

Arizona Supreme Court Steering Committee on Data-Based Court Performance and Data Standards

September 30, 2020 Meeting Agenda
Zoom Meeting
9:00 a.m. to 12:30 p.m.

Call to Order

9:00 a.m.	Welcome/Opening Remarks	Hon. James Beene, Chair
	➤ Introductory Comments	
	➤ Introduction of members, staff, and guests	All

Regular Business

9:05 – 9:15	➤ Review Administrative Order 2020-53 ➤ Committee Charge ➤ Committee Objectives and Goals	Hon. James Beene, Chair
9:15 – 9:20	➤ Adoption of Rules for Conducting Committee Business**	Hon. James Beene, Chair
9:20 – 9:30	➤ Time Standards Overview	Ms. Marretta Mathes, AOC
9:30 – 9:50	➤ Minnesota Judicial Branch Data	Ms. Karen Mareck, Minnesota Deputy Court Services Director
9:50 – 10:10	➤ National Open Court Data Standards (NODS) ➤ Data Governance	Mr. Dave Byers, AOC Mr. Patrick McGrath, AOC
10:10 – 10:15	➤ Break	

Workgroup Assignments

10:15 – 11:45	➤ Workgroup Assignments ➤ Group 1 Civil and Probate ➤ Group 2 Family and Dependency ➤ Group 3 Criminal, Juvenile, and Traffic	Hon. James Beene, Chair
11:45 – 12:15	➤ Workgroups Report Out	All

Next Meeting Dates

12:15 – 12:20	➤ 2020 & 2021 Meeting Dates	Hon. James Beene, Chair
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Call to Public

Hon. James Beene, Chair

Adjourn

12:30 p.m.

➤ Adjournment

Hon. James Beene, Chair

*Action Item***

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IN THE SUPREME COURT OF THE STATE OF ARIZONA

In the Matter of:)
)
ESTABLISHMENT OF THE STEERING) Administrative Order
COMMITTEE ON DATA-BASED) No. 2020 - 53
COURT PERFORMANCE AND)
DATA STANDARDS)
_____)

Accurate court case data is essential to achieving timely case resolution, efficient and effective allocation of judicial resources, and supporting policy decisions. Further, court digital data is now exchanged with a myriad of other government agencies impacting driving, criminal, and voting records, and can impact the issuance and quashing of warrants, credit reporting, prison terms length, gun ownership, employment, officer safety, military service, and other significant activities. Data standards are also integral to an objective measurement and analysis of case processing times achieved in Arizona courts. Standards for what data is collected, and who collects it, are integral to being able to train staff and monitor completeness.

Therefore, pursuant to Article VI, Section 3, of the Arizona Constitution,

IT IS ORDERED that the Steering Committee on Data-Based Court Performance and Data Standards is established as follows:

1. **Purpose.** The Committee shall identify court data that is needed to make data-based decisions related to case processing, court policy and management decisions, allocation of court resources, and data exchanges with other government entities. The Committee shall make recommendations regarding what data elements need to be collected in each case type, data governance, and other steps needed to improving data quality. The Committee also shall annually review Arizona case management data to assess conformance with the Supreme Court of Arizona’s time standards and, as desirable, recommend adjustments to existing time standards.
2. **Membership.** The individuals listed in Appendix A are appointed as members of the Committee effective immediately and ending December 31, 2021. The Chief Justice may appoint additional members as may be necessary.
3. **Meetings.** All meetings shall comply with the public meeting policy of the Arizona Judicial Branch, Arizona Code of Judicial Administration § 1-202. Committee meetings shall be scheduled at the discretion of the Committee Chair.

4. **Reports.** The Committee shall submit a report of its findings and recommendations to the Arizona Judicial Council no later than December 31, 2020.
5. **Staff.** Under the general direction of the Administrative Director, the Administrative Office of the Courts shall provide staff to assist the Committee and, as feasible, to conduct or coordinate research and consult with external experts as requested by the Committee.

Dated this 25th day of March, 2020.

ROBERT BRUTINEL
Chief Justice

APPENDIX A

**MEMBERSHIP LIST
STEERING COMMITTEE ON DATA QUALITY AND STANDARDS**

Chair

Hon. James Beene, Justice
Arizona Supreme Court

Members

Shelly Bacon
Deputy Court Administrator
Superior Court in Coconino County

Donna McQuality
Clerk of Court
Superior Court in Yavapai County

Hon. Thomas L. Chotena
Presiding Magistrate
Flagstaff Municipal Court

Rich McHattie
Chief Technology and Innovation Officer
Clerk of Superior Court's Office
Superior Court in Maricopa County

Jennifer Curtiss
Court Administrator
Carefree/Cave Creek Consolidated Court

Hon. Michael Peterson
Presiding Judge
Superior Court in Graham County

Danny Davis
Court Administrator
Municipal Court in Chandler

Marcus W. Reinkensmeyer
Director, Court Services Division
AOC, Arizona Supreme Court

Hon. Jill Davis
Justice of the Peace
Lake Havasu Justice Court

Hon. Keith Russell
Presiding Justice of the Peace
Maricopa County Justice Courts

Hon. Pamela Frasher-Gates
Civil Presiding Judge
Superior Court in Maricopa County

Richard Woods
Deputy Court Administrator
Superior Court in Maricopa County

Hon. Ken Lee
Presiding Judge, Probate bench
Superior Court in Pima County

Staff

Marretta Mathes
Court Project Specialist
Administrative Office of the Courts



Data Governance and National Open Data Standards

Steering Committee on Data-Based
Court Performance and
Data Standards

September 30, 2020

Overview

- Arizona's Data Driven Strategic Agenda
- Growing Need for Data Governance and data quality assurance
 - National Open Data Standards
 - The Path Forward for Arizona



Goal 3: Promoting Judicial Branch Excellence and Innovation

“We must examine our existing practices, and we should continue to innovate new approaches to streamline, simplify, and enhance our services and programs.”



2019 - 2024

Justice for the Future

PLANNING FOR EXCELLENCE



Data-Based Decision Making

- Identify key data both judges and courts managers find most useful.
- Use technology to provide court management tools that assemble and present the data necessary to make informed policy and business-related decisions.
- Business Intelligence
- Data Quality



2019 - 2024

Justice for the Future

PLANNING FOR EXCELLENCE



Court and Justice System Data

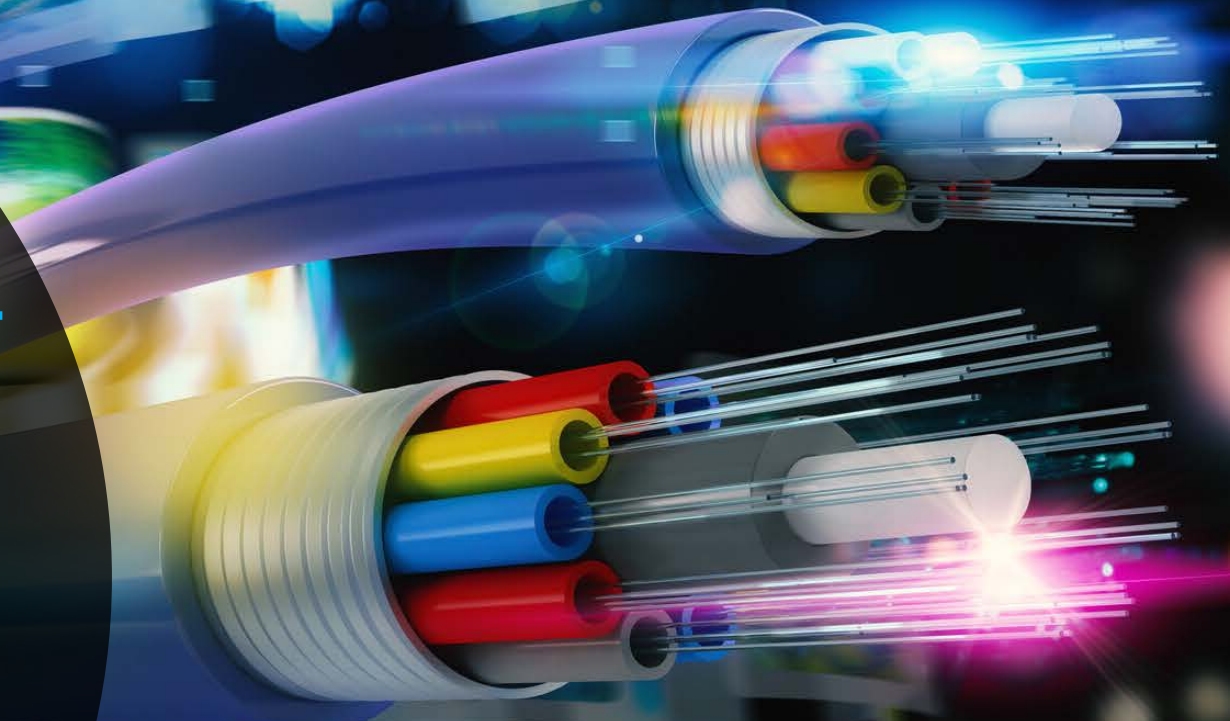
- More Important Now
 - Digitized documents, images, videos
- Data Integration:
 - Justice Agencies
 - Law Enforcement
 - Motor Vehicle Division
 - Collections
 - Voting
 - Child Safety
 - NICS



Digital Data Adds to Risk

**Data is now
exchanged and causes
events to occur**

- AZPOINT
- Motor Vehicle Division
- Corrections
- Criminal Repository
- NICS
- Enforcement / Collections
- Warrants
- Electronic Citations



The Growing Need for Data Governance

- Avoiding the pitfalls of unmanaged data
- Public safety and data exchange
- Management of business operations and service delivery
- Ongoing system improvements
- Resource allocation
- High value of data – new “Gold”
- Public information – “A Good Story to Tell”

National Open Data Standards: Practical Use in Arizona Courts

-
- NODS Elements – Which elements do Arizona Courts Need for Each Case Type?
 - Who will input the required data?
 - Improvements in data quality
 - Standardize the format of data to be exchanged, e.g., event codes and case categories



Arizona Supreme Court Committee on Data-based Decision Making

- Identify key data useful to judges and court managers
- Recommend data standards and data quality measures
- Data governance
- Review time standards performance data



For Further Information

David K. Byers

Administrative Director, AOC

dbyers@courts.az.gov



Arizona Case Processing Time Standards

*Steering Committee on Data-Based Court Performance and Data
Standards*

September 30, 2020

Committee Background

- Established in October 2012 and has continued its work over the years
- Recommended provisional case processing standards for 23 case types
- Final case processing standards recommended and adopted for 22 case types



Limited Jurisdiction Case Types

1. DUI Misdemeanor
2. Civil Traffic
3. Justice Court Civil
4. Criminal Misdemeanor
5. Civil Local Ordinance
6. Justice Court Evictions
7. Small Claims
8. Protection Orders – Ex Parte Hearings
9. Protection Orders – Contested Hearings*

* Final case processing standard recommendation tabled for further data review

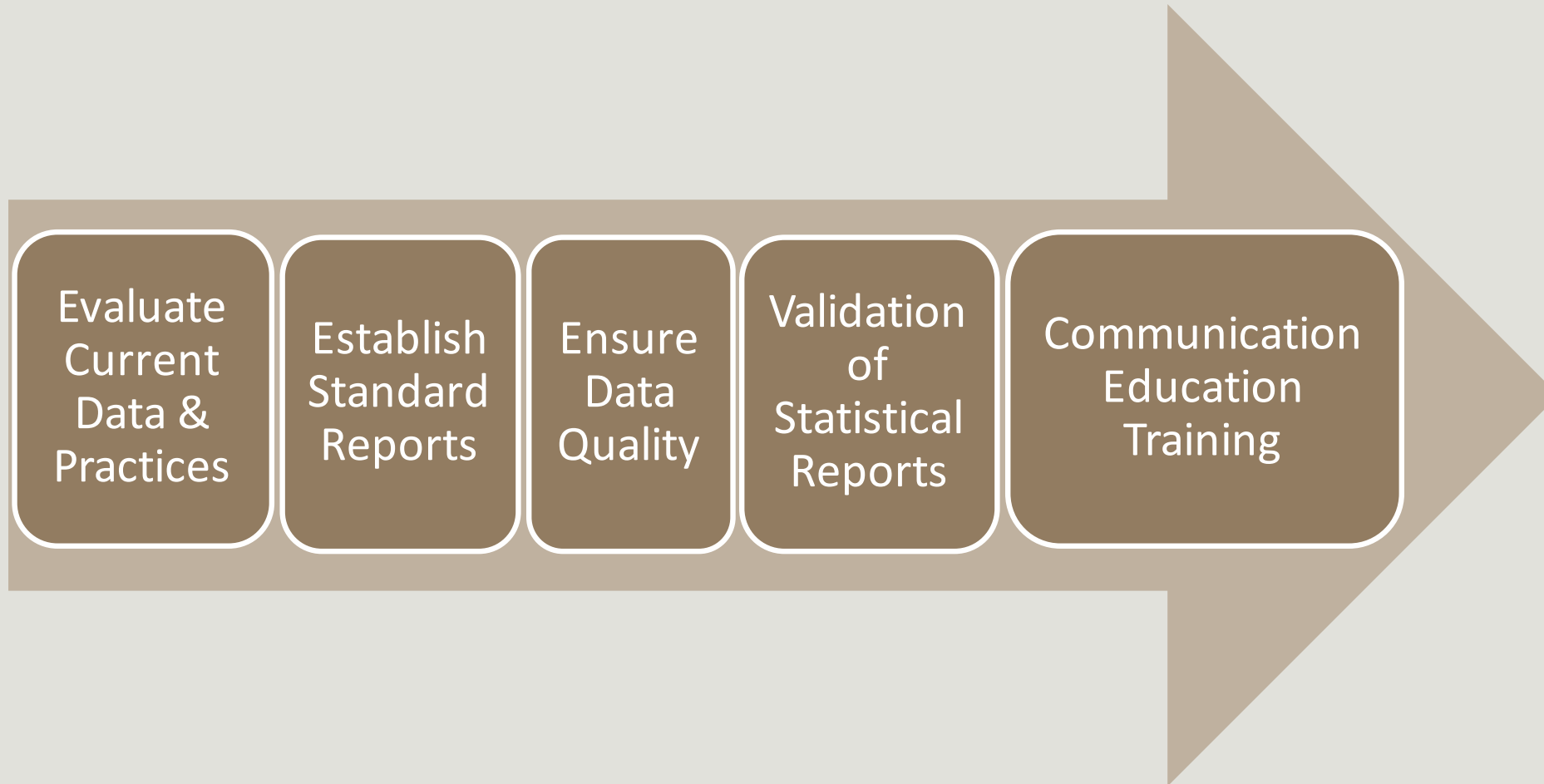
General Jurisdiction Case Types

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5. Family Law Pre-Decree Temporary Orders
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7. Probate Guardianship/Conservatorship
8. Probate Mental Health
9. Juvenile Delinquency and Status Offense
10. Neglect and Abuse Permanency Hearings
11. Neglect and Abuse Adjudication Hearings
12. Termination of Parental Rights
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14. Family Law Post-Judgment Motions
15. Limited Jurisdiction Court Appeals
16. Protection Orders – Contested Hearings*

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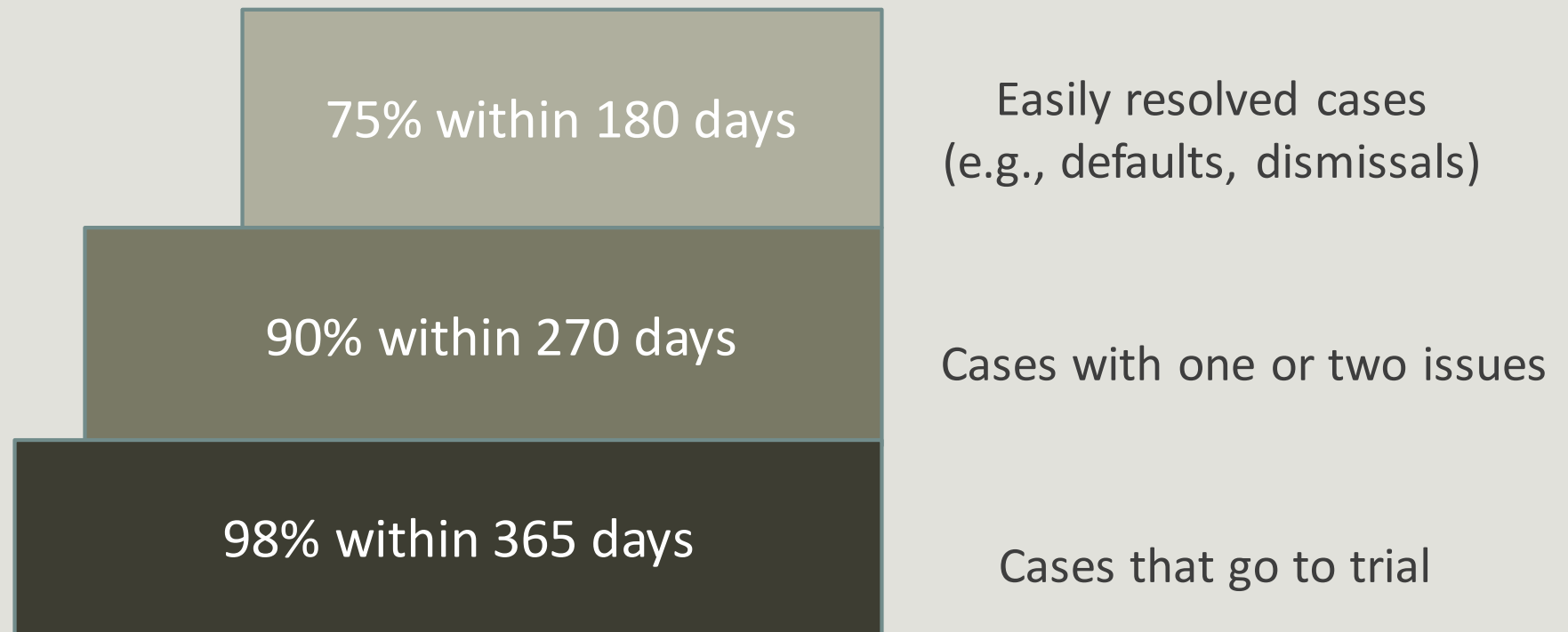


Path to Standards Development and Implementation



Three-Tier Model

Example: Dissolution and Allocation of Parental Rights



Time Measurement



Time to Disposition : Date of filing of a particular document through a concluding event or case status

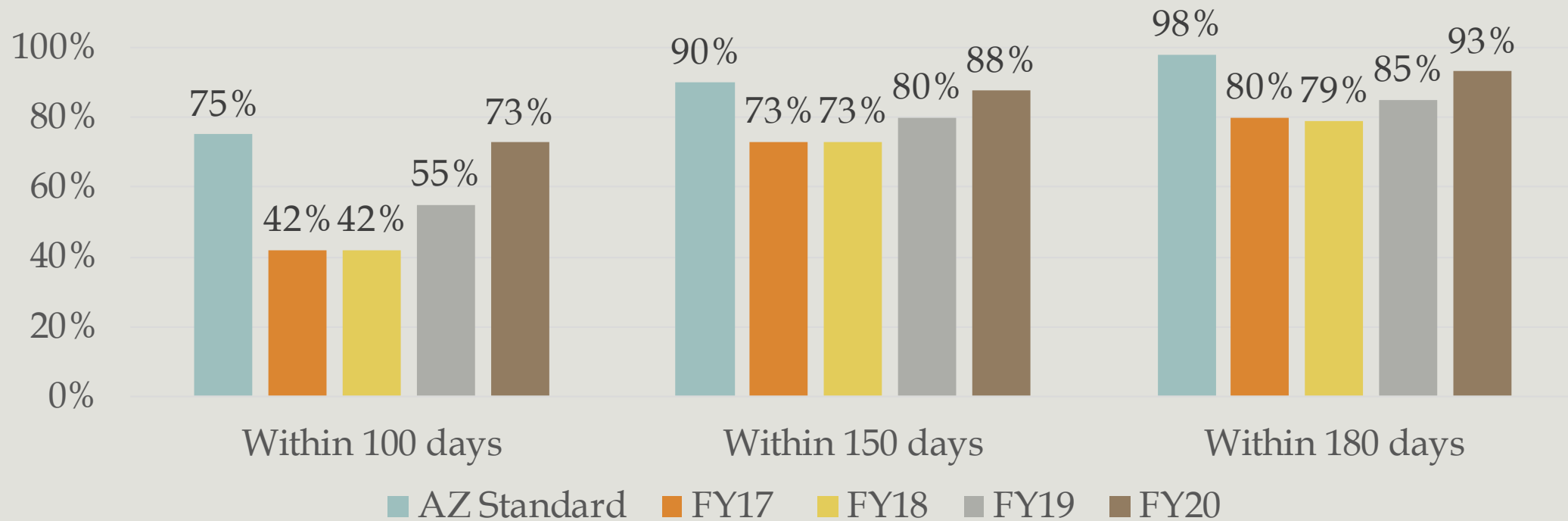
Age of Active Pending: Date of filing of a particular document through date report is run

Excluded time is subtracted

- Excluded Time: periods of time which are out of the court's control and are excluded from the calculation of time to disposition

Small Claims Case Processing

Small Claims Time Standards Trends FY17-FY20



Data Standards Committee

Annually review Arizona case management data to assess conformance with time standards and if necessary, recommend adjustments to existing standards

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Workgroup Assignments

10:15 – 11:45	➤ Workgroup Assignments ➤ Group 1: Case; Participant; Status; Attorney/Advocate; Civil Judgements; Probate Monitor & Review ➤ Group 2: Pleadings; Motions & Filings; Hearings & Events; Orders; Dependency/Permanency; ADR	Hon. James Beene, Chair
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		➤ Group 3: Charges; Pre-trial Intake; Diversions; Sanctions; Post-trial	
11:45 – 12:15		➤ Workgroups Report Out	All
Next Meeting Dates			
12:15 – 12:20		➤ 2020 & 2021 Meeting Dates	Hon. James Beene, Chair
Call to Public			
			Hon. James Beene, Chair
Adjourn			
12:30 p.m.		➤ Adjournment	Hon. James Beene, Chair
<i>Action Item**</i>			
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A vertical red abstract graphic on the left side of the slide, featuring overlapping, curved, semi-transparent shapes in various shades of red and orange, creating a dynamic, layered effect.

IMPROVING DATA QUALITY IN ARIZONA COURTS

NODS

National Open Data Standards

The graphic features a dark background with vibrant, flowing red and orange abstract shapes. The text is centered and presented in a bold, white, sans-serif font.

NATIONAL COURT OPEN DATA STANDARDS PROJECT

- Courts share concern over data consistency, data quality, and the potential for misinterpretation of court data once released. NODS was undertaken to address this concern
- NODS is a comprehensive set of Data Elements published by NCSC and promoted as best practices within the courts
- Consists of 368 Data Elements under 17 Categories covering 7 Case Types



NODS CASE TYPES

1. **CIVIL** - (Superior Court; Justice Court;)
 2. **PROBATE** - (Superior Court)
 3. **FAMILY LAW** - (Superior Court)
 4. **DEPENDENCY** - (Superior Court)
 5. **JUVENILE** - (Superior Court)
 6. **CRIMINAL** - (All Court Types)
 7. **TRAFFIC** - (All Court Types)
- All NODS Data Elements apply to at least one or more of the above Case Types

NODS DATA ELEMENTS CATEGORIES

Case - 52 Elements- case types/tracks/dispositions

Participant - 43 Elements- Demographics & identifiers

Attorney/Advocate - 15 Elements- address info & types

Status - 3 Elements- changes & reasons for changes

Pleadings - 32 Elements- types & requests within

Motions & Filings - 9 Elements- types & outcomes

Hearings & Events - 34 Elements- types, attendees

Orders - 25 Elements- types & results

Charges - 43 Elements- codes, class, dispositions

NODS DATA ELEMENTS CATEGORIES (CONTINUED)

Pre-Trial Intake - 26 Elements- release decisions & characteristics

Diversions - 5 Elements- types & entry/exit dates

Civil Judgments - 7 Elements- who prevailed/ damage types

Sanctions - 20 Elements- sentence types & conditions

Dependency Permanency - 6 Elements- plan types & dates

Probate Review & Monitor - 27 Elements- due dates & financial info

Post-Trial - 5 Elements- post-adjudication violations

ADR - 10 Elements- types & outcomes

WORK GROUPS TASK AND APPROACH

For each of the 368 Data Elements, identify those that AZ courts should or should not capture

- Reasons why or why not
- The data source for each NODS element
- The staff responsible for entering the data

Present Recommendations to AJC

- This Committee shall recommend to AJC which NODS elements should be required
- Code section will be developed and adopted by AJC to Govern data collection

Statewide Deployment Decisions

- Set timeframe for implementation
 - Prioritize by Case Type or NODS Category, or Court or CMS?

WHY CAPTURE A NODS ELEMENT?

Important
Case/Party Attribute
or Milestone Event

Data Sharing Among
Courts and Other
Agencies

Public Safety

Case Flow Mgt/
Court Performance

Federal, State and
Local mandates

REASONS NOT TO CAPTURE A NODS ELEMENT?

No Consistent Data
Source

Not Important for
processing a case

Data Entry may be
more appropriate in a
system outside the
court case
management system

The automation
updates, business
process changes and
training too significant
for the value gained

WORKSHEET FOR NODS ANALYSIS

Case Types												NODS CASE	
civ	fam	prob	dep	juv	crim	traf	#	Data Element	Definition	Value Examples	Capture? Y/N	Why?	
x	x	x	x	x	x	x	1	Court Case Identifier	Series of characters that identifies the court case	Court Type/Location/category/year/number	y	Important Case/Party Event	
x	x	x	x	x	x	x	2	State	State where the case was filed	All AZ	Y	Public Safety	
x	x	x	x	x	x	x	3	Court	Court where the case was filed (e.g., county, court code, court level, locality)	Court codes part of case number	y	Important Case/Party Event	
NODS CASE													
Capture? Y/N		Why?		Why Not?		Data Source		Data Entry By:		Comment			
y		Important Case/Party Attribute or Event				Filed Document		Judicial Staff					
Y		Public Safety				Filed Document		Data Entry Clerk					
y		Important Case/Party Attribute or Event				Filed Document		Data Entry Clerk					

PRELIMINARY ANALYSIS

- 7 Case Types
- 17 NODS Categories
- 84% NODS Coverage

NODS CATEGORY		TOTAL ELEMENTS	YES	NO
<i>(# of Case Types Covered out of 7 Total)</i>				
CASE <i>(7 of 7)</i>		52	47	5
PARTICIPANT <i>(7 of 7)</i>		43	39	4
ATTORNEY/ADVOCATE <i>(7 of 7)</i>		15	14	1
STATUS <i>(7 of 7)</i>		3	3	0
PLEADINGS <i>(7 of 7)</i>		32	28	4
MOTIONS & FILINGS <i>(7 of 7)</i>		9	8	1
HEARINGS & EVENTS <i>(7 of 7)</i>		34	30	2
ORDERS <i>(7 of 7)</i>		25	19	6
CHARGES <i>(3 of 7)</i>		43	41	2
PRE-TRIAL INTAKE <i>(3 of 7)</i>		26	21	5
DIVERSIONS <i>(3 of 7)</i>		5	2	3
CIVIL JUDGMENTS <i>(1 of 7)</i>		7	5	2
SANCTIONS <i>(4 of 7)</i>		26	19	7
DEPENDENCY PERMANENCY <i>(1 of 7)</i>		6	6	0
PROBATE REVIEW & MONITOR <i>(1 of 7)</i>		27	14	13
POST-TRIAL <i>(3 of 7)</i>		5	5	0
ADR <i>(5 of 7)</i>		10	8	2
	TOTALS	368	309	57
	% OF TOTAL		84.0%	15.5%

NATIONAL CENTER FOR STATE COURTS

- Link to the NODS Project

<https://www.ncsc.org/services-and-experts/areas-of-expertise/court-statistics/national-open-court-data-standards-nods>

QUESTIONS/COMMENTS?



Thanks for your time – Call me at 602-452-3335 or E-mail me at pmcgrath@courts.az.gov



Let me know if you'd like a copy of these slides, or if you think of any questions.

Arizona Case Processing Time Standards

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September 30, 2020

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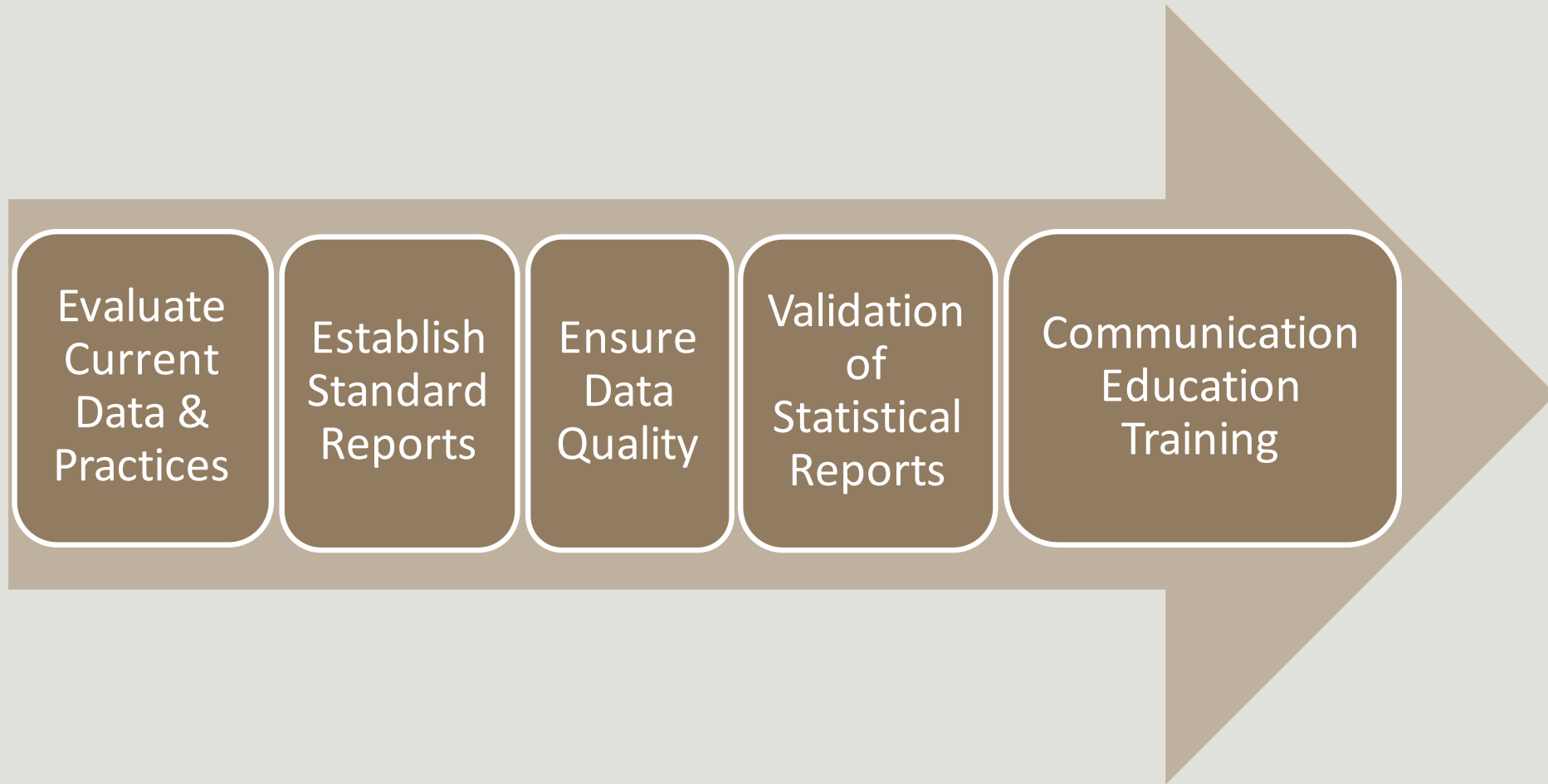
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Path to Standards Development and Implementation



Three-Tier Model

Example: Dissolution and Allocation of Parental Rights



Time Measurement



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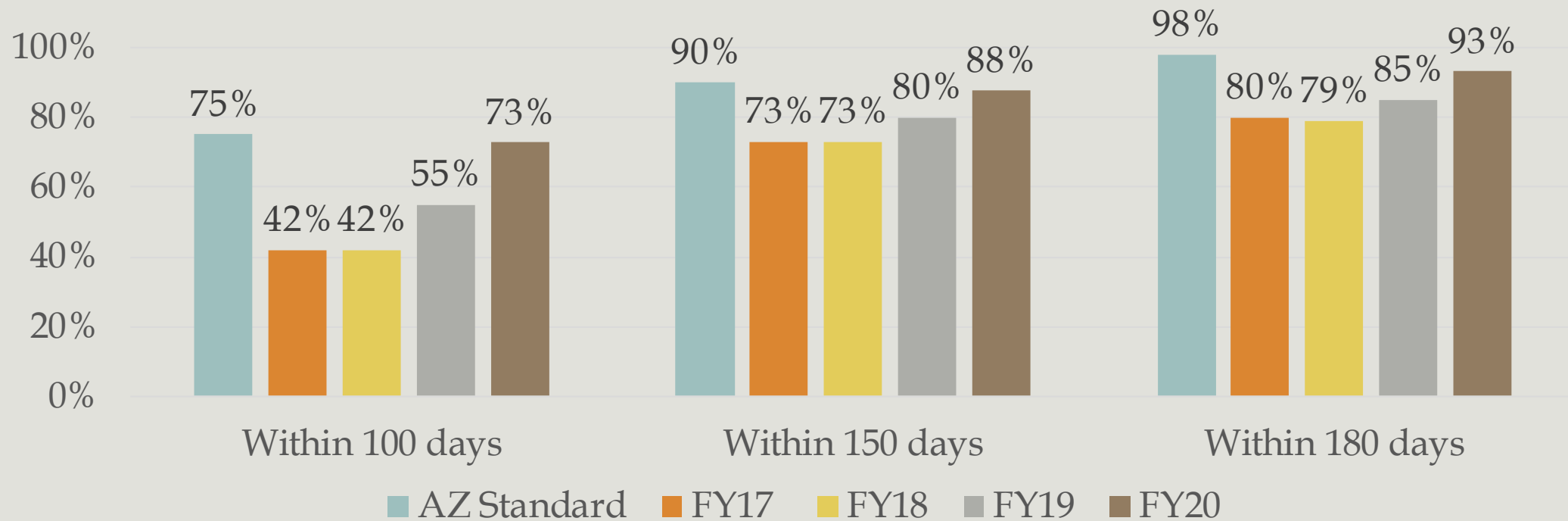
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Small Claims Time Standards Trends FY17-FY20



Data Standards Committee

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Minnesota Data Quality Efforts

Karen Mareck

September 30th, 2020



**MINNESOTA
JUDICIAL BRANCH**

*To provide justice through a system that
assures equal access for the fair and timely
resolution of cases and controversies*

MJB Mission Statement

Background

- Historically, Minnesota district courts were locally-funded, locally-operated entities, and followed local practices/protocols
- By the early 2000s, Minnesota transitioned to a unified, state-funded court system, utilizing a statewide electronic case management system.
- By the mid 2010s, Minnesota transitioned to an all-electronic court record



Growing Importance of Data Quality & Consistency

- Three major factors:
 - Increased access to court records
 - Increased information-sharing in our justice system
 - Increased complexity of court rules
- Needed new strategy to bring uniformity to case processing, and to make our employees more successful in this complex work

Part 1: Uniform Case Processing

Established **Court Administration Processes (CAPs)**

- First began developing in 2008.
- Originally intended to be “best practices” individual courts could follow when processing various case types
- Because CAPs were optional, local practices, variations persisted
- In 2017, began transition to “mandatory” CAPs

Mandatory CAPs

- Taking phased approach to launch of mandatory CAPs
- Reviewing each existing CAP one-by-one, and allowing courts/judicial districts to weigh-in on necessary updates/changes
- Once a CAP is revised and re-published, it becomes mandatory for each court in the state
- Formed a dedicated unit to draft, test, and publish mandatory CAPs

110.11 Case Initiation - Criminal
Case Management - General Processes
Court Administration Process

Processes

Complaint (Electronic Process)

The eCharging application created by the BCA is the method for electronically filing signed complaints.¹ The data elements from the signed complaint are submitted to MNCS electronically from the eCharging application; no paper document is filed by the prosecutor. See section: [Other Resources](#) for eCharging Training Materials on OneCourt.

NOTE: The following automatically occurs when the case is accepted in MNCS:

- Parties are added to the Parties tab. (for example, defendant, prosecutor).
- Applicable case events reflecting the complaint type are added to the Events tab (for example - e-Filed Comp-Summons or e-Filed Comp).
- Charges are added to the Charges tab.

When a complaint appears in the eComplaints workflow queue (after the judge has signed it in eCharging):


Staff Actions

1. Access the workflow queue in MNCS.
2. Process the items in the eComplaints queue.
 - a. If party matching options are presented through the automation, select the appropriate party record. See section: [Other Resources](#) for CAP 140.00 Party Record.
 - b. Accept the complaint for filing.

NOTE: Court staff must not reject a filing unless it is at the request of a judicial officer.

3. Access case in MNCS and proceed with the steps below.
4. Determine the type of complaint based on the case event and proceed accordingly:
 - For a Complaint Summons, schedule an Arraignment (ARR) for misdemeanor cases or First Appearance (FAP) hearing for gross misdemeanor and felony cases, which triggers the complaint document to be sent from eCharging to MNCS. If a different hearing type is scheduled, the complaint document will not be sent automatically.
 - For a Complaint - Order for Detention, schedule the applicable hearing.
 - For a complaint warrant, activate a warrant. See section: [Other Resources](#) for CAP 111.10 Warrants.

¹ Minn. R. Crim. P. 1.06

 MINNESOTA JUDICIAL BRANCH

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Mandatory CAPs

- Data quality analysts monitor statewide compliance
- Each CAP contains “monitoring methods” for how compliance can be tracked/measured
- The unit publishes a yearly “Compliance Plan”
- Able to see where issues/inconsistencies exist, and provide training/guidance to correct issues



This plan details the significant entry points that the CAPs Unit at SCAO will monitor July 1, 2020 through March 31, 2021 as provided in Policy 506(g) Court Administration Processes (CAPS), Appendix A, [Compliance Plan](#).

Significant Entry Points

CAP 110.41 Document Security Classification See Statewide Document Security Monitoring Plan for full details	CAP 130.20 Interpreter Scheduling Significant Entry Point #2 : Record the interpreter in the hearing minutes
CAP 210.20 Dispositions Significant Entry Point #1 : Enter the applicable disposition type for the charge(s)	CAP 320.35 Juvenile Protection - Dispositions Significant Entry Points #2, 3 : Verify case the status is correct, adjust if needed. Disposition entry may add a new case status when the case is open or under court jurisdiction. Schedule post-permanency review hearing: State Ward for Adoption (SWADOPT)

CAPs Unit Responsibilities

The CAPs Unit monitors compliance trends related to significant data points as identified in [Policy 506\(g\) Court Administration Processes \(CAPS\)](#). Based on findings, it may determine that further review of the CAP, system development, or training will assist court administration with compliance.

On or about July 1, 2020 the unit will review data quality queries and/or reports relevant to the significant entry points listed above. Additional reviews will occur after three, six, and nine months to observe data quality and compliance status at those points in time. The unit may also conduct random monitoring. If it identifies areas of concern on the significant entry points listed above, unit staff will contact court administration¹ to discuss an approach to address these areas of concern.

The CAPs Unit will report to the deputy district administrators findings from the initial, three, six, and nine month data quality queries and/or reports. The unit will report findings to JAD every nine months. The nine-month report may include suggested modifications to this plan, such as new significant entry points.

As it identifies data quality trends, the CAPs unit may also publish in The Source trend details and helpful reminders or tips to reduce data quality errors.

In addition to the significant entry points above, the CAPs Unit will conduct a random review of significant entry points that were on the [FY20 CAPs Compliance Monitoring Plan](#) to determine if compliance is still occurring statewide. This random review will be conducted in the month of November and the findings will be reported the deputy district administrators with the FY20 six month findings.

Court Administration Responsibilities

Court administration shall check compliance using the tracking options related to the significant entry points listed above on a weekly basis. If errors are found, court administration shall make corrections according to the

¹ Contact for 2nd & 4th District will be the manager is respective area with a CC to Deputy. All other district contacts will be Court Administrator with a CC to Deputy.

Mandatory CAPs

- Despite some initial concerns, mandatory CAPs have been extremely well received. Courts/districts actively asking when more will be published.
- Taken the guesswork out of case processing, and make staff feel more successful in their work

Part 2: Helping Employees Succeed in Complex Work

Example: Document Security Classification

- Following transition to electronic records, the court rules governing document classification (how documents are stored/shared) became much more complex
- We heard directly from employees that the complexity made document processing quite challenging
- Internal data analysis also showed a need for greater proficiency/accuracy
- Formed a statewide workgroup to develop solutions

Document Acceptance Specialization and Monitoring

- Each district has begun to use specialized staff to review & classify documents as they are filed.
- CAPs Unit data analysts monitor data quality reports and correct errors.
 - Centralized monitoring means we can more quickly/easily address issues, and share best practices across the state.

Document Acceptance Specialization & Monitoring

- Positive results:
 - Data quality reports are showing that staff are making fewer errors, and more accurately classifying documents as they are filed
 - Staff response has been positive (feeling less overwhelmed and more successful in their work)
 - Our statewide oversight team has been actively collaborating on monitoring, developing tips and tricks, and enhanced training to ensure we continue to improve in this area.

Summary

- Standard practices, specialization and centralization are improving the quality of our data; increasing consistency; making our employees more successful; and addressing one of our customers' top concerns.
- Credit goes to our statewide, collaborative leadership



Data Governance and National Open Data Standards

Steering Committee on Data-Based
Court Performance and
Data Standards

September 30, 2020

Overview

- Arizona's Data Driven Strategic Agenda
- Growing Need for Data Governance and data quality assurance
 - National Open Data Standards
 - The Path Forward for Arizona



Goal 3: Promoting Judicial Branch Excellence and Innovation

“We must examine our existing practices, and we should continue to innovate new approaches to streamline, simplify, and enhance our services and programs.”



2019 - 2024

Justice for the Future

PLANNING FOR EXCELLENCE



Data-Based Decision Making

- Identify key data both judges and courts managers find most useful.
- Use technology to provide court management tools that assemble and present the data necessary to make informed policy and business-related decisions.
- Business Intelligence
- Data Quality



2019 - 2024

Justice for the Future

PLANNING FOR EXCELLENCE



Court and Justice System Data

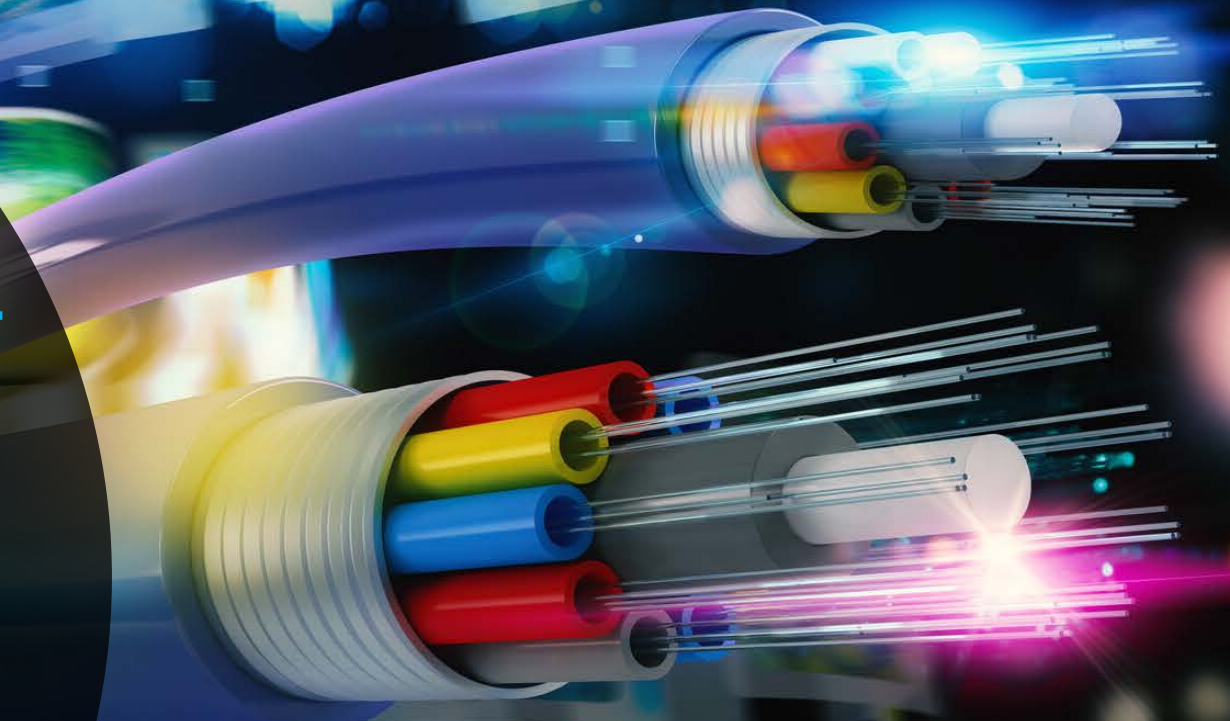
- More Important Now
 - Digitized documents, images, videos
- Data Integration:
 - Justice Agencies
 - Law Enforcement
 - Motor Vehicle Division
 - Collections
 - Voting
 - Child Safety
 - NICS



Digital Data Adds to Risk

**Data is now
exchanged and causes
events to occur**

- AZPOINT
- Motor Vehicle Division
- Corrections
- Criminal Repository
- NICS
- Enforcement / Collections
- Warrants
- Electronic Citations



The Growing Need for Data Governance

- Avoiding the pitfalls of unmanaged data
- Public safety and data exchange
- Management of business operations and service delivery
- Ongoing system improvements
- Resource allocation
- High value of data – new “Gold”
- Public information – “A Good Story to Tell”

National Open Data Standards: Practical Use in Arizona Courts

-
- NODS Elements – Which elements do Arizona Courts Need for Each Case Type?
 - Who will input the required data?
 - Improvements in data quality
 - Standardize the format of data to be exchanged, e.g., event codes and case categories



Arizona Supreme Court Committee on Data-based Decision Making

- Identify key data useful to judges and court managers
- Recommend data standards and data quality measures
- Data governance
- Review time standards performance data



For Further Information

David K. Byers

Administrative Director, AOC

dbyers@courts.az.gov



A vertical red abstract graphic on the left side of the slide, featuring overlapping, curved, semi-transparent shapes in various shades of red and orange, creating a dynamic, layered effect.

IMPROVING DATA QUALITY IN ARIZONA COURTS

NODS

National Open Data Standards

The graphic features a dark background with vibrant, flowing red and orange abstract shapes at the top and bottom. The text is centered in a bold, white, sans-serif font.

NATIONAL COURT OPEN DATA STANDARDS PROJECT

- Courts share concern over data consistency, data quality, and the potential for misinterpretation of court data once released. NODS was undertaken to address this concern
- NODS is a comprehensive set of Data Elements published by NCSC and promoted as best practices within the courts
- Consists of 368 Data Elements under 17 Categories covering 7 Case Types



NODS CASE TYPES

1. **CIVIL** - (Superior Court; Justice Court;)
 2. **PROBATE** - (Superior Court)
 3. **FAMILY LAW** - (Superior Court)
 4. **DEPENDENCY** - (Superior Court)
 5. **JUVENILE** - (Superior Court)
 6. **CRIMINAL** - (All Court Types)
 7. **TRAFFIC** - (All Court Types)
- All NODS Data Elements apply to at least one or more of the above Case Types

NODS DATA ELEMENTS CATEGORIES

Case - 52 Elements- case types/tracks/dispositions

Participant - 43 Elements- Demographics & identifiers

Attorney/Advocate - 15 Elements- address info & types

Status - 3 Elements- changes & reasons for changes

Pleadings - 32 Elements- types & requests within

Motions & Filings - 9 Elements- types & outcomes

Hearings & Events - 34 Elements- types, attendees

Orders - 25 Elements- types & results

Charges - 43 Elements- codes, class, dispositions

NODS DATA ELEMENTS CATEGORIES (CONTINUED)

Pre-Trial Intake - 26 Elements- release decisions & characteristics

Diversions - 5 Elements- types & entry/exit dates

Civil Judgments - 7 Elements- who prevailed/ damage types

Sanctions - 20 Elements- sentence types & conditions

Dependency Permanency - 6 Elements- plan types & dates

Probate Review & Monitor - 27 Elements- due dates & financial info

Post-Trial - 5 Elements- post-adjudication violations

ADR - 10 Elements- types & outcomes

WORK GROUPS TASK AND APPROACH

For each of the 368 Data Elements, identify those that AZ courts should or should not capture

- Reasons why or why not
- The data source for each NODS element
- The staff responsible for entering the data

Present Recommendations to AJC

- This Committee shall recommend to AJC which NODS elements should be required
- Code section will be developed and adopted by AJC to Govern data collection

Statewide Deployment Decisions

- Set timeframe for implementation
 - Prioritize by Case Type or NODS Category, or Court or CMS?

WHY CAPTURE A NODS ELEMENT?

Important
Case/Party Attribute
or Milestone Event

Data Sharing Among
Courts and Other
Agencies

Public Safety

Case Flow Mgt/
Court Performance

Federal, State and
Local mandates

REASONS NOT TO CAPTURE A NODS ELEMENT?

No Consistent Data
Source

Not Important for
processing a case

Data Entry may be
more appropriate in a
system outside the
court case
management system

The automation
updates, business
process changes and
training too significant
for the value gained

WORKSHEET FOR NODS ANALYSIS

Case Types												NODS CASE	
civ	fam	prob	dep	juv	crim	traf	#	Data Element	Definition	Value Examples	Capture? Y/N	Why?	
x	x	x	x	x	x	x	1	Court Case Identifier	Series of characters that identifies the court case	Court Type/Location/category/year/number	y	Important Case/Party Event	
x	x	x	x	x	x	x	2	State	State where the case was filed	All AZ	Y	Public Safety	
x	x	x	x	x	x	x	3	Court	Court where the case was filed (e.g., county, court code, court level, locality)	Court codes part of case number	y	Important Case/Party Event	
NODS CASE													
Capture? Y/N		Why?		Why Not?		Data Source		Data Entry By:		Comment			
y		Important Case/Party Attribute or Event				Filed Document		Judicial Staff					
Y		Public Safety				Filed Document		Data Entry Clerk					
y		Important Case/Party Attribute or Event				Filed Document		Data Entry Clerk					

PRELIMINARY ANALYSIS

- 7 Case Types
- 17 NODS Categories
- 84% NODS Coverage

NODS CATEGORY		TOTAL ELEMENTS	YES	NO
<i>(# of Case Types Covered out of 7 Total)</i>				
CASE <i>(7 of 7)</i>		52	47	5
PARTICIPANT <i>(7 of 7)</i>		43	39	4
ATTORNEY/ADVOCATE <i>(7 of 7)</i>		15	14	1
STATUS <i>(7 of 7)</i>		3	3	0
PLEADINGS <i>(7 of 7)</i>		32	28	4
MOTIONS & FILINGS <i>(7 of 7)</i>		9	8	1
HEARINGS & EVENTS <i>(7 of 7)</i>		34	30	2
ORDERS <i>(7 of 7)</i>		25	19	6
CHARGES <i>(3 of 7)</i>		43	41	2
PRE-TRIAL INTAKE <i>(3 of 7)</i>		26	21	5
DIVERSIONS <i>(3 of 7)</i>		5	2	3
CIVIL JUDGMENTS <i>(1 of 7)</i>		7	5	2
SANCTIONS <i>(4 of 7)</i>		26	19	7
DEPENDENCY PERMANENCY <i>(1 of 7)</i>		6	6	0
PROBATE REVIEW & MONITOR <i>(1 of 7)</i>		27	14	13
POST-TRIAL <i>(3 of 7)</i>		5	5	0
ADR <i>(5 of 7)</i>		10	8	2
	TOTALS	368	309	57
	% OF TOTAL		84.0%	15.5%

NATIONAL CENTER FOR STATE COURTS

- Link to the NODS Project

<https://www.ncsc.org/services-and-experts/areas-of-expertise/court-statistics/national-open-court-data-standards-nods>

QUESTIONS/COMMENTS?



Thanks for your time – Call me at 602-452-3335 or E-mail me at pmcgrath@courts.az.gov



Let me know if you'd like a copy of these slides, or if you think of any questions.

Minnesota Data Quality Efforts

Karen Mareck

September 30th, 2020



**MINNESOTA
JUDICIAL BRANCH**

*To provide justice through a system that
assures equal access for the fair and timely
resolution of cases and controversies*

MJB Mission Statement

Background

- Historically, Minnesota district courts were locally-funded, locally-operated entities, and followed local practices/protocols
- By the early 2000s, Minnesota transitioned to a unified, state-funded court system, utilizing a statewide electronic case management system.
- By the mid 2010s, Minnesota transitioned to an all-electronic court record



Growing Importance of Data Quality & Consistency

- Three major factors:
 - Increased access to court records
 - Increased information-sharing in our justice system
 - Increased complexity of court rules
- Needed new strategy to bring uniformity to case processing, and to make our employees more successful in this complex work

Part 1: Uniform Case Processing

Established **Court Administration Processes (CAPs)**

- First began developing in 2008.
- Originally intended to be “best practices” individual courts could follow when processing various case types
- Because CAPs were optional, local practices, variations persisted
- In 2017, began transition to “mandatory” CAPs

Mandatory CAPs

- Taking phased approach to launch of mandatory CAPs
- Reviewing each existing CAP one-by-one, and allowing courts/judicial districts to weigh-in on necessary updates/changes
- Once a CAP is revised and re-published, it becomes mandatory for each court in the state
- Formed a dedicated unit to draft, test, and publish mandatory CAPs

110.11 Case Initiation - Criminal
Case Management - General Processes
Court Administration Process

Processes

Complaint (Electronic Process)

The eCharging application created by the BCA is the method for electronically filing signed complaints.¹ The data elements from the signed complaint are submitted to MNCS electronically from the eCharging application; no paper document is filed by the prosecutor. See section: [Other Resources](#) for eCharging Training Materials on OneCourt.

NOTE: The following automatically occurs when the case is accepted in MNCS:

- Parties are added to the Parties tab. (for example, defendant, prosecutor).
- Applicable case events reflecting the complaint type are added to the Events tab (for example - e-Filed Comp-Summons or e-Filed Comp).
- Charges are added to the Charges tab.

When a complaint appears in the eComplaints workflow queue (after the judge has signed it in eCharging):


Staff Actions

1. Access the workflow queue in MNCS.
2. Process the items in the eComplaints queue.
 - a. If party matching options are presented through the automation, select the appropriate party record. See section: [Other Resources](#) for CAP 140.00 Party Record.
 - b. Accept the complaint for filing.

NOTE: Court staff must not reject a filing unless it is at the request of a judicial officer.

3. Access case in MNCS and proceed with the steps below.
4. Determine the type of complaint based on the case event and proceed accordingly:
 - For a Complaint Summons, schedule an Arraignment (ARR) for misdemeanor cases or First Appearance (FAP) hearing for gross misdemeanor and felony cases, which triggers the complaint document to be sent from eCharging to MNCS. If a different hearing type is scheduled, the complaint document will not be sent automatically.
 - For a Complaint - Order for Detention, schedule the applicable hearing.
 - For a complaint warrant, activate a warrant. See section: [Other Resources](#) for CAP 111.10 Warrants.

¹ Minn. R. Crim. P. 1.06

 MINNESOTA JUDICIAL BRANCH

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Mandatory CAPs

- Data quality analysts monitor statewide compliance
- Each CAP contains “monitoring methods” for how compliance can be tracked/measured
- The unit publishes a yearly “Compliance Plan”
- Able to see where issues/inconsistencies exist, and provide training/guidance to correct issues



This plan details the significant entry points that the CAPs Unit at SCAO will monitor July 1, 2020 through March 31, 2021 as provided in Policy 506(g) Court Administration Processes (CAPS), Appendix A, [Compliance Plan](#).

Significant Entry Points

CAP 110.41 Document Security Classification See Statewide Document Security Monitoring Plan for full details	CAP 130.20 Interpreter Scheduling Significant Entry Point #2 : Record the interpreter in the hearing minutes
CAP 210.20 Dispositions Significant Entry Point #1 : Enter the applicable disposition type for the charge(s)	CAP 320.35 Juvenile Protection - Dispositions Significant Entry Points #2, 3 : Verify case the status is correct, adjust if needed. Disposition entry may add a new case status when the case is open or under court jurisdiction. Schedule post-permanency review hearing. State Ward for Adoption (SWADOPT)

CAPs Unit Responsibilities

The CAPs Unit monitors compliance trends related to significant data points as identified in [Policy 506\(g\) Court Administration Processes \(CAPS\)](#). Based on findings, it may determine that further review of the CAP, system development, or training will assist court administration with compliance.

On or about July 1, 2020 the unit will review data quality queries and/or reports relevant to the significant entry points listed above. Additional reviews will occur after three, six, and nine months to observe data quality and compliance status at those points in time. The unit may also conduct random monitoring. If it identifies areas of concern on the significant entry points listed above, unit staff will contact court administration¹ to discuss an approach to address these areas of concern.

The CAPs Unit will report to the deputy district administrators findings from the initial, three, six, and nine month data quality queries and/or reports. The unit will report findings to JAD every nine months. The nine-month report may include suggested modifications to this plan, such as new significant entry points.

As it identifies data quality trends, the CAPs unit may also publish in The Source trend details and helpful reminders or tips to reduce data quality errors.

In addition to the significant entry points above, the CAPs Unit will conduct a random review of significant entry points that were on the [FY20 CAPs Compliance Monitoring Plan](#) to determine if compliance is still occurring statewide. This random review will be conducted in the month of November and the findings will be reported the deputy district administrators with the FY20 six month findings.

Court Administration Responsibilities

Court administration shall check compliance using the tracking options related to the significant entry points listed above on a weekly basis. If errors are found, court administration shall make corrections according to the

¹ Contact for 2nd & 4th District will be the manager is respective area with a CC to Deputy. All other district contacts will be Court Administrator with a CC to Deputy.

Mandatory CAPs

- Despite some initial concerns, mandatory CAPs have been extremely well received. Courts/districts actively asking when more will be published.
- Taken the guesswork out of case processing, and make staff feel more successful in their work

Part 2: Helping Employees Succeed in Complex Work

Example: Document Security Classification

- Following transition to electronic records, the court rules governing document classification (how documents are stored/shared) became much more complex
- We heard directly from employees that the complexity made document processing quite challenging
- Internal data analysis also showed a need for greater proficiency/accuracy
- Formed a statewide workgroup to develop solutions

Document Acceptance Specialization and Monitoring

- Each district has begun to use specialized staff to review & classify documents as they are filed.
- CAPs Unit data analysts monitor data quality reports and correct errors.
 - Centralized monitoring means we can more quickly/easily address issues, and share best practices across the state.

Document Acceptance Specialization & Monitoring

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Summary

- Standard practices, specialization and centralization are improving the quality of our data; increasing consistency; making our employees more successful; and addressing one of our customers' top concerns.
- Credit goes to our statewide, collaborative leadership

**Steering Committee on Data-Based Court Performance and Data Standards
*Rules for Conducting Committee Business and Proxy***

1. Quorum Policy

The minimum number for a quorum of members to conduct the business of this Committee is fifty percent plus one (i.e., eight members). In-person attendance is preferred, but a member, if necessary and if electronic conferencing devices are available, may attend a meeting by telephone or by video.

2. Decision-Making

Committee decisions will be considered upon a motion that is properly seconded and following discussion on the motion. Committee decisions will be made by majority vote of the members attending the meeting. A numerical vote will be recorded unless the decision is unanimous. The chair will vote only to break a tie.

3. Responsibility of Members and Proxy Policy

Members must actively participate in Committee meetings. However, Committee members may send a proxy to attend meetings when necessary. A member should give twenty-four hours' notice to Committee staff concerning the use of a proxy.

- A proxy has all the responsibilities of a member, including voting power. A proxy must review the agenda issues, be prepared for a meeting, and brief the member on the meeting within a reasonable time thereafter.
- Another Committee member may not serve as a proxy.
- A proxy is included in the count of members present to determine a quorum.
- A member may not use a proxy for more than three meetings without approval of the Committee chair.

A proxy form and instructions are on the next page.

4. Call to the Public

As provided in A.C.J.A. § 1-202, every meeting agenda will include a "Call to the Public" provision prior to meeting adjournment. The chair will announce the opportunity for public comment regardless of whether a member of the public is attending the meeting or has expressed any desire to comment. The chair may impose reasonable time, place, and manner limitations upon members of the public who respond to the call, including setting time limits, banning repetition, and prohibiting profanity and disruptive behavior.

**Steering Committee on Data-Based Court Performance and Data Standards
*Proxy Designation Form and Instructions***

- Appointed members of the Committee are responsible for briefing their proxy regarding a pending Committee meeting so that the proxy is prepared to conduct Committee business.
- A proxy must similarly communicate with the member after a meeting to inform the member of substantive events that occurred at the meeting.
- A member wishing to appoint a proxy should complete this form and transmit it to Committee staff indicated below at least one day prior to the scheduled Committee meeting. A member who sends a proxy to more than one meeting must use a separate proxy form for each meeting.

Proxy designations should be sent to:

Marretta Mathes, Committee Staff, Administrative Office of the Courts
Phone number: (602) 452-3966
Fax number: (602) 452-3480
E-mail: mmathes@courts.az.gov

I (please print your name), _____,
will be unavoidably absent from the meeting of the Steering Committee on Data-Based
Court Performance and Data Standards scheduled for the ____ day of
_____, 2020. Accordingly, I hereby designate the following individual to
act as my proxy for this meeting:

Name of proxy: _____

Title of proxy: _____

Proxy's e-mail address: _____

Proxy's phone number: _____

Date

Signature of Committee Member

Group #	NODS Category	Member Assigned	Title/Court
1 Staff Patrick McGrath- AOC	Case; Participant; Status; Attorney/Advocate; Civil Judgments; Probate Monitor & Review;	Hon. Jill Davis	Lake Havasu Justice
		Shelly Bacon	Coconino Superior
		Hon. Ken Lee	Pima Superior
		Marcus Reinkensmeyer	Administrative Office of the Courts
		Shawn Friend	Maricopa Superior
2 Staff Marretta Mathes- AOC	Pleadings; Motions & Filings; Hearings & Events; Orders; Dependency/Permanency; ADR;	Hon. Pamela Frasher-Gates	Maricopa Superior
		Donna McQuality	Yavapai Clerk of Superior Court
		Hon. Michael Peterson	Graham County Superior
		Rich McHattie	Maricopa SC Clerk's Office
3 Staff Cathy Clarich- AOC	Charges; Pre-trial Intake; Diversions; Sanctions; Post- Trial;	Hon. Thomas L. Chotena	Flagstaff Municipal
		Jennifer Curtiss	Carefree/Cave Creek Consolidated MC
		Danny Davis	Chandler Municipal
		Hon. Keith Russell	Maricopa County Justice
		Hon. Don Taylor III	Phoenix Municipal