

PB 200 674

DOT HS-802 185

# DEVELOPMENT OF TRAINING MATERIALS FOR TRAFFIC COURT ADMINISTRATION

Contract No. DOT-HS-4-00983

January 1977

Final Report

45611  
PREPARED FOR:

DEPARTMENT OF TRANSPORTATION  
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION  
WASHINGTON, D.C. 20590

Document is available to the public through  
the National Technical Information Service,  
Springfield, Virginia 22161

NCJRS

MAR 10 1978

ACQUISITIONS

This document is disseminated under the sponsorship of the Department of Transportation in the interest of information exchange. The United States Government assumes no liability for its contents or use thereof.



# METRIC CONVERSION FACTORS

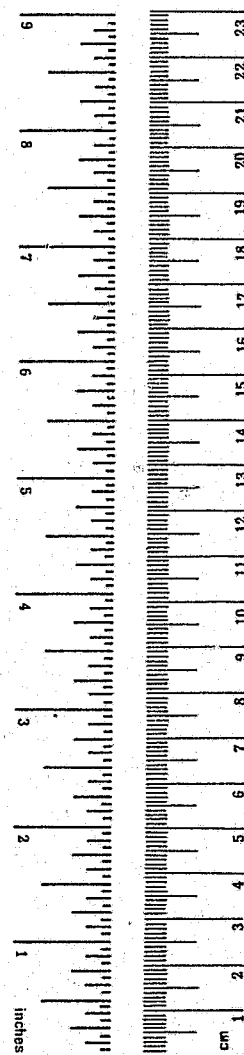
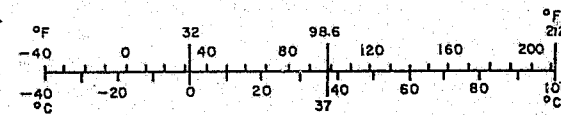
## Approximate Conversions to Metric Measures

Symbol	When You Know	Multiply by	To Find	Symbol
<b>LENGTH</b>				
in	inches	*2.5	centimeters	cm
ft	feet	30	centimeters	cm
yd	yards	0.9	meters	m
mi	miles	1.6	kilometers	km
<b>AREA</b>				
in <sup>2</sup>	square inches	6.5	square centimeters	cm <sup>2</sup>
ft <sup>2</sup>	square feet	0.09	square meters	m <sup>2</sup>
yd <sup>2</sup>	square yards	0.8	square meters	m <sup>2</sup>
mi <sup>2</sup>	square miles	2.6	square kilometers	km <sup>2</sup>
	acres	0.4	hectares	ha
<b>MASS (weight)</b>				
oz	ounces	28	grams	g
lb	pounds	0.45	kilograms	kg
	short tons (2000 lb)	0.9	tonnes	t
<b>VOLUME</b>				
tsp	teaspoons	5	milliliters	ml
Tbsp	tablespoons	15	milliliters	ml
fl oz	fluid ounces	30	milliliters	ml
c	cups	0.24	liters	l
pt	pints	0.47	liters	l
qt	quarts	0.95	liters	l
gal	gallons	3.8	liters	l
ft <sup>3</sup>	cubic feet	0.03	cubic meters	m <sup>3</sup>
yd <sup>3</sup>	cubic yards	0.76	cubic meters	m <sup>3</sup>
<b>TEMPERATURE (exact)</b>				
°F	Fahrenheit temperature	5/9 (after subtracting 32)	Celsius temperature	°C

\*1 in = 2.54 (exact). For other exact conversions and more detailed tables, see NBS Misc. Publ. 286, Units of Weights and Measures, Price \$2.25, SD Catalog No. C13.10.286.

## Approximate Conversions from Metric Measures

Symbol	When You Know	Multiply by	To Find	Symbol
<b>LENGTH</b>				
mm	millimeters	0.04	inches	in
cm	centimeters	0.4	inches	in
m	meters	3.3	feet	ft
m	meters	1.1	yards	yd
km	kilometers	0.6	miles	mi
<b>AREA</b>				
cm <sup>2</sup>	square centimeters	0.16	square inches	in <sup>2</sup>
m <sup>2</sup>	square meters	1.2	square yards	yd <sup>2</sup>
km <sup>2</sup>	square kilometers	0.4	square miles	mi <sup>2</sup>
ha	hectares (10,000 m <sup>2</sup> )	2.5	acres	
<b>MASS (weight)</b>				
g	grams	0.035	ounces	oz
kg	kilograms	2.2	pounds	lb
t	tonnes (1000 kg)	1.1	short tons	
<b>VOLUME</b>				
ml	milliliters	0.03	fluid ounces	fl oz
l	liters	2.1	pints	pt
l	liters	1.06	quarts	qt
l	liters	0.26	gallons	gal
m <sup>3</sup>	cubic meters	35	cubic feet	ft <sup>3</sup>
m <sup>3</sup>	cubic meters	1.3	cubic yards	yd <sup>3</sup>
<b>TEMPERATURE (exact)</b>				
°C	Celsius temperature	9/5 (then add 32)	Fahrenheit temperature	°F





Prepared by:

Institute for Research in Public Safety  
Indiana University  
Bloomington, IN 47401

Mid-America Research Institute, Inc.  
Ann Arbor, Michigan 48103

Project Personnel:

Ralph K. Jones,<sup>1</sup> Project Director  
John Komoroske, Content Material  
Gary J. Scrimgeour,<sup>2</sup> Curriculum Design  
Gary P. Simmons,<sup>3</sup> Graphics Design

Consultants:

Judge Philip T. Abraham, Portland, Oregon  
Mr. Robert E. Burgess, Jefferson City, Missouri  
Mr. Harvey T. Harrison, Olympia, Washington  
Mr. Kent B. Joscelyn, Ann Arbor, Michigan  
Prof. David J. Saari, Washington, D.C.

Contract:

DOT-HS-4-00983

Date:

August 30, 1976

---

<sup>1</sup>Mid-America Research Institute, Inc., Ann Arbor, MI

<sup>2</sup>Professional Studies Associates, Inc., Bloomington, IN

<sup>3</sup>Crow Quill Studios, Hot Springs, Arkansas

## ACKNOWLEDGEMENTS

The project staff is appreciative of the help and suggestions provided by a number of individuals during the development of this curriculum. Our consultants were indispensable to our attempt to develop a package that is relevant to the needs of adjudication system managers and operational personnel. Dr. Jerry Beatty, Iowa's State Traffic Court Administrator, was also most helpful in this respect.

The first pilot test of the curriculum package was held in the State of Kentucky and provided much useful information for refining the materials. We extend our thanks to Ms. Diane Morris and her staff at Kentucky's Office of Judicial Planning, the host agency for our pilot seminar, for their cooperation and support in testing the package.

Finally, the project staff is most grateful to Dr. George J. Palmer, Jr., the Contract Technical Manager of the sponsoring agency, the National Highway Traffic Safety Administration, for his help and guidance in developing a package responsive to state needs. The substantive inputs of Messrs. George D. Brandt and Robert T. Stone, also of NHTSA, were essential to our providing materials that incorporated the latest state-of-the-art developments in traffic case adjudication. We appreciate their help.

## TABLE OF CONTENTS

1.0	INTRODUCTION AND SUMMARY	1
2.0	SCOPE AND APPROACH	3
3.0	DEVELOPMENT OF CURRICULUM OBJECTIVES AND REQUIREMENTS	5
4.0	DESIGN AND DEVELOPMENT OF THE TRAINING MATERIALS	8
5.0	TEST AND EVALUATION	12
5.1	Test Philosophy and Requirements	12
5.2	Site Selection	13
5.3	Test Description	14
5.4	Summary	26
5.5	Evaluation of Test Results	27
6.0	CONCLUSIONS AND RECOMMENDATIONS	42

APPENDIX A : Behavioral Specifications for a Training  
Course in Traffic Case Adjudication Systems





## 1.0 INTRODUCTION AND SUMMARY

This is the final report of a project to develop training materials for traffic court administration conducted by the Institute for Research in Public Safety of Indiana University and Mid-America Research Institute, Inc. under contract DOT-HS-4-00983. The project period was June 27, 1974, through August 30, 1976.

The objective of the project was to develop, test, and evaluate a training program in applying NHTSA policies and standards on traffic case adjudication in the individual states. The training program should improve the level of understanding of persons within a state who are concerned with traffic court administration and should result in specific commitments by such people for planning and implementing identified improvements to their system.

At the same time, the training materials were to:

- Develop relationships between NHTSA policies and standards and traffic safety.
- Provide information about modern management techniques to improve internal operations of traffic courts.
- Help to increase information exchange and co-operative planning to improve external administration of traffic courts and the traffic safety system as a whole.
- Help administrators from traffic court systems and individual traffic courts to understand mutual problems and to develop methods for interacting better.

The resulting training package designed to meet these objectives is a two-day, small group session for identifying and analyzing problems in a State's Traffic

Case Adjudication System and for developing action plans for solving those problems. The participants in the seminar are persons believed to be best qualified for dealing with such problems and include individuals from within the adjudication system (e.g., judges and court administrators) and persons external to the system (e.g., legislators) whose interactions are critical to system functioning. The seminar is led by an instructor who is knowledgeable about the traffic case adjudication system, familiar with the material to be discussed, and expert in leading seminar groups of this type. The instructor is supported by resource personnel who have more specialized and detailed knowledge about the subject matter than either the instructor or the participants.

The materials were tested in a pilot seminar held in Kentucky on March 25 and 26, 1976. The official sponsor for the seminar was the Office of Judicial Planning of the Kentucky Supreme Court. In general, the pilot seminar was deemed a successful test of the applicability of the materials to a state which has not yet adopted most of NHTSA's relevant policies and standards. Minor changes to the draft materials were identified and incorporated in the final version. It was recommended that additional seminars be given to further refine the materials as might be required for their more general use.

## 2.0 SCOPE AND APPROACH

The training materials were designed as a part of an instructional system envisaged as all the resources (e.g., people, instructional aids, equipment, facilities, etc.) and procedures required for accomplishing the training mission. Specific steps undertaken in developing that system were:

- Development of behavioral objectives.
- Identification of system requirements to accomplish objectives.
- Design and development of materials to meet system requirements.
- Test, evaluation, and refinement of the instructional materials so developed.

The development of the behavioral objectives and system requirements was accomplished through two mechanisms. First, an extensive literature review was conducted. Materials from a wide range of sources were collected and described in a formal project working document. Second, a series of personal interviews were held with system personnel and experts in fields related to traffic case adjudication. The resulting information was used to develop a set of detailed behavioral specifications describing specifically what understanding, skill, and commitments to action would be expected as a result of a seminar.

The literature review, the personal interviews, and the behavioral specifications were the prime inputs to the design and development process. Three basic documents were developed as the core of the curriculum materials. First, a Participants' Manual was developed to provide the basic information and structure needed by the participants to support their discussions. Second, an Instructor's

Manual was developed to inform the instructor about overall and specific objectives, and about instructional strategies and tactics to help accomplish those objectives. Finally, an Administrator's Guide was developed to describe the administrative and logistical details incidental to the conduct of a successful seminar. Visual aids, lecture and reference materials were provided to augment these documents.

The final step in the materials development process was to conduct a pilot seminar to test, evaluate, and refine the curriculum package. An attempt was made to duplicate as closely as possible the conditions under which the "operational" seminars would be given. Following the test and the compilation of the evaluations, required changes identified in the pilot were incorporated into the final package for delivery to NHTSA.

The following sections of this report describe in more detail the activities outlined above.

### 3.0 DEVELOPMENT OF CURRICULUM OBJECTIVES AND REQUIREMENTS

As noted in the preceding section, the two main sources of material for developing curriculum objectives and requirements were the literature review and personal interviews with adjudication system personnel and others. The literature review placed primary emphasis on three themes developed in Proposed Standard N-7, the latest NHTSA statement on traffic case adjudication systems available at the time the materials were being developed:

- Coordination among the various elements of the system.
- Records systems for adjudication-related information.
- Improved adjudication.

The first theme dealt with the necessity for coordination among the three components of the traffic law system that have the greatest impact on adjudication: the state agency for highway safety, the state driver license authority, and the state judiciary. In addition to the more general questions associated with coordination among these three agencies, literature related to the issue of separation of powers was gathered and the published literature on the role of court administrators in coordinating system activities was assembled.

Three major areas were addressed in the review of information related to traffic records systems. The first area dealt with literature on the most basic element of a records system for traffic adjudication, the uniform traffic ticket and complaint. The second area was concerned with more general issues of records management, e.g., the nature of information needed for adjudication, public accountability aspects of court records, and the impact of (1) failure to accurately report case dispositions in a timely manner and (2) failure to provide accurate and

complete information soon enough to meet the needs of the adjudication system. The final area treated was computerization of traffic records systems, including the advantages and disadvantages of such systems, specification application of computer-generated information, and requirements for adopting computerized records systems.

The final theme of N-7 considered in the literature review dealt with various factors believed to be associated with improving the adjudication process, per se. Included among these were such matters as budgeting and staffing, and the extremely important issue of differential treatment of traffic offenses by adjudication agencies (e.g., decriminalization, mandatory appearance for certain violations, and pre-sentence reports). Another factor treated here was the use of relaxed and improved procedures in certain adjudication system operations, e.g., bail, impounding licenses, and staying execution of sentences to permit the driver to participate in a driver improvement program. This section also collected and analyzed literature treating the issues involved in setting up and operating adjudication agencies incorporating the principles of decriminalization, including types of traffic case adjudication, violations bureaus, administrative adjudication agencies, the New York system, and advantages and disadvantages of administrative adjudication.

A total of more than 100 documents were formally reviewed in the literature review task. In addition, several hundred more were identified and screened, but deemed unsuitable for incorporation into the literature review working document. A bibliography of the major sources of information is contained in Section H of the Instructor's/Participants' Manual.

Interviews were conducted with personnel at the federal, state, and local levels of government and with other experts and specialists in areas related to traffic case adjudication. The interviews with state and local personnel involved in adjudication system operation were highly structured and extensive, requiring four to eight hours to complete. They were held in the offices of the persons interviewed and in some cases involved other individuals.

The points of contacts for the state and local personnel interviews were the following persons:

- Mr. Harvey T. Harrison  
Department of Court Administration  
State of Washington
- Philip T. Abraham  
District Judge of the State of Oregon,  
County of Multnomah
- Mr. Robert Burgess  
Coordinator of Traffic Law Systems  
State of Missouri
- Dr. Jerry Beatty  
Traffic Court Administrator  
State of Iowa

The interviews were taped and fully transcribed later into a working document for use by the project staff. This document proved to be invaluable in developing realistic and practical objectives and requirements for the seminar.

The final step in the objectives-requirements process was the development of a concise statement of the behavioral objectives for the seminar. This was articulated in the form of a set of behavioral specifications (see Appendix "A") which formed the basis for the system design and development activities which followed.



#### 4.0 DESIGN AND DEVELOPMENT OF THE TRAINING MATERIALS

This phase of the project involved the preparation of the training materials per se and the development of instructional strategies and methods for using the materials in a seminar setting to meet the requirements set forth in the behavioral specifications (see Appendix "A").

The first step in this process was the more explicit identification of the kinds of participants to attend the seminar. It was decided that, because of the seminar's emphasis on developing action plans for specific improvements to a state's traffic case adjudication system, persons participating in the seminar should possess sufficient status and general inclination to be able to influence actual adoption of such improvements. This meant that the participants would not only have to represent key related agencies and groups within a state, but that they would also have to be at the highest levels of management within those agencies and groups, which were to include:

- State agency for highway safety
- State Division of Motor Vehicles (DMV)
- State Court System
- Municipal/County Court System
- Other agencies and organizations (e.g., legislators, state bar association members, state highway patrol administrators).

The identification of these high-ranking and prestigious individuals as participants indicated the selection of an instructional strategy which employed small-group educational techniques to attain the group's participation in the solution of mutual problems. The participant's expertise would be used for identifying and solving adjudication problems, and the instructor would concentrate on eliciting the inputs of these persons while

unobtrusively providing needed guidance through the course material. Additional, more specialized expertise would be provided by resource personnel selected to support in-depth development of subject areas of particular interest to a given state.

The role of the training materials under this strategy would be to enhance the participants' development of their own local information by succinctly presenting methodologies, analytic structures and relevant general information. Additional reference material would be furnished to provide further information for interested participants both during and after the seminar.

Additional materials would be needed, it was believed, to describe as clearly as possible how the various parts of the seminar should be conducted and how the Participants' Manual should be used in these sessions. Further, there was a need to develop a detailed, clear description of seminar preparation, conduct, and follow-up activities so that the logistic and administrative details could be handled smoothly and effectively.

The most difficult problem faced in designing the Participants' Manual was the wide range of adjudication systems that would be encountered among the various states. To account for this diversity, the Manual was made as comprehensive as possible with the full realization that no single state would use all of its contents or, indeed, even fully cover all of its units. The guidance provided in the Instructor's Manual would have to be explicit enough to allow the materials to be selectively applied to the most significant needs of a given state.

The resulting Participants' Manual was presented in eight sections or units covering the full range of germane subject matter, from conceptual framework to problems and methods of implementing identified improvements. The philosophy adopted was that the participants should analyze their own system with respect to highway safety and other objectives, consider ways of overcoming identified problems and shortcomings, and select for immediate adoption or further study those solutions most suitable to their own environment. The units are:

- A - Framework for Thinking About Your Traffic Case Adjudication System
- B - Common Problems in a Traffic Case Adjudication System
- C - The Monday Morning Quarterback
- D - Highway Safety Program Standards on Traffic Courts and Adjudication Systems
- E - Using Standard N-7 For Your Own Purposes
- F - How Standard N-7 Solves System Problems
- G - Adopting Improvements to Your Traffic Case Adjudication System
- H - Bibliography

The Participants' Manual also contains specified local information on the traffic case adjudication system in the seminar state. The information consists of fact sheets on the organization, personnel, and operations of their courts and adjudication agencies; fact sheets on the state's highway safety status and highway safety programs; and fact sheets on the state's driver licensing and traffic records activities. This local information is collected by the sponsoring agency in the state.

The Instructor's Manual was designed to incorporate

the substantive pages of the Participants' Manual plus additional pages to describe:

- Objectives of the program
- Instructional strategies
- Instructor's role
- Resource personnel's role
- Use of the manual
- Subject matter
- Types of information developed in the seminar
- Seminar schedule

Also, instructor's pages were included in each unit to describe specific points to be developed and strategies and techniques for covering the materials to accomplish the objectives of the units. The Manual was supplemented with slides and accompanying narrative for presenting conceptual and factual information in connection with units A and D.

The Administrator's Guide was developed to provide a cookbook description of administrative activities required to arrange and conduct the seminar. It was designed for use by a Seminar Administrator representing a sponsoring or host agency within a state. It tells how to (1) identify participants, resource personnel, and the instructor; (2) select a seminar location; (3) obtain and disseminate seminar materials; (4) arrange the seminar room; (5) conduct the seminar (from an administrator's standpoint); (6) evaluate the seminar; and (7) conduct follow-up activities. Guidelines for scheduling the seminar are also presented, and detailed instructions (including questionnaire) are provided for evaluating the seminar. The forms specifying the local information to be provided are provided in an appendix to the Guide.

## 5.0 TEST AND EVALUATION

### 5.1 Test Philosophy and Requirements

The primary purpose of the pilot seminar was to test the adequacy of the training materials for accomplishing the seminar's behavioral objectives. An important secondary objective was to determine if the total training package was sufficiently comprehensive and presented clearly enough to allow a state agency to hold a seminar with minimum outside assistance.

To accomplish the first purpose, training manuals and associated lectures, visuals, and reference materials were needed. The Administrator's Guide was required for determining the suitability of the training package for independent use by a state.

Thus, the pilot seminar was designed to test a training tool to be used by states rather than by an independent contractor or a Federal agency. In a sense, the state's role in any operational seminar would be that of a project manager having the ultimate responsibility for seeing that the seminar is successfully accomplished. A conscious effort was made to provide sufficient guidance and support without taking over the state's role as seminar impresario and manager.

It was hoped that the test site would be representative of the norm of final users of the package. The philosophy recommended was that the pilot be conducted at a location that would be reasonably "average" with respect to the operational efficiency and effectiveness of its traffic case adjudication system and with respect to its ability to manage the seminar. The rationale for this was that the seminar had been designed primarily for the "average" states and therefore should be tested at its design point.

## 5.2 Site Selection

Five factors and related criteria for site selection were submitted to NHTSA in early January, 1976, to aid in generating candidate locations for the pilot seminar. The factors were:

- (1) The state's status with respect to proposed standard N-7.
- (2) Attitudes with the state's highway safety establishment about the need for improving their adjudication system.
- (3) Existence of state and local persons at appropriate levels who could effectively promote improvements to their system.
- (4) Existence of state and local persons who could effectively coordinate the seminar.
- (5) Representativeness of the state with respect to broad classes of states needing N-7 - type improvements to their adjudication system.

As a result, several states were identified as good candidates, with Kentucky and Missouri heading the list. In meetings with NHTSA personnel and project staff in Washington, it was decided that Kentucky would be preferred over Missouri for a number of reasons, including:

- (1) There was a more pressing need for a seminar of this type in Kentucky because of a recent amendment to the State Constitution creating a state-wide judicial system which abolishes the present configuration of lower courts.
- (2) The newly-created Office of Judicial Planning (OJP) of the Kentucky Supreme Court was greatly interested in improving lower courts (particularly traffic courts)

and possessed the authority to take a leading role in doing so.

- (3) Missouri met most of the criteria set for the pilot, but already had an effective surrogate for a State Traffic Court Administrator. One of the major Traffic Case Adjudication System improvements suggested by the Seminar was just such a position.

Subsequent discussions with Judge Henry Pennington, a long-time worker for court reform in Kentucky; Ms. Diane Morris, Deputy Director of OJP; Mr. Bennie Maffet, Traffic Safety Coordinator for Kentucky; and Prof. David J. Saari of American University, a consultant to OJP, led to an agreement that OJP would act as host for the Seminar. Ms. Morris agreed to be the Seminar Administrator.

### 5.3 Test Description

The Administrator's Guide and the Instructor's Manual provided the scenario for the test. A copy of the Guide and the Manual was given to the Administrator at a planning meeting in Washington four weeks before the seminar was held. During that meeting scheduling problems emerged that would have a major impact on the entire test activity: because of prior commitments and deadlines, it would be necessary to hold the seminar with only four weeks lead time rather than the 12 weeks recommended in the Guide (see Table 5-1). Rather than delay the project completion date and incur additional expenses, the decision was made (with NHTSA concurrence) to proceed with the drastically compressed schedule.

TABLE 5-1 - PILOT TEST CHRONOLOGY

Event	Date <sup>1/</sup>	Recommended In Guide	Test
1. Participants Identified and Contacted	12	3	
2. Resource Personnel Identified and Contacted	12	3	
3. Instructor Identified and Contacted	12	4	
4. Participants Formally Invited	10	3	
5. Resource Personnel Formally Invited	10	3	
6. Instructor's Participation Confirmed	10	4	
7. Seminar Reference Materials Ordered	8	4	
8. Seminar Location Selected and Reserved	8	3	
9. Seminar Manuals Ordered	8	N.A. <sup>2/</sup>	
10. Local Information Collected	6	Day before seminar	
11. Follow-up Made to Re-confirm Attendance	4	N.A.	
12. All Seminar Materials Disseminated	2	2 Days before seminar	
13. Seminar Instructor Briefed	1	Day before seminar	
14. Pre-Seminar Meeting Held	Day before seminar	"	
15. Final Arrangements Made	Day before seminar	"	

<sup>1/</sup> : Numbers shown are weeks before seminar.

<sup>2/</sup> : Not applicable.



### 5.3.1 Pre-Seminar Activities

#### 5.3.1.1 Identifying the Participants

Highway safety and DMV participants were identified through Kentucky's Office of the State Coordinator of Highway Safety. One management person was chosen to represent each of the following areas: traffic records, driver licensing, and highway safety programs. The State Coordinator was also asked to attend as a participant. The Guide recommended a minimum of four persons from these areas, which turned out to be the number in attendance.

Participants from the state's court system were identified by the Office of Judicial Planning (OJP). The state's highest court, the Supreme Court, was represented by the Deputy Director of OJP, which will be responsible for court administrative functions statewide under the new unified court system. Other court system personnel were:

- Circuit Judge - 2
- County Judge - 2
- Municipal Judge - 1
- Municipal Court Administrator - 1
- Circuit Clerk - 2

The total of eight court system participants was two lower than the maximum number of 10 recommended by the Guide, and four more than the minimum number of four recommended.

OJP also identified the participants from outside the traffic case adjudication. These were:

- A senior police executive responsible for administration in the State Police.
- A former prosecutor in a large municipal court.
- A former member and speaker pro tem of the State House of Representatives, presently a key staff member of the State's Department of Finance and Administration.

This number of persons from outside the system (three) was within the range of one to three recommended by the Guide.

Table 5-2, below, summarizes the number of participants present from the three sectors. The number is seen to compare well with the Guide recommendations, if anything slightly heavy on court personnel and slightly light on highway safety personnel. The total number of participants was the maximum recommended (15).

TABLE 5-2  
SUMMARY OF SEMINAR PARTICIPANTS

Sector	Present	Number Recommended by Guide
Highway Safety	4	4-7
Court System	8	4-10
Other	3	1-4
TOTAL	15	9-15*

\*Maximum Total Held to 15 Rather Than 21

#### 5.3.1.2 Identifying the Resource Personnel

The Seminar Administrator asked the Project Director's advice in identifying the two primary resource personnel required by the Guide: a systems analyst and an expert on NHTSA's policies and standards on traffic courts. The Project Director himself acted as the systems resource person, and a member of NHTSA's Office of Driver and Pedestrian Programs agreed to be the resource person on NHTSA programs. One of the participants, the State Coordinator of Highway Safety, also assisted in the latter role, giving the lecture accompanying Unit D, "Highway Safety Program Standards on Traffic Courts and Adjudication Systems."

Eight other possible resource personnel were suggested by the Guide. The functions of five of these (fiscal management, law enforcement, traffic records systems development and operation, municipal court administration, and traffic case prosecution) were performed by participants. Two of the remaining three were not required because of the lack of emphasis of their areas of speciality in the discussion (personnel administration and probation). The remaining resource person, a traffic court administrator, could have been useful, but the lead time was too short to arrange for the participation of such a person.

In summary, resource personnel representing seven out of eight pertinent kinds of specialized knowledge and experience recommended by the Guide were present at the seminar.

#### 5.3.1.3 Identifying the Instructor

The Guide states that "the instructor can come from either within the State or outside of the State," and that NHTSA's Office of State Program Assistance can help identify a suitable instructor. Actually, the seminar administrator and the instructor were identified almost simultaneously by NHTSA (through the Office of State Program Assistance) and contractor personnel. The instructor, Professor Saari, had been active as a consultant in Kentucky, working with the seminar administrator, Ms. Morris, and would undoubtedly have been selected by her anyway. Prof. Saari's qualifications were a good match to those outlined in the Guide: he was not an expert in highway safety, but was a highly qualified specialist in court management and had extensive experience in leading discussion groups of the type participating in the seminar.

#### 5.3.1.4 Arranging for the Attendance of Participants, Resource Personnel, and Instructor

With one exception, all attendees were contacted

personally by the seminar administrator: the attendance of the NHTSA representative was arranged by the Project Director. Also in compliance with the Guide, follow-up confirmation letters were sent out by administrator to the attendees.

The Guide's strong recommendation that "at least 90 days lead time should be provided" to allow attendees to clear their calendars could not be followed, as was noted previously. This resulting in the inability of several key participants (notably the Chief Justice of the Supreme Court and two state legislators with strong highway safety interests) to attend.

#### 5.3.1.5 Selecting the Seminar Location

The location of the seminar was selected by the administrator. It matched the requirements in the Guide in every respect, except possibly, that "adequate air transportation in and out be available." Because of the lack of intrastate air transportation convenient for participants from the smaller, rural jurisdictions, no location would have met that requirement.

#### 5.3.1.6 Obtaining and Disseminating Seminar Materials

The basic seminar package described in the Guide (i.e., manuals, guide, lectures, and slides) was provided by the contractor. Sufficient copies were made available for all attendees. The basic reference set was also furnished by the subcontractor, since time did not allow the administrator to order the materials as required by the Guide. The local information recommended in the Guide was developed by OJP and the Coordinator for Highway Safety. Data on case disposition reporting could not be developed in time for use in the seminar.

The short lead time available for pre-seminar activities also precluded the distribution of manuals in time to allow the attendees "ample time to review the material" as recommended by the Guide - only two days were available for review instead of the recommended two weeks. The instructor received a copy of the manual about four weeks prior to the seminar (the Guide also recommended four weeks), but did not receive final revisions to the manual until about a week before the seminar. It is noteworthy that all of the attendees received their manuals (none were lost in the mail) and all remembered to bring them to the seminar. The only processing error made in disseminating the manuals was the inadvertent mailing of an instructor's manual to a participant, causing great anxiety to the recipient who thought she was being called on to act as instructor.

#### 5.3.1.7 Briefing the Seminar Instructor and Conducting the Pre-Seminar Meeting

The administrator briefed the instructor (via telephone) in some detail about the seminar's objectives, instructional strategies, and background information on participants as recommended in the Guide. The briefing occurred about a week before the seminar as recommended. Local information was incomplete at this time.

The pre-seminar meeting was held in the seminar room on the evening preceeding the seminar as specified in the Guide and covered the required topics. It appeared to accomplish its intended results, i.e., "a clear understanding of the seminar process and the overall objectives being sought."

#### 5.3.1.8 Making Final Arrangements

The recommendations of the Guide regarding "final arrangements" (e.g., checking facilities, setting up the seminar room) were followed almost to the letter.

The Project Director assisted an OJP staff member in this activity.

### 5.3.2 Seminar Activities

The start of the seminar was postponed to 9:30 a.m. from 9:00 a.m. because of the late service of breakfast at Shakertown. All attendees were present when the seminar began.

#### 5.3.2.1 Introducing the Seminar

The opening introductory remarks were made by the seminar administrator as the Guide recommended. Only one of the six recommended topics was omitted - (4) "a statement of the nature of the instructional strategy used in the seminar, emphasizing it is not a training course but a working session in which the participants identify and solve problems." As agreed in the pre-seminar meeting, some background information was provided on the nature of the judicial article to the state constitution and the necessity to quickly identify needed improvements to the Traffic Case Adjudication System. A presentation of district court considerations relevant to traffic cases was also made by the administrator. The introduction lasted about 20 minutes as opposed to the 10 minutes recommended.

#### 5.3.2.2 Conducting the Seminar

The general structure and approach recommended in the Guide and the Instructor's Manual were followed closely throughout the seminar. However, there were significant departures, most of them occurring as a result of conscious decisions made by the instructor to tailor the material and format to perceived needs and interests of the participants and the state. Other departures were due to failures in communicating seminar content and procedures to the instructor.

The first departure from recommendations occurred at the beginning of the seminar, when the instructor decided to present information and statistics about Kentucky's court system as a continuation of the administrator's presentation. The information was gleaned from the Guide's recommended fact sheets on the local Traffic Case Adjudication System. Because of the time consumed in this presentation and the ensuing discussion (approximately 45 minutes), the Project Director made the decision to forego having the participants complete the pre-test questionnaire. It was reasoned that further interruption of the planned sequence of activity would seriously reduce the chances of a successful seminar and that it would be better to rely on the post-test data and subjective judgments for evaluating the seminar.

#### 5.3.2.2.1 Unit A - Framework for Thinking About Your Traffic Case Adjudication System

The material in this unit was presented as recommended in the Instructor's Manual, i.e., a 20-minute lecture (with slides) delivered by the instructor. The written lecture was not used, the instructor preferring to talk extemporaneously from the slides. Minimal discussion followed, with no reference to the manual. Questions about the differences between the terms "requirements" and "procedures" as used in the material were not completely resolved.

#### 5.3.2.2.2 Unit B - Common Problems in a Traffic Case Adjudication System

This unit started off as recommended in the Instructor's Manual, i.e., with a discussion of failures that might occur in Kentucky's Traffic Case Adjudication System. Only about 10% of the failures listed for the first three functions were said to occur frequently in the state. However, when the Conduct Adjudicative Hearing function was reached, there was nearly unanimous agreement that all

of the failures listed were common. Similar results were obtained for the remainder of the operational functions. A quick survey of the management and support functions revealed that, in the opinions of the participants, complete non-performance (at the state level) of such functions. Thus, the instructor's problem became one of determining which failures to exclude. The decision was made to concentrate on the adjudication function and the ticketing and complaint functions. The decision was based on participant interest expressed in the discussions and the fundamental importance of the failures identified to system performance.

The seminar adjourned for lunch at this point without further discussion on the effects of the kinds of failure identified on highway safety objectives. After lunch it was agreed that Unit C - The Monday Morning Quarterback - should be omitted entirely because of the extensive amount of work remaining in analyzing solutions identified for failures. The necessity for proceeding in this manner has been predicted in the pre-seminar meeting, and the instructor was fully prepared.

#### 5.3.2.2.3 Unit D - Highway Safety Program Standards On Traffic Courts and Adjudication Systems

The decision was made prior to the seminar to use the state's Highway Safety Coordinator as a resource person to introduce the federal highway standards to the group. The rationale for this decision was that this would more fully involve state highway safety personnel in a seminar that could very easily lose sight of its highway safety roots. The slides and accompanying written lecture were made available to the Coordinator before the seminar, but again the lecturer preferred to speak extemporaneously from the slides.



The lecturer presented the background material on the standards and the salient features of present standard no. 7, but covered very little of proposed standard N-7. Considerable time was spent in discussing the other 17 existing standards.

#### 5.3.2.2.4 Unit E - Using Standard N-7 for Your Own Purposes

The following sub-units were emphasized in the discussion:

- Using the Uniform Traffic Ticket and Complaint
- Improving the Traffic Records System
- Decriminalization
- Getting Funded

The material in the manual was used very little by the instructor, who preferred to rely on his own experience and knowledge. The material most referenced was that concerned with administrative adjudication and violations bureaus. The NHTSA resource person contributed greatly to the discussion, presenting information on the SAFE Projects and the New York administrative adjudication system.

Unit F (How Standard N-7 Solves System Problems) was not used since the major participant interest seemed to be in defining the terms used in the above four high-priority sub-units of Unit E and in acquiring a better understanding of the concepts relative to their own system.

#### 5.3.2.2.5 Unit G - Adopting Improvements to Your Traffic Case Adjudication System

The second day's session concentrated on this unit. The group was divided into four smaller groups to develop position papers summarizing the discussions on

Unit E. The sub-groups corresponded to the four sub-units emphasized in E:

- Uniform Traffic Ticket and Complaint
- Records Systems
- Decriminalization
- Finance

The case studies were not used formally in this unit but may have been referred to during the small group discussions.

The main group was reconvened for a presentation of the position papers by chairmen of small groups. After a short discussion, the papers were adopted by the participants with little change.

After lunch, the instructor pressed the participants to identify a series of action items that would help the state to move toward the improvements identified in the position papers. By this time, the group's thinking was directed more toward specific improvements so that Worksheets A and B of Unit G were not used. In any case, the group chose not to identify the specific action items sought, preferring instead to have OJP further develop the position papers which would then be circulated for review and comment by the group before final publication. Presumably, action items identified by OJP would follow.

The instructor noted that he did not fully understand what was meant by the term "action item" as used in the seminar and felt he could have been more effective in generating actions had some specific examples been included in the manual.

#### 5.3.2.3 Evaluating the Seminar

As noted previously in this report, the pre-test

instruments were not administered. Post-test questionnaires were completed by the participants and the subjective judgments of the administrator and the instructor were obtained as recommended by the Guide.

#### 5.3.2.4 Winding Up the Seminar

These activities proceeded in accordance with the Guide, although no mention was made of the Seminar Proceedings. It was presumed by the administrator that Position Papers would serve this purpose.

#### 5.3.3 Post-Seminar Activities

Provisions were made to summarize and disseminate seminar results and to keep participants informed about subsequent developments.

### 5.4 Summary

#### 5.4.1 Pre-Seminar Activities

The pre-seminar activities were conducted in close conformance with the recommendations of the Administrator's Guide. The only significant deviation was the reduction in lead time from three months to one month. This resulted in the non-attendance of some key personnel and prevented the participants from receiving their Manuals early enough for in-depth study.

#### 5.4.2 Seminar Activities

The general approach, structure, and format for the seminar were in good agreement with the curriculum requirements as stated in the Instructor's Manual. However, significant deviations occurred in some specific areas:

- Relationships between Traffic Case Adjudication System performance and highway safety were not emphasized to the extent indicated in the

Instructor's Manual.

- The Manuals and reference material were not utilized sufficiently in the discussions.
- The initial, lengthy discussion of local data was not in accordance with the procedure set forth in the Instructor's Manual or the Administrator's Guide, and caused an abort of the pre-test.

#### 5.4.3 Post-Seminar Activities

These activities were essentially as recommended by the Guide.

### 5.5 Evaluation of Test Results

#### 5.5.1 Participants' Evaluations

The participant responses to the post-test questionnaires are summarized in Exhibit 5-1. 13 of the 14 participants filled out the questionnaires, the other participant having to leave at the end of the first day because of an illness in the family.

The first three questions (22,23, and 24), and question 35, were intended to measure the participants' evaluation of the degree to which the seminar accomplished its top-level objectives. The responses show high optimism in accomplishing needed improvements to the state's traffic case adjudication system (85% said either chances were "good" or "excellent") despite a general belief that the present state of system operation was either "marginal" or "mostly unsatisfactory." Further, the participants' assessment of the usefulness of the seminar in promoting such improvements was extremely high - 77% of them chose the highest usefulness rating ("very useful") and 23% the next highest ("useful"). All 13 participants said they would recommend and encourage

EXHIBIT 5-1  
Participant Responses to Post-Test Questionnaire

22. How would you describe the state of traffic case adjudication systems operation in your State?

- 0 Excellent, no significant improvements are needed.
- 1 Good, but some improvements are needed.
- 5 Marginal, some large-scale improvements are needed.
- 2 Mostly unsatisfactory, extensive major improvements are needed.
- 0 Totally unsatisfactory, a complete revamping is required.

23. What do you think of the prospects for accomplishing needed improvements to your State's traffic case adjudication system?

- 5 Excellent
- 6 Good
- 2 Fairly good
- 0 Not very good
- 0 Poor

24. How useful do you think this seminar will be in promoting needed improvements to your State's traffic case adjudication system?

- |    |             |   |                 |
|----|-------------|---|-----------------|
| 10 | Very useful | 0 | Not very useful |
| 3  | Useful      | 0 | Of no use       |

EXHIBIT 5-1 (Cont'd)

25. How informative did you find the materials presented in this seminar?
- 4 Highly informative
  - 7 Informative
  - 2 Slightly informative
  - 0 Not informative
26. Was the seminar presented in a logical manner?
- 4 Highly logical
  - 9 Logical
  - 0 Not logical
27. Was the seminar long enough to cover the material adequately?
- 0 Much too long
  - 0 A little long
  - 10 About right
  - 3 Not long enough
28. What would you consider the weakness(es) of this seminar?
- 6 None
  - 3 Not enough time to cover material
  - 1 Not enough background data on Kentucky
  - 1 Not enough time to study manual
  - 1 Not enough advance preparation by participants
  - 1 Manual not practical enough, should be used only as a reference

- 1 Not enough emphasis on small groups
- 1 Not enough comparisons of Kentucky with other states

29. How could these weaknesses be overcome in future seminars?

- 3 Make seminar longer
- 1 More small-group discussions
- 1 Select topics for emphasis
- 1 Ask participants to come prepared to answer certain questions

30. What parts of the seminar interested you most?

- 3 Small group discussions
- 2 Open discussion of problems by full group
- 2 All
- 1 All except finance
- 1 Total involvement of all disciplines
- 1 References to other systems

31. How would you rate the effectiveness of the instructional aids?

<u>Aid</u>	<u>High</u>	<u>Very Good</u>	<u>Good</u>	<u>Poor</u>
Manual	2	6	4	0
Reference Material	1	7	4	0
Visual Aids	0	4	7	1

32. How well did the seminar instructor conduct the seminar?

EXHIBIT 5-1 (Cont'd)

- 5 Extremely well
- 8 Well
- 0 Adequately
- 0 Not very well
- 0 Poorly

33. Which, if any, of the participants do you feel were inappropriate for this seminar?

- 12 None
- 1 Me

34. What other kinds of participants were needed?

- 7 None
- 1 County Attorney, Commonwealth Attorney
- 1 More Court Clerks
- 1 More Police
- 1 Computer Expert
- 1 More people from smaller counties
- 1 Someone who could make a decision

35. Would you recommend and encourage others to participate in this seminar?

- 13 Yes
- 0 No

36. Please provide any other comments you care to make.

- 1 Financing new system toughest question: beware of past mistakes made with regard to trial commissioners, court administrators



EXHIBIT 5-1 (Cont'd)

1. Need future meetings
- 1 Excellent seminar
37. How much of the manual did you read before the seminar?
- 0 All
- 3 Nearly all
- 6 About half
- 4 A few pages
- 0 None
38. How useful was receiving the manual before the session?
- |   |             |   |                  |
|---|-------------|---|------------------|
| 7 | Very useful | 1 | Not very useful  |
| 5 | Useful      | 0 | Of no use at all |

others to participate in the seminar.

Questions 25 through 32 were concerned with the seminar materials, seminar format and length, weaknesses in the seminar, areas of most interest, and the effectiveness of the instructor. The overall rating of the materials was high, 31% rating them as "highly informative" and 54% as "informative." 15% (two participants) said the materials were only "slightly informative." Specifically, the manual and the reference material were rated "high" or "very good" by 67% of the participants, and "good" by the remaining 33%. The visual aids received lower marks: 33% rated the aids as "very good" and 58% as "good." 8% (one participant) said they were "poor."

The participants seemed to be pleased with both the format and the length of the seminar. All of them found the presentation at least logical (31% said it was "highly logical"). 77% of the participants found the length of the seminar "about right," the remainder believing that it could have been longer.

Nearly half (46%) of the participants found no weaknesses in the seminar. A few (23%) felt that the insufficient length of the seminar constituted a weakness. Five other weaknesses (see Exhibit 5-1) received one vote each. Ways of improving the seminar suggested were directed at the specific weaknesses listed.

There was a wide range of opinion on the most interesting aspects of the seminar. The small-group discussions were listed most frequently (23% of the group), followed by "open discussion of problems by the full group" (15%). 15% said it was "all" interesting, and 8% (one person) found it all interesting except the part on finance. Another participant liked the total

involvement of all disciplines.

The seminar instructor received high marks from the participants: 38% gave him the highest rating listed (conducted the seminar "extremely well"), and the rest gave him the next highest rating ("well").

All of the participants except one felt that none of their group was "inappropriate" for the seminar. The lone exception listed himself as inappropriate. However, 46% said one additional type of participant was needed:

- County attorney
- More Court Clerks
- More police
- A computer expert
- More people from smaller counties
- A decision-maker.

Two questions (37 and 38) addressed the value of sending manuals to participants before the seminar. The first question revealed that all of the participants had read at least "a few pages" before the seminar. 69% said they had read at least half of the manual and 23% said they had read "nearly all" of it. 92% said that receiving the manual before the seminar was either "useful" or "very useful" (54% "very useful"). The remaining 8% (one person) said it was "of no use at all." One participant stated that a weakness of the seminar was "not enough time to study the manual."

Among the other comments made in the questionnaire by the participants were that future meetings were needed and that the seminar was excellent.

#### 5.5.2 Evaluations by the Instructor and the Administrator

It was felt that the level of interest among participants was high and that every participant spoke out. The

instructor was sensitive to the instructional strategy for the meeting and made a strong effort to encourage active participation.

The instructor and the administrator believed that the materials used in the seminar were effective. The instructor summarized the materials as being readily grasped, usefully analytical, succinctly stated in an objective manner, extremely relevant to the point being discussed and furthering the group's mutually shared understanding of a point. Most of the materials were used selectively to clarify particular points. The contributions of the resource personnel were perhaps the most useful of all. In general, the instructor found that there were plenty of available materials and most of them were very helpful in the conduct of the seminar.

The sequencing of the material was in accordance with the Instructor's Manual and it seemed to work well. However, the emphasis given to the various units and subunits of the curricula was altered drastically to conform to the unique situation encountered in Kentucky. The operating premise was that little failure analysis and problem identification were needed because of the vote in 1975 abolishing the entire court system and the subsequent need for emphasizing a redesign of the adjudication system in the state. Thus, there was already a recognized need among participants for action. Also, the instructor perceived the seminar as presenting an opportunity to help the state of Kentucky develop policy statements for further education and clarification and to identify research projects defining and creating a preliminary design of the new district court of Kentucky.

The instructor and the administrator felt that the NHTSA policies and standards of traffic case adjudication were presented clearly and comprehensively. They felt that the participants had a good familiarity with the policies and standards at the end of the seminar.

The idea of a traffic case adjudication system and the relationship of that system's activity to highway safety were presented but were probably buried in the welter of Kentucky detail which had to be covered to get to the policy issues. The attendees themselves probably provided the most vivid and the most consistent illustration of the system's concepts. The great variety of federal, state, and local agencies from all three branches of government which were represented and which had a legitimate interest in the traffic safety area reinforced the intergovernmental cooperation theme. The system idea seemed to have gotten across.

It is likely that there was not sufficient time to fully develop and explain the relevancy of NHTSA policies and standards to highway safety and the administrative efficiency of Kentucky's traffic case adjudication system. However, this relationship was implicit in the curriculum, in the direction taken in the participants' efforts, and in the instructor's overall approach.

The participants seemed to have a good understanding of the specific approaches recommended in the curriculum for identifying and adopting needed improvements to their traffic case adjudication system.

Evaluation was not stressed in the seminar except in the area of recommendations relative to management information systems. Evaluation and monitoring concepts were implicit in the seminar but not fully articulated. There was not sufficient time to review the curriculum materials on this topic.

The group did a fairly good job of analyzing their traffic case adjudication system and seemed to grasp the concepts involved in such an analysis. It was, in fact, remarkable how quickly each participant seemed to expand his horizon. Comments such as "I did not realize," "I did not know," "I was surprised by," etc. were frequent. In other words, the learning curve of every participant was greatly enhanced by the seminar. In addition everyone seemed to recognize that his view was limited, finite and bounded to his own responsibility. There was very little definition of the problem cast solely in terms of the perspective of a single agency.

The group faltered somewhat in their attempt to develop an action plan for adopting identified improvements to their traffic case adjudication system. This seemed to be due to the difficulty in dealing with the great scope, complexity, and difficulty of the many tasks that had to be accomplished in order to insure that the most critical legislative requirements could be identified before the 1976 Special Session of the Kentucky State Legislature which would convene in about six months. Thus the action plan merely became a statement of policy suggestions to be formalized and distributed by the Office of Judicial Planning to key groups. More specific actions were deferred to the Office of Judicial Planning. There was some confusion about what really constituted an action plan and this ought to be developed further in the curriculum, preferably with examples.

There is a high degree of probability that specific individual commitments to cooperate, study, react, and survey will be kept. The forthcoming legislative session will be a strong incentive forcing everyone to

react in some uniform way as policy decisions come to a head.

As a whole, the instructor and the administrator found the seminar to be stimulating, concrete, practical, and highly useful to Kentucky officials. The instructor believed it to be probably the first working session of its kind in the traffic area and though that it created a nucleus of people who shared a common experience and will likely want to continue their interaction with each other, the Office of Judicial Planning, and the Kentucky State Highway Safety Program. The curriculum and other materials offered a precise, up-to-date format of great relevance to Kentucky's pressing needs and the material is likely to be copied and used over the state. The seminar created a common understanding of the series of intricate problems which cut across all levels of government. The instructor believed that the seminar will materially assist the Kentucky state and local governments in logically considering policy alternatives in the traffic adjudication system relating to decriminalization, adjudication by violations bureaus, finance, uniform traffic tickets, and systems development, education, and training.

#### 5.5.3 Evaluations by the NHTSA

A specialist in traffic court administration from NHTSA attended the seminar and was asked to provide a subjective evaluation of the pilot test. It was his belief that the seminar was successful in having the participants identify and recommend improvements to their adjudication system, but did not fully accomplish the objectives of the test because of the status of the test state with respect to NHTSA policies

and standards. He felt that the seminar material was "excellent and as comprehensive as is possible in presenting modern techniques for the employment by states interested in a coordinated approach to the handling of traffic cases." The manual will be limited in its application to some states not having highly sophisticated traffic court systems and may be suitable for supporting subsequent, more advanced seminars in such states.

It was also the belief of the NHTSA expert that the instructor and resource personnel should be highly familiar with the operations and structure of the traffic law system in the seminar state and that a full day be allotted prior to the seminar to discussing the state system and ways of introducing and using the manual to meet the needs of the state. Also, it was felt that the instructor should be legally trained and experienced in leading this type of seminar. Every effort should be made to obtain the participation of a member of the state's Supreme Court and one or more legislators with appropriate experience.

The need for follow-up was stressed by the NHTSA attendee. An agency must be identified to keep all interested persons informed about the progress made in accomplishing the resolved actions. Additional seminars may be required in some states as they progress in their systems' development and as the environment changes.

Finally, further testing of the manual should be done to determine its applicability to more advanced states. Two full days should be scheduled for these seminars, and the manual format should be followed closely.



#### 5.5.4 Evaluation by the Project Staff

The project staff were in substantial agreement with most of the other individuals who evaluated the seminar. In sum, we believe that the seminar met its objectives in helping the participants arrive at a set of rationally conceived and evaluated improvements to their adjudication system, but did not fully test the materials. This was because, as noted above, the pilot test state's adjudication system was not sufficiently developed to permit in-depth analyses of a few key problem areas. The areas where improvements were needed were so numerous and fundamental that only a cursory treatment could be provided. Further seminars appear indicated for Kentucky as their system progresses.

It was clear that the materials will have to be very carefully tailored for each seminar state. Two days is not sufficient to cover all of the material, even at a superficial level of detail. In fact, adjustments to the schedule may be necessary in order to more efficiently utilize the time. One possibility might be to hold the seminar in mid-week and start it in the afternoon of, say, Tuesday and complete at noon on Thursday. Explicit guidance must be given in the Instructor's Manual for tailoring the package to the needs of the seminar state.

Some of the units could have been improved had more time been available to discuss specific strategies and areas of emphasis prior to the seminar. Some of the units could be improved if more time were available to discuss specific strategies and areas of emphasis prior to the seminar. The necessity for a qualified instructor was convincingly illustrated during the seminar, and we were fortunate to have had such an instructor.

7

The resource personnel also helped immeasurably in adding a real-world dimension to a seminar that could have become too abstract. The danger of getting too involved with theory is, in fact, ever-present in this package and a continual effort must be made to avoid this fatal pitfall.

Finally, a word should be said about the participants and the host. They were, on the whole, a highly competent and interested group. They attended all of the sessions and nearly all entered into the discussions. The host agency, Kentucky's Office of Judicial Planning was most cooperative and enthusiastic and accomplished the administrative tasks in excellent fashion. The prospects for achieving the objectives developed in the seminar appear very good indeed.

## 6.0 CONCLUSIONS AND RECOMMENDATIONS

Based on the results of one seminar, the concept of having top-management personnel in key state agencies analyze their state's traffic case adjudication system in an intensive two-day small-group seminar appears feasible. The pilot seminar demonstrated that the package is flexible enough to accommodate a state less advanced in its incorporation of modern principles and techniques of adjudication system management than those for which the package was primarily designed.

The test seminar also demonstrated the necessity for planning and conducting the seminars in close conformance with the procedures stated in the Administrator's Guide. Most significant among these is the recommended lead time of three months and the need for in-depth discussions between key seminar personnel immediately prior to the seminar. The procedure of sending out the Participants' Manual several days before the seminar to allow the participants to become familiar with the seminar format and the topics to be covered seemed to be a good one but should be tested in other seminars before being adopted.

Because of the comprehensive nature of the material, more emphasis has to be placed on planning this seminar to address the specific needs of a state than might be necessary for some other seminars. Two full days will be needed to properly conduct even such a "tailored" seminar, indicating a need to reassess the recommendations made in the Instructor's Manual on the seminar schedule. A future seminar should test the feasibility of starting and ending the seminar at noon or in the evening to avoid the well-known tendency of meetings of this type to adjourn early on the last afternoon.

The recommendations contained in the materials regarding the qualifications of the instructor and resource personnel were confirmed by the pilot seminar. It was also clear that persons having specific knowledge about the seminar state's system and the systems of other states are invaluable and that such information is eagerly sought by the participants. Further, the participation of key members of relevant agencies in a planning session of this type appears to be one of the most unique features of the seminar, and the groups and agencies recommended in the Guide appear to be most appropriate.

Two major recommendations can be made at this time as a result of limited experience with the package. First, it is essential that this curriculum be further tested in more representative states to determine its general applicability. It is further recommended that only minor changes be made to the package before further experience is gained, since the conditions for the first test were anomalous. Second, because of the spectrum of issues covered in the curriculum and the many phases of planning and implementing adjudication system improvements that are encompassed, it is recommended that consideration be given to the development of a longer series in the subject. It seems possible, for example, to develop an "overview" course to prepare participants and an introductory course for states not currently using state-of-the-art techniques. Similarly, intermediate, advanced, and refresher courses would be prepared to continue to support a state's development of its traffic case adjudication system and to sustain the momentum acquired in the initial seminar.

## APPENDIX A

### Behavioral Specifications for a Training Course in Traffic Case Adjudication Systems

## 1.0 INTRODUCTION

This document presents in outline form the behaviors required of the learner group as a result of the course on traffic case adjudication. The behaviors sought all relate to proposed Highway Safety Program Standard N-7, "Traffic Courts and Adjudication Systems." Three general categories of behavior are addressed:

- Understanding the objectives, nature, and operational implications of the standard, including the process through which its provisions may be adopted in a given state.
- Skill to analyze, select, and plan the adoption of specific elements of the standard.
- Commitment to future actions leading to the selection and adoption of specific elements of the standard.

The following sections of this document list significant lower-level behaviors in each of these three categories.

## 2.0 UNDERSTANDING

The learner group shall, as a result of the training course, understand the following:

- 2.1 The nature of the standard.
  - 2.1.1 What the standard is.
  - 2.1.2 Institutions and agencies primarily affected by the standard.
  - 2.1.3 The objectives of the standard.
  - 2.1.4 The terminology used in the standard.
  - 2.1.5 What the standard requires.
- 2.2 The history and present status of the standard.
  - 2.2.1 Why and how the standard came to be generated.
  - 2.2.2 Relationship to present standard number seven.
  - 2.2.3 Changes that are likely before the proposed standard becomes a standard.
- 2.3 The concept and nature of a State Traffic Case Adjudication System (STCAS), including most common variants.
  - 2.3.1 Objectives.
  - 2.3.2 Functions and performers of functions.
  - 2.3.3 "Management," and coordination of the system.
- 2.4 Failure modes of a STCAS.
- 2.5 Relevancy of STCAS requirements stated in the standard.
  - 2.5.1 To highway safety.
  - 2.5.2 To the administrative efficiency of the STCAS.

2.6 How a STCAS is established or modified.

- 2.6.1 Major requirements for establishment or modification of STCAS.
- 2.6.2 Steps.
- 2.6.3 Barriers.
- 2.6.4 Ways of overcoming barriers.
- 2.6.5 Groups, institutions and agencies involved in establishing or modifying a STCAS.

2.7 Evaluation of a STCAS.

- 2.7.1 The need for evaluation.
- 2.7.2 Kinds of evaluation appropriate to a STCAS.
- 2.7.3 The nature and importance of specific required (and other) quantitative analyses in evaluating a STCAS.
- 2.7.4 Steps in evaluating a STCAS.
- 2.7.5 How a STCAS evaluation system is established.



### 3.0 SKILLS

The learner group shall, as a result of the training course, be able to perform the following:

- 3.1 An elementary systems analysis of the learner's own STCAS.
  - 3.1.1 Describe the learner's STCAS in systems terms.
  - 3.1.2 Identify significant failure modes in the learner's STCAS.
  - 3.1.3 Determine which specific elements of the standard will help remedy identified failures.
- 3.2 Develop an action plan for adopting selected portions of the standard in the learner's own state.
  - 3.2.1 Identify short-range and long-range objectives.
  - 3.2.2 Define the necessary tasks, activities, and milestones to achieve the objectives.
  - 3.2.3 Identify groups and/or individuals to perform tasks and activities.
  - 3.2.4 Identify sources of funding and other support for implementing the plan.
  - 3.2.5 Produce a planning document incorporating the above.

#### 4.0 COMMITMENTS

The learner group shall, as a result of the training course, make the following commitments to future action:

- 4.1 Work toward adopting desirable portions of the standard in the learner's own state.
- 4.2 Perform specific activities aimed toward:
  - 4.2.1 Determining which portions of the standard should be adopted.
  - 4.2.2 Developing a detailed action plan for adopting those portions.
  - 4.2.3 Implementing the action plan.



**END**