



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: James Reardon, Commissioner of Finance & Management  
From: Nathan Lavery, Fiscal Analyst  
Date: May 12, 2009  
Subject: JFO #2376 & #2377

No Joint Fiscal Committee member has requested that the following items be held for review:

**JFO #2376** — \$30,000.00 grant from the State Justice Institute to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project.  
[JFO received 4/8/09]

**JFO #2377** — \$21,600.00 grant from the National Center for State Courts to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project.  
[JFO received 4/08/09]

In accordance with 32 V.S.A. §5, the requisite 30 days having elapsed since these items were submitted to the Joint Fiscal Committee, the Governor's approval may now be considered final. We ask that you inform the Secretary of Administration and your staff of this action.

cc: Robert Greemore, Acting Court Administrator



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Joint Fiscal Committee Members  
From: Nathan Lavery, Fiscal Analyst  
Date: April 10, 2009  
Subject: Grant Request

Enclosed please find two (2) requests that the Joint Fiscal Office has received from the Administration:

**JFO #2376** — \$30,000.00 grant from the State Justice Institute to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project. **Note: this grant requires a cash match from the recipient. JFO #2377 (below) is the source of this cash match.**  
[JFO received 4/8/09]

**JFO #2377** — \$21,600.00 grant from the National Center for State Courts to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project. **Note: this grant provides the required cash match for JFO #2376.**  
[JFO received 4/08/09]

**The Committee may wish to consider acceptance of these items in concert because JFO #2376 relies on the cash match supplied by grant funding in JFO #2377.**

The Joint Fiscal Office has reviewed these submissions and determined that all appropriate forms bearing the necessary approvals are in order.

In accordance with the procedures for processing such requests, we ask you to review the enclosed and notify the Joint Fiscal Office (Nathan Lavery at (802) 828-1488; [nlavery@leg.state.vt.us](mailto:nlavery@leg.state.vt.us)) if you have questions or would like an item held for Joint Fiscal Committee review. Unless we hear from you to the contrary by April 24 we will assume that you agree to consider as final the Governor's acceptance of these requests.

cc: James Reardon, Commissioner  
Robert Greemore, Acting Court Administrator

JFO 2376



**State of Vermont**  
 Department of Finance & Management  
 109 State Street, Pavilion Building  
 Montpelier, VT 05620-0401

Agency of Administration

[phone] 802-828-2376  
 [fax] 802-828-2428

**STATE OF VERMONT  
 FINANCE & MANAGEMENT GRANT REVIEW FORM**

**Grant Summary:** This grant is to provide technical services to support the work of the Commission on Court Operations. It relies on a cash match from The National Center for State Courts for an additional \$21,600 (for which there is a separate AA1 Grant request)

**Date:** 3/30/2009

**Department:** Vermont Supreme Court (Judiciary)

**Legal Title of Grant:** The Vermont Re-Engineer Court System Project

**Federal Catalog #:** NA

**Grant/Donor Name and Address:** State Justice Institute 1650 King Street, Suite 600, Alexandria, VA 22314

**Grant Period:** **From:** 2/1/2009 **To:** 2/1/2010

**Grant/Donation:** \$30,000

	SFY 1	SFY 2	SFY 3	Total	Comments
<b>Grant Amount:</b>	\$15,000	\$15,000	\$	\$30,000	See second AA1 for National Center for State Courts for the match required for this grant.

<b>Position Information:</b>	<b># Positions</b>	<b>Explanation/Comments</b>
	0	

**Additional Comments:** This grant requires a sole source contract with the National Center for State Courts.

<b>Department of Finance &amp; Management</b>	<i>[Signature]</i> 3/30/09	(Initial)
<b>Secretary of Administration</b>	<i>[Signature]</i> 3/30/09	(Initial)
<b>Sent To Joint Fiscal Office</b>	<i>[Signature]</i>	Date

**RECEIVED**  
 APR 08 2009  
 JOINT FISCAL OFFICE

<b>STATE OF VERMONT</b> <b>FINANCE &amp; MANAGEMENT GRANT REVIEW FORM</b>		



**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form A.A-1)

<b>BASIC GRANT INFORMATION</b>				
<b>1. Agency:</b>	Department of Labor			
<b>2. Department:</b>				
<b>3. Program:</b>	Meeting Women Where They Are			
<b>4. Legal Title of Grant:</b>	Earmark			
<b>5. Federal Catalog #:</b>	17.261			
<b>6. Grant/Donor Name and Address:</b> Department of Labor				
<b>7. Grant Period:</b>	<b>From:</b>	2/1/2009	<b>To:</b>	6/30/2010
<b>8. Purpose of Grant:</b> This is a female offender re-entry grant. Incarcerated women at the NWSCF (St.Albans) will receive skill and interest assessments, be provided occupational training , receive life support services and ultimately be placed in jobs.				
<b>9. Impact on existing program if grant is not Accepted:</b> Current state resources are not available for a successful re-entry program, nor are systems in place.				
<b>10. BUDGET INFORMATION</b>				
	<b>SFY 1</b>	<b>SFY 2</b>	<b>SFY 3</b>	
<b>Expenditures:</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY</b>	<b>Comments</b>
Personal Services	\$22,963	\$198,138	\$	
Operating Expenses	\$5,059	\$10,273	\$	
Grants	\$64,587	\$273,760	\$	
<b>Total</b>	<b>\$92,609</b>	<b>\$482,171</b>	<b>\$</b>	
<b>Revenues:</b>				
State Funds:	\$	\$	\$	
Cash	\$	\$	\$	
In-Kind	\$	\$	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$83,360	\$436,146	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$9,249	\$46,025	\$	
Other Funds:	\$	\$	\$	
Grant (source )	\$92,609	\$482,171	\$	
<b>Total</b>	<b>\$92,609</b>	<b>\$482,171</b>	<b>\$</b>	
<b>Appropriation No:</b>				
	410050000	<b>Amount:</b>	\$353,679	
	410060000		\$221,101	
			\$	
			\$	
			\$	
			\$	
			\$	
			<b>Total</b> \$574,780	



**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**  Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding process/policy.

Appointing Authority Name: \_\_\_\_\_ Agreed by: \_\_\_\_\_ (initial)

12. Limited Service Position Information:	# Positions	Title
<b>Total Positions</b>		

**12a. Equipment and space for these positions:**  Is presently available.  Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee Approval of this grant:	Signature: <i>Patricia Moulton Powden</i>	Date: 4/15/2009
	Title: Patricia Moulton Powden	
	Signature:	Date:
	Title:	

**14. ACTION BY GOVERNOR**

<input type="checkbox"/>	Check One Box: Accepted		
<input type="checkbox"/>	Rejected	(Governor's signature)	Date:

**15. SECRETARY OF ADMINISTRATION**

<input type="checkbox"/>	Check One Box: Request to JFO		
<input type="checkbox"/>	Information to JFO	(Secretary's signature or designee)	Date:

**16. DOCUMENTATION REQUIRED**

Required GRANT Documentation	
<input type="checkbox"/> Request Memo	<input type="checkbox"/> Request Memo
<input type="checkbox"/> Dept. project approval (if applicable)	<input type="checkbox"/> Dept. project approval (if applicable)
<input type="checkbox"/> Notice of Award	<input type="checkbox"/> Notice of Donation (if any)
<input type="checkbox"/> Grant Agreement	<input type="checkbox"/> Grant (Project) Timeline (if applicable)
<input type="checkbox"/> Grant Budget	<input type="checkbox"/> Request for Extension (if applicable)

**End Form AA-1**

**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

**BASIC GRANT INFORMATION**

<b>1. Agency:</b>	Judiciary
<b>2. Department:</b>	Vermont Supreme Court
<b>3. Program:</b>	Court Improvement and Innovation
<b>4. Legal Title of Grant:</b>	Vermont Re-Engineer Court System Project
<b>5. Federal Catalog #:</b>	None
<b>6. Grant/Donor Name and Address:</b>	State Justice Institute, 1650 King Street, Suite 600, Alexandria, VA 22314
<b>7. Grant Period:</b>	<b>From:</b> 2/1/2009 <b>To:</b> 2/1/2010
<b>8. Purpose of Grant:</b>	To provide technical services to support the work of the Vermont Commission.
<b>9. Impact on existing program if grant is not Accepted:</b>	Our ability to provide support services to the VT Commission will be severely compromised.

**10. BUDGET INFORMATION**

	SFY 1 FY 2009	SFY 2 FY 2010	SFY 3 FY	Comments
<b>Expenditures:</b>				
Personal Services	\$21700	\$21700	\$	
Operating Expenses	\$4100	\$4100	\$	
Grants	\$	\$	\$	
<b>Total</b>	\$25,800	\$25,800	\$	
<b>Revenues:</b>				
State Funds:	\$	\$	\$	
Cash	\$0	\$0	\$	
In-Kind	\$0	\$0	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$	\$	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
NCSC Cash				see NCSC AA-1
Other Funds: Match	\$10800	\$10,800	\$	Form
Grant (source SJI)	\$15000	\$15000	\$	in this AA-1 Form
<b>Total</b>	\$25,800	\$25,800	\$	

Appropriation No:	Amount:	\$
2120000000		\$30000
		\$
		\$
		\$
		\$
		\$
	<b>Total</b>	\$30,000

REC'D MAR 24 2009



**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**  Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding  
 Grant provisions require sole source contract with the National Center for State Courts  
 Appointing Authority Name: \_\_\_\_\_ Agreed by: RS (initial)

12. Limited Service Position Information:	# Positions	Title
<b>Total Positions</b>		

**12a. Equipment and space for these positions:**  Is presently available.  Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee Approval of this grant:	Signature: <u>Robert Freeman</u>	Date: <u>3/24/09</u>
	Title: Acting Court Administrator	

**14. ACTION BY GOVERNOR**

<input checked="" type="checkbox"/> Check One Box: Accepted	<u>[Signature]</u> (Governor's signature)	<u>4/3/09</u> Date:
<input type="checkbox"/> Rejected		

**15. SECRETARY OF ADMINISTRATION**

<input type="checkbox"/> Check One Box: Request to JFO	<u>[Signature]</u> (Secretary's signature or designee)	<u>3/30/09</u> Date:
<input type="checkbox"/> Information to JFO		

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

<input checked="" type="checkbox"/> Request Memo	<input type="checkbox"/> Request Memo
<input checked="" type="checkbox"/> Dept. project approval (if applicable)	<input type="checkbox"/> Dept. project approval (if applicable)
<input checked="" type="checkbox"/> Notice of Award	<input type="checkbox"/> Notice of Donation (if any)
<input checked="" type="checkbox"/> Grant Agreement	<input type="checkbox"/> Grant (Project) Timeline (if applicable)
<input checked="" type="checkbox"/> Grant Budget	<input type="checkbox"/> Request for Extension (if applicable)

**End Form AA-1**

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

**Mailing Address:**

109 State Street  
Montpelier, VT 05609-0701



**Telephone:** (802)828-3278

**FAX:** (802)828-3457

**TDD:** (802)828-3234

*Vermontjudiciary.org*

March 24, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find two State of Vermont Request for Grant Acceptance forms and accompanying documentation. Both requests pertain to the Vermont Re-Engineer Court System Project. This grant, which has been awarded by the State Justice Institute, will provide technical services to support the work of the Vermont Commission on Court Operation.

The first AA-1 form is a request to accept the \$30,000 in grant funds awarded by the State Justice Institute. The other AA-1 form is to accept the \$21,600 cash match donation from the National Center for State Courts. The National Center is providing the cash match due to the financial situation in Vermont and because the State Justice Institute requires a cash match for all technical assistance grants. The provisions of the SJI grant require sole source contract with the National Center for State Courts.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in cursive script that reads "Linda Ryea Richard".

Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation

Attachments

/lmrr

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

**Mailing Address:**

109 State Street  
Montpelier, VT 05609-0701



**Telephone:** (802)828-3278

**FAX:** (802)828-3457

**TDD** (802)828-3234

*Vermontjudiciary.org*

March 17, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find a State of Vermont Request for Grant Acceptance form and accompanying documentation. This grant, which has been awarded by the State Justice Institute, will enable the Vermont Judiciary to provide technical services to support the work of the Vermont Commission on Court Operation.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink that reads "Linda Ryea Richard".

Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation  
Office of the State Court Administrator

Attachments  
/lmrr



*A nonprofit organization improving justice through leadership and service to courts*

Mary Campbell McQueen  
President

Daniel J. Hall  
Vice President  
Court Consulting Services  
Denver Office

March 23, 2009

Department of Finance and Management  
Vermont Supreme Court  
Office of the Court Administrator  
109 State Street  
Montpelier, VT 05609-0701

**RE: State Justice Institute Grant (SJI) for Vermont Re-Engineering Court System Project**

Dear Sirs:

Last fall in order to assist the Vermont Supreme Court with their Re-Engineering Court Project and enable them to apply for a State Justice Institute Technical Assistance Grant, the National Center for State Courts (NCSC) agreed to provide a cash match of \$21,600. The NCSC cash match provides for professional and administrative time, travel, and indirect costs for the NCSC consultants who are assigned to the project.

Due to the financial situation in Vermont, the NCSC cash match allowed the Supreme Court to apply for a SJI grant. The cash match was a requirement of the SJI Grant.

If I can provide additional information, please do not hesitate to contact me.

Sincerely,

Laura Klaversma  
Court Services Director




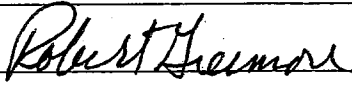
Headquarters  
3000 Newport Avenue  
Williamsburg, VA 23185-5417  
(800) 633-6634

Court Consulting  
707 Seventeenth Street, Suite 2900  
Denver, CO 80202-3429  
(800) 466-3063

Washington Office  
2425 Wilson Boulevard, Suite 350  
Arlington, VA 22201-3326  
(800) 532-0204

# STATE JUSTICE INSTITUTE

## AWARD

<input checked="" type="checkbox"/> Grant	<input type="checkbox"/> Contract	<input type="checkbox"/> Cooperative Agreement	Page <u>1</u> of <u>1</u>
1. Grantee Name and Address Supreme Court of Vermont Office of the Court Administrator 109 State Street Montpelier, VT 05609	3. Award Number SJI-09-T-005		
	4. Award Period 2/01/09 – 2/01/10		
	5. Award Date 3/13/09		
1a. Employer Identification No.	6. Award Amount \$30,000		
2. Entity to Receive Funds	7. Type of Award		
	<input type="checkbox"/> Project Grant <input checked="" type="checkbox"/> Technical Assistance (TA) Grant <input type="checkbox"/> Curriculum Adaptation & Training (CAT) Grant <input type="checkbox"/> Scholarship <input type="checkbox"/> Partner Grant		
2a. Employer Identification No.			
8. Project Title Vermont Re-Engineer Court System Project			
9. Special Conditions ( <i>Check if applicable</i> )  <input checked="" type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached <u>1</u> page(s).			
STATE JUSTICE INSTITUTE APPROVAL		GRANTEE ACCEPTANCE	
10. Approving SJI Official		11. Authorized Official of Grantee	
Name (typed): <u>Robert A. Miller</u>		Name (typed): <u>Robert Greemore</u>	
Title: <u>Chairman, Board of Directors</u>		Title: <u>Acting Court Administrator</u>	
Signature: <u></u>		Signature: <u></u>	
Date: <u>March 13, 2009</u>		Date: <u>March 17, 2009</u>	

# STATE JUSTICE INSTITUTE APPLICATION

<b>1. APPLICANT</b> a. Applicant Name: Vermont Supreme Court Office of the Court Administrator b. Organization Unit: Court Improvement and Innovation c. Street/P.O. Box : 109 State Street d. City : Montpelier e. State: Vermont    f. Zip Code : 05609-0701 g. Phone Number : 802-828-3278 h. Fax Number : 802-828-3457 i. Web Site Address: www.vermontjudiciary.org j. Name & Phone Number of Contact Person Patricia Gabel 802-828-5946    k. Title : Director l. E-Mail Address: patricia.gabel@state.vt.us	<b>2. TYPE OF APPLICANT</b> (Check appropriate box) <input checked="" type="checkbox"/> State Court <input type="checkbox"/> National organization operating in conjunction with State court <input type="checkbox"/> National State court support organization <input type="checkbox"/> College or university <input type="checkbox"/> Other non-profit organization or agency <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or partnership <input type="checkbox"/> Other unit of government <input type="checkbox"/> Other _____ (Specify) _____														
<b>3. PROPOSED START DATE :</b> February 1, 2009															
<b>4. PROJECT DURATION</b> (months) : 12 months															
<b>5. APPLICANT FINANCIAL CONTACT : Same as Applicant</b> a. Organization Name _____ b. Street/P.O. Box _____ c. City _____ d. State _____    e. Zip Code _____ f. Phone Number _____ g. Fax Number _____ h. Web Site Address _____ i. Name & Phone Number of Contact Person _____ j. Title _____ k. E-Mail Address _____	<b>6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION:</b> Source _____ Date Submitted _____ Amount Requested _____ Disposition (if any) or Current Status _____														
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;"><b>7. a. AMOUNT REQUESTED FROM SJI</b></td> <td style="text-align: right;"><b>\$ 30,000</b></td> </tr> <tr> <td><b>b. AMOUNT OF MATCH</b></td> <td></td> </tr> <tr> <td style="padding-left: 20px;">Cash match NCSC</td> <td style="text-align: right;">\$ 21,600</td> </tr> <tr> <td style="padding-left: 20px;">Non-cash Match</td> <td style="text-align: right;">\$ 0</td> </tr> <tr> <td><b>c. TOTAL MATCH</b></td> <td style="text-align: right;"><b>\$ 21,600</b></td> </tr> <tr> <td><b>d. OTHER CASH</b></td> <td style="text-align: right;"><b>\$</b></td> </tr> <tr> <td><b>e. TOTAL PROJECT COST</b></td> <td style="text-align: right;"><b>\$ 51,600</b></td> </tr> </table>		<b>7. a. AMOUNT REQUESTED FROM SJI</b>	<b>\$ 30,000</b>	<b>b. AMOUNT OF MATCH</b>		Cash match NCSC	\$ 21,600	Non-cash Match	\$ 0	<b>c. TOTAL MATCH</b>	<b>\$ 21,600</b>	<b>d. OTHER CASH</b>	<b>\$</b>	<b>e. TOTAL PROJECT COST</b>	<b>\$ 51,600</b>
<b>7. a. AMOUNT REQUESTED FROM SJI</b>	<b>\$ 30,000</b>														
<b>b. AMOUNT OF MATCH</b>															
Cash match NCSC	\$ 21,600														
Non-cash Match	\$ 0														
<b>c. TOTAL MATCH</b>	<b>\$ 21,600</b>														
<b>d. OTHER CASH</b>	<b>\$</b>														
<b>e. TOTAL PROJECT COST</b>	<b>\$ 51,600</b>														
<b>8. TITLE OF PROPOSED PROJECT :</b> Vermont Re-Engineer Court System Project															
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;"><b>9. CONGRESSIONAL DISTRICT OF:</b></td> <td style="width: 30%; text-align: center;">Vermont</td> <td style="width: 40%; text-align: center;">Peter Welch</td> </tr> <tr> <td></td> <td style="text-align: center; font-size: small;">Name of Representative; District Number</td> <td style="text-align: center; font-size: small;">Project location (if different from applicant location); Name of Representative; District Number</td> </tr> </table>		<b>9. CONGRESSIONAL DISTRICT OF:</b>	Vermont	Peter Welch		Name of Representative; District Number	Project location (if different from applicant location); Name of Representative; District Number								
<b>9. CONGRESSIONAL DISTRICT OF:</b>	Vermont	Peter Welch													
	Name of Representative; District Number	Project location (if different from applicant location); Name of Representative; District Number													
<b>10. CERTIFICATION</b> On behalf of the applicant, I hereby certify that to the best of my knowledge the information in this application is true and complete. I have read the attached assurances (Form D) and understand that if this application is approved for funding, the award will be subject to those assurances. I certify that the applicant will comply with the assurances if the application is approved, and that I am lawfully authorized to make these representations on the behalf of the applicant.															
SIGNATURE OF RESPONSIBLE OFFICIAL <small>(For applications from State and local courts, Form B - Certificate of State Approval, must be attached)</small>	Director, CII TITLE  October 29, 2008 DATE														

STATE JUSTICE INSTITUTE

Certificate of State Approval

The Vermont Supreme Court  
Name of State Supreme Court or Designated Agency or Council

has reviewed the application entitled Vermont Re-Engineer Court System Project

prepared by VT Supreme Court, Office of the Court Administrator  
Name of Applicant

approves its submission to the State Justice Institute, and

agrees to receive and administer and be accountable for all funds awarded by the Institute pursuant to the application.

designates \_\_\_\_\_  
Name of Trial or Appellate Court or Agency

as the entity to receive, administer, and be accountable for all funds awarded by the Institute pursuant to the application.

Paul L. Reiber  
Signature

October 29, 2008  
Date

Paul L. Reiber  
Name

Chief Justice  
Title

SUPREME COURT OF VERMONT  
109 STATE STREET  
MONTPELIER, VERMONT  
05609-0801

CHAMBERS OF  
PAUL L. REIBER  
CHIEF JUSTICE

October 31, 2008

Janice Munsterman  
Executive Director  
State Justice Institute  
1650, King Street, Suite 600  
Alexandria, Virginia 22314

Dear Ms. Munsterman,

Earlier this year, the Vermont Legislature, by statute, requested the Supreme Court to appoint and convene a Commission on Judicial Operation. The Commission is charged with making recommendations on how to achieve efficiencies, while at the same time improving and maintaining the level of court services and public access. The Supreme Court has now appointed the Commission on Judicial Operation in accordance with the statute, and I will serve as Chair of the Commission. Associate Justice Denise Johnson will also serve as a member of the Commission. The Court Administrator has directed Patricia Gabel, Director of Court Improvement and Innovation, to provide internal staffing support to the Commission through the Division of Court Improvement and Innovation.

Our request to SJI comes in the midst of an unusually difficult fiscal climate. In the current fiscal year, state revenue shortfalls required an unexpected and significant budget rescission, in which the Vermont Judiciary withstood a 2.6 percent cut in its current fiscal year budget. This led the Supreme Court to adopt emergency measures to achieve the required savings, including a reduction in the number of hours each week that Vermont courts are open to the public in order to reduce security costs and to cope with staff shortages. We have been led to believe by Executive Branch officials of the State of Vermont that the fiscal situation that led to this budget reduction is not a temporary phenomenon, and that Vermont is facing a long period of limited resources.

The Judiciary is aware that it must re-examine its operations in depth to achieve efficiencies that will enable it to provide appropriate levels of access to justice at the most reasonable cost, given the projected fiscal and demographic outlook. The court cannot



rely on curtailing services, nor can it rely on increasing fees, as this was done to cope with the previous downturn. A more fundamental change is required.

The work of the Commission on Judicial Operation, by the terms of the statute, has both short-term objectives, leading to a report to the Legislature at the beginning of the January 2009 Legislative session, and longer-term objectives to more fundamentally examine the existing problems, frame recommendations, and support the implementation of those recommendations over a longer period. In order to enable the Commission to fulfill its mandate, we will seek on behalf of the Commission to identify partners and resources that will assist the Commission to achieve outcomes that ensure that the people of the State of Vermont will continue to have a Judiciary that provides timely access to justice at reasonable cost and fulfills its constitutional role in our democracy.

While taking the appropriate time to identify the partners and resources best suited to assist us in our work over the long term, we have immediate need of technical assistance to make sure that we have a good beginning. We hope that the grant we are requesting today will serve as a bridge to a more significant project to be identified in the coming weeks and months.

The Vermont Supreme Court requests a technical assistance grant from the State Justice Institute in order to enable us to engage the National Center on State Courts [NCSC] to provide to us technical services that will ensure that the Commission has available to it the most current information about the fiscal situation of other state court systems and about the steps taken by other state court systems to re-engineer their processes and structures to meet a challenging fiscal and political climate. With the support of the grant requested, we will seek from NCSC technical assistance to identify the kinds of data-gathering that will be useful to the Commission, as well as assistance from NCSC in analyzing data that has been gathered and advice on the most effective ways to use this data analysis to provide a factual and economic basis for Commission recommendations to the Legislature.

We are pleased that NCSC will make available at no cost the services of Dan Hall, Vice-President, Court Consulting Services Division, and Tom Clarke, Vice President, Research and Technology Division. These consultants bring us their great knowledge of court operations, their specialized expertise in budgets and technology, and their knowledge and expertise in group process. They will be assisted by staff in the Denver office of NCSC who will array the data collected in Vermont for examination and provide feedback to the Commission. Due to the budget rescission, which resulted in unfilled vacancies in the Office of the Court Administrator, our support staff is asked to cover many responsibilities without adequate resources, and will benefit from this assistance from NCSC.

I recognize that SJI applications require support of the court of last resort. In writing this letter, I certify that the Supreme Court of Vermont supports this proposal (see SJI Form B attached to this letter).

## **NEED FOR FUNDING**

The need for funding is implicit in the content of the application. The courts have already undergone a reduction in the current budget as result of declining revenues and are facing more reductions in the future, as the demographic and economic indicators point to ongoing budgetary levels below what the state agencies have enjoyed in recent years. There is simply no money available for expenditures on the consulting services we need to make our business processes more efficient.

## **PROJECT DESCRIPTION**

The overall purpose of the project is to develop strategies and legislative recommendations for reengineering the business processes of the Vermont court system to permit the judiciary to carry out its mission in the face of serious resource limitations. One of the vehicles for strategic planning is the Commission on Judicial Operation that has been appointed by the Supreme Court pursuant to legislation. The Division of Court Improvement and Innovation of the Court Administrator's Office will staff the Commission, and the various Divisions of the Court Administrator's Office will assist with data gathering and analysis in their respective fields of responsibilities, focusing on the areas specified in the legislation: (1) consolidation of staff and consolidation of staff functions across courts in individual counties and statewide; (2) regionalization of court administrative functions, both those now performed at the state level and county level; (3) use of technology, including video technology, to reduce expenditures while maintaining quality of adjudication; (4) flexibility in use of resources to respond to the demands on the judiciary overall and particularly in instances where demand changes; (5) reallocation of jurisdiction between courts, consistent with effective and efficient operation; and (6) any other ideas for efficient and effective delivery of judicial services.

The legislation requires that the Commission file a report on or before January 15, 2009, on consolidation of staff and staff functions. The NCSC has informed Patricia Gabel that, although grant money will not be available until 2009, they will be able to provide earlier help to the Commission as the Chair may request through the services of Dan Hall or Tom Clarke and their Denver staff. The grant-funded assistance from NCSC will be rendered in 2009 and related to the Commission work plan in terms of chronology.

The Commission is called upon to address fundamental changes with great ramifications for the judiciary, the justice system, and the public. It is essential that the Commission identify and prioritize options for change and develop a strategic approach. We hope to benefit from the special knowledge of NCSC consultants regarding effective group process and the fiscal, organizational, operational, and technological aspects of making changes in the way courts deliver their services. This project is the means by which the Commission will be able to seek advice and services from NCSC as we develop our work plan. The NCSC staff support will be organized as follows:

- Dan Hall and Tom Clarke will be available to attend Commission meetings and provide recommendations on how to categorize capabilities and internal processes to effectuate these capabilities, formulate options, select strategies, aggregate data

germane to Commission decisions, identify the processes that are most costly, and develop a plan for systemic change that will make the more costly processes cost effective.

- John Douglas, a Senior Court Management Consultant, will serve as liaison on data collection and will direct Denver staff that will array data received from Vermont in an analytical format for review by Dan Hall and Tom Clarke. This review will permit Dan Hall and Tom Clarke to better assist the Commission to formulate and present its recommendations to the Legislature.

## **WORK PLAN**

The NCSC will perform four tasks to execute the project.

### **Task 1 – Pre-grant Assistance to Commission**

The NCSC will provide some limited help without cost to Vermont in the period November and December of 2008. This will primarily take the form of assisting the Commission to address the legislative mandate on consolidation of staff and staff functions. The NCSC is available to provide some limited staff assistance if requested by the Chair and will assist in identifying similar consolidations in other states and pertinent legislation. The NCSC will also be available to provide advice on how the Commission could optimally organize its functions and activities. This may involve subcommittee roles and timelines for reporting to the Commission, the best use of Commission time, and support for staff. The establishment of goals and a work plan are other early considerations. The areas of analysis are, to a large extent, set forth in the legislation.

### **Task 2 – Attendance at Commission Meetings**

An NCSC consultant will be present at six meetings during 2009 and will serve in capacities requested by the Chair. If there are more than six meetings in 2009, the Chair will determine with NCSC the meetings where NCSC assistance will be most beneficial.

NCSC has observed that the nature and purpose of each meeting will vary as the Commission progresses toward its final set of recommendations and its strategic plan for implementing fundamental change. The initial meetings will normally be used to organize a data collection approach pertaining to possible change areas specified in the legislation. NCSC will provide advice and assistance on how to identify options for restructuring delivery systems, redesigning business processes, and expanding the use of technology. Often, options are identified by soliciting ideas from system participants. It has been the experience of NCSC that this is usually best done through focus groups for more knowledgeable participants. There is citizen representation on the Commission.

NCSC will also provide advice and assistance in prioritizing functions to provide the highest levels of access and service statewide at the lowest possible cost and will assist in evaluating proposed options. This process normally narrows feasible options to a small number. Typically, a Commission or Committee focuses on changes that can be made over the short term, but it may be that the outlines of a reconfigured court system will emerge and be the target for more fundamental change than is feasible in the short term.

It is common for a visionary agenda to be developed to complement more immediate changes.

### **Task 3 - Data Assimilation and Analysis**

The NCSC, through Tom Clarke and Dan Hall, will assist the Chair and staff in determining what data to collect and how. The NCSC will also provide staff analysts in its Denver Office to assist the Commission and its staff to organize data in an analytical format, including graphics, for review by Tom Clarke and Dan Hall. The organized data with accompanying analytical comment will be fed back to the Commission and staff. John Douglas of NCSC will work closely with staff in determining how Denver staff can be most helpful in supplementing the work of Vermont's staff.

### **Task 4 - Assistance with Final Report with Legislative Recommendations**

NCSC will provide recommendations about the content of the final report and legislative recommendations based on its experience in court operations, strategic planning, reengineering, court budgeting and staffing, and technology. NCSC's recommendations will contain a methodological section that can serve as a guide for jurisdictions that are organizing themselves to effect major changes that will enable them to provide services more cost effectively.

## **TIMELINE**

Given the supportive nature of NCSC assistance, the timeline will be keyed to that of the Commission. The consultants will be available in 2009 for six visits keyed to Commission meetings, as yet unscheduled. Staff support from the NCSC will be available in 2009 within the parameters set in the project budget. As NCSC staff assistance is supplementary, it will be related to the timing of tasks determined by the Commission and its staff.

## **END RESULT AND REPLICATION**

The fiscal situation in Vermont is not unique. Many states are facing a similar budgetary scenario. The solutions in Vermont may or may not lend themselves to replication in a different environment, but the process used for organizing and executing a statewide reengineering effort will serve the needs of state-funded systems in small and medium size court systems. Basically, the process is a strategic planning exercise focused on structure and governance changes, reengineered workflow in an electronic environment, staffing level based on norms of efficiency, and legislative and court policy reforms.

The main substantive result of the project will be set of recommendations with an implementation plan for effecting systemic changes and a detailed methodological section that would be helpful to any jurisdiction undertaking a similar process.

## **LIKELIHOOD OF IMPLEMENTATION**

The likelihood of implementation is high because the project is driven by necessity and because the three branches of government are united in the quest for efficiency. The

Legislature has requested statutory recommendations and has indicated that it will be receptive to the Commission's ideas. The executive branch will be represented on the Commission, as will the Legislature.

## QUALIFICATIONS

### Corporate Qualifications

The NCSC performs operational audits in a broad variety of court environments and has been involved in a variety of reengineering studies, most recently in Minnesota where Tom Clarke and Dan Hall facilitated meetings of an Access and Services Delivery Committee charged with reengineering the Minnesota court system and, with the help of NCSC staff, in Denver assisted the Committee in formulating a long-range plan for court system redesign and implementing immediate steps toward the new vision. Other recent examples of reengineering studies are noted below:

Client	Year	Service Provided
New Hampshire Administrative Office of Courts	2005	Statewide business process enhancement (reengineering and improvement) analysis and facilitation of plan development with representatives of all trial court levels (superior, district, family and probate).
Mesa, Arizona Municipal Court	2006	Public accountability framework, business process workflows, and information technology review.
Milwaukee, Wisconsin Circuit Court	2006	Efficiency study.
Guam Administrative Office	2005	Review of management practices, judicial workload, and personnel efficiencies.

The NCSC provides large-group facilitation services in a number of settings - most commonly in recent years on working with specific courts to define performance measures to effectuate *Trial Court Performance Standards* or *Appellate Court Performance Standards and Measures*. The NCSC has facilitated the development of performance measurement for the Supreme Court of Oregon and the Supreme Court of Montana. The NCSC facilitated the strategic planning for the court system (appellate and trial courts with top managers included) in the Commonwealth of the Northern Marianas Islands. Other examples of facilitation are:

- Facilitation of strategic development of the proposed unified family court in the Missouri Twenty Second Judicial Circuit (St. Louis).
- Planning assistance and facilitation of a statewide summit to develop a strategic approach that would permit Tennessee courts to handle pro se cases more fairly effectively and efficiently.

### Staff Qualifications

**Dan Hall** is skilled in large group facilitation and court budgeting, as recently illustrated by his work on reengineering in Minnesota. Prior to becoming a Vice-President of NCSC, he was the Director for the Division of Planning and Analysis at the Colorado Judicial Department where, with a staff of 20, he managed the planning program for the Judicial Branch of State government and developed and implemented, with the Financial Services Division, the Judicial Branch's annual \$240 million budget and served as the Department's legislative liaison. As Vice President of the NCSC, he has been lecturer and presenter at major court conferences and has provided a variety of consulting services that illustrate his knowledge of court operations and his ability to work with court leaders in every aspect of court activity. Examples of his consulting experience with NCSC and before are listed below.

- Developed court performance measures for trial courts and appellate courts (2004-present).
- Workload assessment and court performance projects in California (2000-2002) and Minnesota (2002).
- Workload assessment and court performance projects in Florida (1999-2000) and Delaware (2000).
- Facilitated the South Dakota Court Administrator's Office with the development of a staffing model (1998).
- Assisted the Michigan Court Administrative Office in developing a formula to distribute the Court Equity Fund to local courts (1997).
- Assisted the Kentucky State Court Administrator's Office (SCAO) and Court Clerk's Association in developing a staffing model for local courts (1997).
- Assisted the Utah SCAO in developing budget and allocation procedures (1996-97).
- Advised Kansas SCAO on management information systems (1996).
- Advised the North Carolina Supreme Court on long-range planning (1996).
- Conducted a long-range planning seminar for the North Carolina Court Administrators Office (1995).
- Advised the Nevada Supreme Court's Commission on the Future of the Courts about workload management and long-range planning (1994).
- Faculty, American Judicature Society's conference on long-range planning (1993).
- Presentation, "The Future of the Courts in the United States," United States 8<sup>th</sup> District Court (1992).
- Consulted with the Arizona Supreme Court on the design of a Judicial Evaluation Program (1991).
- Developed an econometric forecast model for the Oregon State courts (1989).

**Tom Clarke** is the NCSC Vice President who heads the Research and Technology Division, a dual responsibility that is suited to his background in information technology and his research experience. He holds a Ph.D. in economic development from Cornell University and has at various stages in his long career served as a researcher or director of research. Prior to joining the NCSC in 2005, he was Director, Information Services, Washington Administrative Office of the Courts, Olympia, Washington (1999 to 2005)

where he managed statewide court case management systems for 3000 users on four court levels and managed a staff of 120 and a budget of \$42 million. He led a business process reengineering effort and case management system development project. Prior to his IT role he was Research Manager, Administrative of the Courts (1996-1999) where he carried out studies on court operations and judicial staffing and analyzed business tradeoffs for major application development projects.

He, like Dan Hall, is accustomed to working with large groups to achieve consensus on issues. He is charged with developing national court strategies focused on key business problem and facilitating key initiatives for the court community. The length and breadth of his experience is illustrated below:

- Court experience (10 years)
- Government experience at international, federal and state levels (20 years)
- International consulting and teaching experience (5 years)
- Research experience (30 years)
- IT experience (26 years)
- Interdisciplinary training in anthropology, economics, politics, and IT

**John Douglas** is a senior member of the NCSC consulting staff who has had responsibility for analyzing many courts, in particular court clerical offices. He has participated in or led consulting projects involving workflow, process improvement, resource management, and technology in courts of general and limited jurisdiction. He has worked in a number of locally funded court systems and has dealt with a variety of human resources issues. He has directed projects involving classification and compensation plans, most recently for the magistrate courts of Virginia. He is an experienced project director who has performed operational reviews in many court systems, among them: Galveston (TX) Municipal Court; Salt Lake City (UT) Justice Court; Dallas (TX) Municipal Court; Nebraska Fourth Judicial District Court (Omaha); and Seattle (WA) Municipal Court.

#### **BUDGET AND MATCHING STATE CONTRIBUTION**

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600. A budget narrative and Form E is attached. This cost includes professional and administrative time, travel, and indirect costs for the project.

We are confident that this project will be very beneficial to the Vermont Judiciary and to the people of Vermont. We would appreciate your consideration of our application.

Sincerely,  


Paul L. Reiber, Chief Justice

(Form E)

STATE JUSTICE INSTITUTE

LINE-ITEM BUDGET FORM

For Curriculum Adaptation and Training and Technical Assistance Grant Requests\*

<u>Category</u>	<u>SJI Funds</u>	<u>Cash Match</u>	<u>In-Kind Match</u>
Personnel	_____	_____	_____
Fringe Benefits	_____	_____	_____
Consultant/Contractual	\$21,800	\$21,600	_____
Travel	\$8,200	_____	_____
Equipment	_____	_____	_____
Supplies	_____	_____	_____
Telephone	_____	_____	_____
Postage	_____	_____	_____
Printing/Photocopying	_____	_____	_____
Audit	_____	_____	_____
Other	_____	_____	_____
Indirect Costs (%)	_____	_____	_____
<b>TOTAL</b>	\$30,000	\$21,600	_____
<hr/>			
<b>PROJECT TOTAL</b>	\$51,600		



## BUDGET NARRATIVE

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600.

The budget is based on the following:

Total Budget	\$51,600
SJI Request	\$30,000
National Center for State Courts Cash Match	\$21,600
Consulting Personnel Costs	\$43,400
Travel	\$8,200

### I. Cash Match Breakdown

The National Center for State Courts will pay for the time of Dan Hall or Tom Clarke at each of the Commissions meetings; 6 meetings with an estimated 3 days including travel time at each meeting. Consulting cost for either Mr. Hall or Mr. Clarke is \$1200 per day. ( $1200 \times 6 \times 3 = \$21,600$ ).

### II. Consulting Costs

24 consulting days are allotted for this project for the project coordinator and analysts to assist Mr. Hall, Mr. Clarke and Vermont in the review, analyses and compilation of the data. Time is also included to assist in writing the recommendations and reviewing as needed.

### III. Travel

6 Trips, 1 consultant                      3 days including travel time, 2 nights per consultant

(Federal per diem guidelines are used as NCSC travel policies)



State of Vermont  
Department of Finance & Management  
109 State Street, Pavilion Building  
Montpelier, VT 05620-0401

Agency of Administration

[phone] 802-828-2376  
[fax] 802-828-2428

STATE OF VERMONT  
FINANCE & MANAGEMENT GRANT REVIEW FORM

**Grant Summary:** This grant is to provide technical services to support the work of the Commission on Court Operations. It relies on a cash match from The National Center for State Courts for an additional \$21,600 (for which there is a separate AA1 Grant request)

**Date:** 3/30/2009

**Department:** Vermont Supreme Court (Judiciary)

**Legal Title of Grant:** The Vermont Re-Engineer Court System Project

**Federal Catalog #:** NA

**Grant/Donor Name and Address:** State Justice Institute 1650 King Street, Suite 600, Alexandria, VA 22314

**Grant Period:** From: 2/1/2009 To: 2/1/2010

**Grant/Donation** \$30,000

	SFY 1	SFY 2	SFY 3	Total	Comments
<b>Grant Amount:</b>	\$15,000	\$15,000	\$	\$30,000	See second AA1 for National Center for State Courts for the match required for this grant.

Position Information:	# Positions	Explanation/Comments
	0	

**Additional Comments:** This grant requires a sole source contract with the National Center for State Courts.

Department of Finance & Management	<i>[Signature]</i> 3/30/09	(Initial)
Secretary of Administration	<i>[Signature]</i> 3/30/09	(Initial)
Sent To Joint Fiscal Office	<i>[Signature]</i>	Date

**RECEIVED**  
APR 08 2009  
JOINT FISCAL OFFICE

<b>STATE OF VERMONT</b> <b>FINANCE &amp; MANAGEMENT GRANT REVIEW FORM</b>		



**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

<b>BASIC GRANT INFORMATION</b>				
<b>1. Agency:</b>		Judiciary		
<b>2. Department:</b>		Vermont Supreme Court		
<b>3. Program:</b>		Court Improvement and Innovation		
<b>4. Legal Title of Grant:</b>		Vermont Re-Engineer Court System Project		
<b>5. Federal Catalog #:</b>		None		
<b>6. Grant/Donor Name and Address:</b> State Justice Institute, 1650 King Street, Suite 600, Alexandria, VA 22314				
<b>7. Grant Period:</b>		<b>From:</b> 2/1/2009	<b>To:</b> 2/1/2010	
<b>8. Purpose of Grant:</b> To provide technical services to support the work of the Vermont Commission.				
<b>9. Impact on existing program if grant is not Accepted:</b> Our ability to provide support services to the VT Commission will be severely compromised.				
<b>10. BUDGET INFORMATION</b>				
	SFY 1	SFY 2	SFY 3	Comments
Expenditures:	FY 2009	FY 2010	FY	
Personal Services	\$21700	\$21700	\$	
Operating Expenses	\$4100	\$4100	\$	
Grants	\$	\$	\$	
<b>Total</b>	\$25,800	\$25,800	\$	
Revenues:				
State Funds:	\$	\$	\$	
Cash	\$0	\$0	\$	
In-Kind	\$0	\$0	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$	\$	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
NCSC Cash				see NCSC AA-1
Other Funds: Match	\$10800	\$10,800	\$	Form
Grant (source SJI)	\$15000	\$15000	\$	in this AA-1 Form
<b>Total</b>	\$25,800	\$25,800	\$	
<b>Appropriation No:</b>		<b>Amount:</b>	\$	
	2120000000		\$30000	
			\$	
			\$	
			\$	
			\$	
			\$	
		<b>Total</b>	\$30,000	

REC'D MAR 24 2009

**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**  Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding  
 Grant provisions require sole source contract with the National Center for State Courts  
 Appointing Authority Name: \_\_\_\_\_ Agreed by: RS (initial)

12. Limited Service Position Information:	# Positions	Title
<b>Total Positions</b>		

**12a. Equipment and space for these positions:**  Is presently available.  Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee Approval of this grant:	Signature: <u>Robert Freeman</u>	Date: <u>3/24/09</u>
	Title: Acting Court Administrator	

**14. ACTION BY GOVERNOR**

<input checked="" type="checkbox"/> Check One Box: Accepted	<u>[Signature]</u> (Governor's signature)	<u>4/3/09</u>
<input type="checkbox"/> Rejected		Date:

**15. SECRETARY OF ADMINISTRATION**

<input type="checkbox"/> Check One Box: Request to JFO	<u>Ronda P. Moore</u> (Secretary's signature or designee)	<u>3/30/09</u>
<input type="checkbox"/> Information to JFO		Date:

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Request Memo                           | <input type="checkbox"/> Request Memo                             |
| <input checked="" type="checkbox"/> Dept. project approval (if applicable) | <input type="checkbox"/> Dept. project approval (if applicable)   |
| <input checked="" type="checkbox"/> Notice of Award                        | <input type="checkbox"/> Notice of Donation (if any)              |
| <input checked="" type="checkbox"/> Grant Agreement                        | <input type="checkbox"/> Grant (Project) Timeline (if applicable) |
| <input checked="" type="checkbox"/> Grant Budget                           | <input type="checkbox"/> Request for Extension (if applicable)    |

**End Form AA-1**

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

Mailing Address:  
109 State Street  
Montpelier, VT 05609-0701



Telephone: (802)828-3278  
FAX: (802)828-3457  
TDD (802)828-3234

*Vermontjudiciary.org*

March 24, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find two State of Vermont Request for Grant Acceptance forms and accompanying documentation. Both requests pertain to the Vermont Re-Engineer Court System Project. This grant, which has been awarded by the State Justice Institute, will provide technical services to support the work of the Vermont Commission on Court Operation.

The first AA-1 form is a request to accept the \$30,000 in grant funds awarded by the State Justice Institute. The other AA-1 form is to accept the \$21,600 cash match donation from the National Center for State Courts. The National Center is providing the cash match due to the financial situation in Vermont and because the State Justice Institute requires a cash match for all technical assistance grants. The provisions of the SJI grant require sole source contract with the National Center for State Courts.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in cursive script that reads "Linda Ryea Richard".

Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation

Attachments  
/lmrr

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

Mailing Address:

109 State Street  
Montpelier, VT 05609-0701



Telephone: (802)828-3278

FAX: (802)828-3457

TDD (802)828-3234

*Vermontjudiciary.org*

March 17, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find a State of Vermont Request for Grant Acceptance form and accompanying documentation. This grant, which has been awarded by the State Justice Institute, will enable the Vermont Judiciary to provide technical services to support the work of the Vermont Commission on Court Operation.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink that reads "Linda Ryea Richard" with a long horizontal flourish extending to the right.

Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation  
Office of the State Court Administrator

Attachments  
/lmrr



*A nonprofit organization improving justice through leadership and service to courts*

Mary Campbell McQueen  
President

Daniel J. Hall  
Vice President  
Court Consulting Services  
Denver Office

March 23, 2009

Department of Finance and Management  
Vermont Supreme Court  
Office of the Court Administrator  
109 State Street  
Montpelier, VT 05609-0701

**RE: State Justice Institute Grant (SJI) for Vermont Re-Engineering Court System Project**

Dear Sirs:

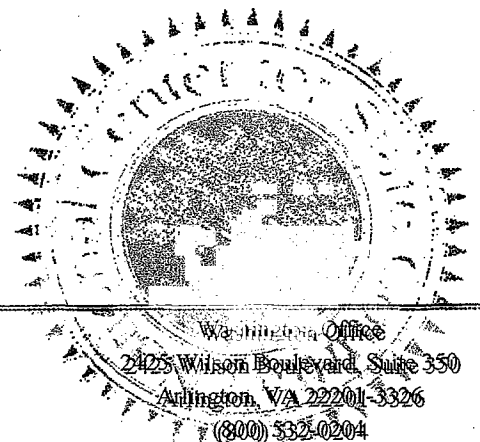
Last fall in order to assist the Vermont Supreme Court with their Re-Engineering Court Project and enable them to apply for a State Justice Institute Technical Assistance Grant, the National Center for State Courts (NCSC) agreed to provide a cash match of \$21,600. The NCSC cash match provides for professional and administrative time, travel, and indirect costs for the NCSC consultants who are assigned to the project.

Due to the financial situation in Vermont, the NCSC cash match allowed the Supreme Court to apply for a SJI grant. The cash match was a requirement of the SJI Grant.

If I can provide additional information, please do not hesitate to contact me.

Sincerely,

Laura Klaversma  
Court Services Director



Headquarters  
3900 Newport Avenue  
Williamsburg, VA 23185-4447  
(800) 636-6864

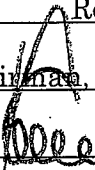
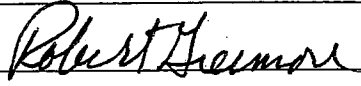
Court Consulting  
707 Seventeenth Street, Suite 2900  
Denver, CO 80202-3429  
(800) 466-3063

Washington Office  
2425 Wilson Boulevard, Suite 350  
Arlington, VA 22201-3326  
(800) 332-0204



# STATE JUSTICE INSTITUTE

## AWARD

<input checked="" type="checkbox"/> Grant <input type="checkbox"/> Contract <input type="checkbox"/> Cooperative Agreement		Page <u>1</u> of <u>1</u>
1. Grantee Name and Address Supreme Court of Vermont Office of the Court Administrator 109 State Street Montpelier, VT 05609		3. Award Number SJI-09-T-005
		4. Award Period 2/01/09 – 2/01/10
		5. Award Date 3/13/09
1a. Employer Identification No.	6. Award Amount \$30,000	
2. Entity to Receive Funds	7. Type of Award <input type="checkbox"/> Project Grant <input checked="" type="checkbox"/> Technical Assistance (TA) Grant <input type="checkbox"/> Curriculum Adaptation & Training (CAT) Grant <input type="checkbox"/> Scholarship <input type="checkbox"/> Partner Grant	
2a. Employer Identification No.		
8. Project Title Vermont Re-Engineer Court System Project		
9. Special Conditions (Check if applicable) <input checked="" type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached <u>1</u> page(s).		
STATE JUSTICE INSTITUTE APPROVAL		GRANTEE ACCEPTANCE
10. Approving SJI Official Name (typed): <u>Robert A. Miller</u> Title: <u>Chairman, Board of Directors</u> Signature: <u></u> Date: <u>March 13, 2009</u>		11. Authorized Official of Grantee Name (typed): <u>Robert Greemore</u> Title: <u>Acting Court Administrator</u> Signature: <u></u> Date: <u>March 17, 2009</u>

# STATE JUSTICE INSTITUTE APPLICATION

<b>1. APPLICANT</b> a. Applicant Name: Vermont Supreme Court Office of the Court Administrator b. Organization Unit: Court Improvement and Innovation c. Street/P.O. Box : 109 State Street d. City : Montpelier e. State: Vermont      f. Zip Code : 05609-0701 g. Phone Number : 802-828-3278 h. Fax Number : 802-828-3457 i. Web Site Address: www.vermontjudiciary.org j. Name & Phone Number of Contact Person Patricia Gabel 802-828-5946    k. Title : Director l. E-Mail Address: patricia.gabel@state.vt.us	<b>2. TYPE OF APPLICANT</b> (Check appropriate box) <input checked="" type="checkbox"/> State Court <input type="checkbox"/> National organization operating in conjunction with State court <input type="checkbox"/> National State court support organization <input type="checkbox"/> College or university <input type="checkbox"/> Other non-profit organization or agency <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or partnership <input type="checkbox"/> Other unit of government <input type="checkbox"/> Other _____ (Specify) _____														
<b>3. PROPOSED START DATE :</b> February 1, 2009															
<b>4. PROJECT DURATION</b> (months) : 12 months															
<b>5. APPLICANT FINANCIAL CONTACT : Same as Applicant</b> a. Organization Name _____ b. Street/P.O. Box _____ c. City _____ d. State _____      e. Zip Code _____ f. Phone Number _____ g. Fax Number _____ h. Web Site Address _____ i. Name & Phone Number of Contact Person _____ _____ j. Title _____ k. E-Mail Address _____	<b>6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION:</b> Source _____ Date Submitted _____ Amount Requested _____ Disposition (if any) or Current Status _____ _____														
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;"><b>7. a. AMOUNT REQUESTED FROM SJJ</b></td> <td style="text-align: right;"><b>\$ 30,000</b></td> </tr> <tr> <td><b>b. AMOUNT OF MATCH</b></td> <td></td> </tr> <tr> <td style="padding-left: 20px;">Cash match NCSC</td> <td style="text-align: right;">\$ 21,600</td> </tr> <tr> <td style="padding-left: 20px;">Non-cash Match</td> <td style="text-align: right;">\$ 0</td> </tr> <tr> <td><b>c. TOTAL MATCH</b></td> <td style="text-align: right;"><b>\$ 21,600</b></td> </tr> <tr> <td><b>d. OTHER CASH</b></td> <td style="text-align: right;"><b>\$</b></td> </tr> <tr> <td><b>e. TOTAL PROJECT COST</b></td> <td style="text-align: right;"><b>\$ 51,600</b></td> </tr> </table>		<b>7. a. AMOUNT REQUESTED FROM SJJ</b>	<b>\$ 30,000</b>	<b>b. AMOUNT OF MATCH</b>		Cash match NCSC	\$ 21,600	Non-cash Match	\$ 0	<b>c. TOTAL MATCH</b>	<b>\$ 21,600</b>	<b>d. OTHER CASH</b>	<b>\$</b>	<b>e. TOTAL PROJECT COST</b>	<b>\$ 51,600</b>
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<b>8. TITLE OF PROPOSED PROJECT :</b> Vermont Re-Engineer Court System Project															
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	Name of Representative; District Number	Project location (if different from applicant location); Name of Representative; District Number													
<b>10. CERTIFICATION</b> On behalf of the applicant, I hereby certify that to the best of my knowledge the information in this application is true and complete. I have read the attached assurances (Form D) and understand that if this application is approved for funding, the award will be subject to those assurances. I certify that the applicant will comply with the assurances if the application is approved, and that I am lawfully authorized to make these representations on the behalf of the applicant.															
_____ SIGNATURE OF RESPONSIBLE OFFICIAL <small>(For applications from State and local courts, Form B - Certificate of State Approval, must be attached)</small>	Director, CII TITLE October 29, 2008 DATE														

STATE JUSTICE INSTITUTE

Certificate of State Approval

The Vermont Supreme Court  
Name of State Supreme Court or Designated Agency or Council

has reviewed the application entitled Vermont Re-Engineer Court System Project  
prepared by VT Supreme Court, Office of the Court Administrator  
Name of Applicant

approves its submission to the State Justice Institute, and

agrees to receive and administer and be accountable for all funds  
awarded by the Institute pursuant to the application.

designates \_\_\_\_\_  
Name of Trial or Appellate Court or Agency

as the entity to receive, administer, and be accountable for all funds  
awarded by the Institute pursuant to the application.

Paul L. Reiber  
Signature

October 29, 2008  
Date

Paul L. Reiber  
Name

Chief Justice  
Title

SUPREME COURT OF VERMONT  
109 STATE STREET  
MONTPELIER, VERMONT  
05609-0801

CHAMBERS OF  
PAUL L. REIBER  
CHIEF JUSTICE

October 31, 2008

Janice Munsterman  
Executive Director  
State Justice Institute  
1650, King Street, Suite 600  
Alexandria, Virginia 22314

Dear Ms. Munsterman,

Earlier this year, the Vermont Legislature, by statute, requested the Supreme Court to appoint and convene a Commission on Judicial Operation. The Commission is charged with making recommendations on how to achieve efficiencies, while at the same time improving and maintaining the level of court services and public access. The Supreme Court has now appointed the Commission on Judicial Operation in accordance with the statute, and I will serve as Chair of the Commission. Associate Justice Denise Johnson will also serve as a member of the Commission. The Court Administrator has directed Patricia Gabel, Director of Court Improvement and Innovation, to provide internal staffing support to the Commission through the Division of Court Improvement and Innovation.

Our request to SJI comes in the midst of an unusually difficult fiscal climate. In the current fiscal year, state revenue shortfalls required an unexpected and significant budget rescission, in which the Vermont Judiciary withstood a 2.6 percent cut in its current fiscal year budget. This led the Supreme Court to adopt emergency measures to achieve the required savings, including a reduction in the number of hours each week that Vermont courts are open to the public in order to reduce security costs and to cope with staff shortages. We have been led to believe by Executive Branch officials of the State of Vermont that the fiscal situation that led to this budget reduction is not a temporary phenomenon, and that Vermont is facing a long period of limited resources.

The Judiciary is aware that it must re-examine its operations in depth to achieve efficiencies that will enable it to provide appropriate levels of access to justice at the most reasonable cost, given the projected fiscal and demographic outlook. The court cannot

rely on curtailing services, nor can it rely on increasing fees, as this was done to cope with the previous downturn. A more fundamental change is required.

The work of the Commission on Judicial Operation, by the terms of the statute, has both short-term objectives, leading to a report to the Legislature at the beginning of the January 2009 Legislative session, and longer-term objectives to more fundamentally examine the existing problems, frame recommendations, and support the implementation of those recommendations over a longer period. In order to enable the Commission to fulfill its mandate, we will seek on behalf of the Commission to identify partners and resources that will assist the Commission to achieve outcomes that ensure that the people of the State of Vermont will continue to have a Judiciary that provides timely access to justice at reasonable cost and fulfills its constitutional role in our democracy.

While taking the appropriate time to identify the partners and resources best suited to assist us in our work over the long term, we have immediate need of technical assistance to make sure that we have a good beginning. We hope that the grant we are requesting today will serve as a bridge to a more significant project to be identified in the coming weeks and months.

The Vermont Supreme Court requests a technical assistance grant from the State Justice Institute in order to enable us to engage the National Center on State Courts [NCSC] to provide to us technical services that will ensure that the Commission has available to it the most current information about the fiscal situation of other state court systems and about the steps taken by other state court systems to re-engineer their processes and structures to meet a challenging fiscal and political climate. With the support of the grant requested, we will seek from NCSC technical assistance to identify the kinds of data-gathering that will be useful to the Commission, as well as assistance from NCSC in analyzing data that has been gathered and advice on the most effective ways to use this data analysis to provide a factual and economic basis for Commission recommendations to the Legislature.

We are pleased that NCSC will make available at no cost the services of Dan Hall, Vice-President, Court Consulting Services Division, and Tom Clarke, Vice President, Research and Technology Division. These consultants bring us their great knowledge of court operations, their specialized expertise in budgets and technology, and their knowledge and expertise in group process. They will be assisted by staff in the Denver office of NCSC who will array the data collected in Vermont for examination and provide feedback to the Commission. Due to the budget rescission, which resulted in unfilled vacancies in the Office of the Court Administrator, our support staff is asked to cover many responsibilities without adequate resources, and will benefit from this assistance from NCSC.

I recognize that SJI applications require support of the court of last resort. In writing this letter, I certify that the Supreme Court of Vermont supports this proposal (see SJI Form B attached to this letter).

## **NEED FOR FUNDING**

The need for funding is implicit in the content of the application. The courts have already undergone a reduction in the current budget as result of declining revenues and are facing more reductions in the future, as the demographic and economic indicators point to ongoing budgetary levels below what the state agencies have enjoyed in recent years. There is simply no money available for expenditures on the consulting services we need to make our business processes more efficient.

## **PROJECT DESCRIPTION**

The overall purpose of the project is to develop strategies and legislative recommendations for reengineering the business processes of the Vermont court system to permit the judiciary to carry out its mission in the face of serious resource limitations. One of the vehicles for strategic planning is the Commission on Judicial Operation that has been appointed by the Supreme Court pursuant to legislation. The Division of Court Improvement and Innovation of the Court Administrator's Office will staff the Commission, and the various Divisions of the Court Administrator's Office will assist with data gathering and analysis in their respective fields of responsibilities, focusing on the areas specified in the legislation: (1) consolidation of staff and consolidation of staff functions across courts in individual counties and statewide; (2) regionalization of court administrative functions, both those now performed at the state level and county level; (3) use of technology, including video technology, to reduce expenditures while maintaining quality of adjudication; (4) flexibility in use of resources to respond to the demands on the judiciary overall and particularly in instances where demand changes; (5) reallocation of jurisdiction between courts, consistent with effective and efficient operation; and (6) any other ideas for efficient and effective delivery of judicial services.

The legislation requires that the Commission file a report on or before January 15, 2009, on consolidation of staff and staff functions. The NCSC has informed Patricia Gabel that, although grant money will not be available until 2009, they will be able to provide earlier help to the Commission as the Chair may request through the services of Dan Hall or Tom Clarke and their Denver staff. The grant-funded assistance from NCSC will be rendered in 2009 and related to the Commission work plan in terms of chronology.

The Commission is called upon to address fundamental changes with great ramifications for the judiciary, the justice system, and the public. It is essential that the Commission identify and prioritize options for change and develop a strategic approach. We hope to benefit from the special knowledge of NCSC consultants regarding effective group process and the fiscal, organizational, operational, and technological aspects of making changes in the way courts deliver their services. This project is the means by which the Commission will be able to seek advice and services from NCSC as we develop our work plan. The NCSC staff support will be organized as follows:

- Dan Hall and Tom Clarke will be available to attend Commission meetings and provide recommendations on how to categorize capabilities and internal processes to effectuate these capabilities, formulate options, select strategies, aggregate data

germane to Commission decisions, identify the processes that are most costly, and develop a plan for systemic change that will make the more costly processes cost effective.

- John Douglas, a Senior Court Management Consultant, will serve as liaison on data collection and will direct Denver staff that will array data received from Vermont in an analytical format for review by Dan Hall and Tom Clarke. This review will permit Dan Hall and Tom Clarke to better assist the Commission to formulate and present its recommendations to the Legislature.

## **WORK PLAN**

The NCSC will perform four tasks to execute the project.

### **Task 1 – Pre-grant Assistance to Commission**

The NCSC will provide some limited help without cost to Vermont in the period November and December of 2008. This will primarily take the form of assisting the Commission to address the legislative mandate on consolidation of staff and staff functions. The NCSC is available to provide some limited staff assistance if requested by the Chair and will assist in identifying similar consolidations in other states and pertinent legislation. The NCSC will also be available to provide advice on how the Commission could optimally organize its functions and activities. This may involve subcommittee roles and timelines for reporting to the Commission, the best use of Commission time, and support for staff. The establishment of goals and a work plan are other early considerations. The areas of analysis are, to a large extent, set forth in the legislation.

### **Task 2 – Attendance at Commission Meetings**

An NCSC consultant will be present at six meetings during 2009 and will serve in capacities requested by the Chair. If there are more than six meetings in 2009, the Chair will determine with NCSC the meetings where NCSC assistance will be most beneficial.

NCSC has observed that the nature and purpose of each meeting will vary as the Commission progresses toward its final set of recommendations and its strategic plan for implementing fundamental change. The initial meetings will normally be used to organize a data collection approach pertaining to possible change areas specified in the legislation. NCSC will provide advice and assistance on how to identify options for restructuring delivery systems, redesigning business processes, and expanding the use of technology. Often, options are identified by soliciting ideas from system participants. It has been the experience of NCSC that this is usually best done through focus groups for more knowledgeable participants. There is citizen representation on the Commission.

NCSC will also provide advice and assistance in prioritizing functions to provide the highest levels of access and service statewide at the lowest possible cost and will assist in evaluating proposed options. This process normally narrows feasible options to a small number. Typically, a Commission or Committee focuses on changes that can be made over the short term, but it may be that the outlines of a reconfigured court system will emerge and be the target for more fundamental change than is feasible in the short term.

It is common for a visionary agenda to be developed to complement more immediate changes.

### **Task 3 - Data Assimilation and Analysis**

The NCSC, through Tom Clarke and Dan Hall, will assist the Chair and staff in determining what data to collect and how. The NCSC will also provide staff analysts in its Denver Office to assist the Commission and its staff to organize data in an analytical format, including graphics, for review by Tom Clarke and Dan Hall. The organized data with accompanying analytical comment will be fed back to the Commission and staff. John Douglas of NCSC will work closely with staff in determining how Denver staff can be most helpful in supplementing the work of Vermont's staff.

### **Task 4 - Assistance with Final Report with Legislative Recommendations**

NCSC will provide recommendations about the content of the final report and legislative recommendations based on its experience in court operations, strategic planning, reengineering, court budgeting and staffing, and technology. NCSC's recommendations will contain a methodological section that can serve as a guide for jurisdictions that are organizing themselves to effect major changes that will enable them to provide services more cost effectively.

## **TIMELINE**

Given the supportive nature of NCSC assistance, the timeline will be keyed to that of the Commission. The consultants will be available in 2009 for six visits keyed to Commission meetings, as yet unscheduled. Staff support from the NCSC will be available in 2009 within the parameters set in the project budget. As NCSC staff assistance is supplementary, it will be related to the timing of tasks determined by the Commission and its staff.

## **END RESULT AND REPLICATION**

The fiscal situation in Vermont is not unique. Many states are facing a similar budgetary scenario. The solutions in Vermont may or may not lend themselves to replication in a different environment, but the process used for organizing and executing a statewide reengineering effort will serve the needs of state-funded systems in small and medium size court systems. Basically, the process is a strategic planning exercise focused on structure and governance changes, reengineered workflow in an electronic environment, staffing level based on norms of efficiency, and legislative and court policy reforms.

The main substantive result of the project will be set of recommendations with an implementation plan for effecting systemic changes and a detailed methodological section that would be helpful to any jurisdiction undertaking a similar process.

## **LIKELIHOOD OF IMPLEMENTATION**

The likelihood of implementation is high because the project is driven by necessity and because the three branches of government are united in the quest for efficiency. The



Legislature has requested statutory recommendations and has indicated that it will be receptive to the Commission's ideas. The executive branch will be represented on the Commission, as will the Legislature.

## QUALIFICATIONS

### Corporate Qualifications

The NCSC performs operational audits in a broad variety of court environments and has been involved in a variety of reengineering studies, most recently in Minnesota where Tom Clarke and Dan Hall facilitated meetings of an Access and Services Delivery Committee charged with reengineering the Minnesota court system and, with the help of NCSC staff, in Denver assisted the Committee in formulating a long-range plan for court system redesign and implementing immediate steps toward the new vision. Other recent examples of reengineering studies are noted below:

Client	Year	Service Provided
New Hampshire Administrative Office of Courts	2005	Statewide business process enhancement (reengineering and improvement) analysis and facilitation of plan development with representatives of all trial court levels (superior, district, family and probate).
Mesa, Arizona Municipal Court	2006	Public accountability framework, business process workflows, and information technology review.
Milwaukee, Wisconsin Circuit Court	2006	Efficiency study.
Guam Administrative Office	2005	Review of management practices, judicial workload, and personnel efficiencies.

The NCSC provides large-group facilitation services in a number of settings - most commonly in recent years on working with specific courts to define performance measures to effectuate *Trial Court Performance Standards* or *Appellate Court Performance Standards and Measures*. The NCSC has facilitated the development of performance measurement for the Supreme Court of Oregon and the Supreme Court of Montana. The NCSC facilitated the strategic planning for the court system (appellate and trial courts with top managers included) in the Commonwealth of the Northern Marianas Islands. Other examples of facilitation are:

- Facilitation of strategic development of the proposed unified family court in the Missouri Twenty Second Judicial Circuit (St. Louis).
- Planning assistance and facilitation of a statewide summit to develop a strategic approach that would permit Tennessee courts to handle pro se cases more fairly effectively and efficiently.

### Staff Qualifications

**Dan Hall** is skilled in large group facilitation and court budgeting, as recently illustrated by his work on reengineering in Minnesota. Prior to becoming a Vice-President of NCSC, he was the Director for the Division of Planning and Analysis at the Colorado Judicial Department where, with a staff of 20, he managed the planning program for the Judicial Branch of State government and developed and implemented, with the Financial Services Division, the Judicial Branch's annual \$240 million budget and served as the Department's legislative liaison. As Vice President of the NCSC, he has been lecturer and presenter at major court conferences and has provided a variety of consulting services that illustrate his knowledge of court operations and his ability to work with court leaders in every aspect of court activity. Examples of his consulting experience with NCSC and before are listed below.

- Developed court performance measures for trial courts and appellate courts (2004-present).
- Workload assessment and court performance projects in California (2000-2002) and Minnesota (2002).
- Workload assessment and court performance projects in Florida (1999-2000) and Delaware (2000).
- Facilitated the South Dakota Court Administrator's Office with the development of a staffing model (1998).
- Assisted the Michigan Court Administrative Office in developing a formula to distribute the Court Equity Fund to local courts (1997).
- Assisted the Kentucky State Court Administrator's Office (SCAO) and Court Clerk's Association in developing a staffing model for local courts (1997).
- Assisted the Utah SCAO in developing budget and allocation procedures (1996-97).
- Advised Kansas SCAO on management information systems (1996).
- Advised the North Carolina Supreme Court on long-range planning (1996).
- Conducted a long-range planning seminar for the North Carolina Court Administrators Office (1995).
- Advised the Nevada Supreme Court's Commission on the Future of the Courts about workload management and long-range planning (1994).
- Faculty, American Judicature Society's conference on long-range planning (1993).
- Presentation, "The Future of the Courts in the United States," United States 8<sup>th</sup> District Court (1992).
- Consulted with the Arizona Supreme Court on the design of a Judicial Evaluation Program (1991).
- Developed an econometric forecast model for the Oregon State courts (1989).

**Tom Clarke** is the NCSC Vice President who heads the Research and Technology Division, a dual responsibility that is suited to his background in information technology and his research experience. He holds a Ph.D. in economic development from Cornell University and has at various stages in his long career served as a researcher or director of research. Prior to joining the NCSC in 2005, he was Director, Information Services, Washington Administrative Office of the Courts, Olympia, Washington (1999 to 2005)

where he managed statewide court case management systems for 3000 users on four court levels and managed a staff of 120 and a budget of \$42 million. He led a business process reengineering effort and case management system development project. Prior to his IT role he was Research Manager, Administrative of the Courts (1996-1999) where he carried out studies on court operations and judicial staffing and analyzed business tradeoffs for major application development projects.

He, like Dan Hall, is accustomed to working with large groups to achieve consensus on issues. He is charged with developing national court strategies focused on key business problem and facilitating key initiatives for the court community. The length and breadth of his experience is illustrated below:

- Court experience (10 years)
- Government experience at international, federal and state levels (20 years)
- International consulting and teaching experience (5 years)
- Research experience (30 years)
- IT experience (26 years)
- Interdisciplinary training in anthropology, economics, politics, and IT

**John Douglas** is a senior member of the NCSC consulting staff who has had responsibility for analyzing many courts, in particular court clerical offices. He has participated in or led consulting projects involving workflow, process improvement, resource management, and technology in courts of general and limited jurisdiction. He has worked in a number of locally funded court systems and has dealt with a variety of human resources issues. He has directed projects involving classification and compensation plans, most recently for the magistrate courts of Virginia. He is an experienced project director who has performed operational reviews in many court systems, among them: Galveston (TX) Municipal Court; Salt Lake City (UT) Justice Court; Dallas (TX) Municipal Court; Nebraska Fourth Judicial District Court (Omaha); and Seattle (WA) Municipal Court.

#### **BUDGET AND MATCHING STATE CONTRIBUTION**

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600. A budget narrative and Form E is attached. This cost includes professional and administrative time, travel, and indirect costs for the project.

We are confident that this project will be very beneficial to the Vermont Judiciary and to the people of Vermont. We would appreciate your consideration of our application.

Sincerely,



Paul L. Reiber, Chief Justice

(Form E)

**STATE JUSTICE INSTITUTE**

**LINE-ITEM BUDGET FORM**

For Curriculum Adaptation and Training and Technical Assistance Grant Requests\*

<b><u>Category</u></b>	<b><u>SJI Funds</u></b>	<b><u>Cash Match</u></b>	<b><u>In-Kind Match</u></b>
Personnel	_____	_____	_____
Fringe Benefits	_____	_____	_____
Consultant/Contractual	\$21,800	\$21,600	_____
Travel	\$8,200	_____	_____
Equipment	_____	_____	_____
Supplies	_____	_____	_____
Telephone	_____	_____	_____
Postage	_____	_____	_____
Printing/Photocopying	_____	_____	_____
Audit	_____	_____	_____
Other	_____	_____	_____
Indirect Costs (%)	_____	_____	_____
<b>TOTAL</b>	\$30,000	\$21,600	_____
<hr/>			
<b>PROJECT TOTAL</b>	\$51,600		

## BUDGET NARRATIVE

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600.

The budget is based on the following:

Total Budget	\$51,600
SJI Request	\$30,000
National Center for State Courts Cash Match	\$21,600
Consulting Personnel Costs	\$43,400
Travel	\$8,200

### I. Cash Match Breakdown

The National Center for State Courts will pay for the time of Dan Hall or Tom Clarke at each of the Commissions meetings; 6 meetings with an estimated 3 days including travel time at each meeting. Consulting cost for either Mr. Hall or Mr. Clarke is \$1200 per day. ( $1200 \times 6 \times 3 = \$21,600$ ).

### II. Consulting Costs

24 consulting days are allotted for this project for the project coordinator and analysts to assist Mr. Hall, Mr. Clarke and Vermont in the review, analyses and compilation of the data. Time is also included to assist in writing the recommendations and reviewing as needed.

### III. Travel

6 Trips, 1 consultant                      3 days including travel time, 2 nights per consultant

(Federal per diem guidelines are used as NCSC travel policies)



**STATE OF VERMONT**  
JOINT FISCAL OFFICE

**MEMORANDUM**

To: Representative Lippert  
From: Nathan Lavery, Fiscal Analyst  
Date: April 10, 2009  
Subject: JFO #2376 & #2377

Representative Michael Obuchowski asked that I forward to you a copy of the enclosed grant information and cover memo. He requests your observations regarding the enclosed items.

cc: Rep. Michael Obuchowski  
Stephen Klein

## INFORMATION NOTICE

The following items were recently received by the Joint Fiscal Committee:

**JFO #2376** — \$30,000.00 grant from the State Justice Institute to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project. This grant requires a cash match from the recipient. JFO #2377 is the source of this cash match.

*[JFO received 4/8/09]*

**JFO #2377** — \$21,600.00 grant from the National Center for State Courts to the Judiciary. These grant monies will support the work of the Commission on Court Operations on the Vermont Re-Engineer Court Systems Project. This grant provides the required cash match for JFO #2376.

*[JFO received 4/08/09]*



State of Vermont  
Department of Finance & Management  
109 State Street, Pavilion Building  
Montpelier, VT 05620-0401

Agency of Administration

[phone] 802-828-2376  
[fax] 802-828-2428

**STATE OF VERMONT  
FINANCE & MANAGEMENT GRANT REVIEW FORM**

**Grant Summary:** This grant is to provide technical services to support the work of the Commission on Court Operations. It relies on a cash match from The National Center for State Courts for an additional \$21,600 (for which there is a separate AA1 Grant request)

**Date:** 3/30/2009

**Department:** Vermont Supreme Court (Judiciary)

**Legal Title of Grant:** The Vermont Re-Engineer Court System Project

**Federal Catalog #:** NA

**Grant/Donor Name and Address:** State Justice Institute 1650 King Street, Suite 600, Alexandria, VA 22314

**Grant Period:** **From:** 2/1/2009 **To:** 2/1/2010

**Grant/Donation** \$30,000

	SFY 1	SFY 2	SFY 3	Total	Comments
<b>Grant Amount:</b>	\$15,000	\$15,000	\$	\$30,000	See second AA1 for National Center for State Courts for the match required for this grant.

Position Information:	# Positions	Explanation/Comments
	0	

**Additional Comments:** This grant requires a sole source contract with the National Center for State Courts.

<b>Department of Finance &amp; Management</b>	<i>[Signature]</i> 3/30/09	(Initial)
<b>Secretary of Administration</b>	<i>[Signature]</i> 3/30/09	(Initial)
<b>Sent To Joint Fiscal Office</b>	<i>[Signature]</i> 4/6/09	Date

**RECEIVED**  
APR 08 2009  
JOINT FISCAL OFFICE



<b>STATE OF VERMONT</b> <b>FINANCE &amp; MANAGEMENT GRANT REVIEW FORM</b>		

**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

<b>BASIC GRANT INFORMATION</b>				
<b>1. Agency:</b>		Judiciary		
<b>2. Department:</b>		Vermont Supreme Court		
<b>3. Program:</b>		Court Improvement and Innovation		
<b>4. Legal Title of Grant:</b>		Vermont Re-Engineer Court System Project		
<b>5. Federal Catalog #:</b>		None		
<b>6. Grant/Donor Name and Address:</b>				
National Center for State Courts, Suite 2900, 707 Seventeenth Street, Denver, CO 80202-3429				
<b>7. Grant Period:</b>		<b>From:</b>	<b>To:</b>	
		2/1/2009	2/1/2010	
<b>8. Purpose of Grant:</b>				
A donation to cover a portion of the costs to provide technical services to support the work of the Vermont Commission.				
<b>9. Impact on existing program if grant is not Accepted:</b>				
If we do not accept this donation, the entire grant is in jeopardy. This donation will meet the cash match requirements of the State Justice Institute grant.				
<b>10. BUDGET INFORMATION</b>				
	<b>SFY 1</b>	<b>SFY 2</b>	<b>SFY 3</b>	<b>Comments</b>
	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY</b>	
<b>Expenditures:</b>				
Personal Services	\$21700	\$21700	\$	
Operating Expenses	\$4100	\$4100	\$	
Grants	\$	\$	\$	
<b>Total</b>	\$25,800	\$25,800	\$	
<b>Revenues:</b>				
State Funds:	\$	\$	\$	
Cash	\$0	\$0	\$	
In-Kind	\$0	\$0	\$	
Federal Funds:	\$	\$	\$	
(Direct Costs)	\$	\$	\$	
(Statewide Indirect)	\$	\$	\$	
(Departmental Indirect)	\$	\$	\$	
Other Funds: <i>NESC Cash match</i>	\$10800	\$10,800	\$	in this AA-1 Form
Grant (source SJI)	\$15000	\$15000	\$	see SJI AA-1 Form
<b>Total</b>	\$25,800	\$25,800	\$	
<b>Appropriation No:</b>		<b>Amount:</b>	\$	
	2120000000		\$21600	
			\$	
			\$	
			\$	
			\$	
			\$	
		<b>Total</b>	\$21600	

REC'D MAR 24 2009

**STATE OF VERMONT REQUEST FOR GRANT ACCEPTANCE** (Form AA-1)

**PERSONAL SERVICE INFORMATION**

**11. Will monies from this grant be used to fund one or more Personal Service Contracts?**  Yes  No  
 If "Yes", appointing authority must initial here to indicate intent to follow current competitive bidding. Grant provisions require sole source contract with the National Center for State Courts.

Appointing Authority Name: \_\_\_\_\_ Agreed by: RS (initial)

12. Limited Service Position Information:	# Positions	Title
<b>Total Positions</b>		

**12a. Equipment and space for these positions:**  Is presently available.  Can be obtained with available funds.

**13. AUTHORIZATION AGENCY/DEPARTMENT**

I certify that no funds have been expended or committed in anticipation of Joint Fiscal Committee Approval of this grant:

Signature: <u>Robert Greene</u>	Date: 3/25/09
Title: Acting Court Administrator	

**14. ACTION BY GOVERNOR**

<input checked="" type="checkbox"/> Accepted	<u>[Signature]</u> (Governor's signature)	4/3/09 Date:
<input type="checkbox"/> Rejected		

**15. SECRETARY OF ADMINISTRATION**

<input type="checkbox"/> Request to JFO	<u>[Signature]</u> (Secretary's signature or designee)	3/30/09 Date:
<input type="checkbox"/> Information to JFO		

**16. DOCUMENTATION REQUIRED**

**Required GRANT Documentation**

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Request Memo                           | <input type="checkbox"/> Request Memo                             |
| <input checked="" type="checkbox"/> Dept. project approval (if applicable) | <input type="checkbox"/> Dept. project approval (if applicable)   |
| <input checked="" type="checkbox"/> Notice of Award                        | <input type="checkbox"/> Notice of Donation (if any)              |
| <input checked="" type="checkbox"/> Grant Agreement                        | <input type="checkbox"/> Grant (Project) Timeline (if applicable) |
| <input checked="" type="checkbox"/> Grant Budget                           | <input type="checkbox"/> Request for Extension (if applicable)    |

**End Form AA-1**

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

**Mailing Address:**

109 State Street  
Montpelier, VT 05609-0701



**Telephone:** (802)828-3278

**FAX:** (802)828-3457

**TDD:** (802)828-3234

*Vermontjudiciary.org*

March 24, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find two State of Vermont Request for Grant Acceptance forms and accompanying documentation. Both requests pertain to the Vermont Re-Engineer Court System Project. This grant, which has been awarded by the State Justice Institute, will provide technical services to support the work of the Vermont Commission on Court Operation.

The first AA-1 form is a request to accept the \$30,000 in grant funds awarded by the State Justice Institute. The other AA-1 form is to accept the \$21,600 cash match donation from the National Center for State Courts. The National Center is providing the cash match due to the financial situation in Vermont and because the State Justice Institute requires a cash match for all technical assistance grants. The provisions of the SJI grant require sole source contract with the National Center for State Courts.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in cursive script that reads "Linda Ryea Richard".

Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation

Attachments

/lmrr

SUPREME COURT OF VERMONT  
OFFICE OF THE COURT ADMINISTRATOR  
COURT IMPROVEMENT AND INNOVATION DIVISION

**Mailing Address:**

109 State Street  
Montpelier, VT 05609-0701



**Telephone:** (802)828-3278

**FAX:** (802)828-3457

**TDD** (802)828-3234

*Vermontjudiciary.org*

March 17, 2009

Toni Hartrich, Budget & Management Analyst  
Department of Finance & Management  
109 State St. 5<sup>th</sup> Floor  
Montpelier, VT 05609-0401

Dear Ms. Hartrich:

Attached, you will find a State of Vermont Request for Grant Acceptance form and accompanying documentation. This grant, which has been awarded by the State Justice Institute, will enable the Vermont Judiciary to provide technical services to support the work of the Vermont Commission on Court Operation.

Thank you for your attention to this request. If I can provide any further information, please do not hesitate to contact me.

Sincerely,

A handwritten signature in black ink that reads "Linda Ryea Richard". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

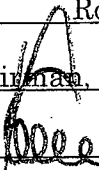
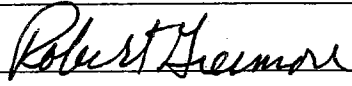
Linda Ryea Richard  
Deputy Director, Court Improvement and Innovation  
Office of the State Court Administrator

Attachments

/lmrr

# STATE JUSTICE INSTITUTE

## AWARD

<input checked="" type="checkbox"/> Grant <input type="checkbox"/> Contract <input type="checkbox"/> Cooperative Agreement		Page <u>1</u> of <u>1</u>
1. Grantee Name and Address Supreme Court of Vermont Office of the Court Administrator 109 State Street Montpelier, VT 05609		3. Award Number SJI-09-T-005
		4. Award Period 2/01/09 – 2/01/10
		5. Award Date 3/13/09
1a. Employer Identification No.	6. Award Amount \$30,000	
2. Entity to Receive Funds	7. Type of Award <input type="checkbox"/> Project Grant <input checked="" type="checkbox"/> Technical Assistance (TA) Grant <input type="checkbox"/> Curriculum Adaptation & Training (CAT) Grant <input type="checkbox"/> Scholarship <input type="checkbox"/> Partner Grant	
2a. Employer Identification No.		
8. Project Title Vermont Re-Engineer Court System Project		
9. Special Conditions ( <i>Check if applicable</i> )  <input checked="" type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached <u>1</u> page(s).		
STATE JUSTICE INSTITUTE APPROVAL		GRANTEE ACCEPTANCE
10. Approving SJI Official Name (typed): <u>Robert A. Miller</u> Title: <u>Chairman, Board of Directors</u> Signature: <u></u> Date: <u>March 13, 2009</u>		11. Authorized Official of Grantee Name (typed): <u>Robert Greemore</u> Title: <u>Acting Court Administrator</u> Signature: <u></u> Date: <u>March 17, 2009</u>

# STATE JUSTICE INSTITUTE APPLICATION

<b>1. APPLICANT</b> a. Applicant Name: Vermont Supreme Court Office of the Court Administrator b. Organization Unit: Court Improvement and Innovation c. Street/P.O. Box : 109 State Street d. City : Montpelier e. State: Vermont      f. Zip Code : 05609-0701 g. Phone Number : 802-828-3278 h. Fax Number : 802-828-3457 i. Web Site Address: www.vermontjudiciary.org j. Name & Phone Number of Contact Person Patricia Gabel 802-828-5946    k. Title : Director l. E-Mail Address: patricia.gabel@state.vt.us	<b>2. TYPE OF APPLICANT</b> (Check appropriate box) <input checked="" type="checkbox"/> State Court <input type="checkbox"/> National organization operating in conjunction with State court <input type="checkbox"/> National State court support organization <input type="checkbox"/> College or university <input type="checkbox"/> Other non-profit organization or agency <input type="checkbox"/> Individual <input type="checkbox"/> Corporation or partnership <input type="checkbox"/> Other unit of government <input type="checkbox"/> Other _____ (Specify) _____
<b>3. PROPOSED START DATE</b> : February 1, 2009	
<b>4. PROJECT DURATION</b> (months) : 12 months	
<b>5. APPLICANT FINANCIAL CONTACT</b> : Same as Applicant a. Organization Name _____ b. Street/P.O. Box _____ c. City _____ d. State _____      e. Zip Code _____ f. Phone Number _____ g. Fax Number _____ h. Web Site Address _____ i. Name & Phone Number of Contact Person _____ _____ j. Title _____ k. E-Mail Address _____	<b>6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION:</b> Source _____ Date Submitted _____ Amount Requested _____ Disposition (if any) or Current Status _____ _____
<b>7. a. AMOUNT REQUESTED FROM SJI</b> \$ 30,000 <b>b. AMOUNT OF MATCH</b> Cash match NCSC      \$ 21,600 Non-cash Match      \$ 0 <b>c. TOTAL MATCH</b> \$ 21,600 <b>d. OTHER CASH</b> \$ <b>e. TOTAL PROJECT COST</b> \$ 51,600	
<b>8. TITLE OF PROPOSED PROJECT</b> : Vermont Re-Engineer Court System Project	
<b>9. CONGRESSIONAL DISTRICT OF:</b> Vermont      Peter Welch <small style="display: block; text-align: center;">Name of Representative; District Number      Project location (if different from applicant location); Name of Representative; District Number</small>	
<b>10. CERTIFICATION</b> On behalf of the applicant, I hereby certify that to the best of my knowledge the information in this application is true and complete. I have read the attached assurances (Form D) and understand that if this application is approved for funding, the award will be subject to those assurances. I certify that the applicant will comply with the assurances if the application is approved, and that I am lawfully authorized to make these representations on the behalf of the applicant.	
_____ SIGNATURE OF RESPONSIBLE OFFICIAL (For applications from State and local courts, Form B - Certificate of State Approval, must be attached)	Director, CII TITLE October 29, 2008 DATE

STATE JUSTICE INSTITUTE

Certificate of State Approval

The Vermont Supreme Court  
Name of State Supreme Court or Designated Agency or Council

has reviewed the application entitled Vermont Re-Engineer Court System Project

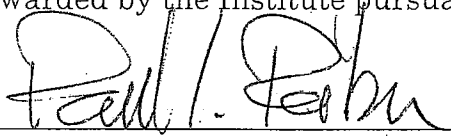
prepared by VT Supreme Court, Office of the Court Administrator  
Name of Applicant

approves its submission to the State Justice Institute, and

agrees to receive and administer and be accountable for all funds awarded by the Institute pursuant to the application.

designates \_\_\_\_\_  
Name of Trial or Appellate Court or Agency

as the entity to receive, administer, and be accountable for all funds awarded by the Institute pursuant to the application.

  
Signature

October 29, 2008  
Date

Paul L. Reiber  
Name

Chief Justice  
Title



SUPREME COURT OF VERMONT  
109 STATE STREET  
MONTPELIER, VERMONT  
05609-0801

CHAMBERS OF  
PAUL L. REIBER  
CHIEF JUSTICE

October 31, 2008

Janice Munsterman  
Executive Director  
State Justice Institute  
1650, King Street, Suite 600  
Alexandria, Virginia 22314

Dear Ms. Munsterman,

Earlier this year, the Vermont Legislature, by statute, requested the Supreme Court to appoint and convene a Commission on Judicial Operation. The Commission is charged with making recommendations on how to achieve efficiencies, while at the same time improving and maintaining the level of court services and public access. The Supreme Court has now appointed the Commission on Judicial Operation in accordance with the statute, and I will serve as Chair of the Commission. Associate Justice Denise Johnson will also serve as a member of the Commission. The Court Administrator has directed Patricia Gabel, Director of Court Improvement and Innovation, to provide internal staffing support to the Commission through the Division of Court Improvement and Innovation.

Our request to SJI comes in the midst of an unusually difficult fiscal climate. In the current fiscal year, state revenue shortfalls required an unexpected and significant budget rescission, in which the Vermont Judiciary withstood a 2.6 percent cut in its current fiscal year budget. This led the Supreme Court to adopt emergency measures to achieve the required savings, including a reduction in the number of hours each week that Vermont courts are open to the public in order to reduce security costs and to cope with staff shortages. We have been led to believe by Executive Branch officials of the State of Vermont that the fiscal situation that led to this budget reduction is not a temporary phenomenon, and that Vermont is facing a long period of limited resources.

The Judiciary is aware that it must re-examine its operations in depth to achieve efficiencies that will enable it to provide appropriate levels of access to justice at the most reasonable cost, given the projected fiscal and demographic outlook. The court cannot

rely on curtailing services, nor can it rely on increasing fees, as this was done to cope with the previous downturn. A more fundamental change is required.

The work of the Commission on Judicial Operation, by the terms of the statute, has both short-term objectives, leading to a report to the Legislature at the beginning of the January 2009 Legislative session, and longer-term objectives to more fundamentally examine the existing problems, frame recommendations, and support the implementation of those recommendations over a longer period. In order to enable the Commission to fulfill its mandate, we will seek on behalf of the Commission to identify partners and resources that will assist the Commission to achieve outcomes that ensure that the people of the State of Vermont will continue to have a Judiciary that provides timely access to justice at reasonable cost and fulfills its constitutional role in our democracy.

While taking the appropriate time to identify the partners and resources best suited to assist us in our work over the long term, we have immediate need of technical assistance to make sure that we have a good beginning. We hope that the grant we are requesting today will serve as a bridge to a more significant project to be identified in the coming weeks and months.

The Vermont Supreme Court requests a technical assistance grant from the State Justice Institute in order to enable us to engage the National Center on State Courts [NCSC] to provide to us technical services that will ensure that the Commission has available to it the most current information about the fiscal situation of other state court systems and about the steps taken by other state court systems to re-engineer their processes and structures to meet a challenging fiscal and political climate. With the support of the grant requested, we will seek from NCSC technical assistance to identify the kinds of data-gathering that will be useful to the Commission, as well as assistance from NCSC in analyzing data that has been gathered and advice on the most effective ways to use this data analysis to provide a factual and economic basis for Commission recommendations to the Legislature.

We are pleased that NCSC will make available at no cost the services of Dan Hall, Vice-President, Court Consulting Services Division, and Tom Clarke, Vice President, Research and Technology Division. These consultants bring us their great knowledge of court operations, their specialized expertise in budgets and technology, and their knowledge and expertise in group process. They will be assisted by staff in the Denver office of NCSC who will array the data collected in Vermont for examination and provide feedback to the Commission. Due to the budget rescission, which resulted in unfilled vacancies in the Office of the Court Administrator, our support staff is asked to cover many responsibilities without adequate resources, and will benefit from this assistance from NCSC.

I recognize that SJI applications require support of the court of last resort. In writing this letter, I certify that the Supreme Court of Vermont supports this proposal (see SJI Form B attached to this letter).

## **NEED FOR FUNDING**

The need for funding is implicit in the content of the application. The courts have already undergone a reduction in the current budget as result of declining revenues and are facing more reductions in the future, as the demographic and economic indicators point to ongoing budgetary levels below what the state agencies have enjoyed in recent years. There is simply no money available for expenditures on the consulting services we need to make our business processes more efficient.

## **PROJECT DESCRIPTION**

The overall purpose of the project is to develop strategies and legislative recommendations for reengineering the business processes of the Vermont court system to permit the judiciary to carry out its mission in the face of serious resource limitations. One of the vehicles for strategic planning is the Commission on Judicial Operation that has been appointed by the Supreme Court pursuant to legislation. The Division of Court Improvement and Innovation of the Court Administrator's Office will staff the Commission, and the various Divisions of the Court Administrator's Office will assist with data gathering and analysis in their respective fields of responsibilities, focusing on the areas specified in the legislation: (1) consolidation of staff and consolidation of staff functions across courts in individual counties and statewide; (2) regionalization of court administrative functions, both those now performed at the state level and county level; (3) use of technology, including video technology, to reduce expenditures while maintaining quality of adjudication; (4) flexibility in use of resources to respond to the demands on the judiciary overall and particularly in instances where demand changes; (5) reallocation of jurisdiction between courts, consistent with effective and efficient operation; and (6) any other ideas for efficient and effective delivery of judicial services.

The legislation requires that the Commission file a report on or before January 15, 2009, on consolidation of staff and staff functions. The NCSC has informed Patricia Gabel that, although grant money will not be available until 2009, they will be able to provide earlier help to the Commission as the Chair may request through the services of Dan Hall or Tom Clarke and their Denver staff. The grant-funded assistance from NCSC will be rendered in 2009 and related to the Commission work plan in terms of chronology.

The Commission is called upon to address fundamental changes with great ramifications for the judiciary, the justice system, and the public. It is essential that the Commission identify and prioritize options for change and develop a strategic approach. We hope to benefit from the special knowledge of NCSC consultants regarding effective group process and the fiscal, organizational, operational, and technological aspects of making changes in the way courts deliver their services. This project is the means by which the Commission will be able to seek advice and services from NCSC as we develop our work plan. The NCSC staff support will be organized as follows:

- Dan Hall and Tom Clarke will be available to attend Commission meetings and provide recommendations on how to categorize capabilities and internal processes to effectuate these capabilities, formulate options, select strategies, aggregate data

germane to Commission decisions, identify the processes that are most costly, and develop a plan for systemic change that will make the more costly processes cost effective.

- John Douglas, a Senior Court Management Consultant, will serve as liaison on data collection and will direct Denver staff that will array data received from Vermont in an analytical format for review by Dan Hall and Tom Clarke. This review will permit Dan Hall and Tom Clarke to better assist the Commission to formulate and present its recommendations to the Legislature.

## **WORK PLAN**

The NCSC will perform four tasks to execute the project.

### **Task 1 – Pre-grant Assistance to Commission**

The NCSC will provide some limited help without cost to Vermont in the period November and December of 2008. This will primarily take the form of assisting the Commission to address the legislative mandate on consolidation of staff and staff functions. The NCSC is available to provide some limited staff assistance if requested by the Chair and will assist in identifying similar consolidations in other states and pertinent legislation. The NCSC will also be available to provide advice on how the Commission could optimally organize its functions and activities. This may involve subcommittee roles and timelines for reporting to the Commission, the best use of Commission time, and support for staff. The establishment of goals and a work plan are other early considerations. The areas of analysis are, to a large extent, set forth in the legislation.

### **Task 2 – Attendance at Commission Meetings**

An NCSC consultant will be present at six meetings during 2009 and will serve in capacities requested by the Chair. If there are more than six meetings in 2009, the Chair will determine with NCSC the meetings where NCSC assistance will be most beneficial.

NCSC has observed that the nature and purpose of each meeting will vary as the Commission progresses toward its final set of recommendations and its strategic plan for implementing fundamental change. The initial meetings will normally be used to organize a data collection approach pertaining to possible change areas specified in the legislation. NCSC will provide advice and assistance on how to identify options for restructuring delivery systems, redesigning business processes, and expanding the use of technology. Often, options are identified by soliciting ideas from system participants. It has been the experience of NCSC that this is usually best done through focus groups for more knowledgeable participants. There is citizen representation on the Commission.

NCSC will also provide advice and assistance in prioritizing functions to provide the highest levels of access and service statewide at the lowest possible cost and will assist in evaluating proposed options. This process normally narrows feasible options to a small number. Typically, a Commission or Committee focuses on changes that can be made over the short term, but it may be that the outlines of a reconfigured court system will emerge and be the target for more fundamental change than is feasible in the short term.

It is common for a visionary agenda to be developed to complement more immediate changes.

### **Task 3 - Data Assimilation and Analysis**

The NCSC, through Tom Clarke and Dan Hall, will assist the Chair and staff in determining what data to collect and how. The NCSC will also provide staff analysts in its Denver Office to assist the Commission and its staff to organize data in an analytical format, including graphics, for review by Tom Clarke and Dan Hall. The organized data with accompanying analytical comment will be fed back to the Commission and staff. John Douglas of NCSC will work closely with staff in determining how Denver staff can be most helpful in supplementing the work of Vermont's staff.

### **Task 4 - Assistance with Final Report with Legislative Recommendations**

NCSC will provide recommendations about the content of the final report and legislative recommendations based on its experience in court operations, strategic planning, reengineering, court budgeting and staffing, and technology. NCSC's recommendations will contain a methodological section that can serve as a guide for jurisdictions that are organizing themselves to effect major changes that will enable them to provide services more cost effectively.

## **TIMELINE**

Given the supportive nature of NCSC assistance, the timeline will be keyed to that of the Commission. The consultants will be available in 2009 for six visits keyed to Commission meetings, as yet unscheduled. Staff support from the NCSC will be available in 2009 within the parameters set in the project budget. As NCSC staff assistance is supplementary, it will be related to the timing of tasks determined by the Commission and its staff.

## **END RESULT AND REPLICATION**

The fiscal situation in Vermont is not unique. Many states are facing a similar budgetary scenario. The solutions in Vermont may or may not lend themselves to replication in a different environment, but the process used for organizing and executing a statewide reengineering effort will serve the needs of state-funded systems in small and medium size court systems. Basically, the process is a strategic planning exercise focused on structure and governance changes, reengineered workflow in an electronic environment, staffing level based on norms of efficiency, and legislative and court policy reforms.

The main substantive result of the project will be set of recommendations with an implementation plan for effecting systemic changes and a detailed methodological section that would be helpful to any jurisdiction undertaking a similar process.

## **LIKELIHOOD OF IMPLEMENTATION**

The likelihood of implementation is high because the project is driven by necessity and because the three branches of government are united in the quest for efficiency. The

Legislature has requested statutory recommendations and has indicated that it will be receptive to the Commission's ideas. The executive branch will be represented on the Commission, as will the Legislature.

**QUALIFICATIONS**

**Corporate Qualifications**

The NCSC performs operational audits in a broad variety of court environments and has been involved in a variety of reengineering studies, most recently in Minnesota where Tom Clarke and Dan Hall facilitated meetings of an Access and Services Delivery Committee charged with reengineering the Minnesota court system and, with the help of NCSC staff, in Denver assisted the Committee in formulating a long-range plan for court system redesign and implementing immediate steps toward the new vision. Other recent examples of reengineering studies are noted below:

Client	Year	Service Provided
New Hampshire Administrative Office of Courts	2005	Statewide business process enhancement (reengineering and improvement) analysis and facilitation of plan development with representatives of all trial court levels (superior, district, family and probate).
Mesa, Arizona Municipal Court	2006	Public accountability framework, business process workflows, and information technology review.
Milwaukee, Wisconsin Circuit Court	2006	Efficiency study.
Guam Administrative Office	2005	Review of management practices, judicial workload, and personnel efficiencies.

The NCSC provides large-group facilitation services in a number of settings - most commonly in recent years on working with specific courts to define performance measures to effectuate *Trial Court Performance Standards* or *Appellate Court Performance Standards and Measures*. The NCSC has facilitated the development of performance measurement for the Supreme Court of Oregon and the Supreme Court of Montana. The NCSC facilitated the strategic planning for the court system (appellate and trial courts with top managers included) in the Commonwealth of the Northern Marianas Islands. Other examples of facilitation are:

- Facilitation of strategic development of the proposed unified family court in the Missouri Twenty Second Judicial Circuit (St. Louis).
- Planning assistance and facilitation of a statewide summit to develop a strategic approach that would permit Tennessee courts to handle pro se cases more fairly effectively and efficiently.

**Staff Qualifications**

**Dan Hall** is skilled in large group facilitation and court budgeting, as recently illustrated by his work on reengineering in Minnesota. Prior to becoming a Vice-President of NCSC, he was the Director for the Division of Planning and Analysis at the Colorado Judicial Department where, with a staff of 20, he managed the planning program for the Judicial Branch of State government and developed and implemented, with the Financial Services Division, the Judicial Branch's annual \$240 million budget and served as the Department's legislative liaison. As Vice President of the NCSC, he has been lecturer and presenter at major court conferences and has provided a variety of consulting services that illustrate his knowledge of court operations and his ability to work with court leaders in every aspect of court activity. Examples of his consulting experience with NCSC and before are listed below.

- Developed court performance measures for trial courts and appellate courts (2004-present).
- Workload assessment and court performance projects in California (2000-2002) and Minnesota (2002).
- Workload assessment and court performance projects in Florida (1999-2000) and Delaware (2000).
- Facilitated the South Dakota Court Administrator's Office with the development of a staffing model (1998).
- Assisted the Michigan Court Administrative Office in developing a formula to distribute the Court Equity Fund to local courts (1997).
- Assisted the Kentucky State Court Administrator's Office (SCAO) and Court Clerk's Association in developing a staffing model for local courts (1997).
- Assisted the Utah SCAO in developing budget and allocation procedures (1996-97).
- Advised Kansas SCAO on management information systems (1996).
- Advised the North Carolina Supreme Court on long-range planning (1996).
- Conducted a long-range planning seminar for the North Carolina Court Administrators Office (1995).
- Advised the Nevada Supreme Court's Commission on the Future of the Courts about workload management and long-range planning (1994).
- Faculty, American Judicature Society's conference on long-range planning (1993).
- Presentation, "The Future of the Courts in the United States," United States 8<sup>th</sup> District Court (1992).
- Consulted with the Arizona Supreme Court on the design of a Judicial Evaluation Program (1991).
- Developed an econometric forecast model for the Oregon State courts (1989).

**Tom Clarke** is the NCSC Vice President who heads the Research and Technology Division, a dual responsibility that is suited to his background in information technology and his research experience. He holds a Ph.D. in economic development from Cornell University and has at various stages in his long career served as a researcher or director of research. Prior to joining the NCSC in 2005, he was Director, Information Services, Washington Administrative Office of the Courts, Olympia, Washington (1999 to 2005)

where he managed statewide court case management systems for 3000 users on four court levels and managed a staff of 120 and a budget of \$42 million. He led a business process reengineering effort and case management system development project. Prior to his IT role he was Research Manager, Administrative of the Courts (1996-1999) where he carried out studies on court operations and judicial staffing and analyzed business tradeoffs for major application development projects.

He, like Dan Hall, is accustomed to working with large groups to achieve consensus on issues. He is charged with developing national court strategies focused on key business problem and facilitating key initiatives for the court community. The length and breadth of his experience is illustrated below:

- Court experience (10 years)
- Government experience at international, federal and state levels (20 years)
- International consulting and teaching experience (5 years)
- Research experience (30 years)
- IT experience (26 years)
- Interdisciplinary training in anthropology, economics, politics, and IT

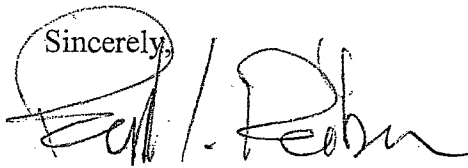
**John Douglas** is a senior member of the NCSC consulting staff who has had responsibility for analyzing many courts, in particular court clerical offices. He has participated in or led consulting projects involving workflow, process improvement, resource management, and technology in courts of general and limited jurisdiction. He has worked in a number of locally funded court systems and has dealt with a variety of human resources issues. He has directed projects involving classification and compensation plans, most recently for the magistrate courts of Virginia. He is an experienced project director who has performed operational reviews in many court systems, among them: Galveston (TX) Municipal Court; Salt Lake City (UT) Justice Court; Dallas (TX) Municipal Court; Nebraska Fourth Judicial District Court (Omaha); and Seattle (WA) Municipal Court.

## **BUDGET AND MATCHING STATE CONTRIBUTION**

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600. A budget narrative and Form E is attached. This cost includes professional and administrative time, travel, and indirect costs for the project.

We are confident that this project will be very beneficial to the Vermont Judiciary and to the people of Vermont. We would appreciate your consideration of our application.

Sincerely,



Paul L. Reiber, Chief Justice



(Form E)

**STATE JUSTICE INSTITUTE**

**LINE-ITEM BUDGET FORM**

For Curriculum Adaptation and Training and Technical Assistance Grant Requests\*

<u>Category</u>	<u>SJI Funds</u>	<u>Cash Match</u>	<u>In-Kind Match</u>
Personnel	_____	_____	_____
Fringe Benefits	_____	_____	_____
Consultant/Contractual	\$21,800	\$21,600	_____
Travel	\$8,200	_____	_____
Equipment	_____	_____	_____
Supplies	_____	_____	_____
Telephone	_____	_____	_____
Postage	_____	_____	_____
Printing/Photocopying	_____	_____	_____
Audit	_____	_____	_____
Other	_____	_____	_____
Indirect Costs (%)	_____	_____	_____
<b>TOTAL</b>	\$30,000	\$21,600	_____
<hr/>			
<b>PROJECT TOTAL</b>	\$51,600		

## BUDGET NARRATIVE

The total cost of the project is \$51,600. The Supreme Court of Vermont is requesting \$30,000 in SJI funds. Due to the financial situation in Vermont, the National Center for State Courts will provide a cash match of \$21,600.

The budget is based on the following:

Total Budget	\$51,600
SJI Request	\$30,000
National Center for State Courts Cash Match	\$21,600
Consulting Personnel Costs	\$43,400
Travel	\$8,200

### I. Cash Match Breakdown

The National Center for State Courts will pay for the time of Dan Hall or Tom Clarke at each of the Commissions meetings; 6 meetings with an estimated 3 days including travel time at each meeting. Consulting cost for either Mr. Hall or Mr. Clarke is \$1200 per day. ( $1200 \times 6 \times 3 = \$21,600$ ).

### II. Consulting Costs

24 consulting days are allotted for this project for the project coordinator and analysts to assist Mr. Hall, Mr. Clarke and Vermont in the review, analyses and compilation of the data. Time is also included to assist in writing the recommendations and reviewing as needed.

### III. Travel

6 Trips, 1 consultant                      3 days including travel time, 2 nights per consultant

(Federal per diem guidelines are used as NCSC travel policies)

## NATIONAL CENTER FOR STATE COURTS

DANIEL J. HALL

*Vice President for Court Consulting Services*

djhall@ncsc.dni.us

### EDUCATION

**Senior Executive Refresher Program, University of Colorado, 1989**

**Rocky Mountain Senior Executive Program, University of Colorado, 1982**

**M.P.A., University of Colorado, Finance and Policy Analysis, 1977**

**B.A., University of Colorado, Sociology, 1972**

### EMPLOYMENT EXPERIENCE

*National Center for State Courts, Court Consulting Services*

**Vice-President**

Denver, Colorado, August 2001-present.

Responsible for the development, coordination and execution of all consulting work and the provision of technical assistance to the nation's courts through the National Center which is headquartered in Williamsburg, Virginia. Supervises a professional and administrative staff ranging in size from 16 to 22 in three separate geographical locations in the United States.

**Consultant**

Denver Colorado 1989 to July 2001.

Consulted on projects in conjunction with the National Center for State Courts.

### *International Projects*

- Developed and established the International Framework for Court Excellence in which twelve countries from Southeast Asia and judicial representatives from 28 countries from around the world attended or were presented with the material (2008).
- Developing an international framework to assess court performance with the Subordinate Courts of Singapore, the European Judicial Council, the Australian Institute of Judicial Administration, and the Federal Judicial Center (2007).
- Faculty on the Inaugural Regional Symposium on Court Administration Sponsored by the Subordinate Courts of Singapore. Singapore, Singapore (2006).
- Spoke on the *Importance of Judicial Independence and Accountability* to Spain's General Council of the Judiciary. Madrid, Spain (2004).
- Participated in the Second Inter-American Seminar on *Judicial Management: Information in the Service of Judicial Governance* sponsored by the Justice Studies Center of the Americas (JSCA-CEJA). San Juan, Costa Rica (2003).
- Participated in the South American International Seminar on *the Experiences of Judicial Management Reform* sponsored by the Justice Studies Center of the Americas (JSCA-CEJA). Santiago, Chile (2002). Publication: *Professional Court Administration: The Key To Judicial Independence.*

- Directed a strategic planning session on Caseflow Management for the Bulgarian Supreme Judicial Council sponsored by the USAID Judicial Development Project. Sophia, Bulgaria (2002).
- Performed an organizational assessment of the Bulgarian court system for the USAID Judicial Development Project. Sophia, Bulgaria (2001). Report: *Policy Analysis: A National Court Administration for Bulgaria: The Institutional Framework and the Administrative Needs of the Supreme Judicial Council.*

### ***Highlights of NCSC Projects***

- Conducted a session at the Western COSCA on *Meeting Judicial Responsibilities in Hard Times* (2008).
- Developed the widely applauded *CourTools*; a ten-measure guide to integrate the major performance areas defined by the Trial Court Performance Standards and public-and-private-sector performance measurement systems (2005-present).
- Developed court performance measures for trial courts and appellate courts (2004-present).
- Workload assessment and court performance projects in California (2000-2002) and Minnesota (2002).
- Workload assessment and court performance projects in Florida (1999-2000) and Delaware (2000).
- Facilitated the South Dakota Court Administrator's Office with the development of a staffing model (1998).
- Assisted the Michigan Court Administrative Office in developing a formula to distribute the Court Equity Fund to local courts (1997).
- Assisted the Kentucky State Court Administrator's Office (SCAO) and Court Clerk's Association in developing a staffing model for local courts (1997).
- Assisted the Utah SCAO in developing budget and allocation procedures (1996-97).
- Advised Kansas SCAO on management information systems (1996).
- Advised the North Carolina Supreme Court on long-range planning (1996).
- Conducted a long-range planning seminar for the North Carolina Court Administrators Office (1995).
- Advised the Nevada Supreme Court's Commission on the Future of the Courts about workload management and long-range planning (1994).
- Faculty, American Judicature Society's conference on long-range planning (1993).
- Presentation, "The Future of the Courts in the United States," United States 8th District Court (1992).
- Consulted with the Arizona Supreme Court on the design of a Judicial Evaluation Program (1991).
- Developed an econometric forecast model for the Oregon State courts (1989).

### ***Previous Professional Positions***

**Director, Division of Planning & Analysis, Colorado Judicial Department,**  
1981 to 2001

With a staff of 20, managed the planning program for the Judicial Branch of State government. Developed and implemented, with the Financial Services Division, the

Judicial Branch's annual \$240 million budget. Approved and controlled the allocation of 1,624 trial courts and 610 probation employees. Served as the Department's legislative liaison. Established system-wide goals and objectives for the courts and probation. Designed and managed programs to achieve those objectives. Set workload and performance standards for court and probation personnel. Oversaw the Department's management information systems. Directed the Department's management, operations and evaluation research efforts. Directed the Office of Probation Services' Probation departments throughout the state and supervised over 40,000 adult and juvenile offenders. Served for two years as the acting Human Resource Director. Also served as the Executive Director, Chief Justice's Judicial Advisory Council; Executive Director, State Commission on Judicial Performance; and Executive Director, Chief Justice's Technology Steering Committee.

**Adjunct Professor, University of Denver College of Law, MSLA Program**

1993 to Present

Responsibilities include teaching courses in Social Science Research, Strategic Planning, and Leadership. Serving as a member of a task force which designed a new joint graduate degree program between the College of Law and the Daniels Business School, and led faculty efforts to design curriculum for the joint degree.

**Policy Analyst, Colorado Department of Regulatory Agencies**

1977 to 1981

Assisted the Executive Director in executing that office's management oversight responsibilities over various regulatory agencies including the Public Utilities Commission, the Division of Insurance, the Securities Division and numerous occupational licensing boards. Conducted management and policy research, analyzed and drafted legislation and served as the Department's legislative liaison.

**Supervisor, Quality Control Department, Mathematica Policy Research**

1974 to 1977

Was responsible for the accuracy, organization and clarity of the socioeconomic data derived from the \$39 million Denver Income Maintenance Experiment (DIME), in addition to supervising 10 analysts and 25 data collectors, negotiated union contracts and served as the liaison with the Stanford Research Institute.

**PROFESSIONAL MEMBERSHIPS**

- Member, National Association of Court Managers.
- Past Member, Governor's Community Corrections Advisory Council.
- Past Member, Conference of State Court Administrator's Court Statistics Committee.
- Member, University of Denver, College of Law, Legal Management Institute Advisory Board.
- Past Director, Colorado Total Compensation Commission, responsible for administering the State's compensation and insurance benefit program for 36,000 employees (Elected).
- Past Director, State Employees and Officials Group Insurance Board (Elected).

- Past Director, Colorado State Employee Credit Union.
- Past Member, Governor's Commission on the Colorado Children's Code.

## NATIONAL CENTER FOR STATE COURTS

**Thomas M. Clarke**

*Vice President, Research & Technology*

### EDUCATION

Ph.D. Economic Development	Cornell University	1981
M.A. Economic Anthropology	Cornell University	1979
B.A. Economics	Washington State University	1976
B.A. Anthropology	Washington State University	1976

### EXPERIENCE SUMMARY

- Court experience (10 years)
- Government experience at international, federal and state levels (20 years)
- International consulting and teaching experience (5 years)
- Research experience (30 years)
- IT experience (26 years)
- Interdisciplinary training in anthropology, economics, politics, and IT

### EXPERIENCE

#### Current Responsibilities at the National Center for State Courts

**Vice President, Research & Technology** (2005 to present).

Manage staff of court research and technology consultants. Develop national court strategies focused on key business problems. Facilitate key initiatives for the court community. Manage 30 staff and budget of \$6 million.

### PREVIOUS PROFESSIONAL EXPERIENCE

**Director, Information Services**, Administrative Office of the Courts, Olympia, WA (1999 to 2005)

Managed statewide court case management systems for 3000 users on four court levels. Led business process reengineering effort and case management system development project. Manage 120 staff and budget of \$42 million.

**Research Manager**, Administrative of the Courts, Olympia, WA (1996-1999)

Carried out studies on court operations and judicial staffing. Analyzed business tradeoffs for major application development projects. Conducted program evaluations.

**Research Analyst**, Washington State Department of Health, Olympia, WA (1995-1996)  
Performed special public health studies on chronic disease. Prepared data reports and deliver technical briefings. Designed and managed data systems. Responded to requests for information and data.

**Decision Support Analyst**, Clarke Consulting, Shelton, WA (1993-1995)  
Provided consulting services to government agencies in decision support systems, economic analysis and project management. Advised on quality control programs and data analysis.

**Supervisory Research Analyst**, U.S. Department of Defense, Dugway, UT (1991-1993)  
Managed research program on technical support and evaluation for the U.S. delegation to the Chemical Warfare Treaty. Executed research and testing projects to evaluate military doctrine and equipment. Prepared technical reports and deliver periodic project briefings. Managed project to create online library search and document retrieval system.

**Operations Research Course Director**, U.S. Department of Defense Petersburg, VA (1989-1991)

Taught economic analysis, decision analysis, project management and statistics to national and international students. Consulted on special projects, e.g. evaluation of most cost-effective delivery modes for educational systems and computer support networks. Maintained computerized classroom and LAN.

**Statistician**, U.S. Department of Defense, Tooele, UT (1985-1989)

Direct technical data collection and analysis contract. Design management decision support systems and custom database systems. Designed and implemented quality control systems. Prepared and delivered data analyses and project briefings and reports. Managed departmental computer systems. Designed Ethernet LAN. Unix system administrator. Wrote and maintained strategic plan for computer systems.

**Research Fellow**, Graduate Institute of International Studies, Geneva, Switzerland (1981-1984)

Led Swiss government grant team to develop economic and political policy models. Prepared and delivered policy briefing papers and talks on economic, military and political issues. Developed computer models and data analyses to support policy decisions. Co-taught graduate courses in International Political Relations and Statistics to international students. Backup system administrator.

## **INTERNATIONAL CONSULTING**

**Senior Analyst**, MSI, Washington D.C. (2004)

Court administration and automation expert on U.S. Agency for International Development team performing 30 day assessment of the Egyptian criminal court system.



**Lead Researcher**, Graduate Institute for International Studies, Geneva, Switzerland (1981-1984)

Led research team that developed a crisis simulation model and policy analyses under a grant from the Swiss federal government.

#### **COMMITTEE MEMBERSHIPS**

National Information Exchange Model

Executive Steering Committee

Global Justice Information Sharing Initiative

Infrastructure/Standards Working Group (chair)

GJXDM Training and Technical Assistance Committee (chair)

OASIS Electronic Filing Technical Committee (co-chair)

OASIS XML Integrated Justice Technical Committee

#### **AWARDS**

**Fulbright Fellowship** to study the interaction between regional economic and political systems in Switzerland (1979-80)

#### **PUBLICATIONS and PAPERS**

4 publications

6 major technical reports

Numerous conference papers

#### **FOREIGN LANGUAGES**

German

## **NATIONAL CENTER FOR STATE COURTS**

**JOHN DOUGLAS**

*Senior Court Management Consultant*

### **PROFILE**

Participates or leads consulting projects involving workflow, process improvement, resource management and technology in courts of general and limited jurisdiction. Works with court personnel to assess, design, document, and re-engineer workflow, business operations, and communications. Assists in the development of technical projects that effectively address current and emerging technologies. Expertise includes: Resource allocation, judicial and clerk resource needs, and workflow analysis.

### **EDUCATION**

Graduate Institute for Court Management, Fellow, 2007

Justice Information Exchange Model Program Certificate, 2004

George Meany Center, Arbitration & Labor Relations Education, 1986

B.B.A., Texas State University, Economics, 1981

### **PROFESSIONAL EXPERIENCE**

Since joining the NCSC in 1997, he has specialized in staffing/workload assessment projects to determine the need for the appropriate number for judge and clerk staff. He has completed staffing/workload assessment projects in 12 states and Puerto Rico. As a result, Mr. Douglas has developed expertise in court organization, information exchange and management and is certified by SEARCH on the Justice Information Exchange Model (JIEM). He also has extensive experience in alternative dispute resolution, caseload and calendar management, process improvement/ workflow, and human resources.

### **HIGHLIGHTS OF NCSC PROJECTS**

- Municipal Court Operational Review, Galveston, TX
- Municipal Court Business Process Analysis, Dallas, TX
- Fourth Judicial District Court Analysis, Nebraska
- Municipal Court Business Process Analysis, Seattle, WA
- Business Process Analysis, Lehigh County, PA
- Family and Juvenile Court Assessment, Puerto Rico
- Judicial Workload Analysis, Maryland
- Judicial Workload Analysis, Puerto Rico
- Judicial Workload Analysis, Maine
- Judicial Workload Analysis, North Carolina
- Judicial Workload Analysis, Iowa
- Judicial Workload Analysis, Wyoming
- Judicial Workload Analysis, Tennessee
- Judicial Workload Analysis, 8<sup>th</sup> Judicial District, Nevada
- Judicial Workload Analysis, Georgia
- Judicial Workload Analysis, North Dakota

- Judicial Workload Analysis, South Dakota
- Judicial Workload Analysis, Guam
- Judicial Workload Analysis, Salt Lake City Utah
- Clerical Staff Workload Analysis, New Mexico
- Clerical Staff Workload Analysis, New Hampshire
- Clerical Staff Workload Analysis, Oregon
- Clerical Staff Workload Analysis, North Dakota
- Clerical Staffing Model, California
- Clerical Staffing Model, Salt Lake City, Utah

#### **PRESENTATIONS**

- Institute for Court Management Training: "Customer Service in the Courts,"  
Territorial Courts of the Virgin Islands, 2005

#### **PUBLICATION**

- Examination of NCSC Workload Assessment Projects and Methodology: 1996 –  
2006., (Principal author, 2007)