decided, the disposition should be reported under the appropriate manner of disposition category.

Inactive case: Cases that are administratively classified as inactive should be reported in the *Caseload Summary* matrix as **Placed on Inactive Status**. When the case is reactivated, report it as a **Reactivated** case, classified by case type. For example, a juvenile case should be placed on inactive pending status if the defendant has absconded, an arrest order has been issued, and the court has suspended activity until the defendant is apprehended.

Reopened case: Cases in which a judgment has previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce that existing judgment should be reported in the *Caseload Summary* matrix as **Reopened**. When the reopened case is disposed of, report the case in the *Caseload Summary* matrix in the **Dispositions** column in the column labeled **Reopened**. For example, a juvenile case that was previously disposed of but then returned to the court's pending docket by an allegation that the offender violated the terms of his or her probation should be considered a reopened case.

Juvenile - Caseload Summary Examples

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Delinquency					
Example 1 - Person	40 (a)	10 (b)	50 (c)		5 (d)
Dependency/Child Victim					
Example 2 - Abuse	100 (a)			20 (c)	
Example 3 - TPR	20 (a)				
Example 4 - Status Offense	40 (a)	10 (b)	50 (c)		
TOTAL Juvenile	200	20	100	20	5

Example 1: At the beginning of the reporting period, 40 delinquency Person cases are in active pending status (a) and 10 cases are in *Begin Pending - Inactive* status (b). During the reporting period, 50 new delinquency Person cases are filed with the court (c) and 5 of the *Begin Pending - Inactive* cases are *Reactivated* (d) because the juveniles have been apprehended. Seventy-five (75) cases are disposed of (*Entry of Judgment*) during the reporting period (e). Ten (10) juveniles fail to appear in court and arrest warrants are issued. After the requisite period of time, these cases are classified as inactive (f). At the end of the reporting period, 10 cases are still awaiting disposition and are counted as *End Pending - Active* (g) and 15 cases (10 new cases and 5 holdovers) are *End Pending - Inactive* (h).

Example 2: At the beginning of the reporting period, 100 child abuse cases are in *Begin Pending - Active* status (a). Judgment is entered for all 100 cases (b). Twenty (20) of the defendants violate the conditions of their sanction and must reappear in court. The reappearances are filed during the reporting period as *Reopened* cases (c), the original suspended sentences are imposed and the cases are then counted as *Reopened Dispositions* (d).

Example 3: At the beginning of the reporting period, 20 Termination of Parental Rights (TPR) cases are in *Begin Pending - Active* status (a). No new TPR cases are filed during this period. During the reporting period, the Court issues a decision regarding parental rights that includes a disposition (*Entry of Judgment*) in 10 of the cases (b). The other 10 cases are still awaiting a decision and are recorded as *End Pending - Active* (c).

Example 4: At the beginning of the reporting period, 40 status offense cases are in *Begin Pending - Active* status (a) and 10 cases are classified as inactive (b) because the juveniles in question cannot be located. During the reporting period, 50 new status cases are filed with the court (c). Eighty (80) cases are disposed of (*Entry of Judgment*) during the reporting period (d). At the end of the reporting period, 10 cases remain *End Pending - Active* (e), and 10 cases are still awaiting disposition and are recorded as *End Pending - Inactive* (f).

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
75 (e)		10(f)	10 (g)	15 (h)
100 (b)	20 (d)			
10 (b)			10 (c)	
80 (d)			10 (e)	10 (f)
265	20	10	30	25

Calculating Pending Caseloads

When using all ten available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending - Active* caseload is calculated by adding the *Begin Pending Active*, *New Filing*, *Reopened*, and *Reactivated* cases, and subtract the sum of the *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status* cases.

Begin Pending - Active	200	
+ New Filing	100	
+ Reopened	20	
+ Reactivated	5	
	<u>325</u>	
		325
Entry of Judgment	265	
+ Reopened Dispositions	20	
+ Placed on Inactive Status	10	
	<u>(295)</u>	
		(295)
End Pending - Active		30

The inactive pending caseload calculation is also straightforward. Add the number of *Begin Pending - Inactive* and *Placed on Inactive Status* cases and subtract the number of *Reactivated* cases.

Begin Pending - Inactive	20	
+ Placed on Inactive Status	10	
	<u>30</u>	
		30
Reactivated	5	
	<u>(5)</u>	
		(5)
End Pending - Inactive		25

5A. Juvenile - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Delinquency					
Drug					
Person					
Property					
Public Order					
Other Delinquency					
TOTAL Delinquency					
Dependency/Child Victim					
Abuse					
Neglect					
Dependent (no fault)					
Termination of Parental Rights					
Other Dependency/Child Victim					
TOTAL Dependency					
Status Offense/Petition					
Other Juvenile					
GRAND TOTAL					

Juvenile - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

Reactivated: A count of cases that had previously been placed in an inactive pending status, but for which further court proceedings and activities can now be resumed so that the case can proceed to disposition.

(continued on next page)

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive

Dispositions - Entry of Judgment: A count of cases for which an *original* entry of judgment has been filed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved.

Dispositions - Reopened: A count of cases that were disposed of by a modification to, and/or enforcement of, the original judgment of the court. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved.

Placed on Inactive Status: A count of cases whose status has been administratively changed to inactive because the court will take no further action in the case until an event restores the case to the court's active pending caseload. See example in the "unit of count" section of the introduction.

End Pending - Active: A count of cases that, at the end of the reporting period, are awaiting disposition.

End Pending - Inactive: A count of cases that, at the end of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

5B. Juvenile - Manner of Disposition Matrix

Case Type	Dism'd/Non-Adjudicated	Adjudicated by Default	Adjudicated by Plea/Stipulation	Disposed by Alternative Dispute Resolution	Deferred or Stayed Adjud. or Findings	Adjudicated After Evidentiary Hearing
Delinquency						
Drug						
Person						
Property						
Public Order						
Other Delinquency						
TOTAL Delinquency						
Dependency/Child Victim						
Abuse						
Neglect						
Dependent (no fault)						
Petition for Termination of Parental Rights						
Other Dependency/Child Victim						
TOTAL Dependency						
Status Offense						
Other Juvenile						
GRAND TOTAL						

Juvenile - Manner of Disposition Definitions

Juvenile Dispositions: A major classification category for juvenile case dispositions in which a case is disposed of by dismissal or withdrawal; default; plea/stipulation; some form of deferred findings or deferred or stayed adjudication; an evidentiary hearing (trial); waiver/certification/transfer to adult court; or transfer to another juvenile court jurisdiction.

Dismissed/Non-Adjudicated: A subcategory of juvenile dispositions involving cases in which the complaint or petition is withdrawn by the petitioner and dismissed by the court.

Adjudicated by Default: A subcategory of juvenile dispositions involving cases in which the person who is the subject of the petition has failed to appear and respond to the complaint following appropriate notice and opportunity to respond.

Adjudicated by Plea/Stipulation: A subcategory of juvenile dispositions involving cases in which the person who is the subject of the petition admits or stipulates to the alleged facts. This statistical reporting category is analogous to a "guilty plea" in criminal court.

Disposed by Alternative Dispute Resolution (ADR): A subcategory of juvenile dispositions involving cases that were referred *by the court* to programs such as mediation or arbitration and, through those processes, reached disposition.

Deferred or Stayed Adjudication or Findings: This subcategory of juvenile dispositions is considered a "disposition" for CSP reporting purposes when a complaint is filed but the court enters no judgment or finding of delinquency or dependency. In effect, this may either be a form of post-filing diversion (in which no hearing is conducted by the judge or no ex parte order is entered), or it may follow a hearing where the complaint is sustained but no formal finding or judgment is entered. In the case of a deferred adjudication, the juvenile abides by certain conditions that, if followed, allow the case to be later dismissed. If the conditions are not satisfied, the case comes back to court as any other case. In the case of a deferred finding, the case is dismissed on motion by the supervising authority when the conditions are satisfied. If they are not satisfied, the case is reopened, and a new finding or order is entered.

Adjudicated After Evidentiary Hearing: A subcategory of juvenile dispositions involving cases in which an evidentiary hearing (trial) is held, and the judge makes a finding on the evidence. In some states, the evidentiary hearing (in delinquency cases) may be tried before a jury.

(continued on next page)

Waivered / Certified / Transferred to Adult Court	Transferred to Another Court	Other Juvenile Dispositions	Total Trial Dispositions	Grand Total Dispositions
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				
N/A				

Waivered/Certified/Transferred to Adult Court: A subcategory of juvenile dispositions that involve a motion or pleading on a delinquency petition to transfer jurisdiction of the case to criminal court. This transfer motion/pleading can be filed at any point prior to adjudication of the delinquency petition. These may include transfers that are discretionary, mandatory, or presumptive. Juvenile or family court decisions to transfer jurisdiction of the delinquency matter to criminal court effectively terminate juvenile court involvement and are treated as dispositions for statistical reporting purposes.

Transferred to Another Court: A subcategory of juvenile dispositions involving cases in which a case originally filed in one jurisdiction is transferred to another jurisdiction for substantive disposition. This is a bookkeeping device and does not imply legal resolution of issues alleged in the complaint.

Other Juvenile Dispositions: A major classification subcategory of juvenile case dispositions including cases of unknown specificity or cases not attributable to one of the other previously defined juvenile case disposition categories.

Grand Total Juvenile Dispositions: A major classification category of juvenile case dispositions that is the sum of all previously defined criminal disposition categories. Each row under this category should have a total number of cases disposed of in that case type category followed at the bottom by the grand total of all dispositions and all case types.

Juvenile Case Type Definitions

Juvenile (Petitioned) Case

A broad classification category for trial court caseloads involving the filing of a document (usually called a petition or complaint) in juvenile court requesting the court to adjudicate a youth as a delinquent, status offender, or dependent child or to waive jurisdiction and transfer a youth to criminal court. NOTE: Juvenile court intake personnel in some jurisdictions are authorized to decide not to file a formal petition in response to a referral but to accept a case without a petition for "informal handling" by authorized court personnel. These should not be counted as juvenile cases for statistical reporting purposes.

Specific types of juvenile cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Delinquency

A major classification subcategory of juvenile cases that includes cases involving an act committed by a juvenile, which, if committed by an adult, would result in prosecution in criminal court and over which the juvenile court has been statutorily granted original or concurrent jurisdiction. These may include petitions transferred to the juvenile or family court from the criminal court. Under certain conditions, a delinquency petition may include a motion/pleading to transfer jurisdiction of the case to criminal court.

Drug: A subcategory of delinquency cases involving the illegal possession, sale, use, or manufacture of drugs.

Person: A subcategory of delinquency cases involving murder/manslaughter, sexual assault (including rape and sexual battery), robbery, and assault.

Property: A subcategory of delinquency cases involving burglary, larceny, auto theft, arson, forgery and counterfeiting, fraud, embezzlement, stolen property (buying or receiving), and vandalism.

Public Order: A subcategory of delinquency cases involving violations of liquor laws, public drunkenness, disorderly conduct, vagrancy, gambling, prostitution, and commercial vice. Some jurisdictions refer to these as "public nuisance" or "quality of life" offenses, or "crimes against society."

Other Delinquency: A subcategory of delinquency cases including cases of unknown specificity or cases not attributable to one of the other previously defined delinquency case categories.

Dependency/Child Victim

A major classification subcategory of juvenile cases alleging that a child has been abused or neglected, or is otherwise without proper parental care and/or supervision.

Abuse: A subcategory of dependency cases alleging the hurting or injuring of a child by maltreatment. Abuse, as defined by statutes in the majority of states, is generally limited to maltreatment that causes, or threatens to cause, lasting harm to a child.

Neglect: A subcategory of dependency cases alleging failure by a parent or custodian to render appropriate care to a child; an act of omission by the person legally responsible for a child's care that threatens the child's well-being; or failure to provide a child with suitable food, shelter, clothing, hygiene, medical care, or parental supervision.

Dependent (no fault): A subcategory of dependency cases alleging one or more of the grounds for dependency without specifically faulting the parent(s) or guardian.

Petition for Termination of Parental Rights: A subcategory of dependency cases requesting that the court extinguish the legal relationship of parent and child. In some states, this is accomplished through filing a motion on the child victim petition requesting that parental rights be terminated.

Other Dependency/Child Victim: A subcategory of dependency cases including cases of unknown specificity or cases not attributable to one of the other previously defined dependency case categories.

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Juvenile Case Type Definitions *(continued)*

Status Offense/Petition

A major classification subcategory of juvenile cases involving non-criminal misbehavior by a juvenile. The behavior is an offense because of the youth's status as a minor. These are often called CHINS or CINS (child or children in need of supervision), PINS (person in need of supervision), or JINS (juvenile in need of supervision). Examples of status offenses include curfew violation, runaway, incorrigible/ungovernable, and truancy. In some states, alcohol consumption by a minor may be included as a status offense. In other states it may be treated as a delinquent offense.

Other Juvenile

A major classification subcategory of juvenile cases including cases of unknown specificity or cases not attributable to one of the other previously defined juvenile case categories.

Juvenile - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Delinquency					
Drug					
Person					
Property					
Public Order					
Other Delinquency					
TOTAL Delinquency					
Dependency/Child Victim					
Abuse					
Neglect					
Dependent (no fault)					
Termination of Parental Rights					
Other Dependency/Child Victim					
TOTAL Dependency					
Status Offense/Petition					
Other Juvenile					
GRAND TOTAL					

Juvenile - Manner of Disposition Matrix

Case Type	Dism'd/Non-Adjudicated	Adjudicated by Default	Adjudicated by Plea/Stipulation	Disposed by Alternative Dispute Resolution
Delinquency				
Drug				
Person				
Property				
Public Order				
Other Delinquency				
TOTAL Delinquency				
Dependency/Child Victim				
Abuse				
Neglect				
Dependent (no fault)				
Petition for Termination of Parental Rights				
Other Dependency/Child Victim				
TOTAL Dependency				
Status Offense				
Other Juvenile				
GRAND TOTAL				

Traffic, Parking, and Local Ordinance Violations Reporting

Traffic, Parking, and Local Ordinance Violations Reporting

Introduction

The traffic, parking, and local ordinance violations reporting matrices (hereafter called traffic matrices) have been redesigned to more accurately capture filings and dispositions for the category of cases that comprise the largest percentage of the state trial court caseload. In addition, a more detailed manner of disposition reporting for traffic cases has been created. Similar to the criminal reporting scheme, manner of disposition categories for traffic cases include non-trial dispositions (including guilty pleas, nolle prosequi, deferred adjudication, and dismissed) and jury and bench trial dispositions (guilty verdict, acquittal, and pleas after trial starts). Three features of the new reporting scheme deserve special mention and discussion.

First, to be counted as a traffic case, the offense should be listed in a state statute or code section, as opposed to a local ordinance (which is a separate case type). Non-criminal traffic cases are often termed “infraction.” Most often these cases result in fines if a conviction is rendered; examples include speeding, failure to signal, running a stop sign, and failure to yield right-of-way. Any felony traffic and all DUI or reckless driving cases should be included in the criminal case prototype and not in the traffic section.

Second, the *Caseload Summary* matrix has been redesigned to capture more detailed information about case activity. In addition to reporting new filings and dispositions, the matrix now allows for the reporting of **Active** and **Inactive** pending cases, **Reopened** and **Reactivated** cases, **Entry of Judgment** and **Reopened Dispositions**, and cases that are **Placed on Inactive Status**. The reporting categories have been augmented in an effort to gain a better understanding of court *workload*. Examples have been included to assist in explaining how to record different case management events.

Third, the new reporting scheme is designed to capture those traffic cases transferred or otherwise moved to non-court administrative agencies. Efforts to decriminalize less serious traffic cases in many jurisdictions have led to a dramatic decline in total traffic caseloads as certain cases (particularly parking) have moved to executive branch traffic bureaus. Because the implications are significant for freeing up valuable court resources, this change to the reporting of these cases is designed to determine the volume of traffic cases diverted from traditional court processing.

Unit of Count: Traffic

Count the *filing* of the original charging document (complaint, information, or indictment) as the beginning of a traffic case in trial courts. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category disposed by the court during the reporting period. Report the number of traffic filings and dispositions by case type, according to the subject matter at issue as defined in the *Traffic, Parking, and Local Ordinance Violations Case Type Definitions*.

Traffic violations should be reported separately from the other broad trial court case categories (e.g., civil, criminal, juvenile) because of the specialized case-processing procedures involved and to avoid inflation of criminal caseload figures because of the high volume of traffic violations.

Statistical reports should indicate how traffic cases are being counted (how many defendants, how many charges on each charging document). Count each original charging document filed as one traffic, parking, and local ordinance violation. Indicate whether parking violation cases are handled by the *court* or *administratively*.

A count of what happened to the defendant(s) should be the unit of count when documenting the manner of disposition for traffic, parking, or local ordinance violations cases.

- o Report a felony traffic violation as a **Felony** and report it as a **Criminal** case, rather than as a **Traffic** violation. Traffic violations that are **Misdemeanors** should be reported as **Traffic** violations.
- o Report DWI/DUI and reckless driving cases as **Motor Vehicle WDI/DUI** or **Motor Vehicle Reckless Driving** cases in the *Criminal Caseload Summary*, not as traffic violations. Use the appropriate case type category to distinguish felony cases from misdemeanor cases.
- o Report **Parking Violations** separately from **Traffic Violations**. The charging document is typically a citation and the punishment a fine, usually paid by mail or without a mandatory court appearance.
- o Classify **Juvenile Traffic Violations** in **Traffic**, using the appropriate case type, not under juvenile petitions.
- o Classify traffic violation appeals under **Appeals from Limited Jurisdiction Courts** in the *Criminal Caseload Summary* matrix.

The *Manner of Disposition* matrix provides a means to report the manner in which trial court traffic, parking, and local ordinance cases were disposed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved. When there is more than one dispositive action in a case, count as the disposition the action requiring the most judicial involvement. In other words, prioritize the dispositive actions as follows:

- Jury trial
- Bench trial
- Deferred adjudication
- Guilty plea
- Nolle prosequi
- Dismissed
- Bindover (in lower jurisdiction court)
- Transfer to another court
- Other

Notes:

Consolidated case: This is a case in which two or more actions are combined and tried/processed as one case. In reporting trial court dispositions, all the cases except the one into which the cases were consolidated should be reported as disposed at the time of consolidation, and the disposition(s) should be reported in the *Manner of Disposition* matrix under **Other Dispositions**. When the consolidated case has been decided, the disposition should be reported under the appropriate manner of disposition category.

Inactive case: Cases that are administratively classified as inactive should be reported in the *Caseload Summary* matrix as **Placed on Inactive Status**. When the case is reactivated, report it as a **Reactivated** case, classified by case type. For example, a traffic case should be placed on inactive pending status if the defendant has absconded, an arrest order has been issued, and the court has suspended activity until the defendant is apprehended.

Reopened case: Cases in which a judgment has previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce that existing judgment should be reported in the *Caseload Summary* matrix as **Reopened**. When the reopened case is disposed of, report the case in the *Caseload Summary* matrix in the **Dispositions** column in the column labeled **Reopened**. For example, a traffic case that was previously disposed, but then returned to the court's pending docket by an allegation that the offender has violated the terms of his or her probation should be considered a reopened case.

Traffic, Parking, and Local Ordinance Violations - Caseload Summary Examples

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Traffic					
<i>Example 1</i> - Non-Criminal Traffic		5 (a)	50 (b)		5 (c)
<i>Example 2</i> - Parking Violations	80 (a)			40 (c)	
<i>Example 3</i> - Ordinance Violations			100 (a)		
<i>Example 4</i> - Other Violations			60 (a)		60 (c)
TOTAL Traffic	80	5	210	40	65

Example 1: At the beginning of the reporting period, 5 Non-Criminal Traffic Violation (Infraction) cases have been classified as inactive (a). During the reporting period, 50 Non-Criminal Traffic Violation (Infraction) cases are filed with the court (b) and the 5 *Begin Pending - Inactive* cases are *Reactivated* (c). Thirty-five (35) cases are disposed of during the reporting period (d). The remaining 20 cases are still awaiting disposition at the end of the reporting period and are recorded as *End Pending - Active* (e).

Example 2: Eighty (80) Parking Violation cases are in *Begin Pending - Active* status at the beginning of the reporting period (a). All 80 cases are disposed of during the reporting period (b). Forty (40) offenders violate the conditions set forth in their probation orders and must reappear before the court. The reappearances are filed during the reporting period as *Reopened* cases (c), sentences are imposed, and the cases are then counted as *Reopened Dispositions* (d).

Example 3: During the reporting period, 100 Ordinance Violation cases are newly filed with the court (a). Seventy-five (75) defendants appear for court and are disposed of (b). The 25 remaining defendants fail to appear in court and arrest warrants are issued. After a period of time, these 25 cases are classified as inactive (c). The reporting period ends while all 25 cases are still in inactive status (d).

Example 4: During the reporting period, 60 "Other" Violations cases are filed with the court (a). All 60 defendants fail to appear and warrants for their arrest are issued. After the requisite period, the cases are *Placed on Inactive Status* (b). The defendants are arrested during the reporting period, and the cases are restored to active status; i.e., *Reactivated* (c). All 60 cases are disposed of (d) during the reporting period.

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
35 (d)			20 (e)	
80 (b)	40 (d)			
75 (b)		25 (c)		25 (d)
60 (d)		60 (b)		
250	40	85	20	25

Calculating Pending Caseloads

When using all ten available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending - Active* caseload is calculated by adding the *Begin Pending Active*, *New Filing*, *Reopened*, and *Reactivated* cases, and subtract the sum of the *Entry of Judgment*, *Reopened Dispositions*, and *Placed on Inactive Status* cases.

Begin Pending - Active	80	
+ New Filing	210	
+ Reopened	40	
+ Reactivated	<u>65</u>	
		395
Entry of Judgment	250	
+ Reopened Dispositions	40	
+ Placed on Inactive Status	<u>85</u>	
		(375)
End Pending - Active		20

The inactive pending caseload calculation is also straightforward. Add the number of *Begin Pending - Inactive* and *Placed on Inactive Status* cases and subtract the number of *Reactivated* cases.

Begin Pending - Inactive	5	
+ Placed on Inactive Status	<u>85</u>	
		90
Reactivated	<u>65</u>	
		(65)
End Pending - Inactive		25

6A. Traffic, Parking, & Local Ordinance - Caseload Summary Matrix Page 104

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Non-Criminal Traffic Violations (Infractions)					
Parking Violations					
Ordinance Violations					
Other Violations					
GRAND TOTAL					
Violations Cases Transferred to Administrative Agencies				N/A	

Traffic, Parking, & Local Ordinance - Caseload Summary Definitions

Begin Pending - Active: A count of cases that, at the start of the reporting period, are awaiting disposition.

Begin Pending - Inactive: A count of cases that, at the start of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

New Filing: A count of cases that have been filed with the court for the first time.

Reopened: A count of cases in which judgments have previously been entered but which have been restored to the court's pending caseload due to the filing of a request to modify or enforce the existing judgments. When a reopened case is disposed of, report the disposition as a Reopened Disposition. See example in the "unit of count" section of the introduction.

Reactivated: A count of cases that had previously been placed in an inactive pending status, but for which further court proceedings and activities can now be resumed so that the case can proceed to disposition.

(continued on next page)

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
N/A	N/A			

Dispositions - Entry of Judgment: A count of cases for which an *original* entry of judgment has been filed. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved.

Dispositions - Reopened: A count of cases that were disposed of by a modification to, and/or enforcement of, the original judgment of the court. For cases involving multiple parties/issues, the manner of disposition should not be reported until all parties/issues have been resolved.

Placed on Inactive Status: A count of cases whose status has been administratively changed to inactive because the court will take no further action in the case until an event restores the case to the court's active pending caseload. See example in the "unit of count" section of the introduction.

End Pending - Active: A count of cases that, at the end of the reporting period, are awaiting disposition.

End Pending - Inactive: A count of cases that, at the end of the reporting period, have been administratively classified as inactive. Such circumstances may be defined by statewide court administrative rule or order.

6B. Traffic, Parking, & Local Ordinance - Manner of Disposition Matrix

Non-Trial Dispositions						
Case Type	Guilty Plea	Nolle Prosequi	Deferred Adjudication	Dismissal	Other Non-Trial	Total Non-Trial Dispositions
Non-Criminal Traffic Violations (Infractions)						
Parking Violations						
Ordinance Violations						
Other Traffic, Parking, Local Ordinance						
GRAND TOTAL						

Traffic, Parking, & Local Ordinance - Manner of Disposition Definitions

Traffic, Parking, and Local Ordinance Non-Trial Dispositions: A major classification category for traffic, parking, and local ordinance case dispositions for those cases in which the defendant enters a guilty plea, a case will not be prosecuted (nolle prosequi), adjudication is deferred, a case is dismissed, or any other type of disposition that does not entail either a jury or bench trial.

Guilty Plea: A subcategory of traffic, parking, and local ordinance non-trial dispositions for those cases in which the defendant admits having committed an offense with which he or she is charged. Classify the disposition as a guilty plea if the plea occurs before the trial begins. After trial begins, a guilty plea should be classified as a trial. Include in this category pleas to lesser included offenses, less than all charges, substituted charge, etc. Also include guilty pleas by waiver and voluntary payments of fines. Include nolo contendere and non vult contendere cases under guilty plea. Nolo contendere is not an admission of guilt, but it exposes the defendant to the same punishment as if convicted by the court. In some jurisdictions the defendant must appear before a judge to plead guilty. This should not be counted as a trial because no evidence is introduced.

Nolle Prosequi (before trial): A subcategory of traffic, parking, and local ordinance non-trial dispositions wherein the prosecutor formally declares before the start of a trial that he or she will not proceed further in a traffic, parking, or local ordinance case. In some jurisdictions the judge has discretion to control the prosecutor's right to nolle prosequi.

Deferred Adjudication: A subcategory of traffic, parking, and local ordinance non-trial dispositions that occurs when a judge, upon accepting a defendant's plea of guilty, chooses to place the defendant on probation for a set term instead of making an adjudication of guilt. If the defendant successfully completes the term of probation then the judge will dismiss the case against the defendant and discharge him or her. In such a case, no conviction will be shown on the defendant's record for the purpose of disabilities imposed by law for conviction of an offense. If, however, the defendant violates a provision of probation, the judge, after a hearing, may (and usually does) adjudicate the defendant's guilt (for the offense to which the defendant originally pleaded guilty) and impose punishment.

Dismissal (before trial): A subcategory of traffic, parking, and local ordinance non-trial dispositions in which all charges against a defendant are withdrawn or dropped by the court before trial.

Other Non-Trial Disposition: A subcategory of traffic, parking, and local ordinance non-trial dispositions of unknown specificity or not attributable to one of the other previously defined categories.

(continued on next page)

Trial Dispositions									page 107	
Jury Trial				Bench Trial				revised 3-29-04		
Guilty Verdict	Acquittal	Guilty Plea After Tr. Start	Total Jury Trials	Guilty Judgment	Acquittal	Guilty Plea After Tr. Start	Total Bench Trials	Total Trial Dispositions	Other Dispositions	Grand Total Dispositions

Traffic, Parking, and Local Ordinance Trial Dispositions: A major classification subcategory for traffic, parking, and local ordinance case dispositions that involve a hearing and determination of issues of fact and law, in accordance with prescribed legal procedures, in order to reach a judgment in a case before a court. In a traffic, parking, and local ordinance case, the guilt or innocence of the defendant is determined. Count the beginning of a jury trial at the point when the jury is sworn. Count the beginning of a non-jury trial at the point when the first evidence is introduced. Count a trial once it is begun, regardless of whether a judgment is reached.

Jury Trial: A major subcategory of traffic, parking, and local ordinance trial dispositions in which a jury is impaneled to determine the issues of fact in a case. A jury trial should be counted as beginning when the jury is sworn, regardless of whether a verdict is reached. A mistrial should not be reported as a jury trial if the case is to be retried, until the new trial is terminated. If the case is dismissed after mistrial, count it as an acquittal. Report directed verdict trials under jury trial. Trials de novo should be reported as jury or non-jury trials based on the specifics of the case.

Guilty Verdict: A subcategory of traffic, parking, and local ordinance jury trial dispositions entailing the formal pronouncement by a jury that, after deliberations, adjudges the defendant guilty of the offense charged.

Acquittal: A subcategory of traffic, parking, and local ordinance jury trial dispositions involving the judgment by a court, based on the verdict of a jury, that the defendant is not guilty of any offense that has been charged.

Guilty Plea After Trial Start: A subcategory of traffic, parking, and local ordinance jury trial dispositions. A disposition classification for those cases in which the defendant admits having committed an offense with which he or she is charged after a jury trial has begun.

Bench Trial: A major subcategory of traffic, parking, and local ordinance trial dispositions involving a trial in which there is no jury and a judicial officer determines both the issues of fact and law in a case. A bench trial should be counted as beginning when the first evidence is introduced, regardless of whether a verdict is reached. A mistrial should not be reported as a bench trial if the case is to be retried, until the new trial is terminated. If the case is dismissed after mistrial, count it as an acquittal. Trials de novo should be reported as jury or non-jury trials based on the specifics of the case.

Guilty Judgment: A subcategory of traffic, parking, and local ordinance bench trial dispositions entailing the formal pronouncement, after a trial before a judicial officer, that the defendant is guilty of the offense charged.

Acquittal: A subcategory of traffic, parking, and local ordinance bench trial dispositions involving the judgment by a judicial officer that the defendant is not guilty of any offense that has been charged.

Guilty Plea After Trial Start: A subcategory of traffic, parking, and local ordinance bench trial dispositions. A disposition classification for those cases in which the defendant admits having committed an offense with which he or she is charged after a bench trial has begun.

Other Dispositions: A subcategory of traffic, parking, and local ordinance dispositions including all dispositions of unknown specificity or not attributable to one of the other previously defined categories.

Grand Total Traffic, Parking, and Local Ordinance Dispositions: A major classification category of traffic, parking, and local ordinance violation case dispositions that is the sum of all previously defined traffic, parking, and local ordinance disposition categories. Each row under this category should have a total number of cases disposed of in that case type category followed at the bottom by the grand total of all dispositions and all case types.

Traffic, Parking, and Local Ordinance Case Type Definitions

Traffic, Parking, and Local Ordinance Violation Case

A broad classification category for trial court caseloads that includes cases involving an alleged violation of traffic or parking laws or of local ordinances.

Specific types of traffic, parking, and local ordinance cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Non-Criminal Traffic Violation Case (Infractions): A subcategory of traffic, parking and local ordinance cases involving non-criminal offenses. Non-criminal cases are often termed “infractions” and would include speeding, failure to signal, running a stop sign, and failure to yield right-of-way. Non-criminal traffic cases most often involve fines if the defendant is convicted.

Parking Violation Case: A major classification category for traffic, parking, and local ordinance cases that involves parking a motor vehicle in violation of a state or local ordinance.

Ordinance Violation Case: A major classification category for traffic, parking, and local ordinance cases that involves violations of local regulations passed by county, city, municipal, or other local governing bodies.

Other Traffic, Parking, and Local Ordinance Case: A major classification category for traffic, parking, and local ordinance cases including cases of unknown specificity or cases not attributable to one of the other previously defined traffic, parking, and local ordinance case categories.

Violations Cases Transferred to Administrative Agencies: A category for capturing the number of traffic, parking, and local ordinance cases that were originally filed with the court but were subsequently referred or transferred to a non-court administrative agency for disposition. These cases should not be counted among the traffic, parking, and local ordinance cases that are disposed of by the courts.

Traffic, Parking, and Local Ordinance - Caseload Summary Matrix

Case Type	Begin Pending		New Filing	Reopened	Reactivated
	Active	Inactive			
Non-Criminal Traffic Violations (Infractions)					
Parking Violations					
Ordinance Violations					
Other Violations					
GRAND TOTAL					
Violations Cases Transferred to Administrative Agencies				N/A	

Dispositions		Placed on Inactive Status	End Pending	
Entry of Jdgmt	Reopened		Active	Inactive
N/A	N/A			

Traffic, Parking, and Local Ordinance - Manner of Disposition Matrix

Case Type	Non-Trial Dispositions					
	Guilty Plea	Nolle Prosequi	Deferred Adjudication	Dismissal	Other Non-Trial	Total Non-Trial Dispositions
Non-Criminal Traffic Violations (Infractions)						
Parking Violations						
Ordinance Violations						
Other Traffic, Parking, Local Ordinance						
GRAND TOTAL						

Appellate Case Reporting

Overview: Appellate Case Reporting

Introduction

The appellate court reporting matrices have been completely revised since the publication in 1989 of the *State Court Model Statistical Dictionary*. As a result, four distinct reporting matrices have been developed: the *Appeal–Caseload Summary* matrix, the *Petition for Review–Caseload Summary* matrix case, the *Death Penalty–Caseload Summary* matrix, and the *Other Appellate–Caseload Summary* matrix. Common to all of the matrices is the fact that cases are no longer divided based on the mandatory or discretionary authority of the court. Instead, cases are divided by case type classifications (criminal, civil, death penalty direct appeal, application for writ, etc.) and by subcategories of those classifications (small claims, divorce, interlocutory death penalty appeal, bar discipline, etc.). The new reporting matrices allow the court to better track workload issues by providing a means to report more detailed information about the cases in which they are involved.

The new appellate case reporting method contains three additional changes that deserve special attention.

First, the criminal appeal subcategories now focus on felony versus other criminal appeals rather than capital criminal versus other criminal appeals. This is important because 1) capital criminal (death penalty) matters are no longer counted in the *Appeal–Caseload Summary* matrix, but rather in the *Death Penalty–Caseload Summary* matrix, and 2) non-capital felony appeals can now be distinguished from misdemeanor and all other criminal appeals.

Second, the new *Appeal–Caseload Summary* matrix follows the trial court matrices in that **Domestic Relations** case appeals are recognized as a distinct case type category. Separating the domestic relations case appeals from the **Civil** case appeals allows the courts to better track the issues arising from the domestic relations (or family law) cases.

Third, since the distinction between *mandatory* and *discretionary* jurisdiction is no longer being made, cases that are not appeals should not be counted in the *Appeal–Caseload Summary* matrix. Cases such as certified questions, advisory opinions, or original proceedings are now counted in a separate *Other Appellate–Caseload Summary* matrix so that courts can use the information in the *Appeal–Caseload Summary* matrix to focus specifically on the details of the appeals that are being brought before them.

The *Manner of Disposition* matrix has also been completely redesigned to allow courts to report more detailed accounts of their decisions. This matrix reports the disposition of the four appellate court case categories distinguished in the separate caseload summary matrices described above.

Note that in the *Manner of Disposition* matrix the *subcategories* for the major case categories have been aggregated for ease of reporting. For example, while in the *Appeal–Caseload Summary* matrix there are seven subcategories of **Criminal** cases, in the *Appeal–Manner of Disposition* matrix there is a single row labeled **Criminal**, which reports on *all* the criminal cases, and thus corresponds to the **TOTAL Criminal** row in the *Appeal–Caseload Summary* matrix.

There are now three distinct steps to reporting case dispositions.

The first step is the **Manner of Disposition**—how many cases were **Decided, Dismissed, Denied, Transferred to Another Court**, or disposed by **Other Resolution**.

The second step reports the **Type of Court Opinion**—how many cases the court disposed as **Published Opinion, Memorandum Decision, Order, Per Curiam Affirmed**, or **Other Opinion**.

The third step reports **Case Outcomes**—how many decisions were **Affirmed, Reversed, Reversed and Remanded for New Trial, Remanded for New Sentence Hearing Only, Modified and Remanded to Intermediate Appellate Court**, or resulted in **Other Modifications**.

Appeal - Caseload Summary Examples

Case Type	Begin Pending	Filed	Resolved	End Pending
Criminal				
Felony - Homicide	50 (a)	50 (b)	35 (c)	65 (d)
Felony - Other Crimes Against the Person	175 (a)	150 (b)	275 (c)	50 (d)
Felony - Burglary, Theft and Other Crimes Against Property	150 (a)	50 (b)	200 (c)	0 (d)
Felony - Drug	100 (a)	10 (b)	110 (c)	0 (d)
Felony - All Other Felony Appeals	25	0	25	0
TOTAL Felony	500	260	645	115

Example 1: At the beginning of the reporting period, 50 appeals of Homicide convictions are in *Begin Pending* status (a). During the reporting period, 50 new Homicide appeals are filed with the court (b). Thirty-five (35) appeals are resolved during the reporting period (c). The remaining 65 cases are still awaiting disposition at the end of the reporting period and are recorded as *End Pending* (d).

Example 2: One hundred seventy-five (175) appeals of Other Crimes Against the Person are in the *Begin Pending* status at the start of the reporting period (a). One hundred fifty (150) new appeals are filed during the reporting period (b). All 175 of the *Begin Pending* cases and 100 of the new filings are resolved (c). The remaining 50 cases are awaiting disposition and are classified as *End Pending* (d).

Example 3: One hundred fifty (150) appeals of Burglary, Theft, and Other Crimes Against Property cases are pending at the start of the reporting period (a). During the reporting period, 50 new cases are filed (b). Two hundred (200) appeals are resolved during the reporting period (c). No cases are reported in the *End Pending* status (d).

Example 4: One hundred (100) appeals of Drug convictions are awaiting resolution at the beginning of the reporting period (a). Ten (10) new appeals are filed during the reporting period (b). One hundred ten (110) appeals are resolved (c). No cases are reported as *End Pending* (d).

Example 5: Twenty-five (25) of Other Felony Appeals are awaiting disposition at the start of the reporting period. No new cases are filed during the reporting period. All 25 cases are resolved. No cases are reported in the *End Pending* category.

Calculating Pending Caseloads

When using all four available categories in the Caseload Summary, the user can calculate pending caseloads quite simply. Using the totals from the examples above, the *End Pending* caseload is calculated by adding the *Begin Pending* and *Filed* cases and subtracting the *Resolved* cases.

		Begin Pending	500	
<i>plus</i>		Filed	<u>260</u>	
				760
<i>minus</i>		Resolved	645	
				<u>(645)</u>
		End Pending		115

Appeal - Manner of Disposition Examples

Manner of Disposition						
Case Type	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	Grand Total Dispositions
Resolved Appeal						
Criminal	500 (a)	10 (b)	0	20 (c)	0	530 (d)
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Resolved Appeals						

Type of Court Opinion						
Case Type	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	Grand Total Opinions
Decided Appeal						
Criminal	50 (e)	420 (f)	20 (g)	10 (h)	0	500 (i)
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Decided Appeals						

Case Outcomes							
Case Type	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	Grand Total Outcomes
Decided Appeal							
Criminal	415 (j)	25 (k)	30 (l)	20 (m)	10 (n)	0	500 (o)
Civil							
Domestic Relations							
Administrative Agency							
TOTAL Decided Appeals							

Appellate - Manner of Disposition

The appellate **Manner of Disposition** matrices are divided into three sections: *Manner of Disposition*, *Type of Court Opinion*, and *Case Outcomes*. The *Manner of Disposition* section reports on all cases filed with the appellate court, regardless of how they are ultimately disposed. The *Type of Court Opinion* and *Case Outcomes* sections report on a subset of those cases, namely cases that are *decided* in some fashion by the appellate court. The *Type of Court Opinion* section reports on the manner in which the court decides the case. The *Case Outcomes* section reports how and to what extent the appellate court modifies the judgment of a trial court.

Example 1:

Manner of Disposition: During the reporting period, 500 criminal appeals are *Decided* (a). Ten (10) criminal appeals are *Dismissed* (b). Twenty (20) cases are *Transferred to Another Court* (c). The *Grand Total Dispositions* for the reporting period is 530 (d).

Type of Court Opinion: Of the 500 cases that are reported as *Decided*, 50 are decided in the form of *Published Opinion* (e). Four hundred and twenty (420) are decided via *Memorandum Decision* (f). An additional 20 cases are decided via *Order* (g), and another 10 cases are decided as *Per Curiam Affirmed* (h). The *Grand Total Opinions* is 500 (i), which correctly matches the number of cases reported as *Decided* in the *Manner of Disposition* section above (a).

Case Outcomes: The appellate court *Affirmed* 415 cases (j) and *Reversed* in 25 cases (k). Thirty (30) cases were *Reversed, Remanded for New Trial* (l). An additional 20 cases were *Remanded for New Sentence Hearing Only* (m). Finally, 10 cases were *Modified, Remanded to Intermediate Appellate Court* (n). The total of all these case outcomes is reported as 500 in the *Grand Total Outcomes* (o). This number correctly matches the *Grand Total Opinions* (i) and the number of cases reported as *Decided* in the *Manner of Disposition* section above (a).

Appeal Case Reporting

Introduction

The new *Appeal–Caseload Summary* matrix follows the trial court reporting scheme in distinguishing more case types and providing more subcategories within case types. Thus, **Domestic Relations** case appeals are recognized as a distinct case type category. Separating the domestic relations case appeals from the **Civil** case appeals allows the courts to better track the issues arising from the domestic relations (or family law) cases.

Since the distinction between mandatory and discretionary jurisdiction is no longer being made, cases that are *not* appeals should *not* be counted in the *Appeal–Caseload Summary* matrix. Cases such as certified questions, advisory opinions, or original proceedings are now counted in a separate *Other Appellate–Caseload Summary* matrix so that courts can use the information in the *Appeal–Caseload Summary* matrix to focus specifically on the details of the appeals that are being brought before them.

The *Manner of Disposition* matrix reports more detailed accounts of appellate decisions.

There are now three distinct steps to reporting case dispositions. The first step is the **Manner of Disposition** – how many cases were **Decided, Dismissed, Denied, Transferred to Another Court**, or disposed by **Other Resolution**.

The second step reports the **Type of Court Opinion** – how many cases the court disposed as **Published Opinion, Memorandum Decision, Order, Per Curiam Affirmed**, or **Other Opinion**.

The third step reports **Case Outcomes** – how many decisions were **Affirmed, Reversed, Reversed and Remanded for New Trial, Remanded for New Sentence Hearing Only, Modified and Remanded to Intermediate Appellate Court**, or resulted in **Other Modifications**.

Unit of Count: Appeal

The notice of appeal begins an **Appeal** for both intermediate appellate courts and courts of last resort. Count the *filing* of the notice with the appellate clerk of court as the beginning of an appellate case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category resolved by the court during the reporting period. Report the number of appeal case filings and dispositions according to the subject matter at issue as defined in the *Appellate Case Type Definitions*.

The *Manner of Disposition* matrix provides a means to report the manner in which appeals cases were resolved.

Note that in the *Manner of Disposition* matrix, the *subcategories* for the major case categories have been aggregated, for ease of reporting. For example, while in the *Appeal-Caseload Summary* matrix there are seven subcategories of **Criminal** cases, in the *Appeal-Manner of Disposition* matrix there is a single row labeled **Criminal**, which reports on *all* the criminal cases, and thus corresponds to the **TOTAL Criminal** row in the *Appeal-Caseload Summary* matrix.

Notes:

Consolidated case. This is a case in which two or more notices of appeal are combined and heard as one case. In reporting appellate court dispositions, all the cases except the one into which the cases were consolidated should be reported as resolved at the time of consolidation, and the resolution(s) should be reported under **Other Resolution**. When the consolidated case has been decided, the resolution should be reported under the appropriate manner of resolution category.

Terminated or Inactive case: Cases that are treated as terminated for statistical purposes, but have not been removed from the jurisdiction of the court, should be reported under **Other Resolution**. Such cases include those that are transferred to an inactive status. If the case is reactivated, report it as a new case, classified by the subject matter of the case as defined in the *Appellate Case Type Definitions*.

7A. Appeal - Caseload Summary Matrix

Case Type	Begin Pending	Filed	Resolved	End Pending
Criminal				
Felony - Homicide				
Felony - Other Crimes Against the Person				
Felony - Burglary, Theft, and Other Crimes Against Property				
Felony - Drug				
Felony - All Other Felony Appeals				
Total Felony				
Other Criminal - Misdemeanor				
Other Criminal - Interlocutory				
Other Criminal - All Other				
Total Other Criminal				
TOTAL Criminal				
Civil				
General Civil				
Tort				
Contract				
Real Property				
A Combination of Tort, Contract, or Property				
Landlord Tenant and Eviction				
Small Claims				
Other Civil				
TOTAL Civil				
Domestic Relations				
Divorce				
Child Support				
Child Custody or Visitation				
Dependency or Delinquency				
Other Domestic Relations Appeals				
TOTAL Domestic Relations				
Administrative Agency				
Workers' Compensation				
Unemployment Compensation				
Licensing				
Revenue				
Utility				
Other Administrative Agency				
TOTAL Administrative Agency				
GRAND TOTAL				

Appeal - Caseload Summary Definitions

Begin Pending - A count of cases that, at the start of the reporting period, are awaiting disposition.

Filed - A count of cases that have been filed with the court for the first time during the reporting period.

Resolved - A count of cases that have been resolved, irrespective of the manner of disposition (i.e., by decision, dismissal, denial, consolidation, or transfer), during the reporting period.

End Pending - A count of cases that, at the end of the reporting period, are still awaiting disposition.

7B. Appeal - Manner of Disposition Matrix

Case Type	Manner of Disposition					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Appeal						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Resolved Appeals						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Appeal						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Decided Appeals						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Appeal							
Criminal							
Civil							
Domestic Relations							
Administrative Agency							
TOTAL Decided Appeals							

Appeal - Manner of Disposition Definitions

Manner of Disposition: The manner in which a case and the issues that it presents are resolved. Case Disposition categories include Decided, Dismissed, Denied, Transferred to Another Court, and Other Resolution.

Decided Case: A case that was given full consideration and the issues were resolved by the court with a published opinion, memorandum decision, order, per curiam affirmed, or other opinion type

Dismissed Case: A case that a court decides warrants no further court review. Cases may be dismissed on the court's own action due to a procedural default, a decision on an appellant's motion, or a report of settlement.

Denied Case: A case that a court initially considers but, subsequently, decides does not warrant full review.

Transferred Case: A case that a court decides is more appropriate for consideration by another court and forwards to that court for consideration.

Other Resolution: A case that the court resolved in a manner of unknown specificity or in a manner not attributable to one of the previously defined manner of resolution categories.

Type of Court Opinion: The manner in which a court chooses to issue its decision on a case.

Published Opinion: An opinion that attorneys and courts can cite as legal authority. Published opinions may or may not be signed by the judges participating in the decision.

Memorandum Decision: An opinion that cannot be cited as legal authority, even though it may be signed and/or published.

Order: An opinion that provides a summary of the court's decision by stating the basic law(s) controlling that decision. Orders usually contain very limited, if any, statements of the facts and very limited, if any, statements of the court's reasoning in reaching its decision. Similar terminology: affirmed without an opinion or orders without opinion.

Per Curiam Affirmed: A very short opinion affirming the lower tribunal's decision.

Other Opinion: An opinion that is not attributable to any of the previously defined opinion categories, including decisions rendered orally from the bench.

Case Outcomes: The extent to which a court opinion modifies the judgment of a trial court or administrative agency.

Affirmed: A court opinion that agrees with a trial court or administrative agency decision in substance, interpretation of legal authority, and method used to reach a decision.

Reversed: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants overturning the original judgment. In criminal cases, all convictions are overturned, and the defendant is released from custody, whereas, in civil cases, the verdict and any damages awarded are overturned.

Reversed and Remanded: A court opinion that states that an error(s) occurred during the trial or administrative agency proceeding that warrants a completely new trial or administrative agency proceeding. If a case is not retried within the specified time limit, the case is treated as reversed.

Remanded for New Sentence Hearing Only: A court opinion in a criminal case that orders a trial court to conduct a new sentencing hearing.

Modified, Remanded to Intermediate Appellate Court: An opinion, issued by a court of last resort, that states that an error(s) occurred in an intermediate appellate court decision and orders the case remanded to that court for further review in light of the stated error(s).

Other Modifications: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants one or more alterations of the original judgment. Modifications include opinions in which the judgment is affirmed in part, reversed in part, remanded in part, or any combination thereof.

Petition for Review Case Reporting

Introduction

The new *Petition for Review–Caseload Summary* matrix contains four changes that deserve special note and attention.

First, the **Criminal** petition for review subcategories focus on felony versus other criminal petitions for review. This is important because courts can now distinguish non-capital felony petitions (**Felony–Homicide, Felony–Other Crimes Against the Person, Felony–Burglary, Theft, and Other Crimes Against Property, and Felony–All Other Felony Cases**) from non-felony criminal petitions for review (**Other Criminal–Misdemeanor, Other Criminal Interlocutory, and Other Criminal–All Other** cases).

Second, the new petition for review reporting follows the trial court reporting in that domestic relations case petitions for review are recognized as a distinct case type category. Separating the domestic relations case petitions from the civil case petitions allows the courts to better track the issues arising from the various categories of domestic relations cases (or family law cases) from the trial courts.

Third, since the distinction between mandatory and discretionary jurisdiction is no longer being made, cases that are not petitions for review should *not* be counted in the petition for review reporting matrices. Cases such as certified questions, advisory opinions, or original proceedings are now counted in the *Other Appellate–Caseload Summary* matrix so that courts can use the information in the petition for review case matrix to focus specifically on the details of the petitions that are being brought before them.

Fourth, the petition for review reporting matrices no longer seek to capture the number of petitions that were granted by the court or the number of granted petitions that were disposed by the court during the reporting period. This change was made in conjunction with the changes made to the manner of disposition matrix in that the matrix captures the number of petitions that were decided (i.e., granted) versus those that were dismissed or denied.

The appellate court *Manner of Disposition* matrix allows courts to report more detailed accounts of their decisions. There are now three distinct steps to reporting case dispositions. The first step is the **Manner of Disposition** – how many cases were **Decided, Dismissed, Denied, Transferred to Another Court**, or disposed by **Other Resolution**.

The second step reports the **Type of Court Opinion** – how many cases the court disposed as **Published Opinion, Memorandum Decision, Order, Per Curiam Affirmed**, or **Other Opinion**.

The third step reports **Case Outcomes** – how many decisions were **Affirmed, Reversed, Reversed and Remanded for New Trial, Remanded for New Sentence Hearing Only, Modified and Remanded to Intermediate Appellate Court**, or resulted in **Other Modifications**.

Unit of Count: Petition for Review

The petition begins a **Petition for Review** case for both intermediate appellate courts and courts of last resort. Count the *filing* of the petition with the clerk of court as the beginning of a petition for review case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category resolved by the court during the reporting period. Report the number of petition for review case filings and dispositions according to the subject matter at issue as defined in the *Appellate Case Type Definitions*.

The *Manner of Disposition* matrix provides a means to report the manner in which appellate court petition for review cases were resolved.

Note that in the *Manner of Disposition* matrix, the *subcategories* for the major case categories have been aggregated, for ease of reporting. For example, while in the *Petition for Review–Caseload Summary* matrix there are five subcategories of **Domestic Relations** cases, in the *Petition for Review–Manner of Disposition* matrix there is a single row labeled **Domestic Relations**, which reports on *all* the criminal cases, and thus corresponds to the **TOTAL Domestic Relations** row in the *Petition for Review–Caseload Summary* matrix.

Notes:

Consolidated case: This is a case in which two or more petitions for review are combined and heard as one case. In reporting appellate court resolutions, all the cases except the one into which the cases were consolidated should be reported as resolved at the time of consolidation, and the resolution(s) should be reported under **Other Resolution**. When the consolidated case has been decided, the resolution should be reported under the appropriate manner of resolution category.

Terminated or Inactive case: Cases that are treated as terminated for statistical purposes, but have not been removed from the jurisdiction of the court, should be reported under **Other Resolution**. Such cases include those that are transferred to an inactive status. If the case is reactivated, report it as a new case, classified by the subject matter of the case as defined in the *Petition for Review Case Type Definitions*.

8A. Petition for Review - Caseload Summary Matrix

Case Type	Begin Pending	Filed	Resolved	End Pending
Criminal				
Felony - Homicide				
Felony - Other Crimes Against the Person				
Felony - Burglary, Theft, and Other Crimes Against Property				
Felony - Drug				
Felony - All Other Felony Cases				
Total Felony				
Other Criminal - Misdemeanor				
Other Criminal - Interlocutory				
Other Criminal - All Other				
Total Other Criminal				
TOTAL Criminal				
Civil				
General Civil				
Tort				
Contract				
Real Property				
A Combination of Tort, Contract, or Property				
Landlord Tenant and Eviction				
Small Claims				
Other Civil				
TOTAL Civil				
Domestic Relations				
Divorce				
Child Support				
Child Custody or Visitation				
Dependency or Delinquency				
Other Domestic Cases				
TOTAL Domestic Relations				
Administrative Agency				
Workers' Compensation				
Unemployment Compensation				
Licensing				
Revenue				
Utility				
Other Administrative Agency				
TOTAL Administrative Agency				
GRAND TOTAL				

Petition for Review - Caseload Summary Definitions

Begin Pending - A count of cases that, at the start of the reporting period, are awaiting disposition.

Filed - A count of cases that have been filed with the court for the first time during the reporting period.

Resolved - A count of cases that have been resolved, irrespective of the manner of disposition (i.e., by decision, dismissal, denial, consolidation, or transfer), during the reporting period.

End Pending - A count of cases that, at the end of the reporting period, are still awaiting disposition.

8B. Petition for Review - Manner of Disposition Matrix

Case Type	Manner of Disposition					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Petition for Review						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Resolved Petitions for Review						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Petition for Review						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Decided Petitions for Review						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Petition for Review							
Criminal							
Civil							
Domestic Relations							
Administrative Agency							
TOTAL Decided Petitions for Review							

Petition for Review - Manner of Disposition Definitions

Manner of Disposition: The manner in which a case and the issues that it presents are resolved. Case Disposition categories include Decided, Dismissed, Denied, Transferred to Another Court, and Other Resolution.

Decided Case: A case that was given full consideration and the issues were resolved by the court with a published opinion, memorandum decision, order, per curiam affirmed, or other opinion type.

Dismissed Case: A case that a court decides warrants no further court review. Cases may be dismissed on the court's own action due to a procedural default, a decision on an appellant's motion, or a report of settlement.

Denied Case: A case that a court initially considers but, subsequently, decides does not warrant full review.

Transferred Case: A case that a court decides is more appropriate for consideration by another court and forwards to that court for consideration.

Other Resolution: A case that the court resolved in a manner of unknown specificity or in a manner not attributable to one of the previously defined manner of resolution categories.

Type of Court Opinion: The manner in which a court chooses to issue its decision on a case.

Published Opinion: An opinion that attorneys and courts can cite as legal authority. Published opinions may or may not be signed by the judges participating in the decision.

Memorandum Decision: An opinion that cannot be cited as legal authority, even though it may be signed and/or published.

Order: An opinion that provides a summary of the court's decision by stating the basic law(s) controlling that decision. Orders usually contain very limited, if any, statements of the facts and very limited, if any, statements of the court's reasoning in reaching its decision. Similar terminology: affirmed without an opinion or orders without opinion.

Per Curiam Affirmed: A very short opinion affirming the lower tribunal's decision.

Other Opinion: An opinion that is not attributable to any of the previously defined opinion categories, including decisions rendered orally from the bench.

Case Outcomes: The extent to which a court opinion modifies the judgment of a trial court or administrative agency.

Affirmed: A court opinion that agrees with a trial court or administrative agency decision in substance, interpretation of legal authority, and method used to reach a decision.

Reversed: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants overturning the original judgment. In criminal cases, all convictions are overturned, and the defendant is released from custody, whereas, in civil cases, the verdict and any damages awarded are overturned.

Reversed and Remanded: A court opinion that states that an error(s) occurred during the trial or administrative agency proceeding that warrants a completely new trial or administrative agency proceeding. If a case is not retried within the specified time limit, the case is treated as reversed.

Remanded for New Sentence Hearing Only: A court opinion in a criminal case that orders a trial court to conduct a new sentencing hearing.

Modified, Remanded to Intermediate Appellate Court: An opinion, issued by a court of last resort, that states that an error(s) occurred in an intermediate appellate court decision and orders the case remanded to that court for further review in light of the stated error(s).

Other Modifications: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants one or more alterations of the original judgment. Modifications include opinions in which the judgment is affirmed in part, reversed in part, remanded in part, or any combination thereof.

Death Penalty Case Reporting

Introduction

The *Death Penalty–Caseload Summary* matrix, which is new to this edition of the *State Court Guide to Statistical Reporting*, was developed to allow courts to track all death penalty-related issues separately from criminal appeals, due to the workload implications inherent in the amount of time needed to process these cases. The matrices make use of the following case type categories: **Death Penalty Direct Appeal**, **Death Penalty Petition for Review**, and **Death Penalty Post-Conviction Activity**. It is important to note that all death penalty-related writs should be reported under the post-conviction activity category so that courts can keep an accurate accounting of their death penalty caseloads.

The appellate court *Manner of Disposition* matrix has also been completely redesigned to allow courts to report more detailed accounts of their decisions. The *Manner of Disposition* matrix reports more detailed accounts of appellate decisions.

There are now three distinct steps to reporting case dispositions. The first step is the **Manner of Disposition** – how many cases were **Decided, Dismissed, Denied, Transferred to Another Court**, or disposed by **Other Resolution**.

The second step reports the **Type of Court Opinion** – how many cases the court disposed as **Published Opinion, Memorandum Decision, Order, Per Curiam Affirmed**, or **Other Opinion**.

The third step reports **Case Outcomes** – how many decisions were **Affirmed, Reversed, Reversed and Remanded for New Trial, Remanded for New Sentence Hearing Only, Modified and Remanded to Intermediate Appellate Court**, or resulted in **Other Modifications**.

Unit of Count: Death Penalty

The notice of appeal, petition for review, or application for writ begins a **Death Penalty** case for both intermediate appellate courts and courts of last resort. Count the *filing* of the notice/petition/application with the clerk of court as the beginning of a death penalty case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category resolved by the court during the reporting period. Report the number of death penalty case filings and dispositions according to the subject matter at issue as defined in the *Appellate Case Type Definitions*.

The *Manner of Disposition* matrix provides a means to report the manner in which appellate court death penalty cases were resolved.

Note that in the *Manner of Disposition* matrix, the *subcategories* for the major case categories have been aggregated, for ease of reporting. For example, while in the *Death Penalty–Caseload Summary* matrix there are four subcategories of **Direct Appeal** cases, in the *Death Penalty–Manner of Disposition* matrix there is a single row under the **Resolved Appeal** heading labeled **Death Penalty**, which reports on *all* the death penalty appeal cases, and thus corresponds to the **TOTAL Death Penalty Appeals** row in the *Death Penalty–Caseload Summary* matrix.

Similarly, while there are two subcategories of writs under the Death Penalty Post-Conviction Activity heading in the *Death Penalty–Caseload Summary* matrix, there is only a single row labeled **Resolved Death Penalty Writ** in the *Death Penalty–Manner of Disposition* matrix.

Notes:

Consolidated case: This is a case in which two or more notices/petitions/applications are combined and heard as one case. In reporting appellate court dispositions, all the cases except the one into which the cases were consolidated should be reported as resolved at the time of consolidation, and the resolution(s) should be reported under **Other Resolution**. When the consolidated case has been decided, the resolution should be reported under the appropriate manner of resolution category.

Terminated or Inactive case: Cases that are treated as terminated for statistical purposes, but have not been removed from the jurisdiction of the court, should be reported under **Other Resolution**. Such cases include those that are transferred to an inactive status. If the case is reactivated, report it as a new case, classified by the subject matter of the case as defined in the *Appellate Case Type Definitions*.

9A. Death Penalty - Caseload Summary Matrix

Case Type	Begin Pending	Filed	Resolved	End Pending
Death Penalty Direct Appeal				
Initial Direct Appeal				
Appeal after a Retrial				
Appeal after a Re-sentence				
Interlocutory Appeal				
TOTAL Death Penalty Direct Appeals				
Death Penalty Petition for Review				
Death Penalty Post-Conviction Activity				
Death Penalty Habeas Corpus Writ				
Other Death Penalty Writ				
TOTAL Death Penalty Post-Conviction Activity				
GRAND TOTAL				

Death Penalty - Caseload Summary Definitions

Begin Pending - A count of cases that, at the start of the reporting period, are awaiting disposition.

Filed - A count of cases that have been filed with the court for the first time during the reporting period.

Resolved - A count of cases that have been resolved, irrespective of the manner of disposition (i.e., by decision, dismissal, denial, consolidation, or transfer), during the reporting period.

End Pending - A count of cases that, at the end of the reporting period, are still awaiting disposition.

9B. Death Penalty - Manner of Disposition Matrix

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Case Type	Manner of Disposition					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Appeal						
Resolved Petition for Review						
Resolved Writ						
TOTAL Resolved Death Penalty						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Appeal						
Decided Petition for Review						
Decided Writ						
TOTAL Decided Death Penalty						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Appeal							
Decided Petition for Review							
Decided Writ							
Total Decided Death Penalty							

Death Penalty - Manner of Disposition Definitions

Manner of Disposition: The manner in which a case and the issues that it presents are resolved. Case Disposition categories include Decided, Dismissed, Denied, Transferred to Another Court, and Other Resolution.

Decided Case: A case that was given full consideration and the issues were resolved by the court with a published opinion, memorandum decision, order, per curiam affirmed, or other opinion type.

Dismissed Case: A case that a court decides warrants no further court review. Cases may be dismissed on the court's own action due to a procedural default, a decision on an appellant's motion, or a report of settlement.

Denied Case: A case that a court initially considers but, subsequently, decides does not warrant full review.

Transferred Case: A case that a court decides is more appropriate for consideration by another court and forwards to that court for consideration.

Other Resolution: A case that the court resolved in a manner of unknown specificity or in a manner not attributable to one of the previously defined manner of resolution categories.

Type of Court Opinion: The manner in which a court chooses to issue its decision on a case.

Published Opinion: An opinion that attorneys and courts can cite as legal authority. Published opinions may or may not be signed by the judges participating in the decision.

Memorandum Decision: An opinion that cannot be cited as legal authority, even though it may be signed and/or published.

Order: An opinion that provides a summary of the court's decision by stating the basic law(s) controlling that decision. Orders usually contain very limited, if any, statements of the facts and very limited, if any, statements of the court's reasoning in reaching its decision. Similar terminology: affirmed without an opinion or orders without opinion.

Per Curiam Affirmed: A very short opinion affirming the lower tribunal's decision.

Other Opinion: An opinion that is not attributable to any of the previously defined opinion categories, including decisions rendered orally from the bench.

Case Outcomes: The extent to which a court opinion modifies the judgment of a trial court or administrative agency.

Affirmed: A court opinion that agrees with a trial court or administrative agency decision in substance, interpretation of legal authority, and method used to reach a decision.

Reversed: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants overturning the original judgment. In criminal cases, all convictions are overturned, and the defendant is released from custody, whereas, in civil cases, the verdict and any damages awarded are overturned.

Reversed and Remanded: A court opinion that states that an error(s) occurred during the trial or administrative agency proceeding that warrants a completely new trial or administrative agency proceeding. If a case is not retried within the specified time limit, the case is treated as reversed.

Remanded for New Sentence Hearing Only: A court opinion in a criminal case that orders a trial court to conduct a new sentencing hearing.

Modified, Remanded to Intermediate Appellate Court: An opinion, issued by a court of last resort, that states that an error(s) occurred in an intermediate appellate court decision and orders the case remanded to that court for further review in light of the stated error(s).

Other Modifications: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants one or more alterations of the original judgment. Modifications include opinions in which the judgment is affirmed in part, reversed in part, remanded in part, or any combination thereof.

Other Appellate Case Reporting

Introduction

The *Other Appellate – Caseload Summary* matrix is new to this edition of the *State Court Guide to Statistical Reporting*. This matrix was developed to allow courts to capture the full array of cases they handle during a reporting period. **Other Appellate** case type categories include **Application for a Writ** (except death penalty-related writs), **Certified Questions**, **Advisory Opinion**, and **Original Proceeding**. Cases that cannot be correctly classified in the other reporting matrices —Appeals, Petitions for Review, or Death Penalty —should be reported in this matrix to ensure that the courts' completed caseload is captured and accurately reported.

The appellate court *Manner of Disposition* matrix, as stated above, has been completely redesigned to allow courts to report more detailed accounts of their decisions. The *Manner of Disposition* matrix reports more detailed accounts of appellate decisions.

There are now three distinct steps to reporting case dispositions. The first step is the **Manner of Disposition** – how many cases were **Decided, Dismissed, Denied, Transferred to Another Court**, or disposed by **Other Resolution**.

The second step reports the **Type of Court Opinion** – how many cases the court disposed as **Published Opinion, Memorandum Decision, Order, Per Curiam Affirmed**, or **Other Opinion**.

The third step reports **Case Outcomes** – how many decisions were **Affirmed, Reversed, Reversed and Remanded for New Trial, Remanded for New Sentence Hearing Only, Modified and Remanded to Intermediate Appellate Court**, or resulted in **Other Modifications**.

Unit of Count: Other Appellate

The application or petition begins an **Other Appellate** case for both intermediate appellate courts and courts of last resort. Count the *filing* of the application/petition with the clerk of court as the beginning of an **Other Appellate** case. The **Grand Total Dispositions** figure should be an aggregate count of the total number of cases in that category resolved by the court during the reporting period. Report the number of **Other Appellate** filings and dispositions according to the subject matter at issue as defined in the *Appellate Case Type Definitions*.

The *Manner of Disposition* matrix provides a means to report the manner in which **Other Appellate** cases were resolved.

Note that in the *Manner of Disposition* matrix, the *subcategories* for the major case categories have been aggregated, for ease of reporting. For example, while in the *Other Appellate–Caseload Summary* matrix there are four subcategories of **Original Proceeding** cases, in the *Other Appellate–Manner of Disposition* matrix there is a single row labeled **Original Proceeding**, which reports on *all* the original proceeding cases, and thus corresponds to the **TOTAL Original Proceedings** row in the *Other Appellate–Caseload Summary* matrix.

Notes:

Consolidated case: This is a case in which two or more applications/petitions are combined and heard as one case. In reporting appellate court dispositions, all the cases except the one into which the cases were consolidated should be reported as resolved at the time of consolidation, and the resolution(s) should be reported under **Other Resolution**. When the consolidated case has been decided, the resolution should be reported under the appropriate manner of resolution category.

Terminated or Inactive case: Cases that are treated as terminated for statistical purposes, but have not been removed from the jurisdiction of the court, should be reported under **Other Resolution**. Such cases include those that are transferred to an inactive status. If the case is reactivated, report it as a new case, classified by the subject matter of the case as defined in the *Appellate Case Type Definitions*.

10A. Other Appellate - Caseload Summary Matrix

Case Type	Begin Pending	Filed	Resolved	End Pending
Application for a Writ				
Habeas Corpus				
Other Writ Application				
TOTAL Applications for a Writ				
Certified Question				
Advisory Opinion				
Original Proceeding				
Bar Discipline				
Bar Admission				
Judicial Qualification				
Other Original Proceeding				
TOTAL Original Proceedings				
GRAND TOTAL				

Other Appellate - Caseload Summary Definitions

Begin Pending - A count of cases that, at the start of the reporting period, are awaiting disposition.

Filed - A count of cases that have been filed with the court for the first time during the reporting period.

Resolved - A count of cases that have been resolved, irrespective of the manner of disposition (i.e., by decision, dismissal, denial, consolidation, or transfer), during the reporting period.

End Pending - A count of cases that, at the end of the reporting period, are still awaiting disposition.

Case Type	Manner of Disposition					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Writ - All Other						
Resolved Certified Question						
Resolved Advisory Opinion						
Resolved Original Proceeding						
TOTAL Resolved Other Appellate						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Writ - All Other						
Decided Certified Question						
Decided Advisory Opinion						
Decided Original Proceeding						
TOTAL Decided Other Appellate						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Writ - All Other							
Decided Certified Question	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Decided Advisory Opinion	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Decided Original Proceeding							
Total Decided Other Appellate							

Other Appellate - Manner of Disposition Definitions

Manner of Disposition: The manner in which a case and the issues that it presents are resolved. Case Disposition categories include Decided, Dismissed, Denied, Transferred to Another Court, and Other Resolution.

Decided Case: A case that was given full consideration and the issues were resolved by the court with a published opinion, memorandum decision, order, per curiam affirmed, or other opinion type.

Dismissed Case: A case that a court decides warrants no further court review. Cases may be dismissed on the court's own action due to a procedural default, a decision on an appellant's motion, or a report of settlement.

Denied Case: A case that a court initially considers but, subsequently, decides does not warrant full review.

Transferred Case: A case that a court decides is more appropriate for consideration by another court and forwards to that court for consideration.

Other Resolution: A case that the court resolved in a manner of unknown specificity or in a manner not attributable to one of the previously defined manner of resolution categories.

Type of Court Opinion: The manner in which a court chooses to issue its decision on a case.

Published Opinion: An opinion that attorneys and courts can cite as legal authority. Published opinions may or may not be signed by the judges participating in the decision.

Memorandum Decision: An opinion that cannot be cited as legal authority, even though it may be signed and/or published.

Order: An opinion that provides a summary of the court's decision by stating the basic law(s) controlling that decision. Orders usually contain very limited, if any, statements of the facts and very limited, if any, statements of the court's reasoning in reaching its decision. Similar terminology: affirmed without an opinion or orders without opinion.

Per Curiam Affirmed: A very short opinion affirming the lower tribunal's decision.

Other Opinion: An opinion that is not attributable to any of the previously defined opinion categories, including decisions rendered orally from the bench.

Case Outcomes: The extent to which a court opinion modifies the judgment of a trial court or administrative agency.

Affirmed: A court opinion that agrees with a trial court or administrative agency decision in substance, interpretation of legal authority, and method used to reach a decision.

Reversed: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants overturning the original judgment. In criminal cases, all convictions are overturned, and the defendant is released from custody, whereas, in civil cases, the verdict and any damages awarded are overturned.

Reversed and Remanded: A court opinion that states that an error(s) occurred during the trial or administrative agency proceeding that warrants a completely new trial or administrative agency proceeding. If a case is not retried within the specified time limit, the case is treated as reversed.

Remanded for New Sentence Hearing Only: A court opinion in a criminal case that orders a trial court to conduct a new sentencing hearing.

Modified, Remanded to Intermediate Appellate Court: An opinion, issued by a court of last resort, that states that an error(s) occurred in an intermediate appellate court decision and orders the case remanded to that court for further review in light of the stated error(s).

Other Modifications: A court opinion that states that an error(s) occurred in the trial court or administrative agency process that warrants one or more alterations of the original judgment. Modifications include opinions in which the judgment is affirmed in part, reversed in part, remanded in part, or any combination thereof.

Appellate Case Type Definitions

Appeal Cases

Specific types of appeal cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Criminal Appeal Cases

An appeal of a criminal trial court conviction, sentence, or both for violation of a state or local criminal statute. In some instances, trial court decisions can be appealed before a judgment has been made (see interlocutory appeal).

Felony Criminal Appeal Case

An appeal of a trial court conviction, sentence, or both for violation of an offense that, by state criminal law, is classified as a felony.

Homicide Appeal Case: An appeal of a trial court conviction and sentence for first-degree murder. Homicide appeals exclude all cases involving death penalty issues (which is a separate case type).

Other Crimes Against the Person Appeal Case: An appeal of a trial court conviction and sentence for a crime against a person other than first-degree murder. These crimes include rape, robbery, assault, kidnapping, and child abuse.

Burglary, Theft, and Other Crimes Against Property Appeal Case: An appeal of a trial court conviction and sentence for a crime of theft, fraudulent use, or destruction of property. These crimes include burglary, theft, larceny, automobile theft, forgery, fraud, embezzlement, and vandalism.

Drug Appeal Case: An appeal of a trial court conviction and sentence for the illegal possession, sale, use, or manufacture of drugs.

All Other Felony Appeal Case: An appeal of a trial court conviction and sentence for some other felony crime that is not included in the categories above. These crimes include illegal use of weapons, driving while intoxicated or under the influence of alcohol or drugs, or some other violation of public order.

Other Criminal Appeal Case

An appeal of a trial court judgment or decision that does not involve issues concerning the conviction of a felony.

Other Criminal - Misdemeanor Appeal Case: An appeal of a trial court conviction, sentence, or both for violation of an offense that, by state or local law, is classified as a misdemeanor.

Other Criminal - Interlocutory Appeal Case: A case filed with an appellate court before a trial court has reached a final judgment. Resolutions of these appeals are not dispositive of trial court proceedings and generally concern a procedural aspect of the trial court process.

All Other Criminal Appeal Case: An appeal of a criminal trial court conviction, sentence, or both of a violation of unknown specificity or a criminal appeal not attributable to one of the previously defined criminal appeal categories.

Civil Appeal Cases

An appeal of a civil trial court judgment concerning a dispute over the enforcement of a right or the redress of harm or other wrongful action. Civil appeals include disputes in the areas of general civil litigation, landlord tenant and eviction, and small claims.

General Civil Appeal Case

An appeal of a trial court decision concerning a dispute over the interpretation or application of tort, contract, or real property laws.

Tort Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving harm caused by a party's negligent or intentional failure to act or a party's imposition of some harmful action. Tort appeals include disputes in the areas of admiralty, automobile accidents, general negligence, insurance, legal and medical malpractice, product liability, slander and libel, and wrongful death.

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Appeal Case Definitions *(continued)*

Civil Appeal Cases *(continued)*

Contract Appeal Case: An appeal of a trial court judgment concerning a dispute over issues related to an agreement between two or more parties involving the exchange of money for goods or services. Contract appeals include disputes involving buyers and sellers, employment (e.g., discrimination, wrongful discharge), fraud, foreclosure, debt collection, and garnishment.

Real Property Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving the ownership, use, boundaries, or value of property.

Combination of Tort, Contract, or Property Case: An appeal of a trial court judgment concerning a dispute over issues involving a combination of tort, contract, or real property laws.

Landlord Tenant and Eviction Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving a contract between a landlord and a tenant.

Small Claims Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving damages sought through a specialized set of procedures that are designed for cases with a limited dollar amount, as defined by statute, in controversy.

Other Civil Appeal Case: An appeal of a civil trial court judgment that concerns a dispute over civil issues of an unknown specificity or a civil appeal not attributable to one of the previously defined civil appeal categories, such as estate (e.g., probate, wills, and intestate), mental health, civil forfeiture, civil contempt, and water rights. This category also includes interlocutory appeals.

Domestic Relations (or Family Law) Appeal Cases

An appeal of a trial court judgment concerning a dispute over issues that involve divorce, child support, child custody and visitation, dependency and delinquency, and other family law issues.

Divorce Appeal Case: An appeal of a trial court judgment that concerns a dispute over issues involving the termination of a marriage, alimony, and contact between the parties.

Child Support Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving the terms and maintenance of agreements to support a child or children financially.

Child Custody or Visitation Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving the terms and maintenance of agreements governing custody and visitation.

Dependency or Delinquency Appeal Case: An appeal of a trial court judgment concerning a dispute over issues involving child abuse and neglect or criminal offenses by juveniles.

Other Domestic Relations Appeal Case: An appeal of a trial court judgment concerning a dispute over domestic relations issues of an unknown specificity or a domestic relations appeal not attributable to one of the previously defined domestic relations appeal categories, such as parental rights, adoption, guardianship, conservatorship, trusteeship, paternity, and restraining orders. This category also includes interlocutory appeals.

Administrative Agency Appeal Cases

An appeal of an administrative agency decision. These agencies have a combination of legislative, executive, and judicial functions, which they use to carry out legislative policy. Administrative agency appeals include the areas of workers' compensation, unemployment compensation (or economic security), licensing, revenue, utility (or public services), and other areas (e.g., historical preservation) that vary from court to court.

Workers' Compensation Appeal Case: An appeal of an administrative agency decision concerning a dispute over the eligibility and terms of compensation for workers injured on the job. Workers' compensation includes the areas of permanent total disability, permanent partial disability, temporary total disability, and temporary partial disability.

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Appeal Case Definitions *(continued)*

Administrative Agency Appeal Cases *(continued)*

Unemployment Compensation (or Economic Security) Appeal Case: An appeal of an administrative agency decision concerning a dispute over the eligibility and benefit payments for loss of employment.

Licensing Appeal Case: An appeal of an administrative agency decision concerning a dispute over issues involving the issuance, suspension or continuation, or termination of a license that allows a business or corporation to provide and sell goods and services.

Revenue Appeal Case: An appeal of an administrative agency decision concerning a dispute over issues involving tax laws and their application.

Utility (or Public Service) Appeal Case: An appeal of an administrative agency decision concerning a dispute over issues involving the setting, justification, and application of utility rates and regulations.

Other Administrative Agency Appeal Case: An appeal of an administrative agency decision concerning a dispute over issues of an unknown specificity or an administrative agency appeal not attributable to one of the previously defined administrative appeal categories (e.g., civil service commission).

Petition for Review Cases

Specific types of petition for review cases are listed below in the order in which they appear in the **Caseload Summary** and **Manner of Disposition** matrices.

Criminal Petition for Review Cases

A petition for review of a criminal trial court conviction, sentence, or both for violation of a state or local criminal statute.

Felony Criminal Petition for Review Case

A petition for review of a trial court conviction, sentence, or both for violation of an offense that, by state criminal law, is classified as a felony.

Homicide Petition for Review: A petition for review of a criminal trial court conviction and sentence for first-degree murder. Homicide petitions for review exclude all cases involving death penalty issues (which is a separate case type).

Other Crimes Against the Person Petition for Review: A petition for review of a trial court conviction and sentence for a crime against a person other than first-degree murder. These crimes include rape, robbery, assault, kidnapping, and child abuse.

Burglary, Theft, and Other Crimes Against Property Petition for Review: A petition for review of a trial court conviction and sentence for a crime of theft, fraudulent use, or destruction of property. These crimes include burglary, theft, larceny, automobile theft, forgery, fraud, embezzlement, and vandalism.

Drug Appeal Case: An appeal of a trial court conviction and sentence for the illegal possession, sale, use, or manufacture of drugs.

Other Felony Petition for Review: A petition for review of a trial court conviction and sentence for some other felony crime that is not included in the categories above. These crimes include illegal use of weapons, driving while intoxicated or under the influence of alcohol or drugs, or some other violation of public order.

Other Criminal Petition for Review Case

A petition for review of a trial court judgment or decision that does not involve issues concerning the conviction of a felony.

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Petition for Review Case Definitions *(continued)*

Criminal Petition for Review Cases *(continued)*

Misdemeanor Petition for Review: A petition for review of a trial court conviction, sentence, or both for violation of an offense that, by state or local law, is classified as a misdemeanor.

Interlocutory Petition: A petition for review filed with an appellate court before a trial court has reached a final judgment. These petitions are not dispositive of trial court proceedings and generally concern a procedural aspect of the trial court process.

All Other Criminal Petition for Review: A petition for review of a criminal trial court conviction, sentence, or both of a violation of unknown specificity or a criminal petition for review not attributable to one of the other previously defined criminal petition for review categories.

Civil Petition for Review Cases

A petition for review of a civil trial court judgment concerning a dispute over the enforcement of a right or the redress of harm or other wrongful action. Civil petitions for review include disputes in the areas of general civil litigation, landlord tenant and eviction, and small claims.

General Civil Petition for Review: A petition for review of a trial court decision concerning a dispute over the interpretation or application of tort, contract, or real property laws.

Tort Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving harm caused by a party's negligent or intentional failure to act or a party's imposition of some harmful action. Tort petitions for review include disputes in the areas of admiralty, automobile accidents, general negligence, insurance, legal and medical malpractice, product liability, slander and libel, and wrongful death.

Contract Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues related to an agreement between two or more parties involving the exchange of money for goods or services. Contract petitions for review include disputes involving buyers and sellers, employment (e.g., discrimination, wrongful discharge), fraud, foreclosure, debt collection, and garnishment.

Real Property Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving the ownership, use, boundaries, or value of property.

Combination of Tort, Contract, or Property Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving a combination of tort, contract, or real property laws.

Landlord Tenant and Eviction Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving a contract between a landlord and a tenant.

Small Claims Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving damages sought through a specialized set of procedures that are designed for cases with a limited dollar amount, as defined by statute, in controversy.

Other Civil Petition for Review: A petition for review of a trial court judgment that concerns a dispute over civil issues of unknown specificity or a civil petition for review not attributable to one of the previously defined civil petition for review categories, such as estate (e.g., probate, wills, and intestate), mental health, civil forfeiture, civil contempt, and water rights. This category also includes interlocutory petitions for review.

Domestic Relations (or Family Law) Petition for Review Cases

A petition for review of a trial court judgment concerning a dispute over issues that involve divorce, child support, child custody and visitation, dependency and delinquency, and other family law issues.

Divorce Petition for Review: A petition for review of a trial court judgment that involves a dispute over issues involving the termination of a marriage, alimony, and contact between the parties.

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Petition for Review Case Definitions *(continued)*

Domestic Relations (or Family Law) Petition for Review Cases *(continued)*

Child Support Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving the terms and maintenance of agreements to support a child or children financially.

Child Custody or Visitation Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving the terms and maintenance of agreements governing custody or visitation.

Dependency or Delinquency Petition for Review: A petition for review of a trial court judgment concerning a dispute over issues involving child abuse and neglect or criminal offenses by juveniles.

Other Domestic Relations Petition for Review: A petition for review of a trial court judgment concerning a dispute over domestic relations issues of an unknown specificity or a domestic relations petition for review not attributable to one of the previously defined domestic relations petition for review categories, such as parental rights, adoption, guardianship, conservatorship, trusteeship, paternity, and restraining orders. This category also includes interlocutory petitions.

Administrative Agency Petition for Review Cases

A petition for review of an administrative agency decision. These agencies have a combination of legislative, executive, and judicial functions, which they use to carry out legislative policy. Administrative agency petitions for review include the areas of workers' compensation, unemployment compensation (or economic security), licensing, revenue, utility (or public services), and other areas (e.g., historical preservation) that vary from court to court.

Workers' Compensation Petition for Review: A petition for review of an administrative agency decision concerning a dispute over the eligibility and terms of compensation for workers injured on the job. Workers' compensation includes the areas of permanent total disability, permanent partial disability, temporary total disability, and temporary partial disability.

Unemployment Compensation (or Economic Security) Petition for Review: A petition for review of an administrative agency decision concerning a dispute over the eligibility and benefit payments for the loss of employment.

Licensing Petition for Review: A petition for review of an administrative agency decision concerning a dispute over issues involving the issuance, suspension, continuation, or termination of a license that allows a business or corporation to provide and sell goods and services.

Revenue Petition for Review: A petition for review of an administrative agency decision concerning a dispute over issues involving tax laws and their application.

Utility (or Public Service) Petition for Review: A petition for review of an administrative agency decision concerning a dispute over issues involving the setting, justification, and application of utility rates and regulations.

Other Administrative Agency Petition for Review: A petition for review of an administrative agency decision concerning a dispute over issues of an unknown specificity or an administrative petition for review not attributable to one of the previously defined administrative petition for review categories (e.g., civil service commission).

Death Penalty Cases

Death Penalty Direct Appeal Cases

An appeal that challenges the conviction, sentence, or both that resulted in the imposition of the death penalty.

Initial Direct Appeal: An appeal that challenges the conviction, sentence, or both that resulted in the imposition of the death penalty when the case has not been reviewed by a state appellate court.

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Death Penalty Cases *(continued)*

Death Penalty Direct Appeal Cases *(continued)*

Appeal after a Retrial: An appeal that challenges the conviction, sentence, or both that resulted in the imposition of the death penalty when the case has been reviewed by a state appellate court, remanded for a new trial, and, after the new trial, filed with the appellate court.

Appeal after a Re-sentencing: An appeal that challenges the conviction, sentence, or both that resulted in the imposition of the death penalty when the case has been reviewed by a state appellate court, remanded for a new sentencing hearing, and, after the new sentencing hearing, filed with the appellate court.

Interlocutory Appeal: A case filed with an appellate court before a trial court has reached a final judgment. Resolutions of these appeals are not dispositive of the trial court proceedings and generally concern a procedural aspect of the trial court process.

Death Penalty Petition for Review

A petition for review that challenges the conviction, sentence, or both that resulted in the imposition of the death penalty.

Death Penalty Post-Conviction Activity

A death penalty case that is filed when no other avenues for a remedy (e.g., an appeal or petition for review) are available.

Death Penalty Habeas Corpus Writ: An application for a writ that challenges the validity of the conviction, sentence, or both that resulted in the imposition of the death penalty by claiming that the trial or state appellate process involved violations of the convicted defendant's constitutional rights. See also Application for a Writ of Habeas Corpus (for an expanded definition).

Other Death Penalty Writ: An application for a writ that challenges the conditions of confinement or the actions of state and/or local officials.

Other Appellate Cases

Application for a Writ

A case that seeks the review of an appellate court decision and the issuance of an order either prohibiting or requiring a specific action.

Habeas Corpus: An application for a writ that challenges the legality of detention when no other avenues for a remedy (e.g., an appeal or petition for review) are available. The application may be filed in a criminal law context by offenders who are inmates in a jail or prison or by a person involuntarily committed for psychiatric treatment. Similar terminology: post-conviction relief or habeas appeals.

Other Writ Application: An application for a writ of mandamus, quo warranto, prohibition, or of unknown specificity. A writ of mandamus orders a state officer or agency to perform an action either to avoid an injury to a petitioner or to enforce a petitioner's legal right. A writ of quo warranto is filed by a petitioner, but seeks enforcement of a public right and claims that a state official has improperly used state authority. A writ of prohibition asks an appellate court to prohibit a lower court from exceeding its jurisdiction and may, in some instances, involve a state agency, state commission, or state officer.

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Other Appellate Cases *(continued)*

Certified Question

A case filed by a federal court asking a state appellate court to interpret or resolve a question of state law that is part of a case before the federal court, usually a case premised on federal diversity jurisdiction.

Advisory Opinion

A case filed by a state officer, usually a governor or an attorney general, asking an appellate court for an answer to a question of law.

Original Proceeding

A case brought before an appellate court under its exclusive, original jurisdiction.

Bar Discipline: A subcategory of original proceeding cases concerning a dispute over the discipline of an individual admitted to practice law. Underlying the dispute is an allegation of unethical conduct by an attorney, which has led to charges, a trial-like proceeding, and recommendations regarding discipline (e.g., reprimand, disbarment).

Bar Admission: A subcategory of original proceeding cases concerning a dispute over an individual's application for admission to practice law.

Judicial Qualification: A subcategory of original proceeding cases concerning a dispute over alleged improprieties by a judge. Generally, a judicial ethics board or judicial qualification commission will investigate the allegation and forward its recommendations to an appellate court.

Other Original Proceeding: A subcategory of original proceeding cases involving an issue of unknown specificity or an original proceedings case not attributable to one of the previously defined original proceeding categories, such as petitions concerning tax review and election disputes.

Appeal - Caseload Summary Matrix				
Case Type	Begin Pending	Filed	Resolved	End Pending
Criminal				
Felony - Homicide				
Felony - Other Crimes Against the Person				
Felony - Burglary, Theft, and Other Crimes Against Property				
Felony - Drug				
Felony - All Other Felony Appeals				
SUBTOTAL Felony				
Other Criminal - Misdemeanor				
Other Criminal - Interlocutory				
Other Criminal - All Other				
SUBTOTAL Other Criminal				
TOTAL Criminal				
Civil				
General Civil				
Tort				
Contract				
Real Property				
A Combination of Tort, Contract, or Property				
Landlord Tenant and Eviction				
Small Claims				
Other Civil				
TOTAL Civil				
Domestic Relations				
Divorce				
Child Support				
Child Custody and Visitation				
Dependency and Delinquency				
Other Domestic Relations Appeals				
TOTAL Domestic Relations				
Administrative Agency				
Workers' Compensation				
Unemployment Compensation				
Licensing				
Revenue				
Utility				
Other Administrative Agency				
TOTAL Administrative Agency				
GRAND TOTAL				

Appeals - Manner of Disposition Matrix						
Case Type	Manner of Resolution					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Appeal						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Resolved Appeals						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Appeal						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Decided Appeals						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Appeal							
Criminal							
Civil							
Domestic Relations							
Administrative Agency							
TOTAL Decided Appeals							

Petition for Review - Caseload Summary Matrix				
Case Type	Begin Pending	Filed	Resolved	End Pending
Criminal				
Felony - Homicide				
Felony - Other Crimes Against the Person				
Felony - Burglary, Theft, and Other Crimes Against Property				
Felony - Drug				
Felony - All Other Felony Appeals				
SUBTOTAL Felony				
Other Criminal - Misdemeanor				
Other Criminal - Interlocutory				
Other Criminal - All Other				
SUBTOTAL Other Criminal				
TOTAL Criminal				
Civil				
General Civil				
Tort				
Contract				
Real Property				
A Combination of Tort, Contract, or Property				
Landlord Tenant and Eviction				
Small Claims				
Other Civil				
TOTAL Civil				
Domestic Relations				
Divorce				
Child Support				
Child Custody and Visitation				
Dependency and Delinquency				
Other Domestic Relations Appeals				
TOTAL Domestic Relations				
Administrative Agency				
Workers' Compensation				
Unemployment Compensation				
Licensing				
Revenue				
Utility				
Other Administrative Agency				
TOTAL Administrative Agency				
GRAND TOTAL				

Petition for Review - Manner of Disposition Matrix						
Case Type	Manner of Resolution					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Petition for Review						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Resolved Petitions for Review						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Petition for Review						
Criminal						
Civil						
Domestic Relations						
Administrative Agency						
TOTAL Decided Petitions for Review						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Petition for Review							
Criminal							
Civil							
Domestic Relations							
Administrative Agency							
TOTAL Decided Petitions for Review							

Death Penalty - Caseload Summary Matrix				
Case Type	Begin Pending	Filed	Resolved	End Pending
Death Penalty Direct Appeal				
Initial Direct Appeal				
Appeal after a Retrial				
Appeal after a Re-sentence				
Interlocutory Appeal				
TOTAL Death Penalty Direct Appeals				
Death Penalty Petition for Review				
Death Penalty Post-Conviction Activity				
Death Penalty Habeas Corpus Writ				
Other Death Penalty Writs				
TOTAL Death Penalty Post-Conviction Activity				
GRAND TOTAL				

Death Penalty - Manner of Disposition Matrix

Manner of Resolution

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Case Type	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	Grand Total Dispositions
Resolved Appeal						
Resolved Petition for Review						
Resolved Death Penalty Writ						
GRAND TOTAL						

Type of Court Opinion

Case Type	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	Grand Total Opinions
Decided Appeal						
Decided Petition for Review						
Decided Death Penalty Writ						
GRAND TOTAL						

Case Outcomes

Case Type	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	Grand Total Outcomes
Decided Appeal							
Decided Petition for Review							
Decided Death Penalty Writ							
GRAND TOTAL							

Other Appellate - Caseload Summary Matrix

Case Type	Beginning Pending	Filed	Resolved	Ending Pending
Application for a Writ				
Habeas Corpus				
Other Writ Application				
TOTAL Applications for a Writ				
Certified Questions				
Advisory Opinion				
Original Proceeding				
Bar Discipline				
Bar Admission				
Judicial Qualification				
Other Original Proceeding				
TOTAL Original Proceedings				
GRAND TOTAL				

Case Type	Manner of Resolution					Grand Total Dispositions
	Decided	Dismissed	Denied	Transferred to Another Court	Other Resolution	
Resolved Writ - All Other						
Resolved Certified Question						
Resolved Advisory Opinion						
Resolved Original Proceeding						
TOTAL Resolved Other Appellate						

Case Type	Type of Court Opinion					Grand Total Opinions
	Published Opinion	Memorandum Decision	Order	Per Curiam Affirmed	Other Opinion	
Decided Writ - All Other						
Decided Certified Question						
Decided Advisory Opinion						
Decided Original Proceeding						
TOTAL Decided Other Appellate						

Case Type	Case Outcomes						Grand Total Outcomes
	Affirmed	Reversed	Reversed, Remanded for New Trial (or Administrative Hearing)	Remanded for New Sentence Hearing Only	Modified, Remanded to Intermediate Appellate Court	Other Modifications	
Decided Writ - All Other							
Decided Certified Question	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Decided Advisory Opinion	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Decided Original Proceeding							
GRAND TOTAL							

