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**Component Assessment: Compliance Assistance**

Key Elements

The responses in this assessment provide a snapshot of Compliance Assistance in your state. All responses are meant solely to inform assessment of this component.

Key elements of **Compliance Assistance** include:

* + - Make written orders and compliance information available immediately after hearings;
		- Ensure plain language is used in orders and judgments;
		- Make translation of plain language orders and judgments available;
		- Explanations should be provided by judges, court staff or other professional helpers;
		- Send reminders prior to deadlines;
		- Provide online tools to assist with compliance and enforcement;
		- Provide FAQs on post-judgment issues; and
		- Collaborate with stakeholders and users to identify common problems and ways to address them.

Need

1. Is Compliance Assistance available in your state?

[ ]  Yes [ ]  No [ ]  Unsure

Additional information:

Remarks on strengths and gaps:

1. To what degree is Compliance Assistance available at the county level?

*Tips:* Suggested sources of information include reportedservice areas in judicial or state court employee surveys.

[ ]  No counties [ ]  Few counties [ ]  Half of counties [ ]  Most counties [ ]  All counties

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. What is your best estimate of known demand for Compliance Assistance?

*Tips:* Suggested sources of information include civil court caseloads.

Please provide a brief explanation of the calculation below under "Additional information".

Number:

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Response

1. How much of the Compliance Assistance demand is met?

*Tips:* Suggested sources of information include Compliance Assistance reporting and court caseloads.

Number of individuals receiving Compliance Assistance:

Percentage:

To calculate the percentage below =

Number of individuals receiving Compliance Assistance *divided by*

Number of individuals in need of Compliance Assistance (question 3).

Please provide a brief explanation of your calculation below under “Additional information”.

Percentage:

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. What case types use Compliance Assistance? (select all that apply)

*Tips:* Suggested sources of information are court statistics and caseloads and enabling rules and statutes. Please indicate any distinctions within contract cases below under “Additional information”.

[ ]  Contract (includes landlord/tenant, debt collection & mortgage foreclosure)

[ ]  Small Claims

[ ]  Tort

[ ]  Probate

[ ]  Real Property

[ ]  Mental Health (includes civil commitment, guardianship)

[ ]  Family (includes divorce, protection orders)

[ ]  Other

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. At what stage in the case is Compliance Assistance provided? (select all that apply)

*Tips:* Suggested sources of information include judicial surveys, state court administration surveys, enabling rules and statutes.

[ ]  Pre-filing

[ ]  Post-filing, uncontested

[ ]  Post-filing, contested

[ ]  Through entry of judgment

[ ]  Post-judgement

[ ]  Appellate

[ ]  No case stage data is collected

[ ]  Other

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Technology Integration

1. Is Compliance Assistance available remotely (via video or telephone)?

*Tips:* Suggested sources of information include court rules allowing remote appearances, judicial surveys, state court administration surveys enabling rules and statutes. Please identify any barriers below under “Additional information”.

[ ]  No counties [ ]  Few counties [ ]  Half of counties [ ]  Most counties [ ]  All counties

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. Is technology being optimized (e.g., technology utilized to the extent possible where practicable and feasible)?

*Tips*: Suggested sources of information include opinion surveys from self-help center staff, legal aid, court staff, judicial officers and user focus groups and interviews. States might also identify additional technology examples. Please discuss any limitations in broadband access and infrastructure challenges below under “Additional information”.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Never** | **Rarely** | **Sometimes** | **Often** | **Always** |
| ***Administration***  |  |  |  |  |  |
| Case management tools | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Litigation e-tools (discovery, filing) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Work & data sharing tools | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other:       | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ***General Education/Information***  |  |  |  |  |  |
| Communication tools (email/text notices) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Information-sharing tools (websites) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other:       | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ***Service Delivery***  |  |  |  |  |  |
| Remote communication tools (videoconference) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Case resolution tools (online dispute resolution) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other:       | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Language

1. Are language access services and supports provided?

*Tips:* Respondent might replicate this question for “in court” and “out of court” or discuss any distinctions in the “Notes” section. Suggested sources for “in court” information include language access plan, policies and protocols around supports and language services available. “Out of court” include Compliance Assistance program policies and protocols, language services, state-level language coalitions/access to justice commissions. The Justice Index: Language Access Index might also inform responses to this question.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ***Services & Supports*** | **Never** | **Rarely** | **Sometimes** | **Often** | **Always** |
| Interpretation (in-person, certified) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Translated materials (signage, orders, general information) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Bilingual employee support | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Training | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Outreach | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other:       | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. Does Compliance Assistance reflect plain language principles and practices?

*Tips:* Example: Communications are concise.

Visit [plainlanguage.gov](https://plainlanguage.gov/) for additional examples of plain language principles and practices. Respondent might replicate this question for “in court” and “out of court” or discuss any distinctions below under “Additional information”.

Suggested sources for “in court” information include language access plan, policies and protocols around plain language, surveys on the existence and use of plain language tools and resources. “Out of court” include assistance policies and protocols, plain language services/tools/resources and surveys on existence and use of plain language tools and resources.

[ ]  Never [ ]  Rarely [ ]  Sometimes [ ]  Often [ ]  Always

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Special Populations

1. Does Compliance Assistance comply with disability access requirements?

*Tips:* Respondent might replicate this question for “in court” and “out of court” or discuss any distinctions below under “Additional information”. Suggested sources for information include state accommodations compliance and rules, evaluations and reports on compliance. The Justice Index: Disability Access Index might also inform responses to this question.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ***Access Requirements*** | **Never** | **Rarely** | **Sometimes** | **Often** | **Always** |
| ADA[[1]](#footnote-1) Title 1: Employment | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ADA Title 2: State and Local Government Services | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ADA Title 3: Public Accommodations | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ADA Title 4: Telecommunications | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| ADA Title 5: Miscellaneous | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Rehabilitation Act, Section 504 | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. Are safeguards in place for vulnerable populations? (For example, individuals with trauma, cognitive impairment, learning disabilities, homebound, etc.)

*Tips:* Suggested sources of information include opinion surveys from self-help center staff, legal aid, court staff, judicial officers, user focus groups and interviews and community and social service provider interviews and focus groups.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ***Safeguard*** | **Never** | **Rarely** | **Sometimes** | **Often** | **Always** |
| Trauma-informed responses | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Accommodations for remote appearances | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Appropriate modalities to support user comprehension and participation | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Additional time for client review | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Confidentiality practices | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| Other:       | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Ecosystem Ties & Voice

1. Are principles of diversity, equity and inclusion being applied to content development and/or service delivery? (e.g., Do Compliance Assistance practices reflect cultural sensitivity? Is language gender-neutral? Is the impact of bias being considered?)

*Tips:* Suggested sources of information include opinion surveys from civil legal aid, pro bono coordinators, court staff and self-help center staff, user focus groups and interviews and community and social service provider interviews or focus groups. Respondents may discuss content development and service delivery separately.

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. What financing structures are in place to support Compliance Assistance? (select all that apply)

*Tips:* Suggested sources of information include interviews with state court leadership and surveys of judicial officers and court staff.

[ ]  Budget line items

[ ]  Fees

[ ]  Private funding

[ ]  Grants

[ ]  Endowment

[ ]  None

[ ]  Other

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. Is financing for Compliance Assistance sustainable (able to be maintained at a certain level)?

*Tips:* Suggested sources of information include interviews with state court leadership and surveys of judges and court staff.

[ ]  Yes [ ]  No [ ]  Unsure

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

1. How does the access to justice governance/leadership support Compliance Assistance? (select all that apply)

*Tips:* Suggested sources of information include opinion surveys from access to justice commissioners, legal aid, court staff and judicial officers and access to justice strategic plans.

[ ]  Promoting Compliance Assistance programs

[ ]  Funding

[ ]  Marketing

[ ]  Support complementary initiatives

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Measurement

1. What data do you collect on Compliance Assistance? (select all that apply)

*Tips:* Suggested sources of information include Compliance Assistance program/service, bar association and court case management data.

[ ]  Number of cases with compliance assistance available

[ ]  Compliance assistance use by case type

[ ]  Outcomes in cases with compliance assistance

[ ]  Case length for cases with compliance assistance

[ ]  No data is collected

[ ]  Other (can add multiple options):

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

17.i. How is the data used to inform access to justice strategy/policy?

17.ii. Who sees the data?

1. Are there accepted practices around documenting Compliance Assistance?

*Tips:* Examples of accepted practices include uniform data definitions, collection techniques and collection frequency.

If yes, please explain practices below under “Additional information”.

[ ]  Yes [ ]  No [ ]  Unsure

Additional information (such as country/region distinctions):

Remarks on strengths and gaps:

Cumulative Component Assessment

Please score your overall progress on Compliance Assistance based on the compiled information and additional data used to inform this assessment. The scoring should use the following scale:

**None:** In this category, component key elements, content or services are not available; no data is being collected; there is no sustained funding and there are many gaps to providing this service or content.

**Minimal levels:** In this category, very little demand for component key elements, content, or services is estimated to be met, potentially only in a few counties. There may be only a few (1-2) case types or litigation stages in which component key elements, content, or services are available. The majority of responses focusing on technology, language supports, access requirements, and safeguards, are ‘Rarely’ with a few ‘Sometimes’ selections. There are limited examples of diversity, equity, and inclusion as well as weak, unsustainable financing structures and data collection practices.

**Partial:** In this category, it is estimated that between a quarter and half of the demand for component key elements, content, or services is estimated to be met. Component key elements, content or services may not be statewide and in less than half of all counties. There may be only three to four case types and few litigation stages in which component key elements, content or services are available. The majority of responses focusing on technology, language services, access requirements and safeguards are ‘Sometimes’ with a few ‘Rarely’ or ‘Often’ selections. Additionally, only a few examples of diversity, equity and inclusion are present. Financing structures are somewhat stable while data collection is sporadic and rarely informs strategy or policy.

**Sufficient:** In this category, it is estimated that more than half of the demand for component key elements, content or services is being met. The component key elements, content or services may exist statewide and if not statewide, in many of the counties. Component key elements, content or services are provided to most case types and at multiple stages in the case. The majority of responses focusing on technology, language supports, access requirements, and safeguards are ‘Often’ with a few ‘Always’ or ‘Sometimes’ selections. Additionally, there are more than 2-3 examples of diversity, equity, and inclusion present. Stable and sustainable financing structures are listed; data collection may be established and occurring but there is room for advancement in how it informs the design, delivery and sustainability of the component.

**Advanced:** In this category, greater than 75% of the demand for component key elements, content or services is being met. The component key elements, content or services are statewide and are provided to almost all cases and at every feasible stage in the case. The majority of responses focusing on technology, language services, access requirements and safeguards are ‘Always’ with a few ‘Often’ or ‘Sometimes’ selections. Additionally, there are numerous examples of diversity, equity, and inclusion. Financing structures are described as robust and sustainable. Data collection and sharing occur regularly to inform component design and delivery with strong feedback loops in place to guide future development.

*Overall progress on Compliance Assistance:*

[ ]  None [ ]  Minimal levels [ ]  Partial [ ]  Sufficient [ ]  Advanced

1. Americans with Disabilities Act. For more information on ADA access requirements see, <https://www.ada.gov/>. [↑](#footnote-ref-1)