



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: James Reardon, Commissioner of Finance & Management
From: Nathan Lavery, Fiscal Analyst
Date: November 18, 2010
Subject: JFO #2464, #2468, #2469

The following items were approved for acceptance at the November 15, 2010 Joint Fiscal Committee meeting:

JFO #2464 — \$365,000 grant from the U.S. Department of Justice to the Department of Corrections (DOC). These funds will allow DOC to develop and operate Circles of Support and Accountability (COSAs) for 24 high risk offenders reentering the community during the grant period.
[JFO received 10/07/10]

JFO #2468 — \$1,000,000 grant from the U.S. Department of Health and Human Services to the Department of Vermont Health Access. This grant will be used to help determine if a health insurance exchange should be established in Vermont, and to support the planning activities for the development of an exchange. One (1) limited service position is associated with this request.
[JFO received 10/28/10]

JFO #2469 — \$50,000 grant from the State Justice Institute to the Judiciary. This grant will support the strategic planning process focused on the legislatively-approved judicial restructuring and unification project.
[JFO received 11/5/10]

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: Andrew Pallito, Commissioner
Susan Besio, Commissioner
Robert Greemore, Court Administrator



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: November 5, 2010
Subject: Grant Request

Enclosed please find one (1) request that the Joint Fiscal Office has received from the administration.

JFO #2469 — \$50,000 grant from the State Justice Institute to the Judiciary. This grant will support the strategic planning process focused on the legislatively-approved judicial restructuring and unification project. **Expedited review of this item has been requested. Joint Fiscal Committee members will be contacted by November 15 with a request to waive the statutory review period and accept this item.**

[JFO received 11/5/10]

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) if you have questions or would like an item held for Joint Fiscal Committee review.

cc: James Reardon, Commissioner
Robert Greemore, Court Administrator

SUPREME COURT OF VERMONT
OFFICE OF THE COURT ADMINISTRATOR

Robert Greemore
Court Administrator
bob.greemore@state.vt.us

Patricia Gabel, Esq., Director
Court Improvement & Innovation
patricia.gabel@state.vt.us

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

Renny Perry, Director
Trial Court Operations
renny.perry@state.vt.us

Telephone: (802) 828-3278
FAX: (802) 828-3457
TDD: (802) 828-3234
Website: *www.vermontjudiciary.org*

Robert Yergeau, Director
Research & Information Services
robert.yergeau@state.vt.us

Carol Harrison, Director
Financial Operations
carol.harrison@state.vt.us

November 5, 2010

Representative Michael Obuchowski
Chair, Joint Fiscal Committee
State House
Montpelier, VT 05602

Dear Representative Obuchowski,

The Judiciary requests an expedited review process of a State Justice Institute grant entitled "Superior Court Planning Project Grant". We make this request because we recognize we cannot make commitments or spend money in anticipation of the grant being approved. It is our understanding the grant has been signed by the Governor and has been sent to Nathan Lavery of your staff.

Under Act 154 regarding restructuring of the Judiciary, the roles of Presiding Judge and Superior Court Clerk have been redefined. The State Justice Institute Grant is designed to assist the new presiding judges and superior court clerks to develop a management team for their respective court units. The grant hires a nationally known expert in local court planning and team building to establish, advise, review, critique and develop implementation strategies for court performance plans and measures in the restructured units.

Because of our need to quickly improve court services and find efficiencies in order to meet our restructuring objectives, we tentatively scheduled and planned the opening training and discussion for November 18th. We needed to schedule this date well in advance because of the need to allocate judge time for this purpose. [The courts schedule judges several months in advance.]

I believe this project will create a systematic approach to evaluating the inventory of court cases, placing appropriate emphasis on when cases should

be heard in what order of priority, among other court management concerns that will be addressed.

We received notification of the award in late September and submitted our AA-1 mid-October. The AA-1 was returned to us by the Administration in late October in order to supplement the information provided before presenting it to the Governor for signature who happened to be out-of-state anyway. We resubmitted the grant, the next day and were notified the Governor signed the AA-1 on November 3rd and that it has been submitted to the Joint Fiscal Committee.

I am concerned that due to the changed timing, the training scheduled for November 18th is in jeopardy. The State Justice Institute has been very supportive of our efforts to restructure the Judiciary, which they have termed as innovative and ahead of any other restructuring effort in the country.

The Judiciary requests the grant qualify for an expedited review or, possibly, the grant be placed on the agenda of the next Joint Fiscal Committee meeting for approval that is tentatively scheduled for November 15th. I will be available to present the grant and answer any questions.

Thank you,

Bob Greemore
Court Administrator

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

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

Agency of Administration

STATE OF VERMONT
FINANCE & MANAGEMENT GRANT REVIEW FORM

| | | | | | |
|---|--------------|---|-----------------------------|--|-------------------------------|
| Grant Summary: | | This grant will allow the Judiciary to contract with a consultant to facilitate strategic planning needed to make the restructuring and unification of the Superior Court a reality. There is a lot of communication and coordination needed between presiding judge and superior court clerk for the successful transition to the new court structure. | | | |
| Date: | | 10/20/2010 | | | |
| Department: | | Judiciary | | | |
| Legal Title of Grant: | | Vermont Superior Court Planning Project | | | |
| Federal Catalog #: | | | | | |
| Grant/Donor Name and Address: | | State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | |
| Grant Period: | | From: | To: | | |
| | | 10/1/2010 | 10/1/2011 | | |
| Grant/Donation | | \$50,000 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$39,178 | \$10,822 | \$ | \$50,000 | SFY 1 in this case is SFY2012 |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | There is a \$25,000 cash and in-kind match for this grant which brings project total cost to \$75,000. | | | |
| Department of Finance & Management | | 10/25/10 | | (Initial) | |
| Secretary of Administration | | TP | | (Initial) | |
| Sent To Joint Fiscal Office | | 11/3/10 | | <div style="border: 2px solid black; padding: 5px; text-align: center;"> RECEIVED NOV 05 2010 JOINT FISCAL OFFICE </div> | |

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

| BASIC GRANT INFORMATION | | | | |
|--|---|-----------------|--------------|-----------------|
| 1. Agency: | Judiciary | | | |
| 2. Department: | Office of the Court Administrator | | | |
| 3. Program: | Office of the Court Administrator, Division of Court Improvement and Innovation | | | |
| 4. Legal Title of Grant: | Vermont Superior Court Planning Project | | | |
| 5. Federal Catalog #: | | | | |
| 6. Grant/Donor Name and Address: | | | | |
| State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | | |
| 7. Grant Period: | From: | 10/1/2010 | To: | 10/1/2011 |
| 8. Purpose of Grant: | | | | |
| The Vermont Judiciary is going through a legislatively approved restructuring and unification that is expected to save long term tax dollars and allow efficiencies in the management of all dockets and resources in all courts. For the first time, the presiding judge and superior court clerk need to work together to develop and utilize court resources for the entire unit while moving each unit's case load. Strategic planning is necessary to form teams and expectations between the judge and the clerk. This grant will provide a consultant to facilitate this process. | | | | |
| 9. Impact on existing program if grant is not Accepted: | | | | |
| The need is great. The expertise and assistance we need to successfully plan for and transition through this consolidation and restructuring will not be realized if this grant is not accepted. | | | | |
| 10. BUDGET INFORMATION | | | | |
| | SFY 1 | SFY 2 | SFY 3 | Comments |
| Expenditures: | FY 2011 | FY 2012 | FY | |
| Personal Services | \$50,478 | \$16,822 | \$ | |
| Operating Expenses | \$6,700 | \$1,000 | \$ | |
| Grants | \$ | \$ | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Revenues: | | | | |
| State Funds: | | | | |
| Cash | \$3,000 | \$2,000 | \$ | |
| In-Kind | \$15,000 | \$5,000 | \$ | |
| Federal Funds: | | | | |
| (Direct Costs) | \$ | \$ | \$ | |
| (Statewide Indirect) | \$ | \$ | \$ | |
| (Departmental Indirect) | \$ | \$ | \$ | |
| Other Funds: | | | | |
| Grant (source SJI) | \$39,178 | \$10,822 | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Appropriation No: | | Amount: | \$50,000 | |
| | | | \$ | |
| | | | \$ | |

REC'D OCT 19 2010

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

| | | | |
|--|--|--------------|----------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | Total | \$50,000 |

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: The contractor has already worked with the courts and therefore has a known rapport with the courts and an established track record. The contractor has been agreed to by the funding source, and the contractor has established credibility and knowledge in the field with our courts and the funder and as a result, creates economies of scale, see page 2 of the grant narrative. Agreed by: RS (initial)

| 12. Limited Service Position Information: | # Positions | Title |
|---|-------------|-------|
| | | |
| | | |
| | | |
| | | |
| Total Positions | | |

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

13. AUTHORIZATION AGENCY/DEPARTMENT

| | | |
|--|-----------------------------------|-----------------------|
| I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable): | Signature: <u>Robert Heleure</u> | Date: <u>10/19/10</u> |
| | Title: <u>Court Administrator</u> | |
| | Signature: _____ | Date: _____ |
| | Title: _____ | |

14. SECRETARY OF ADMINISTRATION

| | | |
|---|--|-----------------------|
| <input checked="" type="checkbox"/> Approved: | (Secretary or designee signature) <u>Tim All</u> | Date: <u>10/25/10</u> |
|---|--|-----------------------|

15. ACTION BY GOVERNOR

| | | |
|--|---|----------------------|
| <input checked="" type="checkbox"/> Accepted | (Governor's signature) <u>[Signature]</u> | Date: <u>11/2/10</u> |
| <input type="checkbox"/> Rejected | | |

16. DOCUMENTATION REQUIRED

Required GRANT Documentation

| | |
|--|--|
| <input checked="" type="checkbox"/> Request Memo | <input type="checkbox"/> Notice of Donation (if any) |
| <input checked="" type="checkbox"/> Dept. project approval (if applicable) | <input checked="" type="checkbox"/> Grant (Project) Timeline (if applicable) |
| <input checked="" type="checkbox"/> Notice of Award | <input type="checkbox"/> Request for Extension (if applicable) |
| <input checked="" type="checkbox"/> Grant Agreement | <input type="checkbox"/> Form AA-1PN attached (if applicable) |

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

| | |
|--|--|
| <input checked="" type="checkbox"/> Grant Budget | |
| End Form AA-1 | |

Hartrich, Toni

From: Dolgin, Laura
Sent: Friday, October 29, 2010 4:07 PM
To: Hartrich, Toni
Subject: Clarification In Response to Secretary of Administration

Dear Toni

Thank you for your inquiry this afternoon regarding the vendor listed in the grant application AA-1 form dated October 19, 2010.

The National Center for State Courts, the State Justice Institute, and the Vermont Judiciary have been working as a team towards the restructuring of the Vermont Judiciary. As a result of this historic restructuring process, Vermont is seen at the national level as one of the foremost authorities and leaders on court system restructuring.

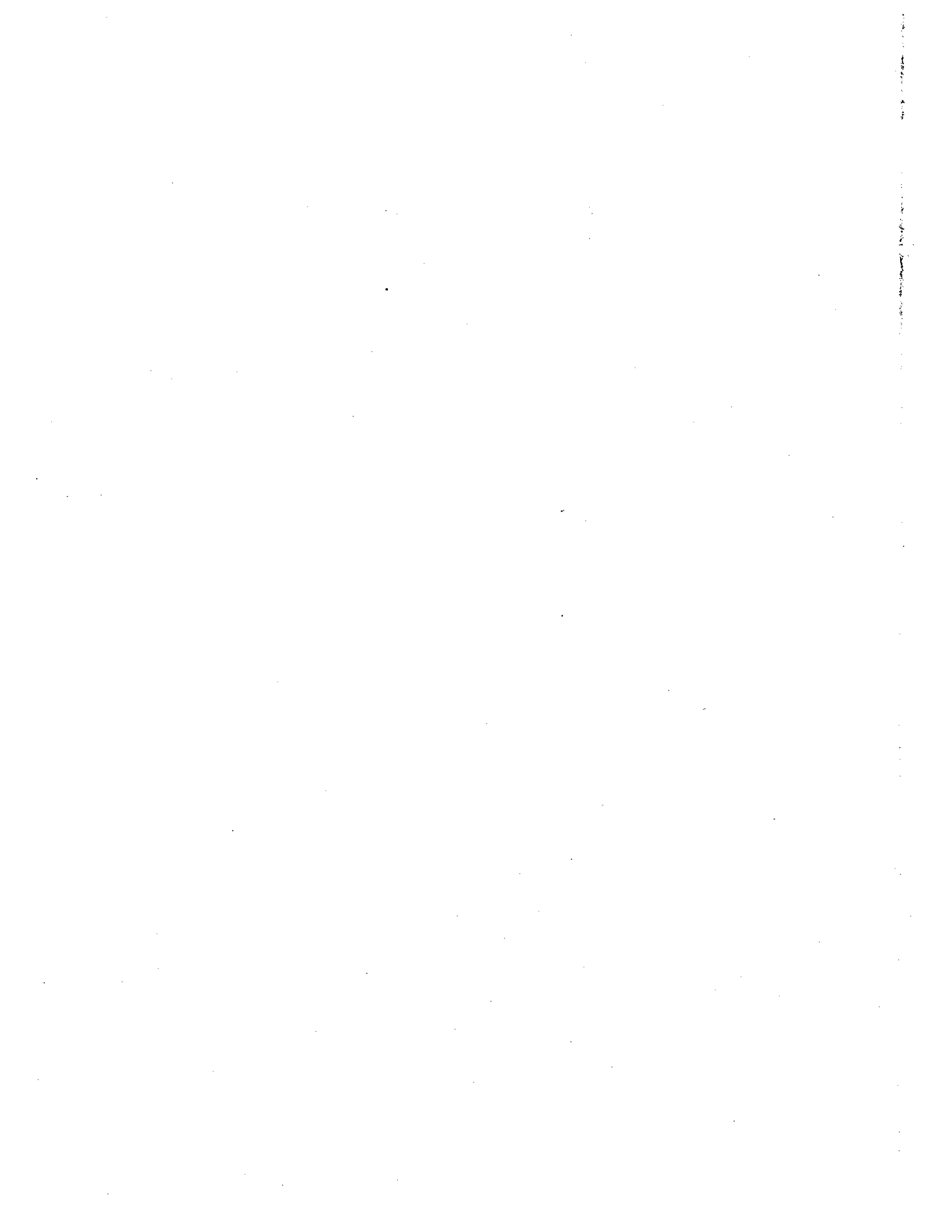
There are three stages to this work. The State Justice Institute's plan included funding the initial restructuring. The second stage is the development and implementation of local teams comprised of the new Superior Court Clerks and presiding judges working together in new ways. This second stage is the subject of this grant request. The third stage will include moving into a High Performance Court Framework. Another grant request will be submitted at that time. The National Center for State Courts and the State Justice Institute have agreed upon this approach, and the selection of Dr. Brenda Wagenknecht-Ivey to conduct this work. The State Justice Institute grant anticipates the services of Dr. Wagenknecht-Ivey, in part, because she is a nationally recognized expert.

Dr. Brenda Wagenknecht-Ivey was also chosen as the expert vendor because she has intimate knowledge of the Vermont Judiciary as a result of recent work in which she laid the foundation for this current project. Dr. Wagenknecht-Ivey has insight into the Vermont Judiciary's challenges as a result of restructuring. Because of her previous involvement with the judiciary, her knowledge regarding national judicial trends, and her credibility with the State Justice Institute, the funding source for this grant, we believe this is a wise and economical choice of vendor to fulfill the grant outcomes. Dr. Wagenknecht-Ivey is familiar with the audience with which she will be working, and there is an established level of trust that should serve to expedite the grant outcomes.

The Judiciary will benefit from the expertise and assistance of Dr. Brenda Wagenknecht-Ivey because she is a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated into the grant materials as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.

We will pay Dr. Wagenknecht-Ivey directly from these grant funds. Utilizing her as the consultant is expected as part of this State Justice Institute grant.

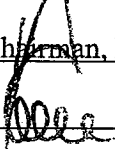
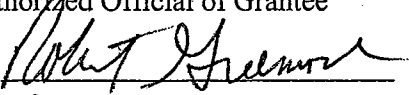
Please let me know if I can provide any more information or clarification for you. Again, thank you for your inquiry. Best, Laura Dolgin



Laura Dolgin
Office of the Court Administrator
Court Improvement and Innovation Programs Manager
109 State St.
Montpelier, Vt. 05609-0701
802-828-0576 (phone)
802 828-3457 (fax)
email: laura.dolgin@state.vt.us

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 Vermont Supreme Court 109 State Street Montpelier, VT 05609-0701 | 3. Award Number SJI-10-T-181 | |
| | 4. Award Period 10/1/10 – 10/1/11 | |
| | 5. Award Date 9/16/10 | |
| 1a. Employer Identification No. | 6. Award Amount \$50,000 | |
| 2. Entity to Receive Funds 2a. Employer Identification No. | 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 | |
| | 8. Project Title Vermont Superior Court Planning Project | |
| 9. Special Conditions (Check if applicable) <input type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached _____ page(s). | | |
| STATE JUSTICE INSTITUTE APPROVAL | | GRANTEE ACCEPTANCE |
| 10. Approving SJI Official Name: <u>Robert A. Miller</u> Title: <u>Chairman, Board of Directors</u> Signature: <u></u> Date: <u>September 20, 2010</u> | 11. Authorized Official of Grantee S.I.J. Name: <u></u> Title: <u>Court Administrator</u> Name Signature: <u>Robert Greemore</u> Date: <u>9-28-10</u> | |

State Justice Institute

RECEIVED
COURT ADMINISTRATION

2010 SEP 22 A 8:28

Chairman
ROBERT A. MILLER
Chief Justice (Ret.)
Supreme Court of South Dakota
Pierre, South Dakota

Vice Chairman
JOSEPH F. BACA
Justice (Ret.)
New Mexico Supreme Court
Santa Fe, New Mexico

Secretary
SANDRA A. O'CONNOR
States Attorney (Ret.)
of Baltimore County
Towson, Maryland

Executive Committee Member
KEITH McNAMARA
McNamara & McNamara
Columbus, Ohio

TERRENCE B. ADAMSON
Executive Vice-President
The National Geographic Society
Washington, D.C.

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Executive Vice-President and
General Counsel
National Center for State Courts
Williamsburg, Virginia

SOPHIA H. HALL
Administrative Presiding Judge
Circuit Court of Cook County
Chicago, Illinois

TOMMY JEWELL
Presiding Children's Court
Judge (Ret.)
Albuquerque, New Mexico

ARTHUR A. MCGIVERIN
Chief Justice (Ret.)
Supreme Court of Iowa
Des Moines, Iowa

JONATHAN D. MATTIELLO
Executive Director

September 20, 2010

Patricia Gabel
Director, Court Improvement and Innovation
Vermont Supreme Court, Office of the Court Administrator
109 State Street
Montpelier, VT 05609

Ms. Gabel:


On behalf of the Board of Directors of the Institute, I am pleased to inform you that the Vermont Supreme Court has been awarded a grant to support the application titled, *Vermont Superior Court Planning Project*. The project has been assigned Grant Number SJI-10-T-181. Please use this number on all correspondence to SJI regarding this grant.

Enclosed are the original and one copy of the Grant Award. Please sign both and return the signed original to SJI. Please note that SJI's Grant Guideline requires submission of two copies of the progress and financial status reports 30 days after the end of each calendar quarter. In addition, please review all compliance and financial requirements listed in the SJI Grant Guideline:
http://www.sji.gov/PDF/Grant_Guideline_FY_2010.pdf.

Grant payments from SJI will be made through electronic fund transfers (EFTs) or hard checks issued directly from the U.S. Treasury. You are encouraged to participate in EFT since it is a faster form of receiving payment from the U.S. Treasury. Both the Request for Advance or Reimbursement (Form R) and EFT form (SF 3881) can be found on the SJI website: <http://www.sji.gov/forms.php>, in addition to the Form Q – Quarterly Progress Report, and Form F – Quarterly Financial Report.

Kathryn Tuck will be the grant manager for this grant. She can be reached at (703) 684-6100, Ext. 205, or kathryn.tuck@sji.gov. Please contact her if you have any programmatic or financial questions. We look forward to working with you.

Sincerely,


Jonathan D. Mattiello
Executive Director



STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Vermont Supreme Court Office fo the Court Administrator

Project Title: Vermont Transforming Change in Courts Administration

For Project Activity from 10/01/2010 **to** 09/30/2011

Total Amount Requested for Project from SJI \$ 50,000.00

| ITEM | SJI FUNDS | STATE FUNDS | FEDERAL FUNDS | APPLICANT FUNDS | OTHER FUNDS | IN-KIND SUPPORT | TOTAL |
|-------------------------------|------------------|-----------------|---------------|-----------------|-------------|------------------|------------------|
| Personnel | | | | | | 20,000.00 | 20,000.00 |
| Fringe Benefits | | | | | | | 0.00 |
| Consultant / Contractual | 47,300.00 | | | | | | 47,300.00 |
| Travel | 2,700.00 | 3,000.00 | | | | | 5,700.00 |
| Equipment | | | | | | | 0.00 |
| Supplies | | 700.00 | | | | | 700.00 |
| Telephone | | 1,000.00 | | | | | 1,000.00 |
| Postage | | | | | | | 0.00 |
| Printing / Photocopying | | 300.00 | | | | | 300.00 |
| Audit | | | | | | | 0.00 |
| Other (specify) | | | | | | | 0.00 |
| Subtotal, Direct Costs | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |
| Indirect Costs | | | | | | | 0.00 |
| Grand Total | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |

Remarks:

STATE JUSTICE INSTITUTE APPLICATION

| | |
|---|--|
| <p>1. APPLICANT</p> <p>a. Applicant Name <u>Vermont Supreme Court, Office of the Court</u> <u>Administrator</u></p> <p>b. Organization Unit <u>Court Improvement and Innovation</u></p> <p>c. Street/P.O. Box <u>109 State Street</u></p> <p>d. City <u>Montpelier</u></p> <p>e. State <u>Vermont</u> f. Zip Code <u>05609-0701</u></p> <p>g. Phone Number <u>802-828-3278</u></p> <p>h. Fax Number <u>808-828-3457</u></p> <p>i. Web Site Address <u>www.vermontjudiciary.org</u></p> <p>j. Name & Phone Number of Contact Person <u>Patricia Gabel - 802-828-5946</u></p> <p>k. Title <u>Director, Court Improvement and Innovation</u></p> <p>l. E-Mail Address <u>patricia.gabel@state.vt.us</u></p> | <p>2. TYPE OF APPLICANT (Check appropriate box)</p> <p><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</p> <p><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 _____ <small>(specify) _____</small></p> |
| | <p>3. PROPOSED START DATE <u>October 1, 2010</u></p> |
| | <p>4. PROJECT DURATION (Months) <u>12</u></p> |
| <p>5. APPLICANT FINANCIAL CONTACT</p> <p>a. Applicant Name <u>Same as applicant</u></p> <p>b. Organization Unit _____</p> <p>c. Street/P.O. Box _____</p> <p>d. City _____</p> <p>e. State _____ f. Zip Code _____</p> <p>g. Phone Number _____</p> <p>h. Fax Number _____</p> <p>i. Web Site Address _____</p> <p>j. Name & Phone Number of Contact Person _____</p> <p>k. Title _____</p> <p>l. E-Mail Address _____</p> | <p>6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION:</p> <p>Source _____ Date Submitted _____ Amount Sought _____ Disposition (if any) or Current Status _____</p> |
| | <p>7. a. AMOUNT REQUESTED FROM SJI \$ <u>50,000</u></p> <p>b. AMOUNT OF MATCH</p> <p style="padding-left: 20px;">Cash match \$ <u>5,000</u></p> <p style="padding-left: 20px;">Non-cash Match \$ <u>20,000</u></p> <p>c. TOTAL MATCH \$ <u>25,000</u></p> <p>d. OTHER CASH \$ _____</p> <p>e. TOTAL PROJECT COST \$ <u>75,000</u></p> |
| <p>8. TITLE OF PROPOSED PROJECT <u>Vermont Superior Court Planning Project</u></p> | |
| <p>9. CONGRESSIONAL DISTRICT OF: <u>Vermont</u> <u>Peter Welch</u></p> <p style="text-align: center; font-size: small;">Name of Representative; District Number Project (if different than applicant): Name of Representative; District Number</p> | |
| <p>10. CERTIFICATION</p> <p>On behalf of the applicant, I hereby certify that to the best of 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.</p> <p style="text-align: center; padding-top: 20px;"> </p> <p style="text-align: center; padding-top: 10px;"> CII Director July 29, 2010 </p> <p style="font-size: small;">SIGNATURE OF RESPONSIBLE OFFICIAL OF APPLICANT TITLE DATE</p> <p style="font-size: x-small;">(For applications from State and local courts, Form B, Certificate of State Approval, must be attached)</p> | |

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

CHAMBERS OF
PAUL L. REIBER
CHIEF JUSTICE

July 29, 2010

Mr. Jonathan Mattiello
Executive Director
State Justice Institute
1650 King Street, Suite 600
Alexandria, VA 22314

Dear Mr. Mattiello:

Abstract: During the 2008 legislative session, the Vermont legislature, by statute, requested the Vermont Supreme Court to appoint and convene a Commission on Judicial Operation and recommend statutory changes that would be required to enable the judicial branch of state government to operate more effectively and efficiently in a climate of drastically reduced state revenues. The State Justice Institute awarded Vermont a technical assistance grant that enabled the Commission on Judicial Operation to benefit from technical assistance from the National Center for State Courts as it developed its proposal in 2009.

After extensive debate and deliberation, the Vermont legislature passed historic legislation in May 2010 that restructures the judicial branch. On July 1, 2010, the new Vermont Superior Court, with five divisions, came into existence. This reform brings the court structure within Vermont's constitutional requirement for a unified judicial system, reduces the public tax burden by reducing the appropriation for the court system, and seeks to achieve efficiencies while increasing access to justice for all Vermonters. In addition to changing the court structure, this revolutionary legislation significantly affects personnel, management positions, roles and responsibilities of judges and court staff, and methods of service delivery.

Like most states, Vermont is experiencing significant budget shortfalls. The Judiciary has already experienced budget cuts and is bracing for further cuts based upon the most recent economic forecasts. Nonetheless, the Vermont Judiciary is forging ahead to implement this new law in order to realize the expected savings and make improvements in judicial services.

The Vermont Supreme Court has directed that the Presiding Judge and the Superior Court Clerk in each unit of the new Vermont Superior Court will work collaboratively on issues related to case management, scheduling, and calendaring; court programs (e.g., litigant education, treatment court dockets, etc.); the use of court facilities, the relationship with the local bar; the relationship with the community; and other issues related to the effective and efficient operation of all divisions in the county unit.

The Vermont Judiciary is requesting a State Justice Institute Technical Assistance grant in the amount of \$50,000.00 to help with this major transition and local court planning. With the assistance of Dr. Brenda Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., we want to assist local Superior Court planning teams as they: (1) align with the Supreme Court's vision and strategic priorities for the Judiciary; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The Judiciary is enthusiastic about this grant opportunity. The need is great, and our commitment to completing this project is unbending. This 12-month project will be instrumental in helping the Vermont Judiciary and the 14 units of the new Vermont Superior Court complete trial court consolidation and make the needed changes and improvements. It will provide us with the additional expertise and assistance we need to successfully plan for and transition through the consolidation and restructuring of our trial courts.

Program Narrative:

Background:

In May of 2010, the Vermont legislature passed historic legislation to restructure the judicial branch of Vermont's state government in a manner that (1) brings the court structure within Vermont's constitutional requirement for a unified judicial system; (2) reduces the tax burden on both state and county taxpayers by reducing the budget appropriation for the court system; and (3) challenges the Judiciary to achieve substantial efficiencies in a relatively short period of time, while at the same time increasing access to justice for all Vermonters.

Before this new legislation was passed, the Vermont court system (serving a population of fewer than 700,000 people) was a state/county hybrid resulting in 63 court service points in thirty-two buildings, with many sites hosting multiple court managers where one would be sufficient and cost-effective. Many redundancies in procedures and personnel existed. Some court employees were state employees reporting through court managers to the State Court Administrator; some court employees were state employees reporting to elected judges; and some court employees were county employees who reported to a state employee, who, in turn, reported to elected county judges.

As a result of the new law, the previous trial courts in Vermont ceased to exist on June 30, 2010, and the new Vermont Superior Court came into existence on July 1, 2010. There are now fourteen units of the new Vermont Superior Court, one corresponding to each county. The new Superior Court has five divisions (i.e., civil, criminal, environmental, family, and probate. Probate will become a part of the Vermont Superior Court on February 1, 2011.)

In addition to the structural changes brought about by the new law, there are many changes to positions and personnel. For example, the law creates a new position of "Superior Court Clerk" who will be in charge of managing the civil, criminal, family, and probate divisions in each unit. The newly-created position of Court Operations Manager will be a management position reporting to the new Superior Court Clerk. All previous management positions were eliminated. All existing managers must apply for these new management positions. Finally, by February 1, 2011, all court staff members who were previously county employees will become employees of the state and report through the new Superior Court Clerks to the State Court Administrator.

All of these changes come at a time when Vermont, like most states, is experiencing significant budget shortfalls. Both the short and long-term fiscal outlooks remain bleak, according to Executive Branch officials. The Judiciary has already experienced budget cuts and taken emergency measures to cut costs, including court closings due to unpaid furlough days once per month. Further cuts appear likely based on current economic forecasts. Nonetheless, despite these challenging economic and fiscal times, the Vermont Judiciary must implement the court restructuring changes required by the new law so as to realize improvements in judicial services and the expected savings of roughly \$2,000,000 per year for state and county taxpayers.

The enactment of this law is not a surprise to the Vermont Judiciary. It follows from recommendations made by the Commission on Judicial Operation [with the support of the State Justice Institute and the National Center for State Courts.] The Commission was formed in May 2008 by the Vermont Legislature to conduct a thorough review of Vermont's court system with the goal of making it more efficient and effective. The Commission supported trial court restructuring and consolidation as a way to save money and improve services to the people of Vermont.

Judiciary staff members are currently forging ahead with the initial changes needed to implement the restructuring of our trial courts. For example, the Court Administrator's Office is currently conducting an internal recruitment to select between 10 and 12 Superior Court Clerks who will lead and manage the newly consolidated 14 units of the Vermont Superior Court, as well as for Court Operations Managers who will report to the Superior Court Clerks.

The Vermont Supreme Court has directed that the Presiding Judge for each unit of the Vermont Superior Court will work collaboratively with the Superior Court Clerk of that unit on issues related to case management, case scheduling and calendaring, court programs (e.g., litigant education, treatment court dockets, etc.), the use of court facilities

within the unit by each division, the relationship with the local bar, the relationship with the community, and other issues related to the effective and efficient operation of all divisions in the county unit. In addition, upon request, the presiding judge may consult with the clerk on issues related to court personnel.

By early fall, the leadership and management teams of the 14 units of the Superior Court will be in place. We will then be prepared to assist the local planning teams headed by the Superior Court Clerk and Presiding Judge of each unit to develop and implement plans for advancing the strategic direction and priorities of the Judiciary, implementing consolidation and the administrative directive of the Supreme Court, and making services more efficient and effective in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The planning process and timeline will enable Vermont to participate in the High Performance Court Framework Project as that project moves forward in 2011.

Need for the Project and Funding:

The Vermont Judiciary has a high need for this project and funding from the State Justice Institute. First, we cannot successfully complete trial court consolidation and achieve the desired outcomes without assisting the local Superior Court teams. The changes needed and expected are just too great.

Second, Vermont, like most other states, is suffering greatly from the economic downturn and budget shortfalls. Over the last two fiscal years, the Judiciary has already experienced a budget cut in excess of 6%, which resulted in emergency cost reduction measures. We have been told to expect additional reductions in the future.

Finally, the Judiciary will benefit greatly from the additional expertise and assistance of Dr. Brenda Wagenknecht-Ivey, a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated in this letter as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.

Project Description

This 12-month project includes 5 tasks, which are:

1. Review, refine, and finalize the Superior Court planning approach and process.
2. Conduct a statewide, kick-off meeting with Superior Court judicial and administrative leaders.
3. Gather input to inform the local planning process.
4. Develop local Superior Court plans.
5. Implement and follow-through on local plans.

Each task is described below.

Task 1: Review, Refine, and Finalize the Superior Court Planning Approach and Process.

Description: The purpose of this task is to develop a local planning approach and process as needed to ensure that it meets the needs of the Vermont Judiciary as well as the local Superior Court leadership across the state. The Judiciary's project team and Dr. Wagenknecht-Ivey will convene via a conference call(s) to prepare for and finalize a plan for this project. We will discuss: (1) the current status of trial court consolidation/restructuring; (2) expectations and desired outcomes of this project; and (3) respective roles and responsibilities of the Judiciary's project team and the consultant. We also will review and finalize a project schedule/timeline and begin to plan for subsequent tasks including the formation of an Advisory Task Force that will help design and shape the work on this project (see Task 2 for more details).

Finally, Dr. Wagenknecht-Ivey will review past Commission Reports, the recently passed restructuring legislation, the Vermont Judiciary's Strategic Plan, the Supreme Court's Administrative Directive No. 29, and other relevant information that will be helpful in designing the planning approach, facilitating the meetings, and helping the units of the Superior Court across Vermont develop and implement successful local plans.

Outcomes/Deliverables: Final Project Plan.

Timeframe: Month 1 (October 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (.5 days, 0 trips)

Task 2: Conduct Statewide Kick-Off Meeting with Superior Court Judicial and Administrative Leaders

Description: To kick-off the local planning process, we propose to conduct a one-day meeting with Presiding Judges, the newly selected Superior Court Clerks, and other state Judiciary leaders/staff. The purposes of this meeting, which will include approximately 30-35 judicial and administrative leaders from across the state, are to:

1. Present and discuss the Vermont Judiciary's newly revised Strategic Plan, including its vision, goals, and strategies;
2. Discuss Administrative Directive No. 29;
3. Develop a collective vision for the Vermont Superior Court;
4. Identify local priorities of each of the units of the Superior Court in light of the Judiciary's priorities;
5. Solicit feedback on and prepare for the local planning process including forming the local planning teams and preparing for the planning tasks; and
6. Gather suggestions about, and prepare for, the survey of judges and court employees (see Task 3 below).

Developing a collaborative approach and building enthusiasm among the Presiding Judges and Superior Court Clerks (and the local planning teams) will be vitally important to this process. Thus, we propose to form an Advisory Task Force comprised of several local leaders to work with the consultant and the Judiciary's project team in planning and preparing for this meeting. We will discuss ways to: (1) increase commitment to the local planning process; (2) address local leaders' varying needs and different stages of understanding and commitment; and (3) build and strengthen the collaborative leadership relationship between the Superior Court Clerks and Presiding Judges of each unit, among other important issues.

In sum, the Advisory Task Force, the Judiciary's project team, and the consultant will plan and prepare for this statewide meeting via several conference calls (or online Web Meetings using PRAXIS' GoToMeeting Corporate license). Additionally, the Judiciary's project team will handle all of the meeting logistics and details. Finally, the consultant will facilitate and summarize the outcomes of the statewide meeting.

Outcomes/Deliverables: (1) A successful kick-off meeting where Superior Court leaders understand the planning approach and begin their local planning efforts; and (2) Additional suggestions for strengthening the local planning approach and process, as well as strengthening the collaborative relationship between the Superior Court Clerks and Presiding Judges of each unit..

Timeframe: Month 2 (November 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (3.5 days, 1 trip)

Task 3: Gather Input to Inform the Local Planning Process

Description: The local planning teams will be charged with developing local plans that: (1) align with the Judiciary's vision and strategic priorities; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways

that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts. Developing and implementing the plans given all of the recent changes and the ambitions of the Vermont Judiciary will be challenging, to say the least. Success will require strong and relentless leadership from local court management teams, the commitment and involvement of many, and high levels of collaboration and teamwork.

The purpose of this task is to gather input through an electronic, web-based survey from judges and court employees that will be used by the local planning teams as they develop their local plans. Gathering pertinent information from judges, employees, and possibly key external partners and stakeholders through an online survey will help ensure that the local planning teams consider many different opinions and suggestions as they develop their respective plans. Surveying judges and court employees (and possibly others) will give everyone a voice, providing them with an opportunity to have input into and shape the future direction and priorities of the Superior Courts across the state.

Dr. Wagenknecht-Ivey, building on the suggestions received at the statewide, kick-off meeting and working closely with the Advisory Task Force and the Judiciary's project team, will: (1) design the web-based survey; (2) set-up and administer the survey using PRAXIS' survey software (2020 Insight Gold); (3) monitor the response rate and send reminders as needed; and (4) download and summarize the data. The Judiciary's project team will be responsible for populating an Excel spreadsheet with the names, email addresses, and group affiliation of everyone that will be invited to complete the survey. The local planning teams will be responsible for informing judges, staff, and others (if applicable) of the electronic survey and encouraging them to complete it.

Finally, each local planning team will receive a copy of the Survey Report for use in their planning process. The Judiciary's project team also will receive copies of the Survey Reports, which will include a summary of all of the survey data.

Outcomes/Deliverables: (1) Conduct online survey and (2) prepare Summary Report(s).

Timeframe: Month 3 (December 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (5 days, 0 trips)

Task 4: Develop Local Superior Court Plans

Description: In this task, the local Superior Court planning teams will develop their local plans using: (1) the Vermont Judiciary's Strategic Plan as the basis for local court planning; (2) the collective work completed at the statewide, kick-off

meeting (Task 2 above); (3) the ideas and suggestions gathered through the electronic survey (Task 3 above); and (4) other relevant information gathered through the Public Outreach efforts of the Commission on Judicial Operation in 2008-2009. Each local planning team will develop local goals and comprehensive change and improvement strategies to implement and transition through the legislative changes, implement the Supreme Court directive, enhance court services, streamline and improve Superior Court operations, and advance the vision and priorities of the Judiciary.

The consultant will lead, guide, and assist the local planning teams as they develop their plans. Through monthly conference calls and online meetings (using PRAXIS' GoToMeeting Corporate License), and possibly one trip to Vermont for a face-to-face meeting, the consultant will meet regularly with the local planning teams to help them complete each of the planning steps. She also will review and provide feedback to the local planning teams on their goals, strategies, and implementation plans as they are developed. Finally, she will help the planning teams build cohesive local management teams, strengthen state and local relationships, and create/foster healthy and innovative work cultures all of which will help them successfully implement their plans and achieve high performance in the future.

The exact number and structure of conference calls/online meetings will be determined in Tasks 1 and 2 above to ensure that this phase of the project meets the needs of the local planning teams. However, for planning and budgeting purposes, we anticipate that the consultant will conduct/facilitate approximately 3, 1.5 -2 hour calls each month for multiple planning teams (e.g., 4 planning teams per call). Additionally, we anticipate that local planning teams may need and/or want individual meetings with the consultant to address specific local needs/issues and individual review and feedback as they draft their local plans. Thus, each month (for five months) we have budgeted for the consultant to: (1) meet with multiple planning teams at one time (e.g., group online meeting); (2) meet with individual planning teams as needed; and (3) review and provide feedback to the local planning team on their local Superior Court plans.

Outcomes/Deliverables: (1) Completion of local Superior Court Plans that address local needs and are aligned with the Judiciary's goals and priorities and Administrative Directive No. 29.

Timeframe: Months 4-8 (January – May 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (20 days; 1 trip)

Task 5: Implement/Follow-Through on the Local Plans

Description: The purpose of this task is to assist the local planning teams as they implement and follow-through on their local plans. It includes: (1) conducting a

one-day, statewide meeting in May or June 2011 to prepare for and kick-off implementation efforts and (2) providing online/teleconference support and assistance to the planning and/or action teams in the first couple months of implementation (June – September 2011).

The consultant will help plan for and facilitate this statewide meeting, where the local planning teams will share their planning experiences and the content of their plans and change strategies, thus promoting learning across local planning teams. The consultant also will help the teams create an effective implementation structure and process for their court so that implementation can begin immediately.

Additionally, the consultant will provide online/teleconference guidance, support, and feedback to the local planning teams as they begin to work on their local plans. The local teams will have ready access to the consultant to troubleshoot issues and/or solicit suggestions while implementing their plans. In short, the consultant will be an organizational change and planning resource to the local planning and/or action teams over several months to assist them as needed and to increase the likelihood of progress and success.

Outcomes/Deliverables: (1) Successful statewide meeting where local planning teams will develop an implementation approach for their Superior Court; (2) Begin implementation and follow-through on local Superior Court Plans.

Timeframe: Months 9-12 (June – September 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (14 days; 1 trip)

Project Staffing/Consultant Selection

The Director of Court Improvement and Innovation will appoint a project director to manage this project as well as an internal team that will work on all of the tasks. The Director will provide executive oversight.

The Vermont Judiciary has selected Dr. Brenda J. Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., to assist us on this project. Having worked with the Vermont Judiciary earlier this year, she is knowledgeable about the Vermont Courts, and understands the challenges we face and the outcomes needed. In addition, she has established a trusting relationship and good rapport with Judiciary staff and managers from across the state. In addition, she brings over 20 years of experience and expertise in state and trial court strategic planning and large-scale system/organizational change that will benefit us greatly as we implement trial court consolidation. In sum, we have confidence in her skills and abilities and believe that she is best suited to work with us on this effort.

Likelihood of Implementation

The likelihood of implementation is high because the project is driven by necessity, new legislation, and the administrative directive of the Vermont Supreme Court. Our courts need to develop sound action plans that align with the goals of the Judiciary, the restructuring legislation passed in May 2010, and Administrative Directive No. 29. The project will also ensure that the trial courts are fully consolidated as legislatively mandated and are focused on improved judicial services and efficiency at the local level.

Support for the Project

Support exists at the State level for the implementation of this project. See Attachment A – SJI Form B – Certificate State of Approval.

Budget and Matching Contribution -- Narrative

As indicated in Attachment B – SJI Form C – Project Budget, the total cost of the project is \$75,000.00 with funding allocated accordingly:

- SJI Funds - \$47,300 for consultant fees (43 consultant days at \$1100/day) and \$2,700 in consultant travel expenses (3 trips) for a total of \$50,000.
- Cash Match – \$5,000, which cover some of the Judiciary’s direct costs related to this project (e.g., costs associated with the statewide meetings such as copying meeting materials, mileage, meals, meeting room, audio visual).
- In-Kind Matching Funds: \$20,000 which represents a portion of the combined salaries expended by Vermont Judiciary staff, Presiding Judges, and Superior Court Clerks while working on this project.

Thank you for your consideration. Please feel free to contact Patricia Gabel at 802-828-5946 or via email at patricia.gabel@state.vt.us if you have any questions or need additional information. I look forward to hearing from you soon.

Thank you.

Respectfully Submitted,



Paul L. Reiber
Chief Justice

Attachments

cc: Patricia Gabel, Esq., Director of Court Improvement and Innovation
Dr. Brenda J. Wagenknecht-Ivey



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: November 5, 2010
Subject: Grant Request

Enclosed please find one (1) request that the Joint Fiscal Office has received from the administration.

JFO #2469 — \$50,000 grant from the State Justice Institute to the Judiciary. This grant will support the strategic planning process focused on the legislatively-approved judicial restructuring and unification project. **Expedited review of this item has been requested. Joint Fiscal Committee members will be contacted by November 15 with a request to waive the statutory review period and accept this item.**

[JFO received 11/5/10]

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) if you have questions or would like an item held for Joint Fiscal Committee review.

cc: James Reardon, Commissioner
Robert Greemore, Court Administrator

SUPREME COURT OF VERMONT
OFFICE OF THE COURT ADMINISTRATOR

Robert Greemore
Court Administrator
bob.greemore@state.vt.us

Patricia Gabel, Esq., Di
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Renny Perry, Di
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Carol Harrison, Di
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carol.harrison@sta

November 5, 2010

Representative Michael Obuchowski
Chair, Joint Fiscal Committee
State House
Montpelier, VT 05602

Dear Representative Obuchowski,

The Judiciary requests an expedited review process of a State Justice Institute grant entitled "Superior Court Planning Project Grant". We make this request because we recognize we cannot make commitments or spend money in anticipation of the grant being approved. It is our understanding the grant has been signed by the Governor and has been sent to Nathan Lavery of your staff.

Under Act 154 regarding restructuring of the Judiciary, the roles of Presiding Judge and Superior Court Clerk have been redefined. The State Justice Institute Grant is designed to assist the new presiding judges and superior court clerks to develop a management team for their respective court units. The grant hires a nationally known expert in local court planning and team building to establish, advise, review, critique and develop implementation strategies for court performance plans and measures in the restructured units.

Because of our need to quickly improve court services and find efficiencies in order to meet our restructuring objectives, we tentatively scheduled and planned the opening training and discussion for November 18th. We needed to schedule this date well in advance because of the need to allocate judge time for this purpose. [The courts schedule judges several months in advance.]

I believe this project will create a systematic approach to evaluating the inventory of court cases, placing appropriate emphasis on when cases should

be heard in what order of priority, among other court management concerns that will be addressed.

We received notification of the award in late September and submitted our AA-1 mid-October. The AA-1 was returned to us by the Administration in late October in order to supplement the information provided before presenting it to the Governor for signature who happened to be out-of-state anyway. We resubmitted the grant, the next day and were notified the Governor signed the AA-1 on November 3rd and that it has been submitted to the Joint Fiscal Committee.

I am concerned that due to the changed timing, the training scheduled for November 18th is in jeopardy. The State Justice Institute has been very supportive of our efforts to restructure the Judiciary, which they have termed as innovative and ahead of any other restructuring effort in the country.

The Judiciary requests the grant qualify for an expedited review or, possibly, the grant be placed on the agenda of the next Joint Fiscal Committee meeting for approval that is tentatively scheduled for November 15th. I will be available to present the grant and answer any questions.

Thank you,

Bob Greemore
Court Administrator

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 will allow the Judiciary to contract with a consultant to facilitate strategic planning needed to make the restructuring and unification of the Superior Court a reality. There is a lot of communication and coordination needed between presiding judge and superior court clerk for the successful transition to the new court structure. | | | |
| Date: | | 10/20/2010 | | | |
| Department: | | Judiciary | | | |
| Legal Title of Grant: | | Vermont Superior Court Planning Project | | | |
| Federal Catalog #: | | | | | |
| Grant/Donor Name and Address: | | State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | |
| Grant Period: | | From: | To: | | |
| | | 10/1/2010 | 10/1/2011 | | |
| Grant/Donation | | \$50,000 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$39,178 | \$10,822 | \$ | \$50,000 | SFY 1 in this case is SFY2012 |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | There is a \$25,000 cash and in-kind match for this grant which brings project total cost to \$75,000. | | | |

| | | |
|---|--------------------|-----------|
| Department of Finance & Management | <i>[Signature]</i> | (Initial) |
| Secretary of Administration | <i>[Signature]</i> | (Initial) |
| Sent To Joint Fiscal Office | 11/3/10 | |

RECEIVED
 NOV 05 2010
JOINT FISCAL OFFICE

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

| BASIC GRANT INFORMATION | | | | |
|--|---|----------------|--------------|-----------------|
| 1. Agency: | Judiciary | | | |
| 2. Department: | Office of the Court Administrator | | | |
| 3. Program: | Office of the Court Administrator, Division of Court Improvement and Innovation | | | |
| 4. Legal Title of Grant: | Vermont Superior Court Planning Project | | | |
| 5. Federal Catalog #: | | | | |
| 6. Grant/Donor Name and Address: | | | | |
| State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | | |
| 7. Grant Period: | From: | 10/1/2010 | To: | 10/1/2011 |
| 8. Purpose of Grant: | | | | |
| The Vermont Judiciary is going through a legislatively approved restructuring and unification that is expected to save long term tax dollars and allow efficiencies in the management of all dockets and resources in all courts. For the first time, the presiding judge and superior court clerk need to work together to develop and utilize court resources for the entire unit while moving each unit's case load. Strategic planning is necessary to form teams and expectations between the judge and the clerk. This grant will provide a consultant to facilitate this process. | | | | |
| 9. Impact on existing program if grant is not Accepted: | | | | |
| The need is great. The expertise and assistance we need to successfully plan for and transition through this consolidation and restructuring will not be realized if this grant is not accepted. | | | | |
| 10. BUDGET INFORMATION | | | | |
| | SFY 1 | SFY 2 | SFY 3 | Comments |
| Expenditures: | FY 2011 | FY 2012 | FY | |
| Personal Services | \$50,478 | \$16,822 | \$ | |
| Operating Expenses | \$6,700 | \$1,000 | \$ | |
| Grants | \$ | \$ | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Revenues: | | | | |
| State Funds: | \$ | \$ | \$ | |
| Cash | \$3,000 | \$2,000 | \$ | |
| In-Kind | \$15,000 | \$5,000 | \$ | |
| Federal Funds: | \$ | \$ | \$ | |
| (Direct Costs) | \$ | \$ | \$ | |
| (Statewide Indirect) | \$ | \$ | \$ | |
| (Departmental Indirect) | \$ | \$ | \$ | |
| Other Funds: | \$ | \$ | \$ | |
| Grant (source SJI) | \$39,178 | \$10,822 | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Appropriation No: | | Amount: | \$50,000 | |
| | | | \$ | |
| | | | \$ | |

REC'D OCT 19 2010

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

| | | | |
|--|--------------|--|-----------------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | Total | | \$50,000 |

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: The contractor has already worked with the courts and therefore has a known rapport with the courts and an established track record. The contractor has been agreed to by the funding source, and the contractor has established credibility and knowledge in the field with our courts and the funder and as a result, creates economies of scale, see page 2 of the grant narrative. Agreed by: RS (initial)

| 12. Limited Service Position Information: | # Positions | Title |
|---|-------------|-------|
| | | |
| | | |
| | | |
| Total Positions | | |

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

13. AUTHORIZATION AGENCY/DEPARTMENT

| | | |
|--|-----------------------------------|-----------------------|
| I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable): | Signature: <u>Robert Helmer</u> | Date: <u>10/19/10</u> |
| | Title: <u>Court Administrator</u> | |
| | Signature: | Date: |
| | Title: | |

14. SECRETARY OF ADMINISTRATION

| | | |
|---|---|-----------------------|
| <input checked="" type="checkbox"/> Approved: | (Secretary or designee signature) <u>Tim Rell</u> | Date: <u>10/25/10</u> |
|---|---|-----------------------|

15. ACTION BY GOVERNOR

| | | | |
|-------------------------------------|----------------------------|---|----------------|
| <input checked="" type="checkbox"/> | Check One Box: Accepted | (Governor's signature) <u>[Signature]</u> | Date: |
| <input type="checkbox"/> | Rejected | | <u>11/2/10</u> |

16. DOCUMENTATION REQUIRED

Required GRANT Documentation

| | |
|--|--|
| <input checked="" type="checkbox"/> Request Memo | <input type="checkbox"/> Notice of Donation (if any) |
| <input checked="" type="checkbox"/> Dept. project approval (if applicable) | <input checked="" type="checkbox"/> Grant (Project) Timeline (if applicable) |
| <input checked="" type="checkbox"/> Notice of Award | <input type="checkbox"/> Request for Extension (if applicable) |
| <input checked="" type="checkbox"/> Grant Agreement | <input type="checkbox"/> Form AA-1PN attached (if applicable) |

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

| | |
|--|--|
| <input checked="" type="checkbox"/> Grant Budget | |
| End Form AA-1 | |

Hartrich, Toni

From: Dolgin, Laura
Sent: Friday, October 29, 2010 4:07 PM
To: Hartrich, Toni
Subject: Clarification In Response to Secretary of Administration

Dear Toni

Thank you for your inquiry this afternoon regarding the vendor listed in the grant application AA-1 form dated October 19, 2010.

The National Center for State Courts, the State Justice Institute, and the Vermont Judiciary have been working as a team towards the restructuring of the Vermont Judiciary. As a result of this historic restructuring process, Vermont is seen at the national level as one of the foremost authorities and leaders on court system restructuring.

There are three stages to this work. The State Justice Institute's plan included funding the initial restructuring. The second stage is the development and implementation of local teams comprised of the new Superior Court Clerks and presiding judges working together in new ways. This second stage is the subject of this grant request. The third stage will include moving into a High Performance Court Framework. Another grant request will be submitted at that time. The National Center for State Courts and the State Justice Institute have agreed upon this approach, and the selection of Dr. Brenda Wagenknecht-Ivey to conduct this work. The State Justice Institute grant anticipates the services of Dr. Wagenknecht-Ivey, in part, because she is a nationally recognized expert.

Dr. Brenda Wagenknecht-Ivey was also chosen as the expert vendor because she has intimate knowledge of the Vermont Judiciary as a result of recent work in which she laid the foundation for this current project. Dr. Wagenknecht-Ivey has insight into the Vermont Judiciary's challenges as a result of restructuring. Because of her previous involvement with the judiciary, her knowledge regarding national judicial trends, and her credibility with the State Justice Institute, the funding source for this grant, we believe this is a wise and economical choice of vendor to fulfill the grant outcomes. Dr. Wagenknecht-Ivey is familiar with the audience with which she will be working, and there is an established level of trust that should serve to expedite the grant outcomes.

The Judiciary will benefit from the expertise and assistance of Dr. Brenda Wagenknecht-Ivey because she is a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated into the grant materials as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.


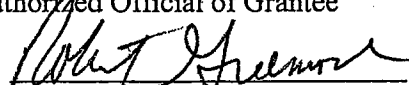
We will pay Dr. Wagenknecht-Ivey directly from these grant funds. Utilizing her as the consultant is expected as part of this State Justice Institute grant.

Please let me know if I can provide any more information or clarification for you. Again, thank you for your inquiry. Best, Laura Dolgin

Laura Dolgin
Office of the Court Administrator
Court Improvement and Innovation Programs Manager
109 State St.
Montpelier, Vt. 05609-0701
802-828-0576 (phone)
802 828-3457 (fax)
email: laura.dolgin@state.vt.us

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 Vermont Supreme Court 109 State Street Montpelier, VT 05609-0701 | | 3. Award Number SJI-10-T-181 | | |
| | | 4. Award Period 10/1/10 – 10/1/11 | | |
| | | 5. Award Date 9/16/10 | | |
| 1a. Employer Identification No. | | 6. Award Amount \$50,000 | | |
| 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 Superior Court Planning Project | | | | |
| 9. Special Conditions (<i>Check if applicable</i>) <input type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached _____ page(s). | | | | |
| STATE JUSTICE INSTITUTE APPROVAL | | GRANTEE ACCEPTANCE | | |
| 10. Approving SJI Official Name: <u>Robert A. Miller</u> Title: <u>Chairman, Board of Directors</u> Signature: <u></u> Date: <u>September 20, 2010</u> | | 11. Authorized Official of Grantee Sig. Name: <u></u> Title: <u>Court Administrator</u> Name Signature: <u>Robert Greemore</u> Date: <u>9-28-10</u> | | |

State Justice Institute

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COURT ADMINISTRATION

2010 SEP 22 A 8:28

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Albuquerque, New Mexico

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Chief Justice (Ret.)
Supreme Court of Iowa
Des Moines, Iowa

JONATHAN D. MATTIELLO
Executive Director

September 20, 2010

Patricia Gabel
Director, Court Improvement and Innovation
Vermont Supreme Court, Office of the Court Administrator
109 State Street
Montpelier, VT 05609

Ms. Gabel:


On behalf of the Board of Directors of the Institute, I am pleased to inform you that the Vermont Supreme Court has been awarded a grant to support the application titled, *Vermont Superior Court Planning Project*. The project has been assigned Grant Number SJI-10-T-181. Please use this number on all correspondence to SJI regarding this grant.

Enclosed are the original and one copy of the Grant Award. Please sign both and return the signed original to SJI. Please note that SJI's Grant Guideline requires submission of two copies of the progress and financial status reports 30 days after the end of each calendar quarter. In addition, please review all compliance and financial requirements listed in the SJI Grant Guideline:
http://www.sji.gov/PDF/Grant_Guideline_FY_2010.pdf.

Grant payments from SJI will be made through electronic fund transfers (EFTs) or hard checks issued directly from the U.S. Treasury. You are encouraged to participate in EFT since it is a faster form of receiving payment from the U.S. Treasury. Both the Request for Advance or Reimbursement (Form R) and EFT form (SF 3881) can be found on the SJI website: <http://www.sji.gov/forms.php>, in addition to the Form Q – Quarterly Progress Report, and Form F – Quarterly Financial Report.

Kathryn Tuck will be the grant manager for this grant. She can be reached at (703) 684-6100, Ext. 205, or kathryn.tuck@sji.gov. Please contact her if you have any programmatic or financial questions. We look forward to working with you.

Sincerely,


Jonathan D. Mattiello
Executive Director



STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Vermont Supreme Court Office fo the Court Administrator

Project Title: Vermont Transforming Change in Courts Administration

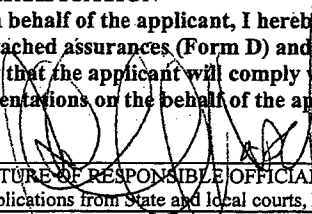
For Project Activity from 10/01/2010 **to** 09/30/2011

Total Amount Requested for Project from SJI \$ 50,000.00

| ITEM | SJI FUNDS | STATE FUNDS | FEDERAL FUNDS | APPLICANT FUNDS | OTHER FUNDS | IN-KIND SUPPORT | TOTAL |
|-------------------------------|------------------|-----------------|---------------|-----------------|-------------|------------------|------------------|
| Personnel | | | | | | 20,000.00 | 20,000.00 |
| Fringe Benefits | | | | | | | 0.00 |
| Consultant / Contractual | 47,300.00 | | | | | | 47,300.00 |
| Travel | 2,700.00 | 3,000.00 | | | | | 5,700.00 |
| Equipment | | | | | | | 0.00 |
| Supplies | | 700.00 | | | | | 700.00 |
| Telephone | | 1,000.00 | | | | | 1,000.00 |
| Postage | | | | | | | 0.00 |
| Printing / Photocopying | | 300.00 | | | | | 300.00 |
| Audit | | | | | | | 0.00 |
| Other (specify) | | | | | | | 0.00 |
| Subtotal, Direct Costs | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |
| Indirect Costs | | | | | | | 0.00 |
| Grand Total | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |

Remarks:

STATE JUSTICE INSTITUTE APPLICATION

| | |
|--|---|
| 1. APPLICANT a. Applicant Name <u>Vermont Supreme Court, Office of the Court Administrator</u> b. Organization Unit <u>Court Improvement and Innovation</u> c. Street/P.O. Box <u>109 State Street</u> d. City <u>Montpelier</u> e. State <u>Vermont</u> f. Zip Code <u>05609-0701</u> g. Phone Number <u>802-828-3278</u> h. Fax Number <u>808-828-3457</u> i. Web Site Address <u>www.vermontjudiciary.org</u> j. Name & Phone Number of Contact Person <u>Patricia Gabel - 802-828-5946</u> k. Title <u>Director, Court Improvement and Innovation</u> l. E-Mail Address <u>patricia.gabel@state.vt.us</u> | 2. TYPE OF APPLICANT (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) _____ |
| 5. APPLICANT FINANCIAL CONTACT a. Applicant Name <u>Same as applicant</u> b. Organization Unit _____ c. Street/P.O. Box _____ d. City _____ e. State _____ f. Zip Code _____ g. Phone Number _____ h. Fax Number _____ i. Web Site Address _____ j. Name & Phone Number of Contact Person _____ k. Title _____ l. E-Mail Address _____ | 3. PROPOSED START DATE <u>October 1, 2010</u> 4. PROJECT DURATION (Months) <u>12</u> 6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION: Source _____ Date Submitted _____ Amount Sought _____ Disposition (if any) or Current Status _____ 7. a. AMOUNT REQUESTED FROM SJI \$ <u>50,000</u> b. AMOUNT OF MATCH Cash match \$ <u>5,000</u> Non-cash Match \$ <u>20,000</u> c. TOTAL MATCH \$ <u>25,000</u> d. OTHER CASH \$ _____ e. TOTAL PROJECT COST \$ <u>75,000</u> |
| 8. TITLE OF PROPOSED PROJECT <u>Vermont Superior Court Planning Project</u> | |
| 9. CONGRESSIONAL DISTRICT OF: <u>Vermont</u> <u>Peter Welch</u> <small style="text-align: center;">Name of Representative; District Number Project (if different than applicant): Name of Representative; District Number</small> | |
| 10. CERTIFICATION On behalf of the applicant, I hereby certify that to the best of 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. <div style="display: flex; justify-content: space-between;"> <div style="width: 40%;">  SIGNATURE OF RESPONSIBLE OFFICIAL OF APPLICANT (For applications from State and local courts, Form B, Certificate of State Approval, must be attached) </div> <div style="width: 30%; text-align: center;"> <u>CII Director</u> TITLE </div> <div style="width: 20%; text-align: right;"> <u>July 29, 2010</u> DATE </div> </div> | |

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

CHAMBERS OF
PAUL L. REIBER
CHIEF JUSTICE

July 29, 2010

Mr. Jonathan Mattiello
Executive Director
State Justice Institute
1650 King Street, Suite 600
Alexandria, VA 22314

Dear Mr. Mattiello:

Abstract: During the 2008 legislative session, the Vermont legislature, by statute, requested the Vermont Supreme Court to appoint and convene a Commission on Judicial Operation and recommend statutory changes that would be required to enable the judicial branch of state government to operate more effectively and efficiently in a climate of drastically reduced state revenues. The State Justice Institute awarded Vermont a technical assistance grant that enabled the Commission on Judicial Operation to benefit from technical assistance from the National Center for State Courts as it developed its proposal in 2009.

After extensive debate and deliberation, the Vermont legislature passed historic legislation in May 2010 that restructures the judicial branch. On July 1, 2010, the new Vermont Superior Court, with five divisions, came into existence. This reform brings the court structure within Vermont's constitutional requirement for a unified judicial system, reduces the public tax burden by reducing the appropriation for the court system, and seeks to achieve efficiencies while increasing access to justice for all Vermonters. In addition to changing the court structure, this revolutionary legislation significantly affects personnel, management positions, roles and responsibilities of judges and court staff, and methods of service delivery.

Like most states, Vermont is experiencing significant budget shortfalls. The Judiciary has already experienced budget cuts and is bracing for further cuts based upon the most recent economic forecasts. Nonetheless, the Vermont Judiciary is forging ahead to implement this new law in order to realize the expected savings and make improvements in judicial services.

The Vermont Supreme Court has directed that the Presiding Judge and the Superior Court Clerk in each unit of the new Vermont Superior Court will work collaboratively on issues related to case management, scheduling, and calendaring; court programs (e.g., litigant education, treatment court dockets, etc.); the use of court facilities, the relationship with the local bar; the relationship with the community; and other issues related to the effective and efficient operation of all divisions in the county unit.

The Vermont Judiciary is requesting a State Justice Institute Technical Assistance grant in the amount of \$50,000.00 to help with this major transition and local court planning. With the assistance of Dr. Brenda Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., we want to assist local Superior Court planning teams as they: (1) align with the Supreme Court's vision and strategic priorities for the Judiciary; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The Judiciary is enthusiastic about this grant opportunity. The need is great, and our commitment to completing this project is unbending. This 12-month project will be instrumental in helping the Vermont Judiciary and the 14 units of the new Vermont Superior Court complete trial court consolidation and make the needed changes and improvements. It will provide us with the additional expertise and assistance we need to successfully plan for and transition through the consolidation and restructuring of our trial courts.

Program Narrative:

Background:

In May of 2010, the Vermont legislature passed historic legislation to restructure the judicial branch of Vermont's state government in a manner that (1) brings the court structure within Vermont's constitutional requirement for a unified judicial system; (2) reduces the tax burden on both state and county taxpayers by reducing the budget appropriation for the court system; and (3) challenges the Judiciary to achieve substantial efficiencies in a relatively short period of time, while at the same time increasing access to justice for all Vermonters.

Before this new legislation was passed, the Vermont court system (serving a population of fewer than 700,000 people) was a state/county hybrid resulting in 63 court service points in thirty-two buildings, with many sites hosting multiple court managers where one would be sufficient and cost-effective. Many redundancies in procedures and personnel existed. Some court employees were state employees reporting through court managers to the State Court Administrator; some court employees were state employees reporting to elected judges; and some court employees were county employees who reported to a state employee, who, in turn, reported to elected county judges.

As a result of the new law, the previous trial courts in Vermont ceased to exist on June 30, 2010, and the new Vermont Superior Court came into existence on July 1, 2010. There are now fourteen units of the new Vermont Superior Court, one corresponding to each county. The new Superior Court has five divisions (i.e., civil, criminal, environmental, family, and probate. Probate will become a part of the Vermont Superior Court on February 1, 2011.)

In addition to the structural changes brought about by the new law, there are many changes to positions and personnel. For example, the law creates a new position of "Superior Court Clerk" who will be in charge of managing the civil, criminal, family, and probate divisions in each unit. The newly-created position of Court Operations Manager will be a management position reporting to the new Superior Court Clerk. All previous management positions were eliminated. All existing managers must apply for these new management positions. Finally, by February 1, 2011, all court staff members who were previously county employees will become employees of the state and report through the new Superior Court Clerks to the State Court Administrator.

All of these changes come at a time when Vermont, like most states, is experiencing significant budget shortfalls. Both the short and long-term fiscal outlooks remain bleak, according to Executive Branch officials. The Judiciary has already experienced budget cuts and taken emergency measures to cut costs, including court closings due to unpaid furlough days once per month. Further cuts appear likely based on current economic forecasts. Nonetheless, despite these challenging economic and fiscal times, the Vermont Judiciary must implement the court restructuring changes required by the new law so as to realize improvements in judicial services and the expected savings of roughly \$2,000,000 per year for state and county taxpayers.

The enactment of this law is not a surprise to the Vermont Judiciary. It follows from recommendations made by the Commission on Judicial Operation [with the support of the State Justice Institute and the National Center for State Courts.] The Commission was formed in May 2008 by the Vermont Legislature to conduct a thorough review of Vermont's court system with the goal of making it more efficient and effective. The Commission supported trial court restructuring and consolidation as a way to save money and improve services to the people of Vermont.

Judiciary staff members are currently forging ahead with the initial changes needed to implement the restructuring of our trial courts. For example, the Court Administrator's Office is currently conducting an internal recruitment to select between 10 and 12 Superior Court Clerks who will lead and manage the newly consolidated 14 units of the Vermont Superior Court, as well as for Court Operations Managers who will report to the Superior Court Clerks.

The Vermont Supreme Court has directed that the Presiding Judge for each unit of the Vermont Superior Court will work collaboratively with the Superior Court Clerk of that unit on issues related to case management, case scheduling and calendaring, court programs (e.g., litigant education, treatment court dockets, etc.), the use of court facilities

within the unit by each division, the relationship with the local bar, the relationship with the community, and other issues related to the effective and efficient operation of all divisions in the county unit. In addition, upon request, the presiding judge may consult with the clerk on issues related to court personnel.

By early fall, the leadership and management teams of the 14 units of the Superior Court will be in place. We will then be prepared to assist the local planning teams headed by the Superior Court Clerk and Presiding Judge of each unit to develop and implement plans for advancing the strategic direction and priorities of the Judiciary, implementing consolidation and the administrative directive of the Supreme Court, and making services more efficient and effective in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The planning process and timeline will enable Vermont to participate in the High Performance Court Framework Project as that project moves forward in 2011.

Need for the Project and Funding:

The Vermont Judiciary has a high need for this project and funding from the State Justice Institute. First, we cannot successfully complete trial court consolidation and achieve the desired outcomes without assisting the local Superior Court teams. The changes needed and expected are just too great.

Second, Vermont, like most other states, is suffering greatly from the economic downturn and budget shortfalls. Over the last two fiscal years, the Judiciary has already experienced a budget cut in excess of 6%, which resulted in emergency cost reduction measures. We have been told to expect additional reductions in the future.

Finally, the Judiciary will benefit greatly from the additional expertise and assistance of Dr. Brenda Wagenknecht-Ivey, a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated in this letter as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.

Project Description

This 12-month project includes 5 tasks, which are:

1. Review, refine, and finalize the Superior Court planning approach and process.
2. Conduct a statewide, kick-off meeting with Superior Court judicial and administrative leaders.
3. Gather input to inform the local planning process.
4. Develop local Superior Court plans.
5. Implement and follow-through on local plans.

Each task is described below.

Task 1: Review, Refine, and Finalize the Superior Court Planning Approach and Process.

Description: The purpose of this task is to develop a local planning approach and process as needed to ensure that it meets the needs of the Vermont Judiciary as well as the local Superior Court leadership across the state. The Judiciary's project team and Dr. Wagenknecht-Ivey will convene via a conference call(s) to prepare for and finalize a plan for this project. We will discuss: (1) the current status of trial court consolidation/restructuring; (2) expectations and desired outcomes of this project; and (3) respective roles and responsibilities of the Judiciary's project team and the consultant. We also will review and finalize a project schedule/timeline and begin to plan for subsequent tasks including the formation of an Advisory Task Force that will help design and shape the work on this project (see Task 2 for more details).

Finally, Dr. Wagenknecht-Ivey will review past Commission Reports, the recently passed restructuring legislation, the Vermont Judiciary's Strategic Plan, the Supreme Court's Administrative Directive No. 29, and other relevant information that will be helpful in designing the planning approach, facilitating the meetings, and helping the units of the Superior Court across Vermont develop and implement successful local plans.

Outcomes/Deliverables: Final Project Plan.

Timeframe: Month 1 (October 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (.5 days, 0 trips)

Task 2: Conduct Statewide Kick-Off Meeting with Superior Court Judicial and Administrative Leaders

Description: To kick-off the local planning process, we propose to conduct a one-day meeting with Presiding Judges, the newly selected Superior Court Clerks, and other state Judiciary leaders/staff. The purposes of this meeting, which will include approximately 30-35 judicial and administrative leaders from across the state, are to:

1. Present and discuss the Vermont Judiciary's newly revised Strategic Plan, including its vision, goals, and strategies;
2. Discuss Administrative Directive No. 29;
3. Develop a collective vision for the Vermont Superior Court;
4. Identify local priorities of each of the units of the Superior Court in light of the Judiciary's priorities;
5. Solicit feedback on and prepare for the local planning process including forming the local planning teams and preparing for the planning tasks; and
6. Gather suggestions about, and prepare for, the survey of judges and court employees (see Task 3 below).

Developing a collaborative approach and building enthusiasm among the Presiding Judges and Superior Court Clerks (and the local planning teams) will be vitally important to this process. Thus, we propose to form an Advisory Task Force comprised of several local leaders to work with the consultant and the Judiciary's project team in planning and preparing for this meeting. We will discuss ways to: (1) increase commitment to the local planning process; (2) address local leaders' varying needs and different stages of understanding and commitment; and (3) build and strengthen the collaborative leadership relationship between the Superior Court Clerks and Presiding Judges of each unit, among other important issues.

In sum, the Advisory Task Force, the Judiciary's project team, and the consultant will plan and prepare for this statewide meeting via several conference calls (or online Web Meetings using PRAXIS' GoToMeeting Corporate license). Additionally, the Judiciary's project team will handle all of the meeting logistics and details. Finally, the consultant will facilitate and summarize the outcomes of the statewide meeting.

Outcomes/Deliverables: (1) A successful kick-off meeting where Superior Court leaders understand the planning approach and begin their local planning efforts; and (2) Additional suggestions for strengthening the local planning approach and process, as well as strengthening the collaborative relationship between the Superior Court Clerks and Presiding Judges of each unit.

Timeframe: Month 2 (November 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (3.5 days, 1 trip)

Task 3: Gather Input to Inform the Local Planning Process

Description: The local planning teams will be charged with developing local plans that: (1) align with the Judiciary's vision and strategic priorities; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways

that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts. Developing and implementing the plans given all of the recent changes and the ambitions of the Vermont Judiciary will be challenging, to say the least. Success will require strong and relentless leadership from local court management teams, the commitment and involvement of many, and high levels of collaboration and teamwork.

The purpose of this task is to gather input through an electronic, web-based survey from judges and court employees that will be used by the local planning teams as they develop their local plans. Gathering pertinent information from judges, employees, and possibly key external partners and stakeholders through an online survey will help ensure that the local planning teams consider many different opinions and suggestions as they develop their respective plans. Surveying judges and court employees (and possibly others) will give everyone a voice, providing them with an opportunity to have input into and shape the future direction and priorities of the Superior Courts across the state.

Dr. Wagenknecht-Ivey, building on the suggestions received at the statewide, kick-off meeting and working closely with the Advisory Task Force and the Judiciary's project team, will: (1) design the web-based survey; (2) set-up and administer the survey using PRAXIS' survey software (2020 Insight Gold); (3) monitor the response rate and send reminders as needed; and (4) download and summarize the data. The Judiciary's project team will be responsible for populating an Excel spreadsheet with the names, email addresses, and group affiliation of everyone that will be invited to complete the survey. The local planning teams will be responsible for informing judges, staff, and others (if applicable) of the electronic survey and encouraging them to complete it.

Finally, each local planning team will receive a copy of the Survey Report for use in their planning process. The Judiciary's project team also will receive copies of the Survey Reports, which will include a summary of all of the survey data.

Outcomes/Deliverables: (1) Conduct online survey and (2) prepare Summary Report(s).

Timeframe: Month 3 (December 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (5 days, 0 trips)

Task 4: Develop Local Superior Court Plans

Description: In this task, the local Superior Court planning teams will develop their local plans using: (1) the Vermont Judiciary's Strategic Plan as the basis for local court planning; (2) the collective work completed at the statewide, kick-off

meeting (Task 2 above); (3) the ideas and suggestions gathered through the electronic survey (Task 3 above); and (4) other relevant information gathered through the Public Outreach efforts of the Commission on Judicial Operation in 2008-2009. Each local planning team will develop local goals and comprehensive change and improvement strategies to implement and transition through the legislative changes, implement the Supreme Court directive, enhance court services, streamline and improve Superior Court operations, and advance the vision and priorities of the Judiciary.

The consultant will lead, guide, and assist the local planning teams as they develop their plans. Through monthly conference calls and online meetings (using PRAXIS' GoToMeeting Corporate License), and possibly one trip to Vermont for a face-to-face meeting, the consultant will meet regularly with the local planning teams to help them complete each of the planning steps. She also will review and provide feedback to the local planning teams on their goals, strategies, and implementation plans as they are developed. Finally, she will help the planning teams build cohesive local management teams, strengthen state and local relationships, and create/foster healthy and innovative work cultures all of which will help them successfully implement their plans and achieve high performance in the future.

The exact number and structure of conference calls/online meetings will be determined in Tasks 1 and 2 above to ensure that this phase of the project meets the needs of the local planning teams. However, for planning and budgeting purposes, we anticipate that the consultant will conduct/facilitate approximately 3, 1.5 -2 hour calls each month for multiple planning teams (e.g., 4 planning teams per call). Additionally, we anticipate that local planning teams may need and/or want individual meetings with the consultant to address specific local needs/issues and individual review and feedback as they draft their local plans. Thus, each month (for five months) we have budgeted for the consultant to: (1) meet with multiple planning teams at one time (e.g., group online meeting); (2) meet with individual planning teams as needed; and (3) review and provide feedback to the local planning team on their local Superior Court plans.

Outcomes/Deliverables: (1) Completion of local Superior Court Plans that address local needs and are aligned with the Judiciary's goals and priorities and Administrative Directive No. 29.

Timeframe: Months 4-8 (January – May 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (20 days; 1 trip)

Task 5: Implement/Follow-Through on the Local Plans

Description: The purpose of this task is to assist the local planning teams as they implement and follow-through on their local plans. It includes: (1) conducting a

one-day, statewide meeting in May or June 2011 to prepare for and kick-off implementation efforts and (2) providing online/teleconference support and assistance to the planning and/or action teams in the first couple months of implementation (June – September 2011).

The consultant will help plan for and facilitate this statewide meeting, where the local planning teams will share their planning experiences and the content of their plans and change strategies, thus promoting learning across local planning teams. The consultant also will help the teams create an effective implementation structure and process for their court so that implementation can begin immediately.

Additionally, the consultant will provide online/teleconference guidance, support, and feedback to the local planning teams as they begin to work on their local plans. The local teams will have ready access to the consultant to troubleshoot issues and/or solicit suggestions while implementing their plans. In short, the consultant will be an organizational change and planning resource to the local planning and/or action teams over several months to assist them as needed and to increase the likelihood of progress and success.

Outcomes/Deliverables: (1) Successful statewide meeting where local planning teams will develop an implementation approach for their Superior Court; (2) Begin implementation and follow-through on local Superior Court Plans.

Timeframe: Months 9-12 (June – September 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (14 days; 1 trip)

Project Staffing/Consultant Selection

The Director of Court Improvement and Innovation will appoint a project director to manage this project as well as an internal team that will work on all of the tasks. The Director will provide executive oversight.

The Vermont Judiciary has selected Dr. Brenda J. Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., to assist us on this project. Having worked with the Vermont Judiciary earlier this year, she is knowledgeable about the Vermont Courts, and understands the challenges we face and the outcomes needed. In addition, she has established a trusting relationship and good rapport with Judiciary staff and managers from across the state. In addition, she brings over 20 years of experience and expertise in state and trial court strategic planning and large-scale system/organizational change that will benefit us greatly as we implement trial court consolidation. In sum, we have confidence in her skills and abilities and believe that she is best suited to work with us on this effort.

Likelihood of Implementation

The likelihood of implementation is high because the project is driven by necessity, new legislation, and the administrative directive of the Vermont Supreme Court. Our courts need to develop sound action plans that align with the goals of the Judiciary, the restructuring legislation passed in May 2010, and Administrative Directive No. 29. The project will also ensure that the trial courts are fully consolidated as legislatively mandated and are focused on improved judicial services and efficiency at the local level.

Support for the Project

Support exists at the State level for the implementation of this project. See Attachment A – SJI Form B – Certificate State of Approval.

Budget and Matching Contribution -- Narrative

As indicated in Attachment B – SJI Form C – Project Budget, the total cost of the project is \$75,000.00 with funding allocated accordingly:

- SJI Funds - \$47,300 for consultant fees (43 consultant days at \$1100/day) and \$2,700 in consultant travel expenses (3 trips) for a total of \$50,000.
- Cash Match – \$5,000, which cover some of the Judiciary's direct costs related to this project (e.g., costs associated with the statewide meetings such as copying meeting materials, mileage, meals, meeting room, audio visual).
- In-Kind Matching Funds: \$20,000 which represents a portion of the combined salaries expended by Vermont Judiciary staff, Presiding Judges, and Superior Court Clerks while working on this project.

Thank you for your consideration. Please feel free to contact Patricia Gabel at 802-828-5946 or via email at patricia.gabel@state.vt.us if you have any questions or need additional information. I look forward to hearing from you soon.

Thank you.

Respectfully Submitted,



Paul L. Reiber
Chief Justice

Attachments

cc: Patricia Gabel, Esq., Director of Court Improvement and Innovation
Dr. Brenda J. Wagenknecht-Ivey



STATE OF VERMONT
JOINT FISCAL OFFICE

MEMORANDUM

To: Joint Fiscal Committee Members
From: Nathan Lavery, Fiscal Analyst
Date: November 5, 2010
Subject: Grant Request

Enclosed please find one (1) request that the Joint Fiscal Office has received from the administration.

JFO #2469 — \$50,000 grant from the State Justice Institute to the Judiciary. This grant will support the strategic planning process focused on the legislatively-approved judicial restructuring and unification project. **Expedited review of this item has been requested. Joint Fiscal Committee members will be contacted by November 15 with a request to waive the statutory review period and accept this item.**

[JFO received 11/5/10]

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) if you have questions or would like an item held for Joint Fiscal Committee review.

cc: James Reardon, Commissioner
Robert Greemore, Court Administrator

**SUPREME COURT OF VERMONT
OFFICE OF THE COURT ADMINISTRATOR**

Robert Greemore
Court Administrator
bob.greemore@state.vt.us

Patricia Gabel, Esq., Director
Court Improvement & Innovation
patricia.gabel@state.vt.us

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

Renny Perry, Director
Trial Court Operations
renny.perry@state.vt.us

Telephone: (802) 828-3278
FAX: (802) 828-3457
TDD: (802) 828-3234
Website: *www.vermontjudiciary.org*

Robert Yergeau, Director
Research & Information Services
robert.yergeau@state.vt.us

Carol Harrison, Director
Financial Operations
carol.harrison@state.vt.us

November 5, 2010

Representative Michael Obuchowski
Chair, Joint Fiscal Committee
State House
Montpelier, VT 05602

Dear Representative Obuchowski,

The Judiciary requests an expedited review process of a State Justice Institute grant entitled "Superior Court Planning Project Grant". We make this request because we recognize we cannot make commitments or spend money in anticipation of the grant being approved. It is our understanding the grant has been signed by the Governor and has been sent to Nathan Lavery of your staff.

Under Act 154 regarding restructuring of the Judiciary, the roles of Presiding Judge and Superior Court Clerk have been redefined. The State Justice Institute Grant is designed to assist the new presiding judges and superior court clerks to develop a management team for their respective court units. The grant hires a nationally known expert in local court planning and team building to establish, advise, review, critique and develop implementation strategies for court performance plans and measures in the restructured units.

Because of our need to quickly improve court services and find efficiencies in order to meet our restructuring objectives, we tentatively scheduled and planned the opening training and discussion for November 18th. We needed to schedule this date well in advance because of the need to allocate judge time for this purpose. [The courts schedule judges several months in advance.]

I believe this project will create a systematic approach to evaluating the inventory of court cases, placing appropriate emphasis on when cases should

be heard in what order of priority, among other court management concerns that will be addressed.

We received notification of the award in late September and submitted our AA-1 mid-October. The AA-1 was returned to us by the Administration in late October in order to supplement the information provided before presenting it to the Governor for signature who happened to be out-of-state anyway. We resubmitted the grant, the next day and were notified the Governor signed the AA-1 on November 3rd and that it has been submitted to the Joint Fiscal Committee.

I am concerned that due to the changed timing, the training scheduled for November 18th is in jeopardy. The State Justice Institute has been very supportive of our efforts to restructure the Judiciary, which they have termed as innovative and ahead of any other restructuring effort in the country.

The Judiciary requests the grant qualify for an expedited review or, possibly, the grant be placed on the agenda of the next Joint Fiscal Committee meeting for approval that is tentatively scheduled for November 15th. I will be available to present the grant and answer any questions.

Thank you,

Bob Greemore
Court Administrator

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 will allow the Judiciary to contract with a consultant to facilitate strategic planning needed to make the restructuring and unification of the Superior Court a reality. There is a lot of communication and coordination needed between presiding judge and superior court clerk for the successful transition to the new court structure. | | | |
| Date: | | 10/20/2010 | | | |
| Department: | | Judiciary | | | |
| Legal Title of Grant: | | Vermont Superior Court Planning Project | | | |
| Federal Catalog #: | | | | | |
| Grant/Donor Name and Address: | | State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | |
| Grant Period: | | From: | To: | | |
| | | 10/1/2010 | 10/1/2011 | | |
| Grant/Donation | | \$50,000 | | | |
| | SFY 1 | SFY 2 | SFY 3 | Total | Comments |
| Grant Amount: | \$39,178 | \$10,822 | \$ | \$50,000 | SFY 1 in this case is SFY2012 |
| Position Information: | | # Positions | Explanation/Comments | | |
| | | 0 | | | |
| Additional Comments: | | There is a \$25,000 cash and in-kind match for this grant which brings project total cost to \$75,000. | | | |
| Department of Finance & Management | | 10/25/10 | (Initial) | | |
| Secretary of Administration | | TP | (Initial) | | |
| Sent To Joint Fiscal Office | | 11/3/10 | | | |

RECEIVED
 NOV 05 2010
JOINT FISCAL OFFICE

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

| BASIC GRANT INFORMATION | | | | |
|--|---|-----------------|--------------|-----------|
| 1. Agency: | Judiciary | | | |
| 2. Department: | Office of the Court Administrator | | | |
| 3. Program: | Office of the Court Administrator, Division of Court Improvement and Innovation | | | |
| 4. Legal Title of Grant: | Vermont Superior Court Planning Project | | | |
| 5. Federal Catalog #: | | | | |
| 6. Grant/Donor Name and Address: | | | | |
| State Justice Institute, 1650 King Street, Suite 600, Alexandria, Virginia 22314 | | | | |
| 7. Grant Period: | From: | 10/1/2010 | To: | 10/1/2011 |
| 8. Purpose of Grant: | | | | |
| The Vermont Judiciary is going through a legislatively approved restructuring and unification that is expected to save long term tax dollars and allow efficiencies in the management of all dockets and resources in all courts. For the first time, the presiding judge and superior court clerk need to work together to develop and utilize court resources for the entire unit while moving each unit's case load. Strategic planning is necessary to form teams and expectations between the judge and the clerk. This grant will provide a consultant to facilitate this process. | | | | |
| 9. Impact on existing program if grant is not Accepted: | | | | |
| The need is great. The expertise and assistance we need to successfully plan for and transition through this consolidation and restructuring will not be realized if this grant is not accepted. | | | | |
| 10. BUDGET INFORMATION | | | | |
| | SFY 1 | SFY 2 | SFY 3 | |
| Expenditures: | FY 2011 | FY 2012 | FY | |
| Personal Services | \$50,478 | \$16,822 | \$ | |
| Operating Expenses | \$6,700 | \$1,000 | \$ | |
| Grants | \$ | \$ | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Revenues: | | | | |
| State Funds: | \$ | \$ | \$ | |
| Cash | \$3,000 | \$2,000 | \$ | |
| In-Kind | \$15,000 | \$5,000 | \$ | |
| Federal Funds: | \$ | \$ | \$ | |
| (Direct Costs) | \$ | \$ | \$ | |
| (Statewide Indirect) | \$ | \$ | \$ | |
| (Departmental Indirect) | \$ | \$ | \$ | |
| Other Funds: | \$ | \$ | \$ | |
| Grant (source SJI) | \$39,178 | \$10,822 | \$ | |
| Total | \$57,178 | \$17,822 | \$ | |
| Appropriation No: | Amount: | | \$50,000 | |
| | | | \$ | |
| | | | \$ | |

REC'D OCT 19 2010

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

| | | | |
|--|--|--------------|-----------------|
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | | \$ |
| | | Total | \$50,000 |

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: The contractor has already worked with the courts and therefore has a known rapport with the courts and an established track record. The contractor has been agreed to by the funding source, and the contractor has established credibility and knowledge in the field with our courts and the funder and as a result, creates economies of scale, see page 2 of the grant narrative. Agreed by: RS (initial)

| 12. Limited Service Position Information: | # Positions | Title |
|---|-------------|-------|
| | | |
| | | |
| | | |
| | | |
| Total Positions | | |

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

13. AUTHORIZATION AGENCY/DEPARTMENT

| | | |
|--|-----------------------------------|-----------------------|
| I/we certify that no funds beyond basic application preparation and filing costs have been expended or committed in anticipation of Joint Fiscal Committee approval of this grant, unless previous notification was made on Form AA-1PN (if applicable): | Signature: <u>Robert Helmer</u> | Date: <u>10/19/10</u> |
| | Title: <u>Court Administrator</u> | |
| | Signature: | Date: |
| | Title: | |

14. SECRETARY OF ADMINISTRATION

| | | |
|---|---|-----------------------|
| <input checked="" type="checkbox"/> Approved: | (Secretary or designee signature) <u>Tim Rell</u> | Date: <u>10/25/10</u> |
|---|---|-----------------------|

15. ACTION BY GOVERNOR

| | | | |
|-------------------------------------|----------------------------|---|----------------|
| <input checked="" type="checkbox"/> | Check One Box: Accepted | (Governor's signature) <u>[Signature]</u> | Date: |
| <input type="checkbox"/> | Rejected | | <u>11/2/10</u> |

16. DOCUMENTATION REQUIRED

Required GRANT Documentation

| | |
|--|---|
| <input checked="" type="checkbox"/> Request Memo <input checked="" type="checkbox"/> Dept. project approval (if applicable) <input checked="" type="checkbox"/> Notice of Award <input checked="" type="checkbox"/> Grant Agreement | <input type="checkbox"/> Notice of Donation (if any) <input checked="" type="checkbox"/> Grant (Project) Timeline (if applicable) <input type="checkbox"/> Request for Extension (if applicable) <input type="checkbox"/> Form AA-1PN attached (if applicable) |
|--|---|

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

| | |
|--|--|
| <input checked="" type="checkbox"/> Grant Budget | |
| End Form AA-1 | |

Hartrich, Toni

From: Dolgin, Laura
Sent: Friday, October 29, 2010 4:07 PM
To: Hartrich, Toni
Subject: Clarification In Response to Secretary of Administration

Dear Toni

Thank you for your inquiry this afternoon regarding the vendor listed in the grant application AA-1 form dated October 19, 2010.

The National Center for State Courts, the State Justice Institute, and the Vermont Judiciary have been working as a team towards the restructuring of the Vermont Judiciary. As a result of this historic restructuring process, Vermont is seen at the national level as one of the foremost authorities and leaders on court system restructuring.

There are three stages to this work. The State Justice Institute's plan included funding the initial restructuring. The second stage is the development and implementation of local teams comprised of the new Superior Court Clerks and presiding judges working together in new ways. This second stage is the subject of this grant request. The third stage will include moving into a High Performance Court Framework. Another grant request will be submitted at that time. The National Center for State Courts and the State Justice Institute have agreed upon this approach, and the selection of Dr. Brenda Wagenknecht-Ivey to conduct this work. The State Justice Institute grant anticipates the services of Dr. Wagenknecht-Ivey, in part, because she is a nationally recognized expert.

Dr. Brenda Wagenknecht-Ivey was also chosen as the expert vendor because she has intimate knowledge of the Vermont Judiciary as a result of recent work in which she laid the foundation for this current project. Dr. Wagenknecht-Ivey has insight into the Vermont Judiciary's challenges as a result of restructuring. Because of her previous involvement with the judiciary, her knowledge regarding national judicial trends, and her credibility with the State Justice Institute, the funding source for this grant, we believe this is a wise and economical choice of vendor to fulfill the grant outcomes. Dr. Wagenknecht-Ivey is familiar with the audience with which she will be working, and there is an established level of trust that should serve to expedite the grant outcomes.

The Judiciary will benefit from the expertise and assistance of Dr. Brenda Wagenknecht-Ivey because she is a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated into the grant materials as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.


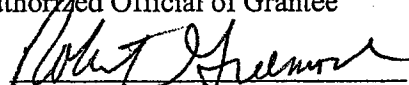
We will pay Dr. Wagenknecht-Ivey directly from these grant funds. Utilizing her as the consultant is expected as part of this State Justice Institute grant.

Please let me know if I can provide any more information or clarification for you. Again, thank you for your inquiry. Best, Laura Dolgin

Laura Dolgin
Office of the Court Administrator
Court Improvement and Innovation Programs Manager
109 State St.
Montpelier, Vt. 05609-0701
802-828-0576 (phone)
802 828-3457 (fax)
email: laura.dolgin@state.vt.us

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 Vermont Supreme Court 109 State Street Montpelier, VT 05609-0701 | 3. Award Number SJI-10-T-181 | |
| | 4. Award Period 10/1/10 – 10/1/11 | |
| | 5. Award Date 9/16/10 | |
| 1a. Employer Identification No. | 6. Award Amount \$50,000 | |
| 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 Superior Court Planning Project | | |
| 9. Special Conditions (<i>Check if applicable</i>) | | |
| <input type="checkbox"/> The above project is approved subject to such conditions or limitations as set forth on the attached _____ page(s). | | |
| STATE JUSTICE INSTITUTE APPROVAL | | GRANTEE ACCEPTANCE |
| 10. Approving SJI Official Name: <u>Robert A. Miller</u> Title: <u>Chairman, Board of Directors</u> Signature: <u></u> Date: <u>September 20, 2010</u> | 11. Authorized Official of Grantee Sig. Name: <u></u> Title: <u>Court Administrator</u> Name Signature: <u>Robert Greemore</u> Date: <u>9-28-10</u> | |

State Justice Institute

RECEIVED
COURT ADMINISTRATION

2010 SEP 22 A 8:28

Chairman
ROBERT A. MILLER
Chief Justice (Ret.)
Supreme Court of South Dakota
Pierre, South Dakota

Vice Chairman
JOSEPH F. BACA
Justice (Ret.)
New Mexico Supreme Court
Santa Fe, New Mexico

Secretary
SANDRA A. O'CONNOR
States Attorney (Ret.)
of Baltimore County
Towson, Maryland

Executive Committee Member
KEITH McNAMARA
McNamara & McNamara
Columbus, Ohio

TERRENCE B. ADAMSON
Executive Vice-President
The National Geographic Society
Washington, D.C.

ROBERT N. BALDWIN
Executive Vice-President and
General Counsel
National Center for State Courts
Williamsburg, Virginia

SOPHIA H. HALL
Administrative Presiding Judge
Circuit Court of Cook County
Chicago, Illinois

TOMMY JEWELL
Presiding Children's Court
Judge (Ret.)
Albuquerque, New Mexico

ARTHUR A. MCGIVERIN
Chief Justice (Ret.)
Supreme Court of Iowa
Des Moines, Iowa

JONATHAN D. MATTIELLO
Executive Director

September 20, 2010

Patricia Gabel
Director, Court Improvement and Innovation
Vermont Supreme Court, Office of the Court Administrator
109 State Street
Montpelier, VT 05609

Ms. Gabel:


On behalf of the Board of Directors of the Institute, I am pleased to inform you that the Vermont Supreme Court has been awarded a grant to support the application titled, *Vermont Superior Court Planning Project*. The project has been assigned Grant Number SJI-10-T-181. Please use this number on all correspondence to SJI regarding this grant.

Enclosed are the original and one copy of the Grant Award. Please sign both and return the signed original to SJI. Please note that SJI's Grant Guideline requires submission of two copies of the progress and financial status reports 30 days after the end of each calendar quarter. In addition, please review all compliance and financial requirements listed in the SJI Grant Guideline:
http://www.sji.gov/PDF/Grant_Guideline_FY_2010.pdf.

Grant payments from SJI will be made through electronic fund transfers (EFTs) or hard checks issued directly from the U.S. Treasury. You are encouraged to participate in EFT since it is a faster form of receiving payment from the U.S. Treasury. Both the Request for Advance or Reimbursement (Form R) and EFT form (SF 3881) can be found on the SJI website: <http://www.sji.gov/forms.php>, in addition to the From Q – Quarterly Progress Report, and Form F – Quarterly Financial Report.

Kathryn Tuck will be the grant manager for this grant. She can be reached at (703) 684-6100, Ext. 205, or kathryn.tuck@sji.gov. Please contact her if you have any programmatic or financial questions. We look forward to working with you.

Sincerely,


Jonathan D. Mattiello
Executive Director



STATE JUSTICE INSTITUTE

PROJECT BUDGET

(TABULAR FORMAT)

Applicant: Vermont Supreme Court Office fo the Court Administrator

Project Title: Vermont Transforming Change in Courts Administration

For Project Activity from 10/01/2010 **to** 09/30/2011

Total Amount Requested for Project from SJI \$ 50,000.00

| ITEM | SJI FUNDS | STATE FUNDS | FEDERAL FUNDS | APPLICANT FUNDS | OTHER FUNDS | IN-KIND SUPPORT | TOTAL |
|-------------------------------|------------------|-----------------|---------------|-----------------|-------------|------------------|------------------|
| Personnel | | | | | | 20,000.00 | 20,000.00 |
| Fringe Benefits | | | | | | | 0.00 |
| Consultant / Contractual | 47,300.00 | | | | | | 47,300.00 |
| Travel | 2,700.00 | 3,000.00 | | | | | 5,700.00 |
| Equipment | | | | | | | 0.00 |
| Supplies | | 700.00 | | | | | 700.00 |
| Telephone | | 1,000.00 | | | | | 1,000.00 |
| Postage | | | | | | | 0.00 |
| Printing / Photocopying | | 300.00 | | | | | 300.00 |
| Audit | | | | | | | 0.00 |
| Other (specify) | | | | | | | 0.00 |
| Subtotal, Direct Costs | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |
| Indirect Costs | | | | | | | 0.00 |
| Grand Total | 50,000.00 | 5,000.00 | 0.00 | 0.00 | 0.00 | 20,000.00 | 75,000.00 |

Remarks:

STATE JUSTICE INSTITUTE APPLICATION

| | |
|--|--|
| 1. APPLICANT a. Applicant Name <u>Vermont Supreme Court, Office of the Court Administrator</u> b. Organization Unit <u>Court Improvement and Innovation</u> c. Street/P.O. Box <u>109 State Street</u> d. City <u>Montpelier</u> e. State <u>Vermont</u> f. Zip Code <u>05609-0701</u> g. Phone Number <u>802-828-3278</u> h. Fax Number <u>808-828-3457</u> i. Web Site Address <u>www.vermontjudiciary.org</u> j. Name & Phone Number of Contact Person <u>Patricia Gabel - 802-828-5946</u> k. Title <u>Director, Court Improvement and Innovation</u> l. E-Mail Address <u>patricia.gabel@state.vt.us</u> | 2. TYPE OF APPLICANT (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 Other _____ (specify) _____ |
| 3. PROPOSED START DATE <u>October 1, 2010</u> | |
| 4. PROJECT DURATION (Months) <u>12</u> | |
| 5. APPLICANT FINANCIAL CONTACT a. Applicant Name <u>Same as applicant</u> b. Organization Unit _____ c. Street/P.O. Box _____ d. City _____ e. State _____ f. Zip Code _____ g. Phone Number _____ h. Fax Number _____ i. Web Site Address _____ j. Name & Phone Number of Contact Person _____ k. Title _____ l. E-Mail Address _____ | 6. IF THIS APPLICATION HAS BEEN SUBMITTED TO OTHER FUNDING SOURCES, PLEASE PROVIDE THE FOLLOWING INFORMATION: Source _____ Date Submitted _____ Amount Sought _____ Disposition (if any) or Current Status _____ <hr/> 7. a. AMOUNT REQUESTED FROM SJI \$ <u>50,000</u> b. AMOUNT OF MATCH Cash match \$ <u>5,000</u> Non-cash Match \$ <u>20,000</u> c. TOTAL MATCH \$ <u>25,000</u> d. OTHER CASH \$ _____ e. TOTAL PROJECT COST \$ <u>75,000</u> |
| 8. TITLE OF PROPOSED PROJECT <u>Vermont Superior Court Planning Project</u> | |
| 9. CONGRESSIONAL DISTRICT OF: <u>Vermont</u> <u>Peter Welch</u> <small style="display: flex; justify-content: space-between;"> Name of Representative; District Number Project (if different than applicant): Name of Representative; District Number </small> | |
| 10. CERTIFICATION On behalf of the applicant, I hereby certify that to the best of 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 OF APPLICANT (For applications from State and local courts, Form B, Certificate of State Approval, must be attached) | TITLE CII Director |
| DATE July 29, 2010 | DATE July 29, 2010 |

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

CHAMBERS OF
PAUL L. REIBER
CHIEF JUSTICE

July 29, 2010

Mr. Jonathan Mattiello
Executive Director
State Justice Institute
1650 King Street, Suite 600
Alexandria, VA 22314

Dear Mr. Mattiello:

Abstract: During the 2008 legislative session, the Vermont legislature, by statute, requested the Vermont Supreme Court to appoint and convene a Commission on Judicial Operation and recommend statutory changes that would be required to enable the judicial branch of state government to operate more effectively and efficiently in a climate of drastically reduced state revenues. The State Justice Institute awarded Vermont a technical assistance grant that enabled the Commission on Judicial Operation to benefit from technical assistance from the National Center for State Courts as it developed its proposal in 2009.

After extensive debate and deliberation, the Vermont legislature passed historic legislation in May 2010 that restructures the judicial branch. On July 1, 2010, the new Vermont Superior Court, with five divisions, came into existence. This reform brings the court structure within Vermont's constitutional requirement for a unified judicial system, reduces the public tax burden by reducing the appropriation for the court system, and seeks to achieve efficiencies while increasing access to justice for all Vermonters. In addition to changing the court structure, this revolutionary legislation significantly affects personnel, management positions, roles and responsibilities of judges and court staff, and methods of service delivery.

Like most states, Vermont is experiencing significant budget shortfalls. The Judiciary has already experienced budget cuts and is bracing for further cuts based upon the most recent economic forecasts. Nonetheless, the Vermont Judiciary is forging ahead to implement this new law in order to realize the expected savings and make improvements in judicial services.

The Vermont Supreme Court has directed that the Presiding Judge and the Superior Court Clerk in each unit of the new Vermont Superior Court will work collaboratively on issues related to case management, scheduling, and calendaring; court programs (e.g., litigant education, treatment court dockets, etc.); the use of court facilities, the relationship with the local bar; the relationship with the community; and other issues related to the effective and efficient operation of all divisions in the county unit.

The Vermont Judiciary is requesting a State Justice Institute Technical Assistance grant in the amount of \$50,000.00 to help with this major transition and local court planning. With the assistance of Dr. Brenda Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., we want to assist local Superior Court planning teams as they: (1) align with the Supreme Court's vision and strategic priorities for the Judiciary; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The Judiciary is enthusiastic about this grant opportunity. The need is great, and our commitment to completing this project is unbending. This 12-month project will be instrumental in helping the Vermont Judiciary and the 14 units of the new Vermont Superior Court complete trial court consolidation and make the needed changes and improvements. It will provide us with the additional expertise and assistance we need to successfully plan for and transition through the consolidation and restructuring of our trial courts.

Program Narrative:

Background:

In May of 2010, the Vermont legislature passed historic legislation to restructure the judicial branch of Vermont's state government in a manner that (1) brings the court structure within Vermont's constitutional requirement for a unified judicial system; (2) reduces the tax burden on both state and county taxpayers by reducing the budget appropriation for the court system; and (3) challenges the Judiciary to achieve substantial efficiencies in a relatively short period of time, while at the same time increasing access to justice for all Vermonters.

Before this new legislation was passed, the Vermont court system (serving a population of fewer than 700,000 people) was a state/county hybrid resulting in 63 court service points in thirty-two buildings, with many sites hosting multiple court managers where one would be sufficient and cost-effective. Many redundancies in procedures and personnel existed. Some court employees were state employees reporting through court managers to the State Court Administrator; some court employees were state employees reporting to elected judges; and some court employees were county employees who reported to a state employee, who, in turn, reported to elected county judges.

As a result of the new law, the previous trial courts in Vermont ceased to exist on June 30, 2010, and the new Vermont Superior Court came into existence on July 1, 2010. There are now fourteen units of the new Vermont Superior Court, one corresponding to each county. The new Superior Court has five divisions (i.e., civil, criminal, environmental, family, and probate. Probate will become a part of the Vermont Superior Court on February 1, 2011.)

In addition to the structural changes brought about by the new law, there are many changes to positions and personnel. For example, the law creates a new position of "Superior Court Clerk" who will be in charge of managing the civil, criminal, family, and probate divisions in each unit. The newly-created position of Court Operations Manager will be a management position reporting to the new Superior Court Clerk. All previous management positions were eliminated. All existing managers must apply for these new management positions. Finally, by February 1, 2011, all court staff members who were previously county employees will become employees of the state and report through the new Superior Court Clerks to the State Court Administrator.

All of these changes come at a time when Vermont, like most states, is experiencing significant budget shortfalls. Both the short and long-term fiscal outlooks remain bleak, according to Executive Branch officials. The Judiciary has already experienced budget cuts and taken emergency measures to cut costs, including court closings due to unpaid furlough days once per month. Further cuts appear likely based on current economic forecasts. Nonetheless, despite these challenging economic and fiscal times, the Vermont Judiciary must implement the court restructuring changes required by the new law so as to realize improvements in judicial services and the expected savings of roughly \$2,000,000 per year for state and county taxpayers.

The enactment of this law is not a surprise to the Vermont Judiciary. It follows from recommendations made by the Commission on Judicial Operation [with the support of the State Justice Institute and the National Center for State Courts.] The Commission was formed in May 2008 by the Vermont Legislature to conduct a thorough review of Vermont's court system with the goal of making it more efficient and effective. The Commission supported trial court restructuring and consolidation as a way to save money and improve services to the people of Vermont.

Judiciary staff members are currently forging ahead with the initial changes needed to implement the restructuring of our trial courts. For example, the Court Administrator's Office is currently conducting an internal recruitment to select between 10 and 12 Superior Court Clerks who will lead and manage the newly consolidated 14 units of the Vermont Superior Court, as well as for Court Operations Managers who will report to the Superior Court Clerks.

The Vermont Supreme Court has directed that the Presiding Judge for each unit of the Vermont Superior Court will work collaboratively with the Superior Court Clerk of that unit on issues related to case management, case scheduling and calendaring, court programs (e.g., litigant education, treatment court dockets, etc.), the use of court facilities

within the unit by each division, the relationship with the local bar, the relationship with the community, and other issues related to the effective and efficient operation of all divisions in the county unit. In addition, upon request, the presiding judge may consult with the clerk on issues related to court personnel.

By early fall, the leadership and management teams of the 14 units of the Superior Court will be in place. We will then be prepared to assist the local planning teams headed by the Superior Court Clerk and Presiding Judge of each unit to develop and implement plans for advancing the strategic direction and priorities of the Judiciary, implementing consolidation and the administrative directive of the Supreme Court, and making services more efficient and effective in ways that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts.

The planning process and timeline will enable Vermont to participate in the High Performance Court Framework Project as that project moves forward in 2011.

Need for the Project and Funding:

The Vermont Judiciary has a high need for this project and funding from the State Justice Institute. First, we cannot successfully complete trial court consolidation and achieve the desired outcomes without assisting the local Superior Court teams. The changes needed and expected are just too great.

Second, Vermont, like most other states, is suffering greatly from the economic downturn and budget shortfalls. Over the last two fiscal years, the Judiciary has already experienced a budget cut in excess of 6%, which resulted in emergency cost reduction measures. We have been told to expect additional reductions in the future.

Finally, the Judiciary will benefit greatly from the additional expertise and assistance of Dr. Brenda Wagenknecht-Ivey, a nationally and internationally recognized expert in state and trial court strategic planning and large-scale system change. Dr. Wagenknecht-Ivey's resume is incorporated in this letter as Attachment A, and a summary of her experience is incorporated as Attachment B. Given her recent work with the Vermont Judiciary to introduce court clerks and managers to court planning at the local level, she has knowledge of our courts, insights into the challenges we face and the outcomes the Judiciary is seeking, and has an established relationship with Judiciary staff and the managers of the Superior Courts. The Judiciary will not be able to avail ourselves of her services and assistance without SJI grant support.

Project Description

This 12-month project includes 5 tasks, which are:

1. Review, refine, and finalize the Superior Court planning approach and process.
2. Conduct a statewide, kick-off meeting with Superior Court judicial and administrative leaders.
3. Gather input to inform the local planning process.
4. Develop local Superior Court plans.
5. Implement and follow-through on local plans.

Each task is described below.

Task 1: Review, Refine, and Finalize the Superior Court Planning Approach and Process.

Description: The purpose of this task is to develop a local planning approach and process as needed to ensure that it meets the needs of the Vermont Judiciary as well as the local Superior Court leadership across the state. The Judiciary's project team and Dr. Wagenknecht-Ivey will convene via a conference call(s) to prepare for and finalize a plan for this project. We will discuss: (1) the current status of trial court consolidation/restructuring; (2) expectations and desired outcomes of this project; and (3) respective roles and responsibilities of the Judiciary's project team and the consultant. We also will review and finalize a project schedule/timeline and begin to plan for subsequent tasks including the formation of an Advisory Task Force that will help design and shape the work on this project (see Task 2 for more details).

Finally, Dr. Wagenknecht-Ivey will review past Commission Reports, the recently passed restructuring legislation, the Vermont Judiciary's Strategic Plan, the Supreme Court's Administrative Directive No. 29, and other relevant information that will be helpful in designing the planning approach, facilitating the meetings, and helping the units of the Superior Court across Vermont develop and implement successful local plans.

Outcomes/Deliverables: Final Project Plan.

Timeframe: Month 1 (October 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (.5 days, 0 trips)

Task 2: Conduct Statewide Kick-Off Meeting with Superior Court Judicial and Administrative Leaders

Description: To kick-off the local planning process, we propose to conduct a one-day meeting with Presiding Judges, the newly selected Superior Court Clerks, and other state Judiciary leaders/staff. The purposes of this meeting, which will include approximately 30-35 judicial and administrative leaders from across the state, are to:

1. Present and discuss the Vermont Judiciary's newly revised Strategic Plan, including its vision, goals, and strategies;
2. Discuss Administrative Directive No. 29;
3. Develop a collective vision for the Vermont Superior Court;
4. Identify local priorities of each of the units of the Superior Court in light of the Judiciary's priorities;
5. Solicit feedback on and prepare for the local planning process including forming the local planning teams and preparing for the planning tasks; and
6. Gather suggestions about, and prepare for, the survey of judges and court employees (see Task 3 below).

Developing a collaborative approach and building enthusiasm among the Presiding Judges and Superior Court Clerks (and the local planning teams) will be vitally important to this process. Thus, we propose to form an Advisory Task Force comprised of several local leaders to work with the consultant and the Judiciary's project team in planning and preparing for this meeting. We will discuss ways to: (1) increase commitment to the local planning process; (2) address local leaders' varying needs and different stages of understanding and commitment; and (3) build and strengthen the collaborative leadership relationship between the Superior Court Clerks and Presiding Judges of each unit, among other important issues.

In sum, the Advisory Task Force, the Judiciary's project team, and the consultant will plan and prepare for this statewide meeting via several conference calls (or online Web Meetings using PRAXIS' GoToMeeting Corporate license). Additionally, the Judiciary's project team will handle all of the meeting logistics and details. Finally, the consultant will facilitate and summarize the outcomes of the statewide meeting.

Outcomes/Deliverables: (1) A successful kick-off meeting where Superior Court leaders understand the planning approach and begin their local planning efforts; and (2) Additional suggestions for strengthening the local planning approach and process, as well as strengthening the collaborative relationship between the Superior Court Clerks and Presiding Judges of each unit..

Timeframe: Month 2 (November 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (3.5 days, 1 trip)

Task 3: Gather Input to Inform the Local Planning Process

Description: The local planning teams will be charged with developing local plans that: (1) align with the Judiciary's vision and strategic priorities; (2) fully implement trial court consolidation and the administrative directive of the Supreme Court; and (3) improve judicial services and cost effectiveness in ways

that are measurable and consistent with standards adopted or to be adopted by the Vermont Supreme Court, as those standards may be informed by initiatives such as the High Performance Court Framework Project being developed by the National Center for State Courts. Developing and implementing the plans given all of the recent changes and the ambitions of the Vermont Judiciary will be challenging, to say the least. Success will require strong and relentless leadership from local court management teams, the commitment and involvement of many, and high levels of collaboration and teamwork.

The purpose of this task is to gather input through an electronic, web-based survey from judges and court employees that will be used by the local planning teams as they develop their local plans. Gathering pertinent information from judges, employees, and possibly key external partners and stakeholders through an online survey will help ensure that the local planning teams consider many different opinions and suggestions as they develop their respective plans. Surveying judges and court employees (and possibly others) will give everyone a voice, providing them with an opportunity to have input into and shape the future direction and priorities of the Superior Courts across the state.

Dr. Wagenknecht-Ivey, building on the suggestions received at the statewide, kick-off meeting and working closely with the Advisory Task Force and the Judiciary's project team, will: (1) design the web-based survey; (2) set-up and administer the survey using PRAXIS' survey software (2020 Insight Gold); (3) monitor the response rate and send reminders as needed; and (4) download and summarize the data. The Judiciary's project team will be responsible for populating an Excel spreadsheet with the names, email addresses, and group affiliation of everyone that will be invited to complete the survey. The local planning teams will be responsible for informing judges, staff, and others (if applicable) of the electronic survey and encouraging them to complete it.

Finally, each local planning team will receive a copy of the Survey Report for use in their planning process. The Judiciary's project team also will receive copies of the Survey Reports, which will include a summary of all of the survey data.

Outcomes/Deliverables: (1) Conduct online survey and (2) prepare Summary Report(s).

Timeframe: Month 3 (December 2010)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (5 days, 0 trips)

Task 4: Develop Local Superior Court Plans

Description: In this task, the local Superior Court planning teams will develop their local plans using: (1) the Vermont Judiciary's Strategic Plan as the basis for local court planning; (2) the collective work completed at the statewide, kick-off

meeting (Task 2 above); (3) the ideas and suggestions gathered through the electronic survey (Task 3 above); and (4) other relevant information gathered through the Public Outreach efforts of the Commission on Judicial Operation in 2008-2009. Each local planning team will develop local goals and comprehensive change and improvement strategies to implement and transition through the legislative changes, implement the Supreme Court directive, enhance court services, streamline and improve Superior Court operations, and advance the vision and priorities of the Judiciary.

The consultant will lead, guide, and assist the local planning teams as they develop their plans. Through monthly conference calls and online meetings (using PRAXIS' GoToMeeting Corporate License), and possibly one trip to Vermont for a face-to-face meeting, the consultant will meet regularly with the local planning teams to help them complete each of the planning steps. She also will review and provide feedback to the local planning teams on their goals, strategies, and implementation plans as they are developed. Finally, she will help the planning teams build cohesive local management teams, strengthen state and local relationships, and create/foster healthy and innovative work cultures all of which will help them successfully implement their plans and achieve high performance in the future.

The exact number and structure of conference calls/online meetings will be determined in Tasks 1 and 2 above to ensure that this phase of the project meets the needs of the local planning teams. However, for planning and budgeting purposes, we anticipate that the consultant will conduct/facilitate approximately 3, 1.5 -2 hour calls each month for multiple planning teams (e.g., 4 planning teams per call). Additionally, we anticipate that local planning teams may need and/or want individual meetings with the consultant to address specific local needs/issues and individual review and feedback as they draft their local plans. Thus, each month (for five months) we have budgeted for the consultant to: (1) meet with multiple planning teams at one time (e.g., group online meeting); (2) meet with individual planning teams as needed; and (3) review and provide feedback to the local planning team on their local Superior Court plans.

Outcomes/Deliverables: (1) Completion of local Superior Court Plans that address local needs and are aligned with the Judiciary's goals and priorities and Administrative Directive No. 29.

Timeframe: Months 4-8 (January – May 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (20 days; 1 trip)

Task 5: Implement/Follow-Through on the Local Plans

Description: The purpose of this task is to assist the local planning teams as they implement and follow-through on their local plans. It includes: (1) conducting a

one-day, statewide meeting in May or June 2011 to prepare for and kick-off implementation efforts and (2) providing online/teleconference support and assistance to the planning and/or action teams in the first couple months of implementation (June – September 2011).

The consultant will help plan for and facilitate this statewide meeting, where the local planning teams will share their planning experiences and the content of their plans and change strategies, thus promoting learning across local planning teams. The consultant also will help the teams create an effective implementation structure and process for their court so that implementation can begin immediately.

Additionally, the consultant will provide online/teleconference guidance, support, and feedback to the local planning teams as they begin to work on their local plans. The local teams will have ready access to the consultant to troubleshoot issues and/or solicit suggestions while implementing their plans. In short, the consultant will be an organizational change and planning resource to the local planning and/or action teams over several months to assist them as needed and to increase the likelihood of progress and success.

Outcomes/Deliverables: (1) Successful statewide meeting where local planning teams will develop an implementation approach for their Superior Court; (2) Begin implementation and follow-through on local Superior Court Plans.

Timeframe: Months 9-12 (June – September 2011)

Consultant Services/Expenses: Dr. Brenda Wagenknecht-Ivey (14 days; 1 trip)

Project Staffing/Consultant Selection

The Director of Court Improvement and Innovation will appoint a project director to manage this project as well as an internal team that will work on all of the tasks. The Director will provide executive oversight.

The Vermont Judiciary has selected Dr. Brenda J. Wagenknecht-Ivey, President of PRAXIS Consulting, Inc., to assist us on this project. Having worked with the Vermont Judiciary earlier this year, she is knowledgeable about the Vermont Courts, and understands the challenges we face and the outcomes needed. In addition, she has established a trusting relationship and good rapport with Judiciary staff and managers from across the state. In addition, she brings over 20 years of experience and expertise in state and trial court strategic planning and large-scale system/organizational change that will benefit us greatly as we implement trial court consolidation. In sum, we have confidence in her skills and abilities and believe that she is best suited to work with us on this effort.

Likelihood of Implementation

The likelihood of implementation is high because the project is driven by necessity, new legislation, and the administrative directive of the Vermont Supreme Court. Our courts need to develop sound action plans that align with the goals of the Judiciary, the restructuring legislation passed in May 2010, and Administrative Directive No. 29. The project will also ensure that the trial courts are fully consolidated as legislatively mandated and are focused on improved judicial services and efficiency at the local level.

Support for the Project

Support exists at the State level for the implementation of this project. See Attachment A – SJI Form B – Certificate State of Approval.

Budget and Matching Contribution -- Narrative

As indicated in Attachment B – SJI Form C – Project Budget, the total cost of the project is \$75,000.00 with funding allocated accordingly:

- SJI Funds - \$47,300 for consultant fees (43 consultant days at \$1100/day) and \$2,700 in consultant travel expenses (3 trips) for a total of \$50,000.
- Cash Match – \$5,000, which cover some of the Judiciary's direct costs related to this project (e.g., costs associated with the statewide meetings such as copying meeting materials, mileage, meals, meeting room, audio visual).
- In-Kind Matching Funds: \$20,000 which represents a portion of the combined salaries expended by Vermont Judiciary staff, Presiding Judges, and Superior Court Clerks while working on this project.

Thank you for your consideration. Please feel free to contact Patricia Gabel at 802-828-5946 or via email at patricia.gabel@state.vt.us if you have any questions or need additional information. I look forward to hearing from you soon.

Thank you.

Respectfully Submitted,



Paul L. Reiber
Chief Justice

Attachments

cc: Patricia Gabel, Esq., Director of Court Improvement and Innovation
Dr. Brenda J. Wagenknecht-Ivey

SUPREME COURT OF VERMONT
OFFICE OF THE COURT ADMINISTRATOR



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

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

COURT IMPROVEMENT AND INNOVATION DIVISION
Vermontjudiciary.org

October 19, 2010

Toni Hartrich, Budget & Management Analyst
Department of Finance & Management
109 State St., 5th Floor
Montpelier, Vt. 05609-0401

Re: State of Vermont Judiciary Request for Grant Acceptance, Form AA-1

Dear Ms. Hartrich

Please find attached a State of Vermont Request for Grant Acceptance Form AA-1, along with accompanying documentation. This grant has been awarded by the State Justice Institute.

Specifically, you will find the following:

- AA-1 consisting of 3 pages
- Certificate of State Approval
- Notice of Award (2 pages – Award & Letter dated September 20, 2010, also considered Grant Agreement)
- Grant budget
- Grant Project Timeline – October 1, 2010 – October 1, 2011, found on SJI Application
- Copy of Grant Application

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

Sincerely

A handwritten signature in blue ink that reads "Laura F. Dolgin".

Laura F. Dolgin
Program Manager, Court Improvement and Innovation
Office of the Court Administrator

enclosures as stated

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 Superior Court Planning Project
prepared by Vermont 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 SJI pursuant to the application;

herby requests consideration of a reduction in cash match as requested by the applicant (NOTE: only applicable to Project Grant applications);

designates _____
Name of Trial or Appellate Court or Agency

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

Paul S. Reiber/dal
Signature

July 29, 2010
Date

Paul Reiber
Name

Chief Justice
Title

Brenda J. Wagenknecht-Ivey, Ph.D.

CURRENT POSITION

President

PRAXIS Consulting Inc.

1990 - present

Wagenknecht-Ivey has special expertise in organizational psychology, organizational behavior, organizational change and improvement, and high performance teams. With over 20 years of consulting experience, she has developed keen diagnostic, analytical, intervention, and delivery skills, and has achieved a national reputation as a skilled change agent, facilitator, planner, consensus builder, and researcher. Dr. Wagenknecht-Ivey has provided consulting, technical assistance, training, facilitation, and evaluation services to public, private, and not-for-profit organizations and audiences of all types.

As an organizational change and development specialist, Wagenknecht-Ivey has extensive experience and expertise in:

- ✓ Visioning and long-range strategic planning;
- ✓ System reform and large and small-scale organizational change;
- ✓ Organizational performance measurement and organizational design/re-design;
- ✓ Leadership and management development including 360-degree feedback and executive coaching;
- ✓ Succession planning/talent management programs;
- ✓ Collaborative decision making and consensus building;
- ✓ Team development and team building;
- ✓ Public/community involvement and participation; and
- ✓ Continuous quality/process improvement.

Her services frequently include: (1) setting organizational goals and implementing strategies to achieve them; (2) diagnosing problems and developing interventions to minimize or resolve them; (3) conducting research and evaluation including analyzing large quantitative and qualitative data sets; (4) facilitating planning retreats and collaborative processes; (5) coaching executives; (6) facilitating focus groups and conducting surveys with internal and external customers; (7) developing teams; (8) conducting needs assessment; (9) developing curricula; (10) teaching and facilitating workshops; and (11) mediating between groups and individuals.

Consulting Projects.

Wagenknecht-Ivey is currently serving as the Director of a variety of assessment, strategic planning, or change/improvement projects. They include:

- ✓ MKK Consulting Engineers to assist in developing and implementing a succession planning program;
- ✓ Ohio Supreme Court and Judicial College to present at the fall "Super-Meeting," a joint conference of all court and court-affiliated associations representing court professionals across Ohio on excelling in changing times – taking performance to the next level (2010);
- ✓ Coconino County Courts, Arizona to design, plan, and facilitate a community-based Justice 2025 planning project resulting in a long-range strategic plan (2005); and to conduct a survey of stakeholders and facilitate a Justice 2030 planning conference to update the Court's strategic plan (2009-2010);
- ✓ 20th Judicial Circuit Court and Ottawa County Probate Court to facilitate a long-range strategic planning process, assist in implementation, conduct a court user survey to assess performance, and develop a succession planning program (2004-2010);
- ✓ The 36th District Court, Detroit, Michigan, Strategic Planning Project to facilitate customer focus groups, survey employees and external court users, and develop, implement, and update the Court's long range strategic plan (1999-2001, 2002, 2010);
- ✓ Colorado Department of Public Health and Environment, Laboratory Services to facilitate a retreat to establish a common strategic direction and priorities for the organization, to review progress on strategic projects, and review/revise the long-range strategic plan (2004-2010);
- ✓ Michigan Pharmacists Association to facilitate Executive Board Strategic Planning Retreats and staff planning and implementation retreats (2000, 2004, 2007-2010);
- ✓ Colorado Pharmacy Society to facilitate a strategic planning retreat with the Executive Board to up CPS's strategic plan (2007, 2010);
- ✓ Colorado's Fiscal Managers to make a presentation on "taking charge of change" at the Annual Conference (2010);

- ✓ Michigan State University to serve as faculty on visioning and strategic planning at the Annual Conference of the National Association of Court Management (2010);
- ✓ City of Thornton (Colorado) to help improve the Infrastructure Department by conducting an organizational climate/employee survey and developing next steps/improvement actions in response to the survey results (2008-2009). Work with the City also included (1) conducting a 360-feedback survey for a city executive and coaching to higher levels of performance (2008-2009) and working with the Water Treatment/Supply team to improve the work culture and environment and respond to findings from the Department survey (2010).
- ✓ United States Courts, Administrative Office of the Courts to assist in developing a strategic plan for the Federal Judiciary (2008), and to assist in implementing the Judiciary's Strategic Plan and aligning the strategic direction of the Administrative Office (2010).

Other recently completed projects include:

- ✓ Vermont Court Manager College to teach a workshop on visioning and strategic planning and organizational change (2010);
- ✓ Pennsylvania Association of Court Management (PACM) and President Judges' Annual Conference to teach on strategic planning (2000) and visioning and strategic planning and succession planning (2010);
- ✓ Exempla Saint Joseph Hospital (Colorado) to assist in developing strategic plans for Surgical Services, the Medicine Program, and Nursing Administration (2009-2010);
- ✓ City of Golden (Colorado) to facilitate a community-engagement visioning and planning process resulting in a Vision 2030 and long-range strategic plan (2009-2010);
- ✓ San Luis Obispo County Superior Court to develop and implement a long-range strategic plan (2009-2010);
- ✓ Dingo Maintenance Systems, Inc., to administer and summarize an employee survey for staff located in Australia, Canada, and the United States (2009-2010);

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- ✓ Longmont United Hospital (Colorado) to conduct a survey of physicians (in 2009 and in 2010) to assist in developing a long-range strategic plan (2009) and a medical staff development plan (2010);
 - ✓ Michigan Court Managers' Annual Conference to teach a plenary session on implementing succession planning programs (2009);
 - ✓ National Association for Court Management to make a presentation on "managing change" at the Annual Conference (2009);
 - ✓ United States Courts, Sixth Circuit District and Bankruptcy Clerks= Annual Conference to make a presentation on "managing change" (2009);
 - ✓ Florida Judicial Management Council and Office of the State Courts Administrator to develop a branch strategic plan (1996-1998); and to assist in designing and facilitating public involvement in the strategic planning process including an assessment of perceptions of procedural fairness and updating the branch strategic plan (2007-2008);
 - ✓ Colorado Judicial Branch and County Sheriffs of Colorado to facilitate a statewide court security conference to enhance collaboration among members of the local security team. This work also included conducting a survey of all members of the local security teams across Colorado (2008-2009);
 - ✓ Santa Barbara County Superior Court to assist in revising/updating the Court's long range strategic plan by designing and facilitating a planning process for the Court's Executive Committee., which included conducting a survey of all judicial officers and court personnel. This work also included facilitating a Judge's Retreat to strengthen the Court (2007) and to facilitate a long-range strategic planning process (2008-2009);
 - ✓ Ventura County Superior Court to facilitate an Executive Management Retreat to enhance the manner in which court services are provided (2007) and to enhance and expand the Court's succession planning program including conducting 360-feedback for and coaching managers (2008-2009);
 - ✓ The courts of New Orleans (Orleans Parish) to facilitate a strategic planning process, strengthen court governance, and to consolidate the criminal, civil, and juvenile courts (2007-2008);

- ✓ California State Bar Court to conduct (1) a survey of court users on the court's performance including perceptions of procedural fairness and (2) an organizational climate survey of staff, and assist in the development of improvement plans (2003-2004, 2008);
- ✓ Contra Costa County Superior Court to provide management consulting services to enhance the performance of the management team and ultimately improve services provided to court users and judicial officers (2007-2008);
- ✓ City of Richmond (Virginia), Juvenile and Domestic Relations District Court to facilitate an initial long-range strategic planning and continuous quality improvement processes (2004-2006), and to facilitate a process to review/revise the strategic plan and conduct a survey of justice system partners including perceptions of procedural fairness (2007-2008);
- ✓ 16th Judicial Circuit Court, Jackson County, Kansas City, Missouri to facilitate a Judge's Strategic Planning Retreat and to facilitate a long-range strategic planning process (2007-2008);
- ✓ Pacific Judicial Council to teach a strategic planning workshop in the Northern Marianas Islands (2006), and a workshop on essential components of courts and procedural fairness in the Federated States of Micronesia (2008);
- ✓ Ottawa County, Michigan to assist in developing a long-range technology plan to update, replace, and advance the technology used to provide services to County residents (2007-2008);
- ✓ Mohave County Courts, Arizona to develop a strategic plan (2007-2008);
- ✓ California Judicial Council to provide strategic and operational planning assistance including an assessment of Task Forces and Committees (2004-2007);
- ✓ California Administrative Office of the Courts to develop a "Connecting with Constituencies" Guide and conduct training for trial court leaders (2005-2007);
- ✓ Solano County Superior Court (California) to facilitate a strategic planning process (2006-2007);

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- ✓ Pennsylvania Judiciary to assist in strategic planning efforts with the Judicial Council of Pennsylvania and the Commission on Judicial Independence (2007);
 - ✓ The Orange County Superior Court, California, Community-Based Strategic and Operational Planning Project to (1) develop a long range strategic plan, (2) conduct an extensive internal and external customer survey, (3) develop an operational plan, (4) establish baseline measures from which to measure progress, (5) facilitate a community Advisory Forum, judicial leadership, and court manager planning meeting, (6) design and facilitate an organizational change and improvement process around management improvement recommendations, (7) design and facilitate a process for re-evaluating operational priorities, (8) conduct follow-up surveys of judges, court managers, and staff, and (9) conduct a training needs assessment (1999-2007);
 - ✓ Reno Municipal and Justice Courts to evaluate and plan for the consolidation of the courts (2006-2007);
 - ✓ The Judiciary of Guam to develop a branch strategic plan (2006);
 - ✓ Dallas, Texas Workforce Center (PSI) to conduct a planning and teambuilding retreat for the management team (2006);
 - ✓ West Central Texas Workforce Center (PSI) to conduct a planning and teambuilding retreat for the management team (2004-2005)
 - ✓ Environmental Protection Agency, Region 8 to facilitate a large scale organizational improvement process to enhance the work environment and organizational culture (2004-2005);
 - ✓ Essex, Middlesex, and Monmouth Vicinages (New Jersey) to conduct a strategic planning workshop, and assist the New Jersey Conference of Human Resource Managers in developing a long-range strategic plan (2005);
 - ✓ Policy Studies Inc. to conduct an organizational climate survey of Child Support Operations Division staff and assist in the development of an improvement plan (2004);
 - ✓ Colorado Department of Public Health and Environment to facilitate a large stakeholder planning and priority setting meeting to improve public health emergency preparedness (2004);

- ✓ Colorado Chief Judges and District Administrators' Strategic Planning Retreat to identify priority issues and develop a plan of action (2004);
- ✓ The Massachusetts Department of Public Health, Bureau of Communicable Diseases to conduct a bio-terrorism needs assessment (web-based survey) throughout the Commonwealth (2003-2004);
- ✓ The Massachusetts Department of Public Health, Center for Emergency Preparedness to assist in developing regional public health structures to enhance regional emergency planning and preparedness (2003-2004, 2006);
- ✓ U.S. District Court, Southern District of Florida to develop a long-range strategic plan and measurement system (2003-2004);
- ✓ Philadelphia Court of Common Pleas to assist in developing a comprehensive management development and succession planning program (2003-2005);
- ✓ A project with the National Center for State Courts, Institute for Court Management to lead and facilitate an on-line chat/discussion forum for participants enrolled in the Court Executive Development program, and to serve as faculty at the three-week residential training program (2001, 2002, 2003, 2004, 2005).
- ✓ Florida Administrative Office of the Courts and the Florida Center for Dispute Resolution to facilitate a process for assessing and recommending a standardized statewide mediation model when the state moves to state funding in 2004 (2003);
- ✓ PSI Arista, a nationally recognized healthcare consulting firm, to facilitate planning processes with principal and senior consultants to develop an acquisition transition strategy and two year strategic and operational plans to achieve financial and other goals/targets (2002-2003);
- ✓ Montgomery County Court of Common Pleas (Dayton, Ohio) Strategic Planning Project to develop a long term strategic direction for the Court and assist in implementation (2002-2003); and
- ✓ Florida Pharmacists Association to assist in developing a long-range strategic plan (2003);
- ✓ Denver Metro Convention Bureau to facilitate a planning and priority setting retreat for the Board of Directors (2003);

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- ✓ Los Angeles Superior Court, California, Succession Planning & Leadership Development Project to identify competencies for key positions, complete 360-degree feedback assessments, coach executives, and develop a leadership talent pool and ongoing development program (2002-2003);
 - ✓ The Los Angeles Superior Court to facilitate a strategic planning process and conduct training on strategic planning and continuous quality improvement for the Court's judicial and administrative leadership (2000-2002, 2004);
 - ✓ OBGYN Associates, the largest OBGYN medical practice in Denver, to assess corporate structure and operations and assist the Board of Directors in implementing improvement strategies (2002);
 - ✓ A Massachusetts Department of Public Health Strategic Planning Project to facilitate a comprehensive strategic planning process and develop and implement a strategic plan for the Bureau of Family and Community Health (2000-2002);
 - ✓ An organizational restructuring project with the Massachusetts Department of Public Health, Bureau of Family and Community Health (2002);
 - ✓ A Massachusetts Department of Public Health, Division of Nutrition Services project to re-organize and update its long range strategic plan (2001-2002);
 - ✓ A Maryland Administrative Office of the Court's Organizational Assessment and Planning project to develop targeted improvement strategies for enhancing organizational performance and effectiveness (2001-2002);
 - ✓ An executive team building session with senior staff from the Maryland Administrative Office of the Court (2002);
 - ✓ A special presentation on organizational performance measurement systems before the Urban Court Managers' Network – taking the measurement of court performance to the next level (2002);
 - ✓ Colorado Court Manager's Association & Colorado State Court Administrative Office joint planning meeting to follow-through on improvement strategies (2001-2002);
 - ✓ Missouri Supreme Court, Family Court Committee Planning Project to develop a plan for improving Family Court services (2002);

- ✓ The U.S. Department of Health and Human Services, Administration of Families and Children Executive Leadership Training project to develop a leadership curriculum, design and administer 360-degree feedback questionnaires, and facilitate two training programs and a follow-up Leadership Forum for state child support enforcement executives (2000-2002);
- ✓ The Hawaii State Judiciary "Achieving Court Excellence" Project to implement changes and improvements pursuant to the Court Improvement Initiatives Project of 1998-1999 (1999-2001);
- ✓ The Fourth District Court of Appeals of Florida continuous quality improvement project to improve work processes and enhance the performance of the court (2000-2001);
- ✓ The National Institute of Justice Criminal Justice System Evaluation Project to assess the National Institute of Corrections' approach to developing and implementing justice system improvements in eight demonstrations sites (1997-2001);
- ✓ The Orange County Superior Court Self-Represented Litigants Action Planning Team Project to facilitate a process for developing recommendations to improve services to self-represented litigants (2001);
- ✓ The Geological Society of America leadership development and organizational change project to enhance the leadership abilities of executive and middle managers and implement organizational, group, and individual interventions to enhance the work climate (2000);
- ✓ The Twelfth Judicial Circuit of Florida (Sarasota) Strategic Planning and Mentoring Project to align the trial court's strategic plan with the State Judiciary's long range plan and teach/mentor others in the State to replicate the strategic planning and alignment process (1998-2000);
- ✓ The Fourth Judicial District Court of Hennepin County, Minnesota (Minneapolis) Strategic Planning Project to develop a long range strategic plan and align budgeting and quality initiatives with the plan (1998-2000);
- ✓ The Eleventh Judicial Circuit of Florida (Dade County/Miami) Assessment and Strategic Planning Project to conduct an organizational assessment and develop a long range strategic plan (1998-2000);

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- ✓ The Ounce of Prevention Fund of Florida, Florida Commission on Responsible Fatherhood Strategic Planning project to develop a long range plan and identify annual priorities (1997-2000);
 - ✓ The Hawaii State Judiciary Improvement Initiative to assess the state court system and develop an improvement plan (1998-1999);
 - ✓ The Child Support Services of Arizona Work Re-design Project to radically improve office efficiency, effectiveness, and overall performance (1998-1999);
 - ✓ The Philadelphia Court of Common Pleas Continuous Quality Improvement Project to improve court performance, productivity, and service throughout the Civil Section (1999);
 - ✓ The Environmental Protection Agency, Region 8, Organizational Assessment to improve organizational performance, culture, and climate (1998-1999);
 - ✓ The National Association of Counsel for Children Membership Development Study to increase the level of services offered to its present members and increase the membership base (1998-1999);
 - ✓ The Geological Society of America Team Assessment and Team Building project to improve departmental performance (1997-1999);
 - ✓ The Hawaii State Judiciary Technology Project to review caseflow practices and identify technology needs and specifications for an integrated technology system (1998);
 - ✓ The Continuous Quality Improvement (CQI) in the Courts project to assist two diverse trial courts in Maryland and Ohio implement and test a CQI strategy/approach and prepare an Implementation Guide for court practitioners (1996-1998);
 - ✓ The California State Bar Court Executive Retreat to (1) develop a plan to address an immediate crisis; (2) improve team performance and Court productivity; and (3) conduct a workshop to help staff transition through dramatic and difficult change (1995 and 1999);
 - ✓ A community-based strategic planning project in the Family Court of the Eighth Judicial Circuit of Florida (Gainesville) to develop a comprehensive long range plan to make system wide improvements;

- ✓ The Florida Conference of Circuit Court Judges planning project to establish one to two year priorities and develop an operational plan;
- ✓ A Federal Office of Child Support Enforcement Region VII Leadership Training Grant to train senior and middle managers on progressive leadership skills and practices (included a 360-degree feedback component) (1995-1996);
- ✓ An Iowa Continuous Quality Improvement Project to train nearly 500 state child support workers on CQI principles, practices, and tools (included a 360-degree feedback component);
- ✓ The Denver District Attorney's Office Organizational Assessment to identify and solve issues and improve organizational performance, culture, and climate;
- ✓ A Long Range Strategic Planning For Trial Courts Project to develop an approach to long range strategic planning for courts and develop a Training Guide;
- ✓ Over 25 other state and local trial court long range strategic planning initiatives in Michigan, California, Florida, North Carolina, Maryland, and Missouri; and
- ✓ Over 25 training workshops to private, public, and not-for-profit organizations on long range strategic planning, leadership, and continuous quality improvement in Ohio, Wisconsin, Michigan, Florida, Maryland, Washington, D.C., North Carolina, Colorado, Nebraska, Iowa, Missouri, Kansas, Georgia, and Arizona.

PRIOR EXPERIENCE

**Management Development Specialist
Mountain States Employers Council, Inc**

1989 - 1990

Wagenknecht-Ivey taught management and supervisory workshops on the following topics: interpersonal communication, leadership, group dynamics, team work and team building, conflict management and resolution, presentation skills, coaching skills, train the trainer, and implementing and managing change.

She consulted with upper and middle management on organizational and training needs; assisted in identifying business opportunities and problems; made recommendations for achieving desired outcomes.

Wagenknecht-Ivey also assisted member companies in all areas of personnel administration including: reviewing employee handbooks and policy manuals, answering questions related to recruitment and hiring practices, discipline, terminations, and performance appraisals.

Senior Staff Associate 1988 - 1989
Staff Associate 1986 - 1988
National Center for State Courts, Institute for Court Management

Wagenknecht-Ivey designed, directed, and coordinated an organization-wide training program for all employees. She directed, administered, and managed the work flow, staff, and budget of a one-year, national judicial education project funded by the State Justice Institute.

Wagenknecht-Ivey served as employee relations specialist in the Denver Office. She assisted in recruiting, interviewing, and hiring; reviewed job descriptions; and advised supervisors on disciplinary issues, performance appraisals, and standardized hiring practices. She designed and developed curricula for national seminars including collective bargaining, employee relations, managing human resources, and personnel administration. She wrote marketing brochures for national distribution. Wagenknecht-Ivey also directed and taught workshops on the following topics: collective bargaining, employee relations, training and development, implementing organizational change, compensation, leadership, and employee motivation.

Director
Child Support Judicial Education Project 1986 - 1989

Wagenknecht-Ivey directed, administered, and managed the workflow and budget of a three-year, \$625,000 national child support judicial education training contract funded by the U.S. Department of Health and Human Services, Office of Child Support Enforcement. She developed, implemented, and measured variance from the project plan.

Wagenknecht-Ivey provided technical assistance to state and trial courts and to state and local human service agencies. She analyzed organizational systems and made recommendations for change. She supervised and coordinated the work of professional staff at headquarters and two regional offices.

Wagenknecht-Ivey negotiated contracts and supervised the work of private consultants. She directed two national child support conferences. She also designed, directed, and taught workshops on numerous child support topics.

Court Analyst II 1984 - 1986
Court Analyst I 1984
Michigan Supreme Court, State Court Administrative Office

Wagenknecht-Ivey analyzed pending and new legislation, assessed fiscal and operational impact on the system, recommended changes, and developed implementation strategies. She supervised professional and clerical staff and daily operations of the department. Wagenknecht-Ivey chaired/co-chaired several statewide policy-making committees, which reviewed policies that impacted daily operations of 83 counties. She updated an administrative manual for statewide employees. Wagenknecht-Ivey compiled and analyzed grievance and statistical reports and conducted trend analyses. She also designed and coordinated training programs for 450 statewide employees.

Senior Enforcement Officer 1983 - 1984
Enforcement Officer 1980 - 1983
37th Judicial Circuit Court, Friend of the Court Office

Wagenknecht-Ivey managed 800 to 1,100 civil child support and paternity cases. She developed and taught a training program for professional staff on effective computer usage. Wagenknecht-Ivey enforced court orders regarding custody, visitation, and child support through the use of court hearings, in-office meetings, and correspondence. She also investigated child custody and visitation complaints, prepared reports, and made recommendations to the Circuit Court.

EDUCATION

Bachelor of Social Work, Magna Cum Laude, Western Michigan University
Master of Labor and Industrial Relations, Michigan State University
Ph.D., Organizational Behavior/Communication, University of Denver

PUBLICATIONS

Wagenknecht-Ivey, Brenda J. *"Succession Planning De-Mystified, Modernized, and Simplified: A Call to Action and A Blueprint for Success."* In progress, 2010.

Wagenknecht, Brenda J. *"Strategic Thinking and Planning – Essential Skills for the future."* In progress, 2010.

Wagenknecht-Ivey, Brenda J. & Kevin J. Bowling. "A Strategic Planning Process that has Yielded Significant Results: The Experience of Two Michigan Courts," *Court Manager*, Volume 23, Number 2, Summer 2008.

Wagenknecht-Ivey, Brenda. *A Think Piece on Procedural Fairness: What it is, A Review of National and State Activities, & Suggestions for a Branchwide Initiative*. Prepared for the California Judicial Council. February 2007.

Wagenknecht-Ivey, Brenda J. & Steven Weller. *California's Courts: Connecting with Constituencies*. Prepared for California Judicial Council & Administrative Office of the Courts. February 2007.

Wagenknecht-Ivey, Brenda J. *Results of Court User Survey*. Prepared for the 20th Judicial Circuit and Ottawa County Probate Courts. September 2006.

Wagenknecht-Ivey, Brenda J. & Steven Weller. *Trends and Stakeholder Data Synthesis Report: Policy Implications and Recommendations*. Prepared for the California Judicial Council 2006 Planning Meeting. June 2006.

Wagenknecht-Ivey, Brenda J. & David C. Lawrence. *Succession Planning: Preparing Your Court for the Future*. SJI Grant. 2006.

Wagenknecht-Ivey, Brenda J. *Recommendations for Improving Public Trust and Confidence: Analysis of Trial Court Plans and AOC Strategic Projects*. Prepared for the California Judicial Council 2005 Planning Meeting. June 2005.

Wagenknecht-Ivey, Brenda J. *Analysis of Stakeholder Data & National Trends*. Prepared for the California Judicial Council 2004 Planning Meeting. June 2004.

Wagenknecht-Ivey, Brenda J. *2004-2008 Long Range Strategic Plan*. U.S. District Court, Southern District of Florida. January 2004.

Wagenknecht-Ivey, Brenda J. "360-Degree Feedback: Are You Using This Tool in Your Court Organization?," *National Association of State Judicial Educators Website, Manager's Briefcase*, Summer 2003 (<http://nasje.unm.edu/current-newsletter/managers.htm>).

Warner, Martha C., Marilyn Beuttenmuller, & Brenda J. Wagenknecht-Ivey. "Improving Court Operations: A Quality Improvement Project in Florida's Fourth District Court of Appeal," *The Judge's Journal*, Volume 41, Number 2, Spring 2002.

Wagenknecht-Ivey, Brenda J. & Elizabeth Weinstein. *Innovative Leadership Practices in Child Support Enforcement: A Trainer's Guide*. U.S. Department of Health and Human Services. Policy Studies Inc. May 2002.

Martin, John A. and Brenda J. Wagenknecht-Ivey. "Five Reasons Why Judicial Leaders Should be Involved with & Support Strategic Planning in their Courts", *The Judges' Journal*, Volume 40, Number 2, Spring 2001.

Wagenknecht-Ivey, Brenda J. & David A. Price. *Users' Rating of the Court's Performance: Final Survey Results*. Orange County Superior Court, Santa Ana, California, December, 2001.

Wagenknecht-Ivey, Brenda J., John A. Martin, and Brian Lynch. *Strategic Planning Mentoring Guidelines: Practical Tips for Court Leaders*. Florida Administrative Office of the Courts. October 2000.

Martin, John A. and Brenda J. Wagenknecht-Ivey. "Courts 2010: Critical Trends Shaping the Courts in the Next Decade", *The Court Manager*, National Association for Court Management, Volume 15, Number 1, July 2000.

Wagenknecht-Ivey, Brenda J. *Orange County Superior Court Long Range Strategic Plan*. Santa Ana, California, December 1999.

Wagenknecht-Ivey, Brenda J. "Bringing About Change in Courts: Tips for Success", *Court Communique*, National Association for Court Management, June 1999.

Wagenknecht-Ivey, Brenda, David A. Price, and John A. Martin. *Hawaii State Judiciary: Achieving Court Excellence*. Hawaii State Judiciary, Plan Review Committee, April 1999.

Wagenknecht-Ivey, Brenda J. *A Guide to Implementation Planning*. Supreme Court of Florida, Office of the State Courts Administrator, July 1998.

Wagenknecht-Ivey, Brenda J., David A. Price, and John A. Martin. *Continuous Quality Improvement in the Courts: A Practitioner's Handbook*. Denver: Center for Public Policy Studies, March 1998.

Wagenknecht-Ivey, Brenda J. *Eighth Judicial Circuit Court: Strategic and Operational Plan for the Family Court*. Gainesville, Florida, Spring 1997.

Martin, John A., Brenda J. Wagenknecht-Ivey, Steven Weller, and David A. Price. *Shaping the Future of Justice: Strategic Planning in the Courts*. The Judges' Journal, Volume 36, Number 2, Spring 1997.

Wagenknecht-Ivey, Brenda J., John A. Martin, Steven Weller, and David A. Price. *Lessons for Successful Strategic Planning*. Court Manager, Volume 11, Number 2, Spring 1996.

Martin, John A., Brenda J. Wagenknecht-Ivey, Steven Weller, and David A. Price. *Strategic Planning in the Courts: Implementation Guide*. Denver: Center for Public Policy Studies, October 1995.

Wagenknecht-Ivey, Brenda J., John A. Martin, Steven Weller, and David A. Price. *Charting the Course for Michigan Justice*. Lansing: Michigan Supreme Court - Technical Assistance Report, 1995.

Wagenknecht-Ivey, Brenda J., and John A. Martin. *Michigan Judicial Institute Strategic Plan*. Lansing: State Court Administrative Office, 1995.

Wagenknecht-Ivey, Brenda J., and John A. Martin. *Isabella County Courts Strategic Plan*. Mt. Pleasant, Michigan: Circuit Court, 1995.

Martin, John A., Brenda J. Wagenknecht-Ivey, and Steven Weller. *Strategic Planning and Management for the Nation's Courts: An Implementation Guide*. Denver: Center for Public Policy Studies, 1995.

Martin, John A., and Brenda J. Wagenknecht-Ivey. *Michigan State Court Administrative Office Strategic Plan*. Lansing: State Court Administrative Office, 1995.

Martin, John A., and Brenda J. Wagenknecht-Ivey. *North Carolina Administrative Office of the Courts Strategic Plan*. Raleigh: Administrative Office of the Courts, 1995.

Wagenknecht-Ivey, Brenda J. *Are Citizens Getting What They Deserve (And Demand)? Total Quality Service*, Colorado Municipalities, Volume 70, Number 2, July 1994.

Wagenknecht-Ivey, Brenda J. *An Approach to Long Range Strategic Planning for the Courts: Training Guide*, 1990.

Wagenknecht-Ivey, Brenda J. "Analysis of the Family Support Act of 1988," *Family Law Newsletter*, Washington State Bar Association, March 1990, p. 1.

Judicial Education Curriculum: Teaching Guides on Court Security and Jury Management and Impanelment. Wrote Trainer's Notes for the entire *Guide*. Published by the National Center for State Courts, 1990.

Child Support Judicial Curriculum Guide. Author of one unit: "Overview of the Federal Child Support Enforcement Program: What Judges Should Know." Published by the Federal Office of Child Support Enforcement, U.S. Department of Health and Human Services, 1990. Also, wrote Trainer's Notes for several additional units of the *Curriculum Guide*.

Weisberg, Elizabeth J. and Brenda J. Wagenknecht-Ivey. "Changes in Interstate Child Support Enforcement: A New Regulation and Standardized Forms," *State Court Journal*, Volume 13, Number 1, Winter 1989, pp. 18-23.

ORGANIZATIONAL DEVELOPMENT/TRAINING EXPERIENCE

Continuous Quality Improvement Implementation/Workshops. Clients have included:

- ✓ Los Angeles Superior Court, California
- ✓ Florida's Fourth District Court of Appeal, West Palm Beach
- ✓ Wisconsin Clerks of the Circuit Court
- ✓ Philadelphia Court of Common Pleas
- ✓ Child Support Services of Arizona
- ✓ National Conference of Appellate Court Clerks
- ✓ Hawaii State Judiciary
- ✓ Florida Office of the State Courts Administrator
- ✓ Iowa Child Support Recovery Unit
- ✓ Prince George's County Circuit Court, Upper Marlboro, Maryland
- ✓ Butler County (Ohio) Domestic Relations Court
- ✓ Cumberland County Court System, Fayetteville, North Carolina
- ✓ City of Lamar (Colorado)
- ✓ District of Columbia Courts
- ✓ Child Support Services of Wyoming, Tennessee, Georgia, Arizona, and Nebraska
- ✓ Michigan Judicial Institute
- ✓ National Child Support Enforcement Association
- ✓ Samsonite
- ✓ Somatogen
- ✓ Synergen
- ✓ City of Thornton, Colorado

Long Range Strategic Planning Workshops, Training, and Facilitation.

Clients have included:

- ✓ Michigan Supreme Court
- ✓ Michigan State Court Administrative Office
- ✓ Michigan Judicial Institute
- ✓ Isabella County Courts (Mt. Pleasant, Michigan)
- ✓ North Carolina Administrative Office of the Courts
- ✓ Missouri Judicial Education Committee
- ✓ Wisconsin Supreme Court Policy and Planning Advisory Committee
- ✓ US Sprint
- ✓ Conference of the County Court Judges of Florida
- ✓ Eighth Judicial Circuit Court, Gainesville, Florida
- ✓ Florida Supreme Court, Office of the State Courts Administrator
- ✓ Family Court Steering Committee of the Judicial Management Council, Florida
- ✓ Florida State Bar
- ✓ Florida Commission on Responsible Fatherhood
- ✓ Florida Conference of Circuit Court Judges
- ✓ Eleventh Judicial Circuit Court, Miami/Dade, Florida
- ✓ Fourth Judicial District Court of Hennepin County, Minneapolis, Minnesota
- ✓ National Conference of Appellate Court Clerks
- ✓ National Conference of Appellate State's Attorneys
- ✓ Association of Municipal and County Judges of Ohio
- ✓ Florida College of Advanced Judicial Studies
- ✓ Twelfth Judicial Circuit Court, Sarasota, Florida
- ✓ Orange County Superior Court, Santa Ana, California
- ✓ 36th District Court, Detroit, Michigan
- ✓ Hennepin County District Court, Minneapolis, Minnesota
- ✓ Michigan Pharmacists Association
- ✓ Pennsylvania Association for Court Management and President Judges' Annual Conference
- ✓ Los Angeles Superior Court, California
- ✓ Second Appellate District, Illinois
- ✓ Massachusetts Department of Public Health, Bureau of Family & Community Health & Nutrition Services Division
- ✓ Missouri Supreme Court, Family Court Committee
- ✓ Colorado Court Manager's Association
- ✓ PSI Arista
- ✓ U.S. District Court, Southern District of Florida
- ✓ Montgomery County Court of Common Pleas, General Division
- ✓ Denver Metro Convention Bureau

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- ✓ Colorado Department of Public Health
 - ✓ Colorado Department of Agriculture
 - ✓ 20th Judicial Circuit Court/Ottawa County Probate Courts
 - ✓ Judiciary of Guam
 - ✓ Pacific Judicial Council
 - ✓ Solano County Superior Court, California
 - ✓ California Judicial Council
 - ✓ Pennsylvania Judicial Council & Commission on Judicial Independence
 - ✓ Mohave County Courts (Kingman, Arizona)
 - ✓ Coconino County Courts (Flagstaff, Arizona)
 - ✓ Colorado Pharmacy Society
 - ✓ Richmond Juvenile and Domestic Relations District Court
 - ✓ Santa Barbara County Superior Court
 - ✓ Jackson County Circuit Court, Kansas City
 - ✓ Courts of Orleans Parish (criminal, civil, juvenile, & city courts)
 - ✓ Longmont United Hospital (Colorado)
 - ✓ Exempla Saint Joseph Hospital (Colorado)
 - ✓ City of Golden (Colorado)
 - ✓ San Luis Obispo County Superior Court
 - ✓ Vermont Manager College
 - ✓ Administrative Office of the U.S. Courts

Organizational Development and Training. Wagenknecht-Ivey provided organizational development and training on various management and supervisory topics and/or facilitated focus groups/meetings in the following organizations:

- ✓ Samsonite, Inc.
- ✓ Jeppesen Sanderson
- ✓ Mail-well Envelope
- ✓ Synergen, Inc.
- ✓ Wagner Equipment Company
- ✓ Invetech/Moore Bearing
- ✓ Wharf Resources
- ✓ National Board of Chiropractic Examiners
- ✓ Foothills Metro Rec and Parks
- ✓ North Metro Community Services
- ✓ Prairie Tek
- ✓ Maxtor Colorado
- ✓ Larimer County
- ✓ Great-West Life Assurance
- ✓ Pikes Peak Library District

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- ✓ Cleo Wallace Center
 - ✓ TakeCare Employee Benefits
 - ✓ National Association for Court Management
 - ✓ Minnesota Family Support Council
 - ✓ National Child Support Enforcement Association
 - ✓ Somatogen, Inc.
 - ✓ Denver District Attorney's Office
 - ✓ Cortech, Inc.
 - ✓ State Bar Court, State Bar of California
 - ✓ pSIBER Technologies, Inc.
 - ✓ Michigan Pharmacist's Association
 - ✓ Delaware County Juvenile Court (Ohio)
 - ✓ National Institute of Corrections
 - ✓ The Geological Society of America
 - ✓ Environmental Protection Agency - Region 8
 - ✓ National Association of Counsel for Children
 - ✓ Maryland Administrative Office of the Courts
 - ✓ U.S. Department of Health and Human Services, Administration of Families and Children
 - ✓ OBGYN Associates (Denver)
 - ✓ Massachusetts Department of Public Health
 - ✓ Gerald H. Phipps, Inc.
 - ✓ Ventura County Superior Court
 - ✓ Contra Costa County Superior Court
 - ✓ City of Thornton, Colorado
 - ✓ Michigan Circuit and District Court Manager's Association
 - ✓ United States Courts, Sixth Circuit District and Bankruptcy Clerks= Conference
 - ✓ Ohio Supreme Court, Judicial College
 - ✓ Michigan Court Manager's Association
 - ✓ MKK Consulting Engineers, Inc.

PUBLIC SPEAKING/CONFERENCE PRESENTATIONS

Wagenknecht-Ivey served as a guest speaker/faculty on various child support enforcement topics before the following organizations:

- ✓ Minnesota Administrative Process Training, 1992
- ✓ National Child Support Enforcement Association, 1985 - 1989, 1992- 1995
- ✓ Eastern Regional Interstate Child Support Enforcement Association, 1985 - 1989
- ✓ National Judicial College, 1987 - 1989
- ✓ National Juvenile College, 1988 and 1989

- ✓ Conference of Chief Justices, 1988
- ✓ Conference of State Court Administrators, 1988
- ✓ National Association for Court Management, 1988, 1995, 1998, 2000, 2002, 2003, 2004
- ✓ Western Regional Child Support Enforcement Association, 1988
- ✓ Michigan Judicial Institute, 1985 and 1986
- ✓ Michigan Judges' Association, 1984 and 1985
- ✓ Friend of the Court Association, 1984 and 1985
- ✓ Michigan Family Support Council, 1984 and 1985
- ✓ Family Law Section of the Michigan Bar Association, 1984 and 1985
- ✓ Prosecuting Attorney's Association, 1984 and 1985

Wagenknecht-Ivey served as guest speaker at the following state child support conferences: Michigan, North Carolina, Maryland, California, Tennessee, Illinois, Alabama, North Dakota.

Wagenknecht-Ivey served as a guest speaker on collective bargaining before the Oregon Association for Court Administrators, 1988.

TECHNICAL ASSISTANCE

Wagenknecht-Ivey provides technical assistance on various child support enforcement issues to the following states:

- ✓ Illinois Supreme Court, Administrative Office of the Courts
- ✓ Iowa Supreme Court, Administrative Office of the Courts
- ✓ Arizona Supreme Court, Administrative Office of the Courts
- ✓ California Administrative Office of the Courts, State Legislature, and Human Service Agency
- ✓ Wyoming Human Service
- ✓ Colorado Judicial Department, Administrative Office of the Courts
- ✓ Alabama Supreme Court, Administrative Office of the Courts
- ✓ North Carolina State Court Administrative Office and Human Service Agency
- ✓ Ohio Supreme Court
- ✓ Utah Supreme Court, Administrative Office of the Courts
- ✓ Georgia Supreme Court, Administrative Office of the Courts

HONORS AND ASSOCIATIONS

Western Michigan University Academic Scholarship

Mortar Board Senior National Honor Society

University of Denver Dean's Scholarship and Graduate Teaching Assistantship

Brenda J. Wagenknecht-Ivey, Ph.D.
President, PRAXIS Consulting, Inc.
303.888.7939
bwagen@praxisconsulting.org
www.praxisconsulting.org

Highlights of Dr. Wagenknecht-Ivey's strategic planning experience:

- Dr. Wagenknecht-Ivey developed and field-tested the first strategic planning model and approach for courts in 1991 with Dr. John A. Martin and with funding from the State Justice Institute. Dr. Wagenknecht-Ivey has continuously refined the model and approach over time based on her experiences using it in organizations of all types. The model and approach were most recently revised in early 2010.
- Since 1991, Dr. Wagenknecht-Ivey has facilitated more than 100 strategic planning and organizational change processes for private, public, and not-for-profit organizations across the United States and internationally. Her strategic planning and organizational development consulting experience exceeds by far any other court consultant or court consulting organization.
- Specifically, Dr. Wagenknecht-Ivey has facilitated strategic planning processes or taught on this topic for: State Court Systems, State Court Administrative Offices, State Judicial Councils, Judicial Colleges, general and limited jurisdiction trial courts, court-affiliated organizations, court and judicial associations, the federal judiciary, the Administrative Office of the U.S. Courts, and court organizations internationally.
- All of the aforementioned strategic planning efforts have resulted in strategic plans for organizations that serve as a compass for leaders, managers, and staff. Dr. Wagenknecht-Ivey's process of developing the strategic plans is inclusive and comprehensive, and builds commitment and prepares the organization for change, all of which contribute to follow-through and success.
- Dr. Wagenknecht-Ivey has published numerous guidebooks, articles, and mentoring guidelines for courts on long-range strategic planning. She is considered a leader in the field.

Below are examples of courts/court organizations that Dr. Wagenknecht-Ivey has worked with over the past 19 years:

State Court Systems, State Court Administrative Offices, Judicial Councils, State Commissions:

- Michigan
- Florida
- Pennsylvania
- Missouri
- California
- Hawaii

Trial Courts

- Courts of Essex, Middlesex, and Monmouth Vicinages (New Jersey)
- City of Richmond Juvenile and Domestic Relations Court
- Twelfth Judicial Circuit of Florida (Sarasota)
- Eleventh Judicial Circuit of Florida (Dade County/Miami)
- 36th District Court (Detroit)
- 20st Judicial Circuit Court/Ottawa County Courts (Grand Haven, Michigan)
- Orleans Parish Courts (New Orleans)
- 16th Judicial Circuit Court, Jackson County (Kansas City)
- Mohave County Courts (Arizona)
- Coconino County Courts (Arizona)
- Los Angeles Superior Court
- Orange County Superior Court (California)
- San Luis Obispo Superior Court (California)
- Santa Barbara Superior Court

Judicial Colleges, Associations and Other Court Organizations

- Vermont Judicial/Court Manager College
- Pennsylvania Association for Court Management/President Judges' Annual Conference
- National Association for Court Management
- Denver District Attorney's Office
- California State Bar, State Bar Court

Federal Judiciary, International Court Organizations

- United States Courts, Administrative Office of the Courts
- U.S. District Court, Southern District of Florida
- Guam
- Pacific Judicial Council