in the

Supreme Court of the United S

MORGAN M. FINLEY, CLERK OF THE CIRCUIT COURT OF COOK COUNTY, ILLINOIS, Petitioner

: No. 80-2205

TONI MURRAY

v.

Washington, D. C.

Wednesday, April 21, 1982

Pages 1 - 50

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1 IN THE SUPREME COURT OF THE UNITED STATES - - - - - - - - - - - - - - - - - X 2 - -3 MORGAN M. FINLEY, CLERK OF THE . CIRCUIT COURT OF COOK COUNTY, 4 . 5 ILLINOIS, : 6 Petitioner : No. 80-2205 7 : v. 8 TONI MURRAY : 9 - - - - - - - - - x Washington, D. C. 10 Wednesday, April 21, 1982 11 The above-entitled matter came on for oral 12 13 argument before the Supreme Court of the United States 14 at 11:10 o'clock a.m. 15 APPEARANCES: 16 SCOTT A. MAYER, ESQ., Chicago, Ill.; on behalf of the 17 Petitioner. 18 JOHN S. ELSON, ESQ., Chicago, Ill..; on behalf of 19 the Respondent. 20 21 22 23 24 25

1

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1	<u>CONTENTS</u>	
2	ORAL ARGUMENT OF	PAGE
3	SCOTT A. MAYER, ESQ.	
4	on behalf of the Petitioner	3
5	JOHN S. ELSON, ESQ.	
6	on behalf of the Respondent	24
7	SCOTT A. MAYER, ESQ.	
8	on behalf of the Petitioner - rebuttal	48
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		

2

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1 PROCEEDINGS 2 CHIEF JUSTICE BURGER: We will hear arguments 3 next in Finley against Murray. 4 You may proceed whenever you're ready. 5 ORAL ARGUMENT OF SCOTT A. MAYER, ESQ., 6 ON BEHALF OF THE PETITIONER 7 MR. MAYER: Mr. Chief Justice and may it 8 please the Court: 9 This case is before you on a writ of 10 certiorari to the Seventh Circuit Court of Appeals. 11 Petitioner should enjoy absolute judicial immunity from 12 Section 1983 damages liability for acts taken in 13 discharge of his duties as an aide to the court, in 14 order that the court's judicial duties may be properly 15 accomplished. The intimate relationship between the court 16 17 clerk and the court is clearly reflected in the record 18 in this case. Petitioner, the clerk of the Circuit 19 Court of Cook County, created court procedures in order

20 to implement a general order issued by the presiding 21 judge of the Municipal District in the Criminal Court of 22 Cook County. The clerk created these court procedures 23 in conjunction with the general order in order to notify 24 the Chicago Police Department of warrant recall orders, 25 as well as to notify victims and witnesses of court

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dates when a criminal defendant, such as Respondent,
 fails to appear in court on the designated court date.

3 QUESTION: Mr. Mayer, is it your position 4 basically that the clerk should enjoy absolute immunity 5 here, even if, for example, he refused to forward any 6 recall orders involving blacks?

7 MR. MAYER: The clerk would enjoy absolute 8 judicial immunity only if he was acting in his capacity 9 as clerk in order that judicial duties may be properly 10 accomplished.

11 QUESTION: As a clerk, he declines to forward 12 any recall orders involving blacks. Absolutely immune 13 in your view?

MR. MAYER: He would not be absolutely immune in that situation. He would be immune only if he was acting pursuant to court order or directive, within the receive of his duties as the clerk of the court.

18 QUESTION: Well, how is that different? 19 MR. MAYER: In this case, there is no 20 allegation of a clerk intentionally failing to 21 communicate to the police department an arrest recall 22 warrant. In this case the only allegations are against 23 the Petitioner as the clerk of the court in his official 24 capacity in creating procedures. These procedures, 25 there are no allegations that they are unconstitutional,

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1 but merely that those procedures were not followed by 2 one clerk who, by mistake or inadvertence, inadvertently 3 failed to communicate the warrant recall to the Chicago 4 Police Department.

5 QUESTION: Well, does the mandatory nature of 6 the duty, then, affect whether in your view there is 7 absolute immunity?

8 MR. MAYER: No, it is not relevant whether or 9 not the duty is labeled discretionary or ministerial. 10 The relevant inquiry is not into that nature, but into 11 whether or not that is a function intimately associated 12 to the court process. Therefore, the question devolves 13 not on whether or not the clerk must or must not --14 whether it's a ministerial or discretionary duty, but on 15 the function.

16 The test is whether the clerk is acting as an 17 official aide and whether he is functioning in that 18 capacity as clerk, as the Petitioner in this case was in 19 fact doing. In his close association with the presiding 20 judge, he created procedures. There are no allegations 21 against any other clerk in this case.

22 QUESTION: But Mr. Mayer, is it not true that 23 the complaint alleges that those procedures were 24 knowingly adopted even though they were unconstitutional 25 procedures? Page 9 of the Joint Appendix has that kind

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1 of allegation.

2 MR. MAYER: The complaint on its face alleges 3 that the Petitioner knowingly implemented court 4 procedures, but there are no allegations on the face of 5 the complaint other than --

6 QUESTION: Well, here's the paragraph I have 7 reference to: "The conduct, procedures and customs 8 herein alleged occurred and continued to occur during 9 the course of and as a result of Defendant's knowing and 10 unconstitutional adoption, promulgation, revocation, and 11 implementation of policies, statements, regulations, and 12 known custom."

13 MR. MAYER: It's correct that that allegation14 is in the complaint.

15 QUESTION: And you're saying that your client 16 is immune even though he did exactly what's alleged 17 there, absolutely immune?

18 MR. MAYER: Even assuming, taking all facts
19 --

20 QUESTION: That is your position?

21 MR. MAYER: Yes, that is true, our position is 22 that he is absolutely immune as a function of his status 23 as clerk, acting as clerk for the court. This would be 24 no different than if the Respondent alleged that the 25 judge in his creation of procedures in his general order

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1 knowingly created procedures similar to the allegations 2 in the complaint.

He is, like the judge, performing a function as clerk for the court, in a quasi-judicial capacity, within the scope of his authority, which is admitted in the face of the complaint. The complaint admits that this was his duty as the court clerk, that he created these procedures, and that all that he failed to do was to create perfect procedures.

When we discuss the question of judicial immunity, we are dealing with an imperfect world. That is all that happened here. A mere mistake and a mislaid file in the court's office, clerk's office, was at most what caused the failure of the recall warrant to be formunicated.

16 QUESTION: Mr. Mayer, do you see any 17 distinction between the clerk's act in carrying out the 18 order of the judge or the court or in refusing to carry 19 it out?

20 MR. MAYER: It is irrelevant whether or --21 QUESTION: If the clerk just refuses to carry 22 out the judge's order to transmit recalls?

23 MR. MAYER: Our position is that the clerk 24 would be absolutely immune in that situation, because it 25 is -- the policy considerations behind allowing -- the

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1 policy considerations are as follows: that court 2 clerks, as judges, should be free from allegations of --3 free from defending against allegations of a 1983 4 complaint for acts that are intimately related to the 5 judicial process, whether or not those acts are carried 6 out.

7 The majority of circuits who have decided 8 whether or not clerks are absolutely immune have held 9 that they are as long as the act is pursuant to a court 10 order or directive or intimately related to the 11 process. Even the Fifth Circuit in Williams versus Wood 12 held that without regard to scienter, which is a factor 13 that is always taken -- which is never taken into 14 consideration in a question of immunity of judges, 15 dating back to Bradley versus Fisher.

16 It is irrelevant because the policy is that 17 the potential harm to deny absolute judicial immunity 18 from Section 1983 damages is greatly outweighed by the 19 good to the public.

20 QUESTION: Is this derivative from the judge? 21 MR. MAYER: Our position is that the absolute 22 judicial immunity enjoyed by the court clerk -- he 23 derives his status from the court, but he -- the test 24 for his immunity is dependent not only on his status 25 from the court --

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1 QUESTION: Well, suppose the judge said, that 2 rule you've got that's set out on page 9, don't you ever 3 follow it, and he continues to follow it. Is he still 4 immune?

5 MR. MAYER: If the clerk refused to follow the 6 court order, we would still submit that he would be 7 absolutely immune in this case. It is a question of 8 status and function. As long as the duties are 9 performed in order that --

10 QUESTION: Does that go to the property clerk, 11 too? Does your rule apply to the deputy clerk, too? 12 MR. MAYER: Yes, Your Honor.

13QUESTION: And the assistant clerk?14MR. MAYER: As long as he is an official,

15 yes.

16 QUESTION: And the stenographer? Tell me when17 to stop. And the stenographer?

18 MR. MAYER: Your Honor --

19 QUESTION: And the man that opens the door, 20 and the man that sweeps the room? You haven't told me 21 to stop yet.

MR. MAYER: The line should be drawn at the --23 in this case, based on the test that is applied in 24 judicial immunity cases, to stop when the clerk is --25 when the person is no longer acting as an official aide

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1 of the judge in order that judicial duties may be 2 properly accomplished. 3 QUESTION: This applies, you say, to the 4 judge's bailiff? 5 MR. MAYER: Absolute judicial immunity has 6 been applied to bailiffs in courts where their acts --7 QUESTION: His chaufeur? 8 MR. MAYER: No, Your Honor. 9 QUESTION: Why not? 10 MR. MAYER: Because the chaufeur is not an 11 extension of the court as the clerk is an arm of the 12 court. The chaufeur has --13 QUESTION: Well, how about the bailiff? 14 MR. MAYER: The bailiff --15 QUESTION: How about the bailiff acting as a 16 chaufeur? 17 MR. MAYER: The bailiff acting as a chaufeur 18 --19 QUESTION: Yes. 20 NR. MAYER: -- is not absolutely immune from 21 1983 damages liability. 22 QUESTION: Why not? Under your theory, why 23 not? 24 MR. MAYER: Because he is not acting as an 25 aide to the court. His status -- he is taken out of the

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1 context of the court. He can be called bailiff or
2 anything else, but you look then to what is his conduct,
3 and if his conduct as a chaufeur has nothing to do with
4 the court system, which I assume it does not, he would
5 enjoy no immunity in his status as a chaufeur.

6 QUESTION: Earlier I thought you responded to 7 one question that indicated that if the clerk had an 8 order from the judge and he failed to carry that order 9 out he would still have immunity. Now, if it's 10 derivative from the judge, how is it a quasi-immunity 11 act if he's doing not what the judge ordered him to do, 12 but failing to do what the judge ordered him to do?

13 MR. MAYER: Our position is that in the sense 14 that a clerk is acting as a judge he would have 15 derivative immunity. In the sense that the clerk acts 16 as the clerk and not the judge, he enjoys absolute 17 judicial immunity without regard to the manner of 18 performance of the act, because we look not to the 19 specific result of whether or not the act was 20 accomplished; we look to what was the function of the 21 clerk at the time.

In this case, the failure of the warrant recall order to be communicated was merely the result of at most inadvertence, and in that case it is no different than in the common law when a court clerk

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1 failed -- erroneously entered an order by the court. It 2 was as if the clerk did not enter the order at all, but 3 under the common law the clerk did in fact enjoy 4 immunity from damage liability.

5 QUESTION: Why wouldn't qualified immunity be 6 adequate here, in terms of exactly what happened? If 7 you say all it was was a piece of negligence, why would 8 he need any more than gualified immunity?

9 MR. MAYER: The clerk should enjoy absolute --10 the absolute judicial immunity, not a qualified 11 immunity, because he would be forced at trial to defend 12 against the good faith acts of conduct that is 13 intimately related to the judicial process. The 14 independence of the judiciary -- this would require the 15 clerk to go to court, to sit at the defense table, to 16 defend against conduct that may in the end turn out not 17 in fact to have been the result of negligence, or if 18 even intentional conduct.

19 The point is that the court system will be 20 clogged, the judicial machinery will break down, if 21 court clerks are required to defend their actions in 22 court in 1983 actions.

23 QUESTION: Why do clerks ever post bonds? 24 MR. MAYER: Court courts post bond in their 25 filuciary capacity as a trustee --

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1 QUESTION: Well, why aren't they just 2 absolutely immune? Are they just paying money out for 3 nothing for bonds?

4 NR. MAYER: No, they're not. But the question 5 of bonds is a different question from whether or not the 6 court in a 1983 action should be subject to absolute --

QUESTION: Can you see a clerk on his bond?
8 Can the clerk be sued on his bond for this conduct, for
9 malfeasance in office?

MR. MAYER: A clerk could be sued on his bond,
but he could also -- there are other alternative
remedies that a clerk can be sued on besides his bond.
QUESTION: Why can he be sued on his bond if
he's absolutely immune?

MR. MAYER: Because the statute -- well, the state statute can provide, as it does in Chapter 25, Section 10, as an alternative remedy, that the clerk of the court can -- the principal clerk is liable for the acts of his subordinates.

20 QUESTION: Well, in Illinois -- in Illinois is 21 the bond required of a clerk, a bond, an insurance 22 policy like the public liability for driving an 23 automobile, or is it a bond simply to replace any money 24 which he receives and embezzles?

25 MR. MAYER: Yes, the latter aspect is the

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1 purpose of the bond in the State of Illinois, for the 2 purpose of -- to replace those moneys that are taken 3 illegally by the clerk.

QUESTION: Suppose the Illinois legislature passed a statute that says, we know we've read all about this immunity for state officers under 1983, but that just is an assumption by the Supreme Court or by some courts that this kind of immunity is essential to get the public work done. Well, we hereby declare that it is not essential to get the Illinois public work done to have immunity under 1983.

12 There certainly wouldn't be any immunity then,13 would there?

14 MR. MAYER: The clerk would be immune only if 15 he was acting as an official aide of the court in order 16 to discharge the court's duties.

QUESTION: But the state doesn't want any
protection for its officers to protect its public
business.

20 MR. MAYER: The state can legislate in this 21 area, as it has done already in the Illinois Revised 22 Statutes in the Clerk's Act.

23 QUESTION: Would you think -- could the clerk 24 have been sued under state law here?

25 MR. MAYER: The clerk could have been sued

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1 under state law.

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2 QUESTION: And he would not have been immune? 3 Under state law he would not have been immune? 4 MR. MAYER: Under state law today there is a 5 statute that would provide that the principal clerk can 6 be sued for the acts of his deputies. 7 QUESTION: He could be sued for this conduct 8 right here, and he would not be immune under state law? 9 MR. MAYER: Under state law, the question has 10 not been decided whether the clerk enjoys judicial 11 immunity. But there is a state statute and there is 12 case authority that permits a clerk to be sued in a 13 civil action. 14 QUESTION: For the negligence of his 15 deputies? 16 MR. MAYER: yes, for the negligence of his 17 deputies. QUESTION: Aren't you asking the federal 18 19 courts, then, to be more Roman than the Romans? If the 20 Illinois courts, the Illinois legislature, permit this 21 sort of an action in state court against a clerk, I 22 would think Justice White is guite right that Illinois 23 has determined that absolute immunity isn't necessary. QUESTION: Or any kind of immunity. 24

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MR. MAYER: Well, the statute that I referred

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1 to is an available alternative remedy that has not been 2 tested that I can tell in my research. The statute is 3 on the books, but there is a question now raised by 4 Drury versus Mclean County, which has held that the 5 clerk of the court in Illinois has historically been a 6 member of the judiciary branch. 7 . QUESTION: So you say it's an open question 8 --9 MR. MAYER: It is an open question in 10 Illinois. The Drury case did not --11 QUESTION: You just told me that there could 12 be recovery against this clerk in an Illinois court 13 under state law for this very conduct. MR. MAYER: Your Honor, I'm sorry. The case 14 15 --16 QUESTION: That's what you just told me a 17 while ago. MR. MAYER: Well, the case is an -- the issue 18 19 is an open issue. My point is only that there is a 20 state statute that could provide a remedy against the 21 clerk. QUESTION: Well, that's -- so what do you 22 23 mean, is there a remedy for this conduct under state law 24 or not? MR. MAYER: It is not clear, other than by the 25

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1 fact that this statute exists.

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2 QUESTION: Is your state statute cited 3 anywhere?

4 MR. MAYER: Yes, Your Honor, it is.

QUESTION: In your brief or what?

6 MR. MAYER: It is cited in the Respondent's 7 brief and in our reply brief. It's in footnote 3 of the 8 Respondent's brief.

9 QUESTION: Thank you.

10 QUESTION: May I ask this question. Is there 11 a difference between action and non-action by the 12 clerk? Assume, for example, that the clerk neglected to 13 issue the mandate of the court, just inadvertently 14 failed to do it. That would be non-action. You have 15 non-action in this case.

16 Does the immunity for which you argue extend 17 regardless of whether it's action or non-action?

MR. MAYER: Yes, Your Honor, and the reason for that again is that acting as an official aide of the judge in his capacity as the clerk, it is not relevant whether the intended -- whether the intended result was accomplished. The fact is that the policy considerations require that in order for the judicial machinery to be able to function with the essential court officers, the clerks -- the courts will be clogged

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1 with petitioners like the clerk of the circuit court 2 having to go in to defend against actions of performance 3 or non-performance, it will disrupt the court system to 4 such a degree that the potential harm to deny absolute 5 judicial immunity must be outweighed by the public good 6 to have clerks clerking and not sitting in courtrooms 7 defending against actions and complaints under 1983 8 either for inaction or action.

9 QUESTION: What if the inaction was 10 deliberate? The clerk just didn't want to have the 11 mandate issue because he didn't agree with it.

MR. MAYER: Our position would be the same,
13 that an absolute judicial immunity would exist
14 regardless of the intent or the malice or the bad
15 faith.

16 QUESTION: Even if he deliberately ignored the 17 judgment of the court?

MR. MAYER: It is better to -- yes. It is better to allow one corrupt -- a corrupt clerk to go free than to have the faithful clerks, whose ardor will definitely be dampened from performing their faithful duties if a policy is instituted where they can be subject to liability for allegations of malice or bad faith in a complaint.

25 The facts in this case are simple. The clerk

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1 here is not alleged to have done anything wrong. All he 2 did was create procedures. These procedures were 3 intimately --

QUESTION: Mr. Mayer, you didn't raise any question as to whether or not the clerk could be held substantively liable under 1983. As I understand your petition, the only question you raise is, assuming that the clerk can be held liable for these rather detached and passive acts, whether notwithstanding the substantive liability he may assert an absolute immunity.

MR. MAYER: Yes, Your Honor, our petition --13 the question presented is limited to whether or not he 14 should enjoy absolute judicial immunity for acts taken 15 in discharge of his duties as an official aid of the 16 court, in order that the court's judicial functions can 17 be properly accomplished.

And the facts in this case clearly reflect 19 that when the clerk, the Petitioner, created these 20 procedures he did it with the court's knowledge, with 21 the court's approval, under the court's supervision --22 clearly an act as the clerk within his scope of 23 authority as the clerk of the court.

In this case, Petitioner is clearly and should be clearly held absolutely immune for an act that is so

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1 intimately related and integrally related to the 2 judicial process.

. 3 The 1983 cases in the circuits that have dealt 4 with this issue have all held -- the majority of the 5 cases that have held that the clerks are immune have 6 held that the clerk of the court's common law immunity 7 has not been abrogated by the enactment of Section 8 1983.

9 QUESTION: Well, what if it's abrogated by 10 state law?

11 MR. MAYER: Well, if -- the clerk's immunity 12 should still survive regardless of whether -- in 1983 13 actions, the question is whether --

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QUESTION: Why would it? Why would it? 15 MR. MAYER: The question of whether or not the 16 clerk is absolutely immune under 1983 is dependent upon 17 whether or not at common law the clerk was -- enjoyed 18 immunity from damages when sued when performing acts as 19 a clerk in discharge of his duties, regardless -- and as 20 the common law establishes, the clerk of the court was 21 not amenable to suit when acting under the direction and 22 supervision of the court.

A presumption existed that when a clerk acted 23 24 he acted with the authority of the court for whom he 25 acted, regardless of whether or not it was negligent or

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1 intentional.

Now, the cases that have dealt with this in the circuits have consistently held that whether or not tit was a failure to notify someone pursuant to a court order, whether it was a failure to send notice of a copy of a notice of appeal, regardless of whether or not the clerk refused to docket a particular piece of paper, the end result was the same. The analysis focused on whether or not the clerk acted as an official aid of the judge in order that the judicial duties could be properly accomplished.

And the policy considerations behind this are aclear, that if clerks are required to defend their actions in a federal court plaintiffs will be able to do indirectly what they cannot do directly. The clerk will be the one who will have to go in and defend against court orders and court actions, which cannot be done if the judge himself had been sued under Section 1983. By pringing the clerk into court, the court system will be bogged down.

In a system like Cook County, in the Circuit Court of Cook County, to have the clerk of the court go in and defend every time a disgruntled person feels like filing a Section 1983 suit based upon conduct of the --QUESTION: Well, certainly this Respondent is

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1 not a disgruntled person.

2 MR. MAYER: That is correct. 3 QUESTION: You haven't made any mention of the 4 facts underlying this. She was a victim, as I 5 understand it, of a robbery or a mugging or something. 6 MR. MAYER: Your Honor, in this case she was 7 charged --8 OUESTION: She was more than disgruntled. 9 MR. MAYER: The clerk of the court agrees that 10 she is not a disgruntled person. In fact, it is 11 unfortunate that what happened happened here. The 12 warrant recall order should have gotten to the Chicago 13 Police Department. The facts in this case are clear that she was 14 15 not the victim of a mugging. She was in fact initially 16 charged as a criminal defendant for deceptive practices, 17 and in this case the Respondent --QUESTION: But arising out of the theft of her 18 19 credit cards, no? MR. MAYER: Assuming the allegations in the 20 21 complaint are taken as true, yes, that is correct. But 22 even under these set of facts, we must go back to the 23 allegations in the complaint. The allegations in the 24 complaint clearly reflect that the Respondent 25 acknowledges that the clerk was acting as an official

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1 aide of the judge, acted in discharge of his judicial 2 duties to implement court orders, and that all that the 3 Respondent seeks in this case is that the clerk create 4 perfect procedures, which are impossible in an imperfect 5 world, where immunity recognizes that mistakes will 6 occur.

7 And especially in a large metropolitan court 8 system, like the one in Circuit Court of Cook County 9 with 2100 deputy clerks, 6 municipal districts, a 10 likelihood of one mistake in a thousand like this 11 happening will happen. Without judicial immunity, the 12 clerk should -- would be subject to having to leave his 13 duties and thus impair the effective administration of 14 justice in the circuit court.

15 QUESTION: Mr. Mayer, at this point we really 16 don't know what happened, do we, because it was resolved 17 on summary judgment?

MR. MAYER: We know -- it's not relevant beyond the facts as they're stated on the complaint as to what happened. We know what happened as to what the clerk did. The clerk created the procedures with the court to promote the efficient management of the court system.

24 Whether or not the clerk on the tenth floor 25 mislaid that file intentionally, negligently, whether or

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not the Chicago Police Department failed to execute
 their procedures, is not relevant to the question of
 whether the clerk is absolutely immune as an official
 aide, doing his job to promote the efficient management
 of the judiciary.

6 We would ask that this Court reverse the 7 Seventh Circuit's decision and extend absolute judicial 8 immunity to court clerks. I would ask that the 9 remaining time I have be reserved.

10CHIEF JUSTICE BURGER: Mr. Elson?11ORAL ARGUMENT OF JOHN S. ELSON, ESQ.12ON BEHALF OF RESPONDENT13MR. ELSON: Mr. Chief Justice and may it

14 please the Court:

15 This case is not about a clerk's liability for 16 the proper execution of a court order. The complaint 17 alleges both that Petitioner did not fulfil his duty to 18 deliver to the police the court order recalling 19 Respondent's arrest warrant and that the failure to 20 deliver that order is alleged to have resulted from 21 Petitioner's continued implementation of policies and 22 customs that he knew were inadequate, as Mr. Justice 23 Stevens pointed out in reading from the complaint. 24 QUESTION: Mr. Elson, suppose you had a 25 situation, instead of hundreds of clerks in the office,

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1 you have a justice of the peace, a judicial officer out 2 in the country, who has no clerk, no staff, no 3 secretary, and then you postulate all the facts that 4 happened here: that he should have sent something to 5 the sheriff or to the police, but he went fishing or he 6 just forgot it or he put it in the drawer and mislaid 7 it. Would the judge have absolute immunity? 8 9 MR. ELSON: The opinions of this Court on that 10 guestion are not recent and the guestion is not clear. QUESTION: Well, what's the general 11 12 proposition about judicial immunity? MR. ELSON: The general proposition is that 13 14 the court would look at the nature of the duty, and this 15 is an administrative duty, so that judicial immunity 16 simply wouldn't apply, since this Court has determined 17 --QUESTION: Well, the Strunk case should shed 18 19 some light on the answer to that question, shouldn't 20 it? MR. ELSON: I'm sorry, Stump? 21 QUESTION: Strunk. 22 QUESTION: Stump. 23 MR. ELSON: Stump versus Sparkman? 24 25 QUESTION: Yes.

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1 MR. ELSON: In Stump versus Sparkman, the 2 court -- one of the requirements for judicial immunity 3 was that the court act within its jurisdiction. It 4 seems clear from the context of the case that the Court 5 was referring to jurisdiction in the sense of 6 jurisdiction to decide cases.

7 And I think this interpretation was augmented 8 in the Court's recent decision in Dennis versus Sparks, 9 in which the Court held that the purpose of judicial 10 immunity -- that judicial immunity arose in order to 11 protect judges' ability "to exercise their independent 12 judgment about the merits of cases."

The only precedent on this, direct precedent to n this subject dates back to 1879 in the case of Ex Parte Virginia, in which the Court was explicit in saying that -- this Court was explicit in saying that it's necessary to look at the actual function performed by a judge, and that if a judge performs a function that could just as well be handled by anybody -- in that case it was a purely ministerial duty -- then the judge has no immunity simply because of his title and status.

22 QUESTION: Of course, that was a mandamus 23 action.

24 MR. ELSON: That was a mandamus action. This 25 Court has looked at the policies for mandamus for

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1 immunity in terms of injunctive relief and damages in 2 some cases as being related. In that case there was no 3 indication that the Court would have had a different 4 view in terms of damages, certainly, in that case. I 5 would even hazard that the reasons for injunctive relief 6 might be even stronger than for damages.

7 QUESTION: Is it your position, counsel, that 8 the clerk would be entitled to qualified immunity for 9 failure or refusal to perform a mandatory duty?

10 MR. ELSON: No, Your Honor. It's our position 11 that on the facts of this case it's just premature to 12 determine whether any immunity would be appropriate, as 13 Judge Swygert --

QUESTION: Just in abstract terms, not /ith reference to the determination of the facts of this case, assuming that we had a clerk who failed or refused to perform a mandatory duty --

18 MR. ELSON: If a mandatory --

19 QUESTION: -- what is your view of the 20 appropriate of what would be appropriate?

21 MR. ELSON: If the mandatory duty were of a 22 ministerial nature, then no immunity would be 23 appropriate. And this Court -- all of this Court's 24 decisions dealing with the question of immunity have 25 held that the fundamental purpose of immunity is to

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protect an official's discretion, ability to exercise
 discretion independently. Where there is no discretion,
 then the fundamental purpose of immunity disappears.

Judge Swygert in his opinion below noted that, 5 and the Fourth Circuit has held that in its leading 6 opinion of McCray versus Maryland.

7 QUESTION: Judge Swygert's opinion was a8 concurring opinion.

9 MR. ELSON: I'm sorry. In his concurring 10 opinion he noted that, and referred to McCray versus 11 Maryland in the Fourth Circuit as also holding that. 12 And that is in line with the historical --13 QUESTION: Do you understand on the remand for 14 trial, which I gather was the order of the Court of 15 Appeals, wasn't it?

16 MR. ELSON: That's correct.

17 QUESTION: Is there any issue of immunity18 open?

19 MR. ELSON: Yes, there is. The Court of 20 Appeals remanded on the ground that factual 21 clarification was necessary to determine whether 22 official immunity was appropriate, and cited to a 23 previous Seventh Circuit case --

24 QUESTION: Now, you say whether official 25 immunity. In what form, absolute or --

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1 MR. ELSON: Well, the court -- the only 2 indication was its reference to its previous case in 3 Dieu versus Norton. In that case the court determined 4 that a court clerk had absolute immunity for actually 5 carrying out the orders of a judge acting pursuant to 6 his legal duties. So the implication from the Seventh 7 Circuit's remand would be a remand for a factual 8 determination of whether the clerk was in fact acting 9 pursuant to judicial --

10 QUESTION: And if not, no immunity at all? 11 MR. ELSON: And if not, the question of no 12 immunity is unclear. All we have is Judge Swygert's 13 concurrence, in which he says that no immunity would be 14 appropriate. Of course, he was also referring to the 15 problem of whether negligence is appropriate --

QUESTION: Are you suggesting that, if on the remand there were a determination there ought to be some munity, that what, the trial judge would have to determine whether it was going to be gualified or not?

20 MR. ELSON: The trial judge would have to 21 determine whether there's qualified or no immunity. 22 QUESTION: No on the theory that he wasn't 23 acting within the scope of his authority or something 24 like that?

25 MR. ELSON: Well, no immunity on the theory

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1 that he was performing purely a ministerial function.

QUESTION: Ministerial officer.

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3 MR. ELSON: And had no discretion whatsoever. 4 And the ministerial -- the proposition that there is no 5 immunity for ministerial functions fits within the 6 historical background of Section 1983. One of the 7 requirements for proving absolute immunity under Section 8 1983 is to show -- the Petitioner has the burden of 9 showing that there was an equivalent immunity in 1871, 10 when Section 1983 was enacted.

11 QUESTION: Mr. Elson, before you leave the 12 question on remand, is it nt correct that there are 13 three alternatives, rather than two, even under your 14 view of the law? One would be that if it were a mere 15 ministerial act there would be no immunity at all. And 16 the other extreme, if he's carrying out a direct order 17 of the judge and if he does exactly what the judge tells 18 him to, I think you probably would agree that's absolute 19 immunity.

20 MR. ELSON: No, I would not, because the order 21 in this case of the chief judge was purely an 22 administrative order, and it's our position --

23 QUESTION: Well, let me put it a little 24 differently. Would there not be some situations in 25 which the clerk did nothing more than carry out a direct

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1 order of a judge where he would be entitled to absolute
2 immunity?

3 MR. ELSON: Definitely.

QUESTION: All right. But is there not an intermediate category where he might have -- he's not carrying out a direct order, he might be performing a discretionary act, such as drafting new procedures or something like that, where you might recognize qualified immunity?

10 MR. ELSON: That's correct.

11 QUESTION: And this conceivably could be such 12 a case, because one of the questions is whether his 13 procedures are reasonable or not.

14 MR. ELSON: That's correct. And the recent 15 decisions, though not the historical decisions on this, 16 would indicate that a gualified immunity would be 17 appropriate.

18 QUESTION: So that actually on remand any one 19 of those three alternatives is at least conceivable?

20 MR. ELSON: That's correct.

21 QUESTION: If we were to affirm the remand, we 22 need not now determine what immunity he's entitled to.

23 MR. ELSON: That's correct, exactly.

QUESTION: Mr. Elson, I take it from the Court 25 of Appeals' opinion that the issue of liability, as

31

1 opposed to immunity, isn't totally resolved by the Court 2 of Appeals. As I read the author of the opinion, he 3 kind of treats the case like a hunting accident and 4 said, you know, one of these five people must be liable, 5 go back and figure out who. But it's not irrefutably foreclosed that the 6 7 clerk here might be held not liable, is it? MR. ELSON: Oh, definitely not. That's not 8 9 closed, and the Seventh Circuit I think as very clear on 10 that. But of course, that is not the issue presented 11 --12 QUESTION: Right. 13 MR. ELSON: -- in this case. 14 Going back to the historical, the equivalent 15 immunity -- and I would emphasize that, because this 16 Court has made it clear that without any equivalent 17 historical, any equivalent immunity at common law, then 18 the official's claim to absolute immunity must fail 19 because the literal terms of Section 1983 require an 20 all-inclusive scope of liability which must be give 21 effect without the background of an equivalent 22 immunity. And here the law in the nineteenth century was 23

23 And here the law in the nineteenth century was 24 absolutely clear, and it was best stated in this Court's 25 1870 decision in Amy versus Supervisors, in which the

32

Court held, this Court held, that officials had not even
 a good faith immunity for their negligence in carrying
 out their duties. And there's no reason -- and the law
 is very clear that court clerks were not exempted from
 this rule of official liability.

6 There's no dispute in this case as to what the 7 mandatory duty of the court clerk was. And this is 8 stated in the appendix at page 23, which stated --

9 QUESTION: Suppose the clerk had a mandatory 10 duty to send this form along, this warrant recall form 11 along, and there was just some negligence by him or one 12 of his deputies that -- suppose when the facts are --13 it's just a pure case of negligence.

Now, wasn't there a footnote in the Court of Appeals' opinion that that wouldn't -- if it were just negligence, it would not amount to a 1983 violation?

17 MR. ELSON: That's correct, that was the view 18 in the Seventh Circuit prior to this Court's decision in 19 Parrot versus Taylor.

20 QUESTION: Yes.

21 MR. ELSON: Which indicated that that was no 22 longer the law in terms of negligence being not 23 sufficient to state a claim under Section 1983.

QUESTION: Suppose all the clerk did was 25 negligently fail to carry out what -- the requirements

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1 of a guite adequate set of procedures and regulations
2 that he and the judge worked out. On their face they're
3 perfectly all right. He just negligently failed to
4 carry it out.

5 And he's sued in 1983, stating a cause of 6 action, and the facts show that he has been negligent. 7 Now what kind of an immunity would you say he would 8 enjoy in that?

9 MR. ELSON: I'm not sure whether your 10 hypothetical is talking about the deputy clerk who 11 failed to actually physically get the document to the 12 police or the chief clerk who was responsible for the 13 procedures.

14 QUESTION: Either one.

15 MR. ELSON: Either one. Well, in either case 16 there would be no -- it would be our position that there 17 would be no absolute immunity.

18 QUESTION: Because he just negligently failed19 to carry out an order.

20 MR. ELSON: I believe the question you're 21 asking goes to whether or not there's a constitutional 22 violation, and it could very well be --

23 QUESTION: No, no, my question doesn't. I 24 thought you went that there was a constitutional 25 violation. Let's assume there is. Negligent conduct

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may nevertheless amount to a constitutional violation.
 Assume there is.

3 Now the question is immunity.

4 MR. ELSON: Well, it's our position that the 5 nature of the constitutional violation does not affect 6 the determination of whether or not here's immunity. 7 Those are wholly separate questions, and it's given in 8 any immunity case that there is a sufficiently severe 9 violation to rise to constitutional proportions. So ---

10 QUESTION: So would you put this in the 11 category that this was a ministerial act that he failed 12 to carry put?

13 MR. ELSON: Yes, I --

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14 QUESTION: So no immunity at all.

MR. ELSON: It's unclear. But the duty was, MR. ELSON: It's unclear. But the duty was, as is spelled out in the chief judge's order which is quoted on page 23 of the appendix, where it says, three times actually, "The clerk shall deliver the warrant recall order to the central warrant unit." It couldn't be more explicit in that regard.

QUESTION: Well, why then was there a remand? 22 Did a majority of the Court of Appeals decide that there 23 might be immunity even though it was only a ministerial 24 act?

MR. ELSON: No, I don't believe the Court of

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Appeals reached that level of inquiry into the case.
 There had simply been no factual development to
 determine whether there had been any violation at all,
 and possibly whether in fact the clerk may have acted
 pursuant, adequately acted pursuant to the commands of
 the judge.

7 QUESTION: Counsel, do you think that mere 8 negligence rises to a constitutional violation under 9 1983?

10 MR. ELSON: Well, I think it can in certain 11 situations, and I believe that this Court has already 12 decided that it can in its Parrot decision. Again, 13 however, I would emphasize that that question is not 14 raised in this case. Certainly if this Court could find 15 that negligence is not -- does not rise to a 16 constitutional violation, the issue here is absolute 17 immunity given a constitutional violation.

Even if Petitioner were able to show a common law background for absolute immunity, Petitioner could ont meet the second burden, independent burden of establishing immunity, and that is that the immunity is essential to the proper performance of a court clerk's duties. Petitioner has no explanation for why an absolute immunity is essential to the performance of the court clerk's duties, while on the other hand this Court

36

has held that such immunity is not essential to the
 performance of the duties of a governor, of school board
 members, hospital administrators, prison administrators,
 policemen. If --

QUESTION: Cabinet officers.

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MR. ELSON: That's correct.

7 And if the Petitioner's duties in this case 8 are anything more than ministerial, they are certainly 9 no more than of an executive or administrative nature 10 and therefore deserve no more immunity than 11 administrative or executive officials. Indeed, I would 12 argue that it deserves less immunity because normally 13 court clerks perform -- have less discretion in their 14 duties than say governors, cabinet officers, et cetera.

Petitioner's primary policy argument is that, as we've heard, the clerks serve as an aide to the judge and that they are important to judicial proceedings. Well, this Court has made it clear that official immunity depends not on an official's status or his location in the judicial process, but on whether the judgments of the official are functionally comparable to the judgments of a judge in deciding cases, as this Court pointed out in the Dennis opinion.

24 Since the Petitioner's responsibility for the 25 unconstitutional arrest in this case in failing to have

37

1 adequate procedures had nothing to do with deciding the 2 merits of a case, this functional comparability 3 argument, ground, is conclusive that judicial immunity 4 cannot apply. Petitioner --

5 QUESTION: In the Gravel case, we extended 6 immunity that was primarily that of a Senator to a 7 Senatorial aide. Would you think that judicial immunity 8 might at least rub off on the judge's secretary or the 9 judge's law clerk?

10 MR. ELSON: Well, insofar as the judge's 11 secretary's and law clerk's duties were concerned with 12 the merits of the case, of an actual case in the 13 adjudicative process, definitely. If they were routine 14 administrative duties, although that question of course 15 is not before this Court, I would assert that the 16 rationale for judicial immunity simply would not apply.

17 QUESTION: And you feel the court clerk is 18 just sufficiently removed beyond that intimate 19 connection with the judge for it to rub off on the court 20 clerk?

21 MR. ELSON: Yes, in terms of deciding the 22 case. The court clerk does not have anything to do with 23 deciding the case. In certain cases --

24QUESTION: He's not supposed to.25MR. ELSON: That's correct.

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However, in certain cases, court clerks are given authority to perform what may be called quasi-judicial kinds of functions, like deciding the appropriateness of probable cause for arrest or the ppropriateness of bonds. And there I think the quasi-judicial immunity might apply, because it's a judge-like decision on a case.

8 QUESTION: Do you think there's a remedy 9 against the clerk for this conduct under state law? 10 MR. ELSON: The statute provides a remedy. I 11 know of no cases in which damages were actually 12 collected, but the Illinois statute --

13 QUESTION: But you would think that -- is that 14 declaration that the clerk has no immunity under state 15 law?

MR. ELSON: Certainly implicit in that is the 17 judgment of the Illinois legislature that immunity is 18 not necessary for a court clerk's functions.

19 QUESTION: And do you think that has any 20 relevance to the immunity guestion under 1983?

21 MR. ELSON: I definitely do, although immunity 22 is a federal law matter, as Martinez versus California 23 indicates, it certainly --

24 QUESTION: Well, it's a question of 25 construction of 1983 and what Congress might have

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1 intended when they passed it and whether the intended to 2 revoke common law immunities. But if the common law in 3 a certain state has suddenly changed, been changed by 4 statute, and the otherwise -- the immunity that a clerk 5 would otherwise have in that state has suddenly been 6 eliminated by the state legislature, what should the 7 federal courts do about it under 1983?

8 MR. ELSON: Well, I think that would simply 9 reinforce the proposition that there are no valid policy 10 reasons --

11 QUESTION: Well, let's say that there had been 12 a clear decision in the federal courts that in state A 13 that court clerks were immune, absolutely immune. And 14 then there's a statute passed in state A that says there 15 is no such immunity, we don't need that kind of 16 immunity. And then there's a 1983 suit brought in the 17 same state against a clerk for very similar -- would he 18 then be immune?

MR. ELSON: Well, I think one could rely on Sectio 1988 of Title 42 to argue that where the federal law is deficient in any respect, that is, it doesn't provide in any way about immunity, then you would look to state law that most effectively serves the purposes to f the federal statute. And in that case you would look to state law's abrogation of immunity.

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1 I would point out that there is no law in 2 Illinois to indicate that clerks ever had immunity in 3 this type of situation, that Illinois was in line with 4 all of the other states in indicating that court clerks 5 had no immunity. 6 QUESTION: None whatsoever, qualified or 7 otherwise? 8 MR. ELSON: Well, they -- for ministerial 9 duties they had no immunity. QUESTION: Well, how about for 10 11 non-ministerial? 12 MR. ELSON: I don't know of any cases that 13 deal with discretionary duties. 14 QUESTION: Yes, but under your Illinois 15 statute, suppose one of these clerks, who I think you 16 suggested might fix bond, for example, or determine 17 probable cause, do that in substitution for the local 18 magistrate, and suppose he does it in some impermissible 19 way. Could he be liable under your statute in state 20 court? MR. ELSON: Under the statute cited in the 21 22 brief, it indicates that the clerk would be civilly 23 responsible for the failures of the clerk. 24 QUESTION: And that would be for a judicial 25 act, wouldn't it?

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1 MR. ELSON: That very well could be. There is 2 also a statute in Illinois that gives immunity for 3 discretionary acts of officials doing governmental 4 functions, as in most states. And how Illinois would 5 interplay with these two statutes is unclear in this 6 case.

I would also point out that the case, the new case cited by Petitioner, the new Illinois Supreme Court decision, points out that in 1870, I believe, when the Illinois constitution was promulgated, court clerks were not considered even non-judicial officers of the court, that they were county officials. So they didn't even have that proximity under the law at the time 1983 was analysis of the court.

Petitioner also argues that immunity is necessary to promote judicial efficiency. Well, the opposite is true. The protection of constitutional rights and the promotion of judicial administration are learly mutually reinforcing goals, not antagonistic at 20 all.

21 The facts of this case I believe demonstrate 22 the possibility of a clerk's liability for an 23 constitutional arrest caused by ineffective procedures 24 for handling warrant recalls would have two effects: It 25 would be an incentive to have more efficient procedures

42

1 and thereby to reduce the incidence of unconstitutional 2 arrest. And I think it's interesting to note that 3 Petitioner himself recognized this effect of 1983 4 liability when he in his office memo to his clerk that's 5 on page 20 of the appendix -- that memo warns that 6 deputies who failed to follow correct procedures on the 7 handling of recall orders may be subject, as well as may 8 subject the clerk's office, to liability under Section 9 1983.

10 If such liability encourages Petitioner's
11 subordinates --

12 CHIEF JUSTICE BURGER: We'll resume there at 13 1:00 o'clock.

14 (Whereupon, at 12:00 noon, the argument in the 15 above-entitled matter was recessed, to resume at 1:00 16 p.m. the same day.)

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1	AFTERNOON SESSION
2	(12:59 p.m.)
3	CHIEF JUSTICE BURGER: Mr. Elson, you may
4	resume.
5	ORAL ARGUMENT OF JOHN S. ELSON, ESQ RESUMED
6	ON BEHALF OF RESPONDENT
7	MR. ELSON: Thank you, Your Honor. Mr. Chief
8	Justice, may it please the Court:
9	Before we recessed for lunch I was discussing
10	why absolute immunity is not necessary to promote
11	judicial efficiency. And I was pointing out, the
12	Petitioner's own memo to his clerks, to his
13	subordinates, showed recognition that 1983 liability is
14	indeed an incentive to promote efficient judicial
15	procedures. And I would point out that if it's an
16	incentive to Petitioner's subordinates there's no reason
17	to think that it wouldn't be an incentive to Petitioner
18	himself to use adequate procedures.
19	There is a third criteria for establishing
20	absolute immunity from damages, and that is that
21	Petitioner must show that there are adequate safeguards
22	built into the process by which the court clerk or any
23	official acts that reduce the need for a damage, 1983
24	damage remedy. This Court has never found absolute
25	immunity justified unless there were adequate, such

44

1 adequate safeguards built into the process by which the 2 official acts.

And those safeguards, which were described in Economou versus Butts -- the most essential ones are the right to an adversarial hearing, the right to appeal, and recourse to precedent.

7 Petitioner's failure here to have adequate 8 safeguards, being a purely administrative -- to have 9 adequate procedures for handling these recalls, is 10 purely an administrative type of action and occurred 11 wholly outside of the adjudicative process. So there is 12 no possibility of such safeguards being present, and 13 therefore there's no need -- there's no reduction in the 14 need for a Section 1983 damage remedy to restrain 15 constitutional violations. And this is an independent 16 requirement of absolute immunity the Petitioner has the 17 burden of showing, the existence of these safeguards.

In response to Petitioner's argument, I would point out that essentially I think Petitioner has conceded the guestion presented of whether he's entitled to absolute immunity in his response to Justice 20 'Connor's question as to whether there is -- as to whether a clerk would be immune if the clerk violated a court order and discriminated against an individual. In 25 conceding that there would be no immunity in that case,

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I think that essentially essentially concedes the
 question presented.

I think that concession is dicated, in sum, by the three separate requirements for absolute immunity that this Court has set up in all of its immunity cases: that there be adequate safeguards, that there be policy reasons that make immunity necessary for the accomplishment of the official's duties, and that there be an equivalent historical immunity as a background.

QUESTION: In other words, you're saying that it must be something paralleling the kind of derivative immunity that was defined in Gravel: that if a Senator's aide is performing a legislative task, which is the way Gravel limited the immunity, then he is immune. If he is not performing something which is essentially the same as what the Senator would do for himself --

17 MR. ELSON: That's right.

18 QUESTION: -- then there is no derivative19 immunity.

20 MR. ELSON: That's correct. I don't know if I 21 would phrase it as a derivative immunity. There must be 22 -- the clerk must perform a function --

QUESTION: It's certainly derivative immunity24 in the Gravel case.

25 MR. ELSON: That's correct, because the

46

1 legislative aide was performing a task that would be 2 immune if the legislator had himself performed it. 3 Derivative immunity of a court clerk, however, would be 4 not a judicial type of action. It would be related to 5 carrying out a judge's order, and therefore almost as an 6 arm of the judge.

7 QUESTION: If he issued, if the clerk issued, 8 was authorized to and did issue a warrant or a subpoena, 9 would you say that was guasi-judicial and subject to 10 immunity?

11 MR. ELSON: The task itself wouldn't be 12 quasi-judicial because it's not functionally like 13 deciding cases. There would be a derivative immunity, 14 an absolute immunity. I think the term "quasi-judicial" 15 has been used in many senses, but there would be an 16 absolute immunity because he'd be carrying out an 17 explicit order of a judge.

And in the same sense I think that the Gravel 19 case indicates that just because a court clerk happens 20 to be an aide of the judge, just as the legislative aide 21 was an aide of the Senator, that status does not in 22 itself confer immunity. There has to be a functional 23 equivalence.

24 Because Petitioner has not met any of the 25 three separate requirements for absolute immunity this

47

1 Court has set forth, there is no basis for the claim of 2 absolute immunity in this case.

3 CHIEF JUSTICE BURGER: Very well. 4 Do you have anything further, Mr. Mayer? 5 REBUTTAL ARGUMENT OF SCOTT A. MAYER, ESO .. 6 ON BEHALF OF PETITIONER 7 MR. MAYER: Yes, Your Honor. Mr. Chief 8 Justice and may it please the Court: Clearly on the face of the complaint, the 9 10 Petitioner in this case could have done no more than 11 what he did in creating the procedures in conjunction 12 with the general order in this case. Furthermore, the 13 courtroom deputy in this case followed each of the 14 procedures that was assigned to him and there are no 15 allegations that the deputy clerk involved in this case 16 did not comply or implement the procedures.

As far as intentional violation of the court a orders, it is clear that the clerk of the court is amenable to alternative available remedies when he intentionally violates a court order. He is subject -he is answerable to the court. He is subject to contempt. He is subject to removal from office, just as well as a judge, and in addition would be subject to the criminal analogue of the Section 1983 Act under Section 22 242 for criminal intentional violations of civil

48

rights. The clerk would enjoy no greater immunity than
 a judge or a prosecutor would for intentional
 violations.

Furthermore, it's clear that the negligent act that occurred here, the mere inadvertent mislaying of the warrant recall order, was something that could not have been prevented even with the threat of the memo. Mistakes will happen in a large system such as the one in Cook County and merely the fact that this memo was there was not something that even could prevent this one isolated incident.

12 Clearly, the clerk is intimately related to 13 the court. He is not acting independent of the court. 14 He is not acting independent of the court. As this 15 Court held in Shadwick versus City of Tampa, the clerk 16 when working with the court is intimately related to the 17 court. He is a judicial officer and, when acting under 18 the supervision of a judge, he should be accorded the 19 same protection of absolute judicial immunity as the 20 judge would be if the judge in fact had performed the 21 act of failing, in this case, either to adequately 22 communicate to the police department a warrant recall 23 order or in fact created procedures as he did. 24 For these reasons, we've asked that the

25 Seventh Circuit Court of Appeals be reversed.

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1		CHIEF JUSTICE BURGER: Thank you, gentlemen.
2	The case	is submitted.
3		(Whereupon, at 1:06 p.m., the above-entitled
4	case was	submitted.)
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and that these pages constitute the original transcript of the proceedings for the records of the Court.

BY Deene Samon

