

77-CNY-1228

PROGRAM ANALYSIS AND REVIEW

Final Report

CHAUTAUQUA COUNTY PROBATION DEPARTMENT

December 1976

48487



STATE OF NEW YORK
DIVISION OF PROBATION
TOWER BUILDING
EMPIRE STATE PLAZA
ALBANY, NEW YORK 12223

ROBERT F. SULLIVAN
Acting State Director of Probation

LETTER OF TRANSMITTAL

December 16, 1976

Mr. Carmelo J. Basile
Director of Probation
Chautauqua County Probation
Department
Court House, EB-30
Mayville, New York 14757

Dear Carm:

Joint State Division-Chautauqua County Probation review of the draft PAR report on your Department has been completed. You and your staff are to be commended for your capable and constructive participation in the PAR process.

We have concurred at the joint review that you will share this final report with appropriate County officials and members of your staff.

This final report, presented in summary form, reflects the consensus on findings and recommendations reached at the joint review. It highlights your Department's assets, identifies the very few problem areas, and recommends corrective directions. It includes your plan of action for implementing the few recommendations and your time schedule for doing so. The report does not include the detailed findings and recommendations by the PAR Team. These may be referred to in the August, 1976, draft PAR report.

This report contains an overview of your Department's organization, staffing and services. The PAR findings reveal a refreshingly up-to-date and very effective Probation Department. Most administrative and service delivery functions

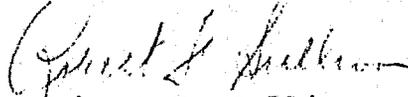
Mr. Carmelo J. Basile

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December 16, 1976

meet the established probation standards/rules and frequently go beyond these minimum requirements. Even in the few areas where recommendations are made, these recommendations will have been implemented prior to the issuance of this final report. Again, you and your staff are to be complimented!

Sincerely yours,



Robert F. Sullivan
Acting State Director of Probation

PROGRAM ANALYSIS and REVIEW
of
PROBATION ADMINISTRATION and SERVICES
of the
CAHUTAUQUA COUNTY PROBATION DEPARTMENT

Final Report

New York State Division of Probation PAR Team

December 1976

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INTRODUCTION

Purpose, Process and Method

Purpose, Process and Method

This report presents the findings of the Program Analysis and Review (PAR) Team's operations review of the Chautauqua County Probation Department. The application of program analysis and review in Chautauqua County is pursuant to a renewal of a grant by the New York State Crime Control Board to the State Division of Probation. PAR was conducted in the large urban counties under the original grant. The PAR Team selected Chautauqua, one of fourteen departments serving moderately sized counties, to participate in the PAR process during the grant renewal period.

The PAR process is a systematic means of identifying a probation department's programmatic strengths and deficiencies through an assessment of the degree to which the department's practice conforms to specified state standards. Such standards are presented in the Manual of Probation Goals and Standards which was issued by the Division of Probation in January, 1975. The standards reflect contemporary attitudes, values and concepts in probation administration and services and to a great extent differ from previous standards. Deficiencies which may be revealed through PAR at the present time may arise not because of the Department's failure to abide by standards, but because of the changes in standards to which it may not yet have had opportunity to adapt. Such deficiencies are not to be weighed against the department but are to be seen as areas requiring adjustment.

The Program Analysis and Review process consists of two elements: the local probation department's self-evaluation of its practice and performance utilizing evaluation instruments derived from the standards in the Manual and an independent examination of the department's administration, personnel and probation services by the Division of Probation PAR Team.

PAR was conducted in Chautauqua County in June, 1976. The Department determined its conformity to a total of 147 standards. The Division PAR Team limited its examination to include 93 standards, or approximately 60%, of the standards from the Manual.

The Department approached its self-evaluation with a very high degree of interest. Approximately twenty-two Department staff participated. Before conducting the formal self-evaluation, Department staff went through a "dry run." In both phases of the self-evaluation, staff from all levels and functions participated.

Three to four staff members were assigned to rate the Department's conformity, as they perceived it, to standards pertaining to twenty functions of probation administration and service. Whatever ratings the majority of raters supplied prevailed as the conclusive Department self-evaluation ratings.

The review by the Division's PAR Team was based as far as possible on the Department's performance and practice during the six months prior to June. Examination techniques included observation, interviews and review of sundry documents and records. Observations were made of such things as the size, arrangement and conditions of working quarters, the security arrangements for case files, the density of staff and clientele in the corridors, waiting areas and interview rooms and staff activity.

Interviews were conducted with the Director of Probation, the Probation Supervisor, the PROP Project Director, the two senior probation officers and selected probation officers and clerical staff representing all administrative and service functions of the Department. Interviews were also conducted with representatives of the county Department of Personnel, Mental Health Department, one Family Court Judge and the County Court Judge.

Examination was conducted of a variety of documents and records including administrative procedures, memoranda, correspondence, personnel files and case records. A 7.5% random sample of closed and active December, 1975 - May, 1976, intake-diversion, investigation and supervision records were reviewed.

The results of the review by the Division Team are presented in the findings and recommendations later in the report. These include an extensive analysis of the Department's practices as they are measured against the standards and discussions presented in the Manual. The ninety-three standards selected for review represent that minimum of standards, in the judgment of the Team, necessary

to obtain a significant and meaningful measure of the Department's achievements in meeting the goals specified in the Manual.

The report is divided into two sections. Part A contains a general description of the County and the Department and a summary of the major findings and recommendations as they relate to each of the twenty probation goals. Part B presents the detailed findings pertaining to the Department's conformity to the standards reviewed presented on a chapter basis. Specific recommendations appear at the end of each chapter.

PART A

1. GENERAL DESCRIPTION

of

The Probation Department

The Area and the Population
Socio-economic and Criminal Justice Features

Chautauqua County, located on the western most tip of New York State, is part of the four county Buffalo Area - the top ranking industrial and commercial center of upstate New York. While exhibiting many elements of a rural county, Chautauqua's proximity to Buffalo and Lake Erie considerably contribute to the growth and development of its commercial sector.

Manufacturing is a major employer of county residents. Much of the manufacturing is centered around Jamestown which is a major furniture manufacturing and marketing hub for the region. Dunkirk, well situated on Lake Erie, is a center for such heavy industrial production as stainless steel bars and wires and boilers.

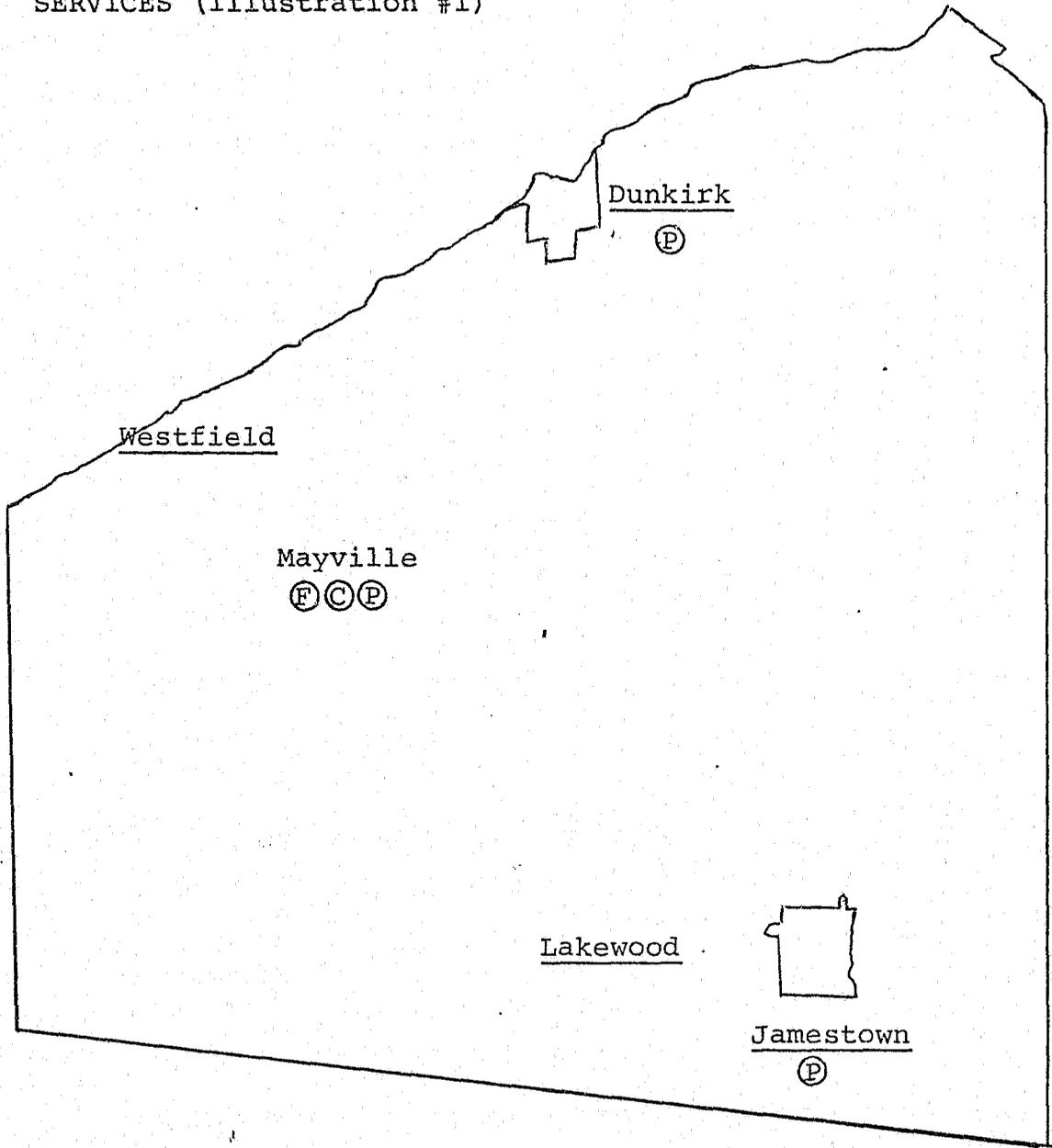
Agriculture is also a significant component to the County's economy. Noted for dairying and fruit growing, Chautauqua is a leader in grape production. Another economic asset is Lake Chautauqua, a leading resort area in the region and home of the famous Chautauqua Institute.

The County's population - approximately 150,000 - has remained virtually the same in the past several years, growing by less than 7% since 1960. The County does realize a large increase during the summer months, nearly doubling at the peak of the season. Approximately 45% of the County's residents live in areas designated as rural by the U.S. Bureau of the Census. The major population centers are the cities of Jamestown (40,000) and Dunkirk (17,000) and the Villages of Fredonia (10,000), Lakewood (4,000), Westfield (3,700) and Silver Creek (3,100).

The Probation Department's clientele are located in the more densely populated cities and villages, notably Jamestown, Dunkirk and Westfield which together contain 90% of the probation caseload (see Illustration #1).

County and Family Courts, accounting for approximately 40% of the Probation Department's workload, are located in Mayville. Other courts significantly contributing to the Department's workload are Jamestown and Dunkirk City Courts and the Busti Town Court.

DISTRIBUTION OF CHAUTAUQUA COUNTY
PROBATION DEPARTMENT'S CLIENT
POPULATION AND THE LOCATION
OF MAJOR COURTS AND PROBATION
SERVICES (Illustration #1)



Legend

- C - County Court
- F - Family Court
- P - Probation Department

Lakewood - Area containing the highest concentration of probationers

The Department's Central Offices are located in the County Office Building in Mayville. The Department also has Branch Offices in Jamestown and Dunkirk (see Illustration #1).

The Probation Department Organization

The Chautauqua County Probation Department employs a total of 36 persons. Of this number, 19 are in the professional category, 5 are paraprofessionals and 12 are non-professionals. More than half of the staff (20) perform administrative and clerical while the remainder (16) conduct the Department's service functions. Department staff are organized as follows:

	<u>Administrative</u>	<u>Service</u>	<u>Total</u>
A. Director	1		1
B. Probation Supervisor	1		1
C. Project Director	1		1
D. Senior Probation Officer		2	2
E. Probation Officer		9	9
F. Probation Counsellor		5	5
G. Support Officer	1		1
H. Financial Investigator	4		4
I. Clerical and Stenographic	12		12
	<u>20</u>	<u>16</u>	<u>36</u>

The Probation Department consists of a Director, a Probation Services section, a Probation Rehabilitation Offender Program project section and a Support Bureau. Most of the administrative personnel, including the Director, the Probation Supervisor, most Support Bureau and clerical staff are located in the Mayville Central Office. One probation officer is also assigned to the Mayville Office. The remainder of the staff are located in the Branch Offices in Jamestown and Dunkirk. All professional staff from the two Branch Offices except the two part-time officers have a designated day each week to be in the Mayville Central Office.

The Director is in the competitive class and reports directly to the County Executive. The Director is responsible for most of the Department's administrative functions and is assisted by the Probation Supervisor.

The Probation Supervisor is responsible for the Probation Services section and supervises both Senior Probation Officers and three line officers. In addition, the Probation Supervisor performs the screening function for intake referrals from the Mayville area. Each Senior Probation Officer is assigned a Branch Office and is responsible for supervising the staff assigned to that office including two line officers and a part-time officer who performs Family Court intake screening and counselling services. The Senior Probation Officers and line officers maintain mixed caseloads of juvenile and adult investigation and supervision cases. In addition, the Senior Probation Officers perform the Family Court intake screening function for referrals in their Branch Office.

The Probation Rehabilitation Offender Program (PROP) is a federally funded project operated by the Department to provide adult misdemeanor and juvenile diversion, pre-trial release, and jail programs consisting of counselling, recreation, education and work release. The PROP project is staffed by a Project Director, five probation counsellors and two stenographers. The Project Director is responsible for the project operations, supervises the PROP staff and screens diversion and pre-trial release cases. The Project Director is based in the Jamestown Branch Office but is frequently in the Mayville Central Office. Three probation counsellors, two in Jamestown and one in Dunkirk, provide all juvenile and adult misdemeanor diversion and pre-trial release services. Two probation counsellors in Mayville provide the jail program services.

The Support Bureau is headed by a Support Officer and consists of four financial investigators (one of whom is paid by the CETA program) a Senior Account Clerk Typist and two account clerk typists.

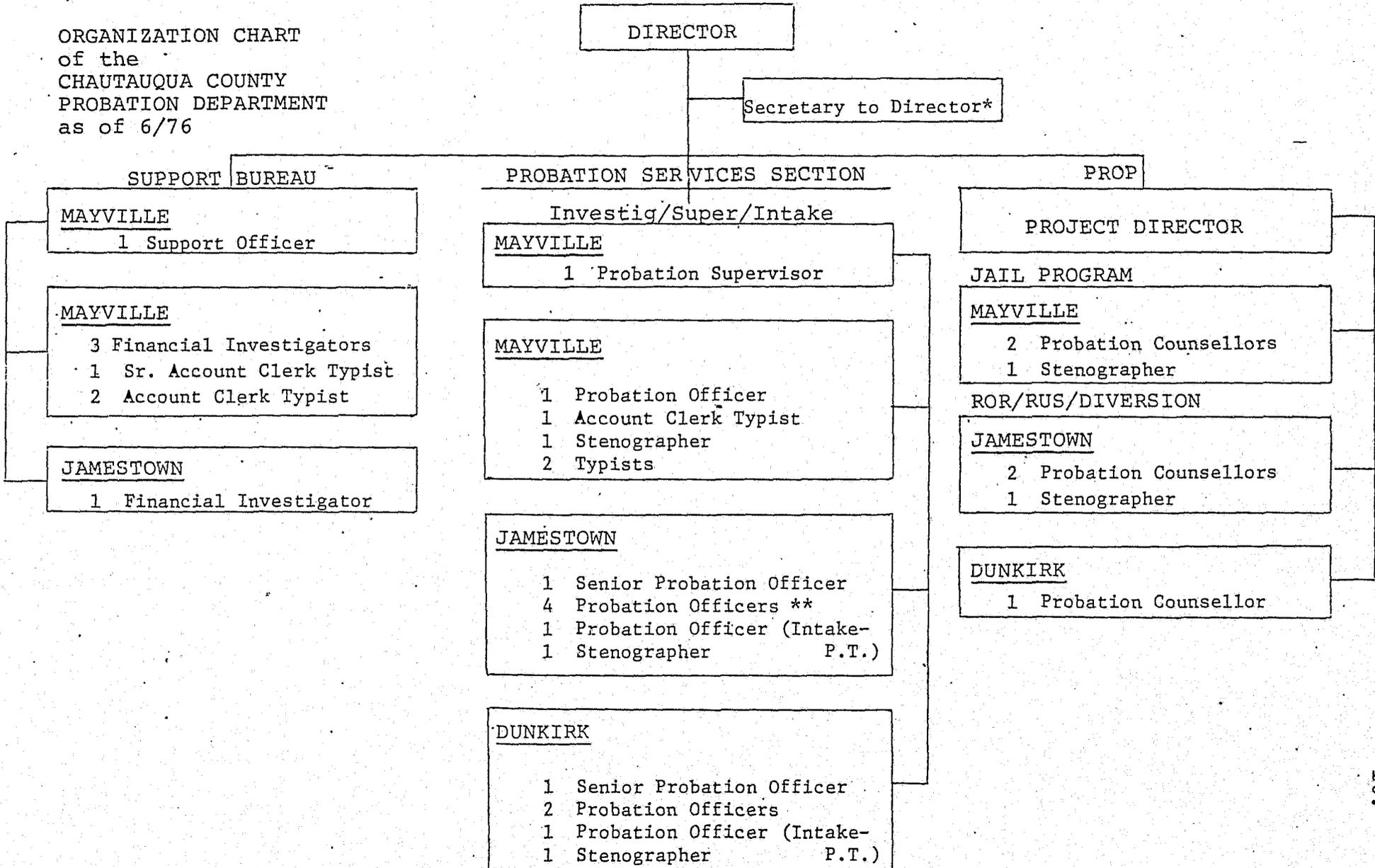
The Secretary to the Director has general supervisory responsibility over the clerical and stenographic personnel. There are two typists, two stenographers and an account clerk typist in the Mayville Office; one stenographer in the Dunkirk Office and two stenographers in the Jamestown Office (see Illustration #2).

The Department is in the Executive Branch of the County government. The County approved \$298,217 for the Department's operations in 1976. State reimbursement to the County for 1975 amounted to approximately \$135,036.



(Illustration #2)

ORGANIZATION CHART
of the
CHAUTAUQUA COUNTY
PROBATION DEPARTMENT
as of 6/76



* - Secretary to Director supervises the Stenographic staff
** - 2 Probation Officers in Jamestown supervised directly by Probation Supervisor

Services and Workload

The purpose of intake is to screen referrals from police, parents, schools and other complainants in order to determine whether they should be immediately petitioned to Family Court, opened for counselling and possible adjustment without Court action or referred to an appropriate community agency for services. Family Court intake cases which are petitioned to Court or adjusted immediately are processed by regular Department staff. Juvenile cases which are opened for more extended periods of counselling are handled by the Department's federally funded Probation Rehabilitation Offender Program (PROB) staff. During the six months prior to June, 1976, the Department processed 650 cases at intake of which 45% were forwarded to Family Court for formal processing and 55% were diverted. Of the 335 cases which were diverted, 124 juvenile cases were referred to PROB staff for more extended diversion services.

The pre-sentence investigation and report (called pre-disposition report for juveniles) is the gathering, verification and compilation of a defendant's legal and social history, usually accompanied by a recommendation which is used to assist the judge in determining an appropriate disposition. A total of 344 pre-sentence and pre-disposition investigations were completed between December, 1975, and May, 1976; 71 for Family Court, 63 for County Court and 210 for local criminal courts.

The function of probation supervision is to monitor the probationer's compliance with conditions of probation as imposed by the court and to provide services to the probationer in order to promote socially acceptable community behavior. The supervision caseload for December, 1975 - May, 1976, totaled 623 probationers, 489, or 80%, with criminal convictions and 134 with Family Court adjudications. The Department has assigned probationers to categories of supervision in accordance with the State Division's Differential Supervision program. During this review period, the Department filed 20 violations of probation (nine based on new offenses and ten based on technical violations of the conditions of probation). Probation was revoked in five cases during the review period.

The Support Bureau collects and disburses all support, restitutions, ~~lines~~ and other monies ordered to be paid by the courts. During the six months preceding June, 1976, the

Bureau processed approximately 2245 support cases and collected nearly three-quarters of a million dollars in support payments, fines, restitution and other monies.

In addition to providing usual probation services, the Department operates a multi-component Probation Rehabilitation Offender Program (PROP). The major elements of PROP are: Adult Misdemeanor Diversion; Juvenile Diversion, Pre-trial Release, which includes Release on Recognizance (ROR) and Release under Supervision (RUS); and the Jail Program. The purpose of the diversion programs is to provide intensive counselling services to selected adults charged with misdemeanors and juveniles falling under Family Court jurisdiction prior to court appearance in an attempt to avoid formal court processing. The Pre-trial Release programs provide selected offenders with the opportunity to be released from detention pending court appearance. Under RUS, persons selected must report periodically to Department staff and abide by conditions to which they agree prior to being released. Services provided under the Jail Program in the County Jail include counselling, recreation, education and release.

The Department is also responsible for the operation of the Robert N. Palmer Youth Facility which is a 48 hour secure holdover detention facility for juveniles aged 7-16 and two non-secure detention facilities or foster homes.

The Department utilizes student interns and volunteers in supplementing probation staff in providing all services. Six volunteers presently work in the Department while generally four interns are assigned to the Department during the school year.

Client Population Characteristics

The following summary of client characteristics is based on a survey conducted by the PAR Team of a 7.5% sample of persons receiving post-adjudicatory supervision during December, 1975 - May, 1976.

Personal Characteristics

Adults: Approximately 90% of the Department's adult caseload are male; 83% of the adults sampled are white. Approximately 42% of the adult caseload are between the ages of 16-18; 46% are between 19-25 and 12% are older than 25. Approximately 80% of the adults sampled are single, divorced or separated; 20% are married.

Juveniles: Two-thirds of the juvenile client population (JD and PINS cases under probation supervision) are male; all are white; 62% are 15 years of age, 25% are 14 and 30% are 13 or younger.

Education and Employment

Adults: Approximately 16% of the adult caseload is still in school; two-thirds dropped out of school before graduating from high school; 16% graduated from high school while 12% have some college. When arrested, 60% of the adult caseload not in school were unemployed; 10% had part-time jobs and 30% had full-time jobs. When sentenced, 45% of the adults not in school were unemployed; 15% had part-time jobs and 40% had full-time jobs.

Juveniles: All of the juveniles sampled attended school when placed on probation.

Offense and Prior Record

Adults: Slightly over one-half of the adult probationers are arrested for property offenses of which Burglary (33% of all offenses) and Petit Larceny (12%) are the most common. One-quarter of the adults are arrested for crimes involving sex or violence of which assault (20%) is the most common. Approximately 12% are arrested for crimes relating to alcohol or drug abuse.

Approximately one-third of the adults placed on probation are sentenced as Youthful Offenders. Of this group, 63% are found to have committed property offenses of which Burglary, Criminal Trespass and Petit Larceny are most common. Approximately one-quarter of the Youthful Offenders commit crimes involving violence. Of the adults not sentenced as Youthful Offenders, half are convicted of property offenses, one-quarter are convicted of crimes of violence and 16% are convicted of crimes involving alcohol or drug abuse. One-third of the adult probation caseload have no prior criminal history or history of juvenile intake or petitions; 8% have a history of juvenile or adult intake or juvenile petition only; 20% have records of adult arrest only; one-quarter have prior convictions as adults while 16% have a prior history of probation.

Juveniles: Approximately 63% of the juvenile probation cases sampled are placed on probation on the basis of a petition filed for Juvenile Delinquency. Half the juveniles placed on probation for delinquency were involved with property offense, most commonly for Burglary and larceny related offenses. Approximately 37% of the juveniles are placed on probation on the basis of a PINS petition, most commonly for Truancy and Runaway. Only 14% of the juveniles sampled were previously known to the Department based on a history of intake or prior probation supervision.

PART A

2. SUMMARY

of

Findings and Recommendations

by Goals

The Manual of Probation Goals and Standards states that it is the purpose of the Probation Department to protect the safety and property of persons by prevention of juvenile delinquency and adult crime and related family malfunctioning with maximum effectiveness and at reasonable cost. Twenty probation functions and attendant goals are identified. The achievement of the goals provides direction toward realization of the broad purpose and conformity to the standards provides the means for achieving the goals.

In this section of the report, a broad overview is presented of the Chautauqua County Probation Department's achievements and performance as they are related to attainment of the goals. The overview is developed from the findings made by the Division of Probation PAR Team of the Probation Department's conformity to the standards.

ADMINISTRATION

Organization and Management

The goal of this function is "provide organizational structure and management of probation service for attainment of basic purpose and objectives with effectiveness and economy."

The comparatively small but refreshingly up-to-date Probation Department presents itself as a very effective Department. The Department maintains a policy and procedural manual which has been revised several times since 1958. At present, the Department is developing a new and updated manual to conform to the rules promulgated by the State Division of Probation. It is noteworthy that virtually all professional staff and most clerical staff are involved in the development and writing of the new manual. The Department maintains an organizational chart which is current, accurate, reflects proper organizational placement of units and a realistic chain of command.

Employees attend and participate in regularly scheduled staff meetings. Supervisory level staff meet with the Director on an as needed basis, often weekly. The size of the Department and the open nature of the inter personal relationships between staff permit free and open communications among staff. The Director and supervisory staff continually review and evaluate departmental policies and procedures, service delivery to clients and staff performance. The Director visits both Branch Offices, meets

with staff, observes operations, reviews departmental needs and problems and maintains regular contacts with the courts and other criminal justice agencies. Although most evaluations are done informally, written results of assessments of operations include the PROP evaluation reports, the Annual Program Plan submitted to the State Division of Probation and the revisions of the administrative manual.

PAR findings indicate that the Department should complete the revision of the new administrative manual and prepare and distribute written agendas and meeting minutes for each staff meeting. In addition, the Director should rotate, when feasible, the chairmanship of staff meetings.

Personnel Administration

The goal of this function is "recruit, select, develop and retain a highly qualified, dedicated work force."

The Probation Department utilizes good personnel practices and maintains efficient use of staff. The Chautauqua County Department of Personnel administers all personnel recruitment and examination matters for the Probation Department. The Probation Director works closely with the Department of Personnel and maintains an excellent working relationship with the Personnel Director. A review of the Probation Department's personnel records reveals that employees are recruited, selected and promoted in accordance with Civil Service Laws, Rules and Regulations. The County has adopted an affirmative action program and the Probation Department complies with these principles of equal employment. The Probation Supervisor acts as the Training Coordinator for the Department. All new probation employees receive orientation training and on-the-job training. In addition, professional staff attend training courses at the State Division Training Academy. During the last year, most of the professional staff attended training and development courses provided by the State Training Academy. Presently, the Department is completing plans to conduct a staff development seminar, developed by the administrative staff. The Director hopes to make arrangements for all departmental staff members to attend the seminar. Professional staff are released from performing most clerical functions. The clerical and stenographic staff perform all typing, statistical and routine record-keeping functions.

Planning and Research

The goal of this function is "utilize the planning process and develop information to determine goals and methods for effective achievement of mission and solution of problems."

Planning and research is a viable and ongoing component of the Department's management and administration. Although most planning activities are performed by administrative staff, notably the Director, the Probation Supervisor and the Probation Rehabilitation Offender Program (PROP) Project Director, all levels of staff make significant contributions. The Department also utilizes outside resources such as student interns and consultants to perform planning and research tasks. Close involvement with other public and private agencies, community groups and regional planning agencies enables the Department to integrate its operations with the needs and problems of the community. Through continual assessment of the internal operations and structure of the Department, the Director and administrative staff are able to anticipate program needs, measure effectiveness and make maximum use of available resources.

PAR findings indicate that the Department should issue a single, comprehensive planning document which describe departmental objectives for each function and applies quantifiable criteria in assessing the accomplishments of each function.

Statistics

The goal of this function is "establish an efficient and effective statistical program to maximize decision making in all areas of the probation service."

The Department's system for collecting and reporting statistics is orderly and dependable. Specific staff are assigned responsibility for collecting and tabulating statistics. Stenographic staff in each of the offices maintain case lists and logs from which workload data is derived. The Secretary to the Director tabulates the data and prepares the State Division's DP-30 report each month.

The Department maintains additional statistics beyond those mandated by the State Division. Each year, the Department issues an Annual Report which contains fairly

detailed workload statistics. These are used by administrative staff to report activities to County officials, to control work flow and reassign staff where needed. A separate set of statistics are maintained by the Probation Rehabilitation Offender Program. These statistics are used for reporting progress to the Division of Criminal Justice Services, analyzing program effectiveness and determining where additional services are needed.

Written procedures and instructions are used by staff involved with statistics in order to ensure uniformity and consistency. Data are routinely double checked for accuracy at several stages of their compilation.

PAR findings indicate that the Department should develop a written glossary of terms in which all data items are defined and appropriately classified. The Department should also formalize its methods for cross-checking and double-checking statistics by developing procedures to be included in the administrative manual.

Collaboration with Other Agencies

The goal of this function is "collaborate with local, state and federal criminal justice and related public and private agencies in developing laws and policies and in coordinating procedures and programs to enhance the effectiveness of the criminal justice system."

The Department enjoys excellent working relationships with a large variety of public and private agencies. The Director and selected staff are active members of local criminal justice task forces and social service councils. The Director belongs to the Criminal Justice Technical Advisory Committee of the Southern Tier West Regional Planning Board and fully cooperates with the regional Crime Control Coordinator, especially with regards to the federally funded Probation Rehabilitation Offender Program. The Director is an active member of the New York State Council of Probation Administrators. The Department has a long history of cooperation and collaboration with the Division of Probation, implementing Division programs and making excellent use of Division consultation services.

PAR findings indicate the Department should develop a general statement regarding its policy of collaboration with these other agencies and include it in the administrative manual.

Public Relations and Education

The goal of this function is "inform, educate and gain the cooperation and involvement of the public regarding the role of probation in the criminal justice process."

The Department extensively engages in public relations activities through public speaking, distribution of literature, utilization of the media and participation at career days and the County Fair. Several staff participate in public speaking and address local schools, institutes, civic associations and other public and private agencies. Speakers are assigned on the basis of speaking ability and knowledge of subject matter. Staff tailor addresses to particular audiences. The Department publishes a wide variety of literature, notably its Annual Report. It also issues pamphlets and flyers informing the public of special services offered by the Department. The Department receives favorable treatment by the news media and periodically issues press releases.

Location of Services and Space Standards

The goal of this function is "design and implement a space management program and locate and arrange probation facilities and programs so staff can deliver effective and efficient probation services for the client, justice agencies and the community."

The Department makes more than adequate and efficient use of the space that is available. The Department conducts an annual review of the space needs and submits a written plan to the State Division of Probation as part of its annual program plan. The Office in Mayville is relatively new, modern, up-to-date and otherwise exceptional for all concerned. The Dunkirk Office is more than satisfactory.

PAR findings indicate that the Department should continue to press for more office space and improved temperature control, sound proofing and building safety conditions at the Jamestown Office.

Development and Issuance of Policies and Procedures

The goal of this function is "develop, maintain and communicate policies and procedures to govern probation operations and staff performance."

The Department maintains written policies and procedures and has a manual of operational procedures at present. This manual is in reasonably good form but in need of updating and modernization. The Department is in the process of revising and producing a new administrative manual that goes well beyond the minimum requirements of a policy and procedural manual. The Department is commended for its organization and commitment to the new manual revision and for utilizing all levels of staff in the revision process. The "new" manual is being organized according to a specific format and is designed to be updated as necessary.

Development and Use of Community Resources

The goal of this function is to "develop and utilize government services, indigenous community organizations, and citizen volunteers as an integrated community resource for the more effective delivery of probation service."

The Department consistently utilizes the most responsive and cooperative resource agencies in the community. Such agencies include mental health and alcohol programs, Division for Youth and private juvenile treatment facilities. The Department operates a secure juvenile detention facility and two juvenile non-secure foster homes.

Individual officers utilize their knowledge of agencies and services in the community for the most effective service referrals. Mental health and alcohol programs have had the most positive relations with the Department to date. There is an effective community resource liaison by the Director and other staff members. The Department staff utilize the People Services in Chautauqua County, a directory of social service agencies in the community. The Department has developed and is continuing to refine and implement a volunteer program.

PAR findings indicate that the Department should appoint a volunteer coordinator whose position would leave more time to actively recruit, train and supervise volunteers.

Budget Planning and Administration

The goal of this function is "insure, via a budget process, the adequate allocation of resources for probation programming by presenting a thorough, accurate, rational, analytical and compelling case relative to probation needs and accomplishments and its expected contribution to society."

The Director prepares line item budgets in accordance with instructions from the County Finance Department and the County Executive. Actually, the Director develops three separate budgets - one for the Probation Department; one for the youth facilities including the Robert N. Palmer secure detention home and two non-secure foster homes; and one for the federally funded Probation Rehabilitation Offender Program (PROP). The PROP budget which was established for the twelve month grant period (October through September) is revised to conform to the County's fiscal year (January through December). Along with the Probation Department and youth facilities budgets, the Director provides two separate budget narratives of "Commentaries." One Commentary contains detailed and relevant information and justification for items in the budget requests. The second Commentary for each of the budgets provides information on the status of expenses for the current fiscal year.

The Director develops the budgets on the basis of available fiscal resources, continuation of present service delivery and general community needs. A considerable amount of administrative and program review and evaluation occurs during the budgetary process. Staff are solicited for input and the draft budget is discussed at a staff meeting. The Director submits the three budget requests and accompanying commentaries to the County Executive. Upon legislative approval of the County Budget, the Department implements its budgets. The Director monitors and reviews departmental expenditures on a monthly basis.

Comprehensive Program Analysis and Review

The goal of this function is "assess the results of agency operations in relation to the goals and standards specified."

The Manual of Probation Goals and Standards has been distributed such that staff either have personal copies or have easy access to them. Content and interpretation of the Manual was the subject of a general staff meeting whereby

staff became acquainted with the document. The Department seriously conducted its self-evaluation, even going through a "dry run" in order to make the effort as meaningful as possible. The entire staff was most cooperative with members of the State Division PAR Team during its on-site operational review of the Department.

SERVICES

Preliminary Probation Procedures for the Family Court

The goal of this function is "divert selected eligible persons from formal family court processes."

The Department operates an effective intake-diversion program. Intake-diversion services in Chautauqua County are provided by a federal (LEAA) discretionary grant project entitled Probation Rehabilitation Offender Program (PROP). In addition to juvenile diversion, the PROP program provides such services as an adult misdemeanor diversion, Release on Recognizance, Release under Supervision and a jail counselling program. The Department maintains policies and procedures for the intake and diversion services. These procedures are contained in the PROP project operational procedures and the Department's administrative manual, presently being revised. Adult and juvenile diversion services are provided by the PROP Project Director and three of the five Project Counselors. The PROP staff screen all adult misdemeanor diversion referrals with input from judges and the District Attorney's Office. The intake referrals on Family Court matters are screened for diversion services by two part-time probation officers, the Senior Probation Officers or the Probation Supervisor. Suitability of cases for diversion services is based on case studies which consider the nature of the complaint, the clients mental health and/or community resources. Written authorization of the Court is always requested to extend Family Court diversion services beyond the initial 60 day period. Individual case records are established for intake-diversion cases.

The Department continually reviews and evaluates its intake-diversion services. The Project Director submits reports as required by the Department and periodic reports on the entire PROP Project as required by the grant contract. In addition, an extensive evaluation of the PROP program was completed in 1975 by an evaluator-consultant from SUNY at Fredonia. The consultant also completed a

follow-up evaluation during the Spring of 1976. The evaluations found that the PROP program services are provided in an efficient and cost effective manner. The report indicates that the PROP services provide financial savings to the County and may reduce the amount of crime.

PAR findings indicate that the Department should ensure that diversion case records contain more complete information on services provided and case activities.

Release on Own Recognizance Programs

The goal of this function is "provide competent timely information to assist the court in making decisions regarding release of defendants while awaiting disposition, and provide supervision of and service to persons released on own recognizance."

The ROR/RUS program initiated in 1974 as part of the PROP project, is a vital segment of the Department's delivery of services to the community. ROR/RUS services are maintained in collaboration with the courts, District Attorney, related criminal justice agencies, and other community services organizations. The program is in keeping with both State and local probation guidelines and standards. The Department through the PROP project staff completed 123 ROR investigations during the six month review period ending May, 1976. According to the Project's report at the end of the first year, the ROR/RUS staff received 171 requests for investigations from the courts. After investigation, approximately 140 clients were placed into the ROR/RUS program.

Public relations include press releases and public speaking engagements. ROR services are provided by probation counselors as part of the PROP federally funded grant project. Reports and investigations meet the basic probation standards and requirements. An evaluation of the ROR/RUS services was a part of the overall Project evaluation conducted by a private evaluation consultant. The Department maintains a continual monitoring of project operations through bi-monthly progress reports to the Director and the Division of Criminal Justice Services, periodic reports at staff meetings and by a very close supervision of Project activities by the Project Director.

PAR findings indicate that the Department should consider utilizing volunteers and/or paraprofessionals in performing ROR investigation services.

Pre-Sentence and Pre-Disposition Investigations and Reports

The goal of this function is "provide relevant and accurate information and analysis for sentencing and disposition."

Management of the investigation function is the responsibility of the Probation Supervisor. No officers specialize in investigations as all officers, except for specialized PROP staff, maintain mixed caseloads including both Family Court and criminal court cases. The investigation assignment and completion work flow is systematic and is conducive to meeting scheduled court disposition dates. Virtually all investigations are completed within three weeks, as specified by departmental policy. With rare exceptions, investigations are delivered to courts well in advance of 24 hours prior to disposition.

During the six month review period ending May, 1976, the Department completed 344 presentence investigation reports. Officers conduct between 4-8 investigations per-month in addition to supervising probationers.

The Department utilizes the uniform investigation and report format as prescribed by the State Division Rules (Part 350) promulgated 3/28/75. The length and depth of investigations and reports are tailored to provide appropriate information for dispositional decision making by the courts. Persons being investigated are always interviewed. Information gathered during the investigation is verified only where it is relevant to judicial decision making. Reports always contain evaluative analyses and recommendations. Officers appropriately limit recommendations to types and not lengths of sentences.

PAR findings indicate that the Department should attempt to obtain written court orders for investigations from County and Family Courts.

Supervision of Probationers

The goal of this function is "provide effective monitoring of and service to probationers to promote law-abiding behavior."

The Department supervised a total of 623 probationers in the six month period ending May, 1976. A Probation Supervisor, two Senior Probation Officers and seven probation officers provide the supervision services for 489 adult and

134 juvenile probationers. The Senior and line probation officers supervise an average caseload of 40-60 probationers per month in addition to conducted between 4-8 presentence investigation reports. Individuals sentenced to probation in County, Family and Jamestown City Courts are immediately interviewed after court by a Department staff member who explains the conditions of probation. An appointment for the first "full" supervision interview is also scheduled. The review of case records reveals that officers conduct an in-depth initial supervision interview, after the one immediately following court.

The Department maintains a program of differential supervision consisting of Intensive, Active and Special categories based on the classification of probationers. Officers usually make the required number of in-person and collateral contacts per month on each case in accordance with each probationer's supervision category. Officers make collateral contacts on cases including home and school visits, contacts with family members and employers, and frequent follow-up contacts with community resource agencies utilized by probationers. The Department recommends the early discharge of probationers, usually adult probationers, when they have met the Department's criteria for early discharge.

PAR findings indicate that the Department should establish procedures with the justice courts to insure that the initial supervision interview is uniformly conducted within 72 hours of the dispositional hearing.

Interstate and Intrastate Transfer of Probation Supervision

The goal of this function is "provide for the effective supervision of probationers in jurisdictions other than those which placed them on probation."

The Department provides for the effective transfer of probation supervision to other jurisdictions. Staff provide the same probation supervision services for transferees into the Department as they do for probationers sentenced in Chautauqua County. The Department conducts the transfers of supervision of probationers into and out of the Department in accordance with the Interstate Compacts and the rules promulgated by the State Division of Probation.

During the six month period used for the case review (December 1975 through May 1976), the Department transferred 33 probationers into other jurisdictions. The Probation Supervisor is the liaison-coordinator for all transfers of supervision into and out of the Department. In this capacity, he reviews all cases being transferred out to insure that the required forms and materials are in order. The Probation Supervisor also reviews requests for acceptance of transfer-in cases and assigns the case to an officer in the appropriate Branch Office.

Misconduct and Violation of Probation Procedures

The goal of this function is "provide a method for the disposition of charges of misconduct or violations of probation through court action."

During the six month review period, the Department initiated 20 violations of probation and five probationers had their sentences revoked. The Department disposes of minor technical violations through informal administrative adjustments and violations of probation through formal court processing. Alleged technical violations and re-arrests on new charges of probationers are immediately investigated by probation officers.

Staff utilize reprimands and warnings to adjust minor technical probation violations. Officers discuss all violations with their supervisor before completing the appropriate forms to initiate a formal probation violation. Officers seldom utilize the formal violation process for technical violations of probation conditions. However, Department policy requires a formal violation of probation referral to court when a probationer is convicted on new charges. When formal violations are initiated, officers submit violation reports which include a summary of the supervision history and a recommendation for disposition to the court.

PAR findings indicate that the Department should establish written procedures and guidelines for the informal administrative adjustments of minor violations of probation.

Special Services

The goal of this function is "provide direct and/or referral services in such areas as physical and mental health care, vocational guidance and employment findings and foster care."

Special services are provided through referral to community resources. This is done on an individual case basis by officers who are aware of specific services and have had previous experience in dealing with them. All staff have access to People Services in Chautauqua County which has been recently updated and is a valuable resource. The Probation Rehabilitation Offender Program (PROP) makes especially creative use of available community resources. Furthermore, efforts are underway to participate in a program to determine what services are needed in the County.

It should be noted here that the Probation Department provides a well received community service in operation of a secure detention facility for juveniles. This is available for use by all appropriate County agencies. Probation also operates, for its own use, two foster home facilities for juveniles.

PAR findings indicate that the Department should develop written policies and procedures for referrals of probationers to community resource agencies and insure that all case progress reports or feedback from resource agencies are included in the client's case record.

Case Records

The goal of this function is "provide a system of orderly recording and management of the maintenance of case information."

The Department maintains written policies and procedures on case record management which are in general compliance with the State Division rules. The departmental manual, presently being updated, contain detailed procedures for case record entries for probation files. Policies and procedures are known and followed by staff. All case records are maintained in letter size case folders which are identified by case name and number. In addition, the Department maintains the quality and contents of case record folders in good condition. The Department has developed and is preparing to implement a case file model with appropriately separated and labeled sections.

Staff maintain well organized cumulative case record files for probationers. There is only one case file per client and a closed file is reopened if a new referral is received. Staff provide excellent and complete supervision

initial interview summaries and quarterly supervision summaries in the case files. These summaries include pertinent information on case activities, case contact dates and plans of treatment for the next quarter period. Intake diversion case records contain chronological case entries and a closing case summary is provided on the back of the client's index card.

The Department maintains one master index card file in the Mayville Office for all active and closed probation cases. PROP case index cards are kept separately for administrative purposes. Each Branch Office maintains its own index card file on PROP cases and closed in its geographical area. All case record files are accessible to appropriate departmental staff but not to others without permission. All case record file cabinets are locked when unattended. The Department is in the process of microfilming probation case records closed prior to 1969. In addition, the Department has developed a policy for the destruction of PROP case records after one year and support case records after seven years.

Accounts and Records

The goal of this function is "provide for the effective collection and disbursement of support, restitution, fines and reparation monies and for their accurate accounting."

The Support Bureau functions in an effective, efficient way. Collection of funds is covered by strict written guidelines. There are well established procedures for disbursement and reconciliation of funds, although these are not written. Monies collected are deposited each day in the officially designated bank. Job descriptions are implemented functionally although again they are not written. Monthly reports regarding monies collected are submitted to the Director and the Family Court Judge. Monthly reports of delinquent accounts are submitted to the Director as total amounts rather than as arrearages by individual cases.

PAR findings indicate that the Department should develop written job descriptions of the Support Bureau. In addition, the Department should continue to emphasize, to the appropriate County officials, the need for new accounting equipment or data systems in the Department that would allow for immediate identification of the status of individual accounts especially delinquent accounts.

CHAUTAUQUA COUNTY PROBATION DEPARTMENT

PLAN OF ACTION

The "plan of action" is a logical and appropriate outgrowth of the PAR process. Results have been presented to the Department in a report and have been reviewed jointly by Department and State Division of Probation staff. The Department's achievements and strengths have been spelled out and its deficiencies defined and acknowledged. The plan of action is the Department's program for improving the quality and effectiveness of its administration and services. The "plan" includes the measures it is implementing and its time schedule for initiating or completing them.

The following is the Chautauqua County Probation Department's plan of action. This format is utilized for ready and easy reference. The plan is the Department's own, developed independently but with consultation with Division staff.

The Department has addressed itself to the major findings of the PAR report in the plan which is has submitted in time for publication in this report. Liaison by Division staff will continue with the Department to establish steps to be taken within more limited target dates towards achieving the more general objectives of the plan, to identify the important findings of the report which the Department has not yet addressed itself to in its plan, and to monitor progress of the plan.

<u>FUNCTION</u>	<u>PLAN</u>	<u>SCHEDULE</u>
<u>Organization and Management</u>		
Complete the revision of the new administrative manual	Implemented	12/76
Prepare and distribute written agendas and meeting minutes for each staff meeting	Implemented	9/76
Rotate, when feasible, the chairmanship of staff meetings	Implemented	9/76
<u>Personnel Administration</u>		
N O R E C O M M E N D A T I O N S		
<u>Planning and Research</u>		
Issue a single, comprehensive planning document which describes departmental objectives for each function	Implemented	8/76
Apply quantifiable criteria in assessing the accomplishments of each function	Implemented	12/76
<u>Statistics</u>		
Develop a written glossary of terms in which all data items are defined and appropriately classified	Implemented	12/76
Formalize its methods for cross-checking and double-checking statistics by developing procedures to be include in the administrative manual	Implemented	12/76

<u>FUNCTION</u>	<u>PLAN</u>	<u>SCHEDULE</u>
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<u>Collaboration with Other Agencies</u>		
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Develop a general statement regarding its policy of collaboration		
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	Implemented	
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		12/76
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<u>Public Relations and Education</u>		
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N O R E C O M M E N D A T I O N S

<u>Location of Services and Space Standards</u>		
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Continue to press for more office space and improved temperature control, sound proofing and building safety conditions at the James-town Office		
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	Pressing	
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		Pending Leg. Action
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<u>Development and Issuance of Policies and Procedures</u>		
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N O R E C O M M E N D A T I O N S

<u>Development and Use of Community Resources</u>		
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Appoint a volunteer coordinator whose position would leave more time to actively recruit, train and supervise volunteers		
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	Implemented	
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		7/76
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<u>Budget Planning and Administration</u>		
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N O R E C O M M E N D A T I O N S

<u>Comprehensive Program Analysis and Review</u>		
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N O R E C O M M E N D A T I O N S

<u>FUNCTION</u>	<u>PLAN</u>	<u>SCHEDULE</u>
<u>Preliminary Probation Procedures for the Family Court</u> Ensure that diversion case records contain more complete information on services provided and case activities	Implemented	8/76
<u>Release on Own Recognition Programs</u> Consider utilizing volunteers and/or paraprofessionals in performing ROR investigation services	Implemented (Use of Interns)	9/76
<u>Pre-Sentence and Pre-Disposition Investigations and Reports</u> Attempt to obtain written court orders for investigations from County and Family Courts	Implemented	9/76
<u>Supervision of Probationers</u> Establish procedures with the justice courts to insure that the initial supervision interview is uniformly conducted within 72 hours of the dispositional hearing	Implementation On going	On going
<u>Interstate and Intrastate Transfer of Probation Supervision</u>		
N O R E C O M M E N D A T I O N S		
<u>Misconduct and Violation of Probation Procedures</u> Establish written pro-		

<u>FUNCTION</u>	<u>PLAN</u>	<u>SCHEDULE</u>
<u>Misconduct and Violation of Probation Procedures (cont.)</u> cedures and guidelines for the informal administrative adjustments of minor violations of probation	Implemented	12/76
<u>Special Services</u> Develop written policies and procedures for referrals of probationers to community resource agencies	Implemented in Manual	12/76
Insure that all case progress reports or feedback from resource agencies are included in the client's case record	Implemented in Manual	12/76

Case Records

NO RECOMMENDATIONS

Accounts and Records

NO RECOMMENDATIONS

END