

PART III

APPROPRIATIONS REQUESTED BY THE JUDICIARY AND THE LEGISLATURE

COMMENTARY OF THE GOVERNOR ON THE JUDICIARY

In accordance with Article VII, Section One of the State Constitution, I am transmitting herewith the appropriations requested by the Judiciary for fiscal year 1999-2000. As required by the Constitution, I am presenting the Judiciary budget as it has been submitted by the Office of Court Administration.

The Judiciary's All Funds spending request is \$1.36 billion, a \$68.9 million, or 5.3 percent increase over the current year. Of this amount, \$1.26 billion is requested from the State tax dollar supported General Fund. If fully enacted, General Fund support for the Judiciary will increase in fiscal year 1999-2000 by \$62.9 million or 5.3 percent over 1998-99. This compares with a recommended increase for the Executive branch of slightly over one percent.

While much of the requested increase reflects the cost of continuing current operations, discretionary initiatives totaling \$7.9 million (218 new positions) are included. In addition, a new proposed grant program for local justice courts lacks specificity and has the potential for significant growth in future years.

The General Fund increase includes:

- \$26.4 million for a 21 percent salary increase for judges;
- \$9.6 million for negotiated salary increments;
- \$7.9 million for initiatives such as specialized court parts, automation and court security;
- \$12.5 million for annualization of previous and current year initiatives;
- \$9.9 million for various workload and inflationary increases;
- \$6.2 million for increased fringe benefit costs;
- \$3.5 million for 17 new certificated judges;
- \$1.3 million for new judgeships established in 1998; and
- \$500,000 for a new grant program for Town and Village Courts.

These increases are partially offset by \$14.9 million in non-recurring costs.

THE JUDICIARY

INTRODUCTION

THE UNIFIED COURT SYSTEM

The Judiciary is one of the three branches of New York State Government. Article VI of the State Constitution establishes a Unified Court System, defines the organization and jurisdiction of the courts and provides for the administrative supervision of the courts by a Chief Administrator on behalf of the Chief Judge of the State of New York.

The objectives of the Judiciary are to: (1) provide a forum for the peaceful, fair and prompt resolution of civil claims and family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; (2) supervise the administration of estates of decedents, consider adoption petitions, and preside over matters involving the dissolution of marriages; (3) provide legal protection for children, mentally ill persons and others entitled by law to the special protection of the courts; and (4) regulate the admission of lawyers to the Bar and their conduct and discipline.

The New York State court system is one of the largest and busiest in the Western World. It consists of nearly 1,200 state-paid judges, 2,400 town and village justices and 14,600 nonjudicial positions. Pursuant to the Unified Court Budget Act, the cost of operating the Unified Court System, excluding town and village courts, is borne by the State.

STRUCTURE AND JURISDICTION OF THE COURTS

The Unified Court System is structured as follows:

APPELLATE COURTS

Court of Appeals
Appellate Divisions of the Supreme Court
Appellate Terms of the Supreme Court
County Courts (acting as appellate courts)

TRIAL COURTS OF SUPERIOR JURISDICTION

Statewide:
Supreme Court
Court of Claims
Family Court
Surrogate's Court
Outside New York City:
County Court

TRIAL COURTS OF LIMITED JURISDICTION

New York City:
Criminal Court
Civil Court
Outside New York City:
City Courts
District Courts
Town Courts*
Village Courts*

*Locally funded courts

JUDICIARY

The jurisdiction of each court is established by Article VI of the Constitution or by statute. The courts of original jurisdiction, or trial courts, hear cases in the first instance, and the appellate courts hear and determine appeals from the decisions of the trial courts.

The Court of Appeals, the State's highest court, hears cases on appeal from the other appellate courts and, in some instances, from the courts of original jurisdiction. In most cases, its review is limited to questions of law. The Court also reviews determinations of the Commission on Judicial Conduct.

There are four Appellate Divisions of the Supreme Court, one in each of the State's four judicial departments. The Appellate Divisions hear appeals concerning civil and criminal cases. In the First and Second Departments, Appellate Terms have been established to hear appeals in criminal and civil cases determined in the Criminal and Civil Courts of the City of New York and civil and criminal cases determined in district, city, town, and village courts outside the City. In the Third and Fourth Departments, appeals from city, town and village courts are heard initially in the appropriate County Court.

The Supreme Court, which functions in each of the State's 12 judicial districts, is a trial court of unlimited, original jurisdiction, but it generally hears cases outside the jurisdiction of other courts. It exercises its civil jurisdiction statewide; in the City of New York and some other parts of the State, it also exercises jurisdiction over felony charges.

The Court of Claims is a statewide court having jurisdiction over claims for money damages against the State. Certain Judges of the Court of Claims; i.e., Judges appointed pursuant to paragraphs (b), (d), and (e) of subdivision 2 of section 2 of the Court of Claims Act, are assigned temporarily to the Supreme Court, primarily as trial justices in the criminal terms.

There are three county-level superior courts. The County Court is established in each county outside the City of New York. It is authorized to handle the prosecution of crimes committed within the county, although in practice, arraignments and other preliminary proceedings on felonies, misdemeanors and minor offenses are handled by courts of limited jurisdiction while the County Court presides over felony trials and supervises the Grand Jury. The County Court also has limited jurisdiction in civil cases, with authority to entertain those involving amounts up to \$25,000.

The Family Court is established in each county and in the City of New York. It has jurisdiction over matters involving children and families. Its caseload consists largely of proceedings involving support of dependent relatives, juvenile delinquency, child protection, persons in need of supervision, review and approval of foster-care placements, paternity determinations, and family offenses.

The Surrogate's Court is established in every county and hears cases involving the affairs of decedents, including the probate of wills and the administration of estates. Family Court and Surrogate's Court have concurrent jurisdiction in adoption proceedings.

The Civil Court of the City of New York tries civil cases involving amounts up to \$25,000 and other civil matters referred to it by the Supreme Court (pursuant to section 325 of the CPLR). It includes a Housing Part for landlord-tenant matters and housing code violations. The Criminal Court of the City of New York has jurisdiction over misdemeanors and violations. Judges of the Criminal Court also act as arraigning magistrates and conduct preliminary hearings in felony cases.

There are four kinds of courts of limited jurisdiction outside the City of New York: District (established in Nassau County and in the five western towns of Suffolk County), City, Town and Village Courts. All have jurisdiction over minor criminal matters. They also have jurisdiction over minor civil matters, including small claims and summary proceedings, although their monetary ceilings vary: \$15,000 in District and City Courts, and \$3,000 in Town and Village Courts.

The civil courts of limited jurisdiction in 31 counties are making use of compulsory arbitration with lawyer arbitrators to resolve minor civil disputes, that is, civil actions where the amount sought is \$6,000 or less in courts outside the City of New York and \$10,000 or less in courts in the City.

ADMINISTRATIVE STRUCTURE OF THE UNIFIED COURT SYSTEM

Section 28 of Article VI of the State Constitution provides that the Chief Judge of the Court of Appeals is the Chief Judge of the State and its chief judicial officer. The Chief Judge appoints a Chief Administrator of the Courts (who is called the Chief Administrative Judge of the Courts if the appointee is a judge) with the advice and consent of the Administrative Board of the Courts. The Administrative Board consists of the Chief Judge, as chair, and the Presiding Justices of the four Appellate Divisions of the Supreme Court.

The Chief Judge establishes statewide standards and administrative policies after consultation with the Administrative Board of the Courts and promulgates them after approval by the Court of Appeals.

The Chief Administrative Judge, on behalf of the Chief Judge, is responsible for supervising the administration and operation of the trial courts and for establishing and directing an administrative office for the courts, called the Office of Court Administration (OCA). In this task, the Chief Administrative Judge is assisted by two Deputy Chief Administrative Judges, who supervise the day-to-day operations of the trial courts in New York City and in the rest of the State, respectively; a Deputy Chief Administrative Judge for Management Support, who supervises the operations of the units that compose the Office of Management Support; and a Counsel, who directs the legal and legislative work of the Counsel's Office.

The Office of Management Support consists of five operational divisions, with overall policy guidance and management directed by the Chief Administrative Judge, assisted by the Deputy Chief Administrative Judge for Management Support. The Division of Human Resources is responsible for conducting educational programs for judges and nonjudicial personnel; the administration of the Unified Court System's workforce diversity programs; labor management relations; payroll processing; career development services; employee benefits administration; and a broad range of personnel services dealing with job classification, compensation and examination issues. The Division of Financial Management coordinates the preparation and implementation of the Judiciary budget and is also responsible for promulgation of fiscal policies and procedures; revenue and expenditure monitoring, control and reporting; and the coordination of the fiscal aspects of the Court Facilities Aid Program. The Division of Technology is responsible for the development, implementation and oversight of all central and local automation and telecommunication services which support court operations and administrative functions. The Division of Legal Resources is responsible for overseeing all of the Judiciary's automated and printed media legal reference services and for coordination of records retention and management programs. The Division of Court Operations provides centralized support for day-to-day court operations through its oversight of streamlining initiatives, procedural manual development and training programs, as well as for court security, alternative dispute resolution and a comprehensive program of court facilities planning and management in coordination with local governments.

The services provided by these operational divisions are further supplemented by a Public Affairs Office which coordinates communications with other governmental entities, the press, public and bar. The Office of Operations Research compiles UCS workload statistics for the courts, management and the public and conducts operational improvement studies. The Administrative Services Office provides a broad range of general support services to the courts including, but not limited to, central accounting and revenue management; attorney registration administration, centralized procurement, supply and printing. Finally, an Office of Internal Affairs, reporting directly to the Chief Administrative

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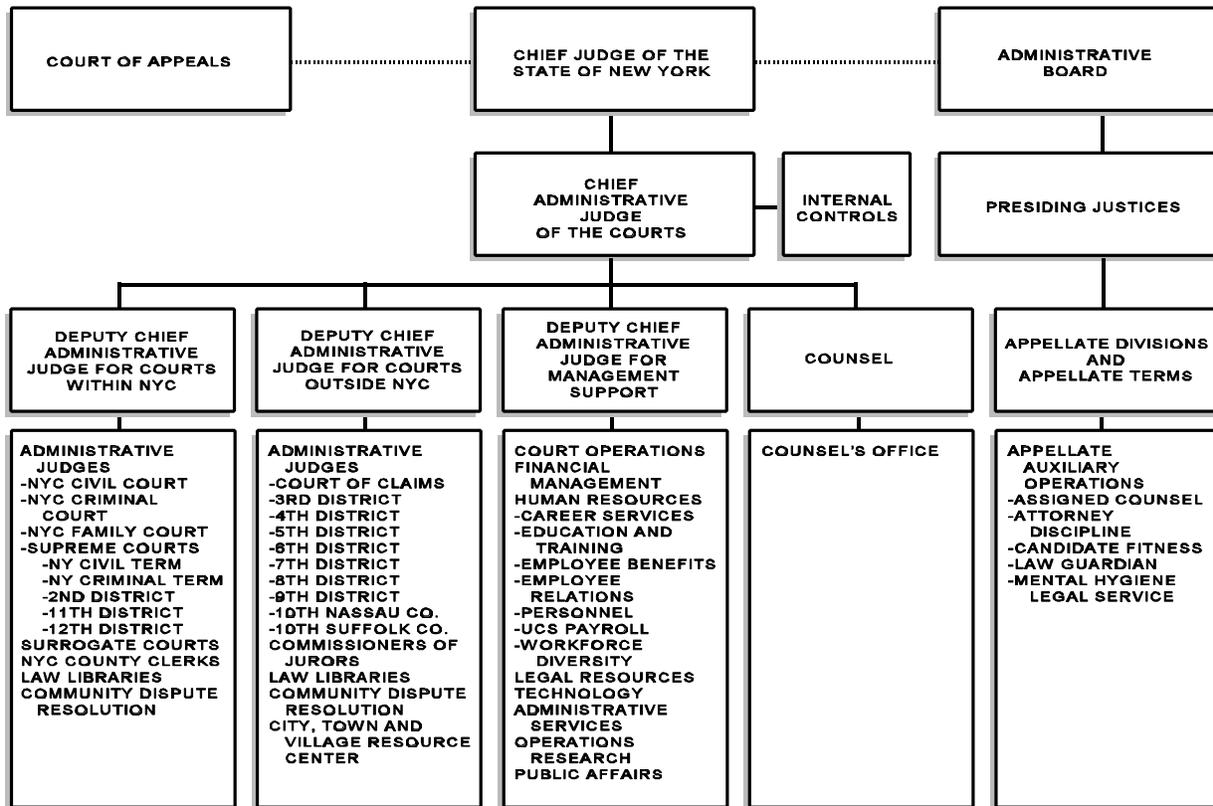
Judge, conducts internal audits and investigations to support the attainment of management's long term goals and priorities.

Counsel's Office prepares and analyzes legislation, represents the Unified Court System in litigation, and provides various other forms of legal assistance to the Chief Administrative Judge.

Responsibility for on-site management of the trial courts and agencies is vested with the Administrative Judges. Upstate, in each of the eight judicial districts established outside the City of New York, there is a District Administrative Judge who is responsible for all courts and agencies operating within the judicial district. In the City of New York, Administrative Judges supervise each of the major trial courts, and the Deputy Chief Administrative Judge provides for management of the complex of courts and court agencies within the City. The Administrative Judges manage not only court caseload, but are responsible as well for general administrative functions including personnel and budget administration and all fiscal procedures.

The Appellate Divisions are responsible for the administration and management of their respective courts, and of the several Appellate Auxiliary Operations: Candidate Fitness, Attorney Discipline, Assigned Counsel, Law Guardians, and Mental Hygiene Legal Service.

UNIFIED COURT SYSTEM ADMINISTRATIVE STRUCTURE



EXECUTIVE SUMMARY

INTRODUCTION

The New York State Courts are established and administered as an independent branch of government pursuant to Article VI of the State Constitution. The mission of the Unified Court System is to promote the rule of law and to serve the public by providing just and timely resolution of all matters before the courts. In so doing, the Judiciary provides a forum for the peaceful, fair and prompt resolution of civil claims, family disputes, criminal charges and charges of juvenile delinquency, disputes between citizens and their government, and challenges to government actions; supervises the administration of estates, considers adoption petitions, and presides over matters involving the dissolution of marriages; provides legal protection for children, mentally ill persons, and others entitled by law to the special protection of the courts; and regulates the admission of lawyers to the Bar and their conduct. The New York State Judiciary carries out its mission through 11 different trial courts, or courts of original jurisdiction, as well as through its intermediate appellate courts and its highest court, the Court of Appeals.

Since 1977, the costs of operating the courts (excluding town and village courts) have been borne by the State pursuant to the Unified Court Budget Act. Accordingly, funding for the operating costs for all New York State county-level, District and City Courts and related court agencies is a State responsibility. The costs of providing facilities for these trial courts, broadly defined to include the construction and renovation of the facilities as well as their maintenance and operation, have remained a local government obligation. The State does, however, provide aid to subsidize the cost of borrowing money for court construction and improvements. The State also reimburses local governments for a portion of maintenance and operation costs for upkeep, utilities and preventive maintenance associated with court facilities. In 1996, legislation was enacted to gradually raise this reimbursement level to 100 percent of expenses for cleaning and minor repairs to ensure compliance with maintenance and operation standards.

The Judiciary's budget is presented in three sections as follows:

Section One — Executive Summary

Section Two — The Judiciary's 1999-2000 Budget Request

Section Three — Fiscal Tables

The Judiciary's budget submission is formulated through an open and decentralized process that includes input from trial court judges, judicial and nonjudicial administrators, court clerks, local bar leaders, and citizens concerned with the future of justice services in New York State. The budget also reflects the goals and objectives set forth and updated annually through the court system's three-year planning process. This budget reflects a rigorous review and analysis process, culminating with a recommended budget amount that is fiscally prudent, recognizing the State's economic position and yet providing the necessary resources to continue the innovative programs aimed at providing the public with efficient and effective case disposition.

For fiscal year 1999-2000, the court system will focus on four primary areas: making the courts more modern and efficient; developing innovative approaches to the treatment of cases; promoting public access to the courts; and strengthening public confidence in the courts and the legal profession. Resources for programs to support these goals are described below and included in the Judiciary's budget request.

Funding for judicial salary increases is included in the Judiciary's 1999-2000 budget request and is among the court system's highest priorities. Compensation for judges serving in the New York State court system has not kept pace with the cost of living, and appropriate adjustments are proposed in this budget request. The proposed increase seeks to establish the salary of a Justice of the Supreme Court at \$136,700, with the

salaries of judges in other courts in New York retaining their current proportional relationship to the benchmark salary of a Justice of the Supreme Court.

The budget request for the Judiciary General Fund Court and Agency Operations for fiscal year 1999-2000 is \$1,097.2 million, a \$55.8 million (or 5.4 percent) increase over the current year. The State Funds Court and Agency portion of the request, including the General Fund as well as special Revenue Funds (excluding the requested Federal Funds), is \$1,138.1 million, a \$56.4 (or 5.2 percent) increase over the current year fiscal appropriation of \$1,081.8 million.

Funding is requested to support programs and initiatives designed to achieve the system-wide goals enumerated above — promoting modern and efficient courts; developing innovative approaches to the treatment of cases; enhancing public access to the courts; and strengthening public confidence in the courts and the legal profession.

As described more fully throughout the document, funding is sought to implement several programs that will significantly help the courts to become more modern and efficient. These programs include establishing a series of grants to modernize and upgrade the approximately 2,300 Town and Village Courts in New York State; expanding the Commercial Division of the Supreme Court beyond New York and Monroe Counties to additional locations in the State; enhancing the use of technology in the courts, including additional video court appearance programs, particularly in criminal matters, continued development of automated case management programs for application throughout the State and new CourtNet and Internet applications for the courts.

Initiatives also are being developed to promote innovative approaches to the treatment of cases. Complex and sensitive cases, especially those involving families, benefit from specialized treatment and expertise. Specific programs include implementing a matrimonial litigation reform program; developing a comprehensive civil justice program that will include expanded use of the differentiated case management approach for new filings, earlier judicial intervention in managing cases, and more uniformity in court rules; and expanding the use of specialized court parts such as domestic violence courts and drug treatment courts throughout the State.

Public trust in the justice system is vital, and efforts to promote this goal by enhancing access to the courts are included for the 1999-2000 fiscal year. These initiatives will include developing new community court models and expanding the community court concept to locations outside of New York City; expanding the public's opportunities to participate in alternative dispute resolution programs; and establishing a Center for Court Access to coordinate pro bono needs throughout the State. In a related area, a number of initiatives are included in the budget request that seek to strengthen public confidence in the courts and the legal profession — programs such as local measures to enhance the public's trust in the Judiciary; continued jury reform, including reform of the grand jury system; development of the next phase of the court system's Workforce Diversity program; and Continuing Legal Education for the legal profession.

The majority of the 1999-2000 Judiciary General Fund Court and Agency Operations budget request is dedicated to the funding necessary to continue current court operations. This base budget includes funding for currently authorized judicial and nonjudicial positions; salary increments for eligible nonjudicial employees; annualization of nonjudicial salary increases and new initiatives partially funded in the current year; overtime and temporary service; jury per diem payments; legal reference materials; Judicial Hearing officer and other per diem payments; equipment; and other items necessary for the daily operations of the courts and court-related agencies in the New York State Unified Court System.

The new initiatives included in the Judiciary budget request are designed to promote the goals of the court system and to continue the innovation and efficiencies that have become the hallmark of the courts in New York. The budget requests the establishment of 268 new nonjudicial positions in key areas, including the New York City Housing Court, Family Justice and Domestic Violence programs; the Civil and District Courts; and court security. In addition, the court system is seeking funding for a Statewide program to

improve the deplorable furnishings found in so many courthouses — so that litigants and the public need not be asked to sit on dilapidated and dysfunctional furnishings merely because they are in State courts. Funding also is being sought to continue the court system's automation program, including conversion for the year 2000; to further jury reform; to purchase replacement and additional security equipment and to fund security contracts; and to expand the use of mediation for specific Family Court matters.

HIGHLIGHTS OF COURT SYSTEM INITIATIVES

New York's court system recognizes the need to develop innovative approaches to justice to increase the effectiveness of court services and to broaden the public's access to justice. The court system has implemented ground-breaking initiatives in Family, Housing, Criminal and Community Justice and continues the jury reform and court technology programs.

FAMILY JUSTICE PROGRAMS

The Family Justice Program is a comprehensive set of initiatives launched to improve the ability of the courts to deal with family issues more openly and effectively. Program initiatives include: **Restructure of the Family Court** into four function-based divisions to improve the management of this court's tremendous caseload; **Family Drug Treatment Courts** to refer substance-abusing parents involved in child neglect matters to services, and closely monitor rehabilitation plans; **Dedicated Domestic Violence Parts** created to provide specialized treatment in family offense matters, featuring intensive judicial oversight and referral to treatment services; **Family Court Mediation Programs** to provide dispute resolution services to families in conflict and expedite case processing in matters involving mutual consent; **Family Court Public Access Rules** that provide the public with a window into the Family Court process to promote a greater understanding of the work of the Court; and, the **Domestic Violence Registry**, a database created by the court system to provide automated access to Domestic Violence orders of protection and warrants issued by the courts.

HOUSING COURT PROGRAM

Housing Court Program initiatives focus on establishing an orderly and effective process for case assignment and resolution in the New York City Housing Court. **Specialized Parts** have been created for motions and trial-ready matters. **Resolution Parts** have been erected to ensure judicial oversight of the settlement process. **Mediation Services** are available to screen cases and make referrals to volunteer mediators. **Resource Centers** provide litigants with the information necessary to effectively use the court. Other **Public Access** initiatives include extended hours in Clerks' Offices, Night Housing Court, and a volunteer lawyers project.

CRIMINAL JUSTICE

Criminal Justice Initiatives intended to promote more expeditious and effective case processing include: **Dedicated Domestic Violence Parts** which provide enhanced services to victims and strict judicial monitoring of offenders; **Drug Treatment Courts** to expedite drug-related case processing and reduce re-arrests by diverting or sentencing offenders to judicially-supervised substance abuse treatment; and, **New Arraignment Procedures** in the New York City Criminal Court assure compliance with the requirement that defendants be arraigned within 24 hours of arrest.

JURY SYSTEM REFORMS

The Court System continues to build on the progress made in developing a more representative, efficient and less burdensome jury system in New York. Several new initiatives underway include: the **Grand Jury Project** established to undertake a comprehensive review of all operational aspects of the grand jury system and propose needed reforms; **Technology Advancements** such as automated juror status call-in systems, bar coded summonses, attendance scanning systems and one-step summoning; and, **Public Awareness Efforts**, including a new juror handbook, an orientation video produced for petit jurors and planned for grand jurors, and a toll-free telephone line to assist with questions and complaints.

COMMUNITY COURTS

Community Courts combat quality of life crimes by providing services in areas where crime occurs, with the aim of making justice visible in the community. The first successful Community Court has been tested in Midtown Manhattan since 1993. In 1999, the Red Hook and Harlem Community Justice Centers will open in New York City. A Community Court is also being planned for the Village of Hempstead.

CENTER FOR COURT INNOVATION

The Center for Court Innovation conducts cutting-edge research into methods to improve the delivery of justice services. The Center is the recent recipient of the Innovations in American Government Award which celebrates exemplary achievements in government problem-solving.

COURT TECHNOLOGY

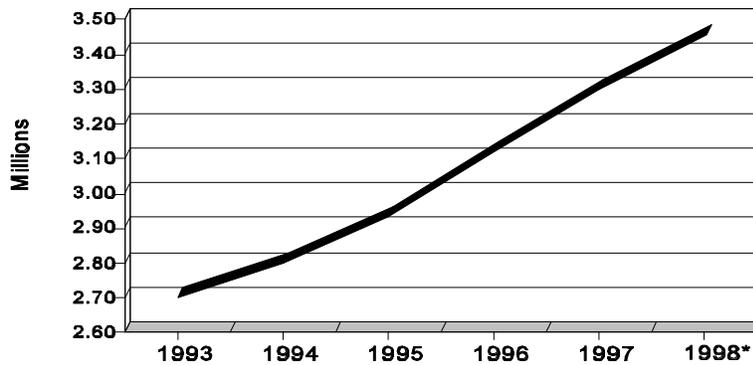
Significant progress has been made in implementing the court system's CourtNet program. CourtNet is bringing the benefits of desktop and benchtop computing to every judge and employee of the court system. Cabling to provide electronic access to CourtNet and delivery of PCs, file servers and software is expected to be completed by the fall of 1999.

COURT SYSTEM WORKLOAD

In 1997, there were 3,310,193 new cases filed in the trial courts of the Unified Court System, excluding traffic and parking cases, an increase of over 600,000 cases or 22 percent in just five years.¹

¹There were, in addition, 291,089 filings in traffic cases and 285,872 filings in parking cases.

**NEW YORK STATE UNIFIED COURT SYSTEM
Total Without Traffic & Parking
Filings**



* Projected

Filings and dispositions in 1997, by case type, were as follows:

CRIMINAL CASES

Criminal Term of Supreme and County Courts

- Filings - 63,339
- Dispositions - 69,030

Criminal Court of the City of New York

- Filings (arrest cases) - 385,947
- Dispositions (arrest cases) - 388,887
- Filings (summons cases) - 418,447
- Dispositions (summons cases) - 215,609

City and District Courts Outside New York City

- Filings - 303,435
- Dispositions - 287,799

CIVIL CASES

Civil Term of Supreme Court

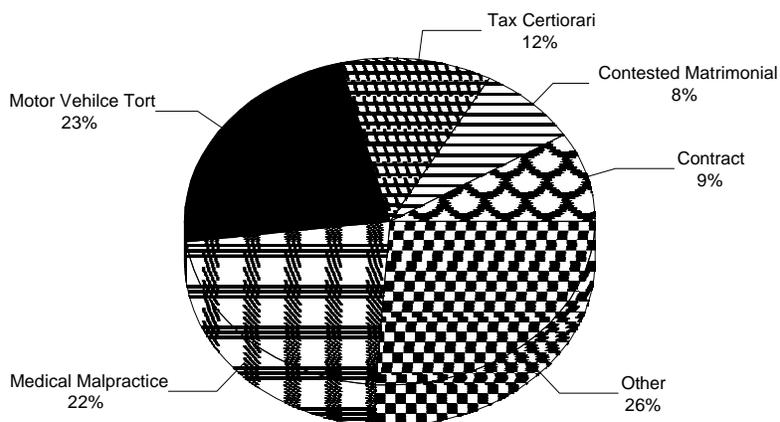
Civil Actions

- Filings - 383,065
- Dispositions - 399,335

Small Claims Assessment Review Program (SCAR)

- Filings - 53,397
- Dispositions - 51,596

**CIVIL FILINGS BY TYPE IN SUPREME COURT
1997**



Civil Court of the City of New York

Civil Actions

- Filings - 216,410
- Dispositions - 108,670

Small Claims/Commercial Claims

- Filings - 55,221
- Dispositions - 59,019

Housing Court

- Filings - 325,161
- Dispositions - 250,216

City and District Courts Outside New York City

Civil Actions

- Filings - 121,913
- Dispositions - 104,033

Small Claims/Commercial Claims

- Filings - 57,986
- Dispositions - 59,306

Landlord/Tenant

- Filings - 64,457
- Dispositions - 66,841

County Courts

- Filings - 18,037
- Dispositions - 17,610

Court of Claims

- Filings - 2,312
- Dispositions - 2,334

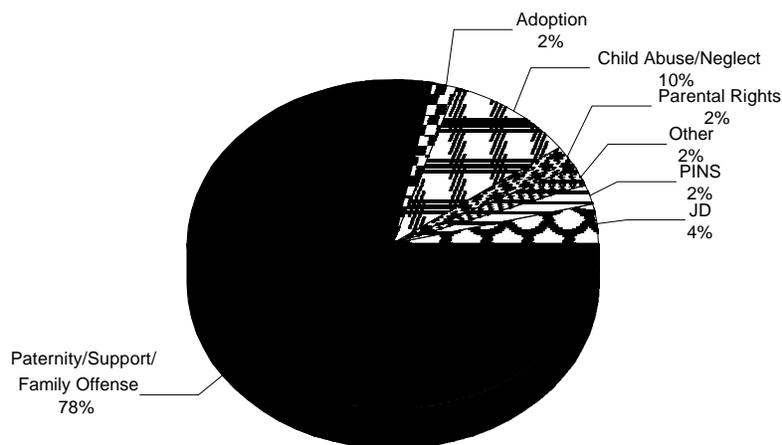
Arbitration Program

- Filings - 10,006²
- Dispositions - 9,664

Family Courts

- Filings - 656,777
- Dispositions - 655,881

**FAMILY COURT FILINGS BY TYPE
1997**



Surrogate's Courts

- Filings - 184,289
- Dispositions - 103,703

²Arbitration cases are shown for reference only and are not included in the total filings. Arbitration cases are included as part of the civil court caseload listed above.

JUDICIARY PROGRAM INITIATIVES

FAMILY JUSTICE PROGRAM

A record number of new cases (656,777) were filed with the Family Courts in New York in 1997. This trend is continuing in 1998, especially in support-related categories. To face the challenges of this tremendous caseload and to deal with the complexity that family cases pose, the court system has launched a Family Justice Program that includes initiatives in case management and court organization, and has established specialized parts that provide more intensive court supervision and alternative methods of dealing with cases involving domestic violence and drug addicted parents. Initiatives undertaken to date include:

Family Court Reorganization and Dedicated Parts

- **Reorganization of the Family Court** into four function-based divisions: Child Protective/Permanency Planning, Juvenile Delinquency/PINS, Domestic Violence/Custody, and Support/Paternity. This new organizational structure is intended to address the ever increasing caseload demands and recent legislative mandates including the federal Adoption and Safe Families Act of 1997, both of which require speedier case processing and more frequent case reviews.
- **Dedicated Foster Care Review:** Special parts have been established to review the status of children who have been freed for adoption, yet remain in foster care, as part of a continuing effort to expedite the permanent placement of children through adoptions.
- **Family Drug Treatment Courts:** Court-supervised treatment for substance-abusing parents involved in child neglect matters is now being tested in the Family Courts in New York and Suffolk Counties. This innovative approach stresses appropriate services and relies on vigorous court monitoring.
- **Dedicated Domestic Violence Parts:** Family Court Domestic Violence Parts have been established in New York and Monroe County to provide parties with expedited and concentrated assistance in family offense matters, including referral to services. In these parts, victim advocates provide assistance to self-represented litigants and batterers are referred to treatment programs. Close judicial monitoring of compliance with court mandates is a central feature of these parts. Also, a Domestic Violence Intervention Program, in the Erie County Family Court, offers victims of domestic violence information support and counseling through local community and bar organizations in conjunction with the courts.

Family Case Processing and Technology Improvements

- **Family Court Case Management System:** The creation of a single robust Family Court Case management system is now underway. This system is being designed and implemented to take full advantage of the court system's statewide CourtNet and the new technology now available to judges and court personnel. The system will provide standardized on-line documents, statistical reporting, automatic electronic transfer of case information between court jurisdictions and to other agencies concerned with family matters including the Child Support Management System (CSMS) operated by the New York State Division of Temporary and Disability Assistance.
- **Special Victims Safety Check:** Safety Check Units have been established to provide judges with information from the Domestic Violence Registry and Criminal History databases in order to protect victims of domestic violence and child neglect,

- as well as children who are the subject of custody, visitation and guardianship proceedings.
- **Adoption Case Management System:** In New York City, a specialized case management system provides information essential to the speedy finalization of adoptions. The system alerts the petitioner and the court about the approximately 30 documents that must be filed with the adoption petition and tracks the filing of those documents, sets return dates for judicial review and establishes a final date when the adoption should be finalized. Both of these systems are now in use in the court's newly organized Child Protective - Permanency Planning Division.
 - **"Adoption 2100" Initiative:** Recognizing that timely conclusion of adoption proceedings are key to a permanent and stable home, the adoption process for children in foster care in New York City was expedited through an intensive court oversight effort. A fast-track team of judges, judicial hearing officers and court attorney- referees together with clerical and administrative personnel were able to complete a record number of adoptions. "Adoption 2100" is one of several initiatives seeking to speed the permanency process for New York City's foster children.

Access Initiatives

- **Expanded Access to the Family Court:** In September 1997, new rules were adopted for the Family Court governing access by the public and media to the Court. Under the new rules, public access to the Family Court is the rule, with closure authorized only when the evidence in a particular case specifically warrants it. The rules are designed to provide the public with a window into the Family Court process in order to promote a greater understanding of the work of the Court.
- A **Night Court** is now operating in the Kings County Family Court. The court is open two nights per week to hear family offense, child support, paternity, and custody and visitation matters. Also, a major initiative of the Suffolk County Family Court is the establishment of a Night Hearing Examiner Part in Central Islip. This will provide a much needed service to the public who, in many instances, experience a financial loss when required to make a daytime appearance in court.
- A **Family Court Satellite Office** is now available in Queens County to allow residents to begin family offense, paternity, support, custody, and visitation cases without having to leave their community. Computer-video technology links the satellite office to the main courthouse so that a litigant can appear before a judge when seeking an order of protection and receive the order on site.
- **Automated Kiosks** have been installed in the Bronx and New York County Family Courts to provide information about Family Court in both English and Spanish. The kiosks also direct litigants to the appropriate court for other related proceedings, such as divorces, that cannot be brought in Family Court.

Family Court Mediation Services

Mediation has increasingly been relied upon as a case resolution tool in the Family Courts. Family Courts in Kings County and in counties outside of New York City have been using mediation services for several years as an alternative to or in conjunction with court proceedings. Cases referred from Family Court included PINS and custody and visitation. These programs have been very successful in diverting cases from the overburdened judges of the Family Courts. Family Court mediation programs are currently operating in the Third, Fourth, Fifth, Sixth, Seventh, Eighth and Ninth Judicial Districts and Nassau County. This budget seeks funding to continue and expand mediation services in these locations and to make these services available in New York City.

Domestic Violence Registry

The Family Protection and Domestic Violence Intervention Act of 1994 required major changes in case processing procedures for the Unified Court System. The Act requires that steps be taken to ensure that victims of domestic violence are notified of their rights and are able to avail themselves of legal remedies; that records can be transferred smoothly between courts as necessary for fair and effective prosecution; that the courts are accessible to those without counsel; and, that the courts collaborate with the New York State Police and other public protection agencies to maintain an up-to-date and accurate statewide registry of orders of protection and family offense warrants.

Automated access is now available to the Domestic Violence Registry System (DVS) database for all Supreme Court, Family Court and Criminal Court judges and Town and Village justices. The database collects and stores all domestic violence orders of protection and warrant information issued by the courts. The Registry is being accessed, along with other criminal history databases, for Special Victims Safety Checks in family and criminal courts to provide judges with complete and accurate family offense and criminal case history information.

HOUSING COURT PROGRAM

The New York City Housing Court is undergoing a dramatic change, pursuant to the court system's Housing Court Program. This court's role has changed since 1972, when it was established to enforce housing regulations. The court now handles large numbers of eviction proceedings, often involving self-represented litigants, which places an extra strain on personnel and judges and adds to the often confusing courthouse environment. The new program targets far-reaching, systemic areas of change in order to ensure dignity, efficiency and justice in a court that impacts so critically the daily lives of New Yorkers.

The Housing Court Program focuses on operational changes designed to replace a system of triage with orderly, efficient procedures. The reform effort has focused on establishing an effective process for case assignment and resolution through the creation of specialized resolution and trial ready parts; improved public access through the opening of Resource Centers and night parts; and enhanced judicial and nonjudicial resources to adequately address the tremendous volume of matters brought before this court.

- **Motion and Trial Ready Parts**, with manageable calendars are established to process motions and to ensure prompt commencement of trials.
- **Specialized Resolution Parts**, to effectively manage the settlement process for specific case types, including a Cooperative/Condominium Part and Rent Deposit Parts.
- **Housing Court Mediation Program**: Developed in conjunction with the Association of the Bar of the City of New York and the Queens Community Dispute Resolution Center, the Housing Court Mediation Program began operating in January 1998 in Queens and in June 1998 in Staten Island. Under the program, cases involving unrepresented parties are referred to the Mediation Coordinator for screening. If the parties consent to mediation, the case is sent to a trained volunteer mediator.
- **Resource Centers**: These centers are being established within the courthouses, staffed by Housing Court Counselors, to provide self-represented litigants with the information necessary to effectively use the court. Resource Centers offer small libraries and computers to aid self-represented litigants.
- **Improved Access for Litigants**: Along with the Resource Centers, several other efforts are underway to make the Housing Court more accessible to the public including the opening of Night Housing Court in Queens and Staten Island; extended hours of operation for Clerks' Offices; and a Volunteer Lawyers Project

established to pair self-represented litigants with attorneys who will provide advice to the litigant at the various stages of the court proceeding.

CRIMINAL JUSTICE INITIATIVES

Criminal Justice Initiatives have been established to promote more expeditious and effective case processing. Dedicated Domestic Violence Parts provide enhanced services to victims and strict judicial monitoring of offenders. Drug Treatment Courts expedite drug-related case processing and reduce re-arrests by diverting or sentencing offenders to supervised substance abuse treatment programs. Also, new arraignment procedures are in use in the New York City Criminal Court to assure compliance with the requirement that defendants be arraigned within 24 hours of arrest. A mobile trial judge team, consisting of experienced judges, is available to travel on short notice to any part of the State to try trial-ready cases. This program has significantly promoted the court system's goal of commencing criminal trials on schedule and within the six-month "standards and goals" time frame.

Special Domestic Violence Court Parts

The Criminal Court of New York City has created special Domestic Violence Courts to enhance victim safety and increase the accountability of defendants. A model part has been established in Bronx County using funds provided through a Violence Against Women Federal Grant. In the 1999-2000 fiscal year, these parts will be established in the remaining counties of New York City. Domestic Violence Courts handle misdemeanor offenses and pre-indicted felony contempt cases based on violations of criminal court orders of protection. These parts feature a dedicated judge, who is able to use the court's authority to coordinate and monitor the responses of all of the criminal justice and social service agencies charged with addressing domestic violence. In addition, staff trained in family violence issues provide support to judges by assessing service needs and monitoring the compliance of offenders with court mandates. Also, technology and specially designed automated systems are used to provide rapid access to the information needed to effectively provide court oversight.

Kings County Supreme Court has been operating Domestic Violence Court parts for more than two years. These parts also feature intensive judicial supervision and monitoring of defendants charged with felony-level domestic violence offenses.

Drug Treatment Courts

Drug Treatment Courts offer non-violent drug offenders the opportunity to participate in rehabilitation programs as an alternative to incarceration. The courts' guiding principle is that simply adjudicating these defendants without providing treatment does nothing to break the repeating cycle of drug abuse and arrest which brings defendants back into the criminal justice system.

In June 1996, New York's largest drug treatment court, the Brooklyn Treatment Court began operations. The Brooklyn Court targets felony offenders and provides early and continuous judicially-supervised substance abuse treatment, mandatory drug testing and related supportive services. The court utilizes a court-based central intake and case management system to facilitate early identification of substance abusing defendants and to help the court assess, match and monitor defendants at every stage of the criminal justice process. Key to the court's development was the creation of a comprehensive computer network that is designed to integrate information from criminal justice agencies, treatment providers and case managers. This system features an extensive database that stores information from a defendant's arrest to graduation and is used to facilitate the court's independent process and outcome evaluation.

In 1997, drug treatment courts became operational in the Niagara Falls and Ithaca City Courts. Queens, Bronx, Rensselaer and Oswego Counties have recently begun, or are about to begin, pilot operations for drug treatment courts. A combined effort in the Manhattan Supreme and Criminal courts targeted at felony offenders was begun in cooperation with the City of New York, which is providing significant funding.

To date, there are over 1,500 active participants in drug treatment court programs in New York State. More importantly, approximately 400 individuals have made major strides toward reclaiming their lives by successfully graduating from New York's drug treatment courts.

Drug Treatment Courts have primarily been funded through the federal Justice Department with nearly \$5.8 million in grant awards to date. Other federal funding and grants from local governments and non-governmental sources which have not come directly to the Unified Court System have also supported Drug Courts in several jurisdictions. State funding to provide for the local grant share and to support program coordinators is also provided from the Judiciary Budget. As federal grants supporting these programs expire during the next few fiscal years, continuation of funds, especially amounts being paid for treatment services, will increasingly need to be addressed in the State budget.

In 1998, several jurisdictions throughout New York State have been awarded Drug Court grants in the most recent round of Department of Justice funding. The awards include an enhancement grant to continue the Lackawanna Court, implementation grants to fully develop the Supreme and Criminal Courts in the Bronx and Queens, Rensselaer County/Troy City Courts, Oswego County Court, and Suffolk Family Treatment Court as well as a Drug Court in Manhattan Criminal Court for misdemeanor cases, and a joint award to the Niagara Falls and Tonawanda City Courts. In addition, planning grants were awarded to a regional coalition of the Albany City Court and local justice courts, to Fulton County for adult offenders, and to Buffalo City Court for juvenile offenders.

New Arraignment Procedures

Under New York law, a person who is arrested and charged with a crime must generally be arraigned within 24 hours. With cooperation from all participants in the process, the New York City Criminal Court has been able to routinely meet this 24 hour arraignment timeframe, making this part of the criminal justice system more efficient and consequently more just.

Mobile Judges

The Mobile Trial Judge Team consists of experienced judges, who travel on short notice to any part of the State to try trial ready cases. This program has significantly promoted the court system's goal of commencing criminal trials on schedule and within the six-month "standards and goals" time frame.

CENTER FOR COURT INNOVATION

The Center for Court Innovation is a unique public-private partnership created by the Unified Court System to foster innovation within its ranks. Through the Center, the court system continues its cutting-edge research into methods to improve the delivery of justice services. The Center's focus is on collaborative solutions and identification of community-based resources and partnerships that will enhance the effectiveness of court programs and services.

The Center for Court Innovation is a recent recipient of the Innovations in American Government Award, given in recognition of the Center's efforts in testing prototypes, including community courts, drug treatment programs and family violence intervention programs.

In recognition of the Court System's pioneering work to rethink the administration of justice, the U.S. Justice Department has asked the Center for Court Innovation to provide technical assistance to other states interested in court reform. The Center's assistance takes several forms: workshops, site visits, how-to manuals and an innovative website, www.communitycourts.org. Over the last year, the Center hosted more than 400 out-of-town visitors, representing 51 U.S. jurisdictions and 14 countries. Currently, 18 other jurisdictions are at work on replications of New York's community courts.

COMMUNITY COURTS

The 1999-2000 Budget Request continues support for the Midtown Community Court and provides funding to establish new multi-jurisdictional community courts in the Red Hook community of Brooklyn and in upper Manhattan at the Harlem Community Justice Center. In addition, planning is underway for a Community Court to serve the Village of Hempstead in Nassau County.

Midtown Community Court

The Midtown Community Court opened in the Fall of 1993 on West 54th Street in Manhattan. The court was designed to test a new strategy for combating and adjudicating quality-of-life crimes such as prostitution, shoplifting, minor drug possession, turnstile jumping and disorderly conduct that occur in the neighborhoods surrounding the court.

The court is equipped to sentence offenders to community-based alternatives to incarceration, and uses a wide array of sentencing options which are designed to restore the costs of crime to the victim and the community, and help divert offenders from further involvement with the criminal justice system. When appropriate, defendants are sentenced to a combination of community service, education and substance abuse treatment. Alternative dispute resolution services are also available. The court emphasizes the use of immediate on-site and neighborhood-based community service sanctions and social services.

An in-depth evaluation of the Midtown Community Court, prepared by the National Center for State Courts and the Center for Court Innovation, concluded that the Midtown Community Court had achieved its key operational objectives: to provide speedier justice, to make justice visible in the community where the crimes take place, to encourage enforcement of low-level crime, and to marshal the energy of local residents, organizations, and businesses to collaborate on developing community service and social service projects. Research also found that the court had a profound impact on the types of sentences handed out, more than doubling the frequency of community service and social service sentences, and significantly improving compliance with community service sentences.

Red Hook Community Justice Center

The Red Hook Community Justice Center in Brooklyn, scheduled to open in the Summer of 1999, represents a new approach to justice. Building on the innovations of the Midtown Community Court, the Red Hook Community Justice Center will both respond constructively when crime occurs and work to prevent crime before it takes place. To meet the multi-faceted needs of Red Hook residents, the Justice Center will have a broad jurisdiction. It will adjudicate criminal cases occurring within the community, hear small

claims and landlord/tenant matters, and provide needed services to both victims of family violence and at-risk youth who are traditionally served by Family Courts. In addition, it will house a variety of treatment and prevention programs on-site, including drug treatment, job training, health care, counseling and education.

Harlem Community Justice Center

Planning efforts are also currently underway for the opening of the Harlem Community Justice Center early in 1999. The Harlem Community Justice Center will be a neighborhood-based court offering a coordinated response to youth crime and housing matters. The Justice Center will be housed in the newly renovated Harlem Courthouse on 121st Street between Third and Lexington Avenues. The first two components of the Harlem Justice Center will be a youth-run court and a housing resource center. The Youth Court will focus on low level offenses (violations, misdemeanors, non-violent felonies, and status offenses like truancy) that are frequently overlooked by the juvenile justice system. In addressing these transgressions through early intervention, the court will seek to nurture an appreciation for the role of law, the consequences of wrongdoing, and the benefits to be derived from law abiding behavior. Local youth will staff the court, serving as judges, jurors and attorneys. Sanctions will include community service, letters of apology and educational workshops.

The housing resource center will incorporate a range of services designed to provide information to tenants, landlords, and other members of the community related to housing code compliance, entitlements, and access to Housing Court. The resource center will seek to resolve matters without resort to the formal housing litigation process. In furtherance of that goal, the resource center will include a mediation program to address landlord/tenant disputes. The resource center will lay the foundation for a full fledged community based Housing Court, which, in conjunction with the other components of the Justice Center, will seek to fulfill the stated purpose of Housing Court: to preserve and enhance the neighborhood's housing stock.

Village of Hempstead Community Court

The Village of Hempstead Community Court, scheduled to begin operations in early 1999, will be modeled after New York City's Midtown Community Court's innovative approach to dealing with low-level crimes. In order to reduce the quality of life crimes and their impact on the community, the Hempstead Community Court will act as a gateway to drug and alcohol abuse treatment, medical services and psychiatric services. In addition, the Court will make justice more visible. A variety of community service punishments will be available to the Court at sentencing. By using these options, the community will be able to see that those who commit quality of life crimes in their neighborhood are being required to contribute back to their community. It is anticipated that these efforts will result in greater enforcement of low level crimes. Federal and other grant sources are being sought to support the opening of the Village of Hempstead Community Court.

CIVIL JUSTICE INITIATIVES

Streamlining Matrimonial Litigation

A program to address matrimonial cases was initiated in November 1996 with the appointment of Supreme Court Justice Jacqueline W. Silbermann as the first Statewide Administrative Judge for Matrimonial Matters. Under Judge Silbermann's direction, the court system has provided strong leadership and specialized programs to expedite case

processing and make matrimonial litigation less painful for all parties. To date, improvements in the handling of matrimonials include:

- Creation of Dedicated Supreme Court Matrimonial Parts in all the counties of New York City, as well as in the upstate Supreme Courts in more than 20 counties.
- A Matrimonial Center being established in Nassau County Supreme Court (to open in early 1999) to provide a more effective way of dealing with the caseload and the needs of the litigants.
- Enforcement Parts established in major counties to provide an immediate judicial response to motions to enforce maintenance and support orders and to hear contempt applications stemming from court orders.
- Several computerized aids designed to assist matrimonial judges and their staffs, including an automated case management tracking system.

Supreme Court Initiatives

To address the complex and high-volume civil caseload in the Supreme Court, a number of initiatives have begun, including:

- Adoption of new Standards and Goals for civil cases. Standards and Goals now call for civil cases filed in the Supreme Court to be ready for trial within 12 months (for standard cases) or 15 months (for complex cases) of the filing of an RJI and for cases to be disposed within 12 months of the filing of a Note of Issue.
- The Supreme Court in Manhattan has established an "Office for the Self-Represented", which works to assure that self-represented litigants are provided appropriate assistance.
- The Kings County Supreme Court has been testing the differentiated case management approach to case processing. Dramatic increases in both pre-note and post-note settlements as well as the number of trials commenced have been realized through this effort.
- In Queens Supreme Court a complex has been created consisting of one Trial Assignment Part and two designated back-up parts to process cases in which New York City is the defendant.
- The increased use of Judicial Hearing Officers to hold settlement conferences to assist Supreme Court justices in disposing of the older cases in the civil caseload and to preside over the jury selection has significantly reduced the time needed to select juries. The 1999-2000 budget includes funds to allow retired senior judges to continue to address civil case backlogs and to expand their role in Family Court, domestic violence, and universal summons case resolution.

Commercial Division

The Commercial Division of the Supreme Court has been operating in New York County since 1995. The Division has five parts, a separate support office and a contiguous complement of courtrooms at the 60 Centre Street Courthouse. A Commercial Division Part has also been established in Monroe County. The Commercial Division, the nation's first general trial part devoted exclusively to business litigation, is able to provide greater efficiency, skill and speed in the disposition of matters, permitting dispositions at lower costs.

The Commercial Division in New York County has also instituted an Alternative Dispute Resolution (ADR) Program to offer litigants a choice of process and to reduce congested court calendars. Justices of the Division refer the parties to ADR using a list of volunteer neutrals. Proceedings in each case are stayed for a limited fixed period to accommodate the ADR process. An ADR advisory group, composed of attorneys experienced in business and commercial ADR, has also been established by the Commercial Division to assist

the court with implementation of ADR policies and to serve as a resource for volunteer neutrals.

By January 1999, a Commercial Part will be in operation in each of the Supreme Courts in Erie, Nassau and Westchester Counties.

Alternative Dispute Resolution (ADR)

A program of Alternative Dispute Resolution (ADR) initiatives and pilot projects has been undertaken by the court system to increase the number and availability of ADR options throughout the State. Tailored to local needs and conditions, the various initiatives continue the court system's ongoing efforts to explore the expanded use of ADR in ways that complement New York's many different legal environments. ADR programs include the following:

- In Nassau County, binding arbitration is now being offered for any civil case on the trial calendar in Supreme Court. Prior to jury selection the parties may elect to resolve their case through binding arbitration before a Judicial Hearing Officer in lieu of a trial.
- In Monroe County Supreme Court, a mediation program has been launched involving civil cases of all types (with the exception of cases involving domestic violence or child abuse) that will be handled by a corps of carefully recruited and thoroughly trained mediators drawn from the legal community and the ranks of professional mediators. The mediators assist the parties in reaching mutually agreeable solutions.
- The Suffolk County District Court has embarked on a program to test a mandatory arbitration program, beginning with the small claims parts in the outlying districts. Arbitrators recruited and trained by the Suffolk County Bar Association and Judicial Hearing Officers will handle the cases.
- The Orange County Supreme Court has established a mandatory mediation program for divorce cases where judges use discretion in referring cases to mediation and consider the parties' wishes to use the process.
- Erie County Supreme Court has created a multi-stop ADR program for personal injury matters of less than \$100,000, excluding professional liability, product liability and labor law cases. Once parties volunteer to participate in the program, they will undergo mediation, and if it is not resolved, the case will proceed to a pre-trial assessment before a Judge or Judicial Hearing Officer.
- In the Fifth Judicial District the Syracuse City Court has developed a mandatory arbitration program for cases under \$6,000 which is used once the note of issue is filed. These cases are sometimes referred from Onondaga Supreme Court. Parties can also voluntarily agree to use the program. The Small Claims Court also offers mediation to parties who cannot use Small Claims Court because they want property as opposed to money damages. This mediation program is essentially a referral to New Justice Services, the local community dispute resolution center. Rome and Utica City Courts also refer cases to their local community dispute resolution centers — the Oneida County Justice Center.
- The Housing Part of the New York City Civil Court has initiated a mediation program in Queens and Richmond Counties for cases in which both parties are self-represented. The court plans on expanding this pilot to Brooklyn during the 1999-2000 fiscal year.
- Other ongoing pilot programs in New York include the voluntary mediation of custody and visitation cases in more than 30 family courts throughout New York State, and mediation of minor attorney-client grievances through the four Appellate Divisions in New York State.
- An important component of the court system's ADR program is the Community Dispute Resolution Centers Program. These Centers are staffed by trained

volunteers and paid professional personnel who conduct mediations, conciliations, arbitrations and other related seminars, conferences and training sessions. They teach conflict management skills to young people in schools; mediate mobile park landlord and tenant disputes via a contract with the New York State Division of Housing and Community Renewal; serve parents, children and schools in Special Education cases, through the New York State Department of Education, and support Family Court mediation programs. In fiscal year 1997–98, the Centers served 89,554 people involved in 40,113 cases which were screened as appropriate for direct services. During this same period, 22,834 conciliations, mediations, and arbitrations which served 54,707 people were conducted. In 78 percent of the matters that reached the mediation stage, a voluntary agreement was achieved by the parties. As a result of these actions, New York State citizens were awarded more than \$4.5 million in the form of restitution and mutual agreements. The average state cost per case screened as appropriate for dispute resolution was \$85; the average state cost per conciliation, mediation and arbitration was \$146; and, the average state cost per individual directly served through the mediation program was \$37.

JURY SYSTEM REFORMS

Following the report of the Jury Project, which advocated reforms to ensure the representativeness of juries, improve the efficiency of the jury system and provide a positive experience for the public as they serve as jurors, the court system has made significant strides in reducing the burdens of jury service and in improving diversity and size of juror pools in New York State. In the current fiscal year the Unified Court System will seek to maintain the momentum for reform through several initiatives including:

- **The Grand Jury Project:** The Chief Judge has commissioned a 33-member blue ribbon panel to undertake a comprehensive review of all operational aspects of the grand jury system. This committee is in the process of conducting hearings across the State to gather input for reform proposals in four key areas: (1) basic function and efficiency, (2) qualification and summoning, (3) selection and utilization, and (4) the jury experience.
- **Technology advancements:** including automated juror call-in systems, use of bar code summonses and enhanced duplication detection, pilot testing of attendance scanning systems and one-step summoning.
- **Public awareness efforts:** including provision of a new handbook for grand jurors and a grand jury orientation film similar to those used for petit juror orientation, and a first ever statistical study of the criminal jury selection system to identify best judicial practices and needed legislative reforms.

Statutory reforms enacted and implemented in recent years have included revisions to the Judiciary Law to eliminate automatic disqualifications and occupational exemptions from jury service. The revised law presumes all citizens are capable of jury service who are at least 18 years old, who can communicate in English and who have not been convicted of a felony. A key proposal of the Jury Project — increased jury compensation — has also been authorized by the Legislature and juror per diem rates are now \$40, consistent with the daily rate paid to jurors in federal courts.

The Unified Court System also will continue administrative improvements to the jury program. Administrative and operational reforms implemented to date include:

- Enhancement of the quality of juror source lists to improve the rate of delivery of qualification questionnaires;
- Adoption of the use of a non-permanent qualified list on a Statewide basis to broaden the range of opportunities for service;
- Institution of automated follow-up procedures with potential jurors who fail to respond to questionnaires;

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- Adoption of guidelines for postponement or excusal from jury service, which in many locations can be done automatically via a 24-hour telephone line;
- Reduction of the terms of service for jurors, with the standard of one day/one trial now in place in 58 of the 62 counties in the State;
- Improvement in the timely payment to jurors through use of the Quick Pay voucher system where checks are produced within 24 hours of electronic certification;
- Improved citizen awareness about the importance of jury service via a public awareness campaign that has included the distribution of posters and informational brochures, and establishment of a toll-free telephone line to assist with questions and complaints; and
- Provision of a new juror handbook and presentation of an award-winning orientation video to jurors summoned for petit jury service.

COURT INFORMATION AND TECHNOLOGY

The creation and management of information and records is one of the principal activities performed in the trial courts of the Unified Court System in support of case disposition and administrative processes. Information and records management functions include the review of case initiation papers and the opening of case files; case indexing, docketing and scheduling; the production of court calendars; case inquiries; the processing of case-related notices, orders, applications and motions; the collection of fees, fines, bail and other costs; the transmission of case records from place to place in courthouses; the processing of records on appeal; the storage and retrieval of case records and exhibits; the creation of reports on caseload activity and the status of case inventories; the production and processing of juror qualification questionnaires and summonses; the maintenance of juror service records; the payment of jurors; the reporting of criminal case disposition information to the Executive Branch; text-editing, and the exchange and processing of mail. Budget, fiscal and personnel administration and legal research services are also major functions performed to support case processing.

The court system currently creates nearly four million new case files each year and stores more than a million cubic feet of records. Its manual paper processing operations are labor-intensive, and costly in terms of human resources and space for storage. Seeking to improve and expedite the flow of information throughout the courts and to reduce the costs of records processing, storage and retrieval, the Unified Court System relies extensively on automated technology including centralized case management systems, CourtNet, and automated databases that utilize mainframe technology, microcomputers and local area networks.

CourtNet

The court system's mission is the fair and equitable administration of justice. Automation, properly implemented, assists in achieving that goal by permitting efficient case management and administration through electronic processing and exchange of information.

During the past two years, the Unified Court System has focused its automation efforts on the completion of CourtNet, a UCS Wide Area Network and on providing electronic access to that Network for the delivery of necessary information about cases to the judges and court personnel who need it for case processing. The completion of UCS CourtNet involves:

- Wiring of all courthouses in New York State — 350 locations will be wired with approximately 25,000 cable drops assuring an automation outlet at almost every desk in each courthouse. In addition, all courtrooms will be wired with an outlet at the bench, clerk, court reporter, jury box and counsel tables.

- The placement of hubs, routers, file servers and other communication equipment to connect the individual locations with each other. While these items have a shorter technological useable life than the wire, they can be easily upgraded as the need arises.
- Purchase of laptop computers, as necessary, for judges in the Unified Court System. The laptops will be used on the bench, in chambers and at other locations to assist the judges in managing their caseloads. Licenses for off-the-shelf software such as GroupWise, WordPerfect Suite and Novell Network will be purchased for these laptops as well as the desktop computers described below.
- Purchase and installation of over 8,000 desktop computers and file servers for court system staff.
- Expansion of current electronic mail capabilities, faxing from individual computers and electronic document and forms distribution.

To finance major technology improvements, agreement was reached with the Legislature to fund a multi-year automation initiative through Certificates of Participation (COPS) which would provide for the new computer hardware, courthouse wiring and communication device purchases necessary to meet the court system's goals and objectives. Funds through COPS to establish the Domestic Violence Registry were also targeted to meet the goals and objectives of the court system's automation strategy.

Significant progress has been made toward full implementation of the court system's automation initiative and CourtNet program. The Automaton Initiative is already bringing the benefits of desktop and benchtop computing, networking and e-mail to the judges and employees of the court system. Cabling of courthouses and administrative offices to provide electronic access to the court system's CourtNet is progressing rapidly. Through October 1998, over 1,200 laptops have been purchased and delivered, and most judges in the State now have a laptop computer connected to CourtNet by a "docking station" and 3,000 new, state-of-the-art, desktop computers have been distributed to every court and district across New York. By the fall of 1999, all but the smallest courts and offices should be wired and connected to CourtNet.

In the year ahead, many more miles of wire will be installed, more phone circuits brought online, and more routers will be routing information between the many courts and offices. The court system will also install many thousands more PCs with their supporting printers, scanners, and servers. This investment in infrastructure will be the backbone for providing new applications and information to the many diverse users and will help usher the court system into the next century.

Universal Case Management System

During the current fiscal year the court system began the analysis and design of a new universal case management system. This new trial court case processing and information system will take advantage of new technology and provide for access and uniformity across all computer platforms and court types. Reducing duplication of work and data sharing capability will be among the primary benefits of the new case management system.

The initial phase of this effort targets the Family Court. The Family Court application is a joint development effort of the staff of the Division of Technology and a committee comprised of Court Clerks from Family Courts throughout the State. This new system is being designed and implemented to take full advantage of CourtNet and will utilize Web technology. The system will provide standardized on-line documents, statistical reporting, automatic electronic transfer of case information between court jurisdictions and to other agencies concerned with family matters. The Statewide Family Court system will include a common database structure which will be distributed Statewide and serve as the basis for all future case management applications. This case management database and processing requirements will be extended to all court types in the future

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throughout the system. In the next phase of work on the Universal Case Management project, Supreme Court Civil, Civil Court and Criminal Court systems will be targeted. It is also the intention of the UCS to include an interface to the New York State Child Support Management System (CSMS).

Year 2000 Compliance Effort (Y2K)

One of the most important efforts now underway in the UCS Division of Technology is the Year 2000 Compliance project, an effort to ensure computer readiness for the Year 2000. For UCS mainframe applications, there are over 7,000 programs containing over 4 million lines of code that need to be compliant. Considerable progress has been made in a cost effective manner by the Division through reliance on extra service from experienced in-house staff and minimal use of consulting. Division staff have completed inventorying and prioritizing systems changes that are critical to operations and have been modifying programs as necessary.

During the current fiscal year, compliance will be achieved for the systems that support case management in Supreme Court Civil, Family Courts and Housing Court as well as the Jury Management System and Judgement Docket Lien Book. In the 1999-2000 fiscal year, compliance will be achieved in Criminal Case processing applications and for the Case Activity Reporting System. These latter projects will be completed through outsourcing and funds will be required in the upcoming budget for this final stage of the Y2K effort.

Installation of new PCs and file servers and updates to software through automation initiative resources will address these problems in many but not all locations across the State. Older PCs that are not compliant will be identified through testing in the year ahead and hardware that is not compliant will be replaced, as will non-compliant software versions. Equipment needs identified through Division of Technology review of PC/Server platforms will be addressed from existing CourtNet resources and through a final phase of COPs automation initiative funding that is being sought in the 1999-2000 budget request.

Town and Village Courts Access to Centralized Databases

There are approximately 2,300 town and village courts, as well as remote chambers throughout the State, that frequently need information from the court system and other electronic State databases. Town and Village judges play an important role in the adjudication process and the information about their cases, i.e. dispositions need to be transmitted to the proper authorities. In addition, a case transferred to another court and the disposition of that case from the receiving court should be transmitted to the initial court for completion of their records. Inquiry into information which is stored on ours as well as other agencies' histories should also be made available to the magistrates. Information from the Office of the State Comptroller, the Department of Motor Vehicles and the Department of Criminal Justice Services could be made available if the proper network were in place to support such information sharing. Resources are being sought in this budget to begin an effort to provide Town and Village Courts with cost effective access to automated databases. Funds being sought in this budget will address the needs of approximately 750 local Town and Village Courts.

Automation — New Resources

The 1999-2000 budget provides an additional phase of COPS funding to finance \$3 million for specialized automation improvements for the court system including resources for Town and Village Courts. This additional spending authority provides for purchases as follow: \$1.1 million related to Y2K equipment replacements and enhancements; \$500,000 for Court Innovation Projects, including Community Courts, Drug Treatment

Courts and Domestic Violence programs, \$1.0 million for equipment and cabling to allow for Town and Village Court CourtNet access to automated databases, and \$0.4 million for the purchase of a UPS System at the Rensselaer Technology Park Computer Center to ensure the reliability and efficiency of operations statewide.

Libraries and Legal Reference Information

There are currently 38 Supreme Court and 13 county-level law libraries in the Unified Court System. The primary function of these libraries is to provide legal reference services and materials in support of case resolution. In many cases, information and education services are also provided to attorneys and the general public.

To improve the access of attorneys and the general public to legal reference services and materials, Chapter 662 of the Laws of 1993 — the Court Libraries Act — requires each county to have a law library that is open to the public. The use and operation of each library is established by guidelines set by the Chief Administrative Judge. In addition, a four-member board of trustees for each library provides assistance to the Chief Administrative Judge on issues relating to operations. The Court of Appeals and Appellate Division libraries will continue under the supervision of the judges of those courts.

Given the expanding clientele that the law libraries serve, the increasing scope and complexity of cases, increasing impact of inflation on the cost of legal reference materials and the limited fiscal resources available for such materials, it becomes a constant challenge for library managers to provide the most recent and up-to-date legal reference tools. In recent years, access to legal reference materials via electronic sources has been the tool most widely used by librarians to provide up-to-date legal reference resources at a manageable cost. In addition to traditional print and microform resources, materials are now accessed using automated database systems and CD-ROM technology. These automated legal reference systems allow users electronic access via a personal computer to materials not available in chambers or library collections.

These electronic databases are cost effective in the provision of legal reference materials, but require access to computer hardware and software. The availability of microcomputers in all law libraries and chambers is, therefore, a prerequisite to the use of electronic legal reference resources.

Another electronic legal reference tool being utilized by the court system is the On-line Computer Library Center (OCLC), an international library and research service, which improves legal reference access by providing participants on-line listings of the collections of other libraries in the system. It is the goal of the Unified Court System to convert all library and combined chambers collections to OCLC format. Once complete, a central database of all library holdings will be made available to law libraries to facilitate the sharing of limited resources.

Technology to carry out the goals of the Law Library Program is being provided to libraries as funds permit. Equipment for each library, such as workstations, file servers, printers, CD-ROM towers and modems, will be tied into building networks under development to reduce reliance on printed materials and reduce the need for multiple copies of CD-ROM material at each court location. Electronic information will reduce reliance on printed sources, and, when fully implemented, provide offsetting cost reductions.

Also of note in the Law Library Program is the establishment of a new law library in the Rochester Hall of Justice. The Appellate Division Fourth Department plans to move its Rochester Law Library to a new complex in late 1998. At that time, conversion of the current law library in the Hall of Justice to a Supreme Court Law Library is planned. Accordingly, staff to operate the Supreme Court Law Library and nonpersonal service is reflected in the Trial Courts budget.

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PERMANENT JUDICIAL COMMISSION ON JUSTICE FOR CHILDREN

The budget continues funding for the Permanent Judicial Commission on Justice for Children. The Commission was established to achieve a consensus regarding the need for systematic change in the Family Courts and the entire juvenile justice system. The Commission seeks to draw together representatives of the Judiciary, the Legislature, State and local government agencies, voluntary agencies, public service organizations, bar associations and existing task forces, commissions and advisory groups.

This budget provides for staff support to the Commission and travel costs of Commission members. The Commission's staff oversees the administration of the courts' child care centers grants and projects funded through federal grants, including the expansion of child care services to additional court locations. The Commission has also secured a Federal grant award to assess foster care and adoption proceedings and to develop and implement improvements.

Through the New York State's Permanent Judicial Commission on Justice for Children, the UCS has established the nation's first statewide system of Children's Centers in the courts. A total of 19 Children's Centers are now operated by not-for-profit agencies under contract with the court system to provide a safe, supervised and supportive environment. Three nursery sites are also supervised by court personnel. The Centers, which served over 40,000 children in 1997, provide vital connections to Head Start and other social service agencies. The Commission also coordinates with providers of auxiliary services such as nutrition, health screening and immunization services to make these services available to the children served by the court system's child care centers. The Commission is continuing to build the statewide system of Children's Centers, with possible expansion to additional court locations by the end of the current fiscal year.

JUDICIAL COMMISSION ON MINORITIES

The Unified Court System is committed to assuring fair and equal treatment of all individuals. To this goal, the Franklin H. Williams Judicial Commission on Minorities was established in 1991 to examine the treatment accorded minority lawyers, court personnel, judges and litigants within the court system.

The Commission is focusing on several issues, including the participation of minorities in the jury process, the number of minority judges and justices in the State courts, the awareness of the bench and bar of alternatives to incarceration, and the access to the courts by non-English speaking persons.

JUDICIAL COMMITTEE ON WOMEN IN THE COURTS

The New York Judicial Committee on Women in the Courts has continued to develop system-wide solutions to assure fair treatment for women litigants, attorneys and court personnel to eliminate gender bias in the justice system.

The Committee has adopted various strategies for reaching ingrained biases. Education remains an important tool — education for judges, nonjudicial personnel and the public. Increasingly important are local gender bias committees under the auspices of Administrative Judges that can address the particular issues in their courts and draw on local institutions for solutions.

JUDICIAL ADVISORY COUNCILS

In 1993 and 1994, Judicial Advisory Councils were established in four localities of the State to work with the Administrative Judges to make the courts more responsive to community needs. This initiative was undertaken in connection a larger project

sponsored by the Conference of Chief Justices, the Conference of State Court Administrators, and the National Center for State Courts, designed to enhance citizen involvement in the courts as a method to build respect, confidence and support for the Judiciary. The four states participating in the project are New Jersey, New York, Tennessee and Washington. The pilot sites for the project in New York are Nassau County, Queens County and the Seventh and Eighth Judicial Districts. Each of the Judicial Advisory Councils focuses on issues of concern to the local community.

Issues addressed by the Eighth Judicial District Advisory Council include the understanding of the Judiciary by the media and the public at large, and improving court facilities in Erie County. The Judicial Advisory Council for the Seventh Judicial District has completed the restructuring of its court tours program, offered in conjunction with the Monroe County Bar Association, continued to operate "Teen Court" in Monroe County for youths charged with minor violations, worked to increase jury diversification, and began to study how to address youth violence and how the Monroe County Landlord-Tenant Court could be made more accessible.

The Council for the Tenth Judicial District investigated the possibility of creating a community court in Hempstead, finalized a plan for a children's center in the Nassau County District Court, sought to improve the conditions of jury service and worked to beautify the Supreme Court building in Mineola through improved landscaping. Similarly, the Judicial Advisory Council for Queens has enhanced the appearance of the courthouses, provided educational programs for Queens citizens, and collaborated with the Queens County Clerk to facilitate improvement of the juror experience.

EDUCATION AND TRAINING

The Judiciary will continue to provide a comprehensive education and training program for judges, justices and nonjudicial employees. The Education and Training and Career Services offices of the Human Resources Division conduct system-wide educational forums designed to enhance knowledge and skills and professional development within the court system. Programs will be provided for appellate judges and an expanded education seminar will be conducted for trial court judges and justices. Local magistrate training will also be continued. Program expenditures are also increased in this budget for the Capital Punishment Program and for matrimonial litigation training programs.

The nonjudicial training program includes annual seminars for clerks and nonjudicial associations, and basic courses for all employees such as Mission and Organization and Performance Evaluation. In addition, special skill courses such as Supervisory Training and Computer Skills and legal updates are offered annually. Next year's budget also seeks increased funding for executive management development and middle management skills seminars.

COURT FACILITIES PROGRAM

When the State assumed the cost of operating county and city-level courts in 1977, the responsibility for providing and maintaining court facilities remained with local governments. Although some municipalities met that obligation adequately, many did not. The result was the deterioration of existing facilities and a failure to construct vitally needed new physical capacity to house the increased workload facing the courts. The Court Facilities Act, Chapter 825 of the Laws of 1987, was enacted as a comprehensive solution to the State's court facilities needs.

Under the Court Facilities Act, the provision and maintenance of adequate court facilities remains a responsibility of local government, but technical and financial assistance is provided to help local governments meet those needs. The Act required that cities and counties develop capital plans and submit the plans for approval to a Court Facilities

Capital Review Board, whose members are designated by the Judiciary, the Executive and both houses of the Legislature.

Under the Act, financial aid is available in the form of a subsidy to reduce the cost of borrowing money to finance court improvements. The subsidy ranges from 33 percent to 25 percent of interest costs, depending on the locality's relative taxing capacity.

To promote better maintenance of courtrooms and buildings, the Act established a second aid program to reimburse cities and counties for a portion of the operations and maintenance costs associated with court facilities. That subsidy has ranged from 25 percent to 10 percent, based on each local government's relative taxing capacity. Legislation was enacted in 1996 that will eventually provide for a 100 percent State subsidy for court cleaning and minor repairs. This legislation began to take effect in April 1998 and provides a net subsidy of 25 percent in the current year. In SFY 1999-2000, the subsidy rate rises to 50 percent; in SFY 2000-01, it rises to 75 percent; and in SFY 2001-02, it reaches 100 percent. To ensure that no local government suffered a loss of State aid during the transition years or even thereafter, a "hold harmless" proviso was enacted in 1998.

In 1995, the Court Facilities Act was amended to provide 100 percent State reimbursement to local governments for all capital and maintenance and operations costs associated with providing facilities for the Appellate Divisions. This extension of the aid program is enabling local governments that host appellate facilities, particularly Monroe County and New York City, to plan and implement needed facilities expansions without incurring a financial burden for facilities used by residents of surrounding counties as well as their own.

Despite the fiscal difficulties of the early 1990s, most local governments responded positively to the Court Facilities program. All 119 cities and counties have submitted Capital Plans; all have been reviewed and received at least initial approval. These plans call for \$3.4 billion in total court facilities improvements over a twenty year period that began in 1990. The New York City Plan alone represents over \$2 billion of that total.

By the end of 1998, 51 cities and 36 counties will have substantially completed their Capital Plans, resulting in scores of upgraded, renovated and expanded or new courthouses. Several major new facilities are under construction. Others are in design and will be built over the next few years. A few localities are still in the planning stage for needed improvements and some others are considering new alternatives in instances where projects could not be advanced, usually for site-specific reasons. Most of the projects that have been completed were built on a timely basis and within budget — a substantial achievement for public construction.

CITY, TOWN AND VILLAGE COURTS RESOURCE CENTER

The Town and Village Courts Resource Center has been renamed The City, Town and Village Courts Resource Center to reflect its expanded mission — in addition to serving approximately 2,000 town and village justices and court personnel, the Resource Center is now available to offer advice and guidance to judges and staff of approximately 60 city courts throughout New York State.

The Resource Center answers questions and provides research on legal issues that arise under the jurisdiction of town, village and city courts. To date the Resource Center has answered over 50,000 inquiries.

The Resource Center also keeps the justice courts apprised of legislative and case law developments. Therefore, it is necessary to keep all Resource Center reference materials up-to-date. To that end, this budget includes funding for connections to the internet allowing access to the many legal publications and resources available on-line, and to allow city, town and village judges to reach the Resource Center via the information highway. The Resource Center also assists the courts with administrative issues, such as questions concerning court facilities, acquisition of new equipment and record keeping.

Such assistance to the justice courts throughout New York State usually requires a visit to the court by a court analyst. Legal issues are often raised during court calendars or trials, most of which are held in the evening hours in the justice courts and a pager system is now used to allow judges to contact a Resource Center attorney during the evening hours.

1999-2000 JUDICIARY BUDGET REQUEST

ANALYSIS OF CHANGE

The Judiciary's 1999-2000 Court and Agency Operations - General Fund base budget increase totals \$47.9 million. The chief components of the base change in the Court and Agency Operations - General Fund budget include:

- a salary increase for judges and justices of the Unified Court System pursuant to proposed legislation; \$26.0 million
- salary increments to eligible nonjudicial employees as provided by collective bargaining contracts; \$9.6 million
- temporary service and overtime increases to support current usage; \$2.6 million
- annualization of the October 1, 1998, 3 percent nonjudicial salary increase offset by annualized savings from the 1997-98 and 1998-99 Early Retirement Incentive programs and retroactive collective bargaining costs, normal attrition and other non-recurring costs; \$-9.1 million
- funding to meet the full annual cost of new judgeships established during the 1998 legislative session and made effective on January 1, 1999; \$1.3 million
- a net increase of 17 certificated justices pursuant to section 115 of the Judiciary Law; \$3.5 million
- funding for the full annual cost of 347 new nonjudicial positions approved by the Legislature in the current fiscal year; \$7.8 million
- Law Guardian Program increases in Legal Aid contracts (\$2.2 million), and Law Guardian vouchers (\$1.3 million) to address increases in law guardian assignments; \$3.5 million
- Judicial Hearing Officer (JHO) funding increase required to address current and projected caseloads; \$.7 million
- costs associated with the production of transcripts; \$.6 million
- cost increases specific to legal reference (based on inflation and major law changes) purchases and updates required to keep collections current; and computer assisted legal reference (CALR) usage; \$1.5 million
- contract security increase amounts necessary for annualization of contract staffing levels approved in 1998-99 and to pay for collective bargaining increases approved or anticipated to be approved by local governments; \$1.0 million
- education and training costs to support current judicial education, nonjudicial training and career services programs, including modest expansion of the Judicial Education Programs; \$.5 million
- contractual services increases for the Community Dispute Resolution Program grants to existing centers; \$.2 million
- an increase in jury per diem fees to reflect projected juror days; \$.6 million
- funds for increased postage costs required for jury reforms and a prospective rate increase; \$.5 million
- reduction in equipment; -\$5.8 million
- payment of per diem expenses for court reporting, court interpreting, and similar services; \$1.0 million
- increased costs for maintenance of equipment, particularly for automation equipment associated with "CourtNet" expansion; \$.5 million
- cost associated with the operations of Community Courts; \$.2 million
- cost associated with the State share of Drug Court funding; \$.4 million
- workload and inflation increases; \$.8 million

The Judiciary General Fund - Court and Agency Operations Budget includes \$7.9 million for resource requests to continue key Judiciary initiatives. The proposals are directed to meeting specific objectives in priority areas including the court system's Family

Justice Program, Domestic Violence Program, Housing Court Program, Civil Justice Program, City Courts and the expansion and improvement of court automation systems and security services. Funds requested in the Judiciary budget include:

- **Family Justice Initiatives:** Funds for personnel and related costs to address family offense and child support related increases; \$.6 million
- **Criminal and Family Case (Domestic Violence) Workload Initiatives:** Increases are requested for Domestic Violence related criminal parts and in Family Courts; \$.1 million
- **Housing Court Initiatives:** Funds for personnel and related costs to address a major New York City Housing Court Initiative; \$.2 million
- **Civil Justice:** Funds for personnel and related costs associated with Supreme Civil workload; \$.2 million
- **City Courts:** Funds for personnel and related costs for the continued implementation of the "FACCS" and District Court Committee recommendations for the City and District Courts; \$.2 million
- **Jury:** Funds for personnel and jury improvements including technology to enhance the juror qualification, summoning and attendance process; \$.5 million
- **Community Courts:** Funds for personnel for the Red Hook and Harlem Justice Centers; \$.9 million
- **Appellate Workload:** Funds for personnel and related costs to address Appellate Court and Auxiliary agency workload related needs; \$.3 million
- **Automation:** The request includes \$.6 in COPS financing for the Year 2000 Compliance Program; Town and Village Court CourtNet access, and \$.3 million for Appellate Court and Auxiliary agency initiatives; \$.9 million
- **Court Security Enhancements:** A request is made for additional contractual security personnel (\$.4 million), court officer positions (\$.5 million) and for essential security equipment (\$1.0 million); \$1.9 million
- **Furnishing and Equipment:** A request is made for COPS financing for a major project to upgrade and replace badly deteriorated furnishings and equipment; \$1.4 million
- **Space Renovation:** Funding is requested for renovations required in the Appellate Division - Third Department; \$.2 million
- **Mediation Project:** A request is made to expand the Family Court Mediation Project; \$.3 million.
- **Video Appearances:** Funding is requested to establish a video part in the Criminal Term of the New York County Supreme Court; \$.2 million

THE JUDICIARY BUDGET 1999-2000

Following is the Summary of the 1999-2000 fiscal requirements of the Judiciary as approved by the Court of Appeals and certified by Chief Judge Judith S. Kaye.

**UNIFIED COURT SYSTEM
1999-2000 BUDGET REQUEST
ALL FUNDS FISCAL REQUIREMENTS
Major Purpose / Fund Summary**

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 1:			
COURT & AGENCY OPERATIONS:			
Courts of Original Jurisdiction	906,252,596	929,253,172	23,000,576
Court of Appeals	10,336,906	10,415,089	78,183
Appellate Court Operations	46,026,463	48,537,011	2,510,548
Appellate Auxiliary Operations	59,653,735	64,307,304	4,653,569
Administration & General Support	15,780,544	15,701,167	(79,377)
Judiciary Wide Maintenance Undistributed	<u>3,376,239</u>	<u>29,020,036</u>	<u>25,643,797</u>
CT. & AG. OPERATIONS-GENERAL FUND-TOTAL	1,041,426,483	1,097,233,779	55,807,296
SPECIAL REVENUE FUND-FEDERAL			
Miscellaneous Federal Grants	4,290,000	6,900,000	2,610,000
SPECIAL REVENUE FUND-OTHER			
County Clerks Offset Fund	14,553,840	14,809,771	255,931
Data Processing Offset Fund	8,395,823	8,155,982	(239,841)
Tax Processing Fee Account	1,500,000	1,000,000	(500,000)
Miscellaneous Special Revenue Grants	710,000	1,140,000	430,000
Attorney Licensing Fund	13,886,820	14,636,680	749,860
Court Facilities Incentive Aid Fund	<u>1,306,054</u>	<u>1,164,636</u>	<u>(141,418)</u>
COURT & AGENCY-ALL FUNDS-TOTAL	1,086,069,020	1,145,040,848	58,971,828
PART 2:			
GENERAL STATE CHARGES			
General Fund	155,388,813	161,992,261	6,603,448
Lawyers' Fund-client Protection	98,000	98,000	0
Attorney Licensing Fund	1,956,597	1,795,596	(161,001)
Court Facilities Incentive Aid Fund	185,752	184,594	(1,158)
Data Processing Offset	0	1,543,877	1,543,877
NYC County Clerks Offset Fund	<u>2,270,813</u>	<u>2,198,346</u>	<u>(72,467)</u>
GENERAL STATE CHARGES-ALL FUNDS TOTAL	159,899,975	167,812,674	7,912,699
PART 3:			
LAWYERS' FUND-CLIENT PROTECTION			
Lawyers' Fund-Client Protection	<u>8,884,000</u>	<u>8,966,000</u>	<u>82,000</u>
LAWYERS' FUND-ALL FUNDS-TOTAL	8,884,000	8,966,000	82,000
PART 4:			
AID TO LOCALITIES			
General Fund-courts of Original Jurisdiction	0	500,000	500,000
Court Facilities Incentive Aid Fund	<u>38,600,000</u>	<u>40,037,000</u>	<u>1,437,000</u>
AID TO LOCALITIES - ALL FUNDS -TOTAL	38,600,000	40,537,000	1,937,000

JUDICIARY

UNIFIED COURT SYSTEM 1999-2000 BUDGET REQUEST ALL FUNDS FISCAL REQUIREMENTS Fund Detail

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 1:			
COURT & AGENCY OPERATIONS:			
COURTS OF ORIGINAL JURISDICTION			
General Fund	906,252,596	929,253,172	23,000,576
Special Revenue Funds	<u>29,449,663</u>	<u>32,005,753</u>	<u>2,556,090</u>
TOTAL-ALL FUNDS	935,702,259	961,258,925	25,556,666
COURT OF APPEALS			
General Fund	10,336,906	10,415,089	78,183
Special Revenue Funds	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL-ALL FUNDS	10,336,906	10,415,089	78,183
APPELLATE COURT OPERATIONS			
General Fund	46,026,463	48,537,011	2,510,548
Special Revenue Funds	<u>0</u>	<u>0</u>	<u>0</u>
TOTAL-ALL FUNDS	46,026,463	48,537,011	2,510,548
APPELLATE AUXILIARY OPERATIONS			
General Fund	59,653,735	64,307,304	4,653,569
Special Revenue Funds	<u>12,738,125</u>	<u>13,510,641</u>	<u>772,516</u>
TOTAL-ALL FUNDS	72,391,860	77,817,945	5,426,085
ADMINISTRATION & GENERAL SUPPORT			
General Fund	15,780,544	15,701,167	(79,377)
Special Revenue Funds	<u>2,054,749</u>	<u>1,890,675</u>	<u>(164,074)</u>
TOTAL-ALL FUNDS	17,835,293	17,591,842	(243,451)
JUDICIARY WIDE MAINTENANCE UNDISTRIBUTED			
General Fund	3,376,239	29,020,036	25,643,797
Special Revenue Funds	<u>400,000</u>	<u>400,000</u>	<u>0</u>
TOTAL-ALL FUNDS	3,776,239	29,420,036	25,643,797
COURT & AGENCY OPERATIONS - TOTAL			
General Fund	1,041,426,483	1,097,233,779	55,807,296
Special Revenue Funds	<u>44,642,537</u>	<u>47,807,069</u>	<u>3,164,532</u>
TOTAL-ALL FUNDS	1,086,069,020	1,145,040,848	58,971,828
PART 2:			
GENERAL STATE CHARGES			
EMPLOYEE FRINGE BENEFITS			
General Fund	155,388,813	161,992,261	6,603,448
Special Revenue Funds	<u>4,511,162</u>	<u>5,820,413</u>	<u>1,309,251</u>
TOTAL-ALL FUNDS	159,899,975	167,812,674	7,912,699

JUDICIARY

<u>CATEGORY/FUND/MAJOR PURPOSE</u>	<u>AVAILABLE</u>	<u>REQUESTED</u>	<u>CHANGE</u>
PART 3:			
LAWYERS' FUND-CLIENT PROTECTION			
General Fund	0	0	0
Special Revenue Funds	<u>8,884,000</u>	<u>8,966,000</u>	<u>82,000</u>
TOTAL-ALL FUNDS	8,884,000	8,966,000	82,000
PART 4:			
AID TO LOCALITIES			
General Fund	0	500,000	500,000
Special Revenue Funds	<u>38,600,000</u>	<u>40,037,000</u>	<u>1,437,000</u>
TOTAL-ALL FUNDS	38,600,000	40,537,000	1,937,000

THE LEGISLATURE

The New York State Constitution vests the State's law-making power in a two-house Legislature composed of a 61-member Senate and a 150-member Assembly. Each representative is elected for two-year terms, with all 211 being elected every two years. The Legislature convenes annually on the first Wednesday after the first Monday in January and remains in session until it concludes its business.

The Legislature has many powers set by the State Constitution. These responsibilities include:

- the ability to propose laws;
- the power to override a gubernatorial veto if two-thirds of the Senate and Assembly vote to do so;
- the reapportionment of legislative and congressional districts every ten years after the national census;
- the confirmation by the Senate of gubernatorial appointments of non-elected state officials and court judges;
- the proposition of amendments to the State Constitution;
- voting on ratification of proposed amendments to the Federal Constitution; and
- the creation, regulation and, in some limited cases, abolition of local governments.

Subject to the limitations and prohibitions imposed by the Federal Constitution, certain Federal statutes and treaties, and the State Constitution, the law-making powers of the Legislature are practically unlimited. The principal purposes of bills considered by the Legislature are to:

- enact or amend laws relating to the government of the State and its various subdivisions;
- appropriate funds for the operation of the various agencies and functions of State government and for State aid to local governments, and to provide adequate revenue-producing sources for these purposes;
- provide for and regulate the operation of a judicial system, including the practices and procedures for the system;
- define acts or omissions that constitute crimes, and to provide penalties for these crimes;
- promote the public welfare, including the care of the State's indigent, mentally ill, unemployed, etc.; and
- correct, clarify, amend or repeal obsolete, conflicting, uncertain or invalidated statutes.

In addition to the Senate and Assembly, the Legislature's Budget authorizes funding for several other components which support the operations of the two houses, including:

- part of the Lieutenant Governor's office;
- fiscal committees operating in each house; and
- joint entities, including the Legislative Ethics Committee, Legislative Library, Legislative Health Services, Legislative Messenger Service, Legislative Bill Drafting Commission and the Legislative Task Force on Demographic Research and Reapportionment.

Each of these Legislative components will be discussed in separate sections below.

LEGISLATIVE BUDGET HIGHLIGHTS

The recommended General Fund appropriation of \$190,126,399 for fiscal year 1999-2000 for the Legislature represents a modest increase of \$5,529,290 or 3 percent above the amount appropriated for FY 1998-99. The Legislature's budget request for FY 1999-2000 represents an overall increase of less than 4 percent over the past nine years. Over this same period, the Consumer Price Index will have increased by 29 percent.

**Legislative Budget Summary
General Fund Appropriations**

<u>Entity</u>	<u>Available FY 1998-1999</u>	<u>Recommended FY 1999-2000</u>	<u>Change</u>
Lt. Governor	\$244,489	\$244,489	\$0
Senate	\$73,156,364	\$75,358,635	+\$2,202,271
Assembly	\$86,944,277	\$89,561,614	+2,617,337
Fiscal Committees	\$9,613,106	\$9,902,496	+\$289,390
Joint Legislative Entities	\$14,638,873	\$15,059,165	+\$420,292
LEGISLATURE TOTAL	\$184,597,109	\$190,126,399	+\$5,529,290

**Legislative Budget History
Fiscal Year 1990-1991 to 1999-2000
General Fund Appropriations**

<u>FY 1990-1991 Appropriations</u>	<u>FY 1998-1999 Appropriations</u>	<u>FY 1999-2000 Recommended</u>	<u>Change from FY 1998-1999 Appropriations (%)</u>	<u>Change from FY 1990-1991 Appropriations (%)</u>
\$183,405,313	\$184,597,109	\$190,126,399	+\$5,529,290 (+3.00%)	+\$6,721,086 (+3.67%)

**Legislative Budget
General Fund Appropriations Comparison to Consumer Price Index
Fiscal Year 1990-1991 through Fiscal Year 1999-2000**

	<u>FY 1990-1991</u>	<u>FY 1998-1999</u>	<u>FY 1999-2000</u>	<u>% Change 1990-1991 to 1999-2000</u>
Legislative Budget	\$183,405,313	\$184,579,063	\$190,126,399	+3.67%
Consumer Price Index	138.5	173.6*	178.6*	+29.0%

* estimated

The recommended Special Revenue Fund-Other appropriation of \$1,600,000 for FY 1999-2000 represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for Special Revenue Funds.

The recommended Grants and Bequests Fund appropriation of \$500,000 for FY 1999-2000 represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for Grants and Bequests Funds.

LIEUTENANT GOVERNOR

The Lieutenant Governor serves as the Senate's President and has a casting vote. The Lieutenant Governor's salary of \$110,000 appears as part of the Legislative Budget. The Legislature also funds a part of the Lieutenant Governor's Office.

BUDGET HIGHLIGHTS

The recommended appropriation of \$244,489 for fiscal year 1999-2000 for the Lieutenant Governor represents no change from the amount appropriated for FY 1998-99.

SENATE

The Senate is composed of 61 Members elected for two-year terms from districts around the state. Each Senator represents approximately 295,000 constituents. The Senate conducts its legislative business through the operation of 34 Standing Committees.

The Senate elects from among its Members for a two-year term a Temporary President who directs and guides the business of the Senate, appoints Members to Senate Standing Committees, and appoints the Senate's staff. The Temporary President serves as the presiding officer in the absence of the Lieutenant Governor or may delegate this duty to another Member. In addition, the Temporary President serves as the Majority Leader of the majority party, while the minority party of the Senate chooses a Minority Leader from among its membership.

Senate Members have staff to assist them in carrying out their legislative duties, delivering constituent services and, where applicable, in fulfilling their responsibilities as committee chairs or leaders of the Senate. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. Travel expenses for approved official Senate business are reimbursable. The Majority and Minority Leaders each have staff to provide counsel, policy analysis, program development and Washington, D.C. representation. The Temporary President, through the Secretary of the Senate, employs staff to operate the Senate Chamber during session and to handle the legislative process during the remainder of the year, furnish research and computer services, and provide administrative services such as personnel, fiscal and maintenance services for the Senate. The Temporary President also has staff to deliver communications and printing services for the Senate. Finally, the Senate operates a program for college students which includes a Session Assistant program for undergraduates and a Student Fellows program for post-graduates who wish to learn about and experience the legislative process by working with Senate Members.

In addition to the Senate's General Fund appropriation, a Special Revenue Fund (Senate Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Senate. These revenues may be used to pay for waste disposal, production and distribution of Senate documents, materials and computerized information, and expenses related to conferences sponsored by the Senate. A Grants and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Senate Chamber.

BUDGET HIGHLIGHTS

The recommended appropriation for the Senate of \$75,358,635 for FY 1999-2000 represents a modest 3.01 percent increase. The \$2,202,271 increase is needed to fund anticipated cost of living raises for Senate staff and to offset anticipated increases in the nonpersonal service sector due primarily to the new postal rates, inflationary pressure on the cost of the district office leases and supplies, and the installation of a new telecommunications network.

LEGISLATURE

As detailed in the Table below, the Senate (including the Legislative Commissions for which funding was eliminated in the FY 1995-96 budget) has seen its budget increase by \$4,494,168 or 6.3 percent from the \$70,864,467 appropriated in FY 1990-91. Over the same period, the consumer price index has increased by 29 percent.

In the past four years, the Senate has reduced its staff by 323 employees or 17.7 percent, eliminated its Washington, D.C. and New York City office leases, closed approximately 20 district offices, and reduced the number of district-wide mailings allowed each Member. The Senate has also granted an across-the-board cost-of-living increase for its staff in only four of the past nine years. The Senate continued to tightly control its nonpersonal service expenses by restraining the purchasing of office supplies and furnishings, severely restricting travel, delaying essential equipment upgrades and reducing expenditures in other ways while the costs of these have continued to rise, often above the rate of inflation.

Senate Budget History Fiscal Year 1990-1991 to 1999-2000 General Fund Appropriations

	<u>FY 1990-1991</u> <u>Appropriations</u>	<u>FY 1998-1999</u> <u>Available</u>	<u>FY 1999-2000</u> <u>Recommended</u>	<u>Change from</u> <u>FY 1998-1999</u> <u>(%)</u>	<u>Change from</u> <u>FY 1990-1991</u> <u>(%)</u>
Senate Budget	\$67,238,167	\$73,156,364	\$75,358,635		
Senate Commissions	\$3,626,300	\$0	\$0		
TOTAL	\$70,864,467	\$73,156,364	\$75,358,635	+\$2,202,271 (+3.01%)	+\$4,494,168 (+6.34%)

ASSEMBLY

The Assembly is composed of 150 members elected for two-year terms from districts around the state. Each Member of Assembly represents approximately 120,000 constituents. The Assembly conducts its legislative business through the operation of 36 standing committees.

The Assembly elects from among its members a Speaker who directs and guides the business of the Assembly, and appoints members to Assembly Standing Committees and Assembly leadership positions. The Speaker serves as the presiding officer of the Assembly. The minority party of the Assembly chooses a Minority Leader from their membership.

Each Member of Assembly is entitled to employ staff to assist them in carrying out their legislative duties and, where applicable, their responsibilities as Committee Chairs or leadership. Members are also provided with office space both in Albany and the district, as well as office equipment, furnishings and supplies, in order to serve their constituents. The State Constitution provides for reimbursement to Assembly Members for travel to the Capitol from their district, and Members and staff are also eligible for reimbursement of other travel related to legislative business. The Speaker of the Assembly and the Assembly Minority Leader employ staff to provide counsel, legislative program development and policy analysis. The Assembly also employs staff to serve the needs of the house, including the operation of the Assembly Chamber during session, the management of the legislative process, and research, communications and administrative services. The Assembly also administers an Intern Program to provide opportunities to undergraduate and graduate college students to learn about the legislative process while utilizing their skills to assist the Assembly Members in fulfilling their constitutional responsibilities.

In addition to the Assembly's General Fund appropriation, a Special Revenue Fund (Assembly Recyclable Materials, Information Services and Conference Fund) has been established to collect revenues from the sale of recyclable materials, distribution of documents, materials and computerized information, and fees charged for conferences sponsored by the Assembly. These revenues may be used to pay for waste disposal, production and distribution of Assembly documents, materials and computerized information, and expenses related to conferences sponsored by the Assembly. A Grants and Bequests Fund has also been established to receive non-state grants which may be used to pay for services and expenses related to the restoration of the Assembly Chamber.

BUDGET HIGHLIGHTS

The recommended appropriation for FY 1999-2000 of \$89,561,614 represents an increase of \$2,617,337 above the amount appropriated for FY 1998-99. This increase of 3.01 percent is required to fund anticipated increases in staff salaries and for other anticipated increases in non personal services expenditures.

Over the past nine years, as detailed below, the Assembly's budget (including Assembly Commissions for which funding was eliminated in FY 1995-96) has increased by 6.24 percent, while over the same period, the Consumer Price Index has increased by 29 percent. The Assembly has been able to keep its spending over the past nine years well below inflation by reducing the payroll for Assembly controlled entities by over 300 positions, the elimination of regional offices, and other operational savings.

**Assembly Budget History
Fiscal Year 1990-1991 to 1999-2000
General Fund Appropriations**

	FY 1990-1991 Appropriations	FY 1998-1999 Available	FY 1999-2000 Recommended	Change from FY 1998-1999 (%)	Change from FY 1990-1991 (%)
Assembly Budget	\$80,732,868	\$86,944,277	\$89,561,614		
Assembly Commissions	\$3,569,700	0	0		
TOTAL	\$84,302,568	\$86,944,277	\$89,561,614	+\$2,617,337 (+3.01%)	+\$5,259,046 (+6.24%)

FISCAL COMMITTEES

The Governor's annual budget bills and the budgetary proposals for the Legislature and Judiciary are referred to these committees when introduced and are reported by them, with recommendations, to the Legislature. Designated representatives of the committees are entitled, by constitutional provisions, to attend the required hearings for the preparation of the budget and to make inquiry concerning any part thereof. These committees also consider all bills introduced in the Legislature carrying appropriations or providing for the expenditures of public money.

In addition, pursuant to the provisions of section 122-a of the State Finance Law, the Chairmen and ranking Minority Members of the Senate Finance Committee and the Assembly Ways and Means Committee function as an Audit Committee. The responsibilities of the Audit Committee include the selection of an independent certified public accountant to conduct an independent audit of the state's annual financial statements, receiving the results of such independent audit, and submitting the certification

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received from the independent certified public accountant to the State Comptroller for inclusion in the annual financial report required pursuant to section 8 of the State Finance Law.

BUDGET HIGHLIGHTS

The recommended appropriation of \$4,951,248 for fiscal year 1999-2000 for both the Senate Finance Committee and the Assembly Ways and Means Committee represents an increase of \$144,695 above the amount appropriated for FY 1998-99.

JOINT ENTITIES AND DUES PAYMENTS

LEGISLATIVE ETHICS COMMITTEE

The Legislative Ethics Committee was created by Chapter 813 of the laws of 1987 and is a joint bipartisan committee authorized by law to act on matters arising out of Public Officers Law Sections 73, 73-a and 74, as applied to the legislative branch, and Legislative Law Section 80. The Committee is authorized by law to distribute, collect and review financial disclosure statements from legislators, employees and candidates for legislative office. The Committee renders formal advice on the law and investigates violations of the law, which are subject to civil and criminal penalties. The Legislative Ethics Committee is also required to adopt policies, guidelines, rules, and regulations to interpret and administer the legislative ethics laws. The eight-member committee is comprised of two members each from the Senate and Assembly majority and minority parties.

Budget Highlights

The recommended appropriation of \$370,000 for FY 1999-2000 for the Legislative Ethics Committee represents no change from the amount appropriated for FY 1998-99.

LEGISLATIVE HEALTH SERVICE

Section 7-b of the Legislative Law provides for a legislative emergency health station for the use of members and employees of the Legislature and legislative correspondents. This station is to be under the direction of a registered nurse and suitably and adequately equipped to administer first aid whenever needed.

Budget Highlights

The recommended appropriation of \$172,114 for FY 1999-2000 for the Legislative Health Service represents an increase of \$5,013 above the amount appropriated for FY 1998-99.

LEGISLATIVE LIBRARY

Section 7-a of the Legislative Law provides for a Legislative Library to be located in the State Capitol, conveniently accessible to the members of both houses of the Legislature. The Legislative Library is the Library of Record for the Legislature. The Legislative Library is open throughout the year and all hours that the Legislature is actively in session, and provides general information services to legislators and their staffs with a collection emphasis on legal materials.

Budget Highlights

The recommended appropriation of \$712,635 for FY 1999-2000 for the Legislative Library represents an increase of \$20,756 from the amount appropriated for FY 1997-98.

LEGISLATIVE MESSENGER SERVICE

The Legislative Messenger Service provides a communications network throughout the Empire State Plaza and neighboring state buildings for Senate and Assembly legislators and their staffs. The service employs and trains individuals with disabilities as office personnel and messengers, and is located in the Legislative Office Building.

Budget Highlights

The recommended appropriation of \$662,639 for FY 1999-2000 represents an increase of \$19,300 above the amount appropriated for FY 1998-99.

LEGISLATIVE BILL DRAFTING COMMISSION

The Legislative Bill Drafting Commission is composed of two commissioners jointly appointed by the Temporary President of the Senate and the Speaker of the Assembly. The Commission is mandated to draft or aid in the drafting of legislative bills and resolutions at the request of members or committees of either house of the Legislature. The Commission, upon research and examination, may advise as to the constitutionality, consistency or effect of proposed legislation upon request of a member or committee of either house of the Legislature. The Commissioners direct a legal staff of attorneys and are supported by a data processing and technical staff.

The Commission also maintains and operates centralized data processing systems, programs and equipment for the operation of a bill status and statutory and other miscellaneous information retrieval system for the Legislature, including the creation of a databank containing the official statutes of the state and the text of the rules and regulations of state agencies as filed with the Secretary of State. The Commission's budget is used to pay for the cost of the Legislature's printing contract for the printing of bills, session laws, the classification of appropriations book (Black Book), Senate and Assembly Journals, and other miscellaneous legislative documents, and the printing, publication and distribution of the Legislative Digest.

The Commission receives revenues from the private sale of subscriptions to the Legislative Digest and to the Legislative Retrieval Service (LRS), which are deposited in a Special Revenue Fund known as the Legislative Computer Services Fund. These revenues are used to offset the costs of operating the Commission's data processing systems.

Budget Highlights

The recommended appropriation of \$11,349,467 for fiscal year 1999-2000 for the Legislative Bill Drafting Commission represents an increase of \$330,567 above the amount appropriated for FY 1998-99, which is required for anticipated increases in funding requirements.

An appropriation of \$1,500,000 for FY 1999-2000 is recommended for the Legislative Computer Services Fund. This recommended appropriation represents no change from the amount appropriated for FY 1998-99. No tax revenues are required for this Fund.

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LEGISLATIVE TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT

The Task Force on Demographic Research and Reapportionment was established by Chapter 45 of the laws of 1978 to research and study the techniques and methodologies used by the U.S. Commerce Departments' Bureau of the Census in carrying out the decennial federal census. The Task Force aids the Legislature by providing technical plans for meeting the requirements of legislative timetables for the reapportionment of Senate, Assembly and Congressional districts. Using its Geographic Information System database, it also conducts research projects relating to the collection and use of census data and other statistical information.

The Task Force is also authorized to receive revenues from the sale of computer generated data and services for deposit in the Special Revenue Fund known as the Legislative Computer Services Fund. These funds may be used to offset the Task Force's cost of operating its data processing systems.

Budget Highlights

The total recommended appropriation of \$1,533,194 for fiscal year 1999-2000 for the Legislative Task Force on Demographic Research and Reapportionment represents an increase of \$44,656 above the amount available for FY 1998-99.

NATIONAL CONFERENCE OF STATE LEGISLATURES DUES

The National Conference of State Legislatures (NCSL) is a bi-partisan organization created to serve the legislators and staff of each State Legislature. NCSL provides research, technical assistance and the opportunity for policy makers to exchange ideas on the most pressing state issues.

New York's involvement with the NCSL is through the Assembly on the Legislature (AOL) and State-Federal Assembly (SFA). The AOL promotes the exchange of ideas and information on state issues among state legislatures. SFA informs legislators of developments in state-federal relations, identifies issues of critical concern and serves as a forum for discussion among its 50 state membership. All state legislators and their staff members are eligible to participate in the Conference and are entitled to the full use of its services.

NCSL is supported from dues assessed to each State Legislature, on the basis of state population totals.

Budget Highlights

The recommended appropriation of \$259,116 for fiscal year 1999-2000 for the National Conference of State Legislatures dues represents no change from the amount appropriated for FY 1998-99.

ALL FUNDS REQUIREMENTS FOR THE LEGISLATURE

<u>Fund/Entity/Major Purpose</u>	<u>Available 1998-1999</u>	<u>Recommended 1999-2000</u>	<u>Change</u>
Lt. Governor	\$244,489	\$244,489	\$0
Senate	73,156,364	75,358,635	2,202,271
Assembly	86,944,277	89,561,614	2,617,337
Senate Finance Committee	4,806,553	4,951,248	144,695
Assembly Ways and Means Committee	4,806,553	4,951,248	144,695
Joint Entities:			
Legislative Ethics Commission	370,000	370,000	0
National Conference of State Legislatures Dues	259,116	259,116	0
Legislative Health Service	167,101	172,114	5,013
Legislative Library	691,879	712,635	20,756
Legislative Messenger Service	643,339	662,639	19,300
Legislative Bill Drafting Commission	11,018,900	11,349,467	330,567
Legislative Task Force on Demographic Research and Reapportionment	1,488,538	1,533,194	44,656
Joint Entities Total	<u>\$14,638,873</u>	<u>\$15,059,165</u>	<u>\$420,292</u>
GENERAL FUND TOTAL	<u>\$184,597,109</u>	<u>\$190,126,399</u>	<u>\$5,529,290</u>
Special Revenue Fund - Other:			
Legislative Computer Services Fund	\$1,500,000	\$1,500,000	\$0
Senate Recyclable Materials, Information Services and Conference Fund	50,000	50,000	0
Assembly Recyclable Materials, Information Services and Conference Fund	<u>50,000</u>	<u>50,000</u>	<u>0</u>
SPECIAL REVENUE FUND TOTAL	<u>\$1,600,000</u>	<u>\$1,600,000</u>	<u>\$0</u>
Grants and Bequests Fund:			
Restoration of Senate Chamber	\$250,000	\$250,000	\$0
Restoration of Assembly Chamber	<u>250,000</u>	<u>250,000</u>	<u>0</u>
GRANTS AND BEQUESTS FUND TOTAL	<u>\$500,000</u>	<u>\$500,000</u>	<u>\$0</u>

SCHEDULE OF APPROPRIATIONS

<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
OFFICE OF THE LIEUTENANT GOVERNOR			
Lieutenant Governor	\$110,000	\$110,000	\$0
Administration			
For personal service of employees and for temporary and expert services	\$117,547	\$117,547	\$0
Maintenance and Operation			
For services and expenses of maintenance and operation (including liabilities incurred prior to April 1, 1998)	<u>\$16,942</u>	<u>\$16,942</u>	<u>\$0</u>
Total—Office of Lieutenant Governor	\$244,489	\$244,489	\$0

THE SENATE

Personal Service			
For payment of salaries to Members, 61, pursuant to section five of the Legislative Law	\$3,507,500	\$3,507,500	\$0
For payment of allowances to members designated by the temporary president, pursuant to the schedule of such allowances set forth in section 5-a of the legislative law	\$873,500	\$873,500	\$0
For personal service of employees and for temporary and expert services of majority leader and minority leader operations	\$8,522,400	\$8,820,872	\$298,472
For personal service of employees and for temporary and expert services of members' offices and of standing committees	\$25,868,839	\$26,775,149	\$906,310
For personal service of employees and for temporary and expert services for administrative support operations	\$12,630,249	\$13,072,907	\$442,658
For personal service of employees and for temporary and expert services for the senate student program office	\$423,738	\$438,569	\$14,831
For personal service of employees and for temporary and expert services for the senate select committee on interstate cooperation	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate special committee on the culture industry	\$78,983	\$78,983	\$0
For personal service of employees and for temporary and expert services for the senate select committee on the disabled	<u>\$116,150</u>	<u>\$116,150</u>	<u>\$0</u>
Total Personal Service	\$52,100,342	\$53,762,613	\$1,662,271

Title of Appropriation	Appropriated for 1998-1999	Requested for 1999-2000	Change
Nonpersonal Service			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 1998)			
Non-employee services	\$351,022	\$351,022	\$0
Supplies and Materials	\$2,150,000	\$2,200,000	\$50,000
Travel	\$1,300,000	\$1,300,000	\$0
Rentals	\$1,450,000	\$1,450,000	\$0
Equipment maintenance and repairs	\$1,400,000	\$1,400,000	\$0
Office and space leases	\$3,000,000	\$3,090,000	\$90,000
Utilities	\$800,000	\$800,000	\$0
Postage and shipping	\$3,600,000	\$3,700,000	\$100,000
Printing	\$300,000	\$300,000	\$0
Telephone and telegraph	\$2,480,000	\$2,630,000	\$150,000
Miscellaneous contractual services	\$425,000	\$425,000	\$0
Equipment	<u>\$2,800,000</u>	<u>\$2,950,000</u>	<u>\$150,000</u>
Total Nonpersonal Service	\$20,056,022	\$20,596,022	\$540,000
Maintenance Undistributed			
For services and expenses, including travel outside the state	<u>\$1,000,000</u>	<u>\$1,000,000</u>	<u>\$0</u>
Grand Total—The Senate	<u>\$73,156,364</u>	<u>\$75,358,635</u>	<u>\$2,202,271</u>

THE ASSEMBLY

Personal Service			
Members, 150, payment of salaries pursuant to section five of the legislative law	\$8,625,000	\$8,625,000	\$0
For payment of allowances to members designated by the speaker	\$1,153,000	\$1,153,000	\$0
For personal service of employees and for temporary and expert services of members' offices and of standing committees and subcommittees	\$25,897,850	\$26,804,289	\$906,439
For personal service of employees and for temporary and expert services for administrative and program support operations	\$29,438,194	\$30,468,551	\$1,030,357
For the Assembly Intern and Youth Participation Program for personal service of employees and for temporary and expert services	<u>\$729,733</u>	<u>\$755,274</u>	<u>\$25,541</u>
Total Personal Service	\$65,843,777	\$67,806,114	\$1,962,337
Nonpersonal Service			
For services and expenses of maintenance and operations (including liabilities incurred prior to April 1, 1998)			
Non-employee services	\$65,000	\$65,000	\$0
Supplies and Materials	\$2,232,000	\$2,312,000	\$80,000

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<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
Travel	\$2,376,000	\$2,426,000	\$50,000
Rentals	\$1,235,000	\$1,255,000	\$20,000
Equipment maintenance and repairs	\$1,440,000	\$1,470,000	\$30,000
Office and space leases	\$4,532,000	\$4,632,000	\$100,000
Utilities	\$654,000	\$669,000	\$15,000
Postage and shipping	\$3,400,000	\$3,600,000	\$200,000
Printing	\$108,000	\$108,000	\$0
Telephone and telegraph	\$2,440,000	\$2,490,000	\$50,000
Miscellaneous contractual services	\$653,000	\$673,000	\$20,000
Equipment	<u>\$990,000</u>	<u>\$1,080,000</u>	<u>\$90,000</u>
Total Nonpersonal Service	\$20,125,000	\$20,780,000	\$655,000
Maintenance Undistributed			
For services and expenses, including travel outside the state	<u>\$975,500</u>	<u>\$975,500</u>	<u>\$0</u>
Grand Total—The Assembly	<u>\$86,944,277</u>	<u>\$89,561,614</u>	<u>\$2,617,337</u>

SENATE FINANCE COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 1998).	\$4,806,553	\$4,951,248	\$144,695
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ASSEMBLY WAYS & MEANS COMMITTEE

For personal service, temporary and special services (including liabilities incurred prior to April 1, 1998).	\$4,806,553	\$4,951,248	\$144,695
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SENATE AND ASSEMBLY JOINT ENTITIES

LEGISLATIVE ETHICS COMMITTEE

For services and expenses of the legislative ethics committee pursuant to section 80 of the legislative law.	\$370,000	\$370,000	\$0
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NATIONAL CONFERENCE OF STATE LEGISLATURES

For a contribution to the National Conference of State Legislatures	\$259,116	\$259,116	\$0
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LEGISLATIVE HEALTH SERVICE

For services and expenses for the operation of the legislative health service	\$167,101	\$172,114	\$5,013
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LEGISLATIVE LIBRARY

For services and expenses and for temporary and special services for the operation of the legislative library .	\$691,879	\$712,635	\$20,756
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Title of Appropriation	Appropriated for 1998-1999	Requested for 1999-2000	Change
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LEGISLATIVE MESSENGER SERVICE

For services and expenses for the operation of the legislative messenger service	\$643,339	\$662,639	\$19,300
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LEGISLATIVE BILL DRAFTING COMMISSION

For services and expenses, temporary and special services, and for expenses of maintenance and operation

Schedule

Personal Service-Regular & Temporary	\$7,258,316	\$7,512,883	\$254,567
Nonpersonal Service	\$3,690,584	\$3,766,584	\$76,000
Legislative Digest Contract Administration	\$238,000	\$238,000	\$0
Legislative Printing Contract Administration	\$782,000	\$782,000	\$0
Total	\$11,968,900	\$12,299,467	\$330,567
Less Transfer from Legislative Computer Services Fund	(\$950,000)	(\$950,000)	\$0
Total available	\$11,018,900	\$11,349,467	\$330,567

LEG. TASK FORCE ON DEMOGRAPHIC RESEARCH AND REAPPORTIONMENT

Maintenance Undistributed

For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for senate purposes	\$309,591	\$318,879	\$9,288
For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for assembly purposes	\$309,591	\$318,879	\$9,288
For services and expenses (including liabilities incurred prior to April 1, 1998) of the task force for joint operations	\$869,356	\$895,436	\$26,080
Amount available	\$1,488,538	\$1,533,194	\$44,656
Grand Total—Senate and Assembly Joint Entities	\$14,638,873	\$15,059,165	\$420,292

**SPECIAL REVENUE FUND - OTHER
LEGISLATIVE COMPUTER SERVICES FUND**

For services and expenses of the legislative computer services fund	\$1,500,000	\$1,500,000	\$0
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**SENATE RECYCLABLE MATERIALS,
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the senate recyclable materials, information services and conference fund .	\$50,000	\$50,000	\$0
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<u>Title of Appropriation</u>	<u>Appropriated for 1998-1999</u>	<u>Requested for 1999-2000</u>	<u>Change</u>
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**ASSEMBLY RECYCLABLE MATERIALS,
INFORMATION SERVICES AND CONFERENCE FUND**

For services and expenses of the assembly recyclable materials, information services and conference fund .	\$50,000	\$50,000	\$0
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**GRANTS AND BEQUESTS FUND
LEGISLATURE**

THE SENATE

Maintenance Undistributed

For services and expenses relative to restoration of the Senate Chamber and other purposes as funded by non-state grants	\$250,000	\$250,000	\$0
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THE ASSEMBLY

Maintenance Undistributed

For services and expenses relative to restoration of the Assembly Chamber and other purposes as funded by non-state grants	\$250,000	\$250,000	\$0
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