

## Community Systemwide Response History

In 1988 the Departments of Justice and Transportation through the Office of Juvenile Justice and Delinquency Prevention and the National Highway Traffic Safety Association awarded a grant to the Pacific Institute for Research and Evaluation to develop the Systemwide Response Planning Process (SRPP). This was a manual and process to combat youth substance abuse and impaired driving. Five sites were selected to pilot this endeavor: Grant Pass, Oregon; Sykeston, Missouri; Salt Lake City, Utah; Fredericksburg, Virginia; and Bedford, Indiana. The local leadership to carry out the process was a judge with juvenile and family court jurisdiction.

During the review of the SRPP project, Judge Linda Chezem suggested to the federal partners that the process would be strengthened at the local level with the involvement of the Cooperative Extension Service (CES). The rationale was that both CES and the judiciary are in every county in the nation, and both institutions are involved in serving the needs of children, families, and communities. In 1991 the collaboration was expanded to include the Cooperative Extension Service (CES). The program title was changed to Community Systemwide Response (CSR). The federal partnership included ES-USDA and the National 4-H Council.

The National 4-H Council received training funds through a cooperative agreement from the Office of Juvenile Justice and Delinquency Prevention (OJJDP) and the National Highway Traffic Safety Association (NHTSA). Five states, Montana, Arizona, Michigan, Florida, and Indiana, participated in the CSR training in September 1991.

The team from Indiana included Juanita Russell, state coordinator; Leanna Richardson and Judge Clementine Barthold from Clark County; Pamela Robbins and Judge Robert Bennett from Washington County; Pam Hess and Judge Robert Brown from Jackson County; Jeff Holland and Judge Vi Taliaferro from Monroe County; and Maryann Dickason and Judge James Harris from Morgan County. Also attending was Darrel Thomas, Youth CED, Putnam County; and Bryan Metzger, Youth CED, Lawrence County.

In June of 1992 in Brown County, Indiana, NCJFCJ cooperated with Purdue Cooperative Extension Service to present a seminar to eight additional counties:

- **Tippecanoe County** - Judge Margaret Hand, Extension Agents Janet Boston and Scott Rumble, and a team of community leaders
- **Rush County** - Judge Barbara Harcourt and Extension Agent John Crites
- **Miami County** - Judge Bruce Embrey and Extension Agent Maureen Cook
- **Porter County** - Judge Ray Kickbush and Extension Agent Jim Jordan
- **Howard County** - Judge Alan Brubaker and Extension Agent Lynn Korniak with Police Chief Lynn Rudolph and other community leaders
- **Owen County** - Judge Frank Nardi and Extension Agent Larry Hight
- **Henry County** - Judge John Kellam and Extension Agent Mike Rose
- **Knox County** - Judge Ed Theobald and Extension Agent Renee Darkis

It is important to mention that throughout the grant application process, the Indiana training, and individual community site meetings, representatives from the Governor's Commission on Drug Free Indiana/Task Force on Impaired Driving have offered much assistance and cooperation. Project support has also come from the Indiana State Police and Senator Dan Coats' office.

PROPERTY OF

National Criminal Justice Reference Service (NCJRS)  
Box 6000  
Rockville, MD 20849-6000

In 1992 Purdue Cooperative Extension Service was awarded the grant to develop a National 4-H CSR Center for Action with Juanita Russell as coordinator. A partnership was formed with the NCJFCJ to provide training and technical assistance opportunities for other states and communities nationwide that choose to become a part of the CSR program.

Currently, funding for the Center for Action comes from an \$80,000 grant provided by OJJDP and JHTSA that is funneled through the National 4-H Council. Purdue University is also providing significant funding to make the Center a successful reality. NCJFCJ funding to provide technical assistance and training comes from a cooperative agreement with OJJDP and NHTSA. One of the current tasks of the Center for Action is to find additional sources to provide training opportunities for extension staff and juvenile and family court judges nationwide.

## Concept Paper

Purdue University Cooperative Extension Service in partnership with the National Council of Juvenile and Family Court Judges is piloting a program providing training and technical assistance to teams of juvenile court judges and extension agents. These teams lead their communities through a series of meetings to examine the risk factors of their youth and families, emphasis is given to alcohol and other drug abuse and impaired driving. The outcome of these meetings is the prioritization and implementation of an action plan to reduce specific risk factors and to develop and/or strengthen protective barriers for the youth, families, and communities. Technical assistance will be provided to aid in sustainability.

To help communities become aware of and understand their responsibility, the partnership uses as its theme an African adage IT TAKES A WHOLE VILLAGE TO RAISE A CHILD.

The six major objectives are-

- Mobilize juvenile court judges and extension professionals to serve as catalysts, trainers and technical advisors for forming community and state level collaborations to address high-risk youth issues related to alcohol and other drug abuse, as well as juvenile impaired driving.
- Identify and analyze specific problems in the community in the area of youth and family risk factors.
- Assess existing public policy as it relates to the identified problem and determine viable alternatives in the policy to affect positive change.
- Assess existing resources related to the identified problem which may be used to develop solutions.
- Pinpoint required enhancements to existing services and determine other needed services to fill gaps.
- Develop an action plan with concrete objectives, tasks, responsibilities, time lines and monitoring.

The rationale for the team of judges and extension agents follows:

1. To the extent that anyone can see a community "whole", juvenile court judges are the most likely ones. These judges see the problems of youth, families, and community. The judicial system is the focal site which receives the youth when all the other institutions have failed.
2. Judges have influence on other systems. The use of judicial influence is important to get the attention of the other systems in the community.
3. Judges have the authority to implement programs in juvenile court and to order agencies in their placement of children and in their delivery of services. Judges can be instrumental in getting programs put into place in the community.
4. Judges can obtain information and have information that no other agency can get. The juvenile court can help the community obtain the necessary statistical information to do a needs assessment.

5. Cooperative Extension Service (CES) is in every community. This system has worked effectively in the community for years, so there is no reason to use already limited resources to reinvent a system when one already exists.
6. CES has the ability to extract information from the university and academic setting that is needed for practical application within the community and the judicial system.
7. CES has the technical expertise to do the kind of community needs assessment and development that this program will depend upon.
8. CES will be able to give this kind of program a local institutionalized home with the assurance of a resource base that will sustain it and help it acquire other resources. Between the judiciary and the CES this program will be able to become a permanent part of the community.
9. CES programs will be adapted and developed to become an integral part of the array of services offered to children of the community, including children and families of the court system.
10. CES should act as a two way street in regard to research. There is a desperate need by the court for research in the area of children and families.
11. CES will be able to articulate for the judges their personal needs for support within the community. This support will be in the form of better services for children and families in court and in terms of educational and rejuvenated opportunities for the judges and the judge's families.
12. CES professionals will find renewed opportunity for professional service and for enhanced learning and support activities for themselves and their families.

As the two systems learn to work together, to better serve the children and their families, and in turn serve the whole community, it is possible for the members of the judiciary and extension to find themselves in the role of servant leaders. This position would help to reinvigorate other members of the community and to help the community to understand its role in the raising and nurturing of children.

# ALCOHOL AND OTHER DRUG USE BY INDIANA CHILDREN AND ADOLESCENTS

The Indiana Prevention Resource Center Survey - 1992

Prevalence Statistics

*Main Findings*

*conducted by*

**Indiana Prevention Resource Center**

*Indiana University-Bloomington*

*Creative Arts Building Room 110*

*840 State Road 46 Bypass*

*Bloomington, IN 47405*

Survey conducted

April & May, 1992

Report Dated

August 12, 1992

*funded, in part, by a contract with the*  
Indiana Family and Social Services Administration  
Division of Mental Health

**PROJECT STAFF**

**Project Director:**

**William J. Bailey, M.S., M.P.H.**

**Statistical Consultants:**

**Mohammad R. Torabi, Ph.D., M.P.H.  
Massoumeh Madj Jabbari, Ph.D.**

**Data Processing and Report Generation:**

**Mary Holtsclaw, M.P.H.  
Curtis Collins  
Gloria Rolf, M.A.  
Sarah Greene  
Carolyn Hurwitz**

**Indiana Prevention Resource Center  
Indiana University-Bloomington  
Creative Arts Building Room 110  
840 State Road 46 Bypass  
Bloomington, IN 47405  
(812) 855-1237 (Voice & TDD)  
(800) 346-3077 (Indiana only, Voice & TDD)**

(c) Copyright 1992 The Trustees of Indiana University.

This document may be reproduced, in part or in its entirety, by governmental or non-profit organizations, provided that the source is identified and the copyright notice is present. All other rights are reserved.

# ALCOHOL AND OTHER DRUG USE BY INDIANA CHILDREN AND ADOLESCENTS

## The Indiana Prevention Resource Center Survey - 1992

### Prevalence Statistics

#### *Main Findings*

#### INTRODUCTION

During April and May of 1992, the Indiana Prevention Resource Center (PRC) coordinated its second annual cross-sectional survey of the incidence and prevalence of alcohol and other drug use in Indiana. This survey was funded, in part, by a contract with the Indiana Family and Social Services Administration - Division of Mental Health.

Data were collected in 53 separate surveys conducted at 88 schools throughout Indiana. These surveys yielded 20,629 usable surveys. The school surveys conducted in 1992 provided enough data from which to draw inferences about alcohol and other drug use by students in grades 5 through 12 throughout the entire state. The 1992 survey was the second annual survey conducted by the Indiana Prevention Resource Center. In the 1991 survey, 23,319 usable surveys were collected. While identical populations were not sampled, the populations are comparable were selected for geographic and community-size balance in an identical manner, and should produce comparable data.

	Youth Surveys	88 schools in 53 separate surveys	
	Number of Youth Respondents		20,629
	5th grade	2,413	
	6th grade	2,412	
	7th grade	3,340	
	8th grade	3,052	
	9th grade	2,436	
	10th grade	2,928	
	11th grade	2,359	
	12th grade	1,506	
	Other	183	(ungraded, or unclassified)
	Male	10,139	
	Female	10,301	
	No response	189	

This survey was implemented to conduct a scientifically valid measurement of the incidence and prevalence of alcohol and other drug use in Indiana. The results of the survey are intended to be used to assist state and community organizations and agencies understand the extent of alcohol and other drug use and to more accurately plan prevention, intervention, counseling, treatment, and law enforcement programs and strategies.

An attempt was made to assure geographic and community-size balance, with an appropriate number of schools and subjects selected from each region of the state, as well as appropriate sized rural, minority, and urban populations. The communities selected for participation are representative of the state, at large, in terms of rural/urban and ethnic mix.

## DEFINITIONS

**Prevalence** is defined as the rate of "total cases" of a health problem. Prevalence rates of drug use are traditionally reported as percentages all drug use over a particular time frame in the entire population at risk. This survey uses several different measures of prevalence:

**Lifetime prevalence** = the percentage of respondents in an entire grade or age group that reports using a particular drug at least once in their lifetime.

**Annual prevalence** = the percentage of respondents in an entire grade or age group that reports using a particular drug at least once during the year prior to the administration of the survey.

**Current/Monthly prevalence** = the percentage of respondents in an entire grade or age group that reports using a particular drug at least once in the 30 days prior to the administration of the survey.

**Binge drinking** = the percentage of respondents in an entire grade or age group that reports drinking at least five alcoholic drinks at a sitting (approximately the amount needed to raise a person's blood alcohol level to about 0.10%) in the 2 weeks prior to administration of the survey.

**Daily prevalence** = the percentage of respondents in an entire grade or age group that reports using a particular drug an average of once per day during the 30 day period prior to the administration of the survey. [This rate is inferred from the frequency response to a question about monthly prevalence, which is the same technique used in the two national surveys used for comparison purposes.]

## PURPOSE AND RATIONALE

This survey was funded by the Indiana Family and Social Services Administration - Division of Mental Health, in order to provide a means of meeting the needs of both state and local alcohol and other drug professionals for information regarding the prevalence of alcohol and other drug use among the population of Indiana. There are several needs of both community and state which are met by this survey.

This survey allows Indiana to meet federally mandated guidelines for the allocation and expenditures of funds for drug abuse programs. The most efficient allocation of resources requires accurate information about the extent of alcohol and other drug use.

An accurate assessment of local needs is a major step in designing and implementing alcohol and other drug programs for individual communities. This survey allows local professionals to assess the need for programs and to meet the requirements of funding agencies for an accurate assessment of the extent of the local need.

An accurate and comprehensive cross-sectional survey of the prevalence of alcohol and other drug use had not recently been conducted in Indiana, prior to the PRC's 1991 survey. The studies that had been conducted were largely independent, localized efforts that yielded specific information about individual communities. Some of these studies were not conducted by qualified survey researchers, nor were the instruments tested for validity and reliability. Other studies were conducted by private organizations, often at great expense to the community.

This survey begins a useful statewide database of information about the prevalence of

alcohol and other drug use in Indiana. The individual surveys conducted as a part of this survey provide local communities with specific information needed by them to assess local needs. Since all of the local survey were conducted using the same protocols and same instruments, and since these protocols and instruments yield data that is directly comparable to two major national surveys, valid comparisons can be made and reasoned inferences can be drawn from those comparisons.

## METHODOLOGY

The survey was conducted using a questionnaire designed by the staff of the Indiana Prevention Resource Center (PRC). The questionnaire was designed to offer consistency of measurements over time, provide statistics that were comparable to nationally-conducted drug use surveys, and for ease of use and simplicity. Therefore, the results can be plainly presented in an easily understood format, and the results from Indiana can be compared with those from national surveys. The questionnaire is intended for use over several samplings. There are several benefits to this strategy:

First, it provides for the construction of a large data base. The larger a data base, the more inherently accurate and valid the collected data will be.

Second, the more accurate the Indiana data are, the more accurate the comparisons between Indiana data and other national data (as the national surveys have collected data from tens of thousands of subjects).

Third, since the data are comparable both through the structure of the questionnaire and the times the questionnaires are administered, any changes will more accurately reflect actual changes in the use of the drugs examined. These changes can reflect upon various prevention strategies, through pre- and post-testing. For example, if the survey were administered at a school before that school begins a new prevention program and then surveyed again after the program has been implemented, then subsequent changes in the results of the two surveys can better be attributed to that program.

The questionnaire is printed on a single sheet of 11" x 17" paper that is folded to create four 8 1/2" x 11" sides. The forms are printed with questions and possible answers on a single sheet, which can then be run through a high-speed optical scanning computer. Therefore, results from several thousand completed questionnaires can be tallied and analyzed in a relatively short time.

The questionnaire used in this survey was designed by the Indiana Prevention Resource Center for use in school settings. All of the questions are comparable to both the National High School Survey (conducted by the University of Michigan) and the National Household Survey (conducted by the National Institute on Drug Abuse), which show drug use rates for high school 8th, 10th and 12th graders, and for persons aged 12 and over, respectively.

Each questionnaire is divided into sixteen multi-part questions with room for four optional additional questions that can be added by the local site personnel. [See Appendix A for copies of the questionnaires.] The subjects of the optional questions are suggested by those involved with the survey at the local site. PRC personnel then write appropriate questions and possible answers. These questions are scanned simultaneously with the other, standardized questions, but are reported separately. Items were selected to gather data comparable to the *Healthy People 2000* standards utilized by the U.S. Public Health Service, with the intention of producing data that could be used to assess the state's and a community's success at meeting the *Healthy People 2000* target goals. Since these goals often are the basis for evaluation specified in federal and state grant funding announcements, the data will assist Indiana applicants in securing such funding.

## Sampling Strategy

All surveys were conducted during a six week period in the Spring so that the high school data would be comparable to the National High School Survey data. Further surveys will be conducted during the same time period each year, in order to yield consistently valid and reliable results. Due to the relatively high rates of new drug experimentation during a particular school year, it is necessary to survey all populations at about the same time, to avoid "maturation bias." For example, results of a survey conducted in one population in September would not be comparable to results of a survey conducted in another population in April because many more students may have tried drugs for the first time during the intervening seven months.

The instruments were designed to produce data that are comparable with that produced by two national surveys: the "National High School Survey" and the "National Household Survey."

The "National High School Survey," also known as the *Monitoring the Future* Survey has been administered every year since 1975 to between 15,000 and 18,000 graduating high school seniors annually from approximately 150 high schools nationwide. Beginning with 1991, this survey also gathered limited data from 8th and 10th grade students in the same school corporations. It is administered through the University of Michigan's Institute for Social Research on behalf of the National Institute on Drug Abuse. The results used in this report's comparisons are those from 15,200 seniors nationwide constituting the graduating class of 1991, as well as preliminary data from the 8th and 10th grade national surveys. the latest national data available.

The National Household Survey on Drug Abuse has been conducted every two to three years since 1972 directly by the National Institute on Drug Abuse. The results from the 1990 survey were compared with the 1991 Indiana survey. The 1990 household survey is the tenth study in a series of studies aimed at determining drug use rates among the American household population aged 12 and over. Only the results from those respondents ages 12 to 17 were used in comparisons with Indiana students in grades 5 to 11 and only the results from those respondents over age 17 were used in comparisons with Indiana adults.

## Limitations and Possible Sources of Error

As in all surveys, the possibility of errors and the limitations of the survey, its instrument, and the manner in which it is distributed, must be taken into account when interpreting a survey's results. The following limitations are possible sources of such errors in regard to this survey:

**Nonsampling errors** = those errors which are the result(s) of recording mistakes (respondents marking the wrong answer, ie. doesn't actually apply to them), coding errors (the machine skips or misreads a response), missing data (some respondents don't answer all the questions), and differences in respondents' interpretations of the questions and answers. These were minimized for this survey by a pre-testing conducted at Indiana University, specialized training of people who administered the survey, coding checks when completed questionnaires were scanned, and checks of quality control. Where the survey team suspects nonsampling errors, these have been noted in this report. [For example, the suspected reporting error regarding ethnic classification noted on page one of this report.]

**Sampling errors** = those errors that occur from the way in which the respondents are chosen and populations are targeted. In other words, the reported current use of a particular drug may vary slightly from one sample to the the next, because of the natural differences which exist in

people, their location, social practices, etc. and the manner in which they are chosen to participate in the survey. For example, people in the far southern end of the state may have slightly different use rates of particular drugs than people in the extreme northwest corner of the state, and the state-wide results may not reflect an accurate picture of the drug use rates throughout the state if disproportionate numbers of people are sampled in the south relative to the northwest portion of the state. These errors were minimized by allocating the number of sites in each of the 10 geographic regions used by the Governor's Commission for A Drug-Free Indiana and by setting a minimum of 50 respondents and a maximum of 2,500 respondents at each site. An attempt was made to locate a minimum of three survey sites in each of the ten regions, to locate at least 13 predominantly rural sites and at least 8 sites with a minority population of at least 25%. Due to several factors beyond our control (ie. late state budgets creating local problems that resulted in some sites withdrawing at the last minute), there were a few minimal deviations from this pattern, but the site selection pattern yielded a very representative sample of statewide drug use for youth.

Scientists use statistical formulas to calculate an estimate of the amount of sampling error. Hundreds of such estimates would have to be made for this report, based upon the exact number of responses in each cell category. To avoid unnecessary difficulty in reading such reports, it is customary to report the average estimate of sampling error, recognizing that the error may be larger in cells with very small numbers of respondents. For the youth populations, the average estimate of sampling error for this the whole population and for each grade 5 through 11 in this report is less than  $\pm 2\%$  [due to a slightly smaller sample size, the sampling error for the 12th grade population is  $\pm 3\%$ ], within a 95% confidence level. This means that we estimate that if the same number of respondents were sampled 100 times, using the same techniques, that in 95 or more of the 100 times, the percentages reported would be within 2% [or 3%] of the percentages reported here.

In addition, the following should be taken into consideration when attempting to interpret the results presented in this report:

- self-reporting depends on accuracy of memory and honesty in answering questions.
- the sample from the National Household Survey used to compare grades 5 to 11 was relatively small (2,177) compared to the Indiana sample of 18,940 for the same age group.
- those people surveyed were the ones who attended school or work on the day on which the survey was conducted at their location. It does not (nor does the National High School Survey) sample absentees or school dropouts, nor was it a compulsory survey. Participation in all three surveys was strictly voluntary.
- the National Household Survey uses a "household interview" technique that relies upon oral responses to questions posed by an interviewer. This technique may produce results that are not directly comparable to the "anonymous written questionnaire" techniques utilized by the PRC survey and by the National High School Senior Survey.

NOTE:

This report contains the Main Findings of this survey (the gross incidence and prevalence rates). Over time, additional reports will be issued using the data collected in this survey. These specialized reports, and/or articles, will provide more detailed analysis of certain findings.

# HIGHLIGHTS OF THE FINDINGS

## NOTE TO READERS:

The prevalence data reported herein are compared with data from two national surveys conducted in 1990 and 1991 – the National High School Survey - 1991, which is used as the standard of comparison for 8th, 10th and 12th graders; and the National Household Survey - 1990, which reports only a pooled statistic for ages 12-17 and is used as the standard of comparison for grades 5 to 11. It is important to note that the Indiana statistics are for 1992, and the national comparison standards are for 1990 and 1991. Since drug use nationally is on a downward trend, this difference in data collection time frame should be taken into account when interpreting the data.

The most relevant picture of adolescent use of alcohol and other drugs will be found by examining the data for high school seniors. This data shows the full extent of use and best describes the use of drugs by older adolescents. Data on younger students becomes less and less relevant for the total picture, but is useful in describing use patterns at a particular age and in planning age- or grade-appropriate programs.

## NOTE TO NON-INDIANA READERS:

In various places in this report, we use the term "Hoosier" to describe residents of or attributes of the State of Indiana. This is accepted local usage. Hoosier means "of Indiana" and is not just descriptive of residence -- it is a way of life!

## SUMMARY OF FINDINGS

- Indiana high school seniors are significantly more likely to smoke cigarettes, and to smoke them more frequently, than the national averages. 69.4% of Hoosier seniors have at least tried smoking, compared to 63.1% nationwide. 36.2% of Hoosier seniors have smoked at least once in the past year, compared to 28.3% nationwide. 22.8% of Hoosier seniors smoked cigarettes daily, while only 18.5% did so nationwide. 16.0% of Hoosier seniors smoked at least ½ pack (10 cigarettes) or more daily, compared with 10.7% nationwide. The Indiana statistics reveal a slight increase (but within the margin or error) over 1991 results, while the national statistics report a slight decrease at the national level. This creates a greater spread between the state and national data than were reported last year.
- Although the lifetime and annual prevalence of alcohol use by Hoosier seniors was comparable to the national statistics, more Hoosier seniors drank monthly (56.1% compared with 54.0%), drank daily (6.2% compared to 3.3%), and drank heavily (binge drinking 37.6% compared to 29.8%). This suggests that Hoosier seniors exhibited more negative drinking behaviors than the national average. While the 1992 Indiana data suggest a slight improvement, compared with 1991, the comparison with national data is still unfavorable.
- Fewer Hoosier seniors reported use of marijuana on a lifetime basis (31.0% compared with the national average of 36.7%), but annual use and monthly use were near the national averages. More Hoosier seniors reported daily marijuana use than did seniors nationwide (3.9% compared to 2.4%). This suggests that while fewer Hoosiers experiment with marijuana, occasional use is about average and daily use is somewhat higher than the national average.

- Significantly fewer Hoosier seniors report lifetime use of inhalants, compared with national data, but significantly more Hoosier seniors report annual and monthly use of inhalants. This suggests that while fewer Hoosiers experiment with the drug, somewhat more Hoosiers continue to use after initial experimentation, compared with the national averages.
- There is remarkable stability between reported 1991 and 1992 use rates for all drugs on all indices of use (lifetime, annual, monthly, daily, and binge drinking). This suggests a very high level of reliability of the instrumentation used in the survey, and also suggests that the rates reported each year accurately reflect the prevalence rates among the populations being surveyed.
- Alcohol continues to be the drug used most frequently by the greatest percentage of Hoosier seniors. Only alcohol and cigarettes are used by a majority of seniors at least once per year. Fewer than one fourth of seniors report annual use of marijuana, and among the remaining drugs, only amphetamines and tranquilizers are used by more than 10 percent of seniors on a once-a-year or more frequent basis.
- Less than 1 percent of the seniors reported daily use of all drugs except alcohol, cigarettes, smokeless tobacco, and marijuana. Hoosier seniors reported daily use rates above the national average for alcohol, cigarettes, and marijuana. National data on use of smokeless tobacco were not reported.
- Indiana's higher-than-the national-average rates of cigarette use are alarming for several reasons: cigarette smoking causes more death and disability than all other drugs (including alcohol) combined, and national studies have shown that daily smokers are ten to twenty times more likely than non-smokers to use marijuana, cocaine, and/or L.S.D.
- Annual and current Inhalant use peaks in 8th grade and then tapers off; for all other drugs, use increases each year from 5th through 12th grade.
- Use of tobacco, alcohol, and inhalants is already significant at the 5th grade level, so prevention programs aimed at these three drugs must begin prior to 5th grade. The fastest increase in experimentation with tobacco occurs between 6th and 7th grades. Regular smoking (daily smoking) increases during the high school years, but rarely among adolescents who did not experiment in grade school or junior high. The fastest increase in experimentation with alcohol occurs between 7th and 9th grades. Significant levels of current (monthly) alcohol use occur by the 9th grade.
- Among Hoosier school children and adolescents, the only drugs used by more than 1% of the students on a daily basis are alcohol, tobacco, and marijuana.
- While fewer Hoosier children and adolescents have experimented with marijuana, compared to the national averages, rates of monthly and daily use for most grades are above the national average.
- Hoosier youth are more likely to abuse prescription medications (prescription narcotics, amphetamines, and tranquilizers) than their national counterparts.
- Hoosier youth report rates of steroid use slightly above the national averages, but these differences are not statistically significant and are within the margin of error.
- National comparisons on smokeless tobacco use (any measure of prevalence) and on annual prevalence of cigarette use are not collected, so no comparisons were made.

- The year-to-year (1991 to 1992) differences reported on the prevalence tables often show a slight decline in use rates (most drugs, most measures of prevalence), but only a very few of these differences are statistically significant. Additional years of comparison are needed before we can say if the decline is a trend. The very few changes that were of statistical significance may be statistical artifacts and may be the result of sampling error. Additional sets (years) of data are needed before any conclusions should be inferred.

**LIFETIME PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH PAST STATE AND NATIONAL COMPARISONS**  
(REPORTED FIGURES ARE PERCENTAGES)

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	6th			7th			8th					
		S92	S91	NTL	S92	S91	NTL	S92	S91	NTL			
Cigarette	40.2	21.3	22.5	NC	33.2	32.2	NC	42.7	43.0	NC	55.0	52.1	44.0
Smokeless tobacco	11.8	8.8	8.7	NC	13.0	9.2	NC	16.2	17.4	NC	26.6	24.8	22.2
Alcohol	48.2	33.5	33.1	NC	37.4	40.4	NC	48.0	56.3	NC	66.1	64.7	70.1
Marijuana	14.8	1.1	1.0	NC	2.9	1.8	NC	5.6	5.2	NC	12.2	11.7	10.2
Cocaine	2.8	.	.	NC	.	.	NC	1.1	1.3	NC	2.4	2.2	2.3
Crack	1.0	.	.	NC	.	.	NC	.	1.1	NC	1.6	2.1	1.3
Inhalants	7.8	7.4	6.6	NC	8.2	9.6	NC	9.4	10.9	NC	16.7	13.7	17.6
Amphetamines	4.5	1.1	.	NC	1.5	1.2	NC	4.8	5.0	NC	11.4	9.7	10.5
Tranquilizers	2.7	3.9	2.9	NC	4.8	3.4	NC	6.8	6.9	NC	13.0	9.0	3.8
Narcotics	6.5	1.5	1.7	NC	2.0	2.1	NC	3.4	4.4	NC	7.0	5.9	NC
Psychodalic	3.3	.	.	NC	1.3	.	NC	2.3	1.5	NC	4.3	3.3	3.2
Heroin	.	.	.	NC	.	.	NC	1.0	.	NC	1.6	1.7	1.2
Steroids	NC	1.8	1.2	NC	2.2	1.2	NC	2.4	2.2	NC	3.1	2.9	1.9

**NOTES:** Asterisk denotes values less than 1.0%

<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse

S91 denotes state data, 1991

S92 denotes state data, 1992

NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)

NC denotes data that is not collected

NR denotes data that was not reported

**LIFETIME PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH PAST STATE AND NATIONAL COMPARISONS**  
(REPORTED FIGURES ARE PERCENTAGES)

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	9th		10th		11th		12th		
		S92	S91	S92	S91	S92	S91	S92	S91	
Cigarette	40.2	58.2	54.2	62.6	61.6	65.5	63.0	69.4	69.1	63.1
Smokeless tobacco	11.8	28.5	28.0	32.0	35.5	37.3	35.1	39.5	38.0	NC
Alcohol	48.2	72.8	74.8	78.7	81.4	82.9	83.5	87.0	88.1	88.0
Marijuana	14.8	18.6	15.9	22.4	26.2	28.5	29.4	31.0	34.2	36.7
Cocaine	2.6	3.2	2.5	3.9	5.3	4.1	6.0	6.0	6.9	7.8
Crack	1.0	1.8	1.2	2.1	3.1	1.7	2.4	3.4	1.9	3.1
Inhalants	7.8	14.1	12.3	13.5	16.7	15.7	14.5	14.8	14.6	17.6
Amphetamines	4.5	13.9	12.9	17.1	20.2	13.2	22.3	19.1	22.1	15.4
Tranquillizers	2.7	11.4	9.2	14.1	13.3	5.8	15.1	14.6	13.5	7.2
Narcotics	8.5	6.8	6.9	9.4	10.0	NC	11.3	10.1	12.0	6.6
Psychedelic	3.3	5.8	3.6	8.0	7.7	6.1	8.7	11.2	9.8	9.6
Heroin	.	2.0	1.0	1.9	2.0	1.2	1.9	2.4	1.4	0.9
Steroids	NC	2.7	2.2	3.0	3.0	1.8	2.9	3.6	2.3	2.1

NOTES: Asterisk denotes values less than 1.0%

<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse

S91 denotes state data, 1991

S92 denotes state data, 1992

NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)

NC denotes data that is not collected

NR denotes data that was not reported

**ANNUAL PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH STATE AND NATIONAL COMPARISONS  
(REPORTED FIGURES ARE PERCENTAGES)**

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	6th			7th			8th					
		S92	S91	NTL	S92	S91	NTL	S92	S91	NTL			
Cigarette	40.2	12.9	13.9	NC	22.6	20.9	NC	31.5	31.7	NC	41.8	39.1	NC
Smokeless tobacco	11.8	6.5	6.7	NC	10.2	6.5	NC	13.2	14.4	NC	22.8	20.1	NC
Alcohol	48.2	23.7	24.1	NC	28.7	32.0	NC	39.9	45.5	NC	57.2	55.2	54.0
Marijuana	14.8	.	.	NC	2.2	1.4	NC	4.8	4.0	NC	10.5	10.5	6.2
Cocaine	2.8	.	.	NC	.	.	NC	.	1.2	NC	1.9	1.9	1.1
Crack	1.0	.	.	NC	.	.	NC	.	1.0	NC	1.5	1.9	0.7
Inhalants	7.8	5.7	5.1	NC	6.6	7.9	NC	8.4	8.6	NC	13.7	10.7	9.0
Amphetamines	4.5	.	.	NC	1.0	1.1	NC	4.4	4.5	NC	10.4	9.1	6.2
Tranquilizers	2.7	3.0	2.4	NC	4.0	2.8	NC	6.5	6.7	NC	11.2	7.9	1.8
Narcotics	6.5	1.3	1.2	NC	1.2	1.5	NC	2.9	3.8	NC	5.2	4.8	NC
Psychedelic	3.3	.	NR	NC	.	NR	NC	1.9	NR	NC	3.7	NR	1.9
Heroin	.	.	NR	NC	.	NR	NC	1.0	NR	NC	1.4	NR	0.7
Steroids	NC	1.3	NR	NC	1.9	NR	NC	2.2	NR	NC	2.6	NR	1.0

**NOTES:** Asterisk denotes values less than 1.0%  
<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse  
 S91 denotes state data, 1991  
 S92 denotes state data, 1992  
 NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)  
 NC denotes data that is not collected  
 NR denotes data that was not reported

**ANNUAL PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH PAST STATE AND NATIONAL COMPARISONS**  
(REPORTED FIGURES ARE PERCENTAGES)

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	9th				10th				11th				12th	
		S92	S91	NTL	S92	S91	NTL	S92	S91	NTL	S92	S91	NTL	S92	S91
Cigarette	40.2	45.9	39.4	NC	48.7	47.8	NC	51.3	48.3	NC	54.3	69.1	NC		
Smokeless tobacco	11.8	25.1	23.3	NC	27.1	27.3	NC	28.1	26.5	NC	30.8	38.0	NC		
Alcohol	48.2	65.2	67.1	NC	71.8	73.7	72.3	73.4	76.5	NC	78.1	88.1	77.7		
Marijuana	14.8	15.5	14.3	NC	19.7	22.9	16.5	24.9	25.1	NC	23.7	34.2	23.9		
Cocaine	2.6	3.1	2.5	NC	3.5	4.3	2.2	4.3	4.8	NC	4.8	6.9	3.5		
Crack	1.0	1.8	1.5	NC	1.9	2.8	0.9	2.1	2.1	NC	2.7	1.9	1.5		
Inhalante	7.8	10.6	9.4	NC	9.2	12.6	7.1	10.1	9.8	NC	7.9	14.6	6.6		
Amphetamines	4.5	13.2	11.6	NC	15.0	17.4	8.2	16.8	16.5	NC	14.5	22.1	8.2		
Tranquillizers	2.7	10.2	8.0	NC	12.2	11.7	3.2	12.0	10.3	NC	11.0	13.5	3.6		
Narcotics	6.5	8.0	5.2	NC	7.6	8.1	NC	8.7	8.4	NC	6.7	12.0	3.5		
Psychodelia	3.3	5.1	NR	NC	7.8	NR	4.0	9.7	NR	NC	9.3	9.8	5.8		
Heroin	.	1.9	NR	NC	1.8	NR	0.5	1.8	NR	NC	2.3	1.4	0.4		
Steroids	NC	2.3	NR	NC	2.8	NR	1.1	2.9	NR	NC	2.6	2.3	1.4		

**NOTES:** Asterisk denotes values less than 1.0%  
<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse  
 S91 denotes state data, 1991  
 S92 denotes state data, 1992  
 NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)  
 NC denotes data that is not collected  
 NR denotes data that was not reported

**MONTHLY PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
INDIANA WITH PAST STATE AND NATIONAL COMPARISONS  
(REPORTED FIGURES ARE PERCENTAGES)**

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	5th				6th				7th				8th			
		S92	S91	NTL	NC	S92	S91	NTL	NC	S92	S91	NTL	NC	S92	S91	NTL	NC
Cigarette	40.2	6.5	6.8	NC	NC	12.9	10.7	NC	NC	16.9	16.8	NC	NC	24.8	22.0	14.3	NC
Smokeless tobacco	11.8	3.9	4.1	NC	NC	5.9	4.1	NC	NC	7.9	9.7	NC	NC	15.6	13.7	6.8	NC
Alcohol	48.2	10.4	12.6	NC	NC	18.0	18.6	NC	NC	22.9	25.9	NC	NC	35.1	33.6	25.1	NC
Marijuana	14.8	.	.	NC	NC	1.7	.	NC	NC	3.3	2.6	NC	NC	6.7	6.5	3.2	NC
Cocaine	2.8	.	.	NC	NC	.	.	NC	NC	.	1.1	NC	NC	1.2	1.6	0.5	NC
Crack	1.0	.	.	NC	NC	.	.	NC	NC	.	1.0	NC	NC	1.1	1.4	0.3	NC
Inhalants	7.8	3.6	3.7	NC	NC	4.3	5.0	NC	NC	5.5	5.3	NC	NC	7.4	6.0	4.4	NC
Amphetamines	4.5	.	.	NC	NC	1.0	.	NC	NC	3.0	3.5	NC	NC	6.6	5.8	2.8	NC
Tranquilizers	2.7	1.4	1.4	NC	NC	2.4	1.7	NC	NC	3.7	4.3	NC	NC	7.0	4.6	0.8	NC
Narcotics	6.5	.	.	NC	NC	.	1.0	NC	NC	1.8	2.2	NC	NC	3.3	2.9	NC	NC
Psychodelia	3.3	.	.	NC	NC	.	.	NC	NC	1.4	1.2	NC	NC	2.2	1.9	0.8	NC
Heroin	.	.	.	NC	NC	.	.	NC	NC	.	.	NC	NC	.	1.3	0.3	NC
Steroids	NC	.	.	NC	NC	1.3	1.0	NC	NC	1.7	1.2	NC	NC	1.7	1.8	0.4	NC

**NOTES:** Asterisk denotes values less than 1.0%  
<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse  
 S91 denotes state data, 1991  
 S92 denotes state data, 1992  
 NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)  
 NC denotes data that is not collected  
 NR denotes data that was not reported

**MONTHLY PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH PAST STATE AND NATIONAL COMPARISONS  
(REPORTED FIGURES ARE PERCENTAGES)**

**GRADE**

DRUG	NATIONAL COMPARISON AGES 12-17 <sup>1</sup>	GRADE												
		8th		10th		11th		12th		S91		S92		NTL
Cigarette	40.2	28.4	22.6	31.0	31.0	20.8	34.9	29.9	NC	36.2	34.6	28.3	NC	NC
Smokeless tobacco	11.8	16.1	14.4	18.1	18.1	10.0	19.5	18.9	NC	21.7	19.4	NC	NC	NC
Alcohol	48.2	41.8	43.7	50.7	50.7	42.8	50.2	53.7	NC	56.1	59.7	54.0	NC	NC
Marijuana	14.8	9.6	8.3	13.4	13.4	8.7	14.7	14.4	NC	14.4	15.6	13.8	NC	NC
Cocaine	2.6	1.9	1.3	2.4	2.4	0.7	2.4	2.4	NC	3.1	2.1	1.4	NC	NC
Crack	1.0	1.5	1.0	1.7	1.7	0.3	1.5	1.4	NC	2.0	•	0.7	NC	NC
Inhalants	7.8	5.2	5.2	4.8	6.5	2.7	4.5	4.7	NC	3.9	3.6	2.4	NC	NC
Amphetamines	4.5	7.5	7.0	9.8	9.8	3.3	8.9	10.0	NC	7.5	9.1	3.2	NC	NC
Tranquilizers	2.7	5.8	4.0	6.0	6.0	1.2	6.0	5.1	NC	5.3	4.8	1.4	NC	NC
Narcotics	6.5	3.4	3.1	4.0	4.0	NC	3.8	4.4	NC	3.2	3.9	0.1	NC	NC
Psychodelic	3.3	3.3	2.2	4.7	4.1	1.6	5.7	3.7	NC	5.6	4.2	2.2	NC	NC
Heroin	•	1.3	1.0	1.4	1.4	0.2	1.4	1.2	NC	1.8	•	0.2	NC	NC
Steroids	NC	1.6	1.3	1.8	1.8	0.6	1.9	1.6	NC	2.1	1.2	0.8	NC	NC

**NOTES:** Asterisk denotes values less than 1.0%  
<sup>1</sup> National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse  
 S91 denotes state data, 1991  
 S92 denotes state data, 1992  
 NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)  
 NC denotes data that is not collected  
 NR denotes data that was not reported

T





**DAILY AND SPECIAL PREVALENCE OF ALCOHOL AND OTHER DRUG USE AMONG INDIANA STUDENTS  
WITH PAST STATE AND NATIONAL COMPARISONS**  
(REPORTED FIGURES ARE PERCENTAGES)

**GRADE**

DRUG	9th			10th			11th			12th		
	S92	S91	NTL	S92	S91	NTL	S92	S91	NTL	S92	S91	NTL
Cigarettes-Any Daily	17.2	13.6	NC	20.1	18.7	12.6	22.6	19.3	NC	22.8	22.7	18.5
Cigarettes-1/2 Pack Or More Daily	11.4	9.0	NC	13.4	12.2	6.5	15.7	13.8	NC	16.0	16.3	10.7
Alcohol-Daily	3.5	3.9	NC	4.4	5.2	1.3	5.4	5.8	NC	6.2	7.1	3.6
Alcohol-Binge Drinking	24.8	25.1	NC	29.2	30.6	22.9	31.7	34.1	NC	37.6	38.7	29.8
Smokeless Tobacco-Daily	5.4	5.0	NC	7.9	7.6	NC	9.3	6.8	NC	10.4	9.6	NC
Marijuana-Daily	1.9	1.8	NC	2.3	3.5	0.8	4.0	3.1	NC	3.9	4.3	2.0

**NOTES:** Asterisk denotes values less than 1.0%

\* National Institute on Drug Abuse, 1990 National Household Survey on Drug Abuse

S91 denotes state data, 1991

S92 denotes state data, 1992

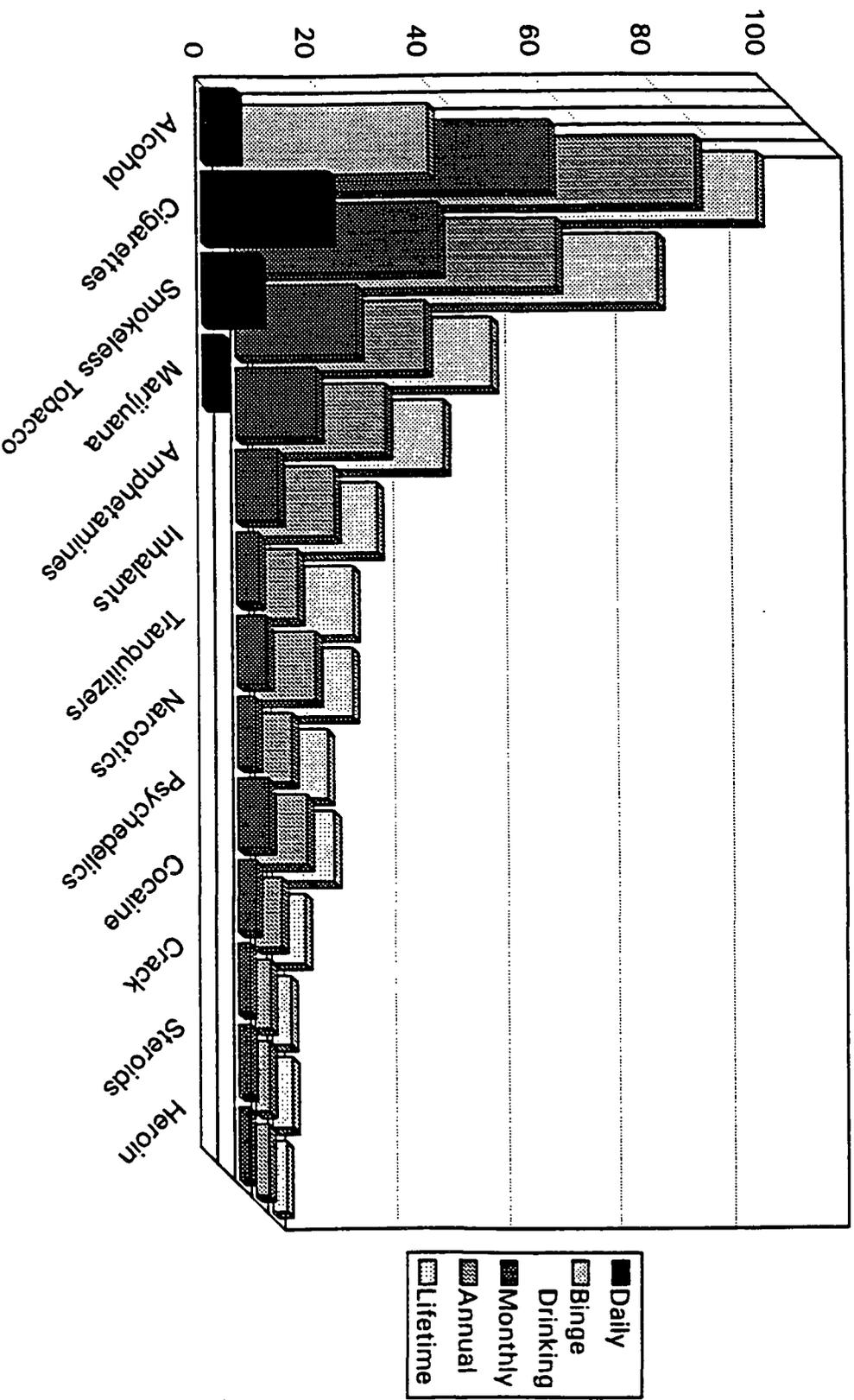
NTL denotes national data, National High School Senior Survey, Alcohol and Other Drug Use, Class of 1991 (Mimeograph)

NC denotes data that is not collected

NR denotes data that was not reported

# PREVALENCE OF DRUG USE

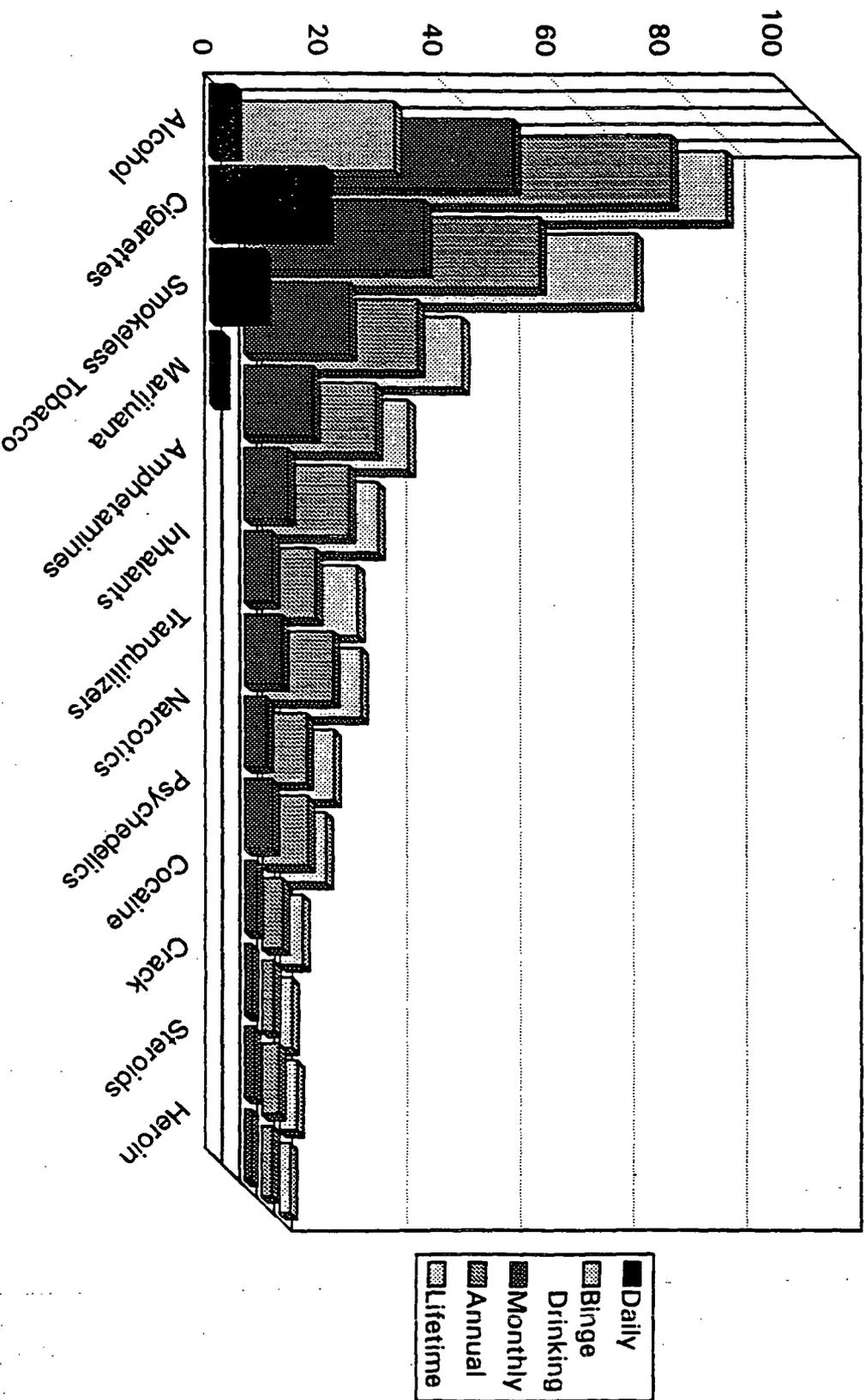
By Indiana High School Seniors - 1992



Source: Indiana Prevention Resource Center, 1992

# PREVALENCE OF DRUG USE

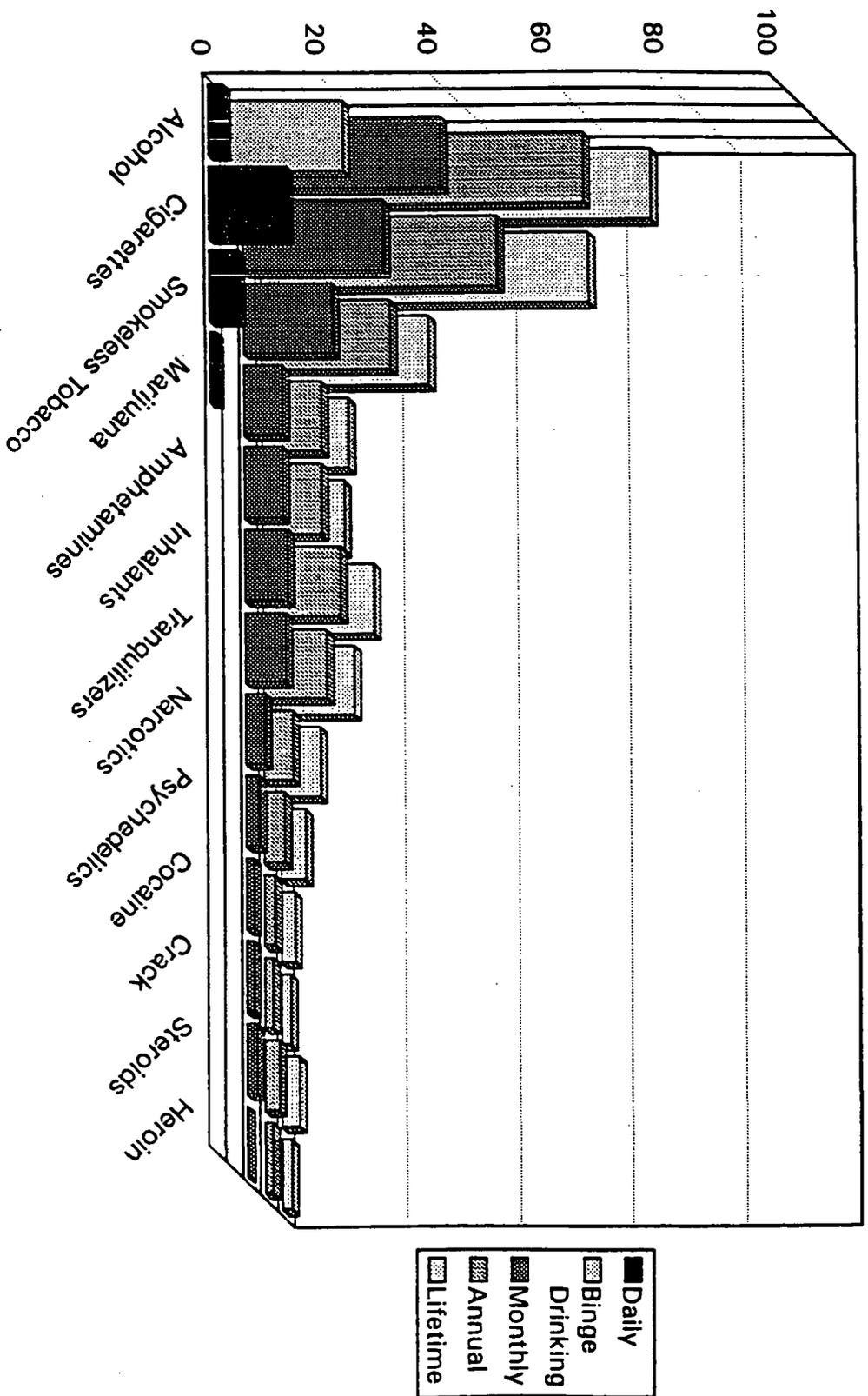
By Indiana 10th Graders - 1992



Source: Indiana Prevention Resource Center, 1992

# PREVALENCE OF DRUG USE

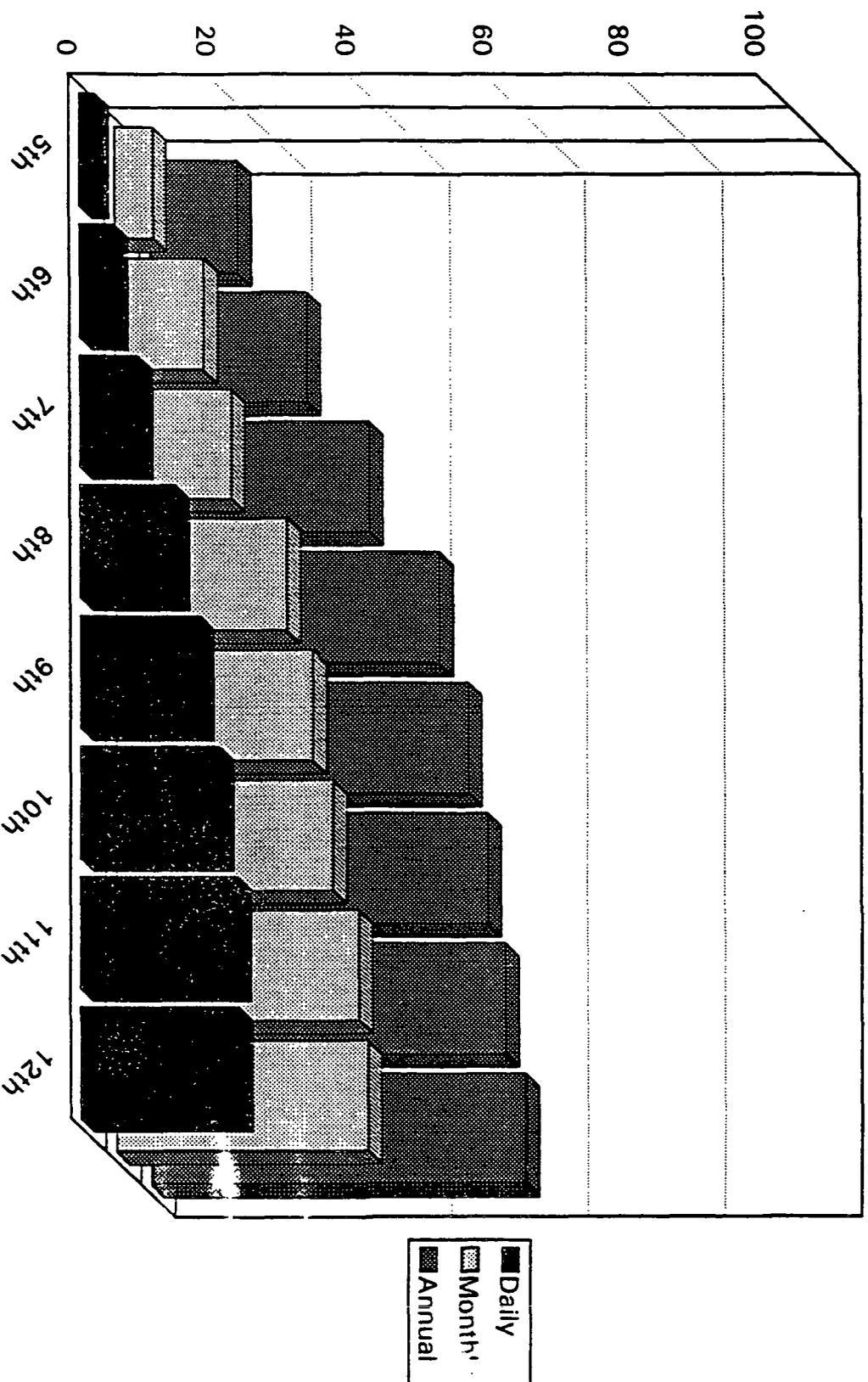
By Indiana 8th Graders - 1992



Source: Indiana Prevention Resource Center, 1992

# CIGARETTE USE BY GRADE

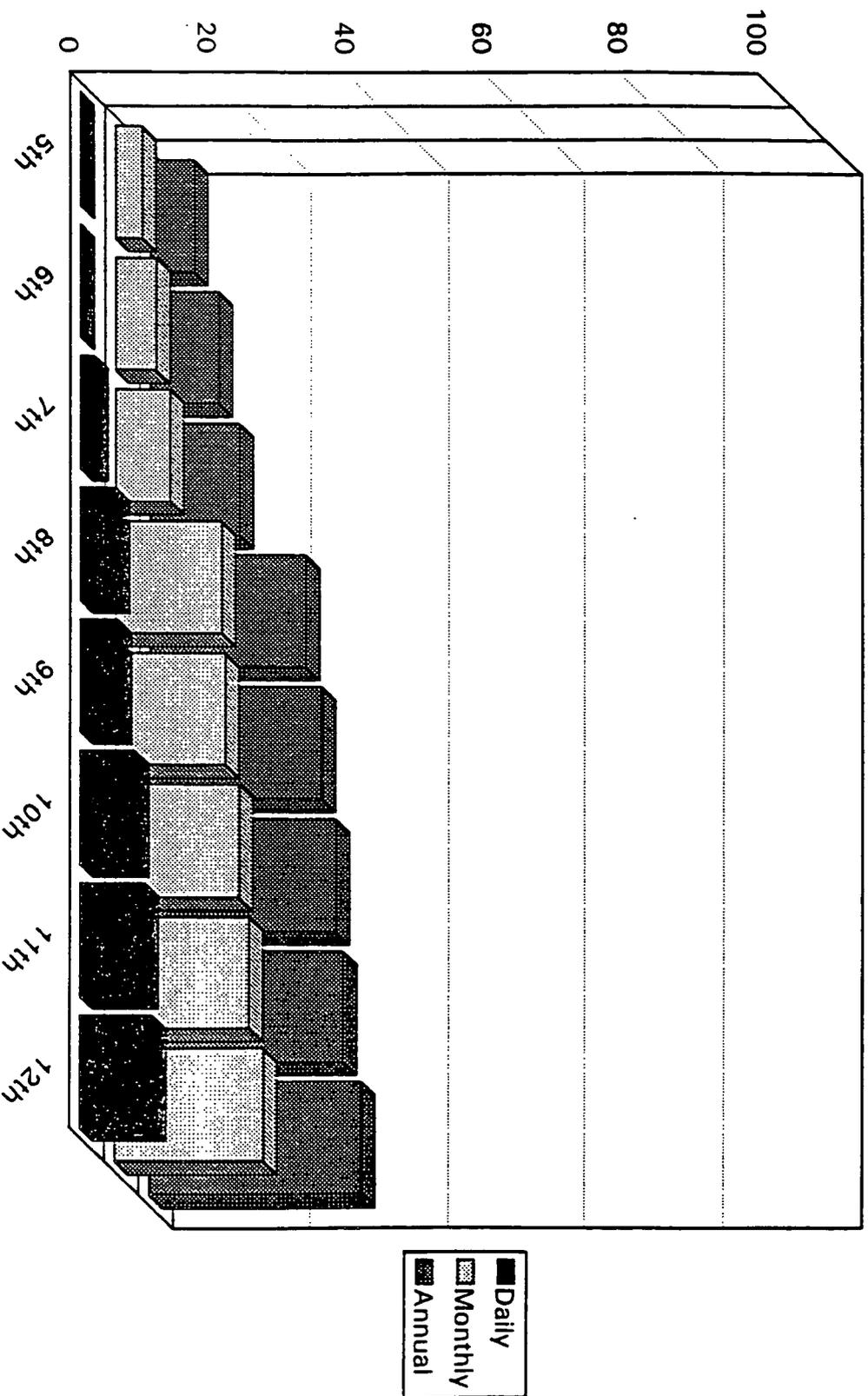
Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# SMOKELESS TOBACCO USE BY GRADE

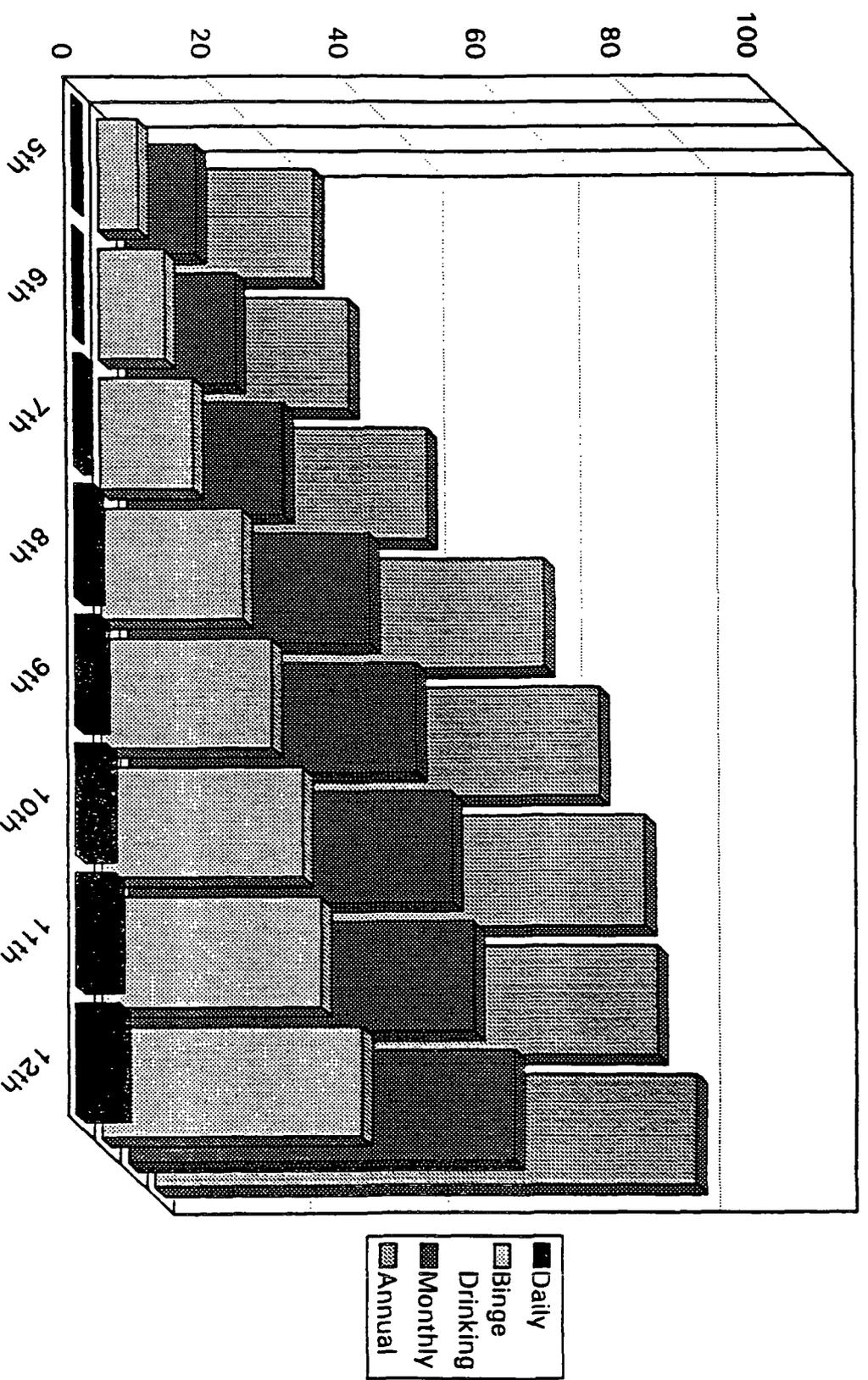
## Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# ALCOHOL USE BY GRADE

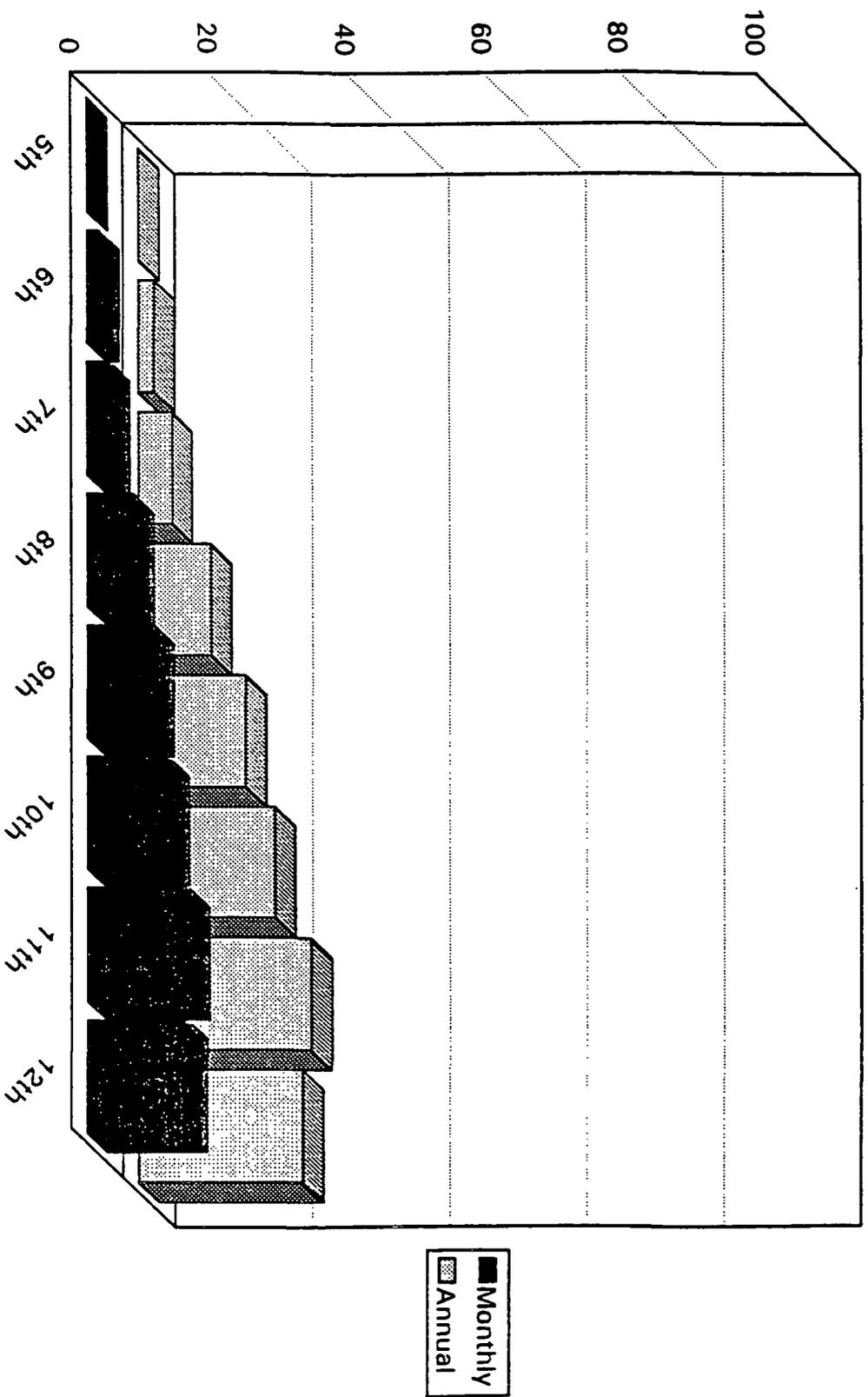
## Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# MARIJUANA USE BY GRADE

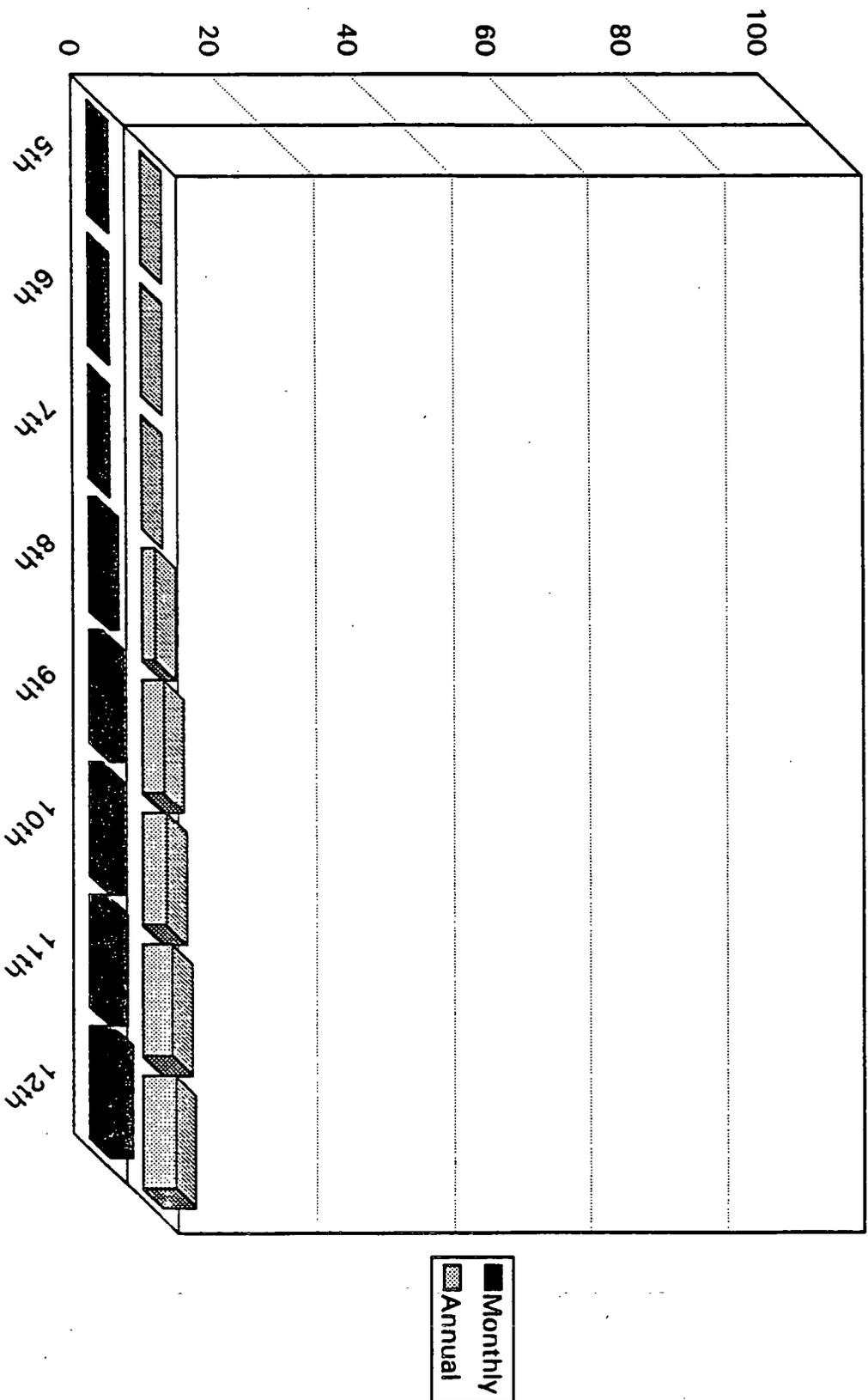
Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# COCAINE USE BY GRADE

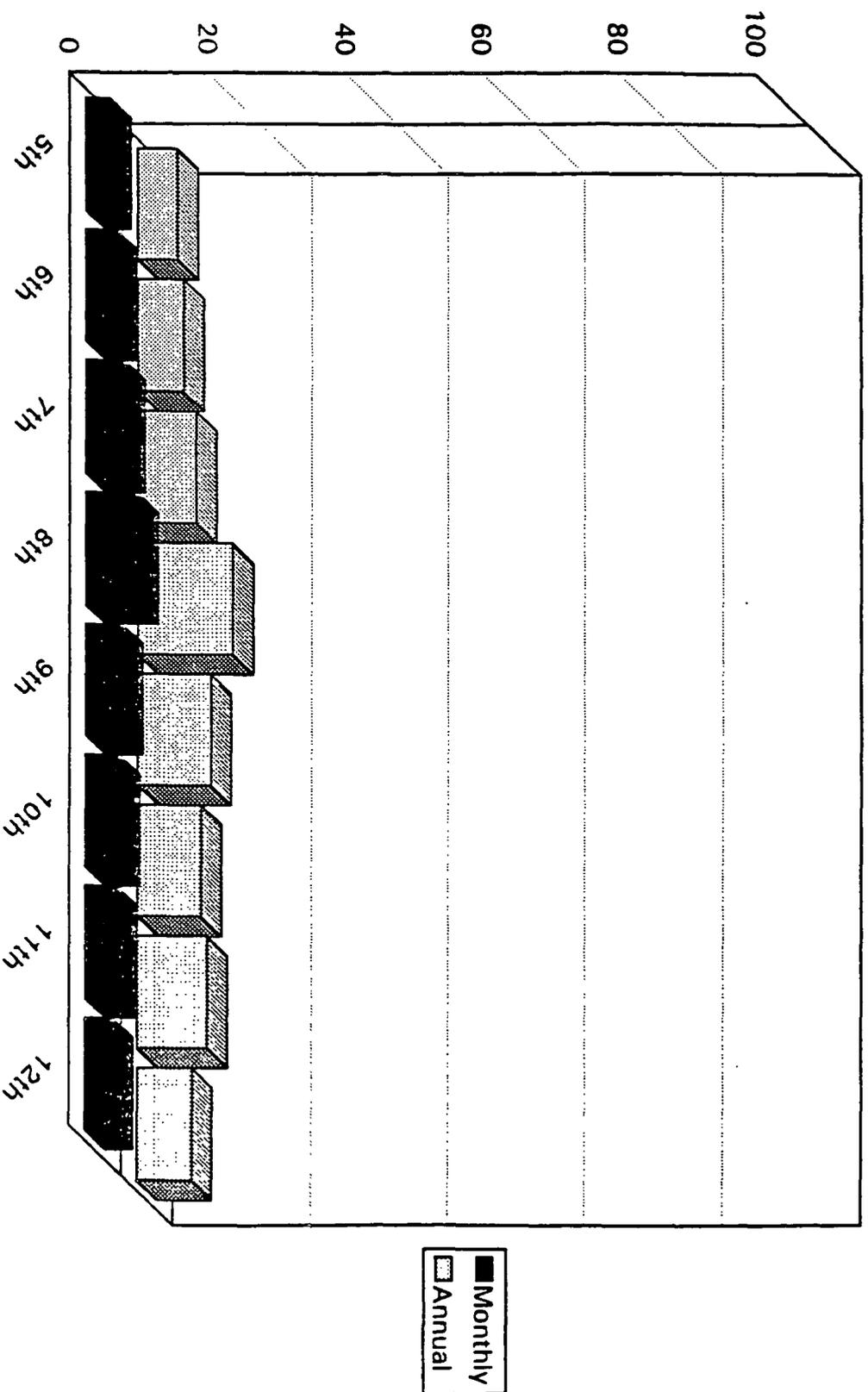
Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# INHALANT USE BY GRADE

Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# AMPHETAMINE USE BY GRADE

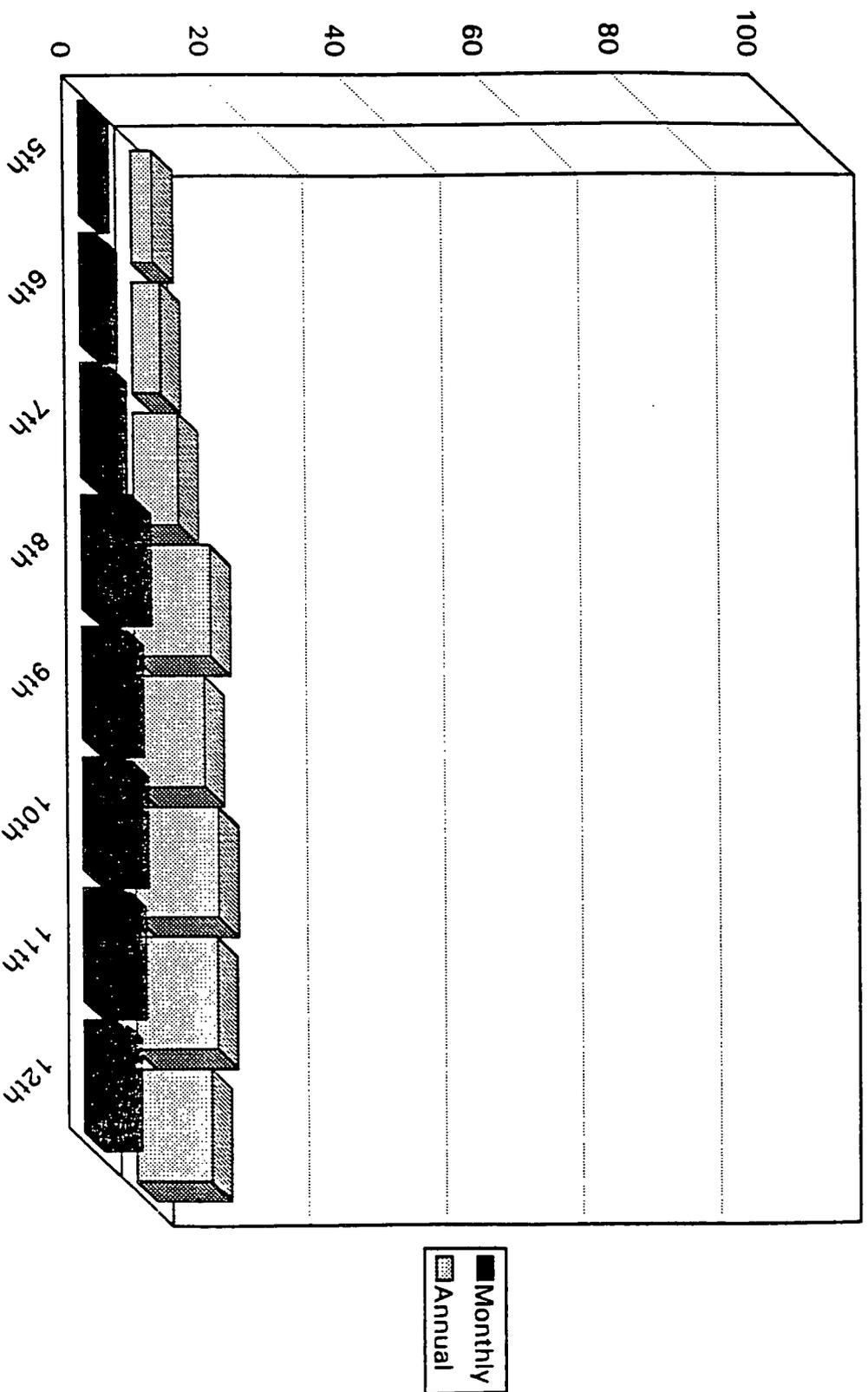
## Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# TRANQUILIZER USE BY GRADE

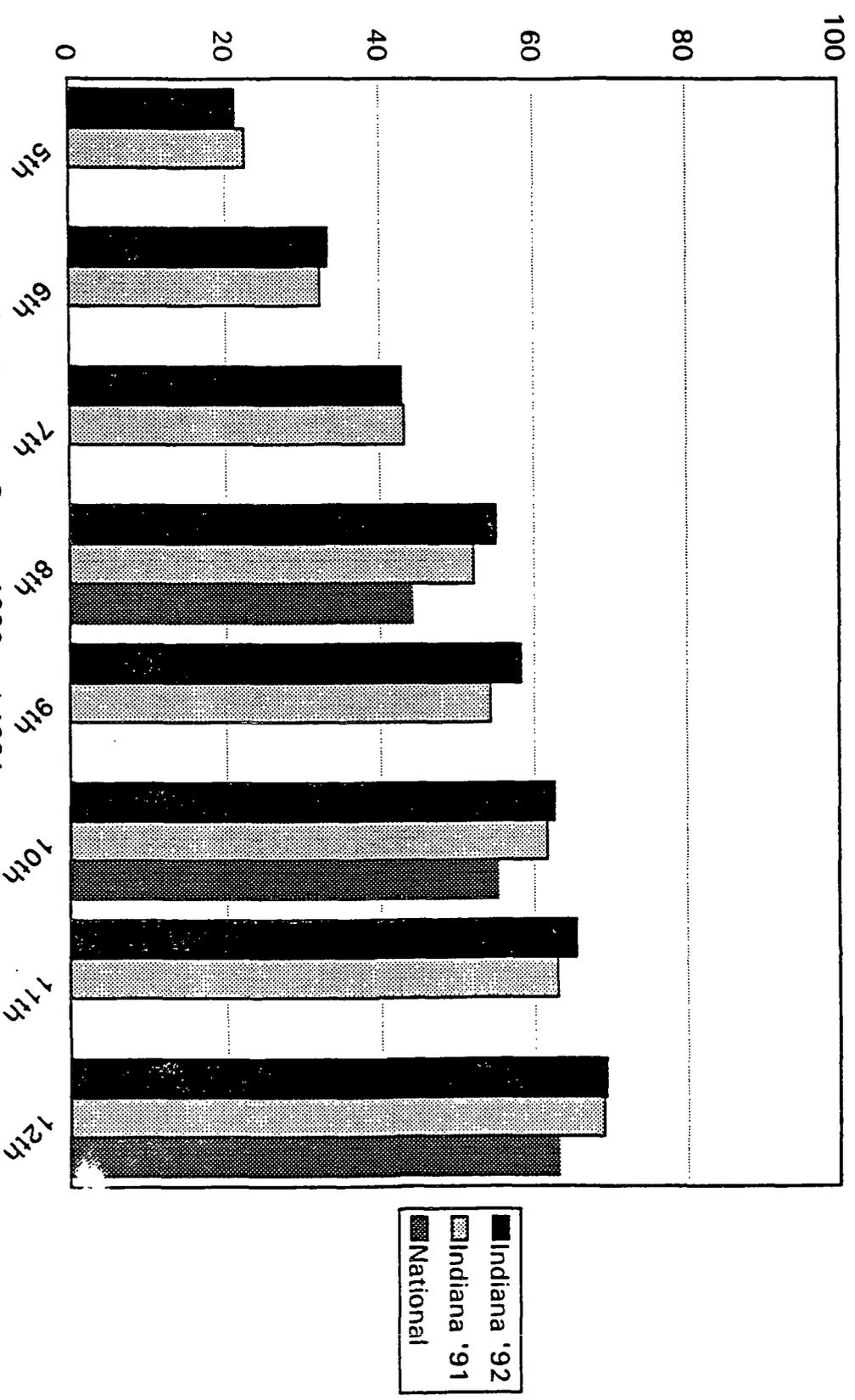
## Indiana Students Grades 5 through 12 - 1992



Source: Indiana Prevention Resource Center, 1992

# LIFETIME CIGARETTE USE

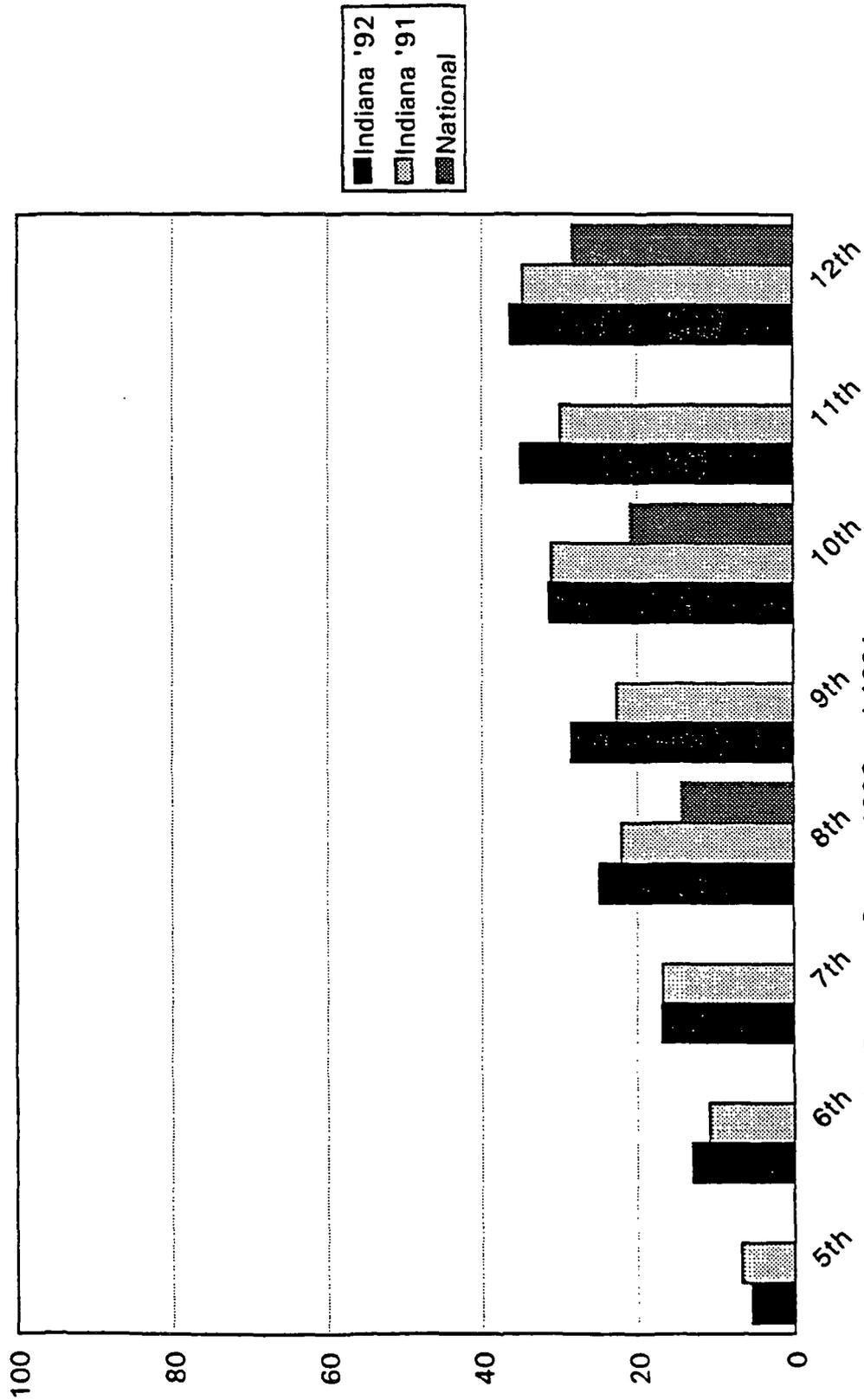
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY CIGARETTE USE

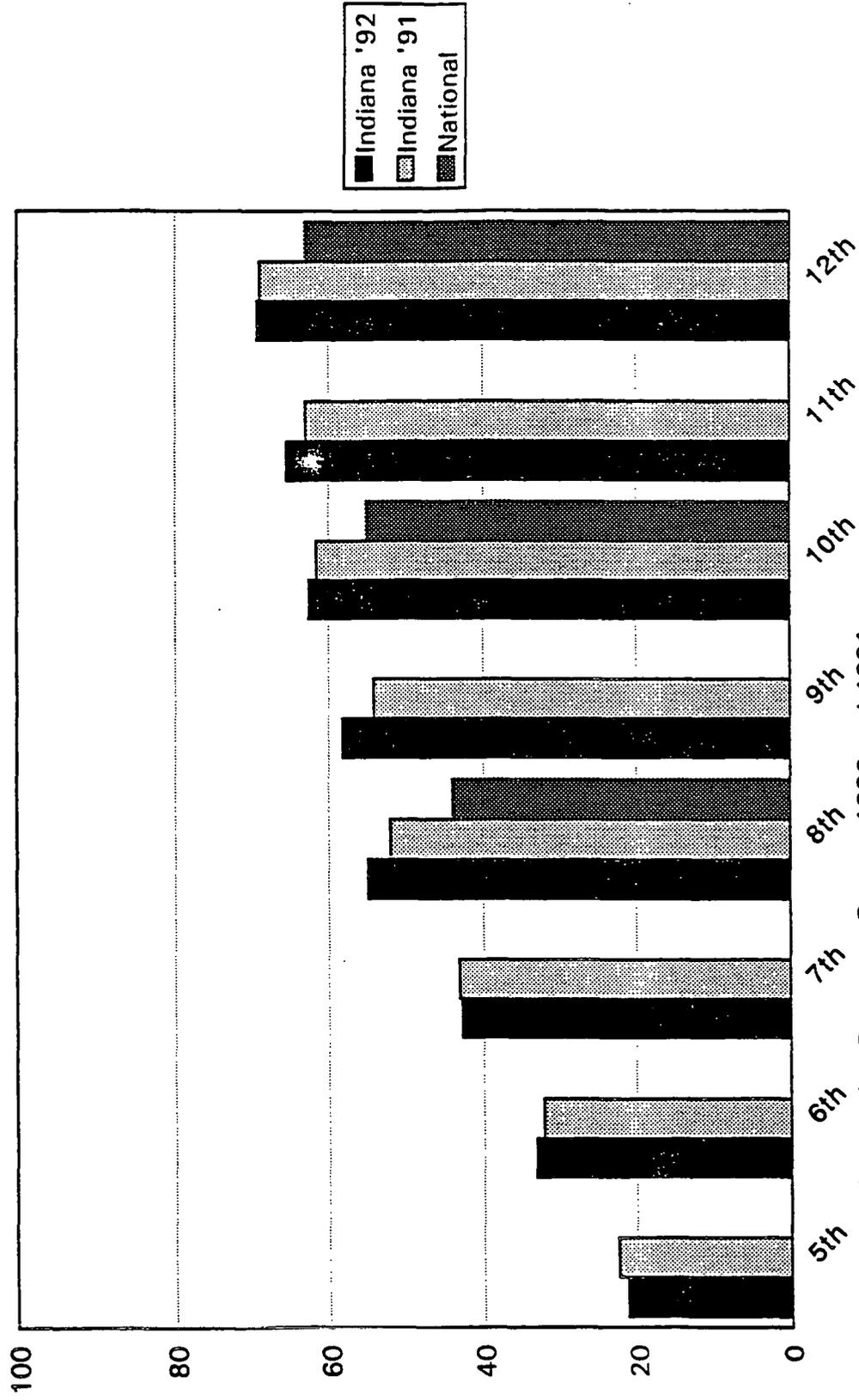
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME SMOKELESS TOBACCO USE

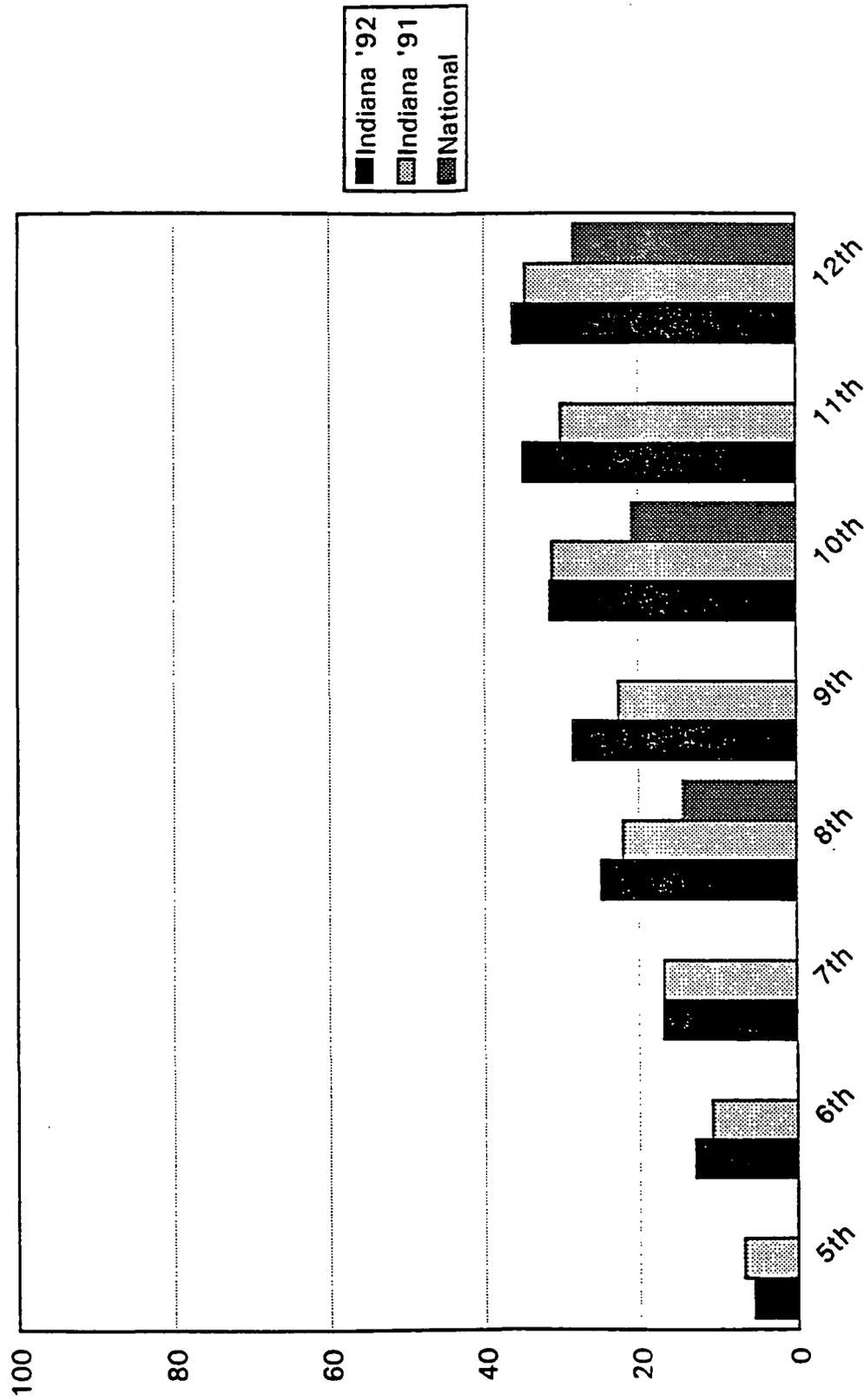
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY SMOKELESS TOBACCO USE

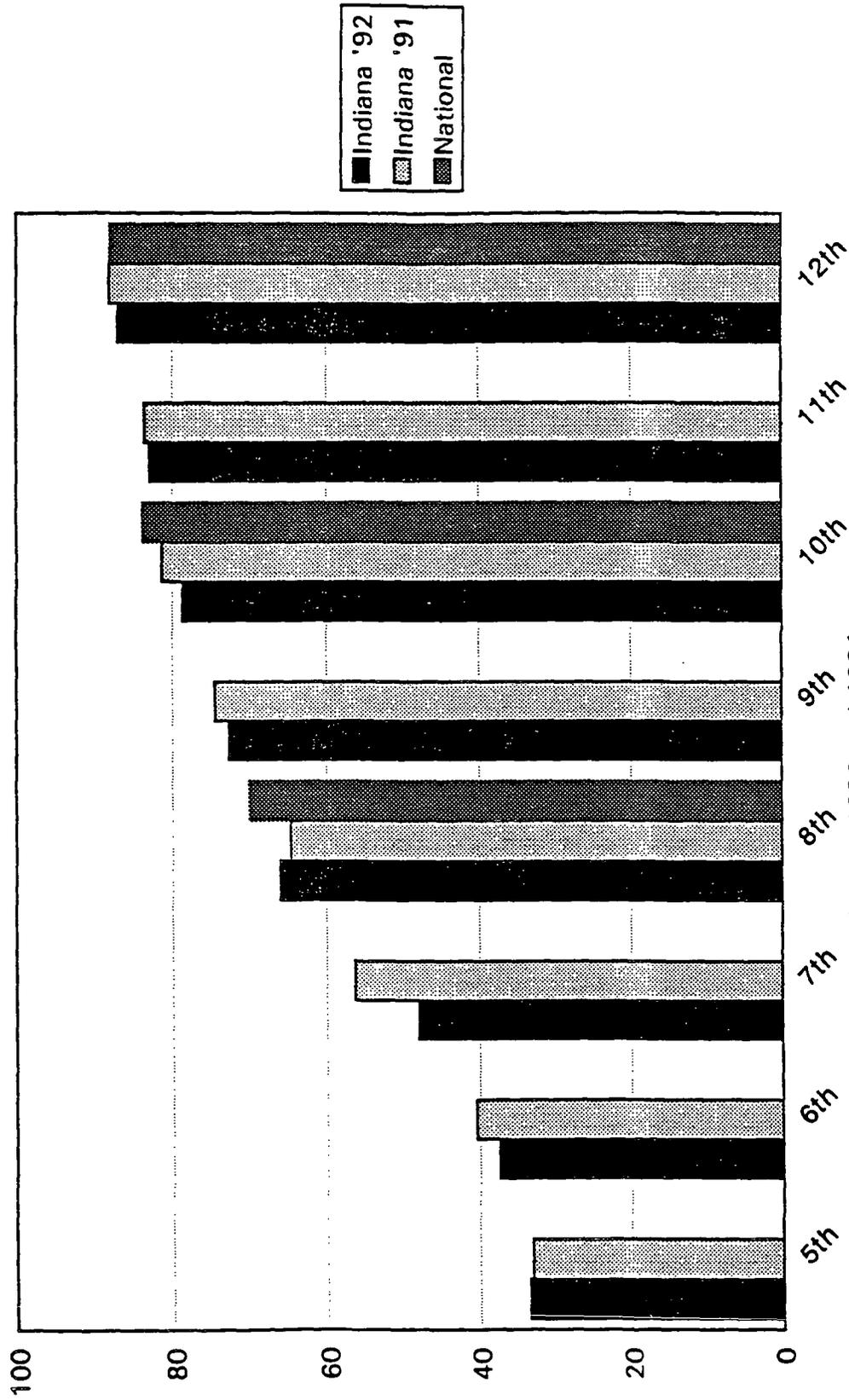
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME ALCOHOL USE

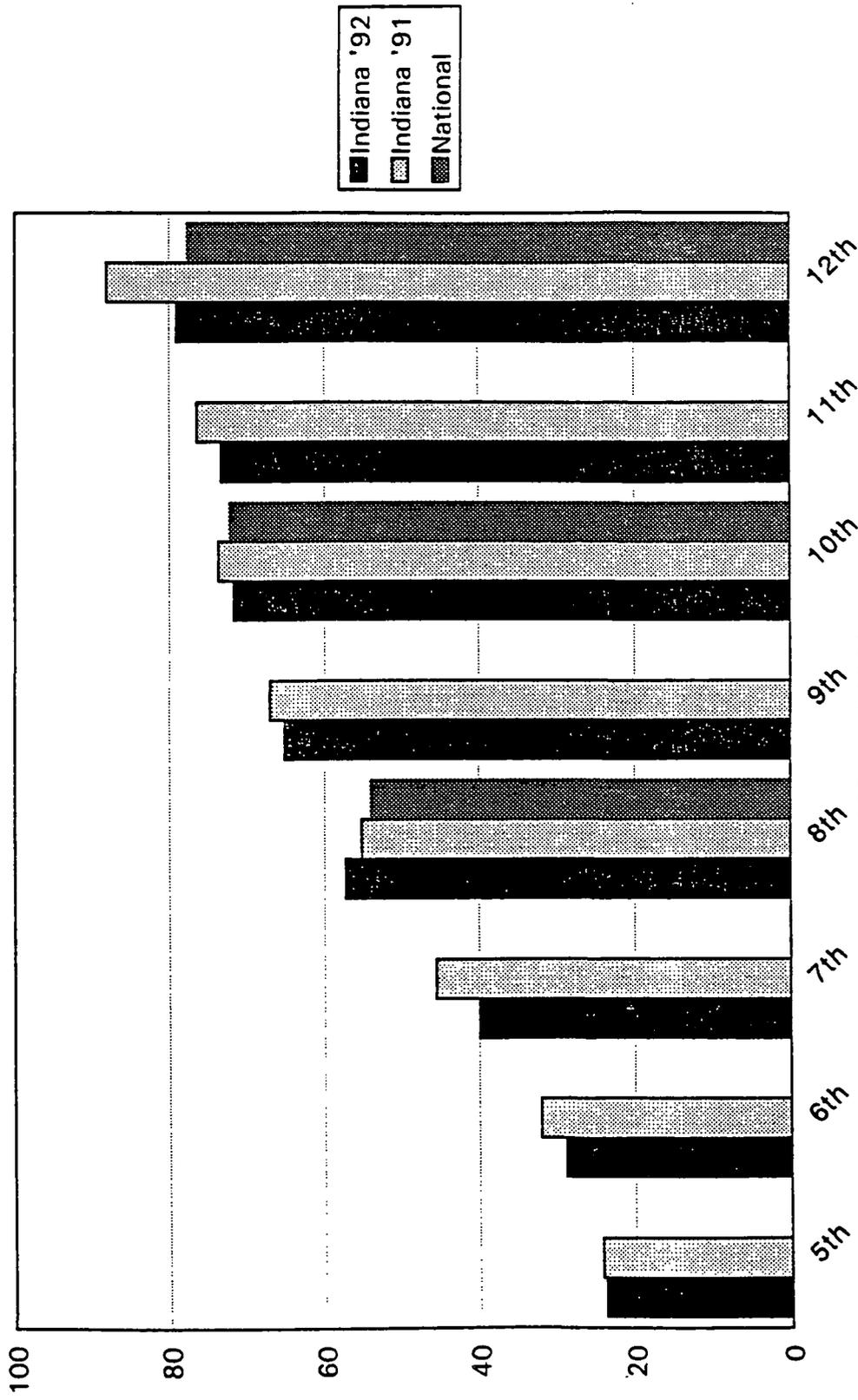
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL ALCOHOL USE

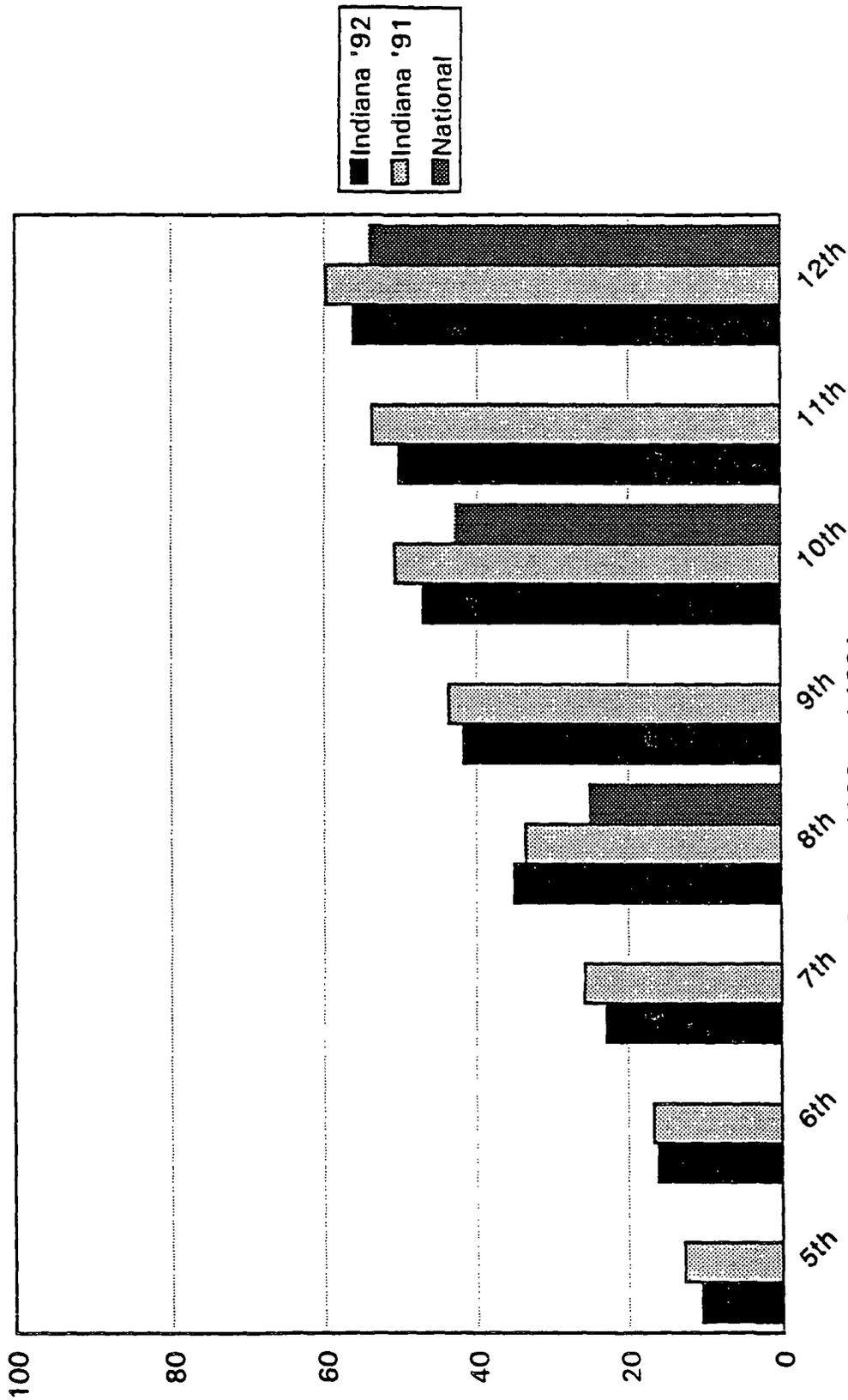
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY ALCOHOL USE

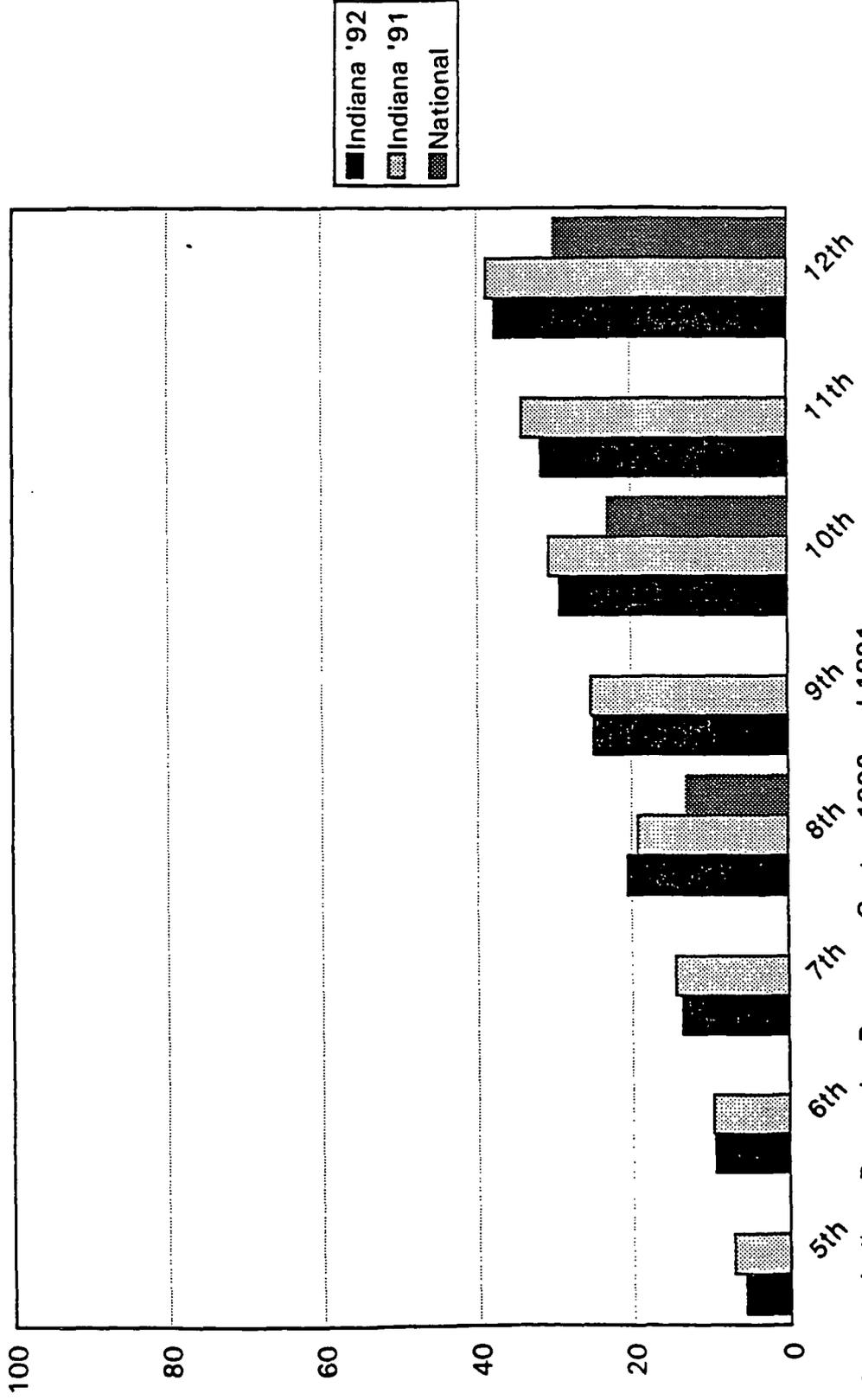
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# BINGE DRINKING

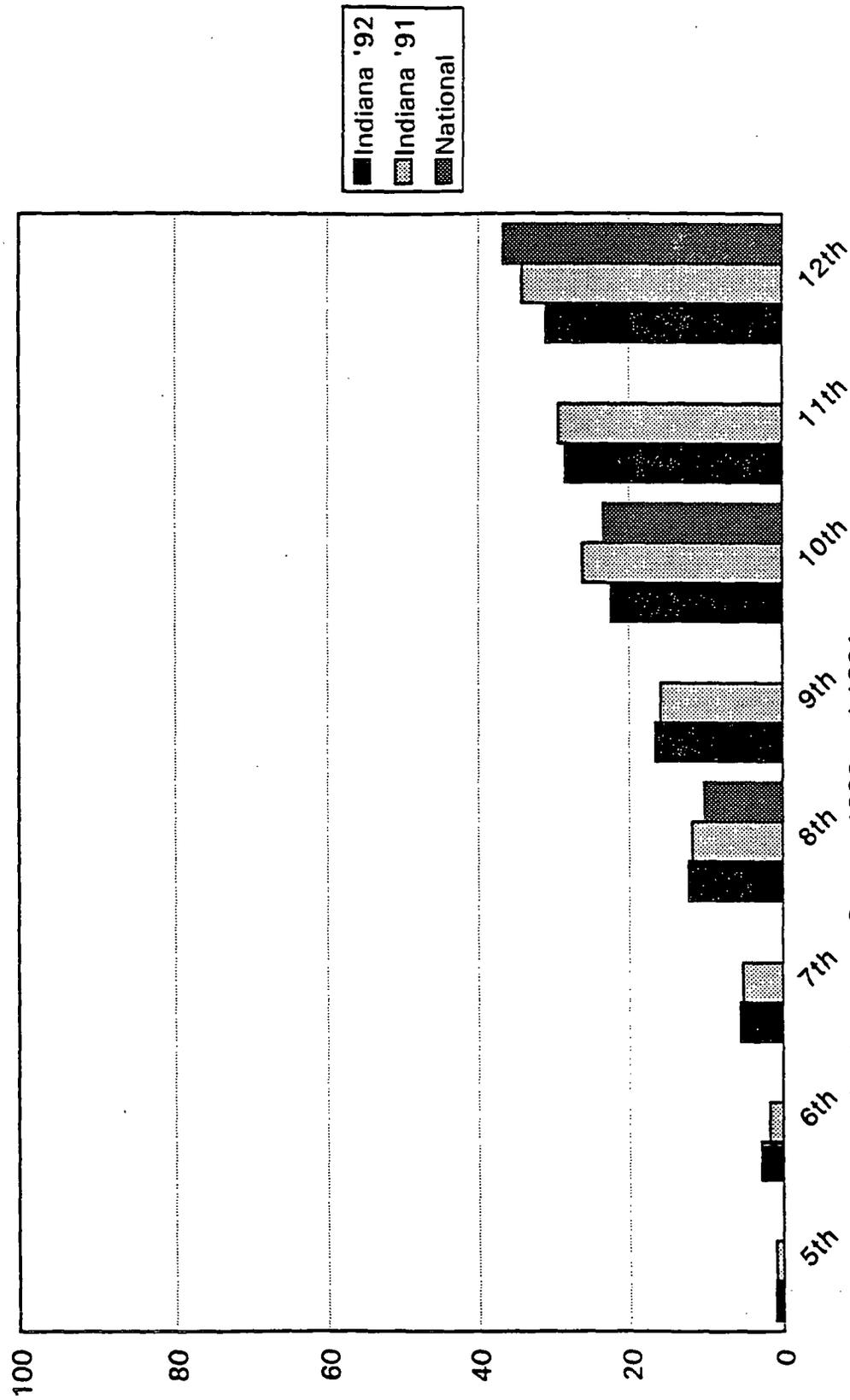
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME MARIJUANA USE

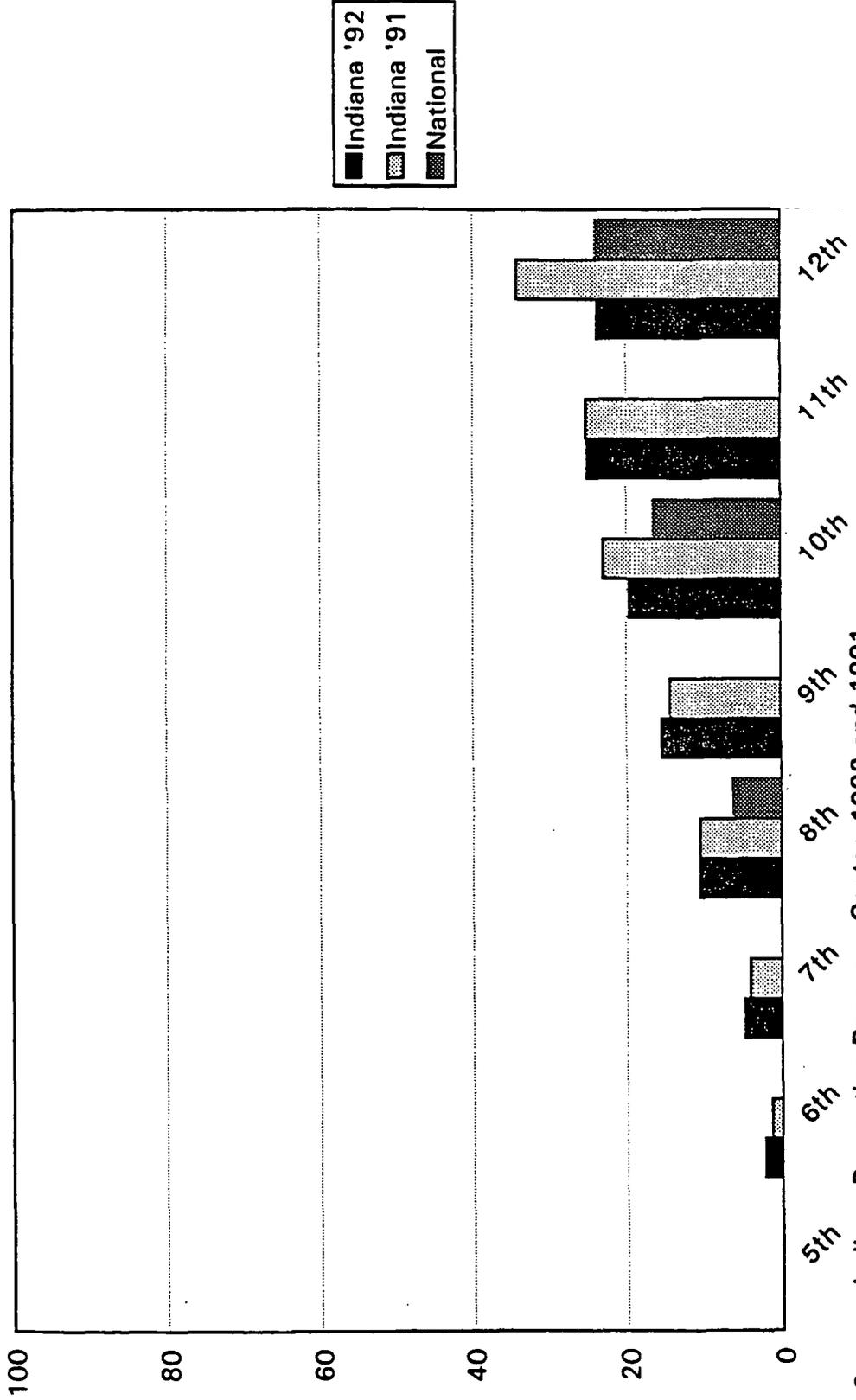
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL MARIJUANA USE

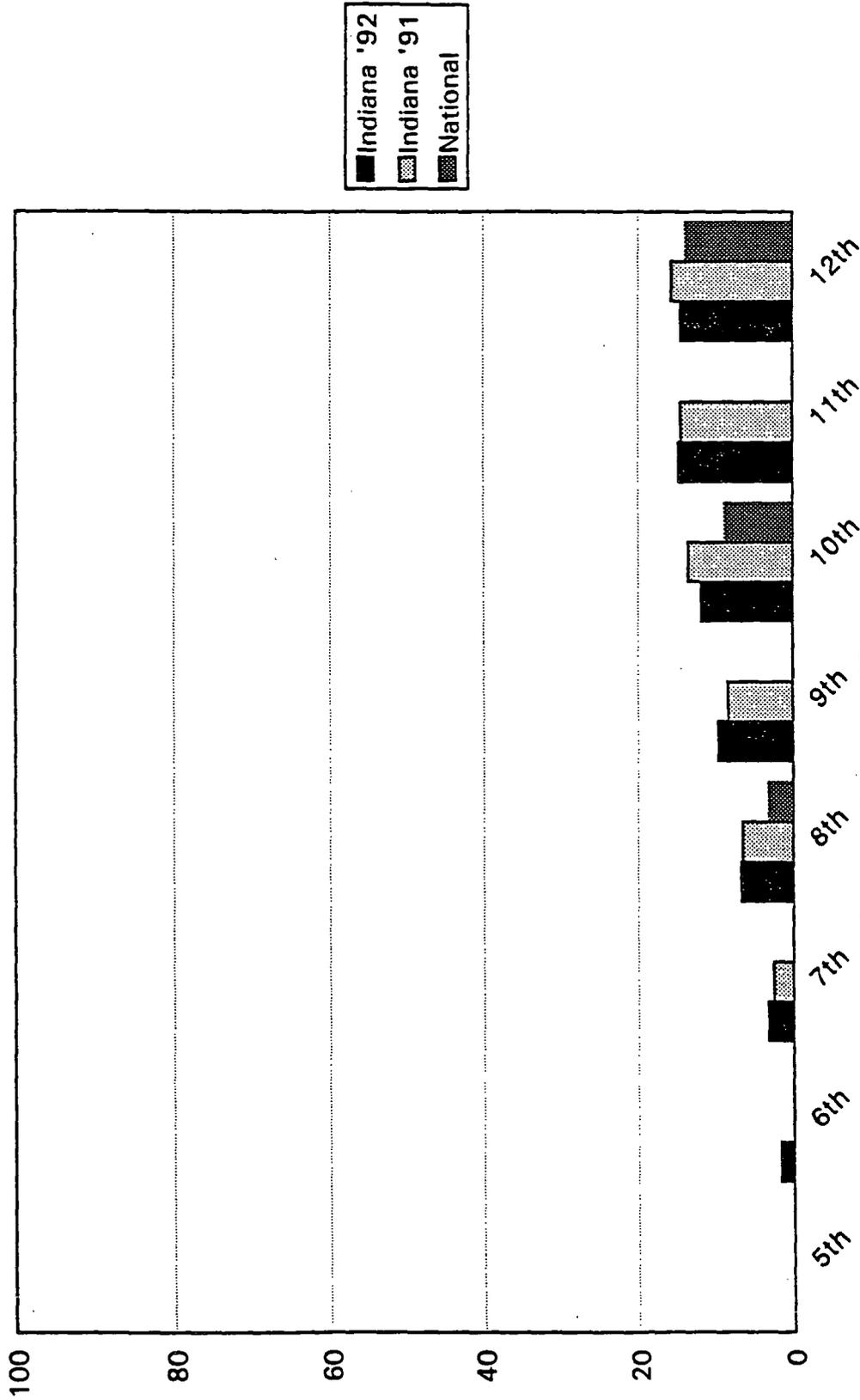
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY MARIJUANA USE

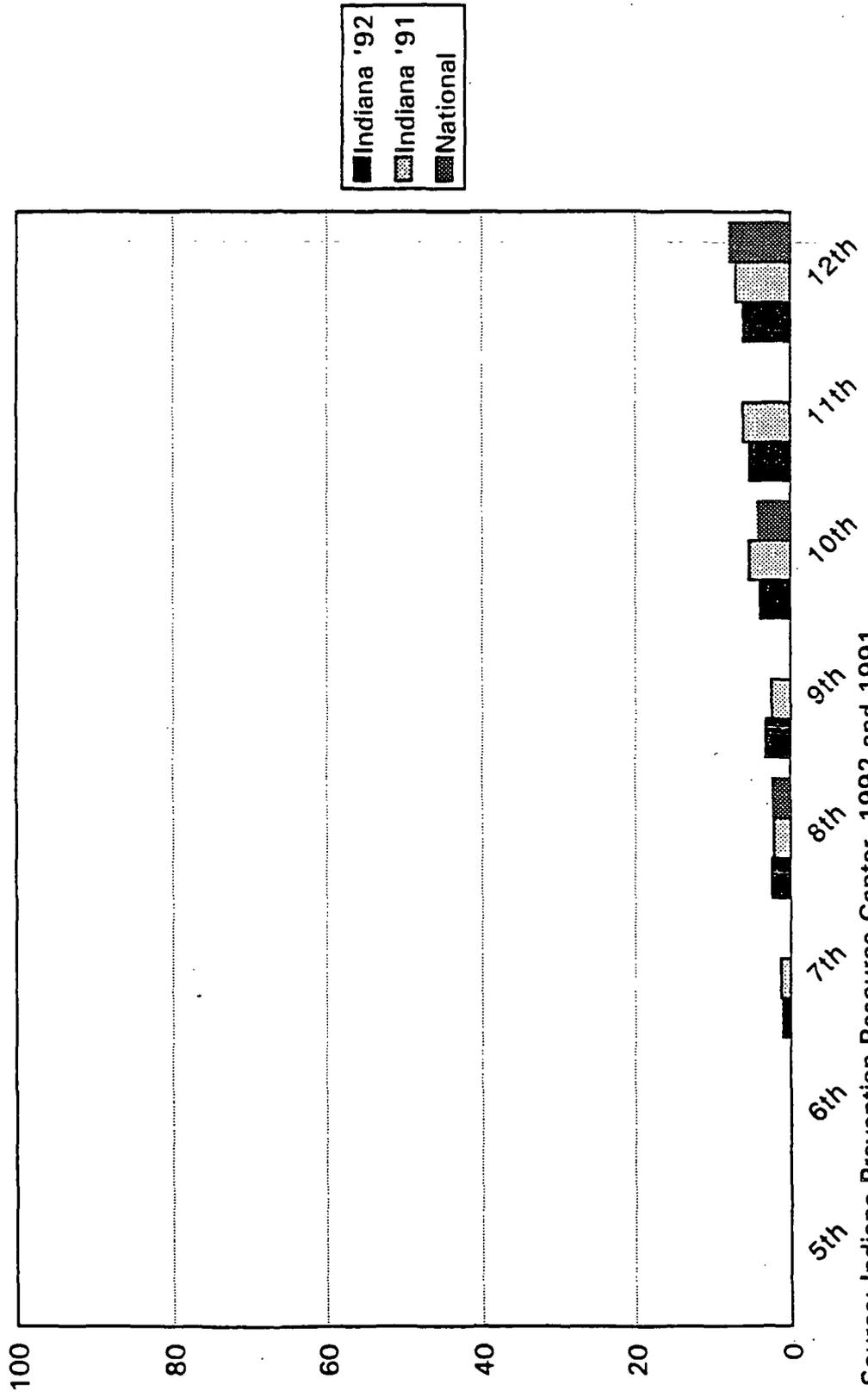
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME COCAINE USE

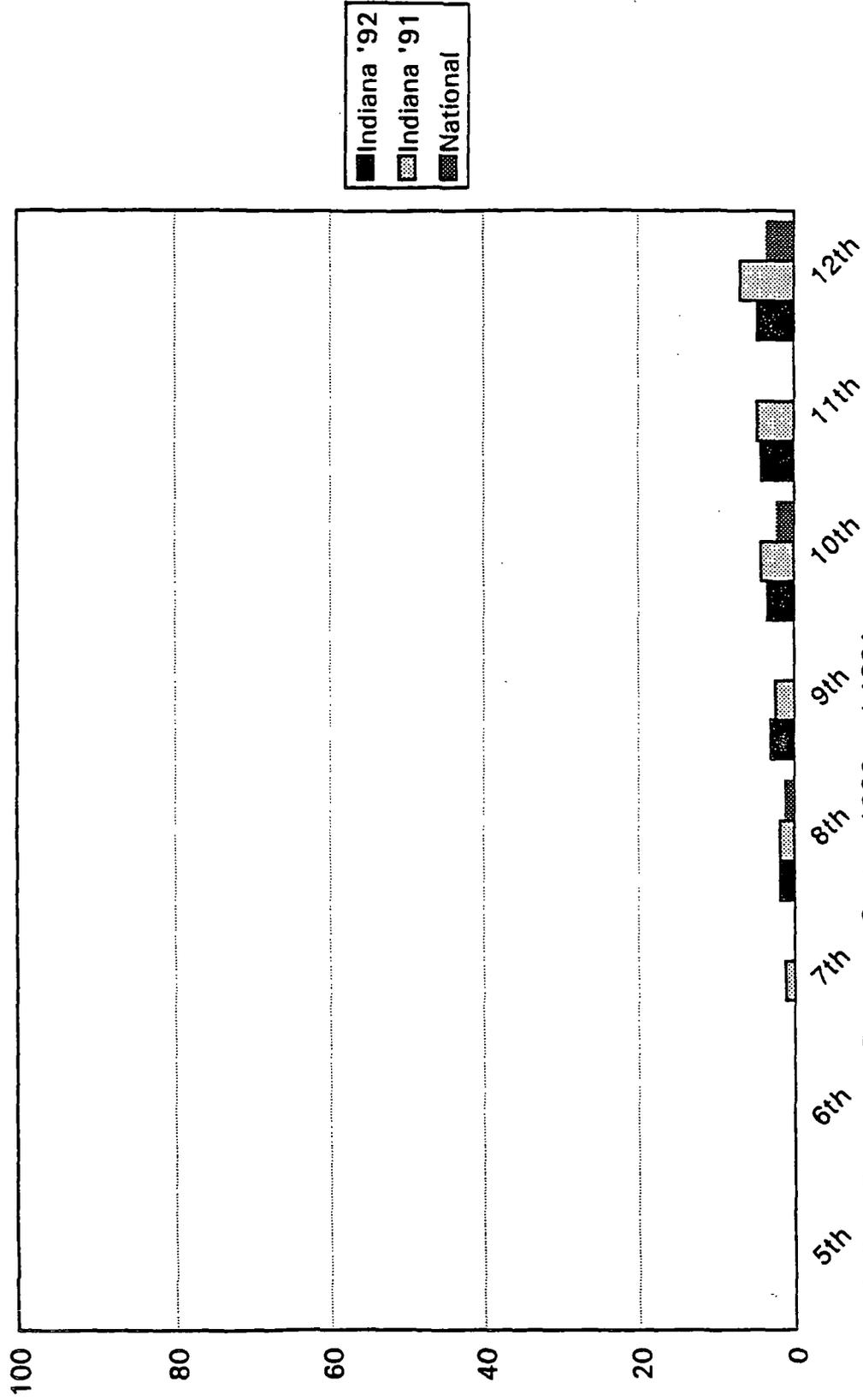
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL COCAINE USE

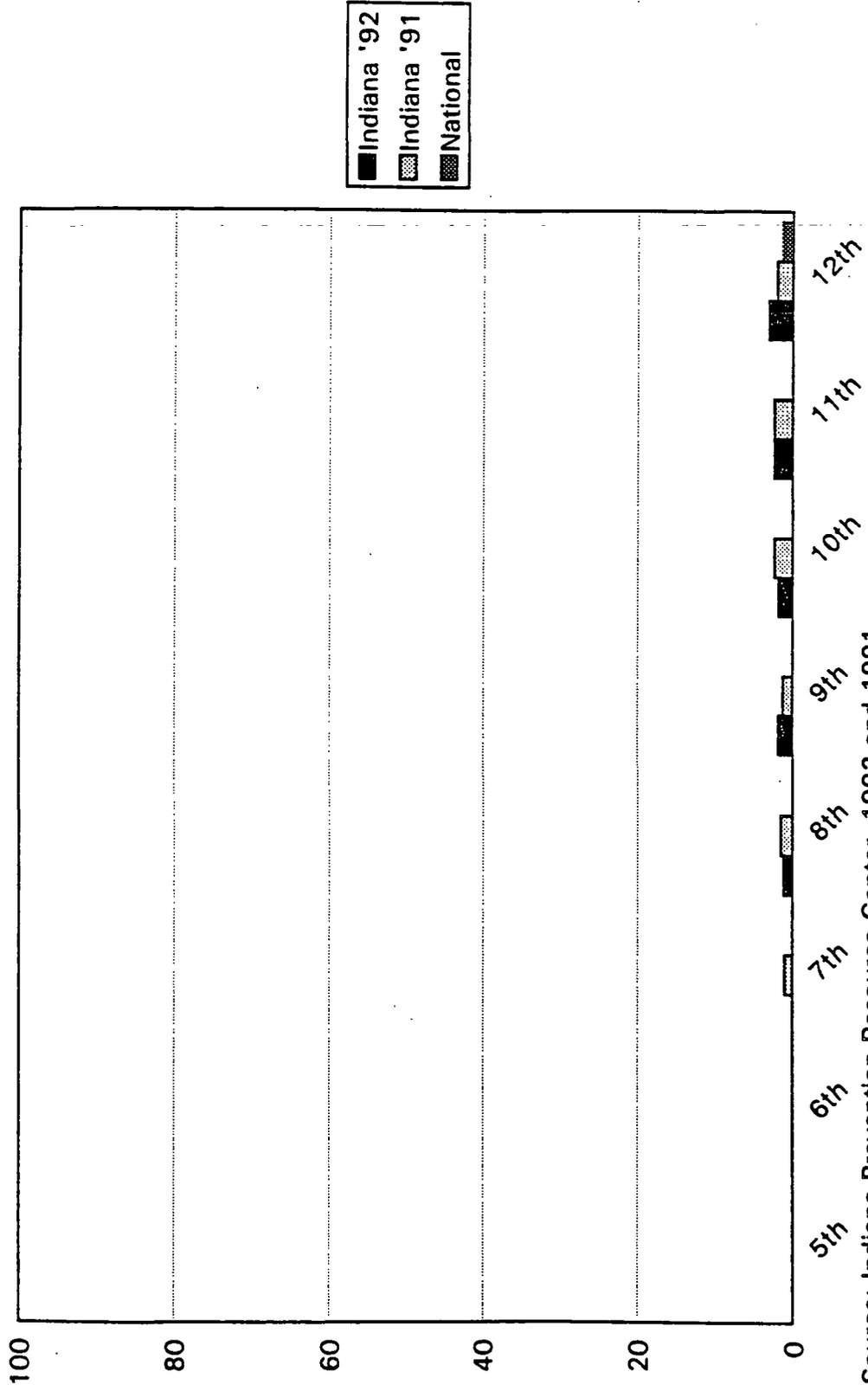
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY COCAINE USE

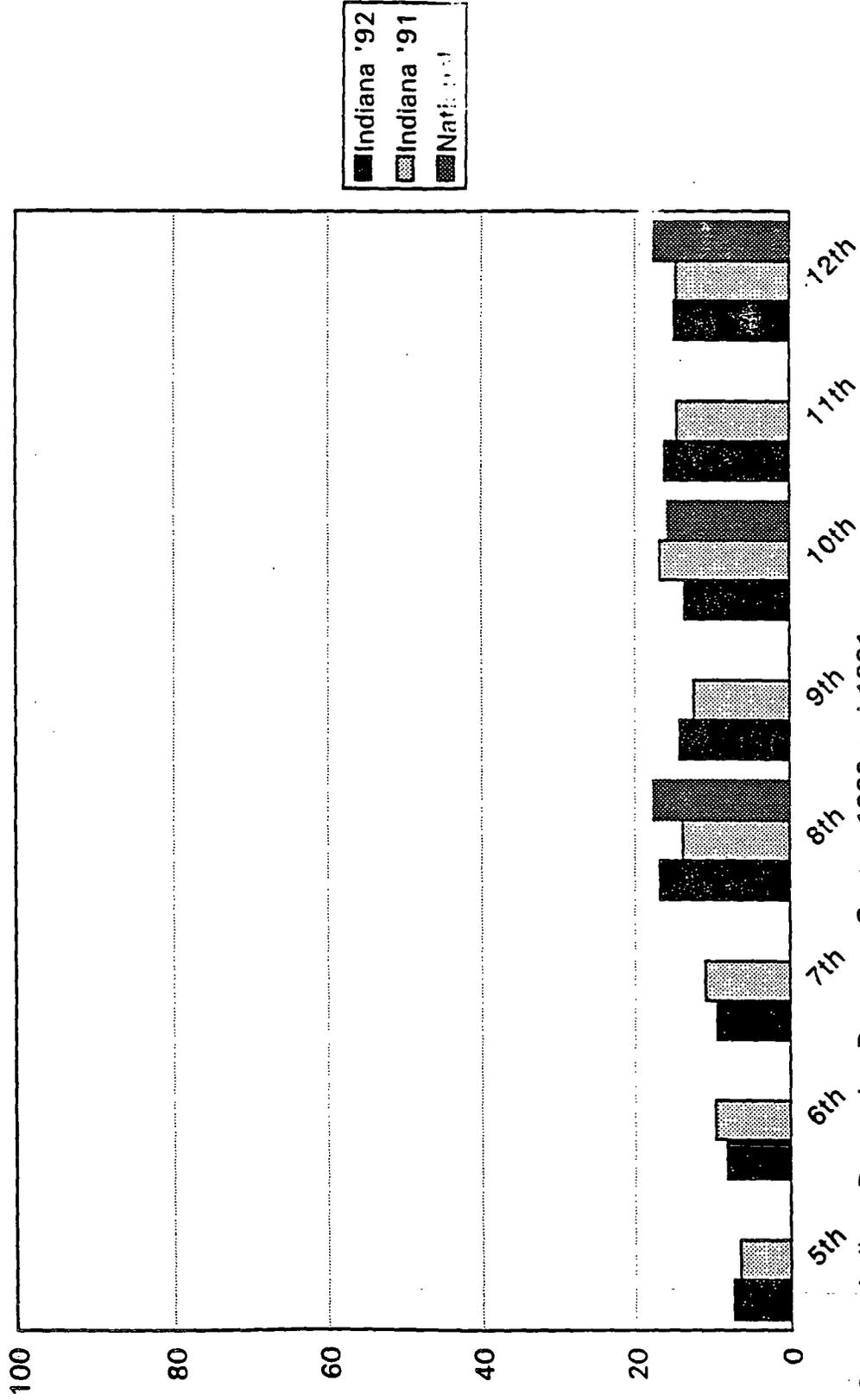
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME INHALANT USE

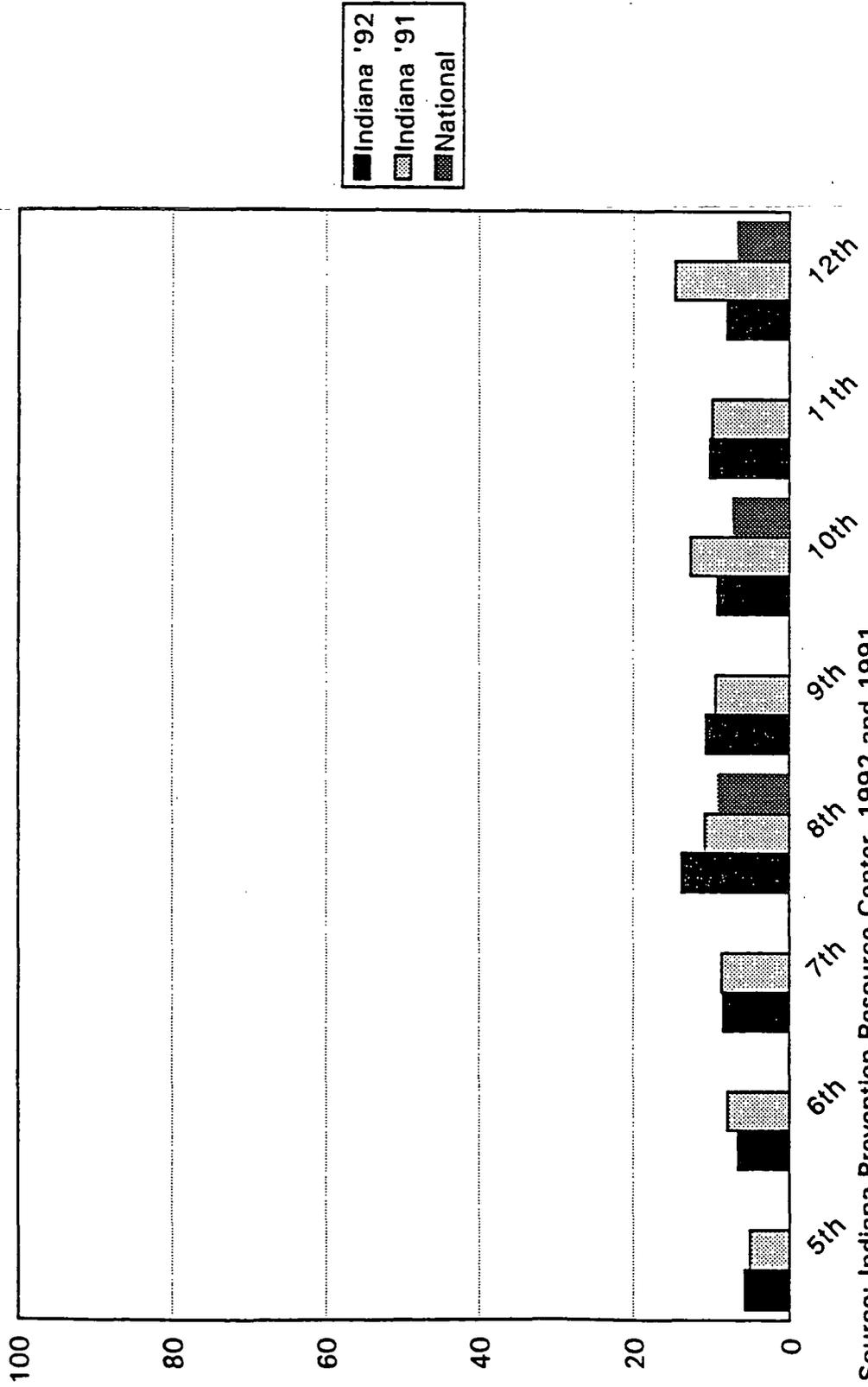
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL INHALANT USE

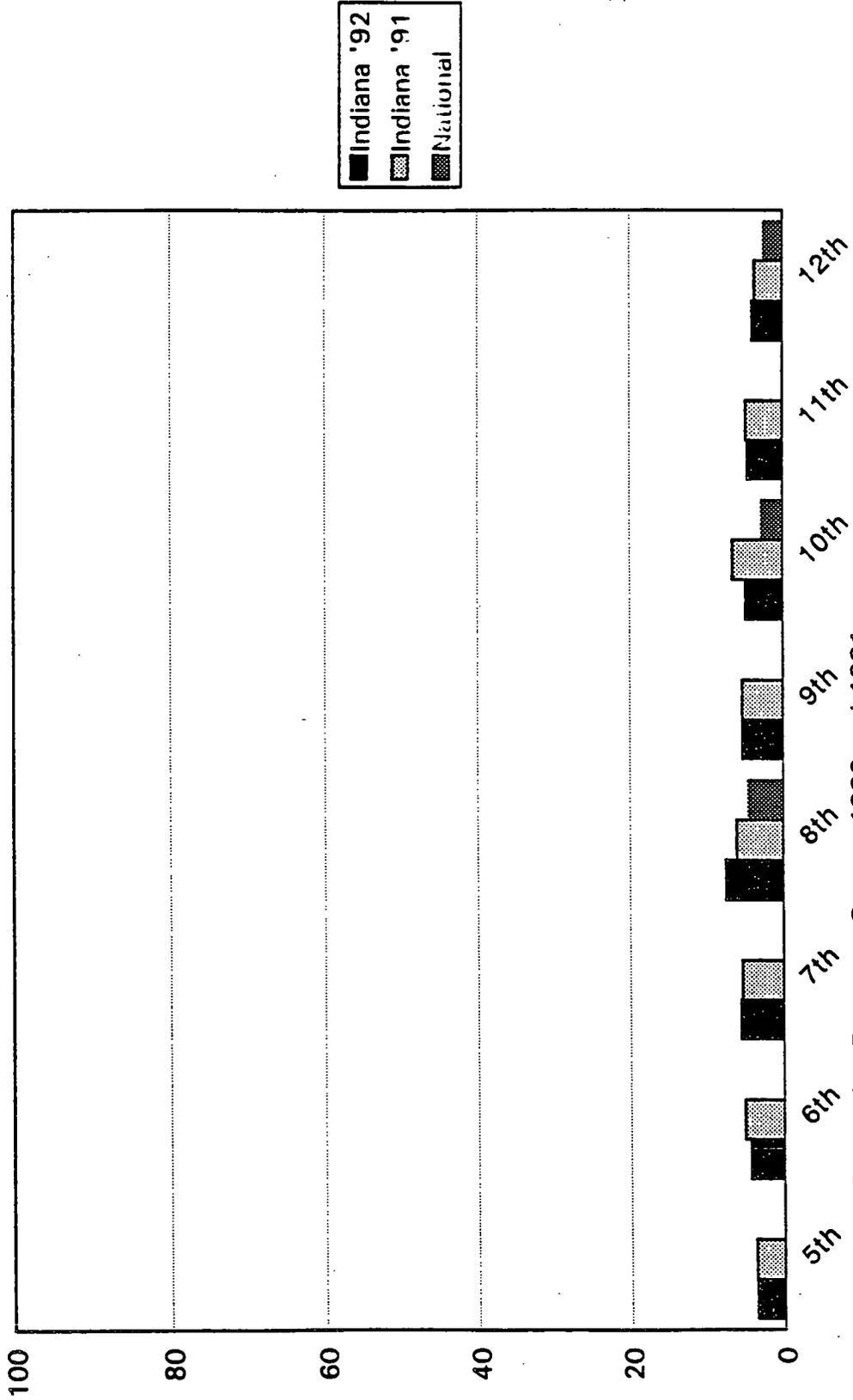
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY INHALANT USE

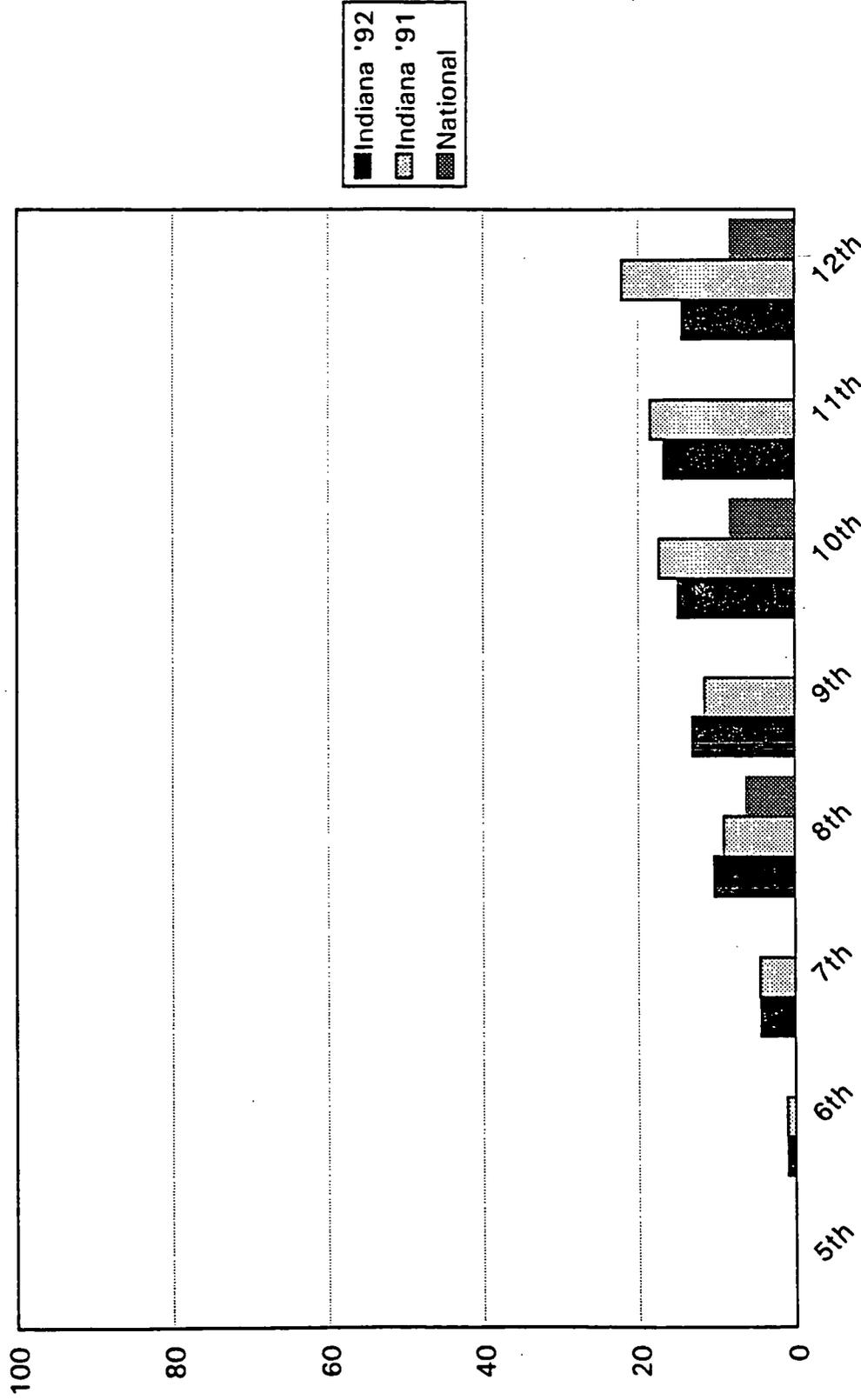
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL AMPHETAMINE USE

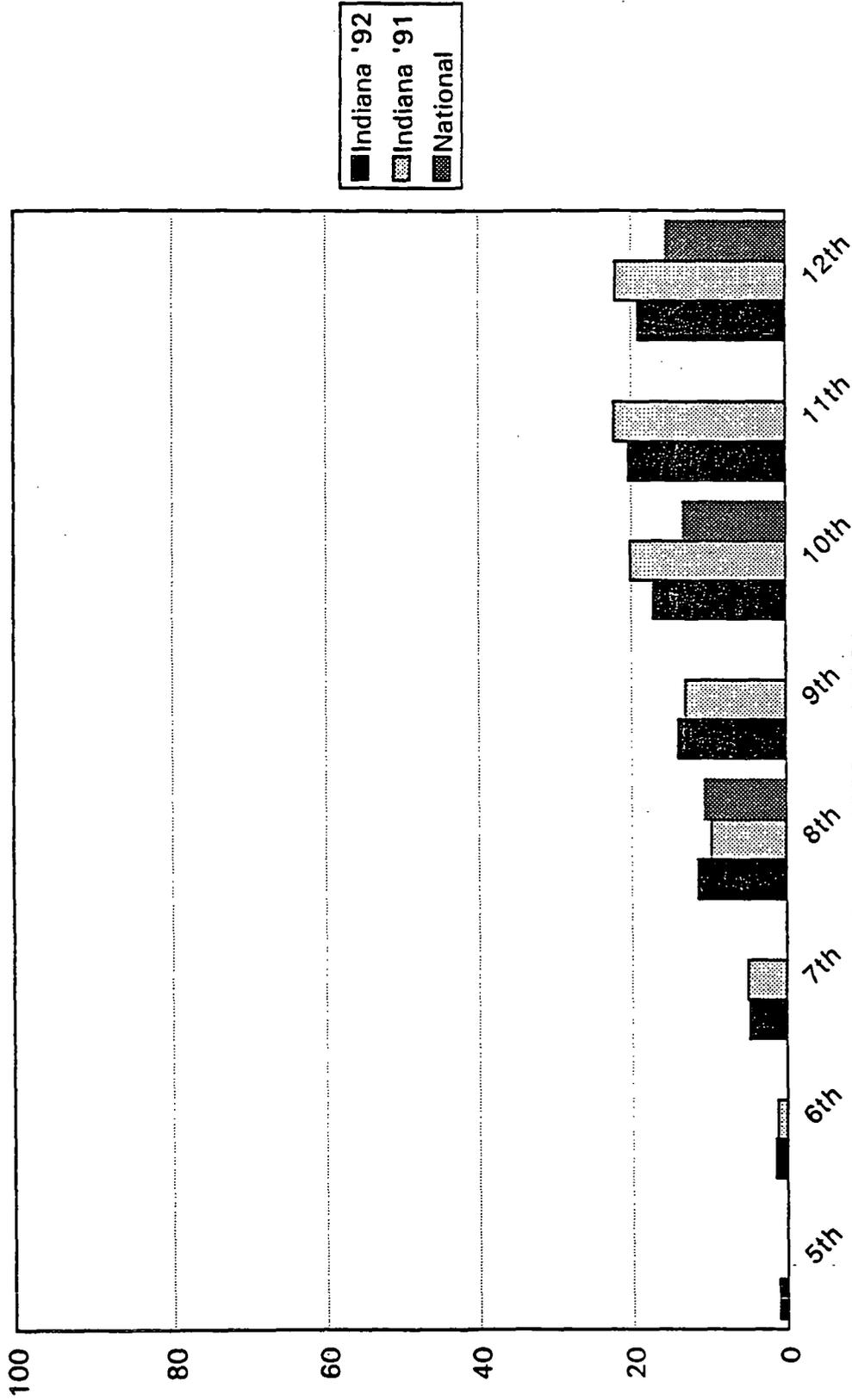
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME AMPHETAMINE USE

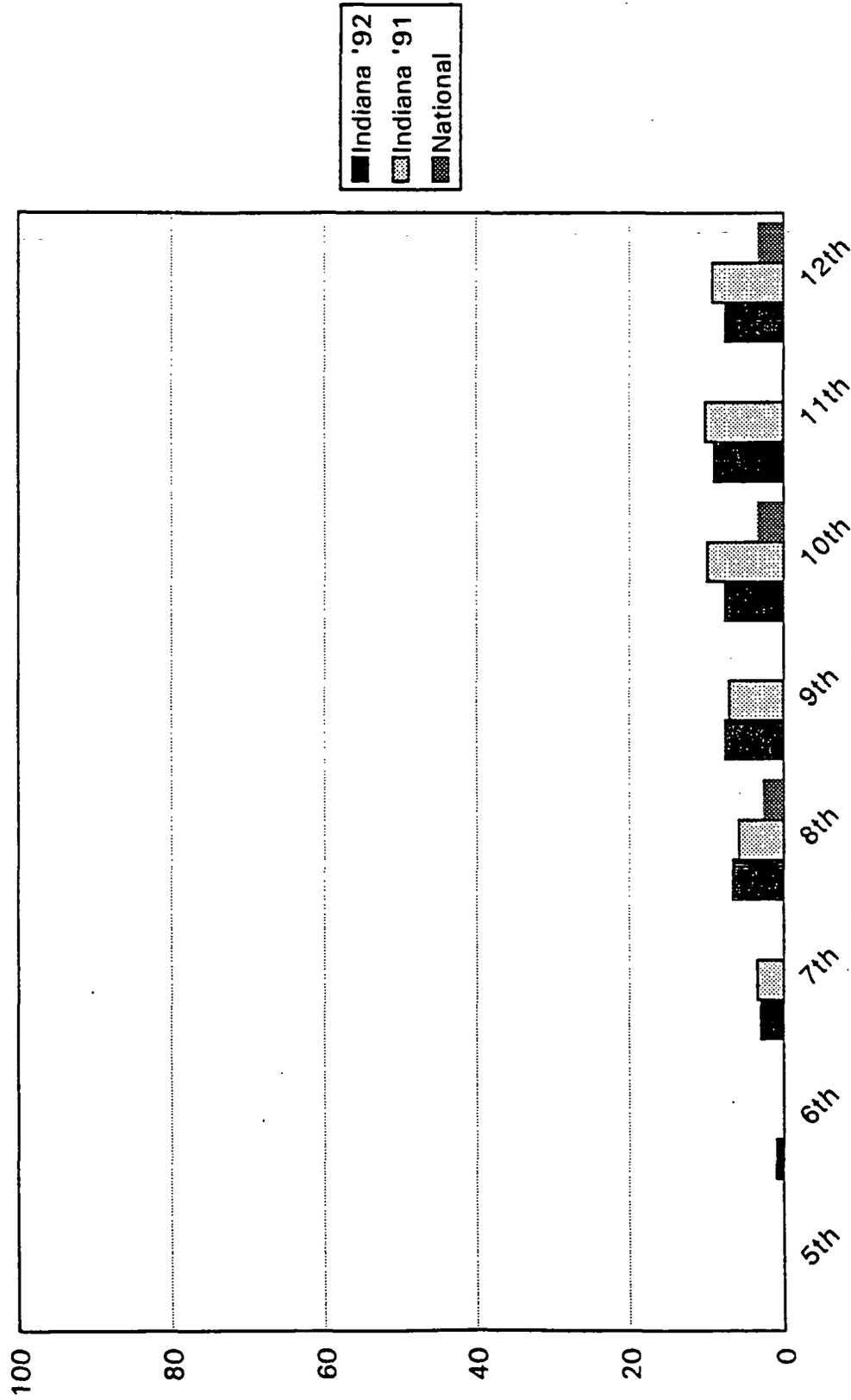
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY AMPHETAMINE USE

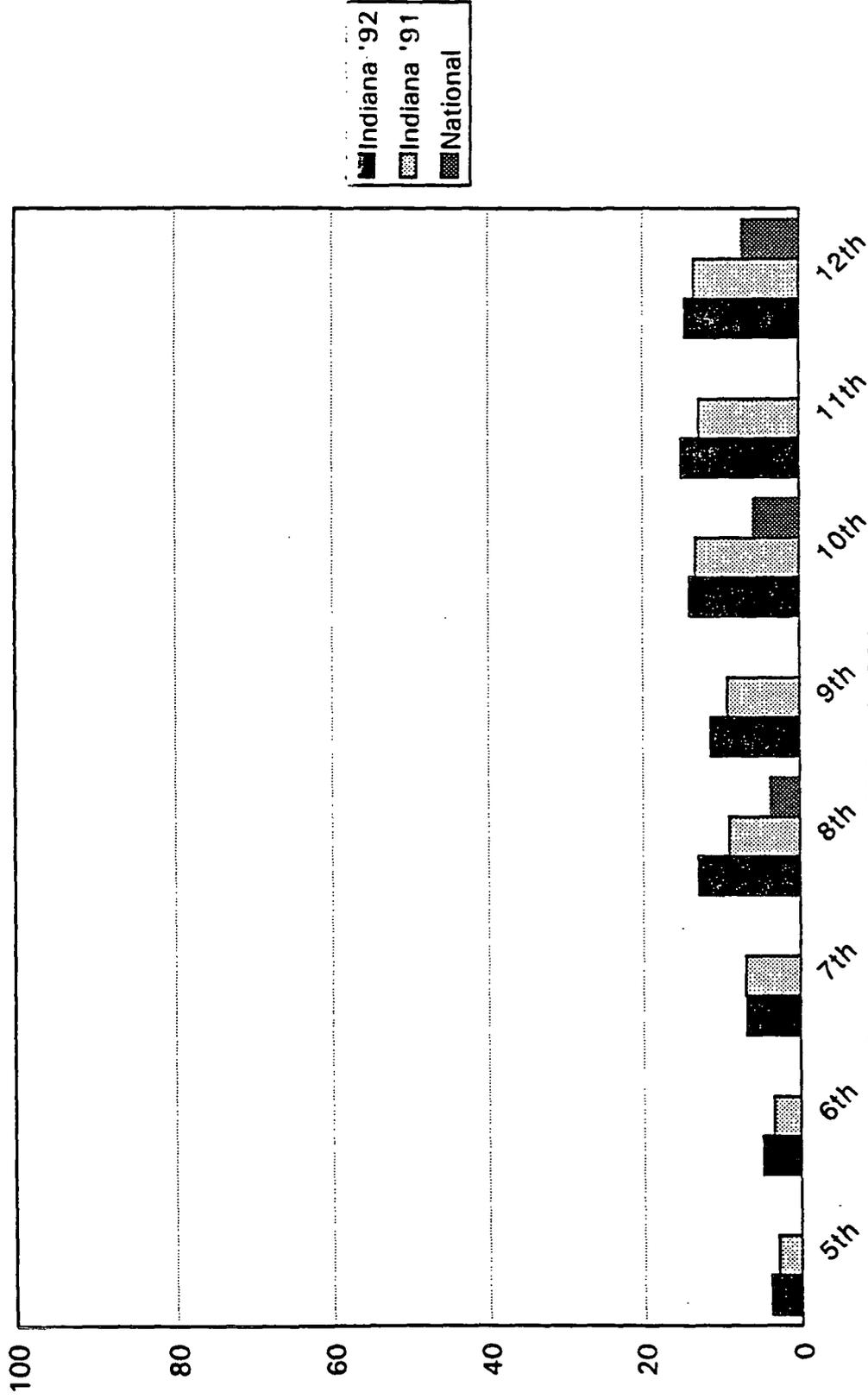
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# LIFETIME TRANQUILIZER USE

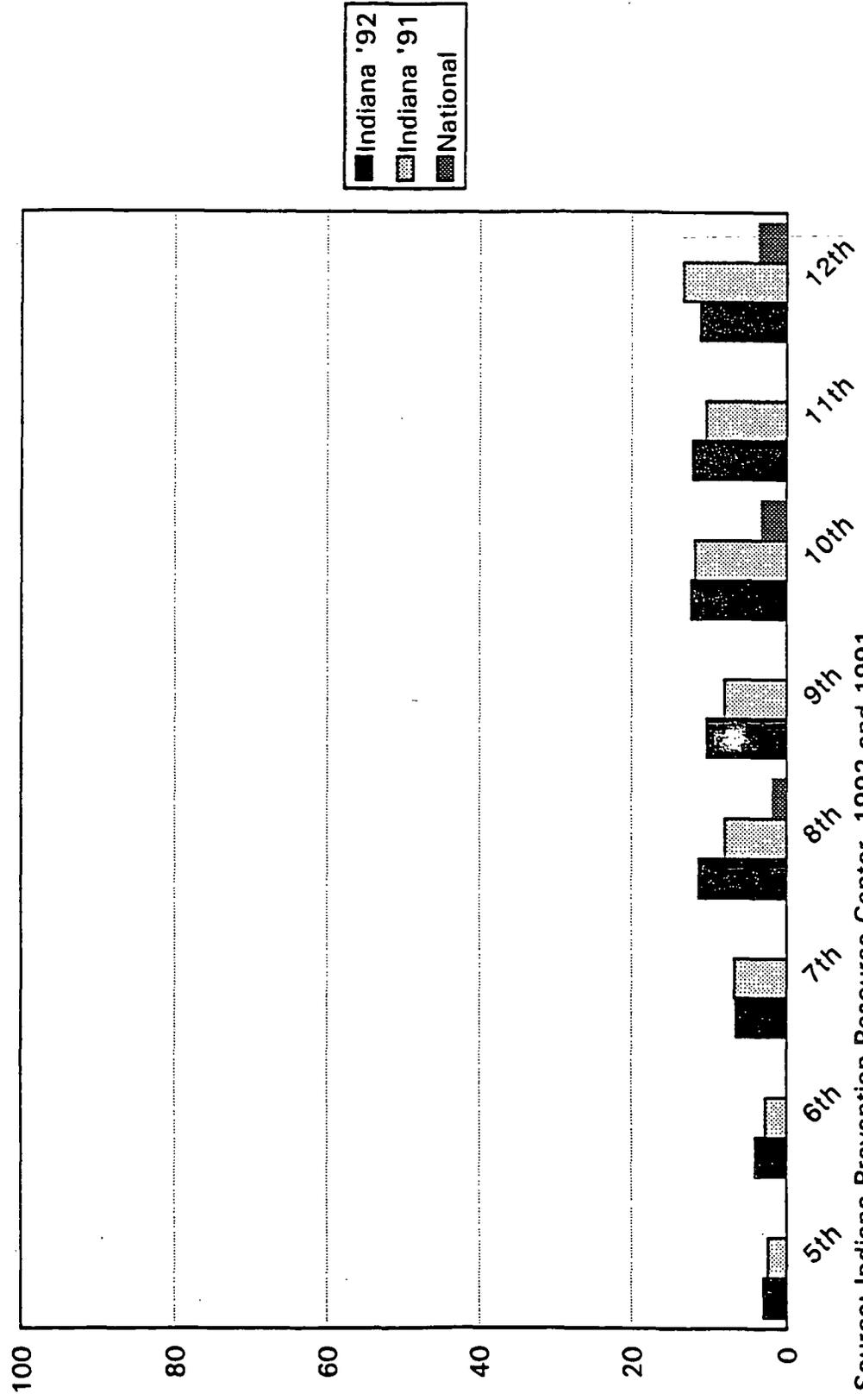
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# ANNUAL TRANQUILIZER USE

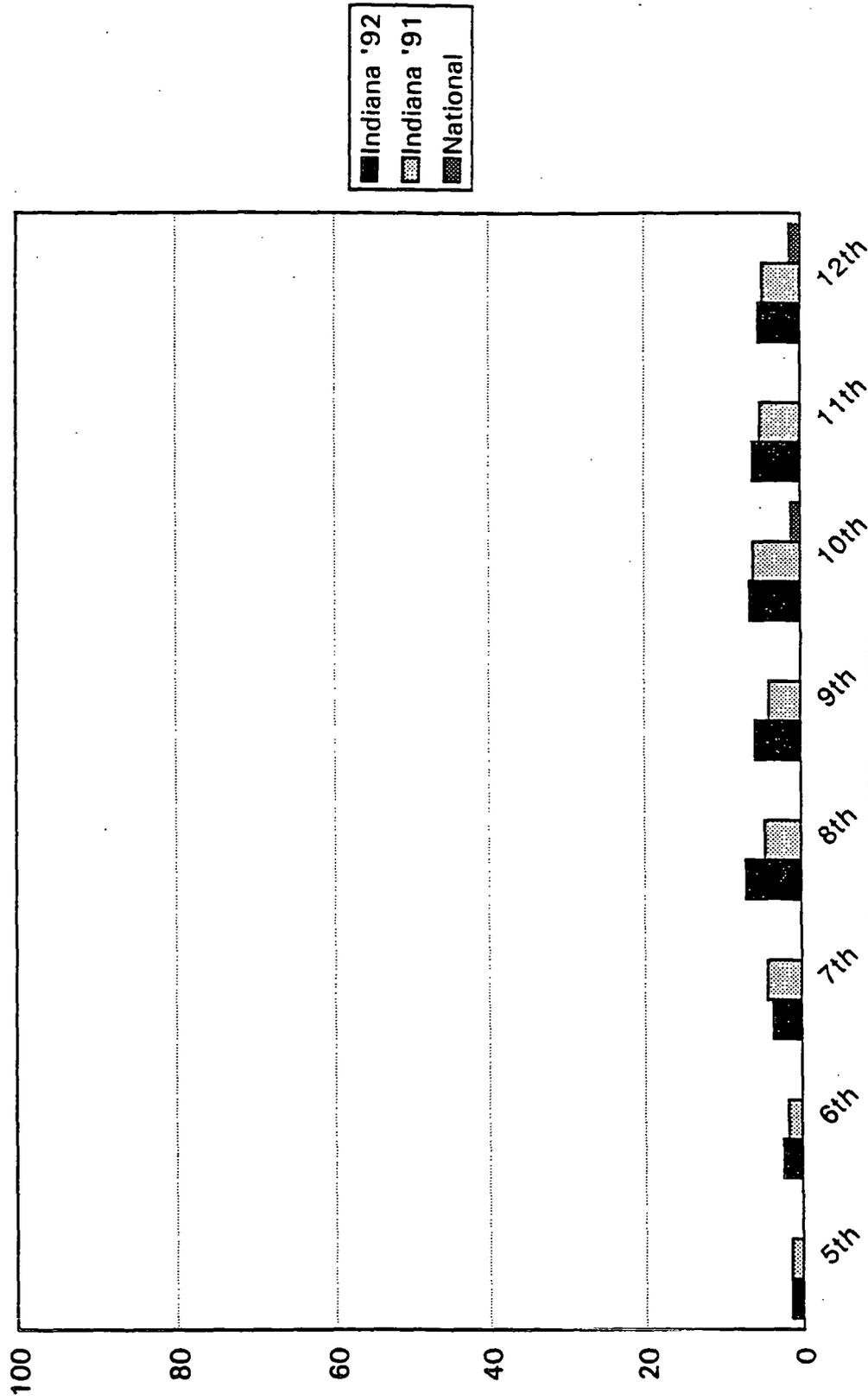
## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

# MONTHLY TRANQUILIZER USE

## Indiana and U.S. Students By Grade



Source: Indiana Prevention Resource Center, 1992 and 1991  
1991 National High School Senior Survey

## **APPENDICES**

*Healthy People 2000* Indicators with Indiana prevalence rates

Sample survey form

Appendix

HEALTHY PEOPLE 2000 INDICATORS

*with Indiana prevalence rates based upon the Spring, 1992  
Indiana Prevention Resource Center Alcohol and Other Drug Use Survey*

*NOTE: The Indiana Prevention Resource Center Alcohol and Other Drug Use Survey Instrument gathers data comparable to the baseline data used to set the Healthy People 2000 Objectives 4.5, 4.6, 4.7, 4.9, 4.10, and 4.11. The margin of error in the IPRC Survey is  $\pm 2\%$ .*

Objective 4.5 "Increase by at least 1 year the average age of first use of cigarettes, alcohol, and marijuana by adolescents aged 12 through 17. [National] Baseline: Age 11.6 for cigarettes, age 13.1 for alcohol, and age 13.4 for marijuana in 1988)."

Indiana Baselines (Spring, 1992)

Cigarettes	11.9 years
Alcohol	13.0 years
Marijuana	13.3 years

Objective 4.6 "Reduce the proportion of young people who have used alcohol, marijuana, and cocaine in the past month, as follows:

	1988 baseline	2000 Target
Alcohol/aged 12-17	25.2%	12.6%
Marijuana/aged 12-17	6.4%	3.2%
Cocaine/aged 12-17	1.1%	0.6%*

Indiana Baselines (Spring, 1992)

[based upon responses from grades 6 through 11]

Alcohol/aged 12-17	35.5%
Marijuana/aged 12-17	7.9%
Cocaine/aged 12-17	1.8%*
Heroin/aged 12-17	0.6%*

\* percent reported is within the margin of error;  
policy decisions should not be made based solely on numbers this small

Objective 4.7 "Reduce the proportion of high school seniors...engaging in recent occasions of heavy drinking of alcoholic beverages to no more than 28 percent....([National] Baseline: 33 percent of high school seniors...in 1989.)"

Indiana Baseline (Spring, 1992)

Binge Drinking/12th graders	37.6%
-----------------------------	-------

Objective 4.11 "Reduce to no more than 3 percent the proportion of male high school seniors who use anabolic steroids. ([National] Baseline: 4.7 percent in 1989)."

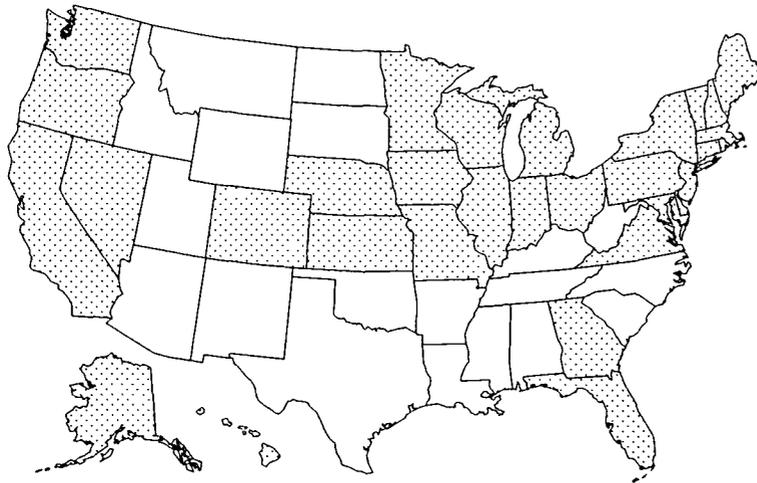
Indiana Baseline (Spring, 1992)

Current Anabolic Steroid Use/males 12th grade	4.2%
---	------

# Status of Indiana Families

... Today & Tomorrow

## Indiana Profile



Per Capita Personal Income  
In 1990

U. S. = \$18,691  
Indiana = \$16,890  
 ■ Indiana and Above  
 □ Below Indiana

Population	5,544,159
Land Area (Square Miles)	35,870.1
Population Per Sq. Mile	154.6
Urban	64.9%
Females	51.5%
Males	48.5%
High School Graduate	75.6%
Bachelor's Degree	15.6%

Families	1,480,351
Below poverty	7.9%
Families with Children	765,870
Below poverty	11.9%
Single Mothers	146,179
Below poverty	39.7%
Children under 18 in poverty	13.9%
Persons 65 and older in poverty	10.8%

PURDUE UNIVERSITY  
 COOPERATIVE EXTENSION SERVICE  
 CLARK CO.  
 Pam Robbins C.H.E.  
 Extension Agent-Home Economics  
 812 256-4591

WORKING FOR INDIANA FAMILIES  
 PURDUE UNIVERSITY  
 COOPERATIVE EXTENSION SERVICE

In Cooperation with  
 INDIANA BUSINESS RESEARCH CENTER  
 SCHOOL OF BUSINESS, INDIANA UNIVERSITY

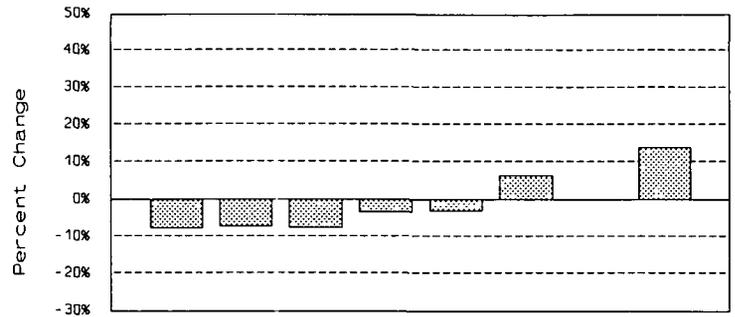
## Population and Housing...

► Based on the 1990 Census, *Indiana* ranks 14 in POPULATION among the 50 states. The percent of its population under 18 years of age is 26.3%, with 12.6% 65 and older. The median age in 1990 was 32.2 and projected to be 35.5 by the year 2000. The majority of the state's residents were born in the United States, and of those, 72.3% were born in Indiana.

► The MARITAL STATUS of people 15 years of age and older in 1990 was:

	Never Married	Married	Separated/ Divorced	Widowed
Women	21.3%	54.7%	11.9%	12.1%
Men	27.6%	60.3%	9.7%	2.4%

### Expected Change in Population By Age - 1995 to 2005



Year	0-4	5-9	10-14	15-19	20-24	25-64	65+	80+
1995	379	388	403	421	443	2,891	700	179
2005	350	360	373	406	430	3,077	700	204

In Thousands

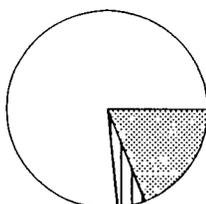
► Most HOUSING units were owner occupied: 70.2%. The median value of owner-occupied units was \$53,900, compared to \$64,500 for the Midwest and \$79,100 for the nation. *Indiana's* median rent was \$291, compared to \$327 for the Midwest and U.S. median of \$374. Of the state's 2,065,355 occupied housing units, 1,525,810 were connected to public sewers.

RACIAL DISTRIBUTION	1990			Hispanic Origin (of any race)
	White	Black	Other	
<i>Indiana</i>	90.6%	7.8%	1.6%	1.8%
Midwest	87.7%	11.5%	1.8%	3.4%
United States	80.3%	12.1%	7.7%	9.0%

## Households and Families...

► In 1990 there were 2,065,355 HOUSEHOLDS in *Indiana*, with an average household size of 2.6 people. There were 1,480,351 families. Of the 1,740,331 children living in family households, 1,628,874 were natural born or adopted and 111,457 were stepchildren. (Note: a household can have as few as one person and includes all persons occupying a housing unit. A family has two or more persons who are related by birth, marriage, or adoption.)

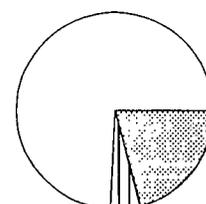
► The number of people living in GROUP QUARTERS was 161,992, with 81,686 of those institutionalized: 50,845 in nursing homes, 21,726 in correctional facilities, 2,823 in juvenile institutions, and 6,292 in other institutions.



*Indiana*

### Families with Children - 1990 Census

76.5%	□	Married Couples	74.2%
4.4%	▨	Single Fathers	4.8%
19.1%	▩	Single Mothers	21.0%



United States

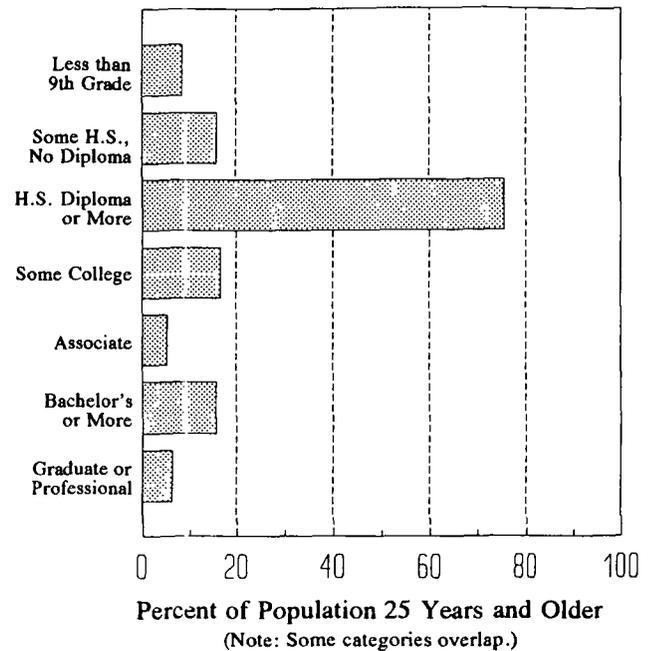
## Education and Day Care...

▶ During the 1991/92 school year, **941,068** children were ENROLLED in public schools (K-12). The GRADUATION rate was **81.1%**, while the DROPOUT rate, based on enrollment in grades 7-12, was **3.4%** (both rates are based on the 1990/91 school year). **297,583** residents of the state were enrolled in an institution of higher education in 1990; **42.1%** of these students were 25 or older.

▶ Licensed DAY CARE centers number **612**, with a capacity for **46,990** children. Licensed day care homes number **1,701**, with a capacity for **13,414** children.

▶ The number of children under 6 years of age was **467,441** in 1990; of those, **283,512** had all PARENTS (present in the household) IN THE LABOR FORCE. Based on the 1990 Census, **63.6%** of women with children 5 and younger were in the labor force. There were also **669,613** children aged 6-17 whose parents were in the labor force.

**Educational Attainment  
1990**



## Health and Vital Statistics...

▶ There were **83,201** BIRTHS in *Indiana* in 1989; of those **14.4%** were to teenagers 19 and younger. There were **15,099** TEEN PREGNANCIES in 1989; **325** of those were to girls 14 or younger, while **14,774** were to girls 15 to 19 years of age.

▶ A survey of kindergarten children during the 1989/90 school year showed that **47.0%** of them had been IMMUNIZED by age two, compared to **53.0%** of those surveyed in the 1990/91 school year.

**LEADING CAUSES OF DEATH BY AGE - 1989**

Age	#1 Cause		#2 Cause		#3 Cause		AIDS	
	Number	% of All Deaths	Number	% of All Deaths	Number	% of All Deaths	Number	% of All Deaths
Birth through 17	Causes of Perinatal Mortality 373 0.8%		Congenital Anomalies 211 0.4%		Motor Vehicle Accidents 163 0.3%		0	0.0%
18 through 64	Malignant Neoplasms 3,668 7.5%		Heart Disease 2,906 5.9%		Motor Vehicle Accidents 690 1.4%		156	0.3%
65 and Older	Heart Disease 14,148 28.9%		Malignant Neoplasms 7,619 15.5%		Cerebrovascular Disease 3,404 6.9%		2	0.0%

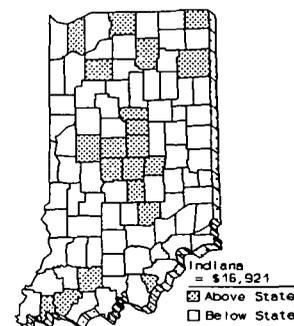
▶ In 1991, there were **11,054** ALCOHOL-RELATED TRAFFIC ACCIDENTS: **283** fatal and **5,015** personal injury. Those **11,054** accidents resulted in **318** death(s) and **7,540** people injured.

▶ There are **598** licensed NURSING HOMES in *Indiana*, with a total capacity for **65,682** people.

## Income and Employment...

- ▶ *Indiana's* 1989 median HOUSEHOLD INCOME was \$28,797, compared to \$30,319 for the Midwest and \$30,056 for the nation. There was a real decline of \$670 in median household income between 1979 and 1989 (adjusted for inflation). Median FAMILY INCOME was \$34,082 in *Indiana*, compared to \$35,960 for the Midwest and \$35,225 for the United States in 1989. There was real decline of \$335 in median family income over the decade (adjusted for inflation).

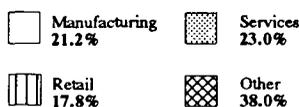
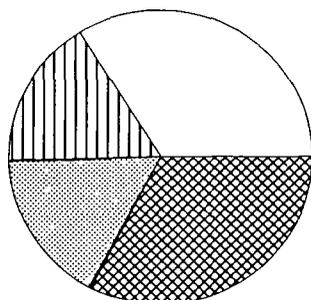
### Indiana's Per Capita Personal Income - 1990



Households	INCOME LEVEL	Families
889,529	Less than \$25,000	490,032
755,801	\$25,000 to \$49,999	617,890
291,741	\$50,000 to \$74,999	265,606
127,175	\$75,000 and greater	116,602

- ▶ An average of \$3,613 in PUBLIC ASSISTANCE INCOME went to each of 111,217 *Indiana* households in 1989. There were 332,279 households in 1989 receiving RETIREMENT INCOME, with an average of \$7,265 per household.

### Employment by Sector - 1990



- ▶ There were 198,545 children (13.9%) living in POVERTY, while 369,841 adults (9.4%) were also in poverty. Of single mothers, 39.7% lived in poverty. For those mothers with children under 5 it was an even greater percentage - 55.8%.
- ▶ Based on 1990 census data, 75.2% of men 16 and older were in the LABOR FORCE, compared to 57.4% of women in *Indiana*. Of the 346,327 people 16 to 19 years of age, 11.4% were DROPOUTS (not enrolled in school and not high school graduates). These 39,439 dropouts were: working or in the armed forces—16,313, unemployed—8,137, or not seeking work—14,989.
- ▶ Most of the state's 2,587,182 WORKERS 16 and older (78.9%) drove to work alone. While the majority of *Indiana's* employed residents worked in the state, 19.9% did work outside the state in 1990.

## WORKING FOR INDIANA FAMILIES

The Extension Home Economics Program is part of the Purdue University Cooperative Extension Service. The county home economist is available to provide research-based knowledge for the people of *Indiana* County. Programs, workshops, publications, and other information are offered to help individuals and families achieve economic stability, physical well-being, and emotional well-being.

### Family Resource Management

- Financial Management
- Consumer Education
- Risk Management

### Foods and Nutrition

- Prenatal Nutrition
- Nutrition and Aging
- Food Safety
- Dietary Guidelines

### Human Development

- Parenting
- Discipline
- Family Strengths
- Aging

*The mission of the Extension Home Economics Program is to provide informal educational programs that increase knowledge, influence attitudes, teach skills, and inspire aspirations. Through the adoption and application of these practices, the quality of individual, family and community life is improved.*

**Key**

**STATUS OF FAMILIES IN INDIANA . . . WASHINGTON COUNTY**

---

- C** 1. What was the 1990 population of Washington County?  
a. 20,100  
b. 23,200--1988  
c. 23,717--1990  
d. 24,900
- B** 2. Which age group will have the largest decrease in the next 10 years?  
a. Ages 5-9--Only bracket that increases  
b. Ages 15-19--Largest decrease (15%)  
c. Ages 30-39  
d. Ages 50-59--Largest increase (25%)
- D** 3. What was the average household size in Washington County in 1990?  
a. 4  
b. 3.4  
c. 2.6--1990 IN  
d. 2.7--1990 Wash.
- A** 4. What percent of the total households in Washington County were headed by single parents?  
a. 12%--1990, Wash.  
b. 14%--1990, IN  
c. 20%--1980, U.S.  
d. 23%--1988, U.S.
- C** 5. What percent of adults 25 years of age and older have not completed high school in Washington County?  
a. 25%  
b. 37%--1980, IN  
c. 48%--1980, Wash.  
d. 51%--Scott, Orange, Crawford
- B** 6. How many births were there to Washington County residents in 1989?  
a. 204  
b. 284--1989  
c. 319--1988  
d. 498
- C** 7. What percentage of the total births were to women ages 15-19?  
a. 10%  
b. 14%  
c. 16%--Wash. and IN in 1989  
d. 24%
- B** 8. What was the per capita income for Washington County in 1989?  
a. \$11,229--1988 Wash.  
b. \$12,076--1989 Wash.  
c. \$15,779--1989 IN  
d. \$17,596--1989 U.S.

- A** 9. What is the average age that a child takes his first drink?  
a. 12.5  
b. 13.9  
c. 14.1  
d. 15.2
- B** 10. Which illegal drug is used the most by Indiana high school seniors?  
a. Cigarettes--69.1  
b. Alcohol--88.1  
c. Smokeless tobacco--38  
d. Marijuana--34.2
- D** 11. What percentage of high school seniors have tried alcohol?  
a. 50%  
b. 66%  
c. 78%  
d. 93%
- B** 12. What percentage of high school seniors drink daily?  
a. 1%  
b. 5%  
c. 9%  
d. 13%
- D** 13. What percentage of high school seniors have driven while under the influence of alcohol or drugs?  
a. 15%  
b. 26%  
c. 39%  
d. 48%--47.6%
- D** 14. What percentage of high school seniors have ever ridden with someone who was under the influence?  
a. 26%  
b. 42%  
c. 55%  
d. 76%
- All** 15. Which factors listed below are risks for delinquency and drug abuse?  
a. Parent and sibling drug use  
b. Poor and inconsistent family management practices  
c. School failure  
d. Lack of neighborhood attachment and community disorganization

- 
- Early variety and frequency of anti-social behaviors in the primary grades
  - Family conflict
  - Family social deprivation
  - Low degree of commitment to education and attachment to school
  - Peer factors
  - Attitudes and beliefs
  - Mobility
  - Constitutional and personality factors

## Selected Information and Data Resources

There are many federal and state governmental agencies which produce and often publish data. Knowing who to contact can be difficult. This is a brief listing of federal and state agencies that can provide data or assistance in locating data. We also recommend that you visit or call your local public library or college library.

---

Indiana State Data Center  
State Library  
140 N. Senate Avenue  
Indianapolis, IN 46204

The State Data Center is the focal point for many data searches. They maintain a large collection of publications from state & federal agencies and can often refer you to sources.

Contact: Roberta Eads  
Telephone: 317-232-3733

---

Indiana State Board of Health  
1330 West Michigan Street  
Indianapolis, IN 46202

The first point of contact might be statistics. But there are also sections for consumers, family health, planning, and health facilities.

Telephone: 317-633-8512

---

Indiana Department of Revenue  
State Office Building 202  
Indianapolis, IN 46204

Sales tax and income tax data can be requested. The number provided here is the main office, which can refer you to specific divisions.

Telephone: 317-232-2101

---

Indiana Department of Public Welfare  
State Office Building 701  
Indianapolis, IN 46204

Information on AFDC, food stamps, child support, and Medicaid.

Contact: Statistics  
Telephone: 317-232-4361

---

Indiana Department of Employment  
Labor Market Analysis  
10 North Senate Avenue  
Indianapolis, IN 46204

Excellent resource for employment data. There are also employment offices in many locations around the state that may also provide information.

Telephone: 317-232-1754

---

Census Awareness & Products  
U.S. Bureau of the Census  
Chicago Regional Office  
175 W. Jackson Blvd., Suite 557  
Chicago, IL 60604

Terrific source for census data.

Telephone: 312-353-0980

---

Public Information Office  
U.S. Bureau of Economic Analysis  
BE - 53  
Washington, DC 20230

Source for earnings and income data for states and counties. They also produce the gross state product information.

Telephone: 202-523-0777

---

Superintendent of Documents  
Government Printing Office  
Washington, DC 20402-9325

If you want to purchase a government publication, this is the place to contact. They also take Mastercard and VISA!

Telephone: 202-275-3097

---

U.S. Department of Commerce  
One North Capitol  
Indianapolis, IN 46204

Telephone: 317-226-6214

---

## COMMUNITY SYSTEMWIDE RESPONSE (CSR) GOAL

To develop a national collaborative effort that recognizes the need of children and their families to be protected from the risk of alcohol and other drug abuse, impaired driving, and other grave risk factors through the unified action and policy efforts of a local, state, and national community. ✓

In order to accomplish this goal, the starting point is the local community, and its effort to create an environment that reduces and/or eliminates the risk factors and successfully creates protective barriers that protect and strengthen the positive growth and development of its children and families.

The beginning catalyst of this effort is a local presiding juvenile court judge and a county extension agent both of whom have received training in the CSR process. As a team, they will convene the community through the CSR process.

The Community Systemwide Response process is a method for the community to:

1. Research and understand what is happening to its children and families in regard to alcohol and other drugs (AOD), youthful impaired driving, and other risk factors.
2. Explore its existing policies, resources, and services for effectiveness and to identify any gaps in those resources and services.
3. To prioritize the AOD risk factors and to select the most critical issues.
4. Develop and implement a plan of action that will address the selected critical issues.
5. Evaluate the action plan and the results of the implementation.
6. Encourage the development of a structure to continue the process at appropriate times to meet the needs of the children, families and community.
7. Develop linkages to other communities to create mutual support in this total effort on behalf of children and families.

## COMMUNITY SYSTEMWIDE RESPONSE PROCESS

Conducted by the following steps:

1. The judge and extension agent will meet during the training to discuss their mode of operation.
  - Define the roles and responsibilities of CSR.
  - Each define their perspective of the county and their work.
    - Agent explains their resources and program emphasis (plan of work).
    - Judge explains local justice structure in relationship to children and families.

Set date and prepare agenda for the first steering committee meeting.  
Select and notify 3 to 5 steering committee members of meeting.

2. The functions of the steering committee, in cooperation with the judge and extension agent are to:
  - Assemble the necessary local data, in some instances this will mean developing and conducting a needs assessment.
  - Conduct a preliminary review of existing resources and services.
  - Assist in identifying the community members to be invited to attend the community meetings.
  - Be legitimizers for community meetings and the CSR process.
  - Serve as small group facilitators at community meetings.
  - Serve as presentors at community meetings.
  - Help sponsor community meetings.

### Keep in mind -

- The steering committee may offer the names of others that should be added to the committee.
  - Ask the question, "Who are the key people in the community who must sanction this effort in order for success to be achieved?  
At what point in the process do you include this people?"
    - Some individuals may occupy formal positions of authority.
    - Some individuals may be power brokers working in the background.
  - Remember that the major effort of this process is to affect policy that will lead to permanent positive change, therefore the key decision makers in all segments of the community should be included in the CSR process.
3. Plan the community meetings.
    - Suggested format is three(3) meetings 1-2 weeks apart.
    - Suggested time is 2 1/2 to 3 hours.
    - Generate a list of names to be invited.
    - Letter of invitation is to be sent on the judge's letterhead with the judge's signature.
    - If the small group process is to be utilized, the agent will conduct a training session for the facilitators.

## SESSION ONE

### WHERE ARE WE NOW?

#### PURPOSE:

This meeting is to help participants examine the critical risk factors facing children and families in their community. The outcome of this meeting will be that participants will have a better understanding of the needs of their community's children and families.

#### ADVANCED PREPARATION:

The steering committee will have collected data on the risk factors. This will include needs assessments, services, and resources.

- Participants will have appropriate handouts of the data and homework.
- The local extension agent will assist in the compilation of the data and the preparation of handouts.

#### SUGGESTED AGENDA:

Introduction and purpose of CSR workshop	20 mins.
Presentation of the data	60 mins.
Small group discussion	30 mins.
Summary of groups	15 mins.
Homework assignment and next meeting	10 mins.

TOTAL TIME: 2 hours and 15 minutes

## FIRST COMMUNITY MEETING

### INFORMATION

1. This meeting is to explain the needs of children and families in the community. It answers the question, "Where are we now as a community in relationship to the needs of our children and families?" By the conclusion of this meeting participants will understand the CSR process and have a plan of action.
2. The judge welcomes the participants and explains the judicial role and perspective on children and families in the community. The extension agent facilitates the meeting and defines the CSR process.
3. Preparation of local data includes needs assessment report, review of existing resources/services, and a policy review.
4. Small groups should be allowed time to react and provide feedback on data information.
5. Homework assignment - have participants discuss data with six(6) other people and get feedback. Encourage them to invite others to attend the next meeting.

## SESSION TWO

### WHERE DO WE WANT TO BE?

#### PURPOSE:

This workshop is to encourage participants to discuss the risk issues, resources/services, and the existing gaps.

By the conclusion of this session, the participants will have completed a list of priority issues.

#### ADVANCED PREPARATION:

The facilitator should be prepared to review the issues and to make any presentations that were not made at the first session. The extension staff will prepare the necessary handout materials.

#### SUGGESTED AGENDA:

Introduction and review	20 mins.
Additional data (if needed)	20 mins.
List the issues	10 mins.
Small group (priority list development)	30 mins.
Reports of groups	15 mins.
Vote on priorities	15 mins.
Summarize and assign next meeting	10 mins.

TOTAL TIME: 2 hours

## COMMUNITY LEADERSHIP GUIDE

### Individuals

### Address

Banks/Financial Institutions

Business

Chamber of Commerce

Churches/Ministerial Alliances

Civic Organizations

- Kiwanis
- Optimists
- Rotary

Community Leadership Organization

Community Volunteers

- Hospital
- Red Cross
- United Way

Cooperative Extension Service

Educational Organizations

- Public School/University Staff
- Private/Parochial
- School Board
- PTA/PTO

Existing Substance Abuse Organizations

- Local Coordinating Council
- MADD
- SADD

Health Agencies & Organizations

- Health Department
- Hospitals
- Mental Health Department
- Welfare

Highway Traffic Safety Office

Housing Authority

Industry

**Individuals**

**Address**

**Judicial System**

Probation  
Prosecutor  
Public Defender  
Judges

**Labor**

**Law Enforcement Agencies**

Sheriff/Chief of Police  
FBI/DEA

**Local Government**

Mayor/Mayor's Staff  
City Council  
County Council  
County Commissioners  
County Officers  
Parks & Recreation Department

**Professionals**

Attorneys  
Doctors  
Dentists  
Others

**Youth-serving Agencies**

Boys/Girls Club  
Boy/Girl Scouts  
Little League  
Others

\*Does your completed guide reflect the diversity in your community in age, gender, ethnic group and other characteristics?





---

**TOOLS FOR COMMUNITY ACTION:**

**YOUTH IMPAIRED DRIVING  
PROGRAM IDEAS**

---

---

**Contributors:**

**Michael Klitzner  
Eileen Taylor  
Kathryn Stewart  
Liese Scribner  
Osama Abi-Mershed**

---

---

## CONTENTS

YOUTH TRAFFIC SAFETY PROGRAM MODEL	i
TOOLS FOR COMMUNITY ACTION	1
THE PROBLEM AND THE SOLUTION	1
ORGANIZATION OF TOOLS FOR COMMUNITY ACTION	2
OTHER RESOURCES	2
SECTION I - PROMISING PROGRAMS, ACTIVITIES, AND STRATEGIES	4
SCHOOL-BASED PROGRAMS	5
CLASSROOM EDUCATION	5
STUDENT ASSISTANCE PROGRAMS	6
TEACHER TRAINING	6
DRUG AND ALCOHOL POLICY	7
COLLEGES AND UNIVERSITIES	8
EXTRA-CURRICULAR ACTIVITIES	9
STUDENT-RUN SAFETY CLUBS	9
ALCOHOL- AND DRUG-FREE ACTIVITIES	10
INTENSIVE YOUTH LEADERSHIP TRAINING	10
YOUTH-TO-YOUTH PROGRAMS	11
ALTERNATIVE TRANSPORTATION	11
COMMUNITY-BASED INITIATIVES	12
PARENT EDUCATION AND TRAINING PROGRAMS	12
PARENT-TO-PARENT PROGRAMS	13
COMMUNITY TASK FORCES	14
METHODS FOR LIMITING YOUTH ACCESS TO ALCOHOL	14
WORK-BASED PROGRAMS	16
EDUCATIONAL PROGRAMS	16
EMPLOYEE ASSISTANCE PROGRAMS	17
WORKPLACE POLICIES	17
REDUCTION OF ALCOHOL SALES TO MINORS	18
SPONSORSHIP OF COMMUNITY PREVENTION ACTIVITIES	18

---

---

ENFORCEMENT	20
<i>POLICE TRAINING</i>	20
<i>"FOCUSED" PATROLS</i>	20
<i>PREVENTION-ORIENTED POLICING</i>	21
<i>STREAMLINED ARREST PROCEDURES</i>	21
LICENSING STRATEGIES	23
<i>PRESENTATION OF THE DRIVERS LICENSE</i>	
<i>IN JUVENILE COURT</i>	23
<i>PROVISIONAL LICENSING</i>	23
<i>RESTRICTION OF DRIVING PRIVILEGES FOR ALCOHOL USE</i>	24
<i>ADMINISTRATIVE LICENSE PENALTIES</i>	25
<i>REDUCING THE AVAILABILITY AND USE</i>	
<i>OF FRAUDULENT LICENSES</i>	25
ADJUDICATION	26
<i>TRAINING OF JUDGES</i>	26
<i>EQUIVALENT BUT SEPARATE SANCTIONS FOR YOUTH</i>	
<i>AND ADULT OFFENDERS</i>	27
<i>INVOLVEMENT OF PARENTS IN THE ADJUDICATION</i>	
<i>OF YOUTHFUL OFFENDERS</i>	27
<i>JUDICIAL INVOLVEMENT IN OTHER COMMUNITY EFFORTS</i>	28
SUPERVISION	29
<i>COMPREHENSIVE SCREENING AND ASSESSMENT PROGRAMS</i>	29
<i>CUSTOMIZED TREATMENT PROGRAMS FOR ADOLESCENT</i>	
<i>SUBSTANCE ABUSERS</i>	30
<i>INNOVATIVE SANCTIONING</i>	30
<i>INTENSIVE SUPERVISION FOR REPEAT OFFENDERS</i>	31
LEGISLATIVE STRATEGIES	32
<i>STRICTER SANCTIONS FOR IMPAIRED DRIVING BY YOUTH</i>	32
<i>LEGISLATION TO REDUCE YOUTH ACCESS TO ALCOHOL</i>	33
<i>MANDATORY SAFETY BELT USE</i>	33
<i>LEGISLATION RELATED TO MOTORCYCLES</i>	33

---

---

<b>SECTION II - PROGRAM AND STRATEGY RESOURCES</b>	<b>35</b>
OVERVIEW	36
SCHOOL-BASED	37
EXTRA-CURRICULAR ACTIVITIES	41
COMMUNITY-BASED	45
WORK-BASED	49
ENFORCEMENT	50
LICENSING	51
ADJUDICATION	52
SUPERVISION	53
LEGISLATION	55
<b>SECTION III - LOCAL COMMUNITY NEEDS ASSESSMENT</b>	<b>56</b>
OVERVIEW	57
Note: Complete <i>Assessment Tool</i> follows page 57	
<b>APPENDIX - RECOMMENDED READINGS</b>	<b>60</b>

---

---

**Youth Traffic Safety  
Program Model**

---

---

## TOOLS FOR COMMUNITY ACTION

In communities around the nation, government officials, educators, health professionals, parents, concerned citizens, and youth are joining together to combat the loss of life, debilitating injury, and wasted human potential caused by the use of alcohol and other drugs and impaired driving by youth. However, many community efforts are frustrated by a lack of information concerning *concrete* steps that can be taken to reduce the numbers of youth who drink and drive. *Tools for Community Action: Youth Impaired Driving Program Ideas* has been developed to assist community efforts to address youth impaired driving by providing information on promising programs and strategies that are currently being implemented in American neighborhoods, towns, and cities.

### ***THE PROBLEM AND THE SOLUTION***

There has been a great deal of attention focused on the problem of the use of alcohol and other drugs and impaired driving by youth -- and with good cause. The traffic crash is the American way to die for teenagers. It is their single greatest cause of death. This fact is not surprising when we consider that teenagers are inexperienced drivers, when we consider that almost all American teens experiment with alcohol before they graduate from high school, and when we consider that drinking and socializing often go together for many youth. Combine these observations with the fact that many teens are risk takers, and the tragedy on our roadways is understandable. However, it is not acceptable.

Fortunately, much has been done throughout the country to prevent impaired driving and alcohol and other drug use by young people. Efforts range from classroom education, to reducing youth access to alcohol, to preventing recidivism among offenders. Although each of these strategies con-

tributes to our overall effort to reduce impaired driving, the problem is so complex that no single approach can provide the answer. The causes of youth impaired driving are to be found in the individual youth, in families, in the peer group, in the community, and in our society at large. The solutions must be found at all of these levels as well.

However, in many communities, one approach or one segment of the system is emphasized to the exclusion of others. Little good is derived from a school program -- no matter how excellent it may be -- if police are not arresting teenaged impaired drivers. Similarly, increased public awareness of the problem and changes in community values will be undermined if young people can easily obtain alcohol at local grocery and convenience stores. All the segments of a system to control youth impaired driving must be active if we hope to make any progress in addressing this problem.

The National Highway Traffic Safety Administration (NHTSA) has developed a Youth Traffic Safety Model which specifies nine action areas that comprise a system of control to prevent the use of alcohol and other drugs and impaired driving by youth. These are:

*School-Based Programs*  
*Extra-Curricular Programs*  
*Community-Based Programs*  
*Workplace Programs*  
*Enforcement Programs*  
*Licensing Programs*  
*Adjudication Programs*  
*Supervision Programs*  
*Legislative Initiatives*

Experts agree that activities, strategies, and programs must be implemented in all of these action

---

---

areas in order to successfully address the youth impaired driving problem. *Tools for Community Action* is organized according to these nine action areas.

Clearly, no single agency or individual in a community can hope to develop and implement activities, strategies, and programs in all of the nine action areas of the Youth Traffic Safety Model. A comprehensive program requires a coordinated effort involving schools, courts, police, health care, business, human service agencies, parents, and youth. Many communities are attempting to build the broad-based support and cooperation necessary for launching a comprehensive program through community coalitions or task forces composed of key actors and decision makers.

Over the past several years, NHTSA has worked with numerous communities nationwide to develop comprehensive, coordinated, community-wide programs to combat youth impaired driving. Although all of these communities demonstrated a high level of commitment and a high level of determination to implement new and innovative strategies, many expressed frustration that they were unable to obtain practical suggestions for specific programs to implement. *Tools for Community Action* has been developed in response to this need.

### **ORGANIZATION OF TOOLS FOR COMMUNITY ACTION**

*Tools for Community Action* is divided into three major sections. Section I presents an overview of each of the nine action areas of the NHTSA Youth Traffic Safety Model and highlights promising programs, activities, and strategies in each area. This section is intended as a "primer" in youth impaired driving prevention, and can be used to familiarize all members of the community with the issues involved in impaired driving prevention. Section II provides a listing of existing programs and strategies in each of the action areas of the NHTSA Youth Traffic Safety Model. Also listed

are all programs referred to in Section I. For each program or strategy, a brief description is provided along with a contact phone number. The purpose of this listing is to enable communities to gather specific information on programs and strategies, and to develop their own program ideas, thereby strengthening their overall approach to youth impaired driving. The programs and strategies discussed in Section II are not an exhaustive list, nor should they be seen as "recommended." Rather, they are presented in the hope that communities will become more familiar with existing program ideas and will use these ideas to generate new ones.

Section III presents an assessment tool that local communities can use to determine the strengths and weaknesses of their current efforts to address impaired driving among youth. This assessment tool is intended to be used as part of a comprehensive community planning effort.

Finally, a Bibliography provides reference information for publications referred to in *Tools for Community Action* as well as related materials of interest on youth impaired driving.

### **OTHER RESOURCES**

A volume like this one is never developed in a vacuum. The publication you now hold is one of many efforts designed to assist communities in addressing the youth impaired driving problem. It is designed to be used in conjunction with the products these efforts have produced. Two efforts deserve special mention.

In 1988, the National Commission Against Drunk Driving (NCADD) held public hearings in Chicago, Boston, Seattle, Atlanta, and Fort Worth. The hearings were held to gather testimony concerning ways to address the youth impaired driving problem. Like *Tools for Community Action*, the hearings were organized according to the NHTSA Youth Traffic Safety Model, and sought to uncover specific program ideas and strategies that were working at the local level. The recommendations

---

derived from these hearings are contained in *Youth Driving Without Impairment: A Community Challenge*.

In July, 1989, a "Forum on Youth Traffic Initiatives" was convened in Washington, D.C., attended by traffic safety experts from almost all U.S. States and Territories, government officials, representatives of the private sector, and members of the youth traffic safety research community. These individuals were charged with developing specific action steps in each action area of the NHTSA Youth Traffic Safety Model. The action steps will enable the Federal Government, States, and local communities to accomplish the national objective of a reduction in deaths caused by traffic

crashes among 15-24 year olds from 36.9 (in 1987) to 33 deaths per 100,000 population by the Year 2000. The results of this five day, intensive working session are presented in *Forum on Youth Traffic Safety Initiatives*.

*Tools for Community Action* has drawn heavily upon the materials developed by the 'National Commission Against Drunk Driving Public Hearings' and the 'Forum on Youth Traffic Safety Initiatives.' It is our hope that this volume will complement the work of these other efforts, and that communities will find all of these materials useful in their efforts to improve the health and well-being of our nation's youth.

---

SECTION I

PROMISING PROGRAMS,  
ACTIVITIES, AND STRATEGIES

---

---

## SCHOOL-BASED PROGRAMS

Schools have been the traditional focus of alcohol, drug, and traffic safety prevention efforts. Although it has been argued that the youth at highest risk are not reached by school programs -- they have already dropped out -- schools still offer the single greatest source of access to young people. Schools also offer many opportunities for prevention programming. And these opportunities extend well beyond the classroom instruction one usually associates with school-based prevention programs. Of course, classroom instruction has always been, and remains, an important component of school-based programs. But, schools nationwide have also been experimenting with programs to assist troubled students, with various types of teacher training and innovative discipline policies to curb the use and availability of alcohol and other drugs on campus. Moreover, passage of the uniform 21-year-old purchase age for alcohol has stimulated increased interest in prevention programming on the campuses of our nation's colleges and universities.

### CLASSROOM EDUCATION

Alcohol, drug, and traffic safety education are among the oldest responses to youth impaired driving. Almost everyone remembers warnings about the dangers of mixing alcohol and driving delivered in high school driver education classes. Over the last several decades, instructional programs have become much more complex and have attempted to incorporate an increasingly sophisticated understanding of the causes of alcohol and other drug use and of unsafe driving practices.

Today, most everyone agrees that instructional programs should follow two basic principals: 1) start early; and 2) include instruction at every grade level. Beyond this agreement that programs should be "K-12," there is really very little consen-

sus about what the content and focus of educational programs should be. However, everyone agrees that programs to prevent youth impaired driving *must* provide basic factual information about the effects of drugs and alcohol on driving performance and about the laws that all citizens must know and obey.

Before an alcohol, drug, and impaired driving curriculum is selected, some basic choices must be made. Programs are available that focus primarily on drugs and alcohol and are related to impaired driving largely through the prevention of use of these substances. Other programs are more traffic safety oriented, and address alcohol and drug use specifically within the context of driving. Still other programs address alcohol, drugs, and traffic safety as part of a comprehensive health education package.

Educators and parents wishing to institute educational programs to prevent youth impaired driving will be confronted with a large, and sometimes confusing array of materials, all accompanied by claims of effectiveness. The truth is, however, that there is scant research evidence to favor one program over another. Thus, choices among programs must be made based on local resources (i.e., how much time and money can be devoted to educational efforts), the availability of skilled teachers, and on a careful assessment of whether or not the content of specific programs appears to meet the educational objectives set by the community. It is also important to consider whether a given program is consistent with prevailing community norms and values, and if the program is sensitive and responsive to the local culture. Perhaps the best set of guidelines for selecting educational programs is *Drug Prevention Curricula: A Guide to Selection and Implementation*, published by the United States Department of Education.

---

---

One recently popular approach to classroom instruction in alcohol and other drugs and impaired driving is offered by Drug Awareness and Resistance Education (D.A.R.E.). D.A.R.E. uses specially trained, uniformed police officers to present alcohol and other drug education to elementary school students. An appealing aspect of D.A.R.E. is that it introduces children to police as helpers and friends, rather than as authorities to fear and avoid. In addition, by participating in D.A.R.E., police departments become more aware of their role in the prevention of alcohol and other drug problems.

A somewhat novel approach to alcohol, drug, and traffic safety education has been pioneered by the Phi Alpha Delta Law Fraternity. The approach is based on the concept of "Law-Related Education" (LRE), a program originally designed to reduce delinquency among young people. The LRE drug and alcohol education program is usually delivered jointly by classroom teachers and law students, lawyers, or other justice system personnel. It relies on student involvement in analyzing drug, alcohol, and impaired driving "cases" and on participation in mock trials and other legal proceedings. Although the LRE approach to alcohol, drugs, and impaired driving has not been scientifically evaluated, several studies of the original LRE program have suggested positive impacts on a number of delinquent behaviors and "risk factors" for delinquency. Thus, LRE offers a fresh and promising alternative for educators and parents who are dissatisfied with the content or results of more traditional educational approaches.

### ***STUDENT ASSISTANCE PROGRAMS***

Schools are increasingly recognizing the need and responsibility to provide counseling and referral services for youth who are experiencing problems, including problems related to alcohol and other drug use. Modeled on adult "employee assistance programs," these student assistance programs generally include mechanisms for identifying troubled youth, assessment, and a variety of referral options, including in-school counseling and sup-

port groups and counseling and treatment services provided by local community agencies.

Most student assistance programs also offer help for youth who are not, themselves, involved with alcohol and other drugs, but who are experiencing difficulties because a friend, sibling, or parent is a user or abuser. A key aspect of almost all student assistance programs is that students who refer themselves for help can receive assistance without fear of negative consequences.

One aspect of many student assistance programs is a peer support program. Under the peer support model, selected students are enrolled in classes that provide education in alcohol and other drugs, as well as training in listening skills, stress management, grief and death, suicide, depression, relationships, spirituality, and how to refer peers for help. As they gain experience, these students may serve as peer counselors in the student assistance program and/or they may be used to lead classroom instruction or support groups for younger students. A comprehensive description of a well-regarded student assistance program is provided by Ellen Morehouse in a book entitled *Prevention Strategies in Mental Health* (edited by E. Arnowitz).

### ***TEACHER TRAINING***

It is becoming increasingly clear that an effective school-based response to the youthful use of alcohol and drugs and impaired driving issues requires a high level of staff preparedness. This is especially true for teachers who are responsible for conducting classroom education in alcohol and other drugs and impaired driving. Several studies have suggested that a lack of adequate teacher preparation is a key factor in the failure of many prevention education programs. To the extent that successful classroom prevention relies on persuasive communication and/or positive modeling, teachers must be prepared to deliver a credible message, and to deliver that message with conviction. Some have argued that a teacher's strongly held and effectively communicated personal belief

---

---

that impaired driving is wrong and unacceptable may be as important as specific curriculum content in changing student behavior.

Many prevention experts have argued that *all* school staff should be trained in the nature, extent, scope, and causes, and warning signs of youth substance abuse and related problems, such as impaired driving. Clinicians often report that youth in alcohol and other drug treatment programs have experienced significant problems over extended periods of time before these problems come to the attention of school staff, parents, doctors, and others in regular contact with the affected youth. To the extent that teachers (and others who come into regular contact with youth) are able to identify indicators of emerging alcohol and other drug problems and are willing to refer students for help, services can be provided to troubled youth earlier, and perhaps, with a greater chance of positive impact. Project Impact -- an intensive, week-long teacher workshop -- has shown promise in assisting teachers in the identification of youth who are experiencing alcohol and other drug problems.

There may also be a significant payoff from teacher training that is not specifically related to alcohol and other drug use and impaired driving. It is now fairly well documented that low attachment to school, school failure, low educational aspirations, and school behavior problems are related to alcohol and other drug involvement. Some experts argue that teacher training in classroom management techniques, positive discipline practices, and innovative educational strategies can increase the number of students who are committed to school, who do well academically, and who are satisfied with their school experiences. Such students are, in turn, less likely to get into trouble with alcohol and other drugs.

Particular interest has focused recently on so-called "cooperative learning strategies." Students work in small groups (usually five or six) of mixed abilities to master curriculum content, and they receive recognition as a group for the work of all

team members. Slower learners benefit from the opportunity to work with brighter students, and brighter students benefit from the increased mastery of curriculum materials that comes from assisting others. Studies have demonstrated that cooperative learning results in improved achievement, more positive attitudes towards school, and reduced rates of suspensions and expulsions among low achievers. Thus, cooperative learning would appear to hold considerable promise in improving the overall behavior of young people. One example of a program that has successfully used cooperative learning as part of an effort to reduce alcohol and other drug problems is the PATHE Project conducted by researchers from the Johns Hopkins University.

### *DRUG AND ALCOHOL POLICY*

*In Drug Prevention Curricula: A Guide to Selection and Implementation*, the United States Department of Education notes that:

*A strong school policy against substance abuse -- clearly articulated, consistently enforced, and broadly communicated -- is the foundation upon which any program should be built.*

Educators now realize that a well defined, well publicized, and well implemented alcohol and other drug policy in the schools can provide a public statement of norms and expectations, provide mechanisms for early identification of alcohol and other drug problems, and limit the availability of drugs and alcohol, at least on campus. A national study of school administrators revealed that they saw greater effects coming from alcohol and other drug policies and their implementation than from drug education or treatment programs.

*Drug Prevention Curricula: A Guide to Selection and Implementation* recommends that a school's policy statement ought to contain at least the following elements:

*A clear definition, based on state law, of what types of drugs and drug use are covered by the policy*

---

*(making clear for example, that taking prescribed medication is not covered, but that drinking alcohol is)*

*A clear statement that the defined drugs and drug use are prohibited on school grounds, at school sponsored functions, and while students are representing the school*

*A description of the consequences to be expected upon violating the policy*

*An explanation of the process of referral to treatment -- with a guarantee that self-referral will be treated in confidence, and will not result in punishment*

The study of administrators mentioned earlier suggested that policies are most effective when they are supported by parents, teachers, students, and local law enforcement. This support can be ensured by involving these individuals in the development of the policy itself.

### **COLLEGES AND UNIVERSITIES**

Drinking and drinking-related problems, such as impaired driving, tend to peak in the late teenage years and early twenties. For many American youth, this life-stage coincides with attending a

college or university. Although heavy drinking was once considered a "natural" and expected part of the college experience (especially for young men), passage of the uniform purchase age of 21 for alcohol, coupled with increased concern over drinking and driving have led many colleges and universities to take steps to limit drinking and drinking-related problems.

Several approaches to college and university alcohol problems have been developed over the past decade. Among the most visible of these efforts is that of BACCHUS, a Colorado-based not-for-profit organization dedicated to promoting alcohol education and prevention programs on college and university campuses.

Concern has been expressed over the large amount of alcohol advertising in college newspapers. Alcohol is also heavily promoted on college and university campuses through poster give-aways, campus "representatives" who promote the use of particular brands, and sponsorship of sporting and recreational events. Some colleges and universities have responded, by attempting to reduce or eliminate such promotional campaigns, and several universities, such as the University of Wisconsin, have experimented with out-right bans on drinking at university sporting events.

---

## EXTRA-CURRICULAR ACTIVITIES

What youth do outside of school is as important in preventing use of alcohol and other drugs and impaired driving as what they do inside. Youthful energy, idealism, and creativity can be channeled into productive, health promoting initiatives, and free time after school and on weekends can be filled with activities that help solve, rather than contribute to, the youth impaired driving problem.

Thousands of youth around the nation are actively involved in safety clubs, peer education and counseling programs, drug- and alcohol-free recreation, and intensive youth leadership training. Moreover, studies suggest that drug-and-alcohol-free recreation are appealing to a wide variety of youth, especially if they are of sufficiently high quality to compete with unsupervised "partying."

Committed adult leadership and supervision is a key element in all extra-curricular activities for youth. Simply engaging in extra-curricular activities does not ensure that youth will avoid alcohol use and impaired driving. Careful planning and a hefty commitment of time and energy on the part of caring and knowledgeable adults is crucial if extra-curricular activities are to contribute to a community's overall prevention effort. Of course, youth involvement in planning and implementing extra-curricular programs is also a key component of their success, but without a partnership between youth and adults, many such efforts have floundered.

### *STUDENT-RUN SAFETY CLUBS*

Beginning with "Students Against Driving Drunk" (S.A.D.D.) in 1981, young people in increasing numbers have been banding together to speak out against impaired driving, and to create an atmosphere in which drinking and driving is viewed by

youth as dangerous, wrong, and "dumb." Many states now encourage the development of student safety clubs through a statewide coordination, training, and technical assistance network. Examples include OSSOM (Oregon), SAFTYE (Washington), Friday Night Live (California), and STAND (Colorado).

Typically, youth safety clubs have three major objectives. First, and perhaps most important, they provide positive peer support for the decision of members not to drink and drive. Second, they provide a mechanism by which students and their adult advisors can have a positive impact on youth norms and values concerning drinking and driving. Activities such as poster campaigns, school and community awareness days, floats at homecoming parades, articles in school newspapers, and so on, all contribute to a social climate that can encourage youth to make healthy and safe choices. Finally, youth safety clubs provide an organizational focus for planning and implementing other extra-curricular activities such as alcohol- and drug-free recreation and alternative transportation programs.

A common criticism of youth safety clubs is that they do not reach those youth most at risk. For example, one study of S.A.D.D. showed that students who were most interested in participating were least likely to drink and drive even before they joined the program. Of course, a well run, energetic student safety club may have some impact outside its immediate membership because of its awareness campaigns and the events it sponsors. Still, a major challenge for safety clubs in the future will be to broaden their appeal to a wider range of youth, especially those youth at highest risk. NHTSA has developed a manual, *Taking the Lead*, for students wishing to organize safety clubs.

---

---

## **ALCOHOL- AND DRUG-FREE ACTIVITIES**

Studies have repeatedly suggested that, for many youth, socializing and alcohol consumption are almost inextricably intertwined. For example, in one study, participation in parties and dates was a direct and potent predictor of drinking, heavy drinking, and riding with intoxicated drivers. Recognizing this fact, many schools and communities have begun to sponsor recreational activities that are alcohol- and drug-free. Among the best known examples of such efforts are Project Graduation-- which sponsors graduation night alcohol- and drug-free parties-- and Students Offering Better Evening Recreation (SOBER) -- a spin-off of Oregon's OSSUM student safety club.

Researchers sponsored by NHTSA have explored if and under what conditions students would attend alcohol- and drug-free recreation activities. This study suggested that almost all students would consider attending such activities. The important issue to students was the quality of the event, not the fact that alcohol would not be available. In other words, if an alcohol- and drug-free party offered the best music, most exciting entertainment, and so on, most students thought that they would choose it over a party where alcohol was served. NHTSA has published, *Join the Celebration*, a Project Graduation Manual that outlines the steps necessary to plan and implement a high quality drug- and alcohol-free party that will be attractive to large numbers of teens.

Several youth program experts have noted that although programs, such as Project Graduation, fill an important need, the youth "party scene" is not limited to a single time of the year (e.g., graduation night or New Year's Eve). Thus, it is important that communities consider ways that alcohol- and drug-free entertainment can be made available on a regular basis throughout the year. In some communities, teen "night clubs" operate on a weekends during the year, providing live music or a disc jockey, refreshments, and other entertainment.

## **INTENSIVE YOUTH LEADERSHIP TRAINING**

In order to assist young people in developing and strengthening the skills needed to participate in the battle against alcohol and other drug use and impaired driving problems, many states and localities now offer youth leadership training programs. These programs, which usually take place during the summer, provide an intensive experience, often in a residential retreat setting, over a period of about one week.

In a typical youth leadership model, schools nominate a "team" of three to five students selected for their leadership potential and one or more faculty advisors to attend the training conference. Although the specific agendas of the training conferences vary, all include information on alcohol and drugs and their effects and on various prevention activities in which youth can become involved. All conferences also focus on the development of planning, management, and leadership skills which will allow the participating students to implement prevention activities when they return to their schools in the Fall.

The National Association of Teen Institutes (NATI) was formed to provide a forum through which youth leadership programs could share information and ideas, and receive training and technical assistance. As of 1991, NATI had affiliates in 40 states conducting youth leadership programs. In addition to networking among its affiliates, NATI offers conferences, training, materials, and a newsletter to foster the growth and development of new youth leadership training programs.

In 1987, NHTSA in conjunction with the Office of Juvenile Justice and Delinquency Prevention provided funds for the development of "TeamSpirit," a youth leadership training conference specifically focused on training teens to organize drug- and alcohol-free events and activities in their schools and communities. Following the leadership conference, the TeamSpirit model provides for technical assistance to participating school and commu-

---

nity teams as they build TeamSpirit membership in their home communities and implement their planned activities and events. TeamSpirit also sponsors events during the school year for participating school and community teams to strengthen the bond among individual groups and their identity as members of the community-wide TeamSpirit Coalition. A "how-to" TeamSpirit Program Manual is available.

### ***YOUTH-TO-YOUTH PROGRAMS***

Researchers have suggested that youth tend to model and emulate the behavior of individuals approximately two years older. This observation has led some prevention experts to develop programs led, in part, by older youth. Studies have shown that when such "cross-age" peer leaders are carefully selected and well trained, they do as well, and sometimes better, than adult leaders. Although the cross-age peer model has most often been used in classroom-based prevention programs, this strategy can also be applied in many of the programmatic approaches described in *Tools for Community Action*. For example, high school students who have completed a teen leadership program might be particularly effective in sponsoring programs for junior high school students.

Surveys of youth have also revealed that many young people would rather turn to a friend or peer than to an adult if they were experiencing drug- or alcohol-related problems. This observation has led some schools and communities to develop "peer" counseling programs in which specially trained youth act as a first line of intervention for troubled teens. Such programs were described earlier in the discussion of school-based initiatives. However, peer counselors are also employed by community "hotlines," and other community-based human service providers.

### ***ALTERNATIVE TRANSPORTATION***

Without doubt, the most controversial of all approaches to preventing youth impaired driving are various efforts to provide transportation alterna-

tives. Generally, these programs have taken one of three forms: 1) Safe Rides programs, in which transportation is provided to youth who are either impaired or who are faced with riding with an impaired driver; 2) contracts between parents and youth, in which the parent agrees to provide safe transportation if a youth or the driver with whom he/she is riding is impaired; and 3) designated driver strategies, in which one youth in a party agrees not to drink and to serve as the driver.

Critics of such programs claim that they communicate a permissive and mixed message attitude toward youth drinking, and that although they may prevent one problem (impaired driving), they may contribute to a host of others, e.g., breaking the law. Critics also challenge the notion that youth have the maturity to abstain from alcohol while others are drinking. Thus, they argue, the designated driver concept cannot work in practice.

Proponents of alternative transportation programs cite the high prevalence of alcohol use among teens (over 90 percent of high school seniors report at least some drinking) and the repeated failure of programs to prevent or reduce drinking among teens. They also argue that death and traumatic injury associated with traffic crashes are far and away the most serious consequences of teen drinking. Thus, proponents argue that alternative transportation programs respond to the reality of teen impaired driving and provide a mechanism for helping to ensure that drinking teens remain alive and uninjured. It is also argued that many of the victims of youth alcohol-related traffic crashes are passengers who themselves may not be drinking prior to the crash.

There is no simple solution to this controversy. It is up to individual parents and communities to decide whether or not alternative transportation programs should be offered and encouraged. However, if such programs are implemented, they should include a strong message against underage use of alcohol and ensure that the program does not implicitly or explicitly appear to accept youth drinking as inevitable.

---

## COMMUNITY-BASED INITIATIVES

The schools are one important institution in which young people grow and learn. The other two important institutions are the community and the family. The values, expectations, and standards that children learn in the home and the neighborhood are the base and frame upon which good citizenship and positive health behaviors are built.

Communities also control youth access to alcohol, and to a lesser degree, other drugs. In addition, the climate of a community -- its economic health, the presence or absence of crime and drug trafficking, and the availability of opportunities for positive and productive involvement -- will have a considerable impact on the probability that youth will experience alcohol and other drug problems. If youth are to avoid impaired driving, we must work to provide them with the kinds of homes and neighborhoods that encourage healthy growth rather than fostering the attitude that "No one else cares, so why should I?"

Today, communities around the country are becoming mobilized to prevent alcohol and other drug use in a variety of ways. This section will discuss three important types of community-based initiatives: Programs to support parents and strengthen families, coalition-building for community improvement and development, and limiting youth access to alcohol and other drugs. These efforts are being supported through Federal grants, sponsorship by some of the nation's largest foundations, and considerable volunteer effort by concerned citizens.

### *PARENT EDUCATION AND TRAINING PROGRAMS*

Many families today are in crisis. Economic realities are such that more and more families need

two incomes merely to survive. The result is that parents have less time to spend with their children, and children have more and more unsupervised and unstructured time. Families are also in transition, with single parent, "blended," and other non-traditional family structures becoming increasingly common. At the same time, geographic mobility is reducing the support that families might once have received from extended family members. In all, many parents feel the need for help in order to do a good job of raising their children.

Even in families that are not experiencing a great deal of stress, many parents sense that they could do a better job of assisting their children in avoiding alcohol and other drug problems. They wonder what they should say to their children on this topic, what rules to set, what impact their own alcohol and other drug use may have on their children, and what warning signs of alcohol and drug involvement they should be alert to.

Finally, many children are growing up in families where one or both parents are substance abusers. These parents also want to do a good job of raising their children, but find that the chaos often created by their own addiction makes it even more difficult to do an adequate job as a parent.

For all these reasons, the last decade has seen a dramatic increase in the numbers and types of programs offered for parents. Basically, these programs can be divided into two broad categories -- parent education programs, and parent training programs. The former are generally of lower intensity and are intended for the general population of parents. The latter are more intensive and individualized, and are usually designed for parents or families where problems have already been identified.

---

Probably all parents can benefit from parent education programs. Although the content and format may vary, most programs address some or all of the following issues: 1) The nature and scope of the youth alcohol and other drug use and impaired driving problem; 2) ways to talk to youth about alcohol and other drugs; 3) the effects of parents' own use patterns on youth; 4) tips on discipline and family communication; 5) early warning signs of youth alcohol and drug involvement; and 6) community helping resources. One popular example of a parent education program is "Preparing for the Drug Free Years" which has been offered in both a seminar format and as a television series. Other popular programs have been developed by the Parents Resource Institute for Drug Education (PRIDE) and the National Federation of Parents.

Unlike parent education programs, parent training programs are usually designed for parents of an identified problem child. These programs teach behavioral management techniques, principles of reinforcement, and other methods for increasing the probability of desired behavior, while reducing the probability of unwanted behavior. These programs may also assist parents in helping children with school work, and/or work with parents on communication patterns or parent/child relationships.

A major challenge for parent education and training programs has been securing the participation of parents who are most in need. Participation rates in parenting programs have generally been low, and those parents who *do* choose to participate are often those who are already concerned about and actively involved in parenting issues. Unlike children, most of whom are in school, there are few "captive populations" of parents. Thus, prevention experts have suggested a number of strategies that might be used to increase parental participation. These include requiring participation in parent education as a requirement for licensing of teen drivers, recruiting influential parents as opinion leaders to convince other parents to attend, and offering parent education and parent training as

part of pre-paid health plans and through health maintenance organizations (HMOs).

### **PARENT-TO-PARENT PROGRAMS**

The parent education and parent training programs discussed thus far are generally offered by professionals to community parents. However, there is a long and well-respected tradition in the alcohol and drug field of parents offering support and assistance to one another through parent-to-parent programs, such as those promoted by PRIDE and the National Federation of Parents for Drug-Free Youth. Although some of these programs have developed national organizational structures, their key feature is a grassroots coalition of parents who take it upon themselves to do something about youth alcohol and drug problems.

Parent-to-parent programs are active at all levels of the community from instituting new rules in their own homes to raising parents' awareness to advocating for broad changes in community norms and values and in the activities of community agencies. Research has suggested that concerned parents do make a difference, and that the activities of these groups have a positive impact on the communities in which they are located. PRIDE and the National Federation of Parents provide information, materials, and technical assistance to parents wishing to join the concerned parents movement.

The "Safe Homes" program provides a concrete example of what parents working together can do to prevent youth alcohol, drug, and impaired driving problems. Parents participating in safe homes programs sign a pledge not to allow unsupervised parties or parties where alcohol or other drugs are available in their homes. Lists of "Safe Home" parents are then circulated, allowing parents to determine whether or not a party to which their child has been invited will take place in a "safe home." "Safe Homes" programs often distribute guidelines for hosting teen parties, makes parents aware of their legal responsibilities and liability.

---

regarding underage alcohol use, and facilitate cooperation among parents, schools, and police in the control of youth alcohol and other drug use. An example of a parent pledge program is provided in *Steering Clear of Alcohol and Other Drugs*, a pamphlet prepared by The National PTA.

### **COMMUNITY TASK FORCES**

The fragmented efforts of various community agencies can never fully address as complex and widespread a problem as youth impaired driving. There is a growing consensus that an effective community response to this issue must be coordinated and comprehensive. Unfortunately, experience suggests that in most communities, key actors in one sector -- e.g., the police -- are largely unaware of the activities of key actors in other sectors -- e.g., the schools. Moreover, the activities of one sector may contradict or undermine the activities of another sector. It does little good for police to step up impaired driving enforcement if the courts regularly divert youthful offenders. Similarly, it does little good to offer an alcohol-free party on prom night if police turn a blind eye to drinking in an adjacent parking lot.

In order to increase communication and coordination among all of the community agencies and actors responsible for and concerned about youth, many localities are now forming community task forces to address youth impaired driving and other alcohol and drug problems. Typically, these task forces include representatives of local government, the courts, the police, the schools, and both public and private health and human services agencies. Many also include representatives of citizen action groups (e.g., parents groups, MADD), other concerned citizens, and youth.

Experience suggests that some community task forces lose momentum once the group has been formed and must get down to business. Everyone agrees that something must be done to address youth impaired driving, but the problem appears so complex and intractable that many task forces simply do not know where to begin.

### **METHODS FOR LIMITING YOUTH ACCESS TO ALCOHOL**

Surveys suggest that most youth can easily get alcohol when they want to. It may seem obvious, but if communities make it more difficult for youth to obtain alcohol, less drinking and less impaired driving will occur. Several methods for reducing youth access to alcohol are discussed elsewhere in this publication. These include school discipline policies, various enforcement and driver licensing strategies, and legislation. Here, we will deal with a specific concern of many communities -- controlling youth access to alcohol at large public events.

Many public events, such as sports contests, concerts, and fairs, have become settings for underage drinking. In spite of the responsible alcohol management practices being implemented across the country, underage youth may still be able to circumvent the policies and procedures adopted. Thus, sales to minors and the passing of alcoholic beverages from adults to underage youth may still occur at these events. Although some communities have taken direct steps to reduce the number of public settings where drinking occurs (e.g., refusing to issue beer tent licenses for local fairs), it is likely that many large, public events will continue to include alcohol.

In response to the problem of drinking at large public events, NHTSA, in cooperation with Major League Baseball, the National Basketball Association, and the International Association of Auditorium Managers have developed Techniques for Effective Alcohol Management (TEAM). TEAM includes specialized assessment and training for the managers and all service providers at public facilities. Some of the strategies adopted by public assembly facilities include: selling beer in cups easily distinguished from those used for soft drinks (in order to ease identification of drinking youth); limiting the size and number of beers sold to a single individual; banning sales in the stands where I.D.'s are more difficult to check; and closing beer concessions well before the end of the event (al-

---

lowing those who do drink some time to sober up before driving). TEAM also produces informational posters to be displayed at public events and uses athletes as spokespersons in public service announcements concerning impaired driving for use in the community.

---

---

## WORK-BASED PROGRAMS

The places where people work can play a central role in preventing alcohol and other drug problems, including impaired driving. For many people, jobs help define who they are, and the workplace is an important part of social life. Thus, places of business can help shape social attitudes and behavior. It has also been recognized that the use of alcohol and other drugs can impair work performance, decrease productivity and threaten safety on the job. For these reasons, businesses have been motivated to take a more active role in alcohol and other drug problem prevention.

Even though young people are not as likely to have jobs or to spend as much time in their jobs, businesses have an important role to play in preventing alcohol and other drug related problems among youth. Many young people work part-time while in school, and for youth who have dropped out of school, the work place may be one of the only places to reach them. As is the case with adult employees, it makes good business sense for employers to participate in the prevention of alcohol, drug, and impaired driving among the youth who work for them. Drug and alcohol free employees are more productive, more reliable, and safer on the job. The work place is also an important setting for raising parents' awareness of the youth drug, alcohol, and impaired driving problem. As we have already discussed, community programs for parents are plagued by low attendance, but in almost all families, at least one parent works.

In addition to their responsibilities to employees and their families, businesses have an important role to play in the overall community effort to combat youth drug, alcohol, and impaired driving problems. In almost all communities, at least some responsibility for the sale and serving of

alcohol rests with private businesses. These businesses help determine whether or not youth will have easy access to alcohol -- a key determinant of youth drinking and drinking/driving problems. Businesses also can participate as partners in the community's drug, alcohol, and impaired driving efforts by donating resources to support programs, awareness campaigns, and other community-based prevention activities.

### *EDUCATIONAL PROGRAMS*

Work settings are a potentially effective place for education about alcohol and other drug problems and impaired driving -- whether the educational campaign is aimed at young people working in that setting or at their parents. Posters, announcements, noon-time speakers, and informational leaflets included in the pay envelope can all be used to convey the message that impaired driving is unacceptable and to give specific information about the law. For example, a pay envelope stuffer would be an ideal way of publicizing the new "use and lose" law (a law which states that minors can lose their driver's license for any alcohol-related offense). The message would be important either for parents to take home to their sons and daughters or for young workers to see for themselves.

In addition, the work place can be an effective setting for law enforcement officers, victims of impaired drivers or other outside speakers to make appearances and give informational talks about the dangers of impaired driving and other traffic safety issues. Such programs might be particularly appropriate for those businesses that rely heavily on youth in their work forces, and for businesses where driving is a key aspect of youth employment (e.g., food delivery services).

---

## **EMPLOYEE ASSISTANCE PROGRAMS**

More and more businesses are recognizing that alcohol or other drug problems can have serious consequences for the safety and productivity of workers -- whether it is a worker or a family member who is experiencing difficulties. Workers with alcohol or drug problems take more sick leave, have a harder time concentrating on the job, and may come to work impaired or "hung over." Simply firing these workers is not a cost-effective solution -- an experienced employee in whom the company may have a considerable investment may be lost. Instead, many companies are finding it more economical and socially beneficial to offer counseling and referral services to troubled employees and their families. Studies of such "employee assistance programs" have found them to provide very good economic return in terms of increased productivity and decreased employee illnesses and accidents.

Employee assistance programs (EAPs) provide a variety of services from peer counselling by specially trained co-worker volunteers to referral for outpatient or inpatient alcohol and other drug treatment. Many EAPs also offer prevention services such as rap groups and educational seminars. The best EAPs encourage supervisors to refer employees to the EAP if a performance problem develops and also allow employees to seek help from the EAP on their own. All services from the EAP should be confidential and there should be no negative consequences for the employee for seeking or being referred for help.

Obviously, the size of the company and the resources available will determine in large part how extensive the services can be. But the existence of the EAP, in whatever form, conveys a message of caring concern that can help both youth and adult employees to recognize and come to grips with an emerging alcohol or other drug problem before the problem becomes debilitating.

## **WORKPLACE POLICIES**

Every workplace should have a specific policy regarding alcohol use on the job and illicit drug use on or off the job. For jobs involving driving, the policy should also address safety belt use. In the workplace, as elsewhere, deterring potential violators is much more effective than attempting to detect and punish actual violators. In order to maximize the deterrence effects of workplace policies, they should be well publicized and well understood by workers. Offenses should be dealt with swiftly and in strict accordance with the policies.

Obviously, different kinds of work settings and job duties require different rules and enforcement means. Rules for employees in safety-sensitive jobs should be very strict and might include alcohol and drug testing at appropriate points (e.g., pre-employment, following an accident, and at random intervals). For all workplaces, alcohol and illicit drug use should be prohibited during working hours, and the use of alcohol (by adults) outside of work hours should not impair an employee's ability to perform work duties.

As is the case with all of society's laws, the consequences for violating alcohol and drug related workplace rules should be serious enough to deter violations but not so severe that no one is willing to enforce them. Studies of well designed and well enforced policies in some safety-sensitive work settings have indicated substantial reductions in alcohol and other drug impairment on the job and reductions in accidents and property damage on the job. Workplaces interested in implementing policies should contact one of the many organizations offering consultation in employee alcohol and other drug use issues. Such organizations can be identified through the alcohol and other drug abuse agency in your state or county government.

---

---

## **REDUCTION OF ALCOHOL SALES TO MINORS**

Businesses that sell alcohol -- stores, restaurants, and bars -- have both a legal and an ethical responsibility to prevent alcohol sales to underage patrons. Many businesses are now taking positive action to ensure that they do not contribute to youth impaired driving. For example, Southland Corporation's 'Come of Age' program is designed to reduce alcohol sales to minors in Southland's 7-11 stores. The major components of the program include: 1) Motivating employees to I.D. all customers who appear to be under 25 years of age; 2) training employees to deal with customers who refuse to provide an I.D., provide a fake I.D., or become unruly; 3) providing all stores with signs that prominently announce the "no sale to minors" policy; 4) having all clerks wear buttons that announce the policy; and 5) disciplining employees who fail to check I.D.s.

Some bars and restaurants are also experimenting with sales policies designed to eliminate sales to minors or intoxicated adults. These policies can include eliminating beer by the pitcher (which might encourage over-drinking or sharing with minors), eliminating happy hours, and structuring service in such a way that servers can more easily monitor who is drinking and how much. Communities can also reduce impaired driving by common sense measures such as prohibiting the sale of chilled single cans of beer at gas stations and convenience stores, and by providing businesses that sell alcohol with an up-to-date booklet that displays the valid drivers license and identification cards of all U.S. states and territories.

Server training to avoid sales to minors or intoxicated patrons has become very popular in recent years. Training may include information about how to identify false I.D.'s, how to spot purchases by adults who intend to pass the alcohol on to a minor, and how to handle patrons who become belligerent when they are refused service. In some

communities, programs are provided by community agencies to businesses that are too small to implement such programs on their own.

Once policies have been established in a sales outlet and the servers have been trained, some companies find it beneficial to closely monitor the enforcement of policies. Law enforcement agencies can only monitor a small proportion of establishments, therefore good management of an alcohol sales establishment must include monitoring of employee behavior and appropriate consequences for violations of policy. Such monitoring can be as simple as keeping a close eye on clerks, bartenders, and other servers to make certain that they ask for appropriate I.D. and follow other policies. Some companies may use more elaborate monitoring systems, including underage decoy customers.

## **SPONSORSHIP OF COMMUNITY PREVENTION ACTIVITIES**

Communities free of the disruptions caused by youth alcohol, other drug, and impaired driving problems are better places to do business. Thus, it makes good business sense for local establishments to become involved in the community's overall prevention efforts. There are a number of opportunities for business involvement in the community's efforts to reduce alcohol, other drug, and impaired driving problems.

First, businesses can provide resources for prevention activities. Resources can range from monetary contributions to donation of materials or staff time. For example, a store or restaurant could donate refreshments for an alcohol-free party for youth. A newspaper could provide space for announcements or informational advertisements. A radio station could provide a disc jockey and live coverage of alcohol-free dances.

A second way for businesses to participate in community prevention efforts is to be a representative on community task forces. In this way,

---

business leaders can make certain that their unique points of view are represented in community planning and that the actions of the planning bodies are endorsed and carried out by the business community.

Third, some businesses may want to take a primary leadership role in the implementation of a prevention program. The program might be one related to the nature of the business. For example, an amusement arcade or other youth-oriented business might sponsor an alcohol-and drug-free prom night party. Other businesses may wish to sponsor an activity

in which the owners or employees have a particular interest (sponsoring a SADD chapter or leadership training conference).

Finally, businesses with large numbers of youth patrons (e.g., movie theaters, shopping malls) have a unique opportunity to raise awareness, and can display posters, distribute literature, and include prevention-related messages on packages and containers. Since many of these materials are available from state and national organizations free of cost, the investment on the part of the business is minimal.

---

---

## ENFORCEMENT

Many laws exist or have been suggested which are designed to reduce drinking as well as drinking and driving among youth (see Sections on LICENSING AND LEGISLATION). However, no law can be fully effective unless it is enforced vigorously and efficiently. The existence of a law that is *not* well enforced can actually be counterproductive -- poor enforcement can lead the public to believe that laws are not meaningful and can be violated with impunity. Communities and police forces are experimenting with a number of strategies to help ensure that laws are enforced vigorously and efficiently. These include training for police officers, police patrols focussed on problem areas, a variety of prevention oriented enforcement programs, and streamlining arrest procedures.

### *POLICE TRAINING*

Among the problems that prevent the effective and vigorous enforcement of laws related to youth drinking and driving, perhaps one of the most important is the attitude of some officers. As a society, we have traditionally taken an indulgent attitude towards drinking among youth. We have viewed it as a harmless rite of passage. "After all, everyone has to learn to drink in order to be an adult." The individuals who work in law enforcement are as much a product of these societal attitudes as any of us. Tragically, it is sometimes not until an officer must deal directly with the mangled wreckage of a youth impaired driving crash that the message comes home. The attitudes of police officers can be changed more effectively through training programs that emphasize the seriousness of the problem and the importance of the role of the officer in deterring youthful drinking and driving.

Police training programs can also provide officers with the tools to enforce laws efficiently. These tools include effective methods for detecting impaired drivers on the road, training in the use of horizontal gaze nystagmus (eye movements) as a means of detecting impairment once a motorist has been stopped, and the use of passive alcohol sensors which can quickly and unobtrusively detect whether or not a driver has been drinking. Experts also emphasize the importance of training for command personnel (i.e., police supervisors) who set policies and priorities for the department, provide leadership for the line officers, and make personnel allocation decisions.

### *"FOCUSED" PATROLS*

One way that police can increase the efficiency of enforcement is to identify those times and locations where most drinking and driving -- especially that involving youth -- occurs. Enforcement efforts can then be concentrated in these areas. For example, some concerts or sporting events are accompanied by heavy drinking. Patrolling the roads leading away from these events at their conclusion can yield arrests. Perhaps even more importantly, the visible and conspicuous presence of the police in these situations may cause the potential drinking driver to reconsider his or her behavior.

Most communities have areas that are notorious as spots for drinking among youth. These might include parks or downtown "cruising" areas--sensible places for vigorous patrolling. Again, the presence of the police can serve as a reminder to youth that the community intends to apprehend and punish underage drinkers.

---

## **PREVENTION-ORIENTED POLICING**

The discussion above has focused on what we usually think of as law enforcement's role in controlling drinking and driving -- arresting youth who are breaking the law. The police also have a very important role to play in making sure that young people don't drink at all, or if they do, that they never get into a car to drive.

Many police departments are experimenting with what is called "problem-oriented" or "community-oriented" policing. In problem- or community-oriented policing, officers attempt to identify potential problem areas and to intervene *before* a crime occurs. For example, patrol officers might determine that the unlighted parking lot near a convenience store is an ideal place for youth to gather and drink. The police might encourage the owner of the lot to install bright lights in order to discourage youth from gathering.

Another way that enforcement efforts can prevent youth drinking and driving is to vigorously enforce laws against alcohol sales and distribution to minors. In some police agencies, officers question young drinking-driving offenders and minor-in-possession offenders about where they obtained their alcohol. Frequently named establishments can then be subjected to intensive surveillance. In some jurisdictions, "sting" operations are set up in which underage volunteers attempt to purchase alcohol (while law enforcement officers observe). Those establishments that sell alcohol to minors are then fined (for first offenses) or closed down (for multiple offenses). Methods by which the purchase of kegs of beer are monitored (e.g., serial numbers) can be used to identify adults who purchased the beer consumed at teenage keg parties.

In some communities, the police work closely with parents, schools, and young people so that parties where alcohol is to be served to youth are stopped before they start. For example, concerned parents whose children are invited to such a party can report the event to the police, who will then visit the homes where the party is to take place. Al-

though the visit from the police will be all that is needed to stop some parties, there are parents who still believe that youth are "better off drinking at home." A discussion with the police about criminal and civil liability resulting from such actions can often change the parent's mind. Police can also intervene when parties are planned in parks or other public areas.

In communities where partnerships between parents, youth and police have been most successful, the attitude cultivated by the police is one of concern and caring rather than punitive and dictatorial. Thus, cooperating with the police is seen as a responsible and potentially life-saving act rather than as "ratting" on friends.

Research has shown that the most effective way to deter drinking and driving in any group -- including youth -- is to increase the public perception that offenders will be caught and will be punished. Obviously, the police do not have the capacity to catch every impaired driver -- or even a small fraction of them. But the more people believe they are likely to be arrested, the less likely they are to violate the law. Thus, highly publicized police patrols or roadblocks and, in general, the conspicuous presence of the police in key areas at critical times can deter impaired driving.

In order to make sure that young drivers get the message, the public information should be carried in media that reach teens. For example, announcements on popular radio stations, or posters in high schools or in places (like malls, video arcades, convenience stores, etc.) where young people gather can get out the word that the police are on the lookout for impaired drivers and that serious consequences are certain to follow an arrest.

## **STREAMLINED ARREST PROCEDURES**

One problem that law enforcement officers frequently mention is the difficulty in making a drinking/driving arrest. The process can take several hours, especially when a juvenile is involved. This takes the officer away from patrol-

---

ling the highways. Thus, officers' enthusiasm for enforcing drinking/driving laws may be diminished, especially when a young person is involved. Jurisdictions can develop task forces charged with streamlining arrest procedures. The task force should include individuals representing police, courts, motor vehicle departments, youth services, and health care, since all these agencies may be involved in the arrest and detention of youth alcohol and other drug users.

A number of strategies have been adopted to reduce the time and complexities involved in dealing with youth who are arrested for alcohol-related offenses. The likelihood that police will intervene in these situations is increased when the community has designated a reception center --usually a hospital emergency room -- where officers can quickly and efficiently take intoxicated youth. The Adolescent Intervention Program run by the University of Wisconsin Hospital in Madison provides one excellent example of such a program. Some law enforcement agencies use auxiliary personnel (often volunteers from the community) to take

over custody of offenders once the arrest has been made. These volunteers can contact parents, provide constant supervision, and ensure separation from adult offenders.

Agencies also attempt to make the blood alcohol testing process more efficient by providing mobile testing units or numerous units placed throughout the jurisdiction. The use of preliminary breath testing devices can also provide the officer with some assurance that the offender is over the legal limit and the arrest is worth pursuing. These devices may be particularly important in those states where lower Blood Alcohol Concentration (B.A.C.) levels have been adopted for youth.

Of all the individual programs and strategies that must be implemented in order to successfully reduce the problem of impaired driving by our youth, strategies that affect the young person's freedom to drive have shown the greatest promise. In fact, the other parts of a comprehensive, community-wide program might not work if there is not a fear that the highly treasured driving privilege could be lost.

---

---

## LICENSING STRATEGIES

A driver's license is one of the most prized possessions of a young person. Having strict control over the conditions under which a young person can drive can ensure that the young person will be much more open-minded and receptive to the other parts of the program. For example, while some teenagers might not normally be interested in an alcohol-free party, the threat of losing driving privileges could make them more willing to attend. If this sounds like the old carrot and stick approach, that's exactly what it is.

There are a number of licensing programs that have been implemented in various parts of the country that show promise. They include presenting the license in juvenile court, provisional licensing, restriction of driving hours (curfew laws), revocation of driving privileges for any alcohol use and methods to control false I.D.'s.

### *PRESENTATION OF THE DRIVERS LICENSE IN JUVENILE COURT*

One method Virginia has used to impress upon the young driver that driving is a privilege is to present the driver's license in a ceremony in the juvenile court. A juvenile court judge gives the license to the *parent*, emphasizing that driving is a privilege bestowed by the court through the parent and that either the court or the parent can take the privilege away if the young person does not obey the rules. A short education program is usually involved. This is an excellent way to reach *all* new young drivers and their parents with information and a warning about the law.

### *PROVISIONAL LICENSING*

Young drivers are different from more mature drivers, and it is sensible to treat them differently when allowing them to drive. Young people often

lack adequate driving skills and driving experience. They are more likely to drive during the high-risk nighttime hours and often display poor driving judgment and decision making. Alcohol and other drugs tend to make a poor situation worse by intensifying all of these shortcomings, since judgment and divided attention skills are impaired by relatively small amounts of alcohol.

In order to gradually introduce young drivers into the driving mainstream, a number of states and other countries have implemented provisional licensing systems for young novice drivers. The goal of these systems is to assist the young driver in acquiring skills, experience, and knowledge in a gradual way under controlled conditions. Under a provisional licensing system, these young drivers are motivated to drive safely while they are learning, since the provisional period could be extended if traffic violations or accidents occur. We can also expect that safe driving habits instilled in a novice driver, will continue throughout the driver's lifetime.

A number of states, including California, New Jersey, Maryland and Illinois, have developed handbooks to assist parents in providing young novice drivers with more behind the wheel practice. Parent involvement is very important because young drivers often do not receive enough behind-the-wheel practice in their high school driver education classes. In addition, parents are an important influence in the development of their children's driving skills.

In all states, licenses are issued to young drivers after they have passed a written test indicating they know the rules of the road and have passed a behind-the-wheel test showing they have enough skill to drive safely. If a young driver violates a traffic regulation or is involved in a crash, some

---

states take action to help improve the young drivers skills. Such steps include warning letters, extension of the provisional license period, additional testing and assignment to special driver improvement course. In California, a second driving offense results in requiring that the young driver be supervised by an adult over the age of 25 for a 30-day period.

Gaining behind-the-wheel experience is important to improve driving skills, but where and when this experience takes place can have a major effect on accident rates. Daytime driving is much less hazardous than nighttime driving. Fatal crash rates for all drivers are much higher at night, but youthful drivers are at particular risk. Twelve states have laws that prohibit young drivers from operating motor vehicles during nighttime hours. These curfew laws vary from state to state by age, but usually affect 16 and 17 year olds. The restricted hours also vary. For example, Maryland restricts driving from midnight to 6 a.m., Louisiana from 11:00 p.m. to 5:00 a.m. Most of the states allow driving under certain circumstances for those affected by the restrictions. Some allow driving by young drivers if accompanied by an adult or driving to or from school or work. These restrictions have the effect of keeping the novice drivers off the highways during the high crash risk nighttime hours and allow them to acquire their behind-the-wheel experience during the less risky daylight hours.

Studies of curfew laws found them to be effective in substantially reducing crashes involving 16-year-old drivers during the curfew hours. Fewer crashes also occurred during other times of the day. It was also found that in states where young drivers were more knowledgeable about the curfew law, less driving took place during the restricted hours. Greater reductions in driving also occurred in states with curfew laws where parents were more likely to enforce the curfew.

Curfew laws do not have a great effect on the mobility of novice drivers, since only a small portion of their driving is done between midnight

and 5 a.m., (the core hours of all curfew laws). Legislators sometimes worry that such laws will be poorly accepted by youth (many of whom will be voting soon). Interestingly, however, while more than half of youth surveyed in states *without* curfew laws did not approve of these types of restrictions, 90 percent of students surveyed in states that had curfew laws favored them.

A major factor in youth involvement in crashes is the age at which young people obtain their first license. Studies have shown that delaying the licensing age (or reducing the licensure rate among the youngest drivers) reduces crashes. There are numerous methods of increasing the licensing age. The most obvious method of reducing the teenage licensure rate is to raise the minimum licensing age. Another method is the imposition of curfew laws. These laws tend to delay the licensure of a portion of youth eligible to apply for a license. Since one of the major benefits of having a license, in the minds of 16 or 17 year olds, is to drive at night, many are not motivated to apply until they are old enough to drive without restriction. This is especially true for states that have a curfew that begins well before midnight.

#### *RESTRICTION OF DRIVING PRIVILEGES FOR ALCOHOL USE*

Currently, 24 states have some type of special sanction for young drivers who are involved in alcohol-related driving offenses. These laws differ significantly. Some affect all drivers under the age of 21, while some use 17, 18, or 19 as the cut off age. Some states have reduced the B.A.C. level required to impose the sanction to less than the B.A.C. level in effect for older drivers. There is good justification for setting lower B.A.C. levels for young drivers. Studies have shown that even though teenagers drive less frequently after drinking, and have lower blood alcohol concentration than other drivers, they pose a greater risk than other drinking drivers.

In some states, *any* alcohol- (and in some cases drug-) related offense can lead to a license penalty,

---

even if the offense did not involve driving. In Utah, the license may be suspended if a youth is simply at a party where alcohol or drugs are being used. The penalties vary from state to state -- some suspend a youth's license for one year, some for six months and in one state, Arizona, the license is suspended for two years.

#### ***ADMINISTRATIVE LICENSE PENALTIES***

One way of making any license penalty much more effective is to apply it administratively rather than judicially. That is, the penalties are automatic at the time of arrest (if the young person is found to be in violation of the law), rather than being imposed only after a long judicial process. The swiftness and sureness of this type of punishment has been found to be more effective both in persuading offenders not to offend again and in discouraging people who have never been arrested from violating the law.

#### ***REDUCING THE AVAILABILITY AND USE OF FRAUDULENT LICENSES***

Now that all states have a minimum drinking age of 21, more rigorous steps must be taken to enforce these laws to the fullest extent possible. One important step that must be taken is to develop licensing systems that reduce the improper use of licenses for identification for the purchase of alcoholic beverages as much as possible.

Two facts are clear: First, drivers' licenses have become the universal identification document for proving a young person's age for the purchase of alcoholic beverages; and second, the fraudulent

use of licenses for that purpose is widespread. Licenses are either altered to show an earlier birth date or valid, unaltered licenses are used by younger friends or relatives. In addition, fake licenses are made and sold to young people, and some young people use fraudulent documents (e.g., birth certificates) to obtain "legitimate" licenses.

In order to prevent the fraudulent use of licenses, 30 states have developed special licenses for drivers under age 21. For example, 12 states use some form of color coding -- either issuing a license of a different color to minors or having a different color background for the photograph. Seven states use some form of overprint to identify minors. The overprint generally takes the form of additional words, numbers or characters printed on the license. Another 15 states have some other means distinguishing the license of minors. In some states, this may be done as part of the driver license number or as a restriction on the license. Other states use variations of the photograph, such as a profile or 45-degree angle. Finally, at least seven states use a combination of these techniques to identify minors. In order to encourage more states to develop such systems, the Anti-Drug Abuse Act of 1988 includes financial incentives for those that do. In addition, as already mentioned, servers and sellers of alcoholic beverages should be trained in the identification of fraudulent licenses.

---

## ADJUDICATION

Everyone can agree that prevention and deterrence of impaired driving by youth should be a primary goal of any community effort. However, regardless of how effective community prevention and deterrence efforts are, some youth will still drive while impaired. How these youth are dealt with can make a dramatic difference in the lives of these young people and can affect the overall success of the community's efforts. An appropriate response can deter future impaired driving, and can expose and respond to an emerging substance abuse problem. An appropriate response can also lead to involvement of the parents of offenders in dealing with the impaired driving behavior of their children, and possibly with their developing substance abuse problems.

A well thought out system for adjudicating and supervising young impaired drivers can have an impact beyond the courts. When judges deal effectively with youth impaired drivers, police are more likely to believe that the time and trouble required to make arrests are worthwhile. Adjudication and supervision can also have an impact on youth who have not been arrested -- they help deter impaired driving by providing swift and sure sanctions for offenses by sending a message to the community at large that impaired driving will not be tolerated.

This section, and the section that follows (SUPERVISION) discuss promising strategies for responding to youth who have been arrested for impaired driving. Several issues relevant to the handling of young impaired driving offenders are discussed in other sections of this volume. These include discussions of licensing approaches, enforcement, and appropriate legislative strategies. This section will discuss issues specifically related to judicial involvement. These include training of judges, the establishment of sanctions appropriate to youth

versus adult offenders, involvement of parents in adjudication, and involvement of judges in community efforts in general.

### *TRAINING OF JUDGES*

Although laws regarding impaired driving have become stricter and more explicit in recent years, considerable discretion is still allowed judges, prosecutors and others involved in the processing of youthful offenders. Prosecutors may not press charges because they must deal with clogged court calendars. Judges may not impose sanctions because they don't want to be excessively punitive. Some officers of the court may not even realize the scope and impact of the youth impaired driving problem or may view youth alcohol use as an "inevitable" part of growing up.

Judges and other officers of the court can benefit from training in a number of areas related to youth impaired driving. These include: 1) the scope and impact of the youth impaired driving problem; 2) the status of current state legislation concerning youthful offenders; 3) methods for screening and assessing youthful offenders; 4) case preparation and case processing; 5) sanctioning including information on adolescent alcohol and other drug abuse treatment options; 6) methods for coordinating with police and state motor vehicle departments to facilitate the adjudication and sanctioning of youthful offenders; and 7) opportunities for community and school involvement for judges and other court officials.

To prepare judges and other officers of the court to better respond to youth impaired driving issues, NHTSA, in collaboration with the Transportation Safety Institute, the National Council of Juvenile and Family Court Judges (NCJFCJ), and the National College of Juvenile Justice has developed a

---

Highway Safety Workshop for Juvenile Court Judges. Workshop materials include an Administrator's Guide, Instructor's Lesson Plans Manual, Visual Aids Packet, and Participant's Workbook.

***EQUIVALENT BUT SEPARATE  
SANCTIONS FOR YOUTH  
AND ADULT OFFENDERS***

There is some controversy as to whether juvenile impaired driving offenders should be adjudicated in juvenile court or as adults. Proponents of adjudicating youthful offenders in adult court argue that driving is an adult privilege, and that, therefore, youth who abuse that privilege should be treated the same as adults. Proponents of adjudicating youthful offenders in juvenile court argue that there are developmental differences between juveniles and adults, and that judges should be able to recognize and respond to these differences in their dispositions. Moreover, proponents of the juvenile court option argue that adult courts must deal solely with the offender. The juvenile court has greater flexibility, and thus can involve parents and siblings who may be contributing to the offender's alcohol- and drug-related difficulties.

Most people seem to agree, however, on two points. First, sanctions should be imposed on juvenile offenders that are of equal *severity* to those imposed on adults. In particular, sanctions such as administrative license revocation, which have proven to be effective, should be equally applied to youth and adults.

Second, every opportunity should be taken to help ensure that the sanctions youthful offenders experience will reduce recidivism. This latter point would appear to argue for the development of a separate but equal sanctioning of juvenile impaired driving offenders, since many of the treatment and educational programs that have been developed for adult offenders will be inappropriate for youth populations.

***INVOLVEMENT OF PARENTS  
IN THE ADJUDICATION OF  
YOUTHFUL OFFENDERS***

In most cases, parents will be involved in the adjudication of a youth impaired driving offense. Often, parent involvement will be implicit, arising from the fines, insurance surcharges, vehicle impoundment, legal fees, and other expenses that accompany an impaired driving arrest and conviction. Because these costs are often borne by the parent, they may be motivated to become more involved to confront their child's drinking and to take a more active interest in monitoring, supervising, and otherwise controlling their child's behavior. However, some experts have argued that parental involvement in the adjudication of youth impaired driving cases should be more direct. This approach facilitates parental realization that a problem exists, emphasizes the severity of the problem, and enlists the parent as a helping resource in encouraging more healthy behavior.

First, parents should be encouraged or required to participate in adjudicatory proceedings. Most states hold parents liable for civil damages resulting from the behavior of their children, and many states allow parents to be charged criminally as co-defendants in juvenile court proceedings. Moreover, creative application of child neglect and contributing to the delinquency of a minor statutes can be used to pressure parents to become involved. In states where statutes allow mandatory parental involvement, judges should be encouraged to require such involvement. In states where such statutes do not exist, the passage of these statutes should be a priority on the legislative agenda.

Second, parents should be involved in the treatment and/or education programs that are often mandated as one component of the sanctions imposed on adjudicated offenders. Treatment and education programs that do not include family

---

involvement are unlikely to be effective. Moreover, many troubled youth come from troubled families, and failure to address family issues in the treatment process reduces the probability that behavior change will be lasting.

Although parental involvement in education and treatment programs is, strictly speaking, part of the supervision phase of processing offenders, it is discussed here because it is a direct outgrowth of the same concerns that have led experts to encourage parental participation in court proceedings.

One promising approach that has successfully involved parents in education programs for high risk youth is Substance Abuse Prevention and Education Resource II (SUPER II), a project of the Metropolitan Atlanta Council on Alcohol and Other Drugs. The program consists of 14 hours of interaction between parents and youth, and focuses on substance abuse information, assertiveness skills, decision making skills, self-esteem, parenting skills, and family skills.

#### *JUDICIAL INVOLVEMENT IN OTHER COMMUNITY EFFORTS*

Often, the only youth who come in contact with judges are those who have been arrested. Although the adjudication of offenders is the judge's primary role, he or she can make a significant contribution to preventing impaired driving in the community at large. An often overlooked function judges can perform is to participate in community

education and awareness raising and to work with other community officials and concerned citizens on community task forces to address youth impaired driving. The judge, as a respected member of the community and as an acknowledged expert in youth issues pertaining to the law, has the power and prestige to get the message across to youth and to bring the youth impaired driving issue to the attention of other adults in the community.

With a very small investment of time, judges can make themselves available to appear in public service announcements (PSAs). For example, the National Council of Juvenile and Family Court Judges has worked with local judges to develop PSAs with the message, "If you are convicted in my court on an impaired driving charge, I will take away your drivers license." With a somewhat greater commitment of time, judges can make themselves available to deliver this and other prevention-oriented messages to youth in schools, churches, and community groups.

In some areas, judges have become quite actively involved in community prevention efforts. The Chemical Abuse Reduced through Education and Services (CARES) project of Toledo, Ohio had its origins in the concerns and creative ideas of a juvenile court judge. CARES currently operates as a coalition of police, juvenile justice officials, parents, treatment professionals, school personnel, concerned citizens, and volunteers that operates a variety of prevention, education, and treatment programs.

---

---

## SUPERVISION

An arrest and conviction for impaired driving is a traumatic event in the life of almost anyone. Youthful offenders in particular may be vulnerable at this time to attempts to influence their subsequent behavior. In many cases, the arrest may be the first time that a substance abuse problem is recognized, and it is an ideal opportunity for the nature of the problem to be assessed and appropriate intervention or treatment sought.

Unlike the adult court system, which focuses primarily on the crime committed and hence on accountability and punishment, the juvenile court system often views the crime (e.g., impaired driving) as symptomatic of other underlying problems. The approach of the juvenile court in preventing recidivism is to assess the underlying problem and to provide the youthful offender with needed services. Thus, programs in the post-adjudication (supervision) phase of processing juvenile impaired driving offenders often includes (or should include) assessment of alcohol and drug problems and referral to treatment services.

This is not to say that accountability is not an important aspect of dealing with youthful impaired driving. Communities are increasingly demanding that the seriousness of youth impaired driving be reflected in penalties of equivalent severity to those imposed on adult offenders. However, in the case of juveniles, it is recognized that fines are often paid by parents, and that incarceration may be counterproductive for young people. Thus, jurisdictions around the country are experimenting with innovative sanctions that communicate to youth the seriousness of impaired driving while at the same time contribute to the rehabilitative goals of the juvenile justice system.

### **COMPREHENSIVE SCREENING AND ASSESSMENT PROGRAMS**

Large numbers of juvenile offenders are involved with alcohol and other drugs. This is the case across all offense categories, but is obviously of special concern when the offense is alcohol or other drug-related. Numerous experts have advocated comprehensive screening and assessment programs for youthful offenders.

Some court systems now routinely conduct urine screening of arrestees and detainees. Although the accuracy of such testing has improved in recent years, drug testing is limited to detecting relatively recent use, and says little about the nature, extent, and severity of a teenager's alcohol and other drug involvement.

Recently, the National Institute on Drug Abuse (NIDA) funded the development of an Adolescent Assessment and Referral System (AARS) in response to the expressed needs of courts and other youth serving agencies for a comprehensive assessment system for troubled adolescents. The AARS provides a mechanism for screening, assessment and diagnosis, and treatment planning focusing on 10 life domains in which adolescent substance abusers appear to experience problems (substance use/abuse, physical health status, mental health status, family relationships, peer relations, educational status, vocational status, social skills, leisure and recreation, and aggressive behavior/delinquency).

The AARS consists of three interrelated components: 1) the *Problem Oriented Screening Instrument for Teenagers (POSIT)*, a paper-and-pencil

---

questionnaire that provides a "quick screen" of the 10 life domains addressed by the AARS; 2) A *Comprehensive Assessment Battery (CAB)*, which provides in-depth assessment and (where appropriate) clinical diagnoses in each of the 10 AARS life domains; and 3) a *Guide to the Preparation of a Directory of Adolescent Services*, which presents a structured, step-by-step procedure to identify, evaluate, and catalogue local treatment and rehabilitative services for troubled adolescents. The AARS is designed to maximize the use of scarce resources by only performing comprehensive assessments in those life domains flagged by the POSIT screen.

### ***CUSTOMIZED TREATMENT PROGRAMS FOR ADOLESCENT SUBSTANCE ABUSERS***

Experts in adolescent treatment generally agree on two guiding principles. First, adult models of treatment cannot be directly applied to adolescents. Adolescent substance abuse differs in a number of important ways from adult substance abuse, including the important fact that adolescents are in a period of rapid physical, psychological, emotional, and spiritual growth, all of which are impaired when adolescents become involved with alcohol and other drugs. Second, youth experiencing alcohol and other drug problems are a diverse group. Adolescents differ in the types of substances with which they are involved, the level of their involvement, the other life problems that accompany use and abuse, and the social support they will receive from family and friends in the process of recovery.

For these reasons, recent years have seen the development of a number of specific models for adolescent treatment programs. Several of the most promising programs proceed from the assumption that adolescent substance abusers have suffered an interruption in normal development and must be helped to "catch up" with their age mates. These programs, which may last from several months to several years, attempt to provide an environment that fosters "habilitation" as opposed to the reha-

bilitation that characterizes many adult substance abuse programs. Such programs also provide a wide range of services in addition to those specifically targeted at substance abuse, and proceed from an individualized treatment plan which specifically recognizes that different adolescents experience varied constellations of problems. Nationally recognized programs of this type include Amity in Tucson, Arizona and Phoenix House in New York and California.

For some adolescents, the best treatment option appears to be a residential setting which removes them from the influence of delinquent peers and/or removes them from a troubled home situation. For other adolescents, however, day treatment programs offer a less disruptive, and often less expensive, treatment option. Adolescents involved in day treatment programs continue to live at home, although they attend the treatment program full time during the day. Along the same lines, some communities are experimenting with alternative schools designed for adolescents who are recovering from alcohol and other drug problems. These schools offer an individualized course of instruction, as well as a variety of specialized services to meet the specialized needs of recovering youth.

Unfortunately, many communities do not have the resources to offer a range of adolescent treatment services. Indeed, many small communities may have trouble justifying the need for even one such program. For this reason, some states have established regional treatment centers that draw clients from a number of surrounding communities. However, by coordinating existing youth services (educational, vocational, medical, mental health) through probation or another case management agency, communities can build comprehensive treatment programs using existing resources.

### ***INNOVATIVE SANCTIONING***

As already noted, providing assessment and treatment services should not be considered the only disposition for youthful impaired driving offenders. Youth must also be held accountable for their

---

---

actions. One of the most popular innovative sanctions for youthful offenders is restitution. Under the restitution model, youthful offenders are matched with paying jobs that allow them to repay their victims. Restitution may also take the form of community service aimed at repaying the community at large. Such restitution might be particularly appropriate for an impaired driving conviction that does not involve injury or property damage. These programs teach offenders accountability for their behavior and allow them to earn back their place in society while remaining in the community. Restitution programs also offer repayment to victims for their losses and allow victims to participate in the justice system.

The Office of Juvenile Justice and Delinquency Prevention supports the Restitution Education, Specialized Training, and Technical Assistance Program (RESTTA). The RESTTA program offers training and technical assistance to jurisdictions wishing to implement or refine juvenile restitution programs. RESTTA has also developed a variety of printed materials and video tapes to support the restitution efforts of local jurisdictions.

Another innovative sanction that is gaining popularity is to expose impaired driving offenders to victims panels. These panels are composed of individuals who have lost loved ones or have, themselves, been seriously injured by impaired drivers. The panels share their experiences to assist young offenders in recognizing the reality of impaired driving and the damage that can be done to innocent lives.

Related to both restitution programs and victims panels are programs that assign youthful impaired driving offenders to provide community service on shock trauma units of local hospitals. Since many, if not most, of the patients on such units are injured in alcohol and other drug related incidents, the shock trauma unit provides a graphic and usually unforgettable introduction to the consequences of impaired driving. Some shock trauma programs, such as that offered by the University of Maryland Hospital, in Baltimore, Maryland, do not involve

community service, but rather allow offenders to interact with shock trauma patients. Following these offender/patient meetings, offenders participate in a guided discussion of drug, alcohol, and impaired driving issues.

### ***INTENSIVE SUPERVISION FOR REPEAT OFFENDERS***

A small portion of youthful offenders will repeatedly commit serious crimes. Although the numbers of such youth are very small, they commit a disproportionate number of serious crimes, they account for a disproportionate amount of resources expended by the juvenile justice system, and they cause a great deal of frustration for all youth serving agencies in the community. They also tend to be involved with alcohol and other drugs.

In order to assist jurisdictions in dealing more effectively with repeat offenders, the Office of Juvenile Justice and Delinquency Prevention has funded the Serious Habitual Offender Comprehensive Action Program (SHOCAP) an extension of the previously developed Serious Habitual Offender, Drug Involved (SHO/DI) program. SHOCAP facilitates information sharing among juvenile justice agencies in order to make the serious youthful offender more visible to key actors in the juvenile justice system.

The key tools used in SHOCAP are rosters and profiles. Rosters identify active serious habitual offenders (SHOs) and are used to alert police departments and juvenile justice system agencies. Profiles contain information relevant to the juvenile's offending behavior, including criminal and traffic arrest history, case summaries, descriptive data, favorite criminal activities, police contact information, criminal associations, drug and alcohol involvement, and pertinent social and school history information. The profiles are provided to police officers, District Attorneys, Juvenile Probation departments, and other juvenile justice agencies. These profiles serve to inform and enhance decision making at all levels of the system.

---

---

## LEGISLATIVE STRATEGIES

Legislation can be an extremely important tool in our efforts against impaired driving by youth. Youth, like all of us, need rules to follow and swift and certain consequences for violating the rules. Inadequate laws, along with lax enforcement and inconsistent sentencing, send a confusing or permissive message. Several legislative changes that seem to be promising in the reduction of impaired driving by youth were discussed in the section on LICENSING, and the importance of adequate enforcement of laws was discussed in the section on ENFORCEMENT.

In thinking about the usefulness of legislation, it is important to keep in mind that laws are most effective when they *prevent* people from committing violations. No matter how vigorous enforcement efforts might be, the police can never apprehend more than a small percentage of offenders. However, if the general public knows that a law exists and believes that they are likely to be punished in a meaningful way for violating the law, a significant proportion of people will make the decision *not* to break the law.

Researchers agree that laws can be effective deterrents, if it is widely known that consequences for a violation will be swift and sure. The severity of the penalties does not seem to be as important in deterring offenders. As discussed under Enforcement, it is *counterproductive* to have laws on the books that are not well enforced and which do not result in the mandated penalties for offenders. The passage of laws that are unenforceable or unsupported by the public may be damaging to prevention efforts.

We shouldn't lose sight of the use of laws to provide *incentives* as well as disincentives. For example, some law enforcement agencies send congratulatory letters to parents seen using child

safety seats properly. In addition, laws can influence behavior by setting up environments in which undesirable behavior is less likely to occur. For example, zoning laws that prohibit alcohol sales within a certain radius of a school set up an environment that discourages alcohol use by students -- by making alcohol more difficult to obtain and by making it clear that alcohol use by students is unacceptable.

Throughout *Tools for Community Action*, we have discussed legislative approaches to reducing the youth impaired driving problem. In particular, we have discussed legislation related to the driving privilege, including provisional licensing for novice drivers, restrictions on the driving privilege for non-driving related alcohol use, and administrative license penalties. All of these contribute to an atmosphere of "zero tolerance" for alcohol and other drug use and impaired driving among youth.

In this section, we discuss legislative initiatives not discussed elsewhere in this publication that show promise in preventing impaired driving by youth and its most serious consequences. These include stricter sanctions for impaired driving offenders under 21, a variety of efforts to reduce youth access to alcohol, mandatory safety belt use, and motorcycle safety.

### **STRICTER SANCTIONS FOR IMPAIRED DRIVING BY YOUTH**

It is important to keep in mind that laws are unlikely to be enforced or sanctions applied if the sanctions are too severe or too burdensome. Research suggests that the most effective and efficient means of sanctioning youth for impaired driving offenses is to delay or revoke the driving privilege. It is also possible to include other sanctions for these behaviors, including fines,

---

educational programs, community service requirements, and restitution. However, since licensing penalties have consistently been found to be the most effective sanction to deter impaired driving, it is very important that these other sanctions be applied in addition to, rather than instead of, licensing penalties.

### **LEGISLATION TO REDUCE YOUTH ACCESS TO ALCOHOL**

Many argue that the most effective way to prevent impaired driving and other negative consequences of youth alcohol use is to prevent young people from drinking alcohol in the first place. Therefore, legislative efforts to decrease youth access to alcohol are an extremely important part of the community's response to youth alcohol problems. Many such strategies are discussed elsewhere in *Tools for Community Action*.

A number of experts have called for increased sanctions for selling or otherwise providing alcoholic beverages to youth. Adults can provide alcohol to underage drinkers by agreeing to buy alcohol and then transferring it to the youth (often this is done by older friends). They can also serve or sell alcohol to youth who do not show proper I.D. or who use forged I.D.'s. In addition, parents or other adults often provide alcohol to young drinkers at parties in the home in the misguided belief that these youth are better off drinking in a home than in an even less controlled setting.

Legislation can reduce the probability that adults will provide alcohol to youth by increasing criminal sanctions or by increasing civil liability for damage or injury resulting from these behaviors. In the litigious society in which we now live, the threat of civil liability can serve as a powerful motivator both to businesses and to private citizens to change behavior that might make them vulnerable to lawsuits.

### **MANDATORY SAFETY BELT USE**

We must face the fact that none of the strategies discussed in this volume can be one hundred percent successful in preventing youth impaired driving. Some young people will continue to drive while impaired, and sober teens and their passengers will continue to be involved in crashes. When crashes occur, safety belt use can make the difference between death or serious injury and simple property damage. Unfortunately, young people are the least likely to wear safety belts, especially when they are impaired by alcohol or other drugs. Any strategies that can increase the use of safety belts by this vulnerable group can make a major difference in the rates of death and injury.

Several states have adopted legislation requiring safety belt use by all or some automobile occupants. These laws have been shown to result in significant increases in use rates. The most effective laws are those that allow for primary enforcement-- that is, a driver may be stopped and ticketed for not wearing a seat belt. Some states allow only secondary enforcement -- a ticket for not wearing a safety belt can only be given if the driver is stopped for some other violation. Of course, in order to maximize compliance with the law, especially by the most vulnerable groups, the law must be well publicized and aggressively and conspicuously enforced. Some provisional licensing laws require young drivers to wear belts as one condition of the provisional period.

### **LEGISLATION RELATED TO MOTORCYCLES**

Approximately 40 percent of all motorcycle fatalities involved alcohol, and a large percentage of these fatalities are young males aged 16 to 24. In response to these and other statistics, NHTSA has made motorcycle safety a National Priority Program area.

---

Three motorcycle-related legislative initiatives should be part of a comprehensive, community-wide approach to youth impaired driving. First, states should institute mandatory motorcycle licensing procedures that require a special licensing exam and special license to operate a motorcycle. Second, rider education should be a mandatory pre-requisite for obtaining the motorcycle license. Finally, universal motorcycle helmet legislation should be promoted to protect those cyclists who are involved in crashes.

---

SECTION II

PROGRAM AND STRATEGY  
RESOURCES

---

## OVERVIEW

To assist communities in launching a comprehensive, community-wide approach to youth impaired driving, a variety of current programs and approaches have been collected for inclusion in *Tools for Community Action*. Some of these programs and strategies were nominated by participants at the 1989 "Forum on Youth Traffic Safety Initiatives" held in Washington, D.C. Others were nominated by individuals who testified at the "National Commission on Drunk Driving Public Hearings." Finally, many programs were taken from NHTSA's program files and from the files and research of the experts who compiled this volume. Also included are some key books, manu-

als, and reports that communities may find valuable.

It is important to note that these programs are not, in any sense, "recommended" to communities. They have not been extensively screened, and few have scientifically valid evaluations to prove their effectiveness. On the other hand, the people who nominated these programs and strategies believe them to be promising, and all are worthy of examination by concerned community members. They can definitely serve as sample ideas for initiating or improving a comprehensive community-wide program.

---

---

## **SCHOOL-BASED**

### **The Deadly Combination: Drinking and Driving--A Driver Education Resource Manual**

*Mississippi Alcohol Safety Education Program  
Contact: (601) 325-3423*

Provides instructors and students with information about alcohol and other drugs with emphasis on reducing and preventing tragedies on the highways. Information is also provided on decision-making and peer-pressure in an effort to give students alternatives to becoming involved with alcohol and other drugs.

### **Project Think**

*South Carolina Technical Colleges  
Highway Safety Program  
South Carolina Division of  
Public Safety Programs  
Contact: (803) 734-0421*

A program implemented in the 16 colleges of South Carolina Technical College system that involves a variety of activities designed to reduce underage campus drinking and impaired driving among college students and to encourage use of seat belts.

### **Alternatives**

*Virginia Alcohol Beverage Control Board  
Contact: (804) 367-0650*

An annual conference conducted for colleges and institutions of higher learning in the state to discuss the problem of underage campus drinking and share ideas for dealing with it.

### **Kansas School Team Training - A Program for the Prevention of Alcohol and Other Drug Abuse**

*KS SRS - Alcohol and Drug Abuse Services/  
KS Department of Education/Wichita  
Public Schools  
Contact: KS School Team Training  
Administration  
(316) 833-4008*

Coordinated comprehensive, five-day training program for teams of school and community representatives from each school district. Teams learn specialized information on alcohol and other drugs, prevention skills, teaching strategies, and action planning for prevention and program implementation.

### **Teens in Partnership - A Process and Resource Manual for Students - A Program for Middle School Students**

*The Center for Adolescent Development  
Contact: (406) 442-2733  
or 1-800-541-5577 in Montana*

Manual provides information on: helping relationships; looking at yourself and others; communicating with others; helping solve problems; and assessment of a problem.

### **A Winning Combination - An Alcohol, Other Drug, and Traffic Safety Handbook for College Campuses**

*Hazelden Health Promotion Services/NHTSA  
Contact: 1-800-257-7800  
or inside MN (612) 349-4310*

Developed to help colleges plan effective programs by providing samples of successful resources and activities already implemented around the country.

---

---

**College Substance Abuse Program  
Development Manual**

*Washington State Substance Abuse  
Coalition--College Task Force*

*Contact: Washington Traffic Safety Commission  
(206) 586-3871*

Contains information, resources, and guidelines for setting up and implementing a substance abuse program on a college campus.

**Right On Preventive Power**

*Right On Foundation*

*Contact: (818) 240-1683 (California)*

A training and educational program for life enhancement--balanced sense of self, appropriate decision-making, etc. Based on right and left brain research and developed out of using the model with over 10,000 drunk driving offenders. Manual and workbook available.

**Project STAR--Students Taught  
Awareness and Resistance**

*Kauffman Foundation and  
Marion Laboratories Inc.*

*Contact: (816) 966-3601 (Missouri)*

Program designed to help young people recognize the social pressure to become involved with drugs and alcohol and know how to respond to that pressure. STAR also provides training to develop community task forces to empower the task forces to become actively involved in alcohol and drug prevention programming.

**Leader's Guide For Natural Helpers**

*Comprehensive Health Education Foundation  
Contact: (206) 824-2907 (Washington)*

A step-by-step manual developed to assist school districts to initiate Natural Helper Programs. "Natural Helpers" are specially trained students and staff who are trusted by others as helpers with personal problems.

**Teenwork - Teens Leading Teens**

*California Department of Alcohol & Drug  
Programs and California Office Traffic Safety  
Contact: (916) 323-2084 or (916) 445-9734*

An alternative activities and skills building program which includes a teen planned and run state conference, regional conferences, a variety of local youth programs, Teen Advocacy Board, and Teen Improvisational Theater Group. The goal is to reduce alcohol and other drug-related deaths and injuries.

**College Designated Driver Program**

*BACCHUS of the U.S., Inc.  
Contact: (303) 871-3068 (Colorado)*

A year-long drinking and driving prevention campaign for college campuses which emphasize the designated driver concept for over age 21 and utilizes college students to recruit participating bars and restaurants in promotion of the designated driver (includes safety belt message). A "Designated Driver Program Tool Box" includes a "how to" manual, stickers, plastic tumblers, table place cards with tips for sober driving, and a window sign for participating establishments to display.

---

---

### **Cruise Control: Safe Break**

*BACCHUS of the U.S., Inc.*  
*Contact: (303) 871-3068 (Colorado)*

A drinking and driving prevention campaign targeting college students whose spring break destination is Colorado ski resorts. Includes donated incentive awards to colleges/students who conduct the best campus awareness project (includes safety belt message).

### **OSSOM--Oregon Student Safety On the Move**

*Oregon Traffic Safety Commission*  
*Contact: (503) 737-2387*

Offers student organizations a variety of prevention and intervention programs emphasizing such issues as alcohol and other drug use, driving under the influence of intoxicants and safety belt education. The program provides peer education training for high school and middle school aged youth, cross-age instruction on highway safety issues, an annual conference, an award program, special campaigns, activities, and resources.

### **Project IMPACT**

*Integrated Research Services*  
*Contact: (503) 683-9278 (Oregon)*

An intensive, week-long workshop designed to assist teachers in the identification of youth experiencing alcohol and other drug problems. As a result, core teams of teachers are developed in each school to intervene with students who are experiencing alcohol and other drug problems.

### **Be Empowered! Take Control of Your Life**

*Washington Regional Alcohol Program (WRAP)  
and the District of Columbia Department of  
Public Works*

*Contact: WRAP (301) 565-4161  
D.C. Public Works (202) 939-8018*

A peer training instructor's manual for an 1-1/2 hour presentation which includes specific information on how alcohol and drugs affect driving ability, questions that can be asked during a presentation, questionnaires, and a game board.

### **Drug Prevention Curricula: A Guide to Selection and Implementation**

*Office of Educational Research  
and Improvement  
U.S. Department of Education*  
*Contact: (202) 357-6651 or 1-800-424-1616*

A guide for educators, parents, and citizens to select or design and implement a drug prevention curricula.

### **What Works: School Without Drugs**

*U.S. Department of Education*  
*Contact: (202) 732-3627 or 1-800-624-0100*

A handbook of significant findings on drug use by school-age youth. It lists resources and organizations that parents, students and educators can turn to for help.

### **Life Skills for Little People**

*Alaska Council on Prevention*  
*Contact: (907) 349-6602  
or 1-800-478-7738 (outside Anchorage, AK)*

Training workshop for preschool puppet programs on drinking and drug abuse.

---

---

## **Law Related Education Program**

*Phi Alpha Delta Law Fraternity  
Contact: (301) 961-8985 (Maryland)*

A program usually delivered by lawyers, others in the judicial system, teachers or law students that relies on student involvement in analyzing drug, alcohol, and impaired driving "cases" and on participation in mock trials and other legal proceedings.

## **D.A.R.E. Drug Abuse Resistance Education**

*Bureau of Justice Assistance  
Contact: (202) 514-5946*

D.A.R.E. is a program through which uniformed police officers function as classroom instructors to deliver a 17 part curriculum to elementary and middle school students. This semester-long effort provides students with drug information, methods to enhance self-esteem, specific analytical and decision-making skills and the motivation to employ the skills learned.

## **ROADD--Reduce Our Adolescent Drinking/ Drugging and Driving**

*Student Assistance Services  
Contact: (914) 674-0400 (New York)*

An educational program aimed at preventing drinking/drugging and driving among high school students. Groups of juniors and seniors receive six to eight session courses designed to meet the needs of that particular group -- taking into consideration material covered in their Health and Driver Education classes. ROADD also covers traffic safety and alcoholism issues.

## **The Student Assistance Program: An Alcohol and Drug Abuse Prevention Model**

*Student Services Corporation  
Contact: (914) 997-7277 (New York)*

This article by Ellen Morehouse provides a description of a model student assistance program--a peer support model in which selected students are educated in alcohol and other drugs and given training in listening skills, stress management, grief and death, suicide, depression, relationships, spirituality, and how to refer peers for help.

## **You Can Start A Student Assistance Program**

*Office for Substance Abuse Prevention -  
Document #MS374  
Contact: National Clearinghouse for  
Alcohol and Drug Information  
(301) 468-2600 (Maryland)*

This document provides a model outline with three examples of successful Student Assistance Programs (SAP's) and a resource list. SAPs are school-based intervention programs to prevent alcohol and other problems among youth.

## **Team Up Against Drugs - "For Coaches Only: How to Start A Drug Prevention Program"**

*Department of Justice  
Drug Enforcement Administration  
Contact: (202) 307-7936*

Provides a list of effective program strategies and information on how to start a drug prevention program for athletes.

---

**Project PATHE--Positive Action Through  
Holistic Education**

*Center for Social Organization of Schools  
Johns Hopkins University  
Contact: (301) 338-8000 (Maryland)*

A school-based program that combines organizational change, direct service to high risk youths, and strong management. Includes a team learning component.

**Teacher's Guide to Alcohol Countermeasures**

*American Automobile Association  
Contact: AAA Club Safety/Public Affairs Office  
(407) 444-7912 (Florida)*

Teacher's guide designed for classroom instruction for high schools and young adults. Also available is a student text, "You, Alcohol and Driving," and a slide or transparency kit entitled, "If you drive, what about drinking?" A flyer, "Dealing with Drinking," explains all materials and audio visuals.

***EXTRA-CURRICULAR  
ACTIVITIES***

**Guidelines for Planning and Conducting A  
Student Awareness Program**

*Maine Division of Alcohol and Drug  
Education Services  
Contact: (207) 289-6500*

A guidebook to help gain the understanding and cooperation of students in drinking and driving prevention efforts. The project includes an emphasis on desired outcomes in student awareness.

**Youth Board**

*Ohio Department of Highway Safety  
Contact: (614) 466-3250*

A 30-member Youth Board which acts as a state-wide Advisory Group to help conduct a peer-level public awareness campaign on the drunk driving problem. Youths are recommended by schools and produce a quarterly newsletter for distribution to all high schools in Ohio.

**SADD--Students Against Driving Drunk**

*Contact: (508) 481-3568 (Massachusetts)*

A national organization which encourages chapters to develop anti-drinking and driving programs. A SADD Resource Manual provides project ideas, guidelines for successful drunk driving education and prevention. SADD National provides schools with speakers, starter kits, films, videos, posters, curriculum guides, parent seminars, leadership manuals, T-Shirts, bumper stickers, key chains, and Public Service Announcements.

---

---

**Friday Night Live (FNL) Chapter Handbook**

*California Friday Night Live Office*  
*Contact: (916) 445-7456*

FNL is designed to prevent alcohol and other drug problems among teens by providing alternatives while developing leadership skills, self-esteem, and community involvement. The manual provides information on organization chapter activities, community events, classroom activities and other programs.

**Guidelines for Assisting Athletes With Alcohol and Other Drug Problems**

*Maine Division of Alcohol and Drug Education Services*  
*Contact: (207) 289-6500*  
*or Resource Center: (207) 289-2511*

Guide to implementing a comprehensive policy and procedures to develop a "Sports Chemical Dependency Prevention Initiative" in schools.

**Dram-edy**

*Action Training and Consultants, Inc.*  
*Contact: (907) 522-1290 (Alaska)*

A program that uses a mixture of comedy and drama to teach safety messages and refusal skills through student theater. This teaching/learning process sets the stage for Active Peer Helper programs where education becomes application. Safety messages and refusal skills are taught by actively involving audiences through participation and positive peer support.

**"How to Give a Great (Alcohol/Drug-Free) Graduation Party" Manual**

*Oregon's Project Graduation/Oregon Office of Alcohol and Drug Abuse Programs*  
*Contact: (503) 581-3141*

A detailed guide for parents and students to plan and carry out a successful, exciting and fun-filled, all-senior, all-night, alcohol- and other drug-free graduation party.

**Party All Night - A Guide to Alcohol/Drug-Free Parties for Teens**

*Operation Prom/Graduation - Virginia Department of Education*  
*Contact: (804) 225-2061*

A comprehensive planning guide to alternative celebrations for All-Night Graduation Parties and After-Prom Breakfasts. It is a compilation of ideas and comments from South Lakes High School (Reston, VA) parents, school staff and administration, community members, and graduates over a two year period.

**SOBER--Students Offering Better Evening Recreation**

*Department of Health - Oregon State University*  
*Contact: (503) 737-2387*

A student-run program that provides youth with drug-free alternatives for weekend entertainment to help combat teen drinking and driving.

---

---

**OSSOM--Oregon Student Safety  
On the Move**

*Oregon Traffic Safety Commission  
Contact: (503) 737-2387*

A youth traffic safety organization that sponsors peer education programs, provides alternative activities to drug and alcohol use, and encourages the practice of safe driving habits.

**Students Organized for Developing Attitudes  
(SODA)**

*Central Virginia Community Services Board,  
Prevention Division  
Contact: (804) 847-8050*

High school students (SODA partners) meet in small discussion groups with younger students to provide a positive influence on them. SODA partners are trained in leading discussions, group process, listening and responding skills, values clarification, self-esteem, characteristics of early adolescence, and drug education.

**Colorado STAND (Students Taking A New  
Direction)**

*Contact: (303) 669-5553*

STAND is an umbrella organization which provides assistance and coordination for local student groups (e.g., SADD, Youth to Youth, Colorado Teen Institute, Peers Responsibly Educating Peers-PREP, and others) by providing training and other assistance or resources for refusal skills, self-conceptualization and positive role modeling for elementary through high school students. A STAND resource guide is available.

**NATI--National Association of Teen  
Institutes**

*Contact: (314) 962-3456 (Missouri)*

An affiliation of state and local teen institute programs which provide short-term, residential leadership training programs to teach teenagers ideas on how to prevent alcohol/drug abuse, and other self-destructive behaviors among themselves and their peers. NATI offers conferences, training, materials, and a newsletter.

**SUPER (Students Unified with Pro's  
Encouraging Responsibility)  
Team Residential Program Design**

*NFL Players Association/D.C. Public Schools/  
D.C Commission on Public Health  
Contact: (202) 223-3749 or 3750*

Campaign to prevent drug use among teens in six D.C. area high schools. Student counselors are given 5 days of intensive residential training in order to become peer role model advocates in their schools, and through counseling and referrals, work closely with junior students to inculcate positive values.

**The Student Safety Handbook**

*Alaska Council on Prevention of Alcohol  
and Drug Abuse Inc.  
Contact: (907) 349-6602  
or 1-800-478-7738 (outside Anchorage, AK)*

Handbook to help students' groups start and implement successful highway safety projects. This document complements the annual Governor's Student Health and Safety Conferences.

---

---

### **TeamSpirit Program**

*National Highway Traffic Safety Administration  
& Office of Juvenile Justice  
and Delinquency Prevention  
Contact: (301) 951-4233 (Maryland)*

A substance abuse prevention program designed to empower high school-aged youth to become active in preventing drug and alcohol use and impaired driving by their peers. The program includes a summer residential training conference where action plans are developed for drug- and alcohol-free events and activities for the upcoming school year. A "How-to" manual is available.

### **How To Create a Safe Rides Program In Your Community**

*California Traffic Safety Program  
Contact: (916) 445-0527*

Provides a step-by-step guide to creating a Safe Rides for Teens program. It is designed to keep teens from driving under the influence of alcohol and other drugs and from riding in cars with friends who are under the influence.

### **Join the Celebration - Project Graduation**

*National Highway Traffic Safety Administration  
Contact: (202) 366-2724 or 2705*

A guidebook developed for students, parents, school administrators, teachers, members of the business community, and others, using the philosophy that graduation parties should be fun, not fatal. It provides a step-by-step outline for using a committee system to plan an all night, chemical-free graduation party.

### **Taking the Lead - A Student Traffic Safety Action Handbook**

*National Highway Traffic Safety Administration  
Contact: (202) 366-2724 or 2705*

Offers information and new ideas to officers of school groups and organizations and to students wishing to organize traffic safety projects. It includes successful activity ideas, a collection of resources to contact for more information, fact sheets, and suggestions for fund-raising.

### **SAFTYE Club--Stop Auto Fatalities Through Youth Efforts**

*Washington Traffic Safety Commission  
Contact: (206) 586-3871*

A statewide network of youth-organized high school clubs designed to promote positive lifestyles, change attitudes, and reduce the incidence of teenage involvement in drug/alcohol-related traffic crashes. Project includes an annual conference, regional meetings, cross-peer teaching, a safety belt survey, a monthly newsletter, assemblies, and a State Student Advisory Board. A "Protect Your Dreams" SAFTYE manual is available.

---

## COMMUNITY-BASED

### Safe Homes Program

*Parents in Action in Nebraska  
for Drug-Free Youth  
Contact: (308) 534-2141 (Nebraska)*

After attending an educational presentation, parents and students are asked to sign a pledge to cooperate with school officials, law enforcement personnel and other families in which the abuse of alcohol and drugs is no longer considered the norm. Students "check it out" before attending parties or events where alcohol or drugs may be present and parents "check it out" when having parties or gatherings in their homes and encourage other parents to make the Safe Home pledge.

### WRAP - Washington Regional Alcohol Program

*Contact: (301) 565-4161*

A community-based coalition of business, government and community groups that was formed in 1982 to combat drunk driving in the Washington, D.C. metropolitan area. WRAP operates with the active participation of three state jurisdictions (Washington D.C., Maryland, and Virginia). It has strong support from several well-known business community members, conducts public information and education campaigns, and sponsors an annual youth conference.

### Preparing for the Drug Free Years

*Developmental Research and Programs, Inc.  
Contact: (206) 781-0707 (Washington)*

A six session education program for parents to help them understand adolescent alcohol and drug use and to prepare them to help their children remain alcohol- and drug- free.

### Parents' Resource Institute for Drug Education, Inc. (PRIDE)

*Contact: 1-800-67P-RIDE  
or (404)577-4500 (Atlanta)*

A national resource and information center that offers consultant services to parent groups, school personnel, and youth groups, and provides a drug use survey service. It conducts an annual conference; publishes a newsletter, youth group handbook, and other publications; and sells and rents books, film, videos, and slide programs.

### America's Pride Workshop

*PRIDE (National Parents' Resource Institute for Drug Education)  
Contact: 1-800-67P-RIDE (Atlanta)*

A program developed to unite parents, students and community in an energetic in-school workshop that emphasizes education, leadership communication and performance in a all-day event. Step-by-step workshop instructions include scripts and song lyrics, recorded background music, and a choreography video to be used in the development of student performances.

### Michigan Parent Group Handbook - Preventing Teenage Drinking and Other Drug Problems

*Michigan Substance Abuse & Traffic Safety Information Center  
Contact: (517) 482-9902*

A resource manual developed from the Michigan Parent Project to facilitate parent-based campaigns to prevent teenage drinking problems and abuse of other substances. The Project aims to assist existing grassroots parent groups in developing more effective approaches and to help organize new groups across the state. The manual provides research findings, guidance for organizing a parent group, and listings of resources.

---

---

**Systemwide Response Planning Process: A Guide for Action to Combat Youth Substance Abuse in Your Community**

*Office of Juvenile Justice and Delinquency Prevention and the NHTSA*  
*Contact: (301) 951-4233 (Maryland)*

A manual designed to provide a structure for developing a comprehensive set of programs to address the community's youth alcohol, drug, and impaired driving problems. The process includes the identification of specific components of problems, the assessment of current resources to address them, and planning of new or improved resources to meet identified gaps in services, programs, strategies.

**Emergency Nurses C.A.R.E.  
(Cancel Alcohol Related Emergencies)**

*Contact: (508) 366-7591 (Massachusetts)*

A national organization of emergency room nurses who volunteer their time to present a slide presentation that shows accident victims being treated in an emergency room after drinking and driving. The purpose of this program is to change attitudes and behavior about drinking and driving, especially among junior and senior high school students.

**Get It Together - A Process and Resource Guide**

*The Center for Adolescent Development*  
*Contact: (406) 442-2733*  
*or 1-800-541-5577 in Montana*

Manual developed by students of the Teen Institute (residential peer leadership training) as a vehicle for continuing the process begun at the Institute at the community level. It provides an opportunity to share Institute experiences.

**Commonwealth Alliance for Drug Rehabilitation and Education (CADRE)**

*Virginia Attorney General's Office*  
*Contact: (804) 786-4660*  
*or 1-800-451-5544 in Virginia*

A Virginia alliance of state level agencies, chaired by the state attorney general, that has sought the support of the business community in promoting a comprehensive program against youth impaired driving. An annual conference is held to share information.

**Governor's Alliance Against Drugs**

*Contact: (617) 727-0786 (Massachusetts)*

A coordinated statewide effort which has mobilized communities to address the problem of student drug and alcohol abuse with a major prevention campaign, including a statewide peer leadership network. The Alliance coordinates the activities of several relevant state departments and agencies with support provided by private industry, the media, and community leaders. It also provides assistance to cities and towns to create school/community advisory councils chaired by school superintendents.

**Youth Issues Compendium -  
Volume II in Series**

*Mothers Against Drunk Driving*  
*Contact: National Office (214) 744-6233 (Texas)*

A volume of resources on issues related to drinking, drugs, driving, and related issues for youth. It includes sections on: motivation to drink; education; availability of alcohol; drinking and driving; and other related issues. This compendium incorporates MADD's position on each issue, sample laws, sample testimony or speeches, and other useful resource information.

---

---

## **Steering Clear of Alcohol and Other Drugs**

*National PTA/NHTSA*

*Contact: (312) 787-0977 (Illinois)*

A guide to help PTA leaders plan programs to prevent teen drinking and drug use, address the impaired driving problem, and increase community awareness. Provides information about activities, resources, Project Graduation guidelines, parent involvement, and public relations. Reproduces are included in the guide.

## **Drug Research Education Association in Mississippi, Inc. (DREAM)**

*Contact: (602) 362-9329*

Provides public information/education/prevention strategies to schools and communities. It hosts conferences for community leaders and educators, and provides technical assistance to agencies working with the youth drug problem. DREAM is also involved with prevention research and has helped develop a needs assessment for Mississippi youth.

## **Minnesota Community Traffic Safety Project**

*Department of Public Safety  
4-H Safety Council/NHTSA  
Contact: (612) 755-1280*

Provides grants and technical assistance to cooperative community efforts (requires the involvement of several agencies) for comprehensive, integrated traffic safety programs. Programs are based on specific traffic problems and their most at-risk audiences.

## **Teen Awareness Day Conference**

*Police Athletic League  
Contact: (302) 571-7953 (Delaware)*

A conference is held just prior to prom and graduation activities. A resource manual provides facts about drinking and driving, drugs, safety belts, and project ideas for public awareness campaigns. Conference participants return to school and conduct drug and safe driving awareness campaigns.

## **The Critical Years Program for Highway Safety**

*Tennessee Technological University  
Contact: (615) 372-3638*

Provides deterrent information to reduce alcohol-related fatalities by targeting youth at critical times in their driving experience, identified as ages 16, 18, and 21. Statewide direct mailings of brochures to drivers aged 16-21 place information in their hands when they are most susceptible to the message conveyed.

## **STOPP (Students to Offset Peer Pressure) Community Action Plan**

*STOPP Consulting Services  
Contact: (603) 889-8163 (Vermont)*

An alternative oriented youth program with support from the entire community. Activities are designed to earn profits to support a solid alcohol and drug education program. A starter kit includes manuals, a video, student handbooks, adult support handbooks, audio tapes from the STOPP Leadership Effectiveness Training Seminar, a trainer's guide, and 500 membership cards.

---

---

**Consider the Alternatives - Say "No to Drunk Driving" Campaign**

*Illinois Department of Transportation  
Contact: Alcohol Program  
(217) 782-5853*

This public awareness campaign provides bumper stickers, key chains, table place cards, coasters, car trash bags, stickers, and pencils, as well as a 30 minute video (Drinking and Driving: Why Take the Risk?) aimed at the choices related to drinking and driving facing high school students. An instructor's guide is provided to complement video.

**"TH!NK" Campaign**

*Co-sponsored by Dodge and other corporations;  
the National Association of Broadcasters;  
MADD; Ad Council and DOT  
Contact: (313) 644-0500 x740*

A campaign using a music video PSA, featuring Aretha Franklin, with the message, "TH!NK, Don't Drive and Drink!" Copies of the PSA were distributed to T.V. and radio program directors across the country. A kick-off press conference was held with other media events scheduled throughout the year. This program also tours high schools and colleges with the Drunk Driving Simulator.

**TEAM--Techniques for Effective Alcohol Management**

*NHTSA/Major League Baseball/  
National Basketball Association  
Contact: (202) 366-2732*

A program to reduce alcohol-related accidents after major sporting events. Specialized training is provided for the managers and concessionaires.

**REACH America (Responsible Educated Adolescents Can Help America)**

*National Federation of Parents (NFP)  
for Drug-Free Youth  
Contact: 1-800-662-HELP*

A national network of parent groups developed to reeducate the American public on the hazards of drug and alcohol use. Activities include public awareness activities, an annual conference, lobbying, and training. NFP publishes a variety of publications including training manuals for drug-free student groups and for parent/community task forces.

**Citizens Against Substance Abuse (CASA)**

*Hamilton County, Ohio  
Contact: (513) 352-1913*

A community-wide volunteer organization formed to raise awareness of substance abuse in the community and to advocate activities that discourage substance abuse. Families, schools, police, clergy, physicians, the courts, etc. work together and support each other in an effort to provide a healthy, drug-free environment.

**Arrive Alive - Georgia**

*Contact: (404) 371-1899  
or 1-800-24A-LIVE in Georgia*

A community campaign to organize students across the state to combat drunk driving among youth by: raising awareness about the dangers of drinking and driving or of riding with a drinking driver; to stress the necessity of wearing safety belts; to show teens how to have fun without alcohol and drugs; and to help students set up active Arrive Alive Chapters in every high school in Georgia.

---

---

## WORK-BASED

### The Employee Assistance Program

*Opryland Amusement Park, Nashville, TN  
Contact: (615) 871-6621*

Provides more than 2700 young seasonal workers from across the country with a variety of counseling, referral, health and wellness, and self-development activities. It is felt that this program contributes to the general physical, mental, and emotional well-being of its employees and to the long-term cost-effectiveness for the company.

### Bally's Aladdin Castle

*Contact: (708) 451-0022 x5402 (Illinois)*

Bally's makes their video entertainment stores available to groups like MADD and SADD for alcohol-free "None for the Road" parties on holidays when youth frequently drink. They assist with fund raising parties and some of their video games feature anti-drunk driving and anti-drug slogans.

### Live For Life

*Johnson and Johnson  
Contact: (908) 524-3231 (New Jersey)*

A company-wide comprehensive health promotion effort for employees and their families with special focus on drinking and driving. The program includes an employee assistance program, drunk-driving bulletins in company publications, regulations that govern its fleet of drivers, and 5 workshops on the topic of drinking and driving.

### Southland Corporation "Come of Age" Program

*Southland Corporation  
Contact: Government and Public Affairs  
(703) 658-8588 (Virginia)*

Provides a guidebook and training for 7-Eleven store managers and employees to be used in upholding state and local alcohol laws to prevent the sale of alcohol to minors, including ways to obtain appropriate age identification.

### The Four Seasons Program

*California Office Traffic Safety/NHTSA  
Contact: (916) 445-9734*

An employee communication program about drunk driving. The employer provides information about the abusive use of alcohol and drunk driving to employers through commonly available communication channels. Information is provided appropriate to the seasons and key events in each season that are likely to involve alcohol use and abuse.

### You're Looking Younger Every Day

*Atlantic Refining and Marketing  
Contact: (518) 449-7138 (New York)*

Atlantic Richfield stores stress employee training and require proof of age for alcohol purchases by young adults. Customers under 30 who are not asked for proof, are given \$1 off coupons.

### Drug-Free Work Place Act

*Contact: Youth Traffic Coordinator  
(904) 487-8768 (Florida)*

Florida Senate Bill 993 lists the provisions for a drug-free workplace policy for public employees and employers.

---

---

## **ENFORCEMENT**

### **Operation Last Call**

*Massachusetts State Police  
Contact: (617) 566-4500*

Massachusetts state law requires judges to ask those convicted of drunk driving where they were drinking. State Police monitor these establishments in an effort to deter liquor licensees from selling alcohol to underage youth.

### **Youth Resource Officer Program**

*Arlington, VA Police and  
Arlington County Public Schools  
Contact: (703) 358-4330*

A project to initiate more positive contact between police and youth. Youth Resource Officers provide assistance in the following areas: student counseling; serious incident reporting at schools; criminal investigation; information programs; athletic and recreation events; safety patrol; and youth camp.

### **Michigan S.A.V.E.-Surveillance of Alcohol Vending Establishments**

*Michigan State Police  
Contact: (517) 322-1968*

A covert program aimed at obtaining vendor compliance with state liquor control laws. This program utilizes youth as decoys in bars and convenience stores and targets the sale of alcohol to minors, falsification of identification by minors, and the sale of alcohol to intoxicated persons.

### **.02 Alcohol Restriction Law**

*Contact: Maryland State Police  
(301) 653-4387*

Section 16-113 of the Maryland Transportation Article provides that youth under age 21 found to be driving with .02 Blood Alcohol Content or higher are ticketed and their license is automatically suspended upon conviction or admission of guilt by payment of fine.

### **The National Center for Community Policing**

*School of Criminal Justice  
Michigan State University  
Contact: 1-800-892-9051  
or (517) 355-2192*

The community policing concept offers hope of overcoming wide-spread apathy among community residents by urging the police to form a partnership with the people in the community, thereby allowing average citizens the opportunity to contribute in the police process in exchange for their support and participation. A variety of publications on program development are available.

### **Adolescent Intervention Program**

*University of Wisconsin Hospital  
Contact: (608) 263-8173*

A hospital-based Drug/Alcohol Abuse intervention program for adolescents. Clients are referred by police, emergency rooms, parents, counselors, teachers, the courts, and treatment agencies. Clients are assessed and referred for appropriate treatment after four 1 - 1-1/2 hour sessions.

---

---

## LICENSING

### **Provisional Driver's Licensing System for Young Novice Drivers - Guidelines for Motor Vehicle Administrators**

*NHTSA/American Association of Motor Vehicle Administrators*  
*Report No. DOT HS-807 469*  
*Contact: (202) 366-2722*

A guide to gradually integrate novice drivers into the traffic environment in a manner that enables them to gain knowledge, skill, and experience over a period of time under controlled conditions. Provides sample program outlines.

### **Reducing Highway Crashes Through Administrative License Revocation**

*National Highway Traffic Safety Administration*  
*Report No. DOT HS-806 921*  
*Contact (202) 366-27222*

Provides a discussion of issues, sample state laws, and guidelines for the implementation of administrative revocation of the licenses of impaired drivers.

### **How To Detect False I.D.**

*Oregon Motor Vehicles Division*  
*Contact: (503) 378-2659*

A publication intended to assist the business community and law enforcement personnel who rely on a driver's license or identification card as one form of personal I.D.

### **Driver's License Fraud Prevention Program Training Curriculum**

*National Highway Traffic Safety Administration*  
*Contact: (202) 3666-2722*

Training program for driver's license administrators and examiners in the prevention and detection of fraudulent driver's license applications.

### **Virginia Driver's License Issuance Ceremony**

*Juvenile and Domestic Relations Court -*  
*Roanoke County, VA*  
*Contact: (804) 981-2000*

Section 46.1-375.1 of the Virginia Code provides for the "manner of issuing original driver's licenses where applicants are under eighteen." This law requires that the issuance of driver licenses to juveniles be done in a formal ceremony by a judge with a parent or guardian in attendance. The privilege of having a license is explained along with safety points and facts about D.U.I. violations.

### **Traffic Law and Substance Abuse Education Program for Driver's License Applicants**

*State of Florida - Senate Bill 94-1989*  
*Contact: Youth Traffic Safety Coordinator*  
*(904) 488-6304*

Requires a minimum of four hours of substance abuse and driving education prior to applying for a first time driver's license.

---

---

## ADJUDICATION

### **Substance Use Prevention and Education Resource II (SUPER II)**

*Metropolitan Atlanta Council  
on Alcohol and Drugs  
Contact: (404) 351-1800*

A community-based prevention and early intervention program for high-risk youth and their parents or guardians. Youth and parents interact in this 14 hour program which centers on developing skills and attitudes that directly relate to a youth's ability to resist pressure to use chemical substances. Parenting skills are also covered.

### **Young Oklahoman Drinking and Driving Alternative Programs (YODDAP)**

*Oklahoma Highway Safety Office  
Contact: (405) 360-4353*

A program that offers a course for youths who are stopped for drinking and driving. The course is designed as an alternative in sentencing.

### **Chemical Awareness Program (CAP)**

*Lucas County Juvenile Court  
Contact: (419) 249-6666*

A 15 hour court-run program for juveniles convicted of alcohol-related offenses. The program assesses the offenders level of alcohol involvement and employs police officers, health professionals, and youth testers to instruct participants and their families about the problem of underage drinking and impaired driving.

## Teen Court

*Municipal Court, Odessa, Texas  
Contact: (915) 335-3352*

A court composed of young people who serve as attorneys, bailiffs, and jurors. The only adult involved is the judge. The court adjudicates youths ages 10 to 16 who are arrested for class C driving offenses, class B misdemeanors, alcohol and other drug offenses, and enables young people to judge their peers' behavior. Jurors decide sentence--not guilt or innocence. Sentences include community service and jury duty on Teen Court.

### **Alcohol Highway Safety Workshop for Juvenile Court Judges**

*National Council of Juvenile and  
Family Court Judges  
Contact: (702) 784-6012*

A two-day conference which covers: the juvenile DWI problem; selecting appropriate dispositions for the juvenile DWI offender; law enforcement and the court; and the juvenile court in the total community's system. Workshop materials include an Administrator's Guide, Instructor's Lesson Plans Manual, Visual Aids Packet, and Participant's Workbook.

### **CARES - Chemical Abuse Reduced Through Education and Services**

*Juvenile Court, Lucas County, Ohio  
Contact: (419) 245-4804*

A judge-initiated coalition of police, juvenile justice officials, parents, treatment professionals, school personnel, concerned citizens, and volunteers that operate a variety of prevention, education, and treatment programs in a coordinated way.

---

## **SUPERVISION**

### **Intervention/Crossroads**

*Illinois Department of Alcoholism  
and Substance Abuse  
Contact: (312) 239-1400*

Poly-drug residential treatment programs for court-referred offenders age 29 and under that maintain a structured "peer family setting."

### **RESTTA--Restitution Education, Specialized Training, and Technical Assistance Program**

*Office of Juvenile Justice  
and Delinquency Prevention  
Contact: (202) 307-5940*

A federal initiative which offers training and technical assistance to jurisdictions wishing to implement or refine juvenile restitution programs. The emphasis is on juvenile offender accountability for their action, victim compensation, and enhancement of offender competency through the use of restitution and community service programs. An annual conference offers training and new program ideas.

### **Utah's Teen Alcohol and Drug School**

*Utah Division of Alcoholism and Drugs  
Contact: (801) 538-3949*

A court developed program for youth who have committed alcohol or drug offenses, possession, DUI, etc., and their parents. Youth and parents are ordered by the juvenile court to attend Alcohol and Drug School. A facilitator's manual is available.

### **Juvenile Court Drug/Alcohol Education/ Assessment Program**

*Allegheny County, Pennsylvania  
Contact: (412) 578-8240*

This program deals with alcohol and drug abuse education and assessment of youths 13-18 years old who are referred to probation officers through the courts. The probation officers provide assessment of suspected substance abusing youths and referrals to inpatient and outpatient treatment centers, as well as follow-up on referred youths. A program guide provides a probation officer referral forms, assessment instruments, and related materials.

### **Education, Rehabilitation and Alcohol Problem Screening Program**

*New York Department of Motor Vehicles  
Contact: (518) 474-0884*

Those convicted of intoxicated driving offenses (usually first time offenders) may enroll in a 16 hour, 7 week course which is taught by a team with expertise in traffic safety and alcoholism. Within this program offenders are screened for alcohol abuse using NHTSA's guidelines, sending problem drinkers for an evaluation and possibly for treatment. A conditional license is issued to most participants, enabling them to drive to work or school and to the program rather than serve license suspension.

### **Adolescent Trauma Prevention Program**

*University of Maryland Hospital  
Contact: (301) 328-2035*

This program is designed to serve youth at high risk for alcohol and drug abuse--most often DWI offenders or weekend "partiers." Youth are referred from four counties as part of police diversion programs or other justice system intervention

---

efforts. Each county provides its own education programs while the hospital provides a 2-1/2 hour presentation covering: 1) an introduction to the medical response to major traumatic injuries; 2) a tour through the emergency room, communication center, and wards where patients speak about their alcohol-related injuries; and 3) a discussion about the likelihood of drinking/driving crashes, life changes caused by traumatic injuries, and ways to avoid such injuries.

### **Josephine County DUI Victims Panel**

*Josephine County District Court  
Contact: (503) 474-5165 (Oregon)*

A panel composed of people whose lives have been affected by an impaired driving crash. The program is designed to provide convicted DUI offenders with a personal perspective on the agony inflicted upon victims by drunk drivers. Convicted DUI offenders are required by a judge to attend the panel discussion.

### **Adolescent Assessment/Referral System-AARS**

*National Institute on Drug Abuse  
Contact: (301) 443-4060*

A comprehensive assessment system that provides instruments and guides for screening, assessment, diagnosis, and treatment planning for adolescent substance abusers.

### **AMITY Adolescent Therapeutic Community**

*Tucson, Arizona  
Contact: (602) 749-5980*

A model residential treatment facility for addicted youth referred from the department of corrections, the court, and other agencies. A wide range of treatment and aftercare services are provided.

### **Hazelden Pioneer House**

*Contact: (612) 559-2022 (Minnesota)*

A primary rehabilitation program for chemically dependent adolescents and young adults that reflects the developmental issues of youth. Emphasis is on the educational, emotional, social, and recreational needs of chemically dependent young men and women.

### **Serious Habitual Offender Comprehensive Action Program (SHOCAP)**

*Office of Juvenile Justice and  
Delinquency Prevention  
Contact: (202) 307-5911*

A program that facilitates information sharing among juvenile justice agencies in order to make the serious youthful offender more visible to key actors in the juvenile justice system.

### **Phoenix House**

*Contact: (212) 3595-5810 (New York)  
(213) 715-6024 (California)*

Phoenix House operates inpatient and outpatient programs for adolescents in New York and California. They utilize self-help methods and make the individual the focus of treatment and address underlying causes of drug abuse. Residential programs for youth provide 9 to 15 months of treatment followed by a year of aftercare. Residents follow a demanding program of study and work. Individual treatment plans are used to set therapeutic goals for each stage of treatment and specific problems are addressed through individual counseling, peer group therapy, and family therapy.

---

## LEGISLATION

### Oregon Denial Law

*Oregon Governor's Highway  
Traffic Safety Office  
Contact: (503) 378-3111*

Law designed to reduce traffic deaths and injuries and deter teenage drug and alcohol use. Minors lose the privilege of holding a license if found in violation of any drug and alcohol law.

### "Not A Drop" Law

*Milwaukee Children's Court Branch 14  
Contact: (414) 257-7148*

Chapter 125 of the Wisconsin Statutes prohibits the possession, consumption, purchase, or procurement of alcoholic beverages by minors as well as entry or presence in a licensed premise and misrepresentation of age to secure alcoholic beverages. License suspension is used as a sanction for violations of this law.

### Youthful Drunk Driver Visitation Program

*State of Florida - Combined Senate Bill 846,  
52,769--1989  
Contact: Youth Traffic Safety Coordinator  
(904) 488-6304*

Provides that persons convicted of DUI could be required by the sentencing court to visit, under appropriate supervision, hospitals, trauma centers, morgues, and treatment resources to observe the effects of DUI related injuries/deaths.

### Impaired Driving Issues Compendium-- A Grassroots Call To Action

*MADD--Mothers Against Drunk Driving  
Contact: National Office  
(817) 268-6233 (Texas)*

A legislative guide covering such issues as mandatory BAC testing, administrative license revocation, self-sufficient DUI programs, preliminary breath testing, .08 BAC limits, sobriety checkpoints, and license plate confiscation/impoundment. The information is intended to assist volunteers and their elected officials in determining what solutions may be most appropriate for the prevention of drinking and driving in their community, their state, and the nation. A youth component is in the process of development.

---

SECTION III

LOCAL COMMUNITY  
NEEDS ASSESSMENT

---

---

## OVERVIEW

All communities are doing *something* to combat youth impaired driving. In order to begin the process of mounting a comprehensive, community-wide youth impaired driving prevention program, communities must begin by assessing the strengths and weaknesses of their current efforts. This assessment of strengths and weaknesses has three major objectives:

*To catalogue those programs, strategies, and activities that are currently in place*

*To assess the quality of current efforts*

*To identify gaps where additional programs, strategies, and activities are needed*

The assessment tool presented in this section of *Tools for Community Action* is designed to meet these objectives. A separate section is provided for assessing programs, strategies, and activities in each of the nine action areas of the NHTSA Youth Traffic Safety Model. The tool is designed to guide interviews with key actors in community agencies involved with youth. The numbers and types of individuals to be interviewed will vary from community to community, and will only become obvious in a given community once the "detective work" begins. However, by considering the questions on the assessment form, you will get some ideas for the types of individuals you will want to contact.

Before attempting to use the assessment tool, it is important to define the "community" under study. In some cases, an entire city or even county may be

involved. In larger cities, however, an assessment may be limited to a single segment (e.g., a school district, a police precinct, a court district).

It is also important to attempt to gather the same information from a variety of sources. Like the blind men exploring the elephant, different community members will have different perspectives on the community's response to the youth impaired driving problem. The same principle applies to "facts." If one informant tells you that a program element is in place (or is *not* in place), don't let it go at that. Keep asking the same question of different individuals until you are satisfied that you have an accurate picture of the programs, strategies, and activities that actually are in existence. You may find it useful to make several copies of the assessment instrument so several individuals can be gathering information at the same time. Keep a log of the people that have been contacted, and use a "master" copy of the assessment tool to compile all of the information gathered.

Most communities find the assessment process to be highly informative and rewarding. Also, don't lose sight of the fact that the assessment process itself can raise awareness of the youth impaired driving problem among the people you interview. The assessment process also provides an opportunity to get people involved. You will be demonstrating your interest in peoples' thoughts and opinions by interviewing them. Be sure to emphasize that you are also interested in getting them involved once the assessment process is completed.

---

---

# COMMUNITY ASSESSMENT TOOL

*Note: Some of the sections of this community assessment tool may need to be completed more than once (e.g., if there is more than one school in your community.) For your convenience in making multiple copies, each section starts on a new page.*

---

---

## I. SCHOOL-BASED PROGRAMS

*Note: If more than one school district is contained in your defined community, complete this assessment for each district.*

### A. DISTRICT AND STATE LEVEL CONCERNS

1. Does the district or state mandate drug and alcohol education?

No (Skip to Question 5)  Yes (Complete Questions 2-4)

2. At what grade level(s) is drug and alcohol education mandated?

\_\_\_\_\_

3. Are specific alcohol and drug curricula mandated by the district or state?

No  Yes

If Yes:

Which one(s)?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Have any of the curricula been evaluated at the state or district level?

No  Yes (attach a separate page describing nature and results of the evaluation)

5. Does the district or state mandate traffic safety education?

No (Skip to Question 9)  Yes (Complete Questions 6-8)

6. At what grade level(s) is traffic safety education mandated?

\_\_\_\_\_

---

---

7. Are specific traffic safety curricula mandated by the district or state?

No  Yes

If Yes:

Which one(s)?

---

---

---

8. Have any of the curricula been evaluated at the state or district level?

No  Yes (attach a separate page describing nature and results of the evaluation)

9. Is there a district- or state-wide policy concerning alcohol and drug use by students and/or staff?

No (Skip to Question 13)  Yes (Complete Questions 10-12)

10. To whom does the district policy apply?

Students only

Staff only

Both students and staff

11. What are the key features of the policy (be sure to get a copy)?

---

---

---

---

---

---

---

---

---

12. How is the policy publicized to staff, parents, and students?

---

---

---

---

---

13. Does the district or state offer training for teachers and staff in alcohol and drug issues?

No (Skip to Question 16)  Yes (Complete Questions 14-15)

14. Is specific training offered for teachers responsible for alcohol, drug, and traffic safety education?

No  Yes  No Curricula in Place

If Yes:

Is training mandatory?

No  Yes

Are teachers retrained on a regular basis?

No  Yes

15. For each of the following categories of school staff, please indicate whether training is offered and how often, whether or not training is mandatory, and general content areas (use content codes)

Staff Type	Offered?	How Often?	Mandatory?	Content
Teachers	Y N	_____	Y N	_____
Counselors	Y N	_____	Y N	_____
Administrators	Y N	_____	Y N	_____
_____	Y N	_____	Y N	_____

Content Codes:

- |  |  |
|--|--|
| a. Scope of the problem                | g. Warning signs of alcohol and drug problems    |
| b. Effects of alcohol and drugs        | h. Methods for dealing with intoxicated students |
| c. Causes and correlates               | i. Methods for intervention or confrontation     |
| d. District or state policies          | j. Helping resources                             |
| e. Staff rights and responsibilities   |  |
| f. Student rights and responsibilities |  |

16. Are data on student alcohol or drug use, or impaired driving gathered by the state or district?

\_\_\_ No \_\_\_ Yes

If Yes:

Are the data gathered on a regular basis?

\_\_\_ No \_\_\_ Yes (Describe) \_\_\_\_\_

What data are collected? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. Does the district have a specialist in alcohol, drugs, and/or impaired driving?

\_\_\_ No \_\_\_ Yes, part time \_\_\_ Yes, full time

---

---

**B. BUILDING LEVEL CONCERNS**

*Note: Complete this section separately for each school in the district.*

1. School name \_\_\_\_\_

2. Grade levels in school (K-6, etc.) \_\_\_\_\_

3. Does this school offer drug and alcohol education?

\_\_\_ No (Skip to Question 7)

\_\_\_ Yes, State or district mandated program (Skip to Question 6)

\_\_\_ Yes, A program which is *not* mandated by the state or district  
(Complete Questions 4-6)

4. At what grade level(s) is drug and alcohol education offered?

\_\_\_\_\_

5. What curriculum or curricula is/are used?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

6. Has the curriculum or curricula been evaluated *in this school?*

\_\_\_ No \_\_\_ Yes (attach a separate page describing nature and results of the  
evaluation)

7. Does this school offer traffic safety education?

\_\_\_ No (Skip to Question 11)

\_\_\_ Yes, State or district mandated program (Skip to Question 10)

\_\_\_ Yes, A program which is *not* mandated by the state or district  
(Complete Questions 8-10)

8. At what grade level(s) is traffic safety education offered?

\_\_\_\_\_

\_\_\_\_\_

---

9. What curriculum or curricula is/are used?

---

---

---

10. Has the curriculum or curricula been *evaluated in this school?*

No  Yes (attach a separate page describing nature and results of the evaluation)

11. Is there a school policy concerning alcohol and drug use by students and/or staff?

No (Skip to Question 15)

Yes, Uses district policy only (Skip to Question 14)

Yes, Has own policy (Complete Questions 12-13)

12. To whom does the school-level policy apply?

Students only

Staff only

Both students and staff

13. What are the key features of the policy (be sure to get a copy)?

---

---

---

---

---

14. How is the policy publicized to staff, parents, and students?

---

---

---

---

15. Does this school offer training for teachers and staff in alcohol and drug issues *beyond any training which may be offered by the state or district?*

No (Skip to Question 18)  Yes (Complete Questions 16-17)

16. Is specific training offered for teachers responsible for alcohol, drug, and traffic safety education?

No  Yes  No curricula in place

If Yes:

Is training mandatory?

No  Yes

Are teachers retrained on a regular basis?

No  Yes

17. For each of the following categories of school staff, please indicate whether training is offered and how often, whether or not training is mandatory, and general content areas (use content codes)

Staff Type	Offered?	How Often?	Mandatory?	Content
Teachers	Y N	_____	Y N	_____
Counselors	Y N	_____	Y N	_____
Administrators	Y N	_____	Y N	_____
_____	Y N	_____	Y N	_____

Content Codes:

- |  |  |
|--|--|
| a. Scope of the problem                | g. Warning signs of alcohol and drug problems    |
| b. Effects of alcohol and drugs        | h. Methods for dealing with intoxicated students |
| c. Causes and correlates               | i. Methods for intervention or confrontation     |
| d. School-level policies               | j. Helping resources                             |
| e. Staff rights and responsibilities   |  |
| f. Student rights and responsibilities |  |

18. Does this school have a student assistance program?

No (Skip to Question 20)  Yes (Complete Question 19)

19. What services are offered (check all that apply)?

Identification of troubled students

Assessment

Referral

In-school professional counseling

In-school peer counseling

Support groups (list) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Education groups (list) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

20. Are data on student alcohol or drug use, or impaired driving gathered at this school *other than those collected by the state or district?*

No  Yes

If Yes:

Are the data gathered on a regular basis?

No  Yes (Describe) \_\_\_\_\_

What data are collected? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

21. Does the school have a specialist in alcohol, drugs, and/or impaired driving?

No  Yes, part time  Yes, full time

---

---

**C. UNIVERSITY CONCERNS**

*Note: Complete this section for each college or university in your defined community.*

1. College or university \_\_\_\_\_

2. Does this college or university have a policy concerning drinking and drug use?

\_\_\_ No (Skip to Question 6) \_\_\_ Yes (Complete Questions 3-5)

3. To whom does this policy apply?

\_\_\_ Students only

\_\_\_ Staff only

\_\_\_ Both students and staff

4. What are the key features of the policy (be sure to get a copy)?

---

---

---

---

---

---

---

5. How is the policy publicized?

---

---

---

6. Are alcohol promotions (other than advertising) allowed on this campus?

\_\_\_ No (Skip to Question 8) \_\_\_ Yes (Complete Question 7)

---

---

7. What sort of promotions take place?

---

---

---

---

---

8. Does the campus newspaper carry alcohol advertising?

No (Skip to Question 10)  Yes (Complete Question 9)

9. Approximately what percentage of the papers' advertising space is given over to alcohol advertisements?

Percent

10. Does this campus conduct awareness campaigns concerning drugs, alcohol, or impaired driving?

No (Skip to Question 13)  Yes (Complete Questions 11-12)

11. Are these campaigns conducted on a regular basis?

No  Yes (Describe) \_\_\_\_\_

12. What is the nature of the campaigns conducted?

---

---

---

---

13. Does this campus have any special alcohol or traffic safety programs for fraternities or sororities?

This campus does not have fraternities or sororities (Skip to Question 15)

No (Skip to Question 15)

Yes (Complete Question 14)

---

---

14. What is the nature of these programs?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

15. Is there a specialist in alcohol and drug issues located at the student health service of this college or university?

- No (Skip to Question 17)
- Yes, part time (Complete Question 16)
- Yes, full time (Complete Question 16)
- No student health service (Skip to Question 17)

16. Is the alcohol and drug specialist

- A doctor                       A social worker
- A nurse                          A certified alcoholism counselor
- A psychologist                 Other \_\_\_\_\_

17. Does this college or university have a student assistance program?

- No (Skip to Question 19)     Yes (Complete Question 18)

18. What services are offered (check all that apply)?

- Identification of troubled students
- Assessment
- Referral
- Professional counseling offered on campus
- Peer counseling offered on campus
- Support groups (list) \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

---

---

\_\_\_\_\_ Education groups (list) \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

19. Does this campus have an alcohol prevention club or similar organization?

\_\_\_\_ No (Skip to Question 21) \_\_\_\_ Yes (Complete Question 20)

20. What events or activities does this organization sponsor?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

21. Are data on student alcohol or drug use, or impaired driving gathered at this college or university?

\_\_\_\_ No \_\_\_\_ Yes

If Yes:

Are the data gathered on a regular basis?

\_\_\_\_ No \_\_\_\_ Yes (Describe) \_\_\_\_\_

What data are collected? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

## II. EXTRA CURRICULAR PROGRAMS

### A. STUDENT SAFETY CLUBS

1. Are there student safety clubs currently in operation in your community?

No (Skip to Section B)  Yes (Complete Questions 2-4)

2. For each student safety club in your community, provide the club name, approximate number of members, sponsor (school, church, private agency), and whether or not the club is part of a larger network (state or national)

Club Name	# of Members	Sponsor	Part of a Network?
_____	_____	_____	Y N
_____	_____	_____	Y N
_____	_____	_____	Y N
_____	_____	_____	Y N

3. Do any of the above clubs actively seek the involvement of high-risk youth?

No  Yes

If Yes:

Which clubs seek high-risk youth involvement?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

How is the involvement of high-risk youth sought?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. In what activities do safety clubs in the community engage?

---



---



---



---



---



---



---



---



---

**B. ALCOHOL AND DRUG FREE ENTERTAINMENT FOR YOUTH**

1. Are there entertainment events sponsored for youth in your community which are specifically advertised as alcohol and drug free?

\_\_\_ No (Skip to Section C) \_\_\_ Yes (Complete Question 2)

2. Please indicate the types of events that are available in your community, whether they are regularly scheduled, who sponsors them, and when they occur (graduation, holidays, every month, etc.)

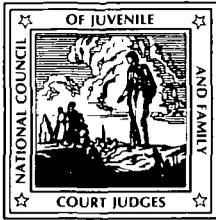
Type of Event	Available?	Regularly Scheduled?	Sponsor?	When Occur?
Dances	Y N	Y N	_____	_____
Parties	Y N	Y N	_____	_____
Concerts	Y N	Y N	_____	_____
Sporting Contests	Y N	Y N	_____	_____
_____	Y N	Y N	_____	_____
_____	Y N	Y N	_____	_____

**METROPOLITAN COURT  
JUDGES COMMITTEE  
REPORT**

---

**Drugs — The American Family  
In Crisis:**

**A Judicial Response  
39 Recommendations**



ORGANIZED MAY 22, 1937

# NATIONAL COUNCIL OF JUVENILE AND FAMILY COURT JUDGES

UNIVERSITY OF NEVADA  
P.O. BOX 8970  
RENO, NEV. 89507  
(702) 784-6012

LOUIS W. McHARDY / Executive Director

Dear Reader:

The initial concepts for the Recommendations contained in this Report were developed at a 1987 working conference on Juvenile and Family Substance Abuse. Participants included national experts and judges from the National Council's various committees which since the early eighties have been concerned with drug and alcohol abuse. They included the judges of the Council's Metropolitan Court Judges Committee which consists of the presiding juvenile or family court judges from 40 of the largest urban jurisdictions, judges whose courts hear over half of all juvenile and family court cases nationally, every year. For example, the Los Angeles Presiding Judge represents over 50 judges and law-trained hearing officers in that county alone.

It was this Committee then, which prepared this Report and Recommendations for consideration by the Council's Officers and Boards of Trustees and ultimately for the Council's full national membership. The membership in turn adopted the report unanimously at its 51st Annual Conference in Fort Lauderdale on July 14, 1988. Thus, the Report and Recommendations now represent official policy of the National Council.

If the Recommendations are widely implemented throughout the nation, the impact on families and children in our country will be tremendous. Significant results in the "war on drugs" will be achieved over the next several years.

Juvenile and family court judges hope you will enlist support in your communities to heighten awareness of the consequences of substance use and abuse. Comprehensive plans must be developed to prevent and reduce the use and abuse of drugs, including alcohol. All such efforts must be carefully coordinated to maximize the use of available resources and to achieve the best workable results.

As judges, we are dedicated to join local, state, and national leaders in a partnership for the development of goals, objectives, and programs to substantially reduce the use and abuse of controlled substances in America.

Please contact the National Council for:

- Education and Training
- Speakers
- Technical Assistance
- Information
- Implementation Assistance on the Recommendations discussed in this Report

Judge Forest E. Eastman  
President, 1987-1988

Planning and Development Office  
National Council of Juvenile and Family Court Judges  
University of Nevada-Reno  
P.O. Box 8970

## STATEMENT OF CONCERN

There is a substance abuse crisis in America, it is pervasive, it is destroying millions of our nation's families, and it is the key underlying factor in the great majority of all the cases in our juvenile and family courts. We are not just talking about kids in court for dealing in drugs or stealing for drugs. That is just the tip of the iceberg. We are talking about drug and alcohol addicted babies, 13-year-old dropouts, 15-year-old prostitutes -- "throwaway kids," runaway kids, abused kids, neglected kids, kids whose fathers won't support them. These are the kids we see in our courts every day.

The National Council surveyed our judges two years ago and they came back and told us what we all suspected all along -- drug and alcohol abuse is the underlying factor in 60 to 90 percent of all the cases we see. This is not just in Atlanta, New York, Miami, Los Angeles, or Chicago, but all across the country.

We all see on television busts of crack houses, neighborhood sweeps -- 200, 500, 1200 on a weekend in Los Angeles brought in for pushing. Some of those arrested, sometimes many of them, are juveniles. They're under 18 -- they'll be in juvenile court. Of course, a lot of them we've seen in court before, maybe many times. It is awfully late for many of these kids. Sometimes though we can get to them much earlier -- get to these kids, get to their families, do something positive, use the court's powers to intervene early while we still have an even chance. That is what our Recommendations and Report are all about.

It is far preferable to try to deal with a serious drug or alcohol problem in the family when a child of 9, 10, or 11 is first in court as abused or neglected, or for shoplifting, than to wait until, at age 15, 16, or 17, the child will be in court as a chronic drunk or junkie, a prostitute, a drug dealing gang hoodlum or drunken driver who has just killed or maimed his neighbor or a stranger.

Judge Romae T. Powell  
President, 1988-1989

(Partial Statement from Washington, D.C. Press Conference Announcing Report, August 4, 1988).

**National Council of Juvenile and Family Court Judges  
1987 - 1988**

**Metropolitan Court Judges Committee**

*Chairman:* **Craig Penfold**, Dallas, Tex.; *Vice-Chairman:* **Stephen B. Herrell**, Portland, Ore.

*Drafting Committee:* **Craig Penfold**, Dallas, Tex.; **Stephen B. Herrell**, Portland, Ore.; **Leonard P. Edwards**, San Jose, Calif.; **William E. Gladstone**, Miami, Fla.; **David E. Grossmann**, Cincinnati, Ohio; **David B. Mitchell**, Baltimore, Md.; **James W. Payne**, Indianapolis, Ind.; **Kathryn Doi Todd**, Los Angeles, Calif.

*Committee Members:* **H. Peter Albrecht**, Minneapolis, Minn.; **Eric Andell**, Houston, Tx.; **Harry B. Aron**, Chicago, Ill.; **Y. Gladys Barsamian**, Detroit, Mich.; **William R. Beasley**, Tulsa, Okla.; **John E. Brown**, Albuquerque, N.M.; **Terrence A. Carroll**, Seattle, Wash.; **Nicholas A. Cipriani**, Philadelphia, Pa.; **Paul Davis**, Austin, Tex.; **Anna C. Forder**, St. Louis, Mo.; **Gabriel A. Gutierrez**, Los Angeles, Calif.; **Arthur N. Hamilton**, Chicago, Ill.; **Richard D. Huttner**, Brooklyn, N.Y.; **Jeremiah S. Jeremiah, Jr.**, Providence, R.I.; **Gordon A. Martin, Jr.**, Boston, Mass.; **Donald L. Mason**, Kansas City, Mo.; **Sharon P. McCully**, Salt Lake City, Utah; **Katherine A. McDonald**, New York, N.Y.; **John S. McGroarty**, Las Vegas, Nev.; **John C. Morrison, Jr.**, Norfolk, Va.; **Salvadore T. Mule'**, New Orleans, La.; **Charles M. Nice**, Birmingham, Ala.; **Romae T. Powell**, Atlanta, Ga.; **Sheridan E. Reed**, San Diego, Calif.; **Tom Rickhoff**, San Antonio, Tex.; **Kenneth A. Rocco**, Cleveland, Ohio; **C. Kimball Rose**, Phoenix, Ariz.; **Patrick T. Sheedy**, Milwaukee, Wisc.; **June Strelecki**, Newark, N.J.; **Robert D. Thompson**, Wilmington, Dela.; **Kenneth A. Turner**, Memphis, Tenn.; **Ricardo M. Urbina**, Washington, D.C.; **Betty M. Vitousek**, Honolulu, Hawaii; **Orrelle R. Weeks**, Denver, Colo.; **Daniel Weinstein**, San Francisco, Calif.; **William J. Samford, II**, Mt. Meigs, Ala.

**1987 — 1988**

**Officers and Boards of Trustees**

**NCJFCJ Officers:** Forest E. Eastman, president; Romae T. Powell, president elect; Marshall P. Young, immediate past president; W. Donald Reader, vice president; Salvadore T. Mule', vice president; Ninian M. Edwards, vice president; Roy B. Willett, treasurer; James M. Farris, secretary.

**Council Trustees:** Emily Baker; John F. Butler; Terrence A. Carroll; Willard H. Douglas; Thomas F. Fay; Andrew B. Gallagher; William E. Gladstone; David E. Grossmann; Thomas E. Hornsby; William G. Jones; John S. McGroarty; Darlene W. Mears; George O. Petersen; Robert R. Spillard; Henry T. Webber.

**National Juvenile Court Foundation, Inc., Board of Trustees:** Forest E. Eastman (chairman); John H. Thomas (vice-chairman); Roy B. Willett; Romae T. Powell; Marshall P. Young (treasurer); John M. Brundage; John W. Davis; Stephen B. Herrell; J. Leonard Hornstein; Jerry L. Mershon; John E. Parrish; Gerald E. Radcliffe.

**Representatives to the Boards:** William J. Samford, II (NJCSA President); Maurice B. Cohill (chairman NCJJ Board of Fellows); Hunter Hurst (director NCJJ); Lindsay G. Arthur (Senior Judicial Scholar); Charles E. Springer.

**Staff:** Arne Schoeller, Project Director; Murray Durst, Substance Abuse Specialist; Lindsay G. Arthur, Sr. Judicial Scholar; Cheri Briggs and Joey Andrews, Sr. Administrative Assistants.

**ACKNOWLEDGEMENTS**

*Prepared under Grant 87-MU-CX-0001 (S-1) from the Office of Juvenile Justice and Delinquency Prevention, Office of Justice Programs, U.S. Department of Justice.*

*Points of view or opinions in this document are those of the National Council of Juvenile and Family Court Judges and do not necessarily represent the official position or policies of the U.S. Department of Justice.*

## TABLE OF CONTENTS

Metropolitan Court Judges Committee .....	i
National Council of Juvenile and Family Court Judges: Officers and Boards of Trustees .....	i
Summary of Recommendations .....	v
Introduction .....	1
<b>A COMMUNITY PROBLEM</b>	
1. No Legalization .....	7
2. Reduction of Demand .....	7
3. Prevention .....	9
4. Community Partnership — Coordinated Effort .....	9
5. Substance Abuse Council .....	11
6. State Funds .....	11
7. Limits on Advertising .....	13
8. Pregnancy .....	13
9. Confiscation of Property .....	15
10. Liability for Damages .....	15
11. Tobacco .....	15
12. Insurance Coverage .....	17
<b>PARENTAL RESPONSIBILITY</b>	
13. Family Problem .....	19
14. Parental Use .....	21
15. Control of Children .....	21
16. Parenting Education .....	21
<b>UNIQUE ROLE OF THE COURT</b>	
17. Judicial Leadership .....	25
18. Intervention .....	27
19. Focus on the Family .....	29
20. Accountability for Abuse .....	29
21. Enforce Parental Responsibility .....	31
22. Orders for Family Treatment .....	31
23. Secure Treatment Facilities .....	33
24. D.U.I. Jurisdiction .....	33
25. Juvenile Driver's License .....	33
26. Adult Provision of Substances .....	35
27. Domestic Violence .....	35
<b>ASSESSMENT AND TREATMENT</b>	
28. Availability of Treatment .....	37
29. Screening and Assessment .....	37
30. Judicial and Staff Training .....	39
31. Interdisciplinary Approach .....	41
32. Treatment Progress Reports .....	41
33. Treatment During Rehabilitation Programs .....	41
<b>YOUTH GANGS — A SPECIAL PROBLEM</b>	
34. Youth Gang Drug Trafficking .....	47
35. Gang Prevention By Parents .....	47
36. Judicial Personnel Training .....	49
37. Screening Offenders .....	49
38. Consider Adult Jurisdiction .....	49
39. Federal and State Organized Crime Statutes .....	51

# **SUMMARY OF RECOMMENDATIONS**

## **A COMMUNITY PROBLEM**

1. Possession, use, and sale of illegal drugs must not be legalized.
2. Primary emphasis of the "War on Drugs" should be placed on reducing demand
3. Every community must develop and sustain comprehensive programs for the prevention of substance abuse by juveniles and families.
4. Community systems, institutions, agencies, education, and social services must work as partners.
5. Each community should establish a Substance Abuse Council to coordinating information about and referral to programs for prevention, intervention, treatment, and rehabilitation.
6. States should create trust funds supported by appropriate fees, levies, or forfeitures to provide substance abuse programs among juveniles and families.
7. Federal and state statutes should be enacted to limit advertising and place warning labels on alcohol and other dangerous products.
8. The effects of substance use on pregnant women and their unborn children must be given special attention.
9. States should establish statutory authority for confiscation of property used in the distribution of substances to minors.
10. State statutes should be extended to impose civil liability on licensed vendors and others for any damages caused by or to a minor to whom they have supplied alcohol or other substances.
11. Tobacco should be prohibited in schools and other juvenile service facilities because tobacco is a "gateway" drug to alcohol, marijuana, and other substances.
12. Health insurance coverage must sustain a broad range of services for substance dependent children and their families.

## **PARENTAL RESPONSIBILITY**

13. Parents must recognize that substance abuse is a family problem and educate themselves on its impact on their children and families.
14. Parents must recognize that their own substance use can seriously harm their children.
15. Parents must be responsible for preventing their children's use of substances.
16. Parenting education programs must include substance abuse information.

## **UNIQUE ROLE OF THE COURT**

17. Judges must assert community leadership for prevention and treatment of substance abuse among juveniles and their families.
18. Courts must intervene early to increase the effectiveness of substance abuse treatment.
19. Treatment and services for juvenile and family substance abuse must focus on the family.
20. Courts must hold children and their families accountable for substance abuse and mandate sanctions and remedies, notwithstanding the fact that dependence on substances is widely regarded as a disease.
21. Courts must support and enforce parental responsibility for their children's abuse of substances.
22. Courts must issue and enforce orders for protection, treatment, and rehabilitation of children, family members, or other household members whose substance abuse detrimentally affects the child.
23. Courts must have authority to place juvenile offenders in a secure treatment facility, when necessary, to assure control and treatment if substance abuse is determined to be a significant threat to the safety of the child or others.
24. Juvenile courts should have jurisdiction over juveniles who drive while under the influence of substances.
25. Juvenile courts should be given authority to suspend, revoke, or delay access to a driver's license for juveniles who have been determined to abuse substances.
26. Courts should strictly enforce laws prohibiting parents and others from providing proscribed substances to children.
27. When substance abuse is a significant contributing factor in domestic relations and civil or criminal family violence cases, courts must impose sanctions and require treatment.

## **ASSESSMENT AND TREATMENT**

28. A full range of substance abuse assessment and treatment programs should be funded and made readily available to the courts.
29. Courts must develop a process for screening, assessing, and monitoring the presence of substance abuse by a child or family.
30. All judges and intake, probation, and casework staff must have substance abuse training.
31. Interdisciplinary approaches must be used for treatment and rehabilitation.

32. Treatment plans should require that providers submit progress reports to the court for monitoring and enforcement purposes.
33. All correctional facilities, state training schools, and community-based alternative programs should provide substance abuse treatment and rehabilitation to meet the needs of juveniles and families.

### **YOUTH GANGS — A SPECIAL PROBLEM**

34. Communities should use various strategies, including aggressive suppression, to address drug trafficking by youth gangs.
35. Parents must inform themselves about youth gang substance abuse activities, and assume responsibility for preventing their children from becoming criminally involved through gang association.
36. All judges and intake, probation, and casework staff must be trained in organized youth gang drug activities.
37. Juvenile offenders should be screened and assessed for their possible involvement with gang drug trafficking activities.
38. Courts should consider waiver to adult jurisdiction for those youth charged with serious gang-related drug trafficking.
39. Federal and state legislation should make serious juvenile youth gang drug trafficking an interstate criminal activity.

# **DRUGS: THE AMERICAN FAMILY IN CRISIS**

## **39 RECOMMENDATIONS**

### **Introduction**

Our society faces a moral and spiritual dilemma on the issue of substance use and its effects on American families. In the span of one generation, we have witnessed a ten-fold increase of substance use that affects every strata and group in our society. No credible debate can remain as to whether the problem exists. We are a society that has placed itself at risk through our own ambivalence toward drugs as they become a pervasive and harmful influence on all our lives.

Between 20% and 30% of our total population has come to be at risk of serious dysfunction from the misuse of psychoactive drugs. In some communities that risk is above 50%. We know that substance abuse is significantly associated with serious crime. We know crime is spawned and fueled by the enormous profits of illicit drug sales. We know that substance abusers endanger themselves and others with whom they have close or casual contact. Most alarmingly, we know that the pervasiveness of substances has contributed profoundly to a genuine crisis among American families.

Juvenile and family court judges are uniquely situated to address this issue as they observe daily the tragedies in which children are placed when substance abuse is prevalent in the family and its immediate environment. A 1986 survey of its members, conducted by the National Council of Juvenile and Family Court Judges, revealed their estimate that substance abuse was a significant factor in 60% to 90% of all cases referred to their courts. These are cases which directly reflect the crisis confronting American families. They include issues of child neglect, abandonment, sexual abuse, physical and emotional abuse, family violence, family dissolution, and juvenile delinquency. The association of substance abuse with these cases is overwhelmingly evident. As a consequence, the judiciary is compelled to assert all its authority and power to confront and remedy the abuse of substances that presents a fundamental threat to the well-being of children and their families.

Judges are acutely aware that alone they cannot effectively reduce the problem. Its roots are too deeply set within society. Society itself must change if the judiciary, law enforcement, education, public health, and other systems are to have a chance to reverse the substance abuse trends of a generation. Therein lies the source of our shared dilemma. A society that is unwilling to change its own attitudes toward all psychoactive drugs cannot expect its institutions and systems to resolve the problem. On an individual and collective scale there must be broad and deep resolve to reject substance abuse as acceptable behavior. That reassessment must begin with a focus on families and their capacity to prevent children from becoming involved with drugs.

### ***Societal Problem***

We must recognize that our dilemma stems from the very nature of drugs and their use in our lives. They are at once beneficial and endangering, licit

and illicit, socially accepted and abhorred. We have quite properly declared many drugs to be illicit for any use because they have been determined to present far more danger than benefit. Others have been declared to be illicit for use outside the control and supervision of medical administration. Still others are licit for adult use and illicit for juveniles. These variances of law and regulation regarding drugs reflect the complex nature of substances and their appropriate uses. No sweeping reform to prohibit all drugs or to legalize all drugs will resolve those complexities. We must recognize and acknowledge that we rely on the beneficial uses of psychoactive drugs for our well-being as a society, while simultaneously abhorring and rejecting their endangering uses.

The stark reality is that chemical substances with the potential for misuse can be found in virtually every household. They include prescribed and over-the-counter medicines, hydrocarbon component products, and other commercially produced agents that are classed as potential inhalants, and alcoholic beverages. In some households, small quantities of illicit drugs may be present. So pervasive is their presence that accessibility to drugs in one form or another is nearly universal. As a practical matter, we are a society that puts great store in the value of substances for their beneficial attributes and we surround ourselves with them. In so doing, we set the stage for prospective misuse and create ambivalent attitudes about them. We will not eradicate them from our lives. We can reduce or minimize their misuse.

Another reality must be recognized. Popular culture in America has consistently glamorized the use of substances. The messages conveyed are vivid and insistent; that substances are essential social lubricants; that they make us feel good and that they enable us to cope with the stress and pain of everyday living. Such cultural messages convey a social acceptance of all substances, not just the specific products being extolled and glamorized. Seldom mentioned are the dangers of misuse. Seldom is there a distinction made to suggest that "good times" can have bad consequences.

We must create a national awareness and commitment at all social levels to reduce the demand for drugs and we must eliminate their misuse or abuse. The task before us is massive. It must involve all of the systems in our social structure. Resolute, consistent, balanced, patient strategies are required. To protect the next generation, fundamental change must be our goal.

### ***Family Focus***

Members of the National Council of Juvenile and Family Court Judges have concluded that families and children must be the primary focus of our national strategy. It is a conclusion based on two observations. Families have been profoundly affected by the pervasiveness of drugs in society and have been placed at risk by them. Families and their children represent that level of society through which we have the greatest opportunity to bring about reductions in demand for drugs.

Adult family members who are serious and chronic abusers tend to produce children who are at increased risk to become abusers themselves. Thus, children of families in which one or more adult members are alcoholics create circumstances from which a child of the family is at four times greater

risk of alcoholism than a child of a non-alcoholic family. Recent research suggests that genetic factors may be present along with environmental influences within those families. Ultimately, the fact remains that alcohol abuse in one generation significantly increases the risk inherent within the next.

Especially tragic consequences of substance abuse occur through immediate transfer from abusing pregnant mothers to their unborn children. Increasing numbers of babies are born addicted and developmentally impaired with fetal alcohol syndrome. The association of substance abuse with sexual activity among juveniles enhances the risk for direct affect on newly born infants. Not only are these infants impaired developmentally, but they may be highly susceptible to substance abuse or dependency as they mature.

### ***Risk to Youth***

The major risk factors that lead youth into substance abuse are heavily influenced by the family. When the family is functioning effectively, these risks are reduced. When it is dysfunctional, they are greatly increased. A family history of alcoholism; family management problems; early child antisocial behavior; parental drug use and tolerant attitudes toward use; child failure in formal schooling; low commitment to schooling; and alienation from society are some of the risk factors largely attributable to family environment. When present to any appreciable degree, they are precursors of child substance abuse.

The link of adult substance abuse and the abuse of children within the family is well-established. Sexual, physical, and emotional abuse of children are often triggered by episodes of substance abuse affecting one or more adult family members. Resulting trauma to these children frequently produces effects in adolescence and young adulthood which contribute to their own abuse of substances and the perpetuation of abuse among their own children.

Particularly alarming is the younger age at which experimentation is beginning. The consensus among experts is that tobacco and alcohol are the drugs through which youth enter into more serious substance abuse. Currently, average age for first use of tobacco is 11, for alcohol it is 12. During the 1980s, experimentation with these gateway drugs has become a "rite of passage" or transitional experience from childhood to adolescence. In turn, adolescence has become a period during which a youth either avoids the progression into significant substance abuse or falls prey to it. This change in initial usage is most significant. As recently as the mid-1970s, initial use of alcohol and other drugs was associated with youth's transition to adulthood. A later adolescent experience, presents a more limited risk for problem abuse and dependence on substances in adult years. That risk obviously becomes much greater when the average age for first use of alcohol is the child's 12th year.

### ***Judicial Response***

Courts alone cannot resolve the substance abuse problem in American society at any level, youth or adult. However, they can and must be a strong

*Our children are growing up in a society that teaches:*

- 1) pain is bad and should be avoided*
- 2) take something, you'll feel better*

*Children are bombarded with TV commercials (one out of four) which offer a smorgasbord of pills, liquids, and powders with which any discomfort may be alleviated. Movie and TV heroes relax, celebrate, and romance over alcoholic beverages. Eight out of 10 adult role models drink alcohol, many use other mood altering drugs, and even more excuse, tolerate, or participate in intoxication behavior.*

*Physicians dole out millions of psychoactive prescription drugs to fix "whatever ails you." In essence, our children are being socialized into a society which is, in and of itself, addicted.*

Jamie Hatfiel Norton, Chief  
of Adolescent Substance Abuse  
Services, North Carolina  
Division of Mental Health,  
Mental Retardation, and  
Substance Abuse Services. Focus  
on Family, July/August 1986

---

# A Community Problem

---

*Creating acceptance that substance abuse is a community problem requiring comprehensive response is crucial to this nation's "War on Drugs." Only the community can bring about the fundamental changes, attitudes, and behaviors that will significantly reduce our demand for drugs. Only the community can develop and sustain accessible programs that, over time, will successfully prevent and control drug abuse to create a social environment in which all of its members can live.*

## **1. No Legalization**

***Possession, use, and sale of illegal drugs must not be legalized.***

A national debate raises the issue of legalizing all drugs. The argument for legalization is based on removing criminality associated with illicit drug-trafficking both nationally and internationally. This proposition does not consider the real danger that would accrue to families and their children whose access to drugs would increase greatly under any legalization process. Use of mind-altering substances by children and adults is a major health problem and legalization is a superficial response. Users of these substances are the first victims of their criminal behavior and from there it spreads to the rest of society. Protection of families from further harm caused by substance abuse requires more control and restriction of supply rather than less. Juvenile and family court judges emphatically oppose any lessening of existent laws controlling and proscribing access to psychoactive substances by children or adults.

## **2. Reduction of Demand**

***Primary emphasis of the "War on Drugs" should be placed on reducing demand.***

Demand reduction is the linchpin in the nation's war on drugs. No matter how successful the effort to interdict foreign supply of illicit drugs, undiminished demand simply will be supplied by other sources. Without

**Table 1 — Prevalence and Recency of Use  
of 10 Major Types of Drugs  
United States High School Seniors, 1986**

	Ever Used	Past Month	Past Year Not Past Month	Not Past Year	Never Used
Marijuana/Hashish	50.9	23.4	15.4	12.1	49.1
Inhalants*	15.9	2.5	3.6	9.8	84.1
Hallucinogens	9.7	2.5	3.5	3.7	90.3
Cocaine	16.9	6.2	6.5	4.2	83.1
Heroin	1.1	.2	.3	.6	98.9
Stimulants** (adjusted for inappropriate reporting)	23.4	5.5	7.9	10.0	76.6
Sedatives**	10.4	2.2	3.0	5.2	89.6
Tranquilizers**	10.9	2.1	3.7	5.1	89.1
Alcohol	91.3	65.3	19.2	6.8	8.7
Cigarettes	67.6	29.6	(38.0)†		32.4

\* Data based on four questionnaire forms and represent views of approximately 12,100 seniors

\*\* Only those drugs not ordered by a physician

† The combined total for the two columns is shown because the question asked did not discriminate between the two answer categories

Source: High School Senior Survey. National Institute of Drug Abuse, 1986.

Statistical Bulletin — Oct.-Dec. 1987

question, the enforcement of the criminality of supply-side activities must be continued and the effort to interdict must be maintained locally and nationally, as well as internationally. However, substance abuse itself is a personal and a societally-based problem. Directing all resources to the supply-side of substance abuse ignores the source of the problem — demand by individuals who, for whatever reason, create a market for illicit drugs. Community-based prevention programs are the essential component in the effort to reduce demand. Existing demand reduction programs must be expanded and additional programs developed and sustained for many years if the war on drugs is to be successful.

### **3. Prevention**

***Every community must develop and sustain comprehensive programs for the prevention of substance abuse by juveniles and families.***

Substantial reduction of substance abuse by juveniles and families can only be achieved through effective and sustained prevention programs, developed and implemented in every community. These programs must assault the very foundation of the problem by convincing all members of the community to reduce and control their use of psychoactive drugs. While not precisely analogous to the challenge posed by alcohol and other drugs, the nation's 20-year effort to reduce cigarette and other tobacco use serves as an example of what must be done to prevent substance abuse. That effort has resulted in a significant reduction of tobacco smoking and shows evidence today of rapidly increasing effectiveness. Reducing substance abuse will require an even more comprehensive and persistent effort and will require even more time.

Communities must commit themselves to the task. They must use all their resources, public and private, in a comprehensive strategy designed to effect fundamental change in attitudes toward substance abuse. Particularly urgent must be an all-out effort to prevent children and families from falling prey to the destructive grip of substance abuse. Prevention is crucial to break the cycle whereby abusing parents and families produce abusing children who, in turn, abuse their progeny. So fundamental is the need for change that it is beyond the capacity of law enforcement, courts, health services, or education alone. Ultimate success will depend upon the active involvement of a responsible, concerned, and committed citizenry.

### **4. Community Partnership — Coordinated Effort**

***Community systems, institutions, agencies, education, and social services must work as partners.***

Cooperation and active collaboration among each community's concerned institutions, agencies, and systems are the cornerstones of effective prevention programs. The judiciary, law enforcement, education, health, social services, housing authorities, religion, parent organizations, employers, and government systems in each community must form active partnerships to develop and sustain effective prevention programs. Each of these entities has an explicit interest in reducing substance abuse in the community. Each has a

## **Examples of Possible Substance Abuse Council Functions**

- Assessment:** Trained staff counselors meet with family members to discuss problems they may be having.
- Family Intervention:** Treatment is suggested to the chemically dependent family member.
- Treatment Referral:** Clients are referred to the best possible appropriate treatment.
- Awareness:** Raises the level of awareness of drug abuse among teenagers and adults.
- Hope to Cope:** A course on learning to cope with a chemically dependent loved one.
- New Directions:** A course on cooperation with authorities to prevent dependency by educating teens and parents of the progressive nature of dependency and its devastating effects.
- Support Groups:** Families Anonymous, Recovering Teens Support Group, Adult Children of Alcoholics or Substance Abusers, among many others.
- Training/Consultation:** Staff members would be available to clergy, educators, and police officers when needed to provide training and advice.
- Education:** A library of books, tapes, and videos on the problems of drug and alcohol abuse.

specialized capability to continue the task. Each has specific experiences which serve to create strong commitment to the effort. These groups must become mutually supporting partners in an effort that overrides turfdom, competitiveness, and narrow self-interest.

## **5. Substance Abuse Council**

***Each community should establish a Substance Abuse Council to coordinate information about and referral to prevention, intervention, treatment, and rehabilitation.***

The substance abuse services field is diverse and is rapidly evolving in most communities. The increasing number of treatment programs can create a confusing maze to those organizations and individuals needing urgent and objective assistance. The availability of a Substance Abuse Council for collecting and coordinating information and making referrals, in response to specific needs, can be an invaluable community service.

Communities should establish a central information and referral service with access to all substance abuse prevention, intervention, treatment, and rehabilitation programs for all individuals, organizations, and agencies. The Council should provide the community with a staff of substance abuse experts, an accessible repository of information about all available resources, and services for substance abuse concerns.

Substance Abuse Councils should develop, maintain, and distribute directories of substance abuse services. These directories should include services that specifically address the treatment needs of juveniles and adults in both delinquency and dependency cases. Similarly, they should include those services specifically designed to meet the needs for treatment or support of families involved with substance abuse, or to provide support to the substance abusing child. The directory should reflect all treatment options and methodologies offered within the court's jurisdiction, community, and state. Those highly specialized services which may be available only on a regional or national basis should be included. There should be sufficient descriptive information provided in the directory to enable court service personnel and judges to make effective and enlightened decisions.

## **6. State Funds**

***States should create trust funds supported by appropriate fees, levies, or forfeitures to provide substance abuse programs among juveniles and families.***

As the judiciary increases its intervention when substance abuse is determined to be a factor in delinquency and dependency cases, there will be an increased need for prevention and treatment services. These services should offer programs specifically designed and proven effective for juvenile and family substance abuse. Currently, such programs do not exist in adequate numbers, scope, or quality of services in all communities. Resources must be committed to assure such services will be sustained over time.

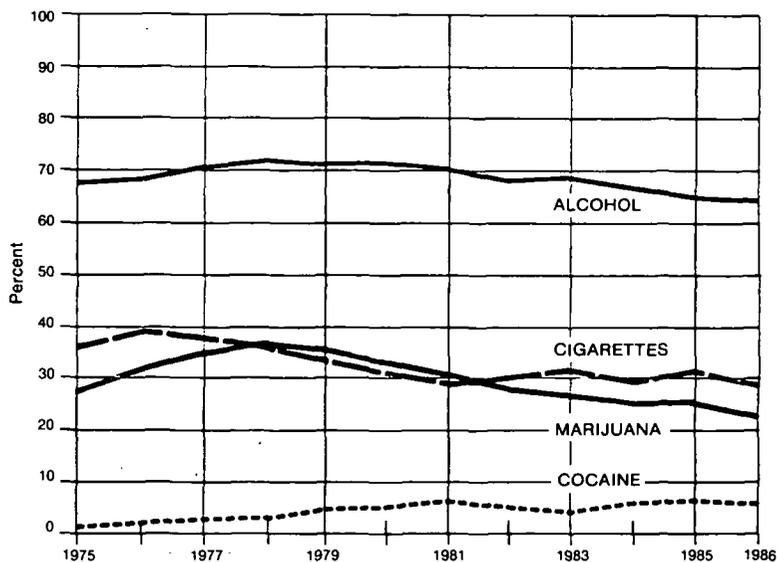
State, as well as federal, legislation should create special trust funds

**Table 2 — Alcohol Usage Patterns  
United States High School Seniors, 1986**

	Lifetime Use	Annual Use	Last Month	Daily in Last Month
<b>All Seniors</b>	<b>91.3</b>	84.5	65.3	4.8
<b>Sex</b>				
Male	92.3	85.8	69.0	6.7
Female	90.6	83.4	61.9	2.8
<b>College Plans</b>				
None or under 4 years	92.2	85.1	66.6	6.8
Complete 4 Years	91.1	84.6	64.8	3.5
<b>Region</b>				
Northeast	94.3	88.7	67.6	4.9
Midwest	93.5	88.4	71.3	4.9
South	88.0	78.4	58.2	4.9
West	89.7	82.9	64.5	4.2
<b>Population Density</b>				
Large SMSA	92.8	86.8	66.2	4.0
Other SMSA	91.0	84.1	64.8	4.5
Non-SMSA	90.6	83.0	65.2	5.8

Source: High School Senior Survey. National Institute of Drug Abuse, 1986 extrapolations by Metropolitan Life Insurance Company Health and Safety Education personnel, 1987

**Figure A—Trends in Current Use of Cocaine and the Top Three Prevalent Drugs Mentioned by High School Seniors**



Source: High School Senior Survey. National Institute of Drug Abuse. 1986

Statistical Bulletin — Oct.-Dec. 1987

earmarked for the support of prevention and treatment programs for juvenile and family substance abuse. A trust fund would enable states and local communities to maintain a firm base upon which to plan, implement, and continue those services. Revenue sources for these funds could be derived from community fees, fines, levies, and/or forfeitures resulting from drug trafficking and other criminal offenses associated with substance abuse. Where states are precluded by their constitutions from creating trust funds, other funding mechanisms should be provided.

## **7. Limits on Advertising**

***Federal and state statutes should be enacted to limit advertising and place warning labels on alcohol and other dangerous products.***

Alcohol is the major substance of abuse by youth throughout the nation. By most estimates, alcohol is about 80% of the problem. The alcoholic beverage industry must accept responsibility for actively discouraging minors from using its products. In every state, alcohol use by minors is prohibited by long-standing laws regarding purchase, possession, or consumption. As a minimum standard of responsibility:

- The alcoholic beverage industry should be required to limit advertising of those products which are most influential on juveniles.
- Product warning labels should clearly state that alcohol is illegal for consumption by minors and harmful to their health.
- Warning labels should indicate to pregnant women the risk for fetal alcohol syndrome resulting from consumption of alcohol.
- The industry should be required to assume some of the cost for juvenile and family alcohol abuse prevention and treatment through special fee assessments.
- The precedent for standards of this type imposed on the tobacco industry is appropriate for the alcoholic beverage industry, and federal and state statutes should be enacted to apply these standards. Similar requirements should be imposed on producers of products which are used as inhalants.

## **8. Pregnancy**

***The effects of substance use on pregnant women and their unborn children must be given special attention.***

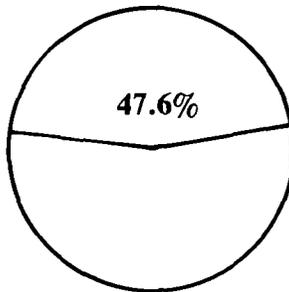
Pregnant women who endanger their unborn children through substance abuse require special focus in community prevention and early intervention programs. Children who are addicted and/or physically or developmentally impaired at birth because of their mother's substance abuse are wholly innocent and powerless victims who may never recover. Though the potential outcome of substance abuse by women applies to any child-bearing age or socio-economic group, the need for special emphasis is acute among teenage and young adult women whose circumstances hinder adequate prenatal care.

Educational programs dealing with health, substance use prevention, social

## **HIGH SCHOOL SENIORS INTOXICATION AND DRIVING**

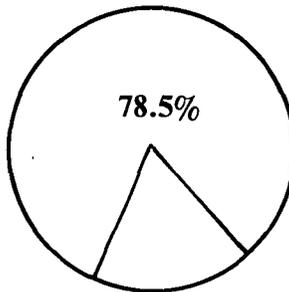
**“Have you ever driven while under the influence of alcohol or drugs?”**

**NEARLY HALF SAY YES**



**“Have you ridden with a driver who was under the influence?”**

**MORE THAN THREE QUARTERS SAY YES**



*Source: Pinellas County Florida, October 1983.*

development, sex education, parenting, and out-of-school programs for young pregnant women must be provided by the medical and public health systems in each community. Information on the consequences of substance abuse and child-bearing must be delivered particularly to sexually-active, high-risk adolescents.

## **9. Confiscation of Property**

***States should establish statutory authority for confiscation of property used in the distribution of substances to minors.***

Statutes should be adopted to require the confiscation of property of those persons convicted of selling substances to minors. Property confiscation from the sale of alcohol and other licit drugs should deter illegal sale to minors of those substances recognized to comprise 80% of our national substance abuse problem.

## **10. Liability for Damages**

***State statutes should be extended to impose civil liability on licensed vendors and others for any damage caused by or to a minor to whom they have supplied alcohol or other substances.***

Many states have "dram shop" laws which, under specific circumstances, hold licensed vendors of substances responsible for the damages caused by individuals who use those substances. Juveniles and young adults are involved in a disproportionate number of injuries and deaths when under the influence of substances. The use of substances by juveniles particularly causes a serious threat to the juvenile and the community. This threat is aggravated when the juvenile obtains the substances from an unlicensed provider. States should extend "dram shop" statutes to hold adult providers of substances to minors liable for damages caused by an impaired minor to whom they have sold or supplied alcohol or other drugs. Such extension would serve as a significant deterrent to supplying any substance to a minor and would enable redress from the damaged party.

## **11. Tobacco**

***Tobacco should be prohibited in schools and other juvenile service facilities because tobacco is a "gateway" drug to alcohol, marijuana, and other substances.***

Despite the marked reduction of cigarette smoking in the general population, the practice remains popular among a steady percentage of youth. Along with alcohol, tobacco use has been established by researchers to be a gateway drug for early age youth. Judges recognize that tobacco is a licit drug that can contribute to a child's early experimentation with other drugs. Schools and other juvenile service facilities are urged to prohibit the use of tobacco by juveniles and staff and to continue their education programs aimed at prevention of tobacco use by youth.

*Before and during treatment, insurance companies force unreasonably short lengths of stay that weakens treatment effectiveness.*

“Professional Update”, Hazelden  
Foundation, April 1988

*Physicians have found a high incidence among cocaine children of prematurity and low birth weight. Increased numbers of congenital malformation of the central nervous system, kidneys, joints, and bones have also been observed.*

Minneapolis Star Tribune, June  
4, 1988.

*I began using drugs when I was 13. My parents thought I had mental problems, so I lied and manipulated my way through four years of psychiatric therapy, hiding my addiction. I was taking drugs intravenously at 15, and had tried to commit suicide five times before getting into treatment at 21. I was angry, lonely, and very scared.*

A Recovering Young Adult.  
“Harmfully Involved, Maryland  
Youth in Crisis”, Maryland State  
Bar Association, June 1986.

## 12. Insurance Coverage

***Health insurance coverage must sustain a broad range of services for substance dependent children and their families.***

The provision of adequate and effective substance abuse treatment ordered by courts for adults and their dependents is often controlled by health insurance coverage limitations. Such limits may restrict the timeframe for treatment, the type of treatment provided, and the allowable cost reimbursements for treatment. Insurance policies tend to limit treatment options to short-term (30 days or less) inpatient programs operated by hospitals or other medical providers. Some recent developments have resulted in the addition of coverage for outpatient treatment. Courts find that limitations by health insurance providers frequently inhibit selection of treatment options which would be the most appropriate and effective in juvenile and family cases. Judges urge state insurance commissions and state legislatures to consider requiring health insurers to provide payment for court-ordered substance abuse treatment of insured adults and their dependents with the appropriate range of necessary services including inpatient, outpatient, and aftercare.

## Signs and Symptoms

Adolescence is a turbulent time when youth are exposed to many pressures. Pressure to experiment with alcohol and other drugs is one of them. When young people use mood altering chemicals, the effect may bring with it even more erratic or unpredictable behavior.

Typically, the parent is the last to know. But there are signs that accompany excessive use of drugs or alcohol. Are you seeing behavior that wasn't there last year? Do you recognize any of the following symptoms?

- Sudden drop in grades.
- Obvious change in friends.
- Confused, apathetic, disoriented behavior.
- Problems in school, with the law or neighbors, poor attitude toward authority.
- Lack of participation as a family member in activities or household tasks.
- Unexplained need for money.
- Erratic moods, i.e. easily angered, moody, uncooperative, sensitive.
- Dishonesty.
- Defensive, elusive, or withdrawn.
- No longer involved in activities, sports or hobbies.
- Skipping school or certain classes.
- Smell of alcohol or marijuana on breath or clothing.

*Addiction Recovery Corp., Parkview Centers*

---

# Parental Responsibility

---

*Families are the first level in our society with the responsibility and authority to prevent substance abuse by their children and to intervene if their children become involved. They are responsible for exemplifying and teaching the values of drug-free lives for their children. These responsibilities are more than the practice of good parenting skills. They are inherent responsibilities recognized by society and by law. Supported in their efforts by community services, parents must be encouraged to fulfill their roles and to recognize themselves as accountable.*

## **13. Family Problem**

***Parents must recognize that substance abuse is a family problem, and must educate themselves about its impact on their children and families.***

Parents must recognize that avoidance of substance use by their children depends upon their parenting skills. Parenting is not an inherited or natural skill. It is a learned behavior which must be constantly applied to enable children to grow and succeed. The development of positive values, self-esteem, and adherence to community standards and law rests directly with parents. Parents cannot depend upon chance, faith, or whatever social-economic-cultural associations they may have. Parent knowledge, skill, involvement, authority, control, and care remain the most important influences in society to prevent youth from placing themselves at risk through substance abuse.

To fulfill their responsibilities, parents must inform themselves about the consequences of substance abuse.

- Parents must have knowledge about, and understand how their personal use or abuse of substances impacts the family as a whole, and especially those children who depend upon their parents for basic care and nurturing.
- Parents must understand the peer pressure placed on youth to begin using substances and the social progression which may lead youth into episodes and patterns of more serious abuse.

- Nearly 18 million adults in the U.S. are problem drinkers, according to the latest report on alcoholism and alcohol abuse. More than 10 million of these drinkers are suffering from alcoholism.
- Alcohol is a factor in nearly half of America's murders, suicides, and accidental deaths. In all, it claims at least 100,000 lives per year, 25 times as many as all illegal drugs combined.
- Two of every three adults drink. But only 10 percent of the nation's drinkers consume half of its beer, wine, and liquor. The south and the west have the most abstainers. But their drinkers drink the most.
- Two of every three high school seniors have drunk alcohol within the past month. Five percent drink daily. Forty percent of sixth-graders have tasted wine coolers. By age 18, a child will have seen 100,000 beer commercials.
- The economic costs to society of alcoholism and alcohol abuse are estimated at nearly \$117 billion a year—including \$18 billion from premature deaths, \$66 billion in reduced work effort, \$13 billion for treatments.
- One family in four has been troubled by alcohol — the highest incidence of problem drinking in a Gallup trend that dated back to 1950.

*U.S. News & World Report, Nov. 30, 1987*

- Parents must develop awareness of current trends reflecting youth involvement with substances, the age at which juveniles begin experimenting with substances, and the signs and symptoms of child behavior indicating possible substance abuse.

#### **14. Parental Use**

***Parents must recognize that their own substance use can seriously harm their children.***

Despite the intrusion of peer pressure and other outside-the-family influences on youth, research clearly establishes that parents and families remain the most important force in a child's life. That fact imposes on parents the responsibility to influence their children's development by example as well as word.

- Parents who abuse substances must recognize that their example endangers their children. Children of alcohol-dependent parents are at four times the risk of becoming substance dependent when compared to children of non-alcoholic parents. Since parents are the primary role models for their children, they should expect their own substance use and abuse will model a behavior that puts their children at risk for the same behavior. Such conduct may be a primary contributing factor to a child placed in crisis whether by delinquent behavior, rebellion, sexual activity, abuse, etc.
- Parents must also recognize that their behavior, when impaired by substance abuse, is a major cause of emotional, physical, and sexual abuse which endangers children within the family. Impaired parental behavior constitutes horrendous risks to the well-being of children.

#### **15. Control of Children**

***Parents must be responsible for preventing their children's use of substances.***

Parenting is a challenging, often awesome, responsibility in any era. As a child grows, develops, and becomes increasingly independent of his family, a parent becomes just one of many influences in the child's life. Until a child reaches the age of emancipation under the law (18 in most states), parents remain responsible and accountable under law for their child's activities and behavior, not only at home but in the community as well. This accountability applies to substance abuse along with other activities and behaviors which put children at risk.

#### **16. Parenting Education**

***Parenting education programs must include substance abuse information.***

All parenting education must include significant components that prepare parents to address substance abuse among children and the family. The pervasiveness of substance use at all levels of society should be presented as the basis for understanding how and why youth become involved, as well as

*The average age of first use of alcohol is 12.3 years. And that's not a little sip of wine or a taste of beer. By age 13, 30% of boys and 22% of girls drink on a regular basis.*

Dr. Donald Ian Macdonald,  
Deputy Assistant to the  
President for Drug Abuse  
Policy. **"Schools Without Drugs:  
The Challenge"**, May 1987

*Juvenile access to licit drugs, primarily alcohol and medicines, is particularly difficult to attack given the acceptability of these substances within society as a whole and the continual promotion of them in the media.*

"A Judicial Response", Final  
Report of the Working  
Conference on Juvenile and  
Family Substance Abuse,  
10/28/87

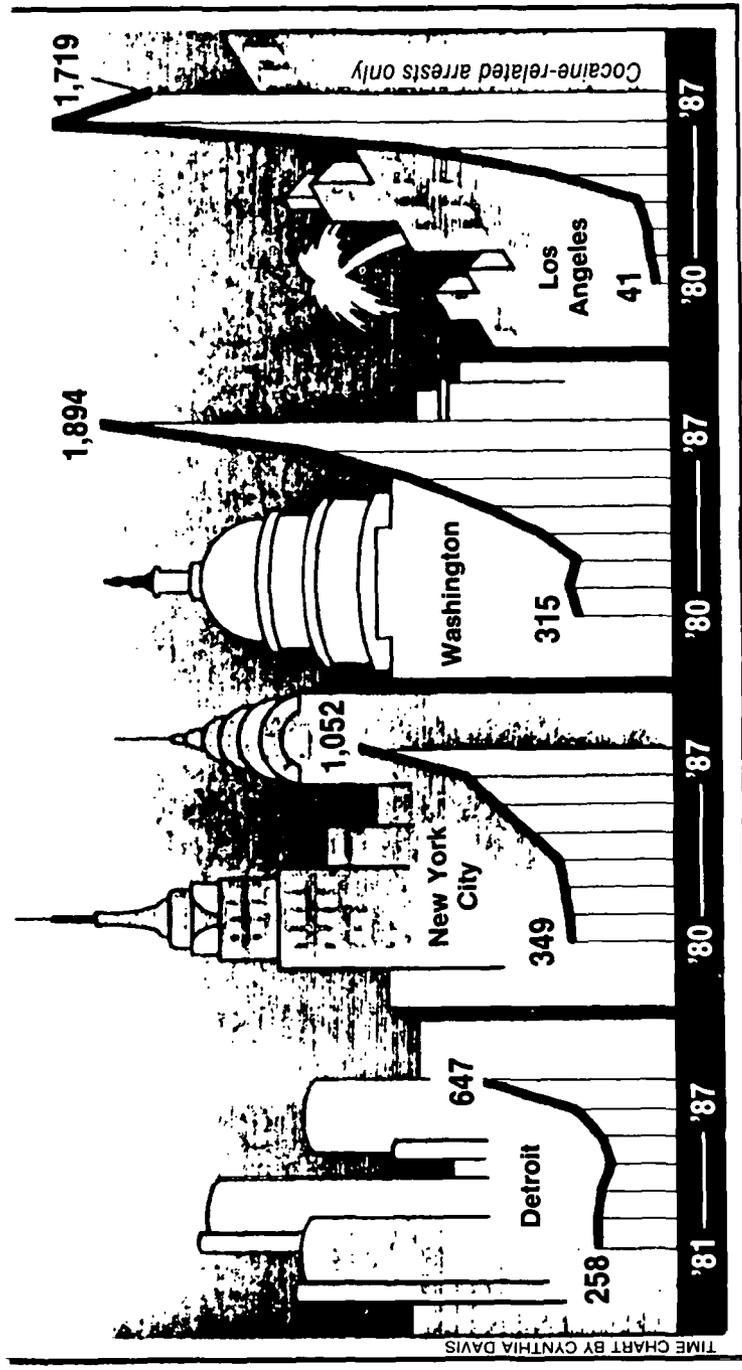
*. . . some students see parents' efforts to discourage graduation-time celebrations, and drinking in general, as hypocritical. The fact that so many adults would say don't drink but then do it themselves makes whatever they say suspect.*

Jennifer Mayer, Senior Class  
President, Washington-Lee High  
School. Washington Post,  
5/8/87

how such involvement can be prevented. Emphasis should be given to the special dangers substance abuse can present to children and adolescents and how they differ from the risks to adults.

Social dynamics which tend to impel youth into early-age experimentation with substances should be explored, including those which may occur within families as well as within juvenile peer groups. Parental responsibilities to provide authority and control over their children's behavior with respect to substance use should be emphasized. Also appropriate for inclusion in parenting education is an explanation that the law prohibits purchase, possession, and consumption of both licit and illicit substances by minors.

# DRUG-RELATED JUVENILE ARRESTS



Time, May 9, 1988

---

# Unique Role of the Court

---

*The court is a unique and vital institution within the American system of government. The court's fundamental responsibility is to assure that all members of society are protected under law from harm by others. Juvenile and family courts have, within this system, the equally important responsibility to protect the best interests of children, families, and communities. These responsibilities convey to the courts a role vital to our anti-substance abuse efforts on behalf of society and especially on behalf of children and their families. Such efforts must recognize the existence of non-traditional, as well as traditional, family units within today's society.*

## **17. Judicial Leadership**

***Judges must assert community leadership for prevention and treatment of substance abuse among juveniles and their families.***

The judiciary's capacity to address substance abuse as a factor in delinquency and dependency cases is directly determined by the presence or absence of community-based programs. Judges, therefore, have a mandate to assert leadership to assure that effective programs are developed and sustained.

Such leadership should involve all of the major systems within the community, both public and private, in order to develop a comprehensive approach to the complex social, legal, health, and behavior issues connected with substance abuse.

- By resolution adopted in 1984, the National Council of Juvenile and Family Court Judges formally called upon its members to combat actively the pervasive presence of substance abuse among juveniles and families referred to courts.

## **RISK FACTORS FOR DELINQUENCY AND DRUG ABUSE**

1. Early variety and frequency of anti-social behaviors in the primary grades of elementary school
2. Parent and sibling drug use and criminal behavior
3. Poor and inconsistent family management practices
4. Family conflict
5. Family social deprivation
6. School failure
7. Low degree of commitment to education and attachment to school (school bonding)
8. Peer factors
9. Attitudes and beliefs
10. Neighborhood attachment and community disorganization
11. Mobility
12. Constitutional and personality factors

J. David Hawkins, Ph.D.,  
Denise M. Lishner, M.S.W.,  
Jeffrey M. Jenson, M.P.A.,  
M.S.W., and Richard F.  
Catalano, Ph.D., "Delinquents  
and Drugs: What the Evidence  
Suggests About Prevention and  
Treatment Programming," in  
"Youth at High Risk for  
Substance Abuse;" Barry S.  
Brown, Ph.D., Arnold R. Mills,  
M.S.W., Editors. DHHS  
Publication No. (ADM) 87-1537,  
Alcohol, Drug Abuse, and  
Mental Health Administration,  
1987.

- In their community leadership roles, judges should advocate:
  - protection of the child
  - the involvement of the family
  - accountability of the juvenile
  - protection of the community
- Judges should seek two levels of planning for comprehensive community-based programs to combat substance abuse:
  - immediate provision for prevention and intervention programs and resources; and
  - long-term, multi-generational strategies to reduce substance use and abuse within society as a whole.
- Judges must continually assess and understand their community substance abuse treatment resources.
- Judges should establish and maintain active cooperation with schools, public health, social services, law enforcement, parent groups, and other appropriate agencies and institutions in the community to combat substance abuse among juveniles and their families.
- Judges should encourage statewide, as well as community-level, organization for the provision of needed substance abuse treatment services.

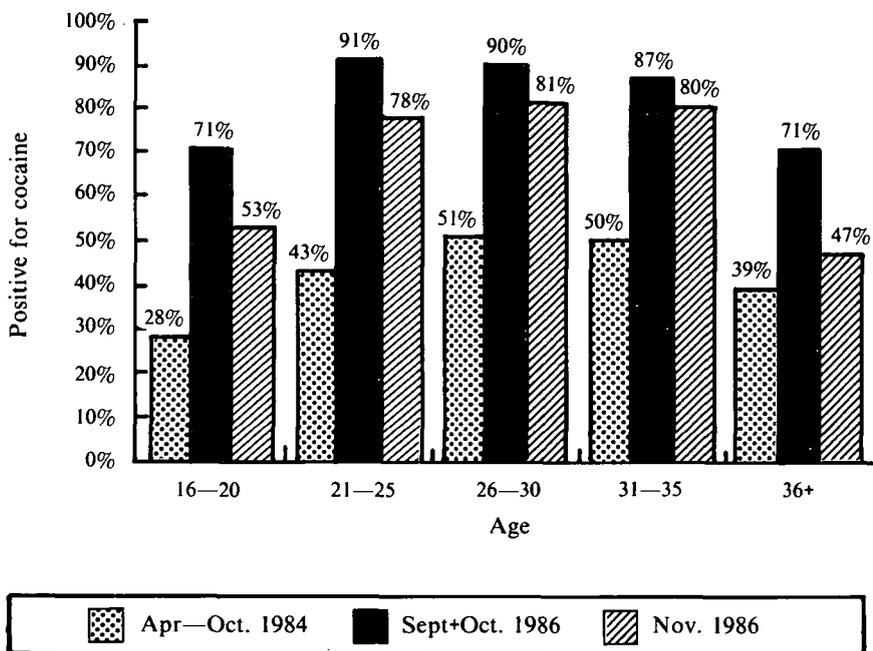
## **18. Intervention**

### ***Courts must intervene early to increase the effectiveness of substance abuse treatment.***

Courts must intervene as early as possible whenever they determine that substance abuse is the cause for a delinquency or dependency case being filed. Serious substance abuse at any age is not apt to be remedied by an individual without the benefit of treatment and long-term rehabilitation services. Therefore, the identifying court should mandate treatment as early as the judicial process permits.

- As the progression into serious levels of substance abuse and possible poly-drug abuse occurs, substance abuse tends to become a central correlate or causal problem affecting other antisocial behavior manifested by juveniles and adults.
- At advanced levels of abuse, substances tend to become a major force dictating an individual's overall behavior patterns and, as such, substances can become a principal cause leading to offenses referred to the court.
- When substance abuse is a significant contributor to antisocial and offending behavior among juveniles and their families, the influences of the substance may be so destructive that sanctions and remedies by the court, in response to the presenting charges, will be futile without early treatment of the substance problem.
- When substance abuse is identified, early intervention by courts is a major

**Percentage of arrestees positive for cocaine in 1984 and in 1986, by age**  
 (n = 4,821 in 1984, 413 in Sept./Oct. 1986, and 201 in Nov. 1986)



**Percentage of arrestees positive for cocaine, by date and charge at arrest**

Charge at arrest	1984 (n*)%	Sept+Oct. 1986 (n)%	Nov. 1986 (n)%
Sale of drugs	(355)55%	(27)96%	(18)89%
Possession of drugs	(615)60%	(61)92%	(28)82%
Robbery	(676)38%	(51)92%	(17)59%
Fare beating	(98)21%	(26)85%	(8) **
Larceny	(667)44%	(50)82%	(42)69%
Burglary	(348)43%	(31)81%	(17)71%
Assault	(506)25%	(37)65%	(15)27%

\*Number of persons charged with this offense.

\*\*Too few cases.

contribution which the judiciary can make in reducing the national demand for drugs.

### **19. Focus on Family**

***Treatment and services for juvenile and family substance abuse must focus on the family.***

The family is the most critical force for control, authority, and support in the lives of children. When substance abuse is determined to be a factor contributing to dysfunction, the family must be the focus of court-ordered treatment services. That focus requires all family members to participate actively in the treatment process even though only one family member is the abuser. Courts should hold families accountable for participation in treatment services in order to remedy other members' substance abuse, particularly when that abuse is determined to be a threat to the child or other family members.

### **20. Accountability for Abuse**

***Courts must hold children and their families accountable for substance abuse and mandate sanctions and remedies, notwithstanding the fact that dependence on substances is widely regarded as a disease.***

The American Medical Association, American Psychological Association, the World Health Organization, and other authoritative medical bodies have determined that substance dependence is a disease and should be treated as such. While acknowledging and accepting that definition, courts nonetheless must hold juveniles and their families accountable when their behavior constitutes a violation of the law or a threat to the welfare and safety of children. This responsibility applies to behavior which may result directly or indirectly from substance abuse.

Accountability is essential for the protection of children, the family unit and its members, and the community. Therefore, courts often are required to mandate sanctions and remedies for unlawful behavior and provide treatment services to avert further offenses. Because of the pervasiveness of substance abuse among court-referred juveniles and families, substance abuse must be addressed whenever it is determined to be associated with delinquency or dependency cases.

The responsibility of the courts to hold juvenile and parental behavior accountable under law is not inherently in conflict with the medical community's responsibility to diagnose and treat substance abuse as a disease. To the contrary, the court's power and authority to mandate treatment for substance abuse and dependence can be a significant asset in the rehabilitative process. Indeed, most treatment methodologies require the substance dependent patient's self-acknowledgement and acceptance of accountability for his behavior as an essential early step in the treatment process. Thus, the court's requirement of accountability may abet the treatment process itself.

*In addition to the specter of someone's injury or death on their conscience if they allow alcohol to be served to minors, parents may be legally liable for damages to people and property if teenagers were illegally drinking in their homes. The Georgia Supreme Court ruled in 1986 that hosts of private parties can be held liable when minors are served alcohol and are involved in wrecks. The case involved a 17-year-old boy who had been drinking beer. When he left the party, beer in hand, he broadsided a car and killed the driver. The driver's widow sued the mother of the party host and collected \$200,000.00.*

Washington Post, 6/5/87

*I thought it was normal for kids to get drunk and get high every day. I didn't have a conscience then, and I didn't care what I did. My habit required more money than I had, so I broke into houses, and tried to steal cars.*

A Recovering Adolescent.  
"Harmfully Involved, Maryland Youth in Crisis," Maryland State Bar Association, June 1986

*In a study of delinquents and nondelinquents, a history of abuse and/or family violence was the most significant variable in predicting membership in the delinquent group.*

"Fact Sheet," U.S. House of Representatives, Select Committee on Children, Youth, and Families, 3/9/88

- Children tend to be victimized as much by the substance abuse of family members and others as they are victimized by their own substance abuse.
- Substance abuse is an acknowledged factor in the great majority of cases presented to juvenile and family courts, including family dissolution, dependency, neglect, abandonment, family violence, delinquency, child/spousal abuse, status offenses, and termination of parental rights.
- Statutes in every state prohibit the purchase, possession, and consumption of licit and illicit drugs by juveniles. Courts should hold juveniles who abuse substances accountable for their conduct.

## **21. Enforce Parental Responsibility**

***Courts must support and enforce parental responsibility for their children's abuse of substances.***

Parental responsibility for children's substance abuse is primary and essential to the nation's efforts to combat problems among youth. Courts must consistently support the rights of parents to control their child's behavior, activities, associations, and attitudes so as to avoid the initial use of substances and to intervene effectively should the child become involved. Parents and the family are the fundamental social unit and members of the family unit must be held accountable for fulfilling their responsibilities to protect the well-being of the children.

- Courts must support the authority of parents to perform effectively at every opportunity.
- Prevention and intervention of substance abuse has to be a major focus of responsible parenting.

## **22. Orders for Family Treatment**

***Courts must issue and enforce orders for protection, treatment, and rehabilitation of children, family members, or other household members whose substance abuse detrimentally affects the child.***

Substance abuse is an intrusive, insidious, and intrinsically damaging force in the lives of children and their families. Substances victimize the abuser and those with whom he/she is most closely involved. Left to run its destructive course, substance abuse may be symptom, cause, or consequence of delinquency, criminality, violence, or abusiveness of others. Substance abuse has been labeled a "plague in the land" and with its present pervasive influence in American society, plague is an appropriate description.

Courts are responsible to society as a whole for the exercise of inherent and statutory authority to issue and enforce orders to protect, treat, and rehabilitate a child or to require treatment of a family member who abuses substances. Courts must, therefore, issue and enforce orders of protection and treatment for substance abusers in order to protect the abuser and other family members. Courts must be prepared to exercise contempt powers to insure that court-ordered participation in treatment programs actually occur.

*I would develop a secure facility for drug/alcohol abuse where all delinquent and status offenders would be mandated to stay until the drug dependency is eliminated or rehabilitation is acquired.*

Juvenile Court Judge. Alcohol  
and Substance Abuse Joint  
Committee Meeting, Cincinnati,  
7/11/87

*The two most important things that allow freedom in a teen's life are the car and the phone. U.S. Secretary of Education William Bennett. . . said he'll urge the nation's governors to help fight teenage drug abuse by supporting a proposal to take away the driver's licenses of teens caught selling or using drugs.*

Chicago Tribune, 3/29/87

*The primary focus of the juvenile court for the disposition of serious, chronic, or violent juvenile offenders should be accountability.*

The Juvenile Court and Serious  
Offenders: 38 Recommendations.

### **23. Secure Treatment Facilities**

***Courts must have authority to place juvenile offenders in a secure treatment facility, when necessary, to assure control and treatment if substance abuse is determined to be a significant threat to the safety of the child or others.***

Juvenile offenders who are serious substance abusers require immediate treatment services. Those under the influence at the time of apprehension may require control and detoxification to prevent serious harm to themselves or others. Authority must be provided juvenile courts to place juveniles who are in serious or crisis circumstances into secure or staff-secure facilities or programs, when in the best interests of the child. A small percentage of juveniles exhibit such difficult behavior that their conduct prevents traditional treatment services from being completed. In the absence of such authority, the juvenile justice system is often helpless to intervene at the moment when control and treatment are most critically needed.

Therefore, courts must have secure facilities available with programs for the substance abusing juvenile when the child's behavior threatens the safety of the child and when such behavior prevents other less restrictive services from being successfully implemented.

### **24. D.U.I. Jurisdiction**

***Juvenile courts should have jurisdiction over juveniles who drive while under the influence of substances.***

Juveniles charged with driving under the influence (D.U.I) should be referred for adjudication to the juvenile court. Juvenile court jurisdiction has the power to mandate not only sanctions but also relatively long-term rehabilitation services. A D.U.I. offense by a juvenile may well be an emphatic signal of a serious substance abuse problem which should be remedied by treatment services that are considerably beyond required attendance at a D.U.I. "school," a fine, and/or jail time (the customary punishment alternatives available to adult courts).

### **25. Juvenile Driver's License**

***Juvenile courts should be given authority to suspend, revoke, or delay access to a driver's license for juveniles who have been determined to abuse substances.***

The driver's license is a significant privilege sought by youth, and one of the earliest "adult" responsibilities formally conveyed by the state to a juvenile. Because of its significance to the juvenile and society, the driver's license is a highly valued privilege. The use of such a license is also a major incentive for a youth to behave as a responsible adult. Juvenile and family courts should be given authority to issue, suspend, revoke, and/or delay this important privilege based on a juvenile's behavior, including the abuse of substances.

*At all levels, our criminal justice system is being strained to the breaking point by drugs, from the cop on the beat, to crowded court dockets, to our teeming jails and prisons. With the number of drug cases increasing exponentially in recent years, and the number of drug-related cases even higher, criminal justice practitioners face a major crisis. "How do we manage a problem of this magnitude?"*

John A. Carver, Director,  
District of Columbia Pretrial  
Service Agency. "Drugs and  
Crime: Controlling Use and  
Reducing Risk Through  
Testing," Sept. 1987

*Of the 273 juveniles tested in June 1987 prior to their initial hearings in the District of Columbia Juvenile Court, 45% tested positive for at least one drug, primarily PCP. The tests did not include alcohol.*

Kathy Reade Boyer, District of  
Columbia Pretrial Services  
Agency.

*. . . (A) home for children in Minneapolis provides shelter for:*

*The 11-year-old prostitute, a runaway from an alcoholic home, who lives with a group of men and sleeps with them in exchange for food and shelter.*

*The boy who hid under his bed and listened while his father was murdered when a drug deal went bad and then blamed himself because he hadn't tried to stop the fight.*

*The sexually abused girl who by age 2 had been found repeatedly by police in several parts of the city wandering alone after being left in a car while her addict mother worked as a prostitute. . .*

*. . . a 7-year-old girl who arrived overwhelmed with the burden of caring for her little sister while their mother drank.*

Minneapolis Star Tribune,  
5/16/88

- States should consider granting courts the authority to issue the driver's license to juveniles. This authority would enable the court to instruct the juvenile on his responsibilities and instruct parents on their concurrent responsibility to assert authority over the use of the license.
- Courts should have authority to revoke the driver's license conveyed provisionally to juveniles and to use revocation as a sanction for substance abuse, even though the substance abuse is not associated with vehicle operation.
- Courts should have authority to suspend the driver's license pending successful completion of treatment and/or probation.
- Courts should have authority to delay issuance of a driver's license based on court-ordered completion of treatment, rehabilitation, or probation.

## **26. Adult Provision of Substances**

***Courts should strictly enforce laws prohibiting parents and others from providing proscribed substances to children.***

Every state has laws prohibiting the sale of licit and illicit drugs to juveniles. These laws must be enforced strictly and consistently. Those statutes should be required to allow intervention when any adult provides alcohol or other drugs to a child. Adults, including parents, who provide alcohol or other drugs to juveniles are contributing to the delinquency of children and courts should have the authority to hold them accountable.

## **27. Domestic Violence**

***When substance abuse is a significant contributing factor in domestic relations and civil or criminal family violence cases, courts must impose sanctions and require treatment.***

Alcohol and substance abuse are substantial contributing factors in a majority of family violence cases which come before criminal and family courts. The abuse of these substances is also a contributing cause in a large proportion of other cases that arise in domestic relations courts, including custody and visitation disputes. All of these have a devastating effect on children and their families.

It is imperative that all courts handling these cases be alert to the presence of substance abuse as a primary cause of such disputes. When substance abuse is identified as a major problem, courts must include provisions for appropriate intervention to stop the destructive behavior.

## SUBSTANCES OF ABUSE

<b>Narcotics</b>	opium, morphine, heroin, methadone, codeine, all other natural and synthetic "opiates"
<b>Depressants</b>	alcohol, minor tranquilizers, major tranquilizers, barbiturates, all other "downers"
<b>Stimulants</b>	cocaine, amphetamines, methamphetamines, caffeine, nicotine, all other "uppers"
<b>Hallucinogens</b>	LSD, PCP, mescaline, MDA, peyote, psilocin, psilocybin, all other "trippers"
<b>Cannabis</b>	marijuana, THC, hash oil, hashish, all other cannabis products
<b>Inhalants</b>	amylnitrate, anesthetics, butylnitrate, hydrocarbons, all other "sniffed" products
<b>Designer Drugs</b>	molecularly altered or unique synthetic chemicals that mimic the affects of any other psychoactive substance, "ecstasy" and fentanyl are current examples

---

# Assessment and Treatment

---

*Assessment of all who are referred to court jurisdiction, and treatment for all who are identified to be seriously involved with substance abuse, are essential components for courts when addressing the substance abuse issue. Each court must have access to a complete range of services for effective screening, identification, assessment, evaluation, treatment, and rehabilitation. Such services may be developed within the court operation or in cooperation with related agencies or through contracted service providers. Many jurisdictions will use a combination of these basic approaches for provision of services. However they are organized, the key is that they must be in place and consistently used.*

## **28. Availability of Treatment**

***A full range of substance abuse assessment and treatment programs should be funded and made readily available to the courts.***

Juveniles who are determined to be substance abusers are placing themselves and others at risk and are entitled to treatment services ordered by the court as a remedy for the risk to their well-being and best interests. Juveniles who are put at risk by the substance abuse of family members having responsibility for such children, are entitled to protection ordered by the court, including treatment for the family members' substance abuse.

A full range of substance abuse assessment and treatment programs should be funded and available. Entitlement to treatment is a responsibility which society must accept as part of the war on drugs.

## **29. Screening and Assessment**

***Courts must develop a process for screening, assessing, and monitoring the presence of substance abuse by a child or family.***

Early substance abuse identification requires effective screening, assessment, and evaluation in all delinquency and dependency cases. Courts must develop and implement a systematic procedure to achieve this goal.

## CATEGORIES OF SUBSTANCE USE/ABUSE

<b>Experimental Use</b>	Trial of a not-previously administered substance to experience its affects personally.
<b>Use</b>	Moderate, intermittent, self-administration of a substance to experience its affects on a repeated basis.
<b>Social Use</b>	Moderate, intermittent use of one or more substances within a social setting in which the substance(s) is accepted and used by a peer group.
<b>Misuse</b>	Use of a substance in amounts or for purposes not intended by its producer or distributor; usually associated with use of pharmaceuticals for recreational purposes.
<b>Abuse</b>	Immoderate use of one or more substances resulting in severe impairment in a single episode or multiple episodes.
<b>Pattern Abuse</b>	Episodes of substance abuse leading to severe impairment on a regularized basis, interspersed with periods of no use or moderate use, in a discernable "pattern" over time.
<b>Polydrug Abuse</b>	Immoderate, frequent use of two or more substances simultaneously or consecutively in the same episode.
<b>Dependence</b>	Physiological and/or psychological compulsive reliance on one or more substances for a sense of well-being and functioning capacity; recognized by the American Medical Association as a disease that is beyond the individual's ability to control.

Intervention is one of the most important contributions the judiciary can make on behalf of the community, juveniles and their families in the national effort to reduce substance abuse among high-risk populations. Intervention is the foundation upon which a court is able to assure that effective treatment and rehabilitation services are provided.

A gated process is the preferred system approach for screening, assessment, and evaluation.

- At intake, screening procedures should be implemented to determine probable cause that substance abuse may be a contributing factor in the case. Minimally, this procedure should require careful review of referring documents and development of social history interviewing techniques specifically targeted to discover possible substance abuse.
- When probable cause does exist, immediate follow-through should occur to determine the depth and scope of suspected substance abuse. Structured interview methods and/or self-administered instruments designed for adolescents will enhance the assessment process. Urinalysis testing should be utilized to provide objective data on recent use of selected substances as part of the assessment process.
- Follow-through assessment by trained court service personnel or outside resources is required to determine the direct relationship of substance abuse to the behavior presented to the court and its endangering effects on the juvenile or family.
- Evaluation by professionally trained and licensed court service personnel or outside resources is required to diagnose and recommend the need for treatment services when indicated by assessment. Recommendation of the type of treatment services appropriate in the case should be based on the diagnosis developed through this evaluation process.

### **30. Judicial and Staff Training**

***All judges and intake, probation, and casework staff must have substance abuse training.***

The problem of substance abuse is so pervasive among court-referred juveniles and adults, and so closely associated with dysfunctional families which are presented to courts, that all judges and professional staff must be trained in the causes, effects, and remedies of substance abuse. Judicial personnel need to understand both the demand and supply sides of substance abuse issues in the United States and how those forces affect youth, the family unit, and the community. These personnel need to understand how substance abuse contributes to delinquency and dependency. Court systems need to develop sufficient knowledge to identify and assess the presence of substances in the lives of referred juveniles and adults and to determine when treatment and rehabilitation should be recognized by the court as part of the treatment plan. Judges and court staff must know and understand the services available within their communities and in other locations so that the most effective treatment program can be ordered.

*The concern voiced by representatives from all sectors of the juvenile justice system (e.g., law enforcement, courts, probation, private treatment agencies, corrections) about the damage wrought by substance abuse and chemical dependency among delinquent populations increasingly focuses upon a small set of specific issues. The paucity of treatment options for these youth and the great delays often experienced in accepting referrals has resulted in the assignment of a high priority to solving these shortcomings of the present system. Further, judges and probation officials are noting with greater frequency that large numbers of youth entering the courts and being placed on probation are heavily involved with drug and alcohol abuse, but pass through the system without detection of this fact. This reflects a traditional stance where the standard operating procedure is only to address substance use/abuse if the referring offense is drug or alcohol-related. The major consequence of this assessment omission is that a key problem syndrome has been ignored. Whether perceived by the court as a cause or simply a correlation, this behavior must be incorporated into any effort for developing an appropriate treatment plan.*

**Troy Armstrong, "Issues and Procedures in the Early Identification and Assessment of Alcohol and Drug Involvement Among Juvenile and Court-Referred Youth,"** (unpublished monograph for the National Institute on Drug Abuse, 1987).

### **31. Interdisciplinary Approach**

***Interdisciplinary approaches must be used for treatment and rehabilitation.***

Treatment of substance abuse is a complex process which must simultaneously address behavioral, social, psychological, and physiological issues. Rehabilitation requires a long-term aftercare process to assure effectiveness of treatment and to avoid relapse. Both treatment and rehabilitation require an interdisciplinary approach based upon the individual needs of each client, drawing on medical, psychological, social, and behavioral counseling, and developmental skills disciplines. Effective treatment and rehabilitation of severe substance abuse problems often requires relatively long-term, sustained commitment by service providers, clients, families, or other support groups in the client's recovery regimen. Courts should assure that the treatment and rehabilitation services it mandates have the capacity to meet the continuing needs of referred juveniles and families.

### **32. Treatment Progress Reports**

***Treatment plans should require that providers submit progress reports to the court for monitoring and enforcement purposes.***

Court-mandated treatment plans, to be effective, must be monitored to assure that the referred juveniles and families are participating as ordered and that the plan is meeting their needs.

Treatment service providers should be required to submit progress reports to the court as part of the monitoring process. Service provider progress-reporting responsibilities should include immediate notification to the court when the juvenile or family ceases to participate in treatment as ordered, or when the effectiveness of treatment is in serious question. Both treatment providers and their court-referred clients should understand that failure to comply with the court's order is a serious violation subject to contempt action by the court.

### **33. Treatment During Rehabilitation Programs**

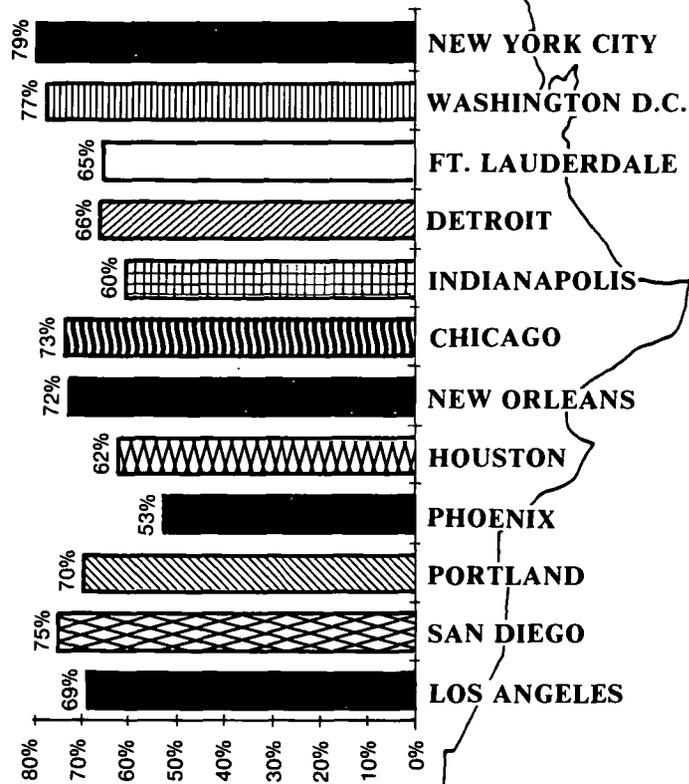
***All correctional facilities, state training schools, and community-based alternative programs should provide substance abuse treatment and rehabilitation to meet the needs of juveniles and families.***

A court's disposition may require the offender to be assigned to a correctional institution, state training school, or community-based alternative program. Such assignment should not preclude the court from a simultaneous mandate for treatment and rehabilitation to remedy the offender's substance abuse problem.

Currently, substance abuse treatment is not offered in the majority of facilities and programs to which offenders are assigned. State and local authorities responsible for operation of correctional facilities, state training schools, and alternative programs should assure that the court's mandate for treatment and rehabilitation services is carried out. To carry out the court's

# POSITIVE FOR ANY DRUG, INCLUDING MARIJUANA

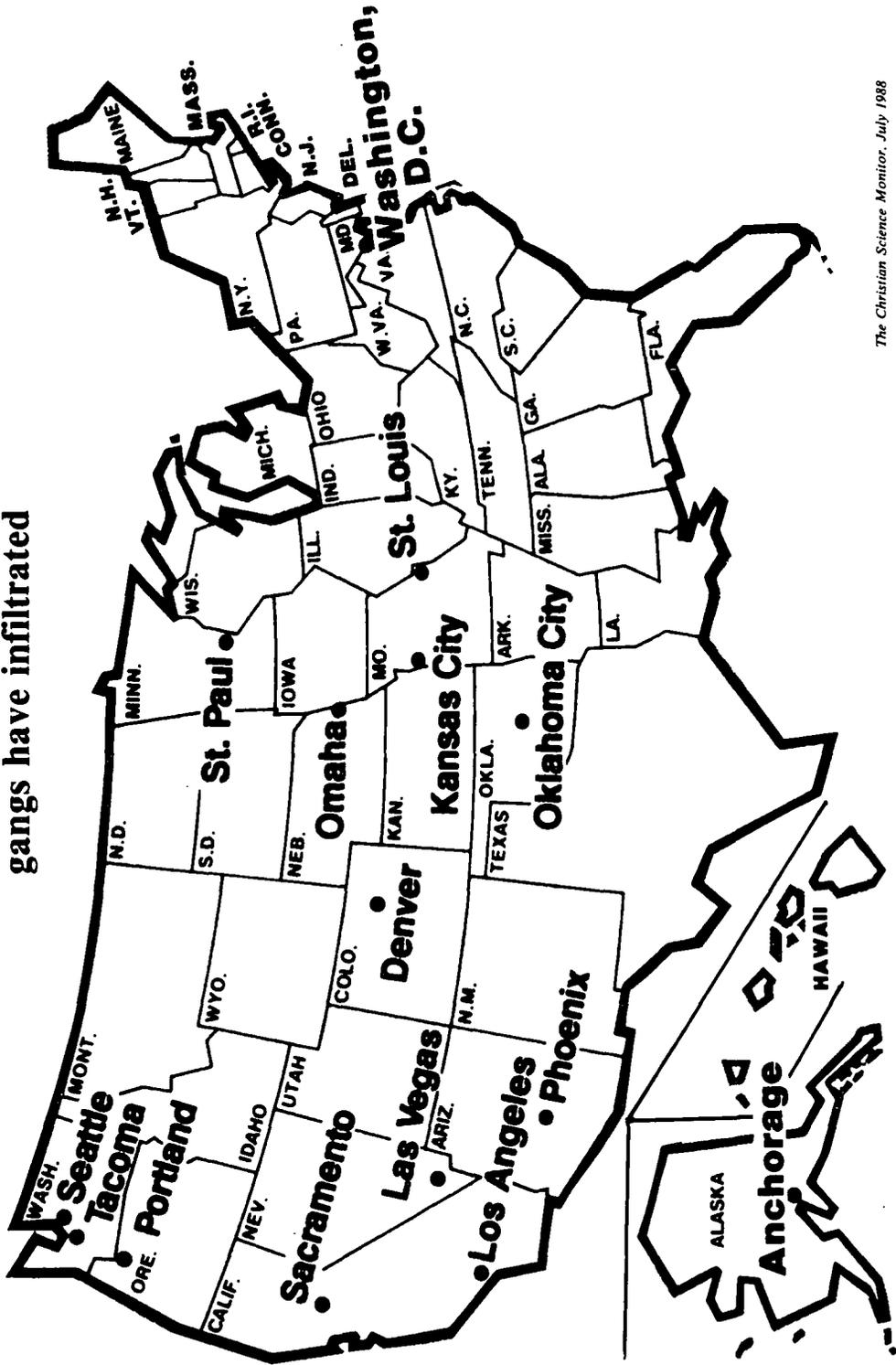
(Male arrestees, June–November, 1987)



full dispositional orders, those facilities and programs must offer appropriate substance abuse treatment services.

Substance abuse is so pervasive as a correlate or cause of offending behavior that all facilities, schools, and programs serving correctional purposes should offer treatment and rehabilitation services. Failure to do so risks recidivism when the offender is released and becomes re-involved with substance abuse.

**Major cities where Los Angeles gangs have infiltrated**



---

# Youth Gangs — A Special Problem

---

*Beginning in the mid-1980s, some youth gangs with origins in the large urban centers of Los Angeles, Miami, Chicago, Detroit, and New York, became major criminal entrepreneurs in the supply of illicit drugs. In a very short time, many of these gangs have developed intrastate and interstate networks for the purpose of expanding their highly profitable participation in the state, regional, and national illegal drug sales market. Significant levels of violence and related criminal behavior have accompanied this phenomenon.*

*Youth have always been distributors and sellers of drugs within their local peer groups, whether these groups were informal or organized as "gangs." Most youth who are involved with illicit drugs have not had direct contact with drug dealers. Their street, school, or neighborhood suppliers have been friends and acquaintances. The onset of domestically-produced drugs or drug compounds presented an opportunity for youth to be in control of the supply. Domestically grown marijuana represented such an opportunity. Clandestine laboratory-produced methamphetamine and PCP increased it. And, finally, domestically-manufactured "crack" or "rock" cocaine opened the floodgates for serious youth participation in the huge profits available through illicit drug trafficking.*

*The "Crips" and "Bloods" of Los Angeles, the "Miami Boys" of south Florida, the "Jamaican Posses" of Florida and New York, and the "Vice Lords" of Chicago are among the gangs who entered the field on a large scale. They follow on the heels of long-time marijuana and methamphetamine supply activities conducted by motorcycle gangs for a number of years. They are being mimicked by white youth dominated "Stoner," "Heavy Metal," "Neo-Nazi," and satanical cult groups. Crack and rock-cocaine dominate as a product for youth trafficking on a major scale. Other products are involved in the trade, including: methamphetamine, PCP, LSD, designer drugs such as "ecstasy," marijuana, and brown heroin. The reach of such youth-dominated trafficking enterprises astounds us. Some have been identified to be active thousands of miles from their home turf, even coast to coast.*

*Characteristically, the gangs consciously exploit the difference between juvenile and adult law in their activities. Often led by young adults, the gangs*

*. . . youth in Chicago have been abandoned by many traditional sources of support. Families are weaker, jobs for disadvantaged youth are scarce, the school system suffers a high truancy and dropout rate, and many community services have pulled away from street youth. Gangs take up the slack.*

Robert Martin, Director,  
Chicago Intervention Network.  
"Hearing Summary," U.S. House  
of Representatives, Select  
Committee on Children, Youth,  
and Families. 3/9/88

*Organized crime cannot exist without the tacit support of certain elements of the community and gangs are no exception. They thrive on the indifference of parents, friends and neighbors who tolerate lawbreaking and illicit wealth.*

*The question becomes, at what level in the community is it supported? Who is buying the drugs? White collar and upwardly mobile folk are stopping through the neighborhoods buying the drugs. At the other end is the parent who may not support drugs but who accepts the gifts, or the new car, or whatever is generated.*

Tony Massengill, Assistant  
Director, Los Angeles County,  
Community Youth Gang  
Services Project. Sacramento  
Bee, 8/16/87

*What breeds gangs is young people who are poorly educated, come from communities where oftentimes adults have not had an opportunity to get a decent job, come from communities where it is frequent to see individuals who are openly involved in illegal activities making a great deal of money. But primarily, I think, it's because these young people don't have an alternative.*

Ron Herdon, Co-Chairman of  
the Portland Black United  
Front. Portland Oregonian,  
4/17/88

*employ youth ages 17 down to eight in their street operations because, if apprehended, youth will be referred to juvenile courts. The juvenile courts and juvenile law were not established and developed to adjudicate major organized crime activities. As a consequence, youth under age 18 who are involved with major criminal offenses can avoid adult sanctions normally associated with that level of offense. The entire justice system is challenged by the phenomenon of major criminal drug trafficking by youth gangs, but no part of it is so challenged as the juvenile courts. Judicial response to meet these challenges is exceedingly difficult.*

*Waiver or certification of the cases to adult court jurisdiction is one option that has to be considered on a case-by-case assessment. That option has limits. Courts in most states will not permit those under age 15 to be certified. Beyond those statutory limits, there is a broadly-based social and statutory aversion to placing youth under age 18 in adult corrections facilities. Yet, the drug-related criminal offenses being committed by juveniles through the use of sophisticated weapons and criminal intimidation are as appalling as any involving organized adult crime.*

*The youth gang large-scale criminal drug trafficking phenomenon has exploded so recently that our judicial systems have not developed an adequate response. Recommendations offered at this time necessarily reflect responses based on existing law and existing alternatives. Federal and state legislation will be required to strengthen the statutory authority enabling the judiciary to deal successfully with the problem.*

#### **34. Youth Gang Drug Trafficking**

***Communities should use various strategies, including aggressive suppression, to address drug trafficking by youth gangs.***

Youth gangs in many areas of the nation have become powerful drug trafficking organizations, and represent one of the most ominously dangerous occurrences to surface in the drug supply chain. Communities must be alert for the existence of local gang activity which is associated with criminal drug trafficking throughout the nation. When such activity appears, all available resources must be committed to suppress gang effectiveness and divert juveniles from becoming criminally involved through gang affiliation.

#### **35. Gang Prevention By Parents**

***Parents must inform themselves about youth gang substance abuse activities, and assume responsibility for preventing their children from becoming criminally involved through gang association.***

Involvement in youth gang activities places a juvenile at risk of becoming entangled with substance abuse, delinquency, violence, and criminal drug trafficking.

Parents must inform themselves about youth gangs and the potential for their child's association with membership in a gang. Parental responsibility to monitor and supervise the activities and behavior of their children includes prevention of their participation in gangs that may be involved with serious

## YOUTH GANGS CHARACTERISTIC GROUPS

- Black Gangs** Origins in Los Angeles, Chicago, New York, Miami, and other major urban ghettos. Crips, Bloods, Players, Untouchables, and Vice Lords are some of the more prominent gangs.
- Jamaican Posses** Immigrant Jamaicans in the U.S. with roots in Jamaica. Groups have been identified in New York, Boston, Philadelphia, Washington, D.C., Houston, Atlanta, Detroit, Seattle, and Anchorage among other locations.
- Hispanic Gangs** Origins in Los Angeles, valleys of California, New York (Puerto Rico), Miami (Mariel Cubans, Dominicans), Washington, D.C., and other urban barrios. Tend to use highly stylized graffiti lettering.
- Asian Gangs** Origins among recent emigres from Viet Nam, Hong Kong, and Philippines. Activity centered in New York, New Orleans, Los Angeles and Orange County, California, Portland, Oregon, Seattle, San Francisco, and Houston.
- Pacific Islander Gangs** Primarily Samoans who have migrated to Western urban areas, i.e., Los Angeles, San Francisco, Portland.
- White "Stoner" Gangs** Caucasian groups identified with Heavy Metal and Punk Rock music preferences and with some British working class gangs. Sometimes involved with Satanic rites and symbols.
- Neo-Nazi Gangs** Tend to articulate white supremacy, racism, and Nazi symbols. Some call themselves "skinheads" and sport close-cut hair or shaved heads.
- Motorcycle Gangs** Dominantly caucasians, branches of Hells Angels and other notorious motorcycle groups. Tend to be heavily involved with the manufacture and sale of methamphetamine.

criminal actions. This risk has increased dramatically in recent years as gangs have become major drug trafficking organizations.

Parents, whose children are exposed to youth gangs, must assert themselves to prevent their children from affiliation with a gang, and to prevent placing themselves at risk as victims of criminal behavior.

### **36. Judicial and Staff Gang Training**

***All judges and intake, probation, and casework staff must be trained in the involvement of organized youth gang drug activities.***

Youth gang involvement in large-scale drug trafficking is a relatively new and alarming phenomenon, and such gang involvement has mushroomed in recent years to become a major intrastate, interstate, and national problem. Crack-cocaine, a domestically produced compound that is sweeping the nation, has been the principal commodity producing large-scale gang drug trafficking. The economics of youth participation in such activity have changed the character of many gangs. Previously concerned primarily with control of "turf" (streets, blocks, neighborhoods, communities), youth gangs are becoming increasingly involved with controlling drug markets, often far beyond their original territories. These gangs have become interstate, regional, and national organizations commanding economic resources and able to bypass, collaborate with, or challenge more traditional organized criminal networks.

Ominously, these gangs are as committed to the use of violence as the most notorious old-line criminal organizations.

It is imperative that juvenile court judges and professional court staff and service personnel be trained in the sophisticated drug marketing operations and distribution networks utilized by youth gangs and their exploitation of juveniles for those purposes. Communities should not assume immunity from such gang activities, however distant they may be from traditional urban territories.

### **37. Screening Offenders**

***Juvenile offenders should be screened and assessed for their possible involvement with gang drug trafficking activities.***

Gang movement into major drug trafficking requires that every opportunity be taken to direct juveniles away from affiliation with gangs. Successful intervention at an early age may prevent a juvenile from becoming criminally involved in a gang's trafficking activities. If assessment indicates a juvenile may be involved with a gang, the court should mandate severance of the gang affiliation as part of its sanctions and remedies.

The rapid increase of gang drug trafficking requires that juvenile courts use all available resources, authorities, and powers to suppress such trafficking.

### **38. Waiver to Adult Jurisdiction**

***Courts should consider waiver to adult jurisdiction for those youth charged with serious gang-related drug trafficking.***

Because the juvenile court lacks adequate rehabilitative services and

*The best way to combat (the gangs) is to key in on the hard core and build good cases against them and get them out of everybody's way. Then we try to get cases on the associates or get them into the system on probation or maybe some family counselling. If you get a case on a "wanna-be," and its a first offense, you try to throw a scare into them and try to steer them away from the gang.*

Detective Michael Mullen,  
Denver. The Seattle  
Times/Seattle Post-Intelligencer,  
6/8/87

*Shawn Grant, Philadelphia, PA, cited the absence of his father during his childhood and the low pay of jobs available to youth as the major reasons for joining the Cedar Avenue gang 3 years ago. According to Shawn, the \$3.35-per-hour minimum wage paid at fast food restaurants compares poorly with the \$300 to \$400 per night a gang member could make selling drugs.*

Hearing Summary, U.S. House  
of Representatives, Select  
Committee on Children, Youth,  
and Families, 3/9/88

*Last year 59 homicides in Chicago were attributed to gangs, and the number of other violent crimes ran into the thousands.*

Louis Wright, Ass't Dir.,  
Chicago Intervention Network.  
Portland Oregonian, 4/17/88

treatment programs for the criminally sophisticated juvenile who is charged with serious gang-related drug trafficking, the judge should consider waiver to adult jurisdiction when services and programs available to the juvenile court are not sufficient to protect the community or rehabilitate these serious juvenile offenders.

Characteristically, youth gangs exploit the distinctions between juvenile and adult law by managing the exposure of members to apprehension by law enforcement. Most leaders, who are themselves older teenagers and young adults, do not work the streets. That task generally passes to those aged 15 through 17 who are apt to be referred to juvenile courts following apprehension. Even younger juveniles, ages eight through 14, are recruited and used as lookouts, runners, and local sellers. When statutes permit, juvenile courts are confronted with the difficult decision of waiving to adult court jurisdiction those youth whose criminal activities are so severe, or whose involvement so ingrained, that traditional juvenile court sanctions and remedies would be ineffective. In such cases, the punitive sanctions of adult courts may be the only practical remedy appropriate for judicial response to the crime.

### **39. Federal and State Organized Crime Statutes**

***Federal and state legislation should make serious juvenile youth gang drug trafficking an interstate criminal activity.***

Youth gang drug trafficking has become a major variation of organized interstate criminal activity. Because the leadership and street-level gang members tend to be juveniles, current law does not provide authority for adequate response to the problem.

The judiciary and law enforcement should coordinate their efforts in encouraging federal and state authorities to address youth gang activities, including definition by law that they are organized crime operating on an interstate scale. This may include federal legislation specifically targeting adults who recruit juveniles in the interstate transportation and sale of drugs. The Interstate Compact Act should be clarified to express specifically the interstate sale of drugs by juveniles.

**NATIONAL COUNCIL OF JUVENILE AND FAMILY COURT JUDGES**

For additional copies of *DRUGS--THE AMERICAN FAMILY IN CRISIS: 39 Recommendations*, please send this order blank with your payment to:

**National Council of Juvenile and Family Court Judges  
Planning and Development Office  
University of Nevada-Reno  
P.O. Box 8970  
Reno, Nevada 89507  
(702) 784-6012**

Prices: Single copy \$5.00 each; 2-10 copies \$4.50 each; 11-25 copies \$4.00 each; 26-50 copies \$3.50 each; 51-100 copies \$3.00 each; over 100 copies \$2.50 each.

(Please type or print clearly)

Name \_\_\_\_\_ Position \_\_\_\_\_

Agency \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_

Daytime Phone (\_\_\_\_) \_\_\_\_\_ Quantity Ordered: \_\_\_\_\_

Please enter my membership as follows:

- Regular Council Membership** (Judges, Ref., Commissioners, Masters)  
Includes Journal, Digest, Newsletter, and Directory.....\$100.00
- Associate Council Membership** (Includes Journal, Digest and  
Newsletter.....\$ 52.00
- National Juvenile Court Services Association** (Affiliate Organization  
for Court Services Personnel. Includes Journal, Digest,  
and Newsletter.....\$ 67.00

**For additional membership information, contact:  
NCJFCJ, P.O. Box 8970, Reno, Nevada 89507 (702) 784-4859**

Please enter my subscription as follows:

- Digest and Journal**.....\$144.00
- Digest Only**.....\$120.00
- Journal Only**.....\$ 40.00

## **National Council of Juvenile and Family Court Judges: Serving Judges, Youth and the Community**

The National Council of Juvenile and Family Court Judges has been dedicated, since its founding in 1937, to improving the nation's diverse and complex juvenile justice system. The Council understands that an effective juvenile justice system must rely on highly skilled juvenile and family court judges, and has directed an extensive effort toward improving the operation and effectiveness of juvenile and family courts through highly developed, practical and applicable programs and training. Since 1969 the Council, through its Training Division, the National College of Juvenile Justice, has reached more than 90,000 juvenile justice professionals with an average of 50 training sessions a year — a record unparalleled by any judicial training organization in the United States.

The Council recognizes the serious impact that many unresolved issues are having upon the juvenile justice system and the public's perceptions of the problem as they affect, through legislation and public opinion, the juvenile court.

Serving as a catalyst for progressive change, the Council uses techniques which emphasize implementing proven new procedures and programs. Focus on meaningful and practical change and constant improvement is the key to the Council's impact on the system.

The Council maintains that juvenile justice personnel, and especially the nation's juvenile and family court judges, are best equipped to implement new concepts and other proposed improvements. The most effective method of bringing about practical and necessary changes within the juvenile justice system is through that system, and particularly through the judges themselves. Continuing, quality education is a keystone in producing this change.

The Council facilities, located at the University of Nevada, Reno, include modern classrooms and a law library. The Council uses its own housing facility to provide economical lodging and meals for both faculty and participants. These facilities offer an attractive environment for judges to explore practical solutions toward the betterment of juvenile justice. The Council, and its research division, the National Center for Juvenile Justice in Pittsburgh, maintains a staff of more than 50.

For further information on the Council's activities, projects, and publications, write:

**NCJFCJ  
P.O. Box 8970  
Reno, NV 89507**



ORGANIZED MAY 22, 1937

*Juvenile & Family Court*

# **JOURNAL**

1992/Vol. 43, No. 2

**The Juvenile Court  
and the  
Role of the  
Juvenile Court Judge**

**By Judge Leonard P. Edwards**

**National Council of Juvenile and Family Court Judges**

# Juvenile & Family Court Journal

## PUBLICATIONS POLICY GROUP

### Judge Ninian M. Edwards

President  
Clayton, Missouri

### Judge Jerry L. Mershon

Chairman  
Manhattan, Kansas

### Judge John Farr Larson

Vice-Chairman  
Salt Lake City, Utah

### Dean Louis W. McHardy

Executive Director  
Reno, Nevada

## EDITORIAL STAFF

### Marie R. Mildon

Editor

### Cheri Briggs

Production Editor

### Judge Lindsay G. Arthur

Senior Judicial Scholar  
Minneapolis, Minnesota

**Officers, 1991-1992:** Ninian M. Edwards, president; Salvadore T. Mule', immediate past president; Roy B. Willett, president-elect; James M. Farris, vice-president; Carmen A. Ferrante, vice-president; David E. Grossmann, vice-president; John S. McGroarty, treasurer; Thomas E. Hornsby, secretary.

**Board of Trustees:** John F. Butler; Ernestine S. Gray; Bill E. Haynes; Anthony J. Heckemeyer; Stephen B. Herrell; Thomas E. Heydinger; S. Farrell Jackson; J. Dean Lewis; Gordon A. Martin, Jr.; Charles M. McGee; David B. Mitchell; Gerald E. Rouse; Raymond E. Shawcross; Merton B. Tice, Jr.; Paul R. Wohlford.

**National Juvenile Court Foundation, Inc., Board of Trustees:** Ninian M. Edwards, chairman; Michael J. Anderegg; Terrence A. Carroll; Virgil Costley, Jr.; Leonard P. Edwards; Andrew B. Gallagher; William E. Gladstone; E. Preston Grissom; John S. McGroarty, treasurer; Salvadore T. Mule', immediate past president; Michael A. Town; Roy B. Willett, president-elect.

**Publications & Public Relations Committee:** J. Peter Ault; Raymond Bell; Lowell D. Castleton; Cloyd Clark; R. Kenneth Elliott; Joseph B. Felton; Andrew B. Gallagher; Calvin S. Graves; Charles G. Hodges; Douglas Loree; Thomas J. Malik; Jamshid Marvasti; A. V. McDowell; John C. Minney; Alvin L. Powers; Arnold Rosenfeld; William D. Staley; Toni G. Thorson; Jaclyn W. White.

*Juvenile & Family Court Journal* invites articles on the nation's juvenile justice system, juvenile and family courts, and treatment and control of juvenile delinquency. Letters and manuscripts may be sent to the editor.

Permission to reprint material from the *Juvenile & Family Court Journal* may be granted upon written application to the editor. Copyright 1992 by the National Council of Juvenile and Family Court Judges.

Views expressed in the *Juvenile & Family Court Journal* are not taken as the policy of the National Council of Juvenile and Family Court Judges, unless clearly indicated.

Address all communications to: Editor, *Juvenile & Family Court Journal*, University of Nevada, P.O. Box 8970, Reno, Nevada 89507 (702) 784-6012.

This publication is available on microfilm from University Microfilms International, 300 North Zeeb Road, Ann Arbor, Michigan 48106.

# *Juvenile & Family Court* **JOURNAL**

1992/Vol. 43, No. 2

## Table of Contents

The Juvenile Court and the Role of the Juvenile Court Judge .....	1
Introduction .....	1
I. Origin of the Juvenile Court .....	3
II. The Juvenile Court .....	5
A. Delinquency .....	6
B. Status Offenses .....	10
C. Dependency .....	12
III. Alternatives to the Juvenile Court .....	17
A. Delinquency .....	17
B. Status Offenses .....	20
C. Dependency .....	21
D. Summary .....	23
IV. The Role of the Juvenile Court Judge .....	25
V. Fulfilling the Expectations For the Juvenile Court Judge .....	33
A. Structure of the Court System .....	33
B. Attracting Competent Judges .....	34
C. Retaining Competent Judges .....	36
D. The Unified Family Court .....	37
E. Purpose of the Juvenile Court .....	39
F. Resources .....	40
VI. Conclusion .....	43
About the Author .....	45

---

# The Juvenile Court and the Role of the Juvenile Court Judge

by Judge Leonard P. Edwards

---

## Introduction

*One of the principal tasks of a democratic society is to nurture its children to a successful, productive adult life. In the United States we rely primarily upon the family to provide to children most of what they need.*

*It is cardinal with us that the custody, care and nurture of the child reside first in the parents, whose primary function and freedom include preparation for obligations the state can neither supply nor hinder.<sup>1</sup>*

*Other institutions participate in the socialization process, notably schools, churches, and recreational groups, but the fundamental authority for child rearing resides with a child's family.*

*When the family fails or is unable to rear its child within acceptable norms, society has an interest in intervening to achieve its own goals. Dysfunctional families which are unable to raise their children within societal norms threaten the viability of the social order.<sup>2</sup>*

*Our legislatures and courts have recognized the importance of responding to family dysfunction. Numerous laws detail society's response to a family which cannot control a child's delinquent behavior, a family which cannot adequately provide for a child, a family which cannot protect a child from*

*abuse, or a family which cannot or refuses to educate its child.*

*The ultimate authority for the resolution of these problems is the juvenile court. The person given the responsibility for carrying out the mandates of the legislature is the juvenile court judge. There are many other persons and institutions the child and family may encounter prior to reaching the court, but if all else fails, the legislatures in the United States have entrusted the authority to address the problems facing dysfunctional families and children to the juvenile court.*

*Our government's selection of the juvenile court as the institution to fulfill these functions raises a number of important questions:*

*Is the juvenile court a wise choice? Are there better alternatives than turning to the court system for the resolution of these problems? Are the tasks facing the juvenile court judge consistent with the traditional judicial role? Is the judiciary prepared to meet the challenges set by the legislature? What changes are necessary in the judiciary in order to meet these challenges?*

*This paper will address these questions. First, the paper surveys the origin and purposes of the juvenile court. Second, it describes the duties assigned to the juvenile court by the legislature and whether those functions could be better*

---

<sup>1</sup>... the state's assertion of authority [over the general welfare of children] . . . is no mere corporate concern of official authority. It is the interest of youth itself, and of the whole community, that children be both safeguarded from abuses and given opportunities for growth into free and independent . . . citizens." *Prince v. Massachusetts*, 321 U.S. 158 (1941), citing *Pierce v. Society of Sisters*, 268 U.S. 510.

<sup>2</sup>The costs of such failed socialization is not immediately apparent except in the case of those physically abused and neglected. Further, payment for the failure is deferred and at the same time remote from many people in society, especially those with power. Nonetheless, few would disagree that the price is enormous." "Conclusion" by Francis Hartmann, *From Children to Citizens II, The Role of the Juvenile Court*, ed. Francis Hartmann. N.Y.: Springer-Verlag (1987) 385. See also "The High Cost of Failure," Chapter One in "Beyond Rhetoric: A New American Agenda for Children and Families," *Final Report of the National Commission on Children*, Washington, D.C. (1991) 3-13.

performed by alternative institutions. Third, the paper discusses the role of the juvenile court judge. Fourth, the paper addresses the challenges which face the judiciary as it attempts to fulfill its role as described by the legislature. This part covers several aspects of the ways in which judges are educated, how courts are structured and how these factors may inhibit juvenile court judges from fulfilling their role. The advantages of the unified family court are included in this discussion. It also addresses whether the juvenile court loses credibility, status and effectiveness when it is given inadequate resources to accomplish the social and legal goals assigned to it by the legislature. The final section covers what the judiciary may have to do to respond to the challenges posed by the juvenile court law and the role of the juvenile court judge.

The conclusion of this paper is that the juvenile court is a critical institution which should be maintained and strengthened so that it can accomplish the important tasks assigned to it by the legislature. Numerous changes must be made, however, in order to assure its effectiveness. First, there must be a clearly stated legislative purpose for the juvenile court. Second, the court must be given sufficient status and authority to accomplish its goals. Third, the role of juvenile court judge must be recognized and supported by the judiciary and by the community. Fourth, there must be the resources necessary to assist children and families, both within the community and for those who come to the attention of the juvenile court system. Finally, it must be recognized by all that the juvenile court and the agencies serving it cannot alone solve the problems facing children and families in our society today. While the juvenile court must play a key leadership role, the entire community must join in the efforts to support children and preserve families.

---

# I. Origin of the Juvenile Court

---

The juvenile court is a unique institution, "unknown to our law in any comparable context."<sup>3</sup> Originally a reform, the juvenile court combines social and legal attributes to serve public interests relating to children and families.<sup>4</sup>

Established in the late nineteenth century, the juvenile court was for some a humanitarian institution intended to rehabilitate youthful offenders and protect children. It was in part a recognition that children are different from adults and in part a reaction to the treatment of children as adults in the criminal justice system.<sup>5</sup> For others it was an attempt to exert a new form of social control over children.<sup>6</sup>

The original purpose of the juvenile court is contained in the 1899 Illinois statute.<sup>7</sup> In this statute legislators identify children for whom parenting has failed, children who are without the family structure necessary to assist them in their formative years, and children who have violated the criminal law. Upon identification of those children who fall under the jurisdiction of the court, the statute outlines two strategies: assist the parent to raise the child in the parent's home or remove the child to a better environment. The goal remains the same in either case: ensure that the child is properly raised.

---

<sup>3</sup>*In re Gault* (1967) 387 U.S. 1, 87 S.Ct. 1428, 18 L.Ed.2d 527, at p. 4.

<sup>4</sup>The juvenile court has been described as "one of the . . . innovations in an era renowned for its solicitous attention to children." S. Schlossman, *Love and the American Delinquent* (1977) 66.

<sup>5</sup>Sutton, J., *Stubborn Children: Controlling Delinquency in the United States 1640-1981* (1988) at p. 122; Hagan and Leon, *Rediscovering Delinquency: Social History, Political Ideology and the Sociology of Law*, 42 Am. Soc. Rev. 587, 597 (1977); *In re Gault*, *op. cit.* footnote 3.

<sup>6</sup>Platt, A., *The Child Savers*, 2:75-83; Fox, "Juvenile Justice Reform: An Historical Perspective," 22 *Stanford Law Review* (1970) 1187 at 1218.

<sup>7</sup>Relevant portions of the statute are as follows:

Section 1. . . . For the purposes of this act, the words "dependent child" and "neglected child" shall mean any child who for any reason is destitute or homeless or abandoned; or dependent upon the public for support; or has not proper parental care or guardianship; or who habitually begs or receives alms; or who is found living in any house of ill fame or with any vicious or disreputable person; or whose home by reason of neglect, cruelty or depravity on the part of its parents, guardian or other person in whose care it may be, is an unfit place for such a child; and any child under the age of 8 years who is found peddling or selling any article or singing or playing any musical instrument upon the streets, or giving any public entertainment. The words "delinquent child" shall include any child under the age of 16 years who violates any law of this state, or any city or village ordinance.

Section 7. . . . when any child under the age of sixteen (16) years shall be found to be dependent or neglected within the meaning of this act, the court may make an order committing the child to the care of some suitable State institution, or to the care of some reputable citizen of good moral character, or to the care of some training school or an industrial school, as provided by law, or to the care of some association willing to receive it.

Section 9. . . . In the case of a delinquent child the court may continue the hearing from time to time, and may commit the child to the care and guardianship of a probation officer duly appointed by the court, and may allow said child to remain in its own home, subject to the visitation of the probation officer; such child to report to the probation officer as often as may be required and subject to be returned to the court for further proceedings, whenever such action may appear to be necessary; or it may authorize the said probation officer to board out the said child in some suitable family home, in case provision is made by voluntary contribution or otherwise for the payment of the board of such child, until a suitable provision may be made for the child in a home without such payment; or the court may commit the child, if a boy, to a training school for boys, or if a girl, to an industrial school for girls. Or, if the child is found guilty of any criminal offense, and the judge is of the opinion that the best interest requires it, the court may commit the child to any institution within said county incorporated under the laws of this state for the care of delinquent children, or provided by a city for the care of such offenders, or may commit the child, if a boy over the age of ten years, to the state reformatory, or if a girl over the age of ten years, to the State Home for Juvenile Female Offenders. In no case shall a child be committed beyond his or her minority.

"An act to regulate the treatment and control of dependent, neglected and delinquent children." State of Illinois General Assembly, April 21, 1899. Cited in "The Contemporary Mandate" by Thomas Bearrows, Jeffrey Bleich and Michael Oshima, in *From Children to Citizens 1, The Mandate for Juvenile Justice*, ed. Mark Harrison Moore, New York, Springer-Verlag (1987) 52-3.

The basis for the intervention described in the statute is *parens patriae*, the state as parent.<sup>8</sup> Under this doctrine, when the parent fails, the state has the legal power to substitute for that parent and act on behalf of the child.

Implicit in this statute is the notion that children are different from adults, that they have developmental needs which they cannot satisfy without assistance and that care and supervision are critical to their upbringing.<sup>9</sup> If children were no different from adults, the juvenile court would be unnecessary.

The purposes and functions of the juvenile court have evolved significantly since its creation in 1899. In order to understand the juvenile court today, the next sections will examine its various functions and how each has changed over the years.

---

<sup>8</sup>This Latin phrase was taken from Chancery practice, where it was used to describe the power of the state to act *in loco parentis* for the purpose of protecting the property interests and the person of the child. See Rendleman, "Parens Patriae: From Chancery to the Juvenile Court," 23 *Supreme Court Review* (1971) 205; E. Ryerson, *The Best Laid Plans: America's Juvenile Court Experiment* (1978) 120.

The doctrine of *parens patriae* originally referred only to abused and neglected children. In the American juvenile court the concept has been expanded to include both delinquents and status offenders. See *Task Force Report: Juvenile Delinquency and Youth Crime*, The President's Commission on Law Enforcement and Administration of Justice, Washington, D.C., U.S. Government Printing Office (1967) 2.

<sup>9</sup>Children, after all, are not simply small adults. Any social policy that ignores that fact is destined to failure. Put differently, juvenile justice must incorporate a genuine developmental perspective into all its functions. This developmental viewpoint should be based on solid research, not political demagoguery (recall the Central Park case) or plea bargaining." Barry Krisberg, "The Politics of Juvenile Justice: Then and Now," *Law and Social Inquiry* (1991) 893-905 at 904.

On the differences between children and adults, see Goldstein, Solnit and Freud, *Beyond the Best Interests of the Child*, The Free Press (1973).

## II. The Juvenile Court

The juvenile court is a part of the judicial system of all fifty states and the District of Columbia.<sup>10</sup> Each state's juvenile court is unique in the way it is structured, in the powers granted to the juvenile court judge and in the types of cases it hears.<sup>11</sup> Nevertheless, there are substantial similarities in the ways in which juvenile courts in all jurisdictions function. These form the core of the juvenile court's responsibilities.

The three types of cases which are most commonly associated with the work of the juvenile court concern (a) delinquent children, (b) children who are "status offenders" [runaways, truants and the ungovernable] and (c) abused, abandoned and neglected children. These three legal classifications are arbitrary.<sup>12</sup> No clear line separates the factual circumstances that might result in a child or family being in one type of these court proceedings or another.<sup>13</sup> In fact, there are significant correlations between the behaviors which lead children to be placed in any of the three categories. A high percentage of runaway children have been victims of physical or sexual abuse in the home.<sup>14</sup>

Delinquent youth most likely to recidivate include those whose first referral was for burglary, truancy, motor vehicle theft, or robbery.<sup>15</sup> Studies of children involved in delinquent acts consistently have found that they have suffered child abuse and neglect at greater rates than either members of the general population or low-income Americans.<sup>16</sup>

Children and their families encounter other legal problems that many juvenile courts do not address. For example, there are legal problems relating to marital dissolution, child custody, child support, emancipation, guardianships, traffic violations, paternity, termination of parental rights, adoptions, mental health and domestic violence which may or may not be part of the work of the juvenile court in any particular jurisdiction. In many states these judicial functions are fragmented in different courts.<sup>17</sup> In several jurisdictions most or all of those categories of cases are under the jurisdiction of one unified family court.<sup>18</sup> There are strong arguments in favor of a unified family court, and some of those will be reviewed in Section V.

<sup>10</sup>National Council of Juvenile Court Judges, *Directory and Manual*, Reno, Nevada (1964) 1.

<sup>11</sup>"It has been observed that 'there is nothing uniform' in the operations of children's courts." *Juvenile Delinquency*, Paul Tappan (1973), cited in *Task Force Report: Juvenile Delinquency and Youth Crime*, The President's Commission on Law Enforcement and Administration of Justice, *op. cit.*, footnote 8, at p. 4. And see "An Empirical Typology of American Metropolitan Juvenile Courts," by Vaughan Stapleton, David P. Aday, Jr., Jeanne A. Ito, *American Journal of Sociology* 88.3 at 549-564.

<sup>12</sup>Some believe the categories should be abolished. "We should abolish the terms 'delinquent,' 'dependent,' and 'status offender.'" The sources of these children's problems are numerous, and the solutions often require interdisciplinary management across agency boundaries. Why must we prolong this fiction that children in need of help may be categorized according to what they have done or what has been done to them in a single moment, as opposed to treating them according to the causes and nature of their problems." "Juvenile Justice: How To Make It Work," Gladstone, Judge William E., *Miami Herald Viewpoint*, Section C, 3 June 1990.

<sup>13</sup>For example, a child may be having an argument with her parents. Tempers flare and the father strikes the child across the face. The child runs out the door and leaves home for a week. In leaving she takes the family car. Depending on which part of the story is seen as the most important, this factual situation could result in a dependency, delinquency or status offense proceeding being instituted in the juvenile court. See "Delinquents and Status Offenders: The Similarity of Differences" by Stanton P. Fjeld, Lila Newson and Ruth M. Fjeld, *Juvenile and Family Court Journal* 32.2 (May 1981) 3-10.

<sup>14</sup>"A Children's Defense Budget: FY 1989," Children's Defense Fund, Washington, D.C. (1988), at p. 220. "Many of these children are actually products of abuse, neglect and extremely poor home environments." "Runaway/Homeless Youths: California's Efforts to Recycle Society's Throwaways," Little Hoover Commission, Sacramento (Apr. 1990) 3.

<sup>15</sup>"Court Careers of Juvenile Offenders," Howard N. Snyder, National Center for Juvenile Justice (1988) xii; "Justice and the Child in New Jersey." Report of the New Jersey Juvenile Delinquency Commission (1989) 10.

<sup>16</sup>"A Children's Defense Budget: FY 1989," Children's Defense Fund, *op. cit.* footnote 14, 222-3.

<sup>17</sup>Rubin, H. Ted, "Child and Family Legal Proceedings: Court Structure, Statutes and Rules," in *Families in Court*, ed. M. Hofford, NCJFCJ, Reno (1989) 25-61.

<sup>18</sup>*Ibid.*, pp. 43-44. Rubin lists seven jurisdictions that are considered "family court states" with statewide authorization of either a family division or a separately structured family court with broad family-related jurisdiction. They include Hawaii, the District of Columbia, Delaware, Rhode Island, South Carolina, New Jersey and Connecticut.

## A. Delinquency

Juvenile delinquency law is our society's response to crime committed by children. When a minor commits an act which would be a crime if committed by an adult, he or she may be subject to the jurisdiction of the juvenile court.

The creators of the juvenile court envisioned a new social institution and a new approach for dealing with delinquents. The role of the court was not simply to determine whether a child was guilty or innocent or to punish, but to answer the questions "(w)hat is he, how has he become what he is, and what had best be done in his interest and in the interest of the state to save him from a downward career."<sup>19</sup> Premised on the notion that children were not morally accountable for their behavior, but were victims of social, biologic and psychological forces, the juvenile court sought to intervene and rehabilitate. Even the juvenile court vocabulary was distinct. Instead of a complaint or indictment, there was a petition; a defendant was called a minor; there was a jurisdictional hearing instead of trial and a dispositional hearing rather than a sentencing.

Consistent with the notion of individualized justice, the juvenile court relied heavily upon probation and other social services to assist the child and family in carrying out the court's dispositional orders. In addition, the juvenile court utilized indeterminate sentences for children who came within the jurisdiction of the court. The indeterminacy permitted the agencies serving the

court to have enough time to accomplish the dispositional goals. State statutes reflected the emphasis on the individualized approach to the needs of each child before the court. Some statutes emphasized the court's obligation to act in each child's best interests.<sup>20</sup> Others stressed the court's obligation to act in a manner similar to that of a parent.<sup>21</sup>

The original role of the juvenile court was to treat and rehabilitate the delinquent minor utilizing an individualized approach rather than a justice model.<sup>22</sup> Since the state was not punishing the delinquent child, it was unnecessary to utilize the constitutional rights guaranteed to adult criminal defendants. Thus attorneys rarely appeared in juvenile court,<sup>23</sup> judges were not necessarily trained in the law, hearings were informal and jury trials were not a part of the fact finding process.<sup>24</sup>

The concept of individualized justice was the hallmark of the juvenile court.

Individualized justice for children is the legitimate goal of the juvenile justice system. The court must, within the bounds of state and constitutional law, tailor its response to the peculiar needs of the child and family, with goals of (1) rehabilitating the child; (2) reuniting the family; and (3) protecting the public safety.<sup>25</sup>

While there have always been critics of the juvenile court,<sup>26</sup> serious criticisms led to significant changes in the juvenile court during the 1960s. In a series of cases the United States

---

<sup>19</sup>"Why is it not just and proper to treat these juvenile offenders, as we deal with neglected children, as a wise and merciful father handles his own child whose errors are not discovered by the authorities?" Mack, Julian, "The Juvenile Court," 23 *Harvard Law Review* 104, 119-120 (1990) cited in *In re Gault*, 1967, *op. cit.* footnote 3, at p. 5.

<sup>20</sup>Georgia Code Annotated section 15-11-35(a) (1990); Indiana Code Annotated section 31-6-15.5 (Burns 1986); North Dakota Cent. Code section 27-20-31 (Supp. 1989); Vermont Statutes Annotated Title 33, section 657 (1981).

<sup>21</sup>Illinois Annotated Statutes chapter 37, paragraph 801-2 (Smith-Hurd 1990); Indiana Code Annotated section 31-6-4 to 31-6-12 (Burns 1986); Iowa Code Annotated section 232.1 (West 1985); Nevada Revised Statutes section 62.031 (1985); Rhode Island General Laws section 14-1-2 (1981).

<sup>22</sup>See generally Springer, Charles E., "Rehabilitating the Juvenile Court," *Notre Dame Journal of Law, Ethics & Public Policy*, 5.2 (1991) 397-420.

<sup>23</sup>H. Lou, *Juvenile Courts in the United States* (1927), at pp. 137-8.

<sup>24</sup>"Whether the child deserves to be saved by the state is no more a question for a jury than whether the father, if able to save it, ought to save it." *Commonwealth v. Fisher*, 213 Pa. 48, at 54, 62 A. 198 (1905) 200.

<sup>25</sup>"Bench Sense," National Council of Juvenile and Family Court Judges, Reno (1981). "Individualized treatment should be considered for every juvenile," "The Juvenile Court and Serious Offenders," *Juvenile & Family Law Journal*, (1985) 9. State juvenile codes differ in their emphases on these three goals. For an example of a state with particularly strong language relating to the first two goals, see Kentucky, Section 600.010, "children are not removed from families except when absolutely necessary." A more typical statute, Florida Section 39.001, provides that a purpose of their Juvenile Act is "[t]o preserve and strengthen the child's family ties whenever possible, removing him from the custody of his parents only when his welfare or the safety of the public cannot be adequately safeguarded without such removal. . . ." Finally, some states' statutes have rather weak language, providing only a "preference" for in-home treatment. See, for example, Kansas, Section 38.1501. And see "Youth Crime and the Choice Between Rules and Standards" by Lee E. Teitelbaum, Unpublished Paper, University of Utah, 16-21.

<sup>26</sup>Pound, R., "Forward to Young," *Social Treatment in Probation and Delinquency* (1937), p. xxvii, cited in *In re Gault*, *op. cit.* footnote 3, at p. 5.

Supreme Court formalized the adjudicatory stage of delinquency proceedings. Concluding that the child before the juvenile court receives "the worst of both worlds,"<sup>27</sup> the Supreme Court ruled that, in order for the state to take jurisdiction over a delinquent minor, the child must have notice of the charges, an attorney at state expense, the right to confront and cross-examine witnesses called by the state and the right to remain silent.<sup>28</sup> Subsequent decisions broadened the child's due process rights,<sup>29</sup> but did not make them co-equal with an adult criminal defendant's due process rights.

A child does not have the constitutional right to a jury trial,<sup>30</sup> and only a few states grant that right.<sup>31</sup> Nor does a child have a right to bail.

Since the *Gault* case the criminalization of the juvenile courts has continued.<sup>32</sup> The "purpose" clauses<sup>33</sup> of the juvenile court law of many states<sup>34</sup> have been modified to add to the concepts of rehabilitation and family preservation the policies of accountability and punishment.<sup>35</sup> Once unwanted and unnecessary in the juvenile court, the district attorney has now become an integral part of its operation.<sup>36</sup>

<sup>27</sup>"There is evidence, in fact, that there may be grounds for concern that the child receives the worst of both worlds: that he gets neither the protection accorded to adults nor the solicitous care and regenerative treatment postulated for children." *Kent v. United States* (1966), 383 U.S., 86 S.Ct. 1045, 16 L.Ed.2d 84, 541, 566.

<sup>28</sup>*In re Gault*, op. cit. footnote 3, at p. 5.

<sup>29</sup>These cases have established the child's right not to be subject to double jeopardy (*Breed v. Jones* [1975] 421 U.S. 518, 95 S.Ct. 1779, 44 L.Ed.2d 346) and to have the charges proven beyond a reasonable doubt (*In re Winship* [1970] 397 U.S. 358, 90 S.Ct. 1068, 25 L.Ed.2d 368).

<sup>30</sup>*McKeiver v. Pennsylvania* (1971) 403 U.S. 528, 91 S.Ct. 1976, 29 L.Ed.2d 647.

<sup>31</sup>Four states permit jury trials at the discretion of the juvenile court judge (Alabama, *Ex parte State ex. rel. Simpson*, 288 Ala. 535, 263 So.2d 137 (1972); California, *People v. Superior Court (In re Carl W.)* 15 C.3d 271, 124 Cal.Rptr.47 (1975) (advisory jury); Kansas, Kansas Statutes, Annotated section 38-1656 (1986); *Findlay v. State*, 235 Kansas 462, 681 P.2d 20 (1984); and South Dakota, South Dakota Codified Laws Annotated section 26-8-31 (1984)), while 13 states grant a jury trial either in statute or caselaw decision. Alaska, *R.L.R. v. State*, 487 P.2d (1971), Alaska Statutes section 47.10.070 (1990); Colorado, Colorado Revised Statutes section 19-2-501 (Supp. 1990); Massachusetts, *Commonwealth v. Thomas*, 359 Mass. 386, 269 N.E.2d 277 (1971), Massachusetts Annotated Laws Chapter 119, section 55A (Law Co-op. Supp. 1990); Michigan, Michigan Comp. Laws section 712A.1 (1987); Montana, Montana Code Annotated section 41-5-521(7) (1989); New Mexico, *Peyton v. Nord*, 78 N.M. 717, 437 P.2d 716 (1968); Oklahoma, Oklahoma Statutes Annotated, Title 10, section 1110 (West 1987); Tennessee, *State v. Johnson*, 574 S.W.2d 739 (1978), *Arwood v. State*, 62 Tenn.App.453, 463 S.W.2d 943 (1970); Texas, Texas Family Code Annotated, Title 3, section 54.03(c) (Vernon 1986); West Virginia, West Virginia Code section 49-5-6 (1986); Wisconsin, Wisconsin Statutes Annotated section 48.31(2) (West 1987); and Wyoming, Wyoming Statutes section 14-6-223(c) (1986). And see Linda A. Szymanski, "Juvenile's Right to a Jury Trial in a Delinquency Hearing," National Center for Juvenile Justice, Pittsburgh (Apr. 1991).

<sup>32</sup>See "Re-Imagining Childhood and Reconstructing the Legal Order: The Case for Abolishing the Juvenile Court" by Janet E. Ainsworth, *North Carolina Law Review*, 69 at pp. 1083-1133 and at pp. 1104-6.

<sup>33</sup>A "purpose clause" is that part of the juvenile court law in each state which declares the goals of the court as it addresses the issues brought before it. Examples are listed in footnotes 25 and 35.

<sup>34</sup>Szymanski, Linda A., *Juvenile Code Purpose Clauses*, National Center for Juvenile Justice, Pittsburgh (Sept. 1990).

<sup>35</sup>"Juvenile Delinquency Legislation: Punishment in Vogue" by Janet Fink, in *Legal Advocacy for Children and Youth*, ABA Center on Children and the Law, Washington, D.C. (1986) 263; Section 202 of the California Welfare and Institutions Code is a good example of the mixed purposes of the Juvenile Court Law that legislatures have written:

202. Purpose; protective services; reunification with family; guidance for delinquents; accountability for objectives and results; punishment defined.

(a) The purpose of this chapter is to provide for the protection and safety of the public and each minor under the jurisdiction of the juvenile court and to preserve and strengthen the minor's family ties whenever possible, removing the minor from the custody of his or her parents only when necessary for his or her welfare or for the safety and protection of the public. When removal of a minor is determined by the juvenile court to be necessary, reunification of the minor with his or her family shall be a primary objective. When the minor is removed from his or her own family, it is the purpose of this chapter to secure for the minor custody, care, and discipline as nearly as possible equivalent to that which should have been given by his or her parents. This chapter shall be liberally construed to carry out these purposes.

(b) Minors under the jurisdiction of the juvenile court who are in need of protective services shall receive care, treatment and guidance consistent with their best interest and the best interest of the public. Minors under the jurisdiction of the juvenile court as a consequence of delinquent conduct shall, in conformity with the interests of public safety and protection, receive care, treatment and guidance which is consistent with their best interest, which holds them accountable for their behavior, and which is appropriate for their circumstances. This guidance may include punishment that is consistent with the rehabilitative objectives of this chapter. If a minor has been removed from the custody of his or her parents, family preservation and family reunification are appropriate goals for the juvenile court to consider when determining the disposition of a minor under the jurisdiction of the juvenile court as a consequence of delinquent conduct when those goals are consistent with his or her best interests and the best interests of the public.

(c) It is also the purpose of this chapter to reaffirm that the duty of a parent to support and maintain a minor child continues, subject to the financial ability of the parent to pay, during any period in which the minor may be declared a ward of the court and removed from the custody of the parent.

(d) Juvenile courts and other public agencies charged with enforcing, interpreting, and administering the juvenile court law shall consider the safety and protection of the public and the best interests of the minor in all deliberations pursuant to this chapter. Participants in the juvenile justice system shall hold themselves accountable for its results. They shall act in conformity with a comprehensive set of objectives established to improve system performance in a vigorous and ongoing manner.

(e) As used in this chapter, "punishment" means the imposition of sanctions which include the following:

- (1) Payment of a fine by the minor.
- (2) Rendering of compulsory service without compensation performed for the benefit of the community by the minor.
- (3) Limitations on the minor's liberty imposed as a condition of probation or parole.
- (4) Commitment of the minor to a local detention or treatment facility, such as a juvenile hall, camp, or ranch.
- (5) Commitment of the minor to the Department of the Youth Authority.

"Punishment," for the purposes of this chapter, does not include retribution. Similar language appears in other state legislation. For example, Florida Stat. Ann. section 39.001(2)(c), Colorado Rev. Stat. Ann. section 19-1-102(1)(d), and Wash. Rev. Code section 13.40.010 *et seq.* (1977).

<sup>36</sup>"The Role of the District Attorney in Juvenile Court: Is the Juvenile Court Becoming Just Like Adult Court?" by I. J. Sagatun and L. P. Edwards, *Juvenile & Family Court Journal*, 30.2 (May 1979), at pp. 17-23.

The discretion of the juvenile court judge, once a hallmark of the juvenile court, has been reduced, particularly in cases involving serious violations of the criminal law.<sup>37</sup> The jurisdiction of the juvenile court in serious cases and for older children has also been reduced. Waiver hearings<sup>38</sup> which determine whether a child should remain in the juvenile court or be referred for prosecution in the criminal courts have changed significantly. In some states such hearings have been eliminated, in others the prosecutor has been given the discretion to determine in which court the child will appear and in others more stringent standards for juvenile court amenability have been passed.<sup>39</sup> The result has been more children being processed by the adult criminal justice system.<sup>40</sup>

Far more children commit delinquent acts than ever could or should reach the juvenile court.<sup>41</sup> The juvenile court is the most serious and formal intervention utilized in the juvenile justice system.<sup>42</sup> Not all delinquent acts are reported,<sup>43</sup> and those that are reported are often resolved short of

formal legal action.<sup>44</sup> Of those that do reach the juvenile court most are disposed of by agreement, and a minority are tried.<sup>45</sup>

The juvenile court is a part of a system which includes police, probation officers, prosecutors, court staff, schools and community organizations. The juvenile court system has a number of responses to delinquent behavior that stop short of formal court action. Police officers often warn and release children after detecting minor law violations.<sup>46</sup> They also refer children to diversionary programs.<sup>47</sup> Prosecutors can defer prosecution if a child successfully completes a program of community service or counseling.<sup>48</sup> Probation departments and schools often resolve delinquency cases if the child agrees to behavior changes. The delinquency system in theory offers a response to each reported delinquent act, a response created to hold the minor accountable, reassert societal norms, and engage the child and family in corrective measures designed to prevent a recurrence of the delinquent behavior.

<sup>37</sup>See Feld, Barry, "The Transformation of the Juvenile Court," 75 *Minnesota Law Review*, 74:691 (1991) at pp. 696-712.

<sup>38</sup>The name given to the process by which a juvenile court determines whether a child will remain within the jurisdiction of the juvenile court or will be prosecuted by the criminal courts varies from state to state. Thus, the terms fitness, transfer, decline, certification, and waiver all refer to the same procedure. See generally Edwards, L., "The Case for Abolishing the Fitness Hearing in Juvenile Court," *The Santa Clara Law Review*, 17:3 (1977) at pp. 595-630.

<sup>39</sup>*Ibid.* at pp. 701-707. See also "Juveniles in Adult Court," National Center for Juvenile Justice, Pittsburgh (1990). See also Feld, Barry, "The Juvenile Court Meets the Principle of the Offense: Legislative Changes in Juvenile Waiver Statutes," 78 *J. Crim. L. & Criminology* (Fall 1987) 471-533.

<sup>40</sup>As a result of Florida statute changes in 1981, the total number of youth in adult court (waiver, direct file, and indictments) rose from 904 in 1975-1976 to 2883 in 1981-82 (a 219% increase). The number continues to skyrocket to a record high of 5877 in 1989-90." Office of State Courts Administrator, State of Florida, Prepared by HRS/CYF JJDP Program, cited in "Children in Adult Court" by Kim R. Gorsuch, Center for the Study of Youth Policy, Fort Lauderdale (1991), at p. 1.

<sup>41</sup>The resolution of less serious delinquency should not involve the juvenile court. The President's Commission on Law Enforcement and Administration of Justice recommended that community based youth service bureaus be established to resolve such matters and to act as coordinators of community resources. The Commission recognized that successful interventions in children's lives included attention to the societal conditions in which the child and family live." President's Commission on Law Enforcement And Administration of Justice, Task Force Report: *Juvenile Delinquency and Youth Crime* (1967), *op. cit.* footnote 8, at pp. 66-67.

<sup>42</sup>"[The juvenile court] is properly an agency of last resort for children, holding to a doctrine analogous to that of appeal courts which require that all other remedies be exhausted before a case will be considered. This means that problems accepted for action by the juvenile court will be demonstrably serious by testable evidence ordinarily distinguished by a history of repeated failures at solutions by parents, schools, and community agencies." Lemert, Edwin M., "The Juvenile Court -- Quest and Realities," in President's Commission on Law Enforcement and Administration of Justice, *Task Force Report: Juvenile Delinquency and Youth Crime*, Washington, D.C. (1967), *op. cit.* footnote 8, at pp. 96-7.

<sup>43</sup>*Criminal Investigation in the United States*, 1989, Justice Department, Washington, D.C.

<sup>44</sup>*Crime in the United States*, 1989, Federal Bureau of Investigation, Washington, D.C.

<sup>45</sup>Snyder, H., M. Sickmund, E. Nimick, T. Finnegan, D. Sullivan, R. Poole and N. Tierney, *Juvenile Court Statistics 1989*, U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, Washington, D.C., U.S. Government Printing Office, 1992; H. Ted Rubin, *Juvenile Justice: Policy, Practice and Law*, 2nd ed., New York, Random House (1985); H. Ted Rubin, "The Juvenile Court Landscape," in Albert R. Roberts, *Juvenile Justice*, Dorsey, Chicago (1989), p. 129.

<sup>46</sup>Snyder, Howard N., *Arrests of Youth 1990*, U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, Washington, D.C., U.S. Government Printing Office (Jan. 1992) at p. 5.

<sup>47</sup>For a description of the range of interventions police departments have tried with juveniles, see "Police Work and Juveniles" by Roslyn Muraskin, in *Juvenile Justice*, ed. Albert R. Roberts, The Dorsey Press, Chicago (1989), at pp. 93-109

For example, the Dallas Police Department operates a Youth Services Program. It has two major goals: "To divert juveniles from the juvenile justice system and to reduce recidivism." Serving children from ages 10 to 17, the program offers counseling, treatment, parenting skills, training and behavioral contracts. Collingwood, Thomas R., et al., "Juvenile Diversion: The Dallas Police Department Youth Service Program," in *Effective Correctional Treatment*, Robert R. Ross and Paul Gendreau, eds. Toronto, Butterworths (1980), at pp. 93-100

"This program was evaluated in 1984. The results of the evaluation indicated that there was a significantly lower recidivism rate among the youths who completed the program than among the youths in the comparison group." Williams, L., "A Police Diversion Alternative for Juvenile Offenders," *Police Chief* 51:2 at 54-7.

See also Dejong, William, "Project DARE: Teaching Kids to Say 'No' to Drugs and Alcohol." *National Institute of Justice Reporter* (Mar. 1986) at pp. 1-5 (Los Angeles); "Cops and TOPS: A Program for Police and Teens that Works." *Police Chief* 49 (1982) at pp. 45-6 (Rochester, N.Y.); *Juvenile Justice*, by Robert W. Downs and Karen M. Hess, St. Paul, West Publishing (1990), at pp. 360-2, 407 (Flint, Michigan).

<sup>48</sup>"Alternatives to Imprisoning Young Offenders: Noteworthy Programs" by Margaret L. Woods, National Council on Crime and Delinquency (1982).

Should a case reach the juvenile court, the process becomes much more formal with greater attention to legal and constitutional rights. The child receives formal notice of the charges, usually in the form of a charging document called a petition. At the outset of the legal proceedings the juvenile court must advise the child of the charges, advise the child and family of the child's right to have counsel at no expense and then provide the due process guarantees available to children in these cases.<sup>49</sup>

Within the context of cases in the juvenile court process, the judge must make several types of decisions. The first is whether to remove the child from his/her parents at the time of the detention hearing. The second is to determine whether the charges in the petition are true. The third is whether to place the child on some sort of probation or community control or whether to remove the child from home and order placement.

In most states if the juvenile court judge determines that the child is under the jurisdiction of the court, the court then may make any and all reasonable orders for the care, supervision, custody, conduct, maintenance and support of the child.<sup>50</sup> Insofar as the solution to almost every case will involve working with some or all of the child's family, the juvenile court is also given power over

that family. Parents can usually be required to participate in any plan ordered by the court.<sup>51</sup>

The power of the court does not end with the dispositional order. The juvenile court in most states is given the responsibility to ensure that its orders are carried out. If the child is returned to his/her parents with conditions, the court will monitor the progress of the child and the family toward the completion of those conditions. If the child is placed out of home, the court will monitor the child's progress in placement. Juvenile courts vary in their power over children committed to the state for placement.<sup>52</sup>

As with each area of juvenile law, in delinquency there are seldom standards describing which case should reach the juvenile court and which case should be resolved at the police or probation level. Communities may have different responses to various types of delinquent behavior.<sup>53</sup> A theft in one town may be resolved by a police officer warning and may result in a formal court intervention in another. The juvenile justice system in a community may have carefully developed criteria describing which matters should be resolved short of court action, which deserve court intervention and even the type of response preferred in each situation. In other communities there may be no criteria.<sup>54</sup> Whether the different

<sup>49</sup>See text at footnotes 28 and 29.

<sup>50</sup>When a minor is adjudged a ward of the court on the ground that he or she is a person described by Section 601 or Section 602 the court may make any and all reasonable orders for the care, supervision, custody, conduct, maintenance, and support of the minor, including medical treatment, subject to further order of the court." California Welfare and Institutions Code, section 727(a), West (1991) and see 42 PA.C.S. sections 6351-6357.

<sup>51</sup>Janeksel, "Mandatory Parental Involvement in the Treatment of 'Delinquent' Youth," *Juvenile & Family Court Journal*, 30.1 (1979) 45.49; Streib, "Juvenile Courts Should Not Mandate Parental Involvement in Court-Ordered Treatment Programs," *Juvenile and Family Court Journal*, 29 (1978) 49.53. California Welfare and Institutions Code Section 727(c), West (1991). "Juvenile Court Authority Issues" by Linda A. Szymanski, National Center for Juvenile Justice, Pittsburgh (May 1988). On the limits of the court to require parents to participate in services in delinquency cases, see *In re Jason J.*, 233 Cal.App.3d 710 (1991).

<sup>52</sup>Cases which support judicial authority over placement orders include the following: *Division of Family Services v. State* (1975) 319 So.2d 72; *In the Interest of Duck* (Pa. Super. 1984) 470 A.2d 1008; *Matter of Lambert* (N.C.App. 1980) 264 N.E.2d 279; *In re Welfare of J.E.C.* (1975) Hennepin Co. (Minn.) District Court, Case No. 75604; and *Custody of Two Minors* (1985) 476 N.E.2d 235 (Mass.App.). Cases which do not support judicial authority over placement orders include the following: *People in Interest of M.B.* (S.D. 1981) 312 N.W.2d 714; *In Interest of J.N.* (1973) 179 So.2d 50 (Florida); *In re George G.* (Md.App. 1985) 494 A.2d 259; *In re Interest of C.G.* (Neb. 1985) 377 N.W.2d 529; *State ex rel. Dept. of Inst. Soc. & Rehab. Serv. v. Jennings* (Ok.Cr.A. 1977) 561 P.2d 99; *In re Doe*, 390 A.2d 390 (R.I. 1978); and *People v. Janet Getty* (1974) 123 Cal.Rptr.704. See also "Dispositional Authority and the Future of the Juvenile Justice System," by Grant R. Grisson, Ph.D., *Juvenile & Family Court Journal* 42.4 (1991) 25-34.

<sup>53</sup>"City Delinquents and Their Country Cousins: A Description of Juvenile Delinquency in Metropolitan and Non-metropolitan Areas," by Howard N. Snyder and Ellen H. Nimick, *Today's Delinquent* 2, National Center for Juvenile Justice, Pittsburgh (1983), at pp. 45-69.

<sup>54</sup>A study of the Minnesota juvenile justice system by Professor Barry C. Feld supports this assertion. Professor Feld examined the files of all 17,195 juveniles whose cases were formally petitioned in Minnesota's juvenile courts in 1986. He found that urban courts were more formal in their procedures and strict in their dispositions than suburban and rural courts. See Feld, B., "Justice By Geography: Urban, Suburban, and Rural Variations in Juvenile Justice Administration," *The Journal of Criminal Law and Criminology* 82.1 at pp. 156-210.

decision-makers in the system are able to communicate and work together will determine the ability of the system to provide consistent responses to delinquent behaviors. Without guidelines or regular communication among decision makers, decisions will reflect individual judgments instead of an ordered response.<sup>55</sup> Clearly, the larger and more populous the jurisdiction the more complex the delinquency system will be.

The process described can be analyzed as a system in which the various agencies and persons are all working on a common set of problems relating to the control of delinquent behavior. Within the system each person or agency has a role at the different stages, including detection, intake, investigation, prosecution, adjudication, supervision, placement and treatment.

Measuring the effectiveness of the juvenile delinquency court presents formidable obstacles. While data on the recidivism of those who appear in court indicates some degree of success,<sup>56</sup> the large numbers of informal adjudications are much more difficult to analyze. A true measure of the effectiveness of the juvenile court should include all the children who come in contact with the juvenile delinquency system and the success of each intervention to prevent further delinquency. A successful juvenile justice system will "develop personal responsibility in juvenile offenders by imposing consistent and appropriate sanctions for every criminal act."<sup>57</sup>

## B. Status Offenses

Status offenders are children who have committed an offense which would not be crime if committed by an adult. Status offenses include truancy, running away from home, curfew violations, being beyond the control of parents, using tobacco and alcohol, and unruly behavior. All state legislatures proscribe such behavior and authorize the juvenile court to take jurisdiction over the child if the behavior is proven.<sup>58</sup>

Status offenses describe children's behaviors society wishes to control. Being truant and misbehaving are hardly dangerous or violent actions, but they have much to do with whether a child is moving in a direction towards responsible citizenship.<sup>59</sup> Status offenses can be viewed as addressing the socialization process for our children. Failures to adhere to these duties reduces the possibility of normal socialization which ultimately may threaten the viability of the social order.<sup>60</sup>

From its inception the juvenile court law did not distinguish between delinquent and status offending children.<sup>61</sup> Children threatened by immoral associations and incorrigibles were included with criminal lawbreakers. Each was subject to juvenile court jurisdiction, detention and incarceration. Each was entitled to similar due process rights if formal proceedings were initiated. In the 1960s and 1970s many critics argued that status offending children should be removed

---

<sup>55</sup>Sometimes a procedure exists which permits a dissatisfied victim or party to apply to the court for formal legal action if the case does not reach the court. If such a procedure exists, the juvenile court may be in a position to set the standards for the level of delinquency intervention. See California Welfare and Institutions Code section 653.5, and see "Rights of Victims of Juvenile Crimes Statutes Analysis" by Linda A. Szymanski, National Center for Juvenile Justice, Pittsburgh, PA (Sept. 1990).

<sup>56</sup>"The majority of youth referred to the juvenile court were referred only once, the juvenile court careers of 59% of youth ended with the first referral. . ." *Court Careers of Juvenile Offenders*, Snyder, Howard N., National Center for Juvenile Justice, Pittsburgh (1988), *op. cit.* footnote 15, xii. "South Carolina Delinquent Males: A Follow-up into Adult Corrections," by Jan Rivers and Trudie Trotti, South Carolina Department of Youth Services, Columbia, S.C. (Aug. 1989). But see Ainsworth, *op. cit.* footnote 32 at p. 1104, who cites authorities that criminal recidivism has "stubbornly refused to wither away."

<sup>57</sup>Recommendation 1, "Recommendations on Crime and Violence," Self-Esteem Task Force, Sacramento, CA (1990). The Task Force pointed out that when a youthful offender is arrested for a relatively minor crime, "such as petty theft or vandalism, penalties are almost never imposed." The message is given to the youngster that society is not really serious about expecting people to obey the law and that very little, if anything, happens when a juvenile breaks the law. Their answer is to "attach a reasonable sanction to every criminal act, regardless of how minor." This will deliver "the message that committing a crime is a serious act for which one will be held accountable." Also see Greenwood and Zimring, *One More Chance*, Rand Corporation, Santa Monica, CA (1985).

<sup>58</sup>Szymanski, Linda A., "1990 Update and Statutes Analysis of Juvenile Court Jurisdiction Over Children's Conduct," National Center for Juvenile Justice, Pittsburgh, PA (1991).

<sup>59</sup>"The Contemporary Mandate," by Thomas Bearrows, Jeffrey Bleich and Michael Oshima, in *From Children to Citizens 1 The Mandate for Juvenile Justice*, ed. Mark Harrison Moore, *op. cit.* footnote 7, at pp. 84-85.

<sup>60</sup>*Ibid.*

<sup>61</sup>Schlossman and Wallach, "The Crime of Precocious Sexuality: Female Juvenile Delinquency in the Progressive Era," 48 *Harvard Educational Review* (1978) at p. 65; Mack, *op. cit.* footnote 19, at p. 107.

from the juvenile justice system or at least be treated significantly differently from delinquents.<sup>62</sup> They asserted that treatment alternatives and not incarceration should be the juvenile court's response to status offenses. They pointed to large numbers of children incarcerated for long periods of time for merely running away from home or being truant from school.

During this period some states unilaterally began to treat status offenders differently from delinquents,<sup>63</sup> but the most significant change occurred at the federal level with the passage of the Juvenile Justice and Delinquency Prevention Act of 1974.<sup>64</sup> This law established goals of preventing juvenile delinquency, diverting juveniles from the traditional juvenile justice system and improving the quality of juvenile justice in the United States. States were able to improve their juvenile justice systems by receiving grants from the Office of Juvenile Justice and Delinquency Prevention (OJJDP), the federal office created by the act. In order for a state to be eligible for the receipt of federal funds it was required to separate juveniles from adults during incarceration and remove status offenders from secure detention and correctional facilities.

In 1980 Congress amended the 1974 act and allowed states to detain status offenders if detention occurred for the violation of a valid court

order.<sup>65</sup> Pursuant to this amendment a state's eligibility for federal grant monies is not limited if the status offender is incarcerated for violating a valid court order. Whether a state will incarcerate a status offending child in these circumstances depends on state law and local court decisions.<sup>66</sup> A 1991 report from the General Accounting Office indicates that the 1974 law has been successful in reducing the number of status offenders detained for longer than 24 hours by almost 95% in all surveyed states since they began participating in the program.<sup>67</sup>

While all states retain some type of status offense jurisdiction, since *Gault* most states have redefined their status jurisdiction.<sup>68</sup> Many have increased diversionary options resulting in fewer formal court actions and more informal settlements. Because of the federal and state bans on incarcerating status offenders with delinquents,<sup>69</sup> many jurisdictions have been limited or unable to utilize incarceration for status offenders. Nevertheless, most states still permit detention of status offenders,<sup>70</sup> and status offenses still comprise a significant portion of many juvenile court dockets.<sup>71</sup>

Even with high numbers of status offenders each year, it is no surprise that most status offenses never reach the juvenile court.<sup>72</sup> School problems such as truancy and unruly behavior are usually

<sup>62</sup>*Beyond Control: Status Offenders in the Juvenile Court* by Teitelbaum, L. and Gough, A., eds. (1977).

<sup>63</sup>In 1961 California was the first state to separate status offenses from the delinquent category. New York followed in 1962 with Illinois in 1965 and Colorado in 1967.

<sup>64</sup>42 U.S.C.A. sections 5601-5751.

<sup>65</sup>Pub.L. No. 96-509, section 11(a)(13), 94 Stat. 2750, 2757. 42 U.S.C.A. section 5633(a)(12)(A)(Supp.1981). States have had different responses to this legislation. California has a typical response in Welfare and Institutions Code section 207:

(b) Notwithstanding the provisions of subdivision (a), no minor shall be detained in any jail, lockup, juvenile hall, or other secure facility who is taken in to custody solely upon the ground that he is a person described by Section 601 or adjudged to be such or made a ward of the juvenile court solely upon that ground, except as provided in subdivision (c). If any such minor, other than a minor described in subdivision (c), is detained, he shall be detained in a sheltered-care facility or crisis resolution as provided for in Section 654, or in a non-secure facility provided for in subdivision (a), (b), (c), or (d) of Section 727. Since such sheltered care and crisis resolution facilities are expensive to set up and operate, this has meant that many juvenile court jurisdictions simply do not have secure detention facilities for status offenders.

<sup>66</sup>See generally Hutzler, John L., and Thomas S. Vereb, *State Legislative Compliance with section 223(a)(12)(A) and section 223(a)(13) of the JJDPA Act: 1980 Statutes Analysis*, National Center for Juvenile Justice, Pittsburgh (June 1980). For a history of the politics behind this act and subsequent developments see Schwartz, Ira M., (*In Justice for Juveniles*, Lexington Books, Lexington, MA (1989)). For an example of a juvenile court being given the power to incarcerate a habitually truant minor on a contempt of court rationale, see *In re Michael G.*, 243 Cal.Rptr.224 (1988).

<sup>67</sup>"Non-Criminal Juveniles: Detentions Have Been Reduced But Better Monitoring is Needed," GAO/GGD 91-61, at p. 70. Also see Rubin, H. Ted, *Juvenile Justice: Policy, Practice and Law*, op. cit. footnote 45, at p. 384.

<sup>68</sup>Klein, "Deinstitutionalization and Diversion of Juvenile Offenders: A Litany of Impediments," *Crime and Justice: Annual Review* 145 (1979).

<sup>69</sup>*Ibid.* at 146 and see *In re Ellery C. v. Redlich*, 32 N.Y.2d 588, 591, 300 N.E.2d 424; 347 N.Y.S.2d 51 (1973) and *State ex rel. Harris v. Calendini*, 160 W.Va 172, 233 S.E.2d 318 (1977).

<sup>70</sup>Szymanski, Linda A., *Statutes Permitting Secure Detention for Status Offenders*, National Center for Juvenile Justice, Pittsburgh (Feb. 1988).

<sup>71</sup>*Juvenile Court Statistics*, National Center for Juvenile Justice, Pittsburgh (1988) 31.

<sup>72</sup>It is estimated that from 1.2 to 1.5 million children from ages 10 through 17 run away from home each year in the United States. These numbers reflect only the runaways that come to the attention of public agencies. An even higher number of children are truant from school and are beyond control at home, but no exact statistics exist as to these. See "A Children's Defense Budget: FY 1989," Children's Defense Fund, op. cit. footnote 14, at pp. 220-1.

addressed at the school. Some school systems have elaborate administrative boards which review and resolve student problems by working with the family.<sup>73</sup> Some have invited the juvenile court to assist in providing judicial authority in truancy cases.<sup>74</sup>

Many communities have private or court-based agencies which work with families in which children run away or are ungovernable.<sup>75</sup> These agencies provide non-secure shelter care, counseling and other services designed to assist children and families and enable them to be reunited.<sup>76</sup> Given the reduced involvement of the juvenile court in status offense cases, most of these services are voluntary. In addition, other community service providers including churches, recreation departments and counseling and treatment centers assist status offending children and their families.

If these efforts fail, the most serious cases may end up in the juvenile court. In that setting the child generally has the same legal and constitutional rights as a delinquent. While the court usually does not have the same power to detain or incarcerate the status offender under federal law,<sup>77</sup> it does have the limited power to detain under the valid court order exception. State law may be even more restrictive than the federal guidelines about the power of the court to detain or about the conditions of any detention.<sup>78</sup>

## C. Dependency

The juvenile court has also been given the legal authority over children who have been abused, abandoned or neglected. The purpose of the juvenile court law in dependency proceedings is to protect children and preserve families.

It is the intent of the Legislature in enacting this section to provide maximum protection for children who are currently being physically, sexually, or emotionally abused, being neglected, or being exploited, and to protect children who are at risk of that harm. This protection includes provision of a full array of social and health services to help the child and family and to prevent reabuse of children. That protection shall focus on the preservation of the family whenever possible.<sup>79</sup>

In the legislative schemes describing state intervention on behalf of abused and neglected children the statutes outline categories of children over whom the state may take control.<sup>80</sup> Once a potential case has been identified and investigated, it will come before the juvenile court if a petition is filed alleging that the child comes within the dependency description of the juvenile law and needs the protection of the court.

<sup>73</sup>See California Welfare and Institutions Code sections 601.1 *et seq.*

<sup>74</sup>The first such program was developed by Judge David E. Grossmann of Hamilton County, Ohio. See Metropolitan Court Judges Committee, "A New Approach to Runaway, Truant, Substance Abusing and Beyond Control Children," National Council of Juvenile and Family Court Judges, Reno (1990) at pp. 31-49, and also found in *Juvenile & Family Court Journal* 41.38 (1990) 27. This type of truancy program is also being utilized under the leadership of Judge James W. Payne in Marion County, Indiana, by Judge W. Donald Reader in Canton, Ohio, and by the author in Santa Clara County, California.

<sup>75</sup>For a description of diversion programs for habitual runaways, children beyond the control of their parents and truants in Sacramento and several other counties, both in and out of California, see Palmer, T., Bohnstedt, M., and Lewis, R., "The Evaluation of Juvenile Diversion Projects: Final Report." Sacramento: California Youth Authority, Division of Research (1978). For an overview of the services which should be available in the community short of court action for runaways and homeless youth, see "A Comprehensive Policy for Runaway/Homeless Youth in the State of California" by The California Child, Youth and Family Coalition, Sacramento, CA (1990).

<sup>76</sup>See "Court-Approved Alternative Dispute Resolution: A Better Way to Resolve Minor Delinquency, Status Offense and Abuse/Neglect Cases," *Juvenile & Family Court Journal*, (1989) 45-46.

<sup>77</sup>Szymanski, Linda A., *Statutes Permitting Secure Detention for Status Offenders*, *op. cit.* footnote 70.

<sup>78</sup>See, for example, California Welfare and Institutions Code sections 207 and 207.1 and footnote 67.

<sup>79</sup>California Welfare and Institutions Code Section 300, West (1991).

<sup>80</sup>Those children include the sexually, physically and emotionally abused, as well as the neglected and abandoned. A typical statute describing dependent children is contained in the Commonwealth of Pennsylvania's Juvenile Act, 42 PA.C.S., section 6302, which read in part as follows: "Dependent Child . . . A child who:

- (1) is without proper parental care or control, subsistence, education as required by law, or other care or control necessary for his physical, mental, or emotional health, or morals;
- (2) has been placed for care or adoption in violation of law;
- (3) has been abandoned by his parents, guardian, or other custodian;
- (4) is without a parent, guardian, or legal custodian. . ."

Other dependency statutes can be found at section 2151.04 *et seq.*, Page's Ohio Revised Code Annotated; section 31-6-4-3 *et seq.*, Burn's Indiana Statutes Annotated; section 610.010 *et seq.*, Kentucky Revised Statutes Annotated; section 62.040 *et seq.*, Nevada Revised Statutes; and section 78-3a-2 *et seq.*, Utah Code.

Juvenile dependency law in the states is guided by Public Law 96-272, the Adoption Assistance and Child Welfare Act of 1980. This federal legislation was written in response to concerns that the child welfare system in the United States encouraged out-of-home placement by failing to offer services to children and parents to preserve families and to provide appropriate care and treatment for children in foster care.<sup>81</sup> It is based upon three important principles: (1) the prevention of unnecessary foster care placements; (2) the reunification of children in foster care with their biological parents, when possible; and (3) the timely adoption of children unable to return home. Federal funds are available to assist the states in accomplishing these goals.

The major tenets of this legislation and the state legislation which followed after its passage are as follows:

1. The state must provide services to prevent children's removal from their homes in order to be eligible to receive any federal foster care funds.<sup>82</sup>
2. In order to qualify for those federal monies the juvenile court must make "reasonable efforts" findings that the state has in fact provided services to enable children to remain safely at home before they are placed in foster care.
3. The juvenile court must also determine whether the state has made "reasonable efforts" to reunite foster children with their biological parents.<sup>83</sup>

4. The juvenile court must determine that there is a case plan developed to ensure placement "in the least restrictive, most family-like setting available located in close proximity to the parent's home, consistent with the best interests and needs of the child."<sup>84</sup>
5. The juvenile court must ensure that the status of every foster child is regularly reviewed and that a child is given a timely permanent placement, preferably in an adoptive setting, if return to the biological parents is not possible.<sup>85</sup>

As in the other types of cases, the majority of dependency cases are resolved without juvenile court intervention.<sup>86</sup> When a potentially abused or neglected child is brought to the attention of the police or child protective services agency,<sup>87</sup> they will investigate the circumstances surrounding the report. At the conclusion of the investigation the policeman or investigator has several options. Among them are (1) take no action, (2) issue a warning to the child's parents, (3) reach an agreement with the parents that if they change their behavior in a specific way and agree to the supervision of a social worker for a time-limited period, then no formal legal action will be taken on behalf of the child, or (4) initiate legal proceedings on behalf of the child.

If a petition is filed the court has a number of legal decisions to make over the life of the case: whether the child should be temporarily removed from parental care, whether the petition is true,

---

<sup>81</sup>See Fanshel, David Shinn, ed., *Children in Foster Care: A Longitudinal Investigation*, New York, Columbia University Press (1978); Gruber, A., *Children in Foster Care: Destitute, Neglected, Betrayed*, New York, Human Sciences Press (1978); Persico, J., *Who Knows? Who Cares? Forgotten Children in Foster Care*, New York, National Commission on Children in Need of Parents (1979); and R. T. Yoshikami, et al., "Assessing the Implementation of Policy to Reduce the Use of Foster Care," 1, *The Children's Bureau, Administration for Children, Youth and Families* (June 1984).

<sup>82</sup>See generally Public Law 96-272, 42 U.S.C., sections 670 *et seq.*

<sup>83</sup>42 U.S.C. section 671 (a)(15)(A); "Periodic Judicial Review of Children in Foster Care -- Issues Related to Effective Implementation," by Howard A. Davidson, *Juvenile and Family Court Journal* (May 1981), at pp. 61-69.

<sup>84</sup>42 U.S.C. section 675(5)(A), and 45 C.F.R. section 1356.21(a)(d).

<sup>85</sup>42 U.S.C. section (a)(15)(B); "The timeliness of the permanent plan is critical if the child is to avoid 'foster care drift,' the movement from foster home to foster home during a child's minority." See *Children in Need of Parents* by H. Maas and R. Engler, New York, N.Y., Columbia University (1959).

<sup>86</sup>Juvenile and family court proceedings are not necessary, and probably not desirable in most instances of substance exposed infants. Juvenile and family courts should be involved only when alternative services have not been offered or effective in providing support to the family and protection to the child. Where substantial risk of harm remains, the juvenile and family court has jurisdiction to assess the level of risk and determine what is in the best interest of drug-exposed children and mothers." Introduction to Part II, "Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases," National Council of Juvenile and Family Court Judges, Reno, Nevada (1992).

<sup>87</sup>A child protective agency is that agency which under federal law must be notified of suspected incidents of child abuse. In most communities a child protective agency is a police or sheriff's department, a county probation department, a county welfare department or other designated agency.

whether the child should be declared a dependent child of the court, what the dispositional plan should be, what services should be provided, what visitation should be ordered and what the permanent plan for the child should be. If the child is found to be a dependent of the court, the court has the power to return the child to the parents on conditions or remove the child from the parents. In either case the court has the responsibility to establish the conditions for the care, custody, control and conduct of the child.

In addition to these decisions, the juvenile court also has the responsibility to monitor the services provided to the family by the social services agency.<sup>88</sup> The court is mandated to determine whether "reasonable efforts" have been provided by the social services agency to prevent removal of the child from the parents and to facilitate reunification after removal.<sup>89</sup> In some jurisdictions the court must carry out this responsibility at several stages of the proceedings.<sup>90</sup> Federal law does not define "reasonable efforts," although state statutes, guidelines and caselaw may give some indication of what standard the judicial officer should use.<sup>91</sup>

The legislature has left a great deal of discretion to the juvenile court judge in determining

whether a minor is a dependent child of the court. The statutory language in all states is very general.<sup>92</sup> Whether a child will be a dependent child of the court is determined by the rulings of the court and by community standards.<sup>93</sup>

The juvenile court has supervisory powers over a minor who is a dependent child of the court whether that child is returned home or placed out of home. At regularly scheduled hearings the court will review parental progress toward reunification with the child or, if the child remains at home, toward dismissal of the case. If the parents are unsuccessful in their reunification efforts, the court must establish a permanent plan for the child. The preferable permanent plan is termination of parental rights followed by adoption, with guardianship and long-term out-of-home care being the other two options.

The legal focus upon children who have been abused or neglected is a recent phenomenon. While the case of *Mary Ellen* in 1874 was the first child abuse action in the court system, it was not until 1961, when Dr. C. Henry Kempe published "The Battered Child Syndrome,"<sup>94</sup> that the nation became serious about responding to allegations of child abuse and neglect.<sup>95</sup> After medical confirmation of the notion that some parents physically

---

<sup>88</sup>As the administrator of children's services in San Mateo County, Else Ten Broeck observed: "That's the one beauty of this damned system," she says. "If he's really serious about it, a judge can say, 'This is the service I want, and county, you provide it.' This then gives the county the leverage to go to the Board of Supervisors and say, 'This is mandated; it's on the books; you have to fund it.' Either the judges are going to do that," Ten Broeck predicts, "or someone's going to bring a class action suit." "Making Foster Care Work" by Claudia Morain, *California Lawyer* (Jan. 1984), 25-7, at 27.

<sup>89</sup>"Reasonable efforts" by state welfare agencies are required in every case requiring out-of-home placement under the Adoption Assistance and Child Welfare Act of 1980 (P.L. 96-272) as a condition of federal reimbursement for the state's Foster Care and Adoption Assistance Plan. 42 U.S.C. section 671(a)(15). Additionally, the juvenile court must make an affirmative finding in each case that those services were provided. 42 U.S.C. section 672. Subsequently, many states have required "reasonable efforts" as a matter of state law, though there exists some controversy as to whether the state provisions were merely implemented to receive federal reimbursement, or to require "reasonable efforts" as an absolute prerequisite to out-of-home placement. See generally, Ratterman, Debra, *Reasonable Efforts to Prevent Foster Placement: A Guide to Implementation*, 2nd. ed., American Bar Association, Washington, D.C. (1987), and Shotton, Alice C., "Making Reasonable Efforts in Child Abuse and Neglect Cases: Ten Years Later," 26 *Cal. West. Law Rev.* 2 (1989-90) 223-256.

<sup>90</sup>See, for example, Indiana Code section 31-6-4-6(e).

<sup>91</sup>Reasonable efforts refers to prevention and reunification services provided by the agency and documented in writing by the judge in the court order. It is the judge who decides whether the agency made reasonable efforts to prevent placement." *Permanency Planning Field Guide*, State of Minnesota, Department of Human Services, n.d.: 8. And see *Reasonable Efforts*, State of Delaware Department of Human Services, n.d.: 2.

<sup>92</sup>Besharov, Douglas J., "The Need to Narrow the Grounds for State Intervention," in *Protecting Children From Abuse and Neglect*, ed. Besharov, D., Charles C. Thomas, Springfield, Ill. (1988) 72-78. "But, in reality, situations labeled as child abuse and neglect cover a very broad range of parental actions and failures, differing greatly in their nature and in the severity of harm inflicted on children through them," *Defining Child Abuse* by Jeanne M. Giovannoni and Rosina M. Becerra, The Free Press, New York (1979) 2. "In the absence of clear and specific agency standards and guidelines, each worker is left to his or her own devices." *For Reasons of Poverty* by Leroy H. Pelton, Praeger, New York (1989) 76. *Child Welfare and the Law* by Theodore J. Stein, Longman, New York (1991) 31.

<sup>93</sup>Child Abuse is What the Courts Say It Is," Dr. C. Henry Kempe, *Child in Peril*, Xerox Films, Media Concepts (1972).

<sup>94</sup>Kempe, Dr. C. Henry, "The Battered Child Syndrome," *American Medical Journal* (1961).

<sup>95</sup>For an understanding of the response to child abuse before Dr. Kempe, see Holter and Friedman, "Child Abuse: Early Case Finding in the Emergency Department," *Pediatrics* 42.1 (1968).

abuse their infants, society responded with the passage of laws designed to protect children.<sup>96</sup>

Perhaps the most significant legal development was the passage of the so-called mandatory reporting laws.<sup>97</sup> These laws, now effective in every state, require all professionals and many care providers who deal with children to report to a central authority incidents of suspected child abuse or neglect. These laws combined with heightened public awareness of the phenomenon of child maltreatment have led to a dramatic increase in reports of incidents of suspected child abuse and neglect.<sup>98</sup> From 1985 to 1990 there was a 31% increase in reports of child abuse cases in the United States, reaching a total of 2.5 million reports in 1989-1990.<sup>99</sup> Shockingly, child abuse is the biggest single cause of death of young children.<sup>100</sup> Another measure of the increase in child abuse reporting is reflected in child sexual abuse statistics. Estimates of the incidence of sexual abuse of children in the United States range from 250,000 victims to as many as 35 million victims annually.<sup>101</sup> Other studies have shown that one in every four females will experience some form of sexual abuse by the time she reaches 18.<sup>102</sup> Another phenomenon, drug use by parents and expectant mothers, has had a dramatic impact upon families in the past few years. Estimates are that from 375,000 to 739,200 babies are born substance-exposed each year as a result of maternal drug usage.<sup>103</sup>

The nationally noted upsurge in substance abuse also has served to increase burdens on our nation's juvenile and family court systems. Substance abuse is an element that is present in most dependency cases. Both courts and social services agencies now are struggling with how to evaluate risks to children of substance-abusing families, and identify the family preservation service needs of drug-exposed mothers and children.<sup>104</sup>

With this growth has come expansion of those agencies and professionals who have to respond to abuse and neglect allegations. Law enforcement, medical personnel, public health workers, child protective services offices, social service providers, lawyers and judges have all had greater demands placed upon them due to the increase in reporting. The work of the juvenile court has grown so dramatically that most courts now expend equal or greater amounts of time on dependency calendars than they do on delinquency matters.<sup>105</sup>

While most dependency cases are resolved without court action, of those that have reached the juvenile court more and more have resulted in removal of the child from parents and placement in foster care. From 1984 to 1989 the number of children in foster care has dramatically risen from 276,000 to 360,000.<sup>106</sup> The most recent estimate is that as of 1990 there were approximately 617,000 children in foster care in the United States.<sup>107</sup> In California alone, the number of foster children

<sup>96</sup>See generally, Radbill, Samuel, "Children in a World of Violence: A History of Child Abuse," in *The Battered Child* (ed. Helfer and Kempe), Chicago, University of Chicago Press (1980) 3-20.

<sup>97</sup>For an example of these laws see California Penal Code sections 11116 *et seq.*, and see Besharov, "The Legal Aspects of Reporting Known and Suspected Child Abuse and Neglect," 23 *Vill. Rev.* 458 (1977-8).

<sup>98</sup>"The American public is no longer unaware of child abuse and its consequences. Far from it. The feeling that child abuse constitutes a major and growing problem is widespread, as is the mandate to government and individual action. Americans want something done to prevent child abuse, they may be ready to identify what they can do; it is timely to provide such education. Lou Harris, summarizing the findings of a poll conducted by his organization, and cited in Besharov, Douglas J. and Charles Thomas, Ed., *Protecting Children From Abuse and Neglect*, *op. cit.* footnote 92, at p. 47.

<sup>99</sup>National Committee on the Prevention of Child Abuse, 1990 Survey, Chicago, Illinois.

<sup>100</sup>Howard, T. "The Children's Ombudsman in Sweden: Spokesperson for All Children." *Social Change in Sweden* (Feb. 1981); Ten Bensel, Robert, et al., "Child Abuse and Neglect," *Juvenile & Family Court Journal*, National Council of Juvenile and Family Court Judges, Reno, Nevada (1985).

<sup>101</sup>S. O'Brien, *Child Abuse: A Crying Shame* (1980) 15; Cerkovnik, "The Sexual Abuse of Children: Myths, Research and Policy Implication," 89 *Dickenson Law Review* 691 at 695 (1985).

<sup>102</sup>*Los Angeles Times*, 25 Aug. 1985, Section 1 at p. 1, column 3.

<sup>103</sup>"Estimating the Number of Substance-Exposed Infants" by Deanna S. Gomby and Patricia H. Shiono, *The Future of Children* 1.1 (Spring 1991) 17-25.

<sup>104</sup>W. D. Reader, Senior Judge, Stark County Family Court, Canton, Ohio, in testimony before Subcommittee on Human Resources, Committee on Ways and Means, U.S. House of Representatives, April 5, 1990.

<sup>105</sup>The author has discussed the allocation of judicial resources with juvenile court judges around the country. And see Gelber, Seymour, "The Juvenile Justice System: Vision for the Future," *Juvenile & Family Court Journal* 41.2 (1990), at pp. 15-17. "The dependency area is beginning to attract attention away from the delinquency field."

<sup>106</sup>American Public Welfare Association. The APWA also reports that the number of foster homes dropped from 137,000 to 115,000 during the same period.

<sup>107</sup>Tatara, J., "Child Substitute Flow Data for FY 1990 and Child Substitute Care Population Trends Since FY 1986 (Revised Estimates)." *VCIS Research Notes* (3 May 1991).

increased from fewer than 40,000 to over 67,000 between 1985 and 1989 with projections for over 90,000 by the year 1994.<sup>108</sup>

It appears that some of this increase derives from weakening family structure, but it is also clear that a major portion of the increase results from an inability of the child welfare system to provide services to families in crisis so that they can continue to raise their children safely. Within this context the juvenile court as gatekeeper of the foster care system must determine not only whether a child should be removed from a family or put into permanent placement, but also whether the social services department is adequately fulfilling its responsibilities. Given the enormous increase in foster care placements and the extraordinary social and economic costs, the task of the juvenile court takes on an even greater importance for children and families in the United States.

---

<sup>108</sup>"Ten Reasons to Invest in the Families of California," California Welfare Directors Association of California, Chief Probation Officers Association of California, California Mental Health Directors Association, Sacramento (Spring 1990) at pp. 8-9.

### III. Alternatives to the Juvenile Court

Is the juvenile court the best institution for the functions described? Have our legislatures chosen wisely in entrusting these types of decisions and responsibilities to the juvenile courts?

#### A. Delinquency

Many have criticized the delinquency function of the juvenile court.<sup>109</sup> The criticisms are varied and sometimes in conflict with one another.<sup>110</sup> Some claim that the juvenile delinquency system coddles youthful offenders and places them back in society without sufficient sanctioning.<sup>111</sup> Some have argued that the delinquency system has failed to live up to its promise, that the child continues to receive "the worst of both worlds,"<sup>112</sup> and that the system must be radically changed. Some critics say that it just does not work. They point to crime statistics and recidivism, and question whether the juvenile court has any positive impact upon the children who appear before it.<sup>113</sup> Others assert that

children do not receive the due process guarantees they are entitled to, even after the Supreme Court decisions granting children these protections.<sup>114</sup> They look upon the juvenile delinquency system as a social control mechanism with little protection from the state for the children who appear before it.<sup>115</sup> Still others point out that demanding for children the identical rights afforded adults is foolish. They point out that children should have special rights such as "the right to be nurtured, the right to be guided, the right to be controlled, the right to grow by gradually being given more freedom to make mistakes and to learn from those mistakes."<sup>116</sup>

As a result of these and other criticisms, some have called for the abolition of the delinquency system by sending these children into the adult criminal justice system.<sup>117</sup> Others have argued for a clear dividing line between younger and older children and offering a treatment model to the younger children and a due process model to the

<sup>109</sup>Schwartz, *op. cit.*, footnote 66. Feld, Barry C., "Transformed but Unreformed: Juvenile Court and the Criminal Court Alternative," paper presented at the American Society of Criminology, Annual Meeting, 1990, Baltimore, Maryland. Feld, Barry, *op. cit.* footnote 37.

<sup>110</sup>Conservatives and liberals may disagree on the policies that ought to be implemented to deal with youthful criminal offenders, but both ends of the political spectrum agree that the child-adult distinction is a false dichotomy that can no longer support disparate justice systems." Janet E. Ainsworth, "Re-Imagining Childhood and Reconstructing the Legal Order: The Case for Abolishing the Juvenile Court," *op. cit.* footnote 32 at pp. 1083-1133 and pp. 1103-4 (footnotes omitted).

<sup>111</sup>Regnery, Alfred, "Getting Away With Murder: Why the Juvenile Justice System Needs an Overhaul," *Policy Review* 34.65 (Fall 1985).

<sup>112</sup>This phrase was first used by Justice Fortas in the *Kent v. United States* case (1966) (*op. cit.* footnote 27), and then repeated in *In re Gault* (*op. cit.* footnote 3).

<sup>113</sup>"The depressing conclusion, by and large, was that nothing worked," Ainsworth, *op. cit.* footnote 32, at p. 1104. In footnote 132 Ainsworth cites the following studies to support her conclusion: D. Lipton, R. Martinson, and J. Wilks, "The Effectiveness of Correctional Treatment" (1975); "The Rehabilitation of Criminal Offenders: Problems and Prospects," National Research Council Committee on Law Enforcement and Criminal Justice (1979); Bailey, "Correctional Outcome: An Evaluation of One Hundred Reports," *Journal of Criminal Law, Criminology and Police Science* 57.153 (1966); Martinson, "What Works? -- Questions and Answers About Prison Reform," *Public Interest* 35 (1974) at p. 22; Robison and Smith, "The Effectiveness of Correctional Programs," *Crime and Delinquency* 17 (1967) at p. 67. Ainsworth makes no reference to studies which indicate that juvenile court interventions are effective. See footnote 56.

<sup>114</sup>They point both to the lack of counsel and to the ineffectiveness of counsel in the representation of children. Some statistics reveal that more than half the children accused of delinquency have no legal representation. Children represented by counsel may not fare as well as those who are unrepresented. Defense counsel may be the least experienced attorneys in the legal community, are likely to have had little training, and may be unclear as to their role in the juvenile court. See generally, Feld, "The Right to Counsel in Juvenile Court: An Empirical Study of When Lawyers Appear and the Difference They Make," *Journal of Criminal Law and Criminology* 79 (Winter 1989), p. 1185; Ainsworth, "Re-Imagining Childhood and Reconstructing the Legal Order: The Case for Abolishing the Juvenile Court," *op. cit.* footnote 32, at pp. 1126-1130.

<sup>115</sup>Schwartz, *op. cit.*, footnote 66, at p. 164; "The Constitutional Rights of Children Charged with Crime: Proposal for a Return to the Not So Distant Past," *UCLA Law Review* 27 (1980), 56; and Platt, Anthony, *The Child Savers: The Invention of Delinquency*, *op. cit.* footnote 6; "The Right to Counsel in Juvenile Courts: Fulfilling Gault's Promise" by Professor Barry C. Feld, Center for the Study of Youth Policy, Ann Arbor (1989); and H. Foster, *A Bill of Rights for Children* (1974).

<sup>116</sup>Judge Gladstone, *op. cit.* footnote 12.

<sup>117</sup>"Re-Imagining Childhood and Reconstructing the Legal Order: The Case for Abolishing the Juvenile Court" by Janet E. Ainsworth, *op. cit.* footnote 32, at pp. 1083-1133; Feld, *op. cit.* footnote 111. "The Abolition of the Juvenile Court: A Proposal for the Preservation of Children's Legal Rights" by Katherine Hunt Federle, *Journal of Contemporary Law*, 16.1 (1990), at pp. 23-51.

older.<sup>118</sup> Still others advocate for a full due process model and would retain the juvenile court, but would insist that the full panoply of rights for children be mandated.

Interestingly, when these critics speak of the juvenile court, they are referring only to the delinquency function of the court. They have little or nothing to say about the other functions of the court or about the relationship between the delinquency function and the other types of cases the court hears.<sup>119</sup> The importance of viewing in one court all of the legal matters which impact children and families will be discussed subsequently in this paper.<sup>120</sup>

At the root of much of the criticism is a woefully under-resourced juvenile delinquency system. The lack of resources occurs at every level, including the services available for the delinquent child and the family in the community, what legal assistance the child has during the legal process and what treatment and supervision is available after the court process. The lack of resources particularly in urban settings has frustrated many and led them to call for merging the juvenile delinquency function into the adult criminal court system.

Those who advocate for abolition of the delinquency function of the juvenile court argue that

accused children should receive the same due process afforded adult children defendants. They stress the right to a jury trial and the right to counsel at state expense.<sup>121</sup> Jury trials, however, already exist for children in several states,<sup>122</sup> but are rarely utilized.<sup>123</sup> Those who have the right to demand a jury trial apparently find little advantage for their clients. This may be because of an unwillingness to expose children to adult juries, a recognition that a fair trial can be obtained from a juvenile court judge, or for a number of other reasons.

There are several problems relating to the right to counsel for children in delinquency cases. Often children do not receive counsel, even though that right was guaranteed in *Gault*.<sup>124</sup> In addition, those attorneys who do appear in juvenile court frequently lack the interest and ability to represent their clients adequately.<sup>125</sup> To remedy these problems the right to counsel should be more carefully guarded and become more difficult to waive.<sup>126</sup> In addition the bar must develop a more qualified group of lawyers willing and able to work in juvenile court. Stressing the importance of high quality representation in juvenile court matters, a recently drafted Standard of Judicial Administration in California offers promising suggestions how such goals can be reached.<sup>127</sup>

<sup>118</sup>"Abolish the Juvenile Court System" by Marvin E. Wolfgang, *California Lawyer* (Nov. 1982), pp. 12-13; Schwartz, *op. cit.*, footnote 66, at p. 164; and Springer, *op. cit.*, footnote 22.

<sup>119</sup>Ainsworth, *op. cit.* footnote 32, at p. 1085, footnote 6.

<sup>120</sup>See Section V. D. *infra* on the Unified Family Court.

<sup>121</sup>See Ainsworth, *op. cit.* footnote 32.

<sup>122</sup>See references in footnote 31.

<sup>123</sup>Note, "The Right to a Jury Trial Under the Juvenile Justice Act of 1977," 14 *Gonzaga Law Review* 400, at page 418 (1979).

<sup>124</sup>See the authorities cited in footnote 114.

<sup>125</sup>In *re Gault* Now 20, But . . ." by Moss, 73 *A.B.A. Journal*, June 1, 1987, at p. 29 discusses a New York State Bar Association study indicating that the attorneys who appeared in juvenile court were not only of poor quality, but also lacked any interest in the work of the juvenile court.

<sup>126</sup>See the authorities cited in footnote 115.

<sup>127</sup>STANDARDS OF REPRESENTATION IN JUVENILE COURT

#### PURPOSE

The quality of justice in the juvenile court is in large part dependent upon the quality of the attorneys who appear on behalf of the different parties before the court. The Presiding Judge of the Juvenile Court plays a significant role in ensuring that sufficient attorneys of high quality are available to the parties appearing in juvenile court.

This standard has been written as part of an effort to upgrade the quality of representation of all parties in juvenile court proceedings. In order to accomplish these goals, the Presiding Judge should take the following actions:

I. Require attorneys who practice in juvenile court to continue their practice in juvenile court, including all court-appointed and contract attorneys, for substantial periods of time. A substantial period of time is at least two years and preferably from three to five years.

A. The Presiding Judge of the Juvenile Court should approach the Public Defender, County Counsel, District Attorney and other public law office leaders and encourage them to raise the status of lawyers working in the juvenile courts as follows:

1. Hire lawyers who are interested in serving in the juvenile court for a substantial part of their careers in that office;
2. Permit and encourage attorneys, based on interest and ability, to remain in juvenile court assignments for significant periods of time;
3. Work to ensure that attorneys who have chosen to work in the juvenile court have the same promotional and salary opportunities as the attorneys practicing in other assignments within the law office.

II. The Presiding Judge of the Juvenile Court should ensure that the attorneys who appear in juvenile court have sufficient training to perform their jobs competently, as follows:

A. Require that all court-appointed attorneys meet minimum training and continuing legal education standards as a condition of their appointment to juvenile court matters;

B. Encourage the leaders of public law offices which have responsibilities in juvenile court to require their attorneys who appear in juvenile court to have at least the same training and continuing legal education required of court-appointed attorneys.

III. The Presiding Judge of the Juvenile Court should promote the establishment of a library or other resource center in which information about juvenile court practice (including books, periodicals, videotapes and other training materials) can be collected and made available to all participants in the juvenile system.

IV. The Presiding Judge of the Juvenile should, in conjunction with other leaders in the legal community, ensure that attorneys appointed in the juvenile court are compensated in a manner equivalent to attorneys appointed by the court in other types of cases.

For further information on this Standard contact Diane Nunn, Esq., Judicial Council of California, 303 Second Street, South Tower, San Francisco, California 94107.

Moreover, the abolition of the juvenile court's delinquency function has other undesirable consequences. It would expose children to the inequities of the bail system. It would move them one step closer to some of the harsh aspects of the adult criminal system including life sentences in prison and the death penalty.<sup>128</sup> It would remove from the court's consideration the rehabilitative goals now embodied in the juvenile court law. It would take the family out of the court process and make such strategies as family preservation unavailable.

In a country which already has one of the world's highest incarceration rates both for adults and children,<sup>129</sup> it is important that we encourage experiments in deinstitutionalization and community corrections.<sup>130</sup> Almost without exception such experiments have been conducted in juvenile corrections. That they have been successful, have been replicated and have been strongly supported by the juvenile court are additional reasons why abolition of the delinquency function would be unwise.

In addition to failing to consider strategies to enable the juvenile court to function more effectively, the critics fail to consider the alternatives. The merger of the two courts would consign delinquent children to an even more under-resourced justice system. No one gives the criminal justice system any hope for improvement. No one believes there is any political or social will to increase the resources or improve the quality of justice available there.<sup>131</sup>

Perhaps more importantly a merger would remove children from the court which works with families. There is a relationship between delinquent,

status offending and abused and neglected children. Often it is the same child, siblings or other family members who are or have been under the jurisdiction of the court. Having the same court which specializes in all types of family problems retain jurisdiction over the delinquent child is sensible social policy.

The juvenile court is not a static institution. To the extent that changes in children, their behavior and the public's reaction to it have resulted in changes in the delinquency system, the juvenile court has demonstrated its ability to respond to the modern era.

The juvenile court is capable of responding with sufficient authority in most delinquency cases. It can utilize the waiver process for the most serious.<sup>132</sup> What must happen now is the development of a new vision of what the juvenile court can accomplish and how that vision can be realized. Before we turn over these children to a more tragically under-resourced and insensitive adult criminal justice system, we should examine whether there are realistic possibilities that resources can be obtained for the delinquency system. As it is, the juvenile justice system has more services for children than the adult criminal justice system has for adults.<sup>133</sup> Strategies exist which will both raise the status of the juvenile court<sup>134</sup> and improve the quality of legal representation in juvenile proceedings. Most importantly, the spirit and practice within the juvenile court continues to reaffirm the rehabilitative ideal.<sup>135</sup> Let us be certain that there is no hope for the juvenile delinquency system before we surrender to the very system whose deficiencies inspired the first juvenile court.<sup>136</sup>

<sup>128</sup>See *Stanford v. Kentucky* (1989) 491 U.S. 361, 109 S.Ct. 2969, 106 L.Ed.2d 306, affirming death penalty sentences for 16 and 17-year-old minors.

<sup>129</sup>Lynch, James P. *Imprisonment in Four Countries*, Bureau of Justice Statistics, Washington, D.C. (1987). See *A Children's Defense Budget: FY 1989*. Children's Defense Fund, *op. cit.* footnote 14, at pp. 219-231.

<sup>130</sup>"Reaffirming Rehabilitation in Juvenile Justice" by Dan Macallair, M.P.A., Center on Juvenile Justice, San Francisco, 1991 and "Restructuring Youth Corrections Systems: A Guide for Policymakers" by Ira M. Schwartz and Edward J. Loughran, Center for the Study of Youth Policy, University of Michigan, Ann Arbor, Michigan (1991).

<sup>131</sup>"230,000 Cases, Zero Justice" by Harry I. Subin, *New York Times* 19 Dec. 1991, p. A24.

<sup>132</sup>Some commentators argue that the juvenile court can adequately handle even the most serious delinquency cases and that the waiver hearing is unnecessary. Edwards, L., "The Case for Abolishing the Fitness Hearing in Juvenile Court," *Santa Clara Law Review*, *op. cit.* footnote 38, pp. 595-630, and "The Effects of Transfers from Juvenile Criminal Courts: A Log-Linear Analysis," Sagatun, I., McCollum, L., and Edwards, L., *Journal of Crime and Justice* 8 (1985) 65-92.

<sup>133</sup>Feld, B., "The Transformation of the Juvenile Court," *75 Minnesota Law Review*, 691 (1991), *op. cit.* footnote 37, at p. 719.

<sup>134</sup>See section V *infra*.

<sup>135</sup>"Rehabilitation should be a primary goal of the juvenile court." "The Juvenile Court and Serious Offenders: 38 Recommendations." The National Council of Juvenile and Family Court Judges, *35 Juvenile and Family Court Journal* 35.2 (Summer 1984), at p. 9; Macallair, Dan, "Reaffirming Rehabilitation in Juvenile Justice," *op. cit.*, footnote 130.

<sup>136</sup>"Retain the Juvenile Court," by H. Ted Rubin, *Crime and Delinquency*, 25.3 (July 1979) at pp. 281-298 and at pp. 296-9.

## B. Status Offenses

The debate over the proper role of the juvenile court in the control of status offenses remains heated. Some argue that status offenses should be repealed,<sup>137</sup> while others say that the juvenile court should have no power to detain or commit status offending children. They insist that the juvenile court has consistently over-incarcerated these children when other less restrictive interventions would have obtained better results. They believe the juvenile court cannot be trusted to use incarceration sparingly.<sup>138</sup> In addition, they point out that many juvenile courts detain these children in the same setting with delinquent children and adults in contravention to the law and to the spirit of the juvenile court ideal. They would not grant the juvenile court any jurisdiction over these children except to identify services for the child and family.

Others disagree, pointing out that children need to be held accountable, and if the family and school have been unable to control a particular child, the juvenile court must have, as one of its options, the ability to detain.<sup>139</sup> They argue that just because some jurisdictions have over-utilized incarceration, those which did not should not be prohibited from using this critical dispositional option.<sup>140</sup> They also point out that the incarceration of status offenders has decreased significantly since the passage of the Juvenile Justice and Delinquency Prevention Act of 1974.<sup>141</sup>

The problem of status offenders is further complicated when it is recognized that many children who run away do so because of physical and sexual abuse at home.<sup>142</sup> More than 60% of the youths in shelters and transitional living facilities nationwide were physically or sexually abused by

parents. One out of four youths experienced violence by other family members.<sup>143</sup> It may be more appropriate to serve these children through the dependency system or through services designed to teach them life skills leading towards emancipation.

Whether a truant, a runaway, or a homeless child, the state has an interest in intervening on behalf of that young person. The nature of the intervention should depend on the needs of the child, not on the event which called the child to the attention of the state. The runaway may be best served in the dependency system, through emancipation services or through community based programs directed towards family reunification.

The state should not ignore truancy or family dysfunction. It is well-recognized that stability in the home and school attendance are essential for our nation's success.<sup>144</sup> Sometimes the family and school system have insufficient authority to control a child's behavior. Parents and schools have felt particularly helpless in those jurisdictions in which the juvenile court has stopped accepting status offenses. When a child is beyond control of the family and the school, there seems to be no place to turn.

Whether one comes from a rural, suburban or urban setting provides a different perspective for the debate. The urban juvenile courts have been traditionally the most seriously under-resourced both in terms of judicial positions and services available to families. These courts are understandably less interested in taking up court time with school and family problems when they can barely complete the judicial work relating to more serious delinquent behavior.<sup>145</sup>

<sup>137</sup>Rubin, *Juvenile Justice: Policy, Practice and Law*, *op. cit.* footnote 45, at p. 394.

<sup>138</sup>See generally Schwartz, *op. cit.* footnote 66, and Teitelbaum and Gough, *op. cit.* footnote 62.

<sup>139</sup>Metropolitan Court Judges Committee Report, "A New Approach to Runaway, Truant, Substance Abusing and Beyond Control Children," *op. cit.* footnote 74, at pp. 15-16.

<sup>140</sup>See Schneider, Anne, "Status Offenders: Anecdotes, Myths, Facts and Realities." Prepared for the Annual Conference of the State Advisory Groups for Juvenile Justice.

<sup>141</sup>The Juvenile Justice and Delinquency Prevention Act: Federal Leadership in State Reform," by Gordon A. Raley and John E. Dean, *Law and Policy* 8.4 (Oct. 1986), pp. 397-417, at 413, and "Non-Criminal Juveniles: Detentions Have Been Reduced But Better Monitoring Is Needed," U.S. General Accounting Office, Washington, D.C. (April 1991) (GAO/IGD-91-65), *op. cit.* footnote 67. See also "Growth in Minority Detentions Attributed to Drug Law Violators" by Howard N. Snyder, OJJDP Update on Statistics, Juvenile Justice Bulletin, U.S. Department of Justice (March 1990), at pp. 5-6.

<sup>142</sup>"How We Are Failing Our Runaway Teens" by Cynthia L. Patrick, *San Jose Mercury News*, 5 Jan. 1992, at p. 1C and 4C.

<sup>143</sup>"National Survey of Shelters for Runaway and Homeless Youth," The National Association of Social Workers, Washington, D.C. (Oct. 1991).

<sup>144</sup>"A child deprived of an education is a serious community-wide problem. A habitually truant child is a child heading for trouble and a possible runaway, and the best diagnostic and treatment services available should be provided, for the good of the child, and the community." "Deprived Children: A Judicial Response, 73 Recommendations," *Juvenile and Family Court Journal* 37.40 (1986). The costs related to school attendance have been computed. Each year's class of dropouts will, over their lifetime, cost the nation about \$160 billion in lost earnings and foregone taxes. "Turning Points: Preparing American Youth for the 21st Century," Report of the Task Force on Education of Young Adolescents, Carnegie Council on Adolescent Development (June 1989). "Youth most likely to recidivate were those whose first referral was for burglary, truancy, motor vehicle theft, or robbery." "Court Careers of Juvenile Offenders," Howard N. Snyder, National Center for Juvenile Justice, *op. cit.* footnote 15, p. xii. [Emphasis added.]

<sup>145</sup>An indication of the low level of judicial resources in urban settings was recently reported in the case of *Ashley K.*, which described the juvenile court in Cook County. *In the Interest of Ashley K., a minor* (1-90-3635), Appellate Court of Illinois, First District (17 Apr. 1991).

Once again the critics are dissatisfied with what they see, but rather than work to modify the juvenile court system, would rather abolish it. Once again, however, they provide no vision as to the very problems which led to its creation. Status offenders within the juvenile court system are treated significantly differently from in the 1970s and before. Long-term, indiscriminate incarceration is no longer evident. Juvenile courts instead have responded to the law and have significantly reduced the numbers of detained status offenders.<sup>146</sup> Moreover, the work of the juvenile court in truancy cases has been notably successful.<sup>147</sup>

If children are going to be held accountable for their conduct, the juvenile court is society's chosen institution for providing that accountability. The juvenile court must remain available for the most serious status offense cases.<sup>148</sup> On the other hand, a system which turns to the juvenile court for the resolution of many of these cases is doomed to fail. The most effective solutions for the problems underlying status offenses involve services to the child and family within the community. In such a system there is a role for the juvenile court, but it is limited and restrained.

Court jurisdiction should be invoked only when it is apparent that community services

have failed or will be ineffective for this population.<sup>149</sup>

### C. Dependency

There are many critics of the dependency system. Some argue that it is out of control and that in the name of protecting children, our society has unleashed a new system which has resulted in the unnecessary destruction of families.<sup>150</sup> They insist that the child welfare system should provide voluntary services to families and that state coercion is not appropriate or necessary. Others point out that the dependency system and the juvenile court are "abysmal failures, partly because the juvenile court has not followed the law."<sup>151</sup>

The characterization of the juvenile courts and the child welfare system as "abysmal failures" reflects the magnitude of the failure to provide the courts and child welfare agencies adequate resources.<sup>152</sup> From two recent cases examining urban dependency systems, we have learned how desperate the situation can become.<sup>153</sup> The cases point to inadequate numbers of judicial officers and attorneys,<sup>154</sup> insufficient services, poor automation, insufficient support staff, and understaffed social service departments,<sup>155</sup> all leading to inexcusable delays for the children caught in the dependency

<sup>146</sup>*Op. cit.* footnote 67 and see Rubin, *Juvenile Justice: Policy, Practice and Law*, *op. cit.* footnote 45, p. 384. "Notable progress, however, has been made in accelerating the transfer of responsibility for status offense youth from the court to the community."

<sup>147</sup>As a result of the truancy courts in Marion County, Indiana, and Hamilton County, Ohio, for example, there has been a significant increase in the school attendance rates. Personal interviews with Margaret M. Goldsmith and Judge James Payne from Marion County and "Truancy Court Project: 1989-1990 Year End Report," Hamilton County Juvenile Court, Cincinnati, OH (1990).

<sup>148</sup>Metropolitan Court Judges Committee Report, *op. cit.* footnote 74, at Report pages 15-16. Contrary to some assertions, i.e. Feld, *op. cit.* footnote 37, at p. 696, status offenses have not been removed from the juvenile court. In truancy matters there is a new interest in the utilization of the juvenile court. See footnotes 73, 74 and 146.

<sup>149</sup>Metropolitan Court Judges Committee Report, *op. cit.* footnote 74, at Report page 19.

<sup>150</sup>Wexler, Richard, *Wounded Innocents: The Real Victims of the War Against Child Abuse*, Buffalo, Prometheus Books (1990); Goldstein, Solnit and Freud, *Before the Best Interests of the Child*, Free Press (1980), 13 and 64; and Pride, Mary, *The Child Abuse Industry*, Westchester, Illinois, Crossway Books (1986).

<sup>151</sup>"Unfortunately, the judicial system did not respond to her plight. Instead, it became a part of the quagmire, adding to Ashley's misfortune." *In re Ashley K.*, *op. cit.* footnote 145, at p. 16 and "Children Cast Adrift: The Failure of the Juvenile Justice System," Grippando, *CBA Record* (Nov. 1990) 17-25. And see footnote 140. See also "Children Lost in the Quagmire," *Newsweek* 13 May 1991: 64.

<sup>152</sup>A judge in a class action brought on behalf of dependent children in Washington, D.C. concluded in his opinion: "The court views the evidence in this case as nothing less than outrageous. The District's dereliction of its responsibilities to the children in its custody is a travesty. Although these children have committed no wrong, they in effect have been punished as though they had. Based upon the foregoing, the court holds that defendants have deprived the children in the District's foster care of their constitutionally protected liberty interests. . ." *La Shawn A. v. Dixon S.P.*, Civ. No. 89-1754 (D.C. 1991). Interestingly, this decision was written by a federal judge. Whether the District of Columbia Family Court had made "NO REASONABLE EFFORTS" findings on the children comprising the class is not mentioned. A noted child welfare leader agrees: "In addition to the federal law, many states have passed their own reasonable efforts requirements, albeit with wide variations in interpretation of the requirements. All have failed to allocate sufficient resources to meet the requirements of the law." "The Child Welfare Response" by Charlotte B. McCullough, found in *The Future of Children*, 1.1 (Spring 1991) 61-62.

<sup>153</sup>*In re Ashley K.*, *op. cit.* footnote 145, at p. 16 and *La Shawn A. v. Dixon, S.P.*, *op. cit.* footnote 152.

<sup>154</sup>The Office of Inspector General reports that legal resources available for child welfare cases are inadequate. The results include backlogs in filing petitions because there are insufficient attorneys to review cases and prepare documents, legal staff have neither the time or ability to assist child welfare staff for legal proceedings and court cases are poorly prepared and presented in court. *In re Ashley K.*, *ibid.*, at p. 15.

<sup>155</sup>The lack of services to preserve families and assist them to reunite restricts the ability of the dependency system to meet its goals. While the Child Welfare League of America's Standards for Foster Family Service specify that caseworkers should be responsible for no more than 30 children, most social service agencies report average caseloads above this recommended level. In urban areas the indications are that the caseloads are more than double the recommended level. When social service staff turnover rates average 25 to 35% per annum, the ability of the dependency system to respond to the needs of children and families is further limited; Kusserow, Richard P., Inspector General, "Barriers to Freeing Children for Adoption," Office of Inspector General, Department of Health and Human Services, Washington, D.C. (Feb. 1991) 13. "These continuing problems have been due, in part, to the widespread and well-documented facts that caseworkers in public child welfare agencies have been overburdened with excessively high caseloads, that they have received inadequate training, and that they have experienced extremely high turnover rates." *For Reasons of Poverty* by Leroy H. Pellon, *op. cit.* footnote 92, at p. 76.

system.<sup>156</sup> Federal and state researchers support the findings of these cases.<sup>157</sup>

Much of the criticism is directed to the juvenile court and its inability or unwillingness to follow the law. In *La Shawn A., et al. v. Dixon*, District Judge Thomas F. Hogan wrote that the dependency system operated as if the federal legislation did not exist. "Operating in much the same way as other jurisdictions had operated prior to the passage of the federal Adoption Assistance Act in 1980: as a holding system for children."<sup>158</sup>

Public Law 96-272, the Adoption Assistance and Child Welfare Act of 1980 and the various state and local laws which implement it have been in place for years. Yet the two cases point out how some courts can simply ignore its dictates.<sup>159</sup> In addition to insufficient resources, educating judges about their legal obligations with regard to this law remains a major task if the juvenile court is to fulfill its mandate.<sup>160</sup>

In spite of the criticisms, the juvenile court does have a necessary and important role within the dependency system. First, parents sometimes do not acknowledge their need for improved performance with respect to caring for their children and the public must intervene. The courts are a necessary part of this coercive course of action. The courts explain and provide the due process the law has determined is required in these types of proceedings.<sup>161</sup>

Second, these cases may involve at least temporary transfer of responsibility for the child to a non-parent. The creation and dissolution of legal rights and responsibilities relating to child custody is legal work.<sup>162</sup>

Third, the courts are needed to protect the child's rights even when the child is a ward of the state. The child's situation in a new setting must be monitored by a responsible authority, and the courts can provide that monitoring.

Fourth, through the adjudication process the courts articulate, establish or reinforce community norms governing the care and protection of children. By ruling in individual cases the court instructs the community, including the agencies which serve the child welfare system, on the general standards for parenting within the community.

Fifth, there has been intense public criticism of alleged social worker aggressiveness and over-reaching.<sup>163</sup> The juvenile court is society's designated check to ensure that children are not improperly removed, that parents are provided due process and that families are fairly treated. The court is more visible and accountable to the public than a social service agency performing these functions.<sup>164</sup>

Sixth, some studies indicate that court-ordered services are more likely to be utilized than voluntary

<sup>156</sup>In most of the states reporting to the Office of the Inspector General, children remain in foster care for an average of 30 to 42 months (2.5 to 3.5 years) before the determination is made that adoption is the best option for them. Thereafter, it takes from three to 12 months to complete the adoption process. The entire process at its worst can take up to 108 months (nine years). "Barriers to Freeing Children for Adoption," *ibid.*, at pp. 7-8. Scheduling delays occur throughout the dependency system and particularly in cases filed to terminate parental rights. These cases must compete on general jurisdiction calendars with other civil matters in already seriously overcrowded courts. More significantly, the large numbers of attorneys and parties in dependency and termination cases complicates the setting of court hearing dates, lengthens the time for hearings, and results in lengthy continuances to accommodate all the parties." "Barriers to Freeing Children for Adoption," *ibid.*, at p. 15. See also "The Child Welfare Response" by Charlotte McCullough, *op. cit.* footnote 152, 64-65.

<sup>157</sup>Kusserow, Richard P., "Barriers to Freeing Children for Adoption," *op. cit.* footnote 155; "Termination Barriers: Speeding Adoption in New York State Through Reducing Delays in Termination of Parental Rights Cases," Final Report, New York State Department of Social Services, by Debra Ratterman, J.D., ABA Center on Children and the Law, Washington, D.C. (1991).

<sup>158</sup>*La Shawn A., et al. v. Sharon Pratt Dixon, et al.*, *supra*, footnote 154, slip opinion at p. 18.

<sup>159</sup>The delays in permanency for children are not confined to urban jurisdictions. In Onondaga County, New York in 1989, a child spent an average of 4.6 years in foster care before being freed for adoption. Children were not identified as appropriate for termination proceedings until they had been in placement 3.5 years. Even after a project designed to speed up this process, the average time from placement to termination is 3.2 years. "Termination Barriers" Report by Debra Ratterman, *op. cit.*, footnote 157.

<sup>160</sup>Judicial training in dependency cases remains a serious national problem. Some judges throughout the country still refuse to hear or grant termination of parental rights petitions, believing that children's best interests are always served by remaining legally tied to their biological parents. *Barriers to Freeing Children for Adoption*, *op. cit.* footnote 155, p. 13. State governments should offer increased training on permanency planning, in general, and on termination of parental rights, in particular, for child welfare staff, judges, public attorneys, and staffs of contractual service providers. *Ibid.*, at p. 19.

<sup>161</sup>The reasons listed in numbers 1-4 are derived from the discussion in *Making Reasonable Efforts*, NCJFCJ, CWLA, YLC, NCYL, Edna McConnell Clark Foundation, New York, N.Y. (1987) 35.

<sup>162</sup>See *In the Interest of J.R.T.* 427 So.2d 251 (FLA 1983).

<sup>163</sup>See footnote 150.

<sup>164</sup>"Social welfare agencies addressing non-conforming children and families are likely to be more coercive regarding what is acceptable behavior and in exacting a price for unacceptable behavior -- perhaps as defined by the case worker. And this will be done privately and out of the public view. The public will not even realize that coercive powers are being exercised in its name." Hartmann, *op. cit.* footnote 2 at p. 386.

services. These studies suggest that for many families voluntary services will simply not result in changed parental behavior.<sup>165</sup>

Seventh, there has been substantial progress in the compliance with the goals of the Adoption Assistance and Child Welfare Act of 1980 (Public Law 96-272). Social service agencies have restructured their delivery of services to families, and courts have become more effective in monitoring the delivery of those services. A growing number of appellate cases has provided guidance for the legal and social services systems as to the mandates of the law.<sup>166</sup>

The dramatic rise in child abuse reports has greatly expanded the dependency system. Some critics complain that the system is too intrusive while others report that it is failing to follow the law and that as a result children are suffering. As a society we have decided that child abuse prevention is worthy of our attention and our energy. Our goal must be to minimize the unjustified intrusions into the family while at the same time maintaining our protections for children. We must identify those juvenile court systems which are failing to follow the law.<sup>167</sup> We must then fashion remedies for each failed system. Juvenile court judges must not only follow the law but inform the community about what is occurring. In most cases it is likely that the failure will be based upon inadequate resources for dependent children and their families. That is a frequent criticism in the United States,<sup>168</sup> but perhaps when each community understands the extent of our failure to these children, a new commitment can be developed.

#### D. Summary

The juvenile court has critics. They point to its failures and demand changes. Many of the

suggestions are unwise. Turning over the delinquency system to the adult criminal courts is an uninspired solution, a declaration that there is nothing else to do but give up on the juvenile court.<sup>169</sup> Removing status offenders from the juvenile court similarly gives up on them and their families. The difficult cases will never encounter sufficient authority for satisfactory resolutions. Removing the juvenile court from the dependency system surrenders the goal that parental behavior can change even when the family is unwilling to admit that change is necessary.

The juvenile courts are society's means of holding itself accountable on behalf of its children and families.<sup>170</sup> It is not a question whether we need the juvenile courts because our society needs them or a similar institution to fulfill this task. The issues, instead, are when to turn to the juvenile courts for intervention, how to define the role of the juvenile court as it intervenes, what kinds of resources are necessary for the juvenile courts to be able to complete the tasks assigned to them, and what kinds of judges are necessary for the juvenile courts to succeed. As Mark Harrison Moore has stated:

The only institution that can reasonably exercise leadership on behalf of the society and the children is the juvenile court. The reason is simply that no other institution can claim to have an equally broad view of all the interests at stake, to have as wide a range of action, or to be able to make decisions that are designed to reflect the values of society as expressed in its laws and constitution.<sup>171</sup>

This paper will now turn to the person with the greatest responsibility in the juvenile court, the juvenile court judge. If the juvenile court is to fulfill its mission, the juvenile court judge is critical to its success.

<sup>165</sup>The Importance of Adjudication in the Treatment of Child Abusers: Some Preliminary Findings," by David A. Wolfe, John Aragona, Keith Kaufman and Jack Sandler, *Child Abuse and Neglect*, 4 (1980) at pp. 127-135; "Court-Ordered v. Voluntary Treatment of Abusive and Neglectful Parents" by Ana Maria Irueste-Montes and Francisco Montes, *Child Abuse and Neglect* 12 (1988) at pp. 33-39; "Law and the Abuse of Children" by Donald Ross, *The World and I* (June 1990) 472-488, at 480. And see "The Use of Authority" by Paul V. Nyden, found in *The Battered Child: Selected Readings*, ed. Jerome Leavitt, General Learning Corporation (1974) at 128-134.

<sup>166</sup>See generally "Making Reasonable Efforts in Child Abuse and Neglect Cases" by Alice C. Shotton, *op. cit.* footnote 89, at pp. 223-256.

<sup>167</sup>*Op. cit.* footnotes 145 and 152.

<sup>168</sup>"Shame on U.S." by Marian Wright Edelman, *San Jose Mercury News*, 19 May 1991 [copyright, The Foundation for National Progress (1991)].

<sup>169</sup>Why Not the Best of Both Worlds? or Another Comment on "The Permissible and the Desirable" by Judge Sharon P. McCully for Utah Juvenile Court Judges Workshop, March 28, 1991.

<sup>170</sup>This statement is attributable to Judge David E. Grossmann, Presiding Judge of the Hamilton County Juvenile Court in Ohio.

<sup>171</sup>Moore, Mark Harrison, *From Children to Citizens I, The Mandate for Juvenile Justice*, *op. cit.* footnote 7 at p. 176.



---

## IV. The Role of the Juvenile Court Judge

---

The most important person in the juvenile court is the juvenile court judge.<sup>172</sup> The descriptions of the different systems reveal the unique role of the juvenile court judge, a role that includes many non-traditional functions. The role of the juvenile court judge combines judicial, administrative, collaborative and advocacy components.

The most traditional role of the juvenile court judge is to decide the legal issues in each of the described categories of cases. The judge must determine issues such as whether certain facts are true, whether a child should be removed from a parent, what types of services should be offered to the family and whether the child should be returned to the family and the community or placed permanently in another setting.

Clearly these are critical decisions, not only for the family before the court, but also for society. Given the importance of the family in the United States, such determinations have profound implications for the manner in which families will survive. Juvenile court judges are the gatekeepers for systems which incarcerate society's youth and place society's children in foster care. Their decisions provide a measure of our society's confidence in the viability of the family.

Moreover, the attitude of the juvenile court judge will significantly influence the manner in which others view children before the court. An exchange in the Manhattan Family Court reflects one way in which the court can have an impact upon the care of children. The father's attorney commented on the conditions in the home for

seventeen adopted children (urine smell, limited food, poor lighting, no bed sheets).

It may not be the best of care out in Nassau County, but the children are surviving. They're doing okay.

The judge responded: I don't want the children to survive. I want them to thrive.<sup>173</sup>

Juvenile court judges' decisions also set standards within the community and in the systems connected to the court. The juvenile court judge who removes a child for selling drugs, who refuses to hear a truancy petition because it is not important enough or who returns a child to her family in spite of drug abuse by one of the family members is setting standards which may have a significant impact on how police, probation, social services and other service providers respond to similar cases in the future. Unless an appellate court overturns these decisions, the standards set in the juvenile court will remain as the community's standards for these types of cases.

As an integral part of the decision-making process, the judge must make certain that the parties appearing before the court receive the legal and constitutional rights to which they are entitled. These rights include notice of the legal proceedings, the right to have counsel, and counsel at state expense in many situations,<sup>174</sup> the right to a hearing, to confront and cross examine witnesses, the right to remain silent and the right to a timely hearing on the truth of the allegations. In many cases the court must make certain that families have been provided with services before formal

---

<sup>172</sup>"But within the juvenile court itself the judge, regardless of ability, holds the highest status. The judge is the ultimate decision-maker. The coterie of probation, social service, legal and clerical attendants rivet their eyes and ears on his nonverbal language and his utterances." Rubin, H. Ted, *Juvenile Justice: Policy, Practice and Law*, *op. cit.* footnote 45, at p. 351. "From this it should be clear that the judges, and particularly the chief judge, occupy the crucial formal decision-making positions with regard both to individual cases and their disposition, and to procedural, administrative, and program policy." *Judging Delinquents* by Robert Emerson, Aldine Publishing Company, Chicago (1969) 13.

<sup>173</sup>Dugger, C.W., "Care Ordered for Children in Abuse Cases," *The New York Times*, 29 May 1991, section B, p. 1.

<sup>174</sup>Children in delinquency cases are entitled to counsel at state expense. *In re Gault*, *op. cit.* footnote 3. Parents in those proceedings are entitled to have counsel, but normally not at state expense. In addition there is usually a prosecutor who brings the petition before the juvenile court. Most states have the same rules for status offense cases. In dependency matters, the parents usually have the right to counsel at state expense. The child will have a guardian ad litem, who may be an attorney, a volunteer, or both. In addition there will usually be an attorney who brings the legal action on behalf of the state.

legal action was initiated. With regard to many of these rights, it is the duty of the judge to determine in court whether the party understands the right and wishes to exercise or waive it.

The role of the juvenile court judge includes ensuring that the systems which detect, investigate, resolve and bring cases to court are working efficiently and fairly and that adequate resources exist to respond to the caseloads. For example, the juvenile court judge must ensure that there are enough judicial officers to complete the work of the court.<sup>175</sup> Juvenile courts in many jurisdictions are understaffed and overworked.<sup>176</sup> Within the judiciary it is often difficult to persuade those judicial officers with administrative responsibility that the juvenile court must have sufficient judicial resources to manage the caseloads.<sup>177</sup> Sometimes this lack of judicial resources exists throughout the judiciary,<sup>178</sup> but more frequently the juvenile court receives fewer positions because it is perceived as less important.<sup>179</sup> The problem has been exacerbated with the marked increase in dependency cases over the past five years.<sup>180</sup> In the wake of the higher child abuse and neglect reports, dependency caseloads have risen several-fold. Many juvenile court judges have been struggling with local governments to secure adequate judicial resources to manage the new demands upon the juvenile courts.

Judicial officers cannot function without adequate staff and space. Juvenile courts often find themselves with inadequate staff to meet the legal mandates set by the legislature.<sup>181</sup> The juvenile court judge must work with other branches of government to make certain each is available for the court.

Judges do not work in a vacuum. They learn of the situation facing children and their families from the legal proceedings, the reports from social service agencies, probation departments and from the parties and their attorneys. The quality of a judge's decision about children and their families is directly related to the quality of information the judge receives. Our legal system is built upon a process in which attorneys for the parties are given the duty to present evidence to the court and to test any evidence presented from other sources. From the different perspectives of the parties, the court is able to determine what happened and what should be done.

An important role for the juvenile court judge is to make certain that there are adequate numbers of attorneys of satisfactory quality to complete the work of the court.<sup>182</sup> The juvenile court judge must work with the funding authorities to supply these attorneys and to ensure they are trained. Dependency cases are particularly expensive for the government, as attorneys and guardians ad litem<sup>183</sup> may represent the state or petitioning party, the child and each parent if there is a conflict of interest. Compared to civil cases, in which the government supplies no attorneys, the juvenile court is an expensive operation.

The role of the juvenile court judge as the provider of due process and the role as fiscal manager may be in conflict in one or more of these areas. Providing free attorneys for accused delinquents has never been politically popular, and funders demand to know why every accused delinquent child needs to have an attorney. It is no wonder that some juvenile court judges do not appoint counsel for children in every case<sup>184</sup> or are

<sup>175</sup>Judicial Authority and Responsibility: 18 Recommendations on Issues in Delinquency and Abuse/Neglect Dispositions," National Council of Juvenile and Family Court Judges, Reno (1989) at p. 7: "Juvenile and family courts must have an adequate number of qualified judicial officers and other court personnel available to assure the optimum handling of each individual case."

<sup>176</sup>"The present system permits overloading of non-jury calendars. Because the family (juvenile) courts are non-jury courts, there is almost no limit to the number of non-jury matters than might be assigned to those courts." Senate Task Force on Family Relations Court, Final Report, Sacramento (1990), pp. 8-10. Also see *In re Ashley K.*, *op. cit.* footnote 145.

<sup>177</sup>*Ibid.* at p. 4.

<sup>178</sup>Lucas, Malcolm M., "Is Inadequate Funding Threatening Our System of Justice?" *Judicature* 74.6 (April-May 1991) 292.

<sup>179</sup>Senate Task Force on Family Relations Court, Final Report, *op. cit.* footnote 176, at p. 4, and see Section V. A. *infra* on the "Structure of the Court System."

<sup>180</sup>Gomby and Shiono, *The Future of Children*, *op. cit.* footnote 103.

<sup>181</sup>Senate Task Force on Family Relations Court, Final Report, *op. cit.* footnote 176, at p. 2 and *In re Ashley K.*, *op. cit.* footnote 145, in which the Appellate Court noted: "All other considerations aside, and there are many, humaneness and plain common sense make it imperative that there be proper judicial case management in child custody cases in Cook County, and that there be a sufficient number of judges to cope with the number of cases in the system" at p. 17.

<sup>182</sup>The court should "establish a training program for attorneys representing parents and children and require attorneys who are appointed by the court to attend this program." *Making Reasonable Efforts*, *op. cit.* footnote 161, at p. 62. And see McCullough, *op. cit.* footnote 152, at p. 59.

<sup>183</sup>Since the passage of the Child Abuse Prevention and Treatment Act of 1974 (P.L. 93-247) as a condition of states receiving federal funds, the juvenile court must appoint a guardian ad litem to represent a child in child abuse or neglect cases that result in a judicial proceeding. 42. U.S.C., Paragraph 5103 (b)(2)(G)(1976). For a summary of the ways in which each state has responded to the federal mandate see National Study of Guardian ad Litem Representation, Administration for Children, Youth and Families, Office of Human Development Services, U.S. Department of Health and Human Services, by CSR, Inc., Washington, D.C. (1990).

<sup>184</sup>See Feld, Barry, "The Right to Counsel in Juvenile Court: An Empirical Study of When Lawyers Appear and the Differences They Make," 79 *J.Crim.L. & Criminology*, *op. cit.* footnote 114, pp. 1185-1346, and Schwartz, *op. cit.* footnote 66 at pp. 40-51.

perceived as favoring waiver of that right.<sup>185</sup>

Similarly, in dependency cases, if the government represents both the petitioner and the child, or if one attorney represents both parents, it would save the cost of an attorney, but it may mean that the remaining attorney has conflicting positions to represent to the court. Juvenile court judges understandably have taken different sides of this debate.<sup>186</sup>

The juvenile court also has the responsibility of setting the standards by which the juvenile system will be governed. In this way the court provides leadership both to the community and to all participants in the juvenile court system.<sup>187</sup> Cases which do not reach the court but which are resolved by police, probation, social workers or the prosecutor also come under the purview of the juvenile court judge. Only the most serious cases should reach the juvenile court. The majority of cases should be resolved fairly and efficiently by other agencies. It is the role of the juvenile court judge to ensure that this process is implicitly fair to all parties.<sup>188</sup>

The presiding judge of the juvenile court shall initiate meetings and cooperate with the probation department, welfare department,

prosecuting attorney, law enforcement, and other persons and agencies performing an intake function to establish and maintain a fair and efficient intake program designed to promote swift and objective evaluation of the circumstances of any referral and to pursue an appropriate course of action.<sup>189</sup>

The juvenile court judge must know how cases which do not reach the juvenile court are being resolved. What types of alternative dispute resolution techniques are being employed and by whom? What standards do police, probation and prosecution utilize and under what authority? Some may argue that such comprehensive knowledge is unnecessary. Upon reflection, however, it becomes clear that the public holds the juvenile court judge accountable for the failings in a system over which he or she presides.<sup>190</sup>

After the court has made its dispositional orders, it must also monitor the progress of the child, the family and the supervising agency to make certain that each one carries out the terms of its orders.<sup>191</sup> This is no easy task. For the court to monitor services effectively, the judge must become knowledgeable about the services available in the community as well as services which should be

<sup>185</sup>See Schwartz, *op. cit.* footnote 66, at pp. 152-158; Feld, Barry C., "The Juvenile Court Meets the Principal of the Office: Legislative Changes in Juvenile Waiver Statutes," *Journal of Criminal Law and Criminology* 78.3, *op. cit.* footnote 39, at pp. 471-533.

Rubin agrees with Schwartz in asserting that a child in a delinquency proceeding should have an unwaivable right to an attorney. Rubin, *op. cit.* footnote 45, at p. 403.

The author prefers rigorous questioning of the child to the unwaivable right to counsel suggested by Schwartz and Rubin. In Santa Clara County the juvenile court judges have an elaborate *voir dire* which stresses the importance of the legal proceedings and the need for counsel. Only if the child can give intelligent responses to the court's inquiry will a waiver be accepted. Often it is the parent advising the child that an attorney is unnecessary and in that situation the court must be prepared to engage the parents in the waiver discussion. More than 95% of the children in delinquency proceedings are represented by attorneys in this county.

Of course, if the jurisdiction has no resources to employ counsel, the judge may be less willing to engage in this type of *voir dire*. The judge will first have to devise a strategy on how to secure sufficient attorneys for the juvenile court. See the suggestions in footnote 127 and Resources discussion in Part V, *supra*.

<sup>186</sup>Different jurisdictions handle this representation in different ways. In some an attorney is appointed to represent the dependent child in every case (Santa Clara County and San Mateo County in California are examples). In other jurisdictions an attorney is appointed to represent the child on a case-by-case basis. This seems to be the minimal requirement of independent representation as stated by the appellate court in the case of *In re Patricia E.* (1985) 175 Cal.App.3d 1. Also see *Making Reasonable Efforts*, *op. cit.*, footnote 161, at pp. 31-32.

<sup>187</sup>"Toward Juvenile Justice" by Mark Harrison Moore, in *From Children to Citizens*, *op. cit.* footnote 7, at p. 177.

<sup>188</sup>Court-Approved Alternative Dispute Resolution: A Better Way to Resolve Minor Delinquency, Status Offense and Abuse/Neglect Cases, *op. cit.* footnote 76, at pp. 4-7 and 25-28. In some states the juvenile court has the obligation to respond to the needs of children and order both legal intervention and services. Thus, when a local social services department was unwilling to file dependency proceedings to protect a child living in a harmful environment, the judge order the agency to file a petition. See *People in the Interest of R. E.*, 729 P.2d 1032 (Colo.App.1986) and *In the Interest of J. H.*, 770 P.2d 1355 (Colo. App. 1989). In California, a juvenile court judge dismissed a dependency petition after evidence showed a child had been abused in the family home, but stated he was unsure as to the person responsible for the abuse. The Court of Appeals reversed the trial court and ruled that the juvenile court must take jurisdiction of a child under those circumstances. *In re Christina T.*, 184 Cal.App.3d 650, 229 Cal.Rptr.247 (1986). See "The Court: A Child's Last Hope for Protection" by Sue Pachota, *The Rocky Mountain Child Advocate* 1.2 (June/July 1991) at pp. 4-5.

<sup>189</sup>Rule 1404(a) Juvenile Court Rules, West's California Juvenile Laws and Court Rules (1991).

<sup>190</sup>See *Deprived Children: A Judicial Response*, *op. cit.* footnote 144, at p. 10. "The public reasonably expects the judiciary is, or ought to be, ultimately accountable for what happens to abused or neglected children who are reported to or handled by governmental agencies."

<sup>191</sup>Jones, Judge William G., "The Special Responsibilities of Juvenile Court Judges," *The Rocky Mountain Child Advocate* 1.2 (June/July 1991) 3.

available.<sup>192</sup> Review hearings provide one vehicle for the court to assess the situation from month to month. While in all types of juvenile cases reviews are a sound judicial policy, in dependency matters the legislature has mandated judges to review regularly the status of children in placement. This judicial review is the principal mechanism ensuring reunification services are being provided and for preventing unnecessarily long placements and unnecessary movements of children from home to home, so-called foster care drift.

In some jurisdictions the juvenile court judge is the administrator of the juvenile probation department and court staff who work in the juvenile justice system.<sup>193</sup> This administrative oversight may include responsibility over court personnel including other judges, referees, attorneys, social investigators, clerical workers, support personnel, psychologists, psychiatrists and physicians. The role may also include supervision of the operation of foster homes, detention facilities,

the court clinic and aftercare facilities. The juvenile court judge may also have some responsibility for the management of financial services. This administrative role will necessarily take time from the judge's judicial duties. It may also expose the judge to liability for administrative errors such as overcrowding of the juvenile detention facility.<sup>194</sup> On the other hand, the juvenile court judge as administrator is ideally situated to coordinate services between the court and probation departments.<sup>195</sup>

Some critics have argued that this administrative role is inappropriate for the juvenile court judge.<sup>196</sup> Other commentators assert that probation services should be under juvenile court control. They point out that probation is an integral part of the judicial function in the juvenile court and that the juvenile court judge has an interest in maintaining a satisfactory level of service.<sup>197</sup> In some states the juvenile court has no administrative oversight of probation services, while in some

---

<sup>192</sup>"Monitoring services" is itself a catch-all describing a number of important responsibilities. These have been summarized as requiring the juvenile judge to:

- (1) Know what child welfare and family preservation services are available in the community and the problems that can be addressed by these services;
- (2) Know which agencies and individuals are responsible for developing policies and providing services to children in the community;
- (3) Understand child development and, in particular, the importance of attachment and bonding and the effects of separation on young children;
- (4) Encourage the child welfare agency to prevent unnecessary removal by using services to protect children instead of resorting to removal of the child from the home;
- (5) Encourage the development of cooperative agreements between law enforcement bodies and the child welfare agency so that law enforcement officers do not remove children from their homes without prior consultation and coordination with the agency;
- (6) Be aware of the child welfare agency's performance in providing preventative and reunification services, as well as its rules and regulations on providing these services, and monitor the agency's compliance with the reasonable efforts requirement;
- (7) Ensure that the child welfare agency is aware that the failure to make reasonable efforts will result in a failure to receive federal reimbursement;
- (8) Establish a training program for all attorneys representing parents and children and require attorneys who are appointed by the court to attend this program;
- (9) Be aware of local experts who can testify on the reasonableness and appropriateness of services provided to keep a child in the home and what harm, if any, a child will experience if removed from the home or continued in an out-of-home placement; and
- (10) Monitor the court's own record on compliance with the reasonable efforts requirement by monitoring court of appeals' affirmances or reversals of decisions on reasonable efforts.

*Making Reasonable Efforts: Steps for Keeping Families Together*, The Edna McConnell Clark Foundation, *op. cit.* footnote 161, pp. 41-59.

<sup>193</sup>In 22 states and the District of Columbia probation services are administered either by the local juvenile court or by the state administrative office of the courts. In 14 states probation administration is divided between judicial and executive branches. In other states probation is administered either exclusively from the state, from county government or a split between county and state executive branch departments. See "Organization and Administration of Juvenile Services: Probation, Aftercare, and State Delinquent Institutions," Patricia McFall Torbet, Pittsburgh, National Center for Juvenile Justice (1990) at p. iv

<sup>194</sup>See *Doe v. County of Lake, Indiana* (1975) 399 F.Supp.553 and *Santiago v. City of Philadelphia* (1977) 435 F.Supp. 136, 146.

<sup>195</sup>See Rubin, *op. cit.* footnote 45, at pp. 358-359.

<sup>196</sup>"The Constitutionality of Juvenile Court Administration of Court Services" by David Gilman in *Major Issues in Juvenile Justice Information and Training*, Columbus, OH, Academy for Contemporary Problems, (1981) 465-474. "Courts as Social Service Agencies: An Idea Carried to Its Illogical Extension" by Jack D. Foster, pp. 475-490. National Advisory Commission on Criminal Justice Standards and Goals, *Corrections* (Washington, D.C.: Government Printing Office, 1973), Standards 8.2, 10.1, 16.4; Institute of Judicial Administration-American Bar Association, *Court Organization and Administration*, Standard 1.2; National Advisory Committee on Criminal Justice Standards and Goals, *Juvenile Justice and Delinquency Prevention*, Standard 19.2; National Advisory Committee for Juvenile Justice and Delinquency Prevention, *Standards for the Administration of Juvenile Justice*, Standards 3.14, 4.1.

states the court has limited control over the selection and administration of probation services.<sup>198</sup> Ironically, as Joseph White points out,

[w]hichever structure the interested reader may consider . . . certain factors . . . have critical impact. These include the amount of money available for these services, the quality of the personnel with which the system is staffed, and the personal leadership of the judiciary in stimulating community interest and support. Each of these attributes is a *sine qua non* of good services, regardless of the formal administrative structure.<sup>199</sup>

Beyond the confines of the courtroom and the boundaries of the delinquency and dependency systems, the juvenile court judge has an even broader role: providing to the community information about how well the juvenile court is completing the tasks assigned to it.<sup>200</sup> The juvenile court judge both informs and advocates within the community on behalf of children and their families.<sup>201</sup> No other person has the position, perspective or the prestige to speak on behalf of the children and families whose problems are so serious that they must come before the juvenile court. Because of confidentiality laws which restrict the flow of information about most juvenile court cases, it is critical that the juvenile court judge ensure that information about the juvenile court system is made available to the public. Only in this

way will the public receive a balanced view of the work of the juvenile court and not rely solely on the spectacular headlines which appear at regular intervals.<sup>202</sup>

The court must be open to the public and engaged in a continuous dialogue with the public regarding children, parenting, the responsibility of the institutions surrounding children, the responsibilities of the public, and how the court acquires itself of its own responsibilities.<sup>203</sup>

This public role also includes commenting on and, if necessary, drafting legislation which the judge believes is necessary to complete the work of the juvenile court. It is remarkable that juvenile court legislation is often written without significant input from the juvenile court judiciary and that in some jurisdictions juvenile court judges are among the last to learn of legislative changes in their court system. Those states with Juvenile Court Judges Associations have had a much greater impact upon state legislation dealing with juvenile court than those states which have not.<sup>204</sup>

The juvenile court judge has a public role beyond providing information to the community. The judge must also take action to ensure that the necessary community resources are available so that the children and families which come before the court can be well-served.<sup>205</sup> This may be the most untraditional role for the juvenile court judge, but it may be the most important.<sup>206</sup>

<sup>197</sup>"The Juvenile Court's Administrative Responsibilities," by Holland M. Gary, pp. 337-342, and Rubin, *op. cit.* footnote 45, at pp. 358-359.

<sup>198</sup>Torbet, *op. cit.* footnote 193, at pp. 2-13.

<sup>199</sup>White, Joseph L., "Major Issues in Juvenile Justice Information and Training: Services to Children in Juvenile Courts: The Judicial-Executive Controversy," Columbus, Ohio, Academy for Contemporary Problems (1981), cited in Torbet, *op. cit.* footnote 193, at p. i.

<sup>200</sup>"To protect the institution, to maintain a proper accountability relationship to the community and to the law, and to strengthen the overall capacity of the community to rear children, the judges of the juvenile court must be prepared to exercise leadership by explaining what the court stands for, why it is making the decisions it is making, and what these decisions imply for the conduct of others. This is how legal values acquire social force and standing." Moore, *op. cit.* footnote 7, at p. 181.

<sup>201</sup>"The juvenile court judge of the future will be something special. His skill as a jurist will be secondary to his ability to motivate the community behind juvenile causes." "The Juvenile Justice System: Vision for the Future" by Seymour Gelber, *Juvenile and Family Court Journal* (1990), *op. cit.* footnote 105, pp. 15-18, at p. 18.

<sup>202</sup>"As Mother Killed Her Son, Protectors Observed Privacy" by Celia W. Dugger, *The New York Times* 10 Feb. 1992, at p. A1 and A16; "Child Deaths Reveal Failings of System" by Celia W. Dugger, *The New York Times* 23 Jan. 1992.

<sup>203</sup>Hartmann, *op. cit.* footnote 2 at p. 390.

<sup>204</sup>Perhaps the most outstanding example of a juvenile court judges association in the United States is the Juvenile Court Judges' Commission in the Commonwealth of Pennsylvania. Established by the Pennsylvania Legislature in 1959, its members are nominated by the Chief Justice of the Pennsylvania Supreme Court and appointed by the Governor for three-year terms. The Commission is responsible for:

- (1) Advising juvenile courts concerning the proper care and maintenance of delinquent children;
- (2) Establishing standards governing the administrative practices and judicial procedures used in juvenile courts;
- (3) Establishing personnel practices and employment standards used in probation offices;
- (4) Collecting, compiling and publishing juvenile court statistics; and
- (5) Administering a Grant-In-Aid program to improve county juvenile probation services.

The Commission also serves as the liaison between the juvenile courts and the Legislature to ensure passage of legislation that is in the best interest of all children coming within the jurisdiction of the court. It provides a monthly newsletter, an annual report and numerous other publications and offers training for judges and probation staff throughout the state.

All significant legislation relating to children who come before the juvenile court in Pennsylvania is either drafted, suggested or supported by the Commission. For example refer to the testimony of Hon. R. Stanton Wettinck, Jr., and James E. Anderson before the Joint State Government Commission, Task Force of Services to Children, September 11, 1990. The legislative program was recognized by the National Council of Juvenile and Family Court Judges in 1987 as being the nation's most outstanding program.

For further information contact the Juvenile Court Judges' Commission, P.O. Box 3222, Harrisburg, PA 17105-3222.

What should the judge do when drug counseling is ordered and no drug counseling exists in the community? What should the judge do when a child could be safely returned home if reasonable services were available for the family, but no such services exist? Should the juvenile court judge simply rule on the case before the court and remain indifferent or inactive with regards to the results after the court order has been made?

The clear message from legislators and judges alike is to take action in order to address the deficiencies within the various juvenile court systems.

Judges should take an active part in the formation of a community-wide, multi-disciplinary "Constituency for Children" to promote and unify private and public sector efforts to focus attention and resources on meeting the needs of deprived children who have no effective voice of their own.<sup>207</sup>

Juvenile court judges have heeded these calls to organize within their own communities. They convene meetings of private and public sector leaders, multi-disciplinary task forces and community-based organizations and provide the information and the leadership to join in concerted efforts to preserve and strengthen families.

Their effectiveness has been noteworthy.<sup>208</sup> In 1978 David Soukoup, a King County, Washington

juvenile court judge, asked volunteers within his community to assist abused and neglected children as they went through the dependency court process. His initiative started the Court Appointed Special Advocate Program (CASA), a nationwide endeavor which now has hundreds of programs and over 28,000 volunteers.<sup>209</sup> Other judges have been noteworthy for their leadership in initiating change within their court systems.<sup>210</sup>

In Jefferson Parish, Gretna, Louisiana, Judge Thomas P. McGee used his position as chief judge of the juvenile court to organize within his community on behalf of the children and families who appear in his court. Under his leadership the juvenile court was able to develop a system to detect learning disabilities in children who appeared before the juvenile court and ensure that each was properly educated. He has helped other juvenile court judges and communities organize effective responses for learning disabled children. His successes in his own court and nationally are based upon his belief in judges becoming catalysts for reform.<sup>211</sup>

A Nevada Juvenile Court judge, Judge Charles McGee, was instrumental in creating the Children's Cabinet. A private, non-profit organization, the Children's Cabinet is intended to "fill the gaps" between existing services to children in Nevada and lead in the identification of new programs and resources for families. In its first five years of existence, through the development of new

---

<sup>205</sup>Juvenile and family court judges should play a leadership role in working with key people from all three branches of government, law enforcement, public health, medical, drug treatment service providers, social service workers, and the private sector to develop a comprehensive continuum of family-focused, multi-disciplinary drug treatment and family strengthening services." *Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases*, *op. cit.* footnote 86 at p. 4.

<sup>206</sup>He can't go out on the street corner and compete with the Salvation Army. But he can appoint a strong citizens' committee, composed of community leaders interested in youth, as an Advisory Council. He can regularly attend its meetings and invite its members individually to attend court hearings, to visit existing facilities -- both state and local -- to examine some case histories (both successful and unsuccessful); and he can suggest to them important community goals. Perhaps some static will crackle, perhaps a little unpleasant gas will escape to assault the community's olfactory nerve -- and all to the good. What is there to fear? Many of us juvenile court judges have 'resources' that couldn't be worse." "The Juvenile Court Examines Itself" by Judge William S. Fort, *NPPA Journal* 5, 404-413, at p. 411.

<sup>207</sup>*Deprived Children*, *op. cit.* footnote 144, at p. 12. "Juvenile and family court judges should play a leadership role in working with key people from all three branches of government, law enforcement, public health, medical, drug treatment providers, social service workers, and the private sector to develop a comprehensive continuum of family-focused, multi-disciplinary drug treatment and family strengthening services." *Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases*, *op. cit.* footnote 86, at p. 4.

<sup>208</sup>Yet many juvenile judges rise to the challenge and do remarkable jobs. Procedural safeguards and due process rights for juveniles are scrupulously observed in their courts. These judges always are seeking better means of detention and reserve the use of correctional institutions as a last resort. They are very committed, work long hours, and sometimes pass up promotions to more highly paid judgeships with greater prestige. The result is that these judges usually change the quality of juvenile justice in their communities." Clemens Bartollas, *Juvenile Delinquency*, MacMillan, New York (1985) 456.

<sup>209</sup>See *Advocating for the Child in Protection Proceedings* by Donald N. Duquette, Lexington Books, Lexington MA (1990) 1-11. For more information on the National CASA Association, write to: National CASA Association, 2722 Eastlake Avenue East, Suite 220, Seattle, Washington 99102.

<sup>210</sup>For example see "Family Court Reform in Six Pennsylvania Counties: Profiles of Judges as Reform Activists," Mastrofski, Jennifer, *Family and Conciliation Courts Review* 29.2 (Apr. 1991) 129-149. "Judge Ernestine Gray throws the book at young offenders -- and then expects them to read it" by Sylvia Whitman, *Student Lawyer* (Apr. 1987) 12-13. For different examples of juvenile court judges, their backgrounds and accomplishments see *Behind the Black Robes: Juvenile Court Judges and the Court*, by Rubin, H. Ted, Beverly Hills, Sage Library of Social Research (1985).

<sup>211</sup>"Preventing Juvenile Crime: What a Judge Can Do" by Judge Thomas P. McGee, *The Judges' Journal* 24 (1986), at pp. 20-23 and 51-52. Also see *Learning Disabilities and the Juvenile Justice System*, by John B. Sikorsky, M.D. and Judge Thomas P. McGee, National Council of Juvenile and Family Court Judges, Reno (1986).

programs this unique public-private venture has served thousands of families.

Among its many programs the cabinet has developed the Truancy Center, the School Early Intervention Program, the Homeless Youth Project and Northern Nevada's first Family preservation program. While volunteers are a critical component in all of its efforts, the Cabinet has sponsored some programs which are managed and staffed exclusively by volunteers. In 1989 the Cabinet published "Nevada's Children: Our Most Precious Resource?", a collection of statistics and information about Nevada's children. Its efforts have added greatly to the lives of children and families in Northern Nevada.<sup>212</sup>

In 1953 in Oakland County, Michigan, Chief Judge Eugene Arthur Moore convened a small group of citizens and community leaders to develop a community-based prevention program. By 1984 there were 26 locally-based youth assistance programs in Oakland County. In 1989 more than 47,000 county residents voluntarily participated in Youth Assistance Primary Prevention programs. The program has been so successful it received the Kendall I. Lingle Community Resources Award from the National Council of Juvenile and Family Court Judges in 1991.<sup>213</sup>

In 1985 in San Bernardino County, California, Juvenile Court Presiding Judge Patrick Morris convened a county-wide meeting of private and public sector persons interested in working on behalf of children. The result was the creation of the Children's Network, now in its seventh year of coordinating agencies, professionals, businesses and citizens and developing resources on behalf of children.<sup>214</sup> Many other examples exist in juvenile courts throughout the country.<sup>215</sup>

Perhaps the best formal expression of the full role of the juvenile court judge was recently adopted by the California Judicial Council. In Rule 24 the Judicial Council wrote that juvenile court judges are encouraged to:

- (1) Provide active leadership within the community in determining the needs and obtaining and developing resources and services for at-risk children and families. At-risk children include delinquent, dependent and status offenders.
- (2) Investigate and determine the availability of specific prevention, intervention and treatment services in the community for at-risk children and their families.
- (3) Exercise their authority by statute or rule to review, order and enforce the delivery of specific services and treatment for children at risk and their families.
- (4) Exercise a leadership role in the development and maintenance of permanent programs of interagency cooperation and coordination among the court and the various public agencies that serve at-risk children and their families.
- (5) Take an active part in the formation of a community-wide network to promote and unify private and public sector efforts to focus attention and resources for at-risk children and their families.
- (6) Maintain close liaison with school authorities and encourage coordination of policies and programs.
- (7) Educate the community and its institutions through every available means including the media concerning the role of the juvenile court in meeting the complex needs of at-risk children and their families.
- (8) Evaluate the criteria established by child protection agencies for initial removal and reunification decisions and communicate the court's expectations of what constitutes "reasonable efforts" to prevent removal or hasten return of the child.
- (9) Encourage the development of community services and resources to assist homeless, truant, runaway and incorrigible children.

<sup>212</sup>For further information about the Children's Cabinet, contact Judge Charles McGee or Executive Director Sheila Leslie at The Children's Cabinet, 1090 So. Rock Blvd., Reno, Nevada, 89502, (702) 785-4000.

<sup>213</sup>For further information contact Chief Judge Eugene Arthur Moore, Probate Court, County of Oakland, 1200 N. Telegraph Road, Pontiac, Michigan 48341-1043.

<sup>214</sup>For more information about the Children's Network write: Children's Network, County Government Center, 2nd Floor, 385 North Arrowhead Avenue, San Bernardino, California 92415-0121, (714) 387-8966.

<sup>215</sup>For example, Kids in Common, Santa Clara County, California (write c/o Supervisor Dianne McKenna, Board of Supervisors, 70 West Hedding Street, San Jose, California 95110).

- (10) Be familiar with all detention facilities, placements and institutions used by the court.
- (11) Act in all instances consistently with the public safety and welfare.<sup>216</sup>

Other commentators support this description.<sup>217</sup>

All of these activities may be necessary if the juvenile court judge is going to make it possible for the juvenile court to be an effective institution. Given the nontraditional aspect of many of these tasks, there are numerous challenges facing the judiciary both to educate and socialize juvenile court judges with regard to their distinctive role.

---

<sup>216</sup>Standards of Judicial Administration Recommended by the Judicial Council, Rule 24, Juvenile Matters, West (1991). Not all states have identified the role of the juvenile court judge as broadly as California. In some the juvenile court judge may feel constrained by ethical considerations to refrain from some of these activities. Nevertheless, the California Rule is the trend throughout the United States, as the following statements indicate: "I am extremely impressed by the 'Appendix to California Rules of Court Division I: Standards of Judicial Administration' and think they should be given wide dissemination among juvenile and family court judges. . . . If these rules could be adopted everywhere, they would go a long way to resolving the conflicts now experienced, and toward improving the administration of juvenile and family justice." Mark Harrison Moore, Review of "Resolving the Ethical, Moral and Social Mandates of the Juvenile and Family Court," Memo to Hunter Hurst, Pittsburgh, National Center for Juvenile Justice (1990).

<sup>217</sup>Judges must assert community leadership for prevention and treatment of substance abuse among juveniles and their families." *Drugs -- The American Family in Crisis*, NCJFCJ, Reno, NV (1989), at p. 25. Judges must provide leadership within the community in determining needs and developing resources and services for deprived children and families. Judges must encourage cooperation and coordination among the courts and various public and private agencies with responsibilities for deprived children. Juvenile and family courts must maintain close liaison and encourage coordination of policies with school authorities. Judges should take an active part in the formation of a community-wide, multi-disciplinary "Constituency for Children" to promote and unify private and public sector efforts to focus attention and resources on meeting the needs of deprived children who have no effective voice of their own. *Recommendations 1, 3, 5, and 7, Deprived Children: A Judicial Response*, *op. cit.* footnote 144.

---

## V. Fulfilling the Expectations For the Juvenile Court Judge

---

How is the juvenile court judge going to accomplish all that has been outlined? What will be necessary for the juvenile judge to realize the goals set forth by the legislature?

The answers to these questions are complex and involve factors relating to the judiciary as an institution, the structure of the court system, the selection of judges and the way in which judges are given and remain on judicial assignments, as well as clarification of the purposes of juvenile court law.

The successful juvenile court judge must be competent, interested, work within a judicial system that has clear goals and that gives sufficient status to the juvenile court, have adequate resources to complete the work of the court, and have sufficient training and tenure to understand and implement the unique tasks the job demands.<sup>218</sup>

### A. Structure of the Court System

For the juvenile court judge to be in a position to accomplish all that the legislature has set out, the juvenile court must be recognized as an important, if not the most important, part of the judicial system.

Juvenile and family courts, to be effective, must have the same stature as general jurisdiction courts.<sup>219</sup>

The relationship of the juvenile court to the courts of general jurisdiction differs throughout the United States. In some jurisdictions, the juvenile court is one division of the court of general jurisdiction. In others, the juvenile court is a separate court of equal status to the court of general jurisdiction. In still others, the juvenile court is a part of an inferior trial court.<sup>220</sup>

---

<sup>218</sup>The author recognizes that this description appears difficult to attain. Experience has proven, however, that many such individuals exist. The author has met hundreds of judges across the country who fit the "competent," "interested" and "sufficient training" characteristics. While more such judges need to be identified, the remaining factors of "status" and "resources" must also be addressed. One organization, the National Council of Juvenile and Family Court Judges, has a great number of such judges among its members. They are drawn to that organization because of the support, training and technical assistance it offers to juvenile and family court judges throughout the country. In its Articles of Incorporation its purposes include:

- (a) To improve the standards, practices and effectiveness of the juvenile courts and other courts exercising jurisdiction over families and children;
- (b) To inform or otherwise assist persons and agencies, including governmental agencies, which deal with or affect juvenile courts and other courts exercising jurisdiction over families and children;
- (c) To educate persons serving in or otherwise connected with juvenile courts and other courts exercising jurisdiction over families and children and other interested members of the public in developments and approved principles relating to such courts; and
- (d) To engage in educational and research activities in furtherance of the foregoing objectives.

The National Council has published numerous books outlining the policies which should be adopted to best serve children and families in the United States and how juvenile and family court judges can take action to ensure these policies are implemented. The National Council's leadership in policy development and technical assistance has resulted in improvements to juvenile court systems throughout the country.

For example, in 1991 the National Council of Juvenile and Family Court Judge's Permanent Families for Children Project was designated a model program by the office of Juvenile Justice and Delinquency Prevention. Recognized as an "exemplary delinquency prevention program" the award reflected the more than ten years of work by juvenile and family court judges nationwide to serve more effectively the abused and neglected children appearing in their courts. "NCJFCJ Wins National Recognition for Child Abuse and Neglect Project," *Juvenile and Family Court Newsletter* 21.3 (Nov. 1991) at p. 1.

Some of the Council's most influential publications include "Deprived Children: A Judicial Response," NCJFCJ, Reno (1988) (*op. cit.* footnote 144); "Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases," NCJFCJ, Reno (1992) (*op. cit.* footnote 86); "The Juvenile Court and Serious Offenders: 38 Recommendations," NCJFCJ, Reno (Summer 1984) (*op. cit.* footnote 135); "Drugs -- The American Family in Crisis: A Judicial Response, 39 Recommendations," NCJFCJ, Reno (1989); "Judicial Authority and Responsibility: 18 Recommendations on Issues in Delinquency and Abuse/Neglect Dispositions," NCJFCJ, Reno (Jan. 1989); "Minority Youth in the Juvenile Justice System: A Judicial Response," NCJFCJ, Reno (1990); "Court-Approved Alternative Dispute Resolution: A Better Way to Resolve Minor Delinquency, Status Offense and Abuse/Neglect Cases," NCJFCJ, Reno (1989) (*op. cit.* footnote 76).

For further information about this organization contact Dean Louis W. McHardy, National Council of Juvenile and Family Court Judges, P.O. Box 8970, Reno, Nevada 89507.

<sup>219</sup>*Deprived Children*, *op. cit.* footnote 144, Recommendation 8, p. 13.

<sup>220</sup>Rubin, *op. cit.* footnote 17, describes the many different court systems in the United States and how legal issues relating to the same family may be handled by different courts within the same jurisdiction.

For the juvenile court to accomplish the ambitious legal and social goals set out by the legislature, it must have at least equal status with the courts of general jurisdiction in each state.<sup>221</sup> The juvenile court judges must have equal status with judges on other judicial assignments. Only in this way will judges be encouraged to remain in the juvenile court and will the juvenile court have a strong voice both in the community and in the court system where it is competing for scarce resources.<sup>222</sup>

Equal status means equal pay. Unfortunately, in some jurisdictions juvenile court judges receive less pay than other trial judges because the juvenile court is a lesser trial court.<sup>223</sup>

An example of the problem of lower status involves the juvenile court's utilization of lesser judicial officers to do the work of the court. In many jurisdictions throughout the United States, the court system assigns the work of the juvenile court to referees, masters, commissioners and other judicial officers. Hiring these judicial officers is necessary, it seems, because judges cannot or do not want to handle all the emotional and tiring work in the juvenile court. Moreover, the government saves money by hiring lesser-paid judicial officers.<sup>224</sup>

Good justification exists for the use of these judicial officers. The court can hire persons who have an interest and a talent for working with children and families. If these officers do not perform well, the court can take action to replace

them. Overtime, these judicial officers can and do develop expertise in all areas of juvenile law.

On the other hand, to the extent that these judicial officers are utilized for the work of the juvenile court, many (including judges, attorneys and the public) conclude that the work of the juvenile court is of lesser importance than the work performed by judges. If attorneys disagree with a ruling of one of these officers, the law provides that a judge review the findings.<sup>225</sup> More importantly, these judicial officers lack political power in the community. If there are problems in developing resources, in ordering agencies to comply with orders, in getting things to happen outside of the courtroom, these judicial officers have less power to accomplish the task. The power of the juvenile court is necessarily diminished by having lesser judicial officers perform the work of the juvenile court.<sup>226</sup>

## B. Attracting Competent Judges

One of the greatest challenges facing the juvenile court is attracting competent jurists to serve as juvenile court judges.<sup>227</sup> There are a number of reasons why the juvenile court has not been able to attract talented, competent judges on a consistent basis.<sup>228</sup>

First, the substance of the work done by a juvenile court judge has not been considered to be legal. From the creation of the juvenile court in

<sup>221</sup>The Judicial Council and judiciary of California should undertake efforts to raise the status of all family relations matters within the judiciary. In California and the nation, matters involving children and families suffer a similar fate -- low status. This appears to be true in the judiciary as well as in other social institutions.

In a practical vein, the importance of juvenile and family law are reflected in the allocation of resources to these vital functions. Currently, civil and criminal proceedings take a disproportionate amount of resources, leaving children and families in understaffed courtrooms with little time to deal with vital matters affecting their entire future. Other human relations matters are buried in calendars in other courts and heard between the "real" business of the court.

"California Child Victim Witness Judicial Advisory Committee Final Report," California Attorney General's Office, Sacramento, CA (1988) 45.

<sup>222</sup>The history of the Arkansas juvenile court offers an example of the tragedies which can flow from a poorly structured juvenile court system. Burdened with an outdated and underfunded juvenile court system, Arkansas citizens were unable to enjoy the benefits of the juvenile court, an effective and equitable juvenile court system. Not until advocacy groups combined to persuade the Arkansas Supreme Court to declare the juvenile court system illegal was the juvenile court able to have an adequate structure to begin its work. (*Walker v. Department of Human Services*, 722 S.W.2d 558 [Arkansas, 1987].) For a history of this case see *Stepping Stones*, ed. Sheryl Dicker, New York, The Foundation For Child Development (1990) at pp. 197-218.

<sup>223</sup>Equal status also means an appellate structure that is similar to that of general trial courts. When the juvenile court decision can be reviewed by a trial court, the importance of the work of the juvenile court is reduced in everyone's eyes. See Rubin, *op. cit.* footnote 45, at p. 350.

<sup>224</sup>The study of salaries found referees received an average of 67% of judges' salaries. H. Ted Rubin, "Between Recommendations and Orders: The Limbo Status of Juvenile Court Referees," *Crime and Delinquency* 27 (July 1981) 317.

<sup>225</sup>See Alabama Juvenile Code sections 5-104; Utah Code Ann. section 78-3a-14; Colorado Rev. Stat. Ann. section 19-1-110; California Welfare and Institutions Code section 252.

<sup>226</sup>If referees are needed to shore up the shortage of judges, why not use them in civil or probate courts to handle procedural matters and other matters that do not affect the lives of children and families. We profess the importance of the juvenile court, so why not assign it sufficient judicial resources? See generally Schwartz, *op. cit.* footnote 66 at p. 163.

<sup>227</sup>Competency includes both interest and ability. A competent judge has legal skills and a sensitivity to the power and intrusiveness of the juvenile court law. In addition the competent juvenile court judge must understand the role that the position demands, the role described in section IV.

<sup>228</sup>The scarcity of qualified judges has been a problem in the past. A 1963 study showed that only 71% of the juvenile court judges surveyed had law degrees. Of those judges who were full time, 72% spent a quarter or less of their time on juvenile matters. Thus a child's case sometimes rested on the decision of a judge who may not have had an appropriate legal background or devoted much time to the case. McCune, S. and Skoler, D.S. "Juvenile Court Judges in the United States: Part 1," *Crime and Delinquency* 11 at pp. 121-131. In speaking of the quality of judges on the New York Family Court, Charles Schinitzky is quoted as saying, "They're political hacks. They come up by the clubhouse route. They're lawyers, but not distinguished lawyers. They used to be somebody's secretary." Upon the appointment to the Family Court by Mayor Beame of a number of candidates referred to as "abominations," Schinitzky said, "It shows the kind of regard in which this court is held. It has no prestige at all. Nobody cares." Found in *Child Savers* by Peter S. Prescott, Knopf, New York (1981) at p. 68.

Illinois in 1899 through the Supreme Court decision in the case of *In re Gault*, the juvenile court judge was not seen as a person with legal training. The judge did not need to have any legal training, since there were so few legal rights considered as a part of the juvenile court process. Indeed, the juvenile court was created more as a social institution with legal trimmings. The law was perceived as unnecessary to the problems facing at-risk youth. Only in the past twenty years have most states moved in the direction of requiring juvenile court judges to be lawyers.<sup>229</sup>

Second, and closely related to the first reason, is the fact that the juvenile court often occupies low status in the legal community.

The unfortunate tradition continues with the assignment of newly appointed judges, assistant prosecutors, public defenders and probation officers to the Family Part. They are led to believe that they can be 'promoted' to Civil or Criminal once they have 'learned the ropes' in the Family Part.<sup>230</sup>

The juvenile court is perceived of as a social and not a legal court, a court in which the lawyer's legal tools are useless. The low status is also related to the fact that there is very little money to be made in juvenile court. Delinquent, abused and neglected children and their families are usually poor. The courts rule on custody and protection issues, not money issues, and those lawyers who do appear in juvenile court are usually employed by the state or county at lower salaries than lawyers in the private sector.<sup>231</sup>

Third, few judges come to the bench with a background or an interest in juvenile court law. This is generally not a problem in those jurisdictions in which the juvenile court judge is directly elected or selected for that job—only in those courts in which the juvenile court judge is but one assignment of many, and the judicial administration chooses who will serve in that position and for how long. One cannot expect a newly appointed

civil practitioner or prosecutor to accept a juvenile court assignment with enthusiasm.<sup>232</sup>

Juvenile law is not taught as a part of the core curriculum in most law schools. Only in the past ten years has any course in juvenile law been offered at all. In the law schools it is perceived as an exotic course, one which will not lead to employment.<sup>233</sup>

Few appointed judges have had experience in the juvenile court. Even those who were employed in a public law office as a district attorney or public defender viewed any juvenile court assignment as training for the "more serious" work of the office, felony prosecutions. For private practitioners, juvenile court work was something one did as a favor for a client or referred out to another lawyer.

Fourth, the location and operation of the juvenile court is often isolated from the center of court activities within a particular jurisdiction.<sup>234</sup> Because of the co-location of many juvenile courts with detention facilities for minors, probation department headquarters or social services offices, the courts are often separated from the main courthouse. Judicial quarters at these sites are usually far below the standards of the civil and criminal courts. Poor courtrooms and isolation from one's colleagues lead many judges to want to remain in a juvenile court assignment only as long as necessary. Often the newest judge is given that assignment, but only until the next appointment is made.<sup>235</sup>

The isolation includes not only one's judicial colleagues, but also the mainstream of the local bar association and other members of the legal community. Many a juvenile court judge has had a colleague or a member of the bar ask, "When are you coming back downtown?" or "Haven't you had enough of kiddie court? We miss you down here." Until there is sufficient attractiveness to the juvenile court judge's position, the court will be unable to fill that position with adequate numbers of qualified personnel.

<sup>229</sup>See State Court Caseload Statistics Annual Report, National Center for State Courts, Williamsburg, Virginia (1989) 259-261 and 198-208.

<sup>230</sup>"Pathfinders Committee Report," 125 *New Jersey Law Journal* 1-4-90, pp. 41-52, at p. 41. See also Rubin, *op. cit.* footnote 45, at p. 350.

<sup>231</sup>See generally *Deprived Children*, *op. cit.* footnote 144, at p. 15 and Schwartz, *op. cit.* footnote 66, at pp. 162-3.

<sup>232</sup>One solution was recently proposed in the Senate Task Force Report on Family Relations Court, *op. cit.* 176, at p. 29. "In making judicial appointments, the Governor should consider the need for and the importance of appointing attorneys with domestic relations, probate and juvenile law experience. The Governor, in making appointments to the Superior Court, should appoint a sufficient number of persons who express a willingness to spend an appropriate portion of their judicial career in a family court setting." See also "Recommendations for a Model Family Court: A Report from the National Family Court Symposium" by S. Katz and J. Kuhn, National Council of Juvenile and Family Court Judges, Reno, NV (May 1991) 4-7.

<sup>233</sup>"We did a survey of law schools not too long ago and an astounding number of them don't even offer a course, and none of them require a course. Those that do offer a course don't offer a course that enables anyone to understand other than limited procedural aspects of the matter." E. Hunter Hurst, "Rotation vs. Specialization of Judges: An Interview with Honorable Don L. Tidrick, Iowa District Court Judge (Retired)" in *Juvenile and Family Court Newsletter* 21.1 (Mar. 1991) at p. 11.

<sup>234</sup>"Pathfinders Committee Report," *op. cit.* footnote 230, at p. 42.

<sup>235</sup>*Ibid.*, at p. 41.

### C. Retaining Competent Judges

Attracting juvenile court judges is only one part of the problem. Retention is another. For the juvenile court judge to be effective, the juvenile court assignment must be for a substantial period of time. This seems to be a widely recognized principle.<sup>236</sup>

Supervising judges and judicial officers in the Family Relations Division . . . should serve for substantial periods of time.

Judicial Recommendation 14  
California Child Victim Witness  
Judicial Advisory Committee, October 1988

Judicial assignments should . . . be for a substantial number of years.

Recommendation 8  
Deprived Children: A Judicial Response  
73 Recommendations

Judges should have long-term assignment to this complex court.

The Juvenile Court  
And Serious Offenders  
38 Recommendations

The presiding judge of the superior court should assign judges to the juvenile court to serve for a minimum of three years.

Section 24  
Juvenile Court Matters  
Appendix to California Rules of Court  
Standards of Judicial Administration, 1989

In those states in which the juvenile court judge is elected or appointed to that position, such admonitions have no relevance. These principles

only become necessary in those jurisdictions in which rotation from assignment to assignment is a part of the judicial structure.<sup>237</sup>

Why should a juvenile court judge remain in that position for a substantial period of time? The answer to this question reflects the very differences between the role of the juvenile court judge and the more traditional trial judge.

First, it takes time for a judge to develop the necessary knowledge and skills demanded in the juvenile court. Beyond the law, the judge must be trained in theories of human development, family dynamics, and available community resources.

Second, juvenile court cases, and particularly those involving abused and neglected children, take a long time to complete. A dependency case in which a child has been removed from parental control may be in the courts for hearings for eighteen months before a permanent plan is set for that child. Thereafter, the child's case may appear before the court for years, either to complete the permanent plan or to review the status of a long-term placement. It seems preferable to have judges remain on assignment to be able to hear cases from beginning to completion.

Third, with the possible exception of the presiding judge of all of the trial courts, no judicial role requires more administrative work than that of the juvenile court judge. To review the duties and responsibilities outlined in Section IV is to understand why the juvenile court judge must remain in the position for a substantial number of years in order to be effective.

To rotate the juvenile court judge on a frequent basis also will likely result in less effective judicial administration. Agencies

<sup>236</sup>It seems imperative, therefore, that the assignment to the family court be an ongoing assignment for the tenure of that judge." National Advisory Committee on Criminal Justice Standards and Goals, *Juvenile Justice and Delinquency Prevention Standards* 8.4 Commentary.

Rubin, *op. cit.* footnote 45, at pp. 366 and 387; but also see p. 407.

"State Supreme Courts should create incentives for judges to remain on family court assignment for minimum period of four years." Recommendations for a Model Family Court: A Report from the National Family Court Symposium, *op. cit.* footnote 232, at p. 165.

<sup>237</sup>A strong contrary view is held by Professor Schwartz *op. cit.* footnote 66, pp. 161-164 and the American Bar Association in the Juvenile Justice Standards Projects. *Standards Relating to Court Organization and Administration*, Cambridge MA, Ballinger Press (1980), Standard 2.1C. See also: American Bar Association Commission on Standards of Judicial Administration, *Standards Relating to Trial Courts* (Chicago, American Bar Association, 1976) Standard 2.35; and National Advisory Committee for Juvenile Justice and Delinquency Prevention, *Standards for the Administration of Juvenile Justice*, Standard 3.122.

These commentators believe a short term for the juvenile court judge is necessary to avoid empire building. The danger they see is that the presiding juvenile court judge who stays too long will be too powerful in the juvenile court system, which will lead to a "court that may be operated in a paternalistic manner with the legal safeguards of due process substantially ignored." American Bar Association at pp. 19-20.

This reason is a classic example of throwing out the baby with the bath water. There are dangers in any system in which one person remains in a position of power and authority for a substantial period of time. That is a risk one takes, however, to accomplish the more important goal of providing sufficient time for a presiding judge to understand the complex juvenile system and fulfill the varied roles that have been outlined. To insist on a one or two year rotation would be to deny the juvenile court judge the opportunity to fulfill the role of the office. It would instead lead to an unmanaged juvenile court. For judicial opinions on the question of rotating juvenile and family court judges see "Judicial Rotation in Juvenile and Family Courts: A View from the Judiciary" by Hunter Hurst, *Juvenile & Family Court Journal* 42.3 (1991) at pp. 13-21.

servicing the court will recognize that there will be no consistent judicial authority supervising their policies and procedures. Such rotation can result in abrogation of the judicial administrative function.<sup>238</sup>

When the judges are rotated, no one even knows who the juvenile court judge is, so you've lost the community bellwether.<sup>239</sup>

The administrative responsibilities can only be effectively carried out by someone who spends enough time in juvenile court to understand not only the nature of the case before the court, but also the nature of those agencies and persons reporting to the court. The experience of juvenile court judges throughout the country is that the expertise necessary can come only from years on the job. The lowest number suggested is three years; many argue for five or more.

One significant problem limiting the time a judicial officer can be effective in the juvenile court is burnout.<sup>240</sup> Juvenile court work is demanding. As Judge Alexander wrote,

I can bear personal witness to the fact that in almost every city of the country the juvenile court judge is the most over-worked and harassed of all judges. ... In only seventeen states can he look forward to a modest pension upon his retirement. ... His court as well as his children are more often than not housed in dark, dingy, dilapidated, dirty and inadequate quarters.<sup>241</sup>

Dealing with troubled children and families day after day takes its toll on the judge. In addition, the long non-jury calendars facing juvenile court judges require that they do more judicial work than

their counterparts in the civil and criminal assignments.<sup>242</sup> Some judges report that the stress of the job, with its many demands, combined with the emotional work within the courtroom, has led them to burn out emotionally and be unable to continue working with the same energy and dedication. In jurisdictions in which rotation is possible, a change in assignments can provide relief. For the elected juvenile court judge, the resolution of this problem is more complex.

Effective retention policies must include selection of judges to juvenile court who are interested and experienced. Judges selected must be provided orientation, training and continuing education. They must be given judicial quarters of sufficient quality that the assignment is not perceived as "roughing it." In this manner the juvenile court will be able to attract and retain competent judges for substantial periods of time.

#### D. The Unified Family Court

The demands of the juvenile court judge's job lead many to believe that a minimum term is necessary in order to understand the position and begin to become effective. The stresses inherent in the job persuade others to argue that the term must be short enough to avoid burnout. The fear of empire building or that an ineffective and uncommitted judge may remain in the position for a long period of time leads still others to suggest that the term should be short.

One response may offer a solution for all of these concerns. It is the unified family court. This

<sup>238</sup>Rubin, *op. cit.* footnote 45, at p. 366.

"We all came to the conclusion that we need community involvement to get the public to realize that something must be done in these areas with children and families. We pointed out in our recommendation that, unless you have a judge who has been in the juvenile division long enough to know these issues (drug and alcohol abuse) and who could speak with authority for the juvenile division, the communities pay no attention to him." Judge Ninian Edwards, found in Hurst, *op. cit.* footnote 233, at p. 16.

<sup>239</sup>Hurst, *op. cit.* footnote 233, at p. 10.

<sup>240</sup>Senate Task Force on Family Relations Court: Final Report, *op. cit.* 176, at pp. 29-30. See also "Recommendations for a Model Family Court: A Report from the National Family Court Symposium," *op. cit.* footnote 232, at pp. 4-6.

<sup>241</sup>Judge Paul Alexander, "Speaking as one judge to another," *National Probation Association Yearbook*, 1944. New York, National Probation Association (1944), at p. 38.

<sup>242</sup>*Ibid.*, at pp. 29-30. "A judge now is able to devote an average of ten minutes to each child's case . . . by 1995 judges will be allowed only five minutes to determine a child's fate." "Perspective of a Juvenile Court Judge" by Judge Paul Boland, *The Future of Children*, Center for the Future of Children 1.1 (Spr. 1991) 100-104, at p. 101. Judge Alexander wrote of the pressures that juvenile court judges were under. "When he can give one hour to three cases, and ought to give three hours to one case, somebody is going to suffer." He estimated that a juvenile court judge worked double or triple the hours worked by judges in other courts. *Op. cit.* footnote 226.

court can be created by restructuring the trial court so that the court has integrated jurisdiction over all legal problems that involve members of a family.<sup>243</sup> In practice, a unified family court brings together under one court administration all juvenile, domestic relations, paternity, emancipation, domestic violence, adoptions, guardianships, termination of parental rights, and child support enforcement matters. In some courts the jurisdiction extends to criminal and civil matters involving family members.<sup>244</sup>

The concept is not new. Judge Alexander of Toledo, Ohio urged the concept in his writings in the 1940s. Several states and jurisdictions within states have created and maintained unified family courts for years. Delaware, Rhode Island, Hawaii, New Jersey and Washington, D.C. are the most notable examples. Other jurisdictions are considering development of a unified family court.<sup>245</sup>

While all of these courts refer to themselves as unified family courts, no two are the same. There are differences in types of cases which fall under the jurisdiction of each court, in the selection, training and rotation of judicial officers and in the size of the courts. Nevertheless, each is able to point to the same strengths. Those strengths include:

1. The consolidation of all family-related legal matters into one division of the trial court for maximized coordination within the court system.<sup>246</sup>
2. The development of a team of interested and competent judges willing to serve in the unified family court for substantial periods of time.
3. Increased sensitivity to the needs of the child and family by having one judge hear all legal matters and having one probation

officer or social worker assigned to the case.

4. Improved access to services by all children and families which come before the court. Unlike traditional court systems, the unified family court is more prepared to provide the services needed for a particular family regardless of the legal category.<sup>247</sup>

In addition the unified family court builds on the recognition that the problems identified by a delinquency, dependency or status offense petition spring from a common basis, the family, and that the intervention strategies utilized in each type of problem may be similar, if not identical.<sup>248</sup>

The unified family court offers answers to each of the problems posed by critics of the juvenile court. To those who insist that judges remain for an extended time so that they can learn the complexities of the position of juvenile court judge, the unified family court permits a judge to remain in that position for years. To those who are concerned about isolation and judicial burnout, the unified family court offers a system in which a team of committed judicial officers can exchange positions and watch out for one another. To those who complain that the juvenile court judge may be uninterested in and incapable of handling the work, the unified family court provides that same team of interested and able judges, ready to work together to ensure that all of the work of the court is dealt with effectively.<sup>249</sup>

The critical component of the unified family court is its ability to attract and maintain a team of judges who have chosen to work in that court for a substantial period of their judicial life. Their close working relationship with other members of the court, coupled with their self-selection, means

<sup>243</sup>See "Recommendations for a Model Family Court: A Report from the National Family Court Symposium," *op. cit.* footnote 232, at p. 165.

<sup>244</sup>Rubin, *op. cit.*, footnote 17.

<sup>245</sup>In November 1990, the people of the state of Nevada passed a constitutional amendment approving of the creation of a Family Court in that state. Subsequently funding has been approved by the state legislature. See Final Report of the Nevada Family Court Task Force, NCJFCJ, Reno, 1991. Florida, Virginia, California, and Kentucky all have pilot family court projects underway. Maine and New Hampshire have created task forces to examine the feasibility of such a court. On September 12, 1991, the Florida Supreme Court approved the recommendation of the Commission on Family Courts to create a family law division in each Florida judicial circuit. The Supreme Court noted that such a division "will provide a better means for resolution of family issues." *In re Report of the Commission on Family Courts*, No. 77, 623 (FL 12 Sept. 1991).

<sup>246</sup>On the complex problems facing court systems which are not unified, see Edwards, L., "The Relationship of Juvenile and Family Courts in Child Abuse Cases," *University of Santa Clara Law Review* 27:2 (Spring 1987) 201-278.

<sup>247</sup>"Services and resources available to only one court department should be available to all family (juvenile) courts." Senate Task Force on Family Relations, *op. cit.* footnote 176, at pp. 13-15.

<sup>248</sup>Gelber, *op. cit.* footnote 105, at p. 15. And see Judge Robert Page, "The Role of the Judge in Family Court," a paper delivered at a National Council of Juvenile and Family Court Judges Conference in October 1990.

<sup>249</sup>See Geoff Gallas, Gary L. Albrecht and H. Ted Rubin, "A Comparative Study of Family Courts and Juvenile Courts: The Effect of Organizational Structures, Environments, Administration and Decision-Making on Process and Outcome," (Denver: Institute for Court Management, unpublished manuscript, 1977) cited in Rubin, *op. cit.*, footnote 45, at p. 378.

that the court can look to many, if not all, of its judicial officers to accomplish the unique tasks described above for the juvenile court judge.

Too much stress cannot be placed on the benefits of launching a family court with the optimal characteristics. In my experience each step towards the attainment of one of these has a synergistic effect on the attainment of all, and the failure to move forward with one can defeat the fulfillment of the other.<sup>250</sup>

### E. Purpose of the Juvenile Court

In order to understand the goals and direction of the juvenile court, the purposes of the juvenile law must be clearly stated.<sup>251</sup> The juvenile court judge, the agencies which serve the court and the community must understand what the mission of the juvenile court is. The purposes should include society's legitimate goals on behalf of its children. Those purposes include ensuring that children are raised to become productive citizens, that they are protected from abuse and neglect, that they are educated, that they are corrected and rehabilitated if they violate the law, and that society is protected from their delinquent behavior. An equally important purpose is to preserve and strengthen families, so that they can raise their children without state interference.

There are unavoidable tensions within these purposes. For an abused or neglected child the goals of protection and family preservation may be

in conflict. Maintaining or returning a child to the home in which abuse occurred involves risks of reabuse. For the delinquent child rehabilitation and societal protection may be in conflict.

The existence of these tensions does not make the purpose clause useless. It reminds us of the challenges facing the juvenile court system in dealing with the complex problems surrounding rearing children in our society. Moreover, it provides a common solution and a strategy for many of the cases involving each of the different types of behavior discussed in this paper. That solution is family preservation.

Simply stated, we have not turned to the family with sufficient commitment for the solution to the problems which come before our juvenile courts. The family offers our best opportunity for providing the care, control, supervision and accountability for children on a day-to-day basis. As a society our first response on behalf of at-risk children should be to strengthen the family.<sup>252</sup> Out-of-home care may be necessary in some cases, but we have greatly over-utilized placement as a solution to problems facing children and families.

Fortunately, effective and economical family preservation strategies have been and are being developed which address all of the situations described in this paper.<sup>253</sup> Developed first for dependency cases, family preservation<sup>254</sup> has been shown to be effective in delinquency matters also.<sup>255</sup> It has always been the preferred strategy in status offense situations.

<sup>250</sup>Statement by Chief Judge William Gordon of the Delaware Family Court cited in "The Family Court" oral presentation by Judge Robert W. Page at National Judicial College, Reno, Nevada (1985/86).

<sup>251</sup>"... [A] juvenile system which is built upon public reaction to occasional outrageous acts is bound to be episodic, shallow, unevenly coercive, probably unfair, and unresponsive to the overall needs of society for its children." Hartmann, *op. cit.* footnote 2 at p. 387.

<sup>252</sup>"Protecting Vulnerable Children and Their Families," Chapter 10 of *Beyond Rhetoric: A New American Agenda for Children and Families*, *op. cit.* footnote 2, at pp. 280-309.

<sup>253</sup>Cole, Elizabeth, and Duva, Joy. *Family Preservation: An Orientation for Administrators and Practitioners*. Washington, D.C.: Child Welfare League of America (1990); Edna McConnell Clark Foundation. *Keeping Families Together: Facts on Family Preservation Services*. New York: Schorr, Lisbeth. *Within Our Reach: Breaking the Cycle of Disadvantage*. New York: Doubleday (1988), especially pp. 140-178; Wells, Kathleen and Biegel, David E., *Family Preservation Services: Research and Evaluation*. Newbury Park: Sage Publications (1991); Whittaker, James K., et. al., *Reaching High Risk Families: Intensive Family Preservation in Human Services*. Hawthorne, N.Y.: Aldine de Gruyter (1990); Yuan, Ying-Ying T. and Rivest, Michele. *Preserving Families: Evaluation Resources for Practitioners and Policymakers*. Newbury Park: Sage Publications (1990); Yuan, Ying-Ying T., et al. *Evaluation of AB 1562 In-Home Care Demonstration Projects: Final Report*. Sacramento: Walter R. McDonald & Associates, Inc. (1990). "Recognizing and Realizing the Potential of 'Family Preservation'" by Douglas Nelson, paper presented to the Edna McConnell Clark Foundation. Grantees Conference, April 14, 1988, The Center for the Study of Social Policy, Washington, D.C. (1988); "Intervention in Homes is Helping to Rescue Troubled Families," by Jon Nordheimer, *New York Times* 11 Apr. 1991, at p. B1; "New York Examines Detroit Model," by Celia Dugger, *New York Times* 27 July 1991, at p. 9; "Family Preservation," *Families and Children*, Santa Clara County Social Services Agency, San Jose, CA, 8 (May 1991) at 2-6.

<sup>254</sup>Intensive family preservation services (IFPS) are characterized by highly intensive services, generally delivered in the client's home over a brief period of time. The primary goals of intensive family preservation services are: (1) to protect children, (2) to maintain and strengthen family bonds, (3) to stabilize the crisis situation, (4) to increase the family's skills and competencies, (5) to facilitate the family's use of a variety of formal and informal helping resources, and (6) to prevent unnecessary out-of-home placement of children. Elizabeth Tracey, David Haapala and Peter Pecora, *Intensive Family Preservation Services: An Instructional Sourcebook*, Cleveland, Case Western (1991).

<sup>255</sup>"Indeed, what seems clear now is that if the court is to be successful even with respect to the narrow goals of controlling juvenile delinquency in a moderately inexpensive and humane way, it must find ways of strengthening families and engaging the other institutions in the community in its efforts." "Toward Juvenile Justice" by Mark Harrison Moore, in *From Children to Citizens I The Mandate for Juvenile Justice*, *op. cit.* footnote 7, at pp. 177.

Family preservation services can revolutionize the way we think about helping children and their families. These services operate in new ways: through immediate response, and short-term, intensive work aimed at meeting goals set by the family. When you add on the holistic nature of family preservation -- helped with transportation as well as counseling, for example, housekeeping along with anger management -- the potential is awesome. Could this be the successful and replicable example of the integration of services that has been so elusive?<sup>256</sup>

In other words, strengthening and empowering families may prove to be the most effective strategy for the juvenile court system, regardless of the type of case before it. Before a child is removed from the family, or as soon after removal as possible, the wisest social policy is the preservation of the family so that it can accomplish the state's goals. In most cases the family has the greatest incentive to maintain its integrity, but it often lacks the skills or resources to accomplish the task. The state can provide support to strengthen the family and empower it to provide adequate care and control for its children. In those cases in which the danger to the child or to the community is great and the family is unable to provide the necessary care and control of the child, substitute care will, of course, be necessary.

## F. Resources

... funding does remain our most miserable failing.<sup>257</sup>

Establishing the juvenile court as a respected part of the legal community and staffing it with interested and able judicial officers for substantial periods of time will take the court a long way, but in order to succeed there must be adequate resources to support the court and the children and families who appear before it.<sup>258</sup>

First, there must be the resources to support and preserve those institutions (families, schools, community based organizations) which provide the necessary care, control and nurturing to prevent state intervention on behalf of at-risk children.<sup>259</sup>

Second, there must be adequate resources for the court system. This includes a sufficient number of judges,<sup>260</sup> staff<sup>261</sup> and attorneys to do the work of the court. Third, there must be enough persons to support the systems that detect, investigate, monitor, and provide services for juvenile court cases.<sup>262</sup> Fourth, there must be adequate resources to provide an effective response to the problems facing the children and families coming before the court. These resources include what is necessary to respond to the problems facing the child and family, whether they be labeled delinquent, dependent or status offenses.<sup>263</sup> Without them the juvenile court is likely to become the "abysmal failure" described by the Illinois Appellate Court.<sup>264</sup>

<sup>256</sup>Peter Forsythe, Director, Program for Children, Edna McConnell Clark Foundation.

<sup>257</sup>Gladstone, *op. cit.* footnote 12.

<sup>258</sup>One of the long-standing Congressional findings is that "understaffed, overcrowded juvenile courts, probation services, and correctional facilities are not able to provide individualized justice or effective help" for juvenile offenders. Section 101(a)(2), 42 U.S.C. section 5601(a)(2). "The juvenile court cannot intervene effectively when the social services and treatment resources it depends on lie in tatters." "A limited Role for the Legal System in Responding to Maternal Substance Abuse During Pregnancy" by John E. B. Myers, *Notre Dame Journal of Law, Ethics & Public Policy*, at p. 781. "One reason for the failure of the juvenile courts has been the community's continuing unwillingness to provide resources -- the people and facilities and concern -- necessary to permit them to realize their potential and prevent them from taking on some of the undesirable features typical of lower criminal courts in this country." "The Administration of Juvenile Justice -- The Juvenile Court and Related Methods of Delinquency Control," The President's Commission on Law Enforcement and Administration of Justice, *Juvenile Delinquency and Youth Crime*, Washington, D.C., U.S. Government Printing Office (1969) at p. 7.

<sup>259</sup>"Investing in America's Future", Chapter 13 of *Beyond Rhetoric*, *op. cit.* footnote 2, at pp. 368-390.

<sup>260</sup>"The Family Part needs more judges. Family Part judges need more time to handle the cases that come before them... The workload of Family Part judges should be comparable to that of their counterpart in the Criminal and Civil Divisions." *Op. cit.* footnote 232, at p. 42.

<sup>261</sup>"Staff are the most important resource of the court; therefore, activities which promote professional development of court and juvenile justice system personnel are critical to maintaining quality programs and services and should be supported." "38 Recommendations," *Juvenile & Family Court Journal* 35.2 (1984), *op. cit.* footnote 135, p. 21.

<sup>262</sup>"The National Commission on Children Recommends that individual adults, communities, and the public and private sectors take aggressive steps to ensure that all young people have access to a broad array of supports in their communities to promote healthy adolescent development and help them avoid high-risk behavior -- including school dropout, premature sexual activity, juvenile delinquency, crime, violence, and alcohol and drug abuse -- that jeopardize their futures." *Final Report of the National Commission on Children*, *op. cit.* footnote 2, at p. 233.

<sup>263</sup>"For the family court to realize its full potential, it must have all necessary resources. These include additional qualified, sensitive and well-trained judges and staff, and the necessary auxiliary programs; e.g., custody, visitation, mediation, matrimonial settlement panel programs, juvenile resource centers." "Pathfinders Committee Report," *op. cit.* footnote 230, at p. 41.

<sup>264</sup>The Cook County juvenile court offers an example of the severe shortages in the resources necessary to complete the work of the court. In August of 1990 the juvenile court was responsible for more than 22,000 abused and neglected children. As that time there were 18 judicial officers hearing these cases, 35 deputy public guardians representing these children, and public defenders representing parents with caseloads of 600 per deputy. *Ashley K.*, *op. cit.* footnote 145.

We have learned about the large numbers of children and families in the United States who are below the poverty level.<sup>265</sup> Some may become discouraged and believe that the juvenile court faces impossible tasks when dealing with such social problems. With the proper perspective, however, the goals of the juvenile court can be accomplished.

The juvenile court is not charged with removing poverty from society. The legislature mandates that the juvenile court take action on behalf of certain children and families who are found to fall into statutory categories. Juvenile court judges must follow the law. Their first official act is to take an oath of office swearing to uphold the laws of the United States and of their particular jurisdiction. Juvenile court judges take that oath very seriously.

We should expect to hear from our juvenile court judges when they have been given insufficient resources to complete their assignment. We should expect them to speak loudly when they cannot fulfill their oath of office. When the community learns that the important tasks given to the juvenile court are poorly funded, there will be an opportunity for public support to influence

legislative and executive decisions about these resources. It is a strategy which has been tried successfully in several communities<sup>266</sup> and, as juvenile court judges understand the position in which they have been placed, will be tried in many others.

The law in some jurisdictions permits the juvenile court judge to mandate the funding of necessary resources.<sup>267</sup> This power enables the juvenile court to demand the financial support necessary to complete its work.

The court, by statutory authority, must be able to order the development of new resources, where evidence shows such to be both reasonable and necessary.<sup>268</sup>

Appellate courts have often restricted the juvenile court's efforts to order such resources.<sup>269</sup> They reason that the court is in a poor position to understand the budgetary constraints that the legislative and executive branches are working with.

Whether a juvenile court should be able to mandate services in order to ensure that orders are carried out is a difficult problem, but one that goes to the heart of the juvenile court's ability to accomplish the work assigned to it by the legislature. The standard suggested above that the court be able to

<sup>265</sup>The following facts about American children have been collected by the Children's Defense Fund in their 1991 report:

American children's health and development is threatened by a lack of health insurance and lack of access to health care. More than 12 million children and more than 14 million women of childbearing age have no health insurance.

Our nation's improvement in the rates of early prenatal care, low-birthweight births, and infant mortality has slowed down dramatically or stopped. Immunization rates actually have declined. The United States has slipped to nineteenth in the world in preventing infant deaths, behind such nations as Spain, Ireland, Hong Kong and Singapore.

One-half of preschool-age children today have mothers employed outside the home, a figure which will rise to 70% by 2000. Head Start serves fewer than one in six eligible children.

Our schools are failing. Many of them are simply not good enough to prepare our children for the demands of the twenty-first century. One-half million children drop out of school in the United States each year. Poor teenagers are three times more likely than other teens to drop out and are four times more likely to have below-average basic skills.

Between 1979 and 1986 there was a 60% increase in the reported cases in which children were endangered by abuse or neglect. In 1986, 2.2 million children were reported abused, neglected, or both.

The fastest growing segment of the homeless population in America is families with children. Every night an estimated 100,000 children go to sleep homeless.

The U.S. teen pregnancy rate is twice as high as that of other industrialized countries. Two in every five American girls get pregnant and one in every five American girls bears a child before the age of 20. The vast majority are not married.

Many sources of public help, especially at the national level, have shrunk. Low-income housing assistance is down 70% since 1980; federal help for elementary and secondary education is down 22.4% from 1979; the AFDC grant for subsistence in a median state has fallen by 37% since 1970; and the main federal program to place doctors in underserved areas of the country has lost more than 90% of its doctors.

See generally *Child Poverty in America*, Children's Defense Fund, Washington, D.C. (1991). See also *Five Million Children: A Statistical Profile of our Poorest Young Citizens*, National Center for Children in Poverty, New York, Columbia University (1990) at pp. 13-15 and *Preserving African American Families*, NABSW, Detroit, (1991).

In spite of the current tragic conditions for children, we must be reminded that children may be faring better today than ever before in the history of mankind. When one reads the accounts in *The History of Childhood*, ed. Lloyd de Mause, New York, Peter Bedrick Books (1988), it becomes evident that we have made progress, even though much more needs to be accomplished.

<sup>266</sup>In Marion County in 1991 the Presiding Judge of the Juvenile Court and the City-County Council have been struggling over budget cuts and services for children. The City-County Council decided that \$178,000 would be adequate to provide for services to runaway children, while Judge Payne concluded that \$258,000 would be necessary. City-County Council members called it "budget overspending," while Judge Payne said the issue is "whether the community is committed to providing the services required of it by state law." "Judge, Council at Odds Again," *The Indianapolis News* 1 Aug. 1991, section B., p. 1; "Juvenile Court Judge Upheld in Clash with Child Welfare Agency," by Terry Truong, "Youth Law News," *Journal of the National Center for Youth Law*, San Francisco (July-August 1991) 19-20, citing *Department of Human Services v. Clark*, 304 Ark. 403, 802 S.W.2d 461 (Ark. 1991).

<sup>267</sup>*In re R.M.*, 697 S.W.2d 205 (Mo.App.1985); *In re Parker*, 310 A.2d 414 (1973); *Arkansas Department of Human Services v. Clark*, 802 S.W.2d 461 (Ark. 1991).

<sup>268</sup>Judicial Authority and Responsibility: 18 Recommendations on Issues in Delinquency and Abuse/Neglect Dispositions," NCJFCJ, Reno (Jan. 1989), *op. cit.* footnote 218, at p. 15.

<sup>269</sup>*School Board of Seminole County v. Leffler*, 372 So.2d 481 (Fla.App. 1985); *Matter of Jackson*, 352 S.E.2d 449 (N.C.App.1987); *Matter of J. J.*, 431 A.2d 587 (D.C.App.1981); *Gary H. v. Hegstrom*, 831 F.2d 1430 (9th Cir.1987); *In the Interest of J.M.N.*, 464 N.W.2d 811 (Neb.1991).

order the development of new resources where evidence shows such to be both reasonable and necessary seems sufficiently limited to protect against a judge improperly upsetting the delicate balance between the budgetary process and judicial orders for resources. It is a method which will ensure that the legislative mandates are in fact carried out by the juvenile court.

## VI. Conclusion

Can the juvenile court fulfill its mandate? Can the juvenile court judge complete the tasks assigned by the legislature? Many have said no, that the juvenile court is a failed institution, an experiment that did not work. Judge William Gladstone states "Sadly, there is no longer an expectation in juvenile justice."<sup>270</sup> Professors Wolfgang, Feld and Ainsworth write that it is time to abolish the juvenile court.<sup>271</sup>

On the other hand, it appears that the juvenile court is the best institution available to hold society responsible for raising its children to adulthood.<sup>272</sup> The success of the juvenile court will depend on its ability to address the factors identified in this paper. Internally it means that the juvenile court must have the status of other courts, the judges must have the status of other judges serving the legal system, and they must be selected based on interest and ability. The juvenile court judges must serve for substantial periods of time or in a unified family court, so they can fulfill the complex roles both in and out of the court.

Externally, the juvenile court must ensure that the juvenile system is working effectively. If all cases were to be brought before the court—every delinquent, status offending or dependent child—the court would be overwhelmed and would surely

fail. In order for the juvenile court to succeed the system must be able to resolve a majority of cases effectively and satisfactorily long before they reach the courtroom. The system must provide appropriate sanctions and services at different junctures depending on the seriousness of the case. In addition, there must be an array of dispute resolution options available to the children and families who might otherwise come before the court. As Judge Robert Page has stated,

I have a dream of a [family] court where the smallest room, and the least utilized, is the courtroom; where the parties have attempted to get through all the other rooms first, where the courtroom is not the preferred room to resolve disputes.<sup>273</sup>

In order for such a system to be in place, the juvenile court judge must take an active leadership role in its formation, coordination and maintenance.<sup>274</sup>

Assuming that the juvenile court is able to establish itself within each community as the important social and legal institution the legislature has declared it to be, and assuming that the juvenile court is led by dedicated and talented juvenile court judges, the work of the court has just begun.

<sup>270</sup>Gladstone, *op. cit.* footnote 12.

<sup>271</sup>Wolfgang, *op. cit.* footnote 118; Feld, *op. cit.* footnote 37; Ainsworth, *op. cit.* footnote 32.

<sup>272</sup>"I believe that a reconstituted juvenile court could best exercise the leadership necessary to hold society and its institutions responsible for seeing that children are empowered to attain full citizenship." Hartmann, *op. cit.* footnote 2, at p. 390.

<sup>273</sup>Statement by Judge Robert W. Page at the First Key Issues Faculty Consortium Meeting, Teaneck, N.J., May 27, 1988, cited in "Court-Approved Alternative Dispute Resolution: A Better Way to Resolve Minor Delinquency, Status Offense and Abuse/Neglect Cases," NCJFCJ, Reno (1989), *op. cit.* footnote 76, at p. 3. ". . . non-adversarial problem solving techniques employed outside the legal system hold the greatest promise for weaning the juvenile court from its growing dependence on litigation. . . to shift the emphasis toward nonadversarial methods of decision-making, and to reserve litigation for cases that are not amenable to less formal and, from the consumer's perspective, less frightening, threatening, and stigmatizing proceedings." "A Limited Role for the Legal System in Responding to Maternal Substance Abuse During Pregnancy" by John E. B. Myers, *Notre Dame Journal of Law, Ethics & Public Policy*, *op. cit.* footnote 258, at p. 777.

<sup>274</sup>"The court has the role of holding these institutions responsible for fulfilling their mandate, and of making quick response to institutional failures regarding children. If it is to fulfill this role, it will be necessary to develop accountability measures for these institutions and to find ways of initiating action when necessary." Hartmann, *op. cit.* footnote 2, at page 391.

To address the problems encompassed by the jurisdiction of the juvenile court, we as a society will have to improve our commitment to children and families. It is no easy task to provide the organization and authority so that delinquent youths understand the wrongs they have done and are redirected toward more positive goals, so that truants are persuaded to and assisted in the completion of their education, so that abusive and neglectful parents are educated about proper child rearing or so that children without adequate parents are given a permanent home. Our institutions will have to share the goal of assisting children become productive members of society. Partnerships and cooperative relationships will have to be developed among all who have responsibilities towards children.

Our juvenile courts and the systems in which they work cannot complete these tasks alone. We will have to persuade law enforcement that they are an important part of the solution, that they can offer effective interventions for many of the cases they encounter.<sup>275</sup> We will have to persuade community-based organizations that they are also part of the solution and that they must be prepared to cooperate with agencies to work with children and their families. We will have to persuade corporations and businesses that they are a part of the solution -- that they can offer resources, energy and expertise to families and children who might otherwise come within the juvenile court jurisdiction. We will have to persuade the schools that they are also a part of the solution because there is so much they can offer to these children and their families.

All Americans must work together if we are to succeed.<sup>276</sup> Private citizens, businesses and communities cannot safely assume that government will provide adequate solutions to these problems.<sup>277</sup> No person, no agency, no court can manage these problems alone. Only through the creation of a working coalition of schools, law enforcement, agencies, community based organizations, corporations and businesses and the courts can we be effective in accomplishing the goals of the juvenile law.

There is reason for some optimism. The tasks of the juvenile court and the juvenile court judge -- protecting children, preserving families, rehabilitating youth, protecting the community and holding children and families accountable for their behavior -- are supported by the community at large.<sup>278</sup> Voters have affirmed their commitment to children.<sup>279</sup> Volunteers offer countless time and energy to assist children and families.<sup>280</sup> The task for the juvenile court is to rally the support, to harness this energy, and to offer opportunities for our goodwill and love towards children to be expressed.

The optimism is also based upon the discovery and utilization of more effective techniques and strategies for intervening in the lives of children and families. No one has expressed this better than Lisbeth Schoor.

But the prospects of even the most vulnerable children can be changed. Even for the children growing up in neighborhoods where poverty, social dislocation, and other deterrents to healthy development are concentrated, there is reason

---

<sup>275</sup>An example of the ways in which working partnerships can be developed between the law enforcement, the courts, social services, public health, and medical services is contained in the Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases. Recognizing that the sharp increase of babies born exposed to drugs (between 375,000 to 739,200 a year) presents grave threats to the success of our next generation, this publication outlines both recommended public policy and the roles and responsibilities of the different agencies which deal with the babies, their mothers, and families. Since each of these cases in theory has the potential of coming before the juvenile court, the protocol describes an oversight role for the court while recognizing that most cases should be resolved by interventions short of formal court proceedings. "Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases," *op. cit.* footnote 86.

<sup>276</sup>The law is not equal to the whole task of social control. Delinquency presents a problem far too complex to be dealt with by a single method. Hence in this field cooperation is peculiarly called for and is called for in a very wide field. If a socialized criminal justice is to achieve all that it may, we must be thinking about more than cooperation of judge and probation officer and social worker. These must cooperate, or at least be prepared to cooperate with the community organizer, the social engineer, the progressive educator, the social coordinator, the health officer, the clergyman, and the public spirited promoter of legislation." Pound, Dean Roscoe, "The Juvenile Court and the Law." *Year Book*, 1944, National Probation Association (1945) 1-22.

<sup>277</sup>"Together, let us bring preventive government, wise enough to invest in children as well as infrastructure, determined to shift from the remedial to the preventive. . . ." From the Inaugural Address by Governor Pete Wilson, Sacramento, CA, January 7, 1991.

<sup>278</sup>The times are changing, perhaps more rapidly than might be imagined. [P]eople not only want to help children generally, they want particularly to help the children who are living in poverty. . . . Politicians who ignore these pleadings from the American people do so at their own peril. It is a plaintive and poignant demand that simply will not go away." Louis Harris Poll, 1986, reported in *Within Our Reach: Breaking the Cycle of Disadvantage* by Lisbeth B. Schoor, Anchor Press, New York (1988) 294.

<sup>279</sup>"S.F. Voters Approve 'Kids Amendment'," *San Francisco Chronicle*, 6 Nov. 1991.

<sup>280</sup>"As Social Need Rises, So Does Volunteerism" by J. Peder Zane. *The New York Times NATIONAL* 6 Jan. 1992, at p. A1 and A12; "Paying to Train Volunteers to Work with the Neediest" by J. Peder Zane, *The New York Times NATIONAL* 6 Jan. 1992, at p. A12. And see text regarding the CASA movement at footnote 209.

to hope that much of the gravest and most lasting harm can indeed be prevented.<sup>281</sup>

It lies within our reach, before the end of the twentieth century, dramatically to improve the early lives of several million American children growing up at grave risk. We can substantially improve the odds that they will become healthy, sturdy, and productive adults, participants in a twenty-first century America whose aspirations they will share.<sup>282</sup>

Preserving families, protecting children, controlling delinquency and providing guidance and intervention on behalf of tomorrow's citizens are essential to our country's continued viability. The legislature has directed the juvenile court and

the juvenile court judge to respond to the most serious problems encountered by children and families. Juvenile court judges can provide leadership in the organization of the court systems and the community around the needs of children and families. The success of these ambitious endeavors will ultimately depend on our ability to ensure that the juvenile court is equipped to complete its tasks and that society and its institutions are prepared to assist in the goal of rearing its children.

*Author's Address*

Judge Leonard P. Edwards  
Santa Clara County Superior Court  
191 North First Street  
San Jose, California 95113

## *About the Author*

Leonard P. Edwards is a Judge of the Santa Clara County Superior Court. In that capacity he has served as Supervising Judge of the Family Court and for six years was the Presiding Judge of the Juvenile Court. He is now the Presiding Judge of the Superior Court.

Judge Edwards has been active locally and nationally in juvenile and family law. He is the Chair of the Juvenile Court Judges of California and a member of the Foundation Board of the National Council of Juvenile and Family Court Judges. He has taught juvenile and family law at the University of Santa Clara Law School, Stanford Law School and at the California Judicial College. Judge Edwards has also written widely in both juvenile and family law.

Judge Edwards is married to Professor Inger Sagatun, and they have two sons, Erik, 16, and Don, 12.

<sup>281</sup>*Within Our Reach: Breaking the Cycle of Disadvantage* by Lisbeth B. Schorr, *op. cit.* footnote 253, at p. 22.

<sup>282</sup>*Ibid.* at p. 292.

## Important Note to Authors

The National Council of Juvenile and Family Court Judges is pleased to announce to all prospective authors, we can now process your manuscripts from computer disks. Either 5-1/4" or 3-1/2" inch floppy disks are acceptable (**IBM PC Compatible only -- No Macintosh please**). Usable word processing program formats are: WordPerfect 4.2, 5.0 or 5.1; Word 4.0; WordStar 3.3; Revisable-Form-Text (IBM DCA Format); Final-Form-Text (IBM DCA Format); and MultiMate Advantage II. ASCII text formats are also acceptable. **Please indicate on all disk labels which word processing program you used.** Include your complete name, title, mailing address, telephone number and fax (if available) in a cover letter and one hard copy of your manuscript with the diskette(s). All diskettes will be returned upon written request.

All other manuscripts must be submitted as follows:

Send four copies of all manuscripts. Do not use "easy erasable" paper as the type will rub off in handling. Include your complete name, title, mailing address, telephone number and fax (if available) in a separate cover letter.

Title and author's name(s) should be typed on a separate cover page. **Type the manuscript double-spaced with one-inch margins on each page.** Number each page of the manuscript, at the bottom, centered. Primary headings should be typed centered, and secondary headings should be typed at the left-hand margin. **All footnotes and references should be typed double-spaced on separate pages at the end of the manuscript.**

The editor will notify authors upon receipt of their manuscripts. All articles must be approved for publication by the Publications Policy Group. Upon approval, authors will be notified by the editor.

The *Juvenile & Family Court Journal* is not responsible for unsolicited manuscripts.

### IDENTIFICATION STATEMENT

The *JUVENILE & FAMILY COURT JOURNAL* (ISSN 0161-7109) is published quarterly for \$40 per year by the National Council of Juvenile and Family Court Judges, University of Nevada-Reno Campus, 1041 North Virginia Street, Third Floor, Reno, Nevada 89557. Second-class postage paid at Reno, Nevada and additional mailing offices. POSTMASTER: Send address changes to *JUVENILE & FAMILY COURT JOURNAL*, P.O. Box 8970, Reno, Nevada 89507.

**National Council of Juvenile and  
Family Court Judges:  
Serving Judges, Youth and the Community**

The National Council of Juvenile and Family Court Judges has been dedicated, since its founding in 1937, to improving the nation's diverse and complex Juvenile Justice system. The Council understands that an effective Juvenile Justice system must rely on highly skilled Juvenile and Family Court Judges, and has directed an extensive effort toward improving the operation and effectiveness of juvenile and family courts through highly developed, practical and applicable programs and training. Since 1969 the Council, through its Training Division, the National College of Juvenile Justice, has reached more than 150,000 Juvenile Justice professionals with an average of 50 training sessions a year – a record unparalleled by any judicial training organization in the United States.

The Council recognizes the serious impact that many unresolved issues are having upon the Juvenile Justice system and the public's perceptions of the problem as they affect, through legislation and public opinion, the Juvenile Court.

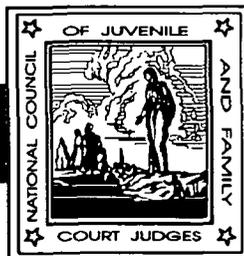
Serving as a catalyst for progressive change, the Council uses techniques which emphasize implementing proven new procedures and programs. Focus on meaningful and practical change and constant improvement is the key to the Council's impact on the system.

The Council maintains that Juvenile Justice personnel, and especially the nation's Juvenile and Family Court Judges, are best equipped to implement new concepts and other proposed improvements. The most effective method of bringing about practical and necessary changes within the Juvenile Justice system is through that system, and particularly through the judges themselves. Continuing, quality education is a keystone in producing this change.

The Council facilities, located at the University of Nevada, Reno, include modern classrooms and a law library. The Council uses its own housing facility to provide economical lodging and meals for both faculty and participants. These facilities offer an attractive environment for Judges to explore practical solutions toward the betterment of Juvenile Justice. The Council, with its National Center for Juvenile Justice in Pittsburgh, maintains a staff of more than 50.

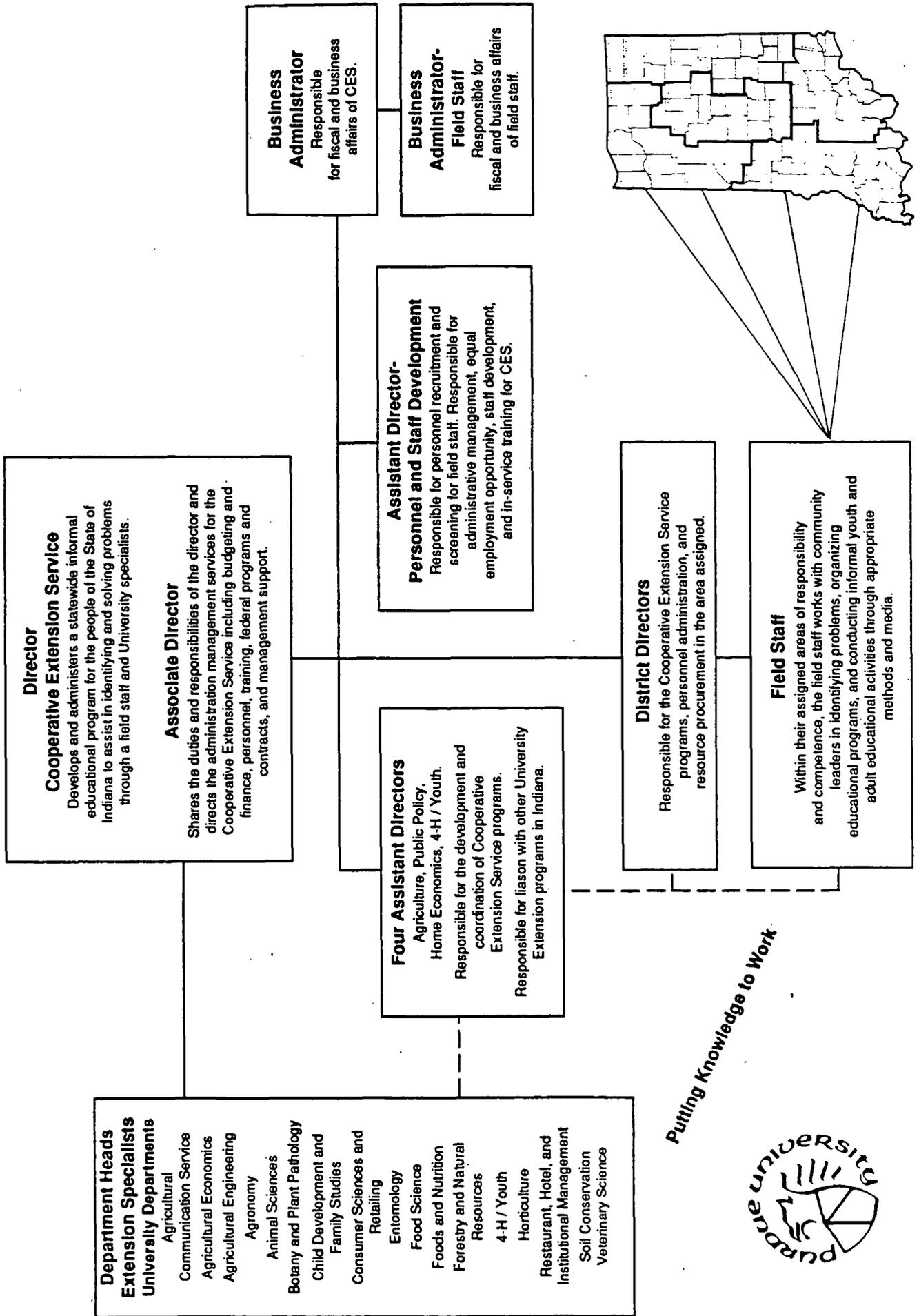
For further information on the Council's activities, projects, and publications, write:

**NCJFCJ  
P.O. Box 8970  
Reno, NV 89507**

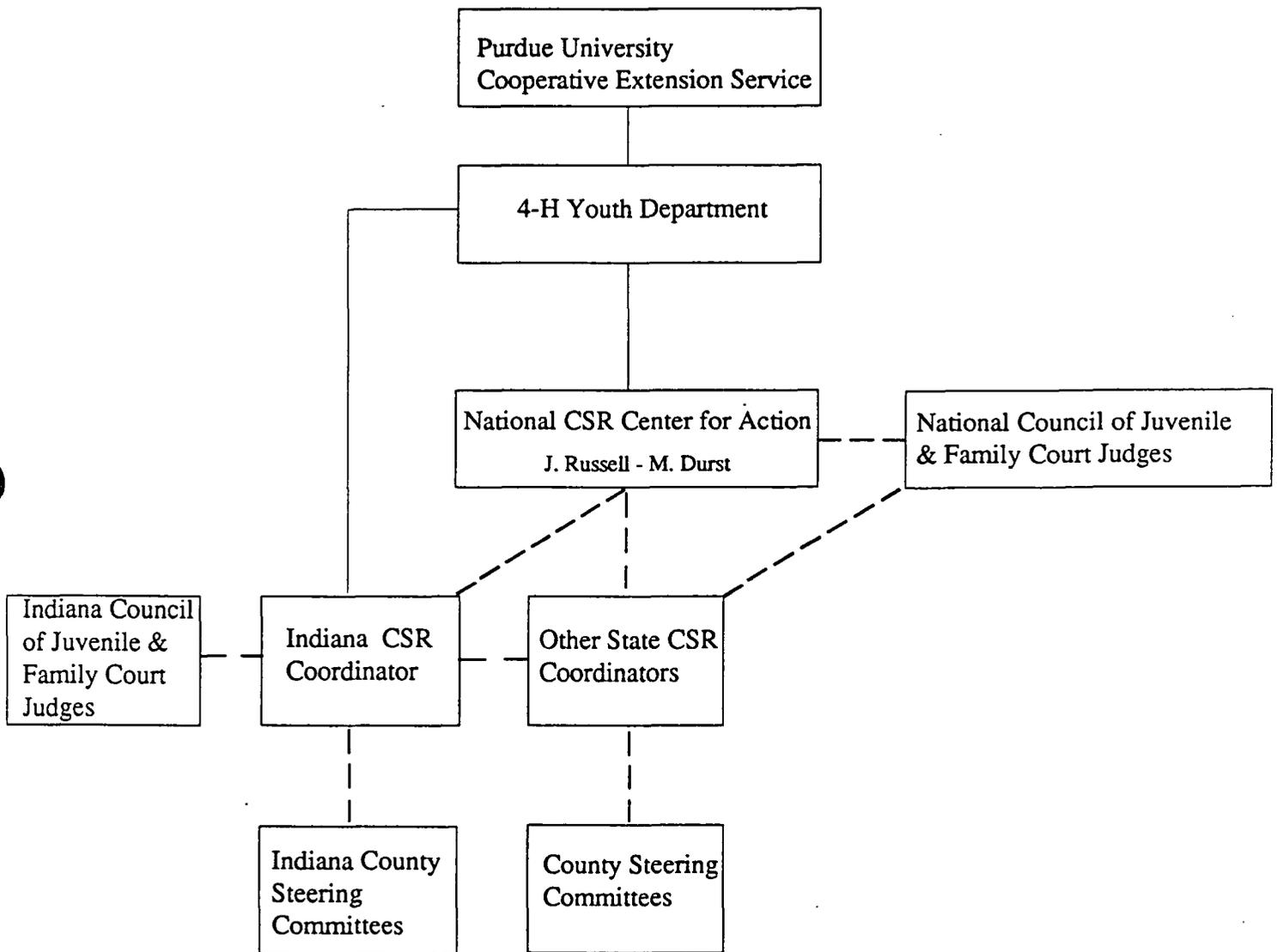


ORGANIZED MAY 22, 1937

# Purdue University Cooperative Extension Service



# Community Systemwide Response Program (CSR) Organizational Chart



---

---

**C. INTENSIVE YOUTH LEADERSHIP TRAINING**

1. Are opportunities to participate in intensive leadership programs (e.g. Teen Institutes, TeamSpirit) available to youth in your community?

\_\_\_ No (Skip to Section D) \_\_\_ Yes (Complete Question 2-3)

2. List the names of the leadership training programs available to youth in your community and the number of student slots each program offers to your community's youth.

Name of Program	Number of Slots
_____	_____
_____	_____
_____	_____

3. Have graduates of youth leadership training programs developed or sponsored impaired driving prevention activities in your community?

\_\_\_ No \_\_\_ Yes

If Yes, what activities have been sponsored?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**D. YOUTH-TO-YOUTH PROGRAMS**

1. Are any youth-to-youth programs available in your community (e.g., peer counseling, cross-age tutoring, etc.)?

\_\_\_ No (Skip to Section E) \_\_\_ Yes (Complete Question 2)

- 
- 
2. Please list the youth-to-youth programs available in your community, the sponsor of the program, and the approximate numbers of youth involved.

Program Name	Sponsor	Number of Youth Involved
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**E. ALTERNATIVE TRANSPORTATION PROGRAMS**

1. Does your community have a Safe Rides Program?

\_\_\_ No (Skip to Question 6) \_\_\_ Yes (Complete Questions 2-5)

2. Who sponsors the Safe Rides program? \_\_\_\_\_

3. Is the Safe Rides program available

\_\_\_ Every night

\_\_\_ Weekends only

\_\_\_ Special times only (e.g., holidays)

4. How is the Safe Rides program publicized?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

5. Does the Safe Rides program have any special policies concerning providing services to intoxicated minors?

No  Yes (Describe) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Are parent/student contracts promoted in your community?

No  Yes (attach a copy of the contract)  
If Yes:  
By whom? \_\_\_\_\_

7. Are designated driver programs *for youth* promoted in your community?

No  Yes  
If Yes:  
By whom? \_\_\_\_\_  
What is the reaction of community prevention professionals to this program?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Are provisions made to ensure a no-use message is part of this program?

No  Yes (Explain) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

### III. COMMUNITY-BASED PROGRAMS

1. Are there any attempts made to monitor or describe youth alcohol and drug use and impaired driving on a community-wide basis in your community?

No  Yes

If Yes:

Are data gathered on a regular basis?

No  Yes (Describe) \_\_\_\_\_

What data are collected? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### A. PARENT EDUCATION AND TRAINING PROGRAMS

1. Are parent education programs (e.g., programs for general population parents) concerning alcohol, drugs, or impaired driving issues offered for parents in your community?

No (Skip to Question 5)  Yes (Complete Questions 2-4)

2. List the parent education programs offered in your community, the program sponsor, the length of the programs (i.e., number of sessions or hours), the approximate numbers of parents served each year, and the content of the programs (use content codes on next page).

Program Name	Length	Sponsor	Number of Parents Served	Content
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

---

---

**Content Codes**

- |  |  |
|--|--|
| a. <b>Scope of the problem</b>   | d. <b>Discipline methods</b>                 |
| b. <b>Ways to talk to youth about alcohol, drugs, and impaired driving</b> | c. <b>Family communication</b>               |
| c. <b>Effects of parents use on youth</b>                                  | d. <b>Warning signs of youth involvement</b> |
|  | e. <b>Community helping resources</b>        |

3. Do any of the above education programs actively seek the involvement of parents of high-risk youth?

\_\_\_ No \_\_\_ Yes

If Yes:

Which programs seek the involvement of parents of high risk youth?

---

---

---

How is the involvement of such parents sought?

---

---

---

4. Do any of the parent education programs in your community use special incentives to encourage parents to participate?

\_\_\_ No \_\_\_ Yes (Describe)

---

---

---

---

5. Are parent training programs (i.e., intensive, individualized programs for parents or families experiencing problems) available in your community?

\_\_\_ No (Skip to Section B) \_\_\_ Yes (Complete Question 6)

6. List parent training programs offered in your community, program sponsor, eligibility criteria, and approximate numbers of parents served each year.

Program Name	Sponsor	Eligibility Criteria	Numbers of Parents Served
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**B. PARENT-TO-PARENT PROGRAMS**

1. Are there any parent-to-parent groups (e.g., parent support groups, concerned parents groups, Safe Homes programs) currently operating in your community?

\_\_\_ No (Skip to Section C) \_\_\_ Yes (Complete Questions 2-4)

2. List the parent-to-parent groups in your community and their approximate membership size.

Group Name	Approximate Membership
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

3. Describe the activities of the parent-to-parent groups operating in your community.

---

---

---

---

---

4. Do any of the above parent-to-parent programs actively seek the involvement of parents of high-risk youth?

No  Yes

If Yes:

Which programs seek the involvement of parents of high risk youth?

---

---

---

How is the involvement of such parents sought?

---

---

---

**C. COMMUNITY TASK FORCES**

1. Is there a task force in your community to address youth alcohol, drug, and impaired driving issues?

No (Skip to Section D)  Yes (Complete Questions 2-8)

2. Name of the Task Force (if it has one) \_\_\_\_\_

3. What community agencies are represented on the task force?

---

---

---

---

---

---

---

---

4. Are parents or youth represented on the task force?

Parents only  Youth only  Both

5. How long has the task force been in existence? \_\_\_\_\_

6. What are the primary objectives of the task force?

---

---

---

---

---

---

---

---

7. How often does the task force meet?

Sporadically  Regularly (how often?) \_\_\_\_\_

Is not now meeting

8. Has the task force received funding or technical assistance from any national organizations?

No  Yes

If Yes, which organizations? \_\_\_\_\_

---

---

---

9. To date, what have been the accomplishments of the task force?

---

---

---

---

---

---

---

---

---

---

10. What are the current plans for the future?

---

---

---

---

---

---

**D. CONTROLLING YOUTH ACCESS TO ALCOHOL AT LARGE PUBLIC EVENTS**

1. Are there large public events held in your community (e.g., sporting contests, concerts, fairs) where alcohol is served?

\_\_\_ No (Skip to Section IV) \_\_\_ Yes (Complete Questions 2-3)

2. At which public events is alcohol served?

---

---

---

---

---

---

---

---

3. Are there any special strategies or programs used in your community to limit youth access to alcohol at these large public events?

\_\_\_ No (Skip to Section E) \_\_\_ (Complete Question 4)

4. What special strategies or programs are used?

---

---

---

---

---

---

---

---

---

---

---

---

**E. OTHER ORGANIZATIONS IN THE COMMUNITY**

1. Do any service organizations (e.g., Elks, Kiwanis) sponsor alcohol, other drug or impaired driving prevention programs for youth?

\_\_\_ No \_\_\_ Yes

If Yes, describe:

---

---

---

---

---

---

2. Do any religious organizations in the community sponsor alcohol, other drug, or impaired driving prevention programs for youth?

\_\_\_ No \_\_\_ Yes

If Yes, describe:

---

---

---

---

3. Do any youth organizations (e.g., Boys' Clubs, Girls' Clubs, YMCA) in the community sponsor alcohol, other drug, or impaired driving prevention programs for youth?

\_\_\_ No \_\_\_ Yes

If Yes, describe:

---

---

---

---

4. Are any impaired driving citizen action groups (e.g. MADD, RID) active in your community?

\_\_\_ No \_\_\_ Yes

If Yes, which ones?

---

---

---

---

---

---

## IV. WORK-BASED PROGRAMS

1. Which businesses or work-settings in your community employ large numbers of youth?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

For each business or work-setting listed above, complete Sections A and B.

2. What other businesses or work-settings in your community are major employers?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

For each business or work-setting listed above, complete Section B.

3. What are the major retail outlets for alcoholic beverages in your community?

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

For each retail outlet listed above, complete Section C.

---

---

4. What are the major businesses in your community patronized by youth (movie theaters, malls, convenience stores, etc).

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

For each business listed above, complete Section D.

---

---

**A. POLICIES AND EDUCATIONAL PROGRAMS**

*Note: Complete for each business or work-setting listed in Question 1 at the beginning of this section.*

1. Name of business or work-setting \_\_\_\_\_
  
2. What is the nature of the work performed by youth?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. Approximately how many young people does this business or work-setting employ?  
\_\_\_\_\_
  
4. Does this business or work-setting have a written policy concerning alcohol, drug, and/or safety belt use while on the job?  
\_\_\_\_ No (Skip to Question 8) \_\_\_\_ Yes (Complete Questions 5-7)
  
5. Does the policy apply to  
\_\_\_\_ Alcohol use only  
\_\_\_\_ Drug use only  
\_\_\_\_ Safety belt use only  
\_\_\_\_ Alcohol and safety belt use
  
6. What are the key features of the policy (be sure to get a copy)?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
7. How is this policy publicized to employees?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Does this business or work setting conduct any educational or awareness campaigns for employees concerning alcohol, drug, impaired driving, and/or safety belt use?

No (End of Section )  Yes (Complete Questions 9-10)

9. What is the focus of the educational or awareness campaign?  
(check all that apply)

Alcohol use

Drug use

Impaired driving

Safety belt use

10. What educational or awareness raising activities are used?

Posters in the work-site

Pay envelope stuffers

Optional seminars, workshops, or talks

Mandatory seminars, workshops, or talks

Other \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

**B. EMPLOYEE ASSISTANCE PROGRAMS**

*Note: Complete for each business or work-setting listed in Question 1 and/or Question 2 at the beginning of this section.*

1. Name of business or work-setting \_\_\_\_\_
  
2. What is the nature of the work performed?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. Approximately how many people does this business or work-setting employ?  
\_\_\_\_\_
  
4. Does this business or work-setting have an employee assistance program?  
\_\_\_ No (End of Section) \_\_\_ Yes (Complete Question 5-7)
  
5. What services are offered (check all that apply)?  
\_\_\_ Identification of troubled employees  
\_\_\_ Assessment  
\_\_\_ Referral  
\_\_\_ Professional counseling offered at the work-site  
\_\_\_ Support groups (list) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_ Education groups (list) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

---

6. Are the services of the employee assistance program available to employees' family members?

No  Yes

If Yes:

To which family members are they available (check all that apply)?

Spouse

Children

Other \_\_\_\_\_

7. Does the employee assistance program have any special services or activities for youth employees?

No  Yes

If Yes, what are these special services or activities?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

---

**C. CONTROL OF ALCOHOL SALES TO MINORS**

*Note: Complete for each retail alcohol outlet listed in Question 3 at the beginning of this section.*

1. Name of retail outlet \_\_\_\_\_
  
2. Type of business (bar, restaurant, package store, convenience store, gas station, grocery, etc.)  
\_\_\_\_\_
  
3. Type of license (check more than one if applicable)  
 On premises beer and/or wine  
 On premises beer/wine/liquor  
 Off premises beer and/or wine  
 Off premises beer/wine/liquor
  
4. Does this outlet have a written policy concerning sales to minors?  
 No (Skip to Question 7)  Yes (Complete Questions 5-6)
  
5. What are the key features of the policy (be sure to get a copy)?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
  
6. How is this policy publicized to employees?  
\_\_\_\_\_  
\_\_\_\_\_
  
7. Does this outlet *prominently* announce or advertise the fact that it will not sell alcoholic beverages to minors?  
 No (Skip to Question 9)  Yes (Complete Question 8)

---

---

8. How does the outlet announce or advertise the fact that it will not sell alcoholic beverages to minors?

\_\_\_ Signs (describe) \_\_\_\_\_

\_\_\_ Posters (describe) \_\_\_\_\_

\_\_\_ Buttons worn by employees (describe) \_\_\_\_\_

\_\_\_ Mass media (describe) \_\_\_\_\_

\_\_\_ Other (describe) \_\_\_\_\_

\_\_\_\_\_

9. Do employees of this establishment receive training in their role as servers or sellers of alcoholic beverages?

\_\_\_ No (Skip to Question 14) \_\_\_ Yes (Complete Questions 10-13)

10. How many hours of training are provided? \_\_\_\_\_

11. Who provides the training? \_\_\_\_\_

12. What topics are covered?

\_\_\_ Checking I.D.'s

\_\_\_ Identifying false I.D.'s

\_\_\_ Preventing second party sales (adults buying for minors)

\_\_\_ Refusing sales or service to belligerent or intoxicated patrons

\_\_\_ Other \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

---

13. What training methods are used?

Lectures

Audiovisual presentations

Demonstrations

Role playing

Other \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

14. Does this outlet provide employees with booklets displaying the valid identification cards or drivers licenses of all U.S. states and territories?

No  Yes



---

---

**E. BUSINESS SPONSORSHIP OF COMMUNITY PREVENTION EFFORTS**

1. Do any businesses in your community contribute financial or other resources to your community's efforts to prevent youth impaired driving?

\_\_\_ No (Skip to Question 3) \_\_\_ Yes (Complete Question 2)

2. Which businesses have contributed and what was the contribution?

Business	Contribution
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

3. Have any businesses expressed an *interest* in contributing resources to your community's efforts to prevent youth impaired driving?

\_\_\_ No \_\_\_ Yes

If Yes, which ones?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

---

## V. ENFORCEMENT PROGRAMS

*Note: Complete this section separately for each law enforcement agency that has jurisdiction in your community.*

Name of Law Enforcement Agency \_\_\_\_\_

### A. LAW ENFORCEMENT TRAINING PROGRAMS

1. Is training in youth alcohol, drug, and impaired driving issues offered to *command* personnel in this department?

\_\_\_ No (Skip to Question 5) \_\_\_ Yes (Complete Questions 2-4)

2. Indicate how often training is offered to command personnel, whether or not training is mandatory, and general content areas (use content codes).

How Often?	Mandatory?	Content
_____	Y N	_____

Content Codes:

- |   |                                 |
|---|---------------------------------|
| a. Scope and seriousness of the problem | c. Deployment of line personnel |
| b. Setting departmental policy          | d. Other _____<br>_____         |

3. Who provides the training? \_\_\_\_\_

4. Was the training

\_\_\_ Developed by this law enforcement agency?

\_\_\_ Developed elsewhere (where)? \_\_\_\_\_

5. Is training in youth alcohol, drug, and impaired driving issues offered to *line officers* in this department?

\_\_\_ No (Skip to Section B) \_\_\_ Yes (Complete Questions 6-8)

6. Indicate how often training is offered to line officers, whether or not training is mandatory, and general content areas (use content codes).

How Often?	Mandatory?	Content
_____	Y N	_____

Content Codes:

- |  |  |
|--|--|
| a. Scope and seriousness of the problem  | d. Field identification of impairment  |
| b. Methods for patrolling areas when youth drinking and impaired driving occur | e. Use of passive sensors  |
| c. Methods for discouraging underage purchase of alcohol                       | f. Opportunities for community involvement e.g., Officer Friendly, talks to parents groups |
| g. Other _____   |  |

7. Who provides the training? \_\_\_\_\_

8. Was the training

\_\_\_ Developed by this law enforcement agency?

\_\_\_ Developed elsewhere (where)? \_\_\_\_\_

**B. ENFORCEMENT PRACTICES**

1. Does this department conduct patrols focused on the days, hours, and locations where youth drinking and impaired driving are most likely to occur?

\_\_\_ No (Skip to Question 4) \_\_\_ Yes (Complete Questions 2-3)

2. Days and hours when focused patrols take place:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Locations where focused patrols take place:

---

---

---

---

4. What *specific* steps does this department take to enforce the minimum alcohol purchase age?

---

---

---

---

---

---

5. Does this department have a specific system for identifying youth parties and "keggers" where alcohol will be served?

No (Skip to Question 9)  Yes (Complete Questions 6-8)

6. Who cooperates with the department in the system for identifying parties (Check all that apply)?

School personnel

Parents

Youth

Other \_\_\_\_\_

7. How does the system operate? \_\_\_\_\_

---

---

---

---

---

8. In the past twelve months, approximately how many youth parties or keggers

Have been prevented? \_\_\_\_\_

Have been broken up? \_\_\_\_\_

9. What *specific* steps are taken to enforce minor in possession of alcohol laws?

---

---

---

---

---

---

10. Have efforts been made in this department to streamline arrest procedures for youth alcohol-related offenses? (Note: This question should be asked of both command and line personnel)

\_\_\_ No, they are satisfactory as they are

\_\_\_ No, but the procedures are too cumbersome as they are

\_\_\_ Yes (describe how the procedures have been streamlined):

---

---

---

---

---

---

11. Does the department have *special* policies for handling youth impaired drug offenses?

\_\_\_ No \_\_\_ Yes

If Yes, describe:

---

---

---

---

---

---

12. Are the youth drinking and impaired driving enforcement efforts of this department publicized to youth in the community?

No  Yes

If Yes, what publicity efforts have been undertaken?

---

---

---

---

---

---

---

## VI. LICENSING

*Note: This section refers primarily to the laws and regulations governing drivers licensing in your state.*

1. Does your state mandate administrative license revocation for impaired driving offenses?

No  Yes

If Yes, what are the provisions of the law?

---

---

---

---

---

---

---

2. Does your state require distinctive licenses for youth?

No  Yes

If Yes, describe the differences between youth and adult licenses:

---

---

---

---

---

3. Does your state have a provisional licensing system for novice drivers?

No (Skip to Question 10)  Yes (Complete Questions 4-9)

4. What ages are included in the provisional licensing system?

\_\_\_\_\_

---

---

5. Does your state's provisional licensing system mandate parent supervised driving?

No  Yes

If Yes, describe the provisions for supervised driving:

---

---

---

---

6. Does your state's provisional licensing system mandate nighttime driving restrictions for youth?

No  Yes

If Yes, describe the restrictions:

---

---

---

---

7. Does your state's provisional licensing system mandate pre-licensing education courses for youth?

No  Yes

If Yes, describe the courses:

---

---

---

---

---

8. Does your state's provisional licensing system include a probationary period?

No  Yes

If Yes, describe the requirements for successfully completing the probationary period:

---

---

---

---

9. Does your state's provisional licensing system mandate driver improvement courses for youth who violate traffic laws?

No  Yes

If Yes, describe the courses:

---

---

---

---

10. In some jurisdictions, the drivers license is presented to youth and their parents in juvenile court. Is a special licensing ceremony ever used in your community?

No  Yes

11. What *specific* steps are taken in your state to prevent the fraudulent acquisition of a drivers license?

---

---

---

---

---

---

---

12. Does your state mandate specific penalties for the manufacture or distribution of fraudulent licenses?

No  Yes

If Yes, what are the penalties:

---

---

---

---

13. Does your state mandate specific penalties for the use of fraudulent licenses?

No  Yes

If Yes, what are the penalties:

---

---

---

---

14. Does your state mandate drivers license revocation as a penalty for underage possession of alcohol or possession of drugs?

No  Yes

If Yes, describe the law:

---

---

---

---

---

---

---

---

15. Does your state or community publicize youth drivers licensing laws?

No  Yes

If Yes, how?

---

---

---

---

---

---

## VII. ADJUDICATION

*Note: If there is more than one court jurisdiction in your defined community, complete this section for each jurisdiction.*

1. Are juvenile impaired driving offenses in this jurisdiction adjudicated in?

\_\_\_ Juvenile Court \_\_\_ Adult Traffic Court \_\_\_ Both \_\_\_

Other \_\_\_\_\_

If Both, what determines jurisdiction?

\_\_\_\_\_  
\_\_\_\_\_

2. What are the mandatory and customary sanctions for a first offender youth impaired driver in this jurisdiction?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are there mandatory sanctions imposed?

\_\_\_ No \_\_\_ Sometimes \_\_\_ Always

3. What are the mandatory and customary sanctions for a repeat offender youth impaired driver in this jurisdiction?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are there mandatory sanctions imposed?

\_\_\_ No \_\_\_ Sometimes \_\_\_ Always

---

4. Does plea bargaining take place in youth impaired driving cases in this jurisdiction?

No  Yes

If Yes, under what circumstances?

---

---

---

5. Are juvenile impaired driving offenders ever diverted in this jurisdiction?

No  Yes

If Yes, under what circumstances?

---

---

---

6. Are parents involved in the adjudication of youth alcohol, drug, and impaired driving offenders?

No  Yes

If Yes, how are parents involved?

---

---

---

---

---

7. Has training in youth drug, alcohol, and/or impaired driving issues been offered to officers of the court in this jurisdiction?

No (Skip to Question 10)  Yes (Complete Questions 8-9)

8. For each of the following officers of the court, please indicate whether training has been offered, dates of the training, and general content areas (use content codes).

Officer	Offered?	Dates?	Content
Judges	Y N	_____	_____
Prosecutors	Y N	_____	_____
Probation Officers	Y N	_____	_____
_____	Y N	_____	_____
_____	Y N	_____	_____

Content Codes:

- |   |   |
|---|---|
| a. Scope of the problem   | e. Adolescent alcohol and drug treatment programs               |
| b. Status of current state legislation relating to youthful offenders | f. Coordination with police and state motor vehicle departments |
| c. Methods for screening and assessing youthful offenders             | g. Opportunities for school and community involvement           |
| d. Sanctioning options for youth alcohol and drug offenders           | h. More effective prosecution                                   |

9. Who conducted the training? \_\_\_\_\_

10. Are officers of the court in this jurisdiction involved in school or community efforts to combat youth drug and alcohol use and/or impaired driving?

\_\_\_ No \_\_\_ Yes

If Yes, who is involved?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

---

---

What form does this involvement take?

---

---

---

---

---

11. Are there court imposed procedures for arresting juvenile alcohol, other drug, and impaired driving offenders?

No  Yes

If Yes, describe:

---

---

---

---

---

---

---

---

## VIII. SUPERVISION

*Note: If there is more than one court jurisdiction in your defined community, complete this section for each jurisdiction.*

### A. ASSESSMENT AND TREATMENT SERVICES FOR OFFENDERS

1. Are any youth offenders assessed for alcohol or drug problems in this jurisdiction?

No (Skip to Question 7)  Yes (Complete Questions 2-6)

2. Under what circumstances are offenders assessed (check all that apply)?

Impaired driving arrest

Impaired driving conviction

Other drug or alcohol-related arrest

Other drug or alcohol-related conviction

Other \_\_\_\_\_

3. By whom is the assessment conducted?

\_\_\_\_\_  
\_\_\_\_\_

4. What assessment tools are used and for what purpose.

Tool

Purpose

_____	_____
_____	_____
_____	_____

5. To whom are assessment results reported?

\_\_\_\_\_

6. How are the assessment results used?

\_\_\_\_\_  
\_\_\_\_\_

7. Is outpatient adolescent alcohol and drug counseling available in this jurisdiction?

\_\_\_ No (Skip to Question 9) \_\_\_ Yes (Complete Question 8)

8. List the agencies that provide outpatient counseling in this jurisdiction, indicate the costs/ session of services, and indicate whether the agency is willing to or already does take court referrals.

Agency	Cost/Session	Takes Court Referrals?
_____	_____	Y N

9. Is in-patient, hospital-based, 28- day adolescent alcohol and drug treatment available in this jurisdiction?

\_\_\_ No (Skip to Question 13) \_\_\_ Yes (Complete Questions 10-12)

10. List the hospitals that provide 28-day adolescent treatment in this jurisdiction, indicate the costs/day of services, indicate whether the hospital is willing to or already does take court referrals, and indicate whether the program is *specifically designed for adolescents* (as opposed to simply taking adolescents on an adult ward).

Hospital	Cost/day	Takes Court Referrals?	Designed for Adolescents?
_____	_____	Y N	Y N
_____	_____	Y N	Y N
_____	_____	Y N	Y N
_____	_____	Y N	Y N
_____	_____	Y N	Y N

11. How many *total* beds are there in this jurisdiction for adolescent 28-day treatment?

\_\_\_\_\_ beds

12. Does this program provide aftercare services?

No  Yes

If Yes, for how long? \_\_\_\_\_

13. Is adolescent alcohol and drug day treatment (intensive, day-long programs for youth living at home) available in this jurisdiction?

No (Skip to Question 17)  Yes (Complete Questions 14-16)

14. List the agencies that provide adolescent day treatment in this jurisdiction, indicate the costs/day of services, and indicate whether the agency is willing to or already does take court referrals.

Agency	Cost/day	Takes Court Referrals?
_____	_____	Y N

15. How many *total* slots are there in this jurisdiction for adolescent day treatment?

\_\_\_\_\_ slots

16. Does this program provide aftercare services?

No  Yes

If Yes, for how long? \_\_\_\_\_

17. Is adolescent alcohol and drug residential treatment (intensive programs usually lasting several months to several years) available in this jurisdiction?

No (Skip to Question 21)  Yes (Complete Questions 18-20)

18. List the agencies that provide adolescent residential treatment in this jurisdiction, indicate the costs/day of services, indicate whether the agency is willing to or already does take court referrals, and indicate whether the program is *specifically designed for adolescents* (as opposed to simply taking adolescents in an adult program).

Agency	Cost/day	Takes Court Referrals?	Designed for Adolescents?
_____	_____	Y N	Y N
_____	_____	Y N	Y N
_____	_____	Y N	Y N
_____	_____	Y N	Y N

19. How many *total* beds are there in this jurisdiction for adolescent residential treatment?

\_\_\_\_\_ beds

20. Does this program provide aftercare services?

\_\_\_ No \_\_\_ Yes

If Yes, for how long? \_\_\_\_\_

21. Is an agency responsible for coordinating youth treatment services (i.e., legal, vocational, educational, etc...)

\_\_\_ No \_\_\_ Yes

If Yes, which agencies?

\_\_\_\_\_  
\_\_\_\_\_

22. Are there self-help groups (e.g., NA, AA) *specifically for youth* in this jurisdiction?

\_\_\_ No \_\_\_ Yes

If Yes, list:

\_\_\_\_\_  
\_\_\_\_\_

---

---

**B. INNOVATIVE SANCTIONING**

1. Does this jurisdiction have a restitution program for juvenile offenders?

No  Yes

If Yes:

Are alcohol, drug, and impaired driving offenders currently referred to the restitution program?

No  Yes

2. Are juvenile impaired driving offenders currently exposed to victims panels?

No  Yes

If Yes, describe:

---

---

---

---

3. Are juvenile impaired driving offenders currently exposed to shock trauma units?

No  Yes

If Yes, describe:

---

---

---

---

- 
- 
4. Are other innovative sanctions for juvenile drug, alcohol, and/or impaired driving offenders currently used in this jurisdiction?

No  Yes

If Yes, describe:

---

---

---

---

**C. INTENSIVE SUPERVISION**

1. Does this jurisdiction currently have an intensive supervision program for serious, repeat juvenile offenders?

No  Yes

If Yes, describe:

---

---

---

---

---

---

---

---

---

---

---

## IX. LEGISLATION

*Note: This section refers primarily to the laws in your state.*

1. Does your state have a lower legal blood alcohol concentration (B.A.C.) for young drivers?

No  Yes

If Yes:

To what ages does the lower B.A.C. apply? \_\_\_\_\_

What is the B.A.C. limit for young drivers? \_\_\_\_\_

Describe other features of the law: \_\_\_\_\_

---

---

---

---

2. Does your state mandate *greater* impaired driving sanctions for youth than for adults?

No  Yes

If Yes, describe:

---

---

---

---

3. What are the current sanctions in your state for adults convicted of providing alcohol to minors?

---

---

---

---

4. What are the current server liability laws in your state?

---

---

---

---

5. Does your state have mandatory safety belt legislation?

No  Yes

If Yes, describe the law:

---

---

---

---

6. Does your state mandate license sanctions for youth convicted of non-driving related alcohol or drug offenses?

No  Yes

If Yes:

To what ages does the law apply? \_\_\_\_\_

To what offenses does the law apply? \_\_\_\_\_

---

---

---

---

---

---

## APPENDIX: RECOMMENDED READINGS

Jayet, M. Penal policy for preventing young drivers from drinking: Scope, limits, and principles. In: Benjamin, T., ed. *Young Drivers Impaired by Alcohol and Other Drugs*. London: Royal Society of Medicine Services, 1986.

Morehouse, E. The student assistance program: An alcohol and drug abuse prevention model. In: Arnowitz, E., ed. *Prevention Strategies in Mental Health*. New York: PRODIST, 1982.

National Commission Against Drunk Driving. *Driving Without Impairment: A Community Challenge*. Technical Report No. DOT-HS-807-347. Washington, DC: National Highway Traffic Safety Administration, 1989.

National Highway Traffic Safety Administration. *A User's Guide to Ride Service Programs*. Technical Report No. DOT-HS-807-291. Washington, DC: National Highway Traffic Safety Administration, 1988.

National Highway Traffic Safety Administration. *Forum on Youth Traffic Safety Initiatives*. Technical Report No. DOT-HS-807-580. Washington, DC: National Highway Traffic Safety Administration, 1990.

National Highway Traffic Safety Administration. *Provisional Licensing Programs for Young Drivers: Topical Papers by Licensing Experts, Including an Annotated Bibliography*. Technical Report No. DOT-HS-807-375. Washington, DC: National Highway Traffic Safety Administration, 1989.

National Highway Traffic Safety Administration. *Young Adult Highway Safety Plan January 1990*. Technical Report No. DOT-HS-807-528. Washington, DC: National Highway Traffic Safety Administration, 1990.

U.S. Department of Education. *Growing Up Drug Free: A Parent's Guide to Prevention*. Washington, DC: U.S. Department of Education, 1990.

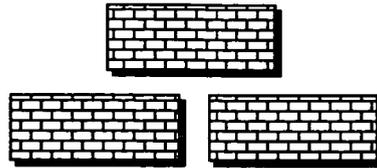
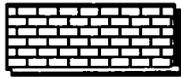
U.S. Department of Health and Human Services. *Surgeon General's Workshop on Drunk Driving: Background Papers*. Washington, DC: U.S. Department of Health and Human Services, 1989.

U.S. Department of Health and Human Services. *Surgeon General's Workshop on Drunk Driving: Proceedings*. Washington, DC: U.S. Department of Health and Human Services, 1989.

Wilson, R. J., and Mann, R. E. (eds.) *Drinking and Driving: Advances in Research and Prevention*. New York: The Guilford Press, 1990.



# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Coalition Facilitator Guide

Coalitions and collaborations don't just happen. They come about because of a common problem and goal. But, it still takes a person (or small group of persons) to provide the impetus to bring a group together and start things moving.

This person (or persons) may or may not also assume the role of facilitator.

The facilitator conducts meetings, is able to bring diverse ideas together, also helps the group in working toward mutually identified and achievable goals. Also, the facilitator should be perceived by the coalition participants as trusted and neutral.

### Role of the Facilitator

The most important role of the facilitator is to lay the groundwork for trust to grow as the partnership develops. Openness and informality, the absence of "power plays," and sharing ideas help create on-going relationships. The facilitator builds a foundation of trust and commitment by:

- ◆ Teaching people to think in new ways about sharing information and resources.
- ◆ Establishing brainstorming sessions to allow all ideas to flow without worrying about methodology.
- ◆ Helping tie together various comments, questions and concerns raised in discussion.
- ◆ Being sure everyone is aware of decisions being reached.
- ◆ Involving the "quiet" people during the meetings.
- ◆ Being process and goal oriented. Keeping the meetings and discussion focused on

the objective of the group. Being alert and sensitive to the fine line between diver- sionary and related, helpful discussion.

- ◆ Discussing controversial issues thoroughly. Rather than pushing things through, attempt to reach a consensus.
- ◆ Being aware of decision-making processes and those used by other coalition mem- bers.

### Qualities of Facilitators

If the coalition is to succeed, the facilitator must recognize the usefulness and importance of sharing with others across and within systems.

Qualities of a successful facilitator are:

- ◆ A positive mental attitude, especially when people predict failure before the project is given a chance to succeed.
- ◆ Strong commitment to the goals of the group.
- ◆ Ability to listen and reflect on what was presented.
- ◆ Neutrality. If controversial issues arise, he or she needs to ensure everyone in the group has equal opportunity to express their views in an atmosphere of comfort and confidence.
- ◆ Awareness of what is not being said and how to have it stated.
- ◆ Awareness of when to facilitate and when to participate.
- ◆ Ability to "seize the moment." When to conclude the discussion and move to the next step by consensus.
- ◆ Good interpersonal communication skills including equal treatment and listening.

## Factors Which Inhibit Coalitions

- ◆ Competitiveness.
- ◆ Dominating rather than shared leadership that discourages group decision making.
- ◆ Inflexibility in scheduling meetings and activities.
- ◆ Lack of understanding about how schools and community agencies operate.
- ◆ Hidden agenda for personal advancement.
- ◆ Cynicism about the advantage of information sharing.
- ◆ Time constraints and pressure to "push things through" without giving adequate time for discussion and to work through conflicts.
- ◆ More emphasis on talking than listening.
- ◆ Preferring to do things alone rather than spending time negotiating.
- ◆ Prescribing actions for a partnership (coalition) from the top down.
- ◆ Lack of procedure for making decisions and solving disagreements when they emerge.

## A Tip for the Facilitator

Keep a journal. It can:

- ◆ Track the process of coalition development. It will help analyze, compare and determine overall progress.
- ◆ The abilities of the facilitator can determine the success of a coalition group. Walking the tightrope of neutrality, developing trust, and guiding the group toward consensus goals will go a long way toward having a successful coalition.

## References

Miller, S. M. *Coalition Etiquette; Ground Rules for Building Unity*, Boston University.

Robinson, Estelle R. and Aleta You Mastny. *Linking Schools and Community Services: A Practical Guide*, Social Policy — Fall of 83, vol. 14, No. 2, Rutgers University, 1989.

© 1992 The Ohio State University

**OCS** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Charles H. Bell**, Associate Professor, District Specialist, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

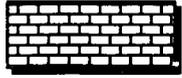
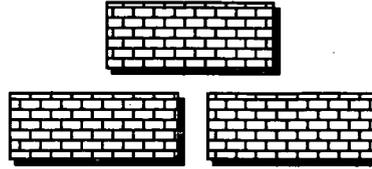
**Penne Smith**, County Extension Agent, 4-H, CNRD/Chair, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

## The Ohio Center For Action On Coalition Development

### Introduction

This is the first in a series of fact sheets compiled by The Ohio Center for Action on Coalitions and lays the groundwork for future fact sheets.

### Advantages and Disadvantages

Collaboration with other youth-serving organizations can be an effective and rewarding method of reaching young people. But, collaborating with other groups is a double-edged sword with both advantages and disadvantages. Both should be weighed before entering a collaborative effort. If the benefits don't outweigh the costs, collaboration should not take place.

The advantages of entering a collaborative effort may be immediate or long term, direct or

indirect. Some partners may benefit more than others. It is essential that each partner recognize that the benefits will outweigh the costs of participation. (Dluhy 1990)

### Advantages

The advantages of collaborating most frequently are: more effective and efficient delivery of programs, professional development, improved communication, elimination of duplication, increased use of programs, improved public image, better needs assessment, consistency of information and increased availability of resources.

Collaboration can open a vast complement of resources to the innovative administrator — new staff skills, knowledge, equipment and facilities, and services. These may be available at other

### Definitions

- ◆ **Alliance** — Individuals or organizations working together in a common effort for a common purpose to make more effective and efficient use of resources, a coalition.
- ◆ **Coalition** — Individuals or organizations working together in a common effort for a common purpose to make more effective and efficient use of resources, an alliance.
- ◆ **Collaboration** — The process of individuals or organizations sharing resources and responsibilities jointly to plan, implement and evaluate programs to achieve common goals.
- ◆ **Cooperation** — Individuals or organizations associating to accomplish a common goal.
- ◆ **Coordination** — Individuals or organizations working together to accomplish a common goal.
- ◆ **Network** — Individuals or organizations who share information, ideas, resources or goals to accomplish individual or group goals.
- ◆ **Networking** — Individuals or organizations sharing information, ideas, resources or services to accomplish individual or group goals.
- ◆ **Partner** — An individual or organization working with others to accomplish a common goal with a shared sense of purpose and sharing responsibility for the outcome.
- ◆ **Partnership** — Individuals or organizations working together in a side-by-side effort to accomplish a common goal with a shared sense of purpose and a shared responsibility for the outcome.

agencies. Combining the resources of two or more agencies can help to deliver more services for the same money or the same services for less money. The economics of scale, fewer duplicate programs and improved cost-benefit ratios will make the delivery of programs more effective and efficient. (Rossi 1982)

Staff members will grow professionally by meeting with colleagues from other agencies. They will be exposed to new methods and ideas that may benefit them. They may be made aware of new resources that are available and how to obtain them for their programs.

Improved communication between agencies will result in all partners providing more consistent and reliable information to the client. Shared information can mean increased use of programs and more public support. Agencies can share information about policy and legislative issues that affect their clientele groups. A better understanding of work done by others may help when directing clients who need critical information. Better communication between agencies will provide a better evaluation of the total impact of programs.

Coordinated needs assessment can be a benefit of collaboration. Service providers who work together can identify gaps in programs. They also can see critical widespread problems and rate issues for the most efficient use of available resources.

## **Disadvantages**

Some disadvantages of collaborations are: turf protection and mistrust, slow decision-making, limited resources, diverted resources from priority issues, an assumed position contrary to policy and decreased level of cooperation among collaborators during a crisis.

Turf protection and mistrust are complex issues that must be overcome. If a collaborator doesn't trust his or her partners, he or she will not be as open and receptive to new ideas. There will not be a willingness to share resources and burdens.

If the group must reach a consensus to act on an issue, it may take time. Many partners may not be able to go forward without approval of a higher authority or more study. Depending on how well the group communicates or how often it meets, decision by consensus could make acting on a problem slow and ineffective.

Due to limitations of resources, some groups who would be valuable partners are unable to cooperate. Devoting resources to a collaborative effort may take away from other high priority projects.

Sometimes a coalition may take a position that is inconsistent with the policy of one of its partners. This may cause the partner to be uncooperative, ineffective or to withdraw from the coalition.

During a crisis with a partner or the coalition, cooperation among members may decrease. Member organizations are sometimes faced with changes within their organization such as budget cuts, changes in administration or other short-term changes that affect their commitment.

Withdrawal of support by a key member or outside pressures from individuals or groups who disagree with or don't understand the coalition's purpose may cause a crisis. This may strain the partnership.

## **Summary**

This fact sheet provides an understanding of the terms and some reasons for building coalitions. It is intended to help individuals to better use the series of fact sheets developed by the Ohio Center for Action on Coalitions. Comments and ideas for improvement of this series are welcomed.

## **References**

- Black, Terry R. "Coalition Building — Some Suggestions." *Child Welfare* (May-June 1983).
- Dluhy, Milan J. *Building Coalitions in the Human Services*. Newbury Park, California: Sage Publications, 1990.
- Etling, Arlene. "Multiplying Partnerships." *Journal of Extension* (Fall 1986).
- McLendon, Ellawese B. "Networking Opens Doors" *Journal of Extension* (Spring 1988).
- "Partnerships for the Future." Conference Proceedings, Department of Social and Health Services. Washington State, April 1987.
- Rossi, Robert J., et al. *Agencies Working Together, A Guide to Coordinating and Planning*. Beverly Hills, California: Sage Publications, 1982.
- Wisconsin State Department of Public Instruction. *Planning for State Solutions to the Problems of Youth at Risk, Final Report, Fall 1988*. Bulletin No. 9244. Madison, Wisconsin: Wisconsin State Department of Public Instruction, January 1989.

© 1992 The Ohio State University

**OCCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalition Development for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## **Authors**

**Daney Jackson**, Graduate Associate, The Ohio Center For Action on Coalition Development, Ohio Cooperative Extension Service, The Ohio State University.

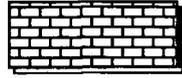
**William Maddy**, Administrative Assistant, The Ohio Center for Action on Coalition Development, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

The Ohio Center For Action On Coalition Development

## Coalition Functioning A Committee in Disguise

Starting and maintaining a coalition is no big mystery. It is similar to starting and maintaining a committee where there is a need and people interested in finding a solution. The United States started as a coalition of colonies with a need (problem) and people interested in finding a solution.

Though the functions of a committee and a coalition are very similar, the word "committee" may need to be avoided. Negative comments have often been made about committees. For example: "The camel is just a horse put together by a committee." "The fewer committee meetings the better." "Too much of my day is used up in useless committees."

### Elements for Success

- ◆ **Common Goals** — What is the expressed need (or "problem equals . . .") the group agrees is a priority. What is the desired change? These need to be understood by all involved.
- ◆ **Communication** — Use common language that everyone can understand. Avoid professional jargon. Each member needs to know what is taking place and what is expected. For example, minutes of meetings should be distributed to all members.
- ◆ **Each Member is Important to the Coalition** — Each participant should be able to perceive themselves as an important part of the whole, contributing to its success.
- ◆ **Opportunity to Participate** — Each

member should have input into goals, methods and decisions, as well as discussion.

- ◆ **Ownership** — Feeling a part of the coalition and responsibility for some action is an important result of participating in the decision-making process.
- ◆ **Delegation** — Delegate to each entity a part they can control. That provides an opportunity for *individual accomplishments* as well as contributes to the *overall success* of the coalition.
- ◆ **Efficient, Effective Meetings** — Keep the meetings moving toward the agreed goals. Each should show progress toward the overall target(s) and participants should recognize this progress when they leave.
- ◆ **Process and Pattern** — Establish a format for conduct of meetings and decision-making early in the development of the coalition.
- ◆ **Shared or Situational Leadership** — It is important that many persons or groups share leadership responsibilities.

While attention to group goals and objectives is essential, developing and maintaining committees and coalitions is also an interpersonal process. This requires close attention to group process and skills.

### Summary

The principles that relate to effective coalition functioning coincide with the principles of effective committee functioning.

## References

Benard, Bonnie. "Collaboration Fosters Creative Problem Solving." *Western Center News* (March 1991).

Lippitt, Ronald and Jon Van Till, "Can We Achieve a Collaborative Community?," *Journal of Voluntary Action Research* (July-December 1981).

Lippitt, Ronald and Jon Van Till, "Issues, Imperatives, Potentials," *Journal of Voluntary Action Research* (July-December 1981).

Schindler-Rainman, Eva, "Toward Collaboration — Risks We Need to Take," *Journal of Volunteer Action Research* (July-December 1981).

"Treatment: Building Child Service Partnerships," *Children and Teens Today* (December 1990).

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalition for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Charles H. Bell**, Associate Professor, District Specialist, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

**Penne Smith**, County Extension Agent, 4-H, Community and Natural Resource Development, Chair, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.



Group goals need to be a blend of individual goals. It is vital that all members of the coalition participate in goal development. This will:

- ◆ Help meet members' needs and interests.
- ◆ Show how individual action can lead to group goals.
- ◆ Stimulate cooperation and commitment.

It is also important for all coalition members to:

- ◆ Allow each group member to keep their identity and specialties. Draw on each other's strengths.
- ◆ Not allow hidden agendas to jeopardize the work of the coalition. Members should be honest, up-front and willing to modify their ideas for the goals of the coalition.
- ◆ Recognize everyone for their involvement. A coalition is a cooperative effort to address a problem and the same is true for the recognition.

## Turning Goals Into Action

It is vital for the coalition members to write the group's goals. Goals that are in one's head are merely dreams, but written goals are a commitment.

Goals are turned into action by working from the long term to the short term. Decide what must be done and in what order. Next decide what will be done during a specific period. Design small, specific "bite-size" programs and activities that support the short-term goals. If order is important, decide a sequence for your activities. These questions will help:

- ◆ Where does the group want to be in one year? Six months?
- ◆ What "bite-size" programs or activities will move the coalition toward this position?
- ◆ What program or activity should be done at the next meeting?

## Summary

The general goal of a coalition is the positive change in people and programs. By developing sound goals, the coalition will have a road map that will enable you to address issues of today and tomorrow.

## References

Hartford, Margaret E. *Groups in Social Work*, New York: Columbia University Press, 1971.

Hull, Lorie. *Goalsetting: Your Road Map to Success*. Cassette Recording No. 332. National Press Publications, Inc.

© 1992 The Ohio State University

**OACES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Charles Bell**, Associate Professor, District 4-H Specialist, Ohio Cooperative Extension Service, The Ohio State University.

**William Smith**, Associate Professor, District 4-H Specialist, Ohio Cooperative Extension Service, The Ohio State University.

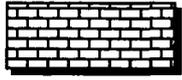
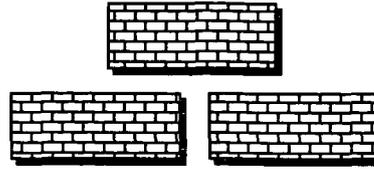
**Jeffrey King**, Assistant Professor, Assistant State Specialist, Staff Development, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Communication in Coalitions

### Developing Members

The coalition has been selected and is ready to begin addressing the challenges that lie ahead. To be effective and efficient, the members need to understand important group processes. Using these will help the group work together and do more.

When people gather as group, they may not act in the same way as when they are alone or with one other person. Each group develops its own pattern of interaction as it goes through various phases, as members become comfortable, learning to know and trust one another. As trust develops at least four things should happen:

1. The group should develop valuable facilitation skills.
2. The group should develop cohesiveness.
3. The group should use an effective decision-making process.
4. The group should exhibit critical thinking.

### Group Facilitation Skills

Forming a group requires teamwork, perseverance, cooperation and imagination. The group's facilitator and members each have unique responsibilities to helping to make the coalition successful and to meet its goals.

#### Facilitator Functions

- ◆ Relieve the anxiety of members about being with unknown members.
- ◆ Develop an agenda. This will allow each coalition member to know what is to be done.
- ◆ Have an agenda for each meeting. Share with members before the meetings.
- ◆ Do not allow yourself to become the focus.

- ◆ Do not allow one member to dominate the discussions.
- ◆ Encourage silent members.
- ◆ Halt side conversations.
- ◆ Help the group to stay on the topic.

#### Facilitator/Member Functions

- ◆ Initiate new ideas, goals and procedures.
- ◆ Share the responsibility of seeking information and opinions.
- ◆ Clarify what others have said, when appropriate, by adding examples, illustrations or explanations.
- ◆ Explain the relationship among facts, ideas and suggestions of two or more group members.
- ◆ Support group members through praise and agreement. Tell others they agree with what is being proposed if they do.
- ◆ Mediate differences between others and bring about collaboration from conflict.
- ◆ Be certain that all have an equal chance to be heard.

### Group Cohesiveness

Having a good facilitator and willing members form a coalition does not imply they have a cohesive group. It may appear the group members like each other and seem to get along. However, cohesive characteristics come with time, as the group works together. In *Group Process*, Joseph Luft suggests four criteria have to be met before a set of individuals can be considered a group.

- ◆ Interaction takes place among members.
- ◆ Members share a common purpose or goal.

- ◆ A differentiation of jobs emerges.
- ◆ The value of being a part of the group is greater to the individual than being separate.

The group must develop a strong feeling of “we-ness,” member talking in terms of “we” rather than “I.” “We” team members:

- ▼ Display loyalty and congeniality to each other.
- ▼ Work together for a common goal.
- ▼ Take responsibility for group tasks.
- ▼ Endure pain and frustration for the group.
- ▼ Defends against criticism and attack.

Trust is the most important ingredient to developing a cohesive group. The first crisis most groups face involves the ability of members to trust themselves and each other. Trust will reduce a members’ fear of acceptance and support. It involves everyone’s self-disclosure.

## The Decision-Making Process

Every group makes decisions. Groups that make effective decisions usually use a decision-making process. They select alternative solutions and chart a course of action. The way a group makes a decision influences how members feel

about the group. It also can determine how well the group members support the decision. Steps in group decision-making are:

1. Define the problem.
2. Decide a method for making the decision.
3. Gather information
4. List possible alternative solutions.
5. Develop list of pros and cons for alternatives.
6. Decide an alternative solution and carry it out.
7. Evaluate.

### Define the Problem

The problem should be written clearly so all group members know and understand it. Larger problems should be divided into sub-problems. This will allow for better understanding among group members, thus, finding a successful solution.

### Decide on a Method

There are different methods to arrive at a decision. They include consensus, voting and the leader deciding. Let’s look at some advantages and disadvantages of each method.

Consensus is the synthesis of ideas. When alternatives are discussed, the group hears the views of all the members and discusses the issue until it is felt everyone agrees. A vote is not taken, but the facilitator gives any member the chance to object. If there is objection from any one member the group must continue to look for an alternative. Advantages to this system include:

1. Cooperative decision-making, since all members have a hand in the decision.
2. Provides for a “win-win” solution.
3. Facilitates open communication.
4. Requires all members to listen and understand all sides.
5. Sets the stage for an action plan.

Disadvantages to consensus decision-making are:

1. It takes a large amount of time. The larger the group the more time it takes.
2. Some group members may not want to speak out if the trust level is low.
3. The leader must play a facilitating role. Some leaders are not willing to share the control.

Voting is another acceptable method. After the information has been gathered and alternatives listed, the group decides which will be the best way to solve the problem. The idea behind the system is that though the majority rules, the

### Increasing Group Cohesiveness

Factors that increase group cohesiveness

1. All members complete worthwhile tasks and feel they are appreciated by the group.
2. Members clearly perceive the group goals and consider them to be realistic.
3. Members perceive the group as an entity in its own right, calling it “the group” or “our group.”
4. The group has prestige.
5. Members possess knowledge or material needed by the group.
6. Members perceive the issues at hand to be of importance.
7. Personal interaction among members is based on equality, with no one exercising much authority over anyone else.
8. Members are not jealous and competitive with one another.

Source: Holli, B. B., and Calabrese, R. J. (1991) *Communication and Education Skills* (2nd ed.). Philadelphia: Lee and Febiger.

minority must go with the decision. The main advantage is this method requires less time to make a decision. However, members who were on the losing (minority) side may not feel committed to the decisions. They may not wholeheartedly help to accomplish the task.

Letting the leader decide is a method that would only be used in extreme cases when time does not allow input from other group members. Even if a leader is unable to meet with the group, he or she should contact some members of the group for their ideas. This method takes members completely out of the decision-making process and, thus, the group commitment level will be extremely low.

### **Gather Information**

Information on the problem should be shared. The more that is known, the more productive the discussion of alternatives will be. All members should be allowed to add specific information to the pool of information.

### **List Possible Alternatives and Solutions**

Members should list all the possible solutions to the problem. This is not the place to limit thinking! List responses so none are forgotten.

### **List Pros and Cons**

For each solution, list the pros and cons. Consider all implications of each alternative. This will provide direction as the group moves closer to deciding on just one solution.

### **Decide on an Alternative**

This is the point of deciding which alternative is the best solution and will move the group ahead. Remember all members need to have a stake in the decision and a part in the plan of action.

### **Evaluate**

Once a decision has been made, it is essential that the group have an evaluation system in place. Much can be learned and applied to future decision-making.

The way a group feels after making a decision is important, especially if the group plans to have a continuing positive relationship. High levels of harmony are noted by positive feelings, a high percentage of membership participation and shared decision-making.

## **Critical Thinking**

Critical thinking is:

- ◆ The ability to see that problems have multiple solutions.
- ◆ An alternative to making decisions by blind acceptance, impulse or whim, tradition or habit.
- ◆ A process, not an outcome
- ◆ A method of exploring and imagining alternatives.
- ◆ A process used to develop and evaluate positions on issues.
- ◆ An essential element of problem solving, decision-making and creativity.
- ◆ A total approach to understanding how we make sense of a work that includes many parts, not simply one way of thinking.

### **Principles of Critical Thinking**

1. A learning environment must provide the opportunity for adults to consider the strengths and weaknesses of opposing views.
2. Evaluate a wide range of alternatives when making decisions.
3. The atmosphere of the learning environment should be one of collaborative inquiry by the members.
4. The learning environment must reflect probing questions by the members.
5. Adult learners should engage in exploratory dialogue with themselves or others, proposing ideas and translating subject matter insights and evidence into reflective thought.
6. Members identify implications of actions.
7. A learning environment in which generalizations are challenged facilitates critical thinking. (Jones 1989)

Am I a critical thinker? For each pairs listed below, which one best describes your actions as a coalition team member?

### **A Critical Thinker**

- Goes through a problem.
- Says, "Let's find out."
- Listens.
- Says, "There ought to be a better way."
- Takes a big problem and separates it into smaller, easier to manipulate, parts.
- Focuses.
- Learns from mistakes.

Accepts the viewpoints of others.  
Recognizes the limits of knowledge and is sensitive to bias and prejudice.

### **A Non-Critical Thinker**

Goes around it, and never gets past it.  
Says, "Nobody knows."  
Waits until it's their turn to talk.  
Says, "That's the way it's always been done."  
Takes many little problems and rolls them together until they are unsolvable.  
Sprays.  
Only learns not to make mistakes by not trying anything new.  
Unable or unwilling to consider others' points of view.  
Afraid to say, "I don't know."

### **References**

Barker, L. L., R. J. Kibler, K. J. Wahlers and K. W. Watson. *Groups in Process: An Introduction to Small Group Communication*. 3d ed. New Jersey: Prentice Hall, 1987.  
Bull, N., and J. Jones. "Are We Fostering Critical Thinking in Our Adult Learners?" Unpublished manuscript, The Ohio State University.  
Holli, B. B. and R. J. Calabrese. *Communication and Education Skills*. 2d ed. Philadelphia: Lee and Febiger, 1991.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

### **Authors**

**Jeffrey King**, Assistant Professor, Assistant Staff Development Specialist, The Ohio Cooperative Extension Service, The Ohio State University.

**Kathryn Beckham**, Assistant Professor, Family Life Specialist, The Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

The Ohio Center For Action On Coalition Development

## Communication in Coalitions

### What is It? How Do We Do It?

Communication skills are important to developing professional and personal relationships. Relationships begin and grow through communication, and the quality of communication influences the quality of the relationships. Effective communication skills are essential. Without them, one's effectiveness in all roles in life — professional, leader, manager, parent, friend, etc. — is limited.

Coalitions have been defined as "individuals or organizations working together in a common effort . . . for a common purpose to provide better services at lower cost." Good communication is required for individuals or individual organizations to establish coalitions, cooperate with one another, determine a common purpose and coordinate efforts. The first step in developing these skills is to understand what communication is, ways we communicate and methods of communication. This is particularly important when working with groups.

### What is Effective Communication?

Communication is what we do to give and get understanding. It is an exchange of words and meanings, a two-way process of sending and receiving messages. Effective communication occurs when there is shared meaning. The message that is sent is the same message that is received. There must be a mutual understanding between the sender and the receiver for the transmission of ideas or information to be successful.

For members of groups, effective communication may be defined as:

- ◆ Using language that is appropriate to others' levels of understanding.

- ◆ Making sure others receive the information or knowledge intended.
- ◆ Developing relationships with others.
- ◆ Talking with others in a way that facilitates openness, honesty and cooperation.
- ◆ Providing feedback.

Doing these things leads to increased understanding and effective communication among members.

### The Communication Process

Effective communication is usually two-way. The two-way communication process includes:

- ◆ **A Sender** — This is the first person to speak or the one who initiates the communication.
- ◆ **A Receiver** — This is the "listener," the one or ones for whom the message is intended. Receivers are usually interpreting and transmitting messages simultaneously. They are listening to what is being said and thinking about what they are going to say when the sender stops talking. Simultaneously, they may be reacting in nonverbal ways — with a smile or nod, flushed face, trembling hands or in some other way, depending on how they are interpreting the message.
- ◆ **The Message** — This is what the sender wants the receiver to know. It includes the verbal message (content) and nonverbal messages inferred from the sender and the environment.
- ◆ **Feedback** — This is the lifeline of effective communication, the ingredient that distinguishes two-way from one-way communication. Without it, senders and receivers are far less likely to achieve mutual understanding about the message.

### What Is Communication?

## The Communication Process



**Sender**

**Purpose/Objective**

**Medium:** should fit message

**Encode:** put into words

**Transmit**



**Message  
and  
Means of Communication**

- telephone
- letter
- person-to-person
- ?



**Receiver**

**Reception**

**Decode:** message interpreted

**Meaning** is assigned

**Behavior** (verbal or nonverbal)

### **Feedback**

- to gain mutual understanding
- the lifeline of successful communication

After the first few seconds, interpersonal communication becomes a simultaneous two-way sending and receiving process. While senders are talking, they are receiving nonverbal reactions from receivers. Senders make inferences based on the receivers' reactions and adjust subsequent communication accordingly. For example, they may change their tone, speak loudly or use simpler language. The ability to do this results in the message being better understood. It helps prevent miscommunication.

### **Miscommunication: a Breakdown in the Process**

Sometimes a breakdown occurs in the communication process. The message that was sent is not the message that was received. This can be due to a number of factors that act as barriers to or interfere with effective communication. Some things that can affect the interpretation of messages are:

- ◆ **The environment.** This includes room size, shape, lighting and color, temperature and furniture arrangement. These factors can either facilitate or interfere with the communication process. For example, a small conference room is a more appropriate meeting place for a group of six to eight people than a large auditorium. Also, if the temperature is too cold or too hot,

participants may be distracted and unable to focus on what is being done.

- ◆ The unique **personal attributes** of the sender and receiver. These include things like appearance, educational backgrounds and the physiological state of each communicator at the moment. For example, we tend to listen more closely to someone whose appearance is clean and neat and who is educated, especially in professional settings. Also, a person who is calm is better able to receive the intended message than someone who is agitated or angry.
- ◆ **Culture and psychological interference.** Culturally, people are different with different interpretations of the same phenomena. Experiences in other cultures can lead to psychological interference in communication, that is, bias, prejudice and being closed-minded. These attitudes may arise from the region of the country a person grows up in; an ethnic, racial or religious identity; or a socioeconomic identity.
- ◆ The **human tendency to perceive information selectively.** People often hear what they want to hear, especially if it reaffirms established beliefs and values or supports personal decisions. This is sometimes a problem in groups because

some individuals are intolerant of others who interpret the information differently. Although many people feel they are open-minded, unprejudiced and able to see all sides of an issue, there is a tendency to maintain an expected view of reality and miss the objective truth. We select what we want to hear.

- ◆ **Substitution, addition and simplification.** These things occur as messages are passed from person to person. Each receiver tends to alter the message unconsciously when he or she becomes the sender and passes it on to another. Members in a group can be told the same message at the same time; but, they will each “hear” it somewhat differently and, therefore, communicate it differently outside the group.

These factors can lead to a breakdown in the communication process, especially in groups where there is a greater likelihood that one or more of these factors will be present. When a breakdown occurs, the result is *miscommunication*. The receiver gets a different message than the one intended. The results are usually negative and can include:

- ◆ Lost time
- ◆ Feelings of resentment
- ◆ Rumors
- ◆ Poor relationships

Because these results can greatly affect the cohesiveness and effectiveness of a group, it is critical that all members be aware of them and help safeguard against them.

## What Are the Ways We Communicate?

There are at least three important ways we communicate. One way — symbolic communication — we do not often consciously think about, though it has an impact on the ways we react to and behave toward others. The other two ways — verbal and nonverbal communication — are generally better understood.

### Symbolic Communication

Symbols can be defined as things that stand for or represent other things or objects that represent something abstract. The interpretation of the Greek word for it is “tokens, pledges or signs by which one infers a thing.” Symbols play an important role in our interactions. They are often the basis for many of our reactions to other

people and the consequent behaviors.

The symbols in our lives include where we work, our job titles, where we live, the vehicles we drive, the clothes and jewelry we wear, etc. It also includes more personal characteristics like age, gender, educational level, ethnic background and cultural heritage. We constantly process this information and “size people up,” whether it is those we see on the street or those with whom we interact with frequently. We often make judgments about people based on this symbolic information. The problem with this is that these assumptions are frequently wrong.

Think about attending the first meeting of a community coalition. You do not know the facilitator, who comes in wearing old, worn clothes and is slightly unkempt. He is also loud and boisterous and fails to get the meeting started on time. What is your reaction? Probably not very positive. He lost credibility based on his appearance and behavior before you had the opportunity to meet him. If he had been well-dressed and well-mannered, your reaction would be very different. Our behaviors toward people are often based on our observations with no real knowledge of whom the person is or anything about him or her.

### Verbal Communication

Verbal communication is carried out through symbols known as “words.” It includes the actual words used to send messages and the way in which they are arranged into thought units. Because words are the primary symbols used in this type of communication, it includes both oral and written communications. Personal conversations, group discussions and speeches, as well as letters and memos, are all forms of verbal communication. Some are spoken and some are written.

### Nonverbal Communication

Nonverbal communication is the most influential form. If the verbal and nonverbal messages being sent are not in agreement, receivers generally will believe what they “hear” nonverbally. If interpersonal communication is to be effective, people need to send verbal and nonverbal messages that are congruent with one another. For example, if an individual says, “I am not angry!” but has a flushed face, clenched teeth and fists, and speaks in an angry tone of voice, the message that is heard is, “I am very angry!”

There are four major categories of nonverbal communication:

1. **Eye Contact** — Effective eye contact includes spontaneous glances or looking or gazing at another person in a way that communicates concern, interest, support and so forth. Appropriate eye contact is an excellent way to let others know we are interested in them and what they have to say. It says we respect them enough to listen and that we are open to communicating with them. On the other hand, ineffective eye contact tells others we are not interested in what they have to say or that we do not respect them. This includes staring, glaring or not looking at another individual. For effective eye contact in groups, let your gaze move back and forth across the group. Look at everyone, or at least at every area of the room. Don't stare off into space or always look at one person or one side of the room.
2. **Body Orientation** — This refers to posture, body movements, facial expressions, limb placement and so forth. Leaning toward and directly facing the sender of a message communicates interest and attention. If the receiver also has a relaxed face with a pleasant expression, a supportive communication climate is established. The communication process is hindered if the person is physically distant from or not facing the sender, does not use gestures, have no facial expression and is either slouching or having a rigid posture.
3. **Verbal Quality** — That's right, verbal quality is a form of nonverbal communication. If verbal quality is to contribute to effective communication, the tone of voice must match the message. It is important that the person talking speak in an audible tone of voice that communicates confidence, strength and directness. If the tone does not match the message, or the speaker appears to be passive and hesitant or demanding and authoritative, the listener will stop paying attention. The same is true if the sender frequently stutters, pauses, repeats things or uses incomplete sentences. Watch for this in groups. Who pays attention to the person who stutters, stammers, repeats things and mumbles? Who listens when the speaker is confident about what is being said and speaks audibly?
4. **Energy Level** — Energy level is how we let others know we are interested in and

enthusiastic about what we are doing, or that we could not care less. A person who is alert, bright and receptive helps create an effective communication environment. If a person is apathetic, sleepy or jumpy, there probably will be breakdowns in the communication process. Energy level is contagious in groups. One enthusiastic person can turn a meeting with a group of tired, listless members into a lively encounter where a lot is accomplished. One apathetic, tired person also can kill the group's enthusiasm.

## Effective Communication

People today have more choices of communication methods than ever before. There are . . .

- ◆ Face-to-face conversations
- ◆ Meetings
- ◆ Telephones in offices, cars and airplanes.
- ◆ Memos, letters and telegraphs
- ◆ Electronic mail and FAX messages
- ◆ Media methods (such as, newspapers, magazines, radio, television)

With so many choices, it is sometimes difficult to know how best to communicate. Keep three things in mind when selecting a method:

1. The importance of the message.
2. The effectiveness of different methods.
3. The kind of feedback you want.

If the message is important, it is often best to put it in writing. This is especially true if it is to be sent to several people or there is a need to document that information was shared. If it is an "oh, by the way . . ." type of message intended for one or two people, a phone call or note may do.

Different methods are more effective in some situations than others. For example, if there is no rush in sharing information with group members, distribute a memo at a meeting or put it in the mail. If there is more urgency, it may be appropriate to send it via electronic mail or fax. Keep in mind most people do not have ready access to a fax machine. It may take more time to get the message from the machine to a person.

It is sometimes wise to use a variety of communication methods to send the same message. A good example of this is when an important topic is to be discussed in a meeting. Providing a handout with pertinent information, outlining major points on a chalk board or flipchart and discussing the issue facilitates the process.

Remember that feedback is the lifeline of effective communication. It is easy to get in two-

way, face-to-face communication. The receiver's reactions to the message (such as, agreement, surprise, boredom, hostility) can tell the sender a great deal. It allows one to get immediate indications of how the message is being received. In this situation, the individuals involved can discuss the message, ask questions for clarification and resolve any misunderstandings. This is far more difficult when using written communication. Writers cannot clarify for readers because they do not see them.

It is especially important to consider these factors when selecting methods to communicate with a group. Remember, you are working with busy people. They have many roles and responsibilities as well as hectic schedules. Use their time wisely!

## Summary

Effective communication is a skill. It can be learned and improved upon with practice. This is necessary if individuals are to come together and become a group. Through the process of com-

munication — sending and receiving messages — individuals can develop understanding and respect for one another, share information, challenge each to think differently and find the best possible solutions to the issues around which the group has formed.

## References

Holli, B. B. and R. J. Calabrese. *Communication and Education Skills*. 2d ed. Philadelphia: Lee and Febiger, 1991.

Hunt, G. T. *Communication Skill in the Organization*. Englewood Cliffs, N.J.: Prentice-Hall, 1980.

McNeese, I. C. *Communication: Listening and Feedback*. Family Community Leadership Program. Columbus: The Ohio State University Cooperative Extension Service, 1991.

McNeese, I. C. *Communication: Model and Types*, Family Community Leadership Program. Columbus: The Ohio State University Cooperative Extension Service, 1991.

© 1992 The Ohio State University

**OCCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Kathryn Beckham**, Assistant Professor/Family Life Specialist, Ohio Cooperative Extension Service, The Ohio State University.

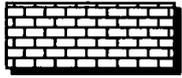
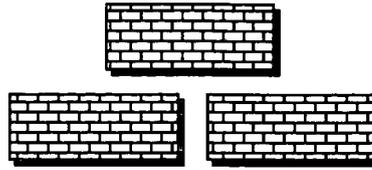
**Jeffrey King**, Assistant Professor/Assistant Staff Development Specialist, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Evaluating the Collaboration Process

Evaluating and monitoring collaborative efforts are essential tasks if we are to be successful in coordinating programs for young people. Evaluation efforts become more manageable when approached from two different levels. These include: 1) evaluation of the collaboration process and 2) measuring the impact of programs for targeted audiences. This fact sheet focuses on evaluating the collaboration process.

An evaluation of the collaborative process can be pursued by studying several different potential outcomes.

### Potential Areas of Evaluation Quality

- ◆ **Training** — What has the group done in training other youth professionals, coalition members or youth?
- ◆ **Continuity** — How long has the group been together? Is there still a desire to work together? What type of structure been developed to assure the continuity of the collaboration, such as, officers, membership guidelines, memoranda of understanding?
- ◆ **Involvement** — How active are the group's members? How often do they meet? How much volunteer and professional time is being focused on a particular problem because of the collaboration?

### Comprehensiveness

- ◆ What types of individuals and organizations are represented? Are these the right type of individuals to accomplish the work of the collaboration?
- ◆ Has there been an increase in the number of referrals between collaboration mem-

bers? What has been the nature of these referrals?

- ◆ What types of data bases or directories have been created to facilitate the sharing of information and assistance related to youth issues?

### Access and Equity

- ◆ Do all youth in the community have equal access to collaboration efforts? Has access to services been enhanced by collaboration efforts?
- ◆ How do other non-collaborators obtain access to the information and services of the collaboration members?

### Information and Advocacy

- ◆ How has information increased to parents, public, policy makers and youth?
- ◆ To what extent do member organizations promote each others' efforts, workshops and conferences?
- ◆ How is the group serving as an advocate for youth issues in the community?

### Cost-effectiveness

- ◆ Has existing funds been used more effectively? How?
- ◆ Has duplication of services been reduced or eliminated?
- ◆ How has the group been able to access new funds because of working together?

### Additional General Questions

- ◆ What are you doing that is really working well?
- ◆ What are the major problems you are facing?
- ◆ Are there unanticipated outcomes because of working together?

To explore the questions in the proposed areas of evaluation, many methodologies can be used. Some most common include:

- ◆ Surveys/Questionnaires
- ◆ Interviews
- ◆ Structured Observation
- ◆ Review of Records and Reports
- ◆ Focus Group Interviews
- ◆ Interaction Analysis

## References

Brinkerhoff, R. O., D. M. Brethower, T. Hluchyj and J. R. Nowakowski. *Program Evaluation: A Practitioners Guide for Trainers and Educators*. Boston: Kluwer-Nijhoff Publishing, 1985.

Kagan, S. L., A. M. Rivera and F. L. Parker. *Collaborations in Action: Reshaping Services to Young Children and Their Families*. Yale University, The Bush Center in Child Development and Social Policy, 1991.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

### Author

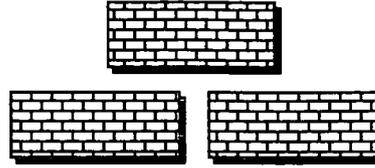
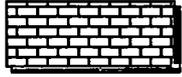
**Richard W. Clark**, Ph.D., Director, The Ohio Center For Action on Coalitions, Assistant Professor, Extension Specialist, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Extra Resources for a Coalition Notes on Fundraising and Grant-Writing

Organizations join coalitions or collaborations to combine various resources in working toward a shared goal. What if additional resources are needed?

Usually, coalitions seem to prefer less formal in-kind-type resource sharing. One organization might provide meeting space, another agrees to provide copying and postage. Sometimes, a more formal memorandum for sharing larger resources may be used. For example, one organization may agree to provide a specified amount of a staff member's time to work on a particular coalition effort. In other situations, the coalition may decide that member agencies do not have the needed resources available. Then, it may be necessary to undertake some sort of fundraising.

The search for funds may take one of two basic directions, a general fundraising campaign, or the submission of a specific proposal to a foundation or public organization.

You need to find out which funding sources are out there, who can tap them, what the rules are for using them and how to secure them. A funding search should embrace both private and public sources.

### Fundraising

There is no magic in fundraising. Above all, you need to be a good planner, organizer, manager and marketer. When these skills are combined with enthusiasm and common sense, you will be successful.

Fundraising requires pre-planning and a well-organized execution. Generally, it is not something that can be done well in response to a crisis. Designate someone as the chief fundraiser. Give that person the authority and responsibility to represent the cause and to raise the money

needed. Provide the clerical and other kinds of support he or she needs to get started and do not expect instant results.

Building a group's credibility in the community takes time and that is the basis for successful development program. People must be aware of you and have a positive impression of what you do and how you manage your resources before they will support you.

### Six Steps to Raising Money

#### 1. Set program goals.

- ◆ Develop objectives to reach your goals.
- ◆ Plan the methods you will use to reach those objectives.
- ◆ Design specific activities to carry out the methods.

#### 2. Inventory all your resources.

- ◆ Preview all the people and organizations in your community who might be able to help.
- ◆ Brainstorm with key staff and volunteers. Develop a specific list of names, individuals, civic organizations, political organizations, media, businesses, etc.

#### 3. Develop a fundraising campaign.

- ◆ A well-structured annual campaign includes the use of as many fundraising techniques as are necessary to move toward that ultimate goal

Bill Riley, Kansas 4-H Foundation Director, considers a good fundraising campaign like a baseball diamond. It has four major parts:

- ◆ **Vision** — Goals, purpose, potential prospects.
- ◆ **Cultivation** — Informs prospects of

goals and current activities before the request for funds is made (brochures, media, contacts).

- ◆ **Solicitation** — The actual request to potential donors for general or specific purpose and how they will be contacted.
- ◆ **Recognition** — How you thank donors and inform the public when appropriate.

To hit a “home run” with your efforts, all four parts should be developed before a campaign begins. Any costs associated with fundraising should be included in campaign budget (including brochures, postage, plaques or mementos), with the funds to be raised for program activities. The Ohio State University Winter 1990 *BUCK\$ LINE* contains helpful information on the “successful ask” that relates to cultivation and solicitation. It underlines how there should be an ongoing, two-way relationship with potential donors, not just a “quick hit-and-run to the bank.”

#### 4. Assess your financial and personnel needs.

- ◆ Decide what you need in people, money, services and products to reach the fundraising goals.

#### 5. Implement fundraising activities.

- ◆ New programs are best funded by one or two large gifts from foundations or corporations.
- ◆ Programs that do not have new components are more easily funded through a variety of annual campaign activities, such as a membership drive and special events.
- ◆ Development activities must be planned to support the programs.
- ◆ Consider recruiting civic groups to do benefits: car washes, bake sales, a dance, a spaghetti dinner or fish fry. Not only do they raise money, but you have a great chance to educate them about the issues you are working to solve — with their support.

#### 6. Evaluate your results.

- ◆ Assess what went well and what went badly in every project as each is completed:  
Did you reach the goals?  
How much money did you raise before expenses?

## Foundation Grants, Government Grants and Contracts

When you are unable to secure all the needed funds from within your own community, foundation grants and government grants and contracts can help. Many foundations are interested in helping reputable community groups in meeting local needs. Competition for funding can be stiff.

Generally, all funding organizations like to see an organized plan or proposal for upcoming activities and expenditures. It is not uncommon for a foundation to initially ask for a brief letter (two to three pages) telling about the organization, your plans and the amount of funding requested. These requests should describe the following in specific terms:

- ◆ The nature of the problem to be addressed.
- ◆ The solution proposed.
- ◆ Documentation of the group's ability to carry out the objectives.
- ◆ Financial needs associated with the request, including evidence that the effort will not rely solely on the funder's support.
- ◆ Documentation that a systematic evaluation will be carried out to demonstrate that funding has made a difference.

The process of preparing proposals for government funding depends on the funding agency. Although different programs may require different formats for the proposals, applicants for government funding should be prepared to include the following standard sections in their proposals.

- ◆ **Proposal Summary** — The summary appears at the beginning of the proposal. It should interest the reader in what is to follow. When applications are screened, the summary may be the only part of the proposal read.
- ◆ **Institutional Background and Qualifications** — The discussion of the organization should be clear and to the point. Leave a favorable impression without overloading the reader with unnecessary details.
- ◆ **Statement of the Problem** — This is the most important part of the proposal. It tells the reader why you want to perform the activity for which you require funding.
- ◆ **Program Objectives** — Program objectives need to be stated in measurable terms. Statements about objectives should be quantifiable: use terms like “to increase”

or “to reduce” instead of ones like “to create” or “to provide.”

- ◆ **Methods or Technical Approach** — The next step is to explain the methods by which you propose to achieve your objectives. This section should present a reasonable scope of activities that can be accomplished within the time allotted for the program and the applicant’s resources.
- ◆ **Evaluation** — It is important to plan carefully the evaluation of your activities at the inception of the project and not as an afterthought. Many evaluations depend on measuring certain characteristics before the program activities begin. Funding agencies expect you to have given thought to evaluating the proposed program during proposal preparation.
- ◆ **Future and Other Necessary Funding** — When requesting funding for a new project, financial planning should go beyond the proposed grant period. Show funders you are planning. The funding arena is a competitive one, and is not without its own politics. Few sources will fund any project beyond three years. They prefer to “rotate” resources since needs are always greater than dollars available in any year. They also want to avoid any long-term personnel costs, usually in the fringe benefit area.

If the problem is long-term, a coalition is likely to have two alternatives. The problem or need should be limited so the approach is do-able within the period the funds are available. If long-range staff needs are foreseen, the coalition needs to approach a regular source of dollars about assuming continuing costs for the position(s). The availability of a funding source might be limited. Some organizations fund “new, innovative” efforts for short periods, then move on to other “innovative” approaches to community priorities. This provides the donor with regular visibility to the public.

- ◆ **The Budget** — Varying degrees of detail are required in an estimated budget. Funding organizations usually provide budget forms and instructions for their completion. Be specific when preparing your budget. Funding sources do not like to see every cost estimate rounded upward and expect to be presented the true anticipated costs (to the best of your ability).

## Obtaining Funds for Problem Solving Projects

After members of a community organization begin to address a problem, they frequently consider developing a special program or project. Remember time is a resource that coalition members already possess. Before rushing into writing a proposal, figure out whether this is what you really want. Despite whether you are applying to a foundation, corporation or a government agency, there will always be many more requests than there are funds available.

The benefits of obtaining a grant, compared with how time could otherwise be spent, may not make it worthwhile to seek the funds.

Is the projected program realistically within the capability of the agency? Government funders, for example, might request that projects reduce delinquency by an unusually large percentage. Contracting with unrealistic expectations guarantees failure. The period for funding may not be conducive to the accomplishment of agency objectives.

The lure of funds has its price in conditions and restrictions. There may be limitations on client eligibility, constraints on the manner in which clients will be served, qualifications required of staff, prescribed methods of reporting agency activities, review or internal agency records, fiscal accounting review and the restraints on being able to criticize governmental bodies. There is always the potential for conflict between the funder’s need for control and the organization’s requirement for autonomy. What are the possible consequences of the program being ended after a designated period? What are the potential effects on staff and, more importantly, on clients if the project cannot continue to receive funds? An assessment must be made of the prospects for continuing the program, or the consequences of its discontinuance, before the proposal is submitted.

Cash flow is another problem related to reimbursement. Anticipate a time delay between the submission of the first invoice and the receipt of funds.

The clear message: know what you are getting into when you consider applying for funds.

## Identifying Funding Sources

Hundreds of foundations exist in any large or even moderate-sized urban community. Find which ones are right for your coalition. The best approach is to identify initially a core of foundations that match your interest.

To learn about community, private and corporate foundations, write to the Foundation Center, 888 Seventh Avenue, New York, NY 10106. They provide a catalogue that describes major sources of information about foundations. The Center also has a cooperating network of 90 library reference collections in all 50 states, Mexico and Puerto Rico. Contact the Center, (212) 620-4230, in New York to find out the location of the branch in your state.

The federal government prints sources of information that can alert you to available program grants. One of the most significant of these is the Federal Register, published each weekday. The "Highlight" section in the front lists major topics. The "Notices" section describes grant availability. Announcements are made of rules governing programs, so that though money is not immediately available, you gain some idea of what grants are likely to be funded later. It is available at most major or public university libraries, or write to Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 for subscription information.

## Identifying In-Kind Services

For almost any cost, investigate the possibility of in-kind contributions. These often cover the entire cost of a service, staff person, etc., but they also can be used creatively with other funding. There are several types of in-kind services:

- ◆ Space, including maintenance and utilities
- ◆ Staffing
- ◆ Clerical assistance
- ◆ Equipment and furniture
- ◆ Construction and renovation
- ◆ Printing facilities
- ◆ Transportation
- ◆ Public relations and promotional activities
- ◆ Recreational activities

Sometimes this type of resource is also called a "non-cash" contribution. Sometimes with foundation or government grants, "in-kind" services need to be documented carefully for audits, while the requirements for "non-cash" contributions are less rigid.

## Non-Funded Proposals

What if your proposal is not funded? In true problem-solving style, consider the options: resubmit a revised proposal, abandon the project or pursue other avenues that might solve the problem, though with fewer resources. If, on the other hand, you have the good fortune to be funded, you know that ahead possibly lie frustrations, crises, accountability for results and worries about refunding.

## About Incorporating

Should your coalition or corporation incorporate or file as a tax-exempt organization? Often, many or all the member organizations of a group already have this status. Is it necessary to apply as a coalition? There are three basic considerations. The first is the time, effort and some cost in going through the process of incorporation, and possibly some ongoing cost for fiscal reporting. The coalition needs to designate someone to act on its behalf in this matter. If the group is seeking a startup grant, an agency can be designated to do this and the grant can cover the costs. The advantage of incorporation is a clear identity is established. The disadvantage is the need to stick to much more formal operating rules and procedures.

The second point to consider is that in many coalition, several "lead organizations" emerge who have the strongest interest in furthering the group's goals. Usually, there may be the possibility of working out collaborative programs with one or more agencies. These groups could be designated to receive funds and administer them for a program carried out to further the aims of the coalition. This can avoid many complexities of establishing a separate framework.

Finally, the legal structure of incorporation makes it necessary to have a formal "funeral" if for some reason the coalition expires or disbands. This involves additional effort, sometimes some costs, and can create some negative publicity for member organizations if the media interprets disbanding as a sign of failure in solving a problem or situation.

## Thoughts On Funding For Coalitions

The funding source can have a profound influence on the structure of the coalition. If the coalition is formed in response to a funding initiative, much of its direction has been estab-

lished. To qualify for certain grant and foundation funds, it may be necessary for the coalition to meet special conditions of membership, board structure and staffing.

Funding is available from many sources, both public and private. Multiple sources may be preferred to avoid total obligation or association with a single source. But it often means more administrative work and complying with a variety of rules and regulations. Multiple funding can stabilize an operation and ensure its survival, but securing this mix requires staff time and a well-developed coalition structure. Securing multiple funding usually requires a grant person on the staff, an established identity, documentation of organization history and data, credibility and leverage. Multiple funding to alleviate undue influence by a single funding source is most important for self-regulating and advocacy coalitions. It is least vital for information and resource sharing and for technical assistance coalitions.

Levels of funding influence structure because they rarely are sufficient to accomplish the desired objectives. Although there often is considerable donated time and resources, these cannot always make up for lack of physical facilities and sufficient staff. Despite their purpose, all coalitions can be more effective if they have a constant funding level and do not have to constantly search for program funds.

## References

- Brody, Ralph. *Problem Solving Concepts and Methods for Community Organizations*. Cleveland: Human Sciences Press, Inc., 1982.
- Croan, Gerald M. and Joan F. Lees. *Building Effective Coalitions: Some Planning Considerations*. (prepared for The Office of Juvenile Justice and Delinquency Prevention), 1979.
- Lifer, Charles, and Carla Menelle. *BUCK\$ LINE*, Winter, 1990, Columbus: Ohio Cooperative Extension Service, The Ohio State University, 1990.
- Melaville, Atelia and Martin J. Blank. *What It Takes: Structuring Interagency Partnerships To Connect Children And Families with Comprehensive Services*. Washington, DC: Education and Human Services Consortium, 1991.
- Menelle, Carla. "Preparing Proposals." *Money Lines*, Columbus: Ohio Cooperative Extension Service, The Ohio State University, 1990.
- . "The Many Sources of Funding." *Money Lines*. Columbus: Ohio Cooperative Extension Service, The Ohio State University, Ohio, 1990.
- Riley, William. "Orientation to Fund Development." Presentation at National Association of Extension 4-H Agents' Conference, Greenbrier, West Virginia, 1990.
- Robinson, Estelle R. and Aleta You Mastney. *Linking Schools and Community Services, A Practical Guide*. Center for Community Education School of Social Work, Rutgers University, 1989.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Penne Smith**, County Extension Agent, 4-H, CNRD, Chair, Ohio Cooperative Extension Service, The Ohio State University.

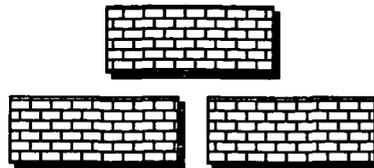
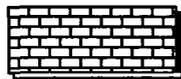
**Gregory P. Siek**, Assistant Professor, County Extension Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## **Making a Difference Needs Assessments for Building Coalitions**

A collaborative effort is necessary to effectively impact the problems that face youth and families today. Ask: Are you making a real difference in the lives of young people and their families? Would it be easier to encourage a positive change if you worked with other community agencies and support groups who have a youth and family focus? Individually, you can't do everything, but collectively, something can be accomplished. By building coalitions in your community, neighborhoods or county, the lives of youth and their families can be positively affected.

### **Understanding Needs Assessment**

Several questions frequently are asked about needs assessment.

#### **What is meant by needs assessment? —**

Needs assessment is a process for identifying gaps in results and arranging them in priority order for resolution. These gaps are discrepancies between what should be and what are the current conditions. The most important ones are selected for action. In this definition it is important to note that need is used as a noun — a gap or discrepancy. This is different from the traditional definition and use of need as a verb — require or demand.

#### **How can needs assessment be used? —**

Needs assessment can be used in several ways. Sometimes, the gap between "what is" and "what should be" establishes the objectives for programs. For example, in examining the teenage pregnancy rate, classes might be established to help these individuals adjust to their parental

roles. Other options might be to present birth control information to young people or encourage them to abstain from sexual activity until after they marry. Any or all these objectives could result from conducting a needs assessment.

Needs assessment also will help select the strategy a program might use. Suppose the basic reading level of at-risk youth was found to be inadequate. One strategy would be to require that young people take more reading courses before they graduate from high school. Another would be to change the way current reading courses are taught in the elementary schools. You might reward at-risk students for the number of books they read from the library. Information about the perceptions students, teachers, parents and employers have of these strategies could help select an appropriate approach.

Sometimes needs assessment information is used for designing or modifying an instructional program. For example, unsatisfactory academic performance can be attributed to inappropriate teaching styles. Individuals who learn by concrete examples often find it difficult to comprehend ideas presented in an abstract manner. Determining the learning styles of students and comparing it with the teaching style of instructors can provide helpful information in this modification process.

Needs assessments also can be used to evaluate progress. By administering a needs assessment instrument again, it would be possible to check the headway made in reducing a discrepancy or gap. This is similar to the procedures used in administering pre- and post-tests.

**What are the advantages of using needs assessment? —** Conducting needs assessment provides many advantages to individuals plan-

ning collaborative efforts. A major advantage is the generation of new ideas and alternatives for dealing with needs. The saying, "two heads are better than one" is appropriate for individuals who together conduct a needs assessment.

It also provides an opportunity for job enrichment. Individuals can get bored with their jobs or burned-out. Needs assessment offers opportunities to deviate from their routine and revitalize themselves. Contact with other individuals concerned with similar conditions can provide a support group with stimulation and encouragement that is often absent when one is working alone.

When resources are scarce, it can be difficult to develop effective programs. Collaboration in conducting a needs assessment can help identify similar personnel, facilities, equipment and funds in other organizations and agencies. The pooling of these resources may allow collaborators to offer programs that none could have alone.

Another advantage is the strength there is in numbers. Individuals who choose to work together on important needs often find it easier to generate support for their cause. Collaborators also can benefit from their increased "clout" with potential funders and policy makers.

**What problems can arise in a collaborative needs assessment?** — Needs assessment can have problems for those planning collaborative efforts. Individuals may complain when additional meetings are scheduled. This is especially true for busy people. Potential collaborators need to be shown the benefits of working together in needs assessment. You even might suggest how time could be saved in the long-run.

The group also needs to decide who will be responsible for providing effective leadership. Designate one individual to chair the group. If everyone is responsible for leading, it generally turns out that no one is responsible and the effort becomes disjointed.

The channels for communication among group members present yet another challenge. When busy people are involved, much time can be wasted with "telephone ping-pong." The use of facsimile (fax) and answering machines is one way to simplify communication.

In the early stages of collaboration, the needed resources are difficult to obtain. When these resources can be identified, a list of the requirements should be shared with the group. This should help the committee see who is contributing what resources and encourage everyone to

contribute their fair share.

Establishing a mission and clear objectives for the collaborative needs assessment also can provide obstacles. "Turf" battles sometimes emerge and individual agendas — both hidden and explicit — become problematic. Members of the group should concentrate their efforts on the intended results and minimize the struggles between individuals.

Individual client groups of the various collaborators can become alienated if they are not brought along as the needs assessment effort develops. Some clients will think their organization is being "short-changed" if the collaborative effort becomes too visible too soon.

Although several potential problems have been identified, all or most of the problems in any one situation can be resolved. Members of the collaborative group need to be alert to these types of problems and work to eliminate them before they block the needs assessment effort.

## Involving Others

When it becomes apparent what others are doing to address youth and family issues, you can be better prepared to become involved in community networks, coalitions or collaborative efforts. Look beyond your organization for other agencies or groups who are also involved in the youth and family arena. Possibilities include:

- Chambers of Commerce
- Churches
- Children's Services
- Community service clubs
- Extension Service
- Human Services Department
- School systems (public and private)
- United Way
- YMCA or YWCA

**Who should be asked?** — Coalition members need to be credible and trustworthy. They should be people in the community who share common goals and interest; people who are willing to compromise individual or agency gain for the coalition's aims and objectives.

**How do you find these people?** — Look through the telephone book. Check with your associates and staff members. Explore existing youth and family coalitions in the community. Get invited to service club functions. Attend parent-teacher and school board meetings. Become visible in the community. Be willing to serve on local boards and committees. Write

articles for the local newspapers.

**When should they be asked?** — Do not become discouraged if success does not happen overnight. In building a coalition or getting involved in an existing one takes time. Get to know your community. Become familiar with local power structures. Seek others who have similar goals and are committed to making a difference in the community.

## **Planning and Designing A Needs Assessment**

There is no agreed upon right way to conduct a needs assessment. (Witkin 1984) The methods for gathering the necessary information are almost unlimited. Be creative, efficient and effective. You may not have to “work harder” if you “work smarter” in gathering what you need. Here are some guidelines to help in planning and designing a needs assessment.

1. Determine the purpose for conducting the needs assessment. Among these purposes are: generating awareness, satisfying a mandate, aiding in decision-making or promoting action.
2. Define the goals and objectives for the needs assessment. Show what it is you want to find out about whom. What type of information do you want — demographic, awareness, attitudinal or behavioral? Who will be the target audience? Decide whether you are concerned about just those clients you currently serve or if you wish to broaden your client base to the total community. Be specific.
3. Select the approach you will take in collecting the information. Decide whether the information you need exists, if a new data collection effort is needed or if you will need to use a combination of approaches.

Most agencies have some type of available information. For example, your organization might already have important information in a management information system (MIS) or document(s); or, you might have conducted surveys of your clients. Another potential source of information is the U.S. census. Much of that data is already summarized by county and state.

If the type of information you want is not available, then it must be collected.

One common method is to gather data by a mailed questionnaire. Valuable information also might be collected by interviews. Observation of conditions and situations is also a potential source. Other useful techniques include the use of focus groups, public hearings or forums.

You may need to combine approaches. A limited amount of the information may be available, but other key data is missing.

4. Design the instrumentation and procedures. When designing them, “keep it simple.” Long and complicated instruments discourage response. Additionally, short instruments are less expensive to produce, distribute, collect and analyze. Once you have prepared a draft of the instrument, check it against the original proposal(s), goals and objectives to make sure non-essential information has not been included.  
Check if it needs to be reviewed by a human subjects committee. Many universities and schools require such clearances.
5. Prepare an estimated time line and budget for the needs assessment. These activities will help keep the procedures on target. In addition, cooperating agencies will see how they can make “in-kind” contributions and help make the needs assessment more cost effective.
6. Conduct a pilot test of the instrumentation and procedures. Many mistakes can be identified and eliminated by trying them with a small group.
7. Collect the information. Limit the collection time to no more than six weeks. This will help develop a sense of urgency and keep the needs assessment targeted.
8. Analyze the data and information. If there is a large response, try to have access to a computer to conduct the statistical analyses. There are also software packages to analyze qualitative data.
9. Prepare a report of the findings. Make it as user-friendly as possible. Do not create a long document. It is probably better to divide the report into several brief documents than one long one. Consider using “white space” and figures to help communicate important points. Also, consider developing audio-visual reports. Videotapes, transparencies and slides can be effective in communicating results.
10. Evaluate your efforts. Take time after the

needs assessment has been completed to judge its merit and worth. What worked well? What problems were encountered? How could you have done it better? Once the evaluation is complete, share it with others interested in needs assessments. This will provide an opportunity to learn from one another.

## Reporting Information

Once the data collection portion of the community needs assessment process is complete, you have the components that will make, in essence, a “scouting report.” Now you must be able to compress and present that data in a concise format, insuring also that it will be used.

Consider:

- ◆ People differ on how they prefer to receive information. Prepare multiple reports using a variety of media.
- ◆ People rarely read reports cover to cover. Make the community needs assessment report readable, including an executive summary. Keep a logical sequence in mind, use an outline and language that is easily understandable. Start with the most important information.
- ◆ Do not be afraid to list or identify the limitations and alternative explanations. This should increase the credibility of your processes.
- ◆ Include oral reports as well as written documents. Remember an oral report requires the quick engagement of the audience with key points of interest. They allow for interaction, which could serve to generate new ideas and insights.
- ◆ Report only that which is important. Make sure the audience knows why the needs assessment was completed, what is now known that was not known before and how the new information will help you get where you are going. Keep information relevant, practical, applicable, credible and understandable.

## Using Information

Three fundamental guidelines increase the likelihood that your community needs assessment results will be used.

1. Issues that users perceive as important must have been addressed.
2. The information must be communicated to the appropriate potential users.
3. The information must be transferred in a timely and understandable form.

Early in the process, identify who might have the most interest in the results. Keep in touch with the potential users and cultivate new ones. There is no real end to the process, and the community needs assessment will form the beginning of a coalition to address an issue or issues that will require future assessments.

The primary use of the community needs assessment will be to give form and direction to the coalition in addressing issues that pose threats to opportunities for youth in the community. The primary users of the information will be youth agencies, youth organizations and youth development managers. However, there also will be secondary users of such information, which would include other community organizations and agencies, parents and the public in general.

Once information is shared and the important players are familiar with the results of the assessment, someone must take the leadership to establish a working framework. The first decision will be whether a coalition should be initiated. This will depend not only upon the issues identified, but also upon the availability of resources to address those issues. The option of NOT forming a coalition should be appropriately considered.

Use the information identified through the needs assessment to determine the mission statement of the coalition, build the goals and objectives of the coalition, and outline the coalition’s action plan. Use the original information as a benchmark as you proceed through the coalition’s action plan, keeping in mind that it may need periodic updating.

## References

Kaufman, Roger. "Relating Needs Assessment and Needs Analysis." *Performance and Instruction* (November/December 1989).

———. *Identifying and Solving Problems: A System Approach*. 3d ed. San Diego: University Associates, 1982.

Krueger, Richard A. "Reporting Evaluation Results: 10 Common Myths," Paper presented at

the annual meeting of the American Evaluation Association, Kansas City, November 1, 1986.

Morris, Lynn Lyons, Carol Taylor Fitz-Gibbon and Marie E. Freeman. *How to Communicate Evaluation Findings* Beverly Hills, California: Sage Publications, 1987.

Witkin, Belle Ruth. *Assessing Needs in Educational and Social Programs*. San Francisco: Jossey-Bass Inc., Publishers, 1984.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* was developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., director.

## Authors

**Thomas M. Archer**, Associate Professor, Extension Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

**Robert Cripe**, Extension Agent, 4-H/CNRD, Ohio Cooperative Extension Service, The Ohio State University.

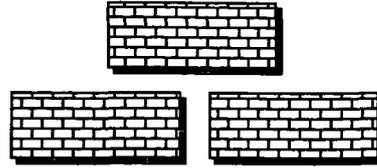
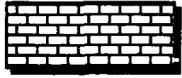
**N.L. McCaslin**, Associate Professor, Agricultural Education, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Mobilizing the Community

Communities can mobilize to work for changes that will benefit the social, emotional, financial and physical needs of citizens.

Each community is a microcosm of a nation. It includes a dozen publics. It is the educational and professional groups, members of fraternal organizations, women's and garden clubs. It is business and industry, civic leaders, youth, media, labor and church leaders and the elderly. It is the community at large, which may react differently as a group than its members would as individuals. (White, 1)

Mobilizing the community begins when:

- ◆ Concerned citizens organize to take a stand.
- ◆ Needed community changes are determined.
- ◆ The public is concerned about the problems and need for collaboration among the community groups and individuals.
- ◆ The community at large is involved in the situation.
- ◆ Emerging community leaders are recognized and encouraged.
- ◆ The efforts for change are kept going after the coalition is ended. (Owen and Miller)

## Prerequisite for Mobilization

When individuals and organizations come together to work on an issue, it is common to see them scramble over "turf" issues and for multiple, unrelated programs to result. The group needs to come to a consensus of moving toward collaboration. For this to happen, there needs to be time allowed for trust building. This is where the different individuals and organizations examine their capabilities and motivations. Ideas are exchanged, problems resolved and participants learn to give and take. (Dye and Wood 1981, 2)

For successful coalitions to happen, working relationships must be developed between each member of the coalition and the groups must put the plan into practice. Coordinating mechanisms can help.

In addition, it is necessary that any collaborative effort be as open as possible. Involve the broadest circle of agencies and organizations to encourage collaboration around the common issue. It is essential that any collaborative effort does not threaten or duplicate existing efforts on the same issue. The coalition also must recognize that the public will be pushing for action and results.

## What is Needed to Mobilize a Community?

- ◆ **Concerned citizens** ready to take a stand, say they want something different and are willing to work to see it accomplished.
- ◆ **Emerging leadership** that inspires and guides the project.
- ◆ A common **community vision** of the results.
- ◆ **Involved people** who recognize that the means to achieve their goals will vary but who support the common goal.
- ◆ **Recognition and encouragement** of those who contribute to reaching the goal.
- ◆ **Specific plans and goals** to reduce impact of at-risk situations.
- ◆ **Leadership that encourages**, builds and finds strategies but doesn't become the focus of the situation.
- ◆ **Recognition** that human relationships are important.
- ◆ **Time.** (Owen and Miller, 7-8)

## Who Needs to be Involved?

The natural allies for mobilization are those persons who have a common interest in an issue. This can include community-minded individuals and all persons and groups affected by the issue.

It is important that the group have linkages either by representation or delegation to the power structure, government agencies, key communicators, advisory boards, local businesses and educational institutions.

Membership in a community coalition falls into three categories:

- ◆ **Activists** who take an active role and provide leadership, write grants and serve on subcommittees and steering committees.
- ◆ **Helpers** who work on a limited basis or on specific designated tasks such as letter writing, newsletter distribution, etc.
- ◆ **Communicators** who share the work of the coalition to the outside through educational sessions and coalitions with other groups. (Burghard)

## Strategies to Use

Various strategies are used to form coalitions. It has worked successfully to form an organization of the diverse groups who have a common interest, identify and recruit potential members, and establish a governing board. The coordinator of the group facilitates the decision-making process and helps members work together. Due to coordinating effort and visibility, formal groups are able to carry out large projects. Unfortunately, this strategy requires more time and effort to develop and operate.

Another strategy is less formal and can be applied to a community of any size. It targets particular segments of the population through building informal networks.

## Methods

Various methods for mobilization can be used, including a town meeting approach or speak-outs. Their common factors are they are process-oriented activities and include individual, follow-up and concrete portions.

The initial large meeting allows for education and suggests the democratic process. Sign-up sheets at this meeting will help with the next phase, which is done by subcommittees who follow through on assignments and issues. It is here the individual is recognized and appreciates the openness. Finally, there is the concrete work

of the subcommittee that shows the community they are working for change. (Burghard 1986, 40)

## Public Relations Plan

When launching a new program or mobilizing the public to action on a community need, an effective, comprehensive public relations plan must be developed. This generates greater support and involvement in programs and activities that address the need. A new program must be recognized and perceived as an asset to the community.

Barbara L. White, Ph.D., says an effective public relations plan will help those who are concerned contribute to the creation of positive attitudes where none exist. She also notes that it will intensify existing positive attitudes, convert existing negative attitudes and sometimes neutralize persistent negative attitudes. Sound public relations programs are planned for before, during and after a program's introduction. The objective is to sell the program, to gain support and to maximize involvement. The program must be visible, viewed as a necessity and appreciated for what it offers. (White, 2-3)

To add a competitive edge to the initiative, program publicity must go through the following stages:

1. Unveil the program — not once but literally hundreds of times.
2. Promote the ad campaign behind the program.
3. Tell the story of the people who developed it.
4. Report on community acceptance.
5. Report on the community's reactions.
6. Tell the story of the program's success.
7. Emphasize advantages to the community.
8. Report on trends.
9. Tell success stories of other states and other communities. (White, 3-4)

Guidelines for a local community public relations plan include:

1. Select members for a public relations task force who represent the groups involved.
2. Appoint a director of the task force.
3. Conduct an awareness/opinion/attitude survey.
4. Analyze the survey.
5. Conduct workshops for all those involved in the public relations component of the program.
6. Develop a multiple-year mobilization plan. (White, 4-5)

A public relations task force reaches the public in two ways:

- ◆ By person-to-person contact through speeches, meetings with civic leaders, annual meetings, special events, personal letters, employee contacts, participation in civic affairs, support of education programs, religious assemblies, public service events, open houses and ceremonial affairs.
- ◆ By use of local media such as television, radio, newspapers, advertising in direct mail, newsletters, billboards, displays, films, brochures, exhibits, theater and sports programs, business signs, etc. (White, 4)

## Developing a Mobilization Plan

A mobilization plan should raise the public's consciousness about the problem, garner the support of the citizens and involve an effective percentage of the population in active program participation. (White, 2)

The early focus of any public mobilization plan should:

- ◆ Determine attitudes toward the problem.
- ◆ Assess what the public expects.
- ◆ Provide adequate information about the far-reaching effects of the problem.
- ◆ Develop effective information that acts as a catalyst for community support and involvement. (White, 2)

<b>Model Format of Mobilization Plan</b>					
<b>Public Mobilization Plan</b>	<i>Implementation Schedule</i>				
	<b>1992</b>	<b>1993</b>	<b>1994</b>	<b>1995</b>	<b>1996</b>
<p><b>External Audiences</b></p> <p>A. Graphic presentation with brochure handout to representatives of:</p> <ul style="list-style-type: none"> <li>I. Business Community</li> <li>II. Educational Systems</li> <li>III. Law Enforcement</li> <li>IV. Human/Social Services</li> <li>V. Government</li> <li>VI. Churches</li> <li>VII. Other Groups As Determined By The Coalition</li> </ul> <p>B. Public Relations Packet to:</p> <ul style="list-style-type: none"> <li>I. Opinion Speakers</li> <li>II. Speakers bureaus in place at various businesses, organizations</li> <li>III. Public Service Announcements on radio and television</li> <li>IV. News items to newsletters of various businesses</li> <li>V. Bill Boards</li> <li>VI. Video/Slide Presentations</li> </ul>					
<p>S — Study                      E — Evaluate                      P — Plan                      PI — Pilot</p> <p>I — Implement                R — Recommendation            ◆ — Budget Item                O — Ongoing</p>					

White recommends that a mobilization plan have specific goals, objectives, activities and timeliness. A multiple-year plan should:

- ◆ Assess public awareness, opinions and attitudes.
- ◆ Evaluate programs and services being offered.
- ◆ Study programs and services to be offered.
- ◆ Determine the strengths and weaknesses of the program.
- ◆ Determine resources, both internal and external.
- ◆ Assess "environmental" factors:
  - 1) Legislature
  - 2) Public awareness/opinions/attitudes
- ◆ Determine campaign theme.
- ◆ Develop campaign print materials.
- ◆ Develop campaign visual materials.
- ◆ Develop packet of materials for the following:
  - 1) Local opinion makers
  - 2) Local speakers bureau
  - 3) Key communicators in the community (White, 9)

## **Continuing Mobilization in Established Groups**

Established groups and coalitions have a different set of concerns to address.

### **Problems**

The most common problems facing established grassroots groups are a self-satisfied inwardness that may over time breed marginality, a lack of outward growth and a leaning for elitist or undemocratic functioning. An easy way to identify the early signs of inwardness is the tendency for group members to use first names, abbreviations and shorthand words.

### **Helps**

To prevent stagnation and continue group outreach, organizers must serve as role models and carefully, but consistently, intervene when abbreviations and shorthand words are used in the group. Once group outreach is dropped, it is difficult to reestablish. Subcommittee reports should always give brief information on why the committee was formed. The emphasis on procedural items for explanation, clarity in communication and clear terminology will speak to new people of the group's commitment to growth and their desire for newcomers.

Older members of established groups also have needs to be met. They may need to feel their work is worthwhile by public validation. Make certain that part of the group's activities include some form of education and development to keep members aware of larger group goals, concerns and issues.

A final issue for established groups to address initially is the nature of its leadership. The greater the shared decision-making, the greater the long-term benefits for both membership and group. One structural issue to work toward is limiting a person's position as lead of the organization to no more than two years. Also, no one in the group should be excused from performing all the tasks involved in the operation of the group. (Burghard 1986, 42-45)

## **Barriers to Mobilization**

Some success of any community mobilization effort lies in how well opposition, criticism and other barriers are met. To sustain the mobilization effort, be honest, clear, factual and timely. Focus on the continuing assessment of communication needs, involving coalition members and community citizens on all levels. Make certain staff and public participants (those involved in publicly mobilizing the program) are still committed to its implementation. (White, 13)

Turf wars (who takes credit for program results) and pecking order can be principal roadblocks to successful collaboration and community mobilization. Best results come when all groups involved jointly take credit and share in the results of the mobilization. (Quick, Flashma and Gibeaux, 73)

A community must be approached cautiously to figure out centers of interaction and who the natural helpers and gatekeepers are to help facilitate awareness. Gottlieb (1974) emphasizes that natural helpers should not be "professionalized" through training or they may have less caring, concern and help. To be fully successful, mobilizers cannot afford to be insensitive to, or ignorant of, natural helping systems as they are at the heart of the sense of community. (Murray and Keller, 153-154)

Cultural differences in the community can be a barrier to mobilization bringing conflict and misunderstanding.

Another barrier can be the lack of quick adjustments to unforeseen problems.

## Enhancing Mobilization

Much can be done to enhance community mobilization. Guidelines for beginning groups include: (White, 12)

- ◆ If a basic need is satisfied, the group, organization or individual will not be moved by an appeal to that need.
- ◆ If a basic need is not satisfied, that need will motivate the group, organization or individual, but only until it is satisfied.
- ◆ If a lower need is satisfied, a group, organization or individual will not be moved by an appeal to a higher need, though the higher need is also unsatisfied.
- ◆ A group, organization or individual is always open to a challenge to creativity, provided they feel secure about basic needs.

Know the groups, the organizations and the individuals you hope to activate. Do not treat individuals in a group as though they are all the same. Factors that guarantee success in motivation are: (White, 12)

- ◆ **Relevance** — The program is based on what the public cares about.
- ◆ **Convenience** — It easy for the public to participate.
- ◆ **Publicity** — Let people know what is planned.
- ◆ **Commitment** — A successful program demands time and commitment by the program and public relations staff, but there is always a clear purpose and goal directing the effort.

Other tips for enhancing community mobilization include:

- ◆ **Set priorities** for approaching various audiences for support and evaluate effectiveness with specific audiences. (Thomas 1989, 278)
- ◆ Actively **recruit key people**. (Thomas 1989, 281)
- ◆ **Develop aggressive public relations** programs.
- ◆ **Establish an identity** for the program.
- ◆ Realize that community acceptance increases considerably with **program longevity**. (Murray and Keller, 139)
- ◆ **Have a focused mission**. (Dye and Wood 1981, 8)
- ◆ **Respect the time commitments** involved by group members and audiences

being mobilized. (Dye and Wood 1981, 11)

- ◆ **Develop linkage agents**. (Thomas, Hart and Smith 1989, 278)

## Payoffs

Community mobilization through coalitions and groups can have high payoffs for communities in one or more ways:

- ◆ Organizations and programs at the community level improve services, move into creative new ventures, do things together they could not do alone and gain courage and support to take risks that they might hesitate on their own. (Dye and Wood 1981, 12, 13)
- ◆ Communities that have grown weary of trying to solve problems with outdated procedures can restore confidence and goodwill and be empowered to develop possibilities, resources and alternatives.
- ◆ Communities increase their ability to attract financial support from public and private sources.
- ◆ Communities acquire the distinct possibility of true prevention and early intervention. (Murray and Keller, 155)
- ◆ Community corporate planning produces programs that are cost effective, cuts down on duplications of services and creates integrated approaches to problem solving. (Dye and Wood 1981, 13)
- ◆ Community involvement generates commitment.

## Summary

When essential elements and conditions come together, a true sense of community evolves; one that inspires, energizes and rewards members of as they resolve joint problems. Leaders take a positive stand. The diversity is recognized and used as a strength.

“Community” becomes redefined as more than a place, and more than the elements that divide people. It becomes the way in which people live and work together. The result is what some would describe as a “mobilization of coalitions and collaboratives,” that those who live in the community simply describe as “the way we do things in *our* community.” (Own and Miller, 6)

## References

Burghard, Steve. *Organizing for Community Action*, University of Michigan School of Social Work, Sage Publications, 1986.

Dye, Robert R., John S. Wood. "A Different Game: Collaborating to Serve Youth at Risk," National Council of YMCAs, National Collaboration for Youth, *Journal of Voluntary Action Research* (July-December, 1981).

Heleen, Owen and Frederick T. Miller. *Mobilizing Local Coalitions and Collaborations to Better Serve Children at Risk*. Boston: Institute for Responsive Education and Medford, Massachusetts: Lincoln Filene Center, Tufts University.

Murray, J. Dennis and Peter A. Keller. *Innovations in Rural Community Mental Health*,

Mansfield, Pennsylvania: Mansfield University Rural Services Institute.

Quick, Sam, Robert Flashman and Arlene Gibeaux. *SOS Learning Networks: A Model of Interorganizational Cooperation*. University of Kentucky.

Thomas, John, Thomas E. Hart and Stuart C. Smith. *Building Coalitions*, ERIC Clearinghouse on Educational Management, Eugene, Oregon, Office of Educational Research and Improvement (ED), Washington, D.C., 1989.

White, Barbara L., Ph.D. *Mobilizing the Public to Better Serve Children At-Risk*. Community Relations and Public Information. Jackson, Mississippi: Jackson Public Schools.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center for Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Barbara A. Brahm**, Certified Home Economist, Assistant Professor, County Extension Agent, Home Economics and 4-H, Ohio Cooperative Extension Service, The Ohio State University.

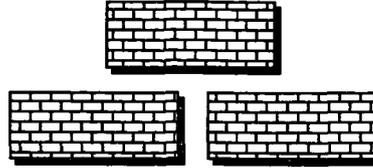
**Margaret E. Griffiths**, Certified Home Economist, Associate Professor, Northwest District Extension Specialist, Home Economics, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Structure — Construction of a Coalition

Structure may refer to the form by which the collaboration accomplishes its mission. The people who lead, participate in and eventually implement the activities of interagency initiatives, affect the growth and development of joint efforts.

The coalition is essentially a mechanism for increasing the power or leverage of groups or individuals. The object is to get more out of the coalition than is put into it.

Situations, although difficult or impossible for the individual to overcome alone, can be dealt with simply and rapidly by acquiring the right allies. This is coalition building.

Begin by analyzing the problem: What do you want to achieve? Who can help (or hurt) your efforts? What are the rewards for becoming part of a coalition? What action is needed to meet the objectives?

A coalition should be structured to:

- ◆ Involve all key players.
- ◆ Choose a realistic strategy.
- ◆ Establish a shared vision.
- ◆ Agree to disagree in the process.
- ◆ Make promises that can be kept.
- ◆ Build ownership at all levels.
- ◆ Institutionalize change.
- ◆ Publicize successes.

## Who Should Initiate a Coalition?

The initiating organization will experience success in effecting collaboration if it can show the credibility of the employees and their commitment to collaborative efforts. Those who form the coalition must develop a loyalty to the core group that is strong enough to cope with competing pressures from their organizations.

Obviously, no collaborative experience is identical with any other. The greater the functions complement (as contrasted to being similar) the collaborative venture and the individual members, the greater the likelihood of cooperative action.

## Support for the Coalition

The social and political climate in a neighborhood or community is the first factor likely to influence an interagency initiative.

Bringing key decision makers into the coalition at the beginning gets them interested in the issue. It also helps keep it alive through constant visibility with community leadership and the press. Involving key decision makers gives credibility to the project.

Three fundamental items are needed by coalitions to develop enough political power to influence change — unless, of course, one has a lot of money with which to buy access and influence. The key ingredients are information, numbers of people and widespread coordinated activity. Coalitions need information — about what is or ought to be proposed, its implications, the alternatives, the forces on both sides of the issue, and so forth.

Ask policy-making boards locally or statewide to support your coalition efforts. You may want to:

- ◆ Obtain agreement on plans.
- ◆ Develop awareness of services within agencies within the local community.
- ◆ Involve officials in problem-solving.
- ◆ Seek advice and evaluation.
- ◆ Share planning, implementation and local support received.
- ◆ Ask elected officials to endorse policies and plans.

## Who Should Belong to the Coalition?

Collaboration begins with the selection of resource people who have experience in dealing with the particular issue and understand the common goal. They have the authority and power to influence change and the energy and enthusiasm for keeping the momentum alive.

Initial contacts usually work best if they are between agency administrators. This follows protocol and allows the administrator to delegate the responsibility. It avoids the administrator hearing about the contact from someone lower in the agency, becoming suspicious and defensive, and scuttling the effort before it begins or initially putting it on bad footing.

Broad-based representation — including youth — is critical. Failure to establish mutual goals and objectives is a major reason collaborations fail. Collaboration rests upon the principle that each person has something to offer.

Traits like patience, persistence, initiative, flexibility, risk-taking, empathy, self-assurance and self-realization are critical to working in a collaborative relationship with others.

Begin by determining all the natural allies — individuals or groups who share the concern and support a similar position. Continue by seeking all types of persons, groups and social structures likely to be affected by the issue or position taken — both affirmatively or negatively. Do not forget to include all potentially interested and civic-minded groups who might stand to gain indirectly by supporting the issue or constituents.

## How to Recruit Members

The first thing one must know to work with another agency is what it is and does. Face-to-face meetings can address the initial unknowns and allow staff from both agencies to get as much detailed information as necessary.

Building upon existing efforts saves time, resources and creates strong working relationships.

Develop a strategy for selling potential members on the idea of organizing a coalition around issues. The organizer must be clear about how the members of other organizations, their public image, their organizational goals, and so on will be enhanced by involvement in the coalition.

One must be prepared to discuss with each potential member organization the following issues:

- ◆ The relationship of this coalition to issues

or activities already undertaken or contemplated by the organization.

- ◆ Evidence that the issue to be pursued by the coalition is best served through a coalition rather than through existing organizational efforts.
- ◆ The immediate and long-range consequences for the public, government, beneficiaries and so forth.
- ◆ The specific impact the organization is likely to experience because of the coalition effort and the effect it will have on the coalition.
- ◆ The major decisions that must be made about the coalition and its goals.
- ◆ An assessment of the resources (staff, financial, in-kind) available to and necessary for the coalition to function adequately.

If you are not familiar with or have a negative impression of another agency, the first step is to become acquainted. The main objective of an initial contact is to open communication.

Finally, another way of identifying groups is by administering a community information questionnaire. This also gathers data about the political, social, economic and power bases in the district. This information could serve as a starting point for determining the constituencies from which coalition members will be recruited.

## Keeping the Momentum Alive

Formally-organized coalitions have a governing board that establishes policy and generates funds. To maintain credibility, the board's composition should represent all community segments the coalition wishes to embrace.

Once the board is established, a common practice is to form committees to oversee the coalition's projects. Tasks can be allocated among committees that enlist the help of additional participants.

There is yet to be a collaborative effort that functions perfectly, but there is encouragement. Collaboration is a new growth area that is stimulated the more it is practiced.

## Formal Versus Informal Coalitions

Once agencies decide to work together, they also must agree on whether their coalition will be primarily cooperative or collaborative in nature.

A collaborative strategy is where the need and intent is to change the way services are designed and delivered throughout the system. In communities not yet ready for collaborative partnerships, initiatives to coordinate existing services offer a reasonable starting point for change.

Three types of collaborative missions exist: service-oriented, where direct services are provided; system-oriented, where efforts are targeted at improvement of the service delivery systems; and dual mission, which encompasses both service and system initiatives. Service and system collaborations differ radically.

Designed to address immediate needs and to improve tangible services, service collaborations chart more circumscribed, easily-accomplished tasks than those generally undertaken by system collaborations. Feedback is more immediate, gratification quicker and impact more visible. Conversely, the accomplishments of system collaborations' tend to be longer in process, more abstract and less visible. Thus, evaluation needs to discern carefully among service, system and dual mission efforts, with attention to their differing challenges, timeliness, processes and outcomes.

## Maintaining the Coalition

Flexibility is the essential condition of a successful collaboration. No matter how carefully goals are defined at the outset, they are routinely challenged, making goal reassessment an on-going necessity. Early "fiascos" or "aborted efforts" demand flexibility in responding to failure and the recontouring of collaborative activities. The most effective collaborations appear to be strengthened, not defeated, by disappointments and challenges.

Coalitions need to exist only as long as it is useful to its members. But, when it disintegrates before achieving its goal, it usually has fallen victim to one of these defects:

- ◆ **Failure to keep members informed about the policies and actions of the organization.** Lack of information is a prime reason for believing the coalition has been ineffective and therefore for dropping out. To keep the information flowing, it is often necessary to publish newsletters, set up telephone networks or hold frequent discussion meetings — even when no decisions have to be made.
- ◆ **Lack of interim rewards for members.**

The failure of a coalition to show some concrete results short of ultimate victory often discourages its members. To provide interim reinforcement, it may be necessary to sponsor social events: boat cruises, hayrides, cocktail parties and picnics. Important public figures, such as local office holders, may be asked to attend these activities to show support for the coalition's goals. Such gatherings are essentially surrogates for more tangible rewards, but may work well as stopgap measures.

- ◆ **Loss of key leaders.** An organization may develop a serious vulnerability if one dominant leader prevents others from sharing power. In a well-structured alliance, the leadership role is diffused so the loss of any one person would not be fatal.
- ◆ **Serious irreconcilable splits over the coalition's direction.** Such splits may suggest the coalition was weak to begin with, perhaps because it lacked requirements for cohesion, such as ideological ties. Splits tend to occur during moments of crisis when two seemingly attractive policy alternatives present themselves, or a frustrating defeat is suffered.
- ◆ **Change conditions.** When circumstances arise that were not present when the coalition was formed, it may be unable to adapt. It perishes because its members recalculate the costs and benefits in light of the new circumstances, and the results encourage defection.
- ◆ **Delay.** Unless a coalition is intended to be permanent, the members expect it to achieve its main objective within a reasonable time.

## Recording Meetings

A decision should be made early in the planning to set up a mechanism for sending out notices of meetings and recording and distributing meeting minutes. Keeping meeting minutes is important to communicate key ideas that have been discussed, document resolutions and record other important actions.

It is not always possible for everyone to attend all the meetings, so minutes should always be sent to the members. Keeping everyone informed about how the coalition is developing will do a great deal to keep communication channels open.

## Use of Volunteers

The greatest pool of unused resources for meeting human service needs is the pool of untapped volunteer time and energy. The Gallup Poll shows that the majority of Americans above the age of 14 are ready and willing to give volunteer time for community service.

Every day volunteers and other social practitioners and people-helpers develop innovative, creative and experimental ways to help their clients. Usually, however, they have no way to document their new practices. They simply exchange them verbally and informally, and many get lost. It is estimated that thousands of inventive social practices are lost each year for lack of a good way to share them.

Organizations using volunteers need to develop methods for bringing these social inventions to light. A cross-agency conference could bring together volunteers in a particular field, such as those working with 16 to 21-year-olds. They can share what they have found to be successful in working with this age group. Someone can record each respondent's name and address and his or her successful practice, so it can be used by others. Such a conference is also a good way to begin or strengthen collaboration between agencies, as it demonstrates their interdependence and enriches them both.

## Summary

The people or groups recruited into the coalition, the support for and where this support comes from in the community, and the design form the structure of the coalition. These need to be planned with purpose so the coalition can be a successful venture.

*Building Coalitions* is developed by The Ohio Center For Action on Coalition for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Penne Smith**, County Extension Agent, 4-H, CNRD, Chair, Ohio Cooperative Extension Service, The Ohio State University.

**Charles H. Bell**, Associate Professor, District Specialist, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

## References

Hart, Thomas. *Building Coalitions for Support of Schools*, Oregon School Study Council, vol. 32, no. 1, September 1988.

Kagan, Sharon L., Ann Marie Rivera and Faith Lamb Parker. *Collaborations in Action: Reshaping Services to Young Children and Their Families*. Executive Summary, The Bush Center in Child Development and Social Policy, Yale University, January 1991.

Levin, Edward and R. V. Denenberg. *Alliances and Coalitions — How to Gain Influence and Power by Working With People*. McGraw-Hill Book Co., 1984.

*Linking Schools and Community Services, A Practical Guide*. Center for Community Education School of Social Work. The State University of New Jersey, Rutgers.

Lippitt, Ronald and Jon Van Till. "Can We Achieve a Collaborative Community? Issues, Imperatives, Potentials," *Journal of Voluntary Action, Research* Vol. 10 (July-December 1981) 7-17.

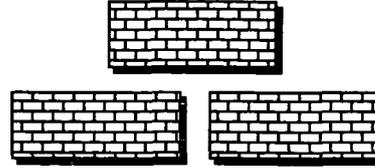
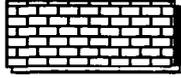
Rodriguez, Esther, Patrick McQuaid and Ruth Rosauer. *Community of Purpose: Promoting Collaborations Through State Action*. Education Commission of the States, February 1988.

Rossi, Robert J., Kevin J. Gilmartin and Charles W. Dayton. *Agencies Working Together, A Guide to Coordination and Planning*. Sage Publications.

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

© 1992 The Ohio State University

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Turf Issues

Organizations will join coalitions or collaborations because they see benefits of combining resources to work toward a common goal. Dealings between organizations are usually harmonious. On occasion, controversy develops. Sometimes it involves competition; occasionally it escalates into conflict. When left unresolved, this tension can often seriously damage the efforts of some or all the partners to reach the common goal.

This fact sheet will examine "turf issues" as one source of organizational tension. It will discuss what it is, how it happens and what to do. Suggestions will include situations where it is already noticeable, but also offer tips on how it can be avoided.

### "Turf-ism" — What Is It?

"Turf-ism" is the non-cooperation or conflict between organizations with seemingly common goals or interests. They would normally be expected to work together in a given situation.

The term "turf issues" is borrowed from street gang terminology. Every gang has its neighborhood or "turf" in which it operates, and it defends this area against other gangs (usually violently). This idea has its parallel in animal behavior in the idea of "territoriality." In this version, individual animals have their "home base" around their mating, feeding or nesting grounds that they defend against other animals, even those of the same species.

In theory, each organization has its "domain" or field of operation. It also has human and material resources, goals and tasks related to the goals. When relationships are formed by community and educational organizations, they agree to exchange resources. This is often called the "exchange theory" of organizational relations. In the effort to secure needed resources and reach goals, organizations often develop overlapping

"domains." This may make them unexpectedly reluctant to enter the expected exchange. (Levine and White 1961) When this happens, a "turf battle" can take place.

### Why Does It Happen?

Conflict usually involves perceptions of incompatible goals or threats to relationships. (Ross and Ross, 1972) These perceptions lead to "turf protection" as organizations decide to "defend" their domain rather than share with another organization. Every time two organizations interact, they establish boundaries through "exchange" relationships. (Zald 1969) The basic factor in triggering a "turf battle" is the degree of power surrendered or gained by the organizations involved. "Power" as used here is the ability to control or manage resources to accomplish a goal. If both organizations feel they will gain by working together or having access to an equal degree of power, cooperation continues. But if one organization feels it has too much to lose by continued cooperation, it begins to defend its "turf."

These "turf battles" can take place for three fundamental reasons, all related to the perceived effect on power:

1. If one organization perceives the other as a direct and regular competitor for resources that are not likely to be shared;
2. If one organization perceives a "marginal cost" to the proposed cooperation in money, time or energy greater than perceived benefits of collaboration;
3. The degree of which the organization feels it is flexible to change its current goals, tasks and philosophy to adopt the course of action being proposed.

According to Zald, another reason for turf battles is the lack of knowledge or mistrust of the other organizations. If the target group or con-

stituencies of two groups seem to overlap to a high degree, there is more likely to be cooperation. If one organization feels it does not have much in common with the proposed partner, it is less likely to feel the mutual benefits of the proposed action.

Turf battles also can result if one party in a proposed relationship feels the exchange will be unequal. This could happen in one of two ways. One organization may feel the proposed course of action is unilateral, that they have no real voice in deciding what or how it will happen. An organization also can feel the exchange would be unequal. It might feel that it would cost them too much in resources compared with the proposed benefit, or that another party stands to gain more resources than other partners. (Levine and White 1961)

## **When Does It Happen?**

The “domains” of organizations can overlap in several major ways:

**Over Goals** — Although general goals of participating organizations seem mutually dependent, a particular proposal for joint action is perceived to work against the interest of one of the intended partners or against another limited goal.

Example: A delinquency-prevention group declines to form a working relationship with a community center in a target neighborhood. They feel the center would be devoting too much attention to counseling other family members about other problems rather than counseling troubled youth. (Reid 1969)

**Over Resources** — Proposals, requests for public or private funds, shared staff, supplies, facilities, etc. from other organizations, etc. may be competing. Sometimes one intended party is denied totally. Sometimes distribution is to both parties, but on an unequal basis. In other situations, conflict over resources might result from how many resources should be put in to the joint effort, not from which gets more from a collaborative effort. (Reid 1969)

Example: Both 4-H and the Boy Scouts apply to a service club for funds to plant trees on Arbor Day.

**Over Geography** — One organization feels they provide some service to or represent interests of an area exclusively. To allow another organization to operate in the area may suggest that the first organization is not doing an ad-

equated job. It also may be perceived as a duplication of effort, or a source of potential confusion to target audiences.

Example: Two organizations both propose to begin teen pregnancy prevention programs in the same neighborhood.

**Over Methods** — Organizations have a general agreement on goals, but one feels the approach proposed to reach goals would be ineffective or counterproductive to other interests of organization. In another form, one organization may feel a degree of “ownership” over an activity or technique that another organization plans to use.

Examples: One organization in a coalition proposes to work toward improving funding for new child care centers by writing proposals to local foundations. Another organization wants to endorse political candidates who favor increased state funding for establishing new centers.

An organization has held an annual “pancake breakfast” on Valentine’s Day for the past five years to raise funds for its youth softball league. Another organization proposes that the coalition hold a county-wide pancake breakfast on Presidents’ Day to raise money to purchase drug abuse prevention coloring books.

**Over Identity or Public Perception** — An organization feels that proposed cooperation would change how their organization is viewed by public (less powerful, more or less conservative, feels threatened by potential success of other partner).

Example: A school system with falling student reading achievement scores is asked to distribute flyers for collaboration tutoring program.

**Over Personalities** — A representative of one organization is personally disliked by staff of another or represents a political or organizational threat. Non-cooperation represents a chance for the first organization’s representative to “win” or “damage” the other party.

Example: One organizational director is asked to serve on a coalition committee chaired by the director of another organization. He or she plans to run against that individual for chairperson of the group next year.

Each organization in a coalition or collaboration may have several goals and programs. The cooperative efforts may represent only a fraction of the total activity or domain of the organization.

## How To Avoid "Turf Battles"

Long term it is better to avoid turf battles than to have to deal with them. Before initiating or becoming a member of a coalition, there are certain things to remember:

1. A group's goals are never 100 percent compatible with the goals of each organization or person involved. The "domains" are not likely to overlap totally. Accordingly, each member must be prepared to compromise or modify his or her commitment to specific goals and to help other members adjust as necessary.
2. Enough time should be spent at first to clarify coalition goals and develop each member's commitment to them. The group should establish a consensus on the "domain" of action for the coalition, and how the resources of members might relate. The higher the sense of common purpose, the higher the probability of harmonious relations between members.
3. Clearly relating the needs discussed to the potential available resources can help build early momentum and cooperation. It can avoid tackling a large, vague problem and create a positive climate by being capacity-centered or resource-centered rather than problem-centered. This can be especially important in coalitions designed to operate in a small geographic area. (McKight and Kretmann 1991)
4. Knowing the relationship between the members' personal goals and the group's goals can suggest potential sources of agreement and disagreement and show results.

Organizations should think twice before inviting groups that have only a partial or marginal relationship to the coalition mission to join the group. Doing homework by consulting newspaper files, and interviewing organizational representatives and residents can be good sources of basic information. (Cener 1988) It also can suggest future avenues of positive involvement for some members.

5. Large groups usually have an advantage in the information giving and "brainstorming" phases of problem solving. Still, they can be a potential disadvantage when consensus needs to be reached. Between-meeting communication before a proposed action with major parties helps avoid

surprises and helps make meetings more productive.

6. Structured subgroups may eliminate the disadvantage of limited interaction time between members of large groups who might need more clarification of points.
7. Negative feedback (whether verbal, nonverbal, a combination of both or silence) should not be permissible, especially when there is no attempt to compromise or come to consensus. Effective listening and speaking skills will eliminate misunderstandings. Raising questions versus stating one's opinion(s) will help reduce disagreements. (Hague)

Organizational relationships are complex. We can almost never know all we need to know at the time a decision must be made. When working in coalitions or collaborations, differences in the goals, resources or fields of activity may arise between members. In a well-planned effort, the clarity of goals and benefits, open communication and a forum for discussion of differences can be the glue that holds things together and keeps momentum going.

## How to Solve a "Turf Battle"

For Harold Goetzkow and John Gyr, group conflict has two basic dimensions — substantive and affective. Substantive refers to conflicts primarily related to task. In the examples above, "turf battles" related to goals, methods, resources and geography would fall in this category. Affective conflicts relate to socio-emotional or interpersonal relations. (Ross and Ross, 139) Turf battles related to identity or personality as described above are conflicts of this type. Morton Deutsch also points out that affective disagreements may arise over preferences and nuisances, values, beliefs and the nature of relationships. (Ross and Ross, 138)

The first step in deciding how to best handle the disagreement within a coalition is to identify whether it is a substantive or affective conflict.

If the dispute is task-related, the coalition should use an orderly problem-solving process to focus and structure its efforts toward a solution. As Zald suggests, incorrect or incomplete information is often a major part of a turf dispute. To minimize or make amends for these gaps or misunderstandings, coalition leadership can use several techniques. Discussion at group meetings can include one or more information-seeking techniques built into agenda activities.

Group leaders also should be sensitive to improving communication and active listening during and between meetings. These could include questions from the chair, summary statements of what other members have just said and attempts to make sure questions from the floor are properly answered. Leadership might find it necessary to recommend certain items be clarified and reported on by the next meeting. Sometimes an ad hoc committee may be needed to recommend a course of action or work out a compromise.

For resolving psychological or affective disputes, Scheidel and Crowell suggest that coalitions have several avenues to attempt. The group should look for some way to translate or relate the conflict to a task issue. This defuses much of the emotional element. The coalition should try to keep the focus on the whole group arena rather than on organizations involved in the disagreement. Leaders should encourage members to remain tolerant and restrain emotions and language. Coalitions should have a conflict management procedure developed just in case. (Ross and Ross, 172)

## References

Barker, Larry L., Kathy J. Wahlers, Donald J. Cegala and Robert J. Kibler. *Groups In Process*

*An Introduction to Small Group Communication*. 2d ed. Englewood Cliffs: Prentice-Hall, Inc., 1983.

Center for Urban Affairs and Policy Research, *Getting Connected: How to Find Out About Groups and Organizations in Your Neighborhood*. Evanston: Northwestern University, 1988.

Coser, Lewis. *The Functions of Social Conflict*. New York: Free Press of Glencoe, 1969.

Levine, Sol and Paul White. "Exchange as a Conceptual Framework for the Study of Interorganizational Relationships." *Administrative Science Quarterly* (March 1961).

McKnight, John L. and John Kretzmann. *Mapping Community Capacity*. Neighborhood Innovations Network, Center for Urban Affairs and Policy Research, Evanston: Northwestern University, 1991.

Reid, William J. "Interagency Coordination in Social Welfare: A Theoretical Approach to Analysis and Intervention." In *Readings in Community Organization Practice*, edited by Ralph M. Kramer and Harry Specht. Englewood Cliffs: Prentice-Hall, Inc., 1969.

Ross, Raymond S. and Jean R. Ross. *Small Groups in Organizational Settings*. Englewood Cliffs: Prentice-Hall, Inc., 1988.

Zald, Mayer N. "Organizations As Polities: An Analysis of Community Organization Agencies." In *Readings in Community Organization Practice*, 1969.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by the Ohio Center for Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## Authors

**Gregory P. Siek**, Assistant Professor, County Extension Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

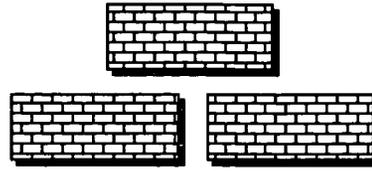
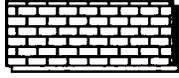
**Carla E. Hague**, Associate Professor, County Extension Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Understanding the Process

Tackling the problems of youth at risk must involve many people and organizations in communities. Developing coalitions of concerned individuals and groups can improve the efficiency and effectiveness of efforts by combining strengths and resources.

Once the coalition is formed, training in areas such as group dynamics, methods of problem solving, dealing with conflict and controversy, public policy process, issue analysis and working with public officials may be beneficial. One task of a coalition might be to adapt, create or develop public policy.

Clearly, not all problems that affect you are public policy problems. Some may be readily resolved through the problem-solving process. The effectiveness of problem-solving can improve when the method is understood.

### The Problem-Solving Method

#### Define the Problem

Compare how things are now and the way you would like them to be. How long has the problem existed? How frequently does it occur? Who is affected?

#### Determine the Cause(s)

This involves finding the cause of the gap between the present and the desired state.

#### Develop Alternative Approaches

List all possible solutions.

#### Assess the Consequences

Consider possible results of each alternative. Who is affected? Who pays?

### Select a Solution

Choose one feasible alternative that is acceptable to the group.

### Implement the Chosen Solution

Plan strategies for carrying out the plan. Most of the work is in this step.

### Evaluate

Look back to review how things went. What was successful? What went wrong? Why?

These questions guide a coalition or individual through the policy analysis process.

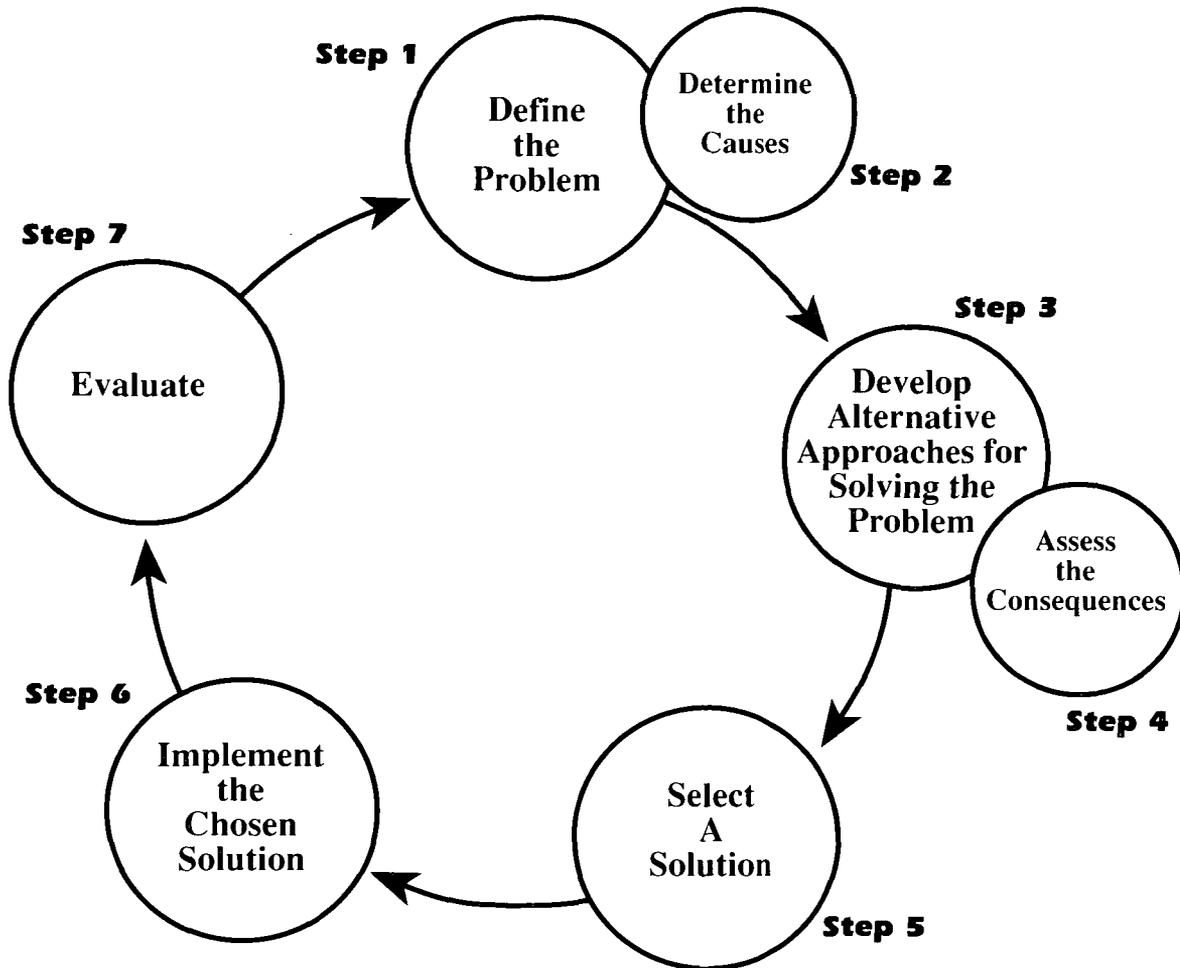
### Selecting Issues For Analysis

- ◆ Is there a decision to be made by government?
- ◆ Can the analysis significantly influence the adoption of various alternatives?
- ◆ Does the issue involve large costs or major consequences for services?
- ◆ Is there substantial room for improving program performance?

### Feasibility of Analysis

- ◆ Can the problem be handled by program analysis?
- ◆ Is there time for the analysis to be done before key decisions must be made?
- ◆ Are personnel and funds available to do the analysis?
- ◆ Does sufficient data exist to undertake the analysis?
- ◆ Can the needed data be gathered within the time available?

## Systematic Problem Solving



### Generic Critical Questions Regarding Policy Analysis

- ◆ What are the purposes of the policy?
- ◆ Why should it be adopted?
- ◆ What is to be changed by it in both the immediate future and long term?
- ◆ How would you know if the policy had the intended impact?
- ◆ What would be accepted as evidence of its success?
- ◆ Who or what is the target of the policy?
- ◆ Is the public as a whole affected? How, directly or indirectly?
- ◆ Who else will the policy effect?
- ◆ What are the possible side effects . . . immediate and long-run?
- ◆ What would the likely consequences be if the new policy were implemented or another discontinued?
- ◆ What would be the reaction of citizens in the community?
- ◆ Who would complain?
- ◆ Who would be glad? Why?

### Criteria For Selecting Final Set of Measures Importance

Does the measure provide useful and important information on the program that justifies the difficulties in collecting, analyzing or presenting the data?

#### Validity

Does the measure address the aspect of concern? Can changes in the value of the measure be clearly interpreted as desirable or undesirable? Can the changes be directly attributed to the program?

#### Uniqueness

Does the information provided by the measure duplicate or overlap with information provided by another measure?

## **Accuracy**

Are the likely data sources sufficiently reliable or are there biases, exaggerations, omissions or errors that are likely to make the measure inaccurate or misleading?

## **Timeliness**

Can the data be analyzed in time for the decision?

## **Privacy and Confidentiality**

Are there concerns for privacy or confidentiality that would prevent analyst from obtaining the required information?

## **Costs of data collection**

Can the resource or cost requirements for data collection be met?

## **Completeness**

Does the final set of measures cover the major aspects of the concern?

## **References**

Anderson, James E. *Public Policy Making*. 2d ed. 1979.

Harty, Harry P., Richard E. Winnie and Donald M. Fisk. *Practical Program Evaluation For State And Local Governments*. 2d ed. 1981.

Harty, Harry P., Louis Blair, Donald Fisk and Wayne Kimmel. *Program Analysis For State And Local Government*. 1976.

Stebbins, Monine and Inge McNeese. *One Step Away*. Oregon Family Community Leadership HE-16-2L. 1983.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director.

## **Authors**

**Ruth M. Conone**, Assistant Director, Home Economics, Ohio Cooperative Extension Service, The Ohio State University.

**Donna Brown**, Program Coordinator, Home Economics, Ohio Cooperative Extension Service, The Ohio State University.

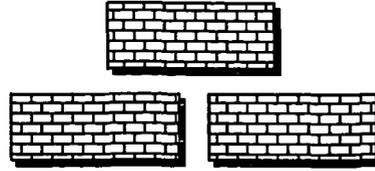
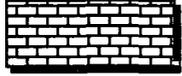
**Russell Willis**, Health Education Intern, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Working With Diverse Cultures Culturally Diverse Coalitions

Brazzel defines diversity in terms of human differences that play an important role in the culture and operation of organizations. The culture of an organization includes the customs, assumptions, beliefs, values, rules, norms, practices, arts and skills that define and guide members about:

- ◆ The reasons for existence of the organization.
- ◆ How its "work" is to be done.
- ◆ The rules for membership.
- ◆ How to relate to others in the organization and to those outside.

Cox states that prejudices are negative personal attitudes toward a member(s) of a cultural

group; discrimination is "observable adverse behavior" toward the group member(s).

Discrimination requires prejudice plus organizational or dominant-group power to lead to destructive denial of recognition, power and privilege.

The dimensions of diversity in organizations include:

- ◆ Age
- ◆ Educational background
- ◆ Ethnicity
- ◆ Family status
- ◆ Gender
- ◆ Income
- ◆ Military experience

### Definitions

**Culturally Diverse Pluralism** — A culture that promotes mutual respect, acceptance, teamwork and productivity among people who are diverse in age, gender, sexual orientation, ethnicity, race, class, religious beliefs, physical ability and other perceived differences.

**Coalition** — A unit composed of distinct elements of the population it serves.

**Multicultural Organizations** — Organizations that maintain a pluralistic culture promoting mutual respect, acceptance, teamwork and productivity among diverse people. It reflects the interests and contributions of members of diverse groups in mission, operations and product or service.

Diverse coalitions are well represented in multicultural organizations at all levels, in all functions and in all work groups. Members of diverse groups have power and influence in

the organization. They are included as full and influential participants in all aspects of the organization, especially where decisions are made and policies established. Discrimination is not tolerated within the organization and in its relationships with people, groups and organizations in its environment.

**Discrimination** — The systematic, intended or unintended denial of recognition, power and privilege to certain people based on the groups to which they belong.

**Cultural Bias** — Cox includes discrimination and prejudice as a part of cultural bias. He states that prejudice is a "judgement made about others that reinforces a superiority/inferiority belief system."

**Stereotype** — A fixed and distorted generalization made about all members of a particular group. (Loden and Rosener)

- ◆ National, regional or other geographical areas of origin
- ◆ Ownership of property and assets
- ◆ Physical and mental ability
- ◆ Race
- ◆ Sexual orientation
- ◆ Social class
- ◆ Spiritual practice
- ◆ Work experience

These dimensions need to be considered when identifying, selecting and recruiting prospective coalition members. A heterogeneous group can work together effectively on mutual goals and objectives through consensus and cooperation.

For an example: a neighborhood in a midwestern city might contain several political subdivisions, a native American group, an African-American population, some small businesses, blue collar workers, a variety of religious groups and possibly some gang factions.

If a coalition is to be formed to obtain more housing, people from each or most of these groups must participate for the coalition to have power. If not participating, at least all cultural groups must be consulted for their opinions or beliefs. A culturally-diverse coalition is composed of representatives of the cultures living in an area or community. It is also critical to consider varied opinions or beliefs within a certain culture. Two people do not have the same opinions because they are both native Americans or from an Appalachian culture.

## **Making the Most of Diversity**

Often, a culturally diverse youth/family coalition is viewed in the negative sense, rather than the positive. It is easy to identify the inherent obstacles and barriers associated with differences in religion, class, age, disability, veteran status, sexual orientation, region of origination, educational level or even paid employees versus volunteer staff.

The first phase of making the most of diversity is to make a concerted effort to become aware of what dimensions of cultural diversity exist within an organization. Acknowledging there are differences between individuals and groups of people is an important initial phase.

When conflicts, ill feelings or stressful situations arise due to the sub-cultures involved, it is because of "differences." The second phase of making the most of diversity is for people to talk about their cultural differences. Two things must be remembered concerning cultural diversity:

- ◆ People should remember it is difficult to address cultural differences without resorting to stereotypes. In the purest form, there is no such thing as a stereotype. No person is exactly like another person and no individual is a clone of another member of a group.
- ◆ As diversity in an organization grows, so does the complexity of communication and the necessity to spend greater effort developing improved communication skills.

Awareness and discussion can cause a clearer picture of cultural diversity. Appreciation and understanding of cultural diversity means not just tolerating differences among individuals or groups, but supporting and nurturing them. A variety of ideas, talents, skills and knowledge is a desirable attribute to any youth or family coalition.

Providing a supporting and nurturing environment enhances other goals of the coalition by exposing group members to new issues, ideas, information and cultures. Diversity creates opportunities for character development by teaching tolerance and respect for people and by encouraging concern for equity. A culturally-diverse coalition that values and nurtures people from all backgrounds is worthy of active participation. Such an organization will flourish and perpetuate.

Making the most of diversity in a youth or family coalition requires the commitment of *all* involved. Changing prevailing attitudes and assumptions is not easy. Often the only hope is to change behaviors rather than deep-seated attitudes. Members of a diverse coalition must be committed to what they are doing and address issues related to cultural difference.

There may be resistance to disturbing the status quo, but it is no excuse for avoiding change.

Attention to cultural diversity may be the necessary catalyst for making things happen. Coalitions of youth or family agencies that strive to address specific community needs and issues have no chance of success, or even continued existence, unless they mirror, understand and make the most of their community's cultural diversity.

## **Enhancing the Dynamics**

According to the traditional melting pot theory, immigrants who settled in America would shed the ways of the old countries and blend

happily into one people. At least two essential fallacies are inherent in the melting pot theory. The first is that non-white Americans can (or should) become like white Americans. The second is that non-white people do not have cultural significance in the New World. Both ideas have met with controversy and rejection.

Since the 1960s, the idea of a single monoculture has begun to deteriorate. It has given way to a more pluralistic society that continues to evolve through cultural integration and influence. These changes are commonly evident in fashion, dietary habits, entertainment, music, literature and sports.

Within the framework of a youth and family coalition, diversity empowers its members to capitalize on unique skills and areas of expertise. Careful attention must be given to mutual understanding and appreciation of individual differences. Strengthening the sense of positive cultural identity is an important aspect of establishing a viable coalition.

Individuals may consciously or subconsciously interject ethnic values, attitudes or behaviors into the dynamics of the larger group.

Factors that impact the extent to which diverse cultures interact with existing cultures are:

- ◆ The reason for immigration: what was sought and what was left behind.
- ◆ The place of residence — an ethnic or nonethnic neighborhood.
- ◆ The socioeconomic status, education and upward mobility.
- ◆ The political and religious ties to the ethnic group.
- ◆ The spoken languages.
- ◆ The extent of family intermarriage with or connection to other ethnic groups.
- ◆ The individual's attitude toward the ethnic group and its values.

The concern with diversity and related programming by Extension and other organizations is a result of changes in the workplace and general population. Brazzel cites that aspects of diversity are being incorporated into vision and mission statements of both for-profit and not-for-profit organizations. To ignore its impact on profits and other bottom line measures affects performance. Organizations as well as individuals are exploring the impact of this diversity.

The result is a growing recognition that multiple perspectives can benefit an organization's approach to opportunities and problem-solving. Loden and Rosener say this approach assumes "we will be more successful as individuals, work

teams, organizations and a society if we acknowledge, respect and work with . . . dimensions of difference."

So, the case for building a culturally diverse or multicultural coalition is without question. The drastic change in the status quo of the U.S. population, labor force, race and ethnicity, and citizen status demands adaptation.

All families in this country have experienced the stresses of immigration and migration. While ethnic heritage may have become dimmed or forgotten, it continues to influence outlook and interaction with others. Under the pressure of accommodating new situations, many groups have been forced to abandon much of their ethnic inheritance.

To understand ethnic identities, it is important to realize the impact immigration has on families over succeeding generations. Second generations are more likely to reject the "ethnic" values of their parents and to strive to become "Americanized." Third or fourth generations frequently reclaim aspects of their heritage that were sacrificed by previous generations as they sought to assimilate.

As the United States experiences the growing pains of becoming a citizenry of descendants of early forbearers, the challenges are apparent. Preserving our roots need not prohibit the effectiveness of diverse individuals or groups working together.

## **Managing Cultural Diversity**

- 1. Recruitment** — Try to include people or organizations within the youth or family coalition that are representative of the community.
- 2. Diversity Training** — Become aware of the cultural diversity of the coalition. Try to understand all its dimensions and seek the commitment of those involved to nurture cultural diversity. Address the myths, stereotypes and cultural differences that interfere with the full contribution of members.
- 3. Communications Within Coalitions** — Remove the major barriers that interfere with people from diverse cultures working together. The best method to do this is through understanding and practicing better communication:
  - ◆ Learn to listen. Listen for what is really being said, not what you want to hear.

- ◆ Invite others to be a part of the discussion.
  - ◆ Learn to communicate clearly and fairly.
  - ◆ Do not misjudge people because of accent or grammar.
  - ◆ Test for understanding. Ask questions to be certain you are clear on what is being said.
  - ◆ Adapt your communication style to fit the situation. The telephone causes problems in understanding between cultures. Be explicit. Individuals from different cultures may react differently. Know with whom you are communicating.
  - ◆ Use language that fosters trust and alliance. Don't come on like "gangbusters." Each person wants to succeed in this venture. Be calm and positive.
  - ◆ When conflicts arise, the problem may result from style rather than content — strive for understanding. Review, revise and revisit your main objective to be certain the content is clear. How you say something may be more important than what you say.
4. **Different, But the Same** — Men and women, whites and non-whites, volunteers and paid staff, middle-class and working class people are different, but much less different than they are the same. An appreciation and acceptance of both commonalities and differences are essential to effective working relationships.
5. **Maintain the Commitment** — Your coalition will become more connected with the community that it serves if it states publicly that having a diverse work force is a top priority. Continue to revisit the various components that address the awareness, understanding, communication and nurturing of a culturally-diverse organization.
6. **Provide Strong Leadership** — Loden and Rosener believe the following leadership behaviors foster coalitions of diversity:
- ◆ Articulate pluralistic vision and values for the organization; show ways in which they are an integral part of the organization's mission and vision.
  - ◆ Encourage and support discussion among people throughout the organization about the meaning of diversity and pluralism; show how to implement programs that can accomplish those goals.
  - ◆ Demonstrate ethical commitment to fairness and to the elimination of discrimination in all its forms inside the coalition and in the coalition's relationships to other people, groups and organizations.
  - ◆ Understand the dimensions of diversity, use inclusive and valuing language, quote diverse sources, readily adapt to differences in communication styles of diverse people, display respect for human differences and be aware of and comfortable about dealing with diverse issues.
  - ◆ Value ongoing personal learning and change, solicit views and opinions of diverse people, invite feedback about personal behavior and blindspots and be open to belief modifications and actions based on feedback.
  - ◆ Mentor and empower diverse individuals and encourage others to do so as well. (Loden and Rosener)

## Valuing Diversity The Key to Success

Diverse coalitions will be more successful because of support from the community they represent. Goals must be established to encourage diversity in membership. Without diverse coalitions there is animosity produced within neighborhoods and communities regarding "us versus them."

Within a culturally diverse group new ideas are produced, communications are improved and bridges are built to the people needing services.

There are numerous benefits when coalitions value diversity:

- ◆ Culturally diverse coalitions could be viewed as legitimate advocates for the greater community by political, business and industry "power-brokers." Jackson, Holvino and Cox state: "Multicultural organizations ... human differences are valued and seen as a competitive advantage for the organization."
- ◆ Coalition membership recognizes that no one set of cultural values is inherently better than another.
- ◆ People are not required (expressed or

implied) to relinquish their cultural heritage as a condition of coalition membership.

- ◆ Appropriate communication and working relationships among coalition members of different cultures require mutual respect and some understanding of one another's culture.
- ◆ Coalition members should have the opportunity to hear directly from others regarding one another's culture and values; by doing so members will tend to be more respectful of them, especially if the exchange takes place among personal acquaintances.
- ◆ Opportunities for personal acquaintance and communication over time will usually increase trust among the coalition membership.
- ◆ Careful facilitation and sensitivity must occur when coalition members of different cultures are brought together. This ensures cross-cultural understanding, coalition productivity and effectiveness.
- ◆ Cross-cultural learning among coalition members will involve making mistakes and learning from them. Avoidance of or reluctance to initiate or participate in a culturally diverse coalition, due to fear of mistakes, competition or conflict must be overcome.
- ◆ Gaining personal and cultural respect for coalition members from different cultures will contribute to more frequent and effective working relationships among those who have mutual interests.

## **Developing a Coalition Which Values Diversity**

Look intensively at the community (or communities) being served by the coalition. Look at the makeup of various groups or agencies currently or projected to be represented in the coalition. Do they match?

Coalition membership needs to reflect specific cultures represented in the community. If cultures are "lumped" together, true diversity will not be achieved. For example, to say a coalition needs an Oriental representative does not take into account the numerous Eastern cultures such as Japanese, Chinese, Vietnamese and others. The other critical concern should be the amount of "Americanization" which has influenced communities. First generation Vietnamese will normally have stronger cultural ties than a fifth

generation Chinese population.

Be certain the coalition is not only composed of agencies saying they represent various cultures. Individuals who are representative of diverse cultures must be a part of any successful coalition.

Coalitions serving diverse cultures must be representative of these cultures.

## **Summary**

Coalitions which are truly culturally diverse and serve diverse populations must:

- ◆ Be representative of their target community.
- ◆ Communicate clearly.
- ◆ Emphasize the advantages of their cultural diversity.
- ◆ Celebrate the contributions of each culture.
- ◆ Encourage the positive outcome of interacting with these cultures.

In building coalitions, it is important that neither prejudice or discrimination be tolerated, with consequences outlined in the constitution and bylaws or operational agreement. Self-awareness and sensitivity training should be a prerequisite for coalition membership as well as initial and subsequent orientation and training.

Coalition leaders should help members understand cultural diversity, realize such diversity can strengthen the coalition and acquaint them with specific roles they can play in developing a diverse group.

## **References**

Brazzel, Michael. "Building a Culture of Diversity in the Cooperative Extension System: A Paper to Foster Dialogue and Discussion About Pluralism in Extension." ECOP and ES-USDA National Diversity Strategic Planning Conference, Denver, Colorado, September, 1991.

Cox, Taylor, Jr. "The Multicultural Organization." *Academy of Management Executive* 5, No. 2 (1991): 34-47.

Cross, Elsie V. "Issues of Diversity." In *Sunrise Seminars*, edited by Dorothy Vails-Weber and Joseph Potts. NTL Institute, Vol. 2 (1985): 15-19.

Jackson, Bailey W. and Evangelina Holvino. "Working With Multicultural Organizations: Matching Theory and Practice." Conference Proceedings, Organization Development Network, 1986.

Jackson, Bailey. Keynote Speech for Youth 2000 Conference, as reported in *New Hampshire COSA Newsletter* (November-December 1990)

Lauffer, Armond. "Rubbing Shoulders and Rubbing Wounds — Gender, Class, Culture and Identity in the Workplace." *Careers, Colleagues, and Conflicts*. Sage Publications, 1985.

Lee, L. "The Opening of the American Mind." Cornell University, *Forum* (Winter, 1991): 2-5.

Loden, Marilyn and Judy B. Rosener. *Workforce America: Managing Diversity as a Vital Resource*, Homewood, Illinois: Business One Irwin, 1991.

McGoldrick, M. "Normal Families: An Ethnic Perceptive," In *Normal Family Processes*, edited

by F. Walsh. New York: The Guilford Press, 1982.

Nestor, Loretta Gutierrez. "Managing Cultural Diversity in Volunteer Organizations." *Voluntary Action Leadership* (Winter, 1991)

*Valuing Diversity - A Strategic Plan for Cultural Diversity in the North Dakota State University (NDSU) Extension Service*. 5th Draft, August 30, 1991.

*Valuing Diversity — Part III: Communicating Across Cultures*. Copeland Griggs Productions, San Francisco, California.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center for Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph.D., Director

## Authors

**Bill Smith**, Associate Professor, District Specialist, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

**Ann W. Miller**, Assistant Professor, District Specialist, Home Economics, Ohio Cooperative Extension Service, The Ohio State University.

**Thomas Archer**, Ph.D., Associate Professor, County Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

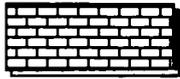
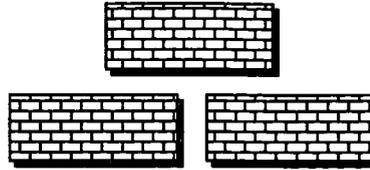
**Carla E. Hague**, Assistant Professor, County Agent, 4-H, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Networking

In today's world of constant change individuals need to know where to go, who to contact, how to obtain information and resources to achieve a specific goal. This can be done through networks and coalitions.

### Networks

A network consists of individuals or organizations who share information, ideas, resources or goals to accomplish individual or group goals. (Jackson 1991) Networking is a process of acquiring resources and building power by using or creating linkages between two or more individuals, groups, or organizations. It provides a valuable tool for getting things done. (Wells 1989) Information and resources are obtained from others and it is the lack of information and resources that hinders us.

### Getting Started

We network everyday of our lives whether it's informal or formal. If one individual lacks the information you are seeking he or she can refer you to another individual. The more individuals you know the more individuals will know you, the greater the probability of accomplishing your goals. Your visibility increases and your network of individuals increases. The aim is to meet as many individuals as possible.

As you network with individuals you will need some basic tools such as (1) an address book or rolodex to record and keep track of contact's addresses, notes of meetings, commitments and any detail information, (2) an appointment calendar to set up meetings, (3) business cards that contains fax number and electronic mail address.

### Using and Expanding Networks

Decide whether your current goal is money, power or social. Examine your list and contact the most powerful and influential individual to help achieve your goal. During your networking discuss what you have in common, your skills, type of information you are seeking and available resources. The more you share ideas, the more you will increase your potential clout.

Another aspect of networking is involvement in professional associations that can provide a wide range of contacts. Attend as many association meetings and conferences as possible. Make yourself visible and establish a reputation. Circulate at the meetings and exchange business cards, talk to everyone you know and meet new contacts. Afterward, follow-up with a phone call or note. Also participate in organizations other than professional associations where you can develop a wide range of contacts with people who share your ideas and concerns. Remember it's a two way street.

You may want to establish a formal network with a specific interest or field. This can provide opportunities to meet individuals with a broad range of experiences and expertise, obtain current information, meet specialists in the field and develop friendship.

### Conclusion

We can have a greater impact on our goals by using networks and coalitions as major tools to multiply our power and efforts. If you network with ten individuals and those ten network with

ten more, you have increased the number of individuals with whom you can exchange information and resources from ten to one hundred. We can do a great deal when we join our efforts with those of other individuals.

## References

Downey, Peg. "Multiplying Power: The Use of Networks and Coalitions." In *Networking*, edited by Mary Scott Welsh. New York: Harcourt Brace Jovanovich, Inc., 1980.

Hart, Thomas E. *Building Coalitions for Support of Schools*. Oregon School Study Council. September 1988.

Jackson, Daney and William Maddy. "Introduction," *Building Coalitions Fact Sheet*, Columbus: The Ohio Center for Action on Coalitions, Ohio Cooperative Extension Service, The Ohio State University, 1991.

Levin, Edward and R.V. Denenberg. *Alliances And Coalitions: How to Gain Influence and*

*Power by Working with People*. New York: McGraw-Hill Book Company, 1984.

Lipnack, Jessica and Jeffrey Stamps. *Networking: The First Report and Director*. Garden City, N.Y.: Doubleday, 1982

Lipnack, Jessica and Jeffrey Stamps. *The Networking Book*. New York, N.Y.: Routledge and Regan Paul, 1986.

Loughran, Elizabeth Lee, "Networking, Coordination, Cooperation and Collaboration, Different Skills for Different Purposes." *Community Education Journal*. July 1982.

Mueller, Robert K. *Corporate Networking: Building Channels for Information and Influence*. New York: The Free Press, 1986.

Raye-Johnson, Venda. *Effective Networking*. Library of Congress Catalog Card Number 89-81951, 1990.

Wells, Betty L. "Module 5: Working with Groups and Organizations." *Working with Our Public*. North Carolina Agricultural Extension Service, 1989.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph. D., Director.

## Author

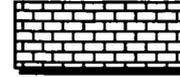
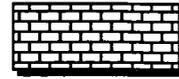
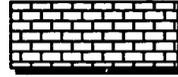
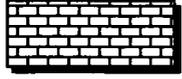
**Vicki Braddy**, Administrative Assistant, The Ohio Center for Action on Coalitions, Ohio Cooperative Extension Service, The Ohio State University.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

# Building



# Coalitions

**The Ohio Center For Action On Coalition Development**

## Tapping Private Sector Resources

Today's private sector is more involved with nonprofit groups than ever before. They realize the shortage of resources available from government sources at every level and are interested in helping communities to be healthy vibrant places in which to raise families.

A big key to using the private sector effectively is to make them an integral part of your program. For example, does your board of directors have members of industry, private citizens and representatives from small business? Are your programs using volunteers from the private sector? Does your group offer services that would be valuable to employees at the local factory?

There are many resources available in the private sector. To get them excited about what you do, involve individuals from their company in your programs. Start by looking at yourself.

### Self Examination

Examine your organization. Figure out who you are, where you are, where you want to be and what you need to get there.

This evaluation should be done regularly, at least once a year. It should include receiving direction from both external and internal sources and involve feedback from everyone connected with the organization. There will be difficult questions and answers. It is important that you are honest.

### Identify Total Resources

Successful groups should be able to manage a variety of resources. Start within the organization, determine your needs, then identify available resources. Begin within your organization and work outward into the community. There are renewable resources such as staff, directors,

volunteers, members and consumers of your services, others who share your cause and everyone who benefits from your service, directly or indirectly.

You will discover that resources are available from a variety of sources. These may offer multiple resources that would be valuable. You will discover that these sources will be interconnected. Four major resource groups — money, people, goods and services — work together and independently to meet community needs.

### Money

The importance of money to service organizations is obvious. Everyone has money. Eighty-six percent of Americans give to one or more charitable organizations. They represent all ages, incomes, occupations and education levels.

Ninety percent of donations come from individuals. The remaining 10 percent comes from foundations and corporations. The key is to look for total resources. While corporations and foundations may be the source of some big single donations, individual giving will add staying power. Corporations are more likely to give money if they know the community at large is also supportive of your efforts.

Donations aren't the only source of money. There are others — investment income; membership dues; earned income from businesses, goods and services; government grants and contracts; and program-related investments.

### People

In most service-oriented nonprofit groups, people are the key to all resources — money, more people, goods and services. People resources are persons giving their time free of charge, for a small fee, or for payment by a third party on a nonprofit's behalf. People resources

are not only volunteers. People do volunteer their services, but employers may give release time to employees to work on worthwhile community efforts.

Because people are everywhere, know everyone and do everything, their resource potential is unlimited. The challenge is to discover how to use the most people, in the best combination, to the organization's greatest advantage.

## **Goods**

Any personal property, excluding money and securities, is a good. Goods are a vital non-cash resource for any organization. It is often called a money substitute. Successful groups use goods as complements to their other resources for a total resource package.

Some best examples of goods are office furniture, equipment and supplies. Goods, like money, are everywhere, in homes, businesses, governments, civic groups, etc. Some possible arrangements for using goods are used or surplus goods, new products and merchandise, loaned goods and goods purchased cooperatively with another group.

## **Services**

Services are often grouped with goods as in-kind gifts. Many overlook services because, with

few exceptions, services are not tax deductible as a charitable contribution. Some companies deduct the time used in performing a charitable service as a normal business expense. Others consider community service a business function and keep no record of its performance. Yet, services are a major source of support to successful nonprofit groups.

Corporations are the best known contributors, but the giving of services is undoubtedly a community affair. Small businesses, vendors, colleges, other nonprofits, individual professionals and tradespeople. Everyone providing services for a fee are probably also providing it free, or at a discount, for some worthy cause.

## **Summary**

Nonprofit groups today are facing more complex problems than ever before, and it often seems that resources are decreasing. The private sector offers many resources that are limited only by the imagination of the stakeholders involved.

The complex problems of today require the input of a more diverse group of problem solvers. To get this involvement in your organization, seek help from the private sector and make its members a part of your organization. It could prove rewarding to everyone involved.

© 1992 The Ohio State University

**OCES** Ohio Cooperative Extension Service  
The Ohio State University

Adapted from Discover Total Resources, The Mellon Bank Corporation, Pittsburgh, Pennsylvania, 1985.

*Building Coalitions* is developed by The Ohio Center For Action on Coalitions for Families and High Risk Youth, Richard Clark, Ph. D., Director.

All educational programs and activities conducted by the Ohio Cooperative Extension Service are available to all potential clientele on a nondiscriminatory basis without regard to race, color, creed, religion, sexual orientation, national origin, sex, age, handicap or Vietnam-era veteran status.

6/92-1M-97832

Issued in furtherance of Cooperative Extension work, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, Keith Smith, Acting Director of the Ohio Cooperative Extension Service, The Ohio State University.

## Evaluation

### Table of Contents

- I. General Information
- II. Report Procedures
- III. Report Forms
- IV. Types of Information

## Evaluation Issues - General Information

Definition:

The term "Evaluation" means many things to many different people. In this case evaluation means gathering and analyzing pertinent information needed by key decision makers, to assess the operation of a program, and to determine the accomplishments of tasks relative to the programs' objectives.

Key Decision Makers:

There are at least 6 groups of decision makers in need of information related to CSR, including local decision makers, local funding sources, state decision makers, state funding sources, national decision makers, national funding sources.

Elements to be evaluated:

Each of the above key decision makers have specific needs related to their own interests. However in the CSR project there are 4 core elements which require

- Efforts at Collaboration
- CSR Process
- Focus on the community issue (example: substance abuse/impaired driving)
- Unexpected Outcomes

Action Plan:

The action plan developed by the community provides the material for evaluation. Goals and objectives should be clear, straight forward, and manageable.

Resource: Raley, G. (1991). The Community Collaboration Manual. Published by The National Assembly of National Voluntary Health and Social Welfare Organizations. National Collaboration for Youth, 1319 F Street NW, Suite 601, Washington, DC 20004 (202) 347-2080, FAX: (202) 393-4517

## Reporting Procedure

- I. CSR Progress Report to be submitted to the CSR State Coordinator on a monthly basis.

### Side I

<u>Sections</u>	<u>Procedures</u>
<u>Sections:</u>	In order to determine the extend of community involvement in the CSR,
<u>Partners:</u>	place a check next to each organization or individual involved in the activities, events, or meetings of the month.
<u>CSR Process:</u>	The CSR process is an ongoing cyclical procedure that communities use in focusing on an issue of community importance. Place a check next to the step that best reflects the overall activities for the month.
<u>Comments about Process:</u>	Please use this space to expand on the CSR process. Example: What are the barriersto the process? What has helped the process along?
<u>Events/Activities/Meeting:</u>	Since each community focuses on a community specific problem, this is your oppotunity to describe the progress towards achieving the community specific goals and objects.

### Side II - Progress Towards Goals

- Section I: Most community groups are engaged in several activities. Listed on side II of the progress report are some common goals for community groups. Please check and explain the phrase that best describes the focus of the CSR team for the month.
- Section II: Barriers to implementation. Please describe any difficulties or requests for further assistance.
- Section III: Please describe any efforts, discussions, preliminary work conducted during the month which is geared toward securing funding.

- II. CSR Progress Narrative: This form is for your convenience. It is an opportunity to provide written evidence in the 4 elements that are addressed by the CSR Process (i.e.: collaboration, the CSR Steps, substance abuse issues, unexpected results). Please feel free to use this form as needed. Types of information and/or evidence of progress are provided. Please include any of this information that describes your community groups and activities or events related to the CSR Program.

### NOTE

This reporting procedure has been designed for you to record your progress in the CSR Program. As you file these reports a unique picture of your community will emerge. These are meant to be working documents. Please let us know the strengths and weaknesses of this reporting procedure.

CSR Monthly Progress Report - Submitted to State CSR Coordinator

Community \_\_\_\_\_

Date \_\_\_\_\_

<u>Partners</u>	<u>CSR Process</u>	<u>Comments about Process</u>
(Check all that apply)	Please check the stage	
Judicial System _____ Highway Traffic Safety Office _____ Cooperative Extension Service _____	Step I CSR Team _____ Extension-Justice Interaction	
Law Enforcement Agencies _____ Sheriff/Chief of Police _____ FBI/DEA _____ Health Agencies & Organizations _____ Health Department _____ Hospitals _____ Mental Health Department _____	Step II Steering Committee _____ Review Policy _____ Review Resources _____ Conduct Needs Assessment _____	
Local Government _____ Mayor/Mayor's Staff _____ City Councils/County Board _____ Parks & Recreation Department _____	Step III Convene Meeting I _____ Convene Meeting II _____ Convene Meeting III _____	
Housing Authority _____ Educational Organizations _____ Public School/University Staff _____ School Board _____ PTA/PTO _____	Step IV Implementation of _____ Plan of Action	
Existing Substance Abuse Committees _____ Coordinating Council _____ MADD _____ SADD _____ Other _____	Step V Evaluation _____	Please list <u>Events/Activities/Meetings</u> that occurred during this period related to substance abuse/Impaired driving or other issues which are the focus of your community.
Chamber of Commerce _____		
Churches/Ministerial Alliances _____		
Civic Organizations _____		
Industry _____		
Professionals _____ Attorneys _____ Doctors _____ Others _____		
Banks/Financial Institutions _____		
Youth-serving Agencies _____		
Other _____ _____ _____ _____		

Submitted by: \_\_\_\_\_

## PROGRESS TOWARDS GOALS

I. Please check the activity or activities you have been working on during this period and elaborate on progress narrative forms if appropriate.

- identify gaps in current services and cooperate to fill the gaps;
- expand available services by cooperative programming
- joint fundraising or grant programs;
- provide better services to public through inter-agency communication about client needs; referral programs, and client case management;
- develop a greater understanding of youth and community needs by seeing the whole picture;
- share concerns of the different members with varied backgrounds;
- reduce interagency conflicts and tensions;
- improve communication with organizations resulting in better communication with the total community;
- mobilize action to make needed changes through collective advocacy;
- achieve greater visibility with decision-makers, the media, and the community;
- enhance staff skill levels by sharing information and organizing joint training programs;
- conserve resources by avoiding unnecessary duplication of services; and
- Other

II. Please list any barriers to Implementation

III. Please describe efforts made toward securing funding

Send to: Pam Robbins, Clark Co. Ag. Bldg., Suite 1, 9608 Hwy. 62, Charlestown, IN 47111-9640

**CSR Progress Narrative**

**Community** \_\_\_\_\_

**Date** \_\_\_\_\_

**Evidence of Collaboration**

**Evidence of CSR Process**

**Evidence of Progress toward completing goals related to substance actual/impaired driving:**

**Evidence of serendipitous Events/Unexpected outcomes**

## Suggestions

### CSR Progress Narrative

Community \_\_\_\_\_

Date \_\_\_\_\_

#### I. Evidence of Collaboration

Possible Questions to be address  
Who is involved  
How were additional participants recruited  
How did the groups operate  
Who was included/excluded

Types of Evidence  
Membership lists  
Minutes of meetings  
Newspaper articles  
Activities List  
Job tasks  
Formal agreements  
Letters of cooperation

#### II. Evidence of CSR Process

Did the process occur  
Was a needs assessment conducted  
Were community meetings held?  
Was there a steering committee  
What types of variations occurred  
How did the process operate

Same as above  
Observational check lists  
Written needs assessment  
Documentation of activities  
conducted such as brochures,  
pamphlets, videos.  
Sources of funding

#### III. Evidence of Progress toward completing goals related to substance actual/impaired driving:

What needs were identified  
What action was taken?  
What barriers were identified

Documentation of activities  
Results of Needs Assessments  
Action Plans  
Programs/activities conducted

#### IV. Evidence of serendipitous Events/Unexpected outcomes

What unexpected activities occurred?  
What should we have asked and didn't?

Stories by participants  
News stories  
Video tapes

## **Data Sources For Needs Assessment**

1. United States Bureau of Census
2. Federal and state clearinghouses for information about drug abuse, AIDS, sudden infant death syndrome, etc.
3. Bureau of Labor Statistics Reports
4. Vital and Health Statistics Series
5. Federal, state, county, and city departments of health and human services, labor, education, etc.
6. Federations of social and/or health organizations
7. Local and regional planning councils
8. City, county, and regional planning departments
9. City or county health and welfare departments
10. Local or national organizations in your field
11. Local schools
12. Law enforcement and judicial departments
13. Chambers of commerce
14. Colleges and universities
15. Foundations
16. Research organizations
17. United Way
18. Television and radio stations
19. Large corporations
20. National or local trade associations
21. Indiana Preventi\_\_\_ Resource Center at IU

Adapted from: Data Sources for Needs Assessment: A checklist, by the Public Management Institute, 358 Brennan Street, San Francisco, California

# NATIONAL COUNCIL OF JUVENILE AND FAMILY COURT JUDGES

## Alcohol and Other Drug Abuse Program Materials on Hand

### NCJFCJ Publications

1. Drugs - The American Family in Crisis: A Judicial Response 39 Recommendations. Metropolitan Court Judges Committee Report: August, 1988.
2. A New Approach to Runaway, Truant, Substance Abusing and Beyond Control Children. Metropolitan Court Judges Committee Report: Fall, 1990.
3. Protocol for Making Reasonable Efforts to Preserve Families in Drug-Related Dependency Cases. Permanency Planning for Children Project: January, 1992.
4. The Juvenile Court and the Role of the Juvenile Court Judge. Judge Leonard P. Edwards, Superior Court, Santa Clara County, California. Juvenile and Family Court Journal, Vol 43, No. 2: 1992.
5. Families in Court. Meredith Hofford, Editor. National Council of Juvenile and Family Court Judges: 1989.
6. Final Report of the Working Conference on Juvenile and Family Substance Abuse: A Judicial Response: Fall, 1987.

## NCJFCJ Training Programs

1. Community Leadership Development for Comprehensive, Community-based Substance Abuse Prevention and Evaluation Programs. A 5 day training design for community teams comprised of a convening juvenile/family court judge, superintendent of schools, chief law enforcement official and health director responsible for alcohol and other drug services: Fall, 1988.
2. Community Leadership Development On-Site Training Programs at Toledo, Ohio; Norwalk, Ohio; Monroe, Michigan; Odesa, Texas; Roanoke, Virginia; and Hattiesburg, Mississippi. Each of the six programs is an individual community variation on a common design for 1 to 3 days: 1989-90.
3. Drug Exposed Infants and Their Mothers. A three day interactive training for judges, social service, health service and treatment service professionals: 1991.
4. Forum on Drug Exposed Infants and Their Mothers. A two and a half day training model for bringing two different professions together to define problems confronted by both, in this case the judiciary and medical (AMA, AAP) communities. Co-sponsored by the Office for Substance Abuse Prevention and the National Council of Juvenile and Family Court Judges: Spring, 1990.
5. Judicial Response to Alcohol and Drug Problems Among Children and Families. A regional training program design for 1, 1 1/2, and 2 day multi-discipline presentations. Specifically tailored training events based on this design we conducted at New Rochelle, New York; Monroe, Michigan; Lincoln, Nebraska; Charlottesville, Virginia; DeKalb, Illinois; Providence, Rhode Island; Brown County, Indiana; and Port St. Lucie, Florida. Each program variation available. Also available is a composite report on all eight programs conducted: 1990-92.
6. Alcohol Highway Safety Workshop for Juvenile Court Judges. A participant's workbook for a two day workshop: 1990. State specific programs available from \_\_\_\_.
7. Alcohol Highway Safety Workshop for Juvenile Court Judges. An instructor manual: 1990.

Data/Information Base for NCJFCJ AOD Programs

"The Adolescent Assessment/Referral System Manual"

National Institute on Drug Abuse, Editor: Elizabeth Rahdert, PhD

Alcohol Abuse & Alcoholism in the Pregnant Woman

Marcia Russell, Ph.D

"Alcohol and the Fetus: A Clinical Perspective"

Henry L. Rosett, M.D. and Lyn Weiner, M.P.H.

Oxford University Press, 1984

"Alcohol-Related Birth Defects: Current Trends in Research"

Alcohol Health & Research World.

American Academy of Pediatrics Provisional Committee on Substance Abuse - Drug-Exposed Infants, June 1990

The American College of Obstetricians and Gynecologists:

"Substance Abuse & Pregnancy: State Lawmakers Respond with Punitive and Public Health Measures", Legis-Letter, Vol 9, No 3, Fall 1990

Are We Losing an Entire Generation to Cocaine?

Don Wong, M.D. & Sylvia Villarreal, M.D.

ASAM Urges Treatment, Not Punishment, of Pregnant Addicts

Substance Abuse Report - December 15, 1989

Bench & Bedside, JAMA, June 19, 1981, Vol. 245, No. 23

Birth Outcomes for Infants of Drug Abusing Mothers

Katherine Kaye, M.D., M.P.H., Lisa Elkind, M.S.;

Doris Goldberg, M.D., M.P.H., Alex Tytun, Ph.D.

"California's Drug-Exposed Babies: Undiscovered, Unreported, Underserved", A Special Report

Prepared for Senator Diane Watson by the Senate Office of Research, July 1990

"CARES", Lucas County, Ohio Program

Coalition on Alcohol & Drug Dependent Women & Their Children July, 1991

National Council of Alcoholism & Drug Dependence

Cocaine Abuse: Implications for Pregnancy

"ACOG Committee Opinion", No. 81, March, 1990

Committee on Obstetrics: Maternal & Fetal Medicine

"Collaborative for the 90's", Huron County, Ohio Program

"Community Prevention System Framework for Alcohol & Other Drug Prevention - The Future By Design".

Office for Substance Abuse Prevention

Compendium of Other Issues, Part IV

Toward a Drug Free Generation: A Nation's Responsibility

Final Report-September 1990

National Commission on Drug-Free Schools

"A Comprehensive Local Program for the Prevention of Fetal Alcohol Syndrome"

Kathleen B. Masis, MD; Philip A. May, PhD

Public Health Reports, Sept-Oct, 1991, Vol. 106, No. 5

Continuum of Substance Abuse

M.J. Jiordano, M.S.W., A.C.S.W. - December 1989

"Crack Babies"

Office of the Inspector General - February 1990

Crack Children in Foster Care: Necessary Administrative and Statutory Changes

Statement of Douglas J. Besharov before the Select Committee on Children, Youth and Families

Creating Common Goals for Medical, Legal, and Child Protection Communities

Judith Larsen

"Criminal Justice Treatment Planning Chart", Revised Edition, May 1991, Office for Treatment Improvement, Alcohol, Drug Abuse, & Mental Health Administration

"Cultural Considerations: Understanding the Importance of Culture." Charlotte Goodluck

Decision-making Protocols for Drug-related Dependency Cases

Presiding Judge Paul Boland & Supervising Judge John Henning

Superior Court, Los Angeles, CA, Juvenile Departments

"DREAM Community Partnership", Forrest County, Mississippi Program

Drug Abuse in the United States: The Next Generation

Action of the AMA House of Delegates, I-89: Board of Trustees Report Y: Adopted as Amended

"Drug Abuse & Pregnancy", ACOG Technical Bulletin, No 96, September 1986

Drug Addiction & Pregnancy: Policy Crossroads

Wendy Chavkin, MD; MPH

Drug Exposed Babies: Research and Clinical Issues

Donna R. Weston, Ph.D., Barbara Ivins, Ph.D., Barry Zuckerman, M.D., Coryl Jones, Ph.D., Richard Lopez, Ph.D.

Drug-Exposed Infants

American Academy of Pediatrics, Provisional Committee on Substance Abuse

Drug Exposed Infants, Children, and Their Families: Recommendations for Court Officers' Consideration in Issuing Court Orders

Kathleen West, M.P.H., B.A.

Drug Exposed Infants and Their Families: Coordinating Responses of the Legal, Medical and Child Protection System

American Bar Association, Center on Children and the Law  
(a program of the Young Lawyers Division)

Appendix A: Civil Cases

Appendix B: Bibliography

Appendix C: State Statutes: Definitions of Neglect or Abuse that Specifically Mention Drugs or Alcohol

"Drug-Exposed Infants: A Generation at Risk", Report to the Chairman, Committee on Finance, U.S. Senate, U.S. General Accounting Office, June 1990

HANDOUT-"Drugs in Virginia: A Criminal Justice Perspective"

"Drug Use Forecasting", National Institute of Justice, 1st Quarter 1991

Effects of Paternal Alcohol & Drug Use

National Clearinghouse for Alcohol & Drug Information, Office for Substance Abuse Prevention

"Effects of Transplacental Exposure to Cocaine & Methamphetamine on the Neonate,"(Special Conference), Suzanne D. Dixon, MD

Expansion of Treatment for Women, Pregnant/Post Partum Women & Their Children

Office of National Drug Control Policy

"Fetal Alcohol Syndrome in Adolescents & Adults"

JAMA, April 17, 1991; A.P. Streissguth, PhD; J.M. Aase, MD; S.K. Clarren, MD; S.P. Randels, RN, MSN; R.A. LaDue, PhD; D.F. Smith, MD

Fetal Alcohol Syndrome (FAS) Update - 1990

University of Minnesota School Of Public Health, Division of Human Development & Nutrition, Robert ten Benschel, MD, MPH

Fragile Infant Special Care Program

San Francisco Department of Social Services

"Implementing Early Intervention Services for Infants & Toddlers with Disabilities"(P.L. 101-476, Part H), May 1991, National Conference of State Legislatures

Infants at Risk: Time for Action

All Babies Count - Strategy Session - 10/25-26, 1990

Infants of Drug Addicts: At Risk for Child Abuse, Neglect, & Placement in Foster Care

Pergamon Journals, Ltd., 1987

D.O. Regan; S.M. Ehrlich; L.P. Finnegan

Introduction: Children's Treatment Program at Eleonore Hutzel Recovery Center

J.D. Harrison, BS

"A Judicial Primer on Drug & Alcohol Issues in Family Cases",

American Bar Association

Keeping Families Together: The Legal Mandate to Keep Families Together

Facts on Family Preservation Services

"Legal Issues Affecting Drug-Exposed Infants." Youth Law News, Journal of the Center for Youth Law, Special Issue, 1990. Vol XI, No I

Abigail English, JD; Marcia Henry, Ed.D

"Legal Issues for Alcohol & Other Drug Use Prevention & Treatment Programs Serving High-Risk Youth"

Office for Substance Abuse Prevention Technical Report - 2, Division of Demonstrations & Evaluation, 1990

A Limited Role for the Legal System in Responding to Maternal Substance Abuse During Pregnancy

John E.B. Myers

Notre Dame Journal of Law, Ethics & Public Policy Vol. 5, Issue No. 3, 1991

Maternal Substance Abuse Services - Operation Par, Inc.

Medical Issues for Mothers and Infants Arising from Perinatal Use of Cocaine

Emmalee S. Bandstra, M.D.

A Model for a National Policy to Address Issues Raised by Maternal Drug & Alcohol Dependence Legal Action Center

NAPARE Congressional Testimony

Dan R. Griffith, PhD, May 6, 1991

"The Nature and Challenge of Addiction and Dependence"

Prepared by Anne Christner, Ph.D., Managing Editor/Special Projects, Manisses Communications Group, Inc., 1992.

Neonatal Behavior After Drug Dependent Pregnancy Archives of Disease in Childhood, 1989

A.L. VanBaar; P. Fleury; S. Soepatmi; C.A. Ultee; P.J.M. Wesselman

"A New Approach to Runaway, Truant, Substance Abusing & Beyond Control Children"

National Council of Juvenile & Family Court Judges  
Metropolitan Court Judges Committee Report -1990

"Perinatal Outcome of Infants Exposed to Cocaine &/or Heroin In Utero." AJDC, Vol. 143, August, 1989

R. Fulroth, MD; B. Phillips, MD; D.J. Durand, MD

Pregnant, Addicted & Sentenced: Debunking the Myths of Medical Treatment in Prison - Ellen M. Barry

Pregnancy & Cocaine Addiction: An Overview of Impact & Treatment - Deana Kronstadt, Ed.D

"Pregnancy Police: The Health Policy & Legal Implications of Punishing Pregnant Women for Harm to Their Fetuses" Molly McNulty, New York University, Review of Law & Social Change Vol.XVI, No. 277, 1987-88

Prenatal Exposure to Alcohol: Effect on Infant Growth & Morphologic Characteristics

Pediatrics, Vol. 34, No. 3, September, 1989

N.L. Day, PhD; D. Jasperse, MS; G. Richardson, PhD; N. Robles, PhD; U. Sambamoorthi, PhD; P. Taylor, MD; M. Scher, MD; D. Stoffer, PhD;  
M. Cornelius, PhD

The Prevalence of Illicit-Drug or Alcohol use During Pregnancy and Discrepancies in Mandatory Reporting in Pinellas County, Florida

Ira J. Chasnoff, M.D., Harvey J. Landress, A.C.S.W. and  
Mark E. Barrett, Ph.D.

"The Problem of Prenatal Cocaine Exposure: A Rush to Judgement"

Linda C. Mayes, M.D., Richard H. Granger, M.D., Marc H. Bornstein, Ph.D., Barry Zuckerman, M.D., JAMA. 1992.

Proceedings of the House of Delegates - 139th Annual Meeting

American Medical Association, June 1990

Protecting the Fetus from Maternal Drug & Alcohol Abuse: A Proposal for Texas

Hon. Tom Rickhoff; C.L. Cukjati

St. Mary's Law Journal, Vol. 21, No. 2; 1989

Protocol for Making Reasonable Efforts in Drug-Related Dependency Cases September, 1991

National Council of Juvenile & Family Court Judges

Psychologist Sees Indians Turning Against Alcohol

Michael Phillis, Reno Gazette-Journal - April 4, 1991

Public Policy Statement on: The Use of Alcohol & Other Drugs During Pregnancy

American Society of Addiction Medicine, Inc

"Reasonable Efforts" Demonstration Project Preliminary Proposal Statement -  
Children's Home Society of California

"Recognition of Fetal Alcohol Syndrome"  
Sterling K. Clarren, MD

Request for Proposals

Issued by: Solano County, Department of Health Services, Division of Substance Abuse - July,  
9, 1990

"ROANOKE AT RISK: PREVENTION; TREATMENT; ENFORCEMENT"  
Report of the City Manager's Drug Strategy Task Force

"Roles & Responsibilities for a Drug-Free School & Community", National Commission on  
Drug-Free Schools, Department of Education

Substance Abuse/Drug Exposed Infants  
American Academy of Pediatrics Provisional Committee

"Substance Abuse & Pregnancy: State Lawmakers Respond with Punitive & Public Health  
Measures" Legis-Letter, Vol.9, No.3, Fall, 1990; The American College of Obstetricians &  
Gynecologists

"Substance Exposed Newborns: A Recommended Plan of Action for Santa Clara County". A  
study conducted by the Santa Clara County Health Dept, Bureau of Drug Abuse Services,  
August, 1989

Substance Exposed Newborns: Final Report  
Santa Clara County Health Department  
Bureau of Drug Abuse Services - August 1989

"System-wide Response Planning Process: A Guide for  
Action to Combat Youth Substance Abuse in Your Community"  
Pacific Institute for Research & Evaluation (Justice Division) 1989

"The T-ACE Questions: Practical Prenatal Detection of Risk-drinking"  
Robert J. Sokol, MD; Susan S. Martier, MSSA; Joel W. Ager, PhD  
Am J Obstet Gynecol 1989; 160:863-70

Task Force on Substance Exposed Infants: Final Report California Legislature - November 1990

Toward a Drug-Free Florida  
Report of the Drug Exposed Infants/Families Committee

Treating Drug Problems  
Institute of Medicine - Dean R. Gerstein; Henrick J. Harwood, Editors

Treatment Committee Survey, 1990, National Council on Alcoholism & Drug Dependence

Treatment Committee Survey, 1990, National Council on Alcoholism & Drug Dependence

Treatment Models for Pregnant & Parenting Substance Abusing Women: What Works? - Kathleen M. West, MPH; BA

"Treatment Issues: Women & Substance Abuse", September 1990, Coalition on Addiction, Pregnancy & Parenting

Treatment Protocol for Chemical-Using Pregnant Women  
Division of Alcohol & Substance Abuse, Washington State  
Department of Social & Health Services - Revised, November 1990

Understanding the Importance of Culture  
Charlotte Goodluck, Faculty Member, School of Social Work Highlands University, Las Vegas, NM

Where Have All the Daddys Gone?  
Hunter Hurst - NCJFCJ Newsletter - November 26, 1991

Women, Alcohol & Other Drugs  
National Council on Alcoholism, Inc., April 24, '88

Women, Alcohol, Other Drugs & Pregnancy April, 1990  
National Council on Alcoholism & Drug Dependence

"Women & Alcohol, a Review of International Literature on the Use of Alcohol by Females" - 1990 World Health Organization; M.L. Plant, PhD

Women, Babies, & Drugs: Family-Centered Treatment Options C. Tracy, D. Talbert, J. Steinschneider Center for Policy Alternatives, National Conference of State Legislatures, 1990

Youth Drug & Alcohol Abuse: Introduction of Effective System-wide Strategies"  
OJJDP & NHTSA Project

## Philosophy of Prevention

Programs and processes are based on the philosophy that prevention is defined on three levels. All three levels are important and need to be considered and addressed in any successful prevention effort.

1. **Primary Prevention**-The focus is on individuals who have not experienced any serious problems. It is a proactive process which provides individuals with the needed resources to constructively confront stressful life conditions and enable them to live a personally satisfying, productive, and enriching life.
2. **Secondary Prevention**-The focus is on individuals who have an identified potential or have experienced some problems. This process provides intervention at an early stage of self-destructive behavior and provides individuals with the needed resources to prevent further problems.
3. **Tertiary Prevention**-The focus is on individuals who have severe problems. It is treatment of the problems and providing individuals with the needed resources to live constructive and fulfilling lives.

Within each of these three levels are prevention strategies that have been developed as a result of years of research on effective programs. The strategies represent a general direction to take. The activities you choose to use to implement each strategy will depend on your capabilities and needs.

## Prevention Strategies

1. **Training Impactors**-In order to strengthen the total prevention-support system within a community, it will be necessary to provide a significant number of individuals with prevention information. Programs for impactors are designed to assist them in examining their own attitudes, identifying how these attitudes affect the way they respond to certain behaviors, and identifying their role in a comprehensive community-based prevention support system.
2. **Providing Accurate Information**-This strategy helps to facilitate responsible decision-making because people need to have accurate information related to an issue. Information plays a role in people's decisions, but it will be only one of many elements in such decisions. In fact, after a thorough review of relevant research, informational drug education (teaching facts and figures about the consequences of chemical use) is now known to have little significant deterrent effect on drug use when used as the only prevention technique.

3. **Promoting Alternative Activities**- This strategy is needed since abusive or undesirable behavior is frequently a response to boredom, frustration, pain, powerlessness, and lack of hope for change. Alternative activities are used in the search for new experiences, involvement, exploration, commitment, adventure, excitement, connections with others, sense of well being, identity, self-understanding, and belongingness. The alternative approach suggests that certain undesirable practices diminish as other, more satisfying means of fulfilling human needs are made possible. Inherent in this approach is a thorough knowledge of "self" and determining for that "self" more desirable ways of satisfying needs.
4. **Enhancing Social Competencies and Life Skills**-This strategy helps young people adapt in positive ways to the complex, change-oriented world in which they live. Factors commonly correlated with the lack of behavior problems are family stability, clear and purposeful goals and values, self-control, self-confidence, rewarding social skills, the ability to accept one's own emotions and to deal constructively with them, and stable peer relationships. These can all be summed up under the development of a variety of social competencies which promote healthy personal functioning. Another way of describing these skills is in terms of the ability to cope with life and the day-to-day hassles in addition to the "curves" that are thrown at us once in awhile.
5. **Initiating Community Involvement**-This strategy allows for a focus on personal growth and positive-directed change for the community. Providing opportunities to become actively involved in real life community activities helps young people to connect to decision makers. Youth and adults who contribute to important community decisions care more about the future welfare of the community and the allocation of its limited resources.
6. **Affecting Policy**-This strategy attempts to change conditions to minimize negative influences. Current legislation around an issue—i.e., drug use—falls within this strategy. The impact of law enforcement both in the community and in schools may need to be examined for effectiveness. The media's effect on an issue or practice may be detrimental; therefore, an examination of the social policies regulating the media is recommended.

Source: Vincente and Associates  
Oakland, California

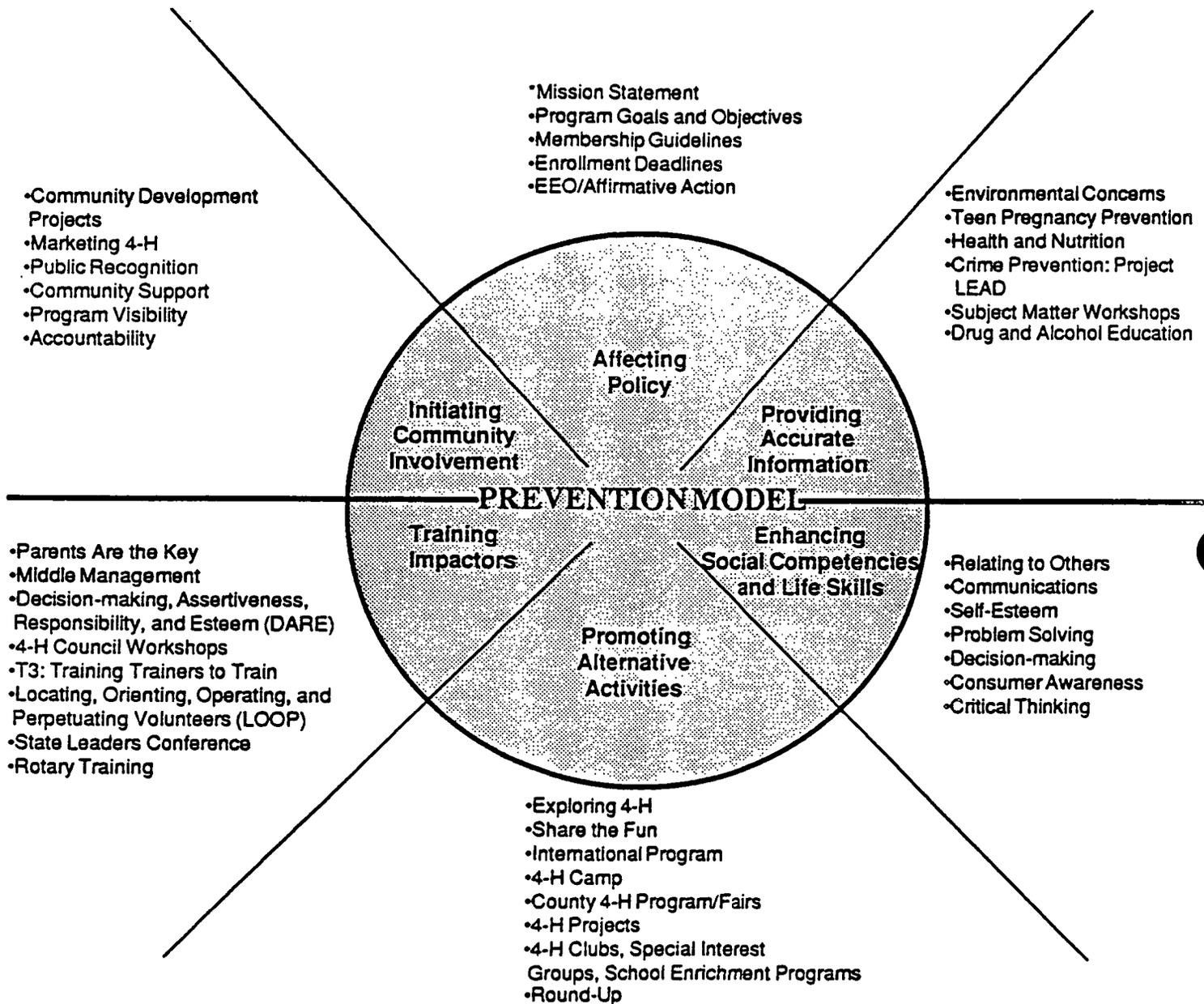
## Prevention Strategies

- Training Impactors
- Providing Accurate Information

- Promoting Alternative Activities
- Enhancing Social Competencies and Life Skills

- Initiating Community Involvement
- Affecting Policy

# A Prevention Model



## THE MODEL

The six strategies at the core of this prevention model provide a holistic, community approach to primary prevention. The programs/ events/activities listed on the outer edge represent only a part of the total 4-H program curriculum.

Research indicates that the more of the strategies that are applied simultaneously in a given community, the greater the prevention impact. In most county 4-H programs, all six of the strategies are applied or come into play in a given program year. Obviously some strategies are emphasized more than others. Some are more apparent than others, especially in light of the program's educational mission.

Aspects of this model are enriched by state and national programs. This broad perspective, a strength of the 4-H program, allows for a very diverse research-based curriculum while providing youth and adults opportunities to expand their horizons through travel and interaction with people across the country and around the globe.

In describing the 4-H program, it is important to stress that it is a community-based nonformal youth development program. What many know about the program is only what they read or see in the media, and oftentimes that is very limited in scope and content.



## AN ECOLOGICAL, RISK-FOCUSED APPROACH FOR ADDRESSING YOUTH-AT-RISK ISSUES

By

Karen Bogenschneider  
Youth-At-Risk Coordinator  
University of Wisconsin-Extension

Stephen Small  
Assistant Professor Child & Family Studies, UW-Madison  
Extension Human Development and Family Relations Specialist

David Riley  
Assistant Professor Child & Family Studies, UW-Madison  
Extension Child Development Specialist

Almost one-half of the youngsters in this country, aged 10 to 17, are estimated to engage in one or more of the following problem behaviors: substance abuse, school failure, delinquency or early, unprotected intercourse (Dryfoos, 1990). The prevention of these problem behaviors is an excellent investment in the future of our nation that can be postponed only at great cost to society, according to the Committee on Economic Development (1987). During the last 20 to 30 years, programmers have experimented with a variety of different approaches to preventing problem behaviors in youth. The research evidence regarding the effectiveness of these approaches has been mixed, leading many reviewers to conclude that the prevention efforts of the '60s and '70s had limited effectiveness. While no single program was overwhelmingly effective, some evidence suggested a beneficial effect of a combination of several programs in the same school (Higgins, 1988b).

The major question that this paper will address is "Do we know enough to prevent some of these problem behaviors in youth?" We begin by presenting a promising prevention model and then review current research on risk factors and protective factors that influence the well-being of youth. Finally, we suggest implications of this research for developing comprehensive, community-based, prevention programs.

### RISK-FOCUSED, ECOLOGICAL APPROACHES

Hawkins and his colleagues at the University of Washington began reviewing other fields for effective prevention techniques. The heart and lung disease prevention models that were being pioneered at Stanford and other places across the country seemed to hold promise. Their approach differed from other approaches in that it focused on factors that increase the risk of heart disease--a family history of heart disease, too much smoking, too little exercise, a diet high in fat.

What was interesting about this approach is that studies indicated that people were able to prevent heart disease by reducing the risk factors--by focusing on preventing smoking, by helping people understand the importance of exercise and diet, and by promoting lifestyle changes. The results of the first studies in Finland and later in this country suggested to Hawkins and his colleagues that perhaps a similar approach could be used for preventing problem behaviors in youth as well (Hawkins, n.d.).

The core of the risk-focused prevention approach is quite simple. To prevent a problem from happening in the first place, identify the factors that increase the risk of that problem and then address those factors--either eliminate them or reduce their effects. Or identify factors that protect against that problem and support or enhance those factors.

This leads to the question, "Will this approach that began in the health arena also work in human development?" The clear message from the literature on child development is that human development is not influenced by one factor but by a whole mosaic of factors (Bronfenbrenner, 1986; Segal, 1983). Children grow up, not in isolation, but in ever-widening environments. Children are influenced first and foremost by their family (See Figure 1) but also by their peers, their school and work settings, and the community in which they live. Development has no single cause; rather multiple factors working together shape development.

To reduce the incidence of problem behaviors among our youth requires addressing risk factors at multiple levels of the child's ecology. In one study by Rutter (1979), the presence of one risk factor (i.e. low social status), was not more likely to create dysfunction than when no risk factors were present; with two risk factors (i.e. low social status and severe marital discord), there was four times the chance of problem behaviors, and with four risk factors, the risk increased as much as 20 times.

Yet the media, politicians, program planners, and citizens often search for single factors, magic bullets and quick solutions to complex youth problems (Edelman, 1987). The piecemeal, "band-aid" approaches that result focus on a single risk factor to the exclusion of other known risk factors; these simplistic approaches have not and cannot be expected to work. Effective programs should address as many of these risk and protective factors as possible, a topic we turn to in the next section of this paper.

## RESEARCH ON RISK FACTORS AND PROTECTIVE FACTORS

Risk factors are individual or environmental hazards that increase youngsters' vulnerability to negative developmental outcomes. The presence of risk factors does not guarantee a negative developmental outcome, but rather increases the odds, the probabilities that problem behaviors will occur (Werner, 1990).

Even in the face of overwhelming odds, some children exhibit a remarkable degree of resilience which leads to the question, "What is right with these children? What protects them?" (Werner, 1990). Protective factors are individual or environmental safeguards that enhance youngsters' ability to resist stressful life events and promote adaptation and competence (Garnezy, 1983; Steinberg, in press; Werner, 1990).

Protective factors are sometimes merely the opposite of risk factors; one major difference, however, is that risk factors lead directly to disorder while protective factors operate only when a risk is present (Rutter, 1987). For example, in studies of families without discord, the presence of a good relationship with at least one parent made little difference in predicting psychological disorder. Of children growing up in families with discord, however, a good relationship with one parent served a protective function; only a quarter of those with one good relationship showed a conduct disorder compared with three-quarters of those children lacking such a relationship (Rutter, 1983).

During the last two decades, the social sciences have made tremendous strides in our understanding of factors that place whole categories of youth "at-risk" of disastrous outcomes and factors which promote adaptation and competence. We will summarize scientific evidence on risk and protective factors at several levels of the human ecology, beginning with the individual and

then moving outward to discuss influences from the family, peers, school, work place, and community. Following the discussion of risk factors and protective factors at each level of the social ecology, examples will be given from our own data.

Much of the information on risk and protective factors emerges from the work of Hawkins, Garmezy, Rutter, Steinberg, and Werner. As in the health field, we also cannot be certain yet that each of the identified factors is a cause of problem behavior; for some of them the evidence so far only suggests that they are correlated with problems.

### **Individual Risk Factors**

#### **Anti-Social Behavior**

Boys, in particular, who are aggressive at ages 5, 6 and 7 have elevated risk of both delinquent activities and drug abuse, especially when these behaviors occur during early adolescence (Hawkins, Lishner, & Catalano, 1987a). Approximately 40 out of 100 kids identified as aggressive in the early elementary grades exhibit serious behavior problems in adolescence. Early anti-social behavior is even a more potent predictor of problem behaviors when it occurs in combination with isolation, withdrawal or hyperactivity. These childhood anti-social behaviors appear most strongly related to serious behavior problems such as drug abuse and much less strongly related to occasional or experimental use of drugs or alcohol (Hawkins et al., 1987a).

#### **Alienation or Rebelliousness**

Alienation or rebelliousness has been linked with early or frequent substance use (Hawkins et al., 1987a). According to Hawkins, (n.d), alienation or rebelliousness is the following attitude:

Okay, so I'm not doing so well in school. Well, I hate it anyway because school is for nerds...for losers. I'm somebody different...I'm tough... I'm a punk...I'm a different kind of kid...(p. 10).

When kids develop this attitude in late childhood or early adolescence, drug problems are more likely later in adolescence.

#### **Favorable Attitudes Toward the Problem Behavior**

Favorable attitudes toward a problem behavior or, at a minimum, fewer unfavorable attitudes, increase the risk of drug abuse or sexual activity (Center for the Study of Social Policy, 1986; Hawkins, n.d.). An important consideration from a preventive perspective is that the earlier these favorable attitudes develop and the earlier first initiation occurs, the less likely kids will have the physical, cognitive and psychosocial maturity to avoid negative consequences. The earlier kids have their first drug experience, the greater the risk of developing drug problems in adolescence or adulthood (Robins & Przybeck, 1987). The younger a teenage girl is at the time of her first intercourse, the less likely she is to use contraceptives and to use them effectively (Higgins, 1988a).

### **Individual Protective Factors**

#### **Well-Developed Problem-Solving Skills and Intellectual Abilities**

Individual factors that can serve to protect children from risk include well-developed problem-solving skills and intellectual abilities. The resilient children in Werner and Smith's (1982) longitudinal study were not intellectually gifted, but they did possess well-developed problem-solving skills that they put to good use. For example, they seemed to be able to control

their impulses and concentrate on their schoolwork even when their home lives were disordered and chaotic.

### A Sense of Self-Esteem, Self-Efficacy and Personal Responsibility

Correlational evidence suggests that it may be protective to have high self-esteem, a well-established feeling of one's own worth as a person, together with self-efficacy, a belief that one can have an impact on one's own fate (Rutter, 1987); a sense of helplessness increases the likelihood that one adversity will lead to another (Rutter, 1985).

### Well-Developed Social and Interpersonal Skills

Resilient children seem to have temperaments that elicit positive responses from other people (Werner, 1990), thereby increasing their capacity to attract and keep supportive relationships around them. This quality is especially important in eliciting competent parenting in early childhood, which sets the pattern for later parent-child relationships.

Some researchers have had success at teaching social skills to aggressive boys, in some cases, even showing an impact on reduced criminal records (Chandler, 1973). Howard and McCabe (1990) have been successful in delaying sexual involvement by teaching early adolescents how to recognize and resist social influences to become sexually active.

### Religious Commitment

Religious beliefs protect children from involvement in drug abuse, delinquency, and teenage pregnancy (Hawkins, Lishner, Jenson, & Catalano, 1987b; Higgins, 1988a; Higgins, 1988b). Regardless of the believer's denomination or socioeconomic standing, faith appears to give resilient children and their caregivers a sense of coherence and stability, a belief that their lives have meaning, and the confidence that things will work out despite hard times. Religious belief can also teach compassion, allowing children to love despite hate (Werner, 1990).

### **Examples from the Individual Level**

Data from Small's Teen Assessment Project, which includes over 17,000 Wisconsin teens, indicated that self-esteem was related to drug use for girls but not for boys. As shown in Figure 2A, ninth grade girls with low self-esteem were compared with their high self-esteem peers; girls with low self-esteem were 4 times more likely to report using marijuana than were high self-esteem girls.

### **Family Risk Factors**

Youth problems are more likely in families with poor family management practices than in families with effective family management practices. Three aspects of family management appear especially important.

### Poor Parental Monitoring

Poor parental monitoring is one of the most powerful predictors of adolescent problem behaviors (Patterson & Stouthamer-Loeber, 1984); problem behaviors, virtually however defined, are higher when parents fail to monitor their children. Monitoring is defined simply as knowing where your children are, what they are doing, and who they are with (Hawkins, n.d.).

Monitoring of early adolescents may be especially important in the after-school hours. According to Steinberg (1986), early adolescents who spend much of their after-school time unsupervised and away from their homes in shopping malls or "hanging out" are more susceptible than their age-mates to peer pressure to engage in antisocial activity. Another study links unsupervised after-school time to substance use/abuse (Richardson, Dwyer, McGuigan, Hansen, Dent, Johnson, Sussman, Brannon & Dphil, 1989) and another to pregnancy (Ford Foundation study cited in Steinberg, in press).

### Distant, Uninvolved, and Inconsistent Parenting

In general, studies suggest that authoritative parenting is associated with lower rates of problem behaviors than autocratic, permissive or uninvolved parenting (Steinberg, in press). Authoritative parenting is a constellation of parenting characteristics that include warmth and responsiveness as well as moderate to high levels of control, with control defined as firm and consistently enforced rules and standards for the child's behavior. Steinberg (in press) cautions that while parental warmth is an important dimension of authoritative parenting, it is not enough; today's adolescents are exposed to many potentially problematic situations, which require parental vigilance to deter their children's involvement.

While young adolescents require more opportunities for independence, they neither need nor desire a complete break with parents. Rather than withdrawing, parents need to permit their teenager greater autonomy in the context of closeness and continuing involvement in their lives (Carnegie, 1989).

### Unclear Family Rules, Expectations, and Rewards

Youth are more apt to get involved in problem behaviors when parents are heavy users of alcohol, when parents recreationally use illegal drugs, and when parents are tolerant of children's use (Hawkins, n.d.). Hawkins defines tolerant as parental attitudes like, "All kids are going to sow some wild oats, smoke a little dope, and drink a little beer. What's the big deal? They'll grow out of it." In families with these attitudes and behavior patterns, children are more apt to abuse alcohol and other drugs.

## **Family Protective Factors**

### A Close Relationship With at Least One Person

Resilient children have had the opportunity to establish a close bond with at least one person who accepts them regardless of their temperament, attractiveness or intelligence (Werner, 1990). One good relationship can do much to counteract the effects of other bad relationships (Rutter, 1985). In high-risk families, some of the nurturing often comes from alternative caregivers such as grandparents. Some studies have found this effect for relationships with adult non-relatives, such as a school teacher who takes a special interest in a child (Werner, 1990).

### **Examples From the Family Level**

Small's data shows that a lack of parental monitoring can be a potent risk factor for both alcohol use and sexual activity. As shown in Figure 2B, nearly half of ninth graders who report low parental monitoring also report being sexually active, while only 6 percent of the ninth graders in the high parental monitoring group report being sexually active. In other words, 9th graders whose parents do not monitor them closely are about 8 times more likely to be sexually active.

Parental monitoring is equally important when it comes to alcohol abuse. Figure 2C displays the percentage of 9th graders who report that they have had at least 5 drinks in a row during the past month, or in other words, have gotten drunk. Sixty-eight percent of the ninth graders, who are rarely monitored by their parents, reported that they had gotten drunk in the past month. In contrast, only 8 percent of the teens from the high parental monitoring group reported getting drunk.

When parental monitoring and parental support are considered concurrently, an interesting additive relationship emerges. The graph in Figure 2D displays cocaine use as a function of both parental support and parental monitoring. Notice that those teens who are low in both parental monitoring and parental support are the most likely to use cocaine. Nearly 16 percent of teens in this group report using cocaine while only 2 percent of the teens who report that their parents are high in both parental support and monitoring report using cocaine. The low monitoring-high support and high monitoring-low support groups fall midway between these more extreme groups. The important message is that both parental monitoring and parental support are important in deterring drug use.

In one of Riley's studies, the number of adult male relatives--usually grandfathers and uncles--who took the child on outings away from home was related to improved child report card scores as illustrated in Figure 3A; with the addition of just one uncle or grandfather, boys went up one-third in class rank. The benefits, however, were restricted to the most at-risk subgroup in the sample, single-parent boys (Riley & Cochran, 1987).

### **Peer Risk Factors**

#### **Association with Peers Engaged in Similar Behaviors**

Kids who associate with other kids who use drugs have a much greater likelihood of using drugs themselves. The interesting thing about this risk factor is that it is true whether or not other risk factors are present, according to Hawkins (n.d.). For example, even if kids come from well-managed families, are getting good grades in school, and live in a well-connected neighborhood, they are more apt to use drugs if their friends do. Hawkins (n.d.) points out, however, that kids with fewer risk factors are less likely to associate with other kids in the school who use drugs unless everybody in the school is using drugs.

Kids who belong to the "druggie" or "party-er" peer crowd at school are at elevated risk for drug use (Steinberg, in press). In early adolescence, before a strong sense of identity is formed, crowd membership is one way that adolescents define themselves. Being a "druggie" is as much a part of one's identity as an occupation is to an adult. While all adolescents are likely to be exposed to drugs or alcohol at some time, a "druggie" or "party-er" must continue to use drugs or alcohol in order to maintain both a social network and a sense of self. Giving up drugs or alcohol may mean giving up part of one's identity.

### **Peer Protective Factors**

Resilient children are more likely to have one or more close friends than children who do not adapt as successfully (Werner, 1990). Resilient children also keep their friends for a long period of time and rely on them for emotional support. These friendships are most effective if they occur in combination with a close and stable relationship with at least one family member (Werner, 1990).

## Examples From the Peer Level

According to Small's data, peer pressure to drink or use drugs is highest in 7th grade, drops steadily through the 10th grade, and then plateaus. As can be seen in Figure 3B, nearly 1 in 5 seventh graders worried "quite a bit" or "very much" about pressure to use drugs while only 7 percent of 10th and 11th graders worried a lot about being pressured by peers. This same age trend held for drinkers and nondrinkers alike. That is, both drinkers and non-drinkers felt more pressured to drink or use drugs in the lower grades than in the upper grades.

## School Risk Factors

### School Transitions

According to Price (1989), if you wanted to invent a social institution to screw up kids, you couldn't invent anything better than a junior high school. Young people are expected to change schools twice just as they are undergoing a host of biological, cognitive and psychosocial changes. When students move from an elementary school to a junior high-school or middle school, academic achievement goes down, extracurricular participation goes down, feelings of being anonymous go up, and rates of drug use and drug abuse increase (Carnegie, 1989; Simmons, 1987; Steinberg, in press). The greatest risk factor of being a school dropout in Seattle, according to Hawkins (n.d.), is not being black or coming from a low socioeconomic status, but rather being a ninth grader because that is when kids move from middle school to high school.

The timing of school transitions appears important with negative consequences more likely the earlier the transition occurs in a child's life, and when it occur in conjunction with several other life changes. Students most susceptible to the negative effects of school transitions include marginal students, those who lose friends during the transition, or those experiencing other problems (Simmons, 1987; Simmons, Blyth, Van Cleave, & Busch, 1979; Simmons, Burgeson, & Carlton-Ford, 1987; Steinberg, in press).

### Academic Failure

Academic failure increases the risk of drug abuse, teenage pregnancy, and delinquency. Since the evidence is based upon correlational data, the opposite is also true; drug abuse, teenage pregnancy and delinquency can also increase the risk of academic failure (Brooks-Gunn & Furstenberg, 1989; Hawkins, n.d.; Hawkins, et al., 1987a). Academic failure appears to be especially important in the late elementary grades; youth who are failing in grades 4, 5 and 6, for whatever reason, are more apt to get involved in delinquency or drug abuse during high school (Hawkins, n.d.; Hawkins, et al., 1987a).

### Low Commitment to School

Those students who fail academically often have this next risk factor, a low degree of commitment to school. Students who hate school, who attend only so they can hang out with friends and smoke cigarettes, who have lost their commitment to being a student and getting an education, are at elevated risk for problems in adolescence, according to Hawkins (n.d.).

Low commitment to school may be due, in part, to school size. In Barker and Gump's (1964) research, large schools offer more nonacademic activities, but extra-curricular participation per person is only about half as much as in smaller schools. In large schools, academically marginal students often feel unneeded, like outsiders; they rarely get involved in school activities. In small schools, however, these students feel a sense of involvement and obligation equal to that of more academically successful students.

## School Protective Factors

### Positive School Experiences

Positive school experiences provide a source of strength amidst an otherwise chaotic environment. The benefits of a positive school experience can stem from academic pursuits but also from social success, a special relationship with a teacher, the opportunity to take positions of responsibility, or success in non-academic pursuits such as sport, music, and art (Rutter, 1987). Children seemed most resilient in school (and home) environments that were warm and responsive but also organized and predictable with clearly defined and consistently enforced rules, standards, and responsibilities; these characteristics appear especially important for children experiencing transitions such as divorce (Werner, 1990).

### Examples from the School Level

In Small's data, teens who report a low commitment to school--those who say that they don't enjoy going to school or think they might drop out--are over 3 times more likely than teens who have a high attachment to school to report using alcohol on a regular basis. As shown in Figure 3C, nearly 6 out of 10 students with low school attachment use alcohol regularly compared to about 2 out of 10 students who are highly attached to school.

Figure 3D illustrates the relation between marijuana use and grade point average. Only about 1 in 10 (or 12 percent) of the A and B students report using marijuana while 4 in 10 (or 41 percent) of the C and D students report regular marijuana use. The direction of effect is not clear but it may be bidirectional with drug use leading to lower achievement and lower achievement leading to greater drug use.

## Work Setting Risk Factors

### Long Work Hours

Among inner city populations, adolescents who work are no more likely to engage in delinquent behaviors than nonworkers. In other samples of youngsters, however, working long hours places average youngsters "at-risk" for drug and alcohol use, delinquency, and lowered achievement. For freshman and sophomores, working in excess of 15 hours weekly places youngsters at greater risk while for juniors and seniors, working in excess of 20 hours a week or more is problematic (Steinberg, in press). Some of the mechanisms that ostensibly link work to problem behaviors include:

- \*the stressful nature of youth jobs; stress on the job is likely to be associated with increased drug and alcohol usage among teenagers as it is among adults.
- \*Increased contact with older youth who are more apt to expose them to problem behaviors
- \*Diminished contact between adolescents and other adults, especially their parents. Having a job that entails being away from home during the evenings and weekends increases the difficulty of monitoring by parents, and
- \*Increased financial autonomy; the bulk of students' earnings, even among economically disadvantaged students, goes not toward family expenses or long-term expenditures but toward immediate recreational purchases (Steinberg, in press).

## Work Setting Protective Factors

### Required Helpfulness

Part-time work after school and assigned household chores emerge as protective factors in studies of youth experiencing adversity. Work appears to be a protective factor when children are needed to assume productive roles in the household such as bringing in extra income or managing the household when a parent is ill. These productive roles of responsibility appear to be protective, especially when carried out in the context of close family ties (Werner, 1990).

### Examples From the Work Setting Level

In Small's data, 11th graders who work 20 or more hours per week tend to have grades nearly a full grade lower than teens who do not work at all (See Figure 4A.) Eleventh graders who work 20 or more hours per week are also twice as likely to drink alcohol more frequently. In Wisconsin, the majority of 11th and 12th graders are regular users of alcohol; those who work more than 20 hours per week, however, drink more often and consume more on each occasion (See Figure 4B).

## Community Risk Factors

### Low Socio-Economic Status

Persistent serious crime and regular use of illicit drugs are more prevalent under conditions of extreme social and economic deprivation (Hawkins et al., 1987b). Risk factors are often correlated, so being poor increases the probability that a slew of other risks will be present and also, magnifies the adverse impact of the risk factors that exist. For example, neurological problems in middle-class children during the early years did not mean later trouble at school; stimulating and supportive middle-class environments enabled the child to compensate for moderate neurological defects. In contrast, early biological problems were magnified in children from low-income families; the combination of an impoverished home and minor neurological damage led to major problems (Werner & Smith, 1982).

### Complacent or Permissive Community Laws and Norms

Adolescents are more apt to engage in problem behaviors in the context of permissive, complacent or inconsistent laws, school and work place policies, and community norms. Clear statements, such as higher rates of taxation, decrease the rate of alcohol usage among both light and heavy users. Raising the drinking age from 18 to 21 reduces alcohol usage but is not as effective as taxation among heavy users (Hawkins, n.d.; Higgins, 1988b).

Adolescents respond to adult messages, being more likely to use substances acceptable to the community than those strongly disapproved of by the community (Baumrind, 1987). The fact that our Wisconsin data shows that high school juniors and seniors use alcohol at rates approximating adult usage in our state comes as no surprise; youngsters appear to be maturing successfully into the adult roles they observe.

### Low Neighborhood Attachment, Community Disorganization, and High Mobility

The risk of youth involvement in problem behaviors increases under conditions of low neighborhood attachment (Hawkins, n.d.). Low neighborhood attachment means that community residents have little connection to others in the neighborhood, parents don't talk to each other, and few community norms exist regarding curfews, drinking, and age of first dating. Children are not viewed as a community responsibility (Small, 1990).

Communities marked by low quality housing and high levels of disorganization--vandalism, broken windows, and unoccupied dwellings--experience higher levels of drug abuse. Mobility is associated with higher rates of both delinquency and drug-related problems, evoking the greatest harm among the transient and those who lack the socioeconomic resources and skills to integrate into new communities.

### Media Influences

That television influences behavior is no longer debated; the link between television viewing and children's aggressive behavior is firmly established (Eron, 1982; Huesmann, Lagerspetz, & Eron, 1984). However, scientific evidence linking television viewing to teenage drinking or sexuality is limited.

Advertisers, however, must be convinced of the importance of promoting their products among young audiences; sex has been used for years to sell products and makers of beer and booze spend an estimated \$2 billion per year, marketing ferociously to young people just as they start to develop brand loyalty (Higgins, 1988b).

## **Community Protective Factors**

### Belonging to a Supportive Community

Resilient youth are able to rely on a greater number of sources of social support than youth with serious coping problems, including teachers, ministers, older friends, siblings and cousins, family day-care providers, nursery school teachers, neighbors, or contacts at social agencies (Garnezy, 1983; Werner, 1990; Werner & Smith, 1982). The beneficial effects of a supportive community appear to be strongest for children who are the most vulnerable to begin with (Steinberg, 1989).

The presence of social support benefits not only the child but also the parent. Regardless of culture and social class, a mother is warmer and more emotionally stable when there are more adults around to help. In fact, social isolation is one of the surest predictors of a child-abusing family; the mother's isolation is more closely related to risk, according to Werner and Smith (1982), than the absence of the father.

### Bonding to Family, School, and Other Social Institutions

Attachment to parents, commitment to school and education, and belief in the general norms and values of society inhibit both delinquency and drug use (Hawkins, et al., 1987a). Youngsters who feel emotional ties to their family, school or community are more apt to accept societally-approved values and expectations for behavior, thereby increasing the likelihood that norm-changing strategies like "Just Say No" clubs, anti-drug media campaigns, and school policies about drinking will be effective (Hawkins, n.d.).

For people to become bonded to their family, school, or community requires three conditions: opportunities for involvement, the skills necessary to be successful in this involvement, and a consistent system of rewards and recognition for appropriate behavior (Hawkins, n.d.).

## **Examples From the Community Level**

One question in Small's data asked teens if they were to do something wrong and an adult neighbor were to see it, would they tell their parents. Figure 4C shows the effect of this neighborhood monitoring on excessive teenage drinking. Nearly half of the teens who reported

little or no neighbor monitoring said they had 5 or more drinks in a row during the past month. In contrast, just under 30 percent of teens who replied that their neighbors would very likely tell their parents if they were to do something wrong, reported they had gotten drunk in the past month. This is a potent effect since neighborhood monitoring is a relatively distal variable when contrasted with individual or family factors.

### **Cumulative Risk**

An ecological, risk-focused orientation assumes not only that most youth problems are multiply determined, but that the more risk factors that are present, the greater the likelihood that a problem will occur. Figure 4D shows the cumulative risk of a teen being sexually active as a function of the total number of risk factors present (i.e. poor academic achievement, low parental monitoring, and long work hours). As the total number of risk factors increases, so does the likelihood that a teen will be sexually active. When a teen has no risk factors or only 1 or 2, the chances are slim that he or she would be sexually active; if 9 or more risk factors are present, however, the chances are high that an adolescent will be sexually active.

### **IMPLICATIONS OF AN ECOLOGICAL, RISK-FOCUSED MODEL FOR PREVENTION PROGRAM DEVELOPMENT**

What a tragic paradox that public confidence in its ability to do anything to help youth-at-risk has hit bottom just when our scientific knowledge of what to do has reached an all-time high (Schorr, 1988) Although gaps still remain in our scientific understanding of these issues, the biggest gap may be in developing mechanisms through which we can deliver what we already know.

An ecological, risk-focused model of prevention suggests addressing risk and protective factors at multiple levels of the child's ecology. For example, a community that decides to address drug and alcohol abuse may need to mount a comprehensive, multi-dimensional effort. Parent education may be needed to address poor family management; schools can take steps to encourage student commitment to school, programs can help youth learn to resist negative peer pressure, and so forth. Effective programs exist to address many of these risk factors. What does not exist is this--communities need to assess which risk factors are in place, which protective factors are missing, and then target prevention programs to the gaps that remain at the levels of the individual, family, school, peer group and community.

An ecological, risk-focused approach does not mean that communities must address every possible risk factor, just consider them. In any given community, some factors may be more important than others. For instance, in one community, the major risk facing youth may be lack of positive and meaningful roles and an absence of community norms and sanctions against the use of alcohol. Thus, in this community the most effective strategies would be to create meaningful roles for youth and to work at strengthening the norms against alcohol use.

In other communities, especially those where numerous risk factors exist, it may be necessary to take a much more comprehensive approach. Reducing a couple of risk factors may not make much of a difference when the underlying issue is poverty and the fact that young people do not see much of a future for themselves. In such a situation, the most effective approach may need to be quite comprehensive and involve an economic development element if it is to have any chance of success.

A number of implications provide insight into developing effective prevention programs using an ecological, risk-focused approach, several of which are reviewed below.

1. Be sure you know what the real problems or issues are facing local youth. Implication: assess youth.

In Wisconsin, this issue of real versus perceived problems has been addressed by developing several community needs assessment programs. One such program, Small's Teen Assessment Project (TAP), involves surveying local youth in the community about their mental health, worries and concerns, perceptions of the community, aspirations for the future, and frequency of both positive and problematic behavior such as drug use and sexual activity.

Prior to the local TAP survey, several Wisconsin communities believed the use of illicit drugs, such as cocaine or crack, to be the major drug problem. TAP has consistently shown that in most Wisconsin communities, cocaine use is minimal and not much of a problem; the major drug problem, and one that is often overlooked, is alcohol use.

Another local needs assessment developed by Riley, the School-Aged Child Care Project (SACC), surveys parents to determine how many children are unsupervised in nonschool hours and what community services parents would prefer and support. This local data provides a comprehensive picture of the community's true needs which is invaluable in developing appropriate and timely solutions. For example, in one community, the overall need for after-school child care was quite low, although a high need for care emerged during the summer months. This was a summer resort community that had full employment during the summer, but high unemployment during the school months. Thus, the localized needs assessment helped identify the real need which was quite different from preconceptions.

Local data can be a powerful way to convince members of a community about the relevance of the issue. Initially, Riley attempted to disseminate state and national research about unsupervised children statewide through press releases, newsletters, and presentations. The results of this initial effort: Zero. A typical response by citizens and local policy-makers ran something like this: "So what? That research was done in Milwaukee or New Jersey. Our town is different." In his revised effort, he helped local groups conduct their own research. Then it became dramatically apparent to the community that school-aged child care was not just a problem in Milwaukee or New Jersey, but a problem in our town too (Riley, 1990).

2. Have a sense of what programs and resources already exist in the community. Implication: assess the community.

Sometimes, in our zest to help youth and their families, we implement a program that duplicates a program already in place. In Milwaukee, for example, there are at least 35 organizations delivering parent education programs; another parent education program would be foolish, wasting limited resources and creating competition rather than collaboration.

To address this issues in Wisconsin, Bogenschneider is developing a checklist of community resources that support youth and their families. This self-assessment tool is used by communities to take account of the relevant programs and resources that already exist in the community and those that are lacking, so that new programs can be targeted to the gaps that exist.

3. Set realistic and well-defined goals. (Without measurable outcomes, success will be difficult to assess.)

Perhaps Alice in Wonderland said it best: "If you don't know where you are going, any road will take you there." One of the most important steps in planning a successful prevention program is selecting and defining the problem and precisely identifying the expected outcomes; without measurable outcomes, success will be difficult to assess.

For many youth behaviors like sexual activity or alcohol use, the goal is probably not prevention in the literal sense, but rather delay or responsible use. For example, most parents want their children to eventually develop the ability to be a responsible partner in an intimate, sexually-fulfilling relationship. So the goal of a pregnancy prevention program is not to prevent sexual activity but to delay or minimize the dangers associated with it.

Similarly, alcohol use, at least in Wisconsin, is the norm for adults. As a result, more realistic goals than prevention are delaying when teens begin to drink, limiting their alcohol use to experimentation or occasional use, or minimizing the dangers to young people by such actions as keeping drunken teens from driving.

4. Target multiple risk factors at multiple levels of the social ecology. (Avoid the temptation of simple answers: adopt an ecological view.)

Program implementors should ask themselves these important questions, "What risk or protective factors will my program address? Is their scientific evidence that these factors increase or decrease the likelihood of a particular problem behavior?"

Just as important as addressing risk factors with sound programs is simultaneously addressing multiple risk factors. As the growing body of research evidence indicates, for most problem behaviors, there is no single cause, but many. These risk factors are not confined to any one part of the adolescent's world. Thus, effective programs will make an effort to address these multiple risk factors or at the very least, to coordinate with other programs in order to create a comprehensive, multifaceted effort.

Successful prevention programs usually include multiple approaches to solving problems, rather than investing all their effort in a single panacea. In Riley's school-age child care project, a variety of impacts have occurred. At the level of the individual child, Extension has held self-care training programs. At the level of the family, Extension has sent fact sheets to parents and held workshops for parents and children together. At the level of the community, Extension often serves as the catalyst to get communities to start supervised programs before and after school, to establish telephone reassurance lines, and to successfully seek external funding.

5. Comprehensive prevention efforts should involve cooperation and collaboration. (No single organization has the resources to do the whole job.)

Youth problems are much too complex and the solutions much too comprehensive for any one agency to address alone. The magnitude of addressing risk and protective factors at multiple levels requires collaboration. Furthermore, research on successful prevention programs suggest that families, schools, and community organizations function best when each is supportive of the other (Bronfenbrenner, 1986).

The fragmented system of youth and family programming that now exists cannot be expected to work; the well-being of youth requires a comprehensive, community-wide response (Cowen, 1986; Brown, 1987). Some of the most successful programs in delinquency prevention, for example, have involved broad-based efforts where local citizens work together with schools, police, courts, gang leaders and the media (Dryfoos, 1990).

6. Consider how the implementation of a particular program might affect other programs and institutions in the community. (In any ecological system, changing one part will cause the others to shift.)

An ecological model recognizes that when one context or setting is altered, it will almost always have an effect on other systems or settings. For example, although desegregation was

intended to be a "forward step" for the civil rights movement, it advertently may have contributed to gang formation in Milwaukee. When black students were bussed to schools scattered throughout the city, parents and neighbors were less able to participate in the schools, and schools lost some of their ability to exert social control, thereby weakening black institutions capable of curbing the emerging youth gang problem (Hagedorn & Macon, 1988).

7. Whenever possible, involve the target audience in the planning and implementation of the program. (This helps the program "fit" the community, and creates commitment to continuing the program.)

Involving local people in the planning of a program promotes local ownership and a commitment to seeing that the program is implemented and maintained. No matter how sound the academic base, youth-at-risk programming is more likely to fail if there is not broad-based community awareness, involvement, and commitment (Edelman, 1987; Jenkins, 1989).

For example, Swift and Healey (1986) designed a program that effectively increased stimulation of low birth weight/low SES newborns by mothers and nursery personnel. Swift and Healey discuss how they were highly pleased with themselves and prepared to replicate their program at another site. Unfortunately, as they were packing their extra program manuals, the hospital staff was returning to business as usual, seeing no reason to treat newborns any differently despite the program's proven success.

Swift and Healey (1986) had translated research into a program that was successful in both human and statistical terms. By failing to involve the hospital staff in the design and implementation of the program, they had failed to generate local acceptance and involvement, thus limiting the likelihood that the benefits of this successful program would continue.

The importance of youth involvement became evident in one community that Bogenschneider was working in. The towns people complained about the amount of skateboarding that was occurring in the downtown business area. The community leaders decided to build a skateboard park without the benefit of youth input; they ended up locating it all the way across town right next to the police station. The skateboard park wasn't used and now is locked up--and the community wonders why it didn't work.

Another reason to involve the target audience in the planning and implementation of the program is to gain an understanding of the cultural and religious climate of the community. Because programs occur in a local context, programmers must be sensitive to differences in assumptions, world views, and expectations that are likely to occur in diverse communities. For example, how communities greet a teen pregnancy prevention program may differ greatly depending upon a community's religious and political climate and its past experience with similar programs. In Riley's work on school-age child care, some communities prefer a community-wide solution (like an after-school program), while others prefer an approach that focuses on individual family responsibility (like self-care training packets for parents).

When programs address such important outcomes as teen pregnancy, adolescent suicide, and alcohol and drug abuse, sensitivity to the cultural climate of the community becomes more critical. Such programs can be highly controversial; even talking publicly about such issues as sexuality or suicide may be seen as an activist, non-neutral act by some community members. Inviting members of the community to be a part of the planning or implementation process, however, allows opportunities to learn about their values and beliefs and win their support and commitment.

8. When replicating a model program, be sure that it is developmentally and culturally appropriate. (The causes and solutions of problems vary across contexts, and change with developmental age of the youth.)

There is a tendency for youth programmers, both within Extension and outside of it, to assume that the problems faced by young people and their families, the causes of these problems, and their solutions are fairly simple. For example, there is a common belief that the answer to most teen problems is simply to raise the self-esteem of youth. While self-esteem may be an

important protective factor for some problems in some youth, it is quite clear that self-esteem is not the panacea it is often made out to be. And self-esteem itself arises from a complex array of ecological factors.

"Magic bullet" simple solutions do not work. And even when there appears to be a single powerful, underlying factor, it cannot be assumed that this same factor will be equally important across all youth and in other communities with different cultural and religious compositions, economic conditions and histories.

An example that will ring true to many Extension workers is the demonstration method commonly used in agriculture—the seed field test. Different seed varieties are planted in local test plots and farmers can see first-hand which seeds grow best in their soil and climate. Just as the natural ecology varies from locale to locale, so does the human ecology. One small town differs from another and they are both different from the nearest major city. Similarly, it is no surprise that the problems and solutions vary from community to community depending upon the human ecology.

Even when a model program is particularly effective for a specific audience, this same program may have limitations when used with other audiences. A program that may be effective for one age group may be ineffective or inappropriate for another. For example, because the influence of peers reaches its peak in early adolescence, peer education program may be more effective for these younger adolescents. Similarly, drug prevention programs aimed at upper level high school students may be a waste of time given that many of these students are already regular users. Several interventions to reduce aggressive behavior in early adolescent boys have been successful, but no programs have been successful with boys older than that. If prevention programs begin too late, some of these behaviors have already begun to crystallize and become more immune to change (Bronfenbrenner, 1986). Evidence suggests that even the most successful prevention programs are not successful after adolescents have begun drinking or become sexually active (Howard & McCabe, 1990).

Prevention programs can also be more effective if they recognize and take into account the developmental changes that occur as adolescents mature. Prevention programs for adolescents younger than 11 or 12 should focus on the immediate, concrete results of being involved in risky behavior (Steinberg, in press). Programming for adolescents beyond 13 years of age can begin to build on adolescents' emerging ability to consider the long-term consequences of their actions. For example, 12-year-olds may not understand arguments against getting pregnant that stress that they will not be able to complete their education or adequately provide for their child. Examples that might be more relevant to this age group include: your clothes won't fit, you'll be too fat to sit behind your desk, you'll have another person sleeping in your room, and your friends and teachers may look at you differently (Howard, 1988).

Model programs also need to be adapted and localized to the specific situation in which they are implemented. For example, a parent education program designed for middle-class parents may need to address an array of additional issues when used with low-income, urban, minority parents. For instance, it may be important for the program to address such topics as how to access social services, how to keep children from becoming involved in gangs, and how to help children cope

with discrimination and limited future options. In addition, as the racial and ethnic diversity of society grows, so should the diversity of our audiences. This will require that our programs and materials be racially and ethnically sensitive and that they avoid imposing white, middle-class values on those with different backgrounds.

9. Know the literature in the area in which you're working. (Extension's job is to be experts.)

A wealth of research-based information and theoretical reviews are relevant to most youth-at-risk issues; it would be a crime not to take advantage of them. Moreover, the state-of-the-art in program development is changing at a rapid pace. Extension faculty, as part of our state university systems, have a responsibility to keep abreast of the latest research developments; Extension faculty are paid to be experts.

For instance, anyone working in the area of adolescent drug prevention should be familiar with the work of Denise Kandel, David Hawkins, Michael Newcomb and Peter Bentler. Parent educators should be familiar with the work of Diana Baumrind and Larry Steinberg. Programmers in adolescent pregnancy prevention should be sure to read the two volumes put out by the National Research Council entitled Risking the Future and be familiar with the work of Marion Howard and Jeanne Brooks-Gunn.

## CONCLUSION

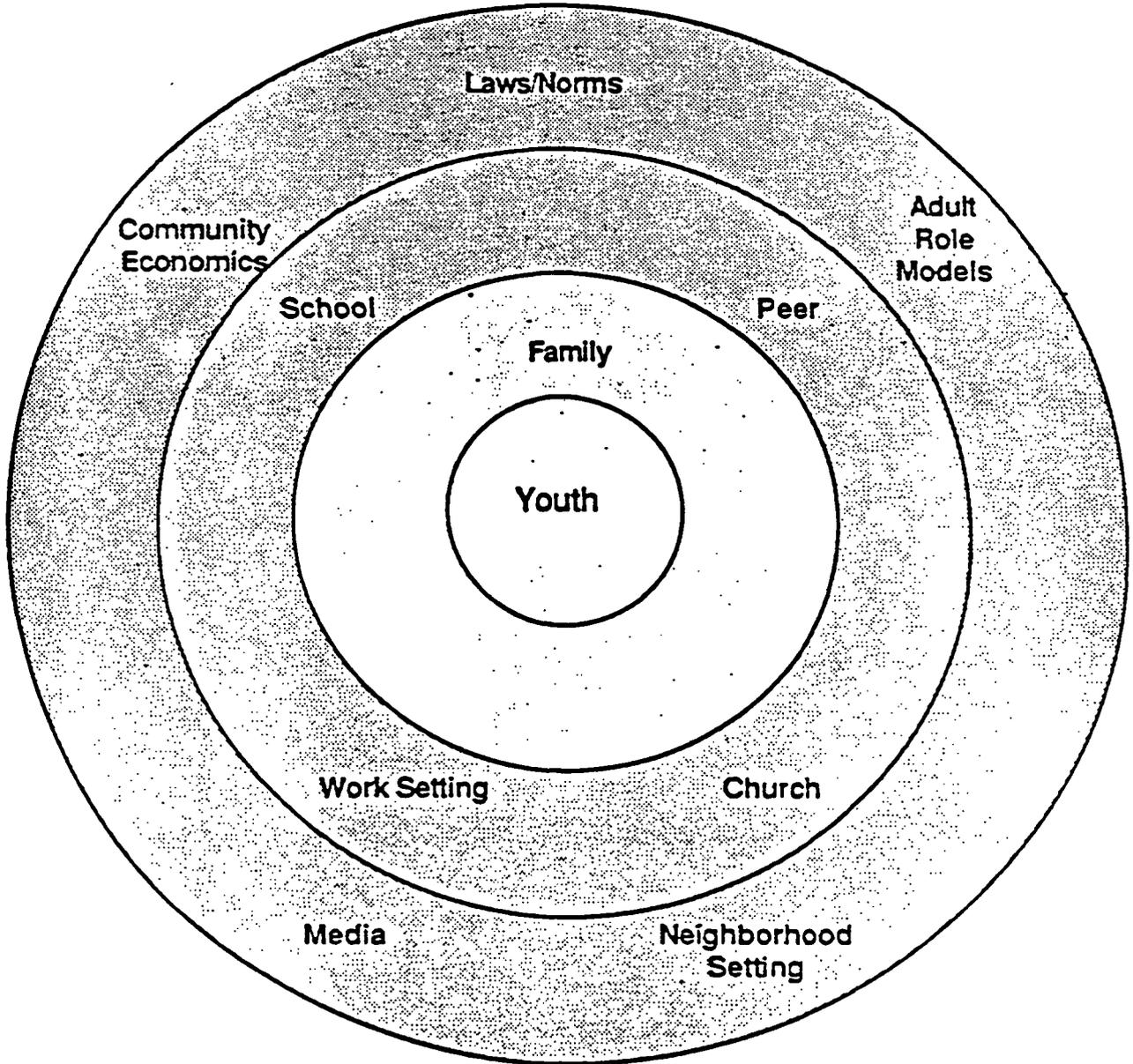
This risk-focused ecological model suggests that comprehensive, community-based efforts are needed to prevent the problems young people face. Youth cannot be considered separately from the environments in which they live, work and play. This same observation was made in the literature a half-century ago. Child therapists wrote of their frustration when they would cure a child's emotional problems and then send the child home to the family and neighborhood that had contributed to the problem in the first place. Of course, the child's problem would re-appear. It is a fallacy to think that individuals can be treated or educated without regard for the social context that surrounds and molds them.

One classic example of this ecological principle can be seen in the paintings of the great wildlife artist, Audobon. He never painted birds flying against a blue sky. They were always perched in a tree or bush or weeds. But the choice of tree was far from accidental; each bird was perched in an essential part of its habitat, in a tree that it feeds from or nests in, sometimes even a tree whose seeds are spread by the bird. Indeed, in many cases, the bird is found only where the tree is also found, and vice-versa. Audobon made this insight a part of each painting: that while the bird and tree are separate species, they are in some fundamental sense also a single system. Save the tree and the bird is saved; destroy the tree, and the bird is also destroyed. The same is true of humans and their social habitats.

Helping youth requires helping the habitats that nurture youth. Ignoring the environment surrounding youth cripples efforts to educate or nurture youth, perhaps past usefulness. The most effective prevention programs will assess risk factors and protective factors at each level of the child's ecology and then target programs to the gaps that exist.

**FIGURE 1**

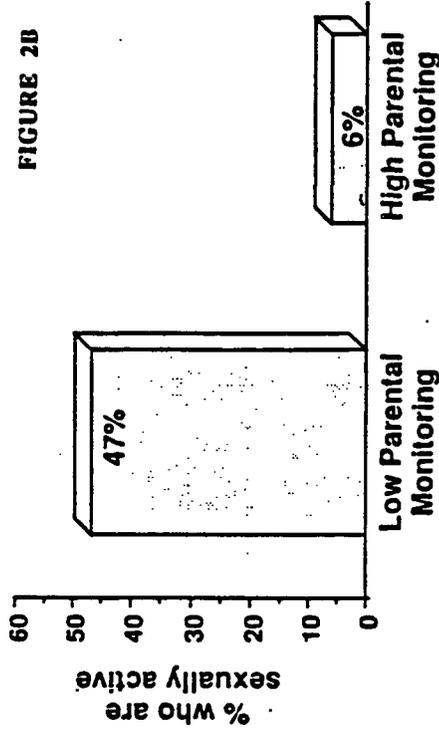
**Influences on Youth Development**



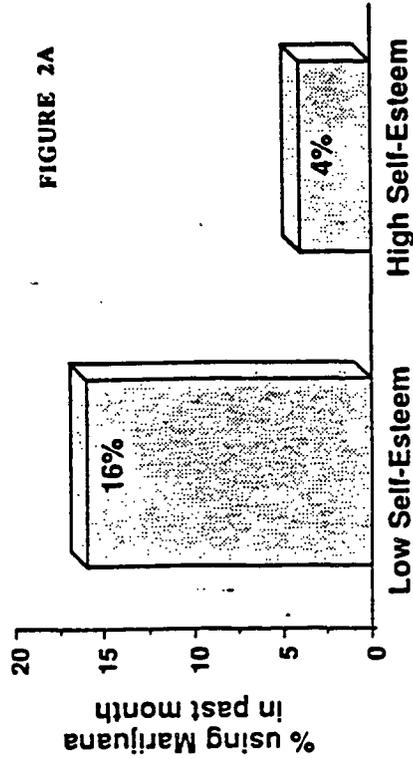
# The Relation of Risk Factors/Protective Factors to Problem Behaviors: Some Examples

FIGURE 2

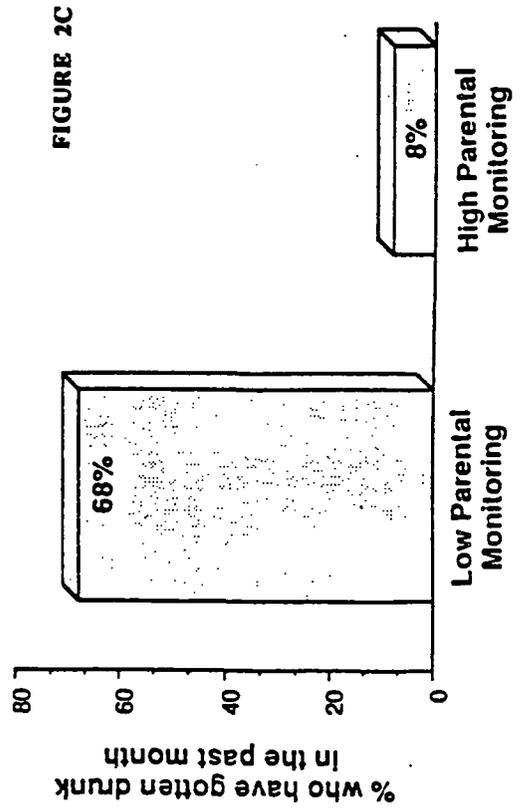
Sexual Activity Rates of 9th Graders as a Function of Parental Monitoring



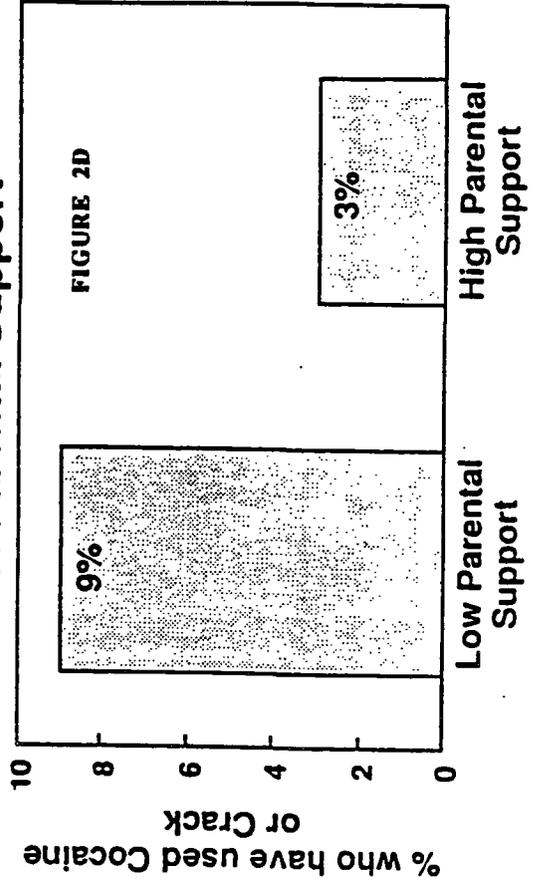
Marijuana Use by 9th Grade Girls as a Function of Self-Esteem



9th Graders Who have had 5 or More Drinks in a Row as a Function of Parental Monitoring



Cocaine Use as a Function of Parental Support

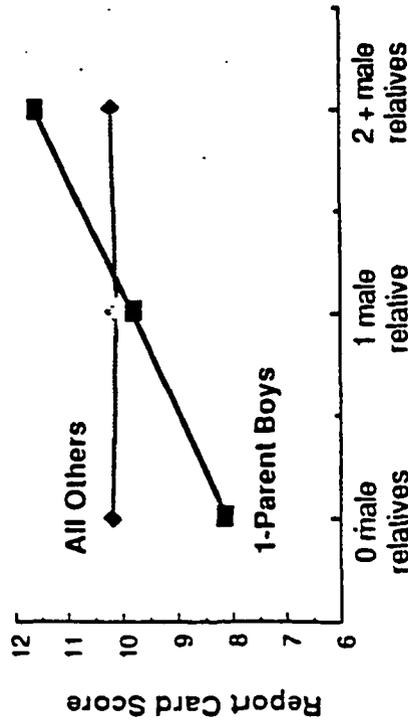


# The Relation of Risk Factors/Protective Factors to Problem Behaviors: Some Examples

FIGURE 3

Number of Adult Male Relatives who take the Child on Outings

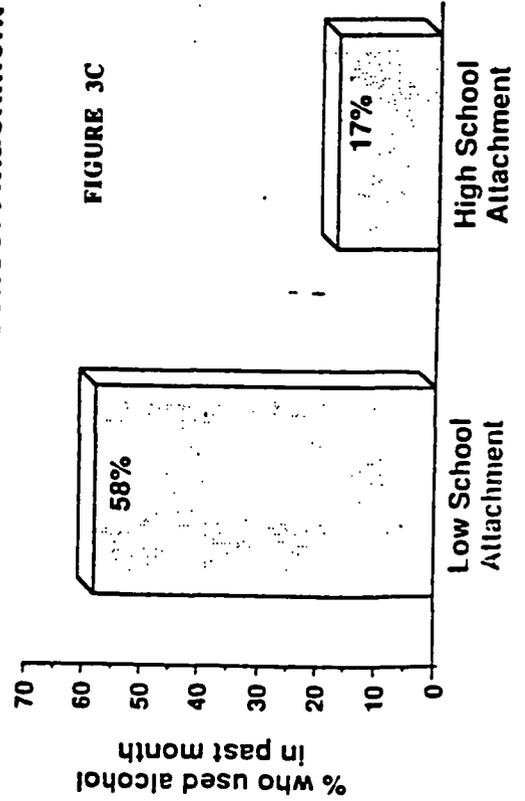
FIGURE 3A



(Riley & Cochran, 1987).

Alcohol Use in Past Month as a Function of School Attachment

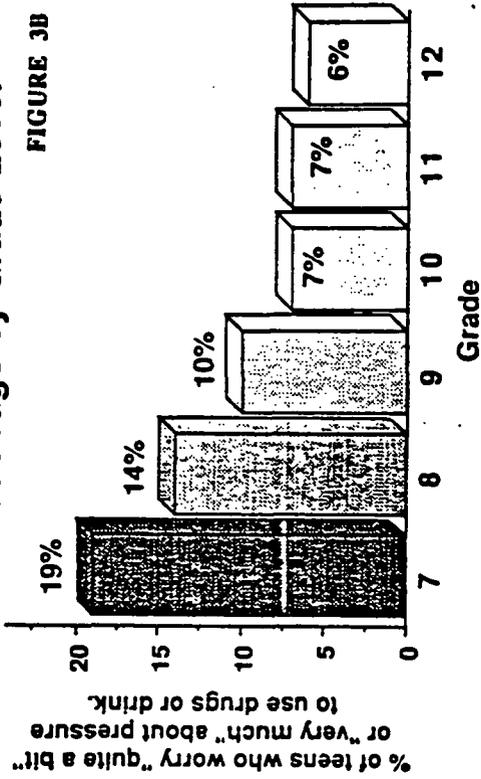
FIGURE 3C



Teen Assessment Project, University of Wisconsin-Extension, n=2246

Peer Pressure to Drink Alcohol or Use Drugs by Grade Level

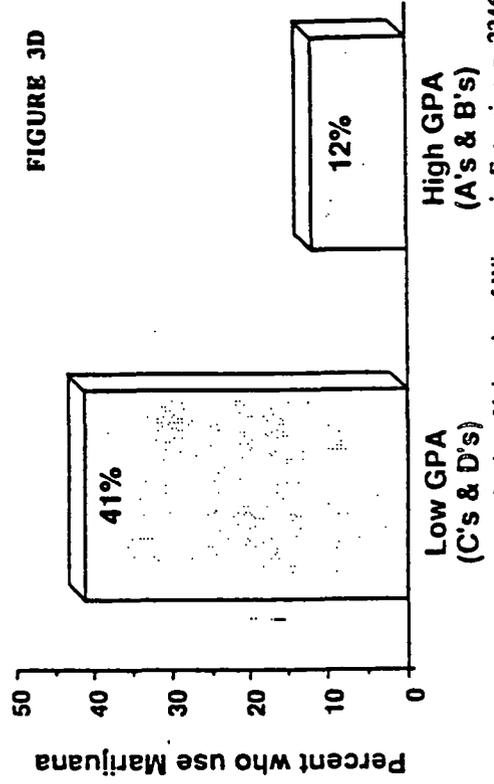
FIGURE 3B



Teen Assessment Project, University of Wisconsin-Extension, n=2246

Relationship Between Grade Point Average (GPA) and Marijuana Use

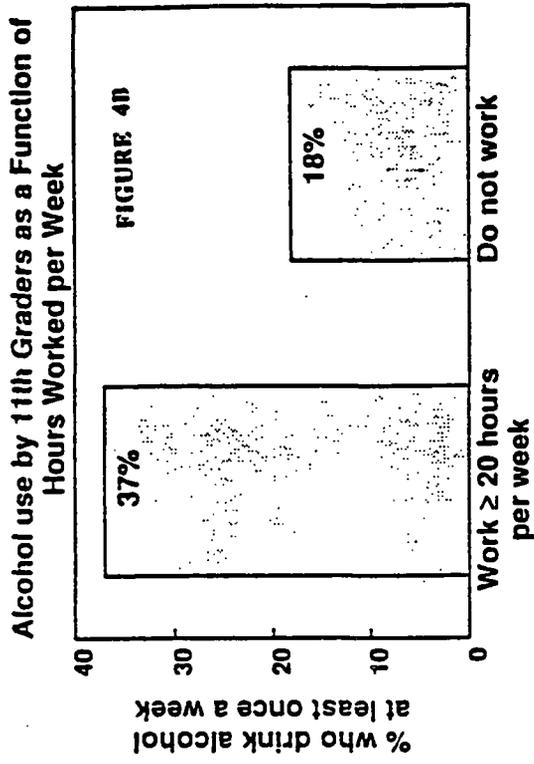
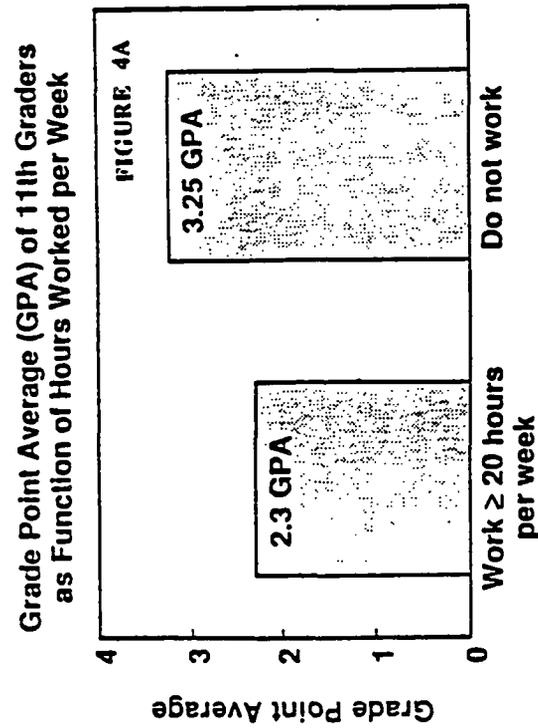
FIGURE 3D



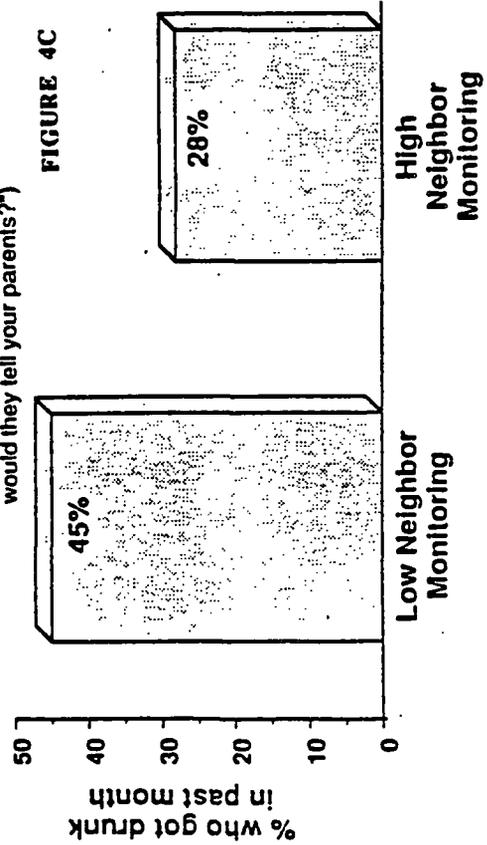
Teen Assessment Project, University of Wisconsin-Extension, n=2246

# The Relation of Risk Factors/Protective Factors to Problem Behaviors: Some Examples

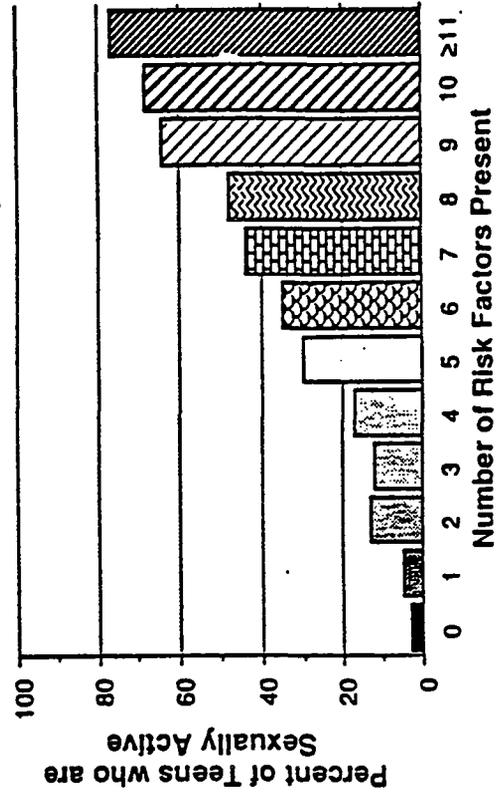
FIGURE 4



Percent of Teens who had 5 or more Drinks in a Row during Past Month as a Function of Neighborhood Monitoring ("If a neighbor were to see you do something wrong, would they tell your parents?")



Cumulative Risk Index Teen Sexual Activity



## REFERENCES

- Barker, R. G., & Gump, P. V. (1964). Big school, small school: High school size and student behavior. Stanford: Stanford University Press.
- Baumrind, D. (1987). Familial antecedents of adolescent drug use: A developmental perspective. National Institute on Drug Abuse Monograph 56 (pp. 13-44). DHHS Pub (ADM)87-1335. Washington: USGPO.
- Bronfenbrenner, U. (1986). A generation in jeopardy: America's hidden family policy. Testimony presented at a hearing of the Senate Committee on Rules and Administration on a Resolution to establish a Select Committee on Families, Youth, and Children.
- Bronfenbrenner, U. (1989). Early childhood education programs: Needs and dangers. Testimony presented at a hearing of the Joint Economic Committee of the House and Senate of the Congress of the United States.
- Bringing children out of the shadows (1988). Carnegie Quarterly, Vol. 23, pp. 1-9. New York: Carnegie Corporation.
- Brooks-Gunn, J., & Furstenberg, F. F. (1989). Adolescent sexual behavior, American Psychologist, 44, 249-257.
- Brown, N. A. (1987). Youth development in the land-grant university. McDowell Lecture, Penn State Department of Agricultural and Extension Education, College of Agriculture.
- Carnegie Council on Adolescent Development Task Force on Education of Young Adolescents (1989). Turning points: Preparing American youth for the 21st century. New York: Carnegie Corporation.
- Center for the Study of Social Policy (1986). Preventing teenage pregnancy: A literature review. Washington, D. C.: The Center for the Study of Social Policy.
- Chandler, M. J. (1973). Egocentrism and antisocial behavior: The assessment and training of social perspective-taking skills. Developmental Psychology, 9, 326-332.
- Committee for Economic Development, Research and Policy (1987). Children in need: Investment strategies for the educationally disadvantaged. New York: Committee for Economic Development.
- Cowen, E. L. (1986). Primary prevention in mental health: Ten years of retrospect and ten years of prospect. In M. Kessler and S. E. Goldston (Eds.), A decade of progress in primary prevention (pp. 3-45). Hanover: University Press of New England.
- Dryfoos, J. G. (1990). Community Schools: New institutional arrangements for preventing high-risk behavior. Family Life Educator, Summer, 4-9.
- Edelman, M. W. (1987). Families in peril: An agenda for social change. Cambridge, Mass.: Harvard University Press.
- Eron, L.D. (1982). Parent-child interaction, television violence, and aggression of children. American Psychologist, 37, 197-211.

- Garnezy, N. (1983). Stressors of childhood. In N. Garnezy & R. Rutter (Eds.), Stress, coping, and development in children (pp. 43-84). New York: McGraw-Hill Book Company.
- Hagedorn J., & Macon, P. (1988). People and folks: Gangs, crime and the underclass in a rustbelt city. Chicago: Lake View Press.
- Hawkins, D. (n.d.). Risk-Focused prevention: Prospects and strategies. Invited lecture at the Coordinating Council on Juvenile Justice and Delinquency Prevention.
- Hawkins, J. D., Lishner, D.M., and Catalano, R.F. (1987a). Childhood predictors and the prevention of adolescent substance abuse. National Institute on Drug Abuse Monograph 56 (pp. 75-126). DHHS Pub (ADM)87-1335. Washington: USGPO.
- Hawkins, J. D., Lishner, D. M., Jenson, J. M., & Catalano, R. F. (1987b). Delinquents and drugs: What the evidence suggests about prevention and treatment programming. National Institute on Drug Abuse, DHHS Publication, No. (ADM) 87-1537.
- Hayes, C. D., (Ed.), (1987). Risking the future: Adolescent sexuality, pregnancy, and childbearing (Vol. 1). Washington, D. C.: National Academy Press.
- Higgins, P. S. (1988a). Teenage pregnancy: An intractable problem? A literature review. St. Paul, Minn.: Amherst H. Wilder Foundation.
- Higgins, P. S. (1988b). The prevention of drug abuse among teenagers: A literature review. St. Paul, Minn.: Amherst M. Wilder Foundation.
- Howard, M. (1988). How to help your teenager postpone sexual involvement. New York: Continuum.
- Howard, M., & McCabe, J. B. (1990). Helping teenagers postpone sexual involvement. Family Planning Perspectives, 22, 21-26.
- Huesman, L. R., Lagerspetz, K., & Eron, L. D. (1984). Intervening variables in the TV violence-aggression relation: Evidence from two countries. Developmental Psychology, 20, 746-775.
- Jenkins, R. (1989). Youth at risk. Washington D.C.: Youth Policy Institute.
- Newcomb, M. D., & Bentler, P. M. (1989). Substance use and abuse among children and teenagers. American Psychologist, 44, 242-248.
- Patterson, G. R., & Stouthamer-Loeber, M. (1984). The correlation of family management practices and delinquency. Child Development, 55, 1299-1307.
- Price, R. H. (1989). Planning, implementing and evaluating prevention programs. Presented at the Wisconsin Prevention Conference, Cable, Wisconsin.
- Price, R. H. (1987). What do successful prevention programs have in common? Testimony given to the House Select Committee, children, Youth and Families, House of Representatives, U.S. Congress.

- Richardson, J. L., Dwyer, K., McGuigan, K., Hansen, W. B., Dent, D., Johnson, C. A., Sussman, S. Y., Brannon, B., and Phil, B. F. (1989). Substance use among eighth grade students who take care of themselves after school. Pediatrics, *84*, 556-566.
- Riley, D. (1990). Grass-roots research on latchkey children leads to local action. Paper presented at the Extension National Invitational Conference on School-Aged Child Care, St. Louis, Missouri.
- Riley, D., & Cochran, M. (1987). Children's relationships with nonparental adults: Sex-specific connections to early school success. Sex Roles, *17*, 637-655.
- Robins, L. N., & Przybeck, T. R. (1987). Age of onset of drug use as a factor in drug and other disorders. National Institute on Drug Abuse Monograph 56 (pp. 178-92). DHHS Pub (ADM)87-1335. Washington: USGPO.
- Rutter, M. (1979). Protective factors in children's responses to stress and disadvantage. In M. W. Kent & J. E. Rolf (Eds.), Primary prevention of psychopathology: Social competence in children. Vol. 3, (pp. 49-74). Hanover, N.H.: University Press of New England.
- Rutter, M. (1983). Stress, coping, and development: Some issues and some questions. In N. Garmezy & M. Rutter (Eds.), Stress, coping, and development in children (pp. 1-41). New York: McGraw Hill Book Company.
- Rutter, M. (1985). Resilience in the face of adversity: Protective factors and resistance to psychiatric disorder. British Journal of Psychiatry, *147*, 598-611.
- Rutter, M. (1987). Psychosocial resilience and protective mechanisms. American Journal of Orthopsychiatry, *57*, pp. 316-331.
- Schorr, L. B. (1988). Within our reach: Breaking the cycle of disadvantage. New York: Anchor Press, Doubleday.
- Segal, J. (1983). Utilization of stress and coping research: Issues of public education and public policy. In N. Garmezy, & M. Rutter (Eds.), Stress, coping, and development in children (pp. 239-252). New York: McGraw-Hill Book Co.
- Simmons, R. G. (1987). Social transition and adolescent development. In C. E. Irwin, (Ed.), Adolescent social behavior and health (pp. 33-61). San Francisco: Jossey-Bass.
- Simmons R. G., Blyth, D. A., Van Cleave, E. F., & Bush D. M. (1979). Entry into early adolescence: The impact of school structure, puberty, and early dating on self-esteem. American Sociological Review, *44*, 948-967.
- Simmons, R. G., Burgeson, R., Carlton-Ford, S., & Blyth, D. A. (1987). The impact of cumulative change in early adolescence. Child Development, *58*, 1220-1234.
- Small, S. A. (1989). Preventive programs that support families with adolescents. New York: Carnegie Corporation.
- Small, S. (1990). Personal Conversation.
- Steinberg, L. (1986). Latchkey children and susceptibility to peer pressures: An ecological analysis. Developmental Psychology, *22*, 433-439.

Steinberg, L. (1989). Communities of families and education. In W. Weston (Ed.), *Education and the American family: A research synthesis*. New York: New York University Press.

Steinberg, L. (In Press). Adolescent transitions and substance abuse prevention. Monograph commissioned and distributed by the U.S. Office of Substance Abuse Prevention, Washington, D.C.

Steinberg, L. & Levine, A. (1990). You and Your Adolescent: A Parent's Guide for Ages 10-20. New York: Harper & Row Publishers.

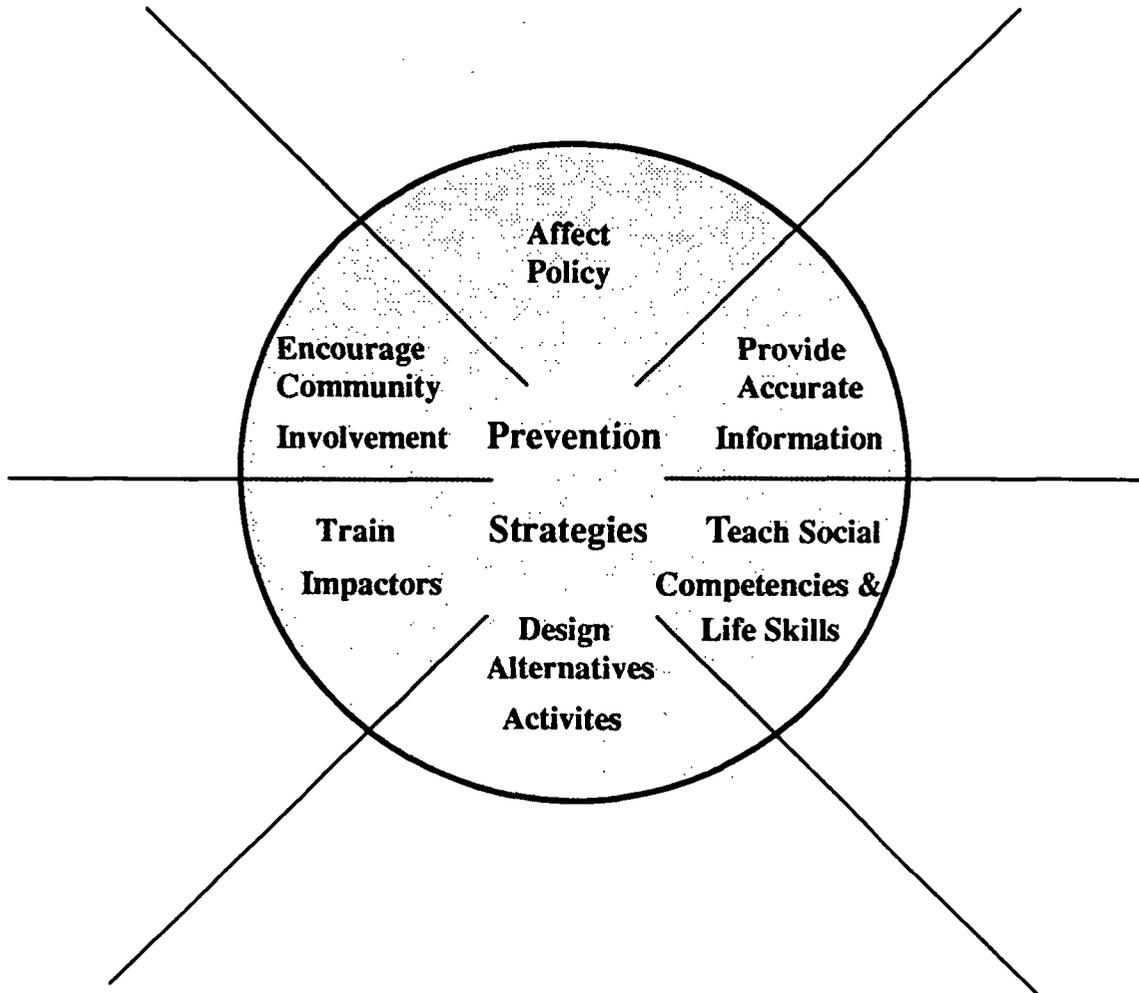
Swift, M. S., & Healey, K. N. (1986). Translating research into practice. In M. Kessler and S. E. Goldston (Eds.), A decade of progress in primary prevention (pp. 205-234). Hanover: University Press of New England.

Werner, E. E. (1990). Protective factors and individual resilience. In S. J. Meisels & J. P. Shonkoff (Eds.), Handbook of early childhood intervention (pp. 97-116). Cambridge, England: Cambridge University Press.

Werner, E. E., & Smith, R. S. (1982). Vulnerable but invincible: A longitudinal study of resilient children and youth. New York: McGraw-Hill Book Company.

# PREVENTION MODEL WORKSHEET

*In the spaces outside the core circle, list programs, events, or activities in your community that are used to create a positive environment for youth.*

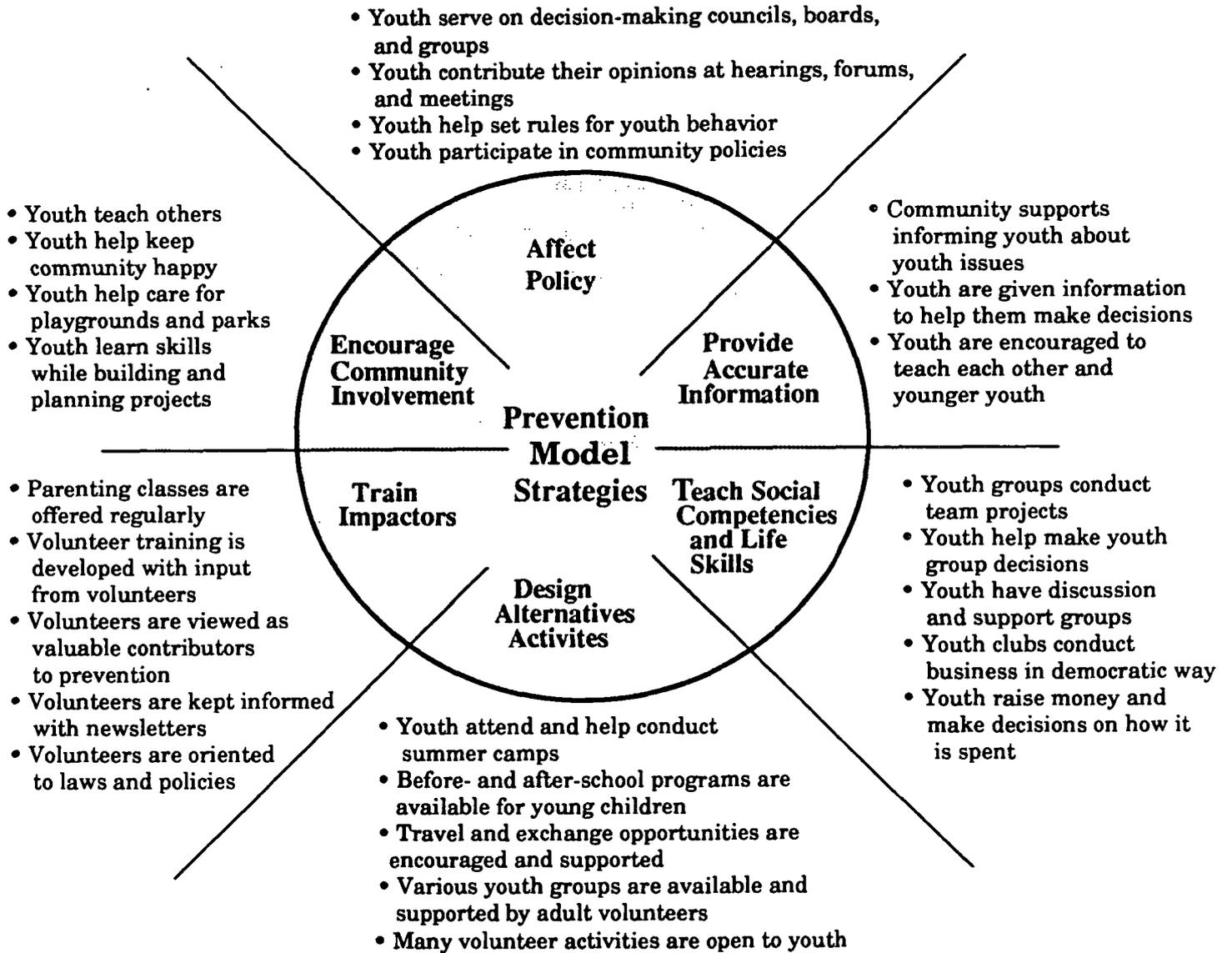


## **The Model**

The six strategies at the core of this prevention model provide a holistic, community approach to primary prevention. A program's events/activities are part of the total community effort that builds a positive environment for young people to grow, contribute, and develop.

Research indicates the more strategies that are applied simultaneously in a given community, the greater the prevention impact. All strategies are applied or come into play to some extent at any given time in all communities. It is important, however, to assess a community often and make sure that all these strategies are actively and creatively used both by adults and youth to ensure the community is ready to strengthen positive options for youth to contribute and grow in productive ways.

# PREVENTION BLUEPRINT: A CONCEPTUAL FRAMEWORK



## The Model

The six strategies at the core of this prevention model provide a holistic, community approach to primary prevention. A program's events/activities are part of the total community effort that builds a positive environment for young people to grow, contribute, and develop.

Research indicates the more strategies that are applied simultaneously in a given community, the greater the prevention impact. All strategies are applied or come into play to some extent at any given time in all communities. It is important, however, to assess a community often and make sure that all these strategies are actively and creatively used both by adults and youth to ensure the community is ready to strengthen positive options for youth to contribute and grow in productive ways.

# Community Systemwide Response

---

---

The name of this project is Community Systemwide Response.

Do not use CSR on first reference in news releases, columns or other written material, even if you think the group you are writing for knows what CSR stands for. Parenthesize CSR following your first mention of Community Systemwide Response (CSR), noting that you will abbreviate further reference with just CSR. If you make any assumptions at all, assume your audience does NOT understand who you are and what you do.

When using a county name with Community Systemwide Response, avoid using prepositions such as “in” or “of” between “Community Systemwide Response” and the county name.

Correct: Community Systemwide Response, Clark County

When referring to the project in text, however, both “in” and “of” are appropriate. Use of any other prepositions should be avoided.

Correct: Community Systemwide Response of Clark County has been effective in mobilizing community leaders.

Community Systemwide Response in Clark County has been effective in mobilizing community leaders.

## MISSION STATEMENT

Formal mission statements are the basis of a good marketing plan. The mission statement should be publicized in every appropriate manner.

The mission of Community Systemwide Response is: To develop a community-wide response to youth at risk, alcohol and other drug abuse, and youthful impaired driving.

## THE SLOGAN

The key to an effective image is simplicity. To help communities become aware of and understand their responsibility, the project uses the slogan:

*“It Takes A Whole Village To Raise A Child”*



**TO RAISE A CHILD**

## The Logo

The Community Systemwide Response logo was designed to represent the many-faceted efforts of communities who are working at being involved in the growth and development of their young people.

The logo should be used on all printed materials and signs.

The logo should always be used in its entirety. Never use the symbol without the type or change its size relation to the type.

Size and placement of the logo are very important. When being used along with the national CSR type, this logo should be used, if at all possible, in a smaller size. Be careful, however, not to reduce the size too much. The top line of type (It Takes A Whole Village) is the smallest in the unit and if it cannot be read from the viewing distance intended, it is too small.

Example: On a poster the logo may be very readable at 8 to 12 inches, but it is intended to be recognized from several feet away-in this instance, it is too small.

There are too many potential usages to include guidelines for all possibilities, but a good rule of thumb is to make sure that the logo is not crowded by or lost within the other elements of the publication. It is best to use it as the focal element of the piece and work the type or other material in around it.

Color application is very critical in building recognition of the logo. In circumstances where color is within your control, burgundy ink (PMS 194 Burgundy) on grey paper is highly recommended. This is the color scheme that has been adopted in Indiana. In situations where there are extenuating circumstances, avoid, if at all possible, bright or fluorescent colored paper or inks. The CSR project is a long-term commitment and should not be presented as looking like a fad.

The type in the symbol should be the same color as the symbol. If you desire to make it a two-color logo, the type can be made burgundy and the symbol grey.

## **COLORS**

Burgundy and grey are the colors adopted in Indiana for the Community Systemwide Response project.

## **LETTERS/INVITATIONS**

It is important that the judge invite key individuals to participate in this project. Requests to serve on a steering committee or invitations to participate in the community meetings should be issued on his/her letterhead with his/her signature. Purdue Extension marketing tools are appropriately used in the community meetings--see the meeting checklist.

## **AVAILABLE MARKETING TOOLS**

- Overheads
- Tri-fold exhibit
- Promotional brochure
- Stickers
- Clip art
- Sample news releases
- Sample letters

## **MEETING CHECKLIST**

- CES table cloth (check-in or head table)
- CES name tags and/or tent signs (for names in front of people at tables)
- CES Podium Signs
- Sign-in sheet(s) for attendance
- Audio Visuals
- Slide projector and prepared or empty carousel
- Extension cord and adaptor
- Overhead projector
- VCR and monitor
- Audio tape deck
- Projector screen
- Signs to direct people to meeting room
- Coffee Cups, napkins, cream/sugar, stirrers, etc.
- Other beverages
- Pencils and/or pens
- CES folders (this is the one item that individuals will keep after the meetings are over and is therefore the best item to use the stickers on)
- Copies of pertinent information and handouts
- Business cards
- Your CES name badge

Try to avoid placing speakers in front of windows or under the clock

Try to arrange the most comfortable and relaxed setting to allow discussion

## PRESS RELEASES

If we want people to notice and support Community Systemwide Response, we need to make and maintain contacts with legislators, business leaders, and the media. We need to talk loudly about our successes, make ourselves available as sources of information, and involve people in the project.

And, like it or not, many of us must write press releases. It's true that some Indianapolis area media outlets receive hundreds of press releases a day. It's also true that you can increase the odds of having your release noticed if you understand what the media looks for in press releases.

Simply put, the media want to hear about topics that can be developed into stories. Stories that make up that vague, elusive anomaly called "news." What the media view as news is not always the same as what we see as news. If you want your press releases to result in a newspaper story or air time on the local newscast, you must learn to understand how journalists define news.

News can be defined by:

- **Timeliness.** That is, it is relevant to people's current concerns or real-life situations.
- **Proximity.** Something in your town or neighborhood is more newsworthy than something out of state or out of the country.
- **Conflict.** The heart of any dramatic story is a conflict. And real-life dramas make good news stories.
- **Unusualness.** The old journalistic cliché is "Dog bites man is not news, but man bites dog is news." This is still true.
- **Human interest.** Something with emotional impact; something that all of us, because of our common human experiences, can relate to.
- **Importance.** The more people affected by the news event, the more important it becomes.

Think of examples in your county or field of expertise that fit each of these definitions of "news." If an example fits more than one category, it is all the more newsworthy.

When writing a press release, stress the most important news angle in your lead paragraph. When a press release fails to generate any media attention, it is often because the writer did not stress the newsworthy points.

## Writing effective press releases:

Understand the deadlines of the different media and keep those in mind in deciding when to mail a release. A monthly magazine, for example, needs to receive a release much earlier than a radio station. Don't expect a release to be published in a newspaper if it arrives on the editor's desk the day before an event.

Always include the telephone number and your name or somebody else the reporter can call for additional information. If reporters do call, make sure you return their calls in a timely manner.

Even if a publication or broadcast station rarely or never runs your releases, keep them on your mailing list. Names and faces change on a regular basis in the world of broadcast and print news. The new editor might give you a chance.

Keep releases short, while still giving enough information so that the reader has a basic understanding of the issue.

Don't be afraid to follow up on releases; call your local media outlets and ask if they received your release. If they say "yes," ask if there are any points you can clarify or elaborate on (this is a little more subtle than saying, "Well, are you going to run it?").

## IDEAS FOR PUBLICITY

- News releases
- Suggest story ideas to the local media
- Suggest editorials
- Guest columns for editorial pages
- Letters to the editor
- TV ideas
- Story tip sheets (One paragraph lists of story ideas, with phone numbers and names for contacts)
- Cover letters
- Background releases
- Use fax, especially for TV. Always call first. Call to follow up if it's important. Don't count on them to read their mail. Save a reason to call. Never call to ask if they "got the news release."
- Work with free-lance writers and photographers
- Underwrite a free-lance writer or photographer
- Radio and television talk shows
- Public service announcements for radio and television
- Live interviews with you source on local radio
- Media visits by key people
- News conference/media availability

## NEWS CONFERENCE CHECKLIST

- Reserve room. Make certain the area is large enough to accommodate at least 40 people, including three television crews. The area must contain electrical outlets.
- Best times for news conferences are at 10 am or 2 pm.
- Supply the room with table, chairs and lectern.
- When needed, arrange to have microphone and loudspeaker.
- The room should also contain ashtrays, water and glasses for speaker, pencils, paper, and typewriters.
- Make certain telephones are nearby and available to the media.
- Arrange for refreshments such as coffee, soft drinks and rolls.
- Arrange for parking. Also, in some cases, arrange for police or security officers to help direct traffic.
- Alert media. Time permitting, invite the media people by personal letter first. The day before the conference, make personal phone calls reminding key media people about the program.
- Invite public officials and VIPs who have an interest in the conference.
- Brief participants about format and possible questions.
- Make up press kit, which may include:
  - news release
  - biographical data on speakers
  - photos
  - brochures
  - copies of speeches
  - fact sheets and other pertinent information
- Look for visuals for television
- Assign photographer for picture.
- Post signs directing media to conference site.
- If needed, notify telephone receptionists and other appropriate people.
- Arrange to have someone register or meet press members, and issue them press labels and press kits
- Take notes on the news conference in case reporters call later about the content
- Arrange for someone to ask the first question to get things going
- Distribute news releases, speeches, etc., to selected media outlets who did not send representatives to the conference.
- When appropriate, send a thank you note to the press.



TO RAISE A CHILD



TO RAISE A CHILD



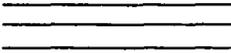
TO RAISE A CHILD

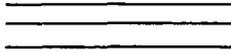


TO RAISE A CHILD



TO RAISE A CHILD

Community Systemwide Response  

Community Systemwide Response  



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD





TO RAISE A CHILD



TO RAISE A CHILD



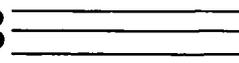
TO RAISE A CHILD

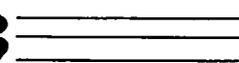


TO RAISE A CHILD



TO RAISE A CHILD

Community  
Systemwide  
Response  

Community  
Systemwide  
Response  



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



TO RAISE A CHILD



"IT TAKES A WHOLE VILLAGE TO RAISE A CHILD"

Partners in Action for Youth are having three, two-hour meetings that will address the issues of juvenile substance abuse and other problems confronting our young people in Morgan County.

Your input as a concerned citizen is vital in developing solutions to these problems. Anyone who is interested in participating in these meetings is welcome to attend.

The first meeting will be held on Monday, May 11, 1992. This meeting's focus will be to inform the participants and the community about the problems of youth in our county. Small group discussion will be utilized to get participant input.

The second meeting will be on Monday, May 18, 1992. At that time, we will share additional information, prioritize the problems, and divide into focus groups.

The third meeting will be on Monday, June 1, 1992. At the last meeting, focus groups will discuss the problem, what changes are needed, and ideas or strategies for changes.

All three meetings will be held at the Cater Haus, 189 W. Indiana, Martinsville and will begin at 7:00 P.M.

Last fall Morgan County was selected as one of twenty-five counties in the nation to attend a seminar at the National 4-H Center in Washington D.C. This seminar demonstrated a process, using key people in a community, to work on a particular issue cooperatively. Judge James E. Harris, judge of Morgan Circuit Court, and I attended the training representing Morgan County.

Others who attended were Juvenile Judges and Extension Agents from Clark, Jackson, Monroe, and Washington counties. We feel very fortunate to have been chosen for this project and feel that Morgan County will benefit by using this process to tackle important issues.

We wanted to know the scope of teen-age problems in Morgan County, and an effort was initiated to develop a survey on alcohol & drug use, sexual activity (including abuse), gangs, and pornography.

Our schools cooperated in the completion of the survey by all high school seniors and freshmen in the Eminence, Martinsville, Monrovia, and Mooresville school systems. Data from the survey will be shared at the first meeting.

There is an African adage which states: "It takes a whole village to raise a child." It is just as true for us at this time in our county.

I encourage you to take the challenge and become involved in the serious issues which impact upon the health, welfare, and future of our youth, and our community.

I hope you can attend all three of these important meetings. You may also bring others with you who may be interested. Please call Purdue Extension-Morgan County, at 342-1010, to let us know if you will be able to attend.

Contact: Maryann Dickason, Purdue Extension-Morgan County, 342-1010

## A PIECE OF P.I.E.

(This series of articles is one of the public information services of the Putnam County P.I.E. Coalition--a community-wide organization dedicated to Prevention, Intervention and Education in the area of substance abuse and dependency.)

### IT TAKES A WHOLE VILLAGE TO RAISE A CHILD

This is the theme of the Community Systemwide Response initiative of the National 4-H Center for Action. Lawrence County, Indiana, is just one of the many communities adopting this initiative.

Our children--over 7 million young Americans in fact--suffer from alcoholic parents; unknown numbers who are children of illegal drug use and abuse experience stress, heartache and abuse as well. This is the environment that puts children at great risk of alcohol and other drug problems themselves, of acting out their pain and anger in antisocial ways, and of carrying on the vicious "cycle of abuse".

Added to this is the disturbing number of babies born of chemically dependent mothers whose health, mental and physical, is marked even before they are born.

While communities are involved as never before in preventive efforts, many are still in peril and few are doing enough (or as much as they could). The Community Systemwide Response (CSR) National 4-H Center for Action is a partnership of the National Council of Juvenile and Family Court Judges (NCJFCJ) and the Cooperative Extension Service (CES). The site of the Center is Purdue University.

The National Highway Traffic Safety Commission and the office of Juvenile Justice and Delinquency Prevention are providing seed money which is funneled through the National 4-H Council.

What can the Center for Action do to help? It will provide training and technical assistance to teams of juvenile court judges and extension agents who can lead their communities through a series of meetings to examine the risk factors of their youth and families, with special emphasis given to substance abuse and impaired driving. Out of the meetings will come the implementation of action plans to reduce specific risk factors and to develop and strengthen protective barriers for children, youth, and families. Technical assistance will be provided every step of the way.

With the family at the core, Community Systemwide Response focuses on the essential link with and interrelationship between the family and churches, schools, business, government, law enforcement, and the community as we strive to raise healthy children who will become productive members of our society.

For more information contact Darrel Thomas, 4-H, Courthouse, Greencastle.





FORTY-SECOND JUDICIAL CIRCUIT OF INDIANA  
WASHINGTON COUNTY COURTHOUSE  
SALEM, INDIANA 47167  
TELEPHONE (812) 883-5302

ROBERT L. BENNETT  
CIRCUIT JUDGE

February 11, 1992

Dear

I would like to invite you to attend two 1 1/2 hour meetings that will address the issue of juvenile substance abuse in Washington County. As a leader in the community who is concerned about our youth, you have been named a key person to include in the discussion of this issue. Your input as a concerned citizen is vital in developing solutions to this problem.

Last fall Washington County was selected as one of twenty-five counties in the nation to attend a seminar at the National 4-H Center in Washington D.C. This seminar trained the participants in skills to pull key people in a community together to work on particular issues cooperatively. This Community System-wide Response (CSR) project is a national "pilot project." It is sponsored by the U.S. Department of Justice, U.S. Department of Traffic Safety, and the U.S. Department of Agriculture with the Cooperative Extension Service (4-H) acting as the umbrella agency. Pam Robbins, who is with the Purdue University Cooperative Extension Service, and I attended the training representing Washington County. Others who attend were Juvenile Judges and Extension Agents from Morgan, Monroe, Jackson, and Clark Counties. We feel very fortunate to have been chosen for this project and feel that Washington County will benefit by using this process to tackle important issues.

Coordinating this procedure with us is Becky Roach, who has been jointly employed by the three Washington County School Systems and WCASA (Washington County Against Substance Abuse). One of her jobs as the county's Drug Abuse Program Coordinator is to work with the community in assessing the needs of the County. With both the CSR project and the Program Coordinator in place, the time is right for the community to address this serious issue.

The first meeting will be on Monday, February 24, 1992. This meeting's focus is on informing all participants about the extent of the problem in Washington County. Speakers will inform the audience of important information on teen substance abuse in our community. We will leave you with some thought provoking questions to consider for the second meeting that will be held on Monday, March 9, 1992. It will focus on what are the specific problems and how we as a community can respond to them. Both meetings will be held at the First Christian Church (Fellowship Hall) in Salem and will begin at 7:00 P.M.

I hope you can attend both of these important meetings. You may also bring others with you who may be interested. However if you cannot, feel free to send a substitute or contact Becky Roach at 883-8355. I encourage you to take the challenge and become involved in this serious issue that affects the health, welfare, and future of our youth, and therefore our community.

Sincerely,

Robert L. Bennett, Judge

RLB:lb



# Morgan Circuit Court

Morgan County Courthouse  
Martinsville, Indiana 46151  
(317) 342-1020  
FAX (317) 342-1090

November 10, 1992

**JAMES E. HARRIS**  
Judge

**BEVERLY FARR**  
Court Reporter

**KAREN LOWER**  
Bailiff

**DEBORAH FRAKER**  
Court Administrator

Dear Partner in Action for Youth Participant:

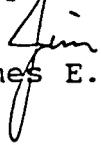
Last spring several meetings were held relating to juvenile justice within our county with the result being that various focus groups were formed to address specific problems of the young people in our communities. Several of those focus groups have been meeting. On Monday, November 16, 1992 all focus groups will be meeting at Sexton Hall (which is part of St. Martin's Catholic Church) located at 1709 East Harrison Street in Martinsville. The meeting will begin at 7:00 p.m. and conclude at 9:00 p.m.

It is our hope that all participants be a part of a focus group, and we are writing to again give you that opportunity. The focus groups which have been meeting are as follows:

- (1) Law enforcement
- (2) Alcohol and other drugs
- (3) Sexual activity
- (4) Physical and sexual abuse
- (5) Youth education
- (6) Schools
- (7) Youth activities
- (8) Families

It is never too late to become part of one of the focus groups. Please plan to attend next Monday to participate in this very important activity. If you have any questions, please call Maryann Dickason at 342-1010.

Respectfully,

  
James E. Harris

JEH/k

*Jackson Circuit Court  
Fortieth Judicial Circuit  
Brownstown, Indiana 47220*

*Robert R. Brown, Judge*

*Telephone  
(812) 358-6123*

November 15, 1991

The purpose of this letter is to invite you to attend a very important meeting on behalf of Jackson County youth to be held Tuesday, November 26th at 7:30 p.m. in the Courtroom at the Courthouse in Brownstown.

As Judge of the Jackson County Juvenile Court, along with Pam Hess, Jackson County Extension Agent (Youth), we have just returned from Washington, D.C., where we learned about a very worthwhile project to assist our county in the area of teen-age substance abuse.

Our county, along with four other southern Indiana counties, and similar groups from Florida, Montana, Michigan and Arizona, were selected as a national "pilot project" in a joint effort between the U.S. Department of Justice, U.S. Department of Traffic Safety and the U.S. Department of Agriculture, with the 4-H as a lead agency. We are fortunate to be included in this program and I have assured them of my complete and full support.

I am asking you, as a leader of our community, to attend this meeting and start to learn about how we can help our kids. You may also bring others with you who may be interested or, if you cannot attend, feel free to send a substitute.

Thank you!

Very truly yours,

Robert R. Brown, Judge  
Jackson Circuit Court

RRB/pch



# Morgan Circuit Court

Morgan County Courthouse  
Martinsville, Indiana 46151  
(317) 342-1020

May 4, 1992

JAMES E. HARRIS  
Judge

BEVERLY FARR  
Court Reporter

KAREN LOWER  
Bailiff

DEBORAH FRAKER  
Court Administrator

DEAR COMMUNITY LEADER AND OTHERS CONCERNED WITH THE  
PROBLEMS OF OUR YOUTH,

I am writing to invite you to attend three, two-hour public meetings that will address the issues of juvenile substance abuse and other problems confronting our young people in Morgan County. As a community leader and/or as one who is concerned about our youth, you have been named as a key person to include in the discussion of this issue. Your input as a concerned citizen is vital in developing solutions to this problem.

Last fall Morgan County was one of twenty-five counties in the nation selected to attend a seminar at the National 4-H Center in Washington, D.C. This seminar demonstrated a process, using key people in a community, to work on a particular issue cooperatively. Maryann Dickason, who is with the Purdue University Cooperative Extension Service, and I attended the training representing Morgan County. Others from Indiana who attended were Juvenile Judges and Extension Agents from Clark, Jackson, Monroe, and Washington counties. We feel very fortunate to have been chosen for this project and feel that Morgan County will benefit by using this process to address important issues.

After returning from Washington, Maryann and I recruited a steering committee consisting of Randy Haymaker, Stan Mattila, Richard Puryear, Linda Ress, Greg Silver, Jennifer Staab, Cecila Trueblood, Denis Ward, Don Winter and myself. This committee wanted to know the scope of teenage problems in Morgan County, and an effort was initiated to develop a survey on alcohol and drug use, sexual activity (including abuse), gangs, and pornography. Our schools cooperated in the completion of the survey by all high school seniors and freshmen in the Eminence, Martinsville, Monrovia, and Mooresville school systems. It was then decided that a series of public meetings in the county should be held to address these problems on a county-wide basis.

The first meeting will be held on Monday May 11, 1992. This meeting's focus will be to inform the participants and the community about the problems of youth in our county. Data from the survey will be shared, and small group discussions will be utilized to get participant input. The second meeting will be on Monday, May 18, 1992. At that time, we will share additional information, prioritize the problems, and divide into focus groups. The third meeting will be on Monday, June 1, 1992. At the last meeting, focus groups will discuss the problem, what changes are needed, and ideas or strategies for changes. All three meetings will be held at the Cater Haus, 189 W. Indiana Street in Martinsville and will begin at 7:00 p.m. and conclude by 9:00 p.m. Cookies, coffee, and iced tea will be available.

There is an African adage which states: "It takes an entire village to raise a child." It is just as true for us at this time in our county. I hope you can attend all three of these important meetings. Please bring others with you who may be interested. Take the challenge and become involved in the serious issues which impact upon the health, welfare, and future of our youth and our community.

I would appreciate it if you would call Maryann Dickason at 342-1010 to let her know if you will be able to attend. That will give us some indication as to the number we should plan for. Even if you decide to attend at the last minute, please feel free to do so. Thanking you for your consideration to this important matter.

Sincerely,

James E. Harris, Judge  
Morgan Circuit Court

RECEIVED MAY 28 1992

# Morgan Circuit Court

Morgan County Courthouse  
Martinsville, Indiana 46151  
(317) 342-1020



May 27, 1992

JAMES E. HARRIS  
Judge

BEVERLY FARR  
Court Reporter

KAREN LOWER  
Bailliff

DEBORAH FRAKER  
Court Administrator

Dear Participants:

I would like to thank you for participating in the Partners in Action for Youth community meetings.

Our third meeting is Monday, June 1, 1992 at 7:00 p.m. at the Cater Haus. At this meeting, focus groups will discuss the problems, what changes are needed, and ideas or strategies for changes.

You are welcome to participate in any of the following focus groups: Family, Alcohol & Drugs, Youth Education, Schools, Abuse, Law Enforcement, Youth Activities, Sexual Activities. If focus groups are large, they may subdivide into areas of more specific interest.

"It takes an entire village to raise a child"  
African Adage

Your input as a concerned citizen is vital in developing solutions to the problems.

If you cannot come to this meeting, but would still like to participate in a focus group, call Maryann Dickason (342-1010) and she will add your name to the appropriate list.

Very truly,

*James E. Harris*

James E. Harris

JEH/k

## Resource Development for CSR

By Bryan Metzger  
Extension Agent, 4-H and Youth, CED

### FUND RAISING IS...

- ...a contact sport.
- ...an intimate, passionate business.
- ...not a science.
- ...a process.

- Joan L. Mason, CFRE

As you begin your local CSR programs, you will generate expenses from the very beginning. Let's face it, nothing is free. Okay, so the Extension Service Office can cover photocopies, and the judge can cover postage to invite people to the planning committee meetings. But, budgets are tight, and sooner or later your program will advance to the point where you and your committees will need to start looking for sources of support beyond your existing operating budgets.

Donors give to people and programs, not organizations. In order to be successful in fund raising you need a clearly defined, and up-to-date, mission statement, and goals and objectives.

Mission statements answer the question "Why?" (Why were you formed?)

Goals answer the question "What?" (What will you do to serve the mission?)

Objectives answer the question "How?" (How will you meet the goals?)

There are several places where funding might be found. Corporate and foundation grants may be where you'll find some major gifts for CSR, but first consider these:

- Judges' discretionary funds.
- Prosecutor's discretionary funds.
- County "Drug Free..." funds, through the local drug council.
- Leftover political campaign funds - contact your Congressman, or other politicians.
- Local businesses who could financially benefit from lower AOD (Alcohol and Other Drugs) abuse in the community.
- Local and community foundations who support AOD abuse reduction programs.
- Your constituency - advisory boards, staff, volunteers, clientele, you.
- Vendors with which you do business. (They benefit from your programs!)
- Individuals who support your cause.
- And finally, corporations and foundations who have grant making operations that support your program's topic or focus.

Prospecting for donors is a 52 week per year operation. It is constant, and never ending. You should look everywhere for resources, be it volunteer time, in-kind donations of materials or service, dedicated funds that are given for a specific purpose, or the most sought after kind, unrestricted cash donations.

As you review "The Fund Raising Cycle" on one of the following pages, you may come to understand how involved, yet how simple this type of resource development can be, especially when using the correct tools and procedures.

Preparation is the key to successful fund raising. Defining the situation and the need, and defining goals and objectives are the first step. Planning for the fund raising comes much later. On "The Fund Raising Cycle" clock, you don't even ASK for money until 11 o'clock!

When working for major gifts and grants, remember:

### The 4 R's

- **Research** -- Find out all that you can about potential donors, through personal contacts, annual financial reports, tax records, etc.
- **Romance** -- Develop relationships within the donor organization. Talk with people who know people who know people... You know the drill. Work your way up to the person who can get your proposal funded.
- **Request** -- Find out the preferred procedure from each donor that you are approaching for funding. Some might have a detailed form or format, while others may want a simple one or two page letter describing the need and your plan of action. Whatever the case, if you don't ask, and ask in the preferred manner, you probably won't get funded.
- **Recognition** -- In every case, thank you letters should be sent immediately, after a gift or grant is received. Twenty four to forty eight hour turn around on thank you letters is a maximum. Other recognition will depend upon the amount of the donation, the length of the funding commitment, the preference of the donor, and many other factors. Tailor the recognition to the gift and the giver.

When working on your list of potential donors, always ask, "L.A.I.?" or, "Does the potential donor have a (1) LINKAGE to the cause, program, or organization, or the (2) ABILITY to donate or invest in your program, or (3) an INTEREST in the topic or subject of your program.

Ability and interest will require research on each individual donor, but you can develop a list of potential donors with some linkage to your program, with this simple exercise. Use a small group for this exercise, rather than just yourself.

### Looking for Donor Linkages

1. Select a topic for fund raising.
2. Ask "Who could financially benefit from (topic)?"  
List many industries or types of businesses or individuals.  
If they have a financial interest in your topic, they are potential donors.
3. Select one of the types of industries listed in #2.
4. Repeat #2, but narrow the focus. Name specific businesses or individuals.
5. Select five or more names from your list in #4.
6. Ask "L.A.I.?" about each one selected.
7. Include this short list in your fund raising efforts.
8. Repeat as necessary.

Each local CSR group will have a variety of needs, opportunities, successes, and failures in their resource development efforts. While county programs are being formed, and as the state and national programs gain more recognition and acceptance, funding challenges will be a part of CSR, just as they are a part of any new program.

Challenges can be turned into opportunities. The initial CSR successes that many counties have seen, while operating on very limited budgets, has generated untold positive media coverage. This type of public relations marketing is invaluable when competing for funding dollars. Including well respected, publicly known spokespeople, as well as people who have benefited from CSR, in your operation might mean a major boost in your budget in the long term.

Never fear, the money to run your program is available. Philanthropy, the giving of money and other resources, grows each year in America, in spite of, or because of, the economy. Finding the right fit will take effort, and the development of a viable, well planned approach to potential funders.

\* \* \*

The remainder of this section contains, for your reference, several items from The Fund Raising School, at the Indiana University Center on Philanthropy in Indianapolis.

Included are:

- The Fund Raising Cycle
- Management Strategies
- Factors Required for Successful Fund Raising
- The Development Process
- Sources of Corporate Support
- A sample letter of inquiry to a corporation
- Suggestions for an Inquiry Letter to a Foundation
- Suggested Grant Components
- Common Reasons Why Proposals Are Declined
- A Brief Guide for Proposal Preparation
- A Proposal Checklist

\* \* \*

For consultation on CSR Resource Development, you may contact:

Bryan Metzger  
Extension Agent, 4-H & Youth, CED  
1410 I Street, Courthouse Annex  
Bedford, Indiana 47421-3337  
(812) 275-4623  
FAX (812) 275-4131  
Internet: [Bryan\\_Metzger@acn.purdue.edu](mailto:Bryan_Metzger@acn.purdue.edu)

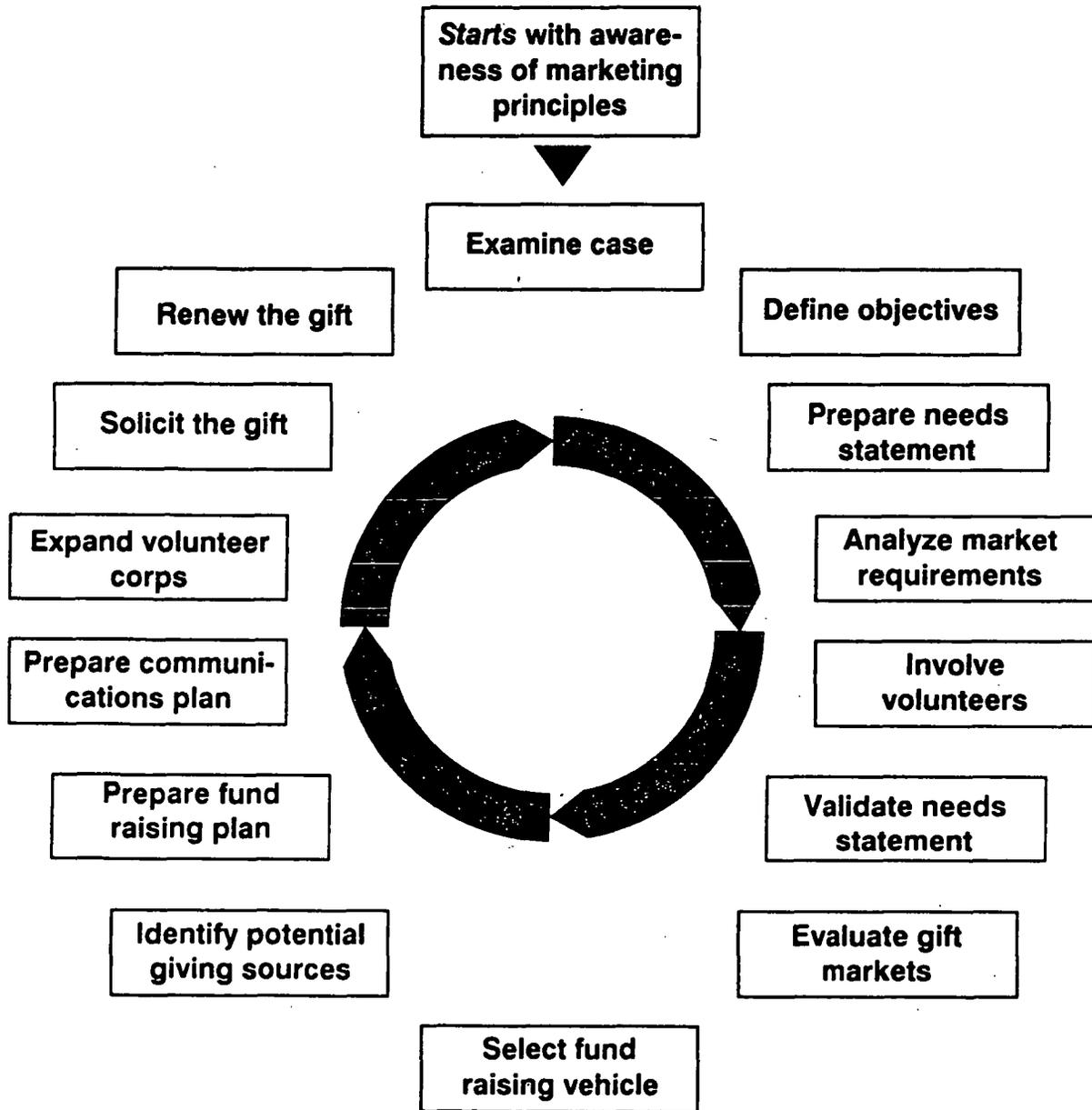
# **MANAGEMENT STRATEGIES**

- 1. Analysis**
- 2. Planning**
- 3. Execution**
- 4. Control**
- 5. Evaluation**
- 6. Professional stance**

# **FACTORS REQUIRED FOR SUCCESSFUL FUND RAISING**

- 1. Case statement**
- 2. Constituency**
- 3. Committed leadership**
- 4. Budget**
- 5. Recordkeeping system**
- 6. Communications program**
- 7. Fund raising plan of action**

# THE FUND RAISING CYCLE



## THE DEVELOPMENT PROCESS

### OBJECTIVE

### METHODS/ACTIVITIES

Identify possible prospects

Develop and build lists, identify and research constituency

Convert possible prospects into prospects

Test list effectiveness, identify linkages, refine prospect development

Convert prospects into donors

Build on linkages, test interest, solicit (by phone, mail, or special event), acknowledge

Convert initial giver into donor

Build on interests and linkages, ask, record, acknowledge, report use of gift, invite to renew

Increase gift

Research, build on interests and linkages, inform, involve, invite to renew and increase gift, acknowledge, give recognition

Secure special gift  
\$1000+ (amount may vary)

Continue research, involve through linkages and build on interest, tell about special needs, inform on how money is used, solicit personally, acknowledge, give recognition

Secure major gift  
\$10,000+ (amount may vary)

Use all linkages, validate as major prospect, add to interests, involve in institutional planning and as advocate through cultivation, ask, acknowledge, provide personal reports, reward

**OBJECTIVE**

**METHODS/ACTIVITIES**

Secure big gift  
\$100,000+ (amount may vary)

Use all linkages, add to interests, involve in institutional planning and as advocate through cultivation, ask, acknowledge, provide personal reports, reward

Secure planned gift

Continue involvement, strengthen linkage and involvement, create feeling of belonging to and identification with institution, foster mutuality of interests

# **SOURCES OF CORPORATE SUPPORT**

## **Corporate foundations**

- gifts from endowment funds; a vehicle for pass-through of corporate profits

## **Corporate matching gifts**

- matching an employee's gift to his/her chosen charity

## **Advertising and marketing budgets**

- corporate sponsorships that require a quid-pro-quo in services from the nonprofit to the corporate sponsors, beyond what may be normally provided as donor recognition

## **Corporate tax support**

- public education and government grants

## **Partnerships between corporations and schools**

- donations to specific schools, support of pertinent research

## **Focus on volunteerism**

- encouraging employees to volunteer their services to nonprofits

## **Donation of equipment and professional services**

- computers, loaned executives

## **Outright gift**

- donation made from corporate pretax income



## SAMPLE LETTER OF INQUIRY TO A CORPORATION

December 1, 19xx

Jane T. Connors  
Director of Corporate Giving  
ABC Corporation  
20 Valley View Drive  
Dive CA 9xxxx

Dear Ms. Connors:

ABC Corporation has demonstrated an interest in the problems of teen alcohol and drug use in our community. New Hope Treatment Center is launching a new program of outreach into the public and private schools in the Dive area, and we hope ABC Corporation will consider a proposal for a \$5000 grant to this program.

(Briefly describe your case: establish credibility for your organization, mention any links your organization has to the corporation, assert the value of the new program, describe the features and benefits of the new program and give its total cost, mention other corporate supporters who have already given, describe what ABC Corporation will get for its support -- what's in it for them.)

We would be happy to send you a full proposal, which includes a detailed budget and timelines for implementation. I will call you in a few days to make sure you received this letter and to answer any questions you might have at that time.

Thank you very much for your consideration.

Yours truly,

Michael R. Jones, President  
Board of Directors

# **SUGGESTIONS FOR AN INQUIRY LETTER TO A FOUNDATION**

- 1. Keep it to one page**
- 2. Give a brief description of the program**
- 3. Indicate why you are applying to this foundation**
- 4. Briefly describe the rationale and purpose for the program**
- 5. Request proposal guidelines and an annual report**
- 6. State that you will follow up with a phone call**
- 7. Avoid making reference to cost or budget; stick to the reason for your inquiry -- your project**



# **SUGGESTED GRANT COMPONENTS**

- 1. Summary of the proposal**
- 2. Introduction**
- 3. Program statement**
- 4. Program need**
- 5. Proposed budget**
- 6. Evaluation procedures**
- 7. Personnel involved with project**
- 8. Program impact**
- 9. Program continuation beyond funding by foundation**
- 10. Introduction to the institution or organization**
- 11. Appendices**
  - a. IRS letter 501(c)(3)**
  - b. List of board members**
  - c. Audited financial statement**
  - d. Institutional budget**

# **COMMON REASONS WHY PROPOSALS ARE DECLINED**

1. **Project hasn't been documented properly.**
2. **Project does not strike reviewer as significant; statement of the project doesn't interest him/her.**
3. **Prospective client groups have not been involved in planning and determining project goals.**
4. **Proposal is poorly written, hard to understand.**
5. **Proposal objectives do not match objectives of funding source.**
6. **Proposal budget is not within range of funding available through the funding agency.**
7. **Proposed project has not been coordinated with other individuals and organizations working in the same area.**
8. **The funding source has not been made aware that those individuals submitting the proposal are able to carry out what is proposed. Not enough substantiating evidence is provided.**
9. **Project objectives are too ambitious in scope.**
10. **Proposal writer did not follow guidelines provided by funding agency.**
11. **Insufficient evidence that the project can sustain itself beyond the life of the grant.**
12. **Evaluation procedure is inadequate.**

## A BRIEF GUIDE FOR PROPOSAL PREPARATION

1. Cover letter  
Signed by the chair of the board and perhaps the CEO
2. Project title and subtitle if necessary  
Ten words or less
3. Project summary  
Two hundred words or less  
Describes the purpose, timing, dollar requirements plus validates organization submitting the proposal
4. Problem statement/needs assessment  
Validates the existence of unmet needs in the community, defies the client group to be served and acknowledges what has been done in the past or is currently being done to address the problem by other groups as well as the organization submitting the proposal
5. Objectives  
Specific, explicit, measurable statements of *what* the project will achieve in addressing the problems described in the previous statement  
Avoid overly ambitious statements which may not be attainable
6. Methods  
The "how" related to the "what" of the objectives  
A detailed description of the activities to be implemented in providing a solution to the identified problem  
Must include information on the people who will be key implementors plus data on why the chosen methodology is superior to anything tried in the past or currently being attempted
7. Evaluation  
The description of tools and/or procedures to be used in determining whether or not the objectives have been achieved and the methods have been used appropriately

**8. Future plans**

Analysis of how the program will continue in the future including an evaluation of long term funding requirements and sources for that support

**9. Budget**

Personnel, facilities, equipment, supplies, communications, travel, dues, subscriptions

## PROPOSAL CHECKLIST

Review at the time the first draft of the proposal is prepared and again before it is sent to the prospective funding source.

1. Have you written or telephoned the funding source to determine its interest in receiving your proposal?
2. Has the prospective client group been involved in planning?
3. Have you checked with individuals and organizations that are already doing work in the field?
4. Have you involved individuals and organizations that can effectively cooperate with you in achieving project objectives?
5. If the funding source provides guidelines, have you read them and followed directions explicitly?
6. Do you have a cover page that includes all pertinent summary information?
7. Is the proposal well organized and clearly written? Often it is advisable to get a person outside the planning group to read the proposal for understanding and clarity.
8. Is the following information stated clearly and completely in the proposal narrative?
  - a. Problems or opportunities to which the project will be addressed?
  - b. What, if anything, is already being done about the problem or opportunity mentioned?
  - c. Project goals or objectives specified?
  - d. Client group identified?
  - e. Are project procedures including work plan, timetable, program content, methods and materials to be employed, frequency and duration of activities, etc., included?
9. Have you identified innovative features of your proposal that may set it apart from others being considered?

10. Have you developed an evaluation plan?
11. Has your organization or agency been described adequately?
12. Have you checked the budget with your organization's fiscal officer?
  - a. Budget items complete?
  - b. Arithmetic double-checked?
  - c. All budget items explained in budget narrative?
13. How about layout and readability?
  - a. Is proposal neat in appearance?
  - b. Are margins wide enough?
  - c. Have you used subheadings and other techniques to make the proposal easy to read and easy to locate specific information?
  - d. If the proposal is long, have you included a table of contents?
14. Are you observing the funding source's deadlines?
15. How many copies of the proposal will the funding source want?
16. Have you sent copies of your proposal to all interested persons and organizations?
17. Has the proposal been approved by your agency's chief administrative official?
18. Have all copies of the proposal been signed by the project director, fiscal officer, and others as required by internal regulations?
19. Have you included as appendices supporting documents such as personal vitae, supporting letters from client groups, and endorsements from cooperating agencies?



Working with adults  
who care about youth

---

# BIBLIOGRAPHY

---

*from the Indiana Youth Institute*

## JUVENILE JUSTICE

Anderson, James E. **The development and funding of placement resources and alternatives for delinquent children in Pennsylvania.** Cambridge, OH: Juvenile Court Judges, 1989.

Arthur, Lindsay G. **National Council of Juvenile and Family Court Judges. Learning disabilities and the juvenile justice system:** Reno, NV: National Council of Juvenile Court Judges, 1987.

Associates for youth development. **Training for Delinquency prevention.** Tucson, Az: Associates for Youth Development, 1978.

Bogin, Matthew B.; Goodman, Beth. **Representing learning disabled children : a manual for attorneys.** 3rd ed. Washington, D.C.: American Bar Association, 1987.

Community Service Council of Central Indiana. **Youth services project.** Indianapolis: Community Service Council, 1988.

Crow, Ruth, McCarthy, Ginny. **New Directions for Young Women, Inc; Pima County Juvenile Justice Collaboration; Arizona. Juvenile Court (Pima County). Teenage women in the juvenile justice system : changing values.** Tucson: New Directions for Young Women; 1979.

Dryfoos, Joy G. **Adolescents at risk : prevalence and prevention.** New York: University Press, 1990.

Dutile, Fernand N.; Foust, Cleon H.; Webster, D. Robert. **Juvenile Delinquency and Early Childhood Intervention Conference. Early childhood intervention and juvenile delinquency.** Lexington, MA: Lexington Books, 1982.

Finkelhor, David; Hotaling, Gerald T.; Sedlak, Andrea; United States. Office of Juvenile Justice and Delinquency Prevention. **Missing, abducted, runaway, and throwaway children in America.** Washington, D.C.: U.S. Dept. of Justice, 1990.

**The forgotten child in health care : children in the juvenile justice system**  
Washington: National Center for Education, 1991.

- Greenwood, Peter W.; Freier, Michelle; United States. Office of Juvenile Justice and Delinquency Prevention; Rand Corporation. **The Juvenile rehabilitation reader.** Santa Monica, CA :Rand, 1985.
- Hurrelmann, Klaus; Kaufmann, Franz Xaver; Losel, Friedrich; Special Research Unit Prevention and Intervention in Childhood and Adolescence. International Symposium. **Social intervention: potential and constraints.** Berlin: W. de Gruyter, 1987.
- Indiana Juvenile Task Force Inc. **Layman's guide, summary of the new Indiana Juvenile code.** Indianapolis,IN: Indiana Juvenile Task Force, 1985.
- Kentucky. Dept. for Social Services; Eastern Kentucky University. Dept. of Correctional Services. Training Resource Center Project; Wolford, Bruce I.; Janssen, Karen J.; Bowling, Linda; Miller, Cynthia J.; Lawrenz, Pam. **Youth in transition, from incarceration to reintegration: a national survey of state juvenile correctional services.** 1988.
- Keve, Paul W. **The consequences of prohibiting the jailing of juveniles:** Richmond, VA: Virginia Commonwealth University, 1984.
- Knitzer, Jane; Olson, Lynn. **Unclaimed children: the failure of public responsibility to children and adolescents in need of mental health services.** Washington, D.C.: Children's Defense Fund, 1982.
- Kobrin, Solomon. Youth Development and Delinquency Administration. **Delinquency prevention through youth development.** Washington, DC: U.S. Youth Development and Delinquency Administration, 1972.
- Martin, John McCullough; United States. Youth Development and Delinquency Prevention Administration. **Toward a political definition of juvenile delinquency:** Washington, DC: U.S. Youth Development and Delinquency Prevention Administration. 1970.
- Mauer, Marc; Sentencing Project (U.S.). **Young black men and the criminal justice system a growing national problem.** Washington, D.C.: The Sentencing Project; 1990.
- National Center for Juvenile Justice; United States. Office of Juvenile Justice and Delinquency Prevention; National Center for Social Statistics; United States. Department of Justice. Office of Justice Programs. **Juvenile court statistics 1985.** Washington, D.C.: U.S. Dept. of Justice; 1989.
- National Council of Juvenile and Family Court Judges; Child Welfare League of America; National Center for Youth Law (U.S.). **Making reasonable efforts: steps for keeping families together.** San Francisco, CA: National Center for Youth Law, 1987.
- National Juvenile Justice Program Collaboration. **Working together: advocating for change.** New York: The National Assembly; 1982.

- Ohlin, Lloyd E.; Hubert H. Humphrey Institute of Public Affairs. **The future of juvenile justice policy and research.** Minneapolis: Hubert H. Humphrey Institute; 1982.
- Sarri, Rosemary. **Juvenile justice reform : agenda for the 1980's.** St. Paul, MN : Center for Youth Development, 1982.
- Stephens, Ronald D.; Harper, Suzanne; National School Safety Center (U.S.); United States. Office of Juvenile Justice and Delinquency Prevention. **School crisis prevention and response.** Malibu, CA: National School Safety Center, 1990.
- Stitsworth, Michael Henry, **Project LEAD: Legal Education to Arrest Delinquency : putting yourself in the other person's shoes.** West Lafayette, IN: Cooperative Extension, 1986.
- United States. Congress. House. Select Committee on Children, Youth, and Families. **Child victims of exploitation.** Hearing before the Select Committee on Children, Youth, and Families, House of Representatives, Washington: U.S. G.P.O., 1986.
- United States. Congress. House. Select Committee on Children, Youth, and Families. **Down these mean streets: violence by and against America's children.** Hearing before the Select Committee on Children, Washington: U.S. G.P.O., 1989.
- United States. Congress. House. Committee on Education and Labor. Subcommittee on Human Resources. **Juvenile justice amendments of 1980.** Hearing before the Subcommittee on Human Resources of the Committee on Education Washington: U.S. G.P.O, 1980.
- United States. Congress. House. Committee on Education and Labor. Subcommittee on Human Resources. **Oversight hearing on juvenile restitution programs:** hearing before the Subcommittee on Human Resources of the Committee: Washington: U.S. G.P.O; 1981.
- United States. Congress. House. Select Committee on Children, Youth, and Families. **Youth and the justice system: can we intervene earlier?** Hearing before the Select Committee on Children, Youth, and Families. Washington, D.C.: U.S. G.P.O; 1984.
- Wall, John S.; United States. Office of Juvenile Justice and Delinquency Prevention; National Institute for Juvenile Justice and Delinquency Prevention; University of Washington. National Center for the Assessment of Delinquent Behavior and Its Prevention. **Juvenile delinquency prevention : a compendium of 36 program models.** Washington, D.C.: U.S. Dept. of Justice; 1981.
- Wolfgang, Marvin E., Figlio, Robert M., Sellin, Johan Thorsten. **Delinquency in a birth cohort.** Chicago: University of Chicago Press; 1972.

# Publications Order Form

Name \_\_\_\_\_ Phone \_\_\_\_\_  
Organization \_\_\_\_\_  
Position in Organization \_\_\_\_\_  
Street Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_



PO Box 2345  
Rockville MD 20852  
301 468 2600

Copies of the following products are available from the Clearinghouse at no cost. Check the items you would like to receive and return the completed form to the display table or mail to the National Clearinghouse for Alcohol Information, P.O. Box 2345, Rockville, MD 20852.

## NEW PUBLICATIONS FOR YOUTH

<u>Quantity</u>	<u>Code</u>	<u>Title</u>
_____	PH228	<u>COMMUNICATING WITH YOUTH: METHODS, MESSAGES, AND MATERIALS.</u> (1986) A practical guide for developing messages and materials about alcohol that appeal to youth. Includes recent data on the knowledge, attitudes, and practices of youth related to alcohol. 30 pp. (Limit - single copy only.)
_____	AV165	<u>MARTIN LUTHER KING POSTER.</u> (1986) Live the Dream.... Say no to alcohol and drug abuse. (22" x 15 1/2") (Limit - fifty per order.)

## Definition of Judicial and Cooperative Extension Service Acronyms

CARET	Council of Agricultural Research, Extension, and Teaching
CES	Cooperative Extension Service
CFA	Center for Action
CSR	Community Systemwide Response
EFNEP	Expanded Foods and Nutrition Education Program
ICJFCJ	Indiana Council of Juvenile and Family Court Judges
NCJFCJ	National Council of Juvenile and Family Court Judges
OJJDP	Office of Juvenile Justice and Delinquency Prevention
NHTSA	National Highway Traffic Safety Association
<u>OSAP</u>	Office of Substance Abuse Prevention
SIFT	Status of Indiana Families. . . Today and Tomorrow
FCL	Family Community Leadership

## OTHER RESOURCES

### National Clearinghouses:

National Institute on Alcohol and Alcohol Abuse  
Clearinghouse for Alcohol Information  
P.O. Box 2345  
Rockville, Maryland 20852  
(301) 468-2600

National Institute on Drug Abuse  
Clearinghouse for Drug Information  
P.O. Box 416  
Kensington, Maryland 20795  
(301) 443-6500

Wisconsin Clearinghouse for Alcohol and Other Drug Information  
P.O. Box 1468  
Madison, Wisconsin 53701  
(608) 263-2797

### Self-Help Groups:

Al-Anon Family Groups  
Box 182  
Madison Square Station  
New York, New York 10159-0182

Alcoholics Anonymous  
P.O. Box 459  
Grand Central Station  
New York, New York 10163  
(212) 686-1100

Families Anonymous  
14617 Victory, #1  
Van Nuys, California 91411  
(818) 989-7841

Women for Sobriety  
P.O. Box 618  
Quakertown, Pennsylvania 18951  
(215) 536-8026

**Parent and Community Organizations:**

The Chemical People  
c/o Ricki Wertz  
4802 Fifth Avenue  
Pittsburgh, Pennsylvania 15213  
(412) 622-1491

National Federation of Parents for Drug-Free Youth  
8730 Georgia Avenue, Ste. 200  
Silver Spring, Maryland 20910  
(800) 554-5437

The National PTA Alcohol Education Publications  
700 North Rush Street  
Chicago, Illinois 60611  
(312) 787-0977

Parent Resource Institute for Drug Education (PRIDE)  
Student Resource Institute for Drug Education (STRIDE)  
100 Edgewood Avenue, Ste. 1216  
Atlanta, Georgia 30303  
(800) 241-9726

Toughlove  
P.O. Box 1069  
Doylestown, Pennsylvania 18901  
(215) 348-7090

**Federal Government:**

**ACTION**  
Drug Prevention Program  
806 Connecticut Avenue, NW, Room 516  
Washington, DC 20525  
(202) 634-9749

Alcohol, Drug Abuse and Mental Health Administration  
5600 Fishers Lane  
Rockville, Maryland 20852  
(301) 443-4797

Office of the First Lady  
Director of Projects and Policy  
1600 Pennsylvania Avenue, N.W.  
Washington, DC 20500  
(202) 456-7905

U.S. Congress  
House Select Committee on Narcotics Abuse Control  
The Capitol  
Washington, DC 20515  
(202) 226-3040

U.S. Congress  
Senate Subcommittee on Children, Family, Drugs and Alcoholism  
The Capitol  
Washington, DC 20515  
(202) 224-5630

U.S. Department of Education  
FOB 6, 400 Maryland Avenue, S.W.  
Washington, DC 20202  
(202) 426-6420

U.S. Department of Health and Human Services  
200 Independence Avenue, S.W.  
Washington, DC 20201  
(202) 245-6296

U.S. Department of Justice  
Drug Enforcement Administration  
Office of Public Affairs  
Prevention Program Coordinator  
1405 I Street, N.W.  
Washington, DC 20537  
(202) 633-1469 or (202) 633-1230

**National Associations and Not-for-Profit Organizations:**

Alcohol and Drug Problems Association of North America  
1101 15th Street, N.W., Ste. 204  
Washington, DC 20006  
(202) 737-4340

National Association of State Alcohol and Drug Abuse Directors  
444 N. Capitol Street, N.W., Ste. 530  
Washington, DC 20001  
(202) 783-6868

National Council on Alcoholism  
12 West 21st Street  
New York, New York 10010  
(212) 206-6770

National Partnership to Prevent Drug and Alcohol Abuse  
1110 Vermont Avenue, N.W., Ste. 428  
Washington, DC 20005  
(202) 429-2940

## ELEMENTARY PROGRAMS

"BE SMART, DON'T START - JUST SAY NO!" (K-5)  
DREAM (Drug Research & Education Association)  
1991 Lakeland Drive  
Suite B  
Jackson, Mississippi 39216  
(601) 362-9329 or 1-800-23 DREAM

"I'M SPECIAL" (4th Grade)  
Charlotte Drug Education Center  
1416 East Morehead Street  
Charlotte, North Carolina 28204

"YOU-NIQUE" (K-5)  
C. E. Mendez Foundation, Inc.  
P.O. Box 10059  
Tampa, Florida 33679  
(813) 875-2579  
Elizabeth McConnell, Program Director

"ME-OLOGY" (6th Grade)  
C. E. Mendez Foundation, Inc.  
P.O. Box 10059  
Tampa, Florida 33679  
(813) 875-2579  
Elizabeth McConnell, Program Director

"YOUTH CONFERENCE" (Elementary and Secondary)  
Dr. Dorothy Idleburg  
Interdisciplinary Alcohol and Drug Studies Center  
Jackson State University  
P.O. Box 17054  
Jackson, Mississippi 39217  
(601) 968-2350

"JUST SAY 'NO' CLUB" (State Agency)  
Ms. Suzanne D. Scott  
Division of Alcohol and Drug Abuse  
1102 Robert E. Lee Building  
Jackson, Mississippi 39201  
(601) 359-1297

## SECONDARY PROGRAMS

### "OPERATION PROM/GRADUATION"

Governor's Highway Safety Program  
c/o Ms. Margaret Graham  
301 West Pearl Street  
Jackson, Mississippi 39205  
(601) 949-2225

### "TEEN CONNECTION"

DREAM (Drug Research & Education Association)  
1991 Lakeland Drive  
Suite B  
Jackson, Mississippi 39216  
(601) 362-9329 or 1-800-23 DREAM

### "S.A.D.D."

Students Against Driving Drunk  
110 Pleasant Street  
Corbin Plaza  
Marlboro, Massachusetts 01752  
(617) 481-5681  
Robert Anastas, Executive Director

### "NATURAL HELPERS"

DREAM (Drug Research & Education Association)  
1991 Lakeland Drive  
Suite B  
Jackson, Mississippi 39216  
(601) 362-9329 or 1-800-23 DREAM

### "SKILLS FOR ADOLESCENTS"

Lions Club/Quest Foundation Program  
c/o DREAM (Drug Research & Education Association)  
1991 Lakeland Drive  
Suite B  
Jackson, Mississippi 39216  
(601) 362-9329 or 1-800-23 DREAM

### "F.A.C.E.S."

Furthering Adolescent Coping Through Education and Skills  
c/o DREAM (Drug Research & Education Association)  
Attention: Rick Lauman or Rusty McDaniel

### "DRIVER'S EDUCATION"

Governor's Highway Safety Program  
Ms. Margaret Graham  
301 West Pearl Street  
Jackson, Mississippi 39205  
(601) 949-2225

PROPERTY OF

National Criminal Justice Reference Service (NCJRS)  
Box 6000  
Rockville, MD 20849-6000

• *Fairs.*

Most 4-H'ers participate in their county fairs to display what they've learned and made, to give demonstrations, or to compete in contests, either as part of a club activity or as a 4-H project requirement. More than 6000 of them then go on to exhibit, present, or compete at the Indiana State Fair.

**Who is involved in 4-H?**

Many folks are, besides the members themselves! Here's just a sampling of who's behind 4-H and what they do.

*In the local community* are adult volunteers who either lead individual clubs or are available to share their expertise on various subjects as needed. Usually assisting them are proven, older 4-H'ers specially trained as junior leaders. Support of the local 4-H program also comes from parents, businesses, service organizations, and others in the community.

*At the county level*, 4-H is the direct responsibility of the county Extension professional staff. Assisting them in providing program direction and oversight is the county 4-H council, which is made up of parents, volunteer leaders, and interested adults and youth.

*At the state level*, Purdue Extension 4-H specialists are responsible to develop curricula, coordinate statewide training and activities, assist county programs, and generate project materials with other campus specialists. Undergirding state efforts are the Indiana 4-H Foundation, which provides promotional and financial support, and the State 4-H Advisory Council, which is concerned primarily with program goals, direction, and needs.

*At the national level*, the Extension Service/USDA administers the federal part of the 4-H partnership by conducting national programs, putting on workshops, and developing resource materials. The National 4-H Council, made up of business and professional leaders, promotes and serves 4-H through project donors, trips and scholarships, a training center, and a supply service.



**Purdue University  
Cooperative Extension Service  
Mission Statement**

Our mission is the education of Indiana citizens through application of the land-grant university research and knowledge base for the benefit of agriculture, youth, families, and communities.

**Where can I get further information?**

To learn more about 4-H in general, your county's 4-H program, and what clubs or special interest groups are in your neighborhood, contact your local Extension office at the address or phone number below.

Purdue University



**Cooperative  
Extension  
Service**

Helping the people of  
Indiana put knowledge  
to work

**4-H Youth  
Development**

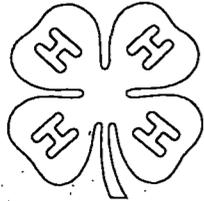


**Purdue Cooperative Extension** is the statewide non-formal educational arm of Indiana's land-grant university. Our job is to help people gain knowledge and put it to work on the job, at home, and in the community. We do this by providing access to Purdue University's educational resources through Extension offices located in every county of Indiana.

Cooperative Extension offers assistance primarily in these four areas:

- Agriculture and natural resources.
- Home economics.
- 4-H youth development.
- Public policy.

This brochure focuses on the 4-H youth program, its objectives, and how it is carried out.



### What is 4-H?

4-H is a voluntary youth development education program concerned with helping boys and girls acquire knowledge, develop life skills, and form attitudes important to becoming self-directed, productive citizens. This is accomplished through educational experiences in family and community settings with the involvement of parents, volunteer leaders, and Extension professionals.

The 4-H program is for young people ages 10 to 19. Many counties also offer an Exploring 4-H program for children younger than 10.

Both are available without regard to race, color, creed, sex, national origin, handicap, socio-economic condition, or place of residence. We especially seek the participation of those not involved in other youth development experiences.

4-H in Indiana currently reaches more than 180,000 youngsters from all backgrounds and environments—city, suburb, small town, farm.

### What does 4-H attempt to do?

The four H's stand for Head, Heart, Hands, and Health, signifying development of the total person. And that's our desire for all 4-H youth. Through many and varied projects and activities, they are given opportunity to:

- Acquire skills related to their interests and talents.
- Explore potential future career areas.
- Gain a greater measure of self-esteem.
- Learn self-reliance as well as teamwork.
- Cultivate new and lasting friendships.
- Practice leadership and communication skills.
- Develop decision-making and problem-solving abilities.
- Accept and carry through on individual responsibility.

### How do 4-H'ers learn?

Research shows that young people learn best in an environment that encourages

active participation. Therefore, we stress "learning by doing" through hands-on experiences. The goal of these experiences is to help 4-H'ers apply the knowledge and skills they've acquired to solve real-life problems. In the process, many also develop a desire for life-long learning.

4-H provides various settings in which learning can take place. Here are the ones common to most local 4-H programs and what the youngsters gain from them:

#### • Meetings.

4-H'ers grow and have fun together through meetings of their local club, special interest group, or 4-H sponsored enrichment program within a school. These meetings, under the guidance of adult and junior leaders, provide opportunity to socialize, gain knowledge, develop leadership and communication skills, set and accomplish group goals, and share experiences.

#### • Projects.

4-H'ers usually enroll in one or more projects each year. These are carefully planned sequences of learning activities dealing with subjects of interest and special relevance to youth. There are some 50 different projects from which to choose. They range from aerospace to woodworking and cover such diverse areas as arts and crafts, plants, animals, food, natural resources, the physical and mechanical sciences, leadership, personal development and hygiene, clothing, and recreation.

#### • Camps, conferences, and workshops.

Every year, thousands of 4-H'ers are involved in camps, conferences, and workshops, where they gain new information and share ideas. These events usually focus on leadership, skills development, or project subject matter, and are conducted by professionals or volunteers who have expertise in the areas being addressed.



#### • Trips, tours, and exchanges.

Clubs and special interest groups often take field trips as an agreed-upon group activity or to meet certain 4-H project requirements. Various state-wide programs may also include tours, such as the 4-H citizenship education trip to Washington, DC. Through exchange programs, 4-H'ers have opportunity to experience life in other parts of the world as well as other parts of the United States.

Because they live and work in communities throughout the state, they know the local people, their needs, and how to best tailor the programs that meet those needs.

Volunteers are a vital part of the Extension team, multiplying the educational efforts of the extension agent. They are local people already having expertise or given special training in order to share with others what they've learned. Many serve as 4-H leaders, helping youngsters "learn by doing."

Cooperators assist in numerous ways, such as serving on advisory committees; lending their land, facilities, or equipment for demonstration purposes; participating in local educational needs assessment or program planning; etc.

**How is Purdue Cooperative Extension funded?**

It's funded by three sources: federal government through the USDA, state government through Purdue University, and county government through the county councils and commissioners.

Federal funding allows Extension to respond to national problems. State funding means that the educational needs of all Indiana citizens will be considered. County funding ensures that Extension deals with county and community problems.

**Where are Purdue Cooperative Extension people located and how can I reach them?**



Extension agents are located in each of Indiana's 92 county seats. The specialists are housed primarily at Purdue's West Lafayette campus.

To reach us, start with your local Extension office. It's listed in your county seat telephone directory under the county's name in the white pages, and under "Government Offices-County" in the yellow pages.

We invite you to give us a call or visit us in person. Our programs, services, and facilities are available to everyone without regard to race, color, creed, sex, age, national origin, or handicap.

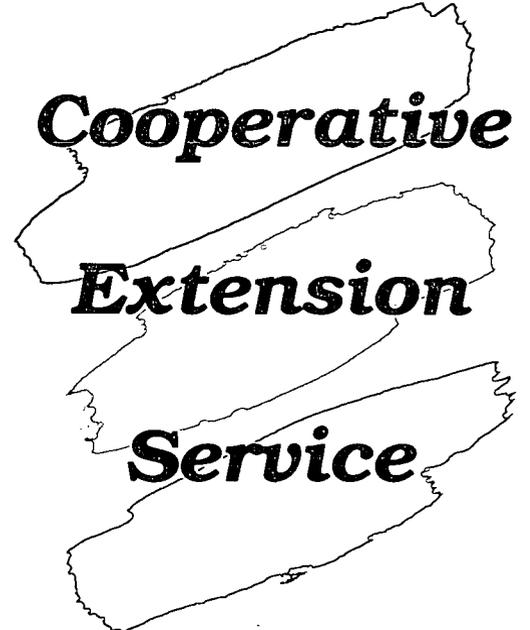
**Purdue University Cooperative Extension Service Mission Statement**

Our mission is the education of Indiana citizens, through application of the land-grant university research and knowledge base, for the benefit of agriculture, youth, families, and communities.

To learn more about us, our educational programs and services, contact the Office of the Director, Purdue University Cooperative Extension Service, Agricultural Administration Building, West Lafayette, IN 47907 (phone 317 494-8489), or:



*Purdue University*



Helping the people of Indiana put knowledge to work in

**Farm  
Home  
Business  
Community**

### What is the Purdue University Cooperative Extension Service?

Purdue Cooperative Extension is the statewide informal educational arm of Purdue University. We're part of the national network of Extension Services based at each state's land-grant university and in the U.S. Department of Agriculture (USDA).

Our name helps explain who we are. "Cooperative" means we're partners with federal, state, and county governments. "Extension" means we extend the educational knowledge base of Purdue-Indiana's land-grant university—to the entire state. "Service" means we're in the business of helping people put that knowledge to work.

### What does Purdue Cooperative Extension do?

Our job is to get practical, university-tested information into the hands of those who need it. We do this by providing access to Purdue's educational resources through our Extension offices located in every county of Indiana.



County extension professionals are there to help local people gain knowledge and put it to work on the job, at home, and in the community. They also relay local needs back to the campus staff.

The Purdue University Cooperative Extension Service responds to current problems by applying research results as well as gathering information from all relevant sources, including other land-grant universities and the USDA. This information is then made available to all who would benefit through meetings, demonstrations, workshops, exhibits, publications, newsletters, radio and television, press releases, video presentations, computer programs, etc.



### In what areas are educational information and programs provided?

The Purdue University Cooperative Extension Service offers assistance in these four main subject areas:

- *Agriculture and natural resources.* We provide education, training, and technical assistance to individuals and businesses

with agriculturally related needs and interests. Program emphases include food and fiber production, farm business management, marketing and processing of agricultural products, and natural resource management.



- *Home economics.* Our mission is improvement in the quality of life of individuals and families through enhancement of their economic and social well-being. Extension home economics programs focus on helping people to extend their incomes, improve their health, as well as strengthen personal and family relationships in a changing environment.

- *4-H and youth development.* Through 4-H programs, we assist youth in acquiring knowledge, developing life skills, and forming attitudes that will enable them to become self-directing and productive members of society. This is accomplished with the involvement of parents, volunteers,

and professional staff who organize and conduct educational experiences in family and community settings.

- *Public policy.* Our mission here is to help communities resolve locally determined problems with objective information and assistance, and to develop community leadership potential. Public policy issues commonly addressed include economic development, local government finance and provision of services, land use, and community resource management.



### Who works for and with Purdue Cooperative Extension?

The "Extension team" includes campus specialists, county extension agents, and local volunteers and cooperators.

Specialists translate research results and other information into practical applications, which are then packaged as educational programs for delivery to interested clientele.

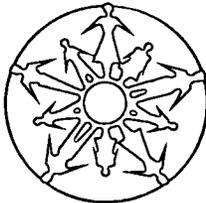
Agents help deliver those educational programs as well as develop their own.

**Purdue Cooperative Extension** is the statewide non-formal educational arm of Indiana's land-grant university. Our job is to help people gain knowledge and put it to work on the job, at home, and in the community. We do this by providing access to Purdue University's educational resources through Extension offices located in every county of Indiana.

Cooperative Extension offers assistance primarily in these four areas:

- Agriculture and natural resources.
- Home economics.
- 4-H youth development.
- Public policy.

This brochure is about Extension Home Economics, its mission, clientele, educational programs, and their many benefits.



### **What Is Extension Home Economics?**

Extension Home Economics, as a component of Cooperative Extension, provides unbiased, research-based educational programs aimed at enhancing the welfare of people as individuals and as families. Our programs are developed by subject matter specialists in Purdue's School of Consumer and Family Sciences and carried out by the county Extension home economists.

We also attempt to answer people's questions relating to their physical, emotional, social, and economic needs—questions such as:

*"Should my eight-year-old participate in competitive sports?"*

*"How do I go about selecting a nursing home for my mother?"*

*"Is the groundwater safe in this area?"*

*"What changes should I make in my diet to reduce the chance of getting heart disease?"*

Our educational programs and materials are available to all Indiana residents, regardless of race, color, creed, sex, national origin, handicap, socio-economic condition, or place of residence.

### **What is the mission of Extension Home Economics?**

It's to improve the quality of life for individuals and families through enhancement of their economic and social well-being. This mission is carried out by providing programs that help people extend their incomes, improve their health, as well as strengthen personal and family relationships in a changing environment.

### **What do Extension Home Economics programs cover?**

Although we provide educational information on a wide range of consumer and family topics, priority program emphasis is given to the following:

- Expanded food and nutrition education for low-income families.
- Nutrition, diet, and health.
- Parent education.
- Balancing work and family.
- Family financial management.
- Home and family resources.

- Interpersonal skills and self-concept.
- Empowerment and leadership development.
- Aging and intergenerational issues.

### **How are these programs "delivered?"**

Extension home economists provide instruction and disseminate information using many different communication "tools" including: individual consultation, informal discussion groups, formal meetings and workshops, self-study lessons, computer programs, video and audio tapes, educational television, publications, newsletters, and the mass media.

To the extent possible, we will use the delivery system most appropriate to each specific audience and its learning environment. That's why many times our programs are presented in cooperation with other local agencies and organizations.



### **Who participates in Extension Home Economics programs?**

Our educational efforts are intended to address the needs of people as individuals, as family members, and as citizens.

Thus, among the varied groups Extension home economists work with are:

- Young families.
- Single parents.
- Retired people.
- Widows and widowers.
- Youth, including 4-H'ers.
- Extension Homemaker club members.

#### How have they benefitted?

The information gained from Extension Home Economics programs helps people make better decisions on matters affecting their physical, emotional, economic, and social well-being. Here, in their own words, is how some have benefitted:

*"As a result of attending your Family Times program, our family is spending more time together and is communicating more."*—Hoosier parent

*"My doctor prescribed a low-cholesterol diet, and Extension provided the practical help to stick to it. My cholesterol dropped from 455 to 205."*—Central Indiana woman

*"Everything you see here—from menu items to interior decorating to landscaping—Extension had some hand in it."*

—Owner of a successful family-operated country inn

*"(Our company) relies on Extension home economists to be our eyes and ears in the area of consumer issues. In return, we share information that might be useful to them as they work with consumers. Our relationship is one of mutual support and benefit."*—Consumer products company home economist

#### Purdue University Cooperative Extension Service Mission Statement

Our mission is the education of Indiana citizens through application of the land-grant university research and knowledge base for the benefit of agriculture, youth, families, and communities.

#### Where can I get further information?

To learn more about Extension Home Economics and the programs being offered in your county, contact your local Extension office at the address or phone number below.

Purdue University



**Coöperative**

**Extension**

**Service**

Helping the people of  
Indiana put knowledge  
to work.

**Extension  
Home  
Economics**