

Case Status Categories

The Caseload Summary Matrix captures detailed information about case status during the reporting period. The case status categories defined below are used to count the cases reported in the Caseload Summary Matrix. These case status categories are consistent for each of the five case categories: Civil, Domestic Relations, Criminal, Juvenile, and Traffic/Parking/Ordinance Violations.

The court's Begin Pending caseload is divided between Begin Pending–Active cases and Begin Pending–Inactive cases. The definitions below articulate the distinction between Active and Inactive cases. Making this distinction is essential for the court to be able to accurately manage its caseload and to be able to accurately compute performance measures such as the *CourTools* Measure 2: Clearance Rates, Measure 3: Time to Disposition, and Measure 4: Age of Active Pending Caseload.

Incoming cases are those cases that have been added to the court's caseload during the reporting period and include New Filing, Reopened, and Reactivated cases.

Outgoing case status categories include Entry of Judgment, Reopened Dispositions, and Placed Inactive.

At the end of the reporting period, the court's pending caseload is summarized in three categories: End Pending–Active, End Pending–Inactive, and Set for Review.

The Set for Review category is designed to capture a count of cases that, having been filed and disposed, are scheduled for regular, additional reviews in the future before a judicial officer. Juvenile dependency cases are an example of these cases; the court reviews the status of a juvenile in a series of regularly scheduled hearings at known and pre-determined intervals.

Similarly, in adult guardianship cases, the court reviews the status of the adult under court supervision through hearings that take place at regular, scheduled, and known intervals. After one of these cases is originally filed (New Filing) and the court makes its original order (Entry of Judgment), the court counts this case in the new Set for Review category, and not in its End Pending–Active caseload (defined in the *Guide* as "a count of cases that at the end of the reporting period are awaiting disposition"). It is not unusual for these cases to extend for a period of years. When they are finally resolved, the case is simply removed from the Set for Review inventory count.

Case Status 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.

Note: Business rules for this classification may be defined by a rule of court or administrative order.

Incoming Cases: The sum of the count of New Filing, Reopened, and Reactivated cases (see below).

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

Reopened: A count of cases in which a judgment has previously been entered but which have been restored to the court's pending caseload during the reporting period. These cases come back to the court due to the filing of a request to modify or enforce that existing judgment and a hearing before a judicial officer is requested to review the status of the case or initiate further proceedings in the case. When the reopened case is disposed, report the case in the Caseload Summary Matrix in the Outgoing Cases column labeled Reopened Dispositions.

Example:

A fraud case is filed (New Filing) and disposed (Entry of Judgment). Subsequently, the defendant files a motion to submit new evidence that is granted. The case is now Reopened and disposed on the basis of the new evidence (a Reopened Disposition).

Reactivated: A count of cases that had previously been Placed on Inactive Status, but have been restored to the court's control during the reporting period. Further court proceedings in these cases can now be resumed during the reporting period and these cases can once again proceed toward

disposition. *Note: The rules for reactivating a case (sometimes referred to as restoring the case to the court's control) are the reverse of those listed below for placing a case on inactive status, (e.g., the lifting of a stay). The key is that courts should use the Placed on Inactive Status/Reactivated categories for specific reasons that are beyond the court's control and when events intervene (e.g., bankruptcy) that prevent the parties from being able to proceed. Delays in a case for other reasons, including inefficiencies in other parts of the justice system (e.g., delays in getting reports from crime labs or social service providers) are not a legitimate basis for placing a case on inactive status.*

Outgoing Cases: The sum of the count of Entry of Judgment, Reopened Dispositions, and Placed on Inactive Status (see below).

Entry of Judgment: A count of cases for which an original entry of judgment has been entered during the reporting period. For cases involving multiple parties/issues, the disposition should not be reported until all parties/issues have been resolved.

Reopened Dispositions: A count of cases that were disposed of by a modification to, and/or enforcement of, the original judgment of the court during the reporting period. For cases involving multiple parties/issues, the 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 during the reporting period due to events beyond the court's control. These cases have been removed from court control, and the court can take no further action until an event restores the case to the court's active pending caseload.

Courts should refer to their local or statewide rules of court, statutes, or standards of administration and/or statistical reporting

guidelines for precise definitions of the circumstances under which a case may be properly considered inactive.

Note: Courts should use the Placed on Inactive Status/Reactivated categories only for specific reasons beyond the court's control and when events intervene (e.g., bankruptcy) that prevent the parties from being able to proceed. Delays in a case for other reasons, including inefficiencies in other parts of the justice system (e.g., delays in getting reports from crime labs or social service providers) are not a legitimate basis for placing a case on inactive status.

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. Business rules for this classification may be defined by a rule of court or administrative order.

Set for Review: A count of cases that, following an initial Entry of Judgment, are awaiting regularly scheduled reviews involving a hearing before a judicial officer.

Criminal Case Reporting

Introduction

Criminal cases are a broad category for trial court cases in which a defendant is charged with violation(s) of state law(s). The three subcategories of Criminal cases are Felony, Misdemeanor, and Appeals from Limited Jurisdiction Courts. It is important to note that some offenses may be classified as either felonies or misdemeanors, depending on the circumstances. Thus, the general definitions of case types for the Felony and Misdemeanor subcategories overlap to a great extent in this reporting framework; what differs is the seriousness of the offense and how it was charged in the case. Note that traffic offenses that are classified as criminal offenses (e.g., driving while intoxicated/driving under the influence) are included in the Criminal category, counted in the appropriate Felony or Misdemeanor subcategory. Lesser offenses such as non-criminal traffic offenses and violations of local ordinances are not included here, but are reported in the Traffic/Parking/Ordinance Violation case category.

Unit of Count

A criminal case is generally initiated by a complaint. In two-tiered court systems, proceedings at the second step of a Felony case are usually initiated by an information or indictment. *Note: 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."*

- Count the *filing* of the original charging document (complaint, information, or indictment) as the beginning of the 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.
- Do *not* count preliminary hearings as Incoming cases when they are held in the same court that will handle all subsequent proceedings in the case. However, in two-tiered court systems, if the lower court initiates the case with a preliminary hearing and disposes the case by binding it over to the higher court, the case should be counted in each court.
- Count a probation or parole violation that arises from a previous Felony case as a Reopened Felony case in the same Felony case type as the original case.
- Count a probation or parole violation that arises from a previous Misdemeanor case as a Reopened Misdemeanor case in the same Misdemeanor case type as the original case.
- Report the number of criminal filings and dispositions by case type, as

defined in the Criminal Case Type Definitions below.

- Classify cases by case type based on the most serious offense within the proper case subcategory (Felony or Misdemeanor).
- Report the disposition of a criminal case in the same case type that was used when the case was filed. For example, when a criminal case is filed as a Felony, but is subsequently reduced to a Misdemeanor and a judgment is obtained on the Misdemeanor charge, report both the filing and disposition as a Felony on the Caseload Summary Matrix. *Note: If the Felony charge is reduced to a Misdemeanor and subsequently re-filed as a Misdemeanor, count the case as Outgoing in the Entry of Judgment case status category for the appropriate Felony case type row and then as a New Filing in the appropriate Misdemeanor case type row.*
- Count the filing of a notice of appeal or a complaint in a trial court having incidental appellate jurisdiction as the beginning of an appeal case. 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.

Notes Specific to Criminal Cases

Felony

Felony cases are a subcategory of criminal cases involving an offense punishable by incarceration for a year or more or death; thus, the most serious crimes are classified as felonies. Some states have developed classification schemes for ranking the seriousness of Felony offenses (e.g., Part A or Class I), but those classification schemes are not relevant to the statistical reporting of these cases defined by the *Guide*.

Misdemeanor

Misdemeanor cases are a broad subcategory of criminal cases involving an offense punishable by incarceration for less than one year and/or fines; thus, the less serious crimes are classified as misdemeanors. Some states have developed classification schemes for ranking the seriousness of misdemeanor offenses (e.g., Type A or Class II), but those classification schemes are not relevant for the national statistical reporting of these cases defined by the *Guide*.

An important advantage of this national criminal case reporting framework is the ability to better match offense types with other national justice system coding schemes for purposes of case tracking and data unification. The definitions developed by the Court Statistics Project (CSP) are not meant to be legal definitions of crimes; rather, they are a means to map various criminal case types across states into comparable categories. Unlike state statutes, CSP definitions must be generic in order to include all state statutes relating to the same type of offense.

Consolidated case: This is a case in which two or more defendants named in separate filing documents are tried/prosecuted together. 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 in the Entry of Judgment column. When the consolidated case has been disposed, the disposition should be reported under the appropriate Outgoing status event category (e.g., Entry of Judgment). The disposition of the consolidated case should not be reported until all parties/charges have been resolved.

Severance: In trial court criminal proceedings, if multiple charges against a particular defendant are severed for the purpose of being adjudicated separately, count each new or severed filing document as a New Filing.

Placed on Inactive Status: 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.

Example:

A criminal case should be Placed on Inactive Status if the Defendant has absconded, an arrest order has been issued, and the court has suspended activity until the defendant is apprehended and returned to court so that the court can resume proceedings in the case.

Reopened case: Cases in which a judgment has previously been entered but which have been restored to the court's active 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, report the case in the Caseload Summary Matrix in the column labeled Reopened Dispositions.

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 CSP case types represent groups of offenses based on 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, trial courts should be able to translate their unique case types into the *Guide* case types. The table below shows UCR and NIBRS offenses cross-walked to CSP case types. Complete definitions of UCR and NIBRS offenses are available on the FBI UCR Web site at www.fbi.gov/ucr/ucr.htm.

CSP Case Types Mapped to FBI UCR and NIBRS Offenses

CSP Case Type	UCR Part I Offenses	NIBRS Offenses
Person	Murder/Manslaughter	Aggravated Assault (13A)
	Rape	Simple Assault (13B)
	Robbery	Intimidation (13C)
	Aggravated Assault	Murder & Non-negligent Manslaughter (09A)
	Other Assaults	Negligent Manslaughter (09B)
	Sex Offenses (not rape/prostitute)	Justifiable Homicide (09C)
		Kidnapping/Abduction (100)
		Robbery (120)
		Forcible Rape (11A)
		Forcible Sodomy (11B)
		Sexual Assault with an Object (11C)
		Forcible Fondling (11D)
		Incest (36A)
		Statutory Rape (36B)
Domestic Violence	No analogous offense	No analogous offense
Elder Abuse	No analogous offense	No analogous offense
Property	Burglary	Arson (200)
	Larceny	Bribery (510)
	Auto Theft	Burglary/Breaking and Entering (220)
	Arson	Counterfeiting/Forgery (250)
	Forgery and Counterfeiting	Destruction/Damage/Vandalism of Property (290)
	Fraud	Embezzlement (270)
	Embezzlement	Extortion/Blackmail (210)
	Stolen Property; Buying, Receiving	False Pretenses/Swindle/Confidence Game (26A)
		Credit Card/Automated Teller Machine Fraud (26B)
		Impersonation (26C)

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CSP Case Type	UCR Part I Offenses	NI BRS Offenses
Property		Welfare Fraud (26D)
		Wire Fraud (26E)
		Stolen Property Offenses (Receiving, etc.) (280)
		Bad Checks (90A)
		Trespass of Real Property (90J)
Drugs	Drug Abuse Violations	Drug/Narcotic Violations (35A)
		Drug Equipment Violations (35B)
Weapons	Weapons; Carrying, Possessing	Weapon Law Violations (520)
Public Order	Prostitution & Commercial Vice	Betting/Wagering (39A)
	Gambling	Operating/Promoting/Assisting Gambling (39B)
	Liquor Laws	Gambling Equipment Violations (39C)
	Drunkenness	Sports Tampering (39D)
	Disorderly Conduct	Pornography/Obscene Material (370)
	Vagrancy	Prostitution (40A)
		Assisting or Promoting Prostitution (40B)
		Curfew/Loitering/Vagrancy Violations (90B)
		Disorderly Conduct (90C)
		Drunkenness (90E)
		Liquor Law Violations (90G)
		Peeping Tom (90H)
Motor Vehicle— DWI /DUI	Driving Under the Influence	Driving Under the Influence (90D)
Motor Vehicle— Reckless Driving	No analogous offense	No analogous offense
Motor Vehicle—Other	No analogous offense	No analogous offense
Felony—Other	No analogous offense	No analogous offense
Protection Order Violation	No analogous offense	No analogous offense
Misdemeanor—Other	No analogous offense	No analogous offense
Appeals from Limited Jurisdiction Courts	No analogous offense	No analogous offense
Criminal—Other	No analogous offense	No analogous offense

Criminal Case Type Definitions

Felony

Person: Criminal cases involving murder/manslaughter, sexual assault (including rape and sexual battery), robbery, and assault (including simple assault).

Domestic Violence: Criminal cases involving violence, coercion, or intimidation by a family or household member against another family or household member. 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 elements (a) through (g) above. *Note: Classifying cases as domestic violence cases means the victim-offender relationship was known at the time of filing or disposition.*

Elder Abuse: Criminal cases involving offenses committed against an elderly person. 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.

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

Drug: Criminal cases involving the illegal possession, sale, use, or manufacture of drugs. The following drug categories are included: opium or cocaine and their derivatives (morphine, heroin, codeine); marijuana; synthetic narcotics—manufactured narcotics (Demerol, Methadone); and dangerous non-narcotic drugs (barbiturates, Benzedrine).

Weapon: Criminal cases involving violations of regulations or statutes controlling the carrying, using, possessing, furnishing, and manufacturing of deadly weapons or silencers.

Public Order: Criminal cases involving violations of liquor laws, drunkenness, disorderly conduct, vagrancy, gambling, prostitution, and commercial vice. [Similar terminology: public nuisance or quality of life offenses and crimes against society]

Motor Vehicle—DWI /DUI: Criminal cases involving a charge of driving a motor vehicle while intoxicated (DWI), driving under the influence of either alcohol or drugs (DUI), or driving while impaired. *Note: Report all DWI/DUI cases in this case type; if reported at state level as Traffic cases, they should be*

extracted and mapped into this case type for national reporting purposes.

Motor Vehicle—Reckless Driving: Criminal cases involving 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.

Motor Vehicle—Other: Criminal cases involving the operation of a motor vehicle. Use this case type for cases of unknown specificity, when Motor Vehicle cases are not attributable to one of the other previously defined Motor Vehicle case types, or when all Motor Vehicle cases are reported as a single case type.

Felony—Other: Criminal cases involving an offense punishable by incarceration for a year or more or death. Use this case type for Felony cases of unknown specificity, when Felony cases are not attributable to one of the other previously defined Felony case types, or when all Felony cases are reported as a single case type.

Misdemeanor

For the definitions of the case types listed below, see the Felony Case Type definitions above:

Person
Domestic Violence
Property
Drug
Weapon
Public Order
Motor Vehicle—DWI /DUI
Motor Vehicle—Reckless Driving
Motor Vehicle—Other

Protection Order Violation: Criminal cases alleging violation of a court order that was issued to help protect an individual from harassment or abuse. *Note: Though these cases often stem from an earlier civil or criminal case, they should be counted as New Filing in this case type.*

Misdemeanor—Other: Criminal cases involving an offense punishable by incarceration for less than a year and/or fines. Use this case type for Misdemeanor cases of unknown specificity, when Misdemeanor cases are not attributable to one of the other previously defined Misdemeanor case types, or when all Misdemeanor cases are reported as a single case type.

Appeals from Limited Jurisdiction Courts: Criminal Appeals cases brought in the court of general jurisdiction disputing the ruling or judgment of a limited jurisdiction trial court.

Criminal—Other: A subcategory of Criminal cases. Use this subcategory for Criminal cases of unknown specificity, when Criminal cases are not attributable to one of the other previously defined Criminal case types, or when all Criminal cases are reported as a single case type.