

**CHAPTER 173. UNIFORM PROCEDURES, INDEXES
AND DOCKETS**

- Sec.
173.1. Minimum standards for prothonotary records.
173.2. Minimum standards for recording of documents in offices receiving criminal filings.

Source

The provisions of this Chapter 173 adopted January 25, 1974, 4 Pa.B. 290, unless otherwise noted.

§ 173.1. Minimum standards for prothonotary records.

(a) *General rule.* The minimum standards for maintenance of records in the Office of the Prothonotary shall be as follows:

- (1) An annual numbering system referring to the year and case number shall be adopted, to wit, 73-485.
- (2) One General Docket shall be employed in which all actions, Judgments, Liens or matters (Federal Liens, Secured Transactions, Fictitious Names, Notary Docket and Power of Attorney Register shall be maintained as heretofore) shall be recorded in chronological order, regardless of type or description, and which shall be recorded as briefly as possible:
 - (i) Caption.
 - (ii) Attorneys.
 - (iii) Number of case.
 - (iv) Type of action or matter and, if trespass, whether motor vehicle or not.
 - (v) Jury trial, trial by judge without jury, arbitration or other.
 - (vi) The date of filing each paper and brief description of that paper, e.g., Summons, Complaint, Interrogatories, Notice of Depositions, Preliminary Order, Final Order, Judgment and amount, Award and amount, Verdict and amount, Settle, Discontinue and End, or Termination or Termination with Prejudice.
 - (vii)(A) In rem matters or those actions requiring identification by a real estate description shall be identified by either recording the name of the record owner or the tax map unit and parcel number or indicator as established by modern tax identification system.
 - (B) Prothonotaries employing manual systems shall maintain a separate Locality Index which shall contain the name of either the record title owner or a tax map unit and parcel number or indicator as established by modern tax identification system.
 - (viii) All satisfactions, terminations by parties or entries of Settle, Discontinue and End shall be accomplished by satisfaction piece and not by entry of signature on docket.
- (3) The General Docket shall have the following index system:

(i) A judgement Index in which all Judgments, Liens and Lis Pendens shall be recorded in chronological order of their filing. Said index shall contain the following information:

- (A) Name of defendant.
Name of plaintiff.
- (B) Number of case.
- (C) Docket and page.
- (D) Date of filing.
- (E) Nature of Proceedings.

(ii) A Miscellaneous Index in which all other actions or matters shall be recorded. Said index shall contain the following information:

- (A) Names of plaintiff and defendants.
- (B) Number of case.
- (C) Docket and page.
- (D) Date of filing.
- (E) Nature of proceedings.

(b) *Scope.* The minimum standards set forth in subsection (a) of this section shall apply to all offices adopting computer or other electro-data processing systems. The same minimum standards may also be adopted by any Prothonotary's Office employing manual procedures. Any Prothonotary may include additional information if local practice or custom dictates.

§ 173.2. Minimum standards for recording of documents in offices receiving criminal filings.

(a) *General rule.* The minimum standards for the maintenance of records in criminal proceedings (other than juvenile) by offices receiving criminal filings shall be as follows:

(1) One criminal docket shall be maintained in which all criminal proceedings (whether commenced by transcript, appeal, petition for habeas corpus or petition for commitment) shall be recorded.

(i) An annual numbering system shall be assigned which will be a local permanent identification number for each case.

(ii) The following data elements shall be recorded where applicable:

- (A) *Defendant Information*
 - Defendant name
 - Defendant address
 - Unique Court Number
 - Offense Tracking Number
 - Sex
 - Birth date
 - AOPC number, if attorney
 - Race
 - Date transcript received

- Alias information
- (B) *Co-defendant Information*
 - Co-defendant name
 - Unique Court Number or linkage to other defendants
- (C) *Affiant and Witness Information*
 - Affiant and witness name
 - Affiant and witness address
 - Date of offense
- (D) *Pre-Trial Proceedings*
 - (I) *District Justices:*
 - Complaint, warrant or summons date
 - Arrest time and date
 - Preliminary charges—statute reference (“Pa.C.S.” citation if Crimes Code of other Consolidated Pennsylvania Statutes offense; otherwise citation of Act of Assembly)
 - Preliminary arraignment date
 - Preliminary hearing date or waiver
 - Disposition of each charge
 - Continuances before Common Pleas Court, by whom, date and reason
 - (II) *Common Pleas*
 - Charge
 - Indictment or information number if used
 - Waiver of arraignment and/or Grand Jury
 - Date of arraignment
 - Grand Jury action and date
 - Pre-Trial motions and arrest
- (E) *Bail*
 - Current amount of bail
 - Type of bail and date
 - Bonds person, or other surety
 - Reductions or increases
 - Bench warrants
 - Date issued
 - Judge name and code number
 - Date defendant returned
 - Forfeitures
 - Date issued
 - Amount received
 - Bail reinstatement
 - Date
 - Judge name and code number
 - Amount

- Commitment in default or without bail
 - Where and when
- (F) *Trial Proceedings*
 - Plea
 - Initial
 - Final
 - Type of trial, beginning and ending dates and duration
 - Judge name and code number
 - Assistant district attorney name and AOPC number
 - Defendant attorney type or waiver
 - Date of mistrial
 - Date of verdict
 - Verdict or disposition on each count
 - Number of continuances, date and reason
- (G) *Special Programs*
 - Date of action
 - Judge name and code number
 - Length of participation in program
 - Amount of fine and costs
 - Date of termination from program
 - Successful completion or violation
- (H) *Post Trial Proceedings*
 - Date court ordered pre-sentence investigation and/or psychiatric evaluation
 - Investigation prepared by Commonwealth or county
 - Date pre-sentence investigation submitted
 - Date of sentence
 - Sentence Judge and code number
 - Minimum term and maximum term each charge or count
 - Days
 - Months
 - Year
 - Date the sentence to commence
 - Credit for time served
 - Sentence
 - Lying-in expenses
 - Probation length
 - Probation type (Commonwealth or county)
 - Restitution, amount and date paid
 - Type of fine, amount, due date
 - Costs
 - On county
 - On defendant

- On prosecutor
- Record of costs paid, date and amount
- Post conviction proceedings and decision
- Violations of probation
 - Date of warrant to commit
 - Date of request for warrant for violation
 - Date of hearing and results
- Date Motions for new trial and/or arrest of judgment filed
- Date of Order directing transcription of Notes of Testimony
- Date of filing Notes of Testimony
- Date Notes of Testimony certified
- Date and decision of trial court
- (I) *Appellate Proceedings*
 - Date appeal to appellate court
 - Date complete record transmitted to appellate court
 - Date and order of appellate court
- (J) *Case Record*
 - Date and identification of each document placed in case file
- (iii) One index system shall be established in which all criminal proceedings shall be recorded.
- (2) All non-criminal proceedings filed in the office receiving criminal filings shall be recorded in a miscellaneous docket in a brief manner identifying the documents filed and date of recording. One index system shall be established in which all noncriminal proceedings shall be recorded.
- (3) Coroner and non-support proceedings shall be maintained in separate dockets and index systems. Local rule of court may provide that:
 - (i) The records of the Coroner shall be transferred to and maintained by the Coroner.
 - (ii) Non-support records shall be transferred to and maintained by the Domestic Relations Office.
- (b) *Scope.* The minimum standards set forth in subsection (a) of this section shall apply to all offices adopting computer or other electro-data processing systems, and the traditional docket shall be discontinued and shall be replaced by such manual and machine-aided processing procedures as may be appropriate. The same minimum standards may also be adopted by any office employing manual procedures. Any office may include additional data elements if local practice or custom dictates.
- (c) *Modifications.* Any office subject to the requirements of subsection (a) of this section may with the written approval of the Administrative Office make modifications in or deletions of data elements prescribed therein.

Source

The provisions of this § 173.2 adopted November 22, 1974, 4 Pa.B. 2414.

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