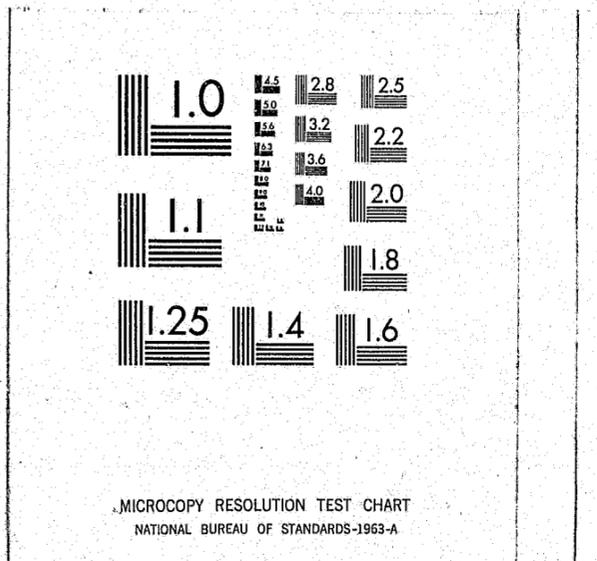


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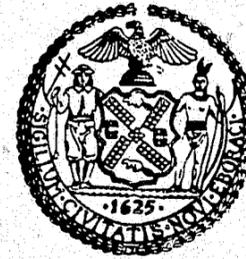
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JUVENILE DIVERSION AND DECENTRALIZATION
OF PROBATION INTAKE:
FIRST YEAR EVALUATION OF THE
SATELLITE INTAKE PROJECT

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ACQUISITIONS

Prepared by the
RESEARCH, EVALUATION AND INFORMATION DIVISION
of the
Criminal Justice Coordinating Council
111 John Street
New York, New York 10038

By
Michael B. Greene, Ph.D.

JULY 1980

ACKNOWLEDGEMENTS

The author would like to express his appreciation to Sydney Brink, Nestor Soto, and Darrell Turner for their assistance and patience in collecting and compiling the data for this report. The author would also like to express his appreciation to the New York City Department of Probation for their cooperation and assistance. Lastly, the author wishes to thank Barbara Harvey and Gail Wallace for their excellent typing and for their encouragement.

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I. INTRODUCTION

In April 1979 the Criminal Justice Coordinating Council (CJCC) awarded \$390,319 to the New York City Department of Probation and to the Police Department to conduct and administer the Satellite Intake Project in its first year of operations. The overall goal of the project is to provide individualized services at selected decentralized Probation Intake offices to juvenile delinquents (excluding designated felons),¹ Persons in Need of Supervision² (PINS cases), and other troubled youth.³ In addition, the Project was designed to divert such cases, when appropriate, from processing in the juvenile justice system beyond the Probation Intake level. The project also provides or recommends services to the families of its juvenile clients and helps mediate conflicts between its clients and individuals who had filed formal complaints against them.

This report provides a description and analyses of Satellite Intake operations from June 1979 through April 1980, inclusively. Data presented are drawn from interviews with the Project Director and her staff; consultations with administrative personnel from the New York City Department of Probation and with the Branch Chiefs of Probation Intake in the Bronx, New York, Queens and Kings Counties; official monthly workload reports from the branch offices of these counties and from the project; intake forms on project clients; and Department of Probation Card files and Log Books (for a six-month follow-up recidivism study).

¹Also excluded are arrests on warrants and cases in which the juvenile cannot be placed in the recognizance of parents or guardians.

²PINS are juveniles who are in violation of educational law, incorrigible, or in possession of less than 25 grams of marijuana, Family Court Act §712.

³Troubled youth include young people who are experiencing less serious and intermittent problems in contrast to the chronic and more serious problems involved in PINS cases. They are frequently self-referrals, "Troubled youth" is not a legally defined status and youths designated as such are not processed by the Probation Department at branch offices.

II. PROJECT BACKGROUND

In this section the concept and implementation of juvenile diversion is discussed as are critical issues in the evaluation of juvenile diversion projects. In addition, two decentralized probation intake projects, one of which is the precursor to the Satellite Intake Project, are described. Each of the points discussed in this section have a direct bearing on the method and substance of the evaluation of the Satellite Intake Project which follows.

A. The Concept and Implementation of Juvenile Diversion

Theoretically, diversion is not difficult to define. Diversion occurs when an individual, as a consequence of a particular program or policy, is processed less deeply through the official justice system than he or she would have been if the policy or project did not exist.⁴ In practical terms, the principal difficulty with such a definition is the determination of an appropriate comparison group against which to assess the degree of diversion, but even when a comparison group can be appropriately designated, other not inconsequential problems exist concerning which individuals are best served by diversion and the degree of coerciveness and due process inherent in a specific diversion project or policy.⁵

These problems notwithstanding, the number of juvenile diversion projects increased dramatically during the 1970's.⁶ The expansion of such

⁴ See Ted Palmer, Marvin Bohnstedt, and Roy Lewis, The Evaluation of Juvenile Diversion Projects (California Youth Authority, 1978). Others have reserved the term diversion for the "channeling of cases to non-court institutions where the cases would ordinarily only have received an adjudicatory hearing by a court," Paul Nejelski, "Diversion: The Promise and the Danger," Crime and Delinquency, October 1976, p. 396.

⁵ See Andrew W. Maron, "The Juvenile Diversion System in Action," Crime and Delinquency, October 1976, pp. 461-469, and Edward Pabon, "Changes in Juvenile Justice: Evolution or Reform," Social Work, November 1978, pp. 492-497.

⁶ Two comprehensive bibliographies on the topic of diversion have been published: James R. Brantley and Marjorie Kranz, Alternatives to Institutionalization (Washington, D.C.: LEAA, 1979) and Kevin O'Brien, Juvenile Diversion, Second Edition (Washington, D.C.: LEAA, 1974). In addition, two juvenile diversion projects, the Sacramento County Diversion Project and the Adolescent Diversion Project, have been selected as Exemplary Projects by the National Institute on Law Enforcement and Criminal Justice.

programs can be traced primarily to the often-quoted statement in a report published in 1967 by the President's Commission on Law Enforcement and Administration of Justice:

The formal sanctioning system and pronouncement of delinquency should only be used as a last resort. In place of the formal system, dispositional alternatives to adjudication must be developed for dealing with juveniles... The range of conduct for which court intervention is authorized should be narrowed, with greater emphasis upon consensual and informal means of meeting the problems of difficult children.⁷

This policy of diverting appropriate juvenile cases from Juvenile Court processing was buttressed by the Juvenile Justice and Delinquency Prevention Act of 1974, which declared as the policy of Congress, "to divert juveniles from the traditional juvenile justice system and to provide critically needed alternatives..."⁸

Juvenile diversion projects can be categorized along three dimensions. First, they can be categorized by the type of acts for which clients are referred to the project and by the prior criminal or status offense histories of the clients. Projects have been designed to serve clients ranging from first-time status offenders to clients arrested on a minor felony charge and having two or more prior criminal arrests. Second, they can be categorized in terms of types of services provided. This can vary from one or two crisis intervention counseling sessions, to referrals to external agencies, to intensive family therapy.

Finally, juvenile diversion projects can be categorized by the level in the juvenile justice system at which diversion occurs. Diversion can occur at one of four levels:⁹

⁷ Task Force Report: Juvenile Delinquency and Youth Crime, (Washington, D.C.: U.S. Government Printing Office, 1967), p. 2.

⁸ 42 U.S.C. §5602(b), as quoted in Maron, supra note 5.

⁹ Marvin Bohnstedt, "Answers to Three Questions About Juvenile Diversion," Journal of Research in Crime and Delinquency, 1978, 15, pp. 109-123.

- (1) following police contact but prior to probation intake (traditionally, most police contacts with juveniles do not result in referrals to probation¹⁰),
- (2) following probation intake but prior to court processing (this is the focus of the Satellite Intake Project),
- (3) following court contact but prior to adjudication, and
- (4) following adjudication as an alternative to sentencing.

B. Issues in the Evaluation of Juvenile Diversion Projects

As a consequence of the differences articulated above, comparisons among projects are difficult to make. To make matters worse, evaluations of juvenile diversion projects, for the most part, have been fraught with methodological problems.¹¹ As already noted, the most problematic aspect of research on diversion projects is the delimitation of a proper comparison group. Without a comparison group, the degree of diversion effectuated, or whether diversion occurred at all, cannot be ascertained.

Several writers have cautioned, and research has documented, that many so-called diversion projects actually increase rather than decrease the number of juveniles under the jurisdiction of state or other official agencies.¹² One of the major reasons underlying this "widening the net" phenomenon has been articulated by Ludman:

One of the reasons that police and intake officers avoid formal action is their awareness of harshness and general ineffectiveness of the juvenile justice system. Diversion programs, however, promise to temper harshness and be more effective. As a consequence, those charged with decision-making may be less reticent to take formal action...the result could be an increase in the number of juveniles under the control of the state.¹³

¹⁰Donald R. Cressey and Robert A. McDermott, Diversion from the Juvenile Justice System (Washington, D.C.: LEAA, 1974), p. 1; and Malcom W. Klein and Kathie S. Teilmann, Pivotal Ingredients of Police Juvenile Diversion Projects (Washington, D.C.: LEAA, 1976), pp. 9-16.

¹¹See Don C. Gibbons and Gerald F. Blake, "Evaluating the Impact of Juvenile Diversion Programs," Crime and Delinquency, October 1976, pp. 411-420.

¹²See Pabon, supra note 5 and Nejelski, supra note 4.

¹³Richard J. Ludman, "Will Diversion Reduce Recidivism?" Crime and Delinquency, October 1976, pp. 428-437.

Widening the net, it is important to note, must be distinguished from service-oriented programs for troubled youth in which initial participation is unrealized or indirectly related to criminal or status offenses. Such programs are more properly designated "prevention" rather than "diversion" projects. The critical difference is that in a diversion project, entry into the program is based upon a juvenile having committed an act that would have brought him or her into the juvenile justice system.

Researchers have chosen several strategies of determining the degree of diversion that was accomplished by the projects they have evaluated. The soundest method of selecting a comparison group by which to assess degree of diversion is by random assignment to the project and to normal juvenile justice system processing. This method of assignment prevents the introduction of biases into the client selection process ("creaming the crop" for the project). Unfortunately, a random assignment procedure is rarely used.¹⁴ In one instance, juveniles, following police contact, were randomly assigned to the project and to a no-treatment group in which they were simply released into the community.¹⁵ Because neither group was processed routinely in the juvenile justice system comparisons between the two groups do not reveal any information as to degree of diversion or the extent to which recidivism was reduced from traditional juvenile justice processing.

One innovative and valid research design for selecting a comparison group involved the operation of a diversion project on selected days during the week with the normal operation of the juvenile justice system on days on which it was not open.¹⁶ The days on which it was open were changed on a monthly basis in order to avoid potential biases created by this procedure. A common comparison group selection procedure is one based on matching project clients (usually on "instant" offenses) with clients who had entered the juvenile justice system prior to the implementation of the project.¹⁷ This procedure is adequate

¹⁴For an example in which true random assignment was utilized, see Peggy Smith, Marvin Bohnstedt, and Tracy Tomkins, "Recidivism Rates of Youthful Offenders," in Janell Byrd (Ed.) Juvenile Diversion Packet (Pretrial Services Resource Center, 1978).

¹⁵Richard Ku and Carol Holliday Blew, The Adolescent Diversion Project (Washington, D.C.: LEAA, 1977).

¹⁶Roger Baron and Floyd Feeney, Juvenile Diversion Through Family Counseling (Washington, D.C.: LEAA, 1976).

¹⁷See Palmer, et al., supra note 4.

as long as the project has no discretion as to which cases it will accept or reject within a designated category of cases. If the project only selects those cases which are most likely to succeed (within its predetermined pool of cases), then the matching process becomes invalid. It becomes invalid, in addition, when policy, legal, or other changes, coinciding with project implementation, are made which affect the samples in question.

The least desirable means by which to establish a comparison group is to ask referral sources, e.g. police, school personnel, parents, what they would have done about the act or acts of the client if the project had not existed.¹⁸ For example, a police officer may have simply counseled and released a juvenile if there were no diversing project. The nature and extent of biases introduced by the opinions or judgments of the referral sources after they had already made their referrals introduces distortions that yield the results both unreliable and invalid.

In this report the intake cases processed at the centralized or branch offices serve as the comparison group. This group is similar to the Satellite Intake Project cases in several respects, as described in later sections of this report. When sampling was required, cases were randomly selected from each group. Second only to the random assignment of cases to each group, this method of comparison is both reliable and valid.

Beyond the assessment of the nature and extent of diversion generated by a project, evaluations should address at least three further, though not unrelated, issues. First, the nature and extent of service delivery should be articulated (see sections III and V below). Without specifying what the project does and who does it, the project, if successful, could never be replicated. Ideally, the type of services provided by the project should be contrasted with the type of services the client would have received had the project not existed.

Second, the recidivism rate of the clients served by the project, as contrasted with the recidivism rate of appropriately chosen non-project clients, should be calculated (see section V below). Several juvenile diversion projects utilizing satisfactory research methods have resulted in lower recidivism rates (usually rearrests) for project clients than for comparison group cases; however, several projects have shown no difference in recidivism rates for project and comparison group clients.¹⁹

¹⁸ See G. Ronald Gilbert, "Alternate Routes: A Diversion Project in the Juvenile Justice System," Evaluation Quarterly, May 1977, pp. 301-318.

¹⁹ See Palmer, et al., supra note 4; Gibbons & Blake, supra note 11; Gilbert, supra note 18; Smith, et al., supra note 14.

Contradictory results, as measured by recidivism rates, have emerged with regard to the type of clients who are best served by different types of diversion programs. For example, results from the evaluation of eleven juvenile diversion projects conducted by the California Youth Authority indicated that, in general, comparative recidivism rates were significantly reduced for youths who had one prior arrest but were not reduced for youths who had no or two or more prior arrests. On the other hand, Project Crossroads, a diversion project providing employment services to first-time offenders, was successful in significantly reducing recidivism rates for this population.²⁰ More studies are needed which assess what kinds of clients are best served by what kind of services at what point in their justice system processing.

Diversion projects, it has been noted, should not be deemed categorically unsuccessful if recidivism rates are not significantly reduced.²¹ If recidivism rates remain unchanged in conjunction with the diversion of a significant percentage of youths from the juvenile justice system, then the project has demonstrated that project processing is a viable alternative to justice system processing. If the project is less costly and less stigmatizing to its clients than the justice system processing, then it should become the option of choice.

This leads to the last major variable which should be examined in evaluating diversion projects--costs (see section VI below). If diversion has occurred, by definition funds designated for traditional juvenile justice processing have been reduced. In the very few cost analyses that have been conducted, the costs of providing diversion services are less than the juvenile justice system costs that would have been incurred had the project not existed.²² Diversion projects, based on the limited extant research, can be said to be cost effective. No cost-benefit analyses of juvenile diversion projects have been undertaken; nor will a cost-benefit analysis of the Satellite Intake Project be attempted, mainly because of the unavailability of the required data.

²⁰ Leon Leibert, Project Crossroads, A Final Report to the Manpower Administration (Washington, D.C.: U.S. Department of Labor, 1971).

²¹ Smith et al., supra note 14.

²² See Palmer, et al., supra note 4 and Gilbert, supra note 18. Bohnstedt, supra note 9, points out that the inclusion of cases that would not normally be processed beyond probation intake (either through informal probation or petition to court) is cost-ineffective.

C. Decentralized Probation Intake and Juvenile Diversion

The decentralization of probation intake services represents a response to a series of problems that plague most probation departments in large metropolitan areas. The catchment areas for the Probation Intake branch offices in New York City,²³ and in other major metropolitan areas,²⁴ are quite large and cover a wide diversity of neighborhoods. The caseloads of Probation Intake Officers are correspondingly quite heavy. As a result, the Probation Officers rarely have the time or the resources to provide anything but a superficial needs assessment and counseling to their clients.²⁵ Also, because of the size of their catchment areas, the Probation Officers cannot maintain close contacts, or even be aware of, all the service centers that might be appropriate for their clients. These are very serious problems in light of the fact that for at least fifty percent of these youngsters, probation intake represents their final contact point in the juvenile justice system.²⁶ Many, if not most, of these juveniles have problems for which services are available.

The concept of decentralizing probation intake derives from these concerns. Structurally, decentralization involves the creation of smaller catchment areas, and in so doing the caseloads of Probation Intake Officers are reduced. The Probation Officers consequently can devote more time to each case, make more informed decisions as to the proper manner in which to dispose of a case, and become more familiar with and establish closer ties to the service programs in their catchment areas.

Results from the Wayne County (Michigan) Decentralized Probation Intake Project²⁷ reveal that decentralization can have a beneficial effect on the quality of services provided to clients and represents a viable means by which to increase the number of cases adjusted without referral to court petition. The Wayne County Project, in comparison with a matched group of cases processed in the centralized court offices, significantly reduced the time interval between the date clients were arrested and when they were seen

²³These are located in the Family Court Buildings of each of the five New York City boroughs.

²⁴Thomas M. Kelly, Judy L. Schulman, and Kathleen Lynch, "Decentralized Intake and Diversion: The Juvenile Court's Link to the Youth Service Bureau," Juvenile Justice, February 1976, pp. 3-11.

²⁵Ibid., pp. 6-7.

²⁶Richard W. Kobetz and Betty B. Bosarge, Juvenile Justice Administration (Gaithersburg, Maryland: International Association of Chiefs of Police, 1973), p. 242.

²⁷Kelly, et al., supra note 24.

by a Probation Intake Officer, significantly increased the percentage of cases that were adjusted, and (by several criteria) reduced the short-term recidivism rates of its clients. In addition, the project Probation Officers developed, when appropriate, treatment plans for their clients and, based on these plans, provided short-term counseling and/or referrals to external service programs.

The Court Diversion Project at the 41st Precinct in the South Bronx, the pilot program on which the Satellite Intake Project is based, represents the first attempt by New York City's Department of Probation to implement a small-scale decentralization of the Bronx Juvenile Intake Service. In cooperation with the Youth Aid Division of the Police Department, two Probation Intake Officers were located at the 41st Precinct and were assigned all delinquency cases (excluding designated felons) for which arrests were made in the 41st, 40th, and 42nd Precincts. Two Youth Aid Officers were also assigned to the project. As in the Wayne County Project, caseloads were reduced and the Probation Officers were able to develop close contacts with the service agencies in their relatively small catchment area.

While no formal evaluation of the Court Diversion Project was conducted, the Department of Probation reported that from April 1973 to April 1979, only eleven percent of 5,780 cases seen by the project were referred to (Court) petition. This contrasts markedly with the overall rate of fifty-eight percent reported by the central branch office.²⁸ Clearly, the project did effect substantial diversion of its clients. Unfortunately, no further statistics are available on the nature and extent of services provided or the comparative recidivism rates of project and branch clients.

²⁸The nature of the cases processed at the Court Division Project and the branch offices differ to some extent. The branch office cases included A and B felony cases, all of which were routinely referred to petition (unless written permission was granted to adjust the case). A and B felony cases, on the other hand, were not assigned to the Court Diversion Project. This difference acted to inflate the branch-project differential rates of referrals to petition.

III. PROJECT DESCRIPTION AND IMPLEMENTATION

The Satellite Intake Project represents an expansion of the Court Diversion Project into the boroughs of Manhattan, Brooklyn, and Queens. CJCC provided funds to operate the project at selected precincts in these three boroughs and the Department of Probation and the Police Department provided funds to maintain the project at the 41st precinct in the Bronx. The project also expanded its jurisdiction to PINS cases and to troubled youth. The Satellite Intake Project, furthermore, differed from the Court Diversion Project in two other respects: the project Probation Officers were supervised by a Project Director who is not directly affiliated with any branch office (in contrast to being supervised by personnel at the Bronx branch office) and additional staff lines were added.

A. Project Locations

The selection of precincts in which to locate the project was based jointly on 1978 juvenile arrest data (so that the anticipated case loads would be generated), the presence of a Youth Aid Office in the precinct and availability of space in which the project could operate. In Manhattan, the Bronx, and Queens, project staff were based in one precinct and received cases from that precinct as well as from two to four adjacent precincts. In Brooklyn it was anticipated, based on the 1978 data, that a sufficient number of cases would be generated by a single precinct. The precincts from which cases were referred to the project, as illustrated in figure 1, are as follows:

Bronx: 41st Precinct (Unit Location)
40th Precinct
42nd Precinct

Manhattan: 28th Precinct (Unit Location)
25th Precinct
32nd Precinct
30th Precinct²⁹
26th Precinct²⁹

Queens: 109th Precinct (Unit Location)
110th Precinct
112th Precinct

Brooklyn: 75th Precinct

²⁹These precincts were added in March 1980 because case loads generated from the three other precincts were comparatively low.

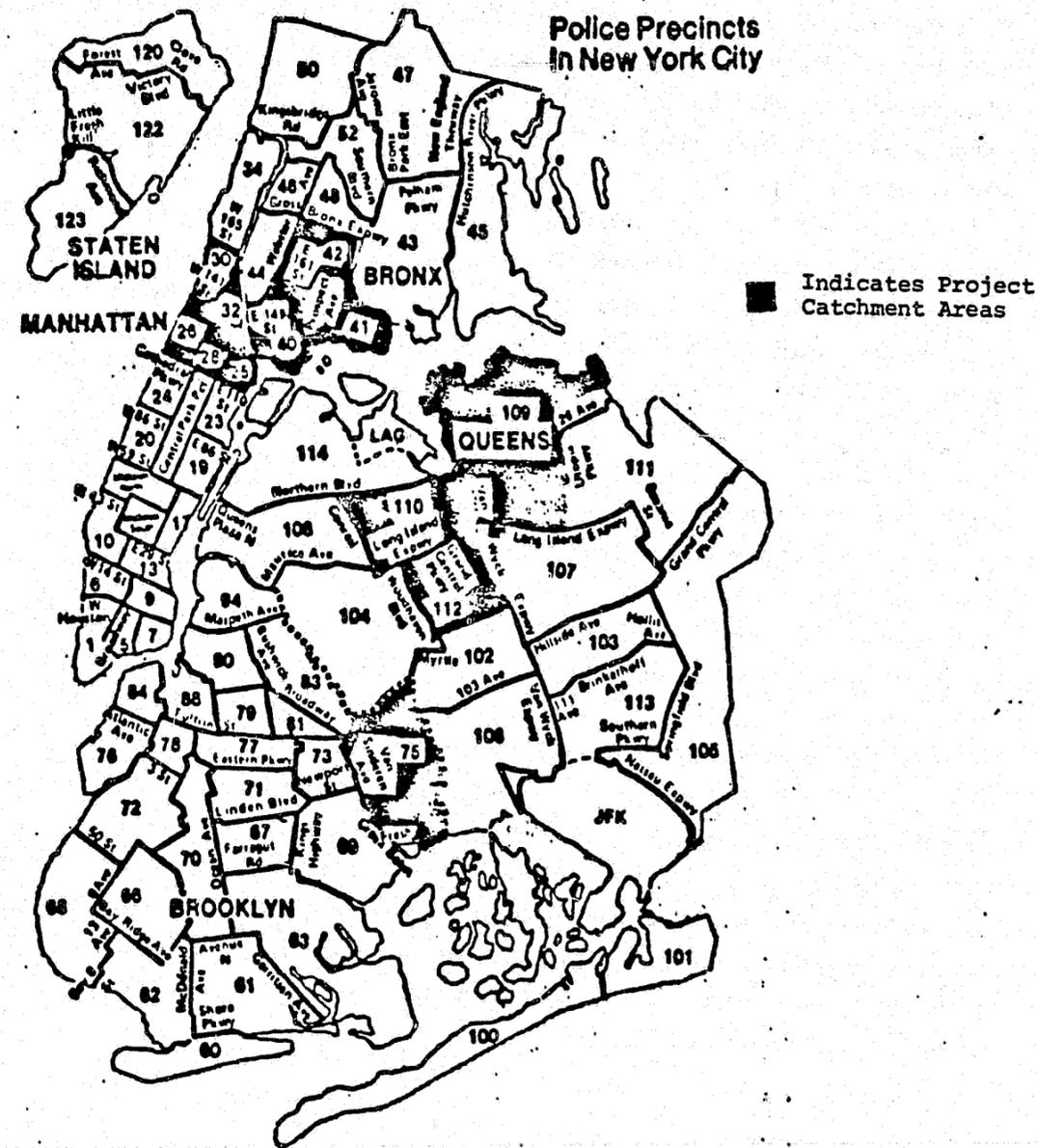


FIGURE 1. CATCHMENT AREAS OF THE SATELLITE INTAKE PROJECT

B. Staffing and Staff Training

Each borough site was staffed with two Probation Intake Officers, one Youth Aid Officer,³⁰ one Youth Worker,³¹ and one Clerk/Receptionist. With the exception of the Youth Aid Officers, the salaries of the Bronx project staff were paid for by the Probation Department through tax levy funds. The Project Director and her secretary were both located at the Probation Department's Executive Offices which are adjacent to the New York County Family Court.

The Project Director, who was hired on April 2, 1979, was responsible for all administrative aspects and overall supervision of project operations. This included the role of liaison with the Probation Intake Branch Chiefs at each of the boroughs in which the project operated, with CJCC, and with the Youth Aid Division of the Police Department. The Project Director also coordinated all staff training and prepared quarterly reports to CJCC. In her supervisory role, the Project Director visited each project site on a bi-weekly basis and was frequently in telephone contact with her staff.

The responsibilities of the Probation Intake Officers at the project, in large part, paralleled the duties of the Intake Officers at the branch offices. They were responsible for interviewing respondents, their parents or guardians, and whenever available, the complainants. In all instances except those in which the complainant insisted on referring the case for petition or where New York State Standards mandated referral,³² the Probation Officer attempted to adjust the case or at least narrow the issues on which the referral to petition was based. Because of the Probation Officers' relatively small case loads and because of the circumscribed geographic area from which their clients were referred, they were in an excellent position to provide crisis intervention counseling, to mediate issues between conflicting parties (developing restitution agreements in appropriate cases), and to make informed referrals to community and public agencies.

³⁰In addition, one full-time Youth Aid Officer located in the Bronx Unit (one of the two Youth Aid Officers on the Court Diversion Project) helped train the other Officers and filled in when one of them was out sick or on vacation. This Officer was "donated" by the Police Department.

³¹No Youth Worker was retained at the Bronx site.

³²New York State Division of Probation, "Standards for Juvenile Intake," April, 1979.

All but one of the Probation Officers who were hired had prior experience in the Probation Department, although only one had experience as an Intake Officer. In order to prepare them for the specific requirements of the project, all of them participated in an eleven day training program conducted by the Probation Department. This took place in late May 1979. It was also anticipated that the Probation Officers would receive training in mediation techniques from the Institute for Mediation and Conflict Resolution (IMCR). After numerous fiscal negotiating sessions, spanning over eight months, no agreement was reached. In its place, six out of the eight Probation Officers and the Project Director attended a three-day training course sponsored by the New York State Division of Probation and entitled "Dispute Resolution: A Workshop for Intake Workers." This workshop was given in late March 1980.

Youth Aid Officers were initially scheduled to come on staff in May 1979. However, the Police Department, following its standard practice, was unable to make available the requisite officers until the grant was technically executed. This occurred in August 1979. Furthermore, experienced Youth Aid Officers remained unavailable, due to staff shortages in the Police Department, until December 1979, at which time they were hired to work full-time on the project. Prior to December, a Youth Aid Division Supervisor served as the Police Department Coordinator, and Youth Aid Officers at each of the precincts assisted in project operations while maintaining their regularly assigned duties. The Youth Aid Division Supervisor, based at the Bronx Unit, continued to function as a coordinator of police operations for the project.

The two principal duties of the Youth Aid Officers were: 1) liaison work with the Police Department and the Transit and Housing Authority Police, and 2) the inspection and verification of arrest reports (securing complainant signatures when needed) and the notification of complainants of the time and date of the intake interview. The liaison work is critical because the Police, Transit and Housing Officers need to be familiarized with project operations. Most of the clients served by the project are referred by these Officers.

The Youth Aid Officers' role in inspecting and verifying arrest reports on project clients is related to the project objective of adjusting the maximum number of cases. If the arresting Officer did not obtain the complainant's signature on the arrest report, the case could neither be adjusted nor referred to petition.³³ In such cases the Youth Aid Officer would attempt to secure the

³³In March 1980 the New York City Department of Probation instituted a policy whereby cases for which a complainant's signature was not secured were not reported in official workload statistics.

complainant's signature. The next step in the process, that of notifying the complainant of the time and date of the intake interview, is equally important. If the complainant does not participate in the intake interview, either in person or by telephone, the only options available to the Probation Officer are to terminate the case without adjustment or to refer to the case to petition.

One of the functions specified for the Youth Aid Officers in the grant award, that of "limited patrol", was not performed. This was not done because Police Department policy prohibits one-person patrol. This duty, therefore, is not included in the second year grant application. On the other hand, the Youth Aid Officers did devote considerable time to conducting investigations of juveniles in the project catchment areas who were issued YD-1 cards.³⁴ This duty was not specified in the grant award. However, since this activity can be construed as delinquency prevention (a function that was specified in the grant award), this activity will continue in the second year of the project on a limited basis.

The three Youth Workers' lines specified in the grant award were filled in late June under the "Assistant Youth Services Specialist" civil service title. All three resigned in early August when they were offered positions by the City of New York at higher salaries. These positions were refilled in early December under the Probation Assistant title. The Youth Workers, under the direction of the Probation Officers, assist the juvenile and his or her family in following through on the recommendations made by the Probation Officers. This involves such services as escorting the clients to the recommended agency or program and helping them get through the orientation or registration procedures. The Youth Workers also help in resource development (visiting and contacting potential referral sources), make limited home visits to clients and their families, and provide case management assistance in whatever ways the Probation Officers deem relevant.

The clerk/receptionists at all four precincts were hired between June and August 1979 (two subsequently resigned and were expeditiously replaced). Their duties consisted of fairly routine typing, filing, and telephone work. They were also responsible for calling the branch office in their borough and (as of January 1980) the record room of the Juvenile Index to obtain information on prior delinquency and PINS cases the clients may have had.

³⁴YD-1 cards are essentially formal warnings to juveniles, usually in response to violations or minor misdemeanors. They are issued by Police, Housing, or Transit Officers and investigated by the Youth Aid Division.

In addition to the regular staff, three undergraduates from local colleges volunteered on a part-time basis to work at the Bronx Unit (two volunteers) and Queens Unit (one volunteer). The volunteer at the Queens Unit also assisted in establishing a small-scale tutoring project for clients who desired to participate.

C. Project Referrals and Dispositional Alternatives

As indicated above, the project is set up to serve delinquency cases (excluding those in which a warrant is outstanding, non-recognizance cases, and cases in which the juvenile is charged with a designated felony), PINS cases, and troubled youths. The referral process and sources of referral differ to some extent for these three categories of cases. All delinquency cases entail an arrest by an officer of the law for an alleged act that would constitute a crime if committed by an adult. The referral source for all delinquency cases, therefore, is a Police Officer. After the arrest is made and the arrest report filled out, the Police Officer attempts to contact the juvenile's parents or guardians. If the juvenile is placed under the recognizance of his or her parents, the Police Officer will schedule an intake interview for the juvenile with one of the project probation officers.

The source of referral for PINS cases is most frequently the parents of the juvenile and, to a lesser extent, the Youth Aid Officers. However, in many cases school counselors recommend to the parents that they file a PINS petition; and still other cases come to the attention of Probation Officers in the process of interviewing the parents of a delinquent whose sibling(s) fall under the PINS designation. The parents frequently go first to the Family Court building in their borough to file a PINS petition. In cases where the family lives in one of the Project Catchment areas, an officer of the Court informs them of the Satellite Intake Project. The family may then decide whether to proceed to file a petition at Family Court or to seek the services provided by the project.

Troubled youth cases are frequently walk-ins who were referred by friends or had seen a project Probation Officer on a previous case. Other troubled youth come in at the recommendation of Youth Aid Officers who discovered the juvenile in the process of their YD-1 card investigations, and sometimes the parents who are familiar with the project recommend the project to their kids. Typically, a youth who is having serious problems at school, or

perhaps has run away from home, comes to a police precinct in the catchment area of the project for help. He or she is then referred to one of the Probation Officers. The types of problems for which the troubled youths, or their parents, seek help are generally quite similar to the problems involved in PINS cases, although less serious and less chronic. Occasionally a youth will have heard of the project from one of his or her friends or had seen one of the Probation Officers on a prior delinquency or PINS charge.

Once a client appears for an intake interview, the Probation Officer may keep the case open for as long as 60 days.³⁵ When the Probation Officer decides to terminate a client, three official dispositional alternatives are available: "referral to petition", "adjusted" (either by the Probation Officer or through a referral to a community agency), and "terminated without adjustment." A complainant or a respondent may insist that a case be referred to petition. The Probation Officer, usually with the cooperation of the complainant, may also insist that a case be referred to petition if the case, in the Officers' judgment merits court action.³⁶ Once a case is referred to petition the Corporation Council Office at each branch office determines whether a formal petition can and should be drawn.³⁷

If a case is not referred to petition and the respondent and complainant both consent to what is to be done (and what is agreed to is, in fact, done) then a case is designated as "adjusted." If a case is not referred to petition and the respondent and complainant do not consent to what is done (or one party does not fulfill his or her part of stated agreement), then the case is terminated without adjustment.³⁸ All four of the Branch Chiefs (or their assistants) and the Director of the Satellite Intake Project stated that the preponderance of "terminated without adjustment" cases are generated by instances in which probation intake is unable to contact the complainant.

³⁵With permission of the Family Court a case may remain open for an additional 60 days.

³⁶Theoretically, a Probation Officer may refer a case to petition without the overt consent of the complainant if the complainant has signed the arrest report. The policies of the Corporation Council's Office in each borough in this matter vary to some extent.

³⁷See William H. Barton, "Discretionary Decision-making in the Juvenile Justice System," Crime and Delinquency October 1976. pp. 470-480.

³⁸The New York State Division of Probation defines "terminated without adjustment" as "Cases in which intake services are discontinued without resolution of the complaint," DP-30 (1/79)-N.Y.C.

D. Service Provision

The Project differs structurally in several respects from the intake part at the branch offices. These differences were intentionally designed to enhance service provision. Some have been described above, i.e. comparatively small caseloads, restricted catchment areas, and additional staff. The project also differs from the branch offices in terms of the hours during which clients can be seen. From October 1979 onwards, each project unit maintained some evening hours. From October through February the two Probation Officers staggered their working hours so that each unit could remain open until 8:00 P.M. for at least two evenings per week: the Manhattan unit on all five week-nights, the Brooklyn unit on all week-nights except Friday, the Bronx unit on Monday and Wednesday evenings, and the Queens unit on Monday and Tuesday evenings. In March 1980 the Manhattan unit expanded its hours to include Saturday from 10 A.M. to 6 P.M. and the Queens unit expanded its evening coverage to Thursday.

The expanded hours, locally-based office locations, comparatively small caseloads, and the fact that appointment dates are made for specific times results, at least theoretically, in a more efficient and convenient system of probation intake. For example, the time interval between the arrest or referral date and the intake interview, as well as waiting time in the office, should be reduced. Complainants, who at the branch offices may wait several hours and have to take valuable time off from work in order to see a Probation Officer, should be more willing to become involved in intake interviews.

The smaller caseloads also result in the Probation Office having more time to devote to each case. With this added time, as well as a working knowledge of the services available in the catchment area, the services given and referrals made can be more individually tailored. The kinds of direct services anticipated in the grant award include individual short-term counseling, treatment planning, home visits, and the mediation of conflicts, including but not limited to, restitution agreements between respondents and complainants.

E. Project Objectives

The following objectives were specified in the grant award:

- (1) Reduce the number of juvenile delinquent cases and PINS petitions referred to court,
- (2) Reduce the number of intake cases terminated without adjustment,
- (3) Reduce the man hours spent by police at Family Court,
- (4) Limit recidivism in the diverted delinquent population,

- (5) Increase the use of alternatives available to the Intake Probation Officers through the use of established mediation techniques, and
- (6) Reduce the number of overnight remands of youngsters.

In addition, it was specified that the project would serve approximately 2,000 clients over a one-year period.

IV. CLIENT CHARACTERISTICS

A. Number and Type of Clients

The Bronx unit of the project, continuing from the Court Division Project, formally started to open cases on June 1, 1979; the Manhattan, Queens and Brooklyn Units began accepting cases on June 11, 1979. Between June 1979 and April 30, 1980, the Satellite Intake Project opened a total of 1,775 cases. The total figure is almost exactly equivalent to the stated objective of 2,000 clients over a one-year period.

As can be seen in table 1, the vast majority (89%) of cases opened by the project were delinquency cases. The data presented in table 1 also indicate the four units differed rather markedly in the number of cases opened, and more significantly, in terms of the types of cases seen.

TABLE 1				
NUMBER AND TYPE OF CASES OPENED AT PROJECT SITES:				
JUNE 1979 ^a - APRIL 1980				
BOROUGH	TYPE OF CASE			TOTAL
	Delinquency	PINS	Troubled Youth	
Bronx	583	9	18	610
Manhattan	243	17	12	272
Queens	362	14	25	401
Brooklyn	393	91	8	492
TOTAL	1,581	131	63	1,775

^aThe Manhattan, Queens and Brooklyn units started seeing cases on June 11, 1979. The Bronx unit was active prior to June 1, 1979 and maintained a full caseload throughout June and during subsequent months.

The number of delinquency cases opened at each unit should have been approximately equal; at least they would have been had the rate of arrests in each catchment area paralleled the 1978 rates (on which the determination of the catchment areas was partially based). The fact that the Bronx unit opened nearly 200 more delinquency cases than any other unit can be explained, at least in part, by the fact that the unit started accepting cases one-half month earlier than the other units and, more significantly, that the Police Department, Transit Authority, and Housing Authority law enforcement officers had been accustomed to referring the specified delinquency cases to the pilot project in the Bronx. In the other units these officers had to be trained to refer cases to the project. Not surprisingly, the number of delinquency cases opened in the Bronx unit in the first two months of operations exceeded (by three cases) the number of delinquency cases opened in the other three units combined.

The fact that the Manhattan unit opened more than 100 fewer cases than any other unit is more difficult to explain. However, with the addition in March 1980 of two more precincts to the Manhattan catchment area, the number of delinquency cases opened by each unit began to even out. During March and April, the maximum number of delinquency cases that separated the units was five.

In terms of the kinds of cases opened by each unit, it can easily be seen from table 1 that the only unit which opened a substantial number of PINS cases was Brooklyn. The significantly greater number of PINS cases, opened at the Brooklyn unit is, most likely, due to differential referral procedures followed at the branch offices. It should be remembered that a majority of PINS cases are initiated by the parents or guardians of the juveniles. Most are unaware of the existence of the project and therefore must be referred to the project from the branch office. Apparently, parents who bring their PINS cases to the Brooklyn branch office are encouraged to take their cases to the project office to a greater extent than are parents who initially bring their cases to the other three branch offices.

Also, in February 1980 the staff of the Brooklyn unit met with the Director of Pupil Personnel for the School District in which the project is located. This resulted in the guidance counselors becoming familiar with the project, who in turn have begun to inform the parents of the project. As a result the number of PINS cases opened in Brooklyn during March and April nearly doubled the number opened in any previous month.

B. Demographic Profile of Project Cases

Because of the large number of cases handled by the project, a sampling procedure was employed in this evaluation. The sample selection method utilized is known as stratified random sampling and is considered both efficient and statistically valid.³⁹ Using the population of cases that were opened between July 1, 1979 and April 30, 1980, five delinquency and one PINS or troubled youth case were randomly selected (using a table of random numbers) from each month, from each unit. The only instances in which a case was not retained in the sample occurred for the sample selected from the delinquency cases opened between July 1 and December 1, 1979. This portion of the overall sample is the subsample used for the recidivism study (see section V). Because of the nature of the recidivism study, any case in which the client was older than 15½ at time of intake was excluded from the study. The total number of delinquency cases selected in the overall sample is 199 (one client who was arrested on two separate occasions was selected twice) and the total number of PINS/troubled youth cases is 49 (one client was also selected twice in this subsample).

Demographic data by unit and type of case are shown in table 2. For the delinquency cases the age and gender data vary only slightly among the four units: the mean age at intake is between 14½ and 15 years and approximately 90% of the clients are male. The variation in the ethnic group memberships among the units parallels the differences in ethnic group composition within the four unit locations: nearly half the Bronx clients are Hispanic, most of the Manhattan clients are black, over one-third of the Queens clients are white, and in Brooklyn about 90 percent of the clients are either black or Hispanic.

Interestingly, the distribution of PINS/troubled youth cases from all units combined parallels quite closely the ethnic group distribution for the delinquency cases; however, there are substantially more females (48.3% vs. 8.0%) among the PINS/troubled youth clients and they are about a half year older than the delinquency clients. The age difference may be due to the fact that a small number of troubled youth were over 16 years old at time of intake and that 15½ year olds were excluded from the recidivism subsample of delinquency cases.

³⁹Earl Babbie, The Practice of Social Research (Belmont, Calif.: Wadsworth, 1979, pp. 179-183).

TABLE 2
DEMOGRAPHIC DATA FOR A RANDOMLY SELECTED SAMPLE OF PROJECT CLIENTS^a

<u>TYPE OF CLIENT</u>	<u>NUMBER OF CASES</u>	<u>MEAN AGE^b</u> (Months)	<u>GENDER</u>		<u>ETHNIC GROUP</u>				
			<u>Male</u> (%)	<u>Female</u> (%)	<u>Black</u> (%)	<u>Hispanic</u> (%)	<u>White</u> (%)	<u>Other</u> (%)	<u>Unknown</u> (n)
<u>Delinquency Cases</u>									
Bronx	50	171.2	88.0%	12.0%	52.1%	47.9%	-0-	-0-	2
Manhattan	49	170.2	95.9	4.1	83.3	16.7	-0-	-0-	1
Queens	50	175.1	90.0	10.0	36.0	28.0	36.0%	-0-	0
Brooklyn	50	171.0	92.0	8.0	59.2	36.7	2.0	2.0%	1
Citywide	199	171.9	92.0%	8.0%	56.6%	33.2%	9.7%	0.5%	4
<u>PINS/Troubled Youth Cases</u>									
Citywide	39	178.7	56.4%	43.6%	53.8%	30.8%	10.2%	5.1%	

^aFive delinquency cases and one PINS/troubled youth case for each month between July 1979 and April 1980 were selected from each project site (one delinquency and one troubled youth case was selected twice).

^bThe age figures for the delinquency cases underestimate slightly the average age of the entire population of delinquency cases seen by the project. This slight distortion occurs because delinquency clients older than 15½ at time of intake were excluded from selection between July and November (the recidivism sample). Age data on two of the PINS/troubled youth cases are unknown.

C. Arrest Charge

Table 3 shows the distribution of crimes with which the delinquency clients were charged. The three major types of crimes with which the clients were charged are theft, burglary, and robbery. These account for 75% of the entire delinquency sample. Some variation exists among the units; however, there are no available figures to establish whether these differences exist at the borough-wide level as well.

D. Client Problems

One question on the intake form, which is filled out for all clients, refers to the "problem history" of the clients. This is not, it should be noted, an objective question with formal criteria for including specific types of problems. Rather, it is a question drawing on the judgment and insight of the Probation Officer. Also, in approximately twenty-five percent of the cases in the overall sample, no problem was indicated. It is unclear in these cases whether the Probation Officer felt the juvenile was experiencing no major problem, whether the juvenile was uncommunicative, or the Probation Officers had not thoroughly questioned the juvenile regarding their problems.

As shown in table 4, the three most frequently indicated problem areas involve school and education problems, family problems, and psychological and emotional problems. For PINS/troubled youth cases, family problems and school problems were each indicated for at least three-quarters of the clients; and for delinquency clients, school problems was the only category which was indicated for over half the clients. From these data it is apparent that educational counseling, advocacy and referrals are critically needed for most of the project clients; and that family counseling, in instances where clients and their families are willing to work together to resolve their problems, is also a major need of the clients.

TABLE 3
TYPES OF ARREST CHARGES FOR A RANDOMLY SELECTED SAMPLE^a
OF PROJECT CASES, JULY 1979 - APRIL 1980

<u>BOROUGH</u>	<u>NUMBER OF CASES</u>	<u>THEFT</u>	<u>BURGLARY</u>	<u>ROBBERY</u>	<u>ATTEMPTED ASSAULT</u>	<u>POSSESSION OF A WEAPON</u>	<u>POSSESSION OF A CONTROLLED SUBSTANCE</u>	<u>OTHER</u>
Bronx	50	17 (34.0%)	17 (34.0%)	7 (14.0%)	4 (8.0%)	2 (4.0%)	0 (0)	3 (6.0%)
Manhattan	50	12 (24.0%)	7 (14.0%)	10 (20.0%)	5 (10.0%)	3 (6.0%)	7 (14.0%)	6 (12.0%)
Queens	50	20 (40.0%)	12 (24.0%)	6 (12.0%)	6 (12.0%)	1 (2.0%)	0 (0)	5 (10.0%)
Brooklyn	50	9 (18.0%)	16 (32.0%)	17 (34.0%)	4 (8.0%)	3 (6.0%)	0 (0)	1 (2.0%)
Citywide	200	58 (29.0%)	52 (26.0%)	40 (20.0%)	19 (9.5%)	9 (4.5%)	7 (3.5%)	15 (7.5%)

^a Five delinquency cases were randomly selected for each month between July 1979 and April 1980 (inclusively) for each of the boroughs. The one client who was selected twice is included as two cases because he was arrested on two separate charges.

TABLE 4
PROBLEM HISTORIES OF PROJECT CLIENTS
BY TYPE OF CASE

TYPE OF PROBLEM	DELINQUENCY CASES (N = 150)		PINS/TROUBLED YOUTH CASES (N = 29)	
	Number	Percentage	Number	Percentage
School and Educational Problems	102	68.0%	22	75.9%
Family Problems (including running away)	64	42.6	24	82.2
Psychological/Emotional Problems	64	42.6	16	55.2
Alcohol and Drug Problems	15	10.0	4	13.8
Other Problems	55	36.7	5	17.2

NOTE: No problems were noted for forty-nine (24.6%) of the 199 delinquency clients in the sample and for ten (25.6%) of the 39 PINS/troubled youth in the sample. These cases are not included in the percentage calculations. The average number of problem areas per delinquency case (using the five tabled categories) was 2.0 and 1.8 per PINS/troubled youth case.

V. PROJECT IMPACT

In this section the degree to which the Satellite Intake Project fulfilled each of its stated objectives is analyzed and discussed. The section is divided into three parts: case dispositions, recidivism rates, and service provision. These subsume all but one of the objectives, that of reducing the number of overnight remands (prior to Court intake).

The objective of reducing the number of overnight remands was not evaluated for two reasons: the required data were not maintained and the project simply was not designed to have a major impact in this area. Non-designated felony cases are placed overnight in Spofford (following arrest and prior to Court intake) mainly because the juvenile's parents or guardians cannot be contacted or, when contacted, refuse to accept custody (recognizance) of their child.

In precincts both within and outside the catchment areas of the project, the arresting Officer is responsible for contacting the juvenile's parents or guardians. In instances where the household does not have a telephone the Officer may contact a radio car to help locate the parents or guardians. In cases that fall within the catchment area of the project the Youth Aid Officer has sometimes assisted in this process. In addition, the Probation Officer may encourage the parents to accept recognizance of their child and to come and air the problems the parents are having with their child at the intake interview.

Unfortunately, these efforts by the Youth Aid Officers and the Probation Officers are not documented. If a case is sent to Spofford following arrest, the project simply does not record the case in their records. Furthermore, data on the nondesignated felony cases sent to Spofford following arrest are not maintained by the precincts. But even if these data were maintained for project cases, no comparative data are available by which to determine whether the number of overnight remands was, in fact, reduced by the project. The costs and staff hours needed to generate such data, moreover, are not merited by the usefulness of this information.

A. Case Dispositions

Three of the objectives in the grant award refer either directly or indirectly to the dispositions with which project cases are terminated. The number of cases "referred to petition" was to be reduced and, as a direct outgrowth of this objective, the number of hours spent by Police Officers at Family Court was to be reduced. In addition, the number of cases "terminated without adjustment" was to be reduced. The rationale for all three objectives stems from the structural characteristics of the project, described above, which permit the staff to provide more individualized service to both the respondents and the complainants, thus mitigating the need for court intervention and increasing the degree of participation and satisfaction among the respondents and complainants.

Data from the branch offices of the Department of Probation were utilized for comparative purposes to assess the effect of the project in altering the distribution of dispositions. Designated felony cases were excluded from the branch office data and the time period from which the project and

office data were drawn were identical. Despite minor differences in the juvenile population living within the rest of the corresponding borough,⁴⁰ the CJCC evaluation staff and the administrative personnel at the Department of Probation agreed that the branch office data represented the best available comparison group. In fact, if any systematic bias exists, it is that the project population is more crime-prone, and by implication, a more difficult group of juveniles. This assertion is based on the fact that one criterion for selecting the catchment areas was that they include high crime communities.

The distribution of dispositions for project and branch delinquency cases are shown in figures 2 and 3. With regard to the dispositions of delinquency cases, it can be seen from figures 2 and 3 that Satellite Intake fulfilled two of its three objectives. Within each borough and for the project in general, the percentage of cases referred to petition by the project was significantly⁴¹ smaller than the percentage of cases referred to petition by the branch offices. The overall reduction in cases referred to petition was 19.5%. Consequently, the objective of reducing the number of hours spent by Police Officers at Family Court was also fulfilled.

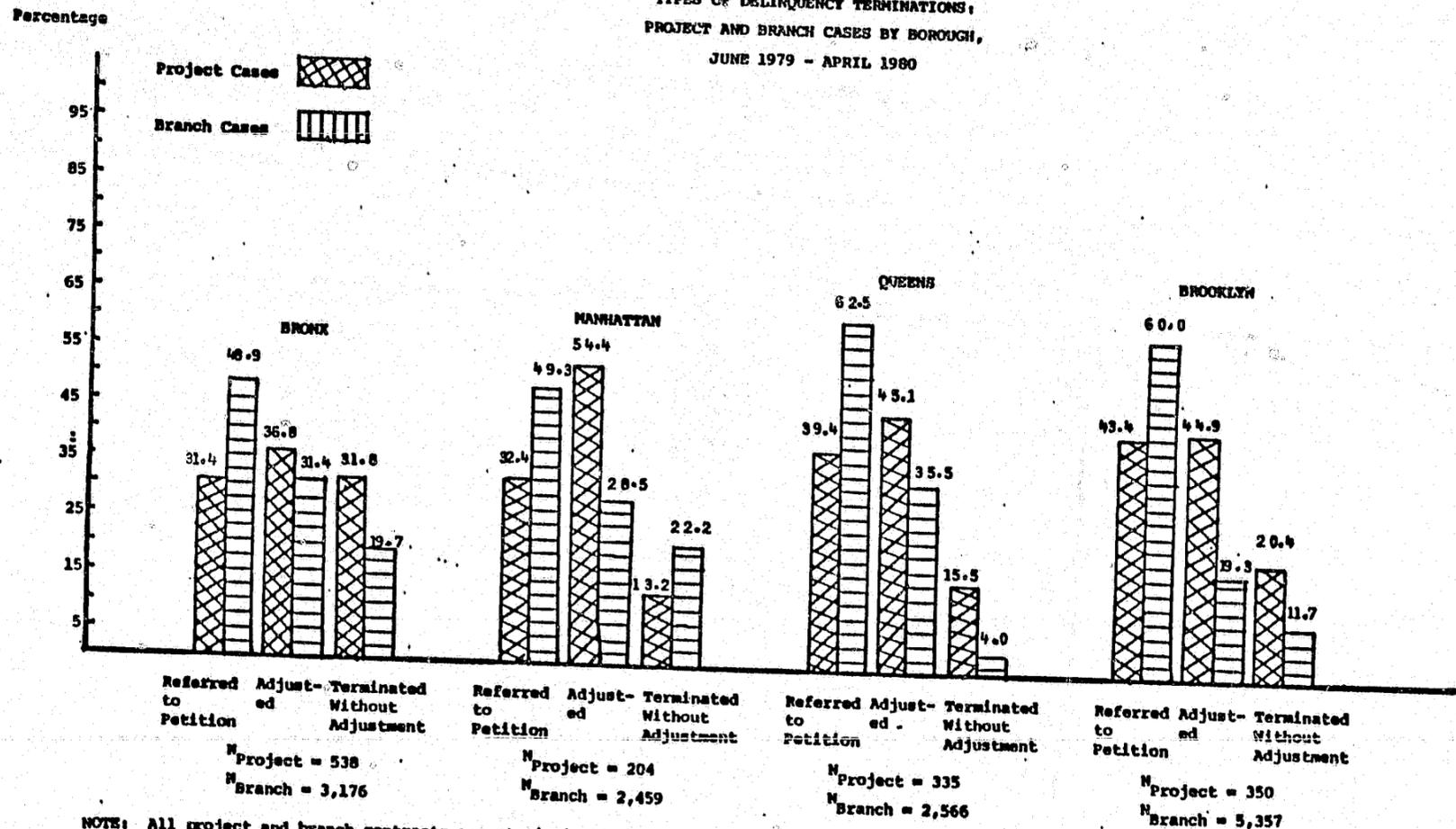
The project, however, was not successful in reducing the percentage of delinquency cases terminated without adjustment. As can be seen from figure 2, the percentage of cases terminated without adjustment was significantly higher for the project than for the branch offices in all boroughs except Manhattan (in which a significant reduction was effectuated). Also, as shown in figure 3, the percentage of cases terminated without adjustment for the project, in general, was higher than for the branch offices.

It is impossible to precisely pinpoint the dynamics underlying the observed "terminated with adjustment" results; however, two factors do have a direct bearing on these figures. First, the principal reason why it was anticipated that the project would reduce the number of terminations without adjustment is that the Youth Aid Officers were to have assisted in contacting and securing the active participation of complainants. As indicated above, the lack of participation by the complainants is the major reason why cases are

⁴⁰The branch office data also differed from the project data in that delinquency cases (not including those with designated felony charges) which were placed in Spofford Juvenile Detention Center (because the parents could not be contacted or did not accept custody) were included in the branch office data.

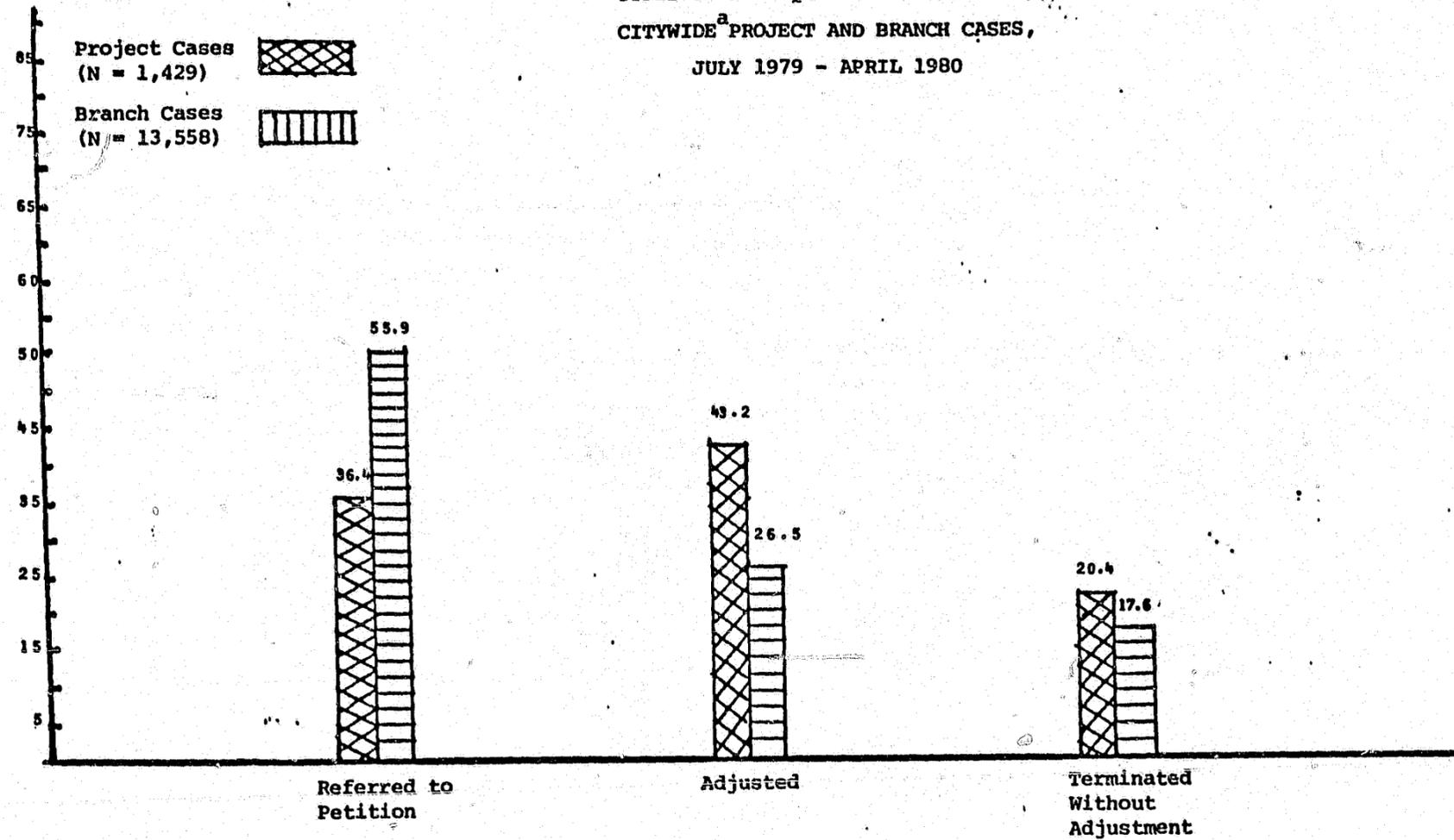
⁴¹Here and elsewhere in this section, the term "significant" indicates that the observed differences are statistically reliable and that it is very unlikely that such differences could have occurred by chance fluctuation.

FIGURE 2
 TYPES OF DELINQUENCY TERMINATIONS:
 PROJECT AND BRANCH CASES BY BOROUGH,
 JUNE 1979 - APRIL 1980



NOTE: All project and branch contrasts are statistically significant in the direction shown.
 SOURCE: New York City Department of Probation, Monthly Workload Reports (D.P. 30, 79, NYC).

FIGURE 3.
TYPES OF DELINQUENCY TERMINATIONS,
CITYWIDE^a PROJECT AND BRANCH CASES,
JULY 1979 - APRIL 1980



NOTE: All project and branch contrasts are statistically significant in the direction shown.

^a Excludes Staten Island.

SOURCE: New York City Department of Probation, Monthly Workload Reports (D. P. 30, 79, NYC).

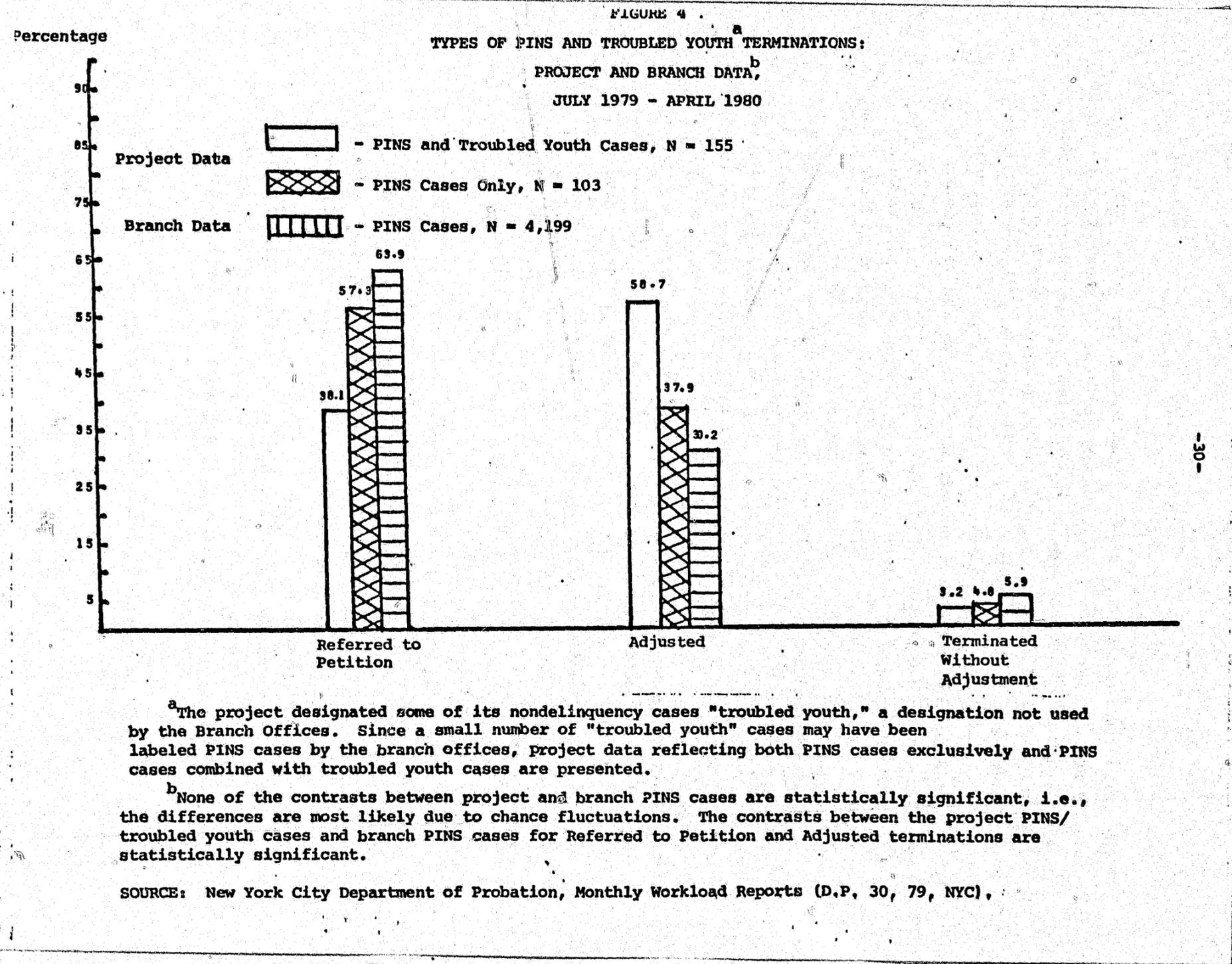
terminated without adjustment. The Youth Aid Officers, however, did not formally join the project staff until mid-December 1979. If the analysis of the percentage of delinquency cases terminated without adjustment is restricted to the time period in which the Youth Aid Officers were on staff (between January and April 1980) the difference between the project and branch offices in terms of their rates of termination without adjustment becomes nonsignificant. That is, the addition of the Youth Aid Officers to the project staff appears to have reduced the percentage of project cases terminated without adjustment; however, this effect was limited in that the project, even during the time period when the Youth Aid Officers were on staff, did not lower its rate of terminations without adjustments below the rate observed at the branch offices.

The second factor which has a direct bearing on the "terminated without adjustment" results is the degree of discretion granted to a Probation Officer in deciding whether a case should be terminated without adjustment or referred to petition. In instances where a Probation Officer is not mandated by New York State Standards⁴² to refer a case to petition and where a complainant has signed the arrest report yet does not participate in the intake process, the Officer, in accordance with the policy of the Corporation Counsel, may decide to refer the case to petition. It appears from discussions with the branch chiefs that the branch Probation Officers are somewhat more likely than the project Probation Officers to refer such cases to petition. If this did occur in the period over which the dispositional data were analyzed, then this would account, to some extent, for the project's apparent ineffectiveness in reducing the percentage of terminations with adjustment.

One further aspect of the distribution of delinquency dispositions that merits comment is the finding that the project adjusted a significantly higher percentage of cases within each borough and citywide than did the branch offices. While not stated as an objective, this outcome is implied in statements made throughout the grant award to the effect that services to juveniles would be expanded and improved.

The comparative dispositional data for project and branch PINS cases differ from the pattern found for the delinquency cases. As can be seen from figure 4, the percentages for each type of disposition for project and branch

⁴²See New York State Division of Probation, Standards for Juvenile Intake, April 1979.



office cases are quite similar, i.e., statistical analyses indicate that the observed differences are most likely due to chance fluctuations. Since the troubled youth cases generally have quite similar presenting problems as the PINS cases, a comparison was made of the project PINS cases combined with the troubled youth cases and the branch office PINS cases. This comparison reveals a pattern quite similar to that found for the delinquency cases: the project has a lower percentage of cases referred to petition, a higher percentage of cases adjusted, and a negligible difference between project and branch office cases terminated without adjustment. It should be understood, though, that since there is no complainant in troubled youth cases, they cannot be referred to petition unless their status is changed to a PINS case; and that these cases, unless they were adjudged as PINS cases, would not have been recorded at the branch offices.

Perhaps the simplest explanation for these results is that the Satellite Intake Project was no more or less successful than the branch offices in diverting PINS cases from Court processing. This does not necessarily imply, however, that the cases that were adjusted were equally well served by the project and the branch offices. As is shown in Section V of this report, the probability is high that the project PINS cases received more intensive and individualized treatment than did the branch PINS cases. Nevertheless, the objectives of reducing the number of PINS cases referred to petition and reducing the number terminated without adjustment were not met.

B. Recidivism Rates

The term recidivism was defined in the grant award as a reappearance at probation intake within one year of the client's first intake interview. Because the present report is a first-year evaluation, the one year interval could not be adhered to. Recidivism analyses in this report, however, are based on a six month follow-up period. This change was made because at the time the data were collected, in May 1980, the one year interval had not been reached for any project clients. The six month time interval permitted the inclusion of project cases processed as late as November 1979. Data from the branch offices were used to assess the degree to which the project affected the recidivism rates of its cases. Details of the methodology and procedures used in the recidivism analyses are appended to this report.

The results of the recidivism study are shown in table 5. In the Bronx and in Brooklyn, the project samples have lower recidivism rates. Overall, the recidivism rate for the project is twenty-eight percent and for the branch offices, twenty-six percent. None of these differences, it is important to note, are statistically significant, i.e., there is no reason to assume that the observed differences are due to real population differences between the two groups.

Because a major previous study has shown that diversion projects are differentially effective as a function of prior arrest history,⁴³ this factor was examined for the Satellite Intake Project. As can be seen from table 6, the effectiveness of the project in limiting recidivism is not affected by the number of prior arrests of its clients. For both the project and branch offices, however, the recidivism rate rises very sharply among those clients who had a prior arrest compared with those who had no prior arrest history.

Although the objective in the grant award is somewhat vague--"limit recidivism"--the results, in conjunction with the staffing problems that occurred during the period over which the study was conducted, appear to have satisfied the intent of the objective. As indicated in section II of this report, if a project maintains the rate of recidivism while simultaneously diverting a substantial portion of clients from the juvenile justice system, then the project can be considered to be at least partially successful: Juvenile Court costs are reduced, the Juvenile Court can devote more time to more serious cases, and clients are given more and hopefully better services within the community. It is expected, however, that the Satellite Intake Project, during its second year of funding, will reduce the rate of recidivism of its clients in comparison with the clients seen at the branch offices. This expectation is based on the facts that the start-up difficulties encountered by the project--delays in hiring some staff and the gradual process of establishing relationships with community programs--prevented the project from functioning at full capacity during its first year of operations. The absence of these difficulties during the project's second year of operations should enable the project to function more effectively and this, in turn, should be reflected in lowered recidivism rates of its clients.

⁴³Palmer, et al., supra note, 4.

TABLE 5

RECIDIVISM^a RATES AMONG RANDOMLY SELECTED PROJECT AND
 BRANCH SAMPLES: BOROUGH AND CITYWIDE CONTRASTS

BOROUGH	PROJECT DATA			BRANCH DATA			CHI SQUARE ^b
	Number of Cases	Number of Recidivists	Recidivism Rate	Number of Cases	Number of Recidivists	Recidivism Rate	
Bronx	25	6	24.0%	25	9	36.0%	.38
Manhattan	25	11	44.0	25	7	28.0	.78
Queens	25	8	32.0	25	5	20.0	.41
Brooklyn	25	3	12.0	25	5	20.0	c
Citywide ^d	100	28	28.0%	100	26	26.0%	.08

^aRecidivism is operationally defined as an appointment with Probation Intake for a delinquency case within six months of the juvenile's initial date of Probation Intake.

^bChi Square (with Yates correction for 1 degree of freedom) is a standard statistic applicable for testing for independence among categorical data. Results of the comparisons reveal that all of the obtained differences can be explained by chance fluctuations.

^cChi Square cannot be confidently applied in this case because of the small number of recidivists in the project sample.

^dExcluding Staten Island.

TABLE 6
RECIDIVISM^a RATES FOR RANDOMLY SELECTED PROJECT AND BRANCH SAMPLES
AS A FUNCTION OF NUMBER OF PRIOR DELINQUENCY CASES

<u>SAMPLE</u>	<u>NO PRIOR DELINQUENCY CASES</u>			<u>ONE PRIOR DELINQUENCY CASE</u>			<u>TWO OR MORE PRIOR DELINQUENCY CASES</u>			<u>CHI SQUARE^b</u>
	<u>N</u>	<u>Number of Recidivists</u>	<u>Recidivism Rate</u>	<u>N</u>	<u>Number of Recidivists</u>	<u>Recidivism Rate</u>	<u>N</u>	<u>Number of Recidivists</u>	<u>Recidivism Rate</u>	
Project	58	10	17.2%	17	7	41.2%	25	11	44.0%	2.46 ^c
Branches	63	8	12.7%	18	10	55.6%	19	8	42.1%	

^aRecidivism is operationally defined as an appointment with Probation Intake for a delinquency case within six months of the juvenile's initial intake interview.

^bChi Square (with Yates correction for 1 degree of freedom) is a standard statistic applicable for testing for independence among categorical data.

^cThis value is not statistically significant. It can be confidently concluded that the obtained differences between the project and branch office data are not related to the number of prior arrests of the clients.

C. Services Provided

1. Project-Branch Comparisons

No accurate, systematic data are maintained on the type or extent of services provided by the branch Probation Officers to their juvenile clients. Consequently, no direct comparison of the services provided by the branch offices and the Satellite Intake Project is possible. Two indirect measures of service provision, however, are available. These are caseload size and the time interval between the juvenile's arrest and his or her intake interview.

One of the most frequently made criticisms of the probation system, as noted in section II of this report, is that the large caseloads of the Probation Officers preclude the provision of proper and individualized needs assessment and service delivery or referral. One of the overall goals of diversion projects in general, and decentralized probation intake in specific, is to enhance service delivery by reducing caseload size. While not included as an objective of the Satellite Intake Project, the reduction of caseload size is implied throughout the narrative of its grant award.

Caseload in the present study is defined as the number of active cases at the beginning of each month divided by the number of full-time Probation Officers. A comparison of project and branch office juvenile caseloads by borough is shown in table 7. The caseload data for branch Probation Officers is slightly underestimated because the small number of Criminal Court removal interviews (these are requested by the Court and sometimes as signed by Branch Chiefs to Intake Offices) and juvenile marriage license investigations are not included. Despite this bias, the branch office caseloads for each borough range from 1.4 to 3.5 times higher than the project caseloads; and for the four boroughs combined, the branch Probation Officers see twice the number of clients each month as do the project's Probation Officers.

Not only are the caseloads maintained by the project Probation Officers substantially lower than the caseloads maintained by the branch Probation Officers, but the project Probation Officers also appear to keep their cases open for service longer than their branch office counterparts. Although data on the precise time interval during which cases were kept open were not maintained by either the project or branch offices, a good proxy measure of this is the percentage of active cases that are carried over from the previous month: the lower the percentage of carryovers, the shorter is the average time interval

TABLE 7
 MONTHLY CASELOADS^a PER PROBATION INTAKE
 OFFICER FOR PROJECT AND BRANCH OFFICES,
 JULY 1979 - APRIL 1980

<u>BOROUGH</u>	<u>PROJECT CASELOAD</u>	<u>BRANCH CASELOAD</u>
Bronx	56.2	81.0
Manhattan	25.4	90.0
Queens	29.8	74.2
Brooklyn	44.8	83.1
Citywide ^b Caseload	39.1	81.9

^aCaseloads for the project are calculated by dividing the mean number of active cases per month by the number of Probation Officers (two in each county). This does not take into account case assistance provided by the Youth Aid Division Officers and Youth Workers (assistance not provided at the branches). Caseloads for the branches are calculated in the same manner. These are based on the mean number of active designated felony cases, delinquency cases, and PINS cases, but does not include a small number of Criminal Court removal interviews which they are sometimes assigned to conduct and work performed on requests for juvenile marriage licenses. The number of Probation Intake Officers at each branch was supplied by the Branch Chiefs.

^bExcluding Staten Island.

during which cases remain open. As shown in table 8, the Satellite Intake Project, overall, increased by twenty percent the percentage of the active cases which are carryovers from the previous month. This is not surprising in light of the finding that the project reduced significantly the percentage of cases referred to petition. These cases, at least at the branch offices, generally are kept open for only one or two days.

Data on the second indirect measure of service delivery, the time interval between arrest and intake, also reveals the project as superior to the branch offices. The advantage of maintaining a short interval between arrest and intake was concisely articulated by Kelly, et al.: "If the diversionary process (or standard juvenile justice process) does not begin soon after a complaint is filed, the client's problem may become more fully entrenched and his motivation to deal with the problem significantly diminished"⁴⁴ (parenthetical material added by the author of this report).

TABLE 8
 MEAN MONTHLY PERCENTAGE OF DELINQUENCY CASES
 REMAINING OPEN FROM THE PREVIOUS MONTH:
 PROJECT AND BRANCH COMPARISONS,
 JULY 1979 - APRIL 1980

<u>BOROUGH</u>	<u>PROJECT</u>	<u>BRANCH</u>
Bronx	53.6%	38.0%
Manhattan	49.0	26.6
Queens	35.4	23.7
Brooklyn	49.5	23.7
Citywide ^a	48.5%	28.2%

^aExcluding Staten Island.

SOURCE: New York City Department of Probation Monthly Workload Reports (D.P. 30, 79, NYC).

⁴⁴Supra Note 24, p. 6

The project arrest-intake time interval was calculated precisely for the overall sample of delinquency cases (N=200). Since the records containing this information for branch cases are not readily available, an alternate method for comparing the project-branch arrest-intake time interval was used. The method employed draws on the standard police formula (based on the seriousness of an arrest charge) that is used to determine how many days after arrest a juvenile should be scheduled for an intake interview with a branch Probation Officer. This formula was applied to the project cases in the sample. The resulting data indicate how long the project clients were likely to have waited if they had been processed at a branch office. These time intervals were then compared to the actual time intervals which occurred at the project. As can be seen from Table 9, the project, in general, reduced the waiting time between arrest and intake by twenty-five percent.

There was considerable variation, however, among the boroughs. In particular, the Bronx project clients had to wait approximately eleven percent longer between arrest and intake than their branch office counterparts. In the other three boroughs the project was quite consistent in reducing the waiting time by approximately thirty-eight percent. The reasons for the anomaly in the Bronx are unclear, although, as indicated in table 9, the Bronx unit recently reduced its arrest-intake interval to 5.7 working days, a decrease over the branch of forty-two percent.

2. Project Service Provision

Project Probation Officers, as indicated above, attempt to adjust as many cases as is feasible and appropriate. Sometimes cases are best adjusted at the intake interview through counseling, mediation, and/or referral to a community agency. This is especially true for first offenders whose acts that brought them to Probation Intake represent an isolated and, for them, anomalous incident. In such cases a prolongation of the time during which they are under the supervision of a Probation Officer may have detrimental effects and may be experienced by the juvenile as an unduly coercive procedure. A single effective session with the Probation Officer in these cases may be efficacious in preventing recidivism. It is, of course, impossible to ascertain the optimal frequency for terminating a case after one session. Some, perhaps most, of the cases are best served through additional contacts with a Probation Officer.

TABLE 9
 MEAN NUMBER OF WORKING DAYS BETWEEN DELINQUENCY
 ARREST DATE AND PROBATION INTAKE APPOINTMENT DATE
 FOR RANDOMLY SELECTED PROJECT CASES: COMPARISONS
 WITH POLICE DEPARTMENT STANDARDS,^a
 JULY 1979 - APRIL 1980

BOROUGH	NUMBER OF CASES	ARREST-INTAKE INTERVIEW INTERVAL (Mean Working Days)	POLICE DEPARTMENT STANDARDS (Mean Working Days)	PERCENTAGE CHANGE
Bronx	50	11.0	9.9	- 11.1% ^b
Manhattan	50	6.3	10.3	38.8%
Queens	50	6.2	9.9	37.4%
Brooklyn	50	5.2	8.5	38.8%
Citywide ^c	200	7.2	9.7	25.8%

^aAfter a delinquency arrest is made the date of arrest and arrest charge is called into police headquarters and the case is scheduled by the police "wagonboard" staff for an appointment with Probation Intake. The time between arrest and the scheduled appointment date is determined by the seriousness of the arrest charge. This varies between 5 and 15 working days.

^bRecently the interval between arrest and appointment date at the Bronx project site has decreased. Between December 1979 and April 1980 the mean time interval for a randomly selected sample was 5.7 days, or a 42.0% percentage reduction from the Police Department Standards.

^cExcluding Staten Island.

As can be seen from table 10, approximately half the delinquency cases and one-third of the PINS/troubled youth cases in the overall sample received no further services beyond the intake interview (although some cases were kept open beyond the interview date). The finding that a higher percentage of PINS/troubled youth cases than delinquency cases received services beyond the initial intake interview is consistent with the widely endorsed opinion that PINS cases require more extended and intensive intervention services than do non-designated felony delinquency cases. This view is reinforced by the finding that for both the branch offices and the project a higher percentage of PINS than delinquency cases were referred to petition.

Also shown in table 10 is the finding that the four project units varied in the frequency with which their Probation Officers provided services beyond the initial intake interview. The reasons underlying this variation however could not be ascertained. This finding does point to the need for establishing consistency, without compromising flexibility, in determining which cases are best served by a single intake session and those which are best served by more extended services and supervision. More joint meetings among the Probation Officers from the four project units should be scheduled to discuss this and related procedural issues.

For both the delinquency and PINS/troubled youth cases, referrals to community agencies were the most frequent form of service provided. As indicated in section II, a principal rationale for the decentralization of Probation Intake is based on the supposition that Probation Officers will, to a greater extent than centrally-based Probation Officers, become more familiar with and establish better working relationships with the community agencies because of the smaller catchment areas over which they have jurisdiction.⁴⁵ According to Satellite Intake Project records, contacts with and referrals to over 200 community agencies were made, thus the project appears to have fulfilled the expectation that its staff would establish contacts with a large number of agencies within their catchment areas.

⁴⁵This is not to imply that branch office Probation Officers are unfamiliar with and do not refer some of their clients to community agencies. Rather, the intended implication is that the project Probation Officers will have more time to do this, and further, that they only need become familiar with agencies in or near relatively small catchment areas. This contrasts with the situation at the branch offices where the Probation Officers must become familiar with agencies throughout an entire borough.

TABLE 10
NUMBER AND PERCENTAGE OF PROJECT CLIENTS^a
RECEIVING SERVICES

TYPE OF CLIENT	NUMBER OF CASES	COUNSELING	DIRECT SERVICES ^b	REFERRALS ^c	ONLY INTAKE INTERVIEW
<u>Delinquency Cases</u>					
Bronx	50	9 (18.0%)	3 (6.0%)	19 (38.0%)	27 (34.0%)
Manhattan	49	2 (4.1%)	4 (8.2%)	25 (51.0%)	21 (42.8%)
Queens	50	7 (14.0%)	6 (12.0%)	18 (36.0%)	25 (50.0%)
Brooklyn	50	8 (16.0%)	7 (14.0%)	13 (26.0%)	29 (48.0%)
Citywide	199	26 (13.1%)	20 (10.1%)	75 (37.7%)	102 (51.2%)
<u>Terminated Without Adjustment</u>					
	28	4 (14.3%)	3 (10.7%)	11 (39.3%)	16 (57.1%)
<u>Referred to Petition</u>					
	67	1 (1.5%)	3 (4.5%)	21 (31.3%)	44 (65.0%)
<u>PINS/Troubled Youth^d</u>					
Citywide	39	12 (30.8%)	7 (17.9%)	19 (48.7%)	15 (38.5%)

^aA randomly selected sample consisting of five delinquency cases and on PINS/troubled youth case for each month between July 1979 and April 1980 were selected from each project site (one delinquency and one troubled youth case was selected twice).

^bThese include mediation, restitution agreements, school advocacy and tutoring, and court advocacy.

^cThe three most common types of referrals, for the delinquency cases, citywide, were to individual and family counseling (48%) recreational programs (17%), and vocational counseling and placement services (15%).

^dData were not obtained for PINS/troubled youth cases seen in April 1980.

Data on clients referred to community agencies by the project and on whom follow-up was conducted reveal a fairly high level of participation in activities of those agencies. For the delinquency cases 63.8% were found to be actively participating in the programs they were referred to, 17.2% were categorized as cooperating to some extent, and 19.0% had either not cooperated at all or had participated for only a very brief period of time. For the PINS/troubled youth cases, 53.8% were actively participating in their programs, 7.7% were cooperating to some extent, and 38.5% were not participating at the point of follow-up. Although these figures may overestimate the degree of participation because of the moderate extent of follow-up, they clearly are superior to those reported by Smith, et al. in their study of a comparable juvenile diversion project: "of those receiving a community referral disposition, only 41% actually went to that agency"⁴⁶ Also, in light of the fact that diversion through referral is neither punitive nor coercive, a rate of participation of around seventy to eighty percent is all that one could reasonably expect.

Besides making referrals, the Satellite Intake Project provided two kinds of in-house services: interpersonal counseling and other direct services. As can be seen from table 10, Probation Officers tended to counsel more frequently than provide other direct services. While different types of counseling were not differentiated (e.g., individual vs. family counseling), the direct services were categorized according to the type of services given. These included school and court advocacy, helping a client find part-time employment, mediation between conflicting parties, and so on. Of the types of direct services provided in delinquent cases, sixty-five percent involved mediation techniques, with restitution agreements noted in almost one-third of these cases. Lest this be misleading, it should be noted that for all the delinquency cases in the sample, only 6.6% received mediation services. Too few direct services were provided to the PINS/troubled youth clients to make a reliable analysis of the kinds of services given.

While somewhat meager, the provision of these in-house services beyond the initial intake interview does fulfill, to some extent, the objective of "expanding the use of alternatives through the uses of established mediation techniques." Mediation training, it is important to remember, was delayed until April 1980. Some of the Probation Officers, in fact, commented to CJCC staff that they had used mediation techniques prior to this time, but

⁴⁶Supra Note 14, p. 4.

had usually not coded them as such. Thus, the extent to which mediation techniques were reportedly used probably underrepresents the actual implementation of these techniques.

In addition, the extent of services provided by the Satellite Intake Project to delinquency clients who were either terminated without adjustment or referred to petition is only slightly less than the extent of services provided in adjusted cases. Based on interviews with Department of Probation staff, this differs markedly from the situation at the branch offices. At the branch offices, mainly due to excessively high caseloads, delinquency clients whose cases are not adjusted generally do not receive any services beyond the initial intake interview.

VI. COSTS

A. Cost Analysis

Since diversion, by definition, reduces the extent of penetration into the justice system, diversion projects, perforce, reduce justice system costs. Diversion projects are cost effective if the savings in justice system costs exceed the operating costs of the project. The required data needed to make such calculations for the Satellite Intake Project are, in large part, unavailable. These would include, among other data, the costs of preparing petitions for Court, the costs of court processing, the distributions of court dispositions for diverted project juveniles who would have gone to court had the project not existed,⁴⁸ and the costs of placement into restrictive and non-restrictive placement.

In lieu of a fully developed cost effectiveness study, a relatively simple and conservative estimate can be made of the cost savings engendered by the project in terms of Family Court processing (see table 11). First, the number of project cases that would have been referred to petition if the project had not existed was calculated. This involved multiplying the percentage of referrals to petition for branch delinquency and PINS cases by the number of dispositions made by the project. The number of project referrals to petition

⁴⁸It is incorrect to assume that the distribution of court dispositions rendered for diverted youths mirrors the distribution of dispositions of the branch cases. The diverted youth, even if comparable to the branch cases in terms of arrest charge, are selected out because they appear less in need of supervision or confinement. The court, too, would probably dispose of these cases less harshly.

for each borough was then subtracted from the projected number of branch office referrals. These differences, in turn, were multiplied by estimates of the percentage of referred cases drawn as petitions.⁴⁹ The sum of these figures yield the estimated reduction in the number of court cases. Finally, this sum was multiplied by the Family Court cost per case for delinquency and PINS cases (see table 11). The resulting per annum cost savings in court processing, as shown in table 11 is \$102,970 for ten months or \$123,564 per annum.

This substantial savings in Court processing, in fact, underestimates the actual savings generated by the project. Not included in the above calculations, mainly because the data were unavailable, were several items, which, if included, would have boosted the dollar figure for the savings generated by the project. These include the costs attributable to work performed by Corporation Counsel, law guardians, and probation officers (in making their investigatory reports for fact finding hearings). In addition, the costs due to court appearances by Police Officers and the costs of implementing dispositions were not considered. Finally, not considered in the calculations were the services provided to the "troubled youths" and the reduction of branch office caseloads (cases processed by the project that would have gone to branch offices).

B. Budget Analysis

The Satellite Intake Project was initially budgeted to operate from April 1979 to April 1980. The budget was restated on April 1, 1980. Because of the delays in filling staff lines (especially the Youth Aid Worker lines), it was determined that the project could operate on accruals through August 15, 1980. The restated budget is shown in table 12. Also shown in table 12 is the fact that projected costs, based on recent fiscal reports indicate that the project is operating within its budget. Travel costs are the only item that was overbudgeted.

⁴⁹Estimates of the percentage of referrals for which petitions are drawn were provided by the Branch Intake Chiefs from each borough.

TABLE 12
 BUDGET FOR
 SATELLITE INTAKE PROJECT, APRIL 1979-AUGUST 15, 1980

	APPROVED BUDGET ^a			ACTUAL EXPENDITURES ^b		
	Dept. of Probation	Police Dept.	Combined	Dept. of Probation	Police Dept.	Combined
Personnel & Fringe Benefits	\$286,155.	\$94,764.	\$380,919.	\$298,836.	\$81,315.	\$380,151.
Supplies	3,000.	-	3,000.	2,598.	-	2,598.
Travel	6,400.	-	6,400.	848.	-	848.
Total	\$295,555.	\$94,764.	\$390,319	\$302,282.	\$81,315.	\$383,597.

^a Restated as of April 1, 1980

^b Projected to August 15, 1980 based upon personnel costs during May and June for the Department of Probation and Police Department, respectively.

VII. RECOMMENDATIONS

Given two major unanticipated setbacks--the three month delay in the Youth Aid Officers coming on staff and the cancellation of the mediation training by IMCR--the project was generally successful in meeting its goals and objectives. Refunding is merited and strongly recommended. In some areas, however, the project was not as successful as anticipated. The following recommendations are geared toward helping the Satellite Intake Project improve its operations.

First, the number of PINS cases processed by the project staff should be increased. As indicated earlier in this report, a sizeable proportion of PINS cases involving juveniles who resided in the project catchment areas were processed at the branch offices (with the exception of Brooklyn). Both the project and branch offices can help to improve this situation. Project staff should increase the extent to which they have established contact with the public schools, community school boards, and other agencies that have contact with parents of juveniles residing in their catchment areas. This would increase public awareness of the project and, in turn, increase the extent to which PINS cases are initiated at the project sites rather than at the branch offices.

The branches, for their part, should be instructed to emphasize to potential petitioners who reside in the project catchment areas the advantages of speaking to an Intake Officer at the project, e.g., the project Intake Officers have more time to spend with each case, have been trained in mediation techniques, and are very familiar with potentially useful service agencies in their neighborhood. The percentage of potential petitioners who initially go to the branch offices and then proceed to the project site should then increase. As the project Probation Officers become more experienced in handling the special problems involved in PINS cases, the number of such cases referred to petition should decrease.

Second, the Youth Aid Officers should upgrade their efforts to contact the complainants and explain to them the importance of participating in the intake process. This should result in a reduction in the percentage of delinquency cases terminated without adjustment.

Third, follow-up should be conducted on a more consistent basis on open cases that have been referred to a community agency. Follow-up should be conducted in such a manner that additional assistance and guidance can be provided to the juveniles and their families on an as-needed basis. In addition, the feedback from follow-up can be used to assess the strengths and weaknesses of community agencies and thereby enhance the effectiveness of future referrals.

Fourth, the time intervals between arrest and intake should be reduced. Although the waiting time between arrest and intake for the project was shorter than that for the branch offices, it can be reduced further. The average waiting time should not exceed five working days in normal circumstances. The interval for the project, combining the four units, was 7.2 days. One way this can be reduced is by having the Youth Aid Officer pick up the relevant arrest reports each day from the adjacent project precincts. The usual means by which they are sent to the project site is through the relatively slow inter-office mail. At the Brooklyn site, which is the only unit involving just one precinct, the average time interval was, in fact, five days.

Fifth, the staff at each unit should more aggressively seek out appropriate educational resources and programs in their catchment areas. Educational problems were foremost for both the delinquency and PINS/troubled youth cases. Perhaps a workshop for project staff could also be developed to help the staff better assess the educational needs of their clients and consequently make more informed referrals.

Finally, delinquency prevention should become more of a priority for the project. This could be accomplished by the project staff becoming more involved in community affairs. The Probation Officers and Youth Aid Officers should give seminars and talks to community groups (block associations, tenant organizations, recreation centers, etc.), and in this way discover, and hopefully ameliorate to some extent, the community problems of local juveniles.

VIII. SUMMARY

This report has provided a description and evaluation of the Satellite Intake Project. The New York City Department of Probation was awarded \$390,319 by CJCC to administer the project. The project commenced operations in April 1979, although clients were not seen until June 1979.

The Satellite Intake Project is a juvenile diversion and delinquency prevention program which serves troubled youth, PINS cases, and all but the most serious delinquency cases. The project consists of four units, one each in the Bronx, Queens, Manhattan, and Brooklyn. The offices of each unit are located in police precincts and their catchment areas are coterminous with the catchment area of from one to five police precincts. The standards and laws which govern the project with regard to PINS and delinquency cases are the same as those governing the probation intake offices located at each Family Court building.

Essentially, the project is a decentralized version of the probation intake branch offices. The caseloads of its probation officers are smaller, and the project staff have a greater opportunity to learn about and maintain closer relationships with community-based and public service agencies in the project catchment areas. Given these features, the project has as one of its principal objectives the reduction in the percentage of cases referred to petition (Family Court).

The staff of each unit office consists of two Probation Officers, a Youth Aid Officer, a Youth Worker (except for the Bronx Unit), and a clerk. The project is administered by a Project Director who has a full-time secretary. Other administrative personnel from the Department of Probation are available on an as-needed basis.

The Satellite Intake Project was successful in meeting most of its objectives:

- The percentage of delinquency cases referred to petition by the project was substantially less than the comparative percentage for the branch offices, 36.4% vs. 55.9%. The project, however, did not substantially reduce the number of PINS cases referred to petition, 57.3% vs. 63.9%.
- The project did not reduce the percentage of cases terminated without adjustment: 20.4% vs. 17.6% for delinquency cases and 4.8% vs. 5.9% for PINS cases (project percentages shown first).
- The project reduced the man hours spent by police at Family Court by significantly reducing the percentage of delinquency cases referred to petition.
- The project successfully limited the recidivism rates among its delinquency cases. The six-month recidivism rates for the project and the branch offices were 28% and 26%, respectively. This difference is not statistically significant.

- The project used mediation techniques to a limited extent (limited because of a delay in training). The project also provided services with less delay, kept cases open longer periods of time, and appeared to have provided more counseling and to do more referrals and follow-up than the branch offices.
- The project served 1,775 clients over a 10½ month period, almost exactly its projected annual objective of 2,000 cases. However, the number of PINS cases served by the project, 131, was unexpectedly low.

In terms of costs, the project saved over \$100,000 in Family Court costs alone. In fact, due to the unavailability of certain data, this figure underrepresents the actual savings generated by the project. In addition, the project's actual expenditures did not exceed its budget.

The following recommendations for the improvement of the Satellite Intake Project were advanced:

- The number of PINS cases processed by the project should be increased. This can be accomplished by increasing the project staff's efforts of informing potential referral sources of the project's existence and by the branch offices increasing their efforts to refer appropriate cases to the project.
- The Youth Aid Officers should increase their efforts to contact complainants and encourage them to participate in the intake process. This should reduce the percentage of cases terminated without adjustment.
- Follow-up efforts should be made on a more consistent basis for open cases that have been referred to a community agency.
- The time interval between arrest and intake should be reduced. To help accomplish this, the Youth Aid Officers should pick up the arrest reports each day on project cases from the adjacent precincts in the project's catchment areas.
- The project staff should more aggressively seek out educational resources and programs in their catchment areas. Educational problems among project clients were serious and frequent.
- Delinquency prevention efforts by the project should be enhanced. This should include talks by the project staff at community forums.

Because of its success in meeting most of its objectives, and for demonstrating that the decentralization of probation intake can effectively and efficiently provide services and referrals to a large number of juveniles, refunding for the Satellite Intake Project is recommended.

APPENDIX

SAMPLING PROCEDURES FOR
RECIDIVISM STUDY

The sample selection procedure for project cases is described in the body of the report. Again, five delinquency cases were randomly selected from each project unit for each month between July and November, inclusively; i.e., one hundred project cases were selected, twenty-five from each borough. The only cases that were excluded from the sample were those clients who would have reached their sixteenth birthday prior to the conclusion of the follow-up period. Clients who are arrested following their sixteenth birthday are no longer processed through Juvenile Intake and therefore would not appear as recidivists in the Department of Probation records, the exclusive source of information for the present study.

Data from the branch offices were used for comparative purposes. The log books maintained at each branch office served as the source from which the branch sample was selected. The names of all juveniles who had been processed through the branch intake offices were recorded in these log books. The case number, the client's age (in years) and the type of case (delinquency, designated felony, PINS or custody cases) were also specified. A table of random numbers was used to select the sample. Five delinquency cases from each month between July and November, inclusively, were selected, thus paralleling the distribution of the project sample.

Once the names of the branch sample were selected, they were looked up in the Card Files of the Intake Record Room. Cases were eliminated, and new names drawn from the log books, if a client would have had his sixteenth birthday prior to the conclusion of the follow-up period¹ or if the client's card could not be located. All instances in which a client had appeared at probation intake, and the type of case for which he or she had appeared,² were recorded on the card. The project cases were similarly looked up in the card files and the same information was noted and recorded.

For purposes of the analysis, only reappearances for delinquency or designated felony cases within six months from the initial appearance constituted recidivism. Also, all prior appearances for delinquencies and designated felony cases were noted and recorded by the evaluators.

¹This could not be precisely determined from the log books, which only showed age in years and not date of birth.

²At the Manhattan and Brooklyn branch offices the type of case was not indicated on the card and, therefore, the log books for the dates of appearance at intake had to be examined to ascertain what type of cases were involved.

Two types of data, age and gender, were available for both samples to establish whether the randomization procedures had in fact generated two very similar groups of juveniles. As can be seen from table A, the branch and project juveniles drawn from each borough, and as aggregated for all four boroughs combined, are very close in age, i.e., statistically there is little reason to believe that the samples represent different populations. With regard to gender, the juveniles in both samples were overwhelming male. Ninety-three percent of the juveniles from the branch office sample were males and eighty-eight percent of project samples were males. As with the age data, the samples do not differ with regard to gender. Given the randomization procedures and the double checks with regard to age and gender, the samples appear to be sufficiently comparable for the recidivism study.

TABLE A
AGE OF PROJECT AND BRANCH
RECIDIVISM SAMPLES

BOROUGH	PROJECT SAMPLE		PROJECT SAMPLE		<u>t</u> ^b
	Number of Cases	Mean Age (Months)	Number of Cases ^a	Mean Age (Months)	
Bronx	25	169.8	22	170.8	1.00
Manhattan	25	172.3	20	171.4	.31
Queens	25	174.0	21	172.7	.44
Brooklyn	25	167.7	24	166.2	1.12
Citywide ^c	100	170.9	87	170.3	.33

^a Date of birth was not given for 13 branch office cases.

^b The t - test is a standard statistic applied to assess whether the observed difference between two sample means reflects a true population difference or chance fluctuations. The t values shown here indicate that there is no reason to assume that the two samples were drawn from different populations.

^c Excluding Staten Island.

END