

Chapter 2

The Administration of the Courts

Court Administration

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* (or 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 administrative standards and policies after consultation with the Administrative Board and approval by the Court of Appeals.

The *Court of Appeals and the Appellate Divisions* are responsible for the administration of their respective courts. The Appellate Divisions also oversee several appellate auxiliary operations: candidate fitness, attorney discipline, assigned counsel, law guardians, and the Mental Hygiene Legal Service.

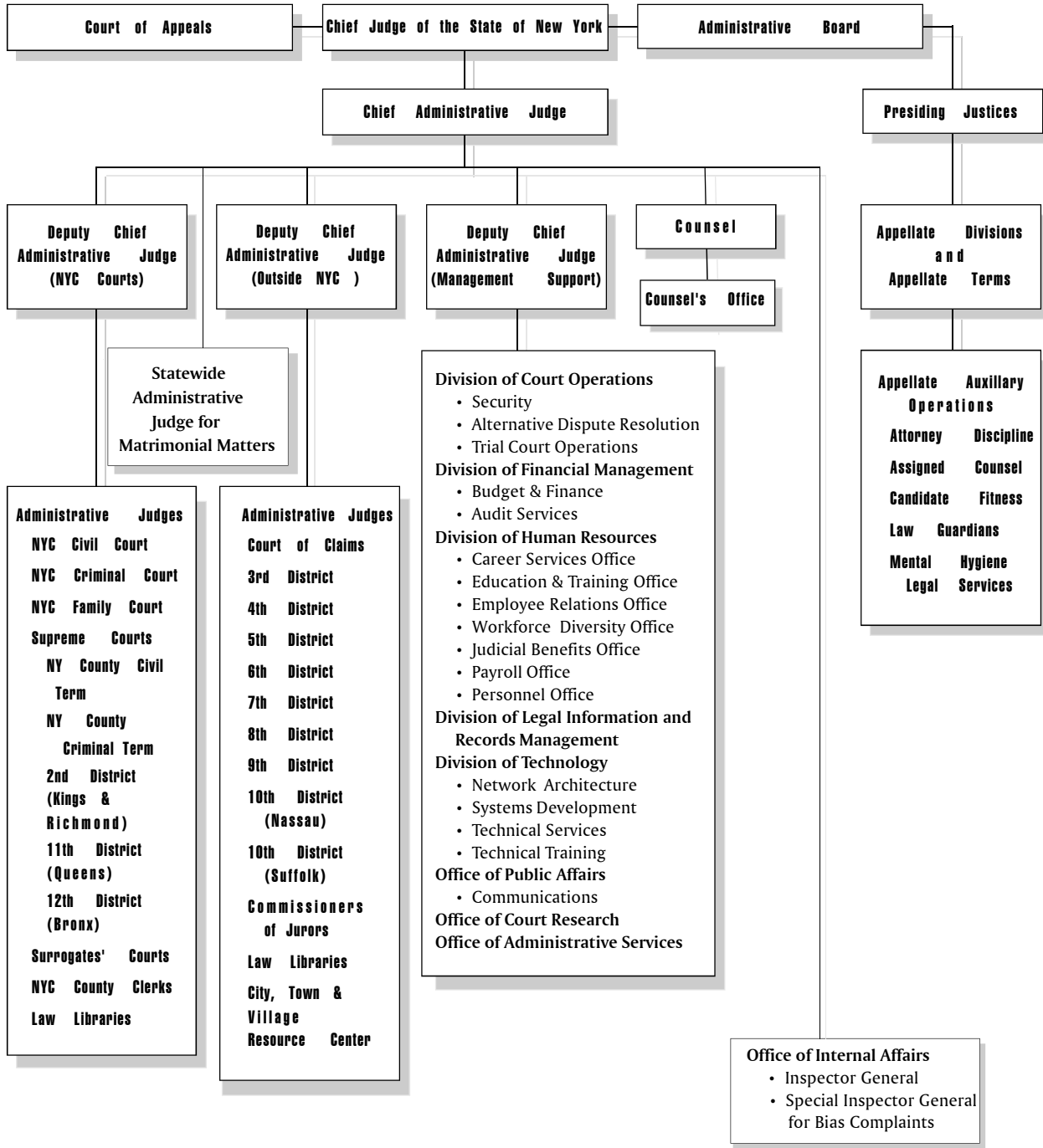
The *Chief Administrator*, on behalf of the Chief Judge, is responsible for supervising the administration and operation of the trial courts and for establishing and directing an administrative office for the courts – the Office of Court Administration (OCA). In this task, the Chief Administrator is assisted by two Deputy Chief Administrative Judges who supervise the day-to-day operations of the courts – one for New York City and one for the courts outside of New York City; a Deputy Chief Administrator, who is responsible for the operations of the divisions and offices that comprise the Office of Management Support; a Statewide Administrative Judge for Matrimonial Matters; and a Counsel, who directs

the legal and legislative work of the Counsel's Office.

In addition to the overall supervisory duties of the two Deputy Chief Administrative Judges, responsibility for on-site management of the trial courts and agencies is vested in local Administrative Judges. In each judicial district outside New York City, there is a District Administrative Judge who is responsible for supervising all courts and agencies. In New York City, an Administrative Judge supervises each of the major courts. The Administrative Judges manage court caseloads and are responsible for general administrative functions, including personnel and budget administration.

The *Office of Management Support* provides the administrative services required to support all court and auxiliary operations. In 1998, in recognition of the expansion and increased diversification of the tasks being carried out, there was a major restructuring of the Office designed to increase efficiency and enhance the delivery of services to the courts. Five separate Divisions were established: the Division of Court Operations, overseeing security, trial court operations and alternative dispute resolution programs; the Division of Financial Management, responsible for the Judiciary budget; the Division of Human Resources, encompassing personnel administration, payroll operations and benefits, employee relations, judicial benefits, education and training, professional development and the workforce diversity office; the Division of Legal Information and Records Management; and the Division of Technology. Four Offices also were created: the Office of Administrative Services; the Office of Court Research, providing caseload activity statistics and related services; the Office of Internal Affairs, performing internal audits and investigations; and the Office of Public Affairs.

**Figure 12
UNIFIED COURT SYSTEM
Administrative Structure**



Also included under the direction of the Office of Management Support are a Facilities Unit, Special Projects Unit and the Center for Court Innovation. (The work of a number of these support units during 1998 is highlighted later in this and the following chapters.)

Counsel's Office prepares and analyzes legislation, represents the UCS in litigation, and provides various other forms of legal assistance to the Chief Administrator. The legislative work of Counsel's Office during 1998 is reported in Chapter 4. (See Figure 12 for a diagram of the administrative structure of the UCS.)

The Chief Judge and the Chief Administrator also rely on a number of advisory groups in meeting their administrative responsibilities. Among these are the Judicial Conference, the Advisory Committee on Civil Practice, the Advisory Committee on Criminal Law and Procedure, the Family Court Advisory and Rules Committee, the Local Courts' Advisory Committee, and the Surrogate's Court Advisory Committee. The work of the Advisory Committees during 1998 is summarized in Chapter 4.

Court officials have established other committees or commissions, such as: the Franklin H. Williams Judicial Commission on Minorities, the Permanent Judicial Commission on Justice for Children, the New York Judicial Committee on Women in the Courts, the Ethics Commission for the Unified Court System, the Pro-Bono Monitoring Committee, the Criminal Pattern Jury Instructions Committee, and the Advisory Committee on Judicial Ethics. The accomplishments of some of these groups during 1998 are outlined elsewhere within this Report.

The Division of Financial Management

The Division of Financial Management is responsible for the preparation, review and implementation of the Judiciary budget. It also develops and promulgates, after approval, fiscal policies and procedures and other related functions. In addition, it supports the UCS's goals and objectives by requesting and allocating the necessary funds to carry them out.

The UCS's budget is based upon a fiscal year that runs from April 1 through March 31 of the following year. Each year, the budget is presented by the Chief Administrative Judge to the Court of Appeals for approval and for certification by the Chief Judge. After certification, it is transmitted to the Governor for inclusion in the State budget. Although the budget is to be submitted by the Governor without revision, recommendations may be included as deemed appropriate by the Governor.

The budget request prepared by the UCS is divided into two parts, covering personal services (salaries for judges and nonjudicial personnel) and nonpersonal services (all other expenses, including equipment, supplies, etc.). Over 80% of the budget is allocated to the payment of personal services.

The budget request submitted for the 1998-99 fiscal year was approved by the Legislature with only minor adjustments. A total of \$1.1 billion was appropriated for court and agency operations, reflecting a 9.6% increase over the previous year's allocation. This budget provides funding for 387 new positions for specific targeted initiatives in areas including family justice, domestic violence, Housing Court and civil justice. These positions support initiatives including night Family Court and a satellite Family Court in Queens to provide more convenient access for all citizens; an adoption fast track; Family Treatment Courts to address the growing problem of drug abuse and child neglect; dedicated Domestic Violence Parts; and comprehensive reforms to be implemented in the New York City Housing Court. The funding will continue, undiminished, to support the operational capacity of trial courts to process current caseloads and also support the continuation of the program commenced by the Chief Judge and Chief Administrative Judge to achieve economy and efficiency through reducing the administrative overhead of the court system.

Division of Technology

The creation and management of information is one of the principal activities performed in the trial courts of the Unified Court System in support of administration and the case disposition

process. Administrative oversight of information processing in the trial courts is the function of the Division of Technology. In support of this responsibility, the Division develops and implements innovative technology to enhance court operations and administration. Many of the new programs developed by the Division operate through CourtNet, the statewide judicial network that allows courts throughout the state to communicate information and data.

To support the operation of high-volume courts and district and central administrative offices, the UCS maintains centralized on-line applications backed up by a mainframe processor and minicomputers, including those for: the Criminal Records and Information Management System (CRIMS); the Jury Management System (JMS); the Civil Case Information System (CCIS); the New York City Family Court System (AFCRIS); the Housing Court Information System (HCIS); the New York City County Clerk Judgment Docket and Lien book system (JDLS); the Caseload Activity Reporting System (CARS); and various on-line and batch administrative systems. In addition, centralized application data is downloaded to local microcomputers for local applications and used to generate special reports.

During 1998, the work of the Division included the following:

- A system-wide intranet was introduced to deliver information to the large court audience and to quickly meet the changing needs of the courts' technology users. The application will be expanded to include court and administrative forms, fiduciary reports, lists of judges and staff, title standards, civil service test announcements, press releases and hundreds of other written materials that previously had required reproduction and mailing.



Deputy Chief Administrative Judge Ann Pfau participating in a demonstration of the new Magstar Automatic Tape Library

Bob Spratt

- Internet access for approved CourtNet users was implemented and is being expanded daily to provide users with a means of researching information essential to improving the judicial process. Access to court information by the public, completion of jury questionnaires, directions to courthouses, court calendars and related information should also become available on the internet in the near future.

- Through CourtNet, data communications with police, district attorneys, probation, sheriffs and other agencies have been enhanced to improve the exchange of criminal case history data and case disposition data, thereby eliminating the need for each agency to duplicate this information by hand.

- Implementation began of the new IBM 3490E Magstar Automatic Tape Library. This addition to the court system's mainframe configuration stores and retrieves tape cartridges which contain backups of all the data files processed and maintained on the system. The unit is a virtual tape server with a robotics cartridge accessor which recognizes the stored tape cartridge via a laser beam cartridge recognition system. The system carries out unattended operations and has resulted in significant time savings in carrying out the nightly backup of online disk storage.

- A customized summons system to assist the New York City Criminal Court in processing the heavy volume of cases handled there on a daily basis was implemented. This system produces scanned images, initializes cases for processing and schedules cases. It also provides case information in the courtroom for both the judge and court personnel, records case dispositions and prints all necessary forms for disposition.

- Case management software was developed for Civil Supreme Court Judges and staff. This powerful, easy-to-use system, which was developed in conjunction with judges and court staff, provides access to case information including motions, appearances, attorneys, calendars/schedules, and history, with various personalized displays. It is used in chambers, courtrooms and back offices via a laptop or PC with CourtNet. The system is in place in New York, Kings, Suffolk, and Nassau Counties, with further expansion planned for 1999.

- Development began on Court Profiles, which will combine many of the mainframe data sources in a web-based application allowing any CourtNet user to query a database that contains all pertinent UCS related information. The information available will include financial, staffing, facilities and caseload activity data.

- Work continued on a project to address the problems anticipated by the arrival of the year 2000. A determination was made to expand to four digits the date fields in the over 7200 programs and 400 databases utilized in support of administrative and court operations. This remediation process was commenced in January, 1998, and all systems are scheduled to be in compliance by June, 1999.

- During the year, over 1,230 laptops, 2,680 desktops, 550 printers and 75 new servers were distributed throughout the system and added to CourtNet. By the end of 1998, over 20,000 network cables had been wired in courtrooms, chambers, back offices, libraries, and other working areas in support of court operations and the expansion of CourtNet. Internet work equipment and data communication circuits have been installed at more than 100 court locations statewide.

- The first steps were taken towards the development of a universal case management system with the start of the initial phase of a Statewide Family Court Automation Project which will serve as a model for a courtwide system. In addition to family matters, this first phase will incorporate other case types as part of the effort to create a truly universal case management system.

Legal Information and Records Management Division

The Legal Information and Records Management Division provides professional support and services for law libraries, legal research, records management and micrographics. During 1998, outreach efforts were focused on the courts and the communities that they serve.

The UCS web site (*ucs.ljx.com*), which was inaugurated in 1997, was redesigned and expanded. Links are provided to pages from individual courts, court libraries and judges. Information available includes employment postings, exam schedules, press releases and court rule revisions, as well as a variety of court forms. During the year, two million visitors accessed the page.

A joint project with the New York Law Journal led to an Internet page entitled "New York Courts and Law," created to provide links to information that could be helpful to public understanding of the court system and the law in New York. The site is accessible through the New York Law Journal and UCS web sites.

In conjunction with the Education and Training Division and the Division of Technology, a training program was initiated to provide judges and other court researchers with the necessary skills to use a variety of computer assisted legal research tools and choose the most appropriate method for each purpose. Among the resources available are the court system's nine CD-ROM towers. Access to the towers was improved in 1998 by adding 800 number phone lines to two of the towers and upgrading software on the towers to enhance speed and reliability.

Professional reference librarians continue to answer the 1-800 COURTTY telephone number. During 1998 over 3,500 calls were received from all over the country. Questions ranged from inquires about directions to the courthouse and telephone numbers of courts to reference inquiries precipitating interviews with callers before referral.

Court Facilities Program

The care of existing court facilities and the development and construction of new ones is a major ongoing activity for the UCS. Since 1987, the Court Facilities Act (“CFA”) has provided the framework and direction for statewide oversight of the maintenance and construction of court

County began operations, and major renovations to historic courthouses in Dutchess and Fulton Counties were completed. Projects under construction in 1998 include major new courthouses in Orange, Broome and Wyoming Counties. In New York City, major projects to provide improved facilities for Family Courts in Brooklyn, Manhattan and Queens, and for the



Patricia Beeler

The Rensselaer County Family Court, newly housed in the renovated former county jail

facilities, which are the responsibilities of the localities.

To help local governments provide and maintain new and improved court facilities, the CFA created the Court Facilities Incentive Aid Fund, a State Special Revenue Fund supported by various court filing fees. The receipt of State aid is explicitly linked to compliance with the requirements of the CFA. The Fund provides an interest subsidy, ranging from 25 to 33 percent, to reduce the cost of borrowing money to finance court improvements. The Fund also provides a subsidy for maintenance and operations expenses.

Under the direction of the CFA, new and improved facilities have been provided for courts across the State. Each year, a number of new buildings are completed, while construction is started on other courthouses. In 1998, new City Courts were opened in the cities of Geneva and New Rochelle, as well as a new Family Court in Rensselaer County. A new courthouse in Herkimer

Supreme Court, Criminal Term in the Bronx and in Brooklyn, advanced through the programming and early design stages.

Education and Training Programs

The Education and Training Division (“E&T”) is responsible for providing continuing education for judges and nonjudicial employees. This includes local town and village justices, a group largely composed of nonlawyers. In 1998, more than 3,000 judges and town and village justices, and approximately 14,000 nonjudicial personnel, attended education programs facilitated or financed by the UCS. Some of the major programs that were offered are described below.

At the end of 1998, E&T applied to the recently-established NYS Continuing Legal Education Board for formal certification as a provider of programming eligible for CLE credit. Once approved, the judges and attorneys who

attend E&T's programs will be eligible to receive CLE credit.

Programs For State-Paid Judges

Judicial Seminars

July 7-10; 14-17, 1998

Over 1,000 judges attended one of the two three-day annual judicial seminars. They were offered over 40 sessions of classes each week in subject areas covering civil, criminal, family, and trusts and estates law, as well as evidence and judicial skills. Sessions also covered substantive annual updates, including capital punishment, UCS initiatives, evaluations of new legislation and professional rules, new developments in trial techniques, programs of personal interest to judges, and programs for special courts. A wide variety of computer workshops were available and judges were able to participate in an interactive video training program in evidence. The faculty included judges, academics, hard science and behavioral science experts, and practicing attorneys.

Orientation Program for newly-elected and newly-appointed Judges

December 7-11, 1998

Approximately 80 judges participated in a five-day seminar designed for those recently elected or appointed to the bench. The new judges attended lectures and workshops on a wide variety of substantive legal subjects and on courtroom case management, with particular emphasis on the knowledge and skills needed to start their judicial careers. Each new judge was assigned a more seasoned mentor judge for advice and consultation.

Judicial Automation Forum

January 27-29, 1998

February 3-5, 1998

July 9 and 13, 1998

This program was designed to acquaint judges with laptop computers. Judges participated in hands-on workshops in Windows NT, WordPerfect 8, GroupWise, and legal research utilizing CD-ROM. Judges also participated in group demonstrations focusing on CourtNet and

Public Access. In all, over 500 judges participated in the training.

Administrative Judges Program

Meetings were held several times during the year as part of an on-going program designed specifically to enhance the knowledge and awareness of Administrative Judges about recent management trends and to serve as a forum for discussion of specific issues that affect Administrative Judges in their role as court managers.

Programs for Nonjudicial Employees

Family Court Hearing Examiners

June 5, 1998

This one-day program, presented to 95 employees, updated Family Court Hearing Examiners on the new Uniform Interstate Family Support Act. In addition, participants attended lectures on paternity, ethics, computer resources, and recent developments in case law and legislation.

Legal update for Court Attorneys

November 17-18; 19-20; 29-30, 1998

This two-day program provided updates on civil law and procedure, criminal law and procedure, family law and evidence, among other topics. Special programs also were available on computer usage and on-line research. Over 1200 attorneys employed by the court system attended, many encouraged to do so by the announcement of the new CLE requirement in NYS for all attorneys.

Annual Nonjudicial Association Seminars

Annual meetings of the nonjudicial associations bring together court employees who work in similar courts or job titles to exchange ideas and attend workshops and lectures on the substantive and technical areas affecting their courts. During 1998, two combined annual seminars were held. The City and District Court Clerks Association joined with the Commissioners of Jurors Association and the Supreme and County Court Clerks Association. Similarly, the Family Court Clerks Association, the Law Librarians Association, the Surrogate's Court Chief Clerks

Association, and the Surrogate's Court Law Assistants Association held a joint meeting.

Town and Village Justice Training Program

There are approximately 2,230 town and village justices in the State, of whom close to 75% are not lawyers. New justices who are not lawyers are required to complete a six-day basic certification course covering the fundamentals of law and their responsibilities as justices. These basic courses were offered five times during 1998 and attended by approximately 150 justices. In addition, a training program for Town and Village Court clerks was presented 13 times around the State.

Each year, Town and Village justices are required to attend an advanced continuing judicial education program. In addition to the attendance requirement, all non-lawyer Town and Village justices must pass a written examination that is administered at each program. The advanced course consists of two days of instruction covering selected legal topics. Participants in 1998 attended lectures covering subjects such as domestic violence, judicial ethics and jury selection as well as an update on new legislation.

A separate City, Town and Village Courts Resource Center ("Center"), operating independently of E&T, offers advice and guidance to the justices of City, Town and Village Courts and their court clerks throughout the State. It is staffed by attorneys who provide assistance on legal questions, and by non-attorneys who serve as advocates in dealing with the localities in connection with a variety of issues including facilities and personnel. During the year, the Center handled approximately 13,000 inquiries.

Workforce Diversity Office

The Workforce Diversity Office (formerly the Equal Employment Opportunity Division) oversees the implementation of the court system's Workforce Diversity Program, which was instituted in 1989. The purpose of the program is to increase the diversity of the courts' workforce, with major focus on specific job groups where underrepresentation of minorities and women has been identified. In 1998, the office

expanded its outreach efforts to encourage these groups to seek work in the courts by broadening internship programs and providing greater technical support to the courts. It also developed a sexual harassment training program which was offered to 1500 court clerks and court managers.

The other responsibilities of the Office include overseeing anti-discrimination training programs and the Handicapped Set-Aside Program. The Office also coordinates the work of EEO liaisons as well as anti-discrimination panels and identifies reasonable accommodations for court system applicants and employees.

Office of Special Inspector General for Bias Matters

In October 1998, the position of Special Inspector General for Bias Matters was established. The Special Inspector General has responsibility for conducting audits, evaluations and investigations in connection with allegations of work-related bias involving any judge or nonjudicial employee of the court system. The Special Inspector General also participates in establishing and maintaining standards of conduct for bias-free behavior.

The Special Inspector General investigates allegations of bias based upon race, sex (including sexual harassment), sexual orientation, age, marital status, disability, national origin or religion that affect the workplace or the terms and conditions of employment, including acts that relate to services provided by court personnel to the public. In addition, the Special Inspector General makes recommendations for resolution of these allegations, including retraining, mediation and disciplinary action, as appropriate.

Attorney Registration and Statement Filings

The Office of Court Administration is responsible for maintaining a variety of records and data concerning the status of attorneys and case processing. An explanation of that information and the filings for 1998 are as follows.

Attorney Registration

All attorneys admitted and licensed to practice law in the State of New York, whether resident or not, are required biennially to file a registration statement, and, unless they are retired from the practice of law, to pay a \$300 registration fee. During 1998, approximately 98,000 registrations were processed and \$29,448,100 in registration fees recorded. As of the end of calendar year 1998, approximately 177,207 attorneys were registered with OCA. Table 16 reflects the number of attorneys registered by county and Judicial Department as of the end of 1998.

Retainer and Closing Statements

Pursuant to 22 NYCRR Parts 603.7, 691.20 and 1022.2, every attorney who enters into a contingent-fee agreement in any case involving personal injury, property damage, wrongful death, or claims in connection with condemnation or change-of-grade proceedings in the First, Second, or Fourth Judicial Departments must file a statement of retainer with OCA, containing the terms of compensation.

In addition, in any case or proceeding in which a retainer statement is required, a closing statement must be filed with OCA within 15 days after the attorney receives or shares any sum received in connection with the claim. This statement must include information indicating the gross amount of the settlement or award (if any), the net distribution between client and attorney, and a breakdown of other expenses and disbursements.

In 1998, a total of 316,450 retainer and closing statements were processed. Of those, 133,787 were filed in the First Department; 162,124 in the Second; and 20,539 in the Fourth Department. Financial data concerning closing statements filed in calendar year 1998 is available upon request from OCA.

Appointment of Fiduciaries

Part 36 of the Rules of the Chief Judge (22 NYCRR Part 36) requires that all appointments of guardians, court evaluators, attorneys for alleged ~~incapacitated persons, referees, guardians ad litem~~, receivers and persons designated to perform services for receivers be made by the appointing judge from a list of applicants established by the Chief Administrator of the Courts, unless the court finds that there is good reason to appoint someone who is not on the list and places a statement to that effect on the record.

During the period from April 1, 1986 (when Part 36 was promulgated) through December 31, 1998, approximately 16,500 applications were filed with OCA from individuals and institutions that had indicated their availability to serve in some capacity under this Rule. Table 17 shows the distribution by county of the applications in 1998. It also shows the distribution by county of the 695 applications filed from January 1, 1998 through December 31, 1998. From January 1, 1998 through December 31, 1998, there were 8,260 statements of appointment filed with the Chief Administrator. Table 18 reflects the number of those appointments by county.

Statements of Approval of Compensation

Section 35-a of the Judiciary Law requires judges who approve the payment of a fee for more than \$200 for services performed by any person appointed by the court in any capacity to file a statement of approval of compensation with OCA. In 1998, OCA received a total of 5,043 statements of approval of compensation.

Adoption Affidavits

In accordance with the rules of the respective Appellate Divisions, 22 NYCRR Parts 603.23 (1st Dept.), 691.23 (2nd Dept.) 806.14 (3rd Dept.) and 1022.33 (4th Dept.), all attorneys in adoption proceedings must file an affidavit with OCA concerning the adoption prior to the entry of the adoption decree. The objective of this filing is to maintain a record of attorneys and agencies involved in adoptions and to record the fees, if any, charged for their services. During 1998, 7,394 adoption affidavits were filed with OCA.

Table 16
ATTORNEY REGISTRATION BY LOCATION
County of Business
1998

<i>Location</i>	<i>Total</i>	<i>Location</i>	<i>Total</i>
Albany	3,513	Otsego	83
Allegany	47	Putnam	224
Bronx	1,923	Queens	3,970
Broome	570	Rensselaer	356
Cattaraugus	97	Richmond	953
Cayuga	100	Rockland	1,110
Chautauqua	212	St. Lawrence	119
Chemung	162	Saratoga	358
Chenango	67	Schenectady	382
Clinton	109	Schoharie	45
Columbia	151	Schuyler	23
Cortland	64	Seneca	36
Delaware	80	Steuben	128
Dutchess	690	Suffolk	4,526
Erie	3,947	Sullivan	189
Essex	86	Tioga	51
Franklin	68	Tompkins	276
Fulton	69	Ulster	370
Genesee	80	Warren	187
Greene	79	Washington	64
Hamilton	6	Wayne	84
Herkimer	80	Westchester	6,489
Jefferson	154	Wyoming	40
Kings	5,278	Yates	22
Lewis	20	Outside N.Y.	
Livingston	67	State	42,263
Madison	96	Missing County	17,711
Monroe	2,750		
Montgomery	83	First Department	62,746
Nassau	10,210	Second Department	34,203
New York	60,823	Third Department	7,706
Niagara	332	Fourth Department	11,062
Oneida	518		
Onondaga	2,068		
Ontario	148		
Orange	753	Total	175,691
Orleans	25		
Oswego	107		

TABLE 17
APPOINTMENT OF FIDUCIARIES
APPLICATIONS BY COUNTY
AS OF 12/31/98

LOCATION	INDIVIDUALS		INSTITUTIONS		TOTAL		LOCATION	INDIVIDUALS		INSTITUTIONS		TOTAL *	
	Filed	Filed	Filed	Filed	Filed	Filed		Filed	Filed	Filed	Filed	Filed	Filed
	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	4/01/86- 12/31/98		01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98
Albany	24	656	...	2	24	658	Niagara	75	1054	75	1054
Allegany	5	152	...	1	5	153	Oneida	5	251	...	1	5	252
Bronx	153	3536	...	7	153	3536	Onondaga	15	306	3	3	18	309
Broome	3	384	...	3	3	387	Ontario	26	402	...	1	26	403
Cattaraugus	11	323	...	1	11	324	Orange	24	723	24	723
Cayuga	3	164	...	1	3	165	Orleans	15	266	15	266
Chautauqua	12	357	12	357	Oswego	4	141	4	141
Chemung	3	79	3	5	6	84	Otsego	4	122	...	1	4	123
Chenango	1	134	...	3	1	137	Putnam	40	896	...	1	40	897
Clinton	3	73	...	1	3	74	Queens	195	4906	...	9	195	4915
Columbia	8	226	...	1	8	227	Rensselaer	17	485	...	1	17	486
Cortland	3	121	...	2	3	123	Richmond	62	1771	...	5	62	1776
Delaware	0	115	...	3	0	118	Rockland	41	1352	...	2	41	1354
Dutchess	26	807	...	1	26	808	St. Lawrence	2	74	3	74
Erie	115	1704	3	5	118	1709	Saratoga	23	574	...	1	23	575
Essex	6	108	6	108	Schenectady	19	531	...	1	18	532
Franklin	3	72	3	72	Schoharie	3	113	...	1	3	114
Fulton	5	129	5	129	Schuyler	2	58	2	58
Genesee	25	411	25	411	Seneca	1	113	...	1	1	114
Greene	5	185	...	2	5	187	Steuben	6	154	...	3	5	157
Hamilton	1	57	1	57	Suffolk	116	2955	...	5	116	2960
Herkimer	2	137	2	137	Sullivan	6	198	...	1	6	199
Jefferson	6	81	...	1	6	82	Tioga	4	159	...	2	4	161
Kings	199	5130	...	9	199	5139	Tompkins	5	101	...	1	5	102
Lewis	0	64	0	64	Ulster	10	373	3	3	13	376
Livingston	20	304	3	5	23	309	Warren	12	219	12	219
Madison	3	229	...	1	3	230	Washington	11	185	11	185
Monroe	60	889	3	6	63	895	Wayne	19	342	...	1	19	343
Montgomery	6	158	...	1	6	159	Westchester	130	3267	...	4	130	3271
Nassau	168	4757	...	8	168	4765	Wyoming	15	260	13	260
New York	278	5272	...	9	278	5281	Yates	8	112	3	4	10	116
Totals								2072	49,229	21	130	2093	49,359

* Applicants may list more than one county. The total for January 1, 1998 through December 31, 1998 represents the distribution of 695 applications. The total for April 1, 1986 through December 31, 1998 represents 17,891 applications.

Table 18
APPOINTMENTS OF FIDUCIARIES
Appointments Reported by County
January 1, 1998 through December 31, 1998

<i>Location</i>	<i>Total</i>	<i>Location</i>	<i>Total</i>
Albany	155	Otsego	17
Allegany	9	Putnam	35
Bronx	527	Queens	886
Broome	78	Rensselaer	86
Cattaraugus	32	Richmond	72
Cayuga	47	Rockland	103
Chautauqua	66	St. Lawrence	57
Chemung	47	Saratoga	75
Chenango	6	Schenectady	95
Clinton	36	Schoharie	16
Columbia	24	Schuyler	8
Cortland	8	Seneca	10
Delaware	29	Steuben	25
Dutchess	104	Suffolk	671
Erie	716	Sullivan	38
Essex	27	Tioga	16
Franklin	29	Tompkins	25
Fulton	21	Ulster	91
Genesee	24	Warren	31
Greene	6	Washington	19
Hamilton	1	Wayne	47
Herkimer	31	Westchester	365
Jefferson	75	Wyoming	19
Kings	769	Yates	12
Lewis	17		
Livingston	26		
Madison	29		
Monroe	397		
Montgomery	21		
Nassau	551		
New York	766		
Niagara	126		
Oneida	121		
Onondaga	341		
Ontario	55		
Orange	96		
Orleans	7		
Oswego	21		
		Total New York State	8,260

Chapter 2

The Administration of the Courts

Court Administration

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* (or 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 administrative standards and policies after consultation with the Administrative Board and approval by the Court of Appeals.

The *Court of Appeals and the Appellate Divisions* are responsible for the administration of their respective courts. The Appellate Divisions also oversee several appellate auxiliary operations: candidate fitness, attorney discipline, assigned counsel, law guardians, and the Mental Hygiene Legal Service.

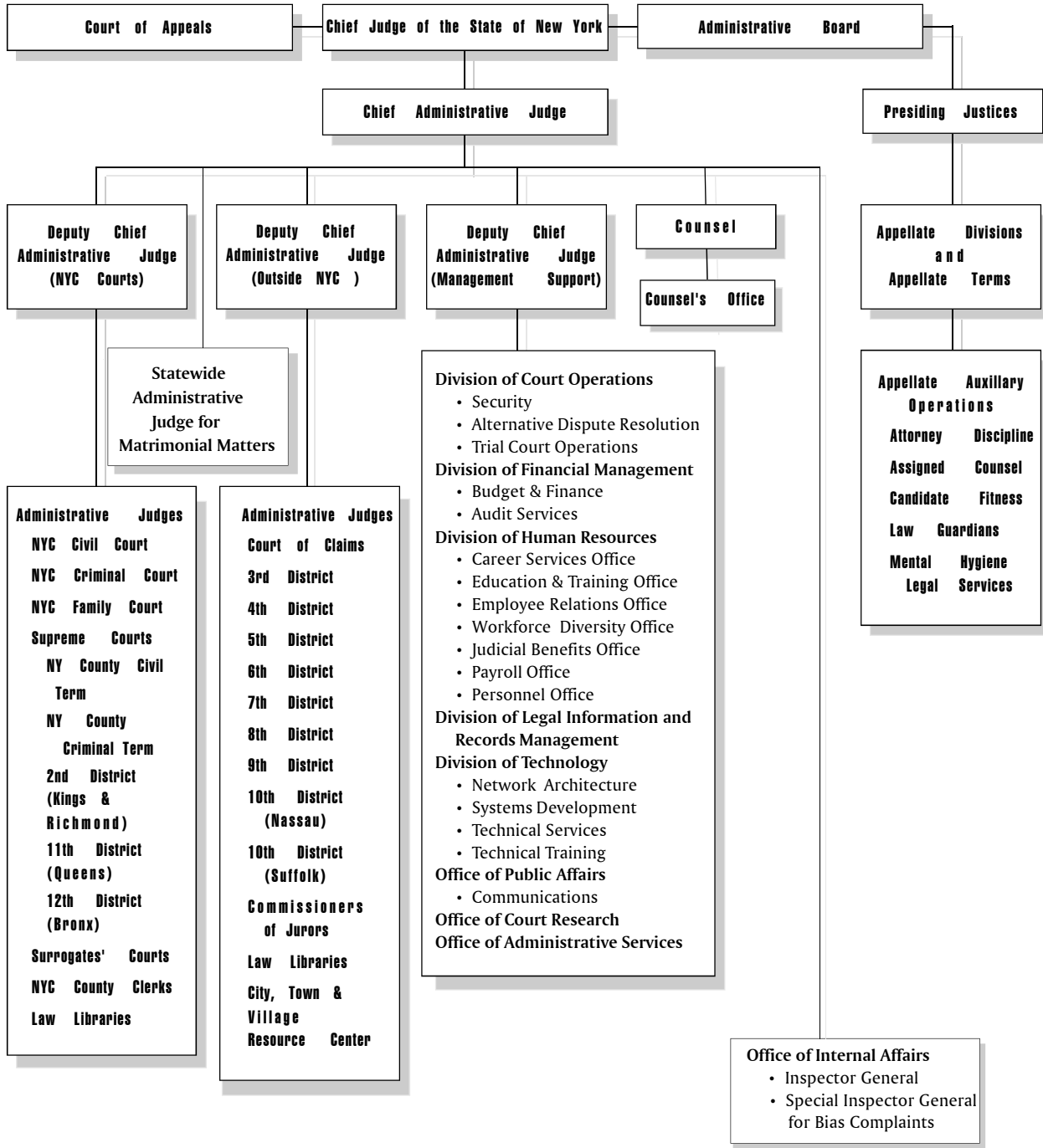
The *Chief Administrator*, on behalf of the Chief Judge, is responsible for supervising the administration and operation of the trial courts and for establishing and directing an administrative office for the courts – the Office of Court Administration (OCA). In this task, the Chief Administrator is assisted by two Deputy Chief Administrative Judges who supervise the day-to-day operations of the courts – one for New York City and one for the courts outside of New York City; a Deputy Chief Administrator, who is responsible for the operations of the divisions and offices that comprise the Office of Management Support; a Statewide Administrative Judge for Matrimonial Matters; and a Counsel, who directs

the legal and legislative work of the Counsel's Office.

In addition to the overall supervisory duties of the two Deputy Chief Administrative Judges, responsibility for on-site management of the trial courts and agencies is vested in local Administrative Judges. In each judicial district outside New York City, there is a District Administrative Judge who is responsible for supervising all courts and agencies. In New York City, an Administrative Judge supervises each of the major courts. The Administrative Judges manage court caseloads and are responsible for general administrative functions, including personnel and budget administration.

The *Office of Management Support* provides the administrative services required to support all court and auxiliary operations. In 1998, in recognition of the expansion and increased diversification of the tasks being carried out, there was a major restructuring of the Office designed to increase efficiency and enhance the delivery of services to the courts. Five separate Divisions were established: the Division of Court Operations, overseeing security, trial court operations and alternative dispute resolution programs; the Division of Financial Management, responsible for the Judiciary budget; the Division of Human Resources, encompassing personnel administration, payroll operations and benefits, employee relations, judicial benefits, education and training, professional development and the workforce diversity office; the Division of Legal Information and Records Management; and the Division of Technology. Four Offices also were created: the Office of Administrative Services; the Office of Court Research, providing caseload activity statistics and related services; the Office of Internal Affairs, performing internal audits and investigations; and the Office of Public Affairs.

**Figure 12
UNIFIED COURT SYSTEM
Administrative Structure**



Also included under the direction of the Office of Management Support are a Facilities Unit, Special Projects Unit and the Center for Court Innovation. (The work of a number of these support units during 1998 is highlighted later in this and the following chapters.)

Counsel's Office prepares and analyzes legislation, represents the UCS in litigation, and provides various other forms of legal assistance to the Chief Administrator. The legislative work of Counsel's Office during 1998 is reported in Chapter 4. (See Figure 12 for a diagram of the administrative structure of the UCS.)

The Chief Judge and the Chief Administrator also rely on a number of advisory groups in meeting their administrative responsibilities. Among these are the Judicial Conference, the Advisory Committee on Civil Practice, the Advisory Committee on Criminal Law and Procedure, the Family Court Advisory and Rules Committee, the Local Courts' Advisory Committee, and the Surrogate's Court Advisory Committee. The work of the Advisory Committees during 1998 is summarized in Chapter 4.

Court officials have established other committees or commissions, such as: the Franklin H. Williams Judicial Commission on Minorities, the Permanent Judicial Commission on Justice for Children, the New York Judicial Committee on Women in the Courts, the Ethics Commission for the Unified Court System, the Pro-Bono Monitoring Committee, the Criminal Pattern Jury Instructions Committee, and the Advisory Committee on Judicial Ethics. The accomplishments of some of these groups during 1998 are outlined elsewhere within this Report.

The Division of Financial Management

The Division of Financial Management is responsible for the preparation, review and implementation of the Judiciary budget. It also develops and promulgates, after approval, fiscal policies and procedures and other related functions. In addition, it supports the UCS's goals and objectives by requesting and allocating the necessary funds to carry them out.

The UCS's budget is based upon a fiscal year that runs from April 1 through March 31 of the following year. Each year, the budget is presented by the Chief Administrative Judge to the Court of Appeals for approval and for certification by the Chief Judge. After certification, it is transmitted to the Governor for inclusion in the State budget. Although the budget is to be submitted by the Governor without revision, recommendations may be included as deemed appropriate by the Governor.

The budget request prepared by the UCS is divided into two parts, covering personal services (salaries for judges and nonjudicial personnel) and nonpersonal services (all other expenses, including equipment, supplies, etc.). Over 80% of the budget is allocated to the payment of personal services.

The budget request submitted for the 1998-99 fiscal year was approved by the Legislature with only minor adjustments. A total of \$1.1 billion was appropriated for court and agency operations, reflecting a 9.6% increase over the previous year's allocation. This budget provides funding for 387 new positions for specific targeted initiatives in areas including family justice, domestic violence, Housing Court and civil justice. These positions support initiatives including night Family Court and a satellite Family Court in Queens to provide more convenient access for all citizens; an adoption fast track; Family Treatment Courts to address the growing problem of drug abuse and child neglect; dedicated Domestic Violence Parts; and comprehensive reforms to be implemented in the New York City Housing Court. The funding will continue, undiminished, to support the operational capacity of trial courts to process current caseloads and also support the continuation of the program commenced by the Chief Judge and Chief Administrative Judge to achieve economy and efficiency through reducing the administrative overhead of the court system.

Division of Technology

The creation and management of information is one of the principal activities performed in the trial courts of the Unified Court System in support of administration and the case disposition

process. Administrative oversight of information processing in the trial courts is the function of the Division of Technology. In support of this responsibility, the Division develops and implements innovative technology to enhance court operations and administration. Many of the new programs developed by the Division operate through CourtNet, the statewide judicial network that allows courts throughout the state to communicate information and data.

To support the operation of high-volume courts and district and central administrative offices, the UCS maintains centralized on-line applications backed up by a mainframe processor and minicomputers, including those for: the Criminal Records and Information Management System (CRIMS); the Jury Management System (JMS); the Civil Case Information System (CCIS); the New York City Family Court System (AFCRIS); the Housing Court Information System (HCIS); the New York City County Clerk Judgment Docket and Lien book system (JDLS); the Caseload Activity Reporting System (CARS); and various on-line and batch administrative systems. In addition, centralized application data is downloaded to local microcomputers for local applications and used to generate special reports.

During 1998, the work of the Division included the following:

- A system-wide intranet was introduced to deliver information to the large court audience and to quickly meet the changing needs of the courts' technology users. The application will be expanded to include court and administrative forms, fiduciary reports, lists of judges and staff, title standards, civil service test announcements, press releases and hundreds of other written materials that previously had required reproduction and mailing.



Deputy Chief Administrative Judge Ann Pfau participating in a demonstration of the new Magstar Automatic Tape Library

Bob Spratt

- Internet access for approved CourtNet users was implemented and is being expanded daily to provide users with a means of researching information essential to improving the judicial process. Access to court information by the public, completion of jury questionnaires, directions to courthouses, court calendars and related information should also become available on the internet in the near future.

- Through CourtNet, data communications with police, district attorneys, probation, sheriffs and other agencies have been enhanced to improve the exchange of criminal case history data and case disposition data, thereby eliminating the need for each agency to duplicate this information by hand.

- Implementation began of the new IBM 3490E Magstar Automatic Tape Library. This addition to the court system's mainframe configuration stores and retrieves tape cartridges which contain backups of all the data files processed and maintained on the system. The unit is a virtual tape server with a robotics cartridge accessor which recognizes the stored tape cartridge via a laser beam cartridge recognition system. The system carries out unattended operations and has resulted in significant time savings in carrying out the nightly backup of online disk storage.

- A customized summons system to assist the New York City Criminal Court in processing the heavy volume of cases handled there on a daily basis was implemented. This system produces scanned images, initializes cases for processing and schedules cases. It also provides case information in the courtroom for both the judge and court personnel, records case dispositions and prints all necessary forms for disposition.

- Case management software was developed for Civil Supreme Court Judges and staff. This powerful, easy-to-use system, which was developed in conjunction with judges and court staff, provides access to case information including motions, appearances, attorneys, calendars/schedules, and history, with various personalized displays. It is used in chambers, courtrooms and back offices via a laptop or PC with CourtNet. The system is in place in New York, Kings, Suffolk, and Nassau Counties, with further expansion planned for 1999.

- Development began on Court Profiles, which will combine many of the mainframe data sources in a web-based application allowing any CourtNet user to query a database that contains all pertinent UCS related information. The information available will include financial, staffing, facilities and caseload activity data.

- Work continued on a project to address the problems anticipated by the arrival of the year 2000. A determination was made to expand to four digits the date fields in the over 7200 programs and 400 databases utilized in support of administrative and court operations. This remediation process was commenced in January, 1998, and all systems are scheduled to be in compliance by June, 1999.

- During the year, over 1,230 laptops, 2,680 desktops, 550 printers and 75 new servers were distributed throughout the system and added to CourtNet. By the end of 1998, over 20,000 network cables had been wired in courtrooms, chambers, back offices, libraries, and other working areas in support of court operations and the expansion of CourtNet. Internet work equipment and data communication circuits have been installed at more than 100 court locations statewide.

- The first steps were taken towards the development of a universal case management system with the start of the initial phase of a Statewide Family Court Automation Project which will serve as a model for a courtwide system. In addition to family matters, this first phase will incorporate other case types as part of the effort to create a truly universal case management system.

Legal Information and Records Management Division

The Legal Information and Records Management Division provides professional support and services for law libraries, legal research, records management and micrographics. During 1998, outreach efforts were focused on the courts and the communities that they serve.

The UCS web site (*ucs.ljx.com*), which was inaugurated in 1997, was redesigned and expanded. Links are provided to pages from individual courts, court libraries and judges. Information available includes employment postings, exam schedules, press releases and court rule revisions, as well as a variety of court forms. During the year, two million visitors accessed the page.

A joint project with the New York Law Journal led to an Internet page entitled "New York Courts and Law," created to provide links to information that could be helpful to public understanding of the court system and the law in New York. The site is accessible through the New York Law Journal and UCS web sites.

In conjunction with the Education and Training Division and the Division of Technology, a training program was initiated to provide judges and other court researchers with the necessary skills to use a variety of computer assisted legal research tools and choose the most appropriate method for each purpose. Among the resources available are the court system's nine CD-ROM towers. Access to the towers was improved in 1998 by adding 800 number phone lines to two of the towers and upgrading software on the towers to enhance speed and reliability.

Professional reference librarians continue to answer the 1-800 COURTTY telephone number. During 1998 over 3,500 calls were received from all over the country. Questions ranged from inquires about directions to the courthouse and telephone numbers of courts to reference inquiries precipitating interviews with callers before referral.

Court Facilities Program

The care of existing court facilities and the development and construction of new ones is a major ongoing activity for the UCS. Since 1987, the Court Facilities Act (“CFA”) has provided the framework and direction for statewide oversight of the maintenance and construction of court

County began operations, and major renovations to historic courthouses in Dutchess and Fulton Counties were completed. Projects under construction in 1998 include major new courthouses in Orange, Broome and Wyoming Counties. In New York City, major projects to provide improved facilities for Family Courts in Brooklyn, Manhattan and Queens, and for the



Patricia Beeler

The Rensselaer County Family Court, newly housed in the renovated former county jail

facilities, which are the responsibilities of the localities.

To help local governments provide and maintain new and improved court facilities, the CFA created the Court Facilities Incentive Aid Fund, a State Special Revenue Fund supported by various court filing fees. The receipt of State aid is explicitly linked to compliance with the requirements of the CFA. The Fund provides an interest subsidy, ranging from 25 to 33 percent, to reduce the cost of borrowing money to finance court improvements. The Fund also provides a subsidy for maintenance and operations expenses.

Under the direction of the CFA, new and improved facilities have been provided for courts across the State. Each year, a number of new buildings are completed, while construction is started on other courthouses. In 1998, new City Courts were opened in the cities of Geneva and New Rochelle, as well as a new Family Court in Rensselaer County. A new courthouse in Herkimer

Supreme Court, Criminal Term in the Bronx and in Brooklyn, advanced through the programming and early design stages.

Education and Training Programs

The Education and Training Division (“E&T”) is responsible for providing continuing education for judges and nonjudicial employees. This includes local town and village justices, a group largely composed of nonlawyers. In 1998, more than 3,000 judges and town and village justices, and approximately 14,000 nonjudicial personnel, attended education programs facilitated or financed by the UCS. Some of the major programs that were offered are described below.

At the end of 1998, E&T applied to the recently-established NYS Continuing Legal Education Board for formal certification as a provider of programming eligible for CLE credit. Once approved, the judges and attorneys who

attend E&T's programs will be eligible to receive CLE credit.

Programs For State-Paid Judges

Judicial Seminars

July 7-10; 14-17, 1998

Over 1,000 judges attended one of the two three-day annual judicial seminars. They were offered over 40 sessions of classes each week in subject areas covering civil, criminal, family, and trusts and estates law, as well as evidence and judicial skills. Sessions also covered substantive annual updates, including capital punishment, UCS initiatives, evaluations of new legislation and professional rules, new developments in trial techniques, programs of personal interest to judges, and programs for special courts. A wide variety of computer workshops were available and judges were able to participate in an interactive video training program in evidence. The faculty included judges, academics, hard science and behavioral science experts, and practicing attorneys.

Orientation Program for newly-elected and newly-appointed Judges

December 7-11, 1998

Approximately 80 judges participated in a five-day seminar designed for those recently elected or appointed to the bench. The new judges attended lectures and workshops on a wide variety of substantive legal subjects and on courtroom case management, with particular emphasis on the knowledge and skills needed to start their judicial careers. Each new judge was assigned a more seasoned mentor judge for advice and consultation.

Judicial Automation Forum

January 27-29, 1998

February 3-5, 1998

July 9 and 13, 1998

This program was designed to acquaint judges with laptop computers. Judges participated in hands-on workshops in Windows NT, WordPerfect 8, GroupWise, and legal research utilizing CD-ROM. Judges also participated in group demonstrations focusing on CourtNet and

Public Access. In all, over 500 judges participated in the training.

Administrative Judges Program

Meetings were held several times during the year as part of an on-going program designed specifically to enhance the knowledge and awareness of Administrative Judges about recent management trends and to serve as a forum for discussion of specific issues that affect Administrative Judges in their role as court managers.

Programs for Nonjudicial Employees

Family Court Hearing Examiners

June 5, 1998

This one-day program, presented to 95 employees, updated Family Court Hearing Examiners on the new Uniform Interstate Family Support Act. In addition, participants attended lectures on paternity, ethics, computer resources, and recent developments in case law and legislation.

Legal update for Court Attorneys

November 17-18; 19-20; 29-30, 1998

This two-day program provided updates on civil law and procedure, criminal law and procedure, family law and evidence, among other topics. Special programs also were available on computer usage and on-line research. Over 1200 attorneys employed by the court system attended, many encouraged to do so by the announcement of the new CLE requirement in NYS for all attorneys.

Annual Nonjudicial Association Seminars

Annual meetings of the nonjudicial associations bring together court employees who work in similar courts or job titles to exchange ideas and attend workshops and lectures on the substantive and technical areas affecting their courts. During 1998, two combined annual seminars were held. The City and District Court Clerks Association joined with the Commissioners of Jurors Association and the Supreme and County Court Clerks Association. Similarly, the Family Court Clerks Association, the Law Librarians Association, the Surrogate's Court Chief Clerks

Association, and the Surrogate's Court Law Assistants Association held a joint meeting.

Town and Village Justice Training Program

There are approximately 2,230 town and village justices in the State, of whom close to 75% are not lawyers. New justices who are not lawyers are required to complete a six-day basic certification course covering the fundamentals of law and their responsibilities as justices. These basic courses were offered five times during 1998 and attended by approximately 150 justices. In addition, a training program for Town and Village Court clerks was presented 13 times around the State.

Each year, Town and Village justices are required to attend an advanced continuing judicial education program. In addition to the attendance requirement, all non-lawyer Town and Village justices must pass a written examination that is administered at each program. The advanced course consists of two days of instruction covering selected legal topics. Participants in 1998 attended lectures covering subjects such as domestic violence, judicial ethics and jury selection as well as an update on new legislation.

A separate City, Town and Village Courts Resource Center ("Center"), operating independently of E&T, offers advice and guidance to the justices of City, Town and Village Courts and their court clerks throughout the State. It is staffed by attorneys who provide assistance on legal questions, and by non-attorneys who serve as advocates in dealing with the localities in connection with a variety of issues including facilities and personnel. During the year, the Center handled approximately 13,000 inquiries.

Workforce Diversity Office

The Workforce Diversity Office (formerly the Equal Employment Opportunity Division) oversees the implementation of the court system's Workforce Diversity Program, which was instituted in 1989. The purpose of the program is to increase the diversity of the courts' workforce, with major focus on specific job groups where underrepresentation of minorities and women has been identified. In 1998, the office

expanded its outreach efforts to encourage these groups to seek work in the courts by broadening internship programs and providing greater technical support to the courts. It also developed a sexual harassment training program which was offered to 1500 court clerks and court managers.

The other responsibilities of the Office include overseeing anti-discrimination training programs and the Handicapped Set-Aside Program. The Office also coordinates the work of EEO liaisons as well as anti-discrimination panels and identifies reasonable accommodations for court system applicants and employees.

Office of Special Inspector General for Bias Matters

In October 1998, the position of Special Inspector General for Bias Matters was established. The Special Inspector General has responsibility for conducting audits, evaluations and investigations in connection with allegations of work-related bias involving any judge or nonjudicial employee of the court system. The Special Inspector General also participates in establishing and maintaining standards of conduct for bias-free behavior.

The Special Inspector General investigates allegations of bias based upon race, sex (including sexual harassment), sexual orientation, age, marital status, disability, national origin or religion that affect the workplace or the terms and conditions of employment, including acts that relate to services provided by court personnel to the public. In addition, the Special Inspector General makes recommendations for resolution of these allegations, including retraining, mediation and disciplinary action, as appropriate.

Attorney Registration and Statement Filings

The Office of Court Administration is responsible for maintaining a variety of records and data concerning the status of attorneys and case processing. An explanation of that information and the filings for 1998 are as follows.

Attorney Registration

All attorneys admitted and licensed to practice law in the State of New York, whether resident or not, are required biennially to file a registration statement, and, unless they are retired from the practice of law, to pay a \$300 registration fee. During 1998, approximately 98,000 registrations were processed and \$29,448,100 in registration fees recorded. As of the end of calendar year 1998, approximately 177,207 attorneys were registered with OCA. Table 16 reflects the number of attorneys registered by county and Judicial Department as of the end of 1998.

Retainer and Closing Statements

Pursuant to 22 NYCRR Parts 603.7, 691.20 and 1022.2, every attorney who enters into a contingent-fee agreement in any case involving personal injury, property damage, wrongful death, or claims in connection with condemnation or change-of-grade proceedings in the First, Second, or Fourth Judicial Departments must file a statement of retainer with OCA, containing the terms of compensation.

In addition, in any case or proceeding in which a retainer statement is required, a closing statement must be filed with OCA within 15 days after the attorney receives or shares any sum received in connection with the claim. This statement must include information indicating the gross amount of the settlement or award (if any), the net distribution between client and attorney, and a breakdown of other expenses and disbursements.

In 1998, a total of 316,450 retainer and closing statements were processed. Of those, 133,787 were filed in the First Department; 162,124 in the Second; and 20,539 in the Fourth Department. Financial data concerning closing statements filed in calendar year 1998 is available upon request from OCA.

Appointment of Fiduciaries

Part 36 of the Rules of the Chief Judge (22 NYCRR Part 36) requires that all appointments of guardians, court evaluators, attorneys for alleged ~~incapacitated persons, referees, guardians~~ *ad litem*, receivers and persons designated to perform services for receivers be made by the appointing judge from a list of applicants established by the Chief Administrator of the Courts, unless the court finds that there is good reason to appoint someone who is not on the list and places a statement to that effect on the record.

During the period from April 1, 1986 (when Part 36 was promulgated) through December 31, 1998, approximately 16,500 applications were filed with OCA from individuals and institutions that had indicated their availability to serve in some capacity under this Rule. Table 17 shows the distribution by county of the applications in 1998. It also shows the distribution by county of the 695 applications filed from January 1, 1998 through December 31, 1998. From January 1, 1998 through December 31, 1998, there were 8,260 statements of appointment filed with the Chief Administrator. Table 18 reflects the number of those appointments by county.

Statements of Approval of Compensation

Section 35-a of the Judiciary Law requires judges who approve the payment of a fee for more than \$200 for services performed by any person appointed by the court in any capacity to file a statement of approval of compensation with OCA. In 1998, OCA received a total of 5,043 statements of approval of compensation.

Adoption Affidavits

In accordance with the rules of the respective Appellate Divisions, 22 NYCRR Parts 603.23 (1st Dept.), 691.23 (2nd Dept.) 806.14 (3rd Dept.) and 1022.33 (4th Dept.), all attorneys in adoption proceedings must file an affidavit with OCA concerning the adoption prior to the entry of the adoption decree. The objective of this filing is to maintain a record of attorneys and agencies involved in adoptions and to record the fees, if any, charged for their services. During 1998, 7,394 adoption affidavits were filed with OCA.

Table 16
ATTORNEY REGISTRATION BY LOCATION
County of Business
1998

<i>Location</i>	<i>Total</i>	<i>Location</i>	<i>Total</i>
Albany	3,513	Otsego	83
Allegany	47	Putnam	224
Bronx	1,923	Queens	3,970
Broome	570	Rensselaer	356
Cattaraugus	97	Richmond	953
Cayuga	100	Rockland	1,110
Chautauqua	212	St. Lawrence	119
Chemung	162	Saratoga	358
Chenango	67	Schenectady	382
Clinton	109	Schoharie	45
Columbia	151	Schuyler	23
Cortland	64	Seneca	36
Delaware	80	Steuben	128
Dutchess	690	Suffolk	4,526
Erie	3,947	Sullivan	189
Essex	86	Tioga	51
Franklin	68	Tompkins	276
Fulton	69	Ulster	370
Genesee	80	Warren	187
Greene	79	Washington	64
Hamilton	6	Wayne	84
Herkimer	80	Westchester	6,489
Jefferson	154	Wyoming	40
Kings	5,278	Yates	22
Lewis	20	Outside N.Y.	
Livingston	67	State	42,263
Madison	96	Missing County	17,711
Monroe	2,750		
Montgomery	83	First Department	62,746
Nassau	10,210	Second Department	34,203
New York	60,823	Third Department	7,706
Niagara	332	Fourth Department	11,062
Oneida	518		
Onondaga	2,068		
Ontario	148		
Orange	753	Total	175,691
Orleans	25		
Oswego	107		

TABLE 17
APPOINTMENT OF FIDUCIARIES
APPLICATIONS BY COUNTY
AS OF 12/31/98

LOCATION	INDIVIDUALS		INSTITUTIONS		TOTAL		LOCATION	INDIVIDUALS		INSTITUTIONS		TOTAL *	
	Filed	Filed	Filed	Filed	Filed	Filed		Filed	Filed	Filed	Filed	Filed	Filed
	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	4/01/86- 12/31/98		01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98	01/01/98- 12/31/98	04/01/86- 12/31/98
Albany	24	656	...	2	24	658	Niagara	75	1054	75	1054
Allegany	5	152	...	1	5	153	Oneida	5	251	...	1	5	252
Bronx	153	3536	...	7	153	3536	Onondaga	15	306	3	3	18	309
Broome	3	384	...	3	3	387	Ontario	26	402	...	1	26	403
Cattaraugus	11	323	...	1	11	324	Orange	24	723	24	723
Cayuga	3	164	...	1	3	165	Orleans	15	266	15	266
Chautauqua	12	357	12	357	Oswego	4	141	4	141
Chemung	3	79	3	5	6	84	Otsego	4	122	...	1	4	123
Chenango	1	134	...	3	1	137	Putnam	40	896	...	1	40	897
Clinton	3	73	...	1	3	74	Queens	195	4906	...	9	195	4915
Columbia	8	226	...	1	8	227	Rensselaer	17	485	...	1	17	486
Cortland	3	121	...	2	3	123	Richmond	62	1771	...	5	62	1776
Delaware	0	115	...	3	0	118	Rockland	41	1352	...	2	41	1354
Dutchess	26	807	...	1	26	808	St. Lawrence	2	74	3	74
Erie	115	1704	3	5	118	1709	Saratoga	23	574	...	1	23	575
Essex	6	108	6	108	Schenectady	19	531	...	1	18	532
Franklin	3	72	3	72	Schoharie	3	113	...	1	3	114
Fulton	5	129	5	129	Schuyler	2	58	2	58
Genesee	25	411	25	411	Seneca	1	113	...	1	1	114
Greene	5	185	...	2	5	187	Steuben	6	154	...	3	5	157
Hamilton	1	57	1	57	Suffolk	116	2955	...	5	116	2960
Herkimer	2	137	2	137	Sullivan	6	198	...	1	6	199
Jefferson	6	81	...	1	6	82	Tioga	4	159	...	2	4	161
Kings	199	5130	...	9	199	5139	Tompkins	5	101	...	1	5	102
Lewis	0	64	0	64	Ulster	10	373	3	3	13	376
Livingston	20	304	3	5	23	309	Warren	12	219	12	219
Madison	3	229	...	1	3	230	Washington	11	185	11	185
Monroe	60	889	3	6	63	895	Wayne	19	342	...	1	19	343
Montgomery	6	158	...	1	6	159	Westchester	130	3267	...	4	130	3271
Nassau	168	4757	...	8	168	4765	Wyoming	15	260	13	260
New York	278	5272	...	9	278	5281	Yates	8	112	3	4	10	116
Totals								2072	49,229	21	130	2093	49,359

* Applicants may list more than one county. The total for January 1, 1998 through December 31, 1998 represents the distribution of 695 applications. The total for April 1, 1986 through December 31, 1998 represents 17,891 applications.

Table 18
APPOINTMENTS OF FIDUCIARIES
Appointments Reported by County
January 1, 1998 through December 31, 1998

<i>Location</i>	<i>Total</i>	<i>Location</i>	<i>Total</i>
Albany	155	Otsego	17
Allegany	9	Putnam	35
Bronx	527	Queens	886
Broome	78	Rensselaer	86
Cattaraugus	32	Richmond	72
Cayuga	47	Rockland	103
Chautauqua	66	St. Lawrence	57
Chemung	47	Saratoga	75
Chenango	6	Schenectady	95
Clinton	36	Schoharie	16
Columbia	24	Schuyler	8
Cortland	8	Seneca	10
Delaware	29	Steuben	25
Dutchess	104	Suffolk	671
Erie	716	Sullivan	38
Essex	27	Tioga	16
Franklin	29	Tompkins	25
Fulton	21	Ulster	91
Genesee	24	Warren	31
Greene	6	Washington	19
Hamilton	1	Wayne	47
Herkimer	31	Westchester	365
Jefferson	75	Wyoming	19
Kings	769	Yates	12
Lewis	17		
Livingston	26		
Madison	29		
Monroe	397		
Montgomery	21		
Nassau	551		
New York	766		
Niagara	126		
Oneida	121		
Onondaga	341		
Ontario	55		
Orange	96		
Orleans	7		
Oswego	21		
		Total New York State	8,260