State of Maine

ADMINISTRATIVE OFFICE OF THE COURTS





ANNUAL REPORT

1977

State of Maine

ADMINISTRATIVE OFFICE OF THE COURTS

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March 9, 1977

Chief Justice Armand A. Dufresne, Jr. Governor James B. Longley Members of the 108th Legislature

Pursuant to 4 M.R.S.A. 17, Sec. 10, transmitted herewith is the first annual report of the Administrative Office of the Courts. By prior agreement with the Chief Justice, this report covers the period from August, 1975 through December, 1976.

On behalf of the staff of the Administrative Office of the Courts, I wish to express our deep appreciation to the Chief Justice, the Associate Justices of the Supreme Judicial Court and the Regional Presiding Justices of the Superior Court for their unfailing cooperation and support during these sixteen months. Without their continual assistance, the major accomplishments described herein would never have been possible.

Elizabeth D. Belshaw State Court Administrator

EDB/rsf

MAINE STATE COURT SYSTEM

Supreme Judicial Court

Chief Justice Associate Justices (6)

Superior Court

Regional Presiding Justices (4) Justices (10)

District Court

Chief Judge (1) District Judges (19) Administrative Office of the Courts (10)

Creation of the Administrative Office of the Courts

In 1973, the 104th Legislature created the Trial Court Revision Commission, which proposed court reform legislation adopted by the 107th Legislature. Chief among the Commission recommendations made into law were:

- 1) Designation of the Chief Justice as head of the Judicial Department and responsible for the efficient operation of the Judicial Department;
- 2) Establishment of the Administrative Office of the Courts for the State court system;
 - Development of a unified court budget;
 - 4) Development of a court personnel system;
 - 5) State appropriation for funding the Superior Court;
 - 6) Creation of judicial regions; and
 - 7) Appointment of Superior Court Clerks.

The Administrative Office of the Courts began its work in August, 1975, under a grant from the Maine Criminal Justice Planning and Assistance Agency. Employed under the grant are the State Court Administrator, four Regional Court Administrators, the Fiscal Director and the Secretary. One Administrative Services Officer and an accountant were transferred from the office of Clerk of the Law Court to the Administrative Office of the Courts. When the District Court Administrative Office in Bangor was closed, one accounting clerk position was transferred to the Administrative Office of the Courts, one employee was transferred into the District Court transcription division, and two positions were abolished. The Maine court system now has a professional administrative office including the following positions:

State Court Administrator
Regional Court Administrators (4)
Fiscal Director
Administrative Services Officer
Accountant
Accounting Clerk
Secretary

The State Court Administrator is appointed by and serves at the pleasure of the Chief Justice. Staff for the Administrative Office of the Courts is appointed by the State Court Administrator with approval of the Chief Justice.

Setting Priorities

At meetings with the Supreme Judicial Court in August, 1975, it was determined that the Administrative Office of the Courts should concentrate its initial effort in the Superior Court, because of the advent of state funding of that court on July 1, 1976, and because of the need to implement the regional structure. In addition, the Administrative Office of the Courts was directed to comply with statute by developing a personnel system for the Judicial Department and by preparing a consolidated operating budget for the Judicial Department to be submitted in September of 1976.

Personnel System

In April, 1976, the Administrative Office of the Courts received grants from the Intergovernmental Personnel Agency and Maine Criminal Justice Planning and Assistance Agency, whereby it contracted with Resource Planning Corporation of Washington, D. C. to assist in developing a merit personnel system for court employees.

By July, position classifications had been developed, class descriptions written, a compensation scale established, and the Maine Court System Personnel Policy and Procedures Manual drafted.

After review by the Supreme Judicial Court, the Regional Presiding Justices and District Court Planning and Advisory Committee, the Maine Court Personnel System was promulgated by the Supreme Judicial Court effective July 1, 1976.

Each court employee received a copy of the Policy and Procedures Manual, which covers all aspects of personnel administration for the system, including position classification, compensation, hiring, evaluation, leave, discipline, grievance and appeal.

Implementation of the new personnel system was begun in July and will continue for several months. As part of the implementation process, on August 6, 1976, the Chief Justice appointed the Appeal Board for the Court System. Between August and January, the Appeal Board processed all appeals arising out of the initial classification of non judicial employees of the Judicial Department under the new personnel system.

Budget

In the Fall of 1976, the Administrative Office of the Courts submitted the first consolidated operating budget for

the Judicial Department. This budget was prepared by the Administrative Office of the Courts in consultation with the Chief Justice and the Chief Judge of the District Court, and it was approved in final form by the Chief Justice prior to submission.

Included in the budget request is \$194,803 to operate the Administrative Office of the Courts during fiscal year 1978. A breakdown of that request follows:

Personal Services	\$134,166
General Operation Expense	57,737
Supplies	2,400
Equipment	500

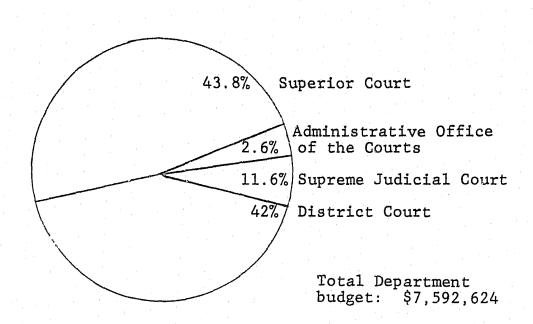
Total: \$194,803

Estimated expenditures submitted for the Supreme Judicial Court, Superior and District Courts for fiscal year 1978 are:

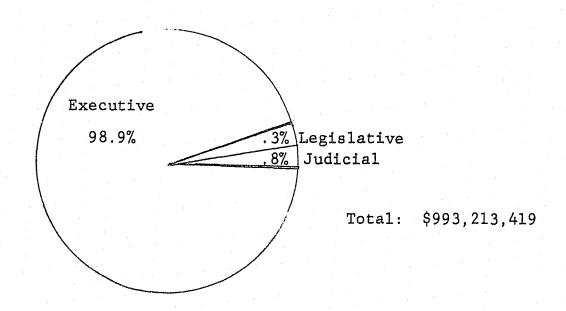
Supreme 3	Judicial	Court		\$883,217
Superior	Court			3,329,286
District	Court			3,185,318

The cost of administering the Judicial Department is less than three percent of the total department budget.

Below is a pie chart showing the percentage cost of the Administrative Office of the Courts in relation to the total Judicial Department budget request:



Below is a pie chart showing the Judicial Department budget request as a percentage of all State agency budget requests for fiscal year 1978:



In order to provide a complete fiscal picture of the Judicial Department, below are appropriate figures:

Superior Court revenue First 6 months FY 1977 (fees and fines): \$188,352.47

District Court revenue First 6 months FY 1977 (fees and fines): 2,655,361.32

Total: \$2,843,713.79

Of this total, \$303,527.70 was dedicated to other State agencies or returned to local governments.

At present, projected net revenue from both courts for FY 1977 is \$5,080,372.18.

Superior Court

Regional Presiding Justices

In 1975, pursuant to the provisions of 4 M.R.S.A. 19, the Chief Justice designated four judicial regions in the State and appointed a Regional Presiding Justice for each region.

Honorable Harry P. Glassman, Region I Cumberland and York counties

Honorable Harold J. Rubin, Region II
Androscoggin, Franklin, Lincoln, Oxford and Sagadahoc
counties

Honorable Lewis I. Naiman, Region III Kennebec, Knox, Somerset and Waldo counties

Honorable David G. Roberts, Region IV
Aroostook, Hancock, Penobscot, Piscataquis and
Washington counties

By Administrative Rule, the Supreme Judicial Court delegated the following duties and responsibilities to the Regional Presiding Justices:

- 1) The supervision of all Superior Court justices assigned to their respective regions and of all non judicial personnel serving the Superior Court within their respective regions.
- 2) The assignment and re-assignment of Superior Court justices within their respective regions.
- 3) The supervision of the caseflow management system in the Superior Courts within their respective regions.
- 4) The implementation and enforcement, within their respective regions, of all administrative rules, orders and policies.
- 5) The securing of uniformity of practices and procedures among the several regions, to the extent practicable, through the issuance of joint directives and administrative orders after consultation with the State Court Administrator.
- 6) The performance of such other functions and duties as may be assigned by the Chief Justice or by rule of the Supreme Judicial Court.

Because the Regional Presiding Justices are full-time judges, the task of providing necessary administrative information and day-to-day management is delegated to the Regional Court Administrators, under direct supervision of the Regional Presiding Justices.

Regional Court Administrators

The Regional Court Administrators are staff members of the Administrative Office of the Courts, but they serve the Regional Presiding Justices and the courts within their regions. Each one is a vital link between the Administrative Office of the Courts, the Regional Presiding Justice and each court in their region. For example, the Regional Presiding Justice is delegated the authority to see that a caseflow management system is implemented within his region, but the Regional Court Administrator actually works with the Calendar Clerk in the implementation of that caseflow management system. The State Court Administrator is delegated the responsibility to see that uniform fiscal policies are implemented in the Superior Court, but the Regional Court Administrators actually work with each clerk to effect that implementation locally.

Being in almost daily contact with the courts within their regions, they continually monitor and study the administrative operation of each court and make recommendations to the State Court Administrator and Regional Presiding Justices regarding the operation of the Superior Court. Under supervision of the State Court Administrator and the Regional Presiding Justices, they direct the day-to-day administrative operation of the region to assure the best possible service to citizens.

Administrative Analysis

In August and September of 1975, the Regional Court Administrators did an administrative analysis of each Superior Court clerk's office. The facts obtained from these studies were discussed with each Regional Court Administrator and with the four Regional Court Administrators at weekly meetings established in September and continued to date.

During these meetings, plans were developed for the administrative reorganization of each office, in order to produce a uniform state-wide system of efficiently operating clerks' offices.

In September, the State Court Administrator and the Regional Court Administrators began monthly meetings with the Regional Presiding Justices. At these meetings, all facets of Superior Court operation were considered, problems discussed, and plans and procedures developed. Decisions made and the resulting procedures developed were implemented in the Superior Courts by the Regional Court Administrators. Policies and procedures affecting Superior Court Justices directly were discussed with them at periodic meetings and a policy consensus developed for implementation.

System Modification

In October, 1975, the Administrative Office of the Courts began to modify Superior Court operations along agreed upon lines. Implementation of changes continues to date and is expected to continue indefinitely. Below are brief descriptions of some of the changes:

1) Workload Redistribution. Where possible, office layouts have been modified to promote efficient internal operation and teamwork. The workload in many offices has been redistributed to effect more efficient workflow and some cross-training. The position of Clerk of Courts is now a full-time position. In the clerks' offices, four full-time positions have been abolished and six full-time positions have been reclassified to part-time positions. Present plans call for elimination of additional positions as vacancies occur.

Functions improperly performed in clerks' offices have been transferred to the proper agency.

- 2) <u>Duplicate and Unnecessary Functions</u>. Internal duplicate functions and unnecessary functions are being eliminated. For example, legislation will be introduced during the 108th Legislature to abolish the extended record, which is a retyping of every paper filed with the court in a particular case.
- 3) Records and Exhibits. Both have been reorganized and properly housed, where possible.
- 4) Dockets and Files. All dockets and files have been inventoried, so that all cases are accounted for and are being processed through the courts. Various dockets have been consolidated. A uniform case numbering system has been developed and implemented.
- 5) Grand Juries. Grand juries are scheduled more frequently to move criminal cases more effectively.
- 6) Standardization of Procedures. Some standardization has been achieved in clerks' offices throughout the state and more will be coming. For example, a uniform docket number system and case indexing system was inaugurated throughout the state on January 1, 1977.
- 7) Research and Writing Time. One week per quarter is scheduled for each Superior Court Justice. During this time, justices do the necessary research and writing for decisions in cases they have taken under advisement.

Justices are asked to submit a list of cases under advisement to the Regional Presiding Justice each quarter. When possible, additional research and writing time is allocated to Justices who have accumulated more cases than can be disposed during the scheduled time.

8) <u>Secretarial Assistance</u>. Secretarial assistance is available to Justices in each region now, either on a full-time or part-time basis.

Individuals in Custody Form. Each county sheriff is requested to submit a list of those persons incarcerated in the county jail to the Regional Court Administrator once a week. Superior Court Justices have determined that cases involving incarcerated defendants should be given priority settings. is the responsibility of the Regional Court Administrator to work with the appropriate Calendar Clerk to move these cases. Juvenile Appeal Cases. By consensus of Superior Court Justices, these cases have been given priority status and are now scheduled almost immediately after they are filed. Notification to Register of Deeds. In the past, notification to the Register of Deeds, regarding filing of cases involving real property disputes, was often prepared by These forms are now prepared by attorneys involved in these cases. Passport and Naturalization Fees. Fees for processing these forms now accrue to the State. 13) Warrants of Arrest. Warrants are now issued only to District Attorneys or Sheriffs, as determined by the individual Regional Presiding Justice. Execution is made pursuant to statute and rule. Clerks no longer issue warrants directly. Attorney Credit. Attorneys are now required to pay appropriate court charges immediately. 15) <u>Law Clerks</u>. Because of workload and the logistical problems of a circuit court system, Superior Court Justices were increasingly unable to allocate library research time necessary for decision preparation. To assist them in decision research, two law clerk positions have been created. One position is located in Portland and one in Bangor. 16) Indigency Cases. An indigency determination form has been developed for use in both Superior and District Court as well as a voucher for payment for services for indigent defendants. These forms will assist Justices, Judges and the Administrative Office of the Courts in handling indigency cases expeditiously. 17) Hearings. By order of the Chief Justice, hearings in matters involving docketed cases are being held in the courtroom and on the record, except when the jury must be excluded pursuant to court rule. 18) Bail. A new uniform bail form has been developed and is now in use. Bail commissioners are charged a per sheet cost for the forms, which are supplied by District Court Clerks. 19) <u>Disposition of Appeals and Bail Review</u>. At the request of District Court Judges, monthly information concerning disposition of cases appealed from District Court to Superior Court, and the outcome of bail review hearings, is being forwarded from Superior Court to District Court through a system developed by the Regional Court Administrators.

- 20) 41(b) Cases. Rule 41(b) of the Maine Rules of Civil Procedure requires that civil cases be dismissed for want of prosecution, if the court docket shows no action in the case for two years. Clerks now prepare a list of these cases monthly, and the cases are dismissed promptly by the Regional Presiding Justice after appropriate notice to litigants.
- 21) Jury. All clerical work concerning juries has been consolidated in respective clerks' offices, and the position of jury commission executive secretary is no longer being funded.

Jury summons are being sent by first class rather than registered mail at a substantial saving.

- 22) Statistics. A new statistical reporting form and instruction book has been developed by the Administrative Office of the Courts, with assistance provided by a Court Technical Assistance Project grant through American University in Washington, D. C. Through use of the new form, the Administrative Office of the Courts will be able to gather case time-lapse information which can be used to determine whether case backlogs are developing in specific courts. In addition, more complete and accurate case filing and disposition information will be compiled.
- 23) Clerks' Manual. The Maine Superior Court Clerks' Manual, developed in 1974, is being revised and up-dated to reflect changes made in the Superior Court operations. The revision will be completed in 1977.

Caseflow Management System

The most important change in Superior Court operation has been development and implementation of the caseflow management system.

Due to a statutory change, the Chief Justice now assigns Superior Court Justices to one of the four regions for a specific period, and the Justices are then assigned within the region by the appropriate Regional Presiding Justice. This procedure allows flexibility in allocating judicial time by allowing Justices to respond to caseload demands rather than a fixed schedule of so many days per court, regardless of caseload.

Prior to 1976, the District Attorney scheduled criminal cases and attorneys often could schedule civil cases. On January 1, 1976, the Superior Court assumed total scheduling responsibility.

Under the new system, a calendar clerk is designated in each clerk's office. (In larger courts, one person has been designated civil calendar clerk and another criminal calendar clerk.) Under supervision of the Regional Court Administrators,

the calendar clerks schedule all matters for hearing. Thus, when a Justice arrives at court, a calendar of scheduled cases awaits him, the attorneys and litigants are ready for trial, and the Justice begins to hear cases immediately. Continuances are granted only for good cause after a formal motion has been filed with the court.

The time-consuming call of the docket has been eliminated, and civil cases are no longer neglected because of criminal caleloads.

In addition, a schedule of motion days has been established, eliminating as much as possible motion day conflicts between contiguous counties.

The use of the caseflow management system, combined with the hard work of existing Superior Court Justices and clerks' office staffs, resulted in the disappearance of existing Superior Court case backlogs between January 1 and July 1 of 1976. The Superior Court is now current in that cases ready for trial can be scheduled for trial within 30 to 60 days. The full extent of this accomplishment, as it affects each county, can be seen in Appendix I.

Court Reporters

Prior to August 1975, there were 18 court reporters, who were assigned to court terms by a Chief Court Reporter.

Inefficient use of court reporter time, and the fact that reporters were available for non court work, resulted in backlogs of unprepared transcripts which delayed cases on appeal.

Since January 1, 1976, court reporters have been assigned to regions by the State Court Administrator and within the regions by the Regional Court Administrators. Reporters are being assigned to serve specific justices for specific periods, within their region of residence when possible.

Court reporters now file a monthly report with the Administrative Office of the Courts indicating their transcript backlogs. From the information contained in these reports, the State Court Administrator can schedule reporter transcript time for those reporters whose backlogs are most severe, just as research and writing time is scheduled for Superior Court Justices.

The number of court reporters has been reduced from 18 to 15. Reporters are now full-time court employees, and legislation will be introduced during the 108th Legislature to permit absorption of the reporters into the court personnel system.

State Funding and Fiscal Organization

On July 1, 1976, the Superior Court came under state funding. Prior to that time, each of the 16 courts was funded by its respective county, which resulted in 16 different financial systems.

In the Spring of 1976, the Administrative Office of the Courts developed a Manual of Financial Procedures for Superior Court. Included in the manual are sections on Payment of Jurors, Payroll, Fees, Bail, Weekly Income Statements and Supplies. Included, also, is a list of items of cost in Superior Court with citations for payment authority. The latter was developed at the request of county commissioners.

A training session on the new uniform fiscal procedures was held for court clerks in June, and a smooth transition from county to state funding of the Superior Court was accomplished.

While preparations for state funding were going on, internal fiscal procedures for the Administrative Office of the Courts were being developed. A uniform system for handling court requisitions, invoices, payroll, cash deposits, monthly reports to the State Treasurer and monthly reconciliations from Accounts and Control was implemented. Further refinement of the present fiscal controls, accounts and procedures is planned, as we gain more experience with a centralized fiscal operation of the Judicial Department.

Forms

The Chief Justice has appointed both a criminal and civil forms committee for Superior Court. Each committee is composed of a Justice, Regional Court Administrator and court clerks.

The Criminal Forms Committee began its work in early 1976 with the goal of reviewing all the existing forms and establishing an official set of criminal forms for Superior Court by July 1, 1976. On that date, a rule revision went into effect mandating $8\frac{1}{2} \times 11$ " instead of $8\frac{1}{2} \times 14$ " for the form size. The Committee achieved its goal. Through the abolition of archaic forms, consolidation of forms and revisions, the number of Superior Court forms went from 80 (with variations in those 80 from county to county) to one set of 60 official Superior Court forms. The revised set of forms was reviewed and approved by all Superior Court Justices prior to distribution throughout the system.

Benchbook

Under contract with the National Center for State Courts, with funds provided by Maine Criminal Justice Planning and Assistance Agency, a Superior Court Benchbook was developed and distributed to all the Justices.

District Court

Administrative Analysis

At the meetings with the Supreme Judicial Court in August, 1975, it was determined that the Administrative Office of the Courts should direct its attention to the District Court, after the initial work in Superior Court was completed. Although the Administrative Office of the Courts worked with the District Court administrative office in Bangor and the Chief Judge on various problems and projects, intensive work with that court did not begin until May of 1976.

At the May meeting of the District Judges, the State Court Administrator reported on the progress of the personnel study and the State Court Administrator and Regional Court Administrators outlined plans for the administrative analysis of District Court clerks' offices, similar to those done for Superior Court.

At the end of this meeting, the Chief Judge appointed the District Court Planning and Advisory Committee which was authorized to review the proposed personnel system on behalf of the District Court, and to whom the Administrative Office of the Courts was directed to present its recommendations when the administrative analysis was completed.

During July, August and September, 1976, the Regional Court Administrators carried on their study of each District Court clerk's office operation. At a series of meetings following the study, the State Court Administrator and Regional Court Administrators developed proposed recommendations for consideration by the Chief Judge and the Planning and Advisory Committee. The proposals were distributed to the Committee on October 18.

These proposals were discussed at length with all the District Court Judges and Supreme Judicial Court at a meeting on December 3.

Uniform Traffic Ticket and Complaint

The 106th Legislature (1975) enacted into law recommendations of the Maine Traffic Court Advisory Committee which resulted in major changes in processing of traffic cases, effective October 1, 1975. The State Court Administrator discovered in late August that little had been done to implement the legislation.

Between August 25 and October 1, 1975, the State Court Administrator worked with a previously established committee to draft the necessary uniform traffic ticket and complaint,

establish procedures, draft procedural forms, arrange for printing and distribution of the materials throughout the state, and hold training sessions for over 2,000 law enforcement personnel and District Court Clerks. The entire implementation of the new system was accomplished in less than six weeks; only one day after the effective date.

Statistics

A new statistical reporting system, which will produce accurate filing and disposition figures as well as case time-lapse figures, is in the planning stage at the present time. Appendix II contains District Court Filing information only, because these are the only figures that can be determined accurately.

Supreme Judicial Court

The Supreme Judicial Court designated itself as the third priority of the Administrative Office of the Courts at the meetings in August, 1975. Therefore, to date, administrative assistance to the Supreme Judicial Court has been provided on an ad hoc basis only.

Statistics

Under the same grant that provided assistance in developing a new statistical reporting form and instructions for the Superior Court, new reporting forms for the Law Court and the Appellate Division were also developed.

The first statistical reports, using the new forms, are given in Appendix III.

Individual Areas of Endeavor

In 4 M.R.S.A. 17, 14 specific duties are listed for the State Court Administrator. Previous sections of this report address seven of those duties. The remaining seven areas will be covered below.

Investigate Complaints

We have kept no record of the number of complaints received, but they have been many and wide-ranging. Those that concerned specific cases or specific procedural problems were investigated, dealt with and followed to resolution for the complainant.

Those of a more general nature, we have attempted to answer with information or explanations.

Investigation and resolution of complaints is given a high priority by the Administrative Office of the Courts, because most of the complaints come from citizens who are disturbed by their court experience or lack thereof or who, often because of a lack of understanding of what the court system is and how it works, are angry with that system.

Facilities

This is a very difficult area and one in which much needs to be done. A comprehensive court facilities study is planned during 1977, which we feel will assist us in developing a system-wide facilities plan for implementation.

In the past year, problems from peeling plaster to jurors fainting in the heat to miserably cramped working quarters have been handled as they arose and solved as best we could under the circumstances.

One major effort was our attempt to secure an independent, expert evaluation of the Central Maine Power Building in Augusta as a possible permanent Supreme Judicial Court facility. This effort was suspended when the Bureau of Public Improvements made its recommendation against purchase of the building for such a facility.

Equipment

We are beginning to compile an accurate inventory of all court system equipment, but this project has not been given a high priority.

In the meantime, when an equipment request is made, the Regional Court Administrators contact all courts within their regions to see if there is a surplus of the wanted item. If there is, permission is obtained from the Chief Judge or Regional Presiding Justice to transfer the needed item to another court. So far, we have managed to transfer typewriters, file cabinets, desks, chairs, tables and books.

An additional saving has been made in the area of copy machines. In some locations, we have been able to locate the machine so that both Superior Court and District Court have access to it, and one machine can suffice for both courts.

Telephones

The Administrative Office of the Courts, in conjunction with New England Telephone Company, is conducting a state-wide study of court telephone usage which will be completed during 1977.

Substantial monthly cost savings have been accomplished in some courts by a change in instrument distribution and arrangement. In addition, transfer of calls between Superior and District Court is now possible in many courts.

Secretary to Judicial Conference

Since no conference was held during the reporting period, the Administrative Office of the Courts has provided no services in this regard.

Maintain Liaison

The State Court Administrator has spent a great deal of time working to develop liaison with public and private agencies.

During implementation of the modifications in Superior Court operations, meetings were held with all but four local bar associations to gain input from the bar regarding the changes. Follow-up meetings have been held with these groups and also the Maine Bar Association.

Upon invitation, informational meetings were held with university groups, the Sheriffs' association, League groups, the Standards and Goals committees, and Maine Criminal Justice Planning and Assistance Agency projects groups. The State Court Administrator has attended meetings of Citizens for Modern Courts, a newly incorporated citizens group, and the Administrative Office of the Courts has acted as an information resource for this group.

The State Court Administrator was invited to attend Judicial Council meetings and the meetings of the Juvenile Laws Revision Commission, acting as a resource person for both groups.

Within the court system, the State Court Administrator has participated in many meetings with Justices and Judges from the three levels of the system. A new system liaison group has been established with inauguration of quarterly meetings of the Regional Presiding Justices and the District Court Planning and Advisory Committee. Several meetings have been held with court reporters and clerks.

Within state government, working relationships have been established with the Attorney General's office, Department of Audit, the Executive Department, Bureau of Accounts and Control, Bureau of Budget, Bureau of Central Computer Services, Bureau of Public Improvements, Bureau of Purchases, State Law Library, Legislative Research and Legislative Finance offices, Department of Mental Health and Corrections, Department of Public Safety, Maine State Retirement System, Motor Vehicle Division and the Treasury Department.

In addition, the State Court Administrator has appeared before the Appropriations and Judiciary Committees of the Legislature and provided requested information to these committees as well as individual legislators.

Educational and Training Programs

Except for educational and training sessions for clerks of court, this mandate has been handled through attendance by Justices and Judges at seminars sponsored or organized by private and public organizations, not the Administrative Office of the Courts.

Until such time as the Maine court system is operating at a level acceptable to the Supreme Judicial Court, by agreement with the Chief Justice, Justices and Judges will attend education and training seminars developed by organizations such as the American Academy of Judicial Education, the National College of the State Judiciary or the National College of Juvenile Justice. This program is already in operation and funds have been set aside to continue it.

Education and training of clerical personnel has begun and will continue under the auspices of the Administrative Office of the Courts. Sessions are planned on personnel, statistics, docketing, fiscal procedures and record maintenance.

Planning

Planning is not listed as a specific duty of the State Court Administrator. Instead, it is included as an afterthought in the section on "Continuous Study and Survey" in 4 M.R.S.A. 17. It is highlighted in this report because of its importance to the Administrative Office of the Courts and the Supreme Judicial Court.

With the advent of the Administrative Office of the Courts and a new era of court improvement in Maine, the need for short and long range system planning is acute. Unfortunatey, all too often, this vital function is relegated a low priority. Long range planning has been given a low priority in the Maine court system during the past 16 months. This situation will change shortly.

Maine has been chosen as one of five pilot states in an LEAA funded Court Planning Capabilities Project of the National Center for State Courts. This means that over the next year, the Maine court system will be involved in both short and long range system planning under the guidance and assistance of the National Center for State Courts. We look forward to this opportunity to move a vital administrative function from low to high priority.

Annual Report and Other Matters

The first annual report is before you, and I hope that "Perform such other duties and attend to such other matters consistent with the powers delegated herein assigned to him by the Chief Justice and the Supreme Judicial Court." has been included in this report.

Conclusion

These first sixteen months have been extremely busy, but very rewarding because we have seen the Maine court system take on new vitality as its internal reorganization began, and the resulting improved operation became visible. There are still major problems to be addressed. Some have been mentioned already. Others include improving jury management, improving exhibit and records management and improving county law libraries.

We are proud of the accomplishments of the Administrative Office of the Courts during its project status period, and we hope to add to this compilation of accomplishments as a permanent Judicial Department component.

Appendix I

SUPERIOR COURT - Criminal and Civil Statistics 1975 & 1976

This statistical report compares civil and criminal workloads in the Maine Superior Court for the years 1975 and 1976. The figures were compiled by the Regional Court Administrators, who examined the dockets and files in each county in the State.

The primary goal in researching this information was to determine whether or not the number of elapsed days between significant stages in criminal and civil case processing has been reduced since the implementation of the Superior Court caseflow management system. In addition, we wish to illustrate changes in the total number of filings, dispositions, pretrials, etc.

The Regional Administration caseflow management system was based upon two major assumptions: 1) Greater flexibility in assigning judges to courts where and when they were needed would allow matters to be heard on a more timely basis; and 2) court control of both the criminal and civil calendars would allow judicial manpower to be utilized evenly between civil and criminal litigation. The statistics contained in this report seem to prove these assumptions correct.

For example, the average time between the filing and disposition of indictments has been reduced in the majority of the counties. Whereas, in 1975 the average indictment required in excess of 100 days from filing to disposition in Penobscot, Hancock, Cumberland, York, Kennebec and Androscoggin counties, the average in 1976 has been reduced to less than 80 days. The average time between filing and disposition has been reduced in Washington, Waldo and Lincoln counties also. Although the 1976 criminal disposition rate in a few counties is not impressive compared to 1975, because there were some counties where the problem was not that great, the 1976 rate is impressive in counties where a serious problem existed.

An important point to consider is the fact that the gross number of criminal filings has been reduced considerably in 1976. We believe the traffic infraction law, which has prevented many petty traffic offenses from being filed in Superior Court, is the main reason for this decrease. At the same time, a majority of the counties have experienced an increase in the number of indictments disposed in 1976 over 1975.

The civil statistics reveal a number of interesting points. The number of filings seem to have remained either unchanged or have increased by a small percentage in most counties. In Androscoggin, Kennebec and Somerset counties, the number of filings have increased considerably. Also, the number of civil dispositions in 1976 is greater than in 1975 in a majority of the counties. Most impressive is the fact that the number of pre-trials heard in 1976 is far greater than the number heard in 1975. In the larger counties, such as Cumberland, York, Androscoggin, Kennebec and Penobscot, the increase in pre-trials has been the most significant.

These statistics show the average length of time between the filing of the first pre-trial memorandum and the pre-trial hearing, as well as the average time between the pre-trial hearing and disposition of the case. In practically all the counties, pre-trials were heard much sooner after the filing of a pre-trial memo in 1976 than in 1975. For example; in Cumberland County, the average time lapse between filing of a pre-trial memo and actual pre-trial hearing was 88.8 days in 1976, as opposed to 215 days in 1975. The corresponding figures in Kennebec County were 88 days in 1976 and 132 days in 1975. In Androscoggin, the time from memo to pre-trial hearing was reduced from over a year to 147 days.

Similarly, the length of time between the pre-trial hearing and the date a case is disposed has been reduced. In Cumberland County, the elapsed time dropped from 255 days for 58 trials to 121 for 119 trials; in Androscoggin the drop was from 183 days for 38 trials to 100 days for 62 trials; and in Kennebec from 247 days for 27 trials to 169 days for 52 trials.

In conclusion, we wish to emphasize that our goal is to improve the quality of justice in Maine by reducing delays in the judicial process. At the same time, we recognize that quantity, in terms of the number and speed that individual cases are disposed, cannot blind us to the need for quality in justice. It is our feeling that the scheduling procedures we have established have not sacrificed this quality by increasing the quantity of cases disposed.

EXPLANATION OF STATISTICAL FORM AND METHODOLOGY

I. Criminal

A. Cases filed

The total number of cases entered in the criminal docket for the year indicated. The criminal dockets in each county were reviewed by the Regional Court Administrators.

B. Indictments Disposed

The total number of indictments disposed in a given year. The year in which a case was disposed is the year in which judgment was entered. Individual criminal docket sheets in each county were examined to secure all indictments terminated in 1975 and 1976.

C. Number of Days to Disposition (Indictments)

The average length of time, in days, between date of filing of the indictment to the date of disposition (date judgment entered). Each criminal docket sheet was reviewed to determine the number of indictments disposed in 1975 and 1976; the date of filing and the date judgment was entered were noted. The number of days from filing to disposition was calculated for each case.

D. Transfers Disposed

The total number of transfers disposed in a given year. The year in which a case was disposed is the year in which judgment was entered. Individual criminal docket sheets in each county were examined to secure all transfers terminated in 1975 and 1976.

E. Number of Days to Disposition (Transfers)

The average length of time, in days, between date of filing of the transfer to the date of disposition. (Date judgment entered). Each criminal docket sheet was reviewed to obtain transfers disposed in 1975 and 1976; the date of filing and the date judgment was entered were noted. The number of days from filing to disposition was calculated for each case.

F. Trials Held

The total number of criminal jury and jury waived trials held during the year indicated. Hearings on motions and other matters were not included in this figure.

II. Civil

A. Cases Filed

The total number of cases entered in the civil docket for the year indicated.

B. Cases Disposed

The total number of civil cases disposed in a given year. The year in which a case was disposed is the year in which judgment was entered. Individual civil docket sheets in each county were examined to secure all civil cases terminated in 1975 and 1976.

C. Pre-trial Conferences Held

This figure represents the total number of pre-trial conferences held during the year indicated.

D. Pre-Trial Memo to Pre-Trial Conference

The average length of time, in days, between the filing of the first pre-trial memo and the holding of the pre-trial conference. Individual civil docket sheets were examined to obtain the date of the first pre-trial memo and the date of the pre-trial conference. The amount of time elapsing from filing of first pre-trial memo to date of pre-trial conference was noted for each case reaching disposition in 1975 and 1976.

E. Pre-trial Conference to Disposition (All cases disposed)

The average length of time, in days, between date of pretrial conference and date of disposition. The year in which a case was disposed is the year in which the judgment was entered. (Represents all cases disposed, regardless of method of disposition).

F. Pre-trial Conference to Disposition (Cases disposed by trial)

The average length of time, in days, between date of pretrial conference and date of disposition. The year in which a case was disposed is the year in which the judgment was entered. (Represents only those cases disposed by jury or non-jury trial.)

G. Trials Held

The total number of jury and jury waived trials held during the year indicated. Hearings on motions and other matters were not included in this figure.

24

²Approximately one-third of these cases were disposed after September 1975 (Court took control of criminal calendaring on November 1, 1975).

¹Figure includes approximately 600 petty traffic offenses that are no longer transferable to the Superior Court.

³This rate includes memos filed in early 1975 and late 1974; the actual rate for memos filed in 1976 is 81.8.

REGION II

County	Andros	coggin	Fran	klin	Linco	oln
	1975	1976	1975	1976	1975	1976
I. <u>Criminal</u>						
A. Cases filed B. Indictments disposed C. No. of days to disposition (Indictments) D. Transfers disposed E. No. of days to disposition (Transfers) F. Trials held	524 239 110.18 290 105.6 24	378 327 83.7 159 66.3 33	208 56 73.5 187 123.4 20	191 75 76.3 181 96.2	250 36 52.7 162 98.4 15	143 77 40.4 166 50.5 26
II. <u>Civil</u>						
A. Cases filed B. Cases disposed C. Pre-trial conferences held D. Pre-trial memo to pre-trial conference E. P-t. conf. to disp. (All cases disp.) F. P-t. conf. to disp. (Cases disp. by trial) G. Trials held	442 507 114 367.2 165.0 183.2 38	590 640 186 147.5 97.8 100.8 62	72 89 28 212.1 136.3 85.4 8	105 75 12 69.3 102.8 62.3	139 69 109.9 123.9 87.3	145 140 54 67.5 79.3 60.4 12

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⁴The number of indictments disposed of in 1976 increased by 71%. The disposition rate for indictments in 1976 increased by 42%. This increase in time may be attributed to the disposition of many indictments in 1976 which were actually filed in early 1975.

REGION III

County	Kenne	ebec	Kn	ox	Some	rset
	1975	1976	1975	1976	1975	1976
I. <u>Criminal</u>						
A. Cases filed B. Indictments disposed C. No. of days to disposition (Indictments) D. Transfers disposed E. No. of days to disposition (Transfers) F. Trials held	786 440 102.0 344 89.0 83	560 352 71.0 172 90.0 65	341 89 63.0 150 71.0 38	227 122 76.0 98 90.0 46	619 195 48.0 357 90.0	477 245 68.0 240 58.0
II. <u>Civil</u>	•					
A. Cases filed B. Cases disposed C. Pre-trial conferences held D. Pre-trial memo to pre-trial conference E. P-t. conf. to disp. (All cases disp.) F. P-t. conf. to disp. (Cases disp. by trial) G. Trials held	545 580 90 132.0 203.0 247.0 27	680 550 182 88.0 155.0 169.0	224 163 128.0 188.0 101.0	180 190 81 73.0 144.0 168.0	175 145 65 141.0 259.0 242.0 14	240 192 56 117.0 209.0 183.0

REGION III - Cont.

County	Wald	do				
	1975	1976	1975	1976	1975	1976
I. <u>Criminal</u>	1					
A. Cases filed B. Indictments disposed C. No. of days to disposition (Indictments) D. Transfers disposed E. No. of days to disposition (Transfers) F. Trials held	192 20 97.0 170 125.0 23	176 60 90.0 123 110.0 22				
II. <u>Civil</u>						
A. Cases filed B. Cases disposed C. Pre-trial conferences held D. Pre-trial memo to pre-trial conference E. P-t. conf. to disp. (All cases disp.) F. P-t. conf. to disp. (Cases disp. by trial) G. Trials held	105 77 113.0 400.0 218.0 3	98 75 14 114.0 170.0 195.0 4				

REGION IV

County	Aroos	took	Hance	ock	Washi	ngton
	1975	1976	1975	1976	1975	1976
I. Criminal A. Cases filed B. Indictments disposed C. No. of days to disposition (Indictments) D. Transfers disposed E. No. of days to disposition (Transfers) F. Trials held II. Civil	864 132 102.9 540 125.3 47	696 115 117.4 446 108.6 23	586 67 128.8 433 ⁵ 137.9 17	459 65 75.6 298 107.6 27	230 107 85.4 127 108.9 35	125 58 77.4 56 86.3 14
A. Cases filed B. Cases disposed C. Pre-trial conferences held D. Pre-trial memo to pre-trial conference E. P-t. conf. to disp. (All cases disp.) F. P-t. conf. to disp. (Cases disp. by trial) G. Trials held	361 184 53 147.9 116.2 94.5 4	384 210 76 82.5 132.6 153.0 9	255 39 80 153.3 190.8 260.6	265 886 106 103.2 303.5 313.1 33	158 89 27 86.9 164.9 81.2 4	154 131 37 118.2 197.1 125.9 12

⁵Many 1975 dispositions were the result of the court taking calendar control in November 1975. ⁶Does not include cases disposed without a pre-trial memo filed. ⁷Matters are now placed on the trial list with priority given to oldest pre-tried cases. Consequently, many cases tried in 1976 were pre-tried in early 1974 and 1975, resulting in an increase in the disposition rate between 1975 and 1976.

REGION IV - Cont.

County	Penol	oscot	Piscat	aquis		
	1975	1976	1975	1976	1975	1976
I. <u>Criminal</u>				r		
A. Cases filed B. Indictments disposed C. No. of days to disposition (I D. Transfers disposed E. No. of days to disposition (T F. Trials held	754	778 272 78.8 348 67.0 43	137 34 73.1 72 99.3 6	116 14 97.0 30 56.8		
A. Cases filed B. Cases disposed C. Pre-trial conferences held D. Pre-trial memo to pre-trial c E. P-t. conf. to disp. (All case F. P-t. conf. to disp. (Cases di G. Trials held	s disp.) 212.8	575 552 202 114.8 136.3 126.7 40	101 54 19 92.0 51.2 116.6	74 62 20 37.8 156.9 135.6		

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Appendix II

The following District Court case filing statistics are provided in a fiscal year format, because District Court docket books are presently kept according to fiscal year rather than calendar year.

These figures were compiled by the Regional Court Administrators.

REGION I

Location	Type of Case	FY 1974-75	FY 1975-76
Biddeford	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	9,410 611 408 421 191 151	6,205 592 520 404 127 186
	Total:	11,192	8,034
Bridgton	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	1,527 111 185 100 80 24	1,900 111 196 92 101 56
	Total:	2,027	2,456
Kittery	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	5,626 166 137 184 57 40	5,645 154 178 175 29 49
	Total:	6,210	6,230
Portland	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	25,596 2,918 707 1,255 844 656	24,873 2,547 910 1,204 774 607
	Total:	31,976	30,915
Sanford	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,206 209 268 196 85 64	3,080 240 433 256 51 72
	Total:	4,028	4,132

REGION II

Location	Type of Case	FY 1974-75	FY 1975-76
Bath	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,032 199 190 203 72 59	2,744 157 250 209 81 76 3
	Total:	3,755	3,520
Brunswick	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	4,360 194 230 232 124 44	4,429 153 315 230 100 61
	Total:	5,184	5,288
Lewiston	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	6,780 1,082 626 640 250 427	9,386 1,012 684 605 340 472
	Total:	9,805	12,499
Livermore Falls	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	962 45 98 44 18 19	1,002 48 97 61 44 21
	Total:	1,186	1,273
Rockland	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	2,404 459 414 241 120 214	2,752 414 667 216 76 211
	Total:	3,852	4,336

Location	Type of Case	FY 1974-75	FY 1975-76
Rumford	Criminal	1,967	1,836
	Civil	71	98
	Small Claims Divorce	210 107	244 113
	Juvenile	173	189
	Disclosure	65	67
	Reciprocal Mental Health		ann ben ben
		-	
	Total:	2,593	2,547
South Paris	Criminal	1,533	1,479
	Civi1	197	161
	Small Claims	112	249
	Divorce Juvenile	116 89	150 92
	Disclosure	42	69
	Reciprocal		
	Mental Health	·	
	Total:	2,089	2,200
Wiscasset	Criminal	2,027	2,054
	Civil	188	170
	Small Claims	489	506
	Divorce	168	176
	Juvenile Disclosure	59	46
	Reciprocal	57 	86
	Mental Health		.
	Total:	2,988	3,038
	REGION III		
Augusta	Criminal	7,227	7,959
	Civil	777	749
	Small Claims	452	772
	Divorce Juvenile	457 228	467 281
	Disclosure	314	318
	Reciprocal		=
	Mental Health	143	218
	Total:	9,598	10,764
Bar Harbor	Criminal	1,018	940
	Civil	98	68
	Small Claims	114	118
	Divorce	60	53
	Juvenile Disclosure	40 26	65 36
	Reciprocal	. 4 U	J0
	Mental Health	and and the	

<u>Location</u> Belfast	Type of Case Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal	FY 1974-75 2,188 298 300 183 105 142 12	FY 1975-76 2,386 205 564 186 95 122
	Mental Health		
	Total:	3,228	3,567
Ellsworth	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,240 317 329 158 137 146	3,289 345 528 170 137 188
	Total:	4,327	4,657
Farmington	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	2,738 164 279 146 61 102	2,039 141 376 175 60 108
	Total:	3,490	2,899
Skowhegan	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	4,828 454 454 275 134 335	6,463 499 558 271 227 356
	Total:	6,480	8,374
Waterville	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	4,252 871 412 291 114 383 1	5,152 593 379 284 112 322
	Total:	6,324	6,842

REGION IV

Location	Type of Case	FY 1974-75	FY 1975-76
Bangor	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	10,362 1,043 503 584 383 433 161	8,622 1,269 658 583 394 447 200
	Total:	13,469	12,173
Calais	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	2,141 195 471 105 161 87	2,150 154 427 124 123 88
	Total:	3,160	3,066
Caribou	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	2,742 274 199 185 52 139	2,849 244 363 195 74 152 7
	Total:	3,591	3,884
Dover-Foxcroft	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,302 150 236 119 162 106	3,157 153 231 122 111 88
	Total:	4,075	3,862
Fort Kent	Criminal Juvenile	1,628 35	2,107 46
	Total:	1,663	2,153

<u>Location</u> Houlton	Type of Case Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	FY 1974-75 4,120 330 146 102 114 102	FY 1975-76 4,836 365 428 102 91 261
	Total:	4,914	6,083
Lincoln	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,073 136 291 72 92 94	2,800 95 266 61 106 72
	Total:	3,758	3,400
Machias	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	1,937 117 219 84 54 96 3	1,556 146 265 97 101 44 5
	Total:	2,510	2,214
Madawaska	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	907 216 266 53 33 115 8	1,021 247 323 54 34 166 4
	Total:	1,598	1,849
Millinocket	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,362 180 472 149 130 201	2,568 332 529 148 130 190
	Total:	4,494	3,897

Location	Type of Case	FY 1974-75	FY 1975-76
Newport	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	4,045 131 102 130 104 51	2,681 123 140 136 75 76
	Total:	4,653	3,231
Presque Isle	Criminal Civil Small Claims Divorce Juvenile Disclosure Reciprocal Mental Health	3,405 680 307 202 229 572	3,785 864 337 204 147 884 13
	Total:	5,395	6,234
Van Buren	Criminal Juvenile	615 56	890 58
	Total:	671	948

Appendix III

STATE OF MAINE ANNUAL STATISTICAL REPORTING FORM

LAW COURT YEAR 1976

I.	CASEFLOW INFORMATION	CIVIL	CRIMINAL	TOTAL
		OTATH	CKTHINAL	IOIAL
	A. No. of Cases pending at End of Previous Year	119	127	246
	B. No. of New Appeals This Year		122	262
	C. No. of Interlocutories (Reports) This Year	5	2	7
	D. Total Caseload This Year $(A + B + C)$	264	251	515
	E. No. of Dispositions This Year	121	115	236
	F. No. of Cases Pending at End of This Year (D - E)	143	136	279
II.	NO. CASES FILED BY COUNTY			
	Androscoggin 19 Kennebec	60	Piscataquis	0
	Aroostook 6 Knox	16	Sagadahoc	4
	Cumberland 60 Lincoln	7	Somerset	16
	Franklin 3 Oxford	7	Waldo	10
	Hancock 6 Penobscot	31	Washington	5
			York	19
III.	DISPOSITION INFORMATION	CIVIL	CRIMINAL	TOTAL
	A. No. <u>Per Curiam</u> Opinions	6	5_	11
	B. No. Written Opinions	88	67	155
	C. No. "Solemn Occasion" Opinions	2		2
	D. No. of Appeals Denied	51	62	113
	E. No. of Appeals Sustained	25	9	34
	F. No. of Appeals Dismissed	25	43	68
	G. No. of Appeals Remanded	1	18	19
IV.	PENDING CASE INFORMATION			
	A. No. Not Yet At Issue		<u> 125</u>	
	B. No. At Issue Awaiting Oral	Argument	35_	
	C. No. Orally Argued Awaiting	Opinion	119	

STATE OF MAINE

ANNUAL STATISTICAL REPORTING FORM

APPELLA	TE DIVISION YEAR 1976			
A. No	. of Appeals Pending at End of Pr	evious Year	33	
B. No	. of Appeals Filed This Year		57	
C. To	tal Caseload This Year (A + B)		90	
D. No	. of Appeals Disposed of This Yea	r	55	
E. No	. of Appeals Pending End of This	Year (C - D)	35	
F. No	. of Hearings Held	0		
G. Di	sposition Information:			
	1. No. Sentences Unchanged	5lı		
	2. No. Sentences Reduced	*1		
	3. No. Sentences Increased	0		
	emains the same-except words "to . Cases Filed by County:	be served cons entence" stric		other
	Androscoggin 2	Oxford	6	
	Aroostook	Penobscot	<u>4</u>	
	Cumberland 17	Piscataquis		
	Franklin 1	Sagadahoc	6	
	Hancock	Somerset	4	
	Kennebec 8	Waldo		
	Knox	Washington	1	
	Lincoln 2	York	6	
	. Cases Pending Because Appeal Is Law Court	Pending	25	