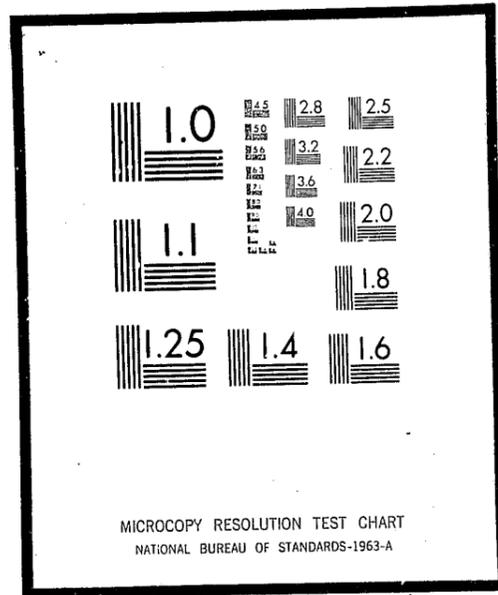


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MONROE COUNTY FAMILY COURT

PROBATION PROJECT

EXPERIMENTAL ACTION PROGRAM

Prepared for the
County of Monroe and the Family Court

by the

ROCHESTER-MONROE COUNTY CRIMINAL JUSTICE PILOT CITY PROGRAM
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ABSTRACT

One of the responsibilities of the Pilot City Program is to work with criminal justice agencies in developing community-based, innovative action projects. In developing these action projects, the Pilot City Program goals are to design and demonstrate new or improved techniques to reduce crime and delinquency and to place the project in a rigorous research framework enabling its systematic testing, measurement, and evaluation.

The following text describes the Monroe County Family Court Probation Project -- a project developed by the Rochester-Monroe County Criminal Justice Pilot City Program in collaboration with the Family Court of Monroe County. In June, 1973, the Law Enforcement Assistance Administration awarded the County of Monroe \$113,068 in discretionary funds for the Family Court Project. The Project commenced in August, 1973, and is scheduled to run for 18 months.

The Family Court Project will address itself to the problems of the effective delivery of services to juvenile clients of the Family Court, and the development of a diversion maximizing model for handling juveniles in an experimental framework.

Upgrading of the delivery of services will include reorganization of Family Court Probation with personnel assigned to geographic catchment areas; establishment of probation teams working in satellite offices within these areas; and the development of an "allied services" approach to the problem of the multiproblem family by detaching personnel from related criminal justice and social services agencies to work with the probation team in the experimental and control catchment areas.

The training for the probation staff will extend over a 12-month period under the auspices of the Training Center for the National Council on Crime and Delinquency.

Action Program # 4
Pilot City Publication #10

ACKNOWLEDGEMENTS

The staff of the Rochester-Monroe County Criminal Justice Pilot City Program expresses their appreciation to the individuals and agencies who assisted in the development of the Family Court Probation Project. Among those who devoted their time and interest in reviewing the project are the Steering Committee and Technical Advisory Committee of the Pilot City Program, the Genesee/Finger Lakes Regional Planning Board, the New York State Division of Criminal Justice Services, the New York State Division of Probation and the City and Court Crime Control Coordinators serving Rochester and the Fourth Judicial Department.

Special appreciation is extended to those who collaborated with our staff in developing the details of the project.

Judge Robert Wagner -- Administrative Judge of the Monroe County Family Court

Mr. Dennis Walsh -- Executive Director of Family Court

Ms. Judy Kerr -- from the Staff of Family Court Probation

Mr. Jim Davies -- County Crime Control Coordinator

Dr. Robert Hardt -- School of Criminal Justice in Albany

Dr. Marguerite Warren -- School of Criminal Justice in Albany

Mr. William Wilbanks -- staff of the SUNY-A Diversion Study

Pilot City staff participants in this project were Elizabeth Benz Croft, Director, and Greg Thomas, Research Associate. The SUNY-A Diversion Project staff developed and will be working on the research and evaluation components. Mr. Dennis Walsh, Executive Director of Family Court is the Project Director.

I. Goals

Overview

The Family Court of Monroe County was organized and began operation in 1962. The Family Court, authorized by the New York State legislature, replaced the Domestic Relations Court of New York City and the Children's Court in the other counties of the state.

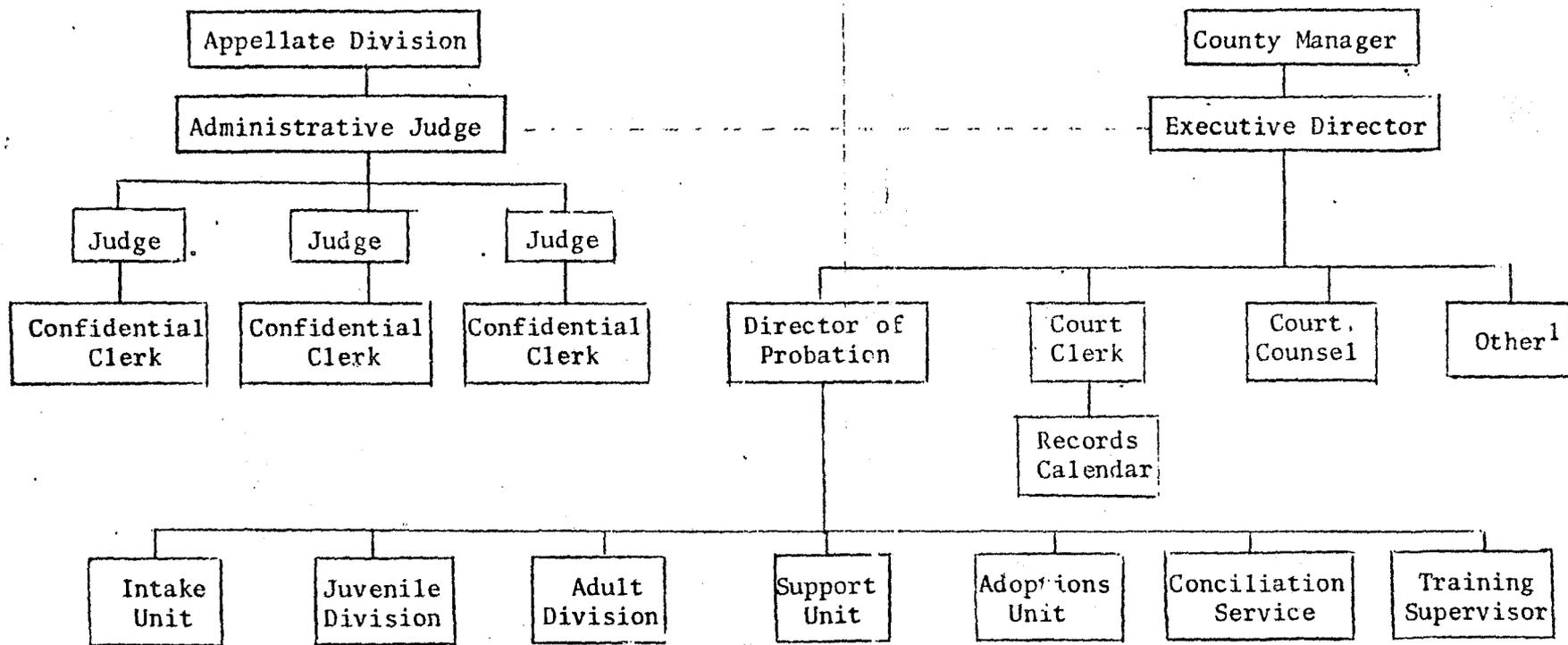
The Family Court is a civil court which is operated within the framework of the Family Court Act and the rules of the Administrative Board of the New York State Judicial Conference. The Family Court deals with both adult and juvenile matters. Specifically, it hears the following types of proceedings:

1. Juvenile Delinquency (J.D.'s)
2. Persons in Need of Supervision (PINS)
3. Family Offenses
4. Child Abuse and Neglect
5. Adoptions
6. Support and Custody (on referral from Supreme Court)

At the present time the Family Court staff are organized into three different parts: (1) the Judiciary, made up of the four Family Court judges and their clerical staffs; (2) the Court Clerk's staff that handles the docketing and legal records of the court; and (3) the Family Court Probation Department that provides investigative and supervisory resources to the court. The following diagram illustrates the basic configuration of the court.

Chart I

FAMILY COURT OF MONROE COUNTY



¹Court Attendants, Stenographic Services, Court Reporters.

Source: Stochastics Family Court Report

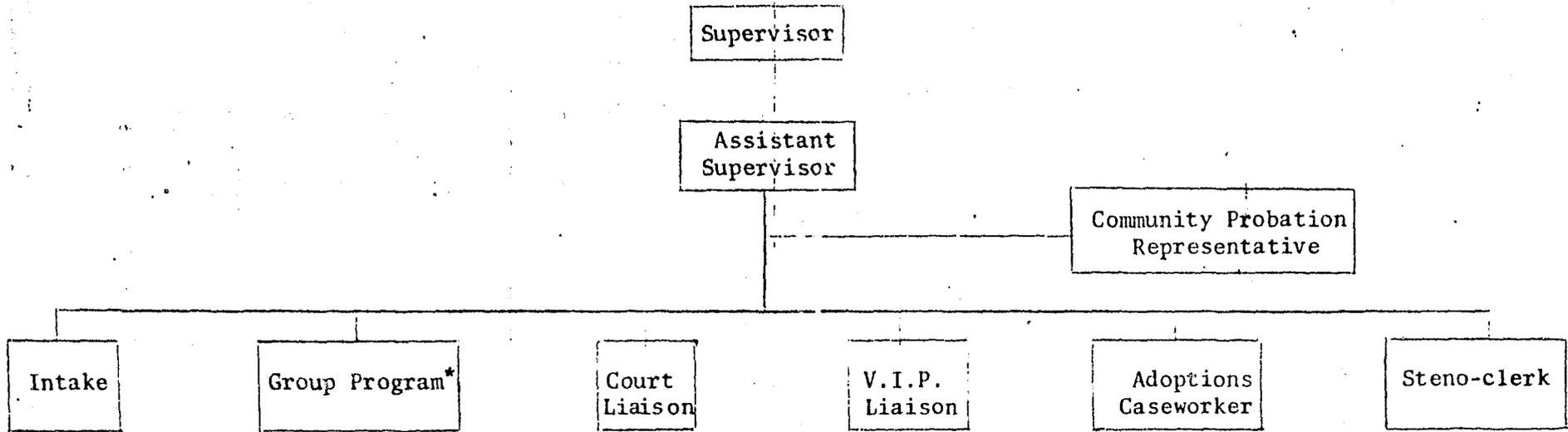
A. Reorganization

The goal of this project is to reorganize the structure of the Family Court Probation staff into a more flexible model and to make the organization amenable to the other two goals of the project: (1) the development of an allied services system; and (2) the investigation of the impact of a maximum diversion model on the juvenile and the juvenile justice system. The long-range impact of this project and the subsequent specific diversion projects will be to reduce recidivism of Family Court juvenile probationers. Both the allied services system and the diversion maximizing model will reduce first offender juvenile recidivism by providing a coherent and coordinated "front" of public and private service relevant to the juvenile offender.

Under the proposed reorganization the probation staff will be divided into catchment areas probation teams (see city and county maps in Section IV, Evaluation). These four basic teams in the catchment areas will have varying numbers of staff because some of the areas contain greater proportions of Family Court probationers. The basic team structure will consist of a team supervisor, assistant supervisor, intake worker, court liaison, group program liaison, liaison to Volunteers in Partnership (V.I.P.), and adoptions and custody caseworker. There will be additional members including other probation officers and community representatives, but these are the basic jobs proposed for each of the four catchment area teams. The shifting to a geographic base will improve the staff familiarity with "their" areas and help to concentrate the cases that a single probation officer would have to deal with; i.e., it would not be likely to find an officer supervising cases from the opposite ends of the county.

Chart II

Structural Chart of Proposed Geographic Team



*The line functions of the team may be staffed by more than one probation officer. It is likely that a single probation officer would work in more than one line area of the team.

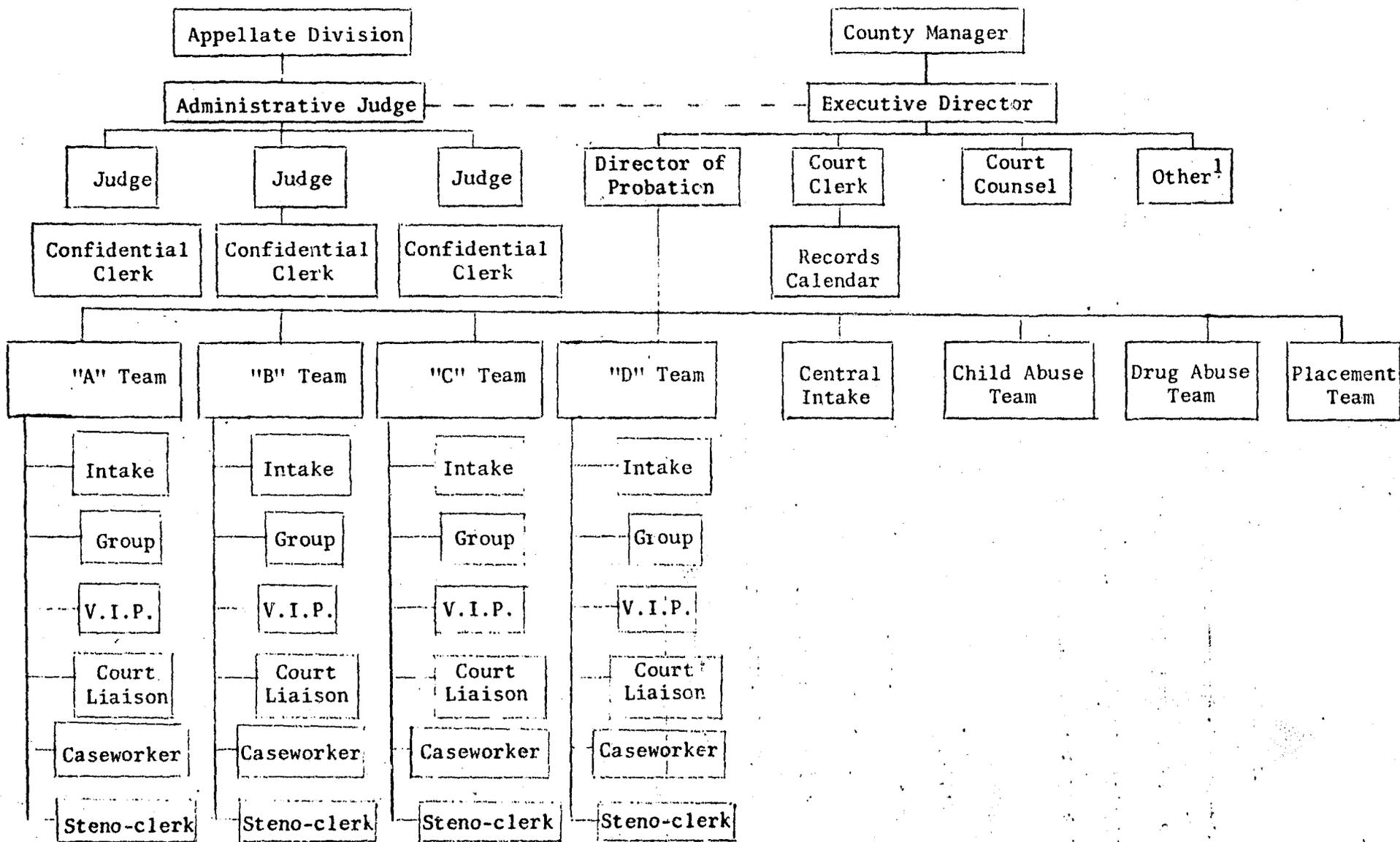
Special Teams

There will remain certain problems in the delivery of services that require some special teams. The rationale for each is somewhat different but they all serve the end of abstracting inappropriate functions from the main geographic teams and allowing these main teams to focus on their community area.

First, an intake operation, on a much smaller scale, will still be required in the central office. This central intake will deal with walk-in cases that appear with some frequency and can usually be adjusted or handled unofficially at that time. The current experience of the Family Court indicates that a significant number of cases of all varieties are "vaguely" referred to Family Court and, subsequently, the citizen arrives, with no prior screening, at the Family Court on the third floor of the Hall of Justice. We view it as more appropriate at this time to give immediate intake screening rather than send the people out again to seek the intake workers of the particular geographical team. If, at some time, the geographic teams have developed a strong community presence, some consideration might be given to eliminating control intake.

The second, third and fourth special teams are for drug abuse, institutional placement and child abuse, respectively, and all will serve functions that are inappropriate for geographically based teams in the catchment areas. The services available to meet these problems are not typically available in the catchment areas and some of

Chart III
PROPOSED PROBATION REORGANIZATION



¹Court Attendants, Stenographic Services, Court Reporters.

the best programs serve county, regional and even state-wide populations. We feel that in these three problem areas we cannot afford to pass up the special services that are available but that it is not appropriate for each geographic team to work with a wide range of agencies and institutions beyond their own team boundaries. Therefore, we intend to create these three teams to work on these problems and to take responsibility for probationers in each of these areas.

B. Training

The second goal of the project, which follows naturally from the reorganization, is the development of new staff relationships within the department and between the department and its clients.

Because it is often a "last resort" for families in crisis, the Family Court is called upon to provide not only a legalistic service, but extensive social services to its clients as well. Probation units function more or less independently of one another and are responsible to a Director of Probation, who is, in turn, directly responsible to the Executive Director of the Court. There is little formalized coordination and communication among these units on either a staff or supervisory level. As a result, in a multi-problem family, each child may have a different probation officer, one parent may have another, and yet another family member may be on probation in city or county court. There is no family-oriented conferencing or consultation among the probation

staff. Consequently, services are fragmented, sometimes conflicting, and, at best, uncoordinated.

Within each unit, officers work, in general, on a one-to-one basis with their clients. There is no formalized teamwork among members of the same unit; hence, there is little transferability of workers and a lack of staffing flexibility. In addition, clients must report consistently to one assigned officer, without being afforded the opportunity to relate to a multiplicity of workers with varied skills and backgrounds.

Probation staff are assigned caseloads throughout the county without regard to geographical location. In terms of efficiency, this is a wasteful use of a probation officer's time and energies.

In summary, the current organizational structure of the Probation Department prohibits a fluid, flexible and highly coordinated service delivery system. Under such a structure, both staff and clients suffer.

The objectives of the intensive training program will be to promote the maximum advantage from the structural reorganization and to seek new and better ways to deliver services to probation clients. The Family Court Probation Department has in recent years made tentative steps towards in-service training in the use of new treatment techniques. But with few exceptions the staff is unfamiliar with the concept of team building and teamwork techniques.

and skills. In addition, there are deficiencies in the development of close working relationships with other social agencies in the county. As a result of these problems the staff would find it extremely difficult to provide adequate service to clients in the catchment area-teamwork model without a detailed and fairly extensive training program.

The training will be done on a negotiated contract basis to a national known organization providing training expertise in all areas of the criminal justice system. As it is envisioned, the 12-month training component will be scheduled as follows:

1. Planning (one month). This would involve the training organization and the project director.
2. Five-day Laboratories (three months): Three five-day intensive, instrumental laboratories will be administered for approximately 100 representatives from the Family Court Probation and the Adult Probation Departments. There will be a heavy emphasis on an examination of correctional philosophy and policy, intra- and inter-organizational communication, interpersonal communication, and those ingredients required to engage in effective team management and service delivery.
3. Three-day Laboratories (two months): Two three-day laboratories will be conducted for approximately 20 people each. The first would include supervisors and managers; the second would involve two service delivery teams working in the experimental catchment area and including representatives of other allied agencies.
4. Implementation/Consultation Laboratory (five months). Four two-day programs will be conducted during the implementation period to provide both training and consultation. During this period, a team monitoring feedback instrument will be utilized to assist in the evaluation of the team effort.
5. Evaluation (one month). Evaluation of the project would be a part of all training phases, with a final evaluation report written and submitted at the end of the training period.

The large effort in training is necessary to "put across" the reorganization of the Family Court Probation Services. It is anticipated that the training component coupled with the structural reorganization will significantly enhance the coordination and effectiveness of the entire service delivery system. Greater detail concerning the type of training that the contractor will provide and the previous results are reported in Juvenile Court Institutes: A Training Project in Juvenile Delinquency, National Council on Crime and Delinquency, 1971.

C. Allied Services

The third goal of the Monroe County Family Court Project will be the development of an allied services system in the juvenile delinquency. By allied services we mean to promote the maximum sharing of information and resources available through public service agencies and to minimize the unnecessary referrals back and forth between fragmented services. Allied Services will not be a major reallocation of public agency functions or responsibilities, rather we hope to bring together, on a regular working basis, those workers who work with the same clients but for different agencies.

The allied services concept will operate in one of the catchment areas. Those agencies most likely to be involved are:

1. The Rochester Police Department
2. The Department of Social Services
3. The City School District

4. The New York State Division for Youth
5. Adult Probation
6. Rochester Community Mental Health Clinic.

These various allied services are included for a number of different reasons, but we feel that each has a significant contribution to make to the effectiveness of the probation team.

The Rochester Police Department's importance is that the Person's Unit of the Rochester Police Department which handles juvenile offenses is the largest single source of delinquency petitions into Monroe County Family Court. (See Annual Report: County of Monroe Family Court, 1971, pages 13-14.) The Rochester Police Department makes many decisions that influence the insertion/non-insertion of juveniles into the Family Court structure.

The inclusion of the Monroe County Department of Social Services and the Rochester City School District have a different rationale. First, they are the major institutional sources of PINS petitions in Monroe County (see Annual Report: County of Monroe Family Court, 1971, pages 13-14). Further, the overlap between families with members on probation from Family Court and those families receiving aid from the Department of Social Services is approximately 30%.¹ This simply documents what has been suspected all along: That in low income areas, families with problems

¹The Pilot City staff determined the overlap between Department of Social Services and Family Court Probation by checking the last names and addresses of the Family Court intake cohort against the then current check registry for Department of Social Services to determine the percentage receiving support.

tend to be multi-problem families that receive help from two or more public agencies. Because of limitations in handling data and the lack of comparable, accurate records, this percentage estimate quoted above will tend toward the minimum overlap between Family Court Probation and the Department of Social Services.

There is little need to document the overlap between the Rochester City School District and Family Court Probation. Almost all youth from the city between the ages of seven and fifteen years can be presumed to have some sort of continuing contact with the school system. The City School District is important from a research and evaluation perspective because the school system is the only large public agency serving almost exactly the same age population. Their records can serve the critical function of following youth who are diverted from the criminal justice system.

The inclusion of a representative of the New York State Division for Youth is based on the need to include the information, skills, and resources of the state agency charged with caring for delinquents in institutional and, increasingly, in community settings.

The Monroe County Department of Adult Probation is included in the allied services team because, all arguments concerning civil vs. criminal court and ages notwithstanding, both agencies provide services to similar populations, and there is some evidence that in Monroe County a significant number of youth "graduate"

from Family Court Probation caseloads to supervision by the Department of Adult Probation. The provision of systematic institutional cooperation and the sharing of resources would improve the effectiveness of both probation services.

Finally, the rationale for including the Rochester Community Mental Health Clinic is that this agency has made a determined and sustained effort to go "community based" and to build up agency cooperation, their catchment areas were the model adopted for reorganizing Family Court Probation. They are currently operating on the model proposed for Family Court Probation and, therefore, have a fund of experience and community contacts that will be valuable to the reorganization. In addition, the diagnostic and counseling services available through the Mental Health Clinic would be a significant asset to the probation team's resources.

Allied services would work in close coordination with the Family Court probation team. It is anticipated that the various "allied agencies" would participate in the teams either as full-time detached workers or on an "as-needed" basis as the interests of the team dictate. Detachment of workers would be indicated by caseloads and relevance to probationers. It is anticipated that the development of allied services will reduce fragmentation and lack of coordination in the community service delivery system to multi-problem families.

D. Other Components and Projects in Juvenile Justice

This proposal has two important links to other projects in the juvenile justice system. First, the School of Criminal Justice at the State University of New York, under a grant from the National Science Foundation, is studying diversion in the juvenile justice system. They have chosen Rochester, New York as the principal site for their investigation. Since January, 1973, the Diversion Study has been following several cohorts of youth in the juvenile justice system of Rochester. Their diversion study is timed to take advantage of the reorganization of Monroe County Family Court Probation into catchment area teams. Subsequent to the reorganization and concomitant with the later stages of the team training the project will, on an experimental basis, implement specific diversion strategies and examine the impact of maximum diversion on the youth cohorts and on the system's decision makers.

This proposal makes three contributions to this research effort. First, it provides a diversion specialist to work with the Family Court Probation team in the experimental catchment area. This person will investigate the possibilities of implementing specific diversion projects in the team area. Second, this proposal provides the resources for a questionnaire survey to be conducted in the summer of 1974 to gather information to aid in the evaluation of the diversion effort.

A meaningful evaluation of diversion requires that some information be gathered about the behavior of youth in the community. It is quite possible that different neighborhoods and communities have different levels of "tolerance" for deviant behavior and that this level of "tolerance" is critical in whether the deviant behavior of juveniles is reported and their subsequent penetration of the juvenile justice system. The project will provide the resources to gather data to assess the attitude of home communities and their impact on the youth and the system. To work only with data from the criminal justice system and allied public services raises the probability that some important elements will be missed in the community.

The resources will be in the form of two research assistants to administer, code, punch, and run preliminary analysis on the results of the survey. The survey instruments will be developed cooperatively between Family Court Probation, the Diversion Study, and the Pilot City Program.

Third, this proposal will provide the clerical help to develop and maintain the needed master file on the youth cohorts passing through the family court system.

The study of diversion under the direction of Professors Robert Hardt and Marguerite Warren have produced some insights on the decision points and strategies for maximizing diversion, but it is strongly felt that to have any real meaning or lasting impact on the system that the diversion must be developed by the probation team in the context of the unique community agencies available to that particular area. To "impose" the diversion

projects externally would probably only serve to decrease the commitment of the probation team staff from the experiment. Thus, we feel that there is a necessary lag between the reorganization of the probation department with its training component addressed by this proposal and the development of the specific diversion to be addressed subsequently.

The second major link with this proposal is to a pending Division of Criminal Justice Grant by the City/County Youth Board of Rochester. The Youth Board proposal, entitled Youth Services System, is an expansion of one component from the 1972 Youth Opportunity Program. Distilled to its essence the proposal, if funded, will expand an existing referral system that provides placement service for youth enmeshed in the criminal justice system to a group of 40 established private non-profit community organizations in Rochester and Monroe County. The referral system itself assumes a minimum of actual supervision, relying instead on the experience and expertise of the community agencies to provide meaningful alternatives to youth.

This Youth Board project represents the marshalling of considerable resources. Working in conjunction with the various components of this Family Court proposal it considerably increases the likelihood of our bringing significant change to the operation of the juvenile justice system in Monroe County and Rochester.

Conclusion

In summary, the goals of the Monroe County Family Court Project will be to:

1. increase communication among Family Court staff,
2. increase inter-agency communication through closer contact with community-based agencies in each catchment area, as well as county-wide agencies, thereby increasing coordination of services to multi-problem families,
3. increase the efficient and productive use of a probation officer's time by confining his field area,
4. afford clients the opportunity to benefit from a multiplicity of skills and backgrounds of team members both through direct contact and through the indirect effects of case conferences and team consultations,
5. provide for transferability of workers within each team, hence providing flexibility in the service delivery system,
6. enable probation officers to learn from each other through team development and case conferences,
7. increase the access of clients to probation staff in the satellite office,
8. design and rigorously evaluate a maximum diversion model in the juvenile justice system.

II. Impact and Results

The impact of the project can be analytically separated into two (2) parts:

A. The in-depth middle management training component will prepare the Family Court Probation staff to work effectively in the context of probation teams in geographic catchment areas.

B. The testing of broader notions of the effect of diversion both on the youth and on the operation of the criminal justice system in conjunction with the SUNY-A Diversion Study.

A. Impact of Middle-Management Training. There is a consensus in the agencies and service professionals that major shifts in agency priorities and policies undertaken without sufficient preparation and training of personnel are usually met with a great deal of staff resistance and uncertainty. One of the purposes of the training will be to overcome staff resistance by clarifying roles and operations after the reorganization in addition to the "mechanical" explanation of the operations, and problems of team probation. Adequate resources have been budgeted to allow the training staff flexibility in locating and solving particular problems in the experimental teams. In opting for a training program of relatively long duration, we plan to use the agency staff as a core to develop on-going in-service training programs, something that is almost entirely lacking at the present time.

B. There has been a great deal of speculation in the literature as to the nature and importance of the operation of the

criminal justice system itself as a determinant of delinquency. The link with the National Science Foundation Study will prove an opportunity to assess and to test these notions in a rigorous controlled situation. In the evaluation part of the narrative, there is a short description of the baseline data that has been gathered for the purpose of evaluating the diversion of youth from the juvenile justice system. The knowledge gained and disseminated from this research project will serve a nationwide audience. As with any research project, the measurable impact will depend almost totally on the nature of the findings.

The project will demonstrate the consequences, both positive and negative, which stem from a coordinated community effort to divert youth from criminal justice agencies. Determination will be made of the impact of diversion on measures of official delinquency, recidivism and on public concern regarding the delinquency problem. As one aspect of cost-evaluation procedure, efforts will be made to discover whether diversion as implemented results not in "benign neglect" but increased referrals of juveniles to treatment agencies outside the criminal justice system.

As a result of this demonstration, documentation will be provided on the processes of instituting diversion, sources of support and resistance, and unanticipated effects. Training procedures and educational materials will be developed which could be utilized in other communities.

In addition, the success of the program would illustrate the potential benefits accruing from decentralization in delivery of services, the team planning-treatment approach, and coordination of service functions now provided by independent youth-serving agencies. While these approaches were advocated over five years ago by the Governor's Special Committee on Criminal Offenders, only slight movement has occurred in implementing such recommendations. The success of the project, therefore, would have implications not only for other metropolitan areas but for the reorganization of statewide services in the criminal justice field.

III. Methods and Timetables

Stages for the implementation of the project will be as follows:

- Month (1) A) 1. Begin detailed planning of training component one month prior to reorganization - Project Director and Training Contractor.
2. Identify and organize representatives and detached workers from the allied services who will be working with the probation teams - Research Analyst.
3. Diversion Specialist - literature and material to assist probation team.
- Month (2) B) 1. Reorganization of Family Court Probation - new staff assignments.
2. Start Part I of training component.
3. Open satellite office in experimental catchment area.
4. Make contact with community resources including Y.S.S. - Diversion Specialist.
- Months (3-4) C) 1. Training continues finish part I and start 3 day labs.
2. Allied team representatives integrated with probation team in experimental area - Probation Research Analyst
3. Diversion specialist works with team beginning to develop specific diversion proposals.
4. Begin study of new cohorts in experimental and control areas - SUNY-A Diversion staff.

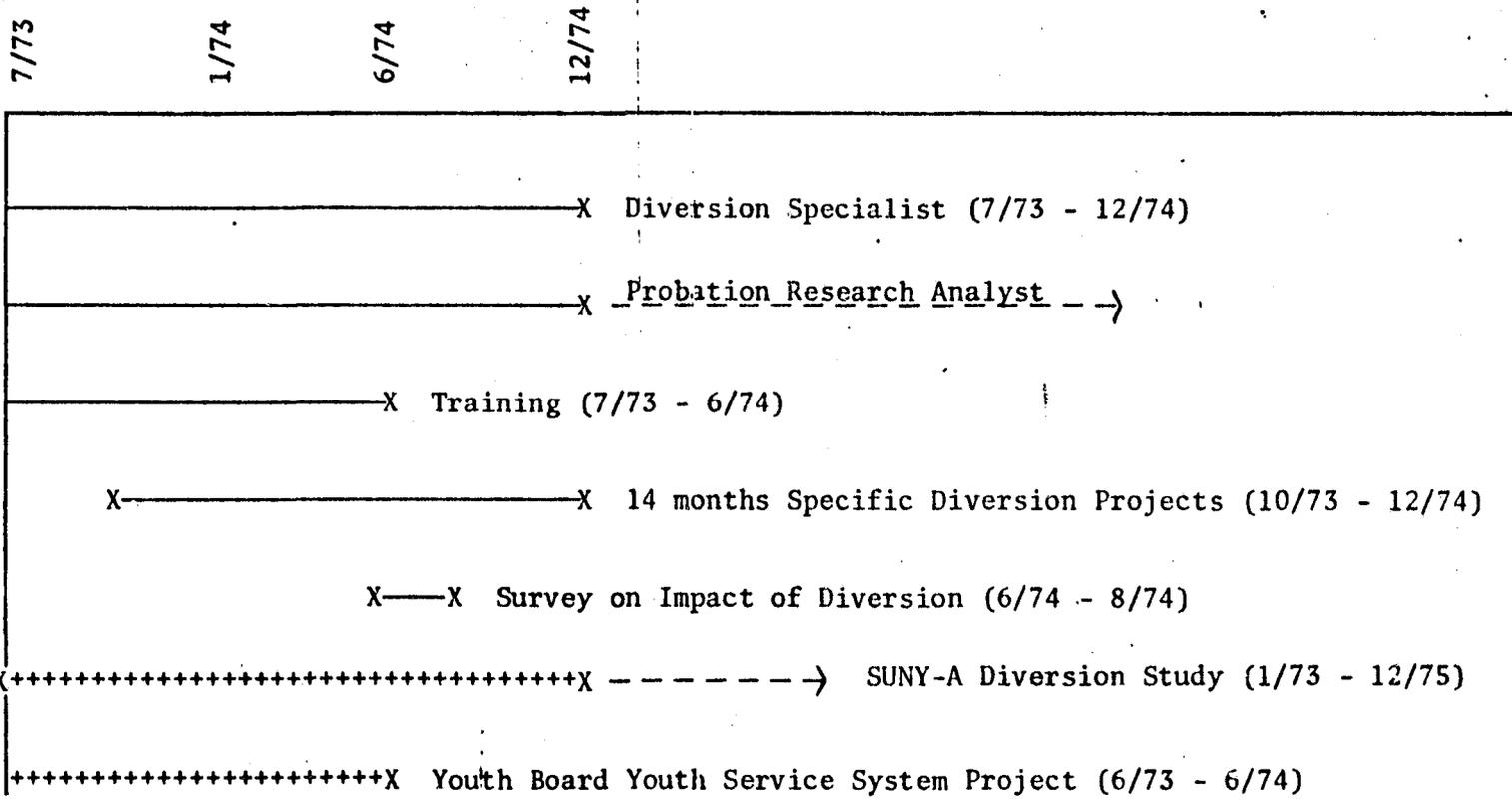
- Months (5-6) D) 1. Staff training continues into step four - the Implementation/Consultation Laboratories.
2. Proposal for specific diversion project in experimental area submitted for funding.
3. SUNY-A Study staff continue cohort analysis and begin development of instruments for survey.

- Months (7-10) E) 1. Staff training continues in step four.
2. Diversions funded and implemented (staffing, planning, and into operation in one month) under supervision of probation team and diversion specialist.
3. Interim project report prepared and submitted to L.E.A.A. - Probation Research Analyst and Project Director.
4. Instruments for survey completed and approved Temporary Research Assistants hired.

- Months (11-15) F) 1. Final Report on staff training submitted to L.E.A.A. - Training Contractor and Project Director.
2. Survey of attitudes towards allied services and diversion and clients of operators of juvenile justice system begins.
3. Interim Report on diversion projects are submitted to L.E.A.A. - Diversion Specialist and Project Director.

- Months (16-18) G) 1. Results of attitudes survey submitted to L.E.A.A. - Probation Research Analyst.
2. Final report on diversion projects - diversion specialist and project director.
3. Final report on project, including interim results from SUNY-A diversion study due to L.E.A.A. one month after the end of the project.

TIME LINE FOR MONROE COUNTY FAMILY COURT PROJECT



KEY
 _____ Project component. - - - - - Continues before or after project ++++++ Project link.

IV. Evaluation

A. Evaluation of Training

The training component will be evaluated by the training contractor. The general design and progress will be monitored by the Program Review Committee. During the planning month, specific criteria and dimensions to be incorporated in the evaluation design will be developed and reviewed.

In general the procedure of evaluation followed by the training contractor is based upon participant response which is utilized both for immediate feedback purposes and as an indicator of attitudinal and information change resulting from the training program. Among the dimensions which may be assessed are:

- (1) increases in problem solving skills within a group context
- (2) wider sharing of relevant information
- (3) increased role adaptability
- (4) increasing motivation and creativity.

(For more details concerning the style and strategy of participant evaluation see Juvenile Court Institutes: A Training Project in Juvenile Justice, NCCD, 1971.)

B. Evaluation of Diversion Outcomes

Three major outcome areas will be evaluated.

- (1) net impact on the client population,
- (2) specific inputs on selected client populations, and
- (3) alterations in the perceptions of juvenile misdeeds and appropriate community responses by
 - (a) involved agency personnel
 - (b) neighborhood residents

1. Net Impact

As part of the evaluation design of the SUNY-A Diversion study, an analysis is being conducted of the flow of juveniles into the police and court system. Baseline measures have been obtained for a three-month period prior to the diversion project and similar data will be obtained for a second time period (approximately 15 months after the beginning of the diversion project).

A comparison will be made of the "pre" and "post" cohort data to determine whether significant changes occurred in processing patterns. An appraisal will be made as to whether diversion results in enmeshing fewer juveniles in the criminal justice system. If fewer juveniles are involved, efforts will be made to determine whether this is a result of "benign neglect" or of the referral to other treatment resources.

One criterion of program impact will be provided by the recidivism rate of first offenders. A comparison will be made of

the results -- pre and post program -- in the experimental area as compared to the control area.

Reports prepared by SUNY-A Diversion Study staff will be made available to the Program Development and Research Coordinator, Director of the Pilot City Program, and to L.E.A.A. Region II.

2. Specific Impacts

During the planning phase, a selection will be made of a limited number of diversion projects for specific funding. The training staff, the Program Coordinator, and the team members in the experimental area will participate in diagnosing problems and exploring alternate treatment strategies. It would be premature to specify whether school diversion proposals, community court-restitution panels, or more extensive use of volunteers in informal probation would be among the remedies proposed.

Some of the specific diversion projects are likely to involve the use of a limited number of additional personnel. When such plans are proposed, additional funds will be sought for a limited time period. The Program Review Committee will recommend the priority to be given to such projects.

To the extent that it is feasible, such projects which focus on a selected number of clients will be evaluated by procedures involving random assignment of eligibles to the new procedure. These evaluation designs will be developed by the Program development coordinator and reviewed by the Program Review Committee.

3. Changes in Agency and Community Perceptions

In addition to producing changes which may be traced within the client population, the program may alter the perceptions of juvenile misdeeds and appropriate community responses.

- a. As part of the battery of instruments to be administered to probation staff and allied services representatives, an instrument will be developed to test whether changes occur in the definition of those juvenile problems which require insertion into the juvenile justice system. Such an instrument will be developed to assess both the cognitive and attitude-value dimensions involved in such a definition.

This instrument will be administered early in the training period and be readministered approximately one year later. An evaluation will be made as to whether the changes occurring in area "B" personnel are greater than those occurring in personnel assigned to other catchment areas.

The instrument will be administered during the training sessions. Analyses will be conducted under the direction of the Program Coordinator, and reports will be made to the Program Review Committee.

- b. The acceptability of diversion as a strategy will be assessed not only by clients and professional staff; the acceptability will also be judged by neighborhood residents. Two important

indicators of the viability of diversion strategies are changes in neighborhood residents' perceptions as to the seriousness of the juvenile "crime problem" and their satisfaction with the performance of youth-serving agencies--including components of the juvenile justice system.

Plans are currently in progress for the development of a short battery of questions to be incorporated as a supplement to the Fall 1973 Community Survey to be conducted as part of the PAC-TAC project. These responses will provide a pre-program measure for the current project. Following nine months of program operation, the battery will be readministered to a sample of the community residents (Summer 1974). Analysis will focus on differences between the experimental and control catchment areas in changes between the pre-and post-program survey.

Responsibility for the development of this battery of questions will be assumed by SUNY-A Diversion Study staff in consultation with Pilot City and PAC-TAC research staff. Analyses will be conducted by SUNY-A Diversion Study staff, and reports will be made to the Program Review Committee.

The Program Development and Research Coordinator will report to a four-member committee made up of (a) the Administrative Judge of the Monroe County Family Court; (b) the Executive Director of the Monroe County Family Court; (c) the Director of the Pilot City Project of Rochester; and (d) a Faculty Representative of the SUNY-A School of Criminal Justice Diversion Project.

c. On-going Evaluation of Model Building. There are three crucial elements in the development and assessment of an innovative program. Program goals and methods must be well conceptualized and the normal, periodic redefinition of goals and tasks carefully recorded. Then, when the operational decisions and measurements of results are reported, the operating agency and the funding agency will know what "worked" and/or "did not work" and so that, if successful, the program can be replicated. It is also crucial that the program be monitored in order to guarantee that the intended program is, in fact, carried out. A third crucial element in maximizing the payoff of innovative programs is that information from research findings be fed back and integrated into the on-going operations so that rational program development and change can occur.

This process of action research cannot be left to final reports but is a constant necessity for flexible and dynamic programming. However, it is often true that the elements of that action research (the data which became a basis for change, the task conceptualization, the decision points and decision makers, and the management strategies for change which are used) are often not recorded with the result that the very process which led to successful results and innovative programs is lost for those who want to replicate a worthwhile model.

It will be the responsibility of the Program Development

and Research Coordinator to gather and record the "process" information on a monthly basis and to make it a part of his regular reports to the Program Review Committee. The administration of appropriate instruments for measuring these processes will also be part of the evaluation responsibilities of the Program Development and Research Coordinator.

The final report of this project will include measurements of the results of the training component and the specific diversions as well as a detailed description of the critical action research processes through which the model developed. The model will then be complete; not only description and careful measurements of what happened, but how and why, as well.

Experimental and Control Areas

The Monroe County Family Court Probation Project will be placed in an experimental framework necessary to assess the effects of the project. The following material, drawn from the baseline data of the SUNY-A-Diversion Study, provides some descriptive information about the juvenile justice system in the context of a statistical overview of the four mental health catchment areas in Rochester.

Because of the similarity of catchment areas "A" and "B", one will be selected as the experimental area and one as a control area. The satellite office will be located in the experimental area

and the probation teams will work from this office. The control area will include the same basic team probation services but will not have an allied services program or the specific diversion program.

Description of Service Areas

A number of agencies serving Monroe County have considered it desirable to decentralize the delivery of their services on a geographic area basis. For example, four comprehensive community mental health centers have been located so that each is responsible for the provision of services to residents of one of the quadrants or "service areas" of the county. These service areas are particularly relevant since the probation department of Family Court is planning to utilize the same four service areas in establishing a decentralized delivery of services and supervision.

Each service area was created from groups of contiguous census tracts. The areas comprise pie-shaped sectors or quadrants so that each includes some inner-city tracts, city-periphery tracts, and suburban tracts. (See Figure I for a map of Rochester and Monroe County indicating the four service areas and the census tracts within each.)

The portions of each service area located within the City of Rochester are roughly equal in size. However, the juvenile population tends to be somewhat more concentrated within areas B (32%) and A (27%) than in areas C (18%) and D (23%). Note Table 1.

Figure 1

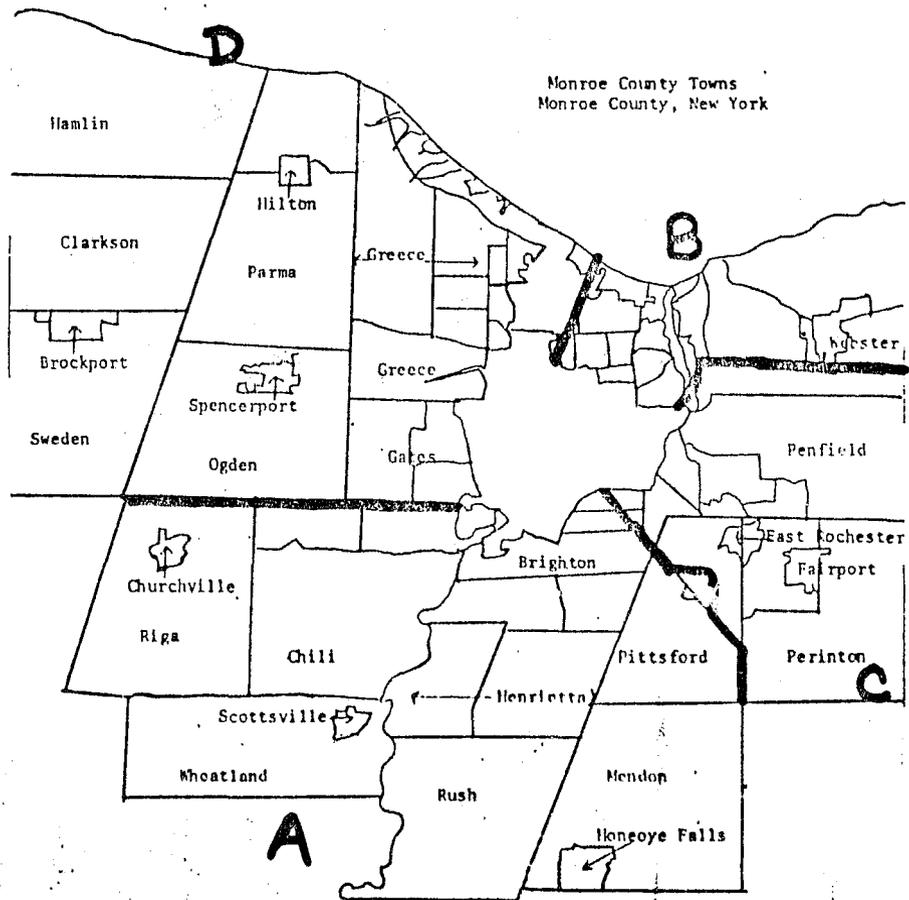
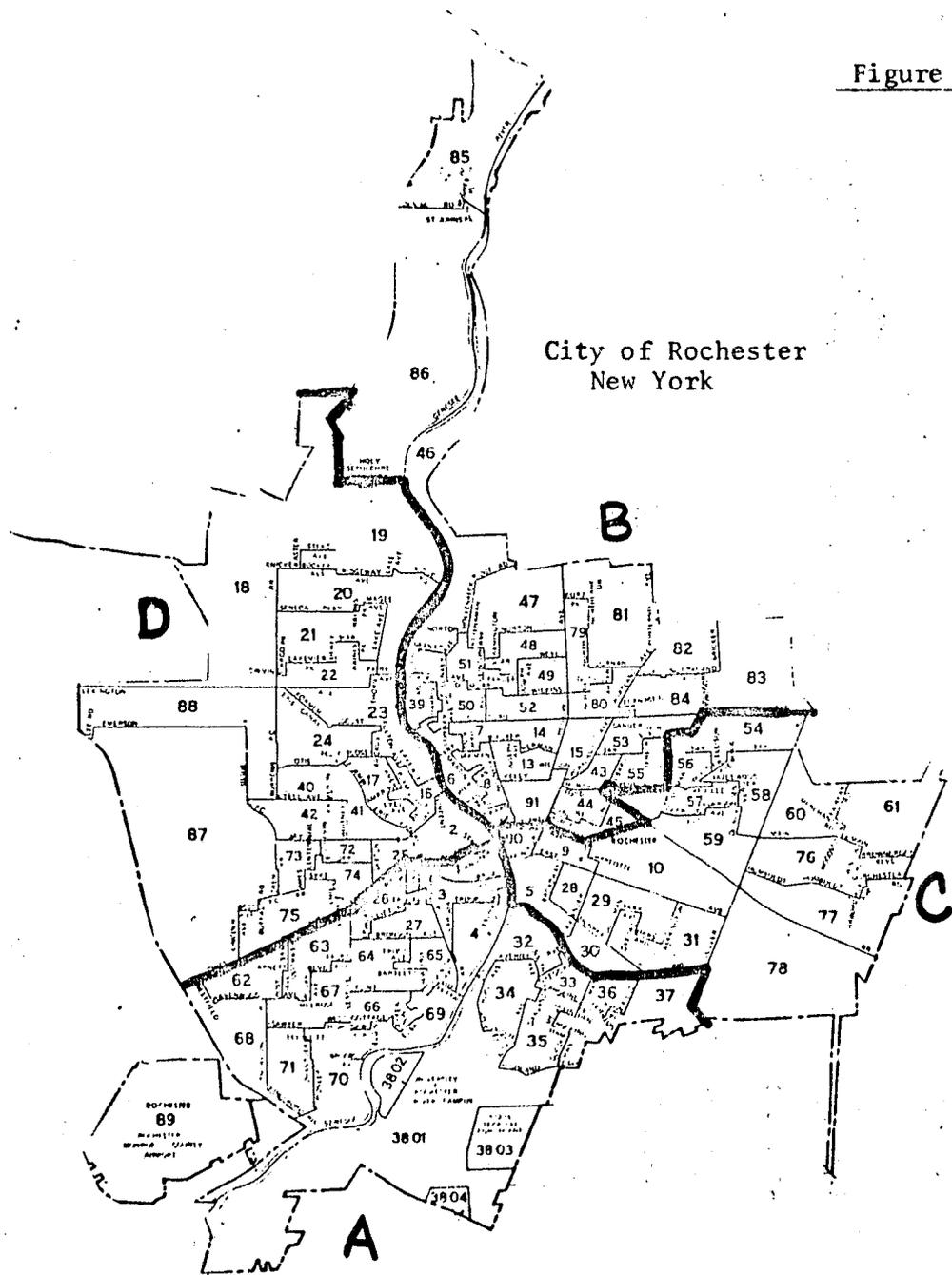


Table 1 Total Population and Juvenile Population of Service Areas, Rochester, N.Y., 1970

Service Area	Total Population	Youth Age 7-15	% of City Youth Population
A	73,377	11,821	27%
B	87,576	14,051	32%
C	63,208	7,852	18%
D	65,635	9,725	23%
	289,796	43,449	100%

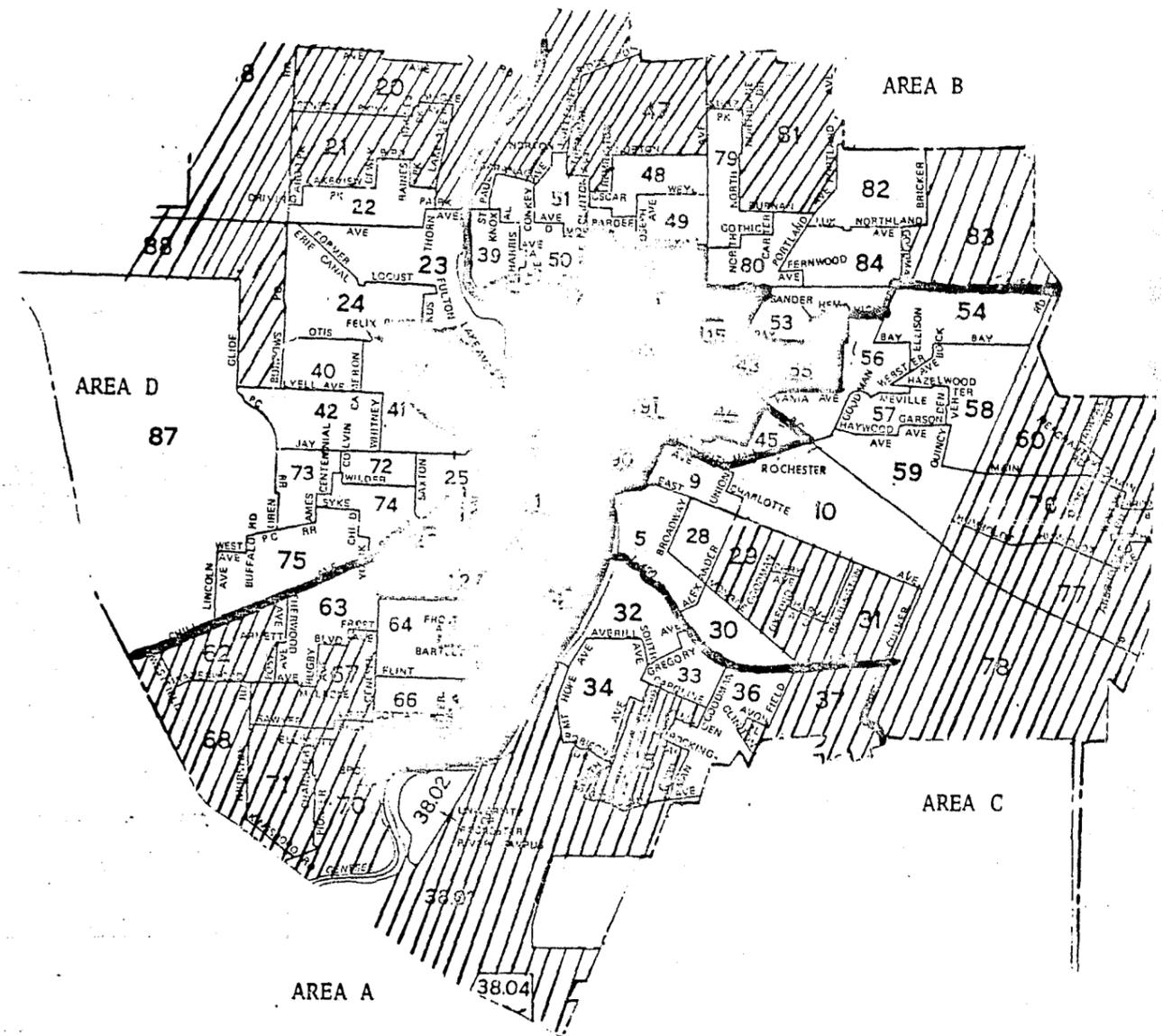
While each of the four areas is quite heterogenous in population characteristics since each includes some inner-city and peripheral tracts, the areas differ in their concentrations of racial and economic groups. For example, inspections of Table 2 and Figure II reveal that area B has the highest concentration of low socio-economic tracts.*

Table 2 Socio-Economic Level of census Tracts Located in Four Service Areas, Rochester, N.Y., 1970

Socio-Economic Level	Service Areas				
	A	B	C	D	ALL
High	8	6	7	4	25
Medium	7	12	10	11	40
Low	6	10	1	6	23
All Levels	21	28	18	21	88

* The index of socio-economic status is a composite measure based on five indicators: income level, educational level, occupational status, housing value, and rental charges. The detailed procedures will be outlined in a forthcoming report by R. Hardt and J. Seymour, SUNY-A School of Criminal Justice.

ROCHESTER CENSUS TRACTS
by
SERVICE AREA AND SOCIO-ECONOMIC STATUS



Socio-Economic Status (1970)

- Low
- Medium
- High

Table 3 Juvenile Population by Socio-Economic Level of Four Service Areas, Rochester, N.Y., 1970

Socio-Economic Level	Service Area									
	A		B		C		D		All Areas	
	N	%*	N	%*	N	%*	N	%*	N	%*
High	4,291	9.9	3,433	7.9	3,810	8.8	2,928	6.6	14,462	33.3
Medium	4,378	10.1	4,704	10.8	4,042	9.3	5,459	12.6	18,583	42.8
Low	<u>3,152</u>	<u>7.3</u>	<u>5,914</u>	<u>13.6</u>	<u>0,000</u>	<u>0.0</u>	<u>1,338</u>	<u>3.1</u>	<u>10,404</u>	<u>23.9</u>
All Levels	11,821	27.2	14,051	32.3	7,852	18.1	9,725	22.4	43,449	100.0

* The % figures are based on total juvenile population of city (43,449).

In Table 3, the juvenile population is allocated by socio-economic level within each service area. While it may be seen that a substantial number of juveniles in each of the four areas are found in medium and high socio-economic tracts, juveniles in low socio-economic level tracts are concentrated primarily in area B, and secondarily in area A.

The racial composition of the four service areas also differs. Seven tracts in area A and six tracts in area B have a majority of Negro residents; no tract in either area C or area D has a Negro majority. As may be seen in Table 4, the Negro population tends to be concentrated in the low socio-economic sectors of each service area.

Table 4 Percentage of Population Which is Negro Within Each Socio-Economic Sector of the Four Service Areas, Rochester, N.Y. 1970

Socio-Economic Level	Service Areas			
	A	B	C	D
High	8.0%	1.4%	2.0%	1.2%
Medium	39.0%	9.3%	11.2%	5.2%
Low	76.7%	56.3%	19.4%	7.3%
All Levels	33.6%	21.5%	6.5%	4.2%

Youth Problems in Service Areas

In order to gain some indication of the magnitude and geographic distribution of youths who had problems bringing them into contact with the police or court agencies, three items of data were

collected by the Juvenile Justice Project staff: (1) police contacts, (2) court intake, and (3) court placements. In addition, data on juvenile arrests summarized by the Rochester-Monroe County Youth Board were also utilized. A brief description will be presented of each of these three indicators.

(1) Police Contacts -- One unit (the Persons Unit) of the Rochester Police Department has responsibility for processing all cases involving juveniles (youths 7-15). This unit maintains records of all "police contacts" with juveniles who live in the city. A police contact card is completed for a youth when any case involving a youth comes to the attention of a member of the Persons Unit. Many police contacts do not result in further processing through the juvenile justice system as the youth may be given a "reprimand and release" or referred to the Youth Board. Also the officer in the Persons Unit may decide that the youth was not actually involved in the incident (or denied involvement) and a note to that effect is recorded as the "disposition" of the offense.

Project staff were given access to the police contact cards and obtained selected data on all youths who had a police contact during the three month period from Nov. 1, 1972, to January 31, 1973. A total of 504 youths were recorded as having contacts during this period.

(2) Court Intake -- The Family Court of Monroe County has a juvenile intake division which screens all cases involving juveniles coming into the court. In addition to receiving cases forwarded to them by the Rochester Police Department, the court processes petitions filed against youths for delinquent acts by other police agencies and private complainants. In addition, the intake division receives requests for petitions involving "Persons In Need of Supervision" (PINS).

Project staff were given access to the records of the intake division and recorded data on all youths coming into intake on either PINS or delinquent complaints for the three month period from December 1, 1972, through February 28, 1973. A total of 197 youths appeared during this three month period.

(3) Placements -- Family Court maintains a record of all juveniles who are "placed" by the court. Project staff were given access to these files and recorded selected data on all youths who were placed as a result of delinquency or PINS petitions in the period from March 1, 1972, through February 28, 1973. A total of 85 juveniles living in the City of Rochester were "placed" during this period with approximately 90% of this number being institutionalized and the remaining 10% being placed in foster homes.

(4) Arrests -- The Persons Unit makes a record in an arrest file of any juvenile contact which results in a petition being forwarded to Family Court. Thus, the term "arrest" is equivalent to being petitioned to court intake by the police. Arrest figures were most recently compiled by the Rochester-Monroe County Youth Board for 1971. Unlike the previous three indicators, the arrest data is a case count and may include the same individual more than once.

For each of the four indicators, identified youth were allocated to the census tracts in which their residential address was located. Data were aggregated for service areas and socio-economic sectors. Annual rates were then calculated per 1,000 youth utilizing 1970 census data as a base. In order to annualize the three-month contact and intake rates, the results were multiplied by four.* Although the time base for arrests differs from that of the other indicators, it provides one basis for assessing the stability of area differences which are discovered. Rates of youth problems in each of the four service areas are presented in Table 5.

Utilizing contact rates as the most inclusive definition of problems, it may be seen that there is some variation between areas. Area B has the highest rate (52.0) and area C (37.6) the lowest rate. The total city pattern reveals that there is a substantial reduction between contact rates and the two indicators of referral to court rates, viz. court intake and arrests. This reduction provides a crude measure of the degree of police diversion currently being practiced.

*Such a procedure provides a slight over-estimate of the unduplicated rate of individuals appearing in a year since it assumes that none of the three month cohort are "repeaters" during the next nine months.

Table 5 Annual Rates of Youth Problems by Service Area, Rochester, N.Y., 1970

Service Area	Police Contacts	Court Intake	Place-ments	Arrests (1971)
A	45.2	20.0	3.0	18.5
B	52.0	21.1	1.6	16.2
C	37.6	12.0	1.9	9.6
D	<u>46.8</u>	<u>16.0</u>	<u>1.2</u>	<u>7.7</u>
Total City	46.0	18.0	1.9	13.7

In Table 6, the same rates are reported for each of the three socio-economic sectors. The Rochester patterning of the "official" delinquency problem reflects the relationship with socio-economic status discovered in a number of other American cities; viz., lower socio-economic status areas tend to have higher delinquency rates.

Table 6 Annual Rates of Youth Problems by Socio-Economic Sectors, Rochester, N.Y., 1970

Socio-Economic Sectors	Police Contacts	Court Intake	Place-ments	Arrests (1971)
High	23.2	8.0	1.2	4.0
Medium	52.8	20.4	1.6	14.1
Low	<u>66.8</u>	<u>27.6</u>	<u>3.4</u>	<u>26.5</u>
Total City	46.0	18.0	1.9	13.7

A more detailed examination of area variations in delinquency rates is provided in Table 7. Each service area has been divided into three socio-economic sectors. Within each service area, it is low socio-economic sector which tends to have the highest rates of contacts, arrests, and placements.

Table 7 Annual Rates of Youth Problems by Socio-Economic Sectors Within Service Areas, Rochester, N.Y., 1970

Service Area	Soc.-Ec. Level	Police Contacts	Arrests (1971)	Court Intake	Placements
A	High	26.0	5.4	9.2	1.9
A	Medium	62.0	19.0	27.6	2.5
A	Low	46.8	35.9	25.2	5.4
B	High	30.4	3.2	9.2	0.6
B	Medium	50.0	15.3	24.8	0.9
B	Low	66.4	24.5	18.8	2.7
C	High	20.0	3.7	5.2	1.6
C	Medium	54.5	15.1	18.8	2.2
C	Low	—	—	—	—
D	High	15.2	3.4	9.6	9.7
D	Medium	46.8	8.6	12.4	1.3
D	Low	116.4	13.5	44.8	2.2

There is one additional indicator of youth problems in the service areas that should be mentioned. Many youths who are adjudicated as delinquent or PINS are placed on probation by Family Court. Project staff were able to gather data on the youths recorded on the caseloads of all Family Court Probation Officers as of a particular day in March, 1973. These data do not allow the computation of an annual rate as was done for police contacts, arrests, intake, and placement. However, it was possible to calculate a prevalence rate of probation cases by service areas for a given point in time. See Table 8 below:

Table 8 Rate (per 1,000 youths) of Youths on Probation by Socio-Economic Levels within Service Areas as of March 1, 1973

Socio-Economic Level	Service Area				
	A	B	C	D	All Areas
High	4.1	1.7	3.4	2.7	3.1
Medium	8.6	6.1	7.4	6.0	6.9
Low	8.2	9.9	—	7.4	9.1
All Levels	6.9	6.6	5.4	5.2	6.2

The table above indicates that the low socio-economic areas have the highest rate of probation and the low socio-economic sector of area B has the highest rate in the city (9.9).

Table 9 is given below to indicate the actual number of juveniles on probation in the socio-economic sectors within each service area. Note again the large number (59) of juveniles on probation in the low sector of area B. This number represents 22% of the caseload of Family Court.

Table 9 Juveniles on Probation as of March 1, 1973, by Socio-Economic Levels within Service Areas

Socio-Economic Level	Service Area				All Areas
	A	B	C	D	
High	18	6	13	8	45
Medium	38	29	30	33	130
Low	26	59	0	10	95
All Levels	82	94	43	51	270

Thus, the baseline data currently assembled suggests that service areas A and B have higher rates of officially noted youth problems and that the low socio-economic sectors of these two areas have particularly high rates. For example, the low census tracts of area B have only 13% of the population of youths 7-15 in the city and yet:

- 20% of all police contacts occur in those tracts
- 24% of all arrests occur in those tracts
- 19% of all intake cases occur from those tracts
- 22% of all probation cases occur from those tracts
- 19% of all placements occur from those tracts

Furthermore, within area B, the low socio-economic census tracts have only 42% of the population of area B and yet these tracts have:

- 54% of all area B police contacts
- 64% of all area B arrests
- 50% of all area B court intake cases
- 73% of all area B placements
- 63% of all area B probation cases

END