



STATE OF NEW YORK  
UNIFIED COURT SYSTEM  
25 BEAVER STREET  
NEW YORK, NEW YORK 10004  
(212) 428-2160

**JONATHAN LIPPMAN**  
Chief Administrative Judge

**MICHAEL COLODNER**  
Counsel

January 23, 2003

Elena Ruth Sassower, Coordinator  
Center for Judicial Accountability, Inc.  
Box 69, Gedney Station  
White Plains, New York 10605-0069

Dear Ms. Sassower:

In response to your recent Freedom of Information Law ("FOIL") request, enclosed please find copies of the application forms concerning Certificated Judges and Judicial Hearing Officers. Please be advised that there are no corresponding application forms for Acting Supreme Court Justices, as such an assignment is made by order of the Chief Administrator of the Courts, pursuant to 22 NYCRR § 121.2.

Enclosed also please find copies of records responsive to your request for budget information pertaining to the Office of the Inspector General.

With respect to your request for records concerning the Commission on Judicial Conduct and a specific report prepared by the State Comptroller in 1989, please direct your request for such records to the Commission on Judicial Conduct, 801 Second Avenue, 13<sup>th</sup> Floor, New York, New York 10017, or to the New York State Comptroller, Alfred E. Smith State Office Building, Albany, New York, 12236.

Finally, with regard to your prior FOIL request, dated April 8, 2002, for records pertaining to the Housing Court Disciplinary Committee, we responded to that request by letter dated June 20, 2002 and provided you with records responsive to that request.

Very truly yours,

A handwritten signature in cursive script, appearing to read "S Kerby".

Shawn Kerby  
Assistant Deputy Counsel

**Application for Initial Designation as a Judicial Hearing Officer  
of the Unified Court System**

**To: The Chief Administrator of the Courts**

I, \_\_\_\_\_, hereby make application to be  
(Give full name)  
appointed as a Judicial Hearing Officer pursuant to Article 22 of the Judiciary Law and Part  
122 of the Rules of the Chief Administrator of the Courts (22 NYCRR Part 122).

**Home Address:** \_\_\_\_\_  
\_\_\_\_\_

**Telephone Numbers:**

**Home:** ( ) \_\_\_\_\_

**Date of Birth:** \_\_\_\_\_

**Business:** ( ) \_\_\_\_\_

I have served for at least one year as a judge or justice of a court of the Unified Court System, other than a town or village court, as follows:

<b>Court</b>	<b>County</b>	<b>Dates of Service</b>
_____	_____	_____
_____	_____	_____
_____	_____	_____

I no longer am serving as a judge or justice of a court of the Unified Court System, having left judicial office on \_\_\_\_\_, and not having been removed from  
(Give date)  
judicial office pursuant to section 22 of Article VI of the Constitution.

I (have) (have not) had action taken against me by the State Commission on Judicial Conduct or by a professional grievance or disciplinary body. I (have) (do not have) complaints or charges of which I am aware pending before such bodies [cross out inapplicable phrases; if answered affirmatively, describe on a separate page].

Although I understand that my assignments may relate to any type of proceeding, my preference is for assignments to proceedings in the substantive areas of: \_\_\_\_\_

I will be available to serve on a (full-time) (part-time)\* basis on the following panels [cross out inapplicable phrase]:

Court**	County or Counties
_____	_____
_____	_____
_____	_____
_____	_____

\* If you are able to serve only on a part-time basis, please indicate the nature of your availability: \_\_\_\_\_

\*\* Designation to New York City Criminal Court will be city-wide.

\_\_\_\_\_  
Signature

Sworn to before me this  
\_\_ day of \_\_\_\_, 19\_\_

\_\_\_\_\_  
Notary Public

TO:

**THE NEW YORK STATE COMMISSION ON JUDICIAL CONDUCT**

I, \_\_\_\_\_  
(please print name),

hereby consent to the release by the State Commission on Judicial Conduct to the Chief Administrator of the Courts, solely for use in the Judicial Hearing Officer designation process pursuant to part 122 of the Rules of the Chief Administrator, of any material relating to the making, investigation and determination of complaints against me handled by the Commission, other than records and proceedings where the complaints were dismissed as unproven or unmeritorious and a letter of dismissal and caution was not issued.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**APPLICATION FOR CERTIFICATION**

**AS A RETIRED**

**JUSTICE OF THE SUPREME COURT**

**TO: The Administrative Board of the Courts**

I, \_\_\_\_\_  
being a resident of the County of \_\_\_\_\_ in  
the \_\_\_\_\_ Judicial District, and being a Justice of the Supreme Court  
from said Judicial District, am eligible to apply to the Administrative Board of the Courts  
of the State of New York for certification as a retired Justice of the Supreme Court,  
effective January 1, 2003.

I hereby make such application, and I signify my consent, to become effective  
on January 1, 2003, to act as a retired Justice of the Supreme Court pursuant to Article  
VI, Section 25, of the State Constitution.

\_\_\_\_\_

I do not wish to apply for certification.

\_\_\_\_\_

**Dated:** \_\_\_\_\_

**To the New York State Commission on Judicial Conduct:**

I, \_\_\_\_\_ (Please print name),

hereby consent to the release by the State Commission on Judicial Conduct to the Administrative Board of the Courts, solely for use in the certification process pursuant to section 115 of the Judiciary Law, of any material relating to the making, investigation and determination of complaints against me handled by the Commission, other than records and proceedings where the complaints were dismissed as unproven or unmeritorious and a letter of dismissal and caution was not issued.

\_\_\_\_\_

Dated:

**State of New York Unified Court System  
Budget Request for Fiscal Year 2003-04**

	Current Allocation	Ct/Agency Request	Requested Change	Percent Change	Review Agency Recommendation	Change Requested	Percent Change
<b><u>COURT SUPPORT SERVICES</u></b>							
<b><u>050 COURT SUPPORT SERVICES</u></b>							
<b>126173 INTERNAL AFFAIRS - CSS</b>							
<b>41 PERSONAL SERVICE REGULAR</b>							
41103 PERMANENT POSITION - NON-JUDICIAL	580,005	580,005	0	0.0%	580,005	0	0.0%
41114 GENERAL SALARY INCR - NON-JUDICIAL	33,237	33,237	0	0.0%	33,237	0	0.0%
41132 LOCATION PAY	9,600	9,600	0	0.0%	9,600	0	0.0%
<b>41 PERSONAL SERVICE REGULAR</b>	<b>\$622,842</b>	<b>\$622,842</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$622,842</b>	<b>\$0</b>	<b>0.0%</b>
<b>53 SUPPLIES AND MATERIALS</b>							
53660 OFFICE SUPPLIES	0	0	0	0.0%	0	0	0.0%
53669 LEGAL REFERENCE - GENERAL	2,000	2,000	0	0.0%	2,000	0	0.0%
53690 MISC SUPPLIES AND MATERIALS	2,500	2,500	0	0.0%	2,500	0	0.0%
<b>53 SUPPLIES AND MATERIALS</b>	<b>\$4,500</b>	<b>\$4,500</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$4,500</b>	<b>\$0</b>	<b>0.0%</b>
<b>54 TRAVEL</b>							
54150 TRAVEL GENERAL	10,275	10,275	0	0.0%	10,275	0	0.0%
<b>54 TRAVEL</b>	<b>\$10,275</b>	<b>\$10,275</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$10,275</b>	<b>\$0</b>	<b>0.0%</b>



## State of New York Unified Court System Budget Request for Fiscal Year 2003-04

	Current Allocation	CU/Agency Request	Requested Change	Percent Change	Review Agency Recommendation	Change Requested	Percent Change
<b>55 UTILITIES AND CONTRACT SERVICES</b>							
55200 REPAIRS OF EQUIPMENT	0	0	0	0.0%	0	0	0.0%
55450 CONFERENCES/TRAINING	0	7,000	7,000		7,000	7,000	10000.0%
55600 POSTAGE AND SHIPPING CHARGES	0	10,000	10,000		10,000	10,000	10000.0%
55810 EDP TELECOMMUNICATION CHARGES	0	0	0	0.0%	0	0	0.0%
55935 SUBSCRIPTIONS	0	200	200		200	200	10000.0%
55961 OTHER GENERAL SERVICES	20,500	20,500	0	0.0%	20,500	0	0.0%
55978 COMPUTER ASSISTED LEGAL RESEARCH	1,000	1,200	200	20.0%	1,200	200	20.0%
<b>55 UTILITIES AND CONTRACT SERVICES</b>	<b>\$21,500</b>	<b>\$38,900</b>	<b>\$17,400</b>	<b>80.9%</b>	<b>\$38,900</b>	<b>\$17,400</b>	<b>80.9%</b>
<b>57 EQUIPMENT</b>							
57220 EQUIPMENT NEW - GENERAL	0		0	0.0%	0	0	0.0%
57240 EQUIPMENT (FINANCED)	0	500	500		500	500	10000.0%
<b>57 EQUIPMENT</b>	<b>\$0</b>	<b>\$500</b>	<b>\$500</b>	<b>100.0%</b>	<b>\$500</b>	<b>\$500</b>	<b>100.0%</b>
<b>INTERNAL AFFAIRS - CSS</b>	<b>\$659,117</b>	<b>\$677,017</b>	<b>\$17,900</b>	<b>2.7%</b>	<b>\$677,017</b>	<b>\$17,900</b>	<b>2.7%</b>

**State of New York Unified Court System  
Budget Request for Fiscal Year 2003-04**

	Current Allocation	CU/Agency Request	Requested Change	Percent Change	Review Agency Recommendation	Change Requested	Percent Change
<b>126212 SPEC IG FOR FIDUCIARY MATTERS</b>							
<b>41 PERSONAL SERVICE REGULAR</b>							
41114 GENERAL SALARY INCR - NON-JUDICIAL	20,105	20,105	0	0.0%	20,105	0	0.0%
41132 LOCATION PAY	4,800	4,800	0	0.0%	4,800	0	0.0%
<b>41 PERSONAL SERVICE REGULAR</b>	<b>\$24,905</b>	<b>\$24,905</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$24,905</b>	<b>\$0</b>	<b>0.0%</b>
<b>42 TEMPORARY SERVICE</b>							
42100	20,105	331,734	311,629	1550.0%	331,734	311,629	1550.0%
<b>42 TEMPORARY SERVICE</b>	<b>\$20,105</b>	<b>\$331,734</b>	<b>\$311,629</b>	<b>1550.0%</b>	<b>\$331,734</b>	<b>\$311,629</b>	<b>1550.0%</b>
<b>53 SUPPLIES AND MATERIALS</b>							
53660 OFFICE SUPPLIES	2,000	2,000	0	0.0%	2,000	0	0.0%
53661 EDP SUPPLIES	0	0	0	0.0%	0	0	0.0%
53690 MISC. SUPPLIES AND MATERIALS	0	0	0	0.0%	0	0	0.0%
<b>53 SUPPLIES AND MATERIALS</b>	<b>\$2,000</b>	<b>\$2,000</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$2,000</b>	<b>\$0</b>	<b>0.0%</b>

**State of New York Unified Court System  
Budget Request for Fiscal Year 2003-04**

	Current Allocation	CU/Agency Request	Requested Change	Percent Change	Review Agency Recommendation	Change Requested	Percent Change
<b>54 TRAVEL</b>							
54150 TRAVEL GENERAL	10,000	10,000	0	0.0%	10,000	0	0.0%
<b>54 TRAVEL</b>	<b>\$10,000</b>	<b>\$10,000</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$10,000</b>	<b>\$0</b>	<b>0.0%</b>
<b>55 UTILITIES AND CONTRACT SERVICES</b>							
55935 SUBSCRIPTIONS	0	0	0	0.0%	0	0	0.0%
55978 COMPUTER ASSISTED LEGAL RESEARCH	5,000	5,000	0	0.0%	5,000	0	0.0%
<b>55 UTILITIES AND CONTRACT SERVICES</b>	<b>\$5,000</b>	<b>\$5,000</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$5,000</b>	<b>\$0</b>	<b>0.0%</b>
<b>57 EQUIPMENT</b>							
57220 EQUIPMENT NEW - GENERAL	0		0	0.0%	0	0	0.0%
<b>57 EQUIPMENT</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>0.0%</b>	<b>\$0</b>	<b>\$0</b>	<b>0.0%</b>
<b>SPEC IG FOR FIDUCIARY MATTERS</b>	<b>\$62,010</b>	<b>\$373,639</b>	<b>\$311,629</b>	<b>502.5%</b>	<b>\$373,639</b>	<b>\$311,629</b>	<b>502.5%</b>
<b>TOTAL PROGRAM</b>	<b>\$721,127</b>	<b>\$1,050,656</b>	<b>\$329,529</b>	<b>45.7%</b>	<b>\$1,050,656</b>	<b>\$329,529</b>	<b>45.7%</b>
<b>GRAND TOTAL</b>	<b>\$721,127</b>	<b>\$1,050,656</b>	<b>\$329,529</b>	<b>45.7%</b>	<b>\$1,050,656</b>	<b>\$329,529</b>	<b>45.7%</b>

Report by District / Cost Center

1/15/2003

Line No.	Title	Grade	Perm/Temp	Underfill	Salary	Incumbent	
<b>DISTRICT</b>		<b>021</b>					
<b>Cost Center</b>		<b>126173</b>	<b>INTERNAL AFFAIRS - CSS</b>				
69002	SPC CNSL INSP GNRL*	NS	Perm		\$112,872	GALLAGHER, WILLIAM J	
V 69005	SPEC IG BIAS COMP	NS	Perm		\$93,442		
69008	AST DEP CNSL	31	Perm		\$80,043	PORTER, KAYANN	
69020	PRIN MNGT ANAL	30	Perm	U	\$73,109	PIAZZA, ROBERT J	
69022	INVSCTR	23	Perm		\$72,194	ARZOLA, ELIZABETH	
69030	SR ADMNV SECY	19	Perm	U	\$45,252	BYRNE, MARIANNE	
69040	AST CT ANAL	16	Perm		\$37,229	MOY, EVA	
69753	INVSCTR	23	TEMP		\$51,858	VALLELY, BRENDAN M	
126173	Cost Center Count	8	Cost Center Salary Sum		\$565,999	Remaining FY Value	\$115,061
021	District Count	8	District Salary Sum		\$565,999	Remaining FY Value	\$115,061
PP 21	<b>Total Count</b>	<b>8</b>	<b>Total Salaries</b>		<b>\$565,999</b>	<b>Remaining FY Value</b>	<b>\$115,061</b>

Report by District / Cost Center

1/15/2003

Line No. Title Grade Perm/Temp Underfill Salary Incumbent

**DISTRICT 021**

**Cost Center 126212 SPEC IG FOR FIDUCIARY MATTERS**

72102	SPEC IG FDCRY APPT	NS	TEMP		\$119,025	SPATZ, SHERRILL R
72103	DEP INSP GNRL	32	TEMP		\$84,568	HAMM, CAROL M
72104	AST DEP CNSL	31	TEMP		\$80,640	O'FLANAGAN, WILLIAM A
72105	CT ANAL	18	TEMP		\$43,742	DIAZBACENET, MARIE E

126212	Cost Center Count	4	Cost Center Salary Sum	\$327,975	Remaining FY Value	\$66,673
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021	District Count	4	District Salary Sum	\$327,975	Remaining FY Value	\$66,673
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PP 21	Total Count	4	Total Salaries	\$327,975	Remaining FY Value	\$66,673
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SEP 16 2002

Yelko



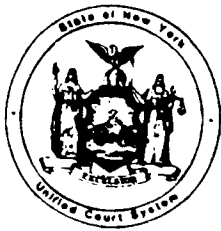
M E M O R A N D U M

To: Joe DeChants  
From: Carol Hamm *CH*  
Date: September 12, 2002  
Re: Inspector General's Office Budget for 2003/2004

*With 14  
major*

*TPS ACCEPTED  
FRI 9/26 212  
DUES NOT MATTER  
3003  
SYSTEM*

I am sending you a copy of the budget I have submitted to Judge Pfau. I have also forward to Mary Kate Owens the ABS files via e-mail. Hopefully, all of this is correct. This my first try at doing a budget. If there is any problems you can contact me at (212) 428-2136.



STATE OF NEW YORK  
**UNIFIED COURT SYSTEM**  
OFFICE OF COURT ADMINISTRATION  
25 BEAVER STREET  
NEW YORK, NEW YORK 10004  
(212) 428-2110  
FAX (212) 428-2199

**JONATHAN LIPPMAN**  
Chief Administrative Judge

**SHERRILL SPATZ**  
Inspector General

September 12, 2002

**MEMORANDUM**

To: Honorable Ann Pfau  
From: Sherrill Spatz  
Re: 2003/2004 Budget Request

Attached is the 2003/2004 budget request from the office of the Inspector General.

Attachments  
cc: Joe DeChants

## INSPECTOR GENERAL'S OFFICE 2003-2004 Budget Request

In March 2002, the Unified Court System's three investigative offices -- The Office of Inspector General, the Office of Special Inspector General for Fiduciary Appointments and the Office of the Special Inspector General for Bias Matters were consolidated into one office -- Office of Inspector General. Although it is presently one office there are still two separate cost center numbers (126173 and 126212). All of the individuals hired under The Special Inspector General's Office for Fiduciary Matters (Cost Center 126212) are listed as temporary personnel. In the near future this will be changed and the cost centers will be consolidated. However, for purposes of this budgetary request it should be considered a single entity.

The budget request for the Office of the Inspector General consists of the following categories; (1) personal service, (2) non-personal service, (3) a budget summary, (4) a workload analysis, (5) a statement of the program goals and objectives, and (6) the organizational chart.

### Personal Service

The personal service request for all three investigative offices includes funding for thirteen(13) positions. Of these, only eleven(11) positions are filled. The two(2) vacant positions are for one(1) investigator (JG 523) and one(1) attorney. The fourteenth position is funded by a line from the New York City Criminal Court Payroll.

In prior budget proposals both the Office of Inspector General and the Special Inspector General for Bias Matters requested funding for one ~~new investigator~~. This year the request was granted and we were authorized to hire two(2) additional investigators. Presently, one investigator has been hired and we are interviewing candidates for the second investigative position. Additionally, there was a vacancy created when an attorney from the Special Inspector General's Office for Bias Matters resigned.

With these two(2) additional investigators we will be able to significantly eliminate the backlog of cases. In prior years, the office has devoted many hours and resources to certain ongoing complex investigations. For example, the office since 1999 has been conducting an investigation into the unauthorized access to the Criminal History Record Search (CHRS) database in numerous counties. This investigation entails interacting with court personnel in each county, contacting state sources and conducting extensive surveillance.

As a result of this investigation, in March 2001, OCA was able to recoup \$495,168 from one company involved in the unauthorized obtaining of criminal history information from OCA's database. Additionally, we reached an agreement with another



company, which had also obtained unauthorized criminal history information. This company has paid OCA \$10,000 and will continue to pay OCA \$10,000 per year for the next nine years.

**Non-Personal Service**

(1) Item: Travel

Cost: \$5,000.00 ✓

Justification: Statewide travel will be involved in investigating complaints and representing the office at meetings and presentations.

(2) Item : Training

Cost: \$7,000.00 ✓

Justification: Each member of the investigative staff has taken training classes. The subjects include the following areas; (1) investigative techniques, (2) investigating computer related misconduct, (3) grammar and composition, (4) sexual harassment and (5) managing projects and meeting deadlines. These courses allow us to maximize the staff's ability to work more efficiently and productively. Consequently, our ability to carry out the goals of the Inspector General's Office has improved. We will continue to afford staff training opportunities to enhance their professional skills as the work schedule permits. This upcoming year we will need to provide training for two(2) new investigators. Also, given the nature of our bias investigations and the specific areas of the law it involves, specialized training is necessary.

(3) Item: **Cross-Reference Search Service** - OTHER SERVICES

Cost: \$1,000.00 annually

Justification: A cross reference directory contain residential and business telephone and address listings. The directory is used to locate a complainant, victim or witness by telephone number, address or name. The continued use of this service allows the office to conduct investigations in a more efficient and effective manner.

(4) Item: **Forensic Expert** - OTHER SERVICES  
Cost: \$2,000.00

Justification: Certain investigations, as in the past, may require expert examination of documents, judgments, etc.

(5) Item: **General Investigative Supplies** ✓ MISC SUPPLIES  
Cost: \$2,500.00

Justification: During the course of a year, it is necessary to purchase the following items for the purpose of conducting official investigations:

- (1) Film, 35MM, VHS, and Spectra.
- (2) Cassette tapes.
- (3) Various items to support surveillance operations, tape, door molding, etc.

(6) Item: **Investigative Surveillance Equipment** - EQUIP.  
**Z Box - 2**  
**Hi-8MM Compact Video Recorder**  
Cost: \$1,125.00

Justification: This equipment will provide greater flexibility to conduct video recordings during surveillance operations.

(7) Item: **Investigative Surveillance Equipment** - EQUIP.  
**WAT.902C 1/2 Image Sensor**  
Cost: \$269.00

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

(8) Item: **Investigative Surveillance Equipment** - EQUIP.  
**Sigma 170-500 MM Lens for 35 MM Canon Camera**  
Cost: \$619.00

Justification: this equipment will provide greater flexibility to take photographs during surveillance operations.

- (9)           Item:           **Investigative Equipment**  
                                  **SME-SMD2 Stereo Digital Body Microphone,**  
                                  **Recorder & Equipment**
- Cost:           \$589.00

Justification: This equipment will provide greater flexibility to conduct a recording during investigative operations.

- (10)           Item:           **Investigative Equipment**  
                                  **SME ICD-MS515**  
                                  **Digital Memory Stick Recorder**  
                                  **With Software**
- Cost:           \$245.00

Justification: This equipment will provide greater flexibility to conduct a recording during investigative operations.

- (11)           Item:           **Investigative Equipment**  
                                  **Unitel 1225 Wireless Audio Receiver**  
                                  **PST 120 Wireless Audio transmitter**
- Cost:           \$3,690.00

Justification: This equipment will provide greater flexibility to conduct a recording during investigative operations.

- (12)           Item:           **Investigative Surveillance Equipment**  
                                  **Covert Video Cameras - three(3)**
- Cost:           \$300.00 (\$100.00 each)

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

- (13)           Item:           **Investigative Equipment**  
                                  **Axis 2401 Internet Video Server**
- Cost:           \$700.00

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

(14) Item: **Investigative Equipment**  
**ST-101B**  
**Wireless Video Transmitter and receiver**

Cost: \$418.95

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

(15) Item: **Investigative Equipment**  
**Panasonic CT-27G6**  
**27" Color Television**

Cost: \$289.99

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

(16) Item: **Investigation Equipment**  
**Dell 6x240PC**  
**PC with added memory and CD burner**

Cost: \$1,400.00

Justification: This equipment will provide greater flexibility to conduct surveillance operations.

(17) Item: **Research Material and Tools**  
**Legal Research and Employment**  
**Discrimination Reference Manuals**

Cost: \$2,000.00

Justification: In order to effectively conduct investigations and properly train UCS employees regarding bias and discrimination matters we must have the most current legal mandates.

(18) Item: **Outside Consultants - OTHER SERVICES**

Cost: 10 days at \$250.00 per day = \$2,500.00

Justification: In special circumstances, a sensitive case may require that outside consultants be brought in to provide mediation and/or specific anti-bias training. This would be coordinated with the Office of Workforce Diversity.

(19)           Item:           **Public Information/Outreach  
to Public and Courts**

Cost:           Printing - \$7,500.00  
                  Postage - \$6,000.00

Justification: In order to continue to publicize the work of this office to members of the public and employees, mailings, brochures and press materials will continue to be prepared for mass distribution. This will include updated harassment and anti-bias policy statements and reporting protocols.

**WORKLOAD ANALYSIS  
2003-2004 BUDGET REQUEST  
SUMMARY  
COST CENTERS 126212 & 126173**

**Personal Service**

Current Positions 13

**Non-Personal Service**

Employee travel (public transportation, meals lodging, mileage, etc.)	\$ 5,000.00
Training	\$ 7,000.00 ✓
Cross Reference Service	\$ 1,000.00 ✓
Forensic Expert	\$ 2,000.00 ✓
General Investigative Supplies	\$ 2,500.00 ✓
Hi-8MM Compact Video Recorder	\$ 1,125.00 - EQUIP.
WAT .902C ½ Image Sensor	\$ 269.00 - EQUIP.
Sigma 170-500 MM Lens for 35 MM Canon Camera	\$ 619.00 - EQUIP.
SME-SMD2 Stereo Digital Body Microphone, Recorder and Equipment	\$ 589.00 - EQUIP.
SME ICD-MS515 Digital Memory Stick Recorder with Software	\$ 245.00 - EQUIP.
Unitel 1225 Wireless Audio Receiver PST 120 Wireless Audio Transmitter	\$ 3,690.00 - EQUIP.
Covert Video Camera (3)	\$ 300.00 - EQUIP.
Axis 2401 Internet Video Server	\$ 700.00 - EQUIP.
ST-101B Wireless Video Transmitter and Receiver	\$ 418.95 - EQUIP.

Panasonic CT-27G6 27" Color Television	\$	289.99	Equip
Research Material and Tools	\$	2,000.00	✓
Outside Consultants	\$	2,500.00	✓
Public Information/Outreach to Public and Courts	\$	<u>13,500.00</u>	✓
<b>Total</b>	\$	43,745.94	

+ Investigation Equip (DELL PC)

+ 1,400.00

Automation

45,145.94

8,245.94

# WORK LOAD ANALYSIS 2003-2004 BUDGET REQUEST

OCA Dept/Div./Off.: Inspector General's Office

## Investigations

In 2001, this office closed 186 investigations. Although the number of opened investigations (213) decreased by approximately 7% from the previous year, the number of pending investigations (209) has increased 15%. This increase can partly be attributed to the number of complex investigations which require work on a daily basis. However, the recent addition of one investigator as well as the hiring of another in the near future will allow us to begin to eliminate the backlog of open investigations.

## Additional Activities

In addition to the time devoted to the primary mission of the office, conducting investigations, a significant amount of effort is devoted to the following:

- ▶ **Letters of Complaint.** Although each office must naturally respond to mail, this task often requires the office to interact with court officials statewide to review procedures and provide a response to a member of the public who is unsatisfied with a court operation. While these complaints do not require an official investigation, they require a great deal of effort to properly respond. This includes carefully reviewing many voluminous documents, letters, and speaking with court officials statewide.
- ▶ **Telephone Inquiries.** The Inspector General staff responds to continuous calls from members of the public seeking information regarding court operations, clarifications on the jurisdiction of the office, information regarding functions of outside agencies, etc.
- ▶ **Unusual Occurrence Reports.** The office reviews Unusual Occurrence Reports completed by court officers. The review of these reports allows the office to identify trends which may indicate problem areas in certain court operations. Investigations are also initiated based on the review of incident reports. In 2001-2002, approximately 2,500 incident reports were reviewed.



## **WORK LOAD ANALYSIS 2003-2004 BUDGET REQUEST**

OCA Dept/Div./Off.: Special Inspector General's Office  
For Bias Matters

The goal of this office is to maintain an independent statewide office charged full-time with conducting audits, evaluations and confidential investigations regarding allegations of bias based on race, color, creed, sex (including sexual harassment), sexual orientation, age, marital status, disability, national origin or religion that affect the workplace or the terms and condition of employment of Unified Court System personnel, including acts that relate to services provided by court system personnel to the public. In 2001, this office received 179 complaints. This was an increase of approximately 52% from the previous year. During the first 7 months of 2002 this office has received 123 complaints.

In addition to conducting investigations when serious allegations of bias are reported the Bias Unit also handles the following:

- ▶ Develops a comprehensive ADR program whereby complainants and subjects can consent to expeditiously mediate matters with a trained EEO/mediation professional.
- ▶ Oversees the UCS's policies, procedures and guidelines in the reporting of bias and discrimination matters, and providing periodic updates and revisions in accordance with the most current legal mandates and ensuring the distribution of revised UCS policies, procedures and guidelines to all court employees.
- ▶ Assists the Office of Workforce Diversity, Office of Career Services and the Office of Education and Training by providing training to UCS employees in accordance with the most current Legal mandates:
- ▶ Works with the Office of Workforce Diversity, Counsel's Office, and Employee Relations in providing employees and judiciary members advice as to how to attain the highest compliance with state and federal laws and UCS protocols and guidelines.
- ▶ Serves as a liaison with UCS fraternal organizations, the Franklin H. Williams Judicial Commission on Minorities, the UCS Judicial Commission on Women in the Courts, the UCS Committee on Disability Issues, and other state and federal agencies and labor and employment law offices that specialize in this area in order to maintain the most comprehensive, current and stringent guidelines and protocols.

## WORK LOAD ANALYSIS 2003-2004 BUDGET REQUEST

OCA Dept/Div./Off.: Special Inspector General's Office  
For Fiduciary Matters

In January 2000, this office was created by Chief Judge Judith S. Kaye to monitor fiduciary appointments and compliance with their governing rules. These rules cover when individuals are eligible to receive fiduciary appointments and also limits the number of compensated appointments permitted. The rules also mandate the submission to court administrators of information related to appointments made and compensation received. The Special Inspector General also investigates complaints concerning fiduciary appointments and evaluates and makes recommendations to enhance and improve existing rules for the appointment of fiduciaries.

In December 2001, after a two year investigation this office released a comprehensive report on fiduciary appointments. The report was based on an extensive statewide investigation, involving hundreds of interviews and examination of thousands of court files, by our office and the Internal Auditing Unit. This office has also conducted numerous investigations of complaints of the handling of matters by fiduciaries.

In addition to the time devoted to the work on the investigative report and conducting investigations, the office also handles the following:

- ▶ Continuously audits and monitors court cases statewide which involve fiduciary appointments.
- ▶ Responds to telephone and letter inquires from members of the public, fiduciary appointees or other affected individuals who are seeking information regarding the clarification of rules of the court as to fiduciary appointments.
- ▶ Assists the UCS fiduciary clerks and court personnel and provides training as to current governing rules of the court to ensure compliance by fiduciary appointees.

## WORKLOAD ANALYSIS 2003-2004 OCA BUDGET REQUEST

OCA Dept. Div. Off.: Inspector General's Office

Investigations	(1) Actual <u>2000-2001</u>	(2) Actual <u>2001-2002</u>	(3) Projected <u>2002-2003</u>	(4) Projected <u>2003-2004</u>
Beginning Balance	169	182	200	180
Opened	230	213	268	281
Closed	217	186	225	250
Ending Balance	182	209	243	211
<b>Opened Investigations</b>				
Misconduct	27	9	33	34
Conduct Unbecoming	9	5	11	12
Civilian Complaint	1	0	1	1
Excessive Force	2	6	2	3
Assault on Inmate	1	1	1	1
Conflict of Interest	0	1	1	1
Incompetence/failure to perform	1	0	0	0
Worker's Compensation	1	0	1	1
Assault	11	4	12	13
Substance Abuse	1	1	1	1
Arrest of Employee	41	48	40	41
Civilian Complaint - Off-Duty incident	1	1	1	1
Shooting - Off-Duty	0	1	0	0
Altercation - Off-Duty	2	1	2	2
Domestic Disputes	9	7	15	15

Investigations	(1) Actual <u>2000-2001</u>	(2) Actual <u>2001-2002</u>	(3) Projected <u>2002-2003</u>	(1) Projected <u>2003-2004</u>
Substance Abuse - Off-Duty incident	1	0	1	1
Time and Leave	2	7	2	2
Allegations of Corruption/Graft	4	1	6	7
Freelance Outside Employment	3	2	3	3
Favoritism	1	1	1	1
Employee Complaint	1	1	1	1
Bias Complaint	2	0	2	2
Sexual Misconduct	1	1	1	1
Fraud	24	14	27	28
Stolen Firearm	1	0	1	1
Menacing (firearm violation)	1	0	1	1
Failure to Safeguard Firearm	0	4	0	1
Firearm Discharge	1	0	1	1
ID Card Fraud	1	0	1	1
Shield & ID Card Fraud	1	0	1	1
Loss/Theft Missing/Misappropriation	1	2	1	1
Missing Documents	3	1	3	3
Stolen Property	1	0	1	1
Attorney Misconduct	0	1	0	1
Illegal act on Court Premises	0	1	0	1
Threats	0	5	0	0
Background Checks (Employment)	0	5	8	9
Background Checks (NCIC)	67	79	72	74
Computer Fraud	2	0	5	5

Investigations	(1) Actual <u>2000-2001</u>	(2) Actual <u>2001-2002</u>	(3) Projected <u>2002-2003</u>	(1) Projected <u>2003-2004</u>
Computer Tampering	2	2	3	6
Outside Agency Inquiries	1	0	2	0
Investigative Assistance Inter-Agency	2	1	3	2
<b>Total</b>	230	213	268	281
<b>Complaint Correspondence</b>				
Received	114	145	125	130
Responded to	114	145	125	130

# WORKLOAD ANALYSIS

## 2003-2004 OCA BUDGET REQUEST

OCA Dept./Div./Off.: Special Inspector General's Office  
for Bias Matters

Investigations	(1) Actual <u>2000</u>	(2) Actual <u>2001</u>	(3) Projected <u>2002</u>
Sex (including Sexual Harassment)	35	31	34
Race	18	27	28
Religion	6	6	6
Disability	5	8	7
Sexual Orientation	4	1	4
Age	1	3	2
National Origin	1	1	1
Race, Age, Color, National Origin & Marital Status	1	0	1
Race & Gender	1	0	1
Race & Sexual Orientation	1	0	0
Race, Gender & Disability	1	0	0
Age, National Origin	1	0	0
Color, National Origin & Religion	1	0	0
Age & Religion	1	0	0
Age & Disability	0	1	1
Sex & Disability	0	1	1
Race, Sex & Disability	0	1	1
Other	40	99	110
<b>TOTAL</b>	118	179	197

