American Bar Association CPR Policy Implementation Committee

Comparison of ABA Model Judicial Code and State Variations

Application

The Application section establishes when the various Rules apply to a judge or judicial candidate.

I. APPLICABILITY OF THIS CODE

- (A) The provisions of the Code apply to all full-time judges. Parts II through V of this section identify those provisions that apply to four distinct categories of part-time judges. The four categories of judicial service in other than a full-time capacity are necessarily defined in general terms because of the widely varying forms of judicial service. Canon 4 applies to judicial candidates.
- (B) A judge, within the meaning of this Code, is anyone who is authorized to perform judicial functions, including an officer such as a justice of the peace, magistrate, court commissioner, special master, referee, or member of the administrative law judiciary.

Comment

- [1] The Rules in this Code have been formulated to address the ethical obligations of any person who serves a judicial function, and are premised upon the supposition that a uniform system of ethical principles should apply to all those authorized to perform judicial functions.
- [2] The determination of which category and, accordingly, which specific Rules apply to an individual judicial officer, depends upon the facts of the particular judicial service.
- [3] In recent years many jurisdictions have created what are often called "problem solving" courts, in which judges are authorized by court rules to act in nontraditional ways. For example, judges presiding in drug courts and monitoring the progress of participants in those courts' programs may be authorized and even encouraged to communicate directly with social workers, probation officers, and others outside the context of their usual judicial role as independent decision makers on issues of fact and law. When local rules specifically authorize conduct not otherwise permitted under these Rules, they take precedence over the provisions set forth in the Code. Nevertheless, judges serving on "problem solving" courts shall comply with this Code except to the extent local rules provide and permit otherwise.

Fourteen (14) states have similar language (AZ, AR, CO, HI, IN, IA, MN, MO, NV, OH, OK, TN, UT, WY)

Six (6) states have different language (CT, DE, KS, MT, NH, WA)

Four (4) states do not adopt (MD, MS, NE, NY)

AL	
AK	
AZ Effective 9/1/09	A(1): similar to Model Code I(A). In first sentence deletes "full-time," in second sentence replaces "those provisions" with "exemptions" and deletes "four distinct categories of" and deletes last sentence Deletes Model Code I(B) Adds A(2): The provisions of Canon 4 apply to judicial candidates. [1]: adds "within the Arizona judicial branch" after "function" in first sentence and "The code is not applicable to administrative law judges or administrative hearing officers in this state unless expressly adopted by statute or by agency rules. Such officers are generally affiliated with the executive branch of government rather than the judicial branch and each agency should consider the unique characteristics of particular positions in adopting and adapting the code for administrative law judges or administrative hearing officers. See Arizona Judicial Ethics Advisory Committee, Opinion 92-03 (January 31, 1992)" to end [3]: in third sentence adds "or protocols for problem solving courts known and consented to by the participants" after first use of "rules"
AR Effective 7/1/09	(B): deletes "justice of the peace" [3]: deletes language after second sentence
CA	
CO (as pro- posed)	(B): deletes "justice of the peace" and "court commissioner, special master" [3]: This code does not apply to a person appointed by the court to serve as a master in a particular case. This code does not apply to municipal judges except to the extent it is made applicable by statute, municipal charter or ordinance. However, reference to the code by all judicial officers, including municipal judges, is recommended to provide guidance concerning the proper conduct for judges.
CT Effective 1/1/2011	The Application section establishes when and to whom the various Rules apply. I. APPLICABILITY OF THIS CODE
	(A) Except as provided in subsection (B), the provisions of the Code apply to all judges of the superior court, senior judges, judge trial referees, state referees, family support magistrates
	appointed pursuant to General Statutes § 46b-231 (f), and family support magistrate referees. (B) State referees and family support magistrate referees are not required to comply with
	Rules 3.4 and 3.8.
DE Effective 11/1/08	B. All judges, including justices of the peace, full-time masters and court commissioners, should comply with this Code.
DC (as pro- posed)	Replaces with: I. Applicability of This Code (A) All active and senior judges, judges who continue to serve pursuant to D.C. Code § 11- 1504 (c) (2001), magistrate judges and the Auditor-Master shall comply with this Code except as provided below. Canon 4 applies also to judicial candidates. (B) Retired Judge.* A retired judge is not required to comply with this Code.

- (C) Senior Judge. * A senior judge:
- (1) is not required to comply with Rules 3.4 (Appointments to Governmental Positions), 3.8(A) (Appointments to Fiduciary Positions), 3.9 (Service as Arbitrator or Mediator), 3.10 (Practice of Law), and 3.11(B) (Financial, Business or Remunerative Activities); and (2) shall not practice law in the court on which the judge serves or in any court or administrative agency subject to the appellate jurisdiction of the court on which the judge serves, and shall not act as a lawyer in a proceeding in which the judge has served as a judge or in any other proceeding related thereto.
- (D) Senior Judge, Inactive. For purposes of application of this code:
- (1) A senior judge may declare himself or herself "inactive" from the date of initial appointment or reappointment as a senior judge, or at any time thereafter, by notifying the appointing chief judge and the Commission on Judicial Disabilities and Tenure, in writing, of that decision before the inactive status is to take effect;
- (2) While a senior judge is inactive pursuant to subsection D(1), he or she shall comply with C(2) but shall not otherwise be required to comply with this code.
- (3) A senior judge in inactive status may not perform judicial duties. An inactive senior judge may resume active senior judge status by furnishing evidence satisfactory to the Commission on Disabilities and Tenure, as well as to the Chief Judge of the court on which the judge serves, that the judge has discontinued all activities that would be ethically proscribed for an active senior judge.

Comment

- [1] While a retired judge continues to serve as a judge pursuant to D.C. Code § 11-1504 (c) (2001), until the retired judge's successor assumes office, the judge shall fully comply with the Code. Thereafter, the retired judge, who by definition is not permitted to perform further judicial service, shall no longer be required to comply with this code unless he or she is appointed a senior judge, in which case the rules applicable to senior judges shall apply for as long as the appointment is in effect.
- [2] When a person is a retired judge who no longer serves under D.C. Code § 11-1504 (c) (2001), or who has been a continuing part-time senior judge but is no longer under appointment as a continuing part-time senior judge, including a retired judge no longer subject to recall, that person may act as a lawyer in the District of Columbia in a proceeding in which he or she has served as a judge or in any other proceeding related thereto only with the express consent of all parties pursuant to Rule 1.12 (a) of the District of Columbia Rules of Professional Conduct. However, a person who is under appointment as a senior judge but has elected inactive senior judge status shall fully comply with Application C (2), as more fully set forth in Application D.
- [3] The exceptions under Application C (1) making Rules 3.9 and 3.10 inapplicable and thereby permitting a senior judge to act as an arbitrator or mediator and to practice law are subject to Advisory Opinion No. 3 (June 25, 1992), "When Senior Judges May Act As Arbitrators," and Advisory Opinion No. 10 (March 28, 2002), "'Practice of Law' by Senior Judges," issued by the Advisory Committee on Judicial Conduct of the District of Columbia Courts.
- [4] In accordance with the reporting requirements of Rule 3.15, senior judges shall file financial statements with the Commission on Judicial Disabilities and Tenure as required by D.C. Code § 11-1530 (2001) and the regulations of such Commission.
- [5] The creation of "Senior Judge, Inactive" status is intended to help meet a very important

need: to encourage retiring judges to take senior status. Senior judges perform invaluable service to the Superior Court and the Court of Appeals, often handling regular calendars for substantial periods of time, as well as filling in for active judges who are temporarily absent. And yet some judges who retire may be unsure whether they want to remain available to serve from time to time as senior judges – with the attendant ethical restrictions on their other activities – or instead desire to embark on another career or on other activities that are incompatible with the ethical restrictions on senior judges. The "Senior Judge, Inactive" category, therefore, is intended to provide an almost ethically unfettered opportunity for a retired judge, sooner or later, to embark on alternative career or activity explorations, without becoming forever barred thereafter from sitting as a senior judge. The inactive senior judge, however, like all senior judges, must comply with Application C (2) precluding, among other things, the practice of law in any court on which the judge has served. See Advisory Opinion No. 10 (March 28, 2002), "'Practice of Law' by Senior Judges." A practical reason for creating this inactive senior judge status is the fact that, according to D.C. Code § 11-1504 (2001), a retiring judge must apply for senior judge status within one year from retirement. The Commission on Disabilities and Tenure must act on the application within 180 days thereafter, and the appropriate chief judge must make a decision on the Commission's recommendation within 30 days after its receipt. Accordingly, a retiring judge must elect to pursue – and as a result must receive – senior judge status relatively soon after retirement or forever lose that opportunity. If inactive senior status is not available, therefore, a retiring judge will not be able to pursue a full range of options for a temporary alternative career or other activity, unless the judge elects not to seek senior judge status, with its ethical limitations. If, on the other hand, inactive senior status is available, a retiring judge will not have to choose between limiting temporary alternative career choices and electing senior status; the opportunity for beginning or resuming active senior judge status at an appropriate time will remain. The judicial system of the District of Columbia will significantly benefit from the availability of as many active senior judges as possible. This goal is likely to be achieved, therefore, only if the inactive senior status – call it a sabbatical option – is permitted without significant limitation, as an incentive to retiring judges to seek senior status upon retirement. FL (A): deletes last sentence (B): deletes "is authorized to" and "justice of the peace, magistrate, court commissioner, special" \mathbf{HI} and replaces language after "referee" with "but not including an arbitrator or mediator. However, **Effective** with respect to a master or referee, the determination of which specific Code provisions apply to 1/1/09 an individual judicial officer depends upon the facts of the particular judicial service" Deletes [3] ID IL (A): similar to Model Code I(B). Adds "within the courts of the Indiana judiciary" after "functions" and deletes "justice of the peace," "court" before "commissioner" and "special IN **Effective** master" and replaces language after "referee" with "Administrative law judges and hearing 1/1/09 officers of State agencies are not judges within the meaning of this Code" (B): similar to Model Code I(A) (A) Changes from four categories to three; deletes second to last sentence: IA

Effective 5/3/10	(B) Replaces language after "such as" with "a magistrate, special master, child support referee, probate referee, or judicial hospitalization referee. Administrative law judges are not judges within the meaning of this Code;" [3] Deletes first sentence and replaces with: "In Iowa, many districts have formed drug courts;" deletes "for example" at beginning of second sentence, which begins instead with "Judges presiding;" deletes "and monitoring the progress of participants in those courts' programs;" adds "and even encouraged" after "authorized;" changes "local rules" to "the law*."
KS Effective 3/1/09	(A): All judges shall comply with this Code, except as provided below. (B): Anyone, whether or not a lawyer, who is an officer of the judicial system, is a judge within the meaning of this Code. Judge is defined as: "any judicial officer who performs the functions of a judge in the courts of this state including Kansas Supreme Court Justices, Court of Appeals Judges, District Judges, District Magistrate Judges, Senior Judges, Retired Judges who accept judicial assignments, and Municipal Court Judges. I: The term "judge" also includes Masters, Referees, Case Managers, Judicial Hearing Officers, Temporary Judges, Pro Tempore Judges, Part-time Judges, and Commissioners if they perform any functions of a judge in any court of this state. (D): The term "judge" also includes judicial candidates. Canon 4 applies to judicial candidates. II. Full-time Judge All provisions of the Code apply to judges serving full-time in a judicial capacity. [1] (follows VI): combines second sentence of Model Code (A) and [2] Does not have rest of Comment
KY	
MD	Does not adopt
Effective 7/1/10	
MA	
MI	
MN Effective 7/1/09	(B): replaces language after "who is" with "employed by the judicial branch of state government to perform judicial functions, including an officer such as a magistrate under Minn. Stat. § 484.702, court commissioner under Minn. Stat. § 489.01, referee, or judicial officer under Minn. Stat. § 487.08" [1]: adds "By statute the legislature has applied the Code of Judicial Conduct to judges of the Tax Court (Minn. Stat. § 271.01, subd. 1), the Worker's Compensation Court of Appeals (Minn. Stat. § 175A.01, subd. 4), and the Office of Administrative Hearings (Minn. Stat. § 14.48, subds. 2 and 3(d))" to end
MS (as pro- posed)	Does not have
MO Effective 1/1/2012	 (A) Replaces with: All provisions of this code apply to all full-time judges, commissioners, and masters. Parts II and III of this section identify the specific provisions of this code that apply to senior judges and other part-time judges, respectively. Canon 4 applies to judicial candidates. (B) Adds "within the judicial branch" after "to perform judicial functions;" Deletes all text thereafter. [2]: Deleted [3]: Same as MC [2], but deletes all language after the second sentence.

MT Effective 1/1/09	(A): replaces language after "apply to" with "justices of the supreme court, district court judges, the chief water judge, the workers compensation court judge, justices of the peace, municipal court judges, city court judges and judges of courts of limited jurisdiction created by the legislature, including judges pro tempore, as hereinafter set forth, and, where specifically indicated, to judicial candidates" (B): The provisions of this Code do not apply to special masters, referees, administrative law judges, or persons appointed to perform quasi-judicial functions. Deletes Comments
NE Effective 1/1/2011	Does not adopt Model Code. I. APPLICABILITY OF THIS CODE (A) All judges appointed pursuant to Neb. Const. art. V, § 21, acting judges of the Workers' Compensation Court, clerk magistrates, child support referees, and referees in civil and disciplinary cases shall comply with this Code except as provided below. In addition, candidates for appointment to judicial office shall comply with Rules 4.1 through 4.5. (B) Parts II and III of this section identify those provisions that apply to part-time child support referees, referees and retired judges.
NV Effective 1/19/10	 (A): deletes "full-time," adds "except as provided in" before "Parts", changes "Parts II through V" to "Parts II through IV", replaces "identify those provisions that apply" with "with respect", changes four distinct categories of part-time judges/judicial service to three distinct categories of each. (B): deletes "justice of the peace" and language after "referee" and adds "Administrative law judges and hearing officers of state agencies are not judges within the meaning of this Code" to end Deletes [3]
NH Effective 4/1/2011	A. Anyone, whether or not a lawyer, who is an officer of a judicial system and who performs judicial functions, including an officer such as a magistrate, court commissioner, marital master, special master or referee, is treated as a judge within the meaning of this Code. All judges shall comply with this Code except as provided below. B. All retired judges who have elected to take senior active status or who wish to serve as judicial referees or temporary justices of the supreme court shall comply with the provisions of this Code governing part time judges, except that they shall also comply with the provisions of Rule 3.9 if they wish to serve as a private mediator or arbitrator for compensation. A retired judge who does not take senior active status and who does not desire to serve as a judicial referee or a temporary justice of the supreme court is not subject to Rule 3.9 of this Code. C. Part time Judge. A part time judge: (1) is not required to comply (a) except while serving as a judge, with Rule 2.10(A); (b) at any time, with Rules 3.1(B), 3.4, 3.7(A)(6), 3.8, 3.9, 3.10, 3.11(B), 3.11(C), 3.13(A), 3.14 and 3.15; (c) at any time, with Rule 3.2 but only to the extent that it prohibits appearances before administrative bodies in adjudicatory proceedings; otherwise, a part time judge shall comply with Rule 3.2. (2) shall not practice law in the court on which the judge serves, in any other court of the same

	level (e.g., a part time district court judge shall not practice law in any other district court), any court subject to the appellate jurisdiction of the court on which the judge serves, and shall not act as a lawyer in a proceeding in which the judge has served as a judge or in any other proceeding related thereto. (3) may serve as counsel to the town wherein the judge's court is located or a town within the judicial district of the judge's court, provided that: (a) the judge may give no advice to the police of such town and may give no advice to any other officer or employee of the town that could reasonably be expected to influence the exercise of discretion by the police in the performance of their duties; (b) the judge may give no advice to any officer or employee of the town on a matter that could reasonably be expected to be the subject of any action or suit before the judge's court; and (c) the judge shall recuse him or herself from sitting as judge on any case in which the judge's advice to the town is directly called into question or in which a ruling could directly affect the interests of the town. (4) Notwithstanding anything above to the contrary, a part time marital master shall be governed by all of the canons of the Code of Judicial Conduct as provided in Superior Court Administrative Rule 12-7. D. Clerks, Deputy Clerks, Registers of Probate, Deputy Registers of Probate, any persons performing the duties of a Clerk or Register, and Court Stenographers, Monitors and Reporters shall comply with Rules 2.1, 2.2, 2.3, 2.5, 2.8, 2.10, 2.12, 2.15, and 2.16. E. Time for Compliance. A person to whom this Code becomes applicable shall comply immediately with all provisions of this Code except Sections 4D(2), 4D(3), and 4E, and shall comply with these sections as soon as reasonably possible and shall do so in any event within the period of one year.
	retired judge no longer subject to recall" with "(no longer accepts appointments); Replaces "informed consent" with "express consent;" Replaces language after "pursuant" with "to Rules 1.12(a) of the N.H. Rules of Professional Conduct." NH Comment [2] is similar to MR Comment [1] to Application VI, but replaces references to Rules 3.8 and 3.11 with Sections 4E and 4D(3). NH Comment [3] is the same as MR Comment [3] to Application I.
NJ	
NM (as pro- posed)	 (A) In the second sentence cites Parts II through IV of the section instead of II through V; Refers to three categories of judges instead of four. (B) Replaces text after "A judge, within the meaning of this Code" with: "includes, but is not limited to, all judges and justices and all judicial candidates of the Supreme Court, Court of Appeals, district court, magistrate court, metropolitan court, probate court, and municipal court. Any person who serves as a full-time or part-time judge is a "judge" within the meaning of this Code."
NY (as pro- posed)	Does not adopt. Adds Canon 5 instead (see "Extra Rules" chart)
NC	
ND	Does not adopt.

(
(as pro-	
OH Effective 3/1/09	I(A): Replaces language with: This code applies to all fulltime judges. The Application section identifies provisions that do not apply to distinct categories of judges. Canon 4 applies to judicial candidates. I(B): replaces "anyone" with "a lawyer," adds "within a court" after "functions" and deletes "justice of the peace" and language after "master" Deletes [3]
OK Effective 4/15/2011	(A) Adds at the end of second sentence: "only while they are serving as judges, and provisions that do not apply to part-time judges at any time." Replaces third sentence with: "Rules that do not appear in Section II through V are therefore applicable to part-time judges at all times." (B) Deletes "magistrate" before "court commissioner, special master" [3] Replaces "many jurisdictions" with "specialized courts" in the first sentence. Adds "and mental courts" after "in drug courts" in the second sentence. Replaces "on 'problem solving' courts" with "on these specialized courts." Adds [4]: The inclusion of the last phrase in the Application section is to make it clear that the Code not only applies to judges, but it also applies to those who are candidates for judicial office. Candidates, whether sitting judges or not, are subject to discipline under this Code.
OR	
PA	
SD	
TN (as pro- posed)	(A) Changes "Parts II through V of this section" to "Parts III through V of this section"; changes "four distinct categories of part time judges" to "three categories of part time judges"; after "part time judges" adds "only while they are serving as judges, and provisions that do not apply to part-time judges at any time. Rules that do not appear in Sections III through V are therefore applicable to part-time judges at all times."; Changes "four categories of judicial service" to "three categories of judicial service." (B) Inserts "but not limited to" between "including" and "an officer"; Deletes "justice of the peace"; adds "judicial commissioner" after "court commissioner"; replaces "referee" with "divorce referee, juvenile referee or any other referee performing judicial functions"; replaces "or member of the administrative law judiciary" with "or an administrative judge or hearing officer." [4] Adds: "Some states, including Tennessee, have created what are often called "problem solving" courts in which judges are authorized by court rules to act in nontraditional ways."; Deletes sentence "When local rules specifically authorize provisions set forth in the Code."; Deletes "Nevertheless" before "judges"; replaces "problem solving" with "such courts"; replaces "local rules" with "laws or court rules"; Adds "See Rule 2.9 Comment [4]." Adds [4] The Secretary of State, in accordance with Tennessee Code Annotated section 4-5-321 (b) adopted a code of conduct for all administrative judges and hearing officers: Tenn. Rules and Regs. Ch. 1360-4-1-20 Code of Judicial Conduct Unless otherwise provided by law or clearly inapplicable in context, the Tennessee Code of Judicial Conduct, Rule 10. Canons 1 through 4, of the Rules of the Tennessee Supreme Court, and any subsequent amendments thereto, shall apply to all administrative judges and hearing officers of the State of Tennessee. However, any complaints regarding any individual administrative judge's or hearing officer's conduct under the code shall be made to

TX UT Effective 4/1/10	judge or hearing officer or other comparable entity with supervisory authority over the administrative judge or hearing officer, and any complaints about the chief administrative judge or hearing officer shall be made to the appointing authority. The provisions of Tennessee law dealing with the Court of the Judiciary are not applicable to administrative judges and hearing officers of the State of Tennessee. See Tenn. Code Ann. Title 17, Chapter 5. [5] This provision does not apply to special commissioners performing nonjudicial functions. (A): deletes third sentence and in fourth sentence adds "judges and" before "judicial" (B): replaces language between "Code" and "court commissioner" with "includes a" and deletes language following Deletes [3]
VT	
VA	
WA Effective 1/1/11	Adds "court commissioner, judge pro tempore or" before "judicial candidate". (A) First sentence of Model Code similar to State Code Application I(B), but changes "all full-time judges" to "all judges except as otherwise noted for part-time judges and judges pro tempore." Most of the rest of the Paragraph has no equivalent in the State Code. The last sentence of Model Code Application I(A) is somewhat comparable to State Code Application I(C) in that this State Code paragraph lists rules that apply to "judges who hold a position that is subject to election." (B) Similar to State Code Application I(A), but with a few changes: State Code deletes "a justice of the peace" and changes "or member of the administrative law judiciary" to "part-time judge or judge pro tempore." Adds: Application I(C): "All judges who hold a position that is subject to election shall comply with all provisions of Rules 4.1 (Political and Campaign Activities of Judges and Judicial Candidates in General), 4.2 (Political and Campaign Activities of Judicial Candidates in Public Elections), 4.3 (Activities of Candidates for Appointive Judicial Office), 4.4 (Campaign Committees), and 4.5 (Activities of Judges Who Become Candidates for Nonjudicial Office), Rules 4.1 (Political and Campaign Activities of Judges and Judicial Candidates in General), 4.2 (Political and Campaign Activities of Judges and Judicial Candidates in General), 4.3 (Activities of Candidates for Appointive Judicial Office) and 4.4 (Campaign Committees) apply to judicial candidates." Application I(D): "All judges shall comply with statutory requirements applicable to their position with respect to reporting and disclosure of financial affairs." Inserts [2] "This Code and its Rules do not apply to any person who serves as an administrative law judge or in a judicial capacity within an administrative agency." [3] Similar to Model Code Comment [2] but deletes language of first sentence after "The determination" up to "depends" and replaces with "of whether an individual

WV	
WI	
WY Effective 7/1/09	I(A) Similar to Model Code but deletes third sentence; Changes "Part II through IV" to "Part II;" Eliminates references to and explanation of "four distinct categories of part-time judges;" I(B) Replaces "including an officerlaw judiciary" with "including but not limited to, justices of the supreme court, district court judges and commissioners, circuit court judges and magistrates, special masters, referees, municipal judges and alternate municipal judges, and a retired judge, commissioner or magistrate who has been given a general or special appointment to hear cases by the Wyoming Supreme Court, but shall not include administrative hearing officers or other members of the administrative law judiciary."

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