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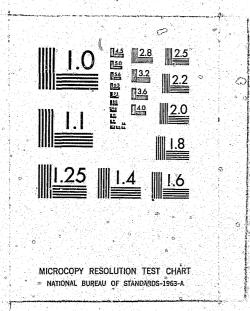
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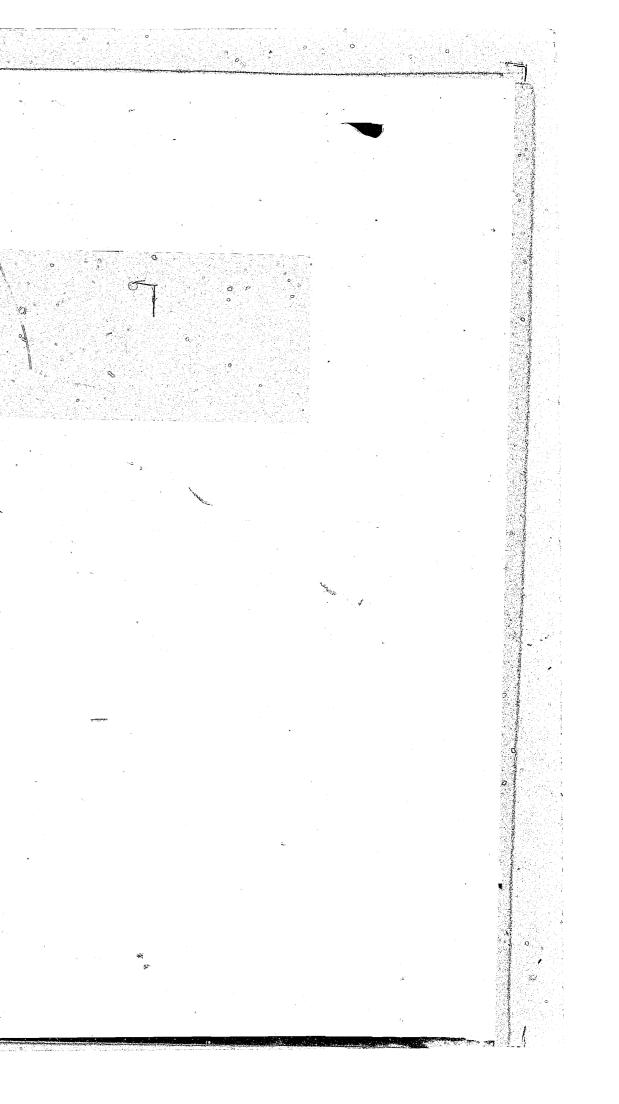
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Judicial Planning in Transition

1977-1981

Harry O. Lawson Barbara J. Gletne

by

January 1982

MAR 31 1992 CRIMINAL COURTS TECHNICAL ASSISTANCE PROJECT The American University Law Institute A COUISITIONS 6010 Wisconsin Avenue, N.W. - 3rd Floor Washington, D.C. 20016 (202) 686-3803

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The current era of resource scarcity and fiscal conservatism has caused governmental agencies on all levels to concentrate on survival, and cutback management has the major attention of public officials and administrators. Long-range planning, indeed any planning effort other than to meet the newest crisis or financial disaster, seems to have been relegated to secondary importance by many government agencies.

This diminished emphasis on planning has resulted in part from the reduction or elimination of federal funding for various kinds of planning at the state and local levels. An important example is judicial system planning, which is the subject of this monograph. This is not to say that judicial system planning is everywhere moribund. Rather, it is alive and well, or at least still receiving nourishment, in a number of jurisdictions, despite the elimination of federal funding.

The authors hold the opinion (which has been expressed in their other joint writing efforts) that public officials and administrators should respond to diminishing financial resources by placing more emphasis, rather than less, on planning. The judicial branch is no more immune to reduced finances than are other public entities, no matter whether courts are state or locally funded, or funced by some combination of the two. It is imperative that those responsible for administering state-funded judicial systems or locally-funded trial courts plan to meet future workload increased with little, if any, increase in resources and, perhaps, with reduced resources.

As it was true of personnel and fiscal management, development of productivity measures, and other public management concepts and tools, planning as a viable and important function arrived much later on the judicial scene than it did for other public entities. In most jurisdictions, planning, at least in a formal sense, was virtually unheard of until 1976. In that year, Congress passed the Crime Control Act of 1976 (P.L. 94-503) which extended the life of the Law Enforcement Assistance Administration (LEAA). This law provided a mechanism for state court systems to develop planning capabilities. Funding was made available for the planning function and for the creation of judicial planning committees or councils (JPCs).

This monograph examines how the various states made use of this opportunity to develop planning capability, the scope of that capability, composition and functions of JPCs, and related matters. This information was taken from responses to a questionnaire sent by the authors to state court administrators or judicial system planners during the first quarter of 1981, as refined by additional information from some jurisdictions. Responses were received from forty-six states, District of Columbia, and Puerto Rico, although some of the data supplied did not fit the tabular format used in Chapters III, IV and V of this monograph.

#### Preface

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LEAA assistance for planning ended on September 30, 1981, and, even before that date, the amount of state funding provided for this function constituted a significant portion of total resources in some jurisdictions. This monograph, also using information from the questionnaire, examines the court planning picture in 1981, as compared with 1977, in the responding jurisdictions.

The first two chapters set the stage for what is to follow by presenting briefly the concept of planning and its meaning in a court context. Attention is also given to the six jurisdictions selected for pilot planning projects funded by LEAA prior to the implementation of the 1976 legislation. The final chapter is concerned with the status of judicial planning and JPCs immediately after the termination of LEAA funding and in future years.

This monograph represents the initial stages of a more comprehensive study of the history, development, and evolution (and also the demise in some instances) of judicial planning councils and the planning function within state judicial systems. The comprehensive study will also include an examination of the institutional and environmental forces which shaped or affected the major or dominant patters of judicial planning council organization and operations, as well as the ways in which planning is used by the courts. This broader study is funded by a grant from the Mabel Y. Hughes Research and Development Fund, University of Denver College of Law, which was received subsequent to the distribution of the questionnaire providing information for this monograph.

The authors express their appreciation to the Criminal Courts Technical Assistance Project, Institute for Advanced Studies in Justice, The American University Law School, and the Law Enforcement Assistance Administration for the opportunity to write and publish this monograph.

Invaluable assistance was provided by research assistants, Nancy Kahaner, senior law student, James G. Benway, 1981 Masters of Science in Judicial Administration graduate, and Thaddeus J. Spaak, graduate student in the judicial administration program, University of Denver College of Law. Once again, the authors are greatly indebted to Marion Weaver Lawson for her thorough editing of this manuscript. Annie Aamodt is thanked for typing this monograph in its various revisions.

This monograph would not have been possible without the help of the state court administrators and judicial planners who took the time to respond to our seemingly insatiable demands for information. We also thank the National Courcil for Judicial Planning for providing us with the opportunity to discuss this study at its annual meeting in San Diego.

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Finally, the authors take full responsibility for any sins of commission or omission as to substance and interpretation.

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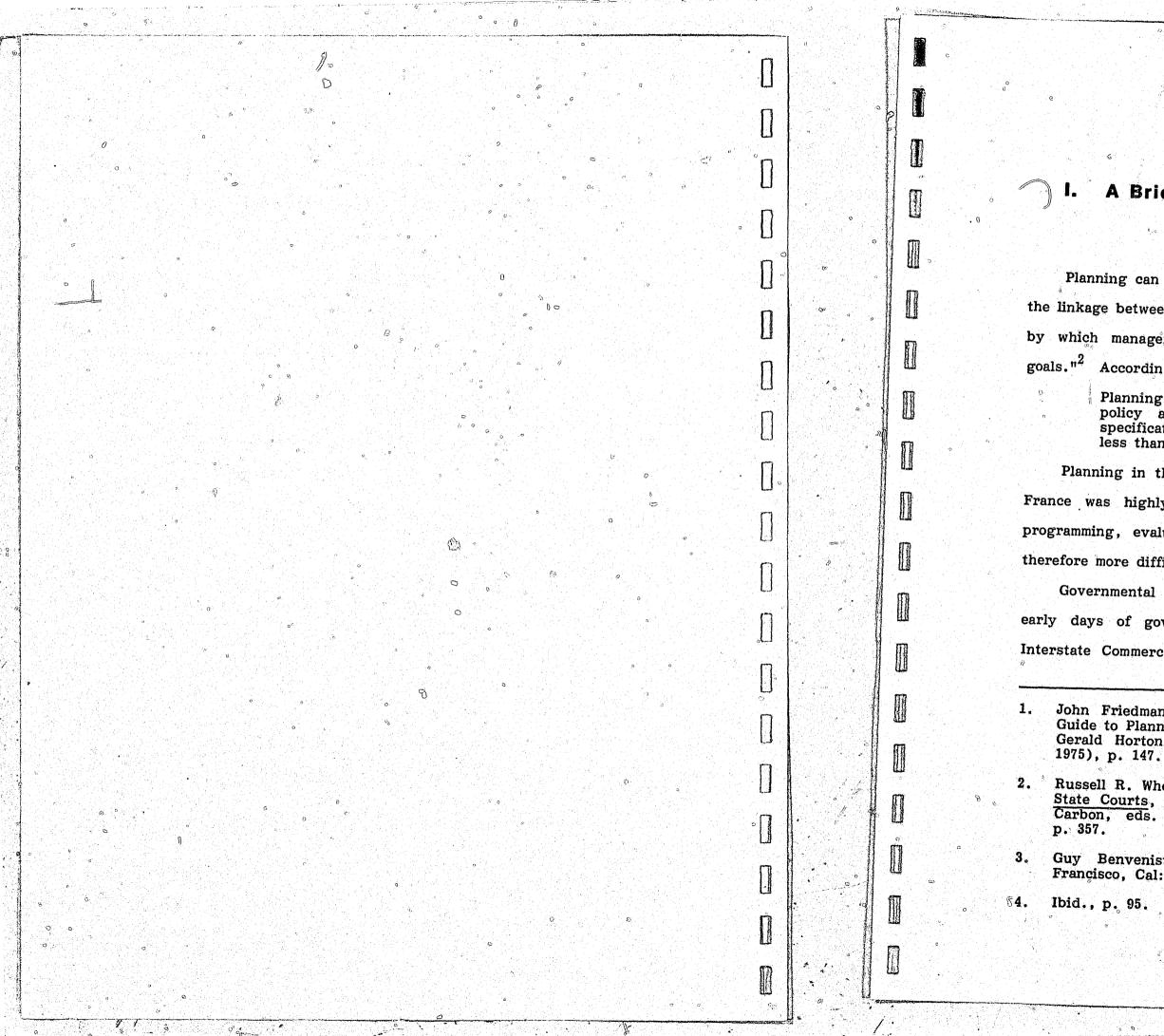
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# A Brief History of the Planning Concept

Planning can be described as an activity "centrally concerned with the linkage between knowledge and organized action."<sup>1</sup> It is a "process by which management decisions are made in light of organizational goals."<sup>2</sup> According to one author:

> Planning usually requires a considerable level of effort in policy analysis, evaluation and programming. Plans are specifications of future events that are set ahead of time for less than one, five or even ten to twenty years.

Planning in the more socialistic countries of the Soviet Union and France was highly centralized. In this country, "policy analysis, programming, evaluation, and planning remain the most difficult and therefore more difficult to describe or influence in their totality."<sup>4</sup>

Governmental planning in the United States can be traced to the early days of governmental intervention with the "creation of the Interstate Commerce Commission in 1887, the passage of the Sherman

John Friedman and Barclay Hudson, "Knowledge and Action: A Guide to Planning Theory," <u>Readings on Human Services Planning</u>, Gerald Horton, ed. (Atlanta, Ga.: The Research Group, Inc., 1975), p. 147.

Russell R. Wheeler, "Planning in the State Courts," <u>Managing the</u> <u>State Courts</u>, Larry C. Berkson, Steven W. Hays and Susan J. Carbon, eds. (St. Paul, Minn.: West Publishing Co., 1977), p. 357

Guy Benveniste, <u>The Politics of Expertise</u>, 2nd ed.<sup>3</sup>, (San Francisco, Cal: Boyd and Fraser Publishing Company, 1977), p. 9.<sup>6</sup> Ibid., p. 95.

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Antitrust Act of 1890, the establishment of the Federal Trade Commission, and the development of the conservation commission under President Theodore Roosevelt."<sup>5</sup>

War and depression brought more planning entities into government with the War Industries Board, the War Trade Board, the Shipping Board, and the War Labor Board during World War I. The depression brought such programs as the Tennessee Valley Authority and other planning activities by such agencies as the National Forest Service, the Bureau of Reclamation, the Corps of Engineers, and the U.S. Geological Survey.<sup>6</sup>

In 1936, this country came close to having a national planning body. The National Resources Planning Board was created by President Roosevelt to be an advisory board under the executive branch. The board made recommendations in resource use, population trends, and other socio-economic issues. Due to the controversial nature of the board, it was abolished by Congress in 1943.<sup>7</sup>

During the 1960's and 1970's, the federal government required planning capabilities within most state government agencies as a prerequisite to their receiving federal funds. The emphasis reached its peak with President Johnson's introduction of Planning Programming Budgeting in 1965. According to Ott and Ott, "the aim of PPBS is to specify (and where possible to quantify) to objectives of 'output' of federal spending programs and then to minimize the cost of achieving

5. Ibid., p. 96.

6. Ibid.

'. Ibid., pp. 96-97.

costs."8 or objectives was forgotten.

9

Luthor Glick, "Notes on the Theory of Organization," <u>Classics of</u> <u>Public Administration</u>, Jay M. Shafritz & Albert C. Hyde, eds. (Oak Park, Ill.: Moore Publishing Company, Inc., 1978), p. 46. See also: Luthor Gulick and Lyndall Urwick, ed., <u>Papers on</u> <u>the Science of Administration</u>, 1937), pp. 3-13.

these objectives to ascertain whether the program benefits exceed the

From 1965 to the current era of reduced federal funding, many federal, state, and local agencies developed federal planning capabilities for federal grants-in-aid programs. Any systematic or long-range planning that occurred in most of these organizations was secondary to grant writing or federal compliance reporting. As a result, in many agencies, the concept of organizational decision-making in light of goals or objectives was forgotten.

Any discussion of the history of planning must include a review of planning in the private sector. In government, the planning emphasis is on efficient and effective use of resources. Planning in the private sector addresses these issues, but the underlying theme is profit.

In 1937, Luthor Gulick published his famous, "Notes on the Theory of Organization." In that work he coined his acronym POSDCORB for the work of a chief executive. The first element of POSDCORB was planning. He said, "Planning, that is working out in broad outline the things that need to be done and the methods for doing them to accomplish the purpose set for the enterprise."<sup>9</sup>

Today's complex market activity has caused the private sector to emphasize planning. According to John Kenneth Galbraith:

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David J. Ott, Attiat F. Ott, "The Budget Process," <u>Planning</u> <u>Programming Budgeting: A Systems Approach</u> to Management, 2nd <u>ed.</u>, Fremont J. Lyden & Ernest G. Miller, eds. (Chicago, Ill.: Rand McNally Publishing Co., 1972), p. 44.

For understanding the economy and polity of the United States and other advanced industrial countries, this reaction against the word planning could hardly have been worse timed. It occurred when the increased use of technology and the accompanying commitment of time and capital were forcing extensive planning on all industrial communities. This has not been sensed. And, in many quarters, the word planning is again acquiring a measure of respectability.

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#### Major Planning Traditions

A short history of planning, while useful in understanding the background of court planning, does little to enlighten the reader as to the basic philosophical roots of the concept. While it is not the intent of the authors to dwell on philosophy or theory, the interested reader may wish to pursue the subject of planning in a more academic manner than this monograph provides. This section will provide guidance to those readers.

Friedman and Hudson, in "Knowledge and Action: A Guide to Planning Theory," review the development of planning theory from 1935 through 1970, as to philosophical synthesis, rationalism systems theory, organization developments, and empiricism.

Earlier, it was noted that Friedman and Hudson defined planning as "the linkage between knowledge and organized action"<sup>11</sup> (emphasis added). The four intellectual traditions listed above encompass this definition in a number of ways. Philosophical synthesis stresses planning as a social process. The writers in this category go beyond

11. Friedman and Hudson, "Knowledge and Action: A Guide to Planning Theory," p. 147. the boundaries of their own disciplines (sociology, economics, philosophy, political science, social psychology, and planning) to find an integrated view of planning.<sup>12</sup>

The tradition of rationalism is primarily concerned with how decisions can be made more rationally.<sup>13</sup>

The tradition of organization development "is primarily focused on ways to achieve desired changes in organizational structure and behavior."<sup>14</sup> There exists in the literature a "central preoccupation with innovation, the role of 'change agents,' and the web of interpersonal relationships of which organizations are constructed."<sup>15</sup>

Finally, the tradition of empiricism focuses on "the functioning of large scale political and economic systems."<sup>16</sup> Two mainstreams converge upon this tradition, one with its source in national planning efforts (generally in other countries), the other stemming from the study of urban politics in the United States."<sup>17</sup>

Table 1 provides a guide to major traditions in planning theory.

<sup>4</sup>12. Ibid., p. 148.

16. Ibid., p. 150.

13. Ibid.

14. Ibid.

15. Ibid.

17. Ibid.

Guy Benveniste, <u>The Politics of Expertise</u>, p. 107.
 See also: John Kenneth Galbraith, <u>The New Industrial State</u> (New York: Signet Books, 1968).

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Philosophical Synthesis	Rationalism Systems Theory	Organization Development	Studies of National Planning	Studies of Urban Planning
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> Planning in ington, D.C Russell R. Berkson, S the State C

3. Ibid.

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# **Planning in State Court Systems**

Prior to 1975, concentrated, long-range planning in state court systems was nearly non-existent. In a 1976 report, the National Center for State Courts wrote: "Many courts have planned for specific purposes, such as management of federal grants or implementation of statutory or constitutional changes in court structure and procedures. Few courts of court systems have planned in a disciplined fashion to identify and attain long-term goals."<sup>1</sup>

Reviewing the history, if any, is reviewing the history of state court administrative agencies.<sup>2</sup> According to Russell Wheeler, the failure of most judicial councils, established in the 1920's, caused state supreme courts to ally themselves with state court administrative offices to assume what central court management authority there was, "including the real or potential authority to exercise management's major substantive function, planning."<sup>3</sup>

Wheeler goes on to review surveys of state court planning units in

Planning in State Courts: A Survey of the State of the Art (Washington, D.C.: National Center for State Courts, 1977), p. 13.

Russell R. Wheeler, "Planning in the State Courts," Larry C. Berkson, Steven W. Hays, and Susan J. Carbon, eds., <u>Managing</u> the State Courts (St. Paul: West Publishing Co., 1977), p. 340.

According to the Council of State Governments, 22 of the 24 planning units reported in its 1976 survey were created after 1970. This recent surge of planning units reflects the impact of the federal anti-crime program that was initiated in 1968. All but seven of the existing planning units reported by the COSG survey rely in part on federal funds, most on a 10:90 state: federal ratio. Furthermore (although the COSG report does not so hold), this heavy increase in court planning units may not represent a judicial commitment to comprehensive planning as much as it does a, desire to take advantage of funds available for that purpose.

It is the intent of this monograph to review the extent of state court planning since federal funds were provided for that purpose. Before assessing the intent of comprehensive planning since 1976, it is important to review the history of federal funding for court planning units.

### Federal Support for State Court Planning

In 1975, a special study team on LEAA support of state courts (The "Irving Report") found that state courts "have not received the interest, technical assistance, or financial support from LEAA that are absolutely essential for sound growth and progress.<sup>5'</sup> The report came as a result of several years of disagreement among state court systems, state criminal justice planning agencies, and the Law Enforcement Assistance Administration (LEAA) over adequate federal funding for courts.

Ibid., p. 341.

as cited in Daniel J. Elazar and Ellis Katz, "Final Report on the 5. Court Planning Capabilities Project of the National Center for State Courts - Phase 1, October 1, 1975 - October 31, 1976" (Philadelphia: Center for the Study of Federalism, Temple University), p. 1. Also see John F. Irving, Peter Haynes, and Henry V. Pennington, Report of the Special Study Team on LEAA Support of State Courts, (Washington, D.C.: The American University Criminal Court Technical Assistance Project, 1975).

states.

An LEAA discretionary grant was awarded in June, Georgia. 1976.8 With that grant, the state provided staff work for a Long-Range Planning Committee (LRPC), a committee of the judicial Council. The LRPC was:

Ibid.

Ibid.

8. Ibid., p. 13

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#### Six State Pilot Project

As a result of this report, "LEAA began a multi-faceted two million dollar set of interrelated projects."<sup>b</sup> One of those projects was the availability of discretionary funds for the development of state court planning capabilities. In addition, the National Center for State Courts (NCSC) conducted three phases of a project to assist state court systems in developing planning capabilities. This project was called the State Court Planning Capabilities Project.

The combination of the LEAA discretionary funds and the NCSC project, provided six "pilot" states for judicial planning. The pilot states were Georgia, Louisiana, Maine, Maryland, North Dakota, and Oregon. What follows is a summary of the activities of those pilot

> (1) to become involved in long-range planning in order to anticipate future needs of the Georgia court systems;

(2) to identify methods to simplify and expedite the administration of justice in the State of Georgia;

(3) to recommend policies and procedures to create a continuing court planning capacity in the Administrative Office of the Courts and for the State of Georgia; and,

(4) to provide guidance to the planning staff of the Administrative Office of the Courts in the development of planning documents which will obtain maximum utilization of all available resources to meet recognized objectives of the Georgia court system.

In December, 1977, the Judicial Council created a Judicial Planning Committee (JPC).<sup>10</sup> The JPC did not have the same membership as the LRPC, but its membership included "all members of the Judicial Council, thus creating overlap not only between the Council and the JPC, but the LRPC as well."<sup>11</sup>

Because many of the functions of the LRPC and the JPS were the same, the LRPC was disbanded in September, 1977, leaving future planning to the JRPC.<sup>12</sup>

Louisiana. Louisiana began its federally-funded activities in June, 1976. According to Court Planning Capabilities Project's evaluation, the Louisiana effort was a success in several respects:

- (1) A grant application was developed to fund a Judicial Planning Council that was easily and quickly converted the state's JPC with the passage of P.L. 94-503.
- (2) A plan was developed that was recognized by the LEAA Regional Office as a model.
- (3) Several short-term changes in areas such as small claims, court reporting and public information were developed and implemented.

 Daniel J. Elazar and Ellis Katz, "Three Years of Court Planning – Final Evaluation of the Court Planning Capabilities Project," (Philadelphia: Center for the Study of Federalism, Temple University), June 26, 1979, p. 15.

- 10. JPCs will be discussed in detail in later sections of this monograph.
- 11. Elazar and Katz, "Three Years of Court Planning: Final Evaluation of the Court Planning Capabilities Project," p. 17.

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12. Ibid.

Maine. resolution in the present."<sup>15</sup>

(4) A long-range planning process began - most significant was its attention to court finance.

<u>Maine</u>. Maine hired a planning staff at the end of 1977. Due to an "anti-planning" atmosphere in that state, the process in those early years had to function within that philosophy.<sup>14</sup>

An Advisory Committee on Court Management and Policy was developed to serve as a screening committee for administrative matters to the Supreme Court. In its first report to the Supreme Court, the Committee stated that, "The process will involve some thought of the future, but will primarily be an attempt to deal with issues that need resolution in the present."<sup>15</sup>

Thus, in its early phase in Maine, planning covered such issues as jury sequestering, trial <u>de novo</u>, judicial orientation, small claims, security, ball commissioners, salaries for active required justices, retirement, and uniform court protocol.<sup>16</sup>

Maryland was the most centralized of the pilot states. It also had a highly professional administrative staff before the introduction of federal planning funds in 1976. As a result, the planning effort was to be a decentralized one, modeled after the "strategic business unit" planning system of General Electric.<sup>17</sup>

 Elazar and Katz, "Three Years of Court Planning: Final Evaluation of Phase III of the Court Planning Capabilities Project," pp. 29-30.
 Ibid., p. 35.

15. Ibid., pp. 36-37.

16. Ibid., p. 36.

17. Ibid., pp. 39-41.

Unfortunately, there seemed to be little support for the local planning process among the trial judges. Thus, the planning efforts were limited to the identification of a number of locally specific court problems.<sup>18</sup>

Finally, an informal administrative docket process was developed to solve some administrative problems.<sup>19</sup>

North Dakota's early efforts at a formal planning North Dakota. process were, perhaps, the most successful of all the pilot states.

At the time the planning unit was established, the state was facing a constitutional amendment to unify the courts. Upon its passage, the planning unit was instrumental in drafting rules and legislation for implementation of the amendment. $^{20}$  While the legislation was not enacted in its entirety the first time it was submitted to the legislature, the planning effort did develop into one of the most comprehensive judicial plans in the country. It also developed a "rule on rules" which could be used as a model in other states.<sup>21</sup>

While Oregon was considered a pilot state, planning Oregon. activities did not begin there until after the passage of P.L. 94-503<sup>22</sup>

Much of the early activity in Oregon centered on the state criminal justice process. Toward the end of the project, trial judges identified several types of cases that they believed should be handled in a

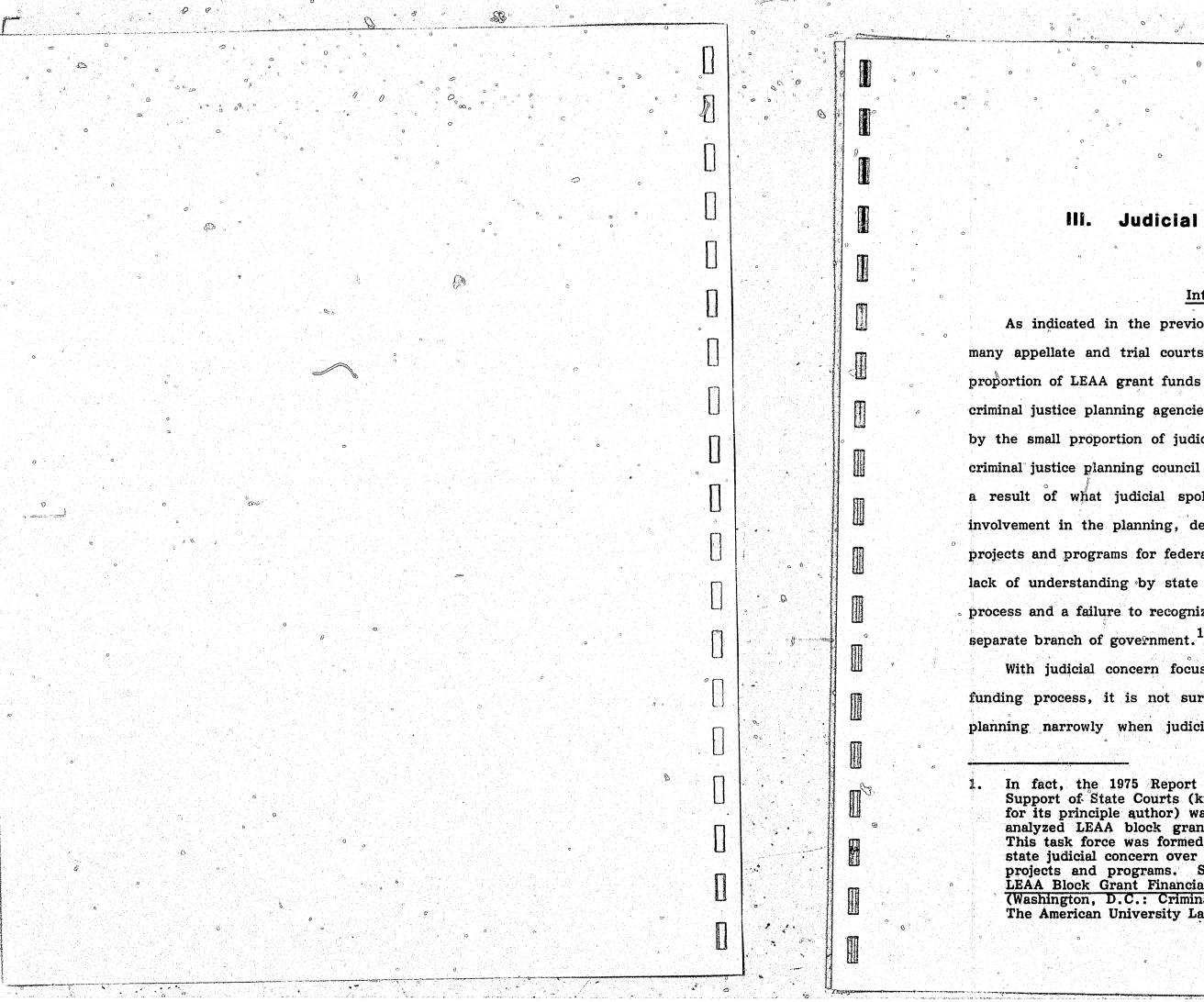
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18. Ibid., pp. 45-46. 19. Ibid., p. 46. 20. Ibid., pp. 47-54. 21.. Ibid. 22. Ibid., p. 56

different format and made suggestions for arbitration, mediation, and conciliation procedures.<sup>23</sup> By the end of the project, the planning effort had begun to address some long-range issues.

Effect of Pilot Projects The work of the six pilot states became the bases for much of the court planning which occurred after the 1976 amendments to the Omnibus Crime Control and Safe Streets Act of 1968. Those amendments, which are discussed in Chapter 3, provided funds for the establishment of Judicial Planning Committees. While the underlying theme of those committees was planning for LEAA funds, court systems that developed planning with an eye toward more long-range integrated functions appear to have survived the initial round of fiscal cut-backs better than those that didn't. The jurisdictions with long-range integrated planning may well be the innovators, pointing the way to survival in an era of limited resources.

23. Ibid., p. 59.



# Judicial Planning in 1977

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#### Introduction

As indicated in the previous chapter, state judicial systems and many appellate and trial courts were concerned over the amount and proportion of LEAA grant funds allocated for judicial purposes by state criminal justice planning agencies. This concern was prompted in part by the small proportion of judicial branch representation on the state criminal justice planning council in many jurisdictions. In part, it was a result of what judicial spokesmen saw as a lack of significant involvement in the planning, development, and presentation of judicial projects and programs for federal funding. Finally, courts perceived a lack of understanding by state criminal justice councils of the judicial process and a failure to recognize that the judicial system constituted a separate branch of government.<sup>1</sup>

With judicial concern focused on the amount of grants and the funding process, it is not surprising that many jurisdictions viewed planning narrowly when judicial councils or committees were first

In fact, the 1975 Report of the Special Study Team on LEAA Support of State Courts (known popularly as the "Irving Report," for its principle author) was followed by another task force which analyzed LEAA block grant financial assistance to state courts. This task force was formed in response to both Congressional and state judicial concern over the level of federal funding for judicial projects and programs. See: Peter Haynes, et al, <u>Analysis of LEAA Block Grant Financial Assistance to State Courts, 1972-1975</u> (Washington, D.C.: Criminal Courts Technical Assistance Project, The American University Law Institute, 1976).

created. In fact, in some jurisdictions, the acquisition of federal funds was the major, if not the only purpose of the JPCs and the planning function during the time they were federally supported.

#### Pertinent Provisions of P.L. 94-503 (1976)

Congress addressed state judicial concerns through several provisions of P.L. 94-503 (1976), also known as the Crime Control Act of 1976. This act amended and extended the Crime Control Act of 1968. The provisions affecting courts were designed to make it possible for state judicial systems to play a greater role in the criminal justice planning process, particularly in the allocation of LEAA funds for judicial projects and programs. The act did this in four ways:

(1) It increased judicial system representation on state criminal justice councils.

(2) It authorized state judicial systems to create judicial planning committees or councils (JPCs), as explained below.

(3) It made at least \$50,000 per year available to each JPC from LEAA funds granted to the states' criminal justice planning agencies.

(4) It required the state criminal justice planning agency to provide an adequate share of the state's LEAA block funds for "the support of improved court programs and projects, including projects relating to prosecutorial and defender services."<sup>2</sup>

The court of last resort in each state or a judicial agency authorized by law, if it had statutory membership of a majority of court officials (including judges, administrators, prosecutors, and defenders),

2. P.L. 94-503, Laws of 94th Cong. - 2nd Session, § 111.

state; justice plan.<sup>5</sup> justice planning agency.<sup>0</sup>

Ibid., § 105.

Ibid.

Ibid.

Ibid.

6.

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could establish or designate a judicial planning committee for the preparation, development, and revision of an annual state judicial plan.<sup>3</sup> The committee so established or designated was to be reasonably representative of the various state and local courts, including appellate courts, and had to include a majority of court officials (including judges, administrators, prosecutors, and public defenders).<sup>4</sup> Judicial planning committees were given the following functions: (1) to establish priorities for improvements of the courts in the

(2) to define, develop, and coordinate programs and projects for the improvement of courts in the state;

(3) to develop an annual state judicial plan for the improvement of courts in the state to be included in the state comprehensive criminal

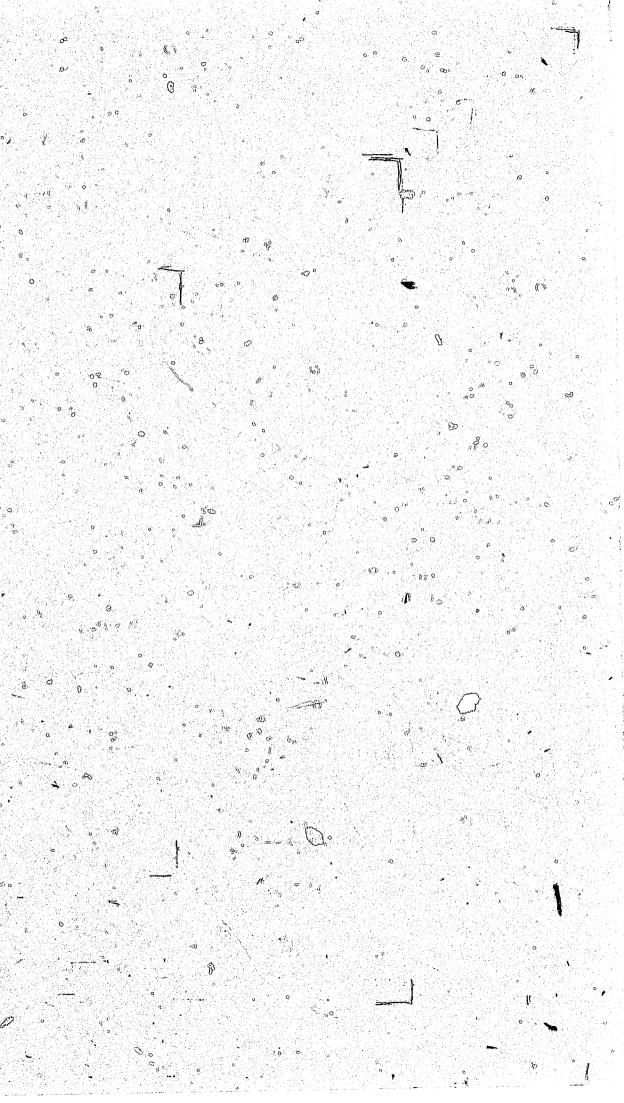
The JPC was required to submit the plan to the state criminal justice planning agency. The state criminal justice planning agency was required to incorporate the JPC plan in the state plan. If a JPC was not appointed, or failed to submit a plan, the responsibility for preparing and developing the plan remained with the state criminal justice planning agency.<sup>6</sup>

# Justice Planning Committees (Councils)

Thirty-one of the forty-eight jurisdictions responding to the questionnaire indicated that they had either created a JPC or designated an existing judicial system entity to serve as the planning committee. The total of thirty-one included four of the six jurisdictions with pilot planning projects. Maine and Maryland did not create JPCs.

## Size and Composition

<u>Size</u>. Information on judicial planning committee size was provided by twenty-nine jurisdictions. As shown in Table 2, these twenty-nine JPCs ranged in size in 1977 from a low of five members to a high of thirty-six members. Seven had fewer than ten members; twelve had between ten and\_fourteen members; six had between fifteen and nineteen members; three had between twenty and twenty-four members; and one had more than twenty-five members.



## TABLE 2

 $\langle \mathbf{i} \rangle$ 

Judicial Planning Council Composition, 1977

# Jurisdiction

JPC Composition:	CO	AS	CA	CO	DC	FL	GO	IL	KY	LA	MA	MI	MN	MO	MT	NV	NH	ŊJ	NM	NC	OR	PA
o Total Members	17	5	9	18	19	17	23	12	21	17	5	10	17	13	36	10	7	10	11	13	11	10
Appellate Judges	4		1	2	3	3	3	1	5	1	1	1	1	3	2	1	2	9	3	2	1	4
Gen'1 Jur. Judges	4		4	4	4	3	9	2	7	11	4	2					1	1	5	1	1	3
Lim. Jur. Judges	2		2	2		2	6		4	1		2	4		8	3	1		3	1	2	
Other Judges	1		8 B.,	2		- 114. 1 (116.	1979) 1979 - R					1				2				_ 1		
Bar Assn.			1	1	1	1	2	1	1			1		1	2		1			2	1	
Prosecutors	1	1		_ 1	2	1	1	1		1				1		1	1			1		1
Public Defenders	1	1	1	<sup>a</sup> 1	1	1	1					1	1	1	2	1				1	1	1
Legislators			ze <sup>1</sup>			2								1	3					2		
Press			-					1							1	di da						
State Court Admin.	1	1	1	<sup>a</sup> 1	1	1		1	1			1	1	1	2	1				1	1	1
Trial Court Admin.	1			1			1										_ 1				199	
Clerk of Court	2					1			3	1					4					1		
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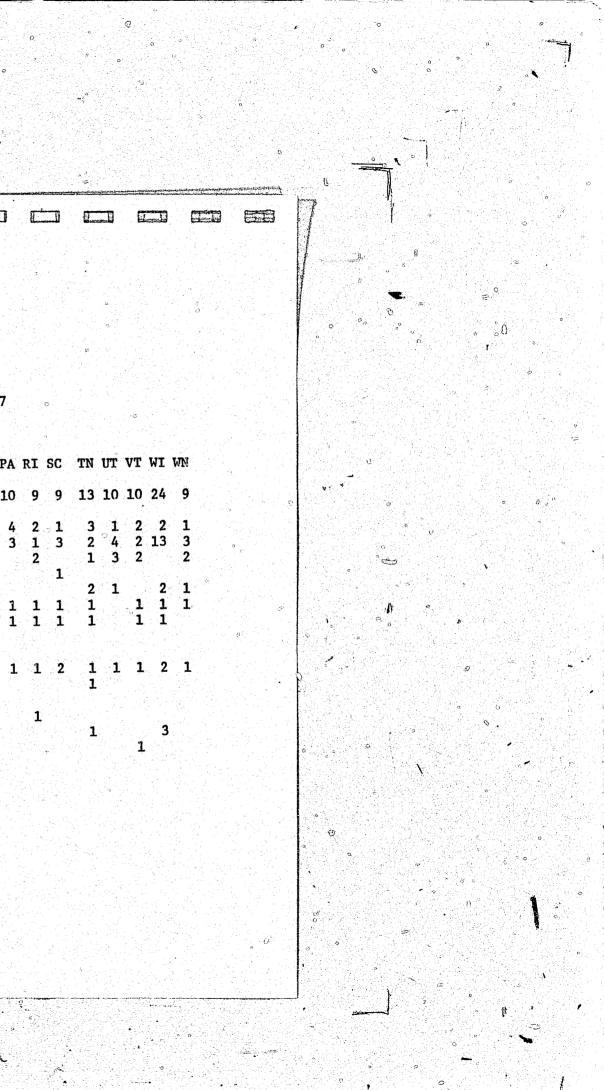
b.

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S.

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Advisory, non-voting. All attorneys Four producing attorneys. с.



Alaska and Massachusetts had the smallest JPCs (five members), and Montana had the largest (thirty-six members). The average (mean) size was thirteen members, and the median was eleven members. New Mexico and Oregon were at the median, and nine jurisdictions were close to it (between ten and thirteen members).

Composition. Not only did JPCs vary in membérship size in 1977, they also differed considerably in composition. Usually, the larger the JPC membership, the more everse was that membership. For example, Montana with thirty-six members had eleven categories of membership: appellate judges, general jurisdiction, judges, limited jurisdiction judges, prosecutors, public defenders, legislators, press, state court administrator's office, clerks of court, and the public. The other two states with eleven - categories of representation were Colorado and Florida, with JPC memberships of eighteen and seventeen respectively. At the opposite end of the spectrum, Massachussetts and New Jersey had only two categories of membership: appellate and general jurisdiction judges.

Appellate judges were represented in twenty-nine jurisdictions shown in Table 2, as were general jurisdiction judges. The state court administrator or his staff was represented on twenty-three JPCs, as were prosecutors. Public defenders had representation on twenty JPCs, the same number as trial judges of courts in limited jurisdiction. Trial court administrators or clerks were represented on nine JPCs.

Outside the judicial system extended family (including prosecution and defense), the greatest representation was accorded to bar association (seventeen jurisdictions). In contrast, only nine JPCs had

judicial system responsibility). Act.

Even though the JPCs were primarily advisory to the supreme court, chief justice, or state court administrator, there was an obvious reluctance to include "outsiders." Nevertheless, seventy percent of the twenty-nine jurisdictions included bar representation (perhaps not viewed as outsiders), and thirty percent opened membership to the public.

# Authority for Creating JPCs

Twenty-six states responded to the question concerning state authority for the creation of their JPCs, as shown in Table 3. Supreme court order was, by far, the most prevalent method of JPC creation (twenty states). In two states (Colorado and Florida), the JPC was created by order of the chief justice. The JPC was created by statute

Some of the public representatives reported by nine jurisdictions may have been members of the press.

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public members," and only two had press representation, as such." Except for one lonely probation officer in one jurisdiction, there were no corrections representatives. (In this jurisdiction, probation is a

It appears from JPC composition in 1977, as shown in the twenty-nine states, that judicial systems approached court improvement and grant review as primarily, if not strictly, an in-house affair. This attitude may well have been a reaction to frustration with the grant and planning processes, because of a lack of meaningful involvement in decision making prior to the 1976 amendments to the Crime Control

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in three states (California, North Carolina, and Vermont), and, in Georgia, the JPC was created by order of the judicial council.

#### JPC Functions

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The major functions of JPCs in 1977, as previously indicated, were preparation of the state judicial plan for court improvement and grant review. Usually, the state judicial plan was concerned solely with the use of federal grants, almost exclusively from the Law Enforcement Assistance Administration. In a few jurisdictions, the JPC also had the responsibility for grant administration and project evaluation. In only four jurisdictions in 1977 was the JPC concerned with non-grant related research.

Twenty-seven states responded to questions about JPC functions in 1977, and these responses are tabulated in Table 4. Most of these twenty-seven JPCs acted in an advisory capacity to the supreme court, chief justice, or state court administrator, or to some combination of the three. Four jurisdictions indicated that the JPC was responsible for grant review only, but did not indicate to whom and in what capacity this review was presented.

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(F) Jurisdiction Alabama California Colorado Dist. of Columbia Florida Georgia Illinois Kentucky Louisiana Massachusetts Michigan Missouri Montana Nevada New Hampshire New Jersey New Mexico North Carolina Pennsylvania Rhode Island South Carolina Tennessee Utah Vermont Wisconsin Wyoming

a. By order of Judib. Appointed by Sup

#### Table 3

Authority for JPC Creation, 1977

Supreme Court <u>Order</u>	Chief Justice Order	<u>by Statute</u>	<u>Other</u>
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X X X X X			
X X		x <sup>b</sup>	
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California	2 2	X	X	<b>X</b>	X		U		M	as a separate
Colorado Dist. of Colum	ь. х	x	x		1 0	Ċ	n		Ш	
Florida Georgia	X	X			。	x <sup>a</sup> x <sup>c</sup>			m	in two states
Illinois	X		X	x	o X		Ē	r0*	Ш	• no planning s
Kentucky Louisiana	x	x	<b>X</b> .		X	x <sup>d</sup>				that time ne
Massachusetts Michigan	X X	X				۹6	П	<b>40</b>		Oklahoma).
Minnesota		X	• X X			xe				(Connecticut,
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Nevada New Hampshire	X	X							Π	New Yor
New Jersey	X	X	X			$x^{ef}_{x^g}$				In addition
New Mexico North Carolina	X X X					x <sup>g</sup>			<b>STA</b>	analysis, sy
Oregon	X	x	X X		X	1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1		¢.	Ш	analysis. Al
Pennsylvania Rhode Island	X			X					m	
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Wisconsin Wyoming		₹Ø <sup>j</sup>	X	0	đ	1. <b>1</b> .	L			had other du
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#### Planning Staff in 1977

#### nning Staff

y-six states responded to questions concerning the size of staffs in FY1977, as shown in Table 5. Some jurisdictions did r this question, because a planning unit was not established rate entity until FY1978 or later. This was also the situation ites (South Dakota and Texas) which responded that they had ng staff in 1977. Three states reporting no planning staffs at never did create a planning unit (Nebraska, Ohio, and . Four states had planning staff in 1977, but no JPC cut, Maine, Maryland, and New York).

York had the largest staff in 1977 with thirty-four members. on to planning, this staff was responsible for management systems development, facility planning, and statistical All thirty-four positions were state funded; New York did re any LEAA money for planning after 1975.

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w states besides New York reported that the planning staff duties, but none indicated as broad a range of functions as ork. In a few jurisdiction, e.g., Montana, South Carolina, staff services were performed in varying degrees by regular f. Median staff size was two in 1977, reflecting, in most ns, the dependence on LEAA funding for the planning

## Administrative Location of Planning Staff

Twenty-seven states responded to questions concerning the administrative location of planning staff in FY1977. Only two (Illinois and Kansas) reported that planning staff was directly responsible to the JPC. In Kansas, JPC functions were carried out by the Judicial Council.

In twenty-five states, the planning staff was located in the AOC. In twelve, planning was a separate unit. It was under research in eight, under budgeting in two, and under some other AOC division in three.

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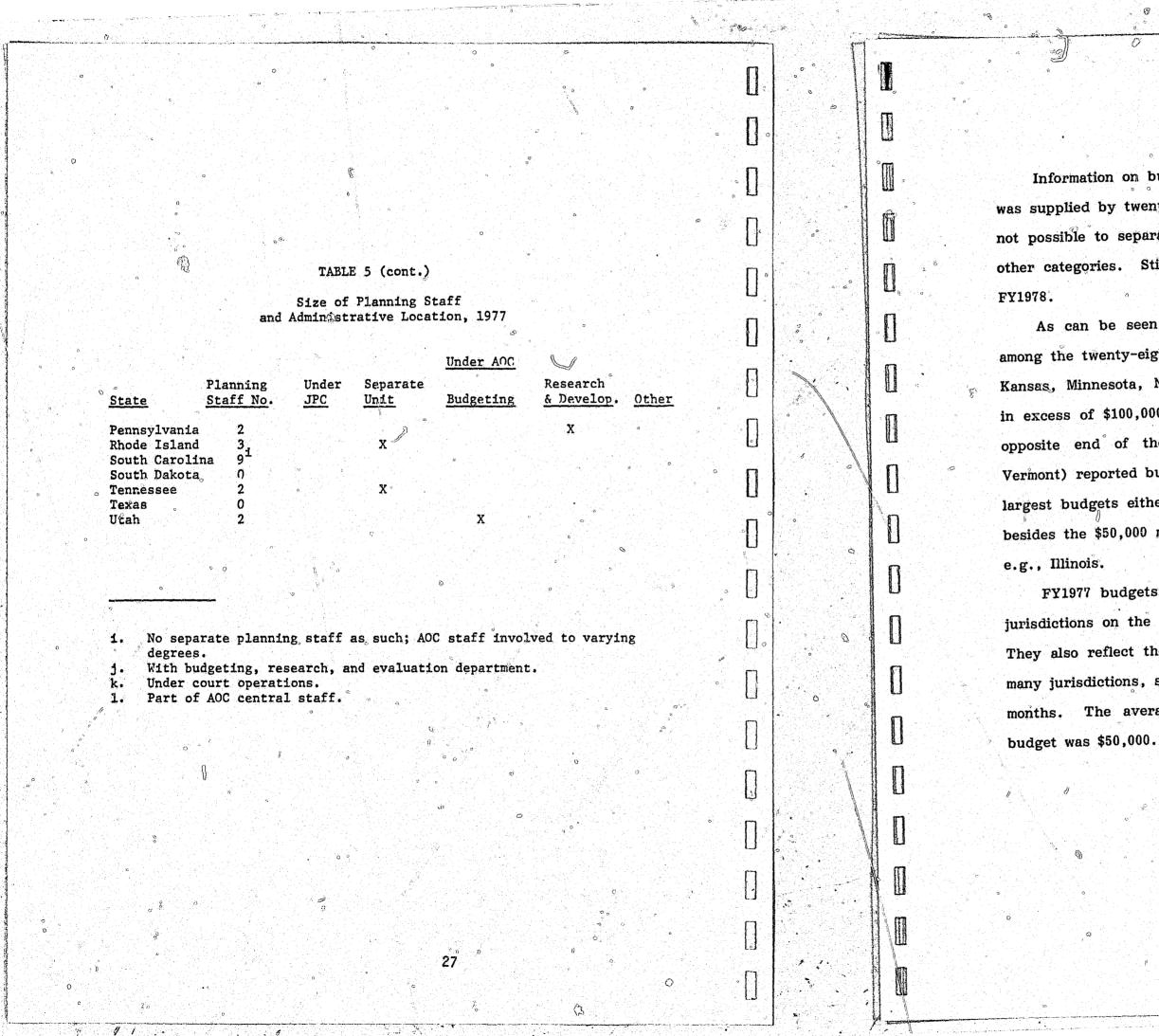
volved to varying g. Planning, manageme and statistical ar h. Part of AOC staff.

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#### TABLE 5

Size of Planning Staff and Administrative Location, 1977

		<u>Unde</u>	r AOC		
ng No.	Under JPC	Separate <u>Unit</u>	Budgeting	Research & Develop.	<u>Other</u>
	¢.			x	
		X		X	
		<u>X</u>		X	
		x		x <sup>b</sup>	
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# Planning Budgets FY1977

Information on budgets for the JPCs and planning staff in FY1977was supplied by twenty-eight states. Several others stated that it was not possible to separate budget allocations attributed to planning from other categories. Still others did not have budgets for planning until

As can be seen from Table 6, total budgets varied considerably among the twenty-eight jurisdictions. Six states (Connecticut, Illinois, Kansas, Minnesota, North Carolina, and Tennessee) had total budgets in excess of \$100,000, topped by Connecticut, with \$161,700. At the opposite end of the spectrum, three states (Maine, Nevada, and Vermont) reported budgets of less than \$20,000. Those states with the largest budgets either had state funding in addition to federal funding besides the \$50,000 made available for planning by P.L. 94-503 (1976),

FY1977 budgets of \$50,000 or less reflect the dependence of most jurisdictions on the LEAA funding made available for judicial planning. They also reflect the fact that 1977 was a planning start-up year for many jurisdictions, some of which were in operation for less than twelve months. The average (mean) budget was \$52,681, and the median budget was \$50,000.

Summary

It is difficult to draw conclusions or identify and categorize operational models from the data on JPCs and judicial planning functions in 1977, primarily because the jurisdictions reporting were in varying stages of development. There were some similarities among the majority of states responding to the questionnaire, and they may be generalized as follows:

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State To Alabama \$ 50 California 90 33 161 Colorado Connecticut Illinois 155 109 Kansas 11 Maine Maryland 60 83 50 Massachusetts Michigan Minnesota 103 Missouri 50, 50, 19, 41, 57, 50, Montana Nevada New Hampshire New Jersey New Mexico. No. Carolina 126, Oregon 50, 45, 60, Pennsylvania Rhode Island South Carolina 50, 110, 50, 17, Tennessee Utah Vermont 33, 25, Washington Wisconsin Wyoming

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Breakdown not available. 8. Includes consultants. Ъ. Judicial council. C. d. Includes supplies. e.

#### TABLE 6

#### Planning Budgets, FY1977

<u>Total</u> -	<u>Personnel</u>	Operating	Travel	Équip. <u>&amp; Furniture</u>	<u>Other</u>
\$ 50,000 <sup>a</sup>					
90,000	\$ 79,457	\$ 7,061	\$ 3,482	9	
33,500	24,770 <sup>b</sup>	1,072	2,438	\$ 5,220	
161,700	130,000	16,000	6,300	9,400	
155,555	110,733	11,233,	17,154	880	\$ 15,555
109,363 <sup>C</sup>	49,997	° 59,366 <sup>d</sup>		000	\$ 15,555
11,542	9,745	1,559	238		
60,000	60,000	-,	2.50		
83,527	75,000	5,000	3,527		
50,000 <sup>a</sup>	,	۳,000	5,521		0
103,333	60,347	24,370,	13,017	5,599	
50,000	22,500	27,500 <sup>d</sup>	, T3, (IT)	7,777	<i>Q</i>
50,000	29,000	8,500	14,000	1 500	
19,755	2,182	7,080	10,493	1,500	8 ()
41,000	33,000	3,000	2,000	2 000	
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110,000	40,000	35,000	15 000	00 000	
50,000	39,200		15,000	20,000	
17,600	15,400	4,800	2,400	3,600	
33,687	27,138	50 822	950	1,200	
25,000		823	5,361	365	
50,000 <sup>a</sup>	15,500	2,800	3,400	3,300	ca,
50,000					

Apparently includes all non-personnel categories.

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(1) Those states with JPCs were most likely to limit JPC membership to judges and others within the judicial system, with the exceptions being prosecutors, public defenders, and bar association representatives.

(2) Virtually all JPCs were created or designated by supreme court or chief justice order.

(3) Most JPC activities were limited to grant review and development of the annual state plan for court improvement, and the JPCs were most likely to serve in an advisory capacity to the supreme court, chief justice, or state court administrator, or to some combination of the three.

(4) Planning staffs were almost exclusively placed within the AOC, with separate units or research and development units the most likely locations.

(5) Most jurisdictions depended on the special LEAA allocation to fund the JPCs and planning staffs.

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IV.

some trial court judicial salaries.

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# **Judicial Planning in 1981**

#### **Introduction**

In the five years from 1977 to 1981, the concept of judicial planning became well established in most states, including some that did not create JPCs. A few jurisdictions that did not establish JPCs or planning staff units in 1977 continued not to do so., e.g., Indiana, Ohio, and Oklahoma. A few strongly supported planning as an AOC function, but did not use LEAA funds, e.g., Idaho and New York. A number of jurisdictions, while still using LEAA funds, were

receiving partial state funding. Included in this category were court systems which were state funded, and also some which were not, except for appellate courts, administrative office of the courts, and, at least, some trial court judicial salaries.

In a sense, 1981 was a year of transition and uncertainty for a number of jurisdictions as far as judicial system planning was concerned. The major question was whether state funding would replace federal funding which was being phased out, and to what extent. State court systems were faced with seeking state finds on the one hand and with having to develop possible alternatives to keep the planning function viable, on the other, if state funding was not to be forthcoming or in short supply. Some jurisdictions decided to abandon planning as a discrete function, and a number of JPSs were disbanded.

#### Pertinent Provisions of P.L. 96-157 (1979)

In 1979, Congress made changes in the Crime Control Act, some of which affected the courts. In summary, these amendments:

(1) changed the name of judicial planning committees to judicial coordinating committees (although only a few jurisdictions changed the name of their JPCs);

(2) changed the annual plan for court improvement to a three-year plan; and

(3) emphasized the following projects in connection with court grants and court planning;

a) reduction in the time between arrest or indictment<sup>o</sup> and disposition of trial,

b) implementation of court reform,

c) provision of competent defense counsel for indigent and eligible low-income persons accused of criminal offenses, and

d) development of statistical and evaluation systems to measure indicators of court project success.

#### JPCs in 1981

#### Size and Composition

<u>Size</u>. Twenty-five states reported on JPC membership size in 1981. As shown in Table 7, JPC size varied between six and twenty-seven, as compared with a range of five to thirty-six in 1977. In general, JPCs enlarged their membership over the four years. The 1981 median JPC membership size was 13, as compared with median of 11 in 1977. Eleven states increased JPC size, and only three jurisdictions changed JPC comp Changes in Minnesota and Colo seventeen to twer The largest reduc decreased from sev <u>Composition</u>. tended to be more outside of the juc their representati clerks of court. twenty-five JPCs seventeen.

Bar association representation remained high (sixteen jurisdictions). Public and legislative representation was either added or increased in some jurisdictions, but press representation remained virtually non-existent. Table 8 shows by state the specific changes in JPC membership size and composition between 1977 and 1981.

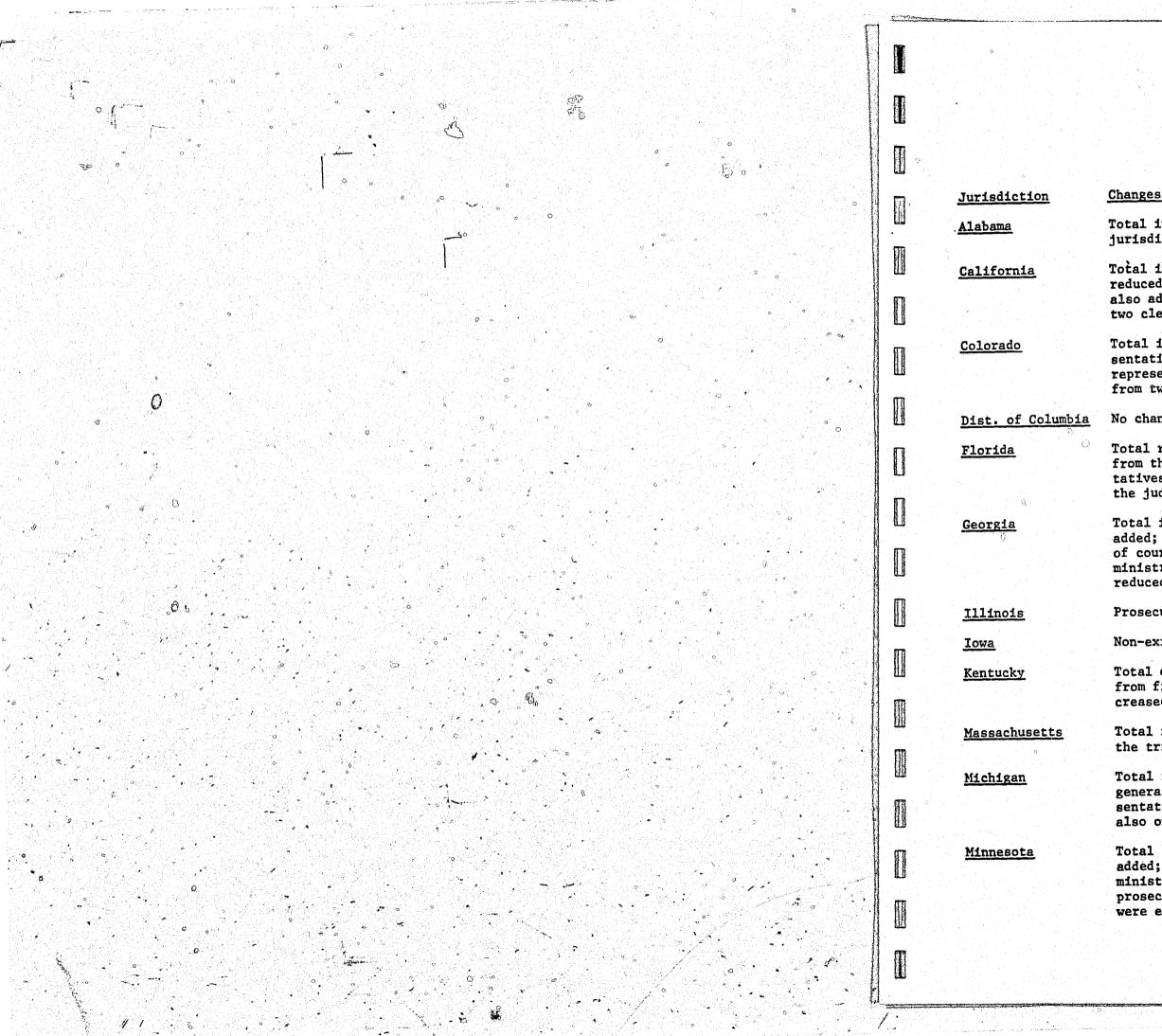
had JPCs with fewer members in 1981 than in 1977. Three others changed JPC composition slightly, but not overall size.

Changes in JPC membership size are explained in Table 8. Minnesota and Colorado had the greatest gain in JPC membership, from seventeen to twenty-seven and eighteen to twenty-five, respectively. The largest reduction in membership was in Florida, where the JPC decreased from seventeen to ten members.

<u>Composition</u>. As JPCs became larger in size, their membership tended to be more diversified. This diversification was both within and outside of the judicial family. Trial courts of general jurisdiction had their representation increased, as did trial court administrators and clerks of court. Prosecutors were represented on sixteen of the twenty-five JPCs covered in Table 7, and public defenders on

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#### TABLE 8

#### Changes in JPC Composition<sup>a</sup> 1977-1981

Total increased from 17 to 21; one appellate judge, two general jurisdiction judges, and one limited jurisdiction judge added.

Total increased from 9 to 13; number of general jurisdiction judges reduced from four to two; one limited jurisdiction judge added; also added: one prosecutor, one trial court administrator, and two clerks of court.

Total increased from 18 to 25; added were one bar assn. representative, two legislators, one clerk of court, and four public representatives; the number of appellate judges was reduced from two to one.

#### No change.

Total reduced from 17 to 10; number of appellate judges reduced from three to one; bar association and legislative representatives eliminated, as were the public member and the director of the judicial council.

Total increased from 23 to 24; two general jurisdiction judges added; two limited jurisdiction judges added, as was one clerk of court; prosecutors, public defenders, and trial court administrators no longer represented; number of appellate judges reduced from three to two.

Prosecutor no longer represented; one retired judge added.

Non-existent in 1977.

Total decreased from 21 to 19; number of appellate judges decreased from five to three; number of intermediate appellate judges decreased from seven to six; one clerk of court added.

Total increased from five to six; administrative justice for the trial courts added.

Total increased from 10 to 12; one appellate judge and one general jurisdiction judge added; two bar association representatives added; one limited jurisdiction judge eliminated; also one retired judge.

Total increased from 17 to 27; one general jurisdiction judge added; four legislators added, as well as two trial court administrators; "other" members increased from four to nine; one prosecutor representative and one limited jurisdiction judge were eliminated.

JPC Functions TABLE 8 Changes in JPC Composition 1977-1981 Jurisdiction Changes No change. Missouri Total increased from 10 to 17; one appellate judge added; three Nevada general jurisdiction judges added; seven limited jurisdiction judges added; representatives of the bar association, prosecutors, public defenders, and state court administrator deleted. Total increased from seven to 10; added were one limited juris-New Hampshire diction judge, one bar association representative, and one local court administrator. State court administrator added; one appellate judge deleted. New Jersey 1977. Total increased from 13 to 16; three bar association represen-North Carolina tatives added. Total increased from 10 to 11; one appellate judge added. Pennsylvania No change. Rhode Island One appellate judge added; one trial court administrator deleted. Tennessee Non-existent in 1977. Texas No change. Utah Non-existent in 1977. Washington Total reduced from 24 to 23; state court administrator's staff no Wisconsin longer represented; one public member deleted; one trial court administrator and one clerk of court added. Total increased from nine to 17; added were two limited juris-Wyoming diction judges, two legislators, one press representative, one clerk of court, and one public member. States reporting JPCs in 1977, but not in 1981, included: Alaska, Montana, a. New Mexico, Oregon, South Carolina, and Vermont.

As in 1977, the major JPC functions were plan preparation and grant review. Some were branching out into project evaluation and research, especially the latter. Eight of the thirty jurisdictions which reported on JPC functions in 1981 listed research, an increase of four over 1977. Legislative and judicial education were other functions reported by at least one jurisdiction. Even with these changes, the JPCs primarily reported to the supreme court, chief justice, or state court administrator, or to some combination of the three. Table 9 shows JPC functions in 1981 and indicates the changes, if any, since 1977.

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#### TABLE 9

# Judicial Planning Councils Functions 1981, Changes from 1977

#### Functions

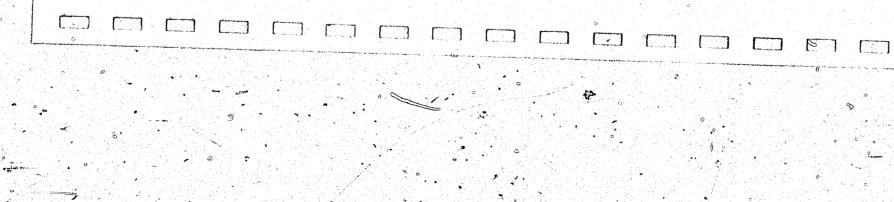
	Jurisdiction	Advisory To Supreme Ct.	Advisory To C.J.	Advisory To SCA	Grant Review only Research	<u>Other</u>	Changes,
	Alabama California		X	X			None
	Colorado				X		None
	Dist. of Columbia	X	X	X	X		None
	Florida	<b>A</b> .	X	<b>X</b>	ð	-	None
	Georgia		X				No longer
	ocor Bru					X	Comprehen
	Illinois	X		X	<b>.</b>	ħ	only
39	Iowa	X		Λ	X <sup>a</sup>	xb	None
	Kentucky	· · · · · · · · · · · · · · · · · · ·			<b>T</b>		Non-exist
	Louisiana				X		None
	Massachusetts	X					No 1981 1
	Michigan	X	X				No longer
	Minnesota	X	x	X	X	- <del>1</del> 1	None
				•	Δ.		Now also
	Missouri	X	X	x		n systemetrik som en som e Televisionet en som e	researc
	Montana			•••••			None Defunct
	Nevada	X	X	X	, <b>X</b>	xc	Now also
						Λ.	
							researc
							legisla Ed.
	New Hampshire			X		÷.	Now also
							no lo
	New Jersey	X	X	X			None
							mone

Including program evaluation. a.

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Coordinate and administer grant-funded programs; also recommend programs. Ъ.

Draft judicial legislation; oversee judicial education. с.



if any, from 1977

er advisory to supreme ct. ensive planning for courts

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stent in 1977

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information er reviewing annual plan

advisory to SC and CJ; rch added

advisory to SC and SCA; rch added, along with lative drafting and Jud.

lso advisory to SCA, longer to SC

## TABLE 9 (continued)

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Judicial Planning Councils Functions 1981, changes from 1977

			Func	tions		n an
Jurisdiction	Advisory To Supreme Ct.	Advisory To C.J.	Advisory <u>To SCA</u>	Grant <u>Review only Research</u>	Other	Changes, if
New Mexico North Carolina	x				x <sup>d</sup>	Defunct None Defunct
Oregon Pennsylvania Rhode Island		x	X		0 G	None None
Tennessee Texas		x	X	x x	xf	None Non-exister Now also ad
Utah Vermont Washington	X	x X	x			Defunct Research ac
Wisconsin	X		x x	X	x <sup>8</sup>	Research ac advisory Research ac
Wyoming	X		4		<u>د</u>	to SC

Advisory to Governor's Crime Commission. Also grant rview. d.

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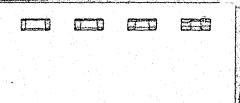
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Advisory to Judicial Council. Advisory to Judicial Conference for long-range planning and project oversight. g.



if any, from 1977

ent in 1977 advisory to CJ

added added, also now ry to SC and SCA added, now advisory

### Planning Staff 1981

It is not possible in a meaningful way to describe planning staff size in 1981 in tabular form, because of the transformations which took place between 1977 and 1981. These changes took several forms. In some jurisdictions, planning staff was absorbed by other AOC units; in others, planning staff was eliminated and staff functions assumed by other AOC units, if assumed at all; in still others, planning staff activities were broadened considerably into research, management analysis, program evaluation, and statistical collection and analysis. These activities were usually concerned with overall judicial system operations end not limited to federal grants.

The elimination or gradual reduction of federal funds specifically for planning had a pronounced effect on planning staff activity and size in a number of jurisdictions. The elimination or reduction in federal funding for planning was not the only reason for change, nor was the availability of state funding as partial or total replacement for federal funds, although it too was important. Rather, in a number of jurisdictions, the planning function had been broadened to cover related disciplines and to involve all judicial system activities, not just those related to federal grants.

Between 1977 of 1981, eleven states had a reduction in planning staff, as such, and twelve had an increase. In the other jurisdictions responding to the questionnaire, staff size remained the same, including those that had no planning positions in 1977 and none in 1981, e.g., Indiana, Ohio, and Oklahoma. Some states transferred planning staff,

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Island. Tennessee. Wisconsin.

planning budget in 1977.

or a portion thereof, to other activities; a prime example is Connnecticut. In 1977, there were nine planning staff members, some involved primarily in the conversion to a one-level trial court. By 1981, four of these staff members were transferred to operational positions, the conversion having taken place.

By 1981, twenty-two jurisdictions could be identified as engaging in broadened planning activities relating to the system as a whole. These included: Colorado, Connecticut, District of Columbia, Florida, Idaho, Kansas, Massachusetts, Michigan, Minnesota, Missouri, Nevada, New Hampshire, New York, North Carolina, Pennsylvania, Rhode Utah, Vermont, Virginia, Washington, and

#### Planning Budgets in FY1981

Twenty-six jurisdictions provided budget information for FY1981, as shown in Table 10. This total excludes eight states that had separate budgets for planning in 1977, but, in 1981, either had planning funding combined with some other activity or eliminated entirely. It also includes five jurisdictions that had no separate

Florida had the highest budget by far, \$507,346. In all, there were nine jurisdictions with budgets in excess of \$100,000, as compared with six in 1977. Only five of the twenty-five jurisdictions had budgets of less than \$50,000, indicating that most of those reporting either had federal funds in addition to the \$50,000 made available specifically for planning, or else they had partial or total state funding. The median budget for the twenty-five jurisdictions was

\$87,977, as compared with \$50,000 in 1977. The mean was not computed, because the results would have been skewed considerably by Florida's large budget.

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# Budget Comparisons FY1977 and FY1981

Twelve jurisdictions which had planning budgets both in 1977 and 1981 had a decrease in 1981, and sixteen had increases, as shown in Table 11. Seven of the twelve states with decreases had zero funding in 1981, because federal funding had stopped and was not replaced or offset by state funding. Five of these states indicated that the planning function was absorbed by another division of the AOC.

The amount of decreases ranged from a high of \$53,000 in Connecticut to a low of \$11,542 in Maine. In actuality, Connecticut's decrease represented a transfer of four positions from planning to operations. The percentage of decrease ranged from a high of 100 percent in those states which lost but did not replace federal funding to a low of .09 percent in Tennessee. The median amount of decrease was \$41,808, and the average percent of decrease was 66.7 percent.

Eight of the state with budget decreases indicated total state funding, but this meant funding for the AOC which absorbed planning in five states (Montana, New Mexico, Oregon, Washington, and Wyoming; the other three were Alabama, Connecticut, and North Carolina). Two states with decreases reported partial state funding (California and Tennessee), and two reported no state funding (Maine and South Carolina).

Among the sixteen jurisdictions with budget increases, the range was from a high of \$81,400 in Vermont to a low of \$7,743 in Utah. The reported no state funding.

percent of increase ranged from a high of 462.5 percent in Vermont to a low of 12.5 percent in Illinois. The median amount of increase was \$31,311, and the median percent of increase was 49.2.

Six states with budget increases between 1977 and 1981 reported total state funding (Kansas, Massachusetts, Michigan, Minnesota, Vermont, and Virginia). Nine states reported partial state funding (Colorado, Illinois, Maryland, Missouri, New Hampshire, New Jersey, Pennsylvania, Utah, and Rhode Island), and one state (Nevada)

### TABLE 10

# Planning Budgets, FY1981

				E	quip.	
State	<u>Total</u> <u>P</u>	ersonnel	<u>Operating</u>	<u>Travel</u> <u>&amp;</u>	Furn.	<u>Other</u>
Alabama	\$ 37,211	\$ 26,429	\$ 1,270	\$ 8,462	1,050	
California	65,826	41,655	12,210	11,328	633	
이 전 한 것이 되었다. 이 가슴에 가슴을 가슴	104,594	95,703 <sup>a</sup>	2,103	6,788		5
Colorado	108,700	97,200	10,000	1,200	300	$\sum_{i=1}^{n}   f_i   \leq 1$
Connecticut	31,872	31,872				
Dist of Col.	507,346	347,468	132,752 <sup>b</sup>		27,126	
-Florida	24,557 <sup>c</sup>	,				
Georgia	175,000	126,222	20,416	15,832	30	\$ 12,500
Illinois	42,868	36,153	3,365	3,350		
Iowa d	150,015	91,045	58,780		190	
Kansas	136,500	135,000		1,500		
Maryland Massachusetts	95,220	90,220	e	5,000	e	
provide the second s	87,977	77,982	5,139	4,856		
Michigan	172,000 <sup>C</sup>					
Minnesota	72,112	19,412	50,000	2,700		
Missouri	30,000	23,598	2,927	3,400		75
Nevada Neva Homochize	50,700	45,000	3,700	1,500	500	
New Hampshire New Jersey》	74,677	69,927	3,750	850	150	
North Carolina	108,568	107,503	1,065			
Pennsylvania	75,000	60,000	7,500	7,500		
Rhode Island	93,180	93,180	65			
Tennessee	100,000	80,000	15,000	5,000		¢.
Texas	52,000	28,000	24,000			
Utah	57,743	47,748	7,795	2,200		
Vermont	99,000	95,000	e	4,000	e	
Virginia	62,963	56,963	e	e	е	6,000
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- Includes consultants. 8.
- Includes travel. ъ.

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- Breakdown not reported. C.
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- Judicial council. Included in overall AOC appropriation. е.

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	State
e ji	Alabama
	California
	Colorado
	Connecticut
	Dist. of Col.
د. د 1	Florida
	Georgia
	Illinois
	Iowa
	Kansas
	Maine
	Maryland
	Massachusetts
	Michigan
1	Minnesota
	Missouri
	Montana
2.5	Nevada
	New Hampshire
	New Jersey
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	New Mexico
1.1	North Carolina
24	Oregon
	Pennsylvania
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- T Total state funding. P - Partial state funding. N - No state funding.

### TABLE 11

# Judicial Planning Budget Comparison, FY1977-1981

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Diff	CT CU			- V alla -

Total <u>1977</u>	Total <u>1981</u>	<u>\$</u>	<u>%</u>	<u>FY 1981</u>
\$ 50,000	\$ 37,211	(\$12,789)	(25.6)	T
90,000	65,826	(24,174)	(26.9)	Р
33,500	104,594	71,094	212.2	57 P
161,700	108,700	( 53,000)	(32.8)	Т
а	31,872			T
а	507,346			Ρ
° a	24,557			N
155,555	175,000	19,445	12.5	<b>P</b>
8	42,868			P
109,363	150,015	40,652	37.2	T
11,542	-0-	(11,542)	(100.0)	N
60,000	136,500	76,500	127.5	Ρ
83,527	95,220	11,693	16.9	Ţ
50,000	87,977	37,977	75.9	Ţ
103,333	172,000	68,667	66.4	T
50,000	72,112	22,112	44.2	<sup></sup> ∼ <sup>P</sup> e
50,000	-0	( 50,000)	(100.0)	Ť
19,755	30,000	10,245	15.2	N
41,000	50,700	9,700	23.7	P
57,605	74,677	17,072	29.6	P T <sup>e</sup>
50,000	-0-°	( 50,000)	(100.0)	
126,912	108,568	( 18,344)	(14.4)	T T <sup>e</sup>
50,000	-0- <sup>C</sup>	( 50,000)	(100.0)	
45,000	75,000	30,000	66.7	P
60,558	93,180	32,622	54.1	P
50,000	-0- <sup>C</sup>	(50,000)	(100.0)	NS .
110,000	100,000	( 10,000)	( .9)	P
8	52,000			N
50,000	57,743	7,743	15.5	P
17,600 <sub>b</sub>	99,000	81,400	462.5	Ţ
39,922	62,963	23,041	57/7	T T <sup>e</sup>
33,616	-0- <sup>c</sup>	(33,616)	(100.0)	
25,000 50,000	d -0-c	(50,000)	(100.0)	T T <sup>e</sup>

first year of funding reported on questionnaire.

Planning function absorbed by AOC. Now part of court operations budget, can not be broken out. As part of administrative office, but may be scaled-down effort.

#### Summary

By 1981, the patterns of state planning activity were more clear than they were in 1977. Three basic models could be discerned, with each model divided into subcategories:

(1) Planning as a separate activity was defunct, although the absorption of at least some of the planning function by other units of the AOC was reported. The JPCs, if in existence in prior years, were terminated, so planning in 1981 was strictly a staff activity. Both state-funded and nonstate-funded jurisdictions are included in this category.

(2) Planning was continued more or less at the same level of funding, but planning activities were expanding to include judicial system concerns other than federal grants. These jurisdictions usually had partial or total state fundings, but a small number were still operating totally with federal funding. To continue beyond 1981, total state funding would be required. This model contained both state-funded and nonstate-funded jurisdictions, some with JPC's still in existence and others without JPCs.

(3) Planning was continued at a higher level of activity encompassing a broad array of judicial system concerns, rather than being limited to federally-funded projects. Some jurisdictions in this category still had JPCs, but others did not. All of them were partially or totally state funded for planning, and included both state-funded and non-state-funded jurisdictions. To maintain or increase the level of planning activity achieved in 1981 would require total state funding in subsequent years.

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Many have assumed that judicial planning capabilities would vanish with LEAA funding. This chapter reviews the future of planning entities as indicated by the questionnaires. The remainder of the chapter will discuss the need, arising from limited resources, for some form of planning capability within each court system.

Future Plans for JPCs

judicial planning entities. jurisdictions.

1. detail.

# V. The Future of Judicial Planning

#### Introduction

The questionnaires asked for the future plans of JPCs, planning staff, authority and functions<sup>1</sup> This was an open-ended question, and, unfortunately, very few jurisdictions responded in any detail. What follows is a description, based on limited responses, of the future of

This discussion is divided into responses from state-funded and non-state funded jurisdictions. One could assume that the planning that exists after the demise of federal involvement is more extensive and comprehensive in state-funded courts than in non-state-funded

Since the questionnaire was distributed in early 1981, many responses indicated that they were uncertain of the future; at least some of these may now be in a position to answer in more

Tables 12 and 13 illustrate the plans for JPC staff in state Staff. funded and non-state-funded jurisdictions. The tables draw a distinction between those states that indicated that the planning function was to continue and those states whose planning staff was absorbed. The distinction was necessary to identify those states where the functions and staff were continued as they were during federal funding, versus those states where the functions or staff were absorbed into the existing structure of the administration of the courts. In any case, both categories indicate that some form of planning will continue.

Only six of the thirty-nine states responding to the questions indicated that there would be no planning staff after 1981. It is surprising that five of those states were state funded.

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# Jurisdiction

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Alabama Colorado Connecticut Kansas Kentucky Maine Maryland Massachusetts Michigan Missouri New Hampshire New Mexico New York North Carolina Oregon Rhode Island South Dakota Utah Vermont Virginia West Virginia Wyoming Dist. of Col.

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#### TABLE 12

#### Future Plans for Planning Staff in State-Funded Jurisdictions Post 1981

#### Staff

Continue	Absorbed	None	Unknown
X X X <sup>a</sup> X <sup>b</sup>	х <sup>а</sup>		
x <sup>a</sup> X X	x <sup>a</sup> x <sup>a</sup> x	X	Q S
x <sup>đ</sup> x		X X	X
x X <sup>a</sup>	X	X X	X

Combined with research. Judicial Council staff. Never a separate planning unit. Combined with other functions.

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#### TABLE 13

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#### Future Plans for Planning Staff in NonState-Funded Jurisdictions Post 1981

# Staff

Jurisdiction	Continue	Absorbed None	Unknown
California			X
Florida	x		9
Georgia			X
Idaho	xa		-
Illinois			x
Iowa	X		*
Minnesota	X	n e an la facto de la companya de la Esta de la companya d	
Montana		x <sup>a</sup>	
Nevada	X		na di kata di kata di kata di kata di kata kata kata kata kata kata kata kat
New Jersey	X		
Pennsylvania	5.	x x <sup>a</sup>	
South Carolina			u 📎
Tennessee		<b>X</b> **	
Texas	- X		
Washington		X X	
Wisconsin	× X		

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a. Never a separate planning unit.

Activities	•
categorize.	Me
long-range p	la
planning into	. (
several states	i
some form of j	pla
What is c	ele
most administ	ra
the advisory	1
twenty-three	ju
planning bodie	es
Non-state	э-:
future of the	ir
long-range	pl
integrating p	la

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The responses to this question were difficult to any states responded that they intend to continue anning activities. Others talked about integrating overall administration of the court system. Finally, indicated that they no longer had a planning body, but anning activities were carried out.

ear is that planning has become an integrated function of ative offices. State-funded systems seem to emphasize nature of the planning function, with eight of the urisdictions indicating the advisory functions of their

Non-state-funded jurisdictions were somewhat vague about the future of their planning bodies, with most indicating a continuation of long-range planning. Two non-state-funded jurisdictions are integrating planning into their management and budgeting functions. Four state-funded court systems are taking the more comprehensive view of planning by integrating it with management and budget.

Tables 14 and 15 illustrate the responses to the question concerning the future activities of planning bodies.

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# TABLE 14

Future Plans for JPC Activities in State-Funded Jurisdictions (Post 1981)

## Activities

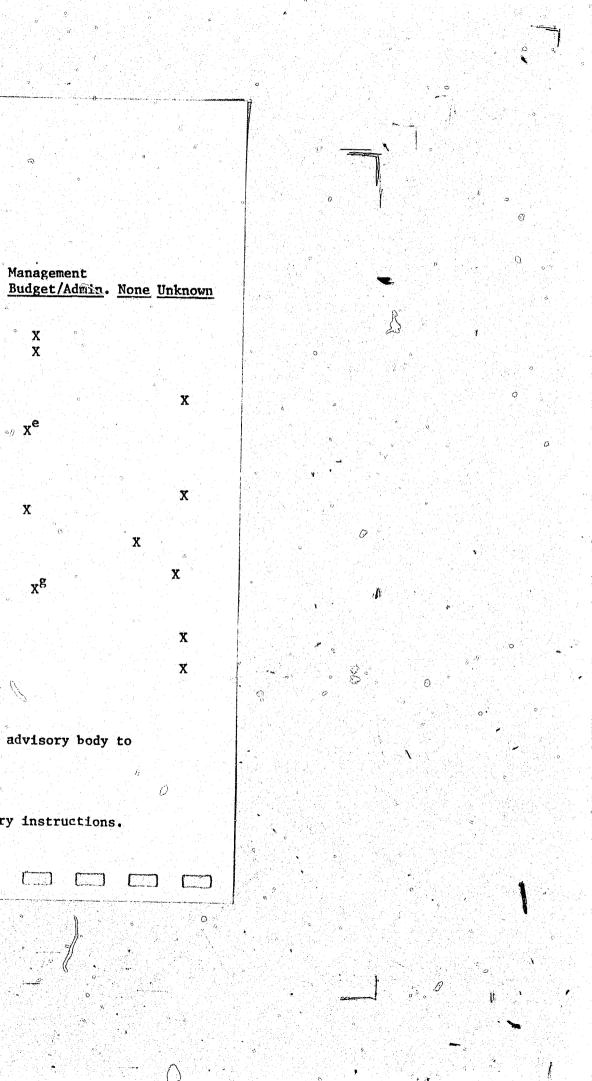
<u>Jurisdiction</u>	© Policy <u>Formulation</u>	Research & <u>Statistics</u>	Advise SCA/SC	<u>Planning</u>	Development of Rules & Proced.	Public Education/ <u>Commun</u> .	Grant <u>Reviw</u>	
Alabama	X	<b>h</b>	X			0	x	и,
Colorado Connecticut <sup>a</sup>		x <sup>h</sup>	X	<b>X</b> ° °	<b>4</b> €	X		
Kansas <sup>a</sup>	<b>R</b>		<b>L</b>		xf	*** 		
Kentuçky			x <sup>b</sup>		2			
Maine d								
Maryland				x x <sup>e</sup>				
Massachusetts							. W.	a,
Michigan			X	X		X	4	÷
Missouri			X	X	¢	<b>X</b> =		
New Hampshire			X					
New Mexiço New York		- <u>-</u>		xc				
North Carolina			X	X	a de la constante de la consta En la constante de la constante			
Dregon	$\sim$		Λ				1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -	
hode Island	X		X	x				, ,
outh Dakota			4	<b>A</b>				
ltah							x	
Vermont		•		e -	, 9 ,		Λ	í.
/irginia <sup>a</sup>		x <sup>h</sup>		x				
West Virginia							â	
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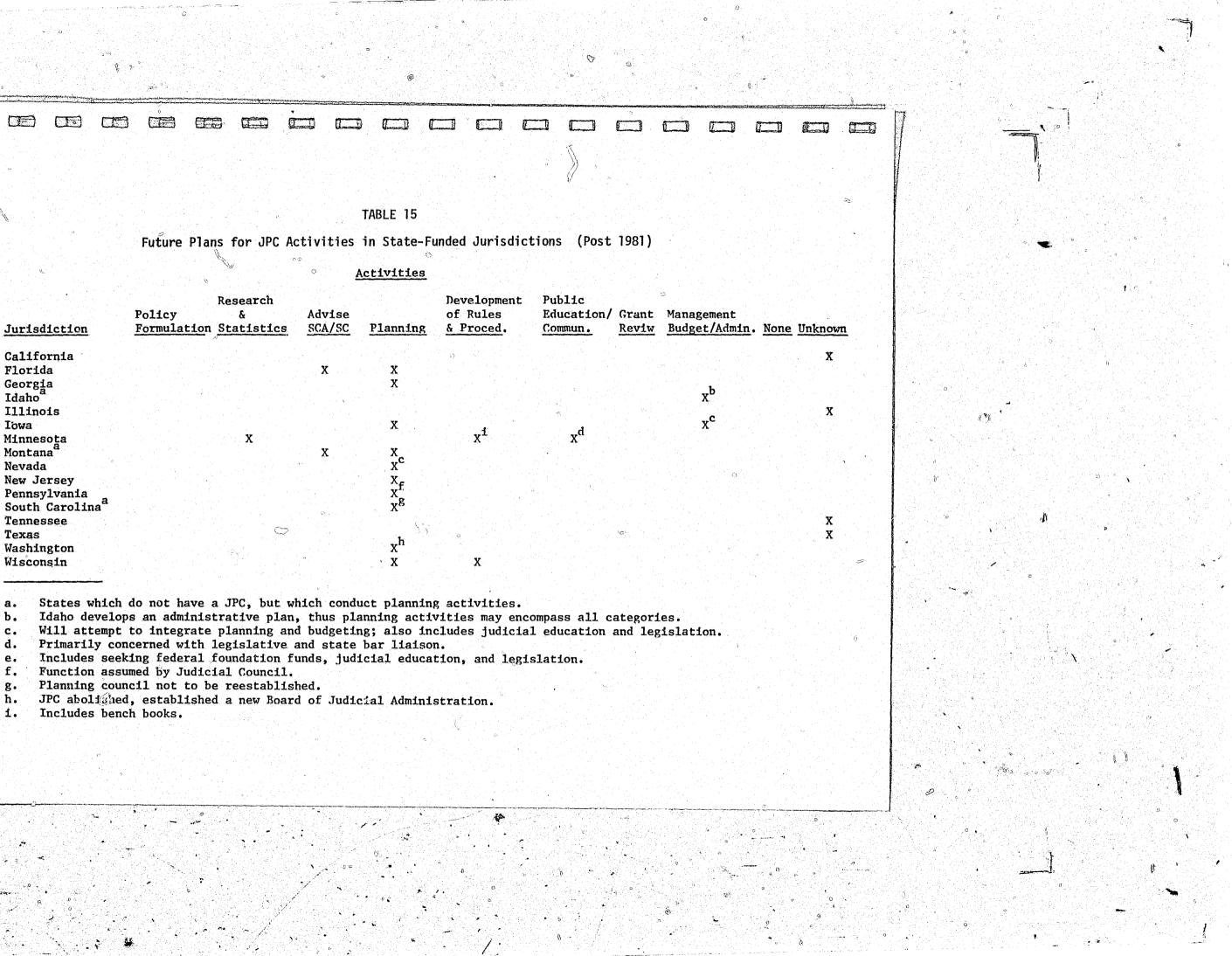
e. Emphasizes trial court operations.
f. Includes committees on the civil, criminal, and juvenile codes, family law, bench books, jury instructions.

(ea)

g. Includes trial court administrators. h. Includes annual report.

 $(\Box)$ 





			° <u>1</u>	<u>Activities</u>				
<u>Jurisdiction</u>	Policy <u>Formulatio</u> n	Research & <u>Statistics</u>	Advise <u>SCA/SC</u>	<u>Planning</u>	Development of Rules & Proced.	Public Education/ <u>Commun.</u>	Grant <u>Reviw</u>	Managem Budget/
California							sa na sin na sin	
Florida			X	X		and a second second Second second		
Georgia				X				Ъ
Idaho								x <sup>b</sup>
Illinois			a de la composición d			-	e yezhoù Se e se e se	C
Iowa				X	xi	xd		x <sup>c</sup>
Minnesota		X			X	x		
Montana			X	X X <sup>C</sup>				
Nevada								
New Jersey			n an	~f				
South Carolina				xf x <sup>f</sup> x <sup>g</sup>				
Tennessee		na di Angelandi ange Angelandi angelandi an						
Texas		$\mathbf{r}$		1. (). 1.	Č,		\ <del>ت</del>	
Washington	na an taon an t		an a	x <sup>h</sup>				
Wisconsin			45	<b>X</b>	X			
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Authority. Very few states responded to the question concerning the future authority of planning bodies. Of those jurisdictions responding, four (Alabama, Michigan, New Jersey, and Wisconsin) indicated they would be operating under the authority of a supreme court order. Colorado is operating under a chief justice order. North Carolina's planning body is established pursuant to statute. In Kansas and Pennsylvania, the planning function is carried out by the judicial council.

While not many states responded to the question, it was assumed that those states with planning activities, as indicated in Tables 14 and 15, are operating under the same authority as they did when they were first established, unless they indicated otherwise. Table 3 in Chapter III delineates the authority for the JPCs established in 1977.

While the questionnaires did not indicate the future plans for JPCs in as much detail as the authors would like, it is clear from Tables 12-15 that planning, in some form, is alive and well in most jurisdictions. Future studies in this area should address the extent of integration of the planning function with other administrative functions in state court systems.

# Planning - A Vital Administrative Function

In an Era of Limited Resources

This monograph has attempted to outline the extent to which state court systems developed planning capabilities with available federal The authors have also indicated that while the absence of funds. federal funds has, in some instances, reduced the amount of staff

growing at an unprecedented rate. and special jurisdiction courts.

available for planning, most jurisdictions have incorporated planning into the overall administration of the courts.

Since the questionnaire was first distributed a year ago, much has happened to affect judicial administration throughout the country. Spending limitations, major federal and state budget cuts, and hiring freezes have, in some instances, severely handicapped governmental functions. Courts are not immune from this phenomenon.

The questionnaire did not address the impact of reduced funding in any detail, nor did it ask for information concerning the ways in which state court systems are planning for diminished resources. Thus, there is no information available concerning the extent to which planning entities are being used to help judicial administrators forecast the effect of scarce resources at a time when court workloads are

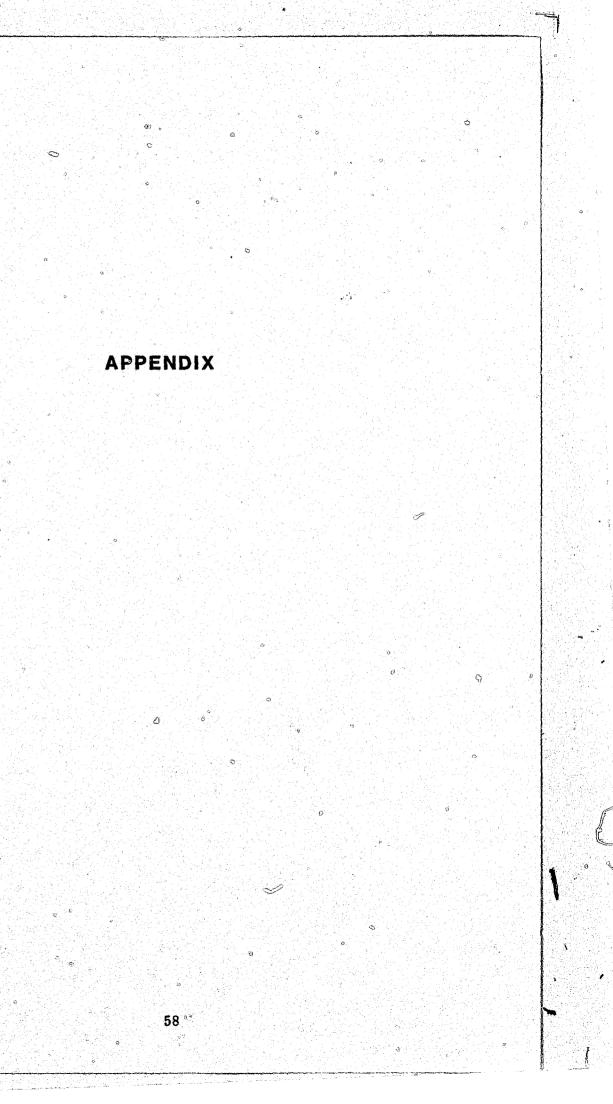
"The authors assume, through limited observation, that few court systems are planning for diminished resources. Any planning that is being done in this area is probably being carried out by legislative committees looking at such issues an increased docket fees, alternatives to dispute resolution, and more extensive use of parajudges in limited

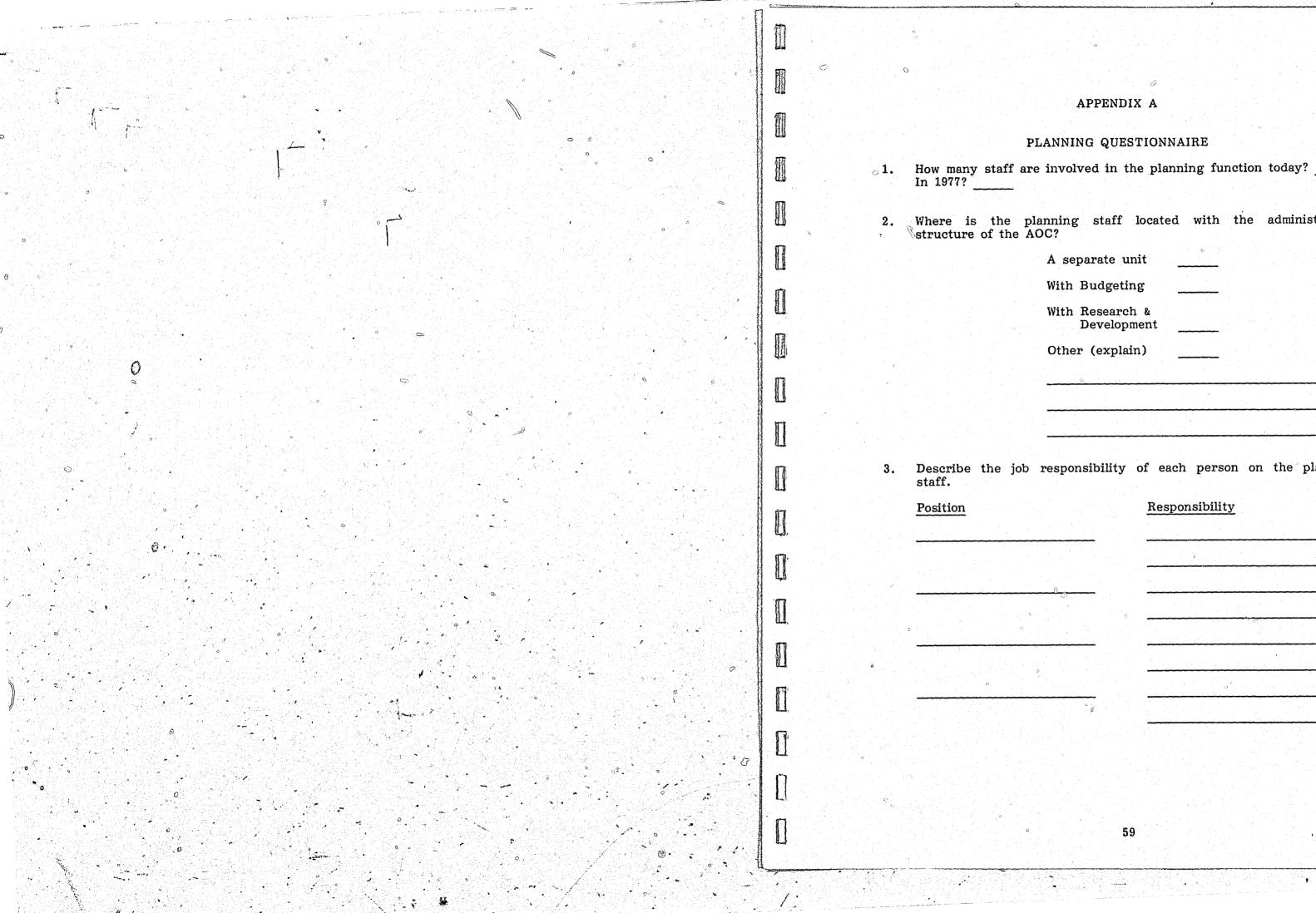
While legislative studies may produce economical alternatives to current court operations, judicial administrators are remiss if they are not reviewing their own operations for possible cutbacks.

Planning staff and planning bodies, where they still exist, are the ideal entities to conduct this review. The expertise needed for successful planning (policy analysis, evaluation, and programming)

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mentioned in Chapter 1 are those skills necessary to assist judicial	U	
administrators in the difficult tasks that lie ahead.		
In addition to major procedural changes, areas which should be	<b>n</b>	
reviewed include:	U	n
<ul> <li>A. Personnel Services</li> <li>1) Number employed</li> <li>2) Classifications</li> <li>3) Vacancy savings</li> <li>4) Workload standards</li> </ul>	[]  - N	
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<ul> <li>B. Operating Costs</li> <li>1) Telephone systems</li> <li>2) Bulk purchasing</li> <li>3) Law library standards</li> </ul>	$\left  \right  \cdot$	
C. Travel		
<ol> <li>Use of telephone conferencing</li> <li>Better case scheduling in rural areas</li> </ol>	μ Π	I
<ul><li>D. Use of Automation</li><li>1) Cost-benefit analysis</li></ul>	<u> </u>	Π
2) Evaluation of alternatives	1	L L
<ul> <li>E. Facilities</li> <li>1) Space standards</li> <li>2) Long-range plans</li> </ul>	ц П	l D
Those court systems which integrate the planning function into the		
administrative structure of court operations, for the purpose of	11	
planning for reduced resources, may well be the new leaders in judicial	Π	ĮU.
administration.		IЛ
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## APPENDIX A

# PLANNING QUESTIONNAIRE

Where is the planning staff located with the administrative structure of the AOC?

A separate unit

With Budgeting

With Research & Development

Other (explain)

Describe the job responsibility of each person on the planning staff.

Responsibility

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$\mathbf{G}$	A MARGANANA AND	
<ul> <li>What was the planning budget in 1977, and in the last two years of LEAA funding?</li> <li><u>1977</u> <u>1979</u> <u>1981</u></li> </ul>		9. If you answered "Partially" or "Totally" to question 8, when were the costs ssumed? (the effective date:)
Personnel . \$ \$ \$		10. Was the planning function in your state funded by LEAA part B
Dperating		funds? Yes No
Travel		11. If so, what year was the JPC (JCC) established?
Equip. and Furniture TOTAL		12. If so, indicate the number of members in each category in 1977 and today.
	Π	<u>1977</u>
. What is your 1981 planning budget? ⊘ Personnel \$		Appellate Judges
Operating \$		General Jurisdiction Judges
Travel \$	П	Limited Jurisdiction Judges
Equip: and Furn. \$		Other Judges (explain)
. Of the 1981 budget, how much is federal and how much is state?		
Federal \$		
Sfate \$		Bar Association Representatives
. Have the costs of the planning function been assumed by the		Prosecutors
state?	U L	Public Defenders
° Totally		• Legislators
Not at all		° Press
		State Court Administrative Staff
. If you responded "Partially," explain the "cutbacks."		Local Court Administrators
		Clerks of Court
		Probation
에는 것은	n I. * .    M	61
60		수는 것이 아내는 것이 같은 것이 있는 것이 같은 것이 같은 것이 같은 것이 가지 않는 것이 같은 것이 같은 것이 같이 많이 많이 많이 많이 많이 나는 것이 같이 많이

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	<u>1977</u> <u>1981</u>	0	6 0 K		Ŷ	
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°	Public	ана П		<b>B</b>		e
Ø	Other (explain)	n			n	0
			0 0		15.	To whom is the J
					13.	Chief Jüstice
	$\sim$					State Court Admin
						Supreme Court Other (explain)
			9			
13.	By what authority was the JPC (JCC) established? $_{\circ}$		ť			ê 
		- - -			0	
ē				Π		
14.	Which statements describe the function of the JPC (JCC) in 1977 and today?		. 3		¢	
	<u>1977</u> <u>1981</u>		0			19
9 9 9	Advisory to Supreme Court	Ļ				о 0
	Advisory to Chief Justice		<b>.</b>		0	
	Advisory to State Court Administrator Grant Review Only	0			•	ø
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