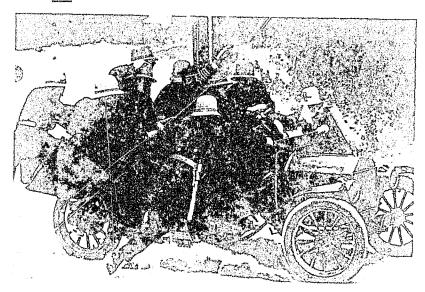
If you have issues viewing or accessing this file contact us at NCJRS.gov.

APPENDIX F: Inglewood, California, Recruitment Brochure and Application, 1970

Inglewood's Police Chief Is Retiring



AND WE'RE SEENING HIS SUCCESSOR

The Police Chief we seek is one who is capable of filling this highly responsible executive position as a very important and integral part of the Administrative Officer's management team,

An executive salary plan provides for appointment within a current monthly salary range of \$1685 to \$2258. All salary increases after appointment are given on merit in any deserved amount. The salary range and individual performance are reviewed at least annually.

The City of Inglewood has embarked on many exciting administrative and community programs, including performance budgeting, data processing, and employee labor relations. A multi-million dollar revitalization of our downtown and a \$27 million dollar Civic Center and County Courthouse and related buildings are underway.*

Inglewood is a highly urbanized community containing nine square miles having 90,000 population. The Forum and Hollywood Park Racetrack **r* sports events of every nature are in the City, and Los Angeles international Airport is immediately adjacent. The Police Chief must guide the activities of this 207 man Department on a three million dollar budget with tact, initiative, insight, administrative ability, and good judgment and understanding of community relations. As part of the administrative team, the effective, efficient, and economical use of manpower and a positive and effective public relations program is mandatory in providing this City with excellent law enforcement services. The City is undergoing a unique ethnic pattern change in that 10% of the total population are newly arrived, well-educated, middle class members of minority groups. All these factors demand sophisticated services from the Police Department.

The City's present police facility is being expanded and modernized at a cost of over one million dollars as part of the new Civic Center. It is shown below.



To participate in this selection process, you should have a degree in Police Science or a related administrative field from an accredited university or college, supplemented by considerable recent police administration experience preferably in California. A combination of applicable university and college education taken toward completion of a degree, and public safety administrative experience will be evaluated and may be accepted.

The selection procedure will consist of three parts. The first part, qualifying only, is an evaluation of candidates' applications and resumes. The second part, also qualifying only, is a written essay examination to be taken by the candidate in his home on a closed book basis, and to be evaluated together with the resume, by a seven member evaluation panel. The third part, weighted 100%, is a personal interview by a seven member interview panel. Final reference checks, medicals, and background investigation will be conducted for the top three candidates after completion of the selection process, with final appointment being made by the Administrative Officer, subject to City Council review.

All employees must reside in the City within one year after employment.

Filing deadline is 5:00 p.m., P.S.T., December 11, 1970.

Additional information about the Department, City, and fringe benefits will be sent on request after receipt of application. No provisional or temporary appointment has been or will be made. This is a completely open selection process which is being advertised nationally.

September 4, 1970

Inglewood is "A Fair & Equitable Employer"

EPN 8170

Date Received

CITY OF INGLEWOOD Application for Employment

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City Hall	ffice							
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IV. EMPLOYMENT RECO

Attach resume covering all applicable work experience stating employment dates; position description; salary; employer; and reason for leaving or changing jobs.

V. EXPERIENCE IN DEALING WITH PUBLIC

Indicate briefly your experience in dealing with to this high-level administrative position.	the public which would be pertinent

VI. TRANSMITTING LETTER

Please provide a cover letter of not more than 150 words stating why you are applying for this position.

lf additional space is needed to answer questions on this application, supplemental sheets may be attached or provisions made in your resume.

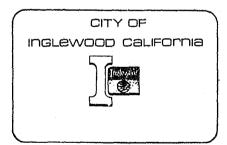
VII. Certificates or Licenses of Professional or Vocation Competence:

Membership	in	Professiona?	or	Technical	Associations	and	offices	held:
			_					

Certificate of Applicant (Read carefully before signing.)

I hereby certify that all statements made in this application and the attached resume are true and complete and that any misstatement of facts will subject me to disqualification or dismissal.

Date ______ Signature in full _____



APPENDIX G: Application and/or Resume Appraisal Guide, Inglewood, California, 1969

10/69

APPLICATION AND/OR RESUME

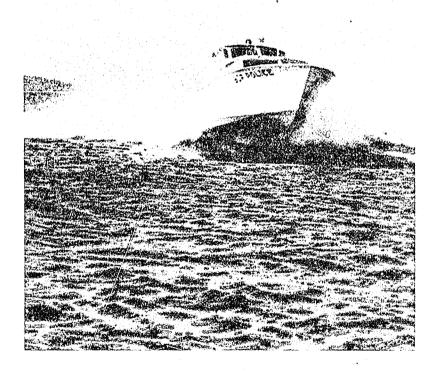
APPRAISAL GUIDE

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	Evaluator's Signature:							

APPENDIX H: Recruitment Brochure, Seattle, Washington, 1970

(The brochure was prepared for the City of Seattle by McCann Associates, a public management consulting firm.)

THE
CITY OF SEATTLE
WASHINGTON
IS SEEKING A CHIEF OF POLICE



STARTING SALARY \$26,000 APPLY BEFORE APRIL 25, 1970 SEATTLE IS AN EQUAL OPPORTUNITY EMPLOYER



This opening for Chief of Police of the City of Seattle, Washington, affords a great challenge and an outstanding opportunity for professional advancement in police administration. A firm foundation for an outstanding police force exists in Seattle's enlightened political leadership, its good basic police organization and its adequate financing. Innovative, progressive, vigorous leadership can easily develop the Seattle Police Department anto the finest big city police organization in the country.

THE COMMUNITY

Seattle, the hub of the rapidly growing Pacific Northwest, has about 600,000 population. The Seattle-Tacoma-Everett metropolitan area is estimated at 1,000,000 people.

Seattle is considered to be a white-collar city with approximately 53% of its population engaged in professional and service occupations. The levels of education, median family income, and home ownership in the Seattle area are high compared to the United States generally. The Seattle-Tacoma-Everett area is ranked as the third largest metropolitan economy on the West Coast and one of the fastest growing in the nation. More than one-half of the 1.2 million jobs in the state are concentrated in this area. There are 30% more professional and white-collar workers per 100,000 population than the national average.

Optimism for the economic future of Seattle is high. Industries are growing at an unprecedented rate. Total employment in the Seattle-Tacoma-Everett area is expected to increase 32% during the period 1965-1975.

Excellent public and parochial schools are located here. The University of Washington, Seattle University, Seattle Pacific College, and several community colleges are in the Greater Seattle area.

The community as a whole demonstrates a commitment to "quality living." The famed 100-acre Seattle Center serves as the cultural, entertainment and recreational focus of the community. Downtown theatres book plays, musical and stage shows, and film houses schedule first-run U.S. and foreign films.

The Olympic Peninsula's ocean beaches and Puget Sound provide water sports and boating. The Cascade Mountains provide hunting, fishing and outdoor life and Mount Rainier is to be climbed because "it is there." The city has entered on a \$65 million expansion and improvement of its already excellent and extensive park and recreation facilities.

Further description of what Seattle offers may be found in the brochure entitled "Seattle—the Swinging Gateway" which accompanies this brochure.

THE FORWARD THRUST CAMPAIGN

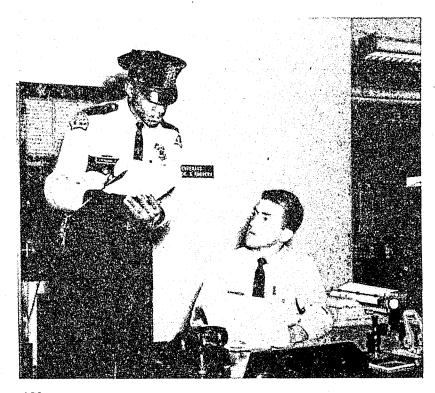
Forward Thrust is a community sponsored, financed and operated organization of citizens concerned with effective long range planning of capital projects and the maintenance of proper priorities.

One of its major projects is a rapid transit system for the Seattle area at a cost in excess of a billion dollars. On the ballot May 19 will be a bond authorization proposition for \$440,000,000 for the local share of the cost of the transit system

Another ballot proposition on May 19th, is a Public Health and Safety Facilities Bond issue of \$40,100,000. This will provide a variety of facilities for the Seattle Police Department and the police departments of other cities in the County, including sorely needed additional head-quarters space for the Seattle Police Department, a county correctional facility available to all municipalities in the county, and a rehabilitation center for Seattle's "skid row" habitues.

THE GOVERNMENTAL STRUCTURE

The City of Seattle operates under a strong mayor-council form of government. Executive and administrative control of the city is vested in the mayor who is elected for a four-year term. Except for the other



elected positions of comptroller, corporation counsel, treasurer and municipal court judges, the mayor appoints all boards and department heads subject to city council confirmation.

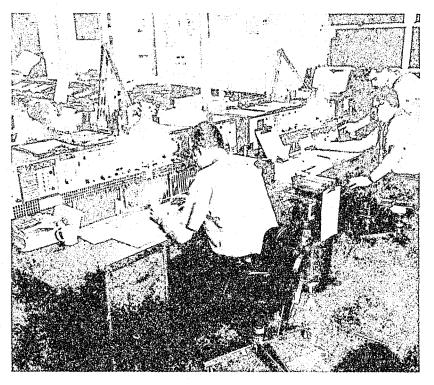
In November 1969, the voters of Seattle elected Wes Uhlman to be Mayor for the next four years. At 34, he has already been an experienced attorney and state legislator, and has established a reputation as a strong and progressive leader open to new and innovative ideas and programs.

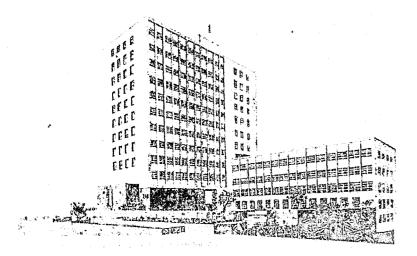
The city council consists of nine members, all elected at large with staggered four-year terms. Recent elections have greatly changed the character of the City Council, so that it also is progressive and enlightened. Many of the appointed city department heads are also young, vigorous men.

The city government provides all the usual municipal services and in addition operates a municipal electric power utility and public transit. The city has an extensive system of parks and recreational facilities including playgrounds, a zoo, three public golf courses and numerous beaches and boat moorings for its outdoor-oriented population.

ABOUT THE POLICE DEPARTMENT

The Chief of Police is the top executive of the Seattle Police Department. The city charter provides that the Chief of Police shall





manage the Police Department and be responsible to the Mayor for the administration of the Police Department and the enforcement of law.

The Mayor expects the Chief of Police to run the Police Department in accordance with the Mayor's basic philosophies. Within this framework, the Chief will initiate police policies and procedures for the operation of the Department. The Chief appoints and promotes all sworn and civilian personnel, in accordance with civil service procedures. The Chief has full disciplinary powers and can suspend, demote or dismiss employees, subject to appeal to the Civil Service Commission.

The Chief has full authority to organize and reorganize the Department and to direct its operation with established policies. The organization chart of the Seattle Police Department is shown on pages 8 and 9.

The 1970 strength of the Department of 1150 sworn men and 260 civilians is slightly better than two per thousand population. In 1969, 120 additional men were authorized. The Department is in the process of hiring civilians to staff the jail, thereby releasing sworn men for police duties.

The working hours are equivalent to 40 hours per week with a six-on, two-off cycle, and five watches in the Patrol Division. Men are paid overtime at time and a half for work in excess of eight hours a day or 40 hours a week.

Policemen candidates are vigorously recruited and hired after careful screening by the Civil Service Commission. All new men are required to successfully complete a 13-week course in the Seattle Police Academy. The Department is a young department; the average length of service of all sworn employees is about four years. The average level of education of the Department is about one year of college and over 200 men are currently

attending college.

About 99% of the men of the rank of Sergeant and below are members of the Police Officers Guild, an independent professional employee organization which is not affiliated with any union or other police employee organization. The Guild is the recognized bargaining unit for its members and has a contract with the city covering wages, fringe benefits and working conditions. State law provides mediation in the event a dispute cannot be resolved and authorizes binding arbitration by volunteer agreement of the parties.

A Conference Board made up of three Guild members, the Chief and two Assistant Chiefs, meets monthly to discuss a prepared agenda of major problems involving police work.

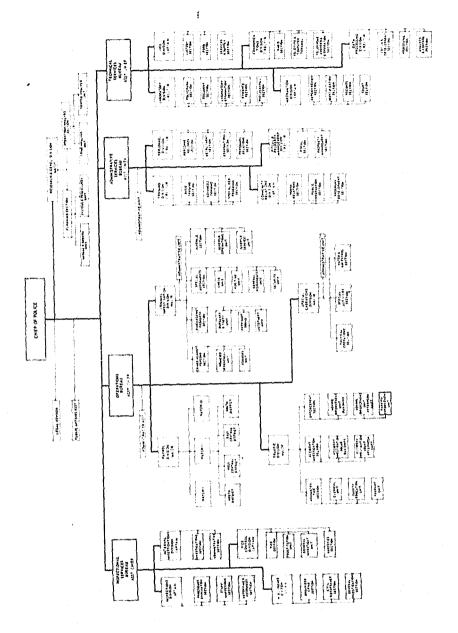
The Department has about 150 patrol cars, operates about 2/3rds of its patrol beats with one-man cars, and is buying three helicopters. In April a new \$600,000 central communication system will become operative. This will include police, fire and emergency services. A complete computerized records system will also become operative shortly.

The headquarters functions of the Seattle Police Department are housed in a new, well-planned Police-Health Building in downtown Seattle. The additional space, expected to be made possible by the Public Health and Safety bond issue will probably be obtained by moving the Health Department to other premises and turning over their space to the Police Department.

Unusual organizational features of the Police Department are the Internal Investigations Division and the Water and Air Patrol Section. The Community Relations Division is especially effective. One of its activities is a "ride-along" program for adults in which interested citizens ride with a Community Relations Officer and answer police calls with patrol cars. Several hundred names are on the waiting list for this program.

Departmental activity is summarized in the table below:

	1968	1969	1970
Apprehension Activity	Actual	Estimate	Estimate
Crimes Investigated (Major Cases)	58.863	76.500	88.000
Juvenile Cases Investigated	11,635	12,600	13,600
Arrests (Excluding Traffic Arrests)	22,618	17,000	17,000
Traffic Arrests and Citations	309,215	262,850	260,000
Prevention Activity			
Public Information Presentations	600	1,110	1,475
Public Information "Tours"	21	48	60
Other (Displays)	10	. 14	18
Both			
Traffic Accidents Investigated	11,641	11,000	11,000
Complaint Calls Received	228,504	259,000	270,000
Complaint Calls Acted Upon	170,489	200,600	230,000



THE POLICE SITUATION

Seattle is about 15 miles long and three to five miles wide. Lakes, a large river, a ship canal and a large bay all divide the city. Interstate Highway 5, the main north-south route, runs through the city just east of the downtown business district. Located on Puget Sound, Seattle has a major harbor area to be policed.

Puget Sound and Lake Washington form the entire west and east boundaries of the city. Two floating bridges across Lake Washington give access to built-up suburban areas east of the city. On the north and south, the city is bounded by fully-developed unincorporated areas of King County and by other municipalities, but the boundaries are not physically obvious.

In 1967, The International Association of Chiefs of Police completed a comprehensive survey of the Seattle Police Department. Many of their recommendations have already been implemented.

In the fall of 1969, the Police Chief, who had been appointed Chief in 1960, retired after 27 years of service. At the time, the newspapers reported without confirmation that the retirement resulted from a "Palace Revolt" of three of the four Assistant Chiefs. The Mayor at that time, who did not run for reelection, appointed the Major who commanded the Patrol Division as acting Chief, pending recruitment and selection of a permanent Chief.

For many decades the publicly avowed policy of elected and appointed officials of the city had been to tolerate locally controlled gambling. This included bingo and public card rooms. Largely as a result of disclosures resulting from a major "raid" in 1969, the policy of tolerance has been replaced by a policy of strict enforcement.

In 1969, the Federal Grand Jury for Western Washington started an investigation into violations of Federal laws in Seattle and King County, with particular reference to gambling. In January, 1970, the Grand Jury indicted the former King County Sheriff for perjury in connection with the investigation and in February 1970, indicted the operators of several gambling enterprises.

Wide streets in the downtown area, the wise use of limited access roads to move traffic, including a waterfront viaduct, metered parking and good traffic engineering and enforcement have kept Seattle's traffic problem under control.

The crime situation in Seattle is portrayed by Part I offenses reported in the Uniform Crime Reports. In 1968, the total was 25,242 or 4,207 per 100,000 population. In 1969, the total was 35,186 or 5,854 per 100,000 population, an increase of 39%. The comparable rate from King County excluding Seattle, is 2,570 per 100,000 population.

Seattle is reported to have less organized crime than many similar cities. For a substantial period, the Seattle police were seriously hampered in preventing street-walking by a court decision that invalidated state laws

against loitering or soliciting. As a result, street-walking was rampant. Newly adopted laws have largely eliminated the problem.

Juvenile problems are typical of any large city, with considerable delinquency among children of economically underprivileged families in three sections of the city. The public school system maintains its own security force with police powers. Its function is largely investigation. In addition, an active radical left, largely centered on university campuses, is a problem typical of several West Coast municipalities. Serious disturbances occurred at the Federal Court House as an aftermath of the Chicago Seven trials.

Seattle has several minority groups, Oriental, Indian and Negro. The Negro population, estimated at 10% of the city's total population, is concentrated in a section called the Central Area east of the downtown business district. Several schools at each level are 50% to 90% Negro despite a program of voluntary busing of white students into Negro schools and Negro students into white schools.

Despite the small portion of population, Negroes and Negro organizations are greatly concerned with police problems and have alleged that Negro offenders are systematically treated differently than whites involved in the same offenses. The Black Community is very much concerned with the type of person to be chosen for Chief.

ABOUT THE JOB

The starting salary for the position of Police Chief of \$26,000 is supplemented by generous fringe benefits. A new liberalized pension plan, under State law, provides a generous pension after retirement and a widow's benefit if the Chief dies, whether or not service-connected, prior to retirement. This benefit is 50% of salary to the widow for her life or until she remarries and can be up to 60% if there are minor dependent children.

A \$5000 life insurance policy is provided and the Chief can purchase up to \$26,000 additional at a nominal cost. The City provides hospitalization, surgical and major medical protection for the Chief without cost and the Chief can purchase similar coverage for his family. Twelve working days vacation is granted in the first five years of service, and the vacation allowance increases by two days additional for each five years of service up to 25 working days. Six months sick leave with full pay is allowed and thereafter half pay disability retirement.

It has been the custom of the city to pay the moving expenses of persons appointed to positions as heads of departments.

WHY NATIONWIDE RECRUITMENT?

The Seattle City charter provides that the Chief of Police shall be appointed by the Mayor, subject to confirmation by a majority vote of all members of the city council. He shall be selected by the Mayor from

among the three highest ranking candidates in a competitive examination to be conducted under the direction of the Mayor.

After his election in November, 1969, Mayor Uhlman appointed a seven member Chief Police Selection Committee to carry out the provisions of the charter in the selection process. The chairman of the committee is Bennett Feigenbaum, Assistant General Attorney, Pacific Northwest Bell Telephone Company. The members of the committee are: G. John Doces, a prominent downtown businessman and civic leader; R. Mort Frayn, a printing executive and a member of the Board of Regents of the University of Washington; Reverend Samuel McKinney, pastor of Mount Zion Baptist Church (largest predominantly Black church in the State) and past-President of Greater Seattle Council of Churches; Sergeant Pat Murphy, President of the Seattle Police Officers Guild; Frank Perkins, a member of the City Planning Commission and past-President of the Seattle King County Board of Realtors; and Mrs. Gladys Perry, educator and past-President of the Washington Educational Association. The committee represents a good cross-section of the citizenry of the City.

Nothing in the Charter either requires that the competitive examination be opened to anyone outside the Seattle Police Department or prevents filling the position by promotion. As its first step, the Committee held public hearings in regard to the requirements for Police Chief and heard testimony from many community organizations and interested citizens. The hearings disclosed strong differences of opinion as to whether the Chief should come from inside or outside of the Department. After serious consideration, the Selection Committee decided that it is in the best interest of the City of Seattle to conduct a nationwide recruitment campaign and to use rigorous selection procedures to obtain the best qualified person for the position, regardless of where he comes from.

The Selection Committee has obtained the assistance of an outside consulting firm, McCann Associates of Huntingdon Valley, Pa., to help them in the recruitment and selection processes.

It is expected that the acting Chief, several of the Assistant Chiefs, and other members of the Seattle Police Department will compete, but no preference will be given in the selection process to men in the Department.

MINIMUM REQUIREMENTS

In order to be permitted to compete, each applicant must, as of April 1, 1970 meet the following requirements:

- Be a graduate from a senior high school or its equivalent.
- Have a record of recent, progressive experience in police administration, or equivalent administrative experience.
- 3. Have police command experience, either:
 - (a) For two years in full command of a Police Department (chief, Commissioner, sheriff, etc.)
- or (b) For three years as chief deputy to the commander of a

police department,

- or (c) For four years in command of the entire department on an assigned shift, or in command of a large geographical district on a shift, or in command of a major line division of the department, or in command of the planning function, the training function or all other administrative services,
- or (d) Have an equivalent combination of the above kinds of command experience, or administrative experience.

Any member of the Seattle Police Department who has held permanent civil service rank as Lieutenant or higher since April 1, 1966 will be deemed to meet this requirement of police command experience.

Experience in a Police Department with less than 50 sworn men will not ordinarily be accepted.

Experience teaching exclusively police subjects as a full-time faculty member of an accredited school of police administration at the collegiate level or other equivalent experience may be substituted for the required command experience.

- 4. Have been born between April 1, 1915 and April 1, 1940.
- Be of good character and reputation. Any arrest for a felony or misdemeanor, other than traffic offenses, or a record of habitual, abusive use of drugs or alcohol will be disqualifying.
- 6. Be in excellent health, have normal vision and hearing and have no disqualifying physical defects.

THE WRITTEN TEST

One-half of the written test will be on the principles and practices of police administration; the other half will test the applicant's knowledge of police supervision, race relations, investigative judgment and the ability to interpret table and text material. The written test may also include tests designed to measure the candidate's motivation toward police work, his personality and his emotional maturity. The test will take three and one-half to five hours to complete.

The written test will be held on May 22, 1970 in Seattle, Washington and elsewhere. Arrangements will be made so that each candidate can be tested under secure conditions at a place not more than 100 miles from his home city.

THE ORAL TEST

A relatively small number of candidates who earn the highest written scores will be invited to participate in two separate oral tests, which will be held consecutively in Seattle.

The oral examiners will be the seven members of the Police Chief

Selection Committee, two Police Chiefs and Forbes E. McCann, President of McCann Associates. The examiners will be divided into two Boards of five members each. Each candidate will be interviewed by each Board separately. Each interview will be of about two hours duration.

Each Board will rate each candidate separately on the following factors:

- Knowledge of and ability in the executive management of a
 police department, including personnel management, training,
 research and planning, budgeting, community relations, law
 enforcement at the city level, and innovative police action
 programs;
- 2. The ability to deal effectively with the public, with community organizations, with subordinates and with superiors;
- 3. The ability to organize and to present his ideas effectively and persuasively,
- 4. The candidate's emotional maturity and stability.

All the oral tests will be held in Seattle, Washington. The city will reimburse each candidate invited to the orals for his reasonable transportation and living expenses.

Arrangements may be made so that while each candidate is in Seattle he may have a guided tour of the city and be provided with an opportunity to inspect the police department and its records and to talk with top command officers.

The oral tests are tentatively scheduled for the third or fourth week of June. Each candidate invited will be given at least one week advance notice.

MEDICAL EXAMINATION

Each candidate invited to the orals will be required to take a comprehensive medical examination while he is in Seattle to take the orals.

BACKGROUND INVESTIGATION

An intensive on-site background investigation will be made of the top three to five candidates who remain in consideration for appointment after the oral tests. Care will be taken not to embarrass the candidate or to place his present employment in jeopardy.

Candidates may be required to make full disclosure of their financial affairs.

FINAL SCORES

The final score of each candidate who has passed the written test and

both oral tests will be computed by weighting the written score by 20% and each oral score by 40%. Washington law requires giving a 10% veterans preference, or in some cases only 5%. This preference is allowed only within 5 years of discharge from military service. The final ranking will be based on the average including veterans preference.

FINAL RECOMMENDATIONS

The results of this competitive examination process will be reported by the Police Chief Selection Committee to the Mayor. The Mayor is required to make his selection from among the three highest ranking candidates. The three highest ranking candidates may be invited to return to Seattle for personal interviews with the Mayor and others in the city of Seattle.

HOW TO APPLY

Complete the enclosed application form and the enclosed supplementary application and mail them to McCann Associates, 2755 Philmont Avenue, Huntingdon Valley, Pa. 19006 on or before April 25, 1970. Additional applications and brochures can be obtained from McCann Associates.

APPENDIX I: Written Examination, Santa Monica, California, 1973

Below are the four questions that the City of Santa Monica asked of those selected after review of applications received. Each question was on a separate page with one additional page attached to it. Applicants were requested to respond on the paper provided via double-spaced typing. Applicants' names were placed on a cover sheet but not on the individual response sheets.

A specific date and time was provided when the applicant would be notified if he was to be interviewed (also a specific date).

1. You, as Chief of Police, are notified by the Watch Commander at 2:45 a.m. one weekday morning that a young person, confirmed to be a close relative to a member of the Santa Monica City Council, has been found unconscious from an apparent overdose of illegal drugs. The young person was found by police officers of the Los Angeles Police Department in a West Los Angeles "hippy pad" type commune. The LAPD notified the SMPD which is why your Watch Commander is calling.

What would your actions be under these circumstances and what orders would you give your waiting Watch Commander?

2. You are appointed as Santa Monica's Chief of Police. One of the problems with which you are confronted during the first six months of your career in Santa Monica is federal action against your department. The Equal Employment Opportunity Commission has cited your department with illegal employment practices on the basis of race. They contend that there is adverse impact as a result of your selection procedures.

How will you attempt to remedy the situation? Can you justify your methods of remedy?

3. The fourth of July 1974 is going to be a beautiful day. There will be a 250,000 beach population. The Pacific Coast Highway along the beach will be jammed as usual on such days and the bulk of the people in the area will probably want to stay to view the

traditional fireworks display which originates from the end of Santa Monica Pier.

Using whatever knowledge you have or can acquire for the purpose of this exercise, describe your "game plan" for coverage of the City of Santa Monica as its Police Chief during this period. What extraordinary problems neight you anticipate and how would you prepare to meet them?

4. If you had \$30,000 for a community relations program, how would you spend it? What, if any, additional annual funding for this program would be required? Why?

APPENDIX J: Written Examination, Seattle, Washington, 1974

Describe your conceptualization of "police professionalism," and:

- a. Note the similarities and differences between your conceptualization of police professionalism and those of other nationally recognized experts in the law enforcement community.
- b. Relate specific instances in your career when you have been the instigator or conspicuous supporter of departmental policies and practices that were designed to make your conceptualization of police professionalism a working reality. (For each instance noted, please give the year it occurred and your immediate supervisor at the time along with address and telephone number where he/she can be reached now.)
- c. What were the results that occurred in each of the instances described in (b).
- d. Describe, in priority order, three major administrative actions you would take as chief of the Seattle Police Department during your first year on the job. Specifically note how each would promote your conceptualization of police professionalism.
- e. Describe and discuss how "affirmative action" mandates relate to your conceptualization of police professionalism.
- f. Analyze the interrelations you see between your conceptualization of police professionalism and the role of police employee organizations (i.e., unions or associations) and the process of collective bargaining and arbitration.
- g. Describe and discuss the relations you see between public accountability and your conceptualization of police professionalism.

APPENDIX K: Oral Review Board
Candidate Evaluation
Form, St. Louis
County, Missouri, 1972

Oral Review Board Candidate Evaluation Forum

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Question Number

- In the second portion of the written examination you were asked a significant question in regard to discretion.
 - a. What have you done since then to further clarify, in your own mind, the police administrator's role in regard to discretion, and
 - b. Tell the board what your responsibility would be in regard to discretion us chief of a large police department.

1 - Poor 2 - Fair 3 - Average 4 - Good 5 - Ex	cellent
Analysis of Problem ability to properly understand, correct interpretation of question,	P F A G E
Reasoning logic, analytical thought, clear orderly thoughts	
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Question Number

 Tell us what you believe the components of discipline to be, how you would develop a sound disciplinary program for a large police department, and what relationships should exist between the department and citizens who complain about police conduct.

4 - Good

5 - Excellent

3 - Average

1 - Poor

2 - Fair

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Question Number

 Explain what the goals of a career development program should be in a large police department and what plans you would implement to achieve them.

1	- Poor	2 - Fair	3 - Average	4 ~ Good	5 - Excell	ent
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Question Number

4. Explain your views on recruitment of police personnel in a large police department in regard to age, height, intelligence, education, and polygraph and psychological or psychiatric examinations, as well as in regard to women and members of minority groups such as blacks and Chicanos.

1 - Poor 2 - Fair	3 - Average	4 - Good 5 - Exc	ellent
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		divide by 2	■ Total m points 12 1/2

Comments:

5. If you are requested to do so, will you submit a detailed and current personal financial net worth statement and authorize the St. Louis County Board of Police Commission to have it verified?

APPENDIX L: Oral Questionnaire with Follow-up, Seattle, Washington, 1974

Question A

While you are on vacation, a member of the City Council contacts a Captain in the North precinct and indicates a desire that the "no parking restrictions" in a specific residential area be more stringently enforced. To date, the department has reluctantly employed the parking citation issuance and follow-up tow-away request authority. After receiving the Council member's complaint, the Captain orders the patrol to strictly enforce parking regulations, ticketing every car in violation of the parking code and ordering tow-aways as authorized. This mandate leads to the immediate issuance of a large volume of tickets and a comparable expression of public dissatisfaction. This is the situation when you arrive on the job the next morning.

What actions would you take in this situation?

Follow-Up

- 1. Would you say anything to the Captain? If so, what?
- 2. Would the Council member's complaint merit a response? If so, what? Why?
- 3. How, if at all, would you respond to the news media who are demanding an explanation for the sudden change of enforcement?
- 4. Should the Captain have handled the situation differently? If so, how?
 - a. Any benefit in news publicity prior to the enforcement?
 - b. Any benefit in warning tickets?

Question B

In a major urban jurisdiction, should the Police Department have a policy which pertains to the towing of disabled vehicles? If so, what?

Follow-Up

- 1. If applicant opposes a policy:
 - a. What are your objections?
 - b. What will your response be when police are charged with accepting remuneration for recommending specific towing services?
- 2. If applicant favors a policy which precludes police involvement:
 - a. Are the police assuming a responsibility by recommending towing companies? If so, what?
 - b. What is the procedure for clearing wreckage from an accident scene without recommending specific towing services?
- If applicant favors a policy which allows for limited police involvement:

2a.

1b.

Question C

During your career as a police official, are there any laws which have existed, but which you have not enforced?

Follow-Up

- 1. If Yes:
 - a. Could you delineate certain examples?
 - b. Is it correct to state that a police officer is obligated/sworn to enforce the law? If so, can you justify failure to enforce?
 - c. Are sworn officials subject to penalties for failure to enforce laws?
- 2. If No:

- a. Are any laws unrealistic and/or impractical?
- b. Is it possible for any law to merit enforcement more than any other law?
- c. Realistically, how would the public react to enforcement action against every violation of every law?

3. For either response:

- a. Should the police do anything about "unpopular" laws?
- b. As a police commander, would you have a specific responsibility with respect to "unpopular" laws?

Ouestion D

There is a growing interest in defining what role, if any, civilians should play in the review of department law enforcement activities. Regardless of existing contract provisions, what is your recommendation on a Civilian Police Review Board?

Follow-Up

- 1. If in favor:
 - a. What is your rationale for establishing such a Board?
 - b. What would be the scope of the Board's authority and responsibility? Would the Board be advisory in nature? If so, who would make the final determination?
 - c. How would you propose selecting Board members?
 - d. Do you foresee any problems with the police officers accepting this approach? If so, what are they and how would you propose to overcome them?

2. If opposed:

a. Why do you oppose such a Board?

b. How do you propose to maintain public confidence in the handling of police brutality charges?

Question E-I (Non Seattle Police Department)

The individual selected as Chief will come into a well organized 1400 person police department. The Chief, if from outside the department, will be coming in over several ranking officers, each of whom may believe that he should have been selected for the position. Many of these individuals have been in the department for ten to twenty years and have during this time acquired their own supporters.

In such an instance there is always the possibility that the department, be it police or a utility, will join in "shutting out" a new Director/Chief selected from the outside.

- A. In your opinion, how serious is this possibility?
- B. What would you do as the new Chief to prevent this from occurring and to stop it if it did occur?

Follow-Up

- 1. If the applicant does not regard this as a problem:
 - a. Why does he/she not feel that it will be an obstacle?
 - b. How does he intend to detect whether it is happening?
- 2. If the candidate believes it will be a major problem:
 - a. Why?
 - b. Have you been involved with a similar problem before? In what capacity? What steps did you take?
- 3. Ask general follow-up questions regarding the policies and procedures the applicant would employ.

Question E-II (Seattle Police Department)

- A. Do you believe this could pose a problem for you if selected as the new Chief?
- B. What would you do to prevent this from occurring, and to stop it if it were to occur?

Follow-Up

Questions will vary with responses to A and B.

Question F

Regardless of the current organization framework, where would you, as Chief of the Seattle Police Department, assign the responsibility and authority for preventing vice and investigating crimes of that nature?

Follow-Up

- 1. If response is to create a separate Vice Unit:
 - a. Why?
 - b. In your opinion, is it desirable to use minor criminals as police informers? If so, do you see any operational relationship problems if Vice is a separate organization unit? If so, how would you rectify them?
 - c. Is there any reason to rotate staff of a Vice Unit?
 - d. What method would you recommend to discourage and prevent grafting by members of the Vice Squad?
- 2. If response is to assign responsibility and authority to the Patrol Division:

- a. Does vice prevention and investigation require specialized skills? If so, what percentage of patrolmen are qualified to perform the function?
- b. How would you propose to hold a Precinct Commander responsible for vice in his jurisdiction?

Question G

As Chief of the Seattle Police Department, would you establish an Internal Intelligence Unit? Why or why not?

Follow-Up

1. If Yes:

- a. What would be the Unit's functional responsibility?
- b. Where in the organization would the Unit report?
- c. Is your concept of an Internal Intelligence Unit compatible with a departmental chain of command?
- d. How would you know whether or not to trust members of this Unit?
- e. How would the members be selected?

2. If No:

- a. What do you regard as the function of such a Unit?
- b. Would you provide for the performance of this function in the Seattle Police Department? If so, how?
- c. Would you investigate rule violation complaints? If so, how?
- d. What method would you use to acquire the facts in a case of a subordinate's complaint against his/her superior?

Question H

- 1. Have you had previous experience with minority and women's recruiting programs?
- 2. What are the primary barriers to the implementation of an affirmative action program in the police service? What steps would you take to overcome these obstacles?
- 3. What would you do, if anything, as Chief of the Seattle Police Department to promote equal employment opportunities in the department?

Ouestion I

Would you as Chief utilize civilian employees in the Seattle Police Department?

Follow-Up

- 1. If Yes:
 - a. In what capacities?
 - b. What do you see as the major costs and benefits of civilian employees on a police work force?
 - c. Are there specific functions in the police service which civilians should not perform? If so, what are they?
 - d. Would you consider using civilians in supervisory positions? If so, what functional areas?
- 2. If No:
 - a. Why?

Question J

Please explain to the Committee your understanding of the term aggressive

patrol or preventive patrol.

Could you elaborate on the advantages and disadvantages?

Do you favor this approach to patrolling?

NOTE: Aggressive or Preventive Patrol is an approach placing major emphasis on the *prevention* of crime and adopts the philosophy that vigorous patrol makes crime unprofitable, reduces the opportunities for crime and thus discourages criminal activity. Requires patrolmen to question every suspicious person and condition.

Follow-Up

- 1. If applicant does not recognize the term:
 - a. Ask if he wants to guess at its meaning.
 - b. If not, or if incorrect, then briefly explain the term.
- 2. If applicant favors its use:
 - a. Why?
 - b. Would such a practice increase manpower needs? If so, how would he justify the additional expenditures?
 - c. Minorities may resent this practice, believing it to be discriminatory. How would the applicant deal with this problem?
- 3. If applicant opposes its use:
 - a. Why?
 - b. Any justifiable alternatives?

Question K

Please relate to the Committee your understanding of "collective bargaining." What are current major issues pertaining to the Police Service and what is your position on same?

Regardless of any existing method is Seattle, what role do you think the Chief of Police should play in labor negotiations with a police union?

- a. Why?
- b. What are the primary obstacles, if any, which must be overcome to arrive at and maintain this role?

As Chief of Police, what would be your posture toward the desires of Seattle Police Department employees? What would you regard as your responsibility to the desires of the City Administration?

- a: Do you foresee potential conflict(s)?
- b. If so, please delineate.
- c. How would you resolve?
- d. If no conflict anticipated, pose one and ask for his comment and method of resolution.

Is there a need for confidentiality in the labor negotiation process? Please explain your response.

What method would you recommend for handling/processing grievances?

Ouestion L.

Please define the type of working relationship which you as Chief of Police would seek to establish with the Mayor.

Delineate your rationale.

What initial steps would you take to accomplish this?

What ongoing steps would be required to maintain this relationship?

How does this compare to the working relationship between Police Chiefs and Chief Administrative Officers throughout the country? In many departments, the chief is a man who comes up through the ranks and has made the accommodations necessary to succeed. He thus represents many years of police department socialization, and sometimes is regarded as the chief policeman and not the chief of police. The independence that he maintains from city hall may determine his support within the police department PLEASE COMMENT.

APPENDIX M: Oral Questionnaires, Portland, Oregon, 1973

(Mayor's Questions)

APPLICANT:

DATE OF INTERVIEW:

- 1. Is anything wrong with the Portland Police Bureau?
- 2. What are the central factors that should be considered in making this decision?
- 3. What have you done that is pertinent to the requirements of this job?
- 4. What do you know about maintaining a quality police force in the City of Portland?
- 5. I would like your comments on recruiting, training, etc. What should our bureau look and feel like when you are done? How long before we should see results?
- 6. What are the most pressing problems facing the police function in cities today?
- 7. If you don't get this job, who in the Police Department should?
- 8. How far down in the Police Department Bureau should the Chief go for assistance in policy formulation?

(Mayor's Staff's Questions)

APPLICANT: .

DATE OF INTERVIEW:

- 1. As a career law enforcement officer, what questions do you think should be asked of a candidate for Police Chief?
- 2. What is the Mayor's responsibilities to the Police Bureau?
 - a. About what matters should the Police Chief confer with the Mayor?
 - b. What should the Chief's relationship be with the rest of the governmental functions?
- 3. Please describe your management style and management philosophy.
- 4. To what police functions would you direct your initial efforts and why? Which would you make a part of your office?
- 5. The City Council informs you of a 10 percent cut in your budget. You must, therefore, cut in excess of \$1,000,000 from your budget. How would you approach this problem and what would you do?
- 6. What kind of academic requirements do you think there should be for policemen?

Why?

7. Resume Questions:

APPENDIX N: Questions for Police Chief Candidates, Salem, Oregon, 1973

- 1. Q. How would you, or how have you, ideally organize(d) the office of the Chief of Police and the Chief's top command structure?
 - A. Look for general good principles of management. Has he placed the "Vice" or "Intelligence" or "Internal Security" units directly under the Chief? What steps has he taken to provide for evaluation and analyses of operations?
- 2. Q. What role does the Police Department play within the community and as part of the total City governmental service structure?
 - A. Does he perceive the Department as part of a "community service team," or as the "thin red line" keeping the City afloat? Does he exhibit inter-departmental cooperation?
- 3. Q. How can a Police Chief most effectively further the goals of the Police Department?
 - A. Look for openness with the public, both through programs and personal public relations or contacts.
- 4. Q. What should be the major goals of a Police Department?
 - A. Does applicant express a "keep the peace" and "service" philosophy versus an "enforce the law" viewpoint?
- 5. Q. Within communities you've been associated or acquainted with, what have been the major police problems and what are/were their primary causes?
 - A. Does candidate speak to obvious or visible tips of icebergs, or does he speak to major concerns, root causes of crime, etc.?
- 6. Q. How do you communicate your goals and philosophies to the

officers of the Department? How effective has this worked for you?

- A. What management style does he show by his answer? Is he a rigid "chain of command" man, or is he receptive to new ideas or suggestions from subordinates? Does he hold staff meetings? Does he use them for good two-way communication vehicles?
- 7. Q. What is his budget philosophy? Is he a "game player" here and does it show up elsewhere? Does he perceive the Police Department as "most deserving" in cutting of the budget pie?
- 8. Q. Does candidate speak of accomplishments as *personal* accomplishments, or is credit given to support personnel, other departments, Manager, Council, etc.
- 9. Q. Where does he line up in labor relations?
- 10. Q. How does he handle disciplinary actions? Is he too severe? Too lenient? What does he expect of men? Has he had any problems?
- 11. Q. How does he feel toward use of civilians?
- 12. Q. Does he as Chief take steps to express a philosophy that encourages individual officers to have a wide range of interests, friends, and contacts within the community, or does he let or encourage isolation by example, attitude, or philosophy?

APPENDIX O: A Successful Chief's Questions to a Mayor, 1973

- 1. What does the Mayor expect from a Chief of Police? What are his goals? How much time will he allot to Chief to attain goals?
- 2. What kind of image does he want Chief to project?
- 3. How active does he want Chief to be? Join service clubs, mix socially, participate in community activities, etc.?
- 4. How long will he give Chief to get started in new position? Is he realistic about time necessary to make changes?
- 5. What kind of immediate impact does he hope for?
- 6. What does he expect in the way of public appearances? What kind of relationship does he have with media and what kind does he expect Chief to have?
- 7. Does he have professional press officer and if police department doesn't have one, will he make his available to Chief on important issues?
- 8. Will he let Chief run the department?
- 9. What is his definition of policy?
- 10. Is he willing to adhere to A.B.A. standards, Urban Police Function?
- 11. Will he support reorganization of department, if needed? Increased use of civilians?
- 12. What is he willing to commit in resources?
- 13. What will be reaction to outside Chief? Council? Department? Press? Citizens?

- 14. What are his views on a review board? How should complaints be handled?
- 15. Do citizens have input on policy? Should they? How much?
- 16. What is his relationship with minority community? Any debts or promises?
- 17. Does City have written affirmative action policy? If no, is one planned?
- 18. What are Mayor's future political plans? How long does he expect to be around? When is next governor's race? Senate?
- 19. What are his views on police union? His relationship with union?
- 20. What is his assessment of political make-up of City? Are there pressure groups? How powerful?
- 21. What is his relationship with governor? Legislature, both state and national?
- 22. What is his impression of police department? Where are changes needed?
- 23. How does he do community sensing? What resources does he have to measure attitude and opinion?
- 24. Is he aware of, or suspect, any corruption is present in department or City government?
- 25. How does he see himself as a manager? Do you work with or for him?
- 26. How available will he be to Chief?
- 27. Will Chief be allowed to participate in national activities? Any restriction on travel?
- 28. What coverage is provided for Chief against civil suits?

APPENDIX P: Background Interview Form, 1973

INTERVIEW RESULTS

	Called
(na	e)(position)
	BE SURE TO RECORD NEGATIVE COMMENTS
SUBJ	CTS FOR QUESTIONS
•	ersonal . Personality, temperament . Family Life . Finances
II.	lanagement Qualities Leadership—morale of men? Imagination—innovator or eclectic? Flexibility Develops others?
111.	rofessional qualities 1. Professional ranking 1. By peers 2. By associates or subordinates 3. How does community view him?
IV.	General strengths and weaknesses?
V	Cancula summary how do you briefly describe him?

ABOUT THE AUTHOR

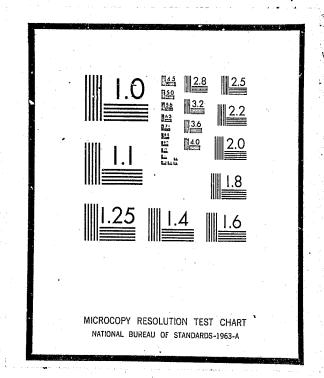
Michael J. Kelly, Dean of the University of Maryland School of Law, received a B.A. from Princeton, a Ph.D. in history from King's College, Cambridge, and an LL.B. from Yale. He has served as a legislative assistant to a U.S. congressman and as counsel and aide to Mayor Kevin White of Boston. As an aide to Mayors Thomas D'Alesandro III and William Donald Schaefer of Baltimore, Kelly dealt with criminal justice problems and with law enforcement programs funded under the Law Enforcement Assistance Administration. Kelly, a consultant to the Police Foundation, was formerly a Fellow of the LEAA's National Institute of Law Enforcement and Executive Director of the Maryland Commission on Judicial Reform.

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JURY SYSTEM RESEARCH: FINAL REPORT

December 1975

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ABSTRACT

This report presents results of jury system research under several tasks. Current jury management systems in many courts were examined and compared, including five pairs of state and federal courts which draw jurors from the same areas. Data relating to their juror selection, notification, qualification, payment, and length of service policies were reviewed and analyzed. Results of this research are presented in A Guide to Jury System Management, which provides guidelines for effective management and methods for quantitative evaluation of present practices. In another task, the utility of the previously published A Guide to Juror Usage was tested in 18 courts of various sizes, half of which received assistance in implementing its guidelines. Results show that use of the guide was effective in the courts, that assistance is beneficial, that small courts are more dependent on assistance for successful implementation, and that the most necessary ingredient in improving juror utilization is strong court management.

CONTENTS

		CONTENTS		
Section				Page
1.	INTRODUCTIO	ON		1
2.		NOF CURRENT JURY NT PRACTICES (TAS		2
3.	EVALUATION TO JUROR US	N OF A GUIDE SAGE (TASK 2)	• • • • • • • • • • • • •	6
3.1	3.1.1 Assist	pation		7
3.2	Evaluation Re	sults		10
3.3	3.3.1 Genera	y of A Guide to Juror al Acceptance cational Difficulties.		12
4.		NT OF A COMPREH SEMENT MANUAL (13
Exhib	it A Operat	ing an Efficient Jury	System	
Exhib	it B Econon	nic Hardship of Jury	Duty	
Exhib	it C Inform	ation for Jurors		
Exhib	it D Jurors	as a Source of Infor	mation	
Exhib	it E Jury Sy	ystem in a Small Cou	ırt	



JURY SYSTEM RESEARCH: FINAL REPORT

December 1975

1. INTRODUCTION

A Guide to Juror Usage, published earlier, was based in part on detailed studies of many courts from which guidelines were developed for more efficient utilization of jurors during their terms of service -- that is, after they reach the courthouse. The widespread acceptance of that guide and the ability of the courts to understand and use its recommendations led to our proposal to extend the study into all aspects of jury system management and to develop a companion document covering the entire jury system -- the composition of source lists; the selection, qualification, and summoning of prospective jurors from those lists; and the utilization of jurors during their service.

Under contract J-LEAA-006-75, the jury research study has been completed and the new guide, A Guide to Jury System Management, has been prepared and will be published by GPO early in 1976. Results of the study are documented in the guide, which provides quantitative measures and illustrates the application of system technology in the entire jury system.

In the contract statement of work, the following specific tasks were assigned:

- Task 1 Evaluate Current Jury Management Practices.

 Identify and evaluate the effectiveness of various current practices of jury management, including selection, notification, qualification, payment, length of service, and juror attitudes toward service under various circumstances.
- Task 2 Evaluate the Guide to Juror Usage.

 Evaluate the utility of A Guide to Juror Usage as a tool for reducing juror waiting time, saving costs, and improving morale of jurors. Determine whether courts require on-site assistance in implementing recommendations in the guide or whether improvements can be implemented without outside assistance. On the basis of the findings of this comparison, refine and update A Guide to Juror Usage.

Task 3 - Develop Comprehensive Jury Management Manual.
Incorporate the findings from Tasks 1 and 2 into a comprehensive reference work for all phases of jury management. This jury management manual will be addressed to court administrators, managers and judges responsible for jury operations.

This report describes the work performed under these tasks and details the results. Section 2 outlines performance under Task 1; topical papers (some previously published) resulting from this work are presented in Exhibits A through E. Section 3 gives details of Task 2. Section 4 briefly describes Task 3 work; results of that task are documented in A Guide to Jury System Management, which has been delivered to LEAA.

2. EVALUATION OF CURRENT JURY MANAGEMENT PRACTICES (TASK 1)

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The objective of this task was to study present jury system practices, to evaluate the effectiveness and utility of various methods for courts of different sizes and operating under different conditions, and to derive recommended practices or procedures, all of which were to be documented in A Guide to Jury System Management.

In order to accomplish the objective, a controlled experiment was formulated to study jury system management practices in a number of courts. Data from this study were augmented with information from other courts of particular interest; for example, many of the courts participating in Task 2 (testing A Guide to Juror Usage) also provided interesting case studies for this task. Other court practices were discovered as presentations were given to meetings of judges, jury commissioners, and court administrators.

The controlled experiment involved five federal courts and five state courts. These ten courts were paired -- one state and one federal, both of which selected jurors from the same general jurisdiction, thus providing the control. State courts which had expressed interest in juror utilization were selected, and then corresponding federal courts were chosen. Each participating court furnished qualifying and summoning data, jury service exit questionnaires completed by jurors, and juror utilization data. Court characteristics are summarized in Table 1.



Table 1. Comparison of Courts for Task 1

Texas		cas	Colo	rado	District of	District of Columbia New York					
Item	Federal	State	Federal	State	Federal	State	Federal	State	Federal	State	
i i i i i i i i i i i i i i i i i i i	5th Circuit (Texas, South)	Harris Co. (Houston)	10th Circuit	Denver Co.	D.C. Circuit	D.C. Superior	2nd Circuit (N.Y., South) New York Co.		8th Circuit	Hennepin Co. (Minneapolis)	
Term of Service	5-6 Days	1 Day	3-4 Weeks	2 Weeks	1 Month	1 Month	2 Weeks	2 Weeks	2-4 Weeks	1 Week	
Fee	\$20	\$5	\$20	\$3 or \$6	\$20	\$20	\$20	\$12	\$20	\$5 or \$10 (pending)	
Exemptions	Federal	Essentially None	Federal	Usual	Federal	Federal	Federal	Big List	Federal	Usual	
Selection Source List	Voter	Voter	Voter	Voter + Others	Voter (Same Jury (Voter Commission)	Voter	Voter	Voter	Voter	
Selection/Qualification Process	Federal	Very Simple	Federal	Usual	Federal	Federal	Federal	Complicated	Federal	Usual	
Utilization (JUI)	Excellent (18.3)	Good (24)	Excellent (13.4)	Good (24)	Good 22.2	Average	Average (27.2)	Poor	Excellent (16)	Good (21)	

The topics to be evaluated under Task 1 are discussed in some detail in Exhibits A through E, some of which are based on papers written and published during the contract period. Table 2 gives the correlation between these topics and the exhibits; as indicated, all topics are covered in A Guide to Jury System Management.

Table 2. Quick Reference Guide to Task 1 Topics

		Applicable Reference								
Task 1 Study Topics	EXHIBIT A Operating an Efficient Jury System	EXHIBIT B Economic Hardship of Jury Duty	EXHIBIT C Information for Jurors	EXHIBIT D Jurors Reaction to Jury Duty	EXHHIST E Term of Service in a Small Court	A GUIDE TO JURY SYSTEM MANAGEMENT				
Juror Selection Processes	9					0				
Juror Notification	0					6				
Juror Qualification			0			•				
Juror Response Rates	6			•		•				
Juror Payment and Fees					•	0				
Juror Attitudes and Perceptions			9	•	:	•				
Length of Jury Service		6			•	•				

Exhibit A is a paper developed on the basis of the controlled experiment. In the exhibit, guidelines applicable to the selection phase are defined, together with a "yield" concept.

The cooperation of the federal courts stemmed from interest within the Administrative Office and the Committee on the Operation of the Jury System (which gave approval to the study). Their direct interest concerned pending legislation to increase the jury fee in United States District Courts. Data to determine the necessity for increasing jury fees were obtained from a jury service exit questionnaire used in the state-federal court experiment. Exhibit B shows the jury fee to be one of three factors which determine the economic hardship of jury duty (along with term of service and the repetitive rate of service).

As court practices were studied, the various forms received by prospective jurors were collated. The great variation in these forms among courts prompted an examination of what the forms should contain. The result of this examination, given in Exhibit C, was a finding that all of the forms and other juror information sources must be considered as a system requiring information to be presented at the proper time, without repetition, and in adequate depth.

Juror attitudes and perceptions, based on analysis of the exit questionnaires, are discussed in Exhibit D. Generally, it was found that jurors enjoy their service, although they complain if they spend unnecessary time waiting in the juror lounge and if they are not selected for a trial jury.

The importance of the term of service emerged from the study, for it directly influences the burden on the individual called and the number of citizens who experience jury duty. The longest terms of service are found in the small courts. Discussions with judges from small courts indicated little understanding of the options available and the importance of shorter terms. To develop the topic, the U. S. District Court for New Hampshire was studied; results of that study are given in Exhibit E.

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3. EVALUATION OF A GUIDE TO JUROR USAGE (TASK 2)

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Objectives of this task were to determine whether information presented in A Guide to Juror Usage would assist courts in improving their juror utilization, and whether court personnel could use the guide without outside assistance.

To accomplish these objectives, the guide was introduced into 18 courts of varying size as indicated in Table 3. These courts were selected from those who expressed interest in the guide and in the possibility of improving their procedures on the basis of the information it presents. The individual courts determined the extent of the procedural change or modification to be sought. For example, some quickly adopted new forms and recordkeeping methods from the guide. Some established data gathering programs to permit analysis of day-to-day juror utilization -- often leading to reduction in the number of jurors called, with attendant savings in time and cost as well as improved juror morale. In a few courts, no changes were inaugurated.

Highlights of the work in each of these courts and results of the evaluation are described in subsequent paragraphs.

Table 3. Participating Courts in Task 2 Study

	Number in Evaluation						
Category	With On-Site Assistance	Without On-Site Assistance					
Large City Courts	3	3					
Medium Sized Courts	3	3					
Small Courts	3	3					

3.1 Court Participation

3.1.1 Assisted Courts

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Superior Court for the District of Columbia.

Despite the heavy workload of the jury office, data were recorded on the transaction form; existing panel sheets were modified to provide panel information. The results of data analysis showed the need for reduced panel size and more closely monitored activity levels to permit reduced calls. To date, panel sizes have been reduced and changes in the enrollment process have been introduced. Annual cost savings from the enrollment changes will be about \$140,000.

A new awareness of juror utilization is perhaps the greatest achievement in this court. This was evidenced by an excellent memo from the jury judge, Judge M. F. Ryan, Jr., to the judges, covering the many points of juror utilization. It was very informative to see these interpreted by a judge for the bench.

New York County Courts (four courts).

These courts operate independently, thus providing four evaluation sites. The courts kept the data needed and the jury service exit questionnaire was used. Approximately 1,400 people serve each day, with an annual cost in jury fees of \$3,000,000. Based on recommendations resulting from use of the guide, we estimated that \$1,000,000 could be saved annually. At the current improved juror utilization levels resulting from implementation of all the recommendations given, about a half million dollars annually are being saved. The administrative judge has asked the other boroughs to perform similar studies.

This success in applying the guide is due in large to the interest of the Budget Bureau in saving money and the desire of the court to have expert assistance in performing the study.

Ventura County, California.

This court was assisted by the National Center for State Courts who applied the technology of the guide. The results of their work are included in the NCSC report, "Consolidation of Jury Management - Ventura County", October 1975. The primary recommendation is to use a telephone standby system which could save from \$100,000 to \$200,000 per year. A partial implementation has begun.

Shawnee County, Kansas.

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It had been the practice in this court for each judge's secretary to handle jury activities, often without coordinating their activities. LEAA awarded the court a grant of \$13,000 for establishment of the position of jury clerk. These funds provided the space and equipment; the clerk's salary comes from county funds. The clerk has been hired and is applying many of the techniques given in the guide to coordinate jury activities in this small court.

san Joaquin County, California.

A senior majoring in political science and statistics at the College of the Pacific used the guide to perform a juror utilization study in this court. The result was an excellent study which set forth recommendations which were well founded and documented with data. The postulated savings of \$11,000 per year are being realized. The study was done at no cost to the court, and the student experienced a very practical application of her studies. This is undoubtedly the best application of the guide by non-court personnel we have seen.

Compton Municipal Court, California.

This small municipal court has five judges; however, only two use juries. Data provided by the court and juror exit questionnaires showed the utilization to be very poor. Recommendations were given but there is no coordinating person in the court. While the call has been reduced slightly, improvement in utilization has been slight.

3.1.2 Unassisted Courts

Dade County, Florida.

During the study, this court started its new juror pooling system, saving about \$1,000 a week over previous costs. We assisted them in devising a jury management system in which cards are xeroxed to form the panel lists, attendance lists, and payroll lists. We also proposed the use of a method which will ensure that all jurors called are used once before any juror is used twice; however, random selection for assignment to the panels will still be used. This court kept data as suggested by the guide to evaluate their own utilization. Facilities for this jury pool (encompassing one floor of the Dade County Courthouse) are outstanding. The entire floor was designed and built specifically for this purpose. The jury pooling system in Dade County is a real showpiece of how such a system should function.

Monroe County, New York.

The deputy administrator and the jury commissioners are responsible for the use of the guide in this court. They have introduced a telephone standby system which is saving the court about \$2,500 per week. Juror utilization is improved, and other steps remain to be taken.

Hennepin County, Minnesota.

This court has moved to new facilities which include a very fine jury lounge. They are keeping data as advised in the guide, and their efforts represent a continuing test of its methods. Improved utilization has saved the court about \$63,000 this year.

Oakland County, Michigan.

This court kept data as called for in the guide. They are considering changes in enrollment day procedures, similar to those in the D. C. Superior Court.

Third Judicial District, Alaska.

Communication with the court has been poor; effect of the guide is believed to be minimal.

Montgomery County, Maryland.

The court administrator has done an excellent job of applying many of the techniques given in the guide. For example, their summons form has been modified to include an information form patterned after that given in the guide. Procedural changes in the court are resulting in savings of about \$1,000 per week.

Wyandotte County, Kansas.

The court administrator used the guide to interest the judges in juror utilization; however, no changes have been made.

Johnson County, Kansas.

The presiding judge gave approval to the project, but there was no follow-up activity. Jurors in this court are the responsibility of the judge's clerk; no court administrator or clerk of the court was available to handle application of the guide. However, this court has good juror utilization practices, such as multiple voir dire and a single empanellment day per week; and improvements through use of the guide would be slight.

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San Jose Municipal Court, California

Despite interest in improved juror utilization, improvements to date are slight. Apparently an unexpected staff shortage inhibited application of the guide in this court. Data obtained were incomplete, and efforts within the court never reached a priority level high enough for action.

3.2 Evaluation Results

The effectiveness of the guide in improving juror utilization in the 18 participating courts is rated in Table 4. Results of the evaluation and conclusions drawn from those results are discussed in the paragraphs which follow.

Table 4. Evaluation of Guide Effectiveness in Participating Courts

Assisted Courts	Unassisted Courts						
Court and Location (by size)	, () 1				1	Some Some	
Large D. C. Superior NY Civil, 60 Centre NY Supr, Civil, 111 Centre Total Large Courts	X X X	0	0	Large Dade County, Fla. Monroe County, NY Hennepin County, Minn. Total Large Courts	X 1	X X	0
Medium Sized NY Supr, Crim, 100 Centre NY Supr, Crim, 111 Centre Ventura County, Calif.	x x	Х		Medium Sized Oakland County, Mich. 3d Judicial District, Alaska Montgomery County, Md.	X	x	X
Total Medium Courts Small Shawnee County, Kans. San Joaquin County, Calif. Compton Municipal, Calif.	2 X	1 X X	0	Total Medium Courts Small Wyandotte County, Kans. Johnson County, Kans. San Jose Municipal, Calif.	1	1	X X X
Total Small Courts Total Assisted Courts	1 6	2	0	Total Small Courts Total Unassisted Courts	0 2	0	3

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As indicated in Table 4, use of the guide was effective in all nine of the courts which were assisted and in five of the unassisted courts. In the unassisted courts, the positive results of the guide were due to a strong court administrator who understood the problem, was directly involved, or had an assistant directly involved who kept data on juror utilization. In the four unassisted courts where no improvement could be attributed to application of the guide, outside assistance would have been useful in stimulating interest and in providing a degree of manpower sometimes needed.

The greatest impact of the guide was found in the larger courts. This is fortunate since these courts tend to have the greatest potential for improvement in juror utilization. In the small courts, only the three assisted courts achieved juror utilization improvement, indicating that assistance is more necessary in these courts where there is usually no "professional" court administrators and therefore no inhouse leadership.

The juror utilization improvement program is continuing in ten of the fourteen courts where use of the guide was found to be effective. Three of the four not continuing the effort were assisted courts and despite efforts to develop a knowledgeable person who could continue with the work, other projects and activities took precedence.

The following conclusions are drawn from this evaluation:

- (1) Technical assistance increases the ability of courts to implement the guide.
- (2) The chance of success in implementing the guide is strongest in large courts, with small courts requiring assistance to achieve success.
- (3) The most important ingredient is a strong court administrator, clerk, or jury commissioner.
- (4) A local college or university represents a source of excellent help in implementing the guide (e.g., San Joaquin County).
- (5) LEAA assistance grants can provide many of the facilities necessary to develop in-house expertise (e.g., Shawnee County).

3.3 Overall Utility of A Guide to Juror Usage

3.3.1 General Acceptance

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A Guide to Juror Usage has been very successful, as measured by its acceptance in many courts. Its most useful aspects have been the seven general rules for good juror usage, the juror information sheet, the jury service exit questionnaire, and the telephone answering device concept. The rules are easily understood and courts readily accept their usefulness. The information form, questionnaire, and answering device are ideas which are easily adopted, cost little, and do not require rule or statute changes.

The forms and suggestions given in the guide have been adopted by many courts. For example, the state courts of Oklahoma use the transaction form, and the juror information sheet is used in Lake County, Indiana, and Montgomery County, Maryland. In one court where Bird Associates was asked to comment on their juror exit questionnaire, we found they were using a direct copy of the form given in the guide.

The National Criminal Justice Reference Service has distributed approximately 8,000 copies of A Guide to Juror Usage, in addition to the 1,000 distributed by LEAA after publication. Apparently some of the copies get to jurors, as evidenced by the following comment by a departing juror in Prince Georges County, Maryland, on his exit questionnaire: "Suggest the county purchase from the Gov't Printing Office A Guide to Juror Usage (S/N-040-000-00328-2). Perhaps jury costs can be saved, can save the juror's time, and improve morale."

The guide has widespread use outside the courts as well. It is used as a text in many courses in court administration (American University, Trinity College, UCLA), in the basic and graduate courses given at the National College of the State Judiciary, and in several of the courses given by the Institute for Court Management.

It has recently been learned that <u>A Guide to Juror Usage</u> and its companion volume, <u>A Guide to Jury System Management</u>, have been chosen by the National Institute as a Demonstration Program, based on the preference indicated by the votes of the regional offices.

3.3.2 Applicational Difficulties

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As courts have used and tested <u>A Guide to Juror Usage</u>, some applicational difficulties have become apparent, particularly in small courts which have difficulty in distinguishing portions of the rules applicable to their situation. We have attempted to resolve this problem by a special section in <u>A Guide to Jury System Management titled</u> "Juror Usage Problems in Small Courts" (paragraph 3.2.3).

Because of the data necessary to calculate the juror usage index, few courts have adopted the index as a means of measuring juror utilization efficiency. A number of different parameters, much easier to calculate, are presented in A Guide to Jury System Management (paragraph 3.2.4) in order to provide the courts with a method of deriving this important quantitative measure.

The tables given in Section 5.2 of A Guide to Juror Usage have proven difficult to use because of the data needed to enter the tables.

Some courts have been disturbed by the number of forms provided in the back of the guide, not realizing that only three are for data gathering with the remainder to be used for data analysis. Only four forms have been included in A Guide to Jury System Management.

4. DEVELOPMENT OF A COMPREHENSIVE JURY MANAGEMENT MANUAL (TASK 3)

The research of Task 1 and the experience of working with the courts of Task 2 provided the basic material for the management manual. Testing A Guide to Juror Usage under Task 2 gave insight into determining the proper format and tone. The questions asked during presentations on A Guide to Juror Usage and during courses on jury management indicated the areas of current interest. These were all brought together in the development of A Guide to Jury System Management.

Previous work in jury management systems were primarily surveys of existing systems. The approach used in both guides is to indicate system variations, classify them into predominant types, and give an evaluation of each. Quantitative measures were also found to be helpful in stimulating a court to look at the data and to examine the alternatives. From these variations and measurement tools, a set of guidelines were developed to which a court can compare its jury system operation.

The only area which could not be adequately covered was that of jury system costs. Courts do not separate these costs from other costs of court operation. About the only cost factor obtainable was the amount paid jurors; in some courts even this could not be separated from other costs. Attempts to list jury system functions and their associated costs were not successful since personnel and facilities are used in many court functions.

The preliminary draft of A Guide to Jury System Management was sent to approximately 60 judges, court administrators, and researchers. Comments were received from about half of these. These comments were evaluated and many were included or resulted in a modification of the text. The final version of this guide was then delivered to LEAA on 31 December 1975.

EXHIBIT A OPERATING AN EFFICIENT JURY SYSTEM

INTRODUCTION

This paper attempts to summarize present research on jury system operations and to indicate an area where operations research methods might be usefully applied. Until recently, jury system operations presented an amorphous target for operations research because there are so many courts and jury system operation is so different in each of them. Present research has helped to define the basic problems behind these differences and to prepare the groundwork for remedial action.

Some three thousand courts in the United States hold jury trials, and they collectively use approximately twenty million days of jurors' services. About two million citizens, called involuntarily to service, supply the necessary manpower for this function of the courts. About four times this number, some eight million citizens, are sent juror qualification questionnaires each year, a number that shrinks down to those serving through exemptions, exclusions, excuses, and non-response.

Jurors are reimbursed for their services, when they serve, at rates from \$3 to \$20 per day; but because their employers usually pay their salaries during the jury service period, few lose money. More than 90 percent of people who serve in most courts indicate that they are "favorably" or "more favorably than before" impressed with jury duty.

The jury system of the past is thus generally a low-pay, highly subsidized activity below the level of judicial visibility. The question is why should it be efficient and from whose viewpoint -- the courts, the citizens, their employers, or the nation as a whole?

This exhibit was presented as a paper at the XXII International Meeting of the Institute of Management Sciences, Session T II 7.1, Kyoto Japan, July 24, 1975.

OPERATION OF A JURY SYSTEM

All jury systems have two basic phases. The first is the pre-service phase, which includes selecting the citizen's name from a list, determining whether he is qualified, and summoning him to serve. The result of this pre-service phase is a group of qualified, generally willing citizens (called the venire) from which the court will select its jurors. The second phase is the service phase, which includes selecting a panel from the venire; the panel undergoes examination (the voir dire) to arrive at a jury. Research and practice in the second phase, while not extensive, is far advanced when compared to the pre-service phase. For this reason, this paper will only detail current research in the pre-service phase. Optimization guidelines are presented which, combined with previously published similar procedures for the service phase, will produce a more efficient jury system.

The pre-service phase, illustrated in Figure 1, is a simple flow system with multiple truncations. The input to the system is the group of citizens drawn from a source list, and the output is the diminished number who serve. Only two dimensions will be considered:

(1) the decrease in the number of citizens, as shown by the exit arrows from the system; and (2) the length of time within the system. A third dimension, cost, has not been adequately assessed due to variations in bookkeeping methods in courts studied.

¹A Guide to Juror Usage, U. S. Department of Justice, 1974. Copies available (NCJ-015215) from National Criminal Justice Reference Service, Washington, D. C. 20531.

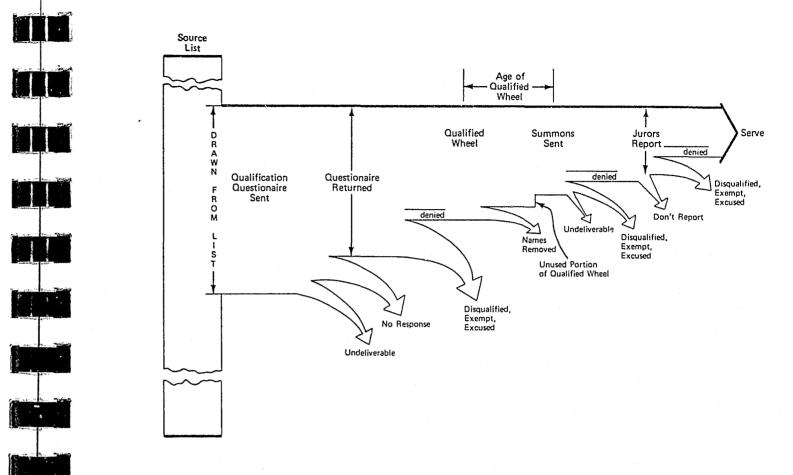


Figure 1. Pre-Service Phase of Jury System

QUALIFICATION

Qualification of prospective jurors has usually been handled quite apart from the other operations of the jury system. It has customarily been a function of jury commissioners, a practice carried over from times past that was devised to ensure impartiality (and in some cases, partiality) of selection. Jury commissioners had the task of setting up lists of names of those persons who were qualified for jury duty. In the days before general computerized lists were available, jury commissioners delegated to friends and others the task of suggesting names and lists (church, fraternal, business, etc.) to be used. This system, known as the "keyman system", still

continues in some parts of the United States. Those whose names were suggested would be asked to fill out a qualification questionnaire, to ascertain whether they met all necessary requirements (age, residence in county or state, citizenship, and literacy). The "qualified list" or "wheel", from which jurors would be summoned by random selection, would be made up and held by the court or jury commissioners.

Voters lists are now most commonly used as the source of names, and the role of the jury commissioner and staff is now that of reviewing the qualification questionnaires and making up the qualified list. His original function, of selecting names, is now usually done by computer. Several states and localities are experimenting with the use of multiple lists to overcome the known deficiencies of the voters list. Kansas is required by statute to use the state census list in combination with the voters list; Colorado uses the voters list, drivers licence list, and city directory when available. Moreover, use of the voters list for jury selection is feared to have an adverse effect on those who register to vote, some citizens refraining for fear of being called to jury duty. Senator Kennedy has pointed out this problem and has considered legislation to prevent use of the voters list for jury selection. This may force many other states to consider the use of multiple lists.

The use of multiple lists involves many problems, only a few of which have been given consideration. Among these problems is that of determining which lists will best provide a random selection of the population eligible for jury duty. Many statistical and technical problems also are involved in determining how to select a random sample when many lists are used, because of the higher probability

²U. S. Congress, Senate, April 15, 1975, <u>Congressional</u> Record, S-5985.

of selecting duplicate names appearing on two or more lists. Combination of the lists into a single expurgated list is expensive even with modern computer techniques. The inefficiency of comparing and handling several million names when only 500 prospective jurors are needed is obvious. Kadane and Lehoczky have considered this in a paper to be published in Operations Research. They propose five sampling methods for achieving randomization without combining entire lists. Research of this type will be of great importance in jury selection in the future.

Jury commissioners keep adequate records of the number of names qualified, but few have adequate records of the names queried, the number not reached or not responding, or those excused for various reasons. The absence of information in this respect may mask a voluntary withdrawal of citizens from jury duty merely by failing to return the questionnaire. In a few cases, follow-ups are used. The problem of response rates and standards for this qualification process has never been previously studied. Data are now being collected from a small number of courts as a first step in this investigation. Efficiency in qualification considers not only the cost of this action but also the attainment of purpose, that is, giving every citizen an equal chance of selection for this important task.

One last problem of qualification is whether this operation is needed at all. In these days when a computerized source list is easily available, courts can summon directly, thus combining the qualification and selection processes into one. Courts in Harris County (Houston), Texas, and the state courts of Kansas and Dade County (Miami), Florida, skip the qualification process altogether. They save the work of building

³Joseph B. Kadane and John P. Lehoczky, "Sampling at Random From Overlapping Frames With Application to Jury Panel Selection", manuscript. Carnegie Mellon University. April 1975.

the qualified lists, and in addition they enjoy higher retention rates overall than many other courts. The qualification step may be found to be outmoded. If so, in the interest of national jury system efficiency, qualification may be discontinued as a separate function and be combined in operation and in time with summoning.

SUMMONING OF JURORS

Summonses are issued to a random sample of those qualified, to yield the number of people required by the court (based on past retention rate experience). Most summonses tell the prospective juror when and where to report. Few tell him what length of time he might be called for, or the fee to be paid. A majority describe the penalty for failure to report, although few jurisdictions take the trouble to enforce the penalty or even determine the number or extent of noncompliance. Summons forms have been developed by individual courts without much guidance from others; thus hundreds of different forms fall in the spectrum from adequate to grossly inadequate. One problem is whether common forms can be developed that will serve the purpose of each court and satisfactorily tell the citizen involved what is required of him.

Another problem in the summoning process is the way in which it is delivered -- whether by hand, certified mail, or regular mail. All three methods involve different costs and all three have different response rates. The cheapest one, regular mail, seems to have the best response rate; yet some jurisdictions continue to use certified mail and even personal service by sheriffs or process servers. A recent experience in one court illustrates the influence of delivery. The court administrator noticed suddenly that 20 percent fewer people were responding to the summons to jury duty. In looking for the reason, he found that a new sheriff, influenced by a favorable mileage allowance,

was delivering the summons by hand instead of using regular mail as had previously been done. Mailing the summonses was resumed, and the response rate returned to normal.

Information on summonses sent and the number of jurors retained for jury duty is more often available than the corresponding qualification data, but there are great differences in retention rates among the courts. Differences arise from non-response, from excuse policies, and from postponements. No standard or reference information is now available to guide actions of individual courts. Some of this information is now being collected on a sampling basis.

Since summoning and qualifying are handled by different activities, but are much alike in function, great attention needs to be given to making the two processes compatible. Policies with respect to granting of excuses or postponements differ among the courts. The more systematic courts grant excuses by mail by means of information returned on the summons form or by accompanying letter. In these, few people need to appear in person to be excused. In other courts, relatively few are granted excuses or postponements beforehand, but are required to go through a long and tedious personal interview, usually with a judge, on the first day of appearance. Few courts keep careful records of these operations, with the result that information on which to base proper action for control is not available. However, systematic records in some courts show the number of names summoned, the number responding, the number excused for each of a defined list of excuses, and the number retained for service. Such information is indispensible for proper operation of the jury system.

Figure 2 displays qualification and summoning results in the Superior Court for the District of Columbia. This chart exemplifies the use of systematic record-keeping to provide useful information about the jury system operation. As indicated, the qualification process yielded 34.2%. Non-response was 38.6%, with 12.2% delivered but not returned. The summoning process yielded 56.5%, with 28.4% non-response. The yield of the combined processes, called the 'QS Yield), is 19.3%.

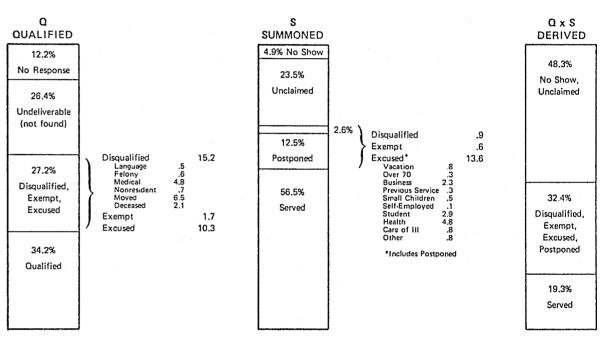


Figure 2. Results of Qualifying and Summoning (D. C. Superior Court)

Summoning data collected from five state and five federal courts which serve approximately the same jurisdictions are given in Figure 3, along with the "QS Yield" for each court. This allows comparison of such factors as source lists, need for qualification, effect of fee and term of service, and the differences in the qualification and summoning processes.

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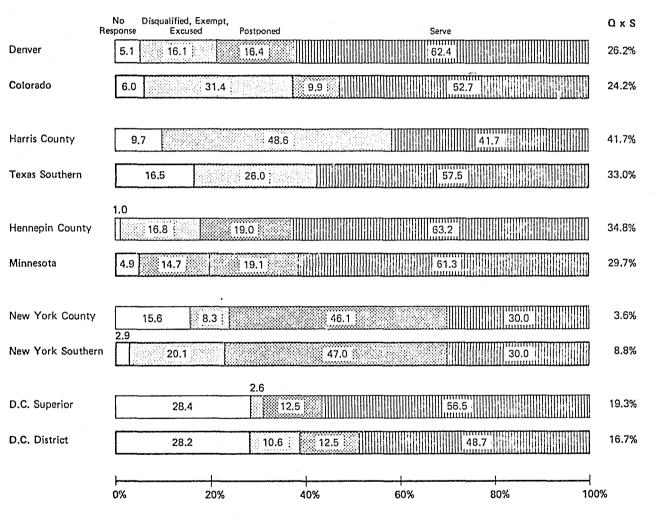


Figure 3. Summoning Results and QS Yield in Five Pairs of State and Federal Courts

OPTIMIZING THE PRE-SERVICE PHASE

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The objective in the pre-service phase is to get prospective jurors for the courts, but to get them as economically for the courts as possible with as little disruption to the citizens as practicable, and to represent a cross-section of eligible citizenry. This implies that the juries finally selected would represent the demographic profile of the community. A corollary of this objective is that the economic burden of jury duty would be spread among the citizens and every eligible person would have an opportunity to serve sometime during a lifetime.

In practice, this objective of the qualification and summoning stages is not realized, for a variety of reasons. These reasons include the character of the lists used; the fact that many people slip from the net through non-response or through exemptions and exclusions; the absence of adaptation of modern computer practices; and the excessively long terms of jury service sometimes required.

From studies already made, certain guidelines to policy emerge in these areas, which can be stated as follows:

- (1) Combine summoning and qualification into one operation.
- (2) Apply quality control techniques to measure the number and reasons for non-response. When practable, eliminate the causes of non-response by second notices, follow-ups, or other means.
- (3) Consider the use of multiple sources of names to achieve desired demographic coverage. Keep lists purged and current.
- (4) Restrict jury duty to a term of ten days or less, in order to give every citizen a fair chance to serve during his lifetime.
- (5) Deliver summons by regular mail, instead of by certified mail or hand delivery.

Discussion of Guidelines

(1) Combine Summoning and Qualification

In many jurisdictions, 50 percent of the names picked from the master list (usually voters list) are found to be qualified for jury service, and about 50 percent of these serve when summoned. Thus the net QS Yield is about 25 percent. However, this observation is affected by so many disturbing elements (such as the lists used, the time interval between qualification and summoning, local conditions and attitudes, excuse patterns) that the QA scores vary from 3.6% QS Yield in New York City to 34.8% in Hennepin County, Minneapolis.

Three courts have experimented with changes in the usual procedure by combining the qualification and summoning process. The results are displayed in Figure 4.

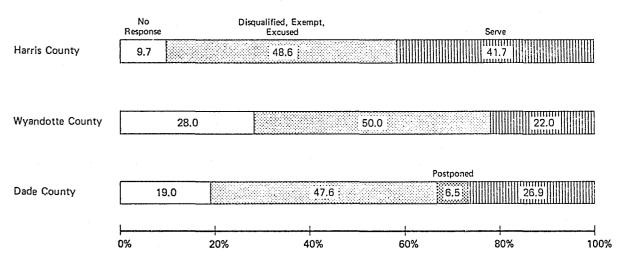


Figure 4. Results of Summoning Directly

The Harris County courts in Houston, Texas, have consistently had a yield of about 42% from summoning prospective jurors directly from the voters list. Few state courts reach this yield on qualification alone. The Dade County courts in Miami, Florida, have also summoned directly from the voters list, but their yield of 26.9%

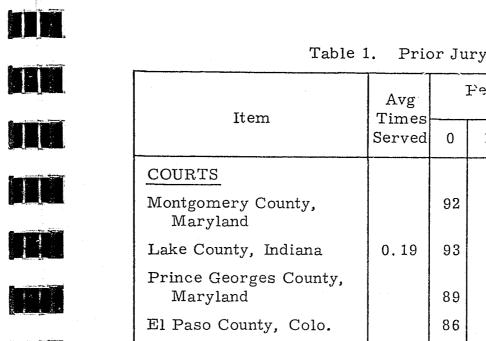
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has been held down by a high percentage of non-response. Similarly, the Wyandotte County courts in Kansas have summoned from a list combined from the voters and the state census to get a net yield of only 22%, which has also been influenced by a high percentage of non-response. Authorities in Kansas are dissatisfied with the quality of the state census list for juror selection purposes. These three courts have shown that it is practicable to summon directly from a source list without the intervening qualification process. They also show that the net yields are no lower and may be higher by this telescoping of actions.

The reason for eliminating the qualification process can be approached on other grounds -- economy of effort and minimum disturbance to the citizenry. Qualification usually involves a great deal of paper work and a large list of qualified people, most of whom are never summoned. In Prince Georges County, Maryland, for instance, with a population of nearly 800,000, the voters list of 320,000 is tapped each year to produce a qualified list of about 6,000 prospective jurors. Only about 600 jurors serve each year. Translated in broad terms, about 20 people in Prince Georges County are asked to fill out the qualification questionnaire for every juror who finally serves. If the QS Yield were only 25%, only four instead of twenty citizens would be bothered at all, and 75% of the paper work would have been saved. Economy in both staff time and citizen annoyance calls for the melding of these two similar functions.

Combining qualification and summoning requires that certain functions be redesignated and made more properly part of court operation. For example, in many California courts the functions of the jury commissioner and the court administrator have been combined, thus assuring equal attention to qualification and summoning. Combining these functions provides the means of consolidation of the processes themselves.

Another reason to combine these processes is apparent in the practices in some courts which never purge or empty their qualified wheel; that is, a person remains on this list even after he has served. (The U. S. Code requires that a person's name be removed from the qualified wheel when he has served in a federal court.) A person on the qualified list in New York City can be assured of being summoned for jury duty every two years. To illustrate the non-uniform service resulting from a perpetual qualified wheel, responses to one question from the juror service exit questionnaire (suggested in A Guide to Juror Usage) are tabulated in Table 1. The question asks if the juror had ever served before. Expected values based on the Poisson distribution are listed at the bottom of the table. By comparison, values for the courts shown differ so greatly from the Poisson values that the conclusion that jury duty is not uniformly distributed across the population is valid.



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Table 1. Prior Jury Duty Experience

Item	Avg Times				of Ti						i
	Served	0	1	2	3	4	5	6	7	8	9
COURTS											
Montgomery County, Maryland	-	92									
Lake County, Indiana	0.19	93	5	2							
Prince Georges County, Maryland		89									
El Paso County, Colo.		86									
Denver County, Colo.		77	-								
D. C. Superior Court	0.56	73	13	6	4	2	1	1			
Essex County, Newark, N. J.		72				*					
Monroe County, Rochester, N. Y.	2.4	37	15	5	10	18	3	5	2	3	2
New York County, N. Y.		25									
POISSON DISTRIBUTION	np										
	0.1	90 74	9 22	1	(1)						
	0.5	61	30	7	(1) 1	(1)					
	1.0 2.0	37 14	37 27	18 27	6 18	2 9	4	1	,		

(2) Apply Quality Control Techniques to Non-Response

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Non-response to the qualification questionnaire and summons is an important social phenomenon that should be studied and controlled. Presumably it is composed of two parts: voluntary non-response and situational non-response. Voluntary non-response may represent the action of citizens who do not return the qualification questionnaire or summons as a personal protest. Situational non-response arises from those who moved or died in the interval since the list was composed. As another example, non-response in New Orleans is high because the process servers are not allowed to enter the "Project".

Records in Minneapolis show an undeliverable rate of 6.4% in 1973, compared to 16.2% undelivered in 1975 when the qualified wheel was two years old. Similarly, in Denver the two-year-old wheel showed an undeliverable rate of 13.8% in January 1975; the new wheel one month later showed this rate at 4.1%. While these two instances might imply about a five percent increase per year in the rate of undeliverables as the qualified wheel ages, the more important implication lies in the value of valid estimates of such parameters. Such estimates could be used in determining the value of updating the list and in other aspects of the summoning procedures.

Jury commissioners and court clerks are now so busy with the mountain of superfluous paper work that they have no time to compile or analyze the results of their efforts. When they do, remarkable things sometimes happen. For instance, in Lake County, Indiana, and in Santa Clara County, California, second notices now are customarily sent; the result is a 50% decrease in the non-response rate.

(3) Consider the Use of Multiple Sources; Keep Lists Purged and Current

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As previously discussed, the use of multiple lists introduces some problems, primarily in the elimination of duplicates. However, as pointed out by Professor J. Van Dyke in his forthcoming book, Demography of American Juries, Colorado (using the voters list, drivers license list, and city directory) has the best representation of young people on juries. In Wyandotte County, Kansas, when the state census (one of the lists used) was sorted to remove those less than 18 years old, about one-third of the list was eliminated. This is very close to the national census proportion and indicates a good source of young people's names. The voters list has always been known to be deficient in names of young people, for registration is heaviest before a presidential election and many courts draw from the voters list only once every four years. Other jurisdictions update and purge the voters list continuously and provide the recent changes to the jury commissioners.

New impetus to the use of multiple lists has been generated by a survey of election commissioners ⁴ which indicates that in order to avoid jury duty some people do not register to vote. A bill has been introduced in the California Assembly (AB 822) to prohibit the use of the voters list as a source of juror names.

There is currently great interest in the federal courts in the ability of the voters list to generate a representative venire. A special survey of the master list (voters list) is currently being compiled.

⁴U. S. Congress, <u>supra</u>.

(4) Restrict Jury Term to Ten Days or Less

III

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Restriction of the term of jury duty is an important aspect of the process of enrolling jurors because it will permit more citizens to participate. Other studies have shown that the average lifetime requirement per citizen for jury duty is in the neighborhood of nine days. From this the statistical conclusion is reached that if the term of service were just nine days, 63% of the citizens would have an opportunity to serve one or more times, while 37% would be deprived of serving. With a three-day term under the same conditions, 95% would have the chance of serving at least once. ⁵ Thus, it is important to keep the term below the average need to approach some universality of participation.

(5) Deliver Summons by Regular Mail

The personal delivery of the summons is only justifiable as a small solution to unemployment. In the few courts which still follow this practice, the response is not better than in courts using first class mail. In one jurisdiction, off-duty policemen delivered the summons. Their off-duty times were often not at convenient times, and many citizens complained of being awakened to receive the summons. Certified mail has not been shown to be effective in reducing the non-response; it is more expensive to use, is often neglected by low income families, and produces problems for working families who have no one at home to sign the receipt.

⁵W. R. Pabst, Jr., and G. T. Munsterman. "The Economic Hardship of Jury Duty", Judicature, Vol. 58, No. 10, May 1975.

CONCLUSION

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The pre-service phase of the jury system in the United States has long been neglected. Courts are now being forced to look at this aspect of the system, because of necessary economy, because of challenges based upon non-representation, and because of the failure in some instances to fulfill its primary function of generating enough prospective jurors. Research in functional operations in these areas can help the courts develop appropriate and maximizing solutions to problems presented.

Research is also appropriate to the social impact of these functions, the social objective being to obtain representative jurors from a population with a minimum of disruption. This can be achieved by eliminating unnecessary and time-consuming aspects of qualification and reporting. These include qualification interviews, unneeded qualification questionnaires, and the unnecessary threat of possible service by those never called. The objective of making the system of maximum efficiency for the citizens, subject to the constraining needs of the courts, thus parallels the search for operating efficiency in the service or juror usage phase. Operating a jury service efficient in both preservice and service phases promises benefits for the courts as well as the communities they serve.

EXHIBIT B ECONOMIC HARDSHIP OF JURY DUTY

INTRODUCTION

Senator Gaylord Nelson's bill (S. 3265) to pay federal jurors as much as \$100 per day to offset economic hardship revives the need to explore this important subject. Economic hardship of jury duty is usually associated with financial loss arising from inadequate jury fees in state and local courts, some as low as \$3 and \$5 per day and carried unchanged since the days of the penny postcard. Analysis of the problem quickly discloses that two other factors bear directly on hardship: the length of jury service for which an individual is called, and the frequency with which he is asked to repeat such service over the years. Jurors are asked to sit all day long for a month or more in some jurisdictions; some jurors are called back every two or three years. Combining the three factors of fee, term, and frequency, lifetime losses arising from jury duty are estimated to range from about \$400 in Houston to nearly ten times that much in New York City.

Juror hardships are not entirely monetary. Jury service may interfere with personal plans, vacations, and employment opportunities. While these intangibles cannot be quantified, much of the following discussion of economic hardships would apply to these as well.

Economic hardship, furthermore, is not confined to the individuals serving, for only about a fourth of them report that they personally "lost money" as a result of serving. By implication, about 75% are either paid their regular wage or salary by their employers or are housewives or retired people without outside earnings. Whereas the total amount of jury fees per year is about \$200 million, the imputed cost of earnings lost would add up to three times this amount.

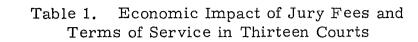
An edited version of this exhibit appeared in <u>Judicature</u>, Vol. 58, No. 10, May 1975.

THE SCATTER OF JURY FEES AND TERMS OF SERVICE

Table 1 lists the jury fees, terms of service, and average loss per term in 13 state courts included in a previous study. ¹ The 13 courts are not a statistically random representation of all the state courts, and thus cannot be used to calculate the average state court jury fee in a statistically valid manner. The range from \$3 to \$16 per day is considered typical, however, and it is instructive that only 4 of the 13 courts have fees of more than \$10 per day. The conclusion that these fees are low in relation to current pay scales in business and industry is easily accepted.

Expenses allowed to jurors also vary. In Newark, they still receive the two cents per mile established in 1926; fifteen cents per mile is allowed in Denver. New York jurors are allowed a two-way subway fare of seventy cents for each day of service. In some courts, parking is provided; in some, parking expenses are allowed; in others, no provision for parking expenses is made. In some large cities, commercial parking rates approximate the jury fee. The entire payment to jurors in Prince Georges County is considered to be expenses rather than jury fee, enabling them to keep the money while being paid their regular salaries.

¹U. S. Department of Justice. <u>A Guide to Juror Usage</u>, NCJ-015215, 1974, prepared by Bird Engineering-Research Associates, Inc. Copies available at the National Criminal Justice Reference Service, Washington, D. C. 20531.



	MATERIAL PROPERTY AND ADMINISTRATION OF THE PARTY AND ADMINIST	·	·	,		
Court Location	Jury Fee Per Day	Jury Term (Days)	Total Fee Per Term	Avg Daily* Income	Avg Loss Per Term	
Suffolk County Boston, Mass.	\$16	35	\$560	\$51.25	\$1,234	
Fulton County Atlanta, Ga.	15	4	60	48.50	134	
Montgomery County Rockville, Md.	15	10	150	55.60	406	
New York County New York, N.Y.	12	10	120	50.01	380	
Cook County Chicago, III.	10	10	100	51.12	411	
Wayne County Detroit, Mich.	10	20	200	53.11	862	
Prince Georges County Upper Marlboro, Md.	10	23	230	55.60	1,049	
Hennepin County Minneapolis, Minn.	6	10	60	52.91	469	
Denver County				,		
Denver, Colo: Serving Waiting	6 3	8	48 24	50.13	353 377	
Cuyahoga County Cleveland, Ohio	5	10	50	50.01	450	
Harris County Houston, Texas	5	1	5	46.33	41	
Los Angeles County Los Angeles, Calif.	. 5	35	175	50.32	1,586	
Essex County Newark, N.J.	5	10	50	52.92	479	
* *						

^{*} For males, age 40-44, based on 1970 census.

Terms of jury service, also presented in the table, suggest that the number of days required of jurors varies even more than jury fees. The Harris County Court in Houston has a one-day jury term; a 35-day minimum term is required in Boston and Los Angeles. If a trial continues beyond the term, a person selected for a trial jury serves to the end of the trial. However, the most common term in the courts studied is two weeks, usually with an overlapping group of new jurors brought in each week.

Although the general structure of jury terms suggests an unchanging pattern carried over from some unspecified past, several recent changes have actually been introduced. In Minneapolis, the Hennepin County Court reduced its term in 1974 from two weeks to one week. The United States District Court for the District of Columbia increased its term from one month to two months in 1973, an experiment to mix new with seasoned jurors, but has now reverted to one month. Prince Georges County in Maryland is cutting its term from five to three weeks (spread through a six-month court term). The Massachusetts courts are considering a reduction in the near future and may try the Houston one-day practice at some later date. More changes may be coming, for the National Conference of Metropolitan Courts, in its 1973 model code for state courts, recommended a one-week jury term. ²

² National Conference of Metropolitan Courts. <u>Final Report on</u> the Jury Administration Project, March 1973, p. 47.

That terms of service in state and local courts vary so much causes no surprise, inasmuch as all other aspects of these courts are equally independent. But in the federal courts, where a uniform jury fee of \$20 per day has been established since 1968 and for which there is a central administrative office, it is surprising that jury terms vary quite as much as among the state courts. This variation is shown in the following tabulation: ³

	Number of
Jury Term	Districts
1 day to 2 weeks	28
2 - 4 weeks	22
4 - 8 weeks	9
2 - 4 months	6
4 - 6 months	15
1 year or more	6
Court term (no	
specific time given)	3
No answer given	4

Although this summary of federal jury terms was collected in 1958, it still generally applies, indicating widespread neglect of this important facet of jury service. However, in the past five years, the Federal District Courts have focused more attention on juror usage and have substantially reduced the number of juror days used per trial. This improvement has been achieved in part by calling in jurors only for the specific days they are needed during their term. For example, jurors in the United States Court for the Southern District of Texas are called to the courthouse for only six to eight days during their two-month term. Terms of service may thus, in effect, be modified by good juror-usage practices; but even allowing for this, there are great differences among the federal districts that may no longer be necessary.

³ Institute of Judicial Administration. <u>Jury Systems in the</u>
<u>Federal Courts</u>, N.Y.C., 1958, p.89. Few changes in terms have been made since this information was collected.

ESTIMATING AVERAGE LOSS PER JURY TERM

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Juror loss of income as a result of jury duty calls for a complex estimate because earning powers differ widely. One might take the occupational groups represented by a number of jurors, estimate the average income from census information, and derive an approximation. Alternatively, one could query enough jurors to develop systematic information on their income; but such a poll would be costly and, without objective verification, might be unreliable. In any case, such information is not now available.

Instead of these more complex methods, the average daily income of a man aged 40-44 in each of the cities involved is compared in Table 1 with jury fees in that jurisdiction. This age group represents the median age of jurors serving in the courts studied. As indicated, on such a scale the average loss per jury term for this group ranges from \$41 in Houston to \$1,586 in Los Angeles. Losses for women of the same age group, calculated from similar sources but not tabulated, vary from \$11 in Houston or Atlanta to \$519 in Los Angeles. Because all these average earnings are so much greater than any of the fees, it can be assumed that large losses are invariably associated with long terms, as illustrated in Figure 1.

Loss per jury term in the federal courts, although somewhat less because of the standard \$20 per day jury fee, would also reflect the length of term. The federal courts use only three to five percent of the total juror days required nationally.

⁴U. S. Department of Commerce. 1970 Census of Population, Table 193: Income in 1969 of Persons by Age, Race, and Sex.



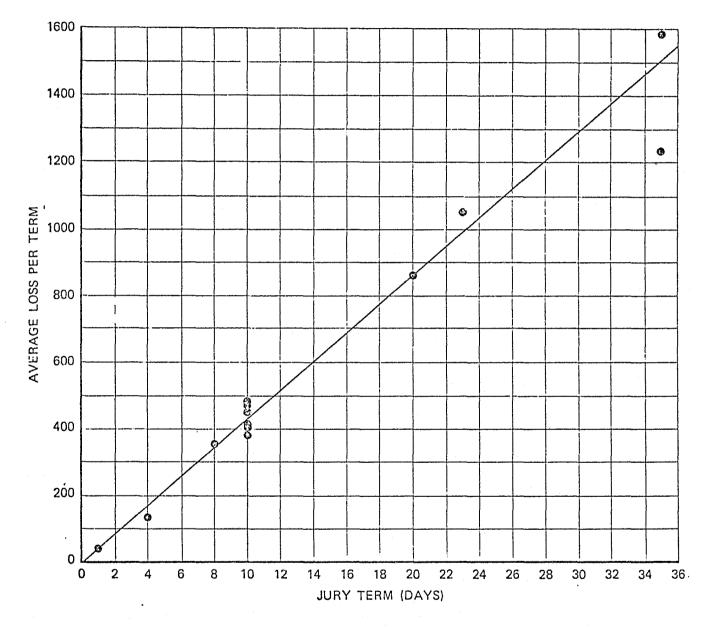


Figure 1. Relationship of Average Income Loss to Length of Jury Term

In considering average losses, the proportion of men and women jurors should also be taken into account, since women's salaries, rightly or wrongly, are demonstrably lower. The number of men and women jurors is about equal in Essex County (Newark), New Jersey; Prince Georges County, Maryland; Hennepin County (Minneapolis), Minnesota; and Denver, Colorado. However, in New York and Boston, male jurors outnumber female by three to one, and the average loss per juror would be weighted higher in these cities.

In practice, the loss per jury term is usually not borne by the individual, but by his employer. For example, in the jurisdictions studied, only about 24% of all jurors reported that they lost money personally (encompassing some 33% of the men and 16% of the women, a difference probably related to the number of women not employed outside the home). This shifting should not obscure the fact that money is being lost by innumerable business enterprises and by the Government in terms of lost manhours of work for which full salary is paid. In the District of Columbia, where the Federal Government has an automatic jury-leave policy, only 11% of the jurors reported losing money. Conversely, of course, the various government departments and other employers lost the work-time (and hence the salaries) of 89% of the jurors in the District.

The losses indicated are average estimated. They do not reflect the dramatic losses of those jurors serving on the relatively few, but highly publicized, trials that extend for months. Ellsberg-Russo trial jurors served for three months before a mistrial was declared, and the Watergate Grand Jury continued on for 18 months. In contrast, the majority of trials conducted in this country are concluded within two days.

LOSS PER LIFETIME

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No official records exist on the frequency with which individuals are called back to jury duty. On the basis of juror responses to exit questionnaires in the courts studied, the percentage of "first timers" ranges from 74% to 90%. The statistical inference from this is that, ideally, no person should serve more than once in his lifetime. Yet these same questionnaires indicate that while the majority have never served before, those who have served have done so repeatedly. This places in question whether the present juror qualification processes are distributing the burden of jury duty or concentrating it.

Objections to this pattern of repeat calls for jury duty do not hold, of course, in Houston with its one-day term of service. There, in order to get the eighty to ninety thousand jurces needed each year, every name on the voter list of 420 thousand will be called approximately once every four to five years. With ten terms of jury service likely during a lifetime, the average lifetime loss figures to be only \$410 (for a man aged 40-44) because the burden of jury duty is so widely spread. As a matter of fact, a truly even amount of jury service from all of Houston's jury age group (about half of Harris County's 1,233,000 population) would require only about six or seven days per lifetime.

Nor does the typical pattern of repeat calls hold for the New York City juror, where the city-wide average of first-time jurors was only 25.6%, in sharp contrast to the 74% to 90% observed elsewhere. ⁵ The call to a ten-day term of jury duty in New York is repeated every three to five years, and the lifetime losses of those frequently called are

⁵ The Juror in New York City: A Survey of Attitudes and Experiences, Departmental Committees for Court Administration, Appelate Divisions, First and Second Judicial Departments, New York Supreme Court, NYC, pp. 150 and 235.

very high indeed: approximately \$3800 for an individual called ten times in his lifetime. It has sometimes been explained that this high re-use of jurors in New York results from a jury list limited by the relatively small resident population in Manhattan in relation to the large number of civil cases tried there because of the disproportionate number of corporations with headquarters in the city. However, this explanation does not follow, since the percentage of first timers was lower (13%) in Richmond and Queens, the bedroom boroughs, than in the borough of Manhattan itself (30%). The reason is more likely connected with the qualification wheel, which is never emptied, and with the difficult process of adding new names in a city noted for its transient population.

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These estimates by themselves confirm the popular notion that the burden of jury duty, and hence of justice, is not equally spread among American citizens. If it were, then the 20 million juror days now needed each year by the courts would require only nine days per citizen per lifetime. This calculation is based upon the premise that to get 20 million juror days from approximately 100 million people in the age range eligible for jury duty, each person would have to average one day of jury service every five years during his jury-duty "lifetime" span of about 45 years. The estimate of nine days per lifetime does not consider the selection methods by which these needs might be fulfilled, nor the exemptions, exclusions, and excuses that now keep many from jury service. It also does not consider regional or local differences in the need for jurors per unit of population, which might usefully be determined in particular instances.

However, given the average need per lifetime, a strong argument can be made that the jury term should be less than this average need. For if the jury term is just equal to average need, then by the probability laws of chance selection, some 37% of the people will not be selected at all⁶ (some 26% being called upon for more than one turn); and as the term-to-need ratio increases, an increasing percentage will miss the opportunity for serving.

⁶If the lifetime need is nine juror days, then with random draws for various lengths of jury terms the percentages of people never selected, selected once, and selected more than once during their lifetimes, as derived from the Poisson distribution, are as follows:

	Percentages of People				
Jury Term in Days	Never	Selected	Selected		
(vs need of 9 days)	Selected	Once	More Than Once		
1 Day	0	0	100		
3 Days	5	15	80		
5 Days	17	30	53		
9 Days	37	37	26		
20 Days	63	28	9		
35 Days	77	20	3		

CONCLUSION

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Supplying 20 million juror days per year, currently estimated as the needs of state, local, and federal courts, places an economic burden on individuals or their employers under current methods of remuneration for juror services. This total can be reduced, possibly by as much as 20%, through better jury management. But on the assumption that the total remains fixed, the three most significant factors influencing juror hardship are found to be selection practices causing frequent repetion of service, low jury fees, and long terms of service. The question then arises: what can be done about each of these by chief judges and court administrators who are concerned with the problem?

Selection lists and selection practices are being changed through the influence of appellate court decisions. Representativeness of the list and random selection are the hallmarks of acceptable practice. Keyman systems for making up the qualified wheel, although still used in many counties such as Fairfax, Virginia, are no longer defensible. Direct selection from the master wheel, as practiced in Kansas, Miami, and Houston, sets a new trend that results in higher or equal yields of qualified jurors. Direct selection avoids the problems of a qualified wheel, especially that of having the same names drawn time after time as in New York. Other courts might be encouraged to follow these trends in selection practices, for at the same time they bring conformance to appellate requirements they also tend to minimize the longtime juror hardships arising from repeated calls over time.

Raising jury fees to avoid economic hardship has been given considerable attention, for this direct method is appealing both socially and politically. Some state courts have raised the jury fee, as in Atlanta and Minneapolis; and some are considering doing so, as in Boston and Denver. But outside of these few instances, there has not been much change in jury fees since the federal courts raised their jury fee to \$20 per day in 1968. The difficulty is that whereas individual jury fees are ridiculously low, they aggregate to a substantial sum. It is estimated that it would cost about \$200 million per year to raise state and local jury fees to the \$20 per day federal level. Chief judges and court administrators might consequently find this avenue of avoiding juror hardship somewhat unpromising in these days of heavy deficits.

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The third factor, reducing jury terms to avoid economic hardship, has much to recommend it, for it costs almost nothing. The summoning costs, under present computer techniques, are estimated at \$1.50 or less per juror per term. The administrative problem of handling more names for a shorter period has been found to be nominal. Collateral benefits of shorter terms are also important to the courts, for they may mean that fewer excuses and exemptions will be exercised, or even necessary, to provide juries of higher quality; and they certainly will give more citizens the opportunity to observe at first hand the important work of the courts. Moreover, jury terms are virtually independent of every other facet of court operation; they can be changed without involving any other court procedure.

The difficulty about changing the length of jury terms is that little thought has been given to this aspect of jury service. Jurors are not aroused about them; they accept the given term of service, whatever it is, as complacently as they accept many of the other

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