Top 10 Ways to Get a Judicial Ethics Complaint

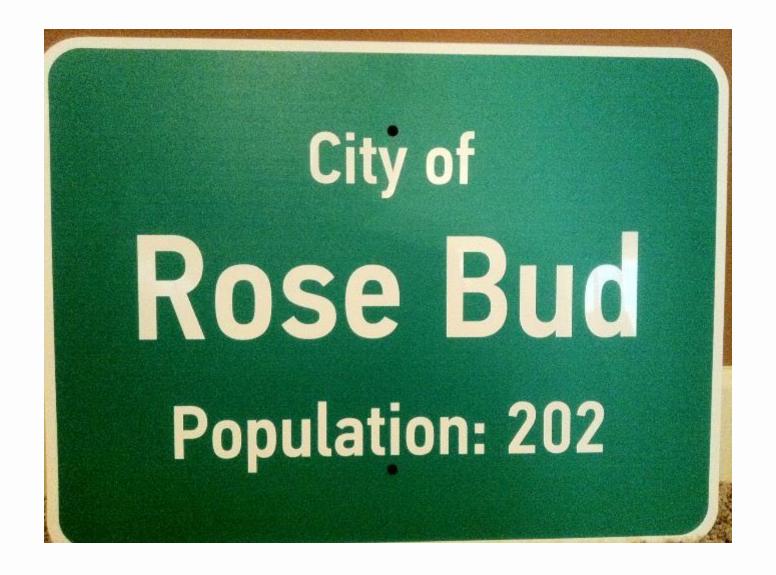
David J. Sachar

Director – Center for Judicial Ethics

National Center for State Courts

djsachar@ncsc.org





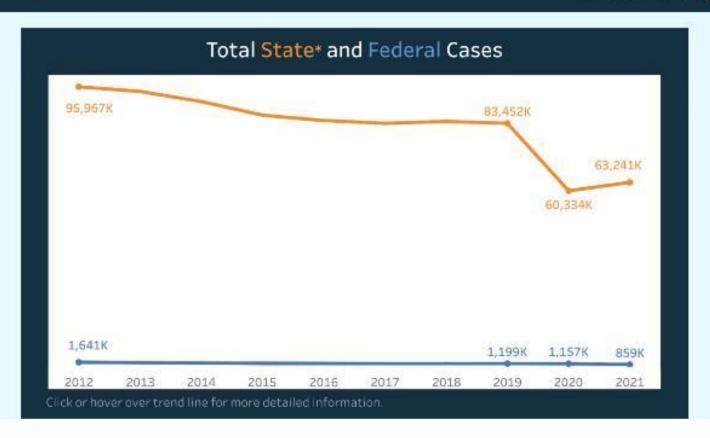


Federal and State Caseload Trends, 2012-2021

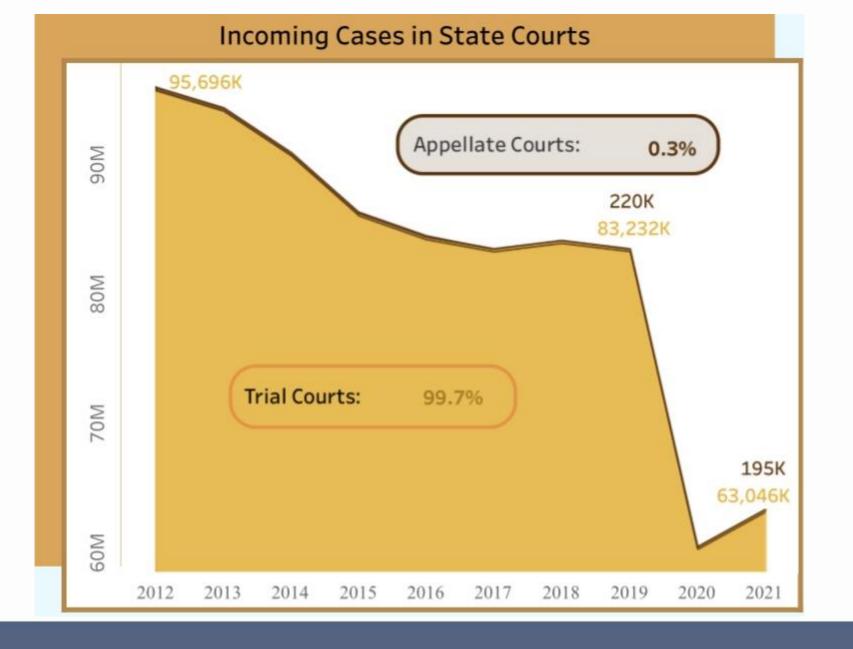


Between 2012 and 2021, an average of 98.5% of U.S. court cases were filed in state courts. Only 1.5% were filed in federal courts.

While there is a decreasing trend for overall caseloads, the ratio of state versus federal caseloads remains consistent.









I am not here to tell you how to do your job.

You are the best at that!

I am here to point out areas of concern, issues to anticipate, and spark interest on current judicial ethics subjects.





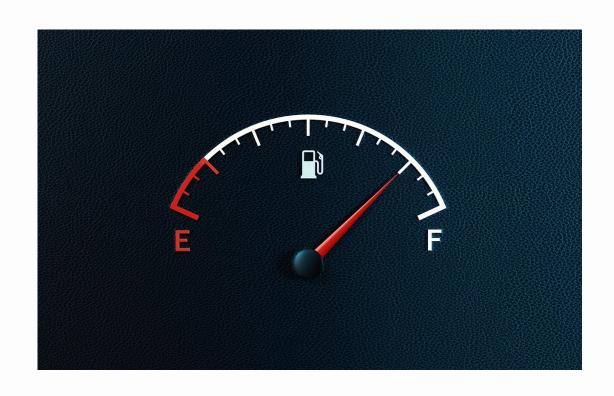
"All the rights secured to the citizens under the Constitution are worth nothing, and a mere bubble, except guaranteed to them by an independent and virtuous Judiciary."

- U.S. President Andrew Jackson.

"John Marshall has made his decision, now let him enforce it."

– Also, U.S. President Andrew Jackson, upon disagreeing with SCOTUS after Worcester v. Georgia (1832).

Confidence is the Fuel



Judges must comply with the Code of Judicial Conduct – not just for the sake of compliance, but also to promote confidence in the legal profession. The judiciary cannot exist without the trust and confidence of the people. Ethical judges show the public that the fundamental promises made by the government will be upheld.



NCSC Focus Groups

In-person focus groups were conducted in Chicago; Arlington, VA; and Phoenix, while online focus groups were conducted with rural, small-town, and exurban residents drawn from across the country. The result reinforced the belief that the courts face challenging times.

Distrust and lack of belief in the courts are growing sentiments among all demographics. The responsibility for correcting that trend falls squarely on judicial branch leaders.

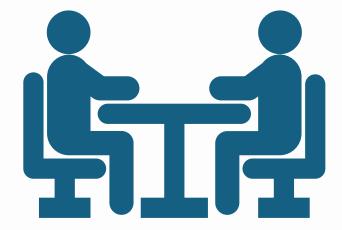


Focus Groups

Focus groups would be presented with information. Then, they would comment and answer various questions. After initial polling and feedback, new information would be added to measure the impact.

One such addition was the message on accountability that follows:

State courts are specifically designed to hold judges accountable and ensure they do not abuse the power of their office. Judges are subject to a strict code of ethical conduct and can be disciplined or removed from office for ethical violations. State court judges must publish a legal explanation of the reasoning behind the decisions they make, their decisions can be appealed to a higher court for review, and most court records are available to the public online.





Not surprisingly, the consensus level of confidence in state courts went up in the focus groups when they were informed about the methods of judicial accountability.

While the public may not know much about state JCCs, when informed, it helps them believe in the quality of justice in their state. It behooves the judiciary to support measures that hold it accountable.

While the vast majority of judges serve with honor, ethical missteps should be corrected, and major breaches of trust should be acknowledged. The judiciary should be willing to help develop ethical standards and enforcement mechanisms.





Simple Test for Judicial Actions

Does it create greater public confidence in the judiciary?

Judicial Ethics Standards Promote Confidence in the Judiciary

Complying with the Code (for lawyers and judges) is not the goal.

The goal is to build confidence in the profession and the judiciary.

When citizens lose faith due to perceived ethical failures they will not believe in a fair, impartial system.

We must avoid ethical lapses AND work against disinformation about the bench and bar.



The Oath of Office

"Ask then, what each thing is, and of what it is composed, and what is the nature of this thing that now makes an impression on me."

Marcus Aurelius, Meditations.



The Oath of Office is a guide to the faithful discharge the duties of office

Your oath is to do this job faithfully. That requires work ethic. Efficiency. Bettering yourself through education and even mentoring by others with more experience.

Your oath is to avoid all things that make the public doubt the integrity of the judiciary – not just your own integrity.

Appearances matter.



Mission Statement



The judiciary is the heart and soul of our democracy. Keeping fundamental promises to citizens, promoting the rule of law, and providing equality in the court system are hallmarks of the governments of free people. These principles require a fair, qualified, independent judiciary to be in place.







Top 10 Ways to Get a JDDC Complaint

- Delay Court Administration
- Name Calling and Demeanor
- Complaints From Detractors
- Supreme Court Referral Rule of Law
- Abuse the Prestige of Office
- Social Media, GenAI, Advanced Technology
- Ex parte Communication Including Investigation of Facts
- Judicial Speech Issues
- Recuse/Disclose Failure
- Do the Right Thing No Good Deed Goes Unpunished







#10 DELAY





Simple complaints

More Attorney complaints on this issue than others



Reporting

General Court Administration



Case Processing Time Standards



















Appellate

Civil

Criminal

Domestic Relations

Juvenile

Probate

Traffic



Case Processing Time Standards for All Case Types

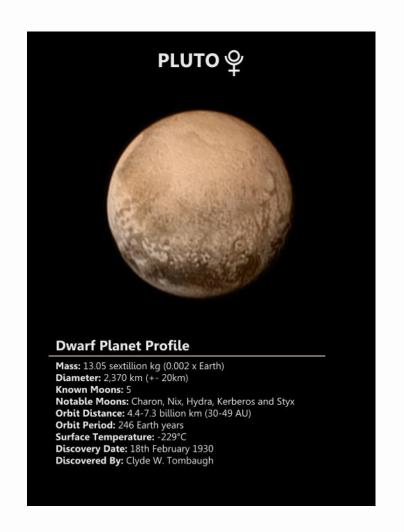
State Name	
(AII)	•

To navigate, select a state from the drop-down menu. To compare multiple states, deselect "all" then select desired states. To expand content, hover over the text. Explore time standards by case type by clicking on the icons above.

State Name	Appellate	Civil	Criminal	Domestic Relations	Juvenile	Probate	Traffic	Website
Alabama	No data	No data	No data	No data	No data	No data	No data	
Alaska	No data	• General (complaint to judg	• Felony (arrest to trial): 75% within 1	• Divorce (complaint to judgment): 75% within	• General (complaint to ju	No data	No data	2
Arizona	Supreme Court Criminal, Civil and	• Civil (Superior Court): 60% within	• Felony (Superior): 65% within 90 days;	• Family Law Dissolution And Allocation Of Paren			• Civil Traffic (Justice and M	2
Arkansas	No data	No data	No data	No data	No data	No data	No data	
California	No Time Standard	• Unlimited: 75% within 12 months;	• Felony: 100% within 1 year	No Time Standard	No Time Standard	No Time Standard	No Time Standard	2
Colorado	No data	District Court (Organizational Go	• District Court (Organizational Goa	• District Court (Individual Judges' Ben	• District Court (Organizational	No data	• County Court (Organizationa.	2
Connecticut	No data	No data	No data	No data	No data	No data	No data	
Delaware	• Generally: 90 days from submis	• Superior Court: 90% within 365 da	• Superior Court: 90% within 120 days;	No data	• Criminal or Delinquency: 90	No data	No data	2
District of Columbia	No data	No data	No data	No data	No data	No data	No data	
Florida	Juvenile dependency or ter	Jury cases: 18 months	• Felony: 180 days • Misdemeanor: 90	Uncontested: 90 days Contested: 180 days	• Delinquency Disposition hear	• Uncontested, no federal estate tax	No data	2
Georgia	No data	No data	No data	No data	No data	No data	No data	
Guam	• Writ Applications: 90 d	General Civil: 50% concluded within 2	*	• Domestic: 50% concluded within 270 d	• Termination of Parental Rights:	• Administration of Estates: 50% conc		2

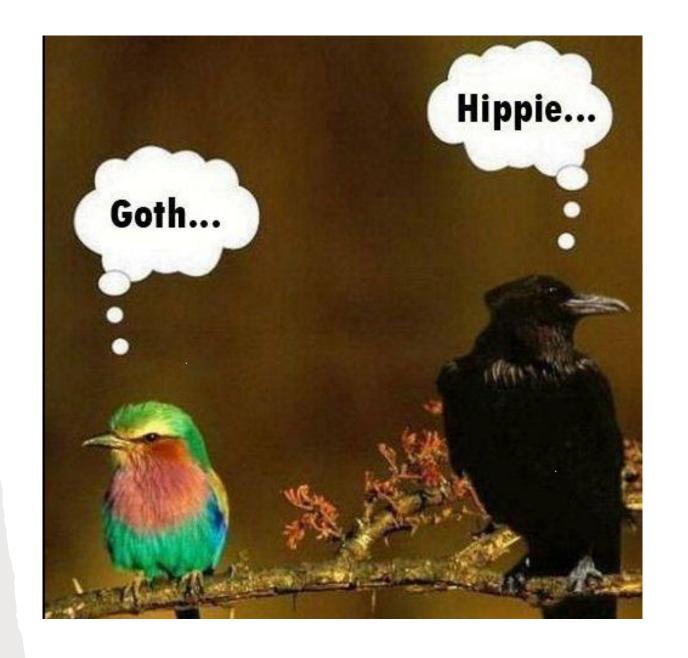








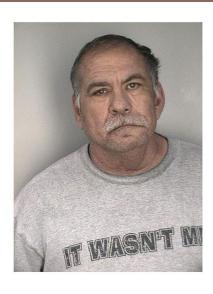
#9 NAME CALLING AND DEMEANOR ISSUES

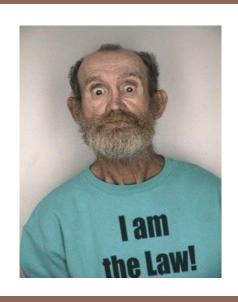




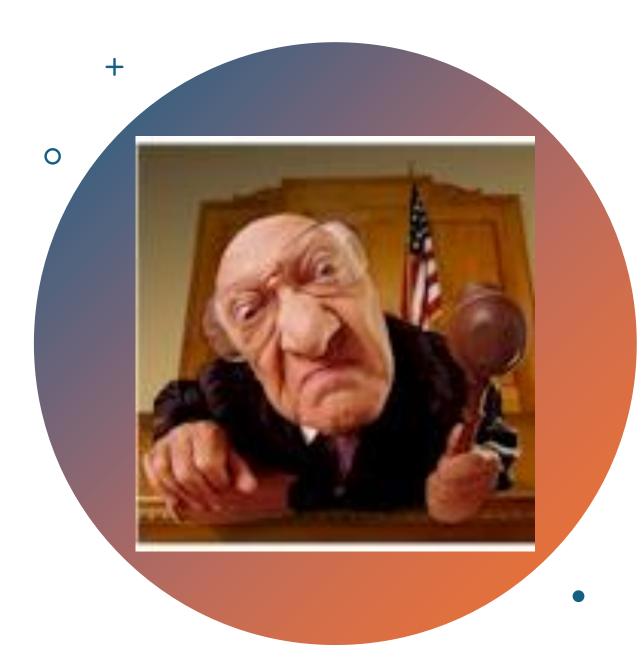












COURT ROOM DEMEANOR

- Improper Humor
- Punctuality
- Comments to Litigants
- Treatment of Attorneys
- Transcripts reviewed and so are video/tapes

O

The Bench and the Bar are Bound Together

The Rule of Law depends on both being faithful to the law and supporting judicial independence. This promotes confidence in the legal system – where the promises that make us American are kept.

Statements About a Judge

Rule 8.2. Judicial And Legal Officials.

(a) A lawyer shall not make a statement that the lawyer knows to be false or with reckless disregard as to its truth or falsity concerning the qualifications or integrity of a judge, adjudicatory officer or public legal officer, or of a candidate for election or appointment to judicial or legal office.



...

Reporting Misconduct

Rule 8.3. Reporting Professional Misconduct.

. . .

(b) A lawyer having knowledge that a judge has committed a violation of applicable rules of judicial conduct that raises a substantial question as to the judge's fitness for office shall inform the appropriate authority.



What is the "Appropriate Action"?

- Comment From Model Code
- [1] "Appropriate action" means action intended and reasonably likely to help the judge or lawyer in question address the problem and prevent harm to the justice system.
- Depending upon the circumstances, appropriate action may include but is not limited to speaking directly to the impaired person, notifying an individual with supervisory responsibility over the impaired person, or making a referral to an assistance program.

•

ETHICS IN SERVICE

By William Howard Taft

ADDRESSES DELIVERED IN 1914, AT YALE UNIVERSITY



"It is not too much to say that the profession of the law is more or less on trial. It is certain that there is a crisis in the life of our courts, and that a great political issue is being forced upon the people, for they must decide whether the courts are to continue to exercise the power they now have, and what character of service they shall be required to render."



"Therefore, our courts, as they are now conducted, and our profession, which is the handmaid of justice, are necessarily so bound together in our judicial system that an attack upon the courts is an attack upon our profession, and an attack upon our profession is equally an attack upon the courts."—

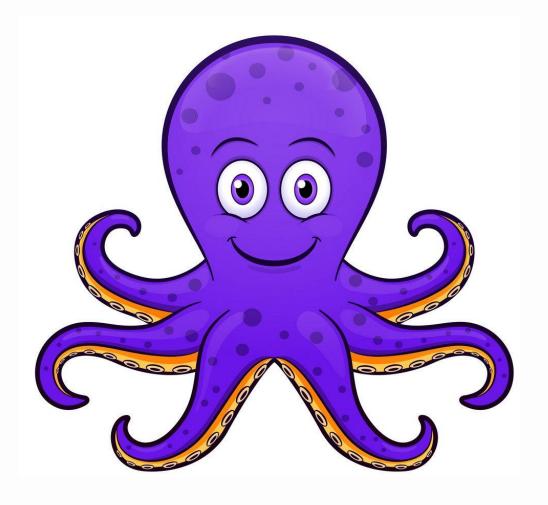
William H. Taft, Ethics in Service.





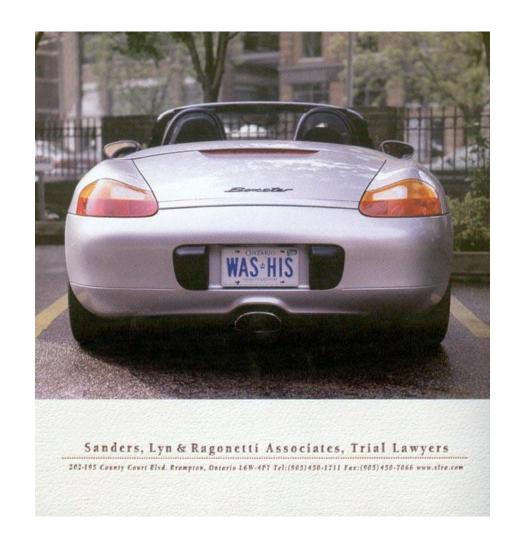
The Secret History of the Mongols, (13th Century).

Alan Gua and the story of the five arrows. She handed and arrow to each of her five sons. They had been influenced to start suspecting each other of favoritism and seeds of jealousy were sewn.





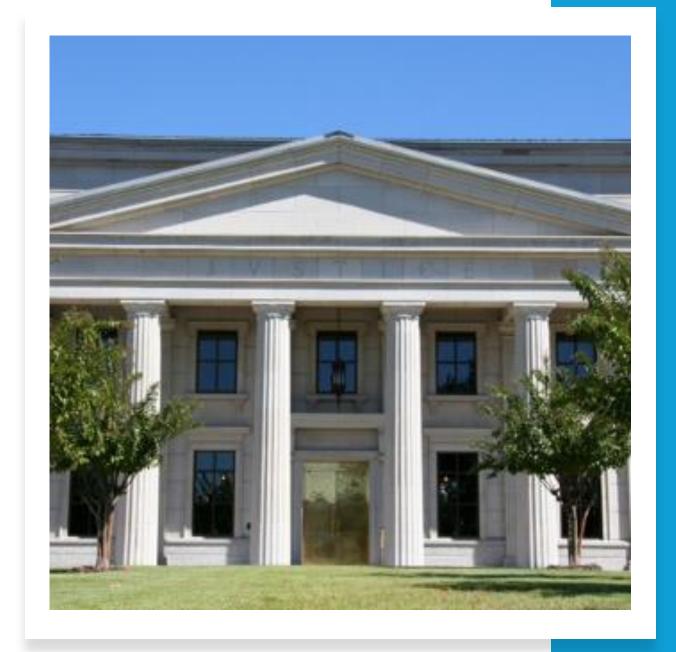
#8 Get Divorced or Otherwise Gain Detractors







#7 Get Referred by the Supreme Court



March 26, 2020

JDDC Executive Director Statement to the Arkansas Judiciary

The historic issues that are affecting life in the United States are certainly testing our judicial system as well...

On March 17, 2020, the Arkansas Supreme Court promulgated an order concerning the judiciary, administration of justice and the essential functions that must continue in our courts...The Supreme Court clearly made the decision based on balancing personal protection while providing logistical avenues to keep the judiciary operational during these trying times.

The order is clear and detailed.

The Supreme Court provides a well-formulated approach to confronting the national health crisis while still maintaining access to justice for our citizens... The JDDC staff are willing to help in any way that we can to assist judges who are working to comply with the order...Judges also have resources available to them from the Administrative Office of the Courts. The majority of our judges are working to solve problems and follow the law as they continue to serve the people of Arkansas with dignity and distinction. A copy of the order can be found here:

https://www.arcourts.gov/sites/default/files/articles/COVID-19-PC.pdf

The order is not a suggestion. It is an order. Full compliance is expected.

Willfully refusing to abide by a Supreme Court order is not an option. While very few judges would even consider defying a direct order from the Supreme Court, the effect of any such defiance is fundamentally detrimental to the public's faith in the judiciary. Complaints against judges who do not obey the order of the Supreme Court will be investigated and may result in public charges by the JDDC. The Rules of Procedure of the Judicial Discipline & Disability Commission allow the Executive Director to initiate complaints. (see Rule 8 A). Therefore, regardless of whether an attorney or party complains, open disobedience to a Supreme Court order would make it incumbent on Executive Director to take the initiative to file a complaint and bring these matters to the Commission for disciplinary consideration.

There are many opinions on how best to handle the crisis caused by the COVID-19 virus. However, the only opinion that matters as to court administration and the matters in the *Per Curiam* of March 17, 2020, are those of the Chief Justice and the Associate Justices of the Arkansas Supreme Court.

It is possible that never in our lifetime has the rule of law been more important. The judicial branch, following the precepts of our national and state constitutions, stand in the breach between mob rule and what makes our American democracy work; the promise that our fundamental law will be followed. The Arkansas Judiciary is made up of amazing men and women of honor, ability and work ethic... Your hard work... [and] excellence will provide a calming effect and send the clear message that our courts will always support the rule of law and our freedom.



The Rule of Law Makes Us American

It is the difference between life and death in a country like Mongolia. The judiciary is the heart and soul of our democracy. The legislative and executive branches are the skeleton and the muscle. But our fundamental promises are kept by judicial review - not simple majority voting.



Judicial Ethics Standards Promote the Rule of Law

Complying with the Code (for lawyers and judges) is not the goal.

The goal is to build confidence in the profession and the judiciary.

When citizens lose faith due to perceived ethical failures they will not believe in a fair, impartial system.

We must avoid ethical lapses AND work against disinformation about the bench and bar.

Popularity makes no law invulnerable to invalidation. Americans accept judicial supervision of their democracy - judicial review of popular but possibly unconstitutional statutes - because they know that if the Constitution is truly to constitute the nation, it must trump some majority preferences.

George Will





#6 USE YOUR OFFICE FOR PRIVATE MATTERS

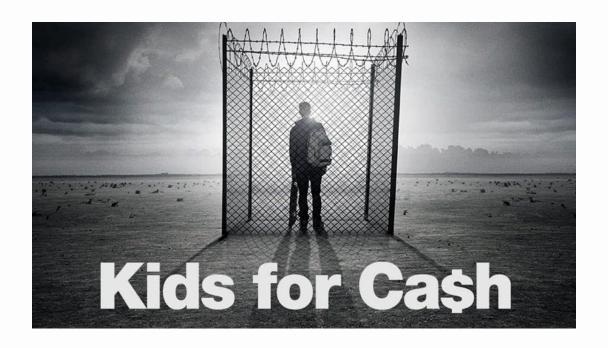


From Minor Infractions to Major Scandals

Campaign Issue

 Using State Employees for Personal Business

 Using the Bench to Gain Private Financial Benefit









#5 SOCIAL
MEDIA, GEN
AI, ADVANCED
TECHNOLOGY

Technological Advances

"Substantial progress toward better things can rarely be taken without developing new evils requiring new remedies."

- William Howard Taft



It's not the medium – it's the behavior... BUT...

A Few Basic Comments

Competence in technology and its impact on judicial policy, administration, and in cases is MANDATORY.

Social Media is closer to broadcasting than to normal social conversation – and it is likely permanent and NOT private.



Appropriate Use of Social Media by Courts

- Welcoming schools and other delegations to the court.
- Sharing information on the role of judges and other civic education.
- Explaining procedure or scheduling from a general point of view – not case specific.

- Awards and recognition of judicial staff and programs.
- Scheduling, parking, and other practical information for jurors, the public, and others who may visit the courthouse.
- Encouraging pro bono activity.



Formal Opinion 462 February 21, 2013

Judge's Use of Electronic Social Networking Media

A judge may participate in electronic social networking, but as with all social relationships and contacts, a judge must comply with relevant provisions of the Code of Judicial Conduct and avoid any conduct that would undermine the judge's independence, integrity, or impartiality, or create an appearance of impropriety.

AMERICAN BAR ASSOCIATION



Quotes from Formal Opinion 462

- Social interactions ... can be beneficial to judges to prevent them from being thought of as isolated or out of touch.
- All [judicial communications require] that judges must at all times act in a manner "that promotes public confidence in the independence, integrity, and impartiality of the judiciary," and must "avoid impropriety and the appearance of impropriety."
- [M]essages, videos, or photographs
 posted to ESM may be disseminated to
 thousands of people without the consent
 or knowledge of the original poster. Such
 data have long, perhaps permanent,
 digital lives such that statements may be
 recovered, circulated or printed years after
 being sent.
- [They are also] devoid of in-person visual or vocal cues, messages may be taken out of context, misinterpreted, or relayed incorrectly.



Rule 2.9 on *Ex Parte* Communication

(C) A judge shall not investigate facts in a matter independently and shall consider only the evidence presented and any facts that may properly be judicially noticed.



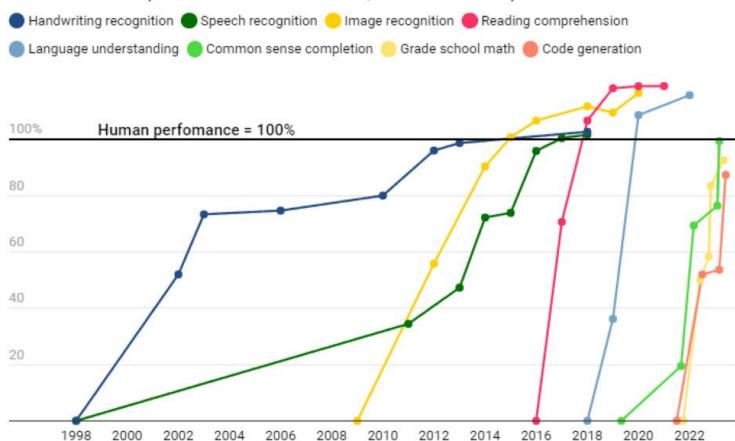


Judicial Ethics and GenAl



AI has surpassed humans at a number of tasks and the rate at which humans are being surpassed at new tasks is increasing

State-of-the-art Al performance on benchmarks, relative to human performance



For each benchmark, the maximally performing baseline reported in the benchmark paper is taken as the "starting point", which is set at 0%. Human performance number is set at 100%. Handwriting recognition = MNIST, Language understanding = GLUE, Image recognition = ImageNet, Reading comprehension = SQuAD 1.1, Reading comprehension = SQuAD 2.0, Speech recognition = Switchboard, Grade school math = GSK8k, Common sense completion = HellaSwag, Code generation = HumanEval.





If it takes 1 woman to make a baby in 9 months, how many women would it take to make a baby in 1 month?





The process of human gestation (pregnancy) takes about 9 months. If 1 woman takes 9 months, it implies she can complete 1/9th (1 divided by 9) of the babymaking process in a single month.

To complete the entire process in 1 month, we'd need to add together 9 portions, each handled by 1 woman. So, it would take 9 women to have a baby in 1 month.



A Robot That Bought Drugs Online Is Now Free From **Police Custody**

Posted Apr 20, 2015 by John Biggs (@johnbiggs)





















If that headline doesn't make much sense, welcome to the 21st century when a program designed to automatically buy random items from illegal marketplaces can be arrested by Swiss police. As you'll recall, Swiss police seized a program called Darknet Shopper, a bot that visited darknet markets and bought random items with bitcoin. Most of the items were mundane - counterfeit goods and the like - but the robot also ordered some ecstasy.

Ethical Issues

GenAl and the Courts

Competence

Ex Parte

Rule 11

Confidentiality

Candor Towards the Tribunal

Reasonable Fees (Duty to use AI to help lower cost for clients?)



Judicial and Lawyer Ethics Require Competence

What do the Codes Demand?

1.1 Maintaining Competence



[8] To maintain the requisite knowledge and skill, a lawyer should keep abreast of changes in the law and its practice, including the benefits and risks associated with relevant technology...

2.5 Competence, Diligence, and Cooperation



[2] A judge should seek the necessary... expertise, and resources to discharge all adjudicative and administrative responsibilities.



Elements of Al Competency

01

Have a basic understanding of AI capabilities and how these systems work

02

Understand how Al can assist with legal tasks (and when it cannot) 03

Understand and mitigate risk of hallucinations and logic failures

04

Understand how biased data can result in biased outcomes

05

Be competent in prompt engineering (practice, practice, practice)

06

Understand substantive issues that AI creates for your area of practice



GenAl Hypothetical

Facts:



On a busy docket day, dozens of preliminary hearings are set to be heard. Certified court interpreters are available in two common languages spoken in the area. One litigant shows up, pro se, for a first appearance. He speaks a language that is not common in the area and for which there is no available interpreter.

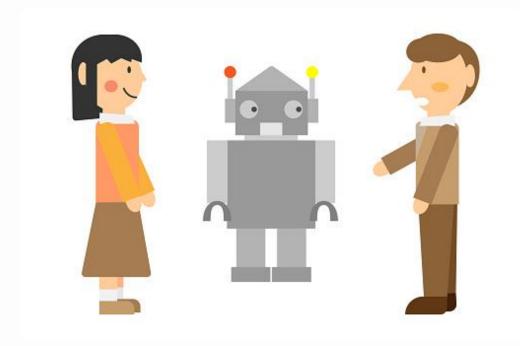


The judge asks if his staff can use an AI LLM that will interpret for the litigant and allow the court to communicate logistical and preliminary information about the case.

Questions to Consider

- Can the court use an Al product to help communicate with the litigant?
- Does it matter that the court appearance is not a trial or more formal evidentiary hearing?
- What are the challenges when considering Aluse for in-court interpreting?
- What is the difference between interpretation and translation and does AI translation require further and different analysis?





Generative Artificial Intelligence presents an attractive solution to language barriers in various contexts. Many of us have used online translation features or tried products that interpret spoken words between English and other languages. While there's considerable caution about the role of genAl in courts, there tends to be more enthusiasm and less caution when it comes to language access.



- The Appeal of GenAl for Language Access
- The enthusiasm for using genAl in court communication stems from noble intentions:
 - The desire to communicate effectively
 - The need to avoid delaying justice
 - The goal of providing helpful information to court users
- While these motivations come from a good place, it's crucial to examine the limitations and hurdles of genAl as a solution for language access issues in the court system.



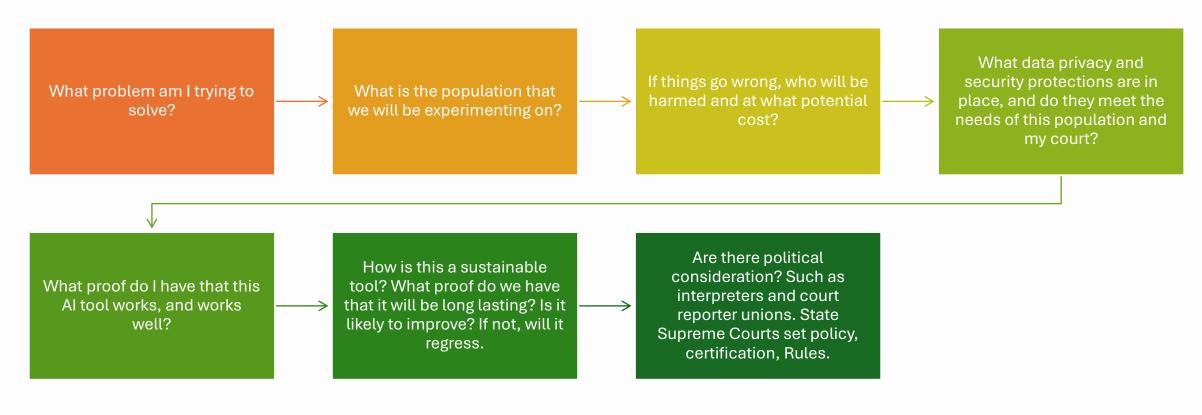
While generative AI holds promise for breaking down language barriers, its application in court settings requires extreme caution. The constitutional rights at stake, the complexity of legal language, and the current limitations of AI technology make it unsuitable for many court interactions without significant human oversight.



Courts should prioritize working with certified human interpreters and translators while exploring limited, low-risk applications of AI in non-critical communications. As AI technology evolves, courts must continue to balance innovation with their fundamental obligation to ensure equal access to justice for all, regardless of language barriers.



Zach Zarnow, the NCSC Deputy Managing Director of the Access to Justice Team, has developed a series of questions to assist taskforces in their work:



Emoji Stats





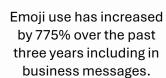


2.3 trillion messages use an emoji ANNUALLY.

3,304 standard emojis

92% of those online use emojis.







Only 7% of people use the peach emoji to represent a peach. The rest use it for body part description.

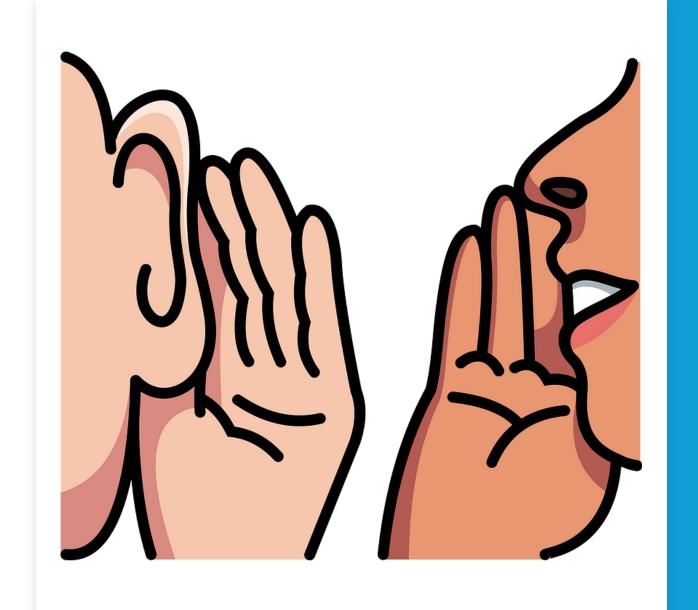




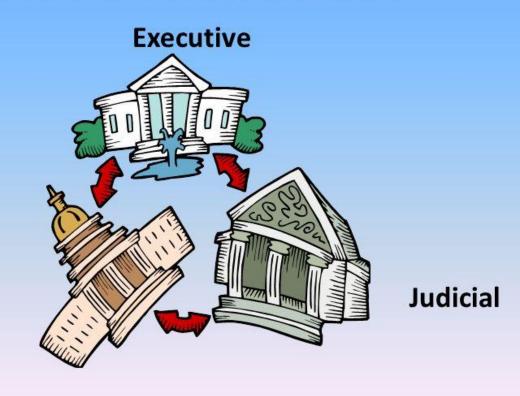








The Three Branches of the U.S. Government



Legislative



#3 Judicial Speech



Judicial Speech Issues

Political Speech Letters to the Editor

Judges as Educators

Writing books, articles, reviews

Responding to the Media

Responding to Incorrect Information

Rule 1.2: Promoting Confidence in the Judiciary

A judge shall act at all times in a manner that promotes public confidence in the independence, integrity, and impartiality of the judiciary, and shall avoid impropriety and the appearance of impropriety.



Rule 2.10: Judicial Statements on Pending and Impending Cases

- (A) A judge shall not make any public statement that might reasonably be expected to affect the outcome or impair the fairness of a matter pending* or impending* in any court, or make any nonpublic statement that might substantially interfere with a fair trial or hearing.
- (B) A judge shall not, in connection with cases, controversies, or issues that are likely to come before the court, make pledges, promises, or commitments that are inconsistent with the impartial* performance of the adjudicative duties of judicial office.



Rule 2.10: Judicial Statements on Pending and Impending Cases

- (C) A judge shall require court staff, court officials, and others subject to the judge's direction and control to refrain from making statements that the judge would be prohibited from making by paragraphs (A) and (B).
- (D) Notwithstanding the restrictions in paragraph (A), a judge may make public statements in the course of official duties, may explain court procedures, and may comment on any proceeding in which the judge is a litigant in a personal capacity.
- (E) Subject to the requirements of paragraph (A), a judge may respond directly or through a third party to allegations in the media or elsewhere concerning the judge's conduct in a matter.



Current Legal Issues or Responding to Judicial Criticism

Judges do have the ability to respond to criticism and correct inaccurate reports. This still does not allow judges to react in a way that private citizens would. One of the best ways to respond is using Court Information Officers, a bar association, or another proxy to speak instead of direct quotes or statements from judges themselves.

PENDING OR IMPENDING IS A BROAD BRUSH

Letters to the Editor

Appearances on Television

Bar Meetings and Legal Conferences







Education is Generally Accepted

TEACHING COLLEGE AND LAW SCHOOL

GUEST APPEARANCES TO SPEAK ON THE LAW OR CIVICS



BOOKS

CCJ Resolution 8 of 2006

(a) identifying and resolving issues of access to justice; (b) developing public education programs; (c) engaging in community outreach activities to promote the fair administration of justice; and (d) convening, participating or assisting in advisory committees and community collaborations devoted to the improvement of the law, the legal system, the provision of services and /or the administration of justice and (2) publicly or individually endorsing project goals concerning the law, the legal system, the provision of services or the administration of justice, in principle, and actively supporting the need for funding of such organization or governmental agency...

CCJ Resolution 4 of 2022

1

Develop programs to present information about the courts and the importance of media literacy in upholding democracy; 2

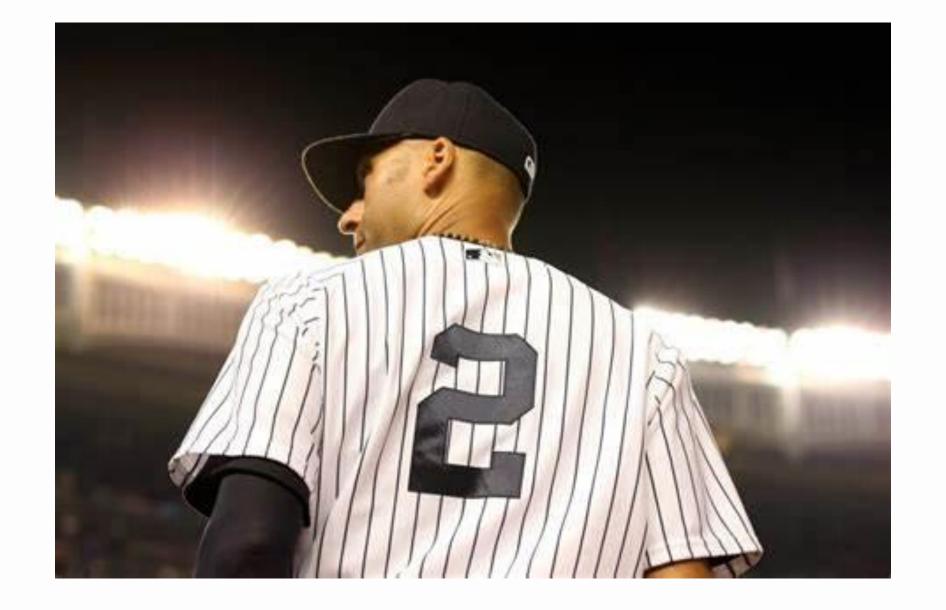
Establish and maintain an online presence, including a website and social media accounts that are regularly updated with accurate information;

3

Review and amend, as appropriate, state-level codes of judicial conduct to ensure judicial officers may respond to false, misleading, or unsubstantiated attacks when they arise; and



Incorporate recommendations from the National Center for State Courts' "Combating Disinformation: A Playbook for State Courts" into rapid response and crisis communications planning.



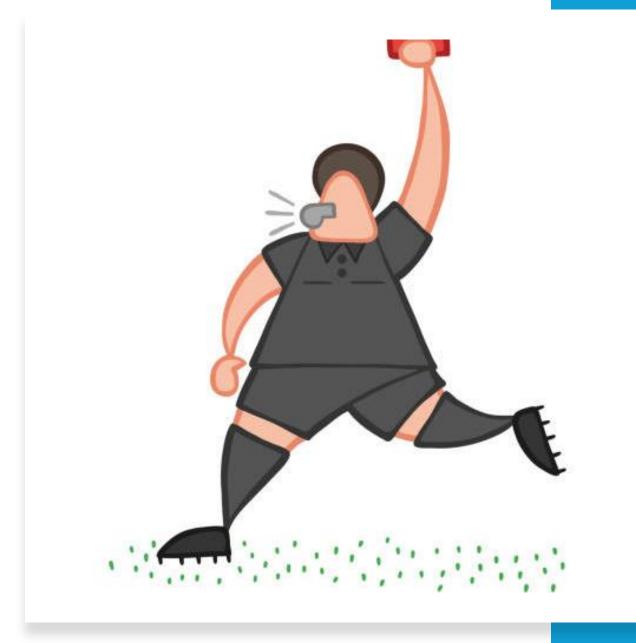


#2 RECUSAL AND DISCLOSURE

Legal Error or Misconduct?

When to Disclose?

Always Explain?



Recusal and Disclosure

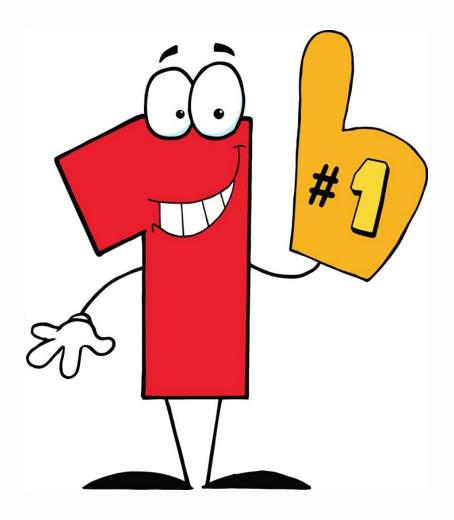
Each state has policy and rule to rely on for the mechanism and grounds for analyzing recusal. It is both an appellate and an ethics issue. One way to discuss the principle in all state courts is to analogize to the law on striking a juror for cause.

<u>Definition of Challenge for Cause</u> - A request to dismiss a prospective juror on the grounds that he or she cannot be fair and unbiased or is otherwise not capable of serving on a jury.

"[T]he existence of a state of mind on the part of the juror in reference to the case, or to any of the parties, which will prevent the juror from acting with entire impartiality, and without prejudice to the substantial rights of any party."

If the judge determines during the *voir dire* process that any individual is unable or unwilling to hear the particular case at issue fairly and impartially, that individual should be removed from the panel. Such a determination may be made on motion of counsel or on the judge's own initiative







#1 MAKE A SOUND, PROMPT, UNBIASED, DECISION IN A CHILD CUSTODY CASE



The Law Floats in a Sea of Ethics.

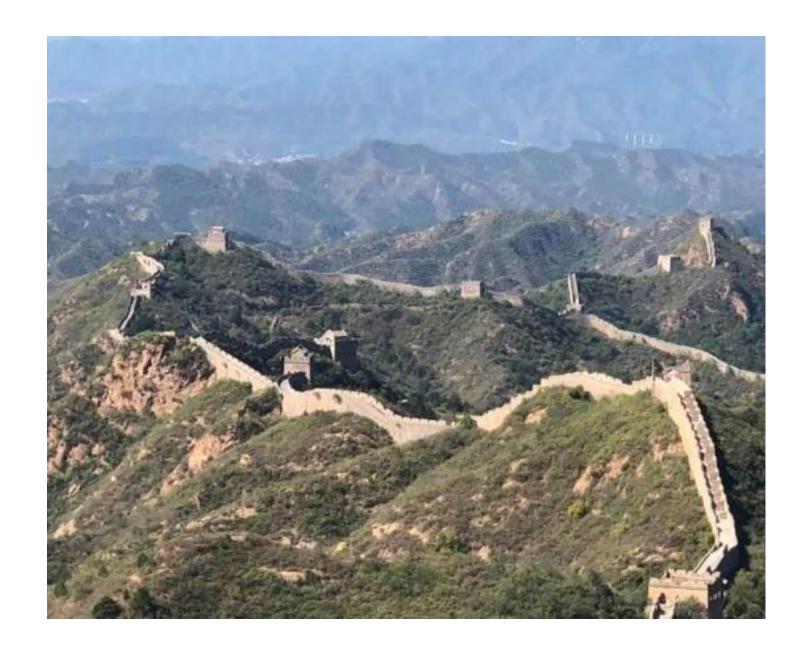
- C.J. Earl Warren

Like a canary in a mine, an ethical judiciary supporting the rule of law tells us that our legal environment is healthy.



"The strength of a wall is neither greater nor less than the courage of the people who defend it."

Chinggis Khan





Questions

Work Areas for the CJE

Consulting

Education

Information

International

New Platforms



Top 10 Ways to Get a Judicial Ethics Complaint

David J. Sachar

Director – Center for Judicial Ethics

National Center for State Courts

djsachar@ncsc.org







2025 Family Law
Conference & District
Court Judges Seminar

Session Evaluation

Tuesday, April 15th - Friday, April 18th

Help us ensure that these conferences meet your educational needs. . .

Please take a moment to evaluate this session!

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