

State Justice Institute

*Programs to Improve the Administration of Justice
in the State Courts*

Final Grant Guideline
Fiscal Year 1991

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October 1990

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Executive Director
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State Justice Institute

Final Grant Guideline Fiscal Year 1991

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U.S. Department of Justice
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October 1990

State Justice Institute

The State Justice Institute is a private, nonprofit corporation established in 1984 by an Act of Congress (42 U.S.C. 10701) for the purpose of providing financial support to projects designed to improve the administration of justice in the State courts. SJI is governed by a Board of Directors consisting of 11 members appointed by the President with the advice and consent of the Senate. The Board is statutorily composed of six judges, a State court administrator, and four members of the public, of whom no more than two can be of the same political party.

The goals of the Institute are to:

- direct a national program of assistance to ensure that all U.S. citizens have ready access to a fair and effective judicial system;
- foster coordination and cooperation with the Federal judiciary;
- serve as a clearinghouse and information center for the dissemination of information regarding State judicial systems; and
- encourage education for judges and support personnel of State court systems.

To accomplish these broad objectives, the Institute is authorized to provide funds, through grants, cooperative agreements, and contracts, to State courts and organizations that can assist in improving judicial administration in the State courts.

This Guideline sets forth the administrative, programmatic, and financial requirements attendant to Fiscal Year 1991 State Justice Institute grants, cooperative agreements, and contracts, as published in the Federal Register, Part II, September 26, 1990. 55 FR 39356.

For more information on Institute policies and procedures, contact:

David I. Tevelin
Executive Director
(703) 684-6100

Richard Van Duizend
Deputy Director and Chief, Program Division
(703) 684-6100

Steve Parent
Chief, Finance and Management Division
(703) 739-0092

For general information or to request publications, contact:

Allison Leopold
Publications Coordinator
(703) 684-6100

State Justice Institute
120 S. Fairfax Street
Alexandria, Virginia 22314

State Justice Institute

October 12, 1990

Chairman
C. C. TORBERT, JR.
Maynard, Cooper, Frierson & Gale
Montgomery, Alabama

Vice Chairman
JOHN F. DAFFRON, JR.
Judge
Twelfth Judicial Circuit
Chesterfield, Virginia

Secretary
JANICE GRADWOHL
Judge
Lincoln, Nebraska

TERRENCE B. ADAMSON
Dow, Lohnes & Albertson
Atlanta, Georgia

CARL F. BIANCHI
Administrative Director of the Courts
Boise, Idaho

JAMES DUKE CAMERON
Justice
Supreme Court of Arizona
Phoenix, Arizona

VIVI L. DILWEG
Judge
Eighth Judicial Circuit
Green Bay, Wisconsin

MALCOLM M. LUCAS
Chief Justice
Supreme Court of California
San Francisco, California

DANIEL J. MEADOR
Professor of Law
University of Virginia Law School
Charlottesville, Virginia

SANDRA A. O'CONNOR
States Attorney of Baltimore County
Towson, Maryland

DAVID I. TEVELIN
Executive Director

RICHARD VAN DUIZEND
Deputy Director

Dear Colleague:

I am pleased to send you the State Justice Institute's final FY 1991 Grant Guideline, which explains the Institute's funding procedures and priorities for next year. The Guideline includes a list of all grants awarded by the Institute since its inception in FY 1987 (Appendix II), categorized by subject matter for your ease of reference. In all, over 300 projects supported by more than \$35 million in SJI grants are listed.

The Guideline reflects the experience of the Institute over the past four years, as well as the information that the Board of Directors and the staff have received from judges, court personnel, lawyers, litigants, and members of the public across the nation about the greatest needs of the State courts. SJI has solicited that information in a variety of ways, including public forums held in Arizona, California, Massachusetts, Nevada, Virginia, and Washington; participation in national conferences of the judiciary and the bar; comments received on the Guideline; monitoring visits to project sites; and, of course, the experiences of the Board members themselves in their daily work as judges, lawyers, professors of law, and court administrators.

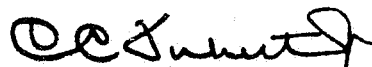
The Guideline lists 13 "Special Interest" funding categories and solicits proposals to convene an unprecedented national conference of State Supreme Court Justices, as well as three national conferences on topics of critical importance to State judiciaries:

The Impact of Substance Abuse Cases on the State Courts;
State-Federal Judicial Issues; and
The Improvement of the Adversary System.

The Board has placed the National Conference on State-Federal Judicial Issues (which will be co-sponsored by the Federal Judicial Center) and projects following up on last May's ground-breaking "Future and the Courts" Conference on an accelerated timetable, with concept papers due by October 10, 1990 and grants awarded in March, 1991. Concept papers in all other areas must be submitted by December 3, 1990 with grants ultimately awarded in July, 1991.

We encourage your careful consideration of the Guideline and, most importantly, your submission of proposals that could improve the administration of justice in the State courts of this nation.

Sincerely,



C.C. Torbert, Jr.
Chairman of the Board of Directors

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Introduction

Pursuant to the State Justice Institute Act, 42 U.S.C. 10701, et seq., as amended, the Institute is authorized to award grants, cooperative agreements, and contracts to State and local courts, nonprofit organizations, and others for the purpose of improving the administration of justice in the State courts of the United States. Approximately \$10–12 million is expected to be available for award in FY 1991.

FY 1991 Funding Schedule

With two exceptions noted immediately below, *the FY 1991 concept paper deadline is December 3, 1990*. Papers must be post-marked or bear other evidence of submission by that date. The Board of Directors will meet on March 7-10, 1991 to invite formal applications based on the most promising concept papers. *Applications will be due May 14, 1991* and awards approved by the Board at its July 25-28, 1991 meeting.

The exceptions to this schedule are proposals to follow up on the "Future and the Courts" Conference held this past May in San Antonio under the joint sponsorship of the Institute and the American Judicature Society (see section II.B.2.d.), and proposals to sponsor a National Conference on State-Federal Judicial Issues (see section II.B.2.b.iv.(b)). As stated in the proposed Guideline, the submission deadline for concept papers in these two areas only is October 10, 1990. Grants to support projects in these areas will be awarded at the Board's March 7-10, 1991 meeting.

Changes in the Final Guideline

On August 6, 1990, the Institute published its proposed FY 1991 Grant Guideline in the Federal Register for public comment. 55

FR 32038. The changes made in the final Guideline are set forth below:

Special Interest Categories

Education and Training. The final Guideline revises the proposed target funding allocations in this category by reducing the Technical Assistance sub-category from the proposed \$600,000 to \$100,000 and raising the Renewal Funding sub-category from \$750,000 to \$1,250,000. The shift of \$500,000 between these two sub-categories was made in light of last year's funding experience and anticipated applications in the affected sub-categories. The overall \$3,350,000 target allocation for education and training projects remains unchanged.

With respect to the "Implementation of In-State Education Programs" portion of the "State Initiatives" sub-category (II.B.2.b.i.(b)), the final Guideline modifies the proposed Guideline in two ways. First, the final Guideline clarifies that the \$250,000 target allocation for implementation projects is flexible; the exact amount to be awarded depends on the number and quality of applications submitted for such projects as well as those submitted in other areas of the Guideline. In addition, the final Guideline explains that the Board of Directors has delegated the authority to approve "implementation" grants to the Board's Judicial Education Committee.

The final Guideline also invites proposals for a National Conference of State Supreme Court Justices. See Section II.B.2.b.iv.(d). With respect to the proposed National Conference on State-Federal Judicial Issues, the Board wishes to make clear that the conference is designed to address the interests of both the State and Federal courts in a balanced manner.

Substance Abuse. This category has been revised to clarify that projects addressing the impact of drug-related cases on other aspects of a court's caseload or operations would be within the category. See section II.B.2.j.

Responding to the Court-Related Needs of Victims of Crime. This category has been revised to include, among the types of projects that would be within the scope of the category, an examination of the effect of the relationship between spousal abuse and child abuse on the courts. See section II.B.2.k.

Responding to the Court-Related Needs of Elderly and Disabled Persons. The impact of the recently-enacted Americans With Disabilities Act on the State courts has been added to the list of possible project topics under this category.

Definitions

A comment was received requesting an explanation of the change in the definition of "match" clarifying that tuition income does not constitute match (section III.C.). In order to be considered match, cash or in-kind contributions must demonstrate the grantee's commitment to the project. Tuition fails to meet this test because of its speculative nature and because it does not demonstrate the

grantee's commitment to the project, but rather the participants'.

Application Requirements

Section VII.C.6. of the proposed Guideline has been amended to require grantees whose projects produce wordprocessed products to submit a diskette of the text in ASCII to the Institute. For non-text products, a copy of an executive summary or a brief abstract in ASCII must be submitted. This requirement will greatly assist the Institute in its ability to efficiently disseminate information about grant-supported projects.

Enforcement of Statutory Anti-Lobbying Provisions

The proposed Grant Guideline added provisions to sections VII. and X. of the Guideline that would implement the anti-lobbying provisions of the State Justice Institute Act, 42 U.S.C 10706(a)(1), and assure that Institute-supported projects are designed and implemented in an unbiased manner. The final Guideline is unchanged in this regard. In response to the comments of two organizations, however, the Board wishes to clarify that organizationally affiliated entities that have different governing bodies or are otherwise clearly separate organizations, e.g., the Conference of Chief Justices and the National Center for State Courts, or the American Bar Association and the National Judicial College, would not be considered parts of the same organization for the purposes of the anti-lobbying provisions of the Guideline.

No other changes (except typographical and grammatical corrections) have been made in the final Guideline.

Recommendations to Grant Writers

Over the past three years, Institute staff have reviewed approximately 1,100 concept papers and over 400 applications. On the basis of those reviews, inquiries from applicants, and the views of the Board, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals that can meet the funding criteria set forth in this Guideline.

The Institute suggests that applicants make certain that they address the questions and issues set forth below when preparing a concept paper or application. Concept papers and applications should, however, be presented in the formats specified in sections VI. and VII. of the Guideline, respectively.

What is the subject or problem you wish to address?

Describe the subject or problem and how it affects the courts and the public. Discuss how your approach will improve the situation or advance the state of the art or knowledge, and explain why it is the most appropriate approach to take. When statistics or research findings are cited to support a statement or position, the source of the citation should be referenced in a footnote.

What do you want to do?

Explain the goal(s) of the project in simple, straightforward terms. To the greatest extent possible, an applicant should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance a paper.

How will you do it?

Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see

a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks will also help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages concept paper applicants to attach letters of cooperation and support from the courts and related agencies that will be involved in or directly affected by the proposed project.

How will you know it works?

Every project design must include an evaluation component to determine whether the proposed training, procedure, service, or technology accomplished the objectives it was designed to meet. Concept papers and applications should describe the criteria that will be used to evaluate the project's effectiveness and identify program elements which will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the

procedure, training, service, or technique, or the administration of the project.

The Institute has also prepared a more thorough list of recommendations to grant writers regarding the development of project evaluation plans. Those recommendations are available from the Institute upon request.

How will others find out about it?

Every project design must include a plan to disseminate the results of the training, research, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods which will be used to inform the field about the project, such as the publication of law review or journal articles, presentations at appropriate conferences, or the distribution of key materials. A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination should be identified. Reproduction and dissemination costs are allowable budget items.

What are the specific costs involved?

The budget in both concept papers and applications should be clearly presented. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be clearly identified.

What, if any, match is being offered?

Courts and other units of State and local government (not including publicly supported institutions of higher education) are required by the State Justice Institute Act, as amended, to contribute a match (cash, non-cash, or both) of not less than 50 percent of the grant funds requested from the Institute. All other applicants are also encouraged to provide a matching contribution to assist in meeting the costs of a project. The match requirement works as follows: if, for example, the total cost of a project is anticipated to be

\$150,000, a State or local court or executive branch agency may request up to \$100,000 from the Institute to implement the project. The remaining \$50,000 (50% of the \$100,000 requested from SJI) must be provided as match.

Cash match includes funds directly contributed to the project by the applicant, or by other public or private sources. Non-cash match refers to in-kind contributions by the applicant, or other public or private sources. When match is offered, the nature of the match (cash or in-kind) should be explained and, at the application stage, the tasks and line items for which costs will be covered wholly or in part by match should be specified.

Which of the two budget forms should be used?

Section VII.A.3. of the SJI Grant Guideline encourages use of the spreadsheet format of Form C1 if the funding request exceeds \$100,000. Form C1 also works well for projects with discrete tasks, no matter what the dollar value of the project. Form C, the tabular format, is preferred for projects lacking a number of discrete tasks, or for projects requiring less than \$100,000 of Institute funding. Generally, applicants should use the form that best lends itself to representing most accurately the budget estimates for the project.

How much detail should be included in the budget narrative?

The budget narrative of an application should provide the basis for computing all project-related costs, as indicated in section VII.D. of the SJI Grant Guideline. To avoid common shortcomings of application budget narratives, the following information should be included:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated

costs, including current salaries for the designated personnel (e.g., Project Director, 50% for one year, annual salary of \$30,000 = \$15,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work-year should be shown.

- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x .05/page = \$375.00). Supply and expense estimates offered simply as "based on experience" are not sufficient.

In order to expedite Institute review of the budget, applicants should make a final comparison of the amounts listed in the budget narrative with those listed on the budget form. In the rush to complete all parts of the application on time, there may be many last-minute changes; unfortunately, when there are discrepancies between the budget narrative and the budget form or the amount listed on the application cover sheet, it is not possible for the Institute to verify the amount of the request. A final check of the numbers on the form against those in the narrative will preclude such confusion.

What travel regulations apply to the budget estimates?

Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Institute or the Federal Government (a copy of the Institute's travel policy is available upon

request). The budget narrative should state which regulations are in force for the project and should include the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

May grant funds be used to purchase equipment?

Grant funds may be used to purchase or lease only that equipment which is essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Written prior approval of the Institute is required when the amount of automatic data processing equipment to be purchased or leased exceeds \$10,000, or the software to be purchased exceeds \$3,000.

To what extent may indirect costs be included in the budget estimates?

It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the last two years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, an indirect cost rate proposal should be prepared in accordance with Section XI.H.3 of the Grant Guideline, based on the applicant's audited financial statements for the prior fiscal year (applicants lacking an audit must budget all project costs directly). If an indirect cost rate proposal is to be submitted, the budget should reflect estimates based on that proposal. Obviously, this requires that the proposal be completed for the applicant's use at the time of application so that the appropriate estimates may be included; however, grantees have until three

months after the project start date to submit the indirect cost proposal to the Institute for approval.

Does the budget truly reflect all costs required to complete the project?

After preparing the program narrative portion of the application, applicants may find it helpful to list all the major tasks or ac-

tivities required by the proposed project, including the preparation of products, and note the individual expenses, including personnel time, related to each. This will help to ensure that, for all tasks described in the application (e.g., development of a videotape, research site visits, distribution of a final report), the related costs appear in the budget and are explained correctly in the budget narrative.

Summary

This Guideline sets forth the programmatic, financial, and administrative requirements of grants, cooperative agreements, and contracts awarded by the State Justice Institute. The Institute, a private, nonprofit corporation established by an Act of Congress, is authorized to award grants, cooperative agreements and contracts to improve the administration and quality of justice in the State courts.

Grants may be awarded to State and local courts and their agencies; national nonprofit organizations controlled by, operating in conjunction with, and serving the judicial branch of State governments; national nonprofit organizations for the education and training of judges and support personnel of the judicial branch of State governments; other nonprofit organizations with expertise in judicial administration; institutions of higher education; individuals, partnerships, firms, or corporations; and private agencies with expertise in judicial administration if the objectives of the funded program can be better served by such an entity. Funds may also be awarded to Federal, State or local agencies and institutions other than courts for services that cannot be provided for adequately through nongovernmental arrangements.

It is anticipated that approximately \$10-12 million will be available for grants, contracts, and cooperative agreements from FY 1991 appropriations. The Institute may also provide financial assistance in the form of interagency agreements with other grantors. The Institute will consider applications for funding support that address any of the areas specified in its enabling legislation; however, the Board of Directors of the Institute has designated certain program categories as being of special interest.

The Institute has established one round of competition for FY 1991 funds. The concept paper submission deadline for all but two funding categories is December 3, 1990. Concept papers concerning the proposed National Conference on State/Federal Judicial Issues and concept papers proposing projects to follow-up on the Future and the Courts Conference must be mailed by October 10, 1990. This Guideline applies to all concept papers and formal applications submitted for FY 1991 funding.

The awards made by the State Justice Institute are governed by the requirements of this Guideline and the authority conferred by Pub. L. 98-620, Title II, 42 U.S.C. 10701, *et seq.*, as amended.

I. Background

The State Justice Institute ("Institute") was established by Pub. L. 98-620 to improve the administration of justice in the State courts in the United States. Incorporated in the State of Virginia as a private, nonprofit corporation, the Institute is charged, by statute, with the responsibility to:

- A. Direct a national program of financial assistance designed to assure that each citizen of the United States is provided ready access to a fair and effective system of justice;
- B. Foster coordination and cooperation with the Federal judiciary;
- C. Promote recognition of the importance of the separation of powers doctrine to an independent judiciary; and
- D. Encourage education for judges and support personnel of State court systems through national and State organizations, including universities.

To accomplish these broad objectives, the Institute is authorized to provide funds to State courts, national organizations which support and are supported by State courts, national judicial education organizations, and other organizations that can assist in improving the quality of justice in the State courts.

The Institute is supervised by an eleven-member Board of Directors appointed by the President, by and with the consent of the Senate. The Board is statutorily composed of six judges, a State court administrator, and four members of the public, no more than two of whom can be of the same political party.

The Institute's program budget for Fiscal Year 1991 is expected to be approximately \$10-12 million. Through the award of grants, contracts, and cooperative agreements, the Institute is authorized to perform the following activities:

- 1. Support research, demonstrations, special projects, technical assistance, and training to improve the administration of justice in the State courts;
- 2. Provide for the preparation, publication, and dissemination of information regarding State judicial systems;
- 3. Participate in joint projects with Federal agencies and other private grantors;
- 4. Evaluate or provide for the evaluation of programs and projects funded by the Institute to determine their impact upon the quality of criminal, civil, and juvenile justice and the extent to which they have contributed to improving the quality of justice in the State courts;
- 5. Encourage and assist in furthering judicial education;
- 6. Encourage, assist, and serve in a consulting capacity to State and local justice system agencies in the development, maintenance, and coordination of criminal, civil, and juvenile justice programs and services; and
- 7. Be responsible for the certification of national programs that are intended to aid and improve State judicial systems.

II. Scope Of The Program

During FY 1991, the Institute will consider applications for funding support that address any of the areas specified in its enabling legislation. The Board, however, has designated certain program categories as being of "special interest." See section II.B.

A. Authorized Program Areas

The State Justice Institute Act authorizes the Institute to fund projects addressing one or more of the following program areas:

1. Assistance to State and local court systems in establishing appropriate procedures for the selection and removal of judges and other court personnel and in determining appropriate levels of compensation;
2. Education and training programs for judges and other court personnel for the performance of their general duties and for specialized functions, and national and regional conferences and seminars for the dissemination of information on new developments and innovative techniques;
3. Research on alternative means for using judicial and nonjudicial personnel in court decision-making activities, implementation of demonstration programs to test such innovative approaches, and evaluations of their effectiveness;
4. Studies of the appropriateness and efficacy of court organizations and financing structures in particular States, and support to States to implement plans for improved court organization and financing;
5. Support for State court planning and budgeting staffs and the provision of technical assistance in resource allocation and service forecasting techniques;
6. Studies of the adequacy of court management systems in State and local courts, and implementation and evaluation of innovative responses to records management, data processing, court personnel management, reporting and transcription of court proceedings, and juror utilization and management;
7. Collection and compilation of statistical data and other information on the work of the courts and on the work of other agencies which relate to and affect the work of courts;
8. Studies of the causes of trial and appellate court delay in resolving cases, and establishing and evaluating experimental programs for reducing case processing time;
9. Development and testing of methods for measuring the performance of judges and courts and experiments in the use of such measures to improve the functioning of judges and the courts;
10. Studies of court rules and procedures, discovery devices, and evidentiary standards to identify problems with the operation of such rules, procedures, devices, and standards; and the development of alternative approaches to better reconcile the requirements of due process with the need for swift and certain justice, and testing of the utility of those alternative approaches;
11. Studies of the outcomes of cases in selected areas to identify instances in which the substance of justice meted out by the

courts diverges from public expectations of fairness, consistency, or equity; and the development, testing and evaluation of alternative approaches to resolving cases in such problem areas;

12. Support for programs to increase court responsiveness to the needs of citizens through citizen education, improvement of court treatment of witnesses, victims, and jurors, and development of procedures for obtaining and using measures of public satisfaction with court processes to improve court performance;

13. Testing and evaluating experimental approaches to provide increased citizen access

to justice, including processes which reduce the cost of litigating common grievances and alternative techniques and mechanisms for resolving disputes between citizens; and

14. Other programs, consistent with the purposes of the Act, as may be deemed appropriate by the Institute, including projects dealing with the relationship between Federal and State court systems in areas where there is concurrent State-Federal jurisdiction and where Federal courts, directly or indirectly, review State court proceedings.

Funds will *not* be made available for the ordinary, routine operation of court systems in any of these areas.

B. Special Interest Program Categories

1. General Description

The Institute is interested in funding both innovative programs and programs of proven merit that can be replicated in other jurisdictions. Although applications in any of the statutory program areas are eligible for funding in FY 1991, the Institute is especially interested in funding those projects that:

- a. Formulate new procedures and techniques, or creatively enhance existing arrangements to improve the courts;
- b. Address aspects of the State judicial systems that are in special need of serious attention;
- c. Have national significance in terms of their impact or replicability in that they develop products, services and techniques that may be used in other States;
- d. Create and disseminate products that effectively transfer the information and ideas developed to relevant audiences in State and local judicial systems or provide

technical assistance to facilitate the adaptation of effective programs and procedures in other State and local jurisdictions.

A project will be identified as a "Special Interest" project if it meets the four criteria set forth above and (1) it falls within the scope of the "special interest" program areas designated below, or (2) information coming to the attention of the Institute from the State courts, their affiliated organizations, the research literature, or other sources demonstrates that the project responds to another special need or interest of the State courts.

Concept papers and applications which address a "Special Interest" category will be accorded a preference in the rating process. (See the selection criteria listed in sections VI.B., "Concept Paper Submission Requirements for New Projects," and VIII.B., "Application Review Procedures.")

2. Specific Categories

The Board has designated the areas set forth below as "Special Interest" program categories. The order of listing does not imply any ordering of priorities among the categories.

a. Courts and the Community

This category includes research, demonstration, and evaluation projects to enhance communication and understanding between courts and the communities they serve. Examples of the issues that may be addressed include: the innovative use of community volunteers to enhance court operations and services; innovative programs that improve access to justice, other than those that provide legal representation; innovative methods of fairly and effectively handling cases involving pro se litigants; methods for improving the court system's responsiveness to public needs and expectations; innovative methods or materials for schools or citizens' groups to improve public understanding of the courts; and other innovative approaches to enhancing public understanding of the purpose and operations of the judicial system and the system's responsiveness to its citizenry.

The category also includes projects designed to examine or enhance relations between the courts and the media. Such projects might address the use of orders limiting access to courtrooms and sealing settlement agreements and dispositional orders, and the effect of such orders on public perceptions of the fairness of the court process.

b. Education and Training for Judges and Other Key Court Personnel

The Board of Directors anticipates allocating approximately \$3,350,000 for judicial education projects in FY 1991. Of this amount, it is expected that up to \$2,100,000 will provide support to projects which the Institute has not funded previously, and up to \$1,250,000 will provide renewal funding for judicial education programs of proven merit under Section IX of the Guideline. The exact

amount to be awarded in each subcategory listed below will depend on the number and quality of the applications submitted in both this Special Interest category and other areas of the Guideline. The Board anticipates allocating the \$2,100,000 available for new awards in Fiscal Year 1991 as follows:

i. State Initiatives	\$750,000
ii. National/Regional Training Programs750,000
iii. Technical Assistance100,000
iv. Conferences500,000
Total	\$2,100,000

i. State Initiatives. This category includes support for training projects developed or endorsed by a State's courts for the benefit of judges and other court personnel in that State. Funding of these initiatives does not include support for training programs conducted by national providers of judicial education unless such a program is designed specifically for a particular State and has the express support of the State Chief Justice, State Court Administrator, or State Judicial Educator. The types of programs to be supported within this category should be defined by individual State need but may include:

(a) Development of in-State education programs, e.g.,:

- the development of State-determined standards for judicial education;
- the preparation of State plans for judicial education, including model plans for career-long education of the judiciary (e.g., new judge training and orientation followed by continuing education and career development);
- seed money for the creation of an ongoing State-based entity for planning, developing, and administering judicial education programs;

- the development of a pre-bench orientation program and other training for new judges;
- the development of benchbooks and other educational materials; and
- seed money for innovative continuing education and career development programs, including training which brings teams of judges, court managers and other court personnel together to address topics of mutual interest and concern.

(b) Implementation of in-State education programs:

The Board proposes to reserve \$250,000 of the \$750,000 allocated for State Initiatives to provide support for in-State implementation of model curricula and/or model training previously developed with SJI support. The exact amount to be awarded for implementation grants will depend on the number and quality of the applications submitted in this area and other areas of the Guideline. Implementation projects may include in-State replication or State-specific modification of a model training program, model curriculum, or course module developed with SJI funds by any other State or any national organization; adaptation of a curriculum or a portion of a curriculum developed for a national or regional conference; or adaptation of curriculum for use as part of a State judicial conference or State training program for judges and other court personnel. Only State or local courts may apply for in-State implementation funding.

Grants to support in-State implementation of training programs previously developed with SJI funds are limited to no more than \$20,000 each and will be awarded on the basis of criteria including: the need for outside funding; the certainty of implementation; and expressions of interest by the judges and/or court personnel (e.g., the State judicial educator, State Court Administrator or individual court manager) who would be directly involved in or af-

ected by the project. The Institute will also consider such factors as diversity of subject matter and geographic diversity in making implementation awards. In lieu of concept papers and formal applications, applicants for in-State implementation grants may submit a detailed letter outlining the proposed project and addressing the three criteria listed above, at any time. The Board of Directors has delegated its authority to approve these grants to its Judicial Education Committee. Applicants seeking other types of funding must comply with the requirements for concept papers and applications set forth in Sections VI and VII or the requirements for renewal applications set forth in Section IX.

ii. National and Regional Training Programs. This category includes support for national or regional training programs developed by any provider, e.g., national organizations, State courts, universities, or public interest groups. Within this category, priority will be given to training projects which address issues of major concern to the State judiciary and other court personnel. Programs to be supported may include:

- training programs or seminars on topics of interest and concern that transcend State lines;
- multi-State or regional training programs sponsored by national organizations, State courts or universities; and
- specialized training programs for State trial and appellate court judges, State and local court managers, or other court personnel.

iii. Technical Assistance. Unlike the preceding categories which support direct training, "Technical Assistance" refers to services necessary for the development of effective educational projects for judges and other court personnel. Projects in this category should focus on the needs of the States, and applicants should demonstrate clearly their ability to work effectively with State judicial educators.

Within this category, priority will be given to the support of projects focused on State-to-State, State-to-national, and national-to-State transfer of ideas and information. Support and assistance to be provided by such projects may include:

- development of educational curricula and support materials;
- training faculty in adult education theory and practice;
- consultation on planning, developing and administering State judicial education programs;
- coordination and exchange of information among judicial education providers;
- collection and dissemination of information about exemplary adult and continuing judicial education programs;
- development of improved methods of evaluating court education programs; and
- on-site assistance in any of the areas listed above.

iv. Conferences. This category includes support for regional or national conferences on topics of major concern to the State judiciary and court personnel.

The Institute intends to support the planning and presentation of three conferences addressing the following three topics:

The Impact of Substance Abuse Cases on the State Courts;

State-Federal Judicial Issues; and

The Improvement of the Adversary System.

Additionally, the Institute intends to support the planning and presentation of a Conference of State Supreme Court Justices.

(a) The Impact of Substance Abuse Cases on the State Courts

The Board of Directors is specifically interested in receiving proposals from national

organizations, universities, courts, and others to conduct a major national conference focusing on the impact of substance abuse cases on the State courts. The envisioned conference should be planned in collaboration with judges, court administrators, experts in the field of substance abuse, prosecutors and representatives from the criminal defense bar, treatment programs and human services agencies. It should provide the judiciary and other court personnel with basic information on substance abuse; the management of drug-related cases in criminal, civil, domestic relations, and juvenile dockets; effective treatment programs for individuals who abuse alcohol and other drugs; and sentencing alternatives. The Board specifically invites comments regarding the specific issues that should be addressed at the proposed conference, in addition to or instead of those listed below.

1. How is substance abuse defined and what are the various theoretical contexts for understanding the characteristics and different stages of substance abuse?

2. How can substance abuse be effectively diagnosed and treated? What diagnostic tools exist to help court personnel detect and assess substance abuse? Are new tools needed? What kinds of treatment programs exist, how do they differ, and do new program models need to be developed?

3. What are the "special issues" court personnel must understand and address with regard to substance abuse, for example:

- the relationship between AIDS and substance abuse;
- the appropriate response courts can make to problems resulting from the increasing number of infants born with impairments resulting from maternal drug and alcohol abuse;
- the relationship between substance abuse, child abuse and family violence; and

- the cumulative effect of substance abuse throughout succeeding generations.

4. What do judges need to know to make informed treatment and dispositional decisions? What are appropriate "sentencing alternatives" for adjudicated substance abusers and in what circumstances should they be used? What are the differences in the motivations of drug users, drug sellers who also use drugs, and non-user drug distributors and how should these differences be reflected in sentencing? What are the public's expectations of the nature and effect of sentences in cases involving substance abuse and the illegal distribution of controlled substances?

5. What can or should judges do when the community does not have a sufficient number of treatment programs to which to refer substance abusers?

6. How are court dockets, both criminal and civil, impacted as a result of the increasing volume of substance abuse-related cases? How can a high volume of substance abuse-related cases best be managed fairly and expeditiously by the courts?

7. What resources already exist to help further educate judges and other court personnel on substance abuse, its causes, and its treatment.

(b) National Conference on State-Federal Judicial Issues

This conference, which will be considered by the Institute on an accelerated timetable, will focus on issues relating to the relationship between the State and Federal courts. Specifically, the Board expects the Conference to address the following topics, among others:

- the impact of possible revisions in habeas corpus procedures on the State and Federal judicial systems;
- coordination between State and Federal courts in the handling of mass tort litigation;

- reallocation of judicial business between the State courts, such as the recommendations made by the Federal Courts Study Committee, i.e., more drug case prosecutions in State courts and changes in Federal diversity of citizenship jurisdiction;
- the frequency, outcomes, and effect of Federal courts certifying questions of law for State Supreme Courts;
- the roles of local State-Federal Judicial Councils and a National State-Federal Judicial Council; and
- an exploration of the desirability and feasibility of better ways to share information between the State and Federal courts systems and to coordinate State and Federal judicial planning efforts.

The Board contemplates co-sponsoring the Conference with the Federal Judicial Center. In order to convene this important conference as soon as possible, the Board has approved an accelerated schedule for the consideration of concept papers and applications proposing the conference. Concept papers must be submitted no later than October 10, 1990. The Board will consider the concept papers and invite formal applications at its November 29 - December 2, 1990 meeting. The applications will be considered at the Board's meeting on March 7-10, 1991.

(c) The Improvement of the Adversary System

There have been a number of conferences and symposia addressing alternative dispute resolution procedures and their relationship to the courts. The Institute is now interested in supporting a conference that would examine the adversary system itself, including its strengths, its weaknesses, and what steps can be taken to improve both the system and the public's perception of the system.

Among the many topics that could be addressed at such a conference are: the types

of cases for which the adversary process may be the most appropriate and the least appropriate; the role of the jury and the use of special or blue-ribbon juries; simplifying the pretrial process, including voir dire; the best way of presenting and adjudicating technically complex cases; methods for reducing trial length and expediting the trial process; the education of trial counsel and litigants about settlement techniques and methods for determining the value of their cases; the use and impact of Rule 11 and other sanctions; and improving access to the adversary process for poor and middle-income litigants. The conference should involve the participation of judges, attorneys, court managers, legal scholars, researchers, business leaders, citizen organizations, dispute resolution specialists, and media representatives.

(d) State Supreme Court Justices Conference

In light of the lack of opportunity for all members of the Supreme Courts of each of the States to meet together and discuss issues of common concern, the Institute invites proposals to sponsor an educational conference where State Supreme Court justices, legal scholars, and other participants would exchange information about:

- developing trends in civil, criminal, domestic relations, juvenile, and mental health law;
- emerging doctrines and principles in State constitutional law and the appropriate use of independent State grounds;
- problems and solutions in the relationship between State Supreme courts and the Federal court system;
- appellate procedures and case management techniques;
- the application of technology to assist the appellate process; and
- other developments in substantive law and judicial administration.

All court education programs should assure that faculty understand and apply adult education techniques and teaching methods; provide opportunities for structured interaction among participants; develop tangible products and materials for use by the faculty, participants and other judicial educators; employ a process for the recruitment of qualified and effective faculty; and develop sound methods for evaluating the impact of the training.

c. Alternative Dispute Resolution (ADR)

This category covers the evaluation of new and existing dispute resolution procedures and programs that have a substantial likelihood of resolving mass tort and multi-party cases, matters involving domestic violence, and other court cases in a more fair, expeditious, and less expensive manner than traditional court processing, with special emphasis on the effect of such programs on the quality of justice, litigant and court costs, court workload, and case processing. The Institute also is interested in continuing to explore the appropriate uses of ADR, the proper relationship between ADR and the courts; the nature and effect of settlement practices; and the ethical issues that face judicial officers who are involved in settlement activities.

In previous funding cycles, grants have been awarded to support development and evaluation of: juvenile offender-victim mediation; divorce mediation; court-annexed arbitration of civil cases; court-annexed mediation of civil, criminal, and domestic relations cases; medical malpractice mediation; appellate mediation; alternatives to adjudication in child abuse and neglect cases; early neutral evaluation of motor vehicle cases; the impact of private judging on the State courts; evaluations of multi-door courthouse programs; and civil settlement processes.

Additional SJI-supported ADR projects include: technical assistance to courts interested in implementing or expanding multi-door courthouse programs; development of

standards for court-annexed mediation programs; examination of the philosophy, purpose, and evolution of ADR programs; testing of a referral-based mediation program; the retention and productivity of volunteer community mediators; the applicability of various dispute resolution procedures to different cultural groups; an examination of whether mediation of matters involving domestic violence is safe and appropriate; and a national directory of ADR programs.

d. The Future and the Courts

The mission of the "Future and the Courts" Conference convened by SJI and the American Judicature Society in San Antonio in May, 1990 was to "formulate visions of the American judicial system over the next 30 years and beyond, establish goals for the long-term needs of the State courts, and identify an agenda for planning, action and research to achieve those goals." The Board has developed a list of Conference follow-up activities that would enable those at the Conference and others to begin to act on the agenda developed at the Conference in their own jurisdictions.

In order to expedite those activities, and preserve the momentum of the Conference, the Board has approved an accelerated schedule for Conference follow-up projects. Concept papers proposing such projects will be due October 10, 1990. The Board will review the concept papers at its November 29-December 2, 1990 meeting and invite applications that will be considered at the Board's meeting on March 7-10, 1991.

The Board will consider projects proposing:

(1) State futures commissions, conferences, and educational programs exposing judges and court staff to futures thinking and the trends that might impact their courts. *State futures commissions will be supported only if they are significantly different in approach and structure from futures commis-*

sions previously supported by the Institute in Arizona, Colorado, Massachusetts, Utah, and Virginia;

(2) Development, implementation, and evaluation of institutionalized long-term planning efforts in individual States and local jurisdictions, e.g., the inclusion of environmental scanning and long-term futures planning as components of the courts' routine planning process;

(3) Conferences to bring together people from States that have engaged in futures efforts, States that are just beginning those efforts, and States that are just starting to think about them, in order to exchange experiences and identify major problem areas and solutions;

(4) Symposia dedicated to certain specific topics that could result in recommendations for future research, planning, training, and action;

(5) Development of informational materials and curricula to enable judges and court personnel to become more familiar with, and apply futures thinking and planning principles; and

(6) Establishment of an ongoing clearinghouse and technical assistance resource center for State and national futures efforts.

e. Improving Communication and Coordination Among Courts

This category includes the development, implementation and evaluation of innovative procedural, administrative, technological, and organizational methods to improve communication and coordination among State courts and between State and Federal courts hearing-related cases. Among the circumstances in which such improved communication and coordination are particularly needed, are:

- mass tort litigation;
- instances in which a litigant in a State civil, criminal or domestic relations case is subject to a Federal bankruptcy proceeding;
- instances in which a defendant has charges pending in both State and Federal court or in more than one State court;
- post conviction challenges in capital cases; and
- instances in which multiple cases are pending involving members of a single family (e.g., divorce, domestic violence, child support, and child custody proceedings).

f. Application of Technology

This category includes the testing of innovative applications of technology to improve the operation of court management systems and judicial practices at both the trial and appellate court levels.

The Board seeks to support local experiments with promising but untested applications of technology in the courts that include a structured evaluation of the impact of the technology in terms of costs, benefits, and staff workload. In this context, "untested" refers to applications of technology that are not used widely by the courts or that include a unique element to enhance their usefulness to the courts. (See paragraph XI.H.2.b. regarding the limits on the use of grant funds to purchase equipment and software.)

In previous funding cycles, grants have been awarded to support:

demonstration and evaluation of communications technology, e.g., an interactive computerized information system to assist pro se litigants, an electronic mail system and computer-based bulletin board to facilitate information transfer among criminal justice agencies in adjoining local

jurisdictions, the effects of telephone conferencing in interstate child support cases, and the use of fax technology by courts;

demonstration and evaluation of records technology, e.g., the effects, costs, and benefits of videotape as a technique for making the record of trial court proceedings; an automated microfilm system and an optical disk system for maintaining and retrieving probate court records; an automated State-wide records management system; the integration of bar-coding technology with an existing automated case management system, and an on-bench automated system for generating and processing court orders;

court technology assistance services, e.g., circulation of a court technology bulletin designed to inform judges and court managers about the latest developments in court-related technologies; creation of a court technology laboratory to provide judges and court managers with the opportunity to test automated court-related systems; enhancement of a data base and circulation of reports documenting automated systems currently in use in courts across the country; establishment of a technical information service to respond to specific inquiries concerning court-related technologies; and development of court automation performance standards.

Current grants also are supporting development of a hands-on seminar for judges and court managers in an automated "courtroom of the future", implementation and evaluation of a State-wide automated integrated case docketing and record-keeping system, and a national assessment of the efforts to develop and implement State-wide automation of trial courts.

g. Reduction of Litigation Expense and Delay

This category includes the testing, implementation, and evaluation of innovative programs and procedures designed to reduce substantially the expense and delay

in civil, criminal, domestic relations, juvenile or other types of litigation at the trial or appellate level (or both); and the examination of effective methods of limiting the expense and delay arising from the use of discovery procedures.

In previous funding cycles, grants have been awarded to support the examination of the causes of delay and the methods for improving case processing in trial courts in rural jurisdictions, limited jurisdiction urban trial courts, and in intermediate appellate courts. In addition, grant support has been awarded to projects testing or examining the impact of innovative procedures for: screening civil cases, handling medical malpractice cases, and expediting appellate dispositions.

The Institute also has supported studies of case processing in domestic relations cases and the extent of case processing problems caused by discovery, as well as assistance to trial courts in major urban areas and to appellate courts to improve case processing, adopt and implement time standards, and otherwise reduce litigation delay.

h. The Use of Juries

This category includes the examination of legal and administrative issues regarding the fair and effective use of juries. These include, but are not limited to: experiments testing the effect on case outcomes of varying methods of jury selection including use of persons selected from the panel of prospective jurors at random; the use of "blue-ribbon" or specially qualified juries for civil cases involving complex scientific, technical or economic issues; the extent of jury nullification and the characteristics of the cases in which it occurs; the more active participation of juries in the fact-finding process; and innovative methods for preventing attempts to intimidate or influence jurors.

i. Design of Effective Orders

This category includes projects that would test and evaluate whether well-

designed court orders result in greater compliance in both civil and criminal cases. Such projects could include:

- testing methods of efficiently and reliably obtaining the information judges need to impose effective criminal sanctions (including probation conditions such as offender treatment plans, fines, and restitution), or equitable dispositional orders in juvenile delinquency, neglect and abuse, domestic relations, and mental health cases;
- identifying the types of incentives that facilitate defendants' compliance with orders, or disincentives that inhibit compliance; and
- developing methods such as "plain language" summaries, tape recordings, and other procedures to promote better understanding of, and compliance with the terminology used in court orders, particularly by parties who are illiterate, not fluent in English, or mentally or physically disabled.

j. Substance Abuse

This category includes the planning and presentation of seminars or other educational forums for judges, probation officers, caseworkers and other court personnel to: examine court-related issues concerning drug and alcohol abuse; discuss the appropriate role of the courts in addressing the problem of substance abuse; and develop specific plans for how individual courts can respond to the impact of the increasing volume of substance abuse-related criminal, civil, juvenile, and domestic relations cases on their ability to manage their overall caseloads fairly and efficiently.

In addition, this category includes the development and evaluation of innovative case management techniques for handling the increasing volume of substance abuse-re-

lated criminal, civil, juvenile, and domestic relations cases fairly and expeditiously; the development and testing of programs which establish coordinated efforts between local courts and treatment providers; evaluation of innovative programs that minimize or reduce recidivism; and the development, and testing and evaluation of profiles, guides, risk assessment instruments and other tools to assist judges in making release, dispositional, treatment, and sentencing decisions in cases involving substance-abusing persons. In addition to the above, see also Section II.B.2.b.iv.(a) regarding the Institute's interest in supporting a National Conference on the Impact of Substance Abuse Cases on the Courts.

In previous funding cycles, the Institute has supported demonstration projects which are evaluating the effectiveness of court-based alcohol and drug assessment programs; research on effective strategies for coping with increasing caseload pressures; and local education and training programs for judges and other court personnel on substance abuse and its treatment.

k. Responding to the Court-Related Needs of Victims of Crime and Witnesses

This category includes the implementation and evaluation of innovative court-based programs and procedures for providing fair treatment to victims of crime and witnesses. Court-based programs are those that are administered directly by the courts or through contracts negotiated between service providers and the courts. Programs and services operating in non-court settings, e.g., prosecutors' offices, ordinarily would not be favorably considered for funding.

Eligible projects may involve civil, criminal, domestic relations, juvenile and other types of cases, including but not limited to:

- Demonstrations and evaluations of innovative court policies and practices to protect victims and

witnesses from threats and intimidation, particularly in drug and drug-related cases; and

- Programs and procedures to assure the fair, effective, and efficient handling of domestic violence cases, such as: the appropriate use of court-ordered domestic violence mediation programs; evaluations of innovative court-ordered treatment programs for offenders and their families; and implementation and evaluation of innovative procedures governing the issuance and enforcement of protective orders.
- Research projects examining, e.g., the impact of procedures designed to assist crime victims on the administration of the courts; and the identification of effective and appropriate approaches that courts may use in developing dispositional orders in cases involving both spousal and child abuse.

With respect to court-related domestic violence issues, SJI grants have previously been awarded to: study the effectiveness of probation as a sanction in child sexual abuse cases; evaluate the use of cognitive questioning of child witnesses; develop a model protocol for handling child victim cases in criminal court; examine the use of alternatives to adjudication in child abuse and neglect cases; determine when and how mediation can be used appropriately in domestic relations cases in which domestic violence is alleged; demonstrate and evaluate the use of domestic violence shelter staff to assist victims in filling out and filing requests for injunctions for protection, thereby alleviating the burden placed on court staff; and develop and evaluate judicial education programs on victimization and domestic violence issues.

Current grants also are supporting an examination of the effects of the terms and duration of protection orders in protecting domestic violence victims and deterring bat-

terers; and the identification and documentation of court-related programs that offer effective responses to problems faced by the courts in handling family violence cases.

l. Responding to the Court-Related Needs of Elderly and Disabled Persons

This category includes research, demonstration, and evaluation projects on issues related to the fair and effective handling of cases affecting elderly and physically or mentally disabled persons, and access to the courts by those persons. The issues that may be addressed include but are not limited to:

- the fair and effective consideration of cases concerning the cessation of medical and other services to elderly or disabled persons including the determination of what constitutes clear and convincing evidence of a person's wish not to initiate or continue life-sustaining treatment;
- the impact on the State courts of the Federal Americans with Disability Act of 1990;
- the fair and effective consideration of cases concerning the competency of individuals;
- the design of appropriate guardianship/ conservatorship orders; and
- the improvement of access to courthouses and court proceedings for litigants, jurors, witnesses, and victims of crime who have mobility or communication impairments.

In previous funding cycles, the Institute has supported: several projects to examine, identify and test procedures to improve the monitoring and enforcement of guardianship orders; a project to develop guidelines for judges in considering cases regarding the withdrawal of life-sustaining treatment; projects to develop training materials on

guardianship for judges and potential guardians; projects to develop a benchbook and training materials regarding AIDS for judges, probation officers, and probationers; and a project to develop comprehensive guidelines for courthouse facilities. The Institute also is supporting a national conference on the court-related problems of elderly and disabled persons.

m. The Relationship Between State and Federal Courts

This category includes research to develop creative ideas and procedures that could improve the administration of justice in the State courts and at the same time reduce the work burdens of the Federal courts. Such research projects might address innovative State court procedures for:

- Reducing the burdens attendant to Federal habeas corpus cases involving State convictions;
- Handling civil, criminal, domestic relations or other types of cases in which a party also is subject to a Federal bankruptcy proceeding;
- Processing complex multi-state litigation in the State courts;
- Facilitating the adjudication of Federal law questions by State courts with appropriate opportunities for review; and
- Otherwise allocating judicial burdens between and among Federal and State courts.

Other possible areas of research include studies examining the impact of the enforcement of selected Federal statutes on the State courts, and the factors that motivate litigants to select the Federal or State courts in cases in which there is concurrent jurisdiction.

See also section II.B.2.b.iv.(b) soliciting proposals for a National Conference on State-Federal Judicial Issues.

C. Programs Addressing a Critical Need of a Single State or Local Jurisdiction

1. The Board will set aside up to \$1,000,000 to support projects submitted by State or local courts that address the needs of only the applicant State or local jurisdiction. A project under this section may address any of the topics included in the Special Interest Categories or statutory Program Areas, and may be submitted by a State court system, an appellate court, or a limited or general jurisdiction trial court in an urban, rural or suburban area.

2. Concept papers and applications requesting funds for projects under this section must meet the requirements of sections VI

("Concept Paper Submission Requirements for New Projects") and VII ("Application Requirements"), respectively, and must demonstrate that:

- a. The proposed project is essential to meeting a critical need of the jurisdiction; and
- b. The need cannot be met solely with State and local resources within the foreseeable future.

3. All awards under this category are subject to the matching requirements set forth in section X.B.1.

III. Definitions

The following definitions apply for the purposes of this guideline:

A. Institute

The State Justice Institute.

B. State Supreme Court

The highest appellate court in a State, unless, for the purposes of the Institute program, a constitutionally or legislatively established judicial council that acts in place of that court. In States having more than one court with final appellate authority, *State Supreme Court* shall mean that court which also has administrative responsibility for the State's judicial system. *State Supreme Court* also includes the office of the court or council, if any, it designates to perform the functions described in this guideline.

C. Designated Agency or Council

The office or judicial body which is authorized under State law or by delegation from the State Supreme Court to approve applications for funds and to receive, administer, and be accountable for those funds.

D. Grantor Agency

The State Justice Institute.

E. Grantee

The organization, entity, or individual to which an award of Institute funds is made. For a grant based on an application from a State or local court, *grantee* refers to the State Supreme Court.

F. Subgrantee

A State or local court which receives Institute funds through the State Supreme Court.

G. Match

The portion of project costs not borne by the Institute. *Match* includes both in-kind and cash contributions. *Match* does not include project-related income such as tuition or payments for grant products, or time of participants attending an education program.

H. Renewal Funding

A grant to support an existing project for an additional period of time. *Renewal funding* may take the form of a continuation grant or an on-going support grant.

I. Continuation Grant

A grant of no more than 24 months to permit completion of activities initiated under an existing Institute grant or enhancement of the programs or services produced or established during the prior grant period.

J. On-going Support Grant

A grant of up to 36 months to support a project that is national in scope and that provides the State courts with services, programs or products for which there is a continuing important need.

K. Human Subjects

Individuals who are participants in an experimental procedure or who are asked to provide information about themselves, their attitudes, feelings, opinions and/or experiences through an interview, questionnaire, or other data collection technique(s).

IV. Eligibility For Award

In awarding funds to accomplish these objectives and purposes, the Institute has been directed by Congress to give priority to State and local courts and their agencies (42 U.S.C. 10705(b)(1)(A)); national nonprofit organizations controlled by, operating in conjunction with, and serving the judicial branches of State governments (42 U.S.C. 10705 (b)(1)(B)); and national nonprofit organizations for the education and training of judges and support personnel of the judicial branch of State governments (42 U.S.C. 10705(b)(1)(C)).

An applicant will be considered a "priority" education and training applicant under section 10705(b)(1)(C) if: (1) the principal purpose or activity of the applicant is to provide education and training to State and local judges and court personnel; and (2) the applicant demonstrates a record of substantial experience in the field of judicial education and training.

The Institute also is authorized to make awards to other nonprofit organizations with expertise in judicial administration, institutions of higher education, individuals, partnerships, firms, corporations, and private agencies with expertise in judicial ad-

ministration, provided that the objectives of the relevant program area(s) can be served better. In making this judgment, the Institute will consider the likely replicability of the projects' methodology and results in other jurisdictions. For-profit organizations are also eligible for grants and cooperative agreements; however, they must waive their fees.

Finally, the Institute is authorized to make awards to Federal, State or local agencies and institutions other than courts for services that cannot be adequately provided through nongovernmental arrangements.

Each application for funding from a State or local court must be approved, consistent with State law, by the State's Supreme Court or its designated agency or council. The latter shall receive all Institute funds awarded to such courts and be responsible for assuring proper administration of Institute funds, in accordance with section XI.B.2 of this guideline. A list of persons to contact in each State regarding approval of applications from State and local courts and administration of Institute grants to those courts is contained in Appendix I.

V. Types Of Projects And Amounts Of Awards

A. Types of Projects

Except as expressly provided in section II.B.2.b. and II.C. above, the Institute has placed no limitation on the overall number of awards or the number of awards in each special interest category. The general types of projects are:

1. Education and training;
2. Research and evaluation;
3. Demonstration; and
4. Technical assistance.

B. Size of Awards

1. Except as specified in paragraphs V.B.2. and 3., concept papers and applications for new projects and applications for continuation grants may request funding in amounts up to \$300,000, although new and continuation awards in excess of \$200,000 are likely to be rare and to be made, if at all, only for highly promising proposals that will have a significant impact nationally.

2. Applications for on-going support grants may request funding in amounts up to

\$600,000. At the discretion of the Board, the funds to support on-going support grants may be awarded either entirely from the Institute's appropriations for the Fiscal Year of the award or from the Institute's appropriations for successive Fiscal Years beginning with the Fiscal Year of the award. When funds to support the full amount of an on-going support grant are not awarded from the appropriations for the Fiscal Year of award, funds to support any subsequent years of the grant will be made available upon (1) the satisfactory performance of the project as reflected in the quarterly Progress Reports required to be filed and grant monitoring, and (2) the availability of appropriations for that Fiscal Year.

C. Length of Grant Periods

1. Grant periods for all new and continuation projects ordinarily will not exceed 24 months.

2. Grant periods for on-going support grants ordinarily will not exceed 36 months.

VI. Concept Paper Submission Requirements For New Projects

Concept papers are an extremely important part of the application process because they enable the Institute to learn the program areas of primary interest to the courts and to explore innovative ideas, without imposing heavy burdens on prospective applicants. The use of concept papers also permits the Institute to better project the nature and amount of grant awards. Because of their importance, the Institute requires all parties requesting financial assistance from the Institute (except those seeking renewal funding pursuant to section IX.) to submit concept papers prior to submitting a formal grant application. This requirement and the submission deadlines for concept papers and applications may be waived by the Board if it determines that time factors or other critical considerations justify the waiver.

A. Format and Content

Concept papers must include a cover sheet and a narrative.

1. The cover sheet must contain:

- a. A title describing the proposed project;
- b. The name and address of the court, organization or individual submitting the paper; and
- c. The name, title, address (if different from that in b.), and telephone number of a contact person who can provide further information about the paper.

2. **The narrative must be no more than 10 double-spaced pages on 8 1/2 by 11 inch paper. Margins must not be less than 1 inch and no smaller than 12 point type must be used.** The narrative should contain:

- a. **Program Areas to be Covered.** A statement which lists the program areas set forth in the State Justice Institute Act, and, if appropriate, the Institute's Special Interest program categories that are addressed by the proposed project. Applicants should explain the proposed project's

relationship to a Program Area or Special Interest Category only if it is not obvious.

- b. An explanation of the need for the project. If the project is to be conducted in a specific location(s), applicants should discuss the particular needs of the project site(s) to be addressed by the project and why those needs are not being met through the use of existing materials, programs, procedures, services or other resources.

If the project is not site specific, applicants should discuss the problems that the proposed project will address, and explain why existing materials, programs, procedures, services or other resources do not adequately resolve those problems.

- c. A summary description of the approach to be taken;
- d. A summary description of how the project will be evaluated, including the evaluation criteria;
- e. A description of the products that will result, the degree to which they will be applicable to courts across the nation, and

the manner in which the products and results of the project will be disseminated;

- f. An explanation of the expected benefits to be derived from the project;
- g. The identity of the key staff (if known) and a summary description of their qualifications;
- h. A preliminary budget estimate including the anticipated costs for personnel, fringe benefits, travel, equipment, supplies, contracts, indirect costs, and other anticipated major expenditure categories;
- i. The amount, nature (cash or non-cash), and source of match to be provided (see section X.B.); and
- j. A statement of whether financial assistance for the project has been or will be sought from other sources.

3. The Institute encourages concept paper applicants to attach letters of cooperation and support from the courts and related agencies that will be involved in or directly affected by the proposed project.

4. The Institute will not accept concept papers exceeding 10 pages. The page limit does not include letters of cooperation or endorsements. Additional material should not be attached unless it is essential to impart a clear understanding of the project.

5. Applicants submitting more than one concept paper may include material that would be identical in each concept paper in a cover letter, and incorporate that material by reference in each paper. The incorporated material will be counted against the 10-page limit for each paper. A copy of the cover letter should be attached to each copy of each concept paper.

B. Selection Criteria

- 1. All concept papers will be evaluated by the staff on the basis of the following criteria:
 - a. The demonstration of need for the project;

- b. The soundness and innovativeness of the approach described;

- c. The benefits to be derived from the project;

- d. The reasonableness of the proposed budget;

- e. The proposed project's relationship to one of the "Special Interest" categories set forth in section II.B; and

- f. The degree to which the findings, procedures, training, technology, or other results of the project can be transferred to other jurisdictions.

2. "Single jurisdiction" concept papers submitted pursuant to section II.C. will be rated on the proposed project's relation to one of the "Special Interest" categories set forth in section II.B., and on the special requirements listed in section II.C.1.

3. In determining which concept papers will be selected for development into full applications, the Institute will also consider the availability of financial assistance from other sources for the project; the amount and nature (cash or in-kind) of the submitter's anticipated match; whether the submitter is a "priority applicant" under the Institute's enabling legislation (see 42 U.S.C. 10705(b)(1) and section IV above); and the extent to which the proposed project would also benefit the Federal courts or help the State courts enforce Federal constitutional and legislative requirements.

C. Review Process

Concept papers will be reviewed competitively by the Board of Directors. Institute staff will prepare a narrative summary and a rating sheet assigning points for each relevant selection criterion for those concept papers which fall within the scope of the Institute's funding program and merit serious consideration by the Board. Staff will also prepare a list of those papers that, in the judgment of the Executive Director, propose

projects that lie outside the scope of the Institute's funding program or are not likely to merit serious consideration by the Board. The narrative summaries, rating sheets, and list of non-reviewed papers will be presented to the Board for their review. Committees of the Board will review concept paper summaries within assigned program areas and prepare recommendations for the full Board. The full Board of Directors will then decide which concept paper applicants should be invited to submit formal applications for funding. The decision to invite an application is solely that of the Board of Directors.

D. Submission Requirements

An original and three copies of all concept papers submitted for consideration in Fiscal Year 1991 must be sent by first class or overnight mail or by courier no later than December 3, 1990, except for concept papers addressing Special Interest categories b.iv.(a). (Conference on State-Federal Judicial Issues) and d. (The Future and the Courts) which must be sent by October 10, 1990. A postmark or courier receipt will constitute evidence of the submission date. All envelopes containing con-

cept papers should be marked **CONCEPT PAPER** and should be sent to:

**State Justice Institute
120 S. Fairfax Street
Alexandria, Virginia 22314.**

The Board will meet to review the concept papers and invite applications for the Conference on State-Federal Judicial Issues and on The Future and the Courts on November 29 - December 2, 1990. It will meet on March 7-10, 1991 to review concept papers and invite applications on all other topics. The Institute will send written notice to all persons submitting concept papers of the Board's decisions regarding their papers and of the key issues and questions that arose during the review process. A decision by the Board not to invite an application may not be appealed, but does not prohibit resubmission of the concept paper or a revision thereof in a subsequent round of funding. The Institute will also notify the designated State contact listed in the Appendix when the Board invites applications that are based on concept papers which are submitted by courts within their State or which specify a participating site within their State.

Receipt of each concept paper will be acknowledged in writing. **Extensions of the deadline for submission of concept papers will not be granted.**

VII. Application Requirements For New Projects

Except as specified in section VI., a formal application for a new project is to be submitted only upon invitation of the Board following review of a concept paper. An application for Institute funding support must include an application form, budget forms (with appropriate documentation), a project abstract and program narrative, and certain certifications and assurances. These documents are described below.

A. Forms

1. Application Form

(FORM A) – The application form requests basic information regarding the proposed project, the applicant, and the amount of funding support requested. It also requires the signature of an individual authorized to certify on behalf of the applicant that the information contained in the application is true and complete, that submission of the application has been authorized by the applicant, and that if funding for the proposed project is approved, the applicant will comply with the requirements and conditions of the award, including the assurances set forth in Form D.

2. Certificate of State Approval

(FORM B) – An application from a State or local court must include a copy of FORM B signed by the State's Chief Justice or Chief Judge, the director of the designated agency, or the head of the designated council. The signature denotes that the proposed project has been approved by the State's highest court or the agency or council it has designated. It denotes further that if funding for the project is approved by the Institute, the court or designated agency or council will receive, administer, and be accountable for the awarded funds.

3. Budget Forms

(FORM C or C1) – Applicants may submit the proposed project budget either in the tabular format of FORM C or in the spreadsheet format of FORM C1. Applicants requesting more than \$100,000 are encouraged to use the spreadsheet format. If the proposed project period is for more than 12 months, a separate form should be submitted for the portion of the project extending beyond month twelve.

In addition to FORM C or C1, applicants must provide a detailed budget narrative providing an explanation of the basis for the estimates in each budget category. (See Section VII.D.)

If funds from other sources are required to conduct the project, either as match or to support other aspects of the project, the source, current status of the request, and anticipated decision date must be provided.

4. Assurances

(FORM D) – This form lists the statutory, regulatory, and policy requirements and conditions with which recipients of Institute funds must comply.

B. Project Abstract

The abstract should highlight the purposes, goals, methods and anticipated

benefits of the proposed project. It should not exceed one single-spaced page on 8-1/2 by 11 inch paper.

C. Program Narrative

The program narrative should not exceed 25 double-spaced pages on 8-1/2 by 11 inch paper. Margins must not be less than 1 inch, and no smaller than 12 point type must be used. The page limit does not include appendices containing resumes and letters of cooperation or endorsement. Additional background material should be attached only if it is essential to obtaining a clear understanding of the proposed project. Numerous and lengthy appendices are strongly discouraged.

The program narrative should address the following topics:

1. Project Objectives

A clear, concise statement of what the proposed project is intended to accomplish. In stating the objectives of the project, applicants should focus on the overall programmatic objective (e.g., to enhance understanding and skills regarding a specific subject, or to determine how a certain procedure affects the court and litigants) rather than on operational objectives (e.g., provide training for 32 judges and court managers, or review data from 300 cases).

2. Program Areas to be Covered

A statement which lists the program areas set forth in the State Justice Institute Act, and, if appropriate, the Institute's Special Interest program categories that are addressed by the proposed projects. A discussion should be included only if the relationship between the proposed project and the program areas and Special Interest categories is not obvious.

3. Need for the Project

If the project is to be conducted in a specific location(s), a discussion of the par-

ticular needs of the project site(s) to be addressed by the project and why those needs are not being met through the use of existing materials, programs, procedures, services or other resources.

If the project is not site specific, a discussion of the problems that the proposed project will address, and why existing materials, programs, procedures, services or other resources do not adequately resolve those problems. The discussion should include specific references to the relevant literature and to the experience in the field.

4. Tasks, Methods and Evaluation

a. Tasks and Methods

A delineation of the tasks to be performed in achieving the project objectives and the methods to be used for accomplishing each task. For example:

For *research and evaluation projects*, the data sources, data collection strategies, variables to be examined, and analytic procedures to be used for conducting the research or evaluation and ensuring the validity and general applicability of the results. For projects involving human subjects, the discussion of methods should address the procedures for obtaining respondents' informed consent, ensuring the respondents' privacy and freedom from risk or harm, and the protection of others who are not the subjects of research but would be affected by the research. If the potential exists for risk or harm to the human subjects, a discussion should be included of the value of the proposed research and the methods to be used to minimize or eliminate such risk.

For *education and training projects*, the adult education techniques to be used in designing and presenting the program, including the teaching/learning objectives of the educational design, the teaching methods to be used, and the opportunities for structured interaction among the participants; how faculty will be recruited, selected, and trained; the proposed number and length of the conferences, courses, semi-

nars or workshops to be conducted; the materials to be provided and how they will be developed; and the cost to participants.

For *demonstration projects*, the demonstration sites and the reasons they were selected, or if the sites have not been chosen, how they will be identified and their cooperation obtained; how the program or procedures will be implemented and monitored.

For *technical assistance projects*, the types of assistance that will be provided; the particular issues and problems for which assistance will be provided; how requests will be obtained and the type of assistance determined; how suitable providers will be selected and briefed; how reports will be reviewed; and the cost to recipients.

b. Evaluation

Every project design must include an evaluation plan to determine whether the project met its objectives. The evaluation should be designed to provide an objective and independent assessment of the effectiveness of usefulness of the training or services provided; the impact of the procedures, technology or services tested; or the validity and applicability of the research conducted. In addition, where appropriate, the evaluation process should be designed to provide ongoing or periodic feedback on the effectiveness or utility of particular programs, educational offerings, or achievements which can then be further refined as a result of the evaluation process. The plan should present the qualifications of the evaluator(s); describe the criteria, related to the project's programmatic objectives, that will be used to evaluate the project's effectiveness; explain how the evaluation will be conducted, including the specific data collection and analysis techniques to be used; discuss why this approach is appropriate; and present a schedule for completion of the evaluation within the proposed project period.

The evaluation plan should be appropriate to the type of project proposed. For example, an appropriate evaluation ap-

proach for many *research projects* is review by an advisory panel of the research methodology, data collection instruments, preliminary analyses, and products as they are drafted. The panel should be comprised of independent researchers and practitioners representing the perspectives affected by the proposed project.

The most valuable approaches to evaluating *educational or training programs* will serve to reinforce the participants' learning experience while providing useful feedback on the impact of the program and possible areas for improvement. One appropriate evaluation approach is to assess the acquisition of new knowledge, skills, attitudes or understanding through participant feedback on the seminar or training event. Such feedback might include a self-assessment on what was learned along with the participant's response to the quality and effectiveness of faculty presentations, the format of sessions, the value or usefulness of the material presented and other relevant factors. Another appropriate approach when an education project involves the development of curricular materials is the use of an advisory panel of relevant experts coupled with a test of the curriculum to obtain the reactions of participants and faculty as indicated above.

The evaluation plan for a *demonstration project* should encompass an assessment of program effectiveness (e.g., how well did it work?); user satisfaction, if appropriate; the cost effectiveness of the program; a process analysis of the program (e.g., was the program implemented as designed? did it provide the services intended to the targeted population?); the impact of the program (e.g., what effect did the program have on the court? what benefits resulted from the program?); and the replicability of the program or components of the program.

For *technical assistance projects*, applicants should explain how the quality, timeliness, and impact of the assistance provided will be determined, and should develop a mechanism for feedback from

both the users and providers of the technical assistance.

5. Project Management

A detailed management plan including the starting and completion date for each task; the time commitments to the project of key staff and their responsibilities regarding each project task; and the procedures that will be used to ensure that all tasks are performed on time, within budget, and at the highest level of quality. **The management plan must also provide for the submission of Quarterly Progress and Financial Reports within 30 days after the close of each calendar quarter (i.e., no later than January 30, April 30, July 30, and October 30).**

6. Products

A description of the products to be developed by the project (e.g., monographs, training curricula and materials, videotapes, articles, or handbooks), including when they will be submitted to the Institute. The application must explain how and to whom the products will be disseminated; identify development, production, and dissemination costs covered by the project budget; and present the basis on which products and services developed or provided under the grant will be offered to the courts community and the public at large. Ordinarily, the products of a research, evaluation, or demonstration project should include an article summarizing the project findings that is publishable in a journal serving the courts community nationally, an executive summary that will be disseminated to the project's primary audience, or both. The products developed by education and training projects should be designed for use outside the classroom so that they may be used again by original participants and others in the course of their duties. **Twenty copies of all project products, including videotapes, must be submitted to the Institute. In addition, for all wordprocessed products, grantees must submit a diskette of the text in ASCII. For**

non-text products, a copy of the executive summary or a brief abstract in ASCII must be submitted.

7. Applicant Status

An applicant that is not a State or local court and has not received a grant from the Institute within the past two years should include a statement indicating whether it is requesting "priority status" recognition as either a national nonprofit organization controlled by, operating in conjunction with, and serving the judicial branches of State governments; or a national nonprofit organization for the education and training of State court judges and support personnel. See section IV. A request for recognition as a priority recipient pursuant to 42 U.S.C. 10705 (b)(1)(B) or (1)(C) must set forth the basis for designation as a priority recipient in its application. Non-judicial units of Federal, State, or local government must demonstrate that the proposed services are not available from non-governmental sources.

8. Staff Capability

A summary of the training and experience of the key staff members and consultants that qualify them for conducting and managing the proposed project. Resumes of identified staff should be attached to the application. If one or more key staff members and consultants are not known at the time of the application, a description of the criteria that will be used to select persons for these positions should be included.

9. Organizational Capacity

Applicants that have not received a grant from the Institute within the past two years should include **a statement describing the capacity of the applicant to administer grant funds** including the financial systems used to monitor project expenditures (and income, if any), and a summary of the applicant's past experience in administering grants, as well as any resources or

capabilities that the applicant has that will particularly assist in the successful completion of the project.

If the applicant is a nonprofit organization (other than a university), it must also provide documentation of its 501(c) tax exempt status as determined by the Internal Revenue Service and a copy of a current certified audit report. For purposes of this requirement, "current" means no earlier than two years prior to the current calendar year. If a current audit report is not available, the Institute will require the organization to complete a financial capability questionnaire which must be certified by a Certified Public Accountant. Other applicants may be required to provide a current audit report, a financial capability questionnaire, or both, if specifically requested to do so by the Institute.

Unless requested otherwise, an applicant that has received a grant from the Institute within the past two years should describe only the changes in its organizational capacity, tax status, or financial capability that may affect its capacity to administer a grant.

10. Statement of Lobbying Activities

Applicants must submit a form (to be prepared by the Institute) that states whether they, or another entity that is a part of the same organization as the applicant, have advocated a position before Congress on any issue, and identifies the specific subjects of their lobbying efforts.

11. Letters of Support for the Project

If the cooperation of courts, organizations, agencies, or individuals other than the applicant is required to conduct the project, written assurances of cooperation and availability should be attached as an appendix to the application.

D. Budget Narrative

The budget narrative should provide the basis for the computation of all project-

related costs. Additional background or schedules may be attached if they are essential to obtaining a clear understanding of the proposed budget. Numerous and lengthy appendices are strongly discouraged.

The budget narrative should address the items listed below. The costs attributable to the project evaluation should be clearly identified.

1. Justification of Personnel Compensation

The applicant should set forth the percentages of time to be devoted by the individuals who will serve as the staff of the proposed project, the annual salary of each of those persons, and the number of work days per year used for calculating the percentages of time or daily rate of those individuals. The applicant should explain any deviations from current rates or established written organization policies.

2. Fringe Benefit Computation

The applicant should provide a description of the fringe benefits provided to employees. If percentages are used, the authority for such use should be presented as well as a description of the elements included in the determination of the percentage rate.

3. Consultant/Contractual Services

The applicant should describe each type of service to be provided. The basis for compensation rates and the method for selection should also be included. Rates for consultant services must be set in accordance with section XI.H.2.c.

4. Travel

Transportation costs and per diem rates must comply with the policies of the applicant organization. If the applicant does not have an established travel policy, then travel rates shall be consistent with those established by the Institute or the Federal

Government. (A copy of the Institute's travel policy is available upon request.) The budget narrative should include an explanation of the rate used, including the components of the per diem rate and the basis for the estimated transportation expenses. The purpose for travel should also be included in the narrative.

5. Equipment

Grant funds may be used to purchase or lease only that equipment which is essential to accomplishing the objectives of the project. The applicant should describe the equipment to be purchased or leased and explain why the acquisition of that equipment is essential to accomplish the project's goals and objectives. The narrative should clearly identify which equipment is to be leased and which is to be purchased. The method of procurement should also be described. Purchases for automatic data processing equipment must comply with section XI.H.2.b.

6. Supplies

The applicant should provide a general description of the supplies necessary to accomplish the goals and objectives of the grant. In addition, the applicant should provide the details supporting the total requested for this expenditure category.

7. Construction

Construction expenses are prohibited except for the limited purposes set forth in section X.G.2. Any allowable construction or renovation expense should be described in detail in the budget narrative.

8. Telephone

Applicants should include anticipated telephone charges, distinguishing between monthly charges and long distance charges in the budget narrative. Also, applicants should provide the basis used in developing the monthly and long distance estimates.

9. Postage

Anticipated postage costs for project-related mailings should be described in the budget narrative. The cost of special mailings, such as for a survey or for announcing a workshop, should be distinguished from routine operational mailing costs. The bases for all postage estimates should be included in the justification material.

10. Printing/Photocopying

Anticipated costs for printing or photocopying should be included in the budget narrative. Applicants should provide the details underlying these estimates in support of the request.

11. Indirect Costs

Applicants should describe the indirect cost rates applicable to the grant in detail. These rates must be established in accordance with section XI.H.4. If the applicant has an indirect cost rate or allocation plan approved by any Federal granting agency, a copy of the approved rate agreement should be attached to the application.

12. Match

The applicant should describe the source of any matching contribution and the nature of the match provided. Any additional contributions to the project should be described in this section of the budget narrative as well. If in-kind match is to be provided, the applicant should describe how the amount and value of the time, services or materials actually contributed will be documented. Applicants that do not contemplate making matching contributions continuously throughout the course of the project or on a task-by-task basis must provide a schedule within 30 days after the beginning of the project period indicating at what points during the project period the matching contributions will be made. (See sections III.G., VIII.B., X.B. and XI.D.1.)

E. Submission Requirements

1. An application package containing the application, an original signature on FORM A (and on FORM B, if the application is from a State or local court), and four photocopies of the application package must be sent by first class or overnight mail, or by courier no later than May 14, 1991. A postmark or courier receipt will constitute evidence of the submission date. Please mark APPLICATION on all application package envelopes and send to:

State Justice Institute
120 S. Fairfax Street
Alexandria, Virginia 22314

Receipt of each proposal will be acknowledged in writing. Extensions of the deadline for receipt of applications will not be granted.

2. Applicants invited to submit more than one application may include material that would be identical in each application in a cover letter, and incorporate that material by reference in each application. The incorporated material will be counted against the 25-page limit for the program narrative. A copy of the cover letter should be attached to each copy of each application.

VIII. Application Review Procedures

A. Preliminary Inquiries

The Institute staff will answer inquiries concerning application procedures. The staff contact will be named in the Institute's letter inviting submission of a formal application.

B. Selection Criteria

1. All applications will be rated on the basis of the criteria set forth below. The Institute will accord the greatest weight to the following criteria:

- a. The soundness of the methodology;
- b. The appropriateness of the proposed evaluation design;
- c. The qualifications of the project's staff;
- d. The applicant's management plan and organizational capabilities;
- e. The reasonableness of the proposed budget;
- f. The demonstration of need for the project;
- g. The products and benefits resulting from the project;
- h. The demonstration of cooperation and support of other agencies that may be affected by the project;
- i. The proposed project's relationship to one of the "Special Interest" categories set forth in section II.B., and
- j. The degree to which the findings, procedures, training, technology, or other results of the project can be transferred to other jurisdictions.

2. "Single jurisdiction" applications submitted pursuant to section II.C. will also be

rated on the proposed project's relation to one of the "Special Interest" categories set forth in section II.B. and on the special requirements listed in section II.C.1.

3. In determining which applicants to fund, the Institute will also consider the applicant's standing in relation to the statutory priorities discussed in section IV; the availability of financial assistance from other sources for the project; the amount and nature (cash or in-kind) of the applicant's match; and the extent to which the proposed project would also benefit the Federal courts or help the State courts enforce Federal constitutional and legislative requirements.

C. Review and Approval Process

Applications will be reviewed competitively by the Board of Directors. The Institute staff will prepare a narrative summary of each application, and a rating sheet assigning points for each relevant selection criterion. When necessary, applications may also be reviewed by outside experts. Committees of the Board will review applications within assigned program categories and prepare recommendations to the full Board. The full Board of Directors will then decide which applications to approve for a grant. The decision to award a grant is solely that of the Board of Directors.

Awards approved by the Board will be signed by the Chairman of the Board on behalf of the Institute.

D. Return Policy

Unless a specific request is made, unsuccessful applications will not be returned. Applicants are advised that Institute records are

subject to the provisions of the Federal Freedom of Information Act, 5 U.S.C. 552.

E. Notification of Board Decision

The Institute will send written notice to applicants concerning all Board decisions to approve or deny their respective applications and the key issues and questions that arose during the review process. A decision by the Board to deny an application may not be appealed, but does not prohibit resubmission of a concept paper based on that application in a subsequent round of funding. The Institute will also notify the designated State contact listed in Appendix A when grants are approved by the Board to support projects that will be conducted by or involve courts in their State.

F. Response to Notification of Approval

Applicants have 30 days from the date of the letter notifying them that the Board has approved their application to respond to any revisions requested by the Board. If the requested revisions (or a reasonable schedule for submitting such revisions) has not been submitted to the Institute within 30 days after notification, the approval will be automatically rescinded and the application presented to the Board for reconsideration.

IX. Renewal Funding Procedures And Requirements

The Institute recognizes two types of renewal funding — “continuation grants” and “on-going support grants.” Pursuant to the procedures and requirements set forth below, the Board may, in its discretion and subject to the availability of funds, consider requests for renewal funding at times other than those set for new projects in Sections VI. and VII.

A. Continuation Grants

1. Purpose and Scope

Continuation grants are intended to support projects with a limited duration that involve the same type of activities as the previous project. They are intended to enhance the specific program or service produced or established during the prior grant period. They may be used, for example, when a project is divided into two or more sequential phases, for secondary analysis of data obtained in an Institute-supported research project, or for more extensive testing of an innovative technology, procedure, or program developed with SJI grant support.

In order for a project to be considered for continuation funding, the grantee must have completed the project tasks and met all grant requirements and conditions in a timely manner, absent extenuating circumstances or prior Institute approval of changes to the project design. Continuation grants are not intended to provide support for a project for which the grantee has underestimated the amount of time or funds needed to accomplish the project tasks.

2. Application Procedures

Letters of Intent. In lieu of a concept paper, a grantee seeking a continuation grant must inform the Institute, by letter, of its

intent to submit an application for such funding as soon as the need for renewal funding becomes apparent but no less than 120 days before the end of the current grant period.

- a. A letter of intent must be no more than 3 single-spaced pages on 8 1/2 by 11 inch paper and must contain a concise but thorough explanation of the need for continuation; an estimate of the funds to be requested; and a brief description of anticipated changes in scope, focus or audience of the project.
- b. Letters of intent will not be reviewed competitively. Institute staff will review the proposed activities for the next project period and, within 30 days of receiving a letter of intent, inform the grantee of specific issues to be addressed in the continuation application and the date by which the application for a continuation grant must be submitted.

3. Application Format

An application for a continuation grant must include an application form, budget forms (with appropriate documentation), a project abstract conforming to the format set forth in section VII.B., a program narrative, a budget narrative, and certain certifications and assurances.

The program narrative should conform to the length and format requirements set

forth in section VII.C. However, rather than the topics listed in section VII.C., the program narrative of an application for a continuation grant should address:

a. Need for Continuation. Explain why continuation of the project is necessary to achieve the goals of the project, and how the continuation will benefit the participating courts or the courts community generally. That is, to what extent will the goals and objectives of the project be unfulfilled if the project is not continued, and conversely, how will the findings or results of the project be enhanced by continuing the project?

b. Report of Current Project Activities. Discuss the status of all activities conducted during the previous project period, identify any activities that were not completed, and explain why.

c. Evaluation Findings. Describe the key findings or recommendations resulting from the evaluation of the project, if they are available, and explain how they will be addressed during the proposed continuation. If the findings are not yet available, provide the date by which they will be submitted to the Institute.

d. Tasks and Methods. Describe fully any changes in the tasks to be performed, the methods to be used, the products of the project, the assigned staff, or the grantee's organizational capacity.

e. Task Schedule. Present a detailed task schedule and time line for the next project period.

f. Other Sources of Support. Indicate why other sources of support are inadequate, inappropriate or unavailable.

g. Budget and Budget Narrative. Provide a complete budget and budget narrative conforming to the requirements set forth in paragraph VII.D. Changes in the funding level requested should be discussed in terms of

corresponding increases or decreases in the scope of activities or services to be rendered.

4. References to Previously Submitted Material

An application for a continuation grant should not repeat information contained in a previously approved application or other previously submitted materials, but should provide specific references to such materials where appropriate.

5. Submission Requirements, Review and Approval Process, and Notification of Decision

The submission requirements set forth in section VII.E., other than the deadline for mailing, apply to applications for a continuation grant. Such applications will be rated on the selection criteria set forth in section VIII.B. The key findings and recommendations resulting from an evaluation of the project and the proposed response to those findings and recommendations will also be considered. The review and approval process, return policy, and notification procedures are the same as those for new projects set forth in sections VIII.C. – VIII.E.

B. On-going Support Grants

1. Purpose and Scope

On-going support grants are intended to support projects that are national in scope and that provides the State courts with services, programs or products for which there is a continuing important need. An on-going support grant may also be used to fund longitudinal research that directly benefits the State courts. On-going support grants are subject to the limits on size and duration set forth in V.B.2 and V.C.2. A project is eligible for consideration for an on-going support grant if:

- a. The project is supported by and has been evaluated under a grant from the Institute;

- b. The project is national in scope and provides a significant benefit to the State courts;
- c. There is a continuing important need for the services, programs or products provided by the project as indicated by the level of use and support by members of the court community;
- d. The project is accomplishing its objectives in an effective and efficient manner; and
- e. It is likely that the service or program provided by the project would be curtailed or significantly reduced without Institute support.

Each project supported by an on-going support grant must include an evaluation component assessing its effectiveness and operation throughout the grant period. The evaluation should be independent, but may be designed collaboratively by the evaluator and the grantee. The design should call for regular feedback from the evaluator to the grantee throughout the project period concerning recommendations for mid-course corrections or improvement of the project, as well as periodic reports to the Institute at relevant points in the project.

An interim evaluation report must be submitted 18 months into the grant period. The decision to obligate Institute funds to support the third year of the project will be based on the interim evaluation findings and the applicant's response to any deficiencies noted in the report.

A final evaluation assessing the effectiveness, operation of, and continuing need for the project must be submitted 90 days before the end of the three-year project period.

In addition, a detailed annual task schedule must be submitted not later than 45 days before the end of the first and second years of the grant period, along with an explanation of any necessary revisions in the projected costs for the remainder of the project period.

2. Application Procedures

Letters of Intent. The Board will consider awarding an on-going support grant for a period of up to 36 months. The total amount of the grant will be fixed at the time of the initial award. Funds ordinarily will be made available in annual increments as specified in section V.B.2.

In lieu of a concept paper, a grantee seeking an on-going support grant must inform the Institute, by letter, of its intent to submit an application for such funding as soon as the need for renewal funding becomes apparent but no less than 120 days before the end of the current grant period. The letter of intent should be in the same format as that prescribed for continuation grants in section IX.A.2.a.

3. Application Format

An application for an on-going support grant must include an application form, budget forms (with appropriate documentation), a project abstract conforming to the format set forth in section VII.B., a program narrative, a budget narrative, and certain certifications and assurances.

The program narrative should conform to the length and format requirements set forth in section VII.C. However, rather than the topics listed in section VII.C., the program narrative of applications for on-going support grants should address:

a. Description of Need for and Benefits of the Project. Provide a detailed discussion of the benefits provided by the project to the State courts around the country, including the degree to which State courts, State court judges, or State court managers and personnel are using the services or programs provided by the project.

b. Demonstration of Court Support. Demonstrate support for the continuation of the project from the courts community.

c. Report on Current Project Activities. Discuss the extent to which the project has met its goals and objectives, identify any ac-

tivities that have not been completed, and explain why.

d. Evaluation Findings. Attach a copy of the final evaluation report regarding the effectiveness and operation of the project, specify the key findings or recommendations resulting from the evaluation, and explain how they will be addressed during the proposed renewal period.

e. Tasks and Methods. Describe fully any changes in the tasks to be performed, the methods to be used, the products of the project, the assigned staff, or the grantee's organizational capacity.

f. Task Schedule. Present a general schedule for the full proposed project period and a detailed task schedule for the first year of the proposed new project period.

g. Other Sources of Support. Indicate why other sources of support are inadequate, inappropriate or unavailable.

h. Budget and Budget Narrative. Provide a complete budget and budget narrative conforming to the requirements set forth in paragraph VII.D. Changes in the funding level requested should be discussed in terms of corresponding increases or decreases in the scope of activities or services to be rendered.

A complete budget narrative should be provided for each year, or portion of a year, for which grant support is requested.

4. References to Previously Submitted Material

An application for an on-going support grant should not repeat information contained in a previously approved application or other previously submitted materials, but should provide specific references to such materials where appropriate.

5. Submission Requirements, Review and Approval Process, and Notification of Decision

The submission requirements set forth in section VII.E., other than the deadline for mailing, apply to applications for an on-going support grant. Such applications will be rated on the selection criteria set forth in section VIII.B. The key findings and recommendations resulting from an evaluation of the project and the proposed response to those findings and recommendations will also be considered. The review and approval process, return policy, and notification procedures are the same as those for new projects set forth in sections VIII.C. – VIII.E.

X. Compliance Requirements

The State Justice Institute Act (Pub. L. 98-620, as amended) contains limitations and conditions on grants, contracts and cooperative agreements of which applicants and recipients should be aware. In addition to eligibility requirements which must be met to be considered for an award from the Institute, all applicants should be aware of and all recipients will be responsible for ensuring compliance with the following:

A. State and Local Court Systems

Each application for funding from a State or local court must be approved, consistent with State law, by the State's Supreme Court, or its designated agency or council. The latter shall receive, administer, and be accountable for all funds awarded to such courts. 42 U.S.C. 10705(b)(4). The Appendix to this guideline lists the agencies, councils and contact persons designated to administer Institute awards to the State and local courts.

B. Matching Requirements

1. All awards to courts or other units of State or local government (not including publicly supported institutions of higher education) require a match from private or public sources of not less than 50 percent of the total amount of the Institute's award. For example, if the total cost of a project is anticipated to be \$150,000, a State court or executive branch agency may request up to \$100,000 from the Institute to implement the project. The remaining \$50,000 (50% of the \$100,000 requested from SJI) must be provided as a match. A cash match, non-cash match, or both may be provided, but the Institute will give preference to those applicants who provide a cash match to the Institute's award. (For a further definition of match, see Section III G.)

The requirement to provide match may be waived in exceptionally rare circumstances upon approval of the Chief Justice of the highest court in the State and a majority of the Board of Directors. 42 U.S.C. 10705(d) (as amended).

2. Other eligible recipients of Institute funds are not required to provide a match, but are encouraged to contribute to meeting the costs of the project. In instances where a cash match is proposed, the grantee is responsible for ensuring that the total amount proposed is actually contributed. If a proposed cash match contribution is not fully met, the Institute may reduce the award amount accordingly, in order to maintain the ratio originally provided for in the award agreement (see section VIII.B. above and XI.D).

C. Conflict of Interest

Personnel and other officials connected with Institute-funded programs shall adhere to the following requirements:

1. No official or employee of a recipient court or organization shall participate personally through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise in any proceeding, application, request for a ruling or other determination, contract, grant, cooperative agreement, claim, controversy, or other particular matter in which Institute

funds are used, where to his/her knowledge he/she or his/her immediate family, partners, organization other than a public agency in which he/she is serving as officer, director, trustee, partner, or employee or any person or organization with whom he/she is negotiating or has any arrangement concerning prospective employment, has a financial interest.

2. In the use of Institute project funds, an official or employee of a recipient court or organization shall avoid any action which might result in or create the appearance of:

- a. Using an official position for private gain; or
- b. Affecting adversely the confidence of the public in the integrity of the Institute program.

3. Requests for proposals or invitations for bids issued by a recipient of Institute funds or a subgrantee or subcontractor will provide notice to prospective bidders that the contractors who develop or draft specifications, requirements, statements of work and/or requests for proposals for a proposed procurement will be excluded from bidding on or submitting a proposal to compete for the award of such procurement.

D. Lobbying

Funds awarded to recipients by the Institute shall not be used, indirectly or directly, to influence Executive orders or similar promulgations by Federal, State or local agencies, or to influence the passage or defeat of any legislation by Federal, State or local legislative bodies. 42 U.S.C. 10706(a).

It is the policy of the Board of Directors to award funds only to support applications submitted by organizations that would carry out the objectives of their applications in an unbiased manner. Consistent with this policy and the provisions of 42 U.S.C. 10706, the Institute will not knowingly award a grant to an applicant that has, directly or through an entity that is part of the same or-

ganization as the applicant, advocated a position before Congress on the specific subject matter of the application.

E. Political Activities

No recipient shall contribute or make available Institute funds, program personnel or equipment to any political party or association, or the campaign of any candidate for public or party office. Recipients are also prohibited from using funds in advocating or opposing any ballot measure, initiative, or referendum. Finally, officers and employees of recipients shall not intentionally identify the Institute or recipients with any partisan or nonpartisan political activity associated with a political party or association, or the campaign of any candidate for public or party office. 42 U.S.C. 10706(a).

F. Advocacy

No funds made available by the Institute may be used to support or conduct training programs for the purpose of advocating particular nonjudicial public policies or encouraging nonjudicial political activities. 42 U.S.C. 10706(b).

G. Supplantation and Construction

To ensure that funds are used to supplement and improve the operation of State courts, rather than to support basic court services, funds shall not be used for the following purposes:

1. To supplant State or local funds supporting a program or activity;
2. To construct court facilities or structures, except to remodel existing facilities or to demonstrate new architectural or technological techniques, or to provide temporary facilities for new personnel or for personnel involved in a demonstration or experimental program; or
3. Solely to purchase equipment.

H. Confidentiality of Information

Except as provided by Federal law other than the State Justice Institute Act, no recipient of financial assistance from SJI may use or reveal any research or statistical information furnished under the Act by any person and identifiable to any specific private person for any purpose other than the purpose for which the information was obtained. Such information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings.

I. Reporting Requirements

Recipients of Institute funds shall submit Quarterly Progress and Financial Reports within 30 days of the close of each calendar quarter (that is, no later than January 30, April 30, July 30, and October 30). Two copies of each report must be sent. The Quarterly Progress Reports shall include a narrative description of project activities during the calendar quarter, the relationship between those activities and the task schedule and objectives set forth in the approved application or an approved adjustment thereto, any significant problem areas that have developed and how they will be resolved, and the activities scheduled during the next reporting period.

The quarterly financial status report shall be submitted in accordance with section XI.G.2. of this guideline.

J. Audit

Each recipient must provide for an annual fiscal audit. (See section XI.J. of this guideline for the requirements of such audits.)

Accounting principles employed in recording transactions and preparing finan-

cial statements must be based upon generally accepted accounting principles (GAAP).

K. Suspension of Funding

After providing a recipient reasonable notice and opportunity to submit written documentation demonstrating why fund termination or suspension should not occur, the Institute may terminate or suspend funding of a project that fails to comply substantially with the Act, Institute guidelines, or the terms and conditions of the award. 42 U.S.C. 10708(a).

L. Title to Property

At the conclusion of the project, title to all expendable and nonexpendable personal property purchased with Institute funds shall vest in the recipient court, organization, or individual that purchased the property if certification is made to the Institute that the property will continue to be used for the authorized purposes of the Institute-funded project or other purposes consistent with the State Justice Institute Act, as approved by the Institute. If such certification is not made or the Institute disapproves such certification, title to all such property with an aggregate or individual value of \$1,000 or more shall vest in the Institute, which will direct the disposition of the property.

M. Disclaimer

Recipients of Institute funds shall prominently display the following disclaimer on all project-related products developed with Institute funds:

"This [document, film, videotape, etc.] was developed under a [grant, cooperative agreement, contract] from the State Justice Institute. Points of view expressed herein are those of the [author(s), filmmaker(s), etc.] and do not necessarily represent the official position or policies of the State Justice Institute."

N. Copyrights

Except as otherwise provided in the terms and conditions of an Institute award, a recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of an Institute-supported project, but the Institute shall reserve a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use, the materials for purposes consistent with the State Justice Institute Act.

O. Inventions and Patents

If any patentable items, patent rights, processes, or inventions are produced in the course of Institute-sponsored work, such fact shall be promptly and fully reported to the Institute. Unless there is a prior agreement between the grantee and the Institute on disposition of such items, the Institute shall determine whether protection of the invention or discovery shall be sought. The Institute will also determine how the rights in the invention or discovery, including rights under any patent issued thereon, shall be allocated and administered in order to protect the public interest consistent with "Government Patent Policy" (President's Memorandum for Heads of Executive Departments

and Agencies, August 23, 1971, and statement of Government Patent Policy as printed in 36 FR 16889).

P. Charges for Grant-Related Products

When Institute funds fully cover the cost of developing, producing, and disseminating a product, e.g., a document or software, the product should be distributed to the field without charge. When Institute funds only partially cover the development, production, and dissemination costs, the grantee may recover its costs for reproducing and disseminating the material to those requesting it.

Q. Approval of Key Staff

If the qualifications of an employee or consultant assigned to a key project staff position are not described in the application or if there is a change of a person assigned to such a position, a recipient shall submit a description of the qualifications of the newly assigned person to the Institute. Prior written approval of the qualifications of the new person assigned to a key staff position must be received from the Institute before the salary or consulting fee of that person and associated costs may be paid or reimbursed from grant funds.

XI. Financial Requirements

A. Accounting Systems and Financial Records

All grantees, subgrantees, contractors and other organizations directly or indirectly receiving Institute funds are required to establish and maintain accounting systems and financial records to accurately account for funds they receive. These records shall include total program costs, including Institute funds, State and local matching shares, and any other fund sources included in the approved project budget.

1. Purpose

The purpose of this section is to establish accounting system requirements and to offer guidance on procedures which will assist all grantees/subgrantees in:

- a. Complying with the statutory requirements for the awarding, disbursement, and accounting of funds;
- b. Complying with regulatory requirements of the Institute for the financial management and disposition of funds;
- c. Generating financial data which can be used in the planning, management and control of programs; and
- d. Facilitating an effective audit of funded programs and projects.

2. References

Except where inconsistent with specific provisions of this Guideline, the following regulations, directives and reports are applicable to Institute grants and cooperative agreements. These materials supplement the requirements of this section for accounting systems and financial record-keeping and

provide additional guidance on how these requirements may be satisfied.

- a. *Office of Management and Budget (OMB) Circular A-21*, Cost Principles for Educational Institutions.
- b. *Office of Management and Budget (OMB) Circular A-87*, Cost Principles for State and Local Governments.
- c. *Office of Management and Budget (OMB) Circular A-88 (revised)*, Indirect Cost Rates, Audit and Audit Follow-up at Educational Institutions.
- d. *Office of Management and Budget (OMB) Circular A-102*, Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments.
- e. *Office of Management and Budget (OMB) Circular A-110*, Grants and Agreements with Institutions of Higher Education, Hospitals and other Nonprofit Organizations.
- f. *Office of Management and Budget (OMB) Circular A-128*, Audits of State and Local Governments.
- g. *Office of Management and Budget (OMB) Circular A-122*, Cost Principles for Nonprofit Organizations.

B. Supervision and Monitoring Responsibilities

1. Grantee Responsibilities

All grantees receiving direct awards from the Institute are responsible for the management and fiscal control of all funds. Responsibilities include the accounting for receipts and expenditures, the maintaining

of adequate financial records and the refunding of expenditures disallowed by audits.

2. Responsibilities of State Supreme Court

Each application for funding from a State or local court must be approved, consistent with State law, by the State's Supreme Court, or its designated agency or council.

The State Supreme Court shall receive all Institute funds awarded to such courts and shall be responsible for assuring proper administration of Institute funds. The State Supreme Court is responsible for all aspects of the project, including proper accounting and financial record-keeping by the subgrantee. The responsibilities include:

a. Reviewing Financial Operations. The State Supreme Court should be familiar with, and periodically monitor, its subgrantees' financial operations, records system and procedures. Particular attention should be directed to the maintenance of current financial data.

b. Recording Financial Activities. The subgrantee's grant award or contract obligation, as well as cash advances and other financial activities, should be recorded in the financial records of the State Supreme Court in summary form. Subgrantee expenditures should be recorded on the books of the State Supreme Court or evidenced by report forms duly filed by the subgrantee. Non-Institute contributions applied to projects by subgrantees should likewise be recorded, as should any project income resulting from program operations.

c. Budgeting and Budget Review. The State Supreme Court should ensure that each subgrantee prepares an adequate budget as the basis for its award commitment. The detail of each project budget should be maintained on file by the State Supreme Court.

d. Accounting for Non-Institute Contributions. The State Supreme Court will ensure, in those instances where subgrantees are required to furnish non-Institute matching

funds, that the requirements and limitations of this guideline are applied to such funds.

e. Audit Requirement. The State Supreme Court is required to ensure that subgrantees have met the necessary audit requirements as set forth by the Institute (see sections X.J. and XI.J).

f. Reporting Irregularities. The State Supreme Court and its subgrantees are responsible for promptly reporting to the Institute the nature and circumstances surrounding any financial irregularities discovered.

C. Accounting System

The grantee is responsible for establishing and maintaining an adequate system of accounting and internal controls for itself and for ensuring that an adequate system exists for each of its subgrantees and contractors. An acceptable and adequate accounting system is considered to be one which:

1. Properly accounts for receipt of funds under each grant awarded and the expenditure of funds for each grant by category of expenditure (including matching contributions and project income);
2. Assures that expended funds are applied to the appropriate budget category included within the approved grant;
3. Presents and classifies historical costs of the grant as required for budgetary and evaluation purposes;
4. Provides cost and property controls to assure optimal use of grant funds;
5. Is integrated with a system of internal controls adequate to safeguard the funds and assets covered, check the accuracy and reliability of the accounting data, promote operational efficiency, and assure conformance with any general or special conditions of the grant;
6. Meets the prescribed requirements for periodic financial reporting of operations; and

7. Provides financial data for planning, control, measurement, and evaluation of direct and indirect costs.

D. Total Cost Budgeting and Accounting

Accounting for all funds awarded by the Institute shall be structured and executed on a "total project cost" basis. That is, total project costs, including Institute funds, State and local matching shares, and any other fund sources included in the approved project budget shall be the foundation for fiscal administration and accounting. Grant applications and financial reports require budget and cost estimates on the basis of total costs.

1. Timing of Matching Contributions

Matching contributions need not be applied at the exact time of the obligation of Institute funds. However, the full matching share must be obligated by the end of the period for which the Institute funds have been made available for obligation under an approved project. Grantees that do not contemplate making matching contributions continuously throughout the course of a project or on a task-by-task basis, are required to submit a schedule within 30 days after the beginning of the project period indicating at what points during the project period the matching contributions will be made. In instances where a proposed cash match is not fully met, the Institute may reduce the award amount accordingly, in order to maintain the ratio originally provided for in the award agreement.

2. Records for Match

All grantees must maintain records which clearly show the source, amount, and timing of all matching contributions. In addition, if a project has included, within its approved budget, contributions which exceed the required matching portion, the grantee must maintain records of

those contributions in the same manner as it does the Institute funds and required matching shares. For all grants made to State and local courts, the State Supreme Court has primary responsibility for grantee/subgrantee compliance with the requirements of this section. (See Section XI.B.2.)

E. Maintenance and Retention of Records

All financial records, supporting documents, statistical records and all other records pertinent to grants, subgrants, cooperative agreements or contracts under grants shall be retained by each organization participating in a project for at least three years for purposes of examination and audit. State Supreme Courts may impose record retention and maintenance requirements in addition to those prescribed in this chapter.

1. Coverage

The retention requirement extends to books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records. Source documents include copies of all grant and subgrant awards, applications, and required grantee/subgrantee financial and narrative reports. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under a grant, subgrant or contract, whether they are employed full-time or part-time. Time and effort reports will be required for consultants.

2. Retention Period

The three-year retention period starts from the date of the submission of the final expenditure report or, for grants which are renewed annually, from the date of submission of the annual expenditure report.

3. Maintenance

Grantees and subgrantees are expected to see that records of different fiscal years are separately identified and maintained so that requested information can be readily located. Grantees and subgrantees are also obligated to protect records adequately against fire or other damage. When records are stored away from the grantee's/subgrantee's principal office, a written index of the location of stored records should be on hand, and ready access should be assured.

F. Project-Related Income

Records of the receipt and disposition of project-related income must be maintained by the grantee in the same manner as required for the project funds that gave rise to the income. The policies governing the disposition of the various types of project-related income are listed below.

1. Interest

A State and any agency or instrumentality of a State including State institutions of higher education and State hospitals, shall not be held accountable for interest earned on advances of project funds. When funds are awarded to subgrantees through a State, the subgrantees are not held accountable for interest earned on advances of project funds. Local units of government and nonprofit organizations that are direct grantees must refund any interest earned. Grantees shall so order their affairs to ensure minimum balances in their respective grant cash accounts.

2. Royalties

The grantee/subgrantee may retain all royalties received from copyrights or other works developed under projects or from patents and inventions, unless the terms and conditions of the project provide otherwise.

3. Registration and tuition fees

Registration and tuition fees shall be used to pay project-related costs not covered by the grant, or to reduce the amount of grant funds needed to support the project. Registration and tuition fees may be used for other purposes only with the prior written approval of the Institute.

4. Other

Other project income shall be treated in accordance with disposition instructions set forth in the project's terms and conditions.

G. Payments and Financial Reporting Requirements

1. Payment of Grant Funds

The procedures and regulations set forth below are applicable to all Institute grant funds and grantees.

a. Request for Advance or Reimbursement of Funds. Grantees will receive funds on a "Check-Issued" basis. Upon receipt, review, and approval of a Request for Advance or Reimbursement by the Institute, a check will be issued directly to the grantee or its designated fiscal agent. A request must be limited to the grantee's immediate cash needs. The Request for Advance or Reimbursement, along with the instructions for its preparation, will be included in the official Institute award package.

b. Termination of Advance Funding. When a grantee organization receiving cash advances from the Institute:

(i.) demonstrates an unwillingness or inability to attain program or project goals, or to establish procedures that will minimize the time elapsing between cash advances and disbursements, or cannot adhere to guideline requirements or special conditions;

(ii.) engages in the improper award and administration of subgrants or contracts; or

(iii.) is unable to submit reliable and/or timely reports, the Institute may terminate advance financing and require the grantee organization to finance its operations with its own working capital. Payments to the grantee shall then be made by the use of the Institute check method to reimburse the grantee for actual cash disbursements. In the event the grantee continues to be deficient, the Institute reserves the right to suspend payments until the deficiencies are corrected.

c. Principle of Minimum Cash on Hand. Recipient organizations should request funds based upon immediate disbursement requirements. Grantees should time their requests to ensure that cash on hand is the minimum needed for disbursements to be made immediately or within a few days. Idle funds in the hands of subgrantees will impair the goals of good cash management.

2. Financial Reporting

In order to obtain financial information concerning the use of funds, the Institute requires that grantees/subgrantees of these funds submit timely reports for review.

Two copies of the Financial Status Report are required from all grantees for each active quarter on a calendar-quarter basis. This report is due within 30 days after the close of the calendar quarter. It is designed to provide financial information relating to Institute funds, State and local matching shares, and any other fund sources included in the approved project budget. The report contains information on obligations as well as outlays. A copy of the Financial Status Report, along with instructions for its preparation, will be included in the official Institute Award package. In circumstances where an organization requests substantial payments for a project prior to the completion of a given quarter, the Institute may request a brief summary of the amount requested, by object class, in support of the Request for Advance or Reimbursement.

3. Consequences of Non-Compliance with Submission Requirements

Failure of the grantee organization to submit required financial and program reports may result in a suspension of grant payments.

H. Allowability of Cost

1. General

Except as may be otherwise provided in the conditions of a particular grant, cost allowability shall be determined in accordance with the principles set forth in *OMB Circulars A-87*, Cost Principles for State and Local Governments; *A-21*, Cost Principles Applicable to Grants and Contracts with Educational Institutions; and *A-122*, Cost Principles for Nonprofit Organizations. No costs may be recovered to liquidate obligations which are incurred after the approved grant period.

2. Costs Requiring Prior Approval

a. Pre-agreement Costs. The written prior approval of the Institute is required for costs which are considered necessary to the project but occur prior to the starting date of the grant period.

b. Equipment. Grant funds may be used to purchase or lease only that equipment which is essential to accomplishing the goals and objectives of the project. The written prior approval of the Institute is required when the amount of automated data processing (ADP) equipment to be purchased or leased exceeds \$10,000 or the software to be purchased exceeds \$3,000.

c. Consultants. The written prior approval of the Institute is required when the rate of compensation to be paid a consultant exceeds \$300 a day.

3. Travel Costs

Transportation and per diem rates must comply with the policies of the applicant organization. If the applicant does not have an established written travel policy, then travel rates shall be consistent with those established by the Institute or the Federal Government. Institute funds shall not be used to cover the transportation or per diem costs of a member of a national organization to attend an annual or other regular meeting of that organization.

4. Indirect Costs

These are costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs that are usually treated as indirect costs. It is the policy of the Institute that all costs should be budgeted directly; however, if a recipient has an indirect cost rate approved by a Federal agency as set forth below, the Institute will accept that rate.

a. Approved Plan Available.

i. The Institute will accept an indirect cost rate or allocation plan approved for a grantee during the preceding two years by any Federal granting agency on the basis of allocation methods substantially in accord with those set forth in the applicable cost circulars. A copy of the approved rate agreement must be submitted to the Institute.

ii. Where flat rates are accepted in lieu of actual indirect costs, grantees may not also charge expenses normally included in overhead pools, e.g., accounting services, legal services, building occupancy and maintenance, etc., as direct costs.

iii. Organizations with an approved indirect cost rate, utilizing total direct costs as the base, usually exclude contracts under grants from any overhead recovery. The negotiation agreement will stipulate that con-

tracts are excluded from the base for overhead recovery.

b. Establishment of Indirect Cost Rates. In order to be reimbursed for indirect costs, a grantee or organization must first establish an appropriate indirect cost rate. To do this, the grantee must prepare an indirect cost rate proposal and submit it to the Institute. The proposal must be submitted in a timely manner (within three months after the start of the grant period) to assure recovery of the full amount of allowable indirect costs, and it must be developed in accordance with principles and procedures appropriate to the type of grantee institution involved.

c. No Approved Plan. If an indirect cost proposal for recovery of actual indirect costs is not submitted to the Institute within three months after the start of the grant period, indirect costs will be irrevocably disallowed for all months prior to the month that the indirect cost proposal is received. This policy is effective for all grant awards.

I. Procurement and Property Management Standards

1. Procurement Standards

For State and local governments, the Institute is adopting the standards set forth in Attachment O of *OMB Circular A-102*. Institutions of higher education, hospitals, and other nonprofit organizations will be governed by the standards set forth in Attachment O of *OMB Circular A-110*.

2. Property Management Standards

The property management standards as prescribed in Attachment N of *OMB Circulars A-102* and *A-110* shall be applicable to all grantees and subgrantees of Institute funds except as provided in subsection b. below.

a. Acquisition. All grantees/subgrantees are required to be prudent in the acquisition and management of property with grant funds.

If suitable property required for the successful execution of projects is already available within the grantee or subgrantee organization, expenditures of grant funds for the acquisition of new property will be considered unnecessary.

b. Title to Property. At the conclusion of the project, title to all expendable and nonexpendable personal property purchased with Institute funds shall vest in the court, organization, or individual that purchased the property if certification is made to the Institute that the property will continue to be used for the authorized purposes of the Institute-funded project or other purposes consistent with the State Justice Institute Act, as approved by the Institute. If such certification is not received, or the Institute disapproves such certification, title to all such property with an aggregate or individual value of \$1,000 or more shall vest in the Institute, which will direct the disposition of the property.

J. Audit Requirements

1. Audit Objectives

Grants and other agreements are awarded subject to conditions of fiscal, program and general administration to which the recipient expressly agrees. Accordingly, the audit objective is to review the grantee's or subgrantee's administration of grant funds and required non-Institute contributions for the purpose of determining whether the recipient has:

- a. Established an accounting system integrated with adequate internal fiscal and management controls to provide full accountability for revenues, expenditures, assets, and liabilities;
- b. Prepared financial statements which are presented fairly, in accordance with generally accepted accounting principles;
- c. Prepared Institute financial reports (including Financial Status Reports, Cash

Reports, and Requests for Advances and Reimbursements) which contain accurate and reliable financial data, and are presented in accordance with prescribed procedures; and

- d. Expended Institute funds in accordance with the terms of applicable agreements and those provisions of Federal law or Institute regulations that could have a material effect on the financial statements or on the awards tested.

2. Implementation

Each grantee (including a State or local court receiving a subgrant from the State Supreme Court) shall provide for an annual fiscal audit. The audit may be of the entire grantee organization (e.g., a university) or of the specific project funded by the Institute. The audit shall be conducted by an independent Certified Public Accountant, or a State or local agency authorized to audit government agencies. The audit shall be conducted in compliance with generally accepted auditing standards established by the American Institute of Certified Public Accountants. A written report shall be prepared upon completion of the audit. Grantees are responsible for submitting copies of the reports to the Institute within thirty days after the acceptance of the report by the grantee, for each year that there is financial activity involving Institute funds.

Grantees who receive funds from a Federal agency and who satisfy audit requirements of the cognizant Federal agency, should submit a copy of the audit report prepared for that Federal agency to the Institute in order to satisfy the provisions of this section. Cognizant Federal agencies do not send reports to the Institute. Therefore, each grantee must send this report directly to the Institute.

Audit reports from nonprofit organizations which do not receive Federal funds, and which decide to perform an audit of the entire organization, shall include a supplemental schedule depicting a project-by-project summary of Institute grant activity

for the audit period. At a minimum, this summary should include the grant award number, project title, award amount, payments received, expenditures made and balances remaining. The auditors should also conduct adequate tests to ensure that the audit objectives listed in sections XI.J.1.c. and d. above have been satisfied.

3. Resolution and Clearance of Audit Reports

Timely action on recommendations by responsible management officials is an integral part of the effectiveness of an audit. Each grant recipient shall have policies and procedures for acting on audit recommendations by designating officials responsible for: follow-up, maintaining a record of the actions taken on recommendations and time schedules, responding to and acting on audit recommendations, and submitting periodic reports to the Institute on recommendations and actions taken.

4. Consequences of Non-Resolution of Audit Issues

It is the general policy of the State Justice Institute not to make new grant awards to an applicant having an unresolved audit report involving Institute awards. Failure of the grantee organization to resolve audit questions may also result in the suspension of payments for active Institute grants to that organization.

K. Close-Out of Grants

1. Definition

Close-out is a process by which the Institute determines that all applicable ad-

ministrative and financial actions and all required work of the grant have been completed by both the grantee and the Institute.

2. Grantee Close-Out Requirements

Within 90 days after the end date of the grant or any approved extension thereof (revised end date), the following documents must be submitted by the grantee to the Institute.

a. Financial Status Report. The final report of expenditures must have no unliquidated obligations and must indicate the exact balance of unobligated funds. Any unobligated/unexpended funds will be deobligated from the award by the Institute. Grantees on a check-issued basis, who have drawn down funds in excess of their obligations/expenditures, must return any unused funds as soon as it is determined that the funds are not required. In no case should any unused funds remain with the grantee beyond the submission date of the final financial status report.

b. Final Progress Report. This report should describe the project activities during the final calendar quarter of the project and the closeout period, including to whom project products have been disseminated; specify whether all the objectives set forth in the approved application or an approved adjustment thereto have been met; and, if any of the objectives have not been met explain the reasons therefore.

XII. Grant Adjustments

All requests for program or budget adjustments requiring Institute approval must be submitted in a timely manner by the project director. All requests for changes from the approved application will be carefully reviewed for both consistency with this guideline and the enhancement of grant goals and objectives.

A. Grant Adjustments Requiring Prior Written Approval

There are several types of grant adjustments which require the prior written approval of the Institute. Examples of these adjustments include:

1. Budget revisions among direct cost categories which exceed or are expected to exceed 5 percent of the approved budget.
2. A change in the scope of work to be performed or the objectives of the project (see section XII.D.).
3. A change in the project site.
4. A change in the project period, such as an extension of the grant period and/or extension of the final financial or progress report deadline (see section XII.E.).
5. Satisfaction of special conditions, if required.
6. A change in or temporary absence of the project director (see sections XII.F. and G.).
7. The assignment of an employee or consultant to a key staff position whose qualifications were not described in the application, or a change of a person assigned to a key project staff position (see section X.Q.).
8. A successor in interest or name change agreements.

9. A transfer or contracting out of grant-supported activities (see section XII.H.).

10. A transfer of the grant to another recipient.

11. Pre-agreement costs, the purchase of automated data processing equipment and software, and consultant rates, as specified in section XI.H.2.

B. Request for Grant Adjustments

All grantees and subgrantees must promptly notify the SJI program managers, in writing, of events or proposed changes which may require an adjustment from the approved application. In requesting an adjustment, the grantee must set forth the reasons and basis for the proposed adjustment and any other information the SJI program managers determine would help the Institute's review.

C. Notification of Approval/Disapproval

If the request is approved, the grantee will be sent a Grant Adjustment signed by the Executive Director or his/her designee. If the request is denied, the grantee will be sent a written explanation of the reasons for the denial.

D. Changes in the Scope of the Grant

A grantee/subgrantee may make minor changes in methodology, approach, or other aspects of the grant to expedite achievement of the grant's objectives with subsequent notification of the SJI program manager. Major changes in scope, duration, training methodology, or other significant areas must be approved in advance by the Institute.

E. Date Change

A request to change or extend the grant period must be made 30 days in advance of the end date of the grant. A request to change or extend the deadline for the final financial report or final progress report must be made 30 days in advance of the report deadline (see section XI.K.2.).

F. Temporary Absence of the Project Director

Whenever absence of the project director is expected to exceed a continuous period of one month, the plans for the conduct of the project director's duties during such absence must be approved in advance by the Institute. This information must be provided in a letter signed by an authorized representative of the grantee/subgrantee at least 30 days before the departure of the project director, or as soon as it is known that the project director will be absent. The grant may be terminated if arrangements are not approved in advance by the Institute.

G. Withdrawal of/Change in Project Director

If the project director relinquishes or expects to relinquish active direction of the project, the Institute must be notified immediately. In such cases, if the grantee/subgrantee wishes to terminate the project, the Institute will forward procedural instructions upon notification of such intent. If the grantee wishes to continue the project under the direction of another individual, a statement of the candidate's qualifications should be sent to the Institute for review and approval. The grant may be terminated if the qualifications of the proposed individual are not approved in advance by the Institute.

H. Transferring or Contracting-Out of Grant-Supported Activities

A principal activity of the grant-supported project shall not be transferred or contracted out to another organization without specific prior approval by the Institute. All such arrangements should be formalized in a contract or other written agreement between the parties involved. Copies of the proposed contract or agreement must be submitted for prior approval at the earliest possible time. The contract or agreement must state, at a minimum, the activities to be performed, the time schedule, the policies and procedures to be followed, the dollar limitation of the agreement, and the cost principles to be followed in determining what costs, both direct and indirect, are to be allowed. The contract or other written agreement must not affect the grantee's overall responsibility for the direction of the project and accountability to the Institute.

Appendix I:

List of State Contacts Regarding Administration of Institute Grants to State and Local Courts

Mr. Allen L. Tapley
Administrative Director
Administrative Office
of the Courts
817 South Court Street
Montgomery, Alabama 36130
(205) 834-7990

Mr. Arthur H. Snowden II
Administrative Director
Alaska Court System
303 K Street
Anchorage, Alaska 99501
(907) 264-0547

Mr. William L. McDonald
Administrative Director
Supreme Court of Arizona
1314 North 3rd Street
Suite 200
Phoenix, Arizona 85004
(602) 255-4359

Mr. James D. Gingerich
Executive Secretary
Arkansas Judicial Department
Justice Building
Little Rock, Arkansas 72201
(501) 371-2295

Mr. William E. Davis
Administrative Director
State Building
350 McAllister Street
Room 3154
San Francisco, California 94102
(415) 557-1581

Mr. James D. Thomas
State Court Administrator
Colorado Judicial Department
1301 Pennsylvania Street
Suite 300
Denver, Colorado 80203-2416
(303) 861-1111, ext. 585

Ms. Faith A. Mandell
Director, External Affairs
Office of the Chief
Court Administrator
Drawer N, Station A
Hartford, Connecticut 06106
(203) 566-8210

Mr. Lowell Groundland
Director
Administrative Office
of the Courts
Carvel State Office Building
820 N. French Street
Wilmington, Delaware 19801
(302) 571-2480

Mr. Ulysses Hammond
Executive Officer
Courts of the
District of Columbia
500 Indiana Avenue, N.W.
Washington, D.C. 20001
(202) 879-1700

Mr. Kenneth Palmer
State Courts Administrator
Florida State Courts System
Supreme Court Building
Tallahassee, Florida 32399-1900
(904) 488-8621

Mr. Robert L. Doss, Jr.
Administrative Director
of the Courts
The Judicial Council of Georgia
244 Washington Street, S.W.
Suite 500
Atlanta, Georgia 30334
(404) 656-5171

Mr. Perry C. Taitano
Administrative Director
Superior Court of Guam
Judiciary Building
110 West O'Brien Drive
Agana, Guam 96910
011 (671) 472-8961 through 8968

Dr. Irwin I. Tanaka
Administrative Director
of the Courts
The Judiciary
Post Office Box 2560
Honolulu, Hawaii 96804
(808) 548-4605

Mr. Carl F. Bianchi
Administrative Director
of the Courts
Supreme Court Building
451 West State Street
Boise, Idaho 83720
(208) 334-2246

Hon. Joseph F. Cunningham
Administrative Director
of the Courts
Supreme Court Building
Springfield, Illinois 62701-1791
(217) 782-7770

Mr. Bruce A. Kotzan
Executive Director
Supreme Court of Indiana
State House, Room 323
Indianapolis, Indiana 46204
(317) 232-2542

Mr. William J. O'Brien
State Court Administrator
Supreme Court of Iowa
State House
Des Moines, Iowa 50319
(515) 281-5241

Mr. Howard P. Schwartz
Judicial Administrator
Kansas Judicial Center
301 West 10th Street
Topeka, Kansas 66612
(913) 296-4873

Ms. Laura Stammel
Assistant Director
Administrative Office
of the Courts
100 Mill Creek Park
Frankfort, Kentucky 40601
(502) 564-2350

Dr. Hugh M. Collins
Judicial Administrator
Supreme Court of Louisiana
301 Loyola Avenue, Room 109
New Orleans, Louisiana 70112
(504) 568-5747

Mr. Dana R. Baggett
State Court Administrator
Administrative Office
of the Courts
P.O. Box 4820
Downtown Station
Portland, Maine 04112
(207) 879-4792

Ms. Deborah A. Unitus
Asst. State Court Administrator
Technical and
Information Services
Administrative Office
of the Courts
P.O. Box 431
Annapolis, Maryland 21404
(301) 974-2353

Hon. Arthur M. Mason
Chief Administrative Justice
The Trial Court
Commonwealth of Massachusetts
317 New Courthouse
Boston, Massachusetts 02108
(617) 725-8787

Hon. Dorothy Comstock Riley
Chief Justice
Supreme Court of Michigan
Law Building
Post Office Box 30052
Lansing, Michigan 48909
(517) 373-0128

Ms. Sue K. Dosal
State Court Administrator
Supreme Court of Minnesota
230 State Capitol
St. Paul, Minnesota 55155
(617) 296-2474

Ms. Krista Johns
Director
Center for Court Education
and Continuing Studies
Box 879
Oxford, Mississippi 38677
(601) 232-5955

Mr. Ron Larkin
Director of Operations
Office of the
State Court Administrator
1105 R Southwest Blvd
Jefferson City, Missouri 65109
(314) 751-3585

Mr. R. James Oppedahl
State Court Administrator
Montana Supreme Court
Justice Building, Room 315
215 North Sanders
Helena, Montana 59620-3001
(406) 444-2621

Mr. Joseph C. Steele
State Court Administrator
Supreme Court of Nebraska
State Capitol Building
Room 1220
Lincoln, Nebraska 68509
(404) 471-2643

Mr. Donald J. Mello
Court Administrator
Administrative Office
of the Courts
Capitol Complex
Carson City, Nevada 89710
(702) 885-5076

Hon. David A. Brock
Chief Justice
Supreme Court of New Hampshire
Frank Rowe Kenison Building
Concord, New Hampshire 03301
(603) 271-2419

Mr. Robert Lipscher
Administrative Director
Administrative Office
of the Courts
CN-037, RJH Justice Complex
Trenton, New Jersey 08625
(609) 984-0275

Mr. Matthew T. Crosson
Chief Administrator of the Courts
Office of Court Administration
270 Broadway
New York, New York 10007
(212) 587-2004

Mr. Robert L. Lovato
State Court Administrator
Administrative Office of the Courts
Supreme Court of New Mexico
Supreme Court Building
Room 25
Santa Fe, New Mexico 87503
(505) 827-4800

Mr. Franklin E. Freeman, Jr.
Administrative Director
Administrative Office of the Courts
Post Office Box 2448
Raleigh, North Carolina 27602
(919) 733-7106/7107

Mr. William G. Bohn
State Court Administrator
Supreme Court of North Dakota
State Capitol Building
Bismarck, North Dakota 58505
(701) 224-4216

Mr. Stephan W. Stover
Administrative Director
of the Courts
Supreme Court of Ohio
State Office Tower
30 East Broad Street
Columbus, Ohio 43266-0419
(614) 466-2653

Mr. Howard W. Conyers
Administrative Director
Administrative Office of the Courts
1915 N. Stiles, Suite 305
Oklahoma City, Oklahoma 73105
(405) 521-2450

Mr. R. William Linden, Jr.
State Court Administrator
Supreme Court of Oregon
Supreme Court Building
Salem, Oregon 97310
(503) 378-6046

Mr. Thomas B. Darr
Director for Legislative Affairs
Communications
and Administration
5035 Ritter Road
Mechanicsburg, Pennsylvania
17055
(717) 795-2000

Mr. Matthew J. Smith
State Court Administrator
Supreme Court of Rhode Island
250 Benefit Street
Providence, Rhode Island 02903
(401) 277-3263 or 277-3272

Mr. Louis L. Rosen
Director
South Carolina
Court Administration
Post Office Box 50447
Columbia, South Carolina 29250
(803) 758-2961

Hon. George W. Wuest
Chief Justice
Supreme Court of South Dakota
500 East Capitol Avenue
Pierre, South Dakota 57501
(605) 773-4885

Mr. Cletus W. McWilliams
Executive Secretary
Supreme Court of Tennessee
Supreme Court Building
Room 422
Nashville, Tennessee 37219
(615) 741-2687

Mr. C. Raymond Judice
Administrative Director
Office of Court Administration of
the Texas Judicial System
Post Office Box 12066
Austin, Texas 78711
(512) 463-1625

Mr. William C. Vickrey
State Court Administrator
Administrative Office of the Courts
230 South 500 East
Salt Lake City, Utah 84102
(801) 533-6371

Mr. Thomas J. Lehner
Court Administrator
Supreme Court of Vermont
111 State Street
Montpelier, Vermont 05602
(802) 828-3281

Ms. Viola E. Smith
Clerk of the Court/Administrator
Territorial Court
of the Virgin Islands
Post Office Box 70
Charlotte Amalie
St. Thomas, Virgin Islands 00801
(809) 774-6680, ext. 248

Mr. Robert N. Baldwin
Executive Secretary
Supreme Court of Virginia
Administrative Offices
100 North Ninth Street, 3rd Floor
Richmond, Virginia 23219
(804) 786-6455

Ms. Mary McQueen
State Court Administrator for the
Courts
Supreme Court of Washington
Highways-Licensing Building
6th Floor
12th & Washington
Olympia, Washington 98504
(206) 753-5780

Mr. Ted J. Philyaw
Administrative Director
of the Courts
Administrative Office
402-E State Capitol
Charleston, West Virginia 25305
(304) 348-0145

Mr. J. Denis Moran
Director of State Courts
Post Office Box 1688
Madison, Wisconsin 53701-1688
(608) 266-6828

Mr. Robert L. Duncan
Court Coordinator
Supreme Court Building
Cheyenne, Wyoming 82002
(307) 777-7581

Appendix II:

State Justice Institute Grants FY 1987 through FY 1990

The following list includes all grants awarded by the State Justice Institute to date, including applications approved by the Board of Directors in July for fiscal year 1990. Projects are listed chronologically within Special Interest categories, which are determined annually by the Board of Directors, and other program areas authorized by Congress. For more information on any of the projects listed below, please contact the grantee at the address or telephone number provided, or SJI Deputy Director Richard Van Duizend.

Education And Training
For Judges And Other
Key Court Personnel:

State Initiatives

Judicial Faculty Program for Colorado

Grantee: Colorado Judicial Department
Office of the State Court Administrator
1301 Pennsylvania Street, Suite 300
Denver, Colorado 80203-2416
Contact: Virginia Leavitt
(303) 861-1111
Award Amount: \$18,171
Award Period: 10/1/87 - 9/30/88
Grant No. SJI-87-007

The Multi-State, Research-Based, Functionally Oriented, Trial Judges' Writing Improvement Project

Grantee: Institute of Continuing Judicial
Education of Georgia
University of Georgia School of Law
Athens, Georgia 30602
and
Colorado Judicial Department
1301 Pennsylvania Street, Suite 300
Denver, Colorado 80203-2416
Contact: Richard Reaves (Georgia)
(404) 542-7491;
Virginia Leavitt (Colorado)
(303) 861-1111
Award Amount: \$26,466 (Georgia)
\$29,200 (Colorado)
Award Period: 10/1/87 - 10/31/89
Grant Nos. SJI-87-018; SJI-87-019

State Trial Court Records Management Training Project

Grantee: Supreme Court of Wisconsin
110 E. Main Street, Suite 315
Madison, Wisconsin 53703
Contact: David E. Bubier
(608) 266-3121
Award Amount: \$70,140
Award Period: 8/1/88 - 3/31/90
Grant No. SJI-87-054

Continuing Legal Education Through the Use of Teleconferencing for Domestic Relations Referees

Grantee: The Supreme Court of Ohio
30 East Broad Street
Columbus, Ohio 43266-0419
Contact: Anne G. McNealey
(614) 466-2653
Award Amount: \$30,000; \$38,553
Award Period: 11/1/88 - 10/31/91
Grant Nos. SJI-88-007; SJI-90-032

Judicial Synergy: An Innovative Professional Development Program for Appellate Judges

Grantee: State of Connecticut Appellate
Court
Drawer D, Station A
Hartford, Connecticut 06106
Contact: Gail F. Takagi
(203) 566-7340
Award Amount: \$7,750
Award Period: 10/1/88 - 9/30/90
Grant No. SJI-88-010

Minding the Courts into the 21st Century

Grantee: Michigan Judicial Institute
P.O. Box 30104
Lansing, Michigan 48909
Contact: Dennis W. Catlin
(517) 334-7805
Award Amount: \$22,102
Award Period: 1/1/90 - 4/30/91
Grant No. SJI-89-029

A Vermont Trial Court Project for Non-Judicial Training

Grantee: Supreme Court of Vermont
111 State Street
c/o Pavilion Office Building
Montpelier, Vermont 05602
Contact: Jan Franz
(802) 828-3275
Award Amount: \$79,505
Award Period: 11/2/89 - 3/31/91
Grant No. SJI-89-053

Judicial Education Project

Grantee: Supreme Court of Hawaii
P.O. Box 2560
Honolulu, Hawaii 96804
Contact: Karilee C. Endow
(808) 548-4733
Award Amount: \$80,000
Award Period: 10/1/89 - 9/30/91
Grant No. SJI-89-076

New Judge Orientation Program

Grantee: North Dakota Supreme Court
State Capitol
Bismarck, North Dakota 58505
Contact: William G. Bohn
(701) 224-4213
Award Amount: \$28,500
Award Period: 10/15/89 - 10/14/91
Grant No. SJI-89-077

North Dakota Judicial Institute

Grantee: State of North Dakota
Office of the State Court Administrator
State Capitol
Bismarck, North Dakota 58505
Contact: William G. Bohn
(701) 224-4213
Award Amount: \$60,400
Award Period: 1/1/90 - 12/31/92
Grant No. SJI-89-088

**Educating Arkansas Circuit Riders:
Taping Project for the Support of
Arkansas Trial Judges**

Grantee: Arkansas Supreme Court
Administrative Office of the Courts
Justice Building - 625 Marshall
Little Rock, Arkansas 72201-1078
Contact: Elizabeth Dowling
(501) 376-6655
Award Amount: \$9,260
Award Period: 9/1/90 - 8/31/91
Grant No. SJI-90-033

**A Unified Orientation and Mentoring
Program for New Judges of All Arizona
Trial Courts**

Applicant: Arizona Supreme Court
Education Services
Administrative Office of the Courts
1314 North Third Street, Suite 330
Phoenix, Arizona 85004
Contact: Karen Waldrop
(602) 253-5700
Approved Amount: \$67,266 *
Application No. A-90-069

**Texas Probation Programs: A Continuum
of Sanctions — A Judicial Benchbook**

Applicant: Texas Department of Criminal
Justice
Community Justice Assistance Division
Judicial Advisory Council
P.O. Drawer 2385
Victoria, Texas 77902
Contact: Todd Jermstad
(512) 834-8188
Approved Amount: \$49,559 *
Application No. A-90-007

**A New Judges Orientation Program for
Arkansas Trial Judges**

Grantee: Arkansas Supreme Court
Administrative Office of the Courts
Justice Building, 625 Marshall
Little Rock, Arkansas 72201-1078
Contact: Kay Boothman
(501) 376-6655
Award Amount: \$29,245
Award Period: 9/1/90 - 10/31/91
Grant No. SJI-90-039

**Foundation for Judicial Education
through Comprehensive Curriculum
Development, Faculty Development and
Evaluation**

Applicant: Massachusetts Trial Court
Office of the Chief Administrative Justice
Two Center Plaza, 9th Floor, Room 540
Boston, Massachusetts 02108
Contact: Robert Clayman
(617) 742-8575
Approved Amount: \$85,000 *
Application No. A-90-038

**Education And Training
For Judges And Other
Key Court Personnel:**National / Regional Programs**Graduate Program for Judges**

Grantee: University of Virginia
School of Law
Charlottesville, Virginia 22901
Contact: Thomas Jackson
(804) 924-7343
Award Amount: \$98,485; \$99,480; \$353,692
Award Period: 10/1/87 - 9/30/92
Grant Nos. SJI-87-015; SJI-88-038;
SJI-89-041

**Broadening the Educational
Opportunities for Judges and Other Key
Court Personnel**

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Harvey Solomon
(303) 293-3063
Award Amount: \$156,760; \$135,416;
\$194,496
Award Period: 10/1/87 - 12/31/90
Grant Nos. SJI-87-016; SJI-88-075;
SJI-90-021

Judicial Education Network

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Award Amount: \$88,826
Award Period: 10/1/87 - 6/1/90
Grant No. SJI-87-017

**Faculty Development Workshops:
Training Faculty for National and State
Judicial Education Programs**

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6023
Award Amount: \$154,307; \$59,872
Award Period: 10/1/87 - 5/31/90
Grant Nos. SJI-87-022; SJI-89-072

Judicial Education Newsletter

Grantee: National Association of State
Judicial Educators
c/o National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: William P. Fishback
(804) 253-2000
Award Amount: \$55,479; \$104,834
Award Period: 10/15/87 - 12/31/90
Grant Nos. SJI-87-025; SJI-88-042

**Developing Two Curriculum and Court
Modules for Use in Judicial Education
Programs**

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
Contact: James Hancock
(702) 784-6747
Award Amount: \$125,000; \$79,879
Award Period: 10/1/87 - 6/30/90
Grant Nos. SJI-87-026; SJI-89-002

Appellate Judges Seminar Series

Grantee: American Bar Association
Judicial Administration Division
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Sandy Roos
(312) 988-5000
Award Amount: \$93,039; \$110,716;
\$385,406
Award Period: 10/1/87 - 9/30/92
Grant Nos. SJI-87-029; SJI-88-073;
SJI-90-009

**Juvenile and Family Court Key Issues
Curriculum Enhancement Project**

Grantee: National Council of Juvenile and
Family Court Judges
University of Nevada
P.O. Box 8970
Reno, Nevada 89507
Contact: Arne Schoeller
(702) 784-6012
Award Amount: \$199,991; \$199,975;
\$195,637 *
Award Period: 3/1/88 - 7/31/90
Grant Nos. SJI-87-031; SJI-88-055; R-90-12

Judicial Education on Separation of Powers

Grantee: American Academy of Judicial Education
2025 Eye Street, N.W., Suite 822
Washington, D.C. 20006
Contact: Douglas Lanford
(202) 775-0083
Award Amount: \$61,875
Award Period: 6/1/88 - 6/30/89
Grant No. SJI-87-032

Appellate Court Training Project

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada
P.O. Box 8970
Reno, Nevada 89507
Contact: Jeffrey Kuhn
(702) 784-6012
Award Amount: \$182,226; \$149,636
Award Period: 5/1/88 - 7/31/90
Grant Nos. SJI-87-036; SJI-89-003

A Juvenile and Family Law Scholarship Program

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada
P.O. Box 8970
Reno, Nevada 89507
Contact: Louis McHardy
(702) 784-6012
Award Amount: \$26,585
Award Period: 5/1/88 - 4/30/89
Grant No. SJI-87-037

Appellate Judges Seminar Advanced Refresher Course

Grantee: The Institute of Judicial Administration, Inc.
One Washington Square Village
New York, New York 10012-1699
Contact: Margaret Shaw
(212) 998-6280
Award Amount: \$25,729
Award Period: 5/1/88 - 10/31/88
Grant No. SJI-87-039

Faculty Database

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Award Amount: \$89,398; \$51,893;
Award Period: 5/1/88 - 9/30/90
Grant Nos. SJI-87-045; SJI-89-004

Assessment and Improvement of Judicial Education Faculty Development Programs

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Pamela Casey
(804) 253-2000
Award Amount: \$98,333
Award Period: 10/1/88 - 12/31/89
Grant No. SJI-87-046

State Judicial Clerk Education Project

Grantee: T.C. Williams School of Law
University of Richmond
Richmond, Virginia 23173
Contact: John Paul Jones
(804) 289-8211
Award Amount: \$6,875
Award Period: 3/14/88 - 12/13/88
Grant No. SJI-87-049

State Trial Court Education Program on Farm Credit Issues

Grantee: Rural Justice Center
P.O. Box 675
Montpelier, Vermont 05602
Contact: Maurice Geiger,
(802) 223-0166
Award Amount: \$139,869
Award Period: 7/1/88 - 10/31/89
Grant No. SJI-87-059

Innovative Juvenile/Family Court Training

Grantee: Youth Law Center
1663 Mission Street, Fifth Floor
San Francisco, California 94103
Contact: Mark I. Soler
(415) 543-3379
Award Amount: \$65,000; \$67,830
Award Period: 9/1/88 - 9/30/90
Grant Nos. SJI-87-060; SJI-89-039

National Judicial Response to Domestic Violence

Grantee: Office of the District Attorney
City and County of San Francisco
1001 Potrero, Building 1, Suite 200
San Francisco, California 94110
and
The Trauma Foundation
Bldg. One, Room 400
1001 Potrero
San Francisco, California 94110
Contact: Esta Soler
(415) 821-4553
Award Amount: \$107,000; \$150,000
Award Period: 7/1/88 - 4/30/91
Grant Nos. SJI-87-061; SJI-89-070

Training for the Judiciary on Alternate Dispute Resolution Post Conference Follow-up

Grantee: The National Judicial College
Judicial College Building
University of Nevada - Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Award Amount: \$86,356
Award Period: 4/1/88 - 4/30/89
Grant No. SJI-87-065

Managing Trials: An Educational Program for State Trial Judges (Phase I and II)

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
and
The National Judicial College
Judicial College Building
University of Nevada - Reno
Reno, Nevada 89557
Contact: Barry Mahoney (NCSC)
(303) 253-2000
Stephen Weller (NJC)
(702) 784-6747
Award Amount: \$99,805; \$110,581 (NCSC)
\$100,182; \$99,884 (NJC)
Award Period: 7/7/88 - 1/6/91
Grant Nos. SJI-87-066; SJI-87-067;
SJI-89-054; SJI-89-055

National College of Juvenile and Family Law Child Victimization Court Training Project

Grantee: National Council of Juvenile and Family Court Judges
P.O. Box 8970
University of Nevada-Reno
Reno, Nevada 89507
Contact: Jeffrey Kuhn
(702) 784-6012
Award Amount: \$119,361; \$108,813
Award Period: 12/4/88 - 12/31/90
Grant Nos. SJI-88-005; SJI-90-001

Victim Rights and the Judiciary: A Training and Implementation Project

Grantee: National Organization for Victim Assistance
1757 Park Road, N.W.
Washington, D.C. 20010
Contact: John Stein
(202) 383-6682
Award Amount: \$105,038; \$149,901
Award Period: 10/1/88 - 10/31/90
Grant Nos. SJI-88-008; SJI-89-083

Judicial Ethics — A Videotape Initiative to Educate and Train Judges

Grantee: American Judicature Society
25 East Washington, Suite 1600
Chicago, Illinois 60602
Contact: Jeffrey M. Shaman
(312) 558-6900
Award Amount: \$203,206
Award Period: 1/1/89 - 6/30/90
Grant No. SJI-88-021

National Symposium on the Family in the Future Courts

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
(In conjunction with the American Bar Association National Legal Resource Center for Child Advocacy and Protection, the National Center for State Courts, and the National Council of Juvenile and Family Court Judges)
Contact: Lansford W. Levitt (NJC)
(702) 784-6747
Meredith Hofford (NCJFCJ)
(702) 784-6012
Award Amount: \$172,263
Award Period: 10/1/88 - 12/31/89
Grant No. SJI-88-034

Curricular Development and Enhancement for Master of Judicial Studies

Grantee: Masters of Judicial Studies
University of Nevada-Reno
Reno, Nevada 89557
Contact: James T. Richardson
(702) 784-6747
Award Amount: \$74,999
Award Period: 11/1/88 - 10/31/90
Grant No. SJI-88-036

Model Judicial Education Course Development and Improvement Project

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Award Amount: \$93,255
Award Period: 11/1/88 - 9/30/90
Grant No. SJI-88-039

Intermediate & Senior Appellate Courts Colloquium

Grantee: Institute of Judicial Administration, Inc.
One Washington Square Village
New York, New York 10012-1699
Contact: Barbara Flicker
(212) 998-6280
Award Amount: \$29,764
Award Period: 11/15/88 - 10/14/89
Grant No. SJI-88-044

Rural Court Regional Leadership Meetings

Grantee: American Bar Association
Judicial Administration Division
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Stephen Goldspiel
(312) 988-5000
Award Amount: \$53,680; \$91,951
Award Period: 11/2/88 - 3/31/91
Grant Nos. SJI-88-046; SJI-90-003

The Master of Judicial Studies Scholarship Program

Grantee: Master of Judicial Studies Program
Division of Continuing Education
University of Nevada-Reno
335 College Inn
Reno, Nevada 89557
Contact: Neal Ferguson
(702) 784-6747
Award Amount: \$67,980
Award Period: 1/1/89 - 12/31/89
Grant No. SJI-88-054

Making Reasonable Efforts to Preserve Families: A Juvenile and Family Court Judge Training Project

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada
P.O. Box 8970
Reno, Nevada 89507
Contact: Robert Praksti
(702) 784-6012
Award Amount: \$159,010; \$222,746
Award Period: 1/1/89 - 5/31/91
Grant Nos. SJI-88-065; SJI-90-023

Judicial Education Program

Grantee: St. Louis University
221 N. Grand Blvd.
St. Louis, Missouri 63103
Contact: Rudolph Hasl
(314) 658-2766
Award Amount: \$30,750; \$31,750
Award Period: 1/1/89 - 2/28/91
Grant Nos. SJI-88-074; SJI-90-019

Model Judicial Mediation Training Program

Grantee: Department of Education and Training
American Arbitration Association
140 West 51 Street
New York, New York 10020
Contact: Allan Silberman
(212) 484-4000
Award Amount: \$73,675
Award Period: 1/1/89 - 12/31/89
Grant No. SJI-88-078

Career Writing Program for Appellate Judges

Grantee: American Academy of Judicial Education
2025 Eye Street, N.W.
Suite 822
Washington, D.C. 20006
Contact: Douglas Lanford
(202) 775-0083
Award Amount: \$104,554
Award Period: 10/1/89 - 9/30/91
Grant No. SJI-88-086

Judicial Conference and District Workshops in Alternative Dispute Resolution

Grantee: Drake University
2400 University Avenue
Des Moines, Iowa 50311
Contact: Daniel L. Power
(515) 271-3851
Award Amount: \$74,338
Award Period: 12/1/89 - 11/30/90
Grant No. SJI-89-026

National Symposium on Justice - Mental Health Interactions

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Ingo Keilitz
(804) 253-2000
Award Amount: \$79,960
Award Period: 12/1/89 - 1/31/91
Grant No. SJI-89-030

Computer-Assisted Training on Evidentiary Problems for Juvenile and Family Court

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada - Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Louis McHardy
(702) 784-6012
Award Amount: \$70,995
Award Period: 10/1/89 - 12/31/90
Grant No. SJI-89-031

Building Effective Responses Together

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada - Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: M. James Toner
(702) 784-6012
Award Amount: \$45,680
Award Period: 10/1/89 - 9/30/90
Grant No. SJI-89-040

The National Judicial College's Legal Institute for Special and Limited Jurisdiction Judges

Grantee: National Judicial College
University of Nevada - Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(703) 784-6747
Award Amount: \$129,874
Award Period: 9/1/89 - 1/31/91
Grant No. SJI-89-043

Judicial Settlement: Development of a New Course Module, Film, and Instructional Manual

Grantee: National Judicial College
University of Nevada - Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(703) 784-6747
Award Amount: \$138,401
Award Period: 9/1/89 - 11/30/90
Grant No. SJI-89-044

Master of Judicial Studies Continuing Support Project

Grantee: University of Nevada-Reno
335 College Inn
Reno, Nevada 89557-0032
Contact: Neal A. Ferguson
(702) 784-4851
Award Amount: \$149,999
Award Period: 1/1/90 - 12/31/90
Grant No. SJI-89-048

Dispute Resolution and the Appellate Courts

Grantee: Institute for Judicial Administration
One Washington Square Village
New York, New York 10012
Contact: Margaret L. Shaw
(212) 998-6280
Award Amount: \$55,780
Award Period: 9/1/89 - 9/30/90
Grant No. SJI-89-056

Development of a Training Approach, Curriculum and Materials to Improve the Judicial Decision-making Process at Sentencing

Grantee: The Sentencing Project
918 F Street, NW, Suite 501
Washington, D.C. 20005
Contact: Malcolm C. Young
(202) 463-8348
Award Amount: \$79,986
Award Period: 10/1/89 - 3/31/91
Grant No. SJI-89-059

Enhancing Gender Fairness in the State Courts

Grantee: Women Judges' Fund for Justice
1900 L Street, NW
Washington, D.C. 20036
Contact: Marilyn Nejeleski
(202) 331-7343
Award Amount: \$40,000
Award Period: 11/1/89 - 1/31/91
Grant No. SJI-89-062

Judicial Education Resource Base

Grantee: National Judicial College
University of Nevada - Reno
Judicial College Building
Reno, Nevada 89557
Contact: Lansford W. Levitt
(703) 784-6747
Award Amount: \$25,000
Award Period: 10/1/89 - 9/30/90
Grant No. SJI-89-069

Rural Limited Jurisdiction Court Curriculum Project

Grantee: Rural Justice Center
P.O. Box 675
Montpelier, Vermont 05602
Contact: Maurice Geiger
(802) 223-0166
Award Amount: \$132,218
Award Period: 3/1/90 - 8/31/91
Grant No. SJI-90-014

Good Probation Practice: A Model Curriculum for Entry Level Juvenile Probation Officers

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada-Reno
Post Office Box 8970
Reno, Nevada 89507
Contact: Hunter Hurst
(412) 227-6950
Award Amount: \$124,693
Award Period: 2/1/90 - 1/30/92
Grant No. SJI-90-017

Bioethics Training for the State Judiciary

Grantee: The University of New Mexico
1117 Stanford NE
Albuquerque, New Mexico 87131
Contact: Joan Gibson
(505) 277-5006
Award Amount: \$199,985
Award Period: 2/1/90 - 1/31/92
Grant No. SJI-90-022

Video Recording Papers and Model Workshop

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Award Amount: \$54,948
Award Period: 5/1/90 - 12/31/90
Grant No. SJI-90-026

Pre-Bench Training for State Court Judges

Grantee: American Judicature Society
25 East Washington Street, Suite 1600
Chicago, Illinois 60602
Contact: Sandra Ratcliff
(312) 558-6900
Award Amount: \$105,174
Award Period: 6/1/90 - 5/31/92
Grant No. SJI-90-028

The Crucial Nature of Attitudes and Values in Judicial Education: Building Faculty Skills and Curriculum Resources

Applicant: National Council of Juvenile and Family Court Judges
University of Nevada-Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Dean Louis W. McHardy
(702) 784-1664
Approved Amount: \$95,122 *
Application No. A-90-085

Council of Chief Judges of Intermediate Appellate Courts Annual Education Seminar

Applicant: American Bar Association
Fund for Justice and Education
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Mary Ellen Donaghy
(312) 988-5694
Approved Amount: \$58,468 *
Application No. A-90-030

NJC Resident Courses on "Effective Sentencing and Probation Management for Judges and Probation Officers"

Applicant: National Judicial College
Judicial College Building
University of Nevada, Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Approved Amount: \$100,000 *
Application No. A-90-074

Families in Court/Family Violence Training Project to Promote National Recommendations

Applicant: National Council of Juvenile and Family Court Judges
University of Nevada-Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Dean Louis W. McHardy
(702) 784-1664
Approved Amount: \$80,403 *
Application No. A-90-081

Gender Fairness Faculty Development Workshops

Applicant: National Judicial College
Judicial College Building
University of Nevada Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Approved Amount: \$162,513 *
Application No. A-90-078

Training Today's Judges in the Courtroom Technology of Tomorrow

Applicant: National Judicial College
Judicial College Building
University of Nevada - Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Approved Amount: \$79,686 *
Application No. A-90-079

Committee of Appellate Staff Attorneys Annual Educational Seminar

Applicant: American Bar Association
Fund for Justice and Education
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Mary Ellen Donaghy
(312) 988-5694
Approved Amount: \$73,938 *
Application No. A-90-029

Textbook and Training Seminar for Judges on the Model Code of Judicial Conduct

Applicant: National Judicial College
Judicial College Building
University of Nevada, Reno
Reno, Nevada 89557
Contact: Lansford W. Levitt
(702) 784-6747
Approved Amount: \$111,003 *
Application No. A-90-075

Forum on Sovereignty: Divergent Jurisdictions

Applicant: Wisconsin Indian Resource Council, Inc.
University of Wisconsin/Stevens Point
Student Services Center
Stevens Point, Wisconsin 54481
Contact: Stanley R. Webster
(715) 346-2746
Approved Amount: \$45,950 *
Application No. A-90-044

Education And Training
For Judges And Other
Key Court Personnel:

Technical Assistance

Technical Assistance Workshops for Court Judicial Educators

Grantee: National Association of State
Judicial Educators
c/o Administrative Office of the Courts
Division of Education and Public
Information
403 Wapping Street
Frankfort, Kentucky 40601
Contact: Rita G. Stratton
(502) 564-7486
Award Amount: \$94,416
Award Period: 10/1/88 - 12/31/89
Grant No. SJI-88-053

The Judicial Education Reference, Information and Technical Transfer Project (JERITT)

Grantee: Michigan State University
205 Berkey Hall
East Lansing, Michigan 48824
Contact: John K. Hudzik
(513) 353-0919
Award Amount: \$190,350
Award Period: 9/10/89 - 12/31/90
Grant No. SJI-89-047

Leadership Institute for Judicial Education

Grantee: Appalachian State University
Boone, North Carolina 28608
Contact: Charles S. Claxton
(901) 678-3427
Award Amount: \$138,502
Award Period: 10/10/89 - 12/31/90
Grant No. SJI-89-074

The Continuing Professional Education Technical Assistance Project for State Judiciary Education

Grantee: University of Georgia
Georgia Center for Continuing Education
Athens, Georgia 30602
Contact: Diane Tallman
(404) 542-1328
Award Amount: \$179,885
Award Period: 11/1/89 - 1/31/91
Grant No. SJI-89-079

Education And Training
For Judges And Other
Key Court Personnel:

National Conferences

Judicial State of the Art Conference: Support and Dissemination Project

Grantee: The URSA Institute
7201 Wisconsin Avenue, Suite 620
Bethesda, Maryland 20814
Contact: Robert Soady
(301) 654-2774
Award Amount: \$44,866
Award Period: 9/1/87 - 6/30/88
Grant No. SJI-87-027

National Conference on Court Technology: Faculty Development and Travel

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Thomas Dibble
(804) 253-2000
Award Amount: \$50,000
Award Period: 1/1/88 - 10/31/88
Grant No. SJI-87-028

**National Conference of the State
Judiciary on Bioethical Issues**

Grantee: Institute of Public Law
University of New Mexico
1117 Stanford, N.E.
Albuquerque, New Mexico 87131
(In conjunction with the Women Judges'
Fund for Justice and the National Judicial
College)
Contact: Joan M. Gibson
(505) 277-5006
Award Amount: \$217,482
Award Period: 6/15/88 - 11/15/89
Grant No. SJI-87-057

**Second Midwest Conference on Court
Management**

Grantee: Wisconsin Director of State
Courts
Office of Court Operations
110 E. Main Street, Suite 315
Madison, Wisconsin 53703
Contact: Kathleen Murphy
(608) 266-6828
Award Amount: \$15,250
Award Period: 12/9/88 - 6/30/89
Grant No. SJI-88-083

**The National Conference of the Judiciary
on the Court-Related Needs of the Elderly**

Grantee: National Judicial College
University of Nevada - Reno
Judicial College Building
Reno, Nevada 89557
Contact: James Hancock
(703) 784-6747
Award Amount: \$360,986
Award Period: 2/1/90 - 4/30/91
Grant No. SJI-89-087

**Joint Meeting of the Conference of Chief
Justices and the Judicial Conference of
the United States**

Grantee: Conference of Chief Justices
Maine Supreme Judicial Court
P.O. Box 4910
Portland, Maine 04112
Contact: Chief Justice Vincent McKusick
(207) 879-4791
Award Amount: \$13,035
Award Period: 7/1/90 - 10/30/90
Grant No. SJI-90-042

**Judicial Scholarships: 12th National
Conference for Judicial Conduct
Organizations**

Grantee: American Judicature Society
25 East Washington Boulevard
Suite 1600
Chicago, Illinois 60602
Contact: Sandra Ratcliff
(312) 558-6900
Award Amount: \$15,000
Award Period: 9/1/90 - 12/1/90
Grant No. SJI-90-037

**National Conference on Emerging ADR
Issues in State and Federal Courts**

Applicant: Center for Public Resources,
Inc.
Harvard Law School, Litigation Section
366 Madison Avenue
New York, New York 10017
Contact: Susan Scott
(212) 949-6490
Approved Amount: \$30,000 *
Application No. A-90-039

National Conference on Court Technology III

Applicant: National Center for State
Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Approved Amount: \$151,894 *
Application No. A-90-087

**Alternative Dispute
Resolution
(ADR) — Evaluation**

**A Study of State Alternative Dispute
Resolution Programs**

Grantee: The Institute of Judicial
Administration, Inc.
One Washington Square Village
New York, New York 10012-1699
Contact: Margaret L. Shaw
(212) 998-6280
Award Amount: \$38,061; \$36,897
Award Period: 10/1/87 - 2/28/90
Grant Nos. SJI-87-005; SJI-88-028

**Court-Ordered Arbitration Demonstration
Project**

Grantee: North Carolina Administrative
Office of the Courts
Post Office Box 2448
Raleigh, North Carolina 27602
Contact: Daniel Becker
(919) 733-7107
Award Amount: \$47,580
Award Period: 10/1/87 - 9/30/88
Grant No. SJI-87-011

**Mediating Medical Malpractice Claims in
Wisconsin**

Grantee: Institute for Legal Studies
University of Wisconsin School of Law
975 Bascom Mall
Madison, Wisconsin 53706
Contact: Catherine S. Meschievitz
(608) 263-2545
Award Amount: \$109,393
Award Period: 6/1/88 - 9/30/90
Grant No. SJI-87-051

**The Equity of Mediated Divorce
Agreements**

Grantee: Center for Policy Research
1720 Emerson Street
Denver, Colorado 80218
Contact: Jessica Pearson
(303) 837-1555
Award Amount: \$67,357
Award Period: 9/1/88 - 1/31/90
Grant No. SJI-87-052

**Alternative Dispute Resolution:
Prioritizing the Needs of Children as Part
of the Divorce Process — a Rural Model**

Grantee: North Dakota Supreme Court
State Capitol
Bismarck, North Dakota 58505
Contact: Greg Wallace
(701) 224-4216
Award Amount: \$49,620
Award Period: 7/1/88 - 6/30/90
Grant No. SJI-87-064

**The Impact of Court-Annexed Arbitration
on the Administration of Civil Justice in
Colorado**

Grantee: Conflict Resolution Consortium
University of Colorado at Denver
1200 Larimer Street
Campus Box 142
Denver, Colorado 80204-5300
Contact: Lloyd Burton
(303) 556-3508
Award Amount: \$152,386
Award Period: 1/1/88 - 7/31/90
Grant No. SJI-88-002

**Civil Case Mediation Services: Quality of
Justice and Impact on State Courts**

Grantee: Institute for Social Analysis
1625 K Street, N.W., Suite 1000
Washington, D.C. 20006
Contact: Janice Roehl
(202) 728-1059
Award Amount: \$170,206
Award Period: 1/1/89 - 6/30/90
Grant No. SJI-88-009

**Evaluating the Mediation Programs of
the District of Columbia's Multi-Door
Courthouse and Refining the Evaluation
Techniques Applicable to ADR Programs**

Grantee: The Urban Institute
2100 M Street, N.W.
Washington, D.C. 20037
Contact: Michael Fix
(202) 857-5717
Award Amount: \$193,367
Award Period: 10/15/88 - 9/31/90
Grant No. SJI-88-011

Understanding Our Criminal Justice Volunteers: Factors Affecting the Retention and Productivity of Community Mediators

Grantee: John Jay College of Criminal Justice
City University of New York
445 West 59th Street
New York, New York 10019
Contact: Susan Rogers
(212) 316-2975
Award Amount: \$84,745
Award Period: 10/1/88 - 10/31/89
Grant No. SJI-88-013

Evaluating the Consequences of State Court-Annexed Arbitration on the Pace, Cost and Quality of Dispute Resolution

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Roger Hanson
(804) 253-2000
Award Amount: \$189,978
Award Period: 11/15/88 - 11/3/90
Grant No. SJI-88-041

An Evaluation of the Use of Mandatory Divorce Mediation

Grantee: Center for Policy Research
1720 Emerson Street
Denver, Colorado 80218
Contact: Jessica Pearson
(303) 837-1555
Award Amount: \$89,752
Award Period: 10/1/89 - 12/31/90
Grant No. SJI-89-013

Alternatives to Adjudication in Child Abuse and Neglect Cases

Grantee: Center for Policy Research
1720 Emerson Street
Denver, Colorado 80218
Contact: Nancy Thoennes
(303) 837-1555
Award Amount: \$155,353
Award Period: 10/1/89 - 3/31/91
Grant No. SJI-89-022

Evaluation of Mediation Programs in North Carolina

Grantee: Mediation Network of North Carolina, Inc.
P.O. Box 217
105 Hillsboro Street
Pittsboro, North Carolina 27312
Contact: Frank Laney
(919) 833-7982
Award Amount: \$162,424
Award Period: 11/1/89 - 10/31/91
Grant No. SJI-89-036

Court-Sponsored Case Evaluation: A Strategy for Cost Containment and Streamlined Disposition of Motor Vehicle Tort Litigation

Grantee: Commonwealth of Massachusetts
Office of the Chief Administrative Justice
2 Center Plaza, Room 540
Boston, Massachusetts 02108
Contact: Mark T. Greeley
(617) 742-8575
Award Amount: \$112,368
Award Period: 2/15/90 - 2/14/91
Grant No. SJI-89-051

An Analysis of the Civil Settlement Process

Grantee: New Jersey Administrative Office of the Courts
CN-037
Trenton, New Jersey 08625
Contact: Harold Rubenstein
(609) 984-3150
Award Amount: \$100,000
Award Period: 10/1/89 - 9/30/91
Grant No. SJI-89-052

A Cross-Site Analysis of Victim-Offender Mediation: Its Effect on Participants and the Courts

Grantee: Minnesota Citizens Council on Crime and Justice
822 South Third Street, Suite 100
Minneapolis, Minnesota 55415
Contact: Mark S. Umbreit
(612) 624-4923
Award Amount: \$174,568
Award Period: 1/1/90 - 12/31/91
Grant No. SJI-89-058

Multi-State Assessment of Divorce Mediation and Traditional Court Processing

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Susan Keilitz
(804) 253-2000
Award Amount: \$176,263
Award Period: 1/1/90 - 6/30/91
Grant No. SJI-89-067

Community Involvement in Mediation of First and Second Time Juvenile Offenses

Applicant: Community Board Program, Inc.
149 Ninth Street
San Francisco, California 94103
Contact: Terry Amsler
(415) 552-1250
Approved Amount: \$156,593 *
Application No. A-90-109

Private Judging: A Study of Its Volume, Nature, and Impact on State Courts

Grantee: Institute for Social Analysis
1625 K Street, NW
Suite 1000
Washington, D.C. 20006
Contact: Janice Roehl
(202) 728-1059
Award Amount: \$226,019
Award Period: 10/1/90 - 12/31/91
Grant No. SJI-90-043

Middlesex Multi-Door Courthouse Evaluation Project

Applicant: National Center for Citizen Participation in the Administration of Justice
20 West Street
Fourth Floor
Boston, Massachusetts 02111
Contact: Florence Rubin
(617) 350-6150
Approved Amount: \$98,917 *
Application No. A-90-037

ADR — Non-Evaluation

Comprehensive State ADR Program Data Base

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Susan Keilitz
(804) 253-2000
Award Amount: \$57,888
Award Period: 1/1/89 - 3/31/90
Grant No. SJI-88-060

Alternative Dispute Resolution State Court Support Program

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Larry Ray
(202) 331-2200
Award Amount: \$69,152; \$228,507
Award Period: 10/1/87 - 11/30/91
Grant No. SJI-87-010; SJI-89-080

Domestic Abuse and Mediation Project Court Mediation Service

Grantee: Court Mediation Service
P.O. Box 4820 Downtown Station
Portland, Maine 04112
Contact: Jane Orbeton
(207) 879-4301
Award Amount: \$96,104
Award Period: 1/1/90 - 10/31/91
Grant No. SJI-89-082

Standards for Court-Connected Mediation Programs

Applicant: Institute of Judicial Administration, Inc.
One Washington Square Village
New York, New York 10012-1699
Contact: Margaret Shaw
(212) 998-6280
Approved Amount: \$199,844 *
Application No. A-90-017

Neighborhood Dispute Resolution Demonstration Project Implementing a Hub and Satellite Design

Applicant: Utah State Bar
645 South 200 East
Salt Lake City, Utah 84111-3834
Contact: Stephen F. Hutchinson
(801) 531-9077
Approved Amount: \$79,200 *
Application No. A-90-067

Reduction Of Litigation Expense And Delay

Evaluation of Abbreviated Procedures in Appellate Courts

Grantee: Justec Research
306 South Henry Street
Williamsburg, Virginia 23185
Contact: Thomas Marvell
(804) 229-9772
Award Amount: \$83,194
Award Period: 9/1/88 - 2/28/90
Grant No. SJI-87-035

Case Processing and Delay Reduction in Rural Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Frederick G. Miller
(415) 392-7151
Award Amount: \$149,838; \$163,862
Award Period: 5/16/88 - 1/14/91
Grant Nos. SJI-87-043; SJI-89-063

Delay Reduction: Videos and Educational Materials

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Harvey Solomon
(303) 293-3063
Award Amount: \$107,196
Award Period: 8/1/88 - 11/15/90
Grant No. SJI-87-056

Rural Delay Reduction Project

Grantee: Rural Justice Center
P.O. Box 675
Montpelier, Vermont 05602
Contact: Maurice Geiger
(802) 223-0166
Award Amount: \$153,902
Award Period: 7/1/88 - 10/31/89
Grant No. SJI-87-063

Triage: A Team Approach for Caseload Management

Grantee: Commonwealth of Massachusetts
The Trial Court
Office of the Chief Administrative Justice
Boston, Massachusetts 02108
Contact: Mark T. Greeley
(617) 742-8575
Award Amount: \$75,000
Award Period: 12/1/88 - 12/31/90
Grant No. SJI-88-047

Assessment of the Impact of Procedural Reform in Medical Malpractice Litigation

Grantee: The Private Adjudication Center, Inc.
Duke University School of Law
3024 Pickett Road
Durham, North Carolina 27705
Contact: Neil Vidmar
(919) 684-6835
Award Amount: \$99,318
Award Period: 1/1/89 - 12/31/90
Grant No. SJI-88-061

Intermediate Courts of Appeal: Improved Case Processing

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Joy Chapper
(703) 841-0200
Award Amount: \$149,408
Award Period: 12/1/88 - 6/30/90
Grant No. SJI-88-071

Improving Caseload Management in Urban Trial Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Barry Mahoney
(303) 293-3063
Award Amount: \$154,043; \$156,382 *
Award Period: 2/1/89 - 7/31/90
Grant Nos. SJI-88-079; R-90-021

Civil Discovery in State Trial Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Joy Chapper
(703) 841-0200
Award Amount: \$132,339
Award Period: 1/1/90 - 10/31/91
Grant No. SJI-89-035

Case Processing Cost Study

Grantee: Administrative Office of the Courts
Justice Building
Post Office Box 2448
Raleigh, North Carolina 27602
Contact: Franklin Freeman, Jr.
(919) 733-7107
Award Amount: \$118,486
Award Period: 1/2/91 - 4/1/92
Grant No. SJI-90-034

Reduction of State Appellate Court Litigation Delay

Applicant: American Bar Association
Fund for Justice and Education
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Douglas Somerlot
(312) 988-5704
Approved Amount: \$200,000 *
Application No. A-90-034

Delay Reduction and Case Differentiation Project

Applicant: Arizona Court of Appeals
Division One
Southwest Wing, State Capitol
1700 W. Washington Street
Phoenix, Arizona 85007
Contact: Chief Judge Sarah Grant
(602) 542-4833
Approved Amount: \$100,000 *
Application No. A-90-068

Explaining the Pace of Litigation in Domestic Relations Cases in Urban Trial Courts

Applicant: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallias
(804) 253-2000
Approved Amount: \$106,743 *
Application No. A-90-093

The Impact of Caseload and Case Management Factors on the Performance of Urban Limited Jurisdiction Courts

Applicant: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Approved Amount: \$150,350*
Application No. A-90-096

The Relationship Between State And Federal Courts

State Constitutional Law Clearinghouse Project

Grantee: National Association of Attorneys General
Hall of States
444 North Capitol Street
Washington, D.C. 20001
Contact: Douglas Ross
(202) 628-0435
Award Amount: \$80,000; \$80,000; \$80,000
Award Period: 9/15/87 - 10/31/90
Grant Nos. SJI-87-001; SJI-88-045; SJI-89-014

The Effects of a Transfer of Diversity Jurisdiction to State Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Victor E. Flango
(804) 253-2000
Award Amount: \$49,915
Award Period: 1/1/88 - 12/31/88
Grant No. SJI-87-023

Rationalizing Federal Habeas Corpus Review of State Court Criminal Convictions — Death Penalty and "Ordinary" Cases

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Thomas Smith
(202) 331-2000
Award Amount: \$136,275
Award Period: 11/1/88 - 4/30/90
Grant No. SJI-88-003

The Role of Procedural Default in Federal Habeas Corpus Review of State Criminal Convictions

Grantee: Institute of Judicial Administration, Inc.
One Washington Square Village
New York, New York 10012-1699
Contact: Tina J. Rubenstein
(212) 998-6280
Award Amount: \$105,256*
Award Period: 12/15/88 - 6/14/90
Grant No. SJI-88-004

A Study of Complex Litigation

Grantee: The American Law Institute
4025 Chestnut Street
Philadelphia, Pennsylvania 19104
Contact: Geoffrey C. Hazard
(215) 243-1600
Award Amount: \$150,000
Award Period: 10/1/88 - 6/30/91
Grant No. SJI-88-017

The Role of the Trial Court in Criminal Cases: Properly Allocating Responsibility for Protecting the Constitutional Rights of the Criminal Defendant

Grantee: University of Wisconsin Law School
905 University Avenue
Madison, Wisconsin 53715
Contact: David E. Schultz
(608) 262-2240
Award Amount: \$108,190
Award Period: 12/1/88 - 11/30/89
Grant No. SJI-88-058

A Project to Facilitate the Disposition of Habeas Corpus Cases Involving Death Sentences in State and Federal Courts in Texas

Grantee: Texas Appellate Practice and Educational Resource Center
University of Texas School of Law
727 East 26th Street
Austin, Texas 78703
Contact: Robert McGlasson
(512) 471-5151
Award Amount: \$109,000
Award Period: 12/12/88 - 12/11/89
Grant No. SJI-88-063

The Impact of a Transfer of Federal Diversity Jurisdiction on Selected State Trial Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Victor E. Flango
(804) 253-2000
Award Amount: \$60,660
Award Period: 3/15/89 - 3/15/90
Grant No. SJI-88-070

Pendent Jurisdiction (A Paper to Assist the Federal Courts Study Committee)

Grantee: University of Illinois College of Law
237 Law Building
504 East Pennsylvania Avenue
Champaign, Illinois 61820
Contact: Thomas Mengler
(217) 333-0931
Award Amount: \$3,300
Award Period: 7/1/89 - 9/1/89
Grant No. SJI-89-006

The Impact of State Court 1983 Litigation on State and Federal Courts

Grantee: Cleveland State University
Cleveland Marshall College of Law
1801 Euclid Avenue
Cleveland, Ohio 44115
Contact: Steven H. Steinglass
(216) 687-3898
Award Amount: \$33,704
Award Period: 9/1/89 - 12/31/90
Grant No. SJI-89-012

Review of Abstention and Removal in the Federal Courts (A Paper to Assist the Federal Courts Study Committee)

Grantee: Charles Rothfeld, Esq.
1800 R Street, N.W.
Washington, D.C. 20009
Contact: Charles Rothfeld
(202) 232-3713
Award Amount: \$6,700
Award Period: 7/1/89 - 10/31/89
Grant No. SJI-89-020

Factors that Motivate Litigants to Select Federal or State Courts in Concurrent Jurisdiction Cases

Grantee: Institute for Economic and Policy Studies, Inc.
815 King Street, 6th Floor
Alexandria, Virginia 22314
Contact: Neal Miller
(703) 549-7686
Award Amount: \$113,490
Award Period: 9/25/89 - 9/25/90
Grant No. SJI-89-057

Attorneys' Choice of Forum in Diversity Cases

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Award Amount: \$75,776
Award Period: 5/21/90 - 5/20/91
Grant No. SJI-90-025

Application Of Technology

Court Technology Database and State-of-the-Art Reports

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Thomas Dibble
(804) 253-2000
Award Amount: \$148,805; \$211,043
Award Period: 9/21/87 - 12/31/89
Grant Nos. SJI-87-004; SJI-88-022

Computerized Information Systems for Pro Se Access

Grantee: Colorado Judicial Department
Office of the State Court Administrator
1301 Pennsylvania Street, Suite 300
Denver, Colorado 80203-2416
Contact: Daniel J. Hall
(303) 861-1111
Award Amount: \$38,450; \$78,430
Award Period: 10/1/87 - 10/31/90
Grant Nos. SJI-87-013; SJI-88-085

Improving Court Justice Information Systems

Grantee: Institute for Rational Public Policy, Inc.
40 Philadelphia Avenue
Takoma Park, Maryland 20912
Contact: Kay A. Knapp
(301) 270-4480
Award Amount: \$49,783
Award Period: 11/23/87 - 4/22/89
Grant No. SJI-87-024

Computer Assisted Innovation in State Courts

Grantee: Virginia Polytechnic Institute and State University
Blacksburg, Virginia 24061-0520
Contact: Sidney Snellenburg
(703) 961-5133
Award Amount: \$49,924; \$49,997
Award Period: 4/15/88 - 4/1/90
Grant No. SJI-87-033; SJI-89-001

Video Recording Evaluation and Guidebook Development

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: William Hewitt
(804) 253-2000
Award Amount: \$118,522
Award Period: 6/1/88 - 11/30/89
Grant No. SJI-87-055

Prototypal, Instant-Retrieval Data System for the Courts

Grantee: Aiken County
828 Richland Avenue, West
Aiken, South Carolina 29801
Contact: Johnny Walton
(803) 642-1593
Award Amount: \$100,422; \$30,084
Award Period: 7/1/88 - 6/30/90
Grant Nos. SJI-87-062; SJI-89-073

The Electronic Mail and Bulletin Board Demonstration Project

Grantee: Philadelphia Court of Common Pleas, Trial Division
Room 1480
Municipal Services Building
Philadelphia, Pennsylvania 19107
Contact: Thomas Bly
(215) 686-2996
Award Amount: \$40,326
Award Period: 10/15/88 - 4/14/90
Grant No. SJI-88-027

The Iowa Statewide Records Management Project

Grantee: State of Iowa
State Capitol
Des Moines, Iowa 50319
Contact: Larry Murphy
(515) 281-5241
Award Amount: \$29,000
Award Period: 11/15/88 - 3/31/90
Grant No. SJI-88-057

Telephone Conferencing for Interstate Child Support Cases

Grantee: Center for Public Policy Studies
1410 Grant Street
Denver, Colorado 80203
Contact: David Price
(303) 863-0900
Award Amount: \$114,668
Award Period: 12/1/88 - 10/31/90
Grant No. SJI-88-059

Court Automation Performance Standards

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Thomas Dibble
(804) 253-2000
Award Amount: \$199,000
Award Period: 1/1/89 - 9/30/91
Grant No. SJI-88-068

Onbench Automated Generation and Filing of Standard Court Orders

Grantee: Marion County Justice Agency
T-1901, City-County Building
Indianapolis, Indiana 46204
Contact: Paul Galloway
(317) 236-3121
Award Amount: \$50,000
Award Period: 9/15/89 - 4/14/90
Grant No. SJI-88-087

Integration of Bar Coding with an Existing Automated Case Management System

Grantee: Office of the Administrator for the Courts
1206 S. Quince Street
Olympia, Washington 98504
Contact: Lorraine Nelson (Administrator, Bellevue District Court)
(206) 296-3650
Award Amount: \$23,855
Award Period: 10/1/89 - 9/30/90
Grant No. SJI-89-019

Facsimile Transmission of Court Documents: A Feasibility Study

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Susan Koenig
(415) 392-7151
Award Amount: \$83,033
Award Period: 9/1/89 - 9/11/90
Grant No. SJI-89-023

Technology Information Services / Court Technology Bulletin / Court Technology Laboratory

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Thomas Dibble
(804) 253-2000
Award Amount: \$300,000; \$184,200; *\$189,794 *
Award Period: 9/1/89 - 8/31/90
Grant Nos. SJI-89-025; R-90-027; R-90-028

Evaluation of the Orange County Superior Court's Document-Image Processing System

Grantee: Administrative Office of the Court
State Building
San Francisco, California 94102
Contact: Alan Slater (Court Executive Officer, Orange County)
(415) 396-9100
Award Amount: \$117,719
Award Period: 2/1/90 - 12/31/91
Grant No. SJI-89-075

Court Technology Database and Court Technology Reports

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Award Amount: \$21,065; \$171,048
Award Period: 1/1/90 - 12/31/90
Grant Nos. SJI-90-015; SJI-90-024

A National Assessment of Statewide Court Automation

Applicant: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Approved Amount: \$200,000 *
Application No. A-90-088

The Future And The Courts

A Comprehensive Approach to Court Improvement in Arizona

Grantee: Arizona Supreme Court
Administrative Office of the Courts
1314 North 3rd Street, Suite 200
Phoenix, Arizona 85004
Contact: Nancy Scheffel
(602) 253-5700
Award Amount: \$158,000; \$186,000
Award Period: 3/1/88 - 10/31/91
Grant Nos. SJI-87-030; SJI-89-081

Commission on the Future of Virginia's Judicial System

Grantee: Supreme Court of Virginia
100 North Ninth Street
Richmond, Virginia 23219
Contact: Kathy L. Mays
(804) 786-6455
Award Amount: \$147,710
Award Period: 7/1/88 - 3/31/90
Grant No. SJI-87-050

The Future and the Courts Conference

Grantee: American Judicature Society
25 E. Washington, Suite 1600
Chicago, Illinois 60602
Contact: Sandra Ratcliff
(312) 558-6900
Award Amount: \$241,450; \$489,557
Award Period: 1/2/89 - 1/1/91
Grant Nos. SJI-88-082; SJI-90-020

Future Demographic Changes and Culturally Appropriate Dispute Resolution Procedures for the Judiciary

Grantee: University of Hawaii at Manoa
2424 Maile Way
Honolulu, Hawaii 96822
Contact: James Dator
(808) 956-6601
Award Amount: \$82,860
Award Period: 11/1/89 - 1/31/91
Grant No. SJI-89-028

Inside the Bench and the Bar

Grantee: Administrative Office of the Courts
230 South 500 East, Suite 500
Salt Lake City, Utah 84102
Contact: Cheryl May
(801) 553-6371, x240
Award Amount: \$157,600
Award Period: 10/1/89 - 9/30/91
Grant No. SJI-89-033

Independent Science and Technology Information and Experts for State Courts: Manual and Strategic Plan

Grantee: Georgetown University Medical Center
Program in Science and Law
2121 Wisconsin Avenue, NW, Suite 220
Washington, D.C. 20007-2258
Contact: Franklin Zweig
(202) 965-0025
Award Amount: \$100,985
Award Period: 9/1/90 - 8/1/92
Grant No. SJI-90-036

Colorado Courts in the Twenty-First Century

Applicant: Colorado Judicial Department
Office of the State Court Administrator
1301 Pennsylvania Street, Suite 300
Denver, Colorado 80203-2416
Contact: Daniel J. Hall
(303) 861-1111
Approved Amount: \$95,000 *
Application No. A-90-021

Chief Justice's Commission on the Future of the Courts

Applicant: Massachusetts Supreme Judicial Court
Pemberton Square
Boston, Massachusetts 02108
Contact: Hon. Paul L. Liacos
(617) 725-8010
Approved Amount: \$150,000 *
Application No. A-90-061

Public Education About The Courts

A National Program for Reporting on the Courts and the Law

Grantee: American Judicature Society
25 E. Washington, Suite 1600
Chicago, Illinois 60602
Contact: Sandra A. Ratcliff
(312) 558-6100
Award Amount: \$73,621
Award Period: 11/1/88 - 10/31/90
Grant No. SJI-88-014

Judicial Assistance/Multi-Media Project for Public Education in and about Arkansas Courts

Grantee: Arkansas Judicial Department
Justice Building
625 Marshall Street
Little Rock, Arkansas 72201
Contact: Karolyn Bond
(501) 376-6655
Award Amount: \$14,315
Award Period: 9/1/89 - 10/31/90
Grant No. SJI-89-008

Developing a Video and Brochure to Serve as Orientation Tools in the Mediation Process to Educate Divorced Parents as to the Needs of Children

Grantee: Office of the Administrator for the Courts
1206 S. Quince Street
Olympia, Washington 98504
Contact: Carolyn Failing (Court Administrator, Thurston County)
(206) 786-5559
Award Amount: \$4,911
Award Period: 10/23/89 - 4/22/91
Grant No. SJI-89-011

A Statewide Program for Improving Media and Judicial Relations

Grantee: Minnesota Supreme Court
230 State Capitol
Room 230
St. Paul, Minnesota 55155
Contact: Rebecca Fanning
(612) 296-6043
Award Amount: \$43,734
Award Period: 9/25/89 - 9/24/90
Grant No. SJI-89-024

Understanding the Courts: A Public Education Videotape Project

Grantee: American Bar Association
750 N. Lake Shore Drive
Chicago, Illinois 60611
Contact: Cynthia Canary
(312) 988-5000
Award Amount: \$125,740
Award Period: 10/15/89 - 3/14/91
Grant No. SJI-89-050

Establishing a Consumer Research and Service Development Process Within the Judicial System

Grantee: Supreme Court of Virginia
Administrative Offices, Third Floor
100 North Ninth Street
Richmond, Virginia 23219
Contact: Robert N. Baldwin
(804) 786-6455
Award Amount: \$100,029
Award Period: 1/1/90 - 12/31/90
Grant No. SJI-89-068

The Road to Virginia Justice

Grantee: Virginia Trial Lawyers
Association
700 East Main Street
Suite 1510
Richmond, Virginia 23219
Contact: Elissa Cullison
(804) 343-1143
Award Amount: \$65,500; \$22,991
Award Period: 10/10/88 - 1/16/91
Grant No. SJI-88-024; SJI-90-010

Housing Court Video Project

Grantee: Association of the Bar of the City
of New York
42 West 44th Street
New York, New York 10036-6690
Contact: Lauri Milder
(212) 382-6620
Award Amount: \$45,000
Award Period: 9/1/90 - 8/31/91
Grant No. SJI-90-041

Court Watch

Applicant: Rhode Island Supreme Court
250 Benefit Street
Providence, Rhode Island 02903
Contact: James J. Roberts
(401) 277-3266
Approved Amount: \$108,111 *
Application No. A-90-011

Proposal to Improve the Administration of Justice at the Justice Court Level

Applicant: University of Mississippi
Mississippi Judicial College
Continuing Judicial Education
3825 Rigewood Road, Sixth Floor
Jackson, Mississippi 39211
Contact: Catherine F. Case
(601) 982-6590
Approved Amount: \$64,956 *
Application No. A-90-097

Substance Abuse

Crack and the New York City Courts: A Study of Judicial Responses and Attitudes

Grantee: New York City Criminal Justice
Agency
305 Broadway
New York, New York 10007
Contact: Steven Belenko
(212) 577-0500
Award Amount: \$138,544
Award Period: 1/1/89 - 5/31/90
Grant No. SJI-88-050

Parental Substance Abuse: Helping Courts Protect Children

Grantee: American Bar Association
750 N. Lake Shore Drive
Chicago, Illinois 60611
Contact: Robert Horowitz
(202) 331-2000
Award Amount: \$145,938
Award Period: 10/1/89 - 3/31/91
Grant No. SJI-89-018

Judicial Response to Alcohol and Drug Problems Regional Training Project

Grantee: National Council of Juvenile and
Family Court Judges
University of Nevada - Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Murray Durst
(702) 754-6012
Award Amount: \$192,681
Award Period: 10/1/89 - 9/30/91
Grant No. SJI-89-027

Substance Abuse: Enhancing the Courts' Ability to Respond

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 20036
Contact: Patricia Puritz
(202) 331-2260
Award Amount: \$181,865
Award Period: 1/1/90 - 3/31/91
Grant No. SJI-89-078

Alabama Alcohol and Drug Court Referral Officer Program

Grantee: Alabama Administrative Office
of the Courts
817 South Court Street
Montgomery, Alabama 36130
Contact: Callie Longshore
(205) 834-7990
Award Amount: \$120,000; \$120,000;
\$20,000
Award Period: 11/1/88 - 2/28/91
Grant Nos. SJI-88-030; SJI-89-080;
SJI-90-005

Substance Abuse Assessment and Intervention to Reduce Driving Under the Influence of Alcohol

Grantee: Administrative Office of the
Courts
350 McAllister Street
State Building
San Francisco, California 94102
Contact: Frederick W. Lear
(619) 441-4336
Award Amount: \$100,000; \$123,090
Award Period: 1/1/89 - 12/31/90
Grant Nos. SJI-88-029; SJI-90-008

Metropolitan Washington Judges' Awareness Seminar — "Drugs and the Judicial Response"

Grantee: Metropolitan Washington
Council of Governments
777 North Capitol Street
Suite 330
Washington, D.C. 20002-4201
Contact: Thomas P. Rametta
(202) 223-6800
Award Amount: \$27,850
Award Period: 12/31/89 - 4/10/90
Grant No. SJI-90-012

Strategies for Courts to Cope with the Caseload Pressures of Drug Cases

Grantee: American Bar Association
Fund for Justice and Education
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Barbara Smith
(312) 998-5400
Award Amount: \$122,737
Award Period: 9/1/90 - 8/31/91
Grant No. SJI-90-040

The Development of a Judicial Training Curriculum on Court-Related Issues Concerning Drug Abuse and Treatment

Applicant: Narcotic and Drug Research,
Inc.
11 Beach Street
New York, New York 10013
Contact: John Blackmore
(212) 966-8700
Approved Amount: \$150,000 *
Application No. A-90-040

CADRE: Court Alcohol/Drug Rapid Evaluation

Applicant: New Jersey Administrative
Office of the Courts
CN-037
Trenton, New Jersey 08625
Contact: Gregory B. Wilcenski
(609) 633-2777
Approved Amount: \$182,627 *
Application No. A-90-045

Felony Drug Dispositions and Limited Jurisdiction Courts

Applicant: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Approved Amount: \$134,739 *
Application No. A-90-089

Effective Treatment for Drug-Involved Offenders: A Review and Synthesis for Judges and Court Personnel

Applicant: Education Development Center, Inc.
55 Chapel Street
Newton, Massachusetts 02160
Contact: Cheryl Vince
(617) 969-7100
Approved Amount: \$137,833 *
Application No. A-90-105

Courts Technical Assistance Project

Applicant: American University
3615 Wisconsin Avenue, N.W.
Washington, D.C. 20016
Contact: Joseph Trotter
(202) 362-4183
Approved Amount: \$199,881 *
Application No. A-90-111

Responding To The Court-Related Needs Of Victims Of Crime And Witnesses

Minimizing Gender Bias in the State Courts

Grantee: Women Judges' Fund for Justice
1225 15th Street, N.W.
Washington, D.C. 20005
Contact: Marilyn Nejeleski
(202) 462-4243
Award Amount: \$87,560
Award Period: 10/1/87 - 12/31/89
Grant No. SJI-87-008

Improving Enforcement of Court-Ordered Restitution to Victims

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Susan Hillenbrand
(202) 331-2000
Award Amount: \$122,625
Award Period: 5/2/88 - 8/1/89
Grant No. SJI-87-041

Evaluation of Court-Ordered Treatment for Domestic Violence Offenders

Grantee: Institute for Social Analysis
1625 K Street, N.W., Suite 1000
Washington, D.C. 20036
Contact: Adele Harrell
(202) 728-1059
Award Amount: \$203,307
Award Period: 7/1/88 - 10/31/90
Grant No. SJI-87-047

The Probation Response to Child Sexual Abuse Offenders: How Is It Working?

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Barbara E. Smith
(202) 331-2000
Award Amount: \$75,005
Award Period: 11/1/88 - 10/31/89
Grant No. SJI-88-015

Cognitive Questioning of Child Witnesses in the Courts

Grantee: University of California, Los Angeles
405 Hilgard Avenue
Los Angeles, California 90023-1563
Contact: R. Edward Geiselman
(213) 206-0349
Award Amount: \$76,970
Award Period: 10/1/88 - 4/30/90
Grant No. SJI-88-016

A Proposal to Develop a Model Protocol for Handling Child Victim Cases in Criminal Court

Grantee: Crime Victims Research and Treatment Center
Medical University of South Carolina
171 Ashley Avenue
Charleston, South Carolina 29425-0742
Contact: Ritchie Tidwell
(803) 749-0921
Award Amount: \$189,370
Award Period: 12/8/88 - 9/30/90
Grant No. SJI-88-064

A Project to Improve Access to Rural Courts for Victims of Domestic Violence

Grantee: Rural Justice Center
P.O. Box 675
Montpelier, Vermont 05602
Contact: Kathryn Fahnestock
(802) 223-0166
Award Amount: \$162,044
Award Period: 2/1/89 - 12/31/90
Grant No. SJI-88-081

Improving the Effectiveness of Civil Protection Orders for Domestic Violence Victims

Applicant: Urban Institute
2100 M Street, N.W.
Washington, D. C. 20037
Contact: H. Morton Grant
(202) 857-8711
Approved Amount: \$224,852 *
Application No. A-90-026

Family Violence Cases State of the Art Court Practices

Applicant: National Council of Juvenile and Family Court Judges
University of Nevada-Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Dean Louis W. McHardy
(702) 784-1664
Approved Amount: \$169,030 *
Application No. A-90-082

Responding To The Court-Related Needs Of Elderly And Disabled Persons

AARP Volunteers: A Resource for Strengthening Guardianship Services

Grantee: American Association of Retired Persons
1909 K Street, N.W.
Washington, D.C. 20049
Contact: Susan Miler
(202) 872-4700
Award Amount: \$200,000
Award Period: 12/1/88 - 11/30/90
Grant No. SJI-88-033

Guardianship for Disabled Adults: Development, Testing and Dissemination of Modular and Video Judicial Training Materials

Grantee: Center for Governmental Responsibility
University of Florida
230 Burton-Geer Hall
Gainesville, Florida 32611
Contact: Ellen Mayer
(904) 392-2237
Award Amount: \$39,525
Award Period: 9/1/89 - 8/30/90
Grant No. SJI-89-009

Monitoring and Enforcing Guardianship Orders: Current Practices and Recommendations for Reform

Grantee: American Bar Association
750 N. Lake Shore Drive
Chicago, Illinois 20036
Contact: Sally Balch Hurme
(202) 331-2240
Award Amount: \$198,236
Award Period: 10/1/89 - 3/31/91
Grant No. SJI-89-032

National Model for Judicial Review of Guardians' Performance

Grantee: St. Louis University Medical Center
Department of Psychiatry
221 N. Grand Boulevard
St. Louis, Missouri 63103
Contact: George Zimny
(314) 577-8108
Award Amount: \$128,219
Award Period: 10/1/90 - 9/30/91
Grant No. SJI-90-038

Judicial Guardianship Support and Oversight Project

Applicant: Center for Public Representation
121 South Pinckney Street
Madison, Wisconsin 53703
Contact: Betsy Abramson
(608) 251-4008
Approved Amount: \$189,173
Application No. A-90-066

The Implications of AIDS for The Courts

The Development and Implementation of a Model AIDS Education Program and Policy and Procedural Guidelines for Probation and the Court System

Grantee: Loyola University of Chicago
6525 N. Sheridan Road
Chicago, Illinois 60626
Contact: Arthur Lurigio
(312) 508-3001
Award Amount: \$200,048
Award Period: 11/1/88 - 10/31/90
Grant No. SJI-88-040

Three-Part AIDS Education Program for Judges

Grantee: The National Judicial College
Judicial College Building
University of Nevada-Reno
Reno, Nevada 89557
Contact: Lansford Levitt
(702) 784-6747
Award Amount: \$196,408
Award Period: 11/1/88 - 11/30/90
Grant No. SJI-88-069

What Judges Should Know About AIDS

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Frederic G. Melcher
(312) 988-5000
Award Amount: \$6,980
Award Period: 2/12/90 - 8/31/90
Grant No. SJI-90-007

Use Of Juries / Jury System Management

Support for Jury System Standards and Improvements

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: G. Thomas Munsterman
(703) 841-0200
Award Amount: \$152,630; \$174,187;
\$173,815
Award Period: 9/1/87 - 3/31/93
Grant Nos. SJI-87-003; SJI-88-062;
SJI-90-027

Juror Notetaking and Question Asking: A Field Experiment

Grantee: American Judicature Society
25 E. Washington, Suite 1600
Chicago, Illinois 60602
Contact: Sandra Ratcliff
(312) 558-6900
Award Amount: \$120,974
Award Period: 11/1/88 - 10/31/90
Grant No. SJI-88-018

The Relationship of Juror Fees, Terms of Juror Service, and Excuses from Juror Service

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Janice Munsterman
(703) 841-0200
Award Amount: \$108,552
Award Period: 2/1/89 - 10/31/90
Grant No. SJI-88-049

Improving Communication And Coordination Among The Courts

Coordinated Family Court Systems Study Project

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada - Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Jeffrey A. Kuhn
(702) 784-4836
Award Amount: \$151,982
Award Period: 6/15/90 - 6/14/91
Grant No. SJI-90-030

Integrated Case Management Teams

Applicant: New Jersey Superior Court
Monmouth Vicinage
Court Administrator's Office
P.O. Box 1266
Freehold, New Jersey 07728
Contact: Joseph D. Barba, Esq.
(201) 431-7085
Approved Amount: \$100,000 *
Application No. A-90-103

Integration of Child and Family Legal Proceedings

Applicant: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Geoff Gallas
(804) 253-2000
Approved Amount: \$249,989 *
Application No. A-90-086

Enforcement Of Court Orders

An Evaluation of the Impact of Child Support Guidelines

Grantee: Center for Policy Research
1720 Emerson Street
Denver, Colorado 80218
Contact: Nancy Thoennes
(303) 837-1555
Award Amount: \$93,076; \$25,000
Award Period: 1/1/88 - 7/31/89
Grant Nos. SJI-87-021; SJI-88-080

Victim Restitution Unit and Special Payment Calendar

Grantee: Supreme Court of Rhode Island
Administrative Office of State Courts
Providence County Courthouse
Providence, Rhode Island 02903
Contact: Robert Melucci
(401) 277-3266
Award Amount: \$97,962
Award Period: 7/1/88 - 9/30/89
Grant No. SJI-87-038

Improving the Use and Administration of Monetary Penalties in Criminal Cases

Grantee: Vera Institute of Justice
377 Broadway
New York, New York 10013
Contact: Sally T. Hillsman
(212) 334-1300
Award Amount: \$100,000
Award Period: 4/1/89 - 12/31/90
Grant No. SJI-87-053

Effective Management of Fine Collection and Enforcement in Criminal Cases: An Education Program

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Barry Mahoney
(303) 293-3063
Award Amount: \$74,804
Award Period: 4/1/89 - 9/30/90
Grant No. SJI-88-076

Project MUSTER

Grantee: New Jersey Administrative Office of the Courts
CN-037, RJH Justice Complex
Trenton, New Jersey 08625
Contact: Karen Goldstein
(609) 984-0275
Award Amount: \$146,851
Award Period: 1/1/89 - 12/31/90
Grant No. SJI-88-052

Visitation Enforcement Programs: Impact on Access and Child Support Payments

Grantee: Center for Policy Research
1720 Emerson Steet
Denver, Colorado 80218
Contact: Jessica Pearson
(303) 837-1555
Award Amount: \$140,617
Award Period: 1/1/90 - 3/31/91
Grant No. SJI-89-021

Fines, Fees, Costs and Restitution Collection Demonstration Project

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: William Brousseau
(703) 841-0200
Award Amount: \$124,819
Award Period: 12/1/89 - 11/30/91
Grant No. SJI-89-042

Fines/Restitution Collection and Enforcement

Grantee: New Jersey Supreme Court
Administrative Office of the Courts
CN-985
Trenton, New Jersey 08625
Contact: John A. Clarke
(201) 795-6604
Award Amount: \$166,453
Award Period: 3/1/90 - 6/30/91
Grant No. SJI-90-004

Improving Collection of Court-Ordered Restitution: a Field Test

Applicant: Victim Services Agency
2 Lafayette Street
New York, New York 10007
Contact: Robert C. Davis
(212) 577-7700
Approved Amount: \$159,245 *
Application No. A-90-006

Courthouse Security And Operation

Court Security Demonstration Program Staffing and Training

Grantee: Supreme Judicial Court of Maine
Post Office 4910
Portland, Maine 04112
Contact: William A. Cade
(207) 882-9603
Award Amount: \$13,850
Award Period: 10/7/88 - 6/30/90
Grant No. SJI-88-020

Court Security Clearinghouse and Technical Assistance

Grantee: National Sheriffs Association
1450 Duke Street
Alexandria, Virginia 22314
Contact: Marilyn Ayres
(703) 836-7827
Award Amount: \$151,270
Award Period: 11/1/89 - 4/30/91
Grant No. SJI-89-066

Career Development In The Courts

Innovative Uses of Judicial Resources: Rejuvenating the Commitment to Justice

Grantee: Colorado Judicial Department
1301 Pennsylvania Street, Suite 300
Denver, Colorado 80203-2416
Contact: Virginia Leavitt
(303) 861-1111
Award Amount: \$173,471
Award Period: 7/1/88 - 1/31/90
Grant No. SJI-87-034

Troubled Families, Troubled Judges

Grantee: Brandeis University
Grant, Contract and Patent Administration
P.O. Box 9110
Waltham, Massachusetts 02254-9110
Contact: Sanford M. Lotter
(617) 736-3424
Award Amount: \$57,187
Award Period: 11/1/89 - 10/31/91
Grant No. SJI-89-071

Occupational Stress and the Judiciary: A Comprehensive Workshop for Judges

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Myra Moglowsky
(312) 998-5697
Award Amount: \$51,904
Award Period: 4/1/91 - 3/31/92
Grant No. SJI-90-035

Special Needs Of The Largest Urban Courts

Bail Classification Profile Project

Grantee: Harris County Auditor
1001 Preston
Suite 800
Houston, Texas 77002
Contact: Charles Noble
(713) 221-5175
Award Amount: \$137,565
Award Period: 11/1/89 - 7/31/91
Grant No. SJI-89-049

Improving the Performance of the Circuit Court of Cook County, Illinois (Phase I)

Grantee: Circuit Court of Cook County
2600 Richard J. Daley Center
Chicago, Illinois 60602
Contact: Jeffrey M. Arnold
(312) 443-6116
Award Amount: \$250,000
Award Period: 2/1/90 - 1/31/91
Grant No. SJI-89-086

Technical Assistance Programs

Regional Training and Technology Transfer

Grantee: Supreme Court of Kansas
301 W. 10th Street
Topeka, Kansas 66612
Contact: Howard Schwartz
(913) 296-4873
Award Amount: \$32,402
Award Period: 10/1/87 - 9/30/89
Grant No. SJI-87-006

Comprehensive State Court Information Service

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Dixie Knoebel
(804) 253-2000
Award Amount: \$158,312; \$169,442;
\$185,566
Award Period: 9/15/87 - 9/14/92
Grant No. SJI-87-002; SJI-88-001;
SJI-89-064

Technical Assistance: Integrated Management Information in Courts of Juvenile and Family Jurisdiction

Grantee: National Council of Juvenile and Family Court Judges
University of Nevada - Reno
P.O. Box 8970
Reno, Nevada 89507
Contact: Richard J. Gable
(702) 784-6012
Award Amount: \$82,544
Award Period: 10/1/89 - 9/30/90
Grant No. SJI-89-015

Program Areas

Projects listed below do not fall within any of the Special Interest categories listed above, but address State Justice Institute program areas authorized by Congress.

Selection And Removal Of Judges

A National Program for Improving the Quality of Judicial Election Campaigns

Grantee: American Judicature Society
25 E. Washington, Suite 1600
Chicago, Illinois 60602
Contact: Sandra Ratcliff
(312) 558-6900
Award Amount: \$91,957
Award Period: 10/1/88 - 5/31/90
Grant No. SJI-88-012

Manual for Processing Judicial Disciplinary Cases

Grantee: Association of Judicial Disciplinary Counsel
515 Fifth Street, N.W., Room 312
Washington, D.C. 20001
Contact: Cathae Hudgins
(202) 727-1363
Award Amount: \$97,410
Award Period: 1/2/89 - 1/1/90
Grant No. SJI-88-048

Revision of the Code of Judicial Conduct

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: George A. Kuhlman
(312) 988-5000
Award Amount: \$167,960
Award Period: 9/1/89 - 8/31/91
Grant No. SJI-89-060

Court Organization And Financing

Revision of Standards of Judicial Administration Project

Grantee: American Bar Association
Judicial Administration Division
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Ernest Zavodnyik
(312) 988-5000
Award Amount: \$93,272; \$98,187
Award Period: 5/2/88 - 9/30/91
Grant Nos. SJI-87-040; SJI-90-011

The Future of the State Courts: Legislative-Judicial Partnership (Phase I and II)

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Linda Ridge
(303) 293-3063
Award Amount: \$169,504; \$174,508 *
Award Period: 8/1/89 - 8/31/90
Grant Nos. SJI-89-017; R-90-025

Court Planning And Budgeting

A Study of Indigent Defense Services in South Carolina

Grantee: South Carolina Bar
1321 Bull Street
Post Office Box 11039
Columbia, South Carolina 29211
Contact: Eve M. Stacey
(803) 799-6653
Award Amount: \$40,621
Award Period: 10/1/87 - 9/30/88
Grant No. SJI-87-012

State Court Expenditures and Staffing

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Robert Tobin
(703) 841-0200
Award Amount: \$80,346; \$59,910
Award Period: 6/13/88 - 9/30/90
Grant Nos. SJI-87-048; SJI-89-046

Judicial Facilities Project

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Don Hardenbergh
(804) 253-2000
Award Amount: \$346,880
Award Period: 1/1/89 - 9/30/91
Grant No. SJI-88-072

Indigent Defense and Criminal Case Processing

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Roger Hanson
(804) 253-2000
Award Amount: \$194,879
Award Period: 1/1/90 - 6/30/91
Grant No. SJI-89-045

A Comprehensive Approach to Containing the Cost and Caseload of Indigent Defense Services in the Criminal Justice System

Grantee: The Spangenberg Group, Inc.
1001 Watertown Street
West Newton, Massachusetts 02165
Contact: Robert Spangenberg
(617) 969-3820
Award Amount: \$85010
Award Period: 12/15/89 - 12/14/91
Grant No. SJI-90-006

Court Management

Trial Court Management Guides

Grantee: National Association for Court Management
c/o National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Robert Tobin
(703) 841-0200
Award Amount: \$112,200; \$156,146
Award Period: 11/15/88 - 12/31/91
Grant No. SJI-88-066; SJI-90-029

Managing Notorious Cases

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Tim Murphy
(804) 253-2000
Award Amount: \$138,355
Award Period: 11/1/89 - 4/30/91
Grant No. SJI-89-037

Collection Of Statistical Data

Court Statistics Project

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: David Rottman
(804) 253-2000
Award Amount: \$107,096; \$140,361;
\$143,281
Award Period: 1/1/88 - 12/31/92
Grant Nos. SJI-87-020; SJI-88-067;
SJI-90-018

Performance Evaluation

Judicial Performance Evaluation

Grantee: American Bar Association (1989)
National Center for State Courts (1990)
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Susan Keilitz
(804) 253-2000
Award Amount: \$155,569 (ABA); \$92,955
(NCSC)
Award Period: 5/1/89 - 6/30/91
Grant Nos. SJI-89-005; SJI-90-031

Court Rules And Procedure

Presumptive Sentencing/Plea Bargaining

Grantee: Alaska Judicial Council
1031 W. 4th Avenue, Suite 301
Anchorage, Alaska 99501
Contact: Theresa Carns
(907) 279-2526
Award Amount: \$187,398
Award Period: 7/1/88 - 12/31/90
Grant No. SJI-87-058

Understanding Reversible Error in Criminal Appeals

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Joy A. Chapper
(703) 841-0200
Award Amount: \$102,258
Award Period: 10/1/88 - 10/31/89
Grant No. SJI-88-023

Search Warrant Guidelines Project

Grantee: American Bar Association
750 North Lake Shore Drive
Chicago, Illinois 60611
Contact: Betty Harth
(202) 331-2000
Award Amount: \$84,464
Award Period: 12/1/88 - 1/31/90
Grant No. SJI-88-035

Revision of National Prosecution Standards

Grantee: National District Attorneys Association
1033 North Fairfax Street
Suite 200
Alexandria, Virginia 22314
Contact: Dwight Price
(703) 549-9222
Award Amount: \$54,394
Award Period: 9/1/89 - 2/28/91
Grant No. SJI-89-016

Sanctions for Frivolous Claims, Defenses and Motions: An Empirical Study

Grantee: Gonzaga University
School of Law
P.O. Box 3528
Spokane, Washington 99258-0001
Contact: Gerald F. Hess
(509) 328-4220
Award Amount: \$59,626
Award Period: 11/1/89 - 10/31/91
Grant No. SJI-89-038

Expectations Of Fairness

The Judicial Management of Jury Awards for Non-economic and Punitive Damages

Grantee: University of Iowa College of Law
Iowa City, Iowa 52242
Contact: David C. Baldus
(319) 335-9012
Award Amount: \$157,088
Award Period: 8/1/88 - 7/31/90
Grant No. SJI-87-068

Judicial Response to the Disproportionate Incarceration of Minority Youth in America

Grantee: National Council of Juvenile and Family Court Judges
P.O. Box 8970
University of Nevada-Reno
Reno, Nevada 89507
Contact: David Gamble
(702) 784-6012
Award Amount: \$99,957
Award Period: 10/15/88 - 9/30/90
Grant No. SJI-88-025

Cook County Pretrial Release Study

Grantee: Illinois Criminal Justice Information Authority
120 South Riverside Plaza
Chicago, Illinois 60606
Contact: John R. Firman
(312) 793-8512
Award Amount: \$89,442
Award Period: 12/15/89 - 6/14/91
Grant No. SJI-90-002

Court Responsiveness To Citizen Needs

Codification and Standardization of Terms Used in Criminal Proceedings Into Spanish

Grantee: College of Charleston
Charleston, South Carolina 29424
Contact: Virginia Benmaman
(803) 792-5718
Award Amount: \$91,238
Award Period: 10/15/88 - 1/14/91
Grant No. SJI-88-026

A Survey Model to Measure the Impact of Racial, Ethnic and Gender Bias on Public Users of Michigan Trial Courts

Grantee: Administrative Office of the Courts
State of Michigan
P.O. Box 30048
Lansing, Michigan 48909
Contact: John Ferry
(517) 313-0130
Award Amount: \$63,989
Award Period: 11/1/88 - 1/31/90
Grant No. SJI-88-056

Differential Court Usage Patterns Among Minority and Non-Minority Populations in New Jersey

Grantee: New Jersey Administrative Office of the Courts
CN-037
Trenton, New Jersey 08625
Contact: Robert Joe Lee
(609) 984-5024
Award Amount: \$149,952
Award Period: 11/1/89 - 4/30/91
Grant No. SJI-89-061

Other

Civil Jurisdiction of Tribal Courts and State Courts: Research, Demonstration Program, Guidebook, and National Conference

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: H. Ted Rubin
(303) 293-3063
Award Amount: \$60,118; \$110,412
Award Period: 1/16/89 - 1/21/91
Grant No. SJI-88-037; SJI-90-013

Decision-making in Authorizing and Withholding Life-Sustaining Medical Treatment: Guidelines for State Courts

Grantee: National Center for State Courts
300 Newport Avenue
Williamsburg, Virginia 23187-8798
Contact: Ingo Keilitz
(804) 253-2000
Award Amount: \$181,006
Award Period: 4/1/89 - 3/31/91
Grant No. SJI-88-051

Single Jurisdiction Projects

Iowa Judicial Education Scholarship Program

Grantee: Supreme Court of Iowa
State Capitol
Des Moines, Iowa 50319
Contact: Jerry K. Beatty
(515) 281-5241
Award Amount: \$34,500; \$43,425
Award Period: 11/1/88 - 7/31/91
Grant No. SJI-88-043; SJI-90-016

Florida's Fourth District Court of Appeal Appellate Mediation Project

Grantee: Florida State Courts System
Supreme Court Building
Tallahassee, Florida 32399-1900
Contact: Wallis Schulle
(407) 686-1903
Award Amount: \$129,813
Award Period: 11/1/88 - 8/31/90
Grant No. SJI-88-032

Superior Court Law Clerk Automation Project

Grantee: Supreme Judicial Court of Maine
Post Office 4910
Portland, Maine 04112
Contact: Ann Pierce
(207) 879-4704
Award Amount: \$10,446; \$15,474
Award Period: 10/7/88 - 8/31/90
Grant No. SJI-88-019; SJI-89-010

Mississippi Automated Judicial Information System

Grantee: Supreme Court of Mississippi
Post Office Box 117
Jackson, Mississippi 39205
Contact: Robert Simms
(601) 359-2176
Award Amount: \$42,500
Award Period: 10/18/88 - 1/31/90
Grant No. SJI-88-031

Automated Juvenile Information System

Grantee: Alabama Administrative Office of the Courts
817 South Court Street
Montgomery, Alabama 36130-0101
Contact: D. Michael Carroll
(205) 834-7990
Award Amount: \$49,819
Award Period: 10/24/88 - 6/29/90
Grant No. SJI-88-006

The Implementation of a Differentiated Civil Caseflow Management and Delay Reduction Program in the Nineteenth Judicial Circuit, Fairfax County, Virginia

Grantee: Supreme Court of Virginia
100 N. Ninth Street, 3rd Floor
Richmond, Virginia 23219
Contact: Mark Blecker
(703) 246-2883
Award Amount: \$129,579
Award Period: 1/1/89 - 6/30/91
Grant No. SJI-88-077

Improved Processing of Injunctions for Protection Against Domestic Violence

Grantee: Polk County Board of County Commissioners
P.O. Box 60
Bartow, Florida 33830
Contact: Richard Weiss (Deputy County Clerk)
(813) 534-4544
Award Amount: \$107,430
Award Period: 4/1/89 - 3/31/91
Grant No. SJI-88-084

Evaluating the Use of Videotape for Making the Record in Jefferson County, Arkansas

Grantee: Arkansas Judicial Department
Justice Building
625 Marshall Street
Little Rock, Arkansas 72201
Contact: Anne McCord
(501) 376-6655
Award Amount: \$13,735
Award Period: 9/1/89 - 10/31/90
Grant No. SJI-89-007

Document Paperflow Review

Grantee: Supreme Court of Arizona
1314 North Third Street
Phoenix, Arizona 85003
Contact: Judith Allen (Clerk, Maricopa County Superior Court)
(602) 262-3676
Award Amount: \$50,004
Award Period: 10/1/89 - 10/30/90
Grant No. SJI-89-034

Statewide Computerization in Vermont's District Court

Grantee: Supreme Court of Vermont
111 State Street
Montpelier, Vermont 05602
Contact: Robert A. Squires
(802) 828-3278
Award Amount: \$110,323
Award Period: 1/1/90 - 6/30/91
Grant No. SJI-89-084

Mediator Training Project

Applicant: Multnomah County Courts
1021 SW Fourth Avenue
Portland, Oregon 97204
Contact: Joseph S. Olexa
(503) 248-3750
Approved Amount: \$40,207 *
Application No. A-90-058

1910 Arizona Constitutional Convention Project

Applicant: Arizona Supreme Court
State Court
1314 N. Third Street
Suite 200
Phoenix, Arizona 85007
Contact: William McDonald
(602) 253-5700
Approved Amount: \$26,780 *
Application No. A-90-070

* This figure represents the amount of funding approved by the Board of Directors in July, 1990. Final award amounts may vary.

State Justice Institute

120 S. Fairfax Street

Alexandria, Virginia 22314